DOCUMENT RESUME

ED 138 729 CE 010 732

AUTHOR	Cassell, Frank H.; And Others
TITLE	Intergovernmental Linkage and Cooperation: Models for Strengthening State and Local Management of Manpower Programs.
INSTITUTION	Employment and Training Administration (DOL), Washington, D.C.
PUB DATE	[76]
CONTRACT	17-6002-72
NOTE	288p.; Not available in hard copy due to print quality of the original document; Some pages may be marginally legible on microfiche
EDRS PRICE	MF-$0.83 Plus Postage. HC Not Available from EDRS.
DESCRIPTORS	Administrative Problems; Educational Programs; Employment Programs; Interagency Cooperation; *Interagency Coordination; Interagency Planning; Job Training; *Local Government; *Manpower Development; *Models; Organizational Communication; Problem Solving; Program Budgeting; Program Coordination; *Program Improvement; Seminars; *State Agencies; Workshops

ABSTRACT

A project was designed to identify barriers which preclude cooperation or coordination among agencies (particularly the U.S. Department of Labor, the U.S. Department of Health, Education, and Welfare, and the Environmental Protection Agency) in the discharge of their manpower responsibilities and to develop techniques for overcoming the barriers identified. Six major barriers were identified: Communication methods, confusing and conflicting rules and regulations, turf, information, planning cycle problems, and goal incongruence and role confusion. This report presents the resulting six models (and an introduction) which comprise a conceptual framework for linkage, or overcoming the coordination barriers. Each model includes recommendations for a 1-day seminar agenda and supportive exhibits which aid in developing seminars to teach the model. The models are titled (1) Problem Identification, (2) Communication Strategies for Liaison Relationships, (3) Implementation: Defining and Solving Liaison Problems (explores the problems of confusing and conflicting rules, turf, and goal incongruence), (4) Public and Private Sector Linkages in the Employment and Training System (explores the relationship between supply and demand in the labor market and the role of intermediaries), (5) Exchange of Information and Interagency Linkages (designed to enable decisionmakers to analyze the information needs of their projects), and (6) Budgeting and Program Analysis. The final section of this report, "Applying the Models," is a workbook developed by the project staff and is designed to carry operating personnel through the steps necessary for applying each of the models. (SH)

INTERGOVERNMENTAL LINKAGE AND COOPERATION: MODELS FOR STRENGTHENING STATE AND LOCAL MANAGEMENT OF MANPOWER PROGRAMS

Developed by:

Manpower Project Staff
Northwestern University
Graduate School of Management
Leverone Hall
Evanston, Illinois 60201

Frank H. Cassell, Principal Investigator

Edited by:

Hervey A. Juris
Leslie Nathanson

Under Contract From:

U.S. Department of Labor
Employment and Training Administration Region V MQE-B
Contract #17-6002-72

Frank H. Cassell, Principal Investigator

Hervey A. Juris, Project Director

Project Staff:

Allan R. Drebin
Cynthia Goldring
Joseph S. Moag
Judith A. Moylan
Leslie Nathanson
Ronald C. Rodgers
Myron Roomkin

CONTENTS Page

PREFACE

The complexity and novelty of the revenue-sharing concept embodied in CETA has called attention again to the need for cooperation and coordination in government if manpower services are to be delivered efficiently and effectively. The problem of coordination is as old as the original legislation which created these manpower programs, awarding joint jurisdiction and overlapping authority to agencies charged with servicing common clients. Consider MDTA, which mandated that programs of on-the-job training would be administered by the Department of Labor while programs of classroom (institutional) training were to be administered by the Department of Health, Education, and Welfare. Left to the parties was the management problem--how to coordinate the two training programs for clients who needed both.

Joint responsibility over clientele and overlapping authority were only two of the many administrative problems which arose during the creation of the new programs. Another critical issue was the continually shifting program focus, or in management terms "conflicting objectives," which persist to this day. A particularly sharp shift in focus, for example, occurred in the mid 1960's as federal policy-makers changed the original MDTA focus on job displacement from automation to a focus on youth and the disadvantaged. Instead of the task being one of retraining experienced workers, it now became one of introducing inexperienced persons (many marginal in their productivity) to the sophisticated world of production, persuading employers to hire them, upgrading people already on the job but wanting something better out of work, and aiding people held back in their work by lack of training or other handicaps. The Equal Opportunity Act (and the Community Action Agencies set up under EOA) broadened and complicated the administration of manpower policy. EOA spread these responsibilities broadly across government, included clients in the administration of programs, and reiterated the emphasis upon the unemployed and the underemployed poor.

As the economy changed in the mid 1960's, the emphasis in manpower programs changed also. In 1966 President Johnson announced that for 18 months 65 percent of MDTA training slots would go to disadvantaged applicants, and 35 percent to upgrading persons in labor shortage "bottleneck" occupations which threatened to contribute to higher rates of inflation. But, as we now know, the "bottlenecks" developed too fast and the upgrading progressed too slowly for the policy to have an effect. There were more changes in 1966: expanded training opportunities for persons over 45 years of age, subsidized public employment programs for older workers, para-professional jobs in human services agencies, and special impact expenditures in cities for human resource development and capital investment.

By the end of 1966 annual appropriations for MDTA, the Neighborhood Youth Corps, Work Incentive Program, New Careers, Special Impact and Operation Mainstream were one billion dollars; adding the Job Corps and an expanding Employment Service brought the total to two billion dollars.

To meet the administrative challenges induced by the shifting focus and growing complexity of manpower programs, improved linkages among departments were attempted. In 1964 executive orders created a President's Committee on Manpower, an Inter-agency Committee on Education to coordinate programs, and an Economic Opportunity Committee to coordinate all federal anti-poverty programs--all three of which had overlapping functions. Experimentation occurred with one-stop service centers to reduce confusion for the client. Skill centers were established to bring all related services under one roof. The Concentrated Employment Program was devised to bring clients, services, and employers together in local areas. The Cooperative Area Manpower Planning System (CAMPS), which some believe was the precursor to CETA, was created to improve program coordination at the state and local levels of government.

An added dimension of complexity occurred with the passage of the Emergency Employment Act of 1971 which contained a Public Employment Program (PEP) and provision for transition into non-subsidized jobs. This was the first application since the New Deal of job creation by government as a countercyclical tool during periods of high unemployment. With the advent of PEP, programmatic actions and policies existed at all levels of government; means of coordinating activities and of managing public and private interface was necessary.

After eleven years, the MDTA was phased out. It was a victim of the multiplicity and massiveness of its own programs, haste with which these programs had been created, the complexity of putting people to work, the large number of relationships and linkages involved, the cost, the public impatience with such expenditures, and the scarcity of resources in relation to the number of unemployed who needed aid. In its place was created the Comprehensive Employment and Training Act.

CETA was and is an effort to rationalize the galaxy of manpower programs and efforts by focusing them at the local and state levels of government. The Act was a hybrid, decentralizing decision-making in some areas and preserving substantial federal control in others. It reflected the rhetoric associated with the "New Federalism" which declared that locally oriented programs are best administered by those closest to an area's needs. Under this arrangement the federal government was less dominant than in the past in matters of organization, funding patterns, and institutional arrangements; state and local government grew in influence.

Looking back over the problems of delivery as they evolved from MDTA to CETA, it is possible to draw one important lesson: the manpower people failed to take the essential step of identifying measures by which to implement their ideas, in spite of the fact that they asked the right questions about the economics of labor market problems and the politics of delivering manpower services, and then went on to creatively identify alternative solutions. Moreover, the assumption was made that almost anyone with common sense could manage a program or an operation. However, the job would prove to be much more complex.

Practically overnight 400 prime sponsors became responsible for deciding difficult administrative questions, making choices among programs and people to be served, and establishing priorities: who should receive services; who should be excluded; how can effective services be produced; how can good working relationships with other organizations be developed; how can a marginal worker be turned into a productive one; how does one know when a program or activity works or does not work, or is better or worse than something else; what program or activity has done the most or the least good and how does one measure this; how can CETA turn potentially destructive agency competition into a positive relationship?

While the researchers struggle with these questions, the CETA operators without the luxury of time must daily develop ad hoc responses. And in the process of dealing with these problems they themselves have come to think of these questions in generic management terms. In their own words, as you will see in the Introduction to this report and in the Appendix to the Introduction, they are asking for help in how to deal with conflicting rules and regulations, the need for effective communications, competition over turf, goal incongruence and role confusion, planning cycle problems, and linkage problems with other agencies.

Private sector management has known the answers to these questions for some time. Why hasn't the relevant private sector management knowledge and experience been transferred to the public sector? This lack of transference may have arisen out of the notion that management in the public sector was different from private enterprise; that such knowledge could not be transferred, possibly because manpower administrators came mainly from other disciplines and fields, such as economics, education, social work, the behavioral sciences, and few from management. Furthermore, few if any business schools focused their attention on social programs--perhaps because of a bias against government programs--leaving the training to public administration schools. Another source of resistance at the local or community level may be the fact that many local manpower leaders come from the Community Action Agencies where they often saw management (bureaucracy, rules, values) as the problem, not as the solution to their problems.

Regardless of the reasons why help has not previously been forthcoming, we have responded to the request of these local operators by providing in this report several management models which deal directly with the problems they raise; also included is a workbook to help them learn applications of these models. We call the reader's attention to the sections on problem identification, communication, implementation, planning and budgeting, and applying the models.

Our sessions with the operators told us something else. They told us that beyond the problem of arranging the delivery of manpower services are even more basic problems--a need to understand the employer's perspective on the labor market, the employer's behavior in the labor market, and the implication of this understanding for the successful operation of any job readiness and placement agency (in effect, the CETA function). Thus, there is a need to supplement quantitative labor market data with qualitative information. CETA operators need to know about employer requirements, the work environment, the opportunity structure, work rules, and the readiness of employers to accommodate marginal or near marginal workers (especially in loose labor market situations).

Our study showed the need for intermediaries such as CETA to be informed about the qualitative aspects of the supply side as well: the preferences and attitudes of the individual as they might affect job readiness or job survival. These might include willingness to undergo discipline and accommodate to the pace of work, to commit to the organization's goals, to adapt to prevailing customs and practices such as dress styles, and finally, the person's need for autonomy.

Acquiring a job and performing it successfully is, therefore, the end product of a complex of transactions and interactions among public and private institutions, public and private programs, remedial institutions, facilitative agencies or persons, employers, education, labor, and a variety of government agencies at various levels whose functions are often overlapping, sometimes competing. The questions of what information, how to collect it, and how to use it are dealt with in the two models entitled Information and Public-Private Relationships.

What lessons can we draw from this study? We suspect that a cost-benefit analysis would show that it would pay to distribute existing management knowledge more widely and use it more intensively; that research with respect to qualitative information about work, values and preferences as they affect job access and success would be helpful to intermediaries; that research into the linkage between training and education to economic development of the states and their regions would advance the cause of enlarged employment opportunity substantially.

In the course of this and in other earlier manpower studies a curious contrast between public and private organizations which administer manpower and programs began to emerge. Among the areas of knowledge needed by both public and private administrators two stand out: labor market theory and behavioral theory covering both individuals and organizations. The curiosity is that while managers in public sector organizations are familiar at least in general terms with labor markets and their relationship to administration, they have minimal acquaintanceship with the behavioral elements of management; quite the reverse is the case with private sector private enterprise firms.

Why this is has not been determined but it seems clear that each apparently has something to learn from the other.

If this volume helps to improve the operations of CETA, that is good. If it encourages expanded research into public and private management, that too is good For the research team on this project the experience has been informative--an intensive learning process. We hope it will help further development of knowledge in this field.

No undertaking of this magnitude is accomplished without accumulating a large number of debts. Many people supported our work on this project Dick Brunner of DOL, Harvey Lorberbaum and Carol Schloss of HEW, and Chet Shura and Nora Lorberbaum of the EPA have been valuable resources with respect to their own agencies from the initiation of our own efforts. Kent Wiley, Lois Feldman, and Barbara Crisanti, all of DOL, have been invaluable in assisting us with needed information and reinforcement. Jean Baron and Cynthia Goldring have helped us keep our feet on the ground throughout by poring through many documents and by visiting case sites in order to become an instrumental liaison between our office and our clients. Harry Crane assisted on the cases Sanna Hans was an exacting editor. Finally, Judith A. Moylan, secretary to the project, has been an integral part of our work from the beginning. Her caring and meticulousness totally supported our efforts.

The support for this project came equally from the U.S. Environmental Protection Agency, the U.S Department of Labor and the U S. Department of Health, Education and Welfare We gratefully acknowledge this support but as always the authors accept full responsibility for their judgments, conclusions and any errors of omission or commission which might remain.

11

Frank H. Cassell
September, 1976

INTRODUCTION

The goals for this project, as established by the three sponsoring agencies (USDOL, HEW and EPA), were twofold -- to identify barriers which preclude cooperation or coordination among these agencies in the discharge of their manpower responsibilities and to develop techniques for overcoming the barriers so identified.

Seminars were held throughout the six state region (Minnesota, Wisconsin, Illinois, Michigan, Indiana and Ohio) at which federal, state and local representatives of each of the sponsoring agents were asked to identify what they felt were barriers to cooperation or coordination in the basis of their own experience in the field. As a result of these seminars we learned two things. First, participants felt that they did not know enough about the structure of or available resources within their own agencies to be able to coordinate with other agencies. Second, there are generic management problems which arise whenever any agencies or organizations attempt to work with one another.

These findings, together with data from site visits to several linkage projects from around the country which had been identified as successful projects, then found the background for a series of seminars and courses designed to develop and disseminate useful techniques for overcoming the barriers to linkage most frequently identified in the literature and from our own research. Specifically we offered the following:

Agency Specific Seminars. Speakers p .sented information about the structure of each agency and the programs offered within each agency. One seminar was held per agency. uuration o day.

Linkage Seminars. Management models were developed to aid decision makers in overcoming the most salient barriers which had been identified earlier. The purpose of these seminars was to teach those models. Participants from all three agencies were invited to each of five linkage seminars. Duration - one day each.

Application Seminars. These seminars were designed to offer participants the opportunity to apply the management models to issues they face in their work responsibilities. The plan was to hold three such seminars, one for each agency. Duration - two days.

College Level Courses. Two college level courses were developed and offered in the School of Education of Northwestern University to explore further, and to disseminate information developed in the project. One, "Vocational Guidance and Occupational Trends" (Exhibit I), was offered for undergraduate and graduate credit. The second, "Transitions in Education, Work and Leisure" (Exhibit 2), was offered for graduate credit only.

In the following sections, we discuss each of the stages of the project in greater detail:

Implementation of Linkage: Barriers

We ran three workshops to identify barriers to linkage. Each of the three sponsoring agencies invited participants who were employed by or worked with their agencies to each of the workshops. Through the use of a process known as Nominal Group Technique (described in the "Problem Identification" Section) we asked 115 people... "From your point of view, what barriers exist to your agency's coordination of planning and programming activities with other agencies that may serve the same set of clients?" The specific barriers to coordination which were identified fell into fourteen broad categories.

(A detailed analysis of these categories can be found in Exhibit 3, page)
However, from among the fourteen, six issues were consistently identified as the strongest barriers to coordination between agencies. These were:

<u>Communication Methods</u>, i.e., the need for effective and efficient means for communication and non-threatening means for sharing data and other pertinent information.

<u>Confusing and Conflicting Rules and Regulations</u>, i.e., the language of legislation and written rules and regulations covering the operations of each agency and the interpretation of those rules and regulations.

<u>Turf</u>, i.e., agency boundaries, competition, power relationships, lack of commitment to other agencies' goals or programs, and distrust or suspicion of others' motives. It also includes the responses of some operators of small programs who fear their programs will lose identity or be overwhelmed by coordination.

<u>Information</u>, i.e., information about the participants' own and other agencies, information about clients, and labor market information.

Information about their own and other agencies necessary to joint ventures includes agency objectives, goals, responsibilities and methods of operation; existing programs; funding cycles and funding restrictions; positions, titles and responsibilities of persons who could effect inter-agency cooperation.

Client information needed for coordinated efforts includes client history, demographics, and needs. The participants said there is no common data base for clients; there is no inter-agency commonality of terms or definitions used in present reporting forms; existing information is accumulated in varying geographical jurisdictions; and there seems to be a disincentive to share client information.

Improved labor market information refers to information on supply, demand and market intermediaries needed to facilitate long-range planning by individual agencies as well as by those seeking to coordinate planning or services.

Planning Cycle Problems, i.e., fiscal years of various agencies and prime sponsors differ, the time horizon for planning and budgeting is typically limited to one year and discourages development of long-range interactive programs; therefore, each agency concentrates on its own short-run objectives. The uncertainty resulting from short-term funding also precludes inter-organizational cooperation, and various funding formulas make coordination difficult.

Goal Incongruence and Role Confusion, i.e., while various agencies do have different roles and different client groups, some roles and some clients do overlap. In planning for linkages based on common services or common clients, people found that barriers exist because of sometimes diffuse and sometimes converging goals of each agency and subsequent confusion about roles each agency should play in cooperative ventures.

Implementation of Linkage: Models

In identifying specific barriers to coordination in Region V, we have actually identified general problems faced by all agencies or organizations which are making attempts to try to form liaison projects. A National DOL Task Force on Linkage which ran a workshop similar to our own found precisely the same problems. Moreover, these turn out to be the very problems which are continually dealt with in management and behavioral science literature. In this section we take the next step which is to specify models for identifying barriers peculiar to one's own institution and for overcoming barriers generally. The six models are: Problem Identification, Communication, Implementation, Public/Private Coordination, Information and Budgeting, and Planning Processes.

Problem Identification. Before organizations can develop strategies for solving problems there must be a way to establish just what those problems are. The model on problem identification by Leslie Nathanson addresses itself to a technique for identifying problems as well as reaching group consensus in general.

Communication. We could have offered several different processes for types of communication from Nominal Group to Robert Rules of Order. But the manager would have been no farther along in eliminating the communication barrier. The problem is not how to communicate but of identifying an appropriate way to communicate. But what constitutes an appropriate way to communicate varies with environmental circumstances. The Communication model written by Joseph Moag addresses this latter program: What communication strategies are appropriate during various stages of the life cycle of a linkage project.

Implementation: Defining and Solving Liaison Problems. This model deals with three of the major barriers to coordination: confusing and conflicting rules, turf, and goal incongruence. Joseph Moag presents a model which explores these problems and offers a strategy designed to increase the incidence of successful linkage by offering a decision logic which will help managers know beforehand whether or not a liaison project is at least from a design perspective capable of being implemented.

Public-Private Sector Coordination. This model by Frank H. Cassell and Ronald C. Rodgers explores the relationship between supply and demand in the labor market and the role of intermediaries in effecting unsubsidized, competitive jobs for clients

Information. Myron Roomkin's model on the Exchange of Information and Inter-agency Linkages enables decision-makers to analyze the information needs of their projects relative to the available data and a decision logic for determining whether the benefits of an aggressive posture toward gathering appropriate information are worth the costs such a posture entails.

Budgeting/Program Analysis. Allan R. Drebin's model of Budgeting and Program Analysis addresses itself to issues of budget and goal setting which may in fact be more of a catalyst to linkage than a barrier.

Implementation of Linkage: Method

This manual has two purposes. The first is conceptual. The introduction and the six models comprise a conceptual framework for linkage. Someone curious about linkage or linkage models can simply read the manual. The second purpose is operational. Each section contains not only the model but recommends seminar agendas and supportive exhibits which aid in developing seminars to teach the models.

Teaching the Linkage Program. Behind each tab the reader will find not only a statement of the particular model and applications but also an agenda for a one day seminar to teach the model and suggestions for speakers and cases. Our experience indicates that one day per model may be too little time to teach both concept and applications. Each trainer should judge for himself or herself whether he or she wants to extend each session beyond one day

Behind the last tab, "Applying the Models", is a workbook developed by the Project Staff which is designed to walk operating level personnel through the steps necessary for applying each of the models (except for "communication" which is self contained). Individual trainers might want to decide whether to save implementation (from the workbook) until all the models have been taught or to use the individual sections from the workbook while teaching each separate model.

The Appropriate Audience Audience is very important. The single greatest barrier to linkage, the one barrier which cannot be overcome by technique, is an unwillingness on the part of persons throughout either or any of the sponsoring agencies to effect a linkage. Without a fundamental support for linkage, the models mean nothing. If, however, there is support at the Federal, Regional and State levels for cooperation and coordination these models may be used to help facilitate linkage.

Conceptually this package has been designed for teaching linkage to operating level personnel. While others may attend the seminars, it is the operating level people to whom this project is directed. Having identified the appropriate audience, we must caution the potential trainer that it is essential to the conceptual continuity of the program and especially to any hope of implementation that the same people from any given agency or project come to all the training sessions. When different people attend different sessions, all continuity is list and there is insufficient understsnding or support in the agency for implementation.

One Final Word. Implementation depends on support. Agencies using this manual might consider running short overview seminars for federal, regional and state personnel before running an extended series of seminars for operators. In this way people up and down the line will understand the process and hopefully be supportive.

EXHIBIT 1

NORTHWESTERN UNIVERSITY

EVANSTON, ILLINOIS 60201

THE SCHOOL OF EDUCATION

Spring Quarter 1976

C92 VOCATIONAL GUIDANCE AND OCCUPATIONAL TRENDS:

Career Education and Work Adjustment Counseling.

Monday and Wednesday 3 to 5 p.m.

Counseling Lab (Educ. 1-151)

Professor Ronald C. Rodgers

Education Bldg. 1-114 492-3264
Leverone Hall 2-114 492-7195
Home Phone 835-4261

An introduction to the roles of families, teachers, counselors and employers as individuals select, prepare for, enter, adapt to and change occupations from adolescence to retirement. Laboratory and field experiences include exploration of pathways into various occupations and work establishment for youth, minorities, unemployed adults, individuals reentering the labor force, and people seeking alternative careers.

Texts: Eli Ginzberg, Career Guidance: Who Needs It, Who Provides It, Who Can Improve It. New York: McGraw-Hill, 1971.

Marcia Freedman, The Process of Work Establishment. New York: Columbia University Press, 1969.

Recommended: Willard Wirtz, The Boundless Resource: A Prospectus for an Education-Work Policy. Washington, D.C.: New Republic, 1975.

Education C92 Prof. Rodgers

Session		Topic & Objectives	Assignment
1.	Monday, March 29	Introduce concepts of labor markets, work adjustment, adaptation, transition and labor market intermediaries.	Chapters 1, 4-6: pp. 3-12, 38-87, Ginzberg, Career Guidance, 1971. Foreward, Chapter 1: pp. vii-12, Freedman, Process of Work Establishment, 1969.
2.	Wednesday, March 31	Labor force and labor supply characteristics; national projections of the supply of workers.	Chapter 1: "Labor Force, Employment and Unemployment," pp. 7-16, Bureau of Labor Statistics (BLS) Handbook of Methods, Bulletin 1711, US GPO.
3.	Monday, April 5	Employment and occupational mix forecasting in national labor markets.	Chapters 5-7: "Occupational Outlook," "Projections of the Labor Force," "Industry-Occupational Matrix," pp. 47-57, BLS Handbook.
4.	Wednesday, April 7	Theories of occupational choice and vocational development.	Chapters 7, 8 & 12: pp. 91-123, 186-210, Ginzberg, Career Guidance.
5.	Monday, April 12	APGA: Labor markets and research for Counseling.	Attend APGA convention in Chicago. Prepare summary of at least one session to turn in April 14.
6.	Wednesday, April 14	State and regional labor market forecasting -- reducing national data to local labor markets.	Chapters 2, 3 & 6: "Schools and the Labor Market Perspective," "Goals and Models for Regional Approaches to Vocational Education," pp. 6-35; "Regional Geography and Boundaries," pp. 78-97, Planning for Vocational Education and Regional Development, Cassell et al., 1975.
7.	Monday, April 19	No Class	Preparation of Project Proposal (see below).
8.	Wednesday, April 21	No Class	Preparation of Project Proposal.
	FRIDAY, APRIL 23	PROJECT PROPOSALS DUE	Detailed description of occupational area or problem to be examined, sources of information, people to be consulted during field (on site) exploration of pathways into or adaptation to work in problem area.

9.	Monday, April 26	Early entry and adaptation to the labor market.	Chapters 2 & 3, pp. 13-53, Freedman, Process of Work Establishment; Chapters 9 & 10, pp. 124-166, Ginzberg, Career Guidance; pp. 1-32, Wirtz, Boundless Resource.
10.	Wednesday, April 28	Personal assessment for vocational preferences and career decisionmaking.	Chapter 11, pp. 167-185, Ginzberg, Career Guidance; Chapters 2-4, pp. 32-76, Wirtz, Boundless Resource.
11.	Monday, May 3	Bias, error & interpretation issues in vocational interest & guidance testing.	"Face Validity of Interest Measures: Sex-Role Stereotyping." Mary Faith Tanney, pp. 89-99. "Academic Achievement Bias in Vocational Preference and Career Development Measures." Rodgers and Lee, AERA 1976.
12.	Wednesday, May 5	Structure and operation of internal labor markets.	Freedman, Chapters 4 and 5, pp. 54-113, Process of Work Establishment.
13.	Monday, May 10	Values and attitudes in choice, preparation and adjustment to work.	Chapter 14, pp. 235-246, Ginzberg, Career Guidance; Chapters 5 and 6, pp. 78-110, Wirtz, Boundless Resource; "Value Orientations in Work," pp. 72-86, Ginzberg, Development of Human Resources, 1966.
14.	Wednesday, May 12	Women and minorities in the labor market; discrimination and bias in internal and external markets.	Chapter 8, pp. 128-145, Wirtz, Boundless Resource; Chapter 3, pp. 55-75, Manpower Report of the President, 1975; Chapters 17 & 18, pp. 235-256, Ginzberg, Development of Human Resources, 1966.
15.	Monday, May 17	Government intervention, resources and policy in employment and training programs.	Manpower Report of the President, 1975, pp. 79-101, 159-173.
16.	Wednesday, May 19	Job search and selection strategies; career change and adaptation in a dynamic labor market.	"Jobseeking Methods Used by American Workers," pp. 1-18, Bulletin 1886, BLS 1975; Chapter 5, pp. 146-193, "The College Dropout and Occupational Choice," in Higher Education and the Labor Market, M. Gordon, McGraw-Hill, 1974.

17.	Monday, May 24	Labor Market resources and opportunities for the non-college-bound youth: unions, apprenticeship, craft markets and secondary labor market employment.	Chapter 6, pp. 115-130, Freedman, Process of Work Establishment; Chapter 17, pp. 290-312, Ginzberg, Career Guidance; Chapters 7 & 9, pp. 111-127, 153-168, Wirtz, Boundless Resource.
18.	Wednesday, May 26	New directions and roles for labor market intermediaries.	Chapters 15, 16 and 18, pp. 247-289, 313-331, Ginzberg, Career Guidance; Chapter 10, pp. 169-185, Wirtz, Boundless Resource.

PROJECT PAPERS DUE AND FINAL EXAM (TAKE-HOME)
TO BE DISTRIBUTED WEDNESDAY, MAY 26.

19.	Monday, May 31	HOLIDAY. No Class.	
20.	Thursday, June 3	Discussion of projects, exam; evaluation of course.	FINAL EXAM DUE BY 5 P.M.

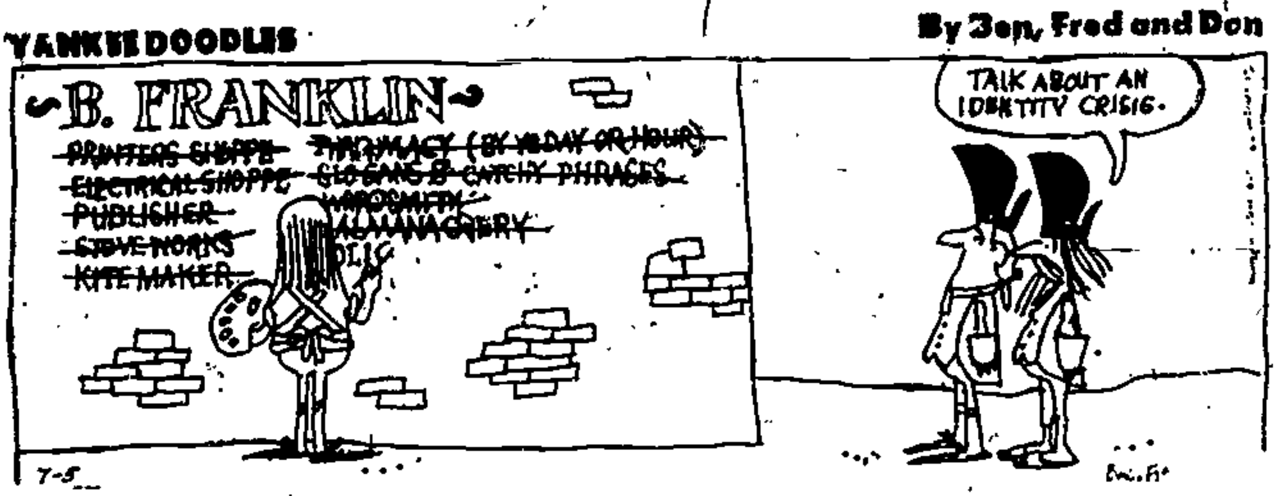


EXHIBIT 2

NORTHWESTERN UNIVERSITY

EVANSTON ILLINOIS 60201

THE SCHOOL OF EDUCATION

Summer 1976
June 28 - July 16

D91 TRANSITIONS IN EDUCATION, WORK AND LEISURE

Prof. Frank H. Cassell
Graduate School of Management

Prof. Ronald C. Rodgers
School of Education

Ms. Marilynn Jacobson
Project Coordinator

Goals of the Course

Learn how the employment and training system works; become familiar with the actors and institutions who work in and operate the system; understand how agencies, information and individuals in the system are linked together; learn avenues of access and strategies for mobilizing resources to make the system work more effectively for the individual; explore career opportunities in the employment and training system.

Point of View

The course assumes that members of the workshop will be viewing the world from the perspective of a labor market intermediary.

Content of the Course

The workshop consists of three interdependent parts.

(1) Class meetings with representatives of various segments of the employment and training system.

(2) Readings designed to prepare for discussions and research.

(3) Planned field research projects applying the concepts of the workshop to problems confronting workshop participants in their work. Each participant's field project should add to the resources and information available to each participant through workshop discussions and reports.

Education D91
Prof. R. Rodgers
Prof. F. Cassell

TRANSITIONS IN EDUCATION, WORK AND LEISURE

Session	Objectives & Assignments
1. Monday, June 28 9 a.m. - noon G-108 Education	Introduction to the Labor Market Outline of the Workshop Discussion of Field Projects Eli Ginzberg, "Toward a Theory of Occupational Choice: A Restatement," Voc. Guid. Q., 1972, 20, 3, 169-176. Frank Cassell, The Job Market, from "Business Takes a Hand," 1973, 1-7. CETA Labor Market Operations Model (Chart) Occupational Expectations of Young Adults. U.S. Office of Education (NCES), 1976. Defining Labor Market Transitions
2. Monday, June 28 8 p.m., Lewis Rm. North, Norris Student Center	"Women in the Labor Market" Dr. Juanita Kreps, Vice-Pres. & Prof. of Economics, Duke University
3. Tuesday, June 29 8:30 a.m. - noon Education G-108	Women and Minorities in the Labor Market Dr. Juanita Kreps, Duke University Jackie Hearns, Minority Econ. Development Jose Limes, Ill. Office on Manpower Connie Seals, Ill. Human Relations Comm. Juanita Kreps, "Changing Economic Role of Women," Manpower Report to the President, 1975. U.S. Dept. of Labor. pp. 55-75. Judith Blake, "The Changing Status of Women in Developed Countries," Scientific American, Sept. 1974. Espec. Charts, pp. 9-17. Richard Freeman, "The Implications of the Changing Labor Market for Members of Minority Groups," in Higher Education and the Labor Market, M. Gordon, ed., 1974, 83-109. "Employment Changes, 1960-1970," Monthly Labor Review, May 1974, Tables 1-3. Questions for June 29 Willard Wirtz, The Boundless Resource, New Republic, 1975, 1-31.

Education D91
Prof. Rodgers
Prof. Cassell

TRANSITIONS IN EDUCATION, WORK AND LEISURE

4. Wed., June 30
9 a.m. - noon
Education G-108

Labor Market Roles of Public Institutions - I

Richard Gilliland, U.S. Dept. of Labor
Employment and Training Administration
John Ropes, Training Administrator
U.S. Environmental Protection Agency

Steven Zell, "Recent Developments in the Theory of Unemployment," Monthly Labor Review, Sept.-Oct., 1975, 3-10.

Ewan Clague & Leo Kramer, Manpower Policies and Programs, A Review, 1935-1975. Upjohn Institute, 1976, 11-33, 67-93.

Wirtz, The Boundless Resource, 32-62.

5. Thurs., July 1

Labor Market Roles of Public Institutions - II

Robert Johnson, Office on Manpower
U.S. Dept. of HEW
Joan Wills, Ill. Office on Manpower
& National Governor's Conference

"Manpower Service Center Network," Baltimore Metropolitan Manpower Consortium, 1-15.

Frank Cassell, "Employability Development," 1968 (Chart).

Clague & Kramer, Manpower Policies, 35-65.

Wirtz, The Boundless Resource, 63-76.

6. Friday, July 2

Labor Market Information -- The Basic Tool of the Intermediary and Planner

Robert Shackford, U.S. Dept. of Labor
Bureau of Labor Statistics

BLS Handbook of Methods, Bulletin 1711, 1971, Chapter 1 (7-16), Chapters 5-7 (47-57).

Willard Wirtz and Harold Goldstein, "Measurement and Analysis of Work Training." Monthly Labor Review, Sept. 1975, 19-26.

Definitions for Current Population Survey.

Rodger Lawson, Perspectives on the Development of a Comprehensive Labor Market Information System for Michigan. Upjohn, 1973, 1-39.

Education D91
Prof. R. Rodgers
Prof. F. Cassell

TRANSITIONS IN EDUCATION, WORK AND LEISURE

7. Tuesday, July 6
9 a.m. - noon
Education G-108

Local and Regional Labor Market Information

Prof. Ronald Rodgers, NU Education
Prof. Frank Cassell, NU Management

Lawson, Perspectives, 40-74

Frank Cassell, Planning the Employer Contact, 1-18.

Frank Cassell, Identification and Analysis of Employers, 1-9.

Illinois Employer Survey Data.

Wirtz, The Boundless Resource, 78-127.

8. Wed., July 7
9 a.m. - noon
Education G-108

Labor Market Intermediaries, Boundary-Spanning Roles, and Job Search

Prof. Joseph Moag, NU Management

"Jobseeking Methods Used by American Workers," BLS Bulletin 1886, 1975, 1-18.

Harold Sheppard & Harvey Belitsky, Promoting Jobfinding Success for the Unemployed, Upjohn Institute, 1968, 1-17.

Wirtz, The Boundless Resource, 128-145.

9. Wed., July 7
8 p.m., Owen L. Coon Forum, Education Bldg.

Community, Education and Employer Roles in Transitions from School to Work

W. Willard Wirtz, President,
National Manpower Institute, &
former U.S. Secretary of Labor

10. Thurs., July 8
9 a.m. - noon
Education G-108

Relating Education to Work

W. Willard Wirtz

Wirtz, The Boundless Resource, 148-185.

11. Thurs., July 8
1:30 p.m. - 4 p.m.
Education 1-114

Computerized Occupational Information Systems

Experiencing the Oregon Career Information System -- a Hands-on Mini-Workshop

Bruce McKinlay, Director
Oregon CIS

Education D91
Prof. R. Rodgers
Prof. F. Cassell

TRANSITIONS IN EDUCATION, WORK AND LEISURE

12. Friday, July 9
9 a.m. - noon
Education G-108

Computerized Occupational Information Systems

Bruce McKinlay, Oregon CIS
JoAnn Harris-Bowlsbey, Project DISCOVER

JoAnn Harris, "The Computer: Guidance Tool of the Future," Journal of Counseling Psych., 21, 4, 331-339.

Barry Stern, "Application of Information Systems to Career and Job Choice," in Labor Market Information for Youths, S. Wolfbein, ed., Temple U, 1975, 199-234.

13. Monday, July 12
9 a.m. - noon
Education G-108

Intermediary Roles in the Labor Market

Field Project Discussion emphasizing role of intermediary using following references:

Harold Wool, "What's Wrong with Work in America?" Monthly Labor Review, March 1973, 38-44.

Eli Ginzberg, "Value Orientations in Work," Development of Human Resources, McGraw-Hill, 1966, 72-86.

Individual, Organizational and Situational Expectations in Internal Labor Markets. (Cassell & Rodgers, 1975 -- Chart)

14. Tuesday, July 13
8:30 a.m. - noon
Education G-108

Integrating Education into the Employment and Training System

Joseph Cronin, Ill. Supt. of Education
Howard Matthews, Asst. to the Commissioner, U.S. Office of Education

EXHIBIT 3

NORTHWESTERN UNIVERSITY
GRADUATE SCHOOL OF MANAGEMENT
NATHANIEL LEVERONE HALL
EVANSTON, ILLINOIS 60201

BARRIERS TO COORDINATION IDENTIFIED IN PROBLEM ASSESSMENT WORKSHOPS

A SUMMARY

At the request of the Department of Labor, Department of Health, Education and Welfare and the Environmental Protection Agency, a team from the Northwestern University Graduate School of Management has been investigating the problems of effecting linkages in the delivery of manpower services among the three agencies and their related state and local agencies. As part of this effort, the team ran a series of Problem Assessment Workshops, in Madison, Chicago, and Columbus. The 115 people in the workshops, representing manpower or manpower-related agencies in the six states of Region V, were divided into 14 small discussion groups. Each participant was asked to write responses to this problem statement: "From your point of view, what barriers exist to your agency's coordination of planning and programming activities with other agencies that may serve the same set of clients?"

This summary presents an analysis of the participants' responses.

Identifying the Most Prevalent Barriers

A technique known as the Nominal Group Process was used to encourage the participants to generate, discuss, and rank their ideas about barriers to linkage. Each of the small discussion groups generated from 30 to 80 ideas. After discussion, each participant then selected the five barriers he thought most important and ranked these from one to five in ascending order of importance. Tabulation of the weighted ranks produced a list of the five consensus barriers for each small group. These rankings fell into 14 categories of the most often-cited barriers.

The project team reviewed all the ideas generated about barriers to coordination, placed them in the appropriate categories and calculated weighted scores, determined by R X P, where R = Rank and P = Participants. The following chart shows the relative importance of problem categories by agency.

Some caution is needed in interpreting this data. The weighted sums cannot be used for cross agency comparisons because the weighted sums have not been adjusted to overcome attendance disparities. The weighted sums are included, as well as the rank order, for one important reason: they indicate that the importance of the top six categories far outweighs the importance of the bottom eight categories. The rank order alone would not have explained that fact. The rank ordering of each category does allow cross agency comparison.

PROBLEM CATEGORY RANKING BY AGENCIES

	Rank All Groups	Weighted Sum	Rank DOL	Weighted Sum	Rank HEW	Weighted Sum	Rank EPA	Weighted Sum	Rank WIN	Weighted Sum
Confusing and Conflicting Rules/Regulations	1	297	1	129	1	89	2	72	1	10
Communication Methods	2	267	4	88	2	85	1	89	3	5
Planning Cycle Problems	3	234	2	119	3	62	5	50	4*	3
Turf	4	185	3	89	5	51	6	44	7*	1
Information Lack	5	152	5	60	6	36	3	55	7*	1
Goal Incongruence/Role Confusion	6	129	6	43	4	61	4	52	2	8
Internal Problems of Agencies	7	72	8	19	7	26	8	27	X	0
General Resistance to Change	8	60	10*	14	9*	18	7	28	X	0
Monitoring and Evaluation	9	55	10*	14	8	24	9	15	6	2
Political Relationships	10	50	7	27	11	13	10*	10	X	0
Lack of Appropriate Incentives	11	45	9	17	9*	18	10*	10	X	0
No Time or Manpower to Coordinate	12	25	12	10	12*	7	12	8	X	0
Inadequate Funding	13	14	X	0	12*	7	13*	4	4*	3
Inadequate Technical Assistance	14	9	X	0	14	5	13*	4	X	0

* Indicates equal raw scores

Leslie Nathanson, February, 1976
Northwestern University, Manpower Project

Category Definition

All of the barriers identified in the discussion groups fall into one or more of the categories: In the few cases where barriers overlapped categories, the rank was added to each category. This section of the summary defines each category, indicates the range of ideas it covers, and includes illustrative quotations from the workshop participants.

Confusing and Conflicting Rules and Regulations

This category deals with participant responses pertaining to legislation and written rules and regulations covering the operations of each agency, and the interpretation of those rules and regulations. Participant responses included:

- Structure and legislation preclude coordination.
- Rules and regulations across agencies are too complex, inconsistent and conflicting - leading to client dissatisfaction and problems with referral agencies, all of which are barriers to coordination.
- Rules and regulations provide a lack of problem-solving authority.
- Various regulations are not written for linkage and cooperation, but to hinder linkages and cooperation, especially at the local level.
- Coordination hampered by regulation, by interpretation of regulations, by rigidities in guidelines.
- Differing interpretations of federal regulations.

Communication Methods

Important issues covered in this category include the need for effective and efficient means for communication and non-threatening means for sharing data and other pertinent information. Participants said:

- The communications machinery is inadequate to cope with emergencies such as late funding.
- We need training in communication skills.
- No time to communicate, with proliferation of programs.
- Federalese - inability to understand communication even when it is there.
- Actors must get together in establishing what they want; this means exchange of information at an early point.

Planning Cycle Problems

Included in this category are barriers related to funding and planning cycles. Several types of barriers were identified. First, fiscal years of various agencies and prime sponsors differ. Second, the time horizon for planning and budgeting is typically limited to one year and discourages development of long-range interactive programs; therefore, each agency concentrates on its own short-run objectives. Third, the uncertainty resulting from short-term funding also precludes interorganizational cooperation. Fourth, various funding formulas make coordination difficult. Participants responded:

- We have problems with program linkages between different funding sources:
  - lack of timely and clear cut program guidelines
  - planning and budgeting approaches are substantially different
  - duration of funding and funding cycles are different

- Lack of planning time and predictability; no time to work things out.

- End-of-year rush to spend money when it should have been used during the year.

- Lack of consistency in federal programs concerning eligibility of clients.

- When common goal exists, what restrictions on use of funds?

Turf

This category deals with agency boundaries, and includes participant responses related to competition, power relationships, lack of commitment to other agencies' goals or programs, and distrust or suspicion of others' motives. It also includes the responses of some operators of small programs who fear their programs will lose identity or be overwhelmed by coordination. Participants said:

- Rational planning is blocked by vested interests.

- Different funding sources tend to lead to different loyalties and different priorities, sometimes conflicting.

- We are serving the same set of clients and competing for their participation.

- Turf management: protecting own jobs, programs, way of doing things.

- Coordination leads to loss of identification.

- Lack of agreement to coordinate at different agency levels.

- Natural tendency of program operators and agencies to protect their own turf and even expand it if possible, often to the exclusion of cooperation and coordination.

Information

Three major categories of information barriers are included: information about agencies, information about clients, and labor market information.

Information about other agencies, necessary to joint ventures, includes agency objectives, goals, responsibilities and methods of operation; existing programs; funding cycles and funding restrictions; positions, titles and responsibilities of persons who could effect interagency cooperation.

Client information needed for coordinated efforts includes client history, demographics, and needs. There is no common data base for clients; there is no interagency commonality of terms or definitions used in present reporting forms; existing information is accumulated in varying geographical jurisdictions; and there seems to be a disincentive to share clie information.

Improved labor market information is needed to facilitate long-range planning by individual agencies as well as by those seeking to coordinate planning or services. Participants said:

- No process to perpetuate information flow from agency to agency.
- Insufficient knowledge of the functions and activities of agencies.
- Lack of understanding of other agencies' purposes, methods of operation, funding restrictions, philosophies.
- Lack of common identification of terms (definitions) and reporting process; we can't communicate because we don't know what we're talking about.
- Internal information systems used for planning and operations by individual state agencies are often incompatible across agency lines.
- Type of client may be the same but gathering information about them is different for each agency; need coordination of information.
- No accepted information system for referral and client tracking at local level.
- Different data bases and confidentiality restrictions.
- Consistent assessment base for client needs to establish who is screened in or out of individual programs.
- Need to identify and communicate labor market needs. Center or resource needed for good information up to five years, so no panic programs.

Goal Incongruence and Role Confusion

Participants made clear that while various agencies do have different roles and different client groups, some roles and some clients do overlap. In planning for linkages based on common services or common clients, people found that barriers exist because of sometimes diffuse and sometimes converging goals of each agency and subsequent confusion about roles each agency should play in cooperative ventures. Among participants' responses were:

- Too much duplication of services. We are not utilizing the capacity of existing deliveries of certain services.
- Too many agencies have the authority to do the same service.
- Role differentiation not really clear.
- Goals or clients may be the same but priorities are different.

Internal Problems of Agencies

Many participants were concerned with in-house problems, such as management problems, staffing deficiencies, or training inadequacies, which prevent responsive coordination with other agencies. Participants said:

- Places where final decisions are made are not always identifiable; when you find out where, you can't get decisions.
- Inadequate management training at all levels: operating, federal, state, local.
- Bureaucracy; too much red tape in getting clearance for coordination.
- Federal, state and local agency reluctance to deal with private and/or public sector needs in their area.

General Resistance to Change

Participants noted that coordination itself adds an additional layer of complexity and is often met with inflexible bureaucratic resistance. Some of them said:

- Inertia. It's easier not to do something than to do something.
- Agencies have parochial attitudes, from top to bottom.
- Fear of excess paperwork with inter-agency coordination.

Monitoring and Evaluation

Participants saw a need for improved methods of monitoring and evaluation of existing and potential programs so that coordinated change can have a specified direction and priorities can be intelligently selected. Comments included:

- We need evaluation to reorder priorities.
- There is a lack of evaluation for priority of needs between agencies.
- We need outcomes evaluation, not just numbers.

Political Relationships

Included in this category are boundary inconsistencies of governmental units or agencies that may wish to coordinate services. For instance, CETA as a locally controlled agency must coordinate with HEW and EPA which are state level agencies, and locally elected officials may have political goals for CETA which conflict with goals established by manpower planners.

- Use of clout changes decisions and alters power.
- The territorial imperative: geographical boundaries for local governmental units.
- Politicization of manpower under revenue-sharing structure.
- CETA can exercise local control and their own prerogatives; other agencies cannot do the same.
- Geographic problems; never sure who to coordinate with.
- Different funding sources lead to different loyalties.

Lack of Appropriate Incentives

Participants said:

- There are no incentives to cooperation.
- Benefits of coordination are outweighed by costs.
- Our funding is not based on successful coordination.

No Time or Manpower to Coordinate

Participant comments included:

- Little time to meet and communicate.
- Lack of sufficient lead time for proper planning.

Inadequate Federal Assistance

Comments included:

- Feds initiate programs without sufficient planning; foster competition rather than coordination.

- Dire need for clear-cut program guidelines or directives, so all program operators sing the same tune.

- Differing interpretations of federal regulations.

- No agreements in regions - or in Washington - on models for coordination. If they'd come first, we wouldn't have to do so much second guessing.

Inadequate Funding

Comments included:

- Lack of money reflects overall lack of federal commitment to human resource development and full employment.

- Who's going to pay for all of it?

Commentary

Perhaps the most striking result of the problem identification ranking by workshop participants was that there was so little difference in the rankings, whether the participants came from Department of Labor, Department of Health, Education and Welfare or Environmental Protection Agency programs. Each of these groups of participants picked the same six problems as the most difficult and ranked these six far above the other valid problems they identified. The rather small group of participants from WIN, which is already a coordinated program, had a slightly different perspective but tended to identify the same barriers as difficult.

The workshops were the beginning of a study process intended to culminate in a series of seminars conducted by the Northwestern University Graduate School of Management through August, 1976. Linkage seminars will deal with strategies for overcoming or coping with the most significant barriers identified. Agency-specific seminars will deal with the problems from the particular point of view of each agency.

PROBLEM IDENTIFICATION

Leslie Nathanson

Northwestern University
Graduate School of Management

1976

Problem Identification

Before one develops a strategy for overcoming the barriers to linkage between and among agencies, one must first identify just what is preventing linkage from occurring. Identifying the problems with respect to linkage was therefore, the first focus of this project.

Seminars were held at three geographically diverse points within Region V to ask persons invited by each of the three agencies (HEW, DOL and EPA) just what, in their opinion, is preventing coordination, cooperation or linkage between the agencies. The technique we used in these seminars is called The Nominal Group Technique and it, in itself serves as a model for problem identification by group members, and furthermore as a general model of a process for reaching group consensus.

The Model: Nominal Group Technique

Nominal Group Technique (NGT) is a structured problem solving process specifically designed to generate ideas and reach group consensus. It was developed in 1968 by Andre Delbecq and Andrew Van de Ven who derived the technique from "social-psychological studies of decision conferences, management-science studies of aggregating group judgments, and social-work studies of problems surrounding citizen participation in program planning." (Delbecq 1975, pp. 7-8) The resulting technique is one which is especially effective for "situations where individual judgments must be tapped and combined to arrive at decisions which cannot be calculated by one person." (Delbecq 1975, p. 4) It is a technique which is most effective at problem identification or solution oriented meetings and not effective in routine, coordination, bargaining or negotiating meetings. (Delbecq 1975, p.8)

In developing the small group model, Delbecq and Van de Ven were concerned with committee decision-making effectiveness. They were dealing with situations where "a variety of groups fragmented in terms of vested interests, rhetorical and ideological concepts and differentiated expertise needed to be brought together in order for a program to emerge or take place." (Delbecq 1971, p.2)

NGT is effective in goal, value, problem or solution clarification meeting because it promotes:

1) creativity

2) full and balanced participation of group members

3) abundant idea generation

4) closure to meetings via voting techniques (Delbecq 1975, p.9)

NGT achieves these qualities through 4 steps, each utilizing a different process to nuture each stage of creativity. Simply, the steps include silent idea generation, reporting of ideas, discussion of ideas and ranking of ideas. The first step promotes divergent thinking by group members who are asked to think about a specific issue and make private notes about their ideas concerning that issue. The second stage gives each member time to relate their ideas to the group while the leader records them on newsprint. This step encourages full group participation even by members who are usually quiet or shy. The third step involves discussion of each idea for clarification allowing expanded group perception of critical issues through defining individual points of view. The fourth stage calls for the establishment of priorities of selected ideas or issues through the aggregation of the ranking of all the ideas by individual group members.

Nominal Group Technique is used with groups of 5 to 8 participants with a trained leader; it has been used with people from many socio-economic levels and cultures and has been employed in human service organizations in education, health and the social services. The length of time required to run a problem identification meeting is about two hours.

The Process

The four steps of the NGT process are depicted in detail in Figure 1 on the following page. The Action and Guidelines Sections show in detail the specific procedures to be taken by the leader in each step. The rationale refers to the reason for the step especially with respect to the theoretical grounding discussed in the previous section.

40

Figure 1.
Nominal Group Process

Process Steps

Step 1: Silent Idea Generation → Step 2: Round Robin Reporting of Ideas → Step 3: Discussion for Clarification → Step 4: Ranking of Problem Importance

Step 1: Silent Idea Generation

Action and Guidelines

1. Clarify problem statement
   - pass out worksheets and pencils
   - read problem statement
   - explain kind of response desired (open ended or what comes to mind)
   - resist further process clarification (no examples)
2. Guidelines
   - request that ideas in response to question be written in short phrases on worksheet
   - request members work individually and silently
   - stress identification of problems, not solutions
   - again, ask for cooperation and commitment to task at hand.
   - discourage disruption of silent, independent activity (Please stay with your group)

Rationale

1. Provides adequate time for thinking.
2. Encourages people to work, as they see others working.
3. Promotes divergent thinking.
4. Eliminates dominance by high-status or aggressive participants.
5. Keeps group problem-centered.

Step 2: Round Robin Reporting of Ideas

1. Clarify goal and process of this step
   - An accurate list of the ideas generated in this group
   - Ideas will be taken serially
     - Ask the first person for one of his ideas
     - Write down the phrase as it is stated
     - Ask if anyone else has a similar idea: write down variations of the ideas as they are stated
     - Return to next person for new idea
     - Continue until all are recorded on flipchart
2. Guidelines
   - Record ideas as quickly as possible (attention is short here)
   - Record ideas in words by the individuals
   - Keep entire list visible by tearing off completed sheets and hanging on wall.

Note: "Hitchhiking" is invited. If ideas written on the chart stimulate another idea for a participant, participant is encouraged to add to worksheet and report to group.

1. Equalizes opportunity to present ideas.
2. Provides a written record and guide.
   - Increases ability to deal with large number of ideas
   - Avoids loss of ideas
   - Presents group with an array of clues
   - Encourages hitchhiking
3. Places conflicting ideas comfortably in front of group.
4. Round Robin approach establishes a behavior pattern. By the second or third time around each member is an achieving participant. A precedent for further participation is set without competition with high-status, aggressive or emotional personalities
5. Allows ownership of concept by using participant's own words.
6. Facilitates group participation on an equal footing.

Step 3: Discussion for Clarification

1. Clarify the role and process of this step
   - Purpose is to clarify.
   - Members should ask each other the meaning of words and phrases
   - The discussion can and should convey the meaning, logic, or thought behind an item.
2. Guidelines
   - Take each idea listed on the flipchart in order.
   - Pace the discussion to avoid undue argumentation about some items to the neglect of others. (You want to enhance understanding but minimize influence based on verbal prominence or status) .
   - Encourage participants to ask clarifying questions.
   - Ask for specific examples when possible.

1. Avoids having discussion focus unduly on a particular idea.
2. Helps eliminate misunderstanding.
3. Provides opportunity to express logic behind terms.

Step 4: Ranking of Problem Importance

1. Purpose of ranking is to aggregate the judgments of individual members in order to determine the relative importance of problems identified.
2. Guidelines
   - Give each idea a letter identity (if you run out of the alphabet, use double letters)
   - Give each member 3 X 5 cards
   - Ask the group members to select 5 items with highest priority (This will take careful thought and effort, so encourage participants to take needed time)
   - Ask each to record each of his selected items on a card, placing the letter in the upper left corner and the short identifying phrase in the center (show example)
   - Rank order cards at the same time after each member has selected his 5 items Say "Look at your five cards Decide which problem has top priority Please put a 5 in the lower right corner"
   - Proceed through the rank order
   - Collect cards
   - Record and tally ranks on master chart

1. Obtaining independent judgements in writing helps eliminate social pressures.

Operating Hints
(1) Use name tags without titles
(2) Use desk name cards
(3) Set ground rules - i.e. - kindly do not interrupt when someone is talking

L. Nathanson
November 1975

Sample Problem Identification Session

A session to determine the problems which are preventing organization from coordinating their efforts might look like this. (Leader - L, Participant - P)

Step 1. Silent Idea Generation

L: (to small group) As you know we are meeting today because we are trying to find out what the problems are with respect to our ability to coordinate the services we are offering our common clients. Today we are going to try to find out what is preventing this coordination. Once we know what the problems are we will have a better chance of finding some solutions. In order to identify our problems, we'll use a rather structured process known as Nominal Group Technique. It consists of four rather distinct stages. First I will ask you to respond to a problem statement or question. You'll have about a half an hour to write down your ideas. Second, I'll ask each person for their ideas, one idea per person at a time as we go around the table. Third, we'll take some time to discuss the ideas and finally, we'll vote on the problems that seem to be of greatest importance with respect to our coordination or lack of it.

Please consider this problem statement.

(L points to large newsprint with problem statement written out: an example could be "From your point of view, what barriers exist to your agency's coordination of planning and programming activities with other agencies that may serve the same set of clients?" L then passes our individual worksheets which have the problem statement written on the top but are otherwise blank).

P: What kind of barriers do you mean?

L: I want to know what your ideas are about the things which prevent us from working well together. Simply put down in your own words what your ideas are on this subject. Remember, we are concerned here with the problems of coordination, not solutions yet.

L: Please stay quietly at your place during this time. We have found that moving and talking now disturbs people who are trying to think.

(Group takes about 25-35 minutes to respond to the problem statement)

L: Please look over your ideas. Take a few moments to distill your statements into short words or phrases.

(Allow about 5 more minutes for rewriting and finishing up.)

Step 2: Round Robin Reporting of Ideas

L: Now we are going to give each person the chance to share his or her ideas. We will go around the table Please give just one idea at a time; we will go around as many times as we need to If you have nothing to add, just say pass You may take your turn again whenever you'd like P_1 would you give us one of your ideas concerning barriers to coordination?

P_1: Reads Response.

(L records P_1's idea on newsprint in P_1's exact words labeling the statement with A. It is important to use alphabetical identification to avoid later confusion with numbers when voting. L should make sure that everyone can see.)

L: Thank you. Does anyone have an idea which is similar to P_1's idea. We can record it here.

P_5: I have almost the same thing. I just said it a little differently.

L: Please tell us how you said it. We want everyone's ideas. Some people might be more comfortable with your wording.

P_5: Response about similar issue to P_1.

P_4: I don't understand what P_5 means.

L: During this stage we simply record everyone's ideas. In the next step we will discuss them. P_2 (in order around the table), would you like to show one of your ideas?

P_2: Response

(The round robin reporting of ideas continues until everyone has offered as many ideas as he or she wish. The leader should encourage "hitchhiking." In other words, if one person's idea reminds someone else of an additional thought it can be added to the list. The leader should make sure that the entire list is always visible by tearing off completed sheets and hanging on wall.)

Step 3: Discussion for Clarification

L: Now that we have all the ideas in front of us on newsprint, we should make sure we all understand what each of these phrases mean. If you have any questions, simply ask "What is meant by statement (letter name)?"

P_6: I don't quite understand what is meant by statement J.

P_2: Explains his/her meaning of statement.

P_5: To me it means . . . .

(The group discusses each idea as necessary. The leader facilitates movement from one idea to the next as the time permits.)

Step 4: Ranking of Problem Importance

L: I will give each of you 5 cards (see figure 2) which we will use to establish the order of importance of our ideas. Please look over the entire list and select 5 problems which you feel most strongly affect departmental coordination. Please do not rank the cards yet. Simply put one idea on each of the 5 cards. Identify the ideas by letter identification and by writing the idea statement.

(Give about 5-10 minutes for people to look over the newsprint and make their decisions.)

L: Now look at your 5 cards. Decide which problem has the top priority or is of the most importance. Please put a <u>five</u> in the lower right hand corner of the card. Now select the problem of next highest priority and put a 4 in the lower right corner. Please continue.

L: P_X Would you please collect the cards and read the results to me.

(The leader has taken a new piece of newsprint and written the alphabet from A to whatever letter the ideas end with. Now, as P_X reads the results, the leader records the rank order numbers next to the appropriate identifying letter.

The ranks are tallied and note is made about the <u>five</u> top ranking problems that the group feels are prohibiting coordination.)

Note: It is possible that consensus will not be reached here and that another vote will need to be taken after more discussion. For various rating forms and instructions, see p. 63-66 in Delbecq et. al.

Figure 2

__________ Identifying Letter	______ Agency *
	______ Location
______________________________	
______________________________	
______________________________	
______________________________	
______________________________	
Identifying Phrase	
	______ Rank

* Agency and Location blanks are optional. But they are for situations in which it would be useful to collect data with respect to particular problems of an agency or of a geographic location. The leader can collect the cards and, at a later more convenient time, sort them according to agency or location.

Operating Hints

There are several operating hints that might make the procedure a little smoother. They are:

1) Be sure to do a quick overview of the whole process when you begin so that the participants will know what to expect.

2) Write legibly in front of the whole group. Be very careful to write ideas down in the exact words that they are presented. In other words, be careful not to interpret what is being said so that you add your own meaning to the participants' ideas. Your participants are valued because of the expertise they can bring to this issue.

3) Use name tags. If the participants are not from relatively equal work roles, do not put titles on the name tags. Let people become familar with each other for their input, not their authority.

4) Use desk name tags so everyone has an opportunity to see the names of the participants without trying to strain across the table to read the small print on name tags.

5) Be sure to give people the opportunity to introduce themselves before you begin if they do not usually work with each other.

6) Set up a few basic ground rules. For instance, state "Kindly do not interrupt when someone is talking."

Advantages/Disadvantages

Advantages of NGT are:

1) The technique can be used with groups consisting of people with varying backgrounds, cultures, education or work roles who share a common problem or goal.

2) NGT can be used in groups where participants do not have previous training in group process or communication skills.

3) The highly structured process allows a quick method of bringing people together to approach a common task.

4) NGT promotes the generation of many ideas surrounding an issue.

5) NGT allows for maximum and equal participation of all the group members, allowing maximum input from many areas of expertise.

6) The structure of NGT makes it a relatively easy process to run.

7) NGT allows the group to reach consensus in only about two hours.

Disadvantages of NGT are:

1) It is difficult to write an appropriate problem statement that will generate ideas toward an issue.

2) NGT calla for a trained leader or facilitator.

3) The technique can deal with only one question at a time.

4) NGT is inappropriate to use in a group where interacting problem solving and team building skills are to be developed.

5) It takes some effort to prepare for an NGT session, including gathering together the needed materials and writing a well-thought-out problem statement.

6) The structure of NGT does not lend itself to a change in topic at a meeting. It is really a single purpose, single topic technique.

<u>Resources</u>

Special Equipment Needed for NGT include:

1) Newsprint and felt-tipped markers for each group.

2) A copy of the Nominal Group Task Statement Form for each participant.

3) Twenty 3" X 5" cards for each participant.

4) Paper and pencil for each participant.

5) Masking tape.

6) Tables and chairs to accommodate up to eight participants per group.

Bibliography

Delbecq, Andre L., and Van de Ven, Andrew H. "A Group Process Model For Problem Identification and Program Planning." Journal of Applied Behavioral Science 7, no. 4 (1971a).

Delbecq, Andre L.; Van de Ven, Andrew H.; and Gustafson, David H. Group Techniques For Program Planning. Glenview, Ill.: Scott, Foresman & Co., 1975. (For more detail see reference at the end of each chapter.)

Jones, John E., and Pfeiffer, J. William, eds. The 1975 Annual Handbook For Group Facilitators. La Jolla, Calif.: University Associates Publishers, Inc., 1975.

Van de Ven, Andrew H., and Delbecq, Andre L. "Nominal Versus Interacting Group Processes For Committee Decision-Making Effectiveness." Academy of Management Journal 14, no. 2 (1971b).

Problem Assessment Workshop Agenda

9:00 - 9:15 Welcome:

1. Who we are, what we are doing here.
2. Our task is serious and important.
3. Each member's role is important.
4. How we plan to use today's output.

9:15 - 9:20 Welcome:

1. This morning will have a problem orientation.
2. We will deal with solutions this afternoon.
3. How groups will be divided.
4. Initial statement of workshop question.

9:20 - 9:30 Break into small groups. Introduce participants by name and agency.

9:30 - 9:55 Step 1: Silent Idea Generation

1 Clarify problem statement
   - pass out worksheets (Exhibit 1) and pencils
   - read problem statement
   - explain kind of response desired (open ended or what comes to mind)
   - resist further process clarification (no examples)

2. Guidelines
   - request that ideas in response to question be written in short phrases on worksheet.
   - request members work individually and silently
   - stress identification of problems, not solutions
   - again, ask for cooperation and commitment to task at hand
   - sanction disruption of silent, independent activity (please stay with your group)

10:00 - 10:25 Step 2: Round Robin Reporting of Ideas

1. Clarify goal and process of this step
   - an accurate list of the ideas generated in this group
   - ideas will be taken serially
      - ask the first person for one of his ideas
      - write down the phrase as it is stated
      - ask if anyone else has a similar idea; write down variations of the ideas as they are stated
      - return to next person for new idea
      - continue until all are recorded on flipchart

2. Guidelines
   - record ideas as quickly as possible (attention is short here)
   - record ideas in words used by the individuals
   - keep entire list visible by tearing off completed sheets and hanging on wall

Note: "Hitchhiking" is invited. If ideas written on the chart stimulate another idea for a participant, participant is encouraged to add to worksheet and report to group.

10:25 - 10:45 Coffee Break

10:45 - 11:30 Step 3; Discussion for Clarification

1. Clarify the role and process of this step
   - purpose is to clarify
   - members should ask each other the meaning of words and phrases
   - the discussion can and should convey the meaning, logic, or thought behind an item

2. Guidelines
   - take each idea listed on the flipchart in order
   - pace the discussion to avoid undue argumentation about some items to the neglect of others (you want to enhance understanding but minimize influence based on verbal prominence or status)
   - encourage participants to ask clarifying questions
   - ask for specific examples when possible
   - take notes here for our project purposes on any information which could be useful to our project: examples, case study possibilities, etc. (difficult to do, but valuable for our research)

11:30 - 11:45 Step 4: Ranking of Problem Importance

1. Purpose of ranking is to aggregate the judgments of individual members in order to determine the relative importance of problems identified.

2. Guidelines
   - give each idea a letter identity (if you run out of the alphabet, use double letters)
   - give each member 3 X 5 cards
   - ask the group members to select 5 items with highest priority (his will take careful thought and effort, so encourage participants to take needed time)
   - ask each to record each of his selected items on a card, placing the letter in the upper left corner and the short identifying phrase in the center (show example)

- rank order cards at the same time after each member has selected his 5 items -- say, "look at your five cards; decide which problem has top priority; please put a 5 in the lower right corner."
- proceed through the rank order
- collect cards
- record and tally ranks on master chart

11:45 - 12:00 Summary and Feedback

1. Bring the large group together and have a representative of each group feedback the problems which were identified in that group.
2. Thank the participants for attending.

52

EXHIBIT I

From your point of view, what barriers exist to your agency's coordination of planning and programming activities with other agencies that may serve the same set of clients?

Please write your ideas here:

COMMUNICATION STRATEGIES FOR LIAISON RELATIONSHIPS

Joseph S. Moag

Northwestern University
Graduate School of Management

1976

Communication Strategies for Liaison Relationships

The following materials are intended to provide those participating in inter-agency projects and decision making with a conceptual framework for evaluating communication strategies used in linkage activities. Linkage is communication and the utility of linkages between agencies depends first and foremost on the communication strategies used during the linkage project.

The model presented below offers two distinct communication strategies, an open network strategy and a closed network strategy. It indicates the decision conditions under which each of these two strategies should be employed. A rationale for the model is then presented after which some problems of implementation are discussed and the concepts developed are applied to two linkage cases.

The Model: Two Communication Alternatives

Two important variables in inter-agency communication and related decision processes are the type of communication network employed by the communicators, and the state of development of the liaison project. Each is discussed below.

1. Communication Networks

Communication between agencies is a complex of procedures and attitudes which may or may not facilitate a liaison project. Implicitly or explicitly, each liaison project requires the parties to deal with the following three questions:

- who should I communicate with?
- what should be communicated?
- how should it be communicated?

55

How these questions are answered will determine the quality of inter-agency decisions and projects. The answers to these questions will affect not only the effectiveness of joint activities but the harmony with which these activities are engaged in.

The answers to these questions could fall in one or another of two extreme communication strategies, an open network response or a closed network response. An _extreme_ open network response would be a positive "everyone," "everything," "always" sort of response and an _extreme_ closed network response would be a negative "no one," "nothing," "never" sort of response. While there are some agency communicators who tend toward one or the other extreme (especially the latter extreme), most communications fall somewhere in between. _It is the point of this model that communications need to move toward one or another "extreme" of this model according to the state of development of the liaison project._

2. _State of Project Development_

The state of development of a liaison project can be determined by the state of uncertainty and/or complexity of its decision problems. The most uncertain situation, the most complex situation for liaison activities is one in which the group of people from various agencies who would have to participate in implementing linkage projects are not in agreement on their values and goals with respect to the project. The least uncertain and least complex situation for liaison activities is one in which there is not only consensus on the values and goals of the particular project but in which individual responsibilities and roles in the implementation project are understood by all and accepted and carried out by each individual.

The figure presented on the following page matches the communication extremes with the project development extremes. The data in the cells reflect the appropriate strategy to follow in a linkage project under the conditions indicated.

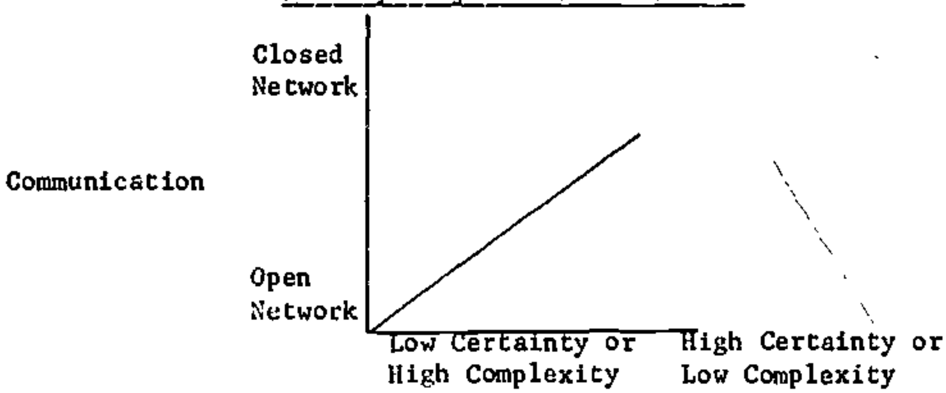
Figure 1.
A Visual Design for Communication Strategies

Project Development Stages

Communication		Low Certainty	High Certainty
	Closed Network	DO NOT GO TOGETHER	DO GO TOGETHER
	Open Network	DO GO TOGETHER	DO NOT GO TOGETHER

When we discussed the communication and development variables above, we presented extreme conditions for these variables. We also noted that in most situations, most communications fall between the extreme forms of open and closed networks. Similarly, while it is true that linkage projects may sometimes arrive at the extreme stage of consensus, acceptance and implementation of individual responsibilities (project certainty/simplicity) it is also true that linkage projects are often faced with high project uncertainty and complexity as defined here. In effect, at the initiating stage of a linkage there is always the condition that there is no consensus on values and goals vis-a-vis the project. However, over the life of a healthy project there is in effect a movement from low certainty to much more certainty. As a consequence, communications strategy should also be moving over the life of a healthy project, from a very open network to a much more closed network. Graphically, this norm for healthy project communications is as follows:

Figure 2.
Healthy Project Communications

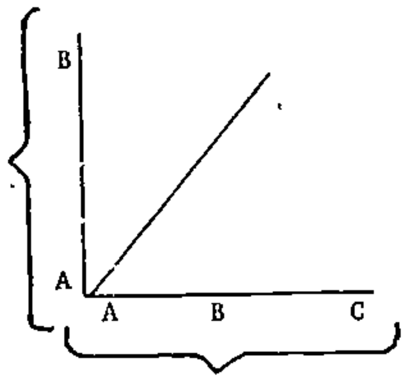


Another way to interpret this graph is to read the vertical axis as an increasing number of rules restricting the communication relationships between project personnel. As the certainty increases (horizontal axis) the number of constraints on communication should increase. In other words, as we move toward reaching consensus acceptance and implementation of individual responsibilities (project certainty/simplicity) we can begin to close our communication network.

To help make this communication principle more operational, Figure 3 presents some of the indicators of project development stages and open and closed networks which can be useful in the evaluation of project communication.

Figure 3.
Important Indicators of Communication Strategies and Stages of Project Development

(II) Communication Strategies



Project (I) Development Stages

Figure 3. (Continued)

(I) <u>Project Development Stages</u> (Indicators)

Stage A. Group agreement on values, relationships and goals. During this stage the group needs to agree (reach consensus) on such issues as:

- ground rules for group membership, including group's right to sanction individuals
- ground rules for group communication processes and decision making processes
- means for resolving group differences
- relevant reference and/or client group
- means for determining reference and/or client group preferences
- level of personal risk, group risk
- time horizons, deadlines, project priorities

Stage B. Group agreement as to causality and as to the probable effectiveness of alternative programs or procedures. In this stage the group needs to agree on such issues as:

- cause and effect
- probabilities of outcomes from actions taken
- the quality and quantity of information used in coming to decisions
- project specifications and role specifications
- means for assessing project effectiveness, role effectiveness
- conditions for reevaluation of goals

Stage C. When group individuals understand and agree on individual roles and accept their performance responsibilities.

(II) <u>Communication Networks</u> (Indicators)

As mentioned earlier, communication is a complex of procedures and attitudes. In order to determine whether a network is open or closed we would inspect the type of messages used, the description of the liaison roles, the environment of the meetings and the attitudes of the communicators.

Figure 3. (continued)

Messages

the less a message ________ the more open the network.

- is coded
- is numerical
- is written/printed
- is restricted as to senders
- is restricted as to recipients
- is personal
- is rule or order centered
- is fact centered
- serves as a record
- serves as a contract
- is sanctioned

the more a message ________ the more closed the network.

Liaison Roles

the less a liaison role ________ the more open is the network.

- is responsible to a chain of command
- has been broken into subfunctions
- requires special training or specialized education
- has standardized evaluation criteria
- has well-defined reporting relationships
- has a specific job description

the more a liaison role ________ the more closed is the network.

Meetings

the less a meeting has ________ the more open the network is.

- hierarchical seating arrangements
- status recognitions
- mediated presentations (e.g. charts, etc.)
- a standardized time and/or format and/or function
- an agenda of topics
- an agenda of participation
- specialized roles e.g.
  - participation limited to information
  - participation limited to voting
  - participation limited to area of expertise or responsibility
- seating arrangements which limit access of participants to each other

the more meeting has ________ the more closed a network is.

Attitudes

the less attitudes of participants are ________ the more open the communication network is.

- control oriented
- influence oriented

the more attitudes of participants are ________ the more closed the communication network is.

The Rationale of Model

The above model has been developed from the work of Weick (1969) and Watzlawick, Beavin and Jackson (1967). Working from the control theory of organization, Weick has shown that for groups and organizations to cope with uncertain environments they have to reduce the rules and procedures of relationships (i.e., open the network of relationships) as the uncertainty increases. It is argued above that the uncertainty of linkage projects is greatest prior to group consensus on goals and that uncertainty will continue to decrease as goals are agreed on and subsequently the means for achieving them is agreed on. As the linkage project reaches agreement on goals, and their means, the communication relationships should gradually become more and more restricted (i.e. become more and more a closed network). Conversely, if there are sudden changes in the environment (e.g., new legislation) a linkage project with already well developed goals, considerable certainty of means, and role responsibility will find itself in a condition of uncertainty again. Consequently, the appropriate strategy of a closed network prior to the sudden change is no longer appropriate and the linkage relationships will have to become more open.

Watzlawick, Beavin and Jackson's contribution to the model is their proposition that the negotiation of relationships is dysfunctional to the exchange of information. Thus whenever there is a change in status, power, authority in a situation there will be a concomitant increase in the distortion of messages. It is this which requires us to present in the model a necessary progression of project development from stage A to stage C. In other words, until the group agrees on such issues as values, goals, and the other indicators in I A in Figure 3 there will be considerable distortion in the information exchanged between agency representatives to the linkage project. It also requires us to present open communication characteristics in the way that we did, i.e., as those which stress the expression of values and feelings and deemphasizes authority, status, and expertise as well as deemphasizes attitudes of control and influence. For a further study of the effects of control-oriented attitudes on communication and problem-solving see Gibb (1961).

Problems of Implementation

In the Communication Seminar a number of problems of implementation of the model were noted by either the participants or the staff. A few of the major ones should be recognized here.

A. The organization structure of the individual agencies. For almost all activities within the agencies, the structure of relationships is a highly restricted one. With respect to communication, this means that the typical agency pattern is that of a closed network. There are two consequences of this.

   1. Personnel have insufficiently developed the attitudes and skills necessary for them to conduct themselves properly in an open network.

   2. Those personnel able to conduct themselves properly in open networks have a difficult time translating linkage activities into agency comprehensible systems.

   A solution to this may have to be a structural one, a)namely the development of liaison roles with personnel chosen who are equally able to participate in both open and closed networks, b) the reporting relationship of liaison personnel should be high in the hierarchy of the agency, at a point where it is more likely that communication patterns are less rule bound (i.e., more open).

B. The lack of agency flexibility. The lack of agency flexibility (either because of regulations or the resistance to change) forces agency representatives into a negotiating relationship in the linkage project. As we have said above, negotiating relationships are dysfunctional to the inter-agency exchange of information.

A solution to this may again have to be structural (although the workshop on Problem Identification Strategies presented elsewhere in this manual is an attempt at a process solution to this problem). A structural solution would be to choose linkage representatives from higher in the agency hierarchy so that the liaison individual's influence <u>within</u> the agency will be much greater. The greater his influence within the agency, the less pressure on him to continually negotiate on the linkage project.

C. <u>Time constraints</u>. The open network alternative is enormously time consuming. Many of those working on linkage projects are overloaded with intra-agency assignments or with multiple linkage responsibilities. Here again structural changes may be necessary, either reducing the intra-agency responsibilities of liaison personnel or, if these are already reduced, developing a matrix type organization in the agency with a number of project managers/representatives. (See Galbraith, 1973 for an understanding of this structural alternative and others.)

<u>Case Application</u>

During the seminar an attempt was made to use the above model as a framework for the analysis of two cases.

1. <u>McHenry County</u>. (Exhibit I) The McHenry County Forum was used as an example of a relatively open network participated in by a rather large variety of agencies. It was pointed out that the attempt of the Forum to develop its own budget would likely add restrictions to the communication relationships. It was further noted that the issues discussed were not differentiated with respect to uncertainty. In other words for <u>some</u> issues, the Forum was <u>too</u> open a network.

2. Baltimore Metropolitan Manpower Consortium. (Exhibit II) The failure of the Maryland Sea Service Project was discussed in terms of amount of preliminary communication engaged in between the Consortium and the Sea Service Program prior to the determination of individual responsibilities and the monitoring system. In effect, in this instance, stages A and B of project development were pretty much skipped. Communication was a negotiation process without the open exploration of values and feelings or even an exploration of alternative programs and procedures. Many participants argued, however, that the structure of funding and the process of funding as well as the low amount of money involved mitigated against the adoption of an open network prior to contracting the relationship.

Bibliography

Galbraith, Jay. The Design of Complex Organizations. Reading, Mass.: Addison-Wesley, 1973.

Gibb, Jack R. "Defensive Communication." Journal of Communication XI, no. 3 (September, 1961): 141-48.

Watzlawick, P. Beavin, and Jackson, D.D. Pragmatics of Human Communication. New York: Norton, 1967.

Weick, Carl. The Social Psychology of Organizing. Reading, Mass.: Addison-Wesley, 1969.

Communication Strategies for Liaison Relationships Seminar Agenda

9:00 - 12:00 Welcome

Communication Strategies (Lecture)
1. Overview
2. Principles and Procedures
3. Indicators

Coffee

Case Discussion
- small groups read McHenry County Excerpt (Exhibit I) and return to group prepared to answer the following questions:

  1. What (are, could be) the advantages of the forum as a coordination mechanism?
  2. What (are, could be) the problems of the forum as a coordination mechanism?
  3. What (are, could be) the advantages of your agencies working with a forum.

- large group, a member of each small group feedback results of case discussion.
- consultant makes notes on board and applies feedback to concepts in model.

Lunch

1:45 - 4:30 Communication
- Consultant
  model development lecture

Case Discussion
- small groups read Baltimore County Excerpt (Exhibit II) and return to group prepared to answer the following questions?

  1. What kinds of agreements (did, should have) the consortium people try to get at the initial stages of the project.
  2. Can you map the stages of this project.
  3. What were the results of this project with respect to the communication strategies model.
  4. What steps could have changed these results.

- large group, a member of each small group feedback results of case discussion.
- consultant makes notes on board and applies feedback to concepts in model.

EXHIBIT I
McHENRY COUNTY, ILLINOIS
CETA PRIME SPONSOR

In 1972 George Malley of Family Services and Mental Health Clinic, Jack Haffner, then county probation officer, and Pete Stuckey, Head of the Office of Community Services of the Community College, attended a meeting in Rockford of the Winnebago County CAMPS organization. At this meeting members of social welfare agencies discussed individual problem cases. The McHenry County Officials were impressed with the idea of inter-agency cooperation and decided to try it in their area.

Haffner and Stuckey, who had become acquainted thru the college's classroom training program at the county jail, phoned agencies they thought would be interested in an inter-agency organization and invited them to send representatives to a meeting. Meetings were subsequently held at the Timbers Restaurant in Woodstock and at various agency offices, and an organization ultimately known as the Community Forum evolved. A June 1972 memo identifies the following goals for the group:

1. Reduce duplication of effort between agencies.
2. Establish an informational network.
3. Determine the needs of the people of McHenry County.
4. Attempt to resolve the needs as determined above.

Eventually, a once a month meeting date was established. Meeting places are rotated among agencies. By-Laws were adopted in October 1975 and plans for incorporation made, creating what the current director of the Forum, Bill Biscomb describes as an "identifiable entity." Any agency that is involved in social services is invited to be a member, and it is tacitly understood that an agency representative to the Forum has the authority to speak for his or her agency. In addition to its originally identified goals, the Forum has decided to perform services directly -- the creation of a legal entity is a prerequisite for the receipt of funds for this purpose.

This excerpt was taken from the case written by Cynthia Goldring, Northwestern University Manpower Project, for the purpose of class discussion.

According to Biscomb:

> We are getting involved in a lot of things that perhaps transcended the original concept of the Forum...Nobody told us we couldn't do it, so we did it...In providing services, acting as a catalyst, and in evaluating the services that are being performed--I think this is where we are going to find our home.

In 1973 Pete Stuckey met with the County Board and encouraged the Board to apply for CETA funds. He also recommended Jack Haffner for director of the prime sponsor agency. The County Board adopted both of his recommendations, and Haffner set up shop in May 1974. Stuckey, Haffner and the consultant who writes the agency's applications together attended the Department of Labor prime sponsor training sessions in Chicago, and the first meeting of the Advisory Council was convened four months later.

Advisory Council

The original Advisory Council was composed of members of the Community Forum with whom Haffner had developed a working relationship in the past--Maxine Wymore of Public Aid and Pete Stuckey of McHenry Community College, for example. These individuals were selected by Haffner and approved by the County Board. During the ensuing 1½ years, Haffner appointed others to the Council; there are now 27 members representing law enforcement, social service, and education agencies, in addition to private industry and labor unions.

Eloy Salazar represents the Illinois Migrants Council, a largely Spanish-American group. This organization had received a grant from the Lake County CETA agency and had requested a similar grant from McHenry County. The Advisory Council refused the grant because it was felt that the request was excessive. Haffner pointed out to Salazar that while Spanish-Americans comprise only 1.3% of McHenry County's population, 10% of OJT slots are filled by members of that group. Haffner then invited Salazar to become a member of the Advisory Council, which Salazar did.

Haffner has the authority to overrule the Advisory Council if he and they were to disagree. However, he says he "would bend over backwards to avoid that." The Advisory Council approves all expenditures, altho this is not required by law or regulation.

Several of the Council members are in regular frequent telephone or face-to-face contact with Haffner--Tupy of ISES, Stuckey, Wymore and Biscomb are among these. Contacts with others range from once a month (at Advisory Council meetings) to several times a month. In addition, Haffner serves on the boards of several of the agencies represented on the Council.

The Advisory Council meetings, held in a community building, are informal. There is an agenda, but few parlimentary procedures are followed. Votes are taken only on issues which are controversial among Council members, or which involve the group with an external agency such as the Department of Labor.

In the spring of 1976 several sewing machine operator positions became available in the county at wage rates of $4-5 an hour. The staff was in favor of using OJT slots to fill these jobs. Through the Federal Representative, Richard Wambach, the Department of Labor objected, warning that this type of employment could be disallowed because of its history of sweatshop conditions. When Haffner explained this at the Council meeting of March 18, 1976, and several council members argued that the wage rate was higher than rates being paid other CETA participants, and that there are opportunities for further training and advancement in the factories where the positions were available. Wambach recommended that the prime sponsor submit a justification to the Department of Labor, and he predicted that the DOL would allow the program. The Council voted unanimously to submit the justification.

Another situation in which a vote was taken involved Mr. G, a Spanish-American who had written to Senators Adlai Stevenson and Charles Percy complaining that the McHenry County CETA provided inadequate services for Spanish-Americans. The letter was routed through the Department of Labor and ultimately reached Haffner. Upon investigation, the staff discovered that

Mr. G. had lost his job at a local dairy due to recessionary layoffs and had applied to CETA. He was offered a $9,000 job but refused because he felt the pay was low. According to Wambach, Haffner was within his rights to have closed the matter, but instead Haffner referred it to the Advisory Council. A committee which included Spanish-American members concluded that Mr. G did not have a legitimate grievance.

The agendas of the February 26 and March 18 meetings included reports on the OJT program and a verbal agreement between Haffner and Tupy of ISES. At the February 26 meeting, Carl Martens, staff job developer, reported on the OJT program, describing the program operation, problems encountered and numbers participating. On March 18 Haffner explained that the number of CETA applicants had dropped by 50% during February. Haffner observed that this may have been due to prospective applicants applying for unemployment compensation in the new and accessible ISES/UI office rather than applying for jobs at CETA. He and Tupy worked out a verbal agreement whereby any person whose unemployment compensation has expired would be referred to CETA.

CETA AND OTHER AGENCIES

Haffner's relationship with ISES has both formal and informal components. Haffner talks to Tupy at least once a week for information on job openings. There is a written contract with ISES specifying the services that the ES office will provide to the CETA agency. This agreement, signed in July 1975, formalized programs that had already been in operation under informal arrangements.

There is also a written contract with McHenry Community College specifying the services to be provided by the College. Again, the contract was not signed until July 1975, formalizing programs that had already been in operation.

By verbal agreement, the CETA office receives lists of the Department of Public Aid cases. Haffner is considering a written contract with Public Aid which would specify that one person be employed full-time by public aid for

CETA referrals through the WIN program.

The contracts with ES and McHenry College provide for personnel from those agencies to be directly employed for CETA programs. These personnel are housed in the Outreach Center, a storefront intake facility located in downtown Woodstock. The director of the Center is an employee of the College, as is the adult education counselor. The placement counselor is an employee of ISES; he refers CETA non-eligible applicants to ES. CETA staff in the Center include Lillian R-Carrington, who is the EEO officer and person in charge of work experience programs, a job developer, and the senior citizens organization director.

Haffner set up an advisory body to determine the allocation of Title VI funds, although this was not required by law (the Advisory Council is authorized to consider matters pertaining to all titles). This council is composed of mayors, township supervisors, school superintendents and road commissioners. The Council agreed that Title VI funds should be used for public agencies that could retain the employees after Title VI is terminated.

Both Haffner and Wambach feel that their relationship is a mutually satisfactory one. Haffner states that he often "asks for advice from Rich." and Wambach feels that Haffner respects him.

HAFFNER'S PHILOSOPHY

Haffner feels that the McHenry County CETA has been a success for several reasons. First of all, "we don't pick anyone's pockets." Secondly, "everything is out in the open." And third, "CETA touches every place in McHenry County; everyone knows about CETA." Furthermore, he feels that he is "not out there alone." Bob Schultz, an Advisory Council member from Oak Industries in Crystal Lake, comments that "CETA works because Jack works."

EXHIBIT II

BALTIMORE METROPOLITAN MANPOWER CONSORTIUM
BALTIMORE, MARYLAND

Q: How did you make the transition from no knowledge of another agency to operation of a cooperative, coordinated program?

Marge:* Donna should be able to describe that. She started with our office as a newcomer to Baltimore, in addition to working in an area we knew very little about initially.

Donna:** You jump in and get dirty real quick, You jump in one direction, and if you drown, you know it was the wrong way.

Q: How did the coordination with LEAA get started?

Donna: I started a year ago. We already had one LEAA program that had been in operation for about a year, and one that had just begun.

Marge: The first one we took over from the city. The second was the one on which we got the call about if we had these funds what would we do with it. So we came up with an idea, hired Donna, and gave it to her.

Donna: On the first one we were approached by a private nonprofit group called Maryland Sea Service. They said we have this idea for a voc training program and we're seeking funding for it. After they spoke with one person in this office, they hit on the idea of providing such a program for juvenile delinquents. Once they hit on that idea, we were aware of sources of funding thru LEAA. They were interested in developing a vocational training program full time for youth. They had for the past 10 years a weekend program. Kids in school came down on the weekend and worked in the dock, learned to tie knots and worked on boats in the harbor. They thought maybe they could do the same kinds of things for kids who were not in school, so they approached us as a resource. From that point we evolved to lets work with delinquent kids since they're the kids who are not in school. From that a grant was developed and the state planning agency for LEAA subsequently funded it.

Q: How did the sea service learn about LEAA as a funding resource?

Donna: I don't think they knew about it until they came to us. What they knew about was the Mayor's office of Manpower Resources. They approached us with the idea. This office was the grantee, and we in turn subcontracted to them. I'm not sure they had anything beyond an idea when they first approached this office.

Q: How much were they involved in developing the proposal?

* Grants/Sub-Contracts Manager, CETA

** Special Projects Coordinator: she came to the Consortium with a background in criminal justice, and her role is liaison with Criminal Justice System for CETA.

This excerpt was taken from the case written by Ronald Rodgers, Northwestern University Manpower Project, for the purpose of class discussion.

Marge: From a technical point of view, considerably. They were in the business of working on boats, outboard motors, etc. When you write a description of what you want to do, you need some technical information as well as budgeting for specific marine or maritime items. But it's one thing to talk about doing a grant application, which is perhaps the easiest step, but when you translate that into an operation program, that's where they had the real expertise. We subcontracted the total operation of that grant to the Maryland Sea Service. The project was funded for three years. The first two years it was subcontracted, but in the third and final year which we are in now, we decided not to subcontract it, and we are operating it directly. They are not involved in operation now, other than a $1 lease agreement for the facility where the program operates.

Q: When did you (Donna) become involved in the program?

Donna: In the second year. They had been in operation for a year and a half.

Marge: They started by getting their facility, fixing it up, and initiating the process of getting the kids. There were some problems getting the kids because they had to come from probation, which is always a rather nebulous agency to deal with. Essentially they managed to get all the components together. They had a barge, they had a classroom, and they had the kids. Putting all them together and getting a viable program was another matter.

Q: Were they on their own in getting the program into operation?

Marge: First, there was one person in this office who was responsible for monitoring (spotting problems in) that program. Any LEAA grant in the city funnels through the Mayor's coordinating council on criminal justice. Within that agency there are planners also assigned to monitor the operation of LEAA funds. So you had two persons designated from day one as responsible for seeing that this program became functional. One from this office, and one from the coordinating council. Both of those persons were very instrumental initially in providing advice and direction and support. But it was a contract, so Sea Service had primary responsibility.

Q: How did the program change from a subcontract to direct operation by your office?

Donna: It probably has something to do with my coming here. One of my responsibilities when I first came here was to evaluate the Sea School as to what it was doing, whether it was meeting its goals and objectives, and whether I thought it had potential for continued funding after the LEAA grant ends. I spent several months in observation. It came clear to me that they had the necessary components, but they did not have the right direction in terms of dealing with delinquents. Nor did Maryland Sea Service hire persons with experience in dealing with delinquents and delinquency problems. So while they had a very good program with all the components had they been dealing with your average kid coming out of school into their weekend program -- that's what they had been accustomed to dealing with -- they found out very quickly that they could not deal with delinquents in the same way.

Q: What were the objectives of the Sea School?

Donna: To reduce recidivism, to increase reading and math levels, to achieve good attendance, to achieve some attitude change, and to teach some maritime skills in boats and outboard motors. That really presented a problem that came out in my observation. They were attempting to teach very sophisticated skills to students who had not so sophisticated levels of functioning. For example, if you're going to be a boat carpenter, a shipwright, that's a very technical skill. It requires a great deal more commitment, perhaps, knowledge, awareness of what you're doing than it does to take two pieces of board and nail them together. They were dealing in an area of very sophisticated skill training, and they were dealing with students 16 and 17 years old who'd been out of school four to five years, who were reading at the second and third grade levels, and who weren't in attendance half the time. So out of this one of my observations was that if we maintain a vocational training program of this sort, reduce the skill training to more basic levels of training until he comes up to certain level and is ready to begin a more sophisticated type of training.

Q: What type of support and counseling were built into the program?

Donna: They had a counseling staff built into the budget.

Q: What did they do?

Donna: Wrung their hands most of the time. They rapped with the kids. What kind of problems did you have today? I saw you hit this kid, or I saw you rip this off. It wasn't the psychological kinds of counseling you would hope could bring out students' problems. It was street counseling. They did a little bit of vocational counseling as the staff was able to do. But when we subcontracted it, they had hiring responsibilities for the staff, and I think they may have made some poor choices and no experience working with these types of kids. That combination really did not work very well. They had never had to deal with probation officers, the probation dept, and it was a very rude experience. So after about a year and nine months, the Maryland Sea Service requested that they not be considered for the third year of the contract.

Q: How was the transition made for you to operate the program.

Donna: First, all of the staff of the Maryland Sea Service were given an opportunity to apply. With LEAA, even tho you get your funding for three years, you must resubmit to get your program approved each year. When we pulled together the refunding application for the third year, and we did change it, once the governor's commission approved the changes, around the end of September for a program to begin Oct. 1, we had already done some preliminary work on finding final location and on some of those operational things. So that beginning October 1 we had for all practical purposes a brand new program.

Q: How many staff from Sea Service are now involved in the program?

Donna: Two of seven, and they were both counselors. The rest did not apply. The vocational staff did not apply.

Q: How is the training different this year?

Donna: It's not related to maritime. It's small gasoline engine repair, two and four cycle, and basically working in carpentry skills.

Q: Was any job placement written into the earlier contract?

Donna: Yes, but none occurred. No one finished. The contract said that students should be at the sea school for nine months, but most never made it that long. About 90 students were enrolled, but some may have been there only one day. They averaged about 4 to 5 months enrolled, but that wasn't being there every day. They were on the roll for 4 to 5 months, but there for two days a week maybe.

Marge: One of the problems was they did not have a rigid termination policy. As we do now. We weed out the kids very very early. Those who don't want to be there are weeded out within the first two months. And it's a little more realistic in terms of a kid coming in and saying, now where do you want to be a year from now. This is where you can be a year from now if you stick with us. This was not done before at all.

Q: Sea service appears to have more experience with young people interested in maritime skills as an avocation. How did that contrast with this effort to prepare students for maritime skills as a vocational area? What did they hope to prepare these delinquent youngsters for?

Donna: To go into the Harry Londonberg school of sailing or the merchant marine. They had totally unrealistic goals. It was unrealistic for these kinds of kids especially. Very quickly I discovered that these kids were scared to death of the water. They can't swim, and they don't want to learn how to swim. They're scared of the water. And the jobs were just not available. There weren't jobs even if they had been trained for these kinds of kids. Because if you look around and see where the marinas are located, or the marine supply stores, they're in an area of Middle River, and if the kid could get transportation down there, these very white, middle class operated marinas with \$60,000, \$70,000, \$80,000 boats docked there, are not interested in hiring this kind of kid. This is a kid coming to you with an average of 6 or 7 prior arrests. These are your adjudicated impact offenders, an impact crime being violence against a stranger. There is not a single kid in that Sea School who has not been adjudicated for a violent crime.

Q: Is it still called Sea School and being directed at Maritime jobs?

Donna: It's still called Sea School and its still located on Pier 4 in the harbor, but they aren't being trained for maritime jobs at all. Their work site is on the barge in which we had engine shop, a woodworking shop and all the equipment that had been purchased during the first two years. That remains their worksite, as opposed to school, which is a different location. They now spend one week at work, one week at school, alternately. Previously school and work were at the same location, and it just wasn't conducive to anything. Now when they go down there they punch a time clock and know they go to work that day.

Q: Has this improved attendance?

Donna: Surprisingly. We just finished our third year first quarter report, and we have an 88 percent weekly attendance rate in both locations. That's super. And we also have -- if you'll let me toot my horn a little bit -- only a six percent recidivism rate, since October.

Q: What was it previously?

Donna: We don't know. There were very sketchy records and kids came and went so freely that we just weren't able to tell. And there was no follow-up.

Q: Did it require two years to make and learn from all these mistakes?

Donna: I don't know, since I came in at the tail end of the second year.

Marge: I think it shouldn't have taken as long as it did. Something should have been done in the first year. The problems were evident, they were there; for a variety of reasons, number one of which is that there were so many other things that we were doing that no one wanted to assume this responsibility full time. That's the key to it. In terms of dollars, this one little $200,000 program was just a drop in the bucket.

Donna: And prior to my coming, there wasn't a person specifically identified to deal with the area of criminal justice.

Q: Did the source of money (LEAA) lead you to set up a program for Sea Service that they could not handle?

Marge: I don't think that's true. Some of our manpower service centers are run to community organizations that never did any manpower programs prior to this. And they do an excellent job. But one of the biggest factors you can have is a commitment to the people you're working with. Sea Service had a good idea for a program, and probably would not have had many of the problems they ran into if we had not gone the route of changing the client population for the program. But having once done that it became a major problem. They also were involved in a number of other programs, and they expected this to be like their weekend program in that it really sort of runs itself. This required a great deal of time and they didn't seem willing to devote that time because of other things they also were doing. On the one hand I think maybe we made a mistake of changing the client population, but on the other they never would have gotten funding to try out the idea had that not been done.

Q: Could someone else have done the job?

Marge: I think it's very possible, but they would never had had the connections this group had to get right on the harbor, right on the pier, with the barge. They had the contacts to get the facilities. They have a submarine down there, they have the Constellation. They really are in the harbor group. I don't think we could have done that. What do we know about the harbor? Who do we know to get that kind of thing? There was a lot of value in using their contacts.

Donna: Had another group had their contacts, it's possible they might have had more success in the first two years.

IMPLEMENTATION: DEFINING AND SOLVING LIAISON PROBLEMS

Joseph S. Moag

Northwestern University
Graduate School of Management

1976

Problem-Solving Strategies for Liaison Functions

A number of agency representatives have indicated (see Problem Assessment Workshop Summary) that incompatible rules and regulations, local procedures and authorities or attitudes (e.g. turf) have hindered the successful implementation of inter-agency linkage for the delivering of manpower services. We have developed a model to explore this problem and evaluate some strategies which might increase the incidence of successful linkage.

The working hypothesis of this model is that these perceived barriers to linkage are only barriers to the extent that they make the system so inflexible that there is no leeway to allow for cooperative effort. An analogy can be drawn to the perception of a photograph in a newspaper which when viewed from afar appears to be composed of solid blocks of color, but when viewed from up close can be seen to be composed of thousands of individual dots of color surrounded by open space -- i.e., porous, not solid. So too in a linkage situation, what appears rigid may in fact be flexible. If flexible, linkage may be possible. Our theory in fact proceeds from the proposition that the implementation of linkage projects depends basically on the flexibility available in the system. Three areas are emphasized: the flexibility of the rules and regulations governing the transaction; the flexibility in the design or nature of the services offered; and the flexibility within the bureaus and agencies participating in the service.

The model presented below is intended to increase the ability of linkage participants to do three things. First, they will be able to distinguish between project proposals which are too inflexible for implementation and those which are not. Second, they will be able to apply a diagnostic for increasing flexibility through perceptual or structural change, where at first glance there appears to be an impasse in project opportunities. Third, the participants will be able to select from among alternatives those situations which can most likely be efficiently or effectively produced through linkage.

The Model: The Analysis of Project Opportunities for Liaison Functions

Important Variables in the Design of Linkage Projects. While in any problem-solving situation there are a host of issues to consider, the model presented below focuses on five variables which it is argued are critical factors in determining whether or not problem solutions will be successfully implemented. The five variables are:

The degree of client interaction required in the delivering of services planned by the project. As an example, testing requires less client interaction than counseling; skill training requires more client interaction than training people for unskilled work.

The degree of rule or regulation specificity governing linkage participants. As an exampl , a goal of increased employment is less specific than employment quota; a budget is more specific than departmental objectives.

The degree of structure in the linkage project organization. For example, a linkage project is more structured if it has a manager or administration to whom all project members report than if it does not.

The degree of autonomy the linkage project has. For example, a linkage project has greater autonomy if it has its own funds than if it depends on the agencies represented for its funds.

The degree of openness in the climate of the agencies or bureaus represented on the linkage project. For example, an agency which is highly innovative probably has a more open climate than one that is not: an agency which is highly centralized is likely to have a less open climate than an agency which is highly decentralized.

The Basic Model. Figure 1 presents the basic model as a decision tree. Inasmuch as agency and linkage activities are basically client-serving activities, the model assumes that the basic focus of linkage deliberations is the design of client services. These may be designs which are either high or low interactive in nature.

The hypothesis of the decision tree is that project planners should abandon a project at any stop point reached along the tree, or if they do not wish to abandon the project, to seek to change the circumstance which led to the stop point in the first place. Thus, in a high client interactive service, if there is a low specificity of rules but a proposal for highly structured project organization, the proper decision (see Figure 1) would be to stop. An alternative would be to redesign the structure so that it is more flexible. Then the parties could move on to consider project antonomy.

Conversely, if the project design is such that there is low openness of agency climate, low project autonomy, etc., the parties could alter the client intensity of the service or product to fit the inflexible circumstances in which they find themselves.

It should be noted that this model does not evaluate all feasible combination of variables, but only those paths considered to produce optimum paths. In this respect, project problem-solvers can enlarge their opportunities by reading stop points as cost/effort points. When they extend a path beyond a stop point, they need to include in the planning process a strategy for by-passing or correcting a dysfunctional cost/effort circumstance.

Figure 1.

Problem Solving Paths for Improving the Implementation of Inter-Agency Projects

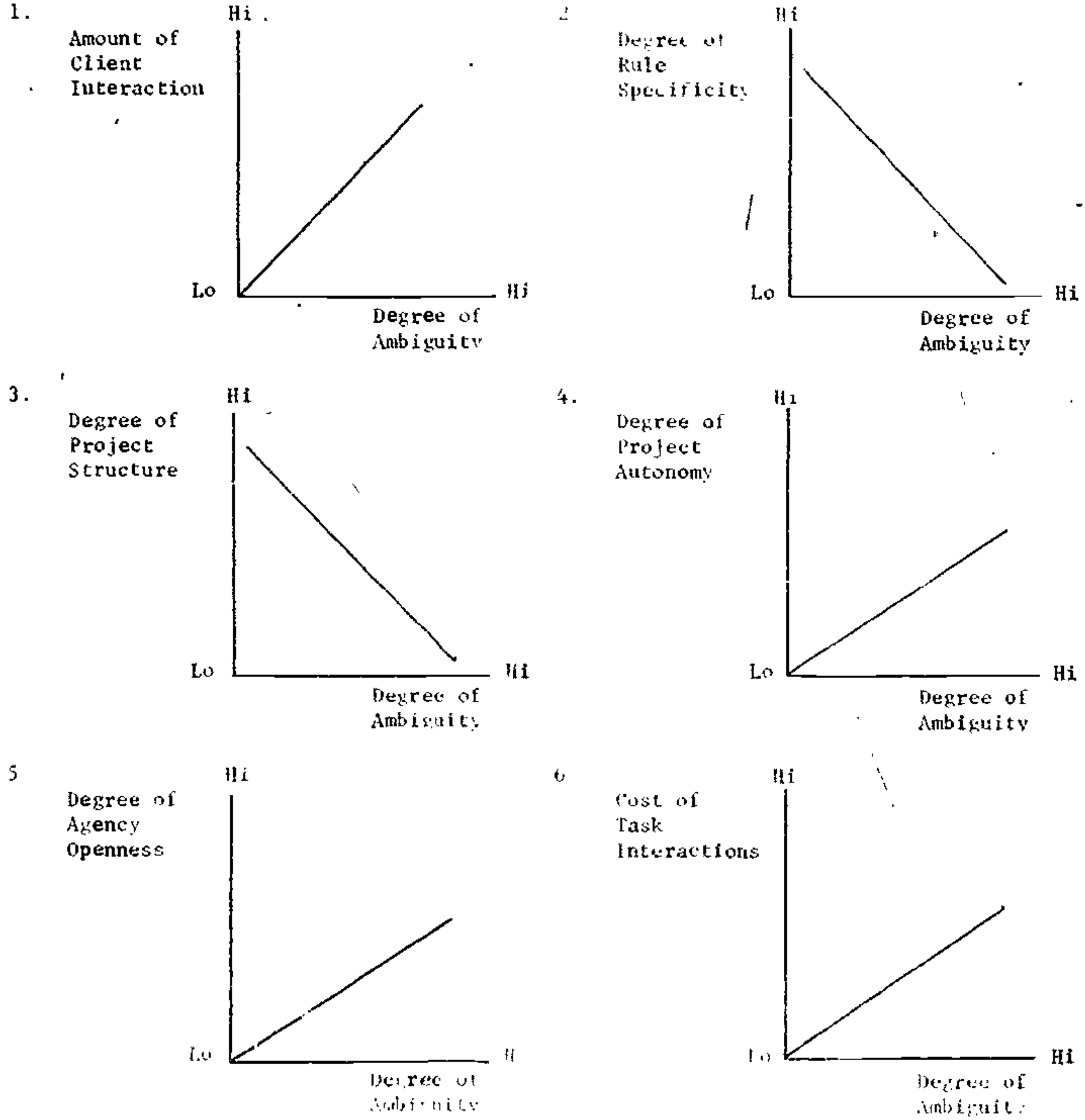
Planned Service	Hi/Lo Specification of Rules and Regulations Governing Participants	Hi/Lo Structure of Project Organization	Hi/Lo Autonomy of Projects vis-a-vis Participating Agencies	Hi/Lo Openness within Participating Agencies
High Interaction Service	Stop Hi Lo Go	Stop Hi Lo Go	Go Hi Lo Go (Caution)	Go Hi Lo Go (Caution) Go Hi Lo Stop
Low Interaction Service	Go Hi Lo Go (Caution)	Go Hi Lo Stop Go (Caution) Hi Lo Stop	Stop Hi Lo Go Stop Hi Lo Go (Caution)	Stop Hi Lo Go Stop Hi Lo Go (Caution)

Rationale of Model. This model is derived from the work of Burns and Stalker(1961), Lawrence and Lorsch (1967), Galbraith (1973), and Weick (1969). The basic logic involves three concepts: degree of client interaction, problem-solving ability, and efficiency.

Problem-solving opportunities are most needed where the product or service is likely to be custom designed for each client. In the terms of the model this situation would be the one we have labeled high client interaction. Problem solving can best be achieved in a task environment which is high in ambiguity rather than high in structure or specificity. However, environments which are high in ambiguity are quite costly both monetarily and in terms of the psychic energy of participants. Thus there are trade-offs in our three variables. If you are trying to deliver a custom product, it can't be done very effectively on a minimum budget of time or money because both must be invested in problem solving to devise the product and to make organizational arrangements for delivery. If, on the other hand, you want to deliver a standard product to large numbers of indistinguishable clients, this can be done most efficiently if the task environment is structured and unambiguous.

Other combinations are possible, but the reader should begin to see how the various elements of the model in Figure 1 relate to one another. The graphs in Figure 2 precisely indicate the relationship between ambiguity and design variables, and ambiguity and cost.

Figure 2
Relationships between Ambiguity and Design Variables



Problems of Applying the Model

In teaching the application of the model, it was decided to concentrate on the interpretation of the flexibility of rules and regulations because the other elements of the decision logic (project structure, project antonomy and degree of client interaction, and degree of sponsoring agency openness) are relatively straightforward and easily understood (see the definitions above). The following sections deals with the analysis of rule specificity.

The Force of a Rule. A rule is flexible (unspecified) to the extent it is not explicit as to the force and domain of a rule. The force of a rule is the power or authority behind the rule as interpreted by the follower. It is the "why" of a rule. The "why" may be rational (e.g. a means-end analysis) or intentional (e.g., the meaning or intentions of the rule giver or the rule enforcer). Take the rule "no smoking." If the rule applies to the work area in an explosives factory, it is probably quite rational. If the rule is posted in the employee rest room of an automobile plant, it probably exists at the whim of some authority in the company, i.e., intentional rather than rational. The rational rule carries its own sanctions. The sanctions in a rule whose force is intentional may be quite a bit more ambiguous.

As long as the "why" is not explicit or understood, there is room for ambiguity in the interpretation of the rule, thereby admitting greater flexibility into the problem-solving process. However, even when the force of a rule is ambiguous, when the force is intentional rather than rational, there is a tendency for personnel to be unwilling to interpret the rule, because of imagined risks, without support from higher authority. In terms of our model (Figure 1) this would limit, then, the ability of planners to develop problem-solutions which are geared toward higher client interaction services. Conversely, for lower interaction services, inexplicitness in the force of a rule (e.g., the inability of linkage personnel to obtain rule interpretations from higher authority) leaves the linkage planners with few or no efficient design opportunities for low interaction services. Linkage problem-solving activity will be greatly enhanced to the extent that their agencies are goal-oriented as opposed to rule oriented; in effect, that the "why" of rules becomes rational as opposed to intentional.

The Domain of a Rule. The domain of a rule is the who, what, when, where and how of a rule. Take the rule, "no smoking." Assume that the rule is posted in an elevator. Does it really mean "no smoking"? For example, if I am alone in the elevator, may I smoke? This is an example of "when" no smoking. If I carry a lighted cigarette onto the elevator but carry it at my side, am I smoking? This is an example of "what" no smoking. For any rule, the reader can apply each of these questions to the rule to see the extent to which the rule allows for ambiguity in interpretation.

The less who, what, when, where and how are spelled out in regulations, the greater the ambiguity and hence flexibility in finding problem-solutions. Conversely, the less spelled out they are, the less economically feasible low interaction services become. This is because with low interaction services, production speed or quantity are produced through a division of labor which is integrated by rules and procedures. The design of projects for low interaction services depends on explicit rules for the various stations responsible for their delivery.

The Degree of Agency Openness. Many workshop participants felt considerable doubt about the assumption in the model that agencies are open to change and new relationships. If agencies are not open, this does limit the problem-solving options in the model. While the reasons for a closed climate in an agency could be many, the rationalization of rules (the application of means-end analysis as the rationale of rules) recommended in the discussion of the force of the rule above should go a long way toward establishing a climate which is more open. In other words, the greater the goal orientation of an agency's hierarchy, the greater the flexibility introduced into inter-agency liaison functions.

Case Application

The Baltimore Maryland Manpower Consortium case was used as a vehicle for discussing the problems of using the model. The case indicated how central the interpretation of rules can be in the development of inter-agency projects. It was also used to show how structural conditions of the project and represented-agencies can enhance or inhibit the process of developing services.

A point of the case which the model doesn't develop but which participants felt was critical to using the model was the belief that there has to be a willingness to cooperate. This willingness is a precondition for the success of any project. For example, rule interpretations among agencies were much more flexible when there was a positive attitude, good will, and the like than not. The case also pointed out some tactics for by-passing inflexible rules and structures in order to achieve certain types of services.

Bibliography

Burns, Torn, and Stalker, G.M. The Management of Innovation. London: Tavistock Publications, 1961.

Galbraith, Jay. The Design of Complex Organizations. Reading, Mass.: Addison-Wesley, 1973.

Lawrence, Paul, and Lorsch, Jay. Organization and Environment. Boston: Mass.: Harvard Division of Research, 1967.

Rescher, Nicholas. The Logic Commands. New York: Dover Publications, 196[illegible].

Weick, Carl. The Social Psychology of Organizing. Reading, Mass.: Addison-Wesley, 1969.

Problem Solving Strategies for Liaison Functions Seminar Agenda

9:00 - 12:00	Welcome	
	Introduction	
		1. Problems - Confusing and conflicting rules and regulations Turf Goal Incongruence/Role Confusion
		2. The need for flexibility
	Coffee	
	Problem Solving Strategies (Lecture)	
		1. The Model 2. Rationale
	Lunch	
1:00 - 3:00	Rule Logic (Lecture)	
3:00 - 4:.	Application to Case (Small Groups) Each person reads the Baltimore Metropolitan Manpower Consortium case (Exhibit I). Small group discussion of paths taken in the case and possible, yet more feasible paths which could have been taken and why. Large group discussion of how participants might bypass caution points in the model with respect to their own actions and decision making responsibilities.	
4:30 - 5:00	Summary and Feedback	

EXHIBIT I

BALTIMORE METROPOLITAN MANPOWER CONSORTIUM
BALTIMORE, MARYLAND

Marge:* One of the big breakthroughs in the area of coordination is an area prime sponsors have been pointing out, probably to the correct people since we see some things going on to correct it, is that under CETA legislation, CETA PS's are required to coordinate with a list of 25 or 28 different agencies, but none of the agencies are required to give so much as a letter in response to anything we send them. We follow all the processes and send copies of all the modifications to all of the agencies as we are required to do, all of which gets you absolutely no coordination at all. It just produces a lot of paperwork that looks like some activity might be going on. We mentioned this to HEW people, specifically with respect to voc. ed. Now they have tacked onto a bill in voc. ed a nice little section that says you will make every effort to coordinate with your prime sponsor in the following areas. Now it's been published in the Federal Regulations and commented on, it looks like it will go thru. The same is true for all other agencies we attempt to coordinate with. We do not even get a copy of the plan of service for Employment Security. It's one thing to cooperate or coordinate. It's another thing to know even what services are provided so that you have an idea whether there's anything you can cooperate and coordinate with. And in some cases there's not much. But if you're not well versed on what's going on in other agencies, or what can go on, it's hard to find out. This is an area that must be included in the business of other agencies so that they also are required to share information and to coordinate with CETA in areas where we should be working together.

Q: How do you solve the problem in the meantime?

Marge: Then it's hit and miss and trial and error. That's what we've done with most agencies. Maybe we can start with ES. A lot of these relationships are built or not built on personalities. You have to know the people in non-threatening relationships before coordination will begin to occur.

Jerry:** You have to s[illegible] on with anyone you may want to cooperate with and try to find out whether y[illegible] ve common ground. It really doesn't matter who initiates it. If you think th[illegible] is something to do in that area, then you need to take the initiative to get things started. My approach is to begin first on my level in their agency. If that doesn't work, then I go to my director and we decide whether to pursue the effort by going to that person's superior, and if that doesn't work, then move up to the chain of command.

Marge: I think it's really quite easy to initiate. You can do it with a simple letter saying we are working in this area and we know you are or have been working in the same problem area. We would like to meet with you to explore ways we can coordinate and learn from your experience.

Jerry: Then you need a simple rundown on how the organization is organized and who does what within it

---

This excerpt was taken from the case written by Ronald Rodgers, Northwestern University, Manpower Linkage Project, for the purpose of class discussion.

* Grants/Sub-Contracts Manager, CETA

** Coordinator, Planning and Evaluation for the Marketing System (Job Development)

Marge: We have a good relationship with WIN. Their director has worked with our director for a number of years. We have built on that relationship. They came to us. They said we want to put people in PSE, and we'd like to work with you to do it with as little confusion as possible. The result was a contract for about $1.5 million to place about 100 WIN people in public service employment jobs in City agencies. We've since added another 50. Right now we're trying to get a reading -- and here comes a conflict -- from our regional office; the regulations for CETA say that to be enrolled in a work experience activity, you must be paid a wage. WIN has approximately 500 enrollees who are primarily men who have used up their unemployment compensation benefits. They can pay them $30 a week in addition to their grant. So we are willing to provide training slots for them if they can pick up the benefits so we don't have to foot the bill for enrollee wages. But to enroll them in work experience we have to get either an exception to the regulations, which is highly unlikely in Region III, or somehow work it out. As it is now, because of the regulations we cannot serve these people unless we are willing to take them off welfare and pick up their wages during training. That's a bone of contention of all WIN people and OSE. What HEW will allow is much more flexible than the CETA regulations. In some cases, to put welfare recipients in our program causes them to lose their grants and medical benefits and all the rest of it, and also forces us to pay the costs of their wages during training ($2.30 per hour).

Q: How have you resolved that issue so far?

Marge: We really haven't solved the problem. We do have one program that runs for people in high rise housing projects. The bulk of them are receiving grants. What we did there was we allowed them to have the option of staying with their grants or come into the wage system. We had a worker sit down with them and figure out which way was most beneficial to them. We enrolled them, allowing them to remain in the system that was most beneficial to them knowing that in the middle of the program the regulations have been changed and we're really not allowed to do that. But we made the changes on the date we got the letter that said we really wouldn't be allowed to do it. We have not resolved that. We asked for two rulings -- one from HEW and one from DOL. HEW had no problem, but DOL said that according to the regulations, you would not be allowed to do that in the future.

Q: Does informing the regional office limit the alternatives available to you in solving such problems?

Marge: Yes. They would not give any thought to the possibility that giving an exception to the regulations would solve the problem. They'd give no thought to saying,"Look at this. Why don't we give them an exception to it because it looks like a good idea. It serves a lot of people." We don't get that. We've written on this one problem. We have not gotten an answer. We may never get an answer -- which is one solution to the problem. When you do get an answer that disallows your solution in the future, you either have to go to the national office, or note it for change in future regulations. The danger in this is that we could proceed to do this anyway we wanted to and plead ignorance, but when you involve a number of other agencies such as Employment Security or a state Department of Voc. Ed., they raise all kinds of issues when they think their regulations are in the way. So even when you are willing to ignore or interpret a part of your regulations, the other agency may refuse to go along because they don't think it can be done within the regulations. That's what we found with the State Department of Social Services. They didn't think they could go on with the program without a ruling, so they asked HEW to clear it up.

Jerry: It's also true that there are different levels of concern because of the accountability they have to other agencies.

Q: How will this issue be resolved with WIN in the future?

Marge: There are a couple of things that can be done. Right now we are completing the program for the present people in it on the basis of what we knew when that program began, but we will have to deal with it in the next program we have. In this instance we're going to have to follow the regulations. The alternative I see is to subcontract with WIN to do the training, or not enroll them in both parts of the program so that you're only looking at one set of regulations when the decision about payment comes up.

Q: Have you used that strategy to solve other problems?

Marge: We did the opposite. We received a subcontract from LEAA. Their regulations did not allow payment of allowances or a wage, but under our regulations they are being paid to the people in those programs.

Q: How did that begin?

Marge: They had $300,000 uncommitted in their LEAA program and someone got the bright idea that we might be able to do somethingwith it. They called us up and said, "What would you do with $300,000?" We now have three operating LEAA programs.

Q: How did you respond?

Marge: Rapidly. Offenders were among our target groups from the beginning, so it was a natural link for us.

Q: Did LEAA know that when they called?

Marge: No. I think they called us because we have a reputation for being able to do things like this. So we looked at what kind of services we could provide and came up with setting up sort of a manpower service center for ex-offenders. It's a special service center. When we talk about our 13 centers we don't include that one because it's not open to anyone off the street. It's a controlled access program.

Ruth:* In a sense its also an example of what to do when the reporting requirements are unique because we have to gather all the information for CETA, then add to that the information that must be reported to the governor's commission. So in order to get that money and to provide that service we are dealing with double reporting requirements.

Marge: We've also followed that route with a HUD block grant, where they wanted to provide additional manpower services to residents of a specific area. We already had a contract with another neighborhood group up there to run a manpower service center, so we became the contractor for the HUD block grant, and in turn subcontracted to the same service center so we could control the kinds of manpower services going into that community. It was just more of the service from the same source, rather than forcing HUD to set up a duplicate service center where they are already established.

*Special Assistant to the Director

92

Jerry: This also is due in part to a philosophy of the city that Manpower services will be handled thru this office and that each agency will not develop its own programs to compete with ours.

Marge: Why don't we begin to focus in on ES and how we dealt with those problems?

Jerry: Let me address the marketing side and leave the contractual relationships aside for now.

Marge: That's my point. Where in other programs we have very informal kinds of relationships with letters of agreement and arrangements in which no money exchanges hands--for example, I'm a caseworker at DVR and I take all of my friends' clients coming from one of our manpower service centers. I don't know about this and neither does the center manager, but the counselors have no trouble with their informal relationship getting services for their clients -- in the case of ES, we have long, detailed contracts. Everything that is done between our two agencies is done because it's written into a contract. Everything is reduced to the letter, and even some things that are written down aren't done.

Jerry: At the time the marketing system was being designed, one of its important objectives was to minimize duplication of employer calls on an interagency basis. Our director met with the head of employment security, and they had agreed that this was a desirable objective, and they had further agreed that it would be appropriate to lodge the coordinating responsibility in this office. That was written into the contract that was drawn up.

Marge: In white ink, I might add. It was the only way to get the contract signed.

Jerry: That's one of the things not fully implemented. The plan that was originally conceived was to try to have sufficient communication so that we would not both be calling on the same employer within a specific span of time. Our marketing staffs would meet periodically, we'd exchange log information on employer visits, and the Baltimore Area Manpower Consortium would essentially have the responsibility for establishing the lead in this cooperative system. It did not actually work out that way. The biggest stumbling block was the tremendous resistance on their part to gearing up in that part of their responsibility. As evidence of their good faith in this they were to provide three members of our staff. We in turn agreed that the jobs developed by these joint groups would all be listed on the job bank. They did provide one member of their staff. One member of their employer services unit has been working here.

Marge: They've only been trying to get rid of him for 14 years. They finally managed to find someplace to put him out of their office.

Jerry: He operates the way he wishes to operate. There is some difference of opinion. He's working out in Howard County. The director of that center feels he's being productive and effective. However, we could not establish or trace any real job orders that were obtained directly to his efforts. The only two job orders we succeeded in getting him to write had a worksite in Alaska.

Marge: And he was here for six months before we ever got that. We loved it. This gives you an idea of how much commitment was there on the part of the other agency.

Jerry: They have subsequently filled the other two slots thru PSE -- we gave them two PSE slots and they used them to place two people in our own office as had been called for in the earlier contract. But they were jointly hired and are on the state payroll.

Q; Were they previously on the ES staff?

Jerry: No. And one of them we hired onto our own staff when the PSE money for that slot ran out. One of the major stumbling blocks is the federal executive order that requires any employer who lists with any agency, simultaneously with listing with that agency, to list all job openings with Employment Security. A great many hours and a great deal of effort went into trying to sell ES. We had contractual agreement that any job orders taken by us went into the job bank, that effectively complied with the regulation. But they maintained that unless it was phoned in directly to their office the requirement had not been met. That was appealed by us to the regional office unofficially, this became very much involved in how one works with a great many employers in this area who have mandatory listing. The decision that came back to us was that if asked to rule, the department would rule in favor of Employment Security.

Marge: We informally went to the national office. Meanwhile, in the spirit of cooperation, they formally wrote a letter to the regional office and they looked at it and bumped it over to Washington. So they have a formal written ruling on this that the law does state thus and so. Part of the issue with rules and regulations is the interpretation of those rules and regulations. It does say you have to place the order with the job bank. So that in some ES offices the decision is OK -- you can do that if you're going to put the job orders on the job bank. That meets the letter of the law. But ES requires that there be a rule on it before they'd take our word on it or bend even a little.

Another example -- we call our skill training program work experience, because we didn't want to pay any allowances. What we got when we called someone in the national office was you can call them anything you want; once they approve it in your plan it's approved. So for two years we have work experience at $8 million of our $11 million grant in Title I. We have very minimal allowance payments. You can look at the regulations and interpret them in a way that makes cooperation easier.

Jerry: Our primary concern with all of this was its impact on employers -- that this would be building in a duplicate contact situation. It has evolved that we have a relationship with employers, and they make contact with employees--we often think just one week after we've been to see them--using our logs; seriously, I doubt that they spend much time looking at our logs. But when they've gotten a job listing from us, from an employer they think should be a mandatory listing employer, they will go after that employer. Occasionally an employer has responded by saying that if they have to do it that way they'd prefer to work directly with Employment Security. More often it has enhanced our relationship because our contact is based on cooperation and trying to provide the employer with service and not trying to hold a club over their head. Employment Service has occasionally resorted to becoming extremely bureaucratic in its dealings with employers. We're not really threatening in any sense. We don't have a club, and we hope we wouldn't use one if we did. We approach an employer based on what we feel is a service we can render either in getting a match of a qualified employer with a job opening, or in the area of OJT, or in the referral of people who come out of our work experience program

Jerry: Another important area is in the problems of affirmative action. There are a number of employers in this area which have affirmative action plans, who are understaffed in minorities and females and where we will take job orders to fill to help them meet these problems. I think we can give employers a more personalized service. Our concept of people working with employers is different. At Employment Security they do not take job orders generally. Our marketing representatives are responsible not only for taking the job order, but for following up to see that it gets referred on.

In terms of our work with employers, we have written into the ES contract that we will share information about employers. We have the same agreement in a letter of understanding with WIN where their marketing staff and our marketing staff meet and try to develop a relationship working together that helps us both. One of the problems between our marketing staff and ES's marketing staff is that there is very little common interest in how we really have mutual objectives, how we can serve each other's interest. Some of this problem of perception is valid. They do have a somewhat different scope of responsibility. They have a number of things we don't have to be concerned about.

Marge: Our Employment Service feel they don't serve the downtrodden and unskilled. They prefer to think-that's CETA's job. They advertise Get Your Skilled Workers Here. Second, they think we should only be doing training. They finally realized that we do serve a larger population and we do more than just training and that we may do some of those things better than they do them themselves. That gradually had to start at the top and filter down. It took a long, long time.

Q: How has your relationship with ES changed during the past two years?

Marge: We're now on our second contract with them. We learned the hard way. We were not used to dealing with people who looked at the contract and said, "Well, it says right here I'm to do this and I'm sorry, but that's all I'm going to do." We learned very quickly that if you wanted marketing meetings once a month it had to be in the contract. It's not enough to say we will perform marketing activities; the contract had to specify an exact percentage of time to be devoted to it, and specify how often any meetings between our two marketing staffs were to be held. We eliminated one of their centers for poor performance, and much more carefully had to spell out the services to be provided in the remaining centers.

Q: How did you assess the poor performance of that center?

Marge: We looked at a variety of factors in the performance of all of our service centers, referrals to jobs, training, etc., that were in the contract, by the way, and that was the lowest center we had. We used the same contract for all the centers, and no one was meeting exactly what was written into the contract.

Jerry: Another problem was in the first contract they really did not perceive themselves as really being responsible for the performance of their centers. Every other organization with whom we had a contract accepted that responsibility. In the second contract, they have assumed that responsibility for meeting the performance standards set in the contract

Marge: Our relationship with ES had improved, even before we did the second contract. We have gone out of our way to be as nonthreatening with them. We have diligently worked with them on a number of different levels to show them we're not all bad, that we do some good things, just generally handling them carefully and consciously trying to break down that hostile feeling.

Ruth: Sometimes going on a lower level helps. One thing our PSE director did was create some paid PSE job positions for the director of the job bank. And all of a sudden he was much more flexible and willing to work with us. That was not going to the top and not contractual. His boss didn't tell him to do something. But he kept complaining about how overworked he was.

Jerry: And our jobs were increasing his work load while at the same time he had a cut in his staff. Now he works much more openly with us.

Marge: There was a big change this year in how they viewed us. I don't know whether it was that after one contract they figured, "Well, that wasn't too bad and they weren't really too nasty. I didn't really lose my job and they're not really taking away my clients." I think they found there were some things that were very useful to have us around for, like to give a large number of unemployment insurance interviewers so they could reduce the line and come to work in the morning. I think the hostility has really calmed down.

Once the relationships begin to be established, we've gotten far enough along to begin gaining broader cooperation in various areas. In some areas we may need to be very specific, and in others it may not need so much detail.

We also are working on some areas now that aren't written into the contract. We're hoping to get the wage records for PSE employment so that anyone who qualifies for UI will get that automatically. The Baltimore city payroll department prepares the computer cards that go directly to ES to write PSE checks. I would say the key is that while their services may not be improving noticably as a result of it, their relationship with us is improving.

One interesting thing is that we probably have a better relationship with WIN than our Employment Service had with WIN.

Jerry: In the marketing area there has been a spirit to cooperate. We don't find a great deal of duplication.

Q: How do you work with agencies that don't require the level of formality of ES?

Marge: What we've found most effective is not to go to a formal subcontract, is to do a letter of understanding - we will pay X number of dollars and enroll them in a site. You will provide training for Y number of weeks in such an area. Each agency is providing services with no exchange of money. You can do it on a much lower level. We have it with a number of different departments in the Department of Voc. Ed. State Voc. Ed. really didn't want to do anything with us, but we have a relationship with the rehabilitation center. We put some of their people into PSE, and we've worked out matching dollars for training, and just worked out our own arrangements without a contract at that level. It has worked very well. In most cases it involves training. We took 20 people from PSE and placed them after they did the training. We picked people up for six months on PSE in training-related jobs. We did a letter of understanding in Voc. Rehab. in Anne Arundel County. Voc. Rehab. provided an instructor, CETA providing the wages, and Westinghouse Corporation providing the materials. We trained 16 people to go to work for Westinghouse. No contract at all, and it worked out very well.

Marge: I would love to see some of our contracts reduced to memoranda of understanding, because when you have a contract you have to set up a whole bunch of administrative procedures. Someone has to monitor it, someone has to see the invoices are in, someone has to pay them, and a whole set of administrative controls you don't have when you don't exchange money. A memorandum of understanding allows you to be flexible enough. We're not going to write contracts to serve 12 people in five different agencies, but with a memorandum of understanding we can have a great deal of latitude and flexibility.

Our service centers all have the same statement of work in them. We have three CBO's as subcontractors, and they each said in the first year that the statement of work seemed to them to be very non-bureaucratic. Urban League runs 2 -- they picked up the ES center -- and two local groups are centers. Our OIC does training for us as a subcontractor. We also have a skill center subcontract with the Baltimore City Schools, and several other training contractors.

When PSE first came around, that led to a lot of discussion about the possibility of placing slots in small non-profit agencies without having to put them on city or county payrolls. Administratively it is very hard to deal with because of different holidays and requirements in each agency. So we talked to the health and welfare council -- a planning arm of the Community Chest -- and they agreed to take a contract from us ~~to~~ place PSE jobs in these agencies. So we gave them a metropolitan contract where Baltimore City put in X amount of slots, each subdivision put in money for X amount of slots. They in turn wrote separate subcontracts for each of those agencies. They have close to 250 slots. We were so glad we found them.

Ruth: They also had the decision about which agencies. With all the aggravation we also gave them the authority to decide who would get the slots, too. In most cases their priorities and the local subdivision's priorities were the same. And they had one PSE to run the program. We found it a very good solution.

Marge: We also have benefited from a new state director of Voc. Ed. He has opened his planning process up to include us and many others he recognized would be affected by their program, and we in turn have invited him to join in our executive committee. That's another way you can open up communication in a critical area. We also recommended that we have someone from economic development to sit in on our executive committee, too, so that area would be part of our planning.

Another example -- we wanted to run a summer program for youth in the communities. But we didn't need to duplicate what already was going on, so we went to the Baltimore City Department of Recreation to discuss how we might work together. They wanted to hire some staff and we had PSE slots, so we agreed to use their activities. We figured how many additional movies could we show, where and when. Worked with the department of recreation to tie in with planned programs. It worked very well. We had only 2-3 times when the movie was there and no people showed up, and one where a bus trip didn't work out because the people were there but the bus wasn't. We found that if you have something to offer them and you're willing to assume the administration, you'll find more cooperation. We've taken that role a lot of time. We look at that as part of our role. One of the biggest savings under CETA is the need for only one administrative structure. We are set up to handle large

Marge: programs. We didn't even have to add a staff position to operate many of these programs. We're already doing it, so it doesn't put much of a burden of us. If that is a way to get coordination going, it seems more than worthwhile to us by providing information, or space, or run a separate program, or give them an office. Or store things. It's interesting what people come to you looking for, and what they leave with. We stored some stuff for one group and made them happier than if we'd given them a contract to run a program. You try to be as helpful as you can. When you're large, you can do many things that would require another agency to be completely out of their field. We take most of those things in stride. We trip every now and then, and overextend every now and then, but most times it doesn't require that much effort for us to help an agency or group by lending our administrative structure or staff or sharing information.

Jerry: For the most part it's because we're geared up to administer a broad array of subcontracts as opposed to operating them directly ourselves.

PUBLIC AND PRIVATE SECTOR LINKAGES IN THE EMPLOYMENT AND TRAINING SYSTEM

Frank H. Cassell

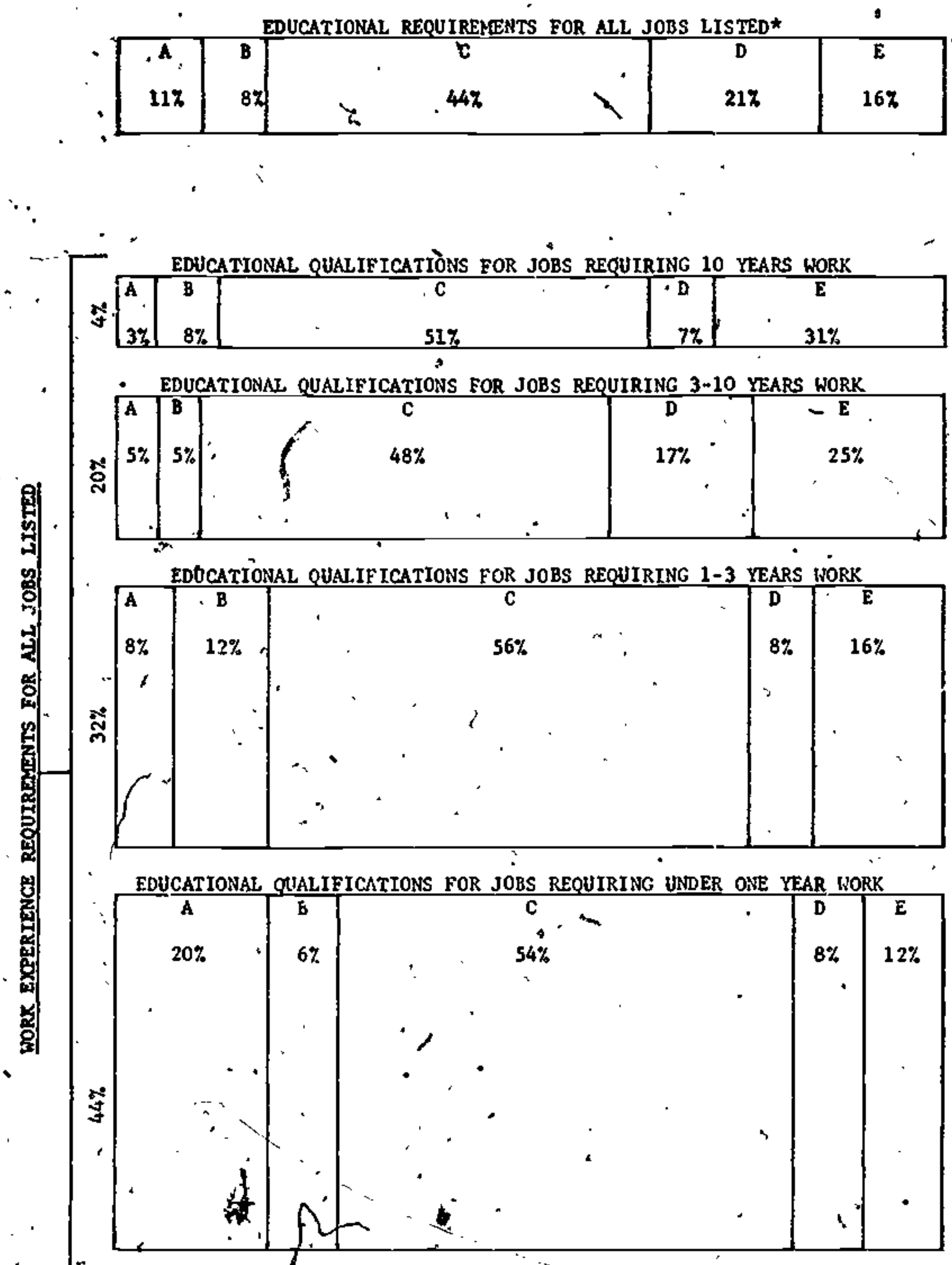
Northwestern University
Graduate School of Management

Ronald C. Rodgers

Northwestern University
School of Education

1976

Figure 2.
Relationships Among Work Experience, Education and Job Demand



* A - Under Four Years High School
B - Vocational Education
C - High School Graduate
D - Under Four Years College
E - College Graduate

The Labor Market. What is a labor market? Quite simply, it is a market place where employers buy or employ labor and where people sell their time and talents. Exhibit 1 (page 115) represents how one might function. Five elements contribute to the paths people take in finding and succeeding in jobs. First is the supply of labor, or the number of people in the market who offer their time and talents for employment ranked by characteristics such as age, sex, race, skills, education and experience. The second element, the demand for labor, is the number of jobs in the economy of a region classified by occupation, industry, location and the conditions of various types of work. A third element is labor market intermediaries, or the adaptive and facilitating mechanisms which bring people and jobs together such as CETA, social service agencies, and job-related training and employment resources. The fourth element, labor market information, enables employers, intermediaries and people seeking training or jobs to make better informed decisions about the advantages and disadvantages of alternatives in the labor market. The final element, price, which is a function of the first four elements, includes the wages and benefits of various jobs which attract or discourage people from seeking work. The role of CETA and other intermediaries is to provide a free flow of information and better access to competitive employment so that people and employers can make mutually beneficial decisions about training, work and their lives.

Labor Market Transition. The concept of a labor market transition helps explain how the person moves through this maze of agencies and services into successful employment. The process has four steps: training readiness, skill readiness, employability and job retention and success. Training readiness depends on the basic learning skills and attitudes requisite for training in a particular industry or occupation. High technology occupations, for example, require training levels which assume basic learning skills in reasoning, computation and communication. Placing people without these skills into such programs often leads to disappointment and failure. The second step, job or skill readiness, involves training in entry level skills adequate for competent performance of work tasks required on the job. CETA typically addresses both of these steps in the transition process, but the second one is especially critical to the success of people in jobs after training and placement.

The third step in the process of labor market transitions is employability, or the social skills, work habits and attitudes which facilitate adjustment to the constraints of supervision, values and demands usually present in competitive jobs and often unfamiliar to young or inexperienced workers. The fourth step, job retention and success, involves helping individuals and employers meet each other's expectations so that people move to self-sufficiency in managing their own lives and careers.

The purpose of these steps in the transition process is to increase the effective use of resources of the individual, to maximize the person's learning from training and education, and to equip the person to earn his or her pay on the job. Many people achieve these objectives with the help of family and school during adolescence and early adulthood. The problem of "hard-core" unemployment among disadvantaged workers, minorities and youth often results from inefficient use of these resources at earlier stages of their lives. Family and community resources may be severely limited, reducing the efficient delivery and use of education and training. Many CETA participants because they have not achieved training readiness and job or skill readiness are unable to succeed in the final two steps: employability, and job retention and success.

The Model Figure 1 illustrates the labor market transition process as a person is recruited and moves to the "gate-keeper" who assesses, diagnoses and refers the individual to appropriate services Each person needs prompt, accurate

Figure 1.
Labor Market Transitions Through CETA

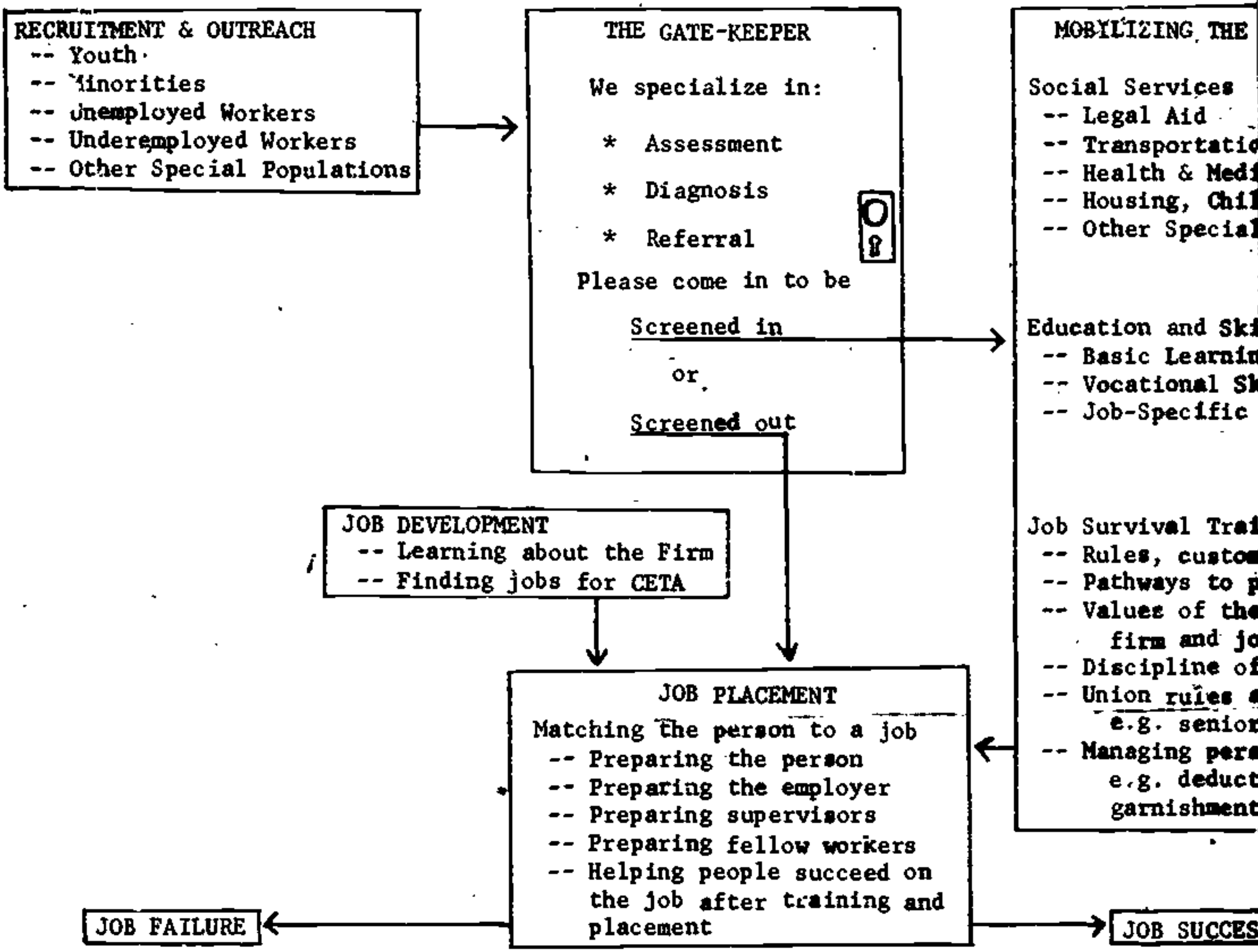
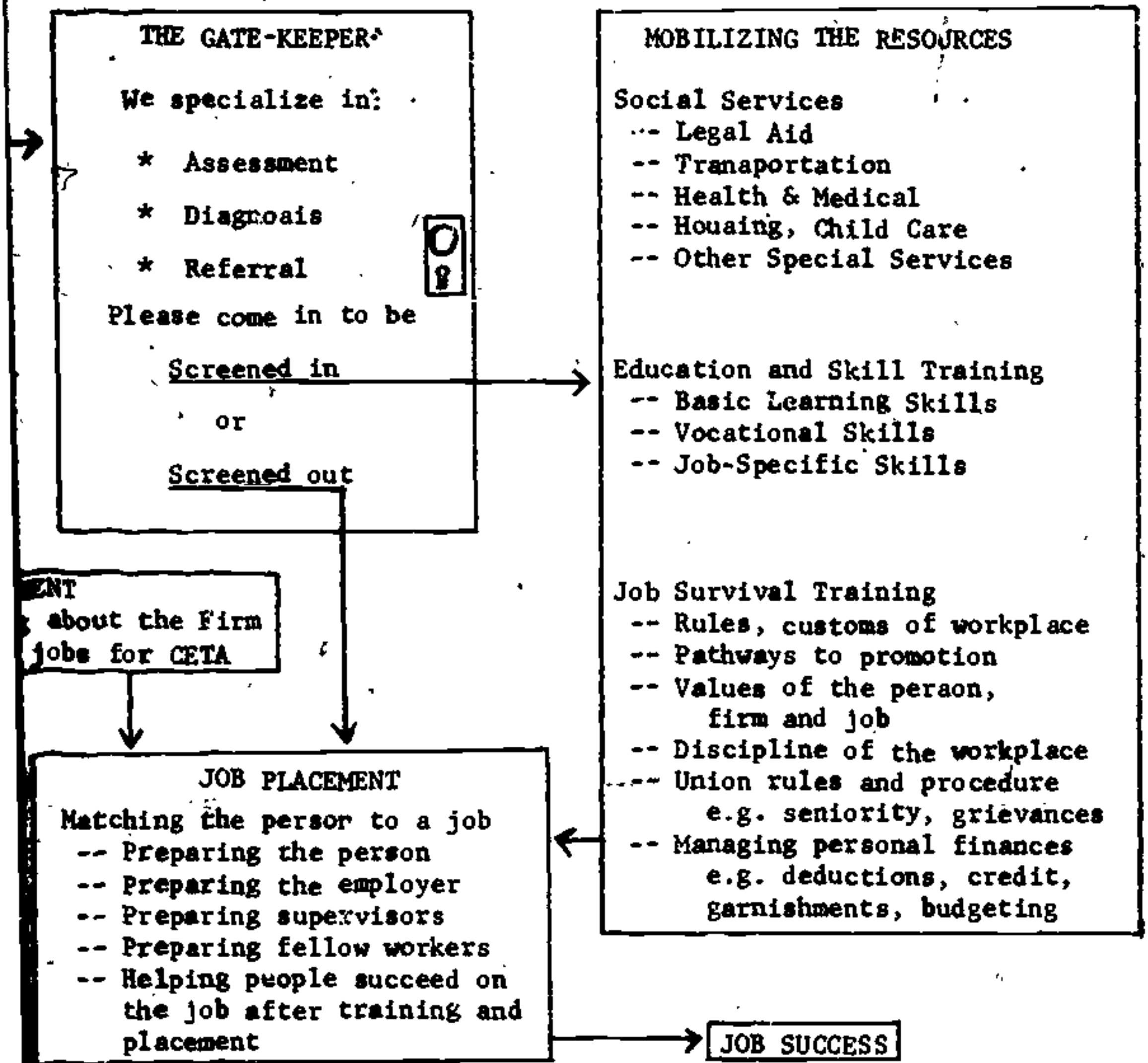


Figure 1.
r Market Transitions Through CETA



referral to appropriate services based on his or her readiness for each stage in the process. Some CETA clients, for example, are ready to be placed directly into jobs, while others may require basic learning skills, social services and job search and survival training. Only through diagnosis and assessment can the proper referrals be made so that each person's progress is matched with access to appropriate jobs, training and resources at the right time. This is the meaning of the need to Know Your Client in helping people succeed in competitive employment.

The key to transitions and to the operation of this model is the availability of appropriate information about local jobs. This information can be quantitative or qualitative. Both are important.

Quantitative data exists at the macro level for the nation and for states in a variety of measures of employment and unemployment trends and occupational outlook predictions by industry and occupation. Quantitative data at the micro level for local communities and regional labor markets are less available but can be gathered with an aggressive posture as discussed in the Exchange of Information section in this report by Myron Roomkin. But perhaps the most critical information essential to the final two stages in the labor market transition process is qualitative insight into what often appears as hidden costs in job entry and success. These must come from local employers and intermediaries who can contribute to an intimate awareness of the process.

The most serious lack of information found as public agencies plan and operate programs is a realistic understanding of the framework for planning used by private sector employers. As the final element in our model we briefly summarize this framework:

1. Planning lead time for employers is a calculus of the training lead time for a given occupation, the realities of the produce or service market of the firm in the business cycle, and the expectations of shareholders.

2. Training lead time is geared roughly to the technology of the industry and the skills and knowledge associated with the jobs for which training is to occur.

3. The higher the level of knowledge and skill associated with an occupation, the wider its geographic labor market for recruitment and the longer its training lead time.

4. The higher the pay, fixed cost benefits and rigidity of work rules including seniority and lines of progression within the firm, the more demanding the employer will be of entry level qualifications and job performance.

5. The employer's goal is not to fulfill the needs of the disadvantaged or unemployed labor force; it is to make a profit. The private sector will support training and offer jobs to people in the employment and training system if there is a reasonable expectation that a return on that investment will occur through the development of a supply of workers qualified and ready for jobs for which employment opportunities exist, now or in the future.

In summary, our model says that to place individuals in unsubsidized, competitive jobs in the private sector, we must understand the nature of labor market and the behavior of the parties in the transitions to a successful work experience. To do this, we need information and a framework for using it.

Applying the Model

This section deals with two questions. The first is the collection and interpretation of quantitative micro labor market data; the second is the gathering and uses of qualitative labor market data. Both are discussed in the context of the transition model developed above.

The discussion which follows assumes that organizations have already solved their general communications problems and have determined an appropriate information processing posture. The reader might want to refresh his or her memory on these issues by referring to the Moag and Roomkin papers which precede this paper in the report.

Micro Level Quantitative Information. Two examples from the work of the project staff are available to illustrate the use of micro level quantitative labor market information. The first surveyed employers from 15 southwestern Illinois counties with the help of vocational educators in the region; the second example involves local labor market information gathered by CETA consortium staff for eight southwestern Indiana counties. The data for the two regions is similar in form and content, but this discussion will focus on the Indiana survey results. The process for collection and analysis of such information is inexpensive and could be applied in any local labor market.[1]

In this particular case Evansville CETA consortium staff prepared and distributed survey forms to about 600 firms in ten major industrial groups identified from 1973 County Business Patterns data (Exhibit 2 on page) from the U.S. Bureau of the Census. A total of 180 employers responded to the survey; one-third were wholesale and retail firms, one-sixth were manufacturers, one-tenth were in

[1] The employer survey procedure is described in detail in a report from Rodgers, Cassell et al, to the Illinois Office of Education entitled Educational Planning in the Labor Market: Linking Occupational Education to Regional Economic Development. Requests for copies should be directed to the Division of Adult, Vocational and Technical Education, Illinois Office of Education, 100 North First Street, Springfield, Illinois 62706.

health and medical services, and the balance were distributed among the remaining seven industries. Manufacturers employed nearly half of the 27,000 employees of the 180 firms, health and medical services employed 25 percent of the 1975 work force represented by the survey, and wholesale and retail trade accounted for 9 percent of the present work force surveyed. (Exhibit 3 on page 117). The survey sample appears to be representative of the industries and types of employment in the southwestern Indiana labor market.

Employers provided three levels of information to assist the consortium and the advisory council with strategies for translating numbers into priorities. The first level involved projections of demand for future employees. The 180 firms projected nearly 4,500 full-time and 800 part-time job openings for 1976 and 1977. Nearly 60 percent of these openings were projected by manufacturers, just over 20 percent were in health and medical services, and wholesale and retail trade was the third largest with 5 percent of the projected openings. Manufacturing and health appear to be the two industries with the greatest potential for job development, training and placement in southwestern Indiana during the next two years with more than 80 percent of the projected full-time job opportunities in these 180 firms.

The second level of information gathered in the survey represents the educational and work experience requirements preferred by employers when hiring people for jobs within firms which responded to the survey. Employers do not appear willing to substitute long work experience for basic learning skills. Opportunities for people without a high school diploma drop sharply for jobs requiring more than one year of work experience. While half the jobs requiring more than one year of work experience remain open to high school graduates, just 6 percent are open to candidates with less than four years of high school. Figure 2 summarizes the results these data in the employer survey results to illustrate the way employers use education and work experience in screening applicants for work in southwestern Indiana.

Figure 2.
Relationships Among Work Experience, Education and Job Demand

EDUCATIONAL REQUIREMENTS FOR ALL JOBS LISTED*

A	B	C	D	E
11%	8%	44%	21%	16%

WORK EXPERIENCE REQUIREMENTS FOR ALL JOBS LISTED

4%

EDUCATIONAL QUALIFICATIONS FOR JOBS REQUIRING 10 YEARS WORK

A	B	C	D	E
3%	8%	51%	7%	31%

20%

EDUCATIONAL QUALIFICATIONS FOR JOBS REQUIRING 3-10 YEARS WORK

A	B	C	D	E
5%	5%	48%	17%	25%

32%

EDUCATIONAL QUALIFICATIONS FOR JOBS REQUIRING 1-3 YEARS WORK

A	B	C	D	E
8%	12%	56%	8%	16%

44%

EDUCATIONAL QUALIFICATIONS FOR JOBS REQUIRING UNDER ONE YEAR WORK

A	B	C	D	E
20%	6%	54%	8%	12%

* A - Under Four Years High School
B - Vocational Education
C - High School Graduate
D - Under Four Years College
E - College Graduate

The third level of information in the employer survey focused on more detailed employer expectations of future employment opportunities by job title within industry. Such projections for manufacturing and health are reported in Exhibits 4 and 5 on pages 119-122. Employers in the remaining industries project too few opportunities to interpret their expectations by job title meaningfully in planning CETA programs. These results do, however, indicate several occupational groups which offer the potential for job development, training, placement and success for CETA clients in the eight-county Evansville consortium.

In interpreting the results of the Employer Survey and translating its results into programs, the reader must recognize the limitations of the information provided by employers in this survey. Thus manufacturers expect to be hiring assemblers, freight and material handlers, and secretaries during the next two years -- all jobs for which CETA-eligible people might qualify after ten to twenty weeks of training. But equally important is the fact that other projected openings for jobs such as manufacturers' sales representatives, grinders, and tool and die makers require higher levels of skill and training than can be accomplished during short-term CETA-type training. The numbers reported in Exhibits 4 and 5 suggest how many positions _might_ be open by job title within industry based on employers' best guesses about the future, but the data must be interpreted first as reporting only _probable_ openings -- not guaranteed openings -- and second, the prime sponsor must realize that it is his responsibility to screen the data to distinguish those jobs for which his clients might reasonably be eligible from those jobs for which his clients clearly are not eligible.

Insight and information about job content and requirements for success are essential to helping people qualify for and succeed in good jobs. The question is how do intermediaries go about gathering and understanding the implications of such information. The simplest and most practical strategy is to go to the source -- to employers who might be able to hire the individuals being trained and placed into competitive work. Communication with employers is essential throughout the process of job development, training and placement. Early contact with employers also improves chances of securing mutual accommodations by CETA and individuals in training as they understand the needs of people and employers in successful employment. Intermediaries must be in touch with employers to learn what entry level skills and productivity measures will be expected of people if they are to succeed in jobs. The goal of this stage in the process is to develop strategies for incorporating qualitative labor market information into program planning and instruction.

Strategies for Gathering and Using Qualitative Information about Jobs. The need for qualitative information about jobs grows from the need to improve understanding of the opportunities for employment and resources required to help people prepare for success in competitive jobs. Most members of such agencies have some knowledge about various types of work through what they have read or heard from friends and clients. What is needed, however, is knowledge of acquaintance[1] which provides insight into the conditions and requirements for success in particular jobs and work environments. Three useful strategies for gathering and using such information were found in our studies of CETA activities in Baltimore, Maryland, and Evanston, Illinois.

The first strategy for gathering and using qualitative labor market information comes from the six-county Baltimore Metropolitan Manpower Consortium (see Exhibit 6 on page 123) in Maryland. The Baltimore program includes many important elements of the model for public-private sector linkage presented here. Labor market analysts for the consortium gather and evaluate quantitative data from employers

---

[1] This concept is adapted from the distinction first noted by William James in The Principles of Psychology (London: Macmillan, 1890), Vol. I, p. 221, and later expanded by Elton Mayo in The Social Problems of an Industrial Civilization (Boston: Harvard University Graduate School of Business Administration, 1945), pp. 16 and 59.

through telephone surveys and constant updating of information about labor market conditions and economic development in the metropolitan area.[1] Job development is incorporated into a "marketing" strategy which attempts to coordinate visits and information gathered by the many public agencies seeking employment opportunities from firms into which they hope to place clients, including the employment service, work incentive program (WIN), and special programs for youth, offenders and ex-offenders in the Baltimore area. But perhaps the most important factor in helping clients complete labor market transitions to successful employment is the organization and use of Labor Market Advisory Committees (LMAC) as part of program design and planning for the consortium.

Many public agencies have advisory groups which may include employers, unions and representatives of job-related and social service agencies, but the role of an LMAC is much more specific than that of a CETA advisory council or a vocational education advisory group for a secondary school. The LMAC for a particular industry and occupation is formed from people in that industry and its unions, training resources and "gate-keepers" (people who control access to training and jobs) in which quantitative survey data suggest good potential for training and placing CETA clients into jobs. Once an LMAC is formed for a given industry and occupational group, its role can develop into one of helping shape programs and specifying types of training and experiences required to enable people to qualify for and succeed in such jobs. In short, the LMAC is a primary resource for keeping qualitative information current by including the insight and experience of people in the particular occupation to assist with the design and operation of training, job development and placement within the consortium.

---

1 Such data is available in many forms in most urban areas. See Exhibit 8: "Developing an Employment Strategy."

An LMAC can be especially helpful in increasing knowledge of acquaintance about a particular industry, occupation or firm, and the work environments and requirements associated with each, by:

1. Confirming and specifying demand for particular skills beyond that suggested by quantitative information alone. The LMAC can help identify the particular sub-industries in which the need is greatest and begin the process of gathering qualitative information about working conditions and requirements for entry and success on the job.

2. Guiding curriculum content in training programs as to real jobs and their requirements. The training of welders...for example, may need to differ from one industrial setting to another. Employers familiar with an industry can help specify the elements needed to prepare people for success on the job.

3. Specifying criteria for evaluating job competency skills and determining when the person is ready for referral into competitive employment. Any public or private agency which develops a reputation for "graduating" people without the skills to perform successfully on the job will soon find employers reluctant to welcome his staff and clients.

A second strategy was found in a smaller CETA training program in Evanston Township High School, north of Chicago. The Evanston program helps illustrate the manner through which public agencies new to employment and training under CETA are most likely to build successful linkages to private sector employment. The key to the Evanston approach is informal communication between its director and employers. followed by careful attention to the special conditions, expectations and requirements to which individuals must adjust as they enter competitive employment. Each employer in the Evanston program begins with one to three graduates of the training effort. Success leads to success. Therefore, the initial breakthrough with any employer must begin with careful collaboration of CETA, employers, unions and related agencies to assure success with the first placements in a given firm or work environment. CETA participants must demonstrate their ability to perform satisfactorily on the job. This stage of the strategy is based on experience in other contexts affirming that employers will cooperate with programs training the disadvantaged, the unemployed and minorities if they can expect referrals of qualified, reliable workers for jobs in which they have vacancies. Most employers expect some error and some referrals of people who cannot perform on the job, but few can afford to hire people referred from agencies with consistently bad judgements about the ability of their clients to perform on the job. This strategy requires a willingness to start with a few initial participants in a firm, then building on these to develop a reputation for success as fellow workers, supervisors and employers recognize that CETA can help supply a productive, reliable labor force.

The third strategy offers a primary tool for helping participants achieve the goal of success on the job in the Evanston program through simulation of the conditions of work to help the individual prepare to cope with the expectations of employers, fellow workers and supervisors in terms of the conditions and environment of the workplace. This element of curriculum is especially dependent on the knowledge of acquaintance of members of the Labor Market Advisory Committee.

One element of simulation is time. Training programs might be scheduled, for example, from noon to 8 p.m. rather than on a regular school-day schedule with the resulting benefit that people in training have less difficulty adapting to working hours and shifts which may not conform to the 8 to 4 or 9 to 5 pattern. Another element of simulation is to provide practice in dealing with typical work rules such as pay, tardiness, garnishments, grievance procedures and pathways into promotion. Young or inexperienced CETA clients are seldom familiar with such rules and procedures, but they need to become accustomed to the discipline of the workplace: being to work on time; pay deductions for tardiness or absence; seniority and lines of progression from one job to another within the firm or department; a fair day's pay for a fair day's work. Such discipline may conflict with the individual's values. A failure to resolve this conflict may lead to a client's failure to retain the job A third element consists of broadening participation within each training group to include older workers with youth. The maturity and experience of adults can be a settling influence and a source of knowledge of acquaintance about the limitations of job opportunities for those without the skills required for competitive employment. This new role, in return, can help build the confidence of older workers as they provide young trainees with information and guidance. The result can be a mutually rewarding experience, one which facilitates transition from training to work by helping equip the individual with an understanding of attitudes and work habits which are required for success on the job.

Summary. Certainly other programs have also succeeded in training to qualify individuals for success in the labor market. But the key to this series of strategies for the employment and training system is not the accumulation of minor details with which to shape training programs into newer yet still relatively inflexible molds. The key is the development of communication channels and information resources with employers to keep qualitative and quantitative data current. Only such communication and information can enable public agencies in the employment and training system to remain responsive to the changing needs, conditions, and opportunities in the dynamic local labor markets in which people live and work.

Bibliography

James, William. The Principles of Psychology, Vol 1. London: Macmillan, 1890.

Mayo, Elton. The Social Problems of an Industrial Civilization. Boston: Harvard University Graduate School of Business Administration, 1945.

Rodgers, Ronald.; Cassell, Frank; et al. Educational Planning in the Labor Market: Linking Occupational Education to Regional Economic Development. Springfield, Ill.: Illinois Office of Education,

Public-Private Sector Linkage
Transitions to Successful Work
<u>Seminar Agenda</u>

9:00 - 9:20 Introduction to the Day

9:20 - 10:00 Introduction to the Labor Market

A. Exhibit 1: The SID Model for CETA and the Labor Market

B. Assumptions and Limitations in our use of the Model
1. Communications linkages already in place
2. Incentives to link with private sector already present
3. Information about supply and demand are sufficient to begin the process

C. Objectives of our use of the model
1. What information do you need to use SID?
2. How do you use information and communication linkages to resolve local labor market problems?

10:00 - 10:15 Break

10:15 - 11:30 How do you describe a local labor market?

A. Concepts and Terms
1. Labor Market Transitions
2. Training Readiness
3. Job Readiness
4. Employability
5. Job Retention & Success

B. Looking at Local Labor Market Information
1. Southwestern Indiana
2. Southwestern Illinois

11:45 - 1:30 Luncheon with Guest Speakers ..

A. CETA Director of a Local Program with Successful
1. Strategies in training disadvantaged workers for transition and adaptation to unsubsidized jobs.
2. Incentives for employers to hire and retain CETA-trained workers.

B. An Employer with Successful CETA-trained Employees
1. Incentives for employers to hire and upgrade disadvantaged (CETA-trained) workers
2. Strategies for upgrading and promotion into higher skilled jobs within the firm.

1:30 - 2:45	Marketing to Produce Success
	A. Identification and Analysis of Employers
	B. Planning the Employer Contact: Getting Information about the Firm
	C. Socialization for Work -- Analysis of placement opportunities from an internal labor market (employer/employee) perspective. 1. What are entry level jobs? 2. Where do markinal workers begin in internal labor markets? 3. How do they advance into better jobs after leaving CETA?
2:45 - 3:00	Break
3:00 - 4:00	CETA as a Resource Mobilizer in the Labor Market
	A. What is CETA's Role in Job Development?
	B. Baltimore Labor Market Advisory Committee roles 1. Confirming and specifying demand 2. Guiding curriculum content to job relevance 3. Specifying criteria for évaluation of competency levels (job readiness) before placement in private sector employment
4:00 - 4:30	Summary and Evaluation
	Local ideas and strategies for mobilizing resources in the Employment and Training System

EXHIBIT 1

CETA LABOR MARKET OPERATIONS MODEL

Manpower Supply

Employed by sector:
- Public
- Private

Employment Status:
- Full time
- Part time
- With jobs, not working
- In school:
  - Secondary
  - Community or Jr. Colleges
  - Tech. Inst.
  - 4-year Colleges
  - Graduate Schools
  - Training programs

Retirees

Unemployed by duration

Unemployed by occupational groups

Unemployed by characteristics:
- Economically disadvantaged
- Public Assistance recipients
- Women
- Youth
- Veterans
- Minorities
- Migrants
- Limited English speaking ability
- Over 40 persons
- Older workers
- Handicapped
- Ex-Offenders
- Educationally disadvantaged
- Native Americans
- Former manpower enrollees

Location

The Intermediaries

Person-Job Information and Access

1. Recall of laid-off or former employees
2. Hiring on site, walk-ins
3. Word of mouth, relatives, friends
4. Civil Service or other employment list: local, state, federal
5. Public and private employment agencies
6. CETA-associated agencies, programs, prime sponsors
7. Other employers (public and private)
8. Professors, teachers, counselors: Graduate schools; Colleges, Jr. and Community Colleges, High Schools
9. Professional societies
10. Newspapers, labor market publications

Job Demand

By Sector:
- Public
  - Local
    - Public Service Employment
    - Job Corps
    - Neighborhood Youth Corps
  - State
  - Federal
- Private

By occupation

By time
- Existing job vacancies funded
  - By sector
  - By function
  - By occupation
- Existing job vacancies not funded
- Future, funded
- Future, not funded (timetable)

By location
- Urban-rural
- Commuting distance and travel cost
- Move necessary

Full time, part time

The Facilitators

Remedial health services: medical dental, optical, psychological

Day care, housing, family service, transportation

Pre-employment readiness, orientation: literacy, remedial reading, handling personal finances, pre vocational skills

Professional knowledge, technical and skill development: Technical Institutes, junior and community colleges, four year colleges, universities, CETA, prime sponsor Programs and agencies, short specialized programs

Job success aids: counseling, coaching, orientation, psychological support of employee and supervisor

Transitional Jobs (PSE)

Requirements

Those of the person (Supply)	Those of the employer (Demand)
Productivity Skills Knowledge Experience Attitudes	Job Requirements Technical Professional Wages, hours of work, working conditions Geographic Artificial
Availability Mobility Job Readiness Employability	Organization Opportunity structure Ports of entry Rules: seniority, tests, etc.
Preferences Occupational Lifetime career opportunity Environment Supervision, with challenge, pace, variety, [illegible] Life style [illegible] Work-[illegible]	Environment Readiness of management to accommodate the supply

Job [illegible]	
Rejection	Acceptance

EXHIBIT 2

DEFINITIONS

Training Readiness

Basic skills
--Reading & Comprehension of instructions
--Computation & Basic math
--Other training-related prerequisites
Attitudes toward training
Attitudes toward industry or occupation as an opportunity system

Job Readiness

Job skills at entry level adequate, competency for performance of work.
Preparing individual for internal labor market conditions with particular occupation or industry (simulation experience)

Employability

Attitudes toward entry level job
Work habits in conformance with internal labor market demands
Willingness to accept supervision
Value systems in conflict
Attitudes toward work

Job Retention & Success

Absenteeism & Tardiness
Insubordination -- unwillingness to take orders
Perception of internal market as an opportunity system offering advancement to better jobs
Concepts of a "fair day's work"
On-the-job support system

Labor Market Transitions

Process of movement through the Employment and Training System from CETA client to unsubsidized, promotable, successful employee from perspectives of BOTH employer and worker.

Northwestern University
(c) Frank H. Cassell
Ronald C. Rodgers
Manpower Linkage Project
April 1976

EXHIBIT 3

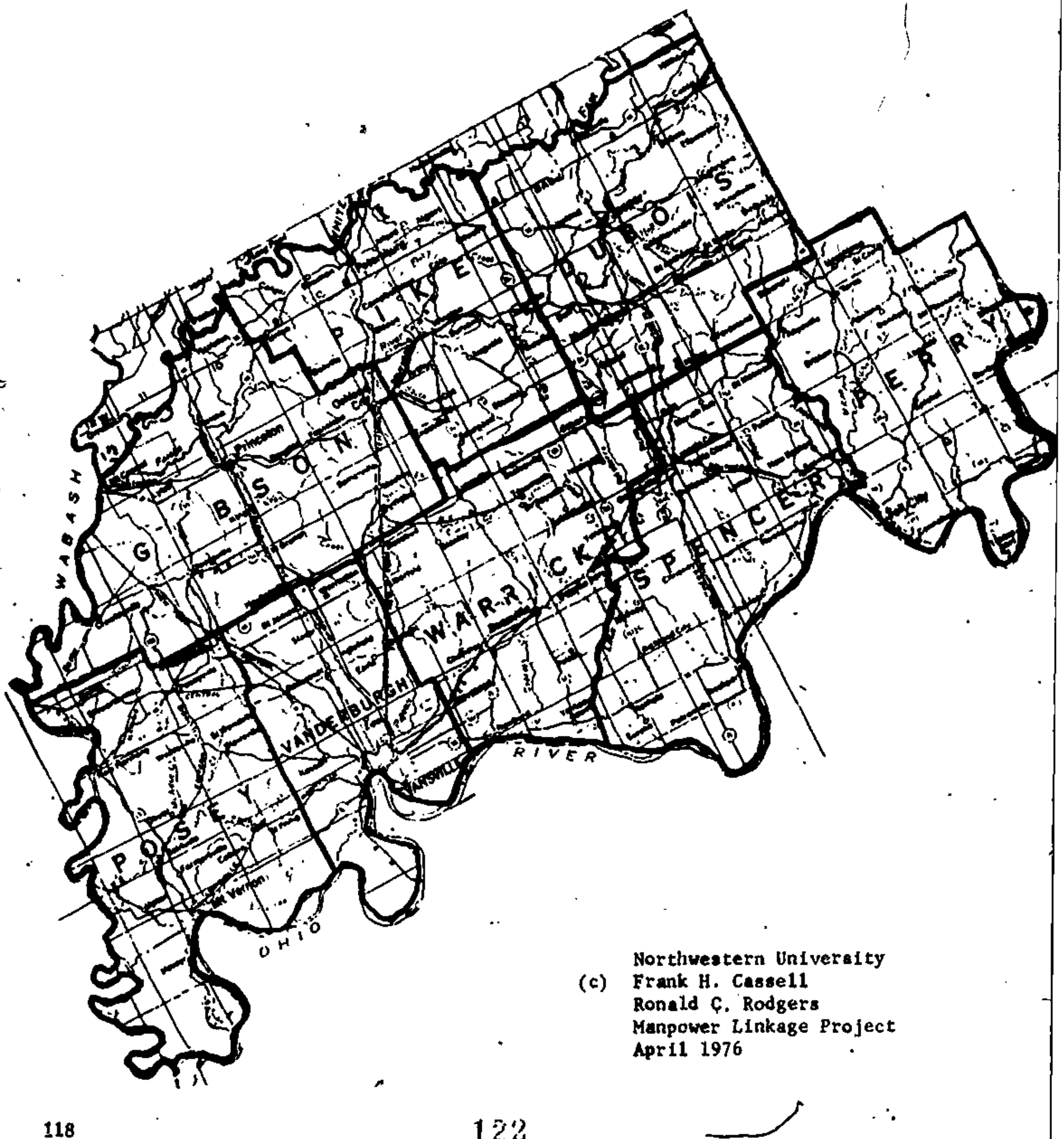
Southwestern Indiana Employers by Industry, County & Size

SUMMARY

Total Employers by Industry	Number of Employees			
	8-19	20-49	50 or more	Total
Agricultural Services	4	1	0	5
Mining	16	5	7	28
Contract Construction	91	41	19	151
Manufacturing	100	71	145	316
Transportation, Communication & Public Utilities	73	29	21	123
Wholesale & Retail Trade	522	233	82	837
Finance, Insurance, Real Estate	80	34	10	124
Services	254	88	46	388
Unclassified	10	2	0	12
Total # of Employers - 8 counties	1,150	504	330	1,984

Source: U. S. Bureau of the Census, County Business Patterns, 1973 Indiana CBP-73-16 U. S. Government Printing Office, Washington, D. C. 1974

SOUTHWESTERN INDIANA MANPOWER CONSORTIUM AREA



(c) Northwestern University
Frank H. Cassell
Ronald C. Rodgers
Manpower Linkage Project
April 1976

EXHIBIT 4

Southwestern Indiana Employer Survey
Jobs, Job Openings and Percent of Jobs Listed by Industry

	1975 Employees Listed			Projected Job Openings in 1976-77		
	Full-time Employees	Part-time Employees	TOTAL	Full-time Employees	Part-time Employees	TOTAL
Banking n=15	680 3%	134 5%	814	61 1%	26 3%	87
Construction n=13	449 2%	112 4%	561	127 3%	356 44%	483
Education n=5	751 3%	150 6%	901	43 1%	28 4%	71
Government n=5	1131 5%	199 8%	1330	131 3%	16 2%	147
Health n=17	5939 24%	897 35%	6836	927 21%	174 22%	1101
Manufacturing n=30	11913 49%	200 8%	12113	2635 59%	69 9%	2704
Mining - Agriculture n=1	57 .2%	0	57	0	0	0
Personal Services n=22	711 3%	178 7%	889	218 5%	19 2%	237
Transportation Communication & Utilities n=11	1107 5%	123 5%	1230	97 2%	49 6%	146
Wholesale - Retail Trade n=60	1742 7%	548 22%	2290	214 5%	58 7%	272
TOTALS n=179	24480 91%	2541 9%	27021	4453 85%	795 15%	5248
Percentage of Projected Placement Opportunities in 1976-77				18%	31%	19%

EXHIBIT 5

Southwestern Indiana Employer Survey
Present and Predicted Employment by Job Title

Manufacturers (n=30)

Professional-Managerial

		1975		Anticipated 76-77	
		Full Time	Part Time	New Full Time	New Part Time
01	Accountants	99	3	7	
02	Credit Managers	2			
03	Computer Specialists	150	1	4	
04	Dept. & Division Managers	308		14	
05	Chemical Engineers	6		1	
06	Electrical Engineers	36		5	
07	Industrial Engineers	82		12	
08	Mechanical Engineers	85		6	
09	Metallurgical Engineers	2			
10	Petroleum Engineers	1			
11	Other Engineers	93			
12	Financial Managers	11			
13	Marketing Managers	26		3	
14	Office Managers	12			
15	Purchasing Agents	54		3	
16	Research Workers	202		25	
19	Chemists	5			
21	Physicists	206		7	
22	Other Scientists	27		2	
23	Advertising Writers	87		4	
24	Editors	1			
25	Photographers	5			
26	Public Relations	6		1	
28	Other Writers	97		3	
	Sub-Total	1601	4	97	
	Percentage of Total	13%	2%	4%	

Clerical & Sales Workers

		Full Time	Part Time	New Full Time	New Part Time
29	Bill Collectors	1			
32	Mail Handlers	7	10	1	6
33	Manufacturer Sales Reps.	582	1	124	
34	Messengers	5			
35	Keypunch Operators	70		14	
37	Payroll Clerks	32	2	3	
38	Receptionists	10	1	2	
39	Secretaries	337	29	43	8
40	Shipping & Receiving Clerks	62		3	
41	Stock Clerks	59		3	
42	Telephone Operators	24	8	3	
43	Other Clerical	174	5	18	1
	Sub-Total	1363	56	214	15
	Percentage of Total	11%	27%	8%	22%

Frank H. Cassell and Associates
Chicago, Illinois

Manufacturers (continued)

Crafts & Technicians

		1975		Anticipated 76-77	
		Full Time	Part Time	New Full Time	New Part Time
44	Bakers	74		5	
45	Binders	83		9	
46	Compositors & Typesetters	14		1	
47	Electricians	187		6	
48	Foremen	654	4	12	
49	Furniture & Wood Finishers	50		10	
50	Machinists	599		14	
51	Airconditioning, Heating & Refrigeration Repair	1			
52	Auto & Truck Mechanics	56	1		1
53	Data Processing Equip. Repair	9		2	
54	Farm Implements Mechanics	25			
55	Heavy Equip. & Machinery Mech.	71		2	
56	Other Mechanics	63		12	
58	Photoengravers & Lithographers	33		1	
59	Plumbers & Pipefitters	25		18	
60	Pressmen & Plate Printers	71		1	
62	Sheetmetal Workers	15		8	
63	Technicians	130		23	10
64	Tool & Die Makers	198		80	
65	Other Crafts	170	7	18	4
	Sub-Total	2528	12	222	15
	Percentage of Total	21%	6%	8%	22%

Service Workers & Laborers

		Full Time	Part Time	New Full Time	New Part Time
66	Janitors	190	8	31	
67	Janitresses	47	7	12	
68	Cleaning Supervisors	29			
70	Cooks	3	1	1	
71	Cashiers	1			
74	Other Food Workers	5	1		
75	Freight & Material Handlers	349		192	
77	Gardeners & Groundskeepers	10	6		12
78	Guards & Watchmen	85		42	
80	Warehousemen	113		24	
81	Other Services	397	46	24	
	Sub-Total	1229	69	340	12
	Percentage of Total	10%	36%	13%	17%

Frank H. Cassell and Associates
Chicago, Illinois

Manufacturers (continued)

Operatives & Transport

		1975 Full Time	1975 Part Time	Anticipated 76-77 New Full Time	Anticipated 76-77 New Part Time
82	Assemblers	2081		1349	
83	Bottlers & Canners	9			
84	Delivery & Routemen	67	7	5	
85	Dressmakers & Seemstresses	258		61	
87	Examiners & Inspectors	635		89	
88	Files, Polishers, Sanders & Buffers	24		1	
89	Forklift & Tow Operators	655		71	20
91	Graders & Workers	3	20		
92	Metal Platers	8			
94	Mixers	30		1	
95	Oilers & Greasers	33		16	
96	Packers & Wrappers	70		7	
97	Drill Presses	62		40	
98	Grinders	129		100	
99	Other Machinists	115		15	
100	Solderers	71		75	
101	Truck Drivers	106	22	36	
102	Welders & Flamecutters	74		10	
103	Other Operators	695	10	27	7
	Sub-Total	5192	59	1762	27
	Percentage of Total	44%	30%	67%	39%
	Total Employees	11913	200	2635	69

126

EXHIBIT 6

Southwestern Indiana Employer Survey
Present and Predicted Employment by Job Title

Health and Medical Services (n=17)

Professionals & Managers

		1975 Full Time	1975 Part Time	Anticipated 76-77 New Full Time	Anticipated 76-77 New Part Time
01	Accountants	20		2	
03	Business Managers	7			
04	Clergymen & Chaplains	8		1	
05	Computer Specialists	3			
06	Dentists	4		1	
07	Dieticians	21	3	7	
08	Food Service Managers	5		1	
	Health Technologists:				
10	Dental Hygienists	1	1		1
11	Health Records Technicians	1			
12	Medical Lab Technicians: (Hematologists, etc. - special groups)	116	16	21	
13	Medical Equipment Technicians: (Dialysis, EEG, etc.)	37		16	
14	Radiologic Technicians	112	8	16	1
15	Surgical Technicians	48	8	10	
16	Therapy Assistants (specify field)	35	4	4	
17	Other Technicians	39	1	10	2
18	Managers & Administrators	209	11	18	1
19	Medical Librarians	10			
20	Microbiologists	2			
21	Operating Engineers	1			
22	Pharmacists	39		13	
23	Personnel Workers	26			
24	Physicians	16		1	
25	Public Relations & Publicity Staff	10	1		
26	Purchasing Agents	8			
28	Registered Nurses	936	340	252	47
29	Social Workers				
	Therapists:	19	1	3	
30	Occupational Therapists	3	2	2	
31	Physical Therapists	22	2	6	
34	Other Therapists	31	4	7	
36	Other Professionals & Managers	4	1	1	1
	Sub-Total	1793	403	392	53
	Percentage of Total	30%	45%	42%	30%

	1975		Anticipated 76-77	
Service Workers	Full Time	Part Time	New Full Time	New Part Time
37 Janitors & Janitresses	423	40	55	1
38 Linen & Laundry Workers	165	6	14	1
39 Cleaning Supervisors	64	1		
41 Carpenters	18			
42 Electricians	19		2	
43 Maintenance Mechanics	85	1	4	
44 Plumbers	8		2	
45 Power Plant Workers	23			
46 Other Maintenance Workers	22	1	2	
47 Cooks	70	7	6	1
48 Diet Aides	195	59	12	26
49 Dishwashers	17	17		1
50 Other Food Service	95	30	11	25
51 Gardeners & Groundskeepers	14	3		2
52 Guards & Watchmen	18	49	19	2
53 Attendants	38	8	20	
54 Dental Assistants	3	2	2	3
56 Laboratory Aides	25	11		
57 Nursing Aides	1302	86	108	35
58 Orderlies	34	5	111	
59 Practical Nurses	378	31	29	1
60 Student Nurses		29		
61 Surgical Aides	6	2		1
62 Other Service Workers	286	10	21	2
Sub-Total	3308	398	418	101
Percentage of Total	56%	44%	45%	58%
Clerical Workers				
63 Admitting Clerks	51	7	6	
64 Billing Clerks	52	3	6	
65 Bookkeepers	6	1	1	
66 Clerical Supervisors	8			
67 File Clerks	43	11	17	
68 Insurance Clerks	9	1		
69 Keypunch Operators	18		8	
70 Laboratory Clerks	13		2	
71 Mailhandlers	8	2		
72 Medical Record Clerks	64	6	3	
73 Messengers	3	1		
74 Payroll Clerks	10			
75 Receptionists	29	8	6	
76 Secretaries	172	8	13	
77 Supply Clerks	29	1	2	
78 Statistical Clerks	2	2		
79 Telephone Operators	27	16	6	
80 Typists	5			
81 Ward Clerks	237	21	31	20
82 Other Clerical	52	8	16	
Sub-Total	838	96	117	20
Percentage of Total	14%	11%	13%	11%
Total Employees	5939	897	927	174

EXHIBIT 7

BALTIMORE METROPOLITAN MANPOWER CONSORTIUM

I. THE MANPOWER SERVICE CENTER NETWORK: ACCESS TO THE CETA SYSTEM

Clients entered the CETA system primarily through a network of fifteen strategically located Manpower Service Centers (MSC). Two of the centers were devoted exclusively to youth. Their primary function was to recruit clients for CETA-funded training programs designed to meet the needs of young persons.

One such center was fully funded by CETA and subcontracted to the Baltimore County Board of Education. The other youth center, in Baltimore City, was jointly funded by Title I and Title IV. Staff salaries and operational expenses (space, office supplies, etc.) were paid for by Title IV. Administrative and planning services (MMIS, Marketing, Evaluation and Fiscal) were funded by Title I.

The other MSC's in the network (13) served both youth and adults. Nine were fully funded by CETA. In Baltimore City the fully funded centers were: Dunbar (subcontractor: Maryland State Employment Service), Greater Homewood (subcontractor: Greater Homewood Community Corp.), Lafayette Square (subcontractor: Maryland State Employment Service), Mondawmin (subcontractor: Urban League), Northwest (subcontractor: Northwest Baltimore Corp.). In Howard County a fully funded center was located in Columbia (subcontractor: Howard Community College). In Anne Arundel County a fully funded center was located in Glen Burnie (subcontractor: Maryland State Employment Service). The Prime Sponsor directly administered two fully funded centers which were operated out of mobile vans. The mobile vans provided the flexibility to reach population sectors not readily accessible to other MSC's.

In Annapolis (Anne Arundel County), Bel Air (Harford County), Towson, (Baltimore County), and Westminster (Carroll County), the Prime Sponsor provided supplementary staff to expand manpower service delivery in existing Employment Service local offices.

This section examines the characteristics of CETA participants, the system's ability to reach clients most in need of manpower services, and the outcomes of referrals to jobs and training.

Basic demographic information was obtained from each person who visited an MSC seeking employment assistance. All such persons are regarded as CETA REGISTRANTS.

A CETA ENROLLEE is defined as a registrant who is determined to be CETA eligible and who subsequently: 1) is referred, accepted, and actually begins a CETA funded training program (including PSE) or who 2) is referred to and actually appears for a job interview with an employer, or who 3) as a result of services received at a center (counseling, employment information, job search skills workshop) returns to school, joins the armed services, enrolls in a non-CETA funded training program, or obtains a job through his own efforts.

1. WHAT WAS THE DEMOGRAPHIC PROFILE OF FY '75 CETA REGISTRANTS?

During the past fiscal year the Manpower Service Center network registered a total of 22,164 persons. Table 1 presents a demographic breakdown of this registering population. When examining these data the reader should be aware of several points. The complete network of service centers was not fully operational for the entire twelve months July 1, 1974 to June 30, 1975. CETA funds became available in early July 1974 and there occurred a normal "start up" period during which various centers were gradually phased into operation. Therefore, several training programs directly registered enrollees for their first cycle of training. Also, training programs are permitted to directly register up to 10% of subsequent training cycles. Of necessity, all enrollees in the training program operating in the state penal institutions are registered by that training program.

TABLE 1

DEMOGRAPHIC CHARACTERISTICS OF MSC REGISTRANTS

CHARACTERISTIC	%
Male	58.0
Primary Wage Earner	49.7
Offender	18.8
Black	73.4
Less than 26 yrs. of age	74.1
Single	67.2
Less than 10 yrs. Education	26.2
Veterans	11.0
Economically Disadvantaged	78.2
One or more Dependents	41.5

The significant segments of the population particularly targeted for manpower services in the FY '75 Baltimore Metropolitan Comprehensive Manpower Plan were: youth, primary wage earners, and offenders. As Table 1 reveals, 74% of the registrants were less than twenty-six years old. The percent of primary wage earners in the registering population was 50%. It is practically impossible to have a high percentage of youth and a high percentage of primary wage earners simultaneously. As one increases the other naturally declines. In absolute numbers, however, primary wage earners represented over eleven thousand registrants. Current or previous offenders accounted for 19% or almost one out of every five registrants. Thus, in terms of reaching the specially targeted groups and making them aware of the availability of manpower services, the intake efforts of the Manpower Service Center network can be characterized as highly effective.

Of the remaining demographic characteristics, economically disadvantaged, and education are particularly significant. Over a quarter of the registering clients had not completed the tenth grade. Almost four out of five (79.2%) of the registrants were economically disadvantaged. This is further evidence that the MSC network attracted those persons most in need of manpower services.

II. TRAINING PROGRAMS:

EXAMINATION OF STRATEGIES

All skill training programs are designed to meet the needs of CETA clients who are not job ready or who desire retraining in order to prepare them to meet local labor market needs. Accordingly, panels composed of employers, union representatives, educators, and trainers are convened to determine specific local occupational needs. Once a skills shortage is identified, these Labor Market Advisory Committees produce the following essential data:

- approximate number of trainees that can be absorbed in the short run (6 months - 1 year)
- entry level skill requirements
- training equipment needs
- trainer qualifications.

This information is translated into program strategies including: work experience; classroom training, on-the-job training and public service employment.

A. WORK EXPERIENCE

The largest commitment of Prime Sponsor funds provided work experience training program activities utilizing the following models:

- Work Experience Coupled with Skill Training or Remedial Education
- Youth Work Experience
- Summer Youth Work Experience
- Adult Work Experience

a. COUPLED WORK EXPERIENCE

Training activities using the Work Experience coupled with Skill Training or Remedial Education model were implemented by eight subcontractors, providing training in fourteen occupational areas. These sub-contractors began serving CETA enrollees in

July, 1974, and the results discussed in this section reflect the completion of at least one training cycle.

Each of the eight training/work experience projects followed one of two models. One model combined actual work experience in a public agency with remedial education and/or skill training. The other model focused on occupational skill development in a simulated work setting, employing time clocks, production schedules, and approximations of the foreman-employee relationship. To reinforce the world of work simulation, all enrollees were paid hourly wages through the city of Baltimore's payroll system. Pay checks were distributed by the subcontractor, acting as the employer agent.

Q: What are the roles of the Labor Market Advisory Councils?

Austin * The LMAC's give us advice on various training programs. We have them set up around various programs to give us advice on curriculum, course outlines, completion criteria and standards, what people should have at the end of a program. They assist us in designing methods of testing people coming out of programs to measure the effectiveness of programs. We currently have 8 committees. Some are more active than others. Some we use primarily to gather information on the labor market and to notice trends that may be occurring but don't show up in our data yet. We have them help us determine how big a program should be, or whether we should stop or change training in one area or another. We get information from them about new areas of training -- new types of training they think would be useful to them or to employers in their industry. They donate time, equipment and money to training programs.

Q: What incentives are present for them to provide this assistance?

Austin Basically if they can have some input in the design of manpower training, programs will better meet their needs. They're telling us they cannot find people with certain types of skills, or people with the proper work attitudes, or people able to go into certain entry level jobs given some in-house training. If they can help us structure training programs to better meet their requirements, it will benefit them because they'll have a larger skilled labor pool with the minimum requirements they're looking for.

Q: What types of employers tend to become involved with your LMAC's?

Austin Its really a mixture. The committees are about 10-18 people on the average. They're made up of industry personnel, plus people from the Baltimore City Schools, from the unions, from the Bureau of Apprenticeship & Training in apprenticeable occupations, the State Dept. of Education, so really its a mixture. We generally try to have the committee structured so that we have people from various segments of the industry. Maybe two major employers with 1000 or more people, plus smaller representation. Generally they're familiar enough with whats going on in the industry to speak for the entire industry.

* Austin is Coordinator of Labor Market Advisory Council activities for the Baltimore Metropolitan Manpower Consortium.

Q: Who in those organizations tends to be involved?

Austin Actually we start at the top and work down. You address the presidents, the vice presidents, the GM's of the company, and they generally designate someone who has the type of expertise we're looking for. It can be a technical person, a shop manager or foreman, and industrial relations person or manager; it depends on the committee and the structure of that particular company.

Q: How do you identify firms to invite to be represented on LMAC's?

Austin We subscribe to the Dunn and Bradstreet file. Companys are listed by SICs. We match with the SICs, employer information, past history of that company in hiring people, and other information we can find to help us make the decisions as to what companies should be involved. Also in terms of training, some of the training contractors have had previous contact with certain employers. We try to get their input too. We try to use a variety of resources.

Q: The picture you've painted is that every employer is just waiting for an invitation.

Austin Not really. There's a lot of public relations involved. You have to talk to them and explain what you want to do and what your purpose is. By serving on a committee they're not making a commitment to hire "X" number of people.

Jerry* Austin's a very good salesman. That has a lot to do with it.

Austin The approach is that we want your help and expertise in helping us design a training program. This appeals to a person's and a company's ego when you indicate to them that we recognize that you have expertise in this field. We solicit their help in helping us design the correct type of training program. When you use that approach they're flattered initially. Most committee members have various types of activities of this kind that they're involved in.

Q: Do you also give them recognition in other ways?

Austin Not really. But the committees involved with the State Dept. of Education were all invited to a special appreciation dinner the Dept. of Education sponsored. Certain industry publications mention that the LMAC was involved in developing a program or an aspect of training. We also do our own publication in which we mention the committees and what they've done. Whenever something unusual happens, or certifying program completers, from this office letters are generated to various people saying we appreciate what you've done. There are ways of letting people know you do appreciate their help.

Q: How do you anticipate keeping these committees current or representative of others who might add new leadership or ideas?

Austin A lot of the committee members will feel it is necessary to bring people in. They'll give us suggestions about whom to invite. On occasion we ask them to draft lists or suggest names of competent individuals who might help. In some cases we are restructuring certain committees where we feel certain people should be added or aren't the individuals we should be talking to.

* Jerry is Coordinator of Planning and Evaluation for the Marketing System.

III. THE MARKETING SYSTEM: EFFECTING OUTCOMES

The Prime Sponsor's Marketing Service was developed as a strategy to better serve the needs of clients and employers. Job orders were to be taken directly by professional staff trained in serving employers and exposed to a metropolitan manpower center network where skilled counselors could match abilities and interests of clients with the job needs of employers. This system was designed to supplement the efforts of the Employment Service in the hopes of increasing job opportunities for CETA clients and improving services to area employers.

A key element of this service to employers was to reduce duplication of calls by agencies desiring to develop jobs for their own clients. The Prime Sponsor designed a system of allocating among its staff the responsibility for calling on employers thereby controlling duplication, and initiated coordination with other agencies such as the Maryland State Employment Service, the Work Incentive Program and the National Alliance of Businessmen. Success in inter-agency coordination has been limited to date because both the Employment Service and WIN are funded based on placements, thereby limiting their incentive to share resources. Coordination, to date, consists of inter-agency marketing staff meetings and clearinghouse activities to determine what employers each agecency is calling on. This is a significant first step and efforts will be continued to translate verbal commitments to elimination of duplication to actual operational procedures.

The Prime Sponsor's Marketing Service is composed of a centralized and decentralized staff.. The central staff services employers large enough to draw employees from several geographic areas; multi-establishment employers who hire through a single location; and multi-establishment employers who hire at separate locations, but whose personnel departments are interrelated. All job orders obtained by central staff are circulated to all Manpower Service Centers, and concurrently are sent to the ES Job Bank for immediate listing. Referral control is exercised by central marketing until the opening appears on the Job Bank, at which time referral control shifts to Employment Security.

The decentralized marketing staff is apportioned between Manpower Service Centers and training contractors. The Manpower Service Centers are assigned a geographic territory encompassing the general area from which their clients are drawn. The service centers are responsible for contacting all employers in their geographic area except those already assigned to the central staff. The individualized job orders obtained by the Manpower Service Centers for specific clients are usually filled directly by the MSC with the center exercising its own referral control.

Each training subcontractor has one or more marketing specialists. These individuals are responsible for developing jobs in occupations directly related to the type of training provided by the program. They call on a selected group of employers, coordinating their contacts with the central staff.

All three components of the Marketing Service are closely coordinated and directed toward developing quality job opportunities. Their goal is to obtain job orders which are full-time, permanent, and accessible by public transportation; which pay a wage enabling people to be self-sufficient; which do not require excessive amounts of previous education or experience; and which offer good prospects for upward mobility. The following analysis will examine the importance of the Prime Sponsor's Marketing System as a source of job referrals and placements, and will demonstrate the degree to which the qualitative goals have been realized during the first year of the Marketing Service's operation.

1. WHAT DID THE PRIME SPONSOR'S MARKETING SERVICE CONTRIBUTE TO THE CETA JOB PLACEMENT EFFORT?

There were three primary sources of job openings. These were job openings originated by: the Prime Sponsor's marketing system, Employment Security, and miscellaneous sources. Table 16 examines the relative contribution of each of these sources.

TABLE 16

REFERRALS TO JOBS, SHOWS FOR INTERVIEW AND PLACEMENTS COMPARED BY SOURCE OF JOB OPENING

July 1, 1974 - June 30, 1975

Originator of Job Openings	Referrals	Shows	Show as % of Ref	Placed	Placed as % of Shows
	N	N		N	
Prime Sponsor's Marketing System	3707	3086	(83%)	1260	(41%)
Employment Security	3820	2724	(71%)	565	(21%)
Other Sources 1	1140	971	(85%)	482	(50%)
TOTAL	8667	6781	(78%)	2306	(34%)

Job Orders originating with the Prime Sponosr's marketing system were the referral source for 46% of the total system's clients who reported for job interviews and the source of 55% of the system's total placements during the first year of operations. This represents a substantial contribution to the job placement results reported by the Baltimore Consortium. In addition, the Prime Sponsor's marketing system was an unexpected job source for the Employment Service. 894 non-CETA clients were referred to jobs placed on the Job Bank by the Prime Sponsor, and 77 of these were hired in unsubsidized jobs. (This does not include PSE jobs placed on the Job Bank).

[1] These include: newspapers; employers calling a Manpower Service Center directly; jobs originating in public agencies into which a client in subsidized employment is transferred.

Table 16 above analyzes the orders generated by the Marketing System in comparison with other sources of job orders. This comparison indicates that a much higher proportion of registrants appeared for interviews and were hired in Marketing System originated jobs than were interviewed and placed in Employment Service originated jobs.

The higher show and placement rates for the Marketing System are partially the result of procedures by which jobs are developed for individual clients. In these instances a referral is tantamount to appearing for an interview and being placed.

2. DID THE MARKETING SERVICE DEVELOP JOBS HAVING EDUCATION AND EXPERIENCE REQUIREMENTS COMPATIBLE WITH CETA CLIENTS?

The Marketing Service is keenly interested in developing quality jobs, yet it also seeks jobs whose education and experience requirements permit ready access to the most inexperienced of CETA clients.

TABLE 17

EDUCATIONAL AND EXPERIENCE CHARACTERISTICS OF JOBS OPENED BY THE CETA MARKETING SYSTEM - FISCAL 1975

Characteristic	Total Marketing	Central Staff	MSC	Training Contractors
Education Required				
8th grade or less	66%	57%	73%	86%
9 - 11	7%	8%	6%	1%
12 or more	27%	34%	21%	12%
Experience				
No	64%	60%	63%	91%
Yes	35%	40%	37%	9%

In FY '75, 54.7% of the Consortium's registrants had less than a high school education. Table 17 reveals that 73% of the jobs developed by the entire Marketing Service required less than twelve years of school. Information on the specific job experience of CETA clients is not available. It seems reasonable to assume, however, that a mix of jobs 64% of which do not require experience represents a relatively substantial pool of job openings for the unskilled and inexperienced CETA applicants.

The marketing specialists consistently encourage employers to reduce educational and experience requirements to the minimum necessary to perform the job. This becomes increasingly difficult in times of high unemployment when the natural inclination of employers is to become more selective and to raise standards. Data from the past fiscal year indicate that the marketing specialists have been highly successful in countering this trend.

3. WERE THE JOBS OPENED BY THE MARKETING SYSTEM PERMANENT, FULL-TIME AND ACCESSIBLE BY PUBLIC TRANSPORTATION?

During FY'75 the Prime Sponsor's Marketing System developed a combined total of 6,002 jobs. Table 18 below indicates the percentage of those job openings that were permanent, full-time and accessible by public transportation.

TABLE 18

DURATION, PUBLIC TRANSPORTATION AND INTENSITY OF JOB OPENINGS ORIGINATED BY THE CETA MARKETING SYSTEM - FISCAL 1975

Characteristic	Total Marketing
Duration	%
Permanent	84%
Temporary	16%
Public Transportation	
Yes	65%
No	9%
Infrequent	26%
Intensity	
Full-time	82%
Part-time	18%

It is the total Marketing Service's intent to open jobs with differing characteristics to meet the diverse needs of clients. Most clients need permanent and full-time jobs and a high proportion of the jobs opened met that criterion. However, some clients need a temporary job, others need a part-time job, and some need a temporary part-time job.

Lack of access to many jobs via public transportation is a continuing problem. A significant proportion of job openings exist in Baltimore County and Howard County, where public transportation is often infrequent or non-existent, yet many CETA clients needing these jobs reside in the city. The Prime Sponsor is examining ways in which public transportation can be supplemented in order to increase client access to jobs. Nevertheless, a majority (65%), of the jobs opened by the Marketing System were located with access to public transportation.

4. DID THE MARKETING SERVICE DEVELOP JOBS WITH A SATISFACTORY AVERAGE STARTING WAGE?

As stated in the Introduction, the purpose of CETA is to develop employment and training opportunities that lead to economic self-sufficiency. Therefore, an examination of wage data becomes critical in evaluation. The average starting wage data for jobs developed by the entire Marketing Service and its individual components, are presented in Table 19 below. This indicates that each component, and obviously the system as a whole, produced job openings well above the federal minimum wage.

TABLE 19

AVERAGE WAGE OF JOB OPENINGS DEVELOPED BY THE PRIME SPONSOR'S MARKETING SYSTEM- FISCAL 1975

	Total Marketing	Central Staff	MSC	Training Contractors
Average Hourly Starting Wage	$2.83	$2.86	$2.52	$3.74

On an annualized basis, the starting wage for all jobs developed by the Marketing Service was $5,886 per year. Jobs developed by the Central Staff averaged $5,949 per year, the Service Centers averaged $5,242, and the training contractors averaged $7,779. The $1,800-$2,500 per year differential between the starting wage of jobs opened by the training contractors and the starting wage of openings generated by the other components sharply underscores the value of skill training, particularly when compared with cost per placement data.

5. DID THE JOBS DEVELOPED BY THE MARKETING SERVICE OFFER PROSPECTS FOR UPWARD MOBILITY?

Given the available data, any judgements about the long term potential of the jobs developed by the Marketing Service requires looking at the industries in which jobs are developed, since it is impossible to collect in-depth information about each opening. It is assumed that openings developed in industries that are projected to expand in coming years will offer opportunities for promotion and advancement, and that jobs developed in industries projected to decline will offer fewer promotion possibilities.

Table 20 presents a percentage distribution by Standard Industrial Classification code of all jobs developed by the Marketing Service and all placements made against them. This is a crude indicator, and results must be interpreted cautiously.

TABLE 20

JOB OPENINGS AND PLACEMENTS FOR JOBS ORIGINATED BY THE PRIME SPONSOR'S MARKETING SYSTEM BY INDUSTRY - FISCAL 1975

SIC	Openings by Industry	Placements by Industry	Average Wage of Opening
Wholescale/Retail	28%	27%	$2.20
Durable Mfg.	18%	34%	4.03
Services	12%	8%	2.28
Prof. Services	11%	10%	2.92
Non-durable Mfg.	8%	8%	2.78
Pub. Administration	8%	4%	2.94
Finance	5%	3%	2.76
Trans./Utilities	4%	2%	3.07
Mining/Construction	2%	2%	3.62
Farming/Fishing	3%	1%	2.98
TOTAL	99%	99%	$3.02

Previous labor market analysis, (Baltimore Metropolitan Comprehensive Manpower Plan FY '75), has indicated that the fastest growing industrial sectors in the Baltimore Metropolitan area are: Services, Public Administration and Finance. Job openings in these industries accounted for 36% of the total jobs developed by the Marketing Service, and represented 25% of the system's placements. Utilities, Construction, Farming and Fishing were not projected to grow. Correspondingly, these industries accounted for less than 10% of the total openings developed by the Marketing Service, and only 5% of the placements.

Durable Manufacturing accounted for 18% of the total job openings and 34% of the system's placements. A large proportion of the work experience/skill training provided by the system's training contractors are in manufacturing occupations. The success of their training and the high placement rates they achieved account for a high proportion of the system's placements in this area. While the Durable Manufacturing industry is not projected to expand, it is heavily unionized and has the highest starting wage (4.03) of any SIC category. Collective bargaining agreements are likely to insure good future prospects here even in the absence of broad expansion.

The Wholesale/Retail Trade Industry offers part-time and temporary jobs which often require no experience. Therefore it will remain an important source of entry level job openings and placements despite its low starting wage and its projected lack of growth. This industry will continue to be an important job resource, but the Marketing Service needs to reduce its reliance on such jobs in favor of those with more stability and better pay.

EXHIBIT 8

DEVELOPING AN EMPLOYMENT STRATEGY*

I. PLANNING THE CONTACT: GETTING INFORMATION ABOUT THE EMPLOYER

A. OUTLINE OF EMPLOYER INFORMATION

1. Identification

Firm name
Address
Industry
Products or services

Organizational identity (one-site independent firm; main office, branch or subsidiary of a statewide or national firm)

Personnel
Chief Executive Officer
Personnel or industrial relations officer
Hiring officials
Name of contact

2. Characteristics of firm

Rate of growth

Dependence on government contracts, subsidies, regulations

Stability of market

Corporat environment and corporate image

3. Characteristics of work force and job structure

Size of employment
Current
Usual
Peaks
Anticipated changes, and their reasons

Occupational composition or mix

Unionization, kinds of, degrees

Hiring times (months, seasons)

*A preparatory work guide which can be used by an individual or an organization to establish an employment strategy for a firm, a hospital or any employing organization.

4. Hiring practices

Job requirements
  Job specifications
  Master orders

In-house training

Usual recruitment sources

EEO information

Procedures

5. Considerations in recruiting and maintaining work force

Pay rates (comparability)

Location (transportation)

Work environment, conditions

Employee relations -- attitudes of management and supervision and work force

Seasonality

Worker personal investment required (tools, safety equipment, etc.)

6. CETA, employment service experience

Previous contacts
  Staff involved
  Special (non-placement) services provided
  Problems encountered

Success of placement service: kinds and numbers
  Openings received (occupations and levels)
  Referrals
  Placements
  Total hires

B. SOURCES OF INFORMATION

1. Newspapers

Your own local newspaper

The Wall Street Journal

The New York Times (financial section, daily and Sunday)

Barron's

2. Magazines, General*

Business Week
McGraw-Hill, Inc.
330 West 42nd Street
New York, New York 10036

Dun's (formerly Dun's Review)
Dun and Bradstreet Publications Corp.
1040 Merchandise Mart Plaza
Chicago, Illinois 60654

Forbes
Forbes, Inc.
60 Fifth Avenue
New York, New York 10011

Fortune
Time, Inc.
1271 Avenue of the Americas
New York, New York 10020

Nation's Business
Chamber of Commerce of the United States
1615 H Street
Washington, D.C. 20006

Publications of the local Chamber of Commerce

3. Trade magazines

Aerospace Daily
Ziff-Davis Publishing Company
1156 15th Street, N.W.
Washington, D.C. 20005

American Machinist
McGraw-Hill, Inc.
330 West 42nd Street
New York, New York 10036

Factory (formerly Modern Manufacturing)
16 West 61st Street
New York, New York 10023

Industrial Machinery News
Industrial Machinery News Corp.
P. O. Box 727
Dearborn, Michigan 48121

*Often these are the magazines that the employer whom you plan to contact reads, and should be carried by school and public libraries. See "Job Potential Identification: A Marketing Strategy," page 149 of this report.

Industry Week (formerly Steel)
The Penton Publishing Company
Penton Building
1213 West 3rd Street
Cleveland, Ohio 19001

Iron Age
Chilton Co.
One Decker Square
Bala Cynwyd, Pennsylvania 19004

Rubber Age
Palmerton Publishing Co., Inc.
101 West 31st Street
New York, New York 10001

Rubber World
Bill Brothers Publishing Corp.
630 Third Avenue
New York, New York 10017

4. Financial and Investment Services

F. W. Dodge Corporation
Dodge Construction Contract Statistics Service, monthly

Dun and Bradstreet
Dun's Market Identifiers

Moody's Investors Service, Inc.
Moody's Bank and Finance Manual, annual with updating service
Moody's Industrial Manual, annual with updating service
Moody's Municipal and Government Manual, annual with updating service
Moody's OTC Industrial Manual, annual with updating service
Moody's Public Utility Manual, annual with updating service
Moody's Transportation Manual, annual with updating service

Standard and Poor's Corporation
Industry Survey, annual
The Outlook, weekly
Over-the-Counter and Regional Exchange Stock Reports
Security Owner's Stock Guide, monthly
Security Price Index Record
Standard and Poor's Earnings and Ratings Bond Guide, monthly
Standard Corporation Records, loose-leaf service

United Business Service
United Business Service Report, weekly

Value Line Investment Survey
Value Line Investment Survey, weekly

5. United States Government Publications

U.S. Department of Commerce
- Construction Review, monthly
- County Business Patterns, irregular
- Industry Reports, quarterly
- Statistical Abstracts of the United States, annual
- Survey of Current Business, monthly

U.S. Department of Labor, Bureau of Labor Statistics
- Employment and Earnings, monthly
- Occupational Wage Surveys, annual
- Monthly Labor Review, monthly
- National Survey of Professional, Administrative, Technical and Clerical Pay, annual

Federal Reserve System Board of Governors
- Federal Reserve Bulletin, monthly
- Federal Reserve Bulletin, Chicago Bank, monthly

6. Association Publications

American Marketing Association
230 North Michigan Avenue
Chicago, Illinois 60601
- The Marketing News, semi-monthly
- Journal of Marketing, quarterly
- Proceedings, annual

National Association of Purchasing Management
11 Park Place
New York, New York 10007
- Bulletin of NAPM, monthly
- Journal of Purchasing, quarterly

Chamber of Commerce of the United States
1615 H Street, N.W.
Washington, D.C. 20006
- Congressional Action*, weekly
- Nation's Business*, monthly
- Washington Report*, bimonthly

Also publishes special reports, studies and research papers on economic trends, labor relations, education, national affairs, international problems and organization work.

*Sometimes available through the local Chamber, or State Chamber of Commerce.

7. General Studies and Information

National Bureau of Economic Research
261 Madison Avenue
New York, New York 10016
Annals of Economic and Social Measurement, quarterly

Also publishes books, occasional technical papers, and conference proceedings.

The Conference Board
845 Third Avenue
New York, New York 10022
Business Scoreboard, weekly
Road Maps of Industry, semi-monthly
Mergers and Acquisitions, monthly
Cumulative Index, monthly
Weekly Business Indicators
Graphic Guide to Consumer Markets, annual
Antitrust Proceedings, annual

Also publishes statistics, monthly supplements, bulletins, and results of continuing research in business and industry.

8. Generic types of materials

Middle Market Directory
Dun and Bradstreet, annual

Million Dollar Directory
Dun and Bradstreet, annual

Standard and Poor's Register of Corporations, Directors and Executives
New York, Standard and Poor's Corp., annual

Thomas' Register of American Manufacturers
New York, Thomas Publishing Company, annual

Who's Who in America
Chicago, Marquis Publishing Company, biennial

Who's Who in the Midwest
Chicago, Marquis Publishing Company, biennial

Who's Who in Finance and Industry
Chicago, Marquis Publishing Company, biennial

II. PLANNING THE STRATEGY

A. BACKGROUND INFORMATION

The outline at the beginning of this guide lists the main items of information needed. It is intended to organize the information-gathering process, to assure that all relevant categories are covered, to keep the information base within workable limits and free of encyclopedic detail. This particular part of the guide will recapitulate the items of information needed, review their function and, as necessary, indicate sources for them. It should be stressed that information must be up to date to be usable.

Much of the information can and should be gathered before the employer contact. During the contact it may be verified, supplemented, and gaps filled in. The more information collected and absorbed prior to the contact, the better will be the impression of the contact person and his organization -- and the more time there will be for the substantive purpose of the contact: getting more job orders.

1. Identification

   Firm name
   Address
   Industry
   Products or Services

   Organizational identity (one-site independent firm; main office, branch or subsidiary of a statewide or national firm)

   Personnel
   - Chief Executive Officer
   - Personnel or industrial relations director
   - Hiring officials
   - Name and title of contact

Much of the above information can be obtained from local office records and staff, Chamber of Commerce and other directories, annual reports, etc. It is simply identification information.

When "organization identity" involves a branch or subsidiary operation, it is important to identify the total organization structure so that strategy can be coordinated for units at all sites in the area.*

The person to be contacted will depend on the immediate and long-range objectives of the contact. If a policy decision is required to utilize or increase utilization of the CETA, this may be a vice president at the plant or headquarters office or, in a smaller firm, the president. If the range of job listings is to be expanded, this may be the personnel director. If openings for applicants with special talents or barriers are sought, this may be a staff specialist. It is important that the contact person be the one with decision-making authority about the particular subject you have in mind. Searching out this information requires diplomacy, as people may feel threatened by direct questions which happen to bear on his or her status in the organization.

2. <u>Characteristics of firm</u>
   Rate of growth
   Dependence on government contracts, subsidies, regulations
   Corporate environment and corporate image

All of these items of information are indicators of dimensions of opportunities for job development. The expansion or contraction of the firm will affect the number and nature of jobs available, as well as the possibilities for upward mobility for applicants.

Dependence on government contracts may bring the firm within the purview of the Office of Federal Contract Compliance and mandatory listing requirements. The stability of the employer's product or service market affects the stability of employment. Corporate environment -- the customs, conventional beliefs and biases about people and how they

*The Employment Service would be of help in learning about the organization, as many local operations are a part of a larger organization located elsewhere in the state or the U.S.

learn and develop, about qualifying requirements, and about productivity and attitude of supervision will influence receptivity to minority and disadvantaged workers. The corporate image that the firm wants to project and reinforce -- in the community, the industry and the larger business world -- can affect the whole range of rules and practices which guide the work force -- everything from selection and training to wages, benefits, support services, working conditions, promotions, and opportunity in general.

The information collected in these areas will convey a sense of the firm's posture and "personality." This can be most helpful as the job developer formulates his or her strategy and determines what are likely to be the most persuasive points and how they should be presented.

3. Job Potential Identification: A Marketing Strategy

Indicator	Sources of Information
A. Business Characteristics	
1. Rate of growth of the organization or firm	Evansville Labor Market Study; local newspapers; annual reports of the firm; reference to business publications such as Fortune, Business Week, New York Times, The Wall Street Journal; investment services such as Value Line, Standard and Poor: census of manufacturers; U.S. Dept. of Commerce publications; annual reports of companies, hospitals.
2. Effect of technology, product or process design upon the occupational or skill mix and job structure.	Interviews with corporate operating executives; plant tours; analysis of technical literature of the firm or industry; U.S. Dept. of Commerce studies; Occupational Matrix; Bureau of Labor Statistics, U.S. Department of Labor.
3. Dependence (and extent) upon government contracts, subsidies or regulations.	Dun and Bradstreet reports; E.E.O.C., O.F.C.C., State human relations reports; employment service; local newspapers (see 1. above); annual reports of firms.
4. Stability of employment as reflected in stability of employer's markets.	Review of layoff and unemployment records of the state; interviews with executives of the firm; analysis of company reports made public.
5. Influence of wage levels and benefits structure on willingness to employ marginal workers.	Reports in financial publications; interviews with executive.

152

Indicator	Source of Information
6. Effect of size, growth rate, maturation, innovation and high technology on ability of organizations to absorb the "new" work force and increase employment.	Interviews with first-line supervision and personnel people; experience of applicants; "The Role of Technical Enterprise in the U.S. Economy," U.S. Dept. of Commerce, 1976*
B. Organizational & Behavioral	
1. Effect of organizational structure on career opportunity for the individual.	Interviews with corporate executives; analysis of organizational structure based on publications available to public; E.E.O.C. reports.
2. Effect of corporate organization practices on employee mobility and training opportunity.	Interviews with corporate executives; annual reports; specific organizational charts provided by management; examinations of goals and objectives of the firm.
C. Social & Psychological Characteristics	
1. Value placed by the firm on its corporate image	Interaction with corporate executives; corporate newsletters, magazines, public relations releases; applicant experience, staffs of other organizations in contact with the firm.
2. Job and career opportunity as reflected by management commitment to change and growth.	Interviews; reports of investment analysts including publications such as Forbes, Value Line, Standard and Poor, Fortune.
3. Influence of corporate, supervisory and work place environment on employee relations.	Interviews with workers, applicants, executives of the firm, Employment Service.
4. Experience of the firm in employing the "new" and marginal workers.	Employment Service; Chamber of Commerce; analysis of contacts with employer; applicant experience.

*Compounded growth rates: 1945-1974

	Growth	Job Expansion	Example
Mature	7.8%	1.9	DuPont
Innovative	16.5%	10.8	Xerox
High technology	42.5%	40.7	National Semiconductor

4. Characteristics of work force and job structure

Size of employment
- Current
- Usual
- Peaks
- Anticipated changes, and their reasons

Occupational composition or mix

Unionization, kinds of, degree

Hiring times (months, seasons)

Knowledge of the size of the work force, what it is now, what it usually is, when there are peak demands and the changes anticipated -- due to economic, technological or other factors -- is necessary to timing promotion for maximum effectiveness. Sensitivity to changes in industrial processes is particularly important as this affects not only the number but also the kinds of jobs available. Hiring times by month and season are closely tied to changes in size of employment. The best time for employment is clearly when there are work stations to be filled and the employer is in a "buying mood." Information on anticipated changes and openings and hiring times can aid in advance planning for recruitment and referral.

Knowing the occupational composition and job structure is necessary to matching applicants on file, and to focusing recruitment efforts, with employer needs. Familiarity with and understanding of job titles is part of this. Some knowledge of both job design and job structure is necessary not only to determine the various points of entry for applicants but also to estimate whether the position carries a potential for mobility or is a dead-end job. Furthermore, there may be educational or professional barriers interposed between workers and higher level opportunities. There may be various kinds of job ladders and lattices or there may be only limited, unsystematized avenues for lateral or vertical movement. Employer record forms, inactive orders and referral unit interviewers should have information on occupation composition and job structure. Such publications as the United States

Department of Labor Handbook for Analyzing Jobs, Training and Reference Manual for Job Analysis and Volume II of the Dictionary of Occupational Titles, "Industry Arrangement of Titles," p. 531, are helpful in becoming familiar with job definitions. Employer job titles, while often not synonymous with DOT, are frequently similar.

Unionization (or lack of it) should be understood. Labor management contracts affect wages, benefits, working conditions and entry; they are an important determinant of the employee-supervisor climate. Management's overall posture toward unions is part of climate, too. Labor contracts may or may not be an impediment to the use of your placement services; the labor contracts need to be examined to determine whether seeming obstacles are more apparent than real.

5. Hiring practices

Job requirements
  Job specifications
  Master orders

In-house training

Usual recruitment sources

EEO information

Procedure

Employers adapt their hiring practices to accommodate changing economic and social conditions as well as governmental regulations and policies, so you are dealing with an ever-changing situation. The practices of particular relevance to obtaining job openings include: realistic job requirements, availability of in-house training, the attitude of the employer toward employing entry workers, the use of job specifications and availability of those specifications to the Employment Service.

Considerable information concerning the employer's hiring practices should be available from the Employment Service. Many employers have written job specifications for the various classes of workers within their establishment. If these are available in the Employment Service office they should be reviewed, as should any job specification and/or master orders jointly developed by the employer and CETA, to determine whether they need verification or whether changes would make them more realistic.

Employers are realistic in dealing with their customers, suppliers and production facilities and it is possible to negotiate realistic hiring practices with them.

In-house training, both the kind and amount available, is relevant to applicants coming in at the entry level and for promotional opportunity for all workers. Related support services (buddy systems, counseling, etc.) are especially important for disadvantaged workers.

The usual recruitment sources the employer uses for specific categories of jobs, and his reasons for doing so, offer a key to where CETA might expand its range of job listings.

Equal employment opportunity documentation is increasingly a regular part of all employment transactions. Because of legislation and community pressures, as well as customer relations, employer establishments are more and more interested in reflecting progress in this sphere. Whatever the motivation, there is a growing feeling that equal employment opportunity can be good business (and sometimes there is no business without it). Employers may want to discuss this subject; be of help to them.

Equal employment opportunity information of a general nature as well as that on the employer's special problems should be readily available in the offices of the Employment Service. Application and referral data are of particular assistance. Informal consultation with Employment Service may provide clues to the employer's posture, and the equal employment opportunity district staff specialist may be able to provide specific information not only on his past attitudes but also on current problems and pressures, including data provided by various contract specialists.

6. <u>Possible difficulties in recruiting and maintaining work force</u>
   Pay rates (comparability)
   Location (transportation)
   Work environment - conditions
   Employee relations
   Seasonality
   Worker personal investment (tools, safety equipment, etc.)

Recruitment and employment are affected by pay, job location, working conditions, employee relations, seasonality and the worker's personal investment. It is desirable for job developers to be aware of any of those factors which make it difficult for an establishment to recruit and maintain its work force. Knowing this will help him: (1) to avoid promoting and obtaining job openings which cannot be filled because workers will not accept referrals to them, (2) to furnish the employer with solid information on the firm's competitive disadvantages and how to overcome them. Employers will, when possible, often make adjustments if they are made fully aware of the problems and given suggestions on ways to solve them. While the job developer is in an excellent position to provide feedback on problems related to recruitment, caution is advised in diagnosing problems related to maintaining a work force. These can be caused by many complex interrelated factors, such as training supervision, equal employment opportunity, promotion possibilities, which require comprehensive knowledge and experience to be dealt with adequately.

Employer record files, consultation with CETA staff members who have made previous contacts, local wage surveys, maps and transportation guides, feedback from applicants who have been hired, refused job offers or quit, are all keys to obtaining the necessary information. A low ratio of hires to referrals, excessive turnover and worker dissatisfaction are symptoms of employer difficulty.

7. CETA, Employment Service Employment

Previous contacts:
- Staff involved
- Special (non-placement) services provided
- Problems encountered

Success of placement service: kinds and numbers
- Openings received (occupations and levels)
- Referrals
- Placements
- Total hires

To obtain additional job listings, the job developer must keep a record of past performance. You need to know what has happened, how successful it was, what problems were encountered. Each of the items of information listed above helps to build up a picture They will help you determine what next steps to take, and be prepared to respond knowledgeably to employer comments or criticisms on past CETA experience. An honest and reasonable explanation of less than adequate service plus well thought out plans for change can win employer cooperation.

THE EXCHANGE OF INFORMATION AND INTER-AGENCY LINKAGES

Myron Roomkin

Northwestern University
Graduate School of Management

1976

The Exchange of Information and Inter-Agency Linkages

Deficiencies in the quantity and quality of information available to administrators was said to be an important obstacle to the creation of inter-agency linkages (see Problem Assessment Workshop Summary page 19). Implicit in the statement of this obstacle was a feeling that the barrier arose because of the failure of other units of government to act appropriately, rather than the failure of the respondents themselves.

While this passive approach to the obstacles to linkage may be correct in some situations, it has only limited applicability with respect to the information barriers now faced by administrators. Each agency has the ability to improve the stock and flow of information. What is needed is an active, possibly aggressive, pursuit of its informational self-interest. This theme is at the foundation of the model presented in this chapter.

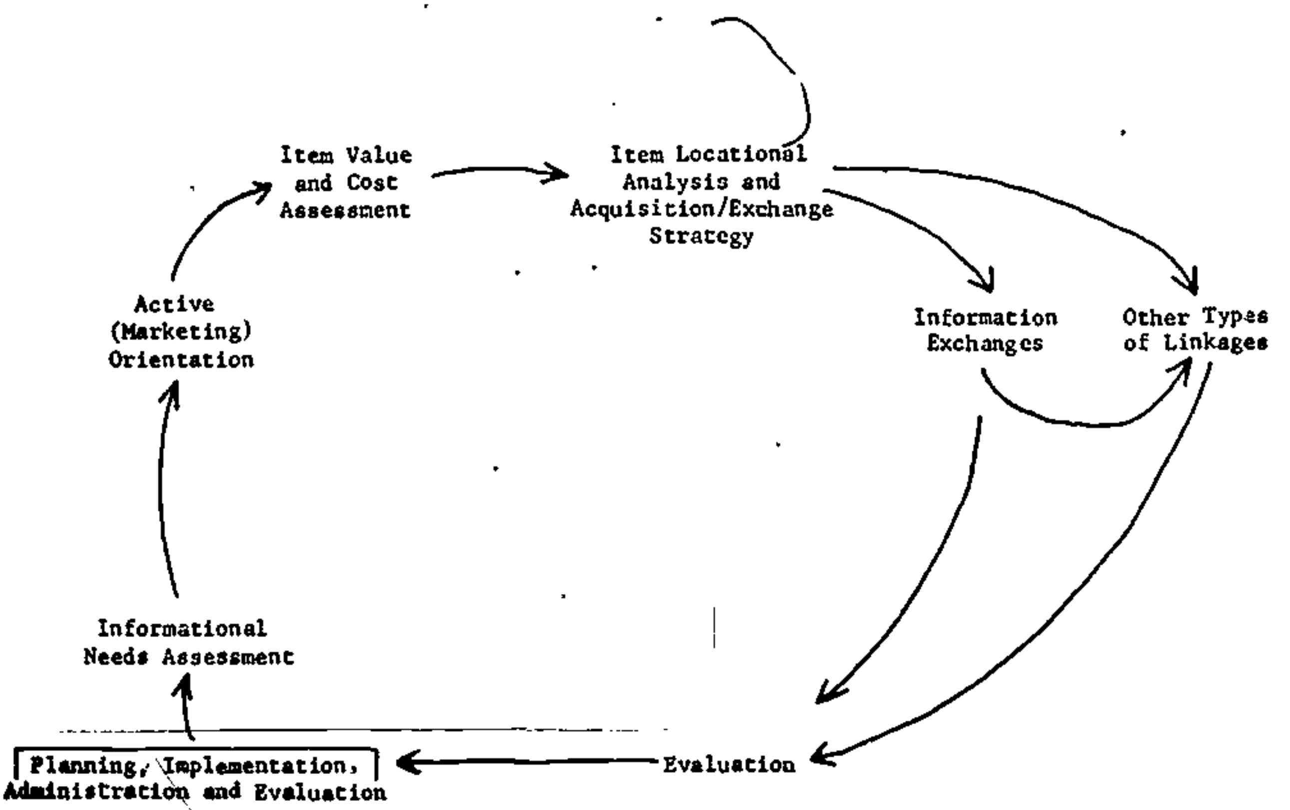
The Model: Exchange of Information

A model of the relationship between information and inter-agency linkage rests on three premises.

> All agencies require information to adequately fulfill their mission. That is, information is an important and sometimes crucial resource.
>
> No agency (or private organization for that matter) possesses the maximum amount of information it could profitably use in achieving its goals.
>
> No matter how an agency tries to secure more information, it must bear a cost -- either real or nonpecuniary -- of informational acquisition.

Within this framework active pursuit of information creates several tasks and related problems: (a) agency informational needs must be identified; (b) criteria must be developed for determining the real value of acquiring more or better information; and (c) sources of desired data must be located and strategies must be created to secure them. Eventually evaluations must be conducted of the efficacy of continuing informational exchanges or linkages resulting from the model. These problems are graphically related in Figure 1.

Figure 1.
The Relationship Between Linkages and the Active Pursuit of Needed Information



Needs Assessment. The informational needs of an agency are a function of its mission and the processes it uses to achieve desired goals. Among the broad categories of information generally relevant to an agency engaged in human resources are the following:

The characteristics of supply and demand of labor in the local labor market

The identification of other relevant agencies -- their mission, resources and expertise

The characteristics of client groups, with special attention to detail on their wants and objective needs

Past performance data of programs, contractors and other agencies

The type, extent and quality of resources available to the agency

Financial and cost accounting information

Service delivery performance by appropriate activity or task

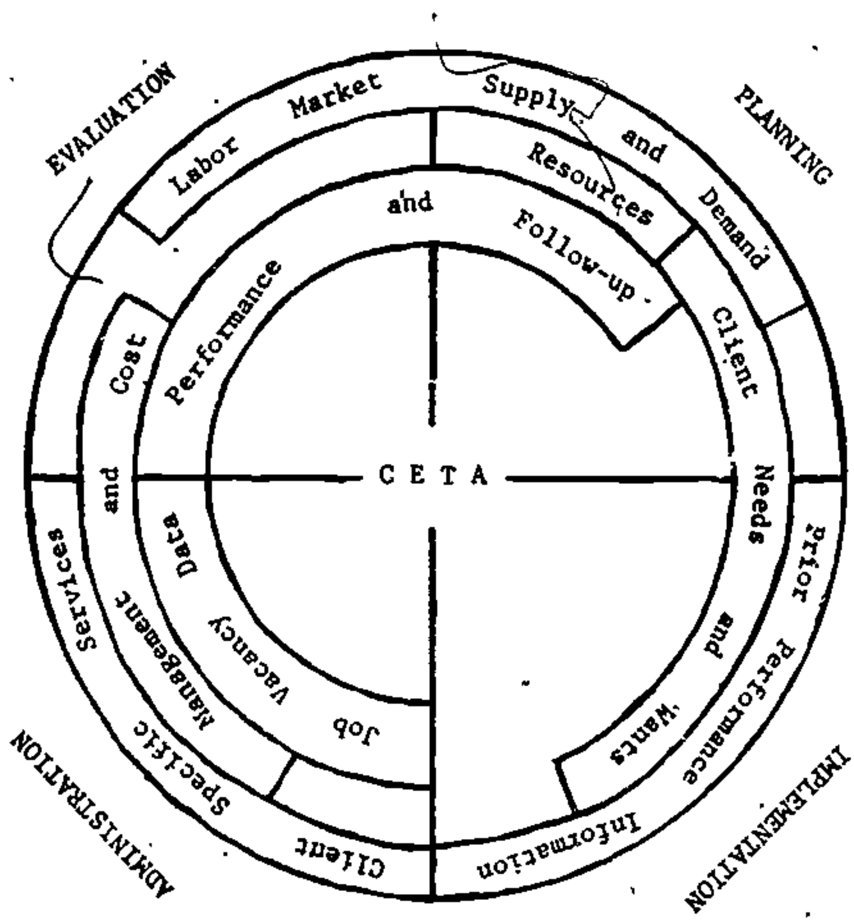
Service receipt information by individual client or relevant groupings

Job vacancy data

Client, post-program experiences

Since every facet of an agency's existence bears some relation to information, it is impossible to create a definitive listing of generic informational needs. Even within a single agency, the task of identifying informational requirements may be onerous. For this reason, it is often useful to conduct needs assessment in terms of the major tasks (and responsibilities) of an agency involved in a national approach to service organization and delivery. Planning, implementation, administration and evaluation activities -- the major managerial tasks -- are direct influences on the overall performance of an agency. It follows therefore that the process of assessing information needs, like the process of identifying physical plant requirements, should adhere to these general managerial activities. In Figure 2, elements of the above listing are associated with the managerial activities for which they are typically most relevant.

Figure 2.
Informational Needs by Managerial Activity



Myron Roomkin
Northwestern University
Graduate School of Management

Evaluative Criteria. If, as assumed, the acquisition of desired information will represent a cost to the agency then it must be determined whether the value of the information sought will be greater than the cost of obtaining it in terms of actual expenditures, staff energies or political obligations. Five concepts of information science are of aid in making this evaluation.

Marginal Cost and Utility. Both the benefits and costs of a piece of added information may exhibit diminishing returns. That is, at some point the marginal value -- or change -- associated from one more unit of information may be zero and negative thereafter.

Timeliness. Information must be timely if it is to have value. As timeliness decreases, the value may also decrease at an ever-increasing rate.

Display. Agencies may seek out information of high value but not always find it gathered in a form best suited for the agency's needs. Sometimes this is called the format issue.

Error and Noise. Collected information very often includes misinformation and inaccuracies. This is called error. This condition should be distinguished from the presence of useless or irrelevant information, often called noise.

Risk Aversion. In light of the above considerations, an agency should consider the extent to which it is willing to take risks in pursuit of and in interpreting collected information.

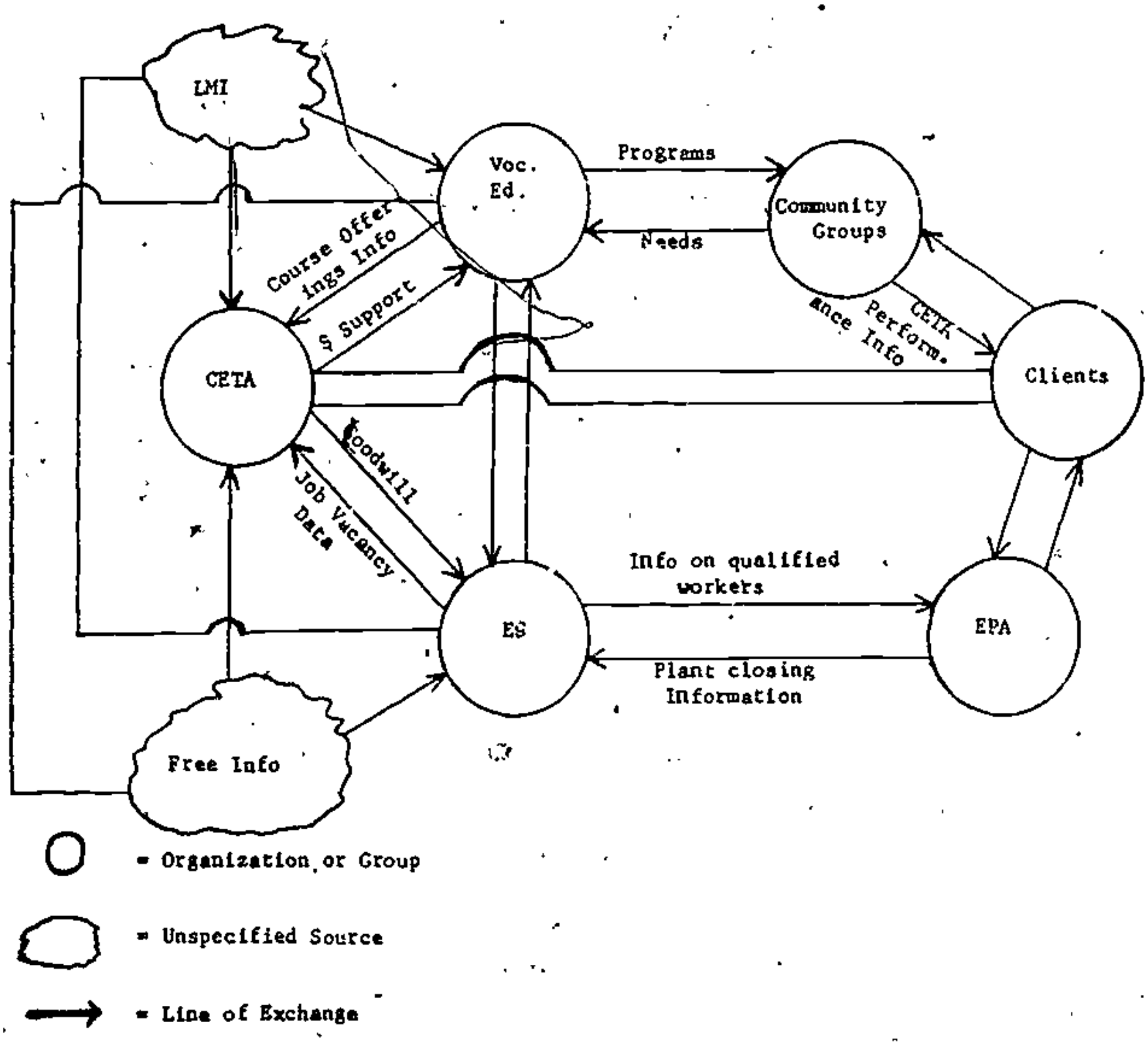
Locational Analysis and Acquisition Exchange Strategies. Having judged certain data to be valuable, an agency must determine how it will secure them. The steps in this process include:

Determining which other public and private organization either posses or could acquire the desired type of information. We have called this locational analysis.

Designing a strategy of acquisition based on exchanges between agencies. This entails constructing an exchange interaction diagram.

In an exchange interaction diagram, the information-seeking agency identifies the unique informational resources of the significant other organizations. By drawing lines of exchange and interaction among the component organizations, patterns of exchange, influence, cooperation and perhaps organizational linkage should become evident. Figure 3 illustrates such a diagram.[1]

Figure 3.
Information Exchange Patterns Among Agencies



[1]A similar schematic can be found in DHEW, Region 8, Coordinating HEW Programs with CETA: An Introduction.

Specifically, such a diagram will tell the agency how it must proceed in developing such information, that is:

> whether such development should be conducted by the agency operating alone, because no other agency is likely to value the information sought or because the seeking agency has a competitive advantage over others,
>
> whether such information is provided gratuitously,
>
> whether acquisition could be achieved through an exchange with some other agency where one type of information or service is exchanged for the desired data, or
>
> whether the sought after information can best or perhaps only be acquired through a joint effort among agencies.

As a practical matter, the value of an added piece of information is partly dependent upon the mode of acquisition selected. A few examples illustrate this point. We have all received gratuitous information which is by definition received without charge. But while the absence of costs tends to make such data relatively valuable, the benefits of gratuitously received data can be significantly offset if it is received in an untimely manner or possesses a high incidence of error. Similarly, too often the data supplied by federal authorities tends to arrive in an inappropriate format and usually covers much more ground than the recipient requires and therefore contains noise. The value of this data would be much greater if the noise were eliminated and the formating were appropriate. In short, it is important that agencies, contrary to the conventional wisdom, be sure to "look a gift horse in the mouth."

In summary, data costs money. The agency must decide what it needs, how much it costs, where it can most easily and usefully be obtained. In the next section we provide some applications of the model.

Applications of the Model

In this section we examine examples of inter-agency linkages which involve information sharing to some extent. The discussion focuses on linkages which have been forged in connection with the following types of information:

(1) knowledge of organizations -- who does what, when, where, with what and for whom

(2) labor market and community needs

(3) program operation

(4) program evaluation

Knowledge of Organizations. Perhaps the most important type of information is that which identifies for one agency all other organizations active in employment and training planning and service delivery.

Among the alternative mechanisms that have developed for sharing such information are the following:

- Distributed directories[1]
- Pamphlets and brochures
- Conferences and meetings
- Inter-agency memos, and
- Formal press releases

Regardless of the form which an organizational description might take, it should include several basic elements of information.

First, it is perhaps most important that information on as broad a range of agencies as possible be collected. To ensure this, it is necessary to spend considerable effort designing a survey technique which will ensure broad participation by relevant agencies.[2]

---

[1] The term "directories" is applicable to a wide range of documents. The "Directory and Referral Guide" of The Forum of Community Services on McHenry County, Illinois for example, is a relatively inexpensive project in comparison to Oregon's computerized state-wide directory.

[2] This is a lesson well-learned by manpower planners in Illinois State government. See Governor's Office of Manpower and Human Development, Manpower Report to the Governor, August, 1975 (mimeographed), pp. IX-9-IX-16.

Second, agencies require information on the mission of other agencies. At its most simple level such information could serve to document the extent and characteristics of overlapping missions among agencies, in terms of client group or policy goals. An illustration of this concept, using a graphical format is Figure 4 (on tne following page).

Third, we must include information on the programmatic activities of different agencies. At the Federal level examples abound ranging from straight listing of services and programs by agency[1] on one hand to sophisticated system descriptions on the other.[2] Locally, the approach most often used is one of compiling directories which group agencies by type of service provided.[3]

Fourth, a description of the resources used by external organizations in fulfillment of their missions would also be of value.

Fifth, agencies frequently benefit from information on the legal and regulatory constraints operating on other agencies. Here again experience suggests many different ways to display that information. Specialized studies have been made of the relationship between particular programs[4] and directories of applicable regulations have been compiled.[5]

---

[1] E.g., HEW, Inventory of HEW--Manpower Programs or HEW, Services to People, October 1974.

[2] See DOL, by J. Q. Enterprises, A Guidebook System For Program Linkage, 1976.

[3] Such as in the directory compiled by the Prime Sponsor in Oklahoma City.

[4] DOL grant No. 21-11-74-31 "Legal and Administrative Impediments to Cooperation Between Sponsors of WIN and CETA Programs."

[5] Region X of HEW has been classifying all HEW programs according to statutory and regulatory provisions. "F4 1976 Planning Reform Study - Law and Regulation Analysis Format."

Figure 4.
Overlapping Special Target Group Emphases

Emphasis	Resource	CETA	WIN	Adult Education	Vocational Education	Vocational Rehabilitation	Employment Service
Age Group	Youth	■		■	■		■
	Elderly	■					■
Special Ethnic Emphasis	Spanish Surname	■		■	■	■	■
	Indians	■		■	■	■	■
	Other	■		■	■	■	■
Other Special Target Group Emphases	Migrants & Seasonal Farmworkers	■		■	■	■	■
	Offenders	■		■	■	■	■
	Welfare Recipients	■	■		■	■	■
	Physically or Mentally Handicapped				■	■	■
	Disadvantaged	■	■	■	■	■	■
	Veterans	■			■	■	■

Source: Coordinating HEW Programs With CETA
An Introduction

Last, and frequently overlooked is information on the processes of external organization. By understanding processes elsewhere, an agency increases its probability of obtaining proper and speedy access into the structure of another. To date, the most comprehensive approach to systematically outlining agency processes by major program or activity has been J. Q. Enterprises, op. cit. However, it is probably too complex for general use. On a less technical level, efforts to produce a listing of standardized terms and definitions across manpower programs and governmental agencies are in process and eventually may yield the most immediately useful information on how agencies operate. None, however, is yet developed which is of general utility.

Despite actions of many manpower agencies to meet the need for descriptive information on the characteristics of manpower-related organizations, three important questions remained virtually unanswered. First, who should assume the responsibility for producing and disseminating such data? Second, which of the large number of potentially beneficial elements should be disseminated? Third, in what form should those elements be gathered to ensure their maximum utility?

Judging from experience, it has been agencies of the federal government and local governments which have been most active in providing organizational descriptions. At the local level it has been a matter of necessity. Federal agencies have acted out of mixed motivations, not the least of which is a desire to stimulate inter-agency linkages. States have not, by and large, sought to produce state-specific descriptions of relevant organizations, nor have they generally sought to provide a liaison between federal agencies and local authorities for the purpose of compiling and disseminating such descriptions.[1]

Significantly, A-95 organizations have not been active in manpower programs. Those who run this area-wide review process are in an especially unique position to assume greater responsibility for gathering information on all levels of government on the characteristics of agencies relevant to an area's manpower needs. But apart from a few noteworthy instances,[2] A-95 bodies have not assumed this responsibility.

No matter who acts to gather data on relevant organizations, a continuing problem exists over the formating or display of such data. The diversity of organizational goals, services, and processes suggests that studies are needed to determine the most efficacious method of display for organizations with particular characteristics.

Knowledge of the Labor Market and Client Needs. The 1975 study by the National Manpower Commission found that 38 percent of all prime sponsors wanted improvements in the quantity and quality of labor market information (LMI). This sentiment ranked first among all possible discretionary uses of the Federal government's 4 percent funds under CETA.

However, from the government's perspective, it is not enough to provide disaggregated data for CETA alone. Even if data were published for units identical to CETA jurisdictions, other programs not funded under CETA necessitate the collection of data on different geographical groupings or with modifications, thereby diminishing its utility to other organizations.

---

[1] As noted previously, Oregon and Illinois seem to be exceptions to this generalization.

[2] The North-Central Texas Council of Governments in Dallas/Fort-Worth, an A-95 organization, plays an important role in disseminating information on area-wide organizations involved in manpower. It may, however, be the exception that proves the rule, since the Council also has actual planning and administrative responsibilities for manpower programs in the Dallas/Fort-Worth and other areas of the state. The Council's current involvement in manpower programs stems directly from its previous designation as a CAMPS agency.

In one sense, then, the design of appropriate LMI is in and of itself an occasion for inter-agency linkage, as we have seen in the cooperative efforts of CETA and the State Employment Services. Even more opportunity for linkages will be created once satisfactory LMI can be produced and distributed.

Understandably, the Department of Labor, in conjunction with other Federal agencies, has been heavily involved in the development of more useful LMI. The Department has identified four more products, which will appear at different intervals. A description of the core products can be found in "LMI Program Provides Basic Data for Planners," ETA Interchange, February, 1976, pp. 4-6 and subsequent articles in that newsletter.

But states and local CETA organizations have also initiated efforts to improve LMI, often working cooperatively with other agencies. In Illinois, for example, a research and analysis unit of the Governor's Office of Manpower and Human Development, directed its attention to the following actions, among others:

- preparation of a data sourcebook
- coordination of the actions of four state agencies in the production of occupational projections for the state
- dissemination of descriptions of key local employers using information obtained from Dunn and Bradstreet services.

Others doing similar work are the Little Rock-Central Arkansas Consortium which has conducted its own survey of local labor markets concentrating on large employers and sampling a group of smaller firms, the Duval, Nassau and Baker County Consortium of Jacksonville, Florida; McHenry County, Illinois; and three counties in the Consortium of Jackson, Michigan who are cooperating with the Michigan Employment Service and the University of Michigan in developing local LMI for use by prime sponsors.[1]

One of the more interesting sources of new LMI might come from the group of eight demonstration projects intended to develop pilot occupational information systems (OIS).[2] While the grants were given to set up informational systems which would aid students to make sound occupational decisions, the first few months of experience suggest the considerable potential for inter-agency cooperation between OIS and CETA, as well as other agencies. CETA can utilize OIS as a source of labor supply information for use in the creation of local manpower plans and in participant career counseling. Of course it seems prudent to include representatives from prime sponsors on the advisory boards of the OIS. The state of Michigan in fact has surveyed Michigan's prime sponsors in an effort to design an OIS potential useful to CETA users. Similar actions are planned for the Ohio OIS. What appears to be the most extensive cooperation between CETA and OIS is found in Oregon, where it is estimated that most prime sponsors are users of OIS data through an intermediate linkage with community colleges. The role of OIS information in stimulating linkages may be further enhanced when several grantees move to include job vacancy data, in most cases provided by state employment services, into data files already containing comprehensive labor demand information.

Community Wants and Needs. The model used in this chapter calls for increasing the stock of information so that linkages may result. One type of information likely to induce linkages is information on the extent to

[1] More detail on construction, use and problems of employer surveys is provided in the chapter on Public/Private Linkages.

[2] The eight recipients of grants are Massachusetts, Ohio, Michigan, Wisconsin, Minnesota, Alabama, Colorado, and Washington. See U.S. Department of Labor, Employment and Training Administration, Occupational Information Systems Grants Program: Standards and Guidelines, 1976 and Bruce McKinlay, The Manpower Information Clearinghouse, Final Report on Contract No. 82-41-7203 (mimeographed).

which different agencies share a common service responsibility or clientele. But should there exist differences in the perceived needs or wants of those clients, then by measuring community sentiments, agencies could build the administrative consensus needed to overcome other barriers to cooperation.

The measurement of community wants and needs entails two problems. First, data on those wants and needs must be gathered. And second, a mechanism must be created for the purpose of establishing a consensus on the priority of the competing wants almost certain to be extant.

On the matter of measurement, a recent National Manpower Commission survey found that most prime sponsors have used newspapers, open hearing or representatives of community groups to learn community wants. More systematic information, with correspondingly improved accuracy, could be gleaned using any of the established fieldwork approaches for measuring community sentiments. Table 1 identifies some of these approaches along with their respective advantages and disadvantages.

The setting of priorities among competing wants is a less developed process than the measurement techniques described in the table. One approach holds considerable promise, however. The Ann Arbor prime sponsor, working in conjunction with the School of Social Work at the University of Michigan, has developed a planned routine for administrators which yields a priority ranking on the needs of important subgroups of clientele. While a consensus among agencies on the priority needs of their respective clients would eliminate barriers to linkage, the processes through which needs are identified and priorities are established would themselves involve linkages among agencies.

Table 1.
Advantages and Disadvantages of Several Fieldwork Approaches

Approach	Advantages	Disadvantages
Mailed Questionnaire	Can reach large samples at relatively low cost	Difficult to achieve 100 percent response
	Personnel need not be highly trained	No personal contacts
	All materials can be prepared in advance and distributed according to schedule	Cover letter and follow-up provide the only motivation
		Requires carefully written instructions to respondents
Drop off-pick up questionnaire	Personal contacts aid motivation	May require a large number of fieldworkers
	High response can be achieved within a few days	Travel time and expenses may run high
	Personnel need only minimal training	Requires carefully written instructions to respondents
	Personnel costs are relatively low	
	Most materials can be prepared in advance	
	Little record-keeping by fieldworkers	
Group Administered Questionnaire	Low cost	Very limited use
	Few staff needed	Must be used with the population
		Restricted by availability of respondents in groups
Interview	Personal contacts to motivate respondents	Requires highly trained fieldworkers
	High response can usually be attained	Cost for fieldworkers and training are high
	Provides opportunity to probe respondents to gain extensive data	Travel expense and contact time can be high
	Smaller sample can be used	Usually requires a good deal of respondent's time
		Substantial record-keeping by fieldworkers is necessary
Telephone Interview	Few staff needed	Very limited use
	No travel costs	Easily biased by the vagaries of telephone subscriptions and services
		Difficult to motivate respondents

Source:
Understanding Communities, by James A. Conway, Robert E. Jennings, and Mike M. Milstein

Program Operating Information. The focus in this section is on the linkages forged for the purpose of exchanging information on the programmatic activities of agencies and the status of individual clients. The section does not concern itself with management information systems, per se, since most organizations have access to many materials on how to design and start up a management information system.

• The mechanisms which have developed to exchange information on programs and clients have ranged from ad hoc communications in response to specific needs to communicate, to institutionalized and regularized flows of information on predetermined issues.

Newsletters are probably the most widely used means of exchanging operating information. According to a survey by the National Governors Conference, state councils used newsletters more frequently than other mediums of information transference.[1] The Illinois newsletter, Illinois Manpower Impressions, received special notice by the conference study. Illinois, in addition, has recognized the potential value of its newsletter and has conducted a survey of its readers so that the newsletter's content could be improved.[2]

Another vehicle for exchanging operational information has been used in San Francisco. A Job Training Interchange was created in which as exchange of views on community training needs and progress was conducted.

McHenry County in Illinois utilizes a formal inter-agency structure for exchanging program and client information. About 25 agencies meet once a month as part of the Community Forum.

---

[1] National Governors Conference, State Manpower Services Council.

[2] See, "Now It's Your Turn, Impressions Readers," Vol. 1, No. 12, August 22, 1975, and "Impression Survey Results," Vol. 2, No. 1, October 31, 1975. Edited by William Lpley.

In Fort Wayne, Indiana, local agencies have created a manpower clearinghouse. The clearinghouse has addressed such problems as: agency hopping by clients; disequal access to employers among agencies; and the coordination of services for multi-problem clients.

One of the more ambitious examples of sharing information on operations among agencies is a proposal of the North Central Texas Council of Governments to computerize the information on the programs and clients of all social service programs in its county jurisdiction. The goal is to have these data easily accessible to all interested public and private agencies.

Whether a clearinghouse is only a weekly meeting of concerned agency representatives or an electronic data processing system, the lack of comparability in gathered information will always pose a problem. In this connection it is worthwhile noting the achievements of the Community Service Council in Indianapolis, which has devised a system for categorizing the needs and received services of clients (see Figure 5).

Evaluation. In its intrinsic form, program evaluation is an information gathering process. Like other types of information, appropriate dissemination could produce cooperative arrangements among agencies, as agencies begin to recognize their competitive advantage in providing one type of service or in serving a particular client group. Cooperative evaluation -- where agencies pool resources in order to gather evaluative information -- is less likely to occur.

One obvious barrier to cooperative evaluative effort is the political character of manpower programs themselves. This does not mean that local manpower planners and politicians desire to distort evaluative data for self-serving ends, although one cannot rule out such motivations. There

Figure 5.
Sample of Clearinghouse Information

Source: Community Service Council

ISIS—Indianapolis Services Identification System

Goal I—INCOME & ECONOMIC OPPORTUNITY

Employment Services

01 Job Finding
02 Job Counseling & Guidance
03 Job Training
04 Job Placement & Referral
05 Employment Assistance to the Socially & Economically Disadvantaged
06 Employment Assistance to the Aging & Aged
07 Employment Assistance to the Physically &/or Mentally Handicapped
08 Sheltered Remunerative Employment
09 Homebound Employment

Income Maintenance Services

10 Hospital Health Insurance for the Aged—Medicare
11 Supplementary Health Insurance for the Aged—Medicare
12 Health Insurance—Non-Governmental
13 Unemployment Insurance
14 Workmen's Compensation
15 Social Insurance for Railroad Workers
16 Disability Insurance
17 Retirement Insurance
18 Survivors Insurance
19 Aid to the Blind (now Supplemental Security Income)
20 Aid to Permanently & Totally Disabled (now Supplemental Security Income)
21 Aid to Families with Dependent Children
22 Old Age Assistance (now Supplemental Security Income)
23 Special Benefits for Persons Aged 72 & Over
24 Medical Assistance—Medicaid
25 Emergency Public Welfare Assistance—Township Trustees
26 Emergency Non-Governmental Financial Assistance

Consumer Services

27 Direct Consumer Advice & Guidance
28 Mass Consumer Education
29 Unfair Trade Practices Protection
30 Consumer Complaints & Redress
31 Consumer Goods Testing & Quality Control
32 Consumer Goods Safety Standards

Goal II—MATERIAL NEEDS, PROTECTION, & ENVIRONMENTAL CONDITIONS

Food & Nutrition Services

01 School & Institutional Food Programs
02 Special Non-School Food Program
03 Food Stamps
04 Emergency Food Assistance
05 Home or Mobile Meals
06 General Food Service

Clothing & Household Furnishings Services

07 Collection of Donated Clothing &/or Household Furnishings
08 Clothing &/or Household Furnishings Distribution

Housing Services

09 Governmental Housing Development
10 Real Estate Renewal & Redevelopment
11 Relocation & Placement Under Urban Renewal
12 Public Housing
13 Housing Assistance for Special Groups
14 Housing Search & Location Assistance
15 Residence Service
16 Emergency Housing Assistance

Transportation Services

17 Transportation Development & Maintenance
18 Special Transportation Services for Selected Groups

Protection, Justice, & Safety Services

19 Law Enforcement
20 Code Enforcement
21 Dispensation of Justice & Resolution of Disputes
22 Legal Detention & Incarceration
23 Legal Aid & Defense
24 Corrections
25 Crime & Delinquency Prevention
26 Fire Protection
27 Weather Protection
28 Civil Defense &/or Emergency Preparedness
29 Disaster Relief

Environmental Services

30 Environmental Protection
31 Environmental Maintenance
32 Environmental Enrichment
33 Animals & Animal Protection

Goal III—HEALTH

Community Health Maintenance & Care Services

01 Prevention & Control of Communicable Diseases
02 Public Health Nursing
03 Environmental Sanitation
04 Occupational Health Concerns
05 Community Health Education
06 Blood, Tissue & Organ Banks
07 Community Clinics
08 Community Health Testing
09 Home Health Care
10 Medical Supplies, Equipment, & Supplementary Supportive Goods

Physical Health Maintenance & Care Services

11 Inpatient Medical Care
12 Outpatient Medical Care
13 Emergency Medical Care

Mental Health Maintenance & Care Services

14 Inpatient Psychiatric Care
15 Outpatient Psychiatric Care
16 Emergency Psychiatric Care
17 Residential Treatment of the Emotionally Disturbed
18 Transitional Care of the Emotionally Disturbed
19 Alcoholism Prevention &/or Treatment
20 Drug Abuse & Narcotics Addiction Prevention &/or Treatment

Mental Retardation Services

21 Special Day Care for the Mentally Retarded
22 Short-Term Residential Care of the Mentally Retarded
23 Long-Term Residential &/or Custodial Care of the Mentally Retarded

Rehabilitation Services

24 Inpatient Rehabilitation of Physically Handicapped
25 Outpatient Rehabilitation of Physically Handicapped

Goal IV—EDUCATION

Formal Educational Services

01 Preschool Education
02 Elementary &/or Secondary Education
03 Higher Education
04 Technical &/or Vocational Education

Informal Educational Services: Structured

05 Professional & Para-Professional Continuing Education
06 Supplementary Education

Informal Educational Services: Non-Structured

07 Libraries
08 Educational Groups & Associations—Professional, Occupational &/or Goal-Oriented

Special Educational Services

09 Special Educational Opportunities for the Socially & Economically Disadvantaged
10 Special Educational Opportunities for the Physically &/or Mentally Handicapped
11 Special Educational Opportunities for Gifted Children
12 Tuition & Scholarship Provision

Goal V—PERSONAL, FAM[ILY &] SOCIAL WELL-BEING

Individual & Family Life Streng[thening,] Preservation, & Supportive Serv[ices]

01 Counseling—Casework
02 Support Groups &/or One to [One] Support Counseling
03 Testing & Evaluation
04 Community Education—Social Development & Well-Being
05 Family Planning, Birth Control, Sex Education
06 Maternity Assistance for Unwed Parents
07 Homemaker
08 Friendly Visiting
09 Retirement Preparation
10 Communication Assistance

Emergency/Crisis Intervention, Assistance, & Protection Servi[ces]

11 Protection from Neglect, Abu[se &] Exploitation
12 Suicide Prevention &/or Crisis Intervention
13 Assistance to Travelers, Migr[ants,] Immigrants & Mobile Famil[ies]
14 General Emergency Assi[stance]

Family Substitute Services

15 Adoption
16 Day Care—Adults or Children
17 Foster Home Care—Adults or Children
18 Group Homes
19 Transitional Care/Halfway Ho[uses]
20 Institutional Care—Adults or Children

Social Group Services

21 Group Services—Social Development
22 Group Services for the Aged—[Social] Development
23 Group Services—Social Adjust[ment] & Rehabilitation
24 Group Services—Trade Type
25 Group Services—Camping

Intergroup Relations Services

26 Single Interest Group Pro[motion]
27 Multi-Interest Community Re[lations]

Recreation Services

28 Participatory Recreation—Spo[rts]
29 Participatory Recreation—Arts
30 Spectator/Non-Participatory Recreation

Cultural & Spiritual Services

31 Arts & Humanities Promotion, Development & Maintenance
32 Religious & Spiritual Activities

Figure 5.

Sample of Clearinghouse Information

Goal III—HEALTH

Community Health Maintenance & Care Services

01 Prevention & Control of Communicable Diseases
02 Public Health Nursing
03 Environmental Sanitation
04 Occupational Health Concerns
05 Community Health Education
06 Blood, Tissue & Organ Banks
07 Community Clinics
08 Community Health Testing
09 Home Health Care
10 Medical Supplies, Equipment, & Supplementary Supportive Goods

Physical Health Maintenance & Care Services

11 Inpatient Medical Care
12 Outpatient Medical Care
13 Emergency Medical Care

Mental Health Maintenance & Care Services

14 Inpatient Psychiatric Care
15 Outpatient Psychiatric Care
16 Emergency Psychiatric Care
17 Residential Treatment of the Emotionally Disturbed
18 Transitional Care of the Emotionally Disturbed
19 Alcoholism Prevention &/or Treatment
20 Drug Abuse & Narcotics Addiction Prevention &/or Treatment

Mental Retardation Services

21 Special Day Care for the Mentally Retarded
22 Short-Term Residential Care of the Mentally Retarded
23 Long-Term Residential &/or Custodial Care of the Mentally Retarded

Rehabilitation Services

24 Inpatient Rehabilitation of Physically Handicapped
25 Outpatient Rehabilitation of Physically Handicapped

Goal IV—EDUCATION

Formal Educational Services

01 Preschool Education
02 Elementary &/or Secondary Education
03 Higher Education
04 Technical &/or Vocational Education

Informal Educational Services: Structured

05 Professional & Para Professional Continuing Education
06 Supplementary Education

Informal Educational Services: Non-Structured

07 Libraries
08 Educational Groups & Associations—Professional, Occupational &/or Goal-Oriented

Special Educational Services

09 Special Educational Opportunities for the Socially & Economically Disadvantaged
10 Special Educational Opportunities for the Physically &/or Mentally Handicapped
11 Special Educational Opportunities for Gifted Children
12 Tuition & Scholarship Provision

Goal V—PERSONAL, FAMILY, & SOCIAL WELL-BEING

Individual & Family Life Strengthening, Preservation, & Supportive Services

01 Counseling—Casework
02 Support Groups &/or One to One Support Counseling
03 Testing & Evaluation
04 Community Education—Social Development & Well-Being
05 Family Planning, Birth Control & Sex Education
06 Maternity Assistance for Unwed Parents
07 Homemaker
08 Friendly Visiting
09 Retirement Preparation
10 Communication Assistance

Emergency/Crisis Intervention, Assistance, & Protection Services

11 Protection from Neglect, Abuse & Exploitation
12 Suicide Prevention &/or Crisis Intervention
13 Assistance to Travelers, Migrants, Immigrants & Mobile Families
14 General Emergency Assistance

Family Substitute Services

15 Adoption
16 Day Care—Adults or Children
17 Foster Home Care—Adults or Children
18 Group Homes
19 Transitional Care/Halfway Houses
20 Institutional Care—Adults or Children

Social Group Services

21 Group Services—Social Development
22 Group Services for the Aged—Social Development
23 Group Services—Social Adjustment & Rehabilitation
24 Group Services—Troop Type
25 Group Services—Camping

Intergroup Relations Services

26 Single Interest Group Promotion
27 Multi-Interest Community Relations

Recreation Services

28 Participatory Recreation—Sports
29 Participatory Recreation—Artistic
30 Spectator/Non Participatory Recreation

Cultural & Spiritual Services

31 Arts & Humanities Promotion, Development & Maintenance
32 Religious & Spiritual Activities

Goal VI—COMMUNITY & SOCIAL SUPPORT PROCESSES

Mobilization of People & Community Organization Services

01 Community Planning, Coordinating & Development
02 Neighborhood Planning Coordinating & Development
03 Interest Groups & Associations—Professional & Occupational
04 Interest Groups & Associations—Goal/Social Issue Oriented
05 Political Activities
06 Volunteer Recruitment &/or Placement Training & Supervision

Resource Development Services

07 Fund Raising/Funding
08 Small Business Development
09 Promotion of Tourism, Business & Industry

Information Services

10 Research
11 Records & Vital Statistics
12 Information & Referral
13 Public Information & Communication

Administrative & Management Services

14 Administration, Management, &/or Consultative Assistance
15 Licensing &/or Accrediting

Equal Opportunity Services

16 Civil Rights Promotion
17 Equal Employment Opportunity Promotion
18 Promotion of Fair Housing Policies & Practices
19 Equal Opportunity Recourse

is, however, in the e 'siing structure of manpower programs a real (or perceived) competitiveness which makes agencies undesirous of sharing credit for their achievement. Ways of dealing with this phenomenon, sometimes labeled "turf," are discussed in the section on "Implementation."

Political consideration aside, evaluation efforts may also be hampered by conceptual problems. For example, who should get credit for a cooperative placement. Consider two competing agencies serving an identical group. Is the success of one agency -- say in terms of its trainee placement reward -- a direct result of the quality of its training and placement staff or is it the consequence of poor staff work by its competitor?

A similar difficulty is encountered where the goals of agencies are competing.

<u>Conclusion</u>. While there is consensus on the beneficial consequences of improved informational stocks and flows on the amount of cooperation among agencies, we know very little more about the best method for developing these data and the proper form they should take. The strategy of active pursuit of information advocated here permits an individual agency to act positively in search of the information it judges to be worth the cost of acquisition.

We have noted several examples of inter-agency cooperation efforts structured around the collection or dissemination of information. They are offered solely as examples, for we know little about the effectiveness of alternative information sharing arrangements.[1]

---

[1] Although we cannot be certain, the information based linkages seem to follow a pattern common to all linkages under CETA. They exist where a pre-CETA history of cooperation can be found. See Sumner M. Rosen, "CETA: Some Case Studies," <u>Social Policy</u>, (Nov/Dec., 1975), pp. 44-48.

Bibliography

Emery, J. Cost/Benefit Analysis of Information Systems. The Society for Management Information Systems, 1971.

Kotler, Philip. Marketing for Non Profit Organizations. New York: Prentice Hall, Inc., 1975.

McKinlay, Bruce. The Manpower Information Clearinghouse. Final Report on Contract No. 82-41-7203.

Office of Urban Services, National League of Cities/U.S. Conference of Mayors. Perceptions of Innovations Under CETA, January, 1975. (Mimeographed.)

U.S., Department of Health, Education and Welfare, Region X. Coordinating HEW Programs with CETA: An Introduction.

U.S., Department of Labor. A Guidebook System for Program Linkage. J. Q. Enterprises, 1976.

Exchange of Information Seminar Agenda

9:00 - 9:30	Welcome 1. Introductions 2. Program Agenda	
9:30 - 11:30	Information as a Resource 1. The need for an active strategy 2. Allied techniques -information needs assessment -evaluation criteria -locational analysis -acquisition/exchange analysis	
11:30 - 12:30	Examination of Selected Information Based Linkages	
12:30 - 1:30	Lunch	
1:30 - 2:30	Examination of Selected Information Based Linkages	
2:30 - 4:00	A Simulation: Employment and Training Information Exchange (Exhibit I)	
4:00 - 4:30	Review and Conclusions	

EXHIBIT I

Employment and Training Information Exchange: A Simulation

General Instructions:

This simulation may be used to help participants operationalize the concepts explored in the morning session of the seminar. Each participant should receive a set of general instructions, a description of his/her own role, and s directory of players.

Goals:

1. To explore the process by which information-based linkages can be forged in local manpower planning.

2. To examine facilitators and barriers to information sharing.

3. To identify principles of information science which influence the choices agencies face in the process of acquiring information.

Group Size:

Teams of six role players with one process/content recorder.

Space:

Each team requires a separate room.

Time Required:

Approximately one hour and fifteen minutes.

Materials:

1. A copy of the Directory of Local Employment and Training Organizations for each participant. ~~(p. 183)~~

2. A card identifying the organizational role of each participant.

3. A copy of the appropriate role description sheet for each participant. (p.187)

4. A copy of the Observation Report for the Process/Content Recorder. (p. 194)

Background:

You are a representative of one of several organizations in a local labor market area that is concerned about the training and employment of water quality inspectors, whose job it is to measure the quality of water samples taken from a large lake in your city. At one end of the lake, industry has been depositing waste materials. The other end of the lake has traditionally been used for recreational purposes. The mayor of this city along with the governor of the state have made water quality improvement in this lake a major political issue. Evidence indicates that all parties to the problem favor immediate action to improve lake water quality for recreational purposes.

In this exercise you represent an organization in the locality. The interests of the organization revolve around a desire to increase the number of water inspectors so that the lake reclamation may be achieved.

The Task:

To exchange supply and demand information which will facilitate information-based linkages that improve manpower planning in your city.

The Roles: Representatives of the Following Organizations

- Employment Service - local office
- Local Prime Sponsor under CETA
- Community College funded by Vocational Education with state and federal funds
- Environmental Protection Agency - local office of state agency
- Employer Number 1
- Employer Number 2

Instructions:

1. Each of you has been assigned a role representing an important institution or agency within the local manpower employment and training system. A cardboard sign identifies the name of your organization. Make sure everyone can see your sign.

2. A special role description has been provided for you. Kindly take a moment to read it carefully. You will see that it describes who you are, what you are seeking, and how much money (if any) you have to spend in that pursuit.

3. To facilitate matters, you have also been provided with a Directory of Local Employment and Training Organizations. This document has been sent to you without charge by an unidentified federal agency. It tells you who the other players in the group are, what they are seeking in your locality with respect to manpower policy, and how they may be contacted (i.e., their access code).

Rules:

1. Any two players may talk with one another. There are no limitations on who may talk with whom. Group discussions may also take place.

2. No player will be allowed to respond to another player without first receiving the appropriate access code. Should a player fail to receive the proper access code from another, the questioned player must tell the questioner that his access code is wrong. Once a correct code has been given there is no need to reiterate a code in successive interactions.

3. Should you need to learn the access code of a specific player you may purchase it from any player in the group with the money given to you (see your description). Do not give away this information. The cost of an access code is $10.00.

4. The game begins when all players have finished reading these instructions and their role descriptions. The game is over when the process researcher so announces.

5. You have one hour to obtain your goals.

Directories

Ideally the game should be played by at least three separate groups. Where three or more groups are formed, the director of the game should vary the Directories given to each group. Three editions of the Directory exist. The first is totally accurate and complete; the second is partially inaccurate; and the third is partially incomplete. These directories represent the problems of access agency's encounter. In past usage, teams with the perfect directories work through the problem faster than those with incomplete data which in turn finish faster than those with inaccurate data. The three editions of the directory fol :

DIRECTORY OF LOCAL EMPLOYMENT AND

TRAINING ORGANIZATIONS

(FIRST EDITION)

Gathered and Distributed by
a Friendly Federal Agency

* * Disclaimer: The Federal agency bears no responsibility for the accuracy of this directory. (P.L. 999 S (103.6))

Agency	Access Code	Mission
Employment Service (ES)	ABC	Identifies water quality inspector vacancies in public and private organizations.
Community College (CC)	VVV	Currently offers a course for water quality technicians.
Prime Sponsor (PS)	DEF	Seeks to train water quality inspectors.
Environmental Protection Agency (EPA)	XYZ	Needs to employ water quality inspectors and technicians. Member of the college advisory board; files vacancies with ES regularly.
Employer #1 (E1)	NC	Will need to hire water quality inspectors; uses the services of the ES regularly.
Employer #2 (E2)	QKS	Will need to hire water quality inspectors; does not use the services of the ES regularly.

DIRECTORY OF LOCAL EMPLOYMENT AND

TRAINING ORGANIZATIONS

(SECOND EDITION)

Gathered and Distributed by
a Friendly Federal Agency

* * <u>Disclaimer</u>: The Federal agency bears no responsibility for the accuracy of this directory. (P.L. 999 S (103.6))

Agency	Access Code	Mission
Employment Service (ES)	TUV	Identifies vacancies in public and private organizations in the occupation of water quality inspector.
Community College (CC)	VVV	Currently offers a course for water quality technicians.
Prime Sponsor (PS)	UVW	Seeks to train water quality inspectors.
Environmental Protection Agency (EPA)	XYZ	Needs to employ water quality inspectors and technicians. A member of the college's advisory board and files vacancies with ES regularly.
Employer #1 (E1)	GHI	Will need to hire water quality inspectors; uses the services of the ES regularly.
Employer #2 (E2)	QRS	Will need to hire water quality inspectors; does not use the services of the ES regularly.

DIRECTORY OF LOCAL EMPLOYMENT AND

TRAINING ORGANIZATIONS

(THIRD EDITION)

Gathered and Distributed by
a Friendly Federal Agency

* * Disclaimer: The Federal agency bears no responsibility for the accuracy of this directory (P.L. 999 S (103.6))

Agency	Access Code	Mission
Employment Service (ES)	(N.A.)	Identifies vacancies in public and private organizations in the occupation of water quality inspector.
Community College (CC)	VVV	Currently offers a course for water quality technicians.
Prime Sponsor (PS)	(N.A.)	Seeks to train water quality inspectors.
Environmental Protection Agency (EPA)	XYZ	Needs to employ water quality inspectors and technicians. A member of the college's advisory board and files vacancies with ES regularly.
Employer #1 (E1)	MNO	Will need to hire water quality inspectors; uses the services of ES regularly.
Employer #2 (E2)	(N.A.)	Will need to hire water quality inspectors; does not use the services of the ES regularly.

N.A. = Not available

Individual Roles

EPA - Code XYZ

You have $20.00 to spend on information.

Your agency will require 5 water inspectors next year. You have notified the Prime Sponsor and the ES of this fact. You have also told the community college since you sit on its curriculum and placement advisory boards. The college, however, is not likely to offer courses at this level of skill, preferring to concentrate on meeting the demand for water technicians, which is also one of your job needs. One of your goals is to convince them to offer a course for inspectors.

At the moment you are negotiating with Employer #1 concerning his request to wait one year before installing automated water quality inspection equipment. Employer #1 requires 10 water inspectors next year in order to meet the EPA standards. However, if you allow the continuance of one year, chances are it would only need 5 inspectors. Given the political realities and the ecological consequences of delay, under no circumstances will you grant a delay to Employer #1. You are not allowed to reveal the progress of your negotiations with #1, but you will tell anyone who asks that an expedient timetable for the water reclamation project is your highest priority.

Every once in a while you must stress the need to the Prime Sponsor to get moving on his water inspector course. In fact, you think this to be so important that you're willing to spend your $20.00 to survey any organization in the group to determine the total future demand. Since you already know your needs and those of Employer #1, you need only query Employer #2. You are permitted to act independently or in cooperation with other organizations.

PRIME SPONSOR - Code DEF

You have $100.00 to spend on information gathering through two tasks.

Due to a number of factors you must contribute to the lake reclamation project in one way or another. You have, therefore, decided to finance training courses in water quality inspection. Your central problem is to determine the size of these classes (i.e., number of students). This requires that you make intelligent estimates as to (a) the number of persons locally who have the necessary qualifications for interests in this occupation and (b) the number of jobs that will likely be available to them at the time of graduation.

Task One: At a recent public hearing on the reclamation project, spokesmen from local community based organizations indicated a great deal of community support for the project. These organizations indicated further that there was an ample number of persons qualified to take training as water inspectors and interested in such training. In the past, however, you have gotten burned relying on the impressions of community based organizations since they are not usually based on hard surveys.

Your first decision then is either to accept these estimates or to conduct an independent scientific survey of the local constituents. Such a survey will cost you $20.00 and have consequences for you in the completion of task two. If you decide on a survey, simply deduct the $20.00 from your information budget and assume the validity of the survey's results, indicating that an ample number of prospective trainees exist.

Task Two: With the money you have left, you must find out the number of vacancies for water inspectors likely to develop within the next year.

There are three prospective employers of such workers: (1) EPA who employe both water inspectors as well as water technicians (a higher skilled occupation); (2) Employer #1 and (3) Employer #2. EPA has already told you it will need 5 inspectors. Employers #1 and #2 will not come to you with this information. You must purchase it from them or other organizations. They will set the price.

There is also a local Employment Service office which has already received the information on occupational needs of EPA and Employer #1. It will give you that data for a fee, in order to cover tabulation charges. The Prime Sponsor and Employment Service have not functioned well together in this city. The ES is suspicious of CETA and probably will require a very high fee to demonstrate the Sponsor's good faith.

A local Community College has been conducting a water technician training program for over a year and has good ties with EPA and Employer #2, both of whom sit on the colleges curriculum and placement advisory boards. You haven't been close with the college either. Yet you recognize that the college already has much of the expensive water testing equipment needed to conduct training in water inspection.

You are permitted to work independently or in conjunction with other organizations.

When you have learned the total number of vacancies at EPA, Employer #1 or Employer #2, the game is over. Tell the process recorder! If you exhaust the $100.00 allocated to you, your part of the game is over.

EMPLOYER #1 - Code MNO

You have $20.00 for the purpose of buying information.

You will require 10 water inspectors next year in order to meet the standards being established for you by the EPA locally. There is a good chance, however, that should you receive a continuance of one year from EPA, a new technology could be implemented which would reduce your inspector needs next year to 5.

During this exercise you will be asked to specify next year's demand for water inspectors. You will tell anyone asking you that you can tell them one number now, but if they come back after you've talked with EPA, the number may be something else. It will cost the asking party $50.00 for them to learn the number now or $30.00 to learn it later. Since it costs you the same amount of money to review your records each time, you'll charge $70.00 if the asking party wants to know what the number is now and what it is after you've talked with EPA.

Because you have a lot of government contracts you always tell the ES about your vacancies well in advance. They've already been advised about the 10 inspectors you are likely to need. Should EPA grant a continuance, you must tell ES (so only they hear you say it) that the job order is reduced to 5.

EMPLOYER # 2 - Code QRS

You have $20.00 to spend on information purchases.

You are not a receiver of government contracts and are under no compulsion to list vacancies with the ES. In fact you are suspicious of the ES for its past practice of sending what you have found to be unqualified referrals. Even though the Prime Sponsor is a new organization in town, in your eyes the Prime Sponsor is just another ES-type agency.

Your firm needs 4 water inspectors to meet next year's EPA requirements. You will not tell ES or Prime Sponsor the magnitude of your needs unless they pay $50.00, mostly as a sign of their good faith.

You sit on the Community College's curriculum advisory board, and if you had your druthers you would encourage the Community College to offer a course in this occupation to balance their offerings in the technician occupation. To bolster your case, you should seek out Employer #1 so that you may approach the college jointly (this liaison will not cost money).

EMPLOYMENT SERVICE - Code ABC

You have $20.00 to spend on information gathering activities.

You have in the past taken job orders from EPA and Employer #1 for water inspectors. For next year EPA says it will need 5 inspectors and Employer #1 says it *might* employ as many as 10.

You have had very little success getting job orders from Employer #2 but you are willing to spend all of your $20.00 to convince #2 to send in his inspector referrals.

Your relations with the Prime Sponsor have been very limited to adverse. Any attempt by the Sponsor to utilize your job bank information on water inspectors will require a fee of $50.00 because computer manipulations will be required to separate out such information. Besides, you are looking for evidence of the Prime's good intentions. Should anyone else ask for these dates, the charge might be less.

Through the grapevine you have heard that the Community College has been considering the feasibility of offering a training course in water quality inspection. They apparently are holding back until the size of that occupation's demand can be definitely determined. You also know, as a matter of fact, that Employer #2 (the one not cooperating with you) has been feeding the college information on water inspector vacancies.

EMPLOYMENT SERVICE - Code ABC

You have $20.00 to spend on information gathering activities.

You have in the past taken job orders from EPA and Employer #1 for water inspectors. For next year EPA says it will need 5 inspectors and Employer #1 says it <u>might</u> employ as many as 10.

You have had very little success getting job orders from Employer #2 but you are willing to spend all of your $20.00 to convince #2 to send in his inspector referrals.

Your relations with the Prime Sponsor have been very limited to adverse. Any attempt by the Sponsor to utilize your job bank information on water inspectors will require a fee of $50.00 because computer manipulations will be required to separate out such information. Besides, you are looking for evidence of the Prime's good intentions. Should anyone else ask for these dates, the charge might be less.

Through the grapevine you have heard that the Community College has been considering the feasibility of offering a training course in water quality inspection. They apparently are holding back until the size of that occupation's demand can be definitely determined. You also know, as a matter of fact, that Employer #2 (the one not cooperating with you) has been feeding the college information on water inspector vacancies.

PROCESS/CONTENT RECORDER

You are an observer to this process. As you read this, others are learning that they need certain information on the future local demand for water inspectors. That information is known by representatives of EPA, Employer #1, and Employer #2. The Prime Sponsor, the Community College and the ES know some or none of the demand information and must try to purchase it from the organizations in the exercise. To succeed, organizations will have to share their resources -- this is, the money each has been given to purchase information.

Your job has several tasks:

(1) Make sure that the parties preface all communication with the proper access code, until they have proven that they know each other's codes.

(2) Document in writing any agreement that may develop between the parties.

(3) Call the game over when the prime sponsor tells you to, or offer one hour of play.

(4) When the game ends, see if you can get the group to approve:
   (a) a list of agreements into which they have entered
   (b) a declaration of money held by each player

(5) Feedback to the large group at the end of the hour session. Be prepared to speak about:
   (a) linkages taking place in your group
   (b) how that happened
   (c) things you learned from the process

(6) You will serve as the group facilitator. If you see that twenty minutes or so had passed without any progress you might suggest that each person take some time to learn the goals and constraints of each representative before taking additional action.

To give spice to the exercise, the Directory provided the players may have in it certain errors of fact, such as faulty access codes. If such a problem arises, you must tell the group that a proper code may be purchased for $10.00. He or she may then keep that information as a secret, or share it publicly, or sell it for less than $10.00.

Discussion Points

1. Ask each process recorder to comment on the way the information in the directory affected the group.

2. Starting with the prime sponsor, ask the participants to state briefly what their role was and how they went about playing it.

3. Determine whether members of the groups sought to use the tolls of locational and acquisition analysis. Did anyone construct an information exchange diagram?

4. Ask participants to speculate about the impact on their exchanges had there not been a common commitment to improving the lake's water quality.

BUDGETING AND PROGRAM ANALYSIS

Allan R. Drebin

Northwestern University
Graduate School of Management

1976

Budgeting and Program Analysis

In the Problem Assessment Workshops, one category of barriers to linkage that was identified by many participants was the budget and planning cycle. This seemed to have many aspects: differing fiscal years among agencies; the limited time horizon for planning and budgeting; the uncertainty inherent in short-term funding; and the incongruity of funding formulas.

However, subsequent field interviews undertaken for the purpose of locating cooperative ventures among agencies revealed that while these structural issues are problems for government agencies, they are not necessarily barriers to linkage. Of the twenty prime sponsors and other agencies interviewed, those who engaged in inter-agency cooperation offered no evidence that resolving these structural issues was a prerequisite for cooperation. Rather, it appeared that once communication, information and liaison issues were resolved, structural budgeting issues could then be dealt with routinely. In some instances, budget problems, far from being barriers, actually precipitated linkage, as in the case of an agency whose funding was unexpectedly reduced, forcing it to turn to a CETA prime sponsor to fill the gap.

This does not imply that the current budgeting process is optimal. On the contrary, the current process can lead to suboptimization, in which one agency maximizes its own objectives without concern for higher level goals of other agencies. This undermines the objectives of linkage. In this section we present a discussion of the budget process and a model of the program planning process as it relates to the suboptimization question. Subsequent sections deal with an application of the model.

The Budgetary Process

The budgetary process involves the allocation of scarce resources for the accomplishment of organizational objectives. In a government organization, the process usually involves the granting of legal authority for spending to specific agencies by the legislative branch.

The process begins with a consideration of what resources will be available to the governmental unit. These resources include funds carried over from the previous year as well as current revenues such as taxes, fees, and grants from other organizations.

In allocating resources, traditionally the appropriations are made for particular items of expenditure to specific departments or organizational units. This so called "line item" budget is often organization bound in that it does not permit an opportunity to consider programs that involve more than one unit. Furthermore, the focus on inputs discourages considerations of how best to accomplish end objectives by alternative means. As a result, budgets are often prepared on the basis of "incremental" steps over the previous year's allocations. While this may be dysfunctional, the question is somewhat moot since such budgets are usually required by law.

One alternative to the line-item budget is the so-called performance budget. The performance budget relates expenditure to the scale of activity which is an improvement over the line-item budget. However, it is still organization bound, and also tends to focus on activities rather than final objectives.

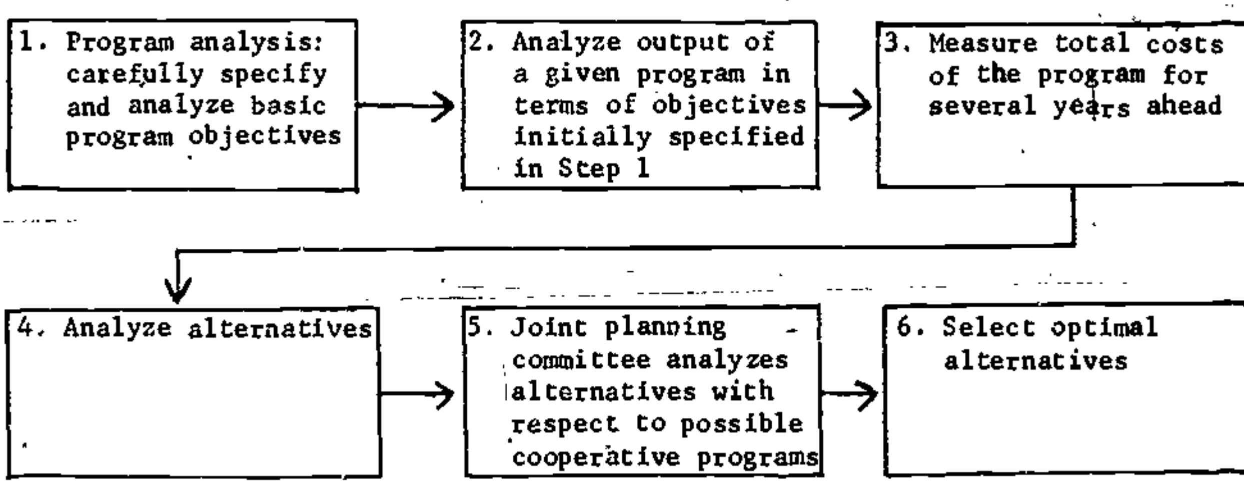
Another alternative, the program budget which has been implemented in several governmental organizations, overcomes the basic weaknesses in both the line-item and performance budgets. In program budgeting, the focus is on end-objective oriented programs and resources may be allocated on the basis of programs which span organizational lines.

Moreover, managers in organizations using program budgeting are able to analyze programs to compare costs and effectiveness of various alternatives. Thus resources get allocated in such a way as to best accomplish stated objectives. This is preferable to the incremental approach in which resources are allocated primarily on the basis of previous years' allocations.

A Model for Optimal Resources Allocation: Program Analysis and Joint Planning Committees

Program Analysis is the first, critical step in what has become known as Program Budgeting. The entire process of program budgeting is shown in Figure 1.

Figure 1.
Process of Program Budgeting



In our discussion we will be focusing only on boxes 1 and 5. The reader interested in further information on the entire process is referred

201

to the readings listed in the attached bibliography.

Step 1, the careful specification and analysis of basic program objectives, can be accomplished in a systematic fashion by considering the following factors.

- Objective functions, usually quantifiable, which are the set of values to be optimized. These could be numbers of unemployed, dollar amounts of earnings, water quality levels, or whatever parameters relate to the objectives of the program. The selection of the proper objective function is crucial to the analysis and cannot be overemphasized. It may seem simple to specify certain quantifiable items such as unemployment rates and assume these adequately reflect the objectives of the program. In fact, however, the easily quantifiable may not be our prime objective; what we must do is first state the objective and then see if it can be quantified.
- Criteria, which are the test of program effectiveness. This could be maximization of jobs, minimization of unemployment, etc.
- Constraints, which are factors limiting the range of feasible alternatives. These could be physical barriers, resource availabilities, or even policies which restrict certain activities. Ignoring constraints will lead to solutions that seem optimal, but are not feasible.
- Models, which are abstract representations of program operations. A model could be descriptive or predictive. It should permit the analyst to test various assumptions to see their effect.
- Alternatives, which are different means of accomplishing the stated objectives. Too often only a single course of action is considered,

when other possible solutions exist. Consideration of alternatives is the essence of analysis, and generation of new alternatives should be encouraged.

These factors must be weighed against the program cost. If two programs both cost the same amount, then the one with the higher level of effectiveness in terms of the designated criterion should be chosen. Alternatively, if two programs both achieve the same level of effectiveness, then the one with the lower cost should be chosen. It may be assumed that rational decision makers using a program budget will allocate resources in this manner.

Sometimes, however, the rational decision maker sees only the perspective of one agency when a more optimal solution might result from considering the resources available from several agencies to accomplish the same goals. Thus if each of several agencies acts rationally in allocating its resources toward the accomplishment of its own goals, it is possible to have each agency independently arrive at decisions that are less optimal than those that might have been made through cooperation with another agency. This may be true not only when viewed from the perspective of a higher level entity, but also from the viewpoint of the individual agencies. This phenomenon is referred to as "sub-optimization." It results from program analysis applied at the individual agency level when an analysis which included inter-organizational cooperation would have been more beneficial. A classic example of sub-optimization is the "Prisoner's Dilemma" (Exhibit 4).

To overcome this weakness in the traditional program-planning model, we have added Step 5 which proposes that planning committees be formed from among planning and budgeting personnel of various governmental agencies and organizations. These committees would not be actual decision making entities, nor would they validate decisions made by the constituent organizations. Rather, they would serve as a forum for sharing program planning information and for developing inter-agency programs and goals. The committee would have an analytical staff capable of analyzing program costs and effectiveness at a level higher than the individual agency. In addition, the staff should be capable of monitoring and evaluating the inter-agency programs.

While the project did not attempt to formulate the decision rules for ascertaining which agencies should participate on the planning committee, it was observed that agencies with close program ties can initiate inter-agency planning on their own. Rotating leadership on an annual basis would alleviate leadership burdens on only one agency and would provide for equal allotment of time and energy on the part of each agency. State departments which dispense state and federal funds to state and local agencies -- departments of vocational education, child welfare, manpower, public aid, for example -- can encourage inter-agency planning by accepting proposals for sharing costs with the cooperating agencies. This would require endorsement of the concept of inter-agency program planning by the governor and his administration.

Summary

Our research indicates that while budget rules *per se* are not a significant barrier to program linkage, current budget and planning procedures can and do lead to suboptimal decision making. In this discussion of the budget and planning process we have emphasized the importance of two steps in the planning procedure: program analysis and the use of joint committees. In the application section of the report (Applying the Models), we will demonstrate how this procedure can be taught and how it can be used.

Budget and Planning Seminar Agenda

9:00 - 12:00 **Budgeting Process**

Welcome:

1. Introduction
2. Put seminar in the context of whole project
3. Define Linkage in Budgeting Context

Mechanics and Structure: (Lectute)

The mechanics and structure of the governmental allocation process. The speaker should be familiar with management, allocation and manpower processes. An outline of content is found in Exhibit 1. The point must be made that all organizations have limited resources. In order to provide the maximum effectiveness from the utilization of these resources, allocations must be made on the basis of program costs and effectiveness.

Coffee Break

The Budget as Barrier to Linkage (Discussion)

Participant discussion of the budget as a barrier. Confirm the fact that perhaps its not, but discuss why it is constantly mentioned as one.

How to Cope with Budgeting Problems (Lecture, Guest Speaker)

Speaker should be selected from an agency that successfully runs programs which are funded by several sources. Leave time for questions.

12:00 - 1:00 Lunch

1:00 - 4:00 **Program Analysis**

Introduction to Program Analysis (Lecture)

An outline for this session is included in Exhibit 2 and Exhibit 3. To illustrate the concepts involved the article entitled "A Cost-Effectiveness Analysis of Selected Manpower Programs" by Hatry and Cotton may be used.

Coffee Break

Suboptimization: A Small Group Exercise

A small group exercise forcing people to choose the most appropriate alternatives. We have developed a hypothetical case for class discussion purposes to demonstrate the effect of suboptimization. The case provides program cost and effectiveness information for alternative programs for two different agencies (Exhibit 5).

The seminar participants are divided into small groups of about 10 to 12 persons to facilitate discussion. Each group is given one of the agency problems, but does not know about the complementary problem for the other agency.

The groups designated as Group 1 are instructed to analyze the programs of the hypothetical Water Protection Agency (WPA). When this case was tested, the consensus seemed to favor Program A, although one group did select Program B in a close vote. Program A provides a slightly lower level of effectiveness, but the cost is substantially less from the WPA point of view.

The groups designed as Group 2 are instructed to analyze the programs of the hypothetical Manpower Development Agency (MDA). When this was tested, the consensus seemed to favor Program A. For the same cost as Program B1, it provides 45 more jobs with nearly the same salaries, and provides only slightly fewer jobs than Program B2 at substantially lower cost from MDA point of view.

When all the participants are reconvened in a plenary session, a spokesperson for each group reports the results of the group's deliberations. It should be clear that from the standpoint of the individual agencies working separately, the programs designated as Program A would most likely have been chosen.

With all the groups together, the case is reviewed from a cooperative point of view. A major cost element of Program B for the WPA is the cost of training ($600,000). If this could be reduced to $200,000, then Program B would cost the same as Program A, yet provide a higher level of effectiveness. Similarly, the primary advantage of Program A to the MDA is that it costs less than Program B2. If the cost of

Program B2 could be reduced to $500,000, it would then cost the same as Program A, yet provide a higher level of effectiveness - more jobs at higher salaries.

The potential for a cooperative solution then emerges. If the MDA could provide the training needed by the WPA, perhaps it would improve the solutions for both agencies. The WPA could afford to pay the MDA up to $200,000 for the training services and still be better off. On the other hand, if the MDA received anything more than $100,000, it would be able to conduct the training program for less cost than the referral program, and with a higher level of effectiveness. An area for negotiation exists in a range of $100,000 to $200,000 that would leave both agencies (as well as the public) better off.

Iowa Pesticide Inventory Project: An example of successful planning.

This project, described in the case we developed (Exhibit 6) involved the successful utilization of senior citizens (with funding provided by the Older Americans Act), to provide manpower resources needed by an important environmental protection program. This successful case helps reinforce the conceptual framework developed previously, and provides an optimistic conclusion to the day.

Of course, other examples of successful planning and budgeting could be used.

The Joint Committee (Alternative Seminar Possibility)

Close the day with a participant discussion on the possibilities for the Joint Committee as a Linkage opportunity.

EXHIBIT 1

The Budgeting Process, Mechanics and Structure

I. Rationality in Management

A. Theory of the firm: the classical economic model assumes that a rational manager acts in such a way as to maximize profits of the firm.

B. Non-profit organizations cannot use profit maximization as a criterion of rational behavior. Nevertheless, they can be managed rationally.

C. It is axiomatic that it is better to have rational management than irrational management. The budgetary process can be used effectively to rationalize management in all types of organizations.

II. Definitions

A. Planning--consideration of objectives of the organization and weighing costs and benefits of alternative activities.

B. Programming--making specific decisions as to which alternative activities will be undertaken.

C. Budgeting--assigning resources to the various chosen activities.

III. Budgeting Concepts

A. Objects of expenditure (or "line items")

1. Usually required by law
2. Oriented toward control (in a narrow sense--to discourage theft or overspending)
3. Focus on inputs
4. Organization bound
5. Disproportionate in detail

B. Performance budget

1. Relates expenditures to scale of activity
2. Focus on efficiency
3. Requires quantitative measurement of work units
4. Organization bound

C. Program Budget

1. Focus on end objectives
2. Considers effectiveness
3. Allows consideration of alternative means of accomplishing objectives
4. Cuts across organizational lines
5. Control at policy-making level

IV. Characteristics of an effective budgetary system

A. Explicit recognition of objectives

B. Program budgeting

C. Extended time horizon

D. Evaluation of alternatives through systematic analysis

E. Reporting of accomplishments

EXHIBIT 1 (Continued)

Example of Performance Budget

Code	Activity and Sub-Activity	Work Units: Name	Work Units Number: Est. 1973	Budget 1972	Act. 1971	Personnel Number: 1973	1973	Man-Hours: 1973	1972	Man-Hours Per Unit: 1973	1972
3114	Bureau of Health Services:		....	....	....	191	190	183,310	181,310	.....	....
01	Supervisory and clerical		....	....	....	14	12	26,800	21,840	....	....
02	Dental treatments given	Each	410,000	440,000	432,443	38	38	43,750	40,670	.09	.09
03	Patients examined	Examination	400,000	228,750	328,565	135	136	105,480	111,520	.26	.49
04	Health education services		....	....	....	4	4	7,280	7,280	....	....
3115	Adult Health and Aging:		....	....	....	54	55	91,530	90,388	....	....
01	Supervisory and clerical		....	....	....	18	18	31,652	31,654	....	....
02	Heart patients visits	Visit	474,370	253,166	233,210	14	15	24,440	24,336	.06	.10
03	Cancer patients visits	Visit	54,389	65,921	41,803	9	9	15,938	14,898	.29	.23
04	Diabetes patient visits	Visit	59,199	65,548	39.601	7	7	8,580	8,580	.14	.13
05	Nutritional guidance visits	Visit	24,300	23,000	18,627	6	6	10,920	10,920	.45	.47
3116	Control of Communicable Diseases:		....	....	....	80	83	123,050	127,792	....	....
01	Supervisory and clerical		....	....	....	33	33	60,060	60,337	....	....
02	Health officer's visits	Visit	10,000	17,300	14,748	2	2	1,820	1,820	.18	.11
03	Medical interviewer's visits	Visit	40,400	69,500	36,572	12	13	20,020	22,117	.50	.32
04	V.D. patient visits	Visit	128,000	117,000	100,225	24	26	26,590	27,187	.21	.23
05	V.D. investigations made	Person	50,000	60,000	45,000	9	9	14,560	16,331	.29	.27
3117	Contagious Disease Hospital Facilities:		....	....	....	147	155	270,423	284,905	....	....
01	Supervisory and clerical		....	....	....	16	17	29,120	30,940	....	....
02	Patient care provided	Patient day	10,000	10,000	6,362	56	59	104,988	110,093	10.50	11.01
03	X-rays taken and interpreted	X-ray	6,500	6,000	5,728	3	4	4,095	6,160	.63	1.03
05	Meals prepared and served	Meal	170,000	165,000	153,207	33	34	60,060	61,880	.35	.38
06	Laundry processed	Pound	275,000	220,000	251,973	13	13	23,660	23,660	.09	.11
07	Providing ambulance service	Round trip	900	1,000	717	4	5	7,720	9,872	8.58	9.87
	Maintaining hospital buildings	Square feet	130,369	130,369	130,369	22	23	40,780	42,600	.31	.33

EXHIBIT 1 (Continued)

formance Budget

…s: …mber, …t 1972	…s: …mber, Act. 1971	Personnel: Number, 1973	Personnel: Number, 1972	Personnel: Man-Hours, 1973	Personnel: Man-Hours, 1972	Personnel: Man-Hours Per-Unit, 1973	Personnel: Man-Hours Per-Unit, 1972	Operating Costs: Total for Year, 1973	Operating Costs: Total for Year, 1972	Operating Costs: Av. Cost Per-Unit, 1973	Operating Costs: Av. Cost Per-Unit, 1972
……	……	191	190	183,310	181,310	……	……	$2,888,253	$2,827,714	——	——
……	……	14	12	26,800	21,840	……	……	250,865	429,542	——	——
…0,000	432,443	38	38	43,750	40,670	.09	.09	663,580	520,219	$ 1.41	$ 1.18
…8,750	328,565	135	136	105,480	111,520	.26	.49	1,906,942	1,828,166	4.77	7.99
……	……	4	4	7,280	7,280	……	……	66,866	49,787	——	——
……	……	54	55	91,530	90,388	……	……	658,165	684,473	……	——
……	……	18	18	31,652	31,654	……	……	208,833	188,107	……	——
…8,156	233,210	14	15	24,440	24,336	.05	.10	209,086	214,003	.44	.85
…5,921	41,803	9	9	15,938	14,898	.29	.23	104,974	106,904	1.93	1.82
…5,548	39,601	7	7	8,580	8,580	.14	.13	97,486	95,563	1.65	1.46
…5,000	18,627	6	6	10,920	10,920	.45	.47	67,786	79,898	2.79	2.47
……	……	80	83	123,050	127,792	……	……	1,032,547	968,340	……	——
……	……	33	33	60,060	60,337	……	……	355,956	329,143	——	——
…7,300	14,748	2	2	1,820	1,820	.16	.11	31,156	29,355	2.12	1.70
…9,500	36,572	12	13	20,020	22,117	.50	.32	155,836	151,186	2.86	2.18
…7,000	100,225	24	26	26,590	27,187	.21	.23	329,191	312,791	2.57	2.67
…0,000	45,000	9	9	14,560	16,331	.29	.27	160,408	145,265	2.21	2.42
……	……	147	155	270,423	284,905	……	……	1,289,857	1,180,886	——	——
……	……	18	17	29,120	30,940	……	……	184,212	166,606	——	——
…0,000	6,382	56	59	104,988	110,093	10.50	11.01	494,121	434,916	49.41	45.49
…6,000	5,728	3	4	4,095	6,160	.63	1.03	31,143	24,117	4.79	4.02
…5,000	153,207	33	34	60,560	61,880	.35	.38	284,724	260,751	1.67	1.58
…0,000	251,973	13	13	23,660	23,660	.09	.11	90,116	76,466	.33	.35
…1,000	717	4	5	7,720	9,572	8.58	9.57	40,732	47,921	45.26	47.92
…0,369	130,369	22	22	40,780	42,660	.31	.28	164,819	150,360	1.26	1.15

100—Corporate Fund.

Appropriations for expenditures for the fiscal year beginning January 1, 1975 and ending December 31, 1975.

No. 1. CORPORATE PURPOSES FUND—100

MAYOR'S OFFICE.

Code		Amounts Appropriated $
1110.000	For personal services	551,358.00
1110.100	For contractual services	23,850.00
1110.200	For travel	3,750.00
1110.300	For commodities	14,500.00
	Total for Mayor's Office—Executive	593,458.00

Mayor's Committee for Economic and Cultural Development.

1115.000	For personal services	228,467.00
1115.100	For contractual services	11,300.00
1115.200	For travel	3,000.00
1115.300	For commodities	2,000.00
1115.700	For contingencies	250.00
	Total for Mayor's Committee for Economic and Cultural Development	245,017.00

Mayor's Office of Inquiry and Information.

1120.000	For personal services	131,775.00
1120.100	For contractual services	3,000.00
1120.300	For commodities	3,500.00
1120.700	For contingencies	1,000.00
	Total for Mayor's Office of Inquiry and Information	139,275.00

Mayor's Office for Senior Citizens.

1130.000	For personal services	740,224.00
1130.100	For contractual services	129,050.00
1130.200	For travel	17,000.00
1130.300	For commodities	12,500.00
1130.400	For equipment	3,800.00
1130.700	For contingencies	500.00
1130.801	For Community Leadership Development	7,500.00
1130.802	For Retirement Education Program	7,500.00
1130.803	For Advisory Council on Aging	1,000.00
1130.804	To provide for research, planning and service programs for the handicapped	25,000.00
	Total for Mayor's Office for Senior Citizens	944,074.00

Mayor's Office—Budgetary Division.

1140.000	For personal services	524,474.00
1140.100	For contractual services	79,550.00
1140.200	For travel	12,725.00
1140.300	For commodities	3,700.00
1140.700	For contingencies	50.00
	Total for Budgetary Division	620,499.00

EXHIBIT 1 (Continued)

Example of Line Item Budget

Source: City of Chicago Appropriation Ordinance for 1975.

EXHIBIT 2

Program Analysis

I. Characteristics of program analysis

A. Involves the use of many disciplines for the solution of complex problems

B. Scientific method

1. Systematic
2. Objective
3. Reproducible

C. Use of models -- abstract representations of reality

1. Descriptive
2. Predictive
3. Quantitative

D. Evaluation of alternatives

E. Time context is the future

F. Consideration of uncertainty

G. Recognition of externalities

H. Use of judgment -- art vs. science

I. Timeliness

II. Method of program analysis

A. Objective function -- the set of values to be optimized

B. Criterion -- measure of effectiveness

C. Constraints -- limits on the range of feasible alternatives

1. Resources -- money, men, machines, etc.
2. Political -- ward boundaries, interest groups, etc.
3. Physical -- capacity, speed, etc.

D. Models

1. Simple enough to allow analysis and manipulation
2. Detailed enough to include all important variables

E. Development of alternatives

F. Analytical tools

1. Mathematical programming
2. Program Evaluation and Review Technique (PERT)
3. Simulation
4. Scenario construction
5. Cost-effectiveness analysis

III. Cost-effectiveness analysis

A. Definitions

1. Cost-benefit analysis -- benefits usually measurable in money terms
2. Cost-effectiveness analysis -- effectiveness measurable in any terms

B. Evaluation of alternatives

Frequently one hears the statement, "We want the maximum effectiveness at the minimum cost." This is not a rational basis for decision making, as the maximum effectiveness is infinity while the minimum cost is zero. These two states are generally incompatible. There are, however, two rational basis for comparing alternatives:

1. Given a constant level of cost, maximize effectiveness
2. Given a constant level of effectiveness, minimize cost

IV. Measuring costs

A. Estimates may be necessary

B. Full system costs -- include operation and maintenance as well as investment

C. Incidence of costs -- direct costs vs. costs imposed on others

V. Scale factors

A. Limitations of ratios -- cost/effectiveness ratio should not be used unless comparing alternatives of similar scale

B. Diminishing returns -- highest priority alternatives may be attractive for spending the first available dollar. After spending a certain amount in any one direction, however, the effectiveness gained from the last dollar spent in that direction may be less than the effectiveness expected from spending a dollar on an alternative project.

C. Marginal analysis -- optimum mix of expenditures reached when marginal effectiveness from last dollar spent is the same for all alternatives.

EXHIBIT 3

Cost Analysis and Multi-Year Planning

I. The multi-year financial plan

   A. Present decisions made with consideration of future consequences

   B. Future estimates for planning purposes are not definite commitments

   C. Comprehensive vs. selective projection

II. Situations requiring forecasting

   A. Small programs to attack long-term needs

   B. Future costs expected to increase rapidly

   C. Funding sources expected to change

   D. Capital programs expected to impact on operating budget

III. Cost estimation

   A. Cost estimating relationships

      1. Statistical regression techniques
      2. The problem of extrapolation.

   B. Impact of inflation

IV. Time phasing of costs

   A. R & D phase

   B. Investment phase -- affected by scale of operation

   C. Operating phase -- affected by scale of duration of operation

   D. Present value vs. cash requirements -- budgeting requires that money be appropriated in years when needed. Present value calculation may be useful in planning (choosing between alternatives) but not for budgeting.

V. Uncertainty

   A. Cost estimating uncertainty -- difficulty in predicting costs when configuration is known.

   B. Configuration uncertainty -- most cost changes are due to design changes.

   C. Uncertainty is related to time horizon -- the distant future is more uncertain than the near future.

VI. Dealing with uncertainty.

   A. Cost sensitivity analysis

   B. A fortiori analysis

   C. Ranges and probabilities

FIVE YEAR FORECAST

The five year projections of revenues and expenditures make it possible to view the recommendations contained in this budget in a longer range financial perspective. In particular, they provide insight into whether or not current plans can be carried through without tax increases and the extent to which funds might be available to finance future additional programs; further, they illuminate the long run impact of the City's Captial Improvement Program on operations.

The projections are based on the assumption that all capital improvements contained in the Capital Improvements Program for the next five years and rated as Priority Three or higher will be financed. This included such items as a $1.2 million Senior Citizen's Center, a $2.4 million Cultural Center, Core Area Land Acquisition, Parkside Park, Park East Park, Tantra Park - Phase II, $275,000 upgrading of older parks $1.9 million of neighborhood park development, Pottery Building and Art Center, $1.2 million Central Boulder Recreation Center, $100,000 annual bikeways construction, and numerous other public facilities in the water, sewer and transportation areas supported with restricted funds.

The projections also reflect the effects of continued inflation, population growth and growth in real purchasing power. Since it is impossible to predict future changes in these variables with certainty, two sets of estimates have been made to represent upper and lower bounds on their future values. Reflecting these upper and lower limits, corresponding higher and lower projections of expenditures and revenues are included. The low estimates reflect the minimum growth that might reasonably be expected in these determinants. The high estimates represents maximum growth. Of course, neither of these extremes is very likely to occur. Much more probable is some path in between. The following table sets out the specific assumptions implicit in the high and low expenditure estimates:

	Percent Annual Increase	
	Low	High
Boulder Population	3	5
Consumer Price Index	2.5	4
Real Personal Income	1.5	3
Wages for Municipal Employees	4	8
Construction Cost Index	5	11

The central conclusion suggested by the projections comes from a comparison of the bottom lines on both sheets — "total Unrestricted Funds" available on the revenue sheet and total "Unrestricted Funds required" on the expenditures sheet. It is clear that, with low growth or high growth, increases in Unrestircted Revenues will fall short of being able to finance the current programs at their higher costs and, in addition, those new programs represented by proposed capital improvements of Priorities 1, 2 and 3. Excluding undependable increases in revenues such as increased federal aid, a less ambitious future set of programs is demanded.

Another important point illuminated by the projections is that if General Revenue Sharing is not extended beyond 1976, a $1 million shortfall in revenues in 1977 and 1978 will become a much more threatening $2 million shortfall.

Though no figures are included in this budget, it can be shown that a substitution of the more elastic sales tax for the current level of property tax would very nearly cause revenues to grow fast enough to eliminate the discrepancy shown with the City's current revenue structure.

EXPENDITURE PROJECTIONS

EXHIBIT 3 (Continued)

PROGRAMS

	1972 ACTUAL	1973 BUDGET	1974 BUDGET
HUMAN DEVELOPMENT			
Library General Reference	46,290	66,157	74,114
Library Services to Children	75,660	290,813	126,076
Library Services to Adults	173,148	582,760	209,740
Municipal Government Reference Center	27,582	34,806	48,007
Programs for Senior Citizens	20,975	42,354	56,033
Human Relations	27,329	44,147	17,436
Programs for Youths	62,462	49,426	72,308
Social Program Development and Management	...	72,673	167,830
TRANSPORTATION			
Public Transportation	760	346,395	72,864
Airport Transportation	8,235	38,530	27,000
Major Thoroughfares	1,370,257	1,820,914	1,006,207
Local Streets	905,641	1,389,538	1,007,941
Parking	49,641	86,802	112,140
Bikeways and Walkways	88,297	140,158	415,985
Transportation Management	26,296	10,278	15,610
GROWTH			
Development Review and Coordination	15,332	24,675	42,965
PHYSICAL ENVIRONMENT			
Zoning and Sign Code Enforcement	45,790	58,214	52,746
Community Planning and Design	21,570	120,463	105,336
Community Planning Administration	55,763	55,714	58,071
Greenbelt	366,388	2,722,830	880,940
Environmental Control	34,262	63,704	82,895
Urban Geology	...	...	12,000
Building Code Enforcement	75,055	93,269	97,162
HOUSING			
Housing Information and Coordination	14,208	16,204	7,167
Housing Unit Management	...	16,741	21,282
Housing Code Enforcement	25,432	38,776	48,007
Housing Rehabilitation	...	70,000	...
Provision of Housing Units	...	80,000	414,948
PROTECTION			
Public Health Services	98,400	106,840	188,275
Animal Control	50,292	60,883	120,740
Rescue Activities	25,861	32,236	197,517
Prevention of Crimes Against the Person	389,260	678,937	202,134
Prevention of Crime Against Property	283,502	595,507	274,431
Fire Alarm Response	554,954	904,407	666,219
Fire Prevention	61,114	76,509	148,427
Disaster Preparedness	62,417	73,177	37,228
SERVICES TO PROPERTY			
Water Supply	367,655	1,014,123	1,100,013
Water Treatment	176,693	550,718	467,418
Water Distribution and Storage	1,370,570	1,724,477	520,528
Water Utility Management	377,607	497,173	455,810
Sanitary Sewer Collection	467,642	1,062,452	766,181
Sanitary Sewer Treatment	1,107,005	784,175	468,308
Sanitary Sewer Management	88,824	145,081	309,273
Flood Control	107,843	112,130	1,300,387

Source: City of Boulder, Colorado: Objectives and Programs, 1974; pp. 94-100.

217

EXHIBIT 3 (Continued)

1975 - 1978

LOW				HIGH			
1975	1976	1977	1978	1975	1976	1977	1978
[illegible]2,093	$ 87,461	$ 93,181	$ 99,278	$ 86,606	$ 97,129	$ 108,935	$ 122,173
142,494	151,769	161,643	172,176	150,506	168,759	189,227	212,179
238,390	253,206	268,949	285,671	252,161	281,326	313,839	350,110
51,244	54,523	58,009	61,719	53,857	60,210	67,313	75,255
88,940	1,262,946	91,586	97,810	62,042	1,289,732	106,777	120,014
19,046	20,277	21,527	22,934	20,051	22,464	25,154	28,105
76,454	81,424	86,716	92,353	80,403	90,051	100,857	112,960
177,007	186,919	197,387	208,440	184,717	203,558	224,321	247,202
23,657	25,077	26,581	28,176	24,773	27,438	30,523	33,880
12,760	13,462	14,203	14,984	13,305	14,635	15,098	17,708
1,047,510	1,121,233	1,200,322	1,285,239	1,134,435	1,276,934	1,437,197	1,617,951
1,161,629	1,229,073	1,300,357	1,975,845	1,218,715	1,352,773	1,501,578	1,666,751
121,248	129,093	137,457	146,357	127,645	142,939	160,066	179,249
423,670	452,800	484,041	517,580	462,263	522,454	590,353	674,362
16,665	17,782	18,973	20,247	17,556	19,733	22,190	24,930
82,733	86,944	59,804	63,930	55,221	62,290	20,263	79,256
57,900	61,383	65,530	69,955	60,612	68,105	76,524	85,965
160,463	501,807	168,882	59,203	172,139	507,684	178,567	73,326
62,922	67,138	71,636	76,436	66,283	74,503	83,741	94,125
2,080,248	776,776	871,328	973,411	2,838,940	999,778	1,195,572	1,419,653
84,187	89,740	95,657	101,965	88,787	99,791	112,161	126,064
12,877	13,727	14,633	15,599	13,578	15,262	17,154	19,261
103,573	110,406	117,691	125,455	109,209	122,249	137,967	155,071
7,682	8,190	8,755	9,359	8,084	9,119	10,286	11,603
29,008	30,644	32,758	34,876	30,580	34,279	38,426	43,077
49,098	52,238	55,921	59,681	51,683	58,060	65,224	73,273
...	...	...	...	...	...	...	...
333,207	348,956	365,180	381,886	347,424	374,538	403,050	433,021
177,861	190,311	203,633	217,837	187,834	212,253	239,846	271,025
128,567	136,900	145,774	155,223	135,214	151,424	169,576	189,905
210,811	435,817	240,161	256,338	221,900	249,302	280,089	314,679
646,001	623,365	665,474	710,[illegible]31	677,585	691,601	777,101	873,176
648,267	590,545	630,622	673,419	648,767	591,355	631,789	674,997
716,130	763,502	815,149	870,237	753,178	846,352	951,056	1,068,721
157,699	168,461	179,958	192,244	166,415	187,596	211,475	238,397
39,665	42,304	45,096	48,073	41,644	47,033	52,865	59,420
1,597,028	1,614,141	1,627,874	1,639,692	1,619,479	1,655,292	1,691,823	1,721,227
384,878	400,769	417,770	435,271	398,266	429,399	463,587	500,504
610,451	623,850	638,578	652,561	624,284	652,590	683,140	713,916
474,436	502,431	537,133	563,534	49[illegible]	546,103	602,837	665,599
281,566	277,302	268,100	265,498	294,151	281,510	277,033	270,566
659,622	669,084	672,619	687,570	675,160	700,750	726,919	753,471
422,638	449,751	478,535	509,161	426,266	478,954	575,831	577,429
2,382,812	933,114	2,837,077	835,065	2,461,230	1,060,544	3,024,253	1,166,494

EXHIBIT 3 (Continued)

LOW				HIGH			
1975	1976	1977	1978	1975	1976	1977	1978
83,574	217,706	84,186	89,659	66,657	224,880	97,915	109,865
120,139	115,276	122,685	130,995	125,820	127,706	143,286	160,767
91,841	2,497,903	128,591	137,078	96,838	2,508,846	150,744	169,436
206,889	219,403	232,705	246,846	216,792	240,983	267,960	298,109
102,972	93,974	99,763	105,913	108,877	105,532	117,946	131,820
266,520	224,414	1,439,226	280,841	277,974	249,499	1,480,437	347,133
91,636	97,668	104,098	110,951	96,513	108,275	121,470	136,273
886,858	1,008,319	939,318	987,636	974,569	959,321	859,498	871,313
75,745	80,745	86,074	91,755	79,725	89,451	100,364	112,609
580,130	627,961	679,754	735,898	648,926	742,162	848,196	969,298
166,057	176,685	187,993	200,024	174,485	195,074	218,093	243,828
297,537	130,134	138,202	146,771	303,537	143,190	159,513	177,898
49,402	52,762	56,350	60,181	51,993	58,440	65,687	73,832
69,881	74,493	79,409	84,650	73,552	82,525	92,593	103,889
388,231	411,507	436,179	462,332	406,664	451,398	501,051	558,167
161,578	172,397	183,945	196,270	170,650	191,666	215,272	241,787
109,557	116,780	124,479	132,686	115,549	129,869	145,964	164,055
67,814	72,817	76,904	81,897	71,299	79,850	89,429	100,156
178,710	189,418	200,767	212,793	187,245	207,842	230,705	256,093
44,997	47,357	51,133	54,507	47,445	53,328	59,941	67,374
31,362	33,087	34,907	36,827	32,700	35,970	39,567	43,523
151,525	158,344	165,469	172,915	156,600	169,128	182,058	197,271
21,155,429	22,442,200	22,139,708	19,933,511	22,032,385	23,919,691	24,791,022	23,688,248
2,669,059	754,209	847,295	947,815	2,806,656	974,820	1,167,620	1,388,346
1,447,705	1,577,957	1,319,709	1,874,089	1,654,100	1,908,896	2,200,198	2,534,886
147,221	1,453,914	(129,207)	(132,142)	153,300	3,464,703	(123,373)	(110,914)
100,106	103,713	107,417	111,220	103,010	109,063	115,382	121,975
10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000
3,023,222	3,092,070	3,167,438	3,239,456	3,092,222	3,234,210	3,387,051	3,541,077
1,363,907	1,396,137	1,419,254	1,463,229	1,395,517	1,461,254	1,529,863	1,601,406
1,948,500	459,720	2,321,164	332,838	1,965,000	493,875	2,374,194	406,028
120,000	125,000	130,000	120,000	120,000	125,000	130,000	120,000
10,829,720	10,972,744	9,583,070	7,966,505	11,299,805	11,781,821	10,790,935	9,612,804
10,325,709	11,469,456	12,556,638	11,967,006	10,732,580	12,137,870	14,000,067	14,075,438

219

EXPENDITURE PROJECTIONS (CONTD.)

	1972 ACTUAL	1973 BUDGET	1974 BUDGET
CULTURAL AND RECREATIONAL			
Arts and Crafts	38,356	53,859	59,694
Athletics	246,108	282,178	157,444
Social Programs	11,456	16,399	86,155
Special Group Programs	75,522	105,046	195,116
Recreation at Boulder Reservoir	94,861	105,562	80,579
Recreation Center Activities	271,036	1,288,634	214,998
Swimming Pools	69,132	81,685	85,042
City Parks	579,894	751,175	615,879
Mountain Parks	42,909	54,658	71,056
Forestry and Horticulture	95,840	284,415	583,604
GENERAL MANAGEMENT AND SUPPORT			
Legislative and Legal	105,567	85,138	156,969
Policy Formulation and Administration	80,989	102,293	315,383
Policy Research and Analysis	30,917	72,864	46,257
Fiscal and Treasury Management	13,155	26,173	65,554
Revenue Collection, Accounting and Control	305,978	329,441	369,200
Employee Recruitment Development and Welfare	78,552	157,338	156,935
Administrative Systems Development	55,734	89,006	102,315
Public Records and Communication	21,714	28,528	64,221
Building and Equipment Management	251,768	224,133	168,541
Procurement of Materials, Equipment and Supplies	43,378	51,960	42,211
Citizen Information and Participation	62,592	38,725	29,727
Contingency	2,430	69,373	145,000
TOTAL FUNDS REQUIRED — ALL PROGRAMS	11,775,823	21,155,817	17,597,116
RESTRICTED FUNDS USED BY TYPE:			
Open Space	328,629	2,722,830	850,044
Major Thoroughfares	1,046,420	1,290,000	1,486,800
Permanent Parks	678,723	1,631,609	280,600
Library	140,557	656,549	106,295
CATV	---	---	10,000
Water Utility	2,292,525	3,792,491	2,606,541
Sewer Utility	1,663,471	1,991,708	1,686,633
Flood Control Utility	---	---	860,000
Specific Gifts and Grants (Not Otherwise Restricted)	156,077	148,500	58,900
TOTAL RESTRICTED FUNDS USED	6,306,402	12,233,687	7,945,893
TOTAL UNRESTRICTED FUNDS REQUIRED	5,469,421	8,922,130	9,651,223

EXHIBIT 3 (Continued)

REVENUES AND FUND BALANCE AVAILABLE

	1969 ACTUAL	1970 ACTUAL	1971 ACTUAL	1972 ACTUAL	1973 BUDGET
1. TAXES AND FEES:					
Property Tax	838,864	926,328	991,511	1,184,407	1,843,000
Franchise Tax (Public Service Co., Mt. Bell & Cable TV)	271,951	310,365	420,891	434,563	467,126
Contribution from Water and Sewer Funds	138,100	153,700	153,600	176,600	253,600
Cigarette Tax	128,232	135,951	144,550	302,888	311,177
Sales and Use Tax	3,087,228	3,408,408	3,935,290	4,409,197	4,970,000
Public Accommodations and Admissions Tax	...	...	152,591	180,543	170,000
Licenses and Fees	83,315	109,499	140,135	152,555	170,000
Court Fines and Costs	129,469	128,272	154,801	188,715	200,000
Interest Earnings and Property Rental	195,929	148,118	56,937	85,157	97,000
City Share of State Highway Users Tax	238,356	299,117	308,570	336,507	350,000
City Share of State Auto Registration Fees	120,407	126,827	205,063	231,667	275,000
City Share of County Road & Bridge Property Tax	...	...	251,588	265,162	278,626
County Contribution for Library	32,250	35,000	35,000	36,750	45,000
Recreation Charges	132,966	191,382	222,416	249,438	285,000
Building Inspection Fees	64,348	71,502	119,471	122,149	120,000
Other Misc. Revenues	76,258	141,271	123,311	488,872	208,286
2. GIFTS AND GRANTS:					
Specific Grants	479,407	260,811	653,380	344,146	433,708
Revenue Sharing	...	...	...	710,018	850,000
3. UTILITY REVENUES (Including Grants):					
Water	2,227,594	2,504,535	2,695,870	3,447,289	3,333,780
Sewer	1,410,612	1,320,427	2,184,304	2,147,392	1,641,200
Flood Control	...	...	...	...	...
4. TOTAL REVENUES (1+2+3)	9,655,484	10,269,311	12,940,057	15,474,013	16,306,531
5. UNAPPROPRIATED FUND BALANCE:					
General Fund	1,090,684	1,114,171	898,067	(77,320)	914,474
Revenue Sharing	...	...	...	...	635,018
Water Utility Fund	4,482,025	4,054,437	1,325,323	903,411	905,497
Sewer Utility Fund	840,937	1,502,745	1,294,331	678,399	1,368,040
Flood Control Utility Fund	...	...	...	...	...
6. CHANGE IN OUTSTANDING BONDED DEBT	(740,526)	(769,069)	(838,016)	1,364,576	903,081
7. TOTAL FUNDS AVAILABLE (Restricted and Unrestricted) (4+5+6)	15,328,604	16,171,595	15,425,762	18,344,079	21,038,641
8. RESTRICTED REVENUES:					
Open Space Acquisition	673,213	839,112	1,110,305	818,355	2,893,250
Major Thoroughfare Contruction	1,267,042	1,012,005	1,120,305	1,472,739	1,348,680
Parks and Recreation Construction	161,371	253,634	220,045	1,988,687	309,778
Library	68,206	74,700	111,712	695,145	103,548
CATV	...	...	...	...	...
Water Utility	1,799,118	2,075,418	2,197,801	2,952,045	2,841,231
Sewer Utility	1,197,322	1,075,099	1,938,027	1,900,364	1,393,623
Flood Control Utility	...	...	...	...	...
Specific Gifts and Grants (Not Otherwise Restricted)	479,407	260,811	34,139	156,077	140,500
9. TOTAL RESTRICTED REVENUES	5,645,679	5,590,777	6,732,334	9,981,412	9,038,610
10. RESTRICTED UNAPPROPRIATED FUND BALANCES:					
General Fund	271,016	313,043	303,095	(78,226)	471,901
Water Utility	4,482,025	4,054,437	1,325,323	903,411	905,497
Sewer Utility	840,937	1,502,745	1,294,331	679,309	1,366,040
Flood Control Utility	...	...	...	...	...
11. TOTAL RESTRICTED UNAPPROPRIATED FUND BALANCE	5,593,978	5,870,225	2,928,649	1,504,584	2,743,438
12. TOTAL RESTRICTED FUNDS (9+11)	11,239,657	11,461,002	9,660,983	11,485,996	11,782,048
13. TOTAL UNRESTRICTED FUNDS (7−12)	4,088,947	4,710,593	5,764,779	6,858,083	9,256,593

EXHIBIT 3 (Continued)

1974 FINAL BUDGET	LOW PROJECTION 1975	LOW PROJECTION 1976	LOW PROJECTION 1977	LOW PROJECTION 1978	HIGH PROJECTION 1975	HIGH PROJECTION 1976	HIGH PROJECTION 1977	HIGH PROJECTION 1978
1,947,950	2,033,273	2,127,515	2,224,367	2,323,842	2,118,859	2,279,414	2,447,305	2,622,724
496,815	533,473	566,206	598,866	632,601	583,909	639,564	696,508	756,050
260,000	267,800	275,834	284,109	292,632	273,000	286,650	300,983	316,032
510,092	525,395	541,157	557,391	574,113	545,798	584,004	624,885	668,627
5,385,000	5,650,000	6,114,000	6,617,000	7,163,000	6,365,000	7,265,000	8,289,000	9,400,000
170,000	175,100	180,353	185,764	191,336	178,500	187,425	196,796	206,636
183,200	188,636	194,357	200,188	206,193	192,360	201,978	212,025	222,631
203,000	205,376	208,185	211,079	214,061	209,048	212,915	219,025	224,390
97,000	15,000	75,000	75,000	75,000	150,000	150,000	150,000	150,000
365,000	391,634	419,927	449,183	479,714	453,266	506,868	563,974	625,203
345,000	348,485	356,478	364,742	373,219	361,720	376,068	391,285	407,371
301,491	306,711	320,665	334,704	349,704	319,374	343,131	367,973	393,928
45,000	46,725	47,278	48,460	49,672	46,800	48,672	50,619	52,644
474,525	493,506	513,246	533,776	555,127	512,487	553,486	597,765	645,586
136,000	90,000	90,000	90,000	90,000	140,000	140,000	140,000	140,000
100,000	96,700	97,918	99,153	100,407	147,120	149,285	151,496	153,756
167,375	120,000	125,000	130,000	120,000	120,000	125,000	130,000	120,000
850,000	850,000	850,000	...	...	850,000	850,000	...	...
3,480,000	3,519,000	3,589,380	3,661,168	3,734,391	3,588,000	3,731,520	3,880,781	4,036,012
1,580,500	1,612,110	1,644,352	1,677,239	1,710,784	1,643,720	1,709,469	1,777,848	1,848,961
800,000	561,000	572,220	583,664	595,338	577,500	606,375	636,694	668,526
17,896,940	18,089,384	18,909,071	18,925,873	19,831,194	19,376,551	20,947,844	21,824,962	23,719,129
840,517	...	...	...	...	...	...	...	...
400,900	...	...	...	...	...	...	...	...
884,537	...	...	...	...	...	...	...	...
1,470,358	...	...	...	...	...	...	...	...
...	...	...	...	...	...	...	...	...
(1,142,207)	2,097,546	1,830,989	138,425	(1,878,771)	2,097,546	1,890,989	138,425	(1,878,771)
20,869,053	20,186,930	20,800,060	19,064,298	17,952,423	21,474,097	22,838,833	21,963,387	21,840,358
796,122	2,669,059	754,209	847,295	947,815	2,806,656	974,820	1,167,620	1,388,346
1,486,800	1,447,105	1,577,981	1,719,709	1,874,089	1,654,100	1,908,656	2,200,198	2,534,886
385,862	147,221	3,453,914	(139,207)	(132,142)	153,300	3,464,703	(123,373)	(110,914)
106,295	100,106	103,713	107,417	111,220	103,010	109,063	115,382	121,975
10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000
2,865,787	3,023,222	3,092,070	3,167,438	3,239,456	3,092,222	3,234,210	3,387,051	3,541,077
1,332,510	1,363,907	1,396,137	1,419,254	1,463,229	1,395,517	1,461,254	1,529,863	1,601,406
860,000	1,948,500	459,720	2,327,164	332,838	1,965,000	493,875	2,374,194	406,078
58,900	120,000	125,000	130,000	120,000	120,000	125,000	130,000	120,000
7,892,276	10,829,720	10,972,744	9,583,070	7,966,505	11,299,805	11,781,821	10,790,935	9,612,804
697,594	...	...	...	...	...	...	...	...
894,537	...	...	...	...	...	...	...	...
1,470,358	...	...	...	...	...	...	...	...
...	...	...	...	...	...	...	...	...
3,062,446	...	...	...	...	...	...	...	...
10,954,724	10,829,720	10,972,744	9,583,070	7,966,505	11,299,805	11,781,821	10,790,935	9,612,804
9,714,329	9,357,210	9,827,316	9,481,228	9,985,918	10,174,292	11,057,012	11,172,452	12,227,554

222

EXHIBIT 4

Prisoners' Dilemma

IN A SMALL WESTERN TOWN recently two outlaws had committed a nearly perfect crime. People suspected them of doing it, but there just was not any evidence on which to convict them. The quick thinking sheriff placed them in separate rooms and made each the same proposition, "If you confess I will give you $1,000 reward and fine your partner $2,000. However, if you both confess, I'll fine you each $1,000." Each individual properly reasoned that he would be better off confessing, regardless of what his partner did. However, it can be seen that both would have been better off if neither had confessed.

The Payoffs

Partner A's strategies

		Don't confess	Confess
Partner B's strategies	Don't confess	0, 0	-2,000, +1,000
	Confess	+1,000, -2,000	-1,000, -1,000

(Example of sub-optimization: In this situation, each outlaw acting alone achieves a less advantageous result than would be achieved if the two individuals were allowed to solve their problem jointly.)

EXHIBIT 5

Group 1 - Water Protection Agency (WPA)

The Water Protection Agency is responsible for assuring high standards of water quality in the State of Illiana. The agency is currently considering two alternative programs for upgrading water quality in the state. Estimates of costs and effectiveness of the two programs are shown below.

Program A

Program A involves physically removing pollutants from waste water by the addition of chemicals which cause pollutants to precipitate, where they can be removed by a vacuum machine. The machines can be operated by common laborers working with supervision.

Effectiveness: Water Quality Index = 89
Cost Estimates (Based on 1 Billion gallons treated)

Personal Services	
10 Supervisory @ $12,000	$ 120,000
150 Laborers @ $6,000	900,000
	1,020,000
Materials and Supplies	
Chemicals and Precipitates	1,250,000
Equipment	
50 Vacuum Machines	1,000,000
Total Cost	$3,270,000

Program B

Program B involves the use of a portable electronic phlushastrobe to detect water impurities and convert toxic substances into soluble oxygen by use of a laser beam. Although this process results in slightly better water quality than the precipitate-vacuum process used in Program A, the phlushastrobe is a very sensitive instrument and must be operated by skilled personnel. At present there is a severe shortage of trained operators, and it is felt that the only feasible way of obtaining these operators is to train them.

Effectiveness: Water Quality Index = 90
Cost Estimates (Based on 1 Billion gallons treated)

Personal Services	
10 Supervisory @ $12,000	$ 120,000
200 Machine Operators @ $9,000	1,800,000
	1,920,000
Materials and Supplies	150,000
Contractual Services	
Training Phlushastrobe Operators (200 @ $3,000)	600,000
Equipment	
200 Phlushastrobes	1,000,000
Total Cost	$3,670,000

Group 2 - Manpower Development Agency (MDA)

The Manpower Development Agency is responsible for developing employment opportunities for persons residing in the State of Illiana. The state currently has a high rate of unemployment. The agency is currently considering two alternative programs for dealing with this problem. Estimates of the costs and effectiveness of the program are shown below.

Program A

Program A involves a placement-referral service for unemployed workers. It consists of contacting employers, arranging interviews, and counseling workers in proper interview techniques.

Effectiveness: It is estimated that 195 unemployed workers can be placed in jobs averaging $8,000 per year.

Cost Estimates:

Personal Services	
Counsellors (30 @ $10,000)	$300,000
Clerical Workers (12 @ $8,000)	96,000
Contractual Services	
Rent, Telephone	79,000
Materials and Supplies	25,000
Total Cost	$500,000

Program B

Program B involves training unemployed workers to operate a Phlushastrobe machine, a device used in reducing water pollution. Because there is a shortage of Phlushastrobe operators, it is felt that between 150 and 200 trained operators can be placed immediately in jobs paying $9,000 per year.

Alternative B1 (Based on 150 workers)

Effectiveness: Estimated 150 workers placed at $9,000 per year.

Cost Estimates:

Personal Services	
Instructors (30 @ $10,000)	$300,000
Clerical Workers (12 @ $8,000)	96,000
Contractual Services	
Rent, Telephone, etc.	79,000
Materials and Supplies	25,000
Total Cost	$500,000

Alternative B2 (Based on 200 workers)

Effectiveness: Estimates 200 workers placed at $9,000 per year.

Cost Estimates:

Personal Services	
Instructors (40 @ $10,000)	$400,000
Clerical Workers (12 @ $8,000)	96,000
Contractual Services	
Rent, Telephone, etc.	79,000
Materials and Supplies	25,000
Total Cost	$600,000

EXHIBIT 6

IOWA PESTICIDE INVENTORY PROJECT

One of the contractors designated by the Department of Labor to administer funds under the Older Americans Act is the National Retired Teachers Association/American Association of Retired Persons (NRTA/AARP). In June 1974 the NRTA/AARP received an Older Americans Title IX grant of approximately $110,000 for fiscal year '74-'75 for programs in the State of Iowa.

Glenn Northup is the Executive Director of the NRTA/AARP. Leona Peterson is the Executive Director of the Iowa Commission on the Aging. Darold Albright is the President of the National Field Research Center, a private consulting firm whose services have been engaged by the Commission on the Aging. Northup recalls that he, Peterson and Albright were at a meeting about another matter in the Aging Commission's Office shortly after the amounts available became known, when someone mentioned Title IX. Albright suggested that a possible use would be in the environmental area under the Federal Insecticide, Fungicide, Rodenticide Act (FIFRA) and the Federal Environmental Pesticides Act (FEPCA). Petersen "had long been concerned with projects stressing interagency cooperation as an adjunct to employing older adults, and as a consequence, was anxious to cooperate with the NRTA/AARP in developing a model project."*

Robert Eaton, then an employee of the Commission, now a consultant to the Commission, explains that it was decided to use the money to train older workers to be certified pesticides applicators, pending the listing by the EPA of pesticides that would require certification. There was little activity on the project until fall, at which time it became apparent that for a number of reasons the EPA would not be in a position to release the list in time to use the Title IX money. At that point the decision was made to shift to another project, and statewide inventory of banned and obsolete pesticides.

The pesticide inventory like the pesticide certification arose out of the FIFRA-FEPCA, which mandates that the pesticides and their containers must be registered and stored, or disposed of, by October 1977. The Iowa Department of Agriculture had been designated as State Lead Agency by the EPA, responsible for bringing private and public institutions into compliance with the law.

At which point the Department of Agriculture was contacted is not certain. What is certain, however, is that the Department was less than enthusiastic at first about cooperating on the project - "lukewarm" in the words of J. D. Hook, Administrative Assistant to Secretary of Agriculture Robert Lounsberry. Hook remarked that "some agencies don't like to get involved with other agencies." His agency had misgivings about "not using state employees" - the older workers were required by law to be employees of the NRTA/AARP - and "what embarrassments you might get into." What convinced the Department to cooperate? According to Hook, "The nature of the job: where would you find a young person willing to do this type of job? We had a ready-made work force." Paul Bridges, Senior Consultant to the NFRC, said that the NRTA/AARP and the Commission on the Aging presented "testimonials" to the Department of Agriculture in an effort to persuade them that senior citizens would be capable of doing the job.

* Employment of Older Workers in the Environmental Field of Pesticides, A Model Program, prepared by the National Field Research Center, Inc. Iowa City, Iowa, 1975.

This case was written by Cynthia Goldring, Northwestern University, Manpower Linkage Project, for the purpose of class discussion.

Once the Department of Agriculture agreed to cooperate, a series of meetings was held during the fall of 1974 at which representatives of Agriculture, NRTA/AARP, NFRC, Commission on the Aging and eventually the EPA, planned the recruitment, training and implementation phases of the project. It was determined that Agriculture would provide administrative support during all phases, and supervision of the older workers during the implementation phase. The coordination of recruitment by state and local agencies would be the responsibility of the Commission on the Aging, and the NFRC would develop the training program.

Agriculture's and the Commission's responsibilities would be met from their current budgets, and the Title IX money would pay the wages of the older workers. NFRC then approached the EPA for funds to develop the training program. Northup recalls the argument Albright used to sell the project to the EPA: "For every one dollar you spend, we will spend several. How can you refuse?" The EPA awarded the project a grant of approximately $20,000. None of this was used to pay instructors - these were provided by cooperating agencies. Training sessions were to be held in community colleges in several locations in the state. (For full description of the training program, see Employment of Older Workers in the Environmental Field of Pesticides, op cit.)

When the plans were substantially completed by the core agencies, other agencies whose cooperation was needed were contacted by phone or letter. A very important ingredient in gaining cooperation, according to Bridges, was explaining to each agency how the project fit into its program and goals. Eaton recalled that the only agencies that refused to cooperate on the project's terms were a few local CAP agencies who were asked to recruit, but would not unless reimbursed for advertising costs.

Finally a meeting was held attended by all agencies who had agreed to cooperate. The meeting was, in Bridges' words, "The formal approval stage." The following list includes the agencies which cooperated in the project:

- Iowa Department of Agriculture
- U.S. Agricultural Stabilization Conservation Service (provided desks and phones for workers during the implementation phase.)
- Iowa Employment Security Commission (helped recruit senior citizens)
- Iowa Office of Planning and Programming
- Local CAP agencies (helped recruit senior citizens)
- Community Colleges
- Iowa Commission on the Aging
- Iowa Area Agencies on Aging (Local arms of the Commission on the Aging helped recruit and train)
- National Retired Teachers Association/American Association of Retired Persons
- Iowa Department of Social Services (helped recruit)

Northup said that all interagency agreements were verbal, while Eaton noted that everyone "knew in general who would do what." Bridges feels that all agreements should be written, so that no agency can pull out and leave others "holding the bag." Also, he feels that written agreements are more effective than verbal agreements in "assigning responsibilities."

Recruitment and training took place in the winter and spring of 1975. Both Bridges and Eaton remarked that during this time they spent much time on the telephone to remind recruiting agencies to send qualified individuals for interviews. Eaton stated that at the first training sessions attended by the trainees, many individuals did not know the nature of the job for which they were recruited, suggesting either poor communication or a lack of understanding on the part of the recruiters.

During the recruitment, training and implementation phases, meetings of the core agencies took place only as conditions demanded. One such meeting concerned data processing, procedures for which Bridges says received inadequate attention during the planning phase. The data processing problems were resolved by the Department of Agriculture's employing two CETA/public service employees and Title IX older workers to process the data manually. Another cause for interagency meetings concerned situations in which the Department of Agriculture was dissatisfied with the performance of individual older worker employees. Agriculture's instinct was to fire the individuals, whereas the Commission felt that efforts should be made to retain them. The two agencies usually were able to come to mutually agreeable terms in individual cases.

Both Northup and Eaton made the point that Iowa is the only place where a project of the type described has been attempted. In response to the question, "Why only in Iowa?" Northup replied that Iowa is "unique in having a excellent commissioner, Leona Peterson, who will run rampant over bureaucracy. The state has a large number of elderly and there has been a long-time build-up of relationships among those concerned with their problems."

Eaton's response was that the "Commission was a prime mover. Leona Peterson has a clear commitment as to what the Commissioner's business is: to provide a better life for old people. Darold Albright has his ears open to all kinds of things. He's not afraid of the new and different. We're willing to bend rules and fight them if we feel they're unjust. We do a lot of hustling. We're neat people."

Bridges commented that "implementation and design are more of the problem than finding funding. If an agency wants a program it can usually fit it in utilizing current resources. There is usually slack in an agency budget; most budgets are flexible enough to deal with the unexpected." With regard to EPA as a manpower user, Bridges observed that the pesticide inventory project demonstrated that the agency doesn't always need highly qualified people; individuals with non-technical backgrounds can be trained to perform many jobs in the environmental field. He stated that "planning and linkage are almost synonymous." He felt that the pesticide inventory project "developed operating and planning linkages" that can be used as a model for agencies with "mutual interests."

APPLYING THE MODELS

The Project Staff

Northwestern University
Graduate School of Management

1976

Applying The Models

The previous sections of this manual have provided conceptual models for overcoming commonly identified barriers to linkage. This section offers a prototype seminar for teaching the application of those models. The key element of this seminar is that participants are given the opportunity to apply the conceptual models to their own workplaces.

What follows are the contents of a workbook used at the application seminar designed for occupational level personnel from Region V, USDOL.

The contents of the workbook are generally self-explanatory. We have added explanatory information where we felt it necessary. The workbook begins with the agenda and continues with exhibits and work pages used in small groups. It should be noted that the morning sessions are lectures on the models, the afternoon sessions are small group work sessions. During the afternoon sessions project staff serve as consultants and/or facilitators to the work groups. The pages in the workbook serve to force the work groups into applying relevant decision processes to their own problem areas.

Employment and Training Administration

Inter-Agency Linkages

Why, Where, and How

Northwestern University

Graduate School of Management

Project Staff:

Frank H. Cassell
Allan R. Drebin
Cynthia Goldring
Hervey A. Juris
Joseph S. Moag
Judith A. Moylan
Leslie Nathanson
Ronald C. Rodgers
Myron Roomkin

Agenda - First Day

9:00 - 12:00

Welcome

COMMUNICATION (lecture)
- Leslie Nathanson

IMPLEMENTATION: Defining and Solving Liaison Problems (lecture)
- Hervey A. Juris

PUBLIC-PRIVATE SECTOR COORDINATION (lecture)
- Ronald C. Rodgers

Small Group Assignments

LUNCH

1:00 - 2:30	GOAL SETTING (lecture) - Allan R. Drebin
2:30 - 3:30	IMPLEMENTATION/PUBLIC-PRIVATE SECTOR COORDINATION Work Groups (Project Staff)
3:30 - 4:30	IMPLEMENTATION/PUBLIC-PRIVATE SECTOR COORDINATION Work Groups (Project Staff)
4:30 - 5:00	Summary of Day 1

Agenda - Second Day

9:00 - 12:00

Welcome

INFORMATION (lecture)
- Myron Roomkin

BUDGETING/PROGRAM ANALYSIS (lecture)
- Allan R. Drebin

LUNCH

1:00 - 2:00	INFORMATION/BUDGETING AND PROGRAM ANALYSIS Work Groups (Project Staff)
2:00 - 3:00	INFORMATION/BUDGETING AND PROGRAM ANALYSIS Work Groups (Project Staff)
3:00 - 4:00	Feedback and Seminar Summary - Participants - Project Staff

233

ISSUE AREAS

In the workshop conducted for the DOL, each member of the large group was assigned to an issue area of his or her choice for the afternoon sessions. The issue areas on the pages immediately following were written for the use of the participants in this seminar and serve as examples. For other seminars, issue areas should be problems that the managers of the agencies for whom the seminar is conducted actually face, problems that might be solved by linkage efforts. It is important to select problems which are of immediate operational concern to the audience. The key concept underlying the application sessions is that each person be forced to apply the models to a specific issue--to work through the entire application from beginning to end.

ISSUE AREAS

I. Employment Development

Definition - Services which develop employment opportunities and services which match participants with employment opportunities. This encompasses all of the employer related activities such as job development, placement, job solicitation, and job creation.

There are numerous factors which hinder effective employment development services. Some of them are--

--Duplication of contacts to employers by job developers representing various agencies frequently causes employer animosity. This is sometimes exhibited through verbal and/or written complaints by the employers and other times by the employers' action of not hiring individuals referred by any of the agencies whose job developers contacted them.

--Job developers representing different agencies often have different target group priorities.

--Duplication of employer contacts creates competition for available jobs among agencies motivated by their interest in favorable evaluations often resulting in inefficient services to participants and/or inappropriate job referrals.

--Much staff time is wasted in the development of relationships with employers when this relationship may have already been established with another agency.

Given that these are problems, what would your goals be for a project that would overcome some of these barriers?

Assuming that linking with other programs or agencies would reduce these sorts of problems, what other agencies would you look to in your area?
If you don't know, how would you find out?

II. Assessment

Definition - Services designed to determine each participant's employability, aptitudes, abilities, and interests and to develop a plan to achieve the participant's employment and related goals. This service may be accomplished through the processes of interviewing, testing, and counseling.

A successful training and/or job match depends on an accurate understanding of the participant's abilities, interests, and needs. Unfortunately, this assessment is frequently superficial or inadequate, often resulting in inappropriate services being provided to participants. This may be reflected in high drop-out rates and/or low placement rates. In depth assessment and testing services may be extremely costly. In addition, they require extensive staff resources and technical expertise usually not available on a single agency's staff. Prime Sponsors are often unwilling or unable to allocate the amount of staff resources and funds necessary to provide comprehensive assessment services to all participants.

Given that these are the problems, what would your goals be for a project that would overcome some of these barriers?

Assuming that linking with other programs or agencies would reduce these sorts of problems, what other agencies would you look to in your area?
If you don't know, how would you find out?

III. Supportive Services

Definition - Supportive services provide assistance to individuals in overcoming personal or environmental handicaps which inhibit their employability. For the purpose of this exercise we are limiting the definition to health services, child care, and transportation services. Health services include diagnostic and treatment service provided for participants to identify and correct physical, mental and dental deficiencies. Child care services are provided to ensure proper care of children while the parent participates in a program or is employed. Child care may include day care for pre-school children and after-school care. Transportation services are arranged or provided for participants to insure mobility between home and the locations of training, employment, and supportive services.

There are numerous problem areas which frequently hinder providing comprehensive supportive services. The primary problem is the high cost of these services. An administrator charged with the development of a comprehensive manpower delivery system is reluctant to allocate a large portion of his resources to services not directly related to the program's primary objective of unsubsidized employment.

Each service is needed by a relatively small percentage of the total individuals served. Therefore, it is generally impractical to offer the services internally. However, the failure to provide these services may mean that a significant portion of the target population is not served. In addition, many individuals, once enrolled, are unable to complete participation in the program.

Given that these are the problems, what would your goals be for a project that would overcome some of these barriers?

Assuming that linking with other programs or agencies would reduce these sorts of problems, what other agencies would you look to in your area?
If you don't know, how would you find out?

IV. Labor Market Information

Definition - Data indicating the present and future supply of workers by occupation, the present and future demand for workers by occupation, and the identity of the intermediaries in the process of matching workers to jobs.

There are numerous problem areas related to the collection and use of labor market information. Many agencies in a geographic area employ individuals with responsibility to collect labor market information. Frequently this is unnecessary staff duplication. The information which is collected is often not available in a usable format. The content may not directly relate to program objectives. It may relate to a different geographic base. The assumptions on which projections are made are not available or alternatives are not presented. There is no accurate inventory of data sources. Although a great deal of information is available, the diversity of sources makes it impractical to put together for an individual project.

Given that these are the problems, what would your goals be for a project that would overcome some of these barriers?

Assuming that linking with other programs or agencies would reduce these sorts of problems, what other agencies would you look to in your area?
If you don't know, how would you find out?

GOAL SETTING

The first task for each group is to establish their goals vis-a-vis their issue area. This exercise forces the group through that process.

GOAL SETTING

In effect, at the initiating stage of a linkage there is no consensus on values and goals vis-a-vis the project. The communications network in the initiating stages should be an open one so that discussion and consensus with respect to goals can be reached.

Ordinarily this would take a long time. Two or more agencies have to take the time to establish relationships, open communication networks, and establish realistic program goals (which are flexible and may be changed over the life of a project).

However, for the purpose of this two day seminar, we are asking that you condense your time frame and reach agreement within your group about one or two goals which you can work toward over these two days.

The following steps may help your progress:

(1) Take a minute to introduce yourselves to one another.

(2) Take some time to write some ideas about goals on a piece of paper.

(3) Have those who want to, share their most salient ideas with the whole group.

(4) Vote on one or two goals that you are comfortable enough with to be able to work on for the next two days.

(5) Write the group goals at the end of these sheets.

Program goals - broad statements of what the organization would like to accomplish for its clients over an extended time period.

(The handouts are available for future reference, you really don't have time to review these now.)

The issue my group is working on is ____________________

My ideas for program goals with respect to this issue are:

(1) ____________________

(2) ____________________

(3) ____________________

(4)

(5)

The goal that this group has agreed to work with is:

GOALS AND OBJECTIVES

The pages which follow are handouts to help the group think through goal-setting as a process.

I. Hierarchy of objectives

A. Goals--broad statements of what the organization would like to accomplish over an extended time period

B. Objectives--more specific quantifiable statements of what is to be achieved in a more limited time period

II. Clarifying objectives

A. Defining the scope of activities

Each organization has some limitations on its purposes which place boundaries on the scope of activities

B. An iterative process

A tentative statement of goals and objectives may be proposed, but when the cost and availability of resources is considered, a more refined statement will be developed

C. Not an end in itself

The process of clarifying objectives should continue until a reasonable degree of refinement is reached. But the process is supposed to assist in management decision making and is not an end in itself. Thus the process should be considered completed at some point

D. Participation in the process

Persons directly affected by objectives should participate in their determination. This has positive behavioral aspects in addition to providing informed inputs to the process

III. Criteria for establishing objectives

A. Objectives of a program should be compatible with each other

B. Objectives at one level of organization should be compatible with objectives at higher levels

C. Objectives should be translatable into specific benefits that can be quantified

D. Objectives should be stated in such a way as to encourage consideration of alternative activities--they should not be so explicit as to define the method of accomplishing them

E. They should be specific enough to permit identification of activities which do not contribute to the achievement of the objectives

IV. Multiple objectives and conflicts

Any organization will have several objectives and these may conflict with one another. At the Federal government level there is a conflict between increasing farmers' incomes and reducing consumer prices. At the local level there may be conflicts between traffic safety and fast transportation, etc. These conflicts must be resolved by policy makers, but analysis is helpful in clarifying tradeoffs

End objectives of government, formulated at the highest program levels, are very general, expressing the commonly accepted values of society. For the 5-5-5 project, the highest level categories of objectives were formulated by the participating local governments in such broad terms, as "protection of persons and property," "opportunity for education," "creating an attractive, safe, and healthy community."

The preliminary statement of basic objectives developed in Nashville-Davidson is presented here to show the direction of the formulation of objectives in a local government with a fairly broad range of public responsibilities.

I. To reduce the amounts and effects of personal harm and the loss of property to the citizens in this community, to produce an atmosphere of security from harmful acts and external events.

II. To provide a comprehensive program of public health services for the citizens of the community in order to reduce the rates of morbidity and mortality.

III. To provide for intellectual development and personal enrichment for the citizens of the community.

IV. To foster economic development, a satisfactory growth in investment and employment.

V. To provide leisure time opportunities.

VI. To provide transportation services (including provision for arrangement of activities and facilities that will move traffic in a satisfactory manner).

Substantial commonality among the broad objective statements of the different jurisdictions would be expected. That is, every jurisdiction would be expected to express an end objective relevant to the health of its citizens and similarly to have end objectives for each of the other basic dimensions of what is considered the "good" government or the "good life." And that is what was found in the project. The broad program categories of Nassau County (New York) differ in some ways from those of Nashville-Davidson, but by and large there are no substantial differences between the statement of goals set forth above and those listed below from Nassau's program structure.

To provide protection from personal harm and property loss.

To conserve and promote health, to analyze health care needs, to continue to improve county health standards.

To foster self-evaluation and self-fulfillment; to enable each individual to function successfully to the full extent of his abilities in both the economic and noneconomic sectors of society.

To maintain and improve the county's economic infrastructure; to insure the orderly physical growth and development of the county.

To provide a satisfactory balance of recreation and cultural opportunities.

To provide help (consultation, referral and supporting services) to individuals and families in social, economic or personal difficulties . . . in order to retain or enhance their capacity for self care or to be able to function more successfully in society.

Objectives that are as broad as "to insure orderly physical growth and development" are not very useful for planning purposes. The most difficult task in developing objective statements is to break down the broad statements into narrower, more restricted, and ultimately more operational terms. That is the phase where significant differences among jurisdictions would be expected, as differing perspectives are brought to bear on the problems with which a government must deal.

It seems clear that there is no single, "best" pattern for defining objectives or developing a program structure. Essentially what is called for is a formulation of purposes in terms of those basic to meeting public "ends" or goals, or that define end products produced. Statements of objectives that are cast in statutory terms—i.e., "to implement Act of —— of 1969"—cast no light on the demand or the underlying purpose that led to the enactment of the law. Nor do statements of purpose in terms of "to operate an existing facility" or "to carry out responsibility for its operation" illuminate the basic end sought.

Objectives formulated by reference to maintaining and operating ongoing programs—health programs, for example—necessarily can provide justification only for what exists rather than a basis for review, assessment, and comparison of means toward the end goals desired.

From: Mushkin et al.,
Implementing PPB in State, City, and County.

THE QUALITY OF LIFE

The Comprehensive Plan is a statement of the city's purposes and a guide to what should be done next to build on basic strengths and recent accomplishments. The plan is strategic in that it focuses on those issues and opportunities that are most critical today. It deals with things that can be done *now* to have the greatest beneficial impact on the quality of life in Chicago immediately as well as in the long run. Therefore, policies for action programs are focused on six strategic objectives:

Family Life and the Environment. Neighborhoods that are attractive to families with growing children, as well as young unmarried people and older couples, will be created and retained.

Expanded Opportunities for the Disadvantaged. The city will increase, intensify, and coordinate programs to arrest poverty and improve living conditions for low-income people, through urban opportunity programs, education and job training, public housing, social services, and other efforts.

Economic Development and Job Opportunities. Chicago's dynamic industrial and business economy continues to thrive because of the city's location at a focal point of world trade routes and because of its expanding role as a regional capital. The city's programs will select and emphasize the key opportunities to build upon this economic potential.

Moving People and Goods. Chicago's role as a regional transportation center requires efficient and convenient air, rail, highway, and water routes and terminals. Within the Chicago area, a system of high accessibility corridors will provide a logical framework for the development of both major transportation routes and high-intensity land uses.

The Proper Allocation of Land. The city's basic pattern of land use is logical. In most cases activities are appropriately related to the lakefront, rivers, and major transportation routes. But there are opportunities for great improvement in the quality of areas, especially in the central city, while still retaining their present functions.

Unified City Development. In translating these strategic objectives into tangible progress, the city will continue to work for cooperation and coordination in public and private efforts. The Development Area planning procedure will serve as a means of achieving maximum effectiveness of programs within large areas of the city.

The Comprehensive Plan envisions an improved quality of life for all Chicagoans, derived from a wide range of actions directed toward both human welfare and physical order. Its proposals are designed to achieve two basic human objectives:

—individual *capability* to act, assured by essential standards of the physical and social environment, and

—individual *opportunity* for variety, range of choice, and personal advancement.

The quality of the environment as a means of improving the quality of life involves social and economic as well as physical considerations. A major goal of the Comprehensive Plan is to broaden human opportunities, and this must occur on two scales, the regional and the local. On the regional level the unique advantages and activities that exist here because Chicago is a major world city must be made readily available to all residents. And within the local community, the widest possible opportunities for a variety of individual and group activities must be assured.

The Comprehensive Plan is presented as both a vision of the future and a vehicle by which citizens and government can be guided to act together in responding effectively to the challenge of building a great city.

From: The Comprehensive Plan of Chicago, December, 1966.

IMPLEMENTATION

The implementation model is a diagnostic routine for predicting success or failure of a par icular project based on ex ante knowledge about the relationship among goals, structure and communication. What follows is an exercise which forces the groups to work through the routine before procaeding with the design phase and points up ways that potentially unsuccessful projects can be made successful by changing underlying conditions.

Rule conflicts are a potentially important barrier to coordination. For each issue area used in the workshop seminar leaders should be familiar with the relevant rules. On the next page rules relevant to the four DOL issue areas are included.

Rules

I. Employment Development

A) Since the Employment Service is funded largely based on the number of placements it makes, it is unwilling to share job orders with other agencies.

B) Some agencies have a mandate to serve a particular client group, e.g., veterans, minorities.

C) At least one state employment security agency has a strict regulation regarding the confidentiality of job orders and applicants.

II. Assessment

A) The Employment Service can only use ES approved tests.

B) Under the proposed new CETA regulations, an individual does not become a participant until having received services other than outreach and intake (including assessment).

III. Supportive Services

A) The WIN regulations say that if a client is suspended to CETA, WIN resources should be used for supportive services only if they are not available through CETA resources.

B) Some programs have cost limitations for specific services.

IV. Labor Market Information

A) Confidentiality of information.

B) Data collection methodology may be legislatively mandated (e.g., employment service unemployment data is based on place of residence, not place of employment).

C) CETA requires data related to its specific jurisdiction. Many other agencies do not collect data on this basis.

There is a decision logic we can go through which will help us to know, before we begin a project, whether that project is capable of being implemented as conceived. While not foolproof this logic can help us avoid gross errors of design or conceptualization.

What follows are some questions you might ask yourself so that you can take first steps toward utilizing the implementation model in your planning.

My issue group is: ______________________________

Our goals are: ______________________________

____

____

____

____

____

I. CLIENT INTERACTION

1. With respect to your project who is the "client"? ______________________________

____

____

2. Would you characterize this project as
   _____highly interactive with clients?
   _____low interaction with clients?

II. RULE SPECIFICITY

3. What are some of the rules and regulations governing this project which might present barriers to cooperation.

a) ______________________________

____

____

____

b) ______________________________

____

____

____

c) ______________________________

____

____

____

d) ______________________________

____

____

____

4. For each of the rules mentioned in "3" above.

	(a)	(b)	(c)
What is the domain of the rule? Who			
What			
When			
Where			
How			
What is the force of the rule? Rational			
Intentional			

"3" above.

(a)	(b)	(c)	(d)

254

5. On the basis of your answer to question "4" would you say that the rules and regulations governing this project are, in general:
   ____highly specified and unambiguous
   ____of low specifity, i.e. ambiguous

III. PROJECT STRUCTURE

6. Would the proposed project organization be
   ____highly structured (bureaucratic)
   ____of little structure (collegial)

IV. PROJECT AUTONOMY

7. The personnel of this project, relative to the participating agencies, have
   ____a great deal of autonomy
   ____very little or no autonomy

V. DEGREE OF OPENNESS

8. Within each of the participating agencies, the environment could be classified as:

   Agency (a) ____open
              ____closed

   Agency (b) ____open
              ____closed

   Agency (c) ____open
              ____closed

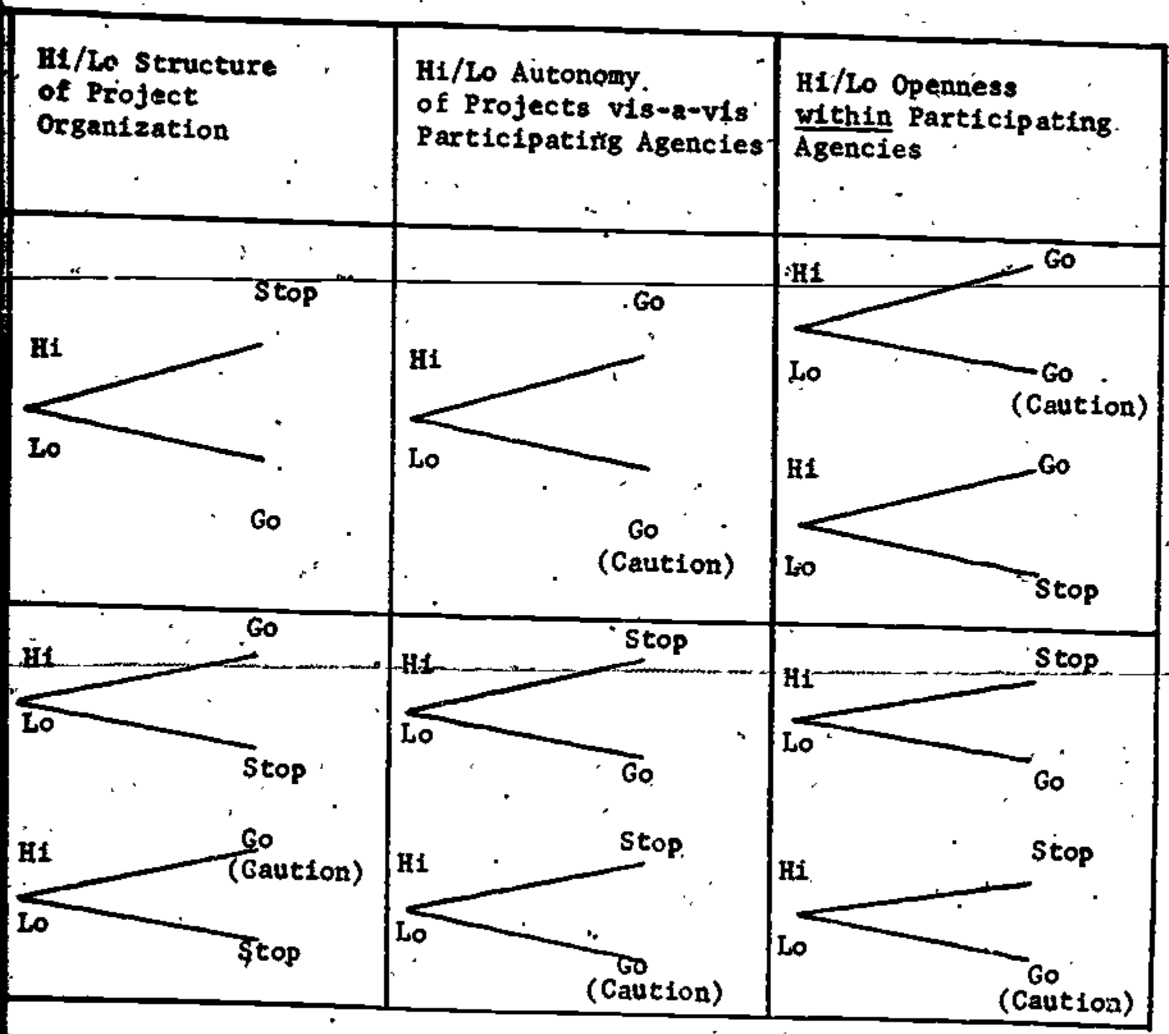
VI. UTILIZING THE MODEL

9. Now let us walk through the decision model on the next page.

   Pay attention to the signals
   - if you reach a "go," continue with the decision process
   - if you reach a "go (caution)" take time to consider whether there is some way to change the design to get the program into a "go" format
   - if you reach a "stop" consider ways to get into the "go" format. If that's not possible consider aborting the project

Planned Service	Hi/Lo Specification of Rules and Regulations Governing Participants.	Hi/Lo Structure of Project Organization	Hi/Lo Autonomy of Projects vis-a-vis Participating Agencies	H w A
High Interaction Service	Stop Hi Lo Go	Stop Hi Lo Go	Go Hi Lo Go (Caution)	H L H L
Low Interaction Service	Go Hi Lo Go (Caution)	Go Hi Lo Stop Go (Caution) Hi Lo Stop	Stop Hi Lo Go Stop Hi Lo Go (Caution)	H L H L

<u>Problem Solving Paths for Improving the Implementation of Inter-Agency Projects</u>



g Paths for Improving the Implementation of Inter-Agency Projects

PUBLIC/PRIVATE COORDINATION

This diagnostic tests each work group's understanding of the private sector labor market model (the model itself is reproduced on the next page). The point to be made in this session is that it is not enough to know what jobs are available marketwide; one must also know enough about the labor market to know which jobs are relevant to CETA clients and what CETA must do to prepare clients for employers.

CETA LABOR MARKET OPERATIONS MODEL

Manpower Supply

Employed by sector:
- Public
- Private

Employment Status:
- Full time
- Part time
- With jobs, not working
- In school:
  - Secondary
  - Community or Jr. Colleges
  - Tech. Inst.
  - 4-year Colleges
  - Graduate Schools
  - Training programs

Retirees

Unemployed by duration

Unemployed by occupational groups

Unemployed by characteristics:
- Economically disadvantaged
- Public Assistance recipients
- Women
- Youth
- Veterans
- Minorities
- Migrants
- Limited English speaking ability
- Over 40 persons
- Older workers
- Handicapped
- Ex-Offenders
- Educationally disadvantaged
- Native Americans
- Former manpower enrollees

Location

The Intermediaries

Person-Job Information and Access

1. Recall of laid-off or former employees
2. Hiring on site, walk-ins
3. Word of mouth, relatives, friends
4. Civil Service or other employment lists: local, state, federal
5. Public and private employment agencies
6. CETA-associated agencies, programs, prime sponsors
7. Other employers (public and private)
8. Professors, teachers, counselors: Graduate schools, Colleges, Jr. and Community Colleges, High Schools
9. Professional societies
10. Newspapers, labor market publications

Job Demand

By Sector:
- Public
  - Local
    - Public Service Employment
    - Job Corps
    - Neighborhood Youth Corps
  - State
  - Federal
- Private

By occupation

By time
- Existing job vacancies funded
  - By sector
  - By function
  - By occupation
- Existing job vacancies not funded
- Future, funded
- Future, not funded (timetable)

By location
- Urban-rural
- Commuting distance and travel cost
- Move necessary

Full time, part time

The Facilitators

Remedial health services: medical dental, optical, psychological

Day care, housing, family service, transportation

Pre-employment readiness, orientation: literacy, remedial reading, handling personal finances, pre-vocational skills

Professional knowledge, technical and skill development: Technical institutes, junior and community colleges, four year colleges, universities, CETA, prime sponsor programs and agencies, short specialized programs

Job success aids: counseling, coaching, orientation, psychological support of employee and supervisor

Transitional jobs (PSE)

Requirements

Those of the person (Supply)	Those of the employer (Demand)
Productivity Skills Knowledge Experience Attitudes	Job Requirements Technical Professional Wages, hours of work, working conditions Geographic Artificial
Availability Mobility Job Readiness Employability	Organization Opportunity structure Ports of entry Rules: seniority, tests, etc.
Preferences Occupational Lifetime Career opportunity Environment Supervision, work challenge, pace, variety, autonomy Life style Pay, benefits, net costs Work-leisure	Environment Readiness of management to accommodate the supply

Job Decision

Rejection	Acceptance

Northwestern University Graduate School of Management
Manpower Linkage Project
April 1976

PUBLIC-PRIVATE SECTOR COORDINATION

Much of what we are about in this seminar requires the knowledge of the operation of private sector labor markets and potential linkages to these employment opportunities, support services and intermediaries.

What follows are some questions you might ask yourself so that you may take first steps toward discovering the public-private coordination issues which are relevant to your own goals.

My issue group is:____________________

Our Goals are:____________________

PUBLIC-PRIVATE SECTOR COORDINATION

A STRATEGY FOR BUILDING A JOB TRAINING AND SUPPORTIVE SERVICE SYSTEM

In which industries are jobs potentially open? Table 1	INDUSTRY______			INDUSTRY______
For which jobs might CETA clients be trained and hired? Table 2 and 3	JOB 1 ______	JOB 2 ______	JOB 3 ______	JOB 4 ______
What are entry level requirements for each job? (1) Physical/medical requirements (2) Training/skill requirements (3) Travel/mobility requirements (4) Employer-specific requirements				
What are job survival requirements for each job? (1) Working conditions (2) Supervision (3) Relationships with other workers (4) Appearance (5) Work habits specific to firm, department, job				

BLIC-PRIVATE SECTOR COORDINATION

DING A JOB TRAINING AND SUPPORTIVE SERVICE SYSTEM

		INDUSTRY		
JOB 2	JOB 3	JOB 4	JOB 5	JOB 6

A STRATEGY FOR BUILDING A JOB TRAINING AND SUPPORTIVE SERVICE SYSTEM

	INDUSTRY			INDUSTRY
	JOB 1	JOB 2	JOB 3	JOB 4
What diagnostic services are required to place clients? (1) Skill assessment (2) Job readiness (3) Referral				
What supportive services are required during training and after job placement? (1) Transportation (2) Wages or allowances (3) Day care (4) Medical/dental (5) Other				
Identify strategies for operating training, supportive services, job placement which lead to job success (1) Would you still use CETA funds to prepare clients for each job? (2) Which CETA clients are most ready to train for and succeed in each job?				

		INDUSTRY		
JOB 2	JOB 3	JOB 4	JOB 5	JOB 6

Table 1

Southwestern Indiana Employer Survey
Jobs, Job Openings and Percent of Jobs Listed by Industry

	1975 Employees Listed			Projected Job Openings in 1976-77		
	Full-time Employees	Part-time Employees	TOTAL	Full-time Employees	Part-time Employees	TOTAL
Banking n=15	680 3%	134 5%	814	61 1%	26 3%	87
Construction n=13	449 2%	112 4%	561	127 3%	356 44%	483
Education n=5	751 3%	150 6%	901	43 1%	28 4%	71
Government n=5	1131 5%	199 8%	1330	131 3%	16 2%	147
Health n=17	5939 24%	897 35%	6836	927 21%	174 22%	1101
Manufacturing n=30	11913 49%	200 8%	12113	2635 9%	69 9%	2704
Mining - Agriculture n=1	57 .2%	0	57	0	0	0
Personal Services n=22	711 3%	178 7%	889	218 5%	19 2%	237
Transportation Communication & Utilities n=11	1107 5%	123 5%	1230	97 2%	49 6%	146
Wholesale - Retail Trade n=60	1742 7%	548 22%	2290	214 5%	58 7%	272
TOTALS n=179	24430 91%	2541 9%	27021	4453 85%	795 15%	5248.
Percentage of Projected Placement Opportunities in 1976-77				18%	31%	19%

Table 2

Southwestern Indiana Employer Survey
Present and Predicted Employment by Job Title

Manufacturers (n=30)

		1975		Anticipated 76-77	
		Full Time	Part Time	New Full Time	New Part Time
Professional-Managerial					
01	Accountants	99	3	7	
02	Credit Managers	2			
03	Computer Specialists	150	1	4	
04	Dept. & Division Managers	308		14	
05	Chemical Engineers	5		1	
06	Electrical Engineers	36		5	
07	Industrial Engineers	82		12	
08	Mechanical Engineers	85		6	
09	Metallurgical Engineers	2			
10	Petroleum Engineers	1			
11	Other Engineers	93			
12	Financial Managers	11			
13	Marketing Managers	26		3	
14	Office Managers	12			
15	Purchasing Agents	54		3	
16	Research Workers	202		25	
19	Chemists	5			
21	Physicists	206		7	
22	Other Scientists	27		2	
23	Advertising Writers	87		4	
24	Editors	1			
25	Photographers	5			
26	Public Relations	6		1	
28	Other Writers	97		3	
	Sub-Total	1601	4	97	
	Percentage of Total	13%	2%	4%	
Clerical & Sales Workers					
29	Bill Collectors	1			
32	Mail Handlers	7	10	1	6
33	Manufacturer Sales Reps.	582	1	124	
34	Messengers	5			
35	Keypunch Operators	70		14	
37	Payroll Clerks	32	2	3	
38	Receptionists	10	1	2	
39	Secretaries	337	29	43	8
40	Shipping & Receiving Clerks	62		3	
41	Stock Clerks	59		3	
42	Telephone Operators	24	8	3	
43	Other Clerical	174	5	18	1
	Sub-Total	1363	56	214	15
	Percentage of Total	11%	27%	8%	22%

Crafts & Technicians

		1975 Full Time	1975 Part Time	Anticipated 76-77 New Full Time	Anticipated 76-77 New Part Time
44	Bakers	74		5	
45	Binders	83		9	
46	Compositors & Typesetters	14		1	
47	Electricians	187		6	
48	Foremen	654	4	12	
49	Furniture & Wood Finishers	50		10	
50	Machinists	599		14	
51	Airconditioning, Heating & Refrigeration Repair	1			
52	Auto & Truck Mechanics	56	1		1
53	Data Processing Equip. Repair	9		2	
54	Farm Implements Mechanics	25			
55	Heavy Equip. & Machinery Mech.	71		2	
56	Other Mechanics	63		12	
58	Photoengravers & Lithographers	33		1	
59	Plumbers & Pipefitters	25		18	
60	Pressmen & Plate Printers	71		1	
62	Sheetmetal Workers	15		8	
63	Technicians	130		23	10
64	Tool & Die Makers	198		80	
65	Other Crafts	170	7	18	4
	Sub-Total	2528	12	222	15
	Percentage of Total	21%	6%	8%	22%

Service Workers & Laborers

		1975 Full Time	1975 Part Time	Anticipated 76-77 New Full Time	Anticipated 76-77 New Part Time
66	Janitors	190	8	31	
67	Janitresses	47	7	12	
68	Cleaning Supervisors	29			
70	Cooks	3	1	1	
71	Cashiers	1			
74	Other Food Workers	5	1		
75	Freight & Material Handlers	349		192	
77	Gardeners & Groundskeepers	10	6		12
78	Guards & Watchmen	85		42	
80	Warehousemen	113		24	
81	Other Services	397	46	24	
	Sub-Total	1229	69	340	12
	Percentage of Total	10%	36%	13%	17%

Operatives & Transport

		1975		Anticipated 76-77	
		Full Time	Part Time	New Full Time	New Part Time
82	Assemblers	2081		1349	
83	Bottlers & Canners	9			
84	Delivery & Routemen	67	7	5	
85	Dressmakers & Seamstresses	258		61	
87	Examiners & Inspectors	635		89	
88	Files, Polishers, Sanders & Buffers	24		1	
89	Forklift & Tow Operators	655		71	20
91	Graders & Workers	3	20		
92	Metal Platers	8			
94	Mixers	30		1	
95	Oilers & Greasers	33		16	
96	Packers & Wrappers	70		7	
97	Drill Presses	62		40	
98	Grinders	129		100	
99	Other Machinists	115		15	
100	Solderers	71		75	
101	Truck Drivers	106	22	36	
102	Welders & Flamecutters	74		10	
103	Other Operators	695	10	27	7
	Sub-Total	5192	59	1762	27
	Percentage of Total	44%	30%	67%	39%
	Total Employees	11913	200	2635	69

Table 3

Southwestern Indiana Employer Survey
Present and Predicted Employment by Job Title

Health and Medical Services (n=17)

Professionals & Managers

		1975		Anticipated 76-77	
		Full Time	Part Time	New Full Time	New Part Time
01	Accountants	20		2	
03	Business Managers	7			
04	Clergymen & Chaplains	8		1	
05	Computer Specialists	3			
06	Dentists	4		1	
07	Dieticians	21	3	7	
08	Food Service Managers	5		1	
	Health Technologists:				
10	Dental Hygienists	1	1		1
11	Health Records Technicians	1			
12	Medical Lab Technicians: (Hemotologists, etc. - special groups)	116	16	21	
13	Medical Equipment Technicians: (Dialysis, EEG, etc.)	37		16	
14	Radiologic Technicians	112	8	16	1
15	Surgical Technicians	49	8	10	
16	Therapy Assistants (specify field)	35	4	4	
17	Other Technicians	39	1	10	2
18	Managers & Administrators	209	11	18	1
19	Medical Librarians	10			
20	Microbiologists	2			
21	Operating Engineers	1			
22	Pharmacists	39		13	
23	Personnel Workers	26			
24	Physicians	16			
25	Public Relations & Publicity Staff	10	1		
26	Purchasing Agents	8			
28	Registered Nurses	936	340	252	47
29	Social Workers				
	Therapists:	19	1	3	
30	Occupational Therapists	3	2	2	
31	Physical Therapists	22	2	6	
34	Other Therapists	31	4	7	
36	Other Professionals & Managers	4	1	1	1
	Sub-Total	1793	403	392	53
	Percentage of Total	30%	45%	42%	30%

Health and Medical Services (continued)

	Service Workers	1975 Full Time	1975 Part Time	Anticipated 76-77 New Full Time	Anticipated 76-77 New Part Time
37	Janitors & Janitresses	423	40	55	1
38	Linen & Laundry Workers	165	6	14	1
39	Cleaning Supervisors	64	1		
41	Carpenters	18			
42	Electricians	19		2	
43	Maintenance Mechanics	85	1	4	
44	Plumbers	8		2	
45	Power Plant Workers	23			
46	Other Maintenance Workers	22	1	2	
47	Cooks	70	7	6	1
48	Diet Aides	195	59	12	26
49	Dishwashers	17	17		1
50	Other Food Service	95	30	11	25
51	Gardeners & Groundskeepers	14	3		2
52	Guards & Watchmen	18	49	19	2
53	Attendants	38	8	20	
54	Dental Assistants	3	2	2	3
56	Laboratory Aides	25	11		
57	Nursing Aides	1302	86	108	35
58	Orderlies	34	5	111	
59	Practical Nurses	378	31	29	1
60	Student Nurses		29		
61	Surgical Aides	6	2		1
62	Other Service Workers	286	10	21	2
	Sub-Total	3308	398	418	101
	Percentage of Total	56%	44%	45%	58%

	Clerical Workers	1975 Full Time	1975 Part Time	Anticipated 76-77 New Full Time	Anticipated 76-77 New Part Time
63	Admitting Clerks	51	7	6	
64	Billing Clerks	52	3	6	
65	Bookkeepers	6	1	1	
66	Clerical Supervisors	8			
67	File Clerks	43	11	17	
68	Insurance Clerks	9	1		
69	Keypunch Operators	18		8	
70	Laboratory Clerks	13		2	
71	Mailhandlers	8	2		
72	Medical Record Clerks	64	6	3	
73	Messengers	3	1		
74	Payroll Clerks	10			
75	Receptionists	29	8	6	
76	Secretaries	172	8	13	
77	Supply Clerks	29	1	2	
78	Statistical Clerks	2	2		
79	Telephone Operators	27	16	6	
80	Typists	5			
81	Ward Clerks	237	21	31	20
82	Other Clerical	52	8	16	
	Sub-Total	838	96	117	20
	Percentage of Total	14%	11%	13%	11%
	Total Employees	5939	897	927	174

INFORMATION

The purpose of this session is to sensitize participants to the kinds of information needed in their issue area; to help them determine alternative sources of supply for this information; and to introduce them to cost/benefit analysis in order to help them determine if an aggressive posture is desirable.

The first two pages which follow are summary charts from the information model.

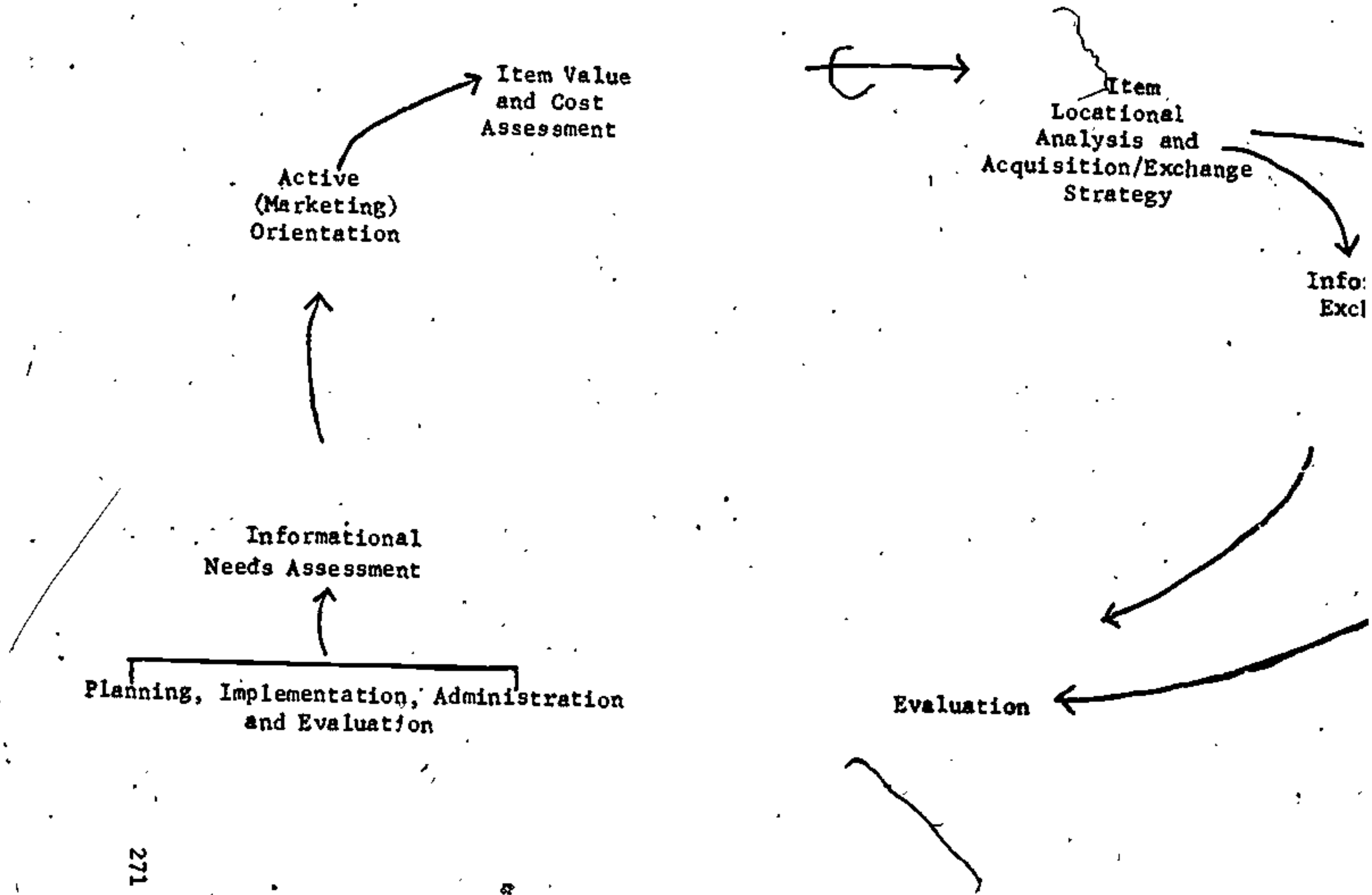
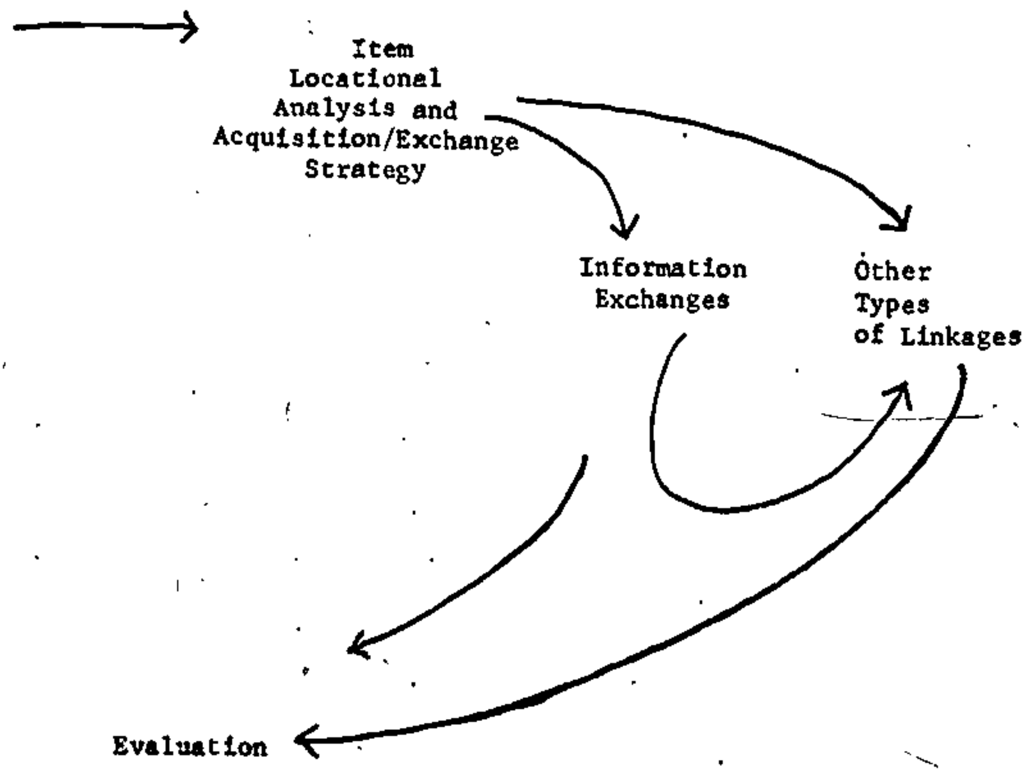


Figure 1: The Relationship between Linkages and the Active Pursuit of Needed Inf



268

between Linkages and the Active Pursuit of Needed Information

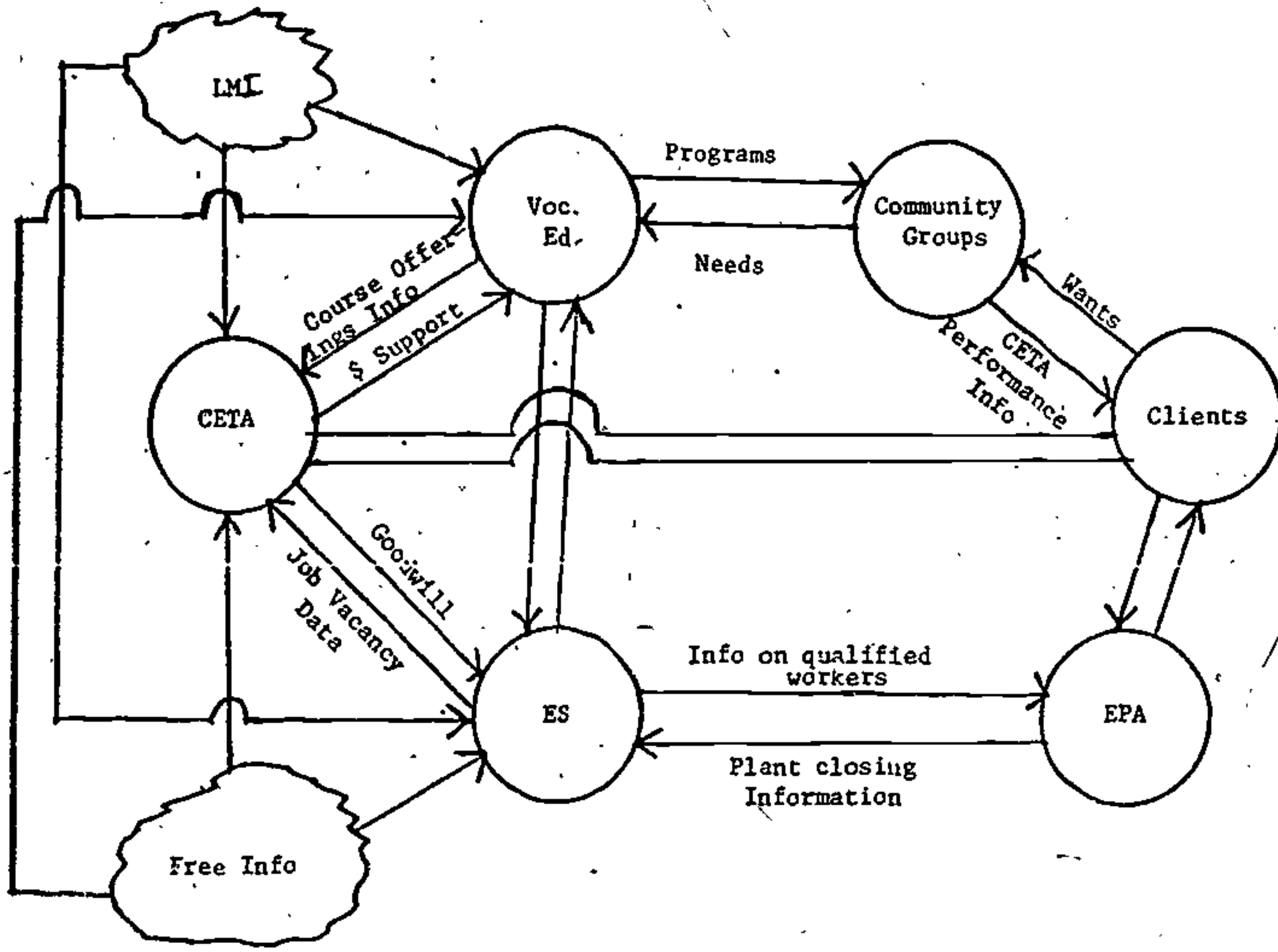
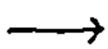


Figure 3 Information Exchange Patterns among Agencies


= Organization or Group


= Unspecified Source


= Line of Exchange

INFORMATION

To some extent each of the four issue areas generate informational needs for an agency operating in the area of employment and training programs. The model of information exchanges and interagency linkage depicted in the preceding pages yields the following diagnostic questions and directions.

My issue group is:____

Our goals are:____

I. Identification of Informational Components

1. What data do you need to solve this problem?

2. What is the form of the data you need?

3. What should be the period of measurement? (weekday, month, year)

4. What should be the frequency of collection?

5. How will this data be used in the performance of your mission?

II. Ability to Collect Data

In order to assess the ability of your organization to acquire the data outlined above in the form desired consider:

6. Which of your data needs do you have in adequate abundance?

7. Who supplies the components you now have?

8. Which components do you not have in adequate quantity?

9. Which components do you not have in adequate quality?

10. Which components do you not have at all?

III. Appropriate Data Posture

In order to establish whether or not an aggressive posture is worth while, we should ask the following questions.

11. How would acquiring the missing informational components contribute to the performance of the managerial task:

    - with respect to the issue at hand?

    - with respect to the total mission of the organization?

12. What costs would be associated with getting the information? (Be specific)

    - Monetary?

    - Political?

    - Organizational?

IV. Feasibility of an Aggressive Posture

In order to determine if an aggressive posture is feasible we can take the following steps.

13. Construct an exchange interaction diagram using the attached format.

    - Identify the significant other organizations in the local manpower system

    - Identify who has the information you need

    - Specify the form in which these data exist

Now that you identified:

- the informational needs of your organization

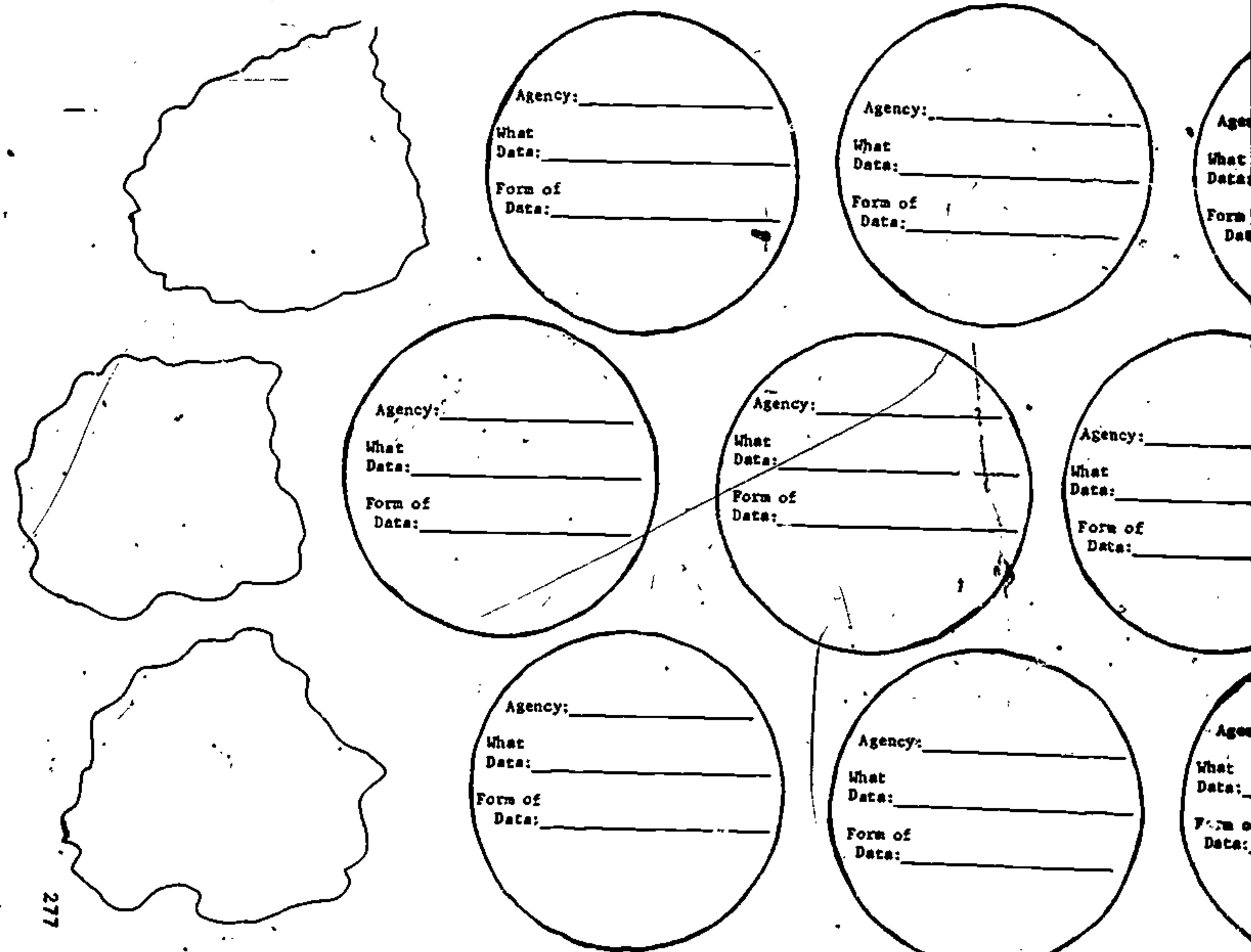
- whether an aggressive posture is worth while

- whether an aggressive posture is feasible

- and where the relevant information is

You are in a position to develop a strategy for acquisition of the needed information for interagency linkage.

Excha.. Interaction Diagram



Exchange Interaction Diagram

Agency: ____________________

What Data: ____________________

Form of Data: ____________________

Agency: ____________________

What Data: ____________________

Form of Data: ____________________

Agency: ____________________

What Data: ____________________

Form of Data: ____________________

Agency: ____________________

What Data: ____________________

Form of Data: ____________________

Agency: ____________________

What Data: ____________________

Form of Data: ____________________

Agency: ____________________

What Data: ____________________

Form of Data: ____________________

Agency: ____________________

What Data: ____________________

Form of Data: ____________________

BUDGETING AND PLANNING

This session emphasizes the budgeting and planning for projects which are determined by the group to be feasible, once other linkages are in place. The group focuses on alternative programs to achieve their goals, and estimates costs and benefits of the alternatives.

The six pages immediately following are a summary reminder of the elements of program and budget analysis.

Program Analysis

I. Characteristics of program analysis

A. Involves the use of many disciplines for the solution of complex problems

B. Scientific method

1. Systematic
2. Objective
3. Reproducible

C. Use of models -- abstract representations of reality

1. Descriptive
2. Predictive
3. Quantitative

D. Evaluation of alternatives

E. Time context is the future

F. Consideration of uncertainty

G. Recognition of externalities

H. Use of judgment -- art vs. science

I. Timeliness

II. Method of program analysis

A. Objective function -- the set of values to be optimized

B. Criterion -- measure of effectiveness

C. Constraints -- limits on the range of feasible alternatives

1. Resources -- money, men, machines, etc.
2. Political -- ward boundaries, interest groups, etc.
3. Physical -- capacity, speed, etc.

D. Models

1. Simple enough to allow analysis and manipulation
2. Detailed enough to include all important variables

E. Development of alternatives

F. Analytical tools

1. Mathematical programming
2. Program Evaluation and Review Technique (PERT)
3. Simulation
4. Scenario construction
5. Cost-effectiveness analysis

III. Cost-effectiveness analysis

A. Definitions

1. Cost-benefit analysis -- benefits usually measurable in money terms
2. Cost-effectiveness analysis -- effectiveness measurable in any terms

B. Evaluation of alternatives

Frequently one hears the statement, "We want the maximum effectiveness at the minimum cost." This is not a rational basis for decision making, as the maximum effectiveness is infinity while the minimum cost is zero. These two states are generally incompatible. There are, however, two rational basis for comparing alternatives:

1. Given a constant level of cost, maximize effectiveness
2. Given a constant level of effectiveness, minimize cost

IV. Measuring costs

A. Estimates may be necessary

B. Full system costs -- include operation and maintenance as well as investment

C. Incidence of costs -- direct costs vs. costs imposed on others

V. Scale factors

A. Limitations of ratios -- cost/effectiveness ratio should not be used unless comparing alternatives of similar scale

B. Diminishing returns -- highest priority alternatives may be attractive for spending the first available dollar. After spending a certain amount in any one direction, however, the effectiveness gained from the last dollar spent in that direction may be less than the effectiveness expected from spending a dollar on an alternative project.

C. Marginal analysis -- optimum mix of expenditures reached when marginal effectiveness from last dollar spent is the same for all alternatives.

The Budgeting Process, Mechanics and Structure

I. Rationality in Management

A. Theory of the firm. The classical economic model assumes that a rational manager acts in such a way as to maximize profits of the firm.

B. Non-profit organizations cannot use profit maximization as a criterion of rational behavior. Nevertheless, they can be managed rationally.

C. It is axiomatic that it is better to have rational management than irrational management. The budgetary process can be used effectively to rationalize management in all types of organizations.

II. Definitions

A. Planning--consideration of objectives of the organization and weighing costs and benefits of alternative activities.

B. Programming--making specific decisions as to which alternative activities will be undertaken

C. Budgeting--assigning ~~resources to the~~ various chosen activities

III. Budgeting Concepts

A. Objects of expenditure (or "line items")

1. Usually required by law
2. Oriented toward control (in a narrow sense--to discourage theft or overspending)
3. Focus on inputs
4. Organization bound
5. Disproportionate ~~in detail~~

B. Performance budget

1. Relates expenditures to scale of activity
2. Focus on efficiency
3. Requires quantitative measurement of work units
4. Organization bound

C. Program Budget

1. Focus on end objectives
2. Considers effectiveness
3. Allows consideration of alternative means of accomplishing objectives
4. Cuts across organizational lines
5. Control at policy-making level

IV. Characteristics of an effective budgetary system

A. Explicit recognition of objectives

B. Program budgeting

C. Extended time horizon

D. Evaluation of alternatives through systematic analysis

E. Reporting of accomplishments

Board of Health—*Continued*

PERFORMANCE DATA—Continued

Code	Activity and Subactivity	Work Units: Name	Work Units: Number Est. 1973	Work Units: Number Budget 1972	Work Units: Number Act. 1971	Personnel: Number 1973	Personnel: Number 1972	Personnel: Man-Hours 1973	Personnel: Man-Hours 1972	Personnel: Man-Hours Per Unit 1973	Personnel: Man-Hours Per Unit 1972	19[illegible]
3114	Bureau of Health Services:		......	......	......	191	190	163,310	161,310	......	......	$2,85
01	Supervisory and clerical		......	......	......	14	12	26,800	21,840	......	......	25
02	Dental treatments given	Each	470,000	440,000	432,443	38	38	43,750	40,670	.09	.09	66
03	Patients examined	Examination	400,000	228,750	326,565	135	136	105,180	111,520	.26	.49	1,90
04	Health education services		......	......	......	4	4	7,280	7,280	......	......	6
3115	Adult Health and Aging:		......	......	......	54	55	91,530	90,38[illegible]		......	6[illegible]
01	Supervisory and clerical		......	......	......	18	18	31,652	3[illegible]		......	20
02	Heart patients visits	Visit	474,370	253,156	233,210	14	15	24,440	[illegible]36	.05	.10	20
03	Cancer patients visits	Visit	54,389	65,921	41,603	9	9	15,938	4,698	.29	.23	10
04	Diabetes patient visits	Visit	59,199	65,548	39,601	7	7	8,580	8,586	.14	.13	9
05	Nutritional guidance visits	Visit	24,300	23,000	18,627	6	6	16,920	10,920	.45	.47	6
3116	Control of Communicable Diseases:		......	......	......	80	83	123,050	127,792	......	......	1,03
01	Supervisory and clerical		......	......	......	33	33	60,060	60,337	......	......	35
02	Health officer's visits	Visit	10,080	17,300	14,748	2	2	1,820	1,820	.18	.11	3
03	Medical interviewer's visits	Visit	40,400	69,500	36,572	12	13	20,020	22,117	.50	.32	16
04	V.D. patient visits	Visit	128,000	117,000	100,225	24	26	26,590	27,187	.21	.23	32
05	V.D. investigations made	Person	50,000	60,000	45,000	9	9	14,560	16,331	.29	.27	16
3117	Contagious Disease Hospital Facilities:		......	......	......	147	155	270,423	284,905	......	......	1,28
01	Supervisory and clerical		......	......	......	16	17	29,120	30,940	......	......	18
02	Patient care provided	Patient day	10,000	10,000	6,362	56	59	101,988	110,093	10.50	11.01	49
03	X-rays taken and interpreted	X-ray	6,500	6,000	5,726	3	4	4,095	6,160	.63	1.03	3
05	Meals prepared and served	Meal	170,000	165,000	153,207	33	34	60,060	61,880	.35	.38	28
06	Laundry processed	Pound	275,000	220,000	251,973	13	13	23,660	23,660	.09	.11	9
07	Providing ambulance service	Round trip	900	1,000	717	4	5	7,720	9,572	8.58	9.57	4
08	Maintaining hospital buildings	Square foot	130,369	130,369	130,369	22	23	40,780	42,600	.31	.33	16

285

Board of Health—Continued

PERFORMANCE DATA—Continued

ITS		PERSONNEL						OPERATING COSTS			
Number		Number		Man-Hours		Man-Hours Per Unit		Total for Year		Av. Cost Per Unit	
Budget 1973	Act. 1971	1973	1972	1973	1972	1973	1972	1973	1972	1973	1972
......	......	191	190	183,310	181,310	......	......	$2,858,233	$2,827,714	......	......
......	......	14	12	26,809	21,840	......	......	250,865	429,542	......	......
440,000	432,443	38	38	43,750	40,670	.09	.09	603,560	520,219	$ 1.41	$ 1.18
228,750	328,565	135	136	105,180	111,520	.26	.49	1,906,942	1,828,166	4.77	7.99
......	......	4	4	7,280	7,260	......	......	66,966	49,767	......	......
......	......	54	55	91,530	90,398	......	......	683,165	684,473	......	......
......	......	18	18	31,652	31,654	......	......	203,833	168,107	......	......
253,166	233,210	14	15	24,440	24,336	.05	.10	209,036	214,003	.44	.85
65,921	41,603	9	9	15,938	14,898	.29	.23	104,974	106,904	1.93	1.62
63,543	39,601	7	7	8,580	8,580	.14	.13	97,486	95,563	1.65	1.46
23,000	18,627	6	6	16,920	10,920	.45	.41	67,786	79,656	2.79	3.47
......	......	80	83	123,050	127,792	......	......	1,032,547	968,340	......	......
......	......	31	33	60,060	60,337	......	......	355,956	329,743	......	......
17,300	14,749	2	2	1,820	1,820	.18	.11	21,156	29,355	3.12	1.70
69,500	36,572	12	13	20,020	22,117	.50	.32	153,836	151,186	3.86	2.18
117,000	100,225	24	26	26,590	27,197	.21	.23	329,191	312,791	2.57	2.67
60,000	45,000	9	9	14,560	16,331	.29	.27	160,408	145,265	3.21	2.42
......	......	147	153	270,423	264,905	......	......	1,289,597	1,180,986	......	......
......	......	16	17	29,120	30,940	......	......	181,212	166,506	......	......
10,000	6,362	56	59	104,088	110,093	10.50	17.01	494,121	454,916	49.41	45.49
6,000	5,726	3	4	4,095	6,160	.63	1.03	51,143	24,117	4.79	4.02
165,660	153,207	33	34	60,060	61,880	.35	.38	284,724	260,751	1.67	1.58
220,000	251,973	13	13	23,660	23,660	.05	.11	90,116	76,466	.33	.35
1,000	717	4	5	7,720	[illegible]	[illegible]	9.57	40,732	47,921	45.26	47.92
130,369	130,369	22	23	40,780	42	.31	.33	164,819	150,209	1.26	1.15

100—Corporate Fund.

Appropriations for expenditures for the fiscal year beginning January 1, 1975 and ending December 31, 1975.

No. 1. CORPORATE PURPOSES FUND—100

MAYOR'S OFFICE.

Code		Amounts Appropriated $
1110.000	For personal services	551,358.00
1110.100	For contractual services	23,850.00
1110.200	For travel	3,750.00
1110.300	For commodities	14,500.00
	Total for Mayor's Office—Executive	593,458.00

Mayor's Committee for Economic and Cultural Development.

1115.000	For personal services	228,467.00
1115.100	For contractual services	11,300.00
1115.200	For travel	3,000.00
1115.300	For commodities	2,000.00
1115.700	For contingencies	250.00
	Total for Mayor's Committee for Economic and Cultural Development	245,017.00

Mayor's Office of Inquiry and Information.

1120.000	For personal services	131,775.00
1120.100	For contractual services	3,000.00
1120.300	For commodities	3,500.00
1120.700	For contingencies	1,000.00
	Total for Mayor's Office of Inquiry and Information	139,275.00

Mayor's Office for Senior Citizens.

1130.000	For personal services	740,224.00
1130.100	For contractual services	129,050.00
1130.200	For travel	17,000.00
1130.300	For commodities	12,500.00
1130.400	For equipment	3,300.00
1130.700	For contingencies	500.00
1130.801	For Community Leadership Development	7,500.00
1130.802	For Retirement Education Program	7,500.00
1130.803	For Advisory Council on Aging	1,000.00
1130.804	To provide for research, planning and service programs for the handicapped	25,000.00
	Total for Mayor's Office for Senior Citizens	944,074.00

Mayor's Office—Budgetary Division.

1140.000	For personal services	52[illegible].00
1140.100	For contractual services	79,550.00
1140.200	For travel	12,725.00
1140.300	For commodities	3,700.00
1140.700	For contingencies	50.00
	Total for Budgetary Division	620,490.00

Source: City of Chicago Appropriation Ordinance for 1975. December 13, 1974; p. 9440.

BUDGETING AND PLANNING

Accomplishing goals requires the development of programs or groupings of functions directed toward goal achievement. With limited resources, we must analyze programs in terms of cost and effectiveness and select alternatives that will best permit us to accomplish our goals with our resources.

The following are some questions that might be considered analyzing programs from a budgeting perspective.

My issue group is: ______________________________

Our goals are: ______________________________

1. What alternative programs could you propose to accomplish the stated goals? Describe them.

   Program A. ______________________________

   Program B. ______________________________

2. What resources are required to perform the activities involved in each program?

A		B
	Personnel	
	Equipment	
	Materials & Supplies	
	Other	

3. How can we estimate the costs of these resources?

A	B

Personnel

Equipment

Materials & Supplies

Other

4. How would you measure the effectiveness of each program?

A

B

5. Are there any other agencies you can think of that might benefit from either program A or B in accomplishing their own objectives?
If you don't know, how can you find out?

A

B

6. Are there any other agencies you can think of that might be able to provide resources (functions, activities) needed for program A or B?
If you don't know, how would you find out?

A

B

7. How would cooperation with another agency permit us to accomplish our goals at a higher level of effectiveness or at lower cost?

288

End