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An analysis of federal delivery systems for early child development services.

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AN ANALYSIS OF FEDERAL DELIVERY SYSTEMS
FOR EARLY CHILD DEVELOPMENT SERVICES

A Dissertation Presented

By

Preston Bruce, Jr.

Submitted to the Graduate School of the
University of Massachusetts in
partial fulfillment of the requirements for the degree of
DOCTOR OF EDUCATION

June 1972

Major Subject: Administration
and Early Childhood Education

AN ANALYSIS OF FEDERAL DELIVERY SYSTEMS
FOR EARLY CHILD DEVELOPMENT SERVICES

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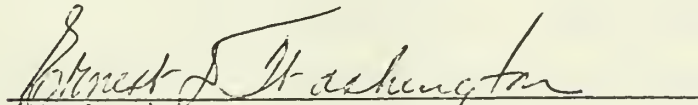
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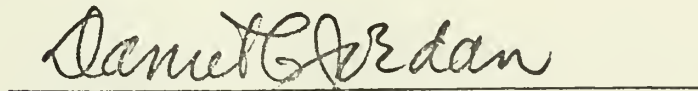
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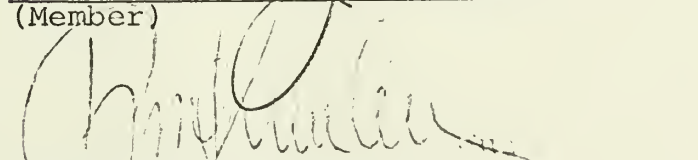
(Head of Department)



(Member)



(Member)



(Dean, School of Education)

June 1972

"Now, as always, I am for any movement whenever and wherever there is a good cause to promote, a right to assert, a chain to be broken, a burden to be removed, or a wrong to be redressed."

FREDERICK DOUGLASS
Arkansas Mansion
Bloomington, Illinois
April 12, 1884

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A special debt of appreciation is extended to Dr. Arthur Eve, Dr. Daniel Jordan, Dr. Ernest Washington and Dr. David Flight for their unceasing interest, guidance, patience and support throughout the development of this document from a concept to a reality.

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T A B L E O F C O N T E N T S

PREFACE	vii
CHAPTER	
I. AN OVERVIEW	1
Introduction	1
Statement of the Problem	9
Design of the Study	11
Significance of the Study	12
Limitations of the Study	13
Definitions of Terms	14
Summary	17
II. REVIEW OF THE LITERATURE	21
Introduction	21
National Issues	21
Legislative Development	26
Impact on Children	59
Psychological Implications	59
Learning Patterns	64
Critical Needs	71
III. EXISTING DELIVERY SYSTEMS	75
Introduction	75
Problems Associated with a Delivery System	78
Current Programs in Support of Early Child Development Services	84
Examinations of Three Basic Models	97
Effects of Delivery Systems on Minority Population	108
IV. AN EFFECTIVE DELIVERY SYSTEM	119
Introduction	119
Services Integration	120
Definition	128
Functions	128
Issues	134
Needs	141
Elements	146

Alternatives	149
Joint Funding Model	149
Income Maintenance Model	154
V. IN SUMMARY	161
Introduction	161
Summary	166
Conclusion	169
Recommendations	170
APPENDICES	
A. FUNDING ARRANGEMENTS	178
B. ORGANIZATIONAL SCHEMES	185
C. CHILD CARE FINANCING MECHANISMS	191
D. MAJOR POINTS IN SERVICE DELIVERY	196
BIBLIOGRAPHY	197

P R E F A C E

This document is intended to provide an accumulated body of information on current federal delivery systems in one source. Its basic premise is that the various methods by which early child development services are delivered to consumers and the impact that delivery system has on the consumer is worthy of independent study. Although the dominant emphasis is on early child development systems, the reader will appreciate the applicability of many of the characteristics to all social service delivery systems. As far as possible, the research process is presented as a unit, with enough discussion on techniques and the development of ideas to make the reader aware of the potential for additional research as well as the results already achieved.

Chapter I of the document introduces the reader to delivery systems and some of the problems which exist in relation to them. In this chapter, the author gives a statement of the problems surrounding the study, the research design of the study and the significance and limitations of the study. A glossary of terms is provided to aid the reader, followed by an overview of the entire paper.

Chapter II reviews the literature relevant to the study through a discussion of national issues and a chronology of child care legislation. Chapter II concludes with an examination of the impact of delivery systems in support on children and their families as reflected in the psychological implications, learning patterns and critical needs.

In Chapter III, the author examines existing delivery systems in support of early child development. Related problems are discussed, followed by a description of five major child care programs and the three models for service delivery which are used in implementing the programs at the local level. Chapter III concludes with a discussion of the effects of delivery systems on minority populations.

Chapter IV is devoted to the author's conception of an effective delivery system. In this chapter the author discusses what makes an effective delivery system, outlines its elements, and develops an operational design for such a system.

Chapter V summarizes the document and the author's conclusions about the study. Several recommendations based on these conclusions end the document.

The concept of preparing such a document as this was generated by six years of active involvement in the development of programs and the delivery of services through these programs in six major federal agencies - Office of Education, Office of Economic Opportunity, Department of Housing and Urban Development, Division of Head Start, Children's Bureau and the Office of Child Development.

C H A P T E R I

AN OVERVIEW

Introduction

The author finds it appropriate to delineate the boundaries of this study for the reader at the very outset of the document. The term "analysis," which is used in the title of the document and throughout its context can be defined and interpreted in a variety of ways, depending on the perception of the reader. Therefore, the author will determine for the reader, in advance, what he should expect in this particular "analysis."

Methods of social research can be classified in a number of ways. Based on the purpose for the collection of data, the three methods of social research are (1) exploratory studies, in which familiarity is gained or new insights are achieved to guide further research; (2) descriptive studies, which identify and examine the characteristics of the objects of research and their associations with one another; and (3) hypothesis-testing studies, which focus on the collection of data to confirm a given hypothesis, or set of hypotheses, and

therefore determine the validity of the theory.¹ Based on classification according to purpose, this study is a descriptive study, examining the characteristics of Federal delivery systems and their interrelations.

If one classifies the method of research in terms of the technique employed in collecting data, the research may be based on observations, interviews or analysis of documents.² Classified according to technique, this study is an analysis of documents, interpreted in light of personal observation and participation.

The analytic method of research as it is used by this author is employed as a systematic examination of a number of federal organizations and delivery systems in order to clarify relationships and duplications in their characteristics.

To begin a discussion of federal delivery systems for early child development services, one needs to define the term delivery system. This author uses the term to describe the mechanism by which funds are allocated, resources are mobilized and technical assistance is provided so that the objectives of a particular program or service are realized by the target population for which the program

¹Claire Selltiz et al., Research Methods in Social Relations (New York: Holt, 1959), pp. 50-51.

²Peter M. Blau and W. Richard Scott, Formal Organizations (San Francisco: Chandler Publishing Company, 1962), p. 16.

was originally intended. With this definition in mind, one can begin to examine the gradual emergence of federal delivery systems for early child development.

Current widespread concern with effective administration of educational and other service programs has propelled delivery systems design to its present position as one of the most crucial of public policy issues. This spot-lighting of delivery design is due to the combined forces of legislative proposals related to the reorganization of Federal Departments; studies for program consolidation and integration within the United States Department of Health, Education and Welfare; the emergence of the "New Federalism" philosophy; and consistent pressure by the consumer for greater involvement in the development and implementation of programs which are to serve them.

Increasingly, the public service agencies are assuming a leadership role in the development of innovative comprehensive community service delivery systems for pre-school children and their families, in an effort to provide services which are more responsive to the needs of the people who, and the communities which, are the ultimate consumers of these services.

The efforts required to plan and develop comprehensive delivery systems for pre-school children and their families present one of the greatest challenges ever

undertaken by program planning organizations. At the same time, individuals and organizations are becoming increasingly cognizant of the great potential that such systems contain for making human services more relevant to the lives of the individual consumer and for upgrading the quality of community life as a whole.

The growing consensus in our nation about the importance of the early childhood years found voice in a Presidential message. Speaking to Congress on educational reform, President Nixon said:

"One of my first initiatives upon taking office was to commit this Administration to an expansion of opportunities during the first five years of life. The Commitment was based on new scientific knowledge about the development of intelligence -- that as much of that development takes place in the first five years as in the next thirteen."³

While there may be a consensus on the importance of the early childhood years for subsequent physical health, intellectual development, self-esteem, and social interaction, there is little agreement on the goals for child development services. Definitions of "child care" and strategies to achieve it differs from one federal program to another. Consequently, planning on a national

³Message from the President of the United States on Educational Reform (Washington, D.C.: House of Representatives, Document No. 91-267, March 3, 1970), p. 9.

scale to provide quality child development or child care services, especially for those children who will be deprived in the absence of governmental planning and action, is a challenge of the highest order.

Historically, the Federal Government, through its many agencies, has managed to bypass or circumvent disadvantaged, indigent and minority groups in the creation of new programs supposedly designed to meet the needs of these groups. Those for whom the programs were created were involved in the program design, planning and operation in a manner which can be labelled as something short of tokenism. In the past, this method of operation has been standard in all types of community action programs, and it is being repeated in the field of early childhood care, education and development.

The Federal Government has established several early childhood intervention programs designed to foster greater intellectual development in disadvantaged preschool children. Head Start was one of the first of these programs. The Westinghouse Report on Project Head Start⁴ concluded that in an intervention program such as Head Start the intellectual gains attributed to participation

⁴V. Cicirelli, W. Cooper, and R. Granger, The Impact of Head Start: An Evaluation of the Effects of Head Start and Children's Cognitive and Affective Development (New York: Westinghouse Learning Corporation, 1969).

in the program had dissipated by the time the child reached the third grade.

It is this author's opinion that for a program to have significant impact on a child, it must involve and influence the parents, the community and the school system in which the child is going to continue his education. The important time to begin this impact is during the early childhood years.

"Too many people still believe that the high school dropout problem will be solved if children are forced to stay longer in school. The emphasis. . . should shift to the other end of the age scale, with provision for the acquisition of intellectual skills at a time in life when children can best use the opportunity -- that is, between the ages of two and six. The Head Start Programs are the merest beginning."⁵

Not only is Head Start a mere beginning, but also, intellectual development is merely a beginning. Delivery systems must address themselves to the total child and his total development. Bruno Bettelheim⁶ believes that emotional development begins at birth, so early child development programs need to focus on emotional and social as well as intellectual development.

This document is designed as a descriptive study -- not of communities but of delivery systems (specifically,

⁵Muriel Beadle, A Child's Mind (New York: Doubleday and Company, 1970), Preface, p. xxii.

⁶Bruno Bettelheim, The Empty Fortress (New York: The Free Press, 1966).

federal delivery systems concerned with early child development programs) -- which will examine very carefully those mechanism that are employed in delivering services to the consumer. The total mechanism used for obtaining resources for a program is often more important than the program itself. For it is the overall design, flexibility and operation of this mechanism that ultimately shapes the goals and objectives, and determines the operational organization and future success or failure of the actual program. The general public, however, is unaware of the reasons why specific programs do not work, and are conscious only of the ineffectiveness of the program. One of the primary purposes of this paper is the development of a document which will put into the hands of early child development service consumers, knowledge about the delivery of such services which has heretofore been unavailable to the average consumer.

Traditionally, the research which has been done on the developmental processes of the early childhood years (e.g. the research done by Bruno Bettelheim and Jean Piaget⁷) has been translated into public policy action through the development and implementation of

⁷Jean Piaget, The Construction of Reality in the Child (New York: Ballantine Books, 1954).

programs such as Head Start. Researchers have not, for the most part, taken into account a critical assessment of the means by which programs are rendered -- that is, the mechanism by which services are delivered.

In a democratic, pluralistic society, no system of intergovernmental relations can be established through a single action, or even a series of actions; it evolved. But the evolution, if the result is to be a system of relationships, rather than a jumble, must be guided according to a consistent set of principles and governing doctrine.⁸

The system of relationships of which James Sundquist speaks is the heart of the mechanism for delivering services to the public. The community action agencies (CAA's), one of the principal means of getting essential services to the local community since their establishment in 1964, were described by OEO as being formed "to mobilize available resources, public and private, for a coordinated attack on poverty."⁹ The CAA's as such, have disappeared in many communities, but the nuclei of these organizations, and the basic philosophy of mobilization and coordination which was their foundation, has remained in those local organizations

⁸James L. Sundquist, Making Federalism Work (Washington: The Brookings Institute, 1969), p. 278.

⁹Office of Economic Opportunity, Community Action: The Neighborhood Center (Washington, D.C.: July, 1966), p. ii.

which now serve as the primary provider of services to the community.

Services are delivered through institutionalized systems (e.g. education, health and welfare, and social). This paper will examine the basic objectives of quality child development in terms of these institutionalized delivery systems and their effects on child development programs.

Statement of the Problem

There are three basic components of the existing agencies for service delivery which set definite limits to their ability to mobilize and coordinate efforts and resources within their communities. These three basic components and their inherent limitations combine to form the primary problem faced by the planners of early child development service delivery systems -- How to overcome the limitations built into these basic components by the bureaucracy of federal agencies and to develop a delivery system which will maximize the theoretical function of each, while minimizing practical limitations. A brief examination of the three components will provide greater insight into the problem.

1. Community involvement.¹⁰ -- Since the communities served by local agencies are in "disadvantaged" areas, the majority of residents are members of a minority population. Consequently, their participation in the programs sponsored by local agencies in the community, automatically gives the program the connotation of being civil rights oriented in the eyes of higher authorities in the politics of the county or state. As a result, immediate hostility is often generated among political personnel.

2. Lack of comprehensive planning. -- In order to facilitate the formation of local agencies and organizations, Federal guidelines for comprehensive planning were loosened and grants were given before programs were really ready to be put into operation from the planning end of the spectrum. Consequently, comprehensive planning often did not occur, and many agencies and organizations which have been in operation for seven years under one title or another, are now having to rework their entire organizational structures and operational techniques in order to provide comprehensive service delivery to their consumers.

3. Budgeting. -- Budget limitations have, from the beginning of the "war on poverty," acted as insurmountable

¹⁰Emphasis on community involvement and participation is a direct reaction to the "Maximum Feasible Participation Clause" of the Economic Opportunity Act of 1964.

objects to communities, because money was not available to allow for expansion as readily as communities were ready to proceed. Budgetary limitations prevent local planners from implementing programs designed to meet the specific needs and problems of the local community because there are no funds for their implementation.

This study is designed as a descriptive narrative which will provide a comprehensive analysis of existing delivery systems for early child development services, followed by the author's view of an effective delivery system for these services.

The study will be concerned with three primary problems:

1. To describe the historical emergence of early child development delivery systems through federal legislation, with particular emphasis on the impact of such legislation on children.
2. To describe and analyze the structure and functions of existing federal delivery systems, with specific focus on three models for service delivery -- federal, state and local.
3. To delineate the elements and operational design of a proposed delivery system for early child development services.

Design of the Study

The study will describe, in chronological terms, the legislative development of early childhood delivery

systems and the impact of this legislation and resulting programs on children.

It will examine the problems associated with the development of delivery systems; current programs in support of early child development services and the three basic models followed by such programs; and the effects of delivery systems on minority populations.

It will outline the author's view of what an effective delivery system should be; including a definition of such a system, the elements necessary to its effectiveness, and its operational design.

The author will gather the data for each of the major problem areas through utilization of:

1. Federal legislation,
2. Federal policy guidelines for various programs,
3. Descriptions of existing early child development programs, and
4. Personal experiences in several capacities within the federal government.

Significance of the Study

Justification for this study is provided in the lack of available information on the intricacies involved in the systems by which social services are delivered to the consumer. The significance of this document rests in its comprehensive examination of existing service delivery

systems and their strengths and weaknesses. An in-depth review of the literature provides the reader with a broad background of the history and development of service delivery systems, particularly as they affect early child development programs.

The information contained in this document has value as a guideline in the future revisions of social service delivery systems. In addition, this study can provide a substantial base for the development of other studies in other areas of social delivery systems. Finally, recommendations for changes included herein provide an architectural framework for the complete reconstruction of existing social service delivery systems.

Limitations of the Study

1. The descriptive nature of this study automatically limits its implications to the area described. The study cannot be generalized except as these generalizations relate to social service delivery systems; and specifically to systems for the delivery of social services to young children and their families by the federal government.

2. A second limitation is the peculiar nature of the issue itself. The systems by which social services are delivered to consumers by the federal government are

numerous, complex and often difficult to identify. Hence, this writer has concentrated on federal systems for service delivery as related to early child development programs.

3. A further limitation on the study rests with the difficulty of applying theory to practice in actual operational situations.

4. Finally, the study is limited in that the major portion of the data collected is federal data. State and local regulations are equally important and influential. However, many state and local policies in the area of child care represent an outgrowth of federal policy, therefore an in-depth understanding of federal manipulation provides for an easy transition to understanding state and local manipulation.

Definition of Terms

1. Attitudinal development: the development of those attitudes which will help or hinder productive involvement in the learning process.
2. Cognitive development: the acquisition of the full complement of concepts and the techniques of using them which underlie the rational thinking of adults.
3. Comprehensive planning: planning which involves all factors in development including health, home environment, nutrition, total family education and social interaction.
4. Delivery system: mechanism by which services are channeled from providing bureau or agency to local consumer.

5. Disadvantaged-deprived: terms often used interchangeably to describe an individual or a group of people who are at a disadvantage in American society because they have been deprived of some educational or cultural background experience typical to the development of white middle-class Americans. Also used to describe the geographical location of the individual or group.
6. Early child development: the social, emotional, physical and intellectual development which takes place in a child between birth and five years of age.
7. Horizontal coordination: coordination which takes place between two or more agencies having equal authority.
8. Intervention programs: programs which interrupt the natural home environment and social development and serve as intermediaries to aid individuals in overcoming what has been defined as an inadequacy in their developmental background.
9. Joint funding: mechanism for coordinating the distribution of monies from several funding sources into one budget for allocation to communities; so that one program may be receiving funds from several sources jointly.
10. Negative reinforcement: punitive reward for non-acceptable behavior.
11. Perception: a physical sensation interpreted in relation to the experiential background of the observer.
12. Positive reinforcement: pleasant reward for acceptable behavior.
13. Service organization: an organization whose basic function is to serve clients.
14. Social environment: the surroundings in which the major portion of interpersonal relationships are developed and the individuals involved in these relationships.
15. Vertical coordination: coordination between one or more agencies or departments whose authority covers several sequential layers.

16. Community Coordinated Child Care (4-C): a multi-level coordinating mechanism which mobilizes and organizes local, state and federal-regional organizations concerned with the delivery of child care services.
17. AFDC: Aid to Families with Dependent Children; located in the United States Department of Health, Education and Welfare.
18. BIA: Bureau of Indian Affairs; located in the United States Department of the Interior.
19. CAA: Community Action Agency; located in the United States Office of Economic Opportunity.
20. CAP: Community Action Program; operated by local community action agency.
21. CEP: Concentrated Employment Program; located in the United States Department of Labor.
22. HEW: the United States Department of Health, Education and Welfare.
23. HUD: the United States Department of Housing and Urban Development.
24. OE: Office of Education; located in the United States Department of Health, Education and Welfare.
25. OCD: the Office of Child Development; located in the United States Department of Health, Education and Welfare.
26. OEO: the United States Office of Economic Opportunity.
27. WIN: Work Incentive Program; located in the United States Department of Health, Education and Welfare (child care portion only).

Summary

The increased level of education and sophistication and the broadly-based distribution of power which have accompanied the rapid expansion of technology and industrialization in the Western world, have been instrumental in heightening demands for greater participation in benefits, protections, opportunities and advantages. Productivity, increasing at the same rate, has provided greater investments in and rewards to the consumer. One must, therefore, view social welfare programs and their delivery mechanisms, in the general context of those forces shaping the welfare state. "Where once they (social welfare programs) met limited and inescapable necessities and modest consumer claims, they now face more options and more demands."¹¹

The United States, at this point in time, finds itself capable of immeasurable potential for productivity, and consequently, innumerable options for the allocation of benefits to the people. We have reached a point in history where individual and collective interests must be integrated, coordinated and interrelated if social delivery systems are to be meaningful, relevant and effective. Our

¹¹Alfred J. Kahn, Theory and Practice of Social Planning (New York: Russell Sage Foundation, 1969), p. 47.

priorities must be redefined and reestablished, and our definition of quality life style must be clarified in terms of its individual meaning.

Bell has described this transition through which America is now going as being a transition from a contractual to a communal society. In this conceptual framework for reference, the issues become: (1) social choices and collective decisions; (2) participation; and (3) privacy.¹² Social planning in the United States is only partial planning and Wilensky uses most appropriate terms in describing ours as a "reluctant welfare state."¹³

This document is a review of the history, development, and current state of federal service delivery systems and related programs. The document was developed primarily to provide the general public with a large reservoir of information heretofore unavailable in one resource. What this author has extracted from the vast complexities of federal government is those particular methods by which federally-assisted programs deliver services to pre-school children and their families.

The reason for undertaking this study is quite simple. There is a great deal of knowledge about the

¹²Daniel Bell, Toward the Year 2000, "Summary," p. 97.

¹³Harold L. Wilensky, Introduction to the paperback edition, Industrial Society and Social Welfare (Glencoe, Illinois: The Free Press, 1955).

that is responsible for the perpetuation of such failure. It is the general public which either is unaware of or has chosen to ignore knowledge and information which could be put to use to help the entire social delivery system become more viable. Having a large majority of this knowledge and information condensed into one volume may propel the general public into taking constructive action toward the recreation of the present social service delivery system into a vehicle for effective social modification and improvement.

The next chapter will examine the emergence of delivery systems for child development services through the chronological development of federal legislation.

C H A P T E R I I

REVIEW OF THE LITERATURE

Introduction

Chapter II will examine the development of federally-assisted child development programs from an historical perspective. This chapter will describe chronologically the legislative development of early childhood service delivery systems and will analyze the impact of this legislative and resultant programs on youngsters. Several national issues surrounding child care in America will also be outlined.

National Issues

A brief examination of contemporary child care needs will raise several national issues that must be confronted in the near future. The needs can be classified under three headings: quantity, quality and coordination. First, there is a need to extend the number of services so that more children benefit from them. Second, the quality of present programs needs to be upgraded. Thirdly, services need to be coordinated so that there is maximum utilization with minimum expenditures.

In a study for the White House Conference on Children some projections about child care arrangements were made based on data obtained from three studies conducted between 1960 and 1966. In the communities that were surveyed, the number of children cared for in group facilities was far less than the number cared for in group facilities was far less than the number cared for in homes, or for that matter, the number who simply looked after themselves.¹ Although there has been, in recent years, a startling increase in more organized services, often through community-based groups and franchised operations, we are still far from meeting the need.

It is estimated that at least half of America's children under six years of age are regularly cared for outside of their homes for part of the twenty-four hour day. In 1969, data collected by the Department of Health, Education and Welfare indicated that only 2 or 3% of those children needing day care services were receiving them in a licensed facility.² Moreover, it is estimated that no State has the capacity to serve more than 6% of the projected population needs.³ It is

¹The statistics mentioned here and in the following paragraph are taken from a paper prepared for the White House Conference on Children, titled, Day Care and Pre-School Services: Trends in the Nineteen-Sixties and Issues for the Nineteen-Seventies, Jane Knitzer and Ronald K. Parker, pp. 9-11.

²Knitzer and Parker, Ibid., p. 12.

³Knitzer and Parker, Ibid., p. 13.

obvious, therefore, that the need for child care services greatly exceeds the present availability of services and the capacity of local and state governments to supply all those that are needed.

The second area of need is for quality child care services. Without denying the valiant efforts that have been made by advocates for children, it is still safe to state that many pre-school programs for the 3-5 year old child are primarily custodial. Before and after school care for children between the ages of 6 and 16 is no better, and in some cases, worse.⁴ Lacking resources, funds, and trained personnel, local and state solutions to the needs are unsatisfactory in terms of quality. In many cases, there is no planned program to foster the physical, emotional, intellectual and social development of the child.⁵ To attain at least minimal level of quality, programs must begin to reflect attention to the specific needs of the child, viewed in the context of his family and the entire community. Unless solutions involve both the family and the community, they will be short-sighted and ephemeral.

⁴Women's Bureau and Children's Bureau Joint Report, A Consultation on Working Women and Day Care Needs (Washington, D.C.: U.S. Department of Labor, 1967), pp. 3-4.

⁵Women's Bureau and Children's Bureau, Joint Report, Ibid., p. 4.

Although, on the one hand, child care services instituted on a large scale leave much to be desired, on the other hand, high quality programs have been developed by universities, educational research and development centers, and other private endeavors. There are specialists who contend that the expertise and strategies to foster positive child development exist.⁶ It is a question of utilizing and implementing on a mass scale those research findings that are widely accepted as valid. Without committing funds to the development of training programs and effective delivery systems, however, the bulk of this nation's children will not profit from the advanced research and knowledge attained by a small segment of our society.

Thirdly, it has become apparent that in a situation of extensive need and limited resources, coordination is a key both to the expansion and upgrading of services. It is not a question of introducing new programs and thus duplicating and fragmenting scarce resources still further, but of expanding and upgrading present resources and services through coordination. There are already approximately 200 federal assistance

⁶Knitzer and Parker, *Ibid.*, p. 5. There are still too many questions surrounding the value and goals of infant care programs to promote its institutionalization on a mass scale.

programs in the child care field, each with its own goal, administrative procedures, funding process, eligibility requirements and program design.⁷ To increase the kinds and types of services, to improve the quality of these services, and to enable children to experience a sense of continuity in the care they receive, a vast effort of coordination is necessary.

The issues, therefore, that confront the federal government and the nation are basically three. First, national goals and priorities need to be clarified and consolidated. Is the goal to provide child development services on a wide scale, or to assist working mothers? Will federal programs be developed for all children in need, or will only low-income, minority group children be eligible?

Secondly, what constitutes good care and adequate child development programs spanning the prenatal to young adult years? Implicit in this question is the issue of the basic rights of children. Do they have a right to an acceptable quality of life, including health, nutrition and an affective and social environment conducive to their growth and development? Is it the government's responsibility to make such services available to children?

⁷Irving Lazar, Federal Programs for Young Children (Washington, D.C.: Appalachian Regional Commission, 1970), Table of Contents.

Thirdly, goals and programs require a delivery mechanism that is both economical and effective. It should be flexible and increase options for a broad range of services. It should provide both comprehensive and quality child care and be available to all children in need. To design and develop such a national delivery system for child care services is dependent upon national commitment, a firm legislative base and financial support.

An examination of federal legislation concerned with child care which has been passed during the last four decades will show how this country is gradually moving toward the development of such a system.

Legislative Development

Child care needs and services have been variously defined in the course of the last forty years. In the 1930's and 1940's they were defined in relation to a rapidly growing need or as a response to crisis. In the history of these two decades, public support of day care programs was provided, not out of concern for the welfare of children, but to meet national needs. Federally-assisted efforts on behalf of children were related to conditions within the larger society rather than to the specific needs of children.

Day care services were funded by the federal government during both World Wars, when women were needed in the labor force and when many husbandless mothers needed employment.⁸ During the Depression of the 1930's, federally-assisted day care centers were opened primarily to provide employment for unemployed teachers and domestic workers. During World War II, the critical need for day care became a national problem, spanning the social and economic classes.⁹

In 1943, Congress passed the Lanham Act which allocated federal funds for up to 50% of the costs of facilities for day care or extended school services for those children whose mothers were employed in defense production efforts.¹⁰ At their peak in 1945, the centers provided by the Lanham Act services 1.6 million children.¹¹

⁸Irving Lazar and Mae E. Rosenberg, "Day Care in America," Day Care: Resources for Decisions, ed. by Edith H. Grotberg (Washington, D.C.: Office of Economic Opportunity, Research and Evaluation, 1971), p. 61.

⁹Lazar and Rosenberg, *Ibid.*, p. 61.

¹⁰Lanham, Community Facilities Act of 1943 (Washington, D.C.: Government Printing Office, 1943).

¹¹Lazar and Rosenberg, *Ibid.*, p. 61. (In contrast, a quarter of a century later, in 1970, only 1.3 million children were cared for in some type of day care arrangement, although the population has increased 40% during that period.)

Subsequent to the 1930's and 1940's, the federal government did not take an active role in providing child care services, other than through the Aid to Dependent Children (ADC) Program.¹² In 1962, the Social Security Act authorized money for day care as a child welfare service, codified as Title IV-B of the Act.¹³ The legislation was directed primarily at upgrading state licensing procedures for day care facilities.

In the latter half of the 1960's, national awareness of the anachronism of poverty in a nation of technological superiority and abundance of resources gave impetus to a rash of government programs hopefully designed to eradicate this social ill.¹⁴ They were based on the thesis that if comprehensive quality care was provided for pre-school children, the problems which they usually encountered upon entering the public school system, and which only increased with the passing years, would be overcome.

In 1964, the passing of the Economic Opportunity Act¹⁵ gave national status to the child development

¹²Social Security Act, Original Act (Washington, D.C.: Government Printing Office, 1935).

¹³Social Security Act, Amendments of 1962, Title IV-B (Washington, D.C.: Government Printing Office, 1962).

¹⁴Legislative Acts of the 1960's included several major programs focusing on the needs of pre-school children from low-income families.

¹⁵Economic Opportunity Act (Washington, D.C.: Government Printing Office, 1964).

program called Project Head Start. As a strategy to break the cycle of poverty, its goals were not merely protective and custodial, but also developmental. To communicate a positive self-image and to develop cognitive skills were important objectives of the program design. Other program elements supported these objectives -- health, nutrition, social and psychological services, a career development program for staff, and research and evaluation components.

In order to place the impact of the Economic Opportunity Act and Project Head Start in proper perspective, it might be well to look at some of the "behind-the-scenes" developments which took place during the first year of implementation.

The Economic Opportunity Act of 1964 was the first legislative mandate for community involvement. During the early growth stages of the Office of Economic Opportunity, the author served as a community analyst and review consultant. At this time, communities had the option of developing whatever programs they perceived as necessary to their particular community. A large majority of the programs submitted by communities during the first year that OEO was in operation included an educational component with emphasis placed on pre-school, day care arrangements.

Consequently, when OEO found itself with unused funds in the spring of that first year, the focus was shifted from the establishment of CAA's to the establishment of a summer pre-school program. Thus, Head Start was created as a last minute means to use up allocated funds, while at the same time meeting as expressed community need.

Although some experts in the field of early childhood education were brought in to help in the development of that first Head Start Program, time did not allow for careful consideration of contingencies, or a careful examination of alternatives. Consequently, Head Start programs were placed under the administration of whatever community-level organization was best equipped to handle it during the summer of 1965.

Many communities had not yet established Community Action Agencies, but wanted to take advantage of the Head Start package. In this way, many single-purpose agencies, such as the local school system, became the grantee for Project Head Start.¹⁶

During the second year of OEO's existence, Project Head Start became truly operational on a year-round

¹⁶E.G., This happened in Mingo County, West Virginia, in the summer of 1965. The CAA was not operational yet, so Project Head Start was placed under the jurisdiction of the schools.

basis, but the method of delivery of Head Start Programs was never carefully planned nor were future ramifications considered. The problem of future effectiveness was not that Head Start was under the jurisdiction of the Office of Economic Opportunity, but that it was forced to utilize the delivery mechanism for the Office of Economic Opportunity which happened to be the local Community Action Agency. In retrospect, one is forced to raise the question as to whether or not the CAA's were the most appropriate agencies to provide the services called for in the Head Start objectives.

Since it was felt that much of the effectiveness of outside-the-home care depended on the attitudinal support and cooperation of parents, Head Start Program planners designed a significant program for parental involvement.¹⁷ Parents participate on three organizational levels. On the local center level, they are members of the Head Start Center Committee. They are on the Policy Committee at the delegate agency level, and on the Head Start Policy Council at the grantee level. Although significant inroads were made in the Head Start Program, effective parental involvement is an issue that has

¹⁷Project Head Start Pamphlet, Parents Are Needed (Washington, D.C.: Office of Economic Opportunity, 1967).

not yet been satisfactorily resolved by planners of early child development programs.

The Head Start Program made some radical departures from other Federal grant programs in terms of its administrative procedures. The Federal Regional Office dealt directly with the grantee on the local level, providing funds and technical assistance to the local organization giving evidence of commitment and capability in conducting the program. This operational procedure not only built in a degree of flexibility in determining the program sponsor, but also disentangled the program from the network of agencies and concomitant political jungle at the state level.

Project Head Start is significant as the first Federal program which sought to provide comprehensive quality care to pre-school children of ages 3-5 years, although it is interesting to note that during the legislative review procedure, the legislators never considered the method by which such comprehensive planning would take place. Emphasis was on the services themselves rather than on the identification of the most practical method for insuring the effective delivery of these services.

In 1970, Project Head Start services 262,000 children in full-year/full-day programs.¹⁸ Although it may not have achieved one goal it set out to accomplish, the condition of poverty not being amenable to quick and easy solutions, it has made an intense impact upon national attitudes toward early child development. Head Start has, in fact, become the basic model for programs whose strategy is compensatory/preventive intervention. Through the Head Start Planned Variation Program¹⁹ eight pre-school models were introduced on a one-year pilot basis; each model being implemented in two communities. Below is a brief description of the eight models:

1. A pragmatic action-oriented model, sponsored by the Education Development Center in Newton, Massachusetts, was inspired by the English Infant Schools. Its objective is to fashion classroom environments responsive to the individual needs and styles of children and teachers.
2. The academically-oriented pre-school model is sponsored by Wesley Becker and Siegfried Engelmann of the University of Oregon. It promotes academic learning in reading, arithmetic and language through structured drills and reinforcement techniques.

¹⁸Annual Head Start Report (Washington, D.C.: Department of Health, Education and Welfare; Office of Child Development; Project Head Start, 1970).

¹⁹Joan S. Bissell, Implementation of Planned Variation in Head Start: First Year Report (Washington, D.C.: Department HEW/OCD, 1971), pp. 5 and 6.

3. The behavior analysis model was developed and is sponsored by Don Bushell of the University of Kansas. The goal of the program is to teach children needed subject matter skills such as reading and arithmetic through systematic reinforcement procedures using a token system and through individualized programmed instruction.
4. The Bank Street College model, developed and sponsored by the Bank Street College of Education in New York City, represents a "whole-child" approach in which the ultimate objective is to enable each child to become deeply involved and self-directed in his learning.
5. The Florida parent-educator model, developed and sponsored by Ira Gordon of the University of Florida, uses both classroom and home instruction through parent-educators. A parent educator is a mother from the local community who works both in the classroom as a teacher's aide and with parents in their homes. It is a cognitively-oriented program based on the theories of Piaget and other developmental psychologists.
6. The Tucson early educational model, originally designed by Marie Hughes, is sponsored by the University of Arizona. It emphasizes the development of language competence, intellectual skills, motivation, and social skills through providing children with freedom to choose activities, through fostering cooperation among children, and through systematic positive reinforcement from teachers.
7. The responsive model, designed and sponsored by Glen Nimnicht of the Far West Laboratory for Educational Research and Development, is focused on helping children develop both a positive self-image and intellectual ability through use of a responsive environment which consists of self-pacing and self-rewarding materials.

8. The cognitive model, developed and sponsored by David Weikart of the High Scope Educational Research Foundation, presents a cognitively-oriented pre-school program derived from the theories of Piaget; the model emphasizes the importance of home training sessions with mothers and of decision-making roles for teachers.

A negative note was sounded and illusions were shattered when several research findings²⁰ raised questions about the impact of intervention programs such as Head Start on the cognitive and emotional development of individual children. The research concluded that gains attributed to the pre-school program were dissipated by the time the child reached third grade.²¹ On first thought, such data might be interpreted as obviating the value of pre-school intervention. It could also point out the need for continuity in program design. The question was raised whether the school system, incorporating a different philosophy of education and methods of teaching, might not negate the gains made in pre-school intervention programs. Subsequently, the Office of Education in cooperation with the Office of Economic Opportunity, developed the Follow-Through Program. It is funded under Title I of the Elementary and Secondary Education Act (ESEA) of 1965.²² The

²⁰Westinghouse, 1969; Jensen, 1969; Gordon, 1969; Schaefer, 1970.

²¹J. Ronald Lally, A Day Care Center for Young Children (New York: Syracuse University, Department of Child and Family Studies, 1971), p. 2.

²²Morse, Elementary and Secondary Education Act: Title I, H.R. 2362 (Washington, D.C.: Government Printing Office, 1965).

State education agency sub-allocates grants to local educational agencies. It is presently serving approximately 35,000 children.²³

Title I is itself a legislative act designed to provide supplemental monetary aid to local educational agencies servicing low-income populations. The State Education Agency administers the grant program. Whereas Follow-Through continues to structure its program according to the Head Start Model, offering comprehensive services and obtaining parental involvement, Title I is primarily a monetary aid program without such requirements.²⁴

When Title I was introduced, there should have been a conscious effort made to link the Title I delivery mechanism to the one already in operation for Head Start. One must ask why, after the problems it had encountered with Head Start, the federal government did not test some alternative mechanisms for delivering Title I to communities and sort out the most effective method. Head Start, as a program, has many faces and is very flexible, but for all Head Start programs, the delivery system for resources is the same. The use of the Community Action Agency as a delivery mechanism for Head Start Programs

²³Irving Lazar, Federal Programs for Young Children (Washington, D.C.: Appalachian Regional Commission, 1970), p. 6.

²⁴ESEA, Title I and the Follow-Through Program are explained in detail in Chapter III of this document.

came about without a careful analysis of the effectiveness of this mechanism for achieving the objectives of Head Start.

However, since the mechanism was already in operation, and since it was meeting with some success, why not place Title I child care services under the same mechanism? Although Title I could provide services similar to those outlined in the Economic Opportunity Act in terms of child care, Congress chose the Department of Health, Education and Welfare as the administrator for Title I funds, and not the Office of Economic Opportunity. The target populations for the two programs are almost identical, but throughout the development of Title I, as educators became its principal advocates, their experiences with Head Start and the Community Action Agencies made them shy away from the Office of Economic Opportunity.

So instead of being placed OEO, a new agency with a more updated philosophy of service delivery, Title I was placed in an old-line agency, HEW, which traditionally operates through existing state agencies. The final language of the Title I legislation, combined with the choice of the State Education Agency as the delivery mechanism for Title I services, prevented local communities from developing comprehensive child development programs with Title I funds.

Additional legislation in 1967 increased the amount of funds available for child care. Programmatically, it reinforced earlier goals and concepts concerning child care. Title IV-A of the Social Security Act was amended²⁵ to provide funds for the actual delivery of services. It provides annually, approximately six and one half million dollars to the states for staff, administrative or operative costs, licensing programs, or purchase of day care services. In the same year, under Title IV-C, of the Act, mothers who enrolled in job training under the Work Incentive Program (WIN) were reimbursed for those days care services which they found it necessary to purchase.²⁶ These programs, viewing child care services as ancillary to other goals, tend to be an extension of the protection and custodial concept of child care.

Title IV-A programs are administered through the state and local welfare departments. There is an impressive disparity between the numbers eligible and the numbers served. Present efforts to make more funds available for day care services involve the revising of state plans to include both former and potential welfare recipients.

²⁵Mills, Social Security Amendments of 1971, H.R. 1 (Washington, D.C.: Government Printing Office, 1971). Title IV-A is Aid to Families with Dependent Children (AFDC).

²⁶Irving Lazar, Ibid., p. 203.

Currently, it is the greatest potential source of funds for day care and child development services.

Other legislation relates to various program components of a comprehensive child development program. For example, the School Lunch Act (SLA) made grants available for food and kitchen equipment in day care centers.²⁷ The Migrant Health Act of 1962 provides health services to migrant families.²⁸ Title V of the Social Security Act as amended provides for a range of medical and dental services in pre-school and school programs.²⁹ The Educational Professions Development Act (EPDA) of 1967 makes grants to eligible institutions to train professionals and para-professionals who staff day care programs.³⁰

The federal government's concern with child care services involves a number of departments and agencies. Programs administered by the Department of Health, Education and Welfare; the Office of Education; Social and Rehabilitation Services; Community Services Administration; and the Office of Economic Opportunity have been briefly described. In addition, the Departments of Housing and Urban Development (HUD) and Labor fund child care programs.

²⁷National School Lunch Act Amendment, Public Law 90-302 (Washington, D.C.: Government Printing Office).

²⁸Public Health Service Act as Amended, Public Law 90-174 (Washington, D.C.: Government Printing Office).

²⁹Social Security Act Amendments of 1967 (Washington, D.C.: Government Printing Office, 1967).

³⁰Higher Education Act of 1965 as Amended, Public Law 90-35 (Washington, D.C.: Government Printing Office).

This action, however, is usually a supportive strategy for the achievement of other goals.

For example, the Department of Housing and Urban Development is the delivery mechanism for Model Cities day care programs. Authority was given for program coordination, but since the legislation did not specify that funds would be withheld if coordination did not take place, HUD, in an attempt to protect its own sphere of authority, established a third delivery system for child care services. Model Cities agencies developed child care programs, and these programs did not have to make any attempt to mesh with other existing child care programs such as Head Start and Title I. Nor did they in fact make any attempt to do so, since the Model Cities agencies did not have the authority to dramatically effect the funding of other programs through joint funding arrangements. Recent Congressional hearings cited over 60 different federally-supported programs, all involved in some degree in child care services. Dr. Irving Lazar, Director of the Child Development Program of the Appalachian Regional Commission, describes over 200 federal programs for young children.³¹

³¹Irving Lazar, Federal Programs for Young Children (Washington, D.C.: Appalachian Regional Commission, 1970).

Such multiplicity of resources with diverse and conflicting goals, program design, and administrative procedures, translated to the local level, paints a complex and muddled picture. There are gaps and overlaps, and much waste of resources. Unnecessary confusion is created for the community which attempts to plan, obtain and administer child care resources and services. The need for coordination is keenly felt on the local level.

Legislation introduced in the 92nd Congress captured two trends observed in this brief review of the Government's involvement with child care services. The Family Assistance Plan (FAP),³² or the revised Welfare Bill, will include child care as a service provided to parents who are working or enrolled in job training programs. It purports to be a major provider of services, and like former programs, makes child care services ancillary to other goals. It is also focused on low-income families, a factor which may tend to increase the racial and economic stratification already so evident in our society.

The Comprehensive Child Development Act of 1971,³³ introduced in the 92nd Congress by Congressman Myers,

³²Byrnes, Family Assistance Act of 1969, H.R. 14173 (Washington, D.C.: Government Printing Office, 1969).

³³Myers, Comprehensive Child Development Act, H.R. 957 (Washington, D.C.: Government Printing Office, 1971).

incorporates most of the existing child care programs and legislates comprehensive care for all children, with priority given to the economically disadvantaged. It established an organizational network on the local, state and national level which administers the program. These elements, joined to a monetary commitment, would create a delivery system that would reinforce the trend to provide comprehensive, quality child development services to as many children as possible.

Of the seven child care bills introduced in the 92nd Congress, three (H.R. 184; S. 530; S. 706³⁴), in addition to the Comprehensive Child Development Act, legislate services for all children, with priority to low-income populations. All three call for some kind of coordinating body at the local community and/or state level. The child development program would be administered through these coordinating bodies.

The need for coordinating bodies on the local, state and regional levels to plan and administer child care services was foreseen by a number of federal officials who conceptualized and implemented the Community

³⁴Dellenbach, Child Advocacy Act, H.R. 184; Bayh, Universal Child Care and Child Development Act, S. 530; Javits, Comprehensive Child Development Act, S. 706 (Washington, D.C.: U.S. Govt. Printing Office, 1971).

Coordinated Child Care (4-C) Program.³⁵ With little federal monetary support, a beginning has already been made which has potential for the future coordinated delivery of services. 4-C was developed to serve as a connecting rod for all federally-supported child care programs. However, to put the coordinative efforts of 4-C into proper perspective, it might be well to note one of its greatest obstacles -- an obstacle which confronts any effort to coordinate federal programs. Once a federal agency is started, it immediately becomes self-perpetuating in that it creates special interest groups within the community. These groups, who are receiving some degree of services, want these services continued. Better to have fragmented, poor quality service that is assured than none at all. Hence, these groups, who want their particular legislative mandate and funding arrangement maintained, provide a source of pressure against new legislation for the development of comprehensive, coordinated programs.

By January 1968, officials had increasingly expressed concern over the proliferation of federally-supported programs for child care and development. They

³⁵Federal Panel on Early Childhood, Internal Policies Guide (Washington, D.C.: U.S. Dept. of Health, Education and Welfare, Office of Child Development, 1969).

asked themselves how such duplication and waste of federal resources could be avoided. Coordination was a feasible solution to the problem.

Under the impetus of a need for coordination, an interagency work group developed the concept of a coordinating mechanism functioning on the local, state and federal-regional level. It would bring together public and private agencies, interested citizens and parent-consumers, whose functions would be: (1) to identify child care needs, (2) to plan for the delivery of comprehensive services, and (3) to coordinate existing resources and obtain new resources. Although the coordinating body might administer a community or state-wide program of services, it would not operate such services.

The concept of a multi-level coordinating mechanism which mobilized and organized the entire community concerned with child care services acquired the name Community Coordinated Child Care, dubbed 4-C for short. The goals of 4-C were formulated by the interagency work group as follows:³⁶

1. To improve the quality of existing services.
2. To assure the continuity of services.

³⁶Interim Policy Guidelines for the 4-C Program: Pilot Phase (Washington, D.C.: U.S. Department of Health, Education and Welfare, Office of Child Development, 1969).

3. To reach more families in need of child care.
4. To increase opportunities for staff development.
5. To mobilize community resources.
6. To provide an effective voice in policy and program direction for parents of children served.

These goals focused energy and resources on solving the major problems of the existing child care situation and at the same time established criteria by which the coordinating mechanism could be evaluated.

Unlike most federal programs, 4-C has no specific mandate from Congress and was not funded by Congressional appropriation. It has, however, supportive legislation in Title V-B, Section 522 of the Economic Opportunity Act as amended. Senator Jacob Javits of New York proposed an amendment to Title V, lest this piece of legislation on day care continue to proliferate and fragment services to children. The amendment directed the Secretary of Health, Education and Welfare and the Director of the Office of Economic Opportunity to take all necessary steps to coordinate programs under their jurisdiction which provided day care so as to attain, if possible, a common set of program standards and regulations and mechanisms for coordination on the state and local levels.

In compliance with Title V of the Economic Opportunity Act, former Secretary of HEW, Wilbur Cohen, brought into existence the Federal Panel on Early Childhood.³⁷ Members of the Panel represented all those federal departments and agencies concerned with early childhood programs. By reason of its broad agency representation, the Panel members could address themselves to coordinative tasks. Among the first was the drafting of the Federal Interagency Day Care Requirements.³⁸ Prior to the issuance of these standards, each state was free to develop its own version of standards and guidelines for federally funded programs. All programs using federal funds are now required to comply with the Interagency Guidelines.³⁹

The Panel also planned to coordinate research, training, and technical assistance funds. Training grants were made available to universities through participating federal departments. In conjunction with 4-C organizations, grantees developed programs to train professionals, pre-professionals and parents in the child care field.

³⁷Federal Panel on Early Childhood, Internal Policies Guide (Washington, D.C.: U.S. Department of Health, Education and Welfare, Office of Child Development, 1969).

³⁸Federal Panel on Early Childhood, Federal Interagency Day Care Requirements (Washington, D.C.: U.S. Department of Health, Education and Welfare, Office of Child Development, 1969).

³⁹Recommendations from agencies trying to conform to the Guidelines necessitated a revision which was completed soon after the beginning of the 1970 fiscal year.

The third task of the Panel was to implement the 4-C concept. A Standing Committee whose members were drawn from the Panel was established to develop policies and guidelines for the 4-C Program. The first set was issued as the Interim Policy Guidelines.⁴⁰

The Standing Committee is chaired by the Office of Child Development. Members of the Committee represent their individual departments or agencies and endeavor to obtain departmental commitments to the major policy decisions of the full Committee. Staff work for the Committee is provided by the 4-C Division of the Office of Child Development. There is a mutual agreement among members to work in a unanimous fashion and to take no unilateral action without full exploration of the issues by the full Committee.

In addition to the formulation of 4-C policies, the Federal Panel charged the Standing Committee with the following responsibilities:

1. The development of general administrative procedures for the 4-C Program.
2. The development of regulations, instructions and procedures governing joint funding agreements.

⁴⁰Interim Policy Guidelines for the 4-C Program: Pilot Phase (Washington, D.C.: U.S. Department of Health, Education and Welfare, Office of Child Development, 1969).

3. The encouragement of agencies to grant funding priorities in appropriate cases to 4-C communities.
4. Consultation with Federal Regional Committees on recognition of local 4-C programs.
5. Review of the Federal Regional Committees' evaluation of the general progress of 4-C.
6. Preparation of reports on 4-C progress to the Federal Panel on Early Childhood.

With the federal mechanism necessary to support 4-C in place, the Federal Panel's strategy was to develop flexible and broadly based organizations on the local, state and regional levels capable of performing the coordinative task. To accomplish this a Technical Assistance Contract was awarded to the Day Care and Child Development Council of America, Inc. The contract called for the establishment of 4-C projects in several cities on a "pilot project" basis.⁴¹ Each of the Federal Regional Committees selected a state and a city to receive intensive technical assistance in forming the 4-C coordinative mechanism.

Two additional endeavors are in operation at the present time. Both are the result of coordinative agreements between two federal agencies. Through these

⁴¹Community Coordinated Child Care: A Federal Partnership on Behalf of Children (Washington, D.C.: Day Care and Child Development Council of America, Inc., 1970).

agreements the development of 4-C organizations will be reinforced and supported. The effect of such support will be increased capability of state and local 4-C's to deliver needed services. In December of 1970, the Office of Child Development and the Appalachian Regional Commission entered into a one-year demonstration agreement. With similar mandates to provide coordinated child development services, both agencies were able to pool funds to hire, train and deploy coordinators and support staff. The coordinators are based in each Regional OCD office and provide technical assistance to local and state 4-C's.

The Office of Child Development and the Department of Housing and Urban Development have negotiated an agreement⁴² through which a limited number of state 4-C's are being selected and funded to provide technical assistance to Model Cities in their states. HUD has discovered that child care services are a priority need in most Model Cities and that they face common problems in planning and implementing child care projects. State 4-C's can identify existing financial resources, provide for staff training and development, and offer other kinds

⁴²HUD/OCD Technical Assistance Agreement (Washington, D.C.: U.S. Department of Health, Education and Welfare, Office of Child Development, 4-C Division, 1971).

of technical assistance. Through the HUD/OCD agreement, supplemental funds are set aside for state 4-C's. When matched with Title IV-A funds (Social Security Act, as amended), these funds can generate over a million and a half dollars for the delivery of child care services.

For the last several years, the energies of government officials and the resources of agencies have been channeled into the 4-C organizational task. Planning, policy-making, and providing technical assistance was directed primarily toward establishing a firm coordinative mechanism on the local, state and federal-regional levels. There are now 55 recognized 4-C organizations. Recognition acknowledges that they have organized, planned, and obtained coordinative agreements for the delivery of child care services. There are over 200 communities in the beginning stages of organization.

With the 4-C organizational process well on its way, a new strategy was formed by the 4-C Standing Committee. It was time to take a serious look at the major federal child care programs and to undertake projects to test the ability of the federal agencies to coordinate program policies, administrative procedures, and program components. Strategies to insure coordinated planning and service efforts, both within and across governmental agencies, were developed and applied. If funds and

knowledge, coordinated on the federal level, could be channeled successfully through the 4-C mechanism, then local communities would have more resources available to them. The goal of these efforts was to provide more and better services for children.

In accordance with the new strategy the 4-C Standing Committee restated its responsibilities to include:

1. The formulation of strategies for overall coordination of programs that provide services to children and their families.
2. Assisting Federal Regional Committees in developing strategies to implement this coordination at the local level.

Numerous examples could be given of the kinds of demonstration projects needed to encourage coordination. One might be designed to effect the inclusion of basic program components in all child care programs. From the brief description of delivery systems above, it is obvious that in some, such as Head Start, program components are comprehensive, including medical, social, psychological and educational services; while in others, such as the Concentrated Employment Program (CEP), care is primarily custodial. Again, a child enrolled for a year or two in a comprehensive child care and education program may be deprived of the comprehensive services he had been getting when he enrolls in the first grade. The fact that Title I

funds may be supplementing the budget of the local educational agency does not automatically insure comprehensive services. In fact, Title I guidelines do not require them. A demonstration project, implemented through the 4-C mechanism, might test whether or not coordination can insure comprehensive services to all children eligible to participate in these programs.

Not only is the child care provided in various programs uneven, but there is very little continuity in the services. As a result, a child who receives day care through the WIN Program is no longer eligible for it once his mother has completed her job training. This situation need not exist if federal agencies examine their goals, their legislative requirements and their target populations, with a view toward redesigning their programs and filling in the gaps. As an incentive to coordination, federal guidelines could incorporate and stress continuity of services as a policy requirement.

Head Start (OCD) and Follow-Through (OE) are currently conducting an experiment in the sequential planning of curriculum models. The experiment, called Planned Variation, uses twelve curriculum models.⁴³ It is

⁴³Jenny Klein, "Planned Variation in Head Start Programs," Children, Vol. 18, No. 1, (1971), pp. 8-12.

required that the specific model begun in a Head Start classroom be continued in the Follow-Through Program of the first three elementary grades. It is one attempt to determine those elements necessary to insure positive and long-term gains in the development of the disadvantaged child.

However, an example of the discrepancies between theory and practice might be helpful to the reader at this point. While serving as the Chairman of the Federal Committee on Joint Funding for Early Child Development Programs in 1970, the author was repeatedly faced with the fact that statutory constraints prohibited desired activities. The 1970 extension of Title I authority expressly prohibits comingling of Title I monies with other federally-assisted monies. This is in direct contradiction to the 1968 Amendments to the Economic Opportunity Act which specifically provides for joint funding of projects. Theoretically, if all local agencies could agree to joint sponsor a project, all federal agencies represented could write a joint funding agreement and the coordinative effort would be successful. Realistically, this never happened, because after the local agreement was made, the federal agencies found that legislative contradictions prevented them from writing their reciprocal agreement. In the absence of a central agency with the

authority to say "Ignore the contradictions and go ahead," coordinative efforts reached an impasse at the federal level from which, ironically, they had been initiated. There is still no such central authority in existence.

Although the value of early childhood education is generally accepted, there is no agreement on the method of intervention which best prevents later educational problems. Moreover, recent studies have indicated that it may not be the curriculum itself, but other variables which determine the success of the intervention.⁴⁴ The fact that the curriculum is planned carefully and is systematically presented, and other factors, such as goal-oriented team teaching and supervision by experienced teachers, may have as much or more to do with the outcome. There is some agreement, however, that subjecting a child to a different curriculum model and learning environment when he enters the formal education system may well result in a loss of the gains previously made in a compensatory education program. Other experiments indicate that to be successful, a pre-school intervention program must provide the child with experiences that will

⁴⁴David Weikart, "Has Pre-School Compensatory Education Failed?" Address given at the 1969 National Head Start Conference in New Orleans, Louisiana. (Washington, D.C.: DHEW/OCD, 1969).

prepare him for the existing educational system.⁴⁵ In any case, continuity is an important factor. Through the coordinative planning of 4-C, no one curriculum model could be prescribed, but options could be enlarged upon and continuity maintained. The value of sequential curricular programming requires that Head Start Centers, nursery schools and public schools coordinate their programs. A federal project could raise the issues involved in sequential programming and develop policies designed to make a greater impact on the growth and development of children.

The proliferation of programs has also raised serious problems related to staffing and training personnel. It is estimated that four million personnel are needed to staff programs for the economically disadvantaged and working mothers; it would take ten million to supply all of the pre-school and day care needs. In contrast to the need, federal investment in training child care personnel has been minimal.

To increase resources there is a need to coordinate projects with the Department of Labor and other career development programs. Child care provides an

⁴⁵Howard H. Spicker, "Influence of Selected Variables on the Effectiveness of Pre-School Programs for Disadvantaged Children." Address given at the 1969 National Head Start Conference in Los Angeles, California. (Washington, D.C.: DHEW/OCD, 1969).

an excellent opportunity for low-income working mothers, high school students, drop-outs, foster grandparents and others to receive training, and to progress through a career development ladder to increased responsibility and salary. The child care field can offer jobs that are rewarding psychologically and economically, if adequate training programs are developed.

While serving as Chairman of the National 4-C Standing Committee the author helped to initiate action on two demonstration projects. The first will coordinate program designs and achieve program continuity between Parent and Child Centers, Head Start, Follow-Through, and Title I in selected cities. The second is being carried out in conjunction with the National Institute of Mental Health. The objective is to increase and improve mental health services for children of low-income families in eight specific Model Cities. The project will be coordinated with programs originating in the Office of Education and the Office of Economic Opportunity, with pre-school programs such as Head Start and other health and nutrition programs. Both projects will be administered through the Federal Regional Committees whose members represent all of the federal agencies involved.

As these national demonstration projects are carried out, the issues involved in coordination itself will come to the fore. One of the most serious is the question of authority. In line agencies, vertical coordination between sequential layers of authority is difficult, but not impossible to achieve. Administrative procedures to achieve the goal can be defined. Horizontal coordination between different agencies, equal in relationship to each other, is more difficult. Agency personnel who understand the necessity to coordinate their related services can accomplish this goal in spite of non-existing precedents and unclear guidelines. In such cases, agencies make formal agreements by which they agree to be bound as equals. They agree to perform certain planning, administrative and operational functions jointly.

To undertake a comprehensive coordinative task will no doubt require, as Sundquist points out, a "supra-structure" with legislative or administrative authority, and supporting funds.⁴⁶ No one agency or department has or should have sufficient authority or status to coordinate all the other agencies and their

⁴⁶James F. Sundquist, Making Federalism Work (Washington, D.C.: The Brookings Institute, 1969), pp. 242-247.

programs. A neutral central agency with the proper authority could best perform this task.

In the absence of any clear legislative authority the 4-C effort relies upon the mandate of Title V of the Economic Opportunity Act and the formal agreements of cooperating agencies. The discussion of 4-C has been lengthy, but it is important because it represents a beginning in bringing together those resources that can make a difference in the welfare of this nation's children. It is demonstrating that coordination can solve the problems of duplication, lack of continuity and poor quality. It is paving the way for the time when authoritative legislation and a monetary commitment will facilitate the coordinated delivery of services to all children in need of them.

While government officials at the federal level are being innovative and experimental in the development of various delivery systems for comprehensive child development services, millions of young children across the nation are being effected by the systems already in operation through their related programs. The following section describes some of these effects.

Impact on Children

Psychological Implications

Early childhood intervention programs are designed primarily to offset the progressive regression frequently observed in disadvantaged children during their years of formal schooling. One report on such programs states that deprived children generally enter first grade a little behind more affluent children, and, that, as the years go by, the gap is increasingly widened, so that by the end of elementary school the deprived child will probably be two or three years behind the other children in his intellectual development.⁴⁷

Delivery systems for early childhood intervention programs must be concerned with the development of those attitudes toward academic achievement which will foster success in the educational institution as it exists today. It is well recognized that our present educational system is severely lacking in meeting the needs of young people in American society -- deprived or affluent. However, we must prepare our young people to succeed in the system as it exists, while helping them to develop those abilities

⁴⁷Susan W. Gray, Rupert A. Klaus, James O. Miller and Bettye J. Forrester. Before First Grade (New York: Teachers College Press, 1966), p. 1.

which will afford them the capacity to change the system as they find themselves in a position to do so.

The interest is in the development of attitudes which will be conducive to active involvement in the learning process of the school system, giving particular attention to motivation toward achievement and to related variables such as persistence and the ability to delay gratification.

Reinforcement is critical to attitudinal development, since the reinforcement which one receives for a particular performance is the chief determinant in the repetition of that performance. In other words, results are the major determinants of what an individual learns.⁴⁸ In working with young children, positive reinforcement is generally more effective than negative reinforcement, particularly in the internalization of new responses. Positive reinforcement is also more desirable in terms of the personal development of the child.

Since federal delivery systems for early child development programs are generally directed toward the disadvantaged child, specific attention must be given to those methods of reinforcement which will be most beneficial to the child in his attitudinal development and

⁴⁸Gray, et al., Ibid., p. 6.

which will be most effective in assuring the success of the program.⁴⁹

Reinforcement of behavior begins in the home and the community in which the young child spends most of his time; so that program planners need to examine the characteristic patterns of reinforcement to which the child is used to responding. Susan Gray, in her experimental study, identified six general reinforcement patterns which can be of invaluable assistance to the developers of delivery systems in designing programs for young children.⁵⁰ A brief summary of these patterns as compared to similar patterns in middle-class homes follows:

1. In general, the culturally deprived child receives less behavior reinforcement than does his middle-class peer.
2. The reinforcement received by the disadvantaged child is not as often administered by an adult as is that received by the middle-class child.⁵¹

⁴⁹One reason for the failure of current federal delivery systems to succeed in terms of long-range effectiveness, is that they carry with them negative identifications which have a punitive effect on the consumer population which they are designed to serve.

⁵⁰Susan W. Gray, et. al., Before First Grade (New York: Teachers College Press, 1966), pp. 7-8.

⁵¹The disadvantaged child receives a moderate degree of non-verbal social reinforcement from his peers and siblings.

3. The reinforcement received is not often verbal, but more probably is in the form of tangible and physical reinforcements derived directly from the situation.
4. The reinforcement of the disadvantaged child is seldom directed toward the specific adequacy or inadequacy of a particular behavior, but is instead, presented in terms of vague, generalized approval which does not help the child to develop his own standards of behavior.
5. Reinforcement is more often directed towards inhibiting behavior than it is toward the encouragement of exploratory activity.
6. Reinforcement is generally immediate, with little emphasis placed on developing the child's ability to delay gratification.

Based on these familiar reinforcement patterns, delivery systems designers can develop programs which initially employ non-verbal social reinforcement and immediate, concrete rewards. Although this is where programs for disadvantaged children should start, they should consistently move toward the employment of more verbal and less concrete rewards; the development of individual ability to focus on correct or incorrect aspects of behavior; the development of greater reward value for more academic objects and activities; and the use of increasingly selective methods of reinforcement. The ever-widening boundary of the individual child's behavior serves as the indicator by which reinforcement is determined, so that reinforcement is no longer for the performance of those tasks which are easy for the child, but is for those behaviors which

are just within his level of ability. The subsequent step to abstract and symbolic rewarding is the development in the child of the ability to internalize his own reward systems and the construction of his own standards of behavior.

Adults working with young deprived children must create an environment which inspires trust in the child, and at the same time, provides him with appropriate role models of both sexes and compatible ethnic characteristics. The models with which a child interacts on a daily basis are as critical as the method of reinforcement which he receives, if not more so, because adult-child interaction is one of the most crucial aspects of healthy child development. Children find their initial place in life through role-playing and imitation. Without proper role figures to imitate, the child has difficulty in establishing the proper relationship of himself to his society.

Delivery systems which provide services to children and their families through programs which employ the recognition of the psychological implications of such programs and systems and the impact of these implications on young children and their families will be more effective. Such service delivery systems will create young adults with healthy self-concepts, agile minds and the ability to restructure their environment to most effectively meet their needs.

The second factor of importance in assuring that delivery systems have a desirable impact on children is the intellectual development of the child. The following discussion of learning patterns is intended to provide some knowledge of the ways in which children learn.

Learning Patterns

The intellectual process which enables us to group diverse objects and/or ideas according to common properties and then to regroup the same items and relate them in different ways on the basis of other common properties is called conceptualization.⁵² While concepts may relate to concrete objects, the concepts themselves are abstractions. The process of acquiring the full complement of concepts and those techniques of using them that underlie the rational thought of adults takes at least fifteen years.⁵³

According to Jean Piaget, our cognitive development takes place through a series of stages which are invariant, interdependent and subject to the same rules which govern any other process of physical growth.⁵⁴

⁵²Muriel Beadle, A Child's Mind (New York: Double-day and Co., Inc., 1970), p. 120.

⁵³Muriel Beadle, Ibid., p. 123.

⁵⁴Jean Piaget, "The Child and Modern Physics," Scientific American, 196 (1957), pp. 46-51.

What must occur first is that the infant must make some fundamental discoveries about the universe: (1) that objects exist; (2) that they differ from one another; and (3) that they have permanence. In addition to these fundamental discoveries of the infant, the young child must discover that one thing happens because of something else (cause and effect); that events happen somewhere and that objects are positioned (concept of space); and that events occur at measured intervals (concept of time). The acquisition of these concepts is the task of the young child from the time he is born until the rational thought process of adulthood is completed.

The agents and architects of cognitive change (the processing of environmental information into concepts) are perception, language development and the method by which information is processed. These three are intertwined and concurrent in their operation. For purposes of facilitating discussion, they are arbitrarily separated here into three distinct entities.

Perception can be defined as physical sensation interpreted in light of experience. Perception is a combination of the nature of the object that is perceived, the internal condition of the perceiver, and the social mores of the perceiver. One of the leading exponents

of the theory that perception and personality are very closely correlated is Herman a Witkin.⁵⁵ He and his colleagues at the College of Medicine of the State University of New York have been conducting exhaustive studies of the ways in which individual personality traits affect perception since 1942. Witkin has found that in general, children are far more influenced by the structure of the surrounding environment than are adults. However, between the ages of ten and thirteen, children develop practically their full adult capacity for separating an item from its context. Perception is an essential factor in a child's initial ability to learn to read, and in his subsequent success or failure in this basic academic task.

Another essential factor in learning to read is language development. Eric H. Lenneberg⁵⁶ believes that human beings have a genetically determined predisposition for language. This does not mean that Lenneberg claims that human beings are genetically programmed to learn a particular language; rather that they have an innate

⁵⁵Herman A. Witkin, et.al., Personality Through Perception (New York: Harper and Row, 1954).

⁵⁶Eric H. Lenneberg, "The Capacity for Language Acquisition," Man in Adaptation, the Bisocial Background, ed. by Y.A. Cohen (Chicago: Aldine, 1968).

readiness for language structure. Lenneberg gives these basic reasons for his belief:

1. All languages are phonetic systems built upon a relatively small number of sounds; all languages string those sounds together to form meaningful utterances; and all are characterized by syntactical rules which govern the order and arrangement of the component parts.
2. Language development follows a regular chronology for all children -- from babbling to short words to short sentences -- with concomitant increases in complexity. Lenneberg believes that this sequence is as maturational in character as is walking.

One of the major responsibilities of any child development program is the extension of the child's verbal abilities. This should mean continuing the child's learning of the structure of his native language or dialect, while helping him to learn some standard English as well.⁵⁷ This extension should include expanding his repertoire of words and meanings for talking about objects, events and ideas, while providing rich opportunities for using language in ways that will be meaningful to him and that are, at the same time, important for success in school.

⁵⁷J. Baratz, C. Cazden, W. Labov and F. Palmer, "Language Development in Day Care Centers," Day Care: Resources for Decisions, ed. by E.H. Grotberg (Washington, D.C.: Office of Economic Opportunity, 1971), p. 153.

By and large, children do not learn language from their teachers. They come to school (even pre-school) with basic knowledge of their native language.⁵⁸ The teacher can only modify and add to this knowledge. To attempt to eradicate the knowledge which the child has and to arbitrarily impose a different language structure on the child is a vast mistake too often made by too many teachers. As Benjamin Bloom⁵⁹ says, by age six, children have acquired 50 per cent of the vocabulary that they will have at age eight, and that by age eight, they have acquired 50 per cent of the vocabulary they will have at age eighteen. Again, the importance of the early childhood years is pointed out.

The last element of cognitive change which is discussed here is information processing -- how the young child goes about the dual process of expanding his detailed knowledge of the universe and then compacting this knowledge into an efficient and usable form. This process of differentiation and synthesis is an on-going process throughout a child's developmental years.

⁵⁸Baratz, et al., Ibid., p. 154.

⁵⁹Benjamin S. Bloom, Stability and Change in Human Characteristics (New York: Wiley, 1964).

In the discussion of psychological implications, the importance of the adult-child relationship in the development of a healthy self-concept was pointed out. This relationship is equally important in the development of cognitive skills. Bereiter and Englemann⁶⁰ point out that programs which are oriented toward the development of specific language and cognitive skills, favor a structured curriculum approach where emphasis is materials and the task rather than on interpersonal relationships. Whereas programs which are more concerned with broad-based cognitive development emphasize warm, personalized handling of the child by the adult, stimulation of inquiry and creativity, and appreciation of the child's contributions.⁶¹

In a learning environment designed to foster broad-based cognitive development, learning takes place around daily life experiences rather than around pre-programmed materials. The adult provides the child with opportunities to choose from a variety of learning resources, rather than structuring each step of the learning experience. Learning is shaped around the child's needs and preferences. The adult accepts and appreciates

⁶⁰Carl Bereiter and Stephen Englemann, Teaching Disadvantaged in the Pre-School (New Jersey: Prentice-Hall, Inc., 1966), pp. 68-69.

⁶¹A. Bingham, Learning How to Learn (Washington, D.C.: National Education Association, 1966).

divergent reactions on the child's part and permits the child to arrange his own individual learning sequence rather than compelling him to follow prescribed ways.⁶²

The learning environment which the adult sets for the child and the method by which the adult interacts with the child in that atmosphere can have profound effect on the resultant language and cognitive development. Again, the importance of the adult-child relation in an early child development program is crystallized.

A basic understanding of cognitive development and change, and the effects of adult relationships on this development and change, is an essential ingredient of any early child development program. Those individuals who develop delivery systems for these programs should keep this area of program content and staffing, specifically as it relates to the consumer population, in mind.

With a good feeling about himself firmly entrenched, and participation in sound learning program as part of the daily routine, the pre-school child still has some very definite needs which must be met if he is to fully develop

⁶²Preliminary Report of the ADHOC Joint Committee on the Preparation of Nursery and Kindergarten Teachers, ed. by M. Haberman and B. Persky (Washington, D.C.: National Education Association).

his optimum capacity for growth and development. The following discussion relates some of these needs and suggests ways of meeting them.

Critical Needs

Henry W. Maier⁶³ points out that intervention programs may mean the alteration of certain conditions inherent in an individual's life situation to the extent that "developmental complications may be prevented, controlled or corrected." Maier contends that the development of a healthy personality depends in large measure on the family's sense of well-being -- the emotional, social and financial security of the family. This sense of well-being is determined by the combination of community support of the individual and the individual's investment in his community's development. Maier has identified five phases in the continuum of development which may be interpreted as critical periods with critical needs to be met by designers of delivery systems for early child development services. These developmental steps are as follows:

1. Establishment of primary dependence.

⁶³Henry W. Maier, Three Theories of Child Development (New York: Harper and Row, 1965), pp. 271-280.

2. Establishment of self-care.
3. Establishment of meaningful secondary relationships.
4. Establishment of secondary dependence.
5. Achievement of a balance between dependence and independence.

These critical need periods are concerned with the development of social and emotional behavior. The very young child forms close attachments to adults who provide him the security he needs to broaden his attachments and to begin to explore and learn on his own.⁶⁴ The principal attachments that the child makes have far-reaching effects on the child's ability to break from these attachments and begin the establishment of primary dependence.⁶⁵

Primary dependency is closely related to early attachments and is expressed by the child in seeking help with tasks, seeking praise, and seeking attention.⁶⁶

⁶⁴Ainsworth and Wittig, "Attachment and Exploratory Behavior of One-Year-Olds in a Strange Setting," Determinants of Infant Behavior, ed. by B.M. Foss (New York: Barnes and Noble, 1969), pp. 111-136.

⁶⁵I. Sigel, et al., "Social and Emotional Development of Young Children," Day Care: Resources for Decisions (Washington, D.C.: Office of Economic Opportunity, 1970), p. 110.

⁶⁶I. Sigel, et al., Ibid., p. 115.

When primary dependency behaviors have been satisfactorily reinforced so that the child has developed a sufficient degree of self-confidence, he moves into self-care and the establishment of secondary relationships. The child who has had warm, loving and consistent adult relationships tends to develop means of self-care and self control more quickly than the child whose adult relationships have been ambivalent and inconsistent.⁶⁷ Controlling impulses, learning to delay gratification of needs and learning to use socially acceptable means of achieving need gratification are critical aspects of a child's development. How the adults in a child development program handle the needs and demands of the children can significantly affect the children's development of internal controls, self-motivation, generosity and cooperation.⁶⁸

As children mature, dependency shifts from parents to teachers, to peers; and reliance becomes less on adult authority and more on mutual consideration. The social and emotional development of children can be greatly

⁶⁷Hoffman and Saltzstein, "Parent Discipline and the Child's Moral Development," Journal of Personality and Social Psychology, Vol. 5, 1967, pp. 45-57.

⁶⁸Bryan and London, "Altruistic Behavior in Children," Psychological Bulletin, Vol. 73 (3), 1970, pp. 200-211.

enhanced by their environment and by their interactions with adults.⁶⁹

A systematic understanding of child development will better enable the professional program planner and systems designer to implement their tasks with a broader base of substantive knowledge and a greater creativity.

Having examined, chronologically, the legislative development of early child development programs and the impact of this development on children and their families in terms of psychological implications and learning patterns, the next chapter will examine existing delivery systems for early child development services and programs.

⁶⁹I. Sigel, et al., "Social and Emotional Development of Young Children, Ibid., p. 126.

C H A P T E R I I I

EXISTING DELIVERY SYSTEMS

Introduction

In this section, the author is concerned with the state of child care services as they exist in the United States today. Because all of the programs discussed herein are Federally-supported and are therefore placed under the jurisdiction of Federal bureaus, a basic understanding of the creation and characteristics of bureaus and bureaucracies is necessary. Having provided the reader with this basic information, the author examines six major Federally-assisted child development programs.

Each of the six programs is examined in terms of administering agencies, target populations, project approval and grantees. Through these elements, similarities and differences become apparent. In further examining the method by which each of the programs is delivered to the community, one discerns three primary

models for delivery -- Federal, State and Local.¹ These models are described and compared through arguments for and against them. This leads into a discussion of the effects of the three existing delivery systems on target populations who are, in general, minorities.

Some background information on the state of delivery systems might be appropriate at this point. James B. Conant says, in relation to the decision-making system for educational policies and programs in the United States, that this closed system of decision-making contributed greatly to the failure of urban school systems to acknowledge and deal with the "social dynamite" within their walls.²

This statement is equally applicable to social service delivery systems as well. By the 1960's, the social dynamite had exploded. Not only the schools, but the entire urban system was under seige for its unresponsiveness to the needs and desires of the urban poor. The civil rights movement was turning from the patience of pickets and marches to a smoldering impatience with the indifference with which the power structure reacted to

¹The term "model" as it is used here refers to a recognized and accepted method of service delivery.

²James B. Conant, Slums and Suburbs (New York: McGraw-Hill, 1958).

their requests. The nation was compelled, however unwittingly, to observe and react to the existence of economic and social deprivation all around them in the midst of the longest period of economic growth that this country had ever known.

The Economic Opportunity Act of 1964³ was an attempt to improve the educational and social services available to the poor through the creation of new services and/or the restructuring or supplementation of existing ones. Three basic program changes were viewed as essential to the implementation of this improvement:

1. The by-passing of old welfare-oriented bureaucracies and the creation of new decision-making entities with their own resources.
2. The encouragement of local creation and control of these new decision-making entities.
3. The inclusion of representatives of the poor in the decision-making process on an equal basis with representatives of traditional poverty-oriented governmental and private agencies and organizations.

³Economic Opportunity Act (Washington, D.C.: U.S. Government Printing Office, 1964.

These program changes have not been as effective as the authors of the Economic Opportunity Act envisioned that they would be, because they failed to recognize the fact that there must be changes not only in the program offerings of the system, but also in the overall policies and attitudes directed toward the poor by the decision-makers. It is in these two areas, policies and attitudes, that significant changes must be made if delivery systems are to have far-reaching and long-lasting impact on American society.

Problems Associated with a Delivery System

David Donnison says that "Human needs do not come in self-contained, specialized packets; they are entangled, involving whole families -- and sometimes, whole neighborhoods."⁴

Those social services which require in-depth intervention into interpersonal relationships, complex psychological problems, or traditional behavior patterns present a unique problem -- a premium on continuity of service over a period of time, as well as on the meshing

⁴David Donnison, Peggy Jay and Mary Stewart, "The Engleby Report: Three Critical Essays" (London: The Fabian Society, pamphlet, 1962), p. 14.

of simultaneously-rendered service components.⁵ The goal in services integration is to provide continuity of service, consistency of position, and intermingling of component parts.

The primary concern in services integration is the method by which these services are delivered. Inherent in the effective delivery of services is proper timing, as it relates to allocation of funds and program development.

The timing for the distribution of funds to local communities is crucial. Community climate and receptability is a very precarious phenomenon. Once a community is receptive to the program, has organized its resources for implementation of the program and submitted a proposal for grant approval, it is ready to proceed. Bureaucratic "red tape" can delay the processing of applications and the direct allocation of funds to communities for months. During this time, interest may wane, resources may be otherwise committed, and by the time the money is finally in the hands of the community, the implementation of the program may not be as effective or as successful as it could have been had the money been there when the community was ready.

The second aspect of timing which must be considered in service delivery is program development. It takes at

⁵The combination of sequential and simultaneous services is referred to hereafter as "services integration."

least three years after a program becomes operational to fully develop it. It takes this length of time to discover problems, inadequacies and actual needs. At the end of three years, the program planners can evaluate the program with some knowledge and substance on which to base their evaluation. Too often, programs are funded for only three years, and there is not enough time allotted for complete program development.

Second to the problem of timing in service delivery is the problem of channeling services to the consumer. Most existent delivery systems do not provide, at least operationally, for simultaneous and sequential meshing of services. For example, one service does not have any way of knowing: (1) why the client has been referred by the other service; (2) how the other service views the client and/or the overall situation; (3) what the cooperating service is doing; or (4) what the client has been told, promised or offered. Consequently, on-going services are all too often not additive, as they should be, but repetitive of prior services.

Service accountability must include the appointment of a specific person or agency, and the assignment to that person or agency of the responsibility of remaining with a child and his family until or unless there is a decision made to discontinue services because they are no longer

needed. This locates the obligation for assuring the integration and continuity of service efforts.⁶

The central problem in the delivery of early childhood services is the proper channeling of cases.⁷ There is no difficulty in finding cases. The difficulty arises because agencies and related facilities are often unable to provide adequate help or to achieve beneficial results, and because services are often channeled in such a way that the people who most need the service are either offered no service at all or are offered the wrong services.

An additional problem related to channeling is that of case loss. This problem is often misperceived as a problem in client motivation. In actuality, many potential consumers never get to agencies for service provision at all, because their initial contact with the "establishment" has presented so formidable a fortress that penetration of that fortress has been deemed an insurmountable obstacle.⁸

⁶Alfred J. Kahn, Theory and Practice of Social Planning (New York: Russell Sage Foundation, 1969), pp. 285-286.

⁷The term "channeling" as it is used here includes case identification, compilation of information and referral to other agencies.

⁸Gerald Gurin, Americans View Their Mental Health, Joint Commission on Mental Illness and Health, Monograph Series No. 4 (New York: Basic Books, 1960), p. 38.

There is a tremendous need in America today for efficiency in the delivery of social services through economical use of funds and personnel. The need for strategic distribution of available resources in order to lessen the impact of severe and disruptive social problems (e.g., crime, mental illness, family breakdown) which affect the character and the quality of community life is urgent. Unfortunately, the process of channeling as it presently operates is so unjust and inadequate that it reserves resources for those persons who are sufficiently informed, motivated and/or culturally pre-conditioned to make the best use of it.

Another important aspect of channeling and its consequences is the definition of "deviance" which the individual and the community accept. What most middle-class oriented systems planners consider deviant, may not in any way deviate from the norm established and accepted by the community in which the individual lives. However, there is a certain amount of evidence to support the theory that if an individual comes to think of himself as outcast, deviant, rejected or attacked, that individual is changed by this thought process. The immediate social environment defines and creates one's social roles to a large degree. Outsiders, coming into this environment and imposing their own perceptions of what an individual's social roles should be, generally do more harm than good. Ernest Gruenberg

suggests that some mental disorders may have had different outcomes or may never have come into existence if the type of facility providing treatment and the self-definition engendered had been different.⁹ The institutional defining system is a critical aspect of deviant social behavior. Thus, socio-cultural definitions, group norms and broad community factors interact with agency-organizational factors and personal variables in determining who asks for help, where and with what persistence.¹⁰

With the above statement in mind, the social systems planner may find the following generalizations critical to his planning:

1. To a certain degree, individuals belonging to different social classes or economic groups experience different types of problems, or the same problems in vastly differing frequencies. Their respective styles are such that they acknowledge, through choice or coercion, and cope with different problems.
2. Social and economic differentiations generally work to the disadvantage of the poor, the uneducated, and members of minority groups.
3. The services which many agencies offer are not perceived as either desirable or necessary by many of the applicants; as a result, service output is so out of balance that no amount of channeling improvement will help.

⁹Ernest Gruenberg, "Socially Shared Psychopathology," Explorations in Social Psychiatry, ed. by Alexander H. Leighton et al., (New York: Basic Books, 1957), p. 349.

¹⁰Elaine Cumming, "Allocation of Care to the Mentally Ill, American Style," Organizing for Community Welfare, ed. by Meyer Ald (Chicago: Quadrangle Books, 1967), pp. 109-159.

4. Channeling is deeply embedded in community definitional and social control factors, which explain and acknowledge needs, and shape formal and "lay referral" systems.
5. Access to services by most underprivileged must be emphasized, while at the same time, negative definitions and punitive, stigma-producing connotations must be avoided.¹¹

Morris Janowitz sums up many of the problems inherent in social delivery systems in saying that there is a high degree of public ignorance in regard to complex social agency networks and governmental programs, how they work, and what one's rights are; and that this ignorance penetrates deeply into both the middle and lower classes.¹² The following section is designed to dispel some of the ignorance of governmental programs of which Janowitz speaks.

Current Programs In Support of Early Child Development Services

The complexity of social agency networks and governmental programs is rooted in the bureaucratic nature of the federal government. Blau and Scott remark that one aspect of bureaucracy that is always evident is the elaborate and detailed rules and regulations that members of the organization

¹¹David Landy, "Problems in Seeking Help in Our Culture," The Social Welfare Forum, 1960 (New York: Columbia University Press, 1969), pp. 127-145.

¹²Morris Janowitz, et al., "Public Administration and the Public," Complex Organizations: A Sociological Reader, ed. by Amitai Etzioni (New York: Rinehart and Winston, 1961), pp. 279-280.

are expected to follow. "Rigid enforcement of the minutiae of extensive official procedures often impedes effective operations."¹³ The impediments caused by attention to official policies and procedures are demonstrated in social service delivery systems.

The creation of bureaucratic "monsters" is usually an insignificant step when viewed in terms of the final product. Federal bureaus and their related programmatic structures are generally created in one of four ways:¹⁴

1. Charismatic appeal to the ideas and personality of a particular individual.
2. To carry out a specific function for which there is a recognized need.
3. A split from an existing bureau.
4. Through "entrepreneurship" when a group of individuals promoting a particular policy gain enough support for that policy.

Regardless of how the bureau is created, all have three things in common: (1) domination by advocates; (2) an early phase of rapid growth; (3) seeking sources of external support for survival.¹⁵ More often than not, the period of

¹³Peter M. Blau and W. Richard Scott, Formal Organizations (San Francisco: Chandler Publishing Company, 1962), p. 8.

¹⁴Anthony Downs, Inside Bureaucracy (Boston: Little, Brown and Company, 1967), p. 5.

¹⁵Generation of external support is crucial for a new bureau or program.

rapid growth mentioned in number two is characterized by "rapid quantitative growth without qualitative expansion."¹⁶

All bureaus have these common internal characteristics:¹⁷

1. A hierarchy of formal authority.
2. A hierarchy of formal communications networks.
3. Extensive systems of formal rules.
4. Impersonality of operations.
5. Personal loyalties and involvement.

In addition to the five internal characteristics cited by Anthony Downs, Blau points out another essential feature of bureaucratic organizations.¹⁸ He says the "within every formal organization there arise informal organizations" which "develop their own practices, norms and social relations as their members...work together." These informal systems are inherent in the formal organization and are nourished in their growth by the very formality of its arrangement. Informal organizations develop as a response to the opportunities and problems in the environment, and the formal organization is the immediate environment. Unfortunately, instead of helping to unravel the web of intricacy around federal bureaus, the informal organizations within them only serve to further complicate the web.

¹⁶Downs, Ibid., p. 14.

¹⁷Downs, Ibid., p. 49.

¹⁸Blau and Scott, Ibid., p. 6.

This discussion of the formation and organization of federal bureaus and their related programs and functions provides a frame of reference for the following descriptions of current federal programs in support of early child development services, and a basis for discussion of these programs in relation to their respective bureaus.

Since the passage of the Lanham Act in 1941,¹⁹ there have been increasing numbers of federally-supported child care programs. Most of the existing programs for the delivery of early childhood services deal with one specific area of child care (e.g., the Hot Lunch Program which is designed to meet nutritional needs only). More recently, legislation has become more comprehensive in nature and the trend is toward support of programs which provide services in all facets of child development.²⁰

Of the programs currently in operation with federal support, seven are noted for in terms of their comprehensive organization:

1. Model Cities
2. Concentrated Employment Program (CEP)
3. Work Incentive Program (WIN)
4. Head Start
5. Follow-Through

¹⁹Lanham, Community Facilities Act (Washington, D.C.: U.S. Government Printing Office, 1943).

²⁰See Chapter II, "Legislative Development."

6. Elementary and Secondary Education Act (ESEA)/
Title I
7. Social Security Act (SSA)/Title IV-A

These seven programs all have similar missions and almost identical target populations. However, the funding arrangement of each, combined with the placement of the programs under the auspices of several different federal agencies, produces seven separate delivery systems for the implementation of similar programs for similar consumer groups. The following chart gives a schematic representation of the administering agency, the target population, the method of project approval, and the grantee for each of the seven programs.

Administering Agencies

As the chart on the following page indicates, five of the seven programs listed (WIN, SSA/Title IV-A, Head Start, Follow-Through, and ESEA/Title I) are administered by the same department, but by three separate agencies within that department. Of the departments and agencies listed, only two (HEW/OE and HEW/SRS) have administrative authority over more than one program.

Each department and each agency has its own unique style of operation, its own legal base and its own consumer constituency. The administrative heads of each department are peers, as are the heads of each agency. All are on the same

Comparison of Seven Major Federally-Assisted
Child Development Programs

<u>Program</u>	<u>Administering Agency*</u>	<u>Primary Target Population</u>	<u>Project Approval</u>	<u>Grantee</u>
Model Cities	HUD/MCA	Low-income/ Urban Residents	Federal Grant Approval	Local Community Development Agency
CEP	OEO-DOL/MA Authority in OEO Adminis- tered by DOL	Low-income/ Unemployed	Regional Contract Approval	Local or State Community Action Agency/ Employment Service
WIN	HEW/SRS	Low-income/ Job Trainees	Regional State Plan Approval	State Welfare Department
Head Start	OEO-HEW/OCD Authority in OEO Adminis- tered by HEW	Low-income Pre-school	Regional Grant Approval	Local Community Action Agency
Follow-Through	HEW/OE	Low-income/ Primary Grades	Federal Grant Approval	Local Education Agency
ESEA/Title I	HEW/OE	Low-income/ Educationally Deprived	Federal State Plan Approval	State Education Agency
SSA/Title IV-A	HEW/SRS	Low-income/ Dependent Children	Regional State Plan Approval	State Welfare Department

*HUD/MCA = Department of Housing and Urban Development:
Model Cities Agency

*OEO-DOL/MA = Office of Economic Opportunity and Department of Labor:
Manpower Administration

*HEW/SRS = Department of Health, Education and Welfare:
Social Rehabilitation Services

*OEO-HEW/OCD = Office of Economic Opportunity and Department of Health,
Education and Welfare:
Office of Child Development

*HEW/OE = Department of Health, Education and Welfare:
Office of Education

level in the federal hierarchy and have no authority over the other. The only central authority is that of the Office of the President, and even here there is no established central authority.

Of the four departments which administer the seven programs, two (HEW and DOL) are traditional and rigid in their approach to service delivery in that they use the older, more established agencies for program implementation; the other two agencies (HUD and OEO) exhibit more flexibility by using newer and more progressive agencies.

Since each of the four departments has its own area of specialization and its philosophy of program development, based on this specialization, each department exhibits a different program emphasis. The Department of Labor's focus is on employment; the main thrust in the Department of Housing and Urban Development is urban renewal; the Office of Economic Opportunity emphasizes community organization; while the Department of Health, Education and Welfare is primarily concerned with human services. There is definite evidence of a need for each department to consider integrating the specializations of the others, since there is considerable overlapping of services when programs are implemented at the local level.

Perhaps the most critical aspect of this comparison is that none of the four departments, all of which are administering child care programs at the local level, have any

special interest in or concern with children. The same is true of the various agencies, with the single exception of the Office of Child Development. And even in OCD there is no statutory base -- only administrative authority. The Office has responsibility for providing leadership and effecting coordination in the area of child development, but there is no legislative mandate which provides legal authority for directing other agencies or departments in the administration of their child care programs.

Target Populations

While all seven programs are aimed at low-income populations, each places emphasis on a different segment of this population. Only four (Head Start, Follow-Through, SSA/Title IV-A and ESEA/Title I) are concerned with children. Model Cities, CEP and WIN are all adult-oriented programs, with child care components resulting as off-shoots designed to meet adult needs. The following paragraphs explain in greater detail, the target populations of each program.

The Model Cities Program is designed to significantly improve the living environment and the general welfare of persons living in slum and blighted urban areas. The program is directed at cities of all sizes and in all areas of the country; and calls for comprehensive attacks on social, economic and physical problems in these areas; utilizing federal funds

under the Community Development Act, along with state, local and public and private resources in a concentrated, coordinated manner.

The Concentrated Employment Program is basically an employment program funded under the auspices of Title I of the Economic Opportunity Act. It is a delivery system which combines, in a single contract with one sponsor, the complete spectrum of Manpower Development Programs and services available to the Department of Labor. The primary objective of the program is to assist unemployed, disadvantaged persons to develop the skills necessary to obtain and hold suitable jobs; mainly in the private sector of the economy.

The Work Incentive Program is designed in such a way that it provides child care services to all adults who are in training under Title IV-C of the Social Security Act or are already employed and need child care. Title IV-A of the Act requires that child care services provided under this program be directed at the total development of the child rather than being merely custodial in nature.

Head Start is a comprehensive early childhood education program designed for disadvantaged pre-school children and their families. The program is directed toward children between the ages of 3 and 5 years under the Economic Opportunity Act.

Follow-Through is a program designed to provide comprehensive services to help children from low-income families sustain, through the primary grades, those gains made in Head Start or similar pre-school programs. In all but exceptional instances, at least half of the children in each Follow-Through Program must have completed a full year of a Head Start or similar program. Emphasis in Follow-Through is placed on those children in grades kindergarten through third.

Title I of the Elementary and Secondary Education Act provides aid to educationally deprived children in low-income families. The Act makes provision for children between the ages of 5 and 17 years of age. The Act is not a program in itself, but provides for the allocation of funds to many different programs.

Title IV-A of the Social Security Act, as amended, provides authorization for a full range of services. Included are services for the care, protection and development of children whose parents are, for part of the day, working or seeking work, in training, or otherwise absent from the home and unable to provide parental supervision.

Project Approval

Three of the seven programs listed (Model Cities, Follow-Through and ESEA) receive project approval from the federal level, while the other four (CEP, WIN, Head Start

and SSA/Title IV-A) receive approval at the regional level. This indicates a decentralization of authority which makes joint review and other coordinative efforts almost impossible to achieve. To compound the confusion, the projects are approved on a different basis.

Model Cities, Head Start and Follow-Through are funded by grant approval; WIN, ESEA/Title I, and SSA/Title IV-A are funded by state plan approval; and CEP is funded by contract approval. The basis for project approval determines the degree of project flexibility. Grant approval involves a proposed program plan submitted by the local community and provides for very flexible program implementation. State plan approval is concerned with a general plan for state-wide use of program funds. The programs are implemented at the local level, and while the state plan approval method is not as flexible as is grant approval, neither is it as restrictive as is contract approval. Contract approval involves a very precise delineation of the terms of the project by the prime sponsor and allows almost no degree of flexibility in the interpretation of these terms.

For each program, different kinds of information are required for project approval, different financing arrangements are made, and different agreements for implementation at the local level are formed.

Grantees

The grantee is the agency which is accountable for the expenditure of funds allocated for the programs. The programs discussed herein have different agencies as grantees -- three of the agencies are on the state level, three are on the local level, and one can be either state or local. Consequently, there are six different agencies on two different levels of government all administering child development programs at the local level.

One attempt to bring some order out of this chaos was the establishment of the Community Coordinated Child Care (4-C) Program, which is a central unit, concerned with child development and operating on all levels of government. However, even this program falls far short of its goal.

While serving as the national director of the program, from its conception to actual operation, the author experienced great difficulty and frustration in attempting to achieve the primary program objective of coordination. The two factors most responsible for the difficulty and frustration were lack of a legal authoritative base and administrative placement in an established federal department. This meant that while attempting to coordinate programs among all other federal departments and agencies, the 4-C effort also had to coordinate the activities of the other

agencies within its own department. Although the program has achieved some degree of success, it is the opinion of this author that the long-range effects of the program will be little different than those of the other delivery systems which have been mentioned herein.

As Downs says, "bureaucratic officials, like all other agents in society, are significantly -- though not solely -- motivated by their own self-interests."²¹ Conflict of interest in relation to explicit goals for programs; perceptions of reality in society, and technical limitations in terms of individual capacity for knowledge and information; along with personal motivation, are the greatest obstacles to effective coordination of resources and development of efficient delivery systems in the present system of federal bureaucracy.

Each of the seven programs described in this section exhibits duplication of goals, efforts and services. Coordination would seem to be the most feasible method of restructuring these programs, yet this is a difficult, if not impossible task, because each program falls under the jurisdiction of a different federal bureau or agency.

Given the nature of the funding arrangements for these seven programs²² it is quite obvious that the present system,

²¹Anthony Downs, Inside Bureaucracy (Boston: Little, Brown and Company, 1967), p. 83.

²²See Appendix A.

which provides for funding by several different agencies at the federal level, offers no opportunity for unification of efforts and/or joint funding arrangements. Consequently, programs are disjointed, lacking in continuity, and ineffective in meeting the individual child's need for multiple services provided on a continuous basis.

As one examines the chart on the following page, which depicts the administrative flow of authority and funds for each of the seven child development programs discussed, a definite pattern emerges. ESEA/Title I, WIN and SSA/Title IV-A show one type of structure;²³ Follow-Through and Model Cities exhibit another;²⁴ while Head Start and CEP demonstrate a third.²⁵ (CEP has the option of using the same structure as ESEA/Title I and WIN).

Examination of Three Basic Models

While these three models -- Federal, State and Local -- do not represent all of the possible alternative structures which could be developed, they do encompass the basic administrative options for the delivery of most federal child development programs.

²³Hereafter referred to as the state model.

²⁴Hereafter referred to as the local model.

²⁵Hereafter referred to as the federal model.

Administrative Flow of Authority and Funds

<u>Model Cities</u>	<u>CEP</u>	<u>WIN</u>	<u>Head Start</u>	<u>Follow-Through</u>	<u>ESEA/Title I</u>	<u>SSA/Title IV-A</u>
<u>Federal</u> --- HUD <u>State</u>	<u>Federal</u> --- DOL <u>State</u> --- State Employment Service <u>Local</u> ---	<u>Federal</u> --- HEW <u>State</u> --- State Welfare Department <u>Local</u>	<u>Federal</u> --- HEW <u>State</u> --- <u>Local</u> --- Public Non-Profit Organization (CAA)	<u>Federal</u> --- HEW <u>State</u> --- <u>Local</u> --- Public Agency (Education)	<u>Federal</u> --- HEW <u>State</u> --- State Education Agency <u>Local</u>	<u>Federal</u> --- HEW <u>State</u> --- State Welfare Department <u>Local</u>

There is considerable controversy within the federal government over the strengths and weaknesses of these models. Many arguments have been raised to support or criticize each model. Most arguments used to support one model have also been used by others to attack it, based on individual and informal evaluations of existing delivery systems. The major characteristics and the arguments outlined below are not intended to be an exhaustive list, however, they should represent the basic arguments proposed for each model.

Two important caveats should be considered. First, few administrative structures used to deliver federal service programs are generally accepted as "successful" models. Evaluations and data related to alternative delivery systems are limited and inconclusive. Most arguments are based on personal experience with one or two models which may or may not be applicable to day care and child development programs, however, no one really knows which delivery system will prove most effective. Second, some things -- which are true of all models -- are frequently used to defend or attack just one of them.²⁶

²⁶The arguments for and against the three models listed in the following section were developed jointly by the author and colleagues in an attempt to compile a number of such arguments put forth by various segments of the population.

Federal Model

Under this structure, the federal government deals directly with a single organization which, in turn, conducts strategic and operational planning, and which subsequently administers the operation of programs.

Arguments for:

1. Increases Federal Control and Access. -- Direct federal access to the operating agency at the local level insures orderly and rapid development of programs to achieve legislative objectives. This system would reduce the problems caused by uncooperative and bureaucratic state and local government agencies with administrative vested interests. It also maximizes federal access to local programs for evaluation and research.
2. Improves Consumer Control. -- Local community groups will be able to exert more influence through private organizations responsible only for child development than through local or state government agencies with vested interests and responsibilities for programs other than day care and child development. Builds community support.
3. Promotes Flexibility and Rapid Change. -- Local non-government groups can initiate flexible programs designed specifically to meet local needs with a minimum of the inerted characteristics of government agencies.

4. Safeguards Advocacy Role for Children. -- Non-government organizations responsible only for day care and child development programs will focus exclusively on these activities and will not dissipate their energies on other programs.

Arguments against:

1. Promotes Conflict. -- Non-government organizations operating federal programs at the local level promote competition and confrontation with the state and local establishment. City and county government agencies will compete, rather than cooperate, with federal programs. This destroys the important coordinating role of the local agencies.

2. Ignores State and Local Resources. -- The federal model excludes the established state and local government resources and management capacity. It does not utilize the economics of scale possible through centralized technical assistance, data collection, and innovative demonstration programs.

3. Reduces Accountability of Elected Officials. -- By serving as the principal administrator, the local non-government agency relieves state and local officials of responsibility for children's services, thus atrophying the resources and capabilities that are or could be made available.

4. Total Reliance on Federal Funds and Personnel. -- The federal model reduces the possibility of using state or

local matching funds. (Although Head Start's non-federal share concept has mobilized local and private resources).

5. Encourages Parochial Interests. -- No mechanism is provided to represent important state-wide priorities in day care and early child development. Attention of local agency may focus exclusively on children, overlooking family-centered issues.

6. Increases Federal Administrative Burden. -- Large number of grantees would require extensive federal grant management and monitoring mechanism.

State Model

Under this structure, the federal government would deal directly with a designated apparatus of state government. The state would conduct strategic and operational planning for all child care service within its boundaries. Subsequently, it would administer the operation of child care programs either through existing agencies, or perhaps by creating new institutions.

Arguments for:

1. Insures State Participation and Cooperation. -- By utilizing the established state government machinery (or a newly established human resource agency), the state model promotes cooperation and coordination rather than competition and confrontation at the local level.

2. Utilizes State Resources. -- State management personnel and dollar resources would be available for matching programs. State and local personnel would substitute for federal sources.

3. Reduces Federal Control. -- State and local government agencies would jointly develop programs suitable to their unique requirements. Federal objectives would be enforced through appropriate policy guidelines, but federal control would be reduced to review of state and "mini-state" plans.

4. Encourage State Development. -- Operating functions most appropriately performed at the state level would be removed for federal responsibility. State governmental structures would assume greater responsibility, especially for rural areas.

5. Insures State-Wide Priorities. -- State governments can ensure that state-wide priorities are met and that economies of scale from centralized research and demonstration, evaluation, data collection and technical assistance are utilized.

Arguments against:

1. Unresponsive State Governments. -- Some states would be unwilling to implement federal day care and child development programs as prescribed by legislation. Without leverage, little could be done about it.

2. Inefficient Bureaucracy. -- State administrative agencies are often cumbersome, inefficient, time-consuming bureaucracies, with a high degree of institutional inertia.

3. Competing State Interests. -- Unless a new state agency (e.g., the Human Resources Administration) is established, state control will most likely be vested in public welfare or education agencies, neither of which offers much institutional flexibility.

4. Lack of Capability. -- Many states have little competence or interest in day care and early childhood development programs. Child welfare services, which have been state welfare responsibilities, have been ineffective.

5. Eliminates Consumer Involvement. -- State agencies are far removed from parents. No strong constituency at the state level includes parents.

Local Government Model

Under this structure, the federal government would deal directly with an existing or newly created agency designated by the principal political officer (Mayor, County Commissioner, City Council, etc.) of a large municipality.

Arguments for:

1. Preserves Federal Influence. -- By directly controlling the allocation of funds to the local level, the federal government could insure development of suitable day care and child development programs. Uncooperative and inefficient state bureaucracies would be by-passed, and the allocation of funds between rural and urban areas would be controlled federally.

2. Reflects Local Interests. -- The decision-making body in the local government model should be familiar with a full range of local problems and therefore suitable to represent unique local interests.

3. Promotes Coordination. -- The local government model, by utilizing the existing local government structure, could result in improved coordination between child development programs and other service programs such as Model Cities, manpower training, health and other social services at the community level.

4. Reduced Local Conflict. -- As part of local government establishment, this model would tend to promote coordination between local agencies rather than competition and confrontation.

5. Funding Flexibility. -- Groups of local political subdivisions would be able to consolidate their funds in one coordinated program.

6. Strengthens Accountability. -- Puts the mayor on the spot for quality of services provided in his community.

Arguments against:

1. Reduces Consumer Participation. -- As long as the local government establishment controls the operating agency, consumer participation (except in an advisory role) is not likely to be meaningful.

2. Ignores State Capacity. -- Ignores the benefits possible through coordinated and centralized state funding, technical assistance, demonstration programs and data collection.

3. Total Reliance on Federal Funds and Personnel. -- State matching funds and management personnel will be utilized. Local resources are insufficient to provide meaningful matching funds.

4. Encourages Parochial Interests. -- No mechanism is provided to represent state-wide priorities.

5. Undercuts Consolidation of State Programs. -- Many states are currently attempting to consolidate and coordinate social service programs in Human Resources Agencies. The local government model would sabotage this effort by circumscribing the state function.

6. Large Federal Administrative Burden. -- Large number of local grantees would require extensive federal grant management and monitoring mechanism, although local government would also assume some burden.

It can be argued that any one of these models can work, provided that (1) program objectives and goals are clearly expressed in the legislation and by program managers, and that (2) an effective system of accountability is established for assessing performance and for taking effective corrective action where performance is unacceptable.

Accountability need not be just to federal officials, although it is the federal administering agency that must defend the program to Congress in requesting appropriations. Ideally, the administering agency is also accountable to those receiving

the services (consumers) in at least one of three ways: (1) indirectly through the elected officials that designate them (state and local grant models); (2) directly through consumer participation in key program decisions; or (3) through a financing mechanism²⁷ that maximizes the consumer's ability to choose the best service. Each of these models²⁸ permits accountability to either federal program managers or to consumers, in varying degrees, but the choice among these alternatives delivery structures should be governed in large measure by how well the structure evaluates local program administrators in terms of responsive and effective performance.

Throughout this entire document there has been discussion of the consumers of services, the target populations of programs, and the recipients of the delivery mechanisms. The following discussion provides an examination of some of the effects of existing delivery systems on the populations they are designed to serve.

²⁷An outline of funding mechanisms for early childhood delivery systems can be found in Appendix C.

²⁸The exhibits in Appendix B present a graphic demonstration of the models just discussed. The first exhibit represents an organizational scheme which encompasses the federal, state and local government models. The subsequent exhibits are representative of four models out of the thirty-one possible variations on the organizational scheme.

Effects of Delivery Systems on the Minority Population

Since the majority of social service delivery systems and related programs are designed to meet the needs of minorities (e.g., Blacks, Mexican-Americans, Spanish-Americans and Native-Americans), it is necessary to look at the state of minorities in this country, the systems which perpetuate this state, and the most effective route toward the improvement of this state and the elevation of minority populations to equal-citizenship status.

Gerhard Lenski has outlined a broad theory of social stratification which treats power as the crucial variable.²⁹ The general theory can best be expressed through a number of propositions derived from Lenski's writings:

1. The basic components of all social stratification are power, privilege and prestige.
2. In all societies, power determines the distribution of all privileges (both economic and non-economic) beyond the bare subsistence level.
3. Most prestige is gained directly from the possession of privileges and indirectly from the exertion of power.
4. While cultural and personal values may determine the particular kinds of privileges and prestige an individual will seek, all persons, generally, attempt to exercise as much power as possible and to transform this power into valued privileges and prestige.

²⁹Gerhard E. Lenski, Power and Privilege: A Theory of Social Stratification (New York: McGraw-Hill, 1966).

5. For a variety of reasons, social, psychological and cultural, power tends to be distributed unequally within any society.
6. Once the exercise of power has resulted in the acquisition of some degree of privileges and prestige, these can be employed as resources for the exertion of additional power and the acquisition of more privileges and prestige.
7. Individuals will attempt to keep power, privileges and prestige in balance so as to avoid severe inconsistencies in status, since a major change in any one of the three factors will eventually result in changes in the other two.
8. Individuals normally attempt to protect and retain whatever valued prestige, power and privileges they have and to pass them on to their heirs.
9. The resulting patterns of organized and perpetuated social inequality constitute the system of social stratification.³⁰

Stanley Lieberman also uses a power perspective in developing a set of theoretical propositions to explain the broad historical dynamics of racial and ethnic social inequality.³¹ He places the roots of racial and ethnic stratification in the initial contacts between two populations which differ in physical and/or cultural characteristics. Various patterns of racial and ethnic inequality will tend to develop, based on the power of the migrant population in relation to the indigenous population.

³⁰Gerhard Lenski, Ibid.

³¹Stanley Lieberman, "A Societal Theory of Race and Ethnic Relations," American Sociological Review, Vol. 26, December 1961, pp. 902-910.

The American system of social stratification and racial and ethnic inequality is perpetuated, in large measure, by the power, privilege and prestige accorded the federal bureaucracy. Federal social delivery systems determine the degree of power and control vested in the local community.

The manner in which power and control is withheld from minority populations through the intricacies of Federal Government management, from the awarding of research grants to institutions of higher learning, to federal agencies, to state governments, and finally to the local community, can best be explained through the following examples.

Local Communities

None of the existing delivery systems channel resources directly into the hands of the service recipients. State education or welfare agencies have the maximum amount of power over the allocation of resources to communities. The administrators of these state agencies are usually appointed by the state administration, and represent the basic philosophy and goals of the administration. Consequently, the programs administered by these agencies and operated in local minority communities, are representative of the philosophy of the overall state administration, and not of interested and informed local persons.³²

³²Therefore, in a state such as Alabama, the programs operating in minority communities indirectly reflect the philosophy, goals and ideals of Governor George Wallace.

Along with the built-in handicap of state administration, local consumers are faced with the additional obstacle of program competition. Because the various social service programs offer a vast duplication of services, supported by separate state financial sources, they are constantly in competition with one another for the community support which will insure survival. As a result, these various programs are at constant odds with one another, destroying the connecting fibers of the community, rather than consolidating these fibers into a constructive unity working together for the benefit and betterment of the entire community.

Yet another obstacle to the success of community programs to effect substantial change in the social conditions of minorities is the negative connotation placed on these programs, advertently or inadvertently, by their designers. All seven of the programs described earlier in this chapter,³³ because they are aimed, ostensibly, at improving the conditions of disadvantaged persons, living in deprived areas, require that individuals exhibit proof of their deprivation as a prerequisite for enrollment in the program. Therefore, individuals subconsciously feel that there must be something terribly wrong with them or with their environment in order for it to be

³³See chart on Page 89.

possible for them to receive the service. Persons, desperately in need of the services which the programs can offer them, their families and their community, accept the stigma society places on them by their enrollment in the program, carry this stigma with them, and are psychologically affected by it.³⁴

State Government

Almost all social service programs have a funding mechanism which requires some sort of "matching arrangement." Under these matching arrangements, the Federal Government is authorized to provide a certain portion of financial resources to the state, with the provision that the state match a percentage of the allocation. Often the matching percentage can be made up with "inkind" resources (e.g., volunteer services, facilities, equipment, etc.), but in some cases (e.g., Title IV-A of the Social Security Act) the matching percentage must be in actual financial resources.

Matching state funds are appropriated by the state legislature, and the federal government will only match the exact figure appropriate (i.e., if the arrangement is 25% State, 75% Federal and \$250,000 is appropriated by the State, the Federal Government portion will be \$750,000, making a total state budget of \$1,000,000). Many state legislators,

³⁴Arthur W. Combs, "New Concepts of Human Potentials: New Challenge for Teachers," Childhood Education (Washington, D.C.: Association for Childhood Education International, April, 1971), pp. 349-352.

recognizing that such funds will ultimately be allocated to minority communities, will vote for the appropriation of funds far below the amount required by the state to provide quality services in large quantity, knowing that the matched federal funds will bring the total state appropriation only to the very minimal acceptable level. Hence, the perpetuation of inferior, fragmented services.

Federal Agencies

Approximately eighty percent of all programs developed for disadvantaged children and their families are administered by the United States Department of Health, Education and Welfare. Within DHEW, there is only a very small percentage of minorities in a professional capacity. Of this already small representation, only a few individuals possess administrative authority, and even fewer have funding power.³⁵

Hard-line federal bureaucratic rigidity and age-old institutional racism laid with the cornerstone of the HEW building make significant change in this situation as it now stands, a veritable impossibility.

³⁵An illustration of this point is the author's position as national administrator of a child care program involving over 400 states and communities across the nation. While he had administrative authority, he did not have final decision-making power, and controlled a budget of zero dollars. The only means by which he was able to gain financial resources and support staff so that tasks could be carried out which would give the program some creditability and effect some community change was by working out special arrangements with other agencies concerned with the program for which he was ultimately responsible.

Research Grants

To a large degree, the Federal Government must depend on the research divisions of institutions of higher learning to conduct research into various social conditions prevalent in society. The results of this research are the foundations upon which public social policies for the disadvantaged are built.

In his capacity as Executive Assistant to the Director of the Office of Child Development, the author had many opportunities to observe that the majority of the membership of the review panels convened to award such research grants were white, middle-class and highly intellectual. The vast majority of contracts are, therefore, awarded to major white institutions which have established a name for themselves in the field of research. Consequently, the resultant policies have no minority input; are often based on a misrepresentation of the facts due to the perceptions and attitudes of the researchers; and have no meaning or relevance in the minority community.

As Samuel Yette³⁶ points out, attempts to rectify such situations as those just described made by concerned government officials, enlightened private citizens or organizations, and/or disillusioned and enraged minority groups usually come

³⁶Samuel F. Yette, The Choice (New York: G. P. Putnam's Sons, 1971), pp. 119-122.

to naught, because these attempts are thwarted by the inevitable reactions to such actions. Too much pressure for change, regardless of where the pressure originates, is ultimately felt and reacted to negatively by the "powers that be" -- the Congress of the United States. The Senators and Congressmen who chair the various Committees which have final power over social service programs are not easily swayed from their convictions, resent attempts to usurp their power, and can, in the end, eliminate the funds, the supportive resources and the legislative mandate of the program under attack -- in effect, the program itself.

Thus, the vicious cycle continues -- poorly designed programs combined with ineffective delivery of inferior services, produce frustrated consumer populations who rise up in anger and attack the establishment, which puts down the attack by eliminating the cause, and new devices are hastily contrived to temporarily placate the aroused constituency.

The history of race relations in the United States fits the theories of Lenski and Lieberman mentioned earlier quite closely. During the late 1800's and early 1900's, race relations began to shift from a paternalistic to a competitive pattern throughout the country, and Whites used their superior power to force discrimination and segregation upon Blacks, Chicanos, Puerto Ricans and Indians in an attempt to retain, for themselves, as much privilege and prestige in society as possible. If racial inequality is, in fact, basically a

result of the exertion of power by Whites, then minorities seeking to change the situation and establish a greater equality of privileges and prestige, must exercise power against the dominant Whites.

It has only been in the last twenty years that a significant number of minority members, and White sympathizers, have begun to apply these theories in a systematic effort to effect widespread social change. Marvin Olsen has divided the general process by which successful social change occurs into five major stages: organization, power exertion, confrontation, social change and attitude change.³⁷ A summary of each of these stages may help in gaining greater insight and perspective as to where this nation is today in its battle for social change and racial equality.

1. Organization requires the pulling together of sufficient resources for generating an effective power base from which to act.
2. Power exertion can begin as soon as sufficient organizational resources have been acquired, with the goal of putting pressures on the White community and creating tensions and conflicts.
3. Confrontation is the crucial aspect of this process, and occurs when the White key functionaries agree to meet and negotiate with the minority leaders to resolve threatening conflicts.

³⁷Marvin E. Olsen, "Power Perspectives on Stratification and Race Relations," Power in Societies, ed. by Marvin E. Olsen (New York: MacMillan, 1969), pp. 303-304.

4. Social change begins when the agreements reached through negotiations are put into action by the key functionaries. The significant feature in this stage is that these broad social changes are being implemented by those persons in the White community who can exercise sufficient power to insure their success.
5. The final stage is widespread attitude change among Whites, as they discard their old attitudes of racial prejudice.

America is in the third and fourth stages of Olsen's process of change³⁸ right now, but it has taken this country far too long to get through the first two phases. As Killian and Grigg state, "The prospect is dismal; the need for a solution to the crisis in race relations is desperate...Americans, particularly White Americans, must soon awake to the fact that the crisis in race relations is second in gravity only to the threat of nuclear war."³⁹

At this junction in our history, only a very small group of qualified and highly motivated members of the minority population are willing or able to take advantage of the legal principles passed in their behalf. To effectively move this country forward through stages four and five of the social change process, delivery systems for social services must aim toward policy and attitude change and toward the handing over of power to the vast majority of the minority population.

³⁸Marvin E. Olsen, Ibid.

³⁹Lewis Killian and Charles Grigg, Racial Crisis in America: Leadership in Conflict (New Jersey: Prentice-Hall, Inc., 1964), p. 130.

This chapter has provided the reader with a comprehensive picture of existing delivery systems. The problems associated with delivery systems were outlined; current programs for the delivery of early child development services were examined; three models for the administrative flow of authority and funds were explained; and the effects of delivery systems on minority populations were discussed.

In Chapter IV the author gives a rationale for his perception of an effective delivery system, based on the information in preceding chapters. This rationale is followed by a definition of an effective delivery system in terms of the functions, issues, needs and elements surrounding the system. Finally, the author provides the reader with two alternative delivery systems which he perceives as the most promising in terms of future effectiveness.

C H A P T E R I V

AN EFFECTIVE DELIVERY SYSTEM

Introduction

Prior discussion in Chapters II and III of this study have provided the reader with background information on the history and current state of delivery systems for early child development services in the United States. Having carefully examined the historical development of early child development programs and the operation of existing programs for young children and their families in this country, the author has found that the common thread which runs throughout is the need for a comprehensive service delivery system.

Based on prior experiences and the additional knowledge and information gained in preparing this paper, the author proposes, in this chapter, two alternative systems for the comprehensive delivery of integrated services to young children and their families. The Introduction to Chapter IV includes an explanation of services integration, the issues associated with service delivery and the advantages of a system of services integration. The author then develops a rationale for the proposed alternative delivery systems, after which an effective

delivery system is defined in terms of its functions, the issues surrounding it, the needs it must meet, and the elements it contains.

Services Integration

The setting for comprehensive service delivery, whether at the point of delivery impact upon individual lives or in federal agency headquarters in Washington, is pluralistic in extreme.

Without taking this fact as the basic point of departure, a discussion of the potential of comprehensive service delivery is unlikely to achieve the sophistication demanded of a strategy which will move beyond the status quo of fragmentation to newly cohesive perspectives on the day-to-day operations of the federal government, on the functioning of state and local agencies dealing in human services, and, most importantly, on the problems of people. Perhaps the most important change which can come about at the federal level as a result of the current emphasis upon comprehensive service delivery and integration of services is a new focus on the part of program managers -- an increased tendency simply to think across program and agency lines instead of being continually constrained by them.

The attitudinal barriers to the concept of comprehensive service delivery, are considerably more important in maintaining

the vertical, functional autocracies' approach than are resource constraints or even environmental complexity in human services programs. More than policy statements or administrative initiatives, changes in attitudes at all levels of the federal government will make general movement toward integration of services across federal programs more feasible. Evaluating such attitudinal change with precision would seem less important than insuring that services integration does not become merely another passing programmatic fad which will drift away in a sea of shifting priorities.

The overriding thrust in comprehensive service delivery, therefore, is the creation of flexibility in accountable systems of service delivery in response to locally determined priorities. This flexibility should seek innovative combinations of services across agency and program lines -- breaking up the narrow jurisdictions of both federal and local agencies with efforts to respond to total problems instead of partial diagnoses.

Services integration, almost by definition, is enormously difficult to justify in terms of cost-effectiveness. With the exception of simple economies of scale, the more important benefits of services integration appear to lie in areas of interface between two programs or agencies, where

the synergistic consequences of cooperation and coordination are imprecise and often invisible in the initial stages of program combination.

There is a basic assumption throughout this paper that an effective service delivery system should be one of capacity-building and enabling, not one of establishing a single prescriptive model with a level of detail which constrains local choices of services based on local needs and priorities. The federal government should improve its ability to set forth the costs and benefits of alternative approaches.

Integration of services is not a panacea. The rationale for services integration is composed of partial arguments, in that no single portion of the rationale merits the sustained effort which services integration will demand. Rather, it is the aggregate of the following arguments for services integration which justifies it as a major new priority of the federal government.

1. Response to Human Problems. -- The basic element of the rationale for integration of services into a comprehensive delivery system is the argument that improved program effectiveness stems from the capacity of a service system to deal with the full range of an individual or family's needs, rather than to provide only single-purpose treatment of one problem which may be only symptomatic. Here it is simply the categorical treatment of people which is the target of change.

Integrated services for all target groups, which are comprehensive and not tied to any limited goal or categorical care, offer a potential for concerting federal resources with permanent effort on clients, rather than one-time temporary palliatives or narrowly conceived objectives.

2. Multiplier Effect. -- Intensive analysis of programs which could be more closely linked can produce much improved program performance in achieving broader goals. At present, for example, there is little effort in program guidelines or technical assistance for neighborhood child development centers to consider the effects of the center upon: (a) resident employment as a manpower resource; (b) facilities location in view of existing neighborhood programs; (c) total-family needs; (d) transportation requirements; or (e) impact on other local child care programs. This aspect of the rationale for integration of services is not simply a plea for better planning, although that is most essential; it is a recognition that narrowly conceived programs ignore many opportunities to use the single program as a means of accomplishing the goals of other programs not under the direct administrative purview of the administering agency itself. The multiplier effect sought can be achieved only if recurring opportunities for program linkages are analyzed by planners, operators and evaluators from the federal to the delivery level. Typically, much in the program guidelines

calls for vague effort to seek appropriate coordination; such effort rarely enforced from within a program staff at either the federal or local level.

3. Increased Efficiency. -- The most simple impact of services integration is to increase economies of scale and improve the cost-benefit impact of programs. The examples of pooled day care facilities for a group of community-based programs and pooled transportation equipment make the point clearly.

Little analytical effort within the federal government has been devoted to this dimension of the integration of services. As a result, assertions that considerable efficiency in the use of federal funds could be achieved through integration of services are without documentation at present. It should be recognized, as well, that this drive for greater efficiency is in potential conflict with the tendency of each program and agency at the local level to establish its "own" supportive services in an effort to achieve greater program self-sufficiency and expand the scope of the agency or program. Arguments of efficiency become considerably less important than bureaucratic and political desires for a broadened constituency loyal to a single program with those supportive services under its direct control. Purpose or service agreements represent one of the most important counter-trends, but it is difficult to determine whether this device has begun to overcome the resistance of single-purpose programs.

4. Reduced Functional Fragmentation. -- It is arguable that any effort which works against the federal government's current tendency to protect narrow jurisdictional boundaries among disciplines and programs represent a not gain for the federal government. To the extent that services integration encourages a revamping of the value of the limits on a single program area such as mental health or the role of the schools, the federal government is equipped with a new cross-cutting tool for forcing new analysis of program interrelationships.

Taken as an extreme argument, this case leads to a rationale for social service agencies becoming far more preventative in the sense of advocacy-oriented programs as opposed to rehabilitative, therapeutic and protective ones. While comprehensiveness need not mean that social workers be engaged solely in community action, there is currently much more potential than has been realized in the past for social service agencies to move toward a form of comprehensiveness which recognizes the need for institutional change to truly benefit dependent persons, rather than to be content with ameliorative measures.

Rationale

Existing systems for the funding and delivery of services at the local level, due to the piecemeal way in which

they are packaged, often prove a hindrance to local communities in the planning of coordinated comprehensive programs.

As previously discussed, many projects draw funds from several agencies, through a variety of application procedures, with numerous and varying eligibility requirements. Consequently, the entire funding process of a single project is lengthy and cumbersome.

It is well to remember that each constituent agency in...a coordinated effort is mired in its own cultural lag and trapped in its own unyielding power structure. To expect that all, or even most, of these agencies will respond in a self-renewing way to the call for coordination is to deny the realities of organizational life. The anti-poverty program, if it has proved nothing else, has underscored the lack of readiness of many community agencies to react with swiftness and flexibility to the challenge. Attempts to coordinate community agencies, which are in varying stages of self-renewal, into a cohesive and organic whole are almost inconceivable. Although we recognize that many other people believe it to be feasible, we consider them visionaries who suffer from their own cultural lag.¹

The concept of comprehensive service delivery is a recent one at the federal level, becoming most significant in the early 1960's, with the advent of the many social programs of that decade. The large amounts of social legislation in the 1960's made the need for integration of services for comprehensive delivery essential in order to coordinate the many fragmented, single-purpose programs.

¹Herbert Rusalem and Roland Baxt, Delivering Rehabilitation Services. Published for the National Citizens Conference on Rehabilitation of the Disabled and Disadvantaged by the U.S. Department of Health, Education and Welfare, Social and Rehabilitation Service, Washington, D.C. (1969).

The decade of intensive experimentation and innovation in social services delivery heralded by the 1960's has brought this country to a state of chaos and confusion. Is it possible to erect, out of this chaos of experimental approaches, a theoretical model which can be put to practical use in guiding Federal, State, and Local officials as they organize for the planning and development of comprehensive, coordinated delivery systems?

The nation is understandably suspicious of models in light of the vast number of model programs for the delivery of social services which has been heaped upon it in the past ten years, and which instead of lifting the country out of the mire, have left it floundering more than ever before. One of the primary reasons that the many approaches to service delivery introduced in the 1960's failed is that they were rigidly designed for imposition on American communities as a "package deal," rather than being designed with enough flexibility to allow them to conform to the many diversities of these communities, including the physical, economic, social and institutional diversities.

The difficulties of existing mechanisms for the delivery of child development services, combined with the imminence of new programs, high-light the critical need for improving existing child care delivery systems. The delineation of the elements of such a system will, hopefully, provoke thoughtful consideration of options and alternatives.

Three issues are essential to effective consideration of alternative delivery systems. First, one must look at a rational arrangement of the functions of such a system. Second, the nature and characteristics of organizations which are to perform the functions must be analyzed. Third, one must be aware of the significant implications which result from the interweaving of functions and structure. One should keep in mind that the role of the federal government is limited except as it relates to state and local mechanisms for the delivery of services.

Definition

Functions

Careful analysis of the various delivery systems currently in operation reveals six principal functions that are essential to delivery system organization. The major functions -- (1) planning; (2) coordination; (3) technical assistance; (4) funding; (5) program management; and (6) evaluation -- operate in a cyclical arrangement, each leading into the other, and the last effecting the first.

The planning function can be broken down into three phases -- strategic planning, program planning and advocacy planning. Strategic planning involves the identification, definition and measurement of the need for service; the formulation of a statement of the desired change in conditions; and the development

of a set of strategic objectives by which the program can meet the identified needs and attain the projected goals.

Program planning takes place subsequent to strategic planning and involves the formulation of a set of quantifiable objectives, and the identification and allocation of specific resources (e.g., men and money) to meet those objectives. The end result of this planning phase is an actual program.

Advocacy planning utilizes the same techniques that are employed in strategic and program planning, but the results are directed at other organizations and systems. In the strategic sense, child development planners would urge the local health service organizations to modify their goals to deliver services which would benefit children; in the programmatic sense, health delivery systems could be urged to deliver services at the site of child care activities.

The second function of a delivery system to be discussed here is coordination. Coordination is a formal agreement among groups to conduct jointly a specified number of functions, and is subsumed under all of the general functions of an organization (i.e., planning, operation, and evaluation). It is to be differentiated from cooperation which is informal in nature, and usually based on personal relationships.

There are two kinds of coordination, horizontal and vertical. Horizontal describes a relationship among equals, all

at the same governmental levels, but engaged in a broad array of related services. A local board, including a local school superintendent, welfare director, United Fund executive, community action program director, et. al., would be an example of horizontal coordination.

Vertical coordination describes a relationship among two or more sequential layers of authority within the same service delivery system. The need for vertical coordination generally centers on the operating functions. Vertical coordination would be indicated by the relationships among a Standing Committee at the federal level, a Federal Regional Committee, a state board, and/or local board.

There are two general ways of bringing about coordination. First, the social compact theory of coordination can initiate a formal system. All participants agree to be bound, as equals, to carry out the functions upon which the group agrees. Second, coordination by authority exists where one organization is empowered to convene a group in order to meet a specific purpose.

Once the planning and coordination functions are successfully completed, it is time to secure financial resources and obtain funding for the program. There are two types of costs to be covered in funding a delivery system -- developmental costs and operating costs.

Before there can be effective operation of a delivery system, certain resources must be in place. Given the development of a satisfactory strategic plan, funds must then be available to prepare an operational plan. Subsequently, the administering organization is obliged to provide a suitable, licensed facility; and this may require construction, renovation and/or special equipment. In addition, the organization requires knowledgeable and competent personnel; this, of course, means training. All of these needs are developmental costs which require funding resources before the program can be put into actual operation.

Additional funds are needed to meet the continuing expenses of operating a program. Salaries and the purchase of consumables such as food, utilities and other line items all come under the category of operating costs. Generally there are five techniques for providing funds to cover operating costs:²

1. Project grants - grants of money are awarded to public and private non-profit organizations where the grantor desires that the grantee have flexibility in operation, and the opportunity to develop institutional capability over a period of time.
2. Contracts - contracts may be made between a funding organization and any public or private organization which promises to administer a program. This arrangement is usually appropriate where the funding agency seeks to exercise a degree of control over the operating program for a specific period of time.

²Appendix C: "Child Care Financing Mechanisms"

3. Vendor payments - under a vendor payments system, an administering agency agrees to pay the provider for rendering service to a designated beneficiary.
4. Vouchers - under a voucher system, the administering agency provides a voucher for a designated beneficiary. The beneficiary exchanges the voucher for service. The provider of service then exchanges the voucher for funds from the administering agency.
5. Fee - a simple fee system prescribes a direct payment by the beneficiary to the administering or operating agency in exchange for service.

Program management is certainly as important as planning, funding, and coordination, but it is much less controversial. A child care delivery system must account for and control the expenditure of funds regardless of the funding mechanism. Secondly, it must assure that services are actually being delivered in accordance with appropriate standards by monitoring compliance with licensing provisions, fire and safety codes, the Federal Interagency Standards, and the controlling provisions of an approved grant or plan. Third, the delivery system must be able to make changes in its operational plan according to the information which it receives. Administering and operating techniques must remain flexible. Finally, the function of program management must include the ability to provide information concerning levels of operation.

Where there is a gap in resources needed for successful operation, there is a need for the technical assistance function.

Usually, this will occur in program management, with regard to knowledge in the techniques of administering a specific child care service, or as a need for training.

With proper definition of the requirements for technical assistance, resources can be found either within or outside of the state or local community, and often within a remote part of the child care delivery system. The federal government can meet the need in two ways. First, it can provide funds so that the state or local administrator can purchase assistance (perhaps by obtaining a consultant). Second, it can develop a cadre of individuals who are knowledgeable and adept at problem-solving.

During the past few years, technical assistance efforts have not been too successful. The presence of incompetence has been as characteristic as the overburdening of competence. This situation, as well as that which precipitates the need for technical assistance, both demonstrate the dire shortage of trained personnel.

The last function which an effective delivery system must perform is that of evaluation. Evaluation is the process by which the organization recognizes its goals, assesses the worth of the goals, and decides whether or not in fact the goals have been met. It is a function in the delivery of child development services which is most neglected, and consequently, most susceptible to efforts of improvement.

Evaluation suffers most because of the poor conceptualization of program goals. In the area of child development, concerns are aggravated because of insufficiencies in the techniques of measurement and diagnosis. As evaluation improves, its impact on strategic planning will become more and more evident.

Issues

There are a number of significant issues which confront the functions of planning, coordination and funding, since these three represent the most controversial of the functions.

There are three major issues concerning the planning function:

1. At what level should strategic planning take place? Should decisions about need and strategy be made at the federal level and merely executed by states or local communities?

There is, of course, great value in the formulation of strategic plans at the point closest to the delivery of service simply because the plans are more likely to be responsive to unique, local need. At the same time, however, the full scope of the function may be limited by legislation which authorizes operating funds in accordance with a national purpose, or it may be limited by the shortcomings in local capability. If strategic planning were done at the federal level, programs

would be more ministerial in nature, and they might be operated more efficiently at state and local levels.

Many child care program planners believe that the greatest effectiveness is obtained with strategic planning taking place at the state level, and separately, in large cities which either have or should have a planning capability. (Population in excess of one quarter million may be a determining factor for a city.) Furthermore, it is believed that state government should, wherever appropriate, plan with sensitivity to the needs of unique regions and cities within its boundaries.

2. What is the composition of an organization which conducts strategic planning for the delivery of child care services?

Given a wide scope of responsibility, a planning body performs more effectively if it represents a broad cross-section of interested elements in state and community. Parents of children assist immeasurably in defining need; professionals are most knowledgeable in terms of developing appropriate strategies; public officials are sensitive to the moods of the electorate, and usually, can assist with the availability of resources. Moreover, a broadly based group is more likely to cope with problems which occur because of change.

On the other hand, a few professional planners are usually more efficient, and they rarely obstruct the overall operations of a system. Without strategic planning responsibility,

they would be all that is necessary. Planners do not, however, have a monopoly on information in child care.

Program planners recommend a broadly based organization with a state or local board. Furthermore, it is recommended that such a board, with competent staff support, direct the entire effort at the strategic planning level. Relegating a board to an advisory role would ultimately result in frustration, dissatisfaction, and dissolution.

3. Should a child care delivery system engage in advocacy planning?

It is difficult to see how a system which delivers child care service can perform as an advocate, because in most instances, the organizations within the system would be the ones subject to challenge. While the system should support the broad concept of advocacy, the function should remain within the community and outside the system.

The responsibility for program planning does not arise as an issue. The organization which administers the actual delivery of service, whether by contract or through its own personnel, is the most logical custodian of the function. An objective, such as the provision of 50 slots in family day care homes, may be unrealistic if there are no licensed facilities; and it can be more easily modified at the point where the necessary information becomes available.

Two major issues concern coordination:

1. Is coordination worth the considerable time and effort required to bring it about?

Like the weather, everyone talks about coordination, but no one does anything about it. Administrators, preoccupied with their own schedules and requirements, are indeed reluctant to allow influences outside of their systems to modify their concepts of priority. What then are the values?

First of all, efficiency and the elimination of duplication are super-ordinate goals for all systems. Secondly, coordination seems to have a synergistic effect on all participants, especially at the local levels. Sharing of information and expertise by administrators in communities where talent is scarce inures to the benefit of all. Of greatest importance, however, is that the function of coordination makes it more likely that a child, in need of multiple service, will receive those services. If organizations coordinate, especially around strategic and program planning, needs will be better defined and met.

2. What is the best way to bring about coordination at the state and local level?

The social compact theory³ is undoubtedly the best way to develop coordination because it creates minimal hostility. A

³James L. Sundquist, Making Federalism Work (Washington, D.C.: The Brookings Institution, 1969).

legislative enactment, on the other hand, may be the only way to assure the function in a substantial number of states and communities.

It is suggested, with some reluctance, that legislation may be the only sufficient response. Hopefully, the forced aggravation of legislative action will disappear with time.

The principal issues under the funding function are as follows:

1. What are the appropriate techniques or mechanisms for providing development and operating costs?

Recent ideas about funding mechanisms have not centered on a single technique, but rather on a blend of techniques. For example, grants (or perhaps contracts) could be awarded for development costs; vendor payments or vouchers can cover operating costs with grants used as supplements if necessary; finally fees can be charged to augment the pool of operating funds.

This rational arrangement of functions is quite appealing, but its neatness conceals a number of problems. First, the vendor payment and voucher systems derive value from giving the beneficiary a choice among available services, and ultimately, this will improve the overall quality level of child care service. However, if there are not sufficient numbers of program operators to provide competition, these systems lose their value. A frequent rejoinder then suggests that a grant system develop

numbers of operating programs to foster competition. Aside from obvious inefficiencies, this contention still avoids what may be a controlling argument. The American economy of the 1970's is, for the most part, controlled not by the consumer, but by the supplier of service. Efforts at stimulating competition, with consequent improvements in service quality, may be futile.

A second problem centers on the fee system. Whether the fee is scaled to the cost of service or to the ability of the beneficiary to pay, it merely glosses over the insufficiency of resources compared to the total demand for operating funds. If public schools are free, why not child care? Does reliance on a fee system contradict the move toward full funding?

All in all, the greatest value at present, seems to lie in a blended funding system. After all, vouchers and vendor payments are untested, and criticisms may prove to be invalid. It is suggested that funds for child care service be made available at 100% levels for development and operating costs. New service will be expensive, and state and local governments have strained their existing tax structures to the breaking point. Furthermore, the need for child care service is a national need, and it should not meet success or failure at the hands of the uneven capabilities of state and local government. Certainly, the mechanisms promise greater

efficiency. Regarding the use of fees, it is an undeniable fact of life that there are insufficient funds for child care, and that full funding may be 20 years away. Furthermore, if delivery systems continue to give priority to children of low-income families, the fee can allow children to continue to benefit from child care if the family income goes up. Moreover, the fee may reduce the socio-economic stratification that is all too evident in existing programs.

2. Should child care delivery systems be funded completely by the federal government?

During the past decade, most grant-in-aid programs saw the federal government provide funds to match a cash or in-kind share furnished by the state or local community. Thus, communities with initiative, local commitment, or available resources were able to capitalize on the weakness of others. The incidence of programs, therefore, did not always parallel the need for service. One notable exception to the general pattern was the Title I program under the Elementary and Secondary Education Act of 1965 which disbursed funds to the states on the basis of need. However, in actual practice, Title I funds were frequently spent in schools for purposes that did not meet the "need for services" qualification.

3. What can be done to assure stability and continuity of operation for a federally-funded child care system?

The legislative process often bears peculiar fruit. Under the Head Start Program, for example, a fiscal year beginning July 1st is affected by an appropriation taking place during the month of November, and the ramifications of that appropriation must be digested by the following June. Programs operate, therefore, under the Sword of Damocles, never knowing whether to reduce staff, limit the number of beneficiaries, etc. Uncertainty in any organization breeds inefficiency, low morale, and ultimately -- a lack of effectiveness. It is recommended that, to the extent that grants or contracts might be used, operating funds be assured for three years.

In the use of vouchers or vendor payments, a similar guarantee must be made to program operators, especially to new entrants to the ranks of suppliers. Not only must this be done to provide a future for the profit-seekers, but also it must allow a new organization to mature in its ability to operate an effective program.

Needs

In addition to the general functions described in the preceding sections, there are several more specific needs which must be met by a comprehensive coordinated service delivery system. These needs are essentially the same for all three levels of government, but are viewed differently from the vantage point of each level.

Any new governmental organization comes into a local community not as an entity unto itself, but as a part of the establishment of local institutions; and its role in the community will depend on the roles played by the existing community institutions. The differences found among various communities are not to be found in the functions to be performed by the institutions within the community. The functions remain relatively stable throughout the country, because the basic needs remain the same. The differences are located in the capacity of the existing institutions to perform the necessary functions. The newly created organization must place its focus and emphasis on those functions that are not being performed with success by the existing institutions.⁴

One of the most fundamental federal needs is an uncomplicated and highly effective system of communication between Washington and the local communities. The numbers involved in such a system are in the millions, when one looks at the communication links needed to connect all of the points of origin in Washington with all of the points of destination in the local communities. There is a definite need for a central organization, located at the community level, which would have a two-fold purpose: (1) to serve the communities

⁴James L. Sundquist, Making Federalism Work (Washington, D.C.: The Brookings Institution, 1969), p. 216.

by answering their questions, and (2) to serve the federal agencies by distributing information directly to the recipients of federal aid.

Federal assistance programs are not designed to provide financial assistance to local communities solely for the purpose of advancing local interests; they are national programs, designed to serve national interests which coincide with local interests. For this reason, a representative of the federal government may have to recruit potential grant applicants, publicize the program and encourage participation, if the national interest is to be served. The failure of one community to respond to a national program could adversely effect other communities, and in turn, have a negative effect upon the entire nation. It is obvious then, that there is a need, at the community level, for an organization which will publicize federal programs and promote participation when necessary.

While many of the larger communities in the nation are self-sufficient in terms of project conception and planning, most of the smaller communities need help in these areas of project planning and development. In these smaller communities, part of the technical assistance function is the training of local personnel in project planning and development. A reliable source of technical assistance at the community level is invaluable.

In order to gain maximum use of available funds, local communities need a mechanism for identifying priorities based on a strategic analysis of existing problems and available resources. This mechanism should be realistic and practical in its task while at the same time demonstrating creative imagination. Once a sound developmental strategy has been established, it must be explained to and accepted by the local community, so that the general priorities and specific projects and programs which grow out of the strategy receive total community support. Hence, the need for a mechanism for the design of developmental strategy at the local level is identified.

National program goals often require the development of the program by two or more cooperating institutions, in the same or different local jurisdictions, there is a need for an organization at the local level with enough status and authority to call the participants together for meetings, and with enough managerial skill to obtain effective cooperation. The organization may also be required to exert leadership in creating new agencies for specific purposes, and to build morale and inspire initiative in those areas where economic deprivation has resulted in general defeatism. Therefore, it can be seen that the local community has a strong need for an organization which is capable of the efficient and effective mobilization of resources.

The local community also needs an organization which can competently discern the interrelationships between various projects and programs within the community, in order to effectively coordinate these projects and programs when such coordination is feasible. A technically competent instrument of coordination is crucial to local communities in planning for the delivery of social services.

To insure prompt implementation of a project, once it has been developed into a federal grant application, the local community needs assistance in interpreting federal requirements, providing the correct information to the federal government, and in expediting the forward movement of the application. Such assistance is needed so that when the federal government is ready to grant financial support, local communities are ready to receive the support and implement the projects and programs.

While this discussion has centered around local community needs, it is apparent that the same functions which are necessary at the community level are required at the state level, if federal programs are to be effective. The differences which exist between federal, state and local needs are differences of degree of need and not of kind of function. At all three levels of government there is the same need for an instrument to handle the delivery of social services.

One may therefore contend that the ideal structure is that which brings forth the most competent people to perform the largest array of functions. State government, suitable in one instance, may be entirely inappropriate in another, and the organization of an effective delivery system might require a by-pass. Such flexibility, while desirable, never becomes evident within any federal delivery system. The penchant for bureaucratic neatness and consistency, the propensity for politicians to treat equally the unequal geographic incidence of problems, all militate toward uniformity, and uniformity is still the mother of mediocrity.

In identifying the needs at each level of government, the systems planner can determine that a truly effective delivery system is one that can: (1) establish an efficient mechanism for communication; (2) effectively publicize and promote national programs; (3) provide competent technical assistance; (4) develop a viable strategy design; (5) mobilize available resources; (6) coordinate projects and programs; and (7) implement the administration and operation of programs at the federal, state and local level.

Elements

The essential functions which an effective delivery system must perform and the basic needs which the system must

be designed to meet, combine to form the elements which must be contained in the design of the delivery system if it is to be truly effective. The basic elements, then, of an effective delivery system for comprehensive family and child development services are as follows:

1. Flexibility in adaptation to recognized needs and priorities.
2. Mechanics for building capacities at the local level for efficient solution of problems.
3. Responsiveness to human problems in a comprehensive manner.
4. Effectiveness in multiplying the service opportunities of agencies.
5. Development of increased efficiency in service delivery.
6. Reduction of fragmentation and duplication of services.

In relation to the effect of a comprehensive service delivery system embodying the elements and functions outlined herein on children and their families, it is obvious that such a system would serve the following purposes:⁵

1. To focus national resources on the total development of children, with particular attention given to very young children.

⁵The purposes listed here are taken from a draft copy (dated 8.21.70) of the Child Advocacy Bill introduced in the 92nd Congress by Senator Ribicoff. The author of this document was a key person in the development of the draft bill.

2. To create a central point of responsibility at every level of government so that children and their families are guaranteed the receipt of services necessary to prevent and/or to treat mental and physical disabilities.
3. To modify or eliminate inefficient programs and to replace them with more effective means of insuring the healthy growth and development of children.
4. To coordinate and consolidate programs of proven effectiveness to achieve the most economic use of funds and manpower.
5. To evaluate existing programs for child growth and development, and to develop improved methods of service provision.
6. To forge a new partnership between elected officials, the general public, civil servants, and the private sector of the economy in the planning and operation of programs affecting children and their families.
7. To determine the amount of funding and manpower required to extend proper services to children in every community.

An additional element in an effective delivery system is the concept of joint funding. This concept represents one of the most useful mechanisms which the federal level, as well as state and local levels, can employ in the implementation of integration of services.

Joint funding provides a logical and practical means of combining related programs which meet common or similar needs, through a more effective and efficient use of federal assistance. It provides for a removal of most, if not all, administrative and technical impediments. Joint funding would, without doubt,

reduce the number of man hours now expended in the funding of any single project receiving financial assistance from more than one federal source.

One of the two alternative delivery systems proposed in the following pages is a system constructed around the element of joint funding, which embodies many of the concepts believed by the author to be important in the delivery of services to young children and their families.

Alternatives

Joint Funding Model

Historically, one of the drawbacks of joint inter-agency efforts has been the failure of the federal government to actively involve the state in the planning process of such efforts. One of the key features of the current trend in federal legislation for the delivery of early development services is the provision of opportunity for the federal government and the states to work together in developing comprehensive programs and in providing coordinated services to local communities.

The following is an illustration in the area of delivery of early child development services of a procedure for implementing a group of projects with joint funding.

Selection of an administering agency: One of the agencies participating in the joint effort is designated to act as

the administrator of funds for child care. The following criteria, along with other relevant factors, is considered in the selection of the lead agency:

1. The nature of the program or project;
2. The established relationship of the agency to the program or project;
3. The special technical and administrative competence of the agency for dealing with the program or project;
4. The proportion of total federal support that the agency is contributing to the project or program.

Once selected, the administering agency utilizes an established coordinative structure for channeling the distribution of funds to the local community. This means employing Federal, Regional, State and Local staff personnel.

Types of joint funding: A joint funding program will have to deal with three distinct kinds of situations:

1. Where two or more federal agencies are granting funds directly to a program (e.g., Head Start and Title V-B day care).
2. Where a federal agency and a state agency are granting funds directly or making contracts with a coordinative agency and the state agency is using federal funds which are specifically for child care purposes (e.g., Title V-B day care and WIN day care).
3. Where a federal agency and a state agency are granting funds directly or making contracts with a coordinative agency and the state agency is using federal funds which are also available for purposes other than child care (e.g., Title V-B day care and day care provided under the AFDC or child welfare services program).

In the first situation, the problem is relatively simple and can be handled by transferring available funds to a single agency under terms mutually agreeable to the participating federal agencies. A unified application, program-review and grant process then follow naturally.

In the second situation, funds cannot be so easily moved. Three alternative methods are possible:

1. Use of the authority in Section 231(c) of the Economic Opportunity Act whereby a state may be designated as a fiscal agent of the United States in order to channel funds to a project which receives both Federal and State funds.
2. Agreement by a state to permit a federal agency to grant funds directly to a local agency. This might require invoking Section 204 of the Intergovernmental Cooperation Act of 1968 which permits a Governor (with federal approval) to waive single state agency requirements in favor of other arrangements.
3. Close coordination of efforts by federal and state agencies including agreement on a joint application form and review process and agreement to permit grantees to establish a single accounting system with provision for distribution of costs. In this method, there would probably continue to be two separate grants or contracts.

The third situation is similar to the second except that the federal funds come from an appropriation which is multi-purpose in nature. The methods applicable to the second situation would also be applicable, but the state would need to develop some method of treating funds for a coordination program differently than it treats other funds within the same appropriation. This situation would raise special problems on the handling of non-federal share.

Wherever funds are flowing through state agencies, it is clear that there will be a need for new arrangements for dealing with program officials. Among the possibilities are:

1. Development of joint federal-state standards.
2. Use of joint teams of project officers.
3. Use of a single project officer acceptable to both federal and state officials.

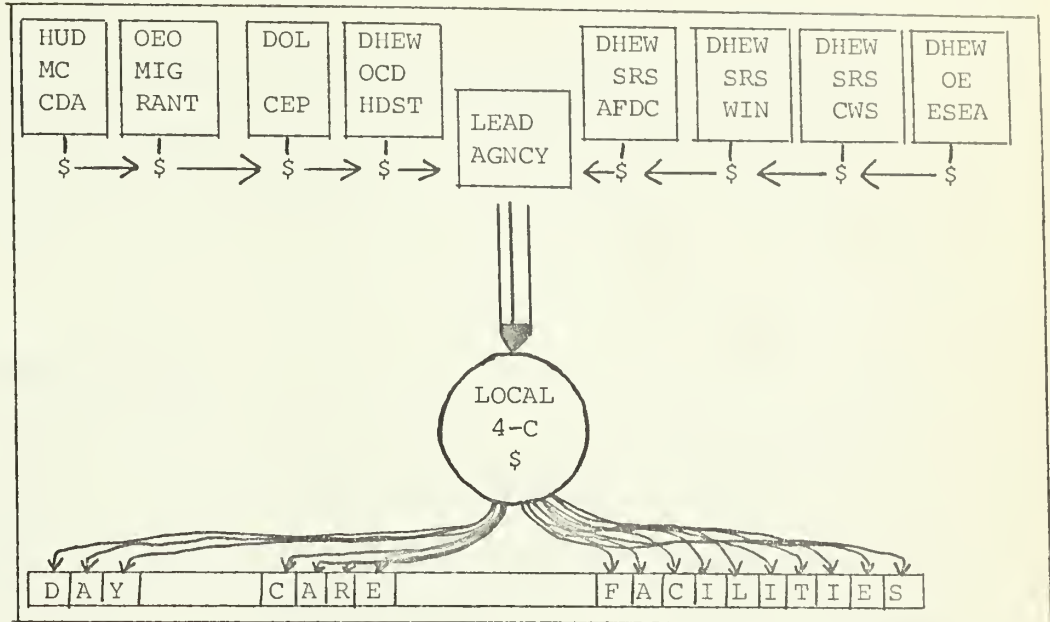
Funding of jointly supported programs or projects:

A Federal Regional Committee is responsible for implementing policies governing joint funding. A joint management fund shall be established at the federal level, into which each participating agency shall advance from its appropriations a share of the amounts needed for payment to the grantee. Agency advances shall be made at agreed upon intervals. Any funds not expended by the grantee at the completion of the project shall be returned to the joint management fund. Excess amounts in the joint management fund which are applicable to expired appropriations will be lapsed from that fund and other excess amounts may be returned to the participating agencies on an equitable basis, agreed upon by the agencies, and in accordance with the proportion of support borne by each agency.

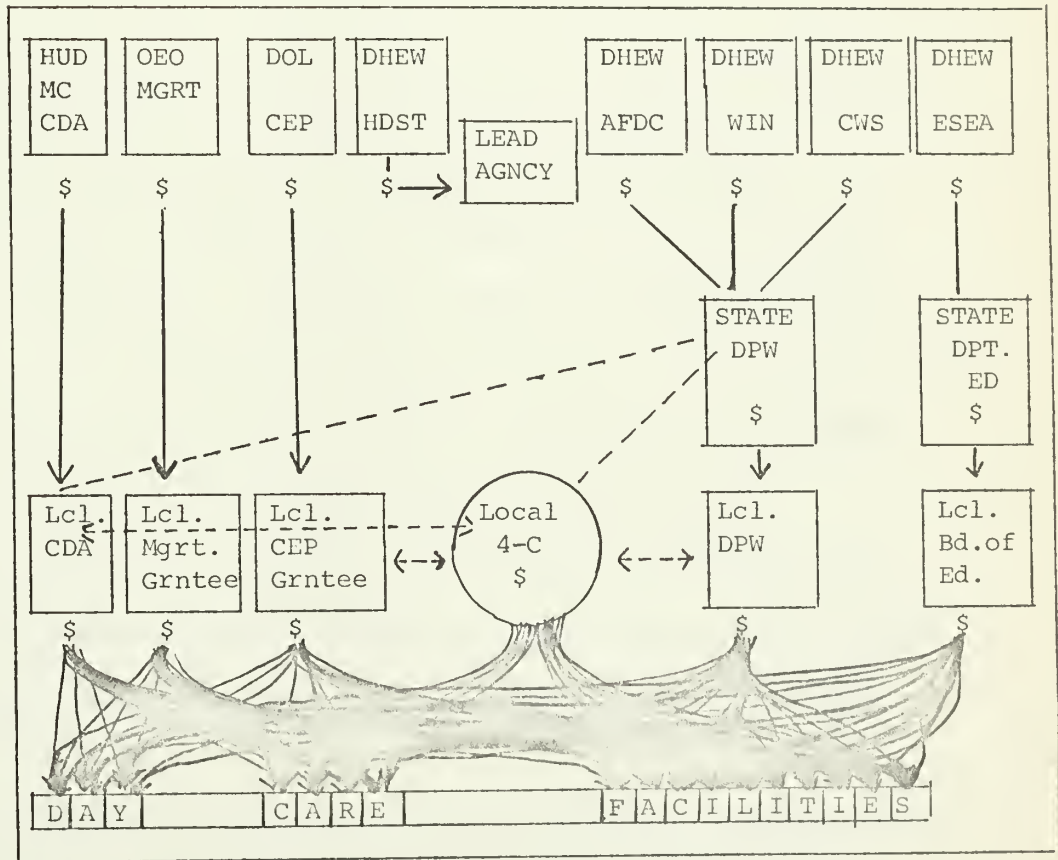
The Joint Funding Model described in this section represents a proposed adaptation to a system with which the federal government is currently experimenting. The Income Maintenance

FEDERAL JOINT FUNDING FOR CHILD DEVELOPMENT PROJECTS

PROPOSED
JOINT
FUNDING
SYSTEM



CURRENT
FUNDING
SYSTEM



Model described in the next section represents a theoretical design for the reorganization of the federal government in terms of service delivery systems for children and their families.

Income Maintenance Model

The actual operational design of the proposed income maintenance delivery system for family-related services described herein, involves the reorganization of services agencies at all three levels of government.

Federal Level

At the federal level there would be a Human Resources Administration, a new cabinet-level agency headed by a Secretary who would be directly accountable to the Executive Office of the President. The Human Resources Administration would combine the now separate Departments of Labor; Agriculture; Health, Education and Welfare; Housing and Urban Development; and the Office of Economic Opportunity in one agency.

Under the Human Resources Administration would fall four agencies administered by Under Secretaries: (1) Housing; (2) Employment; (3) Health; and, (4) Education and Child Development.

This federal organization would have two primary functions -- financial assistance and program monitoring and

evaluation. The four agencies of the Federal Human Resources Administration (Housing, Employment, Health and Education and Child Development) would feed directly into the counterpart organization on the state level.

State Level

The community-based programs of the 1960's were initiated from two sources, primarily, from Washington and from the communities themselves. With only rare exception, these programs were not initiated from state capitals. The states were left on the outside while the federal government and local communities planned and implemented these programs. The states made little contribution to the development of policies for the new community-level programs -- the policies were made in Washington; and they contributed little to the implementation of the policies -- programs were administered at the local level. In criticizing the states for failure to deal with urban problems, Martin describes what he calls the "state mind" -- compounded of "rural orientation, provincial outlook, commitment to a strict moral code, a philosophy individualism;" characterized by a "spirit of nostalgia;" and enjoying only "intermittent and imperfect contact with the realities of the modern world."⁶ Martin contends that this state of mind accounts for the failure of states to deal with the solution of urban problems.

⁶Roscoe C. Martin, The Cities and the Federal System (New York: Atherton, 1965), p. 77.

The system of service delivery proposed here demands the active involvement of the states. The time has come to effectively bring the states back into the Federal-State-Local chain of relationships.

The new state organization would be precisely the same as that described for the federal level. A State Human Resources Administration, directly under the Governor's Office, would feed into state agencies for Housing, Employment, Health and Education and Child Development. At the state level, the organization would be primarily responsible for program planning and development and the provision of technical assistance to the local level organization.

Local Level

The local organization would again reflect the outline of its federal and state counterparts, and would consist of a Human Resources Administration with service-related sub-agencies. The primary responsibilities of the local organization would be the implementation and operation of programs and the direct provision of services.

The facts of bureaucratic life are such that coordination is not readily initiated by equals within the federal hierarchy. It must be initiated, supervised, and directed from the Executive Office of the President, where there is sufficient authority to make coordination agreements binding.⁷ This "bureaucratic fact

⁷Ibid., pp. 244-245.

of life" provided the idea for the establishment of an organization based in the Executive Office of the President. This proposed form of service delivery organization is consistent with that made by the President's National Advisory Commission on Rural Poverty. The Commission recommended that assistance to state and local comprehensive planning programs "be consolidated in the Executive Office of the President under one basic authorization."⁸ Niles Hanson also supports the concept of authority for service delivery vested in the Executive Office. Hanson emphasizes that the coordinating agency must "be truly independent" of all departments with program responsibilities, and therefore suggests that an independent agency be created "to coordinate and watch over comprehensive regional policy formation and implementation."⁹

It seems apparent that somewhere in the Executive Office of the President, a consortium must be established with the responsibility for developing and recommending to the President for approval, a philosophy of organization for the governance of the administration of assistance programs. This consortium would have the additional responsibility of monitoring the actual application of this organizational philosophy

⁸The Commission explained that "the Executive Office has the authority required for getting departments to cooperate." The People Left Behind, (1967), p. 156.

⁹Niles M. Hanson, "Public Policy and Regional Development," Quarterly Review of Economics and Business, Vol. 8 (Summer, 1968), p. 60.

in the executive and federal branches of the government. The Executive Office must demonstrate a central concern with the structure and guidance of the entire system of Federal-State-Local relations as a single system for service delivery.

There are two very basic differences in the proposed system just described and the system which is presently in operation.

First, instead of having at least five separate departments at each level, with numerous sub-agencies, all providing duplicate services to the consumer; there would be only one main social service department at each level, and only four sub-agencies, each providing its own specific service.

Second, and most important, is the difference in funding arrangement provided by the proposed service delivery system. While a certain portion of federal funds would still be allocated to the State and Local Human Resources Administration, the bulk of federal assistance would go directly to the people -- directly to the consumers of the services.

This would mean that each individual would be in a position to assess his own needs and those of his family, determine his own priorities, set his own objectives; and

then with pride and dignity, purchase from the local agencies those services which he has decided are most necessary and will be most beneficial to himself and his family.

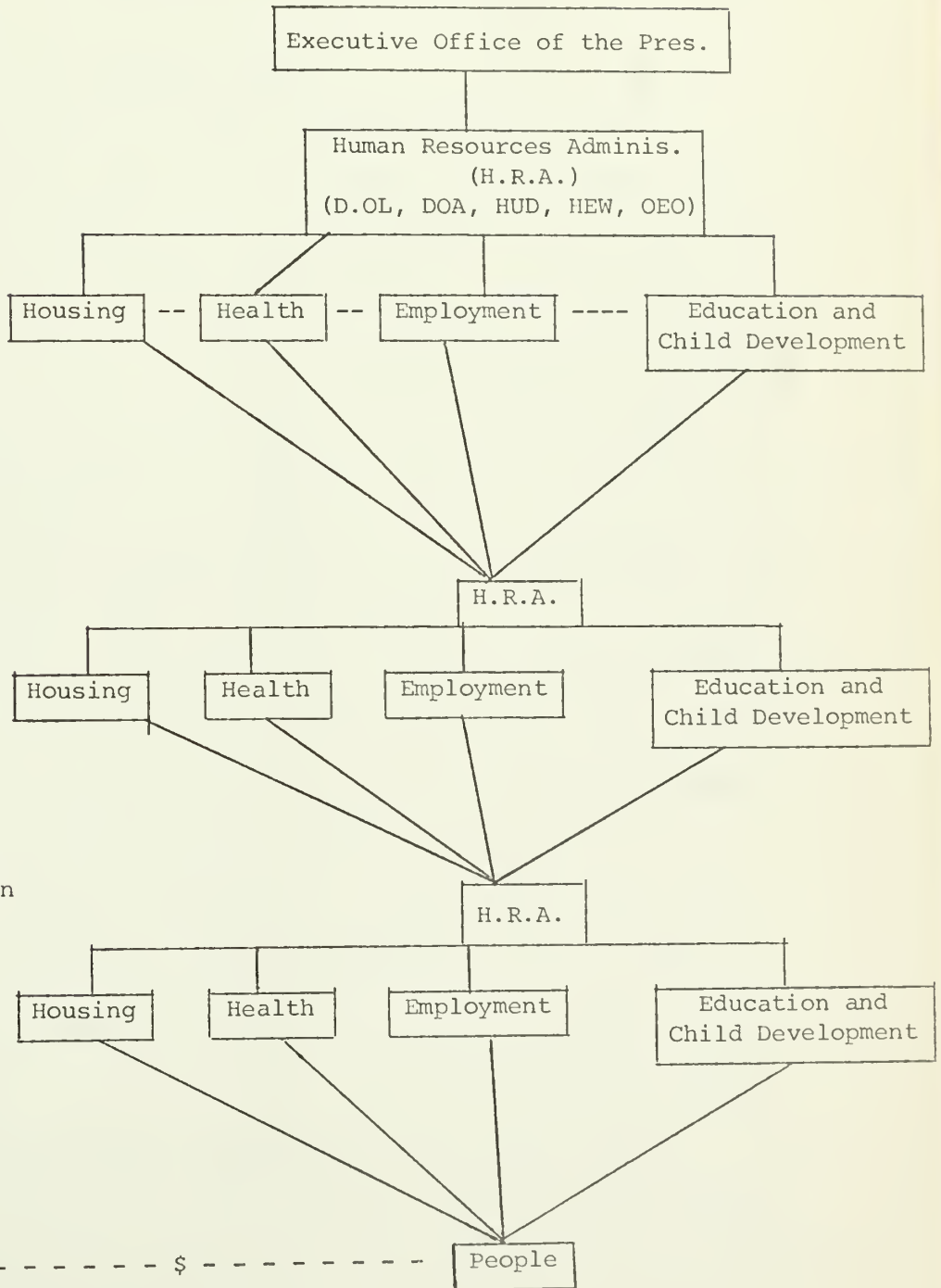
Under this arrangement, the welfare recipient becomes extinct; negative connotations and punitive stigma are removed from social services; service delivery programs become effective, and in the most real sense of the word, responsive to the needs of the people; and the dignity of man is once again a truism in the United States of America.

Schematic Representation of
An Effective Delivery System

Federal Level
 1. Funding
 2. Monitoring and Evaluation

State Level
 1. Program Planning
 2. Program Development
 3. Technical Ass't

Local Level
 1. Program Implementation
 2. Program Operation



C H A P T E R V

IN SUMMARY

Introduction

In summarizing the assertions set forth in this study, it can be said that to coordinate and integrate services in the establishment of a comprehensive social service delivery system is by no means to simplify. Such coordination and integration will require a complete upheaval of our present system of service delivery; it will call for the abolishment of long-standing attitudes and biases; and it will call for a complete coalition of service agencies at all levels of government. Such an undertaking cannot be described as simple. However, the establishment of an inter-governmental service delivery system extending from the Presidency, through the federal agencies and the state agencies to the communities must be the national commitment of the 1970's.

A basic premise throughout the study has been that effective service delivery depends primarily on the ability of local community organizations to coordinate, operate and implement programs. It is at this level that programs must be requested, accepted and implemented, and with those resources contributed from other levels, turned into concrete products. It is at the community level that goals and priorities are determined; that program concepts are initiated; that

resources are mobilized for specific undertakings; that programs are actually administered; and that projects and programs are coordinated into a viable system of service provision.

The awareness of the importance of local responsibility is the impetus which fostered the development of the federally-sponsored delivery systems discussed in this study. The reason these systems have failed to do the job for which they were designed is that the federal government has failed to unite the many competing strategies into a single approach concentrating on the development of a competent community organization and on support of this organization. Community organizations must be raised to a level of status of full recognition and acceptance by all agencies whose programs are involved at both the federal and state level.

Sundquist says, "The tendency of federal officials to retain power in their own hands must be recognized as natural and inevitable. It is they who must defend their programs before Congressional Committees. It is they who are held responsible if things go wrong."¹

This statement by Sundquist points up the fact that there are several constraints in the development of an inter-governmental system for the comprehensive delivery of services

¹Sundquist, Ibid., p. 250.

such as the one proposed in Chapter IV of this study. It might be well, in summarizing the study, to look at some additional constraints with which the systems planner must concern himself.

Administrative Constraints

Each categorical program carries with it regulations individually devised to meet its legislative requirements and singularly interpreted in light of a particular agency's objectives. There is no conformity among those administrative rulings or procedures and little flexibility in waiving these administrative rulings. The waiver of statewide requirements would facilitate the integration of services at the delivery level. For example, simplification of application procedures, encouragement of joint funding arrangements, single applications, flexibility in consideration of eligible projects, etc., rarely occur. Likewise, priorities among agencies are often very dissimilar, thereby creating further disincentives to integration.

Organizational Constraints

Each agency tends to view its organization vertically and does not routinely extend its concerns horizontally to other agencies with similar or related mandates. This vertical view is perpetuated at all levels of the agency and assures the continued development of programs on a unilateral basis.

Likewise, the articulated departmental objectives tend to maintain separate goals and programs for agencies. Only recently has the redirection of agencies' research and development efforts to focus on issues of importance to an overall agency, department, and government-wide strategy for services integration been considered.

Legislative Constraints

The categorical nature of programs is legislatively described, and these categories, by definition, narrow the services perspective for individual programs. Legislation, for example, has prohibited the comingling of funds, the flexible use of resources in a multi-disciplined program effort, and the ordering of service program priorities at the local level. The categorically shaped programs have treated the individual not as a whole being, but as a person with distinct and separable problems which can be treated in isolation from one another.

Personnel Constraints

As a result of years of conditioning and rewards based upon the protection of categorical interests and the defense of individual programs, agency personnel at the federal, state, and local levels view their efforts largely in terms of agency goals and not in terms of effective delivery of services to people. Training and a thorough reorientation of personnel at all levels is a prerequisite to effective services integration.

Resources Constraints

There have never been enough resources to accomplish all necessary services integration efforts. New efforts have almost always concentrated on bringing new resources to bear rather than on redirecting existing ones.

Defenders of the Status Quo

There are powerful forces whose interests are directly affected by any change in the status quo. These include, for example, Congressional Committees within whose jurisdictions the individual service programs fall, representatives of the various constituent groups, and the agencies themselves.

Level of Knowledge

Perhaps the most major constraint to services integration is that we really have had no experience which could tell us how to do it. As indicated, there is very little known about the actual experience of program consolidation, interagency working relationships, comprehensiveness of services, and role of general purpose government. It cannot be proven beforehand that the components of services integration, if achieved, will improve the delivery of services to people or that the process will be more cost-effective. Because the delivery of services has not been examined previously in terms of the achievement of services integration goals, few conclusions can be confidently drawn.

Summary

Conceptually, the delivery systems described in this paper were visualized as partial solutions to the problem of poverty. They were designed to begin upgrading the lives of the nation's disadvantaged by improving the living standards of the young children. However, these systems have demonstrated that young children do not exist in a vacuum; and that their lives are much more affected by their total physical and social environment than they are by the hours that they spend participating in the programs which have been analyzed in this study.

The study was designed to examine the emergence of child care and child development service programs in our history; to analyze the major delivery systems for child development services and related programs in operation today; and to develop, on the basis of the knowledge gained in making the study, a viable service delivery system for children and their families.

As such, the study involved a thorough review of the literature available on the subject, including federal legislation; program policies and guidelines; theories of child development; research studies on child-rearing practices; research studies on operating programs; and other related areas. The author's personal experience in the field of federal administration of service delivery systems was contributed also to the body of knowledge that was accumulated.

The impact of existing delivery systems on children was examined on the basis of the psychological implications of the delivery systems for the young child and his family; the learning patterns of young children, which are altered or modified by the delivery systems; and the critical needs of the young child throughout his developmental years, which the delivery systems are attempting to meet.

Six major child development programs were selected for analysis because of the comprehensive nature of the services they deliver to young children. These programs were analyzed in terms of the administering agencies, the target populations, the method of project approval, and the organizations responsible for implementation of the program (the grantees).

The three major service delivery systems exhibited by the six programs were compared in relation to the arguments for and against each from various levels of perspective.

Since the target populations of all of the programs were low-income persons, the majority of whom are members of minority groups, the author discussed the effects of delivery systems on minority populations.

An effective delivery system was outlined on the basis of the inadequacies presented in the existing systems, and defined in terms of functions, issues, elements and needs. Two alternative delivery systems for comprehensive child

development services were developed as the end product of the collection of information about such systems contained in the study.

The two alternative models developed by the author represent the substance of the study, in that they are an attempt to pull together into a functional mechanism, all of the documented knowledge and information presented in the study regarding the strengths and weaknesses of existing delivery systems and their ultimate effect upon the lives of young children in American society.

The data collected during the study revealed that existing delivery systems exhibited many inefficiencies and inconsistencies. The information demonstrated conflicting methods of policy formulation; inability to coordinate resources; fragmentation of services; and much overlap in programs. The study showed that delivery systems did not meet local needs in a comprehensive manner; offered only a very limited number of options to consumers; and the necessary authority base to effect coordination among other agencies on an equal level, with similar interests, was missing. The administrative structures through which the delivery systems flowed were shown to promote conflict at the local level by creating specific interests groups, each concerned with protecting its own sphere of authority. The information further revealed the lack of a system of accountability for program credibility and integrity.

Conclusions

The author was attempting to assess the state of delivery systems and related programs for early child development services in this country. The focus of the study was concentrated on the various aspects of delivery systems as they relate to the implementation of programs and the provision of services for the local consumer.

While the information collected was fairly comprehensive, the impact of the study was limited to the area of early child development and related delivery systems and programs. Some generalizations could be made to other social service areas, since most of the social services ultimately affect the families of young children, if not the children themselves. The author would not encourage generalizations, however, because the method by which the information was collected was not a purely scientific research method. The author employed a method of social research to produce a descriptive study involving an analysis of documents and programs.

The method of research used in the study does not provide a basis for valid generalizations to other areas, but it does provide a basis for further research of a more scientific nature.

Recommendations

The final section of this study has been designed to culminate the entire effort by setting forth necessary recommendations based on the knowledge and information gathered in the study. Some of the recommendations may have national influence and importance; however, further refinement of the study is necessary before implementation of any of the recommendations can be initiated.

Before stating the recommendations, the author reiterates that this is a descriptive study based on a comparative analysis of existing early child development service delivery systems. The writer again requests that the material contained within the study be accepted as descriptive and that it not be quoted out of context for any purpose.

The following recommendations are divided into two categories. The first eight recommendations relate to the modification of existing issues; the final two are related to the establishment of future techniques. Although the recommendations made are few in number, the implications are great and can have far-reaching effects.

Recommendation 1. That resources be provided for a complete and scientific study of delivery systems and services integration.

The entire area of delivery systems and services integration is virgin territory for scientific investigation. Much valuable information has been revealed in this study, but there

is a vast amount yet to be divulged. There are several areas which need investigation, any one of which constitutes an entire study in itself.

It is essential that the reactions of the actual consumers to service delivery systems be carefully investigated and critically analyzed, and that recommendations for response to these reactions be made.

There is a need for a critical examination of the actual organizational behavior of federal delivery systems as compared with the social systems theorists' definition of bureaucratic organizations.

The national goals and objectives which determine specifically what a social service delivery system should be designed to accomplish must be clarified. Such clarification of national delivery systems goals will provide for greater clarification and consolidation of related program objectives.

A comparison of delivery systems for social services and programs for young children in European countries with those in the United States would provide new insights for social service delivery systems planners in this country.

There is a critical need for the development of measurement devices for the evaluation of the impact and effectiveness of each individual early child development program.

The issues in this recommendation place a large burden of responsibility on the sphere of academia whose influence is

not felt strongly enough in the area of national social service policy. The academicians of America, who are highly skilled in the research techniques required in this recommendation, have an opportunity here to make a truly significant impact on national policies in this area.

Recommendation 2. That administrative policies and procedures be restructured in such a way as to exhibit consistency among all agencies and across all governmental levels.

There is a need for a Presidential mandate requiring consolidation in each area of service delivery (e.g., application review, reporting systems, etc.). Such a mandate would provide a practical method by which related programs could combine procedural techniques to meet common or similar needs, while making more effective and efficient use of federal assistance.

Recommendation 3. That existing laws and programs be revised to reflect consistency and compatibility.

Throughout this study there has been evidence of great inconsistency in the statutory bases of service delivery programs. There is definite demonstration of a need for an in-depth analysis of existing child care legislation. Recommendations for amendments to existing bills and the creation of new ones should be made to Congress based on the results of such a study.

Recommendation 4. That efforts be made to minimize the adverse effects of community involvement, lack of comprehensive planning, and budgeting limitations on service consumers.

Community involvement, because of its inherent involvement of members of minority populations, automatically produces a feeling by political personnel that programs are civil rights oriented. This attitude on the part of decision-makers often generates hostility and adversely affects the consumer populations.

Lack of comprehensive planning in initial stages of program development produces poor quality programs, exhibiting fragmentation and duplication of services, lack of service continuity, and inefficient utilization of resources.

Budgeting limitations and the allocation of funds serve as obstacles to community program planners, because too often money is not available to provide for program implementation and expansion when communities are ready to proceed. In addition, budget limitations often restrict the length of time a community requires to fully develop and evaluate its program.

Recommendation 5. That the quantity, quality and degree of coordination of existing services for early child development be examined and modified.

There is a need to extend the number of early child development services so that more children benefit from them. The quality of present programs for the delivery of early child development services needs to be upgraded and these services need to be coordinated so that there is maximum utilization with minimum expenditures.

Recommendation 6. That the emotional and psychological effects of participation in service delivery programs on members of minority populations be carefully examined and changes made in relation to findings of such examination.

The programs described in this study require that participating individuals demonstrate proof of need, which means demonstrating proof of deprivation and degradation. Because individuals are desparately in need of the services which programs can offer to them and their families, they accept the stigma placed on them by enrollment in the program. The psychological effects of this societal stigma on minority populations requires careful scientific examination.

Recommendation 7. That the present process by which services are channeled to consumers be reorganized so that all persons in need of services can readily take advantage of available services.

Services are often channeled in such a way that the people who most need the service are either offered no service at all or are offered the wrong services. The process of channeling, as it presently operates, is so inadequate that it reserves resources for those persons who are sufficiently informed, motivated, and/or culturally pre-conditioned to take advantage of it.

Recommendation 8. That delivery systems be defined at the federal level in terms of national goals and objectives so that individual program goals and objectives reflect consistency and unity with national policy.

National goals for delivery systems should define a delivery system as one which can perform these functions:

establishment of an efficient mechanism for communication; effective publication and promotion of programs; provision of competent technical assistance; development of a viable strategy design; mobilization of resources; coordination of programs; and implementation of programs at all levels.

Recommendation 9. That delivery systems provide greater assurance that the recipients of services have a variety of options from which to choose, and that they be provided with the financial resources to purchase the services which they select.

The allocation of federal funds directly into the hands of the consumers would permit each individual to be in a financial position to assess his own needs, determine his own priorities, set his own objectives, and purchase those services deemed necessary and desirable.

This arrangement makes the welfare recipient obsolete, removes negative connotations from social services, and makes delivery systems truly effective and responsible to the needs of the consumer.

Recommendation 10. That a central administrative mechanism be established, with statutory authority for insuring effective coordination and program quality.

There is an urgent need, as evidenced throughout this study, for the establishment in the Executive Office of the President, a consortium charged with the responsibility for developing an organizational philosophy for the governance of the administration of assistance programs. The Executive Office

must demonstrate a central concern with and commitment to the structure and guidance of the entire system of Federal-State-Local relations as a single, unified system for service delivery.

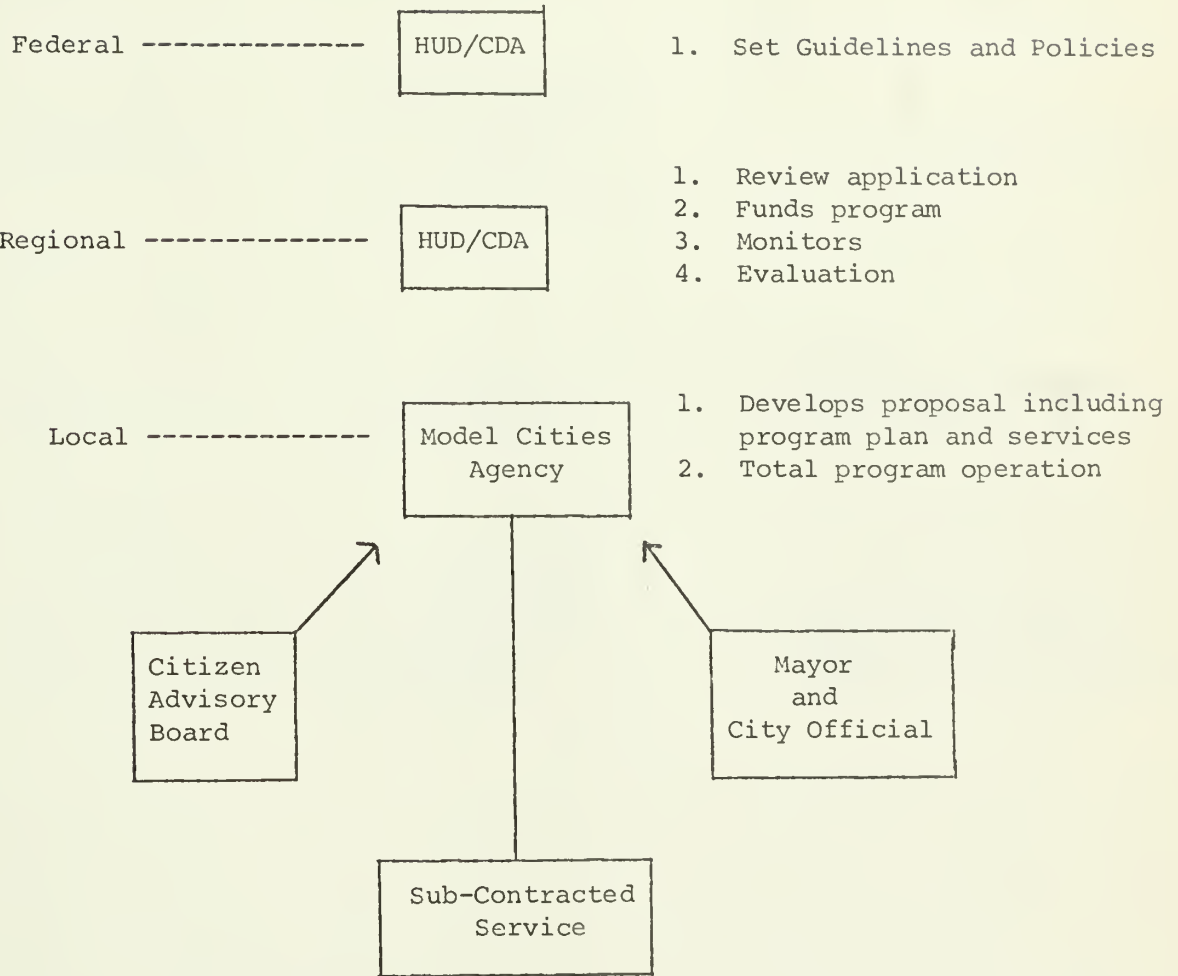
It is evident that while certain constraints and difficulties may impede the forward movement of those who are attempting to develop an effective delivery system for the comprehensive delivery of services to young children and their families, they will not stop the inevitability of the evolution of such a system. As this entire study has tried to point out, the American society is in the midst of a desperate crisis in terms of its responses to the needs of its people. The imminent development of an efficient comprehensive services delivery system is mandatory if this country is to survive the crisis.

A P P E N D I X A

FUNDING ARRANGEMENTS FOR
CHILD DEVELOPMENT DELIVERY SYSTEMS

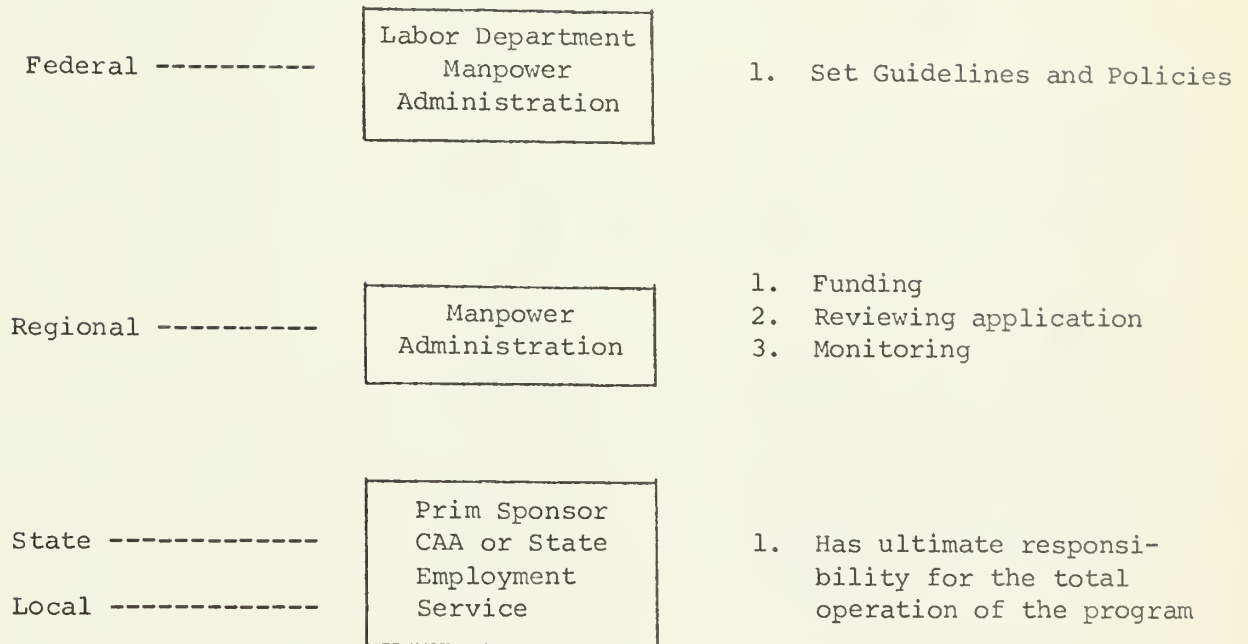
Model Cities

Structural and Funding Arrangement



Citizen Advisory Board consists of neighborhood residents who advises the local CDA as to the kinds of services to be provided.

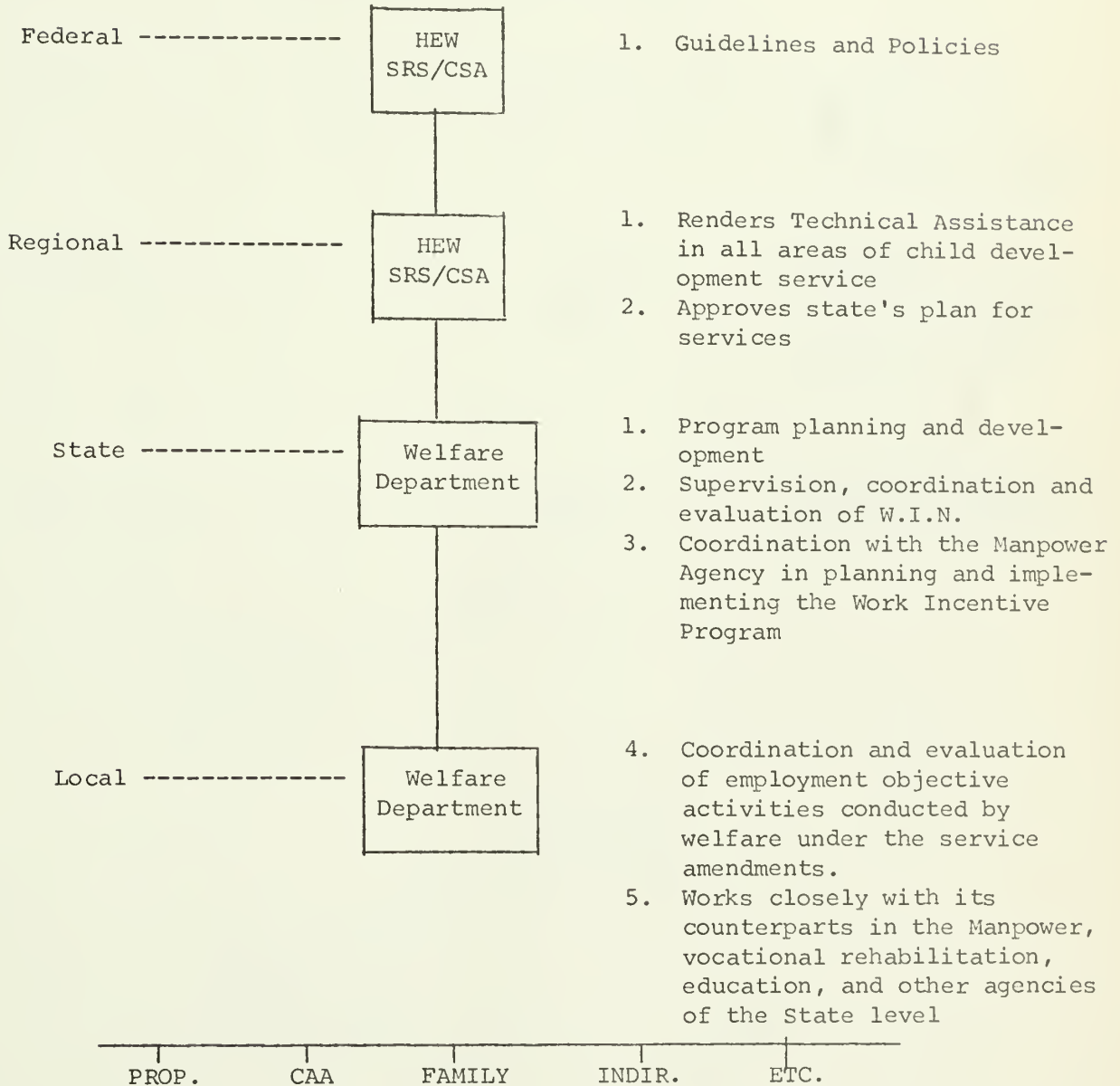
Concentrated Employment Program
Structural and Funding Arrangement



Although child care service is generally encouraged, it remains a secondary aspect of the CEP program.

Aid to Families with Dependent Children,
 Title IV-A -- Social Security Act
 and
 *Work Incentive Program, Title IV-C --- Social Security Act

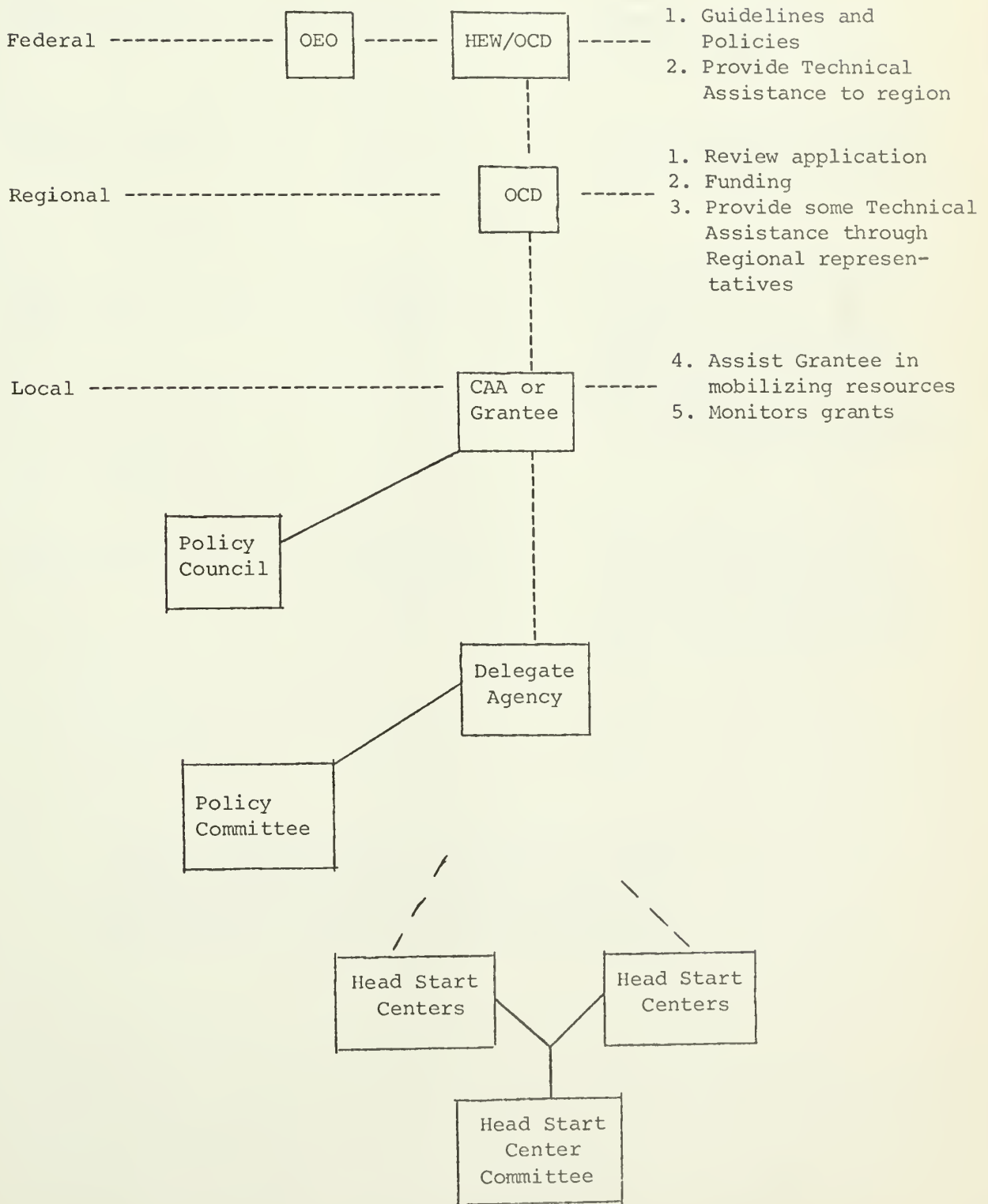
Funding Arrangement



*At the local level, the Welfare Department has the responsibility for involving the necessary community resources to implement the program. It is essential that the agency have a designated coordinator so that there will be a central point of coordination with the Manpower Agency.

Head Start

Structural and Funding Arrangement



Follow Through

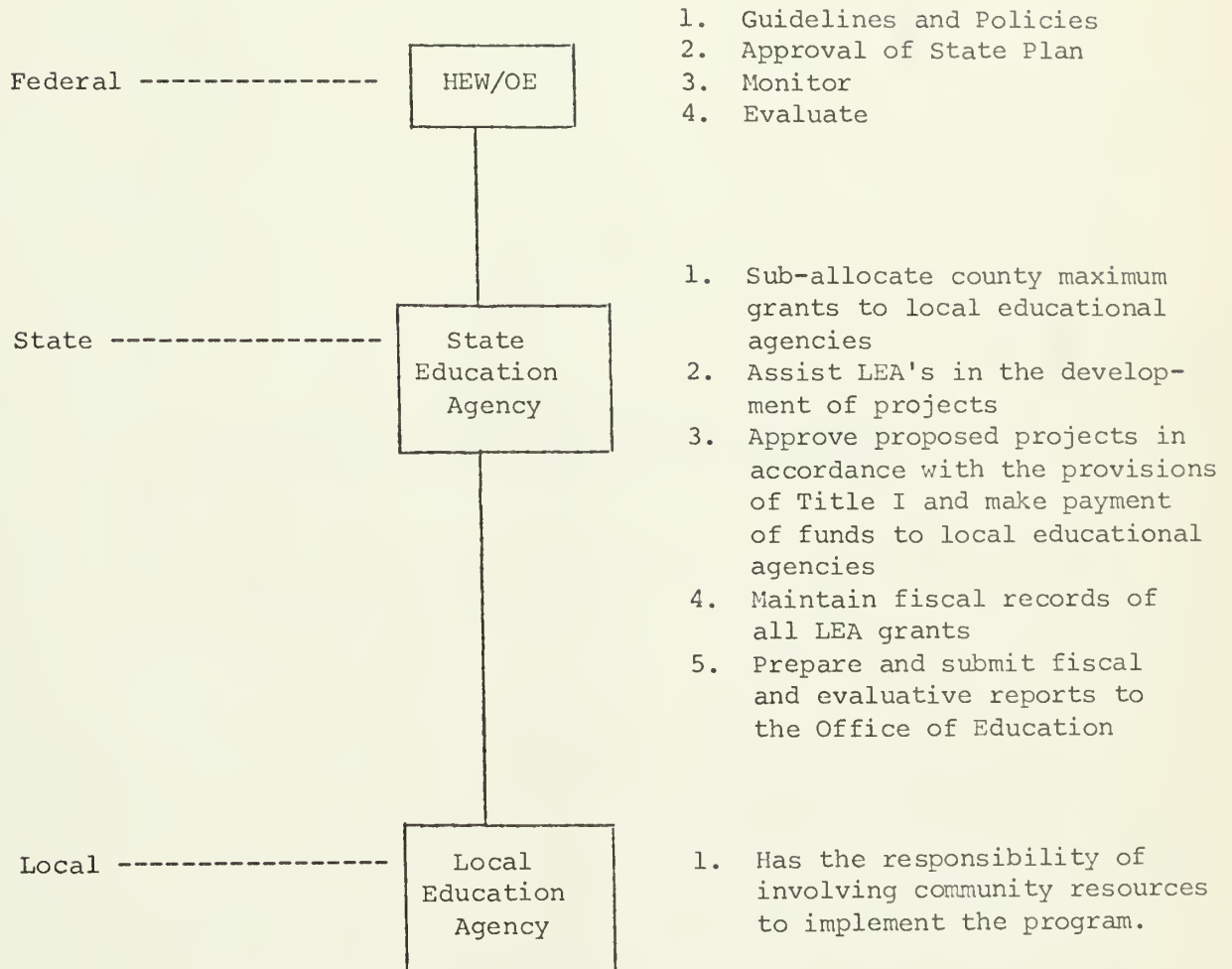
Structural and Funding Arrangement

Federal Level -----	HEW/OE	<ol style="list-style-type: none"> 1. Monitors Project 2. National Evaluation 3. Guidelines and Policies
Regional Level -----	HEW/OE	<ol style="list-style-type: none"> 1. Renders Technical Assistance to State Education Agency in the development of State Plan
State Level -----	Educational Agency	<ol style="list-style-type: none"> 1. Recommends communities to be served 2. Assists Local Educational Agency in the development of projects 3. Sub-allocates county grants to local educational agencies.
Local Level -----	Educational Agency	<ol style="list-style-type: none"> 1. At the local level, the advisory board consists of 50% parent representation. The Advisory Board has major role in the total operation of the program.

Follow through projects are funded by grants under the Economic Opportunity Act, by Title I of the Elementary and Secondary Education Act, and by a local non-Federal contribution.

Title I Elementary and Secondary Education Act

Structural and Funding Arrangement

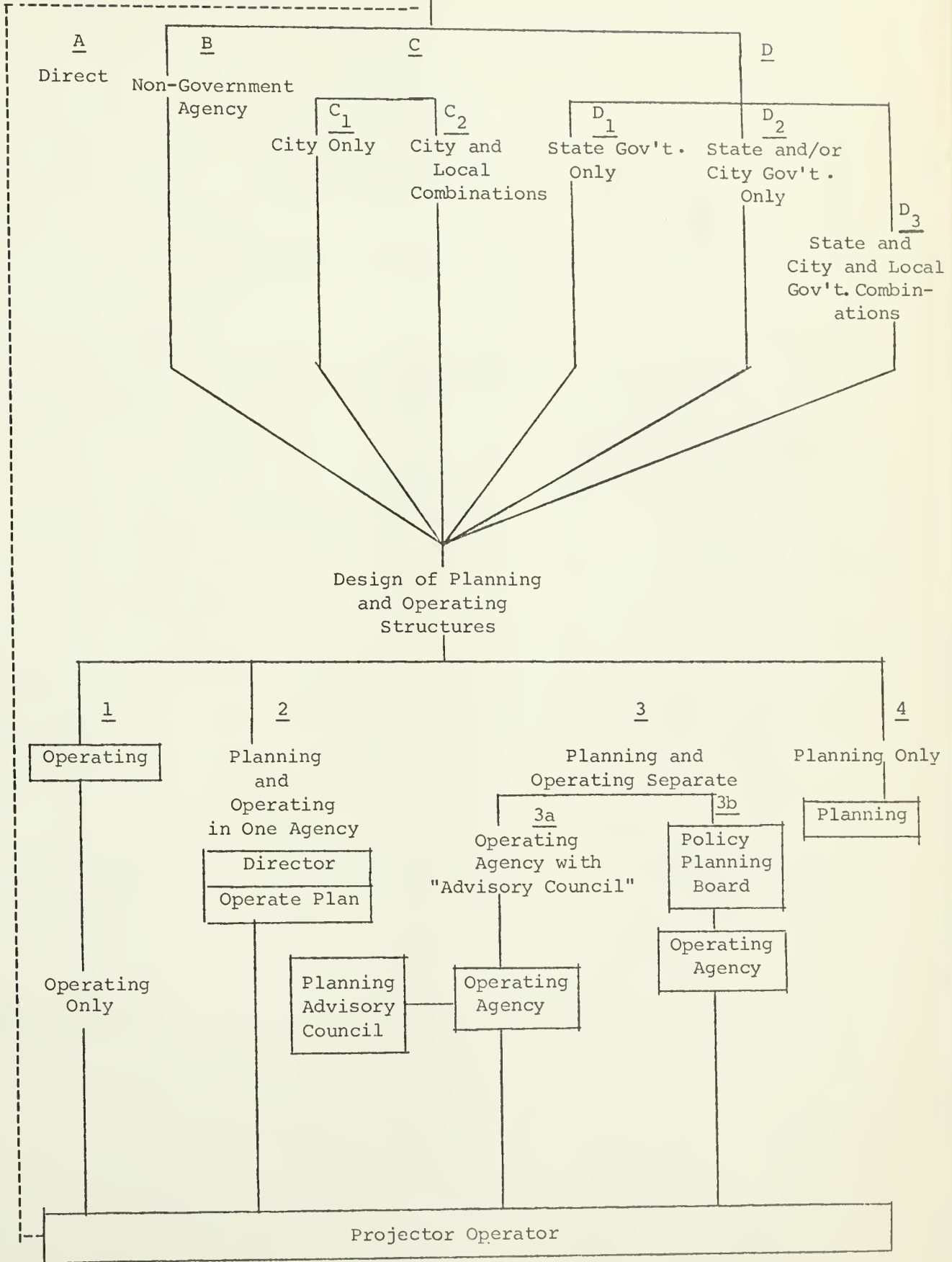


A P P E N D I X B

ORGANIZATIONAL SCHEMES FOR
CHILD DEVELOPMENT DELIVERY SYSTEMS

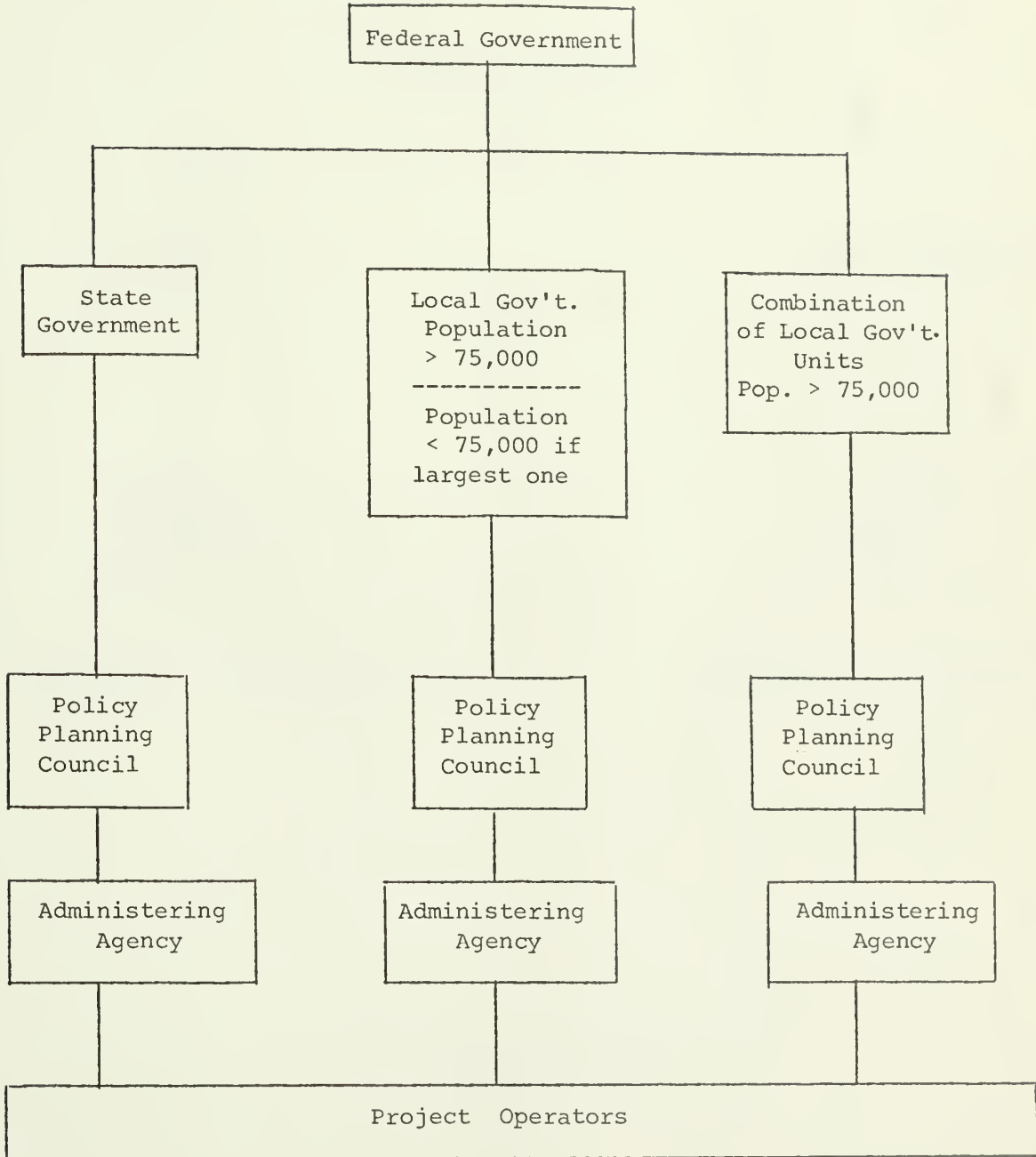
Organizational Scheme

Federal Government



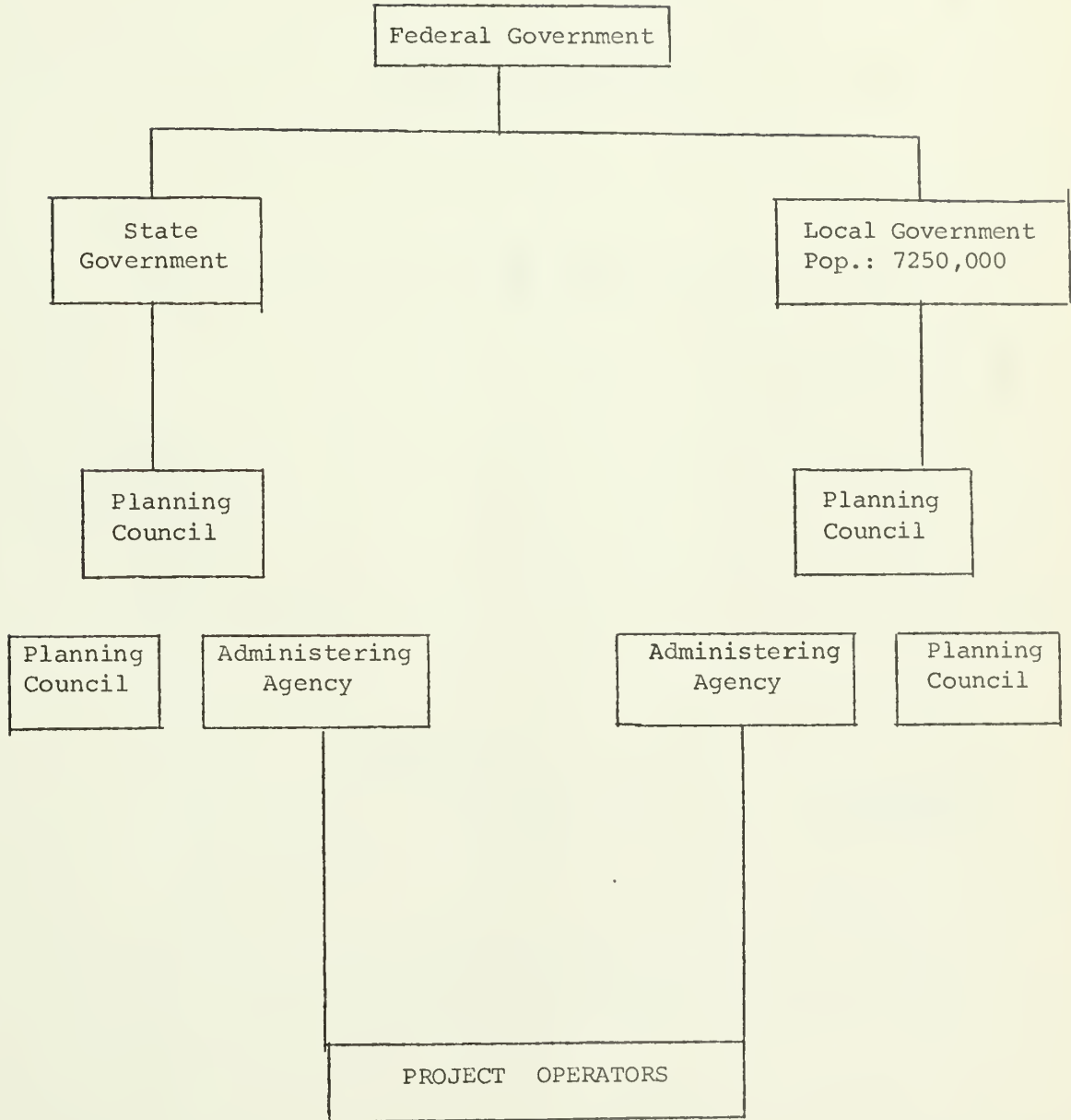
Model #1

Scheme D_g-3_b



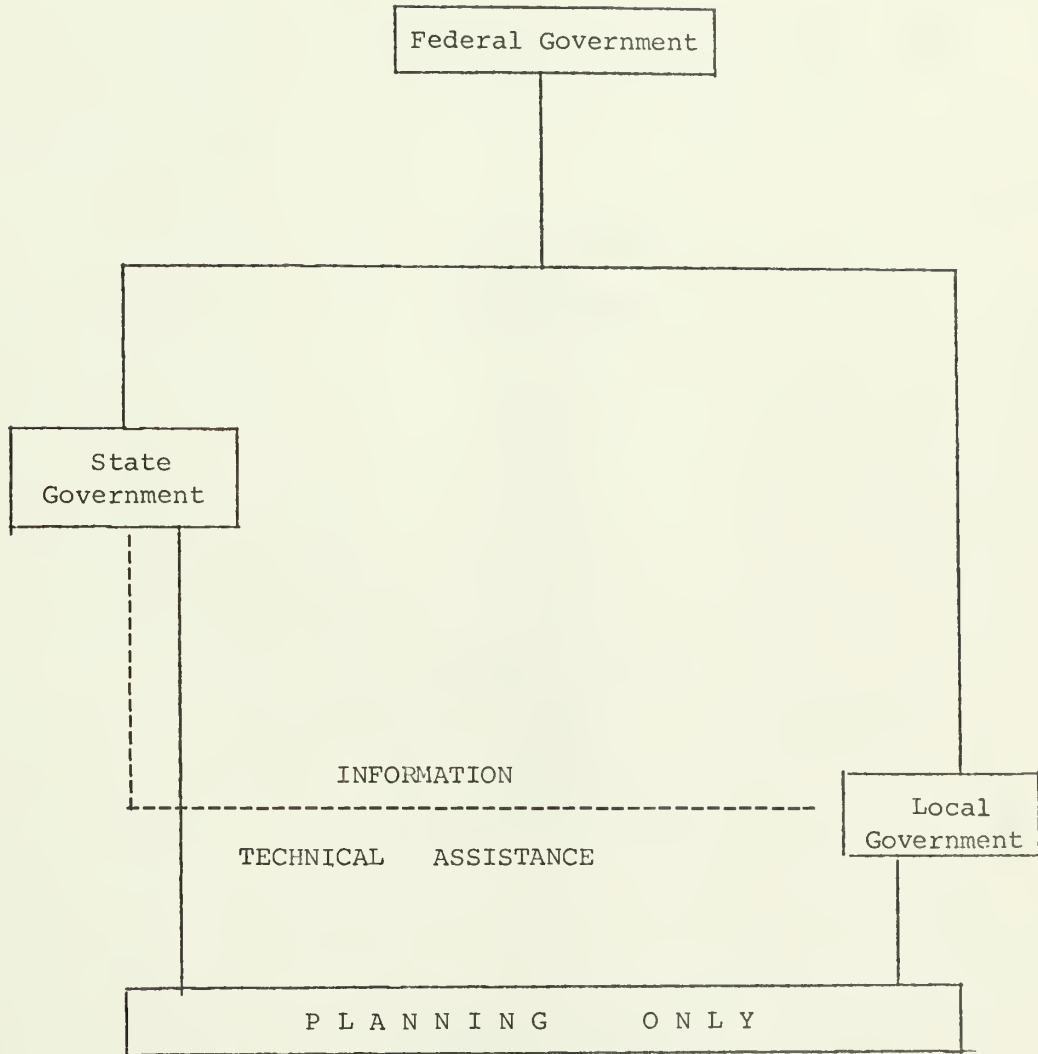
Model #2

Scheme D₂⁻³_a



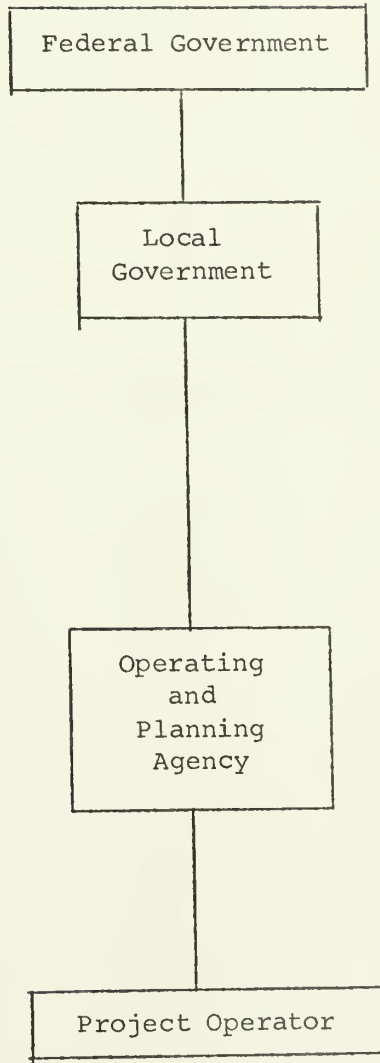
Model #3

Scheme D₂-4



Model #4

Scheme C,-2



A P P E N D I X C

CHILD CARE FINANCING MECHANISMS

CHILD CARE FINANCING MECHANISMS

There are four principal mechanisms used to finance early childhood programs. The following is a brief description of these alternatives and some of the crucial issues associated with each.

Project Grants: Under a project grant system, annual awards are made to service providers who arrange child care services for a specified number of children. Project grants are also used, where necessary, to subsidize planning, construction, teacher training, and other developmental activities. The principal feature of this system is that lump-sum grants are used to purchase a specified group of services or activities.

Vendor Payments: Under the vendor payment system, service providers are reimbursed for actual services provided (on a percapita basis) to any eligible child who enters into their service program. Parents and children are free to select the service provider of their choice and payment is made directly to the provider.

Voucher Payments: Under a voucher payment system, cash or certified vouchers (official pieces of paper of some kind) are distributed to individual families. These vouchers are designed to procure specific services at the

discretion of each family. The vouchers may be used to purchase services of any certified service provider.

Combination System: The three principal systems discussed above have specific strengths and weaknesses. Each system is effective in performing some function and inappropriate in other areas. It is possible to develop a system which utilizes the strength of each system and attempts to eliminate the use of that system where it would be inappropriate. One such proposal is to use project grants to support initial planning and development of early childhood programs. Vendor payments or vouchers would then be used to support the actual delivery of services.

There has been considerable controversy about the most appropriate financing mechanism for early childhood programs. Without attempting to raise these arguments again, the following principal arguments have been used to support each of the alternative financing mechanisms.

Project Grants

1. They are an efficient way to support planning, develop facilities and trained staff, and provide services which would not otherwise develop.

2. They may be the only way to effectively support early childhood programs in areas with unusual market characteristics, such as sparsely-populated rural areas.
3. They can be used to effectively determine the composition of service providers.
4. Federal state and local administrators will have more direct control over the nature and quality of the service programs.
5. They have been thoroughly tested and their weaknesses may be off set.

Vendor Payments

1. Individuals will have greater freedom to choose the type of program they desire.
2. Market competition will encourage high quality and stimulate efficiency.
3. Private providers will be encouraged to develop facility and manpower capability.
4. Racial, social and economic integration will be enhanced because families will select services from providers of their choice rather than be assigned on a neighborhood basis.

Voucher Payments

1. All of the arguments discussed above for vendor payments.
2. They will encourage greater pluralism and individual initiative because families, rather than bureaucracies, have control of the purchasing power.

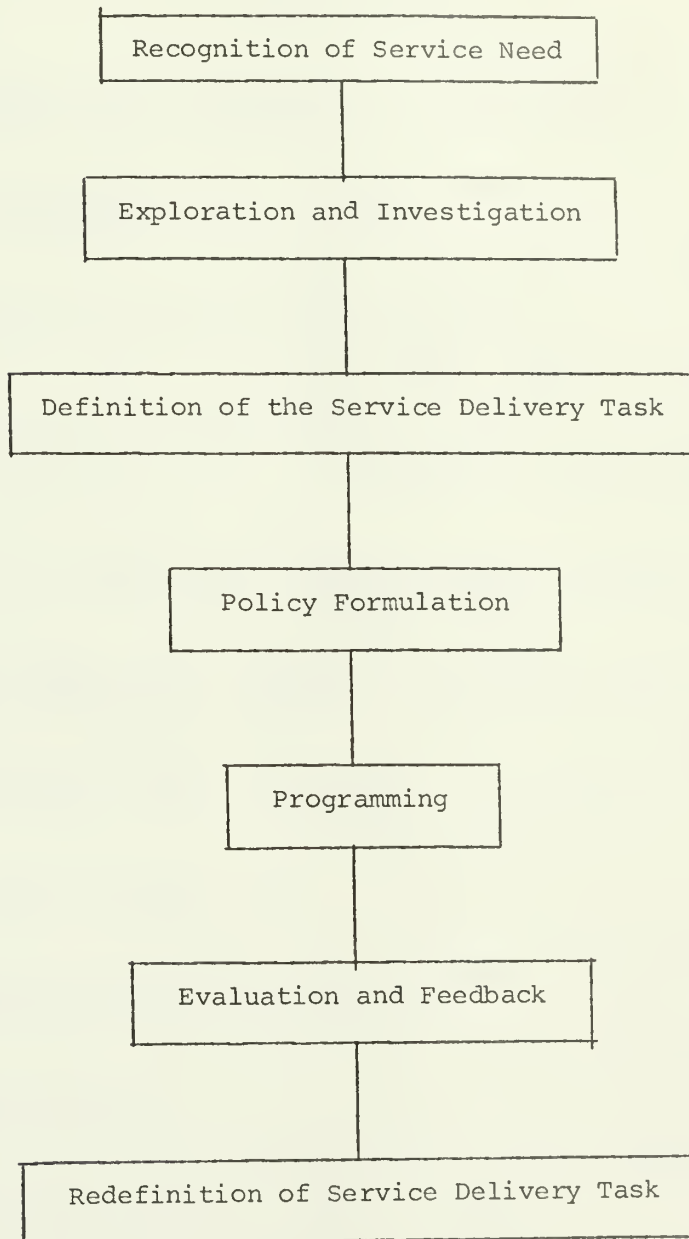
Summation

The previous analysis of the structural behavior of delivery systems for early childhood services has examined the difficult, and assuredly still unresolved, question of the most appropriate delivery system for the implementation of major legislation in the field of child care and development.

The over-riding consideration to be kept in mind throughout this entire discussion, with all its arguments pro and con various alternatives for the structure of delivery systems for early child development programs, is that no one has yet determined exactly what a delivery system is designed to do! Until such a determination is made, and appropriate evaluative criteria established, no decision can be reached as to which alternative strategy will prove most effective.

A P P E N D I X D

OUTLINE OF MAJOR POINTS IN SERVICE DELIVERY

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