

# LEGISLATIVE STAFF: THE EQUALIZER IN STATE GOVERNMENT



Final Report  
of  
The Human Resources Services Staffing Demonstration (HRSS)  
of the  
Arizona State Legislature

Guy D. Spiesman / Gary Dean Hulshoff / Sam A. McConnell, Jr.

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THE EQUALIZER IN STATE GOVERNMENT**

**State Legislative Capacity-Building  
Through Scientific and Professional Staff**

Final Report Of  
The Human Resources Services  
Staffing Demonstration (HRSS)  
of the  
Arizona State Legislature

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Final Report Prepared  
Under the Auspices of  
Speaker Stanley W. Akers  
Arizona House of Representatives

1976

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CAPACITY – BUILDING IN THE STATE LEGISLATURE:  
PLUSES AND MINUSES

THE NATURE OF POLITICAL RULE

“Who has not often felt the distaste with democratic politics which Salazar expressed when he said that he ‘detested politics from the bottom of his heart; all those noisy and incoherent promises, the impossible demands, the hodgepodge of unfounded ideas and impractical plans . . . opportunism that cares neither for truth nor justice, the inglorious chase after unmerited fame, the unleashing of uncontrollable passions, the exploitation of the lowest instincts, the distortion of facts . . . all that feverish and sterile fuss?”

From a leading article in  
The London Times, 16 November 1961

OR

THE CHALLENGE OF THE STATE LEGISLATURE

“. . . The legislature, in my view – about the last frontier for the adventurer – a sort of unrestrained, unbridled kind of atmosphere where you can move and you’ve got some room – you know – you can move around a bit – and you have the personnel and budget to do that – so if a person really wants to accomplish something -- the legislature offers him the chance to do that without going into environmental time studies and civil service code requirements and all the other things that go on [in the executive branch of government] . . .”

Charles Baldwin  
California State Senate Committee Staff  
Fall 1973 (interview)

## FOREWORD

The Human Resources Services Staffing (HRSS) Grant (SRS 12-p-55574/9) was awarded to the Arizona State Legislature as the first human resources capacity-building grant of its kind. It fit the Social & Rehabilitation Services' research strategy for 1972 in the following fashion (paraphrased from an SRS directive):

1. The research goal was to develop such capacity in the executive and legislative branches of the various states that maximum use might be made of Federal funds returned to the states for human services needs;
2. This project had one aim: to enable a State Legislature to effect program innovation and integration in human services;
3. By developing a legislative thrust into the area of dependency reduction, for example through Vocational Rehabilitation services;
4. Once staff were provided to legislative leadership and legislative committee chairmen in human resources, the project would be considered successful if the support of staff enabled the committees to assemble a wider range and a greater depth of information to consider in their deliberations. Too, success would be merited if the staff were responsive to requests for analysis of data and if these services were utilized by the committees and the legislators themselves to recommend changes which would improve the programs;
5. The rationale for supporting such a two-year grant would be to equalize the balance in policymaking ability in the human resources area among the Congress, the state executive branch, the state administrative branch, and, particularly, the state legislative branch re capacity-building via staff support. The Executive departments of most state governments have program planning and evaluation staff. Legislative committees in Congress generally have large staffs to assist in this same function. There is a precedent well established for executive use of planning staff at all but the smallest units at the local level. However, on the legislative side it is only at the national level that there is a well established practice to have available a continuous, permanent planning arm;
6. Benefit Effects: Very difficult to measure. A more balanced and responsive state general government would result. Program reorganization by legislation may be more effective. Human services may make the lives of the citizens more productive and satisfying;

7. Cost Effects: This particular project is estimated to cost \$236,000. (It actually cost \$221,000 and received "inkind" match from both houses of the legislature, including personnel, supplies, space, MTST services, and so forth equal or over the two years expenditures by the federal government.") . . . Just one of its recommendations (said its Federal sponsors) could easily save that amount. If it is assumed that the total cost of Vocational Rehabilitation and Social Services in Arizona is \$100 million, even if 3% of that amount is saved or more effectively administered, the grant would be a financial savings."

These were the objectives and goals of the Federal U.S. Department of Health, Education & Welfare (Social & Rehabilitation Service) sponsor. In fact, it can be documented that the staffing grant led to the capacity of the legislative leadership of both houses in Arizona to accomplish the following end results through appropriate technical assistance from their own capacity—building staff:

1. A reorganization of human resources programs into two cabinet—level executive agencies directly under line authority from the Governor: Arizona Department of Economic Security (Employment Service, Welfare, Vocational Rehabilitation, Aging, Veterans' Services, Apprenticeship Council and Mental Retardation) and the Arizona Department of Health Services;
2. The acceptance through enabling legislation of a decree for the implementation of the Developmental Disabilities and Facilities Construction Act. (Arizona was the last state to participate in this program.);
3. The establishment of enabling legislation to permit the ultimate acceptance of the Social Security Act Title XIX Medicaid program. (Arizona was also the last state to participate in this program: further legislative modification is still required.);
4. The legislative development of planning, referral, and advisory programs for the senior citizen, now in the Arizona Revised Statutes;
5. A survey, conducted in concert with the state Vocational Rehabilitation (VR) program assessing community resources available statewide to serve those with communications disorders (e.g., deafness) and the eventual implementation by the new human resources agency, the Department of Economic Security, of an active, client-represented, advisory council and program in this area of disability;
6. Two years of maximum state appropriations for Vocational Rehabilitation.

Due to the unique characteristics of Arizona in terms of population and the particular legislative process inherent to it, it was considered necessary to compare HRSS against staffing patterns typical to other states. Consultation between the Arizona HRSS project and the senior Assembly staff of the California State Legislature occurred on a number of occasions. Too, a three state comparative survey of legislative committee research staff/legislative chairman relationships also occurred under the auspices of this grant. In light of the fact that HRSS emphasized a committee-like staffing pattern, such a three state legislative survey seemed most appropriate.

Thus, a procedural description of HRSS will occur which should suggest how the above six legislative products were achieved. Since this report is quite late in being completed, certain information concerning the executive implementation of the two reorganization acts, mentioned in point No. 1, will be presented. Both the Project Director and its Deputy Director joined each of the two respective human resource agencies once the legislative grant was completed and remain with them through to the present.

## ACKNOWLEDGEMENTS

First and foremost, the Arizona State Legislative leadership, Speakers Stan Akers, Tim Barrow and Senate President Bill Jacquin, deserve credit and appreciation for their initiative in bringing the HRSS project into Arizona. Too, they uniquely matched every federal dollar – \$235,000.00 – in services, space, printing, and in many other very tangible ways much over 100% on a one:one basis. They provided excellent guidance to the demonstration project in affording us a project monitor, with human services expertise, Representative Sam A. McConnell, Jr. and other legislative advisors as needed. They established the parameters in which we were to apply our point of view and made possible the kinds of working relationships with, for example, legislators, legislative staff, state agency executives which were necessary for us to effectively research their policy issues.

The cooperative environment which these legislative leaders made possible permitted us to achieve whatever success can be attributed to this project. It should be noted that many hours were spent during and after work, and during and between legislative sessions by Representative Sam McConnell in guiding us in the implementation of our assignments. Thus, did he demonstrate his obvious knowledge and sensitivity in how to apply our research endeavors to the legislative process. His personal assistance proved invaluable to us and was deeply appreciated.

Others in the legislative arena in this state and elsewhere were simultaneously instrumental in affording us the perspective we required to introduce the concept of professional legislative staff in the human services discipline to state legislative decisionmaking. Among these were:

### Legislators:

Senator Sandra O'Connor  
Senator Ernest Dean  
Representative Larry Fasbender  
Assemblyman Frank Lanterman  
Senator Ray Rottas

### Legislative Staff:

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Arlyn Larson  
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Ms. Rena Trost  
Mr. Gary Vercellino  
Mrs. Valerie Wilson

--And to those noble creatures, our wives, Dorothy Hulshoff and Diane Spiesman, who "suffered through it all"!

Dr. Guy Dwight Spiesman, Ph.D. — Director

Dr. Gary Dean Hulshoff, Ph.D. — Deputy Director

April 1976

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## **INTRODUCTION**

# CHAPTER I

## Introduction

The Human Resources Services Staffing (HRSS) project of the Arizona State Legislature has completed its two-year demonstration – January 1, 1972 through December 31, 1973. The HRSS experience was supported by the Social & Rehabilitation Service (SRS-RSA) of the United States Department of Health, Education and Welfare (HEW)\*. (It was jointly co-authorized by the then SRS Administrator, John Twiname and the then Rehabilitation Services (RSA) Commissioner, Dr. Edward Newman.)

### *Problem of Dependency Reduction*

The underlying motivation, philosophy and concerns of the grant developer were to help the Arizona State Legislature gain the capacity to deal more effectively in developing the programs necessary to assist the disabled and disadvantaged at the community level. The reduction of dependency through the effective implementation of human services' programs has been a major theme of many reform-minded taxpayers and policy-makers at all levels of government . . . federal, state and community. The Arizona Legislature recognized the need for better coordinated human services' programs at the state level and decided to increase their policymaking capability in these areas. The concern of the legislature in working with these complex issues was not only to reduce the numbers of handicapped people within the state who required public assistance, but to ensure that quality human service programs were being provided to assist their citizens, so they might achieve economic and social independence.

### *History of The Human Resources Services Staffing Demonstration (HRSS)*

In January, 1971 a pilot demonstration in legislative staffing began under the joint auspices of the National SRS Demonstration\*\* of the University of Arizona and the Arizona State Legislature. This was a sub-demonstration effort of the University's Rehabilitation Center program.

The purpose of the sub-demonstration was to determine the needs of a state legislature for technical information in the creation of legislation in health, rehabilitation and welfare or human service areas.

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\*SRS R&D 12-p-55574/9

\*\*The Uses of Community and State Resources for Vocational Rehabilitation (SRS R&D 12-p-55259/9)

As a side effect of this effort, several legislators submitted a request to the Arizona Joint Appropriations Committee for \$400,000/year for the development of new solutions to the state welfare problem. (These monies were matched with federal Vocational Rehabilitation [VR] dollars 1:3.) These funds brought together, under the direction of the State Division of Vocational Rehabilitation, the Welfare, Employment and Vocational Education state programs to reduce dependency by encouraging in a more coordinated manner the employment of welfare recipients. (It took three years or \$1.2 million state dollars for results to show up in the successful employment of welfare recipients who were capable of work.)

The above mentioned pilot legislative staffing project in its first year was essentially the core around which the HRSS project proposal to the Social & Rehabilitation Service, DHEW began to develop.

In October, 1971, a meeting was scheduled by members of the legislature, including then House Speaker Timothy A. Barrow\*, and the University of Arizona with federal officials of SRS and the Rehabilitation Services Administration (RSA) in Washington, D.C. on the progress and implications of this kind of legislative staffing project to the expansion of Vocational Rehabilitation Services.

The first point of discussion at this meeting concerned how the pilot legislative staffing project via the University of Arizona led to the application of VR client services monies, matched with \$400,000 state monies, to the rehabilitation of eligible welfare recipients.

The second and primary purpose of the meeting was to suggest that a full-fledged capacity-building staffing demonstration project should be established in the Arizona State Legislature under the leadership of both houses. This proposed project would provide staff responsible for information-gathering and orientation of the legislature to health, welfare, rehabilitation, employment, vocational education and other related human-resource problem areas.

From October to January, 1971-72, a formal proposal was drafted and submitted to the Office of Research and Demonstrations of the U.S. Department of Health, Education and Welfare's (DHEW) Social and Rehabilitation Service (SRS) for such a staffing project.

### *The HRSS Objectives and Guidelines*

In the proposal written for funding, an extensive and global set of research objectives were suggested. These are summarized:

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\*The application of University of Arizona expertise in the Rehabilitation sciences to the legislative process was initially suggested by Representative Sam A. McConnell, Jr., then Chairman of Health & Welfare, later Vice Chairman, House Appropriations Committee. He became the HRSS project monitor and was responsible to two Speakers and one Senate President for the application of HRSS information to the legislative process.

1. Planning and research assistance to the state legislature in the human resources' program areas;
2. Determination of the legislative climate for the assimilation of technical information on human resources including a:
  - a. Study of the legislative process;
  - b. Study of the characteristics of legislators pertaining to information use patterns;
  - c. Study of the relationships among the legislature, federal, and state public agencies in human services development;
  - d. Study of leadership and committee approaches to technical information generation and use.
3. Determination of administrative agency climate:
  - a. How they provide services;
  - b. How they interpret the needs of the client to the legislature;
  - c. How they interpret service programs including their performance.
4. Determination of federal/state legislative relationship re:
  - a. Planned utilization of federal funds for human services programming;
  - b. Innovation of programs;
  - c. Evaluation of programs;
  - d. Continuation of programs.
5. Assessment of the kinds of policy research staff required in state human resources programming as exemplified by legislative leadership and committee staff and executive agency legislative intermediaries. After issuance of the legislative staffing grant by the federal government, these objectives then became the focus of the HRSS project in the ensuing two years of activity.

The basic goal of HRSS re the above mentioned research objectives was to determine principles and guidelines for the development of capacity-building within a state legislature. Thus, would policymaking better reflect the realities of program innovation and implementation of services to dependent and handicapped clients. The more specific purposes underlying this broad goal were to:

1. Demonstrate the value of specialized professional staff to a legislature on a full-time basis;
2. Promote communication and understanding among federal, state executive agencies, and the legislature so that each could become aware of the procedures and points of view of the others;
3. Enable the agencies and the legislature to communicate their needs to each other in an effective manner;
4. Promote effective programs and the more efficient use of tax dollars in human services' programs;

5. Increase the awareness of the legislature and state agencies of the programs available to the state through SRS, DHEW and RSA, SRS, DHEW;
6. Determine whether such specialized technically-oriented legislative and agency policy staff for the generation of relevant program information could be successfully developed;
7. Provide criteria to guide in training policy science professional research staff for state government.

To accomplish these ends, the HRSS project experimentally provided technical staff to the legislative branch of Arizona state government to advise and research program and organizational matters concerning pending legislation and the implementation and development of enacted legislation. The HRS Staff also advised the legislature concerning planning for the appropriate use of available federal funds, as well as state funds, for the development of state human services.

### *Legislative Capacity-Building*

The HRSS project was unique in that it was an effort to increase the capacity of the Arizona State Legislature in the human services' area through the application of technical staff to this process. Capacity-building simply implies the development of a unit of government's potential for doing better the job that it is probably already in the process of accomplishing. This capacity-building approach was intentionally designed to evaluate the potential applicability of the concept to other state legislatures. Consequently, the basic question which confronted HRSS was whether the utilization of specialized staff within the legislative process would benefit the legislature in increasing its ability to accomplish previously-defined goals and objectives in human resources' programming and appropriations.

### *HRS Staff Commitment to Legislative Decision-Making Process*

In defining the role of legislative staff, HRSS considered the technical support they could and did seem to provide to this policymaking body. There appeared definite boundaries within which the staff could work in a cooperative relationship with the legislative decision-maker. Much as a community organizer in carrying forth his efforts, the staff learned the limits of their activities and the roles they could legitimately assume as support to legislative decision-making. HRS Staff became aware of legislator values and the limitations of the staff support role through actually staffing projects for them. This was not a research study by outsiders; rather, it was a classical situational research demonstration.

In establishing the parameters of the legislative staff role, HRSS has emphasized, in their own work, the processes by which they accomplished their housekeeping, program development and/or oversight monitoring functions. One of the keys to successful legislative staff work has been the development of positive, interpersonal

relationships with legislators representing the majority leadership, state agency program and management personnel, and other public and private groups interested in the legislative process.

Those trained in community organization, community services' planning and development would quickly recognize the roles that the HRSS project staff have identified in carrying out their responsibilities. These roles could variously be classified as: analyst, planner, broker, advocate, organizer, enabler and "expert". To perform these functional roles, the HRSS project believes strongly that legislative staff should have primarily "generalist" capabilities as well as some speciality research and technical skills. If any one identifier could be assigned to HRSS, then "generalist researcher" would be an appropriate title.

Several authors have ably described these process-oriented organizational change roles and, rather than highlight their comments, the reader is referred to Bardick (1972), Blum (1969), Ross (1955), Rothman (1964), Sanders (1964), and Grosser (1965). In developing and demonstrating the effect of information in the communication processes within the legislature, the HRS Staff have defined and disciplined themselves to perform certain functions designed to facilitate their effectiveness as legislative staff. These functions, familiar to community organizers and developers and especially legislators in their political roles were: timing of information presentation, establishment of strategies for acceptance of human services program concepts, anticipation of developing opposition to information flow and tactics designed to rebut these counter-moves; development of interpersonal information transmission relationships; and coordination between the generation of information and its subsequent utilization by the legislature. To be effective, the professional staff person had to demonstrate his competence, dependability, credibility and trustworthiness in order to be permitted to carry on the process of technical staff support in the legislature.

### *HRSS and the Legislative Climate for Technical Information Use*

It became apparent from the beginning of the project that the manner by which staff were used within a legislative body and how they fit into its ongoing, everyday processes would make a difference in their ability to make information input into policymaking. The HRSS project was a "leadership" project, having been initiated by the former Speaker of the House of Representatives (Timothy Barrow) and the President of the State Senate (William Jacquin) and continued under the auspices of the current Speaker of the House (Stanley Akers). These leaders retained ultimate authority for major decisions and direction of the HRSS project; they delegated responsibility to specific members of the leadership, including complementary "sub-leadership," i.e., standing committee chairmen.

The majority of work and everyday direction was derived from committee chairmen in the House of Representatives and Senate who represented their majority

leadership bodies. They supervised the HRS Staff. However, the House monitor (Representative Sam McConnell, Jr.), most responsible for the project's everyday direction and its growth for the two year research grant, happened to serve in an ideal, dual interrelationship between programmatic and appropriations' processes, in that he was, simultaneously, chairman of Health and Welfare and eventually vice-chairman of Appropriations. Obviously, his working relationships within the legislative structure made all the difference in the potential and actual impact this project has had within the Arizona State legislative process and state government in general.

There is no question that the nature of the HRSS demonstration and its position within the legislature at a time of "across-the-board" agency reorganization predisposed it to having some kind of impact within this process; however, specialized staff were new to this particular legislature at the time that HRSS was initiated. Primarily, only university-sponsored interns and professional lobbyists "served" simultaneously as staff when the HRSS project began operation in January 1972. HRSS personnel represented, in the main, university people coming into a legislative body and attempting to fit their ideas and style of research into the legislative process. There were natural, inherent objections and, consequent, self-imposed limitations as to the manner in which this kind of input could be and became acceptable to the policymakers. The legislative "defense mechanisms," for keeping staff in their place and establishing just who "made policy" had to be recognized and overcome during the two years of the project endeavor.

### *HRSS – A Focus for Communications' Development*

A particular focus of HRSS was, as mentioned, on capacity-building which, if effective, could bring together state legislative bodies and the executive (administrative) branch of state government into interaction with federal agencies. These governmental elements would, hopefully, become aware of each other's existence and learn to recognize the potential advantage of working together towards mutual objectives. However, it had to be recognized that the traditional approach of such communications' development, among various units of government within the state and nationally, was usually derived from executive branch leadership, rather than the legislative branch and, in direction of initiative, from federal, to state, rather than the reverse process.

The HRSS demonstration evidenced an attempt at breaking with human resource services development tradition. It attempted to assess and reinforce the legislature in such services implementation.

It was early recognized by HRS Staff, not only in their own experience in Arizona but comparing notes with several other sophisticated state legislatures (including California), that the legislature, even a part-time legislature, can become a powerful policymaking body when it wishes to become a focal point for human

services policy formation. For example, the Offices of the Speaker of the House of Representatives and President of the Senate are active nationally year-round. These offices, coupled with interim committee work, have considerable potential influence to initiate new programming, to carry out oversight functions on enacted legislation and appropriations, to aid state agencies in problem-solving, and to effect the kinds of working relationships with federal and state administrative agencies which are basically advantageous to the development of balanced human resource programming in the states.

The historical constraint in this communication's process has been the way federal departments have become accustomed to working with their equals in state-federal categorical programs within state executive agencies. There is an inertial mind-set inherent in this precedent that is unfortunate and does not recognize the impact for change at the state policymaking level and what it takes to bring about such change within traditional federal-state agency programming. Those in state legislative policymaking have greater capacity, to effect dramatic, acute, but also long-term change. They have the power to bring about new relationships and new alignments of units of government and constituent groups. Neither, state executive agencies, nor the federal government, nor Congress are as likely to accomplish these changes as rapidly or as effectively as a Legislature; because, they are bound by historically-determined federal-state relationships and hamstrung by longer time frames for action.

### *The Risk of Federal Agencies Working with the Legislature: Lower than Expected*

There is, of course, an inherent risk in federal departments attempting to work simultaneously with the governor and his staff, state administrative agency directors and with the state legislature and its leadership. Federal departmental staff seem more fearful of the political implications of working with a politically-established legislative majority and minority, than they do with a governor (also a political animal), his staff, and the administrative agencies (with often politically appointed directors). Working with both the legislative and the executive branches of government in the state is like walking a tightrope; but the results are often well worth the risk inherent to this process.

Sharkansky (1972, p. 243) adequately enunciated the basic constraints and reinforcers to the development of working relationships between the executive and legislative branches of state government. The traditions affecting the separation-of-powers concept are:

- ... (1) The desire to maintain political accountability in public administration;
- (2) the desire to maintain an equilibrium among the three constitutional branches of government by preserving the system of separation of powers and checks and balances;
- (3) the desire to ensure that professional and technical skills are brought to bear on relevant matters of

policy formulation and implementation, and (4) the desire to maximize the efficient use of resources by means of a hierarchical form of organization.

The experience of HRS Staff is that many of the traditional constraints to the development of working relationships are suspect and should be tested. Though one can argue the "separation-of-powers" issue, it is apparent that executive-legislative roles are overlapping, confused, and have always been ambiguous. Through establishing projects which require the mutual participation of members of both branches of state government, a natural, developmental method to clarify role differentiation between these branches can be developed. One can then determine the operational parameters which should actually limit the working relationships of these two branches of state government and the appropriate checks and balances required.

It has generally become a matter of procedure for state and federal agencies to cite the separation of powers' "problem" as one which prevents various forms of interaction toward the achievement of mutually desirable objectives among the various units of state government. This is most unfortunate, since new directions in programming for the reduction of dependency in most states are quite necessarily dependent on the cooperative and constructive adversary involvement of both the legislative and executive branches acting as powerful change agents or brokers of change. State and federal levels of human services development are not identical.

Under current constraints of federal law, regulations and "policy statements," the state's power to redirect human service delivery systems is limited. The state's executive and legislative branches must take a more active role in this policymaking forum, so they can become effective leaders vs followers through utilizing their inherent constitutionally-defined power. New relationships between the state's executive and legislative branches and the federal agencies responsible for carrying out Congress' intent need to be initiated and negotiated. New directions in programming require every bit of insight and creativity which can be mustered toward this end to refocus the orientation and application of the use of limited state and federal resources toward affecting the employability of various handicapped population target groups. Such a change in traditional governmental direction will require the application of new kinds of technical expertise to the policymaking and implementation processes. This is the premise of the HRSS demonstration.

### *HRSS as Catalysts in Testing Legislative Constraints and Prerogatives*

HRSS exploited the potential of the traditions inherent to the state legislative process:

... The legislature has many opportunities to affect the structure, procedures, and programs of administration: review of new program proposals, periodic review of agency budgets, the approval of key personnel appointments, special legislative investigations into the

operation of certain programs, the legislature's ability to initiate (and to pass over the governor's veto) new programs or to make changes in existing programs, and informal arrangements in which administrators seek the approval of key legislators for certain kinds of decisions (Sharkansky, 1972, p. 245).

The accomplishments of the HRSS project suggest the variety of ways traditions were tested in how the legislature can affect human services development. For example, the "oversight" function is a relatively new one both to the Congress and the state legislature. HRSS explored the legislature's potential in meeting legislative needs for accountability of agency programs through this means. As a consequence, the Arizona Legislature achieved a better understanding of what kinds of agency oversight are appropriate, feasible and fruitful.

As another example, HRS Staff, as indicated, came on board at a time when "across-the-board" reorganization into eleven cabinet positions of approximately 121 state agencies and programs became a matter of policy in the legislative leadership of both Legislative Houses. Also, both Houses and the Governor's office were controlled by the same majority party. These circumstances made the experience of HRSS somewhat unique, yet questionable as to its representative application to the legislative environments of other states. However, HRS Staff took considerable time and spent an authorized proportion of their allotted grant budget to compare their experiences with those of three other state legislatures. Two were extensively staffed with technical expertise at the standing committee level; yet, one state had very minimal staff, mostly from a central reference service. This three-state comparative survey of standing committee chairmen and senior committee staff will also be reported.

### *Summary*

The majority of HRS Staff are presently still employed by the legislative and executive branches of state government in Arizona. Some of the legislators, who made the most significant contributions to the project's direction and the application of HRSS' approach within the legislative process, are also still active.

Many accomplishments were achieved over the two years of this demonstration which have important consequences for short and long-range programming in dependency-reduction at the state level. But, the means by which these accomplishments were achieved cannot be reported in the manner in which they should be to effect a basic understanding of how the legislative process truly works. This is a matter of the reporting limitations due to professional social science research ethics. There is no question that effective policy formulation requires the active participation on the part of both legislative staff and key legislators to effect lasting organizational and program change within this consensual body. But, to report the actual interpersonal process in terms of staff and legislator manipulation or "influence" of one another is ethically inappropriate.

In any case, this kind of situational demonstration is most difficult to scientifically "track" and record as to the organizational problem-solving processes typified in a state legislature in the classical experimental model of controls framework. In Arizona there are 90 legislators and they act apparently very independently of one another. There are parties and party caucuses, but much individualistic independence in the way decisions are achieved. This is a "western" tradition. One can point, though, to basic benchmarks in achievement in a legislature of this sort.

What the reader will, hopefully, gain by the end of this report is a limited set of guidelines to a working knowledge of the inherent nature of the state legislative process and the relationship of this governmental body to others. How technical staff can assist the legislature in its problem-solving is what is the significant focus. How such a democratic process can, in particular, lead to improvements in a state's human resources program is also most important. What is significant and well worth learning is the manner by which staff and legislators can work as a team to cooperatively achieve some very important new approaches to services' innovation, implementation and services' accountability.

The primary focus of HRSS' efforts, to be described, was not only to bring more current, significant technical information on federal and state programming to bear in the arena of decision-making of the state legislature, but to effect a balance in decision-making potential between the executive and legislative branches of state government. In addition, HRSS senior staff spent much of their time in the experimental development of these decisional relationships among the legislature, federal agencies, the U.S. Congress and national professional organizations of human resource personnel. The fundamental conclusion of HRSS is that professional and technically-oriented legislative staff is an unrecognized, though potential resource, for the betterment of human resources services programming in the state and nationally.

A secondary finding is that, though, more change is often possible through the availability of professional technical staff to policymakers, the development of staff support to a legislative body is no mean accomplishment. To attain a relationship of trust as staff with one's legislative "colleagues" is not simply a matter of establishing an employer-employee and colleague-like working relationship as is typical to research and development staff support units within many corporate organizations and business enterprises. The achievement of such a colleague-like working relationship with legislators seems to be most important for professional, specialized legislative staff to make impact, information-wise, within the legislative process.

Third, policy impact within the legislative process depends upon the realistic recognition of the character of the legislative process by legislative staff. For example, making impact in the program-development area within the substantive standing committees of a legislature is quite different from the impact possible within the legislative appropriations' process. These two processes are basically unique and separate ones, established historically as functionally different within state's legislative

procedures. It is unfortunate that these are not related better than they are in most state legislatures; rarely, for example, do programmatically-based legislators have the impact they should or would like into the appropriations' process. Human services development would be more effective if this were the case.

Another example, continuity of impact within specific areas of programmatic interest, is rare indeed within most state legislatures due to a variety of factors reported in other research into this subject. Taking the standing committee as an example, Rosenthal (U.S. Congress, 1973, p. 10) has emphasized one of the major problems in the development of continuity in policymaking:

The experience of chairmen and members of standing committees also counts. If policies and programs are to be effectively formulated and effectively controlled, there has to be some memory, some continuity of service on each committee. Differences in membership continuity between committees in the states and those in the U.S. House are extreme indeed. State legislative committees seldom achieve anywhere near the expertness and influence of their congressional counterparts. A principal reason is the high turnover of committee members.

Full-time, year-round staff capacity-building, as an adjunct to committee and leadership procedures, is one means of overcoming this discontinuity in the state legislative process.

However, this example suggests limitations to the legislative role in human resources development. It has been variously reported by different observers of legislative decision-making that in every election there is a 40-60 percent turnover in most state legislative bodies. This is an extremely high turnover; one that very much affects the ability of the legislature to follow through on any particular decision over a long period of time. Most human resource problems, on the contrary, are long-term problems that require a basic understanding of the dynamics of how they are affected by state administrative agencies and by policymakers, as well. For the legislature to make impact in such areas, as represented by the ever-increasing population of dependent physically and severely handicapped, it must develop some form of "memory" device as Rosenthal suggests. New approaches must be based on previous ones. Permanent, specialized staff, though few in number, can contribute productively to such an objective, but only if properly supervised by legislative leaders.

Many other examples of insight into the role of capacity-building, and its limitations, will be forthcoming in the report to follow. These are the most significant ones.

## CHAPTER II

### The Role of Changing Legislatures in Setting Human Resource Priorities

#### *Policymaking and the Role of the State Legislature in Setting Resource Priorities which Affect the State, Communities, and the Nation*

Sharkansky (1972) reported that state governments have been maligned over the years as not being responsive to the needs of their citizens; consequently, the federal and local governments have taken leadership in attempting to meet these needs as they pertain to domestic problems. Sanford in his book, Storm Over The States (1967), indicated that the legislature, in order to develop and maintain a record of responsiveness, needed to become more involved in policy issues affecting its citizens.

In this respect, it is interesting to note that state legislatures have increased their funding for "domestic" programs more rapidly than any other level of government in the last twenty years (Sharkansky, 1972). The legislature as the primary policymaking body within the state has, generally-speaking, been working vigorously in the last few years to prepare itself to enact legislation that will provide the state with a leadership role among its citizenry.

As examples of the growth of federal policy and programs in the domestic area, one need but look at the legislation that was passed in the 1960's with the Office of Economic Opportunity programs for those who were poverty-stricken; the Medicaid program in 1965; the Medicare program and its concern for health care for the aged; and the Intergovernmental Cooperation Act of 1968. The latter provided the states limited flexibility in organizationally structuring their service systems as they deemed appropriate.

As the federal government has interpreted the needs of the American citizen, it has proceeded to pass legislation through the years which has had a tremendous impact on the citizens of each state. Thus, federal responses to local needs has resulted in the development of structures and procedures of governmental interaction which bypassed the states. It effected the creation of direct federal funding to meet urban and local needs . . . for example, the Demonstration Cities' Act (i.e., "Model Cities").

Power to the states. Since 1968, the Nixon Administration had been working on its concept of "new federalism." Legislation which passed in 1968, the Intergovernmental Cooperation Act, initiated a new shift of power which pinpointed the responsibility on the states for planning and services and further defined their interrelationships with local and federal government. This Act, as implemented by the Federal Executive Office of Management and Budgets' Circulars' A-95 and A-98, has assisted in the development of the Council of Government structures ("COGs"). The implementation of the regional planning concept, one of its outcomes, has provided the opportunity for states and local communities to assume initiative in priority planning.

A second program sponsored by the Nixon Administration, the Revenue Sharing Act of 1972, is also shifting power back to the states and local communities. The Revenue Sharing Act again called attention to what role the states could play in independently determining those programs which seem to best fit each one's needs.

A third characteristic of new federalism is the development of the so-called Services' Integration program under the U.S. Department of Health, Education and Welfare (DHEW). The Services' Integration projects have, in essence, given strength to the states to reorganize their service systems.

Also, state legislatures have undergone a period of streamlining and growth which has re-emphasized resource initiation and allocation at the state level. Many legislatures have been active in establishing the authorization for such modernizing activities as exemplified by agency reorganization and other streamlining efforts.

States' response to complicated programs. The need to establish working relationships among various levels of government has never been more pronounced than it is now. The Arizona State Legislature, for example, increasingly demonstrated concern about the federal impact on the state's human-resource programs. It became aware of the requirements of federal law and regulations, especially pertaining to those laws that passed in the 1960's and early 1970's. The implication is that the state had to first learn to recognize the simultaneous demands and needs of various levels of government, both subordinate and superordinate in order to establish the parameters of its own initiatives. These changes have been fostered and promoted as exemplified by the councils of government mechanism and by the more vigorous municipal, city, and county governments.

With the increased expenditures of state government and the thrust of the federal government to decentralize power to their regional offices, the states have been provided the opportunity to direct more programs from within state government\*. The legislature is unique in that it can enact those laws and authorize and appropriate those monies which, in effect, establish statewide human-service priorities. It often complements (i.e., "matches") federal categorical programs. Consequently, the legislature is slowly realizing that it requires the tools necessary to develop and interpret technical information which establishes the appropriate directions it should encourage in service delivery and relationships among the various branches of state government, and also among the local and federal governments.

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\*The exception is the "prime sponsor" concept inherent to the new Comprehensive Employment and Training Act of 1973 (PL 92-203). This provides the municipalities the authority to deliver their own employment services.

*The Legislature's Role Among Other Policymaking Organizations  
at the Local, State and Federal Levels; Its Isolated Status  
Compared to Other Organizations*

The state legislature has become increasingly aware of the necessity to inform itself of the laws and regulations which exist at the federal level, their interpretation by the federal officials, and their implications for the state. As a result, legislators have recognized the need for legislative-initiated changes in the human-resources programs. The legislatures, thus, tended to develop greater initiatives to foster programs which provide for the needs of its citizens and, to meet the federal challenge to local initiatives; a trend toward evolving from part-time to full-time policymaking is occurring. Many states have turned to annual sessions and these sessions particularly in the case of Arizona, have increased from minimum duration of thirty, sixty or ninety days to a point where the legislature is meeting in combined session and interim approximately six months each year and has limited year-round staffing.

Accompanying this effort has been the dramatic increase in interim legislative work where interim joint select committees and House and Senate committees take on various tasks which have tremendous significance for reorganizing state agencies and streamlining their procedures for the delivery of services to the citizenry.

Unfortunately, most state legislatures have not usually had professional staff available to them to assist in reducing their ever increasing workload. As a result, the legislature has depended primarily upon its own capacity to gather information from lobbyists, administrative agencies and through neutral legislative research councils or central reference bureaus. With the present trend toward more complicated legislation, based upon laws enacted at the federal and the state level which have far-reaching implications, this limited capability of state legislatures is no longer an acceptable pattern of response to policy needs. (See references re Citizens' Conference on State Legislatures.)

Also, many state legislatures across the country have not developed to the point where they have access to the data, research and recommendations pertaining to various federally-initiated programmatic and organizational matters. It is true that at the federal level, the Congress has had committee staff as well as general research staff and aides throughout much of its history. But, even here, the stress is on the appropriations' process. Federal administrative agencies, such as the U.S. Department of Health, Education and Welfare (DHEW), the U.S. Department of Labor (DOL) and the U.S. Department of Housing and Urban Development (HUD) historically have also had staff which were established to provide the Congress with information as it pertained to proposed legislation and program development. State legislatures do not typically have the same staffing capability as do these policy-setting organizations.

The rebuttal process, which was developed at the federal level, has been used successfully to provide information from the executive to the legislative branches for many years. This is evident through the hearing process of Congress. However, only five or six states have developed sufficient professional staff to provide similar

information through similar adversary strategies at the state-legislative committee level. Nor are there sufficient staff within the state executive agencies to establish similar complementary executive-legislative relationships at the state level similar to those provided at the federal level of government.

The committee hearings' process has provided an opportunity for many public interest pressure groups, administrative agencies, lobbyists and legislators . . . all who represent special interests . . . to make impact on the trends and direction that legislation takes. State legislative sessions are usually marked by frustrating workloads, and insufficient time to adequately research necessary information to provide each committee with sufficient grounds for making policy decisions. The interim has become the time period when the legislators can work at a more consistent pace to gather the necessary, in-depth information required to pass effective legislation. It is during these interim periods that legislatures develop proposed programs, provide oversight for agency functions, and begin to look at the impact of Congressional law on the states. For example, legislatures, during the interim, may now be studying those rules and regulations and guidelines that appear in the Federal Register, which, in fact, become the mechanisms and machinery by which federal laws are implemented.

But until competent research staff become available on a full-time basis, most legislatures will remain in a reactive situation, limited in responding in a positive way to the needs of its citizens. As a result, most state legislatures are presently in a position whereby they find it impossible to establish their constitutionally provided initiatives to chart their own, independent course of action for human-resource services to the degree they deem necessary and appropriate.

The day of settling resource distribution, through individual legislator influence and the use of personal power alone without adequate data is, hopefully, drawing to a close. The legislature, because of its increasingly greater accountability to the public, is beginning to conclude that it must now defend its policy decisions with more adequate, technically qualifiable information. Legislative staffing is one particular means to this end . . . a point of view stressed in the HRSS demonstration.

### *A Multidisciplinary Look at Capacity-Building Through Staffing*

The purpose of the Legislative Capacity-Building grant to Arizona by DHEW was in essence to provide staff to assist the Arizona Legislature in the development of policy decisions based on objective and technically quantifiable and qualifiable information. This was the first U.S. Department of Health, Education and Welfare staffing grant to a legislature for human resources capacity-building. Capacity can be defined in a variety of ways. Capacity-building can be defined quantitatively as just having more supportive staff time available to the legislator to assign to research and discover appropriate kinds of legislative options, and activities or to evaluate on-going programs. A second definition of capacity-building would be a qualitative definition whereby the professional staff, concerned with developing an understanding of quality

programmatic areas in specialized ways, acts not only as a resource person who is capable of reacting sensitively to the requests made of him, but as one who can take the initiative in formulating innovative approaches to legislation. His understanding in a subject-matter sense of the implications of agency programs for state action can prove invaluable in providing a legislator with options previously unavailable.

The HRSS experience has focused on the national, state and local relationships and problems targeted at the specific subject matter of human services. Other technical staff could apply a similar focus to land-use planning, transportation, environmental protection and other areas. Staff should be prepared to suggest to the legislator information and options the legislator might require to initiate appropriate legislation.

A third definition of capacity-building would be the focal point of continuity a legislative staff person could provide the legislature in becoming the liaison between the federal, local and state agencies and Congress in pulling together such resources. He would also provide the program data and other information necessary to effectively legislate more realistic policy decisions. Such legislative staff could bring to the legislature, especially if he is a senior staff person, with skills, experience and training in programmatic matters, the ability to evaluate such programs and, simultaneously, develop lines of communication among the state administrative agencies, the legislature, the federal, regional, and central offices in Washington and local communities.

A fourth capacity-building definition could be the continuity staff could provide, in the sense of history and "corporate memory." Staff could, as a resource, suggest trends and directions in current programming, and develop future potential directions for new programming.

Staff could be of unique importance . . . but only if properly supervised, i.e., "controlled;" by their legislators . . . in implementing legislative bills. The senior legislative staff person could assist the legislator in moving from the passive generation of information to assisting the legislator in the active phase of information utilization. By spending full time with the legislature, the legislative staff person could bring the perspective of the legislator to bear on problems and issues which could only be resolved by gathering appropriate data from a variety of extra-legislative sources. In essence, the legislative staff person could, thus, reduce the barriers, limitations and the isolation of the legislature from other bodies. It is true that the legislator has many constituents and is influenced by many interests; however, because of the press of legislative affairs and the fact that most legislators are part-time, he cannot generally spend the time that he would like studying programs and problems which exist within the state, or are initiated at the federal-national level. A legislative staff person could, under appropriate orientation from the legislator, spend his time at this kind of active research activity and fulfill the above-described functions.

## CHAPTER III

### **The Utilization of Technical Information in the Legislative Process – A Three State Legislative Study of Information User Styles at the Committee Level**

#### **A. Introduction**

The theme of this chapter concerns the use of information in the legislative process and capacity-building through legislative staffing toward this end. The legislative process can assumedly be made more rational by improving the quality of its decision-making. This could be achieved in the sense of affording the legislative membership better and more accurate policy-relevant information and, thus, providing them greater discretion in the options they choose for making policy decisions. The Human Resources Services Staffing experience of the Arizona State Legislature has suggested that staff, if properly utilized and subjected to adequate legislative direction, can make a contribution to this process. Consequently, special emphasis has been placed upon a comparative assessment of how other states use staff within the standing committee process, since the committee seems to be a setting most parallel to the Arizona experience.

#### *Statement of the Research Problem*

**Background.** How technical information generation and flow are affected in the legislative committee process should, in particular, be greatly dependent on the kind of relationship which exists between senior committee technical staff and their legislative chairmen. The following is a report of a three state comparative legislative survey of the standing committee process.

The importance of technical information to an organization's problem-solving processes in the sense of policy determination has been underscored by a number of students of organization. Etzioni (1964:75) said: ". . . Probably the most important structural dilemma is the inevitable strain imposed on the organization by the use of knowledge . . ." Demestresou (as paraphrased by Huerta, 1972:40) believed: ". . . The basic problem the organization faces is to decide what information is necessary, in what form, and with what speed for its respective members [to make important decisions]. . ."

Barnard (1938:174) stressed the dilemma in the interaction of the managerial and adaptive subsystems is that: ". . . objective authority is only maintained if the positions of leaders continue to be adequately informed . . ." Information use, as Hopkins (1964:167) indicated, is ". . . an important property of office which Weber fails to mention." In this regard, Etzioni (1964), Blau and Scott (1962), and Merton (1964) have underscored the distinctive role strains of the creative, professional

information staffer in a supportive position within the organizational structure. This kind of staff provides the organization with specialized expertise in terms of the kinds of technical information most pertinent to the executive manager, who sets the organization's tenor and direction.

Staff relationships at the managerial or executive policy-making level, as compared to the production level, are often more complex than suggested by the classical industrial "line-staff" differentiation made by organizational sociologists. Management, i.e., supervision, of these roles at the executive managerial level, is characterized by more freedom, span of decision and autonomy. Yet, at the same time, it seems to require greater role clarity of both supervisor and staff. This is in the sense of how supervision is selectively applied, so as not to interrupt the creative and delicate aspects of information generation and flow.

Summary: The Focus of the Research Problem. In the legislature, the primary work setting wherein "production" occurs is at the committee level. This is the focal point of the empirical comparative survey study to follow. The production and refinement of legislation will be considered a direct resultant of the quality of the working relationship and, thus, the technical information exchange which occurs between the standing committee chairman and his senior committee staff. The legislative chairman will be symbolically representative of the managerial or authority-bearing subsystem and the senior legislative staff will be representative of the adaptive or information generation and transmission subsystem in this kind of organization.

## **B. THE STUDY'S FOCUS: STANDING COMMITTEES**

### **THE PERTINENCE OF THE LEGISLATIVE COMMITTEES AS THE PRIMARY INFORMATION FILTER AND USER WITHIN THE LEGISLATIVE PROCESS**

The empirical research focus of this study will be a comparative examination of the state legislative committee system and the meaning of staff in the provision of information to the legislative process. The following perspectives were emphasized in the survey research design:

1. the kinds of authority and communications systems required to effect information flow between committee chairmen and senior legislative committee staff;
2. the forms of supervision required for information to flow and the kinds which actually exist;
3. the parameters of the supervisory and work relationships which inhibit or facilitate overlapping roles of legislators as decision-makers and staff as supportive information "technicians";

4. the degree of openness required in communication between chairmen and staff for information to flow effectively;
5. the relevance of the formal subsystem of supervisory management over staff to legislative committee information flow processes;
6. the relevance of the informal subsystem of communications to the facilitation of information flow between the chairmen and their staff.

The legislature can be considered a unique but legitimate model on the continuum from very complex organizational structures to very simple ones. The legislature has many characteristics in common with other kinds of service and manufacturing, i.e., bureaucratic organizations. However, it highlights several organizational characteristics of a developmental nature which emphasize the technical information process and "managerial" decision-making. (See Figure 1.)

The characteristic directions legislative organizations take are a function of their programmatic objectives and the quality of information available to them:

. . . Each legislator in the course of his term must have access to information, evaluate it (even if no more than to accept the evaluations of others), and take definitive action as a member of a legislative body . . . (Meller, 1952:111).

A legislature has the following major functions: organization, research, deliberation and oversight (i.e., monitoring for agency accountability) (paraphrased from a definition by the Committee on Legislative Rules of the National Legislative Conference, 1970:8).

The legislative process could be rationalized by applying greater discretion to the decisional options available to each legislator throughout the many events which make up this problem-solving process. Rosenthal's definition of the legislative process is operational in nature. It establishes a baseline for considering the potential effect of the management of information on this process. It suggests the points at which staff can potentially, at least, apply their expertise — information generation and interpretation:

**MANUFACTURING FIRM**

**BICAMERAL  
STATE LEGISLATURE**

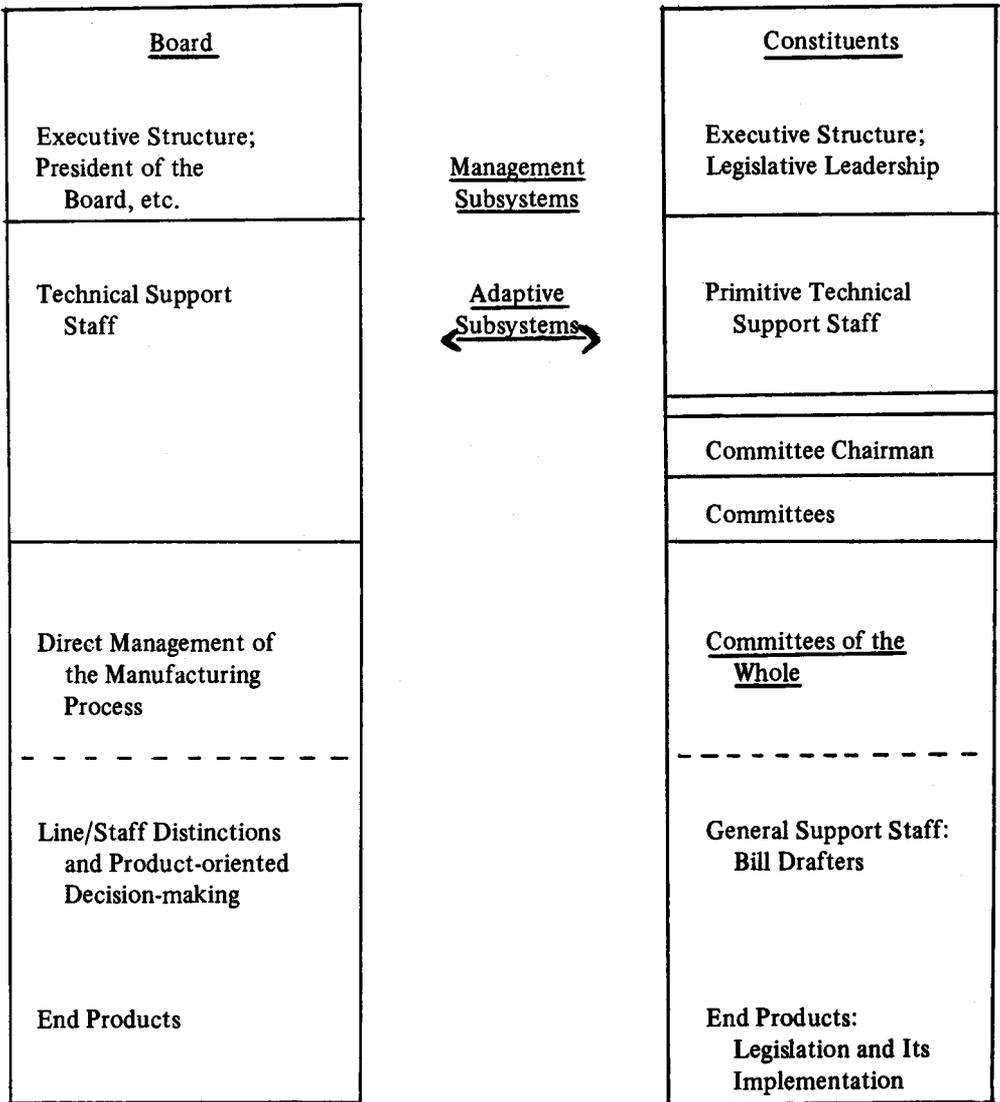


Figure 1. Comparison of two paradigms of organization.

First, a legislature must represent and help constituents. This means that members have to do errands for people, put them in touch with administrators, answer their requests, and express their interests. This is the constituent service role. Second, a legislature must participate in policy-making. It cannot merely ratify proposals — whether from the governor, a department or agency, an interest group, or one of its own members. It should go further — examining, modifying, and even rejecting what is presented. It should offer alternatives and fill in gaps. This is the policy and program formulation role. Third, a legislature must review the conduct of administration — exercising oversight, checking on dishonesty and waste, invigorating entrenched bureaucratic routine, ensuring compliance with legislative intent as embodied in law. It must also evaluate the effects of state policies and program — examining accomplishments in relation to objectives and costs, and anticipating whether past enactments need to be expanded (Rosenthal, U.S. Congress, 1972:2).

Information and technical assistance can, thus, be applied throughout the legislative process in terms of the functions described in the above definitions.

A number of observers of the legislative process, including Dye (1971) and the Council of State Governments (1972), have disagreed regarding which particular functions and structures have the most impact on the final legislative product, whether appropriations or program. Their experience suggests that technical information might make impact through the utilization of technical staff placed at a variety of positions within the legislature: in the Speaker's or Senate President's office, as administrative assistants to individual legislators, as staff to Standing Committees, or as central research and reference service staff (e.g., legislative councils). All of these patterns of staff utilization are followed to one degree or another in legislatures throughout the United States.

A number of barriers are imposed on the potential and actual impact of staff no matter what pattern they follow. Among these might be listed: the limited period of time a legislature is in session in each year, the high turnover of legislators from election to election, the lack of continuity of legislative action in the interim process and the general unavailability of staff who are willing to make a career of the legislature. All of these limit the quality and quantity of legislation a legislature produces and, consequently, the kinds of use it can make of technical information staff. Staff, with specific kinds of expertise, can provide information, direction, and continuity to policy in the legislative process and in its implementation at the executive levels, and can adequately counteract some of the kinds of barriers described above.

By no means are the in-house legislative processes and the staff participating in them the only source providing information which can and does affect legislative decision-making. For many years the role of the lobbyist in the legislative process has been recognized and generally accepted. Many lobbyists provide information beyond

their own immediate area of vested interest. Their information, in order to be competitive, has to be accurate, valid and useful to the legislator. In a sense they are "extra-legislative staff." They are known as the "Third House" in certain legislatures. Some distinguished members of the press and media are also held in similar regard as resources by legislators.

The application and utilization of technical information in the legislative process are, consequently, highly competitive in the sense of which resources exist or are actually used by the legislator. These various resources often limit the impact of in-house staffing expertise. Table 2 summarizes the kinds of information resources available to the innovative legislator.

In one of the few recent studies of information resource preferences by legislators, Feller, et al. (1975), actually conducted a large survey of eight states, chosen for their representativeness as a result of a variety of criteria, including: "innovatedness," per capita income, "professionalism," and partisan competition. A number of interviews were conducted with official and informal legislative leaders, chairmen of three relevant kinds of committees which were likely users of scientific and professional information, and others. They were asked to compare, by preference, a number of information input models, including:

. . . a science and technology standing committee; science and technology subcommittees within existing standing committees; a group of permanent scientific and technical consultants hired by the legislature; student interns trained in science and engineering; a permanent staff of professional scientists; a professional science advisor to the legislative leadership; a state science and technology information clearinghouse; a nationwide science and technology clearinghouse; and an ad hoc task force arrangement created to study specific issues and comprised of legislators, members of the community, scientists, and engineers. (Feller, 1975: p. 17)

TABLE 2

SOURCES OF INFORMATION FOR LEGISLATIVE DECISION-MAKING

Model Reference	Legislator Expertise	Inhouse Expertise	Expertise from Outside the Legislature
Center for the Study of Science Policy (Pennsylvania State University, 1973:35)	Personal Research Model	Professional Staff Model Intern Staff Model Committee Model Expert Consultant Model	Expert Consultant Model Task Force Model
"Power to the States" (CSG, 1972:122-123, 129-130)	Personal "Homework"	Technical Committee Staff Panels of Experts Central Service Technical Staff Capability  Legislative Research (placed selectively in legislative process) [adversary hearings]  Inhouse Scientific and Technical Advisory Units Committee Technical Staff (loaned from Executive Departments)	Volunteered Expertise  State University Faculty  State Academies of Science
HRSS-ASL Survey Research & Demonstration	Administrative Assistants Lobbyists ("3rd House") Media & Press Private Advisor	Committee Staff Leadership Staff Caucus Staff Central Service Staff (Legislative Council) Administrative Assistants Legislators with Special Expertise Offices of Research Legislative Analyst Auditor General	State Universities (limited) Constituents (affected by State services and political constituents) Specialists (contract consultants) Lobbyists Media and Press Executive Departments Congressional Staff Federal Department Staff National Resource Organizations

The two tables which follow summarize their results.

TABLE 3 \*

Percentage of Legislators in All States  
Who Accepted, Rejected, or Had Mixed Reactions  
to the Proposed Models

	Committee (S&T) **	Subcommittee (S&T) **	Expert Consultant	Intern	Professional Staff	Science Advisor	State Clearinghouse	National Clearinghouse	Task Force
	(N=100)	(N=98)	(N=99)	(N=100)	(N=98)	(N=99)	(N=96)	(N=95)	(N=95)
Acceptance	25.0%	40.8%	38.4%	47.0%	54.1%	18.2%	38.5%	51.6%	47.4%
Rejection	63.0	51.0	42.4	31.0	32.7	63.6	41.7	28.4	40.0
Mixed Responses	12.0	8.2	19.2	22.0	13.3	18.2	19.8	20.0	12.6

\*Printed with permission by Irwin Feller et al. (1975), Sources and Users of Scientific and Technological Information in State Legislatures, Table 3 (Table 3, p. 20) and Table 4 (Table 6, p. 28)

\*\*S&T – Committees devoted entirely to Scientific and Technological issues.

**TABLE 4\***

**Summary of Legislators' S&T Information System Preferences**

	<b>Strong Optimal Sentiment</b>	<b>Staff or Liaison Preference</b>	<b>General or S&amp;T-Specific Information</b>	<b>Proposed Models Receiving Acceptance by Leadership Majorities <sup>a</sup></b>
<b>California</b>	Yes	Liaison	Even	5
<b>Idaho</b>	Yes	Even	Even	2, 8, 9
<b>Kansas</b>	No	Staff	Even	3, 5
<b>Michigan</b>	Yes	Even	S&T	4, 8
<b>New Jersey</b>	No	Staff	General	None
<b>North Carolina</b>	No	Even	Even	5, 9
<b>South Carolina</b>	No	Staff	S&T	3, 4, 9
<b>West Virginia</b>	No	Even	S&T	2, 3, 4, 5, 7, 8

<sup>a</sup>The Code for identifying the models is:

- 1-Science and Technology Committee
- 2-Science and Technology Subcommittee
- 3-Expert Consultant
- 4-Intern
- 5-Professional Staff

- 6-Science Advisor
- 7-State Clearinghouse
- 8-National Clearinghouse
- 9-Task Force

The table can be interpreted as showing, for example, that a majority of California leaders accepted the professional staff model and failed to accept any of the other eight models.

\*Printed with permission by Irwin Feller et al. (1975), Sources and Users of Scientific and Technological Information in State Legislatures, Table 3 (Table 3, p. 20) and Table 4 (Table 6, p. 28)

In particular, comparison with the present study, is warranted in terms of Feller's interpretation of the survey results concerning the Professional Staff Model:

The professional staff model (the employment of permanent staff personnel with scientific and technological backgrounds) met with some enthusiasm — but with one crucial qualification. Most of the legislators agreed that they needed additional permanent staff as a source of information independent of lobbies and the governor's office, but many of these same legislators pointedly stipulated that they would prefer to hire generalists (lawyers, economists, political scientists, etc.) rather than individuals with backgrounds in science and technology. One reason given was that a large majority of the legislators themselves are lawyers or otherwise have nonscientific training. They believed, therefore, that individuals with legal and/or liberal arts backgrounds would be better able to understand the needs of the legislature, to communicate information in an understandable manner, and possibly to better understand the full spectrum of facets embodied in complex issues.

As with the expert consultation model considered earlier, many of the legislators believed that hiring more professional staff was a "step in the right direction," but few of them saw it as an optimal solution. Despite the fact that the professional staff model was one of only two which elicited an affirmative response from a majority of all legislators polled, many legislators were clearly reacting favorably to the prospect of hiring "more staff," while the requirement that such staff have scientific and/or technological backgrounds was obviously secondary. (Feller, et al., 1975:23-24)

#### *Positioning of Staff for Most Effect Within the Legislature: A Focus on the Standing Committee*

Legislative observers, as previously discussed, have also disagreed regarding the potential influence of Standing Committees in the legislative process. Some emphasize that floor actions of the "Committee of the Whole" are the most important legislative features; others suggest that these floor actions are simply "window dressing" (Council of State Governments, 1972; Dye, 1971; Rosenthal, 1973).

The Standing Committee, on the other hand, has much potential for putting legislation into a form that is manageable by the Committee of the Whole. It is, however, a potential source of legislative blocking, particularly if the committee's chairman has the power to determine which bills will and will not be heard within his

committee's jurisdiction. If a single committee is a recipient of legislative assignments from the leadership, this may well mean that legislation lives and dies within this committee's structure and procedures.

The committee can hold hearings, but at the discretion of a committee chairman, to determine, in due deliberation, the implications of legislation for the public-at-large. Legislative options can be applied through the amendment process within the committee structure. In essence, the committee provides an environment in which adequate consideration of legislation is possible — particularly if a committee is not overloaded in its agenda through an attempt to hear too many bills in too short a period of time.

Rosenthal (U.S. Congress, 1972:3) has described two functions which are typically within the range of responsibility of a Standing Committee: policy and program formulation and policy and program control. He suggested that if state legislators want to make their branch of government competitive in these functions to the Executive Branch of Government, and even to the federal agencies and Congress, they must become "independent" or "co-equal" with these other branches. This would be in terms of their ability to mobilize the information resources they require. This implies that major staff impact will have to occur within the legislature. But, it is unimaginable that legislatures will ever be able to justify the utilization of staff resources at the same proportion to their numbers as do other branches of state and federal government.

### *Ambiguity in Assessing a Legislature's Performance*

It is quite difficult, if not impossible, to determine the "effectiveness" or importance to the overall decision-making process of any particular structure or sub-process in legislative policy-making regarding their singular impact on the product of this process: programmatic legislation and/or appropriations. In other words, legislative "success" can be interpreted in different ways. If, for example, a committee chairman, complemented by legislative staff who provide relevant information through their technical expertise, affects the passage of certain legislation within the committee, this might be described as a "proximate" objective. The "ultimate" objective could be the passage or stoppage of this legislation from leaving either or both Houses and/or being signed by the Governor into law. Or "ultimate" success might be gauged in terms of any measurable program or constituent-based change which results from the legislation.

There are, consequently, many possible barriers to and opportunities for modification of legislation beyond the standing committee itself — the sole focus of this study.

This knowledge makes it extremely difficult to place emphasis on a committee or individual legislator, or even an individual legislative House, regarding the

achievement of the ultimate goal of legislation. Rosenthal (1973:253), for example, summarized five determining dimensions of committee "effectiveness" (paraphrased):

1. the extent to which committees receive legislation;
2. the extent to which committees control the screening of legislation;
3. the extent to which committees shape the nature of legislation;
4. the extent to which committees affect the passage of legislation;
5. the extent to which committees study problems and formulate legislation during interim periods when sufficient time and opportunity exist.

There is another perspective which bears on the importance of focusing on the standing committee in terms of its potential for effectively influencing legislation. It suggests that one cannot simply sum up the impact of each of the individual legislators who sit on a particular committee in order to determine its productivity. Rather, it would prove more valid and parsimonious to concentrate on the chairman of each standing committee and track his relationship to the legislative process as a whole. Legislative chairmen are often those with greater seniority who have the "eye" of the legislative leadership, often the respect of their colleagues, and, in certain specific instances, individual subject matter expertise. Over a period of years the chairmen, through a process of selection, master the development of effective legislative procedures, including how to "work" legislation through the process in both Houses with a certain degree of predictable success.

In addition, chairmen generally sit on the Rules Committee of their respective House which is another potential checkpoint through which legislation must pass to get to the floor and be considered for ultimate passage. Seasoned chairmen, in their areas of substantive expertise, generally become consultants and advisors to their legislative colleagues and to the legislative leadership.

Emphasis on the relationship between the chairman and his committee staff emanates from the author's experience and intuitive belief that the closer staff is to the actual legislative process, the more potential impact they will have upon the legislative product. HRSS focused upon the Standing Committee structure. The authors' findings are similar to those pertaining to the CSG study of the assignment of "scientific and technical" staff (i.e., physical and biological scientists) to a legislature:

The potential advantages are that the technical staff is on the firing line and is close to political realities; legislators can choose their science advice; working directly with committees, the technical staff can be given guidelines and cues; the issues are more focused, and research can be used to resolve the problem (Council of State Governments, 1970:129).

The optimum generation of technical information and its utilization is considered much more likely between committee chairmen and staff than at any other decisional point in the legislative process.

Rosenthal (U.S. Congress, 1972:10) also described effectiveness in terms of a committee maintaining some form of "memory" and some continuity of service in terms of such factors as seniority, duration of assignment, and so on. In most "part-time" state legislatures, this characteristic of continuity is impossible to achieve without the presence of staff to follow through on assignments initiated by legislators. For example, the legislative function of oversight is indicative of one such "staff-dependent" activity:

Oversight: A more specific form of agency liaison in which there is an attempt by the legislature to determine whether an agency is effectively carrying out a specific program or using a specific appropriation in a way the legislature "approves." This would be a matter of "monitoring" legislation previously enacted (HRSS, 1974).

Legislators are rarely interested in developing the relationships required for effective communications with administrative agencies; nor do they "have the time." Thus, they cannot be expected to be able to know these agencies thoroughly enough to correctly assess their performance or even their missions. Staff, if so directed, can, on the other hand, be expected to carry out such oversight functions. They must, however, demonstrate expertise in this regard. This implies the ability to simplify agency-derived technical performance information and translate it into terms meaningful to legislative decision-makers.

In summary, the Standing Committee, its chairman and his unique working relationship with senior committee technical staff is the empirical focal point of this study. In what ways the chairmen inhibit or facilitate information flow between themselves and their senior committee staff will have ultimate significance.

The working relationships between chairmen and staff will be differentiated into subfunctions, like "legislative oversight," "agency liaison," and so on. The expectations of legislative chairmen and staff in regard to these functions will be examined. The degree to which their role perceptions are congruent will be ascertained. The kinds of role interactions these subfunctions require will also be considered.

It is believed that the state legislature and its committee structure and processes exemplify an organizational setting in which the managerial subsystem (authority) and an adaptive subsystem (expertise in the information generation and use processes) are particularly well enunciated. These are highlighted by their clearer definition in the legislative process than in many other kinds of organizations.

Pragmatically-speaking, at least, tentative answers to the meaning of these subsystems and their interaction in the legislative environment should be forthcoming in this study. For example, insights may be afforded regarding the following questions:

Committee Chairmen (their point of view):

- How much control (supervision) do legislators believe they exert, or, in fact do exert, over staff in carrying out their information functions? What kinds of supervision tend to inhibit or facilitate information flow?
- What kinds of staff work and technical information do legislators require?
- To what degree do legislators appear to use staff-generated information?

Committee Staff (their point of view):

- What kinds of supervision from chairmen do staff expect and actually receive from them?
- How inhibiting or helpful do they believe the supervision they receive is to vertical information flow?
- What kinds of staff working styles create the most likely access to legislative decision-making?
- Do staff believe they actually influence legislators in the kinds of information they seem to be using in making policy?
- How competitive are staff as compared to other resources in providing relevant information in the legislative process?

**C. METHODOLOGY: SURVEY DESIGN**

Survey research is the primary means used in this study. Survey data were generated via long distance telephone, personal contact in the instance of two legislative houses and mailed biographical surveys.

These means were used to meet the following research objectives:

1. Definition of the patterns of reciprocity among legislative committee chairmen and their senior committee staff as these patterns pertain to task-oriented information exchange;
2. Definition of the direction and nature of flow of the information specifically between legislative chairmen and key legislative committee staff as compared to similar exchanges which may occur with other legislator resources;
3. Identification and analysis of factors, patterns, and practices between the committee chairman and his information resources which function to restrict the use of information by the former;

4. Analysis of possible individual legislative chairmen and staff biographical factors relevant to information use; for example: age, legislative background, community service experience, education, training, prior supervisory experience, and other related factors.

The above kinds of questions have been translated into a survey research questionnaire, composed of open-ended and fixed choice questions; in addition, background information has been separately collected from both legislators and staff through written mailed questionnaires pertaining to each of three legislatures under study.

### *Selection of State Legislatures for Study*

Three legislatures were selected for study: two legislatures with a well-differentiated division of labor between policy-makers and staff, and one legislature with very limited differentiation in its division of labor (the control). Each legislature has its own unique, functional, i.e., workload, characteristics which assumedly had impact on the kinds of staffing patterns possible; but all three have similarities as the data will suggest.

One concerns a "full-time" legislature (Legislature A) on a two-year legislative bill carryover program (i.e., a bill introduced in one session can be carried over into the next session without resubmission). This permits continuous staff work in the interim, between "annual" sessions. The second pertains to a "part-time" legislature (Legislature B), which meets approximately two months (60 calendar days) annually, but maintains a full complement of committee staff year-round. The last one (Legislature C), the control, meets on an annual session basis, but it does not maintain a full-time committee staffing component. Rather, it borrows staff generalists, when needed, from a central legislative reference service, i.e., a legislative council.

Two of the three states were selected because they represented two out of ten of the most reform-minded and differentiated states in terms of the nature of the staff support inherent to their committee process. They ranked in the top one-fifth of the comparative study of the fifty states evaluated by the Citizens' Conference on State Legislatures (CCSL Study, 1971:73, Figure 3). The control state, Legislature C, ranked one out of ten of the states in this study in the bottom quintile or one-fifth. Ranking was based on a summation of criteria relating to indicators of "effectiveness." This was a "benchmark" study from which to assess future legislative progress and reform.

The CCSL study attempted to formulate indicators based on broad objectives the researchers considered states must meet to attain the minimum requirements of organizational and procedural capability. These included the ultimate complicated cross rankings of interview questions on the following guideline of pertinent variables. These variables or indicators resulted from an intensive review of similar prior efforts at comparison:

## The Functional Legislature

- Time
- Staff
- Facilities
- Structure
- Procedures
- Management
- Decorum

## The Accountable Legislature

- Comprehensible Forms
- Public Access
- Internal Influence of Individual Members

## The Informed Legislature

- Adequate Time
- Standing Committees
- Interim Activities
- Bill Documents
- Professional Staff
- Fiscal Information

## The Independent Legislature

- Legislative Activities
- Independence from the Executive Branch
- Legislative Oversight Capabilities
- Registration of Lobbyists
- Conflicts of Interest

## The Representative Legislature

- Identification of Members and Constituents
- Diversity
- Membership Effectiveness (CCSL, 1971)

Detailed descriptions of the means of crossrankings which resulted in the final regional rankings in quintiles, from which the present states to be studied were selected, are available in the technical report: State Legislatures: An Evaluation of their Effectiveness (1971) (see References).

Another reason why the CCSL study was used as the basis for the selection of the states in this study is the emphasis placed by the researchers upon the technical information needs of a legislature. Behind the particular theme of the "Informed Legislature" were the following premises:

State legislatures function as institutions for the collection, analysis, and application of information. They are more than this, to be sure, but their information-processing functions are of great importance directly and of comparable importance indirectly, since information-handling capabilities affect many of the other legislative functions. These other functions include policy formulation and review, negotiation and compromise, oversight of government operations, and provision of a forum for minority viewpoints. A legislature dependent for information solely on interest group or executive agency representatives, for example, has compromised its vitality as an independent branch of government for purposes of review and oversight. (CCSL, 1971:19)

There has been criticism concerning the basis on which these states were ranked; e.g., too much emphasis was said to have been placed on "indirect" measures of performance, such as physical variables like the kinds of legislative quarters available, the number and kinds of staff, and so on. Less emphasis, if any, was given to the quality of legislation produced. However, this is the only recent and comprehensive attempt at ranking all fifty legislatures simultaneously according to some form of "performance" capability measure. Consequently, the CCSL study seemed most appropriate to serve as the basis for selecting the three legislatures for this dissertation study.

Other reasons why the particular three states were selected is that the author of this study had, as staff to both Houses of the Arizona legislative leadership in human resource subject areas, taken the opportunity to meet and become personally acquainted with leadership and staff of these particular legislatures over a period of several years. Even with this familiarity, it took considerable time and effort to obtain clearance from the same leadership groups for this survey. All three legislative leadership groups, and the specific legislators and staff interviewed in person and tape recorded via telephone, verbally agreed to be included in the survey as long as they and their state and particular legislative chamber would be concealed as to identity. There were no exceptions to the fact that they were professionally apprised of this matter. Permission was granted by all for the interviews per se and the manner in which they were conducted and tape recorded. Too, the leadership and their staff directly informed all potential participants of the importance of this study.

### *Selection of Legislative Committees*

This study focused primarily on the standing committee process of six chambers, both upper and lower Houses, of the three legislatures described in the previous section. The subjects selected for interview were the chairman of each standing committee and the senior or key committee staff member, who was directly responsible to this chairman. In each state the total population of standing committees (their chairmen and key staff) was the intended objective of this research.

Table 5 indicates some general characteristics of each of the three legislatures included in this study. Some of these data have been falsified to disguise the states in question for purposes of anonymity. However, the number of standing committees in each House is valid; though total legislative membership is approximate:

**TABLE 5**  
**CHARACTERISTICS OF LEGISLATURES STUDIED**

	Legislature A	Legislature B	Legislature C
<b>Upper Chamber:</b>	50 members 4-year terms 17 committees	58 members 4-year terms 12 committees	50 members 4-year terms 15 committees
<b>Lower Chamber:</b>	100 members 2-year terms 26 committees	138 members 2-year terms 20 committees	100 members 2-year terms 14 committees
<b>Duration of Session:</b>	two-year "con- tinuous" session	three months	three months

Table 6 illustrates the personal contact survey results. It should be noted that the sample of legislators and staff in the lower House of Legislature B is too few to be statistically meaningful:

**TABLE 6**  
**LEGISLATIVE STANDING COMMITTEE SURVEY RESULTS**  
**Number of Person-to-Person Interviews Completed**

	State Legislature			Totals
	A	B	C	
<u>Upper Chamber (Senate)</u>				
Standing Committees	17	12	15	44
Chairman Interviews	13**	11	10	34
Staff Interviews	13	11	x***	24
<u>Lower Chamber</u>				
Standing Committees	26	20	14	60
Chairman Interviews	25	4	10	39
Staff Interviews	25	7	x***	32
<b>GRAND TOTAL INTERVIEWS COLLECTED</b>				<b>129</b>

\*\*Only direct, personal contact interviews.

\*\*\*No committee staff; only legislative chairmen.

(The mailed biographical data will be accounted for in Section E, Results.)

## *Techniques of Measurement*

Other than descriptive information gathered on each of the three legislatures, the primary measure of comparison was, as indicated, a survey questionnaire. This instrument was administered predominantly by the author through personal contact and by telephone (WATS) line. The author had limited assistance in interviewing, but personally interviewed most chairmen and all but one staff of Legislature A, all but six staff in Legislature B, and the chairmen in the Control Legislature C.\* The chairmen interviews in Legislature A only were held in person at the capitol of the state under study. Otherwise, all other interviews were carried out by long distance telephone. The chairmen interviews lasted approximately thirty to sixty minutes; the staff interviews lasted between forty-five minutes and one and one-half hours. All interviews as previously indicated were tape recorded with permission of the interviewees.

Four survey forms were utilized: two primary survey instruments, plus the biographical forms (which were mailed), contain information pertinent to this dissertation, but also information items relevant only to the federally funded project upon which this study was based. One was intentionally shorter than the other. This decision occurred as a result of suggestions made to the author in consultation with legislative staff and leadership from a number of other states. Legislators tend to react better to limited, very structured interviews, so the trend of suggestions indicated.

A second, more extensive form of the questionnaire was constructed for administration to senior legislative committee staff, who were more interested in the interview topic, so it was found from the author's prior experience. The two questionnaires actually only differ in terms of the extent to which certain questions were repeated in various ways for purposes of determining whether item meanings were fully comprehended by respondents. This was to gain a sense of check and balance in the "reliability" of the responses to specific areas of interest. Generally, the primary questions occur in both instruments in exactly the same form and order. The questionnaires and the biographical survey forms (for written, mail response) appear in Appendices A and B. The mailed biographical survey form was administered to both legislators and staff.

Each questionnaire instrument was initiated by an identical list of possible staff committee-related functions. These evolved from the author's own legislative staff experience. (See Exhibit 1 and Exhibit 3, Sections C & D.) Each respondent was asked to accept, modify, reject, or substitute for each of the definitions described. The basic purpose was to determine whether the list of definitions was accurate and inclusive in terms of the role(s) expected of senior legislative committee staff and typical to the legislative setting in question. Consequently, the three legislatures and the substantively different committees could be compared in a uniform way as to expected staff functions.

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\* John Sievey and Gary Hulshoff assisted as interviewers in this survey.

Legislators in the Control State (C) were asked to respond "as if they had staff" (this does suggest a possible bias which cannot be evaluated). Consequently, parameters which would establish the nature and limits to the legislator-staff exchange could be established. It was predicted that the staff versus legislator roles, as perceived by both members of this dyad, should have a definite effect on the nature of the information flow possible. If the perceptions of both are not congruent, then role conflicts could be predicted.

Too, such initial attention to staffing functions, early in the interview, would, it was thought, establish a respondent interview set which should effectively maintain the survey theme throughout the remainder of the questionnaire.

The descriptive lists of functions were compared and the subjective data were treated by subjective means of analysis. A composite list of role functions was constructed. Then, an amalgamation of both legislator and staff responses was constructed subjectively by the author. This composite picture of staff and legislator modifications of the role functions are listed in Exhibit 3, Section D, results. There were, as is evident in a comparison of these two exhibits, very few modifications made and few additional functions added. Thus, this appeared to be a legitimate means of treatment of these subjective data.

## A COMPARISON OF HYPOTHESES

### *Statistical Approaches Used for Survey Analysis*

The statistical approaches used in the analysis of the quantifiable questions appearing in both legislative chairmen and staff survey instruments were twofold:

1. Phase I: a test for chi-square interaction effects and comparison among responses to specific survey questions by several categories of respondents: (a) between various subgroupings of legislative chairmen (within each legislative chamber and among all of them) – one control and two experimental legislatures; and (b) between various subgroupings of legislative staff (within each legislative chamber and among all of them) – two experimental legislatures.
2. Phase II: from the chi-square interaction analyses, it should be established whether or not it would be appropriate to combine all legislative responses and all staff responses separately for an ultimate comparison for significant interactions, on each specific question, and among all three classifications (legislature, staff and legislator).

First, congruency in perception between legislative chairmen and staff was established, i.e., whether they agreed or disagreed on survey questions. Congruency was tested for significance in terms of a sampling of the infinite population of

legislator and staff respondent differences and similarities as well as legislative settings possible.

However, only three legislatures were considered and the number of committees sampled as were described in Tables 5 and 6. Statistically, the limited number of standing committees available in each legislature only warranted small sample statistically comparative techniques. This was, as stated, due to the restrictions imposed on the numbers actually available for interview and the small size of the total population of standing committees, their chairmen and the staff which actually existed in each legislative chamber. (As stated, the total population of standing committees in each legislature was the intended objective of the survey.) As a result, several generic forms of the chi-square test were used to assess the premises of interaction and significance as described in analytical Phases I and II.\*

1. Combinations could be made concerning standing committees within each legislative chamber;
2. Combinations could be made across the two chambers in the same legislature;
3. Combinations, with considerable qualification, could be made across the three legislatures;
4. Statistical comparisons for independence vs. significant interaction between legislators and staff within and across legislatures could then be considered;
5. These particular statistical manipulations would, for purposes of generalization, be further limited by such considerations as:
  - a. similarity in the longevity of each legislative session;
  - b. similarity in the autonomy of staff within each chamber of each legislature;
  - c. similarity in the experience each legislature has had with its committee staff process per se;
  - d. similarity in the qualities of legislative staff regarding personal variables of experience, training, freedom of action, and so on.

State C, the control state, would represent a specific exception to this approach. It is supposedly typical of states with very limited, if any, committee staffing experience. These legislative chairmen should, hypothetically, differ from the chairmen of the other two states, A and B, with the most sophisticated staffing patterns.

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\*The statistical approaches used were recommended by Dr. Steve Hora, Assistant Professor, Department of Quantitative Systems, Arizona State University.

In summary, three forms of analysis of the survey results should prove useful: (a) a subjective analysis of the list of staffing functions; (b) an inferential statistical comparison of those questions which were quantifiable plus coding and translation into quantifiable ordinal data on continua of open-ended, subjective responses and similar statistical treatment; and (c) a descriptive statistical summary of the biographical survey questions to establish a "profile" of the representative committee chairman and senior committee staff person interviewed.

### *Biases Possible in the Survey Instrument and Its Application*

#### *Validation of the Subjective Items Descriptive of Staff Functions*

As indicated, Exhibits 1 (this Section) and 3 (Section D) list the staff functions differentially broken down by the author and the subjective modifications made to each as a result of the application of both the chairman and staff surveys. The items in Exhibit 1 were created subjectively by the author, who had previous direct staff experience at the leadership and committee levels for three legislative sessions over a three-year period. (He had also spent considerable time studying a large Western legislature other than his own and had worked for five years prior to this experience with legislators in thirteen Western states and with the National Legislative Conference of the Council of State Governments.)

The list of functions in Exhibit 1 was "pilot-tested" and modified through its administration to one Speaker of the House of Representatives, one Vice-Chairman of Appropriations (who was also Chairman of the Health and Welfare Standing Committee of the House), and one senior legislative committee staffer. This is in no way considered a sufficient sample, representatively speaking, for pilot-testing under ordinary circumstances. This study is actually a "case-study" from which, it has been accepted, very limited generalizations can be made to other states. This was an initial "given" when the author proposed this study. It was for reasons concerning the nature of the legislative project, which was under the direction of this author, not considered practical or acceptable to share the intent of such a comparative legislative survey with other members of the legislature for which the author worked. Too, it was impossible to contemplate limiting the very small sample of chairmen and staff in the three "experimental" legislatures by pilot-testing the survey items on their standing committee membership.

## EXHIBIT 1

### QUESTIONNAIRE DEFINITIONS OF STAFF COMMITTEE FUNCTIONS

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**LEGISLATIVE RESEARCH:** Obtaining basic facts to support or refute appropriations and/or programmatic matters.

**LEGISLATIVE LIAISON:** Establishing and maintaining some form of communications with state agencies to afford the legislature information concerning agency activities and performance.

Also included is liaison with federal agencies and the voluntary sector for similar purposes; plus to gain an understanding of what federal programs are available and applicable to a state — and, where appropriate, to encourage their implementation.

**LEGISLATIVE OVERSIGHT:** A more specific form of agency liaison where there is an attempt by the legislature to determine whether an agency is effectively carrying out a specific program or using a specific appropriation in a way the legislature “approves.” This would be a matter of “monitoring” legislation previously enacted.

**LEGISLATOR “SOUNDING BOARD”:** Being available to provide a legislator with feedback and alternatives concerning his legislative program.

**LEGISLATIVE “HOUSEKEEPING”:** Assisting a legislator in responding to particular constituent requests.

**LEGISLATIVE UPPER-LOWER CHAMBER COORDINATION:** Working with upper and lower chambers to improve communications.

**LEGISLATIVE HEARING PROCESS:** Preparation for such hearings, including the recruitment of expert witnesses.

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Though the extremely limited sample utilized in pilot-testing all facets of the survey instruments represents an obvious bias, the two legislators represent among them approximately fourteen years of experience at the committee and leadership levels. Too, the ultimate consideration of the validity of any questionnaire items is dependent upon the homogeneity of responses, the limited variance actually demonstrated within the relevant respondent categories (e.g., Legislatures A, B, C; Staff of Upper vs. Lower Houses in Legislatures A, B, C; and Legislative Chairmen in the same differentiations). The actual empirical results represent the ultimate criterion of "face validity" or validity in terms of whether the items appear to be testing what they are supposed to measure. The state legislature and its procedures are still in the phenotypical state of description research-wise. Case study designs are still appropriate means of addressing these kinds of descriptive research objectives; at least this is the studied opinion of the author in reviewing comparative studies in the legislative field.

*Validation of the Objective Survey Instrument*  
*Question Items, Both Open and Fixed*  
*Alternative in Nature*

These items, their order of presentation, and the standardization of item language in both the legislative chairman (short form) and senior legislative committee staff (long form) survey instruments were "pilot-tested" in the same manner as were the staff function items discussed in the preceding section. The rationale for this approach to item selection, order, comprehensiveness, and so forth are, thus, subject to the same methodological limitations and bias previously indicated.

*Method of Application of Survey Instruments:*  
*Personal Contact vs. Telephone*

This would be another area for potential bias since 38 legislative chairmen interviews were conducted at the state capitol of Legislature A in person (see Table 6); while the remaining interviews were conducted by long distance telephone (WATS). Too, other than the author, one research assistant interviewed approximately one-third of the legislators in Legislature A and another assistant interviewed six staff in Legislature B and one in A. The only means of determining whether, in fact, bias actually occurred is to examine the data wherein chi-square response interactions within like classifications and tests of significance across apparently generically different classifications are examined in the technical report. If, as will become obvious, there appears much homogeneity within and across classifications and few significant differences on an item-by-item assessment basis, then one can make an abbreviated case for item-by-item and survey instrument "validity." But, in the final evaluation, this comparative study is still bound by "case study" parameters and their inherent limitations in generalizability.

## *Nonrespondents*

The comparative survey, both personal contact and mail-oriented schedules, had as its stated objective the attainment of the total population of legislative chairmen and staff. Consequently, anything less, numerically-speaking, must be justified, even though generalizations will be limited as this is only a comparative case study. All personal interviews (whether at the state capitol or by telephone) and mailed survey attempts were coordinated through liaison with legislative leadership staff in each legislature. Through this means all potential respondents were contacted a minimum of two to three times each. Legislatures B and C were out of session, while Legislature A was in session during the survey period. In all cases, administrative assistants were, if they were available, asked to persuade their legislators to be interviewed. In the instance of the mailed biographical questionnaires, a follow-up letter, air-mail/special delivery, served as the second formal means of contact. Personal reference to leadership support of the study and other forms of informal influence were utilized in an attempt to guarantee the highest number of responses to all survey procedures possible.

Those possible respondents who did not wish to comply with the interview requests are, obviously, lost for eternity to this researcher. It was not even possible, nor considered politically feasible, to send out the mailed biographical schedules if the initial and secondary attempts at persuasion proved inadequate. This would have been ideal. But, very frankly, policy-makers are not prone to appreciating nonlegislative or even legislatively-inspired attempts at evaluating their inner recesses of procedure, that is, the legislative process.

## D. RESULTS, PART 1: OVERVIEW\*

Fundamentally, this study is an assessment of the potential impact of hierarchially-imposed authority on the vertical information flow patterns in organizations. What is emphasized is the vertical information flow which occurs between dyads of superiors and subordinates in policy making and upper management roles within organizations. This study attempts to assess, empirically, the effect of a legislative chairman's authority on the kinds of technical information transmitted upchannel to him by senior legislative committee staff.

### *Results of Subjective Analyses of Model List of Staff Functions (Exhibit 1 Vs. Exhibit 3)*

As previously indicated, a list of possible staff functions was presented in survey form to each respondent (see Exhibit 1). Exhibit 3 represents a subjective modification of Exhibit 1 taken from the notes made by the author as he verbally read each function taken one-by-one to all the respondents and requested: acceptance, modification, or rejection. As is evident, little change was made in each of the basic staff functions which were initially proposed in the survey (Exhibit 1). However, several seemingly unique ones were added by a few respondents and appear in the "Miscellaneous Function" subsection.

Other survey questions and their responses from legislators and staff alike also have relevance to the same question posed: "What do legislative staff consider to be the staff information generation and use roles?" A summary of the implications of the subjective data is provided in Section E through anecdotal case study descriptions.

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\*For a detailed analysis of the statistical comparisons made through nonparametric techniques within and among the three legislatures, including an assessment of methodological bias, please see:

Guy Spiesman, The Relationship Between the Managerial and Adaptive Organizational Subsystems Within a State Legislature (A comparative study of the effect of supervision on the generation and vertical flow of technical information within the standing committee process of three state legislatures), University of Utah, 1975 (Dissertation Abstracts; University of Michigan, Ann Arbor, 1976).

## EXHIBIT 3

### RESULTS OF THREE-STATE COMPARATIVE SURVEY: LEGISLATIVE COMMITTEE STAFF FUNCTIONS\* (Responses to Exhibit 1)

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#### Survey Results

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**Legislative Research:** A primary committee staff function is to obtain facts to support, refute or suggest ramifications of appropriations and/or programmatic matters; and suggest or initiate legislation on a limited basis and upon request. (This function would include bill analyses.)

**Legislative Liaison:** Establishing and maintaining some form of communications with state agencies where appropriate to afford the legislature information concerning agency activities and performance.

Also included is liaison with the congressional delegation and federal and local agencies, and the voluntary (private) sector where these apply to a committee's objectives, and for similar purposes as the above form of liaison. In addition, such liaison would provide information on what federal programs are available and applicable to a state . . . and, where appropriate, would encourage their implementation.

**Legislative Oversight:** A more specific form of agency liaison in which there is an attempt by the legislature to determine whether an agency is effectively carrying out a specific program or using a specific appropriation in a way the legislature "approves." This would be a matter of "monitoring" legislation previously enacted.

**Legislator Policy "Sounding Board":** Being available to provide a legislator (particularly the committee chairman) with feedback and alternatives plus technical assistance concerning his legislative program as it relates to his committee.

**Legislative "Housekeeping":** Assisting a legislator in responding to particular constituent and general public requests (i.e., similar to congressional staff casework) . . . particularly as such requests pertain to the specific subject matter of the committee in question.

## EXHIBIT 3 - continued

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### Survey Results

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**Legislative Upper-Lower Chamber Coordination and Cooperation:** Working with opposite legislative house to improve communications.

Also involved would be intercommittee, "lateral" coordination within the same house, e.g., between Appropriations, Ways & Means and other subject-matter committees. These functions would be the responsibility of both staff and legislators.

**Legislative Hearing Process:** Preparation for such hearings, including the recruitment of expert witnesses, the preparation of appropriate questions for committee members and limited testimony, only upon request by members.

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#### **Miscellaneous Functions:**

**Senior Staff Administrative Functions:** Recruitment and supervision of activities of other committee staff.

**Legislative Committee Goal Setting:** Upon request from and in consultation with the chairman, senior staff may have considerable input in cooperatively establishing and implementing committee objectives. (This may be more of an informal than formal procedure.)

**Legislative Committee Bill Drafting:** When these services are not otherwise available, committee staff will provide them. Staff will otherwise initiate and/or supervise the development of legislation (bills, amendments, etc.) upon request by the chairmen and/or committee members.

**Legislative Press and Media Relations:** Staff would work with the press and media, e.g., writing news releases, when requested to do so by the chairman and/or committee members.

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\*The above results represent a subjectively-derived general consensus of the majority of Committee Chairmen and Senior Committee Staff interviewed (N=126).

## E. RESULTS, PART 2: A PROFILE OF THE CHAIRMAN-STAFF INFORMATION GENERATION RELATIONSHIP

It should be noted that the descriptions to follow are a result of the nonparametric statistical comparisons for significance (see technical report) within and among legislatures, first by staff, then by legislative chairman, and finally between the staff and chairmen. Where statistical tests were nonsignificant, this was assumed to indicate homogeneity, congruency or likeness in response to each of the pertinent survey questions. Consequently, the interpretations to follow under each topic first represent a summary abstraction of the statistical results wherein respondent agreement exists. Next, in each instance, follows anecdotal interview data illustrating the nature of the subject and the range of responses possible on a case study basis. All information discussed is derived from the same onsite, telephone, and mail survey of the three state legislatures compared.

### *The Relationship*

The information relationship between committee chairmen and committee senior staff seems to consist of one requiring very little supervision, order and structure. In States A and B, supervision was nearly non-existent. The staff concerned were senior legislative staff, who, typically supervised the activities of several subordinate staff. In other words, staff had presumedly been "preselected" until the "cream of the crop" remain. The staff directors were encouraged to take "independent action," as proclaimed by over 90 percent of the respondents, both staff and legislators, of States A and B. The primary reason given was that "legislators trusted staff to represent them."

### *Examples of the Trust Relationship*

... Trust is ... obviously extremely important ... you have to have total trust and confidence in your staff director and staff ... when you get leakage of information and trickling out of staff that you are doing in areas that you may not want people to know, or ... when you get a feeling of a lack of confidence that they are not handling matters well ... the [meaning of] your staff is destroyed ... your committee work is destroyed ... [trust] is one of the top priorities ... (Legislature B senator, paraphrased)

... They [staff] are my alter egos ... you have to have confidence in them and they also have to have confidence in you ... you have to have a sort of respect for each other, a loyalty to each other. If you don't work well together, then it is terrible for everybody ... if you do work well together ... chairman and staff ... it's very helpful. (Legislature A senator, paraphrased)

I am probably at the extreme unsupervised end. That's why I act for my boss . . . reasons just like that . . . he isn't around that much . . . he's busy . . . he doesn't care that much and very often I know much more about the subject than he and he will trust me . . . It is hard to say when you ask about legislators in general . . . I think that is probably true of my boss . . . it is not true of several members but even the members of whom it isn't true, just don't have the time to do very much research. (Legislature B staff, paraphrased)

### *Work Style*

Regarding work style, both legislators and staff of States A and B agreed in the majority of instances that, though senior staff were expected to check with the legislator from time to time on the direction research should take, legislators preferred staff who "acted with minimum supervision," were "self-starters" who obtained information with the least suggestions, were "creative" and provided information in a form which included implications for the legislative process. Thus, legislators did not simply desire raw data, but wanted staff interpretations of its meaning.

The technical information relationship was characterized by both parties as being preferably "informal." This meant that staff would contact legislators now and then for direction, submit minimal, usually verbal, reports to him as to the progress of research, and so on as the "need arose." The data was contradictory as to whether legislators preferred staff to be "generalists" or "specialists" (50:50%). This seemed a function of the subject matter of each committee technically-speaking.

### *Examples of Limited Legislator Direction to Staff*

. . . I supervise bill drafting . . . they [staff] initiate the drafting of the bill . . . I tell them what I want in the bill . . . . When we finally get down to the bill drafting point . . . when we have had our hearing . . . or when we are halfway through with the hearings so we know where we are going, I will say, look . . . draft the bill in this general area . . . this is what we want . . . for instance in the Criminal Justice package, the prison reform . . . this is what I would like to see . . . I want a series of bills on prison reform . . . six bills . . . one dealing with this, one with that, and so on . . . let them [the staff] draft it . . . and then I always get back and have a final input in the bill . . . as a matter of fact, I am kind of jealous about that . . . I feel that I have a pretty good bill drafting facility

myself and any bill that I have ever passed in the legislature ... been about 55 or so major ones ... I wrote them myself. (Legislature B senator, paraphrased)

A debate package: ... I tell [staff] I want every argument that will be given against this bill ... I will give them some suggestions as to what I know will be given ... and I want refuting arguments, facts, statistics, background information, cases which are necessary, other state legislation and federal legislation for each argument and, of course, I want maybe some good lead-off statements and all the best arguments for a point of view .... (Legislature B senator, paraphrased)

... and I'm perfectly willing for [the staff] to lay all the facts out on the table; but when it comes to making decisions ... and talking about those policies ... I'm going to do the talking .... (Legislature B senator, paraphrased)

... My style has always been to lay those things out as clearly and as neutrally as possible and then let the chairman take it from there, because he knows what the exigencies are in terms of his own operating capabilities ... he knows what he can and what he can't do. For example, I would brief the chairman at the beginning of the session ... say: "Hey, these are what look like the critical issues in this area coming up this year," and then we would talk about each issue and he might ask me, "Well, what do you think your role might be in this?" or "What do you think might happen if we do this or that?" ... This would be a so-called cosmic list of big issues ... but, no one would have to tell the chairman what he ought to do ... he would always make that decision! (Legislature A staff, paraphrased)

Well, what he really wanted was somebody that could read his mind ... he wasn't sure what it was he needed in facts and he really appreciated staff who would anticipate his needs ... he didn't want to be bothered with running a committee; he wanted to be able to trust the staff to know "what was going on" and not to bug him when he made a decision; be a good soldier about the decision and accept it. He would be very informal with staff. All of this was a give-and-take relationship, like a marriage ... basically informal. I called him at home if I needed to ask him something, and so forth. (Legislature A staff, paraphrased)

I think the legislator wants a person who, I suppose, is a generalist in his ability to solve a problem, knows how to use whole range of state agencies to get information and knows how to relate well with the whole array of vested interest groups and organized lobbyists and individuals ... a person who hasn't become so personalized that he has

become insulated. But, on the other hand, the legislator needs to have the emphasis on the general. At the same time, part of the generality is knowing when you must have your facts straight . . . knowing when I would have to have adequate backup to assist the legislator in advocating a particular position or in terms of the options I afford him. When it involves technical data, I should either have that data or know where to get it so the legislator is "not hung out to dry." He expects that if I don't know something, at least I know where to get it. (Legislature A staff, paraphrased)

The legislator would like us to continually suggest new things. But, he doesn't want us to come in there with a preconceived notion. He likes my ideas—yes. He would like us to use our own approach; but he wants us to check with him if we run into trouble. He doesn't like us running off in all directions at once, just to cover every base. He wants to make sure that our work is focused and handled in the most efficient way. I think he would appreciate the fact that we check with him . . . it doesn't mean that we want him to help us . . . I don't think he has to stand there and point. He wouldn't hesitate, though, to suggest that a source we have in mind is no good. The communication we have had on a research topic has been very open, very candid, frank exchanges about how we want to pursue a topic. Once we are on our way, however, he is not going to stand there and look over our shoulders a lot. (Legislature A staff, paraphrased)

### *Constraints to the Relationship*

Legislative chairmen preferred to deal directly, and not through staff, with the media and the press concerning their own legislation. Too, in the majority of instances, they did not want staff to "sell" or "lobby" their legislation or the committee's with other legislators. Though, they would, under supervision, use staff to brief other legislators or their staff upon request. This was, in the opinion of both legislators and staff, the primary and only real restriction which should be placed on staff in the technical information generation and use relationship.

### *Examples of Legislator Preferences for Autonomy in "Working Legislation"*

As to selling legislation, and briefing other legislators on a committee bill, that happens once in awhile . . . a bill of his own, however, he likes to be sure that he knows what we are doing, what the bill does, and he likes to discuss it with the members himself . . . . (Legislature A staff, paraphrased)

. . . the other things you said about selling legislation to other legislators is primarily my responsibility . . . I do have my staff brief

other legislators . . . when another legislator wants that information or when I think one needs to be worked on . . . I would go see him with my staff man or have the staff see him and give him preliminary information that I think he might need . . . then I follow up with a visit myself . . . . Staff can be extremely useful in briefing, providing their personalities and the way they relate to other legislators is [appropriate] . . . . (Legislature B senator, paraphrased)

. . . You know a legislator's job is different than staff, because the responsibility is ours and the decisions we have to make are ours, and there are people who won't talk to anyone other than us (although it might be a matter they could just as well talk to some of the staff about) . . . . You [the legislator] are on the firing line . . . . They [the staff] are in the background; and they don't get the credit or blame for things that go right or wrong; but there is a great relationship. You have to work very closely with your staff . . . . (Legislature A senator, paraphrased)

### *Legislator — Staff Conflict*

Only about 50 percent of the staff admitted to ever being in conflict with the legislative chairman. However, "conflict" could be interpreted variously from simple disagreement to fundamental differences in philosophy or working style. Thus, it appears that staff tend to diminish the implication of difference or "conflict," since their livelihood depends on their ability to get along with their chairman. He is "the boss." Staff who felt otherwise, generally are no longer with the legislature. At least, they never "made it to the top" as senior committee staff directors. In most legislatures staff do not have "tenure." They are rarely placed on contract, except in the few instances of appropriations committee staff. (Information derived in responses from leadership and their staff.)

There is, in fact, an impression of "informality" and a lack of structure to the form the chairman-staff information relationship takes. However, there does exist an underlying factor of "duress" and stress in this seemingly nebulous relationship. This may be exemplified by the response findings of "no perceived conflict" described by staff.

### *Examples of the "No Conflict" Relationship*

. . . Members want to deal with their "constituency" whether they be their electors or whether they're lobbyists or agency administrators . . . they [legislators] want to deal with them personally . . . and they don't want any staff in the middle; they don't want staff to influence anyone's vote . . . . often their feeling is "the less staff the better!"

In order to avoid such conflicts with legislators, particularly my chairman, I do the following:

Prior to the time I take any action on any piece of legislation, which I think is going to be of unusual interest to the members . . . I check with the chairman or the affected member or the committee generally and suggest: "Look, this is what I plan to do . . . and I just want to check with you to make sure that if I do it . . . we're together on this" . . . and I do that every week on every bill. Particularly on the bill analysis, I go through with my chairman all what I believe to be are the emotional or critical issues and I try to point out to him that this is where I'm sticking my neck out. "It isn't your neck, but on the other hand, you're the chairman and if you don't want me to do it, tell me now and I'll pull the analysis back."

I commit, for example, with an author of a piece of legislation and he says: "I want you to handle my negotiation on this bill." I may negotiate the whole matter if he can't be present in the negotiation process. If it's a situation where I can't take it back to him prior to reaching an agreement, then I'll take it back to him immediately after I've reached an agreement and I'll say, "Now, look, this is what I've agreed to or this is what I've caused you to agree to and if that is unsatisfactory then I'd like you to say so right away, so I can unhinge what has been done." (Legislature A staff, paraphrased)

. . . I think the thing I like least is the fact that there is no security to any of the positions — you serve at the pleasure of the speaker of the house. That really means you serve at the pleasure of your chairman and that really means that during the interim you serve at the pleasure of the administrative aide of the speaker and, depending upon your relationship with him, this can make the difference in your having a very miserable life or a very pleasant one. One feels the lack of security and also the fact that about the time the staff really gets to know what they're doing and whether they are serving a useful purpose, then the trend in the past several years has been: you start looking for a job somewhere else, because you don't know whether you're going to be there when the next speaker comes in . . . because you serve at his pleasure . . .

. . . if I didn't have an outside income . . . I think I would do things very differently . . . I don't think I would be as good a staff as I would like to be and believe I am . . . if I didn't have an additional

income . . . I think my security would be like – well, because I'm a human being . . . I think I would have the tendency to favor more lip service for some people . . . I think I would have the tendency to be a little bit more concerned about not offending, and sometimes not offending means you don't stand up for some of the things you really should stand up for . . . . (Legislature B staff, paraphrased)

### *Job Satisfaction & Dissatisfaction*

What senior committee staff like and dislike about their job, their employer (the committee chairman), and their work environment can tell one much about their own professional qualities as well as the extent to which they can effect policy and policy change in state government. Thirty-five staff from Legislatures A and B were compared on this question. Their responses can be categorized as follows in Tables 7 and 8.

Table 7\*

Job Satisfaction: What Senior Staff Liked Most About  
Their Job and Work Setting

Power	Problem Solving & Research	Ability to See Tasks Through to Completion	Non-Routine & Novel Aspects	Independence	Impact on Policy	\$
-0-	10	2	7	4	11	1

\*N=35 (All respondents were categorized on only one highest priority response each) It is evident from the above table that the majority of staff (11) believed their position as senior committee staff to their chairman could make considerable impact on state government, that they had influence on at least assisting their chairman in moving legislation out of committee, if not entirely through the legislative process and past the governor's signature into various phases of implementation as state law. Too, nearly equal number, ten, were most enthusiastic concerning the technical research or problem solving aspects of their assignments. Only one was interested in the high salaries. And, as one will note from the table to follow, only three believed they were seriously underpaid.

The following table indicates possible reasons for job dissatisfaction, if any. This question forced the issue, since, in general, this author found most senior legislative staff uniquely enthusiastic about their jobs.

Table 8\*

**Job Dissatisfaction: What Senior Staff Most Disliked  
About Their Job and Work Setting**

Favorable to Job	Underpaid & Poor Job Protection (No Fringe Benefits)	Constituent Casework	Egos of Legislators
5	2	7	4
Nonrational Aspects of Process and/or "Politics"	Inability to See Tasks Through to Completion	Procedural, Paperwork, Employee Supervisory Aspects of Process	
4	1	12	

\*N=35 (All respondents were categorized on only one highest priority response each) The above table indicates that the majority of the thirty-five staff responses studies support a strong concern for dissatisfaction regarding their involvement in routine, procedural activities. These are the kinds of activities which keep the committee work flowing, including supervision of staff, bill analyses (i.e., writing and researching the bills), setting up hearings, paperwork, and so forth. There is also a fairly strong dislike for handling individual legislator and/or committee constituent requests. This may include anything from simply answering questions about pending legislation to assisting the constituent in obtaining some necessary, personal service from a state agency.

Most senior committee staff, but not all, seem to prefer to stay out of the political and practical aspects of legislation. As the table suggests, only four (4) out of thirty-five respondents even considered political compromise, and so forth, a reason for job dissatisfaction. The general feelings the author found typical to most committee staff can best be represented by the sentiments expressed in the following quote (Legislature A staff, paraphrased):

I like most the fact that I get to worry about policy ... almost exclusively and don't have to worry about politics. I think it is a very healthy thing for the system we have in our state ... most staffers, particularly the older staffers here who grew in a relatively non-partisan system, share the same view. There are a lot of staffers who get involved in their bosses own campaign who are highly partisan but they are the newer ones ... I think the Speaker has not worked to keep staff non-partisan to the extent that I think the previous Speaker did ... And I think that this is unfortunate, but it is not the sort of thing that could last forever anyway ... it takes a very determined speaker to keep the whole system relatively non-partisan ... it isn't a political system ... and was nice while it lasted ... mine still lasts ... I am lucky to have a boss who has a very safe seat and doesn't get mixed up in partisan politics.

I like dealing with policy; I like taking a bill with the idea for a bill and trying to draft the best bill possible to get an existing bill in the best shape possible to do what the author intended it to do; I like to make a good clean explanation of what's involved in the bill ... what the pros and cons are and I love it best of all when the committee actually votes on that basis ... on the issues ... rather than on who the lobbyist is ... they are not my ideas ... I go out and collect the ideas from proponents and opponents ... I know about a lot of legislation because I have been here for a long time, but there are lots of bills introduced where I don't know anything and I have to go out and collect the data, but I love to see the legislature act on the issues as opposed to personal considerations.

I come back from a hearing often very unhappy ... but there's not much I can do about it ... I am one input in the legislative process to a committee hearing and there are many others and I am important to the extent only there are many other elements who are not important. Hearings are pretty important, but it is true of our legislature as it is probably of every other one that any important decision is made not at the hearing but before the hearing. If enough of the actors appear in the process, legislators, lobbyists, citizens, newspapers, whatever, there is a lot of discussion on an issue before it is heard. Due to lobbying on an issue ... minds are probably made up 90% of the time before they hear the arguments presented anyhow ... at any hearing ... but on issues

that are not big issues like that, very often a legislator votes exclusively on what he gets at the hearing.

I least like the opposite of what I like best! When I get stymied or legislation is for the wrong reasons, for personal reasons because this legislator is a friend of that lobbyist or even for political reasons . . . that's the kind of game it is . . . because of campaign contributions or whatever the vote goes a certain way . . . I get very unhappy about that even though I have lived around it for 10 years. I still come back to the office after a hearing very upset. My view of the relationship of a committee consultant is that he ought to be independent of everyone including his boss and that he ought to provide as unbiased and as objective a view as possible of any given piece of legislation. He ought to talk to both proponents and opponents and produce a written analysis . . . a fairly detailed one because it is a valuable resource and the analysis should explain what the bill does, what its effect would be, summarize the arguments for it and ones against it . . . where a legislator could ask questions at the hearings of the proponents and opponents of a bill. I think to do that a staffer has to be independent.

My chairman exercises very little supervision . . . . What actually happens is that I am the one who is in day to day contact with the agencies. Often, when they want to talk to him and he is available, they talk to me . . . and very often they will say we want to know if he will do this and they want to know if he will approve of that . . . and I will go to him and find out and come back . . . when he initiates the contact, it is usually a case of my going to him and saying there's this problem and I want to do this and he says "yes" and I do it. You can't say he isn't exercising supervision. It is more of a matter of who initiates the thing. I never do anything in his name without clearing it with him except those things that I have done so often I know he will OK them.

### *General Impressions of Staff Advantages*

Fifty-seven percent of all staff and 77 percent of all legislators believed senior committee staff to be of considerable advantage to the legislative chairman.

### *Examples of Staff Advantages*

The advantages are that they provide us with information we wouldn't otherwise get. We'd be dependent upon the Administration which could lead us in the direction it wanted us to go in the way they provided us information . . . [the same would be the case for 3rd House people: lobbyists]. The greatest single advantage of legislative staff is that

it has freed the legislature of State A from the domination of the Administration and the 3rd House in terms of information.

All of the information we used to receive was in the form of an argument for a bill or against it . . . that's all we got . . . . Nowadays, we get information that can be produced in an objective fashion and presented to us in an objective fashion. The disadvantages are that staff can become so much better informed than the [legislative] membership that they can dominate the decisions and, perhaps, it is a disadvantage in having someone who is not an elected official influencing such decisions. (Legislature A senate legislative leader, paraphrased)

. . . I mean [staff] provide continuity throughout the year of being there . . . following developments . . . understanding what's going on at the local level, in the federal government . . . understanding the ramifications of the legislation and the structure of the problems — all of these are impossible for a legislator or legislature without staff. Particularly, if the legislature is meeting only half a year and when the legislator is involved in an enormous number of constituent problems, personal appearances, speeches, day-to-day voting and hearings; I think staff provide backup and depth of understanding. (Legislature A staff, paraphrased)

In spite of the fact that the legislative body changes every 2 years, the STAFF FUNCTION itself is a continuity function. The staff that doesn't educate its members to what went on in the past . . . is doing less than its proper job . . . it should provide that kind of thing. And, as you go along things become institutionalized which were somewhat experimental to begin with and information flow is one of the things that can become institutionalized. Once you get the other branches of government to start detailing information and sending it under routine basis, members of the legislature become familiar with it . . . get used to it and start using it. You know, that's part of the whole function. That's my main function . . . to make sure that we institutionalize the information flow . . . management information; as well as to provide them with alternatives as to what presently is going on. (Legislature B staff, paraphrased)

### *Dependency on Staff-generated Information as Compared to Other Sources*

Since this study was not a behavioral assessment of exactly how and under what actual circumstances legislators make use of staff-generated technical information and ideas, there are many loose ends to the empirical and theoretical implications of this study's results. Legislators may, for example, not be very demanding as to the nature

of their staff activities in the realm of research, since, in fact, they really don't plan to pay much attention to the fruits of staff research endeavors. Staff, in their judgment, may, that is, be mere "window dressing."

The study did indicate that, other than their own staff, legislators seemed to rely on a sundry of information resources such as other legislative staff, agency administrators, and lobbyists — so said the staff. Legislators, in responding to a similar question, said they listened to other legislators. Particularly was this so in Control State C where they listened mostly to fellow legislators, lobbyists, constituents and agency administrators.

### *Examples of the Limited Use of Staff and Preference for Other Kinds of Resources*

Most [legislators] who I have met have a key friend on whom they bounce off an awful lot of things . . . this key friend, who is a man for all seasons in their opinion — he is neither a legislator, nor a lobbyist — somebody he knew when, somebody he trusts by his basic attitudes. I haven't met a man yet who doesn't have some guy he calls and, on a variety of subjects . . . some of these legislators have two or three sounding boards who represent various disciplines or expertise . . . but I've never met a member who didn't have some guy who he could call and ask, "What do you think about this" and the guy would at least give him a common-sense judgment . . . . (Legislature A staff, paraphrased)

Committee staff limited in what it can do: "I think, other than the person they work for . . . the average standing committee staff really has little or no input . . . ." (Legislature A staff, paraphrased)

### *Biographical Information in Summary*

Table 9 describes in percentages the nature of the sample of actual respondents. Of 53 legislators (States A and B) who responded to the survey itself, 45 answered this mailed inventory. While 20 legislators in Control State (C) completed the survey, 15 responded to the biographical and experiential one. Forty-eight (48) staff from States A and B answered the biographical inventory out of 56 who completed the primary telephone survey. The results of this inventory are arrayed in Table 9.

It is difficult to say that the legislators in States A, B, and C are typical of those who hold chairmanships in other states, nationally. However, the biographical data displayed in Table 9 — States A, B and C — did indicate that the majority of those sampled were very similar to each other in their legislative experience — which was extensive. They typically held more than one chairmanship in more than 40 percent of the cases (States A and B) and more than 33 percent of the cases in Control State C. They had, in over 50 percent of the total, prior experience in the community,

Table 9

**LEGISLATIVE BIOGRAPHICAL AND EXPERIENTIAL INFORMATION**  
**— A COMPARISON OF THE THREE LEGISLATURES —**

	<u>Percentage of Those Who Responded</u>		
	<u>Legislators</u>		Staff
	A and B	Control	
<b>Legislative Term Served (Total)</b>			
0 - 2	4%	0%	
2 - 4	36	20	
4 and over	60	80	
<b>Terms in Upper Chamber (4 yr/Term)</b>			
0 - 2	14%	0%	
2 - 4	68	29	
4 and over	18	71	
<b>Terms in Lower Chamber (2 yr/Term)</b>			
Less than 2	9%	21%	
2 - 4	30	42	
4 and over	61	37	
<b>Chairmanships</b>			
1	38%	60%	
2	40	33	
3	11	7	
4	9	0	
5	2	0	
<b>Years as Chairman</b>			
Less than 2 years	9%	13%	
Less than 4 years	35	27	
Less than 6 years	28	13	
More than 6 years	28	47	
<b>Education</b>			
High School	13%	47%	3%
Bachelors degree	16	33	40
Masters degree	51	7	33
Ph.D.	20	13	21
<b>Occupation</b>			
Agriculture	7%	56%	3%
Prof. Tech. Kindred	84	22	83
Sales	9	0	0
Other	0	22	14
<b>Supervised Staff</b>			
Yes	55%	80%	
No	45	20	
<b>Community Service</b>			
Yes	60%	53%	39%
No	40	47	61

supervised staff in their occupations, and so forth. States A and B were alike, but did, however, differ in terms of occupation and academically from Control State C. They had gone further academically in the former two states and tended toward professional and kindred occupations as compared to agriculture and ranching in the latter case of Control State C chairmen.

There is no suggestion intended or prognosticated that the tendency to want to have or actually to have committee staff bear any relationship to the academic or educational makeup of the legislative chairman in each instance. As a matter of fact, very few states, nationally, have, as yet, made serious commitment to such committee staffing support as have the two states studied.

### *Study Results in Summary*

Though the quantitative data was limited, particularly in the frequencies per cell in the chi-square matrices, the following modifications of the hypotheses are suggested as applicable to the information generation relationship. The chi-square results discussed in the technical report (see Spiesman, 1975) indicate that much agreement does exist concerning the mutual perception by both parties of the dyad regarding the staff information generation role. (This takes into consideration the homogeneity of responses demonstrated within and among the classifications of legislature, legislator, and staff — as derived from an assessment of the total, very limited number of significant interactions.) Thus, the equivalent, very congruent perceptions of both legislator and senior staff regarding staff information role responsibilities is accepted conceptually within the limitations previously established in generalizations across legislatures. (The basic limitation in generalizing these results is that there are very few legislatures, nationally, which exhibit the comprehensive and sophisticated committee staffing structures and procedures which are typical to the states studied.)

Exhibit 4 exemplifies the final modifications suggested by the survey data to the study's conceptual propositions. Bias may, of course, have occurred due to the limited nature of the data collected. This study, as most of its kind, can only be considered heuristic regarding its limited generalizability. In other words, its results and their implications for the literature on organizational decision-making may be limited. More empirical studies will be required to further expand on the nature of the seeming impact of informal organizational structure on the vertical information flow pattern in policymaking units — a result which has emanated from this study's data.

The study tentatively supports certain facets of classical organizational theory pertaining to information transmission between superiors and subordinates: the formal vs. informal authority systems both evidence a general, gross effect on vertical information flow.

### *Theoretical Implications of the Study*

This study is also an attempt to compare two classical, conceptual systems as to their ability to describe what hinders or facilitates information flow in an organization.

## EXHIBIT 4

### FINAL MODIFICATIONS OF ORGANIZATIONAL INFORMATION CONCEPTS SUGGESTED BY EMPIRICAL DATA

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The informal organizational subsystem will dominate the formal one in organizations specifically disposed to the concentration of technical information resources in organizational subunits (e.g., "committees") whereby such "expertise" is functionally dominated by singularly influential policymakers.

In such circumstances, the informal organizational subsystem will make possible vertical communication, that is, information flow, in spite of what appears to be formally-imposed status barriers to such flow. The policymaker (legislative chairman)-staff (senior committee staff) interaction will be characterized as follows:

- A. 1. Dyadic interaction will be characterized as unrestrictedly multidirectional from superior (legislator) to subordinate (staff) and vice versa in a consultative vs. coercive or instructional fashion.
  2. Both the superior and subordinate positions may initiate and "direct" (in the sense of determining the nature of the substance and course of the interaction) nearly randomly over any constant period of time the interaction which occurs. (The interaction can be characterized as reciprocally contingent in the sense that one or the other member of the dyad will randomly and often equally provide the initiative for the interaction.)
  3. The "rules" of interaction will appear to be unstructured and of a nondirective or "informally-assumed" nature.
  4. The majority of "internal" activities between the policymaker and staff in private and "behind closed doors" will be "fluid" and not necessarily well differentiated; thus, both members may interchange role behaviors, which may be overlapping.
  5. In the majority of "external" activities, which are public in nature, the role responsibilities will appear noninterchangeable and well-defined — the policymaker appearing dominant and the staff subordinate.
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**EXHIBIT 4 – continued**

- B. 1. Information flow will not appear to be dominated by staff behavior which appears to be compliant with instructions from the superior, i.e., the policymaker.**
- 2. Staff will appear to be free to mold and “comply with” legislator technical information requests. These requests will be based equally upon staff-determined criteria of substance relevance and format of presentation, as well as upon legislator criteria.**
- 3. Information transfer will occur in an environment which could be characterized as “informal,” whereby it is not solely task oriented, devoid of socio-emotional behavior by both members of the dyad, and so forth.**
- 4. Information flow will also be characterized as “informal” and unstructured in the sense that its transfer between the members of the dyad actually occurs out of as well as within the formal decision-making (e.g., the committee) environment; and in the sense that the transfer may be equally as often verbal as well as in written form.**

Specifically, it concerns how the organization handles technical information and its flow between superior and subordinate. The two theoretical approaches are Weber (1946, 1947) and Barnard (1938). The focus is upon their ability to adequately describe the impact of authority on the particular kinds of communications processes (i.e., information transmission) necessary to maintain the managerial subsystem and the organization itself. This is in terms of affording the organization practical policy options, capable of implementation. This was likewise defined in terms of the interaction of the "managerial" and "adaptive" subsystems.

One theory, Weber's, emphasizes that organizational authority is monocratic, hierarchical and formal in nature. The other theory, Barnard's, embodies both informal and formal organizational structures and processes and describes communications as "authoritative" in nature. Neither adequately responds in any detail to an organization in which executive "managers" must make the kinds of policy decisions which are necessary to keep the organization running smoothly to maintain, sustain, and expedite its integrity and growth. Nor does either one comprehensively conjecture how the organization can accomplish these ends in terms of the technical support managers must have, in the sense of the technical information necessary, to make such supposedly rational policy decisions.

As Hopkins (1964:167), in comparing Weber and Barnard, stated: "... Objective authority is only maintained if the positions or leaders continue to be adequately informed ... ." He indicated that both theorists focused on the "command-obedience" sequences, regarding the dispersion of authority organizationally. But, as in the instance of other contemporary theorists, insufficient conceptual means are afforded to indicate how authority can be both disruptive as well as supportive of the "adaptive subsystem." It is this latter subsystem which is responsible for generating appropriate kinds of information vertically and upchannel to the managers, so they might accomplish their policymaking tasks effectively.

In other words, this study, theoretically, sought to define the nature of the vertical information flow characteristic of the communications relationship between the executive managerial subsystem and the adaptive subsystem. Empirically, the managerial subsystem was represented by the state legislative committee chairman; while the adaptive subsystem was symbolized by the senior legislative committee staff director. This study attempted to assess the nature of this dyadic relationship. Did it encourage or discourage the upward, vertical flow of technical information which seemed necessary for the managerial subsystem to operate effectively in making rational decisions?

The study results were inconclusive regarding whether and how information transmitted upchannel by legislative committee staff was effectively utilized and how this occurred procedurally, if at all. Rather, the empirical data elicited from this very unique organizational setting, the state legislature, qualifiedly pointed to the importance of the "informal" as compared to the "formal" organizational subsystem in determining the characteristics of the information exchange relationship and the

organizational environment in which it occurs. The parameters of this relationship were defined. But the relative importance of the information dispersed "upwards" by legislative staff as compared to other resource persons was not conclusively determined.

Theoretically, it is quite apparent from these empirical results that the classical theories of management require some modification regarding information transmission. Particularly is this so in regard to the fundamental emphasis of the classicists on control, chain of command, hierarchy, and the consequent downward, compliant-oriented flow of orders and authority characteristic of their conceptualizations.

As a matter of empirical fact, it is apparent, as other studies have also indicated, that "trust" between legislators and research staff and the nature of the staff providing "expertise" to the legislative policymaking process, at least, are two very fundamental variables. These are worthy of further investigation. They seem to be very determinative as to whether information will be permitted and encouraged by the "managers" to flow upchannel. But, these factors and their interaction are not yet indicative of whether or not the technical information so transmitted will prove ultimately used or useful to the "executive manager."

Further, the survey results seem to suggest that senior legislative committee research staff, at least, are expected to function autonomously as "professionals." Their means and approach to data gathering and formatting information for their chairmen is generally left up to them. They are "autonomous" in this regard. This autonomy is part and parcel of their image of "expertise." They are, however in fact, simultaneously constrained in terms of the kinds of behavior they are "permitted" to exhibit, other than in the strictly defined data gathering area. In their behavior "in behalf" of the legislator, there exist inhibitions initiated by the legislator to control other facets of total staff behavior.

As a matter of fact, staff are rarely contractual employees. So, their immediate employer, the legislative chairman, has immense and obviously well perceived powers of acceptance and rejection of staff behavior. (One house of one legislature studied proved an exception in that the legislative leadership often interposes themselves to protect their professional staff.) Legislator behavioral preferences often become well defined, though implicit as to their impact upon and expected reaction by staff. Control is, thus, implicit as well.

On the other hand, legislative committee staff, in the sense William James (1890) described the "material self," seem an "identity" extension of the committee chairmen and their perception of self.

T. H. Marshall (1965, p. 162) also said that:

. . . between professional and client there is a relationship of trust, and between buyer and seller there is not . . . [That] . . . professional service is not standardized. It is unique and personal . . . [That] . . . the professional man is distinguished by the further fact that he does not give only his skill. He gives himself . . . .

Blau and Scott (1962), as previously discussed, emphasized, as did Etzioni (1964, 1969), that professionals often have built in a common set of "professional" values which govern their behavior. In the legislative relationship studied, the subordinate's behavior might be more understandable if viewed in the sense that professional staff are autonomous in their activities as would be other "professionals." Their "client" or "colleague" would be the legislative chairman. He "trusts" in their expertise and, thus, affords them the freedom and means to accomplish their tasks mostly as they "see fit."

However, it has been the observation of this researcher that, at least in legislative organizations, if the staff or subordinate member of the dyad fails to produce appropriate or valid information, and this proves embarrassing to the legislator, all trust is immediately lost. Freedom and autonomy, consequently, last for the staff only as long as the staff prove to be an effective "extension" of the legislator. This is so in the sense of the staff expediently, creatively, and satisfactorily assisting the legislator in meeting his objectives in the legislative process. When such performance ceases, the staff's position can very suddenly become jeopardized and even nullified.

In summary, the maintenance of the flow of valid, technical information between staff and managers, at least at the executive decision-making levels of an organization, appears to be explainable in terms of the interaction of a number of variables, not least among which are: "trust," "expertise," "personality," "mutual identification" and "autonomy." Authority, as persistently translated by the classical organizational theorists into modes of subordinate "compliance" or "obedience," alone, does not satisfactorily explain why technical information moves smoothly upward, "vertically" from subordinate to superior in an organization. Nor does authority independently explain under what circumstances the managerial and adaptive subsystems interact cooperatively to meet organizational objectives.

This study simply underscores the need to further examine contemporary organizational thinking pertaining to the implications of the generation and interpretation of technical information at policymaking levels to the organizational process. As with most studies, the results are severely limited in their generalizability by the mere situational limitations of their design. Yet, in this instance, the results do relate to current trends in research findings in organizational sociology. And, of course, all the results must, as usual, be replicated in many similar and dissimilar organizational settings. This must occur before their meaning can be legitimately "locked into cement" for future generations of social scientists and policymakers to admire and utilize.

## CHAPTER IV

### Legislative Research Staffing Model

#### A Comparison of the Legislative Research Model Derived from the Three-State Comparative Legislative Standing Committee Survey with that of the HRSS Demonstration

##### *Overview*

HRSS selectively carried out very similar legislative functions as described as typical to legislative science and professional staff in the three other states compared in the previous chapter. HRSS functions seemed to be quite similar to those of a typical legislative standing committee; however, HRSS efforts were directed more broadly at the committee membership, the leadership and individual legislators. Fundamentally, HRSS worked through the influence of the chairman of the Health and Welfare Committee in the House of Representatives (who was the project's primary monitor) and worked with people who associated with him at an equal level; for example, other committee chairmen in both Houses. HRSS also carried projects for the President of the Senate and Speaker of the House of Representatives and their immediate staff, as well as for certain chairmen of Select Committees, such as the Select Committee on Health Services' reorganization, the Select Committee on Title XIX (Medicaid), and the Select Committee on the Reorganization of the Department of Mental Retardation.

HRSS predominantly carried out assignments on request; though, in some instances, they generated their own assignments. (See chapter VI for an overview of the actual two-year workload of the Human Resources Services Staffing demonstration: HRSS.)

The following discussion will highlight the nature of the HRSS demonstration in comparison with the functions of a typical Standing Committee staff as identified in the Three-State Legislative Survey.

##### *Human Resources' Services Staffing Expertise*

The survey indicated that most Standing Committees require "generalists", that is, individuals who are able to master a subject matter area well enough to know to whom, for example, they can turn for resource information among the state agencies, the public at large and other interest groups. This unofficial, informal requirement is based on the fact that most Standing Committees handle a wide variety of information; very few of them seem to focus on as narrow an area as would require a specialist.

It appears very difficult for legislatures to maintain the kinds of incentives that would encourage such specialists as doctors of medicine, psychologists and trained and experienced environmentalists to work in the state legislative process. Few legislatures maintain the types of personnel systems which guarantee tenure to staff so they would stay on for continuity's sake with the Standing Committee irrespective of leadership and chairmanship changes. Staff longevity may in a few, select states be from four to sixteen years, but employment is on a year-to-year basis. If a new committee chairman comes into the process, he has a fair amount of freedom to pick and choose the staff he desires to serve him; however, the Rules Committee or the Speaker or the President pro tem may influence his decision for the sake of system stability. In the highly sophisticated states staffing-wise, though few in number, there is major emphasis from the leadership to retain semiprofessional staff generalists at the Standing Committee level and to avoid patronage where possible.

Another factor emanating from the survey regards the lack of a formal definition by a legislature as to the kinds of expertise required for senior committee staff. Senior staff must have a basic understanding of research techniques and how to apply them by developing effective working relationships with outside information resources. But, in the human resources' area, there are special requirements which were found to be applicable to the Arizona HRSS demonstration and also seemed equally important to the three states interviewed.

The human resources' area, of course, includes health, vocational rehabilitation, welfare, manpower (or employment services), vocational education, special education and so forth. These areas in state government are very much affected by congressional legislation and federal rules and regulations. Thus, to work in these areas at the Standing Committee level, one must have the capability of establishing for information purposes, at least, contact with federal agencies, the state operating agencies, the constituent groups, governor's staff and often professional, national organizations. These kinds of working relationships are not necessarily required of other kinds of Standing Committees, but this, of course, depends upon the subject matter within the realm of these particular committees.

In addition, Human Resources' staffers must have a certain degree of expertise in how to assess agency programs. They must possess knowledge of the program, historically, and have sufficient sophistication in evaluative techniques to render appropriate oversight functions for their Standing Committee. It also seems evident that many staff in the human resource types of committees have had some personal experience with executive administrative agencies prior to their involvement with the state legislature.

The survey suggested that the legislatures interviewed spent considerably less time than the HRSS demonstration staff in developing federal and congressional contacts. Due to the particularly unique focus on reorganization in the Arizona Legislature at the time of the HRSS demonstration, it was essential for HRS Staff to

develop such working relationships with their federal counterparts. These federal agencies would often review the potential effects of HRS Staff efforts and suggest options for reorganization of state programs. They were necessary to indicate whether these programs would be in compliance with federal law and regulations. They were particularly useful in suggesting comparative experiences in other states and how they applied to the Arizona requirements for services' management and program development.

Work with federal agencies requires a certain expertise all of its own and is an art form rather than a science. In order to obtain the information necessary for the legislature, admittedly required playing one federal level off against the other in order to assess the accuracy of their data. That is, often HRS Staff would have to work with various levels in the federal government, within the region, for example, at the regional director's level and with his programmatic agency, like the Social & Rehabilitation Service, and simultaneously, with the central office. For example, HRSS established initial contact between the Federal Regional Council and the Arizona legislative leadership. Special channels of communication were, thus developed for a particular purpose: reorganization. But, HRSS had to generate information from their federal counterparts on a timely basis in general to meet legislative decisional needs.

HRS Staff also worked simultaneously with the congressional delegation from Arizona and other congressmen to effect certain changes in federal legislation relevant to problems in Arizona, such as the Medicaid issue and its impact on the Arizona Indian population. The two senior HRS Staff had prior experience with the federal establishment. One of the staff had served as an intern with a U.S. Senator in Washington, D.C. The other staff member worked in a grantsmanship framework with a number of federal agencies to obtain program funding for a state university. Thus, these two staff had a working knowledge of what it requires to effect technical assistance from federal resources.

As described, very few legislative Standing Committees, of those interviewed, developed as much interest in federal resources as was demonstrated by HRSS. In this sense, a number of senior staff and committee chairmen correctly suggested that it would be impossible to compete with the executive branch of state government in this kind of task. Generally speaking, it was considered the responsibility of the governor's staff to effect these working relationships and the position of "federal-state coordinator" was utilized for this purpose in many instances. On the other hand, HRS Staff believed that it was essential to develop good working relationships with their federal counterparts, because so many programs in the human resources' area were directly affected by the availability of federal funds and/or the limitations of Congressional laws and federal regulations.

### *HRS Staff Assimilation Into the Legislative Process*

The objective of the typical Standing Committee staff, as evidenced by the results of the survey, was to be assimilated into the committee process. That is, the

staff had to become functionally useful to the chairman of the committee to whom they reported and very often to a number of the total committee membership. They were restricted in their freedom to actively respond to other than committee groups depending on the purview and flexibility of their committee chairman. Within the hearing process in legislatures A & B (See chapter III), for example, they often had a limited role and only on request of a member were permitted to question witnesses. However, they had the responsibility to set up these hearings.

As far as freedom in their working legislation throughout the legislative process, this also depended upon the chairman's attitude toward staff, a chairman's permissiveness and the operating style of the Standing Committee chairman. Sometimes, the chairman would welcome staff ideas regarding their strategies for moving legislation, not only out of the committee, itself, but throughout both Houses of the legislature. But, most committee chairmen believed strongly that the policy end of the legislative process was entirely their own responsibility and did not accept anything but limited staff participation in this role. Others permitted staff to work the media concerning the results of hearings; some required staff to do constituent work which was more typically the responsibility of other kinds of personal administrative assistants. But if the legislator was not available or if the subject matter so dictated, the staff member could respond in areas where he had expertise to extra-legislative sources like constituent and public interest groups. They might also work with professional lobbyists.

In the HRSS demonstration, the focus was more flexible than the role staff played in other typical legislatures. One of the major objectives was to determine where specialized human resource service staff should and could be placed for the most effective input into the policy process. The manner in which the project and its staff were positioned was determined by the President and the Speaker--in fact, two Speakers entered into this process over the two years of the national SRS demonstration. The HRS Staff was divided in various ways between the two Houses of the legislature. Over the two-year period, there were two offices, one in each House. The staff director worked between both Houses for the entire duration of the demonstration. The staff were responsible for specific subject matter areas, projects or legislation and might be assigned simultaneously to a number of legislators in both Houses or as the leadership so dictated. This often occurred through requests generated by legislators which came through the HRS Staff. In the interim periods the Speaker and President determined, by a similar process, the particular objectives and projects staff would pursue.

The demonstration, as indicated, came under the jurisdiction and responsibility of a specific Standing Committee chairman: the chairman of the House Health and Welfare Committee, who also became a vice chairman of Appropriations. This individual had considerable expertise in the legislative process and also understood the jargon of the human resources' area, since he had previously carried assignments in Appropriations for certain similar programs under the rubric of human resources. Too,

he was a practicing, professional pharmacist. In addition, he served on the Federal Advisory Committee pertaining to Medicare and Medicaid (HIBAC) and was active on the national board of a professional pharmaceutical group. Thus, he by no means was a typical legislator, but rather a professional with much esteem from colleagues in both Houses. He grew into a role of almost daily supervision with the HRSS project staff, even in the interim when the Arizona Legislature became part-time in activity. It met full time, meeting approximately five months of every year. The major legislation on which they worked tended, in most cases, to correspond to legislation in which the chairman was personally interested. However, he was determined to be very equitable in how this staff were utilized and encouraged staff involvement with other legislators and, of course, staff were subject to any request from the President of the Senate and Speaker of the House of Representatives . . . who were the formal sponsors of this demonstration. This particular chairman's knowledge of the legislative process and his ability to comprehend the objectives of human resources' legislation and related areas encouraged many more opportunities in which HRS Staff might become involved in the everyday legislative process than would be typical in most legislative settings.

Since the chairman's interests were varied, HRS Staff gained considerable experience under different working conditions in a much more representative type of experience than was initially predicted as being likely. Because of his knowledge of the working procedures and outlook of many of his colleagues on both sides of the aisle and in both Houses, it was possible for HRSS to work more effectively simultaneously with these members on a variety of projects, particularly those concerning the two major reorganizations in which HRSS had impact: the development of the Departments of Economic Security and Health Services.

His value system primarily reflected the point of view of personal experience in the appropriations process, and he was, consequently, very willing to encourage HRS Staff to stress the "oversight" function of legislative action. In other words, he encouraged staff to monitor legislation and appropriations once enacted to determine if possible what impact they had in regard to their individual objectives. He also encouraged the development of liaison relationships with HRSS federal counterparts and welcomed federal input into his decisionmaking.

As a consequence, HRS Staff were able to follow through the results of their basic staff research in reorganization as it evolved from initial legislation in one House through both Houses into conference and into an ultimate legislative product. From the Standing Committee survey point of view this afforded the HRS Staff a rather unique opportunity to determine their potential and actual impact on the legislative process. Most Standing Committee staff could only, so it seems, evaluate their performance in terms of what was described as "proximate" goals, that is, objectives within their immediate reach. If legislation passed successfully through the committee which they personally staffed, they often believed their efforts were successful. In many instances, HRSS project staff, to the contrary, were intermittently involved in the development of supporting information and procedures for a piece of legislation

and would continue their role out of the Human Resources' or Appropriations committees in either house and across both houses towards the ultimate objective of a legislative or appropriations product. In this sense, then, HRSS seemed better able to determine, through the continuity and followup functions staff were permitted to undertake, its impact in the unique processes of substantive legislation and the appropriations' process.

The three legislature Standing Committee empirical survey previously described, consequently, afforded HRSS perspective into other legislatures and how they worked, particularly as one focused on the Standing Committee as a vehicle for legislative research and policymaking. However, as indicated, the major impact of HRSS was in focusing upon the Standing Committee chairman and his particular role within the total legislative process, rather than upon his role in supervising the total legislative program of his particular Standing Committee. This distinction is quite important. As the committee chairman took interest in leadership-sponsored legislation, the staff worked with the committee chairman in this regard, or the committee chairman was given specific assignments that related to leadership priorities in which HRSS could contribute. It was more his role as a legislative leader among other committee chairmen and complementing leadership interests that was most important to HRSS. His committee responsibilities were secondary.

The legislative leadership, particularly the President and Speaker, did not limit the manner in which HRSS would be involved in the broad legislative process as long as it was supervised by a chairman they trusted. This flexible approach afforded the demonstration the opportunity to attempt a variety of research applications within the legislative decisionmaking arena, again not typically possible elsewhere.

There is no question that the positioning of staff within the legislative setting with specialized expertise is a very important variable. There are only certain limited functions which staff, who have a specialized subject matter background, might be able to perform on a speaker or president's staff. Unless the president or speaker is working toward a particular, personalized and specialized program in which these kinds of science and professional staff can contribute, their time would not be well spent in terms of capacity-building. These legislative leaders basically require administrative generalists. In every legislature, there are, of course, Select Committees and Standing Committees which devote much of their time to areas which require sophisticated expertise and the marshaling of information and knowledge of professional, specialized resources. Staff are required to expedite the information-gathering process for the legislators. Legislators must have specialized information in order to make policy as effectively as possible under the normal duress of time limitations and the fact that legislators are usually generalists.

Of the three primary possible positions for the effective placement of staff specialists in the legislative process, that is, (1) as an administrative assistant to an

individual legislator, (2) as staff to Standing Committee chairmen, or (3) as staff to the leadership (the President or the Speaker or the majority leaders) . . . all of these possibilities presented themselves for evaluation in the beginning of the HRSS project. But, as a result of their experience, the Standing Committee situation seemed to be most productive regarding the placement of permanent, specialized staff and the possibility of their contribution to the overall legislative process. It must be cautioned that the human resources' area has unique characteristics all of its own. Very often, the passage of legislation in this area required for success the combined policymaking expertise and influence of a team of Standing Committee chairmen, legislative leadership at several levels and outside federal and state influentials. In this sense, then, specialized staff should be positioned in the legislative structure in such a way that they can be rapidly and flexibly moved and as the situation warrants from one decisional focal point to another.

There is, as a consequence of HRSS findings and a comparison with the survey results, no firm rule for the positioning of highly specialized staff other than that they can be useful in many ways. This requires that a variety of reinforcements be available to attract them to the typical legislature for a sufficient length of time so they can become climatized to the procedures involved and become useful and utilized effectively under the typical duress involved. These inducements would include, of course, high levels of salary, guaranteed longevity of commitment and so forth. Otherwise, survey results indicated that staff who serve in certain legislatures for a period of three-plus years generally become very sensitive to their status and seem to lose interest in the "romance" which brought them to this process in the first place.

### *The Status-Quo of Policymaking Information*

In further comparing the HRSS experience with the results of the legislative survey evidence is supported that a number of the Standing Committees in other states tend to generate the majority of information used for decisionmaking (often inspired from outside) from within the legislative process. In other words, they do not necessarily require information from outside sources like the federal government, state agencies, constituents, public interest groups and lobbyists. This is so particularly if staff are available.

But, regarding human resources, though, the majority of the information does as in HRSS's experience tend to be derived from outside the legislature. One cannot study statutes to determine the impact or needs of such human services legislation alone; one has to look outside the committee for basic working data and then present this data to the legislator in such a way that he understands and can easily convert it into understandable legislative options.

Quite rapidly, the HRSS demonstration ran into the classical problem of invalid, inaccurate, incomplete and inappropriate policy relevant "raw data" from state and federal agencies. In other words, the basis, in fact, for policymaking in human

resources was not readily available in documentation for policy guidance and direction. Such data in the agencies was often found to be inconsistent, invalid and, generally-speaking, inapplicable for legislative purposes. Legislative decisionmakers simply did not trust agency-derived information.

Of course, the research objectives of the legislature vary as one focuses on the substantive legislative process as compared to the appropriations' process. In either case, empirical information for policymaking based upon agency performance and client impact of agency operated programs is usually unavailable or poorly formulated or just invalid. When a legislature establishes a program or reorganizes state functions and structures or appropriates money for a program, determining the effectiveness of these kinds of legislative-initiated products requires baseline data and then continuous monitoring to determine whether actual client impact has been achieved. In other words, is there any change in the client's status through a state agency's efforts, whether, for example, he is a welfare recipient, unemployed and/or handicapped or someone with a health problem? This kind of information is difficult to come by on a routine basis, for agency accountability is next to impossible to achieve. Valid legislative information for national comparisons is also unsuitable for the state legislator regarding policy assessment from his perspective. What information exists might better be described as administrative agency planning information. This is useful to a state operating agency only in determining to some degree where the agency stands comparatively in its own program development and implementation. It is usually much too technical and complicated to be of interest to the typical legislator in appropriations or elsewhere.

Few legislative Standing Committees nationally have seemingly attempted to generate their own data base information. Basically, their attitude is that if the information is not readily available, they will have to make the best presumptions possible they can. They don't believe under the press of time in the regular legislative session in a "part-time" legislature that they can get into such truly creative research efforts initiated through their own means. To generate information, staff and legislators both have developed a network of informants in the operating agencies and they go to them for rapid turnaround for that information which is readily available in very restrictive, narrow subject matter areas. Only during interim periods do staff, when available, attempt any indepth research. This is generally a very limited endeavor. Most agency-produced information has been reworked many times, is out-of-date and so forth.

In Arizona, HRS Staff experienced similar limitations to the quality and quantity of information they could generate or discover through their agency contacts. Once the first major reorganization was completed in the creation of the Arizona Department of Economic Security, HRS Staff encouraged a meeting with the agency director of this super-agency, second in size in total federal and state monies in Arizona, with seven basic programs (including vocational rehabilitation, welfare, employment services, unemployment compensation, veterans' services, the Office of

Economic Opportunity, the Apprenticeship Council and so forth). At the top management level, HRS Staff initiated with the consent and support of this director, a formal kind of liaison which would attempt, as its agreed-upon objective, the development of so-called "policy-relevant" information as contrasted to agency-oriented "management-relevant" information. This objective was implemented cooperatively for over a year after the initial reorganization of this new agency.

A number of tasks, which are described in chapter VI of this report, were jointly attempted by staff of the operating agency working in conjunction with HRS Staff. For example, there was a joint attempt made to make available to the legislature a concise description of the agency's programs, funding sources and client processing procedures. This would be in a format and language understandable to and aimed at those responsible for appropriations in the legislative process. This became a major undertaking of the HRS Staff, working in concert with several members of the super-agency and one representative of the Governor's Department of Finance. The kind of format attempted is exemplified in the appendices for the Vocational Rehabilitation program. This program-oriented material was dispersed to all legislators in both Houses as an experiment; however, few followed through in utilizing this information to the knowledge of HRS Staff. Some, in the appropriations' process at least, attempted to use this information and a year following its release, the Governor's Department of Finance came out with a surprisingly similar but much simpler summary of all agency programs. This was intended as but a first step to clarify the intent of various programs in human resources which were supported by both federal and state appropriations. This cooperative effort was not deemed a success. Continuous orientation as to the implications of this data should have been focused particularly on the appropriations' committees and "inservice training" with interested legislators should have become a formalized procedure; at least such a service should have been afforded to the appropriations committees.

A number of other research projects occurred including the evaluation of day care needs throughout the State of Arizona, the definition of those with communications' disorders (i.e., the hearing-impaired and the deaf), the description of the needs of the senior citizens statewide . . . all were carried out in joint teamwork with the super-agency, but predominantly by HRS Staff. To a limited degree HRS Staff also worked with legislators to interpret the results of these inquiries. Reports were developed in such a format as to concisely establish the nature of the problem under consideration. But, generally, they tended to be much too long or complicated for the typical legislator to study and contemplate in his own manner. To a certain degree those legislators working closely with the project would be briefed in writing, when time permitted, but stress was placed on verbal interchange of ideas. In this way, staff developed the opportunities to single out the implications of their research regarding agency and programmatic performance and costs, and to suggest what

implications this information had for legislative options and actions in these specialized areas. This was a finding supported by the legislative survey.

Information generation, retrieval, evaluation and interpretation are all fairly complex processes, particularly when a translation procedure is required for data transmission between such different organizations as a state legislature and a state agency. During the HRSS experience, much time and effort were spent attempting to work out the means to effectively assist the legislator in selecting out information which might be useful to him. The most useful conceptual distinctions HRSS found necessary in this translation and filtering process were those created between "policy-" and "management-" oriented information needs. Somehow, human services programmatic information had to be simplified and aimed towards specific, measurable objectives which could be conveyed easily to the legislative policymaker. HRSS established without a doubt that most legislators are not the most comprehensive readers and a written report has half as much value as eye-to-eye contact and verbal communications by inhouse staff who have prepared a rational documentation of a particular problem.

HRSS, as indicated, attempted to experiment in the interpretation of its findings to the legislature in a variety of different ways. This included bringing in new kinds of outsiders into the legislative sphere of interest to interpret the various options HRSS believed appropriate, that is within the legislator's purview. On the average, a legislator who worked closely with HRSS on major policy problems would have available from three to five different kinds of resources and perspectives from which to consider an appropriate course of action. These might include, in summary, those representatives who implemented a program in the state executive agency, those responsible for the federal grant-in-aid programs and constituent and special interest groups as well.

Though limited by the parameters of the legislative process which have been mentioned, HRSS stressed making available sufficient perspectives and options to afford the legislator the feeling of "choice" in the decisionmaking process. Staff were not destined to "make policy". They were available to contribute to the rationalization of the legislators policy options. These findings and the others mentioned compared favorably with those of the three state legislative survey described in chapter III. So did the kinds of functions expected of professional legislative technical research staff.

## CHAPTER V

### The Training of Policy Science Legislative Staff

Other than the public-at-large and special interest groups, those who can most influence policy include: politicians, civil servants and "experts" (Dror, 1968). The emphasis of this final report is the state legislature and the program and organizational experts available to it who can assist in rationalizing policymaking. In this fashion the question of improving legislative decision-making through capacity-building will be addressed.

It is one matter to make pertinent information accessible to the legislative process; it is yet another to guarantee such information will actually achieve impact on this process, i.e., be utilized. It is the contention of this discussion that potential legislative staff can be recruited who have the knack to accomplish these kinds of goals and that there is such a cumulative body of knowledge, referred to as the policy sciences, which can be transmitted to these policymaking staff technicians through training and through their applications to the "policymakers." In other words the rationalization of policymaking requires thinking of it as not just an art, but a point of view which can be learned and passed on to others through academic training and experience.

#### *Barriers to the Use of Specialists by a Legislature*

Dror (1968), Merton (1957) and others have described a number of traditional biases which make the legislature often impervious to an outside consultant or a legislative staff member's advice. Legislators are usually in favor of "common sense" solutions . . . preferring to use their own experiences and advice as contrasted to that of "experts." Often, of course, the legislator has had many years of experience in the practical application of his own legislative areas of interest. This makes it difficult for him to readily accept the ideas of others, who seem to base their knowledge on theory and "ivory tower" thinking.

It takes considerable time and effort for an inhouse legislative consultant or staffer to become trusted and accepted by a legislator and, in particular, respected for his expertise. Consequently, becoming useful depends on one's ability to master the social relationships of the legislative process. The staffer, to be effective, must learn to take a secondary role of prominence to the legislator. The legislator is the visible decision-maker. The research staff person or "expert" learns to support him "invisibly" so that the legislator may make the best decisions which facts and political realities warrant.

Frustrations likely to befall a legislative research staff person or an outside consultant are exemplified by the following:

“These frustrations can be classified into two main groups: (1) those deriving from conflict of values between the intellectual and the policy-maker, and (2) from the bureaucratic type of organization itself.

1. Conflicts of values between intellectual and policy-makers:

a. Occasionally the bureaucratic intellectual finds himself the target for conflict arising from different universes of discourse of the policy-maker and himself. Research which appears trivial from an immediately practical standpoint may be highly significant for its theoretic implications and may later illumine a series of practical problems. The intellectual is in time compelled to accept new criteria of significance.

b. Research findings may be exploited for purposes which run counter to the values of the intellectual; his recommendations for policy based on the weight of the evidence may be ignored and a counter-policy introduced.

c. The intellectual will often not be willing to commit himself on the basis of what seems to him flimsy evidence, whereas the policy-maker must do so because of the urgency for action.

d. Specialists may experience frustrations from being required to work in fields which are outside their sphere of competence, since policy-makers are at times not clear on significant differences between specialists.

2. Frustrations arising from bureaucratic organization:

a. Since bureaucracies are organized for action, questions are often asked of intellectuals for which they have no immediate answer. Or, this may invite the ‘deadline neurosis’; problems may be raised which it is impossible to solve within the allotted time.

b. Lines of communication between policy-makers and intellectuals may be clogged, leading typically to frustrations.

1) Since policy-makers often do not keep intellectuals informed of impending problems of policy, it is difficult for the latter to determine what are relevant data.

2) Or, there may be the problem of having research findings reach the appropriate policy-maker, who is confronted with a mass of material emanating from different sources.

3) Or, the findings on their way to the policy-maker may be emasculated and distorted by intervening personnel.

4) Or, finally, there is the problem of so formulating the findings that the most significant results will be intelligible to and engage the interest of the policy-maker. The ‘processing of the material’ may require simplification to the point where some of the more complex though significant findings are discarded.

c. Despite all precautions, the intellectual's findings may not be used by those for whom it is intended. This eliminates the very rationale of the intellectual's work and dissipates his interest in his work, leading to the 'boondoggling neurosis.' (Correlatively, even occasional use of research findings, no matter how limited the context in which these have been put to use, serves to reinvigorate the morale of the intellectual.)

1) The policy-maker will at times reject funded research in the social sciences on the assumption that his first-hand experience has given him a more secure understanding of the situation than the intellectual can possibly attain. This is the more likely to occur if the findings suggest changes in familiar routines and practices, since it is seldom that the intellectual can demonstrate the greater effectiveness of proposed as compared with current arrangements. (Merton, 1957, pp. 223-224)"

In spite of the kinds of barriers typical to the introduction of outsiders, i.e., expert consultants or staff, into the legislative decision-making process, such assimilation is both possible and essential to improving the quality of policymaking (Dye, 1971; Rosenthal, 1972, 1973; CSG, 1972; et al). In comparing experiences with other legislatures, it has become apparent to HRS Senior Staff that the development of professional support staff has been helter skelter and opportunistic in nature.

For example, the most professionally-staffed legislatures have only initiated staffing in terms of the availability of manpower from a nearby university, through, e.g., an internship program. Such an internship program, of course, does not force the kind of financial commitment upon the legislature as would the direct recruitment, employment, and orientation of professional, highly skilled legislative staff. Legislators are strangely unwilling to encourage the kinds of capacity-building which will open themselves up for public criticism through expenditures which seem self-indulgent. On the other hand, they are often willing to spend millions of public dollars on appropriations' decisions which cannot be, nor rarely are supported by sufficient factual documentation. This seems due to legislators limited time available or inability and unwillingness to accomplish the necessary research.

It is, generally-speaking, very difficult to initiate such long-range commitment and planning into the legislative process as would be required to professionalize its research capability through the development of professional staff. The HRSS comparative legislative survey, however, did demonstrate that every committee chairman with staff suddenly recognizes that he didn't know how he could have lived without them. Too, staff, initially hired into the legislative process, in the most sophisticated legislatures, often have been of sufficient drive and learning ability to have demonstrated their usefulness very rapidly, particularly under the duress of a session.

### *Policy Training Centers*

The argument which this discussion supports is that it is now most appropriate to actively design a rational course of action for the professionalization of legislative

staff at least for use at the substantive committee level. Decision-making today is too highly technical and too costly, as exemplified by poorly conceived appropriations for continuing and new programming, to do otherwise. This is particularly so in human services areas. The public may well be cheated if present policies continue which suggest that the mere occurrence of annual legislative sessions in part-time legislative states presumes that the scarce tax dollar will be appropriately and well spent. Continuity in decision-making through the availability of a minimum of well trained, properly placed, full-time, year-round staff can improve the likelihood of better, more publicly-accountable legislative decisions.

On the other hand, staff supervision is a major issue. Legislative staff, even in the most selective, highly sophisticated legislative committees as Ways & Means, Finance and Appropriations, can perform no better than the legislative supervision and direction afforded them. The primary finding of the three-state HRSS legislative survey is that daily supervision is all but lacking at the committee level. The most highly proficient staff are accepted as near colleagues who operate quite autonomously vis-a-vis their legislator "peers." This is not to imply that their judgments are impaired through this "colleague-like" relationship. But, it does imply that the appropriateness of staff legislative behavior requires much maturity in judgment and experience on their part.

The senior legislative staff interviewed were a highly skilled and sophisticated technocratic group who were, in fact, apparently making a significant contribution to the policymaking process (i.e., within the boundaries suggested regarding the survey conclusions previously discussed). What is recommended to guarantee the utility and value of staff to the legislative process is that they be recruited and trained, i.e., "prescreened," through the existing or new kinds of policy institutes, such as: The Rand Corporation's inhouse Graduate Institute for Policy Studies; Aaron Wildavsky's University of California (Berkeley) Graduate School of Public Policy and others. These kinds of policymaking research and service institutes might, because of the quality and comprehensiveness of their work, be encouraged to initiate new training programs specifically devoted to legislative policy technician development. Examples of such are: The Brookings Institute (Washington, D.C.), Alan Rosenthal's Eagleton Institute of Politics (Rutgers University), Amitai Etzioni's Center for Policy Research at Columbia University and Pennsylvania State's Center for the Study of Science Policy.

Another possibility is that training programs in those sciences which turn out manpower in health, rehabilitation and social work, and which have been recipients of federal training funds for many years might also be encouraged to develop such similar policy training programs. Their graduates could, simultaneously, gain expertise in both policymaking and specific technical subject matter areas.

Whatever the course of action chosen, re the development of the basic training vehicle, it should be initiated outside the legislature, but followed by intensively supervised internships within this policymaking environment. The legislatures, through their national professional organizations, like the National Conference of State

Legislatures, should work closely with the appropriately designated policy training centers to develop graduate level programs which have explicit meaning for the legislative process. Certainly, the same or similar kinds of training should prove advantageous to other government entities like federal departments, state and municipal governments, Congress, and so forth.

### *Policy Training Center Program Content*

The several policy training institutes, previously mentioned, perceive policymaking in various different ways. Rand seems to look at the kind and quality of the policy product as most significant; while Wildavsky focusses on policy as a process, involving the production of knowledge and its introduction into the on-going legislative process. Wildavsky's Institute at Berkeley (1974), for example, includes the following as courses appropriate to a graduate degree in the policy sciences:

- Public Policy 251 Approaches to Public Policy Design
- Public Policy 252A,B, The Strategic Environment of Policy Analysis
- Public Policy 253A,B, Methods of Policy Evaluation
- Public Policy 254 Organizational Strategies and Public Policy
- Public Policy 255A,B Advanced Quantitative Models in Policy Analysis
- Public Policy 256A,B Advanced Applications of Economic Analysis to  
Public Policy
- Public Policy 257 Implementation and the Policy Process
- Public Policy 258 Introduction to the Theory of Public Choice
- Public Policy 261 Policy in Higher Education
- Public Policy 263A,B,C Seminar in Mass Communication Policy
- Public Policy 264 Issues in Mental Health Policy
- Public Policy 266A,B Seminar in Human Fertility and Public Policy
- Public Policy 271 Law and Policy Analysis
- Public Policy 280A,B,C Strategies for Emerging Public Policies
- Political Science 285A,B,C Budgets as Political Instruments
- Law 237 Education Policy and Law
- Interdepartmental Studies 209 A,B Economics of Decision, Information  
and Organization.

These kinds of courses reflect the need for sophistication in research, methodology, conceptualization of certain specific social science philosophies and procedures for applying this kind of knowledge to the on-going policymaking process. This curriculum, as well as Rand's, is not specifically focused towards the needs of the state legislative process; but, both are still applicable to this target group.

What seems lacking on the part of the several academically instituted programs in the policy sciences is consideration of the nature of barriers and facilitators to the use of information in such an organizational setting as the state legislature. Much of the doctrine, theory and methodology of change typical to the fields of communications, community organization and community development are applicable

to this kind of setting. They should be introduced into such a training program. Change agency requires other forms of expertise just as demanding as the quantitative and qualitative methods of practical research. To apply quality information to the legislative process requires specialized expertise.

Such technical subjects as those of human resources (the health sciences, rehabilitation sciences, social service sciences), which are usually handled through standing committees, require specialized expertise in order to be applied appropriately in the policy arena. For example, in these several, similar areas there exist a dearth of knowledge regarding workload and performance standards which would permit legislators to adequately gauge programmatic change and client impact proportionate to the maximization or decrease of State and Congressional appropriations. Position control in management is relatively new as a science as applied to human resources. Research problems are unique to these areas. One is never certain, for example, due to a lack of effective field research, whether certain physically handicapping disabilities require more or less casework time per client; how much casework time should be spent in direct client contact as compared with writing up client histories and the clerical support efforts required for such an endeavor, and other like activities. The time spent in such activities must be translated into costs (\$'s) per unit of effort. These kinds of indicators, when and if available, could establish whether agencies are "getting the most for the tax dollar" and making actual impact in assisting the disabled obtain employment, and so forth.

Before policy science technicians can prove effective in the legislative process in the human resources' disciplines, they must become knowledgeable in the methodology of program oversight activities so that they can respond to the kinds of questions suggested in the above discussion. They, in general, must understand how human services agencies function; how federal law is translated into federal regulations and transmitted down channel to state agencies; and, as a result, translated into statewide client services. They must, as a consequence, understand bureaucratic behavior and how to cope with its inherent inertia and turf problems. More importantly, they must have some knack which sensitizes them to the realization of how to move about in an agency environment; how to tease out policy relevant information; how to apply this information to the legislative process and how to document the need for legislative change when appropriate.

The tools typical to policy implementation are presently in a pioneering state of development. They are referred to as legislative "oversight" and require, as mentioned, skills in monitoring agency programs and services' evaluation. They require the finesse to effectively transmit legislative policy products into measurable actions or social service indicators of performance at the state and local levels.

The following summary, Table 10, depicts a variety of areas of expertise HRS Staff believe, as a result of their experience, are pertinent to human resources' policymaking. (This is only a variation on the theme of functions pertinent to the training of policymaking support staff suggested by Dror):

**TABLE 10**

**STAFF EXPERTISE REQUIRED FOR LEGISLATIVE  
CAPACITY - BUILDING IN HUMAN RESOURCES**

Areas of Expertise

1. Access\* to federal resources (DOL, DHEW & DHUD) at regional and central offices.
2. Access\* to national resources (professional organizations, standard-setting organizations)
3. Access\* to state and local resources  
Including:
  - Governor's Office
  - Administrative agencies
  - Mayor's offices
  - County Commissioners' offices
4. Access\* to constituents and constituent-based groups
5. Access\* to Congress
6. Access\* to inhouse legislative resources (ability to work with leadership, committee chairmen and individual legislators)
7. Availability of agency program experience, i.e., expertise (understanding how agencies function and whom to contact for information and action; understanding how to evaluate programmatic performance or output and client impact)
8. Availability of generic program expertise, e.g., basic academic understanding of health, rehabilitation, social work and other related areas.
9. Availability of qualitative and quantitative program and management assessment expertise (capability for program monitoring, evaluation and assessment)
10. Possession of policy process expertise: capability to translate program and other kinds of information into language meaningful to legislators for policymaking.

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\*"access" implies comprehension of resources' value to state for program development and ability to assist legislative branch in exploiting resources for meeting the needs of its citizenry.

Policymaking knowledge is one step further removed from discrete policy issues. It deals with the policymaking system, with how it operates and how it can be improved. Available policymaking knowledge deals, for instance, with: how organizational structures operate (*organization theory*); ways to improve the quality of the people engaged in policymaking (*personnel development*); collecting and using information (*intelligence studies and information theory*); coordinating and integrating different policymaking units (*political science*); designing better decisions (*operations research and decision sciences*); analyzing, improving, and managing complex systems (*systems' theory*) . . . (Dror, 1968, p. 8).

The areas of learning described do not adequately reflect the many facets of policymaking staff must master for success in the legislative process. These include, in addition to those described, intangibles as: personality characteristics (*integrity*), capacity for loyalty to one's employer, objectivity (the ability to separate the generation and presentation of pertinent factual information from the interpretation of its meaning) and so forth. All of these kinds of expertise should be translated into a systematic recruitment and training format. Only by these means will a state legislature be able to institutionalize capacity-building through improving its data base for decision-making.

## CHAPTER VI

### HRSS Legislative Activities: An Overview

To adequately report the activities of the two year Human Resources Services Staffing (HRSS) demonstration, the HRS Staff identified three basic functions of legislative staff. These have been elaborated upon and broken down into subfunctions in Chapter III of the monograph. These were empirically-derived. A second descriptive note in the organization of these activities was in terms of the objectives the project was trying to achieve. (See list below.) Each kind of categorization of activities was designed to illustrate the varied involvement of professional research and information staff in the legislative process.

#### *Basic Roles of Professional Legislative Staff Who Act As Information Specialists*

Three basic roles of specialized staff were identified re HRSS objectives. These roles\* are:

1. "Housekeeping" chores\*\*. Supplying the ongoing information requested by legislative committees and designed to provide background data for legislation coming before these committees.
2. The innovative role. The innovative role arose out of the interest of legislators to provide new programs designed to solve statewide problems through the appropriate use of specialized staff. These were staff who can afford them the kinds of technical information necessary to support such legislative change.
3. Evaluation of agency programs (oversight). The legislature utilizes staff to analyze the effectiveness of programs which have been legislated on a continual basis in order to gauge the capacity of each agency to reach legislatively mandated goals. With these types of information, the legislature determines whether there is a need to: modify the agencies' organizational structure by legislation; enact new laws affecting programs within that agency; decide whether a program or service was needed within the state; or increase or decrease an appropriation.

HRSS was involved in each of these activities through assignments to the Legislative Council, the Joint Legislative Budget Committee, standing committees, legislative Leadership or acting as individual legislative aides, and as intermediaries between the legislature and the administrative agencies (which were charged with the

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\*Conceptual model, derived from discussions with Arthur Bolton (See Appendix).

\*\*This definition of "housekeeping" differs somewhat from the one utilized in the three-state legislative survey (See Chapter III).

responsibility for implementing enacted laws). The staff acted as an advocate for the legislature, as well as a mediator between the "generalist" legislators and the "specialist" administrative agency personnel.

The effectiveness of the HRSS information staff was, as would be expected, dependent upon a multitude of variables. Among these, the most outstanding were: (a) rapport with the agencies HRS Staff were to evaluate, upon which data validity and reliability depended; (b) the capability of the agencies to describe the effectiveness of their programs in clear and concise terms; (c) the presentation of data by HRS Staff in a format understandable to legislators; (d) attention of legislators to the issues, priorities and alternative solutions of program problems and how to effectively use staff generated information including how they supervised basic data gathering, its interpretation, and so forth; and (e) the point of view expected by staff to portray in terms of the majority and minority party priorities. These are a mixed "bag of variables," but each can lead to effective or ineffective utilization of technical staff specialists.

### **Programmatic Summary of HRSS Activities**

The summary of the activities of the project since January 1st, 1972 to December 31st, 1973 is extensive. Rather than attempt to detail in great depth these activities and their policy implications, a listing with a summary description is presented. These experiences led to the conclusions presented in the tentative previous chapters of this monograph.

The summary of the activities which follow is intended to describe:

(1) the staff activity, (2) its purpose and (3) its impact upon state government through legislative action. It must, of course, be recognized that some of these activities could have occurred even though HRSS might not have been present. However, the HRSS project was instrumental as not only a catalyst, but also as an "expert" information resource, governmental agency liaison and professional and constituent public liaison. The HRSS project provided a focal point for legislative leaders and some committee chairmen in providing the background information necessary for many human resource policy and programmatic issues during the two full years of this demonstration.

The following activities are described to reflect the point an activity becomes visible in the legislative process, through research and legislative development via committee staffing, and into the implementation phase of each activity. The authors arbitrarily categorized each activity by determining the primary emphasis of the HRS Staff involvement in an issue through to the legislative procedures inherent to it. The five categories are:

1. Achieving HRSS project goals.
2. Legislation (housekeeping role and staffing of committees).
3. Policy and program development and planning (innovative role).

4. Implementation (oversight and monitoring; evaluation role).
5. Federal—state interrelationships with the legislature.

### *Achieving Project Goals and Meeting Federal Demonstration Objectives*

HRS Staff, after experiencing much difficulty in locating a single, well informed agency information specialist on programs and budget, exercised the following activity.

**Establishing State Agency Legislative Liaison.** The directors of five state agencies (Vocational Education, Vocational Rehabilitation, Public Welfare, Employment Services, Health) were asked to meet with the HRSS director and his staff to discuss establishing a legislative agency liaison. These discussions occurred individually and in group meetings in order to institutionalize the role of an information specialist with HRS Staff who could identify relevant agency responses to pertinent legislative questions. There would be a legislative liaison with each major state human resources agency. The personnel commission then held a meeting with the same state directors and staff of HRSS in order to formalize the position by grade, classification and salary. The following description resulted and these liaison were selected to expedite the work of HRSS.

#### **ARIZONA STATE SERVICE JOB OPPORTUNITIES:**

Arizona State Personnel Commission  
1831 West Jefferson Street  
P.O. Box 6756  
Phoenix, Arizona 85007

**SPECIAL ANNOUNCEMENT No. 059  
ISSUE DATE: April 21, 1972**

#### **LEGISLATIVE LIAISON**

**LOCATION:** Phoenix                      **SALARY RANGE:** \$12,684 – 16,188

**THE POSITION:** The Legislative Liaison is responsible for providing the Legislature with specific information on agency programs and funding sources, for representing the agency before the Legislature, and for assisting agency program managers in preparing their budget requests for presentation to the Legislature.

**EXAMPLES OF DUTIES:** Participates with agency management in developing reports on budgets, fund sources, agency organization, and numbers, classes and locations of employees; develops reports on agency program priorities and the rationale for establishing these priorities;

represents or assists in representing the agency before legislative committees to explain and support agency budget requests; assists agency managers in preparing reports required by the Legislature.

**MINIMUM QUALIFICATIONS:** Three years of experience within the last five in a staff, administrative, supervisory and/or policy making capacity in a field closely related to programs of the agency, and which must have included assignments requiring the preparation and presentation of information to agencies, lay groups, associations, individuals or other groups. A Master's degree in a field related to work performed in the agency may be substituted for one year of the required experience.

**SELECTION:** Applicants will be rated on the basis of a training and experience evaluation. An oral examination may be held if the number of applicants warrants it. Candidates must be United States citizens and residents of Arizona.

The Health liaison was selected in February, 1972, and the recruitment of the other four liaison was completed by July. The liaison's position was to be filled by a person who had agency program experience, evaluation skills, as well as the capability to present agency programs to the legislature in the most effective manner. An equally important role of the liaison was to establish routine relationships with legislators and other legislative staff offices, in order to take information about problems areas and concerns of legislators back to their respective directors. The development of a two-way communications' channel between the legislature and the agency assisted the agency in "putting its best foot forward" by anticipating the legislature's requests for information about program problems and by stressing a quick turnaround in information response. The agency accepted in a more efficient way through this means internal program inquiries by legislators. Each realized that such a stance is in the best interests of the agency.

The liaison provided information about each program in the agency, its purposes, authorizing law, eligibility standards, number served, cost per services and other legislatively useful information. These human resources' programs in one "superagency" were then compiled into a document for presentation to each legislator as a guide which would serve to assist in understanding human services programs. It also provided an excuse, i.e., a "means" for the liaison to make personal and individualized contact with each of the 90 state legislators if they so desired. (This approach was aimed at all but health functions.) (See Policy Handbook example on Vocational Rehabilitation in the appendices.)

The liaison were also individually evaluating their agency's programs in an attempt to assist each agency director upgrade program operations and increase administrative and program effectiveness. An example of this process was the agency's movements toward providing a program budgeting format for presentation to the state

legislature. Under the cooperative work among the HRS Staff, the Governor's Department of Finance, and the Legislative Joint Budget Committee, as exemplified by health, the agencies learned to write management objectives, state plans, and annual reports in such a way so as to provide more useful documents for measuring the achievement of agency efforts to provide relevant client services.

Most of the agency directors involved in this particular subdemonstration have become convinced of the value of their legislative liaison as they experienced the benefits of a more direct and personal relationship with key legislators. As evidence, each liaison was physically located near the agency director's office, except the Employment Service advocate, who was housed on detached service within the legislature.

Many other projects were undertaken by the agency liaison. These assignments, for which the HRS Staff often provided a focus and guidance, were both short and long-range and had impact upon the legislature, both in the interim periods and during the legislative sessions.

Workshop with California legislative staff. In June, 1972, HRS Staff met with representatives of the California Assembly staff to compare experiences and to establish a baseline impression as to what progress HRSS had really made, if any, during its first legislative session.

Methodologically, this was an attempt to "piggy-back" upon the experience of a large, fully staffed, year 'round legislature which was contiguous to Arizona. It was assumed that, if the staffing experiences of HRSS and those of the California staff were similar and representative, HRSS could be considered on the right track.

Discussion centered around typical kinds of staffing roles which might be considered by a representative legislative body, the ongoing legislative information process and its needs, modification of existing legislation, and innovative research.

The California staff generally felt that technical staff should work with strong committee chairmen for their most effective utilization by a legislature; but that it was difficult to function effectively when chairmen lost their positions.

The Assembly Office of Research staff, it was learned, were similar to Arizona's Legislative Council staff. Since research priorities were set by the majority party, the staff did not have much freedom or leeway for in-depth research.

One very productive effort observed by the HRS Staff was that, for the past three years, California staff had been geared toward revising mental health and mental retardation legislation. Basic legislation was enacted at that time. The staff continued in an oversight effort, rare among legislatures, and the legislature, as a result, put through an amendment providing for a Department of Mental Health evaluation unit and it passed. This was unique in the annals of staff relationships with committee chairmen in that it was such a continuous and focused effort over more than one session in a particular substantive legislative area.

In conclusion, HRS Staff realized, in their consultations with California that they had dealt with equally representative subject areas and used representative approaches in researching legislatively initiated activities.

Following the workshop with the California legislative staff, the HRSS project director later conducted another workshop with key California legislative staff on reorganization of health and mental health services in California and, secondarily, further examined the role of legislative staff in this process. Basically, such reorganization, after the legislation passed, became totally controlled by the executive branch of government which proved frustrating to California legislative staff. In Arizona the legislature was and is much more truly in control of this process through legislatively-initiated oversight activities.

Three-state survey of committee staffing patterns. The HRSS project director and deputy interviewed the Committee Chairmen and Senior Staff to these standing committees in two states most sophisticated in committee staffing patterns. In a third state, without committee staff, committee chairmen were interviewed for survey control purposes. (See Chapter III for survey design and results.)

The purpose of these interviews was to determine the role and functions of staff in the legislature as perceived by both senior staff members and by their committee chairmen. The data from these interviews served as a foundation for comparing the HRSS project experience and making recommendations to the federal government on the potential value of staffing future legislatures in the human resources' area.

The National Legislative Conference (NLC), 1972. A panel on the development of legislative demonstrations in capacity-building through the use of federal monies was conducted. It was based on the article on HRSS which appeared in State Government, Spring 1972 (see references). The HRSS director participated in this three-member panel discussion.

NLC workshop on social services and HRSS project's contributions. In November, 1972, the HRSS director was invited to participate in the National Legislative Conference's (NLC) planning sessions for the diffusion of information on the "new" social services' legislation. (Now referred to as Title XX, the Social Security Act.) During his participation at these events he indicated that, in his opinion, the legislatures, nationally, understood little about the basic foundations of the traditional and innovative social services. Consequently, he recommended basic descriptive information be prepared on the theme: "What Exactly are Social Services?" HRS Staff, plus one social services' consultant, Paul Cherney, with a national reputation as an implementer in this area, were sent to Washington to assist NLC in the development of an appropriate document. It was eventually used as a working paper in two national training sessions jointly co-sponsored by the American Public Welfare Association, the NLC and supported by the Community Services Administration of U.S. Social & Rehabilitation Service (DHEW). (A more detailed document was later refined and updated for use by the Arizona Legislature and others; since it was believed that this national Social Services legislation would prove of great value in complementing existing Vocational Rehabilitation Services.) (See Appendix for descriptive monograph which, though dated, still is valuable as a planning guideline.)

Human resources and rehabilitation seminars - NLC. In April of 1973, the National Legislature Conference (NLC), in cooperation with the HRSS project and the

University of Arizona Rehabilitation Center, sponsored a nationwide legislative seminar to bring together state legislators and state rehabilitation directors. They were to discuss the rehabilitation and social services' program and how legislators could utilize these programs to effectively make impact at the state level. The HRSS project, in addition to planning the seminar and recruiting the participants, made a presentation on the objectives and experiences of their capacity-building staffing grant in the Arizona Legislature. The purpose of the seminar was to further the education of state legislators in rehabilitation and social services in the federal-state programs. The HRSS presentation was intended to focus on alternative means legislatures could use to initiate new patterns of delivering such services. The conference would result, it was hoped, in closer working relationships among state agency directors and their respective legislators and federal resource persons.

National Rehabilitation Association (NRA) Panel, 1972. In September, 1972, the HRSS project and Mr. Timothy A. Barrow, then Speaker of the Arizona House of Representatives, presented a panel at the NRA Conference. The panel was designed to present the HRSS project objectives in furthering legislator-state agency administrator relationships in programming and funding state vocational rehabilitation programs. Those attending the panel - mostly state VR directors - expressed much interest in the Arizona legislative project.

Health and Welfare Committee survey. In order to compare the Arizona legislature's Health and Welfare committees' staffing, legislative priority areas, and informational and advisory resources, the HRS Staff conducted a nationwide survey of state legislative Health and Welfare committees (i.e., all committees, two per legislature, were asked to respond). The survey can best be described by summarizing the data received:

a. Twenty committees placed particular emphasis on legislation pertaining to program matters, while 15 were legislating agency administrative patterns. (Fourteen committees were involved in agency reorganization of Health and Welfare agencies.) These same committees were involved in reorganization, agency administration and budget matters during these particular legislative sessions, and were going to spend time on these same issues in the future.

b. The Health and Welfare committees used as their primary information resource the state agency regarding whether legislation, coming before their committee, met federal and state regulations (27 committees). Other resources were: Legislative Council staff (13); Governor's office (12); and Legislative Committee staff (9). Only six committees used federal officials to determine whether proposed legislation met federal requirements.

c. Health and Welfare committees were apprised of available federal programs in human resource areas primarily by state agencies (28 committees), legislative staff, regional officials and legislative councils.

d. Testimony was provided to Health and Welfare committees primarily by agency directors (33 committees), local officials and other special interest groups.

The preliminary results of this survey indicated that the Health and Welfare committees received very little legislative staff support and specialized research on human services' programs.

### *Priority Legislation*

Arizona Department of Economic Security (DES)—S.B. 1068. HRS Staff worked on the House amendment to the Senate Bill on human resources' reorganization during 1972. Seven major programs were combined into a "single state agency"—as contrasted to an umbrella agency (in which programs remain separate in operations, but are served by a loose overlay of administrative support services). Included were the fundamental programs of welfare (assistance payments and social services), manpower services and unemployment compensation and vocational rehabilitation.

This bill, which passed, combined seven state agencies into one agency—the Department of Economic Security. This new Department actually assumed the program responsibilities for the Division of Vocational Rehabilitation, the Department of Public Welfare, Employment Security Commission, the Veterans' Service Commission, Office of Economic Opportunity, Apprenticeship Council and Manpower Planning. Mental retardation was added through later legislation.

On January 12, 1972, S.B. 1068 was introduced in the Senate by six Senators and five Representatives. It was passed in the Senate on February 12, 1972 and sent to the House of Representatives. In early March, the HRS Staff was asked to assist Representative McConnell (Chairman of the House Health and Welfare Committee) in preparing amendments to the bill which would reflect the concerns of the House leadership.

The HRS Staff then began a systematic revision of the bill with the aid of the Legislative Council and various federal and state agencies. The Rehabilitation Services Administration DHEW (RSA) staff in Washington favored amendments which would most carefully designate the structure of the new Department and would protect the integrity of the general rehabilitation program and that for the blind. The Washington RSA staff referred HRSS to the San Francisco regional office for more feedback. The SRS regional office supported a more unstructured bill with specifications, but relying upon savings' clauses and federal legislative specification to ensure conformity with DHEW regulations and federal law.

A public hearing was held on the House amendments to S.B. 1068 on March 29, 1972 at which all interested agencies, groups and citizens were encouraged to participate. HRSS provided staff for the hearing and prepared an overview of the

amendments and extensive background information for Representative McConnell, the committee's chairman. The HRS Staff also provided assistance to various groups, such as the Apprenticeship Council in their support of the House amendments. At all times during the amendment process, Representative McConnell and HRSS solicited the advice of involved and concerned groups and agencies at the federal, state and local levels.

The bill received a "do pass" recommendation from the Health and Welfare Committee on April 4, 1972 and was passed by the House on April 12, 1972. A Joint Conference Committee was appointed by the Senate President and the House Speaker, because the Senate did not concur with the House amendments.

As originally introduced, the Senate Bill emphasized manpower programs. The House amendments, with the assistance of the HRS Staff, redirected the thrust of the bill to the reduction of dependency through rehabilitation and the integration of services . . . both contemporary perspectives of the U.S. Department of Health, Education and Welfare. One aspect of the final version of the bill suggested separation of welfare programs into Services for Individuals and Families (aging and children), and Income Maintenance Services.

Recommended by the HRS Staff and contained in the final legislation at passage were four special focus units of service structure—three in the new Rehabilitation Services "Division" alone: Communication Disorders, Correctional Rehabilitation, and Services to the Blind & Visually Impaired. The fourth was a section on Aging which embodied detailed program requirements. All programs which required federal/state compliance in one way or another were checked out with and "signed off" on by central and regional federal Department of Labor and Department of Health, Education and Welfare staff and by the State Vocational Rehabilitation agency (which did not respond) by HRSS prior to the enactment of this legislation.

Also, integral to this legislation was the establishment of subregion operational and planning districts with boundaries equivalent to those set forth by the Governor's interpretation of the Federal Intergovernmental Cooperations Act's (1968) provisions for the establishment of coterminous substate regions.

During the remainder of 1972 and 1973 it was HRSS's primary responsibility to work with the Arizona Department of Economic Security (DES) in the implementation of the intent of the original legislation, including the integration of services through the single state agency concept where feasible and in compliance with federal law and in the spirit of federal law and regulations. (See appendix for HRS Staff recommendations in the actual House amendment to S.B. 1068 as proposed . . . but not concurred in its entirety by the Conference Committee.)

Health Services Reorganization: The Arizona Department of Health Services (DHS). For the past several years, the Arizona Legislature has been concerned about the range of services of the State Health Department in this period of rapid change when there is emphasis on innovations in and direct client contact with health service delivery. In response to that concern, the leadership of the House and Senate assigned the HRS Staff the responsibility, along with other groups, for making

recommendations for the modification and reorganization of the delivery system responsibilities of the state. Consequently, the HRS Staff collected and analyzed data designed to describe the needs of Arizona residents for health care, as well as the intent of present programs of health services that were provided by approximately 26 different state agencies. This effort resulted in a systematic development of alternative patterns for reorganization and recommendations for legislation to create a new department of health services.

The HRS Staff questioned various sectors of the population besides the state health department. These groups were: state and local health planning councils, county health departments, the Regional Medical Programs, the University of Arizona Medical School, and the hospital associations. Other groups included in this analysis were industries interested in comprehensive health care, concerned citizen groups, Federal demonstration programs (Health systems' groups), vocational rehabilitation and welfare groups and agencies, and so forth.

In February, 1972, the HRS Staff surveyed the health departments of each state in the nation. The purpose of the survey was to determine their basic organizational structures, functions, and the directions which each department was taking to provide health services.

Examples of questions asked of these departments were:

1. General state health department functions.
2. Specific state health department functions.
3. Coordination and shared funding on related programs.
4. Statewide programs supported by federal funds.
5. Budgeting formats presented to the state legislature.
6. Relations of Health Planning Authorities and Councils, HMO's and RMP's to the state health department.
7. Related programs of Health with other federal program agencies.

The responses of the survey, as expected, varied among states; however, they raised important considerations for the Arizona Legislature. HRS Staff recommendations were studied to consider the potential reorganization of health services in Arizona.

A publication of recommendations was jointly sponsored as a result of the aforementioned data collection effort, prepared by Dr. Paul O'Rourke\* and the HRS Staff for presentation to the legislature January 8, 1973. This publication presented alternatives and recommendations for health services as well as descriptive analyses of ongoing programs. The HRS Staff also work in close liaison with legislators on interim health committees and the legislative leadership toward reorganization legislation.

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\*Dr. Paul O'Rourke is health consultant to the California Senate Office of Research and assisted the legislative leadership and HRSS in this reorganization.

Dr. Paul O'Rourke, the Arizona Legislature and HRS Staff had, as a basis of this study of health service delivery, focussed on health services delivery as required by the medically indigent and, particularly, the welfare recipient. The concern of the HRS Staff in its recommendations considered for legislative action were to design a health delivery system to serve the low income groups much more adequately than they have been served in the past. There is sufficient evidence in Arizona to document the fact that many low income recipients of public assistance are unemployable due to serious health limitations. With the initial reorganization of human-service agencies into a Department of Economic Security, the HRS Staff investigated the possibility of relating a new health services' delivery system to this new Department's efforts for better services' coordination. This was decided as a result of traditional thought that Vocational Rehabilitation services were used extensively for health-related disabilities, when the health care sector should have taken more responsibility in these areas.

The HRS Staff was instrumental in research and in the conceptual design of the new Department of Health Services for both Houses which culminated in legislation leading to reorganizing the state's health services agencies (1973). The HRSS project staffed the Joint Select Committee on Health Reorganization, the House and Senate Health and Welfare Committees and the resulting reorganization Conference Committee. With the reorganization of these health agencies into a new Department of Health Services, there was an anticipated integration and coordination of heretofore separate health care programming. Arizona should, it was hoped, become more effective in providing coordinated services in health throughout the state. (To facilitate such delivery, the subregional concept of the DES reorganization was also made inherent in a modified fashion and as an administrative option to the health services reorganization.)

HRSS Involvement in the Passage and Implementation of S.B. 1107. The HRS Staff was assigned to determine the planning capability of the Health Department to implement proposed legislation to move the alcoholic from the criminal justice system into the health care system by creating comprehensive treatment programs for alcoholics. The establishment of alcohol reception centers and alcohol treatment programs was the main thrust of this legislation.

The HRS Staff initially worked with the Health Department in designing an administrative component to the proposed alcohol program. This administrative component was to assist the Department of Health work with communities in the state by providing technical assistance to local communities. This technical assistance would be provided for establishing appropriate program services, assisting in evaluation of programs and ongoing consultation for improving such services.

The initial but limited involvement in the actual legislation of HRS Staff included research for the legislative leadership, several committees and individual legislators. The staff work consisted of: (1) a summary analysis of S.B. 1107; (2) recommendations for appropriations of funds to carry out the implementation of the

proposed legislation; and (3) technical assistance to the Health Department in the design for the implementation of this Act.

Following the passage of the legislation (mostly the work of the Senate staff), the HRS Staff carried forth an oversight function within the Health Department to follow the implementation of this legislation and assist the legislative leadership in its expeditious development.

### *Staffing the House Health and Welfare Committee*

The HRS Staff have provided the House Health and Welfare Committee with continuous staffing during the two regular sessions of this demonstration. The purpose of such staffing was to test the housekeeping and research functions in regard to many health and welfare bills going through committee and to provide the committee chairman with a staff person who could prepare for each committee meeting an agenda with appropriate analyses of proposed legislation. (See Chapter III re the hearing process and committee staff work.) The value of such staffing was limited due to several factors such as inadequate time for thorough in-depth research, and inadequate definition by the staff of the needs of the chairman.

At times, the staff served in an advisory capacity only to the chairman in proposing amendments and in coordinating public hearings.

The Committee met weekly and was composed of seven Republicans and four Democrats. Out of 104 bills considered by the Committee, 30 were enacted into law.

Among those areas reviewed and analyzed by the HRS Staff were the following:

#### Health and Welfare Committee Log

1. 2/10/72 — Discussion of staff's role in S.B. 1068—a bill to create a Department of Economic Security.
2. 2/16/72 — Analyzed bills—H.B. 2022 (dp)\* expanded parole boards; H.B. 2017 (dpa)\*\*—welfare i.d. cards; H.B. 2003 (dpa) emergency medical services.
3. 3/ 1/72 — H.B. 2260 (dp)—furnishing tobacco to children which defines a child as under age 14; H.B. 2295 (dpa) (medical care to indigents). Began work on S.B. 1068.
4. 3/ 6/72 — Staff recommends division or subdivision be created in S.B. 1068 to provide services to elderly and dependent children.

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\*dp: do pass;

\*\*dpa: do pass as amended.

5. 3/ 8/72 -- H.B. 2360 (dp)--health care for state employees.
6. 3/15/72 -- H.B. 2448 (dpa)--Occupational Health and Safety Act of 1972.  
Active in designing amendments to S.B. 1068.
7. 3/22/72 -- H. B. 2261 (dpa) -- defining cruelty and abandonment of animals; H.B. 1125 (dpa)--updated and clarified state's child labor laws.
8. 3/29/72 -- Public hearing on S.B. 1068.
9. 4/ 4/72 -- S.B. 1068 given "do pass" recommendation.
10. 4/ 5/72 -- H. B. 2137 (dpa)--revamped county medical examiner system; H.B. 2256 (dp) retirement regulations for public safety personnel.
11. 4/12/72 -- H.B. 2230 (dpa)--authorized physician's assistants and established rules and regulations for their use. H. B. 2347 (dpa)--revamped workman's compensation.  
S.B. 1155 (dp)--clarified legal rights of blind.
12. 4/19/72 -- S. B. 1098 (dpa)--definition of professional nursing.  
S.B. 1128 (dp)--arrest without warrant for certain public offenses.  
S.B. 1107 (dpa)---established alcoholic treatment centers.
13. 4/26/72 -- S.B. 1171 (dp)--limited liability of blood banks.
14. 5/ 3/72 -- S.B. 1233 (dp)--regulation of watercraft.  
S.B. 1248 (dpa)--allows public and private agencies to contract with Sanatorium for available bed space.  
S.B. 1270 (dpa)--specified landlord tenant relations.  
S.B. 1235 (dp)--state will provide transportation of mental patients committed voluntarily.

The Health and Welfare Committee of a state legislature would typically be considered the primary focus for any form of Human Resources' staffing. However, it has become obvious to the Human Resources Services Staff that Health and Welfare Committees differ throughout the United States in terms of their basic focus and the types of legislation which come before them for consideration. Thus, the project conducted a nationwide survey of other similar committees to determine how representative was Arizona's experience. (See survey results, Chapter III.)

## *Correctional Rehabilitation*

The HRS Staff developed an interest in the general area of Corrections when the Legislature expressed a desire to reorganize many of the state agencies.

Coincidentally, when the staff first began working in this area, a new federal endeavor entitled the Comprehensive Offender Planning Effort (COPE) was just beginning: COPE was attempting to establish a state orientation and initiatives to correctional rehabilitation which would plan for and coordinate all efforts aimed at rehabilitating the public offender. This effort had been originally initiated centrally, but regionalized by the Departments of Labor, Health, Education and Welfare and LEAA\*.

Because of previous HRSS contact with DHEW concerning Correctional Rehabilitation\*\*, and research activities by HRSS, re an inventory of complementary state services, Arizona had been designated as the first state in the region to begin a COPE project. (Corrections, Vocational Rehabilitation, Vocational Education, Employment Services, Welfare and Justice Planning were all included in this planning effort.)

After a meeting with Dr. James Jacks, Correctional Rehabilitation Consultant, Division of Special Populations, RSA (DHEW), and at the direction of the Senate President, a decision was made for HRSS to collect information concerning correctional rehabilitation nationally. This data collection took the form of two nationwide surveys. The first survey was sent to the heads of the corrections departments in 49 states and the District of Columbia. Twenty-five of the departments (50%) responded to this questionnaire.

Compilation and analysis of the survey results demonstrated some interesting statistics:

– Twenty-one departments of corrections (84%) included rehabilitation as a defined statutory departmental objective.

– Training of rehabilitation personnel and new community-based correctional facilities are viewed as top departmental priorities; however, only 9% of the total inmate population is involved in community correctional centers.

– Twenty-four of the departments (95%) cooperate with state vocational rehabilitation programs; but, only about 20.5% of the inmates, adult and juvenile, are involved.

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\*LEAA: Law Enforcement Assistance Administration, U.S. Department of Justice.

\*\*Correctional Rehabilitation is the name given by Dr. Us dane of RSA (DHEW) for the title of the section of Correctional Vocational Rehabilitation Services of the new Department of Economic Security.

- Twelve of twenty-five state departments of corrections see rehabilitation as NOT successful in most offender cases.
- Twenty-four states (96%) believe an expanded correctional rehabilitation program would be beneficial.

The second survey was sent to all heads of the divisions of vocational rehabilitation in 49 states. Twenty-four states responded. Of these, 20 did NOT have correctional rehabilitation as a defined statutory objective.

- Only 12% of vocational rehabilitation funds are allocated for correctional rehabilitation; 8.4% of vocational rehabilitation funds are contributed by Corrections.
- Only 20% of the inmate population is involved in vocational rehabilitation training programs.
- All of the states responding believe an expanded correctional rehabilitation program would be valuable.
- Only seven percent (7%) of the vocational rehabilitation caseload is public offender-oriented.
- Eighteen of the twenty-four vocational rehabilitation agencies responding (75%) expressed the opinion that responsibility for correctional rehabilitation programs should be shared with correctional and other state agencies.
- (- All correctional agencies responding to the questionnaire would like to have singular control over correctional rehabilitation programs.)

HRS Staff served the Interim Joint Committee on Prison Reform of the Arizona State Legislature. Thus, the basic input regarding correctional rehabilitation was through this interim committee.

The HRSS project was also active in research, monitoring and conceptualizing legislation for the creation of payments to ex-offenders; providing vocational rehabilitation services to mentally retarded juvenile offenders; working through legislation which appropriated funds for the building of a new corrections' institution with a rehabilitation and vocational diagnostic emphasis; and creating legislation for the establishment of a school district in the corrections' system of Arizona. The impact of these efforts cannot be measured at this time.

### *HRSS and the Coordination of Services for Retarded Delinquents*

At the request of the Senate, HRS Staff became involved with coordinating the efforts of the Department of Corrections, the Department of Mental Retardation and the Juvenile Court to determine the services needed by retarded delinquents and to plan for the effective and efficient delivery of these services.

No one agency at that time had the responsibility or the mandate to provide services to this client group. The Departments of Corrections and Mental Retardation did not originally view these juveniles as appropriate subjects for their existing programs. Until recently, many retarded children (both boys and girls) were being incarcerated in juvenile training facilities. These facilities did not pretend to have adequate programs for these special kinds of clients.

With the assistance of HRS Staff, the agencies involved met together in a planning session during which each agreed that their respective agencies could develop more individualized programs that would better and more realistically meet the needs of the retarded delinquents.

HRS Staff have continued to be involved with these agencies and with Vocational Rehabilitation and Vocational Education, to assist in the development of suitable programs. Considerable followup will be necessary to determine whether the agencies are indeed pursuing the goals upon which they agreed.

### *Analysis and Recommendations Concerning a Mental Health Commitment Bill (S.B. 1167)*

During the 1973 legislative session, the HRS Staff analyzed the Senate sponsored Mental Health Commitment bill. The legislation failed in the last days of the session in the conference committee. The bill was prepared for reintroduction in the 1974 session; it passed. The purpose of the legislation was to stress protecting the rights of those in the process of being and actually committed and, simultaneously, to establish comprehensive diagnostic and treatment services in the community.

### *Developmental Disabilities and Facilities Construction Act*

In developing the House Bill 2004 reorganization legislation (DHS), the adoption of the concept of the federal Developmental Disabilities and Facilities Construction Act (then implemented by RSA, DHEW) program was included as a rider to this act. The passage of the Department of Health Services' legislation provided Arizona the opportunity to eventually participate at the first timely opportunity in this program. This is now authorized through this statute. Because of the lateness of H.B. 2004's enactment, and other political problems, it was not possible to apply for FY 1973-74 funding. (However, the Department of Economic Security, which inherited this program, implemented this rider and picked up three years of past Congressional DD monies.)

### *Other Housekeeping Activities (e.g., Health Budget)*

The HRS Staff had been asked on several occasions to provide information and assistance to other legislators besides those to whom the project had been formally

assigned. Some of these activities have been research in nature, and several provided limited monitoring and evaluation of certain state agency programs. An example of one of these activities was the analysis of the health budget. This analysis has proven useful in establishing specific program effectiveness criteria regarding the appropriation of funds for Health Department and Department of Economic Security (DES) operations during the fiscal year.

HRSS, upon entry into the legislature, was immediately assigned to evaluate segments of the Health Department budget request. There was concern shared by the Chairman of the House Appropriations Committee and the Chairman of the House Health and Welfare Committee regarding the significant budget increases reflected in this department's request for funds. The HRS Staff spent the next three months, in conjunction with other assignments, evaluating certain health programs as to the adequacy of the services being provided to Arizona residents. The culmination of this evaluative effort was the production by the staff of recommendations which were actually used by both the House and Senate in appropriating the Health Departments' fiscal year 1973 budget.

The assignment to health provided the HRS Staff with entree to the Appropriations Committee process and an opportunity to build the credibility of the project with these kinds of legislators. The staff work was evaluated by the legislature and the particular recommendations made by the HRS Staff for appropriations' levels of funding were accepted.

The evaluations provided a subdemonstration opportunity to develop legislative — administrative relationships, develop the agency legislative liaison position and learn how to observe and report program administration and operational activities of the Health Department in legislatively useful terms. This was an opportunity for HRS Staff to perfect its approach to capacity—building.

### *Policy and Program Planning and Development*

DES Policy Notebook. After working with the House Appropriations Committee on a variety of matters, it was realized by HRS Staff that something had to be done to clarify in simple language basic human resource programs. The agencies were not telling their story accurately. What they accomplished with legislatively appropriated funds was unclear. Consequently, a notebook was developed illustrating exactly what programs existed under the newly reorganized Department of Economic Security (plus a related and complementary program from vocational education pertaining to the disadvantaged). This information included a broad program goal and narrow service objective (in fiscally achievable terms). These were intentionally made identical to ones to be used by the Executive Department's Finance Department in preparing the Governor's budget and also in the work of the Joint Legislative Budget Committee. State authorization was mentioned as were state and federal monies appropriated for the most recent fiscal period. Other relevant information was included. The final

document was presented to all legislators of both Houses in a formal presentation by the Speaker, the Senate President, and Majority Leader and the House Health and Welfare Committee Chairman. From that point on the DES agency was to utilize their legislative liaison to respond to further questions in this area.

The Policy Notebook should have served as a basis for judgment among legislators as to agency program objectives, costs, and unmet client needs. This Policy Notebook represented the first time the legislature had an in-house developed inventory of programs pertaining to dependency reduction. (Though this data was cooperatively developed with each program.) This information was to be updated from January 1, 1973 onwards.

The information requested for this notebook was:

1. Name of agency program
2. Federal and state authority (citing law);  
Sponsoring agency (linkages within other agencies)
3. Objectives of program
4. Eligibility standards—(characteristics [who served—who referred] of clients)
5. Number and kinds of clientele served—broken down by county—demographic
6. \$/Clients served/program; cost/unit services if available
7. Flow chart for program delivery system (including referrals to other agencies )
8. Contract and relationships with other state agencies and direct service agencies
9. Federal/State/Local matching provisions
10. Barriers to program services—if known
11. Information and referral procedures
12. The lag—time in services

(See appendices for Vocational Rehabilitation sample format from Policy Handbook.)

Little obvious use was made by the legislators of this information.

### *Title XIX – Medicaid Policy Research*

The HRS Staff in conjunction with the Legislative Council completed a thorough review and presentation of alternative policy issues pertaining to the states' possible adoption of a Medicaid program (then sponsored by RSA, DHEW). Twenty-three memoranda were prepared for the Joint Select Committee on Medicaid

and the Citizens Advisory Committee on Medicaid. The HRS Staff were next involved in conceptualizing the Medicaid legislation to be introduced into the January, 1974 session of the legislature. (Enabling legislation passed with modifications during the 1975 session.)

### *Position Paper on the Councils of Government (COGs)*

The Arizona COGs, as many throughout the country, were then becoming an important integrating and coordinative force for many local—state—federal human resources programs. Arizona has not yet legislated authority for the COGs. The position paper was written to discuss issues related to the COGs' development and the potential legislation which would statutorily establish the COGs in an appropriate context vis-a-vis state, county and municipal governments . . . for future purposes of coordinating human services planning and development. Subsequently, the HRS Staff assisted in drafting legislation in this area for introduction into the 1974 session of the Arizona Legislature by the House of Representatives. (This legislation failed to pass.)

### *Surveys — Human Services' Reorganizations (DES, DHS)*

Several surveys were conducted on matters pertaining to health and economic security (human resources). These included:

1. Vocational Rehabilitation and Medical Services (national in scope)
2. Deaf and Hard of Hearing — needs and resources of Arizona (to establish goals for DES' Communications' Disorders Services)
3. Arizona's Aging Services
4. The impact of Mental Retardation programs in Arizona and a suggested reorganization of existing state supported services. (This led to their transfer to the Department of Economic Security)
5. Nationwide Correctional Rehabilitation programs from a VR and a Correction's point of view (two surveys)
6. Health and Welfare issues
7. Arizona's Day Care Services
8. Health Reorganization Survey (Culminating in Dr. Paul O'Rourke's report in conjunction with HRS Staff)
9. Nationwide Medicaid Surveys (in conjunction with Legislative Council)

### *Proposed Navajo Social Services Federal—State Demonstration*

HRSS served as a direct catalytic force in working with a team of federal DHEW Regional Directors, DHEW SRS staff, state social services' staff and representatives of the Navajo Nation for the purposes of working out a Tristate compact in social

services' programming under the then recently amended Social Security Act (Title XVI). This effort included an attempt to create a uniform set of eligibility criteria among the three states, which overlapped in shared responsibility for social services within the Navajo Indian Nation's boundaries. These states are Arizona, New Mexico and Utah. (This project began to bear fruits two years later in the new Social Security Act, Title XX social services program.)

*Consultant Projects (David W. Smith, Ed.D., Formerly Director, University of Arizona Rehabilitation Center) and Co-Author of HRSS Demonstration*

Dr. David Wayne Smith conducted several projects and surveys on various aspects of agency program evaluation in general nutritional services in Arizona and evaluation of health-priority-setting mechanisms. Dr. Smith's work provided the HRSS with the necessary information and tools to more effectively work with the state's human resource's agencies in better assessing their utilization of state appropriated monies. He was also most helpful to the project director in molding the HRS Staff team.

### *Model Cities and the State – Local Task Force*

The State of Arizona received a grant from the U.S. Department of Housing and Urban Development (DHUD) to study the impact on the state and local government of the Model Cities' Program of Tucson, Arizona when funds were to be terminated in 1974. (Many of its major program endeavors were in human resources and supported by VR and DES monies.) The HRS Staff acted as consultants on request from the project staff in the Governor's Office of Planning and Economic Development in developing appropriate concepts and background information. The purpose of the HRSS involvement was to anticipate the possible interest of the legislature, prior to termination of the Model Cities' Program, in supplanting these cost funds. The Governor's staff never followed through in assessing legislative interest.

### *Implementation (Oversight and Monitoring)*

Implementation of DES and its administrative structure. It was previously indicated that, after the passage of the Department of Economic Security (DES) reorganization legislation in 1972, HRSS was asked by the Speaker and President to work with this single state agency in realizing its legislative intent. Much work was accomplished in creating effective legislative liaison activities with this major state agency\*. A "teamwork" model of cooperative staffing between legislative and agency

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\*DES is first in size as to the number of staff in direct services and second in size as to total state and federal operating funds among all Arizona agencies.

staff evolved with respect to specific projects (e.g., Mental Retardation transfer to DES, the Navajo Nation's Social Services' project, Developmental Disabilities Act authorization and implementation, DES Budget Policy Notebook, and others).

Vocational Rehabilitation (VR) Compliance Issue. The HRS Staff director worked to straighten out the complex and highly emotional compliance issue pertaining to Vocational Rehabilitation and the DES agency. Communication and professional objectivity has been seriously lacking in this matter at all levels of the federal government and within the VR agency director's Council of State Administrators and other Vocational Rehabilitation circles. Arizona was being incorrectly portrayed as attempting to set a precedent, regarding the new Vocational Rehabilitation Act, 1973, in the integration of services and pertaining to its position as a developmental "single state agency."

HRSS, responding as a resource to the legislative leadership and after "the first salvos had been fired and missed their mark," attempted to open up new channels of communication federally and statewide (legislature and executive branches both) to provide a more positive climate for the eventual positive resolution of this matter, which occurred in January, 1974. (The HRSS director, upon moving over to the DES Director's office in 1974 worked to negotiate an acceptable state plan with the agency's federal VR counterparts. Vocational Rehabilitation program integrity with the DES structure of services is still in effect due to these efforts.) (See appendix for HRSS S.B. 1068 legislative reorganization recommendations.)

Aging. HRSS, at the request of the former and present Speakers, worked with constituent groups representing the "seniors" in this state toward the implementation of a more constituent-based professional aging program in the newly created State Department of Economic Security. As one example of its many activities with and on behalf of this constituent group, HRSS worked toward the creation of an annual meeting for the 14 county-based State Councils on Aging. During 1972 HRSS obtained a \$2,500 grant from the regional office of the Administration on Aging then AOA (SRS-DHEW). It drew approximately 150 participants from the fourteen councils throughout the state. For 1973, no federal monies were necessary to draw approximately four hundred participants to a second annual workshop, opened by Commissioner Fleming of AOA, SRS-DHEW.

In January of 1974, a statewide conference was again held. The subject of this session concerned legislative matters pertaining to the elderly and more specifically the senior citizens' concerns for health care vis-a-vis Medicaid legislation. The Arizona Council for Senior Citizens prepared a position statement on the elderly's health care needs with the assistance of the HRS Staff. (The DES reorganization included the first statutory mandate for services to this constituent group.)

DES and Budget Format. HRS Staff, as a sequel to the DES Policy Notebook, and at the request of the Senate President, worked with DES staff to prepare for legislative orientation to the costs and characteristics of DES programs. This was to be developed for pilot presentation to the Arizona State Senate, and particularly to those interested in appropriations' matters, in January, 1974. (This orientation did not

materialize, though the HRSS director continued to work with DES fiscal people to this end from 1974-1975.)

NIMH – State Program Development (Services' Integration). The HRSS project participated with the Department of Health, DES, and other state agencies in the establishment of Arizona as a demonstration state in "services integration" programs in Mental Health, Alcoholism, and Drug Abuse. Arizona was selected as such a pilot state and HRS Staff worked to develop the state's goals and objectives for this demonstration and criteria for evaluating its success.

Communications Disorders — Statewide Assessment of Needs and Legislative Mandate for Services. With the establishment of the Arizona Department of Economic Security (DES), the first Communication Disorders Section was mandated by the legislation within the Rehabilitation Services Bureau. Although problems of communication disorders had been dealt with for some time by Vocational Rehabilitation, no centralized staff or data storage were available to relate to this problem area. In order to gather data for use by the proposed Communication Disorders Section, a statewide survey was conducted of public and private agencies. This survey was an effort to determine the need for services and the types of services available to the population in general. As an adjunct to the availability of services, this survey attempted to measure how aware and concerned public and private agencies are about the problems of communication disorders.

Data from the surveys, jointly conducted by DES and HRS Staff, and other interviews suggests these recommendations initially:

1. Full implementation of a Communication Disorders Section. (Disputed by the VR Staff even though the hearing disordered consumers statewide had demonstrated they were equal in need to the blind.)
2. Appointment of a Communication Disorders Advisory Council. (Accomplished within 14 months after legislation was in effect.)
3. Liaison by Communication Disorders Section with agencies such as U.S. Indian Health Service and Arizona State Health Department in order to keep abreast of studies, surveys and statistics which will be necessary for projecting needs for future services.
4. Coordination of statewide program of early screening for retinitis pigmentosa among young deaf and hearing impaired.
5. Further exploration by the Communication Disorders Section of services needed by clients with these handicaps which are not readily available in the community; for example, an organization for people who are experiencing a hearing loss, a center for the deaf, mental health counseling, family counseling, etc.
6. Location of a rehabilitation counselor at Arizona School for the Deaf and Blind. (The state special education facility.)

7. Development of comprehensive, long-range plan of services for clients with communication handicaps.

### *State Interrelationships with Federal and Other Extra-Legislative Resources*

The legislative staff should be used to bring together, not only the integration or reorganization of various human resource agencies and programs through legislation, but also to evaluate inter- and intra-agency cooperation statewide and the ultimate impact of these factors on the levels of service being provided. At the discretion of the legislator, they should become the bridge between the legislator and the extralegislative world.

The in-house staff-person, acting for the legislature, should be capable of having an appreciation of federal-state concerns as well as those of the local levels within a state. The staff person should be able to relate these skills to ongoing evaluation of the administrative agencies in the human-resource area. The responsibility of Human Resources' staff is to provide legislative leadership with an appropriate perspective regarding organizational structure, programs and grants for providing services and, equally, an appreciation of the needs of state consumers of such services, the "clients."

Federal-State Communications. Various activities initiated, and reinforced by HRS Staff occurred which have strengthened the communications' channels between the Arizona Legislature and the regional and central offices of the U.S. Social & Rehabilitation Service (DHEW) and the U.S. Department of Labor (DOL). These activities were:

1. Research and comments on the health reorganization legislation as to its compliance with federal statutes and other program considerations. (DOL & DHEW)
2. The regional and central office Medical Services Administration response and assistance to developing Medicaid legislation in Arizona. (DHEW)
3. The establishment of liaison channels between the DHEW's regional director's office and the legislature on other human resources' problems. (DES and DHS matters).
4. The development of continuing relationships between the regional SRS offices and HRSS for the Arizona Legislature on human resources' program matters. (Vocational Rehabilitation, Developmental Disabilities, Medicaid, Aging, Social Services, and so forth.)
5. The involvement of HRSS and the legislature in the development of the DHEW regional directors' (RD) priority planning project in November of 1972. This led to the establishment of direct

experimental communication channels between the DHEW Regional Director and the offices of President and Speaker of the Arizona Legislature.

6. The convening of the Federal Regional Council in Phoenix of all major federal departments in November, 1973, with the legislative leadership, legislators and other staff.

These activities provided stronger relationships in human services' programming between the Arizona Legislature and the regional and central DHEW offices. The impact of the HRSS project has occurred in two "services' integration" projects for streamlining service delivery and opening up more timely discussions on federal-state programs and the potential of the federal government as a resource for state program development: SITO project, Arizona Department of Economic Security, and the Mental Health, Drug Abuse and Alcoholism project of the Arizona Department of Health Services.

Federal Fund Cutbacks and Impact on State Categorical Programs. The HRSS project collected data on federal program cutbacks (Health and Welfare) during this period and their potential financial impact on Arizona. The intent of developing these data summaries was to assist the legislature in preparing, for purposes of advance warning, an orderly transition to state and local funding wherever necessary. The impact of this effort has not, as yet, been measurable.

Representative Sam A. McConnell — HIBAC. Representative Sam A. McConnell, Chairman of the House Health and Welfare Committee and Vice Chairman of Appropriations — the HRSS monitor . . . also serves as a member of the Health Insurance Benefits Advisory Council — Medicaid and Medicare . . . (HIBAC) at the national level. The interchange of information between Representative McConnell and the HRSS project has proven uniquely beneficial in the preparation of background research and legislation pertaining to Medicaid, Medicare and other related health matters. (Representative McConnell was the primary HRSS project monitor for the House of Representatives since HRSS's beginnings.)

### *Legislative Relationships with Federal and National Resources (HRSS)*

As the Human Resources Services Staffing began to carry out their responsibilities under the direction of the leadership of the House and Senate, they also worked with congressional delegations to clarify programmatic and administrative information; dealt with the federal regional office (DHEW) in attempting to interpret the relationship of proposed state laws to federal laws and guidelines; proceeded to provide monitoring and evaluation assistance for programs and appropriations legislatively implemented in the human-resources' area.

HRSS and Constituent Relationships. At the local level the legislature charged the Human Resources' Staff to work with client-based public interest groups and

private voluntary agencies as both expressed concerns for human services. The HRS Staff's responsibility was to assist such constituent and agency groups in their appearance before the legislature, in hearings and regarding their preparation for such legislative contacts. Through developing their skills, these constituent groups became more effective in communicating their desires and needs to the legislature.

It is clear that state agencies, such as the Community Mental Health Centers' Association, the State's Senior Citizens' Advisory Committees, and various other organizations have not been very effective in the past in providing a unified voice nor in assisting the legislature in setting priorities which were well enough defined so that the legislature could realistically respond. This assignment simultaneously placed the Human Resources' Staff in a position of interpreting legislative needs to agencies and also the agencies' and other organizations' needs to the legislature.

Federal Administrative Agencies and the State Legislature. Historically, federal agencies have never dealt continuously with state legislatures but more traditionally worked with their counterparts in the executive branch of government and in the governor's office. When the Human Resources' project was first initiated, there was great intrepidation that the potential nature of the staffing demonstration would upset the traditional balance between the governor and his administrative state agencies and the federal regional office in San Francisco. Because of these fears, the Human Resources' Staff encouraged the development of a channel of communication between the Federal Regional Office of the Department of Health, Education and Welfare (DHEW), the Department of Labor (DOL) and the Legislature.

Such a working relationship was initiated through two meetings with regional federal officials and the legislature. The first meeting concerned the need to establish an effective, coordinated team approach to technical assistance by DHEW and DOL staffs to guide the development of the newly reorganized Department of Economic Security. The Speaker in 1972, the HRSS director and the Governor's representative traveled to San Francisco for this purpose, establishing useful guidelines for technical assistance between these two agencies which continue into the present.

The second meeting also occurred in San Francisco. The outgoing Speaker of the House, the Speaker elect and a personal representative of the President of the Senate went to San Francisco and, in a one-day conference, met with various DHEW Social and Rehabilitation Service personnel to discuss their concerns and objectives pertaining to the creation of an effective relationship between the federal and state governments (both legislative and executive branches). One procedural objective was to encourage a quick turnaround time for information requests from the State Legislature. A second concern was to coordinate the marshaling of federal technical assistance to the State Legislature or to a state agency in as coordinated and integrated a manner as possible upon request. Another request was for technical assistance on certain key issues such as Medicaid research, problems relating to the reorganization of the Department of Health Services as to whether the federal government could provide management reorganizational assistance as well as programmatic technical assistance.

From this second meeting the Federal Regional Council, under the chairmanship of Mr. Fernando De Baca, then Regional Director for DHEW, began to strengthen the liaison between the Arizona Legislature and his office. He has been very effective in working toward affording technical assistance necessary for the State Legislature to pass quality legislation and to understand federal health, education and welfare programs from its own point of view.

In November, 1973, the Federal Regional Council under Regional Director De Baca, held its quarterly conference with all of the other federal departments in Phoenix, Arizona and, at that time, the legislative leadership and legislators were invited to attend to voice their concerns and interests. The crystallization and development of this channel of communication is now formally in operation. In addition, Mr. De Baca established direct communication with the Speaker's and President's offices at the request of HRSS. This meant that these offices would be entitled to all the information traditionally made available only to the Governor's office, his state agencies, and the Arizona Congressional delegation.

The Congress and the State Legislature. Another procedure which has been developed has been the Arizona legislative staff's working relationships with the committee and personal staffs of Congressmen. More specifically there have been two issues: (1) working an amendment re Medicaid introduced into the Senate Finance Committee to lessen the impact of health services to the American Indian upon the state (for which they were already entitled when living on the reservation). (2) Arizona's compliance problems concerning federal law and agency policy in Vocational Rehabilitation (see section on Reorganization).

A short history of the involvement of the congressional level on the Indian Medicaid amendment can be cited as an example. HRS Staff was sent to Washington to discuss with various federal officials the Medicaid program and its implications to American Indians, children, and the medically indigent. The Arizona Legislature was concerned about basic health care programs, as they might impact upon the state's administrative agencies.

Subsequent to these discussions, several constructive ideas evolved and were approved by the leadership of the legislature. An amendment to Title XIX, the Social Security Act which Senator Fannin introduced into HR 3153 in September-October of 1973, was passed by the Senate, but died in a joint conference committee with other amended changes. The HRS Staff involvement had been continuous on this amendment and interrelationships were developed between the Senator's staff in Washington, D.C. and the Arizona legislative staff. As a result of these interrelationships, the legislature was kept abreast of its input into federal legislation which if ultimately passed could have a profound effect upon Arizona Medicaid program and its cost to the state and counties. (This problem is still unresolved as the legislature moves it into its third session.)

HRSS and State Administrative Agencies. Another developing relationship, which had been charged to the Human Resources' Staff, was to work with the State

Administrative Agencies, more particularly the Department of Economic Security and the Department of Health Services, in evaluating their budget requests. This was to be not so much from a financial or budgetary point of view, but rather on a programmatic basis. Arizona already had a finance department budget analyst who reviews the governor's budget and makes recommendations and a Joint Legislative Budget Committee staff working for the appropriations' committees of the House and Senate. Both had a large team of budget analysts who evaluated budgets primarily from a fiscal impact point of view. They review budgets, establish priorities and make recommendations as to the levels of appropriations necessary for each program within each agency.

The Human Resources' Staff, however, approached their responsibilities from a point of view that program validity is the basic denominator. Questions had been asked about the value of each program and what it was expected to accomplish. It is the opinion of HRSS that appropriations should be geared to a program audit, rather than to allocate resources as determined by the size of revenues and the competitive requests for expenditures of scarce dollars by other programs and agencies. From a program auditing point of view, in effect, we are really talking about zero-base budgeting in the long run for justification of the program on programmatic, philosophical and operational productivity data. Productivity, working goals and objectives should be justified if at all possible before funds are recommended to be increased or decreased.

In the process of carrying out its responsibility for substantive committees, such as the Health and Welfare Committee, and Appropriations Committees, the staff were requested on various occasions (see Chapter II) to evaluate programs. One program where the Human Resources' Staff had been developing new approaches to service delivery was in the area of correctional rehabilitation and ultimately in the whole area of corrections. There emanated, as a result, for example, legislation to create a new school district which would encompass all the correctional institutions in the state. A second developmental program was to provide work for the creation of the local alcohol reception centers (LARC) and other appropriate facilities to handle the "decriminalized alcoholic."

Impact of Federal Fund Reductions. The legislative staff were also directed by the legislature to review President Nixon's message and the budget request from the U.S. Office of Management-Budget to attempt to indicate the impact of federal-budget policy on a variety of programs. Up until this time, states were continuously caught by the crisis of fund reductions in various programmatic areas. This was so not only as they affected government within the state and counties, but also as they affected voluntary agencies which, with the reduction of funds, alternately had to turn to the state for assistance in meeting their budgetary requirements. The staff attempted to catalogue those areas where funds would be reduced and to interpret these potential changes in terms of the amount of dollars, personnel and programs potentially lost to the state which would necessitate the State Legislature

making a rational decision as to which programs to continue, increase support for, or eliminate.

Until the relationships are formulated and adequate channels of communication with the federal government, state and local officials, are developed, it is almost impossible to gather this kind of information. Even with the channels of communication open, there still remains a nebulous understanding of exactly how each federal administrative agency is going to be cut in its future budget requests by the Congress or by the President. It is, thus, absolutely necessary for the State Legislature to have an advance warning system and the necessary information which will indicate the potential impact of such national budgets on the state by state legislative appropriations' time.

A good illustration concerns the takeover by the federal government of the Supplemental Security Income program for the aged, blind and disabled. The inability of the legislature to respond appropriately in the first session, even though the program was announced and the time-frames were set, was due to the inadequacy of valid, federal information as to what the impact would be upon Arizona. Consequently, the state did not respond until the interim, between sessions, in October and November, 1973, to make a decision to continue to support programs which had previously been funded through state-federal cooperation.

Thus, response to a crisis on a short-time basis makes it difficult for the legislative process to function in an intelligent fashion. Staff should be available to a legislature who can research the federal laws and their intent, their implementation guidelines and procedures, their authorization levels and administration appropriation's requests, and what impact these have on programs and state legislative responsibility. Since there is a continual change in direction in funding patterns and much incessant battling between Congress and the Administration, it would be wise to afford the legislature the kinds of information they require to make the best rational legislative decisions possible.

Such capacity-building is primarily dependent upon the availability of well-trained professional staff in the human resources' area. This is the thesis of Human Resources Services Staffing (HRSS) demonstration with the Arizona Legislature.

## CHAPTER VII

### **HRSS Conclusions Concerning Information Generation and Use Patterns in State Legislative Decisionmaking**

The following observations, conclusions and suggestions have resulted both from the HRSS demonstration staffing project within the Arizona State Legislature and the three-state comparative study conducted by HRSS of legislative committee legislator-staff information exchange. The "sample" of four legislatures\* (Arizona plus the states surveyed), which were the basis for these conclusions, certainly is not intended to suggest a cross-sectional "representation" of legislatures nationally regarding committee and leadership staffing patterns. These conclusions are indicative, however, of the apparent unique and maximized capacity of legislatures to carry on business when they become willing to make commitments to internally controlled staff resources, such as those described in this monograph.

The subject matter focussed upon by the HRSS demonstration is social or "human services". (This includes: vocational rehabilitation, public assistance, social services, manpower or employment services, health services, mental retardation and so forth). This point of view predicates different styles of committee and leadership staffing than would usually be necessary to support other subject matter dominated by legislative standing committees.

Human services policymaking, for example, mandates a more activist form of legislative research. Much dependency by legislators rests upon the data base of information they or their staff can derive from the operating executive state and federal agencies and Congress (re federal laws). The nature of this data determines the course and sets the parameters for action of state legislative decisionmaking. Human services problem definition, resolution, and accountability are all subject to the many biases and perspectives of resource people from outside the legislative sphere of activity and control. Yet, the legislature's relationship to these kinds of resource people delimits and thus establishes their actual impact on the capability of a state to deliver such services that will reduce welfare dependency, alleviate poverty and handicapping conditions, and guarantee the employment of the able bodied and the handicapped.

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\*The legislatures surveyed must remain anonymous per agreement with their leadership.

There must, consequently, be achieved an ultimate balance between state legislative intent and guidelines and federal national policies in the specialized area described as human services. Bolstering the state legislative capacity for "holding its own" in this unique area in competition with other branches of government through accountability, monitoring and oversight activities is not usually required of either legislators or staff in most other legislative areas of interest. As a consequence, the nature of staffing here and elsewhere must complement and be guided by the particular nature of the subject matter under scrutiny by the policymakers.

These conclusions are limited generalizations to other legislative settings as acknowledged. The following examples still represent conclusions which suggest a national trend in the potential of certain kinds of staffing patterns for improving the quality of legislative problemsolving and decisionmaking. Improvements in policymaking and the application of scientific and professional staff to this process will not be forthcoming until legislative leaders are willing to confront such capacity-building issues frankly and forthrightly (i.e., as have the two highly sophisticated legislatures surveyed in this monograph). Two very different kinds of committee staffing patterns emanated from the one full-time and the other part-time type of legislative arrangements.

It is sound to assume that making such drastic changes to their staff support requirements as each legislature carried out may appear to the public and other legislatures as excessively expensive and mere self-aggrandizement. To those associated with the complex, technological decisions currently confronting state legislatures, capacity-building through staffing is simply a matter of "biting the bullet." The complex nature of the majority of community, state and national issues which confront the contemporary state legislature directly affect each one's attempt to effectively consider their responsibilities to their citizenry to make appropriate legislative responses. Many require specialized, technically oriented expertise far beyond the capabilities of most legislative bodies. Self-imposed and constitutionally-imposed time and spending limits have restricted hiring of professional staff which will afford them the necessary expertise and experience required to resolve many of the issues confronting them in making effective human services policy decisions.

The state legislature is, by supposition, most likely to be sensitive to its citizen's needs, if for no other reason than its proximity to a state's problems. If the point of

view expressed in this monograph concerning the need for staff is justifiable, then it should become easier for a state legislature to rationalize the development of such inhouse controlled staff expertise.

The following conclusions of HRSS, in overview, will hopefully assist legislative leadership and human services resource specialists to reassess the need for and potential value and importance of scientific and professionally educated and experienced staff. Are legislatures justified to use such expertise via these kinds of specialists to maximize their capacity to meet their own objectives and goals more effectively and efficiently? Or will staff continue to be considered, in fact, as mere windowdressing and unnecessary self-aggrandizement?

**For The Legislator:  
Observed Problems and Conclusions**

Observation: The nature of a state legislature does not typically provide the continuity essential to the solution of longrange and stubborn human services (hs) issues like welfare, high unemployment, indigent health care needs.

Problem:

\*Most legislatures are part-time and evidence much turnover in membership from election-to-election . . . thus they have difficulty in sustaining longterm interest in human service issues: "The problems outlast the policymakers."

\*There is little political payoff in public interest for legislators to tackle such negatively portrayed and nonresponsive issues as welfare.

\*Legislative procedures tend to fragment the potential integrated problemsolving process necessary to the solution of longterm and wideranging human service problems:

\* There seems to be little continuity between the substantive committees (e.g., Health & Welfare) and the Appropriations committees (though membership may, by chance, overlap) . . . but human service problems require, for their understanding and solution, longterm commitments in program monies and continuity of legislative oversight interest.

\* Staff, when and if they are available to the substantive committees, often do not have or think they have jurisdictional freedom to interact and exchange ideas with their equals in the appropriations process.

\* Legislatures rarely have the staff capacity to compete with executive state agency resources and/or their federal counterparts in producing the baseline kinds of program and "production" information (re, standards) essential to legislative decisionmaking.

--Legislatures are unwilling to make the necessary financial commitment to such capacity-building resources of their own.

--Legislatures often fail to recognize the complexity of issues they confront and, thus, do not consider it necessary or appropriate to formally mobilize staff information gathering efforts to provide better options for the legislation they pass.

HRSS Conclusions: Legislative leaders need to re-evaluate the role of scientific and professional staff utilization specifically within the legislative standing committees and at the leadership levels. They should:

--Position legislative staff in a more appropriate manner in which they can be used to most efficiently complement committee work on complex and specialized technical issues.

--Reassess the manner in which staff are actually utilized by committee chairmen to whom they are assigned. Recruit for effective "chemistry" in the chairman-staff relationship. Recognize that the chairman-staff relationship must allow for creative and individualized initiative and development and that adequate staff supervision is essential to their growth. Recruit staff appropriately for the skills and training essential to the particular committee tasks they are assigned. Prepare the legislative leadership to maintain control and monitoring of the quality of technical information exchange.

Stress should be placed on the implications of one legislative staff member's comments on what occurs in positioning staff effectively or ineffectively in the legislative process:

The Central Research staff group where I have worked, has a great talent for remoteness from the functions of the committees and therefore certain kinds of irrelevance to the kinds of questions and the kinds of response they can give to questions that are asked by legislators. I think the problem is they don't have any connection with most of the members. When I was there I had no actual working relationship with any of the members of the legislature except one or two . . . I had those relationships before I went to work there . . .

The people who work in this central research office were in some respect assigned to a committee in connection with their work. Maybe that's not 100% of their responsibility; but they tried a program like that a year ago . . . six or eight of us were assigned to committees. I am an attorney and was assigned the Criminal Justice Committee. That was a much more valuable experience than anything I had in the whole time I worked here and it led to my wanting to work in a committee and move over to one permanently. I just think there's no question we need that kind of connection . . .

Now the people who are really effective in the central research office right now are the people who, for one reason or another because of personality or because of where they worked before, had some sort of ongoing relationship either with the Speaker or his staff or with other legislators. (Legislature B, Staff, paraphrased from HRSS Comparative Survey.)

This example, of course, stresses the importance of positioning scientific and technical staff legislatively where the climate for information exchange is most favorable to its eventual utilization.

Observation: Legislative technical information needs do not differ from those of policymakers in large organizations (corporate, industrial or otherwise).

Problem:

\*Legislators are confronted and overwhelmed by many special interest resources and advisors from outside the legislature. These sources compete with inhouse legislative staff in their development as an information resource to the legislature.

\*Information from extralegislative resources often confuse the legislator as to the critical qualities and priorities of the problems he encounters.

HRSS Conclusions: HRSS results directly parallel and confirm those of the recent National Science Foundation financed study and evaluation of legislative staff support by the National Conference of State Legislatures (NCSL, 1975) and the conclusions of Irwin Feller (1975) and his colleagues' policy study under the auspices of Pennsylvania State University's Center for the Study of Science Policy, Institute for Research on Human Resources --

The type of scientific input needed at the legislative level parallels that of a top-level decisionmaker in any large corporation. A state policymaker has no need of detailed scientific information, but needs to be aware of the technological aspects of a given policy issue, and the degree of impact that technology would have on the implementation of a state program. Due to time constraints which prevent a legislature from becoming acquainted with specialized terminologies, any professional staff mechanism must also serve as interpreter or translator.

Input needs to be provided to the politician that sets the boundary conditions within which he as the policymaker can intelligently determine his own course of action (Helminski, NCSL, 1975:3-4).

From within and outside state government the legislator, therefore, receives an abundance of information, more, in fact,

than he really needs. The quantity of information and the numerous conflicting sources serve to compound the legislator's problem of obtaining the necessary factual information needed to formulate policy. Information is only as good as the recipient is capable of understanding and evaluating it. If one does not have this capacity, information is next to useless. In order to utilize the input they receive, legislators need to have at their disposal a resource to synthesize, evaluate, and interpret the complex data presented to them (Helminski, NCSL, 1975:5).

Legislators not only want more information; they want more "objective" information. In particular, many expressed the desire to free themselves from what they deemed an overdependence on lobbyists necessitated by the absence of other sources of information. As one leader told us, "I know that sometimes we just don't get the full story from lobbyists, even though we try to balance them off against each other . . . I know we can't afford a New York or California system, but we need much more help than we have now" (Feller, et al 1975:13).

Observation: Legislators will, in reality, not use just any information made available from just any source to make policy.

Problem:

\*Legislators generally do not view the information they may require re human services' problems any differently than they do any other areas of concern.

— They themselves are generalists and prefer to obtain information from other generalists as well . . . so it seems.

— (Legislators) desire access to scientific or technological expertise, but unfortunately, in their eyes, it must come ultimately from experts. Although they seek information, many legislators expressed considerable doubt that the "experts" are

truly objective. From experience, legislators are accustomed to seeing "experts" disagree on the technical aspects of issues. They are wary of the introduction of normative judgments into an incomprehensible (to them) presentation of the technical complexities of controversial issues. Many believe that when the expert testimony is completed, they will be no better off than before if the experts are trying to give them unequivocally "correct" answers. The lawmakers must still take public stances in an environment of contending positions (Feller, et al, 1975:14).

**\*Legislators do not listen to just anyone who offers them advice:**

— . . . the decisionmaker must look to someone he can trust, not in the sense of necessarily having superior technical judgment to anyone else, but in the sense of someone he can trust to shrewdly perceive the problem from the decisionmaker's point of view, and to sum up the relevance of the technical arguments from that point of view (Feller, et al, 1975:15).

HRSS Conclusions: Legislative leaders can select for themselves and their standing committee chairmen trained and experienced scientific and professional staff who evidence a particular orientation suitable for work in the legislative process. These kinds of staff can learn how to provide their legislators with technical information in an understandable format which will assist them in solving or modifying the impact of complex social issues. (The kinds of staff traits and training most appropriate to these kinds of objectives have been discussed in previous chapters of this monograph.)

HRSS results, however, have indicated that legislative committee kinds of staff, in general, must become "interpreters" of information generated and statistically or otherwise manipulated by others. For example, they do not have the time or assistance available to generate such a "data base" themselves. As interpreters, of course, they are subject to the kinds of limitations which are inherent to most generalists. When they are required to obtain detailed, specialized kinds of qualifying information for their committees, they must be willing and experienced in how to find and utilize relevant resource specialists. Many distinctively similar kinds of staffing responsibilities are typical to the generalist legislative staff role and become apparent as each legislator-supervisor learns how to make the most effective utilization of their talents.

## **For the Agency Administrator and Program Specialist Observed Problems and Conclusions**

**Observation:** Legislators have specific kinds of policy-determined information needs about human service programs.

**Problem:**

\*Whether in appropriations or substantive program areas, legislators are rarely afforded appropriate information from agency resources. It is usually quality-oriented, not indicating program objectives, performance standards, and products in terms of services rendered to clients and their impact on a client's work potential, benefits on savings to the taxpayer and so forth.

\*Agency administrators do not take or are prevented from taking a direct role in "educating" legislators regarding their specialty areas.

\*The legislative process does not encourage the development by non-legislative resource people of a programmatic-basis of understanding for legislators in their problemsolving.

\*Agency program specialists tend to solve their problems autonomously, including setting priorities as to what kinds of people should and will receive "their" services. There is little evidence to suggest their attempt to consult with legislators, the public and others. Naturally, this approach can be offensive to public policymakers.

**HRSS Conclusions:**

Agency administrators should familiarize themselves with the procedural details of their state legislature, and, particularly, distinguish between the appropriations and other kinds of standing committees. When and if legislative staff are available to the legislature, cultivate their and the legislators interest in programmatic human services problems.

This approach would be particularly useful prior to the actual sessions when legislators are more willing to delve into the intricacies of agency business and problems.

(An effective guide to working with state legislators, which has been adequately reinforced by HRSS results, is the commentary on this subject in the appendices by Arthur Bolton of Sacramento, California. He has established a personal record of very successful legislative research and has developed effective staffing patterns to support this activity for Speaker Jesse Unruh in the California Assembly. It was the California Assembly which initiated and pioneered in the creation of staffing expertise. Arthur Bolton has continued as a private consultant in human services problemsolving.)

Hulshoff (1972), in his national study of chief administrators of state Vocational Rehabilitation agencies, found that they very definitely wanted to establish closer working relationships with their state legislatures. The implications of the study are:

The rehabilitation agency director believes he needs to increase the time he spends establishing a liaison with the legislatures. There appears to be a need to establish better relationships for the purpose of more positively effecting those policymakers who determine the extent of the states rehabilitation programs and the level at which services are provided (Hulshoff, 1972:115).

The study also indicated that:

These same directors . . . preferred to spend their time in: (1) policy planning, (2) program budgeting and planning, (3) public relations (Hulshoff, 1972:111).

The conclusions HRSS reached, as a result of experience with state legislatures, was that the desire by state agency administrators to work with legislators and their staff is indeed perceived as a significant need by them. Agency administrators can become an important resource for the legislature in making effective decisions about complicated human services programs. But, access to legislators and their staff, when agency administrators are in competition, timewise, with other equally important information resource specialists, for example, lobbyists, has proven a serious, but not unconquerable, barrier to such information exchange.

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## **APPENDICES**

- Bolton – Administrators – present their case
- Cherney – Social Services
- DES – Overview –VR (Policy Notebook)
- SB 1068  
HRSS proposed amendment  
(formation of Department of  
Economic Security)

**“Administrators Present Their Cases: Fact or Fancy”**

**Remarks**

**by**

**Arthur Bolton  
Arthur Bolton Associates  
Sacramento, California**

**For**

**The Administrator and Legislator in  
Partnership for the Reduction of Dependency**

**An Institute  
Co-sponsored by**

**COMMUNITY AND STATE RESOURCES  
FOR VOCATIONAL REHABILITATION  
A NATIONAL DEMONSTRATION**

**Rehabilitation Center  
College of Education  
University of Arizona**

**and**

**COUNCIL OF STATE ADMINISTRATORS  
VOCATIONAL REHABILITATION**

**May 22, 1971  
Tucson, Arizona**

The approach to the legislator/administrator relationship issue, that I am taking is to translate the principles of effective casework practice, in which most of you have been trained, into the legislative arena. I think it is possible to do this because you are dealing with the same kind of general issue; that is, you are trying to promote change. You are acting as a change agent trying to change behavior. You are trying to persuade legislators to do something that you think necessary. You are working with this new group of "clients," 100 or 200 legislators.

One of the things that often amazed me when I was working with the legislature was to see accomplished practitioners, really skillful change agents come before a legislative committee and show no evidence that they were aware of all the tools of their trade. These people who had spent 20 or 30 years working effectively with clients and who had then moved up the ranks to become supervisors and administrators, did not use the techniques that had proved useful in working with clients.

I am going to try to transfer some of the axioms of casework to the legislative arena. I have listed a dozen axioms of effective casework practice. These axioms are: Start where the client is; communication is a critical tool in relating effectively to a client; involve a client in the process of change; get the facts; do an adequate diagnosis; face the client with honesty; select the right actions at the right time; mobilize all the existing resources to accomplish the objective; take a systematic, total approach, deal with the whole person, not just with a symptom; in helping a client change, utilize your relation with him; you cannot deal with a client solely on the basis of fact and information, you have got to use feelings; understand how to deal with conflict and how to use it; understand that there have to be payoffs and rewards and that there are also punishments, that's reality.

These useful axioms are probably very familiar. Let us see how they can be applied in effective legislative lobbying.

(1) First of all, start where the client is. When you approach a legislator do not assume that he has objectives like yours. You have to think about where he is, what he is thinking, and what he wants. The best way to find out is to ask. Now that is different from going in before a legislative body and saying, "Here is what I want." Find out what he thinks about the issue and that tells you something about how to approach him. What is in it for him if he gives you what you want? What are his motivations? Does he want to save money? Is that what he is interested in? If that is the thing that concerns him, then you are going to gear your presentation to him around the potential cost saving in taking this or that action. In the Vocational Rehabilitation field it is relatively easy to make a case for long term cost benefit. Is he interested in looking humane before his constituents? Is this an opportunity to take a positive action in a human service field? Then, you play to that. Does he want to look tough? If that is what is important to him, then you try to give him this opportunity. Does he want to make a big name for himself? Is he very, very ambitious? Fine, that is good. A man who really wants to go someplace is the best kind of legislator to work

for because you can help him get there. You can help him make a name for himself as a helper of the handicapped. That is a great political asset. So, if that is his objective then you play to that. In other words, you "tie in" to his motivations and try to help him understand that there is a payoff for him.

(2) Second, communications is a critical tool. Make your point. Talk and write plainly. Avoid professional jargon. Do not get up before a legislative committee and talk about a "therapeutic setting," or "We are trying to form meaningful relationships" (as opposed to meaningless ones). Speak English. Professional jargon is not particularly helpful even in the professional arena. It is a good way to turn legislators off.

Effective communications is important not only in form but in content. Do not tell legislators all about your process. They do not want to know all of the intricacies of your process. That is your professional business. You are not going to teach it to them, and they are not interested in learning about it. Tell them about the results. That is what they want to know and that is what you so rarely do. Tell them what they got for the money they invested in the program, and tell them what they will get in the future. Be realistic and truthful. Relate cost to results. That is what really makes an impact.

Communication is a two-way street. You do not do all the talking. An effective caseworker does more listening than talking. Ask a legislator questions. Ask what he thinks of a problem. Also, as far as communication is concerned, do not fight over words. That is not important. You are there to win the war and not the battle over language, so wherever possible accommodate to someone else's terminology.

(3) A third axiom in working with the client is the concept of involving the client. You do not work with a client around your objectives. You try to involve the client in mutually determining what the objectives are. This is particularly important when you are designing a major piece of legislation. Get the legislator and legislative staffs on board early. Do not come in to them three or four months after the legislative session has been in operation and give them a 75 page bill that has been worked up in your department. If it is a big, formidable bill, their general reaction is to be nervous. What is buried in there? They have not been involved. You would not work with a client in that way. Well, I think you have to work with a legislator if you expect him to change. In working with him, you have to involve him in the process of developing the legislative proposals. In working with him, you have to solicit his inputs and you have to keep as loose as you can as long as you can, particularly when there are conflict situations, or potential conflict situations. You want to avoid polarizing opposition early in the game. Part of your job is to be an effective negotiator.

(4) A fourth element in effective work with clients is getting the facts. This is important in working with the legislative client too; so be prepared. One of the big weaknesses of many administrators is that they do not know how to react when

someone asks a question they are not prepared for. Try to have as much information with you as you can. If you don't know something just say, "This is something we do not know." If it is an unimportant question tell them that if you did know the answer, it would not change anything. And if it is an important question tell them, "We do not know. We are sorry we do not know. We will be back tomorrow with information, if we can."

As far as the facts are concerned, you often have a mountain of facts, but not facts related to the critical things legislators want to know; and that is results. If you are armed with good facts about the results of your program that is the most important information you can have, but very often that is where you are weaker.

Having the facts also means having the facts about your weaknesses. You know pretty well where your weaknesses are, and you are worried about that all year long. One of the most powerful presentations you can make before a legislative committee is to say, "Gentlemen, we have some bad news to report. Two years ago we came before you to ask for funds to test out a new approach. Well, we have done that and we have looked at it carefully and I am sorry to report that what we thought to be a good idea two years ago has turned out to be a poor idea. It is not working out well. So, what we want today is the authorization to terminate that program, and we would like to be able to move those monies to a new effort which we think will be more productive." Now that is pretty convincing.

Also, focus on the anticipated problem areas when gathering facts. Do not spend a lot of time and money gathering all kinds of data which do not relate to the kinds of controversial questions that you anticipate. When you have a legislation to introduce, do not ever be in the position that permits some member of the committee to say, "Well, this is a very important piece of legislation, but it is so important that obviously it needs more study so we are going to put it over into the interim." In some states, the legislature only meets once every other year. Think of waiting two years until you have another crack at it. Now, if you have a big investment in a particular piece of legislation, do not ever let anyone say it needs more study. Come in prepared with the authoritative study. Have it in hand.

(5) The fifth axiom that is useful in working with clients is the concept of facing the client with honesty. Let him see what the options are, what the alternatives are, so that he then can make the right decision, which is his responsibility. The same goes for working effectively with legislators. You do not argue with them. Wherever possible show them the implications of some alternative courses of action. Recognize that they are the ones who are going to have to take the action. Face them with honest information from which they will make the decision and let them make the mistakes. Be in a position to point out why what they did led to some disaster. Let them see the implications of their choice. Let them feel the results.

(6) The sixth useful axiom is selecting the right actions at the right time. You do not suggest to a client that he take certain steps he is not ready to take. Also, you

do not go before the legislature when the time is bad. Timing is very important. You have got to be reading the papers at all times and determining what the climate is. Secondly, you do not go before the legislature and propose an action which you are not prepared to carry out. Be sure that if they do take the action which you want, that you are going to follow through; that you have got the resources, the technology and the manpower to get the job done, so that you are not in the position of making false promises. If they give you something you are asking for but cannot produce, and you come back and say it really wasn't your fault because we couldn't get the manpower, they have a perfect right to say, "Why didn't you tell us in the beginning that you were not ready for this?" One of the ways to prove your reliability is by following through, by giving them good results.

(7) Seventh point - I have heard you talk about mobilizing your forces, but I have seen administrators go before the legislature and make a feeble presentation. Obviously, they have not done a good job in mobilizing their resources. You have tremendous resources at your disposal. You have your own program and the public relations that your program has generated over the years. You have your staff. They ought to be involved in the legislative process. You have your clients, you ought to use them. Your satisfied clients can communicate with legislators. There are organized citizen's groups. A useful technique is working effectively with the organized citizens groups. Spend time developing good relationships with people in the citizens groups, working with them the same way you would legislators. Involve them in the process of developing legislation. Educate them. You also have going for you, in addition to citizens groups, money arguments, arguments about people, and humanitarian arguments. You can also utilize the press and you can utilize other lobbyists.

(8) The eighth axiom, when you work with a client, is dealing with the whole person and taking a systematic approach. Program administrators often fail to take a systematic approach. They talk about a specific item they want. They do not relate their program to the programs of other agencies. Remember, when you are dealing with the legislature, you are not asking them to fund your agency. You are asking them to fund a solution to a problem. That is the approach that ought to be taken if you hope to be effective. If they fail to give you the funds you want, it is not that they fail to fund a vocational rehabilitation agency. It is that they fail to fund certain programs for the mentally retarded and the blind and the physically handicapped. You are not selling your agency. You are selling a solution to a problem that they have a concern about. Let them see the whole problem and how your request relates to it.

(9) The ninth axiom is using relationships. You all know you cannot do an effective job working with clients if they do not trust you or believe in you. Well, what makes you believe that you can have an effective relationship with legislators if you are not relating to them properly? That means working with them during the interim period, which is particularly important in those states where the legislature meets a

couple of months every other year. Build a relationship during this interim period. Find out what the legislators interests are. Bring him to some of your programs, particularly those in his own district, so he understands what you are talking about. Help him with problems he might have with some of his constituents who are handicapped. Develop a relationship and protect it. Do not antagonize the legislator because he does not give you what you wanted on that particular item today, it may jeopardize your relationship with him for the next ten years.

In working with legislators always be honest and, again let me stress, that means being frank about failure.

(10) A tenth axiom that is always useful in working with clients is the concept of using feelings and not just ideas. Facts are not enough. Understand that the legislator is motivated by feelings also. You can play on those feelings. Perhaps he has a difficult election coming up and is afraid to act on your bill one way or another, because it might antagonize someone. Understand that, work with it. He may have guilt about a negative action he took in the human services field yesterday on somebody elses bill and the timing may be perfect to get approval on your bill, since he is a little nervous about the outcome of the action he took yesterday. He has pride and wants his state to look good. He has compassion, so if you state your program in human terms he is going to feel it.

(11) Another thing that we talk about in working with a client is the importance of understanding conflict and using conflict intelligently. When you work with a client you very often are working with conflict. In the legislative arena there is a lot of conflict. You have to try to predict the outcome and you have to be prepared to compromise. You have to know how to trade. Trading is critical. You know, when you come in with a bill that is important, that there is going to be some group opposing that bill. In this situation you had better have your battle plan. You may want to think about building into that bill some trading items. If you are afraid that some of the things in your bill will draw the opposition of a certain group, you may want to consider toughening up those items, so that they will really be opposed, and then be prepared to back off to your original position. Give them something of what they want so they can save face; so they can feel that they had some impact on the process. You think ahead in dealing with a client. You know at what point you are going to get resistance. Well, you know at what point you are going to get resistance on a piece of legislation. Prepare for it. Whenever possible use the opposition. The fact that somebody opposes your bill may be good. It may be the best thing that could happen. Opposition is not necessarily bad. Conflict is not necessarily bad. Learn how to use opposition. If a powerful group comes in and opposes your bill, find out how the legislators feel about that powerful group. In fact, opposition to your bill may be the best thing you have going for you.

Understand and use political conflict. You are in a highly political situation. You are the representative of the state agency which is under the jurisdiction of the

governor. He does not want to be embarrassed by anything that one of his state agencies might do, because that will reflect on his capabilities as an administrator. "Psych out" the dynamics of the situation and figure out the ways you can use it to advantage. Always keep in mind your primary loyalty is to your client. A good administrator learns to use the political conflicts to advantage wherever possible in order to meet his primary objectives.

(12) Finally, in working with a client there is a clear-out system of rewards and punishments. Well, the same is true in working with legislators. There are rewards and there are punishments which are both very useful. That makes lobbying easier because you have something to give and you have something to take away. What have you got to give? Well, you can help the legislator get publicity for his good deeds in this field. You can help him be the author of a very important bill for the handicapped. In doing that, you are building a white horse that he can ride to fame and glory. He cannot build that horse himself. He does not know anything about service for the handicapped. You do. He can use you and you want to be used, because you cannot ride that horse. You need somebody to ride it for you. Play the behind-the-scenes role. Keep a low profile. He is the one that gets all the fame and glory. That is what is in it for him. Those are his rewards. You get for your clients the program that they need and so everybody benefits. When a legislator sees you as a potential resource for his political objectives, then you have the basis for a very useful relationship. On the other hand, you can hurt him. He can get publicity and a reputation for neglecting the handicapped. That provides a great deal of ammunition to his opposition in the next election. He has to know and understand that. You have to convey that message to him in whatever subtle ways you can.

# **A STATE'S RESPONSIBILITY FOR SOCIAL SERVICES**

**December 1973**

**An experimental description of Social Services focused at the  
state legislative policymaker and commissioned by the  
Human Resources Services Staffing Project (HEW-SRS 12-p-55574/9),  
Arizona State Legislature for Inhouse use only.**

by

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## THE NEW ROLE OF THE STATE IN SOCIAL SERVICES

### *Leadership in Reform and Redesign*

From the experience of the Human Resources Staffing, Arizona State Legislature, it has become evident that the social service system of the nation is very much in need of redesign and reform.

State government will play a key role in reshaping the system, particularly so now that the Federal government is dismantling and decentralizing grant-in-aid programs for human services.

The objective of a reformed social service system under State leadership should be to reduce economic dependency among disadvantaged peoples.

To accomplish this, services should be goal-directed, beginning with a needy person's goals to achieve independent living and extending to the local agency's or department's goals in services delivery. Ways of measuring results must be built into social services so that accountability is established at all levels of program management, in the State agencies and in local communities.

### *Need for Problem-Solving Objectives*

Social services represent a diverse and elusive complex of methods and skills. It has produced experience to indicate, however, that encouraging the initiatives of disadvantaged people, increasing their sense of self-worth, their feeling of responsibility for themselves and others does reduce dependency. It is very difficult for social services administered on the one hand by large impersonal bureaucracies or, on the other, through narrowly-specialized voluntary agencies to achieve this level of staff skill. What is called for are some changes in the organization of social services in local communities to take on problem-solving objectives, and to become people-centered rather than agency-centered.

### *Know the People and Their Problems*

The intended recipients of these social services also represent a diverse and elusive target population. They include the disabled, the aged, the mentally ill, and the fatherless family. There are the so-called "hard core" welfare recipients who have been part of the dependency problem for several generations. There are the upward mobile who are on their way out and there are those, who because of failing health and other reverses in a productive life, are new arrivals to the poverty group.

Considering the different conditions and circumstances of the poverty population, the expectations for social services will necessarily vary. Social services to a 16 year old girl who is a third generation Aid to Dependent Children recipient can be

a means of breaking the cycle of poverty — because of social worker's ability to communicate with this girl, motivate her to stay in school, bolster her sense of self-worth, help her to avoid becoming pregnant, make her aware of the opportunities to better herself, etc. Social services to an aging person can alleviate and indefinitely postpone the onset of dependency: helping him to maintain interest in life and mobility, to get some help with housekeeping and food preparation in order to continue to live in the community rather than going into institutional care.

### *Achievable Goals for Human Services*

Practical and achievable goals begin with (1) help to those who have the potential to achieve self-support; and (2) where care is necessary to assist the individual to care for himself or to obtain it from his family; and (3) maintain care which approximates a home environment in the community; and (4) as a last resort when self, family and community resources are not adequate to meet need, to secure appropriate institutional care. If these relatively simple steps to service delivery were taken by State and local social service staff, cost-effectiveness of these programs would markedly increase and changes in individual circumstances would occur.

## **THE KINDS OF SERVICES THAT WILL REDUCE ECONOMIC NEED AND DEPENDENCY**

Following is a description of specific services, social services, which have proved effective in reducing dependency, along with a brief life illustration for each. These are presented as the ways in which recipients of public assistance can achieve self-support or where this is not possible, because of age or handicap, to improve both the cost-effectiveness of the service and the conditions of service recipients. Many of these elements of service are eligible for Federal matching.

### **CHILD DAY CARE**

Child day care is a way of protecting a child during the hours when the parent is working and unable to supervise. Children in need of such care may range from an infant or toddler to the teen-age girl who otherwise would be completely unsupervised for several hours each day. This service supplements parental functions, reinforces the parent-child relationship, and prevents personality damage to children that results from inadequate care and guidance.

The elements of service include: (1) finding and developing, approving, licensing and supervising care facilities; (2) counseling with the parent regarding the most suitable arrangements for a particular child; (3) developing a daily program of care for the child which goes beyond mere baby-sitting to insure that a child is helped to develop normally; and (4) continuing contact with the parent to help cope with

problems that might otherwise disrupt mother's employment and/or the day care plan: transportation of the child each day, provision of services to guarantee child's adjustment and normative behavior, during periods of either mother's or child's illness, family conflict, money worries, etc.

Illustration: An AFDC mother of 2 pre-school children telephones the welfare office to inquire about a housekeeper so she can return to her work as a practical nurse. The welfare office is not able to find a housekeeper, urges her to stay home and care for the children herself. After a time she writes: "I am grateful for the welfare check. We can eat three meals a day and have medical care, etc. — but, work is available that I can do. I need something more than these four rooms, day and night. My children do, too. More than anything I would like to feel I am supporting my family." Through the plan for day care, which the welfare office eventually helps her to work out, she is made happier within herself and, therefore, a better mother.

### **CHORE SERVICES FOR THE AGING AND HANDICAPPED**

The great majority of aging and handicapped persons fend very well for themselves. Only 5% of the aged, for example, apparently live in institutions, with possibly another 5% being bedridden at home. However, 4 out of 5 of the aging suffer some disability. Many of them are living alone. What is often overlooked is the importance of a little daily service, perhaps only an hour or two — to perform household tasks, essential shopping, simple repairs and other light work — by which people with failing faculties can be helped to avoid indefinitely the much more costly and less satisfying care of a nursing home.

Such service can be provided by paraprofessional members of a health-social services team, including some who are professionally trained but made up mostly by mature women, capable of good home management and a warm, friendly relationship with those needing service.

Illustration: A 75 year old woman continues to maintain a two room apartment which until recently she shared with her late husband. Although somewhat crippled in her hands by arthritis she continues to prepare some meals for herself and tries to take care of her apartment. By public transportation she gets about — to church, downtown and to a senior citizens center. At the center she enjoys association with friends and has one hot meal a day. Volunteers recruited by the Center help her with grocery shopping. A visiting housekeeper comes a few hours a week to help clean and maintain the apartment.

### **DAY CARE SERVICES FOR AGING AND HANDICAPPED**

Day care is preferred to institutional care for many impaired adults, including the dependent aging, handicapped, and mentally ill. It eases the burden upon relatives

enough to enable them to continue care, or it provides a way by which the caretaker can maintain full-time employment and still provide a home for one who cannot manage if left alone.

Day care programs range from day care centers that provide association and activity with other people, to day hospitals offering diagnostic and treatment services too complex to bring into a patient's home.

A day care center is primarily a social program for the frail, moderately handicapped or slightly confused older person who needs care during the day, either because he lives alone or to relieve his family and thereby keep him at home. A day hospital is a health program for a disabled or an ill aged person who can be treated for part of each day, rather than admission to a full time hospital.

Illustration: An 82 year old man, recently widowed goes to live temporarily with his daughter and her husband, both of whom are working. Plans for placing him in a nursing home are considered. He is forgetful and they worry about him leaving the gas on, or dropping ashes from his pipe, and setting the house on fire. But, no one likes the idea of "putting the old man in a home." Day Care in this case works out very well. His daughter drops him off at the center — one unit of a general activities program for the elderly — on the way to work each day, and picks him up on the way home at night.

### **EDUCATIONAL SERVICES TO OVERCOME SOCIAL DISADVANTAGE**

Deficiencies in knowledge and skill are the principle stumbling blocks to disadvantaged people in achieving independent living. Although the public schools attempt to interest students, to motivate them, provide the widest possible basic education, poor school achievement may run as high as 70% in low-income neighborhoods, and among recipients of public assistance. More learning takes place in the family, in the streets and among every day associates than in school. These influences reinforce educational deprivation which results in high rates of school drop-outs, juvenile delinquency, and incapability to hold gainful and lawful employment.

The ways that have proved effective in helping people break out of this cycle of failure and frustration are (1) informal parent education to create a better climate for child development; (2) youth services which stimulate interest in job preparation and job finding among teen-agers; (3) individualization of children within school to cope with the drop-out problem; (4) compensatory education, literacy training, and basic education for older youth and adults.

Most of these services exist or could be developed in communities. What is generally lacking is a focused team-approach by the schools, the welfare department, and other community agencies to put all the pieces together to overcome the educational barrier that stands in the way of many youth and adults to achieve job-readiness.

Illustration: One community, concerned about the large number of disadvantaged teen-age girls dropping out of school because of pregnancy, establishes a cooperative project between the public schools and several youth-serving agencies to provide a flexible educational program to keep these girls from dropping out. In a private agency, 40 girls, most of whom are on welfare, are given basic education, health instruction and care, and personal counseling. This results in the girls — most of whom would have become permanent drop-outs — to return to school and continue vocational preparation.

## **COOPERATIVE EMPLOYMENT SERVICES TO OVERCOME SOCIAL HANDICAP**

Over the past several years there has come into being a wide variety of job training and placement programs for disadvantaged people such as basic and remedial education, apprenticeship, skill development, and on-the-job training. The oldest and most effective of these job programs have been those that rehabilitate the physically handicapped. Recent legislation has encouraged similar efforts for those who are socially and economically disadvantaged, and mentally handicapped.

Illustration: The staff of a public welfare department of one city energetically pursues a job-finding and placement program for applicants and recipients in a special crash effort supplementing the on-going procedures of the WIN program. Several hundred recipients are assisted to obtain jobs by public welfare staff who read classified newspaper ads, make telephone calls to potential employers followed by personal solicitations to the most promising prospects, to promote job listings with the local public welfare offices.

## **FAMILY PLANNING SERVICES**

This service is aimed directly at the problem of the unplanned pregnancy resulting in an unwanted child in a disadvantaged family. There is a close interrelationship between high birth rate, economic dependency, poor maternal and child health, family instability — and the perpetuation of the cycle of poverty from one generation to the next.

Family planning services have medical, educational and social service aspects. These include medical examination, diagnosis and prescription, laboratory tests, contraceptive drugs and supplies, group and individual instruction, counseling and follow-up. Subsidized programs enable persons who are unable to afford the services of a private physician to have access to fertility control services.

For a family planning program to be effective in reducing births of unwanted children among low income, disadvantaged families there must be (1) good working relationship between health and social services, (2) an outreach approach that goes beyond just making services available, and (3) services that individualize and personalize each recipient's problems.

Illustration: In every community a high proportion of mothers receiving welfare aid (Aid to Families and Dependent Children) have never been married. The first pregnancy is likely to occur when the mother is a teen-ager. In one community a comprehensive program of case-finding, outreach, pre-natal and post-natal health care, and supportive social services produced clearly discernible results. Of the group of unwed mothers who received service, compared with others who did not receive service: (a) many more returned to school and/or obtained employment; and (b) few had additional children out-of-wedlock, while the others averaged several.

## FOSTER CARE SERVICES

### *For Children*

When a child must be removed from his own home and cannot live with relatives, foster care becomes necessary. Reasons range from health and emotional problems to abuse and abandonment. Care may be provided in a substitute family, or in an institution or group care facility. Usually the former is preferred for the younger child, and the latter for the teen-ager or for the child whose behavior is too difficult for a substitute family.

Foster care is the consequence of family breakdown. Therefore, other preventive social services — marriage and family counseling, day care, homemaker service — should be used first with foster care provided only as a last resort. When service to a separated child becomes necessary it should be seen as part of a family reinforcement system, the prime object being to accomplish the child's return to his natural family whenever desirable and feasible. When reunion of child with his own family is not ever possible, a permanent family substitute can be arranged in most cases.

Illustration: After 5 years of trying to make a go of marriage — “nothing seemed to work” — a young father of 3 children deserts. He couldn't keep a steady job — had not finished high school and had no special training. The mother had one nervous breakdown, recovered but when her husband left becomes ill again. She returns to the mental hospital. A neighbor telephones the police who notify the Juvenile Court. Neither the father nor relatives can be located. The hospital reports mother's prognosis is poor.

A child welfare agency places the children in a supervised foster home. This is one selected because the background of the foster parents, their temperament, personalities and interests provides the right home atmosphere for these particular children. The social worker spends time with the children before placement to help them with the problem of separation from their family and to prepare them for another living arrangement.

As the mother's condition improves the social worker becomes the link in communication with the children, eventually helping her with plans to restore her home with the children.

## *For Adults*

Many aged, disabled and handicapped persons are not bedridden but need help in the daily routine of living. These people, generally, prefer living with a private family in home-like surroundings and take pride in living outside institutions. Foster care tends to preserve a sense of independence in the aged and handicapped adult.

The basic service is homefinding and supervision after placement to: (a) locate suitable families, (b) interest each in making a place in their family for an aging or disabled person, and (c) match each foster home (in terms of background on interests, temperament, personality type, etc.) with a person to be provided foster care. The placement then is supported by special services as needed such as caseworkers, paraprofessional case aides, homemakers and volunteer friendly visitors. The coordinator of these services and the main source of counseling help to both the foster family and the adult-in-care is the caseworker.

Illustration: A 67 year old woman is rented an apartment in a public housing complex. Four months later neighbors report to the housing management that the woman is beginning to act strangely, talking and shouting to imaginary persons. The social worker finds that the woman calms down and is responsive when she has someone to talk to. A family living in the housing project is recruited as a foster home, receiving monthly payment to provide a room, meals, and association as one of the family. The aging woman is content and behavior becomes normal.

## **COOPERATIVE HEALTH SERVICES FOR CHILDREN AND ADULTS**

Among recipients of public assistance there is a concentration of health needs and problems. A large number are elderly. Many others have chronic disease and disability. Among the children in welfare families there is a higher rate of actual and potential disability than in the child population of the general community.

On the other hand, the health care system in most communities doesn't work very well for the elderly, disabled and disadvantaged. Physician house calls and other home health care is almost non-existent. Barriers to health care are created by a person's lack of knowledge of where to go, lack of transportation, long waits in physicians' offices and impersonal care.

Health-related services call for personalized attention, regular and frequent contacts by a social worker, a paraprofessional or a volunteer under professional supervision. A person or a family is helped to get proper health care, to follow the prescribed health regimen, and to make use of community facilities that will help maintain independent functioning. It requires continuing liaison with physicians and nurses to facilitate mutual patient planning, work with the patient to overcome medical ignorance and lack of proper use of health care, planning with relatives in many cases, securing transportation and escort service for patients who otherwise could not get to health care.

Service is provided on an outreach basis to persons in their own homes, usually upon the initiative of an agency.

Illustration: Typical complaints regarding health care provided to indigents: (a) a mother takes her little boy with a temperature of 103° to the emergency clinic of city hospital waits from noon to 7:00 P.M. to get medical attention; (b) a woman suffering from a cut foot waits for 45 minutes after arrival at clinic, with severe bleeding continuing, before given medical attention.

To deal with the problem of clinic overload caused by people using it for non-emergent care, a home-health team made up of a registered nurse and several LPN's and health aides, is placed in a low-income area. Working in coordination with staff of the welfare department and other agencies the team responds promptly, makes home calls, does initial screening as to which cases are emergent and which are non-emergent, gets the emergent ones to the clinic for quick attention, and helps the others to get the health care they need at home.

### **HOME DELIVERED AND CONGREGATE MEALS**

The Meals on Wheels and the Congregate Meals are feeding programs for physically handicapped adults, particularly the aging. They are aimed at reducing problems of impaired adults living alone, such as lack of money, lack of transportation, difficulty in shopping for food, poor dietary habits, and poor health.

Following are common elements usually included in these services:

Meals on Wheels (delivered to the individual's home)

A central kitchen prepares a hot, nutritionally balanced meal that is individually packaged in an insulated container. This is delivered to the aged person's house by either a paid worker (often an aged person) or by a volunteer. When possible, the person delivering the food will spend time talking to the aged person both to provide companionship and to determine if there are other needs (i.e., medical, shopping, etc.).

Congregate Meals (in Senior Citizen Centers)

The senior citizen travels to a central location where some or all of the following services are available: hot meals, recreation, health services, counseling, employment placement (part-time), entertainment, opportunity to be with others, volunteer activities. For many, transportation will have to be provided.

### **HOUSING IMPROVEMENT SERVICES**

A major factor contributing to the instability and disorganization of poor families, particularly recipients of public assistance, is frequent eviction.

An estimated one-third of welfare payments is spent for low-income housing most of which is substandard.

Housing blight and deteriorated neighborhoods, are both the cause and effect of social ills which affect the entire community. Services aimed at breaking the cycle must both help people to secure a decent home and then help them to properly maintain it.

Housing improvement services include helping families locate adequate housing at an acceptable price and securing assistance in home maintenance and minor repairs. Efforts made to improve landlord/tenant relations have proved productive in reducing evictions, particularly when these deal constructively with problems the landlord can do something about such as building code violations, and at the same time helping tenants to gain a better understanding of their responsibilities in maintenance and upkeep.

Illustration: In a selected group of over 200 AFCD families one public welfare department demonstrated that reducing evictions substantially reduced the number of family break-ups and subsequent placement of the children in foster care. Caseworkers were given training in identifying gross, observable and legally actionable housing defects. When a housing problem was identified the caseworker and the recipient negotiated with the landlord. This had two positive effects: (1) it reduced the number of defects caused by recipients to almost zero and (2) it created a positive attitude on the part of the landlords. This produced solutions, also, on other landlord/tenant problems, such as non-payment of rent. One landlord wrote that he had had welfare families in his houses for 25 years and this was the first time anyone from the welfare department had asked him what he thought.

## LEGAL SERVICES

Equal justice for every person — for rich and for poor, with no class distinction — is the central aim of our legal system. This in turn engenders respect for the law, which is basic to maintaining a peaceful, orderly and harmonious society.

Our system of justice is based upon advocacy. Unless there is someone to do battle for a person his chance for getting justice is lessened.

Delivering legal services to those who need them is being made increasingly difficult by the complexity of modern society and the rapidly expanding body of laws and regulations. For the poor and the disadvantaged this is particularly so.

Often the inability to resolve some legal problem stands in the way of a family achieving and maintaining self-support. Legal entanglements related to garnishment, repossession, child-support, and landlord/tenant issues tend to escalate and cause serious deterioration in family relations — constant harrassment leading to loss of employment, eviction, tensions between marriage partners, and desertion by the bread winner. Too often an indigent languishes in jail for many months because of lack of legal help. In the meantime, the family becomes a public assistance case.

A comprehensive legal aid service covering both civil and criminal cases will include:

- (a) help with any legal problem;
- (b) no distinction between juvenile and adult in offering a broad scope of assistance;
- (c) assistance to appeal decisions or convictions to right miscarriages of justice;
- (d) aid beyond the trial state through rehabilitation;
- (e) follow-up help to ensure that the intent of court orders and decisions are carried out in the clients behalf.

Illustration: A 19-year-old girl from a welfare family obtains a job in a supply house. It is her first job and she has not been on it long when an inventory reveals a large loss of merchandise. She is accused. In the absence of any reasonable evidence she is intimidated to the point of panic. However, through help from a legal aid service she is protected from a possible miscarriage of justice; also, from a set back in her progress to emerge from the dependency pattern of her family background.

### **HOMEMAKER SERVICES**

Within low-income families where a mother is the sole parent, her absence from the home because of accident or illness or other difficulties may necessitate the placement of the children in temporary detention care. The sudden removal from familiar home surroundings can have a damaging psychological effect upon children. Too often such temporary care arrangements, because of the lack of emergency care to children in their homes, results in permanent family break-up.

Homemaker service is a means of providing a substitute mother's care to children in their own homes during the temporary absence of the mother. Combined with social services to the parent the family can, in most instances, be reunited and stabilized.

Homemaker service also provides a better alternative to institutional care for the aging, the chronically ill and the handicapped. It is not only better for the well-being of adults with these conditions but is far less costly than institutional care.

Homemakers — also known as visiting housekeepers and home health aides — are mature women who have had successful experience in maintaining their own families and homes. They are selected because of their practical capabilities and warmth of personality, and work under the supervision of a professional social worker, nurse or home economist.

Illustration: (See Protective Services).

### **HOME MANAGEMENT ASSISTANCE**

Disorganization in family life is closely associated with conditions of poverty, disadvantage and neglect. It is likely to be transmitted from one generation to another. Service which provides help in home management can be a first step in breaking the

cycle of poverty. The work calls for a combination of social service and family education.

A mother is helped to improve capability in preparing nutritious meals, in maintaining a clean and comfortable home, in family relationships and child-rearing. Where there is a father in the home, both mother and father are helped in understanding money management and in sharing the discipline and supervision of children. Otherwise, a single parent is supported and strengthened to give the children a good home.

Individually and in groups the heads of families are helped to cope with the everyday problems of living: home maintenance, consumer knowledge, health care, family relationships (parent-child, teen-age problems, etc.) and community participation.

Illustration: (See Protective Services).

### MENTAL RETARDATION SERVICES

Although mental retardation occurs at all economic levels of our society there is a much greater incidence among disadvantaged people. Many who are moderately retarded and potentially trainable get little stimulation and few learning opportunities. Children tend to have poor nutrition, low level of vitality and general health.

Services for retarded children have greatly improved and expanded throughout the country in recent years. Discernible progress is being made in many communities to provide a "continuum of care": the blending and use in proper sequence of medical, educational, and social services to enable a retarded person to make the most of the potential he has at every point in his lifespan. To maintain this progress, concentrated efforts by both governmental and private agencies are essential, with specific measures to increase learning opportunities and provide experiences for retarded persons that will off-set the adverse conditions of poor environment.

Illustration: A mother makes application for the admission of her 12-year-old retarded daughter to a state institution. The girl is making progress in a special class in a public school, but the mother is working and is unable to give supervision at home. Two other teen-age children are able to manage on their own. But, this one, who is beginning to show an interest in boys, mother fears will become pregnant, also; mother doesn't believe daughter is capable of learning enough to make a living.

A social worker assists the mother to (a) make arrangements for the daughter to enter a supervised after-school program, rather than institutionalization, (b) get a better understanding of the child's potential for vocational training which is reasonably good, and (c) talk things over with the school to get some specifics regarding vocational training and placement prospects. Agency and school collaborate on a plan for service and training.

## PROTECTIVE SERVICES

### *For Children*

Neglect is the single most important problem that brings children to the attention of child welfare agencies. Child neglect and abuse are usually the symptoms of parents' problems: physical and mental illness, deep-seated emotional difficulties, immaturity, marital difficulties. Therefore, the first line of action in the protection of children is social service to parents.

The sequence of events in a typical child protection case begins when a neighbor or other person telephones a complaint.

Service elements include: (1) handling of the complaint: interview with the informant to ascertain what he has actually observed, assessment of the information and the decision whether or not to intervene with child's family; (2) counseling with the parents: establish rapport and willingness to cooperate, to ease pressures on parents that are causing them to take it out on the child; (3) opening up other community resources to meet needs of parent and child: medical care and/or mental health treatment, help on financial planning or household management or marriage relations, help on child care – possibly homemaker service or day care; (4) as a final recourse, initiating court action to obtain suitable care for the child in or out of his own home.

From considerations of cost as well as the well-being of a child, the emphasis of child welfare services is to keep a child in his own home. Foster care should be used sparingly and, regarded generally as a temporary arrangement.

Illustration: A 10-year-old boy answers the door, his 6-year-old sister standing behind him. "The cops came and took mom and dad away. They was fighting." Parents had been arrested for being drunk and disorderly, and the police had notified the child welfare officer. A homemaker moves in, washes and feeds the children, brings order and a warm presence into the home.

After the sobering up process, the couple are released with the understanding they work with the child welfare officer. Father has a steady job but "let go" on week-ends and the mother has joined him on his sprees. There are several problems – health and money worries – which the couple are helped to work out, in a cooperative effort by several agencies. As a result, the family situation is stabilized.

### *For Adults*

Adults, including the aging or others whose mental and physical condition makes them incompetent, need protective services just as much as children. The services are similar. Protective services for adults means the systematic use of social, health, legal

services and other resources for and on behalf of persons who are unable to manage on their own and are without family or others able to look after them; who are abused, exploited or suffering ill-effects from isolation.

Illustration: A man and wife, both handicapped, live in a tar paper shack. The nearest neighbor is a block away, and the couple are without a phone. The wife suffers from multiple sclerosis, stomach ulcers, and is blind in one eye. Both man and wife are mentally retarded. The welfare money they receive is poorly managed. Rather than putting them into an institution they are helped (at much less cost) by the welfare agency to move into a 4 room house, to make it attractive and comfortable with some modest furniture, a stove and refrigerator. They are given medical attention and receive continuing supportive help by a homemaker who comes in several hours a week.

### SELF-HELP INITIATIVES

Apathy among adults and destructive behavior among youth are frequently reported problems in low-income neighborhoods. Unemployment and families on welfare tend to go together with vandalism and destructiveness.

A general complaint of people living in these areas of community is: "There is nothing to do".

At the same time, a strong sense of neighborliness and mutual self-help is a characteristic among many.

Community services that build upon this and other positive characteristics encourage attitudes that lead to self-support. Usually such service begins with identifying leadership potential, and through it stimulate people's initiatives to plan and carry through their own activities programs. This goes beyond traditional mass recreation programs, emphasizes small group activity for children and youth, and family-centered activities.

Illustration: In a low-income neighborhood the city recreation department, public schools, and youth serving agencies join forces with neighborhood leaders in a Youth Development Program. The objective is to "have fun in ways that are constructive, rather than destructive" and "to become useful and get satisfaction from it". Professional staff skilled in informal education and group work organize teams of paraprofessionals and volunteers, all recruited from neighborhood residents. They are trained on-the-job. Parents serve as volunteer leaders of children's groups, young men lead groups of older children, older children assist adults in leading groups of younger children. What results is an improvement in "social adjustment". The common thread running through all activities is the fostering of care and concern of people for each other.

In some states, a commission for the blind, beyond administering and/or mobilizing the above services, assists local welfare departments and other agencies to administer the Aid to Blind Program.

Illustration: (See Protective Services for Adults).

## TRANSPORTATION

Those who are most in need do not own private cars. They have little money for public transportation which often does not provide ready access to employment, child care, health or social services. In fact, even food, household necessities, and other essentials of life can only be secured at great difficulty by many who are aged, handicapped and poor.

There are several ways in which this problem of inaccessibility may be overcome. In recent years there has been a trend in some communities toward decentralization of community service, with establishment of neighborhood multiservice facilities. There is growing emphasis, also, upon personalized outreach to people who are not likely to get service from office-centered programs.

Transportation, supplemental to private cars and public transit, is essential to the effective use of job training and other services. Few child day care facilities can assist mothers to keep their jobs unless there is pick up and delivery of the children. Jobs that are inaccessible by public transportation, or which have working hours that extend beyond the regular bus schedule, will be jobs difficult to keep.

An increasing number of child day care centers are providing pick up and delivery service of children under care. In some communities transportation is being established for persons in job-training, for the aging and handicapped by agencies using volunteers to drive cars, mini-buses, and buses.

Illustration: Residents of public housing are assisted (technically and financially) to establish a tenant-operated transportation system to promote participation in job training and to increase employment opportunities, to facilitate use of existing child day care facilities, and to promote family-centered activities. Utilizing tenants as drivers and to coordinate trips, mini-buses transport tenants to the nearest supermarket (2 miles not reachable by bus) to the health clinic (4 miles not reachable by bus), to job training, to job interviews, younger children to day care, older children to off-site activities including job preparation activities.

## TREATMENT OF ALCOHOLISM AND DRUG ABUSE

Alcoholism and drug abuse are community-wide problems. Among low-income people alcoholism and drug-abuse are closely intertwined with other adverse conditions which are both the cause and effect of social ills. Widespread use of marijuana among youth in poor neighborhoods is often attributed (by the youth themselves) to "no jobs - nothing to do". Pushing dope and other associated vice provides something to do, along with the money in the pocket.

To prevent, treat and rehabilitate persons who are addicted to alcohol and drugs - and who also live in conditions of poverty - requires both a community-group activities approach, as well as individual treatment. The former is described above under "Self-Help Initiatives".

Individual treatment requires a network of services including information and referral, early case-finding and diagnosis, crisis intervention, detoxification, after-care, therapy, rehabilitation, supportive services to members of patient's family, follow-up counseling and other help.

Illustration: (See Protective Services – Children, and Self-Help Initiatives).

## MENTAL HEALTH SERVICES

Studies of welfare caseloads in various cities of the United States indicate that as many as 1 out of 4 have a diagnosed psychiatric disability, and one in seven have spent time in a mental hospital. At least 2 out of 5 children in disadvantaged families have behavior and learning disabilities.

Most disturbed people are seen by the police, probation officers, school teachers, social workers, ministers and others not usually identified as part of the mental health system.

These adult and child behavior disorders are the critical element in family breakdown and loss of self-support.

The service that has proved most practical and effective, particularly with disadvantaged people, in relieving and preventing emotional stress and breakdown is the personal counseling team, under the supervision of a qualified social worker, made up of both professional and paraprofessional counselors. The professional, who is skilled in family diagnosis, interpersonal relations, counseling skills, trains and supervises paraprofessionals. The paraprofessionals come from the same economic and cultural background as the service recipient. This service can prevent disturbed behavior and family breakdown by the relatively simple method of listening in an understanding and knowledgeable way – and being easily accessible when a troubled person wants to talk over a problem.

Illustration: A 36-year-old mother of 4, a welfare recipient, began showing a change in behavior. She became careless in her family responsibilities: Her house was disorderly and filthy, the children neglected and mistreated. A social worker visited the home and assigned a paraprofessional counselor who, for a while, visited several times a week. The woman was referred to the mental health center, and subsequently admitted to the day hospital for intensive psychotherapy. Improved, she returned home. During this time the paraprofessional counselor kept in contact, and her supportive counseling provided the follow-up service to the psychotherapy. During the time she was in the day hospital a homemaker managed the home and cared for the children. When she returned home, instruction was provided to the mother in meal preparation, in maintaining a comfortable home, in money management, and child care. The paraprofessional counselor and homemaker are supervised by a trained social worker.

## **SPECIAL SERVICES TO THE BLIND**

The most comprehensive and effective program to alleviate conditions of handicap in most states are those which have been established for the blind. Typically these programs include counseling and orientation to blindness, (mobility training, developing new sensory and communication skills, etc.) medical, educational and vocational training. Various special measures are used, including home teaching, library services (talking books, large print readers, and Braille). Many school systems employ special teachers to assist visually handicapped children to continue their education in a normal school situation.

**Example of DES Policy Notebook**

**POLICY NOTEBOOK**

**Vocational Rehabilitation Services – Transitional Phase  
(Prior to Reorganization of DES, but in Preparation for  
New Budget Year when Reorganization will be in Effect)**

**Prepared by HRSS Staff in Conjunction with  
Agency Staff to Serve as Background Information  
For Appropriations' Decisions**

**1973**

## POLICY NOTEBOOK

AGENCY	Arizona Department of Economic Security
PROGRAM	Rehabilitation Services to Disabled Individuals (3)
AUTHORIZING LEGISLATION	ARS Title 23, Chapter 3, Article 1, Vocational Rehabilitation; Vocational Rehabilitation Act as amended (P.L. 90-391)
GOALS	<p>FY 74: Through the cooperative effort of the agencies in the new Department of Economic Security to:</p> <ol style="list-style-type: none"><li>1. Provide sufficient services to disabled Arizonans to move them from a state of dependency to one of independence and productivity.</li><li>2. Provide intra-agency staff training which will identify the various services available to disabled individuals and the role each agency has in the "total rehabilitation process."</li><li>3. Respond to increased workloads resulting from the State's governmental reorganization.</li><li>4. Continue to decentralize operations to meet identified local needs on a statewide basis.</li></ol>
OBJECTIVES	<p>FY 74:</p> <ol style="list-style-type: none"><li>1. To serve 13,000 disabled Arizona residents.</li><li>2. To rehabilitate and successfully place at least 1,400 individuals in suitable employment.</li><li>3. To establish a counselor-client ratio of no more than 200 disabled clients per counselor.</li><li>4. To integrate our present financial system with the new Management Information System.</li></ol>
ELIGIBILITY	<ol style="list-style-type: none"><li>1. The individual must have a medically established employment disability which is either physical or mental.</li><li>2. The disability must constitute an employment handicap.</li><li>3. There must be a reasonable expectation that, as a result of vocational rehabilitation services, the individual will become a productive member of society.</li></ol>

NUMBER SERVED	<u>FY 72</u>	<u>FY 73</u>	<u>FY 74</u>
<b>TOTAL SERVED</b>	11,544	14,000	16,000
Rehabilitated	1,517	1,600	1,800

The total served may be categorized as follows:

<b>Physically Disabled</b>			
Rehabilitated	4,583	6,250	8,000
	469	480	610
<b>Disabled Drug Addict</b>			
Rehabilitated	386	400	425
	44	50	60
<b>Disabled Public Offender</b>			
Rehabilitated	2,159	2,200	2,250
	235	250	260
<b>Disabled Alcoholic</b>			
Rehabilitated	636	700	725
	96	110	120
<b>Disabled Mentally Ill</b>			
Rehabilitated	1,527	1,600	1,625
	224	230	240
<b>Personality Behavioral Disorders</b>			
Rehabilitated	1,021	1,050	1,075
	310	315	325
<b>Deaf</b>			
Rehabilitated	283	300	325
	54	65	75
<b>Mentally Retarded</b>			
Rehabilitated	949	1,000	1,025
	85	100	110
<b>PROGRAM COST (STATE FUNDS)</b>	FY 72: \$629,294;	FY 73: \$830,600;	
	FY 74: \$1,211,700		

# **EXAMPLE OF LEGISLATIVE POLICY NOTEBOOK**

## **Arizona Department of Economic Security Division of Vocational Rehabilitation Table of Contents**

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## DIVISION OF VOCATIONAL REHABILITATION

### OVERVIEW

The process of rehabilitation of a disabled individual requires an assessment of the disabled person and the development and implementation of an individualized or tailored program of services which will allow the disabled client to move from the state of being a tax consumer to that of being a tax producer.

All existing resources are considered when developing a program of services for the individual client. The objective of assisting an individual to reach a level of functioning which is in keeping with his assessed abilities requires imagination, flexibility, and resourcefulness. To a large extent Vocational Rehabilitation purchases services from existing resources on an individual basis.

Private and public vocational schools, on-the-job training, sheltered workshops, junior colleges, universities, etc., are utilized by the Division of Vocational Rehabilitation in the rehabilitation process. In fiscal year 1972, the Division of Vocational Rehabilitation received 15,837 referrals. These disabled Arizonans were directed to the Division of Vocational Rehabilitation from various referral sources. Educational institutions represent approximately 11 percent; hospitals, the State Employment Service and other agencies each represent approximately 18 percent of the referrals. The Welfare Department has accelerated its referrals during fiscal year 1972 and it is anticipated they will refer approximately 30 percent of the clients to be served in fiscal year 1973. Physicians, former clients and private agencies account for the balance of the referrals.

Of the 6,473 rehabilitation clients who received medical, social and vocational evaluation services, 1,887 were successfully returned to the world of work (rehabilitated). At the time of referral, 364 of these 1,887 were welfare recipients. These people are no longer receiving welfare assistance.

One of the major services offered by Vocational Rehabilitation is diagnostic evaluation — an assessment of the individual's abilities as well as an identification of his disabilities. From this information a rehabilitation plan is developed. This plan or guidance for services is mutually acceptable to the client and rehabilitation counselor alike.

Physical restoration, prosthetic appliances, physical or mental therapy, training, books, tools and supplies, supplementary maintenance (basic living expenses — food, shelter, clothing), transportation, job placement and follow-up are some of the other services provided by the Division of Vocational Rehabilitation to their clients in communities throughout Arizona. Counseling and guidance is an integral process which begins at the time of referral and is interwoven throughout the entire process of rehabilitation.

Clients of the Division of Vocational Rehabilitation are dealt with on a one-to-one ratio; that is, the vocational rehabilitation counselor works with one client at a time. Although his caseload may be 200 clients, he sees and works with each individually; occasionally, he has group counseling.

This ratio not only makes for a closer relationship between the client and the counselor but it tends to build in the factors of quality control of service to the client and accountability of the tax dollar on the part of each counselor. This one-to-one ratio exists throughout the client's association with Vocational Rehabilitation. Whatever services are needed by the client to insure his rehabilitation are purchased by the counselor in consultation with the client. These client-tailored services are then made available to the client with the goal of eventual return to society as a gainfully employed individual.

Occasionally, the Division of Vocational Rehabilitation participates with other public agencies to develop vocational training programs under contract. In institutional settings such as the State Prison and the State Industrial School, where there is an identifiable population who could benefit from vocational training prior to release from the institutions, it is more advantageous to enter into contractual agreements for a guaranteed number of "training stations." Such contracts allow for fiscal year budgeting and insure the continued delivery of services to a specified population.

Age in and of itself is not the only consideration when determining client eligibility. While it is a major consideration, other factors such as type of employment, length of employment and cost benefit factors are seriously studied. The usual minimum age is approximately 15 years and the maximum age depends on many factors, such as those mentioned above.

**MATCHING FUNDS**

State: 20% Federal: 80%

**CONTRACTS OR  
AGREEMENTS**

State Employment Service, Division of Vocational Education, Department of Corrections, University of Arizona Rehabilitation Center, Arizona Job College, Goodwill Industries, Inc., Industrial Commission of Arizona, Department of Public Welfare, State Hospital, Southern Arizona Mental Health Clinic, School Districts, Department of Health, Mental Retardation.

**BARRIERS**

Age, severity of disability, geographical location in relation to medical, training and other rehabilitation resources, responsibility and authority of various agencies not well-defined. Since 27% of the total caseload are members of minority groups, language may be a barrier.

AGENCY Department of Economic Security Vocational Rehabilitation

PROGRAM Rehabilitation Services for Disabled Welfare Recipients (4)

AUTHORIZING ARS Title 23, Chapter 3, Article 1, Vocational Rehabilitation;  
LEGISLATION Vocational Rehabilitation Act as amended (P.L. 90-391)

GOALS FY 74: Through the cooperative effort of the agencies in the new Department of Economic Security to:

1. Render sufficient service to the disabled welfare recipients to take them from a state of dependency to one of independence.
2. To remove these individuals from the welfare roles and make eligible for the working world.
3. Provide intra-agency staff training which will identify the various services available for these individuals and the role each division has in the "total rehabilitation process".
4. To reach the youth of these welfare recipients and establish a "work world" trend for these individuals who have not been so motivated.

OBJECTIVES FY 74:

1. To serve 5,000 disabled welfare recipients.
2. To rehabilitate and place 600 individuals in suitable employment.
3. To remove 500 of these individuals completely from the welfare roles and reduce the welfare grant of the remaining 100 persons.

ELIGIBILITY

1. The individual must have a medically established employment disability which is either physical or mental.
2. The disability must constitute an employment handicap.
3. There must be reasonable expectation that, as a result of vocational rehabilitation services, the individual will become a productive member of society.

NUMBER SERVED	<u>FY 72</u>	<u>FY 73</u>	<u>FY 74</u>
TOTAL SERVED	3,812	4,000	5,000
Rehabilitated	364	500	600

The Total Served may be categorized as follows:

Disabled Public			
Offender	232	300	350
Rehabilitated	13	20	30
Disabled			
Alcoholic	133	200	250
Rehabilitated	12	16	25
Disabled Mentally			
Ill	559	600	650
Rehabilitated	35	40	45
Disabled Drug			
Addict	58	75	100
Rehabilitated	1	6	10
Mentally Retarded	196	225	250
Rehabilitated	28	32	38
Personality Behavioral			
Disorders	453	500	550
Rehabilitated	78	90	100
Deaf	34	50	75
Rehabilitated	2	6	10
Physically			
Disabled	2,146	2,050	2,775
Rehabilitated	195	290	372

PROGRAM COST	FY 72: \$400,000	FY 73: \$400,000
(STATE FUNDS)	FY 74: \$400,000	

**MATCHING FUNDS**

State: 20% Federal: 80%

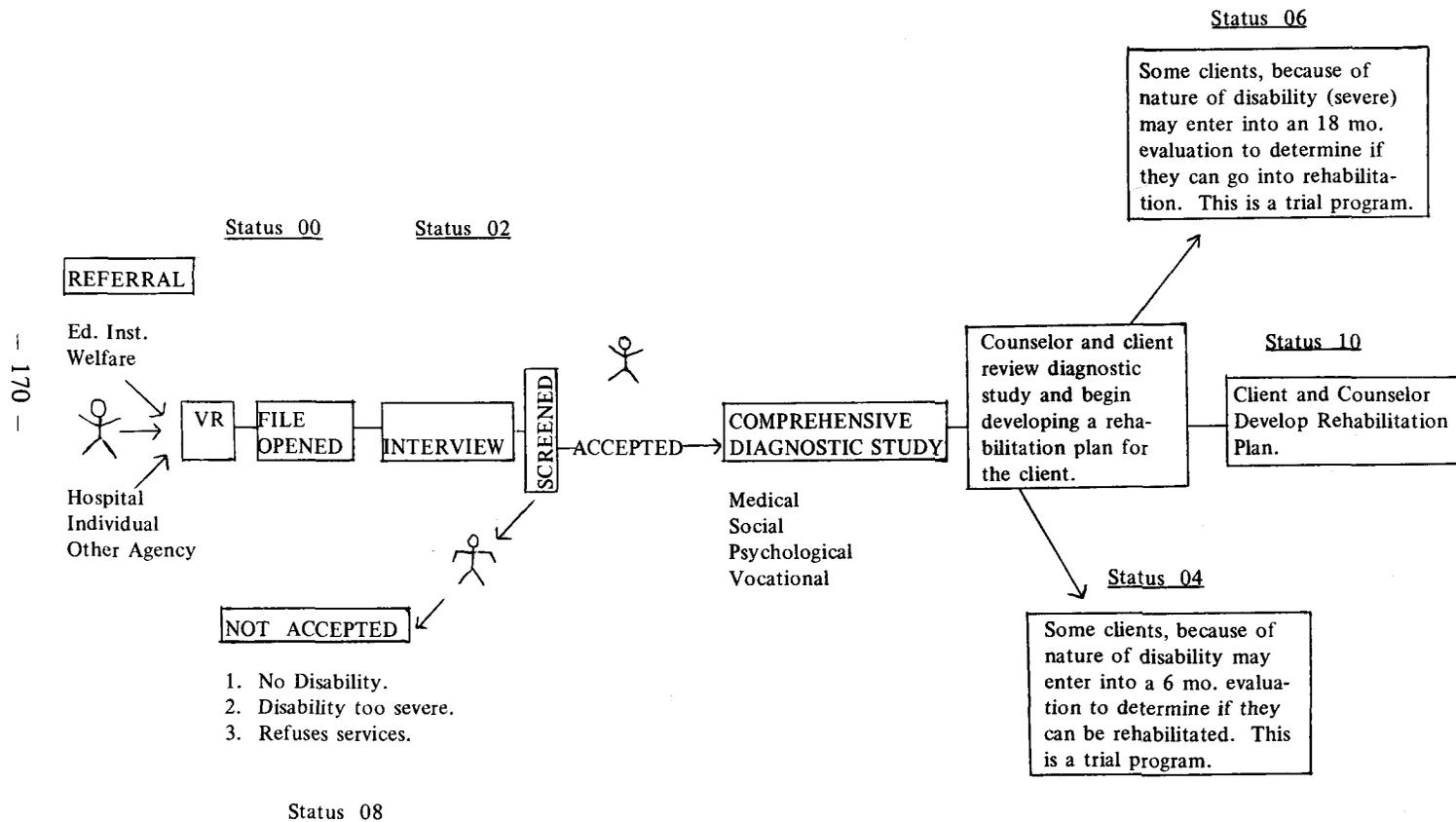
**CONTRACTS OR  
AGREEMENTS**

Department of Public Welfare, Employment Service, Division of Vocational Education, University of Arizona Rehabilitation Center, Arizona Job College, Goodwill Industries, Inc., Industrial Commission, Department of Corrections, Department of Mental Retardation, Department of Health, State Hospital, Southern Arizona Mental Health Clinic.

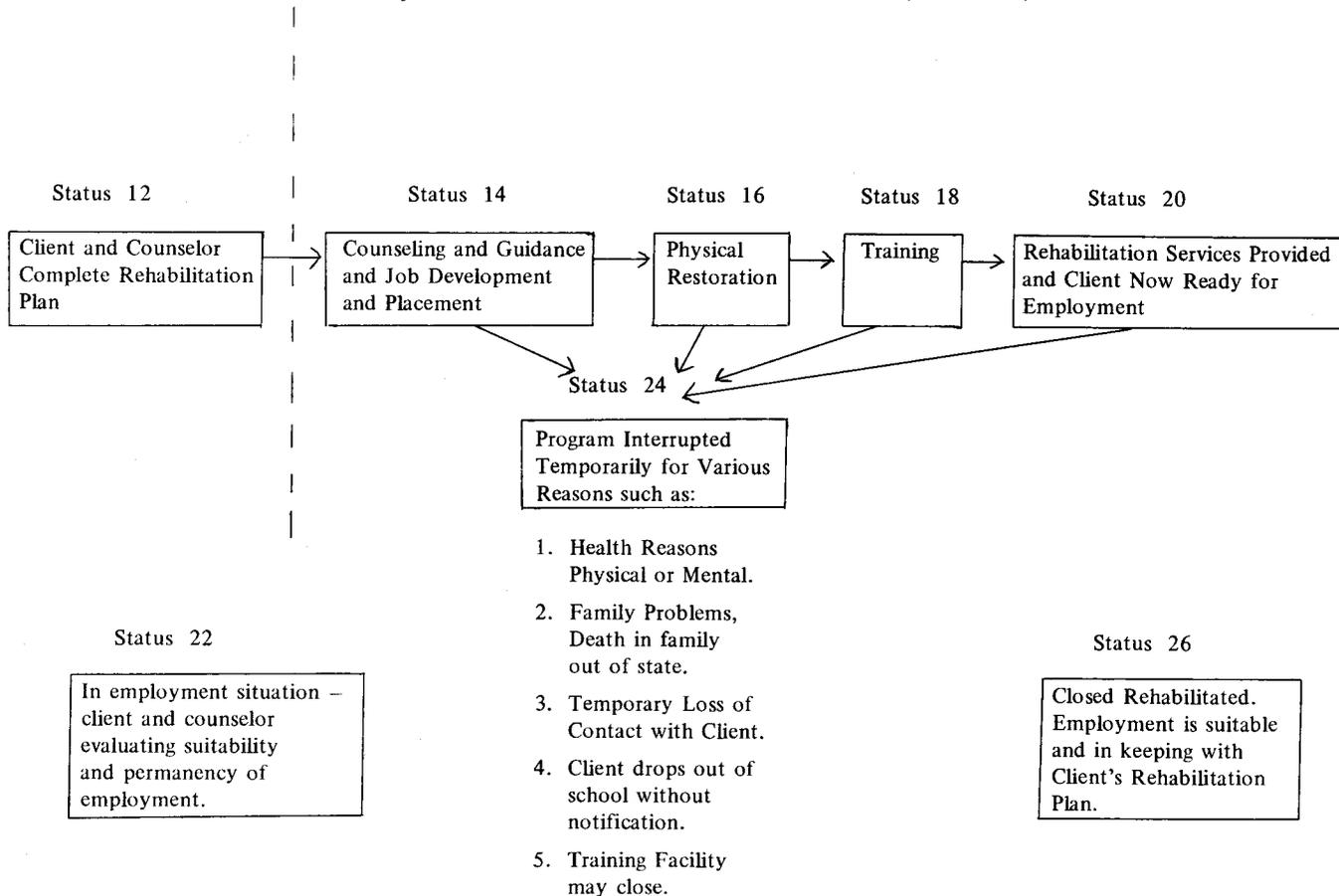
**BARRIERS**

The majority of disabled residents of Arizona are dependent and jobless because their disabilities constitute a barrier to employment. Many of them are on welfare or headed for total dependency. Presently, Vocational Rehabilitation is providing services to 14% of the state's welfare population. Thirty-nine percent of the total welfare caseload are disabled and minority group members, therefore language may be a barrier. In some instances, the responsibility and authority of various agencies is not well defined.

## Initiation of Client's Rehabilitation Plan May Include One or More of the Service Statuses



**Initiation of Client's Rehabilitation Plan  
May Include One or More of the Service Statuses (Continued)**



**VOCATIONAL REHABILITATION  
GLOSSARY  
AGENCIES/ORGANIZATIONS**

1. **ARIZONA ECUMENICAL COUNCIL:** This Council is composed of various denominations in the State of Arizona and attempts to present issues affecting various denominations in their broadest sense. Developing understanding and cooperativeness is their major objective. For the past two years, they have contributed money to Vocational Rehabilitation with the request that these funds and the federal monies which they would generate be used to purchase services for disabled rural populations of the state.
2. **ARIZONA JOB COLLEGE:** An innovative and comprehensive attack on rural poverty through the coordination into one package of a number of programs available through various public and private agencies. Arizona Job College is a demonstration project in residential family rehabilitation of the disabled rural poor.
3. **COMMUNITY SOUTH OF TEMPE MODEL CITIES PROJECTS:** This community is referred to as the Gila River Indian Reservation Model Cities Program. It is the only Indian Reservation in the United States that has a Model Neighborhood Grant from the Federal Department of Housing and Urban Development (HUD). The Tribal Council, the administrators of this grant, is located at Sacaton. Vocational Rehabilitation has a full time counselor, who is Indian, working on the Reservation with disabled residents referred from this project.
4. **DEPARTMENT OF CORRECTIONS:** The Department of Corrections is a state agency charged with providing custody of public offenders. They are not mandated to provide rehabilitation but they cooperate with Vocational Rehabilitation in the following ways: Vocational Rehabilitation has programs at the State Prison, Fort Grant, and the Girls School. While these people are confined, Vocational Rehabilitation works with this population in hopes that after they are back in society their new skills will insure long-term employment and reduce the prison population.
5. **DEPARTMENT OF EDUCATION:** The State Board of Education is the governing and policy determining body of the Department of Education. The State Superintendent of Public Instruction administers and carries out the Board's decisions, and the Department is under the control of the State Superintendent of Public Instruction. The Division of Vocational Rehabilitation is one of the Divisions which make up the Department of Education.

6. **DEPARTMENT OF MENTAL RETARDATION:** Newly created State Department whose responsibility is to provide treatment and custodial services for the mentally retarded of Arizona. This Department has two residential facilities for the retarded and encourages local community programs for the rehabilitation of retarded youngsters and adults. This agency refers to Vocational Rehabilitation appropriate clients.
7. **DEPARTMENT OF PUBLIC WELFARE:** Vocational Rehabilitation is involved with the Department in that Vocational Rehabilitation works with Work Incentive clients (WIN) as part of the legislative mandate to remove as many of the welfare recipients from the welfare rolls as possible.
8. **GOODWILL INDUSTRIES:** Goodwill Industries of Phoenix houses the Vocational Rehabilitation Evaluation Unit and operates work adjustment, skill training and job placement services. Because of agreements with Goodwill Industries, Inc., Vocational Rehabilitation is able to utilize their services in rehabilitating vocational rehabilitation clients.
9. **GUADALUPE ORGANIZATION:** A private organization devoted to developing the cultural, economic and educational aspects of the community. Disabled persons from Guadalupe are referred to Vocational Rehabilitation for services and a regular Vocational Rehabilitation counselor serves this population as part of his caseload.
10. **HEALTH DEPARTMENT, DIVISION OF ALCOHOL AND DRUG ABUSE:** Vocational Rehabilitation has four counselors and two aides working full time with the Disabled Alcoholic. This agency contributed \$75,000 of local, state funds to the Division of Vocational Rehabilitation; such funds are matched with federal money and spent for the rehabilitation of individuals who are disabled because of alcohol or drug abuse.
11. **INDUSTRIAL COMMISSION:** Persons who are injured because of an industrial accident may be referred to Vocational Rehabilitation as potential clients. Referrals are made by the monitor of the Special Fund. The Special Fund is one percent (1%) of premiums paid and is discretionary money which may be used for the purpose of rehabilitation.
12. **OPPORTUNITIES INDUSTRIALIZATION CENTER:** Commonly referred to as OIC, a non-profit organization which is primarily concerned with improving the living standards of minority populations in economically depressed areas. The Division of Vocational Rehabilitation has a good relationship with this organization and receives referrals of disabled individuals who are also clients of OIC.
13. **PHOENIX ALCOHOLISM CONSORTIUM:** A group in Phoenix, funded by the National Institute of Mental Health to work with to try to reduce the number of persons in this area who are addicted to alcohol. This Consortium refers potential clients to Vocational Rehabilitation for services. They also work with others in making traditional and half-way houses available to the alcoholic.

14. **SER – SERVICES, EMPLOYMENT AND REDEVELOPMENT:** This is a private corporation. A Vocational Rehabilitation counselor and outreach worker cooperate very closely with disabled SER clients who are mainly Mexican-American; however, the SER Corporation will serve anyone.
15. **SOUTHERN ARIZONA MENTAL HEALTH CLINIC:** This is a satellite operation of the State Hospital in Tucson which provides primarily out-patient mental health services to residents of Southern Arizona. This facility refers appropriate clients to the Division of Vocational Rehabilitation which has a special mental health unit in the Tucson District Office which works exclusively with this disabled category.
16. **STATE EMPLOYMENT SERVICE:** The State Employment Service is used as a resource by Vocational Rehabilitation counselors in that they have a list of jobs and the qualifications needed to fill the jobs. Very often a Vocational Rehabilitation client may be able to qualify for the job; if so, he will apply.
17. **STATE HOSPITAL:** A facility which delivers medical and custodial care to emotionally disturbed residents of the state who are in need of such intensive service. The Division of Vocational Rehabilitation has a rehabilitation unit on the grounds of the State Hospital – housed in their rehabilitation unit.
18. **STATE INDUSTRIAL SCHOOL AT FORT GRANT:** The State facility for male juvenile offenders. The Division of Vocational Rehabilitation works with this population in the vocational area as well as with the young men who have an emotional disability.
19. **TUCSON MODEL CITIES:** A Federal grant from HUD is used in developing a program that is designed to improve the basic living conditions of residents within the Model Cities area who are of low economic income. The Division of Vocational Rehabilitation has a staff of 6 employees assigned to this target area who are making a concerted effort to rehabilitate disabled residents in this area.
20. **UNIVERSITY OF ARIZONA REHABILITATION CENTER:** Located in Tucson, this facility is used to evaluate Vocational Rehabilitation clients as to their assets and liabilities in working out a vocational rehabilitation plan. That evaluation might include psychological, vocational, medical and social tests.
21. **VOCATIONAL EDUCATION:** Vocational Rehabilitation and Vocational Education compliment one another in the vocational rehabilitation process. An example would be the Industrial School at Fort Grant. There, Vocational Rehabilitation provides counseling, pays 50% of the specified instructional and administrative costs for the vocational program, selects clients, determines eligibility, provides additional training, supplemental living maintenance, physical restoration, and necessary tools and equipment for employment after a youth is discharged from the facility. Vocational Rehabilitation also provides placement and follow-up services for students. Vocational Education is a Division with the Department of Education which works with elementary, secondary and adult vocational programs.

**VOCATIONAL REHABILITATION  
GLOSSARY  
TERMS**

1. **BEHAVIOR MODIFICATION MODEL:** A technique used to change behavior patterns from those that do not conform to socially accepted norms by rewarding good behavior. The technique is used in the CHAPS program at Fort Grant. Negative behavior in the CHAPS program is ignored as much as possible so that the person will change from negative to socially accepted behavior.
2. **CASE FINDING:** A major purpose of case finding is to educate, develop, and maintain sources such as, hospitals, schools, private institutions, doctors and other state agencies who will identify and refer disabled individuals who are in need and can benefit from services offered by Vocational Rehabilitation; it is also that action on the part of the staff to respond to inquiries and individuals referred by other persons and/or organizations.
3. **COUNSELOR:** The professional staff member who works on a one-to-one basis with the clients of Vocational Rehabilitation. He purchases services for the client, helps in designing a rehabilitation plan, determines client eligibility and is the client advocate in job placement. He also provides on-going guidance and counseling during the entire rehabilitation process.
4. **DELIVERY OF SERVICES:** The methodology which is used to provide or secure a rehabilitation service for disabled clients. The methodology may include purchasing such services as physical restoration, training, transportation, tools, equipment, books or supplies needed to render the individual employable.
5. **DEPENDENCY:** A person, who because of a disability, either physical or mental is not capable of working in the competitive labor market. He is dependent upon one or several human service agencies for assistance to sustain himself and/or to overcome his employment handicap.
6. **DISABLED ALCOHOLIC:** A person, who because of alcohol has a substantial handicap to employment. Before becoming a Vocational Rehabilitation client there must be evidence that the individual is attempting to control his alcoholic intake.
7. **DISABLED DRUG ADDICT:** This individual, because of his dependency on drugs, may not be able to hold a job. In addition to his apparent drug problem he must have a physical or mental disability which is a significant handicap to employment. If in the opinion of a counselor and after testing and evaluation, there is a reasonable expectation of gainful employment as a result of the vocational rehabilitation process he may become a client of Vocational Rehabilitation. A drug problem in and of itself does not make a person

eligible for vocational rehabilitation services. Before becoming a vocational rehabilitation client there must be evidence the individual is attempting to control or eliminate his dependency on drugs.

8. **DISABLED MENTALLY ILL:** A person who has a mental disability which constitutes a substantial handicap to employment and for whom there is reasonable expectation of employment as a result of vocational rehabilitation.
9. **DISABLED MINORITIES:** An individual who has a physical or mental disability which constitutes an employment handicap. Individuals who are disabled and are members of a minority group are identified in this categorical program. To be a minority person is not in and of itself eligibility for vocational rehabilitation.
10. **DISABLED PUBLIC OFFENDER:** Disabled public offenders are persons, either juvenile or adult, who are placed in institutions of confinement because they have broken the law and committed a misdemeanor or felony. This person also has a physical or mental disability which constitutes a handicap to employment.
11. **ELIGIBILITY:** When used in relation to an individual's qualification for vocational rehabilitation services, refers to a certification that (1) a physical or mental disability is present; (2) a substantial handicap to employment exists; and (3) vocational rehabilitation services may reasonably be expected to render the individual fit to engage in a gainful occupation.
12. **FOLLOW-UP:** After a client has completed his rehabilitation plan and is gainfully employed, a follow-up is done for at least 30 days to see how he is getting along on the job and what can be done so that the former client will become a better employee.
13. **GENERAL CASELOAD:** Each Vocational Rehabilitation counselor works with so many active cases; this is his caseload and the combined active caseload of each counselor makes up the Division of Vocational Rehabilitation's General Caseload. The General Caseload client is one who does not fall into a categorical program, i.e., Disabled Welfare Client, Spinal Cord Injury, and so on.
14. **GENERAL SUPPORT FUND:** General Support Funds come from the Rehabilitation Services Administration and Congressional allocation; 85% of the money marked for Arizona comes to the General Agency and 15% goes to the Rehabilitation Program for the Blind. This General Support Fund includes federal and state matching money and represents approximately 90% of the monies spent by the Vocational Rehabilitation Agency.
15. **INTRA-AGENCY STAFF:** Persons from within an agency with various levels of responsibility under the direction of an administrator. Such staff have common objectives and resources to accomplish specific goals.

16. **MENTALLY RETARDED:** The individual who experiences subnormal general intellectual function which originates during the developmental period and is associated with impairment in acceptive behavior in learning and social adjustment or both.
17. **PHYSICALLY DISABLED:** A person who has a physical disability which constitutes a substantial employment handicap and for whom there is reasonable expectation of employment as a result of Vocational Rehabilitation.
18. **PRE-TRIAL DISABLED:** An individual in the custody of the courts who has a disability which is identified prior to the trial.
19. **PRE-TRIAL DIVERSION PROGRAM:** Disabled persons who have brushes with the law and rather than confine them the court may place them on probation. By placing them on probation, they also are available for rehabilitation services. The rehabilitation program, if successfully completed, may substitute for the trial. No such activity with the court has yet been arranged.
20. **PROSTHETIC APPLIANCE:** An artificial device to replace, support or increase the function of an appendage or organ. Vocational Rehabilitation may purchase such a device in rehabilitating a client.
21. **SCHOOL DISTRICT:** This is the basic organizational unit of the school system in Arizona. Disabled persons may be referred to Vocational Rehabilitation from the District and if found eligible, become clients of Vocational Rehabilitation.
22. **SPECIAL EDUCATION:** Special Education is a term used to refer to those who deviate from what is supposed to be average in physical, mental, emotional or social characteristics to such an extent that they require special education services in order to develop their maximum capacity. Special Education involves meeting the needs of handicapped children. The Division of Vocational Rehabilitation accepts referrals of disabled students in school programs who have received Special Education services.
23. **STATE PLAN:** The State Plan is a "contract" between the state and the federal government to certify funds to the state for vocational rehabilitation services.
24. **SUPPLEMENTAL MAINTENANCE:** Means payments to cover the handicapped individual's basic living expenses such as food, shelter, clothing, health maintenance and other subsistence expenses essential to determination of the individual's rehabilitation potential or to achievement of his vocational rehabilitation objective. This money is used to help defray costs related to the individuals participation in a rehabilitation program; it may not cover all expenses.

25. **THIRD PARTY AGREEMENT:** A "Third Party" is a cooperative agreement between the Federal Government, i.e., the First Party; the Division of Vocational Rehabilitation, i.e., the Party of the Second Part; and another state or local public agency – the Third Party. The Cooperative Agreement shall contain the activities to be undertaken, an annual budget, and a statement to the effect that expenditures for Vocational Rehabilitation Services and Administration for which federal financial participation is claimed will be under the control and at the direction of the State Vocational Rehabilitation Agency.
26. **TOTAL REHABILITATION PROCESS:** Total Rehabilitation Process means accepting an individual who has a mental or physical disability and after testing and evaluation, the counselor feels there is reasonable expectation of employment as a result of the vocational rehabilitation process. The person then becomes a client of the Division of Vocational Rehabilitation, a plan is tailored to his unique situation, is carried out and the person ends up as gainfully employed. This may take a few weeks, months, or even years.
27. **TRAINING STATION:** Means a physical location where training is provided a Vocational Rehabilitation client; this may be a classroom or shop area where space is reserved.
28. **VOCATIONAL EVALUATION:** A tool used by the Vocational Rehabilitation counselor to help him and the client set up a realistic vocational program. The evaluation might include psychological, vocational, medical and social tests. Such evaluations are conducted in a simulated work setting or on-the-job evaluations are made.
29. **WARDS OF THE STATE:** Means that a person who is not yet 18 may have been sentenced or placed by the judiciary in the State Institution. During his stay at the institution, the State is his legal guardian; therefore, he is a ward of the State.
30. **WORKSHOP:** A rehabilitation facility where any manufacture or handiwork is carried on. It is operated for the primary purpose of providing gainful employment or professional services to the handicapped as an interim step in the rehabilitation process. It encompasses those who cannot be readily absorbed in the competitive labor market due to their ability or the lack of opportunity and provides evaluation and work adjustment services for disadvantaged individuals.

**HOUSE AMENDMENTS TO S.B. 1068**

**Arizona Department of Economic Security  
Plan proposed by HRSS Staff  
Prior to Conference Committee reevaluation  
and enactment of final legislation**

**COMMITTEE ON HEALTH AND WELFARE**  
**HOUSE OF REPRESENTATIVES AMENDMENTS TO S.B. 1068**

(Reference to Senate engrossed bill)

Page 2, between lines 19 and 20, insert:

"2. 'COMPREHENSIVE PLAN' MEANS AN EVALUATION OF CLIENT NEEDS AND THE AVAILABILITY OF SERVICES TO MEET THESE NEEDS WITHIN THE STATE."

Renumber to conform

Line 20, strike "STATE MANPOWER" and insert "ECONOMIC SECURITY"

Strike line 24, and insert:

"6. 'STATE PLAN' MEANS ANY OF THE SEVERAL STATE PLANS WHICH ESTABLISH THE FEDERAL-STATE CONTRACTUAL RELATIONSHIPS NECESSARY FOR FEDERAL FUNDING.

7. 'COMMUNITY WORK AND TRAINING', MEANS WORK, TRAINING OR JOB DEVELOPMENT WHICH WILL BE PROVIDED THROUGH A PLAN JOINTLY ENTERED INTO BY THE DEPARTMENT AND AN AGENCY, DEPARTMENT, BOARD OR COMMISSION OF THE STATE OR FEDERAL GOVERNMENT, COUNTY, CITY OR MUNICIPAL CORPORATION OR PRIVATE AGENCY WHICH IS SUBJECT TO THE APPROVAL OF THE DEPARTMENT. THIS WORK, TRAINING OR JOB DEVELOPMENT WILL TAKE PLACE IN AND ABOUT PUBLIC WORKS OR IMPROVEMENTS AND WILL UTILIZE LABOR AND SERVICES REQUIRED TO BE PERFORMED WHERE FEASIBLE BY THOSE ELIGIBLE FOR THIS PROGRAM."

Line 25, after "director;" insert "search committee;"

Line 30, after "GOVERNOR" insert ", FROM A LIST OF THREE QUALIFIED APPLICANTS SUBMITTED BY THE SEARCH COMMITTEE,"

Between lines 32 and 33, insert:

"D. THE SEARCH COMMITTEE SHALL BE COMPOSED OF TEN MEMBERS. FOUR MEMBERS SHALL BE APPOINTED BY THE GOVERNOR, THREE MEMBERS SHALL BE APPOINTED BY THE PRESIDENT OF THE STATE SENATE AND THREE MEMBERS SHALL BE APPOINTED BY THE SPEAKER OF THE STATE HOUSE OF REPRESENTATIVES. THE SEARCH COMMITTEE SHALL CONSULT WITH THE DIRECTOR OF THE PERSONNEL COMMISSION TO ESTABLISH QUALIFICATION CRITERIA FOR THE POSITION OF DIRECTOR AND SHALL SUBMIT A LIST OF THREE QUALIFIED APPLICANTS TO THE GOVERNOR FOR HIS CONSIDERATION. SUBSEQUENT TO THE APPOINTMENT OF A DIRECTOR THE SEARCH COMMITTEE SHALL BE DISSOLVED. FOR EACH

SUBSEQUENT VACANCY IN THE POSITION OF DIRECTOR, A NEW SEARCH COMMITTEE SHALL BE APPOINTED IN THE MANNER PROVIDED IN THIS SUBSECTION."

Reletter to conform

Page 3, line 5, after "DEPARTMENT," insert "EXCEPT DIVISIONS AND OFFICES PRESCRIBED PURSUANT TO SECTION 41-1962,"

Line 8, after the period, insert "THE DIRECTOR OR HIS DESIGNATE SHALL ENFORCE COOPERATION AMONG THE DIVISIONS IN THE PROVISION AND INTEGRATION OF ALL FUNCTIONS ON THE DISTRICT AND LOCAL LEVEL."

Line 12, after "SHALL" insert "DIRECT THE ADMINISTRATIVE SERVICES DIVISION AND"

Line 14, after "ASSISTANT DIRECTOR" insert ", WITH THE APPROVAL OF THE GOVERNOR,"

Strike lines 15 and 16, and insert "EACH DIVISION OF THE DEPARTMENT, EXCEPT FOR THE ADMINISTRATIVE SERVICES DIVISION, AND SHALL APPOINT A CHIEF, WITH THE APPROVAL OF THE GOVERNOR, FOR EACH OF THE OFFICES OF THE DEPARTMENT. EACH SUCH ASSISTANT DIRECTOR AND CHIEF SHALL BE SUBJECT TO THE PROVISIONS OF TITLE 38, CHAPTER 6, AND SHALL SERVE IN SUCH CAPACITY ON A PROBATIONARY BASIS FOR AT LEAST ONE YEAR."

Line 31, after "DIVISIONS" insert ", OFFICES"

Page 4, strike lines 23 and 24, and insert:

"7. BE DESIGNATED AS THE SINGLE STATE AGENCY FOR THE PURPOSES OF ADMINISTERING AND IN FURTHERANCE OF EACH FEDERALLY SUPPORTED STATE PLAN."

Line 28, after "ADVICE" insert "IN ACCORDANCE WITH THE CONFIDENTIALITY REQUIREMENTS OF EACH PROGRAM PURSUANT TO SECTION 41-1959"

Page 5, line 9, after "ECONOMIC" insert "AND SOCIAL"

Line 10, after "EMPLOYMENT" insert "AND DEPENDENCY"

Line 13, strike the period and insert ", SUPPORTIVE SERVICES AND OTHER SUCH SERVICES THE DIRECTOR DEEMS APPROPRIATE."

Line 15, after "FACILITIES," insert "PUBLIC AND PRIVATE," and after "BOTH," insert "TO PROVIDE AN INTEGRATION OF DIRECT SERVICES"

Line 16, strike the period and insert "AND THE REDUCTION OF DEPENDENCY"

Line 21, strike "manpower"

Line 22, strike "MANPOWER"

Line 25, strike "MANPOWER" and insert "SERVICE" and after "DEVELOPMENT" insert ", INTEGRATION"

Line 27, strike "MANPOWER" and after "DEVELOPMENT" insert "OF SUCH"

Line 33, after the period insert "THE DEPARTMENT SHALL HOLD PUBLIC HEARINGS ON THE PLAN BEFORE IMPLEMENTATION OF SUCH PLAN."

Page 6, line 1, after "REQUEST," insert "AND IN ACCORDANCE WITH THE CONFIDENTIALITY REQUIREMENTS OF EACH PROGRAM PURSUANT TO SECTION 41-1959,"

Line 29, after "EMPLOYER" insert "SHALL"

Line 31, strike "Manpower" and insert "Annual"

Line 32, strike "MANPOWER" and insert "ECONOMIC SECURITY NEEDS AND RESOURCES, INCLUDING THE USE, TRAINING AND PLACEMENT OF MANPOWER,"

Line 34, strike "MANPOWER" and after "DEVELOPMENT" insert "OF RELEVANT"

Page 7, between lines 2 and 3, insert:

"41-1961. Department organization; division and office responsibilities  
THE DEPARTMENT IS COMPOSED OF DIVISIONS AND OFFICES  
ENUMERATED AND HAVING AREAS OF RESPONSIBILITY AS  
FOLLOWS:

1. THE EMPLOYMENT SERVICES DIVISION, WHICH IS RESPONSIBLE FOR MANPOWER PROGRAMS AND WORK TRAINING, FIELD OPERATIONS, TECHNICAL SERVICES, UNEMPLOYMENT COMPENSATION, COMMUNITY WORK AND TRAINING AND OTHER RELATED FUNCTIONS IN FURTHERANCE OF PROGRAMS UNDER THE SOCIAL SECURITY ACT, AS AMENDED, THE WAGNER-PEYSER ACT, AS AMENDED, THE FEDERAL UNEMPLOYMENT TAX ACT, AS AMENDED, TITLE 33, U.S. CODE AND OTHER RELATED FEDERAL ACTS AND TITLES.

2. THE INDIVIDUAL AND FAMILY SERVICES DIVISION WHICH IS RESPONSIBLE FOR THE SECTION ON AGING, CHILDREN AND YOUTH AND OTHER RELATED FUNCTIONS IN FURTHERANCE OF PROGRAMS UNDER THE SOCIAL SECURITY ACT, TITLE IV B, CHILD WELFARE SERVICES, AS AMENDED, THE OLDER AMERICANS ACT, AS AMENDED, AND OTHER RELATED FEDERAL ACTS AND TITLES.

3. THE INCOME MAINTENANCE SERVICES DIVISION, WHICH IS RESPONSIBLE FOR ELIGIBILITY DETERMINATION, CATEGORICAL ASSISTANCE, SPECIAL SERVICES UNIT AND OTHER RELATED FUNCTIONS IN FURTHERANCE OF PROGRAMS UNDER THE SOCIAL SECURITY ACT, TITLE I, OLD AGE ASSISTANCE, TITLE IV A, AID TO FAMILIES WITH DEPENDENT CHILDREN, TITLE X, AID TO THE BLIND AND TITLE XIV, AID TO PERMANENTLY AND TOTALLY

DISABLED, AS AMENDED, AND OTHER RELATED FEDERAL ACTS AND TITLES.

4. THE REHABILITATION SERVICES DIVISION WHICH IS RESPONSIBLE FOR A SECTION FOR VOCATIONAL REHABILITATION, A SECTION FOR THE BLIND AND VISUALLY IMPAIRED, A SECTION FOR COMMUNICATION DISORDERS, A SECTION FOR CORRECTIONAL REHABILITATION AND OTHER RELATED FUNCTIONS IN FURTHERANCE OF PROGRAMS UNDER THE VOCATIONAL REHABILITATION ACT, AS AMENDED, THE RANDOLPH-SHEPPARD ACT, AS AMENDED, AND OTHER RELATED FEDERAL ACTS AND TITLES. EACH SECTION SHALL HAVE AN ADMINISTRATIVE OFFICER WHO SHALL REPORT DIRECTLY TO THE ASSISTANT DIRECTOR OF THE DIVISION.

5. THE ADMINISTRATIVE SERVICES DIVISION, WHICH IS RESPONSIBLE FOR PROGRAM EVALUATION AND RESEARCH, INTERAGENCY PROGRAM COORDINATION AND IN-SERVICE TRAINING, PLANNING, GRANTS, DEVELOPMENT AND MANAGEMENT INFORMATION, LEGISLATIVE LIAISON, BUDGET, LICENSING AND CERTIFICATION AND OTHER RELATED FUNCTIONS.

6. THE OFFICE OF INDIAN AFFAIRS, WHICH IS RESPONSIBLE FOR FUNCTIONS PRESCRIBED IN TITLE 41, CHAPTER 3, ARTICLE 4 AND FURTHERANCE OF PROGRAMS UNDER TITLE 25, U.S. CODE AND OTHER RELATED FEDERAL ACTS AND TITLES.

7. THE OFFICE OF MANPOWER PLANNING, WHICH SHALL SERVE AS THE STATE MANPOWER PLANNING COUNCIL FOR THE PURPOSES OF THE FEDERAL-STATE-LOCAL COOPERATIVE MANPOWER PLANNING SYSTEM AND FURTHERANCE OF PROGRAMS UNDER THE MANPOWER DEVELOPMENT AND TRAINING ACT OF 1962, AS AMENDED, PUBLIC LAW 90-636, 42 U.S. CODE 2571-2620, FEDERAL EXECUTIVE ORDER NO. 11422 DATED OCTOBER 15, 1968, AND OTHER RELATED FEDERAL ACTS AND TITLES.

8. THE OFFICE OF THE APPRENTICESHIP COUNCIL, WHICH IS RESPONSIBLE FOR FUNCTIONS PRESCRIBED IN TITLE 23, CHAPTER 2, ARTICLE 2 AND FURTHERANCE OF PROGRAMS UNDER THE FITZGERALD ACT, PUBLIC LAW 308, 75TH CONGRESS, AS AMENDED AND OTHER RELATED FEDERAL ACTS AND TITLES.

9. THE OFFICE OF VETERANS' SERVICES, WHICH IS RESPONSIBLE FOR FUNCTIONS PRESCRIBED IN TITLE 41, CHAPTER 3, ARTICLE 7, AND FURTHERANCE OF PROGRAMS UNDER TITLE 38, U.S. CODE RELATING THE VETERAN'S BENEFITS AND OTHER RELATED FEDERAL ACTS AND TITLES.

10. THE OFFICE OF ECONOMIC OPPORTUNITY, WHICH IS RESPONSIBLE FOR THE FURTHERANCE OF PROGRAMS PRESCRIBED UNDER THE ECONOMIC OPPORTUNITY ACT OF 1967, AS AMENDED AND OTHER RELATED FEDERAL ACTS AND TITLES.

41-1962. District offices; location; representatives

A. THE DEPARTMENT SHALL ESTABLISH SIX DISTRICT OFFICES, TO BE LOCATED IN AND SERVE EACH OF THE FOLLOWING AREAS:

1. MARICOPA COUNTY.
2. PIMA COUNTY.
3. APACHE, COCONINO, NAVAJO AND YAVAPAI COUNTIES.
4. MOHAVE AND YUMA COUNTIES.
5. GILA AND PINAL COUNTIES.
6. COCHISE, GRAHAM, GREENLEE AND SANTA CRUZ COUNTIES.

B. EACH DISTRICT OFFICE SHALL BE STAFFED BY A REPRESENTATIVE FROM EACH OF THE DIVISIONS OF THE DEPARTMENT, ONE OF WHOM SHALL BE DESIGNATED BY THE DEPUTY DIRECTOR TO BE THE HEAD OF THE DISTRICT OFFICE.

C. EACH DISTRICT OFFICE SHALL BE CONSIDERED AN OPERATIONS UNIT OF THE DEPARTMENT AND SHALL BE RESPONSIBLE FOR THE PLANNING, PROGRAMS, INTRA AND INTERAGENCY COORDINATION WITHIN THE DISTRICT AREA.

D. EACH DISTRICT OFFICE SHALL BE CREATED IN ADDITION TO ANY LOCAL OFFICES OF ANY OF THE DEPARTMENT'S DIVISIONS THAT MAY EXIST IN THE DISTRICT AREA.

41-1963. Conflict with federal law

WHERE ANY CONFLICT WITH FEDERAL LAW OCCURS CONCERNING THE PROGRAMS AND FUNCTIONS OF THE DEPARTMENT AS ESTABLISHED BY THE LAW OF THIS STATE, SUCH FEDERAL LAW SHALL CONTROL."

Line 4, strike "State manpower" and insert "Economic security"

Line 8, strike "A STATE MANPOWER" and insert "AN ECONOMIC SECURITY"

Line 9, strike "STATE MANPOWER" and insert "ECONOMIC SECURITY"

Line 14, strike "THE" and strike lines 15 through 17

Strike lines 22 through 24, and insert:

"C. THE COUNCIL SHOULD HAVE EIGHTEEN MEMBERS REPRESENTING THE PUBLIC AND RELEVANT PROFESSIONAL, BUSINESS, MANUFACTURING, LABOR AND EDUCATIONAL ORGANIZATIONS AS WELL AS ONE REPRESENTATIVE FROM EACH DIVISION'S ADVISORY COUNCIL."

Line 28, after "ESTABLISH" insert "AN ADVISORY COUNCIL FOR EACH DIVISION AND"

Page 8, line 2, after "APPOINT" insert ", WITH THE APPROVAL OF THE GOVERNOR,"

Line 3, strike "STATE MANPOWER" and insert "ECONOMIC SECURITY" and after "COUNCIL" insert a period.

Strike line 4

Line 10, strike "STATE MANPOWER" and insert "ECONOMIC SECURITY"

Line 11, after "SHALL" strike the remainder of the line and line 12 and insert "RECEIVE COMPENSATION DETERMINED PURSUANT TO SECTION 38-611."

Page 22, strike lines 3 through 31 and on page 23, strike lines 1 through 14 and insert:

"B. The state board of vocational education shall establish an advisory council for technical-vocational education consisting of representatives appointed from the fields of agriculture, business, industry, labor, the home, the ~~Arizona state employment service~~ DEPARTMENT OF ECONOMIC SECURITY, and the state director of vocational education who shall act as chairman. The members of the advisory council who represent agriculture, business, industry, labor and the home shall be recommended to the state board of vocational education by the state director of vocational education. The members shall serve at the pleasure of the state board of vocational education.

C. The advisory council shall provide leadership in planning and establishing a program, including curriculum, of technical-vocational education in Arizona.

D. The members of the advisory council shall serve without compensation.

E. Meetings of the advisory council may be called by the state director of vocational education."

Renumber to conform

Page 23, line 20, after "maintain" insert "WITHIN ITS REHABILITATION SERVICES SECTION FOR THE BLIND AND VISUALLY IMPAIRED"

Page 26, line 16, after "SECURITY" strike remainder of line and on line 17, strike "COUNCIL AND" and insert "SUBJECT TO THE APPROVAL OF"

Line 19, strike "AN" and insert "one non-voting public representative not employed by the state. The"

Line 21, strike the period and strike "~~the~~ THE" and insert ", the"

Page 27, strike lines 12 and 13, and insert:

"1. Designate from its membership a chairman and a secretary, neither of whom shall be an employee of the state."

Renumber to conform

Page 29, line 20, after "Disabled person" insert "OR 'HANDICAPPED PERSON'"

Line 21, after "condition" insert ", IN THE LIGHT OF ATTENDANT MEDICAL, PSYCHOLOGICAL, VOCATIONAL, EDUCATIONAL CULTURAL, SOCIAL OR ENVIRONMENTAL FACTORS,"

Line 33, strike the period and insert "AND OTHER RELATED SERVICES AS DEFINED IN THE VOCATIONAL REHABILITATION ACT, AS AMENDED."

Page 30, line 8, after "rehabilitation" insert a comma

Line 10, strike the period and insert ", FOLLOW UP, EVALUATION AND WORK ADJUSTMENT AND OTHER RELATED SERVICES AS DEFINED IN THE VOCATIONAL REHABILITATION ACT, AS AMENDED."

Page 30, line 30, after "departments," insert "DIVISIONS;"

Line 32, strike "in TO" and insert "in"

Page 47, line 18, after "DIRECTOR;" insert "SUBJECT TO THE APPROVAL OF THE GOVERNOR,"

Line 21, after "TRIBE" insert a period and strike remainder of line and strike line 22

Page 48, strike lines 16 through 19 and insert "hold hearings, make investigations, and confer with officials of local, state and federal agencies in order to secure cooperation between the federal, state and local governments in the"

Page 48, line 25, strike "MANPOWER" and strike "41-1962" and insert "41-1960"

Line 27, strike "MANPOWER" and insert "SUPPORTIVE"

Page 49, line 16, strike "AFTER", strike line 17 and insert ", SUBJECT TO THE APPROVAL OF THE GOVERNOR."

Line 31, after "incompetent veteran" insert "OR HIS WIDOW"

Page 55, line 11, after "IN" insert "THE INCOME MAINTENANCE SERVICES DIVISION OF"

Page 56, line 32, strike "AN OFFICE" and insert "A SECTION"

Page 57, line 4, after the period insert "THE ADMINISTRATIVE OFFICER AND STAFF OF THE SECTION FOR THE BLIND AND VISUALLY IMPAIRED SHALL BE EMPLOYED FULL TIME IN THE WORK OF THAT SECTION."

Page 58, line 18 and 21, strike "commodities" and insert "FOOD STAMPS"

Page 59, line 1, strike "commodities" and insert "FOOD STAMPS"

Page 60, strike lines 6 through 22, and insert:

"Sec. 70. Title 46, chapter 1, Arizona Revised Statutes, is amended by adding article 7, sections 46-181 through 46-184, to read:

ARTICLE 7. SECTION ON AGING

46-181. Section on aging

A. THERE IS A SECTION ON AGING IN THE DEPARTMENT OF ECONOMIC SECURITY.

B. THE SECTION SHALL BE UNDER THE DIRECTION OF THE ASSISTANT DIRECTOR FOR THE DIVISION OF INDIVIDUAL AND FAMILY SERVICES, WITH THE ADVICE OF THE ADVISORY COUNCIL ON AGING.

46-182. Section powers and duties; costs

A. THE SECTION, IN CARRYING OUT THE PROVISIONS OF THE OLDER AMERICANS ACT OF 1965, PUBLIC LAW 89-73, AS AMENDED, SHALL:

1. COOPERATE WITH THE FEDERAL COMMISSIONER ON AGING AND PROVIDE INFORMATION TO THE ADMINISTRATION ON AGING, DEPARTMENT OF HEALTH, EDUCATION AND WELFARE UPON REQUEST.

2. PREPARE A STATE PLAN FOR THE ADMINISTRATION OF THE STATE PROGRAM FOR THE AGING WHICH SHALL SET FORTH THE PROVISIONS CONTAINED IN SECTION 303 OF THE OLDER AMERICANS ACT OF 1965.

3. SERVE AS A CLEARING HOUSE FOR INFORMATION RELATED TO STATE PROBLEMS OF THE AGED AND AGING. GATHER AND DISSEMINATE INFORMATION AND CONDUCT HEARINGS, CONFERENCES AND SPECIAL STUDIES ON PROBLEMS AND PROGRAMS CONCERNING THE AGING.

4. DEVELOP PLANS, CONDUCT AND ARRANGE FOR RESEARCH AND DEMONSTRATION PROGRAMS IN THE FIELD OF AGING.

5. ACCEPT AND DISBURSE FUNDS TO CARRY OUT THE FUNCTIONS CONTAINED HEREIN AND MAKE GRANTS FOR PROJECTS AND PROGRAMS IN THE FIELD OF AGING.

6. PROVIDE CONSULTATION TO COUNTIES AND SUBDIVISIONS THEREOF WITH RESPECT TO LOCAL COMMUNITY PROGRAMS FOR THE AGED AND AGING. DEVELOP, COORDINATE, AND ASSIST OTHER PUBLIC AND PRIVATE ORGANIZATIONS WHICH SERVE THE AGING.

7. PREPARE, PUBLISH AND DISSEMINATE EDUCATIONAL MATERIALS DEALING WITH THE HEALTH AND WELFARE OF AGED PERSONS. STIMULATE PUBLIC AWARENESS OF THE PROBLEMS OF THE AGING BY CONDUCTING A PROGRAM OF PUBLIC EDUCATION AND ENCOURAGE THE GOVERNOR AND THE LEGISLATURE TO DEVELOP PROGRAMS TO DEAL WITH SUCH PROBLEMS.

8. STIMULATE MORE EFFECTIVE USE OF EXISTING RESOURCES AND AVAILABLE SERVICES FOR THE AGED AND AGING, INCLUDING COORDINATION OF THE ACTIVITIES OF OTHER STATE DEPARTMENTS, AND THE COLLABORATION WITH SUCH DEPARTMENTS, AGENCIES OR COMMISSIONS, WITH COUNTY

OFFICIALS AND VOLUNTARY AGENCIES AND WITH STATE AND LOCAL PROFESSIONAL ASSOCIATIONS AND SOCIETIES FOR THE AGED AND AGING.

9. HAVE ALL POWERS NECESSARY TO CARRY OUT THE FUNCTIONS AND DUTIES SPECIFIED IN THIS ARTICLE, INCLUDING POWER TO ESTABLISH COMMUNITY AND OTHER ADVISORY COMMITTEES ON SPECIAL SUBJECTS, TO SOLICIT AND ACCEPT GIFTS AND GRANTS AND TO CONTRACT WITH PUBLIC AND PRIVATE GROUPS TO CONDUCT ITS BUSINESS.

B. COSTS OF ADMINISTRATION OF THE STATE PLAN BY THE SECTION SHALL BE IN CONFORMANCE WITH THE PROVISIONS OF SECTION 304 OF THE OLDER AMERICANS ACT OF 1965, AS AMENDED, AND WITH ALL APPLICABLE STATE LAWS.

46-183. Advisory council on aging; members; appointment; terms; compensation; officers

A. THERE SHALL BE AN ADVISORY COUNCIL ON AGING.

B. THE ADVISORY COUNCIL ON AGING SHALL BE COMPOSED OF FIFTEEN MEMBERS APPOINTED BY THE DIRECTOR, SUBJECT TO THE APPROVAL OF THE GOVERNOR. AT LEAST EIGHT OF THE MEMBERS SHALL BE CONSUMERS OR POTENTIAL CONSUMERS OF SERVICES PROVIDED UNDER THE OLDER AMERICANS ACT OF 1965, AS AMENDED. MEMBERS APPOINTED TO THE COUNCIL SHALL HAVE A KNOWLEDGE OF, AND AN ESTABLISHED BASIC INTEREST IN, THE PROBLEMS AFFECTING OLDER CITIZENS AND MEMBERS SHALL BE SELECTED WITH DUE REGARD TO GEOGRAPHIC AND OTHER ELEMENTS OF REPRESENTATION IN ORDER THAT AS MANY DIVERGENT VIEWS AS POSSIBLE CAN BE REPRESENTED.

C. EACH MEMBER OF THE COUNCIL SHALL BE APPOINTED FOR A TERM OF THREE YEARS. OF THOSE PERSONS FIRST APPOINTED, FIVE SHALL BE APPOINTED FOR A TERM OF ONE YEAR, FIVE SHALL BE APPOINTED FOR A TERM OF TWO YEARS, AND FIVE SHALL BE APPOINTED FOR A FULL TERM OF THREE YEARS. VACANCIES OCCURRING OTHER THAN BY EXPIRATION OF TERM SHALL BE FILLED IN THE SAME MANNER FOR THE BALANCE OF THE UNEXPIRED TERM.

D. THREE NONVOTING MEMBERS OF THE COUNCIL SHALL CONSIST OF ONE STATE SENATOR APPOINTED BY THE SENATE PRESIDENT FOR A TERM OF TWO YEARS, ONE MEMBER OF THE HOUSE OF REPRESENTATIVES APPOINTED BY THE SPEAKER OF THE HOUSE FOR A TERM OF TWO YEARS AND THE ASSISTANT DIRECTOR OF THE DIVISION OF INDIVIDUAL AND FAMILY SERVICES OR HIS REPRESENTATIVE.

E. VOTING MEMBERS OF THE ADVISORY COUNCIL SHALL RECEIVE COMPENSATION PURSUANT TO SECTION 38-611.

F. A CHAIRMAN, VICE CHAIRMAN AND SECRETARY SHALL BE DESIGNATED EACH CALENDAR YEAR FROM THE COUNCIL MEMBERSHIP BY THE DIRECTOR, WITH THE APPROVAL OF THE GOVERNOR. AN EXECUTIVE SECRETARY TO SERVE THE COUNCIL SHALL BE DESIGNATED FROM AMONG THE STAFF OF THE DEPARTMENT OF ECONOMIC SECURITY. THE DEPARTMENT SHALL PROVIDE NECESSARY STAFF SERVICES TO THE ADVISORY COUNCIL ON AGING.

46-184. Advisory council duties

A. THE ADVISORY COUNCIL SHALL ADVISE THE DEPARTMENT, THROUGH THE ASSISTANT DIRECTOR OF INDIVIDUAL AND FAMILY SERVICES DIVISION, ON ALL MATTERS OR PROBLEMS WITH RESPECT TO THE ADMINISTRATION OF THE STATE PLAN ON AGING AS ARE REFERRED TO THE COUNCIL BY THE SECTION ON AGING. IN PERFORMING THIS FUNCTION, THE COUNCIL SHALL NOT BE LIMITED TO PROVISIONS OF THE OLDER AMERICANS ACT OF 1965, AS AMENDED.

B. THE COUNCIL SHALL CONVENE IN FORMAL MEETING AT THE CALL OF THE DEPARTMENT THROUGH THE ASSISTANT DIRECTOR OF THE INDIVIDUAL AND FAMILY SERVICES DIVISION OF THE DEPARTMENT OF ECONOMIC SECURITY, BUT IN NO CASE LESS THAN TWO TIMES EACH FISCAL YEAR. A QUORUM SHALL CONSIST OF NO LESS THAN NINE MEMBERS PRESENT. RECOMMENDATIONS TO THE DEPARTMENT BY THE COUNCIL SHALL BE REPRESENTED BY A SIMPLE MAJORITY VOTE OF MEMBERS PRESENT OF A QUORUM IN FORMAL MEETING. MINORITY OPINIONS WITH RESPECT TO ANY COUNCIL RECOMMENDATION MAY BE FORMALLY SUBMITTED IN WRITING TO THE DEPARTMENT THROUGH THE CHAIRMAN OF THE COUNCIL.”

Renumber to conform

Page 65, between lines 16 and 17, insert:

“Sec. 78. Section 46-231, Arizona Revised Statutes, is amended to read:

46-231. Administration

General assistance provided for in this article shall be administered by the ~~state~~ department of ~~public welfare~~, subject to the provisions of chapter 1 and article 1 of chapter 2 of this title.

Sec. 79. Section 46-232, Arizona Revised Statutes, is amended to read:

46-232. Duty of state department to establish plan for aid to permanently and totally disabled persons; conformity with federal law; state funds

A. The state department shall establish a plan for aid to permanently and totally disabled persons, which shall conform to the requirements necessary to qualify for federal funds under title XIV of the federal social security act.

B. The eligibility requirements as provided in this article for general assistance shall be applied, except that the minimum age for eligibility shall be established as eighteen. Persons in public or private institutions for tuberculosis or mental disease, or in public or private medical institutions as a result of diagnosis of tuberculosis or psychosis, shall not be eligible.

C. Funds appropriated to the state department for direct relief shall be available to the department for expenditure for assistance to persons permanently and totally disabled pursuant to the provisions of this section. Medical expenses incurred by the department in establishing permanent and total disability as defined by the ~~state~~ board DEPARTMENT may be paid from administrative funds or from funds available for assistance."

Renumber to conform

Page 67, strike lines 25 through 31

Renumber to conform

Page 72, line 8, strike "three" and insert "TWO" and after "physicians," insert "ONE LICENSED PHARMACIST,"

Line 9, after "members." insert "THE PHARMACIST MEMBER SHALL NOT BE APPOINTED UNTIL THE REGULAR EXPIRATION OF THE TERM OF ONE OF THE LICENSED PHYSICIAN MEMBERS SUBSEQUENT TO THE EFFECTIVE DATE OF THIS SECTION."

Page 77, strike lines 9 through 11, and insert:

"C. COMMITTEE MEMBERS SHALL RECEIVE COMPENSATION DETERMINED PURSUANT TO SECTION 38-611."

Page 79, line 22, after "46-163," insert "46-171,"

Between lines 23 and 24, insert:

"Sec. 98. Retention of members

All persons serving as members of a board, council or commission on the effective date of this act whose board, council or commission is retained as a part of the department of economic security shall continue to serve until expiration of their normal term."

Renumber to conform

Page 80, line 4, strike the period and insert "but not later than January 1, 1973."

Line 7, strike the period and insert "and shall establish the operation of the administrative services division not later than January 1, 1973."

Amend title to conform

and, as so amended, it do pass

SAM. A. McCONNELL, JR.  
Chairman

Spring 1972