

INTERAGENCY COLLABORATION IN VIRGINIA:
SERVICES FOR THE HANDICAPPED LEARNER,

by

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Chapter I

INTRODUCTION

Interagency collaboration is not a new concept. Rather, the term and more notably the integration of service delivery came to the national forefront during the mid nineteen sixties. The fore-runners of integrating service delivery systems were Vocational Education, Vocational Rehabilitation, the Health Service agencies and Community Based Education projects. It is only within the last five years that major interagency collaboration, beyond that provided by Vocational Rehabilitation, has surfaced to include the provision of services to handicapped children.

Rationale

Public Law 94-142, the Education for All Handicapped Children Act of 1975, gave federal impetus to the interagency movement in Special Education. The "related services" requirements of the law provided direction in seeking formal relationships with other agencies. The regulations for Public Law 94-142 (Federal Register, August 23, 1977) refer to related services as "transportation and such other developmental, corrective and supportive services as are required to assist a handicapped child to benefit from special education...There are certain kinds of services which might be provided by persons from varying professional backgrounds and with a variety of operational titles...(121a.13, p. 42470-42480)". Specific guidelines for collaborative efforts were promulgated during 1980 in the

Education Division General Administrative Regulations (EDGAR). These regulations set forth guidelines regarding coordination of activities (§100a.580 and §100b.580) and methods of coordination (§100a.581 and §100b.581).

In addition to legislation, the federal government has played an important role in the interagency movement through letters of transmittal, joint memoranda and policy papers. The most recent of these documents was the "Memorandum of Understanding" issued by the Office of Education (OSE) and the Office of Civil Rights (OCR) (1980). The "Memorandum" specifically outlines the coordination of activities for enforcement, data collection, policy development and technical assistance in coordinating services to states in implementing P.L. 94-142 and P.L. 93-112, Section 504. Further, the "Memorandum" reiterates OSE's commitment to seek coordinated activities and to provide assistance to states to facilitate efficient service delivery systems.

In response to federal encouragement and in order to comply with federal mandates, State and Local Education Agencies (SEA and LEA) developed and expanded special education programs and service delivery systems. Concomitantly, as the demand for those services increased and budgetary resources diminished many SEAs and LEAs entered into formal and informal arrangements (interagency collaborative efforts) with other human service agencies to provide comprehensive special education and related services to handicapped learners. Agencies such as Rehabilitation Services,

Public Health, Mental Health/Mental Retardation, Crippled Children's Services and Corrections are generally found to have agreements at both the SEA and LEA levels of administration. Additionally, OSE requires that SEAs submit such agreements in their Annual Program Plan, while SEAs place the same requirement on the LEA.

Despite the federal role and requirements and subsequent state initiative, SEA level interagency agreements have proven to be vague and ambiguous documents (personal communications with Bob Henson-Walling, 1979; Austin Tuning, 1980; Virginia Division for Children, 1980). The researcher's review of sample SEA and LEA interagency agreements supports that conclusion. Agreements submitted to OSE, and subsequently reviewed by the researcher, exhibited little evidence of a common informational base. Specifically, state agreements ranged from memoranda and letters to long detailed outlines of resources, services, policies, procedures or system practices. The researcher's review of local agreements in Virginia evidenced similar results. It appears that many LEAs and service agencies have had to develop and implement service delivery systems without the benefit of "good" state model agreements or developmental process guidelines or procedures.

A Bureau of Education for the Handicapped (BEH) report (McLaughlin and Christensen, 1979) delineated the driving and restraining forces influencing interagency collaborative efforts. The outcome of the report was the identification of the forces which effect the future of successful collaborative ventures:

- (1) There is a general lack of awareness and understanding of the benefits and processes of collaborative planning and implementing of service delivery; and,
- (2) The complex nature of present delivery systems restricts the degree to which collaborative coordination (development and implementation) may be achieved (McLaughlin and Christensen, p.24).

A subsequent study by McLaughlin and Christensen (1980) analyzed the historical, current and future development and implementation of cooperative endeavors across five LEAs and other service providers. The results confirmed and expanded upon previously identified restraining forces. Specifically, the following developmental barriers continually surfaced:

Public versus private agency conflict;

Interpersonal dissonance between and among planning board members;

Lack of a centralized informational base;

Imprecise definition of agency responsibilities and authority;

Absence of common procedures for information dissemination;

Uncertainty of end product; and,

A lack of sustained availability of key people to facilitate planning (McLaughlin and Christensen, p. 21).

The state of the art, as revealed by testimony and the literature, evidences many barriers in the developmental or planning stages. In attempting to understand the barriers, consideration must be given to the underlying processes or developmental steps utilized in

developing interagency collaborative efforts.

A Regional Resource Center (RRC) Task Force on Interagency Collaboration described interagency collaboration as a process which is illustrated by a paper agreement. The process was described as:

- (1) Encouraging an exchange of ideas, plans, approaches and resources across disciplines;
- (2) Enabling all participants jointly to define separate interests in mutually identified needed changes to achieve common purposes; and,
- (3) Utilizing formal procedures to help clarify issues, define problems and make decisions relative to solutions (RRC, p. 1, 1979).

The RRCs also provided a detailed schema of procedures which might be used in planning interagency collaborative efforts. The major areas of consideration were:

- (1) Establishing the need;
- (2) Establishing the data base;
- (3) Identifying the planning targets;
- (4) Establishing interagency provisions; and,
- (5) Assuring collaboration in service delivery (RRC, p.3, 1979).

Elder (1979) identified a similar, although more general, framework for developing collaborative agreements. He offers the following:

- (1) Establish agency commitment;
- (2) Inventory programs; and,
- (3) Analyze organizational relationships (p.204).

Ferrini, et. al. (1980) have most recently detailed the major activities of the collaborative process according to stages. The three stages were:

- (1) Move from a general theme to a specific program focus;
- (2) Choose one strategy to initiate the program; and,
- (3) Develop an action plan (p. 27-87).

Although information describing various developmental models are becoming more available, limited data have been provided which identified the decision steps involved or necessary to the planning process. One study did address this issue. McLaughlin and Christensen (1980) reporting the results from five case studies of collaborative efforts, concluded that a process for developing collaborative efforts was utilized and that the decision points identified were continually recycled. It was expected that a by-product of the McLaughlin and Christensen study would be to identify problems, solutions, resources and benefits specific to each decision point. The data were not recovered, however, and that which was reported was exemplary of the whole process rather than particular to each individual step.

Statement of the Problem

A review of the literature indicated that there are many barriers inherent to the development and implementation of an inter-agency collaborative effort. Models are existent which, if applied,

purportedly result in the successful achievement of developing a collaborative effort. However, there are limited data to substantiate these claims. No attempt has been made to report problems specific to the development of interagency collaborative efforts or the subsequent solutions, resources and benefits which have resulted. The problem, therefore, is the lack of data substantiating the developmental process and the general lack of information relative to collaborative efforts between special education and other human service agencies. This study attempted to identify decision points or steps utilized in developing collaborative efforts; and, identify similar and different problems, solutions and benefits between and within human service and special education agencies as they attempted to deliver special education and related services to handicapped learners.

Research Questions

The following research questions were used to guide this study:

- (1) What are the developmental steps/strategies which special education and participating service agencies (individually and collectively) follow in developing a collaborative effort?
- (2) What are the problems, if any, in developing and operating interagency collaborative efforts between and within special education and other human service agencies?
- (3) Do common solutions and resources to those problems exist between and within special education and other human service agencies?

Significance of the Study

Although the literature is replete with information regarding interorganizational relationships, programmatic models and evaluation studies thereof, few studies have examined the developmental processes of interagency collaboration. More importantly, limited data have been provided on the status of special education agencies' involvement in the interagency arena. Hence this study will contribute to the limited body of knowledge regarding development of interagency collaboration and special education agencies' involvement in that process. Secondly, the identification of decision steps will provide substantive data of a purportedly successful model. Finally, identification of problems and solutions within and among agencies will be valuable in assessing technical assistance needs.

Delimitations

This study was restricted to the investigation of the development of interagency collaborative efforts. It was further restricted to obtaining only that information pertinent to those activities. Data collection was restricted to interview and mailed survey questionnaire strategies. In-depth interviews were restricted to those local collaborative efforts selected by the researcher's advisory committee at Virginia Polytechnic Institute and State University, a representative from the Office of Special and Compensatory Education, and the researcher.

Limitations

This study was limited to self-report data from which emerge the problems of reliability and validity inherent to interview and mailed survey questionnaire data collections strategies. Further, this study was limited to those personality and communication factors surfacing as problems, solutions or resources but did not extend to evaluating those human traits. Finally, this study was limited to data collection within the Commonwealth of Virginia.

Assumptions

It was assumed that persons responding had experience or knowledge of the activities utilized in developing their collaborative effort. It was further assumed that if those individuals did not have that knowledge, that they would recover that information or facilitate the recovery of the information by referring the investigator to other sources.

Definition of Terms

Handicapped Learner:

Those children being evaluated as mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, orthopedically impaired, other health impaired, deaf-blind, multi-handicapped, or as having specific learning disabilities, who because of those impairments need special education (Federal Register, August 23, 1977, 121a. 5[a])

Interagency Agreement:

The paper documentation which delineates the purposes, procedures, responsibilities, and services to be provided by one or more agencies.

Formal agreement: Conventional paper agreement which exhibits the signatures of the respective agency representatives.

Informal agreement: Gentleman's agreement between respective agency representatives.

Interagency Collaboration:

The process through which two or more agencies work together to join their separate programs and services for the purpose of providing a continuum of service alternatives to handicapped learners (Elder, 1979).

Interagency Collaborative Effort:

Programs or services provided by multiple agencies for the purpose of providing a continuum of service alternatives to handicapped learners.

Other Human Service Agencies:

Agencies such as Health, Mental Health/Mental Retardation, Rehabilitation, Corrections/Juvenile Courts, and Social Services/Welfare which provide developmental, corrective and/or support services to handicapped learners.

Chapter II

REVIEW OF LITERATURE

Integrated human service delivery systems came to the national forefront during the early 1960's. Historically interagency and interdisciplinary collaboration was the consequence of citizen demands, political emphasis and government/legislative sensitivity to providing a holistic service approach and humanizing service delivery systems. Further, inherent in this national attitude of humanism was the shift from the client as a service recipient to one more consumer oriented. The client was now a consumer of services and the underlying principle of service delivery was participatory in nature (Fauri, 1978; White and Gates, 1974). Renewed emphasis was being given to federal participation particularly in the health, mental retardation, vocational rehabilitation and social service fields.

Consumerism, client-centered approaches and client participation continued into the 1970's accompanied by examination and evaluation of current service delivery systems. In addition, an increasing public awareness of education for the handicapped was emerging. Litigation was both abundant and costly, resulting in a need for political expediency (Wientraub, et.al., 1976). Expediency came in the form of Public Law 94-142, The Education for All Handicapped Children Act of 1975. Simply, the law mandated a "free appropriate education for all handicapped children in the least restrictive environment".

Concomitant with the passage of Public Law 94-142 came the

increased need for accountability. The shrinking tax dollar and public scrutiny of expenditures have caused education and other service agencies to search for alternative ways to provide services (Elder, 1979; McNelly, 1980; RRC Task Force, 1979). Despite the individual agency's need for alternative delivery of services, the issue of service delivery for handicapped children/learners has been thought to be largely the responsibility of the SEA and, ultimately, the LEA. This does not preclude the fact, however, that actual delivery of services may be supported and provided by other human service agencies. Thus to realize a continuum of service delivery systems, interagency collaboration has become essential.

A review of major legislation as it pertains to the handicapped learner is necessary, in order to realize that collaborative efforts are practical and can assist in reduction of duplicative services. For the purposes of this discussion the review will consist of a brief purpose statement and the general provision for services.

A. Public Law 93-112
Rehabilitation Act of 1973

Purpose: To develop and implement through research, training and services, and guarantee by equal opportunity comprehensive and coordinated programs of vocational rehabilitation and independent living.

Services: Services will be provided which are necessary to achieve the purpose and will include components of screening, assessment, individual program development, implementation/treatment, and program review/re-evaluation.

- B. Public Law 94-103
Developmental Disabilities: Basic
Support, Protection and Advocacy

Purpose: To provide comprehensive services to persons with developmental disabilities, assist states in developing, implementing plans and implementing systems for protection and advocacy.

Services: Services will include screening, assessment, individual program development, implementation, treatment and program review/re-evaluation.

- C. Public Law 94-142
The Education for All Handicapped Children
Act

Purpose: To insure a free appropriate special education including related services to handicapped children and to insure parental and children's rights.

Services: Screening, assessment, individual program development, implementation and program review/evaluation are included as service components.

- D. Public Law 94-482
Vocational Education Act

Purpose: To assist states in improving planning in the use of all resources available for vocational education and manpower training within the state in the development of vocational education plans (104.2).

Services: Any goods or services necessary to render handicapped individuals employable. This will include screening, assessment, individual program development, implementation/treatment and program review/re-evaluation.

- E. Public Law 95-524
Comprehensive Employment and Training Act

Purpose: To provide job training and employment opportunities for economically disadvantaged,

unemployed or underemployed persons to increase earned income, employment opportunities and self-sufficiency through a flexible, coordinated and decentralized system of plans, programs and activities with federal, state and local economic, community and related education and rehabilitation programs.

Services: Services will include outreach, assessment, personalized employability plans, implementation and review/re-evaluation.

Other major legislation which benefits the handicapped learner are: Maternal and Child Health Services (Title V of the Social Security Act), Child Development and Social Service Programs (Title XX of the Social Security Act), Supplemental Security Income: Disabled Children's Program (Title XVI of the Social Security Act) and Early and Periodic Screening, Diagnosis and Treatment (Amendment to Title XIX of Medicaid) (RRC Task Force, 1979; Foley, 1979).

The majority of legislation described above alludes to purposes and services which could lead to redundancy of services. For example, most legislation included responsibilities for diagnosis and planning for services to handicapped persons. To eliminate this potential overlap of responsibility, the regulations specifically describe areas of coordination or suggest collaboration between agencies with common clientele.

The most recent provisions supporting interagency collaborative efforts are set forth in the Education Division General Administrative Regulations (EDGAR) (Federal Register, April 3, 1980). Specifically, coordination of activities and methods of coordination are

delineated in the regulations (§100a. and b. 580 and §100a. and b. 581).

In order to more clearly understand interagency collaboration, it is useful to review literature relative to interorganizational relations. Baumheir and Welch (1976) identified four organizational characteristics associated with interorganizational relationships. They are (1) awareness, (2) interdependence, (3) standardization, and (4) the number of organizations. Collaboration, albeit cooperation, was evidenced when interdependence of agency(s) roles, functions and service provisions were acknowledged. Further, interdependence was a consequence of greater awareness of the common purposes among agencies which in turn was more likely to lead to greater coordination. Standardization refers to the degree to which coordination is made more routine: the greater the standardization the greater the coordination; conversely, the less standardization and coordination, the more informal the collaboration. When discussing the number of agencies and their relationships Baumheir and Welch suggested that when a large number of agencies participated, efforts were more formalized in policies and procedures.

Gilbert and Specht (1977) found similar characteristics in their study which addressed community, organization and staff characteristics. They concluded that successful collaboration would be more likely to occur when (1) there was a strong commitment from participating agencies, (2) the number of participating agencies was small, and (3) when city organization did not operate with a high degree of autonomy (p. 72). Hence, when executive commitment was

high, it produced organizational characteristics which enhanced coordination.

O'Brien (1973) developed a typology of interorganizational relationships based on the level of organization and types of control. They are as follow:

- Type I: Voluntary-unmanaged. This is the free exchange of resources and/or information mutually identified as a means of achieving certain goals.
- Type II: Voluntary-managed. A voluntary coordination and/or contract which is an effort to standardize the vehicles of exchanging information, services, etc.
- Type III: Mandated-unmanaged. A forced contract which does not specify decision making mechanisms. More often than not, this is a required relationship.
- Type IV: Mandated-managed. This typology details hierarchical coordination patterns which dictate and specify certain aspects of decision making (p. 180-181).

Although far from conclusive, the above research suggests that there are certain conditions under which successful collaboration is more likely to occur. Very few researchers, however, have addressed the relationship between particular linkage types and effectiveness in achieving collaboration. Aiken, et.al., (1975) attempted such an endeavor in their study examining five interorganizational human service coordination projects. They identified four system elements and interaction aims. The system was found to encompass (a) information, (b) clients, (c) resources, and (d) programs while

aims were (a) maximization of comprehensiveness, (b) compatability, and (c) cooperation within and among systems.

Arganoff and Pattakos (1979), Elder (1979) and Ockerman and Martinson (1980) also have examined the system elements referred to by Aiken, et.al. They have expanded the list to include: case management, referral, policy management, and outreach. The aims have also been extended by other researchers to include maximum yield of tax dollars and reduction of duplicate services (Audette, 1980; Hall, 1980). Despite the fine delineations, however, the characteristics of interorganizational relationships appear similar.

Inherent in the similarities are the problems associated with establishing collaborative efforts. Such issues as territorial ownership, fiscal capability and responsibility, variations in client eligibility, ambiguity of agency roles and functions, confidentiality, and uncertainty of end product begin to surface (McLaughlin and Christensen, 1980). When viewed from the theoretical viewpoint one begins to understand the difficulties associated with collaborative efforts. The need to maintain the status quo (i.e. agency autonomy) inhibits the very characteristics which promote collaborative efforts: interdependence; awareness; standardization; and the number of agencies participating. The barriers, when coupled with the typologies identified by O'Brien (1973) may result in the failure to achieve the desired outcome of interagency collaboration.

During the early 1970s, the Rand Corporation (1974) published a report on human service delivery systems. The report concluded

that current delivery systems were complex, disorganized, inefficient and, more often than not, ineffective. The Government Accounting Office (1974) confirmed these findings and reiterated that numerous overlaps and duplication of services were existent.

John (1977) analyzed final reports and documentation from twenty Service Integration - Targets for Opportunity Projects (SIT0). He concluded the following:

- (1) Fiscal linkages at the state or local level were successfully implemented in relatively few cases. Barriers which inhibited this method included federal regulations, state laws, lack of funds and institutional barriers.
- (2) Personnel linkages were tested by twelve locations with mixed results. Although accessibility and communication were sometimes increased, turf questions, confusion, and conflict between agencies often increased. The joint staff linkage, although not tested extensively, revealed conflict between agency directors, difference in accountability and difficulty in supervisory responsibility of paraprofessionals.
- (3) Planning or programming linkages were tested in eighteen of the twenty projects. Five reported a fair degree of success and eight reported ineffectiveness and counterproduction. Further, it appeared that joint planning and programming were viable if sufficient authority was existent to promote agency participation. Voluntary planning and programming were also possible but, more often in the context of new service development.
- (4) Administrative linkages were tested in nine projects in terms of client information systems. Both quality and volume of client information could be improved when forms were completed and additional needs assessment information could be compiled. However, more often than not, staff resisted using the forms.
- (5) Case information linkages were conducted by

fifteen agencies in terms of case management, transportation, case teams, etc. Accessibility increased but did not supplant agency(s) primary services.

- (6) Case coordination linkages were tested in twelve projects. Although case conference did not appear effective, case teams and management appeared to enhance accessibility, comprehensiveness and the amount of services. This was especially true when teams could exhibit some control of resource expenditures (p. 63-67).

John concluded his analysis by citing three lessons which might be considered in guiding interagency collaboration:

- (1) Building interagency linkages is a difficult process which demands great political skills and can be approached on an incremental basis.
- (2) Interagency linkages can improve services but are unlikely to cut costs.
- (3) Future Research and Demonstration efforts in interagency coordination should be designed more carefully (p. 67).

McLaughlin and Christensen (1980) confirmed many of the barriers delineated in the John study. Such problems as (a) competitiveness of long established institutions/agencies, (b) lack of experience in the techniques of coordinating service delivery, and (c) allocation of agency responsibility and resources continually surfaced (p. 25).

The Virginia Division for Children (1980) in a recent study evaluating the Implementation of the Revised State Plan for the Identification and Diagnosis of Children Who are Handicapped (RSP) substantiated the findings of John (1977) and McLaughlin and Christensen (1980). A network of services and referrals to insure the

identification and diagnosis of possible handicapping conditions was proposed in the plan. Much of the implementation, therefore, was grounded in the establishment of interagency agreements and relationships at the state and local level. Consequently, the problems identified during the evaluation were the result of such problems as (a) a lack of agency or individual awareness of responsibility, (b) the lack of cooperative referral mechanisms, (c) the absence of leadership and assistance by state agencies, and, (d) the lack of sufficient resources (p. 31-32).

There is continued concern as revealed by the literature that problems associated with developing collaborative efforts are everpresent (Elder, 1979; Hall, 1980; Liason Bulletin, Nov., 1979). Moreover, there is a growing body of knowledge regarding model interagency collaborative programs (Guzman et.al., 1979; Humm-Delgado, 1980; Kazuk, 1980; Mulvenon, 1980; Zeller, 1980). The processes or strategies associated with such efforts also are known. However, there continues to be a dearth of information relative to the specific steps utilized in the developmental process, the inherent problems and the subsequent solutions and resources associated with the development and operation of collaborative efforts.

It should be noted that a collaborative effort is more than a document or paper agreement. The document should be the consequence of an interactive process: the document is the transition step between needs and resource allocation and implementation of service delivery. What precedes that final document are the decision points,

strategies or steps and knowledge, skills and attitudes or human interaction of which the developmental process is comprised. Simplistically, interagency collaboration can be viewed as a process in which two or more agencies work together to join their separate programs and services for the purpose of providing a continuum of service alternatives to handicapped learners (Elder, 1979; Guzman et.al., 1979; John, 1977; McLaughlin and Christensen, 1980).

The RRC Task Force (1979) has elaborated on the definition of collaboration to include a model for developing interagency collaborative efforts. The nine major strategies proposed by the RRCs were:

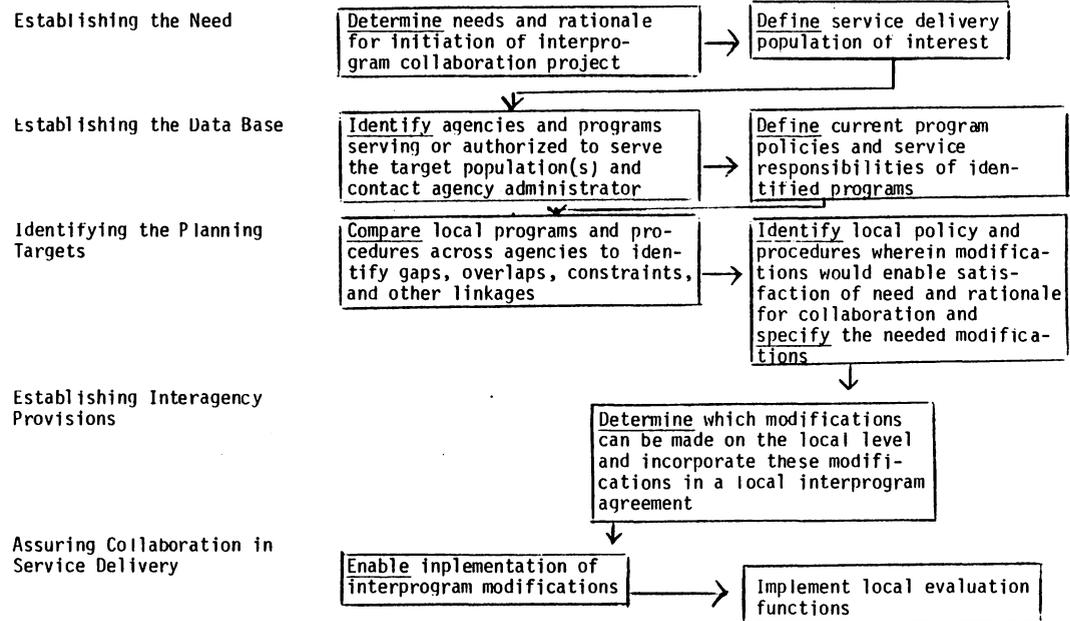
- (1) Determining needs and rationale for initiation of interprogram collaboration project;
- (2) Define service delivery population of interest;
- (3) Identify agencies and programs serving or authorized to serve the target population(s) and contact agency administrator;
- (4) Define current program policies and service responsibilities of identified programs;
- (5) Compare local programs and procedures across agencies to identify gaps, overlaps, constraints, and other linkages;
- (6) Identify local policy and procedures wherein modifications would enable satisfaction of need and rationale for collaboration and specify the needed modifications;
- (7) Determine which modifications can be made on the local level and incorporate these modifications in a local interprogram agreement;

- (8) Enable implementation of interprogram modifications; and,
- (9) Implement local evaluation functions.
(See Figure 1)

Elder (1979) has addressed the points for developing inter-agency collaborative ventures. He identified the major steps of collaboration as (1) obtaining agency commitment, (2) inventorying existing programs and (3) analyzing the organizational relationships between and within agencies. In terms of agency commitment, the rationale is to obtain commitment and thereby acknowledge the common needs and benefits of establishing a collaborative effort. The rationale for inventorying existing programs is to recognize existing services and their respective target populations. Finally, by analyzing organizational relationships, the similarities and differences between and among agencies may be identified, thereby, capitalizing on existent services and resources. Although this model is not as specific or resource oriented, it can be placed within the general paradigm of the RRC model.

Audette (1980), Ferrini, et.al., (1980), Hall (1980), Ringers (1977), Shoop (1977), and Wiegerink and Pelosi (1980) present models which classify or delineate the elements to be included or processes to be utilized. Yet none of the models have provided data, beyond testimony, in support or rejection of the fact that the recommended strategies occur.

Limited data have been reported which detail that a process for developing or planning collaborative agreements does exist,



Produced by: RRC Task Force on Interagency Collaboration, 1979.

Figure 1

A PROCESS OUTLINE FOR INTERAGENCY PLANNING

what problems were found and/or which solutions were utilized to facilitate the implementation of an agreement. John (1977) in his analysis of the SITO projects reported that two developmental steps were recovered, but in most cases, projects could detail none of the strategies utilized. McLaughlin and Christensen (1980) found that a process for making decisions was, indeed, utilized when developing a collaborative effort. However, they reported that decisions points were not precise steps but a continual recycling of strategies.

Continually emerging as an underlying principle of the inter-agency developmental process is the human interaction component. John (1977), McLaughlin and Christensen (1980), and Sellins (1974) found that attitudes of agencies, as reflected by their representatives, significantly effect the successful development of collaborative efforts. Hall (1980) extended this finding and related many of the problems associated with collaborative efforts directly to communication processes and territorial ownership. Hence, it appears that a majority of barriers associated with interagency collaboration do, indeed, come under the auspices of communication and ownership. The fact remains, however, that limited data have been collected to detail the potential or existent solutions to overcoming these barriers. Further, current data identifying decision making strategies, problems and solutions have been a fragmented by-product of the research. Finally, it appears that little attempt has been made to relate problems and/or solutions to the developmental strategies. In the words of McNelly (1980), "The problems identified

are opportunities for cooperation. However they will remain entrenched as barriers until a strategy is formulated whereby all parties can participate in jointly identifying, planning and operationalizing the delivery of an appropriate education" (p.4). Hence, the purpose of this study is to identify developmental decision points and to identify the problems and subsequent solutions specific to the inter-agency collaborative process between and among special education and other human service agencies.

Chapter III

METHODOLOGY

The purposes of this study were to identify (1) the developmental steps/strategies employed by state and local agencies to plan an interagency collaborative effort; (2) the problems encountered during the developmental and operational phases; and, (3) the solutions and resources used to resolve developmental and operational difficulties. Three data collection strategies were utilized: (1) interviews with state agency representatives in the Commonwealth of Virginia; (2) interviews with local representatives participating in collaborative efforts in Virginia; and, (3) administration of a state-wide mailed survey.

Three similar data collection strategies were utilized in order to obtain the most comprehensive and specific information base. Interviewing key state representatives enabled the researcher to obtain information pertaining to the process, problems, solutions, and resources utilized and encountered in developing interagency collaborative agreements at the state level. Interviewing local representatives enabled the researcher to obtain similar information which, ultimately, permitted the comparison of those factors between the two levels of representation. Local interviews conducted by the researcher provided the foundation for designing the state-wide survey which was utilized to confirm and extend the results obtained in the first two data collection strategies.

Instrumentation

Instrumentation for the state agency and local agency representative interviews were adapted from the interview schedules developed by McLaughlin and Christensen (1980) (See Appendices A and B). Instrumentation for the state-wide survey was constructed from data obtained in the local interviews (See Appendix C). All instruments incorporated the Levels of Use of the Innovation (LOU) developed by Hall, et.al. (1975), and modified for use with interagency collaborative programming by Elder (1980) (See Appendix D).

Field Test

The instruments utilized for the state agency interviews were field-tested using representatives of another SEA. The state special education director was the initial contact person. This individual was asked to identify representatives from the Departments of Corrections, Mental Health/Mental Retardation, Rehabilitation, Health and Social Services who had participated in or were knowledgeable of the interagency developmental process at the state level. The identified representatives, including the state special education director, were forwarded a letter and the instrument (See Appendix E) and were asked to review the instrument, make comments, and return this information to the researcher. Telephone follow-up was conducted by the researcher to generate return and, later, to allow for further explanation of the written comments. Modifications to the instrument were based on the written comments and the telephone conversations.

The local representative interview schedule and the state-wide survey were field-tested in a Virginia LEA. The local special education director served as the initial contact person. This individual was asked to identify other human service agency representatives involved in the development of interagency collaborative efforts within their locale. Three individuals were identified, including the special education director. The identified participants were forwarded a letter and the instrument (See Appendix F). They were asked to review, comment and return the instrument to the researcher. Telephone follow-up was conducted by the researcher to generate return and to allow for further explanations of the written comments. Modifications to the instrument were based on these two modes of input.

The state-wide survey instrument was field-tested via telephone with the same LEA individuals. Modifications to the instrument were based on those conversations.

Phase I - State Agency Interviews

The Administrative Director for Special and Compensatory Education was contacted via telephone and asked to identify individuals involved with or knowledgeable of the interagency developmental process at the state level. He supplied names, addresses, and telephone numbers for contact people within the following agencies: Rehabilitative School Authority; Mental Health/Mental Retardation; Social Services; Health; and, Rehabilitation. He also recommended that the Division for

Children, Council for Developmental Disabilities and the Council for the Deaf be contacted for additional background information.

The identified individuals were contacted by the researcher via telephone to explain the study and request participation in the study. A confirmation postcard was forwarded to all participants confirming interview appointments and locations previously arranged by telephone (See Appendix G).

Representatives from the five human service agencies and special education were interviewed by the researcher using the state level interview schedules. Representatives from the Division for Children, Council for Developmental Disabilities, and the Council for the Deaf were interviewed by the researcher, informally, using no structured format. Information obtained from these interviews was used as background information only and was not used for or included in the analyses.

Phase II - Local Agency Interviews

The LEAs participating in this phase were selected by members of the researcher's advisory committee at Virginia Polytechnic Institute and State University, a representative from the Office of Special and Compensatory Education, and the researcher. The four identified LEAs were selected to account for variations in geography, demography, rural, and urban classification and size of the school population (See Appendix H for LEA descriptions). Four similar LEAs were simultaneously identified to serve as alternates. This practice

was employed to ensure the availability of four participating LEAs if one or more of the original LEAs were unable to participate.

Each of the LEA superintendents and special education directors were contacted via letter (Appendix I). Telephone follow-up was conducted by the researcher to confirm the request for participation and establish protocol procedures. At this time the special education directors were requested to identify other human service agency representatives involved in the development of and/or knowledgeable of the interagency collaborative process at the local level. Concomitantly, they also were requested to identify and schedule for interviews members of their own staff that met the following criteria:

- (1) an individual who represents the LEA at inter-agency meetings and/or who is responsible for the development and/or administration of a collaborative program (i.e. administrator);
- (2) an individual who has the fiscal responsibility or authority for a collaborative program; and,
- (3) an individual who is responsible for providing direct services to a handicapped learner (i.e. teacher, counselor).

Identified agency representatives were contacted by the researcher via telephone. They were requested to participate and identify staff members for interviews that met the aforementioned criteria. All information given to the LEAs also was provided to the agency contact people. Subsequent telephone contact with the LEA and other human service agency representatives allowed the researcher to clarify the purpose and requirements of the study and

establish appointments for the interviews. A follow-up postcard confirmed the arrangements (See Appendix G).

Interview Procedures

State interviews were conducted by the researcher in the agency offices of the interviewees in Richmond, Virginia. Each participant received a copy of the Executive Summary of the McLaughlin and Christensen (1980) study and background information as to the purpose of this study at the beginning of the interview. Interviews with these individuals were completed within 1 hour and 15 minutes.

Interviews with local agency participants were conducted by the researcher in a similar manner except in two instances. First, the majority of interviews were conducted in the LEA administrative offices rather than the agency office; and, second, it was anticipated that more than one individual was participating from each local agency. It should be noted that one person within the other human service agencies could function within all the roles requested. Interview schedules were coded to avoid duplication of information in the event that such a situation did occur. Interviews were generally completed within 1 hour and 15 minutes depending on the exact number of interviews per agency.

Immediately following each state and local interview, the researcher summarized the responses to the questions. At this time interviewees were requested to clarify, expand, change, or delete information obtained during the interview. It should be noted that

no major revisions were made by the interviewees.

Phase III - State-Wide Survey

LEAs not involved in the interview stage were requested to participate in the state-wide survey. The Departments of Health and Social Services within each school division were included as participants in the survey. Surveys were sent to the area offices when these departments served more than one school division.

Since the Departments of Rehabilitation, Mental Health/Mental Retardation, and Corrections are primarily regionalized, with personnel serving more than one LEA, regional directors were requested to participate in this phase of the study. In the case of Corrections, where there were only five regional directors, the directors were asked to disseminate the instruments to at least six of the appropriate personnel within their catchment area. Appropriate was defined to mean those individuals who were responsible for working with and developing interagency collaborative efforts with school divisions but who lacked the authority to sign or approve the resultant documents (See Appendix J).

Thus, recipients of the survey instruments were special education directors, department administrators or regional directors, and selected field personnel. These individuals were identified via information provided by state agency offices and government directories.

Two weeks following the first mailing a postcard was sent by

the researcher to each survey participant who had not returned the survey instrument (See Appendix K). The participants were reminded to return the instrument or to contact the researcher if they had not received the instrument. Those participants who responded to the researcher were mailed the letter of request and the survey instrument within twenty-four hours of the contact.

Chapter IV

RESULTS

The purpose of the study was to examine the developmental process of interagency collaborative efforts. Research questions which guided this study were as follow:

- (1) What are the developmental steps/strategies which were followed in developing a collaborative effort?
- (2) What are the problems, if any, in developing and operating interagency collaborative efforts?
- (3) Do common solutions and resources to those problems exist?

Data analyses were primarily descriptive in nature. Interview data were analyzed according to content so that clusters or categories of information could be obtained. Local interview data are presented as a composite analysis, inclusive and representative, of all individuals interviewed by the researcher within a particular agency. The data were treated in this manner to avoid agency misrepresentation and potential violation of confidentiality. Survey data were analyzed using cross tabulations, frequencies, and percentages of responses.

Background Information

One representative from each of the following state agencies was interviewed: Rehabilitative School Authority, Rehabilitation, Mental Health/Mental Retardation, Health, Social Services and the

Division of Special Education and Compensatory Services. Each of the six representatives held administrative positions within their respective agencies. Each representative had participated in the development and implementation of state interagency collaborative efforts.

Thirty-seven interviews were conducted on the local level. Twelve agency representatives were interviewed from Locale 1, eight from Locale 2, ten from Locale 3 and seven from Locale 4. Across locales an average of six people per agency were interviewed.

A total of four hundred fifty-five surveys were sent to LEAs and the Departments of Corrections, Rehabilitation, Mental Health/Mental Retardation, Health and Social Services. Of that initial number (455), 69% were returned. Four percent were unuseable due to incomplete responses. The distribution of surveys sent and returned is contained in Table 1. The range of returned responses across agencies was 57% to 77%.

Summary, Background Information

Forty-three interviews were conducted: six interviews on the state level and thirty-seven on the local level. Four hundred fifty-five surveys were mailed to the six human service agencies. Sixty-nine percent were returned. Sixty-five percent were appropriate for use in the analyses.

Table 1
Distribution by Agency of Survey Instruments Mailed and Returned

Agency	Number of Surveys Mailed	Frequency of Return	Percentage of Return
Other Agency	10	7	70.00%
A	129	78	60.46%
B	30	14	46.66%
C	38	22	57.89%
D	24	14	58.30%
E	112	87	77.68%
F	112	75	66.96%
Totals	455	297	

Results Related to the Research Questions

Question 1. What are the developmental steps/strategies which agencies follow in developing inter-agency collaborative agreements?

State representatives interviewed by the researcher indicated that specific steps/strategies were utilized in developing an inter-agency collaborative effort. Comparison of the rank ordered responses across state agencies, set forth in Table 2, reflects a generally consistent procedural approach. Specifically, the rank order of responses across agencies was similar to or within one or two steps of each other. The majority of agencies agreed on the sequencing of events and were consistent in their ordering according to Kendall's coefficient of concordance (.76) (Siegal, 1956).

As indicated in Table 2, effectiveness ratings for the steps utilized were variable across agencies. No pattern was evident. Comparison of the ratings, step by step, indicated that the first five steps were generally considered to be effective or necessary to the development of interagency collaborative efforts. Defining the population, identifying and contacting agencies serving the target populations, defining program policies and service responsibilities, and comparing programs to identify gaps and overlaps were consistently ranked as effective. Conversely, the final steps (identifying local policy and procedures and specifying modifications thereof, determining the feasibility of modifications and incorporating them therein, and evaluating the efforts) were not consistently rated as effective or necessary to the developmental process.

Comparison of rank ordered responses obtained through the local

Table 2
 Rank Order and Effectiveness Ratings of Developmental Steps
 as Reported by State Level Representatives

Steps	Agencies					
	A	B	C	D	E	F
Determine need and rationale	1	1*	1*	2	3*	1*
Define the population	3*	2*	3*	8*	1*	3*
Identify and contact agency serving population	2*	3*	6*	1*	2*	4*
Define program policies, service responsibilities	4*	4	4*	4	5	6*
Compare programs, identify gaps, overlaps	5	5*	7	3	4*	5*
Identify local policy and procedures and specify modifications	6	6	2*	5	6*	2*
Determine feasibility of modifications and incorporate	7	7	5*	6	7	7
Implement	8*	8	8*	7	8	8*
Evaluate	9	9	9	9	9	9

* Indicates those steps that were considered to be effective or necessary to the developmental process.

interviews are found in Table 3. These responses followed the pattern of information provided by state level interviewees. Within locales, agencies generally rank ordered the developmental steps within one or two increments of each other. Overall, agencies within a locale appeared to have established an approach to developing a collaborative effort. An exception was noted, however, in Agency A which appeared to have a somewhat different approach to the developmental process. All Agency A rank orders were different from the other agency ranks within the same locale.

Across locales, agencies varied in their ordering of the developmental steps. No trend or pattern emerged which would indicate that a common developmental approach existed throughout the state.

Effectiveness ratings, as set forth in Table 3, were varied within the locales. Agencies which considered steps as effective were consistent in listing the first five steps as necessary to the developmental process. Conversely, other agencies within the same locale did not specify any of the steps as effective or necessary to the developmental process. This trend also was noted across locales. Similar agencies were inconsistent in their ratings of effectiveness. Most often, an effectiveness rating was given to the following steps: defining the population, identifying and contacting agency(s) serving the target populations, defining program policies and service responsibilities, and comparing programs to identify gaps and overlaps. Conversely, similar agencies often did not indicate any of the steps as effective or necessary.

Table 3
 Rank Order and Effectiveness Ratings of Developmental Steps
 as Reported by Local Representatives⁽¹⁾

Steps	Agencies																							
	A				B				C				D				E				F			
	Locales	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3
Determine need and rationale	2	5	5	2	1*	N	2*	N	-	N	1*	N	5	1*	5*	2*	2	3	N	N	N	N	1	1*
Define the population	3	7*	7	1*	2*	1*			2*	3*			1	3*	1*	1*	1	1*					5*	2
Identify and contact agency serving population	4	8*	8	3*	3*	3*			4*	-			2	5*	3*	3*	3	2*					2*	3
Define program policies, service responsibilities	5	9*	9	4*	4*	5*			1*	4*			4	4*	5*	5*	4	5*					3*	4
Compare programs, identify gaps, overlaps	6	6*	6	5*	5	4*			-	5*			6	2*	4*	4*	5	6*					4*	5
Identify local policy and procedures and specify modifications	8	2	2	6*	6	6*			-	-			7	6*	7*	5*	6	-					-	7
Determine feasibility of modifications and incorporate	9	3	3	7*	7	7*			-	-			8	7*	6*	5*	7	4					6*	6
Implement	7	1	1	9*	8	-			-	2*			9	8*	9	6*	8	-					-	8
Evaluate	1	4	4	10	9	-			3	6*			-	9*	8	7*	9	-					7*	9
Other				8									3											

(1) N/A - not involved in collaborative effort; (-) - step not utilized; (*) - steps were considered effective or necessary.

Data derived from the state-wide survey in relation to research question 1 are set forth in Tables 4 and 5. In Table 4, survey data indicated that the first five steps were utilized most frequently in developing interagency collaborative efforts. Approximately 60% of the respondents specified defining the population, identifying and contacting agency(s) serving the target populations, defining program policies and service responsibilities, and comparing programs to identify gaps and overlaps as being those steps most often used. Less than 40% of the respondents indicated that identifying local policy and procedures and specifying modifications thereof, determining feasibility of modifications and incorporating them therein, and evaluating the efforts were utilized.

As seen in Table 5, this trend continued across types of service areas: rural, urban, and rural-urban. All three service areas were proportionately similar in the frequency of use of the first five steps. Although it appears that the rural divisions use the steps more frequently than the other two service areas, this was due to the proportionate representation of the area in the total sample.

Summary, Developmental Steps/Strategies

All data sources indicated that developmental steps/strategies were utilized. State agency responses were consistent across all of the agencies. Local agency responses were consistent within locales but variable across locales. Effectiveness ratings varied across state agencies and within and across locales. Survey data confirmed

Table 4

Frequency and Percentage of Developmental Steps Used in the Interagency Collaborative Process According to the State-wide Survey

Steps	Responses	
	Frequency	Percentage
Determine need and rationale	157	62.3%
Define the population	153	60.7%
Identify and contact agency serving population	149	59.1%
Define program policies, service responsibilities	172	68.3%
Compare programs, identify gaps, overlaps	106	42.1%
Identify local policy and procedures and specify modifications	111	44.0%
Determine feasibility of modifications	113	44.8%
Implement	66	26.2%
Evaluate	72	28.6%

Table 5

Frequency and Percentage of Developmental Steps Across Types of Service Areas

STEPS	SERVICE AREAS					
	Rural		Urban		Rural-Urban	
	Frequency	Percentage	Frequency	Percentage	Frequency	Percentage
Determine need and rationale	85	33.7%	15	6.0%	57	22.3%
Define the population	85	33.7%	15	6.0%	53	21.0%
Identify and contact agency serving population	80	31.7%	18	7.1%	51	20.2%
Define program policies, service responsibilities	97	38.5%	19	7.5%	56	22.2%
Compare programs, identify gaps, overlaps	59	23.4%	9	3.6%	38	15.1%
Identify local policy and procedures and specify modifications	60	23.8%	9	3.6%	42	16.7%
Determine feasibility of modifications and incorporate	61	24.2%	10	4.0%	42	16.7%
Implement	35	13.9%	3	1.2%	28	11.1%
Evaluate	43	17.1%	4	1.6%	25	9.9%

the results of the interviews. Determining need, defining the population, defining program policies and service responsibilities, and comparing programs were the steps used most often by respondents.

Question 2. What are the problems, if any, in developing and operating inter-agency collaborative efforts between special education and other human service agencies?

Data related to question 2 are set forth in Table 6. Problems encountered by state agency representatives were generally consistent across agencies. All respondents indicated that communication difficulties were evident during the developmental process. State respondents also cited territorial ownership and the lack of participant authority base as problems which were frequently encountered. A number of respondents indicated that gaps in definition or misunderstanding of agency roles and responsibilities were other difficulties encountered in this phase.

As seen in Table 7, state agency representatives tended to cite operational problems which were similar to those encountered in the developmental phase of the process. Among the most frequently mentioned problems were communication and territorial ownership. Although not as many difficulties per agency were observed or cited, those that were reported paralleled the developmental problems previously identified.

Problems identified through local interviews are presented in Table 8. Within and across locales agencies experienced similar developmental problems to those encountered at the state level. Communication and the lack of defined agency roles and responsibilities were mentioned most often. Territorial ownership was mentioned frequently across agencies indicating that not all locales experienced

Table 6

Developmental Problems Experienced in Planning Interagency Collaborative Efforts as Identified by State Representatives

AGENCIES	DEVELOPMENTAL PROBLEMS	
A	<ul style="list-style-type: none"> -Communication -Gaps in understanding between agency administrators and practioners -Turnover in personnel 	<ul style="list-style-type: none"> -Trying to access systems and resources in locales and still meet mandated requirements
B	<ul style="list-style-type: none"> -No definition of roles and responsibilities -Territorial ownership -Reluctance to define current operational practices and weakness thereof -Communication 	<ul style="list-style-type: none"> -Client is sometimes forgotten by administrators so long as they look good on paper -Legislation has created differences so that children get caught in the cracks of service delivery
C	<ul style="list-style-type: none"> -Some territorial ownership of client 	
D	<ul style="list-style-type: none"> -No authority base -Territorial ownership -Tradition -Communication: <ul style="list-style-type: none"> Lack of defined roles, responsibilities, and funding sources 	<ul style="list-style-type: none"> -Resentment toward education's political clout that effected the enactment of 94-142
E	<ul style="list-style-type: none"> -Conflict in state and federal codes -Communication -Territorial ownership -Lack of agency commitment -Source of funding 	
F	<ul style="list-style-type: none"> -Territorial ownership -No authority base -Problems are handled at surface rather than in depth therefore no real solutions 	

Table 7

Operational Problems Experienced in Planning Interagency Collaborative Efforts as Identified by State Representatives

AGENCIES	PROBLEMS
A	Communication Getting information from this agency to the local agency Turnover in personnel
B	Clients get caught in service gaps, bounce between agencies Territorial ownership Communication
C	Some territorial ownership
D	Funding requirements Communication Tradition Territorial ownership Present economics and government Precariousness of 94-142
E	Lack of leadership to implement plans Communication Lack of agency commitment The need to fulfill own agency responsibilities
F	The need to know local efforts so that problems can be addressed at this level

Table 8
 Developmental Problems Across Locales 1, 2, 3, and 4
 as Identified by Local Representatives ⁽¹⁾

LOCALES	AGENCIES					
	A	B	C	D	E	F
1	Funding; Communication; Tradition; Lack of defined roles.	N/A	Lack of defined roles, responsi- bilities; Fund- ing: "Who pays for services?"	Lack of defined roles and res- ponsibilities; Lack of defined expectations; Lack of defined procedures for services.	Time management; communication; services not ac- cessible because of transportation	N/A
2	Communication	N/A	N/A	Tradition; terri- torial ownership; Getting adminis- tration to recog- nize needs; Getting to deci- sion makers.	Lack of defined policies; Estab- lishing goals and objectives	N/A
3	Funding	Lack of defined roles, respon- sibilities.	N/A	Lack of defined terminology; Some lack of defined procedures.	N/A	Communication
4	Conflict in codes, poli- cies; Delin- eation of roles, responsibilities service provis- ions; Difference in professional standards; Con- straints of fund- ing.	Territorial ownership; Referral procedures.	Funding	Territorial own- ership; Establish- ing authority ap- proval to partici- pate; Risk of those in author- ity	N/A	Territorial ownership

N/A - not involved in collaborative effort.

this difficulty or that it was significant enough to be considered a problem.

Operational problems within locales, as seen in Table 9, tended to resemble the developmental problems previously identified by these interviewees. Although fewer in number, primary problem areas continued to be communication, funding, and territorial ownership. Across locales, the patterns or types of operational problems were similar to the kind of difficulties experienced in the developmental phase. Communication, funding, and the lack of defined roles and responsibilities were most frequently mentioned.

Survey data, presented in Tables 10 and 11, tended to corroborate the difficulties identified through the interviews. Payment for services was the most frequently mentioned problem. It was followed by lack of communication, understanding of roles, service provisions, and funding restrictions. Examination of the developmental steps in terms of problems encountered revealed a similar result. The data indicated that regardless of which steps were utilized certain problems were frequently encountered. Payment for services, funding restrictions, lack of understanding regarding service provisions, and the lack of defined roles and responsibilities were the problems most frequently encountered.

Survey data also corroborated data obtained during the interviews pertaining to operational problems. Data found in Table 12 indicates that payment for services and restrictions of funds and lack of communication regarding service provisions were the problems which

Table 9
Operational Problems Across Locales 1, 2, 3, and 4
as Identified by Local Representatives. (1)

LOCALES	AGENCIES					
	A	B	C	D	E	F
1	Communication; Territorial ownership; Funding; Confusion of roles, respon- sibilities.	N/A	Funding Some con- fusion of roles and respon- sibilities.	Territorial Ownership; Respon- sibilities for transporta- tion and place- ment is unclear; Confidentiality	Communication; Transportation; Time lag of information	N/A
2	Communication	N/A	N/A	Communication; Agency commitment.	Communication; Lack of under- standing agency limitations, roles, respon- sibilities.	N/A
3	Funding	Some con- fusion of agency roles	Need more joint staff- ing; Need more coordin- ation of in- formation.	Funding	N/A	Payment of services.
4	Day to Day operations: Funding; some clarification of roles, responsibil- ities	Coordination of scheduling communication of information.	Budgeting; Staff cuts or transfers.	Territorial ownership; Risk of authority figures to continue endeavor	N/A	Need agency contributions to match commitment.

(1) N/A - not involved in collaborative effort

Table 10

Frequency and Percentage of Problems Encountered During the Development of an Interagency Collaborative Effort According to Survey Respondents

PROBLEMS	RESPONSES	
	Frequency	Percentage
Lack of understanding of agency service provisions	111	45.3%
Lack of defined roles, responsibilities, and expectations	115	46.9%
Lack of communication regarding goals, programs, or procedures	68	27.8%
Territorial ownership	54	22.0%
Payment for services	171	69.8%
Restrictions regarding agency funding requirements	122	49.8%
Other	16	6.5%

Table 11

Frequency and Percentage of Developmental Steps and Developmental Problems According to Survey Data

STEPS	PROBLEMS							Total
	Lack under- standing	Lack of de- fined roles, responsibil- ities	Lack of Communica- tion	Territorial ownership	Payment for services	Restric- tions of funds	Other	
Determine need	57 25.0%	65 28.5%	42 18.4%	39 17.1%	105 46.1%	77 33.8%	10 4.4%	141 61.8%
Define population	66 28.9%	64 28.1%	45 19.7%	36 15.8%	101 44.3%	76 33.3%	10 34.6%	139 61.0%
Identify and contact agency serving popula- tion	63 27.6%	73 32.0%	40 17.5%	40 17.1%	103 45.2%	79 34.6%	9 3.9%	139 61.0%
Define program policies, service responsibilities	72 31.6%	76 33.3%	39 17.1%	39 17.1%	114 50.0%	82 36.0%	10 4.4%	152 66.7%
Compare programs	56 24.6%	53 23.2%	32 14.0%	33 14.5%	71 31.1%	50 21.9%	8 3.5%	98 43.0%
Identify local policy and procedures, specify modifications	46 20.2%	49 21.5%	33 14.5%	27 11.8%	71 31.1%	57 25.0%	8 3.5%	96 42.1%
Determine feasibility of modifications and incorporate	53 23.2%	53 23.2%	32 14.0%	27 11.8%	72 31.6%	59 25.9%	9 3.9%	101 44.3%
Implement	27 11.8%	33 14.5%	22 9.6%	22 9.6%	41 18.0%	33 14.5%	7 3.1%	58 25.4%
Evaluate	30 13.2%	37 16.2%	25 11.0%	22 9.6%	45 19.7%	32 14.0%	8 3.5%	62 27.2%
TOTALS	104 45.6%	105 46.1%	62 27.2%	49 21.5%	159 69.7%	114 50.0%	15 6.6%	228 100.0%

Table 12

Frequency and Percentage of Problems Encountered During the Implementation and Operation of an Interagency Collaborative Effort

PROBLEMS	RESPONSES	
	Frequency	Percentage
Lack of communication regarding service provision	111	46.3%
Territorial ownership	36	15.0%
Payment for services	132	55.0%
Tuition for residential placements	90	37.5%
Restrictions regarding agency funding requirements	120	50.0%
Other	16	6.7%

were most frequently encountered. Again, the data showed a marked similarity in the frequency and types of problems encountered during both phases of collaborative programming.

Summary, Developmental and Operational Problems

Respondents from all three data collection strategies indicated that communication, territorial ownership, and lack of defined agency roles and responsibilities were the most frequently encountered developmental problems. The data also revealed that similar problems were encountered during the operational phases of collaborative programming. Communication, payment for services, and restrictions regarding funding were frequently mentioned. In both the developmental and operational phases, monetary concerns were evidenced.

Question 3. Do common solutions and resources to those problems exist between and within special education and other human service agencies?

State agency interviewees reported that the most frequent solution to any difficulties encountered in the development or operation of a collaborative effort was negotiation. Persistent communication was another strategy which was frequently used. Inservice and use of a third party were given consideration, but seldom utilized with any consistency. The resources used for these solutions were most often the agency representatives involved in the phases of development or operation. Other individuals were involved only when necessary.

As seen in Table 13, agency representatives within and across locales also cited negotiation and persistent communication as the most frequent solutions to problems. Again, resources were the individuals involved in the collaborative process. Occasionally other agency staff were included in the problem solving process. When questioned as to the use of inservice or third party most respondents "thought it was a good idea", but in most cases, "wasn't really warranted".

Survey data confirmed the results reported through the interviews. Data in Table 14 reveals that 77% of the respondents utilized persistent communication to resolve difficulties encountered on both the operational and developmental levels of collaborative programming. Negotiation was used almost as frequently as 68% of the respondents

Table 13

Solutions and Resources Used to Solve Problems as Identified by Interviewees in
Locales 1, 2, 3 and 4⁽¹⁾

LOCALES		AGENCIES					
		A	B	C	D	E	F
1	Solution	Communication	N/A	Communication	Communication; Negotiation; Meetings with staff; Parties, in- volved; Staff.	Communication; Develop rela- tionships.	N/A
	Resource	Parties in- volved.	-	Parties in- volved	Parties in- volved; Staff.	Parties in- volved.	
2	Solution	Communication; Negotiation; Termination of agreement.	N/A	N/A	Persistent com- munication; Prioritizing needs, resources, Follow-up	Communication; Negotiation;	N/A
	Resource	Parties in- volved.	-	-	Parties in- volved,	Parties in- volved.	-
3	Solution	Negotiation; Communication.	Communication; Negotiation; Exchange of in- formation.	Communication;	Negotiation; Communication.	Negotiation; Communication.	Exchange of information
	Resource	Person in- volved.	Persons in- volved.	Person in- volved.	Persons in- volved.	Persons in- volved.	Persons in- volved.
4	Solution	Personal in- volvement; Communication; Negotiation	Exchange of information; Communication.	Communication; Mutual back patting; Exchange of in- formation.	Negotiation; Integration of ideas; Persis- tence	N/A	Communication Persistence
	Resource	Persons in- volved.	Persons in- volved.	Persons in- volved.	Persons in- volved.	-	Persons in- volved.

(1) N/A - not involved in collaborative effort

Table 14

Frequency and Percentage of Solutions Utilized to Resolve Developmental
and Operational Problems

SOLUTION	RESPONSES	
	Frequency	Percentage
Negotiation	171	65.5%
Termination of agreement/relationship	24	9.2%
Inservice of appropriate parties	76	29.1%
Persistent communication	202	77.4%
Use of a third party	10	3.8%
Other	9	3.4%

reported the use of this strategy. When solutions were examined in terms of specific problems, presented in Table 15, persistent communication and negotiation were used most often. Thirty percent of the respondents utilized inservice as a problem solving technique which is in contrast to data obtained through the interviews. Interview data indicated this to be an infrequently used method.

Summary, Solutions and Resources Used to Solve Problems

Responses from all three data collection strategies indicate that persistent communication and negotiation were used most often to solve both developmental and operational problems. Both state and local interviewees indicated that inservice and use of a third party were considered but not generally utilized. Interviewees stated that the individuals involved in the encountered problems were the ones who addressed the solutions to the problems. On occasion other staff members were included in the resolution process.

Survey data confirmed the interview data. It extended the findings to include inservice as a method of problem solving. It should be noted that inservice was used only a small percentage of the time by a small number of respondents to solve developmental and operational difficulties.

Table 15
Frequency and Percentages of Problems and Solutions According to Survey Respondents

PROBLEMS	SOLUTIONS						Total
	Negotiation	Termination of agree-ment/rela-tionship	Inservice of approp-riate parties	Persistent communi-ca-tion	Use of a third party	Other	
Lack of com-munication	84 36.1%	11 4.7%	36 15.5%	89 38.2%	5 2.1%	4 1.7%	111 47.6%
Territorial ownership	31 13.3%	7 3.0%	17 7.3%	24 10.3%	3 1.3%	3 1.3%	36 15.5%
Payment for services	95 40.8%	15 6.4%	40 17.2%	99 42.5%	8 3.4%	4 1.7%	131 56.2%
Tuition for residential placements	62 26.6%	10 4.3%	25 10.7%	65 27.9%	6 2.6%	2 .9%	84 36.1%
Restrictions regarding agency fund-ing require-ments	89 38.2%	11 4.7%	40 17.2%	92 39.5%	6 2.6%	4 1.7%	116 49.8%
Other	9 3.9%	2 .9%	5 2.1%	11 4.7%	1 .4%	1 .4%	15 6.4%
Total	160 68.7%	23 9.9%	69 29.6%	181 77.7%	9 3.9%	8 3.4%	233 100 %

OTHER FINDINGS RELATED TO INTERAGENCY COLLABORATION

Interagency collaboration has been described through testimony and literature as a complex process. Many factors have been identified as contributing to its complexities. Factors investigated in this study were: the bonds which keep agencies working together; the efficiency and effectiveness of multiple agency service delivery; the purported success of interagency collaborative efforts to provide service alternatives; the agency's level of involvement in the collaborative process; and, the driving and restraining forces associated with interagency collaboration. Results related to these factors are presented in the following sections.

Ties that Bind Agencies Together

For the purpose of this study, ties that bind were defined as those bonds or links which necessitate and facilitate the relationships of agencies which work together to provide services for handicapped learners. Examples are: mutual clients, laws, and limited resources. Ties as delineated by respondents are found in Tables 16 - 18.

State agency representatives tended to highlight federal and state legislation and provision of services to mutual clients as the formal ties which encourage agencies to work together (Table 16). Informal ties, as reported by these individuals, varied from knowing people in other agencies to the need to coordinate day to day operations.

Table 16

Ties That Bind Agencies Together as Reported by State Level Representatives

AGENCIES	TIES
A	Federal and State legislation; Knowing people in other agencies and being able to communicate needs and changes.
B	Formal documentation of policy, previous service agreements; Day to day service needs of agency and clients
C	Legislation; Interest in client needs.
D	Serving mutual clients.
E	Federal and state regulations.
F	Serving mutual clients.

As seen in Table 17, local representatives corroborate the data obtained at the state level. Within locales, federal and state guidelines, mutual clients and respect for other agency's professional judgment were frequently mentioned. A general pattern or theme of response was noted across agencies within specific locales. For example, federal mandates were mentioned by many of the agencies within a specific locale, while another locale mentioned the lack of resources and respect for other professional's judgment as the ties which bind agencies together.

Survey results confirmed the data obtained through the interviews. Data displayed in Table 18 suggests that mutual need and limited resources are ties which bind agencies together in order to meet their respective service provisions.

Summary, Ties Which Bind Agencies Together

Both state and local representatives cited federal and state guidelines as the more formal ties which bind agencies together. The informal ties included knowing people in other agencies to the need to coordinate day to day operations. Within locales, themes tended to emerge on which ties encourage agencies to work together. Across locales, agency responses tended to support one another to provide an extensive picture of ties that bind. Survey data confirmed the results of the interviews. Mutual need and limited resources were the most frequently cited ties that compel collaborative programming.

Table 17

Ties That Bind Agencies Together as Identified by Local Representatives in
 Locales 1, 2, 3, and 4. ⁽¹⁾

LOCALES	AGENCIES					
	A	B	C	D	E	F
1	Federal and state guidelines and regulations.	Federal and state policies; Needs of client.	Laws; administrative policies.	Mutual client needs; lack of resources.	Federal and state mandates; personality and commitment of agency reps.	N/A
2	Need to provide services	N/A	N/A	Agency commitment to service provisions.	Mutual clients; Need to provide services; unwritten policies and agreements between agencies.	N/A
3	Respect for agency professionals and services that can be provided. Lack of resources.	Lack of resources; Good communication between agencies; Professional respect for other agency staff.	Professional commitment to client needs.	Mutual clients; Lack of resources.	Good communication and professional relationships with other agencies.	Mutual clients Genuine concern of agency to provide services.
4	Laws; Mutual needs of agencies.	Codes, laws, Needs of this agency.	Mutual need to provide comprehensive services.	Commitment of agency and staff to provide services.	N/A	Laws, mandates; Mutual agency needs.

(1) N/A - Not involved in collaborative effort.

Table 18

Frequency and Percentage of Ties Which Bind Agencies Together
According to Survey Data

TIES	RESPONSES	
	FREQUENCY	PERCENTAGE
Administrative policy	48	16.5%
Federal mandates	75	25.8%
State mandates	89	30.6%
Mutual need to provide client with a continuum of services	191	65.6%
Limited resources	141	48.5%
Respect for professional judgment of other agency personnel	57	19.6%
Lack of funds or agency appropriations	34	11.7%
Other	8	2.7%

The Efficiency and Effectiveness of Multiple Agency Service Delivery

Often delivery of services by multiple agencies has been purported to be an efficient and effective means of providing services to the handicapped learner. In an attempt to correctly assess this claim participants in this study were asked to respond to the efficiency and effectiveness of multiple agency service delivery.

Data set forth in Table 19 revealed that state representatives generally agreed that multiple agency service delivery was efficient and effective. However, when asked to justify their responses, interviewees reported that multiple agency delivery should be efficient and effective but in reality still evidenced duplications and gaps. The justifications given for the negative responses tended to be similar to those given for positive responses. For example, most respondents who affirmed efficiency and effectiveness seemed to respond from the theoretical perspective that collaboration was supposed to be efficient and effective. However, they acknowledged that the difficulties and problems encountered did not always support the claim of efficiency and effectiveness of multiple agency delivery of services. Similarly, those individuals responding negatively to the claim reacted to the problems of duplication and gaps within the service system than did their positively responding counterparts.

Ratings of efficiency and effectiveness given by local interviewees are found in Table 20. Local representatives within specific locales agreed that the multiple agency service delivery was efficient and effective. Justifications tended to be both positive and

Table 19
 Efficiency and Effectiveness of Multiple Service Delivery
 as Reported by State Representatives

AGENCY	EFFICIENCY AND EFFECTIVENESS RATINGS	RATIONALE
A	Yes	Efficiency and effectiveness are the underlying premise of interagency collaboration. However, multiple agency involvement on a day to day basis is more difficult; thus, avoiding duplication of services is more difficult.
B	Yes	However, only when there is a clear understanding of roles, and limitations. Presently, the state of the art has a long way to go.
C	No	Collaboration needs to be improved. Participants need to have a clear understanding of roles, responsibilities, sources of funding, and agency limitations in order to make collaboration work.
D	No	Realistically, it should be, however, it is not. Tradition effects this in part. Present economics will force this to change.
E	Yes	This is the case from the client point of view. Administratively it causes problems. Stability of service can be effected positively and negatively by multiple service delivery.
F	Yes	The best justification are the efforts which are successful at the local level.

Table 20

Efficiency and Effectiveness of Multiple Agency Delivery as
Reported by Locales 1, 2, 3, and 4 (1)

Locales	Agencies					
	A	B	C	D	E	F
	<u>Efficiency and Effectiveness Ratings</u>					
1	yes	yes	yes	no	yes	N/A
	<u>Rationale</u>					
	It allows for a continuum of services.	It is the only way to provide a continuum of services. It increases the chance that client's needs will be met.	Only as long as roles are defined and there is no competition for clients.	It may be effective but certainly not always efficient. It is time consuming and may cause problems between agencies.	It provides for: an exchange of information, planning of programs, and different perspectives, and a comprehensive service model.	N/A
	<u>Efficiency and Effectiveness Ratings</u>					
	yes	N/A	N/A	yes	yes	N/A
	<u>Rationale</u>					
2	All agencies have areas of expertise from which others might benefit.			Provides different perspectives and alternatives. Allows for a continuum of services.	Provides alternatives, especially when there are mutual clients.	

Table 20 con't.

Locales		Agencies			
A	B	C	D	E	F
Efficiency and Effectiveness Ratings					
yes	yes	no	yes	yes	yes
3 Rationale					
Agencies need each other because of the lack of resources.	Only if one agency assumes coordination responsibility.	Not enough coordination to keep clients out of the cracks.	Provides different perspectives and alternatives.	Rural areas have to rely on the cooperation and expertise of other agencies.	Only if there is coordination and cooperation between agencies.
Efficiency and Effectiveness Ratings					
No answer	yes	yes	no	N/A	yes
4 Rationale					
It depends on how long it takes to get the job done.	Agencies need one another, but the commitment must be there in order to make it work.	Only if services are not duplicated. Differences in scope of agencies will effect duplication of services.	Service incompatibility make delivery difficult. If this can be bypassed then accountability becomes a problem.		Especially if services are located under one roof.

(1) N/A - Not involved in collaborative effort

similar in kind. For example, within locales central themes or patterns emerged. They included providing a continuum of services, needed agency expertise, and the need for different perspectives regarding service alternatives.

Across locales, responses and associated justifications appeared to be similar. Again, a pattern emerged indicating that across the state multiple agency delivery of services was and is considered to be generally efficient and effective.

Seventy-two percent of the survey respondents assessed multiple agency service delivery as efficient and effective. No differences were found when this issue was examined by types of service areas (rural, urban, and rural-urban).

As seen in Table 21, the efficiency and effectiveness rating does not appear to be dependent upon a developmental process. Rather, it appeared that the end result was the basis for a positive response. This trend appeared to continue when efficiency and effectiveness were examined in terms of the problems associated with collaborative programming (Table 22). Multiple agency service delivery was affirmed, apparently because of the end result of maximizing the use of resources to provide a continuum of service alternatives.

Summary, Efficiency and Effectiveness of Multiple Agency Service Delivery

Both state and local interviewees affirmed that multiple agency service delivery was efficient and effective. Justifications, overall,

Table 21

The Efficiency and Effectiveness of Multiple Agency Service Delivery as It Corresponds to the Developmental Steps Utilized as Reported by Survey Respondents

Steps	Percentage of Efficiency and Effectiveness Ratings	
	Yes	No
Determine Need	54.7%	8.1%
Define the population	50.0%	11.1%
Identify and contact agency serving population	47.9%	12.0%
Define program policies, service responsibilities	56.8%	11.1%
Compare programs	33.8%	6.4%
Identify local policy and procedures, specify modifications	38.5%	5.6%
Determine feasibility of modifications and incorporate	39.7%	6.0%
Implement	22.2%	3.0%
Evaluate	26.1%	3.8%

Table 22

The Efficiency and Effectiveness of Multiple Agency Service Delivery as It Corresponds to the Developmental and Operational Problems as Reported by Survey Respondents

Problems	Percentage of Efficiency and Effectiveness Ratings	
	Yes	No
Lack of communication	34.9%	10.6%
Territorial ownership	10.6%	4.1%
Payment for services	41.3%	14.2%
Tuitions for residential placements	28.9%	8.3%
Restrictions regarding agency funds	43.6%	7.8%
Other	3.7%	1.4%

tended to be based on the theoretical perspectives of why multiple agency delivery of service should be efficient and effective. Survey data confirmed the interview data. The majority of respondents acknowledged the efficiency and effectiveness of multiple agency service delivery. When examined in terms of the developmental steps utilized or the problems encountered, efficiency and effectiveness were neither dependent on nor the result of negative associations. Rather, the affirmation appeared grounded in the end result of maximizing resources to provide a continuum of service alternatives.

The Success of Interagency Collaboration between Agencies

In order to assess the success of the individual collaborative efforts, respondents were asked to rate these endeavors as they related to services provided to the handicapped learner.

According to data found in Table 23, state agency representatives varied in their assessment of the success of interagency collaborative relationships and efforts. The responses ranged from very successful to not very successful. The justifications for these responses indicate that although interagency collaboration has improved there were many problems which continued to exist.

Agency representatives within locales, presented in Table 24, generally agreed on the success of the respective collaborative relationships. With few exceptions, collaborative efforts and relationships were perceived as successful by the local interviewees. Justifications appear to follow the same pattern exhibited by state representatives. Respondents were both positive and somewhat pessimistic as to the benefits of collaborative programming when considering the associated problems. Across locales perceptions tended to be the same. Agencies considered collaborative efforts as successful, although problems were evident and improvement was needed.

Survey data confirmed the results obtained in the interviews. More than 50% of the respondents indicated that interagency collaboration between agencies was successful or very successful.

Table 23

Perceptions of Success of Interagency Collaboration Between
Agencies as Reported by State Representatives

Agency	Ratings of Success	Rationale
A	Successful	Progress has been made in the interagency arena. All agencies have learned through and gained from earlier mistakes.
B	Not Very Successful	Assistance is still needed by this agency to provide educational components. To date this has been lacking.
C	Successful	State agencies need to provide assistance at the local level.
D	Successful	No mechanism has been designed or provided to speculate beyond this point.
E	Very Successful	More services are being provided with collaboration than without it.
F	Not Very Successful	Agreements are too broad. Agencies are doing what they have always done.

Table 24

Perceptions of Success of Interagency Collaboration between Agencies as Reported by Representatives from Locales 1, 2, 3, and 4 (1)

Agency	Locales			
	1	2	3	4
A	<u>Ratings</u>			
	Successful	Successful	Very Successful	Very Successful
	<u>Rationale</u>			
	Agencies need to handle their own financial responsibilities and use staff more effectively.	All agencies have something to contribute; we all need what someone else can offer.	Agencies need each other in order to provide comprehensive services.	We are meeting the needs of our clients.
B	<u>Ratings</u>			
	Successful	N/A	Successful	Successful
	<u>Rationale</u>			
	Follow-up and slow exchange of information causes problems.		Attempts are being made to provide services to all clients.	We are making use of the resources available to us.
C	<u>Ratings</u>			
	Successful	N/A	Not Very Successful	Very Successful
	<u>Rationale</u>			
	Clients must want services and agencies need to be timely and responsive to that need.		There are still too many gaps in service delivery.	Client's needs are being met.

Table 24 con't.

Agency	Locales			
	1	2	3	4
<u>Ratings</u>				
D	Very Successful	Successful	Successful	Very Successful
<u>Rationale</u>				
	It provides many benefits to the clients. Agencies have taken time to develop good relationships.	There is always room for improving collaboration.	All agencies have limitations so that whatever is provided becomes beneficial.	Procedures for exchanging information have been delineated. There is a single administration which reports to the Board on the activities of this effort.
<u>Ratings</u>				
E	Not Very Successful	N/A	Successful	N/A
<u>Rationale</u>				
	There is not enough input or communication. There is too much territorial ownership.		More structure is still needed in the procedural practices.	
<u>Ratings</u>				
F	N/A	N/A	Successful	Successful
<u>Rationale</u>				
			Communication and agency's roles have been improved so that the services available can be attained.	Client's needs are being met, but more time is needed to really evaluate efforts.

Summary, Success of Interagency Collaboration between Agencies

Both state and local interviewees indicated that collaborative efforts were successful in providing services to the handicapped learner. Justifications indicated the needs which agencies have and the benefits which can be derived from sharing resources. Justifications also indicated that much improvement was still needed. Survey data confirmed the results of the interviews: collaboration between agencies was viewed as successful by respondents.

Levels of Agency Involvement

Elder (1980) in an effort to account for the variation of types and degree of collaboration modified the Levels of Use of the Innovation designed by Hall, et.al. (1975). As the state of the art across the nation has reflected variations in collaborative programming and agency involvement, this instrument was utilized in an attempt to describe an agency representative's perceived level of involvement in collaborative programming.

State agency representatives varied in their response to perceived levels of agency involvement. As seen in Table 25, agencies rated themselves at the levels of routine, refinement, integration and/or renewal. Ratings indicated that no change in collaborative programming was being considered (routine) on the one hand, while on the other an agency was involved in re-evaluation, modification, and improvement (renewal).

Local representatives also varied in their responses to perceived levels of agency involvement (Table 26). This pattern was consistent within and across both locales and agencies. Specifically, agencies generally rated their level of involvement as being routine or in the process of refinement. These were extended by mechanical use and integration. Only one agency perceived their level of involvement as being in the renewal stage.

Survey data, as presented in Table 27, confirmed the ratings obtained on the local level. The majority of agencies perceived themselves at the routine level of involvement. This was followed by

Table 25

Perceived Levels of Agency Involvement in Interagency Collaboration as Reported by State Representatives (1)

Levels	Agencies					
	A	B	C	D	E	F
Non-use						
Orientation						
Preparation						
Mechanical Use						
Routine				*		*
Refinement	*	*				
Integration			*			
Renewal					*	

(1) * - indicates level of agency involvement

Table 26

Perceived Levels of Agency Involvement in Interagency Collaboration as Reported by Agency Representatives in Locales 1, 2, 3, and 4 (1)

Levels	Locales																												
	1						2						3						4										
	Agencies																												
	A	B	C	D	E	F	A	B	C	D	E	F	A	B	C	D	E	F	A	B	C	D	E	F					
Non-use						N	N	N			N													N					N
Orientation						A	A	A			A													A					A
Preparation							*										*												
Mechanical Use					*																								
Routine	*	*	*																	*		*							
Refinement											*	*	*	*				*					*	*		*			
Integration					*																						*		
Renewal																													*

(1) N/A - not involved in collaborative effort; (*) - indicates perceived level of involvement.

Table 27

Frequency and Percentage of Perceived Level of Agency Involvement as Reported by Survey Respondents

Level	Responses	
	Frequency	Percentage
Non-use	16	5.4%
Orientation	10	3.4%
Preparation	8	2.7%
Mechanical use	19	6.4%
Routine	112	37.7%
Refinement	46	15.5%
Integration	27	9.1%
Renewal	17	5.7%
Other	42	14.1%

15% of the respondents considering their agencies at the refinement level. Across types of service areas (urban, rural, and rural-urban) 44.8% of the respondents indicated a rating of routine. There appeared to be no proportional difference between the types of service areas.

Summary, Levels of Involvement

Across state agencies perceived levels of involvement varied. Variations were also noted in local agency interviewees' responses. However, the majority of state and local responses fell in the routine or refinement category. Survey data tended to confirm the information obtained through the interviews. Most agencies tended to rate themselves at the routine level.

Driving and Restraining Forces

The purpose of these questions was to identify factors which respondents felt contributed to and/or restrained the development and implementation of interagency collaboration.

As seen in Table 28, state agency representatives identified driving forces as federal mandates, communication, and the continual focus of agency and agency personnel on the needs of the client. In contrast, restraining forces included poor communication, territorial ownership, turnover in personnel and economic and budgetary limitations.

Review of data contained in Table 29 indicates that local respondents identified similar forces. Both within and across locales, driving forces were agency commitment, the needs of the client, the need to share information and resources, and laws and mandates. Restraining forces were identified as lack of funding, personnel, trust, and defined roles and responsibilities.

Summary, Driving and Restraining Forces

Both state and local respondents identified similar driving and restraining forces. Mandates, communication and agency and client needs were most often cited as forces which contribute to interagency collaborative programming. The restraining forces were the antithesis of the driving forces. They were identified as funding, poor communication, and lack of trust and clearly defined roles and responsibilities.

Table 28

Driving and Restraining Forces to Interagency Collaboration as Identified
by State Representatives

Agencies	Forces	
	Driving	Restraining
A	Commitment of agency; Continual focus on client and service needs.	Turnover in personnel; Political structure; Economics.
B		Lack of administrative commitment; Poor communica- tion; Lack of evaluation procedures.
C	Communication; Personality of involved persons; Interest of in- volved personnel.	Poor communication; Lack of agency interest and commitment.
D	Early understanding of agency roles and re- sponsibilities.	Tradition; Territorial ownership.
E	Federal mandates; In- terest and creativity of involved personnel.	Budget process is generally not consistent across agen- cies; Competition for funds; Different administrative policies and procedures; Discrepancies in agency codes and regulations.
F	Good communication; Knowing when a third party may facilitate effort; Personality and commitment of representatives.	

Table 29

Driving and Restraining Forces to Interagency Collaboration, as Identified by Local Representatives in Locales 1, 2, 3, and 4⁽¹⁾

Locale	Agency					
	A	B	C	D	E	F
1	Driving					
	Agency commitment	Meet client needs; Need for services which other agencies can provide.	Need to meet client needs.	Meet client needs; Need for services which other agencies can provide.	State laws; Need for services which other agencies can provide;	N/A
	Restraining					
	Funding; Lack of personnel.	Hesitation of agency to become involved; Fear of over-extending resources.	Lack of clear cut roles and definitions.	Territorial ownership; Continued negative feedback.	Funding; Tradition; Time to devote to planning.	N/A
2	Driving					
	Mutual clients; Need to provide services	N/A	N/A	Interest of agency; Lack of resources; Mandates and political pressure.	Mutual clients; Need for sharing information and resources.	N/A
	Restraining					
	Funding	N/A	N/A	Lack of trust, communication and funding; Different goals and mandates.	Lack of defined roles and responsibilities.	N/A
3	Driving					
	Need for efficient ways to provide services; Respect of professional agency judgement.	Respect for other professionals; Lack of resources; Need to provide services.	Mandates.	Lack of resources; Need to access information and services.	To avoid duplication; Lack of resources.	Concern for client needs; Maximize use of resources.
	Restraining					
	Funding; Responsibility for payment.	Funding.	Ineffective leadership.	Funding.	Funding; Lack of staff.	Funding.
4	Driving					
	Communication; Need for services due to lack of skilled personnel.	Code of state; Agency can provide a continuum of services.	Agency can provide a continuum of services.	Commitment of agency.	N/A	Need authority base to make decisions and commit resources.
	Restraining					
	Funding.	Funding.	Funding.	Funding; Lack of manpower.	N/A	Political jurisdictions inhibit process.

(1) N/A - not involved in collaborative effort.

Recommendations for Interagency Collaborative Programming

Realizing that participants in the collaborative arena have both knowledge and experience from which much could be learned, they were asked to make recommendations regarding the development and operationalizing of a collaborative program.

State representatives offered many recommendations as can be seen in Table 30. They suggested examining the legal constraints involved, securing both agency and participant commitment, establishing activities, and allocating enough time so that the effort could be realized as points for consideration.

Local representatives made similar recommendations. As seen in Table 31, within locales recommendations were complete when examined as a complete or collective effort. Across locales, agencies also identified only bits and pieces of a work plan. Both within and across locales, recommendations should be viewed in total to obtain a comprehensive list of activities. Recommendations which were offered by local representatives included: defining roles and responsibilities; identifying needs and goals; establishing communication procedures; and, exchanging information. These recommendations were further extended by local representatives to include examination of funding sources, inservice for personnel, and regular meetings of participants.

Summary, Recommendations for the Development and Operation of Interagency Collaborative Efforts

Both state and local representatives made recommendations

Table 30

Recommendations for Interagency Collaborative Programming
Made by State Representatives

AGENCY	RECOMMENDATIONS
A	Learn about legal constraints of other agencies; Identify target population; Clarify and specify definitions, roles, responsibilities. Use formal and informal approach; Keep everyone informed; administrators and staff; Know decision-makers; Define expectations and don't overload; No hidden agendas.
B	Evaluate what is currently in place. Plan and coordinate events.
C	Be "up-front"; Set realistic goals; Identify goals; Get commitment of administrators; Plan and work toward success.
D	Define agency roles and responsibilities; Get administrative commitment; Need to establish procedures for communication and coordination of planning effort.
E	Discuss and assign responsibilities of related services; Need to separate services and match to appropriate agency; Need to account for differences and similarities in codes and policies.
F	Establish a contact person; Get commitment of administration; Define programs, plans and goals; Establish method for evaluation; Make a commitment of time so that planning can take place.

Table 31
 Recommendations for Interagency Collaborative Programming
 Made by Local Representatives⁽¹⁾

LOCALES	AGENCY					
	A	B	C	D	E	F
1	Define roles, responsibilities; Communicate; Provide inservice to all personnel involved.	Clarify issues; Use informal methods if possible.	Identify target population; Identify methods for service delivery; Follow-up	Define expectations and plans; Define roles, responsibilities; Communicate; Commit time; Keep administration informed.	Communicate; Assess needs and available resources; Define roles, responsibilities.	N/A
2	Define roles, responsibilities; Determine payment procedures; Evaluate.	N/A	N/A	Communicate; Get agency and administration commitment; Prioritize needs; Commit time; Be willing to accommodate and negotiate.	Provide orientation; Define roles, responsibilities, limitations.	N/A
3	Train personnel; Identify benefits; Define procedures; communicate.	Establish or clarify sources of funding.	Identify Needs of target population; Detail specifics of agreement; Meet often.	Identify resources; Identify need for service; Identify population; Educate involved persons and public.	Inservice Personnel on guidelines, roles, responsibilities; Establish procedures for communication; Exchange information.	Define roles, responsibilities, and capabilities.
4	Communicate; Meet regularly.	Get input from staff; Identify resources; Get commitment of administrators.	Identify needs; Determine end result, and expected benefits.	Plan; Identify goals and strategies for accomplishment; Identify resources; Have realistic expectations; Strive for balance of what is wanted with what can be possible; Be adaptable and make modifications as necessary.	N/A	Commit time; Define roles, responsibilities; Get agency commitment; Identify funds; Identify needs and resources; Use third party if necessary.

(1) N/A - not involved in collaborative effort

regarding the development and operation of collaborative efforts. Recommendations across levels tended to be similar. Within and across agencies, such activities as examination of agency legal constraints, securing agency and participant commitment, and allocation of sufficient time were recommended.

Within and across locales, recommendations tended to build upon one another to present a comprehensive list of activities. Recommendations were: identifying needs and goals; defining roles and responsibilities; inservice for appropriate personnel; and, examination of funding sources.

Chapter V

DISCUSSION, CONCLUSIONS, AND RECOMMENDATIONS

Discussion

Historically, interagency collaboration in Virginia has paralleled the development of these efforts at the national level. As early as 1968 special education and the other human service agencies were working together to provide services for the handicapped learner. At that time, the majority of collaborative efforts were informal in nature and generally dependent upon the individual commitment of the respective state/local agency representatives. With the introduction of the Virginia regulations relating to the education of the handicapped learner and later Public Law 94-142, interagency collaboration has become more formalized. In part, the formality was the result of political sensitivity to the laws and governmental and legislative reaction to the service provisions set forth by the federal and state mandates. On all levels, federal, state, and local, agencies were being forced to be more accountable and cautious as the result of decreasing monies, staff, and other resources. The service commitments that had once been agreed upon via telephone had become the focus of numerous meetings, letters, and documentation. This, in turn, resulted in the more structured paper agreement which is presently being submitted to the various federal and state agencies as part of state and local plans.

As the history of interagency collaboration between special education and the other human service agencies has been an evolutionary

process, so has the process for developing interagency collaborative efforts. Agencies have moved from informal to more formal developmental and operational processes in order to provide a continuum of service alternatives to handicapped learners. Consequently, many developmental models purporting the successful achievement of interagency collaboration have been introduced on both the state and local level within the last five years. The increased scrutiny of the developmental models has suggested that a need for developmental and operational guidelines has been evidenced and that current practices and procedures are no longer satisfactory and/or well defined.

In Virginia the respondents to the three data collection strategies utilized in this study suggest that the developmental steps proposed by the RRCs (1979), or as suggested by Elder (1979) were utilized in initiating and planning interagency collaborative efforts. The data also supported and confirmed results reported by McLaughlin and Christensen (1980) that a developmental process, inclusive of developmental steps/strategies, was evident.

Examination of data obtained at the state level revealed the steps as an ordered sequence of events or activities across all agencies. The general agreement of the state agencies regarding the occurrence of those steps was indicative of a more sophisticated, finely-tuned developmental approach than that which was demonstrated on the local level. Data obtained on the local level appeared consistent only within each locale. Little consistency was noted between locales or within agencies. Thus, the experience of the

umbrella state agency does not appear to be readily accessible, available, or utilized by local agencies or their respective representatives.

Comparison of the local representatives' rank ordering of steps and their respective effectiveness rating with data obtained by the survey further demonstrated that the initial five steps were used more frequently. Determining need and rationale, defining the population, comparing programs to identify gaps and overlaps were used not only more frequently but according to interview data were considered effective or necessary to the developmental process. The high frequency of use of these steps suggests that a certain amount of "ground work" is crucial to interagency collaborative effort implementation. Conversely, the significant decrease in the frequency of use of the latter four steps may explain the discrepancy of approaches or steps and the recurring problems encountered between locales and within agencies.

The lack of consistent effectiveness ratings between and within the state and local level responses, particularly regarding the latter four steps, did not support the possibility that interagency collaboration was a well defined process or that it was a continual recycling of events as reported by McLaughlin and Christensen (1980). Rather, the ordered sequence of events evidenced on the state level and within locales seems to provide only a framework for initiation of a collaborative effort. The events or steps utilized often did not include a mechanism for evaluation or inspection of the steps/

strategies initiated, implemented, or completed.

The consistency and frequency with which specific developmental problems were cited further supported the evidence that there was a lack of an evaluative or recycling procedure. This fact appeared more evident in light of the similar operational problems which were identified.

The similarities and the continual resurfacing of the developmental and operational difficulties substantiated the claim that a common definition of the process may well be lacking and that a set standard for achieving the goals of an interagency collaborative effort should be agreed upon from the onset. However, when viewed within each unique situation, state or local, the process of employing specific steps or approaches to establishing a collaborative effort was in place. The restrictions, identified by agencies regarding responsibilities, roles, and monies, nevertheless, limited the effectiveness or necessity of the developmental steps/strategies. Consequently, as those developmental limitations generally don't change, they continued to resurface at the operational level.

The problems, both developmental and operational, that were revealed by all data sources correlate highly with the problems identified by Elder (1979), Hall (1980), John (1977), McLaughlin and Christensen (1980), and Pollard, et.al. (1979). Communication and territorial ownership were the most frequently identified problem areas. A growing concern regarding monies and restriction of agency funds was evident and could be part of the national concern regarding

economics. All problems cited by respondents tended to correspond with those factors identified in the interviews as restraining or inhibiting interagency collaborative programming.

However, despite the problems, overwhelming and limiting as they appeared to be, a high level or degree of understanding of the inter-organizational characteristics necessary to allow for collaborative development and implementation was apparent. The general characteristics of awareness, interdependence, standardization and agency commitment as identified by Baumheir and Welch (1976) and Gilbert and Specht (1977) were reflected in the interview data. Developmental steps were evident; the developmental and operational problems were similar; and, the solutions and resources used for problem resolution were similar between and across levels and locales. The majority of agencies appeared to accomodate and cooperate with one another. The consistency and frequency in the use of negotiation and persistent communication evidenced by the data substantiated that fact. Those characteristics and resolution strategies would not have been present unless some understanding and/or knowledge of the interorganizational relationships specific to each respondents situation also was present. It seemed that the respondents had confidence in themselves and their respective agencies to resolve the problems encountered. Finally, and more importantly, they have experiences success in resolving difficulties through the use of these methods.

The restraining factors to interagency collaboration and the

developmental and operational problems experienced were similar. Examination of interview data comparing the driving forces to inter-agency collaboration and the ties that bind agencies together also showed marked similarities. From both the theoretical and practical perspectives, the similarities seemed to suggest that respondents were both knowledgeable and experienced in the underlying principles of interorganizational relationships. Agency respondents recognized that they must communicate, be committed, and have some routine procedures in order to meet the goal of service delivery. Concomitantly, they were keenly aware of the limitations of finances, staff, and time which were and are available. It appeared logical that negotiation and persistent communication would be continuously utilized as problem solving strategies: For every inhibiting force or problem there was evidenced an opposite force which facilitated or contributed to the resolution of the problem. Hence, negotiation and persistent communication were considered the most expedient and feasible means for solving a difficulty while maintaining some control of the limited agency resources.

Agency respondents generally acknowledged that federal and state mandates encouraged interagency collaboration. They also acknowledged that agency service provisions required the development and implementation of collaborative programming. Therefore, by legislative design, purpose of the agency, or personal commitment to people, the need to expand services with increasingly limited resources reinforced the necessity of collaborative efforts in spite of

those problems that have been encountered.

All data sources affirmed that multiple agency service delivery was considered as a more efficient and effective means for providing services to handicapped learners. Although the reasons varied, the majority of responses focused on the increasingly limited resources and the fact that agencies could not provide all the alternatives necessary for a service continuum.

When comparing the "successful" ratings of interagency collaborative efforts with the efficiency and effectiveness of multiple agency service delivery there appeared to be a discrepancy. It seemed that, in light of the affirmed efficiency and effectiveness, interagency collaborative efforts would have been perceived at either end of the continuum: very successful or not very successful. The justifications for the successful ratings, however, provided some insight into the "middle of the road" perceptions. Data sources indicated that developmental and operational strategies were being utilized, yet, problems existed and continue to exist. Although duplication of services was being reduced, and comprehensive services were being provided, there continued to be gaps within the system. Overall, respondents perceived that interagency collaboration had improved in both design and intent but "there was still a long way to go".

Agencies recognized interagency collaboration as an efficient, effective, and successful means for providing services to the handicapped learner. Respective justifications, substantiated the respondents perceived level of agency involvement. Moreover, perceived

levels of agency involvement supported the underlying reasons justifying their affirmation of multiple agency service delivery. The data revealed that most agencies considered their level of involvement as routine or in the process of refining present relationships. Perhaps, therein lies the roots of the problems experienced in the developmental and operational phases.

Perceptions of a routine level of involvement, by virtue of definition, suggested that the involvement of many of the agencies had stabilized and did not evidence much change. Perceptions of refinement, on the other hand, alluded to an agency's need for change or improvement of the phases. In either case, it appeared logical that even minor variations in the levels of involvement would result in problems. The existence of similar difficulties and their continual resurfacing substantiated that fact. Agencies which have remained at a routine level would be less likely to expand or improve their interagency collaborative efforts. Agencies which have remained at a refinement stage would be more likely to experience difficulties unless a procedural process had been previously defined. As stated earlier the process has not been well defined. Nonetheless, any combination of the perceived levels and their respective difficulties appeared to have been dealt with via negotiation or persistent communication or they have been balanced by the benefits and success of the efforts.

Interagency collaboration is a complex process. That fact has been reiterated many times by testimony and through the literature.

The data presented herein confirmed those sources. Despite the complexities, however, respondents acknowledged the development and operation of collaborative efforts as a challenge which must be met in order to provide comprehensive services to handicapped learners. Their creativity, patience, and sensitivity to the issues were apparent. The experiences and expertise brought to the developmental and operational tables, therefore, should not be ignored. Respondent's recommendations, although varied in sophistication and comprehensiveness, were well worth noting. The recommendations were the collective input of efforts which have been providing comprehensive service systems needed to facilitate the growth of the handicapped learner.

Conclusions

Interagency collaboration in Virginia has many connotations. Simplistically, interagency collaboration was the coming together of two agencies to negotiate the provisions of a particular service. In this situation each agency functioned autonomously. More complex, interagency collaboration was the merging of several agencies, their ideas and resources, to provide a program or continuum of service alternatives. The ultimate responsibility for the governance of such an effort rested with a board or council. In any event, interagency collaboration was utilized to extend present services and maximize the use of current resources to provide a comprehensive system of service delivery.

The processes for developing and operating interagency collaborative efforts exhibited marked similarities despite variations in organizational complexity. The data provided evidence that some developmental steps were utilized in establishing interagency collaborative efforts. Respondents from all three data collection strategies suggested that the following steps were used more frequently and were generally considered necessary to the development of a collaborative effort: determining needs and rationales; defining the target population; identifying and contacting agency(s) which serves the population; defining program policies and service responsibilities; and, identifying policies and procedures that could be modified. The data did not support earlier findings that the steps utilized were continually recycled. Rather, the results indicated

that the developmental process was a layering of steps with little evaluation or recycling of procedures. Thus, the differences noted between and across locales and the state indicated that interagency collaboration is not a well defined process. Rather, the steps utilized and their respective effectiveness ratings indicate a framework for implementation, but lack the procedures necessary for evaluation.

Data confirmed those problems identified through the literature. Lack of communication, the lack of defined roles, responsibilities, and expectations, and territorial ownership were frequently cited and extended to include and emphasize monetary and economic conditions. Both state and local data sources exhibited similarities not only in types of problems but in their recurrence from one phase to the other. Thus, developmental and operational activities appeared to lack the structure and the mechanisms that would facilitate circumvention or resolution of the initial or recurring problems.

Data indicated that solutions to the problems do exist. Negotiation and persistent communication were consistently utilized as the means to resolve problems. Inservice or use of a third party were generally not employed as problem solving strategies. As problems continually emerge, solutions to the problems appeared to be less than successful, despite the fact that respondents have confidence in their use and success of the problem solving technique. Further, use of those solutions appeared to indicate that other methods might threaten the control of agency resources and inhibit the existent lines of communication.

The data supported the belief that multiple agency service delivery was perceived by respondents to be both efficient and effective in providing services to handicapped learners. Data also revealed that interagency collaborative efforts were perceived as successful ventures. The justifications given in support of multiple agency service delivery and, subsequently, in terms of perceived success tended to support each other. Specifically, agencies indicated a need to share resources in order to meet their service requirements. Agencies also reported that collaborative processes had progressed but still needed to be refined. Consequently, it appeared that efficiency and effectiveness were grounded in the need to share resources but that success was relative to the degree of difficulties experienced in development and operation of the collaborative effort.

The data verified testimony relating the formal and informal ties which bind agencies together. Federal and state mandates and service requirements of the agencies were the formal ties, while knowing people in other agencies and coordination of day to day operation were the informal ties. Both the formal and informal ties correlated highly with the forces described as contributing to collaborative programming. Specifically, the driving forces of mandates, mutual clients, and agency and personnel commitment were strikingly similar to and could have been interchanged with the ties that have kept agencies working together.

A correlation between restraining forces and the problems

associated with the development and operationalizing of a collaborative effort also was evident. Restraining forces most often focused on funding, the lack of communication, and territorial ownership. They paralleled the developmental and operational problems of funding, lack of defined roles, responsibilities, communication, and payment for services. Thus, those factors given in testimony as the theoretical and philosophical factors contributing to or inhibiting collaboration were in reality the developmental and operational problems and/or successes which keep agencies working together.

The data suggested that agencies perceived their respective levels of involvement as being routine or in the process of refinement. Collaborative efforts have been developed and operated but were not experiencing change or change was minimal. Given the diversity of present collaborative efforts across the state, the differences in perceived levels of involvement appeared to be indicative of stagnating efforts or stunted expansion and growth potential of present service alternatives.

The interviewees proposed recommendations for present and future collaborative programming. Individually, the recommendations of defining roles and responsibilities, resources, and expectations appeared sound but incomplete in terms of the knowledge and inter-agency involvement of interviewees. At best, the recommendations appeared to be a framework for enhancing the developmental process. Collectively, however, they alluded to a highly sophisticated machine of politics, communication, organization, and success. Consequently,

interagency collaborative efforts were dependent upon, not only the tangible monies, staff, and resources, but also on the knowledge, expertise, and input of the individuals involved.

Overall, interagency collaboration was found to be a highly diverse and complex process. Many problems, both developmental and operational, were revealed. In the words of one respondent, "Inter-agency collaboration between special education and other human service agencies is an on-going process and opportunity...agencies have a long way to go, but look where we have been".

Recommendations

Several implications for the development and operation of interagency collaborative efforts have been suggested by the findings.

1. As funding and responsibility for payment of services has been a major concern of all agencies, consideration should be given to inservicing agency staff on the specifics of P.L. 94-142 and education agencies' responsibility for providing and paying for services needed by the handicapped learner. Conversely, the service requirements and responsibilities of the other human service agencies need to be addressed in like manner in an effort to establish a more clear picture of service requirements.

2. The diversity in planning strategies and their necessary role in the developmental process indicates a definite need for a planning model. It is recommended that state agencies jointly develop, disseminate, and inservice local personnel in the procedures and activities necessary for establishing and implementing a collaborative effort.

3. The lack of evaluative procedures utilized in the planning and operating phases of collaborative programming suggest a need for inservicing on the formative and summative aspects of evaluating the interagency collaborative process.

4. Given the diversity of agency relationships and the differences in the types of collaborative programs needed to provide service alternatives, inservice on problem solving, conflict resolution, use of a third party, and skill refinement in negotiation should be

considered for state and local personnel.

5. Finally, the provision for a resource directory capable of supplying information regarding model programs, consultants, and technical assistance centers should be investigated.

The data reported in this study suggest several implications for further research.

1. As negotiation and persistent communication were the primary problem-solving strategies, analysis of the specific skill and techniques utilized is a fertile area for investigation. Concomitantly, investigation of the process where a third party is being utilized would permit the comparison of skills and techniques of communication and the activities, problems, solutions, and resources utilized throughout the phases.
2. Another area worthy of investigation is the effect of training and/or inservice on the collaborative process. Both testimony and the literature purport these methods as facilitating the process, but there are few studies which have been conducted to substantiate these claims.
3. The use of the modified LOU (Elder, 1980) also warrents further research. To date, it has not been used extensively. Therefore, more data are needed to support its continued use and possible benefits as an evaluation tool.
4. Finally, further investigation of the operational characteristics of a collaborative effort is recommended in order to extend the data provided in this study.

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APPENDIX A
State Agency Interview Schedule

Interagency Collaboration Between Special Education
and Other Human Service Agencies

State Agency #: _____

Place of Interview: _____

Interviewee: _____

Title: _____

Association with collaborative effort: _____

How long have you been associated with interagency collaboration
between special education and your agency?

When considering interagency collaboration between special education
and your agency:

1. How many people were involved in the formulation of a state
agreement?

_____ 2 people (you and the other agency representative)

_____ Small groups (several representatives from your agency and
several from the other)

_____ Council (representative[s] from multiple agencies)

_____ Other (Specify)

2. Describe the initial contact for the interagency collaboratives
formulation.

_____ Telephone call (1 agency soliciting representative[s] for
participation)

_____ Memo

_____ Formal communication

_____ Other (Specify)

7. There are many approaches to developing a collaborative agreement. Rank order the major steps used in the developmental process using 1 for the first step, 2 for the second step, etc. Use the paper to add those steps not listed. Include them in your rank ordering. Leave blanks where steps do not apply. Check box A if you feel that the step was carried out effectively.

STEPS	A	COMMENTS
_____ <u>Enable</u> implementation of inter-program modifications.		
_____ <u>Identify</u> state policy and procedures wherein modifications would enable satisfaction of need and rationale for collaboration and <u>specify</u> the needed modifications.		
_____ <u>Determine</u> which modifications can be made on the state level and incorporate these modifications in a state interprogram agreement.		
_____ <u>Implement</u> state evaluation functions.		
_____ <u>Determine</u> needs and rationale for initiation of interprogram collaboration project.		
_____ <u>Compare</u> state programs and procedures across agencies to identify gaps, overlaps, constraints and other linkages.		
_____ <u>Define</u> service delivery population of interest.		

STEPS	A	COMMENTS
<hr/> <u>Identify</u> agencies and programs serving or authorized to serve the target population(s) and contact agency administrator.		
<hr/> <u>Define</u> current program policies and service responsibilities of identified programs.		

9. Often problems occur while developing a collaborative effort. List the problems, how they were solved and what resources were used.

Problems
(*those that remain
unsolved)

Solution

What resources
were used?

10. What problems have been identified during the operation of the collaborative effort?

Problems
(*those that remain
unsolved)

Solution

What resources were
used?

11. What positive/negative outcomes are there to the following groups as a result of interagency collaboration? Indicate whether they were anticipated or unanticipated.

Handicapped Learners

Parents

Staff - your agency

Staff - other cooperating agencies

Other (Specify)

12. Often service delivery by multiple agencies is considered a more efficient and effective means of providing services. Do you feel that this is a correct assessment of interagency collaboration?

_____ YES

_____ NO

Please explain your answer.

13. To what degree do you feel that interagency collaboration is successful in providing services to handicapped learners?

_____ Very Successful

_____ Successful

_____ Not very Successful

Explain the rationale used in rating interagency collaboration.

14. From your perspective, what are the driving and restraining forces to interagency collaborative programming?

Driving

Restraining

15. From your perspective, what recommendations would you make concerning the development and implementation of interagency collaborative programming?

APPENDIX B
Local Agency Interview Schedules

Interagency Collaboration Between Special Education
and Other Human Service Agencies

Administrator #: _____

Place of Interview: _____

Interviewee: _____

Title: _____

Association with collaborative effort: _____

How long have you been associated with interagency collaboration
between special education and your agency?

When considering interagency collaboration between special education
and your agency:

1. How many people were involved in its formulation?

_____ 2 (you and the other agency representative)

_____ Small groups (several representatives from your
agency and several from the other)

_____ Council (representative[s] from multiple agencies)

_____ Other (Specify)

2. Describe the initial contact for the interagency collaboratives
formulation.

_____ Telephone call (1 agency soliciting representative[s] for
participation)

_____ Memo

_____ Formal communication

_____ Other (Specify)

1. When thinking of the learners served through interagency collaboration, what services were provided before interagency collaboration?

Identification
 Diagnosis
 Planning
 Delivery of Services
 Evaluation/re-evaluation
 Other (Specify)

2. What function/purpose/goal does your agency play in a collaborative effort?

<input type="checkbox"/> Case management	<input type="checkbox"/> Staff sharing
<input type="checkbox"/> Case conference	<input type="checkbox"/> Provider of facilities
<input type="checkbox"/> Contract/ Purchase of services	<input type="checkbox"/> Equipment sharing
<input type="checkbox"/> Data Management	<input type="checkbox"/> Training Activities
<input type="checkbox"/> Fiscal Arrangements	<input type="checkbox"/> Re-evaluation
<input type="checkbox"/> Formal Referral	<input type="checkbox"/> Programming
<input type="checkbox"/> Identification	<input type="checkbox"/> Other (Specify)
<input type="checkbox"/> Needs Assessment	
<input type="checkbox"/> Delivery of Services	
<input type="checkbox"/> Planning	
<input type="checkbox"/> Diagnosis	

3. Often many other agencies work with the same clients on both a formal and informal basis. Please list those agencies with whom you are involved. Identify your relationship by using I for informal and F for formal.

4. When considering the collaborative effort, what are the ties that bind agencies together? (Example: policies, laws, etc.) Identify the ties as I informal or F formal.

5. Often changes occur before a collaborative effort can be realized. Please list those areas where changes occurred in your agency.

6. Did any training/orientation occur prior to the establishment of the cooperative effort in order to enhance its formulation?

_____ Yes

_____ No

If yes, list those individuals that were trained.

List the goals of training.

List the resources that were used in the training effort.

7. There are many approaches to developing a collaborative agreement. Rank order the major steps used in the developmental process using 1 for the first step, 2 for the second step, etc. Use the attached paper to add those steps not listed. Include them in your rank ordering. Leave blanks where steps do not apply. Please check box A if you feel that the step was carried out effectively.

STEPS	A	COMMENTS
_____ <u>Enable implementation of interprogram modifications</u>		
_____ <u>Identify local policy and procedures wherein modification would enable satisfaction of need and rationale for collaboration and specify the needed modifications.</u>		
_____ <u>Determine which modifications can be made on the local level and incorporate these modifications in a local interprogram agreement.</u>		
_____ <u>Implement local evaluation functions.</u>		
_____ <u>Determine needs and rationale for initiation of interprogram collaboration project.</u>		
_____ <u>Compare local programs and procedures across agencies to identify gaps, overlaps, constraints, and other linkages.</u>		
_____ <u>Define service delivery population of interest.</u>		
_____ <u>Identify agencies and programs serving or authorized to serve the target population(s) and contact agency administrator.</u>		

STEPS	A	COMMENTS
Define current program policies and service responsibilities of identified programs.		

8. Often problems occur while developing a collaborative effort. List the problems, how they were solved, and what resources were used.

Problems (*those that remain unsolved)	Solution	What resources were used?
--	----------	------------------------------

9. What problems have been identified during the operation of the collaborative effort ?

Problems (*those that remain unsolved)	Solution	What resources were used?
--	----------	------------------------------

10. What positive/negative outcomes are there to the following groups as a result of interagency collaboration? Indicate whether they were anticipated or unanticipated.

Handicapped Learners

Parents

Staff - your agency

Staff - other cooperating agencies

Other (Specify)

11. Often service delivery by multiple agencies is considered a more efficient and effective means of providing services. Do you feel that this is a correct assessment of interagency collaboration?

_____ Yes

_____ No

Please explain your answer.

12. To what degree do you feel that this collaborative effort is successful in providing services to handicapped learners?

_____ Very Successful

_____ Successful

_____ Not very Successful

Explain the rationale used in rating interagency collaboration.

13. From your perspective, what are the driving and restraining forces to interagency collaborative programming?

Driving

Restraining

14. From your perspective, what recommendations would you make concerning the development and implementation of interagency collaborative programming.

Interagency Collaboration Between Special Education
and Other Human Service Agencies

Fiscal Auth./Budget #: _____

Place of Interview: _____

Interviewee: _____

Title: _____

Association with collaborative effort: _____

How long have you been associated with interagency collaboration
between special education and your agency?

When considering interagency collaboration between special education
and your agency:

1. How many people were involved in its formulation?

_____ 2 (you and the other agency representative)

_____ Small groups (several representatives from your agency
and several from the other)

_____ Council (representative[s] from multiple agencies)

_____ Other (Specify)

2. Describe the initial contact for the interagency collaboratives
formulation.

_____ Telephone call (1 agency soliciting representative[s] for
participation)

_____ Memo

_____ Formal communication

_____ Other (Specify)

Budget/Fiscal Agent

1. When thinking of the learners served through interagency collaboration, what services were provided before interagency collaboration?

Identification

Diagnosis

Planning

Delivery of Services

Evaluation/re-evaluation

Other (Specify)

2. What is your role in relation to interagency collaborative efforts?

Audits utilization of funds

Monitoring of funds

Purchase of services

Reimbursement of services

Development of policy/procedures

Other (Specify)

3. Often changes occur in roles/responsibilities as the result of collaborative participation.

Were there any changes in your role or responsibilities?

Yes

No

If yes, please describe these changes.

4. Please describe the reimbursement process.

What do you pay for?

How are payments made?

What agency has fiscal control for monitoring? Describe this process.

What agency has fiscal control for auditing the utilization of funds? Describe this process.

5. Were there initial expenditures for which your agency was responsible relative to the interagency collaborative effort?

_____ Purchase of equipment

_____ Purchase of facility

_____ Hiring administration staff

_____ Hiring instructional staff

_____ Hiring non-instructional or other staff

_____ Maintenance of facility

_____ Other (Specify)

6. Are there operational costs above and beyond those associated with other programs found in your agency?

_____ Yes

_____ No

If yes, please describe.

7. There are many approaches to developing a collaborative agreement. Rank order the major steps used in the developmental process using 1 for the first step, 2 for the second step, etc. Use the attached paper to add those steps not listed. Include them in your rank ordering. Leave blanks where steps do not apply. Please check box A if you feel that the step was carried out effectively.

If you were involved in developing a collaborative effort, please respond to the attached matrix.

STEPS	A	COMMENTS
<u>Enable</u> implementation of interprogram modifications.		
<u>Identify</u> local policy and procedures wherein modifications would enable satisfaction of need and rationale for collaboration and <u>specify</u> the needed modifications.		
<u>Determine</u> which modifications can be made on the local level and incorporate these modifications in a local interprogram agreement.		
<u>Implement</u> local evaluation functions.		
<u>Determine</u> needs and rationale for initiation of interprogram collaboration project.		
<u>Compare</u> local programs and procedures across agencies to identify gaps, overlaps, constraints, and other linkages.		
<u>Define</u> service delivery population of interest.		

STEPS	A	COMMENTS
<hr/> <u>Identify</u> agencies and programs serving or authorized to serve the target population(s) and contact agency administrator.		
<hr/> <u>Define</u> current program policies and service responsibilities of identified programs.		

8. List the problems which arose during the development of inter-agency collaborative programming.

Problems (*those that remain unsolved)	Have they been solved? Yes No	What resources were used?
--	--	------------------------------

9. What problems have arisen during the operation of the program?

Problems (*those that remain unsolved)	Have they been solved? Yes No	What resources were used?
--	--	------------------------------

10. From a fiscal point of view, what are the driving and restraining forces to interagency collaborative programming?

Driving

Restraining

11. From your perspective, what recommendation would you make concerning the development and implementation of interagency collaborative programming.

Interagency Collaboration Between Special Education
and Other Human Service Agencies

Providers #: _____

Place of Interview: _____

Interviewee: _____

Title: _____

Association with collaborative effort: _____

How long have you been associated with interagency collaboration
between special education and your agency?

When considering interagency collaboration between special education
and your agency:

1. How many people were involved in its formulation?

_____ 2 (you and the other agency representative)

_____ Small groups (several representatives from your agency
and several from the other)

_____ Council (representative[s] from multiple agencies)

_____ Other

2. Describe the initial contact for the interagency collaboratives
formulation.

_____ Telephone call (1 agency soliciting representative[s] for
participation)

_____ Memo

_____ Formal communication

_____ Other (Specify)

Providers

1. When thinking of the learners served through the collaborative effort, how were they served before interagency collaboration?

Identification
 Diagnosis
 Planning
 Delivery of Services
 Evaluation/re-evaluation of service
 Other (Specify)

2. What function/purpose/goal does your agency play in a collaborative effort?

<input type="checkbox"/> Case management	<input type="checkbox"/> Staff Sharing
<input type="checkbox"/> Case conference	<input type="checkbox"/> Provider of facilities
<input type="checkbox"/> Contract/purchase of services	<input type="checkbox"/> Equipment Sharing
<input type="checkbox"/> Data Management	<input type="checkbox"/> Training Activities
<input type="checkbox"/> Fiscal Arrangements	<input type="checkbox"/> Re-evaluation
<input type="checkbox"/> Formal Referral	<input type="checkbox"/> Programming
<input type="checkbox"/> Identification	<input type="checkbox"/> Other (Specify)
<input type="checkbox"/> Needs Assessment	
<input type="checkbox"/> Delivery of Services	
<input type="checkbox"/> Planning	
<input type="checkbox"/> Diagnosis	

3. Did any training/orientation occur prior to the implementation of interagency collaboration?

Yes

No

3. If yes, who were the target audiences?

_____ Administrators

_____ Supervisors

_____ Providers (teachers, social workers, etc.)

_____ Parents/consumers

_____ Other (Specify)

What were the goals of training?

_____ Knowledge of individual agencies - services, procedures, etc.

_____ Knowledge of interorganizational services, roles and/or responsibilities

_____ Skills

_____ Other (Specify)

4. What positive/negative outcomes are there to the following groups as a result of interagency collaboration? Indicate whether they were anticipated or unanticipated.

Handicapped Learners

Parents

Staff - your agency

Staff - other cooperating agencies

Other (Specify)

5. Often problems occur while developing a collaborative effort. List the problems, how they were solved and what resources were used.

Problems
(*those that remain
unsolved)

Have they been
solved?
Yes No

What resources
were used?

6. What problems have been identified during the operation of the program?

Problems
(*those that remain
unsolved)

Have they been
solved?
Yes No

What resources
were used?

7. To what degree do you feel that this collaborative effort is successful in providing services to handicapped learners?

_____ Very Successful

_____ Successful

_____ Not very Successful

8. Please explain the rationale used in rating interagency collaboration?

9. Often service delivery by multiple agencies is considered a more efficient and effective means of providing services.

Do you feel this is a correct assessment of interagency collaboration?

Please explain your answer.

10. From your perspective, what recommendation would you make concerning the development and implementation of interagency collaborative programming.

APPENDIX C
State-Wide Survey

Id. No. _____

Interagency Collaboration Between
Special Education and Other Human Service Agencies

Agency: _____

Title of Your Position: _____

1. Length of time in present position:

_____ less than 2 years

_____ 3 - 5 years

_____ 5 - 10 years

_____ more than 10 years

2. How long have you been associated with school special education programs?

_____ less than 2 years

_____ 3 - 5 years

_____ 5 - 10 years

_____ more than 10 years

3. How long has your agency been involved with special education in either a formal (written agreement) or informal (gentleman's agreement) arrangement?

_____ less than 2 years

_____ 3 - 5 years

_____ 5 - 10 years

_____ more than 10 years

4. Your agency provides services for _____ school special education programs.

_____ 0 - 2

_____ 3 - 5

- _____ more than 5
5. Presently, are these services the result of a formal (written) or informal (gentleman's) agreement?
- _____ Formal
- _____ Informal
6. Your service area is primarily _____.
- _____ Rural
- _____ Urban
- _____ Rural/Urban
7. Describe your association in working with school special education programs to provide services to handicapped learners. Check all that apply.
- _____ Contact person for services provided by your agency
- _____ Agency representative on Special Education Advisory Board
- _____ Agency representative on Interagency Council or Board
- _____ Contact person for negotiating agreement between special education and your agency
- _____ Preparer of agreement for agency and/or school division review
- _____ Other (Specify)
8. Describe the agency's association with school special education programs. Check all that apply.
- _____ Agency refers individuals to school special education staff or programs
- _____ Receive referrals for services from school special education staff or programs
- _____ Screen/identify clients for school special education services
- _____ Provider of services (counseling, therapy, etc.)

Evaluation/re-evaluation

Other (Specify)

9. Please check all agencies with whom you have a formal (written) agreement.

Social Services/Welfare

Corrections/Juvenile Courts

Health

Mental Health/Mental Retardation

Rehabilitation

Special Education (schools)

Other (Specify)

10. When considering interagency collaboration, what are the ties that bind agencies together to provide services to handicapped learners? Check the 2 most important ties.

Administrative policy

Federal mandates

State mandates

Mutual need to provide client with a continuum of services

Limited resources and/or services which one agency can provide

Respect for the professional judgment of other agency personnel

Lack of funds or agency appropriations

Other (Specify)

11. There are many approaches to developing a collaborative agreement. In terms of your involvement in the planning process, check only those steps used in planning and developing a collaborative agreement or effort between special education and your agency.

- _____ Determine needs and rationale for initiation of inter-program collaboration project.
 - _____ Define service delivery population of interest.
 - _____ Identify agencies and programs serving or authorized to serve the target population(s) and contact agency administrations.
 - _____ Define current program policies and service responsibilities of identified programs.
 - _____ Compare local programs and procedures across agencies to identify gaps, overlaps, constraints, and other linkages.
 - _____ Identify local policy and procedures wherein modifications would enable satisfaction of need and rationale for collaboration and specify the needed modifications.
 - _____ Determine which modifications can be made on the local level and incorporate these modifications in a local program agreement.
 - _____ Enable implementation of interprogram modifications.
 - _____ Implement local evaluation functions.
12. Often problems occur while developing a collaborative effort or agreement. Check all the difficulties which emerged during the planning and negotiation of an agreement or effort with special education.
- _____ Lack of understanding of agency service provisions
 - _____ Lack of defined agency roles, responsibilities and expectations
 - _____ Lack of communication regarding goals of agreement or program and the procedures whereby implementation could occur
 - _____ Territorial ownership regarding clients and provisions (agency) for services
 - _____ Payment for services (who pays for the service)
 - _____ Restrictions regarding agency funding requirements
 - _____ Other (Specify)

13. Check all difficulties which have been identified during the implementation and operation of a collaborative agreement or effort with special education.

Lack of communication regarding service provisions

Territorial ownership

Payment for services

Tuition for residential placements

Restrictions regarding agency funding requirements

Other (Specify)

14. Check all the solutions most commonly used to overcome the developmental and operational difficulties.

Negotiation

Termination of cooperative relationship: services are no longer requested, termination of paper agreement, relationship, etc.

Inservice of appropriate parties

Persistent and continued communication (formal and informal)

Use of third party to facilitate negotiation

Other (Specify)

15. Often service delivery by multiple agencies is considered a more efficient and effective means of providing services to the handicapped learner. Do you feel that this is a correct assessment of interagency collaboration between special education and other human service agencies?

Yes

No

16. Please provide a brief rationale for your response to #15.

17. To what degree do you feel that interagency collaboration with special education is successful in providing services to handicapped learners.

1	2	3	4	5
Very Successful		Successful		Not Very Successful

18. Please provide a brief rationale for your response to #17.

Please check the level which best described your agency's involvement in the collaborative effort.

- _____ Non-use State in which the user has little or no knowledge of interagency collaboration, no involvement with it and is doing nothing toward becoming involved.
- _____ Orientation State in which the user has recently acquired or is acquiring information about interagency collaboration and/or has recently explored or is exploring its value orientation and its demands upon user and user system.
- _____ Preparation State in which the user is preparing for implementation of interagency collaboration.
- _____ Mechanical Use State in which the user focuses most effort on the short-term, day-to-day use of interagency collaborative efforts with little time for reflection. Changes in use are made more to meet user needs than client needs. The user is primarily engaged in a stepwise attempt to master the tasks required to implement it often resulting in disjointed and superficial use.
- _____ Routine Use of interagency collaboration is stabilized. Few if any changes are being made in ongoing use. Little preparation or thought is being given to improving collaborative efforts or its consequences.

- _____ Refinement State in which the user varies the use of interagency collaboration to increase the impact on clients within immediate sphere of influence. Variations in collaborative arrangements are based on knowledge of both short- and long-term consequences for clients.
- _____ Integration State in which the user is combining own effort to use interagency collaboration with related activities of colleagues to achieve a collective impact on clients within the community.
- _____ Renewal State in which the user re-evaluates the quality of use of interagency collaboration, seeks major modifications of or alternatives to present collaborative efforts to achieve increased impact on clients, examines new developments in the field, and explores new goals for self and the collaborative service delivery system.

APPENDIX D

Levels of Use of the Innovation

Please check the level which best describes your agency's involvement in the collaborative effort.

- ___ Non-use State in which the user has little or no knowledge of interagency collaboration, no involvement with it and is doing nothing toward becoming involved.
- ___ Orientation State in which the user has recently acquired or is acquiring information about interagency collaboration and/or has recently explored or is exploring its value orientation and its demands upon user and user system.
- ___ Preparation State in which the user is preparing for implementation or interagency collaboration.
- ___ Mechanical Use State in which the user focuses most effort on the short-term, day-to-day use of interagency collaborative efforts with little time for reflection. Changes in use are made more to meet user needs than client needs. The user is primarily engaged in a stepwise attempt to master the tasks required to implement it often resulting in disjointed and superficial use.
- ___ Routine Use of interagency collaboration is stabilized. Few if any changes are being made in ongoing use. Little preparation or thought is being given to improving collaborative efforts or its consequences.
- ___ Refinement State in which the user varies the use of interagency collaboration to increase the impact on clients within the immediate sphere of influence. Variations in collaborative arrangements are based on knowledge of both short- and long-term consequences for clients.
- ___ Integration State in which the user is combining own effort to use interagency collaboration with related activities of colleagues to achieve a collective impact on clients within the community.
- ___ Renewal State in which the user re-evaluates the quality of use of interagency collaboration, seeks major modifications of or alternatives to present collaborative efforts to achieve increased impact on clients, examines new developments in the field, and explores new goals for self and the system.

Please check the statement under each heading (knowledge, sharing, etc.) which best describes your agency's involvement in the collaborative effort.

Knowledge

- _____ Knows nothing about concepts or skills required to initiate interagency collaboration and has never been involved in any type of collaborative effort at community level.
- _____ Knows general information about interagency collaboration such as origin, characteristics and implementation requirements at community level.
- _____ Knows logistical requirements, necessary resources and timing for implementation of interagency collaboration and details of initial experiences for those who will be involved in it at community level.
- _____ Knows on a day-to-day basis the requirements for being part of interagency collaboration. Is more knowledgeable about short-term activities and effects than long-range activities and effects of working cooperatively with other agencies, programs and private providers in the community.
- _____ Knows both short and long-term requirements for use and how to use interagency collaboration with minimum effort or stress.
- _____ Knows cognitive and affective effects of interagency collaboration on agencies and programs and ways for increasing impact on community agencies, programs, and private providers.
- _____ Knows how to coordinate own use of interagency collaborative efforts to provide a collective impact on clients, other agencies, and programs.
- _____ Knows of alternatives that could be used to improve or change the present interagency collaborative efforts that would improve the quality of outcomes of its use.

Sharing

- _____ Is not communicating with others in own agency or program about interagency collaboration beyond possible acknowledging that it exists.
- _____ Discusses interagency collaboration in general terms and/or exchanges descriptive information, materials or ideas about collaborative efforts and possible implications of its use

at the community level.

- _____ Discusses resources needed for implementing interagency collaboration. Joins others in facilitator training and in planning for resources, logistics, schedules, etc., in preparation for its implementation.
- _____ Discusses coordination and logistical issues related to use of interagency collaboration. Resources and materials are shared for purposes of reducing duplicated services, flow, and logistical problems related to its use.
- _____ Describes current use of interagency collaboration with little or no reference to ways of changing use.
- _____ Discusses own methods of modifying use of interagency collaboration to improve coordination of client services.
- _____ Discusses efforts to increase coordination of client services through cooperation with others on personal use of interagency collaborative efforts.
- _____ Focuses discussions on identification of major alternatives or replacements of the current collaborative service delivery system in the community.

Assessing

- _____ Takes no action to analyze any aspects of interagency collaboration, its possible use, or consequences of its use.
- _____ Analyzes and compares materials, content, requirements of use, evaluation reports, potential outcomes, strengths, and weaknesses of interagency collaboration for purpose of making a decision about its possible use.
- _____ Analyzes detailed requirements and available resources for implementing collaborative efforts among agencies, programs, and private providers in the community.
- _____ Examines own involvement in collaborative efforts with respect to problems of coordinating logistics, management, time, schedules, resources, and general reactions of clients.
- _____ Assesses use of interagency collaboration terms without reference to making changes. Specific evaluation activities are limited to those that are administratively required with little attention paid to findings for the purpose of changing use.

- _____ Assesses use of interagency collaboration for the purpose of changing current practices to improve coordination of services to clients.
- _____ Appraises cooperative use of interagency coordination in terms of client outcomes and strengths and weaknesses of the integrated community service delivery system.
- _____ Analyzes advantages and disadvantages of major modifications or alternatives to the present interagency collaboration system.

Acquiring Information

- _____ Takes little or no action to solicit information about interagency collaboration beyond reviewing descriptive information when it happens to come to personal attention.
- _____ Seeks descriptive material about interagency collaborative efforts. Seeks opinions and knowledge of others through discussions, visits, and workshops.
- _____ Seeks information and resources specifically related to preparation for implementing interagency collaborative efforts in own community.
- _____ Solicits management information about such things as logistics, coordinating techniques, and ideas for reducing amount of time and work required of individual agencies or programs.
- _____ Makes no special efforts to seek information as a part of ongoing use of interagency collaborative efforts in the community.
- _____ Solicits information and materials that focus specifically on changing use of interagency collaboration to better coordinate client services.
- _____ Solicits information and opinions for the purpose of cooperating with others in use of interagency collaborative efforts.
- _____ Seeks information and materials about other collaborative efforts as alternatives to the present collaborative system or for making major adaptations in the present level of community interagency collaboration.

Status Reporting

- _____ Reports little or no involvement with interagency collaborative

efforts as part of work.

- _____ Reports presently orienting self to what interagency collaboration is all about.
- _____ Reports preparing self for implementing interagency collaboration.
- _____ Reports that logistics, time, coordination efforts, resource organization, etc., are the focus of most personal efforts to use interagency collaboration.
- _____ Reports that personal use of interagency collaboration is going along satisfactorily with few if any problems.
- _____ Reports varying use of interagency collaboration in order to improve coordination of client services.
- _____ Reports spending time and energy cooperating with others about integrating own use of interagency collaborative efforts.
- _____ Reports considering major modification of or alternatives to present use of interagency collaboration at the community level.

Planning

- _____ Schedules no time and specifies no steps for the study or use of interagency collaborative efforts.
- _____ Plans to gather necessary information and resources as needed to make a decision for or against being involved in interagency collaboration efforts.
- _____ Identifies steps and procedures entailed in obtaining resources and organizing activities and functions required to implement interagency collaboration.
- _____ Plans for organizing and coordinating resource activities and events related primarily to immediate ongoing use of interagency collaboration. Planned for change addressing coordination or logistical issues with a short-term perspective.
- _____ Plans intermediate and long-range actions with little projected variation in how collaborative efforts will be used. Planning focuses on routine use of resources, personnel, etc.

- _____ Develops intermediate and long-range plans that anticipate possible and needed steps, resources, and events designed to enhance coordination of client services among community agencies and programs.
- _____ Plans specific actions to coordinate own use of interagency collaborative efforts with others to achieve increased impact on clients.
- _____ Plans activities that involve pursuit of alternatives to enhance or replace the current system of interagency collaboration.

Performing

- _____ Takes no discernible action toward learning about or implementing interagency collaboration. There are no collaborative efforts in use at present in working with other agencies or programs.
- _____ Explores requirements for implementing interagency collaboration by talking to others about it, reviewing descriptive information, attending orientation sessions and observing operation or learning about model sites of interagency collaborative efforts.
- _____ Studies reference materials in depth, organizes resources and logistics, schedules and receives facilitator training in preparation for implementing interagency collaboration.
- _____ Coordinates services under interagency collaboration with varying degrees of efficiency. Often lacks anticipation of immediate consequences. The flow of actions in the users and clients is often disjointed, uneven and uncertain. When changes are made, they are primarily in response to logistical and organizational coordination problems.
- _____ Uses interagency collaboration smoothly with minimal coordination problems; over time, there is little variation in pattern of use.
- _____ Explores and experiments with alternative combinations of interagency collaboration with existing practices to maximize agency involvement and to optimize coordinated services for clients.
- _____ Cooperates with others in use of interagency collaboration as a means for expanding its impact on clients. Changes in use are made in coordination with other agencies and programs in the community.

—— Explores other collaborative systems that could be used in combination with or in place of the present interagency collaborative effort in an attempt to develop more effective means of coordinating client service delivery system.

APPENDIX E

State Agency Field Test
(Letter Requesting Participation)

As you well know Interagency Collaboration has become a key issue in providing services to the handicapped learner. As per our telephone conversation, you have been recommended by Dr. Austin Tuning as a viable information source for field testing the enclosed interview schedule. The instrument, in final form, will be used to interview Virginia SEA level representatives in the areas of Education, Mental Health and Mental Retardation, Rehabilitative Services, Social Services and Corrections. This will be the initial stage of a three phase study examining Interagency Collaboration in the Commonwealth of Virginia.

Primarily, the request is that you or a colleague knowledgeable of state level interagency agreements review the enclosed interview schedule to ascertain its reasonableness and clarity. Of particular interest is whether the questions are redundant and if required responses might be multiple or individual in nature. Feel free to comment on the instrument.

To incorporate your modifications within the final instrument, please return the enclosed questionnaire within one week of receipt. For resolution to questions do not hesitate to contact me for further information at

Your assistance in this endeavor is greatly appreciated. Results of the study and/or instrumentation will be provided upon request. If you are interested please note your name and address on the back of the enclosed envelope.

Again, thank you for your time, consideration and recommendations.

Sincerely,

Margaret Christensen
Research Associate - Interagency Project

APPENDIX F
Local Agency Field Test
(Letter Requesting Participation)

As you well know Interagency Collaboration has become a key issue in providing services to the handicapped learner. As per our telephone conversation, you have been recommended as a viable information source for field testing the enclosed interview schedule. The instrument, in final form, will be used to interview Virginia LEA representatives in the areas of Special Education, Mental Health and Mental Retardation, Rehabilitative Services, Social Services and Corrections. This will be the initial stage of a three phase study examining Interagency Collaboration in the Commonwealth of Virginia.

Primarily, the request is that you and the appropriate staff review the interview schedules. Enclosed you will find three schedules:

Administrator: an individual who is responsible for administering a collaborative program (i.e. special education director/supervisor);

Budget/Fiscal Agent: an individual who has budgetary authority regarding the collaborative effort; and,

Provider: an individual who provides direct services as the result of the collaborative program (i.e. teacher, counselor, etc.).

Of particular interest are the reasonableness and clarity of the questions and the possible redundancy of both questions and responses. Finally, we wish to ascertain if responses might be multiple or individual in nature.

To incorporate your modifications within the final instrument, please return the enclosed questionnaire within one week of receipt. For resolution to questions do not hesitate to contact me at

Your assistance in this endeavor is greatly appreciated. Results of the study will be provided upon request. If you are interested please note your name and address on the back of the enclosed envelop.

Thank you for your time, consideration and recommendations.

Sincerely,

Margaret Christensen
Research Associate - Interagency Project

APPENDIX G
Confirmation Postcard

Dear _____

This is to confirm our appointment on _____
at _____
to discuss interagency collaboration
regarding the handicapped learner.
I appreciate you taking time from your
busy schedule and look forward to
meeting with you.

Sincerely,

Margaret Christensen

APPENDIX H
LEA Descriptions

Locale 1

Type of service area: Rural-agrarian, some industry

Square Miles: 664

Population: 290,000

School Population: 5,820

Special Education Population: 450+

Interagency collaborative efforts in this locale were primarily on a one to one basis. Special education contacts a particular agency to negotiate for specific services. There were no Boards or Councils in this locale.

Locale 2

Type of service area: Rural-urban, bordering a large metropolitan area

Square Miles: 620

Population: 150,000+

School Population: 35,072

Special Education Population: 3,700

Interagency collaborative efforts in this locale were primarily on an agency to agency basis. Special education did collaborate with one specific agency to provide services in a joint endeavor.

Locale 3

Type of service area: Rural-agrarian

Square Miles: 571

Population: 43,500

School Population: 10,000

Special Education Population: 775

Interagency collaboration in this locale was primarily on an agency to agency basis. Special Education contacts a particular agency to negotiate for specific services. There was one exception. Special Education shares staff and other resources to provide services for the preschool or younger population.

Locale 4

Type of service area: Urban

Square Miles: 62.5

Population: 300,000

School Population: 30,500

Special Education Population: 3,971

Interagency collaborative efforts in this locale were primarily conducted by way of a council. This council was the executive board which had executive control of a diagnostic and prescriptive center. All agencies were represented on the council, and have committed staff, buildings, and equipment. This center, however, does not limit itself to the needs of the handicapped population per se. Services were available to all school age children.

Financial Information

With the exception of Locale 4 all services were generally made available to special education for a negotiable fee. Specifically, the type of service and the amount were decided upon by the eligibility committee. The agency providing the service was contacted and a rate negotiated. The rate information was then channeled to administrative personnel (i.e. directors, assistant superintendents). As services were obtained bills were sent to the agency receiving the service. The bills were submitted to the appropriate administrative offices for perusal and payment approval. The bill was then paid via check. It should be noted that in all cases approval for payment rested with the school administration and subsequently the Board.

Each agency was responsible for its own funds. This included internal and external monitoring and auditing of monies.

In the case of Locale 4 agencies "donated" the building, equipment, staff and other tangible resources. Monies for operation were obtained through a grant. Continued operation is currently dependent on renewal of that grant (which appeared doubtful at the time of data collection) or participating agencies monetary contributions. Grant monies were monitored and audited by the center administration which reported to the Board. The Board had ultimate responsibility for monies expended.

APPENDIX I
Letter Requesting Participation (LEA)

Your division has been selected by a committee representing the Virginia Department of Education, Virginia Tech faculty and LEA personnel to participate in a study examining Interagency Collaboration between special education and other human agencies in the Commonwealth of Virginia. The purpose of the study is to determine the degree to which collaboration exists and the problems and solutions encountered in the process. Your input and experience and that of your staff will be most important in providing information relative to interagency collaboration in Virginia.

A recent conversation with Dr. Grant Tubbs, Division of Special Education, Administration and Finance, supported the conduct of such a study. A summary of the results will be made available to the Department of Education.

In order to make the investigation as comprehensive as possible, we wish to interview the following individuals from your division:

1. an individual who represents your division at interagency meetings and/or who is responsible for administering a collaborative program (i.e. administrator/special education director or supervisor);
2. an individual who has the fiscal responsibility/authority for a collaborative program; and
3. an individual who is responsible for providing direct services to a handicapped learner (i.e., teacher, counselor).

Interviews will take approximately 30 minutes per staff member. All information will be confidential and will be made available to your division upon request.

I will be in contact with your office within one week of receipt of this letter. If you should have questions or need further information prior to that time, do not hesitate to contact me at

We appreciate your consideration with regard to our request and look forward to your participation.

Sincerely,

Margaret Christensen
Research Associate

Your division has been selected by a committee representing the Virginia Department of Education, Virginia Tech faculty and LEA personnel to participate in a study examining Interagency Collaboration between special education and other human agencies in the Commonwealth of Virginia. The purpose of the study is to determine the degree to which collaboration exists and the problems and solution encountered in the process. Your input and experience and that of your staff will be most important in providing information relative to interagency collaboration in Virginia.

A recent conversation with Dr. Grant Tubbs, Division of Special Education, Administration and Finance, supported the conduct of such a study. A summary of the results will be made available to the Department of Education.

In order to make the investigation as comprehensive as possible, we wish to interview the following individuals from your division:

1. an individual who represents your division at inter-agency meetings and/or who is responsible for administering a collaborative program (i.e., administrator/special education director or supervisor);
2. an individual who has the fiscal responsibility/authority for a collaborative program; and
3. an individual who is responsible for providing direct services to a handicapped learner (i.e., teacher, counselor).

Interviews will take approximately 30 minutes per staff member. All information will be confidential and will be made available to your division upon request. In order to facilitate the interview process, we will be contacting your office to identify agency representatives and make the necessary arrangements.

A letter has been forwarded to _____ requesting your division's participation. To ensure confirmation we ask that you discuss your division's participation with _____.

I will be in contact with your office within one week of receipt of this letter. If you should have questions or need further information prior to that time, do not hesitate to contact me at _____.

We appreciate your consideration with regard to our request and look forward to your participation.

Sincerely,

Margaret Christensen
Research Associate

APPENDIX J

Letter Requesting Participation
(State-Wide Survey)

Dear Colleague:

As you well know, interagency collaboration has become a key issue in providing services to the handicapped learner. With continual cutbacks in federal, state, and local appropriations, interagency collaboration is being suggested as a viable mechanism for achieving full service delivery.

Experience has indicated that the development and implementation of interagency agreements and collaborative efforts between special education and other human service agencies is both beneficial and problematic. However, data which examines and supports the processes and, subsequently, the benefits and problems has been appallingly limited.

You or your representative, as being knowledgeable of the development and implementation of interagency agreements or collaborative efforts, are being requested to participate in this study. The purpose of this study is to validate and extend information on full service delivery to handicapped learners in Virginia. An attempt is being made to acquire information from all agencies and their respective representatives so that the most comprehensive view of interagency collaboration will be available.

Enclosed you will find a questionnaire and return envelope. It would be of great assistance if you or your representative would provide the requested information. To expedite and facilitate analysis, please return this information within one week of receipt of this letter. All information will be confidential. The results of this study will be made available upon request. Please enclose a self-addressed, stamped envelope with your return information.

Your input and time are greatly appreciated.

Sincerely,

Margaret Christensen
Research Associate

APPENDIX K
Follow-up Postcard
(Survey)

Dear Colleague,

Recently you received a letter requesting your participation in a study examining interagency collaboration between special education and other human service agencies. As of July 17th your response has not been received.

Your input and experience is critical in providing a comprehensive picture of full service delivery in Virginia. Please return the requested information within three days of receipt of this reminder. If you did not receive the initial request, contact me immediately at .

Your input, time, and assistance are greatly appreciated.

Sincerely,

Margaret Christensen
Research Associate

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INTERAGENCY COLLABORATION IN VIRGINIA:
SERVICES FOR THE HANDICAPPED LEARNER

by

Margaret Christensen

(ABSTRACT)

In the last five years federal attention has addressed the provision of services to handicapped learners through interagency collaboration. This has been one result of The Education for All Handicapped Children Act and guidelines delineated by the Education Division General Administrative Regulations.

The literature is replete with information regarding interorganizational relationships, programmatic models and evaluation studies relative to other service areas. Few studies have examined special education's involvement in the interagency arena.

The purposes of this study were to identify: (1) decision points utilized in developing collaborative efforts; (2) problems encountered during the developmental and operational phases; and, (3) solutions and resources utilized to overcome these difficulties. Other information as it related to the developmental process also was obtained.

Three data collection strategies were used: (1) state agency interviews; (2) local agency interviews; and (3) state-wide mailed survey. Interviews were conducted by the researcher with state and local representatives from Special Education, Corrections/Juvenile Courts, Rehabilitation, Mental Health/Mental Retardation, Health and Social Services. Survey instruments were sent to area, regional and

local agency offices throughout the state.

The data revealed that certain steps were used in planning a collaborative effort. The steps were: (1) determining need; (2) defining the population; (3) identifying and contacting agencies serving the target population(s); (4) defining program policies and service responsibilities; and, (5) comparing programs to identify gaps and overlaps. The data indicated that problems of communication, territorial ownership, funding and lack of clearly defined roles and responsibilities were present during both the developmental and operational phases of collaborative programming. Resolution strategies which were identified as being used most often by respondents were negotiation and persistent communication; resources included the individuals involved in the difficulties or other staff members as was necessary to resolve the problem(s).

Other related findings confirmed information obtained through testimony and found in the literature relative to the ties which keep agencies working together and the driving and restraining forces to interagency collaborative programming. The data also indicated that respondents consider multiple agency delivery of services as being efficient, effective and generally successful in providing services for handicapped learners. Finally, recommendations for interagency collaborative programming were offered by state and local interviewees.

It was concluded that interagency collaboration was not a well defined process. The lack of evaluation procedures contributed not only to the lack of definition but to the continual resurfacing of develop-

mental and operational problems. Finally, the solutions and resources utilized to solve the problems were not always appropriate or sufficient to resolve the difficulties. Thus, it was recommended that state and local personnel be inserviced on: (1) the service requirements and responsibilities governing their respective agencies; (2) the summative and formative aspects of interagency collaborative programming; and, (3) conflict management, problem resolution and use of a third party as problem solving techniques. Finally, it was recommended that state agencies jointly develop, disseminate and inservice local personnel on the procedures and steps necessary to developing and operating an inter-agency collaborative effort.