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**PLANNING
GUIDE
TO
COORDINATE
CALWORKS AND
CHILD WELFARE SERVICES**

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ORGANIZATIONAL STRUCTURES WORK GROUP

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PREFACE

The Organizational Structures Work Group of the CalWORKs/Child Welfare Partnership Project was charged with researching organizational models that support coordinated services for CalWORKs and Child Welfare Services (CWS). As a result of this research, the Work Group identified three such models: the Coordinated Case Planning Model, the Intensive Services Unit Model, and the One Door Model. In addition, because Work Group members recognized that counties need to design organizational structures to fit their unique needs, the Work Group also identified the basic building blocks of coordinated services: leadership, service delivery, and administration, each having its own components and objectives.

Far from seeing this project as an exercise in building bureaucracies, the Work Group approached their effort with a strong sense of the philosophy and values that can accompany coordinated services in any county. They recommend that CalWORKs/TANF become the primary prevention program for child welfare and that child welfare become an anti-poverty program. Efforts to redesign the system and serve families should be family focused, needs driven, community connected and strengths based. The Work Group also recommends that this document be used by county leaders as a *Planning Guide* to design and implement coordinated services to better serve families. Companion documents on data systems, confidentiality, financing, organizational change and training, and coordinated case planning offer additional guidelines for county planning and implementation. Another related publication presents recommendations for state-level activities to increase coordination of CalWORKs and CWS.

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INTRODUCTION

The Organizational Structures Work Group of the CalWORKs/Child Welfare Partnership Project identified and analyzed county organizational structures that coordinate CalWORKs and Child Welfare Services (CWS) in California and in other states.

The goal of coordinating CalWORKs and CWS services is to increase the amount and type of resources available to help families achieve economic stability and child safety. A twin approach is endorsed. CalWORKs services and resources can serve as a primary prevention program for child welfare, so that services like screening, assessments, and income support can prevent the stresses of poverty that may lead to child abuse. *At the same time*, CWS can serve as an anti-poverty program, so that families working to establish safe and secure environments for their children are offered services to assist them in these goals.

Because of significant differences in size, population, and political culture in California's 58 counties, the Work Group recognized early on in their discussions that *one size does not fit all*. In other words, an organizational structure that might work to coordinate CalWORKs and CWS in a large populous southern county is probably not appropriate for a rural eastern county.

Consequently, Work Group members first focused on identifying the organizational *building blocks* of county service delivery systems that coordinate¹ CalWORKs and CWS. Work Group members reasoned that with these building blocks identified, county leaders would then have numerous options to design and construct a service delivery system that would best fit their counties.

In addition to identifying and describing the individual building blocks of a coordinated system, the Organizational Structures Work Group also suggests three possible organizational structures that county leaders can consider and modify for best fit with their county's organizational, political, geographic, and demographic cultures. These three structures are identified and described to assist county leaders in seeing the big picture – and to determine *how* the building blocks might be combined to design a coordinated service delivery system in their counties.

In summary, this briefing paper:

- describes the *basic building blocks* of service delivery systems that coordinate CalWORKs and CWS;
- describes *three possible organizational structures* that can be implemented in California counties; and
- serves as a **planning tool** for county leaders, by offering guidelines and recommendations on how to assess the need for coordinated services and, if appropriate, on how to develop a coordinated service delivery system.

Work Group members first focused on identifying the organizational *building blocks* of county service delivery systems that coordinate CalWORKs and Child Welfare Services.

¹ This briefing paper uses the word “coordinate” as a catchall term to capture any degree of linkage between CalWORKs and Child Welfare Services. This linkage could be as simple as improved communication between two freestanding programs or as comprehensive as a complete system integration that dissolves previous program identities, organization, and other distinct program characteristics.

THE BUILDING BLOCKS OF A COORDINATED SERVICES SYSTEM

After reviewing established organizational structures for coordinated service delivery both within California and in other states, the Work Group identified *three basic building blocks* for any coordinated services system. **Leadership** is the essential building block, which lays the foundation for the **service delivery** and **administration** building blocks. Each building block has any number of *components*, which are selected by county leadership based on the organizational structure that they choose for their service delivery system. See Table 1 below.

Each building block and its possible components are described in the pages that follow. *The intent is not to create a prescriptive blueprint, but rather to offer a set of design principles and guidelines to assist county leaders in constructing a coordinated system that fits the needs of their program participants, staff, and partners.*

TABLE 1
BUILDING BLOCKS OF A COORDINATED SERVICES SYSTEM

Leadership

Components

- Address “*Why We Should Do This*”
- Establish a Planning Committee
- Create vision and mission statements
- Identify target populations
- Choose an organizational structure
- Set goals and objectives for administrative and service delivery components
- Ensure adequate funding and design of accounting programs
- Establish an Implementation Committee
- Guarantee staff and management the training and tools they will need to deal with change
- Continually communicate the vision
- Assess and evaluate

Service Delivery

Components

- Team development
- Client identification and referral
- Client and family assessment
- Development of a coordinated service plan
- Case management
- Case resolution

Administration

Components

- Procurement and contracting
- Data management and confidentiality agreements
- Fiscal management
- Program operations (procedures, forms, policies for operations)
- Evaluation and research

LEADERSHIP – THE FUNDAMENTAL AND EVER PRESENT BUILDING BLOCK

As counties consider coordination of CalWORKs and Child Welfare Services, county leaders need to be sure that they are fully committed to the undertaking and that they understand the requirements of such an effort. In short, executive leadership is the foundational building block and is fundamental to any county effort to coordinate CalWORKs and CWS. The County Welfare Director's commitment to this coordination is essential to the success of any such effort.

A caveat is important at this starting point: Given the many pressing demands facing county leaders, it is entirely possible that county leaders might decide that increasing coordination between CalWORKs and CWS is not a priority at the present time. But *if* there is interest in exploring the benefits of coordination, the effort should not be seen as an assignment that can be wholly delegated or contracted out. Rather, the top leadership of a county's social services system – the County Welfare Director or a strong Deputy Director – must be willing to spend time, brain power, and possibly even political capital to establish a vision, create a common mission, and retool administrative and service delivery systems to achieve desired outcomes.

The role of leadership cannot be stressed enough. Senior administrators in both programs must support a coordinated effort. Leadership and commitment from the entities that manage county budgets and prioritize spending in human services are equally important.

The Organizational Structures Work Group recommends that county leaders thoroughly explore and understand the purpose, scope, and administrative and service requirements of a coordinated system in their county before they fully embark on such a mission. Once a decision has been made to develop and implement coordinated services, leadership must remain engaged and play a key role in shaping and making the *policy decisions* that launch and sustain the coordinated system. For successful leadership, the Work Group recommends that county leaders make, at a minimum, the following eleven commitments:

1. **Clearly address “*Why We Should Do This.*”**
2. **Establish a Planning Committee.**
3. **Create vision and mission statements.**
4. **Identify target populations.**
5. **Choose an organizational structure.**
6. **Set goals and objectives for administrative and service delivery components.**
7. **Ensure adequate funding and design of efficient accounting programs.**
8. **Establish an Implementation Committee.**
9. **Guarantee staff and management the training and tools they will need to deal with change.**
10. **Continually communicate the vision.**
11. **Assess and evaluate.**

The top leadership of a county's social services system – the County Welfare Director or a strong Deputy Director – must be willing to spend time, brain power, and possibly even political capital to establish a vision, create a common mission, and retool administrative and service delivery systems to achieve desired outcomes.

Below are expanded descriptions of the commitments that leadership must make to develop and sustain a coordinated service delivery system.

1. Clearly Address “Why We Should Do This.”

It is reasonable for managers, staff, partners, participants, families, and policymakers to ask *why* it makes sense for their county to coordinate CalWORKs and CWS. It is leadership’s responsibility to ensure that a compelling answer is crafted and communicated and that this answer can serve to motivate, focus, and unite the many stakeholders that will need to be involved in any change process.

Understanding the link between poverty, abuse, and potential involvement in the CWS system is one compelling reason for counties to commit to launching a coordinated services system. Data from the September 1996 *Third National Incidence Study of Child Abuse and Neglect*² indicate that “children from families with annual incomes below \$15,000, as compared to children from families with annual incomes above \$30,000, were over 22 times more likely to experience some form of maltreatment.” Because of this, it makes sense to prevent entrance into CWS by offering prevention services to TANF participants; and it makes sense to offer low-income CWS clients financial support to assist them with self-sufficiency. See Table 2.

Thus, coordination of the two programs can help eliminate poverty and protect families from abuse and neglect – with TANF operating as the organization’s primary child welfare prevention program and CWS as an anti-poverty program. CalWORKs services can be used to reduce or prevent economic instability for Child Welfare clients and CWS can prevent further risk of crisis for CalWORKs recipients. Both are child safety and family stability programs.

In summary, it is critical that leadership address “Why We Should Do This” so that the coordinated services system does not become an end in itself, diverting precious time and resources away from meeting family needs.

Counties have identified many additional reasons for coordinating the two programs, including benefits for both families and the county. See Table 3.

<p style="text-align: center;">Table 2 What Do Families Need?</p> <p>Understanding the link between poverty, abuse, and potential involvement in CWS can give clarity to organizations as they start developing services and new approaches.</p> <p>For example: <i>What do families need to get out of poverty and protect their children?</i></p> <ul style="list-style-type: none">▪ Do they need more processes, such as coordinated assessments and case plans?▪ Do they need child care, job training, housing, peer support?▪ Or do they need services that are less frequently offered, such as a continuum of substance abuse treatment services or harm reduction programs for parents and children?
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² The report is from the U.S. Department of Health and Human Services. See <http://www.calib.com/nccanch/pubs/statinfo/nis3.cfm>.

Table 3
Why We Should Coordinate
CalWORKs and CWS

For the families

- Coordinating services and providing quicker access to services can yield *better outcomes* for families because they don't have competing plans, goals, and timelines.
- Access to intensive coordinated services will enhance access to services for families with domestic violence, mental health issues, alcohol and drug abuse, and other barriers to self-sufficiency.
- One point of entry for families *makes life easier for families* who already have significant stress and few resources.
- Improved screening and assessment mean that prevention services can be added, expanded, or offered earlier.
- A coordinated system can establish *more accountability*. There is less opportunity for miscommunication between families and staff.
- Families reduce the amount of time spent with program administration and increase the time spent in applying the skills learned.

For the county

- Coordination of services means better and more efficient use of existing resources – funding, staff, and time. Administration may be able to set up policies and procedures *once* for both programs.
- Cost avoidance may result from reducing duplicate services, improving client outcomes, and reducing recidivism.
- Staff serving the same families will have a common purpose and a stronger sense of community because separations between programs will be reduced or erased.
- Staff feels more knowledgeable, effective, and empowered; better morale among staff also helps with retention and recruitment.
- Coordination of programs may mean that the county can more effectively implement statutes and regulations.

2. Establish a Planning Committee.

In counties that have successfully coordinated their CalWORKs (or TANF) and CWS programs, leaders did not craft their vision statements in isolation, but used planning groups to develop and create consensus about the purpose and direction of their coordinated programs, often involving staff at all levels, participants and their families, contractors, community partners, and other stakeholders. Table 4 describes the Planning Committees used in three different counties. In addition to determining the composition of the Planning Committee (see Table 5), leadership needs to set parameters for how long the planning process will take, how frequently the committee will meet, and who will chair or co-chair the committee (if the county director doesn't assume this role).

In addition to assisting the county director in crafting a vision for the county's coordinating effort, the Planning Committee will, as appropriate, conduct research and set specific goals, objectives, and timelines for each of the service delivery and administrative components described in the next sections. Other key considerations for the Planning Committee include:

- determining the nature and scope of collaboration with community partners;
- identifying cultural issues, including issues of access and service delivery, for non-English-speaking populations;
- discussing the factors that contribute to client mistrust of the system and fear of losing their children – and what can be done to address these fears; and
- identifying the ongoing roles for parent/consumer input and involvement.

Table 4
Examples of Planning Committees

In San Francisco County, the Deputy Directors started the planning process three years ago by launching a Crossover Committee, co-chaired by a CalWORKs Program Analyst and a Child Welfare Section Manager and comprised of volunteers from the CalWORKs and CWS programs, as well as of representatives from child care, training, and planning and budget. This committee identifies service needs and undertakes tasks and makes recommendations supportive of service integration. Their work has resulted in crossover training for CWS, CalWORKs and PAES (a welfare-to-work program for indigent adults) staff; monthly lists of crossover cases; protocols for transfer between programs and for communication between program staff; and weekly multidisciplinary team meetings.

In Stanislaus County, in the fall of 2000, 16 people (including managers, supervisors, and line staff from the Community Service Agency's CalWORKs and CWS programs, the county's Department of Employment and Training, and community-based organizations) went to El Paso County, Colorado, to review their integration philosophies, practices, policies, procedures, and training. They formed the Project Integration Team (PIT) and reviewed ways to incorporate these practices into the Stanislaus County Turlock Project, which opened in March 2002.

The Turlock Project incorporates guiding principles developed by the El Paso County Human Services Agency and recommended by the PIT. These include strengths-based, solution-oriented practice; a holistic approach to identifying and meeting family needs; enhanced customer service; and integrated partnerships within the agency and the community. The PIT was phased out in April 2001 when the Turlock Project Planning Committee, which includes staff from the PIT and others who work in Turlock, was established. The Turlock Project integration practices and policies are continuously being assessed to help the Community Services Agency determine what works best for families and staff.

In Edgecombe County, North Carolina, the FOCUS (Families on Course for Unlimited Success) Planning Committee has 29 members, including line staff, members of the agency's management team, and a project coordinator. They form three subcommittees: one charged with restructuring new worker orientation, another that is developing a comprehensive and strengths-based assessment tool, and a third which focuses on educating staff and changing attitudes as the agency moves forward in its TANF/Child Welfare Collaborative Project.

Table 5
Involving Partners and Stakeholders

Active, purposeful, and strategic involvement of partners and stakeholders is an important factor in the success of the coordinated services effort. Counties should carefully consider which stakeholders might be involved in their planning and implementation processes (see below) and how they can be most effectively involved, especially thinking through how best to get their input and feedback. While it is critical for stakeholders to be involved, it is also important that they not be asked to attend numerous meetings that tax their time and patience, when other more efficient methods might be used to solicit their input and secure their partnership.

Some of the key decisions to be made include:

- What agencies, organizations, and individuals would be affected by a change in the service delivery system – and who needs to be involved in or sponsor the coordinated services effort to ensure its success?
- Who needs to be at the table for the planning and implementation processes? Do all of these people need to be at every meeting – or can there be different levels of involvement?
- What process will be put in place to get feedback from partners and stakeholders about plans, pilots, or ongoing operations of the coordinated services effort?
- How will the partners and stakeholders be kept informed of the progress of the coordinated services effort?
- What, specifically, can be said to each partner or stakeholder about how the new coordinated services effort will benefit them?

Possible Stakeholders and Partners to Involve in the Planning and Implementation Processes

Program Participants and Their Families
County Departments (Mental Health, Drug/Alcohol Prevention, etc.)
Nonprofit Organizations (public, private, faith-based, self-help)
For-Profit Businesses
Schools and Universities
Researchers
Workforce Boards
Government Agencies
Contractors
Foundation Representatives
Juvenile Court
Labor Unions
Service Providers:
Employment Training, Alcohol & Other Drugs, Domestic Violence,
Mental Health, Housing, Parenting and Child Care

The following objectives should be undertaken by leadership in collaboration with the Planning Committee, but it remains leadership’s responsibility to ensure that the objectives are completed in a timely manner and that they satisfy the vision of the new system.

3. Create Vision and Mission Statements.

Leadership and the Planning Committee must craft a vision for coordinating CalWORKs and CWS, and this vision needs to be articulated into a mission statement and/or guiding principles.

Counties that have successfully moved to coordinate their CalWORKs (or TANF) and CWS programs report that leadership was a strong and ever present force in the effort. At the same time, when the Planning Committee is working to develop the vision and mission statements, it is important to emphasize staff participation and buy-in.

The CalWORKs/Child Welfare Partnership Project Work Groups recommend that four professional values anchor and guide the vision of the coordinating project. Services should be coordinated to achieve a service delivery system that is *family focused, needs driven, community connected, and strengths based*. See Table 6.

Some counties have also developed compelling slogans or mottos that summarize the vision and help clients, county staff, and community partners understand the purpose of their common work. Table 7 and Table 8 profile the unifying mottos, visions, and mission statements or guiding principles used in coordinated services programs in three counties. In all cases, a Planning Committee was instrumental in crafting the vision and mission statements, but the county leader took a strong role in ensuring that a clear vision was developed.

<p>Table 7 Examples of Vision and Mission Statements</p>
<p>Stanislaus County <i>Motto:</i> To Strengthen and Build Healthy Families! <i>Vision:</i> To create a holistic process that facilitates system change to strengthen and build healthy families through strengths-based practice and community partnerships. <i>Mission:</i> To examine integrative models, learn their strategies and processes, duplicate and/or enhance current programs, and develop work groups to move the integrative and communicative processes forward more proactively.</p>
<p>Edgecombe County, North Carolina <i>Motto:</i> FOCUS – Families on Course for Unlimited Success. <i>Vision:</i> To FOCUS on increasing success: one family at a time. <i>Mission:</i> To form partnerships with families and communities to enhance the family’s quality of life.</p>
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Table 6
Values Guiding a Coordinating Project

The CalWORKs/Child Welfare Partnership Project Work Groups recommend that four values guide the Coordinating Project.

Family Focused

- Family, as a unit, is the focus of attention. Families identify needs. Services are tailored to family uniqueness.
- Families are seen as capable; emphasis is placed on assessing and building on family strengths. Services are focused on enhancing family competencies.
- Family decision-making plays a key role in the service delivery process.
- Families are linked with a more comprehensive, diverse, and community-based network of supports and services.
- Families are engaged in designing all aspects of the policies, treatment, and evaluation. Service providers continually seek families’ input and feedback on the effectiveness of services.

Needs Driven

- Services are tailored to the uniqueness of families’ needs.
- Families and support teams jointly identify concerns and prioritize the most critical.

Community Connected

- Service plans include a balance of family, informal community, and formal agency resources.
- Agency services are provided in the community and support the involvement of families and their communities.
- Self-sufficiency is a shared goal among agencies, nonprofits, and families.

Strengths Based

- Families are viewed as capable.
- Services and resources are aimed at supporting and strengthening families, workers, and providers.
- Services are focused on enhancing resiliency and include caring, high expectations, and opportunities to participate.
- Families receive individualized services focused on strengths.

Adapted from materials developed by Debby Jeter, Deputy Director, Children and Family Services, Social Services Department, San Luis Obispo County.

Table 8
Vision, Mission, Motto, and Guiding Principles
Department of Human Services
El Paso County, Colorado

VISION

To eliminate poverty and family violence in El Paso County.

MISSION

**To strengthen families, ensure safety,
promote self-sufficiency,
eliminate poverty, and
improve the quality of life in our community.**

MOTTO

Strengthening the Family and Community

GUIDING PRINCIPLES

The system of care must be family-driven and include extensive family leadership.

Systems and programs must be effectively integrated.

The system must build community capacity to serve families.

Services must be strength-based and delivered in the least intrusive manner possible.

Services must be accessible, accountable, and comprehensive.

Services must meet the individualized needs of families.

Services must be coordinated across systems.

The system of care must emphasize prevention and early intervention.

**Smooth and seamless transitions between programs must accompany
families as they develop.**

The system of care must protect the rights of families.

Outcomes of services must be evaluated.

All services must be culturally respectful and delivered by competent staff.

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4. Identify target populations.

The vision for and philosophy behind the coordinated system will in part determine which populations are to be served. In determining target populations, county leadership and the Planning Committee need to consider available funding, resources, and organizational readiness. In Table 9, possible target populations are identified along two axes – 1) participants receiving or not receiving CalWORKs services and 2) participants receiving or not receiving child welfare services. By identifying target populations that are or *could be* involved in both systems, it is easier for leaders to determine how program linkages might more efficiently or comprehensively serve these participants and their families, including the provision of services to prevent or divert entrance into one system or the other.

Table 9 provides an extensive, but not complete, list of target populations for county leaders to consider serving in their coordinated system. Counties can make choices about target populations based on their service philosophy and resources. Counties can select one or several populations and have the option of continuing to expand the types of families served as resources are developed.³

Table 9 POSSIBLE TARGET POPULATIONS	
<p>In CWS but not in CalWORKs</p> <ul style="list-style-type: none"> ▪ Families in CWS Family Preservation or Family Maintenance who are not in CalWORKs, but may be eligible for CalWORKs Diversion, Food Stamps, or Medi-Cal Services ▪ Teenagers coming out of Foster Care who have children and are eligible for CalWORKs ▪ Non-custodial parents of children in CWS who are linked to CalWORKs families through the custodial parent ▪ Families with a current CWS Emergency Response investigation that will not be opened as a case 	<p>In CWS</p>
<p>Not in CalWORKs</p>	<p>In CWS and in CalWORKs</p> <ul style="list-style-type: none"> ▪ Families in CalWORKs and receiving CWS voluntary or court-ordered Family Maintenance or Preservation Services ▪ Families in CWS Family Reunification services eligible for CalWORKs 180-day employment services ▪ Families in CalWORKs with children in Permanent Placement Services ▪ Non-needy relatives
<p>Not in CalWORKs and not in CWS</p> <ul style="list-style-type: none"> ▪ Families not receiving CalWORKs, but meeting the “needy family” criteria ▪ Families not receiving CalWORKs, but receiving prevention services under the auspices of goals 3 and 4 of TANF ▪ Families referred for eligibility determination for Medi-Cal, Food Stamps, or Diversion Services ▪ Families referred by mandated domestic violence, substance abuse, or mental health reporters 	<p>Not in CWS</p>
<p>Not in CalWORKs</p>	<p>In CalWORKs but not in CWS</p> <ul style="list-style-type: none"> ▪ Non-needy relatives ▪ Families who are in CalWORKs sanction ▪ Families who are reaching 60-month time limits ▪ Families with no CWS history, but with risk factors such as domestic violence, substance abuse, poor school attendance, and lack of compliance with CalWORKs requirements ▪ Families transitioning out of CWS with an ongoing CalWORKs case ▪ Families in CalWORKs with prior Child Welfare history, e.g., referrals ▪ Teens in CalWORKs, including teen parents ▪ Kin-Gap families
<p>Not in CalWORKs</p>	<p>In CalWORKs</p>

³ The Coordinated Case Planning Work Group recommends that counties *begin* their coordinated services efforts by focusing on clients and families in *both* CalWORKs and CWS.

5. Choose an Organizational Structure.

Working with the Planning Committee, assess various organizational structures and identify one that provides the target populations with the services envisioned. Any number of organizational structures are possible. In reviewing organizational structures currently in existence, there are three primary models in use: the Coordinated Case Planning Model, the Intensive Services Unit Model, and the One Door Model. Leadership needs to consider how these organizational structures can meet their needs or how the structures might be modified.

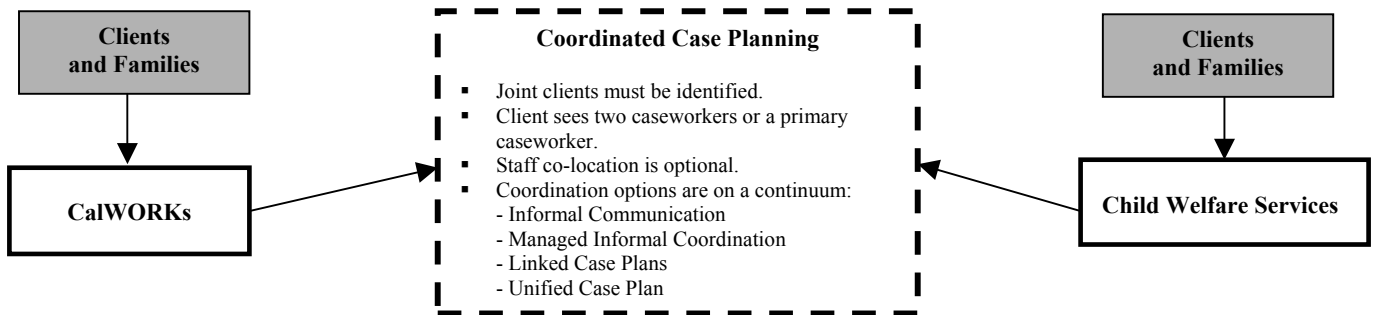
Questions that county leaders can ask themselves when considering service models include:

- How can we best address the needs of the family regardless of how they enter our system?
- What are the least intrusive services we can provide to assist the family?
- Which model will assist us in serving families in the best possible manner?

Coordinated Case Planning Model

There are several forms of this model, which essentially makes no significant changes in the organizational structure. In each variation, there is an effort to do some form of coordinated case planning to decrease the likelihood that case plans will set conflicting goals for the client.

The degree of coordinated case planning can be placed on a continuum. For specific guidance, see the Coordinated Case Planning Work Group recommendations, which include a range of approaches from informal communication to a unified case plan. Thus, there can be informal coordination or regular planning meetings to identify, review, coordinate, and resolve cases. Particularly with more informal methods of coordinated case planning, participants continue to have two caseworkers, though a lead or primary caseworker can be designated with more coordinated plans. The Coordinated Case Planning Model also has variations in staff location. For example, staff from CalWORKs can be located in CWS and vice versa.

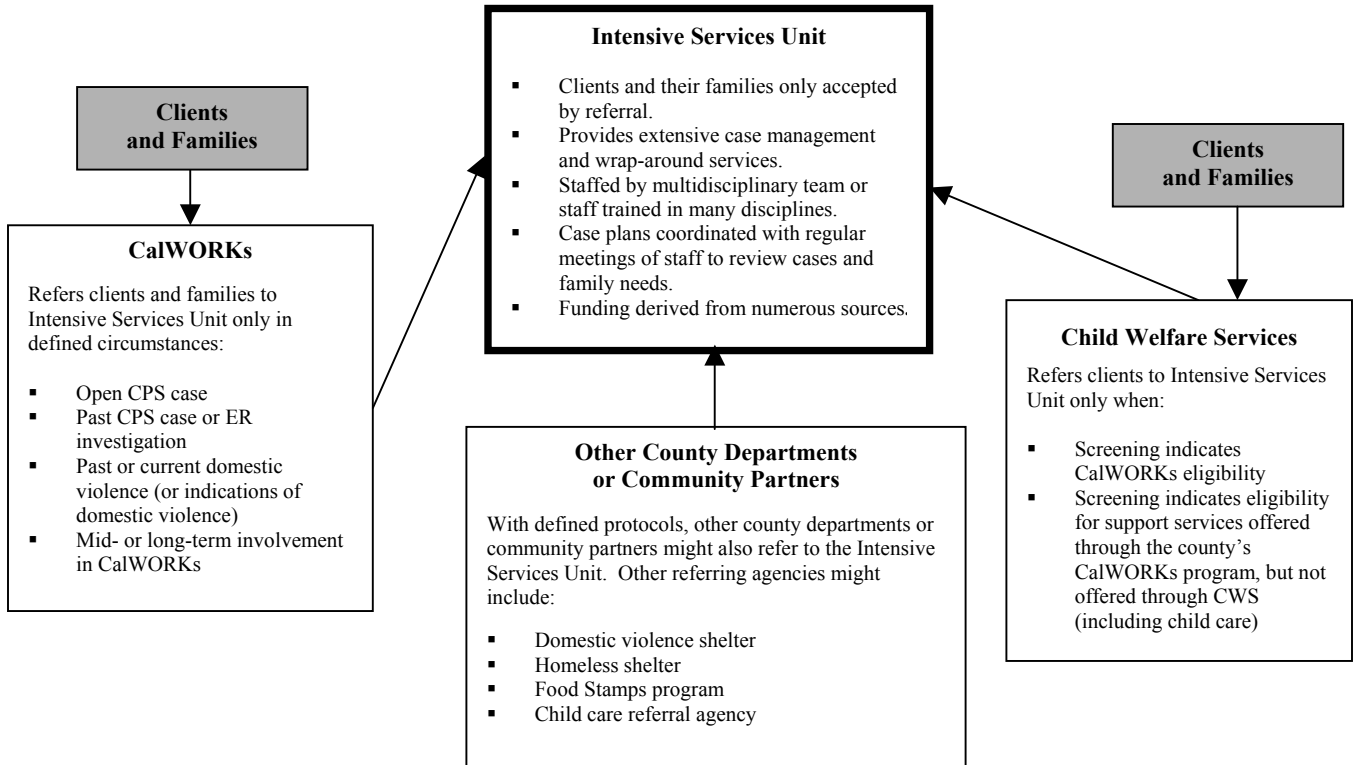


Coordinated Case Planning: Pros & Cons

<p>Pros:</p> <ul style="list-style-type: none"> ▪ Establishes unified goals – ideally, coordinated case planning is done for all families in both systems. ▪ Allows families to follow one coordinated plan – clients may benefit from more tailored service plans. ▪ Decreases likelihood of miscommunication between workers about family circumstances. ▪ Increased communication between departments, programs, and disciplines can strengthen the knowledge base of the workforce. ▪ Co-location aids ongoing efforts at coordination. ▪ No need for a lot of retraining and new MOUs to get program running. ▪ Workers still work within their programs and specialties. ▪ Workers learn about new resources for their clients. ▪ Services can be paid through the most cost-effective funding stream. ▪ Can operationalize concept of TANF as a child-abuse prevention program and CWS as an anti-poverty program by workers becoming knowledgeable about the services in each program. 	<p>Cons:</p> <ul style="list-style-type: none"> ▪ No systemic reform. ▪ May dead-end as a pilot project. ▪ Runs risk of seeming vague and ill defined unless the vision is continually shared and supported. ▪ Doesn't significantly change plans of either program. ▪ May depend on relationships between individual workers. ▪ Some workers will readily coordinate case plans and see this as a benefit while others will view the effort as simply more “cooks to stir the soup.” ▪ Education across programs in a department takes time.
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Intensive Services Unit Model

In this model, the county establishes a freestanding, cross-disciplinary unit that provides case management services by referral for hard-to-serve families. Families are referred from the existing programs in CalWORKs and CWS. This unit is *added* to the existing organizational structure without system reform. Participants have one case manager.



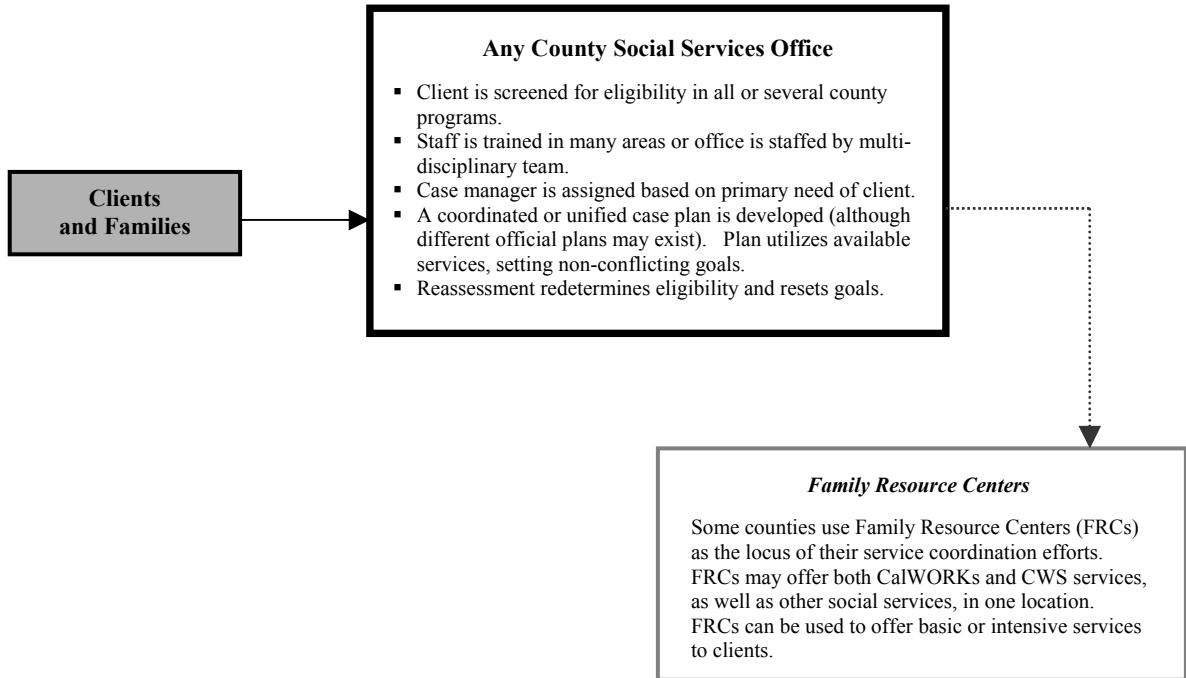
Intensive Services: Pros & Cons

<p>Pros:</p> <ul style="list-style-type: none"> ▪ Avoids or subverts "turf" issues. ▪ Creates a new hybrid that establishes a model for reform. ▪ Unified system (instead of silos) streamlines services for families. ▪ Services can be delivered quickly. ▪ Identifies hard-to-serve families and creates specialized services for those families. ▪ Creates focus of one case manager for family. ▪ Breaks workers out of their separate disciplines and promotes innovation. ▪ Allows other staff to do business as usual so organization can identify staff interested in doing something different to work in unit. ▪ If the members of the team are strong collaborators, there can be a magnet-like effect in the community; if positively received, the community may ask for more. ▪ If staff are collaborative and/or co-located, there can be significant time savings owing to easy communication across agencies. 	<p>Cons:</p> <ul style="list-style-type: none"> ▪ No systemic reform; doesn't change system for rest of the families. ▪ May disappear if not continuously nurtured, supported, and eventually expanded. ▪ Mostly targets mid- or late-stage families; doesn't prevent families from being involved in both systems. ▪ The unit may have a cap on how many clients it can serve; there is a potential for eligible clients to not be able to receive services due to staffing, building, or program restrictions. ▪ Other staff don't have to accept philosophy and goals of coordinated services. ▪ Workers in all participating agencies or departments need to be trained on what the intensive services unit does and when to refer. ▪ Neither all workers nor all department heads are good at working collaboratively; time is needed to carefully select people with these strengths and interests. ▪ Agencies may have to spend a good deal of time up front on creating MOUs, etc. ▪ Procedures need to be worked out for supervision and on how to solve problems in the unit when they arise.
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One Door Model

This model conducts comprehensive screening of clients to determine which programs they might qualify for, regardless of which program door they come in. A single case manager is designated based on the participant’s and family’s primary need.

This model allows the county social services department to shift services and staff to CalWORKs for prevention-focused services. Consequently, more comprehensive screens and assessments are undertaken to provide direct services delivery for at-risk families.



One-Door Model: Pros & Cons

Pros	Cons
<ul style="list-style-type: none"> ▪ Improves appropriateness of services and quality of the families’ experience with the system. ▪ Advantageous to families as they only go to one place for all services. ▪ Fully coordinates services through one case manager. ▪ Clients may be identified earlier for some services. ▪ Clients may have easier access to obtaining services, funding, etc. ▪ Opportunity for highest level of coordinated case planning. 	<ul style="list-style-type: none"> ▪ Difficult for agencies to develop this type of system change. ▪ Unless there is deep reform, silos persist, even with co-located staff. ▪ Clients, especially child welfare clients, may feel their confidentiality is threatened. ▪ Cross-training issues are very intense and difficult. ▪ The model can be difficult to supervise. ▪ Program managers not in one program may not possess the training, education, or experience necessary to manage the other program. ▪ A generic manager may have tremendous difficulty training new staff and obtaining buy-in and respect of staff with more training, education, and experience in the field. ▪ This model needs to employ workers knowledgeable in several programs.

The following leadership components are important to the success of the coordination effort.

6. Set goals and objectives for each administrative and service delivery component.

While the Planning Committee can do the work of setting goals and objectives for each administrative and service delivery component, leadership must remain involved to ensure that the goals are organizationally and politically practical and that, taken together, the goals and objectives for each component work compatibly with each other. Management needs to commit to reasonable caseload sizes that allow enough time for workers to really know their clients and have time for collaboration. Without adequate time, collaboration cannot occur.

7. Ensure adequate funding and design of efficient accounting procedures.

Leadership needs to commit funding to the coordination effort for the planning and system development work. In addition, leadership needs to ensure that budget staff understand the policy requirements and *flexibility* of the funding streams that will be tapped and that staff research alternative funds. County leadership needs to delegate some authority for funding decisions and ensure that accounting staff receive support in their research and development phase to make their operation as efficient as possible, for themselves and for the service providers. See the Flexible Financing Work Group recommendations for more information.

8. Establish an Implementation Committee.

Leadership works with a Planning Committee to establish a vision, craft a mission statement, identify target populations, choose an organizational structure, and set goals and objectives for each administrative and service delivery component. To implement the new program or system, county leadership must then convene an Implementation Committee and determine its leadership and membership, which might have considerable overlap with that of the Planning Committee. However, the function of the Implementation Committee is to develop policies and procedures by which goals and objectives can be operationalized. It is important to include line staff and consumers. This will give a powerful message to all involved that the environment is changing.

9. Guarantee staff and management the training and tools they will need to deal with change.

As the process of coordination moves forward, organizational and personnel changes will occur. In counties that have already coordinated services, the County Welfare Director's leadership, support, and direction have been crucial to helping staff at all levels deal successfully with the change process. Leadership also needs to recognize that managers and staff not only need training on the new approach, but also need continual reinforcement of the vision. At the same time, it is critical that staff know that there is *shared and joint accountability*: that CalWORKs staff will be held accountable for CWS outcomes and that CWS staff will be held accountable for self-sufficiency outcomes. See the Organizational Change and Training Work Group recommendations for more guidelines and discussion.

10. Continually communicate the vision.

County leadership must take the lead in consistently presenting the vision and the reasons for coordination in all forums, both inside and outside of county government. Counties that have moved to coordinate CWS and CalWORKs (or TANF) programs have found that consistent communication of the common vision is a critical and ongoing role of leadership.

11. Assess and evaluate.

To ensure the success of the coordinated program, county leaders must invest in monitoring and evaluation efforts. Evaluation information provides feedback on how to refine program practices to further meet the vision. Outcome information can be used to showcase or improve the coordinated program. It is the responsibility of county leadership *to support and use* the evaluation information in their management decisions. The evaluation process should launch data collection from the beginning, not as a last step.

In summary, leadership is the fundamental and essential building block for a coordinated services delivery model. Leadership that is committed to successful coordination of services must undertake, at minimum, eleven tasks to launch and ensure the ongoing success of the effort.

Eleven Tasks of Leadership

- Address “*Why We Should Do This.*”
- Establish a Planning Committee
- Create vision and mission statements.
- Identify target populations.
- Choose an organizational structure.
- Set goals and objectives for administrative and service delivery components.
- Ensure adequate funding and design of efficient accounting procedures.
- Establish an Implementation Committee.
- Guarantee staff and management the training and tools they will need to deal with change.
- Continually communicate the vision.
- Assess and evaluate.

SERVICE DELIVERY

Once leadership has fully committed and has begun addressing the 11 tasks of leadership in the first building block of coordinated services, leadership can then begin working with staff, program participants, and stakeholders to implement a service delivery system, the second building block. It is recommended that leadership not overplan, but instead make decisions, move forward, and adjust practice to meet goals.

Below are some of the components of the service delivery system that leadership must attend to by developing roles, responsibilities, and protocols for each. These components should be developed using a strengths-based approach for both families and staff. The components are:

1. Team Development
2. Client Identification and Referral
3. Client and Family Assessment
4. Development of a Coordinated Service Plan
5. Case Management
6. Case Resolution

1. Team Development

Coordination of services, by definition, requires that people whose previous interactions may have been minimal begin working together. Consequently, it is important to focus on objectives to build the service team.

- **Identify team members** (see Tables 10 and 11). Hire or reassign staff with desired skill sets.
- **Determine staffing model.** Counties can use a single supervisor model, a co-supervisor model, or a team facilitator model.
- **Determine the form of case management** (see Table 12).
- **Assign and clarify decision-making authority.** Determine who makes final decisions on the case plan if there are disagreements among team members.
- **Develop clear guidelines for team interaction, including reporting and supervisorial relationships.**
- **Clarify team expectations.** Consider communication, location and frequency of planning meetings, collaboration, joint home visits, team meetings, coordinated case planning, and problem solving. Clarify that CWS and CalWORKs staff have shared accountability for outcomes.
- **Ensure that team members maintain program expertise** by staying connected to assigned program, e.g., by attending staff meetings.
- **Weigh advantages and costs of co-locating staff**, and, if appropriate, choose a form of co-location.
- **Identify initial and ongoing training and cross-training needs.**
- **Establish an information feedback loop** so that all members of your team and their clients and partners can constructively evaluate the service, effectiveness, and efficiency of the service team.
- **Establish initial caseloads at a reduced level** to provide ample time for collaboration.
- **Establish clerical and technical support for the team.**

Table 10
Developing a Team

Coordination of services requires that there be a team whether it consists of only two workers or more. A number of administrative decisions need to be made to select the team and ensure their effective communication.

- Who will select the team members?
- Who will be the members of the team?
- Who will be the team leader? What decision-making authority do they have and to whom do they report?
- Will there be community partners on the team? Will they be permanent members or assigned as needed according to families' needs?
- Will community partners address needs in both program areas? For example, will the community mental health provider address employment barriers *and* child welfare issues?
- Will there be a primary case manager for the family to ensure follow-through with the plan? If so, will that be predetermined, e.g., always the TANF worker or always the CWS worker? Or will that be decided on a case-by-case basis using specified criteria?

Table 11
Examples of Teams

Yolo County has a multidisciplinary team which includes 7 CWS Social Workers, 1 CalWORKs Employment Services Social Worker, 1 CalWORKs Public Assistance Specialist, and 1 Medi-Cal/Food Stamp Public Assistance Specialist. Staff are supervised by their program supervisors, and the team is supervised by the on-site Child Welfare Supervisor. The CWS Social Worker acts as a lead case manager. Also co-located with the team are clinicians from Alcohol, Drug, and Mental Health Services and nurses from the Health Department.

Orange County has a Mutual Clients Project which involves all CalWORKs district offices and all CWS units. Staff are supervised by their respective CalWORKs and CWS supervisors. All referrals for services are done through the CalWORKs case manager. Mutual clients are considered *agency* clients so information can be shared.

Kern County has court-ordered family maintenance cases handled by teams of CWS, Eligibility, and Employment Social Workers. The initial home visit for Family Maintenance is by all three CWS and CalWORKs workers. Staff are supervised by their respective CalWORKs and CWS supervisors. CWS is lead for planning services. After CWS issues are resolved, the case can stay in CalWORKs. Information is shared freely under the agency's "one department, one vision" philosophy.

Table 12
Case Management Options

Two key decision areas in establishing case management are:

1. Deciding who will be the primary case manager, and
2. Deciding whether there will be informal or formal consultation.

Case management options

- A predetermined primary case manager, e.g., always the CalWORKs worker or always the Child Welfare worker, *or*
- Client needs determine the primary case manager.

Team consultation options

- No lead case manager, but formal consultation between Child Welfare and CalWORKs caseworkers either jointly or in larger team meetings which include other supervisors or representatives of other disciplines, *or*
- Parallel case managers with informal consultation as needed between Child Welfare and CalWORKs caseworkers.

2. Client Identification and Referral

There are important decisions to make about how program participants and, possibly, their families are referred to your team. A method of intake and screening must be determined; and training, protocols, and forms must be developed to support it. The following objectives should be considered as a county moves forward to redesign its intake and screening systems to support coordinated services.

▪ **Choose a method of intake and screening.**

There are different ways (see Table 13) to design your intake and screening to support coordinated services. In making your decision, consider the size of your staff, training needed, capacity to co-locate, demands on your participants, etc.

• **Consider how the concept of triage might be effectively designed into your intake and screening system.**

Every participant who enters the CalWORKs system does not need intensive services, either individually or for his/her family. Every client who enters the CWS system may or may not need services from CalWORKs.

• **Consider how screening can address the needs of a program participant's family.**

Consider setting up your initial intake to screen the family's needs (not focused only on parent or child) and determine its eligibility for a myriad of county programs. Consider how intake in both programs can be streamlined so that basic demographic information is collected only once, prior to assessment.

• **Consider how screening can be used to offer diversion services.**

Intake may determine that a client is not eligible for a program, but that a client and family may be in crisis. What services can be provided to *divert* the client from needing traditional or more intensive services in the immediate future? Some counties (see Table 14) have devised intake procedures that identify near-crisis situations that can be ameliorated or resolved before they require intensive and more expensive services.

▪ **Develop new protocols and training.**

Implementing new intake and screening procedures will require development of new protocols, as well as training of staff in the new procedures. See the Coordinated Case Planning and Organizational Change and Training documents for further discussion.

Table 13
Options for Intake and Screening

- An intake process that screens for both programs.
- Each program has its own intake process, and some intake data is shared to avoid redundant requests for information from the family. Case plans are developed later in the process.

Table 14
CalWORKs Diversion Services in San Luis Obispo

CWS Emergency Response workers are trained to refer families to an established contact person in CalWORKs who determines if families are eligible for Diversion Services.

CalWORKs Diversion provides services to anyone potentially eligible for CalWORKs to prevent them from entering CalWORKs. If a family enters CalWORKs within 6 months, the diversion payment is recouped from their grant. If the program participant or family does not enter CalWORKs within 6 months of receiving Diversion, the Diversion grant is forgiven.

Diversion services can include car repairs, child care, provision of tools needed for employment, and other services to assist in obtaining or retaining employment. As part of Diversion, the family is also screened for eligibility for Food Stamps and Medi-Cal.

Example of Diversion Services after a Domestic Violence Episode or Report

After a Domestic Violence report is made to the CPS Hotline, the CalWORKs worker and CWS Emergency Response worker coordinate with a Domestic Violence service provider to develop a plan to ensure safety for the non-offending parent and children. The plan uses resources from both programs. If the non-offending parent has left the abuser, services are geared toward getting employment for the newly separated parent in order to prevent a need for public assistance. The non-offending parent is potentially eligible for CalWORKs services, including housing, transportation, employment, and child care.

3. Client and Family Assessment

One primary purpose of assessment in a coordinated service delivery system is to assess CalWORKs and CWS program participants and their families, when appropriate, for possible service needs provided in the other program. Counties coordinate assessment processes using a number of approaches.

- **Consider where coordinated assessment would be valuable**, such as for families with unsubstantiated child welfare cases who need to be assessed for employment services, or for CalWORKs families with domestic violence concerns or previous CPS histories that need assessing for CWS.
- **Consider how coordinated assessment will occur** in a serial fashion with a follow-up meeting or as part of a joint meeting or home visit. Most counties have found that a unified assessment tool is too unwieldy.
- **Identify what kind of staff training needs to be offered.**
- **Establish protocols to determine when a family assessment is needed.**

Table 15
Approaches to Developing
a Coordinated Service Plan

- One comprehensive service plan is developed in a joint meeting and used by all case managers and providers.
- Separate service plans are developed for each program, and a team meeting is held afterwards to develop coordinated plan goals, services, and timelines.
- A separate service plan is developed in each program, and programs only consult with each other as needed to evaluate each family's progress toward goals and to resolve conflicts.

4. Development of a Coordinated Service Plan

A primary goal of coordinating services is to unify the case plan so that program participants and their families are not presented with conflicting goals or timelines. See the Coordinated Case Planning briefing paper.

- **Determine your county's method for developing and agreeing upon a coordinated service plan** (see Table 15).
- **Determine team composition, leadership, and communication expectations.**
- **Consider adopting a county policy that establishes that the Child Welfare Service Plan automatically meets the CalWORKs plan requirements.** If the CWS service plan addresses poverty issues, there will be a better fit with the CalWORKs plan and you can comfortably identify the plan as meeting the requirements for both programs.

Case Management and Case Resolution

Considerations about case management, review, closure, and other transitions focus on coordinating information from service providers and transitioning the family to long-term resources, when necessary. Objectives might include the following:

5. Case Management

- **Determine what criteria trigger case review.** Consider length of time in the program, caseworker request, likelihood of sanctions, lack of school attendance by children.
- **Examine what services are needed by families to strengthen the service plan(s).** The case review process is a formalized process to reconsider the original service plan and to renegotiate or confirm it.

6. Case Resolution

- **Decide who has final authority to close a case and determine the process to reach the final decision.**
 - Specify the degree that the family will be involved in decisions about case closure.
- **Compile information on transition services that can assist families.**
- **Determine protocols and process for transitioning case management and service delivery:**
 - To one program in cases where dual involvement is no longer necessary or beneficial, or
 - To support systems outside of public social services.

ADMINISTRATION

Once leadership has focused on the 11 tasks of leadership and worked with the Planning Team to make decisions about the service delivery system, the Implementation Committee will then need to modify the administrative system.

After reviewing established models of coordinated services, the Work Group identified five possible administrative components to be considered by the Implementation Committee. Each of the components is described below with possible objectives. As indicated earlier, every county may not utilize all five components. Also, each component can be tailored to meet the requirements of any particular county's system.

The Work Group identified five possible administrative components to be considered by the Implementation Committee.

- 1. Procurement and Contracting**
- 2. Data Management and Confidentiality Agreements**
- 3. Fiscal Management**
- 4. Program Operations (procedures, forms, policies for operations)**
- 5. Evaluation and Research**

1. Procurement and Contracting

The Implementation Committee has many issues to consider while establishing contracts for provision of services. The Committee should bear in mind the following objectives:

- **Determine whether to contract with outside county service staff or to provide services with county service staff.**
- **Determine whether to establish a specific contract for each program or a master Agency or County-wide contract.**
- **Include vision, mission, and significant outcomes in all contracts.**
- **Determine the data-reporting requirements that will be built into the contracts to ensure that the county's state and federal reporting requirements are met, as well as any data requirements necessary for the county's own evaluation effort.**
 - In separate procurement contracts, adopt common terminology, contract types, and standards of performance measurement.
 - Identify staff to manage procurement and contracting (centralized or decentralized administration).
 - Write scope of work for contracts to meet requirements established for measurable outcomes of project and programs.
 - Use information from funding/budgeting strategy to determine funds available for contracts.
 - Establish processes to ensure contractor compliance with regulations and statutes through established monitoring process.

Determine whether to establish a specific contract for each program or a master Agency or County-wide contract.

2. Data Management and Confidentiality Agreements

CalWORKs and CWS manage data through different computer systems that have no interface. Moreover, there is a plethora of confidentiality-related statutes that may generate some confusion for counties. See the briefing papers on Data Systems and Confidentiality for guidelines and recommendations in these areas. Longer term state-level recommendations are also in a companion document.

In the meantime, it is important for planners to be clear that it is legally and professionally possible to establish protocols that allow for the respectful and secure sharing of information about families. The Planning and Implementation Committees should consider adopting the following operational objectives for data management and confidentiality:

- **Identify families common to the coordinated programs.**
Establish data-matching procedures to identify families receiving CalWORKs and CWS. Many counties in California are performing these matches and information is available on their protocols (see the Data Systems briefing paper).
- **Establish how client and family information will be shared, including protocols for case management files.**
Decide how staff will communicate about common cases – interpersonally, through automated systems and/or with hard copy. For counties that choose a multidisciplinary approach, decide responsibility for tracking family progress and for gathering information that will be shared, while protecting confidentiality. Solutions may range from a shared database to a hard copy file of common cases.
- **Create data collection procedures to measure the success of the project.**
 - First, identify data needed to measure project outcomes. The chosen measures of success should take into account each program’s performance standards as established by regulatory requirements; this ensures that much of the data required by the project is already being collected.
 - Second, existing data systems must be assessed to determine how the necessary information can be extracted for reporting on the coordinated services effort.
 - Third, design an evaluation report for your project and determine if funds will be needed for production of the report or for creation of new databases or enhancements to existing systems.
- **Establish clear confidentiality protocols to allow sharing of client and family information.**
Without doubt, it is legally and professionally possible to facilitate the respectful and secure sharing of information that is necessary to the coordination of CWS and CalWORKs. The Work Group recommends that protocols be clarified early in the process to decrease later difficulties involved in sharing information. See the briefing paper on confidentiality.

3. Fiscal Management

The Planning Team should consider the objectives which follow. See also the Flexible Financing briefing papers for additional recommendations and guidelines.

- **Identify available funding streams.**
Use criteria consistent with the vision and mission of the coordinated services effort and prioritize spending accordingly.
- **Establish accounting procedures to track costs and charge expenditures to appropriate funding streams.**
 - Look for and borrow examples of accounting practices in other counties.
 - Ideally, the charging process will be a process that is efficient, but also invisible to the family and the service providers.
- **Train staff – both providers and fiscal personnel.**
Staff will need to be trained on funding requirements, new accounting procedures, modifications in coding systems, etc.

4. Program Operations

Staff will need written procedures and forms that reflect the policy decisions made in the planning process. Who will establish procedures and decide how services will be delivered? Objectives for the Implementation Committee's consideration include:

- **Determine operational procedures that need to be modified and who will be responsible for establishing service delivery protocols.** See Table 16 for alternative approaches to developing protocols.
 - Ensure that staff has input into the creation of protocols.
 - Ensure that intake, tracking, and case resolution forms are clear.
- **Identify key service delivery partners and establish contracts.**
- **Provide a feedback system for staff to tell management their suggested refinements and updates to operations.**

5. Evaluation and Research

Each funding source (e.g., CalWORKs or CWS) has separate performance measures that need to be taken into account when determining desired outcomes of the coordination project. The evaluation of the coordinated services program or system must build from these required performance measures, and only then should additional programmatic outcomes be added. In designing the expected outcomes and the evaluation, the planning team needs to remember that the primary purpose of coordinating services is to improve outcomes for children and families and to improve government accountability.

Objectives of this evaluation effort could be to:

- **Consider the goals of the project and create measures of success, including family outcomes.**
- **Determine each program's *required* measurable outcomes.**
 - Consider accessibility of data through various or common systems to determine measurability.
- **Consider availability of funding for MIS development of systems or ad hoc reports to capture data and measurables.**
- **Determine staff responsibility for tracking, research, and reporting.**
- **Determine evaluation methods: statistical, anecdotal, existing reports, etc.**
 - Determine time frames for reporting.
 - Determine review and approval process for final reports.
 - Consider who will read the report. To whom are you accountable, e.g., Board of Supervisors, the community, department staff?

Table 16
Approaches to Creating New Protocols

- Line staff, families, and service providers assist in creation of procedures.
- Centralized program staff write procedures for the integration project.
- Each department assigns program staff to write procedures for their operations staff.
- Designated program staff write procedures after conferring with stakeholders and users (families and line staff).
- Supervisors, directors, and project manager review procedures and forms before release to staff.
- Organizational structure determines who calls case-counseling sessions, who makes referrals, and other facts of day-to-day operations described in the procedures.
- Create a glossary of terms and establish common definitions.

END NOTE

While there are many decisions and details involved in establishing service delivery and administrative support systems, visionary county leadership *can* unite management and staff to create a coordinated services system that can more comprehensively and effectively serve the needs of families and children. To assist county leaders in developing a coordinated services system in a thoughtful and systematic fashion, the Organizational Structures Work Group has outlined 11 challenges for leadership, 6 components of service delivery and 5 administrative areas that can be tailored to the unique goals and needs of each county. County leaders can also assess the fit of 3 organizational structures and modify as appropriate.

As county leaders develop their coordinated services systems, the Organizational Structures Work Group particularly advises that a vision, mission statement, and guiding principles be fashioned to unite and motivate staff, families, and partners.

As part of the planning and implementation processes, the Work Group also cautions county leaders and planners to carefully research what they perceive to be barriers. Is a particular practice specifically prohibited, or are the codes simply silent on the practice? The Work Group recommends careful research to determine how barriers can be overcome, with a particular focus on how other counties have developed workable practices and programs.

The Work Group advises particular caution in perceiving barriers in the following areas:

- Confidentiality,
- Fiscal limitations on types of services or populations to be served,
- Eligibility requirements, and
- Performance requirements.

Through their research, the Work Group determined that counties that move to a more coordinated services delivery system are knowledgeable about state and federal program and fiscal requirements – and that these counties do not perceive barriers as permanent. Careful planning and a common vision will allow county leaders to coordinate services to better serve families. It is hoped that this *Planning Guide* will be a useful tool to help achieve that important goal.