

**OFFICE OF THE SECRETARY  
IMPLEMENTATION PLAN  
FOR THE  
ASIAN AMERICAN AND  
PACIFIC ISLANDER INITIATIVE**

U.S. Department of Health and Human Services  
April 1998

## **INTRODUCTION**

This section sets forth the commitments of the Office of the Secretary in support of the Department of Health and Human Services' Asian American and Pacific Islander (AAPI) Initiative. The components of this plan were developed by individual staff offices in response to a December 31, 1997 request from Deputy Secretary Kevin Thurm and in accordance with the AAPI framework approved by the Deputy Secretary in October 1997 and the Work Plan Outline and guidance approved by the AAPI Departmental Working Group (DWG).

All OS Staff Divisions help to support the implementation of the Department's AAPI Initiative, and we look forward to working with the AAPI Community on next steps. Specific action items have been provided by the following offices:

- The Assistant Secretary for Legislation (ASL)
- The Assistant Secretary for Management and Budget (ASMB)
- The Assistant Secretary for Planning and Evaluation (ASPE)
- The Office for Civil Rights (OCR)

**ASSISTANT SECRETARY FOR LEGISLATION  
ASIAN AMERICAN AND PACIFIC ISLANDER INITIATIVE  
IMPLEMENTATION PLAN**

The Office of Assistant Secretary for Legislation (ASL) is responsible for the development and implementation of the Department's legislative program and maintains liaison with members of Congress and their staffs and Committee staff. ASL is divided into four parts - the immediate office of the Assistant Secretary for Legislation; Health Legislation Office; Human Services Legislation Office; and the Congressional Liaison Office.

The implementation plan of the ASL will include the following:

- \* Continue to reach out, update and respond to questions from members of the Congressional Asian Pacific Caucus and other members of Congress who have an interest in issuing affecting the Asian Pacific American community.
- \* Recruit Asian Pacific American interns to work in the office of the ASL. However due budget constraints, these slots will likely be unfunded.
- \* Track and provide input to Congress on legislation that has an impact on the Asian Pacific American community.

*Time Frame:* Ongoing and as issues arise

*Measurable outcomes:*

Increase in the number of AAPI interns in ASL.

Increase capacity to respond to members of the Congressional Asian Pacific Caucus and other members interested in issues affecting the Asian American and Pacific Islander community

**ASSISTANT SECRETARY FOR MANAGEMENT AND BUDGET  
ASIAN AMERICAN AND PACIFIC ISLANDER INITIATIVE  
IMPLEMENTATION PLAN**

The Asian American and Pacific Islander (AAPI) Initiative Plan of the Assistant Secretary for Management and Budget (ASMB) includes both its corporate and internal responsibilities:

- o ASMB has corporate responsibility to develop policy, recommend practices and provide leadership and guidance to DHHS Operating Divisions (OPDIVs) and Staff Divisions (STAFFDIVs) on budget, human resources, grants and acquisition management.
- o The Assistant Secretary for Management and Budget is responsible for ASMB's internal work force and activities and for applicable action items of the Departmental AAPI Action Plan.

Support to the Assistant Secretary is provided by the ASMB Offices of Budget, Human Resources, and Grants and Acquisition Management and by the Office of the Secretary (OS) Office of Equal Employment Opportunity (OSEEO) which is organizationally located in ASMB.

Following are the AAPI Initiative action items for which ASMB has responsibility.

**WORK FORCE AND PARTICIPATION IN HHS OPERATIONS**

**Goal 5: Ensure that issues affecting underserved AAPI populations are addressed through Representation in the HHS work force and participation in HHS operations.\***

- o According to the 1990 census, AAPI representation in the civilian Labor force was 2.80 percent.
- o As of September 30, 1997, AAPIs represented 3.8 percent of the HS Work Force, 3.5 percent of the Office of the Secretary (OS) work force, and 0.8 percent of the ASMB work force.
- o As of September 30, 1997, AAPIs represented 1.4 percent of the HHS Senior Executive Service (SES), 2.0 percent of the OS SES, and 0.0 percent of the ASMB SES.

\* Note that not all the goals and objectives set forth in the AAPI Framework are applicable to ASMB; only applicable goals and objectives are reference in this plan.

**Objective 5.1: Increase the representation of AAPI employees on advisory boards, strategic planning committees and task forces.**

#### ACTION ITEM

When opportunities arise, the Deputy Assistant Secretaries will ensure that outreach efforts include AAPI representation in the pools of persons considered for task forces, strategic planning committees, special projects, and ad hoc groups, these efforts may include consideration of employees outside the OS.

**Objective 5.4: Develop strategies for increasing recruitment of senior level AAPIs to SES and other line positions in HHS agencies**

Increasing recruitment of AAPIs at the SES level throughout HHS is one mechanism for improving the capability of HHS to meet health and human services needs of AAPIs. ASMB will have oversight, monitoring, evaluation, and, where applicable, implementation responsibility for this objective.

#### ACTION ITEMS

ASMB's corporate responsibility is to ensure that Operating Divisions (OPDIVs) and Staff Divisions (STAFFDIVs) develop strategies and report efforts and progress in Affirmative Employment (AEP) Reports and Plans. The Office of Human Resources (OHR) and the OSEEO will review OPDIV STAFFDIV AEP reports and Plans for representation of AAPIs and objectives developed and implemented to address existing underrepresentation. Objectives to be reviewed include:

- Identification of barriers to AAPI outreach and recruitment to SES and other key positions, including excepted appointments.
- Recruitment of senior level AAPIs for SES and other key positions where they are underrepresented, including designation of SES positions as Federal Equal Opportunity Recruitment (FEORP) targets.
- Recruitment results based on a study of OPDIV and STAFFDIV used of the Applicant Background Survey and reports of resulting data on ethnicity.
- Consultation with AAPI government professional organizations, such as the Asian American Government Executives network, to identify barriers and develop outreach and recruitment activities to increase the pool of AAPIs for SES and other key positions.

Time Frame: FY 1998 and ongoing

Inclusion of AAPIs within the ASMB workforce, including SES positions, will be a priority because of ASMB's key roles in management and budget.

## ACTION ITEMS

ASMB Deputy Assistant Secretaries will assure that outreach activities include sources of AAPI candidates. ASMB will utilize pipeline recruitment sources, e.g., Presidential management Interns and student programs, to introduce AAPIs to opportunities in ASMB.

Time Frame: FY 1998 and ongoing

ASMB Deputy Assistant Secretaries and managers will pursue outreach efforts to potential sources of AAPI candidates to acquaint them with the work of ASMB. In coordination with the servicing personnel office, activities could include attending career/job fairs and speaking to student groups and professional organizations.

Time Frame: FY 1998 and ongoing

**ASSISTANT SECRETARY FOR PLANNING AND EVALUATION**

## **ASIAN AMERICAN AND PACIFIC ISLANDER INITIATIVE IMPLEMENTATION PLAN**

The Assistant Secretary for Planning and Evaluation (ASPE) advises the Secretary on policy development issues, and is responsible for major activities in the areas of legislative and budget development, strategic planning, policy research and evaluation, and economic analysis. ASPE is organized into the following offices: the Office of Disability, Aging and Long-Term Care Policy; the Office of Health Policy; the Office of Human Services Policy; the Office of Program Systems; the Office of Science Policy; and the Administrative Office.

ASPE's support for the AAPI Initiative will focus on the following action steps:

### **ASIAN AMERICAN AND PACIFIC ISLANDER DATA**

#### **GOAL 2. Increase and Improve the Collection, Analysis and Dissemination of Data about AAPI Populations and Subpopulations.<sup>1</sup>**

*Objective 2.1 Increase and improve collection of data on AAPIs*

*Objective 2.2 Increase and improve analyses and dissemination of data on AAPIs*

\* The ASPE is a permanent co-chair of the HHS Data Council which coordinates all health and non-health data collection and analysis activities of the Department. ASPE staff will work with the Data Council's Working Group on Racial and Ethnic Data to promote increased and improved data and analyses on Asian Americans and Pacific Islanders. Specifically, the Work Group will review previous recommendations for improving minority data and submit a strategy to the Council for improving minority data.

\* In 1995, ASPE and the Data Council developed the Directory of Minority Health and Human Services Data Resources as a reference document on data resources within DHHS that contain race and ethnicity data. In their capacity as members of the HHS Data Council, ASPE staff will assist in updating the Directory in 1999, expanding information about AAPI sample sizes, and seeing that the information is disseminated.

*Lead Entity:* Office of Program Systems

*Time Frame:* FY 1998 - FY 1999

*Measurable Outcome:* Completion and Dissemination of Updated Directory

\* ASPE will begin a study this year to evaluate the major data bases maintained by the DHHS statistical agencies and other key statistical agencies and to assess the extent to which and under what circumstances each can be used for doing analysis on smaller subgroups, i.e. Asian American and Pacific Islanders as well as Native Americans and Hispanics. The study will evaluate the capacity of these data systems for analysis of the race and ethnic minorities and identify methods to enhance the analytical capacity of the data sets such as pooling and methods of imputation. Researchers will provide specific recommendations for ways to improve our statistical coverage of smaller race/ethnic populations including oversampling, methods of developing more accurate sampling frames, and use of local studies.

*Lead Entity:* Office of Human Services Policy

*Time Frame:* FY 1998 - FY 1999

*Measurable Outcome:* Completion and Dissemination of Report

\* Currently, ASPE is both funding and collaborating in methodological work with the National Center for Health Statistics relating to the use of telephone surveys to develop State-specific data. Both health and welfare modules are being developed. This approach may prove to be a cost-effective method for obtaining State-level data on minority population, especially in States with relatively large proportions of minorities.

*Lead Entity:* Office of Program Systems

*Time Frame:* FY 1998-99

*Measurable Outcome:*

Completion of evaluation report

Development of State survey capability at NCHS

## **RESEARCH ON ASIAN AMERICAN AND PACIFIC ISLANDER HEALTH**

### **GOAL 3: Increase the Number of Funded Research Projects and Programs Targeted Toward AAPIs**

***Objective 3.2 Evaluate the impact of major health and human services changes, including welfare reform and coverage of uninsured children, on the access to care and services of the AAPI populations.***

ASPE will continue funding the Urban Institute, in collaboration with the University of California at Los Angeles, to study the economic and health status of immigrants, their communities and service organizations. This study which is being conducted in Los Angeles and New York City, also will assess the impact that welfare reform has had on immigrant communities, immigrant households, and public, private and community based agencies that serve these populations.

*Lead Entity:* Office of Human Services Policy

*Time Frame:* FY 1998 - FY 2000

*Measurable Outcome:* Process: Achievement of study milestones, completion of study and dissemination of interim reports, policy briefs, and final reports. Outcome: Significant increase in understanding of these two immigrant communities and welfare reform's effects on immigrants.

In addition, ASPE will continue to encourage statistical agencies to increase the collection of data on the health and economic status of immigrant families. Such data will allow us to assess the status of AAPI immigrants over time and how they are affected by welfare reform and other policies.

\* ASPE will continue to promote collection of consistent and detailed data on the immigrant status of individuals and families in data sets such as the CPS, SIPP and SPD.

\* ASPE will continue to promote the study of health status, economic status, and child well-being in major immigrant studies like the New Immigrant Survey.

**OFFICE FOR CIVIL RIGHTS  
ASIAN AMERICAN AND PACIFIC ISLANDER INITIATIVE  
IMPLEMENTATION PLAN**

The Office for Civil Rights (OCR) is a staff office within the Department of Health and Human Services (DHHS) whose mission is to eliminate unlawful discrimination in programs and activities provided or funded by the DHHS and ensure equal opportunities for all beneficiaries to participate in such programs. In order to carry out this mission, OCR enforces major civil rights statutes and regulations that prohibit discrimination on the bases of race, color, national origin, age, disability, and, in some instances sex and religion.

Under these civil rights statutes, providers of health care and human service delivery who receive HHS financial assistance are prohibited from discriminating on bases as described above. Providers include hospitals, nursing homes, extended care facilities, mental health centers, alcohol and drug treatment programs, State and local government agencies, senior citizens programs and social service agencies.

To enforce the civil rights statutes, OCR has traditionally relied on a broad-based compliance program including complaint investigations and outreach activities. Based on these activities, we have been particularly sensitive to and familiar with the concerns of Asian Americans.

One of OCR's special initiatives involved sponsoring a series of one-day seminars on Access to Health Care and Human Services by various racial and ethnic groups. The seminar focusing on issues affecting Asian Americans and Pacific Islanders was held in September 1992 and was co-sponsored by the Office of Minority Health and the Asian American Health Forum, Inc. The specific aims of that seminar were: (1) to initiate a first time ever national dialogue where Asian American leaders in health and civil rights could share their perspectives on the issues of violence, discrimination and justice in regards to Asian Pacific American health care services; and, (2) to outline the components of a national policy agenda that would focus on the right to comprehensive and coordinated health care and human services for Asian Americans which could be advanced collectively among organizations representing that community throughout the United States. This set the framework for further collaborative activities by OCR regional offices and representatives of the AAPI communities.

### **Implementation Infrastructure**

The OCR AAPI plan is compiled from ideas and information submitted by representatives of OCR regional and headquarters management. OCR Regional offices, because of their ongoing outreach/technical assistance and other liaisons they have developed with state and local organizations, advocacy and constituency groups, as well as OPDIVs and STAFFDIVs, will expand the use of partnerships with these agencies to ensure nondiscrimination. OCR anticipates an increased need for outreach and education partnerships in light of Congressional actions that block granted entitlement programs and GPRA and related requirements.

During FY 1998, OCR will work with recipient state health agencies as another means for expanding the scope of its compliance program through partnerships. We will work with these agencies to secure

the compliance of their sub-recipients on designated civil rights issues, particularly as they relate to implementation of performance partnership agreements with the Public Health Service. If successful, OCR will have a growing number of cooperative relationships both within and outside of the Department. Partnerships will result in increased coverage of HHS's universe of recipients and a growing number of indicators of state, local, and program provider solutions that provide quality resolution of civil rights problems. In addition, OCR will have increased access to resources throughout the Department that can assist in implementing the Department's civil rights responsibilities. The OPDIVs will use OCR's expertise to assist in educating their grantees and staff. OCR cooperative initiatives with state and local governments in the past have often resulted from investigative activities.

The OCR Minority Initiatives Coordinating Committee (OMICC) will develop specific guidance to be included in the regional AOPs and will include instructions on the submission of quarterly significant activity reports on activities undertaken with respect to this initiative. Special reports may be required.

The Office of Civil Rights will carry out the following specific action steps under the AAPI Initiative:

### **CROSS CUTTING COLLABORATION TO ENHANCE HHS CUSTOMER SERVICE TO AAPIs**

#### **GOAL 6: Enhance HHS capacity to serve Asian American and Pacific Islander customers.<sup>2</sup>**

*Objective 6.1: Improve collaboration within the Department to increase coordinated approaches to meeting AAPI customer needs.*

*Objective 6.2: Ensure that HHS programs and initiatives meet the needs of AAPIs by strengthening partnerships with AAPI community organizations.*

\* OCR will periodically review HHS policy guidance for Federally-funded providers to address the needs of individuals with Limited English Proficiency (LEP) and determine whether it is sufficient to reduce barriers to access to HHS services for AAPI populations. This is a longer-term activity.

#### *Key Agency Activity:*

Compliance and Technical Assistance reviews (includes briefings/meetings/training)

*Lead Entity:* Office of Program Operations/Regional offices (I-X)

*Time Frame:* FY 1998 (2nd quarter through 4th quarter)

*Measurable Outcomes:*

Number of LEP persons served before/after OCR involvement.

Number of interpreter/bilingual contacts before/after OCR involvement.

Number of interpreter/bilingual hours before/after OCR involvement.

Number of services for LEP persons before/after OCR involvement.

Number of translated documents before/after OCR involvement.

Number of visits by LEP managed care plan enrollees before/after OCR involvement.

\* OCR will identify opportunities to research customer needs and customer satisfaction with services delivered to AAPI communities and clients. Divisions and programs should seek opportunities to (1)

solicit advice from AAPI community groups, and (2) involve AAPI communities in materials development and decision making on customer service strategies and improvements.

*Key Agency Activities:*

A. OCR will continue to work in partnership with other federal agencies, HHS Operating Divisions, state and local agencies and providers to ensure nondiscrimination in verification of immigrants' eligibility for program benefits. OCR will continue to work with the Department of Justice to issue national guidelines for the verification of eligibility for benefits during FY 1998.

*Lead Entity:* Office of Program Operations/Regional Offices

*Time Frame:* Fiscal Year 1998

*Measurable Outcomes:*

Number of monitoring reviews completed to ensure compliance with the pending verification guidelines.

Number of TA provided to HHS grantees involved in such verification processes.

Number of outreach activities provided to national origin minority communities that are subject to the guidelines.

B: OCR will continue to work with health care and social services providers, state and local agencies and HHS partners to ensure that persons are not discriminated against on the basis of national origin. OCR has issued guidance to staff that addressed the issue of enforcement of Title VI of the Civil Rights Act of 1964 with respect to obligations of HHS recipients to ensure that persons with limited English proficiency (LEP) have equal opportunity for program participation.

*Lead Entity:* Office of Program Operations (headquarters) and Regional Offices (Regions I - X)

*Time Frame:* Second through Fourth Quarters, FY 1998

*Measurable Outcomes:*

Number of training sessions conducted

Number of onsite TAs provided.

C: Regional technical assistance to state and local agencies administering HHS funded programs/activities (i.e., community forums and town meetings) to identify and gauge the concerns of AAPI populations.

*Lead Entity:* OCR Regional offices (Regions I - X)

*Time Frame:* Fiscal Year 1998

*Measurable Outcomes:*

Number of meetings/forums held; number of presentations conducted

Number of on-site TAs provided.

\* OCR will strengthen partnerships with AAPI communities and service providers on HHS-related issues in the long term, through strategies such as:

*Key Agency Activities:*

A: Regional meetings to address differing needs and issues of AAPIs in urban and rural areas, and in States with high concentrations of AAPIs and with smaller, isolated clusters of AAPIs (OCR lead, all) (short term)

*Lead Entity:* OCR Regions I-X

*Time Frame:* Ongoing throughout FY 1998

*Measurable Outcome:*

Number of meetings held/presentations made

Number of on-site TA provided

B: Include workshops or presentations on AAPI needs and on barriers within AAPI communities to accessing necessary and appropriate health care services during AAPI Heritage Month (May).

*Lead Entity:* Regional Offices; OCR MICC (headquarters)

*Time Frame:* Throughout the month of May

*Measurable Outcome:* Number of meetings held/presentations made.

<sup>1</sup> Note that not all the goals and objectives set forth in the AAPI Framework are applicable to ASPE; only applicable goals and objectives are referenced in this plan.

<sup>2</sup> Note that not all the goals and objectives set forth in the AAPI Framework are applicable to OCR; only applicable goals and objectives are referenced in this plan.

