

Final report: WIN II administrative impact study

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SOCIAL WELFARE REGIONAL RESEARCH INSTITUTE
REGION I

BOSTON COLLEGE

FINAL REPORT

WIN II ADMINISTRATIVE IMPACT STUDY

SWRRI PUBLICATION #17

This report is submitted to:

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TABLE OF CONTENTS

		<u>Page</u>
CHAPTER	I: INTRODUCTION	1
	A. The Work Incentive Program	
	B. Findings of Initial Impact Study	
	C. Objectives and Scope of Second Administrative Impact Study of WIN II	
	D. Explanation of Final Report	
CHAPTER	II: SUMMARY OF FINDINGS AND RECOMMENDATIONS	10
	A. Listing of Findings	
	B. Discussion of Findings	
	C. Recommendations	
CHAPTER	III: PROGRAM OPERATIONS - WELFARE OFFICES	23
	A. Registration	
	B. Financial	
	C. The Separate Administrative Unit	
	D. Child Care	
	E. Registrant Non-Cooperation	
	F. Conclusion	
CHAPTER	IV: PROGRAM OPERATIONS - EMPLOYMENT SERVICE	42
	A. Joint Appraisal Team	
	B. WIN - Employment Service (ES)	
CHAPTER	V: SIGNIFICANT INFLUENCES IN THE PATTERN OF IMPLEMENTATION AND OPERATION OF WIN II	59
	A. Pre-Occupation with "Welfare Fraud"	
	B. Relations Between Welfare and the Employment Service	
	C. State-Local Welfare Agency Relationships	
	D. Separation of Services	
	E. Related Work Programs	
CHAPTER	VI: CLIENT PERSPECTIVES	70
	A. Introduction	
	B. Data Collection and Sample Population	
	C. Survey Results	
CHAPTER	VII: ADMINISTRATIVE COSTS AND PROGRAM DATA	87
	A. Administrative Costs	
	B. Local Economic Conditions	
	C. Participant Characteristics	
	D. Cumulative Program Statistics	

TABLE OF CONTENTS

		<u>Page</u>
CHAPTER VII: cont'd	E. Program Components, July 31, 1972 and April 30, 1973	87
	F. Summaries	
	G. Summary of Performance and Cost Information	
	H. Conclusions	
APPENDIX TO CHAPTER VII:	Tables and Graphs	118
CHAPTER VIII:	WIN II IN TWO CALIFORNIA COUNTIES	147
	A. WIN and California Work Programs	
	B. San Joaquin County	
	C. Stanislaus County	
	D. Program Data	
	E. Benefits and Problems	
	F. Some Perspectives on WIN II from California WIN Personnel	

CHAPTER I

INTRODUCTION

A. THE WORK INCENTIVE PROGRAM

The continuing public concern with welfare programs was clearly evident in the enactment by Congress on December 28, 1971 of the 1971 Amendments to the Social Security Act (Public Law 92-223). This legislation mandated substantial changes in both the structure and the operation of the Work Incentive Program (WIN) as part of the effort to move recipients of Aid to Families with Dependent Children (AFDC) toward self-support through employment.

The federal interest in work and training programs for clients of the AFDC program dates back to the 1961 Amendments to the Social Security Act which authorized federal assistance to states which provided grants for unemployed parents, primarily fathers, called AFDC-UP. The 1962 Amendments, now that AFDC explicitly included an employable population, permitted federal expenditures for payments for work programs in the case of AFDC-UP fathers and encouraged states to adopt "Community Work and Training Projects." The purpose of these projects was to provide paid work experience that would prepare jobless men for re-entry into the labor force and would enable them to work off their assistance payments.

The primary strategy of the 1962 Amendments, however, for moving clients toward self-support centered on a social services approach to the removal of the sources of personal dependency that led to the use of public assistance. States were encouraged to provide social services by a new grant-in-aid formula which matched state expenditures on services on a 75/25 basis, or \$3 federal dollars for every state dollar.

With the passage of the Economic Opportunity Act of 1964, the Community Work and Training Projects were replaced by the Work Experience Program (WET) which provided higher federal support, covered a greater target population, and could potentially provide more comprehensive training, social services and work opportunities. The WET demonstration projects inaugurated the period of program cooperation between welfare and employment agencies. Public Welfare agencies had the responsibility of setting up work experience projects, of purchasing or developing training opportunities, and of providing supportive services to enrollees. The Employment Services assumed the task of providing manpower services and particularly job placement services for graduates from the program. The WET projects were based on the assumption that much of the AFDC caseload could be made employable, including mothers, through the provision of services and experience which were relevant to employment.

The 1967 Amendments to the Social Security Act created the Work Incentive Program (WIN) to replace the WET. This new program contained mandatory referral components for the first time and provided standardized incentives for those mothers who obtained employment so that they no longer lost assistance payments equal to the wages they earned. While WIN made greater provision for job placement than the previous programs, the major emphasis was still on training and services leading to client rehabilitation.

The 1971 Amendments to the Social Security Act (WIN II) modified various parts of the original WIN Program (WIN I). The following is a short summary of some of the more important aspects of WIN I which are to be changed under WIN II as specified in the legislation.

1. Referrals to WIN

Under WIN I referral strategies varied from state to state. Different states had developed different criteria for mandatory categories, and, in addition,

within these categories caseworkers were allowed to exercise a great amount of individual discretion. The WIN II legislation mandates changes in the referral policies of states. WIN II requires that registration for manpower services, training and employment be a condition of eligibility for assistance for specified categories of clients. Through the mandatory registration procedures, WIN II is intended to reduce the lack of uniformity in referral and to increase program coverage and reliability.

2. Separate Administrative Unit

The provision of services to WIN participants and accountability for those enrolled in the program under WIN I was often problematic due to the lack of a specific unit within many welfare offices which could provide the necessary supportive services and could serve as liaison with the WIN Program in Employment Service offices. The new program requires that states have a special program administration for WIN in welfare departments. This separate unit is to provide services to WIN clients and liaison to the Employment Service program, and the operation of the WIN Program in local welfare offices becomes more uniform.

3. Referral Levels

Referral levels to WIN varied from state to state, with a few departments of welfare referring too small a number of recipients to meet enrollment goals. The new Amendments place a penalty on those states which, after June 30, 1973, fail to meet the minimum 15 percent certification of those required to register.

4. Federal Matching Formula

The federal matching formula for the WIN/ES Program and for supportive services was different - on an 80-20 basis for WIN/ES operations and a 75-25 basis for supportive services. Under WIN II, federal matching funds for all operations and supportive service are placed on a 90-10 basis, within the limits of the authorizations of Congress.

5. Priority of Referral

Earlier WIN legislation did not address priority, but the Department of Health, Education, and Welfare strongly recommended specific categories for mandatory referral. This resulted, in many states, in a back-jam of mandated individuals who did not want the services, or who were not particularly employable. The new legislation for WIN II sets priorities, among those who must register, for those who should be called up first. The order is as follows:

(a) unemployed fathers, (b) mothers who volunteer, (c) pregnant women and mothers under 19 years, (d) youths over 16 and not in school, and (e) all other individuals. The changes in WIN II alter not only the priority, particularly by placing volunteers near the top, but also allow the employment offices to consider employment potential in carrying out the program.

6. Job Market

In the actual operations of WIN I, there was often little relationship between the employment potential of the individual, the type of training, and the actual jobs available in the community. Under WIN II the employment offices are mandated to establish in each appropriate geographic area a Labor Market Advisory Council to assist in the identification of the types of jobs available or likely to become available. The new provisions also limits the amounts and kinds of institutional training and place minimums on the amounts of on-the-job training and public service employment in order to emphasize the utilization of these programs.

7. Agency Cooperation and Joint Planning

There was little joint effort between welfare and employment offices in many states from the level of the preparation of the individual employability plans to the level of the preparation of state plans. Most tasks were carried out separately. WIN II, while changing the operational responsibilities, attempts

to create the mechanisms for joint efforts for most program activities ranging from the joint appraisal of clients to the review of statewide operational plans by jointly established regional and national coordination committees.

- a. the registration and certification of the appropriate clients from the AFDC caseload,
- b. the role, structure, and responsibility of the mandated Separate Administrative Unit,
- c. the welfare responsibility in the joint welfare-employment service activities, and
- d. the provision of supportive services.

B. FINDINGS OF INITIAL IMPACT STUDY

The findings of the study of the initial impact of WIN II on local welfare office operations around WIN suggested that the guidelines were differently implemented in the various sites that were investigated. At the conclusion of that study in the Fall of 1972, it was difficult to identify the extent and exact nature of the impact of WIN II on the administrative patterns in local welfare offices. The patterns in the six sites of Lowell and Worcester, Massachusetts, Monroe and Nassau, New York, and Middlesex and Camden, New Jersey, had formed a continuum based on the degree of concentration of WIN tasks within a single unit prior to WIN II. A continuum had ranged from those administrative patterns exhibiting a relatively low degree of concentration of WIN tasks to patterns displaying a high degree of concentration. The question of whether the various patterns would merge toward a point on the continuum of concentration as mandated in the guidelines was left open until more time had elapsed so that local offices could deal with transitional problems and could establish normal procedures for implementing WIN II. The findings of the initial study were the following:

1. The WIN II Program has accentuated the differences in organizational structure of WIN within local welfare offices and possibly led to greater divergence in program structure, at least in the short-run.
2. The new guidelines do not appear to have changed the priority of WIN in local offices from what it was prior to WIN II.

3. The mandatory registration procedures are being implemented in all the sites.
4. During the transitional phase of the program, the general understanding and knowledge about the WIN II Program was lower among staff within welfare offices than knowledge of WIN had been previously.
5. The relations between welfare offices and employment offices have generally improved as a result of WIN II.
6. On the basis of very limited investigation, it did not appear that WIN II had significant positive or negative effects on clients.
7. In those sites which have implemented the guidelines most completely, the costs have run significantly higher than those which have only partially put the new regulations and organizational patterns into effect.
8. The costs were higher where the welfare offices relied primarily on the client to complete registration forms rather than the caseworker conducting an interview.
9. In order to arrive at a sounder basis for comparison of administrative costs of the program, additional research at a later point in time, when the program is more completely operationalized, is required.
10. The capacity of the local office in terms of staff size, caseload rate, and WIN staff at the time of implementation affects the speed and extent to which the WIN II Guidelines are being implemented.
11. The communications network and procedures that operate between the state and local welfare agencies significantly affected the extent to which the guidelines had been implemented in local offices.
12. The priority of the WIN Program in state Departments of Welfare and in local offices affected the extent to which WIN II had been put into effect.
13. The relative influence of the state welfare department over the local offices also affected the degree to which the WIN II Program was implemented and the manner in which it operated.
14. The nature and number of competing work programs has an effect on the utilization, priority, and effectiveness of the WIN Program.
15. The political and budget constraints which have been imposed in many states and localities on overall welfare operations limit the capacity of local offices to make the WIN II Program effective.
16. The voucher system for child care in some states is time consuming, and confusing for workers and clients. In cases where significant delays in payments are involved, the system reduces the available child care resources by limiting the number of potential babysitters, since many sitters are reluctant to become involved in such complicated procedures and, more importantly, are unable to wait the necessary time for payment.

C. OBJECTIVES AND SCOPE OF SECOND ADMINISTRATIVE IMPACT STUDY OF WIN II

The primary objectives of this project were to examine (1) the impact of WIN II on local welfare office operations at a time when the program had been in operation for approximately one year, (2) the affects of competing programs, priorities, and local and state pressures on the evolution of WIN, (3) the reactions and perspectives of WIN participants on WIN II procedures and welfare office administration of WIN II, and (4) the differences between local WIN operations and the respective differences in impacts in terms of simple input and output performance criteria.

The six locations were initially selected for this study by the Social and Rehabilitation Service of DHEW, with the consultation of the Social Welfare Regional Research Institute. It was decided to use the same sites as had been investigated in the initial impact study. The sites locations were the following:

1. Camden County (Camden), New Jersey
2. Middlesex County (New Brunswick), New Jersey
3. Monroe County (Rochester), New York
4. Nassau County (Mineola), New York
5. Lowell, Massachusetts
6. Worcester, Massachusetts

After site visits had been made to these locations during the Summer of 1973, it was decided by the Social Welfare Regional Research Institute and the Social and Rehabilitation Service of DHEW to include an additional state containing two sites in the study. The State of California was chosen because it was outside of the northeast region of the country and because it had developed distinctively different ways of implementing the WIN II Guidelines. The objectives of the California portion of the study were somewhat more limited than those in the other states owing to limitations of time and resources. This meant that the review

of the welfare office operations as a whole in the California sites was not extensive, that the clients were not interviewed, and that the range of background quantitative data collected was narrower. Unlike the selection process for the other locations for investigation, the State Department of Human Resources Development of the State of California determined the offices to be visited and examined by the researchers from the Regional Research Institute. These locations were the following:

1. San Joaquin County, California
2. Stanislaus County, California

D. EXPLANATION OF FINAL REPORT

This report is intended to give the reader a sense of the impact of WIN II on local welfare offices as of the Summer of 1973. It is also intended to give some initial indications of the affects of the program on clients and to indicate, within the limits of available data, the differences in performance of the various local programs as they implemented WIN II. While the study has many of the limitations of a short investigation in terms of (a) the gaps in certain quantitative data and (b) the limited time and resources to get at the subtle differences in performance by the various offices, the research presented in this report does give a relatively comprehensive picture of the operations of the WIN II Program and does indicate some of the more important issues, problems, and impacts.

The format for this report puts the presentation of findings and recommendations at the beginning. While this was the last section to be completed, it does provide the context for the materials that follow and is directed at the primary concern of policymakers in the agencies responsible for WIN II. This chapter also contains a section which reports some of the recommendations and reactions of administrative personnel responsible for WIN II in the various states which were visited. Chapters III, IV, V, VI, and VII are concerned exclusively with an exam-

ination of the WIN II Program in the locations in New York, New Jersey and Massachusetts. The reason for this is that much of the writing on this project had been completed prior to the addition of the California sites to the study. Chapter VIII discusses the WIN II Program in California.

CHAPTER II

SUMMARY OF FINDINGS AND RECOMMENDATIONS

A. LISTING OF FINDINGS

1. Federal guidelines on registration were closely followed by local welfare offices.
2. Refusal to register by mandatory clients was very rare.
3. The degree to which local welfare offices have established a fully operative and participating Separate Administrative Unit (SAU) and the manner in which the SAU operates vary greatly among the locations in the four states.
4. In those local welfare offices where separation of services had not been operational prior to WIN II, implementation of the WIN II guidelines has been difficult and is still not completed.
5. Those local welfare programs which had a special WIN unit within Income Maintenance to handle WIN financial procedures operated more efficiently.
6. The procedure of Joint Appraisal, where it has been implemented, has improved the cooperation between welfare offices and employment service offices.
7. In some offices where there are other work programs for welfare clients, the priority and performance of WIN suffers.
8. The decrease in training opportunities has caused a gradual decrease in volunteers.
9. A factor which had both direct and indirect impact on the effectiveness of the WIN II program was the preoccupation of some local and state welfare agencies with the issue of "welfare fraud."
10. Local aggregate unemployment rates do not appear to reflect adequately the job market for WIN participants.
11. Problems in the provision of child care services usually centered around availability.
12. Four percent of the registrants in all of the sites in this study completed job entry in fiscal year 1973. Thirteen percent of the participants in all of the programs in this study completed job entry.
13. Those programs in this study which placed highest emphasis on (a) volunteers, (b) supportive social services, (c) training, and (d) strong joint agency participation performed highest in terms of (a) the number of participants who completed job entry, (b) a combined measure of completed job entry for registrants and for participants, and (c) the percentage which completed job entry of those who entered job entry.

14. With the exception of one location, those sites which had competing work programs and elaborate employment-related procedures tended to do poorly on performance measures of effectiveness.
15. Those programs which tended to have higher total administrative costs per participant had generally higher performance levels (if one county which did extremely poorly because of overadministration is excluded).
16. In the one program which was most costly and bureaucratically elaborate, there appear to be diseconomies of scale since this program performed poorly in terms of nearly all measures of effectiveness.
17. In terms of the total administrative cost per completed job entry, no definite indications emerge from the ranking of the programs as to the factors in their operations which affect the level of costs.
18. The administrative cost of the program per completed job entry ranged from \$1922 per successful placement to \$5290 per successful placement. If the excessively high figure for one county is excluded from the calculation, the average administrative cost per completed placement is \$2142.
19. Clients tended to view the WIN program positively as a means of attaining greater financial and psychological self-sufficiency.
20. The clients who responded to the survey felt that the mandatory requirements of the program were unfair and thought they should be discontinued.
21. Twenty-one percent of the clients surveyed had been referred to a job by WIN.

B. DISCUSSION OF FINDINGS

1. Federal guidelines on registration were closely followed by local welfare offices.

In the implementation of the guidelines on registration, caseworkers identified and registered clients who fell into mandatory categories; however, they did not devote much time to explaining the program or attempting to generate interest in WIN. Most workers indicated that they were unable to do so because of constraints on the time they could spend on cases and because they had inadequate knowledge of WIN II.

2. Refusal to register by mandatory clients was very rare.

Although many clients expressed an initial reluctance to registration in WIN II, all but a very few registered after a brief explanation of the potential advantages of participation. In addition, SAU workers indicated that most instances

of registrant "non-cooperation" (i.e. non-attendance of appraisal interview) were satisfactorily explained by the client. These cases were usually placed back in the pool in anticipation that the problem could be corrected by the time of the 90 day reappraisal. There has been little necessity for the 60 day counseling or the fair hearing procedures. (Less than five hearings had been held on this issue in the six programs in Massachusetts, New Jersey and New York)

3. The degree to which local welfare offices have established a fully operative and participating Separate Administrative Unit (SAU) and the manner in which the SAU operates vary greatly among the locations in the four states.

In Massachusetts the locations visited do not have Separate Administrative Units. The explanation given was that the state legislature had not appropriated sufficient funds to the State Department of Public Welfare to implement this component of the WIN II program in addition to working toward separation of services from income maintenance payments and implementation of quality control procedures. The head supervisors function as the WIN coordinators. It is their responsibility to inform the AFDC supervisors and workers of changes in regulations and procedures, to maintain a log of WIN registrants, to send registration forms to the Employment Service, to prepare the monthly WIN reports that are submitted to the state, and to occasionally perform an informal liaison role with the employment offices. There is no Joint Appraisal Team at either location in Massachusetts.

In New York the locations exhibited different SAU arrangements. In one office the SAU only sees clients who have been designated as participants by the employment service and who need services which are not being provided to them by another unit in the welfare department. In the other location the SAU handles all WIN participants who are designated by the employment service. In the first site there is no SAU participation in the Joint Appraisal process but a worker is assigned as a liaison to the employment service office. In the other location the SAU participates fully in the Joint Appraisal Team.

In New Jersey the Separate Administrative Units perform the following functions:

- a. pre-screening of WIN registrants,
- b. home visits and WIN orientations for clients,
- c. identification of volunteers,
- d. recommendations to and arrangements for appraisal by the Joint Appraisal Team,
- e. participation in the Joint Appraisal Team, and
- f. arrangement of services and certification for clients who participate.

In California the SAU is located within the employment offices (Department of Human Resources Development) and includes colocated welfare and employment service personnel. They perform all functions which relate to WIN participants.

4. In those local welfare offices where separation of services had not been operational prior to WIN II, implementation of the WIN II guidelines has been difficult and is still not completed.

The initial study of WIN II by this Research Institute found that the extent and manner in which local agencies separated social service activities from assistance payments activities had an important impact on the ability of the office to operationalize the WIN II guidelines. In one state separation is still only beginning and implementation of the WIN guidelines is only partially complete.

In some of the sites which had separation, difficulties were encountered around the fragmentation of tasks relevant to WIN participants. The most important of these was the difficulty in communication about changes in financial aspects of cases. The New Jersey offices had developed the most efficient response to this problem by creating a WIN subunit within their Income Maintenance Unit.

5. Those local welfare programs which had a special WIN unit within Income Maintenance to handle WIN financial procedures operated more efficiently.

The local offices which had special WIN units within their Income Maintenance unit experienced the following benefits:

- a. errors in registration were more likely to be found and corrected before the case was forwarded to the SAU or JAT;
- b. fewer errors were made in the redetermination process; and
- c. grant reductions were processed more quickly.

6. The procedure of Joint Appraisal, where it has been implemented, has improved the cooperation between welfare offices and employment service offices.

Where Joint Appraisal Teams operated, there seemed to be a noticeable improvement in the working relationship between ES and welfare. In most other locations where there was not JAT or where implementation was only partial, many problems between the two agencies appeared to result.

Another factor which enhanced interagency cooperation was colocation. In Lowell, Massachusetts where there is no SAU or JAT, the colocation of the facilities of the two agencies encouraged and enabled cooperation. In California the programs which were studied had colocation and integration of staffs concerned with WIN which further improved the relations between welfare workers and employment staff. The problem encountered in California revolved around the fact that the welfare staff workers were county employees, were unionized, could strike, and technically could not be fired by the joint WIN unit supervisor but only by the county welfare director. The employment staff were state employees, were not unionized, could not strike, and were directly answerable to the WIN unit supervisor.

7. In some offices where there are other work programs for welfare clients, the priority and performance of WIN suffers.

In New York the impact of competing work programs was somewhat mixed, but the general indication was that the state work programs did draw staff and time

away from WIN. In addition, the requirement to register and pick up checks from the employment offices posed particular problems for WIN participants who were in training, in On-the-Job-Training, or entering a job. Finally, lengthy court litigation about the state requirements has led to confusion.

In California the competition of the "Employables Program" and the "Community Work Experience Program" (CWEP) has hampered performance in WIN. This has been noted by this Institute and various review personnel from the Manpower Administration in Region IX. Although offices are restricted from placing clients in CWEP until all WIN slots are filled, local office staff noted that this was difficult to follow in practice and was often abused. In addition, there was pressure from the state employment officials in the central office to build the program and show some performance results, which is difficult to accomplish if the law about filling WIN slots is strictly adhered to. In measures of performance concerned with the percentage of certified participants who complete job entry in WIN, the California offices do poorly when compared to all but one other location in this study.

8. The decrease in training opportunities has caused a gradual decrease in volunteers.

Only a few offices have taken steps to solicit volunteers in light of the emphasis on registration of mandatory clients. The New Jersey offices place a priority on solicitation of volunteers and have worked out a number of procedures and informational vehicles for encouraging clients to volunteer. These offices also attempt to make more training available to participants than do programs in the other locations in this study.

9. A factor which had both direct and indirect impact on the effectiveness of the WIN II program was the preoccupation of some local and state welfare agencies with the issue of "welfare fraud."

This concern with "welfare fraud" resulted in many cases in the transferring of staff from important service units of welfare agencies to eligibility

determination units and often meant that priority in the implementation of office procedures was taken from WIN II and placed on elaborate and lengthy quality control processes.

10. Local aggregate unemployment rates do not appear to reflect adequately the job market for WIN participants.

Unemployment rates appear to be only a gross measure of the labor market environment in which WIN participants are seeking placement. The problem is that one must examine the characteristics of the client population and then map that onto unemployment rates for subgroups of the population. In those places where the program has a large number of male participants, it is generally easier to place those participants than female participants. This is generally true because unemployment rates for women are much higher than for men. This would partially explain why, in addition to a competent ES staff, the program in Lowell is able to place a reasonably high percentage of participants even though the unemployment rate for the city is over 10%. In Monroe, where the unemployment rate is very low - less than 4%, the combination of favorable job market conditions and a large number of male participants makes placement much easier and less costly.

11. Problems in the provision of child care services usually centered around availability.

In areas such as Camden County, New Jersey, where there are an ample number of day care centers and family day care is only used to complement this service, provision of child care services was not a problem. Where a shortage of day care centers exists and WIN caseworkers must rely largely on family and group home services, provision and continuation of services is more difficult. In a number of locations the low rate and lengthy delays in payments to providers made it difficult for women to establish and continue child care operations in their homes. Lengthy and complicated licensing processes also tended to discourage the availability of opportunities for services.

12. Four percent of the registrants in all of the sites in this study completed job entry in fiscal year 1973. Thirteen percent of the participants in all of the programs in this study completed job entry.

13. Those programs in this study which placed highest emphasis on (a) volunteers, (b) supportive social services, (c) training, and (d) strong joint agency participation performed highest in terms of (a) the number of participants who completed job entry, (b) a combined measure of completed job entry for registrants and for participants, and (c) the percentage which completed job entry of those who entered job entry.

In the rankings of programs in terms of the three performance measures used, the New Jersey programs were significantly higher than the other programs. In Camden, 21% of the participants completed job entry, and in Middlesex the figure was 19%. This is even more impressive when it is noted that the New Jersey programs have very few male participants. Monroe and Lowell do moderately well on this measure with 17% and 16% respectively. In terms of the number of successful placements which would have been expected based on a regression equation, both Camden and Middlesex do better than would be expected. Monroe and Lowell performed about as well as expected.

Although it is impossible to factor out the significant variables which have resulted in these performance levels, it can be noted that the programs which performed best in this sample of sites were those which emphasized (a) volunteers, (b) training, (c) supportive social services, and (d) strong welfare office as well as employment service participation in the program.

The ranking of the eight sites on performance in terms of the numbers who completed job entry is the following:

Camden, New Jersey
Middlesex, New Jersey
Monroe, New York
Lowell, Massachusetts
Worcester, Massachusetts
San Joaquin, California
Nassau, New York
Stanislaus, California

14. With the exception of one location, those sites which had competing work programs and elaborate employment-related procedures tended to do poorly on performance measures of effectiveness.

The states which have given priority to competing work programs and which have elaborate employment registration procedures, California and New York, appear to have greater difficulty in maintaining participants in those placements which are found. Both California programs had significantly fewer completed placements than would be expected, given the number of certified participants in those programs. Both programs also had less than 40% of those who entered job entry actually complete job entry; the other programs in the study all had 40% or better. It should also be noted that the California programs had a significant number of male participants which means that placement should have been somewhat easier (the labor market in those locations is not structured to favor women).

One of the New York programs did moderately well in performance and the other did very poorly. Since the program which performed poorly was also over bureaucratized and this was probably a very significant factor in its low rate of success, no conclusions can really be drawn from the experience of the programs in New York except to say that the emphasis in Monroe on a competent ES operation meant that a reasonably good level of success was achieved.

15. Those programs which tended to have higher total administrative costs per participant had generally higher performance levels (if one county which did extremely poorly because of overadministration is excluded).

The New Jersey programs, which spent most per participant, performed best. Monroe, Lowell, and Worcester, in that order, had their rank on spending correspond to their rank in performance. The California programs were not included in this assessment because there was insufficient information on the total combined costs of those programs. Nassau was excluded because it was considered to be a special case where internal administrative factors resulted in this program having the highest cost and worst performance of all the sites (excluding those in California).

16. In the one program which was most costly and bureaucratically elaborate, there appear to be diseconomies of scale since this program performed poorly in terms of nearly all measures of effectiveness.

This program had the largest welfare staff and most highly developed structure of supervision as well as the largest Separate Administrative Unit. However, the performance of this office was very poor in terms of all measures of effectiveness and its costs per placement amounted to 117% more expensive than the next most costly program. Although this program is most costly in terms of its employment service expenses, the major portion of this excessively high cost is the welfare department contribution.

17. In terms of the total administrative cost per completed job entry, no definite indications emerge from the ranking of the programs as to the factors in their operations which affect the level of costs.

The ranking of the programs in terms of the total cost per completed job entry is the following:

Monroe, New York
Lowell, Massachusetts
Camden, New Jersey
Middlesex, New Jersey
Worcester, Massachusetts
Nassau, New York

There is some reason to believe that an inverse relationship exists between the number of male participants and the cost of placement. Both Monroe and Lowell have a significant number of male WIN participants. Although Camden and Middlesex have only a small number of males, Camden does have twice as many men in the program as Middlesex. The Worcester and Nassau programs tended to be least effective of these six programs which may be part of the reason why they have both large numbers of males and high costs per completed placement. It should also be noted that Monroe had not only the lowest unemployment rate but also the most rapidly declining rate of any of the locations in this study - this means that a large number of jobs were being opened or reopened during this year, which might dampen the cost per placement.

18. The administrative cost of the program per completed job entry ranged from \$1922 per successful placement to \$5290 per successful placement. If the excessively high figure for one county is excluded from the calculation, the average administrative cost per completed placement is \$2142.

The administrative cost per completed placement tended to run \$2142 on the average for most programs. This does not include the California programs for which there was not sufficient data, and it also excludes Nassau County, New York because its costs were so excessive that the average would have shifted significantly in an upward direction.

19. Clients tended to view the WIN program positively as a means of attaining greater financial and psychological self-sufficiency.

A majority of the sample of clients who were surveyed felt that the WIN program had helped them in some way - 81%. Forty-eight percent indicated that they had been helped psychologically by the program in sense that they had increased self-confidence and better self-images. Forty-five percent felt that WIN would put them on the path toward a decent job.

20. The clients who responded to the survey did not feel that the mandatory requirements of the program were fair and thought they should be discontinued.

21. Twenty-one percent of the clients surveyed had been referred to a job by WIN.

C. RECOMMENDATIONS

1. Consideration should be given to eliminating mandatory registration or changing to a form of mandatory evaluation.

As the program now has many more registrants than can possibly be placed as participants, a more efficient procedure might involve a more thorough evaluation of all recipients according to their potential employability; then only those who are likely to be made participants would be included in the program. Such a procedure would reduce the staff time and effort now going into registering many recipients who are not likely candidates for the program and would lessen the hardship which many now experience.

2. The registrants pool should be differentiated.

As recommended in the report from the first study, the registrants pool should be differentiated by sub-categories to indicate the different classes of registrants included in the total for the pool - those newly registered in the program, those who have completed the program and are working but remain in the pool since they are receiving some form of supplementation, and those who have been appraised but not deemed suitable for participation.

3. WIN/ES and SAU units should be co-located.

Wherever possible WIN/ES and SAU offices should be located in the same place or as close to one another as possible. Reduction of physical distance between the two both improves communication and lessens client hardship.

4. Separate WIN Income Maintenance Units should be implemented as counterparts to the SAU's.

Specialization of WIN II functions within welfare which are now mandated for the service division of local agencies in the form of the SAU need a counterpart in the income maintenance division. Such a unit would reduce fragmentation of WIN II tasks and improve communication regarding WIN II within the welfare agency.

5. Paper screening and pre-appraisal should be implemented to improve the joint appraisal process.

The SAU should, to the extent that staff are available in addition to those needed for providing supportive services, screen new registrants prior to the formal appraisal process, either through paper screening of the WIN registration documents or through interviews. This simplifies the appraisal process by allowing more time for the SAU and WIN/ES to concentrate on registrants who are more likely to be participants and lessens client hardship.

6. More flexibility and resources should be given to local programs to develop training components.

Training components tend to attract more volunteers and can lead to higher quality placements and more completed job entries. Staff in a number of programs mentioned that restrictions on training hampered their efforts to enhance

the employability of participants. In many cases the pendulum has swung to the other extreme from the overavailability of training under WIN I. A balance between training and placement is needed, with flexibility for some longer term training in exceptional cases.

7. Elaborate employment oriented procedures (such as check pick-up and regular job search reporting at the ES) should be discouraged in order to permit a concentration of time and resources on the task of placing the most employable participants and assisting them to remain in the jobs that are found.

8. All employment related services for WIN registrants should be funded on a 90-10 basis.

A number of WIN staff and state officials noted that efforts to place registrants in jobs even before they are active participants in WIN are hampered by the restricted interpretation of the activities and clients for which WIN funds may be used. Since the registrant pools are considerably larger than the number of persons who are participants, the largest group of people involved with the program are not being served by it at this time.

9. Consideration should be given to changing the restriction on the applicability of disregards for AFDC-U fathers.

It has been suggested by a number of respondents in this study that many participants who enter job entry but do not complete the 90 day follow-up period are men. Since the purpose of the disregard provisions is to encourage welfare recipients who are working to continue to work, consideration should be given to extending these provisions to AFDC-U fathers in the way it now applies to mothers.

10. Local WIN staff should see some positive results from the effort they put into statistical reporting procedures.

This would take the form of feedback on the statistical analysis done by the state, and technical assistance to strengthen the local programs. Statistical reporting requirements are seen by the local offices as having the goal of proving that they are succeeding in the program, rather than as part of an ongoing process of mutual state/local development of a meaningful program.

CHAPTER III

PROGRAM OPERATIONS

WELFARE OFFICES

A. REGISTRATION

1. Introduction

The Manual for Implementation and Operation of the Work Incentive Program defines procedures for registration of AFDC recipients in the WIN Program. These revised procedures are intended to eliminate considerable variability among states (and, in fact, among local offices) with regard to the registration process in general and, specifically, with the categories of recipients designated appropriate WIN registrants. States are no longer permitted to determine which recipients, within the broad class of legislatively non-exempt persons, must register for the WIN program. The 1971 Amendments to the Social Security Act require that all designated non-exempt persons must register for manpower services, training and employment as a condition of eligibility for AFDC assistance. By making registration a prerequisite of eligibility, the legislation mandates uniformity in the registration process and in the categories of recipients registered.

Every applicant, as a condition for AFDC aid, must register for manpower services, training and employment unless such applicant is:

- a. A child who is under age 16 or attending school full time;
- b. A person who is ill, incapacitated or of advanced age;
- c. A person who is so remote from a Work Incentive project that his effective participation is precluded;
- d. A person whose presence in the home is required because of illness or incapacity of another member of the household;
- e. A mother or other relative of a child under age 6 who is caring for the child;

- f. The mother or other female caretaker of a child, if the father or other adult male relative is in the home and not excluded by clause (a), (b), (c), or (d), unless he has failed to register as required or has refused, without good cause, to participate in a Work Incentive Program or to accept employment.

Income Maintenance (I.M.) staff, acting as agents of the Department of Labor, are responsible for the registration process. A Cost Reimbursement contract between the Department of Labor Regional Manpower Administrator and the State Welfare Agency covers the costs of registration, medical examinations (required to validate claims of illness of incapacity), and Fair Hearings of refusals to register.

The registration process is essentially as follows:

- 1) The Income Maintenance staff determines whether a new applicant for AFDC assistance must register for WIN. If the applicant is a mandatory registrant, the staff worker completes a registration form.
- 2) If the applicant claims exempted status, he must provide confirmation of his claim (or medical verification in the case of claimed illness or incapacity).
- 3) If an applicant refuses to register, he must be informed of the consequences to his application for assistance, and of the procedure for a Fair Hearing.
- 4) Registration is completed when the applicant signs the form. Copies of the form are then transmitted to the WIN manpower agency and to the Separate Administrative Unit (SAU) in the welfare office.

2. Implementation for Current Caseload

The federal guidelines for the implementation of WIN II required that local welfare offices evaluate their entire caseloads, and that all cases in mandatory categories be registered by January, 1973. This review and registration process was the responsibility of Income Maintenance units in New York and New Jersey. Massachusetts offices were unable to complete the process until April, 1973, despite the efforts of all available case workers. In an attempt

to meet the deadline, local welfare office staff with insufficient training hastily evaluated thousands of cases.

It is important to note that Separation of Services has not been completely implemented in Massachusetts. Lowell's Separation of Services is more a management plan than a deliniation of tasks and responsibilities. An Intake Worker assigns cases which are in need of services to AFDC (Social Service), and those which are not to Assistance Payments (Income Maintenance). There is a shortage of workers to handle the present caseload, and workers are reluctant to accept cases which may be transferred because of a change in service needs. Thus, service workers perform financial functions and assistance payment workers perform service functions.

Worcester has no Separation of Services. AFDC caseworkers perform financial and service functions for all of their cases. It is anticipated that separation will be implemented in October, 1973.

3. New AFDC Clients: Application and Registration Process

A major change in the application process has occurred within the last six months in the New York and Camden, New Jersey offices. Formerly a relatively brief application form was completed, and the information given was assumed to be accurate. Identification of errors or fraudulent claims occurred later in the process when Income Maintenance workers reviewed the case during validation or redetermination. Currently, the burden of proof is on the client. In New York, the application has been expanded to an eleven page form requiring very specific, detailed documentation. Eligibility workers rotate as "checkers" to ensure that the documentation is proper and complete. This must be done before a client is interviewed by a regular eligibility worker. New clients on AFDC must be recertified within 90 days of the initial application for assistance. At the time of recertification, the client must again fill out the application

form and provide the required documentation. This recertification process is repeated every six months for all AFDC clients.

Similarly, the Camden, New Jersey office has changed to the presumptive method of eligibility determination. Under this new system, the information given by a client is assumed true for one assistance payment. In order to continue to receive assistance, the client must document all information with birth certificates, marriage certificates, rent receipts, etc. Coupled with this procedural change was the creation of a new unit within the office. Workers from various parts of the agency were brought together as a "Task Force", responsible for visiting the homes of new applicants on the day they apply for assistance, to verify the address that was given.

The New York and Camden, New Jersey offices have established units which perform a quality control function for the agency. All casefolders pass through the unit and, on a random sample basis, are monitored for informational and budget errors.

These procedural changes and the policy changes which they reflect, represent New York and Camden, New Jersey's effort to curtail fraud.

Registration and WIN status determination of new AFDC recipients occurs at the time of application in New York, New Jersey and Lowell, Mass. After the application form is completed, the worker briefly describes the WIN program to those applicants who are in mandatory categories. The program is also described to potential volunteers if they either express an interest in training and job placement, or appear to the worker to be a very good candidate.

A WIN registration form is then completed for both mandatory and voluntary referrals. A WIN case review form is also completed for all AFDC applicants. This form provides the agency with a record of the reasons for WIN exemptions.

Camden, New Jersey has a local training/employment program, the Employment Training Service (E.T.S.) in addition to WIN. The worker at intake classifies all AFDC and AFWP clients as WIN or ETS participants. Workers have a checklist to assist them in making this determination. The worker also fills out a short referral form developed by the agency which is sent to either ETS or the special WIN unit in Income Maintenance.

Application and registration procedures are handled somewhat differently in Worcester, Mass. The intake workers that are "on duty" in the office fill out client applications for assistance. These forms are forwarded to the intake supervisor who assigns each case to a worker in the unit. The worker makes a home visit, and if the client is in a mandatory category the program is briefly explained and he is registered at that time. Clients cannot volunteer to participate in WIN II until their case moves to the AFDC unit. Cases usually remain in intake for a period of one to three months.

4. AFDC Clients: Redeterminations

In the New York and New Jersey offices, Income Maintenance units review each AFDC case every six months. If any change is found which would place the client in a mandatory category, the client is informed of the status change and requested to report to the IM worker for registration. At the time of the client's interview with the IM worker, the WIN II program is briefly explained, and the WIN case review and registration forms are completed.

In the Massachusetts offices, caseworkers visit each of their clients at least every three months. If there have been any changes in the case which make the client a mandatory WIN referral, or if the client expresses interest in the program, the worker registers the client.

5. Medical Exemptions

The medical exemption procedure is handled in approximately the same manner in New York, New Jersey and Massachusetts. Clients in mandatory categories who request an exemption from WIN II for medical reasons are informed that a medical examination is necessary to validate their claim. A WIN case review document is completed and sent to the client's doctor. When a confirming form is returned to the worker, the client is declared exempt. If a client is disabled for more than 90 days, he is referred to a vocational rehabilitation agency. Should the doctor's examination not confirm the client's claim of incapacitation, WIN registration is immediately completed.

The only significant variation in the medical exemption procedure is that in New York, all AFDC clients in mandatory categories are required to register. If a medical exemption is claimed, it must be validated after registration. Nassau County, New York has recently defined this procedure further by requiring that confirming medical forms be returned within ten days. If this does not occur, a control clerk instructs the Income Maintenance unit to close the case.

In New Jersey, all clients who are medically exempted from WIN are referred to the Division of Vocational Rehabilitation (D.V.R.). However, client participation in the Agency's programs is voluntary. Many of the people referred to DVR are either not motivated or too ill to participate in the Agency's employment directed programs. A worker in the Camden, New Jersey office of DVR estimated that only 2% of the clients referred by the Income Maintenance unit participate, in contrast to 100% participation by clients referred from the Separate Administrative Unit (SAU).

6. Movement of Completed Forms

After the application, case review, registration and medical exemption forms are completed, they are sent to the Income Maintenance unit. Copies of

all of these forms are kept in the clients folder at IM. WIN registrations are logged, and the forms are forwarded to the Separate Administrative unit and to Employment Service (E.S.).

The process varies somewhat in Massachusetts due to the status of Separation of Services in those offices. In Lowell, the intake worker forwards all completed forms to either the Assistance Payment or the AFDC unit, depending upon the immediate service needs of the case (most WIN clients are sent to AFDC). Copies of the WIN registration form are sent to the WIN coordinator and to Employment Service. In Worcester, the intake worker sends all completed forms to the AFDC unit. WIN registration forms are also sent to the Head Social Work Supervisor.

7. Conclusion

Federal guidelines on registration were followed fairly closely by the local welfare offices studied. Workers vigorously identified and registered clients who fell into mandatory categories. However, they did not devote much time to generating interest in, or explaining the program to non-mandatory clients. Most workers indicated that they felt unable to do so because of time constraints and/or inadequate knowledge of WIN II. In any case, volunteers were not a focus of concern.

Refusal to register by mandatory clients was very rare in all six counties. Although many clients expressed an initial reluctance, when the program's positive aspects were explained (training incentives, child care allowances, etc.), clients registered willingly.

B. FINANCIAL

1. Introduction

The previous section outlined the responsibilities of the Income Maintenance staff (I.M.) for registration of appropriate AFDC recipients in the WIN program. The Income Maintenance staff is also responsible for provision of assistance payments to WIN participants, and for adjusting these payments in accordance with the activities of WIN participants upon notification from the WIN manpower agency.

The assistance payment process for WIN clients is not significantly different from non-WIN cases. The Income Maintenance unit has a folder on each case which includes the client's application, case review document, and copies of the WIN registration form and medical examination form. Unit staff record any WIN status changes and make appropriate adjustments in the client's budget. The required six month redetermination of each case, and any resulting registration of mandatory clients, is also the responsibility of this unit.

Should a client in a mandatory category refuse to register, or after registering fail to cooperate (i.e. fail to appear for their Joint Appraisal Team interview), Income Maintenance is responsible for instituting the grant termination process. In New York, the IM unit has the additional function of child care budget computation for WIN cases.

2. Implementation

In Monroe County, New York, and Middlesex County, New Jersey, all IM workers handle both WIN and non WIN cases. Nassau County, New York has workers within IM who monitor the financial procedures of WIN cases. They send status changes received from the Separate Administrative Unit (SAU) and Employment Service (ES) to the appropriate IM worker (the agency caseload is divided alpha-

betically among workers), and make sure that the necessary budget changes are made. These workers thus maintain on-going communications between IM and other units within the Welfare Department, and between Welfare and Employment Service.

Camden County, New Jersey also has special WIN workers within IM. However, the scope of their responsibility is broader than that of the Nassau County workers. This IM sub-division, called the Talmadge Unit, handles all of the financial procedures of WIN II cases except budget computation and adjustments. The unit reviews budgets, calls in redeterminations, and registers mandatory and voluntary clients. It is responsible for completing WIN case review documents, and registration, medical exemption and vocational rehabilitation referral forms. It receives copies of client budgets, and is responsible for sending them to the state welfare department.

WIN referrals made by intake or other service workers within the agency are also sent to the Talmadge Unit. Any clients who have not been registered previously are registered by the Unit, and the referral is forwarded to the SAU. Since every referral to the SAU is registered, cases can be processed efficiently for Joint Appraisal Team interviews.

Budget computation for WIN cases is still a function of the regular IM unit. However, both the local and state agencies anticipate that as the Talmadge Unit develops (it was established in June, 1973) it will take over budget computation as well. This has occurred successfully in other New Jersey counties.

Financial procedures for WIN clients in Worcester and Lowell, Mass. are handled by the assigned caseworker. In Worcester, the AFDC caseworker is

responsible for budget computation and adjustments, as well as for provision of social services and follow-up work. Whether all of these tasks are performed by an Assistance Payment (AP) or AFDC worker depends on the unit to which the case was originally assigned.

3. Conclusion

The assistance payment process for WIN and non-WIN clients was substantially the same. However, sites which had a special WIN unit within IM to handle WIN financial procedures experienced significant benefits:

- 1.) Errors in registration were likely to be found and corrected before the case was forwarded to the SAU or JAT;
- 2.) Fewer errors were made in the redetermination process; and
- 3.) Grant reductions were processed more quickly.

The entire program operated more efficiently, as was repeatedly reported by state and local personnel.

C. THE SEPARATE ADMINISTRATIVE UNIT

1. Introduction

Every local welfare office which falls within a WIN project area is required to establish a Separate Administrative Unit (SAU), as the "focal point of responsibility for the agency's responsibilities in the WIN program..." The specific composition and size can vary from agency to agency, but if possible, each local SAU must include full time staff whose activities are solely related to the WIN program.

Responsibilities of the SAU include:

- Development of the local operational plan (the local component of the statewide operation plan);
- Participation in WIN appraisals;
- Development of employability plans;
- Participation in determination of needed supportive services;

- Provision of authorized supportive services; and
- Certification to the manpower agency that such services have been provided.

In addition, the SAU is responsible for determination of need for and provision of social services other than those authorized by the employment service staff at the time of the appraisal interview; development of service resources; provision of counseling functions (including the sixty day counseling period); and execution of various WIN administrative functions including fiscal and statistical reporting, record keeping, budget estimates, and so on. The SAU, then, is responsible for an entire range of functions, extending from resource planning and development to client appraisal and service determination and provision.

The local representative of the Department of Labor is responsible for the final decision on who to enroll in WIN. However, the SAU participates extensively in the client appraisal process, in conjunction with employment service staff. (E.S.) At the Joint Appraisal Team Interview (JAT), the SAU worker is responsible together with the employment service worker (s) for determining what impediments to client Certification exist that can be corrected. Services required to correct any such conditions are identified as part of a "WIN Supportive Service Certification Form", which is developed and completed by JAT staff. An employability plan is also developed at this time, with participation from both ES and SAU staff.

After necessary supportive services have been identified by the Joint Appraisal Team, SAU staff is responsible for the arrangement and provision of these authorized services. Following satisfactory provision of services, the SAU notifies the manpower agency that the client is certified as ready to begin manpower services.

The Separate Administrative Unit is responsible for provision of services to the client throughout the client's participation in WIN. As long as an enrollee remains in WIN, the cost of services provided in accordance with the plan approved by the manpower agency will be matched at a 90% federal participation rate. In addition, the SAU is responsible for provision of additional services (services other than those authorized as necessary for WIN participation by the manpower agency) to WIN clients as part of an on-going case responsibility. "Unauthorized" services are matched at a rate of 75% federal participation rate.

Since the primary role of the Separate Administrative Unit is one of service provision, the SAU supports the WIN program by arranging and providing services necessary for Certification, by participating in the joint appraisal of clients and identification of problem areas, by developing needed service resources, and by participating in on-going service care as it is required during program participation and during the 90 day period following placement.

Specific service areas may take on special importance for SAU staff. The development and maintenance of child care arrangements is particularly crucial. Many WIN participants require child care services, and since this area has traditionally been problematic with regard to both quality and quantity of services, SAU staff usually devote a significant percentage of their time to child care arrangements.

2. Implementation

At the New York sites, the role of the Separate Unit is as follows: The Income Maintenance Unit sends a client's completed registration forms to the SAU and the Employment Service (E.S.) The client is then scheduled for an appraisal interview by E.S. If it is determined during the appraisal interview that the client will need the provision of some social services (e.g. child care, family counseling) in order to prepare them for employment or training,

the E.S. worker requests the SAU to secure the designated services. Thus, the SAU in Monroe and Nassau Counties have client contact only with specifically designated WIN participants; clients who attended the appraisal interview and have been determined to be in need of WIN services. In Monroe County, the population that is served by the SAU is refined still further. When a request for services for a WIN client is sent from E.S., the case is channeled through Master Control (a central administrative unit) to determine if it is already active in any service unit within the welfare department. If the case is active in another unit, it is sent to that unit for additional services, rather than to the SAU.

When the SAU receives a request for services, a caseworker evaluates the case in a home visit, makes the appropriate service arrangements, and records the client as ready to participate in WIN. The SAU in Nassau County, New York reports that E.S. allows the SAU caseworker approximately one month in which to make appropriate service provisions. The time period may be extended, if necessary, for an additional month; and if the services have not been provided within the allotted time, the case is returned to the registrants pool. Problems with child care services are referred to a special day care worker within the SAU, who attempts to develop the appropriate services. When arrangements have been made, E.S. is notified and the case is reactivated. If a client cannot be provided with the appropriate services, a determination is made by the SAU to exempt the client from the program. The SAU notifies the E.S. and I.M. and the client is given an exempt status.

In Monroe County, cases are closed after necessary services (other than child care) are provided. The case remains on file in the SAU and is updated with all status changes as long as the client is a WIN participant. If child care service is provided, the case remains active with the SAU for 90 days following employment placement. In Nassau County, the SAU keeps the case open as a service

case as long as the client is a WIN participant. In both offices, all cases remain on file in the SAU for the client's first 90 days of employment.

If a client requires supplemental financial assistance after this 90 day period, the case is sent to a regular service unit and the client is placed back in the registrants' pool. Services for such clients are no longer funded at the 90-10 level, but revert to the 75-25 level.

Communication between the SAU and state welfare department staff appears to be fairly limited. There are no regular meetings. Contact is usually made as a response to a specific problem. Directives are generally sent to local offices by the State Welfare Commissioner, not by the state WIN staff.

In New Jersey, the Income Maintenance unit sends the client's completed registration form to the Separate Administrative Unit. An informal paperscreening of cases is conducted by the SAU. Cases which are poor candidates for WIN are identified, and appropriate referrals are made (i.e. clients whose employment potential could be significantly expanded through a physical rehabilitation program would be referred to the vocational rehabilitation agency).

In Camden County, the paperscreening process uses additional data on clients provided through their WIN referral system. Prior to implementation of WIN II, WIN I and the local Employment Training Service (ETS) programs functioned as one unit. The unit worked only with volunteers, and the screening of participants was done jointly. After WIN II was implemented, the programs were separated and all clients who volunteered for a work/training program were referred to ETS, while WIN received only the mandatory referrals. The new referral system was devised by the agency in response to this separation. Intake and service workers now have a checklist to help them determine the most appropriate program for a client.

Following paperscreening, the SAU worker assigned to the case makes a home visit, and thoroughly acquaints the client with the WIN II program. Barriers

to employment and social service needs are identified during this pre-appraisal interview. The visit gives the caseworker a more comprehensive picture of the client, and of situations within the household that may cause serious service problems or constitute grounds for de-registration. These visits also help the SAU to identify voluntary mandatories. Based on these interviews, final recommendations to the Joint Appraisal Team (JAT) are made. JAT interviews are arranged by the SAU. Most clients who have had pre-appraisal interviews are called in, and most of those who are interviewed by the JAT become WIN participants.

SAU participation on the JAT rotates among the caseworkers. SAU workers spend the week prior to JAT service reviewing the cases that are scheduled to appear. This enables the caseworker to identify for the team any special conditions or problems that may effect the clients participation in WIN.

The service needs of the client are finalized at the JAT, and a request for certification is sent to the SAU. The SAU worker makes a certification visit to the client, and explains all services available to him. The worker then assists the client in obtaining services. If child care services are needed, the SAU worker forwards the case to the Bureau of Children's Services (BCS), which is part of the New Jersey Division of Youth and Family Services. The BCS notifies the SAU when the indicated services have been secured. The WIN Coordinator then certifies the enrollee as ready for active WIN participation.

The SAU has little client contact following certification. It receives very little feedback from E.S. other than notification of status changes.

There is substantial contact between the county WIN Coordinator and the state WIN Coordinator's offices: 1) Monthly interagency meetings are conducted on the local level for all participants in the program. A state representative reviews any procedural changes or problems, and provides local staff with a statistical picture of various program indicators, i.e. registrations, certifications, participations, placements and reasons for terminations. 2) Statewide

quarterly meetings are held for all WIN Coordinators to provide a forum for exchange of their experiences and problems, and as a mechanism for directing questions and problems to state officials. 3) Training sessions on WIN II have been sponsored by the state. (Local Coordinators frequently described the state staff as being very cooperative and helpful.) 4) The State WIN Working Group (a body organized during WIN I) prepares Joint Operations Bulletins to assist the local staffs in policy and procedural matters. This group (which meets once a month) includes representatives from Welfare, DYFS, ES, Education (continuing and vocational), Vocational Rehabilitation, and the Bureau of Budget.

Massachusetts welfare offices do not have Separate Administrative Units. Apparently, the state legislature has not appropriated enough funds to the State Department of Public Welfare to implement this component of the WIN II program.

The head Social Work Supervisors in Lowell and Worcester function as the WIN Coordinators. It is their responsibility to inform the AFDC supervisors and workers of any changes in regulations or procedures, to maintain a log of all new WIN registrants, to send registration forms to ES, to prepare the monthly WIN reports that are submitted to the state, and to occasionally perform an informal liaison role with ES. There is no Joint Appraisal Team at either site in Massachusetts.

The ES is responsible for identifying supportive services. Many clients have made their own service arrangements or have already received assistance from their caseworker in securing services by the time ES sends a request for Certification. In Lowell, communication between ES and Welfare has been facilitated by having the two offices colocated; and in Worcester, an AFDC caseworker has volunteered to spend one half day per week at the ES office answering client questions.

D. CHILD CARE

Child care is usually the primary service need of enrollees. Various types of services are provided, (i.e. group day care, family day care, in-home care, or day care centers) depending on client preference and the availability of the services within the community. Service providers submit monthly bills to the appropriate local agency, i.e. the welfare department or DYFS. A voucher is prepared by the local agency and is sent to the state office for payment.

Massachusetts has recently instituted a new central payment system for child care providers. The Lowell office indicated that this new method of payment has caused serious problems. The period between billing and the provider's receipt of payment is at least 45 days. Since many providers are low-income and/or WIN participants themselves, this lengthy delay is a significant disincentive to participation for both providers and WIN enrollees.

In New York, the SAU caseworker is required to visit the site of the family day care once a month through the parent's first 90 days of employment. The worker evaluates the quality of the care and assists the provider in completing the billing forms. Monthly visits are also made to the child's home during this period so that the SAU caseworker and the parent can discuss any problems that may have arisen.

In New Jersey, a special WIN unit in the Division of Youth and Family Services (DYFS) office is responsible for providing child care services. Caseworkers from DYFS participate in every Joint Appraisal Team (JAT) interview on a rotating basis. When a request for certification is received by DYFS, a home visit is made to obtain information on the children, existing problems, and the type of day care that is appropriate and/or desired by the mother. If the worker determines any situation in the home that makes participation in WIN unreasonable or impossible at that time, the case is sent back to the SAU and placed in the registrants pool. Often such cases can be identified at the JAT interview, and the DYFS worker will

discourage acceptance of clients for whom they foresee great difficulty in providing services.

DYFS workers visit the child care site and the client's home on a regular basis. The DYFS considers general family counseling as part of their casework role, and maintains on-going contact with the client. The case remains active in DYFS through at least the client's first 90 days of employment.

Problems in provision of child care services were usually ones of availability. In areas such as Camden County, New Jersey, where there are an ample number of day care centers and family care is only used to complement this service, provision of child care services was not a problem. Where a shortage of day care centers exists and WIN workers must heavily depend upon family and group home services, provision and continuation of services is more difficult. In Middlesex County, New Jersey, for example, the low rate and lengthy delay in payments to providers made it difficult for women to establish and continue such operations in their homes. Licensing such homes is a very time-consuming process, (as was emphasized in Camden, Lowell, and Nassau) which creates further delays in the certification process.

E. REGISTRANT NON-COOPERATION

Separate Administrative Unit (SAU) workers indicated that most instances of registrant "non-cooperation" (i.e. non-attendance of appraisal interview) were satisfactorily explained by the client. These cases were usually placed back in the pool in anticipation that the problem could be corrected by the time of the 90 day reappraisal. There has been little necessity for the 60 day counseling or the fair hearing procedures. (Less than five hearings had been held in the six sites visited.) Significantly, all sites indicated that the SAU has had no difficulty in identifying a sufficient number of interested, motivated clients.

F. CONCLUSION

It was found that program priorities and guidelines were closely followed in all sites. Any major variations (e.g. sending non-cooperatives to the regis-

trants' pool, paperscreening, pre-appraisal interviews) represented local efforts to improve program quality and efficiency.

Generally, the SAUs had very little difficulty providing clients with the necessary services. Since the emphasis of the program is on the identification and participation of volunteers, (i.e. clients who are interested and motivated with respect to a work/training program) most requests for Certification did not involve a wide range of services. At the time of the JAT interview, many clients had made their own service arrangements. Clients who needed a great many services before being job-ready (i.e. who needed extensive psychological counseling, lived in fairly distant or remote areas, or had sick or handicapped persons living at home with constant care or observation) generally did not become WIN participants.

The decrease in training opportunities has caused a gradual decrease in volunteers in several offices. The Camden office solicits volunteers by sending letters to the AFDC caseload explaining the program. Middlesex County has a bilingual monthly newsletter for welfare recipients in which the SAU describes the availability of special training opportunities. (e.g. practical nursing training course, secretarial training at a Katherine Gibbs school) Both offices have found these methods of volunteer solicitation to be most successful.

SAU workers repeatedly indicated that they have virtually no contact with clients after they are certified. They receive minimal feedback from ES, other than status change notification. In many cases, social service counseling is done by ES employment counselors, rather than SAU caseworkers.

It was found that the effective involvement of the welfare department in the WIN II program was severely limited where there was no SAU. The very positive contribution which these social service specialists can make to the program and to the AFDC recipient is also affected by the design and extent of separation of services in the particular office.

CHAPTER IV

PROGRAM OPERATIONS

EMPLOYMENT SERVICE

A. JOINT APPRAISAL TEAM

The guidelines for WIN II implementation place strong emphasis on the concept of program "jointness", both on structural levels of organization (national, regional, State, and local) and on functional levels of operation (planning, decision-making, service provision). The Joint Appraisal Team (JAT) most clearly embodies this concept.

The Joint Appraisal Team consists of full-time service staff from the Separate Administrative Unit and from the manpower agency, who work in a common location. The team appraises eligible registrants for suitability for manpower services and employment every 90 days (except for persons who have been determined as unable to benefit from appraisal and those persons who are active participants in WIN). The appraisal process generally consists of an interview with the registrant, conducted jointly by SAU staff and manpower agency staff.

The manpower agency determines which registrants to "call -up" for appraisal interviews. Registrants are selected in accordance with priorities established in the legislation:

- a. unemployed fathers;
- b. volunteer mothers, whether or not they are required to register;
- c. other mothers and pregnant women under age 19;
- d. dependent children and relatives over age 16 who are not in school or engaged in work or manpower training; and
- e. all other individuals registered

At the appraisal interview, the client's employment potential is evaluated. This evaluation includes a consideration of the applicant's personal ability to participate in work and/or training programs, as well as a consideration of local labor market conditions. Team members then determine together whether the registrant is an appropriate WIN participant. If the determination is negative, the recipient is returned to the pool of registrants and is subject to 90 day reappraisal. If a positive determination is made, the client's need for supportive and manpower services is assessed and the case is assigned to one of four WIN components. The components include: 1) "job-ready" (no services required); 2) "job-ready" but need supportive services; 3) need manpower training and employment services before being ready for employment, but do not need supportive services; and 4) need manpower services and supportive services.

At the time of the appraisal interview, an employability plan is developed by the JAT. As part of the employability plan, needed supportive services are determined. Services identified as necessary for recipient participation in WIN are approved by the employment service staff and a request for certification (removal of barriers) forwarded to the Separate Administrative Unit.

1. Implementation

- a. New York

In New York, the requirement for "Joint Appraisal" was interpreted differently at the two sites studied. In Monroe County, one welfare worker is stationed full-time at the employment service office, in what appears to be more a consultive than a participatory relationship. In Nassau County, a full Joint Appraisal Team has been established. The Team consists of nine welfare staff members stationed full-time at the State Employment Service (SES) office, and approximately four permanent SES staff members. Both sites, in fact, have complied with guideline requirements, which only state that one full-time member

from the SAU be stationed "in a common location with employment service staff" and function in the capacity of a joint appraisal worker. The guidelines do not require the establishment of a "full-fledged" team of workers or, even, of multiple representation from the SAU. The difference in approach and intention, as well as in actual functioning of these two cases of joint appraisal would seem to be the crucial variable in guideline compliance.

In Monroe County, the JAT is a team in name only. In fact, the term Joint Appraisal Team was unfamiliar to most SAU caseworkers, including the caseworker who was stationed at the employment service office. This worker was a recent appointee, and had been assigned to the ES office for only a short time. However, it appeared that his main function would be to "sign off" on manpower requests for certification. The SAU representative was also consulted regarding specific problems and questions which arose.

The welfare worker perceived his role as a liaison between the DPW and DES, to resolve problems arising between the agencies and to provide a "welfare" orientation to the appraisal process.

In Monroe County, the appraisal interview is conducted on a sequential rather than joint basis. The interview is actually a function of the manpower agency and does not directly involve the SAU worker. The client is interviewed by a worker from the employment service. An employability plan is developed and is later reviewed with the SAU worker for suggestions, service in-put, etc. The employability plan is completed and a request for service provision is forwarded to the Separate Administrative Unit at the welfare department. There appear to have been very few problems and/or disagreements concerning service determinations between the two agencies and over-all communication and cooperation appeared to be good.

In Nassau County a significantly different situation existed. The Joint Appraisal Team is structurally complete (6 caseworkers, 1 supervisor, 2

clerks from the welfare department and 4 SES staff members), and the requirement for "jointness" appeared to be meeting with success.

The appraisal interview in Nassau County consists of a client and two workers (one from the SAU and one from Employment Service). The worker from the welfare department explains the WIN program to the client and checks the registration form for complete and accurate information. The worker then investigates the client's background, health, interests, problems, family situation, and so on and completes a short profile on the client. The employment service worker then informs the client of various training and employment possibilities available and also questions the client about employment goals, interests, experiences, and capabilities. The ES worker begins to develop the employability plan at this point.

Supportive services needed for WIN participation are determined at the time of the appraisal interview by both the ES and SAU workers. Again there appears to have been general agreement regarding service determination and few problems have arisen from agency differences in service orientation or authorization. Communication and cooperation between the Employment Service and the welfare department seems to be very good as evidenced, in part, by the smooth functioning and effectiveness of the Joint Appraisal Team.

b. New Jersey

The two New Jersey sites handled the appraisal process in essentially the same manner. Neither site has a standing Joint Appraisal Team. However, there is equal numerical representation from each agency at the joint appraisal interview. The two counties differ in the number of people involved and the regularity of joint appraisal assignments.

The absence of a standing, colocated Joint Appraisal Team in New Jersey has not impeded the functioning of a joint appraisal process. The JAT's in New Jersey function only during the time of the actual interviews. They have

no responsibility for united action outside of this time period. Arrangements for JAT meetings are handled by the SAU caseworkers. The SAU does the paper-screening (sometimes in conjunction with ES), and conducts pre-JAT visits to inform clients of WIN and to look for "barriers to employment" (i.e. regarding social service problems). The SAU workers also schedule the appraisal interviews and notify the clients via two letters, one of which is technically from ES. As a result of this preparation, the JAT interview can deal quickly with service needs and initial employability plan development, as well as assignment to the appropriate entering status if certification can be arranged (orientation, training, job placement). This departure from the guidelines in the call-up procedure seems to work very well; the personal contact improves the "no-show" rate, and the ES staff at the JAT meeting can consider the question of employability from a labor market point of view, since the clients have already been screened for personal and service problems by the SAU caseworkers.

In Middlesex County, a JAT meeting is held every Friday morning at the ES office, at which time twelve to fifteen interviews are scheduled. At each JAT meeting there is one caseworker from the SAU (assigned on a rotating basis), a job developer and a counselor from the ES WIN team, a caseworker from the Division of Youth and Family Services (also assigned on a rotating basis and responsible for child care arrangements), a counselor from the Expansion Project at the Division of Vocational Rehabilitation which deals with welfare referrals, and a counselor from the Learning Center. Thus, as many of the involved agencies as possible contribute to both the informational and evaluative functions of the JAT interview. This is the first time that ES has any contact with the client; however, from this point on ES directs the program. Certification is requested for most of the clients interviewed.

In Camden County there are, in effect, four JAT's. Each ES counselor meets with a specific SAU caseworker (they have the same caseload and do the

appraisal for those cases), and a representative from DYFS twice every two weeks. Again, the meetings are held at the ES office, and the arrangements and pre-JAT visits have already been made by the SAU caseworker concerned. The procedure of the interviews is basically the same as in Middlesex.

In both sites, the JAT's demonstrated a high level of effective cooperation. The background work accomplished before the interviews appears to have been particularly important to the success and smooth functioning of the JAT. Minor conflicts among agency representatives have occurred, but the strong impression was that inter-agency cooperation in appraisal is a good aspect of the WIN program.

c. Massachusetts

In Massachusetts, there are no Joint Appraisal Teams, because there are no SAU's. At Lowell and Worcester, registration forms are sent directly to the ES offices, and the WIN ES teams are responsible for screening, call-up, and conducting the appraisal interviews. In Lowell, the client is informed by mail that the WIN team would like to set up an appraisal interview, and asked to contact the office to arrange an appointment. The response gives the team an indication of the client's eagerness to participate. The ES counselors now handle about twenty appraisal interviews per week. Following a successful appraisal interview, a counselor works with the participant for a four week orientation period, during which time the employability and service plans are developed and certification requested.

In Worcester, the Employment Development unit of the WIN ES team is responsible for call-up and appraisal. There is no pre-screening, and all eligible registrants are called in for an interview, with a priority for accepting mandatory registrants. An aide makes the appointment, and the client talks to whichever job developer or counselor is available at the time of the appointment. At that time it is decided whether the client will be accepted as a par-

ticipant, and what services will be needed. However, certification is not requested until after orientation. Most of the clients who appear for the interview are accepted.

This approach to appraisal seems less effective than the joint approach advocated in the guidelines. However, until SAU's are developed by the Welfare Department the procedure will continue as it is.

B. WIN - EMPLOYMENT SERVICE (ES)

Under the WIN I program, a Team Model has been the basic model for Employment Service (ES) WIN operations. The model was not implemented in all project offices, but was nevertheless regarded as the "standard" staffing and organizational pattern. Three alternative program models were developed and issued through the Manpower Administration subsequent to the passage of the 1971 Amendments to the Social Security Act: Team Model, which utilizes an interdisciplinary team approach for providing employability development and other services; Case Responsibility Model, under which the responsibility for a participant's WIN experience rests with a single staff member and not with an entire team (the ES worker has the sole responsibility for obtaining appropriate services and for ensuring the effectiveness of these services); and Functional Model, a staffing pattern which organizes all units, including the employability development unit, on a functional basis.

The local manpower agency (ES agency), regardless of its particular form of staffing and organization, is responsible for several WIN processes. WIN staff in the manpower agency are responsible for the delivery of appropriate manpower services to program participants. This includes direct placement in employment. Manpower agencies are also responsible for the payment of the \$30 monthly cash incentive to program participants, as well as for the payment of training related expenses.

The manpower agency (ES) also participates in appraisal and employability planning functions on a shared basis with staff from the Separate Administrative Unit. In addition, the agency has responsibility for the delivery of specific program services including on-the-job training (for participants who cannot be placed in regular employment at the time), public service employment (to replace the Special Work Projects created in the 1967 Amendments), and client development components (such as work site training, basic education, general educational development, and institutional training).

Consistently, WIN ES offices were found to operate efficiently and in strict adherence to federal guidelines. The six offices visited exhibited greater uniformity than did the welfare offices in the way the WIN program was organized and conducted. Generally, the organization of ES employs a more direct line of control from the state to the local offices than does the organization of welfare. This is especially true in New York and New Jersey where there is a degree of county autonomy in welfare.

All six ES WIN teams are currently operating on the functional model. Prior to WIN II, the New York and Massachusetts offices were organized on the team model. However, due to increased case loads resulting from mandatory registration, the functional model proved more efficient in handling large numbers of clients in a shorter period of time. The functional model in most sites consists of these units:

- 1) an appraisal unit, responsible for screening those in the registrant's pool for participation;
- 2) a counseling unit, responsible for vocational counseling and arrangement of WIN training;
- 3) a placement unit, responsible for placing clients who are job ready, at entry or after orientation or training, in suitable jobs (this unit also does job development except in some of the larger offices where a special unit or sub-unit handles this);
- 4) an administrative unit, responsible for handling the routine administrative functions of the office.

The WIN teams range in size from 8 to 30. In smaller offices, the above functions are performed by one or two individuals, rather than a complete unit. At both sites in Massachusetts, the WIN ES offices are small. There are 8 staff in Lowell, and 13 in Worcester. The service areas involved include only the city and surrounding area rather than an entire county. The New Jersey and New York offices are generally larger as they do serve whole counties. New Jersey has 8 staff in Middlesex County (New Brunswick) and 14 staff in Camden County. New York State has the largest WIN ES offices, with 24 in Nassau County and 30 staff members in Monroe County. All offices found it necessary to increase staff with the implementation of WIN II, and the largest staff increases were experienced in New York State.

1. Functions of the WIN ES Offices

The WIN II program was handled with remarkable similarity at the 6 WIN ES offices studied. There was some variation in the way sites handled the entry phases of the program (call-up, joint appraisal, and orientation). However, all offices followed the work flow outline of the Department of Labor (DOL) guidelines very carefully. The conduct of each program function is described below:

a. Call-up and appraisal: Entry operations were handled differently at the 6 sites studied. In Massachusetts, WIN ES has complete control over call-up and appraisal. Welfare's role is limited solely to filling out the registration forms at intake and forwarding them to the WIN ES team. New York has achieved some distribution of responsibilities between ES and the Department of Welfare. Paperscreening is done by the SAU's at both sites. A full JAT functions at one site; the other site has a single liaison caseworker at ES, but no joint appraisal. In New Jersey, Welfare Department SAU's had a major role. At both sites, the SAU's had a minimum of two contacts with the client prior to ES contact: paper-screening, and a pre-call-up visit (pre-appraisal interview) by an SAU worker.

The SAU also makes the appointments for JAT interviews. At the interview, ES becomes involved with the client for the first time. The purpose of the extensive SAU contact prior to joint appraisal is to screen out before call-up those who would not be able to participate due to social service problems (child care difficulties, special family circumstances, etc.). The JAT in New Jersey also includes representatives from DYFS and DVR and in some cases the Learning Center, in addition to the basic SAU and ES representatives found in New York.

b. Orientation: The function and location of orientation in the entry process also varied considerably from site to site. In the Massachusetts offices, orientation was brief and primarily a means of familiarizing clients with WIN, since they receive little or no information prior to entering the program. In New York, the ES offices did not stress orientation but rather emphasized the training and placement components of the program. In New Jersey, orientation was viewed as an important part of the program. Almost all new participants went through a two or three week orientation. Since entry steps prior to orientation had already familiarized clients with the program, and the staff with clients needs, orientation was used to introduce clients to the world of work and to motivate them through group discussions, meetings with a psychologist, aptitude and interest tests, field trips, etc.

c. Certification: The length of time involved in certification varied from site to site, depending on the way in which each handled call-up, appraisal, and orientation. The procedure for certification (ES sending a form to welfare, welfare performing the service and then returning the form to ES) was the same in all sites, but the meaning of the routine varied significantly. In Lowell, certification was a way of notifying the social worker that a service was needed. Hence, a considerable delay could develop between the ES request and welfare action. In Worcester, certification was not requested until after orientation, and was basically a formality; participation would continue if possible, even

without formal certification. The New York offices followed the guidelines on certification exactly. The only difference between sites was that in Nassau County, the JAT worker at ES developed a service plan with an ES worker which was then referred to the SAU for actual provision of services. In Monroe County, where there was no JAT worker at ES, this was done solely by the ES worker. In the New Jersey offices, where there is a full JAT interview, identification of service needs is well under way by the time of the JAT due to pre-appraisal contacts by the SAU. Certification is requested at the time of the JAT interview, and the client does not participate in any aspect of the program until after certification is received. It is the DYFS not the SAU that is responsible for provision of child care services - the main service involved in certification.

d. Participation: Development of an employability plan is a part of the appraisal process in all sites. The amount of Welfare Department input into the planning process depends on the extent of welfare participation in the appraisal process. However, the employability plan is generally not finalized until meetings have been held with a counselor after participation begins. Thus, the final plan is the responsibility of ES. It may include various types of services, training, and job placements.

1) Training: WIN II embodies a shift in emphasis from education and training to job placement. The extent to which training is still available varies considerably among sites. In Lowell, Mass., there is virtually no training available. However, in Lowell as at all the sites, clients who began training programs under WIN I have been allowed to complete them. Apparently, the district to which Lowell belongs committed so much money to training that the state WIN ES office has frozen their training funds for the remainder of the fiscal year in order to increase the percentage of funds going to ON the Job Training (OJT), as stipulated in the guidelines. In Worcester, training continues to be available,

especially short term training; in compliance with new directives the staff gives priority to job placement and OJT. Both New York sites experienced limitations on the length of training courses and budget ceilings for this component, but neither site felt these restraints to be severe handicaps to the operation of a good WIN program. Training is still very much in evidence in the New Jersey offices, where an emphasis is placed throughout the structure on keeping training options open. Waivers can be obtained on the one year limit if a market demand can be shown for the skill. New Brunswick retains more emphasis on training than does Camden. At all sites, training is provided either directly by the WIN program, or contracted out to private agencies, or through government or private programs, such as NABS and MDTA.

2) Job Placement: Job placement is perceived as the most important part of WIN II. All offices seem to approach placement from the perspective of finding or developing jobs for specific individuals, rather than merely attempting to fit clients into existing jobs. Some clients are referred to the job developer immediately after certification. Others are referred after orientation or after completion of a training program. All sites reported success in placing clients in jobs, although some offices had to deal with tighter local labor markets than others. Lowell, Mass. ES staff expressed the most concern for a lack of jobs; Lowell has had a chronically depressed economy for many years. The attitude of the ES staff varied between the WIN I approach of offering clients the options they preferred, to saying, in effect, "here are the jobs we have available - take the one you like best or which least offends you."

3) New ES Components: On the Job Training (OJT) and Public Service Employment (PSE): Only one site reported having instituted the PSE component of the program. Worcester, Mass. was able to absorb people in PSE who were being phased out of Emergency Employment Act (EEA) employment. The reasons given for

not developing PSE were either the lack of money from the state, or the unworkable provisions for PSE in the guidelines. The experience with OJT was much more mixed. Sites found it difficult, and in some cases impossible, to develop. Few sites had fully geared up for OJT. The New Jersey sites reported OJT as difficult to sell to employers, who balked at the anticipated paperwork and involvement with the government. The New York sites had just begun to develop OJT, and Nassau County was doing well in the start-up phase. Worcester had a vigorous OJT program under WIN I which was continuing under WIN II, while Lowell was in the start-up phase of OJT.

2. Terminations

Terminations for failing to report for appraisal interviews were not nearly as numerous as might be anticipated from the "no show" rate (which in many offices was more than 50%). New Jersey had a low "no show" rate (approximately 20%), probably as a result of the pre-JAT visits. Another factor which may have affected the "no show" rate is the order in which people were called in. In Worcester, where mandatory registrants were called in first, there was a much higher "no show" rate than at sites where volunteers (including voluntary mandatories) were given priority. Generally, ES took termination action only reluctantly after an individual had failed to appear for a second interview, and had gone through the pre-termination conference. In most cases, the client either showed reason why he should not be registered, and was returned to exempt status, or at some point prior to actual termination decided to cooperate. Of those sanctioned, few if any went to fair hearings. Some sites had not held any fair hearings. Similarly, a refusal to participate after certification was rare. By the time a client completed the screening process and actually began program, he was likely to be motivated to continue. Thus, few registrants were terminated for refusal to participate, and virtually none of the terminations were challenged and taken to fair

hearings. Many ES staff felt that those who did not want to participate should be returned to the registrant's pool rather than be sanctioned, since the new mandatory requirement had created a large pool from which to choose the most motivated. Other staff took the position that the termination procedures were so complicated, and clients so likely to decide to cooperate that it was not worth the effort to use the procedures. The time could be more profitably used working with those who were eager to participate.

3. Relations Between WIN ES and Welfare, and Between WIN ES and ES

Procedures designed to improve cooperation between the two WIN agencies, where they were implemented, seemed to have had the desired impact. This was particularly true of Joint Appraisal. Where it was implemented, there seemed to be a noticeable improvement in the working relationship between ES and Welfare. One ES staff member indicated that the close contact forced the agencies to learn about one another and to develop ways of working together. In sites where there was no JAT, or where it had not been fully implemented, many problems between the two agencies appeared to result from its absence.

A mechanism not stipulated in the guidelines, but which improved cooperation considerably, was the colocation of the two WIN teams. The only site studied where the two teams are colocated is Lowell, Mass. Lowell does not have an SAU, and so welfare participation is limited, but the colocation does facilitate some degree of "jointness". In the two New Jersey sites, plans are under way for colocation, and both the WIN ES and the SAU staff feel the move will definitely improve relationships. At sites where the WIN team was located in the regular ES office, many staff indicated that greater independence from the main ES office would be beneficial. They felt that more autonomy would enable them to operate the WIN program more efficiently.

A change in program responsibility from welfare to ES was acknowledged at all sites. Welfare staff expressed a sense of diminished control, and some

complained about the loss of function. For instance, welfare staff felt that they were most qualified to determine provision of social services. However, they generally agreed that the WIN ES staffs were of high quality (probably because of the high priority of WIN in the DoL at the state and federal levels) and operated the WIN program satisfactorily with a client-oriented point of view.

Some problems remained between the agencies, especially in areas where the guidelines had not been fully implemented or where gray areas in the guidelines had not been clarified. For example, in Massachusetts, welfare offices did not have SAU's. ES acknowledged that difficulties arose in working with the entire AFDC staff, but was critical of the Legislature for not providing staff, rather than of the local welfare offices. In Nassau County, a problem developed in interpreting from the guidelines who had responsibility for terminating a client who refused to participate in a service plan worked out by the SAU worker. Both agencies were uncertain of the interest of their respective guidelines and had not as yet received an interpretation from a higher authority. In some cases there was also a difference in opinion between welfare and ES regarding how rigorously procedures for refusal to participate should be applied.

4. Program Goals

All ES staff interviewed perceived the goal of WIN II to be to move clients toward self-sufficiency through employment. They were inclined to view their role as assisting individuals rather than attempting to reduce the welfare rolls. The new emphasis on rapid placement and job experience for many clients has been generally well accepted as perhaps a better role for WIN than allowing a few people to fulfill their long-range employment goals through the program. It was felt, however, that it is important to maintain a fair amount of short term training, and to be able to offer longer training in exceptional cases. Placing many clients directly into jobs is often only a short-term solution, and does not

break the cycle of poverty and welfare dependence.

There was mixed staff reaction to the mandatory requirements in the WIN II program. Some felt that there were unwise inclusions in the mandatory category, such as mothers of school children whose absence from the home (particularly with teenage children out of the reach of day care), might be detrimental. Some felt that mandatory registration and evaluation were important, but that there were so many eager clients that the program need not require anyone to participate who was reluctant to. The mandatory requirement, rather than flooding ES with hard to place clients, has actually provided a pool from which ES can choose those most motivated and with whom they can get the best results. Few felt that the program was harassing clients, because of the flexibility of the legislation, the client-orientation of the staff, and the fact that priority is given to volunteers in call-up and thus participation.

ES staff strongly emphasized that no matter how well administered the present WIN program is, it is still subject to such variables as labor market conditions, transportation problems, and age, sex, and race discrimination, over which it has no control.

5. Summary of Site Emphasies and Strengths

The Massachusetts WIN ES offices were laboring under difficult circumstances since WIN II had not been implemented in the welfare offices. However, both teams seemed to be working quite effectively to implement the participant aspects of the WIN program. Lowell is particularly hindered by a poor economy; no matter how administratively sound the program, it would be somewhat limited in its potential to provide jobs. In Worcester the WIN ES team exhibited unusual strength in the provision of OJT's - something most other sites were finding quite difficult.

The New York WIN ES offices were apparently not impeded by a lack of implementation of WIN II in their respective welfare offices, since almost all of

the WIN II changes had been implemented. One of the ES offices faced a heavier backlog than the other due to delays in getting additional staff, but both seem now to have adequate manpower to handle the new work load.

The New Jersey WIN ES teams are fortunate in that they work with other agencies with well developed WIN components - Welfare, DYFS, and DVR. There is also an excellent working relationship with the state WIN ES office. Orientation and the general motivational aspect of the WIN program are more highly emphasized in New Jersey than in the other sites, and training continues to play an important role in the program. The major problems which the New Jersey offices have to contend with are labor market problems and transportation problems - both out of the reach of the WIN program.

CHAPTER V

SIGNIFICANT INFLUENCES IN THE PATTERN OF IMPLEMENTATION AND OPERATION OF WIN II

Several factors affected the pattern of implementation and operation of the WIN II program. The following accounting is by no means exhaustive. Only factors for which data was available, or of which the authors had knowledge are included. This section describes those factors which the study team found most significant at the time of the site visits, one year after implementation of the program.

A. PRE-OCCUPATION WITH "WELFARE FRAUD"

A factor which had both direct and indirect impact on WIN II was a pre-occupation (real or imagined) of some local and state welfare agencies with so-called "welfare fraud". A direct result of this concern was a transfer of staff from important service units of the agency to units concerned with eligibility determination. Indirectly, as "welfare fraud" was given high priority by state or local agencies, other programs and directives such as WIN II (implementation) were de-emphasized.

Problems with "welfare fraud" differed at the sites visited. The most obvious problem was that of ineligible persons who were receiving benefits, usually in large numbers or with great notariety. Public sentiment frequently put considerable pressure on public welfare agencies to catch the "welfare cheaters". This type of pressure was evident at one of the New Jersey sites, where the entire staff was keenly aware of charges of substantial "welfare fraud" in the agency, many of which were substantiated by fact. The staff felt that the rate of ineligible recipients would have to be reduced before the agency could restore public confidence, and proceed with its proper service functions.

At other sites "welfare fraud" was associated with the more general problem of rising welfare rolls and costs. Concern was evidenced not only for a reduction in the number of ineligible recipients, but also for the development of policies which would reverse the rise in the welfare rolls.

New York state has made the greatest efforts in this regard, both at the state level and county level. State action to combat rising welfare costs began with the appointment by the Governor of an Inspector General, whose sole function was to investigate and prosecute cases of welfare fraud throughout the state. In the summer of 1971 the Legislature passed a mandatory work requirement for all employable General Assistance and AFDC cases (described in detail in section "E" of this chapter). In the fall of last year the state welfare agency was reorganized in an attempt to both gain more control over the counties and to reorient the state welfare agency by bringing in staff from the State Employment Service. During that period the state welfare agency enthusiastically adopted GOSS/SISS (a reporting procedure received from SRS, which is designed to insure that social services lead clients towards self-support), and mandated it in the counties as a way of ensuring that services provided would lead to reduced welfare dependency. Finally, in February of 1973, a more stringent application procedure replaced the declaratory form which had been in use up to this time. The longer form requires the applicant for PA to prove with substantial documentation all factors of his/her eligibility. The application for assistance was thereby changed from 4 to 11 pages.

At least one county in New York followed the state's directions and adopted a series of measures to control "welfare fraud". Service staff at the welfare agency were transferred to eligibility units to process the more extensive state application procedures. A local work program was enacted by the county legislature prior to adoption of the state program, to deter potential applicants and

to ensure that recipients of county money performed some service to the county in recompense for aid received. The State Inspector General had become especially active in that part of the state, and the agency was determined to successfully challenge his claims of extensive welfare fraud in the county. Resulting transfers of service staff directly affected WIN II, since the SAU had relied heavily on regular service teams for provision of services to WIN clients. The large scale removal of staff to eligibility and fraud-related activities undermined service functions of the agency, and lowered morale of many staff who felt that services, rather than "fraud" activities should be the priority function of the agency.

B. RELATIONS BETWEEN WELFARE AND THE EMPLOYMENT SERVICE

The legislation and guidelines for WIN II recognized that a good working relationship between welfare and ES is crucial to the effective operation of the program. The mandated mechanisms for ensuring a good relationship between the two agencies, such as Joint Appraisal, seemed to be effective where implemented. However, the deciding factor was the extent to which the staff of the two agencies were able to work together. The kind of personal relationships which did or did not develop were critical to the successful implementation of the program. Certainly, all programs run better with good staff who can work harmoniously together. However, this seemed to be especially true of WIN II, a program which required cooperation between two agencies who normally have very different perspectives and ways of operating, and who are frequently hostile to one another. The conclusion of this study was that institutional mechanism are not sufficient to ensure a good working relationship. What was decisive was whether the staff at welfare and the staff at ES, and particularly the head of the SAU and the WIN ES office, were able to develop a rapport.

A further finding was that the kind of rapport that did develop between Welfare and ES determined the tenor of the WIN II program. At those sites where

WIN II was not implemented in welfare, or where the ES manager was most aggressive in the operation of the program, WIN II was perceived by clients and welfare staff as a manpower program. At those sites where WIN II was fully implemented in welfare, and where the WIN coordinator took more initiative than the ES manager, WIN II was understood as a welfare program with substantial new ES input.

One factor which contributed significantly to a good working relationship between welfare and ES was the quality of the staff in ES who manned the WIN offices. Both the welfare staff and the WIN ES managers confirmed the impression of the researchers that WIN ES attracted high quality staff. Apparently this was due to the fact that WIN had both high priority and good funding within ES (other ES monies were being cut back while WIN ES money was on the increase). Many welfare staff commented that the staff at WIN ES were not typical of regular ES staff, particularly with regard to their ability to work with welfare recipients. Welfare staff found the WIN ES staff responsive to clients' personal and family problems, eager to get clients jobs, and not particularly subject to the usual stereotypes of welfare clients. Therefore, at most sites the kind of friction commonly found between the two agencies was minimized.

It is important to note, however, that at sites where formal mechanisms for cooperation between the two agencies had not been instituted, (where there was no specialized WIN unit in welfare or where a Joint Appraisal Team from welfare had not been set up in the WIN ES office), good relationships between the two agencies were more difficult to maintain. In most cases where welfare failed to implement parts of WIN II, the WIN ES staff were able to pick up the slack and to operate the program effectively. Where no SAU existed, ES staff took the initiative and contacted individual AFDC caseworkers about the service plan. Where no JAT operated at the ES office, ES interviewers determined, without consultation with welfare, who would be participants by judging the services needed to make them participants.

C. STATE-LOCAL WELFARE AGENCY RELATIONSHIPS

The quality of the relationships between state and local welfare agencies had a significant impact on the implementation and operation of WIN II. Two aspects of the state-local relationship were particularly important to the program. First, the manner and priority of state action for the implementation and operation of WIN II at the local level could be seen in the degree of state agency pressure on local offices to implement WIN II and the methods which that agency used to assist in the implementation of the program. The second aspect was the quality of initiative and response at the local level to the new program in terms of receptivity by the local agencies to WIN II, irrespective of "pressure" from the state agency and in terms of local agency cooperation with the state agency.

It is important to note at the outset that all states complained that they were hampered in the implementation of WIN II by delays in the receipt of program guidelines from the federal agencies, and by the consequent lack of time between receipt of federal regulations and effective dates (deadlines) for the implementation of the program at the local level. An interesting finding of the study was the range of responses on the part of the three states to the same unfavorable circumstance. New Jersey implemented the entire program at the earliest possible moment; New York phased in the program over a period of months; and Massachusetts implemented only that part with specific sanctions - the requirement to register all AFDC cases for WIN.

In Massachusetts the local welfare agencies have been a part of the state system since the state DPW took direct control of public welfare in 1968. In practice, however, the local agencies retain considerable autonomy from the state agency. There is a small WIN Unit in the State DPW, but due to the large number of local welfare offices the Unit had little contact with local WIN program operations. Its function was largely one of collecting program statistics and

answering inquiries for local WIN coordinators. WIN II was implemented in three stages. First, a state letter was issued in June 1972, which advised the local agencies to register all ADC-U fathers by the July 1 deadline. Most local agencies complied. A second state letter in September 1972 outlined most of the important changes in the WIN program mandated by the new legislation. The letter specifically instructed the local agencies to begin registering all ADC cases for WIN. In the two sites visited this was the only one of the WIN II changes implemented. Apparently the state WIN Unit made no attempt to implement SAU's or JAT (the reason given at the local level was that the state DPW was short-staffed). Thirdly, a state memo of March 1973 requested that all ongoing ADC cases be registered by April 15 or the DPW would lose federal funds for failure to comply. Again, the local agencies did comply. The state DPW did not seem to attach great importance to WIN II and the state WIN Unit was not particularly active and aggressive in local program operation. It appeared that the state WIN Unit was pre-occupied with the administrative problems of the state take-over of public welfare and with prior federal directives on separation of services which had not yet been implemented. Thus the local agencies apparently did not feel the pressure from the state to implement the program. It must be noted, however, that WIN is theoretically active in all local agencies in Massachusetts, whereas in New York and in New Jersey WIN programs are only operative in the more urban counties with larger populations (9 of 21 in New Jersey, 19 of 65 in New York).

In New York and New Jersey, public welfare functions are divided between the county and the state. The state is responsible for overall policy and for part of the budget, while the county is responsible for day to day program operations (including hiring of staff) and for a portion of the budget.

In New York, this sharing of responsibilities seems to allow for considerable leeway on the part of the counties, with regard to WIN as well as to other

programs. The state WIN Unit was small and had little direct contact with the local WIN programs. The state WIN staff felt that the changes mandated by WIN II were too substantial to implement all at once. Thus a conscious decision was made on the part of the state WIN staff to phase in the changes through state letters issued over a six months period, from June to October 1972. Requirements of the state letters were: 1) registration of ADC-U fathers in June 1972; 2) registration of ADC new applicants in July 1972; 3) creation of the SAU in the summer; and 4) registration of ongoing ADC cases in the Fall. No meetings were held by state WIN staff and local staff regarding WIN II. The local agencies generally responded favorably to the state directives, though there seemed to be enough autonomy for one of the sites to delay the implementation of certain changes. (Note: the state WIN staff has been enlarged from two to nine and reorganized as a part of the reorganization of the state welfare agency in the Fall of 1972. More contact with state WIN was now reported in at least one site.)

In New Jersey, at least one additional agency is involved in the operation of WIN II besides welfare and ES. The Bureau of Children's Services (BCS), a separate state agency, is responsible for the provision of WIN child care in New Jersey. Although the formal relationship between the state and local agency in New Jersey is similar to that in New York, the state WIN Unit in New Jersey (unlike New York) is active in local program operations and aggressive in implementing WIN II in local offices. Since implementation of WIN I, the state WIN staff has met regularly with local WIN staff and with their counterparts at the state level in DOL and BCS. Since the issuance of federal guidelines on WIN II, the meetings with local WIN staff have been used to familiarize them with the changes and to work out problems in the transition from WIN I to WIN II. Similar discussions were held among welfare, ES and the BCS at both the state and the county level. As a result, most WIN II changes were implemented at the county level during the

first three months of the new program, July, August and September 1972. Since that time the monthly meetings of state and local staff have been used to assess the performance of the programs in the different counties and to make necessary changes in procedures.

D. SEPARATION OF SERVICES

The initial study of WIN II by SWRRI found that the extent and manner in which local agencies separated social service activities from assistance payments activities had an important impact on WIN II. In those state and local agencies where separation has not occurred or is still in the process of being introduced, the full implementation of WIN II has been difficult if not impossible to accomplish, since the guidelines assume a separated system in local welfare offices. Massachusetts was the only one of the three states visited which had not implemented separation in local welfare offices at the time of the site visit. Separation was to take effect in Massachusetts in January 1973 as a part of the implementation of a new contract negotiated between the state DPW and the social workers guild in December, 1971. However, it has been delayed by disputes between the two parties about the details of implementing the new contract.

Although separation of services in Massachusetts is a problem in the implementation and operation of WIN II, equally important is the lack of separate staffs for WIN units in the AFDC sections of the local agencies. As a result of this, the WIN ES staff must deal with each and every AFDC caseworker, which in the offices visited may range from 16 to 24 caseworkers. In addition, because of a high turnover among AFDC staff, WIN ES staff found that many caseworkers were not familiar with WIN II goals and procedures. Thus in Massachusetts, the lack of separation of service and budget functions may not be as big a problem as the lack of specialized WIN units within the AFDC staff, for separation has itself created difficulties for WIN in other sites.

In agencies where separation has occurred WIN II has been easier to implement. However, separation has created its own problems for WIN. Initially, when separation was implemented in local agencies during WIN I, the fragmentation of WIN tasks between two different workers caused considerable difficulty for both clients and WIN staff at some sites. Changes in financial aspects are closely related to change in types of services (either social services or manpower services). Most WIN staff felt that the program was more effective prior to separation. Each of the agencies has implemented separation differently, and devised different ways of dealing with the problem of fragmentation of WIN tasks, some more successfully than others.

The New Jersey offices, which have separate Income Maintenance (IM) units for WIN (counterparts to the separate service units, the SAU's) seem to have devised the most effective solution for relating the two functions. In New York, one of the sites has designated a special WIN worker within the regular IM units, and communication between IM and the SAU's has improved. At the other site there is no specialization of WIN in IM, and communication between the IM and the Service Divisions of the agency is routed through a control unit in a separate administrative division of the agency. There, coordination of WIN tasks is especially difficult.

E. RELATED WORK PROGRAMS

In two of the three states studied there were other work programs besides WIN. In New York, the other work programs competed with WIN. In New Jersey, the other work programs generally complemented the WIN program.

In June, 1971, the New York State Legislature enacted into law a work requirement that all employable GA and ADC recipients must, as a condition of eligibility, register for work at the state employment service, accept job placements through ES, and pick up their regular allowance checks at the local ES office.

Sanctions were to be applied to those employables who did not comply until such time as they agreed to comply. Public work projects were to be established for employable GA recipients who could not be placed in jobs in the regular economy. (The county legislature in one of the sites visited had adopted a similar program a few months prior to the statewide program.) The state work program caused considerable administrative difficulties for WIN. Initially, WIN clients had to register under the new law and pick up their checks at the ES offices. This proved especially difficult for WIN clients who were in training, OJT, or starting jobs. Further, many potentially "good" WIN clients were picked up by SES and placed in jobs before they were able to get into WIN. In addition, some local agencies who were under pressure to do something about rising welfare rolls saw the state (and local) work laws as a better vehicle than WIN for quickly moving clients from welfare to work, and thus de-emphasized WIN in preference to the state programs.

In August 1972, a federal district court ruled that the state law was in conflict with the provisions of the Social Security Act relating to the employment of ADC recipients. The court found that the WIN program preempted the state law, and thus enjoined the state from requiring ADC and ADC/WIN clients to register and pick up their checks at ES. A recent Supreme Court decision reversed the lower court decision and remanded the case back to the lower court. The Supreme Court ruled that the WIN program did not preempt the state program, and that states could also enact work programs for ADC recipients. According to welfare staff in New York, the Supreme Court decision will probably lead to a reinstitution of registration and check pick up for ADC clients in the near future, though the ruling of the lower court had not yet been given. If this occurs, the state work program would again be competing with WIN.

In New Jersey, work programs have had a different origin and purpose. At one of the New Jersey sites, the Employment Training Service (ETS) was started

by the county welfare board under a state regulation permitting the county to offer training and to pay training allowances for welfare recipients. ETS was set up to complement WIN I by providing job placement to those who wanted it (WIN I offered training primarily) or to those who were not eligible for WIN I under the then existing federal guidelines. When WIN became mandatory under WIN II and shifted focus from training to job placement, ETS was reoriented to offer long term training to welfare recipients who could not get such training under WIN II, and to provide manpower services to those who were still not eligible for WIN under the new eligibility criteria. At both sites, training facilities were operated by the county through the school districts and offered training to both ETC and WIN clients.

There was one point at which work programs in New Jersey came in conflict with WIN. In July 1971, New Jersey dropped the UP component of AFDC and substituted a state funded program for the working poor - AFWP (Aid for Families of the Working Poor). Thus fathers of two-parent families (who would be eligible for WIN services in New York) are not eligible in New Jersey. Instead they are offered job placement and much lower benefits under AFWP. Further, as a result of dropping UP, WIN in New Jersey is servicing a completely female population who, in most labor markets, are harder to place than males.

CHAPTER VI

CLIENT PERSPECTIVES

A. INTRODUCTION

A small Client Survey was included in this study and had three primary objectives. The first objective was to determine whether or not clients were actually going through the procedures mandated by the amendments. The second objective was to investigate how WIN participants perceived these changes made in the procedures of the program. The survey was developed to gauge to what extent, if any, WIN clients experienced an impact of the Talmadge amendments on the program. The third objective of the Client Survey focussed on clients' general attitudes toward WIN; how clients reacted to the way in which they were treated, and whether they were influenced socially and/or psychologically by the program.

In addition, the survey examined the various types of people participating in WIN. The study included a look at such characteristics as age, family composition, education and work experience.

It should be noted that the concern of the Client Survey was with the experience of present WIN participants, and not with direct outcomes of the program. The survey was also basically qualitative in nature, rather than quantitative, and was intended to suggest dimensions of program operations and impacts rather than to verify hypotheses about program impacts.

B. DATA COLLECTION AND SAMPLE POPULATION

Prior to the six site visits, letters were sent to appropriate welfare and employment service administrators explaining the Client Survey and requesting their cooperation in selecting persons to be interviewed. Each local admin-

istrator was to designate ten WIN clients, two in each of the following five categories, to participate in the survey: 1) voluntary registrant, 2) mother with children over six years of age, 3) unemployed father, 4) participant receiving child care services, and 5) participant nearing completion of the program. This stratified sample population was selected to gain perspectives of people in various components of the program, in order to insure as representative a sample as possible. At sites where a particular category could not be represented by two people, slots were filled by adding extra participants in the remaining categories.

Clients who took part in the survey met the interviewer at either the welfare or employment service office. Provision was made to reimburse participants \$5.00 to cover any transportation expenses they might have incurred in getting to and from the interview. In instances where clients were unable to appear for the in-person interview, telephone interviews were used. The interview schedule, which required approximately thirty minutes to administer, consisted of two parts. The first related to straight factual information which was obtained through analysis of the clients' records (where available). The second part included more impressionistic and perceptual questions, the answers to which were supplied by the clients. Each client questionnaire was assigned a number, rather than the client's name, in order to insure confidentiality.

From an original sample of 60 WIN participants (10 from each of the 6 sites), a population of 58 WIN enrollees satisfactorily completed the interview schedule. A serious attempt was made to produce a representative and unbiased sample. However, a note of caution must be interjected. It would appear that the 20 participants interviewed in Middlesex and Camden Counties were WIN "success stories." These individuals, who had been selected as requested by welfare and/or employment service administrators, tended to have a high degree

of personal motivation, no prohibitively serious problems which could pose obstacles to their success in the program, and a universally high level of satisfaction with their experience in WIN. Further, although several of these individuals were officially classified as mandatory referrals to the program, most had volunteered to participate. Many of these same biases were also apparent in the Nassau County sample. Of the original 10 clients selected in Monroe County, only five actually arrived at the interview. Those who did appear were quite satisfied with the program. However, it is possible that those who failed to appear were probably alienated from WIN and less pleased with it. At the Massachusetts sites, a bias again may be present as a result of case-worker/employment counselor selection of "satisfied customers." For these reasons, then, interpretations of the survey results should be made with a degree of caution. However, it is possible that the bias detected in this sample may be representative of the entire population of WIN participants. Due to the selection process, which eliminates persons whose employment potential is not sufficiently high, it may be that most WIN enrollees tend to be more of the potential "success stories."

C. SURVEY RESULTS

1. Participant Profile

Due to the requirement that WIN participants be recipients of Aid to Families with Dependent Children (AFDC), 100% of those interviewed had children, and a majority were female heads of households. From the final sample population, 87.93% (51) were females and 12.07% (7) were males. The participants interviewed fell into the following age ranges: 6.89% (4) between 18 and 21 years, 53.44% (31) between 22 and 30 years, 29.31% (17) between 31 and 40 years and 10.34% (6) over 41 years of age. Thus the population was composed primarily of female heads of households who are in the prime working age category. In terms of racial compo-

sition, the sample consisted of 55.17% (32) white, 43.10% (25) black, and 1.72% (1) Puerto Rican respondents.

The sample was relatively evenly divided between mandatory and voluntary registrants. Of those individuals interviewed, 56.89% (33) were categorized as voluntary and 43.10% (25) were categorized as mandatory. It was also found that 56.89% (33) had children under six years of age, while 41.37% (24) had children over six years. Thus it appears that a significant number of volunteers were taken from the exempt category of mothers with children under six years old.

The sample also was divided fairly equally between those who had participated in WIN before July 1, 1972 (WIN I) and those who had registered for the program after that time (WIN II): 46.55% (27) enrolled before July 1, 1972 and 53.44% (31) enrolled after that date. It was also found that 87.93% (51) of those interviewed had not previously been on welfare. There appeared to be no difference between voluntary and mandatory participants in terms of previously having or not having been on AFDC.

The respondents had completed various components of the program at the time of the survey. Of the 58 persons interviewed, 98.29% (57) had been through the registrants' pool and the pre-certification/appraisal stages. Further, 79.31% (46) had been in or were currently in the participation stage; that is, in some form of work, training or education. It was found that 24.13% (14) of the sample had been or were presently in the stop category. However, it was also found that only 17.24% (10) of the respondents were actually placed in employment.

It would appear from these figures that only a relatively small percentage of WIN enrollees have actually been placed in a job. Two factors should be noted in considering this seemingly low rate of job placement. First, many of those not in a job currently, will probably be employed at some later date. Secondly, of those not presently employed, a majority are either in a training

or education program which should enhance their chances of obtaining employment. However, it should also be noted that among those persons who are employed, nearly half found their jobs without the help of the WIN program.

2. Procedural Comprehension

A primary objective of the Client Survey was to determine how well the WIN program was explained to clients, and to what extent clients understood this explanation. It was expected that participants would be confused by (a) the movements from one program component to the next, (b) the changed administrative structure, (c) the need to deal with separate staffs of the Welfare Department and the Employment Service, and (d) the change in emphasis from training and education (under WIN I) to employment (under WIN II).

Initially, it should be noted that respondents had widely varying degrees of experience with WIN. It was found that 8.62% (5) had been in the program for one month or less, 36.20% (21) had been in from two to six months, 25.86% (15) had been in from seven to twelve months, 17.14% (10) from thirteen to twenty-four months and 12.06% (7) had participated in WIN for over two years.

It was interesting to learn how clients reacted to the WIN registration process. Of the total sample population, 91.37% registered in person and 8.62% (5) registered by mail. The great majority of those interviewed 87.93% (15), stated that there was no difficulty or confusion involved in registering for WIN. For the other 12.06% (7) of the sample, some difficulty arose for those who wanted to volunteer but who were determined by the guidelines to be exempt. After much time and persistence, these individuals were ultimately allowed to register for the program.

In order to determine how well WIN participants understood the concept of program components and the progression from one to the next, respondents were asked what component (or stage) of the program they were in. Although with some prodding and explanation clients did express a basic understanding of what they

were doing and why they were doing it, there did not generally appear to be a very firm comprehension of where each stood in relation to the rest of the program. Clients did not seem to have a clear understanding of the stages a WIN participant moves through in order to complete the program. This was particularly true among those who had to wait for long periods of time for job leads or placement. While waiting, these persons had little contact with the program and thus less understanding of the mechanics of it. However, it was equally apparent that a detailed understanding of the WIN process was not essential for clients. A general outline of the program and its goals seemed to be sufficient to prevent clients from feeling confused by and alienated from the program. It seemed that more specific information was neither desired nor necessary.

A majority of the sample, 86.20% (50), stated that WIN and its various ecomponents were explained to them at the time of registration, while 91.37% (53) said that they had some understanding of WIN at that time. Further investigation made it clear that in New Brunswick, Camden, Mineola, and Worcester, an explanation was actually given after enrollment, during the orientation period. Again, there did not seem to be a critical need on the part of clients for detailed explanations at the entry point of the program.

The following information was obtained regarding initial client contact with the WIN program. The two primary sources through which the respondents were informed about the program were welfare service workers, 37.93% (22), and clients' friends or family members, 31.03% (18). The others in the sample heard about WIN either through a letter/newsletter sent from the welfare department, 13.79% (8), or from a welfare intake worker, 5.17% (3). It should be noted that 10.34% (6) of the sample actually initiated discussion and explanation of the program themselves by requesting information either about WIN specifically or about any available work or training programs.

The data shows that 93.10% (54) of the sample responded that they wanted to join WIN when they learned of it. This overwhelming response is interesting in light of the fact that 87.93% (51) had been on AFDC prior to joining WIN, and had had an opportunity to volunteer. This may reflect a lack of knowledge about the program until individual cases were redetermined under WIN II.

With respect to the joint appraisal interview, 87.93% (51) of the respondents reported that they had had such an interview and evidenced an understanding of its purpose. Only 6.89% (4) responded with uncertainty as to whether or not they had had such an interview. In most instances clients had to wait only a short time between the time they registered and the time they were finally called to the joint appraisal interview. This time period was less than one month for 51.71% (30) of the sample, between one and six month for 27.58% (16), and between six months and one year for 5.17% (3). The three longest waiting periods resulted from difficulty in registration encountered by volunteers who wanted to participate but had to wait for an opening.

Only a small portion of those persons interviewed had a negative impression of the joint appraisal interview. Basically the respondents felt either neutral or quite positive about this experience. Many of them felt the interview was pleasant as well as informative. Further, most of the sample had an understanding of what resulted from this interview, i.e. to which stage they would next progress.

Through questions which required specific responses regarding the roles of several WIN personnel, it was found that participants are neither concerned nor knowledgeable about the complex administrative workings of the program. Depending upon client-worker relationships and individual situations, most respondents had a relatively clear idea of what role their welfare service worker played. However, it was much less clear how these workers related to WIN.

There was a moderately high degree of understanding of the function of the WIN team, but this may have been due to the high level of contact that participants have with this group. Most clients were unaware of the existence of the SAU. In the Massachusetts sites this was obviously because no such unit exists. In the other sites clients expressed an awareness of something going on "behind the scenes", but they did not display any more familiarity or understanding than this.

In addition, most respondents who were employed believed that they had completed the WIN program and were unaware of the sixty-day follow-up period.

3. Education and Work Background

The information obtained regarding the education and work histories of respondents indicates that in general WIN participants have a relatively high level of education upon entering the program. The percentage breakdown by last grade completed shows that 5.17% (3) of the sample completed eighth grade, 10.34% (6) completed ninth grade, 12.06% (7) tenth grade, 27.58% (16) eleventh grade, 36.20% (21) twelfth grade and 8.62% (5) completed at least one year of education beyond high school. This means that 72.40% (42) of the sample population had at least an eleventh grade education and 48.27% (28) had high school diplomas. Unfortunately it is difficult to know whether these figures are a valid indication of the educational level of all WIN participants, or merely of those interviewed.

In terms of specific skills, training, and certification the picture is not quite as bright. Only 18.96% (11) of the sample had had any type of job training in the past. Further, only 13.79% (8) had actually received certification for that training. Regarding past experience in any other public or private work training program, only 5.17% (3) had ever participated in such a program. Thus it would appear that WIN enrollees have not been the fall-out of other federal work programs.

With respect to the type and amount of work experience of the respondents the data is interesting if not precise. On a rough scale of low-medium-high, general estimates were made as to the amount of work experience each respondent had had. The estimates took into account the respondents' age, number of jobs held, and total amount of time worked. When the sample was broken down in this way it was found that 56.89% (33) fell into the "low" category, 25.86% (15) in the "medium" category, and 17.24% (10) in the "high". It is clear that the majority of those interviewed were "low" in their previous work experience.

The information obtained concerning the average wages earned by respondents in their past jobs is not particularly conclusive. Generally these WIN participants tended to earn low wages. Only 31.03% (18) had earned over an average of \$2.25 per hour.

The type of work performed by the respondents had primarily been unskilled. The general categories of work that had been done were: clerical (24.13%), manual labor/factory (20.68%), clerk/sales (17.24%), waitress/food serving (13.79%), nursing (12.06%), and cleaning/maintenance (10.34%). A few respondents, however, had been employed in more highly skilled occupations (one as an electrical engineer).

4. Employability Plan

There seemed to be a degree of confusion regarding the concept of the employability plan among respondents. When asked whether such a plan had been developed for them, 17.24% (10) of the sample replied that they did not know, while 70.68% (41) answered yes and 5.17% (3) said that no such plan had been developed. However, when questioned specifically about their current program participation and future employment goals, most respondents did have a working understanding of what is formally referred to as their employability plan.

Only 22.41% (13) of the sample was actually sent to look for work immediately upon entering the program. This statistic may have resulted in part because

46.55% of the sample consists of persons who had enrolled in WIN I where immediate employment was not emphasized. The existence of limited training opportunities and a tight labor market, in addition to the employment-related needs of the WIN participants that are prerequisite to their gaining employment, also explain why such a low percentage of those in WIN are sent to seek work immediately.

Many combinations of education, training and work experience made up the employability plans of the respondents. As stated above, 22.41% (13) were determined job-ready and began looking for work. Nineteen or 32.75% went into some type of training program, while 17.24% (10) pursued their high school equivalency and then went into training. College education formed a foundation of the employability plans for 8.62% (5) of the sample. One person planned to obtain a high school equivalency degree before entering college, and another individual planned to move directly from a high school equivalency course into the labor market. The remainder of the sample population, 5.17% (3) participated in either a work experience project only or in both work experience and training.

The prevalence of various types of plans differed somewhat between WIN I and WIN II participants, as was anticipated by the change in program emphasis from training and education to work. Significantly more of the WIN II participants were immediately placed in the labor market, whereas a slightly greater percentage of the WIN I enrollees went into training. As mandated by the guidelines, no one in WIN II had the option of a college education, although several of those who had joined WIN I had chosen this option. There were no significant differences between WIN I and WIN II with respect to other employability plan alternatives.

Of the fifty-eight persons interviewed, 86.20% (50) said that they were satisfied with their plans, while 8.62% (5) said they were not. The primary cause of dissatisfaction related directly to the changes made by the Talmadge amendments. Some participants of WIN II wanted more training and education than is allowed

under the new program. They felt pushed into job-seeking, while their actual desire was for education or more extensive training.

When questioned about particular job goals upon entering the program, 77.59% (45) said that they had such a goal. In a breakdown of the population between voluntary and mandatory participants, it was found that a slightly higher percentage of voluntary than mandatory registrants had a job goal in mind. Of the total sample, 60.33% (35) felt that the WIN program had allowed them to work toward their goal, while 12.06% (7) felt it had not and 6.82% (4) said they did not know yet. Among those persons who felt WIN had not allowed them to work toward their goal, four major reasons were given: 1) there was no appropriate training available in the area, 2) aptitude tests showed the individual to be unsuited for their choice, 3) inability to find employment in the desired field and 4) the educational goal was too lengthy for the program.

Only 20.68% (12) of the sample had ever been referred to a job by WIN. However, the majority of those (10) were hired and ultimately became employed.

The data collected from the sample population also seems to indicate that a participant's past work experience bore little relation to the type of WIN employability plan which was developed. Persons from each of the "previous work experience" categories participated in every kind of employability plan. There was a slight tendency for those with past experience in manual labor and clerical work to participate more in the training component of WIN. However, there did not appear to be any really significant relationship between employment history and the current WIN employability plan. Two exceptions to this general statement are: 1) there were no former manual laborers currently going to school through WIN and 2) no persons with work history in cleaning and maintenance presently being employed.

In a comparison between WIN I and WIN II participants with respect to level of education, only a small difference was found. The mean last grade completed for the WIN I group was 11.44 years, while the mean for the WIN II group was 10.80 years. A similar finding related to the amount of previous work experience. Virtually no difference was found between the composition of the WIN I and WIN II groups when compared on this basis. Both groups tended to average between low and medium amount of experience in the labor market.

Some basic differences in types of employability plans were found among the sites. The greatest emphasis on placing participants immediately in the labor market was found at the New York sites, where seven of the nineteen respondents fell into this category. The situation was reversed at the New Jersey sites. Of the twenty persons interviewed, only one began seeking employment immediately. The emphasis on high school equivalency and training also seemed to be much stronger in Massachusetts and New Jersey than in New York. More New Jersey respondents attended college through WIN than those in the other two states.

5. Services

According to program guidelines, the range of services to be provided for WIN participants includes child care, legal assistance, health care, counseling, family planning and provision of work or training related expenses. From the total sample it was found that the services most frequently used were child care (67.23%) and work/training related expense money (48.27%). Legal services were used by two people (3.44%); one person received health services; two persons were provided with counseling; and three people used family planning services. Twenty-two percent of the sample received no services through the WIN program.

When the sample population is divided between those who entered the program before July 1, 1972 and those who entered after that date, both the amount and the type of service utilized remains comparable. There was no significant

difference in either the number of services provided to clients or the types of services used between participants of WIN I and WIN II, except that a slightly higher percentage of WIN II participants receive no services.

An analysis, by state, of the services being provided to clients indicates that fewer clients are provided with service in Massachusetts (27) as compared with New York (30) and New Jersey (33). Although the number of persons utilizing child care services is nearly equivalent from state to state, seventeen persons in New Jersey are provided with money for work/training related expenses, while only seven persons in Massachusetts and four in New York are receiving this service. This could be explained by the policy in New Jersey of providing a standard sum to all participants, while in Massachusetts and New York the amount is determined by need and thus provided only to certain participants.

There appeared to be few problems with non-delivery of services either promised to or requested by clients. Only one person was promised a service which was not provided, while 6.88% (4) requested services which were not provided. The primary service which clients desired but which WIN did not deliver was assistance in finding better housing.

The majority of respondents (70.68%) stated that they had experienced no major problems in receiving services. Those who did encounter difficulty in this area (8.62%) indicated an inadequacy in the amount allocated for work and training related expenses. Nine people, or 15.51% of the sample stated that they had problems related to delivery of child care services specifically. Several clients complained of the insufficient amount of money provided to pay babysitters, and of the late and unreliable timing of those payments. Others also felt it was unfair to penalize WIN participants by failing to provide extra day care during child illnesses, and by discontinuing incentive payments when the parent was unable to attend work or training due to either child or parent illness.

It should be noted that all of the participants who were employed at the time of this interview were still receiving supplemental financial assistance from the welfare department, as well as social services from WIN.

6. Attitudes Toward WIN

Several "attitudinal" questions were included in the interview schedule to obtain a clear impression of how participants reacted to the WIN program. The first series of these questions provided respondents with a list of areas in which problems could potentially arise. Clients were then asked to state whether they would choose to solve each problem with the help of either someone from the welfare department or the WIN team (ES), or in some other manner. Data obtained from these questions indicated that clients understood which personnel (welfare or Employment Service) had influence in each of the particular problem areas. However, there was no concrete finding of preference for one or the other offices.

When questioned regarding general, overall preference for either the Welfare or Employment Service office, 51.72% (30) of the sample stated a preference for the ES (WIN team) while 25.86% (15) felt more comfortable dealing with people at the welfare office. In the case of Monroe County, preference for the ES could be attributed to the fact that the ES is located in a more accessible section of the city than the welfare department. At the other four sites, client preference for ES can probably be explained by the greater client contact with the WIN ES team, and the corresponding positive feelings which have resulted from this contact. This appears to have been especially true at the two New Jersey sites, where clients expressed a positive rapport and a strong belief that the WIN team personnel would do whatever they could to help if a problem should arise. This positive attitude began, for the New Jersey participants, during the very successful orientation sessions and continued throughout the course of the program. Several respondents also described personality conflicts with their welfare worker, and therefore preferred to

go to the ES office. Survey results from Nassau County contradict the conclusions drawn about the other sites. Owing to the separation of service units from income maintenance units, few clients in Nassau had welfare caseworkers. These WIN clients responded quite positively to the SAU caseworkers, who could perform both WIN and non-WIN-related service for them.

An overwhelming majority of the sample population, 81.03% (47), felt that the WIN program had helped them in some way. A majority of the respondents, 48.27% (28), indicated that they had been helped psychologically by the program. These clients stated that the orientation sessions, the personal attention shown to them by the WIN team, and the training, education or job they participated in, had given them increased self-confidence and a better image of themselves. Two related benefits were described by 44.81% (26) of the sample, who responded that WIN put them on the road to securing decent employment, and afforded them the opportunity to get off welfare. Others saw the benefits of WIN in terms of the financial assistance provided them while they worked toward their goal of self-sufficiency. Finally, a number of respondents stated that WIN had helped them in a social sense - that the program motivated them to get out of the house and into the world where they could be exposed to new people and new opportunities.

Of the clients who responded that WIN had not been of help to them, most indicated they had not benefited from the program so far, and others stated they had found jobs on their own without the help of WIN.

Seven of the respondents mentioned that they had the option to have joined another work/training program, and listed several reasons for choosing WIN instead. Some preferred this program because of the specific types of training offered. Others believed WIN would insure them of employment. Still others preferred this program because of the services, particularly child care, which would be provided. Of those who were asked if they would make the same choice again, 95.9% said that they would, while 4.1% said it would depend on the outcome of the program.

Four of the clients interviewed had had some experience in other work/training programs. These respondents felt that WIN compared very favorably with the other programs for three reasons. First, WIN was perceived by the clients to be better organized. Secondly, other programs did not provide services. Thirdly, training in other programs had been for jobs which had become obsolete.

Significantly, it was found that approximately 70.68% (41) of the sample population had quite positive feelings toward WIN, 27.58% (16) had neutral feelings, and only 1.72% (1) felt negatively toward the program.

7. Comments and Suggestions

Most of the clients expressed some dissatisfaction with the WIN program, and had some concrete suggestions for improving the program. The most frequent criticism related to two of the fundamental program changes mandated by the Talmadge amendments.

First, many respondents disagreed with the mandatory categorization of certain WIN enrollees. They felt it was unfair to force people into areas of employment they had not chosen. Secondly, clients stated there was too much emphasis on the short-term goal of placing individuals on the labor market; often disregarding their longer-term educational interests and career goals. Several respondents stipulated that there is a critical need for long-term quality training and that anything less is of very limited value. One participant felt it was discriminatory for WIN to allow only a low level of in a given field; for instance, to allow LPN training, but not RN training. Many believed that it was short-sighted of WIN to inhibit people with ambition from becoming skilled enough to become totally self-sufficient. Others felt that WIN II was unfair in refusing to permit college training, thereby limiting the educational avenues open to clients. The major recommendation was for WIN to concentrate more on improving human resources than on filling job openings. Generally, participants suggested that the WIN I policies related to education and longer-term training be reevaluated and reinstituted.

Several problems were also described relating to the inadequacy of money provided for work and training-related expenses. The primary issue was that actual transportation expenses exceeded the money allocated to cover them. Allowances were also frequently inadequate to cover expenses for books and other school supplies. The final suggestion was that work incentive money not be disallowed when a participant misses a day of work or training due to the illness of her child or herself. Clients felt quite strongly that it was unfair for them to be penalized financially for circumstances beyond their control.

CHAPTER VII

ADMINISTRATIVE COSTS AND PROGRAM DATA

It is important to understand the quantitative differences in the WIN II program among the sites visited, as well as the qualitative differences. The two types of differences interact. In some cases the qualitative differences explain the quantitative differences, and in other instances the quantitative ones explain the qualitative ones. In general, one is merely a reflection of the other. Quantitative descriptions of the program structure in each site in terms of staff and cost allocations, slot levels, AFDC caseloads, registrant and participant totals, and allocation of participants to different components of the program, as well as a picture of local economic conditions and participant characteristics, provide the basis for understanding the context of the program and the interrelationships among various parameters, with the assistance of pertinent ratios. Ideally, one would like to know what effect different organizational structures and cost structures and program emphases have on program effectiveness, measured by placements. Unfortunately the limitations of the data and the smallness of the sample allow one to draw only tentative conclusions on these matters. One can, however, get a capsule picture of the program in each site and the interrelationships among factors in each site.

The first section presents data on administrative costs in the six sites. The second section is concerned with program data, and includes sub-sections on economic conditions, participant characteristics, cumulative program statistics, and comparisons of the programs at two points in time (July 31, 1972 and April 30, 1973).^{*} The final section attempts to integrate the information, and draw conclusions about individual sites, comparative success, and causal relationships that can be determined.

^{*} Unfortunately, the data on welfare savings was very incomplete, and would not allow meaningful comparisons among sites, or with costs.

A. ADMINISTRATIVE COSTS

Estimation of the administrative costs of the WIN II program proved very difficult. An attempt was made to enumerate all welfare staff who had WIN responsibilities and were thus covered by the 90-10 funding agreement, and to procure average salary information for the personnel involved. As part of the interview, workers with responsibilities in addition to WIN were asked to estimate the amount of time devoted to WIN activities. As a result of these procedures, the figures presented in Table I are very rough estimates. It is unfortunate that statistical reports indicating costs covered by 90-10 WIN funding were not available. There are three main sources of possible error in the Table I calculations:

1. In some cases, information on clerical staff is missing; however, this bias is easily spotted and is not very large.
2. Salaries have been averaged; this will affect the validity of the absolute estimates, but should not affect relative comparisons among sites.
3. The personal estimates of time spent on WIN tasks are likely fairly inaccurate, since workers often found it hard to separate WIN from non-WIN tasks. An example of the probable use of different criteria for estimating time spent on WIN is given by the differences in the time estimates of the Middlesex and Camden Intake welfare aides. Although the structure and size of the units are similar, the Middlesex aides estimated 30% of their time on WIN, while the Camden aides estimated only 5% of their time (and they handle a bigger case-load). This discrepancy probably biases the Middlesex costs upward and the Camden costs downward. Unfortunately, the use of these subjective estimates could not be avoided.

As a result of these probable error factors, the Lowell estimated total cost is probably biased downward, due to the absence of data on AFDC clerks and the low time estimates of the Intake staff. Worcester and Lowell probably have more nearly similar costs than indicated by Table I. Middlesex estimates may be high, owing to overestimates of time spent on WIN.

The costs estimated are only staff costs, and are in dollars per year, since average annual salary data was used. Figures were not available on costs of services and office space and materials. Salary information was not obtained from

the ES offices, but since the range of staff positions in each office was similar, and all staff were full time WIN, a rough estimate of staff costs was made using \$9,000/person as an average. This is likely an overestimate (Table 2, Columns 18 and 19); however, the purpose of this estimate is simply to convert the figures on number of ES staff into dollar terms for comparisons, maintaining the relative differences among offices by assuming that more staff means more costs.

From Table 1, one can see the variety of ways the program is organized. Table 2 highlights some of these differences, and tries to put the various unit costs in a comparable state according to similar functions. These costs are then normalized by putting them with respect to slots, registrants, participants, and AFDC caseload. It must be noted that the staff figures are as of July, 1972, and in many cases have increased over the year in question.

The New Jersey sites have much lower SAU costs and fewer SAU staff, but that is because the Bureau of Children's Services (BCS) has WIN units responsible for providing child care services. In Nassau, in addition to the SAU staff there is a JAT staff stationed at ES, whereas in Monroe and the New Jersey sites JAT tasks are performed by the SAU staff. (In Monroe, because the SAU only provides services to clients not already assigned to a service worker, the SAU cost estimate was increased by 30% to more fully reflect the entire cost of providing WIN services to participants. - Table 1, Column 10) In Table 2, Column 4, the SAU, BCS and JAT units are aggregated so that the New York and New Jersey sites can be compared according to costs for similar services. The costs of these services is lower in Monroe than in the New Jersey sites, although the slot and registrant levels are higher in Monroe, and very high in Nassau compared with the New Jersey sites (Columns 7, 8). Service costs may be high in New Jersey due to the fact that they deal almost exclusively with women, and women require more services, such as child

care, than men. The handling of child care by the separate BCS agency is probably an effective, but costly way to ensure high quality child care for WIN participants.

When the costs of Income Maintenance are examined (Table 2, Columns 9 and 10), it is seen that Camden's use of a special WIN IM unit seems to be profitable. This is one cost area where Nassau also performs quite well. Monroe's exceptionally low IM costs may be biased downward due to low time estimates (Table 1, Column 12).

When the costs of the SAU, BCS, JAT, and Income Maintenance components are added together (called Welfare Services Costs in Table 2, Columns 13 and 14) the totals may be compared with the AFDC unit costs in the Massachusetts sites, since they cover the same WIN tasks. It is interesting to note how the Massachusetts sites compare in cost with the New York and New Jersey sites, for this gives some indication of how costly the suggested WIN organizational structure is compared with the more haphazard way the welfare portion of the program is run in Massachusetts. It is somewhat surprising to find that costs/slot are lower in Monroe than they are in Lowell, and that costs/registant are lower in both Camden and Monroe than in either Massachusetts site. The most expensive site in terms of Welfare Services Costs per slot or per registant is Nassau, where the cost is three times as great as in the cheapest site, Monroe. Camden's program is cheaper than that of Middlesex; although the staff sizes are approximately equal, Camden has a larger program. The Massachusetts sites are in the middle range, being neither the cheapest nor the most expensive programs in terms of Welfare Services costs. Unfortunately, such figures do not measure the quality of the services clients receive. It is possible that service quality is lower in the more poorly organized and cheaper sites.

When one looks at Intake costs/registant (Table 2, Column 11) one sees that there is a large range, with Camden and Nassau operating most inexpensively, and Monroe most expensively. This is a reversal of the general pattern, where in

most aspects Monroe has the cheapest operation and Nassau the most expensive. Since the New York sites have both recently changed to very complex Intake procedures, it is surprising that they would represent the two extremes in terms of cost. This may be partly explained by the fact that the figures are averages for the year, and the impact of the new procedures does not show up.

Looking at the total estimated welfare costs, (Table 2, Columns 15 and 16), one finds that the range is smaller than for the separate components. The most expensive programs per registrant are Nassau and Middlesex, and the cheapest is Camden. Nassau's program is approximately twice as expensive as Camden's or Monroe's. The Massachusetts sites and Monroe have moderately low costs/registrant. It seems that in the aggregate the differences in costs of various sections of the program somewhat balance out, and the gaps between sites are reduced. Looking at costs/slot, one sees that Worcester is lowest while Nassau and Middlesex are highest. The difference between the cost/slot and cost/registrant arrays is due to the differences in registrants/slot among the sites. This will be discussed more fully in the data section. Worcester has a low registrant/slot ratio (and Camden has a very high registrant per slot ratio, due to peculiarities of the slot and staff (money) allocations among sites. In Column 25, one sees that the array of cost/AFDC caseloads is very similar to the cost/registrant array.

When the artificially estimated ES costs are compared among sites (Columns 19,20 and 26), one finds a tighter range of costs, with Monroe having the highest costs/slot, and Worcester having the highest costs/registrant and costs/AFDC. Nassau has the lowest cost/slot and Camden has the lowest cost/registrants and cost/AFDC. The range is tighter because, as seen in the data section, slot and ES staff levels are more closely linked than are slot and welfare staff levels. It is evident that most

of Nassau's WIN money and effort go into the welfare, not the ES, part of the program. It will be seen in the latter section what affect, if any, this has on output. Middlesex also has a relatively expensive welfare operation and a relatively cheap ES operation. Monroe, on the other hand, has a relatively cheap welfare program and a relatively expensive ES program. The same is true of Worcester. Camden seems to operate relatively cheaply on both counts, especially when costs/registrant are examined. Lowell falls into the middle cost range in both welfare and ES operations.

When the two estimated costs are added together (Columns 22 and 23), the range per slot narrows even more, with Middlesex and Nassau having the most expensive programs, and Lowell and Worcester the cheapest. Looking at cost/registrant, again Nassau and Middlesex are the most expensive and Camden and Monroe are the cheapest. If Camden is excluded, due to its high registrant/slot ratio, the range of costs, from \$116 to \$141 is quite small. Camden again stands out in the cost/AFDC array (Column 27). There does not seem to be a consistent allocation of WIN money on the basis of AFDC caseloads, although some of the differences are probably due to efficiencies of different organizational set-ups. It is impossible to speculate on the relative importance of these factors in creating the uneven cost structures. As a final means of comparison, total cost (welfare plus ES)/participant is calculated, using the cumulative participant totals from July, 1972 to June, 1973 (Column 24). It can be seen that the order here is closer to the cost/slot array than to the cost/registrant figures. This is due to the fact that the participant per slot ratios are more nearly equal among sites than the registrant per slot ratios. This implies that in looking at the previous comparisons, the cost/slot order is more appropriate when one is concerned with tasks having mainly to do with participants and the cost per registrant order is more appropriate to tasks such as Intake and IM where the whole registrant group (and AFDC caseload) is involved. The conclusion from Column 24 is that Nassau is the most expensive, Middlesex and

Camden fall in the middle of the range, and Worcester, Lowell, and Monroe are grouped at the bottom of the range.

Columns 28 - 31 give an indication of the percentage of welfare costs expended for different aspects of the program in the different sites. The differences are substantial, although one must keep in mind the subjective time estimates which produced the Intake and IM cost figures.

The most important questions that arise from this cost survey concern the effectiveness of the expenditures. Is it good, in terms of program output, to have an expensive program? Does a relative emphasis on Intake over Services result in a better program? Does it matter, in terms of placement success, whether one puts relatively more funds into the ES side of the operation than the Welfare side? These questions will be dealt with after the program data is examined. Unfortunately, value judgements are involved in what one considers a successful program, and each site probably has a reasonable rationale for its expenditure pattern and level.

For now, the interesting thing is the variety of cost structures that exist. When reading the descriptive site write-ups, it will be helpful to refer again to the cost structures, so that one can see the different methods of administration in the light of costs, and can have a program image with which to place in perspective the myriad of numbers presented here.

B. LOCAL ECONOMIC CONDITIONS

In trying to understand the operation of the WIN program in the various sites it is important to keep in mind the local economic conditions, since these conditions may constrain the potential effectiveness of the program. Table 3 gives a brief summary of some important parameters that describe the economic conditions. Several measures of unemployment and change in unemployment are included. The Department of Labor (DoL) figures give an up-to-date picture, except in the case

of Camden. Camden is included in the Philadelphia SMSA, and this biases in a downward direction the DoL unemployment rates and classification given for Camden. Unemployment in Camden, judging from the 1970 census rates, is at least as high as in Middlesex, and Camden by itself would probably have a "D" or even "E" classification.

There is considerable variation among the sites regarding the buoyancy of the local economies. The New York sites, Monroe and Nassau, have the lowest unemployment rates (Column 3) if Camden is excluded, and have had substantial decreases in unemployment over the last year. They are classified by DoL as areas of moderate unemployment. They also had the lowest percentages of their populations below the poverty level in 1970. Monroe also has a high percentage of its employed persons in manufacturing, a fact which coupled with the low unemployment rate would cause one to speculate that there are fairly good job opportunities for semi-skilled workers. Nassau, on the other hand, has a low percentage of its employment in manufacturing, which may indicate less opportunity for the AFDC population. Nassau is a bedroom community of New York, and one would suspect that most activity is service oriented.

The New Jersey sites suffer from more unemployment than the New York sites. Middlesex definitely has the better economy compared with Camden. It has more manufacturing employment, and its work force has grown substantially in the last year. The impression gained during the site visit was that Middlesex was picking up economically, whereas Camden was having severe economic difficulties. Camden also had the highest percent of its population below the poverty line in 1970. Although the economy in neighboring Philadelphia is better, transportation difficulties make it hard for the Camden WIN program to utilize this labor market.

In Massachusetts, the unemployment figures are high, and both sites are classified as having substantial unemployment. Both had large amount of poverty

according to the 1970 census. Both are old New England manufacturing and textile cities that have suffered extreme declines over the last few decades. Worcester, however, has had a dramatic decrease in unemployment in the last year, and it may be on the upswing as far as economic buoyancy is concerned. Lowell is still declining, however, and is the only site to record a decrease in its work force. It has the highest unemployment rate and is classified as an area of "persistent" unemployment by DoL. Lowell appears to be an unpromising place to operate a welfare work program.

If one were to roughly order the sites in terms of economic conditions conducive to a successful work program, the groupings would be - from better to worse - Monroe, Middlesex and Nassau, Worcester and Camden, and then Lowell. Unfortunately, only general economic indicators, such as aggregate unemployment rates, are available, and one cannot know what the employment outlook is for a specific population subgroup, the AFDC caseload, with its own characteristics, skills, and reasons for being unemployed or out of the labor force.

C. PARTICIPANT CHARACTERISTICS

It is interesting to note the differences, if any, among participants characteristics in the various sites. Table 4A summarizes the cumulative participant characteristics from July 1972 to April 1973. The data is taken from the MA 5-99 forms. Unfortunately, for each category (age, race, sex, education) the cumulative participant total is simply redivided a new way. It would be more interesting if, in addition to this, one could examine the age and sex and educational distributions of the component populations (white, Negro, Spanish-speaking), and the age and race and educational distributions of the male and female populations.

However, some conclusions can be drawn from the available data. The New Jersey sites have a much higher percentage of women in the program than the other sites, although in all sites the majority of participants are female. The Massa-

chusetts sites have the highest proportion of whites participating, while Camden has the highest proportion of blacks. Middlesex has the highest proportion of Spanish-speaking people in the program. In all sites, the great majority of participants are of age 22-44, with Middlesex having the highest percentage in this range. This reflects the fact that this age group would be the most employable, and the WIN II emphasis is on helping those most job ready. The Massachusetts sites have a larger proportion of participants under 22 than the other sites, while Camden has the largest proportion of people 45-54 years of age. One might expect that sites with the most participants in the 22-44 age group would have the most success in placements. One might also speculate that it is easier to place whites than it is Spanish-speaking people or blacks. Unfortunately, the sample is too small to really test these hypotheses. Concerning education, all sites have the greatest proportion of participants from the 8-11th grade educational class. Nassau, Middlesex and Lowell have fairly large proportions of participants with grade 12 or more.

It would be interesting to compare the participant characteristics with the registrant characteristic or the general AFDC population characteristics. Data is not available for the individual sites, however, Table 4B presents AFDC characteristics by state as of 1971, and some tentative comparisons can be made with the WIN participant characteristics. In almost all cases, the WIN program has a higher percentage of white participants than the state AFDC percentages of whites. The same seems to be true of proportional representation in the WIN program of Spanish-speaking clients - except in the New Jersey sites they are underrepresented. The age and educational distributions for AFDC women rather than men are presented, because the majority of WIN participants are female. The WIN age distributions are more spread out than the total AFDC age distributions, having a higher representation of young people in the WIN program. Concerning education, WIN chooses

the more highly educated, as a greater proportion of WIN participants have more than 8th grade education than is true of the general AFDC population. These comparisons are very tentative, however, in light of the aggregated data.

D. CUMULATIVE PROGRAM STATISTICS

Several tables have been prepared to indicate differences in program ratios, levels, and emphasis among the sites. The figures on cumulative registrants, participants, certifications, and so on, are taken from the MA 5-98 forms, and cover the period July 1, 1972 to June 30, 1973. The staff figures are as of July 1973. In many cases it is hard to make comparisons, since some double counting cannot be avoided in sorting out the flow of people, due to the reporting procedure. Other reservations about the data will be pointed out throughout the discussion. Unfortunately, one cannot derive a dynamic picture of the program from the ES statistics, since the numbers do not have name tags on them. If three people leave training, and three enter job entry, are they the same people? There is no way of knowing. There is no way to tell how long people remain in various components, or what exact progression through the program was carried out by each of the persons being deregistered or recycled. Therefore, the statistics are gross aggregates, and only tentative conclusions about program differences and program effectiveness can be reached.

Table 5 presents AFDC caseload, WIN slot, registration, and staff data and ratios. The percentage of the caseload registered ranged from 34% in Middlesex to 50% in Nassau and Lowell (Column 11). The number of registrants per slot ranged from 5.6 in the Massachusetts sites to 12.2 in Camden (Column 13). This same range is found in the AFDC caseload per slot figures (Column 7), with the Massachusetts sites having the lowest figure and Camden having the highest. The allocation of slots on the basis of caseload is obviously not equal. The figures on slots per welfare worker or per ES worker (Columns 9 and 10) show a much tighter range and more equal load among sites. Monroe, whose emphasis is on ES staff, has a very low

number of slots per welfare worker. In general, slots seem to be more closely related to staff than to caseload, and the slot to staff ratios are uniformly higher in ES than in welfare, with the exception of Monroe. In Column 15, when the full-time WIN staffs in ES and Welfare are added together and the slot/WIN staff ratio computed for the New York and New Jersey sites, Monroe, with the highest ratio, has one third more slots per staff than Nassau, which has the lowest ratio. This is a wider range than the slot/ES staff ratios exhibit, if Monroe is excluded.

It is difficult to sort out just what is implied by all of these ratios, and how performance can be related to the various parameters. Should we compare placements per AFDC caseload, or registrants, or participants, or slots, or staff, or costs? How are these six parameters interrelated? A high percentage of participants out of the AFDC caseload is not a fair measure of success if it is accomplished due to an exceptionally high staff/AFDC caseload ratio. Where do we start to determine a causal flow from one parameter to another? Presumably the AFDC caseload is determined independently of the welfare operation, by social and economic variables, although it could be argued that characteristics of the welfare operation may have some influence (size of grants, attitude of staff, strictness of Intake procedures, etc.) For example, the costs of Intake may partly be "caused" by the size of the caseload, and partly "affect" the size of the caseload; expensive Intake procedures, as in Monroe, may be due to stringent screening procedures which help keep the caseload down. However, for the moment we will ignore these influences and take the AFDC caseload to be an exogenous variable. Once one has the AFDC caseload, presumably a certain proportion are mandatory registrants for WIN. Thus, the registrant/AFDC caseload ratios may reflect one or all of the following:

1. Some basic average percentage of the AFDC population that is mandatory,
2. Efficiency of the WIN staffs in registering all mandatory clients, (This may be a function of Intake and IM WIN staff sizes and costs)
3. Effort on the part of welfare staff to solicit volunteers. (This is more an attitudinal factor than a size or cost factor)

Two important questions arise: how is the size of the WIN staff determined, and how are the number of slots determined? Participation levels would then be expected to be related to staff capacity. If slot and staff levels are consistently related, one would expect differences in costs/participant to reflect differences in efficiency (if every site had the same staff/slot or expected participant ratios). One would suspect that staff size is related to the size of the AFDC caseload (assuming some average percentage of AFDC clients are mandatory for WIN). However, this relationship does not hold, as shown in Table 5, and it is uncertain what the intervening factors are (budget constraints, state WIN priority, other political considerations). As for slot levels, these are presumably determined according to staff and to AFDC caseload. The slots/ES worker, slots/welfare worker, and slots/WIN staff total figures have a smaller range than the caseload/staff figures; however the variation is considerable, and the variation in caseload/slot ratios, even within states, is even greater. Once determined, the staff and slot levels are mutually reinforcing, for a decrease in slots would mean a decrease in staff, although the inverse might not be true. The implication for analysis of the program of this confusion of relationships among parameters is that it is difficult to compare sites on the basis of some sort of output per any one parameter, such as placements per slot, or per registrant, or per staff, or per dollar. This must be born in mind throughout the rest of the discussion.

Table 5, Column 12, shows the percentage of total registrants who are mandatory under WIN II. The figures reflect the emphasis discovered in the site interviews - Middlesex emphasizes volunteers, while Nassau emphasizes mandatory clients. The figures in Table 5, Column 10 also reflect the fact that New Jersey places greater priority on volunteers than do the other states. The figures for percentages of volunteers and mandatorics transferred out of the registrant's pool (an approximation for those made participants) show that in all the sites, volunteers

have a higher likelihood of becoming participants than do mandatories (Columns 2, 3).

Table 6, Column 4 indicates the percentage of registrants who have appraisal interviews. Camden, Nassau, and Middlesex have lower figures than Worcester, Lowell and Monroe. However, if one refers back to Table 5, it can be seen that these latter sites have relatively lower registrant to slot ratios, and so can handle a higher percentage of the registrants as participants.

There is some discrepancy between the certifications/registrants figures and the cumulative participants/registrants figures. The participants/registrants figures are uniformly higher, and it seems in most sites that the participant figure includes those for whom employability plans have been started, but who may fail to be certified, or be certified with a lag. In all sites except Camden, the participant totals are closer to the certification requested totals than to the certification granted totals. In Worcester, where the biggest discrepancy exists, certification is merely a formality, and active participation begins without it. In general, we know that different sites perform the certification process at different times, and have slightly different ways of categorizing people. The participant totals will be used in forming performance ratios, although certifications might just as well have been used. The relative results would not significantly differ.

Columns 6 and 7 show that there is a considerable loss of clients in the process of moving from appraisal to certification request to certification. These figures however, are underestimates of the percentages of certifications/certifications requested, and certifications/appraisals, because at any time the monthly statistics are collected there are outstanding appraisals and certification requests which may be acted upon at a later date. This again is the problem of trying to get a dynamic picture from static data.

Table 6, Column 8 shows the rate of participants to slots, and indicates that the number of participants during the period were between two and three times the number of slots (a proxy for number of participants at any one time). Monroe

performed best by processing a high number of participants/slot, while Nassau, Lowell and Middlesex performed least well. This was the case even though Nassau had the highest staff capacity and potential to handle more than the given slots. This result will be examined in more detail in the final section.

Table 6, Column 9 shows the participant/registrant ratios, and again Worcester and Lowell perform extremely well as a result of their low registrant/slot ratios. Camden's performance looks bad for the same reason - its high registrant/slot ratio.

Table 7 presents ratios for more specific aspects of program performance. Columns 1 and 2 show that Camden and Monroe had the highest proportions of participants enter job entry, while Monroe, Worcester and Lowell had the highest proportions of registrants enter job entry (reflecting somewhat their low registrants/slot ratios and ability to process a higher percentage of registrants than the other sites). It is becoming apparent that the use of slots or participants as a denominator is a better measure of performance than the use of registrants, since slots are related to staff and how many clients you can handle, whereas registrant totals are not related to staff totals. The best measure to use as a denominator would probably be a measure of total WIN staff, however this is not available for the Massachusetts sites. Therefore, participants is a satisfactory way to normalize performance of sites so that comparisons can be made. It should be pointed out that because Nassau has high staff/AFDC caseload, staff/registrants and staff/slots ratios, its performance is exaggerated by the use of participants as a denominator - it does not reflect Nassau's potential staff capacity.

When one looks at the figures for "entered skill and class"/participants, the emphasis on training held in the New Jersey sites and in Nassau is revealed. Monroe and Lowell, on the other hand, put very few people into training and classrooms. The figures may be inflated in terms of the number of people who received training since the same person may have progressed from one category to the other and would be double counted in the recording procedure.

The figures for completed job entry, in Columns 4, 5, and 9, include those who were recycled and those who were deregistered. Worcester and Nassau perform most poorly on the completed JE/participants ratio, although the total range is not that great. It is somewhat surprising that Camden and Lowell, which have the poorest labor market, have been so successful in job entry completions.

Table 7, Column 5 shows the percentage of those who entered job entry who completed it. Column 6 indicated the percentage of people who are transferred out of job entry (but not recycled due to completion) and who are put in another WIN category, perhaps the registrant's pool. The New Jersey sites have a very good completion rate, and Worcester, Monroe and Nassau do most poorly. Monroe puts many people into job entry (Column 2), but loses many of these people before completion (Column 4).

Columns 7 and 8 break the completed job entry category into those deregistered and those recycled. These figures are hard to interpret. It is probably true that a lot of the variation is due to differences in the client populations. New Jersey deals with more women, and they are usually recycled, not deregistered (the criteria are different for men and women). This might also partly explain the fact that the Massachusetts sites deregister more people than they recycle, since these sites have the highest percentages of male participants (see Participant Characteristics).

Columns 10, 11 and 12, in conjunction with Column 7 give the various ways people are terminated from WIN other than through completion of job entry, and Column 13 gives the cumulative terminations as a percentage of participants. It is interesting that Worcester, with its emphasis on mandatories and on men has the highest percentage of "left welfare for other reasons." The uniformity among the other sites on this criterion is interesting. The New Jersey sites, perhaps due to their careful screening process for WIN participation, have low termination rates.

E. PROGRAM COMPONENTS, JULY 31, 1972 AND APRIL 30, 1973

As one final comparative view of the WIN program in the six sites, Table 8 presents a snapshot picture of the program as of April 30, 1973. The data is from the MA 5-98 forms, reading the "on hand at end of month" column. In all sites except those in Massachusetts, participant totals are above the site slot levels (Column 2). The program totals are the sums of the participant totals and the registrant pools. Looking at the registrant pools, one sees that only Middlesex has a relatively low percentage of mandatory registrants, reflecting their emphasis on soliciting volunteers.

Column 5 indicates that Worcester has a high percentage of the program total actually participating, and Camden has a low percentage, a fact that is once again explained by the extreme positions these sites occupy on the registrant/slot ratio range (Table 5, Column 13).

Columns 6-21 give the proportions of participants and registrants in each of the program components, although we are most interested in the proportions of participants. The orientation figures (Column 6) are hard to interpret, since orientation differs greatly among sites. In New Jersey, it is a very active component, whereas in some other sites it is more of a holding category.

Lowell and Monroe have the lowest percentage in skill training (Column 8), as was the case in the cumulative picture of Table 7. The same is true of the classroom component, Column 10. The New Jersey sites, and Worcester have a large proportion of their participants in skill and class categories. Nassau appears to emphasize skill, but not class. Work experience is strongly used in Worcester, and not at all in Nassau (Column 12). OJT (Column 18) is also important in Worcester, and is not utilized at all in New Jersey. PSE (Column 20) is utilized only in Worcester. Camden and Monroe both have high percentages of participants in stop employment (seeking placement), and Middlesex has a low percentage in this category. This may reflect the comparative slot/ES worker ratios (Table 5, Column 10) where Middlesex

has the lowest staff per slot, and Monroe has the highest number of staff per slot, which means they can actively work with more clients finding employment.

The figures for Job Entry indicate that Worcester, Camden and Monroe have the highest proportions of participants in this category (Column 16), which is similar to the cumulative results (Table 7, Column 2). It also happens that these three sites have the highest ES staff/slot ratios, which means they can work more intensively with the clients.

Column 22 gives the residuals, or the proportion of participants not in one of the active components shown. Again, it is clear that the sites with the relatively larger ES staffs can actively work with more participants. Column 23 examines the participant/ES staff ratios, and shows that Middlesex and Nassau, with already very high slot/ES worker ratios, handle even more participants. The range in this ratio is greater than the range in the slot/ES ratio. The reason for this is not quite clear.

Table 9 gives a brief summary of the programs as of July 31, 1972, shortly after the WIN II program went into effect. In comparing the Table with Table 8, the changes in emphasis and performance that have occurred over the year of implementation become evident. Monroe has achieved a phenomenal increase in participants (Column 8), and Worcester has had the lowest. The year represented more transition and change for Monroe than for Worcester.

The change in emphasis from training to employment can be clearly seen in the New Jersey and New York sites. Worcester actually had less skill and class participation in July than in April. It seems that Lowell, Worcester and Monroe originally had the lowest emphasis on training, whereas now Nassau, Lowell and Monroe have the least emphasis on it. Camden and Middlesex have de-emphasized classroom education but have maintained their emphasis on skill training.

This proportion of participants in job entry has increased in Worcester, Middlesex, Camden and Nassau. Nassau and Middlesex have the lowest proportions

in job entry in both periods, as well as in the cumulative figures. The shift from training to employment can perhaps best be seen in Camden, which in July had few participants in job entry and many in training, and in April had the most participants in job entry of any site and only a moderate number in training.

F. SUMMARIES

At this point it would be useful to integrate the previous topics of discussion, and summarize what has been learned about the program structure, costs, and performance in the individual sites. Some of the previous figures are summarized in Table 10.

1. Worcester

Worcester has low caseload/slots, ES staff/slots, and registrants/slots ratios, and as a result is able to process a high percentage of the AFDC caseload and of the registrant's pool. It has a moderate participant/slot ratio, which measures turnover. This might be expected to be higher, given the ES staff/slot ratio, however, a relatively great emphasis on training, relatively low welfare support for the program (in terms of staff and costs) and a slow labor market probably all help to decrease the turnover rate. The Worcester WIN program emphasizes mandatories and males. It has quite good performance on placements, but does more poorly on completions of Job Entry, which may be related to the emphasis on mandatories who may be more reluctant participants, and to the lower level of welfare service support of the clients. In terms of costs, its ES costs/slots and costs/registrants are very high, while its welfare costs are low. Its total costs/slot and per participant are very low. Because the program is large relative to the size of the AFDC caseload, the costs/AFDC caseload are fairly high. When costs/completed JE are calculated, which is a proxy for completions per staff person, Worcester falls in the middle of the range.

2. Lowell

Lowell is a disastrous labor market, but performs quite well. It has low caseload/slots, high slots/ES worker, and low registrants/slots ratios. Welfare and ES costs per slot, per registrant, and per participant are low, which

is uncommon. Usually the site emphasizes one or the other department in terms of staffing and costs. Lowell, like Worcester, has a relatively large WIN program given the size of the caseload and of the staff. It has a high participants/registrants ratio as a result. However, it had a fairly low ratio of participants to slots, and a high percentage of clients in inactive components as of April 30, which may be due to the low ES staff per slot ratio. Although the costs per participant are low, performance on job placement is good, and it has the highest percentage of participants deregistered after completing job entry. Lowell has very low emphasis on training, and a fairly high emphasis on mandatories.

3. Middlesex

Middlesex has completely implemented the WIN II organizational structure, although it has a few variations that are unique to New Jersey and are seen by them to lead to more effective implementation of the program. The two main variations are the use of the separate BCS agency for handling child care, and the extensive screening process, including pre-JAT visits, which is carried out by the SAU. These processes should mean high quality welfare services to WIN clients, and a high quality of participants. The quality of services, and the attitudinal benefits that result from the individual attention clients receive in the screening process and in the extensive orientation program, are impossible to measure, and are not included in the statistical success criteria. Middlesex has a greater relative emphasis on the welfare side of the program than the ES side. The slots per welfare worker ratio is low, while the slots per ES worker ratio is very high. It has a high AFDC caseload/slots ratio, indicating a small WIN program in relation to the caseload. WIN registrants make up a relatively small percentage of the caseload, which is due to the existence of the AFWP program in New Jersey. Middlesex has the greatest emphasis on volunteers, and on women, and a very high emphasis on skill and classroom training. Although it had a low percentage of participants enter job entry, it had a high completion rate, which probably reflects the careful selection process, the quality

of services, and perhaps the long run affects of providing training. Most people who completed job entry were recycled but this is probably due to the fact that 95% of the participants were women. The middlesex low termination rate among participants is probably also due to the selection process. For this same reason, Middlesex is able to certify a large proportion of those who have appraisal interviews. In terms of costs, Middlesex has a very high welfare expenditures per slot and per participant, and low ES costs. Total costs per slot and per registrant are also high. The costs/completed JE ratio is also high, which indicates a low placement per staff rate. It is possible that the potential benefits of the high quality welfare operation are offset by the relatively small ES operation.

4. Camden

The structure of the WIN program in Camden is very similar to that of Middlesex (use of BCS, pre-JAT visits, relative emphasis on welfare, emphasis on women and on volunteers and existence of AFWP Program). However, Camden has slightly lower percentages of women and volunteers in the program, has a higher slots per welfare worker figure, and a lower slots per ES worker figures (indicating less of an imbalance between the two sides of the WIN operation). It has an even smaller program (defined by slot levels) in relation to the size of the AFDC caseload than does Middlesex, and in fact has the highest ratio of AFDC caseload to slots of any site. Because the Camden office manages to register a reasonably high percentage of the AFDC caseload, it has a very high registrants per slot figure, and actively involves only a small percentage of the registrants in WIN. Like Middlesex, Camden is able to certify a large percentage of clients who have appraisal interviews, owing to the careful screening process. Camden has a large emphasis on training, and a low turnover rate (participants/slots) which may be related to the fact that participants who get training stay in the WIN program longer. Camden, with its moderate staff to slots ratios, has a high placement rate and a high job entry completion rate: As in Middlesex, most of those who complete job entry are recycled, and termination is reached by only a low percent-

age of participants. In terms of costs, Camden has fairly high welfare costs per slot, and moderately high ES costs per slot. In the aggregate, Camden has moderate costs per slot compared with the other sites. Camden seems to have struck a better balance between welfare and ES emphasis than has Middlesex. Camden also has moderate costs/completed JE, which we have used as a proxy for placements per staff. Thus, the program is more expensive than the Massachusetts sites in relation to placements, but given the quality of the services received by clients, it may be more effective in ways not measured by straight aggregated placements.

5. Monroe

Monroe has a moderately large WIN program, given the size of the AFDC caseload, compared with the other sites (the New Jersey sites have the smallest programs). Monroe represents one extreme in terms of relative emphasis on ES or welfare. It has the highest number of slots per welfare worker of the New York and New Jersey sites, and has the lowest number of slots per ES worker of all the sites. It will be interesting to discern if this imbalance and emphasis on ES has any affect on the success of the program. Monroe has the greatest emphasis of all the sites on mandatory registrants. Monroe appraises a large percentage of its registrants, however it certifies a low percentage of those appraised. It has a high turnover rate (participants/slots) which is probably explained by its high ES staff/slots ratio which enables more individual contact, and by its very low emphasis on training. Of all the sites, Monroe places the lowest percentage of participants in training. A high percentage of registrants become participants in Monroe (second only to the Massachusetts sites), which is due to the large ES staff, high turnover rate, and moderate AFDC caseload/slots, registrants/caseload and registrants/slots ratios. Monroe places a large percentage of participants in job entry, although the figure is not large in relation to the size

of the ES staff, and the quality of the labor market. Monroe also has a surprisingly low job entry completion rate, which must reflect either the quality of the placements or the quality of the participants (emphasis on mandatoriness, low quality of welfare services, poor screening). Monroe also has a number of terminations for reasons other than employment. Concerning costs, Monroe has a high intake costs per registrant, due to the elaborate registration procedures that have been implemented. Welfare costs per slot and per registrant are very low, and ES costs per slot and per registrant are very high. Welfare services costs (welfare costs minus intake costs) are even lower in Monroe than in the Massachusetts sites. Total cost/completed job entry is quite low, which implies that placements per staff are high (aggregated welfare plus ES staff). However, placements per ES staff are probably relatively low.

6. Nassau

The picture of Nassau which emerges from the statistics is a difficult one to interpret. It has the largest program in relation to AFDC caseload (defined by the slot level) of all the New York and New Jersey sites (the Massachusetts sites have the largest programs). It places a great emphasis on the welfare side of the program, and has the lowest number of slots per full-time WIN welfare worker. Along with Middlesex, it has the highest number of slots per ES WIN worker. It registers the highest percentage of the AFDC caseload of any site, and has the highest percentage of mandatory registrants. It has an average ratio of registrants per slot, and in terms of total staff has low ratios of registrants and slots per staff. The stage seems to be set for a very successful program. However, it appraises a low percentage of registrants, and certifies only a moderate percentage of those appraised. The cumulative participants/registrants ratio is very low, which would reflect the low ES staff to slot ratio. The turnover rate among participants is also low, probably owing to the large number of participants to ES staff at any one time, and to the high emphasis on

training which maintains clients in the program longer. Nassau places a low percentage of participants in job entry, and has only a moderate completion rate. Most of those who complete job entry are recycled. It has a low termination rate among participants, which may be the result of careful screening and quality services which result from the great emphasis on welfare staff. It is hard to know how to explain the low placement rate in Nassau, although it may be a short term affect of the training emphasis, and is probably also related to the small ES staff. Nassau has the highest percentage of participants with at least a high school education, which one would expect would make placements easier. The nature of the jobs available in the local economy might explain this difficulty. In terms of costs, Nassau's program is extremely expensive. Welfare services and total welfare costs per registrant and per slot are the highest of all the sites. Only in intake does Nassau run a relatively cheap program. ES costs, however, are very low. Nassau's program, in terms of total costs, is the most expensive per slot, per registrant, and per participant of all the sites. Its costs per person completing job entry are twice as high as the next costly site, Middlesex, and its costs per entered job entry are also highest. In other words, Nassau has a very low placement rate per staff. One can only speculate that a welfare bureaucracy, such as exists in Nassau, is more expensive than it is effective, and that the imbalance in Nassau between welfare and ES staff is not beneficial to a successful WIN program.

G. SUMMARY OF PERFORMANCE AND COST INFORMATION

As part of the attempt to assess the impact of the variations in administrative structure and cost, a number of measures of performance and costs were used. Ratios were computed in the form of percentages and costs were used. Ratios were computed in the form of percentages and then compared between programs. In addition regressions were run on some measures in order to derive an estimate of how well

the program in a given location was doing compared with its expected performance.

1. Ranking of programs according to percent of registrants who completed Job Entry.

1. Lowell, Massachusetts and	6%
Monroe, New York	6%
3. Middlesex, New Jersey and	5%
Worcester, Massachusetts	5%
5. Camden, New Jersey and	4%
San Joaquin, California	4%
7. Nassau, New York and	3%
Stanislaus, California	3%

2. Ranking of programs according to percent of participants who completed Job Entry. This is probably a better measure of the performance of the program.

1. Camden, New Jersey	21%
2. Middlesex, New Jersey	19%
3. Monroe, New York	17%
4. Lowell, Massachusetts	16%
5. Worcester, Massachusetts and	13%
San Joaquin, California	13%
7. Nassau, New York	10%
8. Stanislaus, California	9%

3. Regression results for Completed Job Entries as a function of participants. The numbers reported as the differences between the expected number of CJEs given the number of participants in a program and the actual number of CJEs reported by the program for the year. (See explanation in Appendix to Chapter VII)

1. Camden, New Jersey	+31
2. Middlesex, New Jersey	+ 9
3. Monroe, New York	- 4
4. Lowell, Massachusetts	- 6
5. Worcester, Massachusetts	-26
6. San Joaquin, California	-67
7. Nassau, New York	-103
8. Stanislaus, California	-185

4. Ranking which combines the Completed Job Entry for Registrants and Participants (CJE/R + CJE/P).

1. Camden, New Jersey
2. Middlesex, New Jersey
3. Monroe, New York
4. Lowell, Massachusetts
5. Worcester, Massachusetts
6. San Joaquin, California
7. Nassau, New York
8. Stanislaus, California

5. Ranking of programs in terms of performance in keeping participants who Enter Job Entry on the job through Completed Job Entry.

1. Middlesex, New Jersey	59%
2. Camden, New Jersey	49%
3. Lowell, Massachusetts	47%
4. Monroe, New York and Nassau, New York	42%
6. Worcester, Massachusetts	40%
7. Stanislaus, California	39%
8. San Joaquin, California	36%

6. Ranking of programs according to the amount spent per participant (this excludes Nassau County because of its excessive cost and low performance and excludes the California programs because of lack of sufficient information to compute total administrative costs). The performance ranking is placed next to the cost ranking so that the correspondence can be easily noted. (The cost rankings run from high = 1 to low = 5)

1. Middlesex, New Jersey	2
2. Camden, New Jersey	1
3. Monroe, New York	3
4. Lowell, Massachusetts	4
5. Worcester, Massachusetts	5

7. Ranking of programs in terms of the total administrative costs per Completed Job Entry. The first column represents the total amount spent per CJE in each of the programs for which sufficient data was available. The second column represents the difference between the expected number of CJEs given the cost and the actual number of CJEs.

1. Monroe, New York	\$1,922	+16
2. Lowell, Massachusetts	\$2,014	+ 1
3. Camden, New Jersey	\$2,046	0
4. Worcester, Massachusetts	\$2,287	-11
5. Middlesex, New Jersey	\$2,440	-21
6. Nassau, New York	\$5,290	-241

H. CONCLUSIONS

It is harder to draw overall implications from the data than it is to draw conclusions about individual sites. Relationships among parameters that hold across sites can only be speculated upon, not rigorously tested, given the smallness of the sample. In lieu of a comprehensive explanation of what makes the WIN program work, some partial conclusions and implications from the cost and data investigation will be outlined.

1. Slots are more closely related to staff levels than to AFDC levels. There also seems to be a closer relationship between slots and ES staff than between slots and welfare staff, with the exception of Monroe.
2. Monroe has the greatest relative emphasis on the ES staff of all sites, and the least emphasis on welfare staff of the New York and New Jersey sites, as measured by both cost figures and slots/staff. Nassau has the highest relative emphasis on welfare staff, and the least on ES staff.
3. The Massachusetts sites have the lowest welfare costs, due to the lack of implementation of the WIN organizational structure. This does not seem to impede their performance, at least in terms of quantity of placements. We can say nothing definitive about quality of placements or services.
4. The New Jersey sites have the highest ratios of certifications to appraisal interviews, probably due to their extensive pre JAT screening (reflected in high welfare costs).
5. Participant turnover rate (cumulative participants per slot) seems to mainly depend on the relative size of the ES staff, and perhaps also on the emphasis on training.
6. The size (and cost) of the welfare operation seems to be less important than that of the Employment Service operation, at least as far as placements are concerned.
7. The gross local unemployment rates do not appear to reflect adequately the job market for WIN participants, particularly when male participants are involved.
8. In the one program which was most costly and bureaucratically elaborate, there appear to be diseconomies of scale since this program performed poorly in terms of nearly all measures of effectiveness.

This program had the largest welfare staff and most highly developed structure of supervision as well as the largest Separate Administrative Unit. However, the performance of this office was very poor in terms of all measures of effectiveness and its costs per placement amounted to 117% more expensive than the next most costly program. Although this program is most costly in terms of its employment service expenses, the major portion of this excessively high cost is the welfare department contribution.

9. Four percent of the registrants in all of the sites in this study completed job entry in fiscal year 1973. Thirteen percent of the participants in all of the programs in this study completed job entry.

10. Those programs in this study which placed highest emphasis on (a) volunteers, (b) supportive social services, (c) training, and (d) strong joint agency participation performed highest in terms of (a) the number of participants who completed job entry, (b) a combined measure of completed job entry for registrants and for participants, and (c) the percentage which completed job entry of those who entered job entry.

In the rankings of programs in terms of the three performance measures used, the New Jersey programs were significantly higher than the other programs. In Camden, 21% of the participants completed job entry, and in Middlesex the figure was 19%. This is even more impressive when it is noted that the New Jersey programs have very few male participants. Monroe and Lowell do moderately well on this measure with 17% and 16% respectively. In terms of the number of successful placements which would have been expected based on a regression equation, both Camden and Middlesex do better than would be expected. Monroe and Lowell performed about as well as expected.

Although it is impossible to factor out the significant variables which have resulted in these performance levels, it can be noted that the programs which

performed best in this sample of sites were those which emphasized (a) volunteers, (b) training, (c) supportive social services, and (d) strong welfare office as well as employment service participation in the program.

The ranking of the eight sites on performance in terms of the numbers who completed job entry is the following:

Camden, New Jersey
Middlesex, New Jersey
Monroe, New York
Lowell, Massachusetts
Worcester, Massachusetts
San Joaquin, California
Nassau, New York
Stanislaus, California

11. With the exception of one location, those sites which had competing work programs and elaborate employment-related procedures tended to do poorly on performance measures of effectiveness.

The states which have given priority to competing work programs and which have elaborate employment registration procedures, California and New York, appear to have greater difficulty in maintaining participants in those placements which are found. Both California programs had significantly fewer completed placements than would be expected, given the number of certified participants in those programs. Both programs also had less than 40% of those who entered job entry actually complete job entry; the other programs in the study all had 40% or better. It should also be noted that the California programs had a significant number of male participants which means that placement should have been somewhat easier (the labor market in those locations is not structured to favor women).

One of the New York programs did moderately well in performance and the other did very poorly. Since the program which performed poorly was also over bureaucratized and this was probably a very significant factor in its low rate of success, no conclusions can really be drawn from the experience of the programs in New York except to say that the emphasis in Monroe on a competent ES operation

meant that a reasonably good level of success was achieved.

12. Those programs which tended to have higher total administrative costs per participant had generally higher performance levels (if one county which did extremely poorly because of overadministration is excluded).

The New Jersey programs, which spent most per participant, performed best. Monroe, Lowell, and Worcester, in that order, had their rank on spending correspond to their rank in performance. The California programs were not included in this assessment because there was insufficient information on the total combined costs of those programs. Nassau was excluded because it was considered to be a special case where internal administrative factors resulted in this program having the highest cost and worst performance of all the sites (excluding those in California).

13. In terms of the total administrative cost per completed job entry, no definite indications emerge from the rankings of the programs as to the factors in their operations which affect the level of costs.

The ranking of the programs in terms of the total cost per completed job entry is the following:

Monroe, New York
Lowell, Massachusetts
Camden, New Jersey
Middlesex, New Jersey
Worcester, Massachusetts
Nassau, New York

There is some reason to believe that an inverse relationship exists between the number of male participants and the cost of placement. Both Monroe and Lowell have a significant number of male WIN participants. Although Camden and Middlesex have only a small number of males, Camden does have twice as many men in the program as Middlesex. The Worcester and Nassau programs tended to be least effective of these six programs which may be part of the reason why they have both large numbers of males and high costs per completed placement. It should

also be noted that Monroe had not only the lowest unemployment rate but also the most rapidly declining rate of any of the locations in this study - this means that a large number of jobs were being opened or reopened during this year, which might dampen the cost per placement.

APPENDIX TO CHAPTER VII

TABLES AND GRAPHS

TABLE I

TIME COST PER YEAR IN WELFARE OFFICES

	<u>INTAKE</u> #Super- visors %Time	<u>INTAKE</u> #Workers %Time	<u>INTAKE</u> #Welfare Aides %Time	<u>INTAKE</u> #Clerks %Time	<u>INTAKE</u> Approx- imate Cost	<u>SAU</u> #Super- visors	<u>SAU</u> #Workers	<u>SAU</u> #Clerks	<u>SAU</u> #Aides	<u>SAU</u> Approx- imate Cost
WORCESTER	2 10	9 10%		6 10%	\$14,600					
LOWELL	2 3%	9 6%		2 6%	6,420	WIN Coord. 33% Time				WIN Coord. \$4,667
MIDDLESEX	2 5%		13 30%	1 30%	26,178	1	4	1	1	51,483
CAMDEN	2 3%		13 5%	4 5%	5,400	1	4	2		55,500
MONROE	8 20%	45 15%		7 15%	82,915	2	4	3	2	110,500 (85,000 ^a)
NASSAU	2 12.5%	12 12.5%		2 12.5%	16,900	6	25	7	4	402,000
Column	1	2	3	4	5	6	7	8	9	10

*See footnote at end of tables

TABLE I

TIME COST PER YEAR IN WELFARE OFFICES

	<u>IM</u> #Super- visors %Time	<u>IM</u> #Workers %Time	<u>IM</u> #Welfare Aides %Time	<u>IM</u> #Clerks %Time	<u>IM</u> Approx- imate Cost	<u>JAT</u> #Staff	<u>JAT</u> Approx- imate Cost
WORCESTER							
LOWELL							
MIDDLESEX	4 12.5%		32 25%	4 25%	\$58,312		
CAMDEN	1 100%		4 100%	2 100%	43,000		
MONROE		40 6%			24,960 (19,200 b)		
NASSAU		12 50%		2 Control 100%	68,000	10	\$101,200

Column

11

12

13

14

15

16

17

*See footnote at end of tables

TABLE I

TIME COST PER YEAR IN WELFARE OFFICES

	<u>AFDC</u> #Super- visors %Time	<u>AFDC</u> #Workers %Time	<u>AFDC</u> #Clerks %Time	<u>AFDC</u> Approx- imate Cost	<u>BCS</u> #Super- visors	<u>BCS</u> #Workers + Aides	<u>BCS</u> #Clerks	<u>BCS</u> Approx- imate Cost	<u>TOTAL</u> Approx- imate Cost
WORCESTER	7 20%	30	10	\$74,200					\$88,800
LOWELL	4 20%	32 20%		68,000					79,087
MIDDLESEX					1	6	1	\$60,500	196,473
CAMDEN					1	10		81,100	185,000
MONROE									218,375 (187,115 c)
NASSAU									588,100

Column

18

19

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*See footnote at end of tables

FOOTNOTES

- (a) The bracketed number is the actual estimate, but is considered not reflective of actual service costs. The unbracketed figure, which increases the estimate by 30%, will be used in calculating total costs. This weighting derives from the fact that other parts of the welfare office provide services to many WIN participants.
- (b) The bracketed figure is the actual estimate, but because it is unreasonably low, it was increased by 30%, and this unbracketed figure will be used in calculating total costs.
- (c) The unbracketed figure includes the 30% increase in the IM and SAU cost estimates, and will be used in calculating total costs.

TABLE 2

COSTS OF PROGRAM OPERATIONS

	SAU Staff	JAT + SAU Staff	JAT + SAU + BCS	SAU + BCS + JAT Costs	SLOTS	CUM REG. Fiscal Year 1973	SAU + BCS + JAT Costs/Slot	SAU + BCS + JAT Costs/Reg
WORCESTER					300	1,689		
LOWELL					225	1,261		
MIDDLESEX	7	7	15	\$111,983	230	2,014	\$486	\$56
CAMDEN	7	7	18	136,600	345	4,198	396	33
MONROE	11	11	11	110,500	500	4,194	170	26
NASSAU	42	52	52	503,200	700	5,697	719	88

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TABLE 2

COSTS OF PROGRAM OPERATIONS

	<u>IM Costs</u> Slot	<u>IM Costs</u> Reg	<u>INTAKE COST</u> Reg	\$ SAU+IM +JAT+BCS or \$ AFDC	<u>WELFARE</u> SVCS. <u>Costs</u> Reg	<u>WELFARE</u> SVCS. <u>Cost</u> Slot	<u>TOTAL EST.</u> <u>WELFARE</u> <u>Costs</u> Slot	<u>TOTAL EST.</u> <u>WELFARE</u> <u>Cost</u> Reg
WORCESTER			9	\$74,200	\$44	\$247	\$296	\$53
LOWELL			5	72,667	58	322	351	63
MIDDLESEX	\$254	29	13	170,295	85	740	854	98
CAMDEN	125	10	1	179,600	43	520	536	44
MONROE	50	6	20	130,250	31	261	437	52
NASSAU	97	12	3	571,200	100	816	818	103
Column	9	10	11	12	13	14	15	16

TABLE 2

COSTS OF PROGRAM OPERATIONS

	# ES STAFF	EST. ES Cost @ \$9,000/Person	EST. ES Cost/Slot	EST. ES Cost/Reg	EST. Total STAFF Cost (Welfare + ES)	TOTAL EST. Cost (Welfare + ES)/Slot	TOTAL EST. Cost (Welfare + ES)/Reg	TOTAL EST. Cost (Welfare + ES)/Part
WORCESTER	13	\$117,000	\$390	\$69	\$205,800	\$686	\$122	\$304
LOWELL	8	72,000	320	57	151,087	671	120	318
MIDDLESEX	8	72,000	313	36	268,473	1,167	133	455
CAMDEN	14	126,000	365	30	311,000	901	74	438
MONROE	30	270,000	540	64	488,165	976	116	323
NASSAU	24	216,000	309	38	804,100	1,149	141	539
Column	17	18	19	20	21	22	23	24

TABLE 2

COSTS OF PROGRAM OPERATIONS

	WELFARE Cost /AFDC	ES Cost/AFDC	TOTAL Cost/AFDC	SAU+ JAT+ BCS Cost/Total Welfare Cost	IM/Total Welfare Cost	WELFARE SVCS Cost/Total Welfare Cost	INTAKE Cost/Total Welfare Cost
WORCESTER	\$23	\$31	\$54			84%	16%
LOWELL	32	29	60			92%	8%
MIDDLESEX	33	12	45	57%	30%	87%	13%
CAMDEN	16	11	26	74%	23%	97%	3%
MONROE	22	27	49	51	11%	60%	38%
NASSAU	52	19	73	86%	11%	97%	3%

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TABLE 3

UNEMPLOYMENT AND LABOR FORCE CHARACTERISTICS *

	DOL Unempl. Classifi- cation **	Change in Work Force, March '72 - March '73	Unempl. Rate March '73	Unempl. Rate March '72	Change in Unempl. Rate March '72 - March '73	1970 Census Unempl. Rate	1970 Census % Below Pov. Level	% Of Empl. in Manufacturing
WORCESTER	D	+ 7%	6.1	8.2	26% ↓	3.9%	10.4%	30%
LOWELL	E	- 5%	10.4	12.2	15% ↓	4.3%	11.6%	39%
MIDDLESEX	C	+ 2%	5.8	6.3	8% ↓	3.9%	9.6%	35%
CAMDEN	C	+ 1%	5.3	5.9	10% ↓	6.2%	16.1%	31.1%
MONROE	C	+ 1%	3.7	4.8	23% ↓	4.3%	8.9%	38.5%
NASSAU	C	+ 6%	5.5	6.5	15% ↓	2%	2.3%	21.3%
Column	1	2	3	4	5	6	7	8

** C- Moderate unemployment 3% - 5.9%
 D- Substantial unemployment 6% - 8.9%
 E- Substantial unemployment 9% - 11.9%

*SOURCES: (1) Columns 1 - 5
 Area Trends in Employment and
 Unemployment, May 1973 DOL
 (2) Columns 6 - 8
 1970 Census

TABLE 4A

PARTICIPANT CHARACTERISTICS JULY 1972 - APRIL 1973

	Cumulative Participants	SEX		RACE		% Spanish Speaking	AGE				EDUCATION			
		% M	% F	% W	% N		21 or Under	22-44	45-54	55-64	7th Grade	8-11 Years	12th Grade	Over 12 Years
WORCESTER	585	35%	65%	90%	9%	6%	20%	70%	9%	1%	11%	52%	31%	6%
LOWELL	399	27%	73%	95%	5%	3%	17%	73%	8%	1%	6.5%	50%	37%	7%
MIDDLESEX	492	5%	95%	57%	43%	16%	9%	85%	6%	.6%	8.7%	49%	38%	4%
CAMDEN	611	11%	89%	36%	62%	9%	9%	78%	12%	.2%	8.5%	59%	30%	3.6%
MONROE	1240	25%	75%	50%	49%	8%	14%	75%	10%	1%	14%	58%	24%	4%
NASSAU	1201	25%	75%	45%	54%	6%	9%	81%	9%	1%	7%	41%	43%	9%

Column 1 2 3 4 5 6 7 8 9 10 11 12

TABLE 4B

AFDC POPULATION CHARACTERISTICS, 1971

	RACE		SPANISH SPEAKING	AGE OF WOMEN				EDUCATION OF WOMEN			
	W	N		← 20	20-44	44-54	55-64	← 7	8-11	12	
MASSACHUSETTS	75%	22%	7%	4%	81.5%	9.4%	1.7%	9.4%	48.1%	25.9%	5.1%
NEW JERSEY	45%	51%	15%	6%	82%	8.6%	1.2%	12.5%	46.5%	20.1%	2.3%
NEW YORK	39%	44%	34%	4.6%	82%	7.7%	1.2%	14.5%	40.0%	19.4%	2.6%

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TABLE 5

OFFICE AND PROGRAM DATA

	AFDC Caseload	SLOTS	AVERAGE Partici- pation (July-April)	WELFARE Staff (SAU+BCS +JAT)	ES Staff	CUMULA- TIVE Registrants Fiscal Year '73	AFDC Caseload Slot	AFDC Caseload Welfare Staff
WORCESTER	3,800	300	281		13	1,689	13	
LOWELL	2,500	225	150		8	1,261	11	
MIDDLESEX	6,000	230	245	15	8	2,014	26	400
CAMDEN	11,900	345	298	18	14	4,198	34	661
MONROE	10,000	500	493	11	30	4,194	20	909
NASSAU	11,300	700	647	52	24	5,697	16	217

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TABLE 5

OFFICE AND PROGRAM DATA

	SLOTS per Welfare Worker	SLOTS per ES Worker	REGISTRANTS AFDC Caseload	MANDATORY Registrants Total Regis- trants	REGISTRANTS Slot	REGISTRANTS WIN Staff (ES+Welfare)	SLOTS WIN Staff (ES+Welfare)
WORCESTER		23	44%	80%	5.6		
LOWELL		28	50%	77%	5.6		
MIDDLESEX	15	29	34%	60%	8.8	88	10
CAMDEN	19	25	35%	83%	12.2	131	11
MONROE	45	16	42%	80%	8.4	102	12
NASSAU	13	29	50%	85%	8.1	75	9

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TABLE 6

PROGRAM PERFORMANCE
REGISTRANT POOL - PARTICIPATION
FISCAL YEAR 1973

	Trans. Out of Reg. Pool Cum.Reg.a	% of Tot. Mand.Reg. Trans. Out of Reg.Pool a	% of Tot. Vol.Reg. Trans. Out of Reg.Pool a	Apprais- al Inter- view Reg.	Certifi- cation Reg.	Certifi- cation Certifi- cation Request- ed	Certifi- cation Apprais- al Inter- view	Cum.Par- ticipants Slots	Cum.Par- ticipants Reg.	% of Transfers from Reg. Pool who are Man- datory a
WORCESTER	45%	38%	55%	48%	18%	59%	49%	2.3	40%	71%
LOWELL	37%	30%	48%	59%	28%	76% a	47%	2.1	38%	68%
MIDDLESEX	28%	23%	31%	37%	28%	80%	59%	2.6	29%	52%
CAMDEN	16%	11%	37%	34%	17%	81%	51%	2.1	17%	61%
MONROE	33%	29%	30%	68%	26%	71%	37%	3	36%	78%
NASSAU	23%	18%	47%	44%	18%	70%	41%	2.1	26%	71%
Column	1	2	3	4	5	6	7	8	9	10

a. Information for these categories is based on statistics from July 1972 to April 1973, rather than on the whole fiscal year.

TABLE 7

PROGRAM PERFORMANCE
JOB ENTRY - TERMINATION

FISCAL YEAR 1973

	Ent- ered JE Reg.	Ent- ered JE Part.	Ent- ered Skill and Class Part. a	Comp. JE Part.	Comp. JE Ent- ered JE	Trans from JE (not re- cycled) Ent. JE a	Comp. JE Dereg. Part.	Comp. JE Re- cycled Part.	Comp. JE Reg.	Refu- sals Part. a	Exemp Part. a	Left Wel- fare other Part. a	Cum. % Termi- nations Part. a
WORCESTER	13%	33%	40%	13%	40%	21%	10%	4%	5%	1%	6%	13%	29%
LOWELL	13%	34%	22%	16%	46.6%	15%	10.5%	5%	6%		6%	3%	21%
MIDDLESEX	9%	31%	50%	19%	59%	9%	3%	16%	5%		4%	3%	9%
CAMDEN	7%	44%	50%	21%	49%	9%	.1%	21%	4%	1%	8%	3%	14%
MONROE	14%	40%	12%	17%	42%	26%	6%	8%	6%	4%	8%	3%	17.4%
NASSAU	6%	24%	54%	10%	42%	13%	4%	6%	3%	3%	4%	5%	13.3%
Column	1	2	3	4	5	6	7	8	9	10	11	12	13

a. Information for these categories is based on statistics from July 1972 to April 1973, rather than on the whole fiscal year.

TABLE 8

COMPARATIVE DATA ON WIN II PROGRAMFROM MA 5-98 FORMS OF APRIL 1973

	Pro- gram Tot.	Parti- cipant Tot.	Regis- trant Pool	Manda- tory Tot.Reg. Pool	Parti- cipant Pro- gram Tot.	Orien- tation Part. Tot.	Orien- tation Pro - gram Tot.	Skill Trng. Part. Tot.	Skill Trng. Pro- gram Tot.	Class- room Part. Tot.	Class- room Pro- gram Tot.
WORCESTER	926	293	633	85%	32%	6.5%	2%	27%	8.5%	15%	1.6%
LOWELL	762	217	545	82%	28%	11.5%	3.2%	10%	3%	1%	.2%
MIDDLESEX	1648	298	1350	63%	18%	5%	1%	21%	4%	14%	2.6%
CAMDEN	3704	376	3328	89%	10%	9.5%	1%	11.7%	1.2%	18%	2%
MONROE	3204	605	2599	80%	19%	7%	1.3%	5%	1%	1%	.2%
NASSAU	4848	872	3976	91%	18%			22%	4%	5%	.1%

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TABLE 8

COMPARATIVE DATA ON WIN II PROGRAM
FROM MA 5-98 FORMS OF APRIL 1973

	<u>Work</u> <u>Exper-</u> <u>ience</u> <u>Part.</u> <u>Tot.</u>	<u>Work</u> <u>Exper-</u> <u>ience</u> <u>Prog.</u> <u>Tot.</u>	<u>Stop</u> <u>Employ-</u> <u>ment</u> <u>Part.</u> <u>Tot.</u>	<u>Stop</u> <u>Employ-</u> <u>ment</u> <u>Prog.</u> <u>Tot.</u>	<u>Job</u> <u>Entry</u> <u>Part.</u> <u>Tot.</u>	<u>Job</u> <u>Entry</u> <u>Prog.</u> <u>Tot.</u>	<u>O-J-T</u> <u>Part.</u> <u>Tot.</u>	<u>O-J-T</u> <u>Prog.</u> <u>Tot.</u>	<u>P-S-E</u> <u>Part.</u> <u>Tot.</u>	<u>P-S-E</u> <u>Prog.</u> <u>Tot.</u>	<u>Other</u> <u>(Residual)</u> <u>Part.</u> <u>Tot.</u>	<u>Part.</u> <u>ES</u> <u>Staff</u>
WORCESTER	8.5%	2.7%	6.8%	2.1%	22%	7%	9%	3%	2%	.6%	3.2%	23
LOWELL	1.3%	.4%	11.5%	3.2%	16.6%	4.7%	4%	1.2%			44%	27
MIDDLESEX	3.7%	.6%	4.7%	.8%	12.7%	2.3%					39%	37
CAMDEN	3%	.3%	18%	1.8%	31%	3.1%					9%	27
MONROE	3%	.6%	31%	5.8%	23%	4.4%	5%	1%			25%	20
NASSAU			12%	.2%	12%	.2%	3.5%	.6%			45%	36

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TABLE 9

COMPARATIVE DATA ON WIN PROGRAMAS OF JULY 31, 1972

	Partici- pant Totals	% Increase in Partici- pants from July '72 - April '73	Orienta- tion Partici- pants	Skill Parti- cipant	Class Parti- cipant	WE Parti- cipant	QJT Parti- cipant	JE Parti- cipant
WORCESTER	240	+ 22%	5.4%	19%	7%	4%	1%	20%
LOWELL	140	+ 55%	25%	8%	1.4%	1.4%		26%
MIDDLESEX	216	+ 38%	5%	24%	26%	.5%		8%
CAMDEN	269	+ 40%	6%	12%	40%	6%		13%
MONROE	194	+211%	4%	19%	5%	14%		29%
NASSAU	551	+ 58%	7%	38%	24%	2%		3%

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TABLE 10
SUMMARY PERFORMANCE RATIOS

FISCAL YEAR 1973

	Comp. JE Part.	Comp. Ent. JE	Wel. Cost Slot	ES Cost Slot	Tot. Cost Part.	Comp. JE Reg.	Reg. WIN Staff	Slots WIN Staff	% of Part. Mand. a	Ent. JE Part.	Ent. JE Reg.	Cum. Part. Slots	Unemp. Charac.	Cost Comp. JE	Cost Ent. JE
WORCESTER	13%	40%	\$296	\$390	\$304	5%			71%	33%	13%	2.3	D	2,287	910
LOWELL	16%	46.6%	351	320	318	6%			68%	34%	13%	2.1	E	2,014	938
MIDDLESEX	19%	59%	854	313	455	5%	88	10	52%	31%	9%	2.6	C	2,440	1,451
CAMDEN	21%	49%	536	365	438	4%	131	11	61%	44%	7%	2.1	D	2,046	997
MONROE	17%	42%	437	540	323	6%	102	12	78%	40%	14%	3	C	1,922	812
NASSAU	10%	42%	818	309	539	3%	75	9	71%	24%	6%	2.1	C	5,290	2,240

Column 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

TABLE 11

CALIFORNIA PROGRAM DATAFISCAL YEAR, 1973

	CUMULATIVE REGISTRANTS	% REGISTRANTS Who Are Manda- tory	APPRAISAL INTERVIEWS	CERTIFICATIONS Requested	CERTIFICATIONS Granted	<u>CERTIFICATIONS</u> REGISTRANTS
CALIFORNIA	280,991	96%	67,207	137,035	106,450	38%
SAN JOAQUIN	5,329	92%	525	2,478	1,626	31%
STANISLAUS	5,865	98%	1,153	3,849	2,185	37%
Column	1	2	3	4	5	6

TABLE 12

SUMMARY OF CALIFORNIA PERFORMANCE RATIOSFISCAL YEAR, 1973

	Entered Job Entry Reg.	Completed Job Entry Reg.	Entered Job Entry Cert.	Completed Job Entry Cert.	Completed Job Entry Entered Job Entry	Entered Skill Cert.	Entered Class Cert.	Entered OJT Cert.
CALIFORNIA	9%	3.9%	23%	10%	44%	9%	2%	4%
SAN JOAQUIN	11%	4%	36%	13%	36%	12%	3%	5%
STANISLAUS	8%	3.2%	22%	8.6%	39%	9%	2%	10%
Column	1	2	3	4	5	6	7	8

TABLE 13

SUMMARY OF PERFORMANCE RATIOS AND COSTS

	Regis- trants	Partic- ipants	Part. Reg.	Entered Job Entry	Comp. Job Entry	Ent. JE R	Ent. JE P	CJE R	CJE P	CJE EJE	Tot. Cost Reg.	Tot. Cost Part.	Tot. Cost Ent. JE	Tot. Cost Comp. JE
LOWELL	1,261	475	38%	161	75	13%	34%	6%	16%	46.6%	\$120	\$318	\$938	\$2,014
WORCESTER	1,689	676	40%	226	90	13%	33%	5%	13%	40%	122	304	910	2,287
CAMDEN	4,198	710	17%	312	152	7%	44%	4%	21%	49%	74	438	997	2,046
MIDDLESEX	2,014	590	29%	185	110	9%	31%	5%	19%	59%	133	455	1,451	2,440
MONROE	4,194	1,510	36%	601	254	14%	40%	6%	17%	42%	116	323	812	1,922
NASSAU	5,697	1,491	26%	359	152	6%	24%	3%	10%	42%	141	539	2,240	5,290
SAN JOAQUIN	5,329	1,626	30%	591	211	11%	36%	4%	13%	36%				
STANISLAUS	5,865	2,185	37%	489	189	8%	22%	3%	9%	39%				

Column 1 2 3 4 5 6 7 8 9 10 11 12 13 14

"Reference Line" Diagrams

Two questions are addressed by the reference line diagrams. Is there any relationship between the number of WIN II participants and the number of completed job entries in a given site and is there any relationship between total administrative costs and CJE's? Diagrams 1 and 2 computed from data on Lowell, Middlesex, Worcester, Camden, and Monroe use a simple linear regression technique to derive a "reference line" with which to answer these questions.* The "reference lines" are fit according to the simple equations:

$$\text{CJE} = b_1 \text{ Participants}$$

$$\text{Total Administrative Costs} = b_2 \text{ CJE}$$

The coefficient b_1 which gives the "slope" of the reference line indicates the average relationship between the number of participants in the WIN II program and the number of CJE's for the five sites names above. The coefficient b_2 indicates the average relationship between program costs and CJE's. According to the first equation, on average across the sites approximately 17 percent of WIN II participants found jobs and remained on them for at least ninety days, the definition of a CJE. The second equation indicates that each successful CJE cost approximately \$2,048 in total administrative expenses. For the five sites, the relationship between participants and total costs on the one hand and CJE's on the other is generally very close. This can be seen in the diagrams as each of these five sites does not lie very far from the reference line.** In terms of the CJE/Participants relationship, Camden and Middlesex seem to perform slightly better than average while Lowell, Worcester, and Monroe perform just slightly less well than the hypothetical average site. Using the first equation we would predict that an "average" site with 710 WIN II participants would have 121 CJE's. This is what the "reference line" tells us. We know that Camden did better than this because with 710 participants it actually placed 152 CJE's, thirty-one more than expected. In percentage

terms, Camden had nearly 26 percent more CJE's than a hypothetical average site of its participant size. Middlesex had nine more CJE's than expected, an improvement of 8.9 percent over the hypothetical average. Monroe was almost the perfect average having 254 CJE's when the reference line would have predicted 258, only four more. Lowell was six CJE's below its expected value or -7.4 percent. Worcester had an expected CJE placement rate of 116 but placed only 90, about 22 percent below the expected value. Nevertheless, given the tight fit, the differences from the reference line can be considered minor.

After computing the reference line on the basis of the initial five sites, data points for Nassau and the two California sites were added to Diagram 1. As can readily be seen, these three sites had a considerably lower CJE/Participant ratios. Assuming that the reference line indicates the average expected performance on this criterion, Nassau's CJE rate is 40 percent below what might be expected. San Joaquin placed 24 percent fewer CJE's than expected while Stanislaus placed only about half (49 percent) as many participants as would a hypothetical average site of its participant size.

The relationship between total administrative costs and CJE's for the initial five sites is even closer than the relationship between participants and CJE's. *** All five sites lie very close to the reference line with little variation. Monroe, which performs best on this criterion, spent 6.1 percent less in placing its 254 CJE's than the hypothetical average site given by the reference line in Diagram 2. Lowell spent 1.6 percent less than expected while Camden spent exactly what a hypothetical average site would have in placing 152 CJE's. Worcester and Middlesex spent more than the average, 11.7 and 19.2 percent more respectively. Superimposed on the reference line is Nassau County. Based on the hypothetical average set by the initial five sites, Nassau spent over 150 percent more on placing its CJE's. The expected cost for placing 152 CJE's according to the reference line is \$311,220. Nassau spent \$804,100 to place this many.

The solid reference lines were drawn on the basis of the initial five sites because the general relationship between participants and CJE's and total costs and CJE's were generally constant. Such constancy in the relationship provides evidence that the structure and performance of these sites is similar. The large divergence from the solid reference lines indicated by Nassau in Diagram 2 and by Nassau and Stanislaus in Diagram 1 is evidence of significantly different structure and/or performance.

The broken reference lines in both diagrams represent the "average" relationships that would exist if all of the sites in each diagram are contained in the equations from which the reference lines are developed. **** These lines do not fit anywhere near as well as the initial reference lines because of the basically different structural and performance characteristics of the added sites. Nevertheless the new reference lines yield the same relative ranking of sites as the initial analysis. The only difference is the absolute and percentage divergence from the reference line. This should make it clear that the reference line is only a relative concept and that the rankings of sites which come out of this analysis are only relative among themselves.

* The regression technique used to fit the "reference lines" is ordinary least squares with the regression line constrained to pass through the origin. The zero intercept is consistent with the fact that there can be no WIN II placements without participants and that there can be no CJE's when total costs are zero.

** The first regression is:

$$\text{CJE} = .1711 \text{ Participants} \quad \bar{R}^2 = .916 \\ (16.07)$$

The second regression is:

$$\text{Total Administrative Costs} = 2.048 \text{ CJE} \quad \bar{R}^2 = .961 \\ (23.72)$$

The numbers in parentheses are t-statistics. The high corrected R^2 s indicate a close fit between the factors in the analysis.

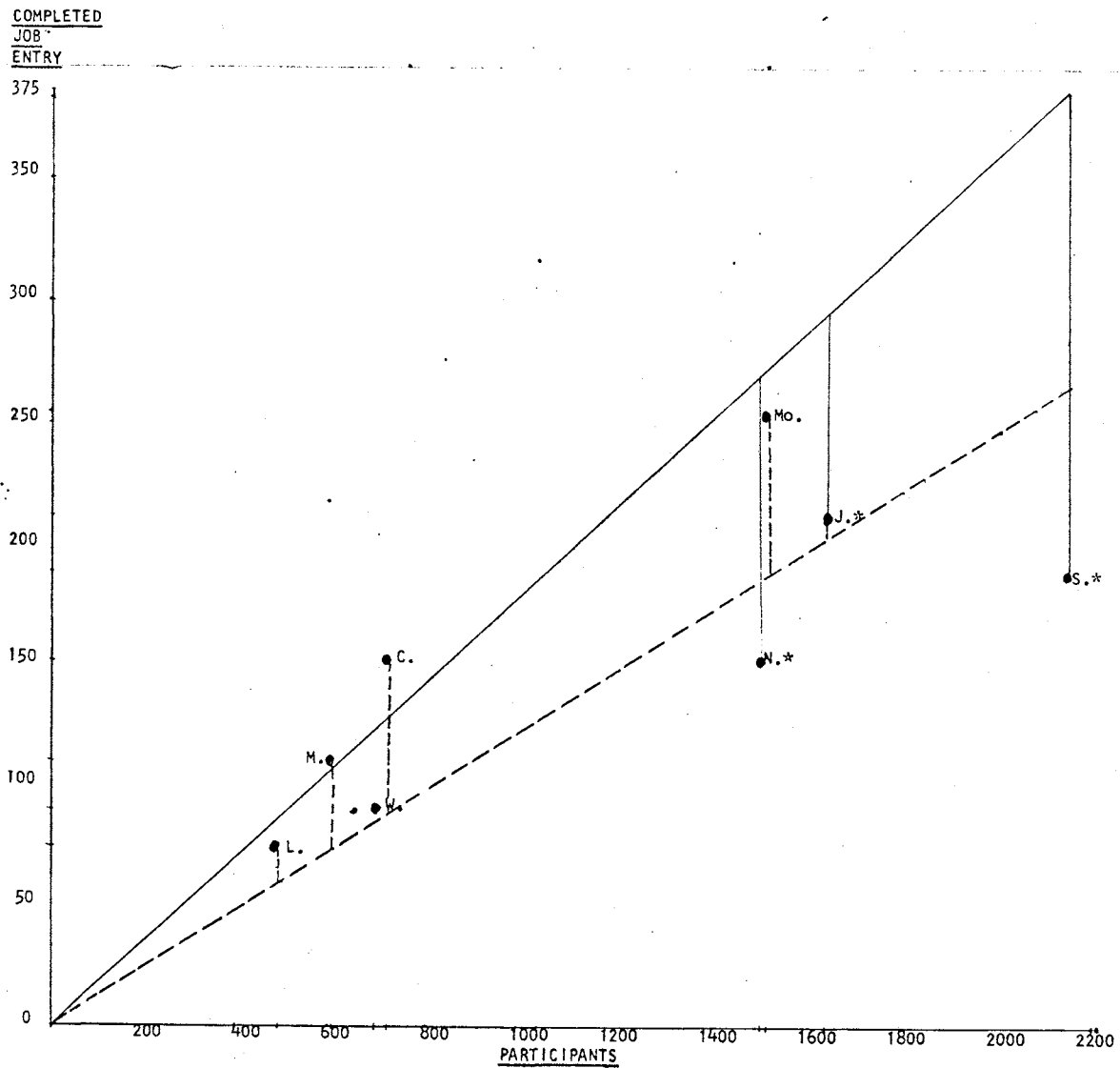
*** This is indicated by the even higher \bar{R}^2 in the second equation.

**** The regressions for the broken reference lines are:

$$\text{CJE} = .1215 \text{ Participants} \quad \bar{R}^2 = .327 \\ (8.79)$$

$$\text{Total Administrative Costs} = 3.171 \text{ CJE} \quad R^2 = .000 \\ (5.16)$$

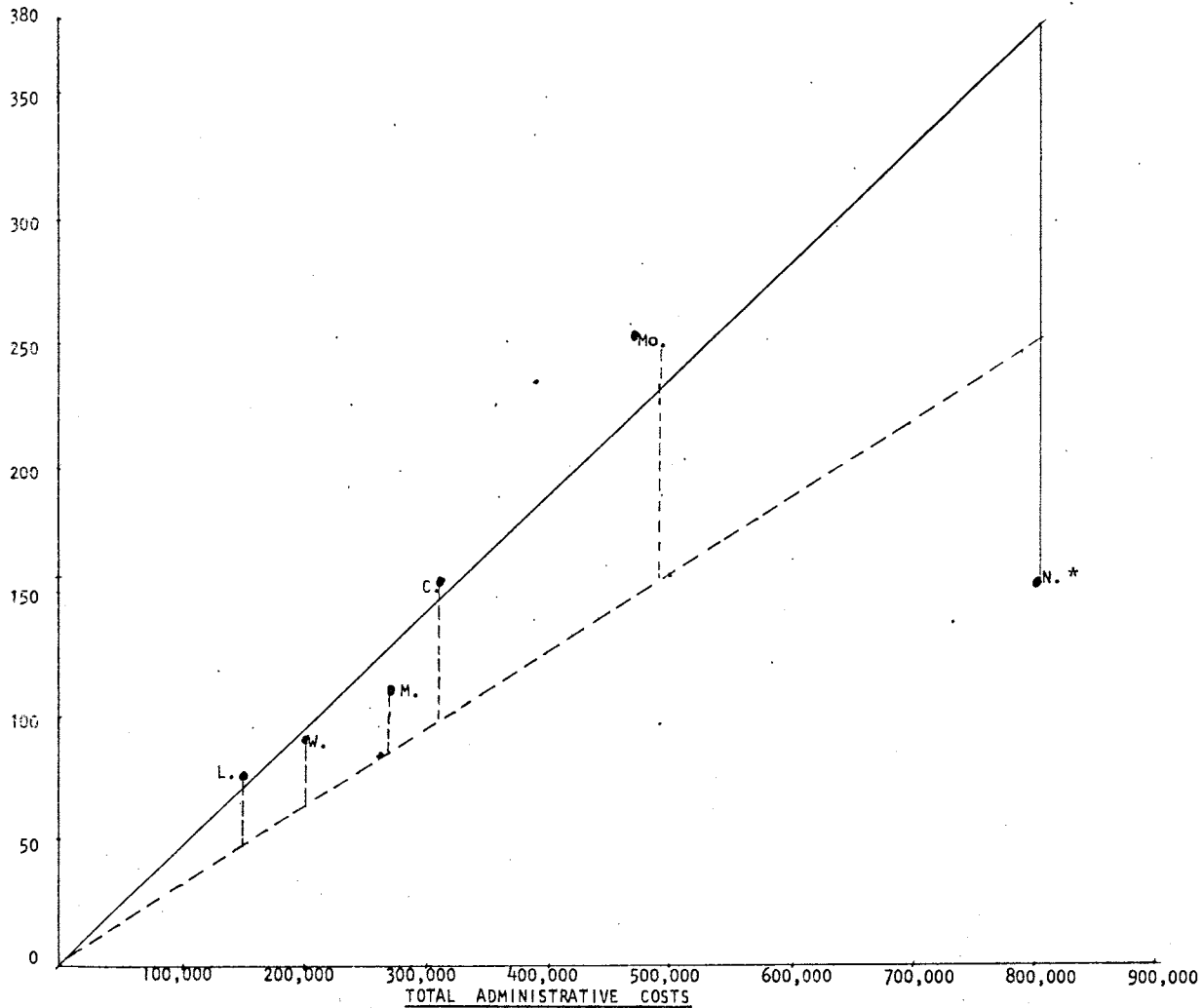
REFERENCE LINE DIAGRAM ON THE RELATIONSHIP BETWEEN COMPLETED JOB ENTRY AND PARTICIPANTS



L. = Lowell
M. = Middlesex
W. = Worcester
C. = Camden
N. = Nassau
Mo. = Monroe
J. = San Joaquin
S. = Stanislaus

REFERENCE LINE DIAGRAM ON THE RELATIONSHIP BETWEEN
COMPLETED JOB ENTRY AND TOTAL ADMINISTRATIVE COSTS

COMPLETED
JOB
ENTRY



L. = Lowell
W. = Worcester
M. = Middlesex
C. = Camden
Mo. = Monroe
N. = Nassau

CHAPTER VIII

WIN II IN TWO CALIFORNIA COUNTIES

A. WIN AND CALIFORNIA WORK PROGRAMS

After data collection and analysis had been completed on the six original program sites, the Social Welfare Regional Research Institute and the Office of Program Planning and Evaluation of SRS decided that it would be helpful to extend the study to a state in another part of the country. In addition, it was considered desirable to find a situation in which another pattern of administrative organization was being used. It was decided that the WIN program in particular counties in California offered the greatest opportunity for additional perspectives on the administrative implementation and operations of WIN II.

The WIN program in California operates as a part of the Department of Human Resources Development (HRD), which is the state employment service agency. This department administers three closely interrelated welfare - work programs: WIN, Employables, and Community Work Experience (CWEP). Employable and CWEP are state initiated programs which are part of an overall welfare program initiated as a result of legislation in 1971 which also included changes in eligibility criteria, grants levels, administrative changes, and work registration requirements.

The Employables program is really an administrative mechanism for processing employable welfare applicants and recipients. Under Employables, all applicants and recipients of welfare are required to register with HRD for work and to conduct an adequate job search as a condition of eligibility to receive welfare benefits. The goal of the program is to place all employable welfare recipients in employment and it is intended to be accomplished through the organizationally combined efforts of the State Department of Social Welfare (SDSW) and the Department of Human Resources

Development.

This approach was made possible through the granting of a waiver of the Social Security Act requirements that a single state agency administer the AFDC program. In August 1971, the secretary of HEW granted the required waiver through the authority in Section 1115 of the Act. With this waiver, SDSW continues to administer the AFDC program for all unemployable recipients while HRD provides employment and social services to all employables. In the employables counties, which at the time of the site visits in October 1973, included primarily rural counties, the HRD staff is supplemented by county welfare department personnel who are outstationed in HRD offices. The county welfare department staff performs placement activities as well as social supportive services under the supervision of HRD and they remain on the payroll of the county as outstationed staff. The combined staff form a separate administrative unit (SAU) for employables.

The exemptions for the employables program are identical to those under WIN II so that every recipient covered by this program is technically a registrant of the WIN II program. The HRD reviews exemption claims of illness or incapacity and registers all employable applicants. A work application is completed and job search activities are planned with the assistance of personnel at HRD. This includes scheduling bi-weekly interviews with HRD staff to review job search efforts of applicants and recipients. Registrants are responsible for conducting an "adequate" job search and must report to the HRD office every two weeks to receive job counseling and report on job search efforts. If the registrant is found to have conducted an inadequate job search or refuses training, referral, a job or an interview, he is sanctioned.

Within this administrative process, a certain number of registrants are called up and appraised for participation in the WIN II program. Within the WIN program the emphasis remains on placement but some training and other supportive services

do become available to the participant.

One difference between the California interpretation and the HEW interpretation of the Talmadge Amendment at the time of the site visit in October 1973 is that California asserts that all employable applicants as well as recipients are required by the Talmadge Amendments to register with the HRD for employment services and thus, potential welfare recipients receive employment services even before their eligibility for welfare has been established. All registrants are considered to be in the employables program and subject to the sanctions of that particular program unless they are specifically selected for participation in WIN.

If all of these slots in the WIN program are filled, a client may be referred to the Community Work Experience Program (CWEP). CWEP was authorized by the California Welfare Reform Act of 1971 as a demonstration project to "provide work experience and training for individuals who are not otherwise able to obtain employment or who are not actively participating in training or education programs, in order that such participants may move into regular employment." In order to implement the program California obtained four waivers of requirements of the Social Security Act from the Department of Health, Education and Welfare as well as a Demonstration Grant. The waivers obtained in June 1972 were the following:

1. State wideness - instead of having to provide equal services throughout all political subdivisions of the state, CWEP is intended to operate in only 35 counties.
2. Single state agencies - whereas the law requires that only one state agency administer the AFDC program, CWEP is administered through the Separate Administrative Units set up at HRD offices to provide services to employables rather than through the State Department of Social Welfare.
3. Reasonable promptness of aid - the state obtained a waiver on this requirement because it was feared that CWEP process might cause unusual delays in the payment of grants.
4. Prohibition against the use of federal funds for payments made in return for work - the computation of wage credit under CWEP could not be done without the waiver.

CWEP is administered by the SAU at HRD offices and operates as though it were a component of the employables program. CWEP stipulates that participation in CWEP shall be the last option for an AFDC recipient after direct placement and participation in other manpower or training programs has been explored. Work experience assignments are developed by the county welfare department and the HRD offices with public and non-profit private agencies. Participation in CWEP is limited to 80 hours per month or enough hours to work off monthly grants at the rate of \$1.65 per hour, whichever is less. The CWEP participant is expected to use the remaining 80 hours to continue to conduct a job search. Failure to accept a CWEP assignment without good cause results in the elimination of the individual's needs from the welfare grant for a period of 90 days for a first offense, six months for a second and a year for the third. Voluntarily quitting or being discharged from an assignment for misconduct are other sanctionable actions.

Although thirty counties in California have WIN programs, only sixteen counties also have CWEP programs. The program locations investigated in this project were selected by the State Department of Human Resources Development in California (unlike the other six studied programs which were jointly selected by SRS and the Social Welfare Regional Research Institute at Boston College). The two counties that were visited were San Joaquin County and Stanislaus County.

B. SAN JOAQUIN COUNTY

San Joaquin County has a WIN program operating in conjunction with an Employables and CWEP program out of the Stockton HRD office. It is primarily a rural county, and the AFDC caseload varies seasonally with agricultural activities. Many of the AFDC clients are persons with farm labor backgrounds who are laid off during the winter. The Stockton area is one of substantial and persistent unemployment, which makes the economic outlook for the AFDC population poor.

The transition from WIN I to WIN II in Stockton coincided with the implementation of the Employables program, in August, 1972. The CWEP program was then superimposed on this structure in January 1973. The interrelationships of these three programs makes understanding the implementation of WIN II and the present program structure quite complicated.

1. Implementation

Under WIN I, the HRD WIN staff was organized into two teams, with similar composition and responsibility. The team supervisors reported to the WIN supervisor, who in turn reported to the HRD manager. At that time, welfare had a separate WIN coordinator, and Welfare handled referral and service provision. The WIN I program thus involved about 16 staff in HRD and about nine in Welfare.

WIN II and Employables were implemented almost simultaneously beginning in August 1972. The registration for WIN II began in August before the Welfare staff moved to HRD. The welfare staff came in three groups over a three month period in the Fall of 1972. San Joaquin was the first county to have both an Employables and a WIN program. The new programs demanded a complete overhaul both in terms of emphasis (on employment rather than training), and in terms of structure and organization.

During the transition, there was a gap of about five months between the first state directive and the final directive, during which time the office operated on a trial and error basis. During this period, the program went from dealing with four hundred participants, to dealing with a registrant's pool of 2500-3000.

Colocation involved the greatest adjustment problems. Differences existed between the welfare workers and the HRD workers regarding who should be enrolled, and what services should be offered. The regulations of WIN II eased somewhat these areas of conflict, since the goal of rapid employment and services toward that goal were carefully spelled out. A two week training session was held for the welfare

and HRD staffs before the new program was implemented. At first there seemed to be a gap in the explanations that HRD and SDSW were giving. There also seemed to be poor welfare staff preparation for the new program, for they had little understanding of what was happening to them. Although it was felt that the quality of support from the state left something to be desired during implementation, the Stockton staff in some ways liked the degree of local autonomy that resulted in developing the program. There was a feeling that they were all involved in creating something.

In January, 1973, CWEP was added to the Employables program, and involved another shifting of staff, and a further increase in staff workloads, since no new staff were added.

2. Structure

The structure of the WIN program can only be understood within the total structure of the Employables-WIN-CWEP program. The WIN project comes under the direct management of the Assistant Manager of Client Development, who reports directly to the Office Manager. The Employables Program Supervisor reports directly to the Assistant Manager of Client Development and provides overall guidance and supervision to the WIN project. Under this WIN-Employables-CWEP Supervisor, there is an Appraisal Unit, a CWEP Unit, a WIN Unit, and a Clerical Unit. The teams have been disbanded, and there are WIN staff throughout these units and some of the mainstream units. Staff assigned to the CWEP Unit evaluate, screen, and assess those CWEP participants who are WIN certified, and those that are assessed as potential WIN participants are referred to the WIN Unit. WIN staff assigned to the Appraisal Unit carry out the functions for WIN determinations. WIN staff assigned to the mainstream Placement Unit provide WIN participants with job placement and job search services. A WIN unit of staff is assigned to the Employer Relations Unit (mainstream) and obtains OJT contracts for employers and provides employers with WIN tax incentive information.

When a person applies for AFDC, he/she is referred from Welfare Intake to the HRD mainstream Intake Unit to register for work and for the WIN-Employables program, if that person cannot be exempted under the WIN exemption criteria. The MA5-95 must be completed and returned to Welfare before the AFDC application is processed. Until recently, the grant was dated from the day of the client's return to welfare, which put considerable pressure on HRD to quickly process each client. Now, the grant is dated from the time of initial contact with Welfare. Now, also, Welfare is responsible for doing the medical exemptions for AFDC-U's. During the period of registration of the existing AFDC caseload, HRD was processing 45-50 clients a day, which was an overwhelming workload. Now, 8-10 referrals are received from Welfare each day. The Intake Unit also does the initial assessment of employability, and assigns service levels to clients. If the client is job ready, he/she is sent directly to the placement unit, and also undergoes an employables and job orientation, which is a two hour session conducted by a member of the WIN Unit. Rights and responsibilities are discussed, as well as labor market information and job search skills. Eligibility is usually not finalized for 3 - 4 weeks, but during that time the client can participate in orientation and get placement services and begin the bi-weekly job search interview procedure. The client, however, cannot be placed in WIN until after eligibility has been established. If a client proves to not be eligible for welfare, he/she is deregistered and put in the mainstream files. At the bi-weekly job search interviews, clients are evaluated on their job search performance, referred to new job openings, and screened for possible WIN or CWEP participation.

If clients are not job ready at the time of registration, they are referred to the Appraisal Unit, where employability and job search plans are developed, and needed services are arranged if possible to make the clients job ready. They must still undergo job search interviews during this period, and may be placed in

CWEP once eligibility has been established. If services are not available, they may be banked, which means they only have to be seen for job search interviews once a month. When the needed services have been provided, the service level changes, and the clients go to the Employables and job orientation and to the mainstream placement unit. They may also be picked up by WIN at this time.

Clients may become WIN participants at many stages of the process. If clients find jobs after registration, and are federally eligible for welfare, they may be made WIN participants if the wage meets the WIN requirements of suitability. If they were not already certified, certification would have to occur. Certification can occur at any stage (AFDC-U's are certified at registration) and means that that person is standing by for WIN participation. Every staff person in the Employables program watches for potential WIN participants, and knows the procedure for referring WIN potentials. The idea is to have the program flexible enough so that there are many directions a client can move at any moment within the total program, and many different points at which the client can be picked up by WIN. At the moment, most WIN referrals come from Intake, Placement, and Appraisal. The WIN Unit conducts its own appraisal of referrals.

C. STANISLAUS COUNTY

Stanislaus County has a WIN program operating out of the Modesto HRD office. It is an agricultural county, and predominating among the AFDC population are those with a work history of seasonal agriculture-related employment. This results in large seasonal fluctuations in the AFDC caseload, particularly AFDC-U.

Stanislaus was a WIN county under WIN I, and in September, 1972 made the necessary transition to the WIN II program. The county had been negotiating an Employables contract for almost two years, but it was not finally approved until Spring, 1973, and physical colocation did not occur until July, 1973. Thus, during the year of WIN II implementation, there was much uncertainty as to when Employables

would be superimposed on the WIN program. This gave the program a somewhat day-to-day perspective, with no aura of permanence to administrative arrangements made to handle the WIN II program. Stanislaus County was also slated to begin a CWEP program October 15, 1973. At the time of the visit, there was some problem getting the necessary county money to support the program, however, it is anticipated that at least a minimal program will be implemented.

In what follows, the changes necessitated by WIN II and then by Employables will be outlined, and the present operation of the program will be discussed.

1. Implementation

Prior to WIN II, the team concept was used to run the WIN program in the HRD office. There was one supervisor, and two teams with identical responsibilities. Altogether this involved a staff of approximately 13 people. At that time there was a unit in Welfare, the Vocational Services Unit, whose responsibilities included the WIN caseload. The WIN emphasis at that time was on education, training, and ESL.

WIN II was implemented in late Summer 1972. The teams were replaced by a functional unit doing job development, training, counseling, and OJT, and an assessment and appraisal unit. There were few changes at welfare, since the Vocational Services Unit took on the SAU responsibilities. There was no joint appraisal instituted, and the welfare unit did not deal with the clients until certification was requested.

Redetermination of the existing AFDC caseload was done at Welfare IM, and probable mandatory clients were sent to HRD to register. This, of course, resulted in a considerable backlog of people for the HRD Assessment Unit to handle. New welfare applicants were sent directly to HRD, and had to show that they were registered for work and WIN (or exempted) before their grants could be approved (the completed MA5-95 had to be returned to Welfare). This put a considerable time

pressure on HRD to process each client quickly, since the grant was dated from the day the client returned to welfare. A recent change in proceedings, which dates the grant from the day of initial contact with welfare, has eased this pressure considerably. Welfare could always make the exemptions for a mother with a child under six, and for a youth in school. Recently, Welfare has been authorized to also handle the AFDC-U medical exemptions (03 and 05), while HRD still does the medical exemptions on the family group cases.

The major changes required by WIN II were attitudinal, not organizational. The shift in emphasis from dealing with those needing the most help, to dealing with those most job ready, meant that clients had to be moved from training slots to other slots. There were no training funds for 12 months, and workers found it hard to face clients with this turnabout.

There was considerable uncertainty throughout the year concerning the negotiation of an Employables contract. The office knew Employables was coming, although some felt it was only a vague possibility, due to the incessant delays. The timing of the new program was never certain, and this made it hard to plan and organize within a present program structure whose replacement was anticipated. The actual Employables program got underway July 3, 1973, when 13 Welfare workers were transferred to the HRD office.

2. Program Structure

The present structure of the WIN program will be discussed within the framework of the total Employables program, since the two overlap.

a. Assessment and Appraisal Unit

When a client is sent to HRD to register in the Employables program, the A&A Unit determines whether he/she is exempt (regular WIN exemption criteria) and completes the MA 5-95 Welfare registration form. If the client is non-exempt, a work application must also be filled out for mainstream placement. A brief WIN

appraisal may be given and a memo attached to the form indicating probable appropriateness for WIN. WIN certification request procedures will also be initiated at this time for all AFDC-U's (MA5-96), since they must all be certified to WIN within 30 days of eligibility being determined. This does not mean that they are WIN participants, but only that they are ready to be made participants. At the time of registration, the employability plan is also initiated for all non-exempt clients, and the first bi-weekly job search procedure and interview are set up.

b. Employables SAU Unit

This unit, which contains most of the Welfare caseworkers, is divided into two sub-unit, one of which does the bi-weekly job search interviews, and one of which handles services, and good cause determinations. If, during the registration process, barriers to employment are discovered and the client needs services or counseling, he/she is referred to the services section of the Employables SAU Unit. These social workers also receive referrals from bi-weeklies and from the WIN Unit for counseling and services. This unit does the WIN certifications (MA 5-96) on the Unemployed Parents and on those who have favorable WIN appraisals.

c. WIN Services Unit

This unit has the major responsibility for the WIN program. The unit picks up referrals from the A&A Unit, and should get referrals from the bi-weeklies, although it is too early to tell. The unit receives all of the MA 5-96' s from the A&A Unit. Only those deemed appropriate for WIN by the A&A Unit are reviewed at this point. A paper scrutinizing is sufficient for about 50% of these referrals, and they are enrolled. The remaining 50% are called in for appraisal interviews. Certifications, requested by the A&A Unit and fulfilled by the Employables SAU Unit, come to the WIN Unit. Only some of those certified are enrolled. Some clients are working at the time of enrollment. If a client is federally eligible, and gets a job at a suitable WIN wage after registration, he/she may be

enrolled as a WIN participant (certification, of course, must occur). All other clients selected as enrollees attend a WIN orientation, which is an afternoon session where rights and responsibilities are explained and the program outlined. They are then assigned to a counselor, where a WIN employability plan is developed. If the client is job ready he/she goes into the employment prep component, which consists of a job finding workshop with a counselor. This is a three phased program, which begins with 25-30 people. The first phase involves how to fill out applications, how to take tests, where to start looking, etc. By the time of the second phase, there are only 15-20 people still unemployed, and more in-depth labor market information is given, and experiences with unsuccessful job interviews discussed. By phase three, there are usually less than 10 people still unemployed, and role playing is done about what goes wrong with job interviews. Of course, during this whole program, the enrollees have been involved in real job search. At the end of this third phase, only two or three clients are still unemployed, and they are passed on to a job developer (there are two) who works intensively with them. If a person cannot find a job in 90 days, he/she may not be cooperating, and may be sanctioned. Or, they may be terminated from WIN and put back in the Employables pool. A third alternative is that the client may be able to be exempted. Some clients may be banked, which is a special class within the registrant's pool for those whom HRD decides have too many barriers to employment to even be in the bi-weekly job search category. Clients who are in the bank are only seen once every quarter. (In a CWEP county, banked people have to be seen once a month, and can be referred out to a CWEP position at any time).

Placement services, as seen above, are done by all members of the WIN Unit. The WIN Unit meets every morning to discuss job opportunities that have arisen, and to share difficult case problems. Training referrals are handled by the counselors. The WIN Unit has access to the mainstream job orders, and the

whole pool is interfiled with the mainstream Placement-Employer Relations Unit.

OJT contracts are handled by the WIN Unit. In May, about 175 clients were in OJT, but the number is now down to about 20. The reason for this decline is twofold. First of all, the success rate was low and so OJT is not being emphasized as much. Secondly, there are new HRD controls scrutinizing OJT's. This new monitoring annoyed some good employers, and revealed many bad employers. Consequently, both employers and WIN decided they wanted nothing to do with each other. In many cases there is OJT money, but no state pressure to increase OJT's. There is no PSE.

Service provision does not seem to be a problem. Child care is exclusively in-home care.

The seasonal nature of the labor market causes certain difficulties for the WIN program. WIN tries to work with young cannery workers to get them more permanent work. However, if workers have seniority at a cannery, they can make fairly good money, and are generally just put in the Employables program. WIN, in general, does not take workers who are closely tied in with the seasonal employment.

Regarding refusals to participate, the WIN Unit must do determinations on all clients certified to WIN, even if they are in the pool; the only exception is if a WIN certified client fails to show up for a bi-weekly interview, in which case an Employables determination is done. One can conceive of a case where a client commits two violations at once, and may be subject to determination and sanction under both WIN and Employables. The Employables sanctions (done through welfare) are stronger than the WIN sanctions. Generally nobody ever goes past the 60-day WIN counseling period. The person agrees to participate, and is put back in the pool. Occasionally people do not know that they can get out of the sanctions by the 60-day counseling period, and demand fair hearing. Fair hearings have decreased since colocation, since the client can easily check with the welfare people

on the best way to deal with the refusal to participate charge.

d. CWEP

The implementation of CWEP will have no affect on WIN services. There will be no change in the registration procedures, and the tentative plan is to have the bi-weekly section of the Employables SAU unit do the referrals to CWEP positions. However, new work will be involved in soliciting and keeping track of openings, and on bookkeeping. All this will be done with no increase in staff, and will thus increase already heavy workloads.

D. PROGRAM DATA

Only limited statistical information was obtained for the California WIN program. The data reported is from the MA 5-98 forms for the period ending 06-10-73, which means that the cumulative statistics shown on these forms are for the full fiscal year, 1973. The MA 5-98 forms are not compiled at the local offices but rather are tabulated at the state level from information submitted by the local offices. It was thus difficult to get a detailed interpretation of what the various categories mean, and an understanding of how the figures were arrived at. There is some uncertainty as to how comparable this data is with that reported for the other six sites. We were told at the California sites that they found the reporting procedure totally unsuitable to the way the WIN program is integrated with the Employables and CWEP programs.

Table II summarizes some of the data from the MA 5-98 forms for statewide California, San Joaquin County (Stockton), and Stanislaus County (Modesto). Table II, Column 2 can be compared with Table 5, Column 12, and it is clear that the California program involves few volunteers, even as registrants. Volunteers are not solicited, and clients know that if they volunteer they are volunteering for the whole workfare package, not just WIN.

It can be seen from Columns 3, 4 and 5 that in California certifications do not necessarily follow appraisal interviews, as is the procedure in the other sites. Many are certified and enrolled (active participants) without appraisal interviews, as indicated in the site write-ups. Also not all who are certified become active participants. Table 6, Column 5 may be compared with Table II, Column 6, which indicates that California sites certify a higher percentage of registrants than do the eastern sites. This reflects the different uses of "certification" in California and the other states and indicates that certifications/registrants in California is comparable with participants/registrants in the eastern sites (Table 6, Column 9). For this reason, performance ratios are calculated with respect to certifications for participation for California, in Table 12, and it is felt that these ratios are comparable with the eastern performance/participants ratios. The cumulative "participants" figure on the MA 5-98 forms is used differently in the California program from the programs in the other sites.

Table 12 presents various performance ratios for California, calculated with respect to certifications for participation and registrations, and it is felt that these are roughly comparable with the relevant performance/participants and performance/registrants ratios in the other six sites. Column 1 is comparable with Table 10, Column 11, and indicates that the California sites have more registrants enter job entry than Nassau and Camden, comparable figures with Middlesex, and fewer than do the Massachusetts and Monroe sites. Their performance on completions of job entry/registrants (Column 2) however, is poorer than the eastern sites, with the exception of Camden which is comparable and Nassau which is poorer (Table 10, Column 2). Table 12, Column 3 shows a great difference between the two California sites in terms of the entered job entry/certifications ratio. Both sites serve a predominantly male clientele and are in agricultural-dominated labor markets. The higher performance of San Joaquin does not have an obvious explanation, given the limited informa-

tion we have on the sites. When comparisons are made with the other sites (Table 10, Column 10) in terms of "entered job entry"/participants, San Joaquin has one of the better performances, and Stanislaus has one of the "worst". In terms of "completions of job entry"/certifications or participants, both California sites fall into the lower end of the performance spectrum (Table 12, Column 4 and Table 10, Column 1). Table 12, Column 5 and Table 10, Column 2 are calculated in the same way and are directly comparable. San Joaquin has the lowest rate of completions for entrances in jobs of any site, and Stanislaus has the third lowest. From discussions with HRD staff it was indicated that the low performance levels may be the result of the total California program spreading itself too thin, and not working intensively enough with clients to better ensure their continuing ability to remain employed. The final three columns of Table 12 present information on the utilization of skill and classroom training, and of OJT. Comparing Columns 6 and 7 with Table 7, Column 3 indicates that California places extremely few people in training. This may be a factor in the low job tenure rates noted above. Emphasis on OJT shows the same range in California as it does among the other sites (Table 8, Column 18).

It seems fair to conclude from this data that the California program does not facilitate a more effective WIN program. Unfortunately, the data was not available to evaluate statistically the other components of the California welfare-work program or the costs involved in the WIN program.

E. BENEFITS AND PROBLEMS

Part of the purpose of the examination of the programs in California was to identify some of the advantages as well as some of the problems in the employment-related procedures in programs. It should be noted that two limitations were important constraints on this part of the investigation. These were (1) the characteristics of the two sites in California - neither of them was in a major metropolitan area, and (2) the limited amount of time that the programs had been in opera-

tion within the offices that were visited.

The benefits that were observed were the following:

1. Early exposure to Employment Office services aimed at placement in a job.
2. Potentially greater employment services available to welfare clients. The degree to which employment services were made available to AFDC clients was dependent on the HRD offices so that in some locations a broad range of employment services were available while in others only minimal processing of job search papers occurred. In some offices counseling and work experience was provided with the aim of assisting the client in a career mobility pattern whereas in others little attention was given to the mobility needs and job counseling needs of the client.
3. Work Incentive Program clients are under one agency. There appear to be certain administrative advantages to having WIN clients, registrants and participants, handled by one agency. Potential confusions were often minimized and directions and orientations clear to service workers who had responsibility for WIN registrants and participants.

Among the problems that were noted were the following:

1. The combination of work programs for welfare clients had increased the work load of the Employment offices without proportionate increases in their staff. Consequently a disproportionate amount of time was being devoted to welfare clients, often to the detriment of services for the general public and clients of other Employment office programs.
2. The amount of paperwork and staff time required for both the Employables program and CWEP was extremely high and Employment office staff was suffering from overload even at a time of non-peak welfare caseload.
3. The increased paperwork and staff time involved in the job search requirements and the CWEP job development was often counterproductive and hindered the goal of placement and the provision of employment-related services.
4. The advantages of being able to provide a wider range and more intensive employment services to welfare clients likely to get jobs appear to be offset by the necessity of handling large numbers of recipients who had low employment potential.
5. CWEP assignments were often difficult to arrange and rarely resulted in regular employment for clients related to the mandatory non-salaried work they performed. The user agencies appeared to be hesitant to accept CWEP assignees because of the difficulty in

planning useful assignments owing to the high number of "no shows" and the part-time nature of the assignments, as well as the uncertainty of continued participation.

6. Local offices were having difficulty in meeting the goals of the CWEP program at the same time operating within the state law which required that all WIN slots must be filled before recipients can be referred to CWEP.

F. SOME PERSPECTIVES ON WIN II FROM CALIFORNIA WIN PERSONNEL

Opinions concerning the WIN II Program were solicited by the Regional Research Institute researchers from state and local personnel with responsibility for the operation of WIN II in California. This section attempts to highlight some of the points that were made in those discussions.

1. Colocation of welfare and employment staff responsible for WIN should be made mandatory.

2. The formula of 90/10 funding should apply to all clients who are required to register for WIN.

3. There should be greater flexibility in the use of WIN funds in terms of how much can be spent on training and other components of the WIN Program. It was felt that although there was a lot of waste in training under WIN I, the WIN II Program is too restrictive in its training limitations.

4. Arrangements should be made for a joint reporting system, eliminating differences between the reporting for DOL and HEW.

5. The state personnel expressed the opinion that emphasis should be placed on registration of clients when they are applicants and before they are actually recipients for the employment and placement components of WIN.

6. Local staff expressed the strong feeling that the paperwork involved in the WIN Program as it operated in California was "stifling."

7. Local staff found the administration of the three work programs to be overwhelming. They pointed out that the biggest pressure was the lack of sufficient manpower.

8. Local staff found the pressure for fulfilling goals in the CWEP program inconsistent with the restrictions of the law on filling all WIN slots.

9. Many staff felt that the Employables - CWEP programs and WIN were too complicated and required too much attention to the details of paperwork procedures.

10. Many workers from the County Welfare Department resented and resisted being assigned to Employment Service offices.

11. A number of local personnel suggested that the programs and their procedures and requirements should be more sensitive to local unemployment rates and employment situations in order to be more effective and more efficient.