

# Final report: WIN II initial impact study

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Chestnut Hill, Mass.: Social Welfare Regional Research Institute, Boston College,  
December 1, 1972

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SOCIAL WELFARE REGIONAL RESEARCH INSTITUTE

Boston College

FINAL REPORT

WIN II INITIAL IMPACT STUDY

This report is submitted to:

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Social and Rehabilitation Service  
Department of Health, Education and Welfare

SRS Grant No. 10-P-56104/1-01

December 1, 1972

SWRRI Publication #14

## ACKNOWLEDGMENTS

This report is the final product of research sponsored by the Social and Rehabilitation Service of the U.S. Department of Health, Education and Welfare. The opinions and conclusions reported herein, however, are those of the authors from the Social Welfare Regional Research Institute at Boston College. The authors wish to thank the many persons in the six locations of the study who provided us with data and who gave generously of their time, information and thoughts.

The persons who worked on this study were: Martin Lowenthal, Project Director; Steven Girton, Project Coordinator; Jody Garber, Research Associate; Thomas Naughton, Research Associate; Barbara Wishnov, Research Associate; Natalie Weinrebe, Administrative Assistant and Executive Secretary; and Alice Gibney, Secretary.

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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 become 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 state-wide operational plans by jointly established regional and national coordination committees.

The new legislation, with its various changes in the Work Incentive Program, raised a number of issues for local welfare agencies. Among the more important of these were the following:

- 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. Objective and Scope of This Project

The major objective of this project was to investigate and assess the impact of WIN II, as developed by the Department of Health, Education and Welfare and the Department of Labor, on the administration of WIN in local welfare offices. The assessment included a study of the following:

1. the nature of the various local welfare/WIN administrative organizations prior to WIN II,
2. the process of referral and provision of services in the offices prior to WIN II,
3. the extent to which local welfare offices operationalized WIN II by the fall of 1972,
4. the manner in which the new provisions and guidelines under WIN II were implemented by local welfare offices,
5. the manageability and costs of WIN II in the welfare offices,
6. the effect of the new program on interagency cooperation, and
7. the impact of new program on clients to the extent that this could be determined by the fall of 1972 (within the resource and time limitations of the project)

Six sites in three states were selected for study by the Social and Rehabilitation Service of DHEW, with the consultation of the Social Welfare Regional Research Institute. The site locations for the study were the following:

Camden County (Camden), New Jersey  
 Middlesex County (New Brunswick), New Jersey  
 Monroe County (Rochester), New York  
 Nassau County (Mineola), New York  
 Lowell, Massachusetts  
 Worcester, Massachusetts

Initial site visits were made in May 1972 in order to establish a baseline from which the impact of WIN II could be measured and assessed. The main focus for this preliminary investigation involved an appraisal of the WIN administrative pattern in each of the six locations. The first site visit established that local WIN Program operations and structures were not based on pre-determined, static patterns, but were in a state of constant change and transition due to internal and external factors operating at local and state levels of government.

The intent of second site visits was to examine these on-going WIN Program operations in terms of the impact of WIN II. The investigation involved:

(1) an assessment of structural changes within the WIN Program itself and related structural changes within the total welfare office; (2) an assessment of operational procedures within the WIN Program, including both fundamental as well as administrative changes; (3) an examination of the administrative costs involved in the initial implementation of WIN II; and (4) an identification of the issues which appear to emerge as offices attempted the transition to WIN II.

C. 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 fall of 1972. It represents an initial and somewhat quick study of the events which followed the effective date for implementation of the 1971 Amendments, July 1, 1972. While the study has many of the limitations of a short, initial investigation in terms of (a) the gaps in certain quantitative data and (b) the amorphous state of some of the directions and impacts in offices which were slower to implement the program, the research presented in this report does give a relatively comprehensive picture of the short term effects of the WIN II Program and does indicate some of the longer term 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 policy-makers in the agencies responsible for WIN II. Chapters III and IV (Stage of Implementation and Process of Implementation) are descriptions of what was found at the time of the second visit to the six study sites. These chapters deal with the extent to which the WIN II Guidelines were put into operation. Chapter V (Major Dimensions

of Change in the Program) discusses specific changes which occurred after implementation of WIN II. Chapter VI presents an explanation of the factors which appear to be operating in determining the differences which developed between the various offices in their efforts to operationalize WIN II. Chapter VII discusses some of the problems and issues that emerged from the initial attempts by local offices to implement the new program. Finally, Chapter VIII deals specifically with the findings on administrative costs and presents the limited quantitative program data which was available by the fall of 1972.

## II. SUMMARY OF FINDINGS AND RECOMMENDATIONS

### A. Listing of Findings

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 range of monthly operational costs for WIN II as of September 1972 in those sites which had most fully implemented the program ran from approximately \$2,000 in Camden to \$4,600 in Middlesex County.
9. The costs were higher where the welfare offices relied primarily on the client to complete registration forms rather than the caseworker conducting an interview.
10. 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.
11. 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.
12. 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.
13. 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.

14. 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.
15. The nature and number of competing work programs has an effect on the utilization, priority, and effectiveness of the WIN Program.
16. 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.
17. 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.

#### B. Discussion of Findings

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. (V-2,3)

One conclusion which emerged from the analysis is that program structure which was found to vary extensively prior to WIN I - varied even more after implementation of the new Amendments. This is the opposite of the intent of the Amendments which was to bring about greater uniformity of WIN Program structure in local welfare offices. However, this may be only a temporary phenomenon, resulting from the different rates at which the three states have implemented the Amendments. In this case the differences would tend to disappear as all three states approach full implementation. On the other hand, it could be a permanent feature of WIN II, as it was of WIN I, due to the continuing effect of local and state variables on the complete implementation of federal policy.

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. (V-1; A-7; B-5; C-5; D-4; E-4; F-5)

The evidence suggests that the priority of the WIN Program has not been dramatically affected by the new Amendments. Most reports of the second

site visit indicate a slight increase in program priority. In general, one can predict, on the basis of earlier findings about the sources of program priority, that the long run impact of WIN II will be to accentuate positive trends that had emerged from WIN I and not reverse the negative ones. In welfare offices where the WIN Program received significant emphasis before the new Amendments, it is likely that priority will continue to be high or to increase. On the other hand, where the program had low priority, it is likely that the Amendments will not reverse that direction, beyond the temporary attention due to the transition. Thus, for example, in the Massachusetts sites and in Rochester, New York, where the program had low priority under WIN I, there was no perceptible change in the former, and only a slight increase in priority in the latter. However, in the two New Jersey sites and in Mineola, New York, where the program had high priority prior to July, the program has retained its relative importance, even in Mineola where the lower level of information which filtered through the state welfare agency to the local office has hampered program operations.

3. The mandatory registration procedures are being implemented in all the sites. (V-5)

In general the greatest similarity among the sites was found in the registration process. All sites were conforming to the registration requirement as a condition of eligibility as established in the legislation, and all were applying the criteria for mandatory categories of clients. All offices were in the process of registering new applicants and New Jersey sites had begun to review their entire on-going AFDC caseload. Most departments were registering eligible clients in a similar fashion - through the regular intake-eligibility process. Perhaps the uniformity among the sites in implementing

this change was due to the fact that there were specific sanctions for non-compliance - namely, the potential loss of federal matching funds.

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. (V-2)

The first site visits established a positive link between program priority and the level of staff awareness of and knowledge about the WIN Program. This link held with the changeover brought about in the program by the new Amendments. It was discovered, however, that a generally lower level of staff awareness and understanding of WIN existed after the new Amendments than before. This can largely be attributed to the relative novelty of the WIN II provisions, the sheer complexity and number of changes in the program, and the piecemeal fashion in which they were implemented in most sites. Staff were generally less aware of the provisions which directly affected them, were confused about the "big picture" (what was happening elsewhere in the office), and did not know about the relationship of various program components or what further changes to expect.

In sites where WIN had high priority, staff were not as "on top of the situation" as they had been during the first site visit and were often ignorant of key provisions of the Amendments. In sites with low priority, particularly in Massachusetts, staff were ignorant of almost all of the provisions of the Amendments.

5. The relations between welfare offices and employment offices have generally improved as a result of WIN II. (V-8; A-17; B-7; C-16; D-14; E-7; F-9)

By the nature of the changes themselves, and, in addition, by the very demands of the transitional stage of implementation, an increase in contact between the employment agency and the welfare agency has occurred. It is

difficult to assess the quality of the contacts between the agencies and the extent to which the mechanisms to improve cooperation and to increase jointness will work out in practice. The most important factor in improving welfare-employment functioning brought about by the Amendments was the simple matter of clarifying "who had authority over what." Thus, the Amendments have somewhat reduced the uncertainty which existed in many sites, and thus removed an important impediment to effective agency cooperation. In general, however, the evidence suggests that the pattern of prior employment-welfare cooperation is the most important factor in determining current welfare and employment relations.

6. On the basis of very limited investigation, it did not appear that WIN II had significant positive or negative effects on clients. ( V-9; A-18; B-7; C-17; D-15; E-7; F-9)

Since client views were not assessed prior to the implementation of the new Amendments, and since the sample of clients interviewed during the fall of 1972 was necessarily small, it is difficult to make anything but the most speculative conclusions concerning the kind and magnitude of changes affecting clients. Most of the clients interviewed had recently come onto the AFDC caseload and had not had previous contact with welfare. Thus, the new features of the system did not stand out in their minds and they seemed to accept the provisions for mandatory registration at Intake as part of the process of applying for public assistance. Few cases of direct resistance were reported, although caseworkers described a range of responses from incredulity to fear. A certain amount of client confusion about the procedures and possible resistance to the appraisal interviews was noted, particularly among the mandatory registrants.

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. (VIII - 6)

The operational cost estimates were highest for Middlesex and Camden

counties, the two offices in which the program had been most completely operationalized. While some of these costs were due to the more complicated and comprehensive WIN II registration process in New Jersey as compared to other states, the data indicate that the more completely the guidelines are followed, the greater the administrative costs to the welfare office. This results partly from the fact that, although many responsibilities were transferred to the employment offices, the program now demands a higher priority and additional tasks for most offices than was the case in WIN I.

8. The range of monthly operational costs for WIN II as of September 1972 in those sites which had most fully implemented the program ran from approximately \$2,000 in Camden to \$4,600 in Middlesex County. (VIII - 8)

The monthly operational costs of WIN II in the local offices could not be calculated for many of the sites due to the fact that they had only partially implemented the guidelines and could not provide sufficient data for even rough estimates to be made. Aggregate operational cost estimates were computed for the Camden and Middlesex offices to give an indication of what amounts are involved in more complete implementation. These figures do not include the cost of follow-up on the appraisal and call-up process nor the cost of supportive services. Therefore, the total cost for WIN II operations will be somewhat greater than the amounts indicated here.

9. The costs were higher where the welfare offices relied primarily on the client to complete registration forms rather than the caseworker conducting an interview. (VIII - 9, 10)

In the New Jersey offices, the welfare caseworkers mailed registration forms to clients and requested that they return them. It was found that this meant a great deal of additional time on the part of the worker to correct and follow-up on forms which were not returned or which were filled out incompletely or incorrectly. Further, many clients did not understand the importance of the forms or of the appraisal interview and in many cases did not

respond. In Massachusetts, clients were registered during eligibility determination or redetermination interviews by the caseworker. This reduced the number of corrections that had to be made and the worker completed the forms. In response to this problem, Middlesex county is planning to institute a system of pre-appraisal and registration interviews, which, while taking more time initially, may mean much less time and cost in follow-up.

10. 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. (VIII - 5,6)

This investigation was unable to obtain sufficient data to make reliable estimates of the total administrative costs of the program. This was primarily due to the fact that the research was conducted within three months of the starting date for the program. Not only were the various offices uneven in the rate at which they operationalized the program, but the offices differed in the amount of program statistics which they had compiled and the accuracy of their data during this transition period. Comparative cost and program data should be more readily available after the program is more fully implemented and the operations have stabilized.

11. 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. (VIII - 1,2)

One of the more important factors in the response of the local offices to the guidelines was the capacity of the office in terms of staff, caseload rates, and WIN staff. The Massachusetts offices which were furthest from complete implementation also evidenced the most extreme caseload per office staff member and the fewest staff who were directly responsible for WIN. These offices had the least resources with which to attempt to make the mandated changes in program structure and operations. The New Jersey and New York offices

had better caseload rates and more WIN staff at the outset who took certain responsibilities in terms of implementing the new procedures.

12. 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. (VI - 5)

The type of relationship which existed between the state welfare agency and its respective local welfare offices had profound impact on the implementation of WIN II. Where the state agency had considerable influence over the operation of local offices as in New Jersey, the changes in WIN could be implemented with some dispatch, particularly if the program had priority with the state agency as was the case with New Jersey. However, where the state agency had little effective influence over the direction of local offices as is the case in Massachusetts, program implementation would be difficult to insure, regardless of its priority with the state agency (which did not appear to be high in the case of Massachusetts). The link between state and local welfare agencies in New York occupied a mid-point between the extremes of Massachusetts and New Jersey. The state agency did appear to have more influence over the course of local welfare operations than in Massachusetts; however, its authority was limited by the power of local agencies, as evidenced by the fact that WIN had differing priority and commitment in Nassau County and in Monroe County.

13. 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. (VI -4, 10)

The priority given WIN by the state welfare agency had a significant impact on the implementation of WIN II. Where WIN received significant emphasis, as in New Jersey, implementation of WIN II was quicker and more thorough than in the other two states where WIN was not as much a priority program. The New Jersey Division of Public Welfare better prepared local welfare offices for changes in the operation of the program and worked to insure complete compliance

with the new program structure and procedures mandated by the WIN II guidelines. Where WIN had low priority as in Massachusetts, the state agency was not aggressive in pushing the local offices to implement WIN II. The Massachusetts Department of Public Welfare issued only a portion of the SRS Guidelines, and did so in such a way that the local offices were left to fend for themselves in working out the details of how to implement that portion of the guidelines sent down to them. There appeared to be little concern on the part of the State DPW regarding local compliance with the new WIN procedures, except in the case of mandatory registration of AFDC-U fathers where specific deadlines appeared in the federal guidelines. In New York the priority of the WIN Program in the state agency was more difficult to assess, as the two New York sites differed in the priority given WIN; in Nassau County, WIN had high priority while in Monroe County its priority was low. It appeared that in New York pressure from the state agency for implementation of WIN was greater than in Massachusetts. Local priorities, however, seemed also to carry considerable weight.

The priority given to WIN I was also positively related to the extent to which WIN II was implemented by local welfare offices. Where WIN had priority prior to the new Amendments, considerable effort was expended in a systematic fashion to implement them. Where WIN had low priority prior to July 1, little effort was invested to make program changes after that date. Thus, in the New Jersey offices and in Nassau County, where WIN was a priority program, the local offices had implemented WIN II to the extent that the state welfare agency had passed along the federal guidelines. While in the Massachusetts offices and in Monroe County, where WIN was a low priority program, little effort was made to implement WIN II except for those changes which carried the possibility of sanctions for non-compliance, such as registration of AFDC-U cases.

14. 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. (VI - 6)

The implementation of WIN II was influenced by the extent to which the local welfare agencies were free to set their own priorities and to resist initiatives from the state welfare agency. In Massachusetts despite the fact that all the welfare offices are part of the same state welfare bureaucracy, the tradition and history of local autonomy and independence meant that each office had considerable latitude in implementing the state guidelines on WIN II. In the case of the New Jersey offices, the local welfare offices did not appear to have much autonomy from the state agency despite the fact that administrative control and financing were shared with the county welfare boards. As a result, WIN II, which had high priority with the state agency, was promptly implemented and in a similar fashion and degree in both New Jersey offices. This was not the case in New York where the fact of county control over the budget and of the administrative machinery seemed, especially in the case of Monroe County, to give the county a kind of counter-vailing power to resist directives from the state agency. Nassau County probably has similar power but chose to implement the program more completely.

15. The nature and number of competing work programs has an effect on the utilization, priority, and effectiveness of the WIN program. (VI - 11; A-5; B-4; C-9; D-3)

Various work programs for welfare recipients initiated by state and/or local governments influenced the extent of program implementation and change. In some cases the other work programs competed with the WIN Program for priority in the agency, and, in those cases, like Monroe County, where priority was given to local and state originated programs, the WIN Program suffered considerably, both before and after the start up of WIN II. Even

where the other work programs did not displace WIN in terms of priority, administrative difficulties were present. For example, in Mineola, the New York State Work Reform Program creamed many of the more employable AFDC recipients from the WIN Program and caused hardships for WIN clients by compelling them to pick up their checks at the State Employment Service office.

16. 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. (VI -6; D-5)

The above pattern of influence is largely the result of the way in which the administration, financing, and political control over welfare are divided among the various levels of government and bureaucracies within the state. In Massachusetts, welfare is entirely financed and administered by a state agency, the Department of Public Welfare. However, until the state takeover in 1967, welfare in Massachusetts had been the responsibility of the cities and towns in the state, with only minor administrative and financial input from the state.

New York and New Jersey both have a county-based welfare system in which administration and financing are divided between the local communities and the state. In New York, the county legislature hires all staff and pays a portion of the total budget while the state agency is responsible for program administration and the remainder of that portion of the budget not financed by the federal government. However, as the counties are large and have considerable political influence they can and often do direct a course independent of that of the state agency. In New Jersey, the same division of responsibilities exists between county welfare boards and state welfare agencies; however, the state agency appears to carry much more weight in influencing the operation of the local offices.

17. 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. (VII - 13; C-5)

Several problems existed in the area of child care in relation to the WIN II Program. The problems themselves, while all concerned with child care services, varied in nature and in scope. Child care appeared to be the one definitive service area with which WIN caseworkers were most involved and with which they were most frustrated. WIN service provision seemed almost synonymous with child care service problems.

The nature of the child care problems varied from state to state and, indeed, from site to site. In New York, for example, available child care service resources were fairly limited. In addition, the state mandated voucher system for the payment of child care expenses functioned to further reduce the limited supply of resources. The voucher system discouraged potential babysitters from working for WIN clients because of the necessary delay in payment for services (over one month) and the confusing time and paperwork involved. Many babysitters could not wait the length of time required by the voucher payment system for service reimbursement and others were hesitant to become involved in the complicated procedures. Since group and family day care resources were in relatively short supply, the additional barrier of vouchers served only to further limit child care resources.

### C. Recommendations

1. Implementation plans which are sensitive to the capacity and time horizon problems within each state should be worked out between each state and SRS.

2. Technical Assistance in implementation of the WIN II Program at the state and local level would improve the understanding of WIN II on the part of staff and would accelerate the rate at which program components are put into effect.

3. SRS should work with state departments of welfare to improve the effectiveness of their communications and control over local office operations.

4. Meetings and workshops for the appropriate participants from local offices should be conducted by each state prior to implementation deadlines.

5. In addition to issuing guidelines, state welfare departments should provide local offices with an overview of the program, including a statement of objectives, priorities, and matters which require action.

6. A study should be undertaken to determine whether the benefits of the mandatory registration exceed the costs involved.

This recommendation is made because reports from most of the sites in this study indicate that there is a high rate of "no-shows" (over 50%) to appraisal interviews and that most of these are probably the mandatory registrants since they now make the largest part of the "pool". The staff in the various offices were beginning to do follow-up on this problem at the time of the study and preliminary indications were that significant time and costs may be involved.

7. In some states, the voucher system for child care should be reorganized to encourage rather than discourage the supply of child care services.

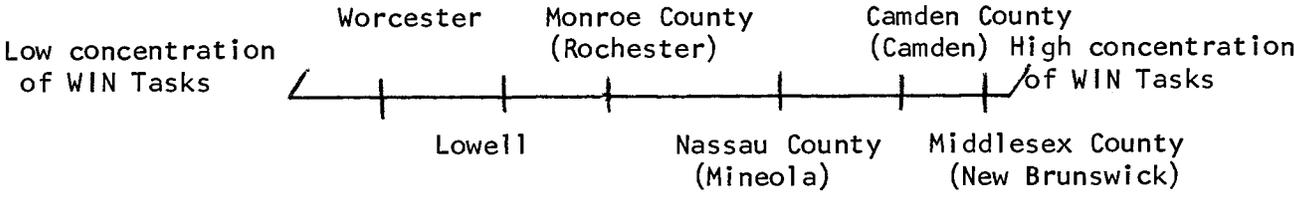
8. Direct communications in the form of home or office visits should be encourage between the welfare caseworker and the WIN client in order to improve client understanding of and response to the new WIN procedures, particularly appraisal and call-up.

9. Consideration should be given to eliminating the requirement that successful WIN graduates who still need supplemental assistance be returned to the "registrants' pool". (VII - 15)

A seemingly minor inconsistency in the new WIN procedures, as developed in the WIN Information System, holds the possibility of administrative difficulties. Those clients who technically have completed the WIN II Program but who remain on AFDC because they require supplemental assistance, will be returned to the registrants' pool. As a number of local welfare administrators pointed out, besides the logical inconsistency of having in the same category those who have yet to enter the program as well as those who have completed it, there is the more serious problems of (1) enlarging the base number of clients from which the mandated 15 percent must be certified and (2) making it difficult to evaluate the operation of the program by comparing the numbers in the registrants' pool with the flow through the components of the program.

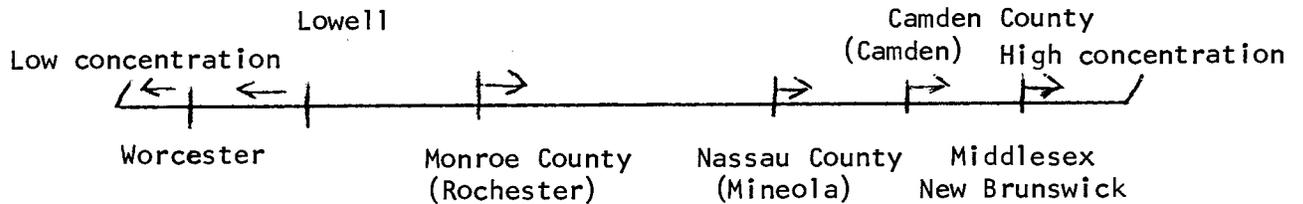
III. STAGE OF IMPLEMENTATION

The following section discusses on a site by site basis the state of the WIN program at two points in time, before and after the implementation of the WIN II; the first site visits were made during the month of May; the second site visits were conducted during the end of September and October. As reported in the Progress Report issued after the first site visits, the state of the program could be represented as a continuum according to the degree of concentration of WIN tasks, with the individual sites falling along the continuum in the following manner:



One of the primary purposes of the Guidelines for the WIN II Program was to bring about greater uniformity in WIN administrative patterns among welfare offices. It was anticipated that, after July 1972, the six sites would be grouped toward the right end of the continuum, at the end with a higher concentration of WIN tasks, as stated in the SRS Guidelines concerning the Separate Administrative Unit (SAU). Data from the second site visits indicate that the opposite may be occurring; the continuum was elongated, as the sites varied more among one another as to WIN administrative pattern. This finding can be partially attributed to the fact that each office was at a different stage in the process of implementing the guidelines, but it must be noted that other,

more "extraneous" factors contributed greatly to this lack of convergence in program administration. The sites, as of the fall 1972, occupied the following positions on a continuum of concentration of WIN tasks.



(Arrow indicates direction in which site changed relative to its position during the spring of 1972)

A. Middlesex County (New Brunswick), New Jersey<sup>1</sup>

Middlesex County exhibited the most advanced stage of program implementation of WIN II among the six sites investigated. The WIN Program in Middlesex County occupies a position of priority in the department and, generally, is characterized by a high degree of program specialization and coordination; thus, the implementation of WIN II guidelines is fairly complete in this site. Registration of ADC clients for WIN was handled by the Income Maintenance Division including the two Intake Units responsible for the registration of new applicants for assistance and the five Income Maintenance Units responsible for the review of the existing caseload and the subsequent registration of mandatory WINs. The department has an established Separate Administrative Unit (SAU) which handles most of the WIN administrative detail; the SAU is composed of three caseworkers, one WIN supervisor, one social

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The Middlesex County Welfare Board is located in New Brunswick, New Jersey. The county has a population of approximately 583,913 and an unemployment rate which fluctuates between 7 and 8 percent. The Welfare Board has an office

service aide, and one clerk. WIN registrants are screened for possible further participation by a type of "joint appraisal team" composed of the supervisors from the Separate Administrative Unit, the Bureau of Children's Services (BCS), and the Employment Service. A number of registrants are selected by this process for call-in before the "real" Joint Appraisal Team, a group of approximately nine representatives from the SAU, BCS, Employment Service, and other closely concerned departments. The Joint Appraisal Team reviews the registrant's case record and determines the appropriate supportive service plan. Major service provision in New Brunswick is handled by specialized agencies external to the welfare department. The two most important agencies with regard

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staff size of 232 and is characterized by a division of tasks between social and administrative services. Caseloads are generally distributed on a geographical basis. Total department caseload in April 1972 was 8662 of which 5390 were in the Aid to Dependent Children category. There were no Unemployed Fathers included in the ADC category since non-working males from two parent households had been transferred to the Aid to Families of the Working Poor (AFWP) category. ADC-Us clients, therefore, were no longer mandatory referrals to the WIN Program.

In the spring 1972, New Brunswick had a separate WIN Unit in the office which was housed under the Social Services group. The WIN Unit functioned as the only referral center for those ADC clients who were considered appropriate for WIN participation - either on a mandatory or a voluntary basis. The WIN Unit was composed of a supervisor, three caseworkers, and one social service aide. The department had an authorized 200 slots, 174 of which were filled at the time of the first site visit (May 1972). Of these 174 slots, 154 were filled by females, while the remaining slots were filled by males "left over" from the AFWP Program. Five units or agencies including the WIN Unit, the Employment Service Team, the Bureau of Children's Services, the Rehabilitation Service and the Learning Center were jointly responsible for decisions regarding enrollment and supportive services for clients.

Referrals originated within the Income Maintenance or Intake Units of the Middlesex County Welfare Board. The referred cases were forwarded to the WIN Unit where an initial determination regarding appropriateness for WIN was made. Referral forms were filled out and the medical examination administered. If everything was in order, the case was presented to the WIN Program members at weekly staff meetings and necessary service provision determined and arranged.

Over-all Employment Service and welfare department communication and coordination at the time of the spring visit, appeared to be very effective. Weekly staff meetings were held in the attempt to eliminate extended complications and problems. In addition, monthly meetings were scheduled to discuss administrative procedures and other program concerns.

to WIN Services are the Bureau of Children's Services and the Department of Vocational Rehabilitation. The Employment Service is now responsible for training and employment-related expenses, but basically there have been no changes in financial reporting procedures and/or funding reimbursement mechanisms at this point in the implementation of WIN II guidelines.

B. Camden County, New Jersey <sup>2</sup>

The County Welfare Board in Camden, New Jersey, evidenced a relatively extensive implementation of WIN II guidelines. The WIN Program in Camden is characterized by an efficient operation and a fairly high priority. Registration of clients for WIN II has been taking place in two income maintenance units; the Intake Unit has been registering those new applicants for assistance who are mandatory WINs and the Eligibility Unit has been reviewing clients for WIN from the on-going ADC caseload. While the registration process in the Intake Unit was proceeding uniformly, some subunits in Eligibility had not yet begun the review process, while others had. The existing WIN I Unit in Camden had changed its name to the Self-Support Unit (Separate Administrative Unit) and had added one worker to its staff. The unit is composed

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Camden County, New Jersey, has a population of 456,291 and an unemployment rate of approximately 8.5 percent (April 1972). The public assistance caseload in Camden County rose to 15,427 in April 1972 with 11,234 families on Aid to Families with Dependent Children. The later figure represents an increase in the AFDC caseload despite the fact that unemployed fathers were no longer included in the AFDC category. A state mandated program entitled Aid to Families of the Working Poor (AFWP) went into effect in July of 1971 and replaced the AFDC-UP category - in New Jersey.

The Camden County Welfare Board has an office staff of 447 employees and is characterized by a division of labor along departmental lines. Separation of services implemented in 1970 created separate Income Maintenance and Service Departments. Within these two departments the staff is organized into units on the basis of differential categorical assistance programs.

The Camden Welfare Board had 300 authorized slots for WIN, 285 of which were filled in April 1972. The department had a separate WIN Unit composed of one

of one WIN supervisor, four caseworkers, and three clerical workers. The unit was in a state of transition and was awaiting an increase in service activity expected to accompany the flow of certified recipients through the program. A Joint Appraisal Team had been established with representatives of three state agencies: the Employment Service, the Bureau of Children's Services, and the Welfare Department. Agency representatives on the Joint Appraisal Team meet individually with each WIN registrant; following these separate interview sessions, staff members discuss the case and determine the client's status in the program--acceptance or rejection. The Employment Service maintains a veto on the decision. It was expected that the state accounting office would be forwarding forms for 90/10 funding reimbursement in the near future; thus far, however, the Camden Welfare Board has experienced no change in financial reporting procedures or in the amount of matching appropriations, with the exception of ES responsibility for training and employment-related expenses.

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supervisor and three WIN caseworkers. The WIN Unit was one of two components of the Employment Training Service (ETS) Department. The other component, the NONWIN Unit, was a local employment-training program open to both AFDC and AFWP recipients on a voluntary basis. Referrals to the WIN Program were channelled through the ETS and were not referred directly to the WIN Unit per se. The WIN Unit had the responsibilities of assessment and referral of clients to the WIN/ES Team, provision of supportive services to WIN enrollees, disbursement and mailing of medical checks to the vendor, and processing training allowance checks to WIN enrollees. The New Jersey Bureau of Children's Services (BCS) had the responsibility of formulating child care plans for enrollees.

The WIN Team, located about three blocks from the Camden Welfare Board, had a staff of nine. Regular monthly meetings between the WIN/WEL Unit, the WIN Team and the WIN Unit of the Bureau of Children's Services were held to deal with problems relating to WIN clients and program administration per se. Open communication existed between the agencies in spite of some differences in perceived program objectives.

recently been established with the State Employment Service (SES) and was scheduled to begin operation during the first week in October. The Team will be composed of 3 SES workers and 2 full-time SAU caseworkers and will be responsible for an initial appraisal of clients and subsequent determination of supportive service and employability plans for WIN participants. Service provision in Mineola has been a function of both the Separate Administrative Unit and specialized service units; there has been, however, an appreciation of the SAU's expertise in intensive counseling and of the SAU's aide in supportive contact with the client. The SES office is now responsible for handling WIN client training and employment-related expenses. Basically, however, there has been no alteration in financial reporting procedures and no change in funding level reimbursements.

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through the provision of supportive services and counseling support.

The WSU caseworkers are not responsible for, nor are they permitted to attend to, the financial problems of WIN enrollees. The financial concerns of WIN clients are handled by the Income Maintenance Unit workers. Within each of the six Income Maintenance Units there is one worker who is responsible (part-time) for WIN clients. The Nassau County DSS also employs a liaison worker whose responsibilities include the coordination of communications and operations between the DSS and SES offices. The Nassau County Division of Social Services has 600 authorized WIN slots, 538 of which were filled at the time of the first site visit (May 1972). In Mineola ADC-U's were considered the only mandatory referrals to WIN. All employable male candidates for assistance in New York are required by State law to register at their local State Employment Service (SES) office for employment. If they have fulfilled this initial registration with SES and, if they have not been offered a job by the employment service, they must return to the welfare department for usual assistance application processing. If the client is ADC-U, he is then referred to a WIN Service Unit as an appropriate WIN referral. Female clients were generally regarded as non-mandatory and were referred to the Services Division for further assessment. Women with children under 6 years of age were referred to the Child Service Unit for possible provision of services and subsequent referrals and women whose children were 6 years of age or older were referred to the WIN Coordinator.

Communication between the Department of Social Services and the State Employment Service had been improving in May 1972, and, in general, the two agencies enjoyed a fairly good relationship. The workers were still in a period of adjustment which involved the attempt to arrive at mutual understanding each agency perspective. The existence of differing philosophies and modus operandi required understanding and patience on the part of both agencies. Communication and coordination between the two departments was improving as the result of increased worker familiarity and tolerance.

C. Nassau County (Mineola), New York <sup>3</sup>

The Nassau County Department of Social Services has been involved in the on-going process of implementation of the WIN II Program as the office has received the New York State guidelines; extensive implementation of various program components has already occurred with complete compliance expected in the near future. The WIN Program in Mineola has high department priority and is characterized by a relatively efficient operation and sophisticated worker understanding. As of October, only ADC-U's and appropriate new applicants for assistance have been registered for the WIN II Program. The Separate Administrative Unit (SAU) was responsible during the summer for the review and registration of the existing ADC-U caseload, while the Eligibility Unit in Income Maintenance has been handling the on-going registration of new applicants for assistance. The Separate Administrative Unit in Nassau County consists of two WIN supervisors, fourteen caseworkers, three community service aides and one liaison worker. Operationally the unit has been at a standstill pending further, more extensive Program implementation. A Joint Appraisal Team had

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The Nassau County Department of Social Services, located in Mineola, New York, has a total office caseload of approximately 36,000 and an Aid to Dependent Children category caseload of about 11,200. The welfare department staff size approaches 1,700. Between December 1969 and February 1972, the number of Nassau County welfare recipients increased from 39,623 to 57,998; 4 percent of the population of Nassau County are receiving some form of welfare payment (compared with about 16 percent in New York City). At the time of the first site visit in the spring of 1972, the Department of Social Services was undergoing an organizational change and was in a transition state.

The welfare department maintains a comprehensive separation of services organization pattern whereby financial tasks are handled by the Public Financial Assistance Division (Income Maintenance) and service tasks by the Community Services Division (Services). The department has two WIN Service Units (WSU) (divided geographically) which are housed under the Community Services Division. The major responsibilities of the WIN Units before WIN II were to facilitate client entry into the WIN Program by performing assessment and orientation-related tasks and to assist in the continued participation of a client in WIN

D. Monroe County (Rochester), New York <sup>4</sup>

The implementation of the WIN II Program in Monroe County appeared to be an on-going, but rather selective process. The priority of the WIN Program in the Monroe County Department of Social Services has been relatively low; the program has generally been characterized by poor imageability and overall administrative complacency. The implementation of certain WIN II program components has not altered the basic attitude toward the WIN Program in the department and, thus far, has succeeded in effecting only slight changes in program structure and operation. Registration of mandatory WIN clients in Rochester is the responsibility of the WIN Unit in the department, a sub-unit of the Employment Division. The Eligibility-Intake Unit merely screens new applicants for those ADC cases appropriate for WIN. The names of the ADC clients are then sent to the WIN Unit where the official WIN registration procedure occurs. In Rochester the WIN Unit is basically an administrative rather than a service-providing vehicle; it is composed of one WIN Coordinator

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The Monroe County Department of Social Services, one of the largest in Western New York State, services the population of the City of Rochester and surrounding communities (total population over 700,000). Until fairly recently the county had enjoyed a relatively low level of unemployment ranging about 2 percent. With the downturn in the economy, however, and the growing exodus of manufacturing industries, the labor force and labor market has been shrinking and the unemployment rate which climbed to a high of 4.9 percent in 1970, had leveled off to 4.0 percent by May 1972. The Department of Social Services in Rochester has a total caseload of about 18,000 (27,000 including Medical Assistance) representing an increase of 100 percent in the two year period from 1970 to 1972. The Aid to Dependent Children is the largest category with 10,000 cases.

The department is organizationally divided into two major divisions, Services and Administration. The Social Service Unit is divided into two major divisions itself (1) Income Maintenance with 4 teams of 10-12 staff per team; and (2) Services with 15 teams of 10-15 staff per team. Administration includes the Fiscal, Accounting, and Statistical Units and the newly created Master Control and Validation Units. Total office staff exceeds 800.

who had recently started spending his afternoons at the SES office in an attempt to approximate a joint appraisal process. The Coordinator's function, however, appeared to be more as a liaison worker than as a participant in any meaningful joint appraisal effort. Supportive service provision in the Monroe County Department of Social Services is handled by specialized service units. There has thus far been little change in financial reporting procedures and no development of mechanisms for 90/10 funding reimbursements for WIN administrative procedures and service provision. SES is now responsible for handling WIN client training and employment related expenses.

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The WIN Program in the Monroe Department of Social Services is a minor subdivision of the Employment Division of the department, a division which is responsible for handling the local and state work programs. The department had an authorized 300 WIN slots, 200 of which were filled at the time of the spring visit. WIN tasks were handled by two workers within the welfare department. An Income Maintenance worker handled the basic grant, training and employment-related expenses, child care costs, and other financial concerns of the WIN client, while a service worker from the appropriate geographical service team handled the necessary service arrangements for the WIN enrollee. Services were provided to the client only upon specific request from the WIN Unit or from the client. Without the request for services, the WIN case remained under the Income Maintenance Unit.

The department did have a small separate unit for the administration of the WIN Program. The WIN Unit consisted of a Win Coordinator, a part-time liaison caseworker and one clerk. The WIN Program in Monroe County seems to have limited priority, due in part to the existence of (and preference for) other state and local employment programs.

Communication problems existed between the Monroe County Department of Social Services and the State Employment Service. Basic geographical barriers were compounded by differences in personality and orientation among the respective agency's staff. No formal meetings between the two agencies were held on a regular basis and communication channels in general were limited and rather ineffective.

E. Lowell, Massachusetts<sup>5</sup>

Implementation of the WIN II Program in the Lowell Department of Public Welfare has been both superficial and incomplete. Massachusetts State Administrative Letters were received in June and during the first week of September. Some aspects of the WIN Program have been altered due to receipt of State guidelines; however, most of the changes put into effect appeared to be of a cursory nature and the process of implementation itself, appeared unsystematic and limited in scope. The WIN Program in Lowell has always been of fairly low priority as evidenced in the level of worker understanding, administrative concern, and program efficiency. The registration process had just begun. The Intake Unit was registering appropriate new applicants for AFDC assistance, while both the Service and the Non-service Units were registering appropriate clients from their existing caseloads. The review and

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Lowell, Massachusetts has a population of over 90,000 and a welfare office staff size of about 100. The total welfare office caseload approaches 7300 of which 2351 are in the Aid to Families with Dependent Children category. Unemployment in the city is significantly high at approximately 12.5 percent and is due, primarily, to the general deterioration of the city's traditional economic base, the textile industry.

At the time of the first site visit in May 1972, the Department of Public Welfare in Lowell was planning on the imminent implementation separation of services. In May, however, there was little, if any, real separation of tasks into service and non-service units. The WIN Program also was not differentiated in structure; there was no separate WIN Unit in the office, although there was a part-time WIN Coordinator. AFDC caseworkers assessed clients for WIN and made either mandatory (unemployed fathers, youth age 16 and older, and mothers whose youngest child was fifteen years of age or older) or voluntary referrals to the Division of Employment Security (DES) WIN Team. Caseworkers were also responsible for handling the training and employment-related expenses for WIN enrollees, the approval of child care and other service arrangements, and general program paperwork. The main responsibility of the WIN Coordinator involved the compiling of program data and the submitting of monthly and quarterly State reports.

registration of the on-going caseload was being handled as part of the financial redetermination process and not on an independent systematic basis for this program. Unemployed fathers had been registered in the allotted 30 day time period and the entire WIN caseload had been reviewed for mandatory registration during the summer months. There is no separate Administrative Unit in Lowell, but the department does have a part-time WIN Coordinator. In addition, there is no Joint Appraisal Team and clients are called in for appraisal by the Employment Service Team Counselor in order of category priority. The Employment Service office is now responsible for WIN client training and employment-related expenses; there has been, however, no other changes in financial reporting mechanisms and no knowledge of changes in funding reimbursement levels.

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There were 200 authorized WIN slots in the Lowell area, 150 of which were filled with clients from the Lowell Welfare Department, and the remainder filled with clients from outlying areas serviced by the WIN/ES Team. The Division of Employment Security WIN Team assumed most of the responsibility for a client following enrollment in the Program. The Team is housed in the same facility as the welfare office and the two enjoy generally good communication and cooperation. Scheduled meetings were not held, but informal networks and mechanisms for communication had proved satisfactory.

F. Worcester, Massachusetts<sup>6</sup>

Although the Worcester Department of Public Welfare had begun implementation of the WIN II Program, it had no plans for complete compliance with the guidelines. The WIN Program does not occupy a position of priority in the department and suffers from administrative neglect, office understaffing, and worker despair. There is no separation of services thus far in Worcester and no Separate Administrative Unit has been established. The registration of appropriate new applicants for AFDC assistance has been the responsibility of the Intake Unit, while social workers have been responsible for registering these clients from their on-going caseloads. Most workers have been registering these clients as part of the financial redetermination process, but due to lack of supervisory emphasis and control, many worker decisions have been inconsistent and unsystematic in their application of review and registration procedures. Worcester had set up no Joint Appraisal Team with the Division of Employment Security (DES) and the Employment Office handles the call-up and appraisal procedures on its own. The operation of the WIN II Program in the Worcester office is basically left to the discretion of

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<sup>6</sup> Worcester, Massachusetts is a city with a population of 176,000 and a Public Assistance caseload of approximately 12,129 including 3,378 households in the Aid to Families with Dependent Children category. In April, 1971, Worcester County, an area composed of 22 cities and towns, was declared an area of "substantial unemployment" by the Department of Labor. The locality has been particularly affected by the decline in the area's economic base of shoe and leather industries. The Department of Public Welfare in Worcester has a staff of about 173 and occupies three floors of an older office building in the downtown shopping area.

The Worcester Welfare Department is characterized by a lack of differentiation of tasks among units. Separation of services has not been implemented in the office and, further, there seems to be no real plans for its implementation. The WIN Program in Worcester had been in operation since 1968.

the individual social worker. Workers handle a relatively low number of WIN cases, an average of approximately 5 - 8 WIN cases per caseload, and thus, their involvement in the program and the priority of WIN remains low. The Division of Employment Security had taken responsibility for handling WIN client training and employment-related expenses, but there had been no other changes in financial reporting procedures and/or anticipated changes in funding reimbursement level.

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Since WIN Teams in Massachusetts are organized to serve a number of communities and are not, as a result, limited to specific welfare office domain, the Worcester area WIN Team had 300 authorized slots for the city and for 13 surrounding towns. Responsibility for the operation of the WIN Program was handled on a diffuse basis within the welfare office. There was no separate WIN Unit although the Principal Social Work Supervisor had been delegated as part-time "keeper of the WIN statistics." Caseworkers were responsible for the assessment and referral of clients to WIN, the provision of supportive services to these clients upon their enrollment in the program, and the computation of the financial needs of WIN clients. Unemployed fathers, youth age 16 and older, and mothers whose youngest child was fifteen years of age or older had been considered mandatory referrals in Worcester; most workers indicated, however, that mothers were treated as volunteers and were not forced to participate in WIN.

The WIN/ES staff in Worcester is located approximately five blocks from the welfare office and had been composed of two WIN Teams — three counselors, two job developers, and two employment aides. Meetings between the two agencies in the spring of 1972 were notheld on a regular basis, but frequent meetings did take place in an informal manner.

#### IV. THE PROCESS OF IMPLEMENTATION

The process of implementation of WIN II Program guidelines varied in the three states investigated. The actual procedural format and communication networks utilized by New Jersey, New York, and Massachusetts in their respective attempts to implement WIN II in the local welfare departments differed in both scope as well as technique. The brief discussion in this section is concerned with the process of implementation of WIN II guidelines vis a vis state policy and does not deal with local responses per se. (See Chapter V for a discussion of the major variables in this differential pattern of implementation)

The State of New Jersey appeared to have the most efficient network for guidelines implementation and general program information dissemination. WIN II guidelines were issued in relatively rapid succession to local offices in individual state administrative letters or memoranda. Interspersed with these letters was a series of state-wide meetings attended by local personnel on WIN II procedures. In addition, the state offered technical assistance on forms and procedures to the county welfare offices for income maintenance staff.

The State letters enabled the local offices to "get the message quickly," and, thus, to react to it. A memorandum issued May 16 which dealt with the Joint Development of Local Operational Plans gave administrators an overview of the changes mandated in program financing, staffing, and administration for both welfare and employment agencies. It was followed by a state-wide meeting of WIN Coordinators on May 22 for the purpose of developing local operational plans. A subsequent State letter, Information Transmittal #74, issued June 20, provided comprehensive instructions to local offices on the implemen-

tation of (1) registration and certification procedures, (2) mandated special welfare staffing, and (3) the transfer of expense training grants from the county welfare boards to the employment offices. In July, WIN Welfare and Employment personnel attended a WIN Reporting Procedure Seminar.

In addition to the activities which focussed on the implementation of the revised WIN Program, it is ongoing practice in New Jersey to hold regional meetings once a month with the State WIN Area Coordinator from the Manpower Development Program Unit of the Division of Public Welfare and county WIN related agencies including the Bureau of Children's Services, the Employment Service, and the Welfare Office. New Jersey also publishes a WIN Inter-Agency Newsletter on a monthly basis which highlights various aspects of program operations and reports WIN statistics for each county.

The first New York State Administrative Letters concerned with WIN II implementation were issued in June 1972, and dealt with deleting training related expenses from budgets of current WIN enrollees and the registration of ADC-U Fathers by the July 1 deadline. A series of Administrative Letters have been received since this date (in July and August), each concerned with the implementation of various program components- the staffing and functions of Separate Administrative Units (SAU) in local welfare offices and the procedure for registering new ADC and current WIN clients ('undercare' ADC cases were explicitly exempted from the registration process until further notice from the State). The comprehensive State guidelines for the WIN Program, Bulletin #93', had not yet been completely revised since, according to one of the Administrative Letters, not all the WIN II guidelines had been received from the federal government. The Administrative Letters themselves have been relatively explicit in purpose and thorough in content, but the irregular

timing in the general process of information dissemination and, specifically, in guideline receipt appears to have somewhat hindered rapid complete program implementation. Owing to the rather piecemeal, staggered method of issuing state mandates concerned with program components, implementation of the complete WIN II Program in local welfare departments was necessarily delayed. In addition to this factor, few meetings between state and local welfare personnel were held to discuss WIN II and the problems involved. Local administrators, therefore, lacked a comprehensive overview of the program and had no regular vehicle for information exchange. Implementation of program particulars thus became more difficult. The State Department of Social Services (DSS) at this time was also experiencing a general reorganization from a decentralized to a centralized system.

Massachusetts issued three State letters concerning WIN II Program implementation. The first two were issued on June 7 and dealt with the registration of unemployed fathers and the removal of training-related expenses from the budgets of WIN clients. The WIN II Program was explained in The Welfare Hotline of May, 1972, - a State Department of Public Welfare communication bulletin to department workers. The major State letter (242H), on WIN II Program implementation was issued September 1, received by the Lowell and Worcester offices the following week, and implemented the first week of October. Welfare offices had to wait until after September 29, because on this date a public hearing was held in Boston to permit interested parties to air their views on WIN II.

The State letter, 242H, was limited in scope, dealing primarily with client registration for WIN, such as the criteria for determination of mandatory registration, registration of new and current AFDC clients, and coopera-

tion with DES on appraisal and certification of supportive services for WIN participants. The letter ignored various other program components, such as the SAU and Joint Appraisal. No mention was made of setting up a separate unit in any local office and the letter specifically identified the DES/WIN Team as responsible for appraisal and call-up of those registered at the welfare office.

In addition there were no statewide meetings concerning WIN II and some local offices reported that no internal staff meetings were held either. The dissemination of information concerning WIN II in Massachusetts was relatively low-keyed and incomplete.

## V. MAJOR DIMENSIONS OF CHANGE IN THE PROGRAM:

### THE "BEFORE AND AFTER" VIEW

The following remarks are an attempt to characterize the state of the WIN program along critical program dimensions before and after the implementation of the new Amendments. This section is essentially geared to a comparison of the WIN program at two points in time, one at the end of May, the other at the end of September, in six different sites. While it necessarily takes on the character of a static analysis and the WIN program is anything but a static program, the use of a static model of "before - after" comparison is simply a device for giving the reader a quick glimpse of the extent of change brought about by the Amendments.

#### A. "Priority" of the Program

The evidence suggests that the priority of the WIN program has not been dramatically affected by the new Amendments. Most reports of the second site visit indicate a slight increase in program priority. In general, one can predict on the basis of earlier findings about the sources of program priority that the long run impact of WIN II will be to accentuate positive trends that had emerged from WIN I and not reverse the negative ones. In welfare offices where the WIN program received significant emphasis before the new Amendments, it is likely that priority will continue to be high or to increase. On the other hand, where the program had low priority, it is likely that the Amendments will not reverse that direction, beyond the temporary attention due to the transition. Thus, for example, in the Massachusetts sites and in Rochester, New York, where the program had low priority under WIN I, there was no perceptible change in the former, and only a slight increase in priority in the latter. However, in the two New Jersey sites and in Mineola, New York, where the program had high priority prior to July, the program has

retained its relative importance, even in Mineola where the lower level of information which has filtered through the state welfare agency to the local office has hampered program operations.

B. "Knowledge" of the Program

The first site visits established a positive link between program priority and the level of staff awareness of and knowledge about the WIN Program. This link held with the changeover brought about in the program by the new Amendments. We did discover, however, a generally lower level of staff awareness and understanding of WIN after the new Amendments than before. This can largely be attributed to the relative novelty of the provisions, the sheer complexity and number of the changes in the program, and the piecemeal fashion in which they were implemented in most sites. Staff were generally less aware of the provisions which directly affected them, were confused about the "big picture" (what was happening elsewhere in the office), and did not know about the relationship of various program components or what further changes to expect. For example, it was a uniform finding across the sites that the intake staff was not aware of WIN processes beyond registration. Therefore, they failed to inform clients about call-up and appraisal procedures.

In sites where WIN had high priority, staff were not as "on top of the situation" as they had been during the first site visit and were often ignorant of key provisions of the Amendments. In sites with low priority, particularly in Massachusetts, staff were ignorant of almost all of the provisions of the Amendments.

C. Program Structure

One conclusion which appears to be emerging from our analysis is that program structure - which we found to vary extensively prior to WIN II - varied

even more after implementation of the new Amendments. This is the opposite of the intent of the Amendments which was to bring about greater uniformity of WIN Program structure in local welfare offices. However, this may be only a temporary phenomenon, resulting from the different rates at which the three states have implemented the Amendments. In this case the differences would tend to disappear as all three states approach full implementation. On the other hand, it could be a permanent feature of WIN II, as it was of WIN I, due to the continuing effect of local and state variables on the complete implementation of federal policy. If this is true, the Amendments would seem to have been counter-productive with respect to program structure, for, rather than moving all welfare offices toward a similar WIN administrative structure, implementation of the Amendments is spreading the welfare/WIN Program structures further apart.

In general, what appears to have happened in the respective sites reflected the program structure prior to July 1, 1972. (1) The New Jersey offices, whose administrative pattern most closely resembled that anticipated by the Amendments, have come close to putting into practice the kind of program structure indicated by the SRS guidelines. Specifically, the existence of separation of services and assistance payments enabled these site offices to comply with the kind of division of labor and degree of functional specialization with regard to WIN processes spelled out in the guidelines. The new processes, caseload review, registration, etc. were simply grafted on to this structure. The prior existence of a separate WIN Unit facilitated the development of a Separate Administrative Unit. Those changes in organization required for implementation of the Amendments were minimal, although considerable internal modification of tasks was necessary as significant WIN responsibilities were transferred to the Employment Service. Here, where relatively

little change was required to effect the kind of program structure mandated by the guidelines, the new financial procedures, i.e., 90/10 funding for supportive services, reimbursement of income maintenance staff for registration, were seen as a bonus.

(2) The New York offices, Rochester and Mineola, which themselves differed sharply over the extent to which their WIN Program structure approximated that called for by the new Amendments, drew further apart and in opposite directions with the advent of the new Amendments. Mineola which had two WIN Units prior to July 1 moved toward the administrative pattern found in New Jersey. Rochester stayed about where it had been previously, evidencing little change in program structure. It had a partial WIN Unit consisting of a Supervisor and two clerks who had strictly administrative responsibilities in regard to the program. The staff of this unit was expanded by the addition of two clerks, but service responsibilities for WIN clients continued to be handled by other units in the welfare office in sharp contrast to the type of administrative pattern encouraged by the guidelines. The lack of change in program structure in Rochester could be partially attributed to the priority of the program in the office. It continued to be over-shadowed by the state mandated work relief program.

(3) The Massachusetts offices, which least approximated the kind of program structure mandated by the Amendments, had made little, if any, attempt to implement the new WIN Administrative structure. The limited extent to which separation of social services and assistance payments, i.e., a specialized intake unit, had been implemented meant that these offices had a lower degree of functional specialization than the WIN II guidelines assumed. Consistent with this, neither Worcester or Lowell had a separate WIN Unit prior

to July 1, nor had formulated plans to develop one. Both offices did have a part-time WIN Coordinator, that is, a supervisor who maintained program statistics, and who continued to function in this role. The AFDC staff had complete responsibility for all WIN related tasks including caseload review, registration of clients, and the provision of supportive services. In summary, the Massachusetts sites seemed pre-occupied with other activities, particularly the process of overrationalizing separation of services and assistance payments by 1973 deadline. Thus, the implementation of a new WIN program structure was not a matter of priority and, essentially, was avoided and circumvented as much as possible.

#### D. Program Functioning (Process)

As expected, the degree to which the sites conformed to the mandated changes in program structure was a good indicator of the degree to which they complied with mandated alterations in the processes of the WIN Program. Those sites that were furthest along in implementing the new program structure were also those that had most completely utilized the new procedures.

##### I. Registration

In general the greatest similarity among the sites was found in the registration process. All sites were conforming to the registration requirement as a condition of eligibility as established in the legislation, and all were applying the criteria for mandatory categories of clients. All offices were in the process of registering new applicants and New Jersey sites had begun to review their entire on-going ADC caseload. Most departments were registering eligible clients in a similar fashion - through the regular intake-eligibility process. Perhaps the uniformity among the sites in implementing this change was due to the fact that there were specific

sanctions for non-compliance - namely, the potential loss of federal matching funds.

## 2. Appraisal and Call-up

In New Jersey the appraisal step is performed, as intended by the guidelines, by the Joint Appraisal Team. Camden modified this procedure slightly. The staff of the three agencies involved in the program interview clients separately and then met afterward to vote on acceptance or rejection for WIN at the end of the session. However, the Employment Service maintains a veto over the decision of the other participants. In New York, joint appraisal had not been implemented until recently and varying results were exhibited in the two localities. In Mineola, joint appraisal seems to be following the intent of the guidelines with participation by both the Department of Social Services and the Employment Service. In Rochester the employment agency has been the sole unit involved in client appraisal. The presence of the WIN coordinator on a part-time basis at the employment service, while providing a liaison function, does not appear to be shifting the decision-making in a direction of joint appraisal. In Massachusetts the attitude seems to be that the employment service has always had final decision-making power on the status of WIN clients. Under the new Amendments both the attitude and the reality have remained the same. The Employment Service takes full responsibility for call-up and appraisal. It also handles the 90 day re-appraisal for suitability for employment and manpower services by itself.

## 3. Participation and Services

In New Jersey the employment service offices indicated that they felt that the program was achieving a new level of success; for example, the New Brunswick office had made 41 job placements since the beginning of July

which exceeded the figures for the previous quarter. Twenty-five of those placements were made in September. The Job Developer in Camden said that he had made 15 placements in September, which was an improvement over recent months, but not a peak figure. In New York and Massachusetts it was too early to establish whether placements were resulting from any program changes. These placement rates still need to be assessed in terms of the increased number of registrants and changing labor market conditions. The limited evidence available from New Jersey and Massachusetts on O.J.T. suggested that placements were difficult, if not impossible, to develop for clients due to lack of employer interest and cooperation.

For example, the New Jersey welfare offices already offer almost the entire range of services specified in the SRS guidelines to all clients shortly after they come on public assistance. The provision of particular services spelled out in the guidelines is constrained by available resources at every site. An important case in point is transportation, a major impediment to employment, over which the welfare office has little control. The case with day care facilities is similar; increased federal financing for welfare staff will have no impact on the provision of these services without complementary increases in the capacity of external systems to provide services to WIN clients. The New York offices exhibited considerable apprehension concerning the lack of adequate day care facilities to handle the anticipated volume of new WIN clients. The problem was somewhat different in New Jersey where a reservoir of infant day care facilities had recently been developed and licensed for WIN clients, but the emphasis in selection for the program was shifting to mothers with older children who needed after school care.

### E. Welfare/Employment Cooperation

In most instances, changes had been made in the staffing and/or organizational pattern of individual employment agencies since the first site visit. In some cases, the agencies had taken advantage of the opportunity provided by the Amendments to change the organizational pattern for WIN. The agencies employed the functional model which employs staffing by functional unit rather than by caseload. It was claimed that the functional model was a more effective vehicle for handling the expected increase in caseload than their past team model approach. Most employment agencies had added or were planning to add staff. This was in noticeable contrast to the welfare agencies where - except for the New Jersey offices - no staff additions were anticipated.

By the nature of the changes themselves, and, in addition, by the very demands of the transitional state of program implementation, an increase in contact between the employment agency and the welfare agency has occurred. For example, in Camden which had set up a Joint Appraisal Team in July, the two agencies were meeting twice a week instead of once a month. In New Brunswick, which had a facsimile of the Joint Appraisal Team, "the married team," since January 1972, the two agencies now met twice a week instead of once a week. It is more difficult to assess, however, the "quality" of the contracts and the extent to which those mechanisms designed to improve cooperation and to increase jointness will work out in practice. The level of cooperation and coordination in the New Jersey sites, for example, was described at the time of the first site visit as "good." In general, the evidence suggests that the pattern of prior employment - welfare cooperation is the single most important factor in determining future welfare and employment

relations which must work around the particular approaches of two separate agencies each with different objectives, different staff, and different modus operandi.

The most important factor in improving welfare employment functioning brought about by the Amendments was the simple matter of clarifying "who had authority over what." The Amendments give predominant responsibility to the employment agency. Further, they spell out in greater detail which agency is to have the final say at various points in the decision-making process. Thereby the Amendments have somewhat reduced the uncertainty which existed in many sites over responsibilities and, thus, removed an important impediment to effective agency cooperation.

This shift in emphasis of the WIN II Program from essentially a welfare to an employment program was not as dramatic a change as implied by the guidelines. The employment agencies have always played a leading role in the program prior to July 1; WIN has "always been an employment program." The Amendments, therefore, simply confirmed, or, in some cases, accentuated, a trend which had already existed.

#### F. Clients

Since we did not assess views of clients prior to the implementation of the new Amendments, and since the sample of clients interviewed during the fall of 1972 was necessarily small, it is difficult to make anything but the most speculative conclusions concerning the kind and magnitude of changes in clients. Most of the clients interviewed had recently come onto the AFDC caseload and had not had previous contact with welfare. Thus, the new features of the system did not stand out in their minds and they seemed to accept the provisions for mandatory registration at Intake as part of the process of

applying for public assistance. Few cases of resistance were reported, although caseworkers described a range of responses from incredulity to fear.

Many clients failed to show up for the Joint Appraisal Interview and this was handled by subsequent letters and home visits. Apparently, the problem for some was that they had not been properly informed of the mechanics of the WIN II process and did not understand the significance of the J.A.T. interview. Other clients who did keep their appointments were bewildered when faced by the battery of agency staff. Most of the clients we interviewed were eager for employment or training, and thus found the manpower resource a bonus. The request for education or retraining was common which would indicate that the WIN staff needs to correct the image of the program in view of the changes in program emphasis to immediate job placement.

Under WIN II clients who are exempt from mandatory registration, such as mothers with children under six, may volunteer for registration. Consistent with this provision, the guidelines give priority to volunteers among all groups of registrants. However, the interviews with the staff at the various sites revealed that the response to volunteers differed from office to office. In Camden, for example, the Joint Appraisal Team, which was dominated by the ES-WIN Team leader, is "steering away" from volunteers. As one SAU worker explained, "He (the Team leader) feels that he didn't have much luck with volunteers before." A major problem in the Camden program, as well as elsewhere, was the high rate of drop-outs; the Employment Service places part of the blame for this on the fact that there are no sanctions on volunteers which could force them to remain in the program.

In contrast to the situation in Camden in which the tendency was to give priority to mandatory registrants, the Employment Service in Worcester

and in Lowell, Massachusetts were more eager to certify voluntary registrants than mandatory registrants. The WIN Team leader in Lowell pointed out that it was the volunteers who were showing up in greater numbers for the call-up and appraisal session. In Worcester, the feeling among the staff was that it could "work better with volunteers than with mandatory clients who weren't interested in WIN."

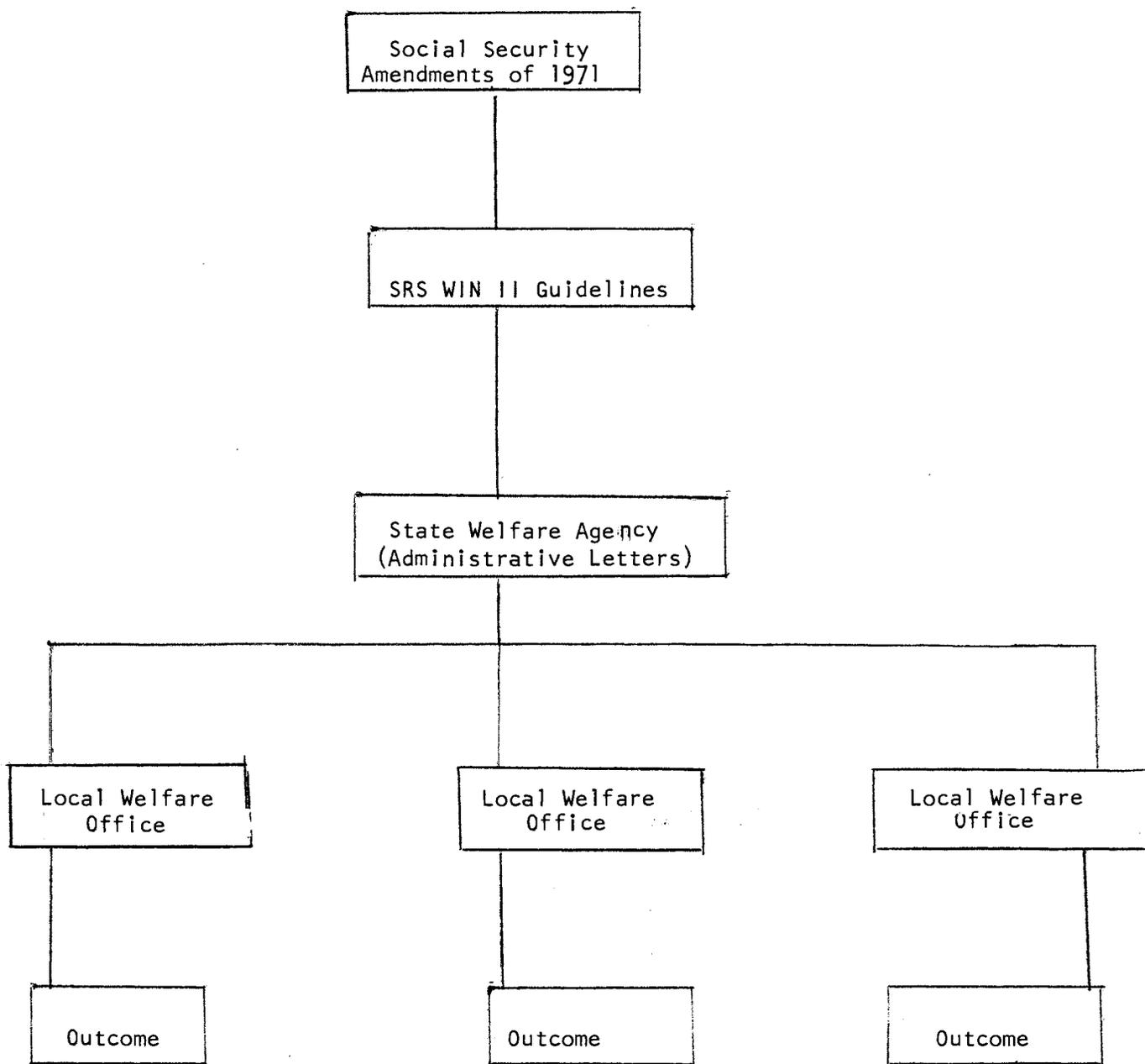
## VI. VARIABLES IN THE PROCESS OF IMPLEMENTATION AND PROGRAM CHANGE

The six sites fell at different points along a continuum in regard to the implementation of WIN II. The discussion that follows identifies those variables which seem to account for the differences observed among the sites. It is important to note at the outset that these variables do not represent a definitive statement of causality, but rather a list of first order effects that emerged from our analysis of the data.

Although a standard set of guidelines for WIN II was issued by SRS, the program had different outcomes in the six sites. One approach to understanding the extent and pattern of variation is to look at the progression of the guidelines from SRS through the state welfare agency to the local welfare agency. What exists is a series of "gates" through which the federal guidelines must pass and at which point they get interpreted, resulting in the observed variations in the patterns of implementation. The following discussion attempts to identify the variables at each "gate" and to account for the way each appears to have influenced the pattern of implementation.

System of Gates Through Which  
WIN II Legislation Passed

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A. Modus Operandi of State Welfare Agencies

The manner in which the state welfare agency implemented the SRS Guidelines affected both the process of implementation and the extent of program change which was observed at the time of the second site visits. In Massachusetts the state agency relied entirely on the formal method of transmitting a set of selective administrative regulations on WIN II to the local welfare agency. The New Jersey state agency, however, combined the issuance of official regulations with informal meetings between WIN staff of the local agency and the state welfare staff responsible for the WIN program. While in New York primary reliance was placed on the issuance of formal regulations for implementing WIN II there was some evidence of limited contact between state and local WIN personnel regarding WIN II.

Each of the observed patterns of implementation of WIN II guidelines was influenced by the pattern of cooperation between the state agency and the local agency regarding WIN which existed prior to WIN II. In New Jersey, the state agency had a well developed unit for WIN which was regularly in touch with the local agencies about the program, while in Massachusetts and New York, the state WIN Units seemed to have only a sporadic presence in the operation of the WIN Program in local welfare offices.

B. Manner in Which SRS Guidelines 'Translated' into State Regulations and Timing of State Letters

The state welfare agency further affected the extent of program change by its decision on how much of the SRS Guidelines to pass along to the local agencies and what time frame to use in implementing the regulations it did issue. In Massachusetts the state agency selected parts of the SRS Guidelines to pass on to local offices for implementation; those concerning mandatory registration of AFDC-U fathers, and new AFDC applicants were included in

the communications from the State Department of Public Welfare, but those regarding the establishment of Separate Administrative Units or Joint Appraisal Teams were not. Those parts of the SRS Guidelines that the state agency decided to implement were in three State letters, two concerning registration of AFDC-U fathers and removal of work related expenses in June and one concerning registration of new and old AFDC cases in September. New Jersey chose to pass on a relatively complete set of guidelines to the local welfare offices, most of which were received by the local agencies during June, prior to the start of WIN II. The New York Department of Social Service (DSS) translated most of the key features of the SRS Guidelines into state regulations, but not as comprehensively as New Jersey; however, they were issued in a series extending over a three month period from June to August, apparently on the basis of the deadlines contained in the SRS Guidelines.

C. The Priority Given WIN by the State Agency

The priority given WIN by the state welfare agency also had a significant impact on the implementation of WIN II. Where WIN received significant emphasis, as in New Jersey, implementation of WIN II was quicker and more thorough than in the other two states where WIN was not as much a priority program. The New Jersey Division of Public Welfare better prepared local welfare offices for changes in the operation of the program and worked to insure complete compliance with the new program structure and procedures mandated by the WIN II guidelines. Where WIN had low priority as in Massachusetts, the state agency was not aggressive in pushing the local offices to implement WIN II. The Massachusetts Department of Public Welfare issued only a portion of the SRS guidelines, and did so in such a way that the local offices were left to fend for themselves in working out the details of how to implement that portion of

the guidelines sent down to them. There appeared to be little concern on the part of the State DPW concerning local compliance with the new WIN procedures, except in the case of mandatory registration of AFDC-U fathers where specific deadlines appeared in the federal guidelines. In New York the priority of the WIN Program in the state agency was more difficult to assess, as the two New York sites differed in the priority given WIN; in Nassau County WIN had high priority while in Monroe County its priority was low. It appeared that in New York pressure from the state agency for implementation of WIN was greater than in Massachusetts; however, local priorities seemed also to carry considerable weight.

D. The State Welfare Agency - Local Welfare Office Link

The type of relationship which existed between the state welfare agency and its respective local welfare offices had profound impact on the implementation of WIN II. Where the state agency had considerable influence over the operation of local offices as in New Jersey, the changes in WIN could be implemented with some dispatch, particularly if the program had priority with the state agency as was the case with New Jersey. However, where the state agency had little influence over the direction of local offices as is the case in Massachusetts, program implementation would be difficult to insure, regardless of its priority with the state agency (which did not appear to be high in the case of Massachusetts). The link between state and local welfare agencies in New York occupied a mid-point between the extremes of Massachusetts and New Jersey. The state agency did appear to have more influence over the course of local welfare operations than in Massachusetts; however, its authority was limited by the power of local agencies, as evidenced by the fact that WIN had differing priority and commitment in Nassau County and in Monroe County.

The above pattern of influence is largely the result of the ways in which the administration, financing, and political control over welfare are divided among the various levels of government and bureaucracies within the state. In Massachusetts, welfare is entirely financed and administered by a state agency, the Department of Public Welfare. However, until the state takeover in 1967, welfare in Massachusetts had been the responsibility of the cities and towns in the state, with only minor administrative and financial input from the state. The legacy of local control persists in spite of (1) the fact that the formal ties to the local community had been severed and (2) the concerted effort on the part of the state to reduce the number of local offices (from 270 to 120 at present count) and thereby gain greater control over them.

New York and New Jersey both have a county-based welfare system in which administration and financing are divided between the local communities and the state. In New York, the county legislature hires all staff and pays a portion of the total budget while the state agency is responsible for program administration and the remainder of that portion of the budget not financed by the federal government. However, as the counties are large and have considerable political influence they can and often do direct a course independent of that of the state agency. In New Jersey, the same division of responsibilities exists between county welfare boards and state welfare agencies; however, the state agency appears to carry much more weight in influencing the operation of the local offices.

#### E. Local Autonomy

The implementation of WIN II was influenced by the extent to which the local welfare agencies were free to set their own priorities and to resist initiatives from the state welfare agency. In Massachusetts despite

the fact that all the welfare offices were part of the same state welfare bureaucracy, the tradition and history of local autonomy and independence meant that each office had considerable latitude in implementing the state guidelines on WIN II. In the case of the New Jersey offices, the local welfare offices did not appear to have much autonomy from the state agency, despite the fact that administrative control and financing were shared with the county welfare boards. As a result WIN II which had high priority with the state agency was promptly implemented and in a similar fashion and degree in both New Jersey offices. This was not the case, however, in New York where the fact of county control of the budget and of the administrative machinery seemed, especially in the case of Monroe County, to give the county a kind of countervailing power to resist directives from the state agency. Nassau County probably has similar power but chose to implement the program more completely.

It is difficult to assess without additional study how much of the differences in the way local office initiative is exercised are the result of the way relations are structured. In Massachusetts the problem of program control and standardization is administrative with the state office attempting to gain effective control over the numerous local offices within its own structure. In New Jersey and New York, the link between the state departments and local offices is political and financial and the workers are county, not state, employees. This means that the state relates to fewer local units and that its agenda is facilitated by the process of more systematic and comprehensive information distribution, as well as political and financial sanctions are administrative and must be directed at individuals within the bureaucracy who are protected by civil service and unions. This problem may be only

transitional to an effective statewide system in the sense that the local personnel were inherited by the state when it took over the system and that, over time, it will be able to place its own people into positions throughout the structure.

F. Size of Local Welfare Office

The respective size of the six local welfare offices varied considerably in terms of both caseload size and total staff size. Total public assistance caseload size ranged from a high of 24,000 in Nassau County to a low of 5,100 in Lowell, Massachusetts. Total staff size ranged from a high of approximately 1600 in Nassau County to a low of 116 in Lowell. These figures become more significant when ratios are computed. For example, the ratio of total staff size to total office caseload ranged from one worker for every forty eight clients in Worcester (1:48) to one worker for every fifteen clients in Nassau County (1:15). The discrepancies in size among the six sites was significant both in terms of descriptive base line data as well as subsequent analytical review.

The relationship of office size to the process of implementation is an important one, with size being a relatively reliable indicator of department response to mandated changes. In Massachusetts the limited staff size (as evidenced by the average client:staff ratio) made not only general organizational specialization by function difficult to attain, but also inhibited the implementation of new programs. Local Massachusetts offices appeared to be short-handed as is; implementation of WIN II with its implicit administrative complexities and emphasis on department specialization added a further burden to an already over-burdened system.

In New York and New Jersey, on the other hand, the problem was of a different order. Implementation of WIN II meant the adjustment of a sophisticated and, in some cases, a large welfare bureaucracy. The problem became one of the inherent inertia of specialized systems to accept changes and to adapt to them.

The concern in New York was not primarily one of resources as in Massachusetts, but rather one of flexibility and response. In Rochester, for example, complete implementation of WIN II would require moving the WIN Unit from Income Maintenance to the Services Division. Such a move would have required a great amount of effort. Implementation of program components in such offices involves a substantial commitment on the part of the bureaucracy and possibly incentives that make change efforts worthwhile.

G. The Organizational Pattern of the Local Welfare Agency

The organizational pattern of the local welfare agency was an important determinant of the extent of implementation and program change. Those offices with a pattern similar to that called for in the SRS Guidelines were able to comply more easily with the guidelines, while those with patterns which differed substantially had great difficulty complying and had implemented fewer of the WIN II changes. The New Jersey offices which had, at the time of the first site visits, the kind of organizational pattern which the SRS Guidelines later mandated for all sites were furthest along in implementing the WIN II changes. These offices already had separate WIN Units in the Service Division of the agency, as well as regular coordination between the welfare department and the employment service. Thus, the only changes required to meet the WIN II Guidelines were those shifts in tasks and staff needed to perform new tasks brought about by WIN II. The New York offices had a similar pattern of organization, with the exception of Rochester where the WIN Unit was in the Income Maintenance Division rather than the Service Division. Thus, Mineola, with a WIN staff in the Service Division, was much further along in implementing WIN II than Rochester where the implementation requires relocating and reorganizing the WIN Unit. In the New York and New

Jersey offices the changes in WIN II which affected the other units in the welfare department meant that staff and tasks were shifted and adjusted. This was not the case, however, in Massachusetts. The Massachusetts offices had not yet, or were just starting, the process of separating payment functions from service functions. Those parts of the guidelines referring to tasks to be performed by Income Maintenance or Service Units could not apply to existing organizational context of the offices in Massachusetts. AFDC workers, rather than a WIN SAU or Income Maintenance Unit, handled the WIN caseload. Thus, the degree of implementation of WIN II in the Massachusetts offices was minimal with respect to those changes in administrative pattern which would have required a more complete re-structuring of the offices.

#### H. The Priority Given to WIN II

The priority given to WIN I was positively related to the extent to which WIN II was implemented by local welfare offices. Where WIN had priority prior to the new Amendments considerable effort was expended in a systematic fashion to implement them. Where WIN had low priority prior to July 1, little effort was invested to make program changes after that date. Thus, in the New Jersey offices and in Nassau County, where WIN was a priority program, the local offices had implemented WIN II to the extent that the state welfare agency had passed along the federal guidelines. While in Massachusetts offices and Monroe County, where WIN was a low priority program, little effort was made to implement WIN II except for those changes which carried the possibility of sanctions for non-compliance, such as registration of AFDC-U cases.

### I. Related Work Programs

Various work programs for welfare recipients initiated by state and/or local governments influenced the extent of program implementation and change. In some cases the other work programs competed with the WIN program for priority in the agency, and, in those cases like Monroe County where priority was given to local and state originated programs, the WIN program suffered considerably, both before and after the start up of WIN II. Even where the other work programs did not displace WIN in terms of priority, administrative difficulties were present. For example, in Mineola, the New York State Work Reform program creamed many of the more employable AFDC recipients from the WIN Program and caused hardships for WIN clients by compelling them to pick up their checks at the SES offices.

The absence of an AFDC-UP program in New Jersey and its replacement by a number of state and/or state and local employment programs. In both the New Jersey sites the AFDC-UP program was replaced in July of 1971 by a state funded program, Aid to Families of the Working Poor (AFWP), which provided grants at two-thirds of the level under AFDC-UP to unemployed fathers while seeking to place them in jobs. The absence of the AFDC-U fathers in New Jersey thus meant that the local offices were able to skip over the requirement in the guidelines regarding AFDC-U fathers and thus facilitated the implementation of the registration of the current AFDC caseload.

In addition to the AFWP program, the Camden office also was participating in an optional program jointly funded by the state and the county called NON WIN designed to place AFWP fathers and AFDC mothers not in WIN in job training programs and/or jobs. However it differed significantly from the New York program in that no mandatory referrals to the program were re-

quired and the participants were only those recipients who could most benefit from either employment-related training or direct job placement services. While the AFWP program and NONWIN did not appear to detract from the priority of WIN in the New Jersey offices, it was possible that the more employable clients were being creamed away from WIN or receiving referral to both programs.

#### J. The Local Community

In addition to the state welfare agency and local welfare offices, a number of variables associated with the community or area in which the local offices were situated were influential in determining the direction of program change and implementation. The most important variable was the characteristics of the local economy. Such factors as the rate of unemployment, the types and number of jobs available, and other indicators of the state of the local economy directly impacted the kinds of jobs WIN clients might be placed in, or the kinds of training slots which might be made available to them. This variable became particularly important with the shift in emphasis from training to placement in WIN II. For example, Lowell, with a chronically high rate of unemployment and a shrinking industrial base, had difficulty finding jobs for WIN clients. Camden exhibited a similar difficulty, particularly in placing women in a depressed labor market. Rochester faced the loss of manufacturing jobs which were at skill levels compatible with the work histories of many WIN clients due to the exodus of industries from the city to low wage and low tax states.

Another variable was the political developments within the local community which impacted the WIN Program either directly or indirectly. The low priority of WIN in Rochester could be traced directly to the much talked about "taxpayer revolt" which took the form of pressure on the county legis-

lature to come up with methods of limiting the rise in the welfare budget, which currently is consuming half the county budget. This sentiment resulted in the local work program for welfare recipients which displaced WIN as a priority program within the welfare office and further led to a freeze on staff in the welfare agency, thus restricting the kinds of changes that could be made to implement WIN II. In the Massachusetts offices the recent unionization of public welfare workers had an impact on the WIN Program in that one of the union demands was the separation of assistance payments and social service staffs, which, along with similar HEW directives, will lead to the kind of organizational pattern more compatible to the WIN II Guidelines.

## VII. ISSUES AND PROBLEMS IN PROGRAM IMPLEMENTATION AND CHANGE

This chapter identifies the major problems in program implementation and change discovered during the course of the research on the impact of WIN II on local welfare offices. Some of the problems discussed herein are common to all sites - although often in different forms - while others pertain only to certain identified site locations.

The WIN II Program in all sites was in what could be characterized as a "transitional stage." Even in New Jersey where the implementation of WIN II was in the most advanced stage, one could not say that the program had reached a point of equilibrium. Dependent upon the degree and method of implementation, all sites were experiencing some forms of start-up problems. Some of the problems found in the course of the research are obviously of a short duration and are related to the start-up, short-term difficulties encountered in the implementation of any new program. The most obvious start-up problem, for example, was the sense of confusion and general uncertainty among welfare office staff and administrators regarding the new procedures - what the mandated changes meant and how they would work out in practice. In many cases this was normal and to be expected during the transition phase of any program change. In other cases, however, the confusion was the result of an ineffective, inappropriate process of change implementation (abrupt, unsystematic changes without adequate provision for dialogue and information exchange) rather than the result of a natural transition function.

Other problems, however, are not quite so easily characterized as start-up problems. Certain problems existed during the fall of 1972 which the evidence suggests are due to structural difficulties in the program and, thus,

although they may ease somewhat over time, they are likely to remain as problems even when the program becomes stabilized.

The following is a list of the problems identified and discussed in this chapter:

- A. The Job Market and Client Characteristics as Constraints on Program Output
  - B. The Method of Program Implementation
  - C. Divergence Between SRS Guidelines and the Organizational Pattern in Local Welfare Offices
  - D. Simultaneous Changes in Other Aspects of Welfare Office Operation
  - E. Local and State Work Programs
  - F. The Shift in Authority
  - G. Services
  - H. Child Care
  - I. Forms and Paperwork
  - J. Registrant's Pool
  - K. Client Training Needs
  - L. Staff Perceptions and Morale
- A. The Job Market and Client Characteristics as Constraints on Program Output

The new Amendments shift the emphasis of the WIN Program from training and education to direct job placement. However, a number of factors discovered in the course of the site visits suggest that it may not be all that easy to realize this objective of WIN II. In the first place, most program administrators pointed to the condition of the local and regional economy - the kinds of jobs available and the unemployment rate - as a serious limitation to the achievement of the goal of direct job placement. In cities like

Lowell, and New Brunswick with a declining local economy and a consequently high rate of unemployment, administrators were pessimistic about the prospects of placing welfare recipients in jobs. Secondly, even in cities, like Rochester, with relatively strong local economies and low unemployment rates, the recent employment problems in the total economy has resulted in the loss of jobs for many (the unemployment rate in Rochester since 1970 has gone from two percent to over four percent) and a consequent shrinking of the supply of jobs into which welfare recipients could be placed. Finally, the characteristics of the AFDC population make the prospects of their being placed directly into jobs relatively remote. In general it was found that referrals to the WIN Program tended to concentrate on those individuals who had recently lost their jobs and were interested in work; however, these people often had the particular problem of not fitting into the shrinking and changing market of jobs. In other cases, clients had particular handicaps which hindered their getting a job, - in the case of the father, many had multiple problems, particularly health and drinking problems, and in the case of mothers, it was the presence of small children or numerous children in the home, health, and/or a lack of skills, work experience, and confidence.

The specific employment features of WIN II designed to facilitate higher placements did not seem to address directly the above mentioned problems, and, in addition, were posing problems in their implementation. Among the mechanisms for increasing placements were (1) more money for OJT and (2) Public Service Employment (PSE), and (3) the Labor Market Advisory Councils. Many of these components had not been implemented or were just in the initial stages of operation at the time of the second site visits, only 3 months after the effective date of the new Amendments. In the cases where they were operational they did not seem to be having a direct impact on the employment

of clients. Labor Market Advisory Councils could only point out what kinds of jobs were available; they could do nothing to strengthen a slumping local economy. In addition, most of the employment service personnel were well acquainted with the problems of placing welfare clients in appropriate jobs. They generally did not need more advice; they needed tools for effecting the shape of the local labor market and for providing the kind of specialized employment services and training which many welfare clients would need in order to be able to work.

The On-the-Job-Training (OJT) component, which seemed to many a natural way of overcoming the labor market constraints to employing clients, was running into difficulties in the sites where it was being developed. First, employers were reluctant to take welfare recipients despite the incentives offered by the tax relief provision. In other cases employment service staff were reluctant to place recipients in jobs where employers were using OJT for jobs which were the dead-end or irregular kind of employment which would more than likely put the recipient out of work and back on the welfare rolls in a short time. The PSE component seemed to offer brighter prospects for meeting the problems of employing welfare recipients, but it had not been implemented in any of the sites visited. Some apprehension was expressed by employment service staff about PSE, however, in that the history of such programs often meant the replacement of the goal of employability of welfare recipients by the goals of local political interests.

#### B. Method of Program Implementation

The method of implementation at the state and local levels created problems which might have been circumvented had alternative approaches been utilized. It appears that effective and efficient implementation of the guidelines was dependent in part on this very process of information dissemination.

New Jersey appeared to have the most effective process utilizing both formal and informal communication networks as well as relatively complete, systematic guideline dissemination to local offices. New York was somewhat less efficient; the state did not develop functional mechanisms for feedback and general information exchange and, in addition, seemed unable to effectively disseminate guideline information to local offices. Departments complained of piecemeal receipt of program guidelines and lack of a necessary program overview. The "trickle-down effect" experienced by local welfare departments did not provide an effective vehicle for program implementation. In departments where WIN was a high priority program, the New York state mechanisms for implementation were regarded as a hindrance, an inefficiency, and an added confusion. Massachusetts relied on State Administrative Letters for program implementation in local offices. No formal communication networks were utilized and, in fact, some offices did not hold inner-office meetings to discuss the changes.

Even where the process of implementation was more developed, some negative effects of program performance in local offices were observed. For example, in New Brunswick, the numerous letters concerned with program implementation created a state of confusion. It appeared that the "state was in too big a hurry to implement WIN II." Forms were copied from the "WIN Information Systems" booklet, without time being taken to adapt the forms to specific office circumstances and structure. For instance, the registration form in the "Systems" booklet was intended to be completed by a staff member, but, in New Brunswick, the client was responsible for completing the registration forms and had great difficulty with the new forms. This lack of consistency between program component and the existing modus operandi, coupled with the sense of urgency, caused considerable difficulties.

A different kind of problem appeared in the Worcester office. Workers in Worcester were inconsistent and rather unsystematic in their application of registration procedures. Some workers were only registering AFDC-U fathers for WIN II, while others were reviewing and registering all mandatory clients on their caseload. The office had not had a general staff meeting regarding implementation of the state administrative letters and workers and supervisors alike were left on their own to interpret and operationalize the new procedures. The WIN Program was not regarded as a priority issue and, as a result, received little department emphasis. There appeared to be little supervisory or departmental check on registrations so that workers exercised a great deal of individual discretion.

C. Divergence Between SRS Guidelines and the Organizational Pattern in Local Welfare Offices

One of the most serious problems in the implementation of the WIN II Program was the fact that the SRS Guidelines seemed to proceed on the assumption that all local welfare offices had the same or similar organizational patterns. The guidelines did not make allowances for the obvious variation in organizational pattern which exists among states and even within states. Thus the guidelines neither incorporated options for implementing WIN II in departments with different organizational patterns nor provided advice or assistance to those offices with a different pattern, enabling them to move toward the kind of pattern desired. As a result, those offices whose organizational pattern most closely resembled that of the guidelines had an easier time implementing WIN II. They were able to conform more to federal standards than those offices which differed from that standard.

The first evidence we discovered of this problem was in Massachusetts. The Guidelines were written for offices with separate Income Maintenance and

Service Units with a fairly high degree of functional specialization. The Massachusetts offices because of their small size and jurisdiction were not highly structured with individual functions being in separate units and are only now beginning the process of separating services. The guidelines made no allowance for this variation. The task of implementing WIN II in these Massachusetts offices would, therefore, have required an almost total restructuring of local welfare offices.

This problem, however, was not limited to Massachusetts. The guidelines were written for WIN Units located in the Services Division of the local welfare agency. This situation was not the case in Rochester where the WIN Unit was in the Income Maintenance Division. As the kind of work flow discussed in the guidelines was not applicable in this type of pattern, it was impossible to implement many of the new WIN II procedures without first adapting, or attempting to adapt, them to this variation in office structure.

D. Simultaneous Changes in Other Aspects of Welfare Office Operation

One of the sources of problems in the implementation of WIN II was the fact that local agencies had in many cases to implement other changes in procedures simultaneous with, and often contrary to, the demands of WIN II. It appeared that not enough attention had been given by the state and federal agencies to the overall impact on the local welfare offices of the different changes being demanded by the same or different agencies. The state and federal agencies seemed to act as if each change, such as the implementation of WIN II, was the only agenda item for the local offices, with performance expectations geared accordingly. However, the opposite was the case for local offices which constantly faced a whole series of "mandates" from local legislatures and state welfare agencies. This created conflicts over priorities on staff time and resources which had to be allocated among competing programs.

For example, it was found that Massachusetts offices were pre-occupied with the change-over brought about by the HEW 'mandate' to separate social services from assistance payments. In offices like those in Massachusetts which had functioned over a considerable period of time on a smaller scale and with less specialization of functions than many welfare offices in other states, this change was significant and almost completely absorbed the energies and attention of staff and administrators. Thus, to have found the resources to implement WIN II, even had there been a push from the state agency, would have been very difficult at best. What might appear to be foot-dragging from the perspective of a federal agency with regard to the implementation of WIN II in Massachusetts welfare offices, was, in fact, a rational response on their part to competing priorities for change. Further, this very lack of specialization in the Massachusetts offices made in some instances for a better response to WIN clients than in offices which had already gone through separation of services, where responsibility for a WIN case was often fragmented among multiple units within a large welfare bureaucracy.

In other offices, it was not a major organizational change but the accumulation of many different changes happening at the same time that caused problems in implementing WIN II. For example, in Camden, the implementation of WIN II followed on the heels of other federally mandate changes such as the rise in social security benefits, changes in the food stamp program, and increases in veteran's benefits, all of which required a significant amount of staff resources, effort, and time.

E. Local and State Work Programs

Other programs in local welfare offices for placing welfare recipients in jobs were found to have a potentially negative impact on the

WIN Program. The most noticeable and most important for their impact were the state and local work programs which have recently been enacted in many welfare offices in an attempt to stem the rising caseload. In addition, there were smaller scale programs which operated alongside the larger state and local ones and which had an important role in individual welfare offices. In this study, two such work programs were encountered, one in New York and the other in New Jersey.

In July 1971 the AFDC-UP program in New Jersey was replaced by a state funded program, Aid to Families of the Working Poor (AFWP) which provided grants to unemployed fathers while seeking to place them in jobs. The absence of AFDC-U fathers in New Jersey meant that the local welfare offices did not have to be concerned with the mandated registration of AFDC-Ups into the WIN Program, thus facilitating the registration of the on-going AFDC caseload. In addition to the AFWP program, the Camden Welfare Board was also participating in an optional program jointly funded by the state and the county referred to as NON WIN. This program was designed to place AFWP fathers and AFDC mothers not participating in WIN in job training programs and/or jobs. The program was optional and no mandatory referrals were required, but, for those clients who appeared to be more job ready, a tendency to refer clients to NON WIN was noted. This meant that many of the more employable clients were creamed away from the WIN Program.

The program in New York State was the New York Work Reform and Work Relief Law; it was preceded in one site - Rochester - by a local program of similar design, called the Work Experience Program. The state program, passed in June of 1971, requires first that all employable HR (Home Relief) and AFDC recipients report to the State Employment Service (SES) to register for work

and to pick up assistance checks; and second, that all employable HR recipients perform public labor to work off their grants. A special SES office was set up to handle only welfare recipients. All employable HR and AFDC cases were sent to that office as a part of the intake procedure at the welfare office. Only after the client returned from the SES office indicating that he/she had been registered in the program and interviewed for a job, could that person's application for aid be considered.

In New York State the effect of these work programs on the WIN program varied from site to site. In all cases it was negative - only the degree varied. In Mineola the requirements of the state law caused administrative difficulties for the WIN Program, both before and after the implementation of the new amendments, and in Rochester the two other work programs not only resulted in administrative chaos but completely displaced the WIN Program in priority. The most important administrative difficulties found at both sites were the following: First, by requiring AFDC cases to register first for the state program, the law had the effect of reverse creaming for WIN, that is the more employable AFDC cases were picked up at the SES interview for Work Reform and sent out on a job. The SES staff in Rochester complained that as a result of this program, WIN/ES was getting a less employable population to work with. In addition, the requirement that all Work Reform registrants pick up their checks at the SES office, rather than receiving them in the mail like other PA recipients, caused a hardship for WIN clients, many of whom could not get time off work to pick up a check if they had a regular job as part of WIN. This situation has been remedied in Mineola where WIN clients now receive their checks by mail. Finally, in Rochester where the state and local programs had high priority, a separate payroll for all employable recipients

was set up for those recipients participating in Work Reform. As a result, the WIN Program literally got lost in the minds of the staff and administrators of the Income Maintenance Units and, to a lesser extent, the Service Units, as WIN clients were just a small proportion of the total number of clients in the "employable payroll"; in short, the imageability of the WIN Program suffered and continued to suffer even under WIN II due to this administrative device.

At the time of the second site visits, it appeared that many of the problems resulting from the state work programs would soon be reduced because of a recent ruling by the Federal Appeals Court that the federal law superceded the New York State Law. Thus, an injunction was issued barring the State DSS from applying Work Reform to federally financed categories - for example, AFDC. This would mean that in Rochester the WIN clients would have to be cycled out of the employable payroll and put on the regular payroll.

#### F. The Shift in Authority

One thrust of the WIN II guidelines is to shift the predominant responsibility for the program to the Employment Service, spelling out general program orientation as well as the various points in the decision-making process at which this agency has final authority. Concurrent with this shift, the guidelines also attempt to stress the development of a joint program and greater interagency cooperation at each level of program performance. These two aims appear to be somewhat contradictory both in theory and in practice. Welfare staff seemed aware of the fact that WIN had become more of an employment office program. Most workers, however, thought that WIN "had always been a labor department program; only now it is more so." The guidelines merely eliminated any lingering doubts or illusions that welfare may have had regarding its autonomy vis a vis WIN.

In some sites the increased role of the Employment Service caused resentment among Separate Administrative Unit caseworkers and other WIN related personnel in welfare. In Camden, for example, the Employment Service exercises a veto at the Joint Appraisal interview with regard to acceptance of clients for WJN. SAU workers have found this rather difficult to accept. In Worcester, on the other hand, where the program had traditionally been seen as an exclusively Employment Service program, the decision-making power of the WIN Team (strictly an Employment Service Unit) regarding client participation is not questioned or resented. In Mineola where joint appraisals had not yet begun, the welfare and Employment Service staff alike did not anticipate any problems with program operation; it appears that joint appraisal means every effort will be made to reach a concensus. In Nassau County, in fact, it was pointed out that the Employment Service staff had developed a client-oriented casework approach, and it would now be necessary for them to readjust their orientation and rearrange their modus operandi in order to effectively administer WIN II.

#### G. Services

The area of services and service provision has been traditionally an area of both priority as well as frustration for social workers and welfare administrators alike. The issue of services and their provision has been further complicated by the general emphasis of the WIN Program on comprehensive service provision and, specifically, by the 90-10 funding reimbursement provision of WIN II.

The provision of supportive services to a client is only as good as the supply of available service resources. On the surface, both the extensive list of mandatory supportive services in the WIN II guidelines as well as the increased percentage of federal reimbursement seem to be an incentive

for more comprehensive and "better" service provision. The problem is the degree to which the welfare staff has the capacity - the available resources - to provide the services. The welfare department must generally work within the existing framework of available service resources. There is, for example, a specific and limited supply of housing in a region which is available and appropriate for service utilization. The increase of staff efforts will not add to this supply; it will merely increase the time available to the caseworker to attempt to find suitable facilities within the existing supply and, if need be, to "shuffle people around from one bad home to another." It is recognized, of course, that the provision for additional time devoted to service arrangements could be of considerable value in many instances. It should be realized, however, that it is the existing resource supply that is the crucial variable in successful service provision and not necessarily the worker's time.

#### H. Child Care

Several problems existed in the area of child care in relation to the WIN II Program. The problems themselves, while all concerned with child care services, varied in nature and in scope. Child care appeared to be the one definitive service area with which WIN caseworkers were most involved and with which they were most frustrated. WIN service provision seemed almost synonymous with child care service provision.

The nature of the child care problems varied from state to state and, indeed, from site to site. In New York, for example, available child care service resources were fairly limited. In addition, the state mandated voucher system for the payment of child care expenses functioned to further reduce the limited supply of resources. The voucher system discouraged poten-

tial babysitters from working for WIN clients because of the necessary delay in payment for services (over one month) and the confusing and time consuming paperwork involved. Many babysitters could not wait the length of time required by the voucher payment system for service reimbursement and others were hesitant to become involved in the complicated procedures. Since group and family day care resources were in relatively short supply, the additional barrier of vouchers served only to further limit child care resources.

In Camden, on the other hand, the problem was of a different order. The supply of child care resources did not appear to be an issue as services were generally available. The Bureau of Children's Services (BCS), however, seemed upset by the changes in the WIN Program because the Bureau had expended considerable effort to develop child care for infants and younger children consistent with the policy in WIN I of taking voluntary referrals including mothers with children four years of age or younger. Under WIN II the employment service in Camden was placing little emphasis on women with younger children because they were not encouraged by their experience with voluntary participants in the past. As a consequence, the Children's Services staff had the task of developing after school child care arrangements.

In Middlesex County, this problem did not exist with regard to the Bureau of Children's Services. On the contrary, the BCS had to expand its capacity to provide child care for the increased number of participants in WIN. In Massachusetts, child care arrangements were generally left up to the individual client to arrange. The client needed caseworker approval in order to formalize any plan, but in Worcester and Lowell this approval was regarded as rather perfunctory.

### I. Registrants' Pool

A seemingly minor inconsistency in the new WIN procedures, as developed in the WIN Information System, holds the possibility of administrative difficulties and problems for efforts at evaluating the operation and value of the WIN II Program. Those clients who technically have completed the WIN II Program - the supposed "success" cases - but who remain on AFDC because they require supplemental assistance, will be returned to the registrants' pool. Besides the logical inconsistency of having in the same category those who have yet to enter the program as well as those who have completed it, there is the more serious problems of (1) enlarging the base number of clients from which the mandated 15 percent must be certified and (2) making it difficult to evaluate the operation of the program by comparing the numbers in the registrants' pool with flow through the components of the program. This inconsistency in procedures make it appear that the registrants' pool is increasing at the same time the placement rate is increasing. This prospect is not simply theoretical particularly since a number of studies have shown that the most frequent outcome of employment programs for welfare recipients is not to move them from welfare to work, but rather to some mix of work and welfare where wages are supplemented by some assistance payment.

### J. Forms and Paperwork

WIN II procedures generated new forms and increased the volume of paperwork associated with the program. The intent of the guidelines was to institute standardized forms and reporting procedures across state lines. The effect of program implementation, however, has not promoted this end, and a varied system of forms and inconsistent reporting mechanisms still exists,

Both worker efficiency and effective measures of program output suffer from this lack of consistency in reporting mechanisms.

Another problem that has resulted from the increase in and confusion surrounding program forms and reporting techniques is the resentment from WIN staff. In Camden, for instance, one SAU staff member called WIN a "paper program." The staff could not see the logic behind much of the paperwork, such as the triplicate recording of service activities at each contact with a client. Also, the increase seemed to have a negative effect on morale because extensive paperwork was inconsistent with their perception of themselves as "Service workers" rather than "clerks". The response at the Employment Service office in Worcester was similar to this. The WIN Team leader observed, "we can't get to the clients because of all the paperwork."

#### K. Client Training Needs

The shift in program emphasis from training and education to more immediate job placement brought about by WIN II may not take adequate account of the real training needs of clients. The WIN I strategy for achieving the goal of self-support involved the comprehensive training and skill development of clients in order that they may re-enter the labor market at a relatively higher level of income and employment security. The strategy developed by WIN II generally discards the notion of raising skill levels and, instead, is concerned with more immediate job placement.

Certain positive effects of this shift were recognized by many WIN workers including such benefits as eliminating abuses of the WIN Program and, possibly employment for more clients. On the negative side, however, many felt that the shift will necessarily result in the loss of long-term training and support for the majority of clients who are really in need of such services.

WIN II does not appear to recognize the full extent of client problems with regard to employment and is unrealistic at best to think that short-term training will be a sufficient or effective approach. In Worcester, for example, the staff at the Employment Service office argued that little could be done for a client within the new training limitation in terms of upgrading his skills. They were pessimistic about the outcome of a push on job placement, particularly with regard to AFDC fathers. "We're putting them back in the same jobs they left to go on welfare. They'll be back in 6 months." There was opposition to the revised WIN Program on similar grounds in other sites. In Camden the SAU staff predicted that the program would have to revert to an emphasis on training because "this is what welfare clients need." In Mineola the reaction was mixed recognizing both the positive and negative effects of the change. As a rule, however, Nassau County staff objected to the mandatory, unqualified approach explicit in the guidelines. They felt that WIN II was unrealistic to expect that all - or even most - welfare recipients within the specified mandatory categories would be able to achieve self-support. "Most simply will not be able to." The mandatory aspect of the program was felt to be unfair, unrealistic, and, basically, self-defeating.

L. Staff Perceptions and Morale

A variety of factors associated with program change accounted for the visibly lower morale of the staff at particular sites. In Camden, New Brunswick, and Mineola where a separate sophisticated administrative unit existed prior to WIN II, workers were tense about the changes in their role. The shift in authority to the Employment Service actually reduced the influence of WIN caseworkers on referral to WIN and development of a supportive service plan. In addition, WIN II has functioned to reduce and limit the amount of

actual caseworker-client contact. Concurrent with this, the Joint Appraisal Team removed a major responsibility from the WIN caseworkers, screening referrals to WIN, while the new procedures increased their volume of paperwork. The workers perceived WIN II as pushing their job away from being client-oriented and toward a more clerical direction. WIN II was seen as ignoring area of expertise of the caseworkers and as denying their professionalism.

The perception of staff members at most sites of the needs of welfare recipients were at variance with those implied by the WIN II Guidelines. They felt strongly that recipients needed training rather than immediate low-skill employment. There was opposition to the mandatory provisions on the grounds that it meant staff had to work with recipients who were disinterested, if not hostile to the program. Caseworkers had to expend time following up on clients who did not show for appraisal interviews and most of these appear to be mandatory referrals. More importantly, however, the mandatory aspect of the program assumes that recipients categorically are appropriate for participation in WIN, and caseworkers argued with this assumption and generally felt strongly that categorical requirements were unfair and irresponsible.

### VIII. PROGRAM DATA AND ADMINISTRATIVE COSTS

The implementation of the WIN II Program meant that local welfare offices had to devote time and staff to a number of additional tasks. The manner in which these tasks were performed and the costs absorbed differed in the six locations. The purpose of this chapter is to assess the extent of these costs and to indicate the nature of anticipated additional costs which will result from the fuller operation of the program over time. Before the cost data can be understood, it is necessary to discuss the background program data which indicates the general capacities of the different offices and the size of the caseload which they were handling. The costs are then broken down by tasks. The presentation is incomplete in many instances due to the lack of sufficient information for the calculation of costs. The discussion also attempts to indicate which expenses can be attributed to start-up and which to the on-going operation of the program.

#### A. Program Data

One of the more important factors in the organization of the welfare office was the size of the caseload and the number of staff members. TABLE I presents the statistics on the six site offices and the size of the WIN Program in those locations. It should be noted that the Massachusetts offices which have the smallest caseload and the fewest staff, are the furthest from complete implementation of WIN II. These offices also evidenced the most extreme caseload per worker in terms of the total office capacity (See TABLE 2) and, thus, the office not only had the greatest changes to make in order to comply with the guidelines but also had the least resources available with which to meet the challenge.

The Nassau County office had the largest caseload and the greatest capacity to operationalize the program from their own starting point prior to WIN II. Once the issue of the timing of the state directives concerning WIN II had been resolved and all the required information was in the local office, indications were that this site would operationalize most of the program quite rapidly. The Monroe County office, which was the second largest in this study appeared to be hampered by a certain amount of organizational confusion and competing priorities. In terms of the ratio of WIN staff to total staff Monroe County also demonstrates both low capacity and low priority when compared with Nassau, Camden or Middlesex.

Both Camden and Middlesex Counties had relatively greater office capacity, if measured in terms of amount of WIN staff. They also had organizational arrangements which most approximated those called for in the guidelines. While the staff to caseload ratios (TABLE 2) were higher than in New York offices, the existence of a separate unit which could devote its resources to operationalizing the program was probably a factor in making the transition to WIN II. This can be seen the ratios of separate WIN staff to the AFDC caseload in which Nassau, Middlesex and Camden have more favorable ratios than the other three sites.

Another factor which may be affecting the priority of the WIN Program is the existence and extent of assistance programs other than AFDC. In New Jersey, General Relief is handled by city welfare offices and not through the state and county machinery. This means that AFDC has almost exclusive priority within the local New Jersey County offices. In Massachusetts, however, a large proportion of the caseload is GR and so programs aimed at AFDC clients must compete with those geared toward the GR client, such as the relatively

TABLE I

WIN PROGRAM DATA  
BY LOCATION

Site	City/ County Size	Total Caseload	AFDC <sup>1</sup> Caseload	Staffing		WIN Slots 5/72		Regi- strant's Pool <sup>2</sup>	No. WIN Partici- pants
				Total	/WIN	Author- ized	Filled		
Camden County	456,000	16,500	11,900	475	7 1.5%	300	290	475	290
Middlesex County	583,000	7,500	5,800	265	6 2.3%	200	200	910	210
Monroe County	712,000	18,500	10,000	900	5 .6%	300	220	685	236
Nassau County	1,478,000	24,000	11,300	1,600	25 1.6%	600	540	740	540
Lowell	94,000	5,150	2,350	115	1 (pt) .9%	200	150	205	140 <sup>3</sup>
Worcester	177,000	8,500	3,800	175	1 (pt) .6%	300	275	350	119 <sup>3</sup>

<sup>1</sup> Does not include Medical Assistance Category

<sup>2</sup> Includes registrants from on-going caseload (except Nassau), new AFDC applicants, WIN enrollees (except Nassau) and Unemployed Fathers (except Camden and Middlesex)

<sup>3</sup> There are 140 of a total 170 participants from the Lowell Welfare Office and 119 out of a total 308 participants from the Worcester Welfare Office

TABLE 2  
PROGRAM RATIOS

Site	% of AFDC Caseload to Total Caseload	Ratio of Total Staff to Total Caseload	Ratio of WIN Slots to AFDC Caseload	Ratio of WIN Staff to AFDC Caseload	Ratio of Separate WIN Staff to WIN Slots
Camden County	72%	1:37	1:40	1:1700	1:43
Middlesex County	77.5%	1:29	1:29	1:970	1:33
Monroe County	54%	1:23	1:33	1:2000	1:60
Nassau County	46.5%	1:11.5	1:18.5	1:450	1:24
Lowell	46%	1:44	1:11.5	1:2350	1:200
Worcester	44.5%	1:48.5	1:12.5	1:3800	1:300

new work registration program for GR clients. The influence of this factor is not uniform or necessarily direct, as can be seen in the differences between Nassau and Monroe, but it does appear to play some role.

#### B. Administrative Costs

The purpose of this section is to compute the administrative costs of the WIN II operations. Since no billings had been made by local offices for additional funds to be supported on a 90-10 basis at the time of the study, additional costs could not be determined by the transfer of money to cover program expenses. Therefore, another means was devised for arriving at the costs involved in the new program. After identifying the range of tasks carried out in connection with the WIN II Program, estimates were obtained from caseworkers and supervisors on the time spent pursuing each task. This was then quantified and weighted by the salary level of the staff who were responsible for the task. This allowed us to assign dollar weights to each task of the new program.

In a number of instances the respondents in the local welfare offices were unable to give estimates of time involved and in some cases other important information which was vital to the computation of costs was not available at the time of the second visit to the sites. This was particularly the case with those offices which were in the process of reorganization or transition due to this program or others which were being operationalized at the same time. This section presents the cost information and analysis based on the data that was available in September 1972.

##### 1. WIN II Operational Costs

The monthly operational costs of WIN II in local offices was impossible to derive for many of the sites due to the lack of sufficient data.

Further, such a presentation would be deceptive for those offices which had implemented only a limited portion of the program guidelines. The program was most fully operationalized in Camden and Middlesex, and cost estimates were computed for those offices. The monthly operational costs for Camden were \$1,894 and for Middlesex were \$4,633. Middlesex County had the most complete WIN II operations and, thus, the costs for that office would be expected to be somewhat greater than those in Camden. These figures do not include the cost of follow-up on the appraisal and call-up process (this cost will probably be high due to the large number of no-shows for the appraisal interviews in all locations) nor the cost of supportive services. Therefore, the total cost for WIN II operations will definitely be greater than those given in this report. The estimation of these costs will require an investigation and assessment at a later point in time, after the offices have fully operationalized the program and worked out some of the problems.

## 2. WIN II Start-up Costs

The start-up costs for WIN II varied greatly in the various offices and, since many of the program components were still getting under way, the data on these costs was incomplete. The registration of the AFDC-UP clients appeared to be marginal; the highest cost ran less than \$300. Some of the costs were peculiar to the manner in which the particular office decided to operationalize the program. For example, Middlesex County began reviewing the on-going caseload for registration on a special basis asking the caseworkers to accomplish the task through overtime work. This involved a cost of over \$3,000 before the workers refused to work overtime and the process had to be integrated to normal operations over a longer period of time. Whereas most of the offices spent little or no time on transferring training

expenses from the welfare casework to the employment offices, the Monroe County office worked 120 hours at a cost of \$470 on this task.

The costs that will be involved in reorganization of office administrative patterns in Monroe, Lowell, and Worcester as they fully implement the guidelines concerning the Separate Administrative Unit cannot be estimated at this time. However, given the difficulty of this task, the time and cost will probably be significant. It is important to note in addition that all of these offices were constrained at the time of the study by budget freezes - by the County Legislature in Monroe and by the State Legislature in Lowell and Worcester - and therefore appeared unlikely to operationalize costly program components in the immediate future.

### 3. Registration of Unemployed Fathers

The time and costs involved in the registration of unemployed fathers was a start-up cost which ran more in the larger offices which had the larger caseload. Since New Jersey had discontinued the AFDC-U Program, Camden and Middlesex did not incur costs for this task, and this probably facilitated the more rapid implementation of the rest of the program in these offices. The figures in TABLE 3 indicate that costs were marginal for this portion of the registration procedures.

TABLE 3

Time - Cost of Registration of Unemployed Fathers

	TIME	COST
Monroe	58	216
Nassau	68	272
Lowell	16	75
Worcester	*	*

New Jersey has discontinued its AFDC-U Program.

\*Worcester has not set up special registration for AFDC-UP clients. These clients are being reviewed as part of the AFDC caseload in the eligibility redetermination process.

#### 4. Registration of New Clients

The registration of new clients for WIN II involved costs which were dependent on the number of clients and the comprehensiveness of the forms used by the office. The larger offices in New York and New Jersey incurred greater costs than smaller offices in Massachusetts because they handled a larger number of clients. However, the cost of registering clients in New Jersey was higher than in New York due to the more extensive information required in completing the registration forms. In Middlesex, for example, a complete work history is part of the registration form of the welfare department; this is not the case in New York or Massachusetts.

Table 4  
Time-Cost of Registration of New Clients  
(Per Month)\*

	Time	Cost
Camden	77	277
Middlesex	57	225
Monroe	36	142
Nassau	36	144
Lowell	16	75
Worcester	5	23

\*Based on data obtained as of September 30, 1972

### 5. Registration of On-going Caseload

The registration of clients from the on-going caseload, which is a procedure that must be followed every six months, had moderate to high costs. Middlesex incurred a cost much higher than any other office, but this was probably due to the fact that this office mailed registration forms to clients and requested that they complete and return them. It was found that this procedure meant a great deal of additional caseworker time in order to correct and follow-up on forms which were not returned or which were filled out incompletely or incorrectly. Many clients did not understand the importance of the forms and in many cases did not respond. The costs involved in this process of checking and correcting registration forms were significant and pushed the total registration costs for Middlesex County above what they would have been if direct contact had been made with the client initially. The higher costs in the New Jersey office must also be attributed to thoroughness of the procedures and the more extensive information required on the registration forms.

Camden had lower costs than Middlesex, but the amount ran at least fifty percent higher than that of any of the other offices in the study. Part of the reason for the low costs in the Massachusetts offices is due to the fact that the Wmployment Service took responsibility for the registration of WIN I enrollees and thereby saved the welfare department a significant amount of money.

TABLE 5

Time-Cost of Review and Registration of  
On-going Caseload  
(Per Month)

	Time (hrs)	Cost	$\frac{\text{Cost}}{\text{AFDC Caseload}}$	$\frac{\text{AFDC Caseload}}{\text{Cost}}$
Camden	340	1,100	1/10.8	1/.09
Middlesex	744	2,744	1/2.1	1/.47
Monroe	132	544	1/18.4	1/.05
Nassau	ID	ID	ID	ID
Lowell	31	146	1/16.1	1/.06
Worcester	18.5	82	1/46.3	1/.02

ID = Insufficient Data for  
Calculation of Costs

## 6. Appraisal and Call-up

The cost for appraisal and call-up of registrants ranged from \$.74 per registrant in the pool in Camden to \$1.16 per registrant in the pool in Middlesex. The other offices in the study had not implemented the joint appraisal portion of the program at the time of the study. In Massachusetts, what appraisal was taking place was being done exclusively by the Division of Employment Security, and there were no plans to operationalize joint appraisal in the near future.

TABLE 6

Time-Cost and Ratios of Appraisal  
and Call-up  
(Per Month)

	Time (hrs)	Cost	<u>Cost</u> <u>Registrants</u>
Camden	72	352	1/.74
Middlesex	198	1,059	1/1.16

#### 7. Follow-up on the Appraisal and Call-up Process

The problem of following up on the registrants who did not appear for the appraisal interview had just been identified by the welfare and employment offices as being significant at the time of the completion of this study. The estimates of the number of registrants who were failing to show ranged from fifty percent and above. Since most of the registrants were mandatorily in the program, it was believed that the large proportion of the "no-shows" were mandatory registrants. Caseworkers attributed this phenomenon to both confusion about the procedures and resistance to the program. They anticipated significant costs in finding out the reasons why clients did not appear, in determining which clients had "good cause", and in determining what action should be taken. This situation could turn out to be the most costly aspect of the mandatory registration component of WIN II.

#### 8. Provision of Supportive Social Services

At the completion of the research in the fall of 1972, it was too early in the operation of the WIN II Program to determine what costs were associated with the provision of supportive social services to WIN clients. None of the local programs had reached the stage where this component was reasonably operationalized in terms of the requirements of the WIN II guidelines. These costs will need to be examined at a later point in time when the program is fully functioning.

9. Welfare Office Costs Per Registrant

The operational costs per registrant and the total costs per registrant, as of the end of September 1972, were lowest in Monroe County and highest in Middlesex County. The low costs per registrant in the "pool" in the Massachusetts offices was partially due to the fact that the Employment Service absorbed a portion of the cost by registering those clients who were WIN I enrollees.\*

TABLE 7

Ratios for Welfare Office Costs Per Registrant\*\*

	<u>Operational Costs</u> Registrants	<u>Total Costs</u> Registrants
Camden	1/3.99	1/5.73
Middlesex	1/5.09	1/10.31
Monroe	1/1.00	1/2.00
Nassau	ID	ID
Lowell	1/1.07	1/2.92
Worcester	ID	ID

ID = INSUFFICIENT DATA FOR  
CALCULATION OF COSTS

\* It is possible that the figure for Monroe County supplied by the Employment Service included WIN I enrollees who had not been necessarily registered by the Department of Social Services.

\*\* Costs were calculated as of September 30, 1972.

TABLE 8  
ADMINISTRATIVE COSTS BY TASKS  
CAMDEN COUNTY

Task	START-UP COSTS				OPERATIONAL COSTS			
	Total Time	No. of Staff	Hourly Wage	Cost	Hourly Time per Month	No. of Staff	Hourly Wage	Monthly Cost
Registration of Unemployed Fathers	NI							
Registration of New AFDC Clients Instruction Procedures	3	14	3.26 to 6.10	174	3-4	11	3.26 to 5.12	277
Registration of On-going AFDC Clients Instruction Procedures	3	56	3.26 to 6.10	655	4-7	53	3.26 to 6.10	1265
Appraisal and Call-up Procedures					24	3	4.49 to 5.32	352
Follow-up of Appraisal and Call-up Procedure Procedures						NA		
Provision of Supportive Services						ID		
TOTAL COST				829				1894

NA = DATA NOT AVAILABLE

NI = TASK NOT IMPLEMENTED  
AND/OR HAS NOT  
OCCURRED

ID = INSUFFICIENT DATA FOR  
CALCULATION OF COSTS

TABLE 9

## ADMINISTRATIVE COSTS BY TASKS

## MIDDLESEX COUNTY

Task	START-UP COSTS				OPERATIONAL COSTS			
	Total Time	No. of Staff	Hourly Wage	Cost	Hourly Time per Month	No. of Staff	Hourly Wage	Monthly Cost
Registration of Unemployed Fathers	N/I							
Registration of New AFDC Clients Instruction Procedures	5-20	12	3.70 to 6.00	425	3-5	12	3.70 to 6.00	225
Registration of On-going AFDC Clients Instruction Procedures	5-20 30	37 25	3.70 to 7.75 2.70 to 7.70	1315 3010	51	29	3.70 to 6.00	3349
Appraisal and Call-up Procedures					82	5	5.25 to 6.00	1059
Follow-up of Appraisal and Call-up Procedure Procedures								
Provision of Supportive Services					ID			
TOTAL COST				4750				4633

NA = DATA NOT AVAILABLE

NI = TASK NOT IMPLEMENTED  
AND/OR HAS NOT  
OCCURREDID = INSUFFICIENT DATA FOR  
CALCULATION OF COSTS

TABLE 10  
 ADMINISTRATIVE COSTS BY TASKS  
 MONROE COUNTY

Task	START-UP COSTS				OPERATIONAL COSTS			
	Total Time	No. of Staff	Hourly Wage	Cost	Hourly Time per Month	No. of Staff	Hourly Wage	Monthly Cost
Registration of Unemployed Fathers	58	3	3.80	216				
Registration of New AFDC Clients Instruction Procedures					2	18	3.93	142
Registration of On-going AFDC Clients Instruction Procedures	15	8	3.93	470	44	3	3.80 to 4.76	544
Appraisal and Call-up Procedures					NI			
Follow-up of Appraisal and Call-up Procedure Procedures					NI			
Provision of Supportive Services					ID			
TOTAL COST				686				686

NA = DATA NOT AVAILABLE

NI = TASK NOT IMPLEMENTED  
 AND/OR HAS NOT  
 OCCURRED

ID = INSUFFICIENT DATA FOR  
 CALCULATION OF COSTS

TABLE 11

## ADMINISTRATIVE COSTS BY TASKS

## NASSAU COUNTY

Task	START-UP COSTS				OPERATIONAL COSTS			
	Total Time	No. of Staff	Hourly Wage	Cost	Hourly Time per Month	No. of Staff	Hourly Wage	Month-ly Cost
Registration of Unemployed Fathers	68*	2	4.00	272*				
Registration of New AFDC Clients Instruction Procedures					3	12	4.00	144
Registration of On-going AFDC Clients Instruction Procedures					NI			
Appraisal and Call-up Procedures					NI			
Follow-up of Appraisal and Call-up Procedure Procedures					NI			
Provision of Supportive Services					ID			
TOTAL COST				272				144

NA = DATA NOT AVAILABLE

NI = TASK NOT IMPLEMENTED  
AND/OR HAS NOT  
OCCURRED

ID = INSUFFICIENT DATA FOR  
CALCULATION OF COSTS

\* This is a rough estimate based on the time involved.

TABLE 12

## ADMINISTRATIVE COSTS BY TASKS

LOWELL

Task	START-UP COSTS				OPERATIONAL COSTS			
	Total Time	No. of Staff	Hourly Wage	Cost	Hourly Time per Month	No. of Staff	Hourly Wage	Month-ly Cost
Registration of Unemployed Fathers	16	19	4.70	75				
Registration of New AFDC Clients Instruction Procedures	2	10	4.70 to 5.35	97	2	8	4.70	75
Registration of On-going AFDC Clients Instruction Procedures	2	22	4.70 to 5.35	206	1-2	19	4.70	146
Appraisal and Call-up Procedures					NI			
Follow-up of Appraisal and Call-up Procedure Procedures					NI			
Provision of Supportive Services	N/A				ID			
TOTAL COST				378				221

NA = DATA NOT AVAILABLE

NI = TASK NOT IMPLEMENTED  
AND/OR HAS NOT  
OCCURREDID = INSUFFICIENT DATA FOR  
CALCULATION OF COSTS

TABLE 13

## ADMINISTRATIVE COSTS BY TASKS

## WORCESTER

Task	START-UP COSTS				OPERATIONAL COSTS			
	Total Time	No. of Staff	Hourly Wage	Cost	Hourly Time per Month	No. of Staff	Hourly Wage	Monthly Cost
Registration of Unemployed Fathers	*							
Registration of New AFDC Clients Instruction Procedures					.5	10	4.25	23
Registration of On-going AFDC Clients Instruction Procedures					.5	37	4.25	82
Appraisal and Call-up Procedures					NI			
Follow-up of Appraisal and Call-up Procedure Procedures					NI			
Provision of Supportive Services					ID			
TOTAL COST								105

NA = DATA NOT AVAILABLE

NI = TASK NOT IMPLEMENTED  
AND/OR HAS NOT  
OCCURRED

ID = INSUFFICIENT DATA FOR  
CALCULATION OF COSTS

\* Done as part of redetermination.

## APPENDICES

Camden County (Camden), New Jersey	A - 1
Middlesex County (New Brunswick), New Jersey	B - 1
Nassau County (Mineola), New York	C - 1
Monroe County (Rochester), New York	D - 1
Lowell, Massachusetts	E - 1
Worcester, Massachusetts	F - 1

CAMDEN COUNTY (CAMDEN), NEW JERSEY

Camden County is an area covering 225 square miles situated in the Northern tip of New Jersey across the Pennsylvania River from Philadelphia. The total county population is 456,291; the population of the city of Camden is 102,551. The city which experienced riots in the mid-60's has a racial mix of 60 percent white, 39 percent black, and one percent other. The statistics on the white population include a growing number of Puerto Ricans.

The national recession has accelerated the decline in business and industry in Camden. The Division of Employment Security placed the unemployment rate at the end of April 1972, at 8.5 percent. Several stores including supermarkets and a major department store, Lits, have closed their Camden branches. The local division of RCA is in the process of dismantling its operations. Welfare Department officials also pointed out that inadequate public transportation exists from the city to industrial parks located on the highways.

The public assistance caseload in Camden County rose to 15,427 in April of 1972. There were 11,234 families on AFDC representing a 10 percent increase in the AFDC caseload since the beginning of the fiscal year. This increase in AFDC recipients occurred despite the fact that unemployed fathers were no longer included in the AFDC category. A state mandated program entitled Aid to Families of the Working Poor (AFWP) which went into effect in July of 1971 replaced the AFDC-UP category in New Jersey. The new assistance category of AFWP represented 727 cases in April of 1972.

The emergence of this new assistance category reflected rising taxpayer sentiment against welfare costs. The AFWP category pays grants which are two-

third's the size of the AFDC grant, and it removes unemployed fathers from participation in WIN which has additional costs for work-related expenses above the assistance grant.

The Camden County Welfare Board is located in the downtown area of the city three blocks from the business district. It has a staff of 447 employees with a division of labor along departmental lines. Separation of services went into effect in July of 1970 creating an Income Maintenance and a Service Department. Within these two departments the staff is organized into units on the basis of the different categorical assistance programs with which it has to deal. The WIN Program is handled by a special unit within the Service Department.

At the time of the first site visit, the welfare office was undergoing two changes. The director was leaving to be replaced by his Deputy as Acting Director. Further, negotiations had been in process since December in regard to unionization of the office, and is expected to affect worker salary, advancement, and caseload size.

#### WIN Program

The Camden Welfare Board had 300 authorized slots for the WIN Program which represented an increase of 100 slots since the program began in December, 1968. At the end of April 1972, 285 slots were filled. While 95 percent of the slots were filled, it was evident that this number of participants in the WIN Program represented a relatively small segment of the total AFDC caseload.

Camden had set up a separate WIN Unit to administer the program in response to New Jersey State guidelines in 1968. Its staff consisted of a WIN Coordinator, who had the departmental status of supervisor, and three WIN workers. First the separate WIN Unit had changed its relations to the welfare

office structure over the four years of the program. In December 1971, the WIN Unit became one of two components of an umbrella structure called the Employment Training Service Department. The other component of this department is the NONWIN Unit. NONWIN is a local employment-training program open to AFDC and AFWP recipients on a voluntary basis. The operation of these two units is intertwined because of the new administrative structure.

Under the new administrative structure the welfare office staff refers clients to the Employment Training Service Department (ETS) or the client may come directly to the department on his own initiative. These referrals to ETS are then screened by a caseworker (ETS Screener) who decides whether the client is appropriate for referral to the WIN Unit or to the NONWIN Unit. This procedure replaces the system in which all referrals to WIN were channeled from other departments to the Services Department and then to the WIN Unit.

The existence of the ETS Department provided an unexpected obstacle to the study of the operation of the WIN Program. It was not possible to investigate the effects of a separate WIN Unit on the quantity or the quality of referrals to WIN. Eligibility and service workers were aware of making referrals to ETS, but not to WIN as a separate entity. They indicated that they were aware of a separate WIN Unit, but when pressed about their knowledge of the content of the program said that in truth they could say very little about it.

The leadership of the WIN Unit changed hands in December as the WIN Coordinator became the Director of the ETS Department. In addition to the supervisor, the unit includes three workers and a clerical staff of six that is shared with the NONWIN Unit. The WIN Unit had the following responsibili-

ties within the welfare office: (1) the assessment and referral of clients to the WIN Team which (a) involves the referral of mothers with young children to the New Jersey Bureau of Children's Services which formulates child care plans for enrollees, and (b) involves having the client obtain a medical certificate, (2) the provision of supportive services to enrollees in WIN and (3) the disbursement and mailing of medical checks to the vendor, and of training allowance checks to enrollees in the program.

The participation in the WIN Program of the New Jersey Bureau of Children's Services (BCS) with its casework structure has affected the extent of service activity of the WIN Unit at the welfare office. The two units have avoided overlap by allowing the BCS worker to be the primary worker in the case. New Jersey guidelines for BCS require its workers to pay a mandatory visit every three months to families for whom it has formulated a child care plan.

The WIN workers indicated that their main activity was screening and referral. They said that all referrals of AFDC women to WIN are made on a voluntary basis. According to revised state guidelines for WIN, mothers whose youngest child is age three become mandatory referrals after child care arrangements have been made. The mandatory aspect of the program is used as a tool for encouraging mothers to stay in the program rather than for recruitment of enrollees. However, workers noted that sanctions for withdrawal have rarely been applied to AFDC women in the history of the program.

#### Employment Service

The WIN Team is located three blocks from the Camden welfare office in the heart of the business district. Its staff of nine conforms closely to Labor Department guidelines with a leader, job developer, manpower

specialist, training specialist, four counselors, and two community service workers.

The WIN Team, the WEL/WIN Unit, and the WIN Unit of the Bureau of Children's Services meet monthly to deal with problems related to enrollees. WIN workers at the welfare office and some members of the WIN Team indicated that both agencies felt that open communication existed. However, there appeared to be a basic difference in their perception of the goals of the program which was evidenced in discussions of individual client's employability plans. The WEL/WIN Unit views the program as an opportunity for training which will improve employment potential of the client, while the WIN Team places an emphasis on relatively short term training and more immediate job placement.

The concentration of certain functions in the WIN Program in Camden appears to minimize some problems of coordination. For instance, the fact that the training allowance for WIN is handled within the WIN Unit rather than by the Income Maintenance Department avoids the administrative complications imposed by separation of services in other site offices. Similarly, child care arrangements are supervised by the Bureau of Children's Services so that firm plans are made before the client becomes involved in the program. The most notable problem with the administrative arrangements in Camden was that applicants for WIN had to wait one to two months to get into an orientation class.

The staff at the welfare office was outspoken in its pessimism concerning the state of the WIN Program in Camden. While the separate WIN Unit is an efficient mechanism for referral, it does not guarantee that clients will stay in the program. As the enrollment statistics reveal, the rate of attrition for the year, as of April 1972, was almost one out of three. Out of

a cumulative enrollment of 448 at the end of April, program records disclosed 145 terminations for reason other than "job entry." The welfare staff commented, in their interviews, that the completed job entries (57) reflected a large number of clients who quit the program to take jobs that they got on their own as opposed to WIN placements.

Rather than improving over time, the state of the WIN Program appears to have declined in Camden. WIN has been impacted by changes within the welfare office and events external to it like the Emergency Employment Act. It appeared that a situation of operation "overkill" might exist since the input of resources from three agencies into the program surpasses the output of the program.

Since NONWIN involves AFDC recipients, an attempt was made to understand its relationship to the WIN Unit. The NONWIN Unit is composed of a training coordinator, counselor, two job developers, and three child care workers. It offers recipients a state financed training allowance of \$50 a month, but not the free tuition that WIN provides. The AFDC women referred to NONWIN were generally (a) individuals already enrolled in training, such as OIC, who required work-related expenses, (b) individuals who had crystallized their notions of what they wanted and did not need the extensive counseling available at WIN, and (c) job-ready recipients who required help in finding work. As of the end of April this unit has made only nine training placements, but had made 23 job placements, which included the opportunities opened up for welfare recipients under the EEA. While the NONWIN Program did not overshadow WIN in terms of numbers, it was seen as a growing program which could "cream" clients who would otherwise go to WIN.

WIN II

The WIN Program in Camden had generally been given relatively high priority by the welfare office which was concerned that clients be provided with a range of services including training and employment. The program was somewhat overshadowed at the time of the first site visit by a new local employment program called NONWIN which had been developed as an alternative to WIN for clients who wanted immediate job placement rather than training. Both programs were housed under an umbrella organization within the Service Department called the Employment Training Service Unit.

The data suggests that WIN had slightly higher, although possible temporary, priority within the welfare office at the time of the second site visit. A considerable amount of administrative attention had been focused on compliance with the SRS guidelines and there was concern with the effects of the new WIN structure and process on the existing system. One welfare official called WIN II, "the straw that broke the camel's back," referring to the expected increase in the office workload due to the implementation of registration procedures for WIN. The changes mandated by the guidelines also served as a catalyst for (1) the re-organization of the income maintenance division, (2) the creation of the new role of assistant supervisor, and (3) the addition of a dozen welfare aides to the staff.

As expected, the staff was substantially more aware of the WIN Program than at the time of the first site visit. The eligibility and intake staff had spent a half day training session with a technical assistance representative from the state to learn the WIN II procedures and related forms. However, it was these procedures, i.e., case review and registration, which received most attention rather than the program, per se. As a result, the staff in any

particular unit may not be aware of how other units handle their responsibility for the program or how the entire operation works.

Camden did not begin implementation of the SRS guidelines until August 28th. One official suggested that the local office 'hid behind the state' which allowed the counties some leeway in setting a timetable because of the nature and magnitude of the changes required. Despite the delay in start-up, program implementation was at a fairly advanced stage by the last week of September.

At the time of the second site visit (Sept. 24-27), the Intake Unit was registering clients for WIN II at the time that they applied for AFDC. Program implementation was uneven, however, throughout the eligibility units. While some units had begun the systematic review of the caseload other units had not yet begun this procedure. One obstacle seemed to be the fact that the staff was simultaneously involved in additional work on other redetermination procedures, such as eligibility redetermination due to the increase in social security benefits and veteran's benefits and changes in the food stamp program. While the practice within the office is to permit staff to work at their own pace as long as deadlines are met, some supervisors expressed concern that their staff would not be able to meet the December deadline for the completion of registrations.

The WEL/WIN Unit had actually begun the transition from the old program structure and mode of operation to WIN II in June. Together with the Employment Service WIN staff it had certified current program enrollees. The Joint Appraisal Team was established in July and met to screen those clients referred to the program before the change-over. It was composed of one representative from the Employment Service, one caseworker from the Bureau of Children's Services, and two or three staff members from the Separate Administrative Unit. During the start-up phase of WIN II, the J.A.T. assembled

twice a week at the building which housed the Bureau of Children's Services and the SAU.

The change in program emphasis from training and education to employment was recognized throughout the welfare office. However, it was impossible to determine the impact of this shift and the related changes in the guidelines on program functioning and output. Despite the extensive changes which had already taken place in the WIN structure, the new procedures were not in full operation. The bulk of the caseload had not yet been registered so the Joint Appraisal Team was limited to those clients who had been registered by the intake unit. In addition, only a small proportion of those who were registered and called-up had kept their appointments at the Joint Appraisal session, a phenomenon that the SAU staff attributed in large measure to inadequate information about its meaning and significance.

#### 1. Program Structure

The implementation of the new WIN structure was facilitated in Camden by the fact that the welfare office had the degree of functional specialization which the guidelines assumed, i.e., separation of social services and assistance payments. As a result the caseload review and registration procedures were merely grafted onto the other duties of the intake and eligibility staff. A control clerk was hired to channel the flow of registration forms and outside agency referrals (Vocational Rehabilitation) to appropriate units. The local Vocational Rehabilitation agency already employed a welfare department staff member in the Employment Training Service Unit to act as a liaison for shared cases.

The prior existence of a WEL/WIN Unit facilitated the development of a Separate Administrative Unit in Camden. With the transfer of financial procedures, such as the mailing and disbursement of training allowances, to

the Employment Service, two of the part-time clerks were dropped. The SAU added a fourth caseworker to its staff so that the appropriate ratio of staff to WIN clients was maintained.

Since the WEL/WIN Unit had functioned primarily as a service unit, the staff's orientation and expertise was consistent with the increased emphasis on the provision of supportive services under WIN II. It had already been providing almost the full range of services outlined in the SRS guidelines with the exception of child care. The WIN Unit of the Bureau of Children's Services, which has a casework structure similar to the welfare office, had always had responsibility for child care arrangements for WIN clients before entry into the program.

The major difference between the original WIN Unit and the SAU in terms of operations lies in the screening and referral function which used to occupy about 50 percent of the time of caseworkers. Under WIN II, all three agencies share this function as members of the Joint Appraisal Team. Another difference is that the SAU staff appears to have more paperwork than it previously did, because, for example, the service contacts have to be written up in triplicate now whereas service activities for all clients were formerly tallied once a month for the unit's records.

At the time of the second visit, the staff exhibited noticeably lower morale than during the spring. They were partly concerned with the changes which had occurred in their own role as a result of WIN II. For instance, discontent was expressed about the paperwork connected with the new procedures. They were also upset about the shift in the program emphasis from training to employment and the accompanying changes in client selection. There was concern, for example, that job ready clients were being given preference

over those who were interested in WIN but required extensive re-training.

## 2. Eligibility and Registration

As previously indicated, WIN II was a catalyst for the re-organization of the Income Maintenance Division which has responsibility for screening and registration of ADC clients. The Intake Unit has the responsibility of determining eligibility for WIN II, registering eligibles, and explaining the significance of the new procedures to clients. Eligibility for WIN II has turned out to be slightly more complex in Camden than initially anticipated. Although New Jersey does not have the AFDC-U program, some members of AAFP families, namely dependent children of either spouse from a former marriage, may be mandatory registrants. Also, in the case of a family which qualifies for assistance under the AFDC - Incapacity Parent category, complications may arise. While the husband is exempt from registration for WIN, the wife is, in fact, eligible.

The intake worker fills out a form on all ADC applicants for assistance which characterizes their status with regard to registration as exempt or mandatory. If the client wishes to volunteer for WIN or is a mandatory registrant, another form is filled out. This registration form, developed by the state but based on the federal form, requires information on work history and the client's social security number. This has caused some problems for intake staff because many clients do not have a social security number. In order not to hold-up the application for assistance, the Income Maintenance Administrative Supervisor agreed to waive this requirement temporarily. Another problem has been the fact that some members of the family who may be mandatory registrants, such as an out of school youth, may not be present at the intake interview and have to be called on a subsequent occasion for registration.

The data from interviews with intake staff indicate that the WIN II registration requirement has caused them to focus on the program in a systematic

manner for the first time. Under WIN I it was rare for workers to make referrals to the Employment Unit of the welfare office for AFDC women. Intake workers said that they give clients a brief talk on the significance of registration indicating that the welfare department will contact them later about training or employment. They noted that they are not specific with clients about the mechanics of the WIN process, apparently because they lack an overview of the program. One intake worker put it this way, "I tell them they will hear but I don't tell them how. . . . I don't know how they do it up there (at the SAU office)."

In the case of clients with disabilities, the intake staff make an automatic referral to the Vocational Rehabilitation Agency. The individual is also required to secure a doctor's certificate verifying the incapacity. This procedure has caused some problems. First, the intake staff has made a number of referrals which are inappropriate, such as clients with temporary impediments to work such as pregnancy or broken limbs. Second, the Vocational Rehabilitation Agency was unprepared for the sudden influx of referrals from welfare (51 in September) and objects to the idea of its serving as a sort of clearing house to determine whether or not a client actually has a serious disability.

Seven ADC Eligibility Units, the ADC-Incapacity Unit, and the AAFP Unit are responsible for the screening and registration of the current caseload. The implementation is uneven with some units having begun to review the caseload while others anticipating beginning this process some during the fall of 1972. At the end of September, the letter to potential registrants was being composed by the administration. However, it was anticipated that welfare aides in the Eligibility Units would have to pay home visits to clients to explain

the significance of registration and to have them sign the form.

The WIN II forms are checked for accuracy along with the application for public assistance by the supervisor or assistant supervisor of the Intake Unit. A unit clerk "logs in" the WIN forms in a record book, forwarding a copy to the WIN Control clerk. This clerk, in turn, forwards the registration forms to the SAU and the Vocational Rehabilitation referrals to the agency or its liaison worker in the welfare office.

### 3. Call-Up and Appraisal

Currently, the WIN-ES team leader walks around the corner from his office to the welfare office to pick up the completed registration forms which the Control Clerk has forwarded to the SAU. His staff meets as a team to assess the registrants and determine which should be scheduled for an appointment with the Joint Appraisal Team. Those selected receive an appointment letter, while the other registrants are returned to the SAU to be placed in the "registrants pool" for 90 day re-assessment.

Since the WIN Team leader places an emphasis on "creaming" those recipients ready for immediate job placement, the clients whose names go into the registrant's pool.

The J.A.T. currently meets twice a week with one representative from the Employment Service, usually the team leader present, one representative from the BCS-WIN Unit, and two to three SAU staff members. To make the process less formidable for clients, the Joint Appraisal procedure was modified so that clients are interviewed separately rather than jointly by team members. At the end of this series of interviews, the team meets to discuss the acceptance of clients for participation in the program and their social service needs.

The WIN-ES team leader may exercise a veto over the rest of the J.A.T. members since he may choose not to accept a client for certification whom the other members want to accept. Clients are notified by mail rather than on the spot of their acceptance or rejection for the program. This letter informs those who are not accepted for WIN that they may ask for a Fair Hearing to appeal this decision.

Besides his veto over the other members of the J.A.T., the WIN-ES Team Leader also has the final word in regard to the client employability plan. This was another source of tension for the SAU staff because they were concerned with the shift in program emphasis from training to immediate job placement. "Welfare clients need training," said one of the SAU case-workers. She pointed out that the staff actually preferred another member of the ES staff to attend meetings because he was more easily persuaded in the direction of the SAU staff.

Some tension appears to exist in regard to client selection. The BCS-WIN Unit supervisor expressed concern that the WIN Team leader was biased against accepting voluntary registrants who are women with children under 6 as participants in WIN. The WIN Coordinator explained the situation as follows: "He (the WIN Team leader) didn't feel they had much luck with volunteers before, so he's steering away from them now."

The major obstacle to the functioning of the J.A.T., however, was the failure of recipients to show up for their appointments. For instance, of the 14 clients scheduled for September 14, only five kept the appointment; of the 12 scheduled for September 21, one showed up; and of 36 scheduled for September 26, 8 showed up. This amounts to only 21% appearing for the appointments. A variety of factors appear to contribute to this situation, including

inadequate information at Intake, the late arrival of the letter scheduling the appointment (in one case, a day after the appointment date) and the possibility that a client might already be employed and unable to get off work. The SAU staff began, during the last week in September, to contact clients, who had not kept the Joint Appraisal interview, to inform them of the significance of the procedure and to determine why they had not shown up for their appointment. It was found that a direct contact, such as a telephone call improved the situation somewhat; on a later date, 14-16 clients out of 40 called up, came in at the appointed time.

#### 4. Certification and Participation

Certification in Camden was synonymous with participation in the program. By the end of September, the JAT had completed certification on eight clients and requested certification on twelve other welfare recipients. The most common reason for leaving the certification pending was to allow the WIN Unit of the Bureau of Children's Services to make child care arrangements.

While the mechanics of the WIN process had significantly changed, the picture was mixed in regard to participation. The Employment Service had altered the orientation so that it was open-ended, and clients were sent to it only if it seemed necessary in relation to their readiness for employment. The WIN Team leader said that he thought more job placements had been made since the program emphasis had changed. The job developer indicated that he had made 15 placements in entry level jobs for the month of September, which he considered good, but short of the peak figure of 20 placements, which he had made under WIN I. One situation which had not changed was the level of O.J.T. in Camden. The Employment Service, while talking "seriously with 3 or 4 employers," had not been able to make a breakthrough in this area,

partly owing to employer reluctance to become involved with the red tape of the program.

#### 5. Financial Procedures

The state welfare office in Trenton handles financial procedures for the county welfare boards. As of the end of September, Camden officials noted that they had not yet received new reporting forms for the 90/10 funding for the separate administrative unit. In addition, they hadn't "received a nickel yet," according to the Deputy Administrator, for the assumption of screening and registration activities. With the expectation that the welfare office would be reimbursed for both screening and registration of the caseload, the welfare office hired 12 new aides for the eligibility units and 1 aide for intake unit. The most recent information on reimbursement seemed to be a shock to welfare officials. The contract which the Labor Department offered to the state included reimbursement for registration (\$3.15 per case) but not for screening activities.

#### 6. Employment Office Structure and Process

The Employment Service continues to utilize a team approach. The staff size has remained at 11, although the team leader expects to pick up a manpower specialist, who is technically assigned to his staff at present, but has been placed elsewhere within the Employment Service. Contrary to the hopes of the SAU, there seems to be no chance that the WIN-ES team will be housed in the same building.

The team leader acknowledged that the activity in the WIN-ES office has been practically at a standstill during the transition period from WIN I to WIN II. He characterized the situation as follows, "My staff's waiting on edge (for the flow of registrants to begin). ...We're all thinking jobs

now, but, we have no big feeling of change yet." However, the WIN-ES staff has informed WIN clients enrolled in the basic education component that they must complete their courses soon, or change their plans and has indicated to some participants that they would be better off employed.

### 7. Welfare/Employment Cooperation

With WIN II in the start-up phase, it was difficult to assess the impact of those mechanisms designed to improve interagency cooperation such as the Joint Appraisal Team. Both the SAU staff and the Employment Service staff had previously characterized the relationships between the two agencies as good under WIN I. The agencies had begun meeting on a formal basis twice a week under WIN II, whereas, meetings were previously held once a month. In addition, there was general agreement that joint screening in which the Employment Service was involved at the outset was more efficient than the previous referral process.

Although the SRS guidelines have the stated aim of making WIN more of a joint program, it appeared that in Camden even the mechanisms designed to achieve this goal had largely made it more of an employment office program. For instance, the involvement of the WIN-ES Team leader in the screening process gives him a voice in client selection which he previously lacked. Perhaps, even more important, the Employment Service is now the agency which "requests certification" on a client and which authorizes social services, thus giving it the final word on who is accepted into the program and when services are to be provided.

The SRS guidelines give the SAU an official role in the development of the Client Employability Plan. However, it seemed to exercise little leverage in this regard in Camden. The WIN Coordinator indicated that the

WIN Team leader generally formulated the employability plan, which, with the emphasis on immediate job placement, amounted to no more than matching the client's skills with a "Dot Code" in the occupational handbook.

The changes which characterized the transition from WIN I to WIN II, including the shift in authority from the welfare agency to the Employment Service, accentuated the underlying tension which existed on the welfare side. At the time of the first site visit, the WIN casework staff pointed out that it had "occasional" disagreements with the employment service over the client employability plan, stressing its own concern with education and training. The new emphasis on immediate job placement, creaming, and the diminished role of the WIN workers in various aspects of the decisionmaking process contributed to the "frustration" which some staff members said they now felt.

#### 8. Client Impact

There was little evidence of impact - either positive or negative - of change in the WIN Program on welfare clients in Camden at the time of the second visit. Since the eligibility units of the welfare office had not yet begun registration of the current caseload, the only group of clients being registered were those processed by the intake unit. These clients, frequently new to welfare, appeared to accept the registration process, or alternatively exemption and referral to Vocational Rehabilitation, as part of the application process. There were no reports of cases of resistance to either registering or accepting certification in WIN. The intake workers indicated that some clients appeared interested in work or training while others were not. They said that they geared their discussion of WIN to the degree of interest expressed by the client.

Those clients called-up and appraised since September 1 by the J.A.T.

came primarily from the group registered by the Intake Unit. According to the SAU staff, many clients who did show up for their scheduled interview seemed "bewildered" by the entire process. The interviews with a number of clients at the J.A.T. held during the site visit supported this conclusion. The clients apparently had not been completely clear about what registration meant, for example, "an interest in work," "a chance for work or training," etc. They wanted assistance and in most cases were eager for training. The WIN Coordinator pointed out that the request for training was common, stemming partly from what people had heard about WIN, and was one of the first notions that the staff had to correct.

MIDDLESEX COUNTY (NEW BRUNSWICK), NEW JERSEY

Middlesex County, with a population of 583,913, is located in central New Jersey along the East Coast. New Brunswick and Perth Amboy are the major cities in the County and contribute most to the welfare caseload. The unemployment rate for the County which fluctuates between 7% and 8%, the recent strikes, and the lack of adequate public transportation, have affected the welfare caseload size and have limited employment opportunities for WIN clients.

The Middlesex County Welfare Board (MCWB) is one of twenty-one county welfare boards in the state and is located in New Brunswick, the home office for most of the County administration. The department has a staff of 232, and it is characterized by a division between social and administrative services. Caseloads are generally distributed among caseworkers according to area in the County.

The total caseload for the MCWB as of April 1972 was 8662 of which 5390 were in the Aid to Dependent Children (ADC) category. In July 1971, the Unemployed Male category of the ADC caseload was transferred to the state run Aid to Families of the Working Poor Program (AFWP), a new program specifically instituted to get unemployed males from two parent households into the workforce. This had significant effects on the WIN program because males in the AFWP program were no longer mandatory referrals to WIN.

The WIN Unit is located within the organization structure under the Social Services group. Unlike counties which have NONWIN (Camden, for instance), the WIN Unit stands alone as the only referral center for those ADC clients who are to be considered for the WIN program whether on a mandatory or voluntary basis. The WIN Unit is staffed with one supervisor, three caseworkers, and one social service aide.

For fiscal 1971-1972, 174 slots of 200 slots were filled. Of these 174 slots, 154 were filled by female clients while the remaining slots were filled with males "left over" from the Working Poor Program. The caseload is comprised of 43% blacks, 39% whites, and 18% Spanish-speaking.

The entire WIN program is organizationally comprised of (1) the WIN Unit, (2) the Employment Service Team (SES), (3) the Bureau of Children's Services (BCS), (4) the Rehabilitation Service, and (5) the Learning Center. Although these five units are attached to separate agencies in the state governmental structure, with regard to the WIN Program, they operate as a team. Thus, they jointly make decisions concerning enrollment and supportive services for WIN clients. The SES, BCS, and Rehabilitation Service are located in the same building about three city blocks away from the MCWB, while the Learning Center is located in another section of the County.

Referrals originate from departmental sources within the MCWB (Intake, Income Maintenance). If these referrals are mandatory (mothers with children three and over) or voluntary (mothers with children under age three or between the ages of three and five for whom no day care can be provided), they will be sent to the WIN Unit. Once the WIN caseworker has made a decision as to appropriateness, referral forms will be filled out and the client will be required to get a medical examination. If the medical exam is passed, the case will be presented to the WIN program members at a weekly staff meeting to decide to which services the client should be referred. After child care arrangements and possible rehabilitation services have been provided, the client will be enrolled in WIN and simultaneously referred to the Employment Service Team.

The complexity of providing child care, rehabilitation services, as

well as the availability of transportation services and training slots, had taken precedence over any particular order of referral priority. In addition, as of the Spring of 1972, there were no longer any males being referred to WIN and unemployed youth tended to be referred to other programs. There were, therefore, no specific priority referrals to the WIN program; rather, the caseload consisted primarily of women. Those who seem to have the most promising employment potential were given priority.

#### Employment Service

The coordination between SES and the WIN Unit tended to be quite good, partly because weekly staff meetings were held to discuss client problems and to make joint decisions on which clients to enroll in the program. Also, monthly meetings were scheduled to discuss administrative procedures. Within the MCWB, however, there was little communication about WIN to non-WIN personnel who have the responsibility to make referrals to the WIN Unit. The result is that welfare personnel knew little about the WIN Program other than the general rules about referrals.

WIN 11

At the time of the second site visit in the fall 1972, a change in the WIN Program was evident. Unlike most of the other sites, the most important features of the federal guidelines had been implemented -- some with a minimum of difficulty, others with a great deal of difficulty. The guidelines were implemented very quickly.

The first stage of implementation involved registration and certification of current WIN enrollees in July. AFDC-U fathers belong to the "working poor" program in New Jersey and thus do not qualify for WIN. Toward the end of July Intake Units began to register non-exempt AFDC applicants. Following a period of instruction, the Income Maintenance Units reviewed 1500 of the 6000 AFDC cases for possible registration during a two-week stretch in August. Because of the excessive time involved in reviewing cases (500 man-hours), and because of the lack of interest by personnel in working overtime, the Income Maintenance Units began to register clients as part of the redetermination process. This stage began during the last week of August and was in full operation by the end of September. During the transition phase in the summer, a series of State letters and memos with instructions and procedures were transmitted from the State offices.

It was found that registering current AFDC clients was the most difficult part of the guidelines to implement. It required a considerable shift in tasks for the Income Maintenance workers from their role in WIN I where their involvement was marginal. Other aspects of the guidelines were fairly easy to implement. The SAU had been in operation for a few years and Joint Appraisal activities had been going on since January. Thus mechanisms to facilitate screening of clients and to promote cooperation between the employment service

and welfare were well established.

The first site visit established that, because of the high degree of specialization and coordination and the lack of other competing work programs, New Brunswick attached moderately high priority to the WIN Program. WIN II has given the program even more priority because of the intensive efforts of personnel to implement the program as quickly as possible. "Talmadge" is an everyday word both within the SAU and Income Maintenance and Intake Units. This can be attributed to the abrupt change brought about by WIN II which increased dramatically the involvement of workers in the program.

In terms of the overall program change, there appeared to be some variability within units as to the amount of change. For instance, the Income Maintenance Units experienced a considerable shift in tasks and involvement in WIN. The SAU and Joint Appraisal Units on the other hand, remained intact from WIN I, although modified somewhat. The major change for the SAU was that the screening and referral function of the SAU caseworkers was replaced by clerical involvement in paperwork. This had a negative effect on staff morale. In terms of program goals, the shift from training to employment was evident at New Brunswick.

#### 1. Program Structure

The high degree of program specialization under WIN I is still in effect under WIN II. Most administrative difficulties are centered in the Income Maintenance Units. At the time of the second visit in September, New Brunswick was 2 months behind in their July to December case review determinations.

#### 2. Program Procedures and Process

The structure and administration of the WIN Program at New Brunswick follows the guidelines quite closely. It was too early to trace any movement

of clients from the AFDC caseload to registration, to WIN, and to employment. Although there has been just a trickle of clients getting jobs, the machinery has been set up to handle a large flow of clients.

The Intake Units explain the program to all new clients and fill out the registration forms for mandatory and voluntary clients. For ongoing clients, the Income Maintenance Units will review the case records as part of the redetermination process. This procedure entails the notification to the exempt clients by mail of the opportunity to volunteer for WIN. Those clients records which indicate possible exemption must be validated. This usually involves communication with school or medical authorities. Mandatory clients are notified of their status through the mail and required to fill out and mail back the registration form within 10 days. Most clients either do not mail the form back or do so incorrectly. This results in further delays and considerable confusion on the part of workers and clients. Once the forms are filled out, the paperwork is forwarded to the SAU where a clerk sorts it out.

The SAU conducts the appraisal process in 2 steps: first, a preliminary screening of all registrants (not reviewed or called up yet) is conducted by the supervisors of the welfare, employment, child care and vocational rehabilitation agencies. SAU caseworkers assist in notifying the selected clients of the time and place of the appraisal. The Appraisal Team is comprised of about 10 members from the participating agencies. Many clients do not show up for the appraisal which is held once a week. It is the responsibility of the SAU caseworkers to track down those clients who failed to appear at the Joint Appraisal.

If a client is "approved" for the WIN Program, certification activities begin. Child care is usually the most frequent need, and, once the

child care agency has made arrangements or other services are provided, the client is interviewed by the Employment Service counselor.

### 3. Welfare/Employment Cooperation

The ES Team utilizes a functional model. The structure and personnel have not changed considerably. Although new responsibilities due to WIN II have changed some of the tasks. For instance, the community worker must spend a day or two per week keeping track of attendance in orientation class, transportation, lunch, and incentive grants. Since PSE and OJT have not opened up in New Jersey, the only real and quite apparent change in the ES is its emphasis on short-run training and employment.

The level of influence and/or power ES exerts over WIN has not changed considerably. There are two reasons for this. First, the emphasis on joint decision making both before and after WIN II tends to mitigate any shifts in power, particularly since decision-making is dispersed among four agencies. Secondly, all of the registration and joint appraisal activities are done at the welfare office. The WIN Coordinator at welfare is seen as a group leader by the participating agencies.

### 4. Client Impact

Because the program was in operation only a short time, there was no evidence of any major flow of clients from the caseload to employment. There was, however, evidence that the manner in which the registration process was carried out resulted in some client confusion. For instance the mail proved a poor way to communicate with clients concerning information about registration. In addition, the requirement that clients fill out the registration form on their own and mailing it back to the welfare office resulted in many clients filling out the forms incorrectly (about 1/3), or not

returning the forms at all (about 1/3).

In addition, there was evidence that many clients (volunteers) would call up the WIN office asking about the program or other possible training opportunities. These volunteers often had to wait months to be called up for appraisal since the Income Maintenance Units were working to capacity at the time with mandatory registrants. The result of this is that many of these clients do not get into the WIN Program since the welfare office staff is spending its time assessing often less appropriate clients.

NASSAU COUNTY (MINEOLA), NEW YORK

The Nassau County Department of Social Services, located in Mineola, New York, has a total caseload of over 36,000, approximately 11,200 of whom are on Aid to Dependent Children (ADC), and an office staff size of about 1,600. Nassau County, a traditionally well-to-do suburban area, has experienced a 45 percent increase in the number of welfare clients in the last few years. Between December 1969 and February 1972, the number of Nassau County welfare recipients has increased from 39,623 to 57,998. Four percent of the population of Nassau County are receiving some form of welfare payment (compared with about 16 percent in New York City).

In the Spring of 1972, the Nassau County Department of Social Services (DSS) was in the middle of the process of changing its organizational structure. The organizational pattern is basically as follows:

The department, in accordance with New York State guidelines, maintains a fairly complete "separation of services" organizational structure whereby financial tasks (Public Financial Assistance Division) and service tasks (Community Service Division) function as separate, independent units. In addition to this primary division between financial and service operations, there is substantial subsequent separation of tasks within the two main units themselves. The Public Financial Assistance Division is itself divided into several components including the Eligibility or New Certification Unit which has responsibility for the initial assessment of a client's eligibility for assistance, the Recertification Unit which has responsibility for sample "paper" follow-ups every three months to determine the continued eligibility of a client, the Validation Unit which is responsible for follow-ups on clients through periodic at-home visits, and six Income Maintenance Units (organized

alphabetically) which are responsible for the handling of client financial problems and for the computing of budgetary changes. The Community Service Division is also sub-divided into several smaller units, each with its own area of expertise and control. The units include the Family Bureau, the Children's Bureau, the Bureau for the Aged, and so on. The two WIN Service Units are presently under the Family Service Bureau. The program has since been held at a standstill due to a court injunction.

#### WIN Program

The Nassau County Department of Social Services has two WIN Service Units (divided geographically) housed under the Community Services Division whose main functions are to facilitate client entry into the WIN Program through the provision of assessment and orientation-related tasks and to assist in the continued participation of a client in WIN through the provision of supportive services. When the WIN Service Units were originally formed, two of the department's most able supervisors were selected as the WIN supervisors; case-workers were also "hand-picked" to staff the units. In May 1972, the department had 600 authorized WIN slots, 538 of which were filled. For 1973, the department is asking for 900 slots; they had started with 200 in 1968. There were 4 WIN Teams at the Employment Service Office to handle the WIN enrollees.

In Mineola only ADC-U were considered mandatory referrals to WIN. When a prospective recipient first came to the DSS office for assistance, it was determined if he was employable (minimal qualifications necessary). If deemed employable, he was required to report to the local State Employment Service (SES) office to register for employment. This preliminary work registration occurred before any assessment interview of the client for assistance payment was conducted. If the client "has anything going for him", SES could generally

provide him with some sort of employment. In the event that the Employment Service was unable to provide the client with a job, he returned to the Eligibility Unit with a pink slip of paper" which indicates that he had registered with SES. New Certification would then determine his eligibility for assistance and, if he was ADC-U, would refer him to a WIN Service Unit as an appropriate WIN referral.

Once a client was referred to WIN, he was also "put into the system" and required to pick up his assistance checks at the local SES office. If the client was finally enrolled in the WIN Program, he would pick up his checks at the WIN SES office, not the local SES.

When a female prospective recipient came to DSS for assistance, she also was required to register for employment with SES if she had a work history and no child care problems. The regulations were somewhat relaxed for females, however, and most women clients, regardless of past work history and child care arrangements, were referred to the Services Division. Women with children under six years of age were referred to the Child Service Unit for possible provision of services and subsequent referrals, and women whose children were six years of age or older were referred to the WIN Coordinator who made a subsequent referral to either the SWAP or WIN Service Units.

Referrals to WIN came from units other than Eligibility including Recertification, Validation, Income Maintenance, and other service units, as well as from outside community agencies and from the clients themselves.

The two WIN Service Units composed of 14 caseworkers, 1 liaison worker, 2 supervisors, 1 WIN Coordinator, 3 community service aides and 4 clerks, did and continue to do most of their work with the clients before their enrollment

in the WIN Program. The WIN Service Unit (WSU) caseworkers screen referrals to WIN for appropriateness, provide the clients with a thorough orientation to the program, and assist with the provision of necessary supportive services following enrollment. The WSU caseworkers are not responsible for, nor are they permitted to attend to, the financial problems of WIN enrollees. The financial problems of clients are handled by the Income Maintenance workers. Within each of the six Income Maintenance Units there is one worker who is responsible for WIN cases. When a WIN client has a financial problem (delay in child care voucher payments or training expenses, change in budgetary arrangements, and so on), it is the client's responsibility to contact her/his Income Maintenance worker. The WSU caseworker is discouraged from interfering in any way with the financial affairs of the client and with the operation of the Income Maintenance Unit. With regard to the WIN Program, this rather arbitrary division between financial and service problems has caused some friction and a great deal of confusion in the operation of the program. Client problems are typically not strictly one or the other (not financial, not service), but a combination of both. Successful participation in the WIN Program demands coordination and communication at all levels of operation. The separation of services, as of the Spring of 1972, was hindering the realization of this goal.

The DSS employed a liaison worker for the WIN Program whose tasks included coordination of communications and operations between the DSS and SES offices. The liaison worker had an office in both departments and generally acted as an intermediary to facilitate problem solving and to aid in understanding. He was tacitly afforded more freedom of movement and leeway in action between the Service Units and Income Maintenance Units within DSS than were the regular WSU caseworkers.

The Nasau County DSS had enacted a ruling which requires voucher payment for child care costs. In order to receive payment for child care, a WIN client must submit an initial form for authorization explaining her child care plans. The arrangements must be authorized by the proper department (at-home care is authorized by the WIN Service Unit and out-of-home care is authorized by Home Services for Children). At the end of each month a second form is completed and mailed to the accounts division where it is audited and the payment mailed to the client. It generally takes over one month to receive the expense payment. Many babysitters are hesitant to become involved in such complicated arrangements and/or are unable to wait the month or so that it takes to get paid. In certain areas of the county, child care facilities are very limited. The voucher system has itself cut down on possible child care options by virtually limiting the number of babysitters available (by eliminating those who refuse to work for voucher payment).

#### Employment Service

The Department of Social Services and the State Employment Service are in daily communication and, in general, have a very good relationship and open communication lines. Until early 1972, however, it was very difficult for the workers of each agency to understand and, thus, to respect the procedures of the other. Each department has its own modus operandi, unique unto itself. The separation of services in DSS has tended to have a rather negative effect on the coordination and communication between DSS and SES. That is, the division between Income Maintenance and Services creates some problems for SES workers, both in the basic understanding of the division of labor as well as in the subsequent mechanics for solution of problems and general method of program operations. The clients as well as the workers

are involved with several staff members instead of a few; the mechanisms for getting things done have become more complex and much less efficient. In Mineola problems do not center on the DSS and SES having good communication (they do) but on the Income Maintenance and Service Units within DSS not having the same openness and freedom.

### WIN II

The WIN Program in the Nassau County Department of Social Services has traditionally enjoyed a position of department priority and respect. The Program has six hundred authorized slots representing an increase of 400 slots from initial program inception in 1968 and, further, is asking for an additional increase to 900 slots in 1973. WIN has been characterized in the department by both a sizable (25) as well as an extremely capable staff.

The Department of Social Services in Mineola has attempted to comply with the mandated changes in the WIN Program including registration procedures for new applicants for assistance, establishment of a Separate Administrative Unit, and development of a Joint Appraisal Team. Comprehensive WIN II compliance in the department has been hindered by the piecemeal and, as of September, incomplete state administrative letters concerned with the implementation of various program components. The guidelines that had been received, however, had been examined and implemented in a comprehensive and conscientious manner.

At the time of the second site visit (September 1972) the WIN Program in Nassau County was virtually at a standstill pending operation of the newly developed Joint Appraisal Team. The department had adapted their two WIN I Units to the mandated Separate Administrative Unit (SAU) and had implemented registration procedures in the Eligibility Unit for the mandatory registration

of new applicants. The on-going caseload had not yet been examined for mandatory WINs and little change had occurred with regard to financial reporting procedures. The Joint Appraisal Team to be composed of two full-time SAU caseworkers and three full-time State Employment Service workers, was scheduled to begin operations the first week in October.

It appeared that the staff was beginning to understand the basic shifts in the WIN Program - both with regard to philosophical changes in program objectives as well as with regard to various changes in particular functional detail. It was, however, difficult to assess the extent of impact of WIN II on the Nassau County Department of Social Services at this stage in program implementation. Extensive changes in the WIN structure had already occurred or were imminent, but corresponding changes in program operation appeared to be generally held up pending more complete component implementation and, specifically, operation of the Joint Appraisal Team.

#### 1. The Separate Administrative Unit

The Separate Administrative Unit in the Nassau County Department of Social Services is basically composed of the same two WIN units active during WIN I. There has been no change in staff and, at the time of the second site visit, no meaningful change in function or operation. The SAU consists, then, of 1 WIN coordinator, 2 supervisors, 14 caseworkers (4 caseworker II's and 10 caseworker I's), 4 clerks, 3 community service aides, and 1 liaison worker.

The main tasks of the SAU involve the provision of supportive services to the WIN client population, the discussion of the WIN Program with clients, and general counseling and assistance with various service (and WIN) related problems such as health and child care. Although the voucher payment system for child care expenses has been simplified to some extent in the department,

voucher payments remain the unit's biggest problem (see Supportive Services).

The SAU has been relatively uninvolved in changes in the WIN Program thus far in the implementation process. The Joint Appraisal Team was scheduled to begin operation in October and the WIN Program has been virtually at a standstill since the summer began.

The only task performed by the SAU that has been specifically connected with the WIN II Program was the advanced registration and certification of all ADC-Us. About 136 ADC-Us were reviewed, registered, and certified for WIN II; approximately 70 were already in the WIN Program. SAU workers tried to identify the necessary services in these cases, but registration of ADC-Us was "the usual chaotic mess." The process did serve to demonstrate the need to review the entire caseload for misclassifications and other inconsistencies.

Structurally, there is basically no difference between the present SAU and the two WIN Units of WIN I. Functionally, in the past the "SAU" (WIN Unit) was a deeply involved, intensive counseling resource. It was feared that with the implementation of WIN II the unit might become a referral agency, a mere service providing vehicle. The unit considered it important that client contact not be eliminated thus enabling the maintenance of the counseling function of the SAU caseworkers.

The function of the SAU under WIN II - while difficult to determine at this point in the implementation process - may remain basically the same as under WIN I once the guidelines have been fully established in the department. It is now clear, however, that the SAU no longer has the responsibility of identifying the client for SES. This role is being fulfilled by the Eligibility Unit in the initial client registration process and, later, will probably be extended to the re-certification and validation units when the

on-going ADC caseload is examined.

## 2. Eligibility and Registration:

The Eligibility Unit in the Nassau County Department of Social Services is composed of thirteen workers: 1 worker for each outpost office, 1 worker who is responsible for discharges from psychiatric hospitals, 2 field workers, and 2 supervisors. There is also a "team of Eligibility specialists" who are responsible for a "re-review" of cases.

As of the fall of 1972 only ADC-U's and new ADC clients have been registered for WIN. During the summer months those ADC-U cases already on assistance were reviewed for WIN and were subsequently registered for the program or reclassified in accordance with federal guidelines. Approximately 136 ADC-U's were registered, 70 of whom were already participating in WIN. Separate Administrative Unit caseworkers were responsible for the registration of these ADC-U's already on the active caseload.

The Eligibility Unit has been involved with the registration of new ADC clients. New York State law requires that all employable men and all women with a work history and with no child care problems be sent to the local State Employment Service office to register for employment. Prospective clients must register with SES before any evaluation for assistance (including the determination of assistance categories) has been done. Clients are told by the Intake Unit (Application Center) that they must sign up with SES and take any job offered to them at the time. The Eligibility Unit does not, at this point in the application process, make any client contact; cases are not opened officially or even discussed until the client returns from SES "with a pink slip of paper" (ES-28) proving that he/she has indeed registered for employment with the agency. The Eligibility Unit then determines

a client's assistance category and evaluates his eligibility for assistance.

The Eligibility worker must fill out a new form (1953) and sends one copy to the central WIN SES office in Hempstead, one copy to the WIN Coordinator, and one copy to the client's case record file. Every client is evaluated for employability. If a mother with children (child) under six years of age shows an interest in participating in WIN, she is referred to Family Services and not to WIN per se.

There has been little, if any, real change in the manner of exposing clients to the existence of the WIN Program from those procedures following under WIN I. A brief talk is given during the intake process informing clients of various services and programs available in the welfare department. The Clients are told that they will be evaluated for employment, but little definitive explanation of the WIN Program is given. Most of the clients have already had to sign up for employment with SES.

There has been little client refusal to register thus far in the implementation of the new mandatory requirements of WIN II. If a client did refuse to register for WIN, the case would be closed (or, rather, never opened) and no assistance given. The client "would simply not be complying with the rules." If the client had a particular reason for not wanting to participate in WIN, the Eligibility worker would register the client anyway and "let the Separate Administrative Unit worry about it."

Eligibility supervisors keep a record of those clients registered for WIN in the Unit. There appears to have been some pressure on workers to register appropriate new clients for WIN II. The supervisors check application forms for potential registrants that may have been over-looked by the Eligibility workers. "Nothing is left to the discretion of the workers as before."

One reason cited for a relatively low registration rate involved the fact that the great majority of ADC women have children under the age of six and, as a result, are not regarded as mandatory registrants for WIN II. There have been approximately seven to eight registrants per week for WIN in the Eligibility Unit.

### 3. Appraisal and Call-Up

At the time of the second site visit, the Joint Appraisal Team was just being established and was scheduled to begin operations the following week. Administrators and workers in both the Department of Social Services and the State Employment Service WIN office had little idea how effective actual Team operation would be. The Employment Service, however, seemed somewhat more enthusiastic and optimistic regarding Team performance.

The Team was to be composed of two full-time Separate Administrative Unit caseworkers who would now be located in the SES office in Hempstead and three full-time SES workers. The appraisals would be done on an on-going basis. A client would be notified by mail as to the time and date of the appraisal interview. (Some apprehension centered around the recognition that other offices have experienced difficulty with clients not keeping appraisal appointments.) At the time of the appraisal interview it is expected that the social service plan and the employability plan be developed.

The Joint Appraisal Team will be responsible for the determination of the necessary supportive services for a client. The SAU workers fear that this might mean that the unit will become simply a referral agency. They fear that they would merely be referring clients to various service agencies for further assistance without really having any significant client contact themselves. The SAU would ideally like to meet with the client after the

initial registration and before the appraisal interview but it seems that the SES office disagrees with the concept. The SAU does realize that meeting the client before the appraisal interview might mean some wasted effort on their part as some registrants might not be regarded by the appraisers as appropriate WIN clients. The SAU was not inclined to 'press the point' if SES continued to object.

A recent ruling requires that once an ADC-U is registered for WIN and SES is notified of the registration, an appraisal interview must be scheduled within one week of the notification. ADC-U's represent a definite priority for the WIN Program in Nassau County.

#### 4. Financial Procedures

With the exception of the fact that the Employment Service is now handling all training and employment related expenses for WIN clients, the basic system for handling financial procedures in the welfare department has remained the same as before WIN II. Workers have not been involved with new forms for financial matters and workers and administrators alike seemed unfamiliar with the 90-10 funding provision of the Amendments.

The Income Maintenance Unit in welfare is still responsible for monthly needs and shelter allowances for WIN participants. There are six Income Maintenance Units (IMU) each one of which has one part-time WIN worker. The WIN worker (or, more accurately, the Income Maintenance worker with some WIN responsibilities) is given the same number of cases as the other Income Maintenance workers in addition to his/her WIN cases. Workers indicated better communication with the Service Division and, specifically, with the Separate Administrative Unit, than in the past. All WIN records are now "kept handy" in case of changes in client status and/or necessary financial

adjustments in the client's budget. It is still conceivable, however, that a WIN client could come into the Department of Social Services in order to speak with an Income Maintenance worker and one of the Unit's other workers (not the WIN worker) would be assigned to see the client. There is little coordination of or consistency between worker and client in Income Maintenance since most Income Maintenance workers do not have a steady caseload. Walk-ins are assigned to any worker available - not necessarily the one most familiar with their case. It has been recommended that there be a separate WIN Income Maintenance Unit with responsibility only to WIN clients; or, in lieu of this arrangement, the present system would be more efficient with regard to WIN if there were one worker within each IMU whose sole responsibility was to WIN clients.

The Income Maintenance Unit receives status change forms on WIN clients from the Separate Administrative Unit which, in turn, has received word from SES. In addition, the IMUs are still involved with the voucher system for payment of child care expenses. The system has been in effect in the department since March, 1972, and seems to have few supporters in the office. The 644 voucher form was recently revised thereby making the process somewhat less complex; the delays in payment to clients, however, are still extensive. SES took over the responsibility for training and employment related expenses as of July 1, 1972. There is still a delay in payment for the clients for expense money, and participants are often forced to use their lunch money to pay for other expenses.

One clearly positive change that has taken place in the administration of the WIN Program in Nassau County involves the fact that as of September 1972, WIN clients are no longer required to pick up their assistance checks

at the WIN SES office in Hempstead. Clients had been required by law to report bimonthly to their WIN SES office in order to receive their checks. This requirement had been the cause of a great deal of hardship, forcing many clients to miss training and employment sessions, to spend extra time and expense on transportation and general travel considerations, and otherwise inconvenience their often inflexible schedules. The checks are now mailed to the clients' homes, thereby saving the aforementioned waste of energy, expense, and time.

The fact that SES was now handling training and employment related expenses was felt to be of positive program value by most of those interviewed in the welfare department. The new system "has allowed SES to hassle welfare less." It was felt that SES has closer contact with the client during the training and employment stages of WIN participation and, therefore, would be more aware of client needs and thus better able to provide more effective assistance. It was suggested by one worker that clients should receive expense money in advance as delayed payments cause considerable hardship for many.

DSS workers had received no new forms with regard to financial funding at the increased reimbursement level. General Ledger of DSS was also unaware of any changes in funding procedures and was still working on the basis of a 75-25 reimbursement rate. As of July, 1972 General Ledger has not had responsibility for reporting training and employment related expenses.

#### 5. State Employment Service

The State Employment Service (SES) WIN office is located in Hempstead, New York. The office utilized a Team Model of organization under WIN I, but had reorganized with WIN II replacing the four WIN Teams with the following

four Units: the Appraisal and Job Placement Unit; the Employability Developmental Unit (for those not ready for job development); the Job Development Unit; and the Orientation Unit.

The WIN Program in Nassua County has always enjoyed a fairly good standing in the community. Favorable public relations have been associated with the program, and the Employment Service has regarded it as an important and valuable component. The SES director was, therefore, somewhat apprehensive regarding the recent changes in the WIN Program (see below) and hopes that the positive program reputation will not suffer as a result.

The State Employment Service feels that the goal of the WIN Program has always been to find work for people. The new catch is "as quickly as possible." WIN II has changed the emphasis of the Program and there is no longer extensive time for employability development. SES explained that training per se has not been completely ruled out. There is now a one-year time limit of training programs. This shift in emphasis in WIN has been more of a shift in the time element, than a qualitative shift from training to employment. The stress is now on short-term training and education, not on high skill, long-term development.

The change in priority considerations brought about by implementation of WIN II is consistent with and, in fact, integral to the Program's emphasis on interum, rather than long-term goals. SES always believed that the WIN Program would be helpful in enabling people to become self-sufficient and no longer reliant upon the welfare system for support. "Now the goal is just to start the client off in the job market." WIN II places its importance in providing entry-type jobs, not necessarily skilled employment for participants. It is recognized, of course, that if this plan is followed,

"the client will receive less money and will require supplemental assistance." The rationale of the program assumes that once a client is a member of the labor force (at whatever level), it will be the client's responsibility to work themselves "up the economic ladder" to self-sufficiency. The emphasis of WIN II is, then, exposure, not on skill training.

At the time of the second site visit the Joint Appraisal Team had not started operations. Plans for the Team had been developed, of course, and prospects for its success appeared favorable. The Team will be composed of two full-time Separate Administrative Unit caseworkers from the welfare department who will be working from the Employment Service office in Hempstead. There will also be three full-time SES workers on the Team. Appraisals will be done on an on-going basis, with the clients present for the case review. The procedure plan or program flow was somewhat difficult to determine as it hasn't really been in active form as yet. Clients are expected to become participants in WIN, and then the supportive service plan is developed for them. Finally, the client becomes certified into the Program. (Enrollment in WIN is now to be referred to as "participation" in WIN.)

SES did not anticipate any significant problems with the Department of Social Services regarding determination of necessary supportive services. It was felt, in fact, that the existence of the Joint Appraisal Team may assist on-going program communication because staff from DSS will be at hand with important criticism, advice, and observation. The staffs of each agency will therefore be more familiar with each other - with outlooks, methods, objectives, and priorities unique to each agency. The liaison worker employed during WIN I (and, it is expected to be continued during WIN II) has already assisted in this process of "familiarization," and communication has appeared to improve as a result.

SES felt that serious problems existed concerning On the Job Training (OJT) and Public Service Employment (PSE) components of the WIN II Program. The tax incentive for OJT has not been effective in the establishment of job training resources and PSE development will not begin until January 1973. Both components are considered integral parts of the new Program, and both were seen as having some difficulties.

The staff at the Employment Service office has been somewhat reluctant to accept the changes mandated in the WIN Program by the new guidelines. The staff had worked on WIN I and had developed their philosophies and expertise in accordance with its objectives. At present, their interests, sentiments, and capabilities are more client and training oriented than the new WIN II Program demands. Their orientation, it appears, may now be rather counter-productive to the effectiveness of WIN II and, therefore, will have to be re-evaluated and readjusted in view of program implementation.

#### 6. Client Impact

It was really too early in the implementation of WIN II in Nassau County to effectively estimate what impact the program has had or will have on the client population. There had been very few (if any) client refusals to participate at the initial eligibility registration for WIN. Clients already active on the ADC caseload, with the exception of ADC-U's, have not been affected as yet by changes in the program. The on-going caseload had not been reexamined for mandatory WIN registrants at the time of the second site visit. ADC-U's were, however, required to be registered for WIN whether or not they were already participating in the program. This registration process accomplished in the summer, was more of a "paper" registration and certification. Although ADC-U clients were visited by SAU caseworkers, very little

real consequential action resulted from these registrations, and the effect on the ADC-U's was not measurable.

There has been some confusion on the part of both clients and workers with regard to the changes in the WIN Program. Some clients are confused because they have heard rumors that less comprehensive training programs will be available. Workers felt that WIN has been the "only program that is concrete enough. Clients are still asking for WIN; whether they get what they ask for or not is a different story."

Workers were uncertain about the effectiveness of mandatory registration and call-up of priority categories. The mandatory aspect of the program was often a topic of disagreement and disgust; the unqualified mandatory registration of mothers with children 6 years of age and older was highly criticized. Workers did not think that all mothers with children in this age group were categorically able to work and believed that more emphasis should be placed on volunteers. As one worker stated, WIN II, "is unrealistic, to think that jobs can be found in our present economic situation. It is also unrealistic to think that most mothers will be able to find and keep employment. Most are not capable."

MONROE COUNTY (ROCHESTER), NEW YORK

The Monroe County Department of Social Services (DSS), one of the largest in Western New York State, provides services for the population of the City of Rochester and surrounding communities (population of approximately one million). Until the recent recession, the county enjoyed a relatively low level of unemployment - about two percent and a highly skilled labor force. With the recent downturn in the economy, however, and the growing exodus of manufacturing industries to lower minimum wage states, the labor market has been shrinking and the unemployment rate has been climbing, to a high of 4.9 percent in 1970 leveling off at 4.0 percent by the spring of 1972.

The DSS, located on the southern outskirts of the central city in a new ten story modern office tower, experienced a dramatic rise in caseload due to these changes in the employment picture (and the recent secular increase in welfare caseloads), doubling its caseload from 9,000 to 18,000\* in that two year period. The largest category, ADC, includes over 10,000 cases, the next largest, Home Relief (HR), has over 3,000 cases. During the same period - and partly as a response to this explosion in the caseload - the New York State mandate to separate services from income maintenance functions went into effect in November, 1970.

Organizationally, the DSS is divided into two major divisions, each under a Deputy Director: Services and Administration. The director reports to the County Manager who in turn is appointed by the County Legislature. Social Services Unit is divided into two major divisions: (1) Income Maintenance with four teams of 10 - 12 staff per team and (2) Services, with 15 teams of 10 - 15 staff per team. Administration includes the Fiscal, Account-  
\*27,000 including Medical Assistance (MA)

ing and Statistical Units and the newly created Master Control and Validation Units. The total staff in the department exceeds 800. Until recently when a satellite office was opened in the black community of the center city, the welfare office was housed in a single facility six miles from the bulk of the population it served - the black and Spanish-speaking minorities of Rochester.

The WIN program at Monroe County DSS was initially set up as a priority program in response to federal mandate. The WIN Unit was headed by an experienced social worker with total staff of three reporting directly to the director of the agency. The WIN Program started with 200 slots, but was later dropped to 150 slots. The DSS unit had responsibility for screening, enrolling and monitoring WIN clients. However, with the change in agency directors and the creation by the County Legislature (later enacted by the New York State Legislature) of a work program for HR and employable ADC recipients, the WIN program was demoted both organizationally and psychologically. As of the spring, 1972, WIN was a minor sub-division of the Employment Division of DSS which handles the local and state workfare programs. These programs had assumed the priority once given to WIN.

The addition of a second WIN Team (total-300 slots, with 200 slots filled in mid-1972) has not altered this trend. Further, the separation of services has hampered the operation of the program; the WIN Unit and the WIN client must now deal with at least two different workers resulting in increased administrative problems. One worker from Income Maintenance handles the basic grant, training expenses, child care costs, and other "financial"

matters. A different worker, from one of the Service Units that services the neighborhood in which the client resides, provides for child care plans and other supportive services needed by the clients. Services are provided, however, only upon request from the WIN Unit or the client. Without the service request, the WIN client is continued only as an Income Maintenance case. The delays in getting a case opened in Services was causing a significant increase in the WIN termination rate, especially as failures in child care plans cannot be quickly resolved. As a result, the WIN Unit, which had not grown in size in spite of the addition of another Employment Service Team and the addition of tasks required by separation of service, was barely able to keep up with the paper work, the interviewing of enrollees, and the preparing of medicals. The Unit included the WIN Co-ordinator, a part-time WIN liaison caseworker, and a clerk. At the time of the first site visit, a case aid had been recently added.

The local and state workfare programs have undercut the WIN program by reducing the rate and the "quality" of referrals to the program (referral rate ranged from 40 per month optimum to under 10 during parts of 1971). The work requirement in New York that all employable recipients register and pick up checks at the SES office results in many potential WIN candidates being diverted from the WIN program. The better candidates are likely to be placed in a job by SES, or if they are able to apply to WIN, they may get placed by SES during the 30 day period required for enrollment in WIN.

Separation of services has also contributed to this problem of WIN enrollment since referrals come from Eligibility and Income Maintenance workers who are the least experienced and have the highest staff turnover.

Service staff, composed of more experienced caseworkers having greater knowledge and interest in WIN, come in contact with WIN clients only if service problems arise.

#### Employment Service

Relations with the WIN team were complicated by the location of the SES unit in the center of the city, while the DSS office is on the outskirts. Also, agency differences in staff personalities and orientations increased communication problems. Initially, a liaison caseworker from DSS had been housed part-time with the WIN team, however, staff shifts within DSS and a lack of rapport made this mechanism of coordination ineffective, as it was eventually terminated. As of the spring of 1972, there were no regular channels of communication between the two staffs except for required forms, leaving no effective means for dealing with client problems. As a consequence, minor client problems often result in the client being terminated by SES; there is no mechanism for involving DSS service workers quickly enough to be of assistance. A slight bias against welfare clients, combined with an employment service concern for "good" statistics and a high turnover of the caseload, reduces the chances of a client with need for substantial supportive services from staying in the program. This was occurring at the same time that state work programs were creaming the most readily employable, leaving the WIN program with the more problematic clients. Thus, the system was set against the continued participation of those enrolled in WIN. A change of leadership in the WIN/SES Team in the spring was seen as a step toward developing better agency relations.

WIN II1. Introduction

## a. Priority

The priority of the WIN Program in the Monroe County Department of Social Service remained about the same as at the time of the first site visit. Its lack of importance is evidenced organizationally by the fact that the WIN unit occupies an obscure position in the Employment Unit of the agency, which is itself one of the minor subdivisions of the Income Maintenance Division. (As a service program one would have expected to find WIN in the Service Division.) Its low priority is further evidenced by the caliber of staff allocated to the WIN unit. With the sole exception of the WIN co-ordinator, who is a senior case work supervisor (and a part-time case worker who is often absent due to illness, the Unit is staffed by individuals with civil service grades of "clerk" or equivalent levels of experience. The low priority of the program in Rochester is the result of a number of inter-related factors, the most important of which are: (1) the decision on the part of the director of the agency to place greater emphasis on state and local work programs, (2) pressure from the county legislature to keep the rising HR (Home Relief) and ADC rolls down by aggressively implementing the local work program (WEP); (3) county decisions to hold down welfare costs to the county (which now consume over half the county budget) by limiting staff changes and increases; and (4) the absence or the ineffectiveness of intervention by state DSS officials to ensure compliance on part of Rochester with state and federal standards for the WIN program.

## b. Imageability

Despite the absence of an increase in program priority, there has been some increase in program imageability as a result of WIN II. At

the time of the first site visit the program had such low imageability that many of the staff in units with WIN tasks were unable to distinguish WIN clients or WIN activities from their everyday duties. The changes which WIN II brought about for the Eligibility Units and the Income Maintenance Units, and to a lesser extent for the Service Units, has made the staff of these units more aware of the program.

With the advent of WIN II, meetings were held with the workers and supervisors of the Eligibility Units to familiarize them with changes in procedures for registering ADC cases. Some of the staff of the Income Maintenance Units became involved in WIN during the period when the training related expenses of WIN clients were taken out of their offices and transferred to WIN/ES. Even in the Employment Unit itself, the imageability of WIN increased as activity on the local work program tapered off due to reduction in the rate of increase in HR and as a result of the necessity of transferring staff from WEP to WIN to handle the new responsibilities and the larger case flow brought about by WIN II. The Service Units were impacted to a lesser extent by WIN II as the increase in the WIN caseload meant that service workers would have to approve, or in some cases develop more "child care plans".

c. Stage of Implementation

As of September 1972, the Monroe County, DSS had received six Administrative Letters from the State DSS, which dealt with pieces of the SRS Guidelines on WIN II. Rochester had implemented the following provisions of the program by the time of the second site visit: (1) mandatory registration of all ADC-U's, (2) registration of all new applicants for ADC and ADC-U according to the criteria set down in the federal guidelines (the State DSS

specifically requested that local agencies not register "undercare" ADC cases until notified to do so; thus only ADC cases coming up for normal six months re-determination were being registered for WIN), (3) compliance with the 15% quota plans had just been made the week of the site visit between staff of DSS and the State Employment Service (SES) to have 15% of those registered, participating by January 1st, (4) shifting of training related expenses from welfare to SES. The following provisions of the state and federal guidelines were not implemented at the time of the second site visit: (1) a Separate Administrative Unit (SAU) in the Service Division with a recommended (by State DSS) caseload of 1 worker per 70 WIN clients, and (2) a Joint Appraisal Team - to meet with SES to determine which registrants would participate and what supportive services were needed and would be provided to the participants (instead, as of the second visit, the WIN Coordinator was spending half days at the WIN/SES office in the capacity of "liaison caseworker"). Thus one can conclude in general that the WIN II program in Rochester had been implemented to the extent that it was translated into state "Administrative Letters" and to the extent that what was called for in the Letters did not interfere with existing administrative patterns and priorities of the Monroe County DSS.

d. Major Changes Due to WIN II

(1) Probably the most dramatic change in the WIN Program was the increase in the caseload. At the time of the first site visit there were approximately 200 active WIN cases (300 slots were authorized). By the time of the second site visit, the number of registrants exceeded 650 (participants were over 200 and increasing daily). The projected goal for participants for January 1 was 1170. Both the DSS and SES staff were under consid-

erable pressure to get at least that number participating as that figure represented the 15% quota. The WIN caseload thus tripled in the course of four months, and would be five times as great by the end of the year.

(2) The major change in the WIN Program in Rochester was the shift of personnel within the Employment Unit from the local and state employment programs to the WIN Program. Two staff were thus added to the WIN Unit from the WEP program - a co-op student and a clerk who was trained as an interviewer. This increased the WIN Unit from three to five. There was no plan, however, to make the WIN Unit into the kind SAU called for in the state and federal guidelines. The plan instead was to leave WIN as a sub-unit of the Employment Unit and to take advantage of the 90/10 funding for the services to WIN clients provided by the service units in the Service Division.

(3) The shift in program responsibilities from welfare to employment was not all that dramatic, as WIN I had largely been an employment program due to the fact that SES gave the program priority, staff, and resources, while DSS made few inputs. WIN II thus confirmed the change already begun under WIN I and also added to SES's responsibilities that of selecting who would participate, whereas under WIN I they had to "take" what welfare "sent" them. Thus WIN II was seen as a shift for WIN from a welfare program with employment support to a manpower program with welfare support.

## 2. Program Structure

### a. General Office Structure

The Monroe County DSS is divided into two major operating divisions, Social Services and Administration, with an Assistant Director in charge of each. The Social Service Division is further broken down into two

major sub-divisions and one minor sub-division. Following the mandate in the fall of 1971 to separate assistance payments activities from the provision of services, Monroe County DSS separated its staff into two divisions: the "Certification Center" which handles payments related activities such as intake, determination of eligibility, computation and adjustment of budgets, and related activities, and the "Service Division" which handles the provision of social services. Within the "Certification Center", there are three eligibility teams (of 6 workers/team) and 1 category team. In addition there are 4 Income Maintenance (IM) Units (of 10 workers/team) which handles all budgets for all recipients. (Clients are assigned to a unit alphabetically)

The "Service Division" consists of 15 service teams of about 9 workers/team which handle the service problems of all categories of clients in a specific geographic region of the county. The other operating arm of the DSS is Administration which includes Master Control, the computer center which keeps a master list of all clients in both the Income Maintenance and payroll. Also included in Administration are statistics, accounting, and the validation units. (see attached organization chart)

b. The WIN Unit

The type of SAU envisioned in the state and federal guidelines has not been implemented in Rochester. What does exist more closely resembles a low concentration weak WIN/WEL Unit under WIN I which functioned as the administrative link between welfare and the employment service. The WIN Unit in Rochester is responsible for; (1) registering clients into the WIN Program, (2) passing papers between the welfare office and WIN/ES, and (3) maintaining communication with the different units within the welfare office - eligibility, income maintenance, and service - each of whom has responsibilities for dif-

ferent aspects of the cases of WIN clients. The concept of the SAU as the primary service delivery unit for WIN clients which would concentrate most of the WIN tasks in a single administrative unit does not exist in Rochester, and is the furthest thing from the minds of the "powers that be". They perceive any new arrangement as a threat to the strict division of labor that has been built into the organization when the separation of services was implemented.

The WIN Unit at the time of the second site visit consisted of the following staff: 1 WIN co-ordinator (full-time), 1 WIN caseworker (part-time), 1 WIN case technician (full-time); slot now filled by clerk from WEP who is trained as an interviewer, 1 Co-op student (full-time); also from the WEP program, also does interviewing, 1 Clerk (part-time); also works in WEP program.

### 3. Program Process

#### a. Overview of Client Flow under WIN II

The following constitute the steps in the client flow at Rochester under the new provisions for the WIN Program:

- (1) intake class - categories are explained to new applicants
- (2) intake interview by worker in one of the Eligibility Units - determination of eligibility, screening for mandatory registration in WIN
- (3) referral to SES under provisions of New York Work Reform LAW of all employable HR and ADC cases for registration for work and check pick-up
- (4) client returns from SES with form (ES-28) indicating that he/she is registered at SES, then is referred to the WIN Unit
- (5) interview and registration for WIN by worker in WIN Unit - (client then officially in "registrants pool")
- (6) once registered at SES and with WIN Unit, authorization for grant forwarded from Eligibility to Income Maintenance to release first check and cycle into Employable Payroll

- (7) WIN Unit (or Eligibility) refers budget problems to IMU, service problems go to the Service Team through Master Control
- (8) WIN Unit sends copy of Registration Form to WIN/ES
- (9) WIN/ES calls in client for appraisal interview
- (10) WIN/ES requests services for client from DSS and receives reply
- (11) WIN/ES makes decision as to which registrant to call up (participants pool)
- (12) Employability plan developed by WIN/ES
- (13) Client assigned to program component
- (14) Client placed (or drops out)
- (15) Follow-up
- (16) Termination
- (17) Return to registrants pool, if supplemented

b. Registration

The registration procedure for WIN clients has been changed slightly as a result of WIN II. Eligibility now screens all "new" ADC and ADC-U applicants according to categories established in the guidelines and refers mandatory and voluntary cases to the WIN Unit (after the client has first complied with the provisions of the New York Work Reform Law). As under WIN I, it is still the WIN Unit, not Eligibility as in most offices, that actually fills out the WIN registration form.

c. Appraisal and Call-up

Appraisal and call-up are now totally the responsibility of WIN/ES. The appraisal interview and the decision of which clients to call up are handled by SES. The SES staff make the sole determination of whether or not a client would be an appropriate person for participation, without consulting DSS. At the end of September, the WIN Co-ordinator had started

spending afternoons at the WIN/ES office, but more in the manner of a "liaison caseworker" than as a participant in "joint appraisal".

d. Certification and Participation

At Rochester certification means primarily an exchange of forms between DSS and SES. SES informs DSS of a need for service for a WIN client. The appropriate DSS service team develops a plan for service and delivers the services, returning the form "certifying" that the services were provided. Since the passing of these papers is often time consuming, DSS and SES agreed that for purposes of meeting the quota they would interpret that provision to mean 15 percent of those registered would be participants, even though some may not yet be "certified".

e. Supportive Services

The identification of services needed by WIN clients is primarily the responsibility of the SES staffs although, at intake and at the first interview with the WIN Unit, such obvious service needs as child care are noted by DSS. The level of services provided WIN clients is the same under WIN II as under WIN I; the same staff - the service teams in DSS - are providing the supportive services. Although many of the services specifically mandated in the SRS guidelines are provided at least on paper by the service teams, it is difficult to ascertain the quality of the services, particularly in areas like housing and transportation where service workers have little control over the supply of such "services".

Another serious problem in providing services to WIN clients under both WIN I and WIN II is the fact that WIN clients are not automatically considered "active" in Service Units; only when clients have a particular problem do the Service Units become involved. In order to obtain services,

the WIN Unit must send an inter-agency memo to Master Control requesting that a particular service be provided; Master Control then checks to see what service team would handle the case and if the master file on the case is in order. The request is then forwarded to the appropriate service team, and a worker is assigned to the case and finally provision is made to render the service requested. All of this may take up to three weeks. The process for getting a case "active" in Service is, therefore, so time-consuming and cumbersome that WIN clients who have problems that need immediate attention - like getting a replacement for a babysitter - often are forced to leave the program or are dropped by SES for being absent.

f. Financial Procedures

The only change in financial procedures in DSS at the time of the second site visit was the transfer of responsibility for training related expenses to SES. SES is not reimbursing DSS for the cost of registering WIN clients although the supervisor of the Eligibility Units said the idea of developing a method for determining cost had been discussed but not implemented. A plan was developed in Accounting for getting 90/10 funding for the WIN Unit and for these services provided by the Service teams to WIN clients, but due to the pressure of other work it had not yet been put into operation.

#### 4. Welfare/Employment Cooperation

##### a. WIN/ES Program Structure

The SES decided that, with WIN II, it would change from the "team" to the "functional" model for organizing WIN operations. Previously in Rochester under WIN I there had been two WIN teams with a total staff of 14; presently, under WIN II the same staff is divided into functional areas - appraisal and call-up (interviewers), developing employability plans (counselors), developing jobs and training slots (job developers), etc. The staff at WIN/ES has been increased slightly to handle the increased caseload, plans for Fiscal Year 1973 call for doubling of the SES staff from 14 to 31.

The shift in program emphasis from education and training to direct job placement is recognized by the SES staff and procedures are being developed with that goal in mind. Greater use is being made of the "JOB BANK", a computerized listing of all job "orders" put out by the state SES. Institutional training and basic education funds have been frozen at the level of last year. OJT slots are being developed and PSE is to have 12 slots available as of January 1, 1973. Stricter standards for length of stay in any one program component (6 months) and for stay in the program (1 year) are being enforced.

##### b. Welfare - Employment Office Cooperation

Problems in welfare - employment cooperation were still largely due to the problems arising from having WIN clients subject to the New York Work Reform Law; although that source of difficulty will probably disappear soon as a result of a federal court injunction ruling that in the case of ADC, state legislation was superceded by federal law. The specific provisions of WIN II designed to improve the link between the two agencies did

not seem to be having much of a positive impact, largely because the most important - the Joint Appraisal Team - was not being implemented. This was due to the reluctance of DSS to assign the kind of personnel necessary to make the concept operational.

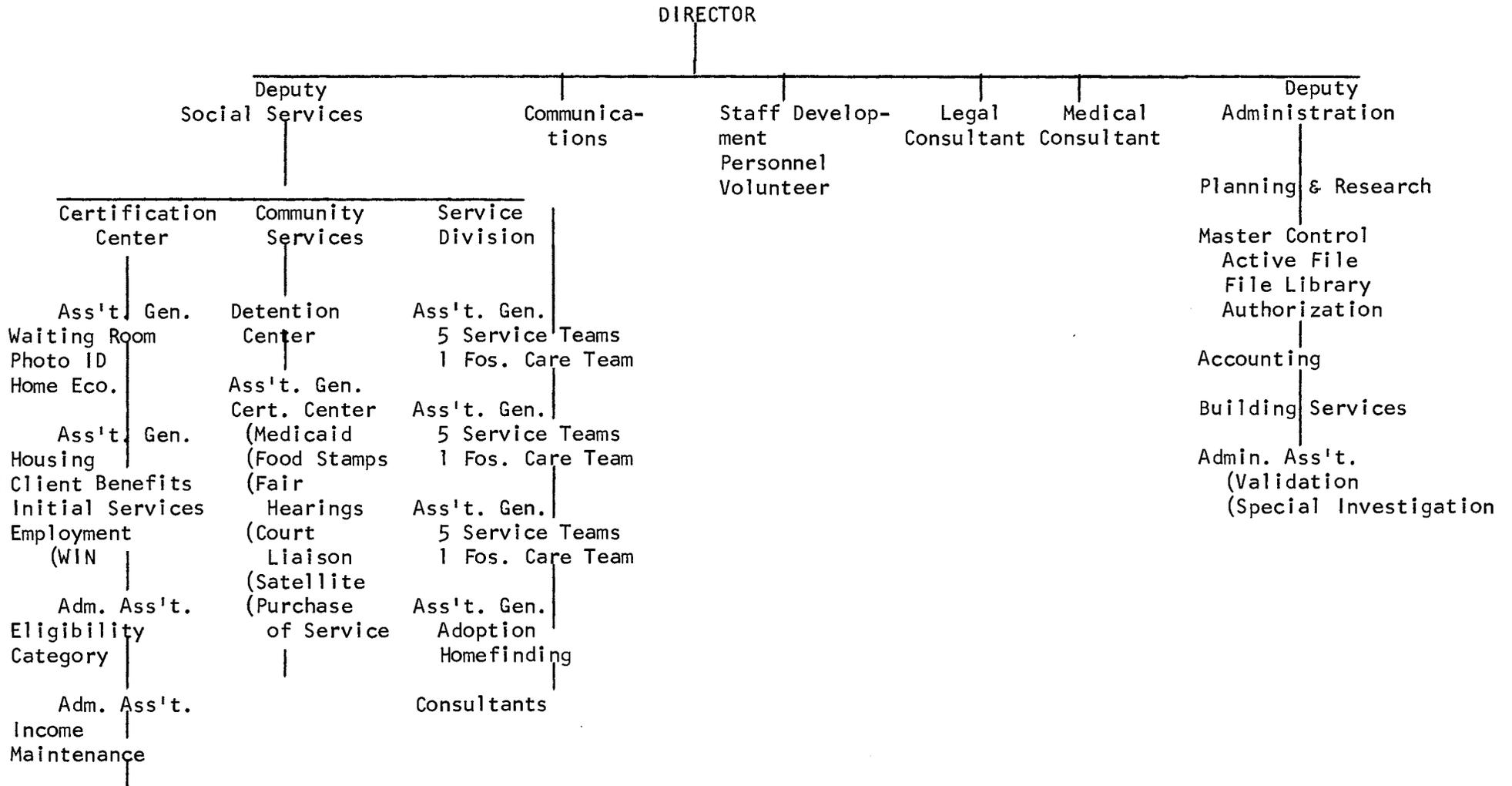
The other major change in WIN II regarding inter-agency cooperation - the Local Strategy Planning Group - seemed to be working out. It consisted of the WIN/ES Supervisor and his superior plus the DSS Employment Unit Supervisor and his superior; in addition, higher level officials of both agencies were involved as the issue warranted. Given the fragmented knowledge about the program and the piecemeal way in which it was being implemented, these meetings seemed a useful way of working out the problems in the program during the transition stage. The obvious flaw in the unit was the absence of the WIN Coordinator, whose expertise in the program exceeded that of all the other participants. This apparently was the result of a power struggle within DSS over who would control WIN and what priority it would have (the WIN Coordinator appeared to be in the "dog house" for advocating giving the program much higher priority than desired by key administrators in the DSS.)

#### 5. Client Impact

The apparent impact of WIN II on clients in Rochester was minimal. This probably was the result of two factors. First, the state DSS had decided to register only new ADC recipients under the new WIN provisions, and to delay until a later point in time the review of the entire ADC caseload. Thus many of those registered under the new provisions were new to the welfare system and had no experience from which to compare the new procedures. Second, many of the clients had recently been displaced from jobs and were

eager to get back into the labor market; thus, they wanted to get into an employment-oriented welfare program. The hardships that did exist among WIN clients were largely caused by the work registration and check pick-up provisions of the state work reform law which were still being applied to them. Once this source of difficulty is removed, the next test of client impact will come when the state DSS decides to have the local agencies begin registering the "undercare" cases, where one would presumably pick up more of the longer-term/"multi-problem" welfare families.

MONROE COUNTY DSS - ORGANIZATIONAL CHART



D-17

LOWELL, MASSACHUSETTS

Lowell, located in the Northeastern section of Massachusetts, has a population of over 90,000. Unlike other former textile communities in the area, Lowell has maintained its population over the years. Recently many Spanish-speaking people have moved into the Lowell area and now comprise a considerable portion of the population. Lowell's industrial base of textiles has withered over the last two decades, and the city now plans to play a secondary role in electronics and defense-related industries along the industrialized Route 128 area. Since the late 60's Lowell has had one of the highest unemployment rates in the commonwealth. In April, 1972, the unemployment rate was approximately 12.5 percent. Coupled with a deteriorating economic base, the public transportation system in Lowell is inadequate and has been substantially reduced in the last few years. This has had an effect on those WIN clients interested in securing employment in outlying areas where more job opportunities are available.

Welfare Department

The welfare office, with a staff of over 100, is located in the central business district. At the time of the first site visit, the office was undergoing an organizational change in which service and non-service functions were to be divided. This change was mandated by a recent union contract which also stipulated specific caseload sizes for caseworkers in different assistance categories. There has been some resistance to this change, first among older caseworkers not belonging to the union, and, additionally, among newer caseworkers who do not have enough seniority to choose service instead of non-service tasks.

The total office caseload, as of March, 1972, was approximately 7300, of which 2351 were in the Aid to Dependent Children Category (AFDC). Twelve percent of the AFDC caseload was Spanish-speaking.

#### WIN Program

In the Spring, 1972, there was no separate WIN Unit in Lowell; the principle Social Work Supervisor who functioned as the Assistant Director, also assumed the role of a WIN Coordinator.

Previous to this arrangement, a separate WIN Unit had been established under the Title V Program. The present WIN Coordinator acted as supervisor and two WIN caseworkers handled assessment and referral procedures. This arrangement lasted until August of 1970 when the WIN Unit was disbanded as the result of a large WIN caseload which did not allow WIN caseworkers to provide adequate services to WIN clients and, further, little clerical support to handle the necessary paperwork. In addition, there were many referrals from regular AFDC caseworkers who would occasionally pass off some of the more troublesome cases to the WIN Unit.

When the separate WIN Unit was disbanded, the arrangement of an undifferentiated pattern was formed. AFDC caseworkers under this system assessed clients for WIN, made either mandatory (unemployed fathers, youth age 16, and mothers whose youngest child is fifteen years of age) or voluntary referrals to the Employment Service Team, and handled the paperwork involved in program operation. Lunch, transportation, and child care expenses were paid for by the Department of Public Welfare. It was generally considered the responsibility of the mother to select her own child care arrangements. The caseworker assisted the client in this matter, but those mothers with children under fifteen were voluntary referrals in Massachusetts and were expected

to have their child care arrangements settled before enrolling in WIN. Once pre-enrollment services have been set up, the client was sent to the ES Team and an interview was scheduled. Paperwork was forwarded to the WIN Coordinator who had major responsibility for compiling program data and for submitting monthly and quarterly reports.

There were 200 authorized WIN slots in the Lowell area, 150 of which were filled with clients from the Lowell Welfare Office, while the rest were filled with clients from outlying areas served by the WIN/ES Team. The rate of referrals tended to be rather low from Lowell because there were few jobs available, program completion rate was low, and caseworkers were generally selective in referring only those clients who appeared to be most promising. As a result, there were relatively few referrals sent back to welfare as inappropriate. The important point, however, is that most of the caseworkers perceive WIN to be a low priority program.

#### Employment Service

The Division of Employment Security (DES) WIN Team, which assumed most of the responsibility for a client after enrollment in the WIN Program, is located in the same building as the welfare office. The Team is staffed with a Team Leader who is the work and training specialist, a Counselor, Job Developer, Employment Aide, and a Clerk/Receptionist. Being housed in the same building generally facilitates communication between the two agencies. As of the Spring, 1972, no formal meetings were held between the Welfare Department and the Employment Service and attempts to hold regular staff meetings on an organized basis had not been successful. The number of authorized slots had recently been increased to 225 and three additional personnel added to the Division of Employment Security staff.

## WIN II

At the beginning of October, the WIN II Program had only been in operation for two weeks. Although the state letter regarding WIN was issued and received during the first week of September, implementation of the program had to wait a month until a public hearing was held in Boston regarding the new program. Prior to the issuance of the WIN II State letter on September 1, there were two letters issued on June 7 which dealt with the registration of unemployed fathers and the removal of training-related expenses from the budget of the WIN clients.

Although it is too early to give an overall assessment of the impact of WIN II in Lowell, the data indicate some of the directions which the office will take in terms of the implementation of the procedures, program structure, and the role of the employment service (DES).

### 1. Priority

The priority of WIN II at Lowell has not changed nor is it expected to change in the future. One reason for this is that Massachusetts is implementing the separation of services mandate which has been given higher priority in Lowell. In addition, with an unemployment rate around 10% for the last few years, workers found it difficult to attach much priority to an employment program.

WIN II has not increased the imageability of the program to any great extent. Worker tasks have not changed considerably from that of WIN I. The procedures are quite similar to that of WIN I and do not involve any measurable increase in worker time. Workers still consider their job as "referring" clients to the employment service and demonstrate little understanding of the registration process or of the change in emphasis of the program.

This may only reflect the fact that workers have just started registration of clients, but it does illustrate the low imageability of WIN at Lowell.

## 2. Program Structure

The administrative pattern of the program has not undergone any major changes. As under WIN I, tasks are dispersed among AFDC workers in an undifferentiated pattern, and there is no SAU now (or any plans for one in the future). The only linkage between the caseworkers and the Employment Service is the Head Social Work Supervisor who is responsible for WIN statistics. About the only significant change in the administrative pattern of the office was the introduction of separation of services. This process began in May. There is a service unit which performs casework and budgetary redetermination on those clients needing services. The non-service unit performs just budgetary redetermination of its caseload and makes service referral when necessary. Thus, the WIN tasks are similar for each of the units with the non-service units making more registrations.

Since the union has stipulated caseload ceilings for service and non-services workers, a large pool of clients not assigned to any worker exists. Caseworker vacancies were not being replaced owing to a budgetary freeze on hiring staff. This fact, plus the separation of services implementation overshadows the WIN Program at Lowell.

## 3. Program Process

During the summer, unemployed fathers were registered for WIN and the employment service reviewed the existing WIN caseload for registrants. About 50 were dropped because their employment prospects were limited and they showed no interest in immediate employment. From July to December welfare was still operating under WIN I guidelines, which tended to create a gap in

implementation between welfare and DES which was geared to begin implementation on July 1.

The procedures are quite similar to those of WIN 1; Intake workers explain the new WIN program to AFDC applicants and register mandatory clients. The forms are sent in duplicate to the Head Social Work Supervisor who forwards them to DES, which is located in the same building. Service and non-service workers spend up to four days each week in the field on home visits as part of budget redetermination. At this time the program is explained to the clients. For mandatory and voluntary clients, registration forms are filled out in front of the client. This procedure is similar to that of WIN 1 in which the client was informed about WIN during the field visit and asked to volunteer.

Validation for exemption from WIN was not pursued and tended to be done informally, that is, the worker would make the determination if the client appeared to be ill or had an obvious incapacity. The entire caseload is reviewed once every three months, so it is conceivable that the entire caseload will be reviewed for registration by December 31. There was no evidence of standardized case review for WIN, but the visit was made quite early in the implementation process in Lowell.

Once the registration forms are sent to DES, welfare department involvement ends, except for the services that must be arranged by the caseworkers. Child care is the usual service requested, and, if the client can provide his or her own babysitter, this service is paid by welfare. There is little effort made on the part of caseworkers to provide or find child care arrangements beyond what the clients can provide on their own.

#### 4. Employment Service

The employment service exercises considerable leverage in WIN II. Counselors screen the registration pool, call up clients in order of priority, conduct individual appraisal interviews, set up service plans, and, after services are arranged and provided, enroll the client in the WIN Program.

At DES, the increased paperwork, conformance with new procedures regarding participation in WIN, and especially the change in emphasis from a training to an employment program have all increased the priority and imageability of WIN. This change in emphasis is important to the DES counselors because their role has changed from that of vocational counselor to job developer.

Since welfare does not participate in appraisal and there is no separate unit to administer the program, DES/welfare coordination is lower than that found in the New York and New Jersey sites. There was no evidence of a "thoroughly joint program" at Lowell. The attitude of welfare is not to get involved in the program, but just to make referrals. New procedures such as the certification of clients for WIN by the caseworkers involve more coordination. But, as was the case under WIN I, the undifferentiated and unspecialized administrative pattern hinders the coordination of worker activities. The result is that WIN has become primarily and almost exclusively a DES program, with minimal participation by welfare.

#### 5. Client Impact

One recurring problem area in the WIN II Program concerns the call-up procedure. The employment service, as part of the appraisal process, sends out letters of notification to all registrants requesting the client to contact DES for an interview. Up to 50% of the clients contacted have not responded.

Of those who do contact the agency, the show-up rate is high. Mandatory mothers appear to have the lowest rate for contacting the agency, while fathers and volunteers have been responding at a relatively high rate. For the fathers group, the younger male parents apparently show a greater response rate than the older group, who tend to be less employable.

WORCESTER, MASSACHUSETTS

Worcester is a city of 176,600 located 39 miles west of Boston. The composition of the population is approximately 95% white and 2% black. These statistics on the white majority include the 2.6% Spanish-speaking group whose population has more than doubled over the last decade. Sixteen thousand people live in the Worcester Model Cities Area that went into operation in 1970.

In April of 1971, Worcester County, which is composed of 22 cities and towns, was declared an area of "substantial unemployment" by the Department of Labor. The national recession accelerated the decline in Worcester's industry as shoe and leather factories continued to close down. In January of 1972, the Massachusetts Division of Employment Security (DES) forecast gradual recovery for the local economy in the light of an upswing in capital investment and the consequent construction boom.

The public assistance caseload in Worcester reached 12,129 in February of 1972. This figure included 3,378 households in the AFDC category and 197 in the AFDC incapacitated Father category. (The Worcester Community Service Center which serves the city and several towns occupies three floors of an older building in the downtown shopping area. The total staff size is 173.)

Since Massachusetts had not yet implemented complete separation of services, (particularly slow in Worcester) casework staff handles both eligibility determination and services. The division of labor among the staff is generally on the basis of categorical programs with seven AFDC supervisors and 38 AFDC workers. One of the more significant forces affecting the staff has been unionization. As a result of collective bargaining agreements,

union caseworkers carry a maximum caseload of 60 families. The workers and administrators alike generally seemed over-worked and pressed for time.

#### WIN Program

The WIN Program has been in operation in the Worcester area since October 1968. The WIN Teams in Massachusetts are organized to serve a number of communities, with the result that the Worcester WIN Team has 300 authorized slots for the city and 13 other towns; 223 clients were enrolled in WIN at the end of February 1972. Of these 56 were Unemployed Fathers who are deemed mandatory referrals to WIN as a condition of receiving public assistance.

As of the Spring of 1972, there was no significant specialization within the welfare office in regard to the administration of the WIN Program. Responsibility for WIN was handled on a diffuse basis in the AFDC unit with the exception of the responsibility for month-end statistics, which had been delegated to the principle Social Work Supervisor. Caseworkers integrate WIN related tasks with the rest of their duties. These tasks include assessment and referral of clients to WIN and the provision of supportive services after enrollment. Since separation of services has not occurred, the caseworker is responsible for recomputing the budget of the WIN enrollee and authorizing vendor payments for child care each month.

In addition to Unemployed Fathers, youth in AFDC families aged 16 and AFDC mothers whose youngest child is 15 constitute mandatory referrals. However, the workers indicated that mothers were treated as volunteers. Whether or not participation in WIN is insisted upon for AFDC mothers depends on the individual worker's viewpoint on the program and the perceived motivation of the client.

The AFDC caseworkers indicated that they had limited knowledge about the range of WIN training opportunities and of the activities of the WIN Team. They also had difficulty in determining how much of their time went to WIN related tasks. One reason that this calculation was difficult to make derives from the fact that the caseworkers do not distinguish WIN tasks from regular AFDC tasks. For example, follow-up on a child care problem of a WIN client is not distinguished from other AFDC client service duties. Another reason is that some workers make only a few referrals to WIN over the course of the year and may have only a few clients enrolled in the program.

#### Employment Service

The Division of Employment Security (DES) is located about five blocks from the welfare office. The WIN staff - three counselors, two job developers, and two employment aides - is organized into two WIN Teams.

The fact that WIN is a low priority program at the welfare office and that responsibility for it is handled on a diffuse basis appears to be a source of frustration for the WIN Team. The Team felt it had to carry the ball for the program. While no formal meetings take place between the two agencies, the Employment Aides of the WIN Team go to the welfare office on a regular basis to hand out forms regarding change of status of clients in the program and to discuss specific problems with workers. Examples of problematic coordination included the delays in processing payments for work related expenses and babysitting.

By mutual agreement referrals were also a problem for the program. This stems partly from Federal guidelines which do not relate referral priority to employability. The WIN Team felt that the welfare workers did not adequately screen referrals to WIN with the result that people generally unsuitable for training or work were referred to WIN.

During the first site visit in the Spring of 1972, it was found that the staff of the welfare office had little knowledge of the impending WIN II. In contrast, the WIN Team at the Division of Employment Security had already been involved in training sessions in Springfield with respect to Talmadge and were planning to make appropriate organizational changes, for example, dropping the team concept to have greater individual efficiency.

WIN II

The WIN Program in the Department of Public Welfare in Worcester, Massachusetts, has traditionally been a program of relatively low priority. The implementation of WIN II has done little to alter this situation and, perhaps, has served more to emphasize than to amend the lack of WIN imageability in the department.

Separation of services is scheduled to start in Worcester in January 1973 and be completed by June of that year. It was felt by some that complete WIN II implementation and/or priority might have to wait until separation of services is an accomplished fact. In addition, WIN Program priority has suffered in the department because Worcester has placed primary importance on state mandated financial redeterminations. Caseworkers are responsible for home visits every three months to determine the continued eligibility of clients.

A State Administrative letter regarding WIN II implementation was received in the Worcester office the first week in September, 1972. Workers were given little additional instruction regarding program components and no general staff meetings were held to discuss the mandated changes. WIN II implementation in Worcester has thus far been concerned with registration procedures. Appropriate new clients for assistance are being registered for WIN II and the existing caseloads are being reviewed for mandatory registrants. Social workers have been able to exercise individual discretion in the evaluation of their respective caseloads and in general, the registration of mandatory clients has been unsystematic and inconsistent.

Social workers were basically unaware of any substantive shifts in program emphasis or goals since the implementation of WIN II. The workers recognized that "the program has become more mandatory than before but were unfamiliar with the shift in program emphasis from training to employment.

### 1. Separate Administrative Unit

There is no Separate Administrative Unit in the Worcester Department of Public Welfare. WIN responsibilities are handled on a diverse basis throughout the office, and no attempt has been made to establish a separate unit for the administration of the WIN II Program thus far in the implementation procedure. The office does employ one person who is nominally in charge of compiling WIN Program statistics on a part-time arrangement. The worker, however, has been ill and is out of the office an average of one month out of three.

### 2. Eligibility and Registration

The Intake Unit in Worcester is responsible for registering all appropriate new applicants for assistance into the WIN II Program. The unit has not encountered any client refusals to participate in the program.

AFDC caseworkers have been responsible for registering mandatory clients on their existing caseloads. Workers have been going through their caseloads and evaluating clients for appropriateness for WIN registration. The worker then contacts the client, informs them of their mandatory status, explains the WIN Program to them, and obtains their signature on the registration form. There have been very few, if any, client refusals to participate in the program. "There have been some client fears, but no refusals." Caseworkers then send the completed registration form to the Division of Employment Security (DES) and a duplicate copy to the welfare worker in charge of WIN statistics. The Division of Employment Security returns the WIN Certification Form to the caseworker, but specific services are not checked off. The procedures and the basic logic behind the forms were never made clear to the workers. A great deal of confusion and misinformation exists regarding

the forms - both their purpose as well as their mechanics. One worker explained, "it's just by guess and by gosh what we're supposed to do."

The "thoroughness" with which the social workers are reviewing their caseloads and, subsequently, registering the mandatory AFDC cases for WIN II, is a matter of individual and, at times, supervisory discretion. One worker, for example, had registered the mandatory youths and unemployed fathers on AFDC, but had not registered the mandatory mothers because of a supervisory suggestion that workers wait until after scheduled State House hearings on the legislation. Registration of existing caseloads was, therefore, rather an arbitrary and, certainly, a discretionary exercise.

### 3. Appraisal and Call-Up

Worcester has not established a Joint Appraisal Team. The WIN Team at the Division of Employment Security is responsible for the Appraisal and Call-Up phase of the WIN II Program and handles it in the following manner. The team sends letters to all WIN registrants scheduling interviews for one of the bi-weekly interview sessions held at the WIN Team office. Counselors interview the clients and usually accept them for participation in WIN at this time. The employability plan may be developed at this interview or at a second session. The team worker discusses the type of work the client is suited for, the need for a vocational test, the presence of physical problems and other service needs.

If clients do not appear for their scheduled interview, the WIN Team sends them a second letter or contacts them by telephone or makes a home visit. Average turnouts for appraisal sessions have been somewhat less than ideal. The best turnout experienced by the WIN Team thus far has been 50 percent of those scheduled. It was felt that the clients do not understand the signi-

ficance of the appraisal interview; the mandatory nature of the program appears to be either insignificant or misunderstood. "No-shows" have been put back in the registrants' pool for follow-up in 90 days.

The WIN Team in Worcester does not use any sort of creaming approach in the determination of which registrants to call in for appraisal. All registrants for WIN II have been called in, with the initial emphasis on unemployed fathers. Clients are expected to participate in WIN unless there is some strong reason why participation would be unwise and/or impossible.

#### 4. Financial Procedures

Training and employment-related expenses are now being handled by the DES office. AFDC caseworkers are responsible for computing WIN client budgets and, subsequently, for making the appropriate changes in client assistance payments pending change in status. There had been no provision made for changes in financial reporting forms and increases in federal funding levels seemed virtually unknown.

#### 5. Welfare/Employment Office

The WIN unit at the Division of Employment Security has retained the team form of organization. Team members function independently in terms of their expertise; each staff member relates to the client in terms of his team role, for example, counselor, job developer, or employability developer.

The team members are aware of the shift in emphasis mandated by the WIN II Program and have been stressing more immediate employment than long-term training and counseling. The WIN Team has always been involved in the determination of supportive services for WIN enrollees and, as a result, has often dealt with the provision of services themselves. The role of the Welfare Department in the provision of supportive services for clients was

felt to be a secondary one. 'Welfare doesn't follow-up on a client unless I tell them to,' said one employment office worker.

The team is now responsible for the payment of training and employment related expenses as well as the payment of the cash incentive stipend. The WIN Team has not been very successful in their attempt to develop On-the-Job-Training components. As of October, only 2 or 3 slots had been realized. Several reasons were offered for this lack of response, including the reluctance of unions to accept OJT and the undesirable nature of job slots that do become available.

The level of cooperation and coordination between DES and the welfare office remained the same as it had been under WIN I. The WIN Program in Worcester is essentially a DES program. This fact is recognized by both welfare and the employment service. Communication between the two agencies is handled on an informal basis and no regularly scheduled meetings are held.

#### 6. Client Impact

The extent of client impact from implementation of WIN II was difficult to assess in Worcester. The full program was not in operation at the time of the second visit; it will take some time before clients are aware of and, therefore, able to react to the WIN II Program.

As mentioned previously, there have been very few refusals to register for WIN. Many clients, of course, are hardly enthusiastic about participation in the program, but few are hostile enough to resist registration. It is true, however, that many clients have not appeared for their scheduled appraisal interviews. Some staff felt that these "no-shows" at appraisal constitute "de-facto" refusals. It is difficult to know what percentage of those clients who do not show up for appointments is the result of misinformation and legitimate failure and what percentage is the result of

conscious or intended noncompliance.

It was felt by many workers that WIN II will have some unfortunate implications for the client. The emphasis on more immediate job placement was felt to be an unrealistic response to both welfare client problems as well as labor market conditions. Many clients are "scared to death" and others "just don't know how to help themselves." The mandatory aspect of the Amendments was also seriously questioned. The WIN Program, basically, was thought to be "a great idea in theory, but in practicality it won't work out."