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Training for social workers participating in political practice

Smith, Carole O., D.S.W.

City University of New York, 1991

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TRAINING FOR SOCIAL WORKERS
PARTICIPATING IN POLITICAL PRACTICE

by

Carole O. Smith

A dissertation submitted to the Graduate Faculty in
Social Welfare in partial fulfillment of the
requirements for the degree of Doctor of Social Welfare,
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1991

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This manuscript has been read and accepted for the Graduate Faculty in Social Welfare in satisfaction of the dissertation requirement for the degree of Doctor of Social Welfare.

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Abstract

TRAINING FOR SOCIAL WORKERS
PARTICIPATING IN POLITICAL PRACTICE

by

Carole O. Smith

Adviser: Dr. Irwin Epstein

This study was undertaken to determine whether social workers in NASW were vigorously participating in political activities; and if so, the extent and nature of this activity. The need for a training program to assist social workers to engage in legislative/political activity was assessed and two pilot training programs were designed, implemented, and tested.

A study of relevant research and a needs assessment survey supported the proposition that social workers' participation in legislative/political activity through NASW has increased in recent years, and pilot educational/training programs demonstrated the value of education and training for this form of political activity.

Components of the training program were implemented in 1988 at a legislative/political conference of the New York State Chapter of NASW and a seminar at the School of

Social Welfare, State University of New York at Albany from 1987 to 1988 on the public policy process and methods of intervention in this process.

A formative evaluation of both components of the educational/training program indicated that the goal of developing an educational/training program for helping social workers interested in political practice was achieved.

Assessment of the educational/training programs' impact on participants indicated that many planned to pursue their legislative/political interests, that the programs were helpful, and that they would like to learn more in this field.

The educational/training experience and evaluation findings suggest that schools of social work and/or NASW might profitably offer similar programs to social work students and professional social workers alike.

This project delineated the nature and extent of legislative/political participation of social workers and developed an educational/training program that helped the workers to learn about the political process and ways to effectively intervene in the process in an attempt to further the goals of the profession.

I want to thank the members of my project committee for their help and guidance. Dr. Irwin Epstein, as my Chairperson and advisor, provided support and inspiration in shaping this dissertation. Mimi Abronowitz offered editorial judgment and advice throughout my studies and, Fred Newdom was the guiding force throughout implementation of the pilot training programs and my introduction to political practice.

Without the interest and active participation of my social work colleagues in NASW and the School of Social Welfare at the State University of New York, this study could not have been undertaken. To those who participated in the study, discussing, responding to surveys, and making recommendations which directed my endeavors, I offer grateful appreciation.

As often happens, one of life's crises intervened in the course of the study, bringing pain, sorrow, joy and gratitude. I am grateful to all who continued to offer love and encouragement when I was pre-occupied.

And lastly, I am grateful to Thomas Jefferson for the words of wisdom that launched this entire endeavor; "I know of no safe depository of the ultimate power of the society but the people themselves, and if we think them not enlighten enough to exercise their control with a wholesome discretion, the remedy is not to take it from them, but to inform their discretion."

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1. Photograph taken following the enactment of Chapter 990 in New York State on 12/18/84. Left to right, Fred Newdom, former Executive Director of the New York State Chapter of NASW; Assemblywoman May Newburger, sponsor; Carole O. Smith, investigator; and Robert Stewart, National NASW.
2. The investigator with the New York State Capitol Building in the background.

CHAPTER 1

PROBLEM FORMULATION AND REVIEW OF RELATED LITERATURE

Introduction: The Problem

This study was undertaken to determine whether a training program for social workers would increase their participation in political practice. The study's impetus reflected the investigator's experience with social workers interested in politics and an awareness that a general lack of knowledge, skill, and expertise in the political process represented a barrier to more effective legislative/political participation.

Political participation is a legitimate form of social work practice which is most often directed by the National Association of Social Workers (NASW).¹ Accordingly, NASW has developed sophisticated legislative/political programs at the national level of organization, but training for social workers to participate in these programs is limited.²

NASW's interest in political activities increased dramatically during the 1970's in its organized legislative and political programs. These programmatic efforts reflect a change from previous attempts to enlist individual social workers in the organized activities of NASW on behalf of the profession.³ However, this investigator's many years of experience teaching and administering political and legislation programs led to a concern that social workers lacked knowledge, expertise, and skills in political social work activity.

Two training programs incorporated into the design of this project, were originally designed and implemented by the investigator (see Chapter 3 for details). From 1982 to 1988, as Director of Legislation and Political Action and as Professional Lobbyist for the New York State Chapter of the National Association of Social Workers, this investigator developed political action training programs for NASW members and social work students. In 1988 the investigator designed and taught a course at the School of Social Welfare, State University of New York at Albany entitled, "The Public Policy Process".

Unfortunately, recent experience in surveying the field indicates that such training remains inaccessible to

the majority of social workers.⁴ Thus, although there has been increased interest in the practice of politics for social workers and the need for training of social workers in this field, there is little actual training offered.⁵

Objectives of the Study

The objectives of this project include (1), a study to assess the nature and extent of legislative/political activities of the social work profession through the National Association of Social Workers (NASW) (2), a review of the literature to determine the need for special programs to train social workers in this new field of practice and (3), design and implementation of an innovative program to meet the needs determined. The target population of the needs assessment consisted of the fifty-two Chapters of the National Association of Social Workers (NASW) in the United States.

The second phase of the study, the pilot program design and implementation, describes and evaluates a set of innovative training programs in political participation for social workers who are or who wish to be more involved in legislative/political activities as part of their work. The model selected for the final training program incorporates components of two pilot programs: 1. a course entitled "The Public Policy Process" which was offered to students at the

School of Social Welfare at the State University of New York at Albany and, 2. a legislative conference sponsored by the New York State Chapter of NASW for members of the association and students. The model selected for the program is timely because of increased interest in political and legislative activities by both social workers and their professional association, NASW.⁶ Effects of the pilot programs were monitored and evaluated and the findings reported in Chapter 4.

The need for this study was determined by a literature review, exploration of relevant knowledge, and the investigator's experience in the field. A needs assessment survey was undertaken and provided detailed data about the existing need. The methodology and findings of the survey, which generated ideas for the program's design and development, are reported later in the dissertation.

Review of the Literature and Related Knowledge

The review of the social work literature focused on knowledge relevant to the study's purpose and primary objectives. The study's assumption that social workers' interest in political action has rapidly increased, but that they are ill-prepared for this new form of practice, focused the review on securing detailed knowledge about the development and extent of this participation over the past three

decades. The nature and extent of their political participation was also explored in the needs assessment and used in the formulation of the study design. (See Chapter 2 for report of the needs assessment.)

Research on the nature of social workers' political participation was reviewed because it seemed closely related to the study's exploration of the evolution of social workers' participation in politics.⁷

For the study's objective of designing a model training program to respond to the special needs of social workers participating in political practice, knowledge related to current NASW programs was also investigated.⁸ In the absence of a single theoretical base for the training program, the study explored the special interests and needs of social workers in relation to the political arena. To do this, the content of the 1990 annual NASW National Conference was analyzed as a further source of relevant knowledge and information. Thus, the areas of the literature reviewed as pertinent to the study's purpose are related to the development of participation of social workers in politics, the nature of this participation, the special needs and interests of social workers, and the current status of social work training in this field of practice.⁹

The Development of Social Workers' Participation In Politics

Social work practice in the political system can be traced back to the early stages of the profession's development.¹⁰ However, within the profession there was never a unanimous endorsement of political involvement.¹¹ Some social workers have been deeply committed to involvement in politics; others have not. Many have viewed the role of the professional social worker to be separate from that of the political world. For these social workers, politics was bad, social work was good; politics was partisan, social work was impartial. Indeed, the world of politics was viewed with suspicion.

In the early 1900's, followers of Mary Richmond believed social workers should be nonpartisan, objective, scientific, and act only as enablers.¹² Political activities were an anathema. On the other hand, devotees of such leaders as Jane Addams and Lillian Wald were avid social activists.¹³ Later on, in the 1930's Bertha Reynolds identified a close link between casework, social welfare, and social action.¹⁴ She encouraged social workers to be actively involved in the improvement of societal conditions through social action. Reynolds, a Socialist and an activist, argued that social workers are obliged to take partisan political stands and work for structural changes in the socioeconomic system.¹⁵

These two schools of thought prevailed side by side until the sixties when social workers' political involvement intensified. The confluence of three key factors in the 1960's led to increased ideological conflicts among social workers. First, the country was undergoing major social change; second, private practice was flourishing within the profession; and third, the newly established (1955) social workers' professional social work association, the National Association of Social Workers, was taking a leadership role in the profession's political activities.¹⁶

For example, in 1961, President Kennedy asked the country to extend "the hand of hope to the poor and the depressed" and three years later President Johnson "declared war on poverty".¹⁷ The direction by the political leaders in the country revived faith in purposeful social action in the United States, especially among social workers. The civil rights movement and exponential increases in the number of public assistance recipients made the nation aware of its oppressed and its poor, and it made the social work profession aware of its obligation to engage in political activism.

Moreover, social workers were moving out of the traditional agency setting and into private practice. Infatuation with Freud in the thirties had blossomed into a

romance with the community mental health movement and clinical practice.¹⁸ Clinical social workers were viewed by some as an elite group within the profession, and a conflict arose between clinical practitioners and community organizers. This conflict resonated throughout the profession and its newly formed professional organization. NASW officially recognized private practice as a legitimate area of social work practice in 1964, although requests to include private practice in the definition of social work date back to the twenties.¹⁹

Third, in 1955 the National Association of Social Workers was formed from seven constituent groups. It adopted a Code of Ethics in 1960 that supported the advancement of sound social policies and identified social workers' ethical responsibility to society. The Code was relevant to clinical forces and community action forces.²⁰ It had the effect of making political activity a professional expectation for all professional social workers and for the professional association.²¹ NASW members responded.

A SHIFT FROM INDIVIDUAL/AGENCY ACTIVISM TO NASW

Extent and Nature of Social Workers'

Political Participation Through NASW

In 1971, in an attempt to educate and mobilize clinical practitioners and community organizers in coopera-

tive political activities, NASW established the Education Legislative Action Network ("ELAN").²² Its charge was to establish an effective communication system among NASW members on all legislative matters. At the same time, Social Work, published the first article that linked political action and macro social work practice.²³

In 1975, Political Action and Candidate Election ("PACE"), the profession's political action committee, was established to complement the work of ELAN, and as the eighties approached, the early ambivalence which had surrounded social work participation in politics had been resolved, and the profession was firmly ensconced in the political/legislative process.²⁴

In 1982, Practical Politics, Social Work and Political Responsibility, was published. It contained a series of articles detailing the connection between social work and the political process and marked the coming of age of the profession's participation in the legislative/political process. Its editors referred to the revised Code of Ethics which was adopted in 1979 as affirmation of the social worker's ethical responsibility to be "politically aware and involved".²⁵ Political advocacy "to improve social conditions and to promote social justice" is an explicit expectation of this revised code. Major program

objectives adopted by the NASW Board of Directors in January of 1988 included "an increase in the effectiveness of NASW's legislative, regulatory and political activities at the federal and state levels..." 26

IMPACT OF SHIFT: Change in Approach and Focus of Participation of Social Workers in Politics

As NASW's commitment to legislative and political involvement grew, the focus of its advocacy activities came under scrutiny. For example, some authors described a bias in NASW's approach to political activities; they believed NASW had placed too great an emphasis on licensure and vendorship interests and that the profession should advocate more strongly for social reform.²⁷ It was feared that in gaining the status symbols of the old-line professions, social work would lose its commitment to oppressed populations.²⁸ Others believed the responsibility of a professional association rests primarily in the domain of protection of the interests of its members. Proponents of both positions cried for primacy.

Maryann Mahaffey, past president of NASW, wrote "within the profession there has been widespread and growing recognition that the self-interests of social workers and clients can best be served by effective political action".²⁹ A concern for professional interests does not

necessarily preclude a concern for society, but when resources are limited, choices must be made. With this in mind, this dissertation includes a determination of the legislative priorities within the organization's local units, or Chapters.

Special Political/Legislative Needs and Interests of Social Workers

The literature was synthesized in an attempt to define the current status of the different perspectives with which political/legislative needs activities are viewed within the profession. If there is disagreement with the direction of organized efforts of NASW, it is possible that either because of publication bias or author bias, this view would more likely appear in non-NASW publications. To identify such a bias, the investigator divided the literature into two sub-sets; those that appeared in the NASW Social Work and the NASW Practice Digest and those that were published in other professional journals.

Section 1 presents in chronological order a sample of the articles published from 1960 to the present. Section 2 covers the same period of time in other social work publications.

SECTION IySocial Work Journal (and Practice Digest)

In 1963, Alan Wade in a chronicle of one month's chapter activities documented the role of the Chicago Area chapter of NASW in resolving the public aid crisis in Illinois.³⁰ An attempt to reduce public aid expenditures was met with strong resistance by NASW and its volunteer leadership. Wade labeled the profession's reluctance to engage in political activities as "out-dated". He challenged the "social worker" view that politics is "dirty" and beneath the dignity of the profession.³¹ He cautioned against social workers separating the poor from their professional interests with private practice and regulation taking precedence over public concerns. But, he was careful not to deprecate the validity of "intramural matters" or to suggest that an interest in private practice was inimical to the concern of practitioners with social issues.³² He argued that the profession needed to set priorities that would enable it to respond to the major challenges of the time; to respond to the social and economic conditions under which (men) live. Wade concluded "if we ignore politics, it will continue to ignore us, and the chances are that our profession will lose its great potential as an instrument of a democratic society".³³

In another early article Daniel Thursz wrote of social action by social workers acting through their professional association.³⁴ Sounding very much like Wade, he concluded that social workers can become a powerful influence by helping poor people organize themselves for social action. He encouraged social workers to participate in politics, and he saw the thrust of these activities to be directed towards a full commitment to social action and social reform. He admonished the profession not to allow its "preoccupation" with status and the acquisition of various professional attributes" to serve as a hindrance.³⁵ Several years later Thursz published a revised version of his earlier paper in which he emphasized the need to develop political strategies and recommended that irrational forms of social action be replaced by careful planning efforts.³⁶

Wilbur J. Cohen, in his address at the NASW National Seminar on Social Action in 1966, justified the interest of NASW and its membership in social action and in the political process.³⁷ Cohen was a member of NASW and the Undersecretary of the U.S. Dept. of HEW.

In 1968 Irwin Epstein surveyed the members of the New York City chapter of NASW in an attempt to discover their attitudes toward social action strategies and social workers' perception of their effectiveness.³⁸ He found

that social workers considered themselves most effective when assuming "traditional" non-conflictual professional roles. Epstein discussed implications of these findings for the future participation of social workers in social action. He cited additional studies of NASW members which confirm these findings; that social workers tend to reject direct action strategies and regard consensus-based professional modes of participation as most effective for themselves, especially in areas in which they have vested interests. Further, that the greater the institutional involvement of social workers in a problem area, the more opposed they will be to direct action strategies. It appears the recommendations of Thurz were shared by the NASW members who participated in this survey; it also appears that changes in social action strategies were directly related to the changes that were taking place both within the profession and in the larger society.

In a 1968 paper presented at the NASW Eastern Regional Institute in Philadelphia George A. Brager, a member of the Editorial Board of Social Work, explored the implications of the role of the social worker as advocate when advocacy required political behavior.³⁹ He joined with previous observers of strategies to recommend that social workers develop political strategies to increase their effectiveness. He argued that in the social work context,

advocacy required political behavior. He opened the door to new vistas when he wrote, "as advocacy is accepted as an appropriate strategy, social workers become increasingly involved."⁴⁰

By the mid-seventies, Patti and Dear maintained that social workers can influence the development of social welfare policy by engaging in legislative advocacy and outlined specific tactics of effective advocacy.⁴¹ After surveying the social work literature from 1960 to 1975, they concluded that if the profession was to remain viable, more social workers would have to become active as legislative advocates. Although this article emphasized the "how to" aspects of functioning in the legislative arena, it presumed and reflected the level of acceptance of political activities within the profession and the need for education and training. In 1981 Dear and Patti offered evidence in support of specific tactics for influencing legislation.⁴² They recognized a lack of empirical evidence that systematically links political strategies and tactics with legislative outcomes and hoped to fill the gap.

Entry into the eighties found James Wolk studying the political participation of social workers in the NASW Michigan Chapter.⁴³ The 470 social workers randomly selected from the state's 2,350 members, were mailed two question-

naires with a follow-up letter as a reminder three weeks later.

Wolk's research found that social workers play an active, although not necessarily effective, role in the legislative arena. He recognized increased political activity by social workers and cited Wade as one most vehement in his belief that social workers must involve themselves in politics. He recognized the leadership role of NASW and wrote, "more recently, NASW has attempted to institutionalize the political responsiveness of the profession's members' through PACE and ELAN. The association has taken a more assertive posture in the political sphere."⁴⁴ He also found that the social workers in his study were more politically active than the average citizen. He qualified this finding since the extent and quality of the political activism of social workers had never been fully documented.

In correspondence with this investigator Dr. Wolk wrote, " as a representative from Missouri to the (NASW) Delegate Assembly, I visited my legislators on Capitol Hill. I was surprised to learn that my legislative aides were social workers. NASW did NOT know which Senators and Congress people had MSW staff". ⁴⁵

In his article, Wolk wrote that "the political rhetoric of social work has focused on one theme; it is the professional obligation of social workers to act politically in behalf of consumers and potential consumers".⁴⁶ But he cautioned that it should not be concluded that the profession is an influential force in the legislative arena. He believed that the profession plays only a minimal role in shaping policies and decisions.

In the same year, the editor of Social Work, Ann Minahan enjoined social workers to be active politically through participation in NASW activities.⁴⁷ She stressed social change activities more than professional issues activities; i.e., "social workers must continue to be as responsive as they can to vulnerable people; they must be active in politics".⁴⁸ The implication is that political activities should be directly related to social reform. No reference is made to NASW's interest in professional issues.

In 1985, NASW published a special issue on advocacy in its Practice Digest.⁴⁹ All articles focused on advocacy on behalf of the client. They discussed helping people help themselves and government's role in the resolution of social problems. According to Betty Sancier, the evidence in this issue confirmed the professional's commitment to advocacy.⁵⁰ But, she "sadly" added that the consciousness

of the profession, as a whole, seemed to be concentrated on privatization and "tending of the fires of neurosis while leaving others to storm the barricades of oppression."⁵¹ She reluctantly concluded that the political involvement of many social workers was primarily motivated by the desire to be accorded status, respect, and financial rewards commensurate with their training, knowledge, and skills.

In 1984 Ramon Salcido examined social work practice in political campaigns.⁵² He found that in twenty years, the profession had moved from a non-partisan, hands-off approach towards politics to legitimacy of all components of the legislative/political process, including partisan campaign activities. Salcido believed that failure to participate in political activities was tantamount to acceding to the drastic federal social welfare funding cuts of the time. He referred to Chauncey Alexander's rationale for political participation by asserting that political responsibility is a major component of social work professional practice.⁵³

Maria Roberts-Degennaro, writing of the need to build coalitions to increase effectiveness of political advocacy, referred to Patti and Dear's perspective that was cited earlier, and she observed that social workers should actively promote their interests and those of their clients

in the legislative arena.⁵⁴ There was no indication of perceived contradiction in the assertion.

In 1988 Leon Ginsberg drew on his own political experiences that ranged from holding appointed positions to teaching in political science to help practicing social workers better understand the political system.⁵⁵ He summarized the issues and forces social workers were likely to encounter in the realm of politics. Among the more significant were the role of finances in politics, crises as pervasive political phenomena, and the habituating nature of political participation. It is presumed that the need for academic preparation in politics was recognized by Ginsberg.

Elsewhere, in 1989, Cecelia Kleinkauf presented a educational framework for analysis, development and passage of legislation.⁵⁶ She argued social workers' political activity should be client-centered and the review of legislation should be value-based because of the potential for institutional racism and violations of self-determination inherent in any statutory change. General areas covered in her framework include: substantive issues, committee analysis, fiscal analysis, political analysis of the likelihood of passage, and support and opposition for the bill.

In recognition of the need for education and training in this field of practice, the January 1991 edition of NASW NEWS highlights increased political activities throughout the United States and identifies two NASW scholarships to promote more explicitly forms of political practice which will be awarded to students engaged in political social work field practicums.⁵⁷

SECTION II

Other Social Work Sources

William H. Robinson, a social worker and politician (Illinois State Assembly), described participation in the legislative process, in an account of his political activities in Chicago.⁵⁸ In this article, he affirmed that political activities are an extension of a concern to help people to help themselves, and he identified the responsibility of "social welfare practitioners in the creation of a favorable climate for healthy social welfare progress".

In 1966 Robert H. MacRae disagreed with the "fashionable assertion" that social work was incapable of significant social action.⁵⁹ He criticized three groups of social workers; turn-of-the-century social actionists who contend theirs was the golden age of social work; social

workers who deplore disturbances that will damage the image of sweetness and light; and the militants who regard social work as captive of the "establishment".⁶⁰ In MacRae's view social action has many moods and degrees. A carefully reasoned analysis that illuminates a social problem without passion is a legitimate form of social action. He stated that "overt civil disobedience" to protest unjust laws is only one possibility in a range of strategies, and that this view is not always immediately apparent to those social workers "who delight in dramatic confrontation".⁶¹ MacRae did not have a high regard for the profession's social activists at the time.⁶²

On the other hand, in 1970, Mary J. McCormick confirmed social advocacy as a dimension of social work.⁶³ She wrote, "commitment to advocacy is an objective of social work".⁶⁴ In a review of the literature, she traced the evolution of political-social activities of social workers from the reform of the pioneers at the turn of the century to advocacy of the present. She cited Thursz's belief that social action is the business of social work, and that advocacy is an instrument of social action. She identified the potential conflict that exists between political action aimed at social issues and political action directed at professional concerns and cautioned against the profession's preoccupation with status.⁶⁵

In the same year Irwin Epstein reported on a test of the popular proposition that organizational-professional rank is inversely associated with social worker radicalism.⁶⁶ In that study, endorsed by the NASW Commission on Social Policy and Social Action, he found that professionalization is a force for political neutralization in society. The findings, based on a survey of 899 professional social workers, indicated partial support for the hypothesis that organizational-professional rank is inversely associated with social worker radicalism. Traditionally, social workers have viewed professionalization as a conservatizing force, and Epstein's study of professional social workers in the New York City Chapter of NASW revealed the general conservative consequences of higher organizational rank. He wrote that, "how professional social workers accommodate to the role strains resulting from organizational constraints and peer-group pressure will determine the social-action posture of the profession".⁶⁷ This finding would imply that the direction NASW has taken towards professional credentialing is directly related to increased conservative social activities of social workers.

In 1979, John T. Gandy and Frank B. Raymond reported on their study of strategies used in the pursuit of legal regulation of social work which they identified as a major activity of NASW.⁶⁸ They also described the

profession's commitment to licensure. According to Gandy and Raymond, in 1969 NASW decided to pursue regulation in the form of licensing among all states. The authors discussed the strategies used by NASW state chapters in seeking legal regulation and writes of the "poor success of the chapters in achieving regulation".⁶⁹ There is no indication of the meaning of "poor success". But further study is needed to compare NASW's success rate at that time (1979) to its present record of achievement to determine the effectiveness of legislative/political activities of the profession. In the same year Timothy Lause, editor of the Journal of Sociology and Social Welfare, reported on the increased involvement of NASW state chapters in the pursuit of legislative priorities.⁷⁰ In an exploratory survey of 50 NASW chapters during the 1974-1977 period, he found that social problem concerns accounted for only a minor share of the chapters' legislative priorities. Lause was concerned that preoccupation with the institutionalization of professional status did not appear to be a merely transitional NASW concern associated only with the attainment of licensed status.⁷¹

During this three year period legislative activity nearly doubled. This finding supported increased political participation of social workers in NASW and suggested that the profession of social work had the organizational capac-

ity and experience to pursue a range of professionally preferred policies for the American political system. But he questioned the priorities of the Chapters. He wrote, "according to the NASW, the fields of poverty, income maintenance, racism, social services, health, criminal justice, manpower and women in social welfare represent the priority concerns of the professions' political action activity during this decade (1970s).⁷² However, his findings revealed that the pursuit of legislative priorities which advanced the political and economic interests of members and those directed toward professional practice standards increasingly overshadowed social welfare concerns. State chapter legislative activity was characterized by a concentration on issues which were directly related to the concerns of professional status. The combination of social work licensure and third-party payment advocacy activities accounted for 57% of the first priorities in 1974, 67% in 1975.⁷³ While acknowledging that licensure and third-party payment may be related to service quality and consumer freedom of choice, he believed this to be a tenuous relationship.⁷⁴

An argument could be made that while the most direct and primary consequence of licensure and vendorship is an improved political economy for the profession, the profession's commitment to the reduction of gross inequali-

ties of life for all includes the legitimate claim to professional status for social workers. Further exploration would be helpful in determining the level of interest of members to an expanded legislative agenda since the survey of 34 of 43 NASW Chapter presidents identified member apathy as a primary factor limiting participation in issues not directly related to the member's pocketbook.⁷⁵

Lause believed social work's ability to contribute to the development of a more just and humanistic society was inhibited by a state-level preoccupation with status problems and dwarfed by the pursuit of social work licensure and vendorship and that NASW legislative agendas have only a minimal focus on social problem concerns.⁷⁶ He added that available evidence, moreover, does not suggest that the legislative focus of state Chapters becomes more social problem focused following the attainment of legal regulation of social work. Based upon the experience of the investigator, Lause's argument would be strengthened if he had surveyed national NASW priorities as well as state priorities because licensure and vendorship efforts issues are primarily state issues while social reform concerns are primarily national issues.⁷⁷

Writing about social work advocacy, Michael Sosin noted the increased involvement of social workers in "draft-

ing social legislation, lobbying for its adoption, and providing information to individuals in the lawmaking process". He proposed a "new" legislative advocacy role of social workers and acknowledged that although the identification of the role was new, social workers had been engaged in legislative advocacy long before the role was suggested.⁷⁸ He suggested that social workers' expertise in substantive areas of social concern could be combined with skills in the legislative process in order to help bring about needed social reform.

In 1980 Joyce Littell Smith surveyed factors influencing legislators' voting records on social work related legislation.⁷⁹ Again, there was an assumption that social workers are participating in the legislative process and that these activities were related to social and professional concerns. Smith's study analyzed several influences on voting patterns on key legislation selected by NASW (the bills and amendments selected were all related to social problems).⁸⁰ The population surveyed was the 99th Congress of the US Senate (100 members). The results indicated that most of the respondents were aware that social workers function in a broad range of roles and practice settings and that the majority of respondents recognized that social workers were qualified to formulate and implement social policy.⁸¹

In 1982 Gary Mathews reported on his research on political influence.⁸² His survey of Congressional legislators from southwestern Michigan suggested that although social workers were politically active in 1982, they were not politically influential.⁸³ The findings indicate that legislators do not have an accurate image of social workers and rate them as having little political influence. Respondents indicated two contributing factors of influence; visibility and expertise. Mathews concludes by emphasizing the importance of social workers' support and participation in the activities of NASW. He wrote, "It may not be influential, but it is the only aggregate voice the profession possesses."⁸⁴ From this report, it is clear that exploration of ways to increase influence is gravely needed. According to Mathews, "the social work profession has nothing to lose and much to gain through political involvement".⁸⁵

A year later, in 1983, Mathews described social work PACs and the purpose, history, and action strategies of socialwork professional associations.⁸⁶ He noted that "social work as a profession had only recently become politically active" through the proliferation of political action committees.⁸⁷ Mathews traced the development and operation of PACs and their relation to the state chapters of NASW. He questioned whether social work PACs (PACE) are destined to be self-serving mechanisms for more exclusive licensing

legislation and, whether the profession's newly acquired political clout is being used to benefit the profession or its clients. Regardless of the choices made, he was encouraged that social workers were at least entering the "ball park" and familiarizing themselves with the basic rules of the "political game".⁸⁸ Social workers were undeniably becoming more aware of political power and the steps necessary to obtain it. Social workers were learning the meaning of power and need to learn ways to use this power.

In 1983, Raymond Albert described the role of social work advocacy in the regulatory process.⁸⁹ According to Albert, social work advocacy could be directed to the regulatory process with techniques appropriate to the profession's historic role.- Social work's role as mediator between clients and their environment shaped its commitment to understanding and intervening in governmental processes. Albert believed social work's advocacy role is especially compelling against a background of contracting resources for social service delivery.⁹⁰

In a survey of social workers completed in 1984, Reeser and Epstein found that changes have occurred since the 1960's; i.e., a movement toward active involvement in institutionalized and socially accepted forms of political behavior.⁹¹ Much of this type of behavior is directed by

NASW. In 1986 Michael Reisch mourned the impermanent loss of the social work's profession's historical tradition of advocacy for human need in its professional evolution in the United States and welcomed the recent resurgence of advocacy.⁹² Reisch traced the historical role of social workers in advocacy. He also investigated contemporary social work advocacy activities in 150 organizations in the greater Baltimore metropolitan area. He found a resurgence in the awareness of social workers that they cannot resolve the problems of individuals if they fail to take into account the impact of larger social and political forces.⁹³ He reported advocacy efforts have increased substantially for political and professional reasons and that advocacy is a complementary process by which the living conditions of the poor and the working conditions of social workers can be simultaneously improved.⁹⁴

That same year Linda Cherrey Reeser, in her dissertation, questioned the relationship between professionalization and social activism.⁹⁵ A quantitative descriptive design was used and a survey was mailed to a sample of 1,333 members of NASW. This number represented a systematic sample generated from the 1984 NASW membership list (approximately 90,000 members). One purpose of the study was to test the proposition that social work professionalization results in a lack of commitment to

social activism. Cherrey-Reeser found that professionalization is not a reliable inverse predictor of social activism. In addition, this study provided information about the assumptions social work makes in relation to professionalization and social activism.⁹⁶

Writing at the same time, Leslie Leighninger highlighted the differing historical impact of Bertha Reynolds, a social worker with a radical orientation toward politics, and Edith Abbott whose orientation toward the profession was focused on intellectual interests in history, economics, and social policy.⁹⁷

One year later in Israel, Ben-Zion Cohen described his 1987 study replicating James Wolk's 1981 research in the political activism of social workers in the United States.⁹⁸ A questionnaire was administered to 201 social workers employed at 19 agencies in metropolitan Haifa and to a comparable sample of 201 other professionals. A comparison of social workers with other middle range professionals indicated similar levels of political activity.

Back in this country, Grafton H. Hull, Jr. wrote of the "professional obligation of the social worker".⁹⁹ His 1987 article reviewed current research on social workers' involvement in politics, considered the preparation

that students receive in this area, and described the participation of social work students in a political campaign. Drawing upon the experiences of this campaign, Hull concluded that students benefit from direct involvement in a campaign.¹⁰⁰ Their willingness to work in other campaigns was enhanced, as was their interest in political events. In addition, student voting patterns seem to be positively affected. Local politics appear to prepare social work students interested in learning more about the political process. Hull recommends educators develop courses or practicums that will assist future social work professionals develop the political skills needed to become effective change agents.

Finally, in 1990 Linda Cherrey Reeser and Irwin Epstein collaborated to write Professionalization and Activism in Social Work; the 60's, the 80's, and the Future. In it, they explore the degree of activism and the role of professionalism in the sixties and in the eighties. Cherrey Reeser and Epstein found that the commonly held beliefs that social workers in the past were more activist, that professional status has been achieved, and finally that professionalization is a conservatizing force are all elements of a liberalpolitical mythology.¹⁰¹ They contend that social work activism in the eighties did not decline, but became more institutionalized. These findings have been

supported by the investigator in her experience with the legislative/political activities of NASW.

Implications for the Study

This literature review reveals support for the assumption that although remnants of social workers' aversion, alienation, ambivalence, and avoidance persist, the profession has made substantial gains in the integration of institutionalized forms of political activity into its practice. Within the profession there has been widespread and growing recognition that the interests of social workers and clients can be served by effective political action.¹⁰² In the not too distant past, resistance to social work activities was widespread.¹⁰³ This resistance was challenged and has receded.¹⁰⁴ The research of social workers, political scientists, and others in the field documented social work political practice. Literary references and statements of politicians support the conclusions of social workers and others who are actively involved in the political system that social workers are participating in some form of political activity, and that additional knowledge and expertise in these activities is needed. More recent researchers recommended training and education, supporting this project.

Support for the assumption that an assessment and documentation of the nature and extent of this political

legislative activity in local chapters of NASW was needed and would break new ground was derived from the discovery of a lack of systematic study of the individual chapters of NASW. While previous research has focused on NASW as a uniform entity, this investigator's experience revealed variations in chapters' legislative/political programs that indicated needed exploration.

Those forces in the National Association of Social Workers (NASW) which have organized the profession's political activities were mobilized in the seventies and have continued to expand at the national and state levels of the association.¹⁰⁵ However, the assumption that NASW's increased emphasis on licensure and vendorship is a concern was also confirmed.¹⁰⁶

A comparison of the two sub-sets of literature reviewed revealed no evidence of the bias that was anticipated by the investigator. Both categories contain articles which recognize a trend towards greater social work political participation.

The consideration that NASW leadership and the majority of members of NASW may not agree on legislative priorities raised additional questions for further study and was addressed in the evaluation of the pilot project under-

taken as reported in chapter 4 and in the needs assessment survey reported in chapter 2. Most writers recognized the dual thrust of social work political activities; that an "either or" perspective is not productive. Yet the persistence of concern implies the necessity of choice. Scarce professional resources necessitate choice. The choices deserve clarification. This concern was addressed in the following needs assessment.

Ideally, social workers can be vigilant in the protection of their professional status while advocating for social reform. In 1982 Chauncey Alexander, Executive Director of NASW, recognized political activity to be an obligation of NASW and increased recognition of political responsibility to be a component of the professional social worker's function. He also wrote that NASW represents the will of the majority of members in areas of political activities.¹⁰⁷ Other social workers join with Alexander in refuting the notion that there is a conflict between professionalization and social activism.¹⁰⁸ When past presidents of the NASW were interviewed about the most significant accomplishment of the organization, they all mentioned establishing a professional identity and effective involvement in social action.¹⁰⁹ They did not think that establishment of a professional identity and commitment to social action are necessarily conflictual goals. The experience of

this investigator confirms this finding. Yet this review reveals that there remains a degree of concern with the position taken by the members of NASW (individual social workers) and the leadership of NASW in the desired extent and nature of political activity.

Nonetheless, this review of the relevant literature did reveal a coherent pattern of increased social work political participation over the past 27 years, a finding that is consistent with the experiences of this investigator. Political activities of social workers have rapidly expanded, and this expansion has focused on licensure and vendorship efforts. In 1991, for example, 24 states plus Washington, D.C. have provisions for vendorship, and most of these require some form of licensure/certification. These efforts, however, have not excluded an interest in societal concerns. But since several writers in the field suspected an inversion of goals in the profession; i.e., placing a concern for the profession before a concern for the client, this possibility was explored in the needs assessment in this study.¹¹⁰ There was a need to look at the priorities of the state chapters in NASW to determine if they met the interests and needs of the individual members and to see if the political activities of the association reflected the needs of the members.

The review revealed several additional questions that have emerged in the field of political practice and are indicative of the progress made in the field. They include an interest in advocacy techniques and strategies, effectiveness and degree of participation in political activity, and an interest in the preparation that social workers have in this field.¹¹¹ These questions indicated the importance for the study of identifying the nature and extent of political participation and lent support to the assumption that current preparation for political action for social workers is inadequate. The need was made clear for a program which would prepare social workers for participation in politics.

Thus, the first phase of the study was the exploration of the nature and extent of political participation of social workers in NASW, chapter by chapter.

The second phase of the study, to develop a model program which would support social workers' political involvement, enhance their effectiveness, and include evaluation of the program's effects, became more clearly defined as existing research was reviewed. Thus, recent research and related NASW activities suggest the need for the establishment of such programs in an effort to increase the quality and quantity of social workers' political activity.

Theoretical explorations of the nature of political participation, resting on the basic assumption of the interrelatedness of knowledge and behavioral responses, helped to formulate the study's plan for program development.¹¹²

Some apparent gaps in knowledge about political practice suggested the need for a pilot study to identify elements of teaching and learning essential to the enhancement of increased political participation and which might provide a basis for future curricula. Recognition of the potential to reach a greater number of social workers and the influence of NASW in this field led to a decision to develop a model of training to be presented in the workshop, seminar, or conference setting.

Moreover, findings concerning social workers' needs, beliefs, and values about politics are important aspects of the study. An analysis of current NASW programs in the field presented at the 1990 annual NASW national conference revealed that approximately one per cent of the workshops presented information about political interests. These workshops included identification of the need for social workers to be active lobbyists, the role of local politics, the meeting ground of the clinical social worker

and politics, the need for budget advocacy, and the role of the social welfare agency as advocate.¹¹³

Further exploration is suggested to identify; (1) specific directions new initiatives should take, and (2) techniques and strategies which would increase social workers' effectiveness and participation in politics. The profession can turn its attention to the fine-tuning of its involvement in the political/legislative process to reach a level of expertise which matches that in its more mature fields of practice. The assumption was also confirmed that when social workers, like most citizens, possess knowledge of the subject area, they are more likely to participate.

The literature posed questions for this study about the extent to which knowledge and training increase political participation, the future role of NASW, and the extent and nature of the political activities of social workers in NASW. Exploration of these questions indicated the importance of identifying trends and lent support to the assumption that increased knowledge, skill, and expertise is needed to increase participation. The need was made clear that a program that would help social workers learn more about the political and legislative systems and ways to intervene in these systems would be helpful to the profession and to the clients it serves.

The methodology and findings of the needs assessment survey, which generated ideas for the program's design and development, are incorporated in Chapter 2 which describes the design of this study. Chapter 3 describes the training programs' development and implementation. Evaluation of the training project is reported in Chapter 4 and Chapter 5 provides a summary and consideration of the study's implications for practice and further research. The curriculum package for the training program concludes this dissertation.

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CHAPTER 2

METHODOLOGY:

NEEDS ASSESSMENT AND PILOT PROGRAM DESIGN

Introduction

This chapter explains the objectives of the research employed in the project and the selection of a research design. It describes the research methodology employed. A needs assessment survey is described and its findings are reported. The implications of the findings for the design of two pilot training programs are discussed.

Purpose of the Research

This descriptive/exploratory study was undertaken to provide in-depth information about an area of social work practice in which published work is scarce. A literature review revealed the need for social work education/ training in this newly established field of practice which has been confirmed by the professional experience of the investigator.¹

Nonetheless, the literature also revealed general support for social worker political/legislative activities through NASW. There is, however, a level of concern within the social work profession that NASW in its quest for professional status is diverting the profession from its historic mission of

advocacy for the disadvantaged or social problem concerns. While many laud the increased political participation of NASW, the legislative priorities it has identified have come under critical scrutiny.

Accordingly, as reported in Chapter 1, Timothy Lause surveyed the 50 chapters of NASW extant during the period from 1974-1977 and reported that most (43 of 46) chapters were actively pursuing legislative goals.² He also found that 81% involved licensure or vendorship efforts and only a minimal focus was placed on social problems.³

The current study flows from Lause's provocative findings and represents an attempt to explore the possibility of a "script violation" in the profession.⁴ It provides a look at the priorities of the state chapters of NASW to see if the political activities of the association reflect such a violation of the historic mission of social work.

In an initial attempt to determine the extent and character of NASW legislative/political activities throughout the country, contact with the National office of NASW revealed there was little reliable data available for study of Chapter's political activities.⁵ In the future, it is hoped the NASW affiliated National Center for Social Policy and Practice will serve as a

resource in the study of legislative/political activities of social workers.

Correspondence with Dr. James L. Wolk revealed that he too contacted NASW with an interest in a national study on political activity, and/or other salient political involvements of social workers, but was unable to elicit a positive response for funding of such research.⁶

Traditional concerns of the profession of social work are for its clients and for a just society. However, it has been charged that while the primary responsibility of the profession lies with addressing the needs of society, the primary goals of the political activities of the profession have been self-serving. There is a concern that efforts to become more professionalized have decreased social work's commitment to social reform. It is feared that in gaining the status symbols of the old-line professions, social work has lost its commitment to oppressed populations.⁷

The Needs Assessment

In view of these fears, a survey was conducted in 1988 to obtain specific information about the nature and extent of political activities in NASW chapters over a ten year period. The survey sought to identify first, the nature of the legislative priorities (goals can be inferred from priorities) of the indi-

vidual chapters in NASW to determine if there has been a rejection of social reform by the profession; and if the political activities of social workers are focused on professional status to the exclusion of activities directed to the profession's societal concerns. An assumption which underlies this study is that the mission of professional social work is concern for the clients it serves and for a just society. Specifically, the author proposes that social workers' increased participation in political and legislative activities should be directed to addressing the concerns of the clients it serves (a normative construct), rather than primarily to itself.

In the 60's Epstein first used indices suitable for measuring social activism in a national survey of social workers. In his scale of activist goals, he identified therapist, traditionalist, reformist, and radical orientations.⁸ Epstein used two items to identify these goal dimensions; one item asked for preference of individual adaptation versus societal change and the other asked for a choice between social work "devotion" to the problems of the poor or to all social class groupings.⁹ These concerns reflected the conflicts prevalent within the profession at that time. In later work Cherrey Reeser and Epstein found that social workers in the eighties were as politically active as were those in the sixties, and that social work values had not changed in the two decades, but political efforts were revealed to be more conservative in the eighties.¹⁰ The re-

search question asked in this study goes further in that it addresses the possible departure of the profession from a primary priority given to client needs as opposed to concern for the profession in its increased political activities.

NASW's legislative priorities represent clear indicators of the degree of emphasis afforded political activities. Status enhancement activities and social development activities are generally categorized by Chapters under "professional issues" and "social service issues" categories.¹¹ This categorization of priorities allowed for testing of the proposition that status enhancement (professional issues) dominates the scene.

A second objective was to determine the level of participation in legislative and political activities of each chapter through the allocation of resources; budgetary and staff allocations. Analysis of individual chapters revealed variations between local programs and the significance of these differences.

Political science literature has defined political participation as activities by private citizens that are more or less directly aimed at influencing the selection of governmental personnel and/or the actions.¹² This definition was viewed by the investigator as too vague and inadequate for the task. Accordingly, in this study political participation was operation-

ally defined as: those activities through ELAN and PACE that are directly aimed at influencing the selection of governmental personnel and/or the actions they take. The national NASW political activities were not included in the study since they may not be true indicators of action" in the field" as revealed in the literature review.

A third research objective was to explore chapter growth patterns of legislative and political programs (ELAN and PACE). A longitudinal look at increases and/or decreases would illuminate trends in the profession.

A fourth objective of this study was to determine if there was a relationship between chapter size and political participation. This hypothesis was based on the assumption that the larger the chapter, the more resources are available for political activities.

Once the extent and nature of the political/legislative participation of social workers in individual NASW chapters was established, and dramatic development over the past ten years was confirmed, the design of the model training program was developed in this study. This design drew upon data regarding problems, needs and potential solutions identified by participants of the two pilot programs which were developed and implemented by this investigator.

The Survey Instrument

The survey made use of a detailed questionnaire administered to a "purposive" sample of 52 informants.¹³ This was considered to be the most effective way to generate information about issues on which little systemic work had been done.¹⁴ Both the investigator's experience in the legislative/political field and the review of related literature were used to formulate areas of inquiry in relation to social workers' task activities in NASW chapters in the United States.

The instrument employed was a self-administered questionnaire designed to collect data relating to the extent and nature of political/legislative activities of NASW chapters, resources expended, and the size of the chapter. As no suitable standardized instrument was found, an original questionnaire was constructed specifically for the study's purpose. The questionnaire used in this study was the instrument of choice because of the broad geographical distances covered and financial considerations. (See Appendix 1) The following issues were explored:

1. The extent of increase in chapters' legislative/political activities over a ten year period
2. The extent of chapter political activities as measured by allocation of resources; size of chapter.

3. The nature of the political initiatives of chapters.

Survey respondents were provided with a clear set of instructions and the purpose of the survey was briefly described. Since the intention was to collect as much relevant data as possible, efforts were made to assure a high return rate. Questions were both closed and open-ended, depending on the information sought. For objective questions, such as size of chapter and existence of PACE and ELAN, closed questions were used. For exploration of areas with limited previous information, such as nature of legislative priorities, open-ended questions were constructed.

A pilot test was conducted in order to refine the instrument. The respondents were identical as possible to the total population and were briefed about the study. They were asked to complete the questionnaire and comment on it. The instrument was modified to incorporate suggestions from respondents. All respondents were chapter Executive Directors; all directly responsible for the political/legislative activities in their chapters.

Administration of the Survey Instrument

The revised questionnaire was administered to the fifty- two chapters of NASW in the United States; small (12), medium (22), and large chapters (18) as established by NASW and

standardized throughout the country. In this way, the small, medium, and large chapters could be compared. This design is similar to those frequently used in political science research studies.¹⁵ Non-respondents were Alaska; Arkansas; Kentucky; New Jersey; New Mexico; Maine; New Hampshire; Texas; Metro Washington, D.C. and Wisconsin.

Individual chapters, rather than the national office of NASW, were reviewed because, first, a major thrust of political activity in the United States in both areas under study is at the state level. Professional issues focusing on licensure and vendorship take place predominantly, but not exclusively, at the state level and, because of Federal budget cuts in social service programs, states have had to fill the gaps in the delivery of services.

Second, if the National NASW was chosen as a unit of analysis, any attempts to draw inferences about individual chapters could lead to a false assumption and to a subsequent misleading assessment of the attributes of the chapter.

Finally, this unit of analysis was used by Timothy Lause in his survey and comparisons in results would add an additional value to this study.¹⁶

The self-administered questionnaire was sent to Executive Directors of each chapter, and respondents were asked for their names. Error may have been introduced because of a poor sampling of items or situational factors such as variations in people completing the questionnaire, guessing, "Fudging," or any random influence. All such sources of error were handled by a model which is based on the random sampling of items, the domain-sampling model.¹⁷ The essential sources of reliability were derived from the selection of items as representative of legislative and political activities in the NASW chapters out of the whole domain of such activities. They are used by NASW, and, therefore, were well understood by all respondents. One mailing was sent to the 52 chapters of the NASW in the United States.¹⁸ This first mailing consisted of a cover letter, a questionnaire and a self-addressed envelope.¹⁹ (See Appendix 1)

A second mailing was also sent first class with a follow-up cover letter, the same questionnaire and a self-addressed envelope to non-respondents from the first mailing.²⁰ (See appendix 1) This survey followed most of the criteria laid down by Robin and Bailey.²¹

The return rate following the first mailing was 60 percent (31 out of 52). Following the second mailing, 11 additional responses were received.²² The total return rate was 81 percent (42 out of 52). Thus, the sample represented 81 percent

of the chapters under study. Babbie supports it as adequate for conducting an analysis.²³

Of the 42 respondents, 13 questionnaires were received from large chapters (over 2000 members), 18 were received from mid-sized chapters (500-2000 members) and 11 were received from small chapters (under 500 members). The sample was representative of the distribution of the three categories in NASW; and, thus, of the membership of NASW. Non respondents were evenly distributed across three categories.

Chapters were grouped by size following the categories of small, medium and large established by NASW. Each chapter was asked to describe the nature and extent of its political and legislative activity. In this way, the small, medium, and large chapters were observed and compared. Subsequent data analysis was modified by stratifying by chapter size to obtain a greater degree of representativeness.

There were two limitations to this design. One, a strong relationship between the variables did not necessarily mean that one caused the other. Two, the differences between chapters' successes may have been due to factors other than the independent variable under consideration. The amount of the relationship left unexplained was also a finding, and other variables of influence such as can be speculated upon.

Quasi-experimental component of study

Measurements of the independent and dependent variables were taken at the same point in time.²⁴ The measurements of the independent variable, size of chapter and resources expended, were used to construct quasi-experimental and quasi-control groups that have naturally occurred, and the measurements of the dependent variable, political effectiveness as measured by achievement of vendorship and licensure, were used to assess the differences between the groups. The chapters were divided by size following the categories established by NASW. Each chapter was asked for total resources expended and percentage of resources expended. In this way the small, medium, and large chapters could again be compared. The success of political activities was then measured and contrasted to assess the impact of resources and size.

The level of political activity in chapters could be manifested in many ways, but the variables selected appeared to be the most appropriate for purposes of this study from the domain of "observables" since they are the terms used by NASW and mean the same to all members.

Findings

In describing the findings, tables illustrating aspects of the total sample are presented and discussed. The

respondents' replies are summarized and critical elements identified.

Table 1
 Array: NASW Chapters and Category (by size)*

Chapter	Chapter Size
Alabama	M
Arizona	M
California	L
Colorado	M
Connecticut	L
Delaware	S
Florida	L
Georgia	M
Hawaii	M
Idaho	S
Illinois	L
Indiana	L
Iowa	M
Kansas	M
Louisiana	M
Maryland	L
Massachusetts	L
Michigan	L
Minnesota	M
Missouri	M
Mississippi	S
Montana	S
Nebraska	S
Nevada	S
New York City	L
New York State	L
North Carolina	M
North Dakota	S
Ohio	L
Oklahoma	M
Oregon	M
Pennsylvania	L
Rhode Island	M
South Carolina	M
South Dakota	S
Tennessee	M
Utah	M
Vermont	S
Virginia	L
Washington State	M
West Virginia	S
Wyoming	S

* Small, Medium and Large Chapters represent 4%, 24%, and 72% of the total membership of NASW respectively.
 Small = below 500, Medium = 501 - 2000, and Large = over 2000.

List of Chapters

Table 1 lists the respondent NASW chapters and categorizes them by size. Of the 42 respondent chapters, 13 - or 31% - were large (over 2000 members), 18 - or 43% - were mid-sized (500- 2000 members - and 11 or 25% were small (under 500 members). Ten chapters did not respond to the questionnaire. Non-respondents were evenly distributed across categories; four small chapters, 4 mid-sized chapters, and 3 large chapters did not respond. As demonstrated in the table, it is evident that the sample was representative of the distribution of categories by size in NASW.

Table 1.2

Array: Respondent NASW Chapters and Category (by Size)

Size of Chapter by Legislative Program

Size of Chapter	Yes	No	Totals
Small	5	6	11
Medium	11	6	17
Large	12	1	13
			41

+ One missing observation

Extent or Level of Legislative Participation

Table 1.2 identifies respondent chapters, chapter size, and existence of legislative activities. Of the eleven responding small chapters, five reported legislative activities; six did not. Among the responding medium sized chapters, there was one missing observation. Of the seventeen medium sized chapters that replied to this question, eleven were legislatively active; six; were not. And, of the thirteen responding large chapters, twelve were participating in legislative activities; one was not. Thus, 45 percent of small chapters, 65 percent of medium chapters, and

92 percent of large chapters were involved in legislative activities.

These results show that chapter size is directly related to participation in legislative activities; that the larger the chapter, the greater likelihood of involvement.

Table 2

Licensure by Chapter Size.

(Measure of effectiveness; goal of licensure achieved.)

	Small	Medium	Large
Licensure			
Yes	5 (91%)	11 (83%)	12 (85%)
No	6 (9%)	7 (17%)	1 (15%)
Totals	11 (100%)	18 (100%)	13 (100%)

Table 2 identifies the number of chapters that have obtained licensure by chapter size. Five small, eleven medium, and twelve large chapters have achieved licensure; while six small, six medium, and one large chapter have not. Thus, 91 percent of the small chapters, 83 percent of medium size chapters, and 85 percent of large chapters had achieved the goal of licensure.

As demonstrated, there was little difference between different sized chapters in the obtainment of licensure. Howev-

er, the largest percentage of chapters with licensure was found in the small chapter category. This cannot be interpreted easily since many factors can contribute to the success of advocacy efforts in a particular state.

Table 2.1

Vendorship by Chapter Size

Measure of Effectiveness; goal of vendorship achieved)

	Small	Medium	Large
Vendorship			
Yes	3 (27%)	7 (39%)	7 (54%)
No	8 (73%)	11 (61%)	6 (46%)
Totals	11 (100%)	18 (100%)	13 (100%)

Table 2.1 identifies the number of chapters that have obtained vendorship by chapter size. Three small, seven medium, and seven large chapters have achieved vendorship; while eight small, eleven medium, and 6 large chapters have not achieved vendorship status. Thus, 27 % of the small chapters, 39% of the medium chapters, and 54% of large chapters had achieved their goal of vendorship.

These findings demonstrate a clear relationship between chapter size and vendorship; again it is found that the larger

the chapter, the more likelihood that vendorship statutes prevail.

Correlation of Chapter Size and Legislative Program
Level or Extent of Participation

Table 3

Legislative Program (ELAN) by Chapter Size

	Small	Medium	Large
Legislative Program			
Yes	5 (50%)	13 (77%)	13 (100%)
No	5 (50%)	4 (23%)	0
Totals	10 (100%)	17 (100%)	13 (100%)

*One missing observation from small and medium chapters.

Table 3 lists the presence of legislative programs by chapter size. Fifty percent of small chapters, 76.5 percent of mid-size chapters and 100 percent of large chapters are actively participating in legislative activities through their organizational programs (ELAN).

These findings clearly demonstrate the relationship between chapter size and existence of institutionalized legislative programs. It was found that while half the small chapters channeled their efforts through ELAN programs, all the large

chapters did so. It appears then, that the resources available to members' participation may be a strong contributing factor.

Table 3.1
Political Programs (PACE) by Chapter Size

	Small	Medium	Large
Yes	5 (45%)	11 (65%)	12 (92%)
No	6 (55%)	7 (35%)	1 (8%)
Totals	11 (100%)	18 (100%)	13 (100%)

Table 3.1 lists political programs by chapter size. Political programs (PACs) are found in 28 chapters, or 68.3 percent of the sample. The more recent implementation of PACs in NASW may account for a somewhat smaller level of participation in political activities than in legislative activities, since they have had less time than ELAN to develop. Again, however, it was found that chapter size was positively related to the establishment and implementation of an institutionalized program; forty-five and one-half percent of small chapters, 64.7 percent of mid-size chapters and 92.3 percent of large chapters are actively engaged in PACE activities.

Table 4
Change in Legislative Program Over the Past Ten Years by Size

	Small	Medium	Large
Change			
Increase	4 (36%)	12 (67%)	9 (69%)
Decrease	0	1 (6%)	1 (8%)
No Program	5 (46%)	1 (6%)	0
No Change	2 (18%)	1 (6%)	3 (23%)
Totals	11 (100%)	15 (85%)	13 (100%)

* 3 (15%) Medium sized chapters did not report

Growth Patterns in Legislative and Political Programs

Table 4 illustrates growth patterns legislative programs by chapter size. Thirty-six per cent of the small chapters are found to have increased in size in the ten year period from 1977 to 1987. In the mid-size chapter category, 67 percent increased, and 69 percent of the large chapters reported an increase. Although less sizeable, there was evidence of a decrease in two chapters; one mid-sized and one large.

Table 4.1

Change in Political Programs (PACE) Over the Past Ten Years by Size

	Small	Medium	Large
Change			
Increase	3 (37%)	7 (47%)	5 (39%)
Decrease	0	2 (13%)	2 (15%)
No Program	5 (63%)	4 (27%)	0
No Change	0	2 (13%)	6 (46%)
Totals	8 (100%)	15 (100%)	13 (100%)

*Three missing observations from small and medium chapters.

Table 4.1 illustrates growth patterns in political programs over ten years by chapter size. Thirty-seven per cent of the small chapters' political programs increased, 47 per cent of mid-sized chapters' programs increased and 39 percent of the large chapters reported an increase. There was evidence of small decreases in the mid-size and large chapters; two chapters in each category decreased their programs.

Chapter Characteristics

The frequency distribution illustrates measured chapter characteristics. It reveals the figures reported in the tables in a comprehensive manner.

Characteristic	n	%
Small	11	26.2
Medium	18	14.0
Large	13	31.0
Chapters with Legislative Programs	31	73.8
Chapters with Political Programs	28	66.7
Chapters with Social Service Legislative Priorities in 1986	25	59.5
Chapters with Social Service Legislative Priorities in 1987	27	64.3
Chapters with Professional Issues Legislative Priorities in 1986	25	59.5
Chapters with Professional Issues Legislative Priorities in 1987	25	59.5
Chapters that have obtained some form of licensure	28	85.7
Chapters that have obtained vendorship	17	40.5
Change in legislative programs		
Increase	25	59.5
Decrease	2	4.8
No change	6	6.0
Change in political programs		
Increase	15	35.7
Decrease	4	5.5
No change	8	9.5

Focus of Legislative Priorities

An unexpected finding was that professional priorities did not outnumber social service priorities during 1986 nor 1987. In 1987, 27 chapters (64.3 percent) identified social service priorities and 25 chapters (59.5 percent) identified professional priorities as legislative agenda items for that year. In 1986, both priorities appeared on the agenda of chapters with equal frequency; 25 chapters (59.5 percent). Professional issues consisted primarily of licensure and vendorship priorities. Social service issues covered a range of client concerns that included gay rights, welfare reform, housing, adoption reform and joint custody. It appears that the profession has not abdicated its traditional mission within the NASW legislative/political programs.

Nevertheless, the emphasis that was found to be placed on professional issues of vendorship and licensure is clear. An explanation for this focus may be found in the SELF INTEREST MODEL, which claims that self-interest determines attitudes toward policy issues. According to this model, policy positions are most often chosen which enable individuals to minimize losses and maximize gains to their tangible private well-being.²⁵ Following this line of thought, if social workers view vendorship and licensure as routes towards maximizing gains to their private well-being, they may choose to focus on these issues.

Growth Patterns in Political/Legislative Activities

Over half of the sample of organizations (59.5 percent) reported an increase in legislative activities in the ten years from 1977 to 1987, while 35.7 percent reported an increase in political activities through PACE. This growth, although recognized in all areas of political participation, is greater in the area of legislative participation.

Two chapters (4.8 percent) experienced a decrease in legislative activities, while four chapters (9.5 percent) witnessed a decrease in political activities.

Six chapters (14.3 percent) had no change in legislative activities while eight chapters (19 percent) found that the level of political activities through PACE remained unchanged.

Licensure

Of the sample, 28 states as represented by chapters (85.7 percent), primarily through the efforts of NASW, have achieved some form of licensure, and 13 states (14.3 percent) have not.

Vendorship

Seventeen states as represented by chapters (40.5 percent) have obtained vendorship status, but 25 chapters (59.5 percent) have not.

Since vendorship is most often preceded by licensure/certification statutes, it is reasonable to assume that a greater number of chapters would have achieved the latter. However, the difference is more than half, and indicates a direction for further research since vendorship is a quest often sought following licensure/certification.

Relationship of Chapter Size on Legislative and Political Participation

When broken down into categories, all large chapters that completed the survey reported that they were actively participating in legislative activities. Activities decreased as chapters decreased in size. Medium chapters reported 76.5 percent participation and small chapters reported 50 percent participation.

Using the same categories, it was found that 92.3 percent of the large chapters in this study, 64.7 percent of the medium chapters and 45.6 percent of the small chapters were participating in political activities through PACE. It is clear that chapter size is related to participation in both legislative and political activities; The larger the chapter, the more activities. Based upon the experience of this investigator these findings reflect the lack of resources available to the smaller chapters. Follow-up telephone conversations identified the need

for assistance to provide members with the experience, education and skills that are needed in this new field of practice.

Implications of the Findings for Program Design

Some important propositions emerged from the needs assessment. The findings showed that:

1) in contrast to suspicions voiced by earlier writers, social workers in NASW are focusing their efforts in the legislative arena on social service issues and professional issues.

2) the level of participation of chapter's legislative and political activities is related to the size of the chapter. It should be noted that the size of the chapter reflects the amount of financial resources available to chapters for funding such programs. Since the primary funding source for a chapter is dues reimbursement, the larger the chapter, the greater the amount of money available for programmatic endeavors, and the greater the level of participation.

3) There is a greater growth in legislative programs than in political programs over ten years. Nevertheless, there is growth in both programs. The difference in rate of growth between the two programs may be attributed to a number of factors, including the earlier implementation of ELAN and the

greater acceptance of the type of activities pursued in the legislative programming of NASW; i.e. advocacy. Political activities that include work on campaigns, candidate endorsement and fund raising are somewhat new to the profession and are less developed than legislative activities that are promoted through the NASW legislative action network (ELAN).

The findings lent support to those issued by the NASW National Center for Social Policy and Practice in a report on a study that provided a national overview of the legislative and regulatory issues "important to NASW members".²⁶ In the study conducted by the Policy Center a questionnaire was distributed to each chapter and was followed by telephone calls to chapter Executive Directors. Of the fifty-four chapters providing information, thirty-two, or 57.4 percent, reported that they had a "process" to develop a state legislative and regulatory agenda while eight, or 15 percent, had no process to develop a legislative agenda. Thirteen, or 24 percent, had "partial" structures to develop such agendas, for a total of 81.4 percent. The structural or organizational process which is used by the chapters generally follows a committee structure which, for purposes of comparison, parallels ELAN and PACE variables used in this study.

In the Policy Center report chapters' legislative priorities for 1986, 1987, and 1988 were identified. Seventy-four percent of the chapters identified licensing and 48 percent

identified vendorship as legislative priorities. Individual social service issues were identified and included funding of social services and Medicaid/Medicare, children's concerns, welfare reform, aging and AIDS. Welfare reform was identified by 43 percent of the chapters and represented the highest interest in the social service category. The Policy Center report, too, acknowledged the dual thrust of the focus of activities within the chapters of the Association.²⁷ Interest in professional issues was not found to exclude the traditional professional concern for societal reform.

The national Policy Center study and this study confirm the increase in participation among social workers in NASW throughout the country. Further exploration beyond the scope of this study is suggested to identify ways to look more closely at the lag in PACE programs in large chapters and in both ELAN and PACE programs in small chapters.

The foregoing research findings point to several additional interests that have emerged in the field of political practice. They include the progress made in the field for social workers, new initiatives, and the need for techniques and strategies which would increase the effectiveness of social workers in politics. This latter need must be met if social workers are to reach a level of expertise in their political activities which matches that in its more mature fields of

practice. Thus, this study and previously published studies as well, together with the experience of the investigator point to a specific need for training of social workers in political/legislative activities.

The training program design in this study, therefore, is based on the experience of the investigator in the development and implementation of a public policy course and a legislative/political conference. The input of participants in these two pilot programs was also used to develop the curriculum content of the training program presented later in this study.

CHAPTER ENDNOTES

1. The investigator, as the former Director of Legislation and Political Action for the New York State Chapter of NASW, had related to members as a peer and colleague for many years.
2. Timothy Lause, "Professional Social Work Associations and Legislative Action 1974 - 1977". Journal of Sociology and Social Welfare, 1979, March, pp. 263 - 273.
3. Ibid.
4. Richard F.J. Light and David B. Pillemer, Summing Up, The Science of Reviewing Research, 1984, pp. 144-159
5. Telephone conversation with investigator and ELAN staff, Silver Spring, Maryland, NASW, 1988.
6. James L. Wolk, Letter to the investigator, February 1, 1988.
7. Walter C. Benthrop, "The Professions and the Means Test", Social Work, IX, April, 1964, pp. 35-37.
8. Irwin Epstein, "Professionalization and Social Work Activism," Dissertation, 1969, Columbia.
9. Ibid.
10. Cherrey-Reeser, Linda and Irwin Epstein, Professionalization and Activism in Social Work, The Sixties, the Eighties, and The Future, Columbia University Press, 1990, p.128.
11. Legislative priorities represent reasonable indicators of the degree of emphasis afforded political activities. Status enhancement activities and social development activities are generally categorized by chapters under "professional issues" and "social service issues". This categorization of priorities, measured as a dichotomous (two catego-

ry variable) allowed for testing of the proposition that self-serving interests dominate the scene.

12. Janet Buttolph Johnson and Richard A. Joslyn, Political Science Research Methods, Congressional Quarterly Press, Washington, 1986.
13. For a discussion of the advantages and limitation of purposive sampling, see Irwin Epstein and Tony Tripodi, Research Techniques for Program Monitoring and Evaluation, (New York: Columbia University Press, 1978).
14. A similar conclusion is reached by other researchers. See for example, Rino Patti, Elenore Diedrick, Dennis Olson and Jill Crowell, "From Direct Service to Administration: A Study of Social Workers: "Transitions from Clinical to Management Roles, Administration in Social Work, 3:2 (Summer 1979), pp. 132-151.
15. Johnson and Joslyn, op. cit., pp. 1 - 247.
16. Lause, op. cit., pp. 265-273.
17. Johnson and Joslyn, op. cit., pp. 1 - 119.
18. Puerto Rico, European, and Virgin Islands chapters were excluded.
19. The cover letter identified the investigator who was known by many of the respondents. It was sent on November 29, 1987.
20. Second mailing list: Alaska, Arkansas, Colorado, Delaware, Idaho, Iowa, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Metro Washington, Minnesota, Montana, New Hampshire, New Jersey, New Mexico, South Carolina, Texas, Wisconsin, and Wyoming. This mailing was sent on January 2, 1988.
21. Stanley Robin, "A Procedure for Securing Returns to Mail Questionnaires", Journal of Sociology and Social Research, October 1965, pp. 24-35.

22. Second mailing respondents were Colorado, Delaware, Idaho, Iowa, Louisiana, Maryland, Massachusetts, Minnesota, Montana, South Carolina, and Wyoming. Non-respondents were Alaska, Arkansas, Kentucky, New Jersey, New Mexico, Maine, New Hampshire, Texas, Metro Washington, and Wisconsin.
23. Earl Babbie, The Practice of Social Research, Wadsworth Publishing Co., Belmont, California, 1986.pp. 202 - 233.
24. Other variables included 1) legislative priorities to measure the nature of activities, 2) the presence of legislative and political programs, 3) the level of activities over a ten year span, and 4) resources expended.
25. David Sears, Carl Hensler, and Leslie Speer, "Whites' Opposition to Busing: Self-Interest or Symbolic Politics:," American Political Science Review, 73, June 1979, pp. 369-84.
26. NASW National Policy Center Report, Silver Spring, Maryland, May, 1988. Questions asked included; "Does your chapter have a state legislative agenda, what are the issues on this year's state legislative agenda, what do plans for next year include, what issues are expected to remain on the agenda and which new ones are expected to appear, and are there any specific areas that your chapter has had a great deal of experience with?"
27. Ibid.

CHAPTER 3

DESIGN AND IMPLEMENTATION OF PILOT TRAINING PROGRAMS

Introduction

This chapter reports on the design and implementation of two pilot programs intended to arrive at the model educational program which is presented in Appendix 3. The chapter presents the development of the programs and their curriculum plans.

The pilot programs represent an integration of the various work experiences of the investigator and colleagues and the methodological framework provided by the theory of adult learning developed by Malcolm S. Knowles and others.¹ This theory draws from psychology and learning theory to offer an approach to education and training which is most appropriate to adults. Knowles' model of andragogy is based on assumptions about adult learners, one of which is that adults have the capacity to self-direct their learning.

The selection of sites for implementation of the pilot projects, the nature of the settings, and characteristics of the sample groups are described. Environmental factors had important implications for the development and

implementation of both programs. Design and curriculum of both programs are reported, and the range of methods for monitoring and data collection are documented.

Purpose of The Research

The findings of the needs assessment revealed a history of increased NASW political activity. The need for social workers to become more effective in their work in this area brought up the question of how social workers can be best prepared to participate in legislative/political activities.

Generally, social workers, like most citizens, have been expected to "pick up" what they need to know about the workings of politics informally, with little formal education or training. Likewise, professional education generally has not stressed preparation for political practice.

Programmatic experience and research into the problems of social workers' lack of expertise in their increased legislative/political activities interested the investigator in developing an educational project for social workers. In an attempt to develop the most appropriate format and most relevant content, two pilot programs, a training model and an educational model were designed and

tested. These programs are intended to enhance social workers' ability to effectively participate in political activities.

The investigator is aware of several previous educational initiatives in the area. One was undertaken at the Graduate School of Social Work at Syracuse University with the assistance of the investigator. There, the instruction in legislative/political activities was incorporated into the curriculum and coordinated with NASW's ELAN and PACE programs.² The positive response to this program contributed to the investigator's belief that this type of assistance for social workers could be effective and useful.

Outside of social work, Princeton University offers summer classes in public policy courses. There, courses involve participants in role-playing decision-makers in government in analyzing key government issues.³ In one course students spend several weeks analyzing an issue and attempting to come up with a solution to the problem. The program also includes outside speakers and policy seminars.

"I feel the policy seminars have given me the closest flavor of that element of public policy that is so

nebulous and so hard to teach in classroom study, said a student".⁴

The Princeton approach closely resembles the approach taken in the seminar which was implemented by the investigator for social work students.

The Selection of the Programs

In the exploratory programs selected by the investigator, the training (conference) and educational (seminar) models, close attention has been given to theories of adult learning, or androgogy, the effects of direct experience on learning, and teaching methodology. The orientation of the project and its approach to learning relates not only to adult learning, however, but is also tied to a commitment and concern which recognizes and emphasizes the uniqueness of the particular situation presented, be it in a training or educational setting. The investigator was particularly interested in selecting and developing models which represented an innovative method for the teaching of the legislative/political process and activities related to this process. In planning and implementing the pilot models, the differences between training and teaching were taken into account.

Theories of Adult Learning

The direction of the programs was shaped by a belief that the knowledge and skills that are of critical importance in the increasingly complex political system can best be acquired through direct and active learning; an andragogical model.

Effects of Active Learning

Since the establishment of a relationship is an integral component of working with adults in an educational capacity - whether for purposes of learning to think or learning to do, relationship issues between the educator and the student in this andragogical model were explored. A sound educational relationship can powerfully influence the quality and depth of learning of the subject and make the learning experience real for the student. A major implication would follow, of course, that although a relationship is integral to both teaching and training, it is more difficult to establish in training because the training experience is usually of relatively short duration; and as an outsider, the trainer has little if any, informal access to the learner.

Given these constraints, it appears that training will provide the least conducive vehicle for establishing the relationship requisite to effective adult learning since

there is little opportunity for informal access to each other. While learning assignments can be used as one of the tools for getting to know the student in academia, such learning assignments are unlikely to be part of the training activity. Therefore, in the training program under study, attention is given to incorporating relationship-building situations into the model through a workshop agenda.

Given, then, that one of the significant differentials of teaching and training is the relationship between educator and learner, the implications are several. For one, the degree of authority in academia is high. In training, on the other hand, it is relatively low. The academic teacher's authority is rooted in at least institutional and, sometimes, professional sanction; whereas the trainer's authority is only as good as the expertise which gets demonstrated in the learning experience. In training, authority is vested in competence. In the programs tested, the trainers' competence was well established.

Bertha Reynolds, along with Knowles, discusses the need for adults to be directly involved in their learning experiences; that participation of the learner is essential in working with an adult.⁵ Both Reynolds and Knowles value the relationship between educator and learner, regardless of the setting.

Teaching Methodology

The educator or teacher is, then, a prime consideration. According to Smalley, "a good teacher has to care, not only about what (s)he teaches, but whom (s)he teaches, and how (s)he" teaches.⁶ It was the impression of this investigator that few would care more about what was taught than those "in the field". In accordance with this line of thought, guest speakers in both programs and the two teachers of the seminar were very familiar with the legislative and political process.

When discussing the teaching of social workers, one would be remiss if the work of Helen Harris Perlman was excluded. Perlman has written, "while still mourning the death of Charlotte Towle and remembering our long years of association in which I knew her as colleague, as friend, and as a great teacher, I came to ponder that perennial question: "What is a great teacher?" "How does one teach adults?" Perlman responds with a belief that several ideas;--power, love and competence--motivation at a time of crucialness--are significant for the teacher of adults.⁷ According to Perlman, the power that is held by one who is to be an influential teacher is that of knowledge and know-how. The teacher must be seen to possess knowledge of the subject matter--possess it in the sense that he has not

simply boned up on it, studied it and crammed it, but that he has made it his own.⁸

Perlman believes the teacher shows love, at the least, a love of the subject matter. She writes, "A teacher's loving investment in the subject matter is a contagious thing".⁹ Lastly, the third force, is a student's drive to learn more and better for an avowed purpose; to use his mind and complete self for the promise of pleasurable competence. In both programs, the investigator incorporated these concepts of teaching when applied to the adult learner to the fullest extent possible.

The programs also explore the implications for teaching adults as presented by Knowles in program planning, the designing of learning experiences, and the selection of methods and techniques, an evaluation.¹⁰

Program participants were expected to take responsibility for their own learning. It was assumed that both programs would provide an opportunity to develop abilities in observation, analysis, and active learning through the instructional methodology developed.

Knowles has written..."future innovations in social education will come when social work educators shift their thinking from transmitting the knowledge and skill

they think social workers possess to creating educational environments in which maturing professionals can build ever-improving models of the competencies required for their professional roles and in which they can develop these competencies through mutually self-directing inquiry."¹¹

Upon this premise this study sought to design and implement models for the development of political skills for social workers through self-directed inquiry. Since the core of the project was the exploration of social workers disinclination toward political practice and the evolution of an educational/training program to reverse this possibility, the programs tested were designed and implemented in an attempt to develop the most appropriate legislative/political program for social workers.

Evaluation Framework

The evaluation framework best suited to a program at such an initial stage was a formative, outcome evaluation. Records of several kinds were maintained and the actual operation of the programs was recorded and documented. Findings are reported in Chapter 4.

For practical reasons, each of the model programs could be implemented at only one site. While this does not provide a basis for comparison within programs, the system-

atic development and evaluation of each program yielded data which provide fuller information about how training would help social workers participate in politics, and provide a basis for comparison between programs.

In this study there is the explicit or implicit assumption that increased worker skills and knowledge will increase the effectiveness of political participation. The assumption underlies the present project which has as its ultimate goal the increased effectiveness of social workers' political activities.

Measurement of the long-range impact is, however, beyond the scope of the project. Identification and measurement of more immediate effects were included and the study assessed the effect of the programs, which constituted the independent variable, on the social workers' self-reported plans to participate in political activities and their feelings and attitudes about these activities, the dependent variables.

Description of the Programs

The programs incorporated the participants' previously unrecognized needs and the investigator's professional experience. The major focus of the programs was the development of expertise in the participation of legislative/

political activities. The study documented and explored participation in the legislative/political process by locating major topics of interest and impact in the process.

The Conference format tested active learning techniques while the seminar tested lecture and discussion methods.¹² Each teaching method was examined in relation to goals and objectives. Modeling, long associated with learning in social work education was used in both programs. One emphasis of the programs is on the development of understanding of roles in politics and the development of skills in observation and analysis of role responsibilities and behavior.

A. The Legislative Conference format was developed and presented for the members of one of the NASW chapters which had participated in the needs survey; the New York State Chapter. It was considered extremely important that the legislative/political programs in the chapters selected be active and that the administrator of these programs be supportive of such initiatives.¹³

In the New York State Chapter there were several advantages for implementation. Well-established and well-regarded legislative/political programs offered cooperation with another neighboring large chapter that had participated

in the needs survey, the New York City Chapter.¹⁴ Thus, the two chapters offered a large pool of participants for the conference.

The investigator's professional connections with staff and members in both chapters formed a base of mutual trust and understanding.¹⁵ Therefore, the legislative conference was offered to all members of the two chapters and participation was encouraged by chapter staff.

B. The second training program, a graduate seminar on the public policy process was developed. The instructional method eventually chosen for the seminar was an action learning design drawn from the principles of learning theory and andragogy.¹⁶ As stated earlier, these principles emphasize the enhanced learning ability to act on what is learned through active learning experiences. Although participants themselves were not engaged in the political process, they were taught by those who were actively engaged directed in the political activities in all branches of government in New York State.

Selection and Description of the Sites

A. Legislative Conference

The site chosen for the implementation of the legislative conference was the Legislative Office Building located in Albany, New York, the State Capital. Of the vast complex of government buildings in Albany, the Legislative Office Building (LOB) was selected as the site for implementation because of its central location and because of its significant role in the public policy process in the state. The LOB is a large, contemporary facility which houses the offices of members of the New York State Legislature. It also offers accommodations that are necessary for a conference of this nature in several Hearing Rooms.

The investigator's understanding of the nature and characteristics of state government facilities was developed from several sources. First, was the role of state government in the community with which the investigator was already familiar. Second, was the investigator's experience in planning similar programs. Citizens of New York State are encouraged by state officials to use the selected site for such purposes.

In initiating the program, all initial information about the setting was provided by the investigator to the leadership in the New York State and the New York City

Chapters. The investigator's knowledge and understanding of the setting was later augmented by information provided to program participants by chapter leadership. This administrative structure facilitated coordination of the program throughout the two chapters.

B. Graduate Seminar

The public policy seminar chosen as the second pilot training program was implemented as a graduate course at the School of Social Welfare at the State University of New York at Albany.¹⁷ The school is located in the state capital with easy access to government resources and officials. As part of a large university complex it serves a diverse student population in an undergraduate and graduate program. The school is highly regarded in the community where its student serve in many field placements.

At the school, there were additional advantages for implementation. First, the investigator, who co-taught the seminar was familiar with the setting and faculty. Second, the proximity to government officials and settings provided a "hands-on" quality to the educational experience.

Selection and Description of the Sample

A. Legislative Conference.

The sample was drawn from the general membership of the New York State and the New York City Chapters of NASW. Attendance was determined on a voluntary basis and members were encouraged to attend by chapter leadership. The chapter Presidents (NASW members) and Executive Directors were eager to promote member interest in the conference. In response to this encouragement, one hundred and forty-three (143) members attended. Legislative/political programs of this nature were not previously available to state members. Chapter leadership was, therefore, favorably disposed towards this conference, in which members could participate and from which they would enhance their skills and knowledge.

Legislative/Political Activity History

Table 6 describes the previous political activities reported by participants in a survey questionnaire distributed at the beginning of the conference (see appendix 2). This documentation included prior experience, voter registration, participation in ELAN and/or PACE, and voting history in the most recent presidential election, 1986.

TABLE 6

Ss= 143

PREVIOUS LEGISLATIVE/POLITICAL ACTIVITYHISTORY OF PARTICIPANTS

	Yes	No
Prior Political Experience	45	98
Registered Voter	134	9
Participation in ELAN	14	129
Participation in PACE	15	128
Voted in 1986 elections	127	16

As the table indicates, 45 participants, 31 percent, had prior legislative/ political experience, but more than twice as many, or 68 percent, did not. Three people did not respond to the question.

Of the 143 attendees, 94 percent were registered voters and of these 89 percent had voted in the 1986 elections. Ten percent of the people had prior experience in ELAN and 10 percent had some experience with PACE, as well.

These findings revealed few attendees were familiar with ELAN and PACE; and while a larger number had prior

political experience, many had not. Nevertheless, many were registered voters and had voted in the 1986 election.

Analysis of these findings reveals an interest in the subject of politics, but relatively little involvement in the political process.

Table 7 indicates the age, sex, and NASW membership status of participants.

TABLE 7 Ss = 143
PARTICIPANTS' CHARACTERISTICS

AGE

Years	No.	Percentage
(19)	1	1
(20 - 24)	40	28
(25 - 29)	15	10
(30 - 34)	11	8
(35 - 39)	14	10
(40 - 49)	38	27
(50 - 59)	10	7
(60 - 69)	2	1
(NA)	12	8

SEX

Female	116	Male	27

MEMBERSHIP STATUS

Student member	24
Member	95
Non-member	24

Table 7 indicates that participants' ages range from 19 to 69. The greatest percentage, 28 percent, fell in the 20 - 24 year old range. This cohort was closely followed by 27 percent of participants in the 40 - 49 year range.

Nineteen percent of participants were male and 81 percent were female. Seventeen percent were student members, 66 percent were members, and 17 percent were non-members.

Thus, it was found that the majority of attendees were female, Democrats, and NASW members within a relatively wide age range. This finding suggests a sample representation of the population from which it was drawn.

Selection and Description of the SampleB. Public Policy Seminar

Participants in the seminar were students at the School of Social Welfare, State University of New York at Albany. Since the seminar was offered as an elective course rather than a requirement, it could be assumed that students who registered for this seminar were actively motivated to learn about the subject matter.

Twelve students chose the class. The majority were Democrats and all had only a minimal amount of prior political experience. Students ranged in age from nineteen to fifty-nine years old.

Implementation Plan

A. Legislative Conference

The conference program was designed and implemented in this project reflected the experience of the investigator as well as others in the field.

The program, designed to relate to the workers' specific political interests, identified topics of interest and provided action guidelines. It was hoped that acquisition of information concerning politics would be an outcome of the program and that the involvement of participants in actual activities would lead to the development of new political skills. It was also assumed that the NASW members who were participating in the Conference would actively participate in defining their own political interests and needs.¹⁸ It was hoped that the involvement of social workers themselves in selection of the program content would lead to the development of a refined pedagogical model which could be used in any educational setting, with content relating to particular legislative/political settings.

The major focus of the program was the training of social workers in the legislative/political process and the

the practice of political skills within a social work framework. The conference was scheduled for one full working day during the legislative session to provide access to elected officials. The importance of holding the Conference in the State Capital was a primary consideration as previously noted.¹⁹

The program and evaluation design were developed in the spring of 1988. The Conference date of March 24 was determined in September, allowing time for planning and development of the program. The key-note speaker was chosen and shortly after, position papers were assigned with a draft deadline of December 1. They were approved in January by NASW and mailed to legislators, the NASW ELAN network, and the deans of the schools of social welfare in the state. (see Appendix 3) This distribution included a charge to make the position papers available for further distribution. Position papers were also included in conference packets and mailed to interested coalitions. Packets included: participant questionnaires, a PACE brochure, a "Blue Sheet", Guidebooks; Introduction to Legislation and Politics, Lobbying Instructions, a map of the area, ELAN and PACE slides, and maps of New York State Senate and Assembly Districts. (See Appendix 3) Packets were distributed at the conference to all registered attendees.²⁰

A central component of the conference involved legislative appointments with state legislators where lobbying skills were practiced. The initial step in the scheduling of legislative appointments began in November when members were asked if they were interested in making such lobbying visits.

In February appointments were made with the legislators, and participants were assigned to individual legislators. Letters of confirmation were sent to both groups. The social workers were sent a role-play of a legislative visit. The role play was also sent to NASW leadership throughout the state for their use and distribution. In this manner, lobbying training had begun.

Shortly before the conference, legislators were prepared for NASW appointments through an introductory letter accompanied by a "blue sheet". A blue sheet is an informational document that identifies NASW, ELAN, PACE, and all relevant data. Blue sheets were developed by the investigator. They were named for the color of the paper used; and they have been easily identified as such since they were introduced in 1987. (see Appendix 3)

The week prior to the conference, the legislators were telephoned to confirm the time and place of the ap-

pointments and to deal with last minute changes of staff and times. At the same time all members with legislative appointments were contacted by telephone to confirm these appointments. Volunteers were asked to serve as spokespersons. They were offered any necessary assistance to help them perform this task.

The conference program began with a review of the history of social workers in politics. The program also included a summary outline of the public policy process in New York State. Time restraints precluded an in-depth study. Despite these limitations, the agendas of the Executive and Legislative branches of government were presented. Representatives from the Governor's office and the Legislature addressed the assembly following a documentation of NASW's positions on key legislative concerns.

Workshops preceded "hands-on" lobbying activities throughout the remainder of the conference to incorporate active learning experiences into the program. One workshop reviewed legislative priorities. They included Social Service Issues of Housing, Homelessness, Child Protective Services, and Professional Issues of Confidentiality, Regulations of Mental Health Practitioners, and Insurance Reimbursement for Clinical Practitioners. Other workshops addressed lobbying skills and the roles of ELAN and PACE.

As stated earlier, the conference was attended by 143 graduate students and social workers representing each of the ten divisions with the New York State Chapter and the New York City Chapter of NASW.

All lobbying appointments were scheduled for the afternoon of the Conference. Prior to the appointments, attendees were provided with a in-service lobbying training workshop. This workshop presented instructions on letter writing skills, interviewing skills, the legislative process, and political "etiquette". (see Appendix 3)

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CONTENT OF TRAINING WORKSHOPS

PACE - POLITICAL ACTION FOR CANDIDATE ELECTION

BUILDING POLITICAL POWER FOR SOCIAL WORKERS

What is PACE? PACE (Political Action for Candidate Election) is the political action committee (PAC) of the National Association of Social Workers. National PACE focus on Congressional endorsements, while state PACEs endorse candidates for statewide and, occasionally, local races.

NASW NYS-PACE is an independent and non-partisan body created to help elect public officials who advance the cause of quality human services in New York State. It has a Board of Trustees, consisting of members from throughout the state.

PACE activities were initiated by the New York State Chapter of NASW in 1980 to affect public policy through political action for the benefit of social work clients, the profession and society as a whole. The basis for PACE activities is the belief that social workers must support political candidates whose values reflect the profession's priorities.

NASW NYS PACE has a well-earned reputation as a leader in political action.

OBJECTIVES

1. To help elect public officials who support the goals and objectives of the social work profession.
2. To promote political education and political action among members of the social work profession.

CANDIDATE SELECTION

Candidates for state office are selected for public endorsement and financial support by the NASW NYS-PACE Board of Trustees.

Selection criteria include:

1. candidate's response to NASW NYS-PACE questionnaire;
2. candidate's voting record and involvement with social work concerns; and
3. candidates' opponents and impact of NASW NYS-PACE on the candidate's chance of success.

NASW NYS-PACE is part of a vital national PACE network.

ELAN

ELAN is a the NASW legislative action network established to:

1. advance the human-services policies and programs;
2. increase NASW influence in social legislation;
3. use the special and technical expertise of NASW members ELAN staff to monitor and analyze pertinent legislation, pending bills and regulations. They must develop a close working relationship with elected representatives in order

to effectively coordinate activities. National staff also communicates with NASW chapters and consults and acts as liaison with federal agencies to help coordinate NASW's input into national social policy and practice. They provide a clearinghouse of social service information for Congressional requests and assist NASW spokespersons in the preparation of Congressional testimony. When local units of NASW, Chapters, have employed staff; their responsibilities focus on the same tasks at the state level.

LEGISLATIVE POSITIONS

Since many participants indicated an interest in this workshop, it was held in the main Conference Room. Instructions were given initially on the basic components of a position paper; recommendation, issue, and background; its function, and its role in social worker's political activities through ELAN. This introduction to the concept was followed by examples of current position papers (see appendix 3).

The Memorandum of Support and Memorandum of Opposition was also presented and discussed. (see appendix 3) Participants were trained in writing skills.

LOBBYING This workshop convened in a smaller meeting room in close proximity to the Hearing Room. A panel discussion was led by professional lobbyists and led to a question and answer period of about two hours. Approximately fifty people attended about workshop. They were taught some basic principals of lobbying by the investigator as follows; "You do not have to make a large campaign contribution to catch the ear of your legislator". Many NASW members have gained allies in Albany by personally visiting their legislators and persuasively presenting their position. This form of personal lobbying is indispensable to any NASW legislative program. Successful lobbying can be done on a

local level where you can meet in your legislator's home or office, or invite him or her to your meetings.

The key to effective lobbying is doing your homework, not only on the issues, but on your legislator, his or her voting record on the issues which you represent, personal associations he or she may have with NASW members, and previous statements on the issues. To help you and your profession develop a lobbying strategy, the following suggestions are offered:

Visit every legislator. The first rule of direct lobbying is to make at least one personal visit to several state legislators who reside in your area. This may sound frightening but if you approach your legislator with courtesy you may be surprised to find some commonalities. You may also find that he or she does not know what a social worker is or does. Most legislators do not have a clear picture of what social workers are and what they do. Let your legislator know that social workers are composed of people interested in a range of services and that they provide these services to a range of clients. Be certain to make a point of developing a friendly relationship with staff. They can be important contacts."²⁴

Lobbying packets were distributed and a relevant article that Virginia Smith had written for NASW was distributed (see Appendix 3).²⁵

EVALUATION DESIGN

Data Collection

In this stage of the study, which made use of the literature review, the needs assessment findings and the professional experience of the investigator were utilized to weigh the pilot training programs; primary emphasis was given to qualitative evaluation. Survey data were incorporated into the development of the program and monitoring procedures included self-reports of participants and observations of the investigator.

In addition to generating information on the process of establishing a training program, the study measured changes on selected variables. Key variables were derived from underlying program assumptions and from findings generated in the needs assessment phase. The variables explored participation in legislative/political activities, including membership in PACE and/or ELAN and voter registration. In a limited attempt to assess outcome, participants were questioned before and after the program in a self-administered questionnaire to assess changes in their feelings and attitudes as they related to the field of political

practice. Attitudes explored included an interest in additional information and plans to continue to participate in political activities while feelings assessed included the value of political participation for social workers.

Cross Sectional Design

An independent variable selected to define political affiliation, Democrat, Republican, or Other, was measured and studied in a cross sectional design frequently used in political science research where measurements of the independent and dependent variables are taken at the same point in time.²⁶ Results are reported in Chapter 4.

This approach has several limitations. Because all measures were taken at one point in time, the investigator does not know for certain that political party affiliation preceded attitudes towards political participation. Therefore, it cannot be said for sure that political party affiliation caused attitudes toward political participation, even though there is a strong relationship between the two. The respondents' attitudes toward political participation, after all, might have been formed before their political party identification. This concern is important to this study because political party affiliation, alone, may be a

consideration presenting a "hidden agenda" in the training of social workers in political practice.

Effects of the conference were judged by analyzing pre- and post-program responses of participants as reported in Chapter 4. Measures of success included: a five point rating of the conference; open-ended questions soliciting comments and recommendations, specific questions related to the program, and questions directed to assessing increases in political participation.

B. PUBLIC POLICY SEMINAR

Courses addressing the making of public policy are relevant to the profession's educational mission and important for the profession. From the vantage point of the investigator, students' lack of understanding of the role of politics in the formation of public policies which govern the delivery of services is a serious deficit. Clearly, that perception is based on the experiences of the investigator, yet it is difficult to conceive of a time when an understanding of public policy would not have a role in the preparation of social workers' in their legislative/political activities. Whether the seminar program presents the ideal model is a question to which this study is addressed.

The public policy seminar was conducted by two teachers; the author was one. The seminar addressed multiple aspects of the public policy process in the State.

The course began where the public policy process begins in New York State--with the State of the State message. It concluded with legislative and regulatory initiatives. Topics presented included the legislative, budgetary and regulatory components of government as well as the impact of the political process on decision making. Extensive use was made of guest lectures by key officials to provide active learning experiences to the adult learners.²⁷

The program also included a review of the NASW legislative programs and instructions on advocacy techniques and strategies to help social workers participate in these programs and several skill-building components.

Students were expected to present a briefing focused on a major policy issue which had been identified either at the state or national level of government. This briefing included an oral presentation and a written report. The report followed a required format. The following instructions were given to the students by the teachers;

"A legislative brief/issue analysis is a comprehensive statement of the arguments around a series of issues (questions at issue). You are not required to use the proposed format for your brief, but you are expected to organize the brief in a similar fashion, citing all relevant issues. Make certain that documentation gives full citations, either by footnote or parenthesized references to bibliography in the text.

A brief is not a term paper, and you do not have to be concerned about narrative style, although spelling and grammar are expected to be correct. In some cases, very brief answers might be given. However, you should include all the relevant arguments so that a person can evaluate the quality of the case on the basis of reading the brief alone. More important than style in the brief is adequate evidence to support your case. For example, it is not enough to say that reduction of welfare benefits will cause ill health in children. Cite sources to support your contention. The better the evidence (e.g., scientific studies versus opinion of an author), the stronger your case, and current sources are generally better than old ones, but opinions from authoritative sources are better than your opinion alone.

Note that the brief includes the arguments on both sides. You are expected to document both your own case and

that of your opponent. Do not set up "straw man" arguments against your position; the opposing arguments should be the very best you can muster."²⁸.

A final paper of reasonable length was required by each student. This paper focused on one major theme that was identified in the State of the State message and followed the theme throughout the legislative, budgetary, and regulatory stages; being certain to identify the impact of internal and external influences on the entire process and outcome.

The course grade was based upon class attendance, class participation, an oral briefing, a briefing paper, and the final paper.

A tenet of the program was that content areas are best learned through a combination of class discussion, active learning experiences and individual research projects. Preceding each guest lecture, the instructors provided introductory lectures. This gave students knowledge of the speaker's area of expertise. With this base, students were more comfortable in give-and-take discussions following the guest presentations.

The following description of the seminar curriculum is taken from a log kept by the investigator.

CURRICULUM

CLASS 1 INTRODUCTION

Distribution of class materials which included a diagram of the New York State Budget Process, a diagram of the New York State Legislative Process, A Guide to New York State's Government, a glossary of legislative terms, Rules of the Senate and Assembly (see Appendix 3). Discussion of class schedule, content, speaker schedule and expectations followed. A break-down of both houses by party lines and demographics followed.

These variables influence voting patterns and advocate's strategies. They are played out in legislative committees, in party conference and on the floor.

Legislative committees are chaired by majority party members with grave political consequences. The appointment of chair is often a reward for service and an attempt to protect the vulnerable. A discussion of power implications followed.

STATE OF THE STATE MESSAGE - identification of major themes with the understanding that this document serves as a major statement of the public policy agenda for the year; a "road map" for the year.

In New York State there is a constitutional deadline which is the first day of the legislative session, usually the first week in January.

CLASS 2 EXECUTIVE OFFICE

Elaboration of executive decision making and the role of the State of the State. The message is a constitutional requirement (a report to the legislature by the Governor) and is a major political statement.

Social work guidebooks on legislation and politics were distributed. (see appendix 3)

The guest speaker, a program staff person for the Governor, was also a professional social worker. Her responsibilities included all human service budgets. The governor's program staff works on developing a menu of ideas for the state of the state message. The budget process begins when a call letter is sent with fiscal limitations to the state agencies. Requests are received by September.

The Budget Division "grinds up" from September to January and is consumed with member crunching. Analysis of fiscal needs is based upon actual expenditures the previous year. There is a hierarchical process. It is developed at the bottom level and moves upward to the Director of the Budget. Agency budgets are then reconciled. Then, hopefully, staff "Make Budget".

The executive budget is actually three appropriation bills;

1. Capital
2. Appropriations
3. Local Assistance

The Executive Budget, called the "book", is also known as Volume I or the Story. The government is organized functionally generally, but these three bills are sent to the fiscal committees. Analysis begins and hearings are held. Legislators try to cut the budget to leave some surplus to spend. They measure the size of the pot. (revenue projectives and allocations). At the same time, program bills are sent to the legislature and assigned to appropriate committees. March- negotiations take place between the Division of the Budget and fiscal committees in both houses where principals (leaders) have to be pleased. Most fiscal issues are resolved by April 2. After this date very few additional expenditures are allowed. The Budget is closed down. Then programmatic issues are dealt with from April to July. Budget execution is an on-going process; a management process. Implementation of programs involves getting the money out the door. After this, fiscal implications of new proposals are monitored and governor's program bills are negotiated. The legislature acts on hundreds of bills.

Then, the governor looks at bills which have passed. The Legislature used to adjourn and the governor had thirty days to act. They are now in recess at this time and the governor has ten days grace. During the summer, the bills are batched and the DOB will look at every bill with a fiscal allocation. Budget memos will present both sides in a reasonable manner. The process recycles in July.

CLASS 3 - 6 THE BUDGET PREPARATION PROCESS

(see Appendix 3 for handout on the budget process)

CLASS 3 Federal Impact

Distribution of lobbying packet (see Appendix 3)

Teaching of the Federal Budget impact upon state budget.

The two processes are not well coordinated. As a result, one is sometimes caught off guard. All federal money must go through the state legislative process.

Traditionally, in New York State, the Governor (a Democrat) comes in low in projected income and gets the Republican Comptroller to support him. The Republican Senate accuses him of being too low and the Democrat-led Assembly does also, but much more quietly.

CLASS 4 AGENCY ROLE

The State Agencies are part of the Executive Branch in New York State and are directly responsible to the Governor in making budgetary requests and in the preparation of their respective budgets.

CLASS 5 Division of the Budget

The Division of the Budget (DOB) approaches policy development with a pluralistic approach; keeping in mind the interests of citizens, the governor, state agencies, and legislators.

A budget examiner addressed the class and described the budget process outlining the agenda for the state's year's revenues and expenditures. He spoke of the budget as a descriptive document, a narrative. The speaker viewed appropriations bills as the legislative piece with amended versions offering the negotiated results to the Governor. Approved appropriation bills are the "mystical" piece and represent a broader picture to the public with a sense of "creative tension."

In summary, the governor takes the initiative and the legislature offers the appropriations amendments back. The DOB also evaluates through its seven examination units and serves as an institutional memory for the state. Theoretically, decisions are made based upon revenues. The governor articulates goals and programs must be aimed towards them taking into consideration fiscal implications and a balance in demographics, geographics, income level, levels of government, and issues.

Also, time considerations discipline the process. A "rough" guideline followed by "those in the know" is:

Proposal -- Super Bowl
Adoption -- Easter and Passover
Recess -- Fourth of July

remembering that since the budget process is a political process, rationality does not always win the day.

CLASS 6 Legislative Advocacy Group Influence

Following the teaching of "generalizations" related to the importance of understanding the relationship between interest groups and legislators, the guest speaker presented an example of legislation her social service agency is interested in and the action they are taking in an attempt to modify that legislation.

The generalizations that were taught include:

1. Knowledge of legislators' orientations.
2. The provision of technical and political information is a significant influence to which legislators respond in the political process.
3. The possession and use of general resources are crucial to the ability of interest groups to influence legislators.
4. The quality of interaction between legislators and interests groups is influenced, to a great extent, by the frequency of contacts between them.
5. Legislators who initiate contacts with lobbyists are more likely to be influenced by them.
6. The informal group at the local level is an effective mode of citizen participation to which legislators respond.²⁹

CLASS 7, 8 LEGISLATIVE ACTION ON THE BUDGET

(see Appendix 3 for handout on the Legislative Process)

CLASS 7 Staff Role - Senate and/or Assembly.

The guest speaker was the counsel to the Senate Finance Committee Chair and a colleague of the investigator. He identified the Chair of the Finance Committee as the "alter ego of the leader"; a very powerful position.

The Finance Committee is an instrument of policy. The Committee has three units; expenditures, income (using the Wharton Econometric Model) and a Joint Legislative

Commission on Expenditure Review which monitors the state agencies' implementation of programs. The Wharton Econometric Model is a software package in which projections are made based upon input. Results have grave political implications.

A brief analysis of the legislative process in the Senate followed. After a certain date a bill must pass through "Rules" where progress is determined by the Leader. Budget bills are introduced by the Governor and can be amended prior to going through the fiscal committee. The Senate can also introduce a budget bill. All other bills, if they have an appropriation must go through fiscal committees and all bills that amend the Executive laws are sent to the Finance Committee. Counsel "briefs" the bills, and the analyst tracks the bills. Ours is a combination of representation government and democracy. Government is organized self-interests with many diverse interests participating.

The speaker identified upstate/downstate philosophies and values and Democratic/Republican values. He recognized the Assembly to be more Populist and New York City based.

The teachers presented a view of lobbyists as follows; "One must realize where you are in the process. Things move slowly in the legislature. There is a tremendous amount of log-rolling or compromise. Change occurs slowly because we have an inert middle class which also serves to prevent revolution and upheaval.

CLASS 8 The Minority Legislator - The role of the minority in the shaping of the budget and legislation.

The guest speaker, a freshman minority assemblyman, identified one role of the minority party to be to "keep them straight". A power imbalance in both houses is recognized, but the minority is not entirely devoid of power. It has certain functions which include: Diligent voting practices in house and committee votes, in the "other" house, the minority can influence with voting patterns, can carry proposals, establish a career ladder, and move member items through majority members in the other house.

The minority has an impact upon member items, sponsorship and resources.

A student quipped, "Two things people should never see made are sausages and laws." The leaders in both houses control everything. They represent the "solid grip of power".

CLASS 9 PROGRAM LEGISLATION

The process by which substantive legislation gets addressed.

Action on Bills by the Legislature

There are different kinds of bills. Multi-sponsored bills are introduced by two or more legislators in the same House. If there are more than two or three sponsors the Albany Bulletin lists the primary sponsor and appends "et. al.," to save space. "Companion bills" are identical measures introduced in both Houses, and are numbered and printed separately. "Uni-bills" are printed once, bear the joint numbers and sponsors in each House on page one of the bill, and are introduced simultaneously.

If a bill is amended, a letter is added to the identifying number -- "A" for the first time amended, "B" for the second, and so on. With each amendment, the bill is reprinted in its entirety. If a bill is amended in the opposite House, it receives a special print number. (For example, A. 1234 amended by the Senate, would be identified as Senate Print 10,000 or some such number.

When introduced, bills are numbered in consecutive order, printed, and each is assigned by the leadership to a Committee having general oversight of its central subject. Even here there is latitude; a bill can legitimately be sent to one, two or more Committees;

and depending on the way the leadership feels about its content, it can be channeled to a friendly or unfriendly Committee.

In the Assembly, every bill (if requested by the sponsor) must at a minimum be placed on the agenda and considered by the full Committee. In the Senate, the person chairing the Committee has authority to decide which bills will be on the Committee agenda.

If approved by an Assembly Committee, the bill is said to be on Second Reading -- in the Senate, this is termed Second Report.

In both Houses, bills then move to Third Reading and are ready for floor action. In the Senate, a bill on Third Reading can be "starred" (that is, an asterisk is placed before the bill number) either by the leadership or the bill's sponsor, and all further action stops until the star is removed. A bill cannot be considered until the day after the star is taken off.

In every session, literally thousands of bills are introduced, but the mortality rate is high. Only about 10 per cent of them reach the floor of the Senate or Assembly and only some five per cent are approved.

During the session, the Governor must act within ten days (except Sundays) on bills approved by the Legislature and forwarded to him. If he does not sign or veto the measure, it automatically becomes law. If he vetoes it, a two-thirds vote in the House that passed it first is needed to override. If the veto is overridden there, it then requires another two-thirds in the other House.

Back in the days when the Legislature customarily adjourned, the Governor then had 30 days in which to act, but current legislative practice is for the lawmakers to recess, rather than adjourn. If they adjourn, only the Governor can call them back into session, and he sets the agenda -- if they recess, the legislators also can call themselves back into session, and can consider whatever they wish.) Under the current recess practice, all bills are "10 day bills," and batches of approved bills are forwarded periodically to the Governor, for so many are voted upon just before recess that it would be impossible for him to meet the 10 day deadline on all of them. So-called "One House" bills,

passed in one but not the other, are returned at recess to the House of origin and recommitted to a Committee.

CLASS 10 THE MAJORITY LEGISLATOR

The role of the majority elected official in the process.

Rules of the Senate and Rules of the Assembly were distributed and discussed.

CLASS 11 LOBBYING FOR SOCIAL WORK ISSUES

The legislative agenda for the profession and the way it is addressed.

Lobbying training followed. (see Appendix 3)

ELAN and PACE - Slide show and distribution of the PACE program brochure followed.³⁰ (see Appendix 3)

CLASS 12 REGULATIONS - IMPLEMENTATION OF THE LAW

Translating legislation into programs and policies and the role of agency staff in carrying this out. At this point in the process, public hearings may be held. The role of the social worker and NASW staff was described. Public hearings are held to gather the views of citizens, organizations and interested parties. Committees, sub-committees, legislative task forces, agencies, etc. hold public hearings in Albany and throughout the state to receive testimony.³¹ They serve to generate suggestions for modifying existing laws and introducing new legislation. They also provide an educational function by informing the public of societal problems and proposed action to eliminate them. Hearings have the potential to assist a legislator in her/his political aspirations by providing a public forum. It is not uncommon for hearings to be held to relieve constituent pressure of committee members by giving the impression that the elected official is on top of the situation. And, this public forum provides an occasion for advocates to be seen and heard as well; to be counted as an interested participant.

NASW staff often assists social workers in the writing of testimony to be presented at hearings.

Well seasoned legislators and lobbyists have been known to recognize the political significance of being observed at a hearing if only to walk through the meeting room. To those sages, the term, "walk-through", is heavily loaded. Merely affixing an organization's name to the sign-in book present at all hearings is a meaningful lobbying activity.

Resource materials for teaching the Lobbying Law were obtained from the New York Temporary State Commission on Lobbying.

Jewell and Patterson note that while hearings are not the only route of access for lobbyists, they are a formal, direct route.³² They identify the strategy of "packing" the room with witnesses and supporters/opponents in an effort to get media coverage; to be seen and heard; to call attention to a societal problem and raise its prominence on the policy agenda.

Public hearings then, serve many functions. Most, if not all, can benefit social workers as we attempt to increase our participation in the political process through our professional organization at all levels of government. As the New York State Chapter's legislative and political programs continue to expand and consequently become more effective, our participation will lead to greater efficacy.

Cecilia Klein kauf wrote, " as social workers recognize that an activity in the political arena can have a significant impact on public social policy, increasing numbers of them are taking advantage of opportunities to testify before their state legislatures. Others, however, hesitate to do so because they feel intimidated by the aura surrounding the legislative process or are reluctant to undertake a task for which they have no training."³³ This feeling of intimidation can be dispelled and greater participation incurred by helping social workers better understand the public policy process and the role they can play in it at all critical decision-making points.

CLASS 13 GOVERNOR'S OFFICE

The role of the Governor's Office in deciding the fate of legislation.

CLASS 14 WRAP-UP

Glossary of legislative terms (see Appendix 3)

Skills on writing (1) position papers, (2) memos of support, (3) memos of opposition, and (4) testimony

OUTSIDE SPEAKER SCHEDULE

Class 2	State of the State Message at the Capitol Deputy Director of the Division of the Budget
Class 3	Director of the Division of Planning, Policy and Resource Development, NYS Health Department
Class 4	Associate Budget Analyst, NYS Council on Children and Families
Class 5	Deputy Chief Budget Examiner, NYS Division of the Budget
Class 6	Director of Children's Collaborative and Statewide Youth Advocacy
Class 7	Counsel for the Senate Finance Committee
Class 8	A Minority Legislator
Class 9	Legislative Associate for the Assembly Children and Families Committee
Class 10	A Majority Legislator
Class 12	Executive Secretary of the NYS Board for Social Work
Class 13	Representative from the Governor's office

Data Collection

The seminar was judged to be effective on the basis of attendance, completion of assignments, class participation, and responses to an evaluation questionnaire (see Appendix 2). In the seminar as in the conference, emphasis was given to program outcomes. Evaluative data were collected throughout the seminar. Monitoring procedures included self-reports of participants, attendance records, observation, and individual interviews with participants. Additional effects of the seminar were identified through unsolicited feedback from participants, their classmates and others. In a limited attempt to assess outcome, participants were questioned before and after the seminar to evaluate changes in their beliefs, attitudes, and political/legislative activities, and a standardized school evaluation was used at the end of the seminar. Final papers, and oral and written "Briefs" were graded and reviewed with the students.

Evaluation Instruments

Participant Data Questionnaire

A self-administered evaluation questionnaire was administered to all participants at the conference at registration, to provide a data base with regard to their backgrounds and experiences as relevant to the program, and is reported earlier in this chapter. Also administered before the conference began and repeated at its conclusion was a questionnaire to gather data on attitudes and responses to political practice. This pre and posttest was intended to assess any measurable changes resulting from the program's effects.

The evaluation of the conference program was a component of the same questionnaire. Participants were also asked for comments and suggestions in an open-ended question.

At the conclusion of the seminar, the standardized evaluation survey administered to all students (see Appendix 2.) was intended to elicit responses from students relating to content, structure, and format of the program. (See Appendix 2)

Development of Instruments

Since this study was breaking new ground in exploring the impact of a training program in political practice for social workers, it proved difficult to locate appropriate, previously developed and standardized research tools. An exhaustive search of related literature revealed no one instruments which would capture the necessary data for this study. As a consequence, considerable time was spent constructing and refining the original instruments referred to above.

The questionnaire constructed for the needs assessment phase of the study also formed the base of the participant data questionnaire used in the program phase. (See Appendix 2) Problems identified in the survey instrument, even after pretesting, were corrected in the participant database which was itself reviewed by several experts in the field. Expert consultation helped to clarify ambiguities so that any questions open to varying interpretations were eliminated and alternative wording was substituted.

For the open-ended question exploring the participants' views of the conference, careful consideration was given to the focus of the question. Emphasis was placed on depth and specificity of the responses. When the written responses failed to give detailed data, it was possible to expand on the investigator's understanding of the participants' perspective during the programs. Care was also

taken when the posttest was administered to encourage maximum responsiveness. Open-ended questions were structured to be as neutral as possible, allowing any negative as well as positive responses to the programs to be expressed freely.

A similar procedure was followed for the construction of the pretest on attitudes, beliefs, and behaviors in relation to legislative/political activities. A five-point Likert type scale was developed for the dimensions of beliefs and attitudes. Responses were scaled in terms of levels of agreement. Many of the items included were similar to those developed by Johnson and Joslyn in studies of political feelings and attitudes.³⁴ All items used were intended to measure political attitudes. For example, items used included, "I feel that all politicians are unethical" and "I approve of political action committees in general".

Appropriateness of the content was assessed on the basis of the investigator's considerable professional experience in the field. Review of the instruments by experts in the field and by social workers at various levels of experience confirmed that the items provided enough differentiation to reveal nonrandom, nonidiosyncratic, or discoverable responses. For example, items included, "I feel that social workers should be involved in political activities," and "I believe social workers should be contributing to policy making decisions." In this study, this sentiment was included in two items in order to provide more meaningful

and reliable data. Other items were based on information revealed in the needs assessment and sought confirmation. They were, "I believe in advocacy for self-interests and I believe in advocacy for client-interests." These questions were designed to further clarify questions about troublesome issues for social workers. The posttest questionnaire also served as an evaluation of the conference.

The only instrument which was not original was the seminar evaluation questionnaire. This was the evaluation form used by the State University and was not modified. Evaluation of the program, based on data collected with these instruments, is reported in Chapter 4.

Political science involves the study of human beings and the discovery of explanations for the political behavior they exhibit.³⁵ In this study the instruments used represented an overall attempt to discover regularities and patterns of attitudes, beliefs, and anticipated political behavior.

Framework for Analysis

In planning future programs of this nature, one must take into account the range of factors reported earlier in this Chapter. They include:

1. Program purpose
2. Participants
3. Program location
4. Size and time-frame
5. Organizational sanction
6. Program curriculum
7. Mode of presentation (Format)

Similarly these factors must be considered when a program is studied to assess its success. The investigator developed a framework for analysis which drew upon past experience, the responses of participants, writers in the field, and teaching theorists.³⁶

In particular, the work of Johnson and Joslyn provided information which emphasizes the importance of the following three sources of data most frequently used by political scientists in the analysis of research: interviews and questionnaires, the written record, and observation.³⁷

Johnson and Joslyn have pointed out that one way in which observation has been used by political scientists

is to study program implementation as is done in this study.³⁸

For this study, the investigator deemed it important to examine not only the curricula or content of the pilot programs, but also the nature of the format or design of the programs which facilitated or impeded their success. It was considered important to develop a final program that drew upon the best elements of both programs rather than focus on detailed analysis of one program.

Thus, in order to analyze the content of participants' responses the framework was developed by synthesizing and incorporating the essential elements derived from the theory and research reviewed. When using the framework, the content of interviews and questionnaires, written records, and observations are to be analyzed in relation to items 1. through 7; contrasting the seminar to the Conference.

Conclusion

For purposes of content analysis the two models presented offer an opportunity for direct comparison under the framework of analysis described in an attempt to develop a program which will best meet the desired need.

CHAPTER ENDNOTES

1. Malcolm Knowles, "Innovations in Teaching Styles and Approaches Based Upon Adult Learning, Journal of Education for Social Work, Spring, 1972, pp. 32-39.
2. The instructor incorporated material developed by the investigator into the course design, and students participated in the Legislative Conference under study.
3. New York Times, "Princeton Summer Course Hands Power to the Students", September 1, 1985, p. 22.
4. Ibid.
5. Reynolds, Bertha Capen, Learning and Teaching in the Practice of Social Work, New York: Russell and Russell, Inc. 1985, p. 74.
6. Ruth E. Smalley, CSWE Thirteenth Annual Program Meeting, January 21, 1965, Denver. Colorado, pp. p. 19.
7. Helen Harris Perlman "...And Gladly Teach", CSWE Fifteenth Annual Program Meeting, January 26, 1967, Salt Lake City, Utah. pp. 110-121.
8. Perlman, Ibid., p. 113.
9. Ibid. p. 115
10. Knowles, op. cit.
11. Ibid., p.39

12. N. L. Gage, Editor, The Psychology of Teaching Methods, "The Discussion Method, Chapter VI, Meredith D. Gall and Joyce P. Gall pp. 167 - 216; and "The Lecture Method", Chapter VIII, John McLeish pp. 253 - 301.
13. The pilot program was designed and presented under the direction of the investigator in the New York State Chapter, a Large chapter.
14. The New York City Chapter of NASW participated in the pilot program.
15. The investigator, as a former Director of Legislation in the NASW New York State Chapter, had related to the leadership in the New York City Chapter as a peer and a colleague for many years.
16. Knowles, op. cit.
17. The investigator is a graduate of the school.
18. Open-ended questions were included in the conference questionnaire in an attempt to identify participants' interests and needs.
19. The design of the program included the most basic needs of social workers involved in legislative/political activities, based on the experience of the investigator, impressions of legislators shared with the investigator, and colleagues.
20. All materials, but the maps, were developed by the investigator.
21. The position papers were developed, written, and presented by the investigator.
22. The following was developed and presented by the investigator. "Lobbying Instructions.

STICK TO THE ISSUE: Decide ahead of time what you are going to talk about.

Do not discuss any other issues but the legislation at hand. Do not take notes during the interview.

Be brief and confine your conversation as much as possible to this issue. You will get more attention and response if your presentation is compact and well organized.

You are here to discuss the legislator's stance.

LEARN THE LEGISLATOR'S POSITION

Let your legislator talk and present her/his side fully. It is helpful to learn his/her point of view. Be a good listener; don't interrupt. Ask good questions until you find an area where you agree and proceed sympathetically from there.

Be firm, knowledgeable, rational, and courteous. Threats don't help your case. Be temperate, even if you don't like your legislator. You will accomplish more by remaining calm and sticking to the point throughout the entire interview. Try to avoid prolonged or controversial argument. It is likely to confirm legislators in their own opinions. The impression you leave may be more important than the point you are discussing.

OFFER MORE INFORMATION

Don't be afraid to admit ignorance on special points. Offer to look them up and get back to the legislator; then be sure to do so. Don't give misinformation. If you use statistics, be sure they are accurate.

ENLIST MORE HELP

If the legislator is known to favor your position, show that you realize that fact and ask her/him for advice and help with other legislators. Thank her/him for past support, if applicable.

Try to identify your opposition. Your legislator will often tell you who else is pressuring her/him.

LEAVE THE DOOR OPEN

Take every possible step to prevent a legislator from committing her/himself definitely against your position. It is better to leave her/him undecided rather than committed against you.

Remember to keep each interview confidential.

23. PACE and ELAN slides were developed by the investigator.

24. This information on lobbying was developed and delivered by the investigator.
25. Virginia W. Smith, "How Interest Groups Influence Legislators", Social Work, National Association of Social Workers, Inc., May, 1979, pp. 234-239.
26. Janet Buttolph Johnson and Richard A. Joslyn, Political Science Research Methods, Washington, D. C.: Congressional Quarterly Press, 1986, p.109.
27. Knowles, op. cit.
28. This description of a "brief" and assignment was presented by the teachers.
29. Smith, op. cit., pp. 234 - 236
30. Guidebooks entitled, "Getting Involved: Social Workers in Politics" and "Getting Involved: Social Workers in Legislation" were developed by the investigator and are included in the appendix. The slides were also developed by the investigator as cited above.
31. Joseph F. Zimmerman, The Government and Politics of New York State. New York, New York University Press, 1981, pp. 134-135.
32. Malcolm E. Jewell and Samuel C. Patterson, The Legislative Process in the United States, fourth Edition Chapter, New York: Random House, Chapter 5.
33. Kleinkauf, op.cit.
34. Johnson and Joslyn, op. cit., p. 78.
35. Ibid, p. 22.

36. Knowles, Smalley, Gage, Perlman, op. cit.
37. Johnson and Joslyn, op. cit., pp. 223-247.
38. Johnson and Joslyn, Ibid, p. 223

CHAPTER 4

EVALUATION

Introduction

This chapter will review the evaluation process undertaken as part of the project, reporting on the evaluation design and subsequent findings.

The evaluation framework employed took the form of a case-study which provided a detailed description of the program's development, employing primarily qualitative data in an effort to describe the projects and develop new ideas about educating/training social workers in legislative/political activities.¹

The primary emphasis of the evaluation was describing, monitoring, and assessing a public policy seminar and a legislative conference designed to educate and train social workers in the political/legislative process. This was considered appropriate to the project's goal of generating new knowledge about the extent and nature of political activities of social workers under the direction of NASW and the needs of social workers in these activities in an attempt to increase their effectiveness.

Secondarily, the evaluation assessed the outcome of the programs in terms of their effects on the participants. It was hypothesized that these two programs would have a positive impact on participants' legislative/political activities. It was anticipated that such changes would be reflected in the participants' attitudes toward activities in this area. The outcome component of the evaluation, therefore, sought to establish changes which resulted from the programs. The evaluation's primary focus on the assessment of the programs insured that data reported by participants were supplemented by intensive qualitative analysis of the programs in an attempt to determine the program which best met the needs of social workers interested in learning about this field of practice.²

As part of the evaluation there was a participant observation assessment of the conference and seminar's effectiveness in meeting their goals. The evaluation also explored the possibility that program effects would impact upon participants' future plans in the area under study. Finally, unanticipated effects of the programs on the participants were determined.

Outcome Measures

As stated earlier, the ultimate desired outcome of the project was to increase the legislative/political activities

of social workers. The more immediate goal of the programs, logically linked to the ultimate goal, was that of increasing participants' knowledge of the legislative/political process and improving their political skills.

Specific outcomes desired for the project were the development of knowledge of the legislative/political process and improved political action skills. The evaluation of the programs' success was based on analysis of participants' responses using the framework of analysis described in Chapter 3 for both the seminar and conference. The outcome component of the project focused on the participants' interest in the area of study.

The impact of the legislative conference and the seminar was evaluated by assessing participants' self-reported attitudes and anticipated political behaviors. In addition, the seminar students' fulfillment of class requirements; a term paper, a brief, attendance and participation were also assessed.

Because of time constraints, effects of the programs were evaluated only once; immediately after the programs' completion.³ Ideally, such testing would be repeated later to see whether positive effects persist over time.⁴

EVALUATING THE PILOT PROGRAMS

A. Legislative Conference

Participant Data Questionnaire

Prior to the beginning of the Conference, the investigator sought to clarify reasons for attendees' participation in legislative/political activities and to establish a foundation for program evaluation by collecting information regarding beliefs, attitudes, and behaviors through a pre-test survey questionnaire. (see Appendix 2)

Survey responses were categorized by political party affiliation of Democrat, Republican and Other in a design described by Johnson and Joslyn and reported in Chapter 3. There were ninety-nine (99) Democrats, twenty-one (21) Republicans, and twenty-three (23) "Others" participating. This finding supports the proposition of Reeser and Epstein; i.e., "since the Democratic Party traditionally has been identified with support of an increased governmental role in the economy and commitment to welfare state programs, it is hardly surprising that social workers are more high affiliated with that party."⁵

To allow for the expression of political attitudes and beliefs in various ways, multiple items were used. For example, for the belief of approval of social workers' involvement in political activities, two items were used;

"I feel that social workers should be involved in political activities" and " I believe social workers should be contributing to policy-making decisions".

In response to these questions, almost all Democrats (98 of 99), all Republicans, and all Others; or all participants but one, reported that they believed that social workers should be involved in political activities as indicated in Table 8. These figures confirm the high level of motivation to participate in this field of practice that was anticipated by the investigator. Nonetheless, sixteen (16) percent of participants felt that politicians are unethical. Of this group, twelve (12) percent were Democrats, two (2) percent were Republicans, and two (2) percent were Others.

The entire population also reported that they believed that social workers should contribute to policy-making decisions.

Ninety-five (95) Democrats, nineteen (19) Republicans, and twenty (20) Others, or ninety-four ((94) percent of all participants reported that they approved of Political Action Committees (PACs). Based upon the experience of the investigator, this high positive finding was not antici-

pated. It may reflect the younger age cohort represented, and, thus, present an interesting area of further study.

In an attempt to identify beliefs regarding advocacy for client interests (social service issues) vs. self-interests (professional issues), it was found that ninety-one (91) percent of Democrats, eighty-six (86) percent of Republicans, and ninety-one (91) percent of "Others", or ninety (90) percent of all participants reported that they believed in advocacy for self-interests; while the entire population reported that they believed in advocacy for client interests. This finding was anticipated based upon the information revealed in the needs assessment and reported in Chapter 2 and the experience of the investigator.

PRE-TEST FINDINGS

Table 8 describes the beliefs and attitudes of participants self-identified as Democrats, Republicans, and Others. Six dimensions were explored.

TABLE 8
PARTICIPANTS' POLITICAL ATTITUDES AND BELIEFS

Percentage Agreeing by Political Party Affiliation			
	<u>Democrats</u>	<u>Republicans</u>	<u>Others</u>
Feel social workers should be involved in political activity	99	100	100
Feel politicians are unethical	17	15	13
Approve of PACs	96	90	87
Believe in advocacy for self-interests	91	85	92
Believe in advocacy for client-interests	100	100	100
Believe social workers should contribute to policy-making decisions	100	100	100

Program Effectiveness: Participant Ratings

The effectiveness of the program as rated by participants was assessed by means of the evaluation instrument developed for the project and administered at the conclusion of the conference. (see Appendix 2)

This posttest questionnaire also measured beliefs, attitudes, and anticipated behaviors in an effort to evaluate the effect of the program on the participants.

TABLE 9
POST CONFERENCE QUESTIONNAIRE RESPONSES
n = 143
Evaluation of Conference

	<u>Percentages</u>		
	<u>Yes</u>	<u>No</u>	<u>NA</u>
Was enough information provided?	86	13	1
Prior Experience?	33	63	4
If not, was the conference a good introduction?	81	15	4
Enough material in packet?	84	9	7

Table 9 reveals the number of participants who found that there was enough information provided, and identified those participants with prior experience in the field and those with no prior experience who found the conference to be a good introduction to the field.

TABLE 10
BELIEFS AND PLANNED BEHAVIORS

	<u>Percentages</u>		
	<u>Yes</u>	<u>No</u>	<u>NA</u>
Does political participation pay off for social workers?	95	1	4
Do you plan to pursue this interest?	91	6	3

In Table 10, a belief in the effectiveness of political participation and anticipated participation in legislative/political activities were measured.

As Tables 9 and 10 illustrate, some objectives were more successfully achieved than others. The investigator's initial expectation that the conference would

provide an introduction to those participants who had no prior experience was fulfilled. However, the large number of participants with no prior political action experience was not expected. Therefore, participants could not be prepared to become effective in this field without additional training and knowledge. Nevertheless, many participants indicated plans to continue with their interest in this field; and as revealed in Table 14, many requested more programs to help them do this.

Participants were asked to rate the conference in the post-conference survey questionnaire.

TABLE 11
PARTICIPANTS' RATING OF CONFERENCE

Responses	Number of Participants	Percentage of Participants
Excellent	23	16
Very Good	62	43
Good	48	34
Fair	6	4
Poor	0	0
NA	4	3

As shown in Table 11, participants' responses to the conference were identified; excellent, very good, good, fair, poor, and no answer. They focused on a rating of the conference. Other questions were more specific and focused on quantity and quality of information provided.

Ninety-three percent of the participants responded with positive responses of excellent, very good, and good. This finding exceeded the expectations of the investigator.

The post-questionnaire responses to the two open-ended questions for recommendations and comments yielded the following data:

TABLE 12
OPEN-ENDED RECOMMENDATIONS AND COMMENTS

The following recommendations and comments are indicative of those offered;

"Provide more information,
Make it longer
More in-depth knowledge of issues
More detail and past accomplishments on a particular issue
Provide a workshop on "getting involved" in legislative process
Opportunity for boards, students to meet each other with staff
I would like to hear more on opposing views
Continue legislative conferences
More client participation in the legislative process
Social workers can participate in policy change
What about presenting lobbying laws by profit agencies (sic).
Be more specific
Make conference two days
Possibly a student speaker, or at least one geared toward students.
Extend to two days, more of the same
Social workers should be involved more in political participation
Continue good work because it is informative
More specific information
on how to become involved in policy making
More local government involvement
More about the social work link to politics and policy change
Address the needs of students
More on lobbying and political participation
Very informative, very educational, interesting,

Very good program
 Knowledgeable, interesting speakers
 Well organized, interesting
 Stimulating and invigorating
 Good experience for those who will remain involved and for
 those who will not
 Informative for someone like myself; not well informed
 I was particularly impressed that you were able to have the
 "appropriate legislators" speak to our legislative priori-
 ties
 Although I am new to this type of operation, I found program
 very informative and dynamic
 Efficiently organized, excellently prepared and presented
 Inspiring
 Need to start on time
 Should be more directed to getting involved in legislative
 process
 Stress starting on time, rather than ten minutes late.
 Discourtesy to those who arrive on time
 Would be great to start on time, so we might have time to
 raise questions with speakers from the legislature"

It was found that positive responses far outnumbered negative responses; eighty-seven (87) percent were positive and thirteen (13) percent were negative. The over-whelming recommendation and comment was a request for "more" of the conference, and "more" of the specific conference components. The most frequently cited response in Table 12 was that the program was informative. Following closely behind was a request for additional training.

Interviews

The investigator interviewed many of the participants randomly as another mode of assessment. When participants were interviewed during and following the conference they had an opportunity to expand on their responses on the questionnaire and to introduce other areas of interest. For

the most part, participants elaborated their concerns, especially those who felt they had not had enough time allotted to participate fully in the conference program. Each participant was also able to address areas of interest particular to them. In this way, interviews served to confirm the care given to participants' concerns and frustrations personally before they left for "home". When interviewed, participants were enthusiastically anticipating participation in legislative/political activities and future conferences as long as they felt that their feelings and thoughts would be incorporated into the plans.

While issues were raised in the recommendations and comments section of the questionnaire, they were related to the investigator in interviews in greater detail. For example, one participant reported that she had met with her legislator, established a relationship, and now wanted to become an "expert" lobbyist as soon as possible. This participant felt encouraged by the contact with her elected official and the support of the investigator. Another social worker who recognized the value of NASW assistance, requested additional information related to the association. Another saw the value of participation in ELAN and PACE in helping to diminish a sense of powerlessness he had felt prior to the conference. Overall, it seemed that participants had been able to use the conference positively. Yet,

benefits were also accompanied by the persistence of issues named as primary concerns related to time constraints.

Written Record

There were no written records used in the evaluation of the conference; they were only used in the seminar.

Observation

Information gathered by the investigator through observation confirmed participants' interest in working in the established NASW programs, PACE and ELAN, as evidenced by the response to sign-up sheets for both programs. Participants were also observed enthusiastically responding to meeting with legislators and in working in political/legislative settings. Further, the following is a report of observations of the social work student intern working under the supervision of the investigator.⁶

"In spite of the extensive planning which took place to schedule legislative appointments for participants, there were a number of difficulties which occurred during the afternoon program of lobbying. These issues are listed with suggested alternative solutions:

1. There was general disagreement about whether or not the afternoon session of the conference ought to be a serious

lobbying effort by experts or a training time for students. Inexperienced students and experienced social workers came to the conference with different expectations and needs.

2. Even though some members made their own legislative appointments, many did not. This was disconcerting to the legislators and to the participants. Participants must be more aware of the way in which they interface with NASW efforts for the conference.

3. A substantial number of students came to the conference with no knowledge of the legislative process or lobbying, and they were disappointed that they would be unable to learn more. Student needs have to be addressed, and there is a need for uniformity of action. The difficulties surrounding the afternoon session of the conference, while troublesome, are a clear indication that the program was successful in generating participation and enthusiasm. Future programs must accommodate the different levels of involvement of the members in order to further the political expertise of all participants. Moreover, this needs to be done without completely separating the experts from the novices. In this way NASW will be mentoring students and cultivating a resource of knowledgeable political activities."

CONTENT ANALYSIS OF QUESTIONNAIRE RESPONSES,
INTERVIEWS, AND OBSERVATIONS

The interviews with participants, questionnaire responses, and observations provided the data for content analysis. Data were viewed in terms of program purpose, participants, location, size, time frame, organizational sanction, and program curriculum and format. The framework outlined in Chapter 3 was used.

Program Purpose

The purpose of the conference was to increase the participants' knowledge of the legislative/political process and improve their political skills. This goal was achieved as revealed in the responses to the questionnaire, in interviews, and through observations as described in Tables, 9 - 12.

Participants

Characteristics of the participants are revealed in Table 8. All participants were either social work students or social workers. Since participants elected to attend the conference, it can be assumed that many exhibited a high level of interest in the field. And although this number is not known, the findings revealed in Table 10 show that 91 percent plan to continue this interest.

An obvious advantage offered by the conference format is related to the number of participants that can be accommodated. In this case, while one hundred and forty-three (143) attended, based upon the experience of the investigator, it would have been possible to develop and implement a program for a larger number of participants.

Participants made recommendations with regard to planning future conferences on the posttest questionnaire. The conference program was addressed in various ways; e.g., an extension, more hands-on participation, more lobbying "practice", more information about policy-making, and the political process and more involvement in the legislative process.

Location

The location of the conference, a Hearing Room in the Legislative Office Building in the capital city, was a distinct advantage to the program. In fact, the entire government complex served to enhance the day's activities. Also, since Albany is centrally located in New York State, social workers from throughout the state were able to travel to and from in one day. This feature addressed the issue of cost effectiveness.

Size

The size of the conference posed no problem. And, as noted above, it was possible to expand the program if necessary. As revealed through observation and interviews with participants, speakers, and workshop leaders.

Time Frame

This issue proved to present the primary concern, as noted in the responses to the survey questionnaire and reported under "problematic issues". A one-day conference does not provide the time necessary to truly educate and train social workers new to the field. Instead, it is better suited as an introduction.

Organizational Sanction

The financial support and staff derived from the sanction of NASW was extremely helpful, and the legislative/political framework provided through ELAN and PACE was of particular importance.

Program Curriculum

It was found that the curriculum; i.e., the conference agenda, addressed areas of interest and concern.

Program Format

Using the conference format, the investigator was able to provide several program components; panel discussions, speakers, workshops, and lobbying interviews in one day. There is an advantage, then, to this format in that it allows many social workers to "learn a little about a lot". The disadvantage, of course, is that a little is not enough.

While participants described the program as, "exciting, helpful, interesting, informative and inspiring", many participants requested more information and more time.

Problematic issues

The questionnaire requested recommendations and comments in an attempt to identify problem issues related to implementation and planning.

The issues of primary concern most typically presented focused on the participants' response to the format of the conference as noted in Table 12. However, some additional aspects of the conference content were also reported to be a problem.

One participant specified the lack of prior access to position papers to be a problem. Two participants considered their greatest problems to have resulted from a lack

of information on ways in which social workers can be involved in policy making and policy change. Three responses indicated a concern less seriously related to either format or content; i.e., they would have liked lunch included in the program.

Another common concern mentioned was "starting late". Unfortunately, many buses from across the state were late due to inclement weather, and it was thought best to wait until all had arrived before beginning the program. Therefore, the ten minute delay was deemed to be unavoidable.

These findings are congruent with the analysis of positive responses in that dominant themes were related to the format and content of the conference as reported in Tables 9-12.

Effects on Participant Behavior

An additional measure of program outcome was the translation of program effects into the anticipated activities of the participants. Evidence of such application was drawn both from participants' self-reports in interviews during the conference and their responses to the evaluation questionnaire.

As reported above, questionnaire responses revealed on hundred and thirty (130) participants or 91 percent planned to pursue their interest in this field. This finding exceeded the expectations of the investigator. Many participants would like more training in the field and 93 percent found the conference to be a positive experience.

Conclusion

Although in-depth information about the public policy process had not been introduced in the program because of time constraints, there had been a major emphasis on social workers' responses to legislative issues "of the day".

The objective of having participants learn about the legislative process and skills of intervention in that process was evaluated by participants as well achieved. Many reported the program was "informative and educational". This finding confirmed the expectation of the investigator that social workers are in great need of information in this area.

Participants assisted in planning the final educational/training program through their recommendations and comments. While many participants thought that the conference had been successful and wanted more information and

preparation, several concerns addressed specific program components; i.e., the selection of speakers, workshops, written materials, and lobbying experiences.

Responses suggested that the program was successful in its goal of having a positive impact on participants' potential participation in political/legislative activities. However, findings support the investigator's judgement that the conference's broad emphasis on knowledge and training resulted in diminished focus of both, while indicating a strong need for both.

Responses were divided between those which recommended more training and those which recommended more education. Training was limited to workshops and actual lobbying experiences while education was provided through speakers' presentations and workshops. Recommendations and comments included the view that participants could have obtained the maximum benefit from the program if it had been possible to include more workshops and didactic content.

Unanticipated Program Consequences

In this project where several sources of data were used, interviews, questionnaires, and observation; all findings were searched for unanticipated program consequenc-

es. Unplanned effects were analyzed in terms of the program and their impact on participants.

It was consistently found, through all data sources, that the participants would have preferred a longer program. This finding was not anticipated by the investigator, and it has significant consequences in the development of a final educational/training program.

Consequences for Participants

At the same time that the strong desire for a more extensive program was unanticipated, and although the study's hypothesis was that participants would find the program helpful, the intensity of the consequences for participants was surprising to the investigator.

Bringing together social workers and social work students from diverse backgrounds, with an interest in political practice their only common link, had a strong impact. In this joining, other commonalities were uncovered,; e.g., political party affiliation and gender. The majority of participants were female and self-identified as Democrats. While the impact of political party affiliation was analyzed using a cross-sectional design, the impact of gender was not explored.⁷ With such a large percentage of women in attendance and, indeed, with so many women in the

profession, the variable demands exploration as it could have grave consequences for participants. In her studies, Reeser looked at the gender issue and acknowledged that, "the sociological variable of gender has been most widely researched in political and social science in regard to its effect on political participation."⁸ Her review of the literature revealed a gender difference in that men were more committed to political activism than women. This difference, however, has narrowed in recent years but, she found that there are differences between men and women in regard to types of activism.⁹ Epstein agrees and has found that male social workers are more active in both institutionalized and non-institutionalized activism than female social workers. Gender, then, has been found to be a factor in this field of study, but was unexpected by the investigator.¹⁰

Further, Reeser and Epstein, in their research, have also confirmed that while women were less politically active than men in the sixties; in 1984, male social workers no longer differed significantly in their activism from their female colleagues in several measures used. One difference remained; i.e., male social workers were more likely than females to have engaged in activist activities such as lobbying for licensure.¹¹ However, the experience of the investigator as lobbyist for the New York State

Chapter of NASW in its successful bid for vendorship proved to be an exception to this finding.

Again, although not a subject under study in this project, findings agree with later research and may have significant consequences for the participants; i.e., women at the conference professed to previous activity in the field, and a strong desire to be active in the future.

Klein has written that people turn to political action when they feel that the government has some responsibility to help remedy their problems and writes of the rise of women's political consciousness.¹² This hypothesis would provide further consequences for program participants.

Another consideration explored by the investigator through observation was the possibility that the mix of participants with government officials might have presented some difficulties. However, minimal negative consequences on participants were observed. In fact, it was seen that the presence of legislators had some positive effects.

Implications for the Social Work Profession

Although a primary goal of the project had been achieved in the successful development and implementation of a pilot educational/training program, it had not been

anticipated that a longer program would better meet the needs of participants. At the time of the investigator's follow-up visits to many of the participants, they remained firmly convinced that they wanted another, longer, conference.

Despite familiarity with the setting, the investigator had not anticipated that the culture of government which abounds in Albany would provide such an invigorating experience. In addition, the eager response of the participants to the conference led the investigator, as the conference coordinator, to an increased awareness of a need within the profession for more education/training in the field.

However, despite many positive effects, the investigator's expectation of educating and training social workers in the legislative/political process within a day-long conference format was too ambitious. In order to develop and incorporate in-depth training into the social work professional's knowledge and skills base, a program of longer duration and greater specificity is required.

In summary, the evaluation of this program has illustrated strengths and weaknesses of the project as implemented. Participants benefitted in numerous ways and reported considerable satisfaction with the program as

undertaken. Valuable suggestions will be incorporated into a final educational/ training program model in Appendix 3.

Thus, while the project's goals were not fully attained, primary objectives such as the generation of new data related to social work education/training in political activities and the provision of input for a final program were achieved.

B. SEMINAR

Participant Data Questionnaire

An evaluation questionnaire was administered to all students following the last class. (see Appendix 2) This evaluation form consisted of three open-ended questions which allowed freedom of response.

Evaluation of Public Policy Process Seminar

POSITIVE RESPONSES

Students identified the following to be the most satisfying aspects of the seminar:

Seminar Format

Guest speakers

Superior knowledge and pertinent experience of instructors
Action-oriented approach to learning

Involvement of officials actually engaged in the process as
guest speakers

Content

Diverse presentations

Instructors' knowledge of topic area was (is) impressive

The best part of the course is its departure from stringent
academia where there is often little concern for
reality.

Interplay of two instructors was great.

Speakers were excellent

I enjoyed confidential, behind-the scenes information and
perspectives by both speakers and instructors.

Opportunity to spend time in and around the Capitol, became
familiar with where things are.

What wonderful speakers were invited to attend! I really
appreciated hearing so many people involved in the
public policy process as experts explain their roles,
their perspectives on the process, their opinions and
views.

These things are tough to compose in a couple of minutes---

The instructors were both very able and encouraging and
stimulating teachers.

I'm thrilled this is part of the curriculum.

As illustrated, many students responded positively to the
seminar content and format.

NEGATIVE RESPONSES

Students identified the following to be the most disappointing features of the seminar:

"Lack of related reading materials to help students develop
knowledge. This would be extremely helpful to overall
involvement in process since most students do not have
prior experience in legislative process."

Biased views on some issues

There were times that I didn't feel that my questions were
answered. A tendency to put off until later or to put
off in general would happen around speakers and in
classroom time. Living outside of Albany, I felt there

were several things that I missed out on; i. e., press coverage, special events.
Well, I loved the course. I certainly think I've gained a lot from it. But I do think the Assembly and Democrats were characterized as being on the right side of all the issues, and public policy initiatives from the Senate were consistently just not mentioned, or more often enough characterized as obviously deficient. It's hard to believe things are so neatly polar."

As shown, there were less negative responses to the seminar than positive. Dissatisfaction focused on lack of reading materials, a perceived bias when viewed from NASW's perspective, and a limited problem with the location of the school.

The following suggestions and comments were made on the seminar evaluation form.

TABLE 13

OPEN-ENDED SUGGESTIONS AND COMMENTS

"Instead of the class requirements, we could have had one final paper (to include a brief as an introductory piece) oral presentation at mid-term, but without a paper.

More emphasis on reality of competition for scarce resources and limitations of government to solve problems.

Obviously, the mid-term paper and final need more clarity. In an environment where one is evaluated, expectations must be met.

Perhaps more sessions could be devoted to lobbying and advocacy.

Although instructors fully discussed with me the format of the course before I chose to register, I didn't fully grasp the limitations of not living in Albany. This was perhaps the most stressful issue for me. However, if I'd let that prevent me from taking this course, it would have been unfortunate since I really feel that I learned a tremendous amount about the legislative process. Prior to this course, I was totally uninformed re: legislation in New York State. Now I feel as though I begin to understand how the process works, and where I might make an impact.

I'm not sure what to suggest. On the question of the paper(s) I think they're pretty well structured, but I think it took a good deal of effort and persistence to get a handle on what the assignments were (substance, not process).

Thanks very much."

In Table 13, three students, twenty-five percent of the class, commented on the written requirements. Two students recommended a greater emphasis on "reality and all perspectives." One student recommended training in lobbying. A note of gratitude was expressed by one student. One response reflected a concern with the location of the

seminar, but was countered with the student's acknowledgment "...that I learned a tremendous amount....."

Interviews

Students were also interviewed following completion of the evaluation questionnaire and on a random basis throughout the semester. Since the class was small, it was possible to elaborate on the standardized evaluation form in informal discussions with the students as reported in Table 17. Interviews revealed that as knowledge in the public policy process increased, confidence in students' perceived ability to become actively involved in political/legislative activities also increased. During the last class of the semester, students expressed an enthusiastic response to the seminar and a desire to have it incorporated permanently into the school curriculum.

Discussions with students revealed several program goals had been met related to beliefs, attitudes, and anticipated behaviors. Several students stated that feelings of detachment from government officials had decreased and enabled them to change their attitudes about "politicians". Others expressed an interest in "getting involved".

Some students specified that the modifications of their perceptions of the process resulted from both the content and the format of the seminar. One student stated that the seminar was "...exciting and made learning come alive". Another student noted that "...fear of entering the murky waters of politics had disappeared".

Follow-up interviews one year later with three students revealed they were activity involved in legislative/political activities; one is working for an Assemblyman and two others are members of ELAN.

Table 14 indicates students' responses following informal interviews with the investigator when asked about satisfaction with the seminar.

TABLE 14
SEMINAR QUESTIONNAIRE RESPONSES
n = 22

	SA	A	D
SD			
Satisfied with seminar	10	8	3
1			

As indicated in Table 14, eighteen students, eighty-two (82) percent, were satisfied with the seminar.

The one student who was strongly dissatisfied had not completed course requirements, was frequently absent, and subsequently failed the course. The instructors' attribute the finding revealed in the table to the student's performance and grade. It was found that this student also performed poorly in other course work.

The Written Record

All students, but one, submitted an oral and written brief and a final paper. These documents were analyzed and found to be satisfactory in that they provided evidence of knowledge gained and skills obtained.

Attendance records exceeded the norm of the school for the semester indicating a continuing interest in the class throughout the semester. This finding is confirmed by students' comments. Overall, students' final papers re-

flected not only knowledge gained in the seminar, but also increased interest in the subject matter.

Observation

Political beliefs and attitudes of students were expressed in class discussions and in the question and answer periods with guest speakers. As observed and recorded by the investigator, they again reflected a growing knowledge of the subject matter and an intensity of desire to become involved in the process.

Observation of the students showed an enthusiasm that, at times, had no bounds. Feelings of empowerment, long denied social workers in the political arena, were expressed with guest speakers.

CONTENT ANALYSIS OF QUESTIONNAIRE RESPONSES, INTERVIEWS, WRITTEN RECORDS, AND OBSERVATIONS

Questionnaire responses, interviews with participants, written records, and observations provided the data for content analysis. The data were viewed, as for the conference, in terms of program purpose, participants, location, size, time frame, organizational sanction, program

curriculum and format using the framework outlined in Chapter 3.

Program Purpose

The purpose of this pilot program was the same as that of the conference; i.e. to increase students' knowledge of the legislative/political process and improve their political skills. This goal was achieved as revealed in the responses to evaluation questionnaire, through interviews, written assignments, and observation by the investigator as described in Tables 13 and 14.

Analysis of the questionnaire results described in these tables illustrates that some objectives were more successfully achieved than others. The investigator's expectation that the development of knowledge and skills in the legislative process would be learned was achieved. The acquisition of skills, however, was less thoroughly reached. This finding became evident when interviewing students in the last classes of the seminar and in the reading of the written materials submitted by the students.

Participants

All twenty-two students enrolled in the seminar were matriculating students at the School of Social Welfare, State University of New York at Albany. Since this was an

elective course, the students all were highly motivated and desirous of information related to political participation for social workers.

Students' ages covered a wide range; some attended school on a part-time basis, some were full-time students; and there were more men in the class than women.

Unfortunately, the seminar format served only twenty-two students. It would have been possible to accommodate approximately ten additional students, which is still a relatively small population compared to the conference program population of one hundred and forty-three (143).

Students made recommendations in planning future seminars as did the conference participants. These recommendations were made on the questionnaire and focused on changes in content (see Table 14). The seminar format was found to be highly rated by the students; all students recommended a continuation of this format.

Location

The School of Social Welfare at SUNYA is located at what is known as the "downtown" campus. This site is close to the government complex of office buildings and

within close proximity to the Legislative Office Building, the Conference site, and the Capitol.

Several students, who were commuters, found it difficult to enjoy the enrichment offered in field trips in the surrounding area. However, most students found the environment to be stimulating, and it proved to facilitate active learning of the student.

Size

The seminar accommodated twenty-two students. This number was expected when developing the seminar curriculum. It was possible to accommodate this number of students at off-site locations with no difficulty, and to work comfortably within a seminar format which demands open discussion.

Time Frame

The seminar was developed and implemented in line with the school calendar; it was presented during spring semester as described in Chapter 3. This period of time proved to be long enough to reach the projected objectives and goals of the program.

Organizational Sanction

As noted in Chapter 3, the School of Social Welfare, State University of New York at Albany, was very supportive of the seminar approach to the teaching of the public policy process. Both instructors were very familiar with the setting and other faculty members. This familiarity facilitated easy access to school resources and student requirements and needs.

Program Curriculum

The seminar curriculum presented an in-depth study of the public policy process and the role of social workers in this process.

Program Format

The pilot program format, a seminar model, presented the opportunity for active learning throughout the semester. Data from all sources showed that students responded in a positive manner to this format.

Problematic Issues

The questionnaire responses revealed problem areas as reported in Table 16 and exploration, through interviews, of the most problematic issues generated additional data. When students were asked to consider the issue most problematic to them, three reported the required papers to be a

problem. The student who noted the location of the seminar to be a problem modified her concern in class discussions. Although these problems had been identified in the questionnaire, students were able to elaborate upon them in discussion.¹³

Effects on Students' Behavior

An additional measure of program outcome was the translation of program effects into the activities of the students. Evidence of such application was drawn both from students' self-reports during the seminar and the responses in interviews.

Follow-up interviews revealed that five students were pursuing their interest in this area of study through the New York State Chapter of NASW.

Evaluation of the seminar through a survey questionnaire, interviews, written records, a brief, a final paper, and observation was intended to demonstrate any program effect and satisfaction with the actual program.

A measure of program outcome was the translation of program effects on the students. Evidence of such application was drawn from interviews with students during

the seminar, students' responses to the evaluation questionnaire, written papers, and behavior.

When questioning the students' views, careful consideration was given to the focus and wording of the answers. When the written suggestions and comments failed to give detailed data, it was possible to expand on the investigator's understanding of the student's perspective. The same premise held true when grading the written assignments and the oral brief.

It was found that students applied the knowledge gained in a substantive manner when writing their briefs and final papers.^{14,15,16,17,18,19}

Seminar Content

The objective of having students offer solutions to issues in their final papers was evaluated. All achieved this goal. This provides confirmation of the in-depth knowledge that the students gained through active learning.²⁰

The objective of having students present an oral and written brief was assessed and less successfully achieved. This goal may have been too demanding for this student population since none had previous knowledge or

skill in this type of public policy activity. This was a surprising finding. It suggested that some other aspects of planning, such as the presentation of the assignment, demanded more specificity and acknowledgement of students' knowledge base.

All students thought that the program had been successful in "introducing" them to legislative/political activities. The size of the class, the length of the semester, the location of the school, the instructors and guest speakers were all identified as important aspects of the program's success.

At the completion of the seminar, students felt prepared to begin to participate in legislative/political activities as compared to before the program. Responses suggested that the program was successful in enhancing such feelings of competence. Students reported feeling more assured in their activities in this field of practice.

Students were also asked about factors contributing to increased interest in the area. The most frequently cited response in class discussions was the value they placed on the knowledge and skills gained and the enthusiasm and knowledge of the speakers and teachers. This finding confirms the writings of Perlman; i.e., ..."the power that

is held by one who is to be an influential teacher is that of knowledge and know-how" as reported in Chapter 3.²¹

Students referred to "wonderful" and "excellent" speakers and "great interplay" between the two instructors. Others noted the openness of the guest speakers and the knowledge of the teachers.

Aspects of the program that were least liked were identified and are reported in Table 16. One student felt his questions were not answered, and several objected to a "NASW bias".

All students identified the seminar's value in teaching and training social workers in the public policy process. Students made recommendations with regard to planning future courses. Several recommendations were related to course assignments. Because the papers assigned were also viewed as the most problematic component of the course, the investigator pursued the value of the assignments in interviews with the students. Findings of these discussions are reported in Table 15.

In relation to program content, responses were divided between those which recommended no changes at all

and those which recommended more training in skills, especially lobbying.

As noted earlier, discussion of the educational component of the seminar included the view that the class could have obtained a maximum benefit from additional training opportunities. It was suggested to the investigator that an appropriate time for inclusion of training could be in a field placement which would accompany the seminar. This recommendation peaked the interest of the investigator since, as reported in Chapter 1 of this study, NASW is supporting placement in this field through scholarships.²²

Table 15 identifies the objectives reached through course assignments of an oral and written policy brief and a final paper.

TABLE 15
SIGNIFICANCE OF COURSE
ASSIGNMENTS FOR LEARNING

Responses Regarding Assignments	Number of Students	Percentage of Students
	22	100.0
Provided enrichment for class	10	45.0
Provided insight into public policy process	18	82.0
Infinitely helpful	16	73.0
Too difficult (brief)	4	18.0
Needed more clarity	1	5.0

Following the completion of the seminar, students were asked about their interest in continuing study in this subject area. Findings are reported in Table 16.

TABLE 16

STUDENT REPORTS OF INTEREST IN A SECOND SEMESTER OF THE SEMINAR AND WILLINGNESS TO RECOMMEND IT TO OTHERS

Responses	Number of Students 22	Percentage of Students 100.0
Interested in taking a second semester	15	68.0
Would recommend seminar to others	19	86.0
Would not recommend seminar to others	3	14.0

As indicated, fifteen students expressed an interest in a second seminar, nineteen would recommend the seminar to others, and three would not. This finding met the expectation of the investigator.

Table 17 identifies the additional comments that were made by students relating to the content of the seminar.

TABLE 17
ADDITIONAL STUDENT COMMENTS REGARDING THE SEMINAR

Comments	Number of Students	Percentage of Students
	22	100.0
Need increased reading materials and handouts.	11	50.0
Questionnaire was too superficial	9	41.0
Less written assignments, one paper instead of two with an oral briefing for mid-term	8	36.0
More emphasis on reality of scarce resources, other perspectives, and the limits of government to solve problems.	14	64.0
More classes devoted to lobbying	18	82.0
Impact of living out of town proved to not be a barrier.	7	32.0

Unanticipated Program Consequences

Weiss points out that in program evaluation unplanned effects may be observed both by informal and by structured measures.²³ In this project the several sources of data used uncovered effects that had not been anticipated. All findings, including the interviews, questionnaire responses, observations, and seminar assignments were searched for unanticipated consequences. Efforts were made to take into account interrelationships between students' satisfaction with content and format. Unplanned effects were analyzed in terms of their impact on participants, social work education, and the social work profession.

Consequences for Students

The study's hypothesis was that participants would find the programs helpful for increasing their effectiveness in legislative/political activities. Although it was assumed that knowledge gained in the both programs would also motivate participants to increase their activities, the overwhelming response to the subject from the students was unexpected by the investigator.

Follow-up interviews revealed several participants are employed in legislators' offices and several are actively engaged in local NASW ELAN and PACE programs.

Implications for Social Work Education

Although a primary goal had been the exploration, development, and implementation of two types of training formats related to legislative/political activities in an attempt to uncover the best approach; it had not been anticipated that the seminar format would be so positively received. At the time of the investigator's follow-up contacts students continued to express enthusiasm for the seminar and were requesting more of the same type of course.

Consequences for the Social Work Profession

Despite familiarity with the subject and the settings, the investigator had not anticipated the full

impact of both formats on participants. However, in the seminar, the eager response of the students to the "live" environment of the classes led the investigator, as one of the instructors, to realize that social work students need the content offered, and that they desire the time that a semester course allotted to the presentation of the subject matter.

An unanticipated consequence has arisen since the implementation of the pilot programs. An interest in the training of social workers in public policy has been expressed to the investigator by the Center for Women in Government.²⁴ This interest may have further implications for future collaboration and offers further supports to the hypotheses of this study.

The evaluation of the seminar pilot program has illustrated strengths and weaknesses of the project as implemented. In the main, however, participants benefitted in numerous ways and reported considerable satisfaction with the program as undertaken. Valuable suggestions for modification emerged, although most participants found relatively little that they disliked with the program. The project's objectives were obtained and new data related to social workers' legislative/political activities were generated.²⁵

The information from all data sources indicates that the seminar, especially, achieved its desired results at a relatively high level. These findings support the expectations of the investigator that active classroom learning and intentional motivation provide an effective means to deepen the understanding of the area of study.

The findings also indicate that the instructional objectives of the seminar were achieved. Project results indicate a high degree of accomplishment for each of the four criteria of program success as follows:

- a. increased knowledge of content area
- b. increased ability to apply learning
- c. increased skill in political research techniques
- d. attitude shifts toward more understanding of politicians and problems of working in field of political practice

Knowledge Test

Two written assignments, one a brief, were used to test students' knowledge of the subject matter of the course. Results indicate that the students far exceeded expectations on the final paper, while the brief posed some difficulties. Students were familiar with the format of a "paper", but the uniqueness of a "brief" presented difficulty.

Political Attitudes and Beliefs Test

Political attitudes and beliefs were assessed from questionnaire responses, interviews, and observation of class participation. The recommendations and comments were viewed in terms of attitudes directed to knowledge of political practice and program format. A strong positive attitude was expressed by all students relating to the seminar format. In response to the a question on content, attitudes varied as noted in survey results.

It seems likely that many of the students responses touched on their value base where issues such as political party affiliation, political posture, and the student's sense of self and developing sense of professional identity and professional ethics were called into question.

Despite methodological and conceptual difficulties encountered in the use of a limited questionnaire and other sources of data collection, a picture of students' perceptions about the interface of politics and social work is presented.

The responses, as indicated earlier, show a high degree of program success in achievement of program goals. Of greatest value in the results is the sense that the students gained in clearly identifiable ways in understand-

ing the public policy process and in developing a generally more positive attitude toward working with politicians and their staff in cooperative situations. Dealing with these issues should aid students in developing competency in this difficult and critical practice area.

SUMMARY

Analysis of both educational formats reveals the objectives of the investigator were relatively successfully achieved. An original expectation that information presented in a conference format would be of interest to social workers and that the knowledge imparted would increase effectiveness was partially fulfilled; i.e., interest was evident, but more information was desired and needed if social workers are to become more effective in the political arena. The conference participants interested in additional skills training and knowledge pressed their interests in this direction. Participants were particularly interested in learning more about lobbying skills.

The seminar, by contrast, met the expectations of the investigator through expressed satisfaction with the format and content of the curriculum. The specific information taught in the in-depth presentation of the public policy process provided a framework which was previously

absent from the students' social work education. The seminar also provided an opportunity for students to learn new skills as they exchanged ideas with each other, the instructors, and the "experts in relation to the role of the social worker in the public policy process. In addition, students expressed a desire to receive even more training in relevant skills.

Students in the seminar reported definitively that the course was successful in helping them become less intimidated by public officials. This supports the analysis of active learning.²⁶ It also confirms the investigator's expectation that students, themselves, would take an active role in learning when "experts" were accessible.

In summary, the development of training programs in the political field of practice was substantially achieved. The conference served a greater number of social workers in a shorter period of time. However, the trade-off was in content. Essential areas of study received only superficial attention. The conference, then, is viewed as a possible adjunct to study in the legislative/political field.

The seminar, on the other hand, addressed a smaller number of social workers over a longer period of

time. Thus, topics of interest and concern could be explored in depth. In addition, although a smaller population was served, many of the students had previously found no educational/training programs available to them in this field, and looked forward to a permanent place for a program of this nature in the curriculum.

Thus, it was found that social workers can contribute and benefit from educational/training programs in the legislative/political process; that the goals of this project were achieved.

CHAPTER ENDNOTES

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14. The following notes credit the students who took part in informal discussions with the investigator: Jeri Burns.
15. Barry Donovan
16. Amy Button
17. Susan Montrose
18. The following notes credit the students who submitted papers and briefs that can be found in the appendix:
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20. Malcolm, "Innovations in Teaching Styles and Approaches Based Upon Adult Learning," Journal of Education for Social Work, Spring, 1972, pp. 32-39.
21. Helen Harris Perlman, "....And Gladly Teach", CSWE Fifteenth Annual Program Meeting, January 26, 1967, Salt Lake City, Utah, pp. 110-121.
22. PACE Taylor Scholarships will go to students engaged in political social work field practicums. The awards commemorate Alfred V. Taylor, who devoted his social work career to advocacy and community service.
23. Carol H. Weiss, Evaluation Research, Englewood Cliffs, New Jersey, Prentice Hall, Inc., 1972., p. 34

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25. School of Social Welfare, State University of New York at Albany.
26. Knowles, op. cit.

CHAPTER 5

CONCLUSIONS AND IMPLICATIONS

This project, which entailed the planning and implementation of a curriculum in legislative/political activities for social workers, was undertaken to develop an educational approach and an appropriate instructional methodology for social work education. In an extension of social work's emphasis on political participation, an hypothesis of the project held that social workers were ill-prepared for such practice, and that direct experience and active learning situations would provide an enriched and intensified experience to students.

Both test models, the seminar and the conference, proved to be a means of preparation for social workers in this field of practice. The project evaluation, in qualitative measures, indicates a high degree of achievement of the desired goals. Both seminar students and conference participants expressed a high level of interest in the subject matter and expressed a concern that education in this area of study be expanded.

However, the investigator, following the evaluation outlined in Chapter 4, found that, of the the two programs, the seminar better prepared social workers for participation in this field. Therefore, the curriculum model presented follows the seminar format while incorporating popular conference features, student recommendations, and instructors' observations.

The development and presentation of the project accomplished the following tasks:

1. Provided an historical perspective on social workers' involvement in legislative/political activities.
2. Developed an historical ground for the study of current social work political participation.
3. Developed and implemented two pilot education programs for social workers in the legislative/ political field; one a graduate seminar and the other, a legislative conference.

The site chosen for implementation of the seminar was a school of social work in a large university. The sample group was restricted to matriculating graduate social work students who elected to take the course for one semester. The group was composed of twenty-two students.

The conference was presented in the Legislative Office Building in Albany, New York, the center of government for the state. One-hundred forty-three conference participants attended from throughout the state of New York, some were experienced social workers and some were not. Many were members of NASW.

The test programs, which were implemented in 1988 differed in content and format; i.e, the seminar presented an educational approach focusing on the public policy process and the conference attempted to train participants in the skills necessary to participate in the legislative/political process.

4. Evaluated the programs' success based on analysis of participants' programs' evaluations, interviews with participants, written records submitted by students, and observations of participants. Secondly, the evaluation assessed the outcome of the programs in terms of their effects on participants.

The testing of two separate and unique pilot programs served to assure that observed effects were due to that particular program, in the absence of a control group. Thus, the project is not, in Weiss's terms, "the prisoner of its setting".¹

5. Developed a curriculum design for an graduate course in social work in this field of study. It is intended that the curriculum design be transferrable to other settings; that it offer increased specialization in politically-related social work, and provide a means for greater flexibility in curriculum approaches in MSW programs.

Outcome

This project confirmed the hypothesis that the preparation of professional social workers who can function effectively in the legislative/political arena demands increased curriculum attention to and inclusion of relevant content and opportunities for learning appropriate strategies and techniques in the field. Present and future needs of the social work profession call for curriculum expansion in these areas.

However, many social workers are currently participating in a field of practice for which they have received little or no formal education. The investigator has found that learning situations involving social workers in the legislative/political process can assist them in clarifying their specialized practice methodology and knowledge base. Of the several means of professional education available, the project discussed in this study tested two pilot curriculum models for social work professional education. Both

models were designed to assist social work students in gaining the knowledge and skills needed for effective intervention in the legislative/political process.

Evaluation of the pilot programs revealed the more appropriate model to be a curriculum which expands upon the pilot seminar program to cover not only content in the legislative/political process, but also address methods of practice in training modules. The model could offer a course to students in which substantive issues and practice orientations could be discussed in the detail presented in the pilot seminar and could also involve some training experience.

Thus, the program discussed in this study presents a curriculum model for social work professional education. The hypothesis of the curriculum model presented is that active classroom learning and intentional motivation will provide, in contrast to lecture alone, a better means to deepen students' understanding of the legislative/political process and increase knowledge and understanding of the different skills of intervention in the process. This model was designed to assist social work students in gaining the knowledge and the skills needed for effective intervention in the legislative/political process.

The results of this project indicate that this model also has application for the development of other programs for social workers. The model can be transferred directly to other settings related to schools of social work. With appropriate content modification, the model can be applied in specialized practice areas working with those in the public policy process and/or legislative/ political process.

The project design has several implications for curriculum development in social work education. It provides for advanced specialization and offers curriculum flexibility to incorporate learning in a new field of practice in graduate professional education. The model offers a means for social work to build on and broaden its strength in preparation for complex practice areas. Education for social work should be geared to changing needs. For students, education in the legislative/political process can provide for the development of flexibility in practice areas and empower them in the participatory democracy in which they practice.

The findings of this project can apply on a larger scale for curriculum development in professional and human service programs and for application to educational programs in a variety of professions in formal professional degree

programs, but can be modified for in-service training or continuing education for persons actively engaged in legislative/political activities.

All human service professionals can develop expertise in legislative/political activities to improve service delivery. Different education models will depend on the available resources and professional orientation. Following are social work applications for the curriculum model presented in this project.

Advanced Course

Social work curricula should provide the opportunity for practice specialization in the legislative/political field. The first step in such a specialization would be the creation of an advanced course in the public policy process and methods and strategies of legislative/political activities. The present project provides a framework for the development of such specialized courses.

Sequence of Specialized Courses.

A sequence of courses related to the legislative/political area is another means of providing greater training at the graduate professional level. This could include politics and social work offered as part of a modularized curriculum in which all students' course work in the public policy

process and legislative/political methods as well as field practice are focused on a given system. Such a focus can provide intensive learning about one area of practice and also provide students with a framework to learn how to learn about political practice.²

In-service Training and Undergraduate Education.

The program model presented provides structure and flexibility in curriculum design which can be modified as desired to apply to other settings and available resources. In-service training offers one setting where the program model can be adapted for teaching competence and outside resources. If the social work profession, through the expansion of NASW ELAN and PACE, continues to promote the field of political practice as a mechanism for delivery of services, there will be an increasing need to engage more seriously in political practice training and education. The model can also be modified to fit the needs of BSW programs so that students who will work primarily in political practice can develop an ability to function in a variety of legislative/political situations as one of their major responsibilities.

Continuing Education.

Another possible application is in continuing education programs specifically designed for legislative/political

areas such as candidate fund-raising, political campaigns, and lobbying. Specialized programs in these areas would be of great use to the social worker who wishes to primarily participate in these activities.

Specialized Master's programs.

A fourth application of the curriculum model would be its incorporation into a specialized Master's program. Such advanced preparation can offer specialization for those interested in professional application of their knowledge and skills in the legislative/political field.

Issues and Future Directions

There are several further issues to be addressed in developing legislative/political programs in social work education. For any given area, the practice needs and educational resources available to provide for this field of study must be assessed as part of any planning process. There is a need for further work to determine the possibilities and effects of different locations, settings, and students. Different balances of class discussions, guest speakers, training periods, field experiences and other active learning methods need to be explored. There is also a need to explore possible ways of providing for more active experiences in practicums and in practice classes. Legislative intern programs available in some areas could be incor-

porated into field experiences. Such a program in the New York State Legislature was begun in the 1970s and is available for students in many fields of study. In 1990 138 students were accepted for the program.³ When available, this type of program can enrich the curriculum.

A significant finding of the present project which requires further investigation was that without intentional instructional intervention in changing attitudes related to elected officials, students become more positive towards government representatives on their own.

The goals of the present project and the implications deriving from it related to the major directions for professional education advocated by Edgar Schein in a study of professional education.⁴ That is, new curricula and new career patterns should be developed to accommodate the increasing complexities of changing social needs and social organization. Social workers, through NASW, are encouraged to meet these complexities through an increased emphasis on political practice.

This being so, it is the responsibility of professional education to prepare students to function effectively in the political arena. The inclusion of course content and active learning experience can be a means of developing

readiness to learn in this practice area as students see and understand the applicability of political practice in their career plans and see the implications of the effects of political participation in their work.

Implications

The implications for use of education in the field of legislative/political practice are numerous. There may be immediate effects on the preparation and focus in graduate education. As increasing numbers of social workers are trained in this work; and as their competency swells, a new specialization may develop. Such a development would greatly influence services to clients and could aid in the development of service delivery systems.

As this educational/training project demonstrates, it is possible for social work education to increase students' understanding of the legislative/ political process and train them in the skills necessary for effective intervention in this process.

Project results also indicate that students' attitudes towards political practice are extremely positive and that they are eager to increase their knowledge and skills in this area. This finding indicates the need for social work education curriculum to include training and

education in the legislative/political field as a basic requirement for the establishment of professional competence. Training that eliminates some of the barriers to effective political participation will encourage the development of strategies to mitigate the effects of three major factors affecting legislative/political activities; feelings of lack of efficacy, worthlessness, and apathy.

Social work clearly can have a particular function to play in the political arena to facilitate the delivery of social services. As the profession continues to emphasize the significance of political practice, and if education and training in the legislative/political process is incorporated into the graduate curriculum for social work; social workers can carve out a base of service and take on the responsibility for coordinating human and social service legislative/political efforts. Social work students probably receive more education than do other professionals in community organization, group work, and case management. It seems possible that if the profession continues its thrust into political activities, it could assume a more pivotal role in these activities, developing legislative initiatives and regulatory guidelines while implementing and delivering the services. This responsibility moves the focus of social work practice to include social and political management. Such a model of political practice would strengthen the base

of social work and would fill a gap in the development of human and social service programs which presently often causes serious problems for clients. The challenge for social workers to participate in the legislative/political process was met in the past and can continue if they have the knowledge and skills necessary to cope with the intricacies of present-day legislative/political activities.

CHAPTER ENDNOTES

1. Carol H. Weiss, Evaluation Research, Englewood Cliffs, N.J., Prentice-Hall, Inc., 1972, p. 79.
2. Craig Brandon, The Times Union, "Program Peels Away Illusionss of Government for Students," March 11, 1991, B-4
3. Ibid.
4. Edgar H. Schein, Professional Education: Some New Directions, New York: McGraw Hill Book Company, 1974, Chapter 7.

Appendix 1

Pretest survey questionnaire of NASW chapters
Survey questionnaire of NASW employed
Array of NASW chapters by size
Cover letter 1
Cover letter 2

CHAPTER _____ RESPONDENT'S NAME _____

ELAN	PACE	
_____	_____	YEAR INITIATED
_____	_____	STAFF (hrs. per week)
_____	_____	BUDGETARY ALLOCATION (% of tot. bud.)
_____	_____	LOBBYIST (paid/volunteer)
	_____	SEPARATE BANK ACCOUNT

LEGISLATIVE PRIORITIES

1986

1987

_____	_____
_____	_____
_____	_____
_____	_____

LICENSURE/CERTIFICATION _____ Yes _____ No

If yes, when obtained _____

VENDORSHIP _____ Yes _____ No

If yes, when obtained _____

CHANGE IN LEVEL OF LEGISLATIVE/PACE ACTIVITIES FROM 1977 TO 1987

	ELAN	PACE
Significant increase	_____	_____
Increase	_____	_____
No Change	_____	_____
Decrease	_____	_____
Significant decrease	_____	_____

	<u>ELAN</u>	<u>PACE</u>
YEAR INITIATED	_____	_____
STAFF	_____	_____
BUDGETARY ALLOCATION (% of total budget)	_____	_____
LOBBYIST (Paid/Volunteer)	_____	_____
SEPARATE BANK ACCOUNT (applicable to PACE only)		_____

Data Collection Instrument

LEGISLATIVE/POLITICAL ACTIVITIES OF NASW CHAPTERS

Please complete each item to the best of your knowledge. If you do not have access to the information requested, leave blank.

CHAPTER: _____ NAME: _____

	<u>ELAN</u>	<u>PACE</u>
YEAR INITIATED:	_____	_____
STAFF (Hours Per Week):	_____	_____
BUDGETARY ALLOCATION (% Total Budget):	_____	_____
LOBBYIST (Paid/Volunteer):	_____	_____
SEPARATE BANK ACCOUNT (Applicable To PACE Only): ..	_____	_____

LEGISLATIVE PRIORITIES:

<u>1986</u>	<u>1987</u>
_____	_____
_____	_____
_____	_____
_____	_____

LICENSURE/CERTIFICATION: No ☐ Yes ☐ If Yes, when? _____

VENDORSHIP: No ☐ Yes ☐ If Yes, when? _____

CHANGE IN LEVEL OF LEGISLATIVE/POLITICAL ACTIVITIES FROM '77 - '78

	<u>ELAN</u>	<u>PACE</u>
Significant increase .. ☐	☐	☐
Increase ☐	☐	☐
No change ☐	☐	☐
Decrease ☐	☐	☐
Significant decrease .. ☐	☐	☐

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ALPHABETICAL SUMMARY OF NASW CHAPTERS BY SIZE FY 1987-88*

<u>SMALL CHAPTERS</u> (Membership below 500)		<u>MEDIUM CHAPTERS</u> (Membership 501-2000)		<u>LARGE CHAPTERS</u> (Membership over 2000)	
<u>Chapter</u>	<u>#</u>	<u>Chapter</u>	<u>#</u>	<u>Chapter</u>	<u>#</u>
1. Alaska	277	1. Alabama	768	1. California	19382
2. Arkansas	447	2. Arizona	1182	2. Connecticut	2498
3. Delaware	242	3. Colorado	1665	3. Florida	3297
4. Europe	259	4. Georgia	1405	4. Illinois	6593
5. Idaho	183	5. Hawaii	548	5. Indiana	2150
6. Mississippi	304	6. Iowa	1005	6. Maryland	2751
7. Montana	174	7. Kansas	1234	7. Massachusetts	6639
8. Nebraska	442	8. Kentucky	930	8. Michigan	5942
9. Nevada	193	9. Louisiana	1677	9. New Jersey	4484
10. New Mexico	415	10. Maine	634	10. New York City	7618
11. North Dakota	281	11. Minnesota	1987	11. New York State	8880
12. Puerto Rico	107	12. Missouri	1924	12. Ohio	4381
13. South Dakota	159	13. New Hampshire	535	13. Pennsylvania	4708
14. Vermont	343	14. North Carolina	1677	14. Texas	3939
15. Virgin Islands	25	15. Oklahoma	879	15. Metro Wash, DC	2199
16. West Virginia	427	16. Oregon	1079	16. Virginia	2129
17. Wyoming	<u>131</u>	17. Rhode Island	782	TOTAL	77,590
TOTAL	4,409	18. South Carolina	698		
		19. Tennessee	1281		
		20. Utah	609		
		21. Washington	1844		
		22. Wisconsin	<u>1962</u>		
		TOTAL	26,305		

* Based on 6/30/87 NASW Membership Statistics

Small, Medium and Large Chapters represent 4%, 24%, and 72% of the total membership, respectively

November 20, 1987

Dear Executive Director,

In my position at the New York State Chapter of NaSW as Director of Legislation and Political Action, my primary interests/responsibilities lie with staffing our ELAN and PACE and serving as the chapter's lobbyist. In the five years that I have been in this position, I have developed an interest in our members' participation in both programs.

I know all chapters have an ELAN program and 40 have a PACE. However, I have been told by staff at the national office that dimensions of the programs vary greatly.

In an attempt to gain a better understanding of these variations, I would appreciate it if you would take the time to complete the enclosed form. Any narrative you wish to add would also be helpful, and I will pass it on to National so that it will help all of us. I also plan to use it in my academic studies if appropriate.

I have enclosed a self-addressed, stamped envelope for your convenience.

Thank you very much for taking the time to provide me with this information.

Sincerely,



Carole O. Smith, ACSW

Enc.

January 2, 1983

Dear Executive Director/Staff

On November 20 I sent you a letter and an ELAN/PACE form to be completed along with a stamped-self addressed envelope. To date, I have received responses from thirty chapters, but your response is not among them.

Since we would like to be able to account for every Chapter in this survey, I am again asking you to take a few minutes to complete the duplicate form I have enclosed in case the original has been lost or misplaced.

Please return it to me as soon as you can.

Sincerely,


Carole O. Smith, ACSW
Director of ELAN and PACE

Enc.

Appendix 2
Evaluation Instruments

Participant evaluation of seminar
Conference participant pretest
Participant evaluation of conference

STATE UNIVERSITY OF NEW YORK AT ALBANY

School of Social Welfare

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Course Number Instructor's Name
Call Number Year_
Semester: Fall Spring Summer

1. In your opinion, what were the most satisfying things about the course?

2. What were the most disappointing things to you about the course?

3. Other comments and suggestions for improving the course.

Date _____

Social workers are becoming more involved in the political process in New York State and throughout the country.

NASW NYS Chapter's Legislative Program is aimed at helping you become a more effective advocate for yourself, your profession and your clients and an active participant in public policy formulation.

We are conducting a survey of participants to better know who they are and what they need.

Please take a couple of minutes to answer the following questions. Your responses will be added to those of others throughout the state and evaluated at the conclusion of the program.

DIRECTIONS: You may find that you agree with some of the following statements and disagree with others. Please indicate your agreement or disagreement by stating **STRONGLY AGREE, AGREE, DISAGREE** or **STRONGLY DISAGREE** to each statement.

1. I feel that social workers should be involved in political activities.
2. I feel that all politicians are unethical.
3. I would like to know more about this subject.
4. I approve of political action committees in general.
5. I believe in advocacy for self-interests.
6. I believe in advocacy for client-interests.
7. I believe social workers should be contributing to policy making decisions.

SA	A	D	SD



NATIONAL ASSOCIATION OF SOCIAL WORKERS
New York State Chapter

BACKGROUND QUESTIONS. (circle one answer)

Division	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
	Suff.	Nass.	Westch.	H.V.	N.E.	Mo.V.	Cent.	So.Tier	Gen.V.	Western
1. Are you a registered voter? No Yes
 2. Did you vote for your state legislators in 1986? No Yes
 3. To which political party do you belong? Democrat Republican Other
 4. What year were you born? 5. What is your sex? M F
 5. Are you a member of NASW NYS PACE? No Yes
 6. Are you a member of your division's legislative committee? No Yes
 7. Have you attended Legislative Conference Day in Albany? No Yes



Evaluation Form

- (1) Did packet provide enough information?
yes _____ no _____
If not, what was lacking? _____
- (2) Did program provide enough information on political participation? yes _____ no _____ If not, what was lacking?

- (3) Were the speakers effective? yes _____ no _____
- (4) Have you had any political experience prior to Legislative Conference Day? yes _____ no _____
(a) If yes, what form did it take:
Advocacy _____ ELAN _____ PACE _____ Campaigns _____
other (please explain) _____
(b) If not, did program offer a good introduction?
yes _____ no _____
- (5) Do you feel political participation "pays-off" for Social Workers? yes _____ no _____
- (6) Do you plan to pursue your interest in the legislative process through NASW?
yes _____ no _____
- (8) Overall rating of Conference
Excellent _____ Very good _____ Good _____ Fair _____ Poor _____
- (9) Comments on program _____

- (10) Recommendations for future _____

- Member _____ Student member _____ Non-member _____
- Political party affiliation _____ Age _____
- Division _____ Sex _____

Appendix 3

The Training for Social Workers in Political Practice
Curriculum Package with Hand-outs

APPENDIX 3

LEGISLATIVE/POLITICAL CURRICULUM PACKAGE

Carole O. Smith

MODULE:

AN OVERVIEW OF THE LEGISLATIVE/POLITICAL PROCESS
AND SOCIAL WORKA. SUMMARY

This is a curriculum package which provides an overview of the legislative/political process on the state level of government and its relationship to the social work profession. The model is based upon the government in New York State and its relation to the federal government, and can be adapted to any state by the instructor.

B. IMPLEMENTATION

This curriculum module can be used in its entirety as an introductory educational program in combination with training in legislative/political skills which are presented in Classes 12. If time is restrictive, the training segments can be excluded. The training segments of the module may

also be used independently of the module for in-service training or workshop and conference purposes. This module can be implemented in a college semester of thirteen to fourteen classes for approximately twenty-five students. Minimal implementation requirements include: reproduction of handouts for each student; chalkboard or newsprint and slide projector to use while lecturing, several key government officials to serve as guest speakers, and space sufficient to engage students in a seminar format.

If the total course time allocated for the legislative/political curriculum does not permit use of the entire introductory module and specialized training classes, the instructor can self-select aspects of the introductory module to be used. This enables instructor manipulation of time and content to achieve the best fit between the course purpose and objectives and the legislative/political curriculum content. The module is designed to facilitate selection and use of sub-components. Full references are included to facilitate follow-up or further research.

C. TEACHING METHODS

This module depends upon active learning through structured discussion, field trips, and didactic presentations by the instructor and guest speakers. Class content dictates the selection of guest speakers.

D. OUTCOME OBJECTIVES

As a result of participation in this module, students will:

1. Understand the public policy process.
2. Know the legislative, budgetary, and regulatory aspects of government.
3. Develop an understanding of the impact of the political process on decision making.
4. Understand the relationship between the social work profession and political practice.
5. Develop competency in legislative/political skills.

E. READINGS AND SUPPLEMENTARY MATERIALS

Included in this educational module are references to several articles and textbooks which instructors may choose to make required or recommended readings to support and augment the curriculum. The articles included in the module are:

Sandra Sabo, (1985) "Winning At the Old Boy's Game", Association Management, April, pp. 68 - 73.

This is an easily readable account by six woman lobbyists and their experiences. This article is particularly relevant to social workers since the majority are women.

Gerald Benjamin, (1987) "The Power of Incumbency", Empire State Report, April, pp. 33 - 37.

The author is a professor of political science at SUNY New Paltz. He argues that New York has a one-party system dominated not by ideas or by differing political philosophies, but by the excessive power of incumbents.

Gary Mathews, (1983) "Social Work PACs and State Social Work Associations Purpose, History, and Action Strategies", Journal of Sociology and Social Welfare, June, pp.347- 354.

This paper traces the development and operation of PACs and their relation to the state chapters of NASW. The author believes social work PACs are a key ingredient necessary to enable the profession to influence public policy.

Cecilia Kleinkauf, (1989) "Analyzing Social Welfare Legislation", Social Work, March, pp. 179 - 181.

In response to social workers' need for a practical and convenient analytical tool for both substantive and political analyses on which to base legislative advocacy, this article provides a checklist of analytical steps found helpful in the review of human services legislation.

Leon Ginsberg, (1988), "Social Workers and Politics: Lessons from Practice," Social Work, May-June, pp.245 -247.

This article is based on the author's political experiences from holding appointed positions and from academic preparation in political science. It is designed to help social workers better understand the political system.

Ramon M. Salcido, (1984), "Social Work Practice in Political Campaigns", Social Work, March-April, pp. 189-191

In this article politics is defined as "the practice of conducting political affairs, exercising or seeking power in the governmental or public affairs of a state." Therefore, writes the author, participation in electoral campaigns can be an important strategy by which the social worker engages in the political process.

Maria Roberts-DeGennaro (1986), "Building Coalitions for Political Advocacy", Social Work July-August, pp. 308 - 311.

The writer acknowledges the role of social workers in actively promoting their interests and those of their clients in the legislative arena. She identifies the building of advocacy coalitions as a way to strengthen these efforts.

Raymond Albert, (1983), "Social Work Advocacy In The Regulatory Process", Journal of Contemporary Social Work, October, pp. 473 - 475.

According to Albert, social workers do not appreciate regulations' impact on the delivery of services. This article examines a social work role in the regulatory process, discusses justification for this role , and reviews intervention techniques.

In addition to the listed references, hand-outs are included which may be copied and distributed to students.

While New York State is the example used for all information related to state government and all state follow similar models, there are idiosyncracies. Therefore, the instructor should obtain relevant materials for his/her state that conforms to the curriculum. This information can be found at government facilities and/or through elected representatives.

LEGISLATIVE/POLITICAL CURRICULUM PACKAGE

Carole O. Smith

AN OVERVIEW OF THE LEGISLATIVE/POLITICAL PROCESS
AND SOCIAL WORKClass Schedule

Class 1	Introduction to the Public Policy Process: the State of the State Message
Class 2	The Executive Office
Class 3 & 4	The Budgetary Process
Class 5 - 8	The Legislative Process
Class 9	Implementation The Regulatory Process: Translating Legisla- tion into Politics and Programs
Class 10 & 11	Presentation of NASW Legislative and Politi- cal Programs
Class 12	Lobbying
Class 13 & 14	Skills Training

SUBSTANTIVE KNOWLEDGECLASS 1INTRODUCTION TO THE PUBLIC POLICY PROCESS;THE STATE OF THE STATE MESSAGE

The instructor is to provide:

1. Documentation of the State of the State Message by the Governor.
2. Identification of major themes in the Message with the understanding that this document serves as a major statement of the public policy agenda for the year.

A review of the Message with students can be provided via television, newspapers, and/or other available public media resources.

A copy of the Message can be obtained from the Executive Office.

CLASS 2

THE EXECUTIVE OFFICE

The State of the State message outlines program areas where the Governor would like legislation. Although the state Constitution in New York mandates that the Governor recommend legislation, the Governor is not constitutionally required to have these bills introduced. He or she can only directly introduce budget bills. A legislative leader of the Rules Committee usually sponsors "program bills" at the Governor's request.

The Executive Budget Bill is the primary document used by the Governor to demonstrate policy priorities. The Constitution requires that the Governor annually submit to the Legislature a budget outlining the state's anticipated revenues and expenditures for the next fiscal year. The fiscal year begins on April 1 and ends on March 31. The budget must be passed by both houses of the legislature and then sent back to the Governor. (In recent years, this deadline has not been met) Additional information on the budgetary process is presented in a subsequent class.

VE TO POWER- Use of the veto allows the Governor to promote those bills he or she feels ought to become law.

Even the threat of a veto may sometimes prove sufficient to prevent a bill from passing one or both houses. During the regular session, the governor has ten days, excluding Sundays, in which to act on a bill after receiving it from the Legislature. If the bill is signed within that time, it becomes law. If the Governor fails to take any action on it, the bill automatically becomes law. If the Governor vetoes the bill, however, it may only become law if two-thirds of the members of both houses vote to override the veto. If the Legislature adjourns without setting a date for meeting again, the Governor has thirty days to approve or veto all bills. If the Governor "pocket vetos" a bill by failing to take any action on it, the bill is automatically dead. However, in recent years, the New York state Legislature has elected to recess rather than adjourn. This prohibits the use of the pocket veto in New York State.

The Governor's influence in the legislative process does not end with the power to introduce or veto legislation. As head of a political party in the state, the Governor assumes a leading role in explicating the party's position on legislation. The Governor may also develop program legislation which can be of extreme importance to social workers and their clients. And, appointments of judges, commissioners, and various other state officials are made by the Governor with the advise and consent of the

Senate. This capacity can help to strengthen political support for executive positions.

CLASS 3 AND 4THE BUDGETARY PROCESSOUTLINE

Preparation of the budget

The Executive Budget

Budget Bills

Legislative Action on the Governor's Budget

The Governor's Action on Budget Bills

The Supplemental Budget

Special Appropriation Bills

Budget as Adopted

Execution of the Budget

The preparation of the Governor's budget begins in advance of the time it is submitted to the Legislature. The New York State Constitution requires that all heads of State departments (the Legislature and Judiciary are excepted) must furnish the Governor with estimates and other information needed for preparation of the budget at such times as she or he sets. The Division of the Budget, headed by a director appointed by the Governor, is the Governor's fiscal agency and receives all departmental budget requests. Copies of the requests, in accordance with constitutional requirement are sent to the Senate Finance and Assembly Ways

and Means Committees. (see handout) The deadline set by the Division of the Budget (DOB) for submission of departmental requests is usually some time in September.

Following receipt of the requests, analysis begins. Two types of hearings are held by DOB at which departmental personnel discuss questions concerning their budgets; informal hearings between staffs of DOB and the concerned agency, and formal hearings conducted by the Budget Director and heads of the concerned agencies. Designated representatives of the appropriate legislative committees may also attend the formal hearings.

At the same time that analysis of requests for appropriations are proceeding, estimates of revenue are in preparation by DOB with the assistance of State agencies that have revenue collecting responsibilities, primarily the Department of Finance.

When preliminary recommendations for appropriations and revenue estimates are coordinated, the Governor can assess the financial outlook for the coming year. She or he can then decide on adjustments to recommended appropriations and whether measures to raise additional revenues are required. When these decisions are made, work can

proceed on preparing the budget document and the bills
necessary to carry out the recommendations contained in it.

The Executive Budget

The document titled "The Executive Budget" consists of several parts:

Part I -- The Governor's Budget Message - This section is comprised of the Message itself, a tax-by-tax explanation of revenue estimates, a discussion of accomplishments under the management improvement program, an explanation of financial terminology (See handout), and tables summarizing the appropriations recommended in the subsequent parts of the budget and the financial operations of the state.

Part II -- The Operating Budget -- This section summarizes and explains recommendations of appropriations to be made for the operation of State departments and agencies.

Part III -- Appropriations Requested by the Legislature and Judiciary -- Under the Constitution, itemized estimates of the needs of each house of the Legislature and of the Judiciary must be included in the budget.

Part IV -- State Debt Service -- The portion of the Budget deals with the appropriations required for principal and interest on state debt.

Part V -- Local Assistance Budget -- This budget is made up of appropriations recommended for payment of state aid to localities.

Part VI -- The Capital Construction Budget -- This consists of recommendations for appropriations and reappropriations for construction, reconstruction and rehabilitation of State facilities, including the acquisition of property; lease purchase payments for the construction of state office buildings; planning funds and similar recommendations relating to capital outlay.

The Budget Bills

The Constitution requires that at the time of submission of the budget the Governor also submit a bill or bills containing his/her proposed appropriations and reappropriations, any proposed tax measures, and any other legislation recommended in the budget.

Legislative Action on the Governor's Budget

The legislature's powers and duties with respect to the State budget lie largely in the action it may take with respect to the Governor's budget, or more explicitly with respect to the bills which would implement it. On introduction the budget bills are referred to the fiscal committees of the Legislature; The Senate Finance Committee and

the Assembly Ways and Means Committee. Public hearings are held jointly by the two finance committees. These hearings are usually held in mid-February in Albany.

The Constitution provides that the Legislature may decrease or delete an appropriation item, but it may not increase an appropriation except by stating this addition separately and distinctly from the original item in the bill. The Governor may then approve or disapprove of this item. This line item veto thus gives the Governor the power to delete any appropriation items added to his/her budget bills by the legislature.

The Governor's Action on Budget Bills

The bills submitted by the Governor become law immediately on passage of both houses, except that the budgets of the legislature and judiciary and the separate items added by the Legislature are subject to approval.

The Supplemental Budget

The Governor has the right to amend or supplement the budget at any time within thirty days after submission or, with the consent of the Legislature. In practice this is done in the Supplemental Budget.

Special Appropriation Bills

Bills making appropriations may also be introduced by individual members of the Legislature. The only restrictions placed on such bills are that each must be for only a single object or purpose and, they may not be considered until appropriation bills submitted by the Governor have been acted upon. Appropriation bills may originate in either house and the action on them by both the Legislature and the Governor is identical to that required for bills in general.

The Budget As Adopted

"Executive Budget", then, is not an accurate guide because of amendments and the supplemental and special appropriation bills. The State's budget for a given fiscal year is the totality of the main budget bills, supplemental budget, special appropriation bills, deficiency budget bill, and other bills affecting State finances.

Execution of the Budget

State Finance Law provides that "the several amounts appropriated in any act shall be deemed to be only for so much thereof as shall be sufficient to accomplish the full purposes designated". Additional provisions are set forth which govern the use of appropriations. They may be found in Article IV of the State Finance Law.

CLASS 5 - 8THE LEGISLATIVE PROCESS

The importance of legislative action suggests the need for understanding how a bill is enacted into law and how its content and passage can be influenced. There are times in the life of a bill when the response of social workers can be particularly effective. (See hand-outs for an example of a bill.)

Legislation authorizes the major social service programs and provides the appropriations for them. It also provides sanctions related to professional issues for social workers.

Understanding legislative power is a prerequisite to understanding the legislative process and the strategies of lobbying. The social worker interested in political practice must be able to identify the seats of power.

There are many similarities found in the federal and state legislative processes, but there are also major differences. For social workers, NASW's national staff

provides assistance and expertise for involvement on the federal level of government. However, some introductory information is provided for the instructor.

The State Legislative Process

The New York State Legislature is older than the United States Congress. It is composed of two houses, the Senate and the Assembly. Every two years voters of the state elect 150 Assembly members and 51 senators. The average legislator serves 3 or 4 terms. Each Assembly district has approximately 117,000 people, and each Senate district contains about 88,000 people.

The legislature is responsible for considering proposed legislation, thus having a major say in determining which bills become law. The Senate has the additional responsibility of confirming the Governor's appointment of non-elected state officials and court judges. Both houses also pass certain non-binding documents called resolutions. Resolutions may offer congratulations to groups or individuals or may urge the Governor, Congress, or President to take action on matters of importance. The legislators may also amend the State Constitution. A proposed constitutional amendment requires a two-thirds vote by both houses of two consecutive, separately elected legislatures, and subsequent approval by the voters of the state in a general election.

At the present time, Republicans are in the majority in the state Senate while the Democrats hold the majority in the Assembly. Senators elect the Senate Majority

Leader who then appoints Senate committee chairs from among his or her fellow Republicans. The Speaker of the Assembly is elected by the members of the Assembly and appoints committee chairs from the Democratic ranks. The leadership of both houses conduct caucuses within their parties to determine priorities and discuss legislation. They determine what committee a newly introduced bill is assigned to, thus influencing whether or not a bill makes it out of committee. They also establish daily agendas, set the times of meetings, and have the power to remove the heads of committees.

There are thirty-one standing committees in the Assembly and thirty in the Senate. These committees operate year-round and vary in size from six to more than thirty members. They are assisted by legislative experts and analyze every piece of legislation within their jurisdiction. They also conduct public hearings. (Additional information on public hearings is provided in a subsequent class plan).

In addition to standing committees, joint legislative committees and select committees may be established by joint action of both houses to study a special problem and recommend legislation. These committees, which may not introduce a bill they prepare, consist of members of both houses as well as non-legislative members.

The majority party in both the Senate and the Assembly has a majority of members on each committee in that particular house. This means that the Democrats have a majority on all committees in the Assembly, and the Republicans have a majority on all committees in the Senate. Since all bills, with some rare exceptions, must pass through committee before they can reach the floor of either house, the party that is in the majority largely determines what is held in committee and what is let out.

In New York State, the legislative session begins at the State Capitol on the first Wednesday after the first Monday in January. In recent years, the legislative sessions have lasted six months or longer. The legislators have also chosen a date for meeting again before they adjourn. This enables them to return on short notice to consider a special proposal or override a veto.

The Governor may call extraordinary (special) sessions when the legislature has adjourned. These sessions may include the entire legislature or just the Senate and may only consider the issues on the Governor's agenda. Under special circumstances the legislature may call itself into extra ordinary session.

A recess is a temporary adjournment of the legislative session. It is begun and concluded by a motion from the Speaker or the Majority Leader. There are no restrictions on the length of the recess. The State Constitution forbids one house from recessing independently of the other for more than three days. Longer recesses require concurrence between both houses.

There are several key committees that have a great deal of influence over legislation. The Rules Committee in both houses are leadership committees. They are chaired by the Senate Majority Leader and the Speaker and are composed of the chair or ranking minority member of other important standing committees. The Rules Committee may introduce bills at any time and their reports take precedence over all other legislative business. The Senate Finance Committee and the Assembly Ways and Means Committee are also very powerful since most bills that have any money attached must go through them after passage by their initial committee.

The first step in the legislative process is the translating of an idea into a written bill. A bill may be drafted by one of several parties; a legislator, the Office of the Governor, one of the State's executive agencies, or an outside special interest group. The bill is then introduced in the Assembly or the Senate by a legislator. When

introduced, the bill is given a number and is then referred to a legislative committee. During the legislative session, the committees in both houses meet on a regular basis to consider proposed legislation.

In the Assembly, every bill, if requested by the sponsor, must at least appear on an agenda and be considered by the entire committee. In the Senate, the committee chair has the authority to decide which bills will be on the committee agenda.

The committee members may vote to hold the legislation in committee, refer it to another committee (most often the Finance or Rules committees), or report it directly to the floor for a vote. Most bills are not reported from the committee, but rather are "held in committee for consideration". In many cases, this is the committee from which it was referred.

Once a bill is reported to the floor it cannot be voted on until it has been on the legislator's desks in printed form for three legislative days. This process is referred to as "aging". A bill must appear on the calendar for two days as it goes from second to third reading unless the Rules Committee advances it in a single day. A bill must be on third reading in order to be considered for

passage. The only exception to this rule is when the Governor sends a message of Necessity to the legislature, requesting that a bill be considered immediately.

After a bill passes in one house, it is sent to the other chamber where it is assigned to an appropriate committee, unless its companion bill is already on the calendar in that house. For instance, if A. 1112 has passed the Assembly and is sent to the Senate where its companion bill S. 2344 is on third reading, A. 1112 will be substituted for the Senate bill and the Senate will vote on the Assembly version of the bill. It is possible for a bill to pass one house and not be reported out of committee in the other house. In this case, the bill has no chance of becoming law.

Once a bill has passed both houses, the legislature sends it to the Governor. The Governor may sign the bill into law or veto it.

During the session, the Governor must sign or veto a bill within ten days, exclusive of Sundays, or the bill automatically becomes law without his signature. If the Governor vetoes the bill, he/she must return it to the legislature with objections. The legislature may override a veto by a two-thirds vote of the members of each house.

When the legislature stands adjourned, no bill can become law unless the Governor signs it within thirty days after adjournment. For the past several years, the legislature has not adjourned, but rather stands in "recess". They have traditionally reconvened in the autumn to act on bills vetoed by the Governor and on bills that need special attention. When the legislature recesses, the Governor must sign a bill within ten days after he/she receives it. The bills are transmitted to the Governor in batches because so many bills are passed in the last few days of session that it would be impossible for the Governor to sign all of them in a single ten day period. This occurred in New York State when Assembly bill 7620-B was sent to the Governor in a "batch", awaiting his signature. When signed on December 18, 1984, vendorship status was gained for social workers.

In New York State, each year is considered a new legislative session. Therefore, the 1991 session is considered the 214th session.

The Federal Legislative Process

At the federal level of government, the Constitution prescribes the basis of territorial representation for the United States Congress. It grants each state two senators regardless of the state's population. The senators in each state are chosen in different election years, and each senator's constituency is the state as a whole. Regarding the House of Representatives, the Constitution grants each state a minimum of one representative regardless of its population, and then requires the further apportionment of house membership to states in accordance with their population. This apportionment of house membership among states is adjusted every ten years following the completion of the federal census. The drawing of Congressional district boundary lines is the responsibility of state legislatures.

In Congress, there is a significant difference between the Senate and the House of Representative in the rules of procedure.

In the House, the rules are adopted at the beginning of each Congress. The Senate, however, does not follow the practice of formally readopting the rules of the previous Congress.

Congress, similar to state legislatures, has rules governing the introduction of bills. In the House of Representatives bills are introduced by sending them to the Speaker. In the Senate, Senators publicly announce that they are sponsoring bills. In Congress there are detailed rules for committee jurisdictions, dictating the legislation committees may consider. Legislative rules of procedure for Congress are often technical. Full mastery of these rules is not possible in an introductory curriculum. However, an introduction to the legislative process follows:

A bill is introduced and assigned a number. A U.S. House of Representatives bill is designated "H.R. ____"; a U.S. Senate bill is identified "S. ____". Bills do not carry over from one Congress to another, they must be re-introduced in each new Congress every two years. Every bill is separately printed in each of its several stages of progress through both houses.

The bill is assigned to the appropriate committee. If the bill is acted on favorably, it is "reported out of committee". Bills are generally accorded hearings by the committee to determine the views of the public on the subject and to obtain expert testimony. A committee report is printed. The reports are numbered consecutively for each

Congress. The bill is "Reported out" by the chairperson with the committee recommendations.

The bill is debated. The debates appear in the Congressional Record. The House or Senate votes on the bill. When it passes, it is sent to the other house to go through the same steps. If the second house passes the bill with amendments, it is returned to the first house. When the first house does not accept the bill, a conference committee consisting of members of both houses is appointed. If the conferees agree to compromise, the report of the conference committee is printed and both houses vote on the conference bill.

The bill is submitted to the President for signature and approval. If it is vetoed by the President, the bill must be passed again by a two-thirds vote in both houses in order to become law.

Authorization and Appropriations Bills

Unlike the states, Congress generally first passes an authorization bill as a guide to appropriations over several years. The authorization bill is followed by an appropriation bill, which determines the actual amount of money available.

CLASS 9IMPLEMENTATIONTHE REGULATORY PROCESSTRANSLATING LEGISLATION INTO POLICIESAND PROGRAMS

Many social workers, while having some familiarity with the legislative process, do not understand the significance of the regulatory process; the latter following the former.

At times, the legislature passes broadly phrased laws which agencies set standards to that cannot avoid being controversial. As agencies set standards and make rules, they inevitably make decisions that impact upon various interests.

Occasionally, agencies may have difficulty interpreting the law because of situations that the legislature did not anticipate when it passed the law. Legislative intent is sometimes open to interpretation and can be clarified by interest groups who are monitoring the enactment of

legislation. Social workers can effectively intervene at this stage of the process.

Public hearings may be held at this point to gather the views of citizens, organizations and interested parties. Committees, sub-committees, legislative task forces, agencies, etc. hold the hearings to receive testimony. More documentation of public hearings and the preparation of testimony will be presented in a subsequent lesson plan.

Raymond Albert wrote, " rule-making by government...agencies plays an important role in the lives of people who tend to be victimized by a decrease in services. Social work advocacy can influence the process with techniques appropriate to the profession's role". (See referenced articles.) Albert identified three grounds on which social work intervention in the regulatory process can be justified. They are: bridging the gap between agency decisions and the public affected by the decisions, helping to ensure individual fair treatment by government; and countering some of the law's functional limitations.

In New York State the legislature sets the standards for the rule-making process within the agencies, but no general standards for rule-making procedures applicable

to all agencies in all situations have been established (as has been at the federal level).

Therefore, it behooves interest groups such as social workers to continue to monitor legislative initiatives through the regulatory process and into implementation.

CLASS 10 AND 11PRESENTATION OF NASW LEGISLATIVE AND POLITICAL PROGRAMS

NASW has developed two programs for bringing the collective strength of the association's members into the legislative/political arena; the Education Legislative Action Network (ELAN) to pursue the association's legislative objectives and Political Action for Candidate Election (PACE). PACE is the political action committee that endorses candidates and makes financial contributions to the campaigns of candidates who will support the association's legislative positions. ELAN was developed in 1971 and PACE followed in 1975. (see hand-outs) PACE differs from ELAN in that it has its own membership and it is organized and financed separately to comply with tax laws. Although both programs have been implemented at the national level of the association, state chapters are encouraged to also develop their own programs.

NASW's structure and geographic make-up represents virtually every major political jurisdiction in the United States. For national legislation NASW relies on constituent participation of members who are within congressional dis-

tricts. In the past NASW required each state Chapter to do more than its' resources permitted. Now the national legislative department no longer requests Chapters to implement the ELAN organizational scheme. All that is asked is that a liaison be provided and names of interested members be placed on a national legislative mailing list.

In 1988 57.4 percent of NASW Chapters reported that they had an established process to develop a state legislative agenda. However, there is no single structure that best represents the way all NASW Chapters have organized a legislative network as membership, legislative interests, resources, and geographic distribution varies.

A great deal of energy is required to initiate, coordinate, and maintain a legislative network. A summary of the process in the New York State Chapter follows:

1. Members were motivated and enlisted through the Chapter Newsletter, legislative conferences, and Legislative "Alerts."
2. The network was maintained through regularly scheduled committee meetings and coordinated lobbying events. Also, an educational pamphlet entitled, "Getting Involved: Social Workers in Politics", was developed and distributed. (see handouts)

3. The network was coordinated and directed by the Director of Legislation and Political Action.
4. A computerized data base and toll-free telephone line was established to assist members' attempts to monitor legislation and increase effectiveness of lobbying efforts. (See Social Work Information Service (SWIS) handout)

PACE -- PACE provides a broad umbrella for partisan political activity on behalf of the interests of social workers and provides the leadership for educating and mobilizing social workers during elections.

PACE's political power comes about not only through financial contributions and endorsements, but also by involving social workers in political campaigns and eventually, assisting social workers to become elected officials.

A political action committee is a legal entity established for the purpose of supporting political candidates and issues. PAC's are regulated by the Federal Election Campaign Act "(FICA)" and its 1976 amendments.

FICA prohibits associations like NASW from making campaign contributions but allows them to "establish, administer, and solicit contributions to a 'separate segregated fund' whose sole purpose is to make political contributions and expenditures." There are tax advantages.

In order to promote the political interest of NASW in the electoral process while not jeopardizing its tax status, PACE has been established to act on behalf of its parent organization. The operation of political action committees is regulated by federal and state laws. National PACE is a federal PAC. On the state level, each state has its own set of laws which govern campaign contributions. In some states, campaign finance laws are subject to frequent revisions. Therefore, it is imperative that social workers are knowledgeable of their state election laws and procedures. Election laws generally specify reporting requirements, contribution and solicitation limitations, provisions for tax deductibility of campaign contributions, and any specifics relating to public financing campaigns.

Although PACE is a separate legal entity, its purpose is to be the action arm of the Association. It is an integrated program activity within NASW. State Chapters assume all overhead costs of their PACE programs.

While the first state chapter to initiate a PACE was Florida in 1978, a summary of the development of the NYS-PACE follows:

1. A core group of chapter members who were committed to PACE was established. Solicitation of members was made through an educational program which included a slide presentation outlining the organization of NASW-NYS PACE.
2. A copy of the state election laws was obtained and by-laws were drafted following the by-laws of national PACE.
3. The Chapter Board of Directors sanctioned the establishment of PACE.
4. PACE Trustees appointed from throughout the state met to formalize rules and procedures.
5. A separate bank account was established for PACE candidate contributions and candidate expenditures.
6. A public relations protocol with candidates was established. One means employed was through distribution of a descriptive brochure. (See handout) Another mailing included an introductory letter, candidate questionnaire and requests for positions on specific legislation. This mailing was

sent to all members of the NYS Senate and Assembly and candidates for office. (See handout)

7. Fund-raising and "getting out the vote" campaigns were initiated within the chapter membership.

The ELAN and PACE programs described are based on the New York State Chapter's membership. These members and their colleagues, the more than one hundred thousand members of NASW, represent a potentially potent political interest group for their profession and their clients.

CLASS 12LOBBYING

Information is presented to augment foundation content in the area of lobbying for social workers. As a result of participating in this training, students will: know how the legislative/political process is related to lobbying; develop interviewing skills; understand the effects of lobbying for the social work profession; and, be prepared to influence policy decisions on local, state, and national levels through lobbying efforts.

WHAT IS LOBBYING?

Lobbying, as a primary means for citizens to communicate with their government representatives and has been called the fourth branch of government. A lobbyist is a person or organization employed, retained, or designated by another, who attempts to influence the passage or defeat of legislation by the State Legislature, the approval or disapproval of legislation by the Governor, or the outcome of a rule or regulation proceeding by a State agency. Thus, the lobbyist provides information, opinions and insight on an issue to government decision-makers in an effort to promote her/his clients' interests.

Although reference is made to New York State, information for all states and all levels of government is generally applicable. The instructor is advised to modify the content of this class based upon the particular locale of interest.

Laws Governing Lobbying

An oversight function of all lobbying activities in New York State is performed by the Temporary State Commission on Lobbying, established in 1977. The Commission is a clearinghouse of the identities, activities, and expenditures of those attempting to influence State government decision-makers. The Commission also makes reports and statements filed by lobbyists and their clients available for public inspection. It is composed of six bi-partisan members empowered to conduct investigations and is granted authority by the State Legislature to issue subpoenas.

It may also impose civil liberties on dilatory lobbyists, clients, and public corporations for violations of the Lobbying Act.

The Lobbying Act in New York requires public disclosure of all lobbyists who incur, expend or receive more than \$2000 in combined reportable compensation and

expenses for lobbying activity in any one year. That person is required to register with the Commission.

For the social worker who is not a professional lobbyist, it is equally important to advocate through written or personal contact to your Governor or a legislator. An individual's right to contact government officials is protected and is without regulation. The governmental decision-making process relies heavily upon current, accurate and useful information in assessing issues, both pro and con. A social worker-lobbyist can provide such information.

Social workers employed as state and local government employees are, at times, concerned with the provisions of the Federal Hatch Act when they consider lobbying activities.

Federal Hatch Act provisions affecting state and local government employees who work in agencies supported with Federal funds were amended in 1974 under Public Law 93-433, the Federal Election Campaign Act Amendments of 1974.

Before these amendments, the Federal Hatch Act's extension to state and local employees prevented them from voluntarily working on their own time for candidates for public office. Although the federal law has been changed,

local or state ordinances may still regulate the political activities of employees. Always check state and local laws before becoming involved in a political campaign. However, generally, Under the Federal Hatch Act

YOU CAN:

Contribute money to a political organization.
Actively participate in non-partisan campaigns.
Attend political rallies and meetings.
Accept an appointment for public office, providing there is
not a conflict of interest or time with federal duties.
Urge legislators to vote in a particular way.
Petition legislators.
Campaign for constitutional amendments.

YOU CANNOT:

Be a candidate for nomination or election to a state or
federal office.
Be a partisan candidate for nomination to other offices.
Campaign for partisan candidates or political parties.
Endorse or oppose a candidate in a partisan election through
a political advertisement ,broadcast, or literature.
Collect contributions or sell tickets to political
fundraising affairs.

In addition to restricting the political activities of Federal employees, federal law also restricts, though to a lesser extent, state and local employees whose principal employment is in connection with an activity that is financed wholly or in part by loans or grants from the federal government. Such employees are prohibited from using their official authority or influence for the purpose of interfering with or affecting the result of an election, or from directly or indirectly influencing state or local employees to make political contributions.

Lobbying and Organizing

COALITIONS - The axiom, "there is strength in numbers", holds true for lobbying. Social workers have gained strength through the organizational efforts of NASW and through their activities in coalitions. Cooperation with others, and the forming of alliances with those in support of similar interests improves lobbying effectiveness of the profession and increases its power base. The political process involves strategies for using power. These range from simple persuasion in bargaining and exchanging to manipulation, dissimulation, and coercion. It is the wise lobbyist who uses power in such a way that friends are retained while objectives are achieved.

Within NASW, state chapters often lobby in coalition with the association at the national level of government. Since policy actions regarding human service programs and professional issues are increasingly embodied in laws and regulations determined by states, and state chapters of NASW often possess the organization skills necessary for representing the interests of the profession, these coalitions are effective. Because public policy is a matter of choice and influence, social workers must apply lobbying skills to be influential in policy decisions. They can do this, most effectively, as a group effort through NASW at the state or national level, and/or in coalitions with others.

Coalition lobbying is one of the best ways to maximize the use of available resources and broaden the impact of lobbying activities. All organizations within the coalition will have their own constituencies and resources available for use in a joint lobbying effort.

If a coalition is already in existence and has a record of working together, it takes less work to organize for a new issue. However, new coalitions are always a possibility. The following general steps can be followed in building a coalition:

1. Compile a list of organizations likely to share a common interest on a given issue.
2. Contact the organizations and invite them to an organizing meeting. Prepare a draft position paper for use at the meeting.
3. Convene a meeting. Present the position paper for discussion. Survey the interest and positions of the different organizations represented at the meeting.
4. Agreement will undoubtedly not be reached at an initial meeting. Allow time for participants to review the issue with their organizations and establish a process by which participants will proceed.
5. Reach a mutual understanding of the issue and develop strategies for action.
6. Follow-through.

The social work profession has demonstrated the interest and willingness to form coalitions to attain legislation or to affect policy decisions. Coalitions have been shown to strengthen social workers' advocacy efforts; they are strategic devices to enhance the leverage of organiza-

tions to issues. The organizations that build a coalition are often able to mobilize the resources that are needed to lobby effectively; resources that social workers often do not have.

The coalition formed for the vendorship lobbying effort in New York State illustrates the importance of directing a coalition's actions toward a particular purpose. In that successful venture, not only were other organizations joined with NASW, but alliances with client groups were also extremely helpful.

Another successful example of coalition lobbying can be cited at the federal level of government. The Coalition on Block Grants and Human Needs, formed in 1981, also illustrates the importance of coalitions. The Coalition was the major vehicle for organizations in Washington to coordinate their position against budget cuts in means-tested entitlement and discretionary programs.

When possible, then, join with other organizations in building a coalition in an attempt to influence public policy decisions for social workers and their clients.

Why Do Social Workers Need to Lobby?

Some social workers' naivete about politicians and the political process leads them to believe that politicians are so powerful that they are unapproachable. They forget that politicians usually want to get reelected and increase their power and influence. Politicians, therefore, are vulnerable to voter pressure, especially pressure from those in their own districts.

Social workers who perceive themselves as morally and ethically superior and who rely on individual moral concepts to influence politicians are not being realistic. Legislators know that however strongly they believe in a moral principle, they cannot use morality to sway colleagues. Politicians often believe social workers lack political sophistication and/or avoid the conflicts that are often necessary in political struggles. But social workers can also be seen as professional care-givers and possessors of coveted information. Politicians are always interested in gaining facts from reliable sources. Social worker lobbyists, who have training and knowledge about people's needs and the services available to meet these needs can always be helpful. Thus, it behooves the social worker-

lobbyist to be persistent and to prove the value of the profession's expertise.

Lobbying Skills and Techniques

The responsibility of the social worker-lobbyist is to protect the interests of the profession and its clients in legislatures and administrative units of government. Striving to present a personal image of tact, integrity, and discretion, social worker-lobbyists can establish governmental contacts for the profession, determining the limits of action and determining the course of that action.

Effective lobbyists have varied skills; they strive to be outgoing, articulate, and persuasive. They must be flexible, have the maturity to argue strongly on one issue and befriend a former opponent on another issue, and ignore personal rebuffs. Of prime importance, the lobbyist knows when to talk, when to listen, and how to wait.

The social work-lobbyist should be skilled in the strategies and maneuvers of politics and have an understanding of the legislative/political process. Lobbyists must develop the skills needed to keep an issue alive with legislators and know when to take the initiative and put the pressure on through telephone and letter campaigns and meetings with constituents.

Good lobbyists develop the ability to diagnose the motivation of individuals and groups; to learn about the power of those who chair a committee and those who are committee members. They also acquaint themselves with secretaries and aides, who are often the key to reaching legislators. Staff should be cultivated, for the politician is often too busy to learn the details on many issues and relies on aides to analyze them and recommend actions. Lobbyist/staff liaisons can be formed that will benefit all concerned parties over a period of time and become indispensable to the successful lobbyist.

Lobbying Techniques

While lobbying techniques vary; visits with legislators, sending letters and telegrams, and making telephone calls are effective ways to present a lobbyist's views.

Visits with Legislators

- The legislative workload is usually lighter at the beginning of the session, therefore it is a good time to schedule appointments. Call home district offices and capital offices for appointments. Never cancel the meeting, once scheduled, unless absolutely necessary.
- Plan an agenda for the meeting and be prompt.
- Expect to spend 15-20 minutes in the meeting.

- Visit legislators in both their offices. Be concise and factual in stating your position. Bring along a fact sheet or "legislative memo" to give to your legislator. If you do not have the answer to a specific question, say so. Be certain to send the information later.
- Let legislators know, in a friendly manner, that you will be following their votes with interest. Remind the legislator that you have an interest in common; serving the public. Let your legislator know the number of clients in his/her district and the number of social workers.
- Leave on a positive note
- Sign the guest book.
- Write a thank-you note restating your position.
- If the legislator is in agreement with your position, try to get a definite commitment. If the legislator is uncertain or opposed to your viewpoint, do not force him/her into a hard and fast position.

Letter-Writing

Legislators are always responsive to their constituents. One of the most effective grass-roots express is the personal letter to a legislator. Letters are difficult to ignore. They must be opened, answered and catalogued.

They can change a mind, raise an issue, and, by sheer numbers, "count". Some suggestions follow:

- A letter is better than a post card.
- Personal letters are best; they do not have to be long.
- In letters, state your subject clearly and briefly.
Identify a bill number or an issue in the first paragraph.
- Ask your legislators a question or to state their position in their reply. This may forestall a thank-you-for-your-interest note.
- Let your legislator know why the issue should be a concern to him/her. If you use facts, make certain that they are correct and cite your sources.
- Write to your representative. This is always more effective than writing to legislators outside your district. However, convey your views also to the leadership in both houses, committee chairs and the Governor/President. (Send copies to your representative.)
- Time the arrival of your letter so that it arrives before legislation has been acted on in the committee or on the floor. It is best, if possible, to time mail to arrive mid-week.
- Put your return address on the letter as well as the envelope.

- Follow up with a short note of thanks for any services or information.

CORRECT FORM OF ADDRESS FOR LETTER WRITING

The President
The White House
Washington, DC 20500

Dear Mr. President

Honorable Jennifer Fletcher
New York State Senate
Albany NY 12247

Dear Senator Flectcher

Honorable Mario M. Cuomo
Governor of Ne York
Executive Chamber
Albany, NY 12224

Dear Governor Cuomo:

Honorable Kimberly Smith
United States Senate
Washington, DC 20510

Dear Senator Smith

Honorable Elizabeth P. Fouché
New York State Assembly
Albany, NY 12248

Dear Assemblywoman Fouché:

Honorable Patricia J. Orr
House of Representatives
Washington, DC 20515

Dear Congresswoman Orr:

Post Cards

If you feel unable to take time to write a letter, a post card is acceptable. The purpose is to encourage participation. At least post cards will be counted and their total numbers noted by the legislator.

- Mention the subject you are interested in and identify the bill number or issue.
- Briefly state your opinion.
- Time your post card so that it arrives before the legislation has been acted on in the committee or on the floor. It is best, if possible to time mail to arrive mid-week.
- Include your return address on the card.

Telegrams

Telegrams are useful when the timeliness of an issue requires a very quick response. In general, use the same guidelines as in writing letters. However, you will need to be even more concise in consolidating the message for a telegram.

Telephone Calls

A phone call to a legislator's office is also a legitimate method of constituent lobbying. Before making the call, develop a clear idea of the points you wish to make and the action you want the legislator to take. If the legislator is unavailable to take the call, ask to speak with the staff person who works on the issue.

Tips For Effective Lobbying

If you visit in a group, choose a spokesperson. To find out a bill's number or sponsor, call your legislator's district office for assistance. Consider the possible political impact of your proposals. Keep trying. Be a "go-between."

- Stick to the issue
- Learn the legislator's position.
- Offer more information.
- Enlist more help.
- "Leave the door open".
- Make friends constantly.

Levels of Intervention

- Monitoring legislation.
- Endorsement "sign-ons" (adding your name to a coalition letter regarding a policy position or a specific piece of legislation).
- Input in the development of a bill.
- Hearings--Presentation of Testimony and/or submission of written testimony for the record.

Success is Possible

For the average social worker/lobbyist, the situation is very different than that facing lobbyists representing powerful organizations. They don't throw their weight around because few have weight to throw around. Progress is usually measured slowly. Nevertheless, for those in the "know", for those who follow the "rules", success is possible.

Social workers have a distinct advantage in pursuing lobbying activities; they are believers. They most often believe in their cause. With one additional step; that of becoming a known presence on Capitol Hill or one of its state equivalents, they can be on their way.

Another advantage, often overlooked, is the number of women who are becoming lobbyists. An organization based

in Arlington, Virginia, Women in Government Relations, Inc., representing lobbyists, has seen a tremendous growth in lobbying as a career choice. And many newcomers are often female. Since many social workers are women, the trend can serve to the advantage of the profession. However, while the "old boys network" has begun to open up, lobbying is still a challenge for women, but one that can be met.

A case example presented in the state of New York found the female lobbyist for NASW confronted by the male lobbyist for the opponent; a large organization. He told her of his "caucusing with Senate leadership in the "men's room". She was not intimidated, applied her lobbying skills diligently, and won the case.

Social workers, men and women alike, must learn the legislative process, and understand the system. Their knowledge, skills, and experience has well-prepared them in the representation of issues of concern.

(Resource material for teaching the Lobbying Law was obtained from the New York Temporary State Commission on Lobbying.)

CLASS 13 AND 14SKILLS TRAINING

This training is meant to develop specific legislative/political skills in political practice for social workers. An overview of the skills taught includes; the writing and presenting of testimony at public hearings, the writing of position papers and fact sheets, and legislative analysis.

As a result of participating in this training, students will understand the necessity for competency in relevant skills and develop the ability to effectively implement these skills.

It is recommended that the seminar terminates with a concluding discussion and evaluation.

Public Hearings

Public hearings are held to gather the views of citizens, organizations and interested parties by receiving testimony. They serve to generate suggestions for modifying existing laws and introducing new legislation. They also provide an educational function by informing the public of societal problems and proposed action to eliminate them. Hearings have the potential to assist a legislator in

her/his political aspirations by providing a public forum. It is not uncommon for hearings to be held to relieve constituent pressure of committee members by giving the impression that the elected official is on top of the situation. Also, this public forum provides an occasion for advocates to be seen and heard; to be counted as interested partici

NASW staff often assists social workers in the writing of testimony to be presented at hearings. In the New York State Chapter of NASW, a resource list of members with knowledge and experience in areas in which social work values and skills could mold policy-making in a manner unique to the profession was developed. These experts were a resource to draw upon in the preparation and presentation of testimony at hearings.

Well-seasoned legislators and lobbyists have been known to recognize the political significance of being observed at a hearing if only to walk through the meeting room. To those sages, the term, "walk through" is heavily loaded. Merely affixing an organization's name to the sign-in book present at all hearings is a meaningful political activity.

These experts recognize that while hearings are not the only route of access for social workers' advocacy

efforts, they are a formal, direct route. They identify the strategy of "packing" the room with witnesses and supporters/opponents in an effort to get media coverage; to be seen and heard; to call attention to a societal problem and raise prominence on the policy agenda.

Public hearings, then, serve many functions. Most, if not all, can benefit social workers as they attempt to increase their participation in the legislative/political process at all levels of government. Increasing numbers of social workers are taking advantage of opportunities to testify before their state legislatures. Others, however, hesitate to do so because they feel intimidated by the aura surrounding hearings or they are reluctant to undertake a task for which they have no training.

Developing and Giving Testimony

Social workers trained in developing and presenting testimony can effectively impact upon the public policy process. Testimony may be presented verbally or submitted in written form for the record. If an oral testimony is presented, it should be accompanied by a written statement. Testimony may be as short as one page or very lengthy.

The following summary can be applied to the development of testimony:

Before drafting the testimony, contact the staff person who is assigned to the hearing to learn such information as:

- the deadline for submission of written testimony; and the number of copies of written testimony which should be made available during the hearing; and/or the date which the testimony is to be submitted.
- Also ask the staff if there are any particular areas or issues from which the profession's perspective would be of interest.
- Include a cover page to the testimony which reflects the following:

Testimony on _____
Presented by _____
Before the _____
Date _____

If the testimony is to accompany oral testimony, the first paragraph should introduce the witness. The paragraph should conclude by thanking the addressed by name for the opportunity to testify.

The body of the testimony should follow the guidelines for position papers listed on the following page.

Finally, the concluding paragraphs in the testimony should succinctly restate your position, and the last paragraph should include an offer to the addressed body to work with them. Oral testimony should also include an additional thank-you for the opportunity to present testimony.

For those presenting testimony verbally, additional guidelines will also apply during the hearing:

1. Summarize the written statement in a capsulized manner.
2. Develop eye contact with those you are addressing.
3. Know the issue well. However, if you do not know the answer to a question asked, do not hesitate to say so and attempt to provide follow-up information for the record.
4. Request briefing by relevant legislative staff and NASW staff.

Position Papers

The use of position papers and fact sheets such as memoranda of support and/or opposition to is an invaluable tool. Not only can these documents be used to provide necessary reference for legislators and their staff, but they can also be used by many social workers. In addition, they also represent a means for the profession to share its

legislative positions with allied individuals and organizations. (see handouts)

The following guidelines are used by NASW's legislative department:

1. Be concise and brief. Position papers are generally less than five pages; fact sheets should be no more than one page.
2. Begin with a two or three sentence position statement on the issue which includes the legislative recommendation.
3. The body of the paper or fact sheet will include pertinent background material, documentation and data which supports the position. Use language which may be easily understood by your primary audience, not professional jargon.
4. Try to incorporate responses to major counterarguments in the body of the paper. For example, if cost is likely to be a major barrier in the consideration of your recommendation, present data and rationale which lessens the cost impact; i.e., data on projected cost savings, cost offsets, etc.

5. Be persuasive. Use a tone which is helpful and reflects concern for the issue.
6. Be certain that the paper presents a good appearance and reads well.

Legislative Analysis

Legislative analyses are policy documents aimed at informing and/or influencing those involved in the decision-making process in legislative arenas. The skills necessary for social workers to analyze local, state, and federal legislation of interest to the profession are of extreme importance in today's political climate.

Kleinhauf has provided social workers with a practical tool for substantive and political analysis in the form of a checklist of analytical steps to be taken. (see handout) Included in this list are an analysis of the bill's committee referrals, it's fiscal impact, the political likelihood of passage, support and opposition of the bill and a final summary.

Flynn, too, offers an outline for legislative analysis Flynn's plan begins with a statement of the policy proposal, the proposer(s), and the sources of authority for the proposed action. The main body of the analysis should

clarify the concepts that particularly relate to this particular proposal. It is here that the analyst can summarize the problem and proposed solution. At this point, factual data can also be introduced along with value considerations. The analyst should bring out the background data while focusing on central issues.

Intended and possible unintended effects, fiscal implications, advantages and disadvantages follow. Finally, recommendations can be made. This is the point that can be crucial to the social work position as the analyst can take a position.

Analysis can also be undertaken in the form of a "brief". The brief is a comprehensive statement of the arguments regarding a policy question, with documentation, organized around a series of issues (questions at issue). In the brief it is important to provide enough evidence to support your position. For example, it is not enough to say that reduction of welfare benefits will cause ill health for children. Cite sources to support your contention. The better the evidence (e.g., scientific studies versus), the stronger your case, and current sources are generally better than old ones. But opinions from authoritative sources are better than your opinion alone.

Note that the brief includes arguments on both sides. Do not set up "straw man" arguments against a particular position.

The brief is organized around a series of key questions, or issues. In writing a brief, list the issue, then present the proponent's position. If you are a proponent, present a potential opponent's opinion.

Brief Outline

A. Need for a change from the status quo.

1. Is the status quo harmful? To whom? In what way?
What will happen if nothing is changed?
2. Is action to change the status quo urgent?

B. Plan

1. What is the plan for changing the status quo?
2. Will the plan meet the need for a change as
as described above?
3. Is the plan feasible? (Economically; politically;
(administratively)

(NOTE: Questions of economic feasibility are paramount
in policy makers' minds, so try to cost out
any proposal, even if hard data are not avail
able.

(Experience in other localities or cost esti
mates may be useful).

C. Consequences.

1. What are the potential positive consequences of
the plan (other than any already cited)?
2. What are potential negative consequences of the
plan?
3. Do positive consequences outweigh negative?

As can be seen, legislative analysis is a skill that when effectively used, can assist social workers in participating in political practice throughout much of the legislative process as they advocate for the interests of their clients and their profession.

AN OVERVIEW OF THE LEGISLATIVE/POLITICAL PROCESS
AND SOCIAL WORK

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**LEGISLATIVE/POLITICAL PROCESS CURRICULUM PACKAGE
MODULE HANDOUTS:**

A Guide to New York State's Government
How A Bill Becomes A Law
Glossary of Legislative Terms
Glossary of Legislative Slang Terms
The Path of Legislation; Federal
A Bill
The Budget Process in New York State
Financial Terminology
Agency Request Forms Used by DOB
A "Blue Sheet"
"Getting Involved: Social Workers in Politics"
PACE information with candidate questionnaire
"Getting Involved: Social Workers in Legislation"
ELAN and PACE slides
Social Work Information Service (SWIS) Fact Announcement
Position Paper and Fact Sheets
Legislative Analysis Checklist

A GUIDE TO NEW YORK STATE'S GOVERNMENT

THE EXECUTIVE BRANCH

The Executive Branch is headed by the Governor, who is elected for a term of four years. The Governor, who must be at least 30 years old, a citizen of the United States and a resident of New York for five years, serves as the State's chief executive and Commander-in-Chief of its military and naval forces. He is required by the Constitution to submit a yearly State Budget to the Legislature, in which he makes recommendations for legislation and proposes funding appropriations for departments and programs. The Governor also is empowered to: veto legislative bills with which he disagrees; convene the Legislature for special sessions; appoint and, under certain conditions, remove non-elected state officers, and grant reprieves, commutations and pardons.

The Lieutenant Governor is elected for the same term and must possess the same qualifications for office as the Governor. The Lieutenant Governor's main function is to serve as President of the State Senate, but he assumes the governorship in case of impeachment, resignation, absence or death of the Governor. His executive duties are designated by the Governor and may include the chairing of state councils.

The State Comptroller and the Attorney General are the other two elected officials who serve in the Executive Branch. The Comptroller is the chief fiscal officer of the State and serves as the administrative head of the Department of Audit and Control. The Attorney General, as the State's chief legal officer, is responsible for the prosecution of all actions for or against the State, has control of the legal affairs of state officers and departments and serves as the head of the Department of Law.

New York State's governmental activities are run by the twenty departments of the Executive Branch. Three of the departments are supervised by elected officials — the Governor, the Comptroller and the Attorney General. The heads of the remaining departments, who each coordinate policy and activities for a specific concern, are generally appointed by the Governor with the advice and consent of the Senate. The principal exception is the Commissioner of Education, who is selected by the Regents of the University of the State of New York.

The Executive Branch is characterized by a strong Governor, with certain powers over appointments and the budget. However,

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executive authority is restricted by the independently appointed and elected officials.

The relationship of the departments to the elected officials, as well as to the corporations, commissions, committees and agencies of the Executive Branch, are shown on the organizational flow chart.

THE LEGISLATIVE BRANCH

The Legislature is the law-making branch of state government. It is a bicameral, or two-house, body composed of the Senate and the Assembly. The Constitution authorizes a Senate of varying number, currently 61 members, and an Assembly of 150 members, who are elected from districts throughout the State for two-year terms. Each member of the Legislature must be a United States citizen, a resident of the State for five years and, in most cases, of the Senate or Assembly district for one year preceding the election.

The Lieutenant Governor is the Senate's President. In this largely ceremonial capacity, he presides over the Senate during the legislative session and has a rarely used casting vote to break ties in measures before the house.

After each election, the Senate elects from among its members a Temporary President who serves a two-year term. Traditionally, the Temporary President is the ranking Senator of the majority political party in the house — the Majority Leader. It is the duty of the Temporary President to direct and guide the business of the Senate, appoint Senate committees, name Senate employees and perform or delegate to another Senator the duties of the President during the Lieutenant Governor's absence from the Senate Chamber.

The Assembly is presided over by the Speaker, who is elected from and by the Assembly membership for a two-year term. In addition to his duties as presiding officer, the Speaker possesses general powers similar to those of the Temporary President of the Senate.

The Temporary President and then the Speaker are next in line to the Lieutenant Governor in succession to the governorship.

The powers that the Constitution reserves for the Legislature are varied and extensive. The most important is that which permits the Senate and Assembly to propose laws, within the limits of the Federal Constitution

and certain Federal statutes and treaties. These laws first take the form of bills, which may be introduced in either house. A bill passed by one house must be passed in the same form by the other before it can be sent to the Governor for his signature or veto.

The law-making powers of the Legislature include: the appropriation of funds for the operation of state government and its agencies and for aid to local governments; the definition of acts or omissions that constitute crimes and the setting of penalties; the promotion of the public welfare, including that of the State's indigent, mentally ill and unemployed, and the correction, clarification, amendment or repeal of laws that are outdated or confusing.

The Senate and Assembly have several additional powers that are reserved solely for them in the Constitution. An important weapon in legislative battle is the override of a Governor's veto. The Legislature can approve a law despite a veto by the Governor with the support of two-thirds of the membership in each house. However, the most common law-making procedure is the result of compromise among the Senate, the Assembly and the Governor.

The Senate alone has the power to confirm the Governor's appointment of non-elected state officials and court judges. The Constitution provides that such appointments are subject to the advice and consent of the Senate, which approves or disapproves them, after hearings on the candidate's qualifications.

The Legislature, through its varied functions, serves as a check upon the executive authority of the Governor and helps ensure that the best interests of the State's citizens are legislatively represented.

THE JUDICIAL BRANCH

The State Constitution defines the organization and jurisdiction of New York State's unified court system, which has grown to become one of the busiest and most complex in the world. The judicial system consists of approximately 1,100 full-time judges, 2,500 part-time judges and over 9,500 non-judicial employees.

The Chief Judge of the Court of Appeals is the chief judicial officer of the State. The Chief Judge serves as the chairman of the Administrative Board of the Courts, which consists of the Presiding Justices of the four

Appellate Divisions of the Supreme Court. 297
The Administrative Board, under the leadership of the Chief Judge, establishes statewide administrative standards and policies for the court system.

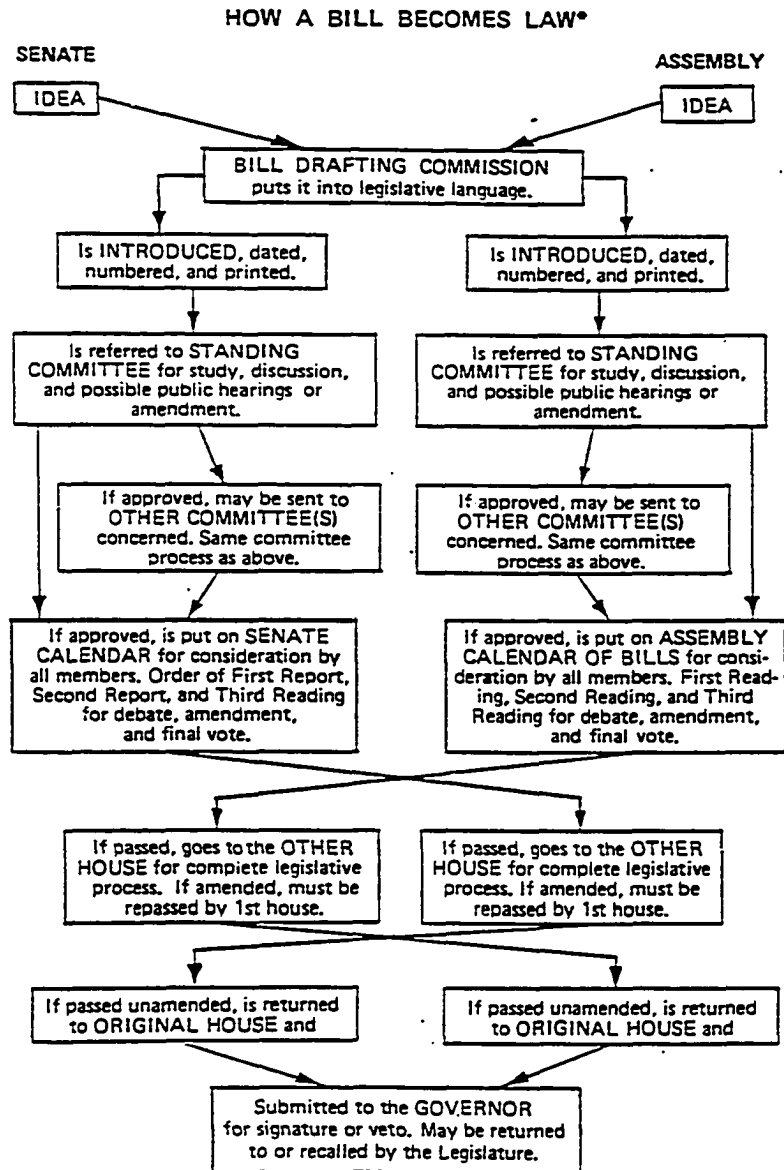
The structure of the State's court system is based upon the cases each court is empowered to adjudicate. The three main classifications of courts in the State are the Appellate Courts, Trial Courts of Superior Jurisdiction and Trial Courts of Lesser Jurisdiction. The trial courts are those with original jurisdiction. They are empowered to hear the initial case in most court proceedings. The appellate courts hear appeals of the decisions from other tribunals in the State.

The Court of Appeals is the State's highest court. It comprises the Chief Judge and six associate judges who are appointed by the Governor for 14-year terms from recommendations by the Commission on Judicial Nomination and with the advice and consent of the Senate. The Court hears cases on appeal from the other appellate courts and, in some instances, from the courts of original jurisdiction. Its review is generally limited to questions of law.

There are four Appellate Divisions of the Supreme Court, one in each of the State's four judicial departments. These departments include all of the eleven judicial districts that divide the State. There are seven appellate justices in both the First and Second Departments, and five in both the Third and Fourth, who are designated by the Governor from among Supreme Court justices to serve five-year terms. In the first two departments, appellate courts hear appeals in criminal and civil cases originating in the Criminal and Civil Courts of the City of New York and in county, district, city, town and village courts. In the Third and Fourth Departments, appeals from city, town and village courts are heard in the appropriate county court.

The Supreme Court, which functions in each of the eleven judicial districts, is a court of unlimited jurisdiction. However, it usually hears only cases outside the authority of other courts, such as civil cases over \$10,000. It generally limits its civil jurisdiction to statewide cases while, in New York City and certain other parts of the State, it also adjudicates felony cases.

DIAGRAM OF THE LEGISLATIVE PROCESS



*This is a diagram of the most common procedure; exceptions and short-cuts are included in the text.

GLOSSARY OF LEGISLATIVE TERMS

ADJOURN — To bring the day's session of the legislature to an end. The state legislature cannot adjourn for more than two days without the two houses adopting a "concurrent resolution."

AMENDMENT — Any change in a bill or resolution.

BILL — A specific proposal for a law which has been introduced into the legislature but is not yet a law.

CALENDAR — A list of bills, resolutions and items which the legislature will consider on that working day. Each house has a daily calendar.

CAUCUS — A closed meeting of members of the same party in either house. The parties use the Caucus to decide leadership and policy questions.

CONSTITUENT — Normally a resident in the legislator's home district.

CONVENE — To bring one or both houses of the legislature together for a session.

HOME RULE REQUEST — A request made by a town or city, asking the state legislature to pass laws which have to do with the property, affairs, or government of the town or city.

JOURNAL — The official record of the proceedings of each house of the State Legislature.

LAW — A bill passed by both houses of the Legislature, signed by the Governor, or repassed by the Legislature over the Governor's veto. Also called a "Statute" and binding on all the State's citizens.

MESSAGE OF NECESSITY — A message from the Governor to the Legislature which deals with the need for an immediate vote on a bill, allowing certain mandatory time requirements for the consideration of the bill to be set aside, or the need for a special bill affecting certain local governments.

OVERRIDE — When the Legislature repasses a bill by a 2/3 vote, after the Governor's veto.

QUORUM — A majority of the members elected to each house. Before each house begins its daily session, a quorum must be present.

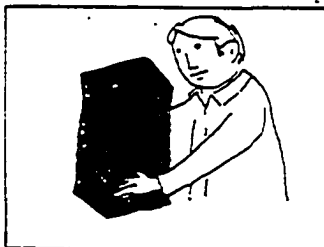
STANDING COMMITTEE — A permanent committee to consider bills assigned to it and make recommendations. Each standing committee deals with a particular subject or area, such as the Committees on Aging and Mental Health.

TABLE — To remove a bill or resolution from immediate consideration indefinitely, without changing its position on the calendar.

VETO — When the Governor fails to enact a bill into law in one of two ways (See legislative chart).

GLOSSARY OF LEGISLATIVE SLANG TERMS

HEAVY LIFTING



The pulse quickening time when a bill or resolution has to be resolved, with the Legislature working against a deadline. Usually describes the last few weeks of the Legislative session.

TURKEY



A bill so bad, and so badly written, that even if the majority party's leadership supports it, it will not pass.

HANG LOOSE

The period when a legislator has not yet made up his mind on a bill.

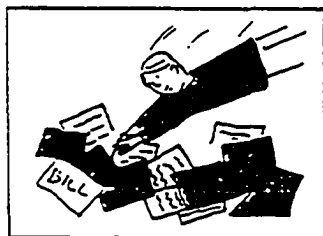
MUST LIST

All the leaders of the Legislature circulate their "must lists" among themselves to make sure that bills that must be passed are passed.

BACK BURNER

Where items go that are not put on the "must list."

INTO THE TANK



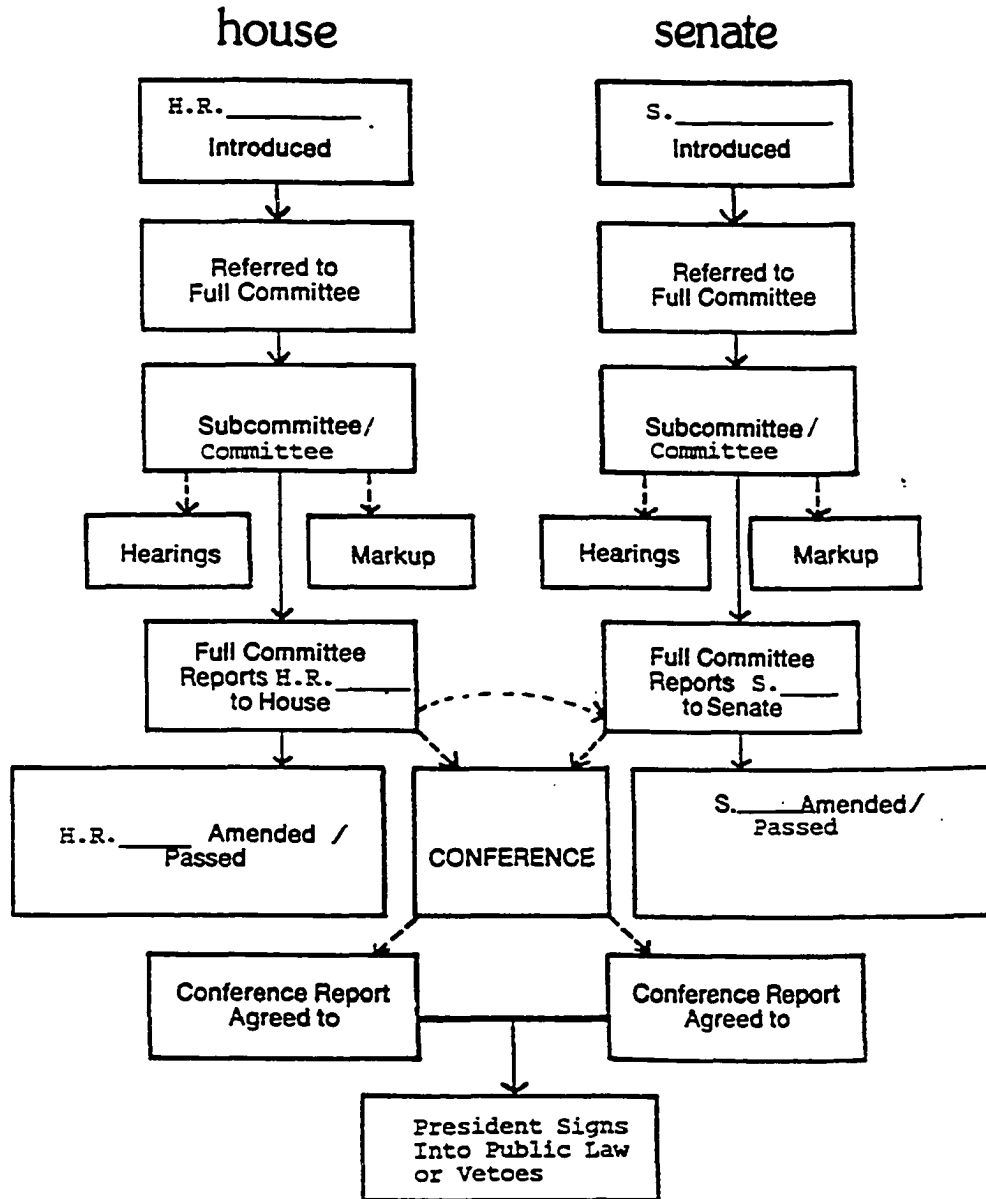
The delicate time when a legislator has joined the list of those legislators supporting a politically difficult bill

OFF THE HOOK

When a legislator is told, to his relief, that his party's leaders have accumulated enough votes from others and he does not have to vote on a politically painful measure, one which might hurt him with his constituents.

the path of legislation: ³⁰¹

AN ABBREVIATED SUMMARY OF A TYPICAL EXAMPLE



STATE OF NEW YORK

98

1987-1988 Regular Sessions

IN ASSEMBLY

(Prefiled)

January 7, 1987

Introduced by M. of A. MURTAGH -- read once and referred to the Committee on Higher Education

AN ACT to amend the education law, in relation to marital and family therapy certification

The People of the State of New York, represented in Senate and Assembly, do enact as follows:

- 1 Section 1. This act shall be known and may be cited as the marital
- 2 and family therapy certification act.
- 3 § 2. Policy and purpose. Marital and family therapy in New York is de-
- 4 clared to be a professional practice which affects the public safety and
- 5 welfare and requires appropriate certification and control in the public
- 6 interest.
- 7 It is the purpose of this act to establish a certification board, a
- 8 structure, and procedures which will ensure that the public has a means
- 9 of protecting itself from unprofessional, improper, unauthorized and un-
- 10 qualified use of certain titles by persons who practice marital and
- 11 family therapy. This act shall be liberally construed to carry out these
- 12 policies and purposes.
- 13 § 3. The education law is amended by adding a new article one hundred
- 14 fifty-two to read as follows:
- 15 ARTICLE 152
- 16 MARITAL AND FAMILY THERAPY
- 17 Section 7550. Introduction.
- 18 7551. Definitions.
- 19 7552. Prohibited acts.
- 20 7553. New York state marital and family therapy certification
- 21 board.

EXPLANATION--Matter in italics (underscored) is new; matter in brackets [] is old law to be omitted.

LBD00466-01-7

A. 98

- 1 7554. Appointment and qualification of board members.
- 2 7555. Certification application.
- 3 7556. Application before January first, nineteen hundred eighty-
- 4 nine.
- 5 7557. Application after January first, nineteen hundred eighty-
- 6 nine.
- 7 7558. Examination.
- 8 7559. Reciprocal certificates.
- 9 7560. Fees.
- 10 7561. Renewal of certificate.
- 11 7562. Disposition of funds.
- 12 7563. Denial, revocation or suspension of certification.
- 13 § 7550. Introduction. This article applies to the profession of mari-
- 14 tal and family therapy. The general provisions for all professions con-
- 15 tained in article one hundred thirty of this title apply to this
- 16 article.
- 17 § 7551. Definitions. As used in this article, unless the context
- 18 clearly requires a different meaning:
- 19 1. "Certified marital and family therapist" means a person to whom a
- 20 certificate has been issued pursuant to the provisions of this article,
- 21 which certificate is in force and not suspended or revoked as of the
- 22 particular time in question.
- 23 2. "Practice of marital and family therapy" means the rendering of
- 24 professional marital and family therapy or counseling services to indiv-
- 25 iduals, family groups and marital pairs, singly or in groups, whether
- 26 such services are offered directly to the general public or through or-
- 27 ganizations, either public or private, for a fee, monetary or otherwise.
- 28 Marital and family therapy is a specialized field of therapy which cen-
- 29 ters largely upon the family system and the relationship between husband
- 30 and wife. Marital and family therapy consists of the application of
- 31 principles, methods, educational and therapeutic techniques for the pur-
- 32 pose of resolving emotional conflict, altering destructive attitudes and
- 33 establishing new ones in the area of marriage and family life.
- 34 3. "Allied mental health field" and "degree" mean:
- 35 (a) master's or doctoral degree in clinical social work;
- 36 (b) master's or doctoral degree in psychiatric nursing;
- 37 (c) doctoral degree in clinical or counseling psychology;
- 38 (d) doctor of medicine or doctor of osteopathy degree with an appro-
- 39 priate residency training in psychiatry; or
- 40 (e) master's or doctoral degree in any mental health field wherein the
- 41 course of study is equivalent to the master's degree in marital and
- 42 family therapy.
- 43 4. "Board" means the New York state marital and family therapy certif-
- 44 ication board.
- 45 5. "Recognized educational institution" means any educational institu-
- 46 tion which grants a bachelor's, master's or doctor's degree and which is
- 47 recognized by the board or by a nationally or regionally recognized edu-
- 48 cational or professional accrediting body.
- 49 § 7552. Prohibited acts. Except as specifically provided elsewhere in
- 50 this article, commencing January first, nineteen hundred eighty-nine,
- 51 unless certified under this article, no person shall use a title or
- 52 description such as certified marital or marriage therapist, counselor,
- 53 advisor or consultant, certified marital or marriage and family therap-
- 54 ist, counselor, advisor or consultant, or any other name, style or
- 55 description denoting that the person is a certified marital and family

1 therapist. Nothing herein shall prohibit any person from advertising the
2 performance of marital and family therapy or counseling services, the
3 persons from whom it may be obtained and prices.

4 § 7553. New York state marital and family therapy certification board.
5 1. A state board for marital and family therapy certification shall be
6 appointed by the board of regents on the recommendation of the commis-
7 sioner for the purpose of assisting the board of regents and the depart-
8 ment on matters of professional certification, accreditation of academic
9 and training programs and professional conduct in accordance with sec-
10 tion sixty-five hundred eight of this chapter. The board shall be com-
11 posed of seven members, one of which shall be designated as chairperson,
12 to be appointed in the manner provided for in section seventy-five hun-
13 dred fifty-four of this article. Of the first board members appointed,
14 three shall continue in office for two years, two for three years, and
15 two, including the chairperson for four years, respectively. Their suc-
16 cessors shall be appointed for terms of four years each, except that any
17 person chosen to fill a vacancy shall be appointed only for the unex-
18 pired term of the board member whom he shall succeed. Upon the expira-
19 tion of his term of office, a board member shall continue to serve until
20 his successor shall have been appointed and shall have qualified. No
21 person may be appointed more than once to fill an unexpired term or more
22 than two consecutive full terms. The commissioner shall designate one
23 board member to serve as chairperson during the term of his appointment
24 to the board. No person may serve as chairperson for more than four
25 years.

26 The commissioner may remove any member of the board or the chairperson
27 from his position as chairperson for neglect of duty or malfeasance or
28 conviction of a felony or crime of moral turpitude while in office but
29 for no other reason.

30 No board member shall participate in any matter before the board in
31 which he has a pecuniary interest, personal bias, or other similar con-
32 flict of interest.

33 2. Four of the members of the board shall constitute a quorum of the
34 board. The principal office of the board shall be at such location in
35 the state as the board shall from time to time specify.

36 § 7554. Appointment and qualification of board members. 1. The commis-
37 sioner shall appoint members of the board only from among the candidates
38 who meet the following qualifications:

39 (a) Four members shall be practicing marital and family therapists who
40 meet the educational and experience requirements stated in this article
41 for persons applying after January first, nineteen hundred eighty-nine
42 and each shall have been at least five years immediately preceding ap-
43 pointment actively engaged as a marital and family therapist in render-
44 ing professional services in marital and family therapy, or in the edu-
45 cation and training of doctoral or postdoctoral students of marital and
46 family therapy, and shall have spent the majority of the time devoted by
47 him to such activity during the two years preceding his appointment, in
48 this state. The initial appointees, appointed pursuant to this section,
49 shall be deemed to be and shall become certified practicing marital and
50 family therapists immediately upon their appointment and qualification
51 as members of the board.

52 (b) Three members shall be representatives of the general public who
53 have no direct affiliation with the practice of marital and family
54 therapy.

1 2. The appointment of any member of the board shall automatically ter-
2 minate thirty days after the date such member is no longer a resident of
3 the state of New York.

4 3. If before the expiration of his term any member shall die, resign,
5 become disqualified, or otherwise cease to be a board member, the
6 vacancy shall be filled by the commissioner by appointment for the unex-
7 pired term.

8 § 7555. Certification application. Each person desiring to obtain a
9 certificate under this article shall make application thereof to the
10 department upon such form and in such manner as the department after ap-
11 proval by the board shall prescribe and shall furnish evidence satisfac-
12 tory to the department and the board that he:

13 1. is of good moral character;

14 2. has not engaged or is not engaged in any practice or conduct which
15 would be a ground for denial, revocation or suspension of a certificate
16 under section seventy-five hundred sixty-three of this article;

17 3. is qualified for certification pursuant to the requirements of this
18 article.

19 § 7556. Application before January first, nineteen hundred eighty-
20 nine. Any person who applies on or before January first, nineteen hun-
21 dred eighty-nine, shall be issued a certificate by the board if he meets
22 the qualifications set forth in section seventy-five hundred fifty-five
23 of this article and provides satisfactory evidence to the board that he
24 either:

25 1. Meets educational and experience qualifications as follows:

26 (a) possesses a minimum of a master's degree or the equivalent from a
27 recognized educational institution in the field of marriage or family
28 therapy or a degree in an allied mental health field or shall be a cler-
29 gyman or a physician whose official transcripts establish that he has
30 completed an appropriate course of study in an allied mental health
31 field.

32 (b) has at least three thousand hours of clinical experience in the
33 practice of marital and family therapy, not more than five hundred hours
34 of which experience was obtained while the candidate was a student in a
35 master's degree program and at least two thousand five hundred hours of
36 which experience was obtained subsequent to the granting of such degree
37 in the field of marital and family therapy or an allied mental health
38 field; or

39 2. Was certified prior to January first, nineteen hundred eighty-nine,
40 in this state in an allied mental health profession and satisfies the
41 educational requirements for certification as a certified marital and
42 family therapist set forth in paragraph (a) of subdivision one of this
43 section.

44 § 7557. Application after January first, nineteen hundred eighty-nine.
45 Any person who applies to the board after January first, nineteen hun-
46 dred eighty-nine shall be issued a certificate by the board if he meets
47 the qualifications set forth in section seventy-five hundred fifty-five
48 of this article and provides satisfactory evidence to the department
49 that he:

50 1. Meets educational and experience qualifications as follows:

51 (a) possesses a minimum of a master's degree or the equivalent from a
52 recognized educational institution in the field of marital and family
53 therapy or counseling, or a degree in an allied mental health field,
54 which degree is evidenced by the applicant's official transcripts which

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1 establish that he has completed an appropriate course of study in an al-
2 lied mental health field.

3 (b) has at least one thousand five hundred hours of clinical ex-
4 perience in the practice of marital and family therapy, not more than
5 five hundred hours of which experience was obtained while the candidate
6 was a student in a master's degree program and at least one thousand
7 hours of which experience was obtained subsequent to the granting of
8 such degree in the field of marital and family therapy or an allied men-
9 tal health field; with ongoing supervision consistent with standards ap-
10 proved by the department; and

11 2. Passes a written and/or oral examination administered by the board.
12 § 7558. Examination. 1. The department after consultation with the
13 board shall conduct an examination at least once a year at a time and
14 place designated by the department.

15 2. Examinations may be written or oral as determined by the board.

16 3. Examinations shall include questions in such theoretical and ap-
17 plied fields to test an applicant's knowledge and competence to engage
18 in the practice of marital and family therapy.

19 4. An applicant shall be held to have passed an examination upon af-
20 firmative vote of a majority of the members of the board present and
21 voting.

22 5. Any person who fails an examination conducted by the board shall
23 not be admitted to a subsequent examination for a period of at least six
24 months.

25 § 7559. Reciprocal certificates. The board shall issue a certificate
26 by reciprocity to any person licensed or certified as a marital and
27 family therapist in another state whose requirements for the license or
28 certificate are equivalent to or exceed the requirements of this state.
29 provided the applicant submits an application on forms prescribed by the
30 department after consultation with the board and pays the original cer-
31 tification fee prescribed by this article.

32 § 7560. Fees. The department shall charge for each examination and
33 certificate provided for in this article not exceeding one hundred
34 dollars. This fee shall be payable to the board by the applicant at the
35 time of filing application. In no case shall the examination fee be
36 refunded, unless in the discretion of the board the applicant shall be
37 deemed ineligible for examination.

38 § 7561. Renewal of certificate. The board shall require the renewal of
39 all certificates of qualification annually on the first day of July, and
40 shall charge and collect a fee not to exceed fifty dollars for such
41 renewal.

42 § 7562. Disposition of funds. All fees and other monies collected and
43 received by the board shall be used for the purpose of implementing this
44 article.

45 § 7563. Denial, revocation or suspension of certification. The depart-
46 ment is authorized to deny, revoke or suspend a certificate granted pur-
47 suant to this article on the following grounds:

48 1. conviction of a felony under the laws of the United States or of
49 any state of the United States;

50 2. conviction of any crime, an essential element of which is
51 dishonesty, deceit, or fraud;

52 3. fraud or deceit in obtaining a certificate as a certified marital
53 and family therapist;

54 4. dishonesty, fraud or gross negligence in the practice of marital
55 and family therapy;

1 5. violation of any rule of professional ethics and professional con-
2 duct adopted by the board.
3 § 4. This act shall take effect on January first, nineteen hundred
4 eighty-nine, except that any rules and regulations necessary for the
5 timely implementation of this act on its effective date shall be promul-
6 gated on or before such date.

THE BUDGET PROCESS
IN
NEW YORK STATE

BUDGET REQUEST MANUAL

DATE	SUBJECT	ITEM
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NEW YORK STATE EXECUTIVE BUDGET PROCESS

April to Mid-Sept. Bureau and Institution heads prepare their Budget Requests (spring). Governor's Policy Letter (Budget Bulletin) issued to agency heads with guidelines for preparing Budget Requests. Agencies review Bureau Requests (summer): - Review by division heads; - Requests submitted to agency budget offices for analysis; - Budget review conferences; - Final decisions by agency heads and final preparation of agency Budget Requests.	Mid-Sept. to Mid-Dec. Agencies submit Budget Requests to DoB (first Monday after Labor Day). Preliminary review of Budget Requests: - Analysis by Budget examiners of . . . --Program fiscal requirements and budget justifications; --Long-term trends; --Comparative data, with agencies supplying new data as requested. Budget examiners conduct informal hearings with agencies (Sept.-Nov.); Budget Director conducts formal hearings (Sept.-Oct.); Budget examiners evaluate hearings and any further justifications; make final recommendations; Fiscal analysts estimate expenditures and revenues and prepare alternative financial plans.	Mid-Dec. to Mid-Jan. Final review and policy formulation: - Policy recommendations by Budget Director; - Policy decisions by Governor; - Financial plan recommendations by fiscal analysts; - Financial plan formulated by Governor and Budget Director; - Budget Message written and press briefing held. Deficiency Budget Bill for current fiscal year submitted to Legislature (early January).	Mid-Jan. to April Passage of Deficiency Budget by both houses (Chapter 1). Governor submits Executive Budget document and supporting Budget Bill to Legislature (mid-January or February 1): - Analysis by fiscal committees; - Public hearings; - Passage by both houses. Passage of special appropriation bills sponsored by legislators and reviewed by DoB, with recommendations sent to Governor. Fiscal year begins April 1: - Budget execution begins--segregations, allocations, transfers, interchanges.

Legislative Action

Executive Decision-Making

Review by Division of the Budget

Agency Program Planning and Budget Preparation

FINANCIAL TERMINOLOGY

The Accounting, Financial Reporting and Budget Accountability Reform Act of 1981 introduced a new dimension to New York's financial accounting and reporting practices—the use of generally accepted accounting principles (GAAP). With the enactment of this reform, New York now presents its State Financial Plan and Executive Budget both on the traditional "cash" basis and in accordance with GAAP. State accounting and financial reporting are also required to be in accordance with these principles.

The GAAP system carries a unique set of accounting concepts and definitions and, in some instances, revises the meanings of financial terms familiar to those acquainted with the cash-based system. Because of these differences in definition, this financial terminology section explains each method of accounting independently, and how each works in the comprehensive accounting system now operating in New York.

BUDGETS

Executive Budget: This term refers broadly to the structure and process of the constitutional system of budgeting in New York State, which vests most authority and responsibility for budget formulation, presentation and execution in the Governor. More specifically, the term refers to the Governor's constitutionally mandated annual submission to the Legislature containing his recommended program, expressed in dollar terms, for the forthcoming fiscal year.

This annual submission is an overall plan of recommended appropriations, expenditures and cash disbursements (see appropriation, expenditures and disbursements, below) necessary to carry out the program, together with estimates of revenues and cash receipts expected to be available to support these expenditures and disbursements. The State Constitution requires, where necessary to achieve a balanced budget, explicit recommendations for changing the current revenue structure and legislation to implement any such recommendations (see *Financial Plan* and *Fiscal Year*, below).

Pursuant to the Constitution, the Governor must incorporate in the Executive Budget submission, appropriations to the Judiciary and the Legislature (which are not part of the Executive branch of State government) as proposed by them, although he may recommend changes to such appropriations.

The Constitution requires submission of the Budget on or before the third Tuesday after the first Monday in January, except in years following gubernatorial elections, when it must be submitted by February 1.

Amendments to the Budget: Under the Constitution the Governor may amend or supplement the Executive Budget within 30 calendar days after its submission or, with the consent of the Legislature, at any time before the close of the session. These revisions, additions or deletions reflect responses to new situations or conditions that arise after

the Executive Budget is prepared or corrections of the Executive Budget.

Supplemental Budget: Following negotiations between the Governor and the legislative leaders, a legislative supplemental budget bill may be introduced that reflects, in part, the Governor's recommendations. The term Supplemental Budget refers to this type of submission. As a multiple-appropriation measure, it is subject to item veto by the Governor (see *Item veto*, below).

Other Appropriation Measures: An appropriation bill may also be submitted through the regular legislative process (i.e., it may be introduced by one or more legislators or by a legislative committee). However, the Legislature must act upon the Governor's constitutionally mandated appropriation bills prior to acting upon any other appropriation bills (unless the Governor certifies the need for immediate passage of another appropriation bill, pursuant to his constitutional authority to issue a "Message of Necessity"). Such other appropriation measures are subject to veto by the Governor.

FINANCIAL PLAN

The Director of the Budget is designated by statute to act on behalf of the Governor in exercising certain of the Governor's constitutionally prescribed responsibilities. The Division of the Budget, headed by the Director of the Budget, prepares a financial plan for each fiscal year, which sets forth for such year the Governor's projections of State revenues and expenditures, and of State receipts and disbursements, that would result from legislative adoption of the Executive Budget recommendations. A revised financial plan must be submitted as soon as practicable after the Executive Budget is enacted. This plan, which is the basis for administration of the State's finances by the Division, must be updated quarterly.

FISCAL YEARS

The State fiscal year runs from April 1 through March 31. The Federal fiscal year runs from October 1 through September 30. The calendar year is the fiscal year for all New York counties and towns and for most cities, while New York City and independent school districts in the State operate on July 1—June 30 fiscal years. For most villages, the fiscal year runs from June 1 through May 31. Other cities and villages in New York State have varying fiscal years (see the State Comptroller's annual *Special Report on Municipal Affairs*).

MAIN BUDGET FUNDS

General Fund: This is the major operating fund of the State. It receives all State income not earmarked for the support of a particular program or activity and not specified by law to be deposited in another fund. State income for New York financial plan purposes has consisted of moneys deposited to the credit of the General Fund during the fiscal year from

current revenues (taxes, fees, certain Federal grants, and miscellaneous receipts including certain repayments of State advances) and transfers thereto. General Fund income finances disbursements from its two operating accounts, the Local Assistance Account and the State Purposes Account, and transfers therefrom to other funds.

The Local Assistance Account finances:

- State grants to, or State expenditures on behalf of, counties, cities, towns, villages, school districts, and other local entities;
- Certain contractual payments to localities;
- Certain advances for reimbursable costs (see advances, below); and
- Certain financial assistance to individuals and nonprofit organizations.

The State Purposes Account finances:

- Salaries and nonwage compensation for most State employees;
- Other operating costs of State agencies, the Legislature and the Judiciary;
- General State charges. These are fixed charges, mandated by statute or court decree, for which the State is liable. They include pensions; health, dental and optical benefits; social security payments on behalf of State employees; employee benefit programs; court judgments; assessments for local improvements; and taxes on public lands;
- Certain contractual payments, including some contractual payments to localities;
- Certain financial assistance to individuals and nonprofit organizations;
- Certain advances for reimbursable costs; and
- Interest payments on tax and revenue anticipation notes (TRANs), bond anticipation notes (BANs) and BANs issued in the form of commercial paper.

The General Fund, as reported by the State Comptroller in his annual GAAP financial statements, also includes the revenues and expenditures of funds budgeted as internal service and enterprise funds and certain special revenue funds.

Special Revenue Funds: These funds account for State receipts of specific revenue sources, legally restricted in use to expenditure for specified purposes. This governmental fund type is divided into two classifications in New York State — State special revenue funds and Federal special revenue funds. An example of a State special revenue fund is the Conservation Fund. An example of a Federal special revenue fund is the Department of Health and Human Services Fund. While the earmarked revenue fund is treated as a State special revenue fund for cash-basis budgeting and reporting purposes, it is combined with the General Fund for purposes of GAAP-basis budgeting and reporting.

Capital Projects Fund: This fund, together with all other funds within the capital projects fund type, finances:

- Planning, land acquisition, construction and equipment costs attributable to: highway, parkway and rail preservation projects; outdoor recreation and environmental conservation projects; buildings and

other capital facilities required by various State departments and agencies;

- Aid payments to local governmental units and public authorities to help finance the following types of capital programs: highway; parkway; bridge; mass transportation; aviation; port development; community college; senior college; community and State mental health; outdoor recreation; State-assisted housing; and environmental quality;
- Advances for capital construction costs reimbursable by public authorities, instrumentalities of the State, the Federal government, or local governments;
- Bonded State spending; and
- Spending from Federal capital grants.

Debt Service Funds: All tax-financed State debt service on long-term debt and lease-purchase or other contractual obligation payments are paid from debt service funds, which account for the accumulation of money for, and the payment of principal and interest on, general long-term debt. Lease-purchase payments for State University, Health, and Mental Hygiene facilities and for highway construction, reconstruction, reconditioning and preservation purposes under contractual agreements with public authorities are also paid from funds classified as debt service funds.

Tax Stabilization Reserve Fund: Prior to the 1982-83 fund reclassification, two operating funds, the Local Assistance Fund and the State Purposes Fund, had corresponding reserve funds for the stabilization of tax revenues. At the end of each fiscal year, any unexpended balance in either of these operating funds, within certain limits, was transferred to its complementary reserve fund. Either reserve fund could be drawn upon only to meet unanticipated deficits in its respective operating fund.

Under 1981 legislation, the activities of these funds are accounted for in the General Fund. In July 1984, the State Purposes Tax Stabilization Reserve Fund and the Local Assistance Tax Stabilization Reserve Fund were combined in a single Tax Stabilization Reserve Fund. This fund receives any General Fund cash surpluses existing at year-end, up to a maximum contribution of 0.2 percent of total General Fund disbursements. The reserve fund cannot exceed 2 percent of General Fund disbursements for the fiscal year. Any General Fund surplus after the reserve contribution may be used for State tax reduction or may be carried over into the succeeding fiscal year.

Cash assets of the Tax Stabilization Reserve Fund are available on a cash flow basis to finance General Fund disbursements during the fiscal year, but must be reconstituted, in cash, by March 31 of any fiscal year.

NOTE: For a discussion of the complete fund structure of the State, see "Accounting Terms Related to Generally Accepted Accounting Principles."

APPROPRIATIONS, OBLIGATIONS, EXPENDITURES AND RELATED TERMS

An **appropriation** is a statutory authorization against which expenditures may be made during a specific State fiscal year, and from which disbursements (see disbursements, below) may be made, for the purposes designated, up to the stated

amount of the appropriation. Under the Constitution, an appropriation may be made for no longer than a two-year period (also see *reappropriation*, below).

Appropriations are authorizations, rather than mandates, to spend. Expenditures and disbursements need not, and generally do not, equal the amount of the appropriation from which they are made, since less than the full amount of the appropriation is usually spent within the fiscal year to which it pertains (see *carryover*, below). An appropriation represents maximum spending authority unless a lower maximum has been set by an expenditure ceiling (see *expenditure ceiling*, below).

In New York, all appropriations are classified in one of the four following categories:

- State Operations.** This category relates to appropriations for the operation of State agencies, regardless of fund source. For example, an agency may have appropriations in several different fund types, and from many different funds (or accounts within funds), and all these appropriations would be categorized as "State Operations."
- Aid to Localities.** This category includes all appropriations for aid to localities, regardless of fund source.
- Capital Projects.** When used as a category, "Capital Projects" includes all appropriations for capital construction projects, regardless of fund source. It should not be confused with "Capital Projects" as a fund type, or with the Capital Projects Fund.
- Debt Service.** This category includes all appropriations for tax-financed State debt service on long-term debt, contractual obligation and lease purchase arrangements with several public authorities and municipalities, and lease-purchase payments for State University, Health, and Mental Hygiene facilities and for various highway projects (construction and reconstruction and reconditioning and preservation under contractual agreements with public authorities).

A *deficiency appropriation* is used to meet actual or anticipated obligations not foreseen when the annual and supplemental budgets were enacted and for which the costs would exceed available spending authorizations. It might add to a previously authorized appropriation anticipated to be inadequate, or provide a new appropriation to finance an existing or anticipated liability for which no appropriation exists. A deficiency appropriation usually applies to the fiscal year during which it is made.

Section 53 of the State Finance Law authorizes the enactment of a special emergency appropriation, which may be allocated by the Governor to various funds. Allocations to the General Fund, the Capital Projects Fund and funds receiving Federal moneys are subject to the approval of specified legislative leaders.

An *advance* is a payment by the State on behalf of an agency, authority, fund, public benefit corporation, or the Federal government that must be reimbursed by such entity. Certain advances are made from the Capital Projects Fund for prefinancing the cost of capital projects undertaken by public authorities, State agencies or localities.

A *lump-sum appropriation* is one made for personal service, for nonpersonal service, or maintenance undistributed, or for capital projects for all State agencies or to a designated agency (either for itself alone, or on behalf of itself and one or more other agencies) for a stated purpose, without specifying maximum amounts that may be spent by such agency (or agencies) for specific activities or individual objects of expenditure. Such appropriation cannot be obligated and expended without an allocation (see *allocation*, below).

A *reappropriation* is a legislative enactment that continues all or part of the unexpended balance of an appropriation that would otherwise lapse (see *lapsed appropriation*, below). *Reappropriations* are commonly used in the case of Federal funds and capital projects that usually proceed from planning to completion over a span of several years. Funds for capital projects are customarily recommended and appropriated in amounts sufficient to cover the total estimated cost of each phase (such as land acquisition, design, construction and equipping). As contracts within each phase are negotiated, portions of the capital construction appropriation are obligated. However, expenditures are made only to meet the actual costs incurred as each phase of the project progresses.

An *obligation* is a commitment (such as a contract or purchase order) to spend against a given appropriation.

An *encumbrance* provides a mechanism for reserving all, or a portion, of an appropriation for future expenditure. Entering into a contract usually requires an encumbrance, although the funds will be expended or disbursed over a period of several months. Encumbrance accounting provides management control to prevent spending in excess of authorized appropriations.

A *carryover* is the balance of an appropriation (which has not been repealed or reappropriated) against which liabilities have been incurred but not disbursed remaining at the end of the fiscal year for which it was appropriated. Disbursements may be made against such balance through September 15 of the following fiscal year to liquidate any such liabilities.

A *lapsed appropriation* is an appropriation which has expired and against which obligations can no longer be incurred. An appropriation lapses for encumbrance purposes at the close of the fiscal year (March 31) if it is not reappropriated for the succeeding fiscal year.

BUDGET EXECUTION AND CONTROL

An *expenditure ceiling* is a limitation placed on an agency by the Director of the Budget to indicate the maximum dollar amount of expenditures (see *expenditures*, below) that the agency may make against its current-year appropriations, from a given fund, subfund or account.

Certificates are documents issued by the Director of the Budget that authorize various fiscal actions, depending upon the type of certificate. Copies of all certificates must, by law, be sent to the State Comptroller and the chairpersons of the two legislative fiscal committees.

A *certificate of approval* is an instrument issued by the Director of the Budget to indicate approval and authorization

for an agency to make certain financial transactions. These transactions include allocations or segregations, apportionments, and interchanges:

- An allocation or segregation is an authorization to make expenditures from appropriated funds for specified purposes, activities or objects. It is used as a control device for appropriated funds (e.g., quarterly allocations), and to distribute lump-sum appropriations within State agencies.
- An apportionment is an action taken to transfer part of an appropriation from one State agency to another, when such a transfer has been authorized in an appropriation act, or from certain lump-sum appropriations for all agencies to specific agencies.
- An interchange is the movement of funds by certificate to increase or decrease the funds for any item within the same program or purpose appropriation schedule. For the General Fund, the amounts appropriated to a department or agency may also be interchanged among such programs or purposes schedules except that the total amount appropriated for any given program or purpose may not, in aggregate, be increased or decreased via interchanges by more than 5 percent of the first \$5 million, 4 percent of the second \$5 million, and 3 percent of amounts in excess of \$10 million. Capital interchanges or transfers of amounts between appropriations within the Capital Projects Fund are permitted when the following structure exists:

- One or more comprehensive construction programs (CCP), which may or may not relate to agency programs or other organizational arrangements;
- A grouping of appropriations into one or more purposes within CCPs, which purposes may or may not relate to other agency organizational arrangements;
- One or more appropriations or projects in each purpose. Some appropriations have "project schedules" that list institutions or projects for which construction work will be done.

Interchanges between items in a "project schedule" or transfers between appropriations, whether between items within a "project schedule," between appropriations within the same purpose and the same CCP, or between appropriations having different purposes, must be accompanied by a certification of need and availability of funds. Interchanges between items within a "project schedule" do not require certification where the appropriation states that schedule amounts are estimates and are interchangeable among the various projects.

For capital projects, a certificate of approval of availability, issued by the Director of the Budget in accord with an appropriation, authorizes the State Comptroller to encumber and/or expend funds, to the extent required, for specific projects or phases of projects.

A certificate of transfer authorizes the transfer of a specified sum of money, within available limits, from an appropriation for a given capital project to one for another capital project within the same agency, or the transfer of operating funds between units of a single agency, or the transfer of positions (with funds appropriated therefor) from one program to another within the same agency.

ACCOUNTING TERMS RELATED TO GENERALLY ACCEPTED ACCOUNTING PRINCIPLES (GAAP)

Generally Accepted Accounting Principles (GAAP) for governments set forth uniform minimum standards and guidelines for financial accounting and reporting as promulgated by authoritative national standard-setting bodies, primarily the National Council on Governmental Accounting (NCGA); its successor, the Governmental Accounting Standards Board (GASB); and the American Institute of Certified Public Accountants (AICPA). NCGA's "Statement One — Governmental Accounting and Financial Reporting Principles," published in 1979, and succeeding statements (reaffirmed by GASB) are the most widely recognized source for authoritative guidance. The definitions that follow are based upon "Statement One," although the accounting terms defined here do not always correspond to traditional usage of the same or similar terms in New York State budgeting.

Accounting is the process of discovering, recording, classifying and summarizing financial information to produce financial reports and provide internal controls. A governmental accounting system should make it possible to: (a) present fairly and with full disclosure the financial position and results of operations of the funds and account groups of the governmental unit; and (b) determine and demonstrate compliance with finance-related legal and contractual provisions.

Generally accepted accounting principles require that government resources be accounted for in separate subentities, called funds, based upon the purposes for which they are to be spent and the means by which spending activities are controlled. GAAP emphasize reporting by fund type and by individual fund, rather than consolidated reporting for the government as a whole.

Section 70 of the State Finance Law establishes seven fund types into which all funds of the State are classified: the General Fund, special revenue funds, capital projects funds, debt service funds, enterprise funds, internal service funds, and fiduciary funds.

These fund types are grouped into three broad classes. Most governmental operations are accounted for in Governmental Funds. Certain operations resembling business or commercial activities are accounted for in Proprietary Funds (which include enterprise and internal service funds). When a government holds funds in trust or as an agent for individuals or organizations, such activity is recorded in Fiduciary Funds.

Depending on the purpose of a fund, the accounting treatment varies as to what is recorded and when. Accounting for governmental funds concentrates on measuring the sources and uses of "available spendable resources." Accounting for proprietary funds is more like commercial accounting and concentrates on measuring the total cost of providing services (including depreciation).

The accounting measurement focus refers to the accounting convention that determines what is measured (i.e., which assets and liabilities are included on an entity's balance sheet) and the presence on its operating statement of either "financial flow" information (revenues and expenditures)

or "capital maintenance" information (revenues and expenses). (See spending measurement focus, below.)

The basis of accounting refers to the accounting convention that determines when revenues and expenditures or expenses are recognized in accounts and reported in financial statements.

The cash basis of accounting (the State's traditional method) recognizes transactions only when cash changes hands and does not recognize for reporting purposes such items as accounts receivable, accounts payable or other accruals.

The accrual basis of accounting recognizes revenues when they become both "measurable" and "available to finance expenditures for the current period."

GAAP require modified accrual accounting for all governmental funds and expendable trust funds. Under a modified accrual system, expenditures are recognized when the related fund liability is incurred, with certain exceptions for inventories, prepayments, accumulated unpaid employee benefits, and principal and interest on long-term debts.

To illustrate the differences in what is measured: under the "financial flow" measurement concept, the purchase of a \$25,000 truck would be reported as an "expenditure" in the year purchased; under the "capital maintenance" measurement concept, the "expense" of the truck would be reported as spread over the useful life of the truck, or as depreciated.

To illustrate the differences in when things are measured: when a purchase order for the truck is issued, funds would be "encumbered" or "obligated"; when delivery of the truck is accepted, a liability to pay would be acknowledged by recording an "expenditure"; and when a check is written, funds are "disbursed."

Expenditures are decreases in net financial resources, or fund balance, while expenses are decreases in net total assets, or equity, and represent the total cost of operations (including depreciation) during a period, regardless of the timing of related expenditures. Disbursements are cash payments.

Receipts are cash received, while revenues are increases in net assets. In governmental fund types, revenues are increases in net current assets from sources other than expenditure refunds and residual equity transfers. General long-term debt proceeds and operating transfers-in are classified as "other financing sources" rather than revenues. In the proprietary fund type, revenues are increases in net total assets other than expense refunds, capital contributions and residual equity transfers. Operating transfers-in are also classified separately from revenues.

The spending measurement focus reports only current assets and liabilities on balance sheets; presents revenues and expenditures ("financial flow") information for operating statements; and applies to governmental and expendable trust funds under GAAP. The cost of services (also known as capital maintenance) measurement focus reports all assets and liabilities, whether current or noncurrent, on balance sheets and presents revenues and expenses ("capital maintenance") information on operating statements.

The table below summarizes the classification, measurement focus and basis of accounting for each GAAP fund type.

A SUMMARY OF FUND ACCOUNTING UNDER GAAP FOR GOVERNMENTS

Class/Fund Type	Measurement Focus	Basis for Accounting
Governmental funds		
General	Spending	Modified accrual
Special revenue	Spending	Modified accrual
Debt service	Spending	Modified accrual
Capital projects	Spending	Modified accrual
Special assessment	Spending	Modified accrual
Proprietary funds		
Enterprise	Capital maintenance	Accrual
Internal service	Capital maintenance	Accrual
Fiduciary funds		
Trust and agency		
Expendable trust	Spending	Modified accrual
Nonexpendable trust	Capital maintenance	Accrual
Pension trust	Capital maintenance	Accrual
Agency	Not applicable	Modified accrual

Governmental Funds: Under generally accepted accounting principles, this term describes a class encompassing five specific fund types: the General Fund, special revenue funds, capital projects funds, debt service funds, and special assessment funds. New York State does not have special assessment funds.

Proprietary Funds: Funds in this class include enterprise funds and internal service funds. Enterprise funds account for operations that are financed and carried on much like private enterprise; they reflect the cost of goods and services being paid by those who benefit. Internal service funds account for the financing of goods or services provided by one department or agency to other departments or agencies (or governments) on a cost-reimbursable basis.

Fiduciary Funds: The State maintains custody over certain funds in a trust capacity (trust funds) or as an agent (agency funds) for individuals, private organizations, other governments or other funds. The Common Retirement Fund is an example of a trust fund, while the Federal Withholding Tax Fund is an example of an agency fund.

"Fund" accounting requires the application of special principles to interfund transactions to avoid distorting the financial picture of the government as a whole by counting the same revenues and expenditures more than once as moneys are processed and spent.

Under GAAP, interfund transactions are classified into four groups: quasi-external transactions, reimbursements, residual equity transfers, and operating transfers.

Quasi-external transactions would be treated as revenues, expenditures, or expenses if they involved organizations external to the governmental unit (e.g., payments in lieu of taxes from an enterprise fund to the General Fund, routine employer contributions from the General Fund to a pension trust fund, or internal service fund billings to departments). Such transactions are reported as revenues, expenditures or expenses of the funds involved. Where aggregated data for two or more funds is desired, the revenue, expenditure or expense data may be adjusted to remove the effects of quasi-external transactions.

Residual equity transfers are nonrecurring or nonroutine transfers of equity between funds (e.g., a General Fund contribution of capital to an enterprise fund or internal service fund, subsequent return of all or part of such contribution to the General Fund, and transfers of residual

balances of discontinued funds to the General Fund or a debt service fund). They are reported as additions to or deductions from beginning fund balances in governmental funds from contributed capital in proprietary funds.

Operating transfers are all interfund transfers other than residual equity transfers. Examples are legally authorized transfers from a fund receiving revenue to the fund through which the resources are to be expended, transfers from the General Fund to a special revenue or capital projects fund, operating subsidy transfers from the General Fund or from a special revenue fund to an enterprise fund, and transfers from an enterprise fund other than payments in lieu of taxes to finance General Fund expenditures. Operating transfers, which can affect the results of operations in both governmental and proprietary funds categories, are reported, as appropriate, in the "Other Financing Sources (Uses)" section of the "Statement of Revenues, Expenditures, and Changes in Fund Balance" (governmental funds) and in the "Operating Transfers" section of the "Statement of Revenues, Expenses, and Changes in Retained Earnings" (proprietary funds).

OTHER TERMS THAT APPEAR IN THE BUDGET MESSAGE

An **account**, which is a subdivision of a fund, refers to a classification by which information on particular financial transactions and financial resources is recorded and arranged.

Annualization refers to the expected full-year total of financial implications of a revenue item or an expenditure item initially budgeted for only part of a fiscal year.

Baseline expenditure growth is that portion of the increase in expenditure, for an activity or program, attributable solely to the higher costs required to maintain existing service levels. Illustrative examples include that growth attributable to cost increases for personal services resulting from collective bargaining agreements and such increases for supplies and materials due to inflation.

Baseline expenditure reduction represents a decrease in current service levels for such activity or program, or an increase in administrative efficiency.

Bondable capital spending consists of expenditures for capital purposes that, under statute, may be financed by proceeds from bond sales or bond anticipation note sales. **Nonbondable capital spending** consists of expenditures for capital purposes that may not be financed by proceeds from bond or bond anticipation note sales. The latter must be (and the former may be) financed from other income.

Cap refers to an absolute dollar limit placed on spending and/or borrowing for a designated activity or program. The term is sometimes used to refer to the limitation of an expenditure for the current (and/or one or more forthcoming) fiscal year(s) to the level of the preceding fiscal year or to some other predetermined level.

Chargeback refers to the assessment levied by the State on another government or other entity (e.g., a public authority, a private-sector enterprise, a trade association, or a nonprofit organization) for payment of costs incurred by the State in administering an activity or program on behalf of such government or entity. It may also refer to

an assessment by one State agency against another for such costs.

Credits, for purposes of State taxes, are amounts that may be subtracted from computed tax liability to determine tax due. Deductions are amounts that are subtracted from the tax base prior to computing tax liability. Exclusions and exemptions (other than "personal exemptions," which are actually deductions for purposes of the personal income tax) usually refer to items specifically not included in the tax base.

A **deficit**, for purposes of the cash-basis financial plan, is an excess of disbursements over receipts for a given fiscal period. On a GAAP basis, a deficit is an excess of expenditures (or expenses, as appropriate) over revenues.

Fixed assets are assets of a long-term character that are intended to continue to be held or used, such as land, buildings, improvements other than buildings, machinery and equipment. General fixed assets include all fixed assets not accounted for in proprietary funds or in trust and agency funds. Under GAAP, general fixed assets are recorded in an **Account Group** (which does not involve the measurement of results of operations), rather than a fund, and the recording of "infrastructure" assets and depreciation is not required.

Full-faith-and-credit debt, in New York State, refers to general obligation bonds (and bond anticipation notes [BANs]) authorized by the voters of the State and issued by the State Comptroller. When the term encompasses short-term debt, it also includes State tax and revenue anticipation notes (TRANs) issued by the State Comptroller. The State Constitution mandates legislative appropriation of debt service on such debt; in the absence of such appropriation, it requires the Comptroller to apply first revenues to payment of such debt service. **Moral obligation debt** of the State, in contrast, refers to long-term bonds issued by certain State public authorities (also known as public benefit corporations), which are essentially supported by revenues of such authorities, but also carry the backing of the State (though not its full faith and credit). The statutes authorizing issuance of these bonds by such authorities also establish procedures by which the State is to meet certain deficiencies in debt service reserve funds supporting the bonds. Legislative appropriation is required to meet the resulting "moral obligation." **State-guaranteed debt** has been authorized by the voters of the State for three public authorities: the Job Development Authority; the New York State Thruway Authority; and the Port Authority of New York and New Jersey.

General State charges are costs mandated by statute, by collective bargaining agreements, or by court order. The major portion of these charges reflects the cost of fringe benefits for employees.

Impoundment, in New York State, refers to the setting aside, in a separate bank account, of sufficient income to pay principal and interest on State obligations as such liabilities become due. This action is taken to provide added security for holders of State debt instruments. Impoundment is currently used only for TRANs.

Income maintenance refers to payment of public funds to

eligible beneficiaries to assure specified minimum income levels.

Item veto. Unlike the President of the United States, the Governor of New York State has, in certain instances, the power of *item veto*. The State Constitution authorizes the Governor to selectively veto individual appropriations contained within any multiple appropriation bill passed by the Legislature.

A *joint custody fund* is a fund held within the State Treasury by both the State Comptroller and the Commissioner of Taxation and Finance (see *sole custody fund*).

Key Item Reporting System (KIRS) is a mandated State management information system that provides the Legislature and the general public with information for the purpose of evaluating the achievement of State agency goals and objectives.

A *margin*, or *positive margin*, is a temporary excess of receipts over disbursements. When disbursements temporarily exceed receipts, a *negative margin* exists. A positive margin is not a surplus, nor is a negative margin a deficit, until the fiscal year ends.

A *matching formula* is a formula applied under an intergovernmental grant program which requires a recipient to match from its own funds a specified percentage of each dollar granted by one or more higher level(s) of government.

Nonrecurring receipts are receipts in a given fiscal year that are not normally expected to recur in subsequent fiscal years. **Recurring receipts** are receipts normally expected to continue from one fiscal year to the next.

An *official statement* is a disclosure document prepared (and updated as required) to accompany bond and note

issuance by the State or its public authorities. This statement describes recent and projected fiscal and economic trends and developments of the State and for various municipalities and public authorities throughout the State. It discusses potential legal, fiscal or economic problems facing State government and other major governmental jurisdictions in the State. Its primary purpose is to provide prospective bond or note purchasers sufficient information to make informed decisions on the credit-worthiness of the issue.

An *overspend* occurs when actual expenditures for a particular purpose or project exceed originally planned (or budgeted) levels.

Save harmless refers to a provision of law under which the State protects another entity against any decrease in the level of receipts under a given State program from a previous level.

A *sole custody fund* is a fund administered by an individual State agency official and not under the joint custody of the State Comptroller and the Commissioner of Taxation and Finance. *Sole custody funds* are usually fiduciary in nature. Examples of such funds would be those held for wards of the State (see *joint custody fund*, above).

Spring borrowing is the short-term borrowing undertaken by New York each April because the State's annual pattern of receipts and disbursements is such that disbursements exceed receipts during the initial quarter of each fiscal year. The State traditionally issues short-term tax and revenue anticipation notes (TRANs) to finance this imbalance. These notes are gradually retired during the remainder of the fiscal year.

Because of the current and projected fiscal conditions of the State, new program initiatives or major expansions of existing programs must be particularly well justified. The following are points which should be covered when justifying new or expanded programs.

A. Program Description

Briefly outline the purpose of the proposed program and describe how it supports the agency's program and policy objectives.

B. Need

1. What specific need is there for the program?
2. Is the need a result of specific public demand, new legislation or is it proposed primarily as a result of Agency initiative?
3. Why is the program necessary at this time? Has the need existed previously or have circumstances made it necessary now?
4. Has the program been provided in the past, either by OGS or any other agency? If so, describe the current status.
5. Does the program overlap or duplicate other programs either in OGS or other agencies?
6. Were alternatives explored and why were they rejected?

C. Evaluation

1. What tangible and/or intangible benefits can be expected as a result of this program?
2. What measurement criteria and tools will be utilized to determine if these benefits are being realized?

D. Authorization

1. What statutory or other authority exists for inauguration of the program?
2. Does the program require new or amending legislation?

E. Funding

1. Has funding other than State (e.g., Federal, local or private) been explored? If so, why are they not feasible?
2. Will the program create any offsetting decreases in other OGS program areas? If so, explain and estimate savings.
3. Will the program result in additional revenues to the State? If so, explain and estimate revenue.

F. Staffing and Operating Requirements

1. What increases in present staffing are required? Identify the proposed staff as well as first year and full annual cost.
2. Can staffing requirements be met either partially or fully through reassignment of existing staff or is reclassification of currently approved items or new positions (either temporary or permanent) required?
3. What are the estimated Non-Personal Service costs and what are the bases of the projected needs?

G. Physical Requirements

1. What equipment will be necessary?
2. Will additional space be required and at what locations?
3. What capital construction expenditures will be necessary both immediate and in the future?

H. Time

1. When is the program proposed to begin? If the program is to be broken into segments, present a schedule which indicates when each activity is to begin.

I. Priority

1. What is the relative priority of this program in relation to other requested programs?
2. If the program is not approved this year, how will other agency programs be affected?



NATIONAL ASSOCIATION OF SOCIAL WORKERS New York State Chapter

The National Association of Social Workers (NASW) is the largest professional social work association in the world, with 9,000 active members in the New York State Chapter and over 8,000 members in the New York City Chapter. These 17,000 professionals are involved in planning, creating and delivering services in the health/mental health, education, child care, aging and social service fields. Our goals as social workers are to assist our clients in achieving self-help, independence, dignity and freedom from poverty, and to ensure that we deliver services as effectively and efficiently as possible.

NASW works to enhance the quality of service through the creation and regulation of standards of practice, by emphasizing professional development and by disseminating other professionals' experience in new and established areas of practice through our own professional journals and publications. We advocate for the people we serve, working jointly with community leaders and clients in forming responsible social policy.

The Education Legislative Action Network (ELAN), within NASW, consists of concerned informed citizens—constituent social workers who promote responsible social policies, engage as resource people for individual community leaders and legislators and advocate for the people they serve around issues on which they are competent to speak: the profession of social work and the services the professional social worker provides.

NASW-New York State Political Action for Candidate Election (NASW-NYS PACE) is the separate and independent political arm of NASW. It endorses and disburses voluntary contributions to those in public office and/or candidates for office who support legislation and policies consistent with those of NASW.

Legislative Priorities—1988

Social Service Issues

- Study:** • Welfare Reform.
- Action:** • Homeless; Housing.
- Support:** • State funding of community services.
- Efforts to address recruitment/retention of human service providers of quality care.

Professional Issues

- Action:** • Regulation of Mental Health Practitioners.
- Preservation of the Right of CSW's with 3 years Experience to Receive Insurance Reimbursement.
- The Right for Social Workers to Choose Exemption from Jury Duty.
- Medicaid reimbursement of psychotherapeutic services provided by CSW's in private practice.
- Support:** • Confidentiality/Privacy.
- Anti-Discrimination
 - a. Oppose designation of English as official language.
 - b. Support prohibition of discrimination based upon sexual preference.

NASW has important information to present on this year's priority issues and on those with which we have a history of advocacy. We are anxious to assist appropriate legislative action. NASW New York State Chapter staff and membership can present and explain these positions; we want to aid legislators in arriving at the views they take on key legislation affecting human services. **LET US HELP YOU HELP THOSE WHO NEED IT MOST.**

NASW ** New York State Chapter

225 Lark Street, Albany, New York 12210
(518) 463-4741

Professional Social Work: Advancing the Quality of Life





**NEW YORK STATE CHAPTER
NATIONAL ASSOCIATION OF SOCIAL WORKERS**

**GETTING INVOLVED:
SOCIAL WORKERS IN POLITICS**

I. THE LEGISLATURE

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The Session

The New York State Legislature convenes in Albany each year on the first Wednesday after the first Monday in January..

The Legislature stays in session until a date mutually agreed upon by both houses, usually about 6 months. Early in the session, legislators meet only at the beginning of the week. During the rush to adjourn or recess before summer, they may meet 5 days a week.

The Two Houses

The New York State Legislature is composed of 2 houses, the Assembly and the Senate. Every 2 years, voters elect 150 Assembly members and 61 Senators.

As it's first order of business, each house adopts rules of procedure and elects it's own officers. The presiding officer of the Assembly is the Speaker, who is elected by the members after nominees are chosen in caucus by the 2 major parties. In general session, the nominee of the majority party is elected Speaker. He or she appoints a Majority Leader, other majority officers such as Deputy Majority Leader, Assistant Majority Leader, and Majority Whip, all committee chairmen and committee members.

The Lieutenant Governor presides over the Senate. Executive authority is vested in the Majority Leader who is also Temporary President and presides in the absence of the Lieutenant Governor.

II. HOW A LAW IS BORN

A legislative measure, or bill, is usually introduced by a Senator or Assembly member, but the idea behind a bill can be initiated by a private citizen, an organization, a professional association, the officials of a government, an individual legislator, a legislative committee or the Governor. Program legislation is generally proposed by the Governor, one of the Executive departments or agencies, or the majority or minority programs committee.

Bills may be introduced in either or both houses and members may prefile them beginning November 15th for formal introduction in January, or introduce them during the annual session. Many bills are co-sponsored by a Senator and an Assembly member, although co-sponsoring is not necessary.

Assembly and Senate rules require that bills must be accompanied by an introducers' memorandum explaining the purpose of the bill. Once introduced, the bill receives a number, is printed, and assigned to one of over thirty standing committees.

Committees

Standing Committees operate year round. They are assisted by legislative experts employed by the Assembly Program and Committee staff. Committees analyze every piece of legislation within their jurisdiction and conduct public hearings.

Committees meet weekly to discuss bills on an agenda which is prepared and released the Thursday before the meeting. The Committee members (every Legislator sits on several committees) study the bill and vote on whether to defeat (kill) it, hold it for further study or send (report) it on to the full House for a vote. In order to be reported out of Committee, a bill must be approved by a majority, plus one, of the committee members. Before going on to the House floor for a vote, most bills are examined by the Ways and Means Committee for fiscal implications (costs). On the floor of the House, the bill's sponsor explains it and usually defends it in a debate. This is called "third reading," and can take place three days after the bill leaves committee. A vote on the bill is then taken, and if it passes, it goes to the other House where it follows the same process.

Hearings

Throughout the year committees hold public hearings on specific legislation proposals. They are held all over the State and the public is invited to attend and present statements on the legislation being discussed. Information relating to public hearings can be obtained from the committee sponsoring the hearing or from the Assembly Public Information Office.

The Governor

During the legislative session, the Governor has ten days, excluding Sundays, to approve or veto a

Bill: If he takes no action within that time, the bill automatically becomes law.

If the Governor vetos a "ten-day" bill, that bill becomes law if it is given a second approval by a vote of two-thirds of the members of both houses. This is called "overriding a veto." Such action has rarely occurred in the last 100 years.

III. LOBBYING

Lobbying is the direct attempt to influence the attitudes and decisions of legislators. An effective lobbyist recognizes that while each legislator is an individual who functions within the framework of the political realities in their home district, their own beliefs, conscience and abilities, they must operate primarily in the broader realm of state and legislative politics. Although it is essential for a lobbyist to grasp the general rules of legislative procedure in order to follow legislation, it is important to understand that what appears on the surface (floor debate, role calls, etc.) is only the tip of the iceberg. An important bill has been thoroughly negotiated before it reaches the floor, and very little of consequences occurs in the public view. The action is where the power is, and the power is concentrated in the hands of the Governor, the leader of each house, and key committee chairpersons. Very little of major importance occurs without the direct involvement of the Governor's office and practically nothing of importance happens without the consent of the leadership. When the outcome seems uncertain, the minority leadership is also included. Often the Legislature waits for the Governor's program bills, which may be forwarded late in the session, before even beginning to work on a major issue. The text of the Governor's Annual Message and the budget message presented a month later are valuable for ascertaining the Governor's goals for the session, which often result in major legislation and are subject to much public and private negotiation. A copy of both the budget and the Annual Message may be obtained from the Governor's office after their presentation.

While it is true that certain people hold a great deal of power, it is always important to meet and inform members of the committee with jurisdiction over a bill, staff members and legislators who may share or be persuaded to your organization's point of view. It is almost impossible for legislators to have indepth knowledge of each of the huge number of bills that are introduced each year. The better informed rank and file legislators are, the more chance there is of opening the process.

Interviews and Memos

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Since the legislative workload is relatively light early in the session, that is a good time to schedule meetings with the majority and minority leaders and with committee chairpersons, counsel and staff members whose committees have jurisdiction over the area of your concern. A brief legislative memo that provides background information on the issues and an outline of your organizations' priorities for the session will be useful as an introduction or follow-up to these meetings. The heading of a memo should clearly identify the organization. The text should be brief - no more than two sides of a page - and should discuss only one bill which is identified by subject, sponsor, and number (Senate and Assembly if there is a companion). Strong, factual arguments to the point should be clearly stated in two or three paragraphs expressing the organization position. The name, address, and phone number of a representative to be contacted for further information should also be included.

It is important to be well prepared when meeting with the legislator you hope to influence. Confidence and skill in conducting an interview come with experience, but the following general guidelines can be useful:

1. Know as much as possible about the individual you are trying to influence.
2. Try to establish a pleasant rapport.
3. Know the facts on all sides of the issue.
4. Get your point across in the fewest possible words.
5. Be sure to ask the legislator's own point of view, and be a good listener.
6. Leave the door open for another interview. If you have failed to win over a public official this time, you may think of a more successful approach next time.
7. Don't be afraid to admit ignorance on special points. Say you will find the answer and report back and do so!
8. Even if turned down, leave on a friendly note, since you may join forces on another issue.
9. Give special recognition to the legislators who are known to be on your side, and ask them for advice and help on reaching other legislators.

Influencing legislators is but one part of effective lobbying. It is equally important for citizen groups to present their information and views to the public. The same well-researched, credible information that is presented to legislators is the basis for sound public relations to keep the public informed. This can lay the groundwork for public support of the group's policies. In order to influence attitudes as well as legislators' attitudes, the organization must work to establish itself in the minds of media representatives and the public as a credible, newsworthy source of information.

There are many techniques that can be used individually or in combination to make information available to the public and to the group's own membership. Newsletters, fact sheets and brochures are useful for wide distribution. Public meetings, seminars, workshops and conferences can be used to bring experts together and to stimulate interested people and press coverage. Speakers Bureaus reach out to people by addressing them within the framework of their own organizations (school, social, religious, civic, etc). Letters to the editor and newsworthy events such as award presentations, rallies and mock trials or congresses also frequently attract press coverage.

However, the world is full of competing news stories. To assure maximum coverage of an organization's activities, there is no substitute for personal contact with media people to explain your role, discuss information and develop strategy. Members of the group should arrange to meet with the editor, managing editor or city editor of newspapers in their own local areas and with the new directors of local radio and television stations. When in Albany, members of the group should make themselves know to the reporters of the Capitol press corps, who cover the Legislature on a continuing basis during the session and have offices on the third floor of the Capitol building. Many newspeople are sympathetic to the goals of citizen groups and can provide useful perspective and advice on timing of press releases and conferences and the type of information that is newsworthy. Since most reporters cover a wide range of subjects, they can do a better job when they are given advance notice and good reliable background material. It is imperative, however, that citizen groups bring stories to the media and not wait for the media to come to them. They should continue to provide stories even if not all of them are printed or broadcast. Sometimes the media must also be lobbied.

Adherence to a few general rules can greatly increase an organization's press coverage:

1. If at all possible, deliver press releases personally. If they have to be mailed, call and alert

- the press in advance.
2. Include background material along with the releases. 326
 3. Learn press deadlines, and time releases to meet deadlines.
 4. Find out the name of a particular reporter to contact when you have a story.
 5. When relevant, ask for editorial support or a feature story as well as news coverage.
 6. If an officer of your organization is making a speech or delivering testimony, send a copy to the press a day or two before with a press release or a cover note authorizing release on or after the date of the speech.
 7. Let the reporters know whom they can contact in the organization for more information or in case they were unable to cover an event in person.
 8. Distill scientific or technical language and concepts into language that is meaningful to the public. Do not use jargon.

Press conferences to which all the representatives of the media are invited can be newsworthy and receive good coverage. It is wise not to overuse this device and save it for unusually important announcements or speakers whom the organization wishes to highlight (national or state officers of the organization, celebrity proponents of the same position). Press conferences may be held in the press room on the first floor of the Legislative Office Building (LOB) if arrangements are made in advance with the Secretary of the Legislative Correspondents Association. The organization may, of course, hold one in its own offices or at another accessible public spot. If possible, invite members of the press personally by phone or visit. Have a release and background material available before the conference begins, but avoid simply rehashing the material. Leave most of the time for questions. To insure maximum coverage, be careful not to arrange a conference that is in conflict with a major news event. As always, be sure of the facts to maintain credibility.

Another source of coverage to explore is public access time on radio or television stations. Public radio and television stations devote considerable time to community problems and programs, as to a lesser degree do commercial stations. The proliferation of talk shows offers ample opportunity for expressing the organization's point of view.

In fact, under the F.C.C. "Fairness Doctrine", radio and television stations are required to air both sides of controversial public issues. A representative of the group may be able to get air time to rebut a program, editorial or commercial that does not present both sides of an issue. Many editorialists invite such replies. In short, seek any opportunity to present your point of view.

V. PLAN OF ACTION

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For a lobbying campaign to be successful requires the fluid orchestration of information, ideas, people, and power relative to your issue. Close adherence to the following principles of action will help give your campaign direction and enhance its' cohesiveness:

1. Have well-defined goals
Consider the importance to the group of the particular action, the people, time and money available, and the types of action which might be most effective. Adopt specific plans for working on legislation, including monitoring.
2. Be realistic and flexible
Both in planning of goals and throughout the campaign: don't expend maximum effort when chances are slim, don't overstate your cause or chances of success, and don't underestimate the importance of persistence - action campaigns take time.
3. Identify supporters
Who else has something to gain from your position? Join with other interested groups - either informally or in coalition.
4. Know who and what you are up against
Apathy? or outright opposition? Know the strength of it.
5. Be clear about what you want people to do
Unless a means of action is provided, most people won't do anything. Suggest one or more of the following: write letters - attend hearings, committee meetings, legislative sessions - talk to legislators - do research, write material - contact the media.
6. Marshall your facts
Research carefully - explore all angles, pro and con.
7. Use news media - at the right time
For maximum impact, make contact early - to get to know, and to give information. Ask for your story when the time is right - when there is real news.
8. Keep communications open
Report all the news, even the discouraging bits.

9. Hang in there for the long haul 328
Many successes come through an unexpected break -
be there to capitalize on it. There will be brief
periods of intensive activity followed by long pe-
riods of calm - keep alert!
10. Do periodic evaluations
Learn from your successes, and from the failures.

Lobbying enables people to affect social change by exerting the power vested in them as citizens. Becoming familiar with the legislative process and the various factors which come to bear on the fate of a bill provides the leverage citizens need to propose, analyze, and influence legislation.

It is our hope that this material has helped you achieve a better understanding of the legislative process. For further information, please refer to the reference section which follows for a listing of valuable publications and important addresses and phone numbers.

VI. Reference Guide

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Phone Numbers

NYS Assembly

Switchboard (518) 455-4100
Public Information (as below) (518) 455-4221

-free pamphlets about the Legislature: voting records
debate transcripts and annual reports

NYS Senate

Switchboard (518) 455-2300
Senate Office of Communications (518) 455-2527

NYS - General

State Government Telephone Information (518) 474-2121
Hot Line - Toll Free (INformation on
status of legislation) 1-800 342-9860
Public Hearing Calendar (518) 455-4433
NYS Board of Elections* (518) 474-6220

*For information locally, look up "Board of Elections"
in the Blue Pages under "County Government Offices"

Federal Government

U.S. House of Representatives Switchboard (202) 224-3121
U.S. Senate Switchboard (202) 224-3121
President - White House Comment Line (202) 456-7639

-to register your opinions for the President

Washington Legislative Status Systems (202) 225-1772

-information on all current bills

Other

Legislative Index Company (518) 463-6621
100 S. Swan Street
Albany, New York 12223

-publishes a complete list of bills from Assembly and
Senate with summary sponsors, and action taken included

Informational Publications

Voting Records:

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Congressional Quarterly Almanac; Congressional Quarterly Inc.

-surveys one year of voting activity in Congress

Congressional Quarterly Weekly Report; Congressional Quarterly Inc.

-contains records of votes in House and Senate arranged by state and members of Congress

Congressional Record; U.S. Congress

-information on specific Senate roll-call and House roll-call and recorded teller votes

Almanac of American Politics

-biographical and selected voting information; "interest group" ratings of members

General

NY Red Book or the Legislative Manual

-information on all legislation; key to government agencies and departments, including officials

A Citizen Lobbyist: A Guide to Action in the State Capitol

-published by the: League of Women Voters
115 State Street
Albany, New York 12210
(518) 465-4162

Excellent information on lobbying.

Information U.S.A.

-Information on every federal agency, department or bureau in the country. Lists names, addresses, phone numbers and descriptions of each, plus tips on how to approach them. Available at any bookstore or the public library.

Phone Book

-check the Blue pages for addresses, and phone numbers or city, county, state, and federal offices and departments.

How to Address Your Representatives

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Use the following addresses and salutations when writing your elected officials:

State:

<u>The Governor</u>	<u>Assemblyperson</u>	<u>Senator</u>
The Honorable _____	The Honorable _____	The Honorable _____
Governor of New York	N Y S Assembly	N Y S Senate
Executive Chamber	Albany, NY 12248	Albany, NY 12247
Albany, NY 12224		

Dear Governor _____:

Dear Mr./Ms. _____

Dear Senator _____

Washington:

<u>The President</u>	<u>U.S. Senator</u>	<u>U.S. Representative</u>
The White House	The Honorable _____	The Honorable _____
Washington, DC 20500	U.S. Senate	House of Repres.
	Washington, DC 20510	Washington, DC
		20515

Dear Mr. President:

Dear Senator _____

Dear Mr./Ms. _____

Western Union Personal Opinion Telegrams

For fast communication, Western Union offers 2 types of Personal Opinion Telegrams:

1. A 15-word telegram, delivered in 24 hours, for \$4.25 (no charge for signature or return address)
2. A 100-word Mailgram, which gets delivered with the next business days mail, for \$5.15. (include name, address, and signature in the count)

Call Western Union Toll-Free at:

New York State	1-800-257-2221
Exceptions: Manhattan	962-7111
Bronx, Queens, Brooklyn	459-8100

NASW Sets the PACE for Political Action

What is PACE?

PACE (Political Action for Candidate Election) is the political action committee (PAC) of the National Association of Social Workers. NASW New York State PACE is affiliated with the New York State Chapter. National PACE focuses on Congressional endorsements, while the state PACE endorses candidates for statewide and, occasionally, local races.

NASW NYS-PACE is an independent and non-partisan body created to help elect public officials who advance the cause of quality human services in New York State. It has an 11-member Board of Trustees, consisting of ten members and the chairperson. The Board of Trustees is appointed by the Chapter president.

PACE activities were initiated by the New York State Chapter of NASW in 1980 to affect public policy through political action for the benefit of social work clients, the profession and society as a whole. The basis for PACE activities is the belief that social workers must support political candidates whose values reflect the profession's priorities.

NASW NYS has a well-earned reputation as a leader in political action among the association's 55 chapters.

Objectives

- To help elect public officials who support the goals and objectives of the social work profession.
- To promote political education and political action among members of the social work profession.

Candidate Selection

Candidates for state office are selected for public endorsement and financial support by the NASW NYS-PACE Board of Trustees.

Selection criteria include:

- candidate's response to NASW NYS-PACE questionnaire;
- candidate's voting record and involvement with social work concerns; and
- candidate's opponent(s) and impact of NASW NYS-PACE on the candidate's chance of success.

Paid for by NASW NYS-PACE, affiliated with the National Association of Social Workers. NASW NYS-PACE is not authorized by any political candidate and is solely responsible for the material herein. A copy of PACE's report is filed with the New York State Board of Elections.

Benefits of PACE Membership

AS A MEMBER YOU

- have input into the candidate selection and endorsement process;
- participate in and organize fundraising events;
- volunteer to campaign for PACE-endorsed candidates; and
- enable our profession's political views to be expressed with clout by a united voice.

Keep in mind that politicians understand clout, political clout that comes from a strong organizational political action committee like NASW NYS-PACE.

On the National Scene...

NASW NYS-PACE is part of a vital national PACE network, which helps social workers play major roles in national political conventions by:

- providing training and assistance to delegates;
- helping social workers get elected as delegates; and
- working at both conventions to advance issues important to social workers.

PACE helps social workers log thousands of hours on behalf of approved candidates and raises substantial funds for candidates on the national, state and local levels.

PACE contributions provide the social work profession with a mechanism to support those candidates best representing human service needs in local, state and national elections. These social worker contributions provide PACE's resources.

Knowledge of legislators' voting behavior is fundamental to understanding and influencing policy decision-making. The NASW NYS-PACE has developed a questionnaire which is designed to: assess New York State legislators compatability with NASW philosophy. Important pieces of state legislation have been selected for identification of support/opposition to the NASW position.

Although a legislator's stated position is only one of the many components of her/his political stance, it is one of the best single objective indicators of her/his views on a specific issue and her/his general ideological persuasion.

Voting records are also valuable indicators. But, in New York State, political influences which bring legislation to the floor of either house often predetermine voting patterns and cloud the issue.

The legislator's perception of the field of social work, her/his attitude toward social work, general knowledge of the profession, and judgement as its importance will also be examined.

This year in addition to evaluating the questionnaire responses for determination of candidate endorsement and support, NASW NYS-PACE will also be associated with the following voting patterns of Senators on key pieces of legislation selected by NASW.

2. Party affiliation is associated with voting patterns on key pieces of legislation selected by NASW.
3. Division represented is associated with voting patterns of legislators on key pieces of legislation selected by NASW.
4. Ratio of NASW members in each division is associated with voting patterns of legislators on key pieces of legislation by NASW.
5. Gender of legislator is associated with voting patterns of legislators on key pieces of legislation selected by NASW.

CAMPAIGN '88 CANDIDATE SURVEY

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NAME _____ AGE _____

ADDRESS (Campaign Headquarters or other) _____

DISTRICT CAMPAIGN MANAGER _____ PHONE # _____

OFFICE BEING SOUGHT _____ DISTRICT _____

POLITICAL PARTY ENDORSEMENTS _____

EMPLOYMENT/OCCUPATION _____

ENCUMBENT ____ YES ____ NO ____

What are the three most critical problems in the state at this time and what solutions do you offer to these problems? Please name.

1. _____

2. _____

3. _____

How would you address the issues of the Homeless population in New York State? Please rank. 335

- 1.
- 2.
- 3.

How would you utilize the services of professional Social Workers in Government?

- 1.
- 2.
- 3.

Is there a need for more professional social workers in New York State?

Yes _____ No _____ Don't Know _____

Social work is:

Profession _____ para-Profession _____ Other _____

To the best of my knowledge, social workers practice in:

_____ Hospitals _____ Prisons _____ Community Action Programs
_____ Policy Department _____ Armed Forces _____ Governor's Office
_____ Bureau of the Budget _____ Private Practice in Psychotherapy

Identifiable clientele disqualifies social workers from making policy decisions regarding social programs in Government.

_____ Yes _____ No

Comments _____

Trained social workers are qualified to play decision making roles in government.

_____ Yes _____ No

Support	Oppose	
_____	_____	Funding of abortions under public funding: Medicaid
_____	_____	Funding of abortions under private funding
_____	_____	Removal of mental health coverage exemption from health insurance policies
_____	_____	Increase in Public Assistance Shelter Allowance

Level where social worker's decision-making authority should
stop:

Direct service to clients _____

Managing agency _____

Authority at County level _____

Authority at State level _____

Authority at Federal level _____

No answer



**NEW YORK STATE CHAPTER
NATIONAL ASSOCIATION OF SOCIAL WORKERS**

**GETTING INVOLVED:
SOCIAL WORKERS IN LEGISLATION**

PREFACE:

338

This handbook will help to explain the National
Association of Social Workers, New York State
Chapter, Education Legislative Action Network
(ELAN);

its past,
its present, and
its future.....

its hopes,
its dreams, and
its desires.

Some of what is presented must occur NOW

.....if the voices of social workers in New York State
are to have an impact upon the laws which govern us.

.....if we are to be in control of our professional destiny.

Some can occur at a future time.

Carole O. Smith, ACSW
Director
Political Action & Legislation

INTRODUCTION:

In December 1969 the idea was introduced for creating a Legislative Action Network to supplement and strengthen the activities of the National office of the NASW. The basic concept was to design a program and structure which would establish two-way communication between the National office and the then 172 chapters of NASW. The purpose was to inform and mobilize social workers and their natural allies of laypersons on local social agency boards, community leaders, other non-social work providers and the consumers of such services.

In March 1970, a temporary staff person was added to the National office to create a program design, develop materials and forms for a workbook, and make initial contacts with Chapters and national organizations. In mid-April the Task Force on Social Services reviewed this work and by the end of April the basic outline and the name "ELAN" (Education Legislative Action Network) was approved by the Executive Director.

A small conference was planned in Washington, D.C. for June 15th and 16th to test the materials with two representatives from ten NASW chapters. They were chosen because their areas included the Congressional Districts of ten of the key Committee Chairmen who ruled over welfare, health and social service legislation. The meeting was most successful and by July 1, 1970 the ELAN Network was officially begun. It was given highest priority by the Finance Committee and Board of Directors for the new fiscal year.

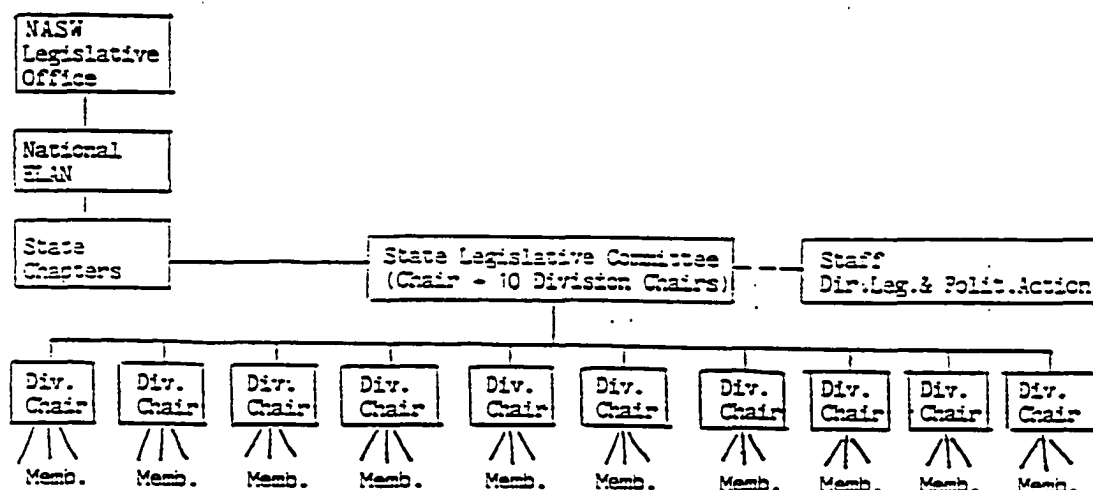
By mid 1970 the volume of communication and activity was sufficiently heavy to warrant adding a full-time staff person for ELAN activities.

ELAN is a tightly-knit communication system based on a spirit of 340
cooperation between the National legislative staff and all the
members, leaders and coordinators in every state. The communication
system is used to express to legislative leaders the various needs and
interests of the social work profession and the clients they serve.

The Goals of ELAN are:

- to advance human-services policies and programs;
- to increase NASW influence in social legislation;
- to use the special and technical expertise of NASW members.

An NASW member makes known a particular interest to the Division ELAN Chair. Generally, the member is working in a specialized program and is very familiar with the needs of that program in that location. The Division ELAN Chair identifies and defines the issues for members in the area to the State Chapter Chair. The Division Chair should have some knowledge of the local legislators in the district. It also helps if the Division Chair has contact with State and Federal legislators through their home offices. In addition, the Division Chair should enlist the aid of key community leaders and organizations in an attempt to increase the power base and form coalitions. There is strength in numbers.



The Chapter Chair is responsible for organization of ELAN at the state level and is the key individual, with the Chapter Director of³⁴² Legislation and Political Action, in influencing legislation at that level.

For the ELAN system on the state level to have a sense of direction, there is a Legislative Committee. This committee meets regularly to set the legislative agenda within and consistent with the Chapter's program priorities. These priorities are then recommended to the Chapter Board of Directors for approval. Position papers are written for each priority. Since most state issues have federal implications, the Chapter maintains communication with the national ELAN office.

NATIONAL ELAN. NASW

The ELAN staff in Washington has major responsibilities. They must³⁴³ monitor and analyze pertinent federal legislation, pending bills and regulations. They must develop a close working relationship with Congress and each chapter in order to effectively coordinate activities and communications. National staff also consults and acts as liaison with federal agencies to help coordinate NASW's input into national social policy and practice. They provide a clearinghouse of social service information for Congressional requests and assist NASW spokespersons in the preparation of Congressional testimony.

Effective action in the legislative arena is based on one fundamental principle: politicians are responsive to their constituent pressures. Political pressure applied at the grass roots level significantly affects governmental action. And, the broader the base of that political action, and the more informed, organized and articulate the constituents, the more likely they are to influence a legislative or political situation.

One of the most important methods of influencing legislation is for constituents to meet with their elected officials. This is no more complicated than any other important business or social contact. Contact can be made directly or through key aides, either through the Albany office (on the state level), or the Washington office (on the national level), or the home office. A follow-up letter of thanks will reinforce the impression of your name and field of interest. Another key method is letter writing.

1. Keep your letters as brief and to the point as possible.
2. Write on your business or personal letterhead, if possible, and sign your name over your typed signature at the end of your message.
3. Identify your subject clearly. State the name of the legislation about which you are writing. Give the Assembly or Senate bill number, if you know it, or the short abbreviation or nickname of bill.
4. State your reason for writing. Your own personal experience is your best supporting evidence. Explain how the issue would affect you, your family, business or profession - or what affect it could have on your state or community.
5. Don't cry "wolf." Not every action is going to affect your job, and legislators give little credence to that claim unless you can substantiate it.
6. Don't be argumentative. Make your points as succinctly as possible. You are not engaged in a debate; you are trying to convince.
7. Be careful in the way you categorize those who disagree with you. Name calling distracts attention from the point you want to make.
8. If you have met the legislator personally or have some connection over and above that of a constituent, draw attention to it in your letter.
9. Ask your legislator to state his/her position on the issue in replying. As a constituent, you're entitled to know.
10. Don't be discouraged if you get what appears to be a form letter in return. Many offices are swamped with mail and are forced to wait a long time before drafting personal responses. Depending on the issue, size of the staff, etc., you may not receive a personal response to your letter.
11. Consider the factor of timing. Try to write your position on a bill while it is in committee. Your Senators and Assemblypersons can usually be more responsive to your appeal at that time than later when the bill has already been approved by a committee. Of course this is not always so. Sometimes your legislator may reserve judgment - and the vote - until the sentiment of the constituency has crystallized.

12. Don't write your legislators only when you have a complaint. Let them know when they have voted in a way that pleases you or have taken another action you like. 345
13. Praise is likely to be remembered. Don't miss the chance to congratulate legislators when they do something of which you approve. All too often constituents forget this important point.
14. Write only when other forms of personal communication are not realistically available. When you can, attempt to talk to your legislators when they are home in their/your district; they are more likely to listen and respond then. When you are in Albany, don't miss the opportunity to drop by and talk to your Senators and Assemblypersons.
15. Never threaten political or other consequences if the legislator refuses to see it your way. Few respond to blatant power plays, nor is it likely that they are less aware than you of the political consequences of their actions.
16. Think twice, even three times, before sending local newspapers the text of your letter. It puts the legislator on the spot and won't help long-term relationships.
17. Avoid pattern phrases and sentences that give the appearance of form letters. They tend to identify your message as part of an organized pressure campaign - and produce little or no impact, unless received in huge quantities.
18. Send your Albany staff person of ELAN (Director of Legislation and Political Action) informational copies of your correspondence and significant responses you may receive.

Suggested Addresses and Salutations:

The Honorable _____
New York State Senate
Albany, NY 12247

The Honorable _____
New York State Assembly
Albany, NY 12248

Dear Senator _____:

Dear M of A _____:

If you know the legislator on a personal basis, you may write by first name and the complimentary close can be as warm a greeting as you care to use.

PUBLIC RELATIONS

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Publicity is essential to legislative work. Each legislator subscribes to the local paper(s) and an editorial or a front page story is bound to attract attention.

Gaining media coverage is easier if you make personal contact with the press. Learn the names of your newspaper editors and editorial writers, and the program directors for local television and radio stations. This is simply a personal touch which makes a good impression. Be sure to emphasize the newsworthy and local aspect of your story to feature in a press release. If you want press coverage of an event, clearly indicate time, place and date. Provide a fact sheet for the reporter including names, titles, anything that may be needed for an accurate story. If you are interviewed, above all be truthful. Don't hedge, if you don't know the answer, admit it and offer to find out. If you don't want a statement quoted, don't say it. Answer all questions directly, don't evade or give obtuse replies. The trick to good, lasting media relations is to make the reporter's life as easy as possible.

TEN COMMANDMENTS FOR WORKING WITH THE PRESS .

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Look at your story from a public interest viewpoint, not your own.

Write or talk in terms the average citizen can understand. Avoid jargon.

If you don't want a statement quoted, don't say it.

Start with the most important facts. Beginning with background information adds confusion. There's time for that information later.

Stay cool. Don't argue with a reporter.

When answering a reporter, don't repeat offensive or distorted words which are part of the question.

A reporter's direct question deserves a direct answer, but a simple "yes" or "no" usually isn't wise.

Don't bluff! If you don't know the answer, admit it and offer to find out the information.

Tell the truth, even if it embarrasses or hurts. It's better in the long run.

Don't exaggerate or embellish the facts; they'll come around to haunt you later.

5

TIPS FOR PREPARING A TELEVISION NEWS FACTSHEET

348

Send to: News Director
 Feature Editor
 Assignments Editor

Headline: Big Event Happens Next Week!

When: (What's the day and date?)

What Time: (10 A.M. or 2 P.M. is best!)

What: (What's the big deal, anyway?)

Why: (What makes this different? What's the angle?
 Why should TV News be interested?)

Where: (Give good directions.)

Put your name and phone number on the sheet for
confirmation!

2

HOW THE CHAPTER FOLLOWS A BILL

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Introduction of a Bill: When introduced, a bill is given a number and copies are made ready for distribution in the document rooms the next day. This assures that the bill is available for study by all members, citizens, and other interest groups. You may obtain a copy by calling (518) 455-5165 (Assembly), (518) 455-2311 (Senate), or the Chapter office. A copy may be obtained from the chief sponsoring legislator with his/her supporting statement.

Usually the Chapter office becomes aware of a bill through Legi-Tech, the Legislative Index, legislative staff, governmental publications, interest groups, etc. Sometimes legislators seek NASW advice during the preparation of a bill. If the bill is of interest to NASW, Chapter staff will contact those responsible for the legislation. Usually, the first contact is by phone to get a sense of the bill's implications, support, committee intentions, administration position, etc. Depending on the urgency or circumstances, ELAN Division Chairs who have a legislator on the respective committee will be informed of NASW's interest in the bill. These ELAN members may be asked to contact their legislator(s) to indicate their support or opposition to the bill in addition to comments on the scope of the proposed legislation. Chapter staff initiates and coordinates all advocacy efforts.

The bill is then assigned to an appropriate committee. One vital aspect of lawmaking is to understand the importance of legislative committees. Almost all the work of creating the form, substance and technical language of a bill is done in committee. The bill is dead if the committee refuses to take action on it. Many bills quickly die in committee. If, however, a bill is sponsored by powerful Assemblypersons or Senators or is backed by powerful lobby groups, the bill is certain to receive more attention. Most bills reported favorably out of committee are passed with only minor modification by the entire body.

This is where public hearings* are held, documentation gathered, and³⁵⁰ diverse interests usually resolved. This is the critical stage for influencing legislation. Perhaps the single most important fact about your local legislator is the committees on which he/she is serving. The sub-committee process is more central on the Congressional level than in the state legislature. The committee staff consists of the professionals and technicians who really do most of the work. The staff is most influential to the legislative process. The committee staff must be responsive to the demands of the chairperson and it is constantly in search of relevant, substantiated information.

ELAN members fit in well at this point. Send the staff reports or studies dealing with the particular bill or issue being considered. Do not try to cover the entire field. Deal within a familiar, if limited, scope. Any research project which zeroes in on the experience of local social workers on a particular project will prove beneficial to the committee staff.

If the committee proposes many amendments to the bill, it may order an amended bill be introduced to replace the original bill. Through committee staff work and lobbying of members by ELAN and Chapter staff, we attempt to assure that the bill is strengthened to further reflect social work concerns.

A bill "reported out of committee" means that it is sent to the floor of the respective house and is ready for debate by the members of that body.

*If hearings are held, NASW may testify or submit a written statement. If the President or officers of the Chapter do not testify, the staff usually seeks a social worker from the field who is articulate and knowledgeable on the subject. Frequently, we will ask members of NASW who are involved in the programs which the legislation covers or affects to submit supporting data and comments for inclusion in the testimony.

After the bill is reported out of committee and scheduled for floor³⁵¹ action, NASW may try to anticipate the vote count by obtaining a reading of those legislative members who are in favor or in opposition to the bill. If NASW feels members need to be persuaded to vote a certain way on the bill, NASW may join with other lobbying groups in an effort to influence their decision through phone calls, letters, or personal contacts.

In advance of a floor vote, Chapter staff may notify the ELAN Division Chairs of the need for their members to contact their respective legislators and encourage them to vote with NASW's interests in mind.

After the final version of a bill has been passed by both houses, the bill is sent to the Governor. It may be important at this stage for NASW's Chapter staff and ELAN members to demonstrate their support or opposition to the bill through telegrams, phone calls, and letters.

The Governor may sign it to make it law. If it is not signed within ten days, it still becomes law. The Governor may also refuse to sign the bill (or veto) and send it back stating his reasons. The Legislature may then override the Governor's vote, by a 2/3 majority, to make the bill a law. In practice, this is exceptionally rare.

HINTS ON DEVELOPING AN ELAN TEAM

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ELAN should gather data from a wide range of social agencies on the possible impact of legislation and regulations locally. Social workers in various agencies - mental health, public welfare, education, penal institutions - will know the effect a cutback should have on a program or the effect a change in regulations should have on agency clients and the efficiency of agency operations.

The ELAN Division Chairs responsible for this effort should create a file of NASW members' names and addresses in categories of special interests or expertise, such as child care and/or senior citizens. They will be contacted for information on the particular issues for which they have concern. They will be known to the legislators as leaders in their fields and thus have a special impact. Information from these people will help ELAN establish priorities for issues and action, suggest new policy or legislation, provide testimony for or against legislation or regulations, and determine the best strategy to pursue.

Community leaders should be drawn in for the ELAN team or constituency. These are public figures, agency board members or people in allied organizations who have shown by their efforts and interests in health and welfare that they are investing their time and effort in making an impact. By joining forces with and knowing these people ELAN can:

- * Publicize NASW goals and policies where they coincide with the concerns of other organizations.
- * Extend the impact of NASW in the community.
- * Effect an exchange of information on local conditions and views, and the impact of regulations on the local level.

Division Chairs should create a file on:

- Individuals with special knowledge and legislative contacts and persons who show an interest.
- Organizations that are or could be part of coalition to influence legislation or that would join NASW in legislative action.

A telephone network will also be necessary:

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- The ELAN Division Chairs may create a network of people who will respond when action on a particular bill is needed. One method is for each team leader to call two or three key people, each of whom will in turn call three people, and those will call three, etc. The people called should be those concerned with a bill in a special field such as child welfare, education, income maintenance, etc.
- The entire network can be activated on occasion when a mass effort on a bill common to the interests of the whole network is needed. Most often only segments of the network will be used at one time.
- The people making up the network may be Chapter members with interests in special types of legislation, retired and part-time social workers, Gold Card NASW members and former social workers.
- Judicious use of this network is important so that people called will not be over-burdened with requests but will have enthusiasm for vital issues.
- Timing of calls and action requested is crucial. Letters or calls sent too late will arrive after a vote has been taken and a bill's fate decided.

Local politicians are interested in legislation which affects their community. They want and need community support. Get to know these people personally and keep them informed on matters of interest to ELAN. These are elected officials whose letters to Assemblypersons and Senators will have a definite impact. If you can get them involved in your cause, they will lend credibility as well as support. Any positive support gained on the local level can be magnified at the state level. A legislator in support of your interest can take that support to the Governor. Get to know them well, also.

IN SUMMARY:

- 1) Compile a list of members, programs in which they are involved, and areas of expertise. Provide this list to the Chapter Chair and Chapter staff.
- 2) Contact the experts in your community. A recognized expert in a particular area can have far reaching influence in supporting or opposing a bill. If enough people are aware of pending legislation and make their lawmakers aware of their views, significant changes can be made.
- 3) Develop a telephone tree among ELAN members in your Division.
- 4) Establish relationships with elected officials.

Keep trying. Being an influential member of ELAN takes time. Getting to know the people who make the laws takes time. Establishing a reputation of NASW as an effective social action association takes time.

Your legislator may not be in sympathy with NASW views. He/she may need to be slowly educated. He/she may need to feel the pressure of the larger community of ELAN constituencies.

ELAN Division Chairs must maintain their efforts contacting their legislators. When the legislator votes the way you wanted, write and thank him/her. He/she is in the business of creating legislation so supply him/her with issues, facts and ideas. Learn what his/her main interests are and see if you can help him/her. Help him/her or show interest in his/her campaign. Can you get to know them through organizations to which they belong?

Public service is a lonely battle and legislators are only human. Use your social work knowledge to show your concern for and interest in them.

On the political side, ELAN members can participate further in the governmental arena through PACE - Political Action for Candidate Election. Organized as a Trust, PACE is the separate political arm of the membership of NASW. Its objectives are:

- * to help elect candidates to public office who support legislation and policies consistent with the aims of NASW;
- * to promote the adoption of public policy that is in the interest of the social work profession and those they serve;
- * to promote political awareness and lawful political action among the members of the social work profession.

Additionally, PACE demonstrates its support of candidates who are friends of human services through formal endorsement and/or campaign support and/or financial aid.

NEW YORK STATE CHAPTER
NATIONAL ASSOCIATION OF SOCIAL WORKERS, INC.

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SOCIAL WORK
INFORMATION SERVICE
SWIS

for the Who, What, When and Where about

- the legislature
 - the executive branch
 - the status of a bill
 - and much more
- in New York State*

Questions about New York State Government?

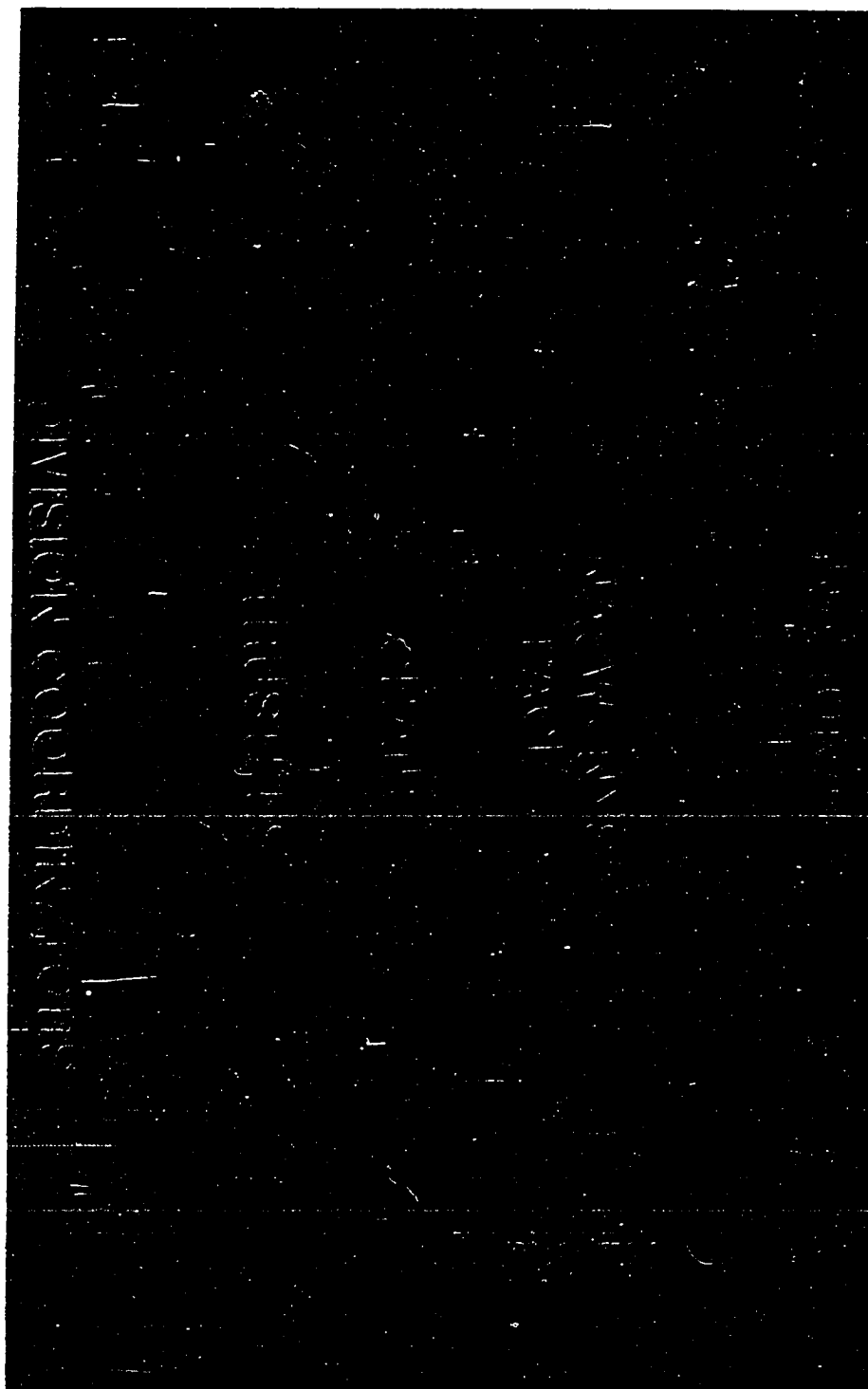
*** Phone toll free 1-800-828-5808, 3701**

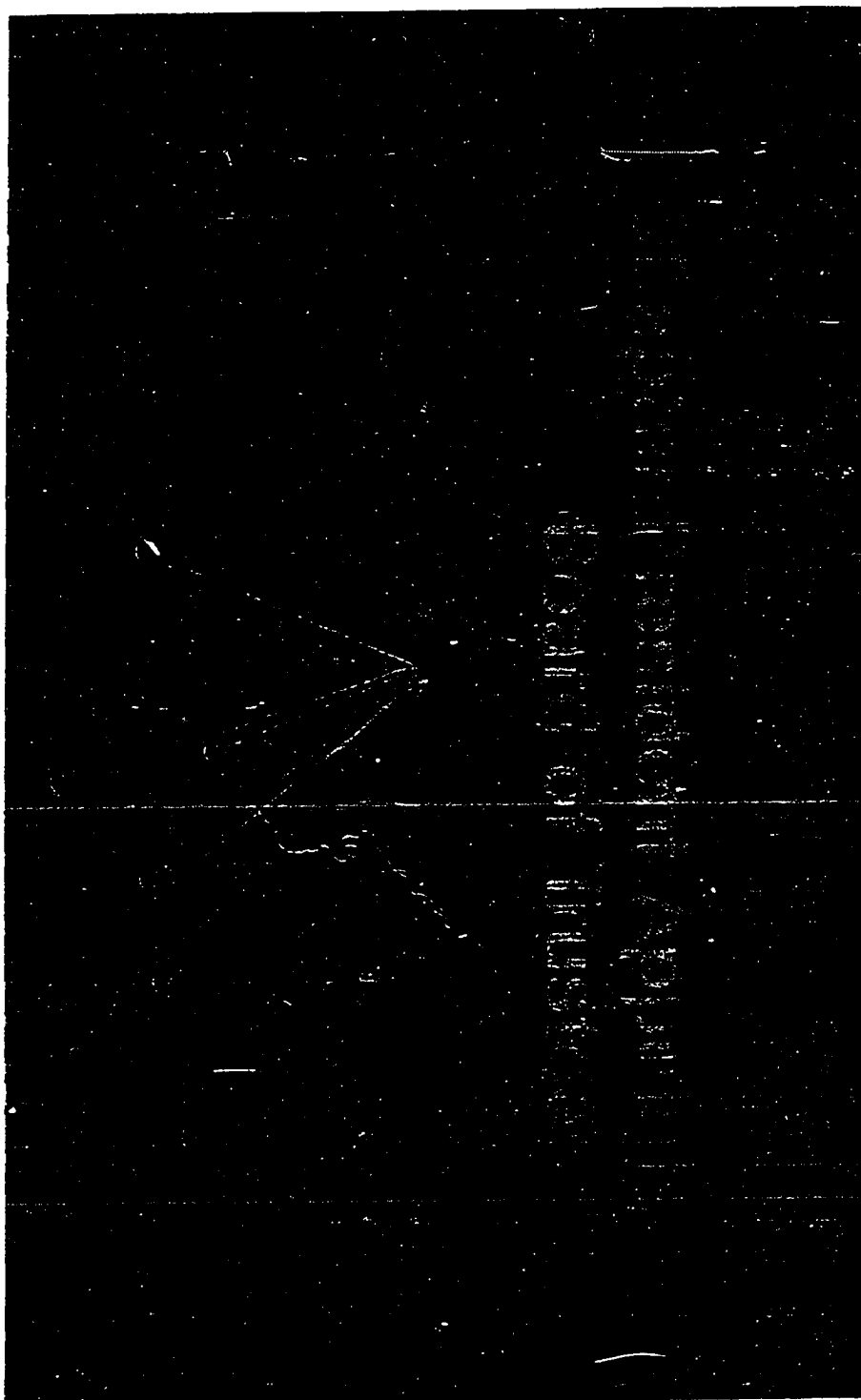
**Effective January 2, 1986. Call on Thursdays, 12 noon - 4:00 p.m.*

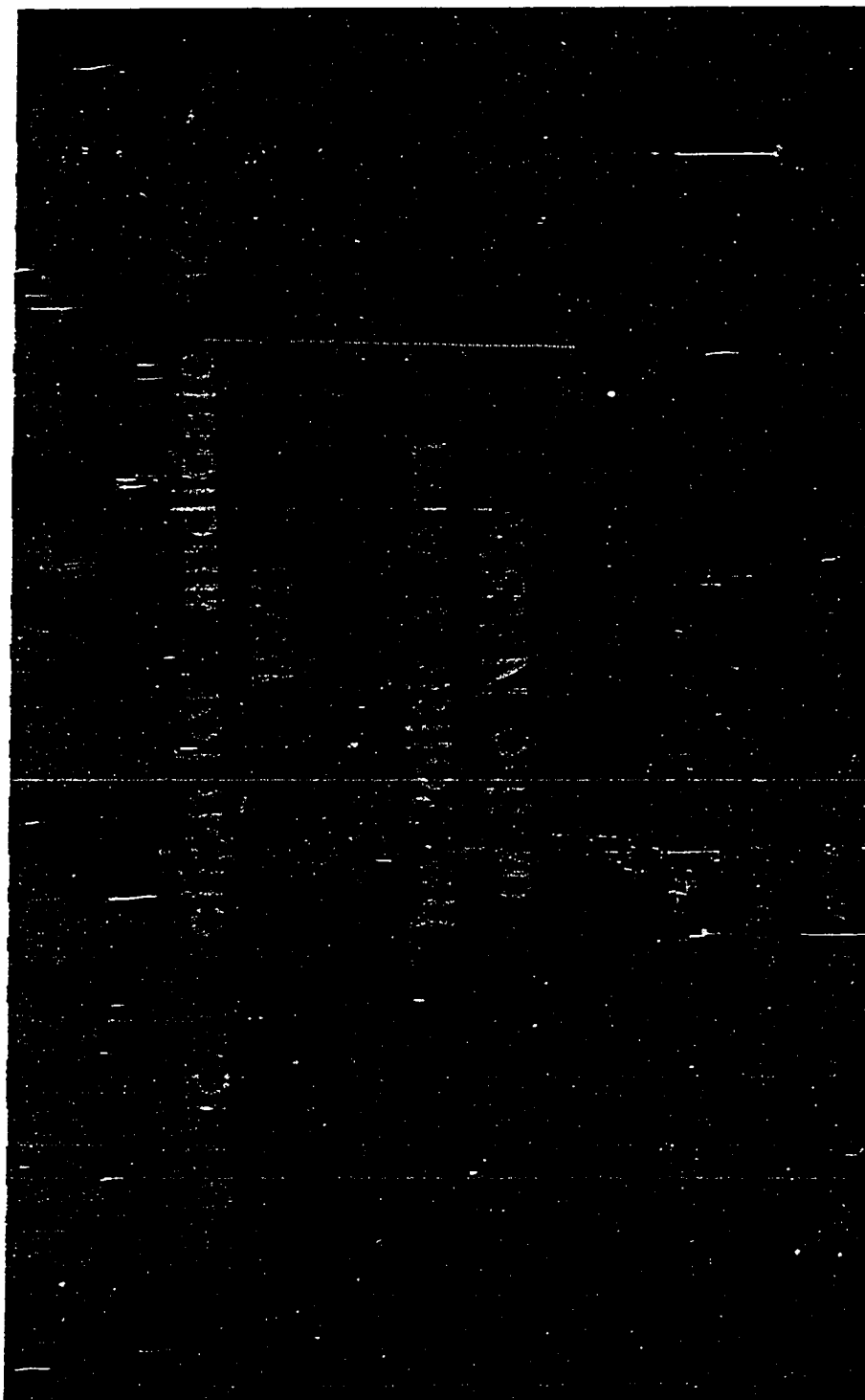
Ask for: Carole O. Smith, ACSW, Director, Political Action & Legislation

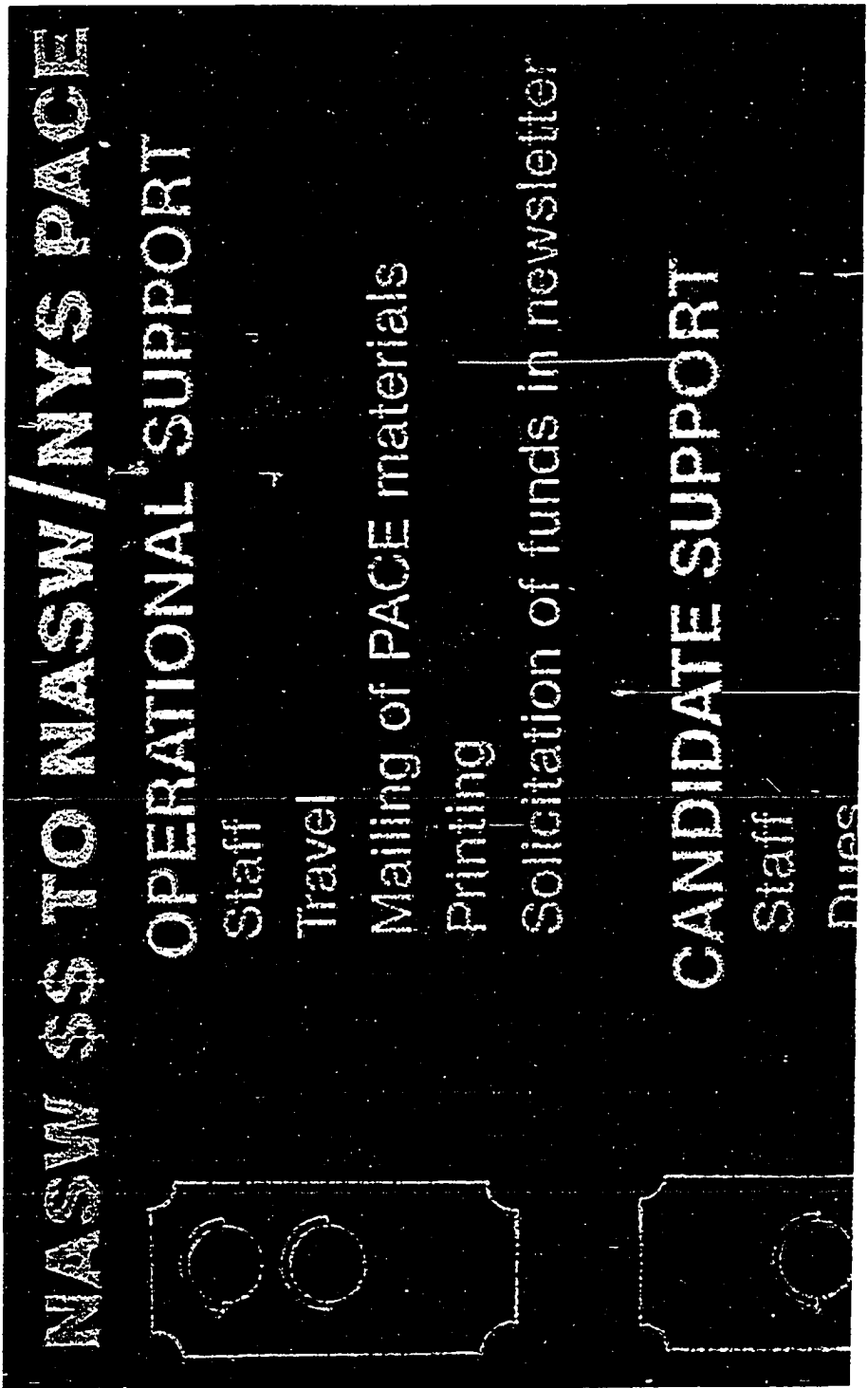
We are happy to announce the addition of Legi-Tech to the Chapter office. Legi-Tech will be an essential tool for our Chapter's expanded legislative program. We have learned that the future of social work is, to a large extent, controlled by our legislators. Immediate access to their activities in Albany is an essential ingredient to an effective legislative program. With nearly 8,000 social workers in the New York State Chapter of the National Association of Social Workers, our ELAN and PACE have the potential to become active participants in the formulation and regulation of laws which govern us, our profession, and our clients.

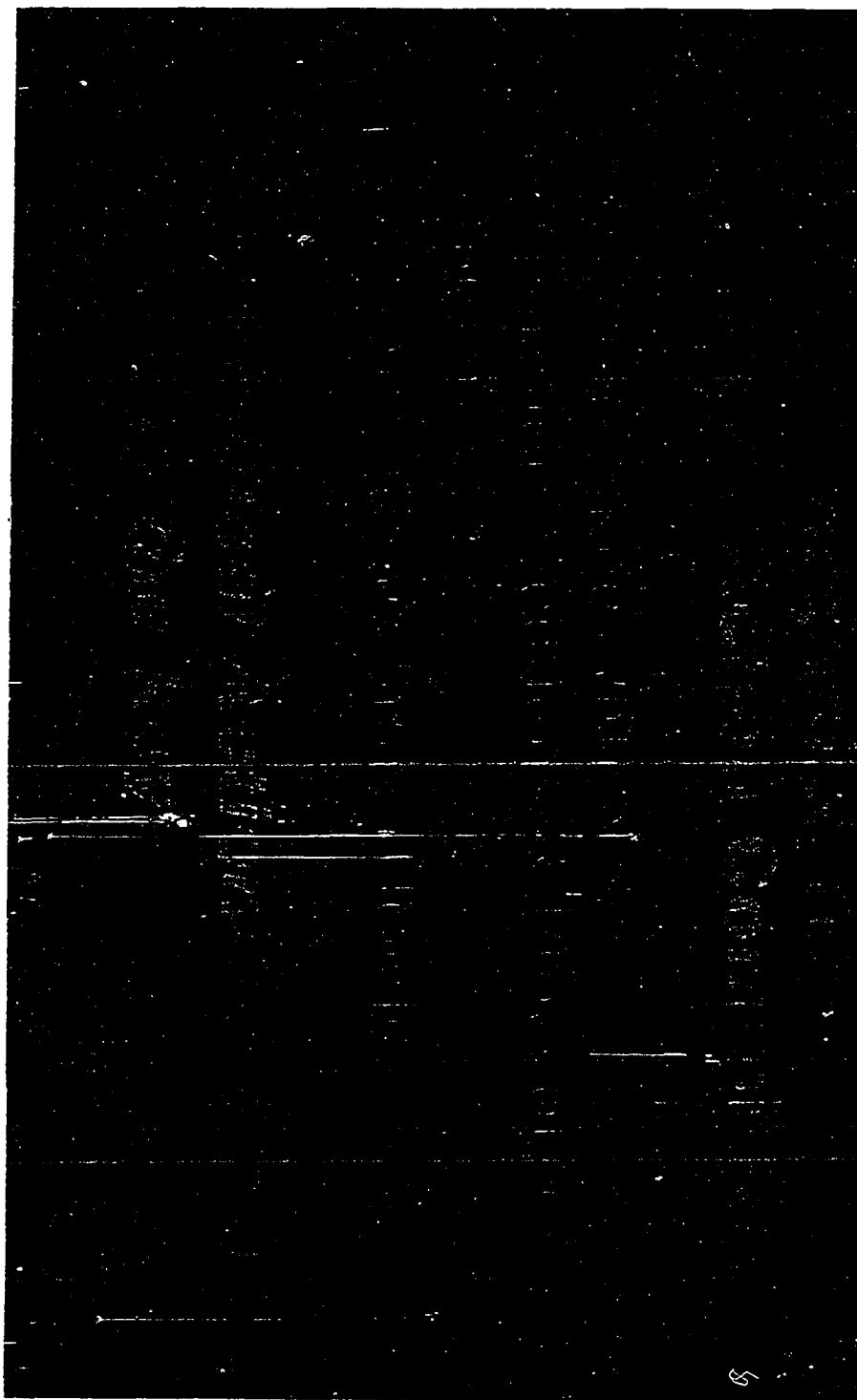
Social Work Information Service, SWIS, will become operational on January 2, 1986. We look forward to the confusion, frustration, impatience and eventual integration which often accompanies change.

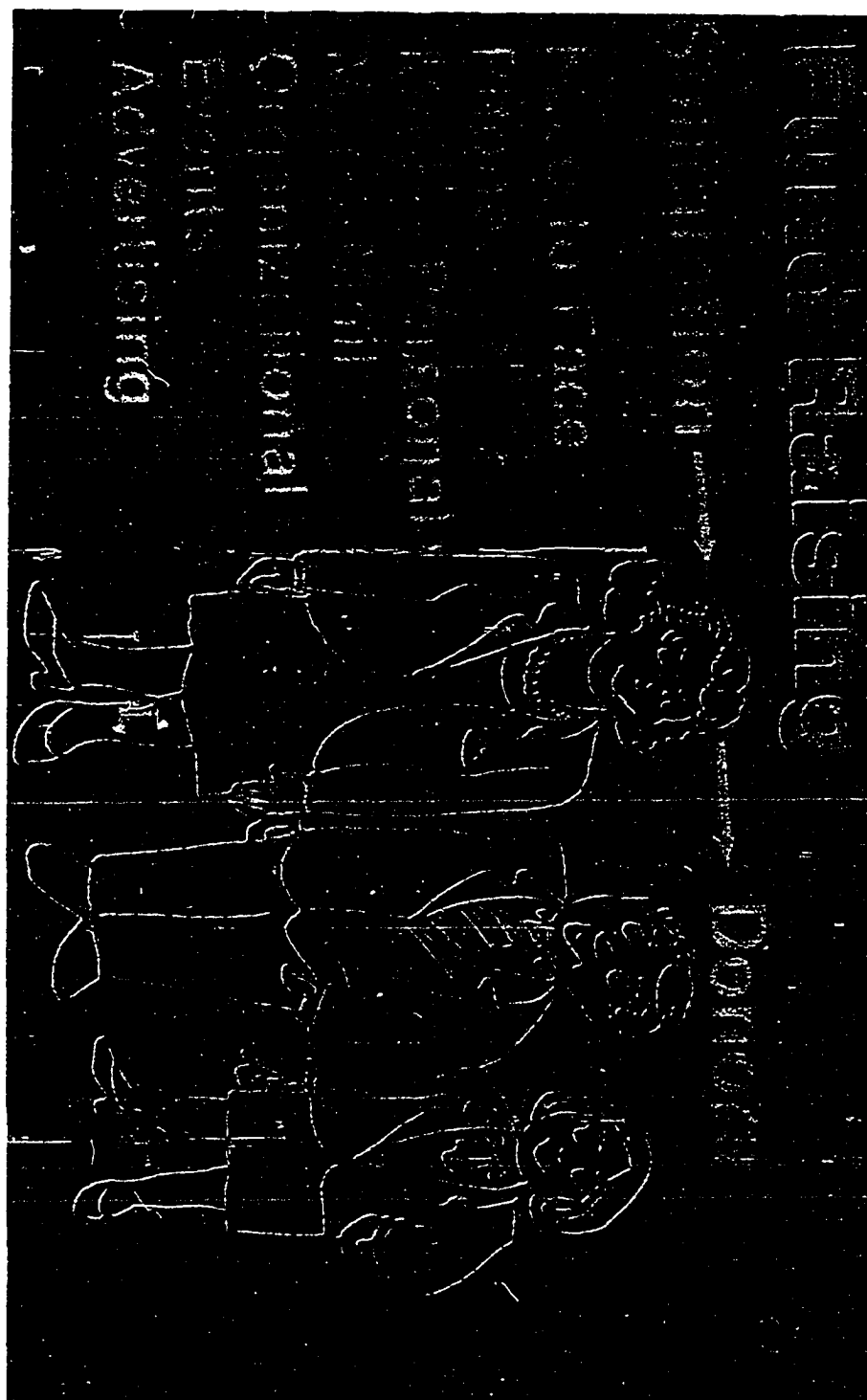


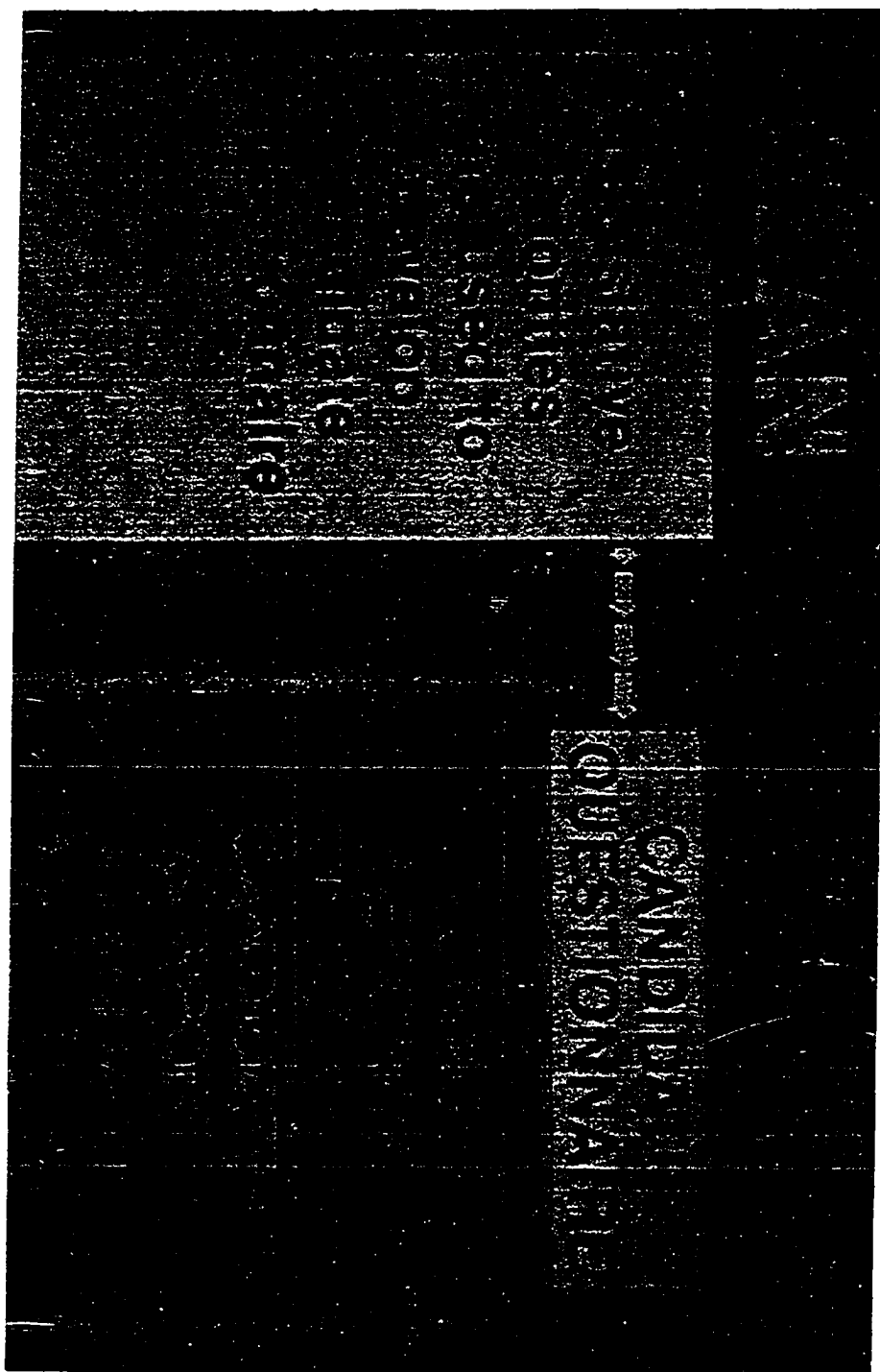


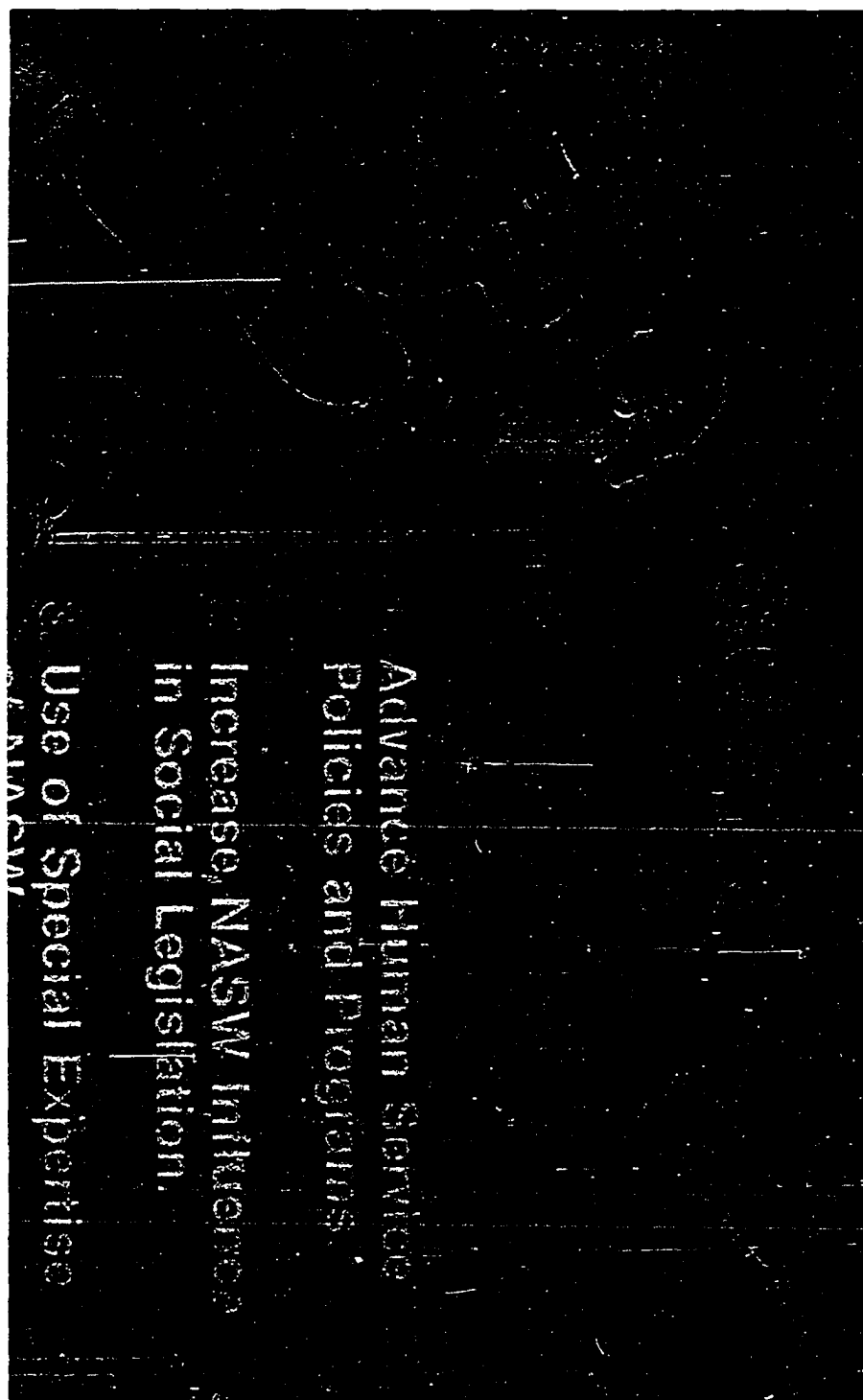


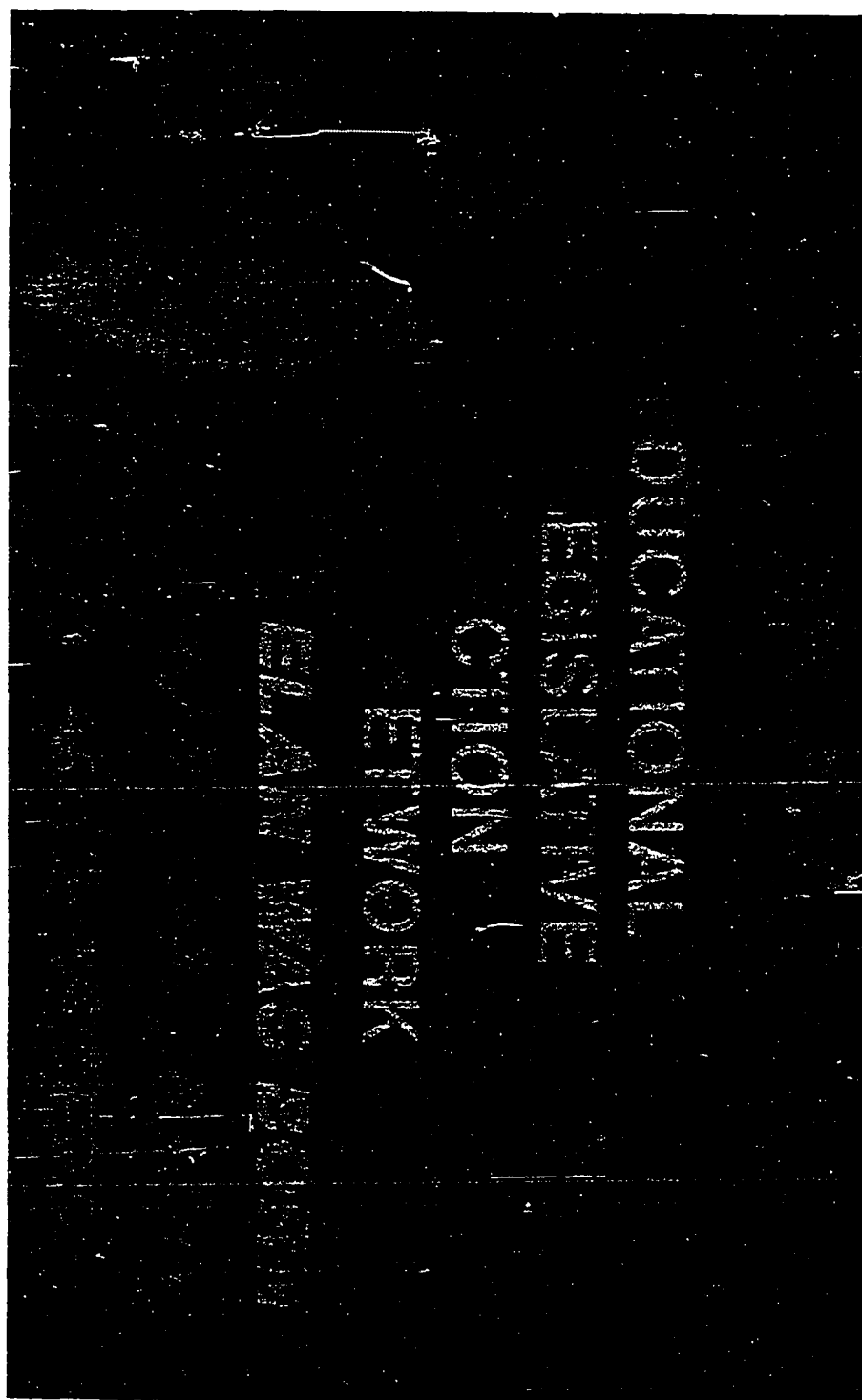




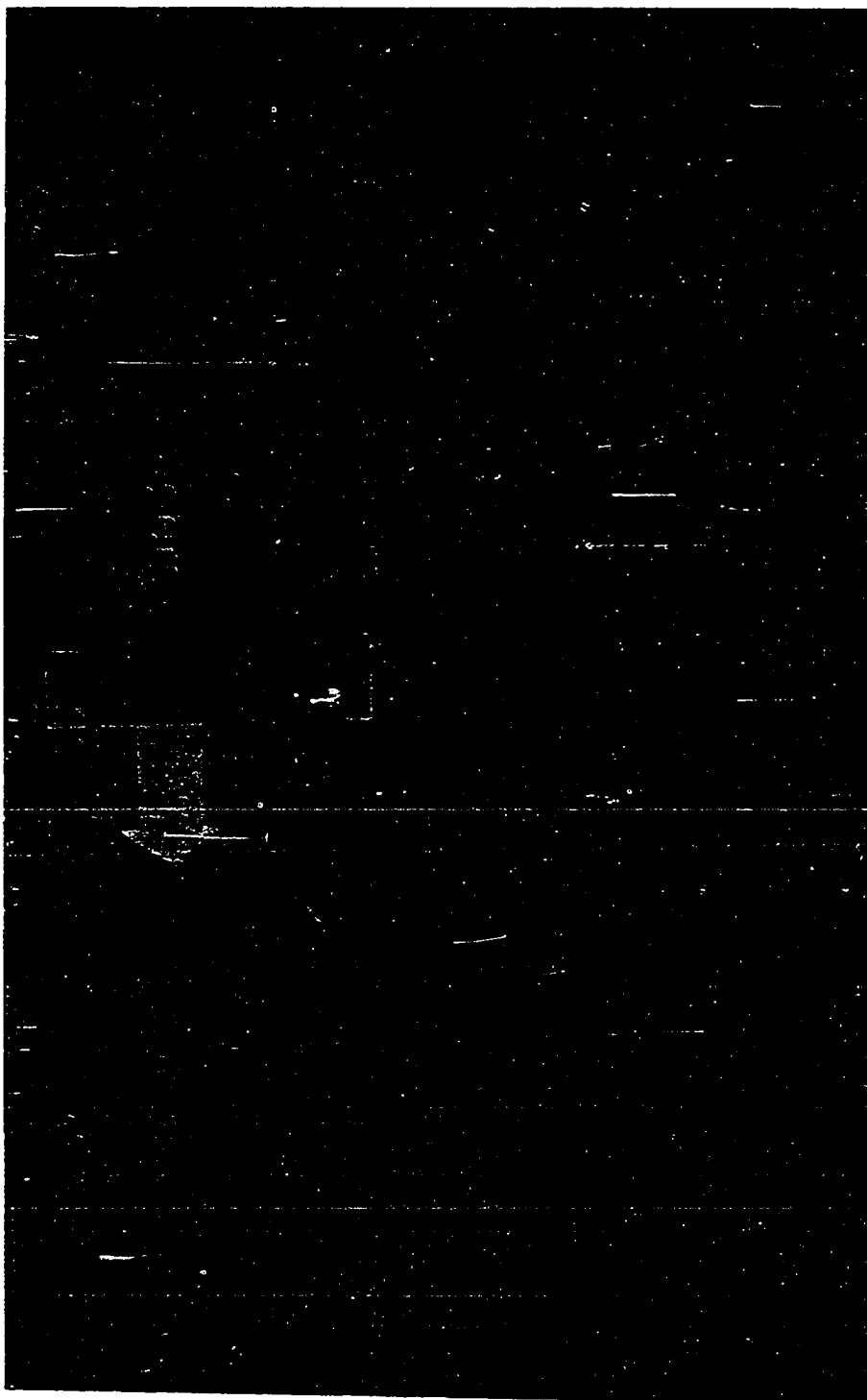


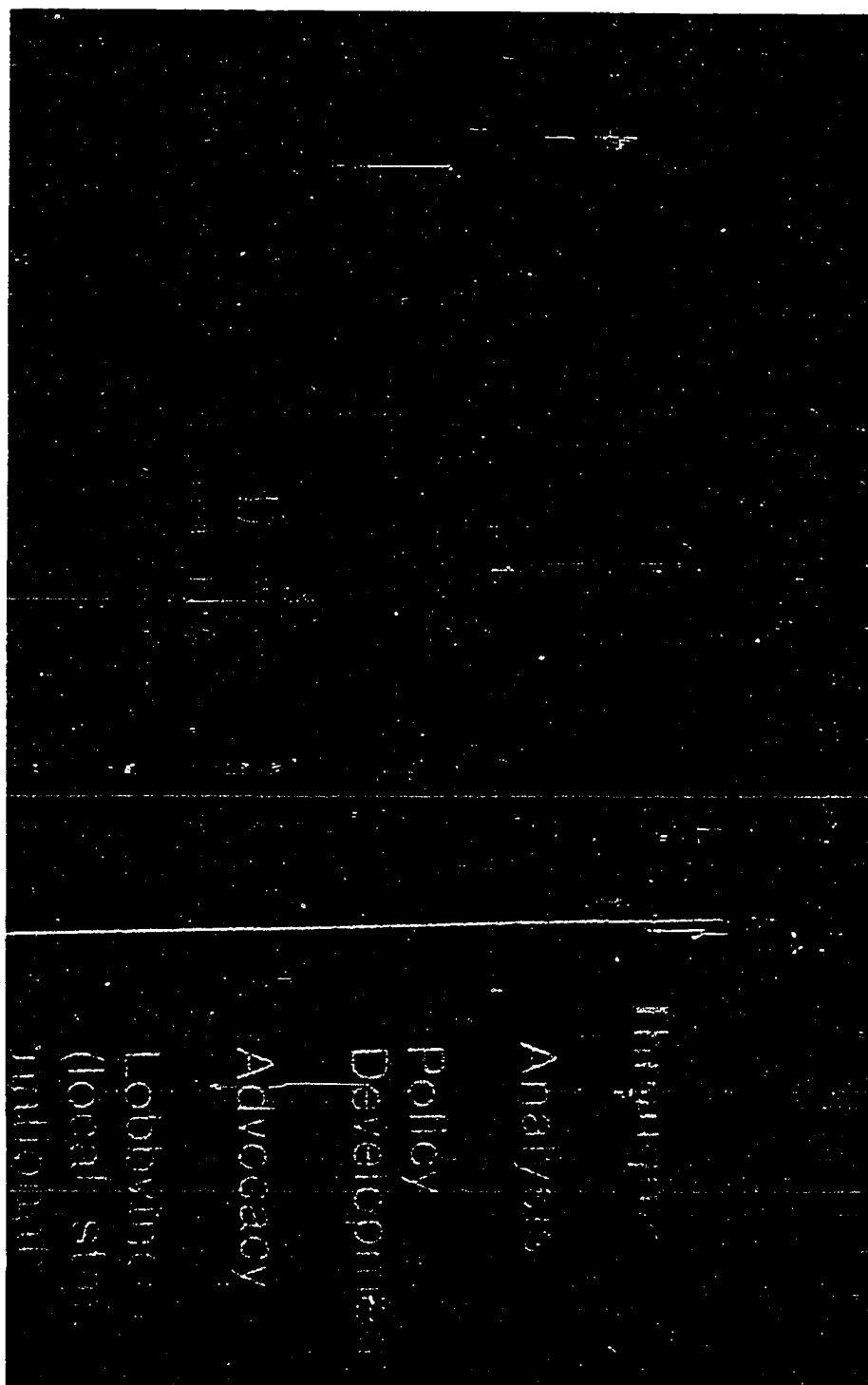






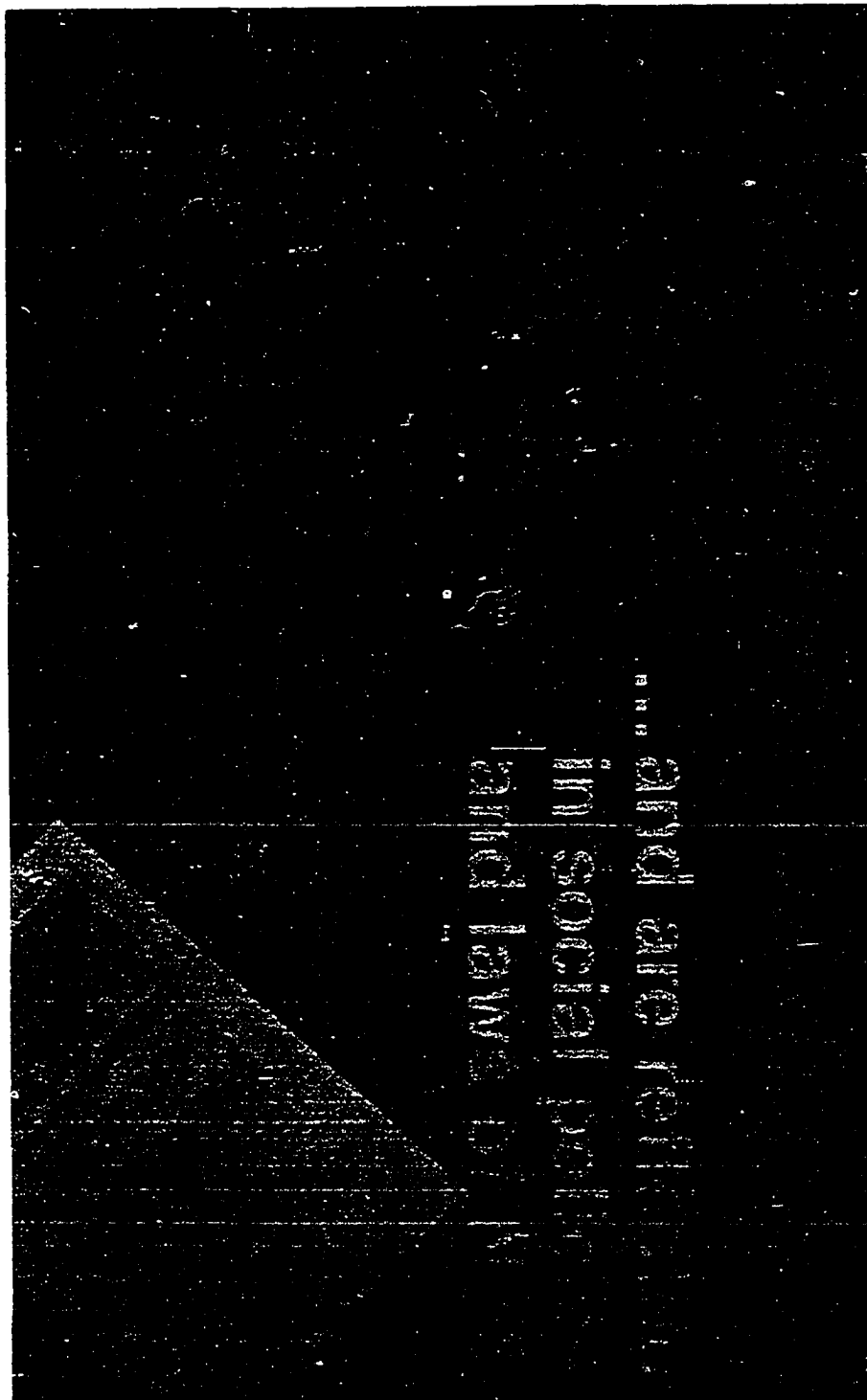
File of experts on the issues
Telephone network
Ties with community leaders
and local coalitions
Ties with legislators

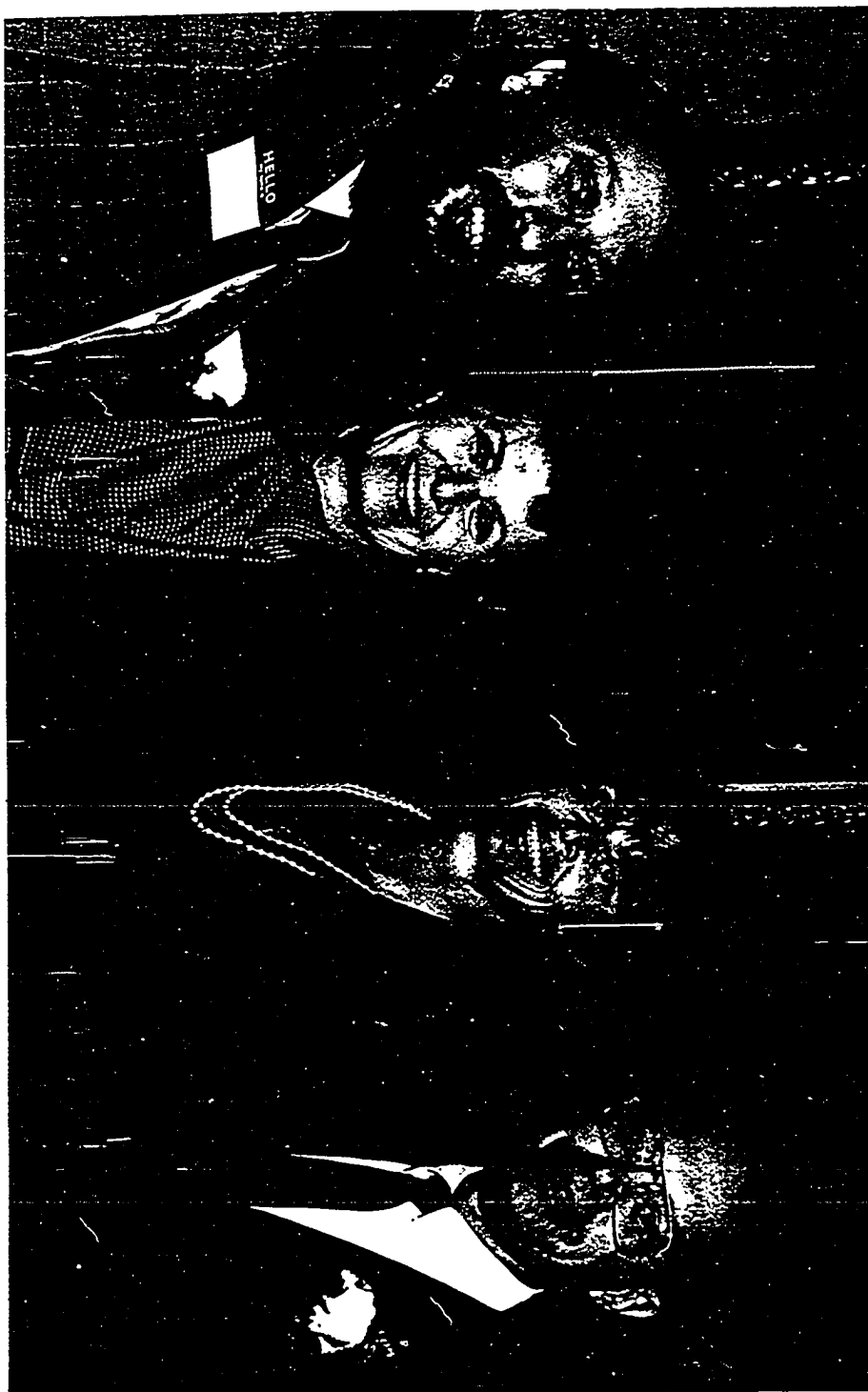


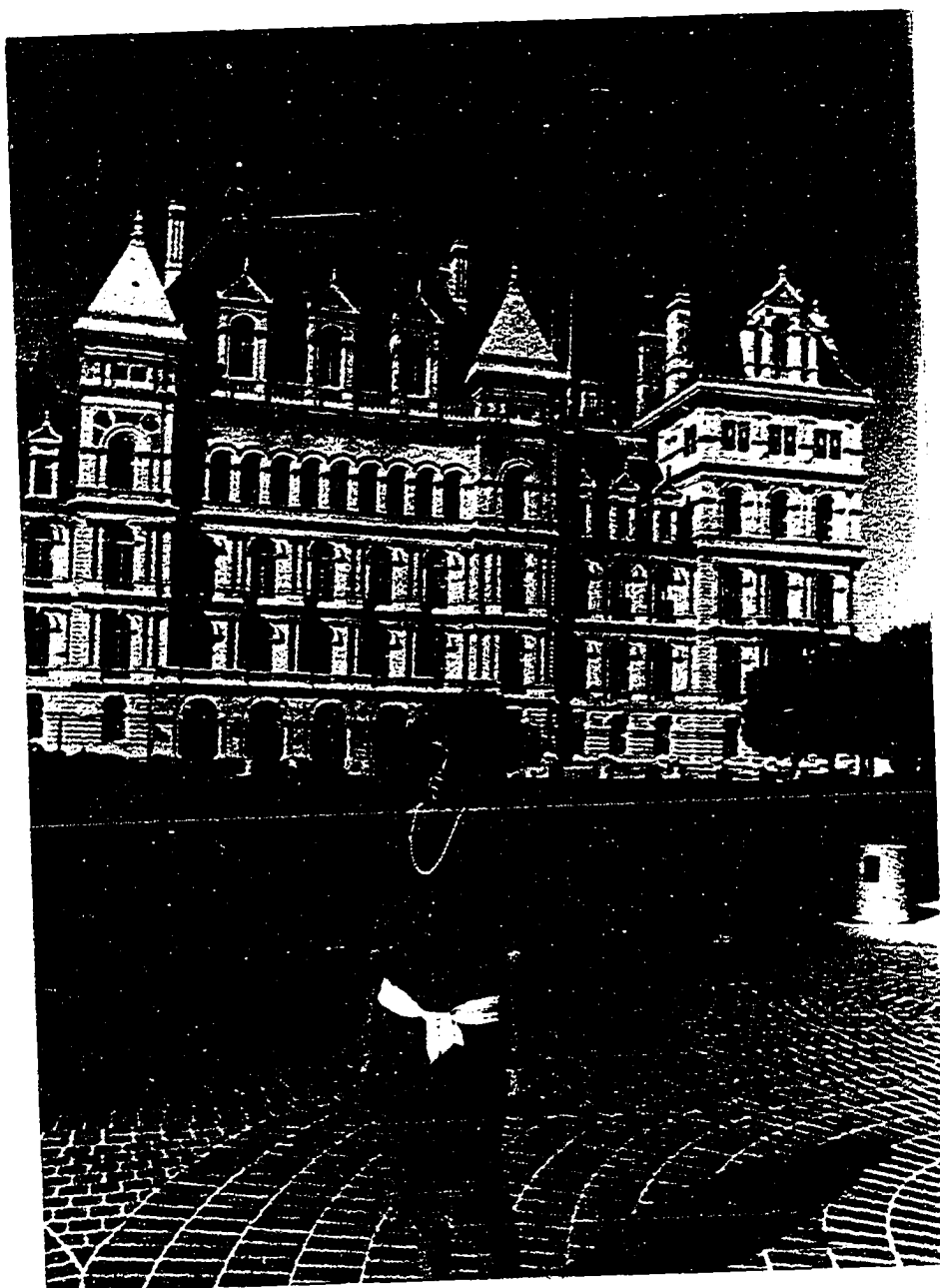


Keep letters brief
Identify subject clearly
Don't cry wolf
Don't threaten
Ask for legislator's position
Be timely
State your reason for writing
Remember to praise









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