# Supreme Court of the United States

OCTOBER TERM 1970

Supreme Court, U. S. OCT 29 1970

In the Matter of:

Docket No. 69

GEORGE K. WYMAN, INDIVIDUALLY & AS COMMISSIONER, NEW YORK, ETC., Appellants,

BARBARA JAMES, ETC.,

Appellees.

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IN THE SUPREME COURT OF THE UNITED STATES 2 OCTOBER TERM, 1970 3 GEORGE K. WYMAN, INDIVIDUALLY 13 & AS COMMISSIONER, NEW YORK, ETC., 3 Appellants, 6 No. 69 VS. 7 BARBARA JAMES, ETC., 8 Appellees. 9 10 Washington, D. C., Tuesday, October 20, 1970. 11 The above-entitled matter came on for argument at 12 10:02 o'clock a.m. 13 12 BEFORE: WARREN E. BURGER, Chief Justice 15 HUGO L. BLACK, Associate Justice WILLIAM O. DOUGLAS, Associate Justice 16 JOHN M. HARLAN, Associate Justice WILLIAM J. BRENNAN, JR., Associate Justice 17 POTTER STEWART, Associate Justice BYRON R. WHITE, Associate Justice 18 THURGOOD MARSHALL, Associate Justice HENRY BLACKMUN, Associate Justice 19 APPEARANCES: 20 BRENDA SOLOFF, ESQ., 21 Assistant Attorney General of the State of New York 22 Counsel for Appellants 23 JONATHAN WEISS, ESQ., 759 Tenth Avenue, New York, New York 24

Counsel for Appellees.

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## PROCEEDINGS

MR. CHIEF JUSTICE BURGER: Case No. 69, Wyman vs.

3 James.

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Miss Soloff, you may proceed whenever you are ready.

ARGUMENT OF BRENDA SOLOFF, ESQ.,

### ON BEHALF OF APPELLANTS

the Court, at issue in this case is the ability of the agency which is charged with administering a local aid to families with dependent children program to verify information which an applicant or recipient is concededly obliged to furnish for eligibility purposes, and to verify it as meaningfully as possible by a visit to the home by an agency caseworker; or, put another way, the question is whether the adult AFDC client has an absolute right to refuse access to her home and still receive assistance, no matter what her conceded obligations may be and even if her refusal is entirely arbitrary.

Essentially we submit that since AFDC assistance is premised on the care of children in homes which would otherwise be unable to provide for them, that the request for access to the home is a reasonable one. In addition, since that request was denied, the result is neither entry nor contempt proceedings nor automatic termination of benefits, but a hearing.

The home visit apparatus does not infringe any

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Fourth Amendment right. No warrant procedure is required to validate the home visit, nor could any such procedure more fully protect the AFDC client against the arbitrary exercise of authority than the one that we have now.

Q Is advance notice of the caseworker's visit normally given or is it not?

A It was given in this case, Mr. Justice.

Q I know it was, but I saw a good many affidavits in the Appendix and --

A There is a policy in New York City that it be given. The affidavits do indicate that it was not given in those cases. I would think that that could be an issue which could be resolved at a hearing which is held.

Q In any event, in this case conceivably there was notice given?

A In this case there definitely was advance notice of approximately a week.

Q A week.

James, first applied for assistance in April 1967. Pursuant to the state regulation requiring that a home visit be made to initial applicants for assistance, such a visit was made. The apartment was seen and various aspects of eligibility were discussed. The worker was not then or afterward persuaded that appellee's eligibility but recommended that the case

be opened because of the imminent birth of her trial.

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Thereafter there were regular periodic contacts with appellee, also as required by regulation. These contacts took the form of additional home visits to attempts to verify eligibility and to attempt to deal with appellessee's many demands, the greater number of which would seem to be invalid.

During these visits no worker went behind closed doors or poked or pried into any closed area and at each visit the child was seen.

Ultimately she notified a caseworker who had sought to make an appointment by letter a week in advance that under no circumstances and at no time would the worker be admitted to the home.

On May 27, 1969, before any termination of benefits, a hearing was held by the department at which appelleee and counsel were present, and counsel represented that although his client would talk anywhere, she would not talk at home, because that would violate her right of privacy.

The referee found that refusal to comply with the policy of contact by home visit justified the closing of the case, pointing out -- and I quote from his opinion -- "the hone visit which Mrs. James refuses to permit is for the purpose of determining if there are changes in her situation that might affect her eligibility to continue to receive public assistance or that might affect the amount of such assistance

and to see if there are any social services which the Department of Social Services can provide to the family."

He therefore affirmed the decision to close the case. Appellee did not proceed, as she could have, to a state fair hearing. Instead, a complaint was filed in the District Court for the Southern District of New York, seeking declaratory and injunctive relief against the termination of benefits for refusal to consent to a home visit without a warrant.

A statutory three-judge court was convened and in its majority opinion the court held that a home visit without a warrant is an invasion of the constitutionally protected right of privacy, that alternative methods are available to verify eligibility, and that should a home visit be deemed required to consider a certain aspect of eligibility, and the applicant or recipient refuses to allow the visit, a suitably restrictive search warrant may issue to force the client to disclose the terms of his eligibility.

The majority rejected any idea that the home visit could legitimately ascertain the well-being of the child, although I think somewhat inconsistently it also provided in its alternative possibilities for verification of the well-being of the child.

The first point to be made, I think, is that the home visit as presently structured is a reasonable and necessary investigative tool in AFDC cases. There can be no doubt

that it serves valid purposes. It provides information on the need for and extent of assistance, and it provides information on the extent to which the assistance is being used for and is working for, the only purpose of the program, that is to care for children in their home, and in this connection it also serves to identify needed areas of service.

It is conceded --

Q Miss Soloff, there is no HEW regulation on this subject, is there?

A There is -- if you mean, Mr. Justice, is there a regulation specifically requiring home visits, there is only for a quality controlled sample of cases, but there is such a requirement for investigation of a selected sample. And I think it is important to note in this context that the appellees apparently don't challenge the fact that you can make home visits to this selected sample.

Q What is the selected sample?

nated in the regulations, but each householder is a potential member of that sample, and it seems to me that constitutionality doesn't rest on the number of homes that you include in the sample. If the sample proves inadequate, you must increase it. And in this case what has essentially happened is that it has increased to 100 percent. But there is that core of sample cases, and --

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Q And is the idea that under that regulation the purposes of the visits would be precisely the purposes that is followed here?

A Yes, Mr. Justice.

Q Well, sample, tell us something more about that. How do you select the houses to be in the sample?

A I am not completely familiar with the mechanics of how these samples are selected, but I do know that each state is required to furnish a sample that will be adequate at least for HEW purposes, will be deemed to be adequate to determine if in fact eligibility requirements are being met.

Q Well, is there any significance that HEW -- in the fact that apparently HEW requires only visits to a sample of places and not to all of those sharing in the program?

A I think there is no constitutional significance to it, Mr. Justice, as far as whether or not there is -- these are significant in the fact that they deem this adequate -- this is a policy question, it may or may not. The states are free unless there is specific proscription to provide for such testing of eligibility as they deem appropriate in their own program. And New York, of course, has just about the most extensive -- I think it does have the most extensive AFDC program in the country, and it presents a great number of problems which the state is trying to cope with in this fashion, and nothing in HEW regulations proscribe this.

Unless you are to read a proscription beyond
the sample in the fact that that is all HEW requires.

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A There I think you cannot simply say that the regulation which says that you must do so much says that you can't do any more.

Q What do the state authorities do in compliance with the HEW requirement of a sample of this?

A They provide statistics to HEW based on a selective sample of cases.

Q Well, what do the New York authorities do in complying with that regulation?

A They prepare repot s for HEW.

Q Well, I know, but they must be reports of what, a sample of visits or what?

A No, a sample of field investigation of eligibility, including a home visit. I am more familiar with what is happening now in the simplified declaration experiment which is presently going around — being tried out around the country. In that case, each state was required to set up districts, experimental districts within a state, not the entire state, to try to see if eligibility could be determined on a simple affidavit process.

To check that, a home visit was required, as part of a full field investigation, again in a selected sample of cases, and the results that have come in from that so far are

inconclusive.

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Q Now is the investigation including the home, is it aimed only at a surveillance to determine eligibility or continued eligibility?

A Its eligibility and continued eliqibility in the full sense, that is that the person is in need and that with respect to continued eligibility that the assistance which is being given works for the benefit of the child. And if it doesn't work, then that is an aspect of eligibility for the program.

Q How is -- is that a condition for eligibility, that it works?

A Yes, Mr. Justice.

Q Would you indicate briefly specifically how a home visit contributes to the determining of eligibility based on those few factors that determine eligibility, not from peripheral matters that you might be able to -- that might interest the social worker.

A The home visit can verify for us, first, the residence. It can verify the number of people in your family. It can assess management, both past management for eligibility purposes --

Q What has that got to do with eligibility?

A It has to do with the possibility of resources.

This is in terms of the initial eligibility, I am speaking of

7 now, has to do with the possibility of the existence of undisclosed resources. 2 How does a home visit contribute to that? 3 By seeing what is in the home, the worker may 13. be able to have an idea of whether or not the conditions 5 which the client has stated exist do in fact exist, and in 6 terms of the functioning of the household in relation to the 7 child, the home visit can tell more than an office visit. 8 Now, that is what I don't understand. A home 9 visit, you want to see if the aid is being used for the child, 10 11 is that it? That's right, Mr. Justice. 12 How do you tell that? 13 You can tell by the functioning, the relation-14 ship of the child to the home, whether there are adequate 15 facilities for the child in the home, whether the child is 16 receiving the kind of care which does now or may create a 17 dangerous situation which must --18 Let's assume that the child isn't receiving 19 adequate care, in your judgment. Doesn't that terminate 20 eligibility? 21 Under the --A 22 Or does it just provide some grounds for taking 23 some action under some other law? 20. A Well, it is the ground, the ultimate result is 25

a neglect proceeding, which the statute specifically provides, the Federal Social Security Act provides must be done if there is a danger to the child, that would in effect terminate eligibility. It may be that services will have to be -- mandatory services will have to be provided for the child to keep the child in a home.

Q Well, let's see, does that mean, for example, that if an investigation disclosed that the mother with a single child is an alcoholic and all the money she gets goes into the purchase of liquor, and none of it goes to buy food for the child or something like that. That then means eligibility may be terminated and so the child gets nothing?

taken to protect the child, even if it means either introducing another person into the home to care for the child or
removing the child from the home. This is the purpose of the
program, is a statutory congressional policy that not only
the technical criteria of eligibility but the home conditions
of the child are relevant to maintaining the child in that
program. If the child cannot be maintained in the home, then
he must either be removed or steps taken to improve the home,
but that is as important an aspect of the program as the
other. We are aiming at the child and seeing the home in this
respect is as important as the technical eligibility factors.

In my reply brief in this Court, I cited two

instances which I think illustrates -- one illustrates one of these factors and the other illustrates the other. The first one referred to was an example from the selected sample in the declaration system, and it was a woman who had applied for assistance and been accepted for assistance on the grounds that her husband had deserted her, and assistance was given. However, a spot check was made and the worker discovered the husband in the home. It was quite as simple as that. And the result of that was a support hearing, a payment of rent arrears, a reference to a marriage counselor, but an ineligible family was not put on the rolls, and that was a purely tehnical eligibility factor.

The other case was far more drastic in what happened and far less precise in what the worker could determine. This was a recertification visit, under New York Law in non-experimental area, under the present system, and the worker walked into the home, and we knew that the family consisted of a mother and three children -- and she walked into the home and she saw the mother and the oldest child and not the other two children, and the home atmosphere quite simply disturbed her.

She was told that one child was with his maternal grandparent and that the other child was with some neighbor, but that she wasn't sure which, and that is all she did, but she was disturbed and she went back to the center and she

told the maternal grandparents and they had not -- they did not have the infant and they were not aware of where the infant was. The maternal grandparents -- who apparently were more aware of the disturbed nature of the mother than even the center -- went immediately to the home and it was discovered that the younger two children in fact were dead, and the oldest child was brought in to the center.

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But there was no precise element in that home on which you could get a warrant on which you could base any kind of determination, and yet it was the responsibility of the agency which must provide for care of children in the home only so long as they can be cared for in the home, to find out what happened to those children, and that was the way they did it.

Q Could I ask you a question at this point? What are the administrative steps that must be gone through before a caseworker can go in and make an inspection?

A The recert specs are established by regulation, Mr. Justice, a visit must be made -- well, a contact is supposed to be made in every AFDC case every three months. This had been the policy to make the visit every three months and this would be on a regular schedule devised by the center itself which was sending out the caseworkers. Caseloads have made every three months impossible in New York City, and it has been reduced to every six months at this point.

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Q Then the casework in the interval between the scheduled visit, the case when he gets an idea that he or she would just like to go in and just take a look at the house, more than the regulations prescribe, can they do that?

They have no authority to make a recertification visit for that purpose. I think that eligibility itself, technical eligibility is only in those set slot periods. Now there may be instances, as in Mrs. James case, where home visits were made at other than recertification times. But in those instances it was basically to verify information at the request of the client; certainly at the request of the client it can be made. And I think that the agency would have discretion where factors warrant it, to make a visit outside of the certification period.

- Q Has anyone suggested what allegations you would make in an application for a warrant?
  - The district court did make some suggestions.
  - What do you have to say about their suggestions?
- A I think that the suggestions for the warrant the district court made, which are no other alternative available limited to a specific element which you may not be able to find out about until you make the home visit, this is particularly true with pre-school children, to whom there is otherwise no access until something happens to them. It is simply unworkable and it would require on an individualized

case basis, you have to set up the kind of body of case law that we have now for criminal Fourth Amendment cases.

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Camara decision of this court and the reliance placed on it by the district court is just this distinction, because what the district court does in mandating a warrant procedure is to restructure the home visit to make it no longer reasonable to make it on a periodic basis, and yet it clearly is, and it is related so closely to valid purposes that it clearly is reasonable.

Q What are the restrictions on visits? You can go in any room? Are there any regulations which tell the worker what she can and cannot do when you make a visit?

- A Yes, there are, Mr. Justice --
- Q Are they in the record?

A The citations are set forth in our brief and I believe they are not in the Appendix but they are, I believe, in the record.

- Q In the record?
- A Yes.
- Q Could you elaborate on that a little bit and summarize what are those regulations, tell us?

A The regulations preclude a visit without consent, that is it may not be a forced admission, there may not be a looking into closets or into any closed area, it may not be made outside of normal working hours. In fact, Mrs. James, in this case, proscribed areas such as the bedroom, she said — the door was closed, and she said you could not enter, and the worker did not enter. So that it really is carefully limited by federal and state regulations. And if there is any abuse of it, of course, it can be resolved at a hearing before benefits are ever terminated.

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Q But does the recipient know what those regulations are and that they have the right to tell them you can't go in those closed rooms?

A As far as I know, Mr. Justice, they do. Mrs. James certainly did. She was not in the least bit --

Ω Mrs. James had a lawyer, didn't she?

A Not during the home visit. She had a lawyer after -- at the time of the hearing. How much prior to that she had a lawyer, I don't know, but this was her attitude from the beginning, and it was perfectly proper.

O Do you present to this Court the fact that the average recipient knows those regulations? You woulnd't say that, would you?

A Mr. Justice, I don't know to what extent the average recipient knows the regulations. He is informed at the time when his application is taken of investigative procedures.

Q Is he told that it is up to him or her as to whether they let you in or not?

A No. Mr. Justice.

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- 2 Is he told that you can restrict the movement when you get into the apartment?
  - A I would not think that he is told that, but I would also --
    - Q That is a pretty broad warrant, isn't it?
    - A I think not. There is no --
    - Q Well, what is the social worker looking for?
  - A He is looking for evidence of eligibility and the well-being of the children.
    - Q Which means anything.
  - A It means whatever he can establish from what he can see in the apartment and what he can observe of the workings of the apartment, the relationship of the people --
  - Q Well, of course, if the average warrant limits where you search and what you search for, but this is broader than a search warrant, isn't it?
  - A The average warrant would authorize greater entries and into more areas than the worker -- there is no charge in any of these -- either by this appellee or by any of the other people who submitted affidavits that that is their problem in this case. None of them have ever charged that kind of abuse by a caseworker.
  - I would like briefly to say that, as I have said, the warrant procedure really would restructure the home visit

and that it is reasonable as it stands. But the reason -- if
the home visit is to be allowed as it presently stands, then
the warrant would serve no useful purpose. In Camara it served
the purpose of creating a relationship between the client or
the householder and the authority which sought to make the
entry. But that is not necessary in this case. The relationship is established and no -- the limitations are established
and no warrant is necessary.

And finally we have in the warrant -- pardon me, in the home visit situation, we have a predetermination hearing which protects against any arbitrary use of authority before benefits can ever be terminated, and this protects a client more so than an ex parte warrant procedure, which would permit invasion and would not permit the client to state his side of the case and would not protect against the kind of abuse that is suggested, asking of irrelevant questions, looking --

- Q I gather until the hearing, the determination hearing, indeed until the decision following that hearing, the payments continue?
  - A They do, Mr. Justice.
  - Q Is that what --
- A That is the decision of this Court basically in Goldberg vs. Kelly.
  - Q Yes.

A So that procedure protects. One other suggestion

500 is made, that the warrant is necessary because we are really 2 looking for signs of criminal activity. We are not really 3 looking for signs of criminal activity. E. Suppose you find it, what do you do? 5 That is another case. It is possible that it 6 could be excluded at a criminal proceeding, it is possible The that it would be valid to introduce it at a criminal proceeding? Can you say, have there been prosecutions in 8 the case where something has been found? 9 I know of no prosecution that is based on the 10 results of a home visit, and I might say that information 11 is required to be given no matter where it is given, and if it 12 serves in a really fraudulent sense, then it doesn't matter if 13 it is given in the home or obtained through the home or if it 94 is given in the office. The same result can follow, and the 15 result would be too broad for a reasonable administrative 16 purpose. 17 Q Miss Soloff, am I not correct, the home visit 18 has been established years and year and years as a social 19 service caseworker's method of operation? 20 That is correct, Mr. Justice. It has been --21 Do you concede in any way that it equates with 22

not denied that the Fourth Amendment is a relevant aspect of

a search in the criminal sense?

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Not at all, Mr. Justice, it is not. We have

this case, but is the right of privacy and not the traditional 90 2 criminal search. Would it make any difference to you if New 3 York provided -- if the law provided that it would be a crime to bar the caseworker? You don't purport to give this case-5 worker the authority to enter against anybody's will? 6 A No, we do not, we deny him that right. 7 Would it make any difference if New York law 8 did purport to give the --9 Then you come much closer to the Camara situ-10 ation, but we don't --11 You are really saying, what your theory is 12 is that really you are conditioning aid on the ability to in-13 14. spect the home? A No. Mr. Justice, we are saying that we must be 15 16 able to determine eligibility, to be conditioned --Q I know, but --97 A -- it is conditioned on the furnishing of 18 eligibility information. 19 Q Such as -- and that without a home visit the 20 information isn't furnished? 21 That is right in those cases. Now, it may be 22 at this hearing that it can be learned that the information is 23 available without the home visit, but that really is a ques-24

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tion for the agency and is not for the client to exercise an

option to decide how he is going to provide the information.

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- - A Yes, Mr. Justice, they are.
  - Q And they understand that when they make the application?
    - A That's right, Mr. Justice.
    - Q Don't you put reliance on that?
  - A We have, yes. The fact that a client understands that this is an aspect -- or the visit may be a factor in determining whether to pursue the application, just as all other investigative aspects may be a factor in his determining whether or not he is going to pursue the application.
    - MR. CHIEF JUSTICE BURGER: Thank you, Miss Soloff.
    - Mr. Weiss, you may proceed whenever you are ready.

ARGUMENT OF JONATHAN WEISS, ESQ.,

### ON BEHALF OF APPELLEES

MR. WEISS: Mr. Chief Justice, and may it please the Court, I should like to attempt to focus the argument on two crucial factors that are present in this case. They are the place involved, the act involved, as it states here, is an unwarrant intrusion into the home. The act was an intrusion against the will into a person's private home.

There is no claim on behalf of the Appellees that

all home visits are always bad. When welfare recipients want welfare workers or friends or caseworkers in their home, no one has any complaint. What is at stake here is the forcing, the insistence of a visit by a welfare caseworker, a person who is hired to check certain elementary facts in a certain mechanical way, who has no training, no experience, the social worker who insists, however, on going into the home.

The facts of this case, I think, illustrate all the various evils involved in such a forcing of a visit.

Q I might ask a question regarding to what Miss Soloff said. What happens if the client does not permit the caseworker to make the home visit? The only thing that can happen is that there may be a notice of intention to terminate benefits, is that right?

A No, much more happens. What happens, as in this case, they have a prior hearing, as mandated by this Court, in the case of Goldberg vs. Kelly, at which point the hearing officer, who is not empowered to reach constitutional issues, is not a lawyer, informs the welfare recipient of the regulation, as in this case, and they terminate aid at that moment.

That termination of aid, it is imminent that impelled the district court in this case to issue a temporary
restraining order.

Q Say that again? There is a hearing, a

Gw. Goldberg vs. Kelly type hearing --2 That is correct. 3 -- as which the client may be represented by a B lawyer, is that right? 5 That is correct. Now, what is it she said, that the only thing 6 that the hearing officer determines is whether there was or T was not a refusal to permit --8 That's right, Your Honor. 9 Is that all? 0 10 Right. And what ensues from that, as pointed 11 out in the Appellant's reply brief, is a termination of aid 12 and then in the ensuance of a trial they then decide what 13 necessary steps -- I believe those are the words of the 94 Appellant's reply brief --15 Q Well, tell me, at that hearing may the client 16 say, well, the information is available without a home visit 17 in this way? 18 A Yes --19 May the client do that? 20 Yes, that is precisely what happened in this 21 case, it was terminated. After the hearing, and Mrs. James 22 was represented by counsel, the welfare department was informed 23 24 that they can get information of any sort from any place but 25 that home, but she did not want the intrusion of a visit.

The welfare department said the regulation reads that because of your refusal, your aid must now be terminated. 2 The welfare --3 Now, wait a minute. 0 A -- and it was terminated. 5 You mean even if information is available by 6 some other alternative to a home visit, the refusal of the 7 home visit automatically results in a hearing officer's finding that aid is terminated? 9 That is correct, Your Honor. 10 Is that what happened here? 89 That is what happened here, Your Honor. 12 that all you are talking about in the prior hearing is the 13 internal administrative mechanical apparatus which leads to 14 termination of aid for the refusal to permit an unwanted entry. 15 But the only alternative to the home visit 16 that was offered here was the testimony of the client. 17 A Your Honor --18 Isn't that right? 19 No. What the client said was if you want 20 specific information, tell me what you want and I will go any 21 place but here and give you that information. They then at 22 that point said to her, well, this and that and this and 23 that -- I presume she would have offered it. I believe that 24

there was the nature of a offer at that moment --

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Q Tell me, is it your suggestion that the welfare department must be -- is required to take the client's word for certain facts?

A I would say not, Your Honor, no more than the Internal Revenue Service is required to take the word of the taxpayer.

Q Let's presume that someone wants to verify that the children are actually living in the home rather than with relatives, and the mother says, well, they are living in the house, and the welfare worker or the department says we would like to go check and make sure. Now, your contention is that they may not do that without a warrant?

A No more than an analogous case where the Internal Revenue Service wishing to check with somebody about his dependents in fact living with him, where they had --

- Q Your answer is yes, you would need a warrant?
- A That is correct, Your Honor.
- Q How do you satisfy the climate of probable cause for warrant in this context?

A It is our contention that there really is no need for warrants in the case of welfare clients. What are the purposes served by warrants, gotten by warrants from other statutes? If, in fact, you are worried about somebody misrepresenting whether they are eligible, what resources they have, if in fact they are doing that, they are liable

under the statutes of fraud and a warrant to issue to ascertain that, upon probable cause.

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If we deal respectively on the neglect and abuse, which is not a specter only to welfare clients, we suddenly become -- abuse and neglect of parents because they needed money from the state or welfare people -- if that specter arises, we proceed, as we do for all families, that is, a warrant issued under the Family Court Act, a warrant to cover every single possibility for purposes of the statute.

There is no purpose in the welfare statute I think that would require a warrant.

- Q So you say that the state just isn't entitled to make a home visit to verify what the mother has said?
  - A That is correct, Your Honor, unless --
- Q You can't get a warrant because there isn't probable cause and you can't go in without a warrant because of the Fourth Amendment?

the restrictions are defined generally and specifically. Generally, the assumption is in the whole historical meaning of the cases and the provision of the Fourth Amendment are that no one shall go to the home except for matters of public safety, which would involve damage -- for example, if the children are under the neglect statute, crimes, public menaces and health -- that is the category under which this Court, employing

the Fourth Amendment, permits intrusions into the home.

As an actual intrustion, there is a general warrant for intrustion, you need specific warrants and probable cause. You need general and specific in these cases.

- Q The issue seems to be, then, whether the state should be permitted to verify eligibility information by home visits.
  - A The statutory --

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- Q Isn't that the --
- A There is a statutory scheme -- one of the issues -- there is a statutory scheme which allows for double-checking when there has been a misrepresentation, just as we have, for example, again in the Internal Revenue Service. If the welfare department has reason to believe that somebody is misrepresenting the eligibility, then they can refer it to the criminal branch and get a warrant to check whether there was actual welfare fraud.
- Q What would beyour view if this scheme by statute were to provide that a client must permit home visits to continue receiving payments?
- A The conditioning of the receipt of public benefits upon a surrender of constitutional privilege is, of course, unconstitutional.
  - Q Do you say such a statute is unconstitutional?
  - A I would say any statute that permits that would

be unconstitutional. The HEW --

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Q How do you differ that from the requirements in inspection of plumbing and, you know, tenemant houses, laws and such?

A As I was trying to suggest earlier, the inspectors for plumbing and so on all deal with protecting laws outside that home. It deals with problems of public safety.

Q . Just outside, is that all they consider?

A Well, if you look at the home, where we see a family unit inside a dwelling place, now that family unit can do destructive acts one from the other, that is unless they do it out in the street. I mean we do not tolerate murder in the home, and we do not tolerate other matters, and that is why we delineate, that is a public act destructive of somebody in a home. That is why we have emergency searches, warrants, and we have neglect — all of these deal with destruction of somebody or are a menace to the public health.

Q May T ask you this question, Mr. Weiss -- were you through, Justice Brennan?

Q Yes, sir.

- Ω Do you have the foster home program in New York?
- . A That is correct, Your Honor.
- Q Suppose hypothetically that children are taken out of their normal home and put into a foster home, some family has three children, as sometimes they will in states.

1 There are provisions for visitation by social workers to those foster homes, are there not? 2 3 I believe so, Your Honor. 13 These are private homes in the same sense as the home of the recipient of aid to dependent children. I take it 5 6 there is no difference? It is the same kind of a private home? In many cases. Do you suggest that the State of New York, in 8 conducting surveillance to see that these foster homes meet 0 prescribed standards in the regulations, cannot have a visit to 10 those foster homes without a warrant? 99 I would make a sharp distinction between crea-12 tion of a family and dealing with an established family. 13 Q Well, isn't this a substitute family environ-94 ment, a foster home? 15 A Yes. Your Honor, what I am trying to suggest 16 is that when in fact they place the child with a family, when 17 they engage in the process of creating that family unit in 18 that home, the can make visits. But once that family is estab-19 20 lished, once there is an on-going family, they have placed 21 that child there permanently, then I would say there is no 22 warrant --Q There -- is a child ever placed permanently in 23 a foster home? 24 A There are permanent placements in foster homes. 25

Seed

Q I can't conceive of the state making a permanent placement, because if the child wasn't getting the care, they would certainly remove it. They would have a duty, would they not?

A I would believe the state would have the same duty towards that child as they have to any other child living in the home. If the parents are not properly caring for the child, the child ought to be removed in line with the normal neglect proceedings.

Q Well, then, I come back to --

A But there are established foster homes, that are permanent placements --

Q Then I come back to my question: You say that the State of New York, in pursuance of its program of foster homes for children, cannot make an inspection of these foster homes in the conditions without a warrant?

A I would say they could make the inspection up to the point at which there is a permanent placement and the family established. At that point, that family is like any other family and they may not make the visits. Now, we seem to be on the logic of our position in this case, that once you have an established family, no matter how the state views it, whether it be that they take taxes or they give welfare, they may not insist upon intruding against their will into those homes.

Q Well, let's take an analogy then. You have referred to the income tax problem. Suppose the taxpayer takes off -- shows \$8,000 in interest payments on loans during a given year, and \$12,000 in contributions. And then, in due course, on an examination, the agent writes or calls and says I would like to see your records and your cancelled checks to support these payments. And the taxpayer says no, these are private records, private papers, and most sacred possessions, and you can't look at them. What do you think the Internal Revenue Service is going to do?

A I would say within the dictates of cases such as Silverthorn they would probably issue some sort of process, but --

Q Don't you think they would just disallow the deductions in very short order?

A Under the Internal Revenue Service, of course, the presumption is upon the taxpayer to prove certain types of deductions, and they might do that on the grounds that you would then have to come forward and show proof. But that does not allow the Internal Revenue Service to go into that home.

Q The consequence of not going into the home or the private files would be preemptory disallowance of those claims, wouldn't it?

A The consequences of not coming forth with evidence and not the consequence of refusal of entry into the home. If the Internal Revenue Service said to verify your deductions you must -- we must come to your home, sometimes with notice, sometimes without notice, we compel you to have the presence of your child, the threat of cutting off all your tax privileges and, in fact, attach your salary -- I would assume that this Court would find that type of insistence as unconstitutional and you would find that type of case before the Court.

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Q Now, you seem to make a distinction, Mr. Weiss. You said that the Internal Revenue Service places a hurden on the taxpayer to do certain things by statute. Suppose the State of New York, if it does not now do so, places a burden on the recipient of welfare aid, as a condition to continued receipt of that aid, that they must allow inspection, wouldn't that be a parallel to the Internal Revenue illustration you gave?

A No, because the inspection, the intrusion of a home is different than the request or demand for the purposes of information. There is nothing in the presentation of papers, of facts, there must — it necessitates it being in the home. What is crucial about a home is how people living in that home regard it, not whether the government wants it as a convenience.

Q You still stand on your proposition that the foster home could not be subject to inspection without a

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6.03	warrant?
2	A After the family has been established, that is
3	correct, sir.
4	Q Well, how long after the children are placed in
5	the foster home does that happen, in your view?
6	A I have seen placements where the welfare depart-
7	ment was satisfied within a week and never returned again. I
8	have seen places they have had a continuing interest for a
9	number of years.
10	Q You mean they can go for a number of years with-
17	out warrants?
12	A I have seen them create families over a period
13	of time, much longer perhaps than they should, but over a period
14	of time.
15	Q Mr. Weiss, getting back to the Internal Revenue,
16	suppose an orphanage gets tax exemption
17	A An orphanage?
18	Q An orphanage do you say that the Internal
19	Revenue couldn't go to find out if they had any children there?
20	A No, I would say of course they could. That is
29	a public institution using public funds. What we deal with
22	here in this case is a family in a home
23	Q An orphanage using public welfare specifically
24	A An orphanage
25	Q is a private charitable, living on

contributions, that is what I am talking about.

A

20.

A It seems to me they would have the right to check it out the way they check out any other organization making any other exemption.

Now you are getting closer to this case. There is an application for this assistance on the ground that they have three children living in that home.

A The difference is --

Q Well, how can that be established without a visit?

A You can establish the existence of children without home visits, certainly.

Q I said that they said they have three children living in this apartment. Now, how can you establish that without a visit?

A There are two instances. In one instance, it is not clearly established with a visit. It might not be possible to have three children there at the same time -- I sleep here, I sleep there, I sleep there -- it may not be true. You have the same problem of verification of that as you do with any other. You can ask, I suppose, if that does intrude on their privacy. That may even ask them to let them see the children register at school. You can take all types of testimony but that can't --

Q My children are under school age.

dies.

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A If they are under school age, you can talk to whatever community health service they use, where they are registered --

Q How could you establish that they lived there and not with the grandparents?

A I don't think you can establish anything in the matter beyond a certain point.

Q Well, I understand now your position to be that the applicant says I have three children, and that's it.

A No, I think you go about trying to verify that fact as you do any other fact. You can't prove it to a certainty. They sleep over one night, they sleep over five nights, ten nights, a hundred nights somewhere else -- when does it end, when are they not living there?

It is not clear in any event, the fact that you insist upon visiting the home at a certain point, and they claim that they give notice -- and sometimes they do -- but that is not going to prove anything at all.

Q They did give notice in this case?

A They did give notice in this case and did not give notice in others and, as their affidavits bear out, it is up to the caseworker to decide where notice is appropriate.

But leaving those issues aside, there is problem verifying any claims any person makes about how he lives in his home. There are claims all the time made for all sorts of purposes.

Q Suppose your argument here is accepted and a warrant is necessary, and then an affidavit is presented for a search warrant saying that the probable cause is that this person is an applicant for welfare and the applying agency wants to establish whether she is qualified. Would that be good enough probable clause?

A

area.

A That would not be probable cause. I would think cases such as Rowe vs. United States suggest that probable cause involves the use of an element to be admissible at a trial that proof of something that goes into the statute, and I would think you would have to find different fact warrants were necessary in a welfare area certain specific items that were necessary to be found only be found by a search in order to fulfill certain purposes of the welfare statute.

But the welfare statute, as it now is, all they need to know is how many, is it clean, and the fact that how many children are dependent upon that person, just as the Internal Revenue Service need to know how many dependents are there when you fill cut your tax forms.

Q Well, suppose I add one more to my hypothetical. Suppose the affidavit also said we haven't got enough staff to go out and try to find out this information by indirection and, as a practicalmatter, a home inspection is the only way we can get it.

A Well, let me -- as the amicus brief in this

Lack of staff means you shouldn't make home visits, that is why the social workers even say that. Presuming they did, administrative convenience can never be an excuse for unconstitutional intrusion.

trouble locating people who steal and we don't have enough staff, therefore we are going to make a blanket search of, say, the area near 14th and Park Road here, that would clearly be unconstitutional. So, too, is it unconstitutional here if it were that it cannot be a claim that is more practical and more easy to make home visits to verify the simple questions of the size and nature of the family composition.

Q Mr. Weiss, suppose you were called on by a lady to make a charitable contribution to her children. She said she had three children under five, she is keeping them in the house. It was all right. You said I will make a contribution to help you, but I want to come in and see your children in the house. Would that be an unreasonable request on your part?

A It depends on what her attitude toward those children were.

Q You wouldn't have to give them anything in the first place, you see, and would that be an unreasonable request on your part?

A It would depend on her attitude. If in fact

- she viewed it as an insult, an embarrassment --
- 2 Do you think she would view it as an insult if 3 you were about to support her children?
  - A I think she might.
  - Q She might?

- A I am not privy to all the new psychology at all times.
- able for this lady to say I am not going to Jet you come into this house while you are supporting my children at all? I will come outside, I will go to your office, but you can't come in here and look at these children and see how I am taking care of them.
- A What she was saying is that she, in establishing her home, as people --
- Q Let's get away from fabric. Home, that home is kept up by the charity that is given by the public.
  - A Well, it is not --
- Q And do you think the public has no right to try to see that she is really taking care of them? There are incidents in the history of this country where even parents have not properly taken care of their infant children when they have got money to do so.
  - A That is corect.
    - Q And do you think it is unreasonable for them to

Special want to look and see how they are taking care of them? The 2 question is reasonableness. 3 Yes, Your Honor, I believe --1 Q Get away from fabric and everything except the 5 reasonableness. 6 A Well --What is there reasonable about this lady tell-7 8 ing them she won't let them come in, she won't talk to them in 9 the house, she doesn't want them to see her children, that she 10 will come out and talk to them at their office? What is 11 reasonable about that? 12 What is reasonable about that is that it is reasonable that anybody in the history of civilization is say-13 ing that my home, my private domain, I do not want people there, 14 I do not want --15 Q I do not want you there even though you support 16 17 my children. 18 A It is not true that they support her children. 19 What is true ---20 Q They --21 -- is they supply money. A Well, who is supporting the children. 22 0 A They supply the money. 23 24 0 What? They supply the money. 25 39

3 Well, who supports the children? 0 2 She supports the children. She raises them. A 3 she --D. Q I understood you to say that they were getting 5 charity from the government. 6 A They are receiving money in order for her to rear her children, to raise them, as every other family raises 7 their children. She is only receiving money. 8 Well, most families, of course, pay for raising 9 their children, but here she has asked the state and the govern-10 ment to support them, and it is doing it. 99 That is correct. 12 Q And you say it is unreasonable for them to want 13 10. to go in and see where she is keeping these children that they are supporting. 15 A I am saying that it is reasonable for her to 16 refuse, as every other family --17 Q That is a technical reason you are giving, 18 isn't it? It is not a reasonable one, according to the ordin-19 ary everyday affairs of human beings. 20 A No. I would say it is not technical, it is 21 fundamental, because it is the right of a family to exist in 22 its own privacy in its own home. 23 20 Q Even though somebody else is supporting them?

That is correct, Your Honor.

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Q Mr.Weiss, suppose she applies for some kind of categorical aid like the hot water heater is gone out, we need a new hot water heater. They say well we will be glad to give you one, we have to come and make sure it is broken and see how big it is and how much it is going to cost and things like that. She says, sorry, just give me the heater, but don't come in the house. You would have the same answer, I would suppose?

A That is correct, Your Honor. Of course, it is true in New York that there are none of these special grants, as they were called. But if in fact --

Q There were, though.

A There were. Even if they came back, if in fact they believes she was lying, she would be liable as any-body else who lies to the government is liable to criminal prosecution and a warrant would be issued to inspect that home to see if he lied about the presence or absence of a heater, as she in fact had, she would then be prosecuted and necessary steps taken.

Q Of course, as long as no one will ever have any idea that she was lying --

A No more than any time you fill out government forms of any sort. All of us fill out government forms many times.

Q Yes, but you usually don't get money every

month when you fill out forms.

ALC:

90.

- A But some people get much more money much more often than welfare recipients, of course, Your Honor.
  - Q Mr. Weiss, how many people in New York are receiving one kind of aid or another?
  - A I believe that the welfare roles in New York

    City are approximately a million to a million two. I think it
    is the largest welfare --
  - Q How big a staff do they now have, if you know, to operate it?
    - A I am sorry, I do not know that.
  - O In the Los Angeles, California case last year, the record showed that for 500,000 people on welfare in Los Angeles County, they had 12,500 caseworkers. Now, if they have got to do what you have just said in response to Mr. Justice White, it would take quite an army of caseworkers, wouldn't it?
  - A I don't believe so, Your Honor. I don't believe the majority of welfare recipients are any more honest or dishonest than the rest of us. I don't believe that this would be a matter for welfare workers, but if a welfare worker were to believe that a particular act of fraud had been committed, she should refer it to the police department.
  - Q Do you think in the hypothetical case Mr. Justice White gave you that they would be justified in refusing

to replace the heater until they could inspect the house?

A No, it would not be justified, no more than the Internal Revenue Service would be justified in refusing something initially.

Q They do refuse a deduction if you don't let them inspect your records, don't they?

A I think you can proffer the same sort of evidence for heater, a bill of sale, a bill of repair, that you would in fact to the Internal Revenue Service to report a robbery deduction. You proffer certain types of proofs of sale.

Q Mr. Weiss, may I ask, if you were to prevail, what would be the effect of the decision upon the HEW regulations which is to require some kind of sampling and a report as a condition, I gather, that continued participation in the federal program?

A I do not think that all welfare recipients always will refuse to do it, some welcome it, some welcome the conversation. I would think the people who are eager or willing to receive home visits, they would get an adequate sample for their purposes.

There also are, as the amicus from San Mateo County
puts forth to this Court, other HEW regulations which seem in
fact to militate against the type of home visits present in
this case. Those regulations, I believe, reflect the

constitutional commands present in this case, a manifested injunction issued by the district court.

Q Would you sum up those? I haven't read the entire brief.

Mand entrance, they should not go into homes without prior consent. That is what they seek to do here by saying if you do not let us in we will cut off your welfare. That, of course, was held to be unconstitutional coercion in your confession case of Lynumn vs. Illinois, so too here, coercion and therefore not consent, and I would say therefore against the requlation, and reflects, I believe, the constitutional mandate.

In summary, I would say that what the welfare department seeks to do is send improper people into inappropriate places to achieve results irrelevant to the welfare statute which in fact violate the constitutional rights.

Thank you.

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MR. CHIEF JUSTICE BURGER: Thank you, Mr. Weiss.

Miss Soloff, I believe your time is expired, unless you have any factual matters that you wanted to make a correction in the record about.

MISS SOLOFF: I would just like to say that -- address myself to Mr. Justice Brennan's --

MR. CHIEF JUSTICE BURGER: Would you speak just a little louder.

MISS SOLOFF: I am sorry.

1.

Mr. Justice Brennan's first questions to Mr. Weiss with respect to what can happen at a hearing, it would appear that Mrs. James' assistance was terminated because of her refusal but in point of fact, as I said, the referee did set out what the refusal was supposed to -- what the visit was supposed to accomplish, and Mrs. James did not set forth any reason why the visits should not be made. In fact, her refusal was completely arbitrary.

You don't have another case in which -- at least there is none that has come to anybody's attention in which assistance has been terminated solely for refusal to permit --

Q Well, I thought what Mr. Weiss said was that the termination hearing amounts to nothing more than an inquiry, was a refusal, and if it was found there was a refusal, then automatically an order is entered terminationg henefits. You say that is not so, Miss Soloff?

A I say that you have no other case but this one,
Mr. Justice, and what happened in this case was that reason was
advanced why the visits should not be made, and so that the
flat face of the record appears to support that position,
whereas it was not the least bit necessary --

Q Suppose it had been said I can give you this information, whatever it is you want, without your making a home visit, and this is the way I will supply it, and that

tender was made. What would have been the result if the tender had been that a satisfactory tender of evidence upon which it could be concluded no home visit was necessary?

A Then I think it up to -- again, we are talking somewhat in the dark, because if she did not go to state fair hearing, but I think the result would be that it would be up to a referee to determine if the department was correct, that the offer was unacceptable, that the alternative was unacceptable.

Ω But doesn't either the state or the regulation
require a home visit regularly?

A The statute requires an initial home visit, there the -- pardon me, the state regulation. Thereafter it requires periodic contacts, which may be by home visits or office visits or another method, does not explicitly require that in all cases of continuing eligibility there be a home visit.

Q So --

A So that agency would have some latitude in this respect.

Q You mean the policy of New York is stated in the statute or in the regulation isn't that there must be a home visit in order to assure the welfare department of continued eligibility?

A That's right.

Q So they must think that there is some other

ways of doing it, or they just don't care after the initial --

A,

A It is not that they don't care, it is that there is the possibility that there are alternative means, but it is also possible that alternative means will not work. In fact, a home visit has been the traditional means of verifying the —

Q What other means would ever work in verifying just the fact that three children are living in the home?

A I can't think that another one would work as effectively. I mean that is the answer, that is the closest we can get, whether or not the state would allow or the federal government would permit it, to accept other evidence is not constitutionally required to do so.

Q I suppose, if you had unlimited funds, you could put a 24-hour surveillance on the house and if for thirty days no children were seen coming or going, that might lead to an inference that they were either very ill or that there weren't any children there.

A I suppose that is possible, Mr. Justice. What is happeninghere is, of course, the welfare programs are changing. You are trying to reconcile the recognized dignity of the individual with the need to have a workable welfare program. The home visit is changing, and this was stressed, too. It is being adapted to the new programs, and we are trying to see if the new programs work, and we simply don't

San San know. And what they are asking for is that a declaration 2 system or something very close to it can be established as a constitutional verity at a time when the evidence simply is 3 not in that it works now. B. 5 Q Does the record show how many children there 6 are? A Pardon? 7 Does the record show how many children there are and what are their ages and how much they draw? 9 Mrs. James has one child, who is now, I quess, 10 about three years old. And I do not have the figure for a 11 family of two under the revised standard of need in New York 12 City at this time, Mr. Justice. 13 How much is contributed? Anything for rent? 94 A New York State pays rent separately from its 15 grants for other necessities. 16 Does she get anything for rent here? 17 Yes, New York pays rent apart from the --18 Q How much does she get for the rent of the 19 house in which she is living with the child? 20 A I don't remember what her last -- her last 21 rent that I recall was in the neighborhood of \$100 a month, but 22 I don't remember precisely because she has moved a number of 23 24. times.

25

Q How big is her house? Is it an apartment or a

| house?

To the

A It is an apartment. It is an apartment. I believe it is three or four rooms.

Q Miss Soloff, you heard my hypothetical factual situation I presented to Mr. Weiss about the foster homes. If you know, if you are familiar with the regulations and procedures, does New York State or its subdivisions conduct periodic visitations of foster homes where they place children from time to time?

A I believe it does, but I can't cite the section of the law in which that happens. It would be under the family laws in the domestic relations --

Q It would certainly be astonishing if they place children in homes and then made no check on them to determine whether they were being properly cared for, wouldn't it?

A They do, I am sure, they check foster homes.

They check the adopted homes.

MR. CHIEF JUSTICE BURGER: Thank you, Miss Soloff.
The case is submitted.

(Whereupon, at 11:10 a.m., argument in the aboveentitled matter was concluded.)