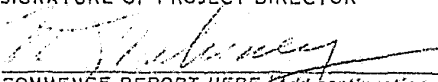
 U. S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION		DISCRETIONARY GRANT PROGRESS REPORT	
GRANTEE Wisconsin Council on Criminal Justice		LEAA GRANT NO. 75-TA-05-0005	DATE OF REPORT 10/29/76
IMPLEMENTING SUBGRANTEE Wisconsin Council on Criminal Justice		TYPE OF REPORT <input type="checkbox"/> REGULAR <input type="checkbox"/> SPECIAL REQUEST <input checked="" type="checkbox"/> FINAL REPORT	
SHORT TITLE OF PROJECT Regional Planning Unit Evaluation Project		GRANT AMOUNT \$7,200	
REPORT IS SUBMITTED FOR THE PERIOD 6/30/76		THROUGH 9/30/76	
SIGNATURE OF PROJECT DIRECTOR 		TYPED NAME & TITLE OF PROJECT DIRECTOR Michael W. Mahoney, Deputy Director, WC	

COMMENCE REPORT HERE (Add continuation pages as required.)

The WCCJ has ten (10) separate and distinct regional planning councils, each of which are staffed by a regional planning director. Although eight (8) of the regional directors are responsible to the WCCJ Executive Director, all ten (10) are in fact responsible for policy and management purposes to their respective regional councils or sub-committees thereof.

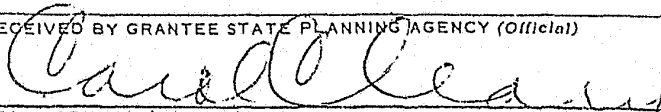
Although the uniqueness of the ten regions is beneficial in terms of providing programs and projects tailored to local problems and needs, that same uniqueness creates a wide disparity between regions in the evaluation of their own performance and the criteria by which staff performance is judged.

The goal of this discretionary grant, which was supplemented by \$21,770.00 of WCCJ action (evaluation) funds was to design a management/evaluation system for the ten regional offices which included the following:

1. A definition of the responsibilities and activities associated with the operation of a regional office; and
2. A designation of the indicators of acceptable performance of the responsibilities identified.

A copy of the study and report is attached.

37859

RECEIVED BY GRANTEE STATE PLANNING AGENCY (Official) 	DATE
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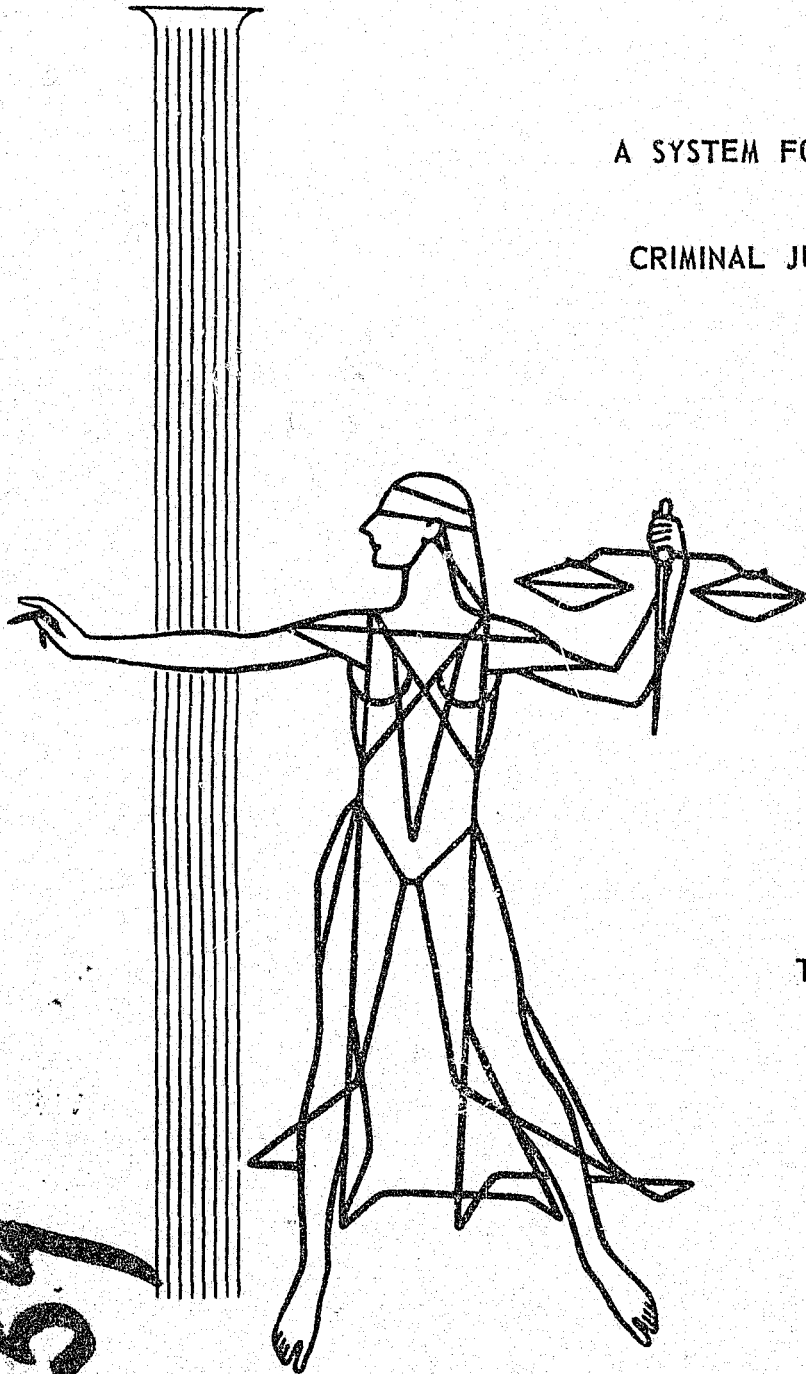
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A SYSTEM FOR MANAGEMENT AND EVALUATION OF  
THE TEN REGIONAL  
CRIMINAL JUSTICE PLANNING COUNCIL OFFICES  
OF WCCJ

FINAL REPORT



Submitted to  
The Wisconsin Council on Criminal Justice  
October, 1976

ARTHUR YOUNG & COMPANY

MILWAUKEE

37859



ARTHUR YOUNG & COMPANY / 780 NORTH WATER STREET / MILWAUKEE, WISCONSIN 53202



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October 8, 1976

Mr. Michael Mahoney  
Deputy Director  
Wisconsin Council On  
Criminal Justice  
122 West Washington Avenue  
Madison, Wisconsin 53703

NCJF 3

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ACQUISITION

Dear Mr. Mahoney:

This represents the final report of our engagement to assist the Wisconsin Council on Criminal Justice (WCCJ) with the design of a management and evaluation system for its ten Regional Criminal Justice Planning Council offices. The essential purposes of the system were to define the roles and responsibilities of the regional office staffs, and to provide a framework for assessing and evaluating regional operations.

We have developed the design for a management/evaluation system which accomplishes these purposes. The two basic elements of the system are:

- . A definition of the responsibilities and activities associated with the operations of the regional offices.
- . A designation of the indicators of acceptable performance of the responsibilities identified.

Each of these elements is described in detail in separate sections of the report.

The management/evaluation system is a matter of monitoring actual indicators of performance produced by regional offices and comparing them to standards established in advance. Its successful implementation will require appropriate parties within

ARTHUR YOUNG & COMPANY

Mr. Michael Mahoney  
October 8, 1976  
Page 2

WCCJ to establish standards of performance and to develop a mechanism for monitoring actual performance by the regional offices.

The management/evaluation system is premised on a key assumption that all responsibilities of regional offices are to be accomplished and that they can be accomplished. As is discussed in the report, questions arise regarding the capability of regional offices to accomplish all responsibilities due to staffing limitations. These questions will require further study by WCCJ. They must be resolved prior to implementation of any system for evaluation.

Another purpose of this engagement was to provide technical assistance to improve operational systems of regional offices where problems were identified. During our on-site visits to the ten regional offices, however, regional staffs expressed few problems with operational systems. In addition, our limited observations did not uncover any noteworthy problems. We have, therefore, concluded that in general the operational systems of the regional offices are sound.

We have enjoyed working with the WCCJ in performing this engagement. We also wish to express our appreciation to the Regional Planning Directors and their respective staff members for the fine cooperation we received during the course of the engagement.

We will be happy to further discuss the contents of this report with you if you so desire.

Very truly yours,

*Arthur Young & Company*

A SYSTEM FOR MANAGEMENT AND EVALUATION OF  
THE TEN REGIONAL  
CRIMINAL JUSTICE PLANNING COUNCIL OFFICES  
OF WCCJ

FINAL REPORT

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I. INTRODUCTION

## I. INTRODUCTION

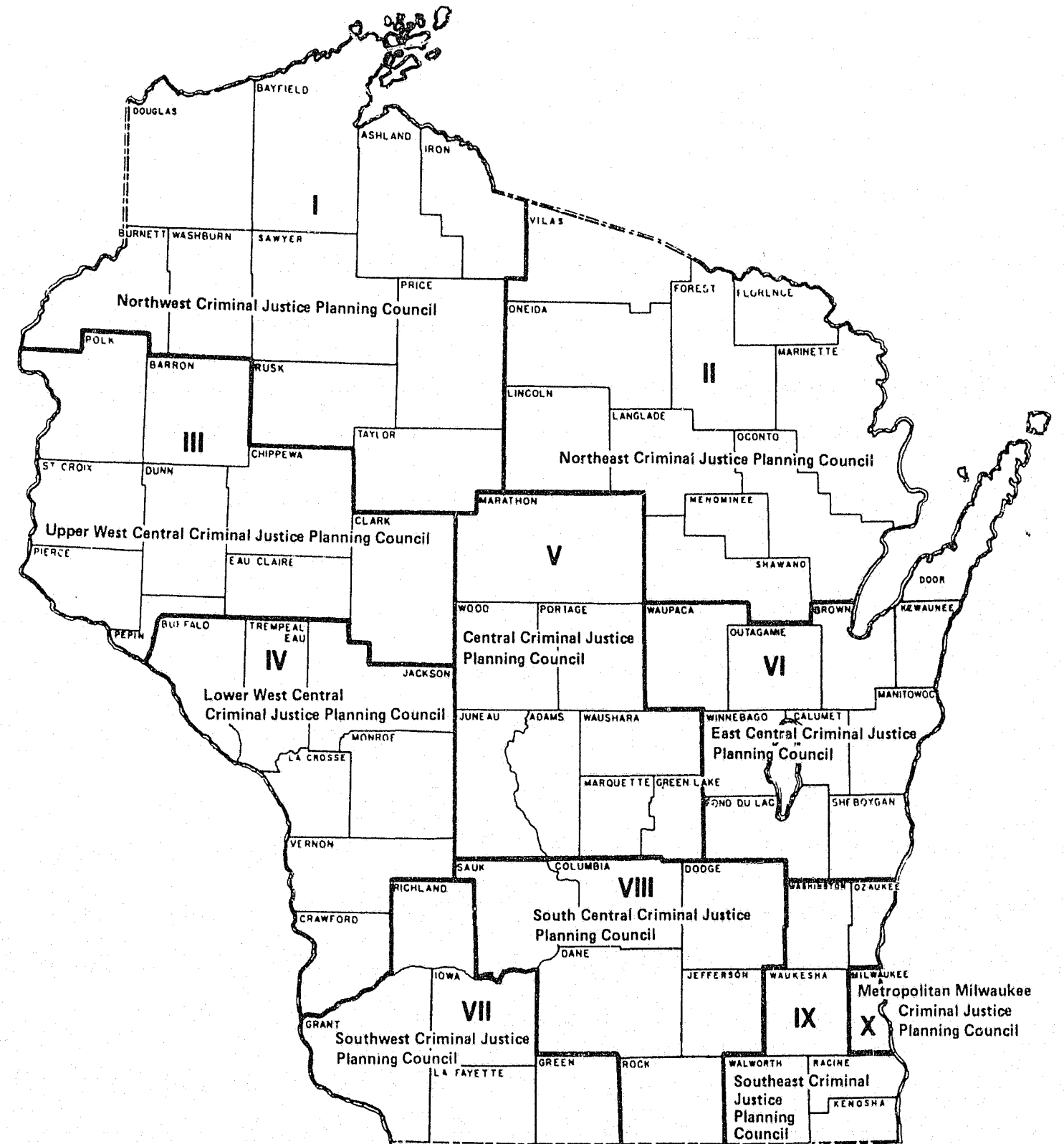
### Background

The Wisconsin Council on Criminal Justice (WCCJ) was established under provisions of the Omnibus Crime Control and Safe Streets Act of 1968 and the Crime Control Act of 1973. It is the State Planning Agency (SPA) assigned by the Governor to administer a coordinated program for improving the criminal justice system in the State. Its specific responsibilities include preparing an annual comprehensive criminal justice improvement plan and administering the distribution of federal monies to local units of government, State agencies, and private non-profit agencies to provide assistance for basic implementation and demonstration of criminal justice improvement projects. These monies are received from the Law Enforcement Assistance Administration (LEAA) of the Department of Justice, which is also responsible for approving the comprehensive State Plan.

LEAA awards two types of grants to the SPA: planning grants (Part B) to finance the planning necessary for any successful improvement, and action grants (Part C, E, and JJDPA) to finance the implementation of the planned improvement. WCCJ receives block action grants from LEAA and then subgrants these funds to local and State agencies. WCCJ also receives block planning grants and must pass through at least 40% of the planning money to local units. This requirement results from a basic premise of the LEAA legislation that crime is a local problem which must be dealt with at a local level.

WCCJ has divided the State into ten regions (see Exhibit I), each with a Regional Council responsible for planning and assisting local agencies implement improvement to the local criminal justice system. Specific responsibilities of the Regional Councils include providing local input to the State's comprehensive criminal

REGIONAL PLANNING COUNCILS  
WISCONSIN COUNCIL ON CRIMINAL JUSTICE



justice improvement plan through regional plans and submissions, and approving or denying applications for LEAA grant funds originating from agencies within the region.

Regional Council members are appointed by the Governor and are representatives of criminal justice units, local government, citizens, professional and community organizations. Members serve without pay.

Each Regional Council is supported by a regional staff which operates the regional planning office. The number of full-time, paid staff personnel varies among regions (see Exhibit II). Each region has a full-time Regional Director who, in eight of the ten regions, is hired by the WCCJ Executive Director. In Regions VII and X, which have declined the State staff option, the respective Regional Council recruits and hires the Regional Director. The number of other staff positions is a function of the size of the regional budget, since the Regional Director has discretion over the use of his budgeted funds and the hiring of personnel. The size of each regional budget is determined by formula allocation of 40% of total planning grant funds available to WCCJ from LEAA. The allocation formula takes into consideration the factors of population and crime rate in each region, above a minimum base amount which must be supplied to each region. (See Exhibit II for 1976 regional budgets.)

In addition, Limited Term Employees (LTEs) and student interns are periodically employed to assist regional staffs in performance of their duties. These positions are normally funded from WCCJ action grants or grants issued under programs administered by other agencies (e.g., CETA, Ex-offender, etc.).

Most regional office staffs have a dual reporting responsibility within the organizational structure of WCCJ. The staffs of the eight regions exercising the State staff option administratively report to the Executive Director of WCCJ while functionally

BUDGET AND STAFF\* SUMMARY FOR  
REGIONAL OFFICES OF WCCJ

		<u>FY 1975 Budget</u>	<u>FY 1976 Budget</u>	<u>Professional Staff*</u>	<u>Clerical Staff*</u>
Region I	- Northwest	\$28,995	\$30,431	1	-
Region II	- Northeast	\$30,434	\$32,281	1	1
Region III	- Upper West Central	\$35,951	\$38,614	1	1
Region IV	- Lower West Central	\$31,145	\$33,349	1	.5
Region V	- Central	\$35,245	\$37,958	1	1
Region VI	- East Central	\$63,563	\$69,738	2	1
Region VII	- Southwest	\$26,205	\$27,458	1	-
Region VIII	- South Central	\$58,194	\$64,366	2	1
Region IX	- Southeast	\$63,035	\$71,655	2	1
Region X	- Metro	\$84,433	\$92,150	3	2

\*Full-time positions funded from regional operating budget.

Note: FY 1977 budget is the same as the FY 1976 budget.

reporting to their respective Regional Councils in their role as operational staff for the office. This structure can place those regional staffs in an uncomfortable and difficult position if the opinions of Regional Councils and the WCCJ differ, as they sometimes do. Part of the purpose of this report is to improve this situation by presenting a management/evaluation system which clarifies the roles and responsibilities of the regional staff.

Purpose Of Study

As stated in the Request for Proposal issued by the WCCJ the purpose of this study was "to secure technical assistance for the design of an appropriate management and evaluation system for the operation of WCCJ's ten Regional Criminal Justice Planning Council (RCJPC) offices. This system will be used for:

1. Clarifying the role and function of regional operations,
2. Assessing and evaluating regional operations, and
3. Providing assistance to the regions for operational improvement."

In addition, the scope of the study was to include a review of regional office operational procedures to provide technical assistance for improvement when requested.

### Overview Of System

We have developed the design for a system of monitoring and evaluating the operations of the RCJPC offices which will achieve the purposes stated above. It is presented in terms of its two basic elements:

1. A detailed description of the responsibilities and related activities associated with the operation of the regional offices, and
2. A designation of those "outputs" of regional office operations which indicate adequate performance of each of the responsibilities identified.

The elements alone do not comprise a "system" for managing and evaluating. It is only when the elements are implemented with a reporting mechanism which monitors the regional outputs, or "performance indicators," as they will henceforth be referenced, that a system exists. Implementation is, of course, the responsibility of the WCCJ.

The evaluation process will consist of monitoring the performance indicators produced by the regional offices and comparing them to expected standards, developed jointly and agreed to in advance by the Executive Director and Regional Directors. It is imperative that expectation standards be defined in advance for any evaluation system to work effectively. In addition, the more specifically the expected standards are defined, the more objective the evaluation process becomes, being a "pass/fail" decision based on compliance with the previously specified standards of performance. If the standards are met, the regional office will have produced a document of acceptable content and quality and will have fulfilled its functional responsibility. It would consequently be evaluated positively. If the standards are not met, the region would not have fulfilled its responsibility and would be evaluated negatively.



By way of example, a performance indicator for the planning responsibility of the regional office is the production of a Regional Problem Analysis/Plan Submission. The format and content of this submission is to be specified each year by the Planning Coordinator, after consultation with Regional Directors. If the regional staff produces a Regional Problem Analysis/Plan Submission which contains all the required information and presents it as specified, on or before the designated deadline, then the regional staff has met this part of its planning responsibility and should be evaluated positively. If the region does not produce a submission or if the submission does not meet the pre-specified criteria, it would be evaluated negatively.

In making the evaluation decision, one must also consider the quality of the submission as a whole, from the standpoint of being a problem identification document. Obviously, such a decision requires some degree of subjective analysis on the part of the reviewer. Subjectivity can never be completely eliminated from the evaluation process. The hope is, however, that the subjective element can be minimized to the greatest extent possible by the detailed specification of expected standards of performance in advance. The more detail provided to the regional staffs in advance concerning the expected standards of performance, the more objective the evaluation process will become.

### Methodology

The first requisite for the development of any kind of an evaluation system is a clear definition of the duties and responsibilities of the organization or position being evaluated. Performance cannot be fairly assessed without first specifying what is supposed to be accomplished.

In the case of the WCCJ regional offices, a clear definition of the duties and responsibilities did not exist. The first work step of our approach was, therefore, to identify and define the functional responsibilities and associated activities of the regional offices. This was accomplished primarily through the use of interviews.

Each Regional Planning Director was interviewed at least once at his regional office, and in most cases twice. Planning Directors were asked to specify responsibilities they felt were assigned to the regional offices and to elaborate upon the nature of activities undertaken in carrying out those responsibilities. Key members of the Central Staff's programmatic section, as well as the Planning Coordinator and the Deputy Director, were also interviewed to obtain insight into the responsibilities and activities of the regional offices and their interrelationships with the Central Staff of WCCJ.

To supplement what we learned during the interview process, we reviewed reports of previous studies of WCCJ regional operations and relevant national LEAA guidelines and administrative policies. Additionally, we collected data on the actual activities performed by all regional staff members during the month of May, 1976. A summarization of this data is presented and discussed elsewhere in this report. An example of the materials which were distributed to the regions to collect the data is presented in Appendix C.

At the outset, we had anticipated that responsibilities and activities might differ significantly from region to region, requiring us to prepare separate lists of responsibilities and activities for each region. However, there was surprising consistency in what we were told by the ten Regional Planning Directors and what we observed to be the functional responsibilities of the regions. Everyone basically agreed on the responsibilities assigned to the regional offices and on the kinds of activities which should be performed at the regional offices in order to accomplish the responsibilities.

Discrepancy problems arose, however, on the kinds of activities actually performed in the various regions. Because of staffing differences among the regions, the kinds of activities performed varied from region to region. In general, regions with larger staffs tended to perform more of the kinds of activities which would result in accomplishment of all of the assigned responsibilities. In no region, however, did the Regional Planning Director believe the staff size was sufficient to adequately fulfill all of the responsibilities assigned to the regional office.

This presented us with a problem. If we developed a system which would evaluate each region only on accomplishment of those responsibilities which its present staffing levels made reasonably possible, implementation of such a system might be counter productive to the interests of the WCCJ. This could result because regional staffs would logically devote their maximum efforts to the accomplishment of those priority responsibilities upon which their evaluation was based, and minimal or no effort to other responsibilities. However, assuming all responsibilities are valid, some effort put forth toward the accomplishment of each, even though taking away from a superior effort toward accomplishing certain specific responsibilities, may be more beneficial to the interests of the WCCJ and the regions.

Consequently, we chose to recommend a system which is intended to evaluate the operations of the regional offices as they should be, assuming sufficient levels of funding. To this end, we present a single list of the eight functional responsibilities and their descriptions which applies to all regional offices. It appears in Section II.

Having specified eight functional responsibilities for the operations of the regional offices, our next task was to determine appropriate mechanisms for indicating acceptable accomplishment of each. Wishing to keep this indicative process as objective as possible, we selected specific tangible outputs of operations to be performance indicators of the responsibilities. They were selected such that production of the performance indicator implies that activities required to acceptably fulfill the responsibility have been performed. Controlling the form and content of the performance indicator thereby controls the extent to which the activity is performed and the responsibility met.

In selecting performance indicators, we have made use of operational outputs currently existing in the system, whenever possible. This was not feasible in all situations, however. In some cases it was necessary to suggest implementation of new procedures resulting in production of new reports (outputs). In all cases, the designated performance indicators have been reviewed with Regional Planning Directors and key members of Central Staff.

It must be remembered that the system we are proposing is one based on the premise that all identified responsibilities of a region should be accomplished. Performance indicators have, therefore, been designated for each responsibility. These are shown in Section III.

This is not meant to imply that all regional outputs designated as performance indicators are currently being produced

or that current staffing and funding levels are sufficient to reasonably expect them to be produced. Existing staff and fiscal resource levels are not considered constraints for the system as described. Conversely, it is also not meant to imply that all activities being performed are only those that should be, or that they are being performed as efficiently as possible. A qualitative evaluation of present personnel was not within the scope of this study.

During our on-site visits to the regional offices, we also reviewed the filing and record keeping procedures and systems utilized by the ten regions. Specific filing systems vary from region to region, but, in general, all appeared functional, allowing for adequate retrieval of information desired. We do not feel substantial benefits would result from attempting to standardize these systems. Fiscal record keeping and reporting systems also appear to function adequately. Regional office staff did not express any problems with fiscal operations or reports. In fact, most staff members interviewed considered fiscal operations to be one of the smoothest functioning components of the WCCJ operation. Further comments on these matters are made in the memos summarizing our visits to the various regional offices. These appear in Appendix A.

II. RESPONSIBILITIES/ACTIVITIES

## II. RESPONSIBILITIES/ACTIVITIES

We have identified the following eight functional responsibilities of the regional offices of the WCCJ:

1. Planning
2. Project Development
3. Service To Local Public
4. Grant Application Processing
5. Grant Monitoring
6. Grant Evaluation
7. Office Administration
8. Service To Regional Council

We emphasize that this list represents those responsibilities which should be performed at a regional office to accomplish its assigned purposes. It should not be interpreted to imply that all are currently being performed.

A detailed description of each responsibility follows.

### Planning

Planning at the regional office level is essentially the process of identifying existing problems and needs within the region's criminal justice system and recommending possible solutions. Based on current policy, this responsibility is met through the formalized development of the State's Annual Criminal Justice Improvement Plan.

Proposed policy guidelines call for each Regional Council to submit to the Central Staff of WCCJ one or more formal documents (regional submissions) identifying regional problems and advocating programs to ameliorate them. These regional submissions are then

be synthesized into the State Plan. Specifications on form and content of the regional submissions, as well as the submission deadlines, are to be established by the Planning Coordinator and distributed to the Regional Planners before the planning process begins.

Identifying problems existing in the local criminal justice system requires the regional office staffs to perform the following kinds of activities:

- . Collecting relevant statistical data from local agencies comprising the criminal justice system and from other sources. This is a time-consuming process which may involve sorting through voluminous records to retrieve the required information in a meaningful form for analysis. In addition, statistical data relevant to the regions are provided by Central Staff.
- . Analyzing statistical data obtained from all sources to determine and document the problems which exist in the criminal justice system. This is normally done on a county-by-county basis.
- . Obtaining input from local criminal justice agencies and from concerned members of the local public about problems they see in the system. This is normally accomplished by interviewing key people in the agencies and by holding "public hearings" in the various counties comprising the region.

It should be noted that the problem identification process is not limited to those areas for which LEAA grant funds are potentially available to assist in implementing change. Existing



problems which do not represent opportunities for LEAA funded projects are also addressed.

Having identified the various regional problems, the second step in the planning process is the development of proposed programs to ameliorate the problems. Although this theoretically is considered a separate function from that of problem identification, in practice much of the work is performed concurrently.

The kinds of factors considered during this process include the following:

- . Programs existing in the current State Plan,
- . LEAA grant funds potentially available to the region,
- . Standards and goals of WCCJ,
- . New programs being tried elsewhere,
- . Degree of commitment and capability of local agency.

The resulting product is a document proposing specific programs to be undertaken in the region to rectify existing problems. This includes projected cost and funding analysis.

In addition to their aforementioned responsibilities for providing annual regional input to the State's Criminal Justice Improvement Plan, Regional Planners are responsible for reviewing interim draft versions of the Plan produced by Central Staff for the Regional Councils. In instances where Regional Councils wish to amend parts of the State Plan, regional staff is responsible for writing and formally presenting the amendment to Central Staff and/or WCCJ. Although the actual amendment process is relatively simple, it often proves to be a time-consuming process because of the discussions and informal negotiations which take place between regional staff and Central Staff.

### Project Development

Project development encompasses those activities undertaken by regional staff to effect the establishment of projects to improve the criminal justice system. Projects are not limited to LEAA grant funded programs, but include any organized effort made on the part of local agencies or units of government to improve the criminal justice system.

Project development is closely related to and logically follows the responsibility for planning. Whereas planning refers to identifying problems and needs within the criminal justice system and suggesting programs to rectify them, project development involves performing the necessary activities to bring about the implementation of those programs at the local level. Project development is in essence the follow-up to planning.

Activities encompassed within project development include:

- . Contacting appropriate groups, agencies or governmental units to discuss existing problems and suggested programs for improvement.
- . Assisting prospective project sponsors plan for implementation of specific projects. This process normally includes informing them about possible sources of outside funding for the project, including LEAA grants.
- . Assisting the prospective project sponsor in his efforts to obtain the necessary support, financial and otherwise, from local governmental bodies and/or agencies to successfully implement the project. This often requires Regional Directors to make formal presentations before city councils, county boards, etc., to explain the project and its implications to the group and the community.

Also encompassed within project development is a public relations activity to make the general public and criminal justice related agencies aware of the purposes, programs and resources of WCCJ and LEAA. While these efforts may not be related directly to the development of a specific project, they may indirectly result in the establishment of future projects.

Specific kinds of activities falling within this category include:

- . Organizing and attending meetings and conferences of the general public, relevant agencies or governmental bodies.
- . Serving on boards and panels of relevant agencies and governmental bodies when requested.
- . Informal visits and contacts with appropriate individuals and agencies.
- . Distribution of relevant literature or newsletters to appropriate parties.

#### Service To Local Public

Service to the local public encompasses a variety of activities performed by the regional office staff in its role as the local representative of the criminal justice system as a whole. This is especially true in the rural regions.

The activities performed are numerous and can be quite diverse in nature. Some are closely related to the planning and project development responsibilities. These include:

- . Providing technical assistance to local agencies. This ranges from limited efforts to improve the planning capabilities of the local agency to performing in-depth management studies and facility feasibility studies for local law enforcement

agencies. Factors affecting the scope of these efforts include: availability of staff time, extent of local need, and expertise of local staff. (Assistance given with grant application writing is not technical assistance as defined here. It falls within the scope of the grant application processing responsibility, as discussed later.)

- . Coordinating planning activities of local agencies to avoid duplication of effort and make maximum utilization of available resources. This includes organizing meetings and conferences to bring together various elements of the criminal justice system for joint discussion and solution of common problems.
- . Providing statistical and other research data available on the criminal justice system to requesting parties.
- . Responding to specific inquiries from the general public regarding operations of the criminal justice system.
- . Serving as liaison between local criminal justice system elements and other comprehensive planning bodies in the region.

Other services provided to the local public not closely related to planning and project development include:

- . Participating on local boards or panels as representative of the criminal justice system.

- . Giving speeches on criminal justice system and criminal justice planning to local groups.
- . Serving as informal liaison between local and State level agencies comprising the criminal justice system.

#### Grant Application Processing

Grant application processing refers to performing all necessary activities for processing LEAA grant applications through the WCCJ Executive Committee recommendation. These activities can be grouped into two categories for presentation purposes: those taking place before formal submission of the grant application and those taking place after submission of the application.

#### Pre-Application Submission Activities:

- . Scheduling deadlines for submitting grant applications to regional office based on the application hearing dates set by the WCCJ Executive Committee.
- . Notifying potential subgrantees of requirements and guidelines for formal submission of grant applications.
- . Providing assistance to prospective subgrantees on preparation of grant applications.

The extent of involvement in this activity varies significantly from region to region and from subgrantee to subgrantee. It ranges from limited advice on what general or specific information should be included in the grant application to extensive editing and rewriting of draft versions of the

application. In general, the extent of the involvement of regional staff is directly related to the amount of prior experience the applicant has had with writing grant applications and the staff size of the applicant agency. Usually this means that applicants in the smaller, rural areas require greater assistance than do applicants in the larger, metropolitan areas.

Recent changes in the WCCJ affirmative action requirements for grant applications have significantly increased the extent of assistance sought from regional offices by subgrant applicants. Assistance is requested in the preparation of the affirmative action statements and also with the collection of local demographic data needed to support an affirmative action plan.

Post-Application Submission Activities:

- . Reviewing and analyzing all grant applications for compliance with requirements of State Plan and LEAA guidelines. This includes considering such things as:
  - Operational procedures of the project,
  - Anticipated programmatic impact of project,
  - Overall methodology of project.
  
- . Preparing regional staff recommendation for each grant application received.

. Coordinating presentation of grant applications to the Regional Council for their approval or denial. This entails:

- Distributing copies of all applications, staff recommendations, and other relevant materials to Regional Council members prior to the meeting,
- Arranging for applicant's attendance at the meeting,
- Answering questions of the Regional Council members concerning the project or the analysis thereof.

. Coordinating the processing of grant applications through presentation to the WCCJ Executive Committee. This entails:

- Preparing and distributing materials to the Regional Planning Commission to accomplish the A-95 review process,
- Distributing copies of applications, staff recommendations, and other relevant materials to Central Staff,
- Answering questions of the Central Staff arising as a result of their review and analysis of the grant applications,
- Arranging for applicant's attendance at WCCJ Executive Committee meeting,
- Presenting grant applications to the Executive Committee.

#### Grant Monitoring

Grant monitoring refers to maintaining contact with the subgrantee project subsequent to grant application approval in order to verify the project is being implemented as described in the grant application and that all special conditions are being complied with. This responsibility is accomplished through periodic on-site visits to the project and review of fiscal and narrative reports filed by the subgrantee.

By keeping current on the progress of the project through this monitoring function, regional staff should be able to identify potential problems with the project at the earliest possible date and arrange for or provide technical assistance to eliminate them. In addition, grant monitoring entails assisting the subgrantee during the project start-up phase with such matters as:

- . Establishing records and record keeping procedures to insure availability of data required for project evaluation and fiscal audit.
- . Explaining report filing process to be followed for compliance with conditions of the grant.
- . Hiring of required personnel to implement the project.

#### Grant Evaluation

Grant evaluation is the process of assessing the impact of a project on the criminal justice system and thereby judging its success. Currently, the regional staff's role in the evaluation process is one of support and assistance to the designated evaluation team, normally composed of members of the Central Staff evaluation section or outside contractors. Regional staff is to inform the evaluation team of any unusual conditions which exist and about which the team should be aware before performing the evaluation. This communication normally occurs at the time the evaluation team contacts regional staff prior to the on-site visit to the project. Current policy calls for such contact to be made.

In addition, if schedules and staffing levels permit, the regional staff may take a more active role by participating in the on-site evaluation itself. In any case, regional staff's duties include reviewing the evaluation report when issued. The report should serve as a tool for updating the priorities of the Regional Plan and for assessing the applicability of future projects.



Service To Regional Council

The regional office staff is expected to provide certain specific staff services to the Regional Council. These include:

- . Establishing agendas for Regional Council meetings.
- . Preparing and distributing appropriate materials to all Council members in advance of the meeting. This includes minutes of previous meeting.
- . Preparing Regional Director's report to the Council. The report covers such topics as:
  - Activities of regional staff during current period,
  - Status of grant applications,
  - Implementation progress of approved projects,
  - Financial status of regional office.
- . Acting as liaison between the Regional Council and WCCJ on policy matters and between Regional Council and Executive Director on administrative matters.

Regional Office Administration

This responsibility encompasses performance of the time-consuming, day-to-day activities necessitated by operating a regional office. These include:

- . Hiring, training and supervising personnel.
- . Establishing office procedures, rules and regulations.
- . Establishing and maintaining appropriate files and records.
- . Answering correspondence, telephone calls, inquiries.
- . Preparing regional budget.

Monitoring status of regional budget. Central Staff or the fiscal agent (in those regions not exercising the State staff option) maintains the accounting records and generates monthly reports on actual regional expenditures compared to budgeted. The budget monitoring process basically involves reviewing and checking the accuracy of these reports.

III. PERFORMANCE INDICATORS

### III. PERFORMANCE INDICATORS

Performance indicators for each of the eight functional responsibilities are presented and discussed in this section.

We again emphasize that performance indicators were determined based on the key assumption that all responsibilities assigned to the regional offices can and should be fulfilled and that all activities required to accomplish them will be performed. Existing staff and fiscal resource levels are consequently not considered constraints.

#### Performance Indicators

##### Planning

##### Regional Problem Analysis/Plan Submission

Current planning guidelines for the development of the 1978 Plan call for each region to produce a Regional Problem Analysis/Plan Submission. This submission is intended to depict the problems and needs existing in the criminal justice system of the region. Although details are not currently available, it will be in the form of a report containing a presentation of relevant, historical statistics and an analysis thereof leading to the conclusion that specific problems exist. The scope of the submission is not limited to defining problems in only those areas where LEAA grant funds have traditionally been available, but will address all problem areas within the criminal justice system.

We recommend the Regional Problem Analysis/Plan Submission as a performance indicator of the planning responsibility at the regional office. Production of the report will indicate compliance with part of the region's

responsibility for planning, providing it contains the information required and that the information is presented in the manner specified.

Content and format requirements for the submission are to be itemized by the Planning Coordinator of WCCJ in a formal document issued to the regions each year. This document will be issued in advance of the due date for the report (plan) so as to allow sufficient time for regional staffs to prepare the submission. It will also serve as the standard for the performance indicator, against which the regional submissions are compared.

It is important, therefore, that the document detailing the requirements for the submission be as specific as possible. The more specifically the content and format of the planning submission are defined, the more objective the evaluation decision on compliance with planning responsibility becomes.

To increase the likelihood of developing a submission requirements document which is as specific as possible, we suggest that the Planning Coordinator work closely with Regional Planning Directors during its formulation.

#### Funding Submission

Current planning guidelines for the development of the 1978 Plan call for each Regional Council to produce a funding submission which proposes programs to ameliorate problems identified in the Regional Problem Analysis/ Plan Submission. These programs are to be funded from LEAA action grant funds available to the regions. Amounts

available to individual regions will be specified by target budgets. Although various details have not been finalized at this time, the submission will describe the specific programs which are proposed and the expected accomplishments for each. Projected costs for implementation of projects are to be included and expected requests for LEAA action grant funds specified.

The funding submission is designated as a second performance indicator of the planning responsibility. As with the Regional Problem Analysis/Plan Submission, the format for the funding submission is to be developed and identified by the Planning Coordinator, in advance of the submission deadline. This format will serve as the standard for the performance indicator. Again, the more specifically the requirements for the submission are stated, the more objective the evaluation process becomes.

#### Project Development

##### Annual Report

Currently, no mechanism exists for reporting the efforts made by regional staff toward developing projects to improve the criminal justice system in the region. We propose that an annual report be prepared at the conclusion of each planning year. Its purpose would be to relate projects begun or continued, or attempts made to develop projects during the year, to the regional problems previously identified in the Regional Problem Analysis/Plan Submission. The report need not be an extensively detailed formal document. It basically need only contain the following information:

- A summary listing of the problems identified in the previous period's Regional Problem Analysis/Plan Submission for the region.

- For each problem listed, a brief account of the projects started, continued (refunded), assistance provided, or actions taken in attempting to develop projects to rectify the problem.

The contents of such a report will provide a means of assessing the efforts made by the regional staff towards developing projects and of judging the relative success. In addition, the knowledge that such a report must be completed at the end of the year should motivate the regional staff to increase their efforts in meeting this responsibility.

#### Service To Local Public

##### Annual Report

Currently, no mechanism exists for reporting the extent of regional activity involved in meeting its responsibility for providing service to the local public. Because the range of potential activities encompassed within this responsibility is great and the potential time commitment for staff personnel significant, we suggest that a record be maintained accumulating data on time spent performing activities related to this responsibility. This need not be a detailed accounting of time spent each day, but should provide a record of the kinds of activities performed which involve significant time commitments from office staff.

The activity information should be summarized in an annual report which serves as the performance indicator for this responsibility. This need not be a separate report from that described as the project development performance indicator.

## Grant Application Processing

### Schedule Of Grant Application Submission Deadlines

Currently, the Executive Committee of the WCCJ establishes a schedule for meeting dates at which it formally considers LEAA grant applications for action funds in specific program areas. Based on this schedule, Central Staff sets deadline dates for receipt of grant applications (usually 45-55 days prior to the Executive Committee meeting dates). Based on the deadlines for submission to Central Staff, regional staff is responsible for scheduling deadlines for receiving grant applications at the regional office. These deadlines should allow sufficient time for regional review and analysis of all applications prior to formal presentation to the Regional Council.

The grant application submission schedule developed by regional staff is suggested as one of three performance indicators for the regional staff responsibility associated with processing grant applications.

### Regional Staff Recommendation Form

The second and most critical performance indicator designated for grant application processing is the regional staff recommendation form. This form must be completed by regional staff for each grant application received by the region. It accompanies the application presented to the Regional Council and the WCCJ Executive Committee.

The project analysis summary is the key component of the recommendation form since it serves as one of the major inputs to the decision-making process of the Regional Council and the WCCJ Executive Committee. It is this



analysis which truly indicates if the regional staff has adequately fulfilled its assigned responsibility.

Specifications for what constitutes an adequate analysis summary have been established in a policy memo from the Executive Director (see Appendix B). It serves as the standard for this performance indicator and is the benchmark against which the analyses of the regions are judged. The ability to comply with this standard also depends on the quality of the application, itself, and the information contained therein. Since this depends in part upon the quality of the assistance given to the applicant during the preparation phase, it can be controlled by regional staff.

#### A-95 Review Material

The regional staff is responsible for coordinating an A-95 review of each grant application approved by Regional Council. The actual review is performed by the appropriate Regional Planning Commission. Accordingly, regional staff must transmit various documents and other materials to the reviewing agency. The transfer of this material and subsequent issuance of a document designating that A-95 approval has been obtained are performance indicators of this responsibility. The standards are those requirements set by the Regional Planning Commission.

#### Grant Monitoring

##### Schedule Of On-Site Monitoring Visits

For adequate performance of their monitoring responsibility, regional staff must make on-site visits to all on-going projects in the region during the year. To insure that visits are made to all projects, we suggest

that a schedule of monitoring visits be formulated at the beginning of the year. Certain standards for the number of on-site, monitoring visits required for different classifications of projects may be established from time to time. Regional staff would be expected to schedule the appropriate number of visits according to the established standards.

This schedule would serve as one performance indicator for the grant monitoring responsibility.

#### Report Of Findings

After each monitoring visit, the regional staff member who conducted it should prepare a report summarizing the findings. We recommend this report be prepared within two weeks of the monitoring visit. The report should be submitted to WCCJ Central Staff and a copy maintained in the project file to serve as a performance indicator. Guidelines for the form and content of the report will be established by appropriate parties and serve as evaluation standards.

#### Review Of Quarterly Narrative Reports (QNR)

As part of their monitoring duties, regional staff should review all QNRs prepared by subgrantees. The purpose of the review is to increase awareness of the project's progress and identify potential problems warranting further investigation. As a performance indicator, we suggest that regional staff initial all QNRs upon reviewing and maintain copies in the project file.

Current policy calls for the subgrantee to send all QNRs directly to Central Staff which, in turn, transmits copies to the region. We believe that the QNR

should be sent first to the regional office, since it should have primary monitoring responsibility. Upon regional review, copies would be forwarded to Central Staff. The responsibility for following up on unfiled QNRs would, accordingly, lie with the regional office.

#### Grant Evaluation

##### Record Of Communication With Evaluation Team

Current policy requires the evaluation team to contact appropriate regional office staff prior to any on-site work in connection with a project evaluation. This contact is intended to allow regional staff the opportunity to make the evaluation team aware of any unusual circumstances which exist and which might affect the evaluation.

As a performance indicator for having fulfilled this responsibility, we suggest that regional staff prepare a memo acknowledging the meeting and summarizing the comments. A copy of this memo is to be maintained in the project file. In addition, we recommend that a copy of the memo be required as part of the evaluation team's work papers. This will insure that the evaluation team meet with regional staff prior to beginning the evaluation.

##### Regional Director Review And Sign-Off On Evaluation Report

Upon completion of a project evaluation, but prior to the formal issuance of the report, the Regional Director should be given the opportunity to review the report. The purpose of the review would be two-fold:

- It would allow the Regional Director the opportunity to make suggestions or comments about the evaluation report which, if valid, could be reflected in the final report.
- It would insure the Regional Director's awareness of the evaluation results, which should, in turn, impact future planning and project development work.

The Regional Director's signature acknowledging that he has reviewed the report would provide the performance indicator.

#### Service To Regional Council

The performance indicators selected for this responsibility represent those tangible products which result from the staff services provided to the Regional Council. These include:

1. Agendas for each Regional Council meeting.
2. Minutes of each Regional Council meeting.
3. Director's status reports to Council.

#### Regional Office Administration

##### Annual Regional Budget

Each Regional Director is expected to develop and submit an annual budget for the next year's operation. Its submission will indicate having performed this responsibility. A year end comparison of actual expenditures to budgeted will indicate how well it was done.

##### Absence Of Complaints

It would be possible to establish performance indicators for all the routine operational activities performed by regional staff in meeting its office administration responsibility, but we do not feel that the benefits derived from monitoring them would justify the efforts.

Instead, we will assume the office is being properly administered if complaints to the contrary do not arise.

\* \* \* \* \*

Summary

Exhibit III summarizes the major components of the management/evaluation system as described in this report. For them to be effectively implemented into an operational system, the following tasks remain:

- . Evaluation standards of acceptable performance must be specified by the designated parties within the WCCJ organization.
- . Responsibility for monitoring the performance indicators of the regional offices and thereby evaluating performance must be assigned to the appropriate party or parties.
- . Feedback must be given to regional office staff on a timely enough basis to allow for improvement prior to final evaluation.

Exhibit III

WISCONSIN COUNCIL ON CRIMINAL JUSTICE  
MANAGEMENT/EVALUATION SYSTEM - SUMMARY

<u>Responsibility</u>	<u>Performance Indicator</u>	<u>Evaluation Standard For Performance Indicator</u>
Planning	. Regional Problem Analysis/ Plan Submission	Report identifying and analyzing problems in regional criminal justice system. Format and content of report to be specified by Planning Coordinator.
	. Regional Funding Submission	Report proposing projects to ameliorate problems in regional criminal justice system. Format and content of report to be specified by Planning Coordinator.
Project Development	. Annual Report	Report should indicate projects begun or continued, or actions taken to develop projects for problems identified in Regional Problem Analysis/Plan Submission. Format to be specified by Regional Council.
Service To Local Public	. Annual Report	Report should indicate services being provided to local public. Format to be specified by Regional Council.
Grant Application Processing	. Schedule Of Grant Application Submission Deadlines	Schedule specifying deadlines for submitting grant applications in each program area to regional office, and for presenting application to Regional Council.
	. Regional Staff Recommendation Form	Form completed according to specifications of Executive Director in January 12, 1976 memo to staff (see Appendix B).
	. A-95 Review Material	As specified by Regional Planning Council.

WISCONSIN COUNCIL ON CRIMINAL JUSTICE  
MANAGEMENT/EVALUATION SYSTEM - SUMMARY

<u>Responsibility</u>	<u>Performance Indicator</u>	<u>Evaluation Standard For Performance Indicator</u>
Grant Monitoring	<ul style="list-style-type: none"><li>Monitoring Schedule</li><li>Report Of Findings</li><li>Review Of Quarterly Narrative Reports (QNRs)</li></ul>	<p>Schedule specifying visits to be made to each project during the year. (Number of visits to be specified by Executive Director.)</p> <p>Memo documenting observations made during monitoring visit.</p> <p>Copy of QNRs for each project in process, initialed as having been reviewed by regional staff.</p>
Grant Evaluation	<ul style="list-style-type: none"><li>Memo Re: Communication With Evaluation Team</li><li>Evaluation Report Sign-Off</li></ul>	<p>Memo summarizing communication with evaluation team.</p> <p>Copy of evaluation report signed by Regional Director indicating his review.</p>
Service To Regional Council	<ul style="list-style-type: none"><li>Agenda For Regional Council Meetings</li><li>Minutes Of Regional Council Meetings</li><li>Director's Report To Council</li></ul>	<p>Appropriate document prepared according to specifications of Regional Council.</p> <p>Appropriate document prepared according to specifications of Regional Council.</p> <p>Appropriate document prepared according to specifications of Regional Council.</p>
Regional Office Administration	<ul style="list-style-type: none"><li>Annual Regional Operations Budget</li><li>Absence Of Complaints</li></ul>	<p>Budget prepared according to specifications of administrative services section.</p> <p>Absence of complaints.</p>

IV. STAFFING CONSIDERATIONS



**CONTINUED**

**1 OF 2**

#### IV. STAFFING CONSIDERATIONS

As has already been stated, the management/evaluation system we have presented is based on a key assumption that all responsibilities identified with the regional office staff should be accomplished. We now will address the question of whether it is reasonable to expect that all responsibilities can be achieved, given existing levels of staff.

To properly answer this question, it would be necessary to perform a work measurement study of regional operations. Such a study was not within the scope of our engagement. We therefore cannot draw any quantitatively supportable conclusions about the adequacy of current staffing levels for accomplishing all assigned responsibilities. We can, however, offer our overall impression concerning this subject, based on what we were told and observed.

This impression is that it is probably unreasonable to expect that all regions can adequately accomplish all the responsibilities assigned to the regional offices. Our reasons for reaching this conclusion are discussed below.

Regional Directors readily admit deficiencies in meeting their responsibilities for grant monitoring and grant application analysis due to time commitments in other areas and staff limitations. On-site monitoring visits are not made to projects on a regularly scheduled basis in any of the regions. In certain regions, the staff attempts to perform on-site monitoring of projects which have refunding grant applications pending; but, in general, the monitoring process is limited to reviewing Quarterly Narrative Reports, keeping informal verbal contact with project personnel, and relying on project personnel to request assistance if problems arise.

The general idea of limited time being devoted to grant monitoring is supported by the data collected on the activities performed by regional staff personnel during the month of May (see Exhibit IV). Eight of the ten regions reported staff personnel devoting 2% or less of their total time to grant monitoring. While it is not possible to conclude that this level of activity would remain throughout the year, May's activity does support the contention of regional staff that only a minimal amount of staff time is devoted to meeting the grant monitoring responsibility.

Even though not all assigned responsibilities are being performed, data presented in Exhibit V indicates that regional staffs are currently working an excessive number of hours to accomplish as much as they are. All regional staff personnel, with one exception, reported working in excess of the 160 hours which would be normal for the period. This would suggest that regional staffs are not of sufficient size to adequately accomplish their assigned responsibilities. This seems especially true for some of the rural offices which employ only one professional on the staff, the Regional Director, and have a large geographic area to cover, requiring significant travel time. It should be noted that seven of the ten regions reported 10% or more of total work time spent traveling.

Another factor which must be considered in assessing the work load capabilities of the regional staff is the increased responsibility which has been assigned to the regional staff during the past year as a result of changes in the affirmative action compliance requirements for grant applicants. The compliance forms which applicants must now file are more comprehensive than those of prior years and require extensive supporting statistical data to be provided. As a result, regional staffs are experiencing significant increases in the number of requests from applicants for instructional assistance in completing the forms. In addition, they are being asked by the applicants to provide them (applicants) with demographic statistical data on the local area required to complete the forms.

WISCONSIN COUNCIL ON CRIMINAL JUSTICE  
 ACTIVITY SUMMARY FOR REGIONAL PROFESSIONAL STAFF  
 FOR MONTH OF MAY, 1976  
 (SHOWN AS PERCENTAGE OF TOTAL HOURS REPORTED)

REGION:	<u>I</u>	<u>II</u>	<u>III</u>	<u>IV</u>	<u>V</u>	<u>VI</u>	<u>VII</u>	<u>VIII</u>	<u>IX</u>	<u>X</u>				
	Northwest	Northeast	Upper West Central	Lower West Central	Central	East Central		Southwest	South Central		Southeast		Metropolitan Milwaukee	
POSITION:	Planning Director	Planning Director	Planning Director	Planning Director	Planning Director	Planning Director	Assistant Director	Planning Director	Planning Director	Planner	Planning Director	Planner	Executive Director	Assistant Director
Planning	13%	11%	18%	8%	14%	10%	14%	20%	6%	38%	18%	2%	23%	8%
Project Development	5	-	8	3	4	3	6	4	4	2	7	7	3	-
Service To Local Public	1	3	2	5	2	2	14	2	-	2	4	3	1	7
Grant Application Processing	16	8	11	13	7	6	14	12	32	-	10	5	4	9
Grant Monitoring	1	1	7	2	-	2	-	5	-	1	2	1	1	4
Grant Evaluation	-	-	-	1	-	-	-	-	-	-	-	-	-	-
Service To Regional Council	6	7	2	2	3	1	-	9	1	5	7	4	10	3
Office Administration	33	18	22	29	22	23	32	21	36	27	34	49	33	38
WCCJ Staff Or Council Meeting	6	6	7	9	10	5	2	24	7	6	1	-	3	-
Conference	-	1	10	11	31	21	8	-	4	12	5	20	2	-
Travel Time	18	31	11	14	6	13	3	-	-	4	10	7	12	-
Sick Leave/Vacation	-	7	-	-	-	11	6	-	10	-	-	-	4	28
Miscellaneous	<u>1</u>	<u>7</u>	<u>2</u>	<u>3</u>	<u>1</u>	<u>3</u>	<u>1</u>	<u>3</u>	<u>-</u>	<u>3</u>	<u>2</u>	<u>2</u>	<u>4</u>	<u>3</u>
Total Percentage	<u>100%</u>	<u>100%</u>	<u>100%</u>	<u>100%</u>	<u>100%</u>	<u>100%</u>	<u>100%</u>	<u>100%</u>	<u>100%</u>	<u>100%</u>	<u>100%</u>	<u>100%</u>	<u>100%</u>	<u>100%</u>
Total Hours Reported During 20 Work-Day Month	<u>209</u>	<u>160</u>	<u>177</u>	<u>216</u>	<u>180</u>	<u>187</u>	<u>174</u>	<u>185</u>	<u>160*</u>	<u>171*</u>	<u>213</u>	<u>175</u>	<u>187</u>	<u>173</u>

\*Only 18 days of data reported.

WISCONSIN COUNCIL ON CRIMINAL JUSTICE  
 TIME AND ACTIVITIES REPORTED BY REGIONAL  
 PROFESSIONAL STAFF DURING 20 WORK DAYS OF MAY, 1976

REGION:	<u>I</u>	<u>II</u>	<u>III</u>	<u>IV</u>	<u>V</u>	<u>VI</u>		<u>VII</u>	<u>VIII</u>		<u>IX</u>		<u>X</u>	
	Northwest	Northeast	Upper West Central	Lower West Central	Central	East Central		Southwest	South Central		Southeast		Metropolitan Milwaukee	
POSITION:	Planning Director	Planning Director	Planning Director	Planning Director	Planning Director	Planning Director	Assistant Director	Planning Director	Planning Director	Planner	Planning Director	Planner	Executive Director	Assistant Director
Activities														
Planning:														
. Data Collection And Analysis	4	-	8	-	3	-	9	13	-	19	1	-	6	-
. Hearing Or Meeting Re: Plan Or S&G	16	5	17	17	10	8	1	20	7	14	27	4	16	6
. Other Work Related To Plan	7	13	5	-	12	11	15	4	2	32	11	-	21	8
Project Development	11	-	14	7	8	5	10	8	7	3	14	13	6	-
Service To Local Public:														
. Providing Technical Assistance	3	3	2	9	3	2	6	3	-	4	7	-	-	12
. Making Speeches	-	1	-	-	-	2	19	-	-	-	-	-	-	-
. Public Relations Activities	-	-	2	2	-	-	-	-	-	-	1	5	2	-
Grant Application Processing:														
. Assisting With Application Preparation	18	11	15	19	4	1	6	22	3	-	9	9	-	4
. Reviewing Grant Applications	15	-	5	8	-	3	11	-	41	-	4	-	1	11
. Attending WCCJ Executive Committee Meetings	-	2	1	-	10	8	7	-	7	-	8	-	6	-
Grant Monitoring	2	2	12	4	-	4	-	10	-	1	4	1	2	7
Grant Evaluation	-	-	1	3	-	-	-	-	-	-	-	-	-	-
Service To Regional Council:														
. Council Meeting	5	4	1	3	-	-	-	10	-	5	7	-	4	5
. Preparation For Council Meeting	7	5	3	3	5	-	-	6	-	2	1	-	10	-
. Meeting With Chairman Or Council Members	1	2	-	-	-	2	-	-	1	2	7	7	5	-
Office Administration:														
. Responding To Requests For Information, Etc.	1	3	9	13	9	4	6	5	24	15	9	7	12	23
. Handling Correspondence	40	11	17	28	18	14	16	17	19	21	28	28	19	23
. Other Office Administration	27	14	12	22	13	25	33	16	15	11	35	51	30	20
Attending WCCJ Staff Or Council Meeting	13	9	13	18	18	9	4	45	11	11	3	-	6	-
Attending Conference	-	1	17	23	55	39	14	-	7	20	10	34	4	-
Travel Time	38	50	19	30	11	24	5	-	-	6	22	13	22	-
Reading	1	5	4	7	1	6	-	1	-	5	5	3	3	6
Sick Leave/Vacation	-	12	-	-	-	20	10	5	16	-	-	-	8	48
Miscellaneous	-	7	-	-	-	-	2	-	-	-	-	-	4	-
Total Hours Reported (Normal For 20 Work Days = 160)	<u>209</u>	<u>160</u>	<u>177</u>	<u>216</u>	<u>180</u>	<u>187</u>	<u>174</u>	<u>185</u>	<u>160*</u>	<u>171*</u>	<u>213</u>	<u>175</u>	<u>187</u>	<u>173</u>

\*Only 18 days of data reported.

### Implementation Options

If most regional office staffs cannot currently fulfill all responsibilities which have been delegated to them, it would be unfair to use a system based on an assumption that all responsibilities should be fulfilled to evaluate performance. To change this situation so that implementation of the management/evaluation system is feasible, there appear to be four possible options:

1. Reduce regional responsibilities,
2. Evaluate only priority responsibilities,
3. Increase staff of regional offices,
4. Reduce the number of regions.

Considering each option in turn:

#### Reduce Regional Responsibilities

A reduction in regional responsibility could be accomplished by reassigning certain responsibilities to WCCJ Central Staff. Such a reassignment process would require further study of regional offices to determine specific work load capabilities of each region, given current staffing levels. In addition, those responsibilities which could be assumed by Central Staff without increasing personnel would have to be identified. (While we did not study this matter in detail, it seems reasonable to suggest that grant monitoring could be totally shifted to Central Staff.)

Implementation of this option would allow regional offices to be evaluated on performance of responsibilities they could reasonably be expected to accomplish. Negative factors are also involved, however, and these must be considered:

- . The effect which assumption of new responsibilities would have on Central Staff's performance of existing responsibilities.

- . The increased costs in terms of travel time and expenses for Central Staff if they were to perform grant monitoring.

Evaluate Only Priority Responsibilities

Even if it is not reasonable to expect regional staffs, as they currently exist, to achieve all responsibilities, it would be possible to utilize the management/evaluation system if performance of only those responsibilities which are achievable were the basis for evaluation. This would first require that the list of responsibilities be prioritized. Second, the staff capabilities at each region would have to be studied to determine the reasonable levels of achievement which can be expected from the existing levels of staffing. And, third, responsibilities would have to be assigned to the regions to the extent that a reasonable level of achievement can be expected.

Certain problems are apparent in carrying out this option. The first is the difficulty involved in prioritizing current responsibilities. Regional planners state that all responsibilities must be accomplished. The second was alluded to earlier: if regional staffs are evaluated only on performance of priority responsibilities, then activities pertaining to lower priority responsibilities will probably not be undertaken. Such a situation may not be in the best interest of the WCCJ as a whole. In essence, implementation of the management/evaluation system could prove to be counter productive.

Increase Staff Of Regional Offices

Increasing the size of the regional office staffs to levels that can reasonably be expected to accomplish all responsibilities is another possible option. A staffing study to determine the minimal number of personnel needed to process the expected work load would first have to be performed.

The drawback to this option is that it might result in increased operating costs at the regional level at a time when availability of federal funds is being reduced.

#### Reduce The Number Of Regions

Reducing the number of regions in the State through consolidation is another option. It is possible that certain operational efficiencies could result through specialization of staff. That is, two professional staff members who are specialists in specific areas of responsibility might together, in one office, be able to accomplish all requirements of the area currently served by two regions; whereas one generalist staff member, in each region, is incapable of accomplishing all duties by himself. This could mean that total activities of all current regional offices throughout the State could be performed without a significant increase in personnel costs and with a reduction in total operating costs.

This idea, though theoretically feasible, would require greater study before it could be considered a practical alternative. The major disadvantage, assuming feasibility, is that consolidation of regions would take the planning and administrative process further away from the local level. In addition, travel costs in terms of dollars and unproductive time would increase.

A related option would be to reduce the number of regional staffs by consolidating the current ones, while keeping the number of Regional Councils constant. Although the total number of staff personnel could remain the same, such a consolidation would have the potential to increase efficiency of overall operations through staff specialization. Consolidated staffs might thereby accomplish greater total productivity than the ten existing regional staffs.

To determine the number of regional staffs which would optimize operations under such a structure would require additional



study. Conceivably, the number could range from one consolidated staff which is administratively a part of the WCCJ Central Staff to as many as five or six regional staffs operating administratively as they do now. In either case, the staff(s) would be functionally responsible for providing services to the Regional Councils throughout the State. It is possible that some consolidation of regions and Regional Councils might also take place under this option.

Because of the more complex administrative and logistical burden which would be involved, it is unlikely that consolidation of regional office staffs, alone, would result in as great an increase in efficiency as consolidation of entire regions. Such a consolidation option also has the major disadvantage of removing criminal justice planning and administration from the local level.

\* \* \* \* \*

We feel the WCCJ should give further consideration to each of the above options or possible combinations thereof. The advantages and disadvantages of each should be studied and a determination of the most desirable possibility made. While we do not feel such a determination is part of the scope of this engagement, we would be available to offer our advice in this endeavor.

APPENDIX A

MEMOS SUMMARIZING REGIONAL OFFICE VISITS

APPENDIX A

MEMOS SUMMARIZING REGIONAL OFFICE VISITS

The following memos summarize some of the observations made and comments received during our on-site visits to each of the regional offices. These are not intended to represent the total amount of information gathered from the regional offices, as much of the information is presented in the body of the report.

REGION I  
NORTHWEST CRIMINAL JUSTICE PLANNING COUNCIL

<u>Staff Positions</u>	<u>Funding Source Of Position</u>
Planning Director	LEAA Planning Grant Funds Allocated To Region
Secretary	Partially Funded From LEAA Planning Grant Funds And Partially From CETA Grant
Analyst	Department Of Labor Grant
Intern (1/2 Time)	LEAA Action Grant

Responsibilities/  
Activities

- . As described in Section II.
  - Regional Director totally responsible for performance.
  - Limited assistance in data collection and analysis provided from analyst and intern.
- . Specific comments:
  - Planning:
    - .. Problem identification and planning done on a county-by-county basis.
    - .. Mail survey conducted as part of data gathering process for planning.
  - Grant Application Processing:
    - .. Form letter used to notify potential applicants of submission deadlines.
    - .. Significant time spent assisting applicant with preparation of grant application. Required because of small size and lack of grant application writing experience of most agencies applying.

- .. Significant time spent communicating with WCCJ Central Staff during their review of grant applications approved by Regional Council.
- .. Analytical work done on grant applications at regional level not what should be because of staffing constraints. Regional Director is the sole professional staff member.

- Grant Monitoring & Evaluation:

- .. No formal monitoring of projects performed because of staffing constraints.
- .. Informal monitoring done by keeping contact with local agencies involved with project.

- Service To Local Public:

- .. Technical assistance provided in form of management studies of police departments and consolidation feasibility studies of law enforcement agencies.
- .. Providing statistical data to local criminal justice agencies.

- Project Development:

- .. Major service is identification of potential sources of funds for project in addition to LEAA.

- Office Administration:

- .. Processing of correspondence takes significant amount of time.

Office Operations

- . No problems were observed or expressed by staff concerning office operational systems.
- . Filing system provides for adequate retrieval of information.

- . Fiscal operations handled by Central Staff were described as functioning effectively.

Problems Identified By Staff

- . Lack of action on appointment of new members to Regional Council. The Council currently has only 9 appointed members to the 18 positions available. Nominations have repeatedly been submitted by the Regional Council, but appointments have not resulted.
- . High turnover rate among Central Staff employees has resulted in inexperienced Central Staff. This inexperience has sometimes resulted in unnecessary problems pertaining to the processing of grant applications in specific program areas.
- . Regional staff are non-classified State employees, whereas Central Staff are classified State employees. This affords Central Staff employees greater job security because of Civil Service protection.
- . Excessive travel demands of region limit time available for performance of duties. It is a rural region with a large geographic area of responsibility. In addition, travel time spent in conjunction with attending staff and WCCJ meetings in Madison significantly impacts available time.
- . Conflict created by organizational structure of WCCJ in which regional staff reports to both Regional Council and Executive Director.
- . Inadequate staffing of regional office. Regional Director is the only full-time position which can be funded from administrative budget allocated to the region.
- . Lack of availability of "hard" statistical data to be used for planning purposes at the regional level. The role which Central Staff plays in the data collection process should be expanded. Central Staff should logically be responsible for the collection of raw data from the various agencies within the criminal justice system. The data would in turn be transmitted to the regional level to be used in conjunction with the regional planning process.

REGION II

NORTHEAST CRIMINAL JUSTICE PLANNING COUNCIL

Staff Positions

Funding Source Of Position

Planning Director

LEAA Planning Grant Funds  
Allocated To Region

Planning Assistant

CETA Grant

Secretary

LEAA Planning Grant Funds  
Allocated To Region

Responsibilities/  
Activities

- . As described in Section II.
- . Specific comments:
  - Planning:
    - .. Data collected and analyzed on a county-by-county basis.
    - .. Individual agencies interviewed as part of the problem identification process.
  - Grant Application Processing:
    - .. Small size of agencies which exist in rural environment requires significant amount of time be devoted to assisting applicants with writing of grant applications.
  - Project Development:
    - .. Significant amount of time devoted to public relation activities. Required to gain confidence of people in local agencies.
    - .. Primarily concentrate on those agencies which are receptive to new ideas and change - not necessarily those where the greatest problems have been identified.

- Grant Monitoring:

- .. Recognized as responsibility, but staffing levels do not allow it to be adequately fulfilled.
- .. Fact that region comprises a large geographic area further complicates the situation.
- .. Done on an informal basis and through review of QNRs.

Office Operations

- . No problems observed or expressed by staff concerning filing or fiscal record keeping systems.
- . Filing system appears to provide for adequate retrieval of information.

Problems Identified By Staff

- . Lack of adequate data for planning purposes.
- . Resort population of region presents unique planning problem. Population almost triples in summer months. Makes it difficult to develop annual plans.
- . Effectiveness of regional staff partially judged on ability to distribute grant funds allocated to region. This results in regional staff concentrating on developing grant applications from those agencies which are most receptive to complying with the grant regulations, rather than those where the need is the greatest.
- . Lack of knowledge about total amount of action grant funds available to the region at the time regional staffs are developing programs and projects. In order to effectively work with the local agencies, you need to know the potential federal monies which are available.
- . Limited training or feedback provided to regional staff when new responsibilities assigned (e.g., grant application analysis).
- . Technical assistance not available to rural agencies who request it.



- . Evaluation criteria not specified until project well along. This should occur at the initial stages of project implementation.
- . Most critical problem is lack of adequate staffing of regional office.

REGION III  
UPPER WEST CENTRAL CRIMINAL  
JUSTICE PLANNING COUNCIL

<u>Staff Positions</u>	<u>Funding Source Of Position</u>
Planning Director	LEAA Planning Grant Funds Allocated To Region
Secretary	LEAA Planning Grant Funds Allocated To Region

Responsibilities/  
Activities

- . As described in Section II.
  - Regional Director totally responsible for performance.
  - Limited assistance in data collection and analysis provided by LTEs and interns.
- . Specific comments:
  - Grant Monitoring:
    - .. Formal monitoring visits not made by regional staff.
    - .. Monitoring basically involves review of QNRs.
    - .. Subgrantee agency would inform regional office if problem develops with project.
    - .. Technical assistance provided to subgrantee during implementation.
  - Grant Application Processing:
    - .. New affirmative action and privacy and security requirements have significantly increased the requests for assistance with preparing grant applications.
  - Office Administration:
    - .. Handling of office correspondence requires significant amount of available time.

- Service To Local Public:

- .. Regional Director serves on Board responsible for hiring of law enforcement officers and as member of 51-42 Board.
- .. Assisting local agencies "improve criminal justice system," e.g., planning for construction of new building for Eau Claire Police Department.
- .. Handling inquiries for information from various areas within criminal justice system.

Office Operations

- . No problems observed or expressed by staff concerning filing or fiscal record keeping systems.

Problems Identified By Staff

- . Lack of adequate resources (financial) available for operation of regional office. Suggestion made for increasing percentage of planning grant funds allocated for regional office operation.
- . Procedure for appointing members to Regional Council is too slow.
- . Project evaluation criteria not established in timely enough fashion and are sometimes changed by evaluation staff personnel.
- . Central Staff is inexperienced and does not have understanding for rural environment within the criminal justice system. Leads to conflict in Central Staff-regional staff interrelationships.
- . Communications between Central Staff and regional staff could be controlled more effectively. Regional staff receives memos from various members of State staff often requesting the same information.
- . Organizational structure which has regional staff in effect reporting to two authorities: Regional Council and Executive Director.

REGION IV  
LOWER WEST CENTRAL CRIMINAL  
JUSTICE PLANNING COUNCIL

<u>Staff Positions</u>	<u>Funding Source Of Position</u>
Planning Director	LEAA Planning Grant Funds Allocated To Region
Secretary (Shared With WWTI)	One-Half Of Salary Paid From LEAA Planning Grant Funds Allocated To Region, Other Half Paid By Western Wisconsin Technical Institute
Intern (Full-Time)	LEAA Action Grant
Intern (Part-Time)	LEAA Action Grant

Responsibilities/  
Activities

- . As described in Section II.
  - Regional Director totally responsible for performance.
  - Limited assistance in data collection and analysis provided by interns.
- . Specific comments:
  - Planning:
    - .. Collection of data necessary for planning is difficult at local level.
    - .. Public hearings held in each county of region to provide local input to planning process.
  - Grant Application Processing:
    - .. Potential applicants notified of application submission deadlines.

- .. Attempt made to visit applicant at least once prior to submission of application to assist in application preparation.
- .. Will not actually write grant applications, only review and offer advice.

- Grant Monitoring:

- .. Considered important responsibility, but not able to do it on a scheduled basis because of limited staff.
- .. Subgrantees call when problem arises.
- .. Less than 2% of time spent on grant monitoring.

- Office Administration:

- .. Approximately 20% of Regional Director's time devoted to various aspects of office administration.
- .. Significant part of time involved with complying with directives or responding to requests of Central Staff.

Office Operations

- . No problems observed or expressed by staff.
- . Excellent filing system employed - color coded by subject matter.
- . Fiscal record maintenance system appeared adequate.

Problems Identified By Staff

- . Statistical data required for planning not available; local agencies inundated with requests for similar data.
- . Inadequate staffing of regional office.

- . Excessive travel demands impact ability to fulfill responsibilities.
- . LTES and interns are inefficient means of staffing regional office; too much time lost in training interns.

REGION V  
CENTRAL CRIMINAL JUSTICE PLANNING COUNCIL

<u>Staff Positions</u>	<u>Funding Source of Position</u>
Planning Director	LEAA Planning Grant Funds Allocated To Region
Secretary	LEAA Planning Grant Funds Allocated To Region
LTE/Intern*	LEAA Action Grant

\*Regional Director indicated there are problems with attempting to staff regional offices with LTEs and interns:

- . They are not usually on the job long enough to fully train.
- . They are transitional.
- . Grant under which the position is funded defines what the person can or cannot do.

Responsibilities/  
Activities

- . As described in Section II.
  - Regional Director totally responsible for performance.
  - Limited assistance in data collection and analysis provided by LTEs and interns.
- . Specific comments:
  - Planning:
    - .. Public hearings held in each county.
    - .. State plans show little resemblance to regional plans submitted as input.
    - .. Data collection at local level is a problem; data provided from Central Staff is not timely.

.. Feedback on quality of regional planning submissions to Central Staff has not been provided to the regions.

- Grant Application Processing:

.. Significant time devoted to assisting applicants prepare acceptable grant applications:

- Required because local agencies do not have personnel or skills to write acceptable grant applications.
- Applicant prepares rough draft of application, Regional Director reviews and edits.

.. Regional Director analyzes all grants, may add special conditions.

.. Regional Planning Commission is becoming more thorough in its A-95 review. This is causing delays in the processing of grant applications.

- Grant Monitoring:

.. Assistance of some sort usually provided to newly approved projects during start-up phase.

.. Informal contact maintained with project personnel during implementation.

.. Several visits usually made to project during the year which classify as informal monitoring.

.. Scheduled monitoring visits to include reports of findings not done.

.. Central Staff often called on to provide technical assistance to projects with problems.

.. Greatest assistance has resulted from direct contact with comparable, on-going projects in State.

- Service To Regional Council:

.. Prepares agenda and minutes for Regional Council meetings.



.. Distributes all materials prior to meeting.

- Service To Local Public:

- .. Technical assistance: law enforcement consolidation study in Marathon County.
- .. Speeches given to various organizations on role of Regional Planning Council.
- .. Serves on 51-42 Board.

Office Operations

- . No problems observed or expressed by staff.
- . Filing system has recently been reviewed by Central Staff. Certain recommendations for improvement have been made.

Problems Identified By Staff

- . Additional full-time staff person required to effectively administer the regional office.
- . Significant productive time lost in travel, especially for staff meetings in Madison.
- . Central Staff lacks understanding of criminal justice agency operations in a rural environment.

REGION VI  
EAST CENTRAL CRIMINAL JUSTICE PLANNING COUNCIL

<u>Staff Positions</u>	<u>Funding Source Of Position</u>
Planning Director	LEAA Planning Grant Funds Allocated To Region
Assistant Director	LEAA Planning Grant Funds Allocated To Region
Secretary	LEAA Planning Grant Funds Allocated To Region
Researcher/Analyst	Partially Funded From LEAA Planning Grant Funds Allocated To Region And Partially From Separate LEAA Action Grant

Responsibilities/  
Activities

- . As described in Section II.
  - Regional Director and Assistant Director divide responsibilities essentially along adult and juvenile lines, respectively. Each is involved in planning, project development, grant application processing, and grant monitoring as it pertains to their area of expertise.
  - Researcher is involved with data collection and analysis activities required for planning in both areas.
- . Specific comments:
  - Planning:
    - .. All staff members have some degree of involvement in data collection activity which involves going directly to the local agencies.
    - .. Series of public hearings held (one in each county) to obtain local input for problem identification process. Each county is considered a unique locality for planning purposes.

- .. Formal plan drafted by staff and approved by Regional Council.
- .. Central Staff develops State Plan, but Regional Council feels it bears very little resemblance to the regional plan submitted as input. Regional Council is frustrated at having little authority in actual planning process.

- Grant Application Processing:

- .. Application submission schedule established by staff and potential applicants notified.
- .. Applications and staff analyses distributed to all Regional Council members in advance of Regional Council meeting.
- .. Both Regional Director and Assistant Director present grants to WCCJ Executive Committee in Madison.
- .. Regional staff does not write grant applications, but does provide assistance to applicant during the application preparation process. Knowledge gained while assisting with application preparation is most useful in formulating staff recommendations to Council on the application.

- Grant Monitoring:

- .. Important responsibility, but not able to be performed at regional level to the extent required because of staffing limitations.
- .. Regional staff attempts to perform annual on-site monitoring visit for all projects being considered for refunding during the year. Summary of findings prepared to assist Regional Council in its decision on refunding.

- Service To Local Public:

- .. Technical assistance projects undertaken to aid local law enforcement agencies.

Specific projects include: feasibility study for city/county public safety building.

.. Bimonthly newsletter prepared.

#### Office Operations

- . No problems observed or expressed by regional staff.
- . Filing system shows exemplary organization. Grant applications filed by code number assigned at time of receipt by office.

#### Problems Identified By Staff

- . No members of East Central Criminal Justice Planning Council also members of WCCJ.
- . Regional Council feels frustrated with planning process. It feels its ideas as put forth in the regional plan are not reflected in State Plan.
- . Evaluation criteria for project developed after the application has been approved. This is unfair to subgrantees.

REGION VII  
SOUTHWEST CRIMINAL JUSTICE PLANNING COUNCIL

<u>Staff Positions</u>	<u>Funding Source Of Position</u>
Planning Director	LEAA Planning Grant Funds Allocated To Region
Secretary	Department Of Health, Education & Welfare Grant
Intern	LEAA Action Grant

Responsibilities/  
Activities

- . As described in Section II.
  - Regional Director is totally responsible for performance.
  - Limited assistance in data collection and analysis provided from intern.
  
- . Specific comments:
  - Planning:
    - .. Planning done on a county-by-county basis.
    - .. County profiles developed and county-wide public hearings held. Key individuals and agencies within county are invited to attend. Regional Council members attend.
    - .. Regional plans developed in past have had input to the planning process, but have had little impact on the State Plan which finally developed.
  
  - Grant Application Processing:
    - .. Scheduling application submission deadlines.
    - .. Notifying potential applicants.

- .. Assisting in grant application preparation.
- .. Reviewing, analyzing and formulating recommendations concerning grant applications.
- .. Presenting to Regional Council and WCCJ Executive Committee.

- Grant Monitoring:

- .. Minimal involvement in monitoring function.
- .. Done on informal basis if agency has problems.
- .. Considered Central Staff responsibility.
- .. Assists subgrantee with preparation of first QNR.

Office Operations

- . Southeast Region is one of two regions whose fiscal operations are handled by an agent other than WCCJ. UW-Platteville is the fiscal agent in this case. All disbursements required for operation of regional office are made by the University.
- . University prepares monthly report of actual expenditures compared to budget.
- . Regional Director stated there are no problems with the arrangement.

Problems Identified By Staff

- . Appointment process for Regional Council members is slow.
- . Regional Office budget is not sufficient for effective operation of regional office.
- . Criminal justice data required for effective planning is not available.
- . Excessive amount of paper work involved in grant application process makes rural agencies reluctant to apply. Recent affirmative action and privacy and security compliance requirements have greatly accentuated this problem.

REGION VIII  
SOUTH CENTRAL CRIMINAL JUSTICE PLANNING COUNCIL

<u>Staff Positions</u>	<u>Funding Source Of Position</u>
Planning Director	LEAA Planning Grant Funds Allocated To Region
Planner	LEAA Planning Grant Funds Allocated To Region
Typist (1/2 Time)	LEAA Planning Grant Funds Allocated To Region
Secretary	Operation Mainstream
Intern (3, 1/2 Time)	LEAA Action Grant

Responsibilities/  
Activities

- . Essentially as described in Section II.
  - Regional Director responsible for project development, grant application processing, grant monitoring and evaluation, service to local public, and office administration.
  - Planner is responsible for developing regional plan and for supervising interns in the data collection and analysis process.
  
- . Specific comments:
  - Planning:
    - .. Planning process involves data collection and analysis by county and by functional area (police, courts, corrections):
      - Meeting or public hearings by functional area.
      - Meeting with potential grantees to identify specific projects and budgets.
      - Preparation of regional plan.

- .. Hard copy report summarizing regional plan not prepared for last two years:
  - Regional budget could not absorb cost of printing.
  - Did not want to have regional document which differed from State Plan according to which applications were funded.
- .. Standards and Goals is not a planning process.
- .. State Plan should include portions taken verbatim from regional planning submissions.

- Grant Application Processing:

- .. Does not do any grant application writing.
- .. Attempts to schedule receipt of first draft of application two months prior to Regional Council presentation.

- Grant Monitoring:

- .. Not possible to perform on-site monitoring for all projects.
- .. Monitoring is done on an informal basis.

Office Operations

- . No problems were observed or expressed by staff concerning filing or fiscal record keeping systems.
- . Filing system appears adequate.

Problems Identified By Staff

- . Regional planning efforts lack impact on State Plan.
- . Requirements for grant applications are too restrictive and instructions too incomprehensible for average grant applicant.



- . Difficult for subgrantees to obtain technical assistance from those groups which are supposed to be providing it.
- . Too much time lost in unproductive staff meetings.

REGION IX  
SOUTHEAST CRIMINAL JUSTICE PLANNING COUNCIL

<u>Staff Positions</u>	<u>Funding Source Of Position</u>
Planning Director	LEAA Planning Grant Funds Allocated To Region
Planner	LEAA Planning Grant Funds Allocated To Region
Secretaries (2)	LEAA Planning Grant Funds Allocated To Region
LTEs (2)	LEAA Action Grant

The Regional Director also serves as Director of the Waukesha Coordinating Council. There is one full-time staff member assigned to the Waukesha Coordinating Council office. This position is funded from a Part "C" action grant. The purpose of the Coordinating Council is to plan and coordinate research and action efforts for improvement among the various agencies within the criminal justice system.

Responsibilities/  
Activities

- . As described in Section II.
- Regional Director responsible for project development, grant application processing, project monitoring, office administration, service to local public, and service to Regional Council.
- Planner is responsible for preparation of regional plan and coordination of data collection and analysis efforts of LTEs.
- . Specific comments:
  - Planning:
    - .. In process of developing five-year action plan through the use of a computer-based simulation model.

- .. This will entail developing a matrix of functions performed and ideal services to be supplied in each of the following areas: law enforcement, prosecution, courts, corrections, and social services.
- .. Input for elements of matrix will be obtained from five functional area planning hearings.
- .. Matrix will allow for identification of priority needs and development of programs to put forth in five-year plan.

- Grant Monitoring:

- .. Performed to some degree, but staffing limitations do not permit adequate time for follow-up work with project directors.
- .. Usually a matter of project directors calling when problems arise.

Office Operations

- . Filing and record keeping systems appear to be well-organized.

Problems Identified By Staff

- . Lack of authority of Regional Council within WCCJ organization. This has resulted in low morale of Regional Council members and staff.
- . Current procedure for development of State Plan stifles innovative thinking at local level.
- . Standards and Goals effort dominated by WCCJ Central Staff and their biases.

REGION X  
METROPOLITAN MILWAUKEE CRIMINAL  
JUSTICE PLANNING COUNCIL

<u>Staff Positions</u>	<u>Funding Source Of Position</u>
Executive Director	LEAA Planning Grant Funds Allocated To Region
Assistant Director	LEAA Planning Grant Funds Allocated To Region
Grants Coordinator/ Analyst	LEAA Planning Grant Funds Allocated To Region
Secretaries (3)	LEAA Planning Grant Funds Allocated To Region
Interns (2)	LEAA Action Grant

Region is unique because it was established under the terms of a special memorandum of agreement between the Governor and Milwaukee County. Accordingly, Milwaukee County acts as fiscal agent for the Regional Council, and council staff are considered county employees, eligible under the county fringe benefit program.

Responsibilities/  
Activities

- . As described in Section II.
  - Executive Director is responsible for areas of planning, project development, office administration, and service to local public.
  - Assistant Director has primary responsibility for grant application processing and supervision of interns.
  - Grants Coordinator/Analyst is a newly defined position. Areas of responsibility will include grant application processing and grant monitoring.
  
- . Specific comments:
  - Planning:
    - .. Regional problems and needs identified through data analysis and public hearings.

- Grant Application Processing:

- .. Assist in grant application preparation; will not write grants.
- .. Agencies in region are usually large organizations which are sophisticated and experienced grant writers. They therefore require less assistance with the preparation of grant applications than rural agencies.

- Grant Monitoring:

- .. Acknowledged as important responsibility.
- .. Staff limitations restrict adequate performance.

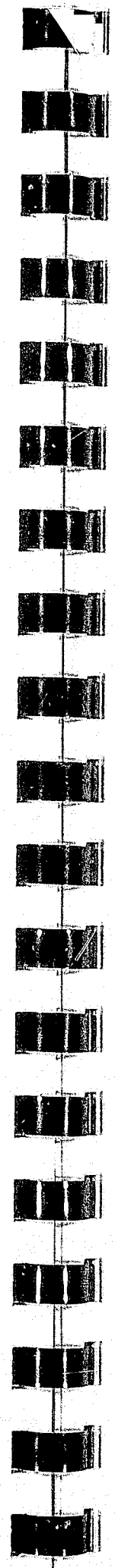
Office Operations

- . Appears to be well-organized.
- . No problems with fiscal record keeping or filing systems observed or expressed by staff.

Problems Identified By Staff

- . Central Staff is too theoretical in its thinking to relate to reality of situations which exist in region. Suggestion made to assign newly hired members of Central Staff to regions for a specific time period as part of a training program.
- . Color coded memo series is not being properly utilized for communication between Central and regional staffs. This makes it more difficult for regional staff to maintain records on current policy.
- . Current members of Central Staff lack experience and knowledge of policy. Situation has resulted from recent high turnover in Central Staff personnel.
- . Performance of regional staff should not be judged in terms of the volume of grants developed in the region. This is not indicative of performance as a planning agency.

- . Expertise and resources of Central Staff not usually available to assist regions.
- . Project evaluation not performed in timely enough fashion to be of assistance in refunding decisions.
- . Insufficient fiscal resources allocated to region to accomplish responsibilities assigned.



APPENDIX B  
MEMO FROM EXECUTIVE DIRECTOR OF  
WISCONSIN COUNCIL ON CRIMINAL JUSTICE

APPENDIX B

MEMO FROM EXECUTIVE DIRECTOR OF  
WISCONSIN COUNCIL ON CRIMINAL JUSTICE

The following memo from the Executive Director of the WCCJ describes the Staff Recommendation Form to be completed by central and regional staff for each LEAA grant application filed. The contents of this memo serve as the standard of expectation for this performance indicator of the responsibility for grant application processing. Compliance with this responsibility is to be assessed by comparing actual staff recommendation forms prepared by regional office staff against this standard.





State of Wisconsin \ OFFICE OF THE GOVERNOR

WISCONSIN COUNCIL ON CRIMINAL JUSTICE  
122 WEST WASHINGTON AVENUE  
MADISON, WISCONSIN 53703  
608) 266-3323

Patrick J. Lucey  
Governor

CHARLES M. HILL, SR.  
EXECUTIVE DIRECTOR

DATE: January 12, 1976  
TO: Central and Regional WCCJ Staff  
FROM: Charles M. Hill, Sr.  
Executive Director  
SUBJ: Staff Recommendations on 1976 Grant Applications

Attached is a supply of the revised staff recommendation form to be used in presenting 1976 grants to the Executive Committee.

In 1976, these staff recommendation forms will take the place of the application in the Executive Committee mailing except for new projects and projects being recommended for denial by either the regional councils or central staff.

A significant change is the fact that the analysis of the first level reviewer will be presented to the Executive Committee (i.e., for local grants, the regional analysis and recommendations will be presented and for state grants, the central staff analysis will be presented). Central staff role on regional grants will consist of pertinent commentary and concurrence or non-concurrence with regional recommendations.

The most important change in the entire process, however, is the requirement for additional analysis and judgment in the context of the staff recommendation. Your analysis should follow a consistent format and should include, but is not limited to, the following:

1. A brief description of the problem and of the proposed project.
2. An analysis of the accuracy of the problem definition.
3. An assessment of the project expectations. Are they realistic? Why or why not?
4. Is the project methodology appropriate? In your judgment will it result in realization of the project expectations? Why or why not?
5. Has the project been evaluated? Results? Has a similar project been tried in other jurisdictions? Was it successful?

6. Is the project in compliance with the State Plan? How does it relate to regional priorities and other programs?
7. Conclusions and recommendations - It is obvious that this format requires you to make professional judgments. You should include not only those judgments but the basis for them.

Your analysis should be the key part of the decision-making process. However, no formula or outline can assure quality analysis. On the contrary, only your professional analytical, program and writing skills and efforts can determine the success or failure of this proposed procedure.

Since the Executive Committee will, for the most part, be relying on your analysis rather than the application, a clear, logical and concise analysis will be critical to the process.

Another purpose of the Administrative Committee's report was to minimize the use of special conditions. In general, the following are not appropriate as special conditions.

- general conditions for all grant applications.
- specific requirements in each program area of the Plan.
- submission of required forms for a completed application.

Special conditions should be used only in circumstances that are unique to the grant; to establish reporting requirements that exceed the normal; to implement staff recommendations on the substance or management of the project or similar matters.

NOTE: Regional Staff

It is hoped that both central and regional staff can utilize the same staff recommendation form to avoid duplication of effort, however, you may find that this is not possible in your region for any number of reasons. If you cannot use this form, be sure and indicate what portion of your staff recommendation you want to have transposed to the standard staff recommendation form.

Also, as a result of this new process, we will need only five copies of the application.

cc: WCCJ Executive Committee

WISCONSIN COUNCIL ON CRIMINAL JUSTICE

MID-STATE REGIONAL PLANNING COUNCIL

CENTRAL AND REGIONAL STAFF RECOMMENDATION

Regional Recommendation	<input checked="" type="checkbox"/>	Approval	<input type="checkbox"/>	Denial
Central Recommendation	<input checked="" type="checkbox"/>	Approval	<input type="checkbox"/>	Denial
Staff Reviewer	Regional Planner			
Signature	<i>R. Planner</i>			Region <u>MS</u>

Applicant Name Youth Service Bureau of Central Co., Inc.

Project Title Central County Youth Service Bureau

Applicant Address 1000 East Main Street, Center City, Wisconsin

Agency Representative I. M. Boss Title Director

Project Director I. M. Boss 6. Financial Officer N. Flation

Proposed Project Period April 1, 1976 to March 31, 1977

Funding History

<input type="checkbox"/>	Initial Application
<input type="checkbox"/>	One-time funding Regional Allocation Available? _____
<input type="checkbox"/>	Supplemental Application Grant No. _____
<input checked="" type="checkbox"/>	Refunding Year <u>2</u> of <u>3</u> Prior Grant No. <u>74-05-01-11</u>

9. Administrative Data

Application No.	<u>2000</u>
Program	<u>#38, Youth Service Systems</u>
Date Received at WCCJ	<u>Oct. 20, 1975</u>
<input type="checkbox"/>	State Agency
<input checked="" type="checkbox"/>	Local Agency: Region: <u>11-MS</u> 90-day Expiration Date <u>1/1/76</u>

Budget Summary

Contributor	Requested Funds		Recommended Funds		Source of Funds
	Amount	Ratio	Amount	Ratio	
Federal Share	\$ 54,872	80 %	\$ 54,793	80 %	<u>1975</u>
State Buy-In	3,045	4.44	3,044	4.44	
Required Match	<u>10,672</u>	<u>15.56</u>	<u>10,654</u>	<u>15.56</u>	
TOTAL	\$ 68,591	100%	\$ 68,491	100%	

General Conditions:

Are all general conditions applicable to this application agreed to or met?

YES X NO \_\_\_\_\_

If no, please comment:

12. Staff Analysis and Recommendations (To be prepared by regional staff in the case of local grants and central staff in case of state grants).

Problem

Despite the availability of a wide variety of youth services in Central County from public educational, social services and health oriented agencies and private non-profit service agencies such as the Center City Neighborhood Centers, the Community Action Commission, Big Brothers, Catholic and Lutheran Social Services; the rate and gravity of juvenile crime in Central County continues to be a major problem.

Center City Police Department 1973 arrest statistics show that of 6,056 arrests, 3,162 or 52% were juveniles and that in the burglary, larceny and auto theft categories juveniles accounted for over 60% of the total number of arrests.

A major community concern is the apparent lack of impact that available juvenile services have on juvenile behavior. A recent random sample of 600 Central County youth showed that while 59% had experienced contact with law enforcement officials, only 7% were aware of any existing services available to them.

Expectations and Methodology

It is expected that by the establishment of a youth service bureau with a budget of \$68,491 which would support the costs of a youth service board, a project director, an administrative assistant, clerical assistance and three field workers this project could achieve the following for approximately 1800 youth in one year.

1. Divert 20% who are "status" offenders from the juvenile justice system.
2. Divert 5% who are "criminal" offenders from the juvenile justice system.

Based on individual community needs assessments, the YSB will also determine service gaps, strengths and weaknesses in existing agencies and programs, and make recommendations for changes and improvements. If, in working with a particular target community area, needs are identified to be crucial to that community in developing its capacity to deal with its youth problems, then the YSB can use its purchase of service funds to initiate, promote and develop services and programs in the area.

It is also expected that the YSB will move to develop a statistical tracking system of referred youth through the youth service and juvenile justice systems to provide data for the community on which types of service have the most beneficial effect and to identify service gaps.

Conclusions

The applicants assessment of the problem is accurate although it does not address the full scope of the problem. In addition to the "criminal" offense data there is a very real and more numerous problem of status offenders. The lack of coordination between needs and services has been identified nationwide and the YSB concept has been initiated in communities across the country to attempt to meet this problem. Evaluations of similar programs both in Wisconsin and in other states indicate that this project can reasonably anticipate meeting the expectations outlined above. Progress to date (5 months of operation) includes the execution of three purchase of service contracts; hiring of staff including field workers; establishment of internal operating policies; establishment of a youth services board and completion of the needs assessment for juvenile services in Center City.

Recommendation

The proposal is in compliance with Program 38 of the State Plan and ranks first on the list of priorities for juvenile projects in the Mid-State Region. Regional staff recommends approval.

3. Regional Commission Action Summary

Region Mid-State

Action Taken

Approved

Date of Action September 10, 1975

Denied

Postponed

Comments on Action:

Unanimous Approval

Minority Report (If any):

None

1. Central Staff Recommendation

Concur, however, budget should be reduced by \$100 to correct mathematical error

15. Budget Detail (A = Requested Budget; B = Recommended Budget):

	Total	Personnel Training	Personnel Other	Travel	Equipment	Supplies & Operations	Contracts & Consultants
A	68,591	0	43,741	1,400	0	6,000	17,450
B	68,491	0	43,000	2,141	0	5,900 m	17,450

16. General Fiscal Comments:

The reduction in the budget is due to an error in addition for supplies and operating costs. Other fiscal concerns have been met in an addendum to the application.

17. Monitor, Audit, Evaluation Activities:

None     Monitor     Partial     Full

Type	Scheduled	In-Process	Completed
WCCJ Evaluation			
Contract Evaluation	X(NCCD)		
Fiscal Monitor			
Audit			

18. Project Target Population:

19. Agency Type:

- Local  
 Combined  
 Statewide  
 Independent

20. Local Codes:

         City/Village  
Central County  
         SMSA

21. Legislative Districts:

3 Congressional  
17,18 State Senate  
37-42 State Assembly

22. High Crime Area?

YES X NO



APPENDIX C  
TIME/ACTIVITY DATA COLLECTION MATERIALS

APPENDIX C

TIME/ACTIVITY DATA COLLECTION MATERIALS

This appendix contains examples of the materials distributed to the WCCJ regional offices to gather data on the activities performed by office staff during the month of May, 1976.



### INSTRUCTIONS

1. Each employee fills out own form for each work week for the month of May, 1976.
2. Part-time employees should indicate their working hours and account for them only.
3. Fill out day's activities throughout the day or at end of day - do not use this as a schedule for upcoming events; do not try to remember on Wednesday what you did on Monday.
4. Every time you go out of the office for a meeting, etc. write "OUT" and the location (city) where you went in the time slot indicating when you went out (be sure to let us know when you came back in again).
5. For every hour time slot, fill in a coded activity (number) from the Potential Activity Code Sheet, if appropriate; if not, use a narrative description of what you did. If you did more than one thing in an hour period, list all the activities you did, but don't make it tough on yourself.
6. Indicate time spent preparing for meetings by using the appropriate meeting code with a "P," for preparation, after it.
7. As you "handle" a phone call (anything but wrong numbers or transferring call to another staff member), tick mark at the bottom in the day's column.
8. Keep a copy of the report if you like; on Friday at 5 PM or Monday morning, send us either the original sheet or a clear photocopy of it.

**CONTINUED**

**2 OF 3**

POTENTIAL ACTIVITY CODES

<u>Activity</u>	<u>Code</u>
<u>Planning Related</u>	
. Collecting, summarizing or analyzing data	01
. Attending hearing or meeting related to development of Standards and Goals, State Plan or Regional Plan	02
. Performing other work related to the development of Standards and Goals, State Plan or Regional Plan	03
<u>Grant Related</u>	
. Developing grant applications (including attendance of meetings to make public aware of role of Regional Council, WCCJ or LEAA)	04
. Assisting potential grantees with the writing of grants (prior to submission)	05
. Reviewing grant applications subsequent to their formal submission and making recommendations to Regional Council	06
. Attending meeting of Regional Planning Council or Subcommittee	07
. Attending WCCJ Executive Committee meeting to present grant applications	08
. Monitoring active grantee projects (including providing limited technical assistance when requested)	09
. Performing or accompanying State staff in performing project evaluation	10
<u>Services To Regional Council</u>	
. Preparing agenda for Regional Council meetings or preparing and distributing minutes of meetings	11
. Meeting with Chairman or other member of Regional Planning Council	12
<u>Staffing Regional Office</u>	
. Responding to requests for information (from general public, criminal justice agencies, WCCJ, etc.)	13
. Handling of correspondence: letters, memos, telephone	14
. Performing other activities related to office administration	15



<u>Activity</u>	<u>Code</u>
<u>Other</u>	
. Performing study for or providing technical assistance to criminal justice or related agency	16
. Attending WCCJ staff or council meeting	17
. Attending conference	18
. Giving speech	19
. Reading - work related	20
. Travel - related to performance of WCCJ activities	21
. Sick leave or vacation	22

WEEKLY ACTIVITY REPORTING FORM

Name \_\_\_\_\_ Position \_\_\_\_\_ Region \_\_\_\_\_ Week Beginning \_\_\_\_\_

	<u>Monday</u>	<u>Tuesday</u>	<u>Wednesday</u>	<u>Thursday</u>	<u>Friday</u>
8:00 - 9:00					
9:00 - 10:00					
10:00 - 11:00					
11:00 - 12:00					
12:00 - 1:00					
1:00 - 2:00					
2:00 - 3:00					
3:00 - 4:00					
4:00 - 5:00					
Nighttime					
Number Of Phone Calls					

**END**

*7/10/1944*