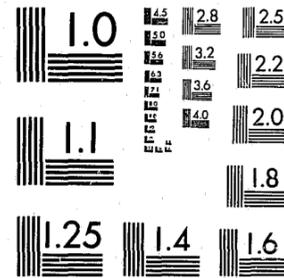


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MINNESOTA  
JUSTICE SYSTEM  
IMPROVEMENT STUDY



Research Design

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MINNESOTA  
CRIME CONTROL PLANNING BOARD  
JUSTICE SYSTEM IMPROVEMENT STUDY  
RESEARCH DESIGN

August, 1980

by

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This research design  
has been approved by the  
Justice System Improvement Study  
Task Force and the Research and  
Evaluation Committee of the  
Crime Control Planning Board.

NCJRS

SEP 3 1980

ACQUISITIONS

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I. INTRODUCTION

A. PROJECT HISTORY

During the past ten years, several national study commissions have investigated and reported on methods of developing more effective state criminal justice systems. Some of the studies have recommended standards for improving all aspects of crime control activity. In every study, however, recommendations relating to unification, consolidation, and integration of criminal justice functions and administrative services can be found. These recommendations were based on conclusions drawn by the studies that state criminal justice systems often exhibit the characteristics of fragmentation, overlap, duplication, and a lack of coordination.<sup>1</sup>

Several members of the Minnesota Legislature, after informing themselves of the conclusions reached by the national study commissions, introduced a bill to create a state level department of justice (SF 1563, HF 1692) in May, 1977. This bill was subsequently amended to set up a special advisory committee which would study the criminal justice system in Minnesota and make recommendations on the feasibility of establishing a state department of justice. Action on this bill was delayed.

In December, 1977, the Legislature requested that the Crime Control Planning Board (CCPB) draft alternative proposals regarding formation of a study commission. An amended version of the May, 1977, advisory committee bill, modified to enlarge the scope of the commission to include review of county and municipal criminal justice agencies, was introduced in February, 1978. This amended bill died in the appropriations committee as funds were not available for a thorough reorganization study. No action was taken when this bill was reintroduced in the 1979 session (SF 319, HF 923) because of continued budgetary constraints.

The funding problem was rectified in the latter part of 1979 when the CCPB received a Law Enforcement Assistance Administration (LEAA) Discretionary Grant of \$61,628. Matched with \$12,000 from the Minnesota Legislature for a total of \$73,628, the purpose of the grant was to

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<sup>1</sup>Daniel L. Skoler, "Governmental Structuring of Criminal Justice Services: Organizing the Non-System" (Washington, D. C.: National Institute of Law Enforcement and Criminal Justice, 1978), p. 5.

study Minnesota's state executive branch criminal justice system and to determine the feasibility of creating a state department of justice.

Receipt of the grant led to the hiring of a project director in December, 1979. To initiate the project, the CCPB contracted with a consultant from the Center for Creative Institutions and the Wharton School of Finance in Pennsylvania to conduct a two-day workshop and orientation seminar on December 10 and 11. Among the objectives of the seminar were the following: Have the project director meet with interested persons in Minnesota's criminal justice system and allow them an opportunity to become aware of the project, help all participants gain an understanding of existing ideas concerning present and future criminal justice configurations, discuss participants' opinions on the causes and effects of problems in the present system, develop participants' conceptions on the characteristics of an ideal criminal justice system, and consider organizational design components and their implications for managing interdependencies among agencies.

#### B. PURPOSE AND GOALS

From the beginning of the Republic, American government has been under continuous study and analysis. This investigation has often led to the reorganization of governmental structures and processes. Some of the most important structural changes on the federal level were consequences of reorganization studies published in 1937, 1947, and 1955.<sup>1</sup> In the last half of the twentieth century, state governments have also experienced extensive restructuring. Forty-two states went through structural reorganization from 1965-1979, and 29 of these were reorganized twice during the same period.<sup>2</sup> These state level activities reflect a growing commitment by elective and administrative officials to the achievement of an effective and efficient structure for state government, particularly on the executive branch side.

Impetus for reorganization in the criminal justice field has come from the recommendations of four recent national study commissions: President's Commission on Law Enforcement and the Administration of

<sup>1</sup>Report of the President's Committee on Administrative Management (1937); U. S. Commission on the Organization of the Executive Branch of Government (1947); William R. Devine, "The Second Hoover Commission Reports," Public Administration Review 15 (Autumn, 1955): 263-269.

<sup>2</sup>Council of State Governments, Reorganization of State Corrections Agencies: A Decade of Experience (Lexington, KY: Council of State Governments, 1977), p. ix.

Justice (1967),<sup>1</sup> the Advisory Commission on Intergovernmental Relations (1971),<sup>2</sup> the Committee for Economic Development (1972),<sup>3</sup> and the National Advisory Commission on Criminal Justice Standards and Goals (1973).<sup>4</sup> In addition, Daniel Skoler has made important contributions on the problems of the criminal justice "non-system."<sup>5</sup>

These efforts have identified a number of organizational problem areas in the criminal justice field: overlap, duplication, fragmentation, lack of integration, coordination, and cooperation, and mandated responsibility without appropriate managerial control over available scarce resources. As a result, these studies of criminal justice structures and functions have supported the concepts of integration, coordination, and appropriate managerial control over resources devoted to criminal justice functions and activities.

The basic purpose of the Justice System Improvement Study is to determine whether Minnesota's 12 state executive branch criminal justice agencies exhibit characteristics of the organizational problem areas identified by the national studies, and to recommend organizational changes which would provide for a more integrated and coordinated state criminal justice system, with executives, managers, and supervisors exercising control over resources commensurate with their levels of responsibility.

In order for the JSIS to identify organizational problem areas and to make recommendations which would correct them, five goals must be achieved. The first goal is to describe the programs, functions, and activities of Minnesota's 12 executive branch criminal justice agencies. The second goal is to identify organizational problem areas within these agencies. The third goal is to suggest a number of recommendations to the Governor and the Legislature which would correct any identified

<sup>1</sup>President's Commission on Law Enforcement and the Administration of Justice, The Challenge of Crime in a Free Society (1967).

<sup>2</sup>Advisory Commission on Intergovernmental Relations, State and Local Relations in the Criminal Justice System (1971).

<sup>3</sup>Committee for Economic Development, Reducing Crime and Assuring Justice (1972).

<sup>4</sup>National Advisory Commission on Criminal Justice Standards and Goals, A National Strategy for Reducing Crime (1973).

<sup>5</sup>Daniel L. Skoler, Organizing the Non-System: Governmental Structuring of Criminal Justice Systems (Lexington, Mass.: D. C. Heath and Company, 1977).

organizational problem areas and create a more integrated and coordinated criminal justice system. The fourth goal is to determine the political feasibility of implementing the organizational changes recommended by the JSIS. A final goal, not directly tied to resolving problem areas but important to decision makers nonetheless, is to collect expenditure information on the administrative service and support costs of delivering criminal justice programs. The five goals will be realized through the tools, steps, and procedures outlined in the following chapter on methodology.

## II. METHODOLOGY

### A. SCOPE

To improve the criminal justice system of the State of Minnesota, one might expect that all components of the system, state and local, would be subject to analysis. The JSIS, however, has chosen to study the 12 state executive branch criminal justice agencies: Attorney General, Board of Pardons, Department of Corrections, Corrections Board, County Attorneys Council, Crime Control Planning Board, Crime Victims Reparations Board, Ombudsman for Corrections, Peace Officer Standards and Training (POST) Board, Department of Public Safety, Sentencing Guidelines Commission, State Public Defender. These agencies focus almost entirely on the traditional executive branch criminal justice functions of investigation, law enforcement, prosecution, defense, and corrections. The reasons for narrowing the study to 12 agencies are outlined below.

Even though a large proportion of criminal justice services are performed at the city and county level, these entities have been excluded from the study's identification of organizational problem areas for legal and practical reasons. The JSIS is not operating under an executive order promulgated by the Governor, has not been empowered by the Legislature to perform an analysis of the entire criminal justice system, and does not possess clearly defined authority through the CCPB's enabling statute, to probe the structure and operations of criminal justice at the local level: local police, county sheriffs, prosecuting attorneys, public defenders, courts, and corrections programs. Beyond the legal reasons for not examining local criminal justice agencies, the JSIS simply does not have the staff resources to do a thorough study of the local component of Minnesota's criminal justice system.

The JSIS has further decided that the judicial branch of the state criminal justice system, as well as its attendant court services and programs, will not be investigated. This conclusion rests on the independent constitutional status of the courts. Because of the separation of powers principle, they are also outside the jurisdiction of this project.

In parts of the executive branch, there are agencies housing organizational units with separate responsibilities related to criminal justice. Examples of these agencies, and their units with criminal justice functions, are: Department of Public Welfare: Income Maintenance;

Department of Revenue: Income, Sales, and Use Tax Management; Property and Special Taxes Management; Department of Commerce: Examination and Supervision of State Chartered Financial Institutions; Investment Protection; Regulation of Insurance Companies; Department of Natural Resources: Enforcement of Natural Resources Laws and Rules; as well as other programs within the Department of Economic Security, Department of Education, etc.

The reason these agencies are excluded from the study is related to the fact that each of the aforementioned organizational units is central to the purpose for which the agency exists. Removing any criminal justice functions may hinder the agency's ability to carry out its responsibilities. For instance, the Department of Public Welfare (DPW) exists to provide emergency and financial assistance and medical care to low-income persons; to provide social services to families, children, and adults; and to provide rehabilitative and residential services to the mentally ill, mentally retarded, chemically dependent, physically handicapped, etc. Obviously, some units within DPW will need to engage in activities similar to those performed by traditional criminal justice agencies. The Fraud and Residence Review Section investigates and prosecutes client fraud among the income maintenance programs administered by the Department. The Surveillance and Utilization Review Division investigates and takes corrective action necessary for administration of the Medical Assistance Program. These criminal justice functions are essential to achievement of DPW's programmatic purposes.

#### B. DEFINITIONS

Executive branch criminal justice duties and responsibilities can be classified in terms of a number of functional areas. These functional areas are grouped in two ways: criminal justice line functions and criminal justice administrative service and support functions.

Executive branch criminal justice line functions, five in number, consist of the organization of people and other resources to investigate crime, prosecute and defend the accused, correct the offender, and enforce the law. These functions are provided in the main by state and local governments, and have an impact primarily on the public. Listed below are precise definitions for these line functions:

1. Investigation - methodically inquiring into the facts after there has been an apparent violation of the criminal code and other statutes which involve state mandated sanctions.
2. Law Enforcement - compelling observance of, and compliance with, the criminal code and other statutes which involve state mandated sanctions.

3. Prosecution - conducting criminal proceedings in court against those persons accused of violating the criminal code and other statutes which involve state mandated sanctions.
4. Defense - provision of legal representation and services to those persons accused of violating the criminal code and other statutes which involve state mandated sanctions.
5. Corrections - the community's official reactions to the apprehended offender, whether adult or juvenile. The process of confinement and treatment of adult felons, and the care, custody, and treatment of youthful offenders and juveniles.

Criminal justice administrative service and support functions essentially permit managers to design, study, appraise, control, and coordinate the line functions of criminal justice agencies. Sometimes, administrative service and support functions are offered to the public, or are provided by one public agency to another. Listed below are more precise definitions for the criminal justice administrative service and support functions:

1. Planning - a grouping of related activities which lays out, within identified resource constraints, how the organizational unit will achieve its purposes, duties, and responsibilities. The function includes techniques of looking into the future and establishing goals, policies, and procedures.
2. Policy - a grouping of related activities which sets out a process through which guidelines for decision making are established. Proper policy should exhibit the following characteristics: 1) Policy should relate to the goals and objectives of the public agency. 2) Policy should be easily understood and written down. 3) Policy should prescribe limits and yardsticks for future action. 4) Policy must be capable of being easily changed. 5) Policy must be reasonable and capable of accomplishment. 6) Policy should allow some discretion.
3. Research - a grouping of related activities which inquire and investigate for the purpose of discovering new facts and their correct interpretation; the revision of accepted conclusions, theories, or laws in the light of newly discovered facts, or the practical application of such materials. Research may also be operational -- to help the agency organize its resources more efficiently to achieve its purposes, or to obtain new facts about the subject matter over which the agency exercises control.

4. Personnel - a grouping of related activities which are concerned primarily with the selection, placement, training, firing, and retiring of employees; and with the formulation of policies and procedures which define the relations between management and employees. The general purpose of the personnel function is to effectively utilize manpower to obtain optimum efficiency of human resources.
5. Training - a grouping of related activities which develop particular skills or groups of skills in public service employees.
6. Budgeting - a grouping of related activities which involve financial forecasting and planning, acquiring funds, and making decisions on how funds are spent.
7. Auditing - a grouping of related activities which involve the formal and official examination and verification of books of account (as for reporting on the financial or programmatic conditions of a public agency or program).
8. Accounting - a grouping of related activities which classify, record, and summarize public programmatic and financial transactions in books of account, and analyze, verify, and report the results. A process to provide a statement of programmatic and financial transactions during a fiscal period showing the resulting balance.
9. Data Processing - a grouping of related activities which involve the logical arrangement and manipulation of data in electronic systems, the purposes of which are to increase the speed and accuracy of data retrieval regarding effective and efficient organizational decisions, operations, and management. The systems utilize computer hardware, software, and a data base.
10. Grants Administration - a grouping of related activities designed and maintained to ensure the efficient and effective conduct of a grant program within the programmatic and fiscal parameters set forth by the funding authorities.
11. Evaluation - a grouping of related activities which involve the application of scientific methodologies for the purposes of answering questions about the management, efficiency, and effectiveness of agency (or agency-sponsored) programs. Evaluation, therefore, may be performed to help the agency make management decisions about the operation, continuation, or reorganization of its programs.

It is on the administrative service and support functions, located in the 12 executive branch criminal justice agencies, that the JSIS will

focus. The reason for centering our analysis on administrative service and support functions is that they are the keys to effective decision making.

Effective decision making requires knowledge of the subject matter for which the agency exists. Knowledge is accumulated by the agency to determine the programs necessary to help achieve mandated purposes (research function). Knowledge is also accumulated by the agency to determine whether the programs have achieved their mandated purposes (evaluation function). Knowledge concerning the programmatic and financial transactions in books of account, and periodic formal and official examination and verification of books of account, is essential for managerial accountability and responsibility (accounting function and auditing function). The manner in which accumulated knowledge is made available, the form that the knowledge takes, and the ease of access to the knowledge, all facilitate the decision-making process (data processing function).<sup>1</sup>

Effective decision making requires proper planning, budgeting, and personnel. Planning involves creation of goals, objectives, policies, and procedures which lay out how the agency will achieve its mandated purposes, duties, and responsibilities (planning function). Budgeting involves forecasting the resources which will be necessary to achieve the goals and objectives of the agency, going about the process of acquiring the funds, and making decisions about how limited resources are spent (budgeting function). Efficient use of resources appropriated to the agency to help achieve its goals and objectives requires selection and development of public employees (personnel function and training function). Essentially, the planning, budgeting, personnel, and training functions are management tools for effective decision making.

Some of the duties of state executive branch criminal justice agencies are undertaken through grants programs. Managers need administrative capability to obtain grants and to determine who receives grants, to assure the proper execution of their responsibilities (grants administration function).

A final key for effective decision making is found in the activities in which an agency engages to set up guidelines for effective decision making (policy function). The processes which agencies identify for making public policy, whether internal to the agency or affecting the public outside the agency, require that the aforementioned administrative service and support functions be located close to managers.

<sup>1</sup>See Peter F. Drucker, Management: Tasks, Responsibilities, and Practices (New York: Harper and Row, 1974), pp. 512-516.

Effective decision making, then, depends on the efficient use of administrative service and support functions. Efficient use of these functions in turn requires that they not exhibit the characteristics of organizational problem areas, and that they be properly located within the organizational framework.<sup>1</sup> Proper location of administrative service and support functions will be explicitly defined in the concluding section of this design on Dimensional Activity Analysis.

Definitions for many of the terms in the previous sections, and in sections of the research design to follow, are listed below:

1. State executive branch criminal justice agencies - those agencies located within the executive branch of state government, which are concerned with the apprehension and disposition of persons who violate the criminal code and other statutes which involve state mandated sanctions. These laws are executed through state public agencies engaged in the functions of investigation, law enforcement, prosecution, defense, corrections, and justice planning, research, evaluation, monitoring, and management.
2. System - is a set of parts coordinated to accomplish a set of goals (Churchman, C. West. The Systems Approach. New York: Dell Publishing Co., Inc. 1968).
3. Fragmentation - when a function or activity is exclusive to an organizational unit, and that function or activity is also performed by many other organizational units.  
Example: Function or activity A is the only function or activity performed by organizational units X, Y, and Z.
4. Overlap - when some functions and activities of one organizational unit extend over and cover some functions and activities of other organizational units.  
Example: Organizational unit X engages in functions and activities A, B, C, and D; organizational units Y and Z engage in functions and activities C, D, E, and F. Overlap occurs when organizational units X, Y, and Z perform functions and activities C and D.

<sup>1</sup>See Donald R. Dwight, Robert H. Marden, and Robert C. Casselman, Massachusetts Government: The Management Problems and an Approach to Their Solution (Massachusetts: Executive Office for Administration and Finance, 1969), pp. 8-17.

5. Duplication - when the functions and activities of one organizational unit are copied or made double by the functions and activities of another organization unit.

Example: Organizational unit X engages in functions and activities A, B, C, and D; organizational unit Y engages in functions and activities A, B, C, and D. Duplication occurs when units X and Y perform the same functions and activities.

6. Cooperation - organizational units are working together for a common purpose.
7. Coordination - bringing about common organizational action, movement, or conditions, and harmony of organizational work, through administrative service functions (planning, research, evaluation, monitoring, management, etc.) and other political, legal, and organizational means.
8. Integration - the act of uniting, incorporating, combining, and centralizing similar functions and activities into a single organizational unit.  
Example: Similar functions and activities A<sup>1</sup>, A<sup>2</sup>, and A<sup>3</sup> are placed into a single organizational unit. (For our purposes, integration is a synonym for unification and consolidation).
9. Organization - the systematic coordination of the functions and activities of two or more people for the accomplishment of a set of goals, with written regulations, relative permanence, and a hierarchical structure.
10. Organizational Hierarchy - the vertical ranking of functions and activities within an organization.
11. Organizational Unit - components within an organization, from the smallest to the largest, which are engaged in one or more functions or activities required to accomplish the goals of the organization.
12. Function - the grouping of a number of related activities for the purpose of achieving a goal or objective.  
Example: Function X is comprised of activities X<sup>1</sup>, X<sup>2</sup>, and X<sup>3</sup>, grouped for the purpose of achieving goal or objective K.

13. Activity - the organizing and supervising of a number of related, specific tasks or duties for the purpose of performing a function.

Example: Activity X<sup>1</sup> is comprised of tasks or duties X<sup>1A</sup>, X<sup>1B</sup>, and X<sup>1C</sup>, organized for the purpose of performing function X.

14. Task - a specific, assigned piece of work, often to be completed within a certain time, for the purpose of performing an activity.

Example: Task X<sup>1A</sup> is a piece of work assigned for the purpose of performing activity X<sup>1</sup>.

### C. RESEARCH INSTRUMENTS

In order to achieve the purpose of the Justice System Improvement Study, it is necessary to describe the various programs of Minnesota's state executive branch criminal justice agencies. Not only must administrative service and support functions be closely examined, but executive branch criminal justice line functions must be studied as well if the system is to be understood. The following research instruments will be used to describe the functions and activities of Minnesota's state executive branch criminal justice agencies.

#### 1. Statute Research Instrument

One of two legal documentary research instruments, the statute research instrument is a tool to extract descriptive information from the *Minnesota Statutes*. There are two categories of information we want to secure from the statutes: the statutory jurisdiction of state criminal justice agencies, and a breakdown of organizational units as far as is possible. If we define the first of these, jurisdiction, as the sphere of authority, and authority as the legitimate power to take action, then we can interpret the jurisdiction of state criminal justice agencies as the sphere in which an agency has legitimate power to take action.

Jurisdiction, therefore, encompasses all the powers, duties, responsibilities, and activities mandated to an agency by state law. Analysis of the entire statute is essential, as no single section of a statute will comprehensively and definitively outline these stipulations. The researcher will have to exercise some discretion based on the purpose of the statute research instrument and the researcher's past experience with the statutes.

The need for a thorough investigation is exemplified by the enabling statute for the Crime Control Planning Board, Chap. 299A.03. Major powers and responsibilities are found in subd. 6 through 14, although only subd. 9 clearly delineates its contents with the title "additional powers and duties." The researcher should also be aware that at times the powers exercised by an agency may not be outlined entirely in the chapter for that particular agency. The Commissioner of Corrections, for example, has general powers outlined in Chapter 241, but is also granted specific powers with respect to the Corrections Board in Chapters 242 and 243. These circumstances indicate the necessity for a careful reading of all relevant statutes.

The second desired category of information from the statutes is a breakdown of organizational units within an agency. Since the majority of agency sub-units are not mandated by law, they may not be found in the statutes. *The Guidebook to State Agency Services* will furnish a list of sub-agency units; when checked against the units that are mentioned in the statutes, the researcher should be able to list the powers and duties of these units. However, some units described in the statutes may not explicitly be outlined in the *Guidebook*. The Correctional Psychiatric Unit described in the statutes, 241.69, is not mentioned as a discrete unit in the Department of Corrections section in the *Guidebook*, to illustrate.

The initial step in implementing the statute research instrument should be to contact and work closely with Bob Kittle (296-0218), the courts and criminal justice person in the Revisor of Statutes office. He will execute two activities for the researcher. The first will be a compilation of all statutes relevant to a designated criminal justice agency, an important step as frequently even divisions within an executive branch department are not found in the same Chapter of the statutes (Public Safety is a prime example). He will also be able to use the word processing capability of the Revisor's office to obtain statutory material related to key words the researcher deems crucial to his or her purpose: power, duty, responsibility, etc. The researcher should recognize, of course, that much of the desired information on jurisdiction will not be labeled as such.

The format for presentation of the narrative data gleaned from the statutes is to head a page with the name of the agency, list its general powers and duties, and then specify sub-agency units (if found in the statutes) and the powers and duties granted to them. In summary, the Statute Research Instrument will give the JSIS vital information

from agency enabling statutes listing the powers, duties, and responsibilities of each agency. In addition, the staff will begin to identify organizational problem areas based on the legal information accumulated. These results should give the Justice System Improvement Study a comprehensive account of the statutory jurisdictions of state executive branch criminal justice agencies.

After the report is completed, the researcher should prepare a summary of organizational problem areas, based on his or her interpretation of the foregoing jurisdictional analysis of the statutes. This preliminary identification will aid us in further classification of organizational problem areas from other research instruments.

## 2. Minnesota Code of Agency Rules Research Instrument

The *Minnesota Code of Agency Rules* research instrument is a tool to extract descriptive information from the *Minnesota Code of Agency Rules (MCAR)*. This tool will provide only limited information on the organizational structure and processes of Minnesota's executive branch criminal justice agencies. What will be obtained from the *MCAR* is a further delineation of an agency's functions, powers, duties, and responsibilities, thereby serving as a complement to the statute research instrument.

The *MCAR* will be of limited value for the purposes of the Justice System Improvement Study for two reasons. The first relates to the statutory publication requirement for state agency information. Chapter 15.047, subd. 1 of the *Minnesota Statutes* (part of the Administrative Procedure Act) mandates that "the commissioner of administration shall publish a manual of state agency rules, which shall include all agency rules currently in effect." A "rule" is defined in a separate section of the same act as follows (note in particular the types of information exempt from the publication requirement), *Minnesota Statutes*, Chapter 15.0411, subd. 1:

"Rule" includes every agency statement of general applicability and future effect, including the amendment, suspension, or repeal thereof, made to implement or make specific the law enforced or administered by it or to govern its organization or procedure, but does not include (a) rules concerning only the internal management of the agency or other agencies, and which do not directly affect the rights of or procedure available to the

public; or (b) rules of the commissioner of corrections relating to the internal management of institutions under his control and those rules governing the inmates thereof prescribed pursuant to section 609.105; or (c) rules of the division of game and fish published in accordance with section 97.53; or (d) rules relating to weight limitations on the use of highways when the substance of such rules is indicated to the public by means of signs; or (e) opinions of the attorney general.

Essentially, the *MCAR* is required to contain only those rules which are similar to the laws a legislature passes affecting the general public. We cannot expect to find information on an agency's organizational structure from this source, inasmuch as internal management rules are exempt from the rule publication mandate. (As will be noted below, however, some internal rules do seem to be included in the *MCAR* for certain agencies.)

The second reason the *MCAR* is of little value for the JSIS is that agency rules are undergoing a recodification which will not be completed until the latter part of 1980. *MCAR* therefore cannot be heavily relied upon by the JSIS as a documentary source because it does not embrace the organizational and structural information required by the study, and because the information it does contain is not completely accurate.

This is not to say that the *MCAR* is without utility to the JSIS. It does provide another means of gaining a broader comprehension of an agency's functions, powers, duties, and responsibilities. This can be achieved by ascertaining the categories in which the agency promulgates its rules, a valuable task even though the precise rules within the categories may no longer be valid.

For example, the POST Board issues rules on the certification of police officers, training institutions, and instructors. It is important to know that the POST Board has powers in these areas if we are to fully appreciate its functions, duties, and responsibilities.

Also, the *MCAR* does in some cases contain rules and standards for internal operations that agencies have chosen to publish although apparently not required to do so by the Administrative Procedure Act. The Department of Corrections,

to illustrate, promulgates personnel standards for its officers at correctional institutions and publishes them in the *MCAR*.

The JSIS also recognizes that there can be little hard evaluation or pinpointing of organizational problem areas from this source. We are using it because we want good descriptive data for a thorough determination of the functions, powers, duties, and responsibilities of Minnesota's executive branch criminal justice agencies.

The staff has already collected the *MCAR* for those agencies we want to examine, and will collect the recodified versions as they become available from the Office of the State Register. Presentation of the descriptive data gleaned from the *MCAR* involves listing and briefly describing the categories of rules and standards promulgated by each agency, based on the examples outlined above.

In summary, the *Statute* and *MCAR* Research Instruments will furnish the JSIS with a descriptive analysis of Minnesota's executive branch criminal justice agencies from a legal standpoint: the statutory powers, duties, and responsibilities, and the categories of legal rules promulgated by each agency. It is acknowledged that these documents primarily stress line functions, rather than the administrative service and support functions receiving the central focus of the study. The intention of the JSIS, however, is to attempt a preliminary identification of organizational problem areas (overlap, duplication, fragmentation, and lack of coordination and integration) from the two legal documentary research instruments.

### 3. Dimensional Activity Analysis

#### a. Introduction

Dimensional Activity Analysis is designed to gather empirical data which will characterize activities within administrative service and support functions through seven dimensions. An organizational standard will permit the JSIS to identify organizational problem areas and to make recommendations as to whether activities within functions, or the functions themselves, should be reassigned.

Contact with each agency's JSIS liaison officer will initiate the analysis. The first task of the JSIS researcher is to read and become familiar with internal agency documents. Consisting of work plans, organization charts, job descriptions, budget materials, and other evidence of organizational structure, these documents should make possible the creation of a single organization chart that is current and reflects all organizational units. Existing charts will be modified if necessary to conform with the researcher's document review.

Agency documents should also identify the 11 administrative service and support functions within the agency: Who is responsible for their performance, and where are they located? Informal discussions with agency personnel will be used to confirm or refute the documents' accuracy, as well as to discover those functions not readily apparent in the documents.

In advance of this portion of the research, management literature, experts in their respective functional areas, and practitioners in the field will be consulted on development of a preliminary list of the basic activities associated with each function. Persons identified as being responsible for the functions within the 12 agencies will be asked whether this tentative list accurately reflects the work of their function, to modify it if necessary, and to return them to the liaison for review by the JSIS. When the lists have been returned from all 12 agencies, the JSIS will prepare a final, comprehensive list of the basic activities within all 11 administrative service and support functions. These activities are the subject of the questionnaire discussed below in section (c), and will serve as the foundation for the remainder of the analysis.

#### b. Line Function Analysis

The primary focus of the JSIS, as noted throughout this design, is on administrative service and support functions. The justification for this focus has already been discussed on pages 8-10 of this design. Line functions of executive branch criminal justice -- law enforcement, investigation, prosecution, defense, corrections -- must, however, also be analyzed, if only to a limited extent. Solid understanding of the managerial role played by administrative service and support functions is futile without an understanding of the line

function context in which that service or support is provided. Analysis of administrative service and support functions, then, necessitates at least a brief inquiry into the line portion of criminal justice.

This inquiry will partially be satisfied by the construction of a detailed organization chart. Structure and functions (line and administrative service and support) will be found on this chart, permitting a general understanding of the agency's operations and arrangement of functions. Additional inquiry into line functions will occur when administrative service and support function managers are asked to characterize the activities within their functions through seven dimensions [section (c) below]. The questionnaire will be supplemented by asking whether there are conflicts between the services provided by the agency's line functions and the organizational placement of the functions. Although this probe is highly subjective, resulting comments will be addressed in terms of the topics deserving more extensive analysis in other studies. The primary purpose of this line function analysis, however, is that it will familiarize the JSIS with the environment in which administrative service and support functions are provided, and will make the principal intent of this research design -- Dimensional Activity Analysis -- more significant.

c. Framework for Dimensional Activity Analysis

This section is the most important part of the JSIS research design. For reasons previously cited, the scope of the study has been narrowed to an analysis of 11 administrative service and support functions, each of which is carried out through a number of activities. The administrative service and support functions are located in 26 program areas housed in the 12 state executive branch criminal justice agencies. The 12 agencies and 26 program areas are as follows:

Attorney General

- 1) Criminal

Board of Pardons

- 1) Board of Pardons

Department of Corrections

- 1) Institution Services
- 2) Community Services
- 3) Policy and Planning
- 4) Management

Corrections Board

- 1) Corrections Board

County Attorneys Council

- 1) County Attorneys Council

Crime Control Planning Board

- 1) Planning, Research, and Evaluation
- 2) Law Enforcement Assistance
- 3) Administration

Crime Victims Reparations Board

- 1) Crime Victims Reparations Board

Minnesota Sentencing Guidelines Commission

- 1) Minnesota Sentencing Guidelines Commission

Ombudsman for Corrections

- 1) Ombudsman for Corrections

Peace Officer Standards and Training (POST) Board

- 1) POST Board

Department of Public Safety

- 1) Criminal Apprehension
- 2) State Patrol
- 3) Driver and Vehicle Services
- 4) Fire Marshal
- 5) Liquor Control
- 6) Emergency Services
- 7) Planning and Analysis
- 8) Fiscal and Administrative Services

State Public Defender

- 1) Legal Advocacy Project
- 2) Legal Assistance to Minnesota Prisoners
- 3) Public Defender Operations

To summarize: Administrative service and support functions, and the persons responsible for their performance, will have been identified in the 12 agencies and their 26 program areas. Lists of the activities found within each of the functions will have been revised. At this point, the JSIS will be prepared to begin the critical phase of Dimensional Activity Analysis. The steps outlined below will systematically identify organizational problem areas and lead to recommendations which could correct them.

Administrative service and support function managers will be asked to inspect the revised activity lists, and to select those activities in which their functions are engaged. Questions tied to seven dimensions will then be posed to managers on each of the activities which they have selected. The seven dimensions are: impact, responsibility control, resource interdependency, priority, authority control, congruence, and appropriateness.\*

- 1) The impact dimension has two purposes. First, it will determine at what organizational level the performance of the activity primarily impacts (or the level for which it is performed). We have identified three organizational levels upon which an activity could impact.

Level A → impacts on the program in which the activity is located

Level B → impacts on other programs within the same agency

Level C → impacts outside the agency

Second, the impact dimension will elicit responses from function managers as to where, upon whom, or for whom the activity specifically impacts or is utilized. A sheet will be kept for each activity, upon which will be found information on the exact impact -- which program, which agency, or which public (Legislature, Governor, citizens' group, etc.).

\* Please see appendix.

- 2) The responsibility control dimension also has two purposes. First, it will determine at what organizational level the responsibility lies for making the primary decision to perform the activity. We have identified three organizational levels at which the decision could be made to perform the activity.

Level 1 → within the program in which the activity is located

Level 2 → within other programs of the same agency

Level 3 → outside the agency

Second, the responsibility control dimension will also elicit responses as to where (organizationally) and with whom the primary responsibility lies to make the decision that the activity will be performed. A sheet will be kept for each activity, upon which will be found information on the exact source of responsibility for the actual decision making -- which program, which agency, or which public (Legislature, Governor, citizens' group, etc.).

Information from the impact and responsibility control dimensions yields the following combinations of possible outcomes:

Impact	Responsibility Control
A	1
A	2
A	3
B	1
B	2
B	3
C	1
C	2
C	3

The dimensional combination A 1 means the activity impacts within the program and the responsibility for deciding to perform the activity lies within the

program. The dimensional combination B 3 means the activity impacts on another program within the agency and the responsibility for deciding to perform the activity rests outside the agency. So far we have, through the first two dimensions, begun to define the organizational characteristics of each administrative service and support function activity within the 26 program areas of the 12 state executive branch criminal justice agencies.

- 3) The resource interdependency dimension has two purposes. First, it will determine if the control of the resources needed to perform the activity is found in the program in which the activity is located or if the control of resources lies outside the program, i.e., in another program inside the agency or outside the agency. A YES on this dimension means the activity is dependent on someone outside its program for the resources needed to execute the activity. A NO on this dimension means the resources needed to execute the activity are controlled within the program in which the activity is located.

Second, the resource interdependency dimension will also elicit responses as to where and with whom the control of the resources to perform an activity lies. A sheet will be kept for each activity, upon which will be found information on the exact source of the resource control -- which program, which agency, or which public (Legislature, Governor, citizens' group, etc.).

Information from the resource interdependency dimension, added to the impact and responsibility control dimensions, yields the following combinations of possible outcomes:

A 1 Y	A 1 N
A 2 Y	A 2 N
A 3 Y	A 3 N
B 1 Y	B 1 N
B 2 Y	B 2 N
B 3 Y	B 3 N
C 1 Y	C 1 N
C 2 Y	C 2 N
C 3 Y	C 3 N

The dimensional combination A 1 Y means the activity impacts within the program, the responsibility for deciding to perform the activity lies within the program, and the activity is dependent on someone outside its program for the resources needed to execute the activity. The dimensional combination B 3 Y means the activity impacts on another program within the agency, the responsibility for deciding to perform the activity rests outside the agency, and the activity is dependent on someone outside its program for the resources needed to execute the activity.

On the basis of the information collected by the JSIS thus far on the activities within administrative service and support functions, preliminary decisions may be made on whether to recommend that activities be subjected to procedural coordination for more efficient execution, or that recommendations be made for activity reassignment. The standard which the JSIS will use to make reorganization decisions is that responsibility control and resource control should be located at the organizational level upon which the activity impacts. The reason for using this standard to analyze administrative and support functions is that, as we have already indicated, these functions, when employed by managers at all organizational levels, can be used for more efficient management of, and effective decision making within, the 12 executive branch criminal justice agencies.

Administrative service and support functions can have an impact (or be used) at the program level, the agency level, or at a level outside the agency. If administrative service and support functions are to be used for effective decision making, managers at each of the levels where the function is employed should also have control over the decision to execute the activity, and control over the resources necessary to execute the activity. If, for example, an activity within an administrative service and support function impacts within the program, and the responsibility control and resource interdependency are also found within the program, then effective decision making through use of that activity can occur.

There is a dimensional combination of activity characteristics which applies the standard to each

activity at the three levels (A, B, and C) of organizational impact: A 1 N, B 2 N, and C 3 N. The activities described by these dimensional combinations are considered to have met the standard, and will not be subjected to further analysis by the JSIS.

Two points must be kept in mind as one looks at the activities described by these dimensional combinations. First, the A 1 N dimensional combination means that the impact of the activity is within the program, the responsibility control for the activity is within the program, and the resources devoted to the activity are controlled within the program. Obviously, the level of impact is commensurate with the responsibility control and the resource control. The activity with these characteristics will have met the standard. Second, some activities will undoubtedly be performed for many programs within the agency. B 2 N means, in this instance, that even though the activity is performed by one program, its impact is on many programs within the agency, the decision to carry out the activity is commensurate with the level on which the activity impacts, and the program housing the activity possesses the resources to execute the activity. The same logic applies to C 3 N.

Any characteristics different from these dimensional combinations of A 1 N, B 2 N, and C 3 N will guide the JSIS in making reorganization recommendations. These recommendations will be either to coordinate, integrate, decentralize, upwardly integrate, or eliminate the activities being analyzed. Additional dimensions, to be discussed below, will give us further indications of the recommendations on organizational improvement.

Activities labeled A 1 Y, B 2 Y, and C 3 Y, which impact on an organizational level at the same level of responsibility control, but where there is resource interdependency at a different level, are candidates for coordinating mechanisms. The only problem in this situation is that the control over the resources is separate from the impact and the responsibility control. The JSIS would not recommend organizational location changes for these activities; instead, we would recommend coordinating mechanisms or procedures which would provide for more effective coordination between the specific activity's resources and the actual execution of the activity. The recommended coordinating mechanisms and procedures will be worked out by the JSIS and presented in the final report.

In contrast, activities labeled A 2 Y, A 3 Y, B 1 Y, B 3 Y, C 1 Y, and C 2 Y have responsibility control and impact at different levels, and there is resource interdependency. Since these activities stray as far as is possible from the standard, they are prime candidates for integration (see definition). These activities exhibit a serious organizational problem, and recommendations concerning uniting, combining, or centralizing these activities would rest on the specific information coming from the activity information sheets.

Activities labeled A 2 N, A 3 N, B 1 N, B 3 N, C 1 N, and C 2 N exhibit dimensional combinations which indicate that serious organizational problems exist. However, additional information must be obtained before reorganization recommendations can be made.

- 4) The priority dimension will give administrative service and support function managers an opportunity to rank each activity within their functions with respect to priority. Function managers will be asked to attach a priority rating to each activity by responding to an intensity scale.

Low priority	High priority
1   2	3   4   5

Responses of 1 and 2 will be coded as "low" priority for an activity, while responses of 4 and 5 will be coded as "high" priority for an activity. It is expected that function managers will generally seek to protect their function by maintaining that all activities have a high priority for them. The exception is when they believe that an activity does not belong in their function, and in fact diverts attention and resources from activities of higher priority. Thus, activities which the manager deems a high priority will likely receive a 4 or 5, and those deemed a low priority will likely receive a 1 or 2. A response of 3, then, would seem to indicate relative uncertainty about the priority of an activity, enough so that it may be valid to call a 3 a "low" priority response.

Priority Scale				
Low priority				High priority
1	2	3	4	5
	↓		↓	
	"low"		"high"	

Given the results of this dimension, the JSIS will have more of a basis on which to recommend decentralization, upward integration, or elimination of an activity that does not meet the standard. The possible outcomes from adding in the priority dimension would be:

<u>High</u>	<u>Low</u>
A 2 N H	A 2 N L
A 3 N H	A 3 N L
B 1 N H	B 1 N L
B 3 N H	B 3 N L
C 1 N H	C 1 N L
C 2 N H	C 2 N L

If the dimensional combination is A 2 N H, A 3 N H, or B 3 N H, then the JSIS would recommend that the activities be decentralized. The dimensional combinations suggest that the activities have an impact below the current level of responsibility, there is no resource interdependency, and the activity has been given a high priority rating. Since an activity should be controlled at the level of impact, the responsibility control should be moved down in the organization. Exactly where organizational decentralization should occur will depend on the qualitative information we gather on the activities.

Activities labeled B 1 N H, C 1 N H, and C 2 N H are those where the impact of the activity is at a higher level than the current responsibility control level, with no resource interdependency, but a high priority rating. These activities are candidates for upward integration or centralization, since responsibility control of activities should always be placed at the level of impact.

Finally, the activities labeled A 2 N L, A 3 N L, B 1 N L, B 3 N L, C 1 N L, and C 2 N L are those given low priority by the function manager, the impact of the activity is different from the responsibility control, and there is no resource interdependency. The manager would need to demonstrate why this activity should continue to exist, in order for the JSIS staff not to recommend elimination.

The JSIS will determine the feasibility of removing from its present location any activity which is selected for integration, upward integration, decentralization, or elimination. Specifically, how difficult would it be to alter the organizational location of a particular activity if that activity were a candidate for reassignment? Three dimensions will provide answers to this feasibility question: authority control, appropriateness, and congruence. The authority control dimension offers information on the legal and practical feasibility of activity reassignment, while the appropriateness and congruence dimensions provide insight into the political feasibility of activity reassignment.

- 5) The authority control dimension consists of two concepts: the extent to which an activity is required to be performed in its present organizational location, and the resultant difficulty of relocating an activity. If an activity is mandated by statute to be performed in a particular location, legislative enactment would be necessary to move the activity. If an activity is mandated by agency rule or regulation, statutorily defined procedures of notice and comment must be followed to change the rule. If an activity is mandated by agency policy, the major decision makers in the agency must change the policy or be convinced that the activity should be reassigned. If an activity is performed by a program manager on a discretionary basis, however, there are no legal requirements that the activity be performed in that program. Consequently, there are varying degrees of practical feasibility (and degrees of difficulty of activity reassignment) within the authority control dimension.

Authority Control  
Feasibility of Activity Reassignment

Most feasible (least difficult)		Least feasible (most difficult)	
Activity is done on a discretionary basis	Activity is mandated by agency policy	Activity is mandated by agency rule	Activity is mandated by statute

Because activity reassignment will always depend on the source of authority control, regardless of any political feasibility factor, authority control is the

key dimension in determining activity reassignment feasibility. For the purpose of later determining the feasibility of activity reassignment based on all three dimensions, we will now assign the following point outcomes to the four aspects of authority control: mandated by statute = 0, mandated by rule = 4, mandated by policy = 8, discretionary = 12.

- 6) and 7) The appropriateness and congruence dimensions describe the "political" feasibility of activity reassignment: How much opposition will a recommendation to move an activity engender? With regard to appropriateness, the function manager performing the activity will be asked to indicate whether the present organizational location is appropriate for the activity. With regard to congruence, the function manager will be asked to indicate whether there is congruence between the activity and the mission, goals, and objectives for which the agency exists.

Function managers will be requested to respond to an intensity scale of congruence and appropriateness.

Not congruent			Congruent	
1	2	3	4	5
Not appropriate			Appropriate	
1	2	3	4	5

Responses of 1 and 2 will be coded as a "no" response (not congruent or not appropriate), while responses of 4 and 5 will be coded as a "yes" response (congruent or appropriate). A response of 3, exactly in the middle and not an unambiguous "yes" or "no," will be coded as a "no." We assume that there is an inherent bias on the part of all function managers to maintain the status quo and their turf by stating that all activities are congruent and appropriate by responding with a 5 (or at the very least a 4). A response of 3, then, would seem to indicate relative uncertainty about the appropriateness or congruence of the activity, enough so that it may be valid to call a 3 a "no" response (not congruent or not appropriate).

Appropriateness Scale

Not appropriate			Appropriate	
1	2	3	4	5
↓			↓	
"no"			"yes"	

Congruency Scale

Not congruent			Congruent	
1	2	3	4	5
↓			↓	
"no"			"yes"	

For the purpose of later determining the feasibility of activity reassignment based on all three dimensions (congruence, appropriateness, and authority control), we will assign the following point outcomes to each response on the appropriateness and congruence dimensions: "yes" on congruence = 0, "no" on congruence = 1; "yes" on appropriateness = 0, "no" on appropriateness = 2.

It has already been stated that authority control is more crucial in determining activity reassignment than is either congruence or appropriateness. The question then becomes: Which is more crucial, congruence or appropriateness? Although the ranking at this point is admittedly somewhat arbitrary, the appropriateness dimension will be designated the more crucial.

Congruence is a rather abstract concept, leading to perhaps not always conclusive responses in terms of political feasibility. On the appropriateness dimension, however, the function manager will be able to declare resolutely that the activity should remain where it is. A "yes" or "no" response on this dimension will indicate the intensity of opposition, or lack thereof, to a reassignment or elimination recommendation.

In summary, the point outcomes which have been applied to the various aspects of each of the three dimensions reflect the relative importance of each dimension in determining activity reassignment feasibility. When applied to the possible combinations of the three dimensions, these point outcomes yield a feasibility determinant which signifies the relative feasibility of integrating, upwardly integrating, decentralizing, or eliminating an activity.

Authority Control				: Appropriateness		: Congruence	
Mandated by Statute	Mandated by Rule	Mandated by Policy	Discretionary	Yes	No	Yes	No
0	4	8	12	0	2	0	1

Combinations of Activity Characteristics Based on the Three Dimensions	Feasibility Determinant
mandated statute - appropriate - congruent	0
mandated statute - appropriate - not congruent	1
mandated statute - not appropriate - congruent	2
mandated statute - not appropriate - not congruent	3
mandated rule - appropriate - congruent	4
mandated rule - appropriate - not congruent	5
mandated rule - not appropriate - congruent	6
mandated rule - not appropriate - not congruent	7
mandated policy - appropriate - congruent	8
mandated policy - appropriate - not congruent	9
mandated policy - not appropriate - congruent	10
mandated policy - not appropriate - not congruent	11
discretionary - appropriate - congruent	12
discretionary - appropriate - not congruent	13
discretionary - not appropriate - congruent	14
discretionary - not appropriate - not congruent	15

The two extreme feasibility determinants, 0 and 15, represent polar opposites of feasibility. The 0 indicates that an activity is mandated by statute to be performed; the function manager believes the activity is appropriately placed and is congruent with the purpose of the function. In such a situation, removing the activity would be extremely difficult, both legally and politically. The other extreme, 15, indicates that an activity is performed in the program on a discretionary basis; the function manager believes the activity is not appropriately placed and is not congruent with the purpose of the function. There would be relatively little

difficulty, legally and politically, in attempting to reassign an activity with a feasibility determinant of 15. Simply stated: the lower the feasibility determinant, the lower the feasibility of activity reassignment.

A scientific method for analyzing complex public organizations, with a series of objective (and perhaps even mechanical) procedures which may lead to reorganization recommendations, has been outlined in this research design. No recommendations will be made, however, before two very important steps have been taken.

First, administrative service and support function managers will be asked to analyze and critique the data for their area of responsibility. This is to assure that no factual and interpretive errors have been made in gathering the data upon which recommendations will be based. Second, these findings of fact and the preliminary recommendations will be presented to the 12 agency heads for review and comment.

The data from Dimensional Activity Analysis is a guide to where organizational problem areas exist and how they might be corrected. Human judgment and practical experience will still be the crucial factors in finalizing recommendations of the Justice System Improvement Study.

#### 4. Expenditure Information Instrument

Separate from Dimensional Activity Analysis, but integral to a comprehensive analysis of administrative service and support functions, is the Expenditure Information Instrument. It will survey administrative service and support expenditures from a variety of perspectives, and will be organized so that expenditures may be analyzed relative to each of the 26 executive branch criminal justice programs and from a system-wide perspective. A detailed form, which will be filled out by budget officers in each of the 12 agencies, has been developed to collect this expenditure information.

Comparative analysis will be done in the following areas:

- a. Categorical (line item) expenditures. This will detail the type of expenditure as well as the ratio of labor to capital costs.
- b. Number and composition of agency staff.
- c. Source of expenditures: Federal vs. State.
- d. Allocation of expenditures to sources of impact outside the programs: State vs. local government and program specific vs. non-program specific.
- e. Allocation of expenditures to the five executive branch criminal justice line functions: investigation, law enforcement, prosecution, defense, and corrections.
- f. Average cost of delivering administrative service and support functions per program dollar. This is an indicator of potential scale economies.

Information from these six categories will be displayed in a series of bar graphs and average cost curves accompanied by appropriate expenditure tables.

This approach permits a number of objective and uniform expenditure comparisons among functions, programs, agencies, and areas of impact. We will know, for example, what it costs to provide data processing in each of the 12 agencies, what the total costs of providing the 11 administrative service and support functions are for the 12 agencies, or what it costs the State to provide administrative service and support functions for any one of the five criminal justice line functions. Information such as this will be useful not only to the JSIS in making reorganization recommendations, but also to the Governor, the Legislature, and other decision makers interested in the level and flow of administrative service and support expenditures within the criminal justice system.\*

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\*Please see appendix.

A P P E N D I X E S

Justice System Improvement Study

Activity Questionnaire

Date \_\_\_\_\_

Interviewer \_\_\_\_\_

Respondent \_\_\_\_\_

Agency \_\_\_\_\_

Program \_\_\_\_\_

Function \_\_\_\_\_

Functional Subject Area \_\_\_\_\_

Activity \_\_\_\_\_

Introduction

The Justice System Improvement Study is examining activities within administrative service and support functions. This questionnaire will tap your professional knowledge to produce descriptive data about each activity within your function, based on seven organizational perspectives.

Organizational Perspectives

I. The first organizational perspective is impact and utilization. This perspective will determine the organizational level for which the activity is performed.

A. Please check the number that best describes the organizational level for which the activity is performed.

1. \_\_\_ Activity is performed for your program.
2. \_\_\_ Activity is performed for other programs in your agency.
3. \_\_\_ Activity is performed for someone outside your agency.

B. For whom is the activity performed, and where are they located?

II. The second organizational perspective is responsibility control. This perspective will determine the organizational level at which the primary decision to perform the activity is made.

A. Please check the number that best describes the organizational level where the primary decision is made to perform the activity.

1. \_\_\_ Decision making power lies in your program.
2. \_\_\_ Decision making power lies in other programs of your agency.
3. \_\_\_ Decision making power lies outside the agency.

B. Where, and with whom, does the decision making power lie to perform the activity?

III. The third organizational perspective is resource interdependency. This perspective will determine where the primary control of the resources needed to perform the activity is found.

A. Please check the answer that best describes where the primary control of the resources needed to perform the activity is found.

1. \_\_\_ The activity is dependent on someone outside your program for the resources needed to execute the activity.
2. \_\_\_ The resources needed to execute the activity are controlled in your program.

B. If you checked 2. on part III. A., please proceed to Part IV. If you checked 1. on part III.A., please answer the following questions: If the control of the resources is found in another program in your agency, who specifically has control? If the control of the resources is outside the agency, where, and with whom, are the resources controlled?

IV. The fourth organizational perspective is authority control. This perspective will determine what kind of authority controls the activity.

A. There are four possible sources of authority controlling operation of the activity. Please check the number indicating the source of authority that controls the activity.

1. \_\_\_ Statute requires that the activity be performed and located in your program/your agency.
2. \_\_\_ Minnesota Code of Agency Rules (MGAR) requires that the activity be performed and located in your program/your agency.
3. \_\_\_ Internal policies at the agency level require that the activity be performed and located in your program area.
4. \_\_\_ Activity performance is at the discretion of the program manager.

V. The fifth organizational perspective is priority. This perspective asks you to rank the activity's importance with respect to the purposes for which the function exists.

A. Please circle the number indicating the priority that you assign to the activity.

low priority		high priority		
1	2	3	4	5

B. If you would like, please explain the priority ranking given to the activity.

VI. The sixth organizational perspective is congruence. This perspective asks you to indicate whether the activity is consistent with the mission, goals, and objectives for which your agency exists.

A. Please circle the number which you feel indicates the degree of consistency between the activity and the mission, goals, and objectives of your agency.

not consistent			consistent	
1	2	3	4	5

B. If you would like, please explain the consistency ranking given to the activity.

VII. The seventh organizational perspective is appropriateness. This perspective asks you to indicate whether you feel the activity is located in its appropriate organizational position.

A. Please circle the number which you feel indicates the degree to which the activity is appropriately located.

not appropriate			appropriate	
1	2	3	4	5

B. If you feel that the activity is not located in its appropriate organizational position, where could its service best be performed?

C. What would be the result if the activity were no longer in existence?

JUSTICE SYSTEM IMPROVEMENT STUDY  
EXPENDITURE INFORMATION  
QUESTIONNAIRE

PERIOD: FISCAL 1980 -  
7/1/79 - 6/30/80

AGENCY:

EXPENDITURE: TOTAL AGENCY

BLOCK A: Total Agency Expenditures Broken Down  
by Program and Expenditure Category

Object Codes		AGENCY PROGRAMS						
EXPENDITURE CATEGORIES	Expenses & Contractual Services 1-2	0	Personal Services/ Salaries & Wages					
		10	Rents & Leases					
		11	Advertising					
		12	Repairs Services					
		13	Bonds & Insurance					
		14	Printing & Binding					
		15	Consultant Services					
		16	Professional & Technical Services					
		17	Data Processing & System Services					
		18	Purchased Services					
		20	Communications					
		21	Travel & Subsistence - In-State					
		22	Travel & Subsistence - Out-of-State					
		23	Utility Services					
		24	Care of Persons					
		25	Hospital Care					
		26	Freight and Express					
		27	Student Travel					
		29	Other Contractual Services					
	3	Supplies and Materials						
	4	Equipment						
	5	Real Property						
	6	Debt Service						
	7	Claims & Grants						
	8	Non-Expenditure Disbursements						
	9	Redistributed Expenses						
			TOTAL EXPENDITURES					

Identify Program:

(1) \_\_\_\_\_

EXPENDITURE: TOTAL PROGRAM

AGENCY PROGRAMS				

BLOCK B: Source of Revenues by Program

Source of Revenues	Portion of Total Expenditures from Federal Sources					
	Portion of Total Expenditures from State Sources					
TOTAL EXPENDITURES						

BLOCK C: Allocation of Total Expenditures by Program to Criminal Justice vs. Non-Criminal Justice Activities

Allocation of Total Expenditures to Activities	Portion to Criminal Justice Activities					
	Portion to Non-Criminal Justice Activities					
TOTAL EXPENDITURES						

BLOCK D: Number of Staff in Full-Time-Equivalents by Program

Number of Staff in F.T.E.	Managerial						
	Class-A: Professional						
	Class-B: Skilled Trades						
	CLASS C	Service					
		Technical					
		Office					
		Operative					
	Labor						
TOTAL F.T.E.							

EXPENDITURE: ADMINISTRATIVE SERVICE AND SUPPORT

FUNCTION:

BLOCK A1: A.S.S. Function Expenditures Broken Down by Program and Expenditure Category

Object Codes	AGENCY PROGRAMS				
EXPENDITURE CATEGORIES Expenses & Contractual Services 1-2	0 Personal Services/ Salaries & Wages				
	10 Rents & Leases				
	11 Advertising				
	12 Repairs Services				
	13 Bonds & Insurance				
	14 Printing & Binding				
	15 Consultant Services				
	16 Professional & Technical Services				
	17 Data Processing & System Services				
	18 Purchased Services				
	20 Communications				
	21 Travel & Subsistence - In-State				
	22 Travel & Subsistence - Out-of-State				
	23 Utility Services				
	24 Care of Persons				
	25 Hospital Care				
	26 Freight and Express				
	27 Student Travel				
	29 Other Contractual Services				
	3 Supplies and Materials				
	4 Equipment				
	5 Real Property				
	6 Debt Service				
	7 Claims & Grants				
	8 Non-Expenditure Disbursements				
	9 Redistributed Expenses				
	TOTAL EXPENDITURES				

**EXPENDITURE: ADMINISTRATIVE SERVICE AND SUPPORT**

**FUNCTION:**

AGENCY PROGRAMS				

**BLOCK B: Source of Function Expenditures by Program**

Source of Revenues	Portion of Function Expenditures Total from Federal Sources				
	Portion of Function Expenditures Total from State Sources				
	TOTAL EXPENDITURES				

**BLOCK C: Allocation of Function Expenditures by Program to Criminal Justice vs. Non-Criminal Justice Activities**

Allocation of Function Expenditures to Activities	Portion to Criminal Justice Activities				
	Portion to Non-Criminal Justice Activities				
	TOTAL EXPENDITURES				

**BLOCK D: Number of Staff in Full-Time-Equivalents by Program for Function Expenditures**

Number of Staff in F.T.E.	Managerial					
	Class-A Professional					
	Class-B Skilled Trades					
	CLASS C	Service				
		Technical				
		Office				
		Operative				
Labor						
TOTAL F.T.E.						

**EXPENDITURE: ADMINISTRATIVE SERVICE AND SUPPORT**

**FUNCTION:**

**BLOCK E: Allocation of the Criminal Justice Portion of the Function Expenditures by Agency Program to Sources of Impact Outside of the Agency**

		AGENCY PROGRAMS				
Direct to Local Government	Program Specific	Identify Program (1)				
		Identify Program (2)				
		Identify Program (3)				
	Non-Program Specific					
	Subtotal					

		AGENCY PROGRAMS				
Direct to State Government	Program Specific	Identify Program (4)				
		Identify Program (5)				
		Identify Program (6)				
	Non-Program Specific					
	Subtotal					

Criminal Justice Activities System-wide				
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TOTAL ALLOCATION				
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**BLOCK F: Allocation of Criminal Justice Portion of the Function Expenditures by Agency Program to Criminal Justice Line Functions**

		AGENCY PROGRAMS				
Criminal Justice Line Functions	Law Enforcement					
	Defense					
	Prosecution					
	Investigation					
	Corrections					
	Other (Identify) (7)					
	Non-specific/ System-wide					
	TOTAL ALLOCATION					

**Identify Programs:**

- (1) \_\_\_\_\_
- (2) \_\_\_\_\_
- (3) \_\_\_\_\_
- (4) \_\_\_\_\_
- (5) \_\_\_\_\_
- (6) \_\_\_\_\_
- (7) \_\_\_\_\_

**END**