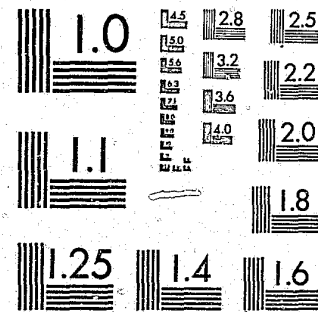


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United States Department of Justice  
Washington, D. C. 20531

11/02/82

**MANAGEMENT REPORTS**

ON

THE NEW YORK STATE  
DIVISION OF CRIMINAL  
JUSTICE SERVICES:

OFFICE OF PLANNING AND  
PROGRAM ASSISTANCE

OCTOBER 15, 1980

82014

ECONOMIC DEVELOPMENT COUNCIL  
OF NEW YORK CITY INC

**EDC**

# MANAGEMENT REPORTS

ON

THE NEW YORK STATE  
DIVISION OF CRIMINAL  
JUSTICE SERVICES:

OFFICE OF PLANNING AND  
PROGRAM ASSISTANCE

OCTOBER 15, 1980

U.S. Department of Justice  
National Institute of Justice

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Prepared by EDC  
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ECONOMIC DEVELOPMENT COUNCIL  
OF NEW YORK CITY INC

EDC

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SEP 23 1981

ACQUISITIONS

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## Introduction

In January, 1980, an EDC Task Force began field work to examine the management and operations of the Office of Planning and Program Assistance ("OPPA") of the State Division of Criminal Justice Services ("DCJS"). This work, pursuant to a detailed and approved workplan, was in addition to an extensive financial audit being carried out by Peat, Marwick, Mitchell & Co. for the years beginning January 1, 1975 through September 30, 1979.

In May, 1980 we prepared and sent to OPPA a recommended organization and staffing report assuming the agency's level of Federal anti-crime funding were to remain the same as in fiscal year 1980 and the Justice System Improvement Act of 1979 were to take effect. This report, in letter form, is found below at pp. 10-18.

After this assessment, the Federal funding for planning agencies and programs underwent a major upheaval. Confirming the worst possible assumption, there are to be no new block grants for criminal justice planning agencies or programs (outside of juvenile justice) after October 1, 1980. Reduction of grant activity, especially after January 1, 1981, will be drastic. It became necessary to recommend a sharply reduced OPPA organization and staffing based on the assumption that grant activity would phase out altogether in the adult criminal field. We thus prepared a wind-down staffing plan (see below pp. 1-9) which recommends when and where staffing reductions should be made.

We also prepared, in fulfillment of the management audit agreed upon in our work plan, a detailed report, including procedures, on each component of OPPA (see below, pp. 19-176). In planning for a diminishing role for OPPA, it is important to take into account which procedures will be eliminated, transferred or continued during the remaining life of OPPA.

Because of the continuing importance of fiscal administration, and the related financial audit being conducted by Peat, Marwick, Mitchell & Co., we have prepared a separate detailed report on fiscal operations at OPPA. Additional final reports are under preparation for various local criminal justice planning agencies.

Letter to William T. Bonacum, Deputy  
Commissioner, Division of Criminal  
Justice Services recommending a wind-  
down staffing plan for OPPA for the  
period October 1, 1980 through April 1,  
1982.



### Acknowledgements

I would like to acknowledge the assistance and cooperation of the Hon. Frank J. Rogers, Commissioner, New York State Division of Criminal Justice Services, William T. Bonacum, Deputy Commissioner, Marshall J. Richter, Principal Deputy Administrator, Morris Silver, Deputy Director, and each of the heads of the various components of the OPPA and other key members interviewed. This report was prepared with partial funding from the Division of Criminal Justice Services and with the donated services of on-loan executives to EDC -- Eugene Chanis (New York Telephone Company), Frank L. Kirkman (Mobil Oil Corporation), Donald C. Marz (Consolidated Edison Company), and Charles R. Vogt (New York Telephone Company). Charles V. Brock acted as special consultant.

This report and the findings and recommendations in it, have been prepared independently and not under the direction of any other private or public organization.

October 15, 1980

Richard. F Coyne  
Task Force Chairman





**ECONOMIC DEVELOPMENT COUNCIL OF NEW YORK CITY, INC.**

260 MADISON AVENUE NEW YORK, N.Y. 10016

(212) 949-0600

October 15, 1980

Mr. William T. Bonacum  
Deputy Commissioner  
Division of Criminal Justice Services  
80 Centre Street, 4th floor  
New York, New York 10013

Re: Final Report and Recommendations  
on OPPA Staffing and Organization

Dear Bill:

This letter and enclosures represent our final reports on the organization and staffing of the Office of Planning and Program Assistance (OPPA) of the State Division of Criminal Justice Services. These reports on OPPA result from the EDC Management Audit carried out in accordance with the workplan set forth in our contract with you dated March 7, 1980.

The enclosures set forth (1) an earlier recommended staffing and organization for OPPA based on an assumption that Federal funding would continue at Fiscal 1980 levels, (2) a detailed report containing a management assessment and documentation of procedures of each unit of OPPA (except Fiscal) and (3), because of the related fiscal audit of OPPA being undertaken by Peat, Marwick, Mitchell & Co., an extensive report on the OPPA Fiscal Unit. Other EDC reports on the New York City Criminal Justice Coordinating Council and the local criminal justice planning agencies in Nassau, Suffolk and Westchester Counties have been prepared under separate cover.

After reviewing your helpful comments on our August 5 draft wind-down plan for OPPA, we have outlined below a wind-down staffing plan, including recommended organizational structure and staffing, for OPPA, under the understanding that there will be no further LEAA block grant funding. Our plan takes into account the fact that, as of August 29, there were some \$8.0 million in unobligated 1979 and 1980 block grant funds available, but that a portion of these funds will be needed to cover OPPA and local administrative costs. We have also assumed a continuation of the juvenile justice grant funding program at the 1980 level of approximately \$5.0 million.

Exhibit 1 contains project workload projections for OPPA for the period October 1, 1980 through April 1, 1982, based on current workload and OPPA estimates of projected grant closeouts and new projects to be funded. We recognize

October 15, 1980

that the reduction in workload will occur gradually over a period of time rather than all at once. Therefore, we have included in our wind-down plan recommended organization and staffing as of three dates: January, 1981; October, 1981; and April, 1982.

We recommend an OPPA staff of 36 in January, 1981; 26 in October, 1981; and 16 as of April, 1982 to administer juvenile justice program funds and block grant fiscal book closeouts. A further reduction to 13 staff can occur after April, 1982 (see Assumption No. 12). These numbers are exclusive of staff who might be funded under special grants or from other sources. The recommended OPPA organization structure and staffing levels for each of the above three dates are attached as Exhibits 2, 3, & 4. Our assumptions and analyses are outlined immediately below:

Recommended Wind-down Staffing Plan  
Office of Planning and Program Assistance  
Assumptions and Analyses

1. No new LEAA block grant funding is made available for Federal Fiscal Year 1981 and beyond.
2. The Justice System Improvement Act of 1979 is suspended and any new grants funded from currently unobligated block grant funds will be administered under the present system. Primary responsibility for program coordination, monitoring, auditing and evaluation respecting current and new projects will continue to rest with OPPA.
3. The present level of JJDP grant funding of approximately \$5 million for New York State will continue in effect and there will be no changes in the system for administering these funds.
4. An annual plan will be required only for the juvenile justice funds. It is assumed that preparation of the annual plan can be handled by the Juvenile Justice Unit which in the past has prepared the juvenile justice component of the annual New York State Crime Control Plan.

October 15, 1980

5. The number of active projects, including juvenile justice projects, are projected to decline from 208 in July, 1980 to an estimated 119 by October, 1981, or a drop of over 40% in workload (see Exhibit 1). Continued project closeouts projected after October 1, 1981 will gradually reduce the active workload to an estimated 44 projects by April, 1982. This would represent a reduction of 79% in the number of active projects to be administered compared to July, 1980. Unless any of the October and December, 1980 CCPB projects are funded for more than 17 and 15 months, respectively, all of these 44 active projects as of April 1, 1982 would be juvenile justice projects.
6. A total staff of 16 positions is recommended for April, 1982 in Exhibit 4. However, Fiscal Section staffing can be further reduced from eight to five after block grant books are closed, leaving a final complement of thirteen staff to administer juvenile justice grants. (See Exhibit 4 and Assumption # 12).
7. The legal review requirements will decline sharply after contract preparation and approvals have been completed around March, 1981, for the October and December, 1980 CCPB grants awards. Thereafter, legal review will involve only juvenile justice projects at a rate of about 44 projects per year at present funding levels.
8. The position of Principal Deputy Administrator (Deputy Director) is recommended until April, 1982 based on the following assumptions:
  - It is expected that wind-down of the LEAA block grant program will increase required contacts by both the Director and Deputy Director with LEAA, local planning agencies, state agencies, grantees, NYS State Division of the Budget, and NYS Department of Audit & Control.
  - A significant amount of additional OPPA staff work has resulted from the financial audit of DCJS by Peat, Marwick, Mitchell & Co., including

Mr. William T. Bonacum

- 4 -

October 15, 1980

expected future contacts with LEAA related to the audit. This work requires the supervision, coordination, and involvement of the Deputy Director.

- A major percentage of OPPA's work during the wind-down period will be fiscally related, including fiscal close-outs, monitoring of remaining available funds, processing of required LEAA financial reports and communication with LEAA on financial matters. These activities will require the involvement of the Deputy Director.
- 9. Two associate auditors to conduct actual field financial audits of grants have been provided for through April, 1982 to carry out ongoing LEAA required financial audits of active grants, including juvenile justice grants. As of April, 1982, it is recommended that either the Associate Accountant or Senior Auditor in the Fiscal Section be trained to conduct field financial audits.
- 10. One Senior CJ Program Analyst has been provided for to perform and coordinate evaluation of juvenile justice projects and programs. This is based on the assumption that OPPA will have to continue to meet the LEAA requirement for evaluation of JJDP funded projects.
- 11. Central Services Section staffing recommendations assume that the recommendations which we made in our May 29, 1980 letter to you respecting telecopier equipment, the receptionist function, floor access, and library were implemented. We further assume that the substantially reduced OPPA staff and workload will enable the secretary to the Director to assume, as of April, 1982, functions now performed by the Associate Training Technician. This would include personnel administration, payroll, and purchasing. Remaining Central Services functions such as central files, reproduction, and the library would be assumed by the Juvenile Justice Technical Services Section.

Mr. William T. Bonacum,

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October 15, 1980

12. Further reductions in the Fiscal Section staffing can occur after April, 1982 once the books for all Federal Fiscal Year block grant funding have been closed out. At this point, assuming requirements to fiscally administer only the 44 juvenile justice funded grants (at an average of approximately \$100,000 per grant), Fiscal Section staffing can be reduced to five staff as follows:

- o 1 Associate Auditor (27) who would also serve as Section Head:
  - Bookkeeping, accounting, and cash management functions
- o 1 Head Account Clerk (18) and 1 Senior Account Clerk (18):
  - All remaining fiscal functions
- o 1 Senior Stenographer (09)
  - Filing and typing
- o 1 Associate Accountant (23) or 1 Senior Auditor (18) trained to carry out financial field audits of the estimated 40 juvenile justice grants.

13. Staffing recommendations do not reflect LEAA's requirement, which OPPA was just informed of, for a financial audit of fiscal year 1980 funds.

If you would like to discuss these recommendations in greater detail, or would like an oral presentation, please let us know.

Sincerely,

*Richard F. Coyne*

Richard F. Coyne  
Task Force Chairman

*Charles V. Brock, Jr.*  
Charles V. Brock, Jr.  
Senior Consultant

Enclosures



Exhibit 1  
10/7/80

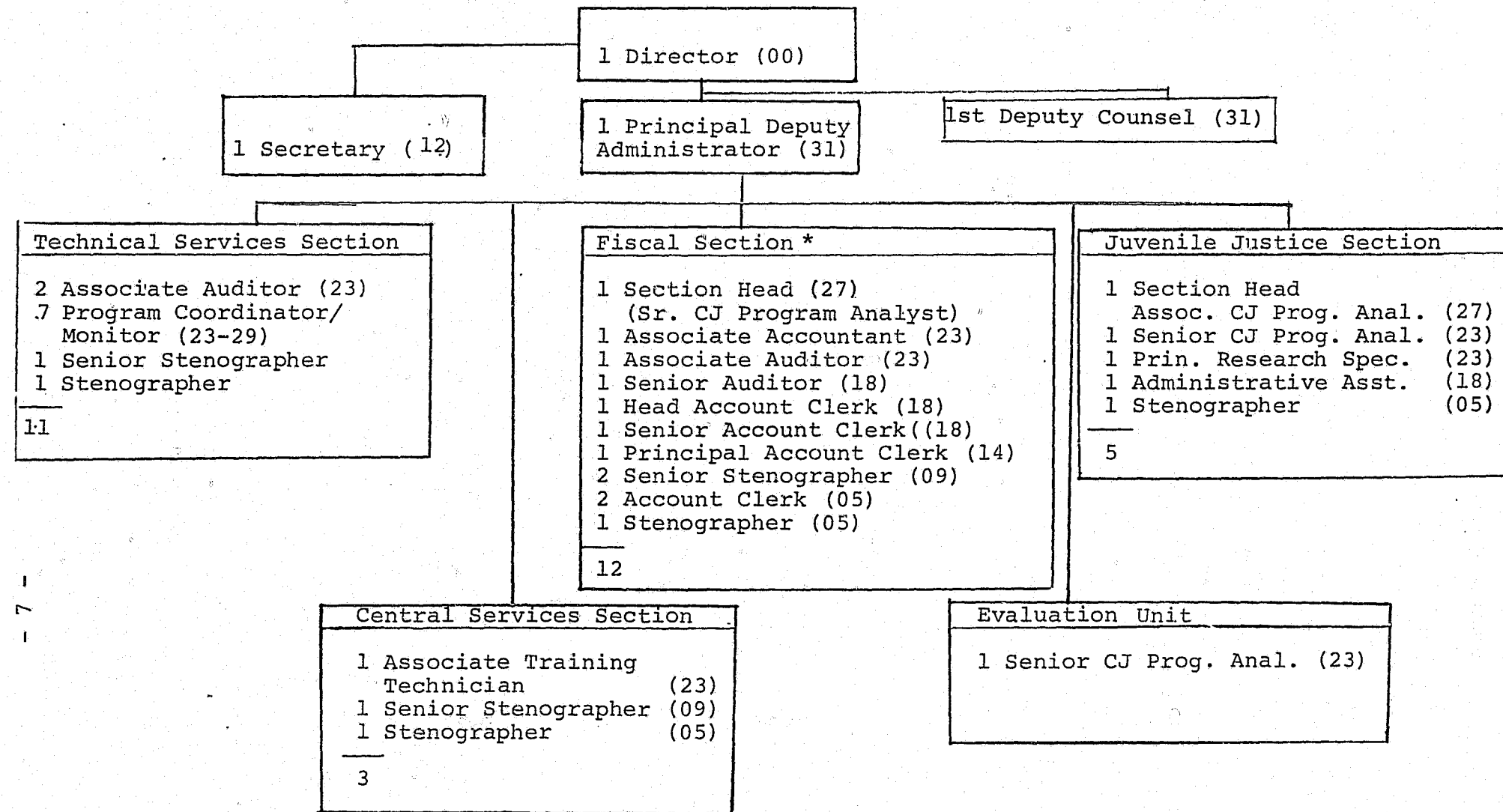
Projected OPPA Workload  
July 1, 1980 - April 1, 1982\*

● Active projects as of 7/1/80		208
Projects ending by 10/1/80	(49)	
September CCPB awards (actual)**	26	
● Estimated active projects as of 10/1/80		185
Projects ending by 12/31/80	(42)	
October and December CCPB awards	40	
New or refunded juvenile justice projects	11	
● Estimated active projects as of 1/1/81		194
Projects ending by 10/1/81	(108)	
New or refunded juvenile justice projects	33	
● Estimated active projects as of 10/1/81		119
Projects ending by 4/1/82	(97)	
New or refunded juvenile justice projects	22**	
● Estimated active projects as of 4/1/82		44

\*Based on OPPA report, State of New York Reprogramming Request for the Period October 1, 1980 through September 30, 1981 (December 31, 1981), dated August 29, 1980. (Note: Active project estimates as of 10/1/80 and later reflect actual September, 1980 CCPB project awards (26) in lieu of the estimated project awards (29) shown in the above report.)

\*\*Assumes that juvenile justice funding and projects approved remain at fiscal 1981 levels.

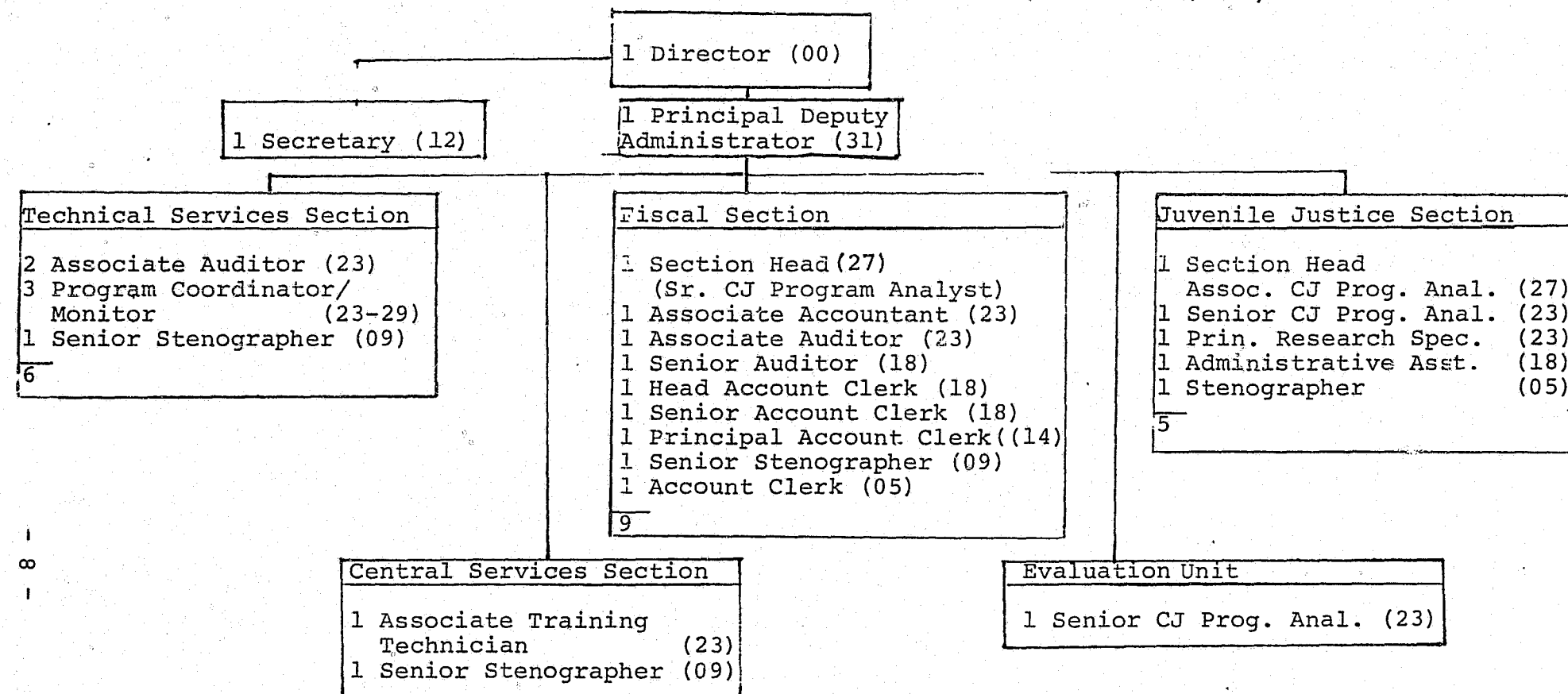
Exhibit 2  
Recommended OPPA Staffing  
January, 1981



Total Staff = 36

\* There may be a need for a part-time temporary typist in the Fiscal Section between January and March 1981 as October and December 1980 CCPB grant awards are being fiscally set up.

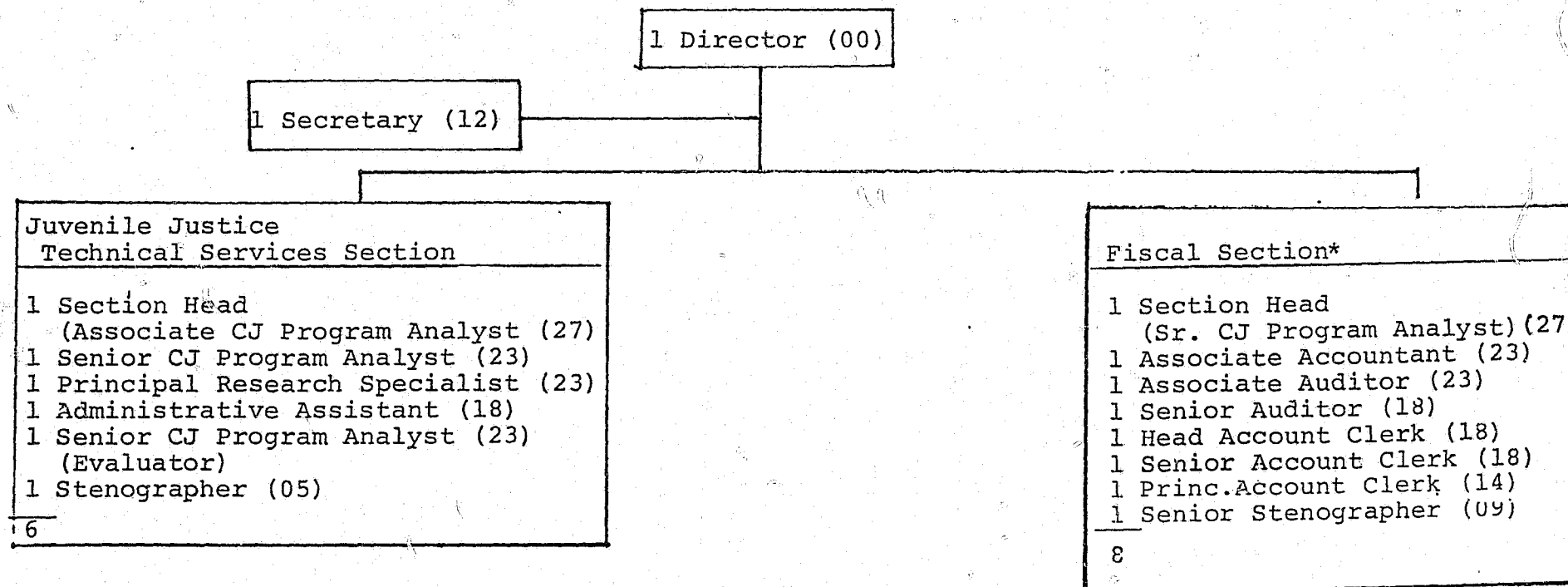
Exhibit 3  
Recommended OPPA Staffing  
October, 1981



Total Staff = 26



Exhibit 4  
Recommended OPBA Staffing  
April, 1982



\*Refer to Assumption No. 12 on page 4 for discussion of further reductions in Fiscal Section staffing beyond April, 1982.

Total Staff = 16 .

Letter to William T. Bonacum, Deputy  
Commissioner, Division of Criminal  
Justice Services recommending org-  
anization and staffing for OPPA as  
of October 1, 1980.



**ECONOMIC DEVELOPMENT COUNCIL OF NEW YORK CITY, INC.**

260 MADISON AVENUE NEW YORK, N.Y. 10016

(212) 949-0600

May 29, 1980

Mr. William T. Bonacum  
Deputy Commissioner  
Division of Criminal Justice  
Services  
80 Centre Street, 4th Fl.  
Room 428A  
New York, New York 10013

Dear Bill:

Because of the continuing uncertainty regarding the future of the LEAA block grant program, we will provide you with staffing and organization recommendations for OPPA under various alternative sets of assumptions. We have outlined below our draft recommendations, including assumptions, analysis, and organization structure, under the most optimistic alternative, which is based on no drastic reduction in LEAA funding and implementation of JSIA and the entitlement area format.

Future staffing and organization models, which we are now working on, will assume reduced levels of new LEAA grant funding or no new funding at all. We assume a continuation of the JJDP program, at present funding levels, under all alternatives, but are prepared to address the impact of future reductions to this program, if necessary.

We recommend an OPPA staffing level of 39 for October 1, 1980, exclusive of staff who may be funded under special grants or from other sources. This represents a reduction of 21 from the current level. The recommended OPPA organization structure, including recommended levels of staff (taking into account existing civil service grades) is attached as Exhibit 1. Our assumptions and analyses are outlined immediately below:

Recommended 10/1/80 Staffing Model #1  
Office of Planning and Program Assistance  
Assumptions and Analysis

1. There is no substantial reduction in 1981 LEAA funding from 1980 levels. This represents the most optimistic point of view regarding the future of the LEAA block grant program, but we cannot be certain that there will be program cuts until the federal budget is final.



Mr. William T. Bonacum

May 29, 1980

2. JSIA and the entitlement area funding format remains in effect. We assume that, unless notified otherwise, any money appropriated under this act would have to be administered in accordance with the requirements of the act.

3. The present level of JJDP grant funding remains in effect and there are no changes in the system for administering these funds.

4. Primary responsibility for program coordination, monitoring, auditing and evaluation respecting local entitlement area grants will rest with the local entitlement criminal justice planning agency. This is based on our analysis of the existing LEAA draft guidelines. We estimate that OPPA workload in these areas will be reduced by about two-thirds.

5. The current fiscal administration processing requirements remain substantially the same. Our analysis of both the draft LEAA guidelines for JSIA and the new draft Financial Management Guidelines, Circular M7100.B, indicates no major changes are contemplated in the manner in which funds are fiscally administered once they have been made available to entitlement areas. Recommended staffing reductions in the Fiscal Section are based on recommended organizational changes and other improvements.

If it is determined that the transfer will be permanent, the Acting Fiscal Section Head should also be upgraded based on assumption of greater operational and supervisory responsibilities.

6. The organization and staffing model recommended represents a streamlined approach, under austere budget conditions, for handling this expected significantly reduced workload assuming substantial delegation of functions and responsibilities to the local level under the entitlement program.

7. Reduced staffing, consolidation of remaining staff, and elimination of certain stand alone units or sections will reduce the number of required unit or section heads. At the management level, a deputy director position could also be eliminated. We recommend consolidating the program coordination, auditing, and monitoring functions into a single Technical Services Section, under a Deputy Director. The program coordination and monitoring functions would be carried out by the same staff as opposed to separate staff. As indicated above, their workload would involve only "balance-of-state" areas and state agencies. The Juvenile Justice Technical Services Unit would continue to handle grants individually on a statewide basis as a separate component within this new Section, with its own section head and secretary. The remaining eight staff in the unit, consisting of two auditors, five program coordinator/monitors, and

Mr. William T. Bonacum

May 29, 1980

one secretary would report directly to the Deputy Director rather than being organized into additional sectional areas, which we would not recommend for such a small staff. The Deputy Director might designate one of the auditors and one of the program coordinator/monitors as a "senior" person in each area.

Implementation of this recommendation, under present staffing and organization, would reduce the need for three unit heads (Monitoring, Law Enforcement, and Corrections). Recommendations regarding staffing titles are based largely on our assessment of the relative level of staff and the present mix of grade levels found in each area.

8. One senior stenographer and one senior clerk, currently funded out of the state purposes budget and not carried on OPPA staffing, will continue to be available to work in the OPPA Central Services Section as part of the recommended typing pool.

9. Two evaluators have been provided for under the assumption that OPPA will continue to have some direct, but limited, evaluation responsibilities under JSIA. The evaluators have been combined with three planners, a decreased number given reduced planning responsibilities under JSIA, to form a single Planning and Evaluation Section. Separate stand alone units could not be justified at the recommended level of staffing. We also felt that the consolidation was justified by the functional relationship between planning and evaluation.

10. Central Services Section staffing recommendations were based on the following analyses and assumptions. We recommend that the mailroom position (Typist) be transferred to a state-funded position since 75% of the mailroom activity is now related to non-OPPA work. The receptionist position (Mail and Supply Helper) should be eliminated by making the following changes, (1) move the telecopier equipment and the telephone pick-ups from the reception area into Central Services, only a short distance down the hall, and have the Senior Steno and/or Senior Clerk provide coverage and (2) provide floor access control by issuing door keys to all staff members and a door bell (responded to by the Senior Steno and/or Senior Clerk) for visitors. The librarian position (Principal Clerk) should be transferred to a state-funded position or, alternatively, the function should be assumed by the Technical Services Section staff.

Mr. William T. Bonacum

May 29, 1980

With more definite information concerning the future of the LEAA block grant program, and additional analysis, we hope to determine any further reduced staffing levels that may be warranted by corresponding cuts in the LEAA program.

We would like to have an opportunity to discuss these draft recommendations with you in greater detail.

Sincerely,

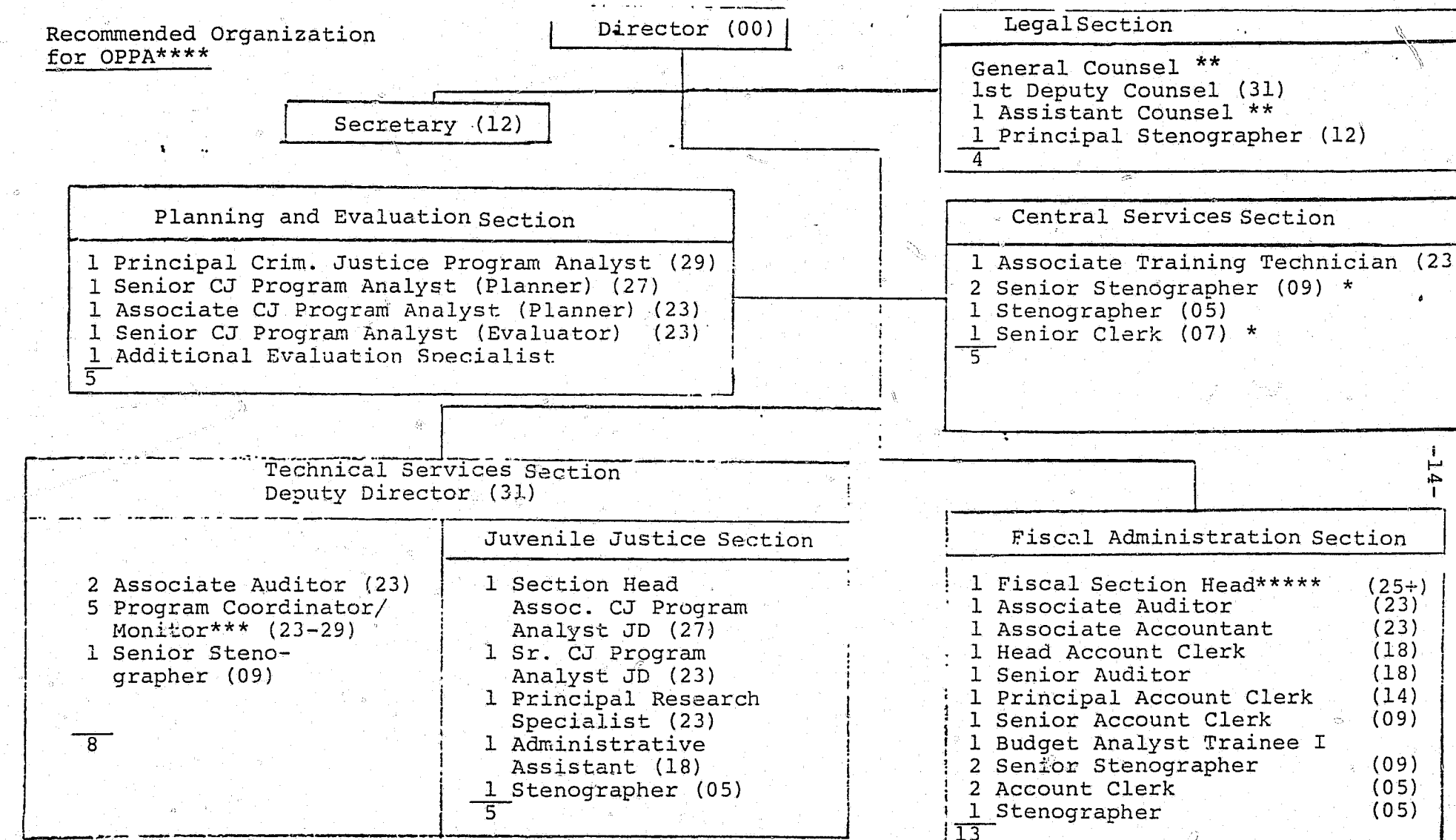
*Chuck Brock*

Charles V. Brock, Jr.

*Richard F. Coyne*

Richard F. Coyne

Recommended Organization  
for OPPA\*\*\*\*



\*One senior stenographer and the senior clerk are state funded positions.

\*\*These two positions are state funded.

\*\*\*These five positions would be filled from available staff from the existing Technical Services Unit (excluding Juvenile Justice staff) and Monitoring Unit. We cannot recommend specific titles for these five functional positions because existing titles assume performance by the incumbent of either program coordination or monitoring. However, we recommend that these positions be filled by qualified persons carrying existing staffing levels 23-29.

\*\*\*\*See Appendix 1 for comparison versus current staff.

\*\*\*\*\*Level to be determined by qualifications of appointee.

Exhibit 1



Current Staff as of May 9, 1980  
Office of Planning and Program Assistance  
Impact of Model #1 Staffing Recommendations

Code*	Position	Item No.	Level
<u>OPPA Management</u>			
A	Director	6000	00
A	Principal Stenographer (secretary)	6005	12
A	Deputy Director OPPA***	6100	31
C	Senior Stenographer (secretary)	6105	09
C	Executive Assistant to Commissioner **	6010	00
<u>Technical Services</u>			
A	Deputy Director	6200	31
A	Senior Stenographer (secretary)	6260	09
<u>Juvenile Justice</u>			
A	Associate CJ Program Analyst JD	6388	27
A	Senior CJ " " "	6258	23
C	Senior CJ " " "	6259	23
A	Principal Research Specialist 3 CJ	6262	23
A	Principal Research Specialist 2 CJ	6264	18
A	Stenographer	6219	05
<u>Law Enforcement</u>			
B	Associate CJ Program Analyst	6210	29
A	Senior Stenographer (Transfer to pool)	6159	09
<u>MRD</u>			
D	Principal CJ Program Analyst	6285	29
D	Assistant Chief CJP FADM	6360	27
D	Senior Stenographer	6207	09
<u>Corrections</u>			
B	Principal CJ Program Analyst	6240	29
B	Associate " " "	6241	27
B	Senior " " "	6242	23
A	Stenographer (Transfer to pool)	6250	05

\*Refer to attached appendix for explanation.

\*\*Recommend transfer to state-funded position.

\*\*\*Retention of this position might be justified if the Deputy Director OPPA assumes responsibility for supervision of the Fiscal Section.

Code*	Position	Item No.	Level
<u>Monitoring</u>			
B	Chief, CJ Program Monitoring	6270	29
B	Senior " " " Specialist-CP	6271	27
B	Senior " " " P	6272	27
B	CJ Monitoring Specialist (CP)	6273	25
B	CJ " " (CT)	6275	25
A	Associate Accountant	6277	23
A	Associate Auditor	6278	23
<u>Application Coordination (Planning)</u>			
A	Principal CJ Program Analyst	6150	29
A*	Associate " " "	6500	27
A*	Senior " " " (JD)	6501	23
A	Stenographer (Works in Fiscal Unit)	6119	05
<u>Evaluation</u>			
A	Senior CJ Program Analyst (Note: One additional evaluator position is recommended for OPPA funding.)	6152	23
<u>Fiscal</u>			
A	Senior CJ Program Analyst (Chief) *	6111	23
A	Senior Steno	6305	09
C	Head Account Clerk (Control Clerk)	6338	18
A	Account Clerk	6339	05
A	Budget Analyst Trainee I	6343	60
A	Principal Account Clerk	6346	14
C	Senior Account Clerk	6347	09
A	Head Account Clerk	6363	18
A	Senior " " "	6364	09
A	Associate Accountant	6367	23
A	Associate Auditor	6371	23
A	Senior Auditor	6375	18
D	Stenographer (Works in MRD)	6344	05
C	Stenographer	6361	05
A	Account Clerk	6369	05
A	Senior Stenographer (Carried under MRD)	9997	09
<u>Legal</u>			
A	Assistant Chief Legal Systems Analyst	6020	31
C	Associate Legal Systems Analyst	6225	28
C	" " "	6022	28
C	Stenographer	6235	05
A	Principal Stenographer	6031	12

\*Presently Acting Fiscal Section Head on loan from the Application Coordination Section. If the Deputy Director OPPA assumes responsibility for the Fiscal Section, the staff member occupying this line should be considered for one of the two recommended planner positions. If this staff member were retained, one of the two planner positions presently recommended would have to be eliminated.

<u>Code*</u>	<u>Position</u>	<u>Item No.</u>	<u>Level</u>
<u>Central Services</u>			
A	Associate Training Technician-CJ	6004	23
E	Principal Clerk	6312	11
E	Typist	6317	03
C	Senior File Clerk	6318	07
C	Mail-Supply Clerk	6320	03
C	Mail-Supply Helper	6322	01
S	Senior Stenographer	8453	09
S	Senior Clerk	8424	07

Code: Recommended 10/1/80 Staffing Mode #1  
Office of Planning and Program Assistance  
Impact of Staffing Recommendations

- A = Recommended position for OPPA administrative funding under 10/1/80 Staffing Model #1 for the Office of Planning and Program Assistance.
- B = It is recommended that the five program coordinator/monitor positions in the consolidated Technical Services Section be filled from the present 9 staff in these positions.
- C = These positions are recommended for elimination.
- D = Recommend continuing position if grant funds are available.
- S = State-funded positions.
- E = Recommend transferring to state-funded position.

Reports on Individual OPPA Sections & Units

-19-

PLANNING UNIT

A. Background

1. Purpose of unit

The purpose of this unit is to prepare the annual statewide comprehensive crime control plan and the annual planning grant application for submission to LEAA as required by the Crime Control Act of 1976, the Juvenile Justice and Delinquency Prevention Act of 1974, and LEAA regulations and guidelines.

2. Force as of 3/3/80

Shaw -	29	- Prin.C.J.Prog.Anal.	- Unit Chief
Bond -	27	- Assoc. " " "	- Asst. Unit Chief
Pellitier -	23	- Sr. " " "	- Program Planner
Messing -	23	- " " " "	- " "
Lesser -	14	- Asst. " " "	- " "
Vacant -	05	- Steno	- Unit Typist

3. Source of funds

Shaw, Pellitier, and the steno are funded under the Part B planning grant. Bond and Messing are funded under a separate reversionary Part B grant. Lesser is funded with state funds.

4. Functions of unit

% Time

a. Major functions

- |    |  |
|----|--|
| 25 | 1) Preparation of the annual statewide comprehensive crime control plan.   |
| 10 | 2) Preparation of the annual planning grant application.   |
| 10 | 3) Preparation of the OPPA section of the DCJS annual report to the Governor.  |
| 15 | 4) Preparation of the annual Crime Against the Elderly report. The third and final report, as originally requested by the Governor and the Legislature, was issued on September 30, 1979 |
| 10 | 5) Preparation of annual progress reports to LEAA.   |

% Time

- 15 6) Provision of technical assistance to local planning offices, state agencies, and OPPA staff in connection with criminal justice planning.

15 b. Other functions:

- 1) Prepare briefing papers for the Governor on criminal justice matters.
- 2) Provide OPPA liaison with New York State's members of Congress.
- 3) Assistance to the local planning offices in the preparation of their annual planning grant applications, preparation of the grant award contracts, and programmatic administration of the 21 planning grants.
- 4) Preparation of special reports as requested by the Commissioner.
- 5) Education of New York State's members of Congress in the area of criminal justice needs.
- 6) Develop various OPPA policies and procedures pertaining to the annual plan.
- 7) Coordinate the responses to audits and management studies of OPPA.

5. Special mandates/priorities

OPPA administers the grants program in conformance with guidelines established by the federal government and in accordance with policies and principles established by the CCPB. Summaries of the major policy statements and funding constraints are provided in section II of the comprehensive crime control plan for 1978 and as modified or expanded in section II of the 1979 and 1980 plans.

These major policy statements cover the following areas:

- Eligible grantees
- Matching requirements and buy-in
- Non-supplanting
- Refunding and maintenance of effort
- Review of applications by SPA
- Review of application and comment by others - the PNRS process
- Freedom of information
- Civil rights
- National Environmental Policy Act
- National Historic Preservation Act
- Relocation assistance
- Property inventory and management
- Procurement of goods and services
- Funding constraints relative to:
  - Capital construction
  - Arms and weaponry
  - Security and privacy
  - Surveillance equipment
  - Indirect costs
  - Stipends for persons in work training programs
  - Funding special prosecutors

6. Workload

- a. The preparation of the annual statewide comprehensive crime control plan involves input of annual comprehensive plans from 11 Metropolitan Planning Areas; annual priority memoranda from 4 Developmental Planning Areas, 6 Regional Coordinating Areas, and 19 State Agencies.
- b. The preparation of the annual planning grant application involves securing information from the 21 local planning offices concerning the membership of their CJCCs and displaying this information as attachments to the application. The application is a 29 page document (plus the above described attachments) describing the proposed OPPA planning budget, the allocation of planning funds to the local planning offices, membership of the CCPB, current OPPA professional staff, and a checklist of planning grant application requirement assurances.



c. The programmatic administration of the local planning grants involves:

- The receipt and review of 21 grant applications per year.
- The writing of 21 grant award agreements and one project summary each year.
- The receipt and review of 21 fiscal cost reports per month.
- The receipt and review of 84 quarterly progress reports per year.
- Visits and technical assistance to the 21 local planning offices as required.

These 21 planning grants are administered by two of the planners. The project summary, covering all 21, is presented to the CCPB by the unit chief.

7. Sources of work

Major sources of work are the 21 local planning offices and the state agencies.

8. Files and records

The normal Project Coordinator's files and records are maintained on the 21 planning grants.

9. Major reports and distribution

- a. Annual Statewide Comprehensive Crime Control Plan - (see 1023 for distribution).
- b. Annual Progress Report to LEAA - distributed to LEAA.
- c. Annual Crime Against the Elderly - (see 1064 for distribution).

10. Space, facilities and equipment

These appear to be adequate.

B. Analysis and recommendations

1. Organization

The unit is adequately staffed to carry out the present workload and the staff appear to be hardworking.

The proposed October 1, 1980 organization and staffing for OPPA would create a "steno pool" in Central Services. This pool would handle the typing work of this unit and thereby eliminate the vacant steno line in this unit.

As discussed under 3 below (Impact of JSIA of 1979) upon implementation of the JSIA, it should be possible to reduce the number of planners from 4 to 2. At that point, the unit would consist of a unit chief and 2 planners.

If LEAA funds are reduced to such an extent that an annual plan or an annual grant application is not required for LEAA programs, an annual plan might still be required for the juvenile justice projects under the JJDP Act. In such an event it should be possible for the Juvenile Justice Unit to write the annual juvenile justice plan (they presently write it and submit it to the planning unit for incorporation into the comprehensive crime control plan). This would practically eliminate all of the work of the planning unit and the unit itself.

2. Procedures

As documented in the procedures section of this report, the major activities of the staff in preparing various reports and documents involves research, compilation and analysis of information, and writing. Although there are no written procedures to describe the various functions, except the LEAA guidelines which describe requirements, the procedures as described by the unit chief appear to be adequate.

Although the JSIA requires the submission of a three-year grant application and annual revisions as required instead of a three-year crime control plan with annual action plans, the major activities of the staff remain the same. That is, they will still research, compile, analyze, and write. Two of the planners are presently developing guidelines to implement the new planning and application process.

3. Impact of JSIA of 1979

The new act permits each entitlement area to use up to 7.5% of its Part D allocation for administrative purposes and permits the state, at its discretion, to allocate a portion of their administrative funds (\$250,000 plus 7.5% of the Part D funds reserved for use by the state and balance-of-state areas) to balance of state areas for administrative purposes. Since no planning grant applications will be required, the following functions will be eliminated:

- The provision of technical assistance to the local planning offices in preparing their planning grant applications.
- The preparation of the annual planning grant application and its submission to LEAA.
- The preparation of the planning grant award contracts.
- The programmatic administration of the planning grants.

It would appear that the preparation of the three-year state application will require as much effort, at least for the first one for FY 1981, as the previous annual statewide comprehensive crime control plan. However, the annual updates to the three-year state application would appear to require a fraction of the effort as now expended on updates to the three-year annual plan.

The Act requires the preparation and submission of an annual report to the Governor and State Legislature. This appears to be a more involved and more comprehensive report than the one presently included in the DCJS annual report to the governor. It is estimated that this new report will require approximately two times the effort expended on the present report.

The net effect of these changes, plus the elimination of the crime against the elderly report, is estimated to be a reduction of one planner. Once the transition period is over and the provisions of the Act are implemented it should be possible to reduce the staff by another planner.

PREPARE ANNUAL STATEWIDE COMPREHENSIVE CRIME CONTROL PLAN

Unit Chief

1000. Review LEAA Guideline Manual M4100 which specifies the plan requirements.
1001. Review prior year plan and special conditions imposed by LEAA.
1002. Outline tasks to be performed, key dates, and staff assignments.
1003. February - Prepare and send letter to local planning offices and state agency planners requesting submission of their Priority Memoranda and Local Plans (priorities, needs, analysis, fund requirements) for the year being planned.
1004. Make assignments for the preparation of various sections of the plan to the staff and request the Juvenile Justice Technical Assistance unit to prepare the section "Juvenile Justice Needs Analysis and Program Plans" (section 7 of 1980 plan).

Staff

1005. Prepare and send letters to the Department of Correctional Services requesting various assurances and priorities and to the Division of Substance Abuse Services requesting assurances and information.
1006. April - Upon receipt of the information requested in 1005, write section "Special Requirements of the Crime Control Act" (section 6 of 1980 plan).

Unit Chief

1007. April - Receive 1 copy of Priority Memoranda and Local Plans from state agency planners and the local planning offices. Send to steno for copying and filing.

Steno

1008. Make 2 copies of Priority Memoranda and Local Plans. Send one copy to the OPPA Administrator, one copy to the Section Head, and file the original for use by the staff.

Staff

1009. Write section "Special Requirements of the JJDP Act" (section 8 of 1980 plan).
1010. Request the Technical Assistance, Evaluation, MRD, and Information Systems units to prepare their appropriate parts of section "Criminal Justice Needs Analysis and Plans" (section 5 of 1980 plan).
1011. Upon receipt of the information requested in 1010 and information contained in the Priority Memoranda and Local Plans, complete section "Criminal Justice Needs Analysis and Plans" (section 5 of 1980 plan).
1012. Prepare and send letter to the DCJS Office of Identification and Data Systems requesting crime statistics and data.
1013. April - Upon receipt of the information requested in 1012, write section "Crime and Arrests in N.Y. State" (section 3 of 1980 plan).
1014. Prepare and send letters to the DCJS Major Violent Offense Trial Program, DCJS Statewide Violent Felony Warrent Enforcement Program, and the Division of Substance Abuse Services requesting information and statistics.
1015. April - Upon receipt of the information requested in 1014 write section "The Adult Criminal Justice System" (section 4 of 1980 plan).

Unit Chief

1016. Based upon information contained in the Priority Memoranda and Local Plans and the expected action program funding level, write sections "The Planning and Program Development Process" and "Policies and Principles Affecting the Grants Program" (section 1 and 2 of 1980 plan).

Unit Chief and Staff

1017. Based upon information contained in the Priority Memoranda and Local Plans and information included in sections "Criminal Justice Needs Analysis and Plans" and "Juvenile Justice Needs Analysis and Program Plans" (sections 5 and 7 of 1980 plan), write "The Annual Action Plan" (section 9 of 1980 plan)

Steno

1018. The steno types the various sections of the plan.

Unit Chief

1019. Proof-read and revise the draft plan
1020. Late July - Submit the draft plan to the local planning offices, state agency planners, the CCPB, the State Legislature (Speaker of the House, Majority Leader, and Budget and Control), and LEAA for review and comments. A copy is also sent to the Fiscal section for their use.
1021. September CCPB meeting - Formally present the draft plan to the Board for their comments and approval.
1022. Revise the draft plan as required and add any special conditions imposed by LEAA. A letter is received from LEAA approving the plan subject to these special conditions.
1023. Late November - Arrange for printing 2000 copies and distribution of the final plan. Copies are distributed to:

LEAA  
local planning offices  
state agency planners  
libraries  
colleges and universities  
interested citizens

REALLOCATION OF FUNDS IN ANNUAL STATEWIDE COMPREHENSIVE CRIME CONTROL PLAN

Unit Chief

1024. The Unit Chief is notified by the Fiscal Administrator or by LEAA that a reallocation of funds specified in the annual statewide plan is required. These funds are reallocated from one program area, e.g., A-1, A-2, etc., to another program area.
1025. Discuss with OPPA Administrator.
1026. Prepare cost sheets, justification rationale, and cover letter.

Steno

1027. Type the documents.

Unit Chief

1028. Submit to OPPA Administrator for review, approval and submission to LEAA for approval.

1029. Upon receipt of approval from LEAA, advise the Fiscal Administrator.

Note: The annual statewide plan is an estimate of the number of and the dollar amount of expected grants by program category. When the actual grant applications are submitted to OPPA they may not track the estimate. Therefore, reallocations are usually required about 3 times per year.

PREPARATION OF PLANNING GRANT APPLICATION

Unit Chief

1030. Review prior year's planning grant application.

1031. Review special conditions imposed by LEAA.

1032. Determine from LEAA, the amount of funds available for planning purposes.

1033. Make assignments to staff.

Staff

1034. Review prior year's planning grant application.

1035. Request the following data from the local planning offices concerning their CJCC .:

members name  
city of residence  
employment  
representative of state, local, or private  
representative of police, courts, etc.

1036. Request information from the Fiscal Administrator concerning the estimated budget for OPPA and the local planning offices by standard category (personnel, travel, etc.) and by functional category (planning, grants management, auditing, etc.,)

1037. Prepare the various sections of the grant application and send to the steno.

Steno

1038. Type the grant application.

Unit Chief

1039. Review, edit, and revise.

1040. Submit to OPPA Administration for review and submission to LEAA.

1041. A letter is received from LEAA approving the grant application.

NOTE: This planning grant application covers the OPPA and the local planning offices planning funds.

PREPARATION OF THE OPPA SECTION OF THE DCJS ANNUAL REPORT TO THE GOVERNER (DISCONTINUED UNLESS REQUESTED AGAIN)

Unit Chief

1042. Discuss with and receive direction from OPPA Administrator

1043. Review prior year report.

1044. Outline what is to be covered and make assignments to staff.

1045. Request Technical Assistance, Evaluation, Fiscal, and Monitoring units to submit a report of their accomplishments for the year under report.

Staff

1046. Write assigned sections and send to steno.

Steno

1047. Types sections and send to Unit Chief.

Unit Chief

1048. Receive reports from staff, Technical Assistance, Evaluation, Fiscal, and Monitoring units.

1049. Review, revise, and combine into the final report format for the OPPA section.

Steno

1050. Type the final report.

Unit Chief

1051. Submit the report to the OPPA Administrator for review and submission to the DCJS First Deputy Commissioner, L. Cotrona, who combines all of the DCJS sections and arranges for the printing and distribution of the report.

PREPARATION OF THE ANNUAL "CRIME AGAINST THE ELDERLY" REPORT (DISCONTINUED UNLESS REQUESTED AGAIN)

Unit Chief

1052. Review state law for report requirements.

1053. Outline what is required and make assignments to staff.

Staff

1054. Request information from the local planning offices re. activities in their areas concerning crime against the elderly, programs, accomplishments, etc.

1055. Upon receipt of written information from the local planning offices, assess and use as input.

1056. Assess DCJS activities in this area.

1057. Write draft report and send to steno.

Steno

1058. Type draft report

Unit Chief

1059. Review, revise and send to OPPA Administrator for review and comment.

1060. Revise as required

1061. Send draft to CCPB for review and comment.

1062. Make formal presentation to CCPB and receive the Board's approval.

1063. Revise as required.

1064. Arrange for printing and distribution to:

LEAA  
N.Y. State Congressman  
Local Planning Offices  
N.Y. State Office for the Aging  
The Governor  
N.Y. State Legislature  
plus others

NOTE: The third annual report issued on September 30, 1979 is the final report to be issued unless it is again requested by the Governor and/or Legislature.

PREPARATION OF ANNUAL PROGRESS REPORT TO LEAA

Unit Chief

1065. Review fiscal ledger of projects by FFY and make list of projects funded for the FFY under report.

1066. Make assignments to staff.

Staff

1067. Review prior annual report to determine format and contents.

1068. For the projects under report, review board summaries, monitoring reports, and performance reports.

1069. Write progress report and send to Steno.

Steno

1070. Type progress report

Unit Chief

1071. Review, revise, and send to OPPA Administrator for forwarding to LEAA.



TECHNICAL ASSISTANCE AND PLANNING GRANTS ADMINISTRATION  
(EXPECTED TO BE ELIMINATED UNDER THE JSIA)

Unit Chief and Staff

1072. Provide technical assistance to the local planning offices in preparing their planning grant applications. Some of the applications are several pages in length while others are complete grant applications.
1073. Write the grant award contracts for the planning grant applications received from the local planning offices.
1074. Review monthly fiscal cost reports and quarterly progress reports received from the local planning offices for their planning grants.
1075. Review and process GAL's received from the local planning offices for their planning grants.
1076. Provide technical assistance to the local planning offices and the state agency planners in the area of annual plan and priority memoranda development.
1077. Develop procedures and guidelines for plan development.

PREPARATION OF CRIMINAL JUSTICE BRIEFING PAPERS FOR  
THE GOVERNOR

Unit Chief

1078. Requests for briefing papers are received from the First Deputy Commissioner, L. Cotrona, via the OPPA Administrator.
1079. If a local planning office is involved, call the office for information.
1080. Accumulate information and data from within OPPA/DCJS and write the paper.

Steno

1081. Type the briefing paper

Unit Chief

1082. Submit the briefing paper to the OPPA Administrator for submission to the Governor via L. Cotrona.

NOTE: These briefing papers are usually required on short notice. This of course causes problems, e.g., drop everything else and prepare the briefing paper.

CONGRESSIONAL LIAISON WITH N.Y. STATE'S U.S. CONGRESSMEN

Unit Chief and Staff

1083. After each CCPB meeting, prepare a cover letter and send the appropriate board summaries to each Congressman.
1084. Respond to Congressmen for list of projects in their districts. Make copy of list, prepare cover letter, and send to Congressmen. One request every 2 to 3 weeks.
1085. Respond to special request from Congressmen, e.g., "What is N.Y. State doing in the criminal justice area of X?" Research, gather necessary information from within DCJS, local planning office, and state agencies as required and prepare response.

Steno

1086. For each of the above, type the response.

Unit Chief

1087. Visit and coordinate flow of information to Congressmen in connection with their support of the LEAA program.

# Research and Evaluation Unit

## A. Background

### 1. Purpose of the Unit

This unit administers the two primary Systems Support Programs for the state's Plan of Programs and Projects funded by LEAA Part C grants to improve the criminal justice system.

- a. G-1A Intensive Evaluation Program
- b. G-1B Performance Evaluation
- a. Through the Intensive Evaluation Program, funds are provided to support individual grants to local governments and state agencies for an in-depth evaluation of a small number of high priority programs to determine the effects on crime problems and the degree of transferability of the program to other localities.
- b. Through Performance Evaluation, the DCJS evaluates the performance of all projects funded by the Crime Control Planning Board through quantitative measurement of results achieved. Both types of evaluations are carried out by evaluators on the staff of local planning agencies or by subcontractors.
- c. Discretionary grant funds available for evaluation programs having a national priority are also administered by the Research and Evaluation Unit, and carried out by staff evaluators or subcontractors. There are currently five active Discretionary Evaluation Grants, e.g., 3 TASC grants (Treatment Alternatives to Street Crime).
- d. Statewide Performance Evaluation questionnaires to measure quantitatively the aggregated results of projects of similar types in the state are being designed and tested by this unit. This effort is still in the formative stage.

### 2. Work Force as of 2/4/80

McGovern, T	Chief, Research & Evaluation Unit	G-29
Treilib, H	Secretary	G-9
Wilker, L.	Associate Research Analyst	G-27
Scott, J	Senior Program Analyst	G-23
Baxi, Dr. Hari	Senior Criminal Justice Evaluation Specialist	G-23
Kilfoyle, M	Criminal Justice Evaluation Specialist	G-18
Vacant	Criminal Justice Evaluation Specialist	G-18

## 3. Source of Funds

- a. The unit's funds for salaries of its personnel are provided under an Action Grant of Part C funds called "Evaluation Staff Enhancement". Present funding was due to expire 3/31/80; however, at the time of the EDC field work the Unit Chief anticipated an extension of funding to October, 1980. The Division of Budget has indicated that they will not approve any new grant funding for the unit.
  - This unit is not included in the Part B administrative funds for OPPA, except for the Senior Program Analyst on loan to the unit from OPPA.
- b. The current administrative budget of the unit - \$192,000 - is one of the "Performance Evaluation" grants received by DCJS. The other twelve such grants support evaluators in local government units or state agencies. The personnel of the unit administer all of the evaluation grants, "Intensive", "Performance", and "Discretionary". However, they do not actually perform evaluations, but rather act as project coordinators and monitors for such evaluation grants.
- c. The Unit Chief currently plans an administrative budget for 1981 of \$250,000 based on anticipated salary levels of current authorized personnel. No justification of need for continuing such staffing under JSIA was offered.

## 4. Functions of the Unit

% Time  
85%

### a. Major Functions

1. Reviewing applications and administering grants to localities and state agencies for "Intensive" and "Performance" evaluations.
  - The current "Intensive" projects will be completed and terminated by June 1980.
  - One new six-month project to evaluate witness intimidation has been approved for V.S.A of N.Y.C.
  - In addition, for the first time the unit is contemplating an "In-House" six-month evaluation of Juvenile Aid Bureaus.
  - Essentially, "Intensive" evaluations are being phased out because the new JSIA does not require them and the unit chief believes that experience has shown them to be totally unproductive.
  - "Performance" evaluations will continue, but almost all will be performed by the Entitlement areas with no administration required by DCJS under JSIA.

% Time

10%

2. The unit chief believes that their new effort on statewide Performance Evaluations through questionnaires filled out by individual project chiefs will form the bulk of the unit's workload in 1981 and beyond. This program is not fully tested as yet, however the JSIA of '79 calls for annual statewide performance evaluations, and the unit believes this method will be useful in fulfilling the requirement.

5%

b. Other Functions

1. Prepares the segments of the State Plan (now Application) pertaining to its major functions.
2. Maintains bidder's list of qualified subcontractors for government grants for evaluations based on past successful performance by such bidders.
3. Provides technical assistance to OPPA personnel on many aspects of grant administration.

5. Special Mandates/Priorities

- a. LEAA requires approximately 75% of Part C and 66.7% of JJDP funding grants to pass through to local units of government. Under JSIA funds will go directly to Entitlement areas according to formula.
- b. Juvenile Justice projects shall receive at least 19.15% of grant funds for "maintenance of effort".
- c. Commissioner requires that 8 to 12 page "executive summaries" of Final Progress Reports on "Intensive" evaluations be prepared for the Crime Control Planning Board, since these tend to be voluminous reports of about 100 pages or more.
- d. Under the JSIA Act of 1979, annual Performance Evaluation reports to LEAA will be required covering all LEAA projects in the state.

6. Workload

- a. Receives and reviews on average 10 new applications a year, of which 20% are not approved and/or are aborted.
- b. Closes completed evaluation projects, approximately 3 per year on average, 9 in 1980.

c. Unit is currently administering 26 projects grants:

- 12 Part C grants to localities to support personnel to conduct Performance Evaluations on individual projects.
- 9 on-going Intensive Evaluation grants.
- 5 LEAA Discretionary Grant project evaluations.

- d. All 9 Intensive Evaluation projects will end and be closed (Final Report) by June 1980, and only one new project is proposed, except for the "in-house" six-month project under consideration.

- e. Personnel of the unit have been spending 85% of their time on the administration and monitoring of Intensive and Performance Evaluation grants, which will virtually all disappear as of 1981 into Entitlement area grants. (Most projects are expected to be of "Proven successful" types with no requirement for intensive evaluation.)

- f. Eleven of the twelve Part C grants to localities for Performance Evaluation will become part of the Entitlement Area Part D block grants in 1981.

- g. Unit has developed several statewide Performance Evaluation questionnaires, but has not completed any analyses.

7. Sources of Work

- a. 75% of present Intensive Evaluation projects are based on applications received from local units of government. 25% involve applications from state agencies.
- b. Performance Evaluation funding is 71% for local units of government, and 29% funds the staff of this unit for all administrative functions.

8. Files and Records

- a. File on each evaluation grant by DCJS Number.
- b. File of Board Summaries of evaluation projects.
- c. File of Monitor Reports on evaluation projects, including closed files.
- d. Personnel files.

- e. General administration files.
- f. Log of Fiscal Cost Reports on evaluation grants due and received.
- g. Log of Progress Reports due and received.
- h. Log of Contracts.
- i. Log of Budget Amendment Requests for their evaluation projects.
- j. Solicitation list (bidders)
- k. Unit library

9. Major Reports and Distribution

	<u>Number Per Year</u>		<u>To</u>
	<u>1979</u>	<u>1980 (est.)</u>	
a. Board Summaries of evaluation grant applications	27	3	C.C.P.B.
b. Contracts for evaluation grants	27	3	Control Unit
c. Executive Summary of Final Progress Reports on Intensive evaluation	4	9	C.C.P.B.
d. List of Performance Evaluation Reports on individual projects	1	1	DCJS
e. Statewide Performance Reports on aggregate of similar type projects	0	4	LEAA DCJS Local Units of Government

10. Space, Facilities, Equipment

- a. Unit has more than adequate space in two large rooms for staff of six.
- b. Facilities are adequate.
- c. Equipment. Reportedly the unit plans to request approval of a computer terminal to prepare statewide Performance Reports because of the backlog at the Statistical Analysis Center in Albany.

B. Analysis and Recommendations

1. Impact of JSIA Act of 1979

- a. With the anticipated formation of Entitlement areas responsible for evaluation, it is expected that:
  - All subgrants for performance evaluators will disappear into the Entitlement Area grants, except the grant to this unit for balance of state and state agencies.
  - Intensive evaluations, now being phased down, will largely disappear except for occasional projects with no proven record of success.
- b. Future funding levels and workload of the unit are not yet clear, however, "system support" funding will disappear.
  - The first responsibility of the unit will be to meet State's requirement to assure that evaluations are performed.
  - Unit expects this may require it to verify, perhaps by audit, that entitlement areas are performing evaluations properly.
- c. Performance evaluations based on quantitative measurements are required under the JSIA Act.
  - Unit has developed some of the needed questionnaires for a computerized information system on funded projects required to produce aggregated Performance Evaluation Reports and the first batches are awaiting computer analysis at S.A.C. Albany.
  - Additional questionnaires for corrections, Police, and Victim Services projects are planned to be developed.

2. Organization

- a. The present organization includes one program analyst and one part time evaluation specialist who are on loan from other OPPA units to replace two of three vacancies in the unit. With this augmentation the unit is adequately staffed to handle the present workload through September 1980. Beyond September the workload will change, with primary emphasis on statewide performance analyses of similar type projects.

b. As of the time of EDC's field work in early March, the present staff was expected to be funded through 1980, and the plans were to request increased funding for current staff level (\$250,000) for 1981. However, we understand that the Division of the Budget will not approve grant funding for this unit for another year.

c. Recommendations

To meet the minimum LEAA Guideline Requirements of the state for evaluations of State Agency and Balance of State projects should not require the present staff of six. These minimum requirements could be met with a staff of two to three people. However, the degree of effort required to "assure" that required evaluations are performed by Entitlement areas is not clear. A more efficient organization would be to incorporate the evaluation function into the present Planning Unit dispensing with a separately funded Evaluation unit.

3. Procedures

The present workflow has evolved from the past emphasis on intensive evaluations. The product of these evaluation projects is the Final Progress Report, containing 100 pages on average, assessing the degree to which the project under study is meeting its objectives, the degree of transferability of such projects to other localities and the desirability of institutionalizing the project as an on-going part of the criminal justice effort in the locality.

The unit is now closing out all 13 intensive evaluation projects and plans only one new six-month evaluation project, except for a possible "in-house" project. Performance evaluations will be carried out by the Entitlement areas. The present Workflow A below will therefore change to the Workflow B below, involving the statewide performance evaluation of similar projects in the aggregate through the use of project questionnaires which produce statistics for measuring performance. Added to this Workflow will be the requirement to assure that Entitlement areas are carrying out their responsibilities.

The new LEAA Guidelines require an annual Performance Report. In addition to the measurements planned by the questionnaire technique, this report will need to draw on the Statistical Analysis Unit for crime rates, types of crime, juvenile treatment, by locality and in total.

A review of Workflow B tends to lead to the conclusion that a separate unit is not necessary to carry out this effort. The individuals involved could report into another unit, such as the Planning Unit, who would have responsibility for preparing the state application and the Annual Performance Report.



EV. Unit - Present Workflow

A. Intensive, Performance and Discretionary Evaluations

6001. Unit chief determine the content of evaluation programs for the next budget year.

- Reviews existing program and projects.
- Consults with own staff, local government units (MPA's), and State Agencies.

6002. Unit chief determine proposed funding levels for next budget year based on:

- Estimated percentage of total state grant to be made available for evaluations. (3½%)
- Percentage of the 3½% for local governments (75%)
- Funds required for continuation of existing programs and projects.

6003. Prepares annual evaluation budget providing for priority programs and projects.

6004. Consults with OPPA Director and DCJS Commissioner on budget level.

6005. Prepares application to Crime Control Planning Board for evaluation unit grant for administrative funding.

6006. Reviews grant application with OPPA Director and Commissioner of DCJS.

6007. Receives approval by Commissioner of evaluation program budget for local government and state agency evaluation projects.

6008. Unit chief advises local government units and State agencies of funding available for evaluation projects and requests submission of applications for new and/or continuing projects.

- This involves meetings and/or phone consultations with potential applicants.

6008A. Unit chief advises of other federal grant funding available from time to time.

6009. Project Coordinators (analysts) receive "concept" papers from applicants for new projects describing proposed evaluation projects. May be for intensive performance or discretionary evaluation grants on individual projects.

- Usually these are based on meetings and discussions with potential applicants.
- Some may be turned down or postponed.

6010. Project coordinators (Lou Wilker or Joyce Scott) review and comment on "concept papers."

- Problems of method, funding, etc., may be discussed with Unit Chief.
- Problems are discussed with applicant in person and/or phone and revised draft requested incorporating changes or additions.

6011. Project coordinators receive and review revised "concept" papers from applicants if needed.

- These may be discussed with Unit Chief.
- Applicant is advised to prepare application.

6012. Project coordinators receive evaluation applications for funding or refunding for review and "shaping" as necessary.

- Problems may be discussed with unit staff and/or Unit Chief.
- Applicants may require revision by applicant.
- Statistical plan is reviewed by Dr. Baxi, Senior Criminal Justice Evaluation Specialist.

6013. Project coordinators prepare draft of "Board Summary" of the application for presentation to Crime Control Planning Board according to approved format.

6014. Unit chief reviews Board Summaries and discusses (if needed) revisions with project coordinators.

6015. Project coordinators prepare draft of proposed contracts and submit to Legal and Fiscal Units for prior review and approval as to form and conformance to funding rules.

- 6016. Juvenile Justice projects are presented to Juvenile Justice Advisory Board for comment prior to submission to CCPB.
- 6017. Board Summaries are submitted to CCPB.
- 6018. Unit chief presents Board Summaries to CCPB and acts as project coordinator to answer any questions at subsequent meeting of the Board where projects are approved.
- 6019. Where project is to be carried out by third-party consultant, an R.F.P. (Request for Proposal) is prepared (usually by Project Coordinators) and sent to Bidder's list, or a "sole source" contractor is selected after consultation with unit chief.
- 6020. For "sole source" contract, prior approval is secured from LEAA and State Audit Board by letter drafted by P.C. and signed by Administrator.
- 6021. Bid proposals are received and reviewed by project coordinators and selection is made.
  - May involve discussion with unit chief and/or others on unit staff.
- 6022. After approval, contracts with successful bidders or with applying unit or agency are prepared and sent to OPPA Director for signature. (Operations unit sends to applicant for signature, then forwards to State Attorney General and to Audit Department.)
- 6023. All bidders are notified by letter of selection made, usually by project coordinator.
- 6024. When contracts are returned, a signed copy with approved contract number is sent to each applicant or successful bidder by project coordinator.
- 6025. Grantee files a workplan in first month of project with the unit.
  - Project coordinator reviews and may discuss with unit chief.
- 6026. Fiscal cost reports are submitted to the Fiscal Unit, who send copies to evaluation unit on their projects.
- 6027. Project coordinators log in fiscal cost reports and review to make sure reports are on time and within budget.

- 6028. Project coordinator regularly follows up with subgrantee on phone and/or in person to monitor progress and assist with problems, such as lack of cooperation by project being evaluated.
  - o Some evaluation projects are held up and start late due to inefficiency at local level.
  - o A few projects are aborted -- due to lack of staff or a change of mind at local level.
- 6029. Progress reports should be submitted to project coordinator on schedule. Three per project are required: First, Interim, and Final.
  - o Project coordinator follows up if not received.
- 6030. Interim reports are reviewed by unit staff and program is discussed with grantee and with unit chief.
  - o Statistical report section is reviewed by Senior Criminal Justice Evaluation Specialist.
- 6031. Consultations continue between the project coordinator and grantee on the progress of the evaluation study.
- 6032. Budget amendment/extension may be submitted by subgrantee (see Exhibit 1.) to extend project or change budget.
- 6033. These are reviewed by unit chief and processed by unit staff through Fiscal Unit.
- 6034. Unit chief updates budget status summary log when budget amendment/extensions occur to ensure that funding levels are maintained within evaluation budgets.
- 6035. Final progress report is submitted within 2 months after contract end date.
  - o Project coordinator may advise grantee of need for timely submission.
- 6036. Project coordinator reviews final progress report and prepares comments for revisions or additions. (Week or more.)
- 6037. Revised final progress report is reviewed by project coordinator with the unit chief.
- 6038. Project coordinator prepares draft of Executive Summary of the Final Report for submission to CCPB.

- 6039. Unit chief reviews Executive Summary and forwards to the grantee and/or evaluator for comment.
- 6040. Final draft of the Executive Summary is forwarded to CCPB, and to Juvenile Justice Advisory Board if they are involved.
- 6041. Final fiscal report is reviewed to be sure Project ended within budget. (10% held back is used only with smaller nongovernmental units.)
- 6042. List of all Performance Evaluation Reports on individual projects is sent to DCJS personnel so they may order copies if interested.
- B. Statewide Performance Evaluation Via Quarterly Questionnaire for all Projects
- 6043. Associate Research Analyst reviews literature, surveys projects, groups by type, prepares models.
- 6044. Meets with technical personnel, local evaluators and planners. Develops theoretical model, designs questionnaire and instruction packages by type of project for test by local units.
- 6045. Trains local units to use statewide performance questionnaires.
- 6046. Receives, checks accuracy and analyzes completed test questionnaires.
- 6047. Reviews analysis with statistical specialist (Dr. Baxi).
- 6048. Revises questionnaire and designs final package for local unit use.
- 6049. Quarterly questionnaires are mailed to local units with instructions.
- 6050. Local performance evaluator provides questionnaire to Project Chief for completion each 3 months.
- 6051. Unit staff maintains log of projects and status of questionnaires due from each.
- 6052. Completed questionnaires are checked and edited by analysts and logged as received. If errors, sent back for revision or completion.
- 6053. Analysts code questionnaires for computer card key punch and "error run" by Statistical Unit in Albany.

- 6054. Error run is returned to unit for checking.
- 6055. Computer computation is ordered. Small data projects are manually processed by analysts.
- 6056. Associate Research Analyst prepares report based on computations and forwards to Unit Chief and OPPA Director for review. /First drafts of two reports have been prepared but no reports have been issued./
- 6057. Questionnaires will be revised as needed, based on results, by Associate Research Analyst.

Submit In Triplicate To: New York State Division Of Criminal Justice Services 270 Broadway - 5th Floor New York, New York 10007	BUDGET AMENDMENT/ GRANT EXTENSION REQUEST			1. GRANTEE		2. CONTRACT NO.			
				3. IMPLEMENTING AGENCY		4. DCJS PROPOSAL NO.			
	5. TYPE OF REQUEST <input type="checkbox"/> BUDGET REALLOCATION <input type="checkbox"/> BUDGET INCREASE <input type="checkbox"/> GRANT EXTENSION			6. PROJECT TITLE					
	7. DATE OF REQUEST		8. DATE OF LAST APPROVED REQUEST		9. PROJECT DURATION: FROM / / TO / /		10. REQUESTED NEW TERMINATION DATE		
11. REQUESTED BUDGET AMENDMENT									
CATEGORY	A. APPROVED PROJECT BUDGET			B. PROPOSED TRANSFERS			C. REQUESTED OPERATING BUDGET		
	FEDERAL (DCJS)	CASH MATCH	OTHER MATCH	FEDERAL (DCJS)	CASH MATCH	OTHER MATCH	FEDERAL (DCJS)	CASH MATCH	OTHER MATCH
A. PERSONNEL				FBDP:	CBGP:	SBGP:			
B. FRINGE BENEFITS				FBDY:	CBGF:	SBGF:			
C. CONSULTANTS				FBCI:	CBCC:	SBCC:			
D. EQUIPMENT				FBCI:	CBCE:	SBCE:			
E. SUPPLIES				FBCS:	CBPS:	SBPS:			
F. TRAVEL				FBDY:	CBGT:	SBGT:			
G. RENT				FBDY:	CBGT:	SBGT:			
H. ALTERATIONS				FBDY:	CBGT:	SBGT:			
I. ALL OTHER				FBDY:	CBGT:	SBGT:			
J. SPECIAL MATCH				FBDY:	CBGT:	SBGT:			
TOTAL				FBDY:	CBGT:	SBGT:			
FOR DCJS USE ONLY									
DISPOSITION OF REQUEST: <input type="checkbox"/> APPROVED <input type="checkbox"/> DENIED <input type="checkbox"/> APPROVED WITH CONDITIONS				CONTRACT AMENDMENT NUMBER		12. CERTIFICATION			
FOR THE DIVISION OF CRIMINAL JUSTICE SERVICES: _____ (SIGNATURE) (DATE)						FOR GRANTEE _____ (SIGNATURE) (DATE)			
						FISCAL OFFICER _____ (SIGNATURE) (DATE)			
/MSUB / TRAN: SGBAR / TYPE: / FSYS: / FDYR: / SGNO: / BARD: / RNTD: / C									

Exhibit 1

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TECHNICAL ASSISTANCE SECTION:  
LAW ENFORCEMENT UNIT

A. Background

1. Purpose of the Unit

To coordinate and administer grant projects involving Law Enforcement, such as police, arson, crime prevention in localities and communities through community based organizations and local agencies. Also provides technical assistance on discretionary grant projects.

2. Force as of 3/10/80

Sy Eisdorfer	- Supervisor Enforcement Unit
Joe Moore	- Assoc. Criminal Justice Analyst
Mike Farrell	- Senior Criminal Justice Analyst
Muriel Jensen	- Secretary

3. Source of Funds

The unit is funded from OPPA administrative funds. The unit has also obtained Discretionary grant funds covering the Associate Criminal Justice Analyst to provide assistance respecting a new arson prevention coordination effort and to conduct seminars to help localities coordinate fire, police, and community efforts to first prevent and then recoup from results of arson. The Senior Criminal Justice Analyst is state funded.

4. Functions of the Unit

% Time

- |    |    |  |
|----|----|--|
| 75 | a. | Project coordination of projects by state agencies and localities. Unit is administering 65 projects currently, of which 5 are discretionary grant projects that take little time. Reportedly about 5 proposed projects are turned down each year.   |
| 15 | b. | Reviewing Discretionary grant applications and progress reports, and carrying out the \$100,000 Arson Prevention project in-house through seminars held around the state.  |
| 10 | c. | Miscellaneous functions, such as helping NYC with application for federal funds to handle the Democratic Convention, replying to requests from agencies or localities for information on police work in specific areas, helping counties and localities to consolidate law enforcement efforts, ie: combining sheriff and police departments in Westchester County (Note: This was the only such attempt). |



5. Special Mandates or Priorities

None of special nature, except for the requirements of the Discretionary grant.

6. Workload

- a. 65 current projects administered, including 5 discretionary grants.
- b. 12 discretionary grants to review or prepare application for.
- c. 1 in-house discretionary grant.

7. Sources of Work

85% involved with localities  
5% involved with State Agencies  
10% involved with discretionary grants.

8. Files & Records

- a. Own project files in steel file cabinets.
- b. Small library of bulletins, books on crime prevention and arson.

9. Major Reports and Distribution

- a. Quarterly Progress reports to LEAA on in-house discretionary grant.

10. Space, Facilities, Equipment

More than adequate.

B. Analysis & Recommendation

1. Organization

The present organization is adequately staffed to carry out the present workload, and does not appear to be at all overloaded with work. In 1981 at least 70% to 75% of the current project workload will be carried out by autonomous Entitlement areas with no coordination required by DCJS.

2. Recommendations

The future workload of the unit could be carried out by one specialist rather than three as presently constituted.

3. Procedures

The present procedures are essentially the same project coordination as is carried out by other units of Technical Services. However, the unit is staffed by former Police Department personnel and, as specialists, they serve as consultants to other agencies, counties, and localities on many aspects of police work. Also, for discretionary grants in the law enforcement area, LEAA awaits review and comments from this unit prior to final approval. This should and will no doubt continue to be a responsibility of this unit.

4. Impact of JSIA

As in the case of the Research & Evaluation and certain other units, Discretionary grant funds are currently used by DCJS to fund the salaries of one or more members of a unit. In the Law Enforcement unit, three members share the workload and perform the same functions, except that the two more experienced men spend part of their time carrying out Arson seminars around the state to fulfill the Discretionary grant that pays one man's salary and travel expenses. This grant will be concluded by 1981. Also in 1981 the autonomous Entitlement Areas will no longer submit projects to the DCJS for board approval. With only state agencies and Balance of State projects to handle, one project coordinator and a part time secretary should be able to fulfill this unit's role.

It should be noted that the person handling the discretionary grant is spending two thirds of his time as a project coordinator.

We have recommended consolidation of existing Technical Services units into a single Technical Services Section, with fewer staff in light of expected reduced workloads. Staff would be chosen from the present units.

INFORMATION SYSTEMS UNIT

A. Background

1. Purpose of the Unit

Development of Criminal Justice Information Systems master plan for the State of New York. Coordination of the funding, processing, implementation and monitoring of Information System Projects.

2. Force as of 2/26/80

<u>Name</u>	<u>CS</u>	
Penn, John	SG27	Assistant Chief - Criminal Justice Program Fiscal Administration (Information Systems Specialist)

Reports to: Morris Silver, Deputy Administrator, OPPA.

3. Source of Funds - State Payroll. No federal funding.

4. Functions of Unit

a. Major Functions

- I. 15% development of Criminal Justice Information Systems Master Plan for the State of New York.
- II. 75% coordination of the funding, processing, implementations, and monitoring of Information System Projects.

b. Other Functions

- I. 5% providing technical advisory assistance to other DCJS units on Information Systems related grants.
- II. 5% providing special reports as required.

5. Special Mandates/Priorities

- a. There are no Special Mandates.
- b. The priorities of the unit are:
  - I. Bringing grant applications before the CCPB within 90 days of reception.
  - II. Processing Grant Adjustment (GA-1) forms.

6. Workload

- a. General. There are about 36 projects which are currently active. Thirty of these are under direct control. Six are under control of other units e.g.= juvenile justice, arson, adjudicatory.

<u>Annual Workload Activity</u>	<u>Number</u>
Grant Applications received	23
Programmatic and fiscal reviews	23
Review memoranda prepared	23
Project summaries prepared	19
Recommendations written to LEAA for discretionary grants	4
Grant Awards made and contracts written	17
Request for proposals screened	2
On site monitoring visits made	24
Fiscal Cost Reports reviewed	360
Quarterly Progress Reports reviewed	68
Grant Adjustment Requests reviewed	39
User Meetings attended	5
Final Reports received. Close-out Reports issued.	30

7. Sources of Work

Work is received from applicants, other units, and various agencies seeking information. It takes the form of telephone inquiries, letters and official forms.

8. Files and Records

All Information Systems projects are filed by DCJS Number (Chronological according to the initial one received). A file is kept in the unit on every job whether active or inactive. No log is kept in unit. Follow-ups for quarterly reports which are late are done informally.

Records of monthly fiscal reports are kept on index cards. On site monitoring visits are not made according to any schedule, but on an "as required basis." A record is kept

in unit. No record of visits after 1979. Some visits have been made by monitors, but no record is available in unit. Record of GA-1 forms is kept on index cards -- not formal.

9. Major Reports

	<u>Issued To</u>
a. Quarterly Project Status Report (Issued quarterly)	M. Silver
b. Status of Grant Awards Report (Issued bi-monthly)	M. Silver
c. Project Site Monitoring Form (Issued as required)	M. Silver, Monitoring Unit & Central File
d. Information Systems Section of Crime Control Plan (Issued annually)	OPPA
e. Annual Report. (Issued by DCJS)	Public
f. Governor's Monthly Report (Issued by DCJS)	Governor

10. Space, Facilities & Equipment

Space, facilities and equipment are adequate.

B. Analysis and Recommendations

1. Organization

a. General

The Information Systems part of the Technical Services Unit is a one-man operation. The incumbent, Mr. John Penn, handles most of the applications for computer-related grants. At the present time, however, there are computer related grants which are now being handled by other technical services units.

An example of this is the grant for Rochester Arson Detection and Awareness (DCJS No. 2813). It calls for the creation of a computerized information system which would contain voluminous arson-related data. It is handled by the Law Enforcement Unit.

It is recommended that close coordination be carried out among the Control Clerk who assigns the applications to the proper technical services unit, the Information Systems unit, and whatever other technical services unit might be involved such as Law Enforcement, Corrections, Adjudicatory, etc. Close cooperation with continuous exchanges of information should take place among these groups.

b. Special

Establishment of a permanent Criminal Justice Information Systems Advisory Committee.

We recommend the establishment of a permanent Criminal Justice Information Systems Advisory Committee. The Advisory Committee would keep all criminal justice agencies across the state informed concerning the development of new applications and enhancements to existing systems. The Committee would be responsible for keeping the Master Plan document up-to-date regarding the development and enhancements of criminal justice information systems applications.

2. Procedures

The work which is now being done by the unit is carried out in a very informal manner. There are very few logs or ongoing follow-up records. We recommend that standardized logs and records be kept for all major activities such as applications received, grant awards made, monitoring visits completed, etc.

3. Impact of JSIA of 1979

The impact of the JSIA of 1979 on the Information Systems unit is not fully known at this time. About 85% of the current active grants are for State Agencies. The rest is for Counties which will probably become entitlement jurisdictions. However, since this is a highly technical and complex area, a central point for state-wide coordination should continue to exist.

Appendix 1 - Procedures

- Preliminary contact.
- Grant application received by unit.
- Programmatic review by unit to check out procedures, feasibility, conceptual design, etc.
- Fiscal review by unit to check reasonableness of cost figures, salaries, equipment, etc.
- If discrepancies are encountered, reshaping of the application takes place. It consists of discussions, visits, etc. with the proposed grantee.
- Prepare in house Review Memorandum.
- Project Summary is prepared.
- Project is presented to the CCPB. Unit keeps itself available for answering questions.
- Grant Award is made. Contract is written by unit and is then routed to Legal, Fiscal, Reproduction. Sent to Grantee for signature. Returned to local unit, then to Albany Department of Law. On to N.Y.S. Audit & Control. Signed by State Controller. Contract Number assigned by Controller. Copy sent to grantee.
- Request for Proposal is (RFP) is screened by unit for the grantee.
- Grantee must start within 90 days.
- Grant is monitored continuously by unit.
- Fiscal cost reports are received and reviewed each month.
- Quarterly progress reports are received and reviewed. Discrepancies are investigated.
- Grant Adjustment Requests are received for re-allocations, over-spending, etc. These are checked out.

- On site visits are made as required.
- User meetings are attended. Technical assistance is provided. Example: CIRCLE meetings. Coordination is stressed at these meetings.
- A final fiscal, quarterly and inventory report is received. A Close-Out report is issued by unit.

Appendix 2 - Job Description

INFORMATION SYSTEM MANAGER, Government Agency located in NYC. Experienced, qualified in criminal justice information/computer systems; design/implementation of information/computer systems, including feasibility studies, evaluation/generation of systems specifications, development of test data, systems testing, pilot projects and post-installation follow-up.

TECHNICAL ASSISTANCE SECTION:  
CORRECTIONS/PROBATION UNIT

A. Background

1. Purpose of Unit

Assist units of general local government and State agencies to prepare applications for funding consideration by the Crime Control Planning Board. Analyze the applications to determine their appropriateness and compatability with the State and local (MPA) plans. Shape the applications and present to Board with recommendation. Prepare a summary for presentation to the Board.

2. Force as of 2/26/80:

	<u>C.S. Job Level</u>	<u>Civil Service Job Title</u> <u>"In-House" Job Title</u>
McClean, V.	29	Principal Criminal Justice Program Analyst "Chief of Corrections/Probation Unit"
Ford, A	27	Assoc. Criminal Justice Program Analyst "Program Analyst"
Salem, T.	23	Senior Criminal Justice Program Analyst "Program Analyst"
Vacant	5	Secretary

3. Source of Funds

The unit is fully funded by OPPA Administrative Funds.



4. Functions of Unit

a. Major Functions

% of Time Dedicated  
to Function

Major Functions

- |    |  |
|----|--|
| 40 | 1. Analysis of applications  |
| 5  | 2. Preparation of review memoranda on each application for in house review |
| 10 | 3. Preparation of Board Summaries  |
| 5  | 4. Presentation to Board and defense thereof                               |
| 10 | 5. Preparation of contract (Grant Award)                                   |
| 10 | 6. Process requests for post-grant award adjustments                       |
| 5  | 7. On-site monitoring  |
| 3  | 8. Review of progress reports  |
| 4  | 9. Review of monthly fiscal cost reports                                   |
| 3  | 10. Close-out activities   |

b. Other Functions

% of Time Dedicated  
to Function

Other Functions

- |   |   |
|---|---|
| 2 | a) Technical assistance to Planning Unit in preparation of State Plan                                     |
| 2 | b) Provision of Technical Assistance to Corrections community and Public at Large (telephone and letters) |
| 1 | c) Serve on panels, etc.  |

5. Special mandates/Priorities

According to Guideline Manual M4100.1F, the mandates for Corrections Program Funding, as required by LEAA, are as follows:

- SPA must detail its comprehensive program for construction and renovation of correctional institutions, and assure that correctional programs meet certain advanced standards, and assure no reduction in Part C funding for corrections. (This means that 20% of Part D funds must be used to satisfy federal maintenance-of-effort obligations in corrections).
- SPA must include in plan a description of existing funded project to recruit and train correctional personnel and meet advanced standards for personnel.
- SPA must assure community based emphasis.
- SPA must include narcotic and alcoholism treatment.
- SPA must provide complete monitoring of progress in improving correctional system.

Priorities of Unit

- #1 - Preparation of material for bi-monthly board meetings
- #2 - Preparation of contracts
- #3 - All other work

<u>6. Annual Workload</u>	<u>Number</u>
Applications received and reviewed	56
Board summaries prepared and presented to the CCPB	42
Contracts written	42
Grant adjustment forms reviewed	100
On site monitoring visits made	24
Progress reports received and reviewed	172
Monthly fiscal reports received and reviewed	720
Close-out reports issued	25

There are approximately 60 active projects at this time.

7. Source of Work

Work is received from applicants, state agencies (Division of Parole, Department of Correctional Services, Commission of Corrections) and the general public. It takes the form of telephone inquiries, letters and official forms.

8. Files, Records and Logs

A file is kept in the unit which contains documents which pertain to each project. The records are filed by DCJS number only. There are no separate logs for applications, board summaries, monitoring visits, grant adjustments or close-outs for the unit as a whole. However, the individual Project Coordinators keep various logs of their own on an informal basis.

9. Major Reports

- Monthly Governor's Report - Issued by DCJS to the Governor.
- Annual Report - Issued by DCJS.
- Inputs to Crime Control Council for 1979 JSIA plan.
- Quarterly Status Reports - Issued by Unit to M. Silver
- Status of Grant Awards Report - Issued by Unit to M. Silver.

10. Space, Facilities and Equipment

Space, facilities, and equipment are adequate. Each of the three members of the group has a desk with an individual partition. The Secretary is seated at the entrance to the room.

B. Analysis and Recommendations

1. Organization

The present organization operating under the present law (until 10-1-80) is properly structured to provide technical assistance to the grantees in the corrections/probation field. However, the unit head only supervises two analysts and one secretary. This unit may be a candidate for merger with another one such as Law Enforcement.

2. Procedures

A standardized system of logging and recording should be put into place in the unit. All routing information should be incorporated into these logs such as the dates of reception of work items, completion of the items and forwarding of the items to another unit. Although most of the records can be kept in the Central Files, it is important to be able to know at a glance what the status of a job is - therefore the logs are indispensable.

Charts should be kept indicating the status of the on-site monitoring visit program in terms of objectives and accomplishment. Separate logs should be kept for applications received, grant adjustments in process and close-outs. These data would be especially useful to accommodate ongoing compliance audits.

3. Impact of JSIA of 1979

Although the full impact of JSIA is not known at this time, it is felt that, as money flows directly through to the entitlement jurisdictions, they would write projects against the money they have. Unit would make an assessment of each project which would be for commentary only.

Since DCJS must approve of the overall funding plan of the grantee, the majority of the work effort would take place at the planning stage as the fundamental plan is being organized for approval.

Following this, DCJS might have a relatively minor role in the implementation and monitoring of projects. Therefore, staff reductions and consolidation of the Corrections/Probation unit with other technical services units appear as EDC recommendations elsewhere.

Corrections/Probation

Appendix 1

Procedures

1. Receive application for grant. Review. Discuss with applicant.  
Questions which must be answered:
  1. Is problem being identified?
  2. Is problem resolvable?
  3. Will objectives and tasks remedy the problem?
  4. Is documentation complete?
  5. Is budget within reason?
2. Prepare review memoranda for in-house review. Reviewed by unit chief and staff. Discussed with technical chief and deputy commissioner.
3. Prepare board summary. Follows rigid format. Review with supervisory and administrative staff.
4. Present project to Board. Be prepared to interpret project and answer any questions.
5. Have contract ready on day of board meeting. Answer any questions from fiscal or legal units.
6. Receive and review GA-1 forms which are requests for grant adjustments (increases, decreases, extensions, re-allocations) make recommendations.
7. Complete on-site monitoring visits as required.
8. Review progress reports from grantee concerning project implementation.
9. Review monthly fiscal reports. Analyze to determine under or over-spending.
10. Follow-up to ensure that a complete final report is received containing an equipment inventory report. Issue close-out report.

APPENDIX 2 - JOB DESCRIPTIONS

I. PRINCIPAL CRIMINAL JUSTICE PROGRAM ANALYST SG-29

a) Duties

Under the direction of the Administrator of Planning and Program Assistance, provides overall administration and direction for all activities relating to LEAA funded grants within a geographic region or a designated area of responsibility.

Directs and supervises all professional and clerical staff assigned to a team.

1. Trains personnel in the proper interpretation and application of existing policies and procedures.
2. Assigns work within the team to ensure an even distribution of workload and the most effective utilization of talents and experience.
- 2a. Provides leadership and guidance to team members in evaluation of grant proposals, identification of problems and most effective means of addressing those problems and the appropriate funding levels.
3. Evaluates performance of individual members of the team and provides guidance, counsel or training as required.

Reports to the Administrator of Planning and Program Assistance on the current status of all assigned programs and provides accurate and complete analyses of problems and potential problems with recommended course of action.

1. Provides required written reports on a timely basis.
2. Evaluates severity and implications of all developing situations and where warranted, makes immediate verbal reports.
3. Confers with the Deputy Administrator with respect to remedies available and makes additional information available as required.
4. Implements decided upon course of action.

Carries out liaison with other Unit Heads in matters relating to Fiscal, Legal and Planning considerations.

1. Final review of all program and budget modifications with Fiscal Officer.

2. Coordinates activities of staff with House Counsel to insure contract compliance.
3. Liaison with Planning Unit to develop local criminal justice program to insure continuity.

Directs and supervises the review and evaluation of:

1. project and monitoring reports and insures corrective action where necessary.
2. Analyzes and evaluates all final reports and authorizes closing out of projects.

Provides interpretation and classification of existing policy for assigned DCJS personnel as well as local government officials and representatives of the private sector.

1. Evaluates existing policy in the light of current and past activities and where appropriate, recommends changes modifications or reinterpretations.
2. Maintains current knowledge of activities in the criminal justice field to be abreast of developments, new directions being proposed and activities in other jurisdictions.
3. Assures the responsibility for the overall review and approval of local plans.

Coordinates all applications to be presented before the Crime Control Planning Board.

1. Final review of all program and budget elements of applications.
2. Makes final policy recommendation on all applications based on staff review and plan requirements.
3. Presents all applications for approval to the Crime Control Planning Board.
4. Final review of all contracts.
5. Maintains coordination with other Bureaus and offices within DCJS as well as the LEAA Regional Office.
6. Prepares Corrections/Probation section of New York State Comprehensive Crime Control Plan.
7. Reviews local and State agency Crime Control Plans.

#### b) Qualifications

Minimum qualifications for the position of Principal Criminal Justice Program Analyst include a Bachelor's Degree and seven years experience and the following knowledges, skills, and abilities to effectively function:

Knowledge of: LEAA and DCJS goals, objectives, and guidelines in depth in order to administer a specific unit or program area, provide guidance to subordinate staff and other key DCJS personnel in that area of responsibility, and make administrative decisions and policy judgments.

The criminal justice system in great depth so as to be able to maintain constant contacts and liaison with state, local and private agencies concerned with program areas within the system, meet with government and non-profit agencies as DCJS representative, and participate in the coordination of various statewide program efforts.

Administrative and management principles in order to provide leadership within a specific program area and effectively delegate responsibility within this area.

Skill: Assumption of broad developmental and operational responsibility within the specific program.

Ability to: Create sound and innovative programs after an analysis of current deficiencies, needs and priorities.

Skill: Effectively dealing with a broad range of people

Ability to: Respond to inquiries from prospective grantees, members of the public and local officials with promptness and authority.

Skill: Effective communication both in written and oral form.

Ability to: Participate in meetings and seminars as the DCJS representative, implement policy decision within the program area, and direct staff in carrying out program development activities.

Skill: Effective administration of a program area.

Ability to: Review and monitor the work of subordinate staff, plan and coordinate unit responsibility in keeping with overall organizational objectives, and give direction to staff in the area of professional development.



## II. ASSOCIATE CRIMINAL JUSTICE PROGRAM ANALYST, SG-27

### a) Duties

Under direction provides administration and supervision of grant activities in a specific area such as the Upstate Team or have statewide responsibility for a specialized area such as Juvenile Delinquency.

Directs and supervises all professional activities within assigned area of responsibility.

1. Trains and advises assigned personnel in the proper interpretation and implementation of established policies and procedures.
2. When assigned to team responsibility, carries out assignments of work among team members to effectively utilize staff.
3. Directly supervises grant application, evaluates contract preparation and administrative processes within a team or, when responsible for a specialized area, provides direction and counsel in that area to professionals within and outside the agency involved with plans and projects within the specialty.
4. Evaluates or assists in evaluation of performance of assigned personnel.

Supervises monitoring of all grant program activities within assigned area of responsibility to provide required and necessary progress reports, analyses of problems and recommended corrective measures.

1. Reviews required written reports on a timely basis.
2. Evaluates severity and implications of all developing situations and where warranted initiates corrective action.
3. Confers with the team leaders and implements action as directed.

Carries out liaison with local criminal justice planners to provide advice and assistance in matters relating to the application for or administration of crime control programs.

1. Meets with local governmental and other interested parties and explains program requirements.
2. Works with officials of agencies and jurisdictions applying for grants and provides technical assistance in the preparation of grant proposals.

Directs and supervises the preparation of contracts.

1. Reviews all contracts for conformance with LEAA and DCJS requirements.
2. Coordinates the review of grant awards with other units within DCJS.

Directs and supervises the review and evaluation of interim and final project reports.

1. Responsible for insuring contract compliance.
2. Final review of budget and program modifications.
3. Recommends program changes based on review of project reports.

Provides interpretation and clarification of existing policy for assigned DCJS staff and clients.

1. Assists in evaluation of existing policy in the light of current and past activities and where appropriate recommends changes, modifications or reinterpretation.
2. Maintains current knowledge of activities in the criminal justice field to be abreast of developments, new directions being proposed and activities in other jurisdictions.
3. Works directly with local criminal justice crime coordinators, and criminal justice planners in the development and implementation of local plans.

b) Qualifications

Minimum qualifications for the position of Senior Criminal Justice Program Analyst include a Bachelor's Degree and five years experience and the following knowledges, skills, and abilities to effectively function:

Knowledge of: State and Federal financial and program guidelines in great depth so as to be able to direct the activities of all grant management within a specific area of responsibility and resolve any major problems which arise.

The criminal justice system in great depth so as to be able to keep abreast of new developments in the field to provide guidance to DCJS staff and representatives from State and local government.

The principles of contract preparation in order to review those contracts written by subordinate staff members to insure completeness and conformance to LEAA and DCJS requirements.

The principles of management in order to effectively provide necessary staff training and supervision.

Skill: Effective communication both in written and oral form.

Ability to: Explain accurately and concisely DCJS guidelines and program requirements, provide other governmental representatives with advice and assistance in crime control program design, application, and administration, prepare well organized reports, and conduct meetings and seminars.

Skill: Determination of necessary program action.

Ability to: Resolve major problems which arise in relation to the evaluation, review and monitoring of applications and grants in operation.

Skill: Effective dealings with people within and outside DCJS with tact and diplomacy.

Ability to: Handle administrative responsibilities such as planning and coordination of subordinates workload, evaluating work performances, training subordinate personnel, and providing direct and indirect supervision.

Corrections/Probation

APPENDIX 3- Investigation of a Monitoring Visit

a. Background - The Rikers Island Counseling Project (DCJS #2754) was approved at the June, 1979 meeting of the Crime Control Planning Board. The unit of local government was the City of New York, and the implementing agency was the Youth Identity Program, Inc. (YIP). Federal Funds totaling \$337,587 were granted to provide peer counseling and vocational assistance to adolescent detainees in the Rikers Island Detention Center. With a scheduled start date of 9-1-79 the project would have a duration of 12 months ending on 8-30-80.

b. Monitoring Visit - General

The Project Coordinator, Mr. Alphonso Ford, made a regularly scheduled monitoring visit on 3-7-80. The purpose of the visit was to ascertain that the project is operating in accordance with the grant award. Since the start of the project on 9-1-79 all monthly fiscal reports have been arriving and are properly logged in by the P.C. They indicate expenditures of about \$20,000 per month which appears normal. The initial Progress Report, however, has not yet arrived at DCJS. The P.C. indicates that it was sent to the NYC CJCC on 12-1-79 and is being held up there pending a necessary revision by the grantee.

c. Monitoring Visit - Specific - The following results were obtained:

1. The P.C. discussed the progress of the project with the Project Director and found that it was satisfactory
2. Staffing was correct
3. Facilities were satisfactory
4. Records indicated that cases were being handled in an orderly fashion. However, the absence of the Quarterly Progress Report prevented an in-depth analysis.
5. The project had been visited by the CJCC but not by the DCJS monitoring unit.

**CONTINUED**

**2 OF 3**

6. The P.C. talked with the Department of Corrections people to satisfy himself that there was no friction or misunderstanding between DOC and YIP relative to the grant program.
7. The P.C. informed the grantee about another LEAA program called Full Step which might be useful.
8. The P.C. is now filling out the Project Site Monitoring Form.

TECHNICAL ASSISTANCE SECTION: JUVENILE JUSTICE UNIT

A. Background

1. Purpose of Unit

The major role of Technical Assistance/Juvenile Justice is to provide grant application assistance to local planning agencies, state agencies, units of local government, and other groups in applying for juvenile justice and delinquency prevention grants and to administer grants once they have been approved by both the Juvenile Justice Advisory Board and Crime Control Planning Board. The type and level of assistance provided during the application process appears to depend on a number of factors including but not limited to the experience and expertise of the applicant, the capability of the local planning agency staff, complexity of the grant, and the competence of the DCJS project coordinators who are providing the assistance.

Put very simply, the role of the Juvenile Justice Unit is to ensure that grant applications are consistent with the overall goals and objectives of the annual juvenile justice plan and that individual grants' goals and objectives, project methodology, budget and qualifications are adequately defined, explained in detail, and supported empirically where possible. Once a grant is awarded, the role of the unit is to administer the grant on an ongoing basis until its completion. This is explained in greater detail below under Section 4 (Functions) at pp. 76-79.

2. Work Force as of June 1980\*

Howard Schwartz	-Associate Crim. Justice Program Analyst - JD	G-27
Rosemarie Beckhorn	-Sr. Crim. Justice Program Analyst - JD	G-23
Eugene Daniels	Sr. Crim. Justice Program Analyst	G-23
Maureen Molloy	Principal Research Spe. 2CJ	G-18
Stenographer	Authorized but vacant	G-5

\* Excluding Principal Research Specialist in the Juvenile Justice Compliance Monitoring Unit.

### 3. Source of Funds

- A. Administrative and grant funds for the unit are provided for both under Part D of the Juvenile Justice Improvement Act (see Juvenile Justice Maintenance of Effort provision - proposed LEAA rules, Section 31.503) and the Juvenile Justice and Delinquency Prevention Act (see proposed LEAA rules, Subpart H, Section 31.701).
- B. The Federal Fiscal Year 1980 JJDP appropriation for New York State is \$4,839,000. In addition, under the JSIA Juvenile Justice Maintenance of Effort provision, New York State must expend 19.15% of its total Part D Action Funds Allocation (16,798,000) on juvenile justice and delinquency prevention programs and projects. This results in an additional \$3,216,817 in juvenile justice funds bringing the state's total juvenile justice funds allocation to \$8,055,817.
- C. Some additional discretionary grant funds have also been made available under LEAA's National Priority Program. Presently the unit is administering only three of these grants.

### 4. Functions

#### A. Major Functions

1. The major activity of the Technical Assistance/Juvenile Justice Unit is to provide assistance, which varies in type and level, to local planning agencies and/or grant applicants, including state agencies, who are applying for or interested in applying for grants for juvenile justice projects. The major type of assistance provided entails "shaping" or reworking the grant application. The Application Review Guide (see Exhibit 1 at pp.92-95) indicates the types of questions and issues raised by the project coordinators during this "shaping" or review process.

Assuming that the application is consistent with the state's juvenile justice plan and monies are available to pay for the grant, most of the review focuses on the details of the grant itself. The review focuses on the grant's goals and objectives, methodology, planned activities, and line-by-line budget items and costs. Where these items, and others, are not adequately defined or explained, the project coordinator requests additional information. In the case of an application for second or third year refunding, the review will focus on the project's experiences and accomplishments, problem areas, and whether the grantee has satisfactorily complied with mandated reporting requirements.

An Application usually goes through "a couple of drafts" before it is finalized and ready for board review. Once finalized, the project coordinator must prepare a board summary for each grant (usually 3-4 pages long). One possible reason for having the project coordinators, rather than the applicant, prepare the project summaries is because of their greater familiarity with the CCPB and the types of specific project information they are usually interested in. The project coordinators subsequently appear, sometimes with the applicant, at both the Juvenile Justice Advisory Board and Crime Control Board meetings to answer questions.

2. After a grant is awarded ("few" applications are turned down by the CCPB), the major activity of the Juvenile Justice Unit is to provide on going assistance to the grantee during the project's implementation phase. This assistance is provided by the assigned project coordinator who was responsible during the application process. Project coordinators have primary responsibility for a group of separate projects during their implementation phase.

Specific actions performed during this phase include:

- Reviewing and approving all requests for modifications to the original budget, including requests for budget reallocations, budget increases, and budget extensions.
- Reviewing and approving requests for changes in personnel, including the hiring of consultants and the payment of consultant rates which are higher than LEAA standards.
- Reviewing and approving subcontracts let by the subgrantee.
- Reviewing monthly fiscal cost reports and quarterly progress reports.
- Reviewing monitoring reports and working with the grantee to help correct problem areas pointed out in the reports.
- Programmatically closing out grants after they have expired (see Exhibit 2\*- Close Out Procedures). This entails ensuring that all required reports have been received, including an up-to-date equipment inventory, preparation of a close-out analysis (see Exhibit 2, Attachment B), and review with the Unit Head.

\* See Exhibit 2 at p. 96.



20 - 30%

B. Other Functions

1. Discretionary Grants:

Discretionary grants are awarded directly by Washington LEAA from special funds set aside for programs or projects which Washington would like to see replicated on a nationwide basis. These programs are called National Priority Programs. The Technical Assistance/Juvenile Justice Unit is responsible for performing certain functions related to discretionary grants:

- Reviewing the Federal Register and corresponding with Washington LEAA to identify the availability of funds for discretionary grants.
- Obtaining relevant material from Washington LEAA regarding National Priority Programs and discretionary grant funds. Usually, a descriptive package is available which describes in detail the program, its objectives, who is eligible to apply, and how to apply.
- Notifying local planning agencies and potential applicants of the availability of discretionary funds and making relevant background information available to them.
- Providing limited "technical assistance" to grant applicants on an "as requested" basis, usually concerning how to apply.
- Reviewing and commenting on the grant application for Washington LEAA. LEAA requires state planning agencies, in this case, DCJS, to prepare a critique of the application. However, LEAA is more interested in a critique and assessment of the organization itself, and its track record in the grant subject area, than in the application itself, which will be reviewed in detail in Washington. Discretionary grant awards do not have to be reviewed by the JJAB and CCPB. Final approval can come only from Washington LEAA.
- Administering the grant award during the implementation phase. This includes maintaining the project file, reviewing fiscal and progress reports, reviewing and approving requests for modifications or changes and closing out the grant after its expiration.

2. Staff arm of the Juvenile Justice Advisory Board:

Just as the entire DCJS Office of Planning and Program Assistance acts as staff to the Crime Control Board, the Technical Assistance/Juvenile Justice Unit acts as the staff to the Juvenile Justice Advisory Board. This entails the following activities, which are carried out in large part by the Unit Chief:

- Satisfying requests for information on specific funded juvenile justice projects or the status of new applications as well as on overall juvenile justice issues and developments.
- Advising the JJAB on juvenile justice issues.
- Making arrangements for visits by JJAB members to current projects.
- Setting up conferences, seminars in the juvenile justice field, including making arrangements for outside experts and speakers to appear.

3. Satisfying requests for information from Washington LEAA, particularly with respect to project results and major issues such as institutionalization.

4. Preparation of the juvenile justice component of the state's Comprehensive Crime Control Plan.

5. Special Mandates/Priorities

- The Juvenile Justice and Delinquency Prevention Act (JJDP) requires an annual plan "which sets forth programs to be funded and other necessary information to ensure compliance with requirements of the statute." Preparation of a draft plan, which is then submitted to the Planning Unit for incorporation in the over comprehensive state plans, begins "around January 1" and is carried out, along with regular duties, over a period of six weeks.
- There are a number of fiscal mandates under the JJDP, (See Proposed Rules under Section 31.107 (a) (b) (c) (d)) which do not directly impact on the daily activities of the Juvenile Justice Unit, but which are relevant to an understanding of the overall juvenile justice funding process. These mandates, which are spelled out in detail in the rules, concern (a) Allocation to States (b) Funds for local use (c) Match (d) Funds for Administration.

• Juvenile Justice Maintenance of Effort

1. States must spend at least 19.15% of their total annual JSIA Part D allocation for juvenile justice and delinquency prevention programs and projects. These are juvenile justice monies which are available in addition to JJDP funds.
2. 19.15% of the total Part D formula allocation must also be made available for planning and administrative activities related to juvenile justice and delinquency programs and projects.
3. The 19.15% minimum Part D JSIA funds must be expended "primarily for programs for juveniles convicted of criminal offenses or adjudicated delinquent on the basis of an act which would be a criminal offense, if committed by an adult (Sec. 1002 of the JSIA).

Note: While the first two mandates listed above are really concerns of the Fiscal Unit and OPPA top management, the third item does, or at least should, impact upon the daily major activity of the Juvenile Justice Unit. The issue is whether the unit, specifically the project coordinators, are strictly applying the above criteria in their review and selection of potential juvenile justice grant applications.

- There are also numerous special requirements under the Juvenile Justice and Delinquency Prevention Act which do not impact upon the daily activities of the Juvenile Justice Unit. However, these requirements are relevant and important to an overall understanding of the LEAA Juvenile Justice Program. These requirements are listed and explained in detail in The JJDP and proposed guidelines.

• Internal daily operating mandates/priorities

The following is a list, in descending order of importance, of the internal priorities assigned to each of the main activities performed by the Juvenile Justice Unit:

1. Reviewing and providing assistance respecting grant applications. First priority is to "get the money" to the applicants.
2. Acting as staff to the Juvenile Justice Advisory Board.
3. Assisting the grantee during the implementation phase, including reviewing all requests. This may be carried out on a "squeaky wheel gets the oil" basis. In other words, a project may be having difficulties, but if no one is "hollering," there may be less attention paid to it.

6. Workload

A. Active Workload

- Exhibit 3 is a list of all currently (as of June, 1980) active Juvenile Justice projects, excluding evaluation related projects which are handled by the Evaluation Unit. The projects are listed by responsible project coordinator. The following is a summary:

		YEAR OF ORIGINAL FUNDING				
		1st	2nd	3rd	4th	TOTAL
		3	4	0	0	7
Project Coordinator 1 (Unit Chief)		13	4	3	0	20
"	2	9	4	1	1	15
"	3	10	4	3	1	18
"	4	35	16	7	2	60

- Although a significant percentage of the unit's workload also involved reviewing, approving/ disapproving, and processing requests for budget re-allocations, increases and extensions and personnel changes, no estimate of the number or percentage could be provided. Statistics are not maintained by unit and not readily available to supervisory control purposes. Statistical data could be derived from information entered in processing control logs maintained by the Fiscal Control Unit; however, this would be time consuming.

B. Close Out Workload

- Thirty eight projects were closed out during 1979. In addition, there are presently 41 projects which are in the process of being closed out. 26 projects were recently closed out over a six week period.

7. Sources of Work\*

- Exhibit 3 indicates the localities receiving each of the currently active 60 grants\*\*. State agencies account for only 5 of the 60 grants totaling only \$463,141. This includes 2 grants to DCJS itself for \$184,266. New York City CJCC receives the most grants and the largest amount of money (12 grants totaling \$3,142,083\*). The remaining grants and monies are distributed among the other local planning areas. Only one grant was made directly to a unit of local government (\$35,000 to Tompkins County).

8. Files and Records

The Juvenile Justice Unit project coordinators each maintain their own set of active project files containing the project application copies of monitoring progress reports, and related project correspondence.

9. Major Reports and Distribution

There are no major reports issued by this unit except for the draft juvenile justice section of the state's Annual Comprehensive Crime Control Plan. This plan is prepared between January 1 and mid February and forwarded to the Planning Unit for incorporation into the overall plan. In addition, project coordinators are required to submit quarterly progress reports on each project. The Juvenile Justice Compliance Monitoring Unit issues an annual progress report respecting compliance with certain requirements of the JJDP.

\* This includes three discretionary grants to New York City

\*\* Thirteen additional grants totaling \$2.2 million, as of May 1980, are administered by the Juvenile Justice Compliance Monitoring Unit. Five new grants for \$1.8 million to be administered by this unit were also awarded at the June Boards. These grants relate to requirements of the JJDP Act and involve state agency grantees where there is a need for some coordination, by DCJS, between the implementing agencies respecting the funded programs.

10. Space, Facilities and Equipment

The Unit Head and two of the three project coordinators occupy their own office cubicles. The third project coordinator occupies a desk in the open office area.

The entire office is partitioned off from other OPPA units. Space and facilities appear sufficiently adequate for the unit's operations.

B. Analysis and Recommendations

1. Organization

The structure of the Juvenile Justice Unit is similar to other technical assistance units and is organizationally sound. The unit head supervised three project coordinators but also carried a case-load of active juvenile justice applications and projects, thereby compensating for what might otherwise have been a relatively low span of control. No changes are recommended regarding the organization structure of this unit.

There are, however, some possible weaknesses in the area of management controls. Overall workload information, for the unit and for individual project coordinators, is not available for certain key activities. Data not readily available in a consolidated usable form included the following:

- Number of field visits made by project coordinators in conjunction with the application process (Total and by project).
- Number of field visits made by project coordinators in conjunction with project administration (Total and by project).
- Number of monitoring visits made by project coordinators (Total and by project).
- Number of monitoring reports issued by project coordinators (Total and by project).
- Number of applications accepted vs. rejected.

- Number of projects closed out (Monthly and cumulative) by the project coordinators.
- Number and type of budget modifications received, approved, and rejected for each project coordinator.

This information should be kept on a routine monthly basis and would be helpful in managing and controlling the activities of the project coordinator staff and for identifying possible problem areas.

## 2. Procedures:

Procedures used by the Juvenile Justice Unit are basically identical to those used in the other Technical Services units. The grant processing and administration procedures are straightforward and efficient and do not appear to create major delays.

Delays which occur during the application or grant administration process appear to be primarily a result of problems, such as the lack of adequate information, uncovered by the project coordinators during their review processes respecting new applications or modifications. Considerable staff time and money may be lost through the application shaping or modification process. This indicates that grant applicants may need more straightforward guidelines on how to apply for grants or modifications. We, therefore, recommend that a modified application guide be developed for use by grantees in preparing grant applications. The project coordinator's Application Review Guide, tailored for the grantee, could be used as a possible model. The application shaping process would, of course, be greatly reduced if JSIA were implemented.

## 3. Impact of the JSIA of 1979

An analysis of the LEAA proposed rules indicates that two separate application systems will be required for juvenile justice projects if the JSIA is implemented. Under the Justice System Improvement Act of 1979 (JSIA), states are required to expend at least 19.15 of the annual Part D formula allocation on juvenile justice and delinquency prevention related programs and projects (see Section 31.503 Juvenile justice maintenance of effort). The responsibility for ensuring compliance with these provisions clearly belongs to State Councils. Section 31,503(d) states

that state councils, in order to meet this mandate, may require local entitlement areas to expend a "reasonable share" of their entitlement Part D funds on juvenile justice programs. The proposed rules also require that the Comprehensive State application must "identify those programs proposed for Part D funding which are in whole or part related to juvenile justice and delinquency prevention..." (See Section 31.503 b)

This would mean that Part D juvenile justice funds would be provided to entitlement areas through the comprehensive three year application process. Entitlement areas would be free to award these funds to prospective applicants as they chose, as long as the projects or programs funded by the grants were consistent with the original plan. State agencies and balance-of-state areas would have to apply for Part D juvenile justice funds on a project by project basis, as will be the case for all of their grants.

On the other hand, entitlement areas will have to apply on a project by project basis for formula grant funds made available under the Juvenile Justice and Delinquency Prevention Act. Entitlement areas would have no mandated portion of funds. The above procedure will also apply to state agencies and balance-of-state areas.

Other key elements of the JSIA of 1979 which relate to juvenile justice include the following:

- The Chairperson and at least two additional citizen members of any local juvenile justice advisory boards must be included on the State Criminal Justice Council.
- The State Council will continue to be responsible for publication of a separate juvenile justice plan on an annual basis.
- The comprehensive state application may include programs proposed pursuant to the Juvenile Justice and Delinquency Prevention Act.

As a result of the JSIA of 1979, it is recommended that the staffing of the Juvenile Justice Unit be reduced by one project coordinator. For the entitlement areas, juvenile justice projects funded from Part D JSIA funds under the "Maintenance of Effort" provision will be awarded and administered directly by the entitlement areas under their three year plan. The table below compares the

\* Exclusive of the Principal Research Specialist 3 CJ, in charge of juvenile justice compliance monitoring, which position we recommend continuing in any event.



amount of grant funds, at 1980 fiscal year levels, which would be directly administered by the Juvenile Justice Unit\* under the existing system and under the JSIA of 1979. The analysis indicates that there would be a reduction of 27% in the amount of grant funds which would have to be administered by the Juvenile Justice Unit\*.

Existing System:

1980 Part D Funding	\$ 16,798,000
Maintenance of Effort	x 19.15%
= Juvenile Justice Part D Funds	\$ 3,216,817
+ JJDP funds	4,839,000
Total juvenile justice funds to be administered by JJ Unit	\$ 8,055,817

JSIA

Juvenile Justice Part D Funds	\$ 3,216,817
less: 2/3 to be administered by entitlement areas (estimated)	- 2,155,267
	\$ 1,061,540
+ JJDP funds	4,839,000
	5,900,540

Summary

Existing system	\$ 8,055,817
JSIA of 1979	- 5,900,540
Difference	2,155,277
	or 27% reduction

\* Including grants administered by the juvenile justice compliance monitoring Principal Research Specialist.

Technical Assistance Section: Juvenile Justice Unit  
Procedures Documentation

Background

Applications are received on a continuous basis throughout the year. They are received from local planning agencies, such as CJCC in New York City, state agencies, other smaller local governmental planning agencies such as the Regional Planning Agencies (RCAs) or Developmental Planning Agencies (DPAs) and other private and not-for-profit groups.

Usually there has been some previous contact with the appropriate local planning agency and/or grant applicant. This contact can range from answering procedural questions on how to apply for a grant to visiting the applicants in order to assist them in the preparation of the grant application. The level and amount of contact depends on a number of factors including the experience and expertise of the applicant, complexity of the grant, involvement and expertise of local planning agency staff, and competence of the OPPA project coordinator handling the matter.

In other cases, the grant application is received without previous contact. In almost all cases, subsequent contact is required with the appropriate local planning agency and/or grant applicant for purposes of "shaping" the application.

There is a 60 day deadline for submission of a grant to DCJS before each Crime Control Planning Board meeting, e.g., a grant application must be received at the DCJS Office of Planning and Program Assistance by March 1, 1980 in order to be eligible for review by the CCPB at its April 30, 1980 meeting. This deadline was established by internal policy. In addition, there is a 90 day rule, mandated under the JJDP, which provides that an application is considered approved unless the applicant is notified within 90 days of submission to the state planning agency (DCJS). Applications are, therefore, clocked in by the OPPA Fiscal/Contracts Unit before they are forwarded to the Technical Assistance Section/Juvenile Justice Unit.

- Note: Each Crime Control Planning Board and JJAB cycle may involve a number of juvenile justice projects; therefore, this process is simultaneously being carried out by the unit head and all three of the unit's project coordinators.



#### Application for New Grants

8000. Grant application is received by the Juvenile Justice Unit, usually first by the appropriate project coordinator (PC).

- If first received by the unit head, the application will be forwarded, after a brief review, to the PC handling the area from which the grant application was received.
- Grant applications for refundings are forwarded to the same PC.

8001. PC reviews the grant application and prepares application review guide.

- Note: This document serves a control over the review process by ensuring that a substantial number of basic important review questions (20 plus 43 sub-questions) are addressed during the PC's review.

8002. PC forwards completed application review guide and grant application to the unit head for review.

8003. Unit head reviews and discusses the application review guide and grant applications with the PC.

8004. PC works with the applicant to "shape" the application.

- This shaping process may take months depending on the nature and level of deficiencies in the grant application. If it appears that the grant application requires substantial reworking, the PC will send the local planning agency or applicant a "shape" letter.
- Contact during this period will involve telephone conversations, written correspondence, and meetings at DCJS, the local planning agency, or the applicant's place of business.

8005. PC receives final shaped grant application.

8006. PC prepares project summary for Crime Control Planning Board and Juvenile Justice Advisory Board.

8007. PC forwards project summary to the unit head for review.

8008. Unit head reviews and discusses project summary with the PC.

- Project summaries "usually go through a few drafts" before finalization.
- The unit head may insist on additional information or further clarification respecting parts of the project summary, e.g., project narrative, problem analysis, goals and objectives, and, in the case of refundings, prior years' accomplishments.

8010. PC redrafts the project summary and submits to the unit head for final review.

8011. Unit head reviews and submits project summaries to Technical Assistance Section head for review.

- Additional information or clarification is sometimes required based on this review. The PC will be required to obtain this information.

8012. Section head forwards project summaries to Deputy Commissioner Bonacum and Commissioner Rogers, at a few days apart, for their review.

- Note: Very few changes are made at this level although they will sometimes make comments.

8013. Project summaries are forwarded to the Juvenile Justice Advisory Board and Crime Control Planning for their review prior to the board meeting.

- Juvenile justice grants must first be reviewed and acted upon by the Juvenile Justice Advisory Board before being submitted to the Crime Control Planning Board. This is regardless of the source of the funds, i.e. Justice System Improvement Act "Maintenance of Effort" funds or Juvenile Justice Delinquency and Prevention Act funds.

Note: This does not apply to discretionary grant funds.

- Juvenile Justice project summaries are sent to JJAB members two weeks prior to their board meeting, which is held one week prior to the CCPB meeting.
- Summaries are sent to the Crime Control Planning Board one week prior to their board meeting. Juvenile Justice project summaries are batched with all other grant project summaries going before the CCPB.

8014. JJAB conducts board meeting.

- One week prior to the board meeting the unit head will conduct "mock board sessions" to test and help prepare his project coordinators.
- Project coordinators are available for questions at the meeting; sometimes the applicant will be asked to attend.
- Grant applications are rarely not approved at this level.

8015. Crime Control Planning Board conducts their board meeting (one week after the JJAB meeting).

- Repeat of above three

8016. After notification of approval by both the JJAB and CCPB, the project coordinator prepares a draft of the grant award agreement (contract).

- The grant award agreement is basically a redraft of the final approved grant application along with any additional special conditions, such as unique reporting requirements.

8017. Draft grant award agreement forwarded to the unit head for review.

8018. Unit head reviews and returns the draft grant award agreement to the project coordinator.

8019. Project coordinator forwards the draft grant award agreement to the Fiscal Section.

- Refer to Fiscal Unit procedures under separate cover.

8020. Fiscal Section returns the draft grant award agreement to the project coordinator.

8021. Project coordinator forwards the draft grant award agreement to Legal Section for review:

- Contract officer's review
  - Civil rights compliance
  - Privacy and security (Juvenile Projects only)
- Refer to  
Legal Section  
Procedures

8022. Legal Section returns the draft grant award agreement to the Juvenile Justice Unit head.

- See Contracts Administration Unit Procedures.

8023. Juvenile Justice Unit head reviews for deficiencies and forwards to Contracts Administration Unit for processing.

Notes on Procedures for Refundings

- The same grant application process applies for applications for second and third year refundings.
- The grant applicant must have complied with mandated project reporting requirements on the previous year's grant.
  - quarterly progress reports.
  - monthly fiscal cost reports.
- At least one official monitoring visit must have been conducted on the grant up for refunding.
- The grant application for refunding must satisfactorily indicate that the program/project funded by the previous year's grant has met the goals and objectives of the grant.

This criterion is apparently not always applied strictly. For example, one project coordinator described an application for second year funding, subsequently approved, that involved a program which had failed to meet its objectives. However, it was decided to recommend second year funding because the project was a worthwhile one and the project coordinator felt that with the benefit of one year's experience behind them, the applicants would be able to successfully meet the program's objectives in the second and possibly even a third year.

APPLICATION REVIEW GUIDE

Project title: \_\_\_\_\_ DCJS #: \_\_\_\_\_

Applicant: \_\_\_\_\_ Federal funds requested: \_\_\_\_\_

1. Is the application signed? \_\_\_\_\_

1a. If not, when will signature pages or a revised application be forwarded to us? \_\_\_\_\_

2. Has the application received CJCC approval? \_\_\_\_\_

2a. If not, is approval required (approval is required for all MPA applications except those from Rochester/Monroe)? \_\_\_\_\_

2b. If the answer to 2a is yes, when will the CJCC meet? \_\_\_\_\_

3. What year and type of funds? \_\_\_\_\_

3a. If split funded, do you have split budgets with appropriate breakdowns? \_\_\_\_\_

3b. If the answer to 3a is no, when will it be forwarded to us? \_\_\_\_\_

3c. Have you confirmed with Fiscal/Planning Unit/Moe that money from this source and category in the amount requested is available? \_\_\_\_\_

4. What is the State plan reference? \_\_\_\_\_

4a. Does the project fit that category? \_\_\_\_\_

4b. If the answer to 4a is no, does it fit another plan category? \_\_\_\_\_

4c. If yes, which? \_\_\_\_\_

4d. Have you confirmed fund availability? \_\_\_\_\_

5. Does the problem analysis section adequately indicate that a problem exists? \_\_\_\_\_

5A. Briefly describe the project's goals, objectives, and major tasks.

QUESTIONS 6 THROUGH 10 APPLY TO REFUNDINGS ONLY.

6. Are fiscal cost reports up to date? \_\_\_\_\_

6a. If not, what is the date of the last report? \_\_\_\_\_

6b. Are there any fiscal problems? \_\_\_\_\_

7. Was the application accompanied or preceded by a Progress Report Prior to Refunding that describes the project's progress and impact in such a manner so as to justify refunding? \_\_\_\_\_

7a. If not, what information remains outstanding? \_\_\_\_\_

7b. Can it be obtained? \_\_\_\_\_

7c. If not, why? \_\_\_\_\_

7d. What action do you recommend? \_\_\_\_\_

8. Does the fund request conform to our refunding policy as stated in Board Resolution R-78-03A (make sure you analyze this based on the definitions of what constitutes a first, second, third, and fourth project year; don't forget increases)? \_\_\_\_\_

8a. What was the funding level during the second project year, according to these definitions? \_\_\_\_\_

8b. What is the amount of the instant request? \_\_\_\_\_

8c. If the answer to 8 is no, by how much does the budget have to be cut? \_\_\_\_\_

9. Was a monitoring visit made? \_\_\_\_\_

9a. If not, when is it scheduled? \_\_\_\_\_

9b. If yes, does the monitor recommend refunding? \_\_\_\_\_

9c. If not, why not? \_\_\_\_\_

10. If the request is for third year funding or later, does the application contain an institutionalization plan that has a commitment and a timetable? \_\_\_\_\_

10a. If not, when will it be forwarded to us? \_\_\_\_\_

11. Is the application programmatically sound? \_\_\_\_\_

11a. Describe outstanding issues or information.

11b. Was the applicant informed of these in writing? \_\_\_\_\_

11c. How and by when will any required shaping be complete? \_\_\_\_\_

12. Are letters from all agencies who have agreed to provide and/or accept referrals to and from the project or from whom cooperation is necessary for the project to operate appended to the application? \_\_\_\_\_

12a. If not, which are missing. (list)? \_\_\_\_\_

12b. When will they be forwarded to us? \_\_\_\_\_

THE FOLLOWING QUESTIONS PERTAIN TO THE BUDGET:

13. Is the staffing pattern (including salaries) reasonable? \_\_\_\_\_

13a. If not, what changes are necessary? \_\_\_\_\_

13b. Is the calculation base for each salary provided? \_\_\_\_\_

14. Will consultants be retained? \_\_\_\_\_

14a. If so, what is/are the reimbursement rate(s)? \_\_\_\_\_

14b. What is the total amount to be paid to each consultant? \_\_\_\_\_

14c. Has the applicant been informed of procurement regulations that pertain to consultants earning more than \$2,500 and \$5,000 per year? \_\_\_\_\_

15. Are any major purchases of equipment included (i.e. cars, computers)? \_\_\_\_\_

15a. If so, what and how much is budgeted? \_\_\_\_\_

16. Are travel costs reasonable and are they in conformance with applicable local or State rates? \_\_\_\_\_

17. Will the applicant rent facilities? \_\_\_\_\_

17a. If so, does the rate per square foot per year conform to the LEAA maximum of \$7 without maintenance and utilities and \$10 with? \_\_\_\_\_

17b. Is the rent reasonable for the geographical area and type of space? \_\_\_\_\_

18. Are alterations/renovations costs included? \_\_\_\_\_

18a. If for \$5,000 or more total cost, has the applicant offered 50% Match (match obligation for Part C money only) \_\_\_\_\_

18b. If for \$5,000 or more have you asked for LEAA certification that the requested work does not constitute construction? \_\_\_\_\_

19. Are any subcontractual services included? \_\_\_\_\_

19a. If so, what is the purpose and proposed cost? \_\_\_\_\_

19b. Has the applicant been informed of procurement regulations pertaining to subcontracts over \$2,500 and \$5,000? \_\_\_\_\_

20. Are indirect costs or administrative overhead costs included? \_\_\_\_\_

20a. If so, do they conform to our guideline of 5% total direct costs or 10% personnel and fringe? \_\_\_\_\_

20b. If the answer to 20a is no, what is the requested rate? \_\_\_\_\_

20c. Has the applicant provided documentation that the requested rate has been approved by a federal agency for the fiscal year in question? \_\_\_\_\_

CLOSE-OUT PROCEDURE

ATTACHMENT A

Upon receipt by supervisor, distributed to appropriate project coordinator (*FISCAL CLOSE OUT REPORT*)

ATTACHMENT B

For final close-out, a final report and equipment inventory must be received unless can justify equipment use in accordance with guidelines.

If missing and/or cannot justify send letter requesting information. Keep copy of letter and follow-up in two weeks with phone call. Hold on to ATTACHMENT A & B until requested information is received.

ATTACHMENT B-1

For previous phase of active project (no equipment inventory needed).

ATTACHMENT C

Notifies grantee of close-out.

ATTACHMENT D

Notifies WTB of completed close-out.

Completed set should be given to me, as well as status of incomplete sets. Project coordinator should keep copy of set for own files.

ATTACHMENT B

OPPA PROGRAMMATIC CLOSE-OUT FORM

DCJS NO. \_\_\_\_\_ Contract No. \_\_\_\_\_

Project Title \_\_\_\_\_

Grant Period \_\_\_\_\_ Project Coordinator \_\_\_\_\_

1. Summary of project's goals and objectives.

2. An assessment of whether or not goals and objectives were achieved



3. An assessment of the quality of the Final Progress Report.

4. Summary of problems which impeded effective grant implementation.

5. Status of special grant conditions which required a response.  
(A delinquent finding requires rationale for close-out recommendation).

6. Comment whether an up-to-date equipment inventory has been submitted by the Grantee and for final phase grants, whether Grantee will retain funded equipment and use in project-related activities

7. Does project qualify as "Exemplary and Promising"? (If yes, attach a formal recommendation for attention of OPPA Exemplary Project Coordinator in format of Attachment G).

8. Additional comments or remarks.

Based upon the foregoing analysis, undersigned recommends that this grant be programmatically closed-out.

\_\_\_\_\_  
Reviewer's Name and Title

\_\_\_\_\_  
Date

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ATTACHMENT B-1

OPPA PROGRAMMATIC CLOSE-OUT CHECKLIST

DCJS NO. \_\_\_\_\_ Contract No. \_\_\_\_\_

Project Title \_\_\_\_\_

Grant Period \_\_\_\_\_ Project Coordinator \_\_\_\_\_

- |   | <u>Yes</u> | <u>No</u> |
|---|------------|-----------|
| 1. Have all required reports been received and are acceptable?  | _____      | _____     |
| 2. Have all special conditions been satisfied?  | _____      | _____     |
| 3. Has Grantee submitted an up-to-date equipment inventory?   | _____      | _____     |
| 4. (For final phase grants) Will Grantee retain funded equipment and use in project related activities? | _____      | _____     |
| 5. Do you recommend programmatic close-out?   | _____      | _____     |

REMARKS (All "NO" answers must be explained below)

\_\_\_\_\_  
Reviewer's Name and Title

\_\_\_\_\_  
Date

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Attachment C

FRANK J. ROGERS  
JUN 25 1979

STATE OF NEW YORK  
DIVISION OF CRIMINAL JUSTICE SERVICES  
80 CENTRE STREET  
NEW YORK, NEW YORK 10013

AREA CODE 212  
TEL. 488-4856

Re: Close-Out of  
DCJS No. \_\_\_\_\_

Dear \_\_\_\_\_

Program and fiscal reporting activities for the above-referenced phase of this grant ceased on \_\_\_\_\_. DCJS thereafter commenced its grant close-out procedure in order to determine whether grant requirements have been met.

We have determined that the grant is in contractual compliance, and therefore, DCJS has closed its file on the grant and forwarded it to our inactive files.

As you know, LEAA regulations require that all records for projects be kept for a minimum of three years from the date of submission of the final expenditure report (GA2). We, therefore, request that you institute procedures to insure that grant records maintained by your office and the implementing agency are retained until \_\_\_\_\_.

Please be advised that during this retention period, the entire grant is subject to audit by LEAA, G.A.O., and the State Department of Audit and Control. In the event that such an audit is begun, please make all necessary records available to the auditors. Records must be retained beyond the three-year period if an Audit is in progress and/or the findings of a completed audit have not been satisfactorily resolved.

Thank you very much for your cooperation in this matter.

Very truly yours,

Chief, Technical Services Section

Revised 4/1/79

## MEMORANDUM

STATE OF NEW YORK  
DIVISION OF CRIMINAL JUSTICE SERVICES

To: William T. Bonacum, Administrator, O.P.P.A.

Subject: Recommendation for Official Close-Out Of:

DCJS Grant No. \_\_\_\_\_ Contract No. \_\_\_\_\_

Project Title \_\_\_\_\_

-----

The attached technical and financial summary reviews recommend that the subject grant be officially closed-out.

I concur with the recommendation.

\_\_\_\_\_  
Chief, Technical Services Section\_\_\_\_\_  
Date

OR

\_\_\_\_\_  
Chief, Planning Section\_\_\_\_\_  
Date

I approve close-out of this grant.

\_\_\_\_\_  
Administrator, OPPA\_\_\_\_\_  
Date



# INSTRUCTIONS FOR PREPARATION AND USE

1. The Law Enforcement Assistance Administration requires all grantees and Sub-Grantees to maintain equipment accountability records in conformance with GSA FMC 74-7. This form, when properly completed, will serve as the primary accounting and inventory record for the New York State Division of Criminal Justice Services and may also be used by Grantees for this purpose.

2. Acquisition Report — Instructions for preparation and submission of this report are as follows:

- a. *Grantee, Title and Project and Grant Number:* This information is found in the heading of the Grant Award. The date is the date of preparation of the attached form. When more than one page is used for the report, indicate this fact in the appropriate space, (e.g. page 1 of 2 pages).
- b. Complete columns (1) through (5), and block (8). Forward the original and two copies to DCJS along with the December, June and final Fiscal Reports (DCJS Form GA-2). List all equipment purchased exceeding the cost of \$250.00 per unit.

## Item Description:

Column 1 — A complete description of the item purchased is required in order to properly identify the item in subsequent inventories. Make, model, year and sometimes color description may be necessary. Use as many lines as necessary to describe each item. Leave a blank space between lines.

## Quantity:

Column 2 — Enter the number representing the total of like items reported herein (e.g. desks executive — 3).

## Acquisition Cost:

Column 3 — Enter the amount paid for the item. Like items with the same unit cost may be reported on one line. If the costs are different for like items, a separate entry is required for each item.

## Date of Purchase:

Column 4 — The date payment is made for the item.

## Serial Number or other I.D.:

Column 5 — Enter the manufacturer's identification number or in the absence of same, an agency (Grantee) number assigned for accounting purposes.

## Certificate:

The certificate of receipt must be signed by the project director.

## 3. Inventory Report:

- (a) Columns (6) and (7) are reserved for this purpose and are to be completed only upon subsequent inventory. DCJS will provide additional copies of this form at the time the inventory is required. Additional instructions will also be provided at the time of the inventory.
- (b) The Law Enforcement Assistance Administration requires that a physical inventory of property records at least once every two years to verify the existence, current utilization and continued need for the property. In the event the property is no longer required by the Grantee, this fact should be reported to DCJS as soon as possible.



ROSEMARIE BECKHORN

Active Juvenile Justice Projects  
June, 1980

DCJS #	JURISDICTION	PROJECT TITLE	LAST AWARD	MONTHS	BOARD	END DATE
2687 A	Buffalo	Volunteers in Prevention II	88,287	11	6/80	
2783 A	NYC	Student Action Strategy II	208,106	12	6/80	
2926	Rochester	Shelter Program for Children of Abused Persons	37,297	12	6/80	
2927	Monroe	PINS Pre-Petition Day Services	RFP	12	6/80	
2821	Rochester	CARE (Child Abuse Recognition Evaluation)	114,025	12	6/80	
2564 B	Erie	Adolescent Delinquency Diversion III	61,060	12	4/80	
2887	Erie	Critical Link	69,460	12	4/80	
2888	Erie	Saving Families For Children and Young Adults	100,000	12	4/80	
2889	Syracuse	Delinquency Diversion For Teens	67,000	12	4/80	
2904	Suffolk (Southold)	Delinquency Diversion and Prevention For Juveniles	40,000	12	4/80	
2768 A	DCJS/Misc.	Juvenile Index/Tracking System II	74,943	5	2/80	
2873	NYS/Div. Parole	Parole For the Juvenile Offender	99,992	12	2/80	
2580 A	Erie	Comprehensive Youth Services Project II	140,158	9	10/79	
2827	Erie	Vida Crisis Intervention Center	70,610	12	10/79	
2823	Onondaga	Coordinator Of Juvenile Services	24,530	12	10/79	
2782	NYC	Advocates For Children ASSET Project	300,218	12	9/79	
2307 B	Rochester	Youth Services & Delinquency Prevention Project - III	77,972	12	9/79	
2510 B	Monroe	Sheriff's Juvenile Aid Unit-III	139,994	12	9/79	
2785	NYC	Juvenile Justice Information System	512,194	12	6/79	
2749	Syracuse	Youth Community Assistance Program	58,082	6	4/79	

EUGENE DANIELS III

DCJS	JURISDICTION	PROJECT TITLE	LAST AWARD	MONTHS	BOARD	END DATE
2921	NYC	Community Service Sentencing For Juveniles (Staten Island)	76,668	12	6/80	
2922	NYC	Community Service Sentencing For Juveniles (Brooklyn)	148,766	12	6/80	
2531 B	Westchester	County Attorney's Social Service Bureau-III	66,392	12	4/80	
2610 A	Nassau	Family Court Screening Bureau-II	63,368	8	2/80	
2869	Yonkers	Family Court Assistance Project	18,000	12	2/80	
2871	Suffolk	Status Offender Foster Care/Intensive Supervision	86,336	12	2/80	
2682 A	NYC	OAR Aftercare And Juvenile Services-II	300,000	12	12/79	
2657 A	Nassau	Family Crisis Program-II	174,133	12	10/79	
2040 C	NYC	Ocean Hill Multi-Service Youth Center-IV	152,572	9	9/79	
2607 A	Yonkers	Shelter For Victims of Domestic Violence	31,830	12	9/79	
2711	Suffolk	Family Court Dispositional Alternatives Project	189,975	12	6/79	
2695	Nassau	Long Beach Delinquency Diversion Program	91,046	12	2/79	
2715	NYC	Satellite Intake Project	390,319	12	2/79	
2693	Nassau	Youth Adjustment Program	15,000	9	12/78	
2526	Nassau	Pilot Career & Education Project For Pre-Delinquent Youth	100,000	12	2/78	

MAUREEN MOLLOY

DCJS #	JURISDICTION	PROJECT TITLE	LAST AWARD	MONTHS	BOARD	END DATE
2652 B	Elmira	Family Support Program III	31,000	12	6/80	
2560 B	Mid Hudson	Spring Valley Juvenile Aid Bureau III	20,000	12	4/80	
2729 A	NYS/Aging	Criminal Justice And The Elderly II	50,000	12	4/80	
2786	Seneca Falls	Juvenile Prevention Services	20,141	12	4/80	
2886	Mid-Hudson	Middletown Juvenile Aid Unit	20,000	12	4/80	
2893	Monroe	Irondequoit Juvenile Prevention and Diversion	65,087	12	4/80	
2663 A	Tri-City	Albany Prevention Services-II	51,994	8	2/80	
2875	Mid-Hudson	Beacon Delinquency Prevention Project	18,500	12	2/80	
2716 A	Yonkers	Senior Citizens Crime Prevention Services II	25,390	12	2/80	
2855	Mid-Hudson	Poughkeepsie Juvenile Diversion & Delinquency Prevention Project	24,923	12	12/79	
2854	Mid-Hudson	Newburgh Youth Bureau Storefront	24,750	12	12/79	
2353 C	Niagara	Big Brothers/Big Sisters Juvenile Delinquency Prevention Project-IV	10,000	12	12/79	
2691 A	Capital	Rotterdam Youth Services Unit-III	33,306	12	12/79	
2862	Tri-City	Rensselaer County Rape Crisis Program	24,830	12	12/79	
2820	Waterford	Juvenile Aid Program	21,995	12	10/79	
2372 B	Southern Tier	Binghamton Rape Crisis Center	19,185	12	10/79	
2710	Niagara	Family Oriented Intervention and Treatment	27,000	12	9/79	
2796	St. Lawrence	Sheriff's Juvenile Aid Unit	56,533	12	9/79	

HOWARD SCHWARTZ

DCJS #	JURISDICTION	PROJECT TITLE	LAST AWARD	MONTHS	BOARD	END DATE
2828	Tompkins County	Family Court Dispositional Alternatives Project	35,000	9	12/79	
2569	DCJS/BMP	Police Juvenile Officer's Training Program-II	109,323	12	12/79	
2807 A	NYS/Probation	Juvenile Justice Unit	128,883	12	9/79	
D2436 A	Discretionary (NYC)	Harlem Juvenile Diversion Project-III	209,189	12	(8/79)	
D2437 A	Discretionary (NYC)	Police Training & Juvenile Offender Diversion Project-III	260,000	12	(6/79)	
D2438 A	Discretionary (NYC)	MYF-Youth Employment Skills Project-III	244,290	12	(7/79)	
2717	NYC	Family Court Victim Services	339,761	15	2/79	

TECHNICAL ASSISTANCE SECTION:  
MOBILE RADIO DISTRICT UNIT

A. Background

1. The purpose of the DCJS MRD Technical Assistance Staff is to enhance the delivery of technical assistance to communities throughout the State which are participating in various stages of the MRD program. The MRD program is designed to increase the effectiveness and coordination of inter-agency police radio communication operations. It provides for the creation of 43 Mobile Radio Districts (MRD) across the State encompassing the 57 counties in the State outside of New York City. The five counties of New York City were excluded from the task because the nature of the City's problems were allegedly different in kind and scope.

2a) Force as of 2/11/80

<u>Name</u>	<u>Job Level</u>	<u>Civil Service Title</u>	<u>In House Job Title</u>
Beslity, Frank	SG 29	Principal Criminal Justice Program Analyst (Police Communications)	Unit Supervisor
Kretzman, Byron	SG 27	Associate Criminal Justice Program Analyst	Engineering Supv.
Schrettner, Joseph	SG 23	Senior Criminal Justice Program Analyst (Police Communications)	Proj. Coordinator
Vacant	SG 23	Senior Electrical Engineer	Engineer
Clemente, Michael	SG 18	Criminal Justice Program Analyst (Police Communications)	Program Analyst
Fitzenriter, George	SG 18	Criminal Justice Program Analyst (Police Communications)	Program Analyst
Batt, William	SG 9	Senior Steno, MAG machine operator	Steno
Broomfield, Caludette	SG 5	Steno	Steno
Temporary	Hourly	Draftsman	Draftsman
Temporary as needed	Hourly	MAG typist	Typist



3. Source of Funds

a) Staff Funding

Funding for the entire staff is provided by a grant from the New York State Crime Control Planning Board (DCJS No. 2570). It consists of \$143,462 which was authorized on December 16, 1977. Expenditures started around November, 1978. However, several salaries were still being carried by OPPA as of February, 1980. Federal funds of \$222,000 were approved on February 29, 1980 to extend the services of the unit for an additional 10 months, commencing May 1, 1980.

b) Project Funding

Funding for the MRD projects throughout the State is provided by LEAA grants. Approximately \$15,000,000 has been spent thus far. The present fiscal year (10-1-79 to 9-30-80) calls for an authorized expenditure of \$2,000,000.

4. Functions of Unit

a) Major Functions

DCJS MRD technical staff provides technical assistance (including field efforts) and documentation aid during the three MRD stages:

% Time

40

I) MRD Development - Configuring the communications system, analyzing agency operations and putting together specification packages.

35

II) MRD Implementation - Aid in determining vendor compliance, recommending minor system adjustments and establishing records keeping systems.

25

III) MRD Post Implementation - Providing technical aid for planned system changes.

b) Specific Tasks

DCJS technical staff members are available to assist in the performance of the following tasks which are necessary documentation components of the implementation package:

1) Technical assessments of existing communications systems.

2) F.C.C. licensing surveys and preparations of licenses;

3) Performance of coverage calculations and/or radio coverage tests;

4) Preparations of baseline documents;

5) Preparations of specifications;

6) Preparations of Statements of Work;

7) Creation of criteria for maintenance pools, shops or services;

8) Development or communications training programs.

In addition, DCJS staff are available for technical aid on system modifications and analysis of system malfunctions (when necessary).

5. Special Mandates/Priorities

The mandate of the MRD Unit is to complete the implementation of upgraded inter-agency communications systems in all 43 MRD's within the State in an orderly fashion, keeping within funding limitations.

6. Progress of MRD Installations by County (as of 2-21-80)

a) <u>Status of MRD Projects</u>	<u>No. of Counties</u>
Completed & On Line	25
Partially completed	7
Implementation (1979 Funds)	4
Implementation (1980 Funds)	5
Advanced Design (1981 Funds)	7
Design Complete (1982 Funds - Awaiting Funding)	5
Preliminary Design - Entire	6
Preliminary Design - Partial	3
Not In Plan (Green, Columbia, Warren)	3
Total	65

Note: There are 57 counties in the State exclusive of New York City. Because of the partial nature of the work in several counties, the total categories above equal 65. Nassau, Orange, Westchester, Erie, Broome & Suffolk are represented more than once.

b) Workload - No. of Activities performed in one year.

<u>Activity</u>	<u>Number</u>
Initial contacts with local communities	2
Compliance checks	2
Checks for equipment restrictions	4
Meetings with local communities	10
Site visitations	45
Frequency search	25
Baseline documents written	5
Bid request documentation prepared	4
Pre-bidders conferences assisted	4
Bid selection assistance	6
Development of Grant Application	5
Project Summary written and presented to CCPB	5
Contract Award Agreements written	5
Sub-contracts issued	20
Monthly fiscal reports reviewed	250
Problems addressed during implementation	14
Budget Amendment requests evaluated	30
Grants closed out. Final tests made	40

Note: The activities shown above vary greatly in terms of time required for completion depending upon such factors as complexity of system, problems encountered, etc.

7. Sources of Work

Technical assistance is provided in response to direct requests from the individual communities. Grant administration and follow-up work is provided to the MRD communities either on demand or as part of an overall procedural package.

8. Files and Records

Files and Records are kept for all active and inactive projects. Engineering aspects of each MRD are filed separately. A Close-Out file is maintained. There is a vendors' equipment file for all major vendors.

Bid Request Documents and Specifications are kept on record. Vendors' response documents are maintained. There is a small technical library.

9. Major Reports

- a) Annual Report
- b) Governor's Monthly Report
- c) Bi-Monthly Report to Administrator of OPPA
- d) Quarterly Project Status Report to Mr. Morris Silver
- e) Monthly Fiscal Cost Reports for MRD Grant (MRD Technical Staff)

10. Space, Facilities and Equipment

- a) Office space is adequate.
- b) Facilities are:
  - a) 2 drafting tables
  - b) 1 IBM Mag Card machine
  - c) Desks and Telephones
- c) Equipment consists of:
  - I. One radio scanner
  - II. One microfiche machine
  - III. One programable calculator
  - IV. One hand-held recorder/transcriber

B. Analysis and Recommendations

1. Organization - The existing organization is well structured and productive. It is efficient in that it brings together in a single unit the technical expertise which then becomes available to units of local government throughout the state. It would be costly and counter-productive for each locality to provide its own group of technical experts.
2. Procedures - In general, the procedures followed by the DCJS MRD staff are sound and efficient in both the technical assistance and grants administration areas. However, we noted that there was an absence of formal documentation of monitoring visits to sites. During a typical year, about 45 visitations are made to sites for various purposes including acceptance testing, providing technical aid, and monitoring. We recommend that monitoring visits be documented according to established procedures using standardized forms.
3. Impact of JSIA of 1979 - The major impact of the JSIA of 1979 is that the Local System Support category under which the MRD operates will no longer be carried as a distinct category. It was expected, however, that some of the \$1,740,000 allocated to the Non-Entitlement Jurisdictions category would be earmarked for continuation of the MRD project in FFY 1981. The present annual budget of the MRD is about \$2,000,000.
4. Effects of the Possible Elimination of the DCJS MRD Technical Assistance Staff Unit. The New York State Division of the Budget has indicated that funds for the MRD unit will terminate on 7/31/80. Although the need for budgetary slashes of this kind can be appreciated, it is important to measure the impact of such action on the MRD program and to note the penalties which may be incurred by precipitous action.

The need for the DCJS MRD unit is a reflection of the levels of past, present and future MRD grants. If the grants are to be cut back or eliminated, the MRD unit should also be cut back or eliminated. However, this should be done in an orderly fashion to capitalize on whatever has been done, to avoid disruptions and to lay the groundwork for possible future resumptions of funding.

It is important to take note of the complexity of the program. There are projects throughout the state in various stages of completion. Some are in the early planning stages while others are nearing completion and ready to go on line. A sudden cutoff of DCJS assistance to the field might create confusion and chaos. Certainly, where equipment has already been delivered, or contracted for, and most of the grant money has already been invested, it would be prudent to bring the project to fruition.

A list of active grants is as follows:

Name	Grant # DCJS	Total Grant	Approx. Amount Expended*	Amount Remaining	Projected Service Date
		\$	\$	\$	
Lake Success	2357	303,000	247,000	56,000	7/80
City of Syracuse	2159	437,800	300,000	137,800	7/80
Westchester, Yonkers	2584	1,000,000	800,000	200,000	9/80
Orange Group 1, Newburgh	1978	749,000	196,000	553,000	11/80
Erie Group 1	2071A	371,457	-0-**	371,457	12/80
Suffolk	1485B	1,000,000	615,000	385,000	12/80
Broome	2851	332,966	-0-	332,966	1981
Chataqua	2076	549,491	4,821	544,670	1981
Tioga	2850	131,074	-0-	131,074	1981
Washington	2611A	271,454	205,000	66,454	1981

\* As of March 31, 1980

\*\* The equipment has been delivered by General Electric, and will be paid for shortly.

The above list shows six projects, involving almost \$4 million, expected to go on stream by the end of 1980. An additional four projects, costing about \$1½ million, are scheduled for completion in 1981. Thus, cutting off MRD's existence as of July 31, 1980 as recommended by the state Division of the Budget could jeopardize over five million dollars worth of already funded projects in various stages of completion.

In addition to the above, there are a few projects which have recently gone into service and are now experiencing problems which require technical assistance from the DCJS MRD unit. These are Fulton, Olympic Clinton and Salvay.

There are also 7 projects which are in the Advanced Design stage under proposed 1981 funding. Although these funds will probably not be appropriated by LEAA it is important that the design work be completed for two reasons:

1. The projects should be placed in a condition so that they can be picked up by the localities with local appropriations, should they so desire.
2. About two years of preliminary work has been done on these projects. The work done consists of site selection and preparation, obtaining FCC licenses preparing system specifications, etc. This work should not be lost by a failure to complete the entire package.

#### Recommendation

We recommend that the MRD Unit grant be continued until April 30, 1981, but with reduced levels of staffing. Based on present MRD development and implementation schedules (see attached list), a staff of five is recommended through December 31, 1980 and a staff of 4 between January 1, 1981 and April 30, 1981. This will provide for sufficient staff to assist in implementation of projects scheduled for completion in 1980 and the first part of 1981 and for preparing the localities to take over the projects which will go into service at points thereafter. We also recommend that a specific implementation schedule be developed for projects scheduled for implementation in 1981.

The five people would be the Unit Supervisor, Engineering Supervisor, Project Coordinator and 2 Stenos. Their tasks would be providing field guidance, doing acceptance testing, providing technical assistance, monitoring and writing specifications. On 12/31/80 one steno would be terminated.

#### APPENDIX 1 - Procedures

##### TECHNICAL ASSISTANCE FUNCTION

- Letter from County, Sheriff, etc is received by MRD TAS (Unit) indicating interest or need.
- Unit screens letter for feasibility. If no, sends negative reply.
- If reasonable, unit checks for compliance with the N. Y. State Plan to Improve the Effectiveness of Police Communications.
- Unit checks for equipment restrictions. (Won't fund free standing towers)
- Meeting among MRD & County. Ground rules established
- Unit does frequency checks. Seeks frequency from FCC.
- Unit submits baseline document.
- Unit prepares Bid Request Document. Forwards to local project director.
- County issues formal request for bids.
- Pre-bidders conference is covered. Unit assists.
- Lowest bidder selected. Unit assists.

##### GRANTS ADMINISTRATION FUNCTION BEGINS

- Unit assists local planners with Project Notification and Review and development of Grant Application.
- Unit writes Project Summary for Crime Control Planning Board meeting. Presents project.
- CCPB approves project.
- Unit writes Grant Award Agreement. (contract between DCJS & County). Signed by County and W. Bonacum. Contract sent to Attorney General for approval; then to NYS Controller (division of Audit & Control). They give it an official NYS Contract number. Sent back to unit. Unit sends to County.
- Sub Contracts issued. Must be approved by unit and legal. Invoices sent to unit. Grantee must make monthly fiscal reports to Unit. Vouchers sent to Albany. Checks sent to Grantee, Report sent to Unit.

APPENDIX 1- Procedures (continued)

- Problems during implementation are addressed by unit.
- Budget Amendment Requests are evaluated by unit and approved or not.
- After an average of 2 years, the grant closes. Unit makes final test of system and compares to contract. Vendor must train police. Final 10% is withheld. Adequate maintenance must be supplied by vendor for 1 year.
- Unit officially closes out grant. Informs grantee that records must be kept for 3 years.

Appendix 2

APPENDIX 2 - Job Descriptions (Using in-House Job Titles)

1. DCJS MRD Unit Supervisor

- a) Staff supervision
- b) Receiving and approving all documentations
- c) Setting priorities
- d) Allocating project resources
- e) Liaison with State, Federal and Local agencies

2. Engineering Supervisor (Items A-M)  
Sr. Electrical Engineer (Items B-M)

- a) Supervision of Technical Staff
- b) Technical assessments of existing communications systems
- c) F.C.C. licensing surveys and preparations of licenses
- d) Performance of Coverage Calculations and/or radio coverage tests
- e) Preparations of baseline documents
- f) Preparations of specifications
- g) Preparations of Statements of Work
- h) Witnessing of System and Component Tests
- i) Creation of criteria for maintenance pools, shops, or services
- j) Development of Communications training programs
- k) Technical aid on system modifications
- l) Analysis of repeated malfunctions (when necessary).
- m) Coordination of projects and grants administration

3. Temporary Draftsman - Performs drafting work as part of technical specifications packages.

4. Project Coordinator - (Items A-G)  
Program Analysts (2) - (Items B-G)

- a) Directs and supervises subordinate project coordinators



Appendix 2 - Job Descriptions (continued)

- b) Provides technical assistance to local planners and police agencies regarding installation and operation of electronic communications systems.
- c) Investigates need for such facilities.
- d) Assists in development of grant applications.
- e) Analyzes proposals
- f) Prepares project summaries
- g) Monitors grants
- 5. Secretarial Support Staff (2)
  - a) Typing all technical reports and correspondence.
  - b) Filing
  - c) Reception
  - d) Clerical duties
- 6. Part Time Typist - Assist regular staff in preparation of voluminous system specifications packages.

June, 1980 (Field work conducted in February, 1980)

F. L. Kirkman

COUNSEL TECHNICAL: ADJUDICATORY UNIT

A. Background Information

1. Purpose of the Unit

The purpose of the unit is to administer grant funded projects involving prosecution, defense and other court related projects.

This unit formerly reported to the Technical Services Unit Chief as the Adjudicatory unit administering court related projects. However, the unit (two lawyers and one-third of a secretary) now reports to and is part of the staff of the General Counsel, Robert Schlanger. The unit continues to perform exactly the same functions as it did under Technical Services.

2. Force as of 2/29/80

B. Stein, Chief, Adjudicatory unit	G 28
A. Worgan, Legal Systems Analyst	G 28
One-third M. Dwyer, secretary	G 9

Note: Also receives back-up secretarial help from DCJS office of Special Services.

3. Source of Funds

Administrative personnel are funded by the OPPA grant funds for administration.

Projects administered are funded by LEAA action grants and Discretionary grants. None of the current or recent projects involve JJDP funding.

4. Functions of Unit

<u>% Time</u>	<u>a. major</u>
55%	Perform duties of Project Coordinator for assigned projects.
15%	Program development, primarily for discretionary grants, including developing project concept, soliciting or preparing applications, and preparing Board summaries.
15%	Provide technical assistance for local government units and other units of OPPA and DCJS.

- 5% . Prepare close-out reports for completed projects.
- 5% . Prepare sections of Annual Plan (D-1, 2, 3, E-2, and H-1 and 2) and annual reports dealing with programs and projects involving prosecution and defense.

b. other prosecution and defense

- 5% . Miscellaneous correspondence and staff work for OPPA director.

5. Special Mandates and Priorities

None other than specific LEAA requirements for discretionary grants; e.g., may require participation in national project evaluation.

6. Work Load

Unit is presently administering 37 projects. Five projects involve state agencies, the balance involve local units (future entitlement areas.) All current projects have an expiration date prior to October 1980. In 1979 29 closeout reports were prepared. Most of them were renewed or extended into the forward fiscal year.

7. Sources of Work

Local MPA planning unit personnel are acting as local project coordinators on 32 projects and, therefore, this unit's actual workload on these projects is more in the nature of occasional progress or monitoring checks and closeout projects. Primary reliance is placed on the local personnel and their progress reports to follow the projects.

For the nine Discretionary grants, the monitoring is carried out by LEAA monitors, relieving the project coordinator of most of these tasks.

Files and Records

Unit maintains working files on each project, essentially duplicating material in the Central files. Also maintains own files of background or administrative materials of use in day to day work.

9. Major Reports and Distribution

	<u>To</u>
a. Board Summaries of Application	CCPB
b. Sections of Annual Report	Governor
c. Sections of Annual Performance Report	LEAA
d. Sections of Annual Plan (application)	LEAA
e. Back-up information on selected projects	Commissioner

10. Space, Facilities, Equipment

Space is more than adequate -- large, partitioned room for three persons uses about two-thirds of available space. Facilities and equipment are adequate.

B. Analysis and Recommendations

1. Organization

- a. The present organization of two persons reporting to the General Counsel is adequate for handling the present work load. Though the relationship with the Technical Services unit is now on a "dotted line" basis, the actual work of the unit has not changed, and the General Counsel appears to provide little, if any, regular guidance and direction.
- b. All but five or six of the current projects being administered in this unit will be handled by the Entitlement areas, and the project administration requirements by the state will be minimal. One person should easily be able to carry out the remaining responsibilities of the unit. The focus of the work should be shifted to a monitoring/auditing role.

2. Procedures

The present workflow reflects the past requirement for state level project coordination, supplementing the local unit project coordination function.

With the advent of Entitlement Area status for almost all the local MPA units, the requirement for project coordination by the state within these areas will end. In its place will be the requirement to assure that monitoring and auditing are being carried out properly, and, therefore, the procedures should change to accomplish that requirement upon the state.

The recommendation is to assign one person in the Technical Services unit to carry out both the program coordination and monitoring functions.

Appendix 1 - C.T. Unit Workflow

8001. Project Coordinator determines what court related Discretionary grants may be available in the forward period from perusing Federal Register.
8002. Project Coordinator solicits state agencies and local MPA units for possible project applications for such Discretionary grant funds.
8003. Project coordinator receives and logs grant applications for both Discretionary and Action grant funds from state agencies and local MPA units.
8004. P.C. checks application for proper signature, filing of PNRS (Project Notification and Review System per A-95) letter of interest.
8005. P.C. reviews application for compliance with state objectives and priorities and local plans, and if a refunding, checks prior year accomplishment.
8006. P.C. checks proposed budget for reasonableness, and, where appropriate, cost per client.
8007. P.C. checks with other DCJS staff who might have similar projects or possess substantive knowledge on the subject.
8008. If application incomplete or questions arise, P.C. contacts applicant to obtain additional information.
8009. P.C. prepares memo criticizing application and makes recommendation for its disposition to Technical Services chief and OPPA administrator.
8010. If profit is "go" or "shape", Project Board Summary is prepared for CCPB and reviewed by Chief of Technical Services and OPPA administrator and forwarded to reproduction unit.
8011. If application is rejected or to be shaped for future Board presentation, P.C. drafts letter to applicant for OPPA administrator's signature.
8012. P.C. attends Board meeting and has primary responsibility for answering questions.
8013. P.C. prepares contract and routes to Fiscal, Legal and Unit head for review and compliance with E.E.O. and format. (Application is incorporated by reference into the contract.)

8014. If budget modification/extension is requested, P.C. receives GA-1 form after it has been logged in by operations and reviewed by Fiscal.
8015. P.C. reviews GA-1 request for (a) consistency with grant award, (b) proper line item support materials, (c) narrative justification.
8016. If materials are missing, P.C. requests these from project director or local MPA staff.
8017. P.C. indicates recommendation on routing slip and returns to operations unit.
8018. If subcontract and/or Grantee Procurement required, P.C. reviews subcontract prepared by local MPA unit for compliance and conformity with grant award and procurement procedures of DCJS and LEAA. P.C. resolves any problems and forwards to Counsel's office. If LEAA approval is required (Discretionary grants), P.C. will prepare letter requesting approval.
8019. P.C. receives copy of contracts.
8020. P.C. receives copies of fiscal cost reports and reviews them to check on progress.
8021. P.C. receives and reviews Progress Reports from sub-grantee for conformity with grant agreement (contract.) If variances are noted, P.C. may recommend a monitoring or auditing visit.
8022. P.C. monitors compliance with project reporting schedule and follow-up to obtain reports if late.
8023. Discretionary grant Progress Reports are forwarded to LEAA.  
P.C. and/or Staff Monitor schedule monitoring visit to observe project activities, review files, discuss progress.  
A monitoring visit is required prior to application for renewal.
8024. P.C. conducts phone and in-person consultations with project coordinators as required.  
Spends time only with projects needing help.
8025. Solicit and receive final progress report, equipment inventory, and final fiscal report.
8026. Complete close-out report forms within 90 days of close of project and letter to sub-grantee of official closure. Sends forms to Technical Service Administrative secretary who sends to Central Files.

MONITORING/AUDITING UNIT

A. Background

1. Purpose of unit

To provide the OPPA Administrator and staff with accurate and up-to-date information on the activities of subgrantees throughout New York State in the areas of contract compliance and fiscal integrity. Such information is necessary to make rational decisions concerning modifications of on-going projects, continued funding, cancellation, and planning for future projects.

2. Force as of 2/4/80

Wright	-	29	-	Chief C.J. Prog. Monitor	-	Unit Chief
Procino	-	27	-	Sr. " Monitoring Spec.	-	Monitor
Boyce	-	27	-	" " " "	-	"
Dunigan	-	25	-	" " " "	-	"
Leyden	-	25	-	" " " "	-	"
Bird	-	23	-	Associate Auditor	-	Auditor, Upstate
Berry	-	23	-	Associate Accountant	-	" , Downstate
Johnson	-	09	-	Senior Steno	-	Unit Steno

3. Source of funds

Fully funded under the planning grant.

4. Functions of unit

a. Major functions

66% 1) To monitor all active grants for substantive contract compliance and adherence to appropriate fiscal guidelines.

30% 2) To perform financial audits of sub-grantees.

b. Other functions

4% 1) To perform special investigations of grants where allegations of impropriety have been made.

5. Special mandates/priorities

a. Priority order in which projects will be monitored.

1) Projects under consideration for refunding by the Board. It is Board policy that all projects up for refunding must be monitored before being presented to the Board, found to be in compliance, and acceptable for refunding.

2. Requests from Project Coordinators or Fiscal, via memo, that a project should be monitored due to problems being encountered, e.g., implementation problems, late fiscal cost reports, potential fiscal problems, etc.

3. Notification from others (local planning office, LEAA) that they are experiencing problems with the project.

b. The frequency of monitoring each project is governed by a policy established in 1978. The number of visits is based upon the projects funding level. The policy requires monitoring visits by both Monitors and Project Coordinators. However, the policy is not always followed. If a good project (Police Dept., District Attorneys, etc.), no problems, and the grant is rather straight-forward, fewer visits will be made. Also, cost effectiveness is a consideration (travel costs vs. funding level and performance). The policy is as follows:

1) Each project initially monitored 90 days after implementation of current phase.

2) Each project monitored 2 months prior to refunding submission to the Board.

3) Minimum visits per year:

<u>Funding</u>	<u>Visits</u>
Under \$100,000	2
\$100,000 - \$250,000	3
Over \$250,000	4

4) Problem projects will be monitored as many times as needed.

c. Priority of auditing projects:

1) Requests from Project Coordinators or Fiscal, via memo, that a project needs to be audited.

2) Close-outs and conclusion of a funding period (refundings). Priority of these is based upon level of funding.

3) Community based projects receive more audit attention than local government projects.

d. Potential Fraud

If during the course of monitoring or auditing a project potential fraud is detected, the DCJS General Counsel is notified. The General Counsel then notifies LEAA who informs DCJS to proceed with the monitoring/auditing and keep them informed or to stop and LEAA auditors will take over.

6. Workload

a. Monitoring

- 1) On the average, the Unit Chief assigns 1 monitoring visit per week to each Monitor.
- 2) Volumes peak 6 times per year, before each Board meeting.
- 3) 250 monitoring visits made by the DCJS Monitors in 1978 by a force of 6 Monitors, 185 in 1979 by a force of 4 Monitors, and 122 in 1979 by the Project Coordinators.
- 4) Length of a monitoring assignment:  
2 days preparation  
1 day site visit  
2 days report writing  
5 days total

The written report is due to the Unit Chief 5 days after the site visit.

b. Auditing

- 1) The Unit Chief has only been responsible for the audit function since 1/7/80. However, the previous Section Head (H. Friedman) told us (10/79) that his 4 auditors performed 60 audits during the past 2 years (7 to 8 audits/year/auditor).
- 2) Length of auditing assignment (estimated by J. Berry, Auditor, 2/11/80).  
3 weeks preparation  
2 weeks site visit  
3 weeks analysis and report writing  
8 weeks total

- 3) One of the Auditors lives upstate and performs all audits North and West of Albany. He meets the Unit Chief once a month in NYC and receives his audit assignments. He calls the Unit Chief every Friday and reports the weeks activity and follows up with a written one page memo to certify his activities. Hand-written audit reports are sent to NYC for typing.

7. Sources of work

The source of the assignments is the Monitoring/Auditing Schedule as produced by applying the rules outlined above under 5 (Special mandates/priorities).

8. Files and records

a. Monitoring/Auditing Site Visit file.

This is a 5 x 7 index card file maintained by the Unit Chief. One card per grant showing the dates of all monitoring and auditing site visits, name of visitor, and date report submitted. File is in DCJS number order.

b. "Green Book"

This is a loose-leaf notebook maintained by the Unit Steno. It lists all monitoring reports (and audit reports since 1/80) by date of release. It shows the DCJS number, project title, Monitor/Auditor initials, date of report, and date mailed. There are separate sections for each local planning office.

c. Audit workpapers

These workpapers are prepared by the Auditors to document their audit of a project and to support their findings.

d. Monitoring/Auditing Unit file

This file contains a folder for each grant approved by the Board. The folders contain:

- Board summary
- Grant application
- Monitoring reports
- Audit reports
- Other correspondence relative to auditing or monitoring, e.g., alert sheets.



9. Major reports and distribution

a. Monitoring reports

- Monitoring/Auditing Unit file
- Project Coordinator
- Central Files
- Fiscal Administrator
- OPPA Administrator -- if major problem involved
- Local planning office
- Implementing agency
- Evaluation Unit
- OPPA Administrator

If project is up  
for refunding.

b. Audit reports

- Monitoring/Auditing Unit file
- Fiscal Administrator
- Project Coordinator
- Implementing agency
- Local planning office
- OPPA Administrator -- if extensive accruals or  
major deficiencies are involved

10. Space, facilities, and equipment

These appear to be adequate.

B. Analysis and Recommendations

1. Organization

a. In November 1979, we initially recommended that monitoring and auditing be eliminated as separate units and the Monitors and Auditors, along with the responsibility for these two functions, be transferred to the various Technical Assistance units. In January 1980, the monitoring and auditing units were combined into one unit under one Unit Chief. Our recommendation for transferring these functions into the Technical Assistance units still appears viable.

b. There are presently 2 salary grade 25 and 2 salary grade 27 Monitors in the unit. The original concept was to have 4 two-member teams of 1 salary grade 25 and 1 salary grade 27. The 27 would be the "key" or "lead" Monitor and would supervise the 25. Also, the teams would specialize in a certain area, e.g., law enforcement, corrections, juvenile justice, etc. The existing 4 Monitors cover all areas, the 25s perform the same activities as the 27s, and the 27s do not supervise the 25s. For the most part, the Monitors are specialists in a certain area but they are also given monitoring assignments in other areas.

The assignment of Monitors to areas outside their areas of expertise would appear to be desirable as it should bring fresh ideas and new approaches to bear on a particular subject.

c. There are presently 2 Auditors in the Unit. One Auditor is responsible for performing audits of sub-grantees North and West of Albany, the other Auditor conducts audits of the remaining subgrantees. Audits are presently conducted on a grant-by-grant basis. Prior to the time that the responsibility for auditing was transferred into this unit (1/7/80) the audit work was performed by 4 Auditors.

In our prior discussion with the previous Section Head for auditing (H. Friedman 10/2/79) we were told that his 4 Auditors performed 60 audits during the past 2 years and that the average audit required 10 days (1 day preparation, 4 days field work, 5 days report writing). These figures do not seem to add-up. Assuming an average of 10 days per audit, 200 work days available per year per Auditor, 4 Auditors should be able to perform 80 audits per year as opposed to 60 audits during the past 2 years. To further confuse the issue, one of the existing Auditors (J. Berry) informed us that the average audit requires approximately 8 weeks.

After a review of several recent audit reports, several sets of audit workpapers, and the procedures and forms utilized by the auditors, it appears that an average of 10 days per audit would be more realistic. Based upon their experience in auditing subgrantees, Peat, Marwick, Mitchell & Co. agree that ten days is a realistic average.

We recommend that the forms discussed below (under 2,a) be implemented to document the time required to perform audits, to help establish an objective average days per audit, and to aid in scheduling the audits.

In our opinion, if the productivity rate of 10 days per audit is not achieved, the present force of 2 Auditors is not sufficient to satisfy the commitment to LEAA to audit a minimum of 25% of the total number of annual awards and 50% of the total dollar value of annual awards. This opinion is based upon the estimated number of subgrants to be made as contained in the 1980 Comprehensive Crime Control Plan (126 subgrants).

## 2. Procedures

- a. During the interview with the Unit Chief, it was determined that a readily available list of audits and monitoring visits completed, the time required to perform each audit and visit, and average times to perform audits and monitoring visits does not exist.

In order to provide the data necessary to effectively manage and control the auditing and monitoring activities, it is recommended that the attached forms be utilized as described below. Regardless of where the monitoring and auditing functions are performed (at DCJS or in the local planning offices) it is felt that these forms should be used by DCJS and the local planning offices.

### Form 1 - (See page 143)

This form should be prepared during the course of a monitoring/auditing assignment by the Monitor/Project Coordinator/Auditor. It serves as documentation of the time spent on the assignment, provides data for preparation of forms 2 through 5, provides bench mark time requirements for the person performing a subsequent monitoring visit or audit, and provides the Unit Chief a tool to appraise and control productivity.

### Form 2 - (See page 144)

This form should be posted by the Unit Chief for each Monitor/Auditor. It provides a record of completed assignments for each individual and should be used to compare productivity among individuals. Average work days and average lost time per assignment can be calculated.

### Forms 3, 4, and 5 - (See pages 145-146)

These forms should be posted to provide readily available lists of monitoring visits and audits completed during the year. Average work days to conduct the visits and audits can be calculated.

- b. Monitoring assignments are made by the Unit Chief to the Monitors one at a time. At the completion of one assignment another one is given to the Monitor. In addition, Monitors are given 5 days to complete an assignment (2 days preparation, 1 day site visit, and 2 days report writing). We accompanied Monitors on two site visits and observed post-site visit activity in the Monitors' offices. Our observations indicated that there is excessive wasted time built into the 5 day allowance. In our opinion, 2 to 3 days would be a more realistic objective for monitoring assignments.

In addition, assignments should be made so that each Monitor has 3 assignments in various stages at one time. For example, one in the typing-revision stage, one in the site visit stage and one in the preparation stage. If delays are encountered on one, the Monitor can continue on another with no wasted or lost time.

- c. The priority in which grants are selected for monitoring as explained by the Unit Chief (see A,5,a) is not as specified in the "Field Monitoring Section-Guidelines and Procedures" dated 1976. In our opinion, the priority order established in the guidelines (large fund projects, potential problem projects, projects up for refunding, innovative projects, and new projects related to other projects or requests to determine capability to manage the project) is well thought-out and should be followed.
- d. There is a duplication of monitoring effort between the NYC-CJCC Planners and the DCJS Monitors. In addition, there is a lack of communication and sharing of information between DCJS and the local planning offices in that DCJS does not send copies of their monitoring reports to the local planning offices except when a project is up for refunding. To cite one example; the Department of Corrections Comprehensive Educational Services project was monitored by DCJS in June 1979 and found to have experienced initial cash-flow problems but was "well on the way toward meeting its objectives". The DCJS Monitor recommended additional monitoring.

During October and November, 1979 the CJCC Planner monitored the project (visited 4 sites) and issued 4 monitoring reports. Many of the questions were left unanswered, complete areas were not addressed, and some of the conclusions reached by the Planner were not supported. For example, the fiscal cash flow section of the questionnaire was not addressed; however, in the conclusions and recommendations section the Planner identified cash flow as the only problem requiring action by the CJCC staff. On two of the reports the Planner's recommendation was to "keep up the good work".

On January 8, 1980 DCJS again monitored the project and found the project "fulfilling its contractual obligation according to the guideline of the contract". Subsequent to this report, the DCJS staff met with the Project Director, the Department of Corrections, and CJCC and analyzed various project data including CJCC's evaluation report. Based on their review of this information, DCJS disapproved the project's application for refunding (to be presented to the February 28, 1980 CCPB meeting) for the following reasons:

- Documentation problems re impact of course offerings in Basic Education.
- Inadequate data re pre- and post-testing of enrollees.
- Questions re the educational value of the hospital components.
- Non-implementation of 3 courses.
- Enrollment and counselling problems.

None of these alleged deficiencies were mentioned in any monitoring report by DCJS or CJCC.

The Project Director responded to these deficiencies with additional information and assurances, and on March 4, 1980 DCJS approved an extension through July 31, 1980 and a budget increase of \$117,783.

In addition to being an example of duplication of monitoring effort and lack of communications, the above raises questions concerning the objectivity and thoroughness of the DCJS Monitor and the CJCC Planner.

We recommend that all monitoring reports be shared between DCJS and the appropriate local planning office. We further recommend that the local planning offices be required to send a copy of their monitoring reports to DCJS.

- e. The DCJS monitoring report is a 21 page questionnaire entitled "Project Site Monitoring Form". It contains four parts: background information, programmatic information, administration of project - budget analysis, and summary-recommendation. Most of the questions on the form are responded to by checking "yes" or "no" and providing an explanation where required, and by filling-in blank spaces with information available in the DCJS files. The summary-recommendation section requires the Monitor to write a description of the project's progress in reaching its goals and objectives, a description of the major problem areas if any, and recommendations for corrective action to be taken by the project staff and DCJS if any.

The form is used as a guide and a documentation vehicle by the Monitor while in the field. Upon completion of the site visit, the responses to the questions along with the Monitor's summary and recommendations are typed on a clean set of forms and issued as a monitoring report.

After reading nine recently issued monitoring reports, we concluded that existing monitoring reports appear to be mainly a lengthy list of questions and responses with little interpretation or analysis by the Monitor. In this connection we make the following recommendations:

- 1) The 21 page form should be used as a guide, check-list and documentation vehicle by the Monitor during the course of the monitoring visit. The forms should not be typed or issued as a monitoring report.
  - 2) The forms should be used by the Monitor as notes for preparing a one or two page narrative monitoring report. This narrative report should briefly describe the project's goals, objectives, and tasks; progress made to date in achieving these goals, objectives, and tasks; and problems identified during the monitoring visit and their resolution and/or planned action.
  - 3) The typed narrative report and its supporting documentation (the forms) should be reviewed by the Unit Chief to ensure that all areas have been covered, nothing has been omitted from the narrative report, and that the narrative report is supported by the forms. The typed narrative monitoring report should then be issued.
- f) A review and analysis of 9 recently issued monitoring reports disclosed the following:
- 1) The description contained in the summary-recommendation section of 4 reports concerning the projects' progress in reaching their goals and objectives were inadequate in that they listed various accomplishments but did not indicate how this compared with the objectives and goals of the projects. That is, one cannot tell if they are making progress and if they are on schedule.
  - 2) One item on the questionnaire form requires the Monitor to describe the project by outlining the project's goals and objectives. The next item requires the Monitor to list the principal specific project tasks. Several pages later the question is asked: "Are the specific objectives of the project being met? Yes \_\_, no \_\_ (list those that are not)."

It is recommended that the form be redesigned and require the Monitor to list the goals and objectives and, on the same page next to or following each goal and objective, to document the project's progress in meeting these goals and objectives.

Similarly, the project's progress in accomplishing each principal specific project task should be documented next to or following each task. Such documentation may be a completion date, the number of clients served, etc.

- 3) Another item on the form asks, "Have special conditions been complied with? If not, indicate those not complied with and reasons." In 2 of the reports the Monitor checked the "no" box but failed to provide reasons and failed to cite the special conditions not complied with. It is recommended that the form be redesigned to require the Monitor to list each special condition and to provide a statement for each concerning compliance and/or non-compliance.
- 4) In response to the question, "Has the grantee submitted required, timely, and acceptable fiscal cost reports?" the Monitors checked "yes" in all 9 reports. However, in one monitoring report the last FCR submitted was one month late and in 2 monitoring reports the last FCRs submitted were 2 months late. This indicates inaccurate reporting and a rather cursory and inadequate review of the finished product.
- 5) Of the 9 monitoring reports reviewed, in the summary-recommendation section, overview of major problem areas; 2 contained meaningful problems, 3 mentioned late or inadequate progress reports, and 4 contained no major problems. We question if these results reflect an in-depth and comprehensive monitoring effort or merely a shallow, superficial review of projects.

If implemented, these recommendations should force the Monitor into doing a more thorough job of reviewing the projects' progress and permit a more objective and meaningful analysis and recommendation.

- 9) We recommend that a quarterly report of significant monitoring and auditing findings be produced and issued within DCJS and sent to all local planning offices. Such a report should be helpful to the local offices to identify problem areas encountered in projects that may warrant their staff checking to determine whether the same deficiencies exist in their projects. If significant monitoring and auditing findings from the local planning offices were also included such a report would be even more valuable.



- h. We were informed by an Auditor (J. Berry) that he never sees the responses to his audits from the implementing agencies or the local planning offices. Since the Auditor who performed the audit is the person who is the most familiar with the audit and who should be in the best position to appraise the adequacy of the responses, we recommend that the Auditors review the responses to their audits and comment as to their adequacy.
- i. A review of several recent audit reports, audit workpapers, and the "Audit Guide" issued by DCJS on August 24, 1977 disclosed the following:
- 1) Audit reports were not in the format required by the guide.
  - 2) Workpapers were not up to the standards as required by the guide (lack of an audit plan, lack of cross-referencing, etc.).
  - 3) The Audit Guide is out-of-date since various changes have been made since it was issued. For example, an "Internal Control Review Questionnaire and Documentation Guide" issued by the US-GAO is being used in place of the guideline in the DCJS Audit Guide.

We recommend that the Audit Guide be updated and reissued and the Auditors required to follow the Guide.

### 3. Impact of JSIA of 1979

#### a. Monitoring

The LEAA proposed rules issued pursuant to the new Act contain the following language relative to monitoring (emphasis added): "State Councils and entitlement areas shall establish policies and procedures for monitoring formula grant-funded programs and projects under their jurisdiction in order to ensure proper management and compliance with Federal law and regulations, and to identify problems which may require corrective action." (31.611a)

This would seem to imply that the State Council would monitor grants to state agencies and balance-of-state areas and each entitlement area would monitor their own subgrantees. This interpretation seems to be supported by paragraph 31.102,b,1,IV

(responsibilities of entitlement areas) which states "providing for accounting, auditing, monitoring, and evaluation of programs and projects."

If the above interpretation is correct and with the anticipated formation of entitlement areas by the larger units of local government, the monitoring workload should be significantly reduced. It is estimated that this reduced level of monitoring will require two Monitors. It is therefore recommended that the monitoring and program coordination functions be consolidated into a single Technical Services Unit. The program coordination and monitoring functions would be carried out by the same staff as opposed to separate staffs.

The proposed rules permit the State to require entitlement areas to forward copies of their monitoring reports to the State Council. In order to ensure that entitlement areas are in fact monitoring programs and projects under their jurisdiction, it would seem desirable that the State implement this option.

It would also seem desirable that the monitoring policies and procedures required to be developed by the State Council and the entitlement areas be developed jointly so that one policy and procedure be applicable state-wide. Such a singular policy and procedure would more readily permit the State Council to determine entitlement area compliance.

#### b. Auditing

The LEAA proposed rules contain the following language relative to auditing (emphasis added):

- Paragraph 31.101,a,IX (State Council functions)- "Assuring fund accounting, auditing and evaluation of programs and projects funded with formula grant monies to assure compliance with Federal requirements and State law."
- Paragraph 31.102,b,1,IV (responsibilities of entitlement areas) - "Providing for accounting, auditing, monitoring, and evaluation of programs and projects."



Subsection 31.505 (Audit) of the rules contains the following:

• LEAA Policy

- "The State Council and each of its subgrantees must arrange for and have a financial and compliance audit of its activities."
- "Audits of the State Council and each of its subgrantees will be made on an organization-wide basis (entity audits) and not on a grant-by-grant basis."
- "Audits of the State Council and each of its subgrantees will usually be made annually, but not less frequently than every two years. When audits are performed less frequently than annually, they will cover the period since the previous audit."
- "Audit reports, in accordance with GAO reporting standards and applicable requirements in OMB Circulars A-102 and A-110, will be prepared and issued in connection with all audit work. Procedures will be established to ensure the timely and appropriate resolution of the audit findings and recommendations contained in those reports."

• Background

- "Accordingly, the audit responsibilities of all recipients of LEAA funds are those specifically established in the JSIA and the referenced Attachments to OMB Circulars A-102 and A-110."
- "OMB Circulars A-102 and A-110 mandate that all grantees, subgrantees and subrecipients must have at least a financial and compliance audit, usually annually but not less frequently than every two years. These audits are to be made on an organization-wide basis rather than on a grant-by-grant basis. Arrangements for the conduct of the audits are the responsibility of the grantees, subgrantees and subrecipients."

• Application requirement

- State Council - "The application must describe the procedures and controls to ensure that an audit is performed of the State Council... an audit report is issued in connection with the State Council audit...there is a timely and appropriate resolution of all audit findings and recommendations contained in the audit report of the State Council."

- State Council subgrantee audits

"The comprehensive State application must describe the policy, procedures and controls established by the State Council to ensure each of its subgrantees satisfies the audit requirements. These procedures and controls must include:

Clear notification to all applicants of the audit requirements.

A mechanism for ensuring that subgrantees explicitly agree to comply with the audit requirements (special or general conditions, specific commitment in the application, etc.).

A mechanism for determining that subgrantee audits are due or coming due, that necessary audits have been done and that corrective action is appropriately initiated for instances of subgrantee non-compliance with audit responsibilities.

A control for ensuring that audit reports are prepared upon completion of each subgrantee audit, obtained by the State Council and forwarded to the Office of Audit and Investigation.

A control for ensuring the timely and satisfactory resolution of audit reports by the subgrantee."

In light of the above and conversations with a DCJS staff member who attended a LEAA meeting to explain the proposed rules, it would appear that the State Council would engage an outside auditing firm to perform the audit of itself. It would further appear that the subgrantees (entitlement areas and State Council subgrantees) could also arrange for an audit by an outside auditing

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firm, the State Council auditors, entitlement area auditors, New York State auditors, or local government auditors.

In light of the anticipated formation of entitlement areas by the larger units of local government, the auditing workload should be significantly reduced. To meet the requirement of the Act to ensure that subgrantees satisfy the audit requirements, to perform whatever subgrantee audits are required, and to perform operational or management audits of entitlement area office operations; we recommend that the State Council staff include two auditors. It is recommended that the auditing and program coordination functions (along with monitoring as discussed above) be consolidated into a single Technical Services Unit. The auditor's sole responsibility would be auditing under this proposed organization.

Form 1

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Monitoring By Monitor

Monitoring By P.C.

Audit

Monitor/P.C./Auditor: \_\_\_\_\_

Project Title: \_\_\_\_\_

DCJS#: \_\_\_\_\_ Period Covered By Audit: \_\_\_\_\_

Dates \_\_\_\_\_

Started: \_\_\_\_\_ Completed: \_\_\_\_\_ Report Issued: \_\_\_\_\_

Activity:

	<u>Date Started</u>	<u>Date Completed</u>	<u>Number of Work Days</u>
Preparation - DCJS	_____	_____	_____
Preparation - Local Planning Office	_____	_____	_____
Field Work At Site	_____	_____	_____
Report Preparation	_____	_____	_____
Lost Time (1)	_____	_____	_____
Total Days	_____	_____	_____

Notes:

- (1) Note dates and reasons on reverse.
- (2) Report number of work days in days and half days.

This report is to be prepared by the Monitor/DC/Auditor, reviewed by the unit chief, and filed in the Monitoring/Auditing unit file folder.

## NAME: \_\_\_\_\_ YEAR: \_\_\_\_\_

[illegible]

Year: \_\_\_\_\_

[illegible]

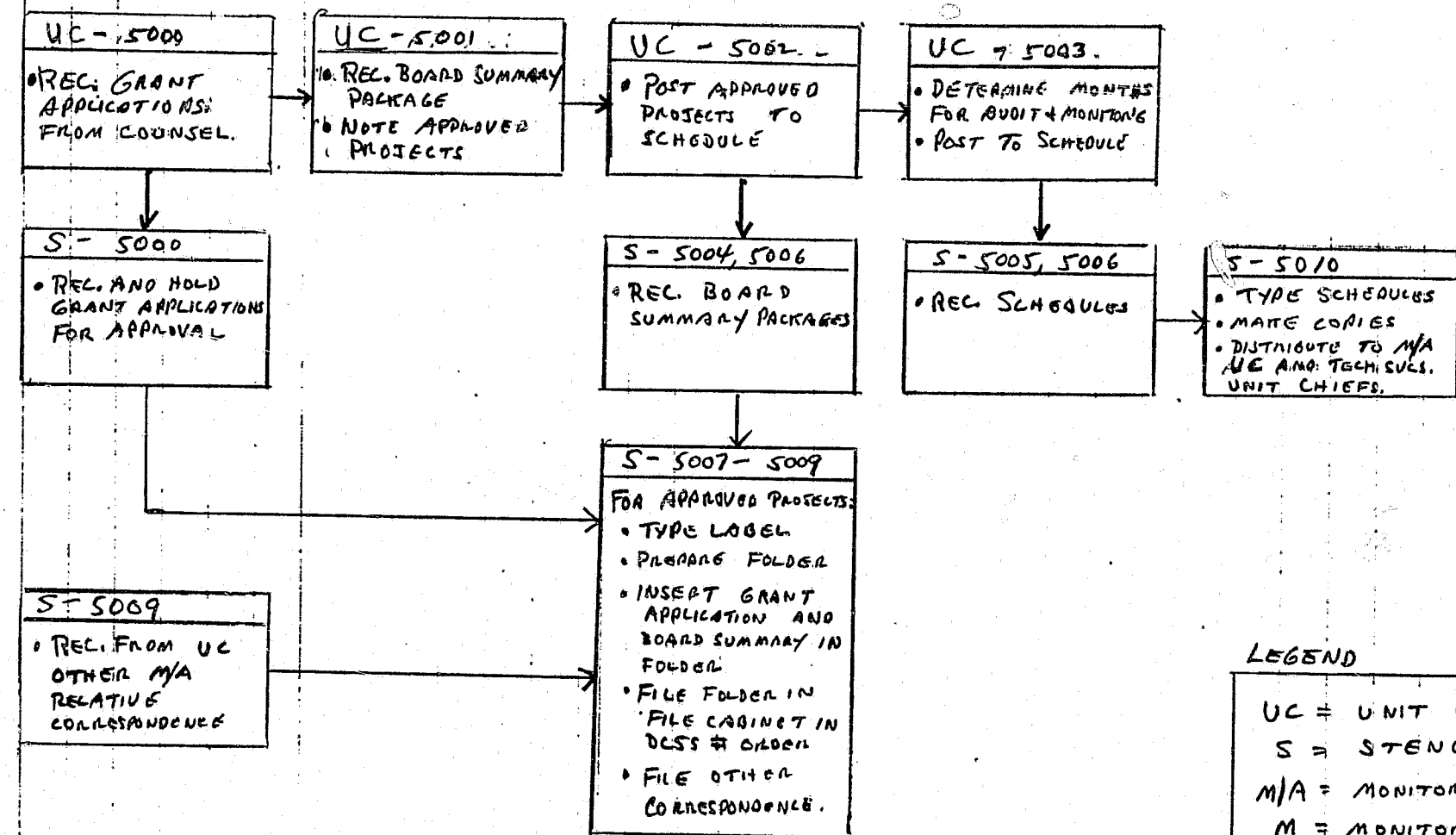


# MONITORING/AUDITING UNIT

## APPENDIX 1

ACTIVITY: PREPARE AND UPDATE MONITORING/AUDITING SCHEDULES, MA 5000-5009

1 OF 6



### LEGEND

UC = UNIT CHIEF  
 S = STENO  
 M/A = MONITORING/AUDITING  
 M = MONITOR  
 A = AUDITOR  
 PC = PROJECT COORDINATOR  
 --- = OUTSIDE M/A UNIT



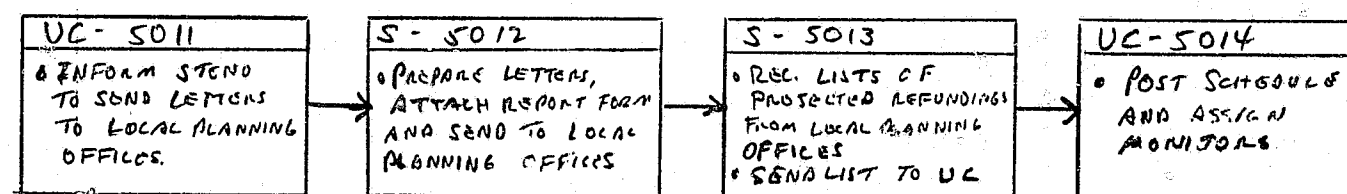
MONITORING/AUDITING UNIT

ACTIVITY: SPECIAL UPDATE OF MONITORING/AUDITING SCHEDULES, PRIOR TO BOARD MEETINGS, FOR PROJECTS TO BE SUBMITTED FOR REFUNDING.

APPENDIX 1

2 OF 6

MA 5011-5014

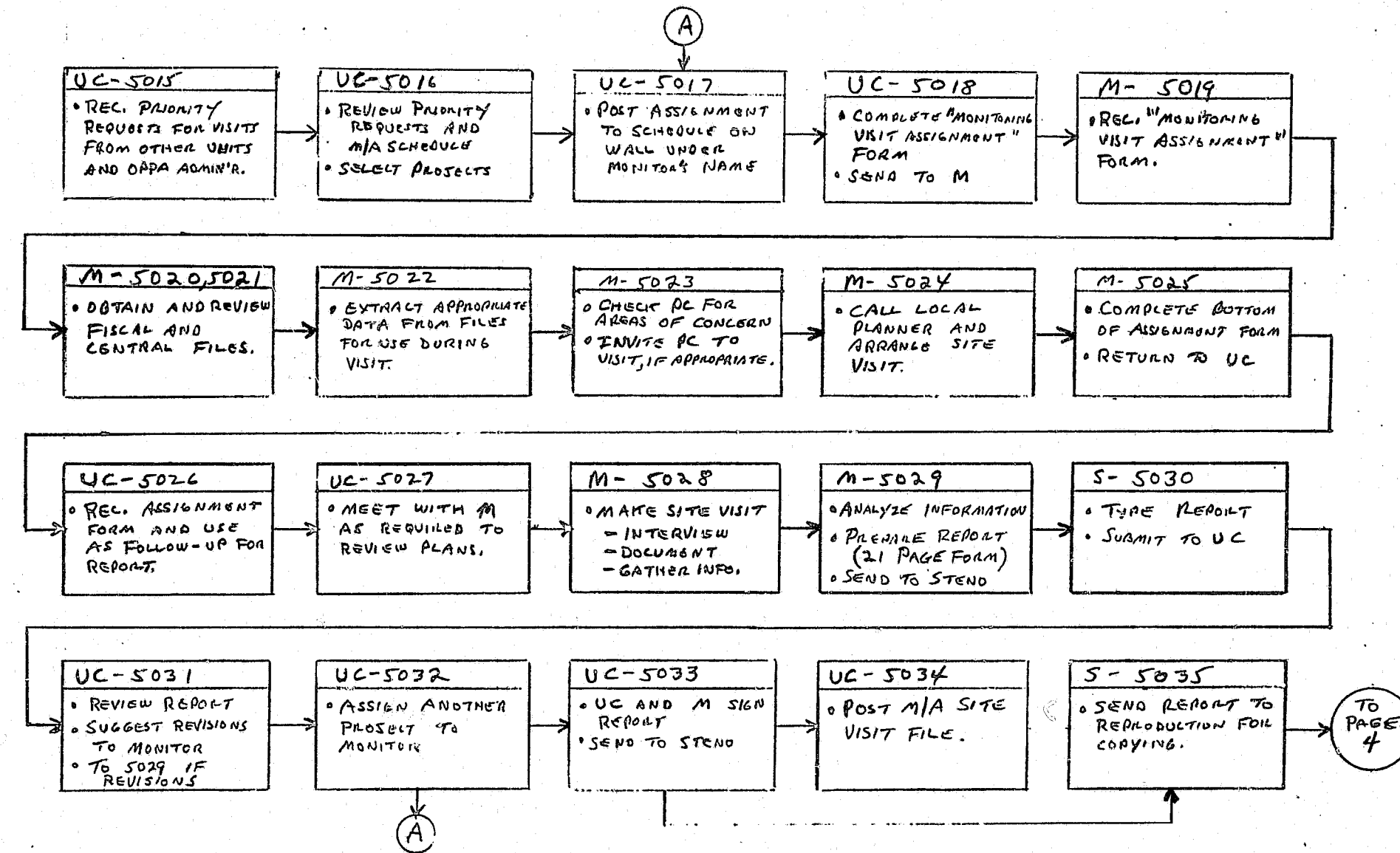


# MONITORING/AUDITING UNIT

## APPENDIX 1

3 OF 6

ACTIVITY: ASSIGN AND CONDUCT MONITORING VISITS. MA 5015-5040



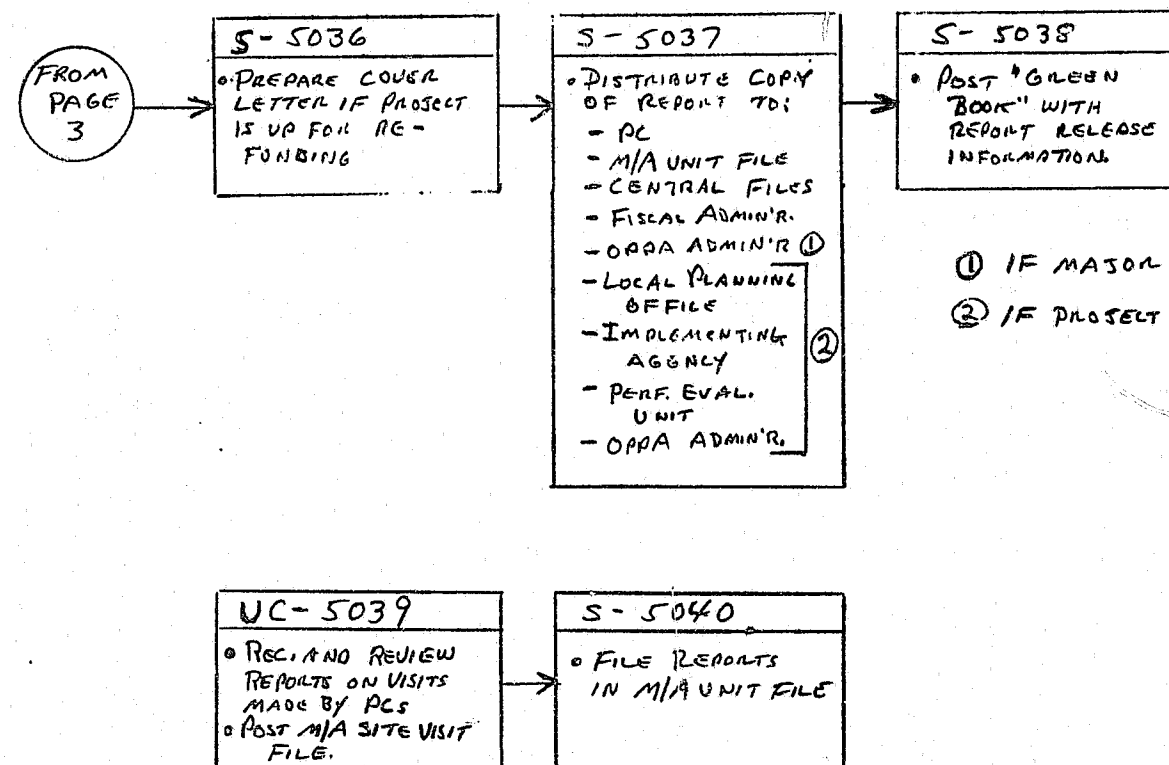
- 150 -

# MONITORING/AUDITING UNIT

APPENDIX 1

4 OF 6

ACTIVITY: ASSIGN AND CONDUCT MONITORING VISITS. MA 5015-5040 (CONTINUED)

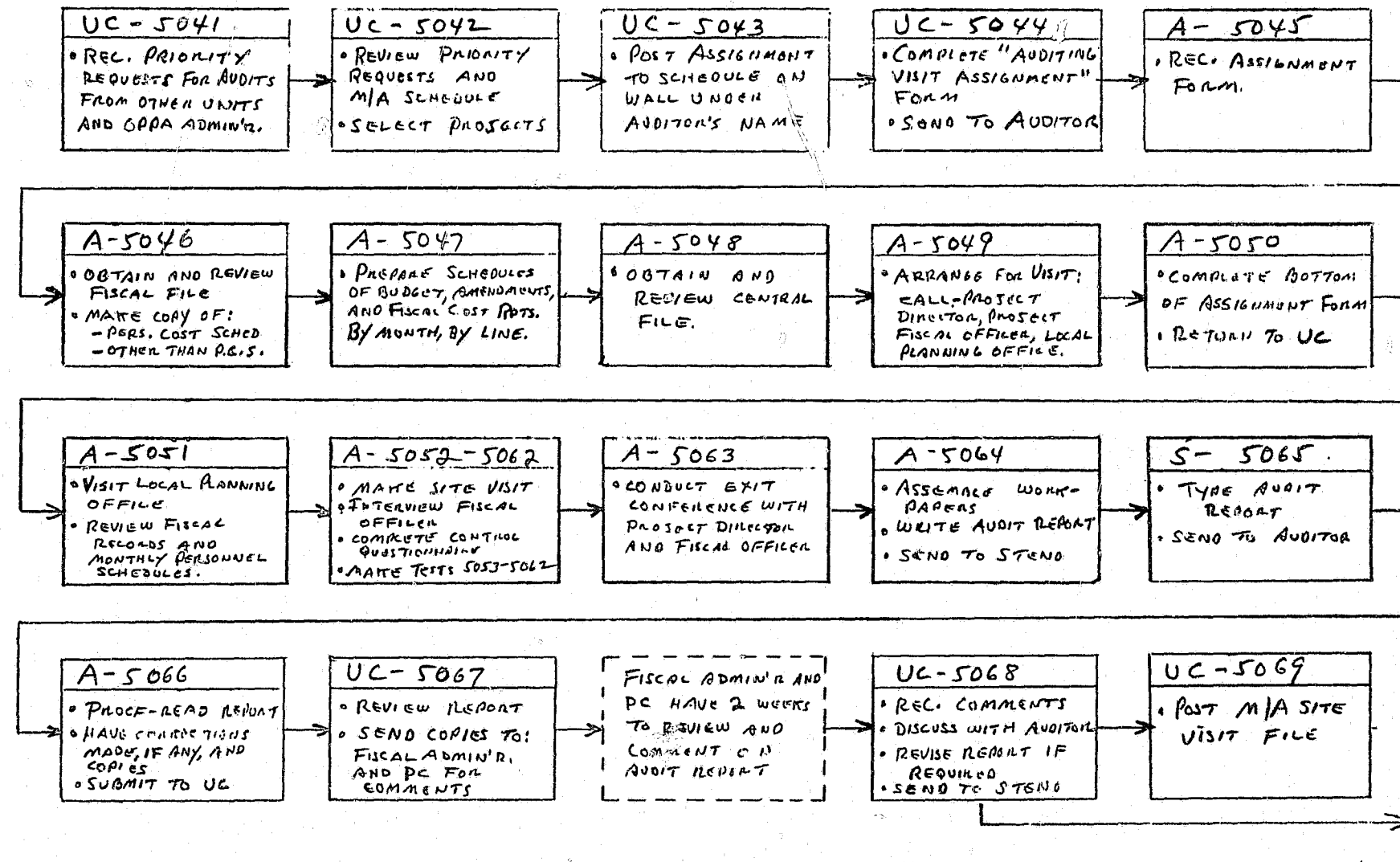


# MONITORING/AUDITING UNIT

APPENDIX 1

5 OF 6

ACTIVITY: ASSIGN AND CONDUCT AUDITS - MA 5041 - 5075

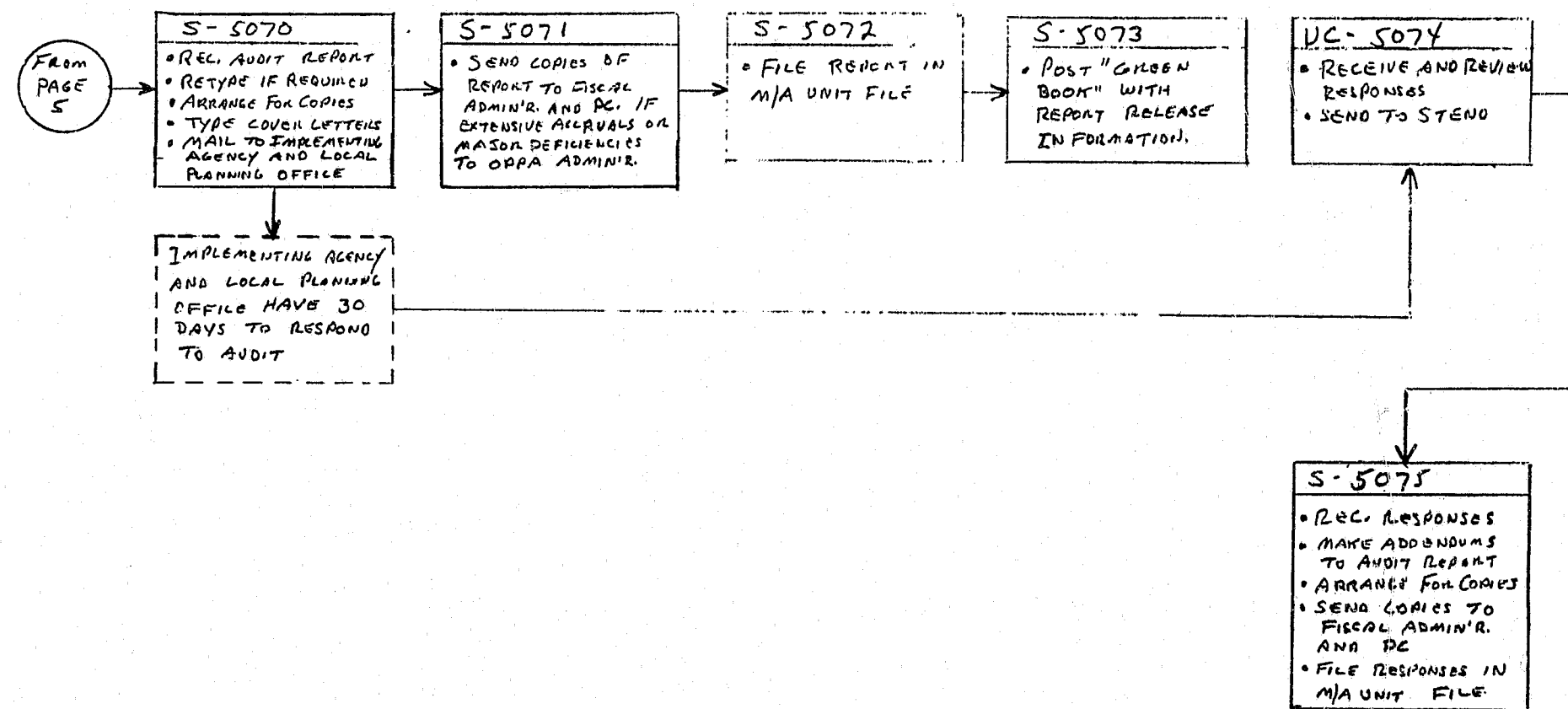


# MONITORING/AUDITING UNIT

## APPENDIX 1

ACTIVITY: ASSIGN AND CONDUCT AUDITS - MA 5041-5075 (CONTINUED)

6 OF 6





UPDATE MONITORING /AUDITING SCHEDULES

Unit Chief

5000. Receive grant applications from legal and give to Steno to hold pending approval of projects.
5001. Receive Board summary package and note approved projects after Board meeting.
5002. Post to Monitoring/Auditing Schedule - DCJS number, title, amount and current end date of all projects approved by the Board.
5003. Determine the appropriate months the projects are to be monitored and audited and post to schedule "M" (planned monitoring visit by Monitor), "TS" (planned monitoring visit by Project Coordinator), and "A" (planned audit). One schedule is prepared and updated for each Project Coordinator.
5004. Send Board summary package to Steno for filing.
5005. Send schedules to Steno for typing.

Steno

5006. Receive Board summaries and schedules.
5007. For approved projects, type file folder label with DCJS number and title.
5008. Attach label to file folder, insert grant application and Board summary, and file in file cabinet in numerical order.
5009. File in file folder any correspondence relative to monitoring or auditing, e.g., alert sheets.
5010. Type Monitoring/Auditing Schedule, make copies, and distribute to Unit Chief and Technical Services Unit Chiefs.

Unit Chief

5011. Inform Steno to prepare and send form letters to local planning offices requesting list of projected refundings for next Board meeting (6 times per year).

Steno

5012. Prepare and send form letters to local planning offices
5013. Receive list of projected refundings from local planning offices and send to Unit Chief.

Unit Chief

5014. Update schedule before each Board meeting based upon "Project Refundings Form" received from local planning offices.

MONITORING

Unit Chief

5015. Receive priority requests for monitoring visits from other units and OPPA Administrator.
5016. Review priority requests and Monitoring/Auditing Schedule, determine which projects are due for a monitoring visit, and select appropriate projects.
5017. Post assignment to control schedule on wall under appropriate monitor's name (DCJS number and project title).
5018. Complete "Monitoring Visit Assignment" form and send to Monitor (Monitor's name, date, DCJS number, project title, award amount, and PC's name).

Monitor

5019. Receive "Monitoring Visit Assignment" form from Unit Chief (approximately 1 per week).
5020. Obtain fiscal file and review for fiscal problems including late receipt of fiscal cost reports and amount of funds expended to date.
5021. Obtain central file and review progress reports and grant award.
5022. Extract the following information from the central file and grant award for use during the site visit and for inclusion in the monitoring report:
  - Project identification information (names, titles, etc.)
  - Award dates
  - Funds awarded
  - Project goals, objectives, and tasks
  - Prior unresolved issues from previous monitoring reports or correspondence.
5023. Check with PC and determine if PC knows of any areas that should be reviewed during the site visit. Invite the PC to attend if appropriate.
5024. Call local planner and arrange for site visit.

**CONTINUED**

**2 OF 3**

5025. Complete bottom section of "Monitoring Visit Assignment" form (date visit scheduled, person notified, date local planner notified) and return to Unit Chief.

Unit Chief

5026. Receive "Monitoring Visit Assignment" form from Monitor and use to follow-up for receipt of monitoring report (goal is 5 days after site visit).
5027. Meet with Monitor as appropriate, prior to site visit, to review planned site visit.

Monitor

5028. Make site visit (this requires 1 day or less). During the site visit interview all appropriate project personnel, sample project files and records, speak with recipients of project's services if any, contact referral sources and/or those parts of the criminal justice system working with the project, and generally gather information and data pertinent to determining overall project performance.
5029. Analyze the information gathered and complete the 21 page "Project Site Monitoring Form" (this is the monitoring report) and send to Steno for typing.

Steno

5030. Type monitoring report and submit to Unit Chief.

Unit Chief

5031. Review monitoring report and make suggestions to monitor for revision.
5032. Assign another project to the Monitor (MA 5017).
5033. Monitor and Unit Chief sign monitoring report and send to Steno for copying and distribution.
5034. Post to Monitoring/Auditing Site Visit file (date of visit, name of visitor, and date report submitted).

Steno

5035. Send monitoring report to Reproduction for copying. If a rush job, make the copies.

5036. Prepare a cover transmittal letter to the local planning office if the monitoring report is for a project up for refunding.

5037. Distribute monitoring reports, one copy to:

- Project Coordinator
  - Monitoring/Auditing Unit file
  - Central files
  - Fiscal Administrator
  - OPPA Administrator -- if major problem is involved
  - Local planning office
  - Implementing agency
  - Performance Evaluation Unit
  - OPPA Administrator
- } Only if a  
refunding  
monitoring visit

5038. Post "Green Book" with DCJS number, project name, Monitor's initials, date of report, and date released.

Unit Chief

5039. Receive monitoring reports on monitoring visits made by Project Coordinators. Review, post to Monitoring/Auditing Site Visit file, and send to Steno.

Steno

5040. Receive monitoring report and file in Monitoring/Auditing Unit file.

AUDITING

Unit Chief

5041. Receive priority requests for audits from other units and OPPA Administrator.
5042. Review priority requests and Monitoring/Auditing Schedule and select project to be audited.
5043. Post assignment to control schedule on wall under appropriate auditor's name (DCJS number and project title).
5044. Complete "Auditing Visit Assignment" form and send to Auditor (Auditor's name, date, DCJS number, project title, award amount, and PC's name).

Auditor

5045. Receive "Auditing Visit Assignment" form from Unit Chief.

5046. Obtain Fiscal File and review entire file. Make copies of:

- Personnel Cost Schedule
- Other Than Personnel Costs Schedule (note: these 2 schedules are submitted semiannually by January 15 and July 15 and at the end of the grant period).

5047. Prepare schedules of the budget and any amendments and the fiscal cost reports by month, by line.

5048. Obtain the Central File and review.

5049. Call the Local Planning Office, Project Director, and Project Fiscal Officer and make arrangements for visits.

5050. Complete bottom section of "Auditing Visit Assignment" form (date visit scheduled, person notified, date local planner notified) and return to Unit Chief.

5051. Visit the local planning office, review the fiscal records and the monthly personnel schedules.

5052. Make site visit. During the site visit interview the Fiscal Officer and complete the "Internal Control Review Questionnaire." Make the tests outlined in MA 5053 through MA 5062 on a judgment sample basis. Tie in all of the costs with grantees general ledger. Check cancelled checks for all items.

5053. Personnel Costs

- Tie in with books
- Tie in with budget figures
- Check annual salaries vs. personnel records
- Check biweekly rates
- Check employment dates vs. employee records
- Check payroll extensions
- Check endorsement signatures on cancelled paychecks with signatures on W-4 forms
- Check year-to-date earnings with cost reports
- Check employee files for qualifications vs. work they are doing
- Check time-keeping methods and verify personnel

5054. Fringe Costs

- Check validity of fringe rate being used.

5055. Consultants

- Check for approval by DCJS
- Check documentation of vouchers

5056. Equipment

- Perform a physical inventory
- Check inventory recordkeeping system and controls
- Tie in with cost report

5057. Supplies

- Review grantees account for supplies.
- Review large items and vouch.

5058. Travel

- Check documentation for travel allowances paid.

5059. Rent

- Check original lease.
- Check size of space.
- Check rent cost per square foot. Should not exceed that specified.
- Determine who is the landlord and check relationship with grantee.
- Vouch rent payments -- cancelled checks.

5060. Alterations

- Check for DCJS and LEAA approvals as appropriate.

5061. All Other

- Telephone is usually a big item checked.
- Review toll statement and question reasons for long distance calls.

5062. Cash Match

- Check details of cash match.

5063. Conduct an exit conference with grantee Project Director and Fiscal Officer. Inform them of the disallowances, if any.

5064. Assemble all documentation, schedules, questionnaires, etc. and file in workpapers. Analyze information gathered, write the audit report, and send to Steno.

Steno

5065. Type the audit report and return to the Auditor.

Auditor

5066. Proofread the typed audit report and submit to Unit Chief after any corrections are made.

Unit Chief

5067. Send copies of draft audit report to Fiscal Administrator and PC for their comments which are due back within 2 weeks.
5068. Upon receipt of comments from Fiscal and the PC, discuss the comments with the Auditor and revise the audit report if appropriate. Send to Steno.
5069. Post to Monitoring/Auditing Site Visit file (date of visit, name of visitor, and date report submitted).

Steno

5070. Retype if required, prepare cover transmittal letters, arrange for copies, and mail a cover letter and an audit report to the implementing agency and the local planning office. The implementing agency and the local planning office have 30 days to respond to the audit.
5071. Send copy of audit report to the Fiscal Administrator, the PC, and, if extensive accruals or major deficiencies are involved, to the OPPA Administrator.
5072. File a copy of the audit report in the Monitoring/Auditing Unit file.
5073. Post "Green Book" with DCJS number, project name, Auditor's initials, date of report, and date released.

Unit Chief

5074. Upon receipt of responses from the implementing agency and the local planning office, review the responses and send to Steno.

Steno

5075. The responses are made addendums to the audit report, copies are arranged for, and sent to Fiscal, the PC and a copy is filed in the Monitoring/Auditing Unit file.

CENTRAL SERVICES UNIT

A. Background

1. Purpose of unit

This unit provides administrative support and service to the entire DCJS operation in New York City. In addition, it serves as the liaison for DCJS on all personnel, payroll and purchasing matters with Albany.

2. Force as of 2/6/80

White	23	Assoc. Training Tech.	- Unit Chief
Gerber	11	Prin. Clerk	- Library
Gatto	03	Typist	- Mail room
Mikell	07	Sr. File Clerk	- Central files
Delmoral	03	Mail Clerk	- Reproduction
Armstrong	01	Mail & Supply Helper	- Receptionist
*Ford	09	Sr. Steno	- Assists Unit Chief
*Collins	07	Sr. Clerk	- Purchasing, supplies, furniture, typing, back-up secretary.

\*Paid via state funds.

3. Source of funds

Funded under the planning grant except for 2 positions as noted above which are paid via state funds.

4. Functions of unit

a. Major functions

- 1) Library operations
- 2) Mail/supply operations
- 3) Reception
- 4) Reproduction
- 5) Central file operations
- 6) Centralized personnel and support

b. Other functions

None



5. Special mandates/priorities

Provide administrative support and service to the NYC - DCJS office.

Cost of Xerox and supplies are billed to each section (OPPA, Evaluation, MRD, etc.) based on usage.

6. Workload

Based upon a number of personal observations and discussions with the staff, the workload appears to require the following:

- Central files - 2 hours per day
- Mail room - 3 hours per day
- Reproduction - 5 hours per day

7. Sources of work

Sources of work is internal (all units) and external to DCJS:

- Mail - internal and external
- Reproduction - internal
- Central file - internal
- Centralized personnel and support - internal and external

8. Files and records

The major files and records and the units where they are located are as follows:

- a. Central Files - This unit consists of 44 file cabinets which contain a file folder for every grant awarded by DCJS. This grant file folder is referred to by OPPA personnel as the "central file". The file folder is organized into "pages" which contain the following:

- Page 1 - grant application and related documents
- Page 2 - grant award and related documents
- Page 3 - budget amendments and related documents
- Page 4 - fiscal cost reports and related documents
- Page 5 - general correspondence
- Page 6 - progress reports

A "red dot" on the file folder indicates that the grant has been closed-out.

In addition, there are 9 file cabinets which contain "over-size documents" which are too large to file in the regular grant file.

Both sets of files are arranged in DCJS# order.

- b. Reproduction - The only record maintained is a daily "Reproduction Log Sheet" on the Xerox 9200 machine. It contains the date, person or unit requesting the copies, number of pages, number of copies, start and end meter readings.

- c. Library - In addition to records maintained for the operation of a library, this unit maintained a "Grant Subject Index". This index contained all CCPB approved projects in subject order. By using this index and the associated card file one could identify the DCJS numbers for all CCPB approved projects on a particular subject, e.g., "work release". In 1976 the librarian was told to stop updating this index since the in-house management information system would provide this information. Since this system was never operational and has been abandoned, the index is now four years out of date.

Books - Books are filed on open shelves in index number order.

Non-Books - Periodicals, reports, etc., are filed in cabinets, in file folders, in index number order.

- d. Main Office - This unit maintains a personnel file on all active and inactive employees. It is a normal personnel file containing performance evaluations, payroll changes, correspondence, etc. This is a duplicate of the official personnel file maintained in Albany.

9. Major reports and distribution

- Payroll changes to Albany
- Yearly inventory of furniture and equipment to Albany

10. Space, facilities, and equipment

- Two DCJS units, Prosecution and Defense and the CCHDB project (Computerized Criminal History Data Base), rent their own Xerox machines. This defeats the economic advantage of having a centralized reproduction facility. Consideration should be given to releasing these machines and utilizing the services of the Reproduction unit.
- It would appear that more space and file cabinets are needed in the Central Files (some of the "oversize documents" are piled on top of the file cabinets). However, the real problem is not a lack of space or file cabinets, but a lack of file management. The files should be

periodically reviewed and old, inactive, closed-out, grant file folders should be removed, inventoried, boxed up, and sent to "dead storage". A destruction date should be assigned to each of these dead storage cartons and the contents destroyed on that date. Such a file management system would undoubtedly solve the space and file cabinet problems.

B. Analysis and recommendations

1. Organization

The existing organization is more than adequate to handle the workload and could easily be reduced by five positions in the following manner:

- Transfer the Principal Clerk (11) position performing the library function to a state-funded position or, alternatively, have the Technical Services Section assume the function.
- Transfer the Typist (03) position performing the mailroom function to a state-funded position since seventy-five percent of the mailroom activity is now related to non-OPPA work.
- Eliminate the Senior File Clerk (07) position performing the filing function, the Mail Clerk (03) position performing the reproduction function, and the Mail and Supply Helper (01) position performing the receptionist function.

Since central filing duties require only about two hours per day and with the expected reduction in the volume of reproduction work, these two functions (filing and reproduction) could be performed by the Senior Clerk (07) and the Senior Steno (09) since their other responsibilities are also expected to reduce in volume.

The position performing the receptionist function could be eliminated by: (1) moving the telecopier equipment and the telephone pick-ups from the reception area into Central Services, and (2) providing floor access control by issuing door keys to all staff members and installing a door bell (responded to by Central Services staff members, only a short distance down the hall) for visitors.

The proposed October 1, 1980 organization and staffing for OPPIA would create a "steno pool" (addition of a Senior Steno and a Steno) in Central Services which could also help pick up additional typing and help cover the filing, reproduction, and receptionist functions.

Achieving the staff reductions in the manner outlined above has the added advantage of preserving the two Central Services state-funded positions.

2. Procedures

The procedures followed by the Central Services staff, with the exception of the need for file management and the need to consolidate reproduction services, (mentioned above under space, facilities, and equipment) appear sound.

3. Impact of JSIA of 1979

With the anticipated formation of entitlement areas, the corresponding reduction in the number of documents to be reproduced, routed and filed; it is expected that the Central Services Unit will be overstaffed. The recommendations made above under Organization address this problem.

LIBRARY

Criminal Justice Section

7000. Order books, periodicals, etc. as requested by staff.. Prepare purchase requisition, if required, and send to Albany for processing.
7001. Receive books, periodicals, etc.
7002. Assign next index number to each item.
7003. Catalogue each item. Prepare subject and title cards and file in subject file and title file.
7004. File item on shelf (book) or in file cabinet (reports, etc., prepare file folder) or circulate to person who requested the item.

Law Section    Same as 7000 through 7004 plus

7005. Receive Law Journal daily and file.
7006. Update law services. For example the "NY State Rules and Regulations" service is 35 volumes and requires monthly updating.

Other

7007. Receive 2 copies of the CCPB project summary package. File one copy in file cabinet in DCJS number order. File the other copy in a loose-leaf binder and file on table.
7008. Receive and review the Federal Registrar, daily. Route to OPPA Administrator and Planning section head if it contains anything dealing with Criminal Justice, LEAA, etc.
7009. Upon request from staff members, perform research. This involves gathering all of the relevant information available on a given subject, including making arrangements to borrow material from other state agency libraries, and sending the material to the person who requested it.

7010. Special projects- For example, setting up a file of the public hearing testimony in connection with the 1981 statewide priorities.

REPRODUCTION

7011. Clear jams and perform preventive maintenance on the Xerox 2400 and 9200 machines.

7012. Operate Xerox 9200 machine (sole operator):

- receive "Reproduction Order" from Unit Chief, initialled as OK to process
- reproduce the indicated number of copies
- staple if required
- deliver to originator

7013. Operate heavy duty stapler and staplex machines.

7014. Record meter readings daily on both Xerox machines. At end-of month, complete meter reading cards, one for each machine, and send to Xerox.

7015. Maintain "Reproduction Log Sheet" for the Xerox 9200. Send to Unit Chief at end-of-month.

7016. Occasionally, provide back-up for reception and mailroom.

MAILROOM

7017. Pick up mail bags on 1st floor at 9 a.m. consisting of 4 bags as follows:

- U.S. mail
- Albany courier
- Albany DCJS courier
- 270 Broadway, 2 WTC courier

7018. Sort mail by name into folders in mail cart.

7019. Deliver and pick up mail:

- once in a.m.
- twice in p.m.

During delivery, pick up outgoing mail from each unit, sort into folders for same or next delivery and put outgoing U.S. and courier mail into bottom of cart.

7020. Remove outgoing U.S. and courier mail from bottom of cart and sort into 4 groups and process as follows:

- U.S. mail - weigh, affix postage, and put into U.S. mail bag

- Albany courier

- Albany DCJS courier

- 270 Broadway, 2 WTC courier

} put each group into separate courier bags on the 1st floor.

7021. At end-of-day, take the U.S. mail bags to the 1st floor.

NOTE: There are 2 time receipt stamping machines in the mail room. They are not used by the mail clerk. We were told that Ira from the Fiscal unit uses it to stamp the fiscal cost reports.

RECEPTION

7022. Greet visitors and direct inquiries.

7023. Operate telecopier machine.

7024. Accept deliveries of packages.

7025. Answer Unit Chief's telephones when unit is not covered by the unit stenos.

CENTRAL FILES

7026. Receive documents for filing from any OPPA unit. Documents are already noted with DCJS #.

7027. Punch holes in top of material.

7028. Remove file folders from file cabinets, insert material to be filed, and refile file folder in file cabinets.

7029. If an "oversize document" is received (too large to file in regular file folder), insert a note in the regular file folder and file the document in the "oversize document" file cabinets.

7030. If material to be filed is for a DCJS # for which no file folder has been established, print DCJS # and project title on a label and affix label to file folder.

7031. Upon receipt of "Close Outs" memo from N. Katopes via Unit Chief, affix a "red dot" to the file folder and file the memo in the close out binder. Receives these memos about once a month.

7032. Respond to telephone inquiries as to whether or not a particular file folder is in file. An "out card" indicates the person who has the file.

Other

7033. Provide back-up for reception, mail room, and reproduction.

7034. Operate sound equipment (amplifier for microphones, tape recorder) at CCPB meetings.

MAIN OFFICE

In addition to supervising her staff, the Unit Head, assisted by the Senior Steno and Senior Clerk perform the following functions:

7035. Process and maintain all personnel records.

7036. Process and maintain all payroll records.

7037. Act as liaison with Albany on all personnel and payroll matters.

7038. Receive and distribute all paychecks.

7039. Maintain the petty cash fund.

7040. Provide orientation for all new staff members.

7041. Arrange for machine repairs, temporary help, building maintenance, and security.

7042. Process travel vouchers and bills.

7043. Perform the purchase function for furniture, office equipment, and supplies.

7044. Arrange for the storage and disposal of furniture.

7045. Coordinate training of DCJS and Local Planning Offices' personnel re attendance at LEAA's Northeastern Regional Training Center conducted by Northeastern University in Massachusetts. This involves maintaining training records, making recommendations as to who should attend, and making the arrangements with Northeastern University and the Local Planning Offices.

7046. Interview, test, and hire all clerical and secretarial personnel.

7047. Test and certify stenos, typists and clerks.

7048. Provide back-up coverage for unit secretaries.

7049. Receive, stock, disburse, and maintain records of supplies.

7050. Type all letters, forms, etc. for the main office.



COUNSEL - OTHER

A. Background Information

1. Purpose of Unit

The office of General Counsel provides the DCJS Commissioner with legal advice and counsel relating to Federal, State and local regulations and laws that may impact DCJS activities. The General Counsel drafts legislation relating to Criminal Justice and assists in obtaining passage by the Legislature. The staff of the General Counsel provides legal reviews of all grant application and all Grant Agreements (contracts) to ensure Civil Rights and E.E.O compliance, that privacy and security rights of individuals are protected that competitive bidding procedures are followed where required, and that LEAA grant funds are not used to support locally funded efforts, ie., "supplantation".

2. Work Force as of 3/5/80

Robert Schlanger - General Counsel  
Arnold Hectman - 1st Deputy Counsel  
John Biggens - Ass't Counsel  
Allen Day - Ass't Counsel  
Nancy Gato - Secretary

3. Source of Funds

The General Counsel and Allen Day, Ass't Counsel, are state funded positions. The others, Arnold Hectman and John Biggens, are funded by OPPA grant Funds.

4. Functions of the Unit

% Time      a. major functions

- |     |   |
|-----|---|
| 35% | 1. Draft legislation as required by the Governor's criminal law program, such as: <ul style="list-style-type: none"><li>a. Revision of Rockefeller Drug Law</li><li>b. Juvenile Offender Law</li><li>c. Gun bill</li><li>d. Amendment to C.P. Law 1650 on Fingerprint Procedure</li></ul> |
| 10% | 2. Review grant applications for legal conformity. <ul style="list-style-type: none"><li>. May involve changing or amending law, such as the Suffolk County Project for TV arraignments.</li></ul>  |
| 5%  | 3. Prepare legal memorandum of items that may impact the C.C.P.B., such   |

as, voting and quorum requirements, or why projects do or do not fall under prior resolutions.

25%

4. Contract legal "review" for compliance with all laws and regulations.

15%

5. Providing legal advice on requests for criminal records through the fingerprint file procedure. Privacy and security provisions must be followed, for example, and there are recent changes in the law in this area.

10%

b. Other Functions

6. General Counsel acts as counsel to the Municipal Police Training Council of DCJS.
7. Serves on the Security and Privacy Committee appointed by the governor.
8. Supervises the Bureau of Prosecution and Defense in DCJS.

5. Special Mandates/Priorities

Federal and state laws and the regulations of LEAA must be followed in all activities of DCJS and OPPA.

6. Workload

- a. Unit receives and reviews all grant applications prior to Board presentations. About 40 applications are presented at each of the six annual Board meetings.
- b. Contracts: G.C. Unit reviews all grant agreements and all sub-contracts with local contractors for legal compliance.
- c. General Counsel spends 90% of his time on drafting legislation and providing legal service to the Commissioner of DCJS, and to DCJS units other than OPPA such as the Fingerprint Criminal Record section. General Counsel is sometimes involved in litigation involving the state or its localities on their criminal justice activities.

7. Sources of Work  
(see above)

8. Files and Records

- a. Files on all litigation.
- b. Committee meeting files.
- c. Freedom of Information Requests.
- d. Memos on legal opinions.

9. Major Reports and Distribution

There are no routine major reports. However, there are many varied legal opinions and reports on Criminal Justice matters.

10. Space, Facilities, Equipment

There are two empty offices in the area assigned to General Counsels staff. The facilities appear to be more the adequate, and the equipment is old but serviceable.

B. Analysis and Recommendations

1. Organization

- a. JSIA of 1979 lists no function for the State Council regarding legal or other review of applications and contracts within the Entitlement areas. The office of General Counsel in DCJS has not addressed itself to the question of whether it will have any continuing legal oversight role with regard to Entitlement area projects.

Entitlement areas will be autonomous in handling their LEAA block grant funds, and the office of General Counsel's workload on legal review of applications and contracts should be sharply reduced in 1981.

The present oversight role of the DCJS Legal unit appears more efficient when compared with a possible need for each of seven or eight Entitlement areas to provide their own legal control functions.

1. The General Counsel should consider what oversight role, if any should be retained.
2. If none for entitlement area grants, one attorney should easily be able to handle the remaining workload involving LEAA projects with part-time secretarial assistance.

2. Procedures

- a. The present work flow of the office of General Counsel is in part structured around the requirement for legal reviews of all applications and contracts funded by LEAA or state funds. These procedures will not change as regards State Agency, Juvenile Justice and Delinquency Prevention Act, or Discretionary grant projects. However, the volume of applications and contracts will be sharply reduced.

- b. Recommend no change in present procedures.

G.C. - Present Workflow

9001. All grant applications are forwarded to John Biggens by Project Coordinators, and John parcels out two-thirds to Allen Day and Arnold Hectman for legal review.
9002. Each of the three attorneys reviews about 13 to 15 grant applications prior to each C.C.P. Board meeting to insure compliance with all regulations and laws such as Civil Rights, E.E.O, and LEAA regulations relating to equipment purchases or non-supplanting use of funds.
9003. Legal Reviews forms are attached to each application bearing notations of any cautions or recommendations and returned to the Project Coordinators.
9004. All Grant Award Agreements (contracts) are forwarded with routing slip by operations unit to Allen Day.
9005. Allen Day reviews contracts for compliance with state and federal laws such as Civil Rights, Privacy and Security rights of individual, and other matters noted in the Application Review.
9006. Allen Day discusses recommended changes or additions with the Project Coordinators.
9007. Allen Day signs off on the Routing Slip and adds comments.

9008. If a subcontractor is to be required, Day cautions on competitive bidding procedures and asks that R.F.P.'s be forwarded to him for review prior to sending to prospective bidders.
9009. Proposed contracts between the locality and successful bidder are forwarded Allen Day for legal review before they are signed.
9010. Day also reviews contracts involving state funds (not LEAA funds), such as the Violent Felony Unit of DCJS.
9011. Other activities include screening requests for the fingerprint record files by Day or Biggers to ensure compliance with all laws and ordinances, including Privacy and Security checks.
9012. In addition, Day reviews proposed ordinances by localities, particularly relating to juvenile or youthful offenders, for legality.
9013. Will now also be required by LEAA to prepare an E.E.O. Plan for the DCJS.
9014. Any litigation involving a community in a discrimination matter comes to the office of General Counsel who assist in defending the locality.
9015. Files are maintained on all litigations that the General Counsel's office has been involved in.

**END**