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TECHNICAL ASSISTANCE PLANNING SUGGESTIONS FOR SPAs, RPUs, & REGIONAL OFFICES, LEAA

Prepared Under the Direction of

OFFICE OF JUVENILE JUSTICE & DELINQUENCY PREVENTION
OFFICE OF REGIONAL OPERATIONS
OFFICE OF PLANNING & MANAGEMENT

AUGUST 1976

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Arthur D. Little, Inc.

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Prepared by:

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PREFACE

This booklet is one product of an LEAA sponsored effort to develop a methodology for technical assistance planning at the state and sub-state regional level. It is the direct outgrowth of a series of training sessions conducted for SPA, RPU, and Regional Office personnel to familiarize them with wuch a methodology

While the training itself was, in many ways, more comprehensive and individualized than any document can be, this handbook is presented as a summary of the content of those sessions. It includes or incorporates the training materials distributed to the sessions' participants, gives in its narrative the substance of prepared lectures and synopsizes major issues which arose during discussion sessions.

In order to assist the states in complying with technical assistance planning requirements contained in the state planning guidelines (specifically, paragraph 83 in M4100.1E), Arthur D. Little, Inc., under the joint direction of LEAA's Office of Regional Operations, Office of Juvenile Justice and Delinquency Prevention, and Office of Planning and Management, undertook the development of an approach to technical assistance planning.

- During April of 1976, each region's summary of its own states' technical assistance planning efforts was examined and analyzed.
- Following and building upon plan analysis, field trips to four states (Connecticut, Washington, Ohio and Louisiana), were conducted in order to test and revise a proposed methodology for conducting technical assistance planning.

- During the month of July a series of training sessions was conducted in each of the ten LEAA regions to familiarize SPA, RPU and Regional Office personnel with this methodology for technical assistance planning.

In structuring a planning methodology to be responsive to the needs of its users and to the constraints under which those users are operating, care was taken during its development to incorporate practical knowledge and experience. During the course of fieldwork, the feasibility and utility of techniques and suggestions contained in this handbook were specifically discussed with Regional Office staff, SPA staff, RPU staff, representatives of sub-grantee agencies, officials of operating criminal justice agencies and other interested parties. Where possible, these techniques were actually tested on-site during the field visits. Training materials were tested with LEAA headquarters staff personnel as they were developed. Hence, the training which emerged from these efforts was the result of an iterative process which featured extensive dialogue among a wide variety of parties.

The primary audience of the training sessions was SPA (and RPU) personnel. Similarly, this booklet is directed to the needs and perspectives at the state and substate regional level. However, Regional Office personnel are assisting the SPA's in fulfilling their responsibilities regarding TA planning and will be engaging in a similar and parallel process at the Regional level. This booklet will also be useful to them. Indeed, many of the same techniques and suggestions must be considered from a regional perspective.

We expect that his booklet will have immediate utility for its various audiences in responding to technical assistance planning requirements for FY 77. However, we also expect that the handbook will retain its usefulness--perhaps become even more helpful--as more time and experience is available in future years to incorporate technical assistance planning into existing procedures for on-going comprehensive planning. We welcome your comments and questions on its current usefulness and applicability, as well as your suggestions on how it might be improved. Such comments may be directed to John Thomas or Bob Soady, ORO, Dave West or Nancy Kujawski, OJJDP; Bill Archey or Larry Solomon, OPM; or Mike Tate or Pam Fenrich, Arthur D. Little, Inc.

Chapter 1

INTRODUCTION

Purpose

The purpose of this document is to provide help with doing the technical assistance planning required in paragraph 83 of the SPA Guidelines Manual M4100.1E. Commentary is provided on three areas for each step of TA planning:

- Concepts, including definitions of TA, how the function fits with other SPA roles, and how it relates to the comprehensive plan;
- Techniques, including suggestions for how to assess needs, identify resources, match needs and resources based on analysis, develop an action plan with clear priorities, and structure a delivery system; and
- Mechanics, including suggested formats, instruments, checklists, timing and personnel considerations.

This guidance is intended to be helpful for FY77 technical assistance planning, where SPAs have chosen the option of submitting their TA plan by October 31 (60 days after the August 31 Comprehensive Plan due date), and for future years.

The primary audience of this booklet is intended to be SPA and RPU personnel. LEAA egional ffice and entral ffice staff can also benefit, since they are placed in a role of providing help to SPA staff with TA planning as well as of carrying through a parallel process to develop regional TA plans and to develop a national technical assistance strategy.

The specific suggestions covered here have three themes:

- each state must adapt these suggestions to its situation, choosing and modifying as appropriate;
- maximum use should be made of existing processes for gathering information, setting priorities, doing analysis, and specifying and implementing delivery of (TA) services;
- while the suggestions made here are intended to be logical, rational, and systematic, they will not achieve automatic change and improvement. There is no magic presented, but rather a set of reasonable approaches which should help solve problems.

Background

The mandate for LEAA and the SPA's with respect to technical assistance is found both in legislation and in policy documents. The Omnibus Crime Control Act and the Juvenile Justice and Delinquency Prevention Act put LEAA directly in the position of offering technical as well as financial assistance. (Exhibit 1 quotes directly from the legislation concerning state and federal TA responsibilities.) The same legislation also requires SPAs to demonstrate a willingness to provide technical assistance to support Comprehensive Plan implementation and to aid local entities regardless of whether they are receiving funds through the SPA. These requirements are not new. They have been in the respective pieces of legislation from their initial passage into law. Thus, the increased focus on technical assistance is an assertion of a responsibility which has long been over-shadowed within LEAA by the responsibility to provide financial assistance.

EXHIBIT 1

LEGISLATIVE BASIS FOR TECHNICAL ASSISTANCE

- Omnibus Crime Control and Safe Streets Act of 1973

  Section 303(a)(10)

  "...each State must demonstrate a willingness to contribute technical assistance or services for programs contemplated by the plan and by the units of general local government."

  Section 515

  "The administration is authorized to render technical assistance..."

- Juvenile Justice and Delinquency Prevention Act of 1974

  Section 102(a)(2)

  (It is the purpose of this Act) "to provide technical assistance to public and private agencies, institutions, and individuals in developing and implementing juvenile delinquency programs;"

  Section 204(b)(7)

  (The Administration shall) "provide technical assistance to Federal, State, and local governments, courts, public and private agencies, institutions, and individulas in the planning, establishment, funding, operation, or evaluation of juvenile delinquency programs.

  Section 223(a)

  "In order to receive formula grants under this part, a State shall submit a plan for carrying out its purposes consistent with the provision of section 303(a),...(10)...of Title I of the Omnibus Crime Control and Safe Streets Act of 1968."

Two policy issuances are particularly pertinent, one addressed primarily to SPA responsibilities and one to LEAA responsibilities. The State Planning Agency Guideline Manual, (M4100.1E for FY77) addresses SPA responsibilities in paragraph 46, for the planning grant application, and in paragraph 83, for the Comprehensive Plan itself. It is there that the basic requirements are set out for development of a technical assistance strategy:

- identification of needs for technical assistance,
- setting priorities within those needs,
- identification of resources,
- matching of needs and resources,
- establishment of an action agenda,
- specification of needs for which no resources have been identified (for RO attention), and
- description of the delivery system through which technical assistance will flow.

The states have the initial responsibility for developing TA plans both to assure attention to real and "grass-roots" needs, and to allow explicit and close coordination with the Comprehensive Plan.

LEAA Instruction I6900.2, dated July 9, 1975, spells out the role and responsibility of the regional offices and of the headquarters offices. Essentially, the regional offices are tasked with two responsibilities:

- assisting SPAs in carrying out those activities which they (the SPA's) are to perform in response to paragraph 83 -- needs assessment, resources identification, analysis, and description of a delivery system; and

- carrying out a parallel process, to develop a regional TA plan, using as a primary input for assessing needs, those needs for which the states cannot find appropriate resources ("unmet needs").

Headquarters offices, in turn, are to analyze the regional submissions, and to develop a national technical assistance strategy, responding in part to needs expressed in state plans, particularly as those needs are beyond state or RO resources.

Definitions

Technical assistance, as it is used here, has a number of characteristics:

- it may be provided through a range of activities, including conferences and seminars, publications, training, and on-site visits;
- it is focussed on operating criminal justice agencies, as opposed to planning agencies;
- it is the provision of assistance through advice, expertise, and knowledge: technical as opposed to financial aid;
- it is product-oriented, with specific expectation of the nature of the product, (whether a report, training seminars, revised systems, new procedures manuals, etc.) and is not primarily a listening or therapy session;
- it is intended to effect skills transfer, so that the recipient is better able to deal with a similar problem the next time it occurs. Therefore, technical assistance should be something to be done "with" the recipient, rather than "to" him, involving the active participation of the recipient;
- it is not evaluation. If the SPA wants to evaluate a sub-grantee, it should do so directly, rather than disguise the evaluation as "help for the project".

- it includes both proactive (or planned in advance) and reactive (or ad hoc and crisis responsive) activities;
- it involves both providers of assistance (sometimes from the SPA, sometimes from elsewhere), and resource managers who put together the parties with a need and those with expertise. (Resource managers are very likely to be from the SPA.)
- finally, technical assistance -- far from being one specific type of aid -- can take many forms depending upon its operational purpose, its client, the sources from which it might come, the specific activities involved, its duration and the event which triggers the rendering of technical assistance. All of these elements of TA require explicit choices among alternatives -- some of which are illustrated on Chart 1. That is, such choices are made which will best effect the transfer of the necessary skills and knowledge to the recipient.

Issues and Assumptions

The suggestions made here about how to develop a technical assistance plan and deliver TA are based on assumptions in several areas:

- relationship to the Comprehensive Plan;
- the implications for SPA/RPU/RO staff roles;
- pros and cons of this "new" TA focus;
- contrasts with the past way of addressing TA;
- cost strategies, the question of who pays.

Each of these is covered below.

CHART 1

ELEMENTS OF TECHNICAL ASSISTANCE

OPERATIONAL PURPOSES	ACTIVITIES	CLIENTS	SOURCES	OTHER ACTORS	TRIGGER	CONCENTRATION of RESOURCES (By:)	DURATION
Information transfer	Seminars	Operating agencies	Profession-al assoc.	C.O.	Client request	Functional	Short term, ad hoc
	Lectures			R.O.			
Assess progress	Conferences	Planning agencies	State service agencies	SPA	Monitor request	Program priorities	Long term, ad hoc
Analysis & advice	On-site visits		SPA		Client-monitor negotiation	Severity of need	Continuing relation-ship
Recommend actions	Publications	Grantees non-grantees	R.O.			Size of client	
	Training		C.O.				
Solve problems	Workshops		Contractor			Type of client	
		Local					
Adapt solutions		State	Universities			Level of government	
Question or reflect		Public vs. Private				Geography	
Assemble information						Proximity or remote-ness	
Support program							

1. Linkage to the Comprehensive Plan

Technical assistance planning and the anticipated delivery of TA is directly related to implementation of the Comprehensive Plan. It is not, however, limited to the Annual Action Program.

a. TA planning should not be a separate process, rather it should be grafted onto (or integrated with) your comprehensive planning process.

b. Early on, perhaps at the time of your planning grant application, you should develop an action schedule for doing the TA planning.

c. As mentioned in paragraph 83, one purpose of TA planning is to help achieve the goals of the Comprehensive Plan.

d. Since the TA role is not one of financial help, or grants, it can go well beyond what you fund in the Plan to address needs throughout the criminal justice system.

e. The specific support of and linkages to the Comprehensive Plan should be carefully considered and explicitly identified.

2. Role of the SPA/RPUS, and Regional Offices

a. Both RO and SPA/RPU staff now will play a larger TA role. They will no longer simply be primarily conduits for request, but more often act directly as providers and resource managers.

b. Thus their role in needs assessment, resources identification, and analysis is proactive. They will now be planning for technical assistance rather than only responding to external requests. For the SPAs and RPUs this is a natural adjunct to their established role in planning, defining and monitoring projects.

For RO staff this TA planning role is a useful complement to their other activities as representatives or program specialists.

c. The role is also reactive -- responding to crises and to ad hoc needs. That is, the old way is not gone; it is simply complemented by a new way.

d. RO and SPA staff are both brokers and providers of TA. The process calls for TA planning, as well as delivering or assuring delivery of TA. Therefore, in some cases, staff will be on-site, providing hands-on assistance to a client. In other cases (probably the majority at the SPA level), the staff will be functioning as brokers -- locating the assistance, seeing that the TA to be provided is adequately defined, and getting it delivered.

3. There are pros and cons to the "new TA look."

   a. The cons (as expressed by SPA staff persons):

      - It overlaps with the existing process for developing the Comprehensive Plan;
      - It is simply too much work;
      - It is just another priority ("this, too, shall pass"):
      - Therefore, if it is a lot of work and only a transitory priority, it is risky for the SPA to invest its resources here.

   b. The pros (in our opinion worthy of SPA consideration):

      - It posits a new, more solid, credible and permanent role for the SPA. The SPA becomes not just the money source, but a genuine resource for advice and guidance.
      - It puts the SPA and RO in the service delivery business, securing and providing help.

- More organizations can be helped, since response can be more certain and perhaps more timely.
- It can make the Comprehensive Plan a genuine action document, not simply an abstract statement of idealistic possibilities.
- The potential impact is considerable, in solving operational problems and helping achieve the goals of the Comprehensive Plan.
- System-wide impact and increased coordination between operating agencies, facilitated by the SPA, is a long-run possibility.
- Where the priorities are clear, as in the Juvenile Justice area, with deinstitutionalization and diversion, the TA role can be particularly well focussed on helping operating agencies achieve those goals.

4. Contrasts with the Past

a. The new TA emphasis posits an approach which is planned, rather than reactive and ad hoc. The assumption here is that planning for technial assistance is possible for new initiatives, for recurring problems, and even for the eventuality of meeting as yet unspecified crises, since we are likely to know they will occur but be uncertain about the particular timing and location.

b. The first (and last) source of help is not necessarily a national TA contractor. Hence a wider range of resources, within the state, the SPA, the RO, and the region is called into play.

c. There is a much stronger focus on finding and developing in-state resources. One problem may be that "the prophet is without honor in his own land"; but many needs can be met very well by other state and local agencies, local universities, and other agencies.

d. TA resources are to be allocated according to chosen priorities, rather than by taking requests on a first-come, first-served basis; by doing everything until the money runs out; or by never initiating or seeking out needs, only dealing with requests.

e. The SPA is the first and primary level of responsibility. The RO is complementary, to provide help with TA planning and to respond to needs beyond state resources. Central office help is available, but after consideration of state and regional resources.

5. Cost strategies will vary, but must be specifically addressed in writing a TA action plan. Options include:

a. Client could pay for TA, from regular budget or grant funds.

b. SPA could establish a TA budget line item, to buy services or to allocate to RPUs.

c. Large grants ($50,000 and up) could be required to have a 5% add-on reserved for TA.

d. LEAA could allocate regional TA budgets, to purchase services at RO initiative in response to state needs.

e. SPA or RO could establish, through grants, a TA delivery resource either for functional areas (police, juvenile justice, courts, corrections), or to meet top priority multi-year needs (e.g., bring the state and local corrections system into compliance with court order, or establish a criminal justice institute to do training for all functional areas).

f. SPA and client could share costs of reimbursing state or federal sources of help for "out of pocket" expenses, with no reimbursement for staff salaries.

Chapter 2

TA PLAN PREPARATION

The purpose of this section is to provide some context within which to read subsequent sections of the handbook concerning the specifics of technical assistance planning. It is a framework which describes very briefly what is to follow and contains:

- an overview of the planning process which describes each major activity and its relationship to other activities;

- a suggested TA plan format which structures the content required to support effective TA planning and service delivery while meeting LEAA legislative requirements and guidelines; and

- suggested display formats for arraying data collected during plan development in easily readable form.

Process Overview

The TA planning process has five basic activities:

- TA planning strategy development;
- Needs and resource identification;
- Matching and analysis of needs and resources;
- Documentation of the plan;
- Delivery of technical assistance.

Although some of these activities may naturally occur simultaneously in the SPA, they are presented sequentially here for purposes of illustration.

1. TA Planning Strategy Development

Prior to the initiation of the plan development process, some critical decisions must be made. These include:

- <u>The scope of the TA planning effort</u>

  The SPA must decide how expansive or delimited TA planning will be in order to achieve the maximum realistic utility of its TA resources and staff. Where one SPA may decide to address the entire criminal justice system, another may choose to address only those entities which they directly fund or a priority subset of that group.

- <u>The timetable for TA Plan development</u>

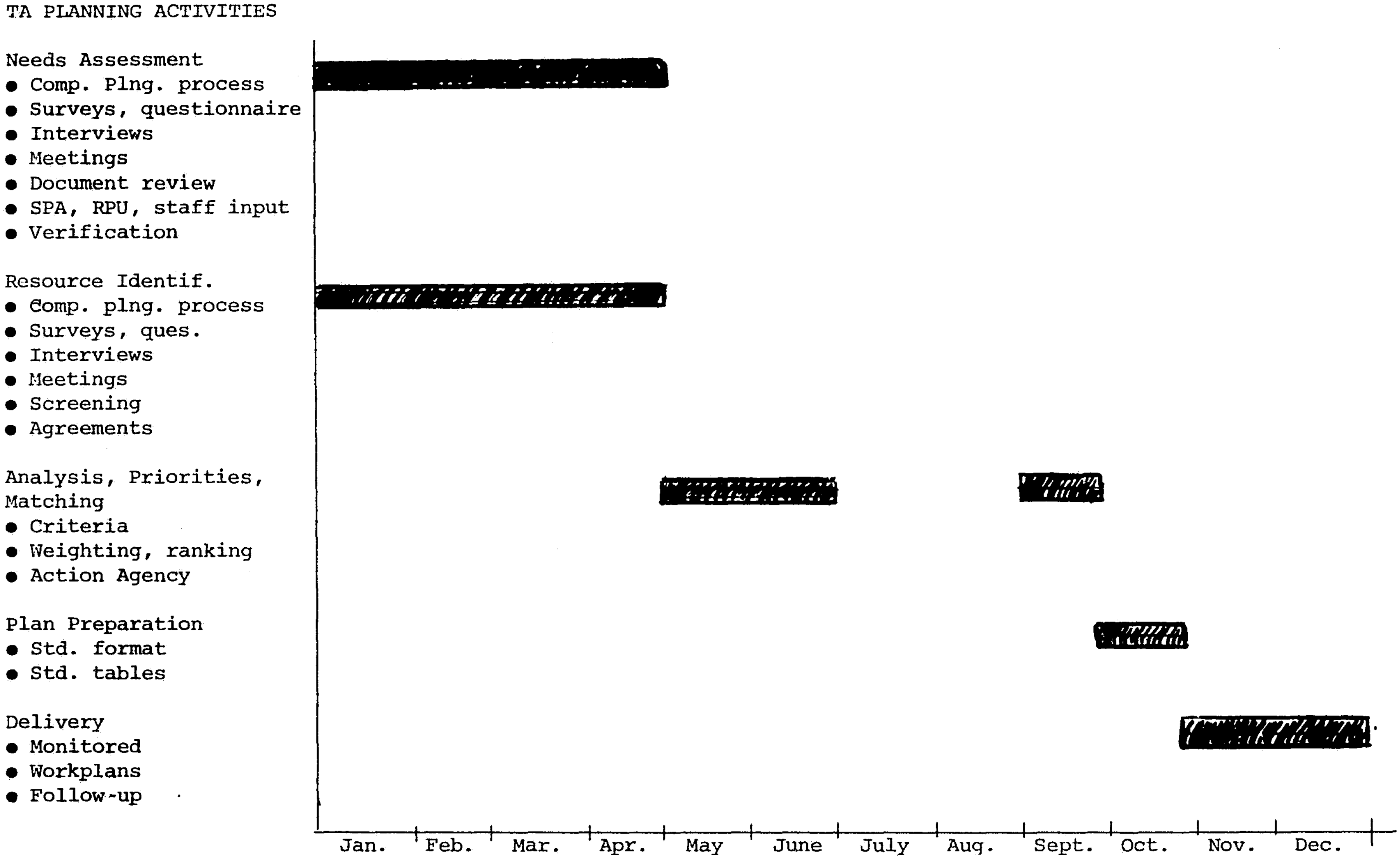
  The SPA should determine when each of the planning activities will occur. A sample TA Planning Schedule demonstrating the phasing of TA planning activities over the calendar year is found on Exhibit 2. A similar schedule should be established by the SPA at the onset of TA plan development.

- <u>Participation and role of organizations and individuals</u>

  The definition of roles and assignment of responsibilities pertaining to TA Plan development should also occur at the beginning of the developmental process. (E.g., each specialist covers his program area.) Exhibit 3 contains a sample description of roles and responsibilities. Note that these are linked to the schedule of TA activities presented above.

- <u>Methodology(ies) for Plan development</u>

  The SPA should determine the most feasible techniques for collecting and analyzing data, determining priorities and coordinating TA activities. Specific techniques are presented in subsequent sections of this document.



(Sample) TA SCHEDULE OF ACTIVITIES

Exhibit 2

Exhibit 3

(Sample) TECHNICAL ASSISTANCE PLAN DEVELOPMENT ACTIONS

Responsibility

Overall Supervision: B.T. Blackburn, Planning Director

Writing the TA Plan: R.D. Oglethorpe, TA Program Manager

Data Collection

Needs Assessment

Resource Identification

Priorities Development: Each specialist for his or her program area

Timing

Tasks	Data Collection	Decisions
Needs Assessment	January-April	(initial)-June 1 (final)-Aug. 30
Resources Identif.	January-April June-Aug.	September 15
Analysis, Priorities, Matching	September	September 30
Plan Preparation	October	October 31
Delivery	October	---

- Relationship to the Comprehensive Plan

  Irrespective of the scope of the TA Plan, there should be a natural linkage between the planned TA focus and the major goals of the Comprehensive Plan. Also, the TA Plan should be developed as a component of comprehensive planning and not be established as a separate and independent effort. Essentially TA planning is supplemental to comprehensive planning in that it constitutes one means of addressing some of the problems of crime and the criminal justice system.

2. Needs and Resource Identification

   The identification of TA needs and of resources to meet them are most likely to occur simultaneously, and may actually be performed as a joint effort. For example, a potential TA recipient may be queried about needs and resources during the same data collection effort. However, some resource identification will occur independently as sources are sought outside the criminal justice system. Both needs and resource identification may require repeated inquiries and data collection to better define the TA need in the former case and to identify the most appropriate resource, if, any, in the latter.

3. Matching and Analysis of Needs and Resources

   The results of step 2 should provide a list of needs and resources which can be matched, prioritized and scheduled for TA delivery. Also, analysis will indicate gaps between needs and resources which will assist the RO and CO to determine the most appropriate use of their own TA resources.

4. TA Plan preparation

The TA plan should be documented so that it is readily useful to SPA technical assistance staff and easily analyzed by RO staff. Specific staff designations and schedules should be established to ensure timely documentation of the Plan.

5. TA Delivery

The delivery of proactive TA should be guided by the TA Plan and both proactive and reactive TA should occur through the same delivery system.

Suggested TA Plan Format

The TA Plan has several purposes. The most significant is that it serves as a working document for the SPA staff. It also provides the RO and CO with information regarding unmet TA needs at the state level, and demonstrates adherence to LEAA legislation and guidelines. Exhibit 4 contains suggested content and arrangement of information to facilitate its use as a working tool for the SPA and for analysis by the RO.

Exhibit 4

TA PLAN FORMAT

I. DESCRIPTION OF T.A. PLANNING PROCESS

Including:

- data collection methodology
  - rationale/description of the combination of methods utilized
  - presentation and discussion of the data collection instruments utilized for each method.
- brief account of the participation and role of organizations/individuals in the planning process
  - needs assessment
  - resource identification
  - data preparation/analysis
  - plan development
- relationship of TA planning to Comprehensive Plan planning process
  - complementary process emphasized

II. PRIORITY LISTING AND DESCRIPTION OF T.A. NEEDS (by program area)

- include rationale for the needs
- define the criteria used for prioritizing those needs

III. LISTING AND DESCRIPTION OF RESOURCES TO MEET T.A. NEEDS (by program area)

- proactive
- reactive
- description should contain:

- name	- program area
- address	- availability
- contact	- limitations
- cost	

- some resources may not be matched with needs, nor only available as reactive, but primarily useful to RO and to other states.

IV. ACTION AGENDA (by program area)

- demonstrates match of needs and resources
- demonstrates timetable for T.A. delivery
- reflects gaps in need/resource match

V. DESCRIPTION OF T.A. DELIVERY SYSTEM

(define delivery system components)

- procedures for requesting T.A.
- procedures for work plan preparation
- procedures for monitoring and evaluating T.A.
- forms and instruments to be used to support T.A. delivery
- time requirements of system (period between request, approval, delivery, documentation, and follow-up)

Suggested Data Display Formats

The following three formats are suggested ways of arraying needs, resource and analysis data in easily readable form. They are:

- TA Needs Listing which identifies the SPA program area, summary of the need and LEAA standard program descriptor (Exhibit 5);
- TA Resource Listing which identifies and describes identified resources (Exhibit 6);
- TA Action Agenda which reflects the match of needs and resources and shows gaps between them (Exhibit 7).

Exhibit 5

T.A. NEEDS LISTING

SPA Program Area	Summary of T.A. Need	Priority Within Program Area	Overall T.A. Priority	Standard Program Descriptor
Juvenile Justice	Department of Youth Services--plan for doubling the capacity of group homes and development of a program for short term residents	1	1	
Police	Oakdale and San Franco P.D. -- how to improve morale and to involve the working level police officer in department decisions as appropriate.	1	3	
	Essex County Rape Crisis Center -- improve counseling skills for paraprofessional counselors	2	5	
Corrections	Overhill Correctional Inst. -- examine the prison and identify potential grievances among the inmate population & prison personnel	2	7	

Exhibit 6

T.A. RESOURCE LISTING

I. Resources to meet identified needs.

II. Reactive resources.

Program Area	Name	Address	Contact	Area of Expertise	Cost	Availability	Identified Need
I. Juvenile Justice	Juv. Just. Inst.	1234 5th Ave Wash., D.C.	Dr. E. Smith Mr. N. Wilson	Indiv. and gr. counseling in juv. rehab.	travel, subsistance	5 day counseling workshops for gps. of 5-10 counselors, 1st wk. of e[illegible]	Counseling training for short-term resident program -- DYS
I. Courts	LEAA NILECJ	633 Indiana A. Wash. D.C.	P. Carcarano	Publication	none	Upon request 2 wks notice for visit	Metroburg Circuit Ct. -jury dept.
I. Corrections	Correct. Conslt. Inc.	2001 18th St. Wash., D.C.	S. Boyd	Rehab. programming	$80/person-day	Upon request	Overhill Inst. Potential grievances
II. Police	E. State Pol. Inst.	Civil Center Bldg. Newtowne	R.P. Tracey	police adm., mgmt., operations	1st $100 paid by client, rest subsidized	Within 10 days	
II. Police	AFG Crimin. Consult.	2812 King St. Hampton, Va.	A. Kindall	mgmt. studies, org. studies	$180/man-day, plus expenses	One month advance notice	

TECHNICAL ASSISTANCE ACTION [illegible]

Action for	Need (Summary Description)	Priority Rank	Est. # of Man-days	Resource -name -contact person -phone #	Mode of TA	Time Available	Est. Cost	Source of Funds	Agreements: Client General	Agreements: Client Specific	Agreements: Resources General	Agreements: Resources Specific	Primary Criteria Utilized to Determine Priority
JUVENILE JUSTICE SMOOT	DYS: Develop shortterm res. prog. & double capacity	1	50-75	J.J. Inst., Wash. D.C., Dr. Smith Dr. Wilson 330-4640	on-site visits, seminars	1st wk. ea. month	$1,000	SPA		X	X		Urgency
POLICE Abel	Oakdale and San Franco organ. dev. assistance	3	60	----------	trng. & on-site	--------	$13,000	grant	X				Probable impact
	Essex County Rape Crisis Ctr. counselor training	5	12-30	Smote, Krotzer, and Mice Dr. Gwen Smith Dr. Smote	trng., pre-scribe pkg., booklet	open	$20,000	SPA & Essex County		X		X	Import
CORRECTIONS Baker	Overhill Inst. grievance analysis	7	15	Corrections Con-sultants, Inc. Wash., D.C. Mr. Boyd 223-4500	on-site	August	$3,000	R.O. TA budget	X			X	Probable impact & urgency

Exhibit 7

Chapter 3

NEEDS IDENTIFICATION

Introduction

Identifying needs for technical assistance is the first step in the process of putting together a TA plan. Several assumptions are key to doing a sensible job:

a. A substantial number of needs for technical assistance can be anticipated well in advance and, therefore, planned for. Certainly this is true of TA associated with implementing new legislation, achieving compliance with court orders, or effecting major system-wide improvements such as bringing county jails up to a set of standards of adequacy.

b. Existing processes, documents, staff, and systems should be used to identify needs. Additional and separate information gathering means should be employed only after existing mechanisms have been considered.

c. Needs for technical assistance must be defined with sufficient specificity, that action to be taken and problems to be addressed are clear. The information necessary to make the needs description "actionable" may have to be gathered from several sources at several points in time.

The significance of these assumptions will become clearer as our discussion of techniques for identifying and describing needs unfolds.

Setting Boundaries on Needs Identification

SPA staff charged with doing needs identification should give explicit attention to determining boundaries for that effort. The SPA may choose to limit the identification of technical assistance needs, in advance, in such ways as:

a. Searching out TA needs in projects to be funded in the annual action program;

b. Limiting TA needs identification to the two or three high program priority areas as expressed in the comprehensive plan; e.g. juvenile justice and corrections; or (more specifically) deinstitutionalization of status offenders, securing group homes, implementing a master corrections plan, and program development within community based correctional facilities.

c. Limiting the needs identification to areas chosen as priority areas for <u>technical assistance</u>, as opposed to necessarily being plan priorities. Standands and goals task force reports might serve as a means of defining such TA priorities.

Other bounding choices might be made; we suggest here only that these decisions should be considered <u>before</u> beginning the TA needs identification. Otherwise a process that attempts to identify <u>all</u> needs for <u>all</u> parts of the criminal justice system <u>throughout</u> the state may be set in motion, without regard to the cost of such a search or what is to be done with the information. Once again, the rule is to do what makes sense in your state, given staff and resource limitations. The objective here is to make technical assistance a reasoned response which complements your other activities and emphases.

Techniques for Identifying Needs

Here we discuss techniques for identifying needs, along with the advantages and problems of each. Most of these techniques have been tested in the field through actural application in SPAs and RPUs. Where testing was not possible, discussions were held with appropriate staff to determine the feasibility, outcomes, and difficulties. Finally, several of these techniques were suggested by SPA staff as additions to an earlier list.

1. Examine relevant existing documents.

Building on the theme of utilizing existing data and information to a maximum extent, SPA staff might reasonably look first to existing documents. Such documents as the Comprehensive Plan, evaluation reports, monitoring reports, quarterly progress reports from funded projects, state agency budget submissions, the Governor's legislative program, or standards and goals reports might each be useful. Indeed, review of such documents in the field test that was part of this TA plan development methodology, revealed that they were all useful clues to technical assistance needs. Review of such documents might utilize such criteria as:

- projects involving large sums of money, or unusual complexity,
- projects that are being replicated around the state, after a model first year,
- projects that reflect legislative or court ordered priorities,
- problems that seem to be pervasive.

The clear advantage to using in-house documentation is that the documents are readily available and can be reviewed without extensive staff training or preparation, review can be undertaken.

2. SPA and RPU Specialists

Other readily availabe sources of information about needs are the staffs of the SPA and the RPUS. Each functional area specialist has presumed expertise in the area which he oversees. Each will also have some idea of where particular problems may require technical assistance as well as some idea of the relative importance of those problems. Since someone from the SPA staff is likely to be charged with leading the needs identification, he would be tapping his peer group for ideas about TA needs. It might be preferable to have staff write down these needs. A variation would be to make this technique part of a two-part process in which an initial agenda of potential needs is identified through document review and then tested and expanded through interviews with SPA and RPU specialists. Again, this technique was successfully used in each of the field test states.

3. SPA Planning Procedures

Each SPA goes through a data gathering phase in the early stages of its planning process. That phase might involve hearings, less formal conferences, questionnaires which are distributed and returned, pre-applications, concept papers from RPUs or other methods of gathering information about the criminal justice system and its needs. One clear possibility for identifying TA needs is to tap into this planning process and ask specific questions about technical assistance needed and desired. Several states have done that, with varying success. The advantage here is that it utilizes an existing and on-going process and requires only minor refinement of the process. The disadvantage is that additional information gathering to clarify and specify identified needs may be necessary. But this characteristic of verification and iteration is common to most needs identification techniques.

4. RPU Planning Process

Here the same advantages and disadvantages accrue as are identified under state level planning processes. Perhaps the additional advantage to using the RPU vs. SPA planning processes exclusively is that the system is now decentralized and closer to the bulk of the potential recipients of technical assistance. Further, utilizing RPU processes involves identification of needs by local personnel thus involving all levels of the law enforcement planning network in the TA needs identification process. It further reinforces the RPU staff role as a potential coordinator of technical assistance.

While the techniques suggested here in 3 and 4 are possible for future use, it is probably already too late for FY77 to "piggy back" existing planning processes.

5. The Application Process

At the time that prospective grantees are asked to submit applications, they might also be asked to identify areas in which they will need additional assistance, expertise, or advice. This identification of technical assistance needs at the time of funding should be helpful to successful project implementation and provide input into the technical assistance planning process. A variation on this theme would be to use routine post-award contacts with the sub-grantees to identify TA needs. In the course of explaining budget, accounting, and monitoring procedures the SPA might gain insight into the TA needs of funded organizations. Indeed, specific discussion of start-up problems and project outcome might facilitate TA needs identification.

6. Interviews with Operating Criminal Justice Agency Officials

It is possible to identify a sample of operating criminal justice agency officials and interview them according to a standard interview guide in order to identify technical assistance needs in their agencies. Indeed, this technique was also used in the field test phase of this project.

The logic of this approach is that you are going to representatives of the potential recipient agencies of technical assistance and asking them directly about areas in which they may require assistance.

The hazards of this technique, however, are several. First, it requires persons with interviewing skills. Second, it requires a common interview guide format and consistent write-ups in order to treat the information consistently. Third, it is likely to be quite time consuming. Fourth, it may be a prolonged and difficult process to identify the right persons to interview within criminal justice agencies. Fifth, it may require a team with substantive knowledge of the programs and activities of those agencies.

Many SPAs can live with several of these qualifications and are troubled only by the time consuming nature of the process. It is a good way to get information but the decision to use such an approach ought to be made with an awareness of its limiting factors.

7. Mail Survey

Another technique is to construct a questionnaire instrument to be distributed by mail to a selected sample of criminal justice agencies. While some states have tried this method with varying success, we think that for the most part its disadvantages out-weigh its advantages unless it is very carefully done. Its obvious advantage is that it is possible to reach many more agencies than it may be possible to visit in person. Its disadvantages however are several:

- typically there is a very low response rate, sometimes 10% or less.
- it is a relatively costly and time consuming process — particularly if the sample is large — to design the instrument, mail it out, tabulate and analyze the results.

- there is little control over whether the questionnaire is actually filled out by the appropriate person.
- many of the agencies to be questioned have been questionnaired to death, and getting them to fill out still another one with any seriousness is next to impossible.

Finally, most of the responses are likely to be relatively general and to require follow-up. However, we have become aware of at least two methods of improving on these results and moderating the difficulties. One possibility is to have the RPU staff place the survey instrument in the hands of the person in the criminal justice agency whom they wish to respond. At the same time, stress can be laid on the importance of the instrument or of particular questions. That probably improves the quality and quantity of the response. A second possibility is to utilize scheduled meetings of professional associations and to devote part of their agenda to identification of TA needs.

8. External Pressures

In addition to those techniques identified above, the SPA might reasonably look to other arenas in which TA needs can be identified -- court-orders, new legislation, state and gubernatorial priorities, or public pressures to implement a certain program. Those external pressures often represent the most urgent needs, but are too generally expressed. Thus, some of the techniques discussed above may be useful to get more specific delineation of such needs.

9. Analysis of Past TA Requests

It may be possible to look at the records kept about previous TA requested and provided to analyze trends. Requests which resulted in SPA or RPU response as well as national contractor responses, should be examined. Such analysis may surface several priority program areas in which more specific needs identification will be done. It might also tend to focus the needs identification on particular problem areas within the program areas.

10. Professional Associations

While reference to professional associations is made above in the discussion of mail survey techniques, this group should be stressed somewhat more explicitly. Associations of juvenile court judges. chiefs of police, district attorneys correctional officials, etc., all will have a day to day working knowledge of where their systems need improvement. By virtue of membership in a professional association they are frequently more sensitive than some of their peers to identifying such needs for improvement. Attending their meetings and talking to them about identifying technical assistance needs may be very fruitful.

Adequacy of Needs Identification

One of the essentials in doing needs identification is that it surfaces and articulates needs in sufficient detail as to be "actionable". What we mean here is that a description of a particular technical assistance need should communicate both what the problem is and what an appropriate response to that problem would be.
an appropriate response to that problem would be.

We should stress here that the technical assistance needs identification is likely to be an iterative process. Initial identification of needs will probably require expansion and verification as the process goes on Exhibits 8 through 11, following, illustrate four different technical assistance needs described at the level of detail that may be possible from either an initial document review or interviews with SPA or RPU staffs. At that

Exhibit 8

TECHNICAL ASSISTANCE NEEDS DESCRIPTION

(SAMPLE FORM)

Please use this form to provide the following information about each of the technical assistance needs you have identified.

1. Name of Recipient Organization: Overhill Correctional Institution
   Size: 200 inmates, 65 staff

2. Problem to be Addressed: Potential conditions may exist within the institution which could lead to disturbances. Need assistance to identify and recommend solutions for the conditions.

2a. Goal or objective supported: Correctional institution rehabilatative program development.

3. Type of Assistance Needed: (e.g., training, publications, studies, conferences, on-site consultation, etc.)
   On-site visit to examine the prison and identify potential grievances among the inmate population and prison personnel.

Exhibit 9

TECHNICAL ASSISTANCE NEEDS DESCRIPTION

(SAMPLE FORM)

Please use this form to provide the following information about each of the technical assistance needs you have identified.

1. **Name of Recipient Organization:** Department of Youth Services
   Size: 95 people, group homes number 26 in the state, each with a staff of about 4, and an average of 16 residents.
2. **Problem to be Addressed:**
   Due to the recent enactment of the youthful offenders program act, judges in all courts are required to send all third time offenders 17 and under to group homes for a minimum residence period of 1-3 months, for diagnosis and treatment. This will require both a plan for doubling the capacity of group homes and development of a program for short term residents.

2a. Goal or objective supported: Community based treatment.

3. **Type of Assistance Needed:** (e.g., training, publications, studies, conferences, on-site consultation, etc.)
   Joint planning with DYS staff, definition of requirements with DYS and Group Homes Coordinating Committee. Seminar for Group Home Directors to present the expansion plan and the new short term resident program.

Exhibit 10

TECHNICAL ASSISTANCE NEEDS DESCRIPTION

(SAMPLE FORM)

Please use this form to provide the following information about each of the technical assistance needs you have identified.

1. Name of Recipient Organization: Essex County Rape Crisis Center (South Orange, East Orange, and Montclair)
   Size: each center has 2 permanent fulltime staff, 6 part-time, and 10-15 volunteers
2. Problem to be Addressed:
   Improve counseling skills for paraprofessional counselors, and prepare new staff to respond to needs of rape victims.

2a. Goal or objective supported: Victim assistance and police community relations.

3. Type of Assistance Needed: (e.g., training, publications, studies, conferences, on-site consultation, etc.)

   Prescriptive Package handbook on Rape Crisis Centers.
   Training by skilled professionals knowledgeable in rape crisis response.

Exhibit 11
TECHNICAL ASSISTANCE NEEDS DESCRIPTION

(SAMPLE FORM)

Please use this form to provide the following information about each of the technical assistance needs you have identified.

1. **Name of Recipient Organization:** Oakdale and San Franco Police Departments
   Size: Oakdale: 350 sworn personnel
   San Franco: 180 sworn personel, neighboring cities
2. **Problem to be Addressed:**
   Both departments have been marked by recent wage disputes, leading to occasional outbreakes of "blue flue", and general morale problems, Each also has a new chief. Help is needed to both advise the department how to improve morale and to involve the working level police officer in departmental decisions as appropriate.

2a. Goal or objective supported: Police management improvement & community responsiveness.

3. **Type of Assistance Needed: (e.g., training, publications, studies, conferences, on-site consultation, etc.)**
   Organizational development seminars followed by periodic counsulting with task forces and individual units of the department. Reports from other departments on use of O.D. techniques will be sought as part of the preparation.

initial stage the description includes:

- the name of the potential recipient organization,
- a description of the problem to be addressed,
- the goal or objective to which this problem is related,
- the type of assistance needed or desired.

That, however, is only a beginning description which will need to be expanded.

In order for a need to be described with sufficient specificity as to be actionable, the following kinds of information are needed:

- recipient, including characteristics such as size and location
- problem to be addressed,
- goal or objective to which this problem is related,
- type of assistance needed,
- skills and expertise required,
- magnitude of the assistance needed (whether in mandays or dollars),
- date when the assistance is needed,
- coordination requirements for this assistance, e.g. with other agencies or local groups,
- expected products and impact of the technical assistance,
- possible sources of the technical assistance,
- recipient agency contact,
- the source of TA request.

Exhibits 12-15 represent sample needs descriptions filled out at this level of detail, on a variety of problems, some of which are much broader and more expansive than others. While these examples all use a standard form, the same material could be covered narratively, with a fiew format headings, such as: 1) Recepient and Timing, 2) Need: The Problem, The Outcome, and The Skills Needed, 3) Method and Resource, 4) Cost and Coordination. The point is to address all the information needed.

Exhibit 12

TECHNICAL ASSISTANCE NEEDS DESCRIPTION

(SAMPLE FORM)

Please use this form to provide the following information about each of the technical assistance needs you have identified.

1. Name of Recipient Organization: Overhill Correctional Institution

   Size: 200 inmates, 65 staff

2. Problem to be Addressed: Potential conditions may exist within the institution which could lead to disturbances. Need assistance to identify and recommend solutions for the conditions.

2a. Goal or objective supported: Correctional institution rehabilitative program development.

3. Type of Assistance Needed: (e.g., training, publications, studies, conferences, on-site consultation, etc.)

   On-site visit to examine the prison and identify potential grievances among the inmate population and prison personnel.

4. Skills and expertise needed:

   Familiarity with institutional settings, security requirements, and inmate subcultures and skills in mediation and conflict management and resolution.

5. No. of T.A. Person-Days Needed: 15 (if applicable)   6. Date When Assistance Is Needed: August 15

7. With Whom Should This Assistance be Coordinated?

   Coordinate with the Prison Guards Union and the Bureau of Corrections (whose approval is needed).

8. Expected Products, Results, and Impact of T.A.:

   A report, with recommendations, identifying conditions which could lead to disturbances, so that they may be eliminated or alleviated.

9. What Do You Recommend to Provide the Assistance?

   American Correctional Association and the Office of Conflict Management of the California Department of Corrections.

10. Your Agency Contact for Technical Assistance:

    Name: Bill Shortell, Deputy Warden

    Address: 731 Linden Lane

    Tulsa, Okla.

    Phone No.: (706) 854-3210

11. Source of T.A. Request: State Dept. of Corrections

Exhibit 13

TECHNICAL ASSISTANCE NEEDS DESCRIPTION

(SAMPLE FORM)

Please use this form to provide the following information about each of the technical assistance needs you have identified.

1. **Name of Recipient Organization:** Department of Youth Services
   Size: 95 people, group homes number 26 in the state, each with a staff of about 4, and an average of 16 residents.
2. **Problem to be Addressed:**
   Due to the recent enactment of the youthful offenders program act, judges in all courts are required to send all third time offenders 17 and under to group homes for a minimum residence period of 1-3 months, for diagnosis and treatment. This will require both a plan for doubling the capacity of group homes and development of a program for short term residents.

2a. Goal or objective supported: Community based treatment.

3. **Type of Assistance Needed:** (e.g., training, publications, studies, conferences, on-site consultation, etc.)
   Joint planning with DYS staff, definition of requirements with DYS and Group Homes Coordinating Committee. Seminar for Group Home Directors to present the expansion plan and the new short term resident program.

4. **Skills and expertise needed:**
   Management, planning, interviewing, and team building skills. Experience with community based care facilities. Knowledge of juvenile services and delinquency programs

5. **No. of T.A. Person Days Required** (if applicable)**:** 50-75
6. **Date When Assistance Needed:** Jan-March
7. **With Whom Should This Assistance be Coordinated?**
   DYS Commissioner Blackstone, Group Homes Director of SSU, Group Homes Coordinating Council

8. **Expected Products, Results, and Impact of T.A.:**
   Plan for expanding resident capacity, new short-term resident program, as a handbook. Training seminars and seminar outline.

9. **What Do You Recommend to Provide the Assistance?**
   State University School of Social Work and Youth Advocacy Institute

10. **Your Agency Contact for Technical Assistance:**

Name: Commissioner Blackstone or C. Franklin, Special Assistant

Address: Main Street

Capitol City

Phone No.: (999) 468-1110

11. Source of T.A. Request: DYS, SPA, legislation.

Exhibit 14

TECHNICAL ASSISTANCE NEEDS DESCRIPTION

(SAMPLE FORM)

Please use this form to provide the following information about each of the technical assistance needs you have identified.

1. **Name of Recipient Organization:** Essex County Rape Crisis Center (South Orange, East Orange, and Montclair)
   Size: each center has 2 permanent fulltime staff, 6 part-time, and 10-15 volunteers
2. **Problem to be Addressed:**
   Improve counseling skills for paraprofessional counselors, and prepare new staff to respond to needs of rape victims.

2a. Goal or objective supported: Victim assistance and police community relations.

3. **Type of Assistance Needed:** (e.g., training, publications, studies, conferences, on-site consultation, etc.)

   Prescriptive Package handbook on Rape Crisis Centers.
   Training by skilled professionals knowledgeable in rape crisis response.

4. **Skills and expertise needed:**
   Experience in operating rape crisis center; counseling and interviewing skills; training and instructional abilities.

5. **No. of T.A.** Person days Required: 12-30 (if applicable) 6. Date When Assistance Is Needed: By Oct. 1

7. **With Whom Should This Assistance be Coordinated?**
   Muncipal Police Department, Director of Rape Crisis Center, Essex County Human Services Department

8. **Expected Products, Results, and Impact of T.A.:**
   One or more training sessions actually conducted. Notebook of back-up materials, i.e. checklists, monographs, interview guides, helpful tips, operating procedures.

   Use of Prescriptive Package as training content, to be distributed to remaining Rape Crisis Centers.

9. What **Do You Recommend to Provide the Assistance?**
   LEAA, OTT, Prescriptive Package with visit from W.O.A.P. chapter in New Jersey. Jersey College of Medicine, Gwen Smith, Rape crisis center consultant.

10. Your Agency Contact for Technical Assistance:

Name: Pat Somers, Coordinator, Essex County Rape Crisis Council

Address: 120 South Orange Ave.

South Orange, N.J.

Phone No.: (201) 763-2453

11. Source of T.A. Request: Pat Somers, Essex County, Lt. Smedley Smothers, Essex County Sheriffs Department.

Exhibit 15

TECHNICAL ASSISTANCE NEEDS DESCRIPTION

(SAMPLE FORM)

Please use this form to provide the following information about each of the technical assistance needs you have identified.

1. **Name of Recipient Organization:** Oakdale and San Franco Police Departments
   Size: Oakdale: 350 sworn personnel
   San Franco: 180 sworn personel, neighboring cities
2. **Problem to be Addressed:**
   Both departments have been marked by recent wage disputes, leading to occasional outbreakes of "blue flue", and general morale problems. Each also has a new chief. Help is needed to both advise the department how to improve morale and to involve the working level police officer in departmental decisions as appropriate.

2a. Goal or objective supported: Police management improvement & community responsiveness.

3. **Type of Assistance Needed:(e.g., training, publications, studies, conferences, on-site consultation, etc.)**
   Organizational development seminars followed by periodic counsulting with task forces and individual units of the department. Reports from other departments on use of O.D. techniques will be sought as part of the preparation.

4. **Skills and expertise needed:**

   Organizational development, analysis, seminar management, conflict management, and management skills. Experience in police work and in resolving police management problems.

5. **No. of T.A.** Person Days Required: 60 (if applicable) 6. Date When Assistance Needed: Begin Sept. 1, to Jan. 31.
7. **With Whom Should This Assistance be Coordinated?**
   Oakdale and San Franco P.D.
   Mayors Dunlop and Cochrance

8. **Expected Products, Results, and Impact of T.A.:**
   Improved morale. Program of organizational improvement for each department. Written monthly progress reports and a final report.

9. What **Do You Recommend to Provide the Assistance?**
   Upstate College, School of Management, Robert Notaly

10. **Your Agency Contact for Technical Assistance:**

Capt. Evans (San Franco)	Name:	Chief Cullinane (Oakdale)
301 A Street	Address:	1100 18th Street
San Franco		Oakdale
305/465-9345	Phone No.:	(305) 789-5764

11. Source: SPA staff specialist, confirmed in interviews with the chiefs.

Conclusions

Of the techniques that are identified above as being potentially useful, we believe that those numbered 1-4 represent the minimum essential level of activity for technical assistance needs identification (i.e., examine relevant in-house documents, tap RPU and SPA staffs, tap into SPA planning procedures, and tap into RPU planning procedures). Those techniques all focus on utilization of existing information sources and systems. The remainder of that list as well as others that the SPA or RPU may create must be chosen with respect to conditions and needs in the particular jurisdiction, the resource limitations, the accepted way of doing business, and their estimate of the potential utility of each of those techniques.

We have mentioned above that needs identification is an iterative process. At some stage in that iteration, the need must be verified with the potential recipient. It is not sufficient that an SPA functional specialist believe that a particular correctional institution has a problem; it is necessary that some representative of that correctional institution or its parent system agree that the problem exists and is susceptile to some level and form of technical assistance. This may not always mean checking with each and every recipient, since representative members of a particular recipient group (e.g. criminal court judges) may be sufficient verification. It does mean that all needs are either identified or verified by a potential recipient.

The outcome of the needs identification process is a listing of technical assistance needs. After those needs have been subjected to the kind of analysis discussed subsequently in this document, the end result is a listing of needs in priority order (see Exhibit 5) which serves as a summary display for section 2 of the technical assistance plan.

It is particularly important that each of the technical assistance needs be identified with sufficient information as to make it actionable. Vaguely identified needs are of little use to anyone. Further, even relatively sharply identified needs which do not include full information, as on such elements as timing, estimated cost or magnitude, and relationship to the objective served, are not nearly as useful as they might be.

Chapter 4

RESOURCE IDENTIFICATION

This section presents the characteristics of technical assistance resources and the procedural steps to effective resource identification. Examples of appropriately defined resources are included, as are suggested formats for collecting and arraying resource information obtained in the course of the planning process.

Characteristics

There are four features which characterize appropriate resource identification. These are:

- that TA resources reflect a variety of areas of expertise including training, organizational studies, publications, on-site assistance, data processing, records management, etc.;
- that TA resources should be selected and linked to identified TA needs;
- that the identified resources are located within the State; and
- that these resources must be sufficiently defined to be useable.

Exhibits 16-18 contain examples of appropriately defined TA resources. Note that, irrespective of the type of TA resource (i.e., consultants, criminal justice institute, publication), the same type of information is recorded and each is adequately described to facilitate its application to identified TA needs.

Exhibit 16

T.A. RESOURCE DESCRIPTION

Organization:	AFG Criminology Consultants
Address:	2812 King Street Hampton, Va. (804) 336-4120
Contact Person:	Al Kindall
Expertise:	Management studies focusing on records management, organizational studies.
Program Area:	Police and Courts.
Availability:	Must be contacted at least one month in advance of study needed.
Cost:	Average man-day cost of $180 per day, plus expenses.
Past Performance:	Completed management studies for local counties (Fairfax and Prince William) in '75.
Limitation:	None.

Exhibit 17

T.A. RESOURCE DESCRIPTION

1. **Organization:** East State Police Institute

2. **Address:** Civil Center Building
   Newtowne

3. **Contact Person:** R.P. Tracey

4. **Expertise:** Assistance with police administration, management, and operations, including records systems, manuals, procedures, information systems, manpower surveys and reviews, and data analysis.

5. **Program Area:** Police

6. **Availability:** Usually within 10 days

7. **Cost:** First $100 paid by client, remainder is subsidized

8. **Past Performance:** TA on over 250 varied projects for police departments in the state.

9. **Limitations:** Work cannot exceed 60 person-days on any single project.

Exhibit 18

T.A. RESOURCE DESCRIPTION

1. Organization: LEAA, NILECJ. Office of Technology Transfer, "Guide to Juror Usage"

2. Address: 633 Indiana Avenue, NW
Washington, D.C.

3. Contact Person: Paul Carcarano or staff

4. Expertise: Publication, "Guide to Juror Usage", intended for use by judges, jury clerks, court administrators, and other interested in conserving juror time, saving jury costs, improving morale and cooperativeness of citizens. Includes guidelines for implementation and forms for juror usage data collection and analysis.

5. Program Area: Courts

6. Availability: Booklet upon request. If visit by SPA staff also, need 2 weeks notice.

7. Cost: None

8. Past Performance: A number of jurisdictions have found this guide useful.

9. Limitations: While the booklet is intended to be self-sufficient for action by individual jurisdictions, some attention by the SPA or RPU staff specialists, to getting it to the appropriate parties and perhaps will enhance its implementation chances.

Process

The process for identifying TA resources involves the following steps:

- developing workplan for resource identification;
- identifying data sources and collection methods
- collecting and recording information;
- matching with identified needs;
- identifying needs without resources;
- searching for resources for unmet needs.

Developing a Workplan

A workplan should be established for resource identification which is consistent with the TA schedule of activities prepared in the strategy development step of the process. This workplan should reflect the timing of all tasks and subtasks to be performed during resource identification, and should be updated with achievements and slippages periodically through the process.

In addition to the time schedule, roles and responsibilities should be assigned to specific staff to ensure performance of all activities.

Also, during workplan development, the scope of the resource identification effort should be determined. The most efficient use of SPA resources during this step will be initially to delimit resource identification by searching for resources in response to identified needs. Other resources already known or incidentally observed may be recorded and applied in both proactive and reactive TA situations. However, a universal search for TA resources may prove to be an unmanageable, unproductive and costly effort.

Identifying Data Sources and Methods of Collection

The next step in resource identification is to determine sources of information, and for each source, ascertain the most feasible means of gathering data. Sources may include the SPA, RPUs, state and local agencies, universities, grantees, and comprehensive plan. Some methods of collection are mail surveys, face-to-face or phone interviews, conferences, hearings, and through request in planning guidelines. The method(s) chosen must be practical for the SPA staff to perform, as well as appropriate to the particular information provided. For example, face-to-face interviewing throughout the criminal justice system and related agencies is not a practical method for a small TA staff. On the other hand, mail surveying university professors not accustomed to defining their capabilities in response to TA needs may not obtain appropriate resource information. Methods used for resource identification are likely to be the same as those chosen for needs identification.

Once the collection methods have been selected, data collection instruments must be prepared. Exhibit 19 is a suggested TA Resource Questionnaire/ Interview Guide as an example of an instrument to gather resource information. This or a similar format may be used for either mail surveying or face-to-face interviewing.

Collecting and Recording Information

In some instances, TA need and resource information may be collected simultaneously. A potential TA recipient may also have some area of expertise which can be used as a TA resource. In other situations, resource information alone may be sought. However resource information is obtained, it should be consistently cataloged.

Matching with Identified Needs

As resources are identified and described, they should be linked to identified TA needs. In this process, some initial judgements may be made as to the appropriateness of the potential resource.

A more sophisticated determination of appropriateness will be made in the analysis step of the planning process.

Exhibit 19

T.A. RESOURCE QUESTIONNAIRE/INTERVIEW GUIDE

(use in conjunction with mail survey and/or interview guide)

1. Do you have the capability of providing technical assistance of any type? (If "No", go to question no. 4) Yes____ No____

2. If "Yes", describe all capabilities in terms of the particular expertise and the program areas (police, courts, juvenile justice, corrections, community crime prevention, or other) that they may be applied to.

3. If you do have T.A. capabilities, please fill in the following:

   Name (Individual filling out questionnaire and the organization)

   ____

   Address, Phone ______________________________

   ____

   Contact person for acquiring expertise ____________________

   Availability ____________________________________

   Cost of Services (i.e., man-day rates, etc.) ________________

   Limitations _____________________________________

   Previous work in this area (preferably in-state)

4. Are you aware of any other local T.A. resources? Yes ____ No____ If so, provide following information: name, phone number, and address of the organization; a contact person; type of expertise; program area applicability; and any personal evaluation of their services.

Identifying Needs Without Resources

After the initial attempt at resource identification, there may be some unmet needs remaining. These unmet needs may require additional searching for resources, or may ultimately be passed to the RO in the TA Plan listing of unmet needs.

Iterative Search for Resources

Initially identified resources may be inappropriate for specified needs or inadequately defined to be useful. Also, some needs may exist for which no resources have been identified. Thus, resource identification should be an iterative process ensuring a reasonable attempt to identify in-state resources as well as to obtain sufficient information about identified resources.

Exhibit 20 contains a suggested format for arraying resource information (a previous example of which was shown as Exhibit 6).

Finally, while the focus here is on finding resources to respond to identified needs, all resources identified should be cataloged and listed in the plan. Some will turn out to be useful for needs not now anticipated; others may be of interest to other states.

Exhibit 20

TA RESOURCE DISPLAY

I. Resources to meet identified needs.

II. Reactive resources.

Program Area	Name	Address	Contact	Area of Expertise	Cost	Availability	Identified Need

Chapter 5

ANALYSIS

Having identified needs for technical assistance and identified potential resources to provide said technical assistance, it is now necessary to match the needs against the resources and to prioritize those needs so that an action agenda can be established. We suggest five steps in this process as follows:

- Resource performance evaluation,
- Needs appropriateness assessment,
- Setting priorities, using explicit criteria,
- Matching needs and resources,
- Determining the action agenda.

Resource Performance Evaluation

The resources as they have been identified to this point have probably not been systematically screened to determine whether they are capable to meet specific technical assistance needs. Even where the resources are identified by a third party, that party may not have been a recipient of services rendered by that resource. It is important to establish a track record for each entity or person holding itself forth as a technical assistance resource. That screening decision should be made at the SPA level, and consider such factors as strengths and weaknesses of resources, particular problems to which that resource should be turned, and limitations or caveats on the utilization of particular resources.

Here we are essentially trying to determine whether a potential source of TA -- be it a particular group, a consultant, a state agency official, a federal agency official, a department of a state university, a private consulting group, or a publication, is able and competent to deliver a specific kind of technical assistance. That determination is probably best made by inquiring whether similar help has been provided by that resource and to what recipients. Some number of former recipients can then be queried to determine the effectiveness of the assistance provided.

However, a one-time and ad hoc determination of resource capability is clearly only a second best effort. During the course of the ensuing year, as assistance is provided to a variety of recipients, the SPA staff should keep a track record of the performance of each resource. This might be done through a log sheet which identifies for each resource utilized the client to whom assistance was provided, dates of the request either from the client or to the resource, dates of delivery of help, major products or impacts observed, client judgements about effectiveness, SPA or RPU assessments of effectiveness, cost, and specific resources (e.g. particular staff) provided. Such a record of performance will then become the resource performance evaluation for the following year.

Needs Appropriateness Assessment

The needs as determined at this point, have no particular priority and indeed may represent a wide range of needs from very small requests for help that can be easily met and dispensed with in less than a day, to major programs that may require periodic action over a protracted period of time.

Preliminary to establishing priorities among the TA needs, we suggest a screen by the SPA staff to determine whether a particular need is susceptible to techhical assistance. That is, some requests for help may be so large as to require a separate contract effort quite apart from the technical assistance program. Others may in fact require a grant or other financial assistance rather than expertise. Still others may be needs that are real but in which the potential recipient either does not recognize the need for help or is unwilling to accept it. Finally, some needs may be such that certain precedent conditions must be met before any technical assistance will bear fruit. For these and other reasons, SPA staff may judge that particular needs should be eliminated from further consideration for technical assistance.

It is this process that we label needs appropriateness assessment. Most simply put it is a "go/no go" decision by cognizant SPA staff about whether a need should continue to be considered on their possible TA agenda. We shall talk next about setting priorities among those surviving needs. However, relevant interested parties should be informed of any needs eliminated at this point.

Setting Priorities

Establishing the relative importance of the remaining agenda of technical assistance needs should be done in a manner that is systematic and responds to explicitly identified criteria. The choice of the specific criteria to be used is up to the SPA and those criteria might be different from year to year. Among those that ought to be considered are the following:

- program importance, (as reflected in the Comprehensive Plan) e.g. establishing community based juvenile facilities may be a top priority.
- urgency of the problem, e.g. court order requiring certain actions within a correctional institutions within 120 days.
- pervasiveness of the problem, e.g. present in 75% of prosecuter's offices in the state.
- probable impact of TA on the problem, e.g. training will alleviate the particular difficulty in making proper referrals.
- client willingness, e.g. the potential recipient agrees he has a problem and wants help.

Each of these might be made more specific by SPA staff. For example, pervasiveness might be changed to read "the problem is present in 75% or more of this type of criminal justice agency." Or, instead of program importance, we might substitute both the names of the specific program areas considered by the state to have greatest importance during the relevant planning year. Similarly, for urgency we might substitute "required by January 1", or "required by court order". If the need is a system wide technical assistance need, then client willingness might be related to what parts of the client system are willing to accept help. E.g., the commissioner of corrections vs. the superintendent of a particular institution. Finally, probable impact of technical assistance on the problem might be further defined to specify a particular strategy or approach, such as training in conjunction with follow-up on-site assistance. Alternatively, probable impact might be given a probability rating, such as 50% or 80% probability of solving the problem. This latter approach, however, extends into the next area, that of rating the set of technical assistance needs against the criteria.

Once the criteria have been established and defined well enough to be useable and unambiguous, the process of rating the needs against these criteria begins. If there is but one criterion, this is a fairly straight-forward process. That is, one can list technical assistance needs in order of their urgency. If however there are multiple criteria, the problem is somewhat more complicated. A need that may score very high in terms of urgency may score much less high in terms of client willingness or pervasiveness. One way to handle this problem of assessing multiple needs against multiple criteria is illustrated on Exhibit 21, the

Exhibit 21

PRIORITY RATING WORKSHEET

CRITERIA / NEED	Wt.	Problem Import	Urgency	Prevalence	Impact	Recepient Willingness	Low Cost	Grantee	Priority Score
1. (e.g.) Space Plan for tempy prisoners									
2. RFP for master corrections plan									
3. Training for judges in avail. of juv. facil.									
4. Police mgmt. trng. course dev.									
5. Plan for compliance with Group Home Stds.									
6. Victim Assistance Conference for D.A.s									
7. Std. patrol car procurement specs.									

Priority Rating Worksheet. This matrix, with needs listed down the side and criteria against which they will be rated listed across the top may be used in several different ways. First, each need can simply be given a check mark as to whether it meets each criteria as stated. Thus, for example, a need is judged to have program importance or not, to be urgent or not, to be pervasive or not. Priorities are then established based on how many check marks a particular need accumulates. A need which meets five criteria is more important than a need which meets only three criteria. Obviously this does not give a complete and fully ranked list, but rather, a list which clusters of needs some of which meet five criteria, others of which meet four, others three, etc.

A second way of using the work sheet is to enter numerical scores rather than checkmarks for each need against each criterion. Thus, for example, on a scale of 10 a particular need might score 10 in terms of program importance, 3 in terms of pervasiveness, 0 in terms of client willingness. It is then possible to add the scores for each need and establish a ranked list according to the index score for each of the needs.

Each of these first two methods, however, implicitly assumes that all of the criteria are of equal importance. That is, none is given more weight than another in establishing priorities. If that is not the case, one can establish a system of weights for the criteria and apply a scoring procedure similar to that described above. In that instance the numerical score of each need would have to be multiplied by the weight for that criterion and the results added, to establish a weighted index score. We stress that there is no meaning to the numbers or scores arrived at by these methods except to allow one to establish a priority listing. The scores only establish whether the need to which that score relates is first or second or thirty-second on a list of possible technical assistance needs to be acted upon.

This is one way of establishing a prioritized list of technical assistance needs. It reflects explicitly stated criteria, and can be used systematically. One further question of importance in utilizing such a system is the question of who establishes the criteria and who does the scoring. Establishing the criteria ought to be a policy level decision within the SPA, either reflecting criteria already in use for other purposes, or criteria agreed to by SPA top management and perhaps the appropriate supervisory board. Scoring is an important function since if it is left to a single individual, in effect the results will reflect his or her value judgements about needs in terms of their importance or urgency. Where criteria can be stated such that they can be scored objectively, as pervasiveness defined as being in 75% or more of a type of criminal justice agency, there will be less danger of imposing individual value judgements. Where scoring must reflect judgement, that judgement should be the product of some consensus rating. Thus, rating might be done by a panel including an appropriate SPA functional specialist, a representative of potential recipient agencies, and some third neutral party. Alternatively, scoring could be done by three such individuals acting individually rather than as a panel and their scores averaged for purposes of determining final priorities. Finally, either at this stage or at the approval of the technical assistance plan stage, the appropriate oversight body, e.g. supervisory board, should examine and approve the final result of the priority setting process.

Matching Needs and Resources

This is a mechanical step of going down the list of needs in priority order and determining which of the previously identified resources is best able to respond to that particular need. Obviously there will be some needs for which you cannot identify an appropriate resource. These will be retained for entry on an action agenda as primary input for the regional TA planning process. While the actual matching is mechanical, some careful thought and analysis must be given to whether the particular resource will in fact be able to meet the problem as defined in the technical assistance needs description. It is at this point that specificity and clarity of information with regard to the TA need will become particularly important. Similarly it is at this point that clear and certain knowledge about the capabilities of a particular resource will also become important.

The Action Agenda

Establishing the action agenda involves completing the standard display format titled "Action Agenda", with the several items of information required.

assistance needs to which it desires response for the relevant planning year. This includes both those needs to which it is able to respond using identified resources and those for which it is asking regional attention. This agenda can be recorded by completing the standard display format en-title "Action Agenda" which follows as Exhibit 22 (and was seen as a previous sample as Exhibit 7).

Exhibit 22

TECHNICAL ASSISTANCE ACTION AGENDA

Action for	Need (Summary Description)	Priority Rank	Est. # of Man-days	Resource -name -contact person -phone #	Mode of TA	Time Available	Est. Cost	Source of Funds	Agreements				Primary Criteria Utilized to Determine Priority
									Client		Resources		
									General	Specific	General	Specific	

The action agenda itself contains a substantial amount of information useful both to the SPA as an action document and to the SPA and regional office as an analytic document. As an action document, the name of the person charged with seeing that the need is met is identified along with a summary description of the need, its priority ranking, identification of what resource has been programmed to respond to that need, information about the cost, magnitude and type of TA to be provided, entries of whether the potential recipient and potential resource are in general or specific agreement with responding to this need, as well as explicit identification of the primary criteria that went into establishing the priority ranking of the need. Various analytic summaries might be done from this document. Some might include an analysis of the various modes of technical assistance being utilized, e.g. training vs. on-site assistance vs. publications, etc.; or the total estimated cost of the technical assistance being provided by a particular state; or the numbers of TA needs by program area, etc. Here as with the display of needs and the display of resources, we suggest that that action agenda be segregated by program area, clustering the corrections action items together, the juvenile justice items together, etc.

The size of the action agenda will vary from state to state depending upon the needs in that state, the staff resources available to do the technical assistance planning and analysis, and the degree of interest in the state in buying into technical assistance delivery. However, in any event, the agenda should be a serious attempt at identifying what needs doing in the state and what the state is committed to doing itself. It should neither be so short as to be inconsequential nor so long as to be un-doable without a massive influx of resourses. In some states, two or three intense system wide technical assistance needs may be adequate. In others as many as 30 or 40 technical assistance needs may be appropriate. The size and content of the action agenda will be a decision reached by the SPA probably in consultation with the appropriate regional office personnel.

Chapter 6

TECHNICAL ASSISTANCE DELIVERY SYSTEM

Delivery of technical assistance is the point at which all the previous planning bears fruit; therefore specifying the delivery system is a critically important step in the process. The TA delivery system is presented here in terms of:

- the assignment of responsibility for TA coordination;
- TA delivery system concepts; and
- the basic steps in the delivery process.

Each of these areas is described to explicate the TA process as well as to delineate specific procedures and activities essential to TA delivery.

Assignment of Responsibility

The first step in establishing a TA delivery system is the assignment of staff to be responsible for implementing the TA Plan and coordinating/monitoring the TA delivery. TA responsibility could be divided among staff in different program areas or could be assigned to one person. The volume of TA activities may influence the number and type of staff involved. Also, reactive TA coordination should probably be done by the same person(s) assigned to coordinate proactive technical assistance.

Delivery System Concepts

In designing and delivering TA, there must be an emphasis upon assuring that the assistance needs of the recipient are met. However, regardless of the specific content of TA, there are certain concepts and procedures which contribute to a successful TA effort.

Key concepts of the TA delivery model are:

- Recipient is involved and kept informed throughout the delivery process;
- Proactive and reactive TA can be addressed by the same system;

- TA workplan and briefing materials are important to guide each TA effort and to assist recipients in understanding what assistance is being provided and when it will arrive;
- Workplan can cover long-range TA, e.g., 60-120 person-days, as well as short-term TA, 5 person-days or less;
- Workplan can cover any mode of TA -- on-site consultation, training, conference, publications, etc.;
- Further needs assessment may be necessary in the design of a TA workplan;
- TA should be provided at a level and using techniques appropriate to the individual recipients;
- Skill transfer should be a major emphasis of TA activities;
- The recipient receiving TA should be viewed consistently as the TA client;
- Providers should leave materials or products with the recipient, which encourages and guides the recipient in effecting its own immediate and long-term improvements.

The most fundamental premise of the delivery system is that everyone involved -- SPA, recipient, provider and anyone else -- should know what is going on.

The Delivery Process

TA delivery to each recipient involves the following major steps:

- Request for TA;
- Assignment of TA;
- Preparation of TA Plan;

- Preparation for TA;
- Delivery of TA;
- Preparation of the TA Report;
- Provision of Follow-up TA; and
- Evaluation of TA.

Some steps are undertaken by the provider and some by the SPA coordinator. The degree of involvement on the part of the SPA is flexible.

1. <u>Request for Technical Assistance</u>

This is a definition of the problem or need to be met through TA. It can be of two types:

- A recipient's need for TA may be identified as a result of the TA planning process and therefore known in advance, i.e., proactive; or
- Recipients may also directly request TA on an ad hoc basis as a problem arises, i.e., reactive.

Regardless of who identifies the need for TA or how it is identified, the recipient must be responsive to receiving help, and should be involved in the development of the response. This is essential if TA delivery is to be at all effective.

2. <u>Assignment of Technical Assistance</u>

The TA Coordinator should review the need and resource information received, and then prepare a Statement of Work outlining identified TA needs, (Exhibit 23) and forward it to the provider. The Statement of Work should cover:

Exhibit 23

SAMPLE TA STATEMENT OF WORK

RECIPIENT NAME: (See attached list)
ADDRESS:
PHONE NUMBER:

CONTACT PERSON
FOR TA: (See attached list)
PHONE NUMBER:

TA Needs:

Essex County has recently instituted a network of suburban Rape Crisis Centers in the police departments of small jurisdictions. The Centers are staffed primarily by para-professional counselors who would benefit from assistance in counseling skills. Specifically, they need training in: interviewing techniques; and listening skills.

Due to the closeness of the Centers, their overlapping target population and the duplication of training needs, all four are to be trained together. It is anticipated that two counselors from each Center would be available for training.

As a result of the training, the staff will not only be able to provide better services to rape victims, but will also be able to increase the capabilities of other counselors in their Centers.

TA Mode: 3 to 5 days of training to be provided to 4 Rape Crisis Centers.

Estimated Magnitude: 30 person-days

Exhibit 23

SPA Contact: (Name and Phone Number)

- New Jersey State Criminal Justice Planning Agency
  Harry Smith
  Chief of Community Projects
  (201) 783-1234

Regional Planning Unit Contact:

- Essex County Council of Planners
  Ms. Mary Goodshoes
  Administrative Assistant
  (201) 387-7742

Any Other Necessary Contact

Background material should be attached, such as:

- Grant application,
- Monthly Discretionary Grant Progress Report,
- Financial Reports,
- Any existing Evaluations, Audits or On-site Monitoring Reports,
- Project products produced to date, and
- Any other relevant material.

Exhibit 23

RECIPIENT	CONTACT PERSON FOR TA
Rape Crisis Center Village Hall 120 South Orange Avenue South Orange, N. J.	Pat Somers (201) 763-2453
Rape Counseling 15 Main Street East Orange, N. J.	Barbara Keyna (201) 296-1234
Rape Crisis Center Police Department 22 Mt. Vernon Avenue Montclair, N. J.	Lt. Alice Montari (201) 522-8310
Victim Assistance 2588 Prospect Street Maplewood, N. J.	Natalie Kelly (201) 822-1237

- Recipient information: name, address, phone number, contact person for TA and their phone number;
- Brief listing of TA needs;
- SPA contact;
- RPU contact;
- Any other necessary contact; and
- Additional material should be provided to the provider which will assist in the preparation of a meaningful workplan and an efficient delivery effort.

In some instances it may be appropriate to meet with the provider and/or recipient to clarify further the TA need and possible response, establish mutual expectations, and generally discuss the status of the recipient.

Some states may want to sign a contract with a provider at this point.

Preparation of TA Plan

Immediately after receipt of the assignment, the TA provider should:

- Review the Statement of Work and all appended back-up materials about the recipient; and
- Contact the recipient to be assisted and talk to the contact person and other personnel as appropriate to determine, in detail, priority needs, the level and nature of assistance required, and a tentative schedule for TA delivery.

Once detailed needs assessment activities have been completed and a list of TA requirements prepared, the provider should prepare a TA Workplan (Exhibit 24). This will serve as the vehicle to guide TA delivery.

Exhibit 24

TA WORKPLAN

TRAINING IN COUNSELOR SKILLS
TO
FOUR RAPE CRISIS CENTERS
IN
ESSEX COUNTY

Objective

Based on discussion with the four Rape Crisis Center Directors, individuals at the Essex County Council of Planners and staff of the State Criminal Justice Planning Agency, this TA Workplan has the following objective:

> To improve the counseling capabilities of the Center's staff, including interviewing and listening skills so as to improve the quality of service provided to victims and other clients.

Delivery Plan

To achieve this objective, we propose a three-day training session covering the following topics:

- Introspection: Counselors will be taken through a number of exercises designed to promote greater understanding of self. This understanding (or awareness) will increase the abilities of the counselor to work more effectively with rape victims and other clients. Some of the subjects touched upon would be values, morals, prejudices, feelings or emotions, attitudes, trust, etc.

- The Counselor. This session's primary goal will be to present a concise, lucid perception of what a counselor is, what he does, how he feels about doing it, what he cannot and should be doing, and how he feels about these responsibilities. It will focus on the role of the rape counselor as distinguished from the role of the doctor, lawyer, prosecutor, policeman, etc., relative to a rape victim.

- Listening--Speaking, Communications Exercises. The goal of this session will be to demonstrate through various exercises how we listen, how much we retain and then how one can improve these skills which are so vital in counseling interaction. The second part will focus on when, why and how we speak. Role playing will be utilized during this session.

- The Interview. The goal of the interview is to enable the counselor to gain the greatest amount of information in an extremely limited amount of time and often under stressful situations. Through role play and demonstration, the counselor will be given practical aides which enhance the interview. For example, how to make a client comfortable;

the establishment of rapport--how can you reduce the tension and anxiety involved in this initial contact. Finally, this session will concentrate on how to take notes and written information in the most appropriate manner.

- Record keeping. This session will demonstrate the use of records and show what an important tool they are in the overall counseling design. Practical suggestion will be demonstrated to show the counselor's more effective ways of writing notes, and appointment analysis.

- Referral. This will cover how and when to refer a client to another social service agency for assistance. Will address techniques involved in the contact with the agency, the referral and the follow-up. Will also dicsuss the need for a working community resource inventory.

- Variables in Counseling. This session will cover aspects of counseling, which are vital to its success or failure. Such as:

--Empathy--the ability to accurately perceive what another person is experiencing and and communicate that perception.

--Respect--implies the counselors appreciate the dignity and worth of another human being.

--Genuineness--is simply the ability of the counselor to be himself.

--Concreteness--implies specificity of expression concerning clients' feelings and experiences--meaning less pedantically--a good counselor maintains relevancy in his session and minimizes the clients use of exaggerated stories to escape or avoid the situation at hand.

--Confrontation--occurs when there is a discrepancy between what one is saying and what he is doing--or what one is saying at one point and what he has said before. This is delicate.

--Self Disclosure--is the revealing on a counselor's part of personal feelings, attitudes and opinions. These should always occur for the client's sake and not for the therapist's own catharsis.

--Immediacy--is dealing with a client in the here and now.

--Self Actualization--implies that one can live and meet life directly--statistics show a counselor who is himself has more success.

Exhibit 24

- Pitfalls to Counseling. The goal of this session is to illustrate to the counselors the numerous ways counseling can fail. Much role play will be used and the counselors will see and discuss these things. For example, "Over identification" (the aspect of feeling so much for a client's plights makes you totally ineffectual); communication problems (too aggressive); personal involvement, etc. This session will serve as a guide for counselors and allow them to have a sort of early warning system.

Finally, two or three hours will be designed for the counselors to meet their own needs. The needs of a counselor are often overlooked and these sessions will focus directly on them. These sessions might also offer the opportunity for staff to exchange feelings on their job's problems, as well as to share information and ideas about rape counseling.

Schedule

The training will be conducted on November 10, 11, and 12 in the Eagle Room at the Seton University Hall University on South Orange Avenue, South Orange. The first session will begin at 9:00 a.m. on the 10th and the training will conclude on the 12th at 5:00 p.m. All four Centers have agreed to these dates.

TA Team

The training will be provided by two senior members of the Newark Office of Smote, Krotzer and Mice.

Ms. Gwen Smith, who founded the first Rape Crisis Center in the nation, will assume the role of lead trainer and Team Leader. Ms. Smith has provided training in rape counseling in over 40 States.

Exhibit 24

Dr. Robert Smote, Partner of Smote, Krotzer and Mice, has extensive clinical experience. Prior to forming SKM, Dr. Smote was Director of Therapy for Jersey City College of Medicine. He has recently provided TA to mental health counselors throughout the State.

Persondays

Below is a proposed person-day allocation for the training preparation, delivery and report. We estimate the cost to be $2,000.

ESTIMATED PERSON DAYS

TASK \ TEAM	Smith	Smote	TOTAL
1. Preparation (logistics & curriculum)	3	3	6
2. Delivery	3	3	6
3. Report	1	1	2
4. TOTAL	7	7	14

The Workplan should specify:

- Objectives of the TA effort;
- A tentative selection of the TA team (for on-site TA) with names and a brief summary of specific qualifications for the assignment, as well as specifications of proposed responsibilities for this TA assignment;
- Identification of a Team Leader who will be responsible for directing on-site TA or a Resource Provider responsible for TA through the provision of products not involving on-site activities;
- A suggested schedule for delivery of assistance reflecting the mutually agreed upon dates of the recipient and provider;
- A brief but specific plan for delivery of TA, including activities to be carried out and scheduling of each activity included in the TA agenda; and
- An estimate of required person-days for TA preparations, the delivery and preparation of the TA Report.

The Workplan should be prepared within reasonable timeframes -- two weeks for most TA efforts. The TA Workplan should be submitted to the SPA and recipient for approval. Further preparations for TA should await approval of the TA Workplan, with or without modifications in scope or personnel assignments. This approval can be verbal or written from the SPA to the provider.

4. <u>Preparation for TA</u>

Once approval of the TA Workplan has been received, preparations for assistance should be finalized by the provider.

Usually, the recipient will be contacted to confirm the TA and to assure that proposed dates are acceptable. Where feasible additional materials may be requested for review by the TA team prior to delivery.

5. Delivery of TA

TA should be provided based on the approved Workplan -- no more and no less. The plan prevents the recipient or SPA from imposing a hidden agenda on the provider.

6. Preparation of the TA Report

Within some time period (e.g. ten working days) following the completion of each TA effort, the provider should prepare and submit to the SPA and recipient a report of the TA assignment. This report should contain at least the following elements:

- A brief description of the recipient organization, including its activities, funding levels and organizational structure. This is not meant to be an evaluation, but rather to indicate a true understanding of the recipient and to justify recommendations.
- A summary of the TA services provided, including specific activities, a list of individuals participating and a discussion of the processes involved.
- Specific products developed and recommendations made for improving the services of the recipient. This is the most critical part of the report.
- An assessment of follow-up TA needs, including recommendations for follow-up content, staffing and timing where appropriate.

7. Provision of Follow-up TA

In some instances, recipients will require not a single TA effort, but two or more efforts appropriately spaced. The need for follow-up TA should be initially suggested during the needs assessment and more accurately assesses during the initial TA. Often the final communication with the recipient can address the need for, and the appropriate scheduling of, follow-up assistance.

Recommendations for follow-up TA -- in terms of content, scheduling and assignments -- should be included in the TA Report. Follow-up TA should be provided upon authorization and assignment from the SPA and recipient.

Follow-up TA may serve several purposes. For example:

- It can provide a means of assessing the recipient's progress along lines recommended at the time of the initial effort.
- It can offer an opportunity for incremental assistance, with certain supplementary or additional issues addressed only after progress has been made on basic management and programmatic concerns.
- It can provide TA in manageable doses, given the day-to-day operational and management responsibilities of the recipient's staff.
- It can address long-term concerns where initial TA efforts were devoted to top priority crisis issues.
- It can address entirely new concerns which arise after the initial TA and lead to a new request for assistnace.

In some cases, several follow-up efforts may be required by a recipient. Additional needs should be spelled out in the first follow-up TA Report and authorization for additional TA sought from the SPA and recipient.

8. Evaluation of TA

The quality of the TA should be monitored and this information should influence future resource identification.

There are two major ways you can evaluate TA:

- Does the recipient's performance improve in the areas where TA was provided, e.g. if you trained police officers in community relations, has the relationship between police and the community improved? Improvement in recipient's performance is ideally the best indicator of the success of TA. This sort of impact can be assessed through program monitoring, on-going evaluation activities of the SPA, or by independent evaluation.

- Was the recipient satisfied with the TA? This approach is less definitive in evaluating impact than is a performance assessment. However, it does provide an indicator of impact based on the assumption that the recipient's satisfaction is closely tied to how well the TA actually solved his problem. (See Sample TA Evaluation Form on Exhibit 25).

Exhibit 25

RECIPIENT'S EVALUATION OF TA

RECIPIENT'S NAME: ______________________ DATE

ADDRESS: ______________________

NAME OF INDIVIDUAL COMPLETING FORM: ______________________

TITLE: ______________________

1. WHO PROVIDED YOU WITH TA?

   NAME: ______________________

   ORGANIZATION: ______________________

   DATES OF TA: ______________________

   NATURE OF TA (Training, On-site Assistance, etc.):

2. WHAT WERE THE OBJECTIVES OF THE TA?

   a)

   b)

   c)

   d)

Exhibit 25

3. DID THE TA PROVIDER MEET THESE OBJECTIVES?

YES ☐ NO ☐ EXPLAIN:

4. WERE THE OBJECTIVES RELATED TO YOUR NEEDS AND/OR PROBLEMS?

YES ☐ NO ☐ EXPLAIN:

5. HAS YOUR ORGANIZATION'S PERFORMANCE IMPROVED AS A RESULT OF THE TA?

YES ☐ NO ☐ EXPLAIN:

6. WHAT WOULD HAVE IMPROVED THE TA?

Exhibit 25

7. PLEASE RATE THE TA IN THE FOLLOWING CATEGORIES:

	EXCELLENT	GOOD	FAIR	POOR
• COORDINATION OF TA	☐	☐	☐	☐
• APPROPRIATENESS OF TIMING	☐	☐	☐	☐
• TA PROVIDER'S KNOWLEDGE AND SKILLS	☐	☐	☐	☐
• TA PROVIDER'S ABILITY TO TRANSFER KNOWLEDGE AND SKILLS	☐	☐	☐	☐
• RELEVANCE OF TA	☐	☐	☐	☐

8. DO YOU WANT FOLLOW-UP TA?

YES ☐ NO ☐ EXPLAIN:

9. PLEASE RATE THE TA OVERALL:

EXCELLENT ☐

GOOD ☐

FAIR ☐

POOR ☐

Signed________________________________

Chapter 7

ISSUES AND NEXT STEPS

During the ten regional training sessions a number of questions and issues were raised, many of which arose repeatedly. Here we comment very briefly on questions that seemed to be relatively widespread among SPA and RO staff concerning technical assistance planning.

1. Who Pays for the TA?

Earlier we mentioned a variety of cost strategies that the SPA might consider. Those included the possibility of regional TA fund allocations, use of formula grant money (part C money) within the state, utilization of "free" help, and setting aside a portion of large grants to provide. The state ultimately will have to make the decision about who pays for it. We should stress, however, that the emphasis here is not on large expenditures of money, but rather on what can be done with provision of expertise, advice, and hands-on assistance in relatively short intensive doses.

2. That's fine, but is LEAA going to put any money into this priority?

Yes, LEAA does intend to fund TA in a way that will get money directly to the regions and states in larger amounts than in previous years. Details of that will be forthcoming over the next several months. But again, we are probably not talking about major amounts of money. Further, the national contract resources will be focused on priority needs surfaced by SPAs and ROs.

3. We scarcely have enough staff to do the jobs now required of us by LEAA; what are we supposed to give up in order to do this TA planning task?

This is a problem particularly acute in some of the smaller states. Unfortunately there are no easy answers. Everyone has competing priorities among which they will have to choose. In each state the SPA will have to determine what emphasis they intend to place on TA given their other priorities and their limitations of staff resources. But in the regional training session we heard enough description of technical assistance activity in states of all sizes to be convinced that useful action in technical assistance is possible regardless of the size of your state.

4. Our first problem is going to be to get the other SPA staff members to buy into this whole new TA philosophy, any suggestions?

Hopefully this booklet will help you communicate the message that was conveyed in the training session. You might want to consider the pros and cons identified in the introductory section of the handbook for ways in which genuine action on the technical assistance front may be of significant advantage to the SPA. Beyond that it makes sense to bite off a piece that is as big as you can chew this year. Building on success is probably a better strategy than compiling a record of consistent frustrations.

5. We don't have the range of expertise on the SPA staff to provide all this TA, nor the time. Isn't this unrealistic?

SPA staff is intended to act both as resource managers and providers of TA. Certainly in some areas you have expertise, and your staff has some time. Further, providing TA will tend to complement some of your other activities and cement relations with agencies you help. But, a significant part of the TA delivered (perhaps the major part) will involve SPA staff as a resource manager, getting the right expertise to the recipient, rather than as a direct provider.

6. How do you suggest we deal with unwilling recipients; that is, an entity that we know needs help but is unwilling to accept it?

A basic premise of the whole philosophy expressed here is that you can't delivery technical assistance to an unwilling recipient. Obviously, then, some significant amount of nurturing or marketing of that potential recipient is necessary. If the recipient agency can be convinced that the help is in pursuit of things they want to accomplish, and that the source of help is credible and expert, a lot of the barriers will likely be avoided. That probably requires some continuing consultation between the potential recipient and persons from the SPA knowledgeable in the program area and sympathetic in dealing with its objectives and its problems.

7. Fine, but suppose after all that nurturing the agency still won't take help?

In that case strike them from your TA agenda. With technical assistance as with everything else we are dealing in a world of limited resources. You can only do so much, and there's no point in throwing dollars or expertise or man-hours into a hopeless task.

8. What's so new about this TA thing; it's been in the act since the beginning; we've been doing it all along?

If indeed you have been carrying out the kind of technical assistance planning and delivery we're talking about, fine. In the press of getting out the monty, most SPAs have not had time to do very much planning with respect to technical assistance needs nor to give anything except ad hoc response to very specific problems. We're talking about a significantly more ordered approach here. Further, it is focussed on operating law enforcement agencies. Finally, it clearly tries to address in priority order, systemic rather than ad hoc needs. On your first point, you're obviously correct. The mandate has been with the SPA and with LEAA from the beginning. We're not suggesting that it is new, just that it is time to reassert its importance.

9. <u>How does this differ from the comprehensive plan; we already identify program needs there?</u>

The comprehensive plan covers crime problems, e.g. crime rate in the metropolitan area, and program actions in response thereto. Here we are talking about more specifically defined needs for expertise in implementing a project or in improving performance. TA needs are less global, less expensive, easier to meet, than most of the program needs you identify in the comprehevsive plan. Additionally, they typically require expertise and working assistance, rather than project funding or a continuing, full-time presence.

10. <u>We already do this, through our post-award conferences with sub-grantees and our site visits and getting quarterly progress reports. What is new here?</u>

The focus here is not on sound grants management, but on providing assistance to operating agencies in getting their jobs done. This means planning, identifying needs, locating resources, sometimes participating in the help provided, and assessing its impact. The conferences, site visits and quarterly reports are all possible sources of what TA may be needed, however, and can be an on-going part of the needs assessment.

11. Why are we talking about technical assistance needs; should we not be talking about program needs in which technical assistance is one probable response?

Yes, that is certainly a reasonable way to state the problem. We have been stressing technical assistance however, because too often in the past the single knee-jerk response to all needs has been money.

12. How comprehensive does the technical assistance plan have to be?

As we have said earlier, it is up to the SPA to determine the scope of its technical assistance planning effort and the priorities to which it responds. It need not cover all of the things covered in your comprehensive plan nor even all of the things covered in your annual action program. The idea is to determine those program areas where technical assistance is most needed and will do the most good and to focus your resources there.

13. Some of the agencies in my state don't know what help they need, but they ask anyway. How do we verify that the request is a real and accurate need?

To some degree, that is a judgement call. But it should be based on getting the information suggested to define an actionable need and by discussion with the potential recipient. The whole process of needs identification requires specificity. If the need is illusory or for some other kind of help than originally thought, that will likely be discovered. At some point, you will have to make a judgement and perhaps depend on what the recipient assesses as the situation. The requirement for a work-plan before TA delivery provides another, updated and quite specific plan of action and is a final opportunity to be sure the right problem is being addressed.

14. We find that getting the needs down is fairly easy. The problem is in getting assistance delivered and part of that is in getting cooperation from resources within the state, any suggestions?

Obviously this task is easier if you've done a good job of resource identification so that you know who can do what within the state. Further, that search will allow you to identify who as a matter of their normal business delivers technical assistance (perhaps by another label). But, you're right, the task certainly is more difficult than identifying needs. Agencies or persons with expertise may not regard themselves as having that expertise or they may consider themselves too busy to deliver any significant amount of help to anyone else. It may help to make clear that you're not asking them to get into the technical assistance business to a full time basis, and that you're willing to screen requests or occasions for help such that they are not overwhelmed. Further, it may be possible for persons needing help to come to the resource rather than vice-versa. Finally, if there are several potential recipients of that kind of technical assistance, it may make sense to structure a situation in which a conference is the forum rather than individual, one-to-one confrontations.

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15. What response can we expect from the regional office?

The regional office staff is charged with two tasks with respect to TA. First, they are supposed to help the SPAs do what they have to do under paragraph 83: the needs assessment, resource identification, matching of needs and resources to establish an action agenda, specification of a delivery system. Secondly, they are to engage in a parallel planning process to develop a regional technical assistance plan, using as one input those needs identified at the SPAs for which commitments and resources are not identified. Obviously the specific focus of regional staff will var_ from region to region, and the responsibility may be lodged in different places in different regional offices. But, it is reasonable to expect your RO to be able to answer your questions and to be able to provide you some help. The specifics of that will have to be worked out in negotiation with your regional office.

16. Does this mean we no longer have the national contractors available for TA help?

No, the national contracts remain in existence. Their activities will be somewhat more focussed than in the past, attempting to address national priorities and priorities where local and state resources typically do not exist. We are not talking about eliminating that method of TA, but rather by broadening the choices of technical assistance response to problems, and better focussing specific resources.

17. What criteria will the regional offices use to review our technical assistance plan; what is adequate?

Obviously, each plan must contain the key elements required, the needs identification, resources identification, the analysis of needs and resources to establish an action agenda, the definition of a delivery system.

Further, priorities must be expressed and explained. Regions will look to the adequacy of each of those processes. They will expect that you will have made a serious attempt to identify technical assistance needs and resources. They will expect that those needs are expressed in specific and actionable fashion. They will expect that in the state you are capable and willing and intend to do something with respect to TA, rather than depending entirely on regional or national response. Someone from the regional office will be in touch with you about how your TA plan is evolving. If they're not, you'd better get in touch with them. Clearly, the first time each of you looks at the plan together ought not be the time it is submitted to the regional office.

18. Is it true that TA is the greatest thing since sliced bread?

No, but clearly since peanut butter.

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