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IOTA (INITIATIVE ORIENTED
TECHNICAL ASSISTANCE)
HANDBOOK —

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INTRODUCTION

Purpose

The purpose of this handbook is to document for field testing the preliminary design of an approach to the delivery of technical assistance that is tailored to the particular demands of the national priority initiatives sponsored by the Law Enforcement Assistance Administration (LEAA).

Concept

The national priority initiatives deployed by LEAA seek to bring about those long term fundamental changes in local institutions that will, within the framework of Constitutional guarantees, promote the reduction and prevention of crime/delinquency. Pursuit of these improvements is founded on the principle of community action on community problems with LEAA serving as a catalyst.

These special programs entail major conceptual and operational reforms. They also deal with the complex social issues involved in linking the Criminal Justice System more intimately to the people it serves.

Frequently, local officials have neither the human, physical or financial resources nor the time to spare for the planning and actions necessary to launch such programs or to prove out and document the new techniques they entail. Thus, in the interest of initiating immediate progress on selected

initiatives and of accelerating the development and field testing of technology that can be packaged for transfer through traditional mechanisms on a nationwide basis, LEAA has committed itself to a limited application of the "hands on" approach referred to here as Initiatives Oriented Technical Assistance (IOTA). In selected instances LEAA will provide a team of skilled professionals, backed by discretionary funds, to participate actively with a community in the diagnosis of problems and opportunities, the selection of appropriate responses and the implementation of approved reforms leading to the institutionalization of change. The team which supplements community resources to the extent necessary to create a critical mass, will leave behind not only specific improvements and practical plans tailored to the local needs and perceptions but a cadre of local personnel trained to continue the process. They will also gather the information necessary to adapt the results for general application.

Initial Application

While the IOTA concept can be used in support of any initiative, the specific terms of its application must be harmonized with the objective of the one that it is deployed to further. Since the Citizens Initiative has been given first priority and is the most demanding in its requirements, it is the one to which the model contained in this Handbook has been keyed. In brief, the objective of the Citizens Initiative is "to make the Criminal Justice System more responsive to the needs of the individual citizen as well as

making his exposure to the system as pleasant and meaningful as possible while at the same time improving its overall efficiency and involving the citizen in the prevention/reduction of crime/delinquency." In response to the focus of this initiative the IOTA design set forth in this Handbook provides for the handling of social issues as well as those problems that are attendant on any attempt to establish effective linkage between people and the systems that serve them. These same features would not be essential in a situation where only system efficiency was the primary objective.

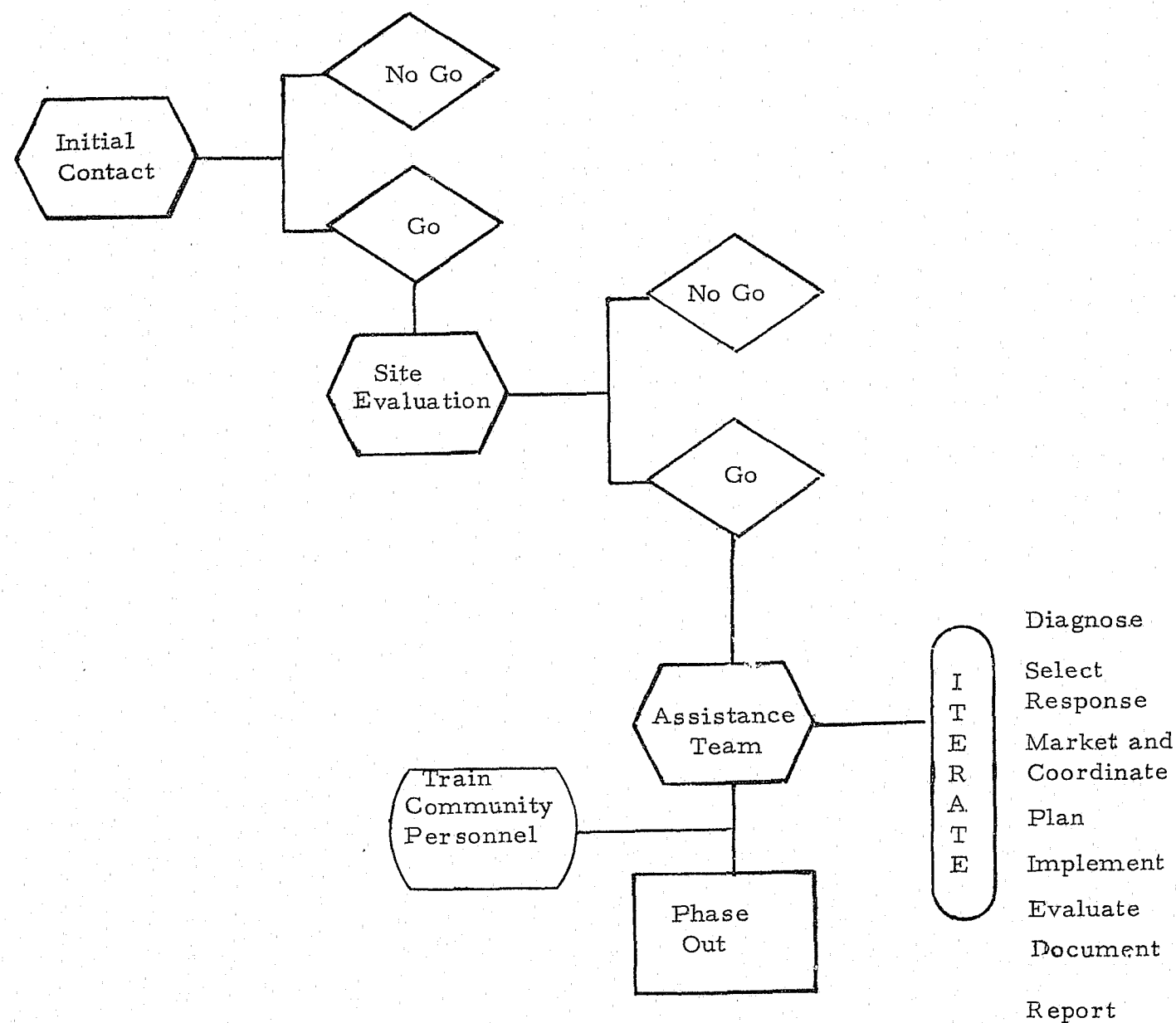
Community Selection Criteria

Given the limitation of resources, the "hands on" concept of assistance will only be applied in a small number of communities. These will be selected on the basis of two criteria:

- First is the expressed willingness on the part of the community to commit itself to change. A prerequisite to the initiation of the IOTA process will be an affirmation from community leaders that they will actively participate in and support the introduction of relevant improvements.
- Second is the potential of the community to serve as a representative living laboratory in which ideas can be tested and then, if found workable, be translated into general guides for other locales.

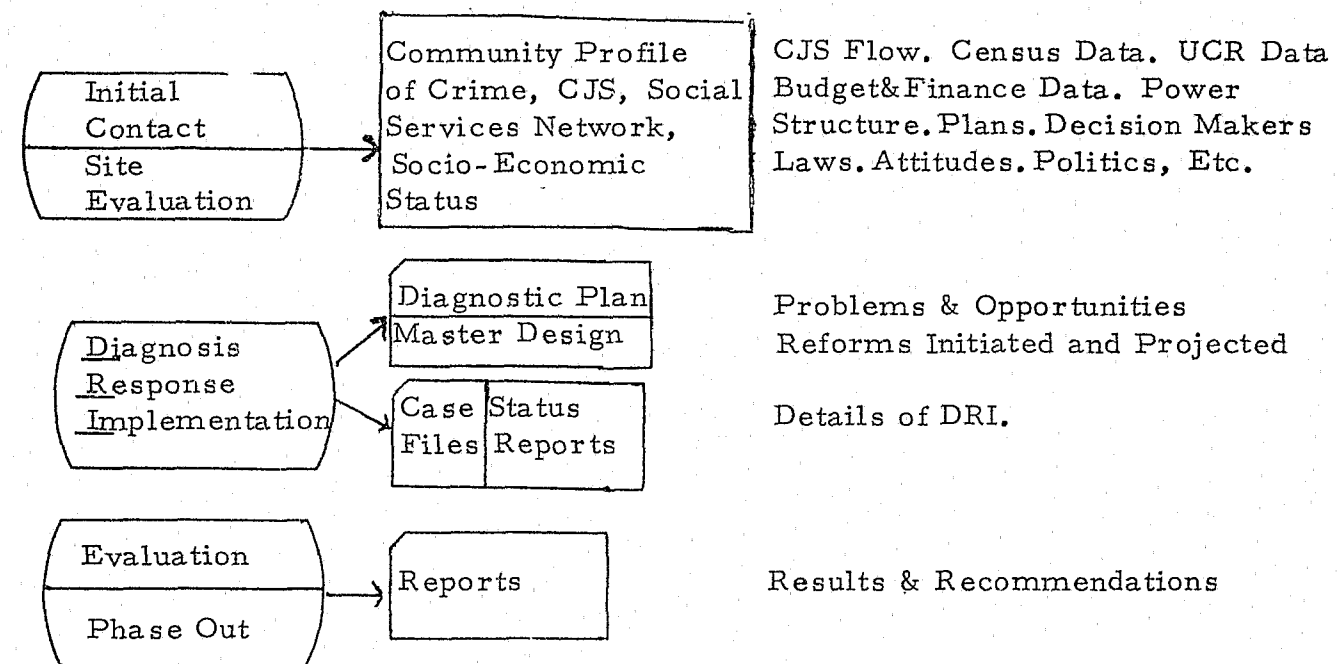
The Process

The key steps in the IOTA approach, as applied in the Citizens Initiative, detailed in subsequent chapters are indicated in the simplified sequence depicted below.



Information Flow

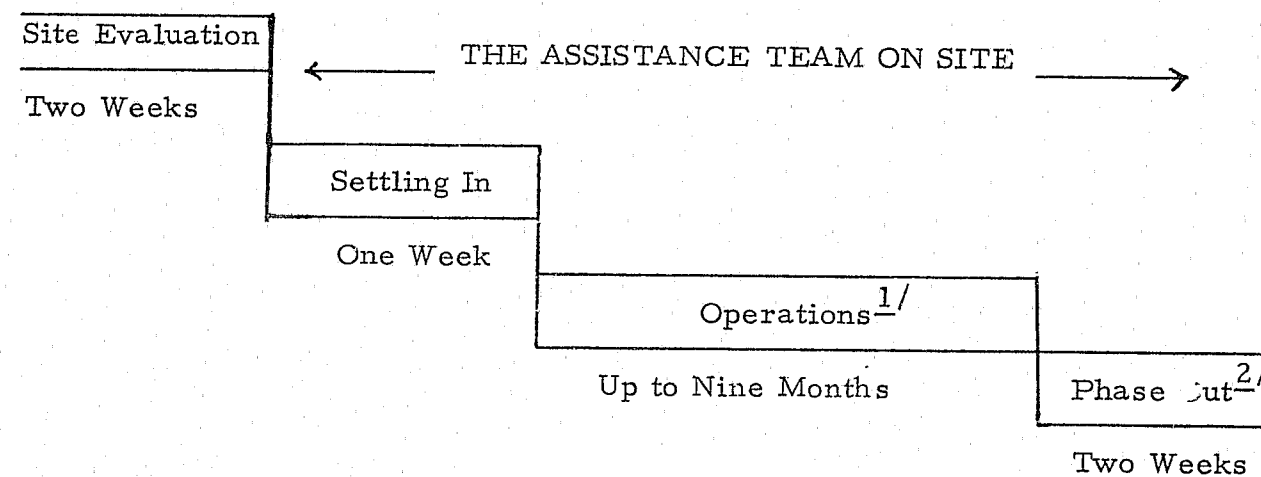
One of the most important products of the process illustrated above is information the build up of which is highlighted below.



Phasing

The amount of time actually spent in the field will vary from one community to another depending on local needs, attitudes, conditions and potential.

In general, however, the schedule shown below will be followed:



1. During this phase the diagnostic, response determination and implementation processes will be going on concurrently. Thus, while diagnosis is proceeding on one case, the recommended response to another may be before the community and the proposal for an approved course of action on another may be in funding channels.
2. Preparation for this phase will start during the Settling In period. Training of community personnel and verification of skill transfer will be a continuing activity during the entire time of team deployment.

A Basic Premise

The practices outlined in this Handbook are based on the premise that the "hands on" mode of technical assistance is best delivered by professionals who have practical experience in the systems to be reformed coupled with the requisite skills in communication, analysis and leadership. Such individuals have an experiential model against which to compare what they observe and can readily identify problems and opportunities. They do not need a recipe to follow. They are ready to perform and deliver given the appropriate operating context. Thus, this Handbook does not explain "how" to do the job. It addresses "what" is to be done and "why".

Special Emphases

While IOTA is an experimental approach to the delivery of technical assistance that will evolve as the results of field tests become available, the guidelines contained in this Handbook have been drawn in light of the lessons learned in other programs. Thus, special emphasis is placed on practices calculated to:

- Obtain the active involvement of those locally who have the power to authorize a change and those who must subsequently effectuate it.
- Assure the broadest possible coordination on any proposed change.
- Avoid complicated solutions and give preference to the simplest relevant response.
- Give recognition to the fact that there are problems that cannot be solved and solutions that cannot be dealt with by outsiders.

- Differentiate between the theoretical ideal and the practical.
- Obtain the support and interest of the individual citizen while recognizing his limitations as a basis for initiating change.
- Promote serious and objective evaluation of results.
- Assure effective planning, direction and control of the entire effort while leaving the details of how to do the job up to the individual on the firing line.
- Ensure complete documentation of what is done and why.
- Provide the people in the field the resources they need and the discretion to use them as they see fit.
- Balance responsibility, authority and accountability.
- Obtain the maximum direct personal involvement of the people in the field in the process of change. They are doers not just advisors or observers.
- Create a climate of mutual trust, respect and confidence.
- Foster innovation.
- Initiate a dynamic of constructive criticism and responsive change.

Administration and Deployment

The IOTA model set forth in this Handbook will be administered and deployed by LEAA personnel. Thus, the roles assigned to the participants in the various processes:

- Are subject to the rules governing LEAA employees.
- May be amended to reflect changes in internal delegations of authority or assignments of responsibility.
- Supplement, but do not alter, Agency requirements with respect to administrative management.

INITIAL CONTACT

General

While the prescription of the rules for the Initial Contact with a community that is a potential site for the deployment of IOTA in support of the Citizens Initiative is outside the scope of this Handbook, the proper execution of that process is essential to the success of IOTA. Accordingly, it is discussed briefly here to set the stage for what follows.

Purpose

Initial Contact, which gives LEAA senior management officials direct access to the relevant power structures, serves these primary purposes:

- It provides for an exchange of views between LEAA personnel at headquarters and their counterparts at Regional, State and other levels on the feasibility and desirability of launching an IOTA effort in a particular community.
- It is the mechanism through which LEAA communicates with affected State and local officials on the projected course of action and on the role they will be expected to play if all parties agree that it would be mutually advantageous to proceed. Given the scope of the Citizens Initiative, those involved in this contact extend beyond the framework of the Criminal Justice System.
- It affords LEAA management an opportunity to explain IOTA and contrast it with the traditional approach to technical assistance of just providing money, training, advice or school solutions and then leaving it up to the community to

realize the objectives of the Agency. In this context, the terms of the successful partnership between LEAA and the community can be adequately explained to all concerned.

- It generates information on personalities, local conditions, antagonists, supporters, possibilities, problems and systems that help to frame the plan of operation for the specific IOTA effort.

Responsibility

The LEAA Office of National Priority Programs is uniquely responsible for the conduct of Initial Contact activities. The Director of that office makes the final decision on whether or not to proceed with the Site Evaluation phase of the IOTA process.

Key Initial Contact Activities

- Select target communities based on a general appreciation of their potential and probable reaction.
- Prepare a preliminary profile of the targets describing: their crime situation; the general structure of their criminal justice system with particular emphasis on external linkages; their form of government; their current plans; and their financial situation. This profile is amended as necessary as Initial Contact activities proceed.
- Prepare a sociogram with personality indexes of key players. This material is updated as Initial Contact proceeds.
- Discuss the Citizens Initiative with LEAA officers in the field to obtain their perception of the probable reaction of State and local officials and their evaluation of the suitability of the selected targets.

- Discuss the Citizens Initiative and IOTA with key officials in the State, in the target community and in surrounding jurisdictions on which it depends or which it serves to ascertain a mutuality of interest and support. This may require one or more presentations covering the concepts, results expected, participation required locally, the need for a commitment to change, respective rights to terminate if either side is dissatisfied, the importance of Site Evaluation as a "Go/No Go" decision point for Assistance Team commitment, and present and future financial implications.
- Decide on whether to proceed with the Site Evaluation phase of IOTA and inform all who have participated in the preceding discussions of the choice made. A negative response will be accompanied by an appropriate rationale and thanks. A decision to "Go" will include an explanation of what Site Evaluation is all about, who will be conducting it and asking full cooperation from all parties.
- If Site Evaluation is decided upon, transfer the file on the community built up during this process to the Senior Analyst designated to lead that effort.

SITE EVALUATION

General

This chapter is limited to a general description of the Site Evaluation phase of IOTA. For a complete discussion of the forms used, data collected, techniques, sources exploited and reports compiled, see the Site Evaluation Guide issued as a supplement to this Handbook.

Purpose

The primary operational purposes of the Site Evaluation phase of IOTA are identified below. It also serves as a safety valve by providing an interlude for introspection during which latent doubts and differences can be surfaced and dealt with. If they cannot be resolved, then the process can be terminated without major embarrassment or cost.

- It provides for the acquisition of factual data and observations to confirm or modify the impressionistic information gathered during Initial Contact. Most important in this regard is the assessment of the ability of the local government(s) to deliver on their promise and of the true extent of probable community support for change. For this purpose community budgets, financial forecasts, and development plans are examined in addition to the power structure analysis and attitude evaluation conducted to identify who controls change and whether or not they are willing to permit it.
- It provides for the expansion and refinement of the data base assembled during Initial Contact including finalization of the description of: the Criminal Justice System; the process of local government; and the human services delivery network.

- It provides for the collection of historical data and trends that will serve as benchmarks for measuring change and evaluating success/failure of the initiative if deployed.
- It provides the information necessary for determining the structure and size of the Assistance Team to be sent in if a "Go" decision is made. This includes data on logistical considerations such as office space, support services availability and local manpower.
- It provides for the identification of any major problems or impediments that might adversely influence the probability of success and of any opportunities for "quick fix" improvements.
- It provides for the informed analysis of the findings and the delivery of a concrete recommendation to the Director of the LEAA Office of National Priority Programs on whether or not to field an Assistance Team.

Staff and Schedule

In self-contained communities up to around 500,000 population the purposes of Site Evaluation can be accomplished by 3 analysts in 5-7 working days with two days preparatory work and one day of introductions. For larger communities an analyst is added for each 100,000 above the 500,000 population level. If the community is dependent on external units for services or serves citizens of other jurisdictions, then time and staff allowances must be adjusted accordingly. To conduct formal attitude surveys of sample populations local interviewers will be employed if available.

Sources of Information

The primary sources that will be used to obtain the necessary information are:

- The records and reports of LEAA and other Federal agencies. The potential of these sources should be nearly exhausted during the Initial Contact.
- State and local unit of government records, reports, and plans.
- Media files.
- Surveys of public opinion, attitudes, needs and awareness.
- Interviews with selected public officials and citizens.
- Analysis of systems, processes and operations.
- Records and reports of informal components of the human services delivery network.
- Personal contacts.

Special Role

In addition to their information gathering, verification and analysis role, the Site Evaluation personnel will answer questions and try to resolve questions raised about IOTA or the Community Initiative. The results of this activity will be synthesized in the final narrative report and be an important ingredient in the "Go/No Go" recommendation.

Final Reports

Upon completion of the Site Evaluation the Senior Analyst will submit two reports to the Director of the Office of National Priority Programs. These are:

- Within two working days of the completion of the field work, a brief narrative setting forth the recommended action and the rationale, therefore including a preliminary estimate of the situation in terms of potential significant changes and "quick fixes" that an Assistance Team could use to develop their initial Diagnostic Plan as well as his appreciation of the probable limits on improvements. In this regard, he will give special attention to the community financial situation and the attitude of the key decision-makers to change. He will also identify what supplemental talents should be incorporated in a team in order to create the necessary critical mass.
- Within five working days a compilation of the factual information assembled on the community together with appropriate commentary.

Final Steps

- Upon receipt of the Narrative Site Evaluation Report the Director of the LEAA Office of National Priority Programs will make a decision on whether or not to deploy an Assistance Team. If the decision is:
 - No - He will inform all concerned and give them the rationale therefor. He will include with his letter to the community a copy of the narrative report and factual compilation for their future reference.
 - Yes - He designates a member of his staff to serve as Project Monitor, assembles an Assistance Team, advises all concerned of the decision and gives them the names of the team together with the date of their arrival on site. Site Evaluation analysts may be included in the team. With his letter to the senior official of the selected community, he will enclose a copy of the narrative report and the factual compilation to serve as a common basis for the entry dialogue.
- If the election is to "Go" the community file is transferred to the Assistance Team, otherwise it is retired.

• The leader of the Site Evaluation effort briefs the Project Monitor and the members of the Assistance Team, in the event one is selected, on his observations and impressions.

THE ASSISTANCE TEAM

Organization

Each Assistance Team is an adhoc unit of the LEAA Office of National Priority Programs and it operates on a detached service basis. To facilitate the performance of on-site activities the Director of that office will:

- Appoint the Team Leader and delegate to him, subject to review and in consideration of the actual situation in the field, the maximum of the authority available to the Director for delegation.
- Designate a member of his staff to serve as Project Monitor for each team deployed. This individual will maintain continuous liaison with the team, make site visits, review all documentation submitted by the team, keep the Director advised on status or action required of him and expedite necessary actions such as proposal approval within LEAA Headquarters as well as with other agencies in the Washington area.

Responsibilities

In working with a community toward the realization of the objective of the Citizens Initiative the major responsibilities of an Assistance Team are:

- To acquire an operational understanding of the people in the community and the institutions that serve them so that problems and opportunities can be identified and realistically appraised.
- To perform a thorough diagnosis of each problem or opportunity that has a potential response.
- To identify practical reforms tailored to the particular local conditions and translate them into terms that citizens as well as public officials can understand.
- To set before the community the consequences and costs of proposed improvements as well as the results of failing to change.
- To foster the creation of advisory organizations within the community.

- To enhance public awareness of the potential and limitations of the Criminal Justice System to serve the individual citizen and to sensitize the members of that system to public service.
- To coordinate with and involve other Federal agencies operating in the community in the introduction of appropriate changes.
- To create a local cadre that can take over and continue the work to its conclusion.
- To field test new techniques.
- To evaluate the results of the Citizens Initiative, IOTA and of experiments and recommend improvements in substance, policies and practices.
- To keep a complete record of all activities and provide progress reports.

Authorities

At the time the Director of the LEAA Office appoints a Team Leader he will set down in writing the specific delegations of authority using the following as a guide for those with which he may be vested:

- To negotiate the optional conditions of the Charter (see Appendix A) with the senior officials of the community.
- To establish the priority of diagnosis and to select the optimal responses.
- To hire and fire local support staff, experts and consultants.
- To negotiate the controlled elements of assigned experiments before initiating them and to modify discretionary elements during their execution. This includes the right to refuse to deploy an experiment that the Team Leader judges to be inappropriate.
- To rent office and conference space as well as associated equipment.
- To buy supplies, forms and other materials.

- To speak authoritatively on the Citizens Initiative and IOTA with local representatives of the media, associations and other public interest groups.
- To recommend termination of IOTA activities if further operations are judged undesirable by either himself or competent local authority. This includes the power to suspend work in process pending a decision.
- To rotate membership on the team depending on actual skill needs and projected work schedules. This includes the right to call for specialized manpower whenever needed.
- To draft and authenticate grant proposals.
- To negotiate and administer local contracts in support of experiments. Acceptance for LEAA will be by a duly appointed Contracting Officer.
- To determine the appropriate funding mechanism for community projects.
- To set the date certain for the start of the Phase Out process.

Initial Formation

Based on the information gathered during Initial Contact and Site Evaluation the Director of the LEAA Office of National Priority Programs will select a Team Leader who will pick his Assistance Team in consultation with the Director. The size and composition of the team will depend on the number and skills necessary to create a critical mass. Given the scope of the responsibilities assigned to the team and the extent of the authorities delegated to the leader, he will be an individual of proven leadership with management skills and political common sense. He will also have practical experience with one or more aspects of the Criminal Justice System (CJS).

The Project Manager model will serve as a general prototype for the position of Team Leader. The actual makeup of the team will vary as a function of need and change as operations proceed. However, the first group in will normally include the following in addition to the Team Leader.

- A Community Affairs Specialist. This individual will, wherever circumstances permit, function as a Deputy Team Leader and will remain with the leader for the duration of on site operation. He shall be skilled in community organization, divining minority group perceptions of the problems, obtaining the support of disadvantaged individuals for system change, creative utilization of existing human services delivery networks, balancing the demands of competing groups and similar social engineering activities. He should also have a working knowledge of the CJS.
- A Systems Analyst. This individual will also stay for the duration. He shall be skilled in the analysis and reform of the Criminal Justice System. He will be expected to be fully informed on, or know where to get reliable information about, CJS techniques, procedures, practices, etc. He will oversee the work of specialists called in to review the components of the CJS. He will also formulate the Diagnostic Plan and Master Design and assure accomodation of the interfaces between the CJS and other systems.
- A Community Operations Specialist. This individual will remain only a short while. His function will be to obtain information on the working of local government as it affects such matters as procurement, hiring, proposal approval, changes in ordinances, modification of laws, etc. His findings will enable the team to expedite actions and follow local rules effectively.

Structural Dynamics

As the work progresses, specialists will be called in to participate in the Assistance Team for varying lengths of time. The same specialist may come and go several times in the course of a deployment. Among those that may be required are:

- Lawyers to formulate recommended modifications in local ordinances, statutes and regulations.
- Court Administrators to work on specific practices and procedures.
- Correction Officers to work on various aspects of their process.
- Law Enforcement Officers to work on specific police affairs.
- Grant Administrators to work on the development of complex proposals.
- Information System Analysts to work on changes in information systems.
- Psychologists to work on behavioral problems.
- Computer Programmers to prepare or review software.
- Trainers in various fields to provide skills transfer essential to the pursuit of specific improvements.
- Economists to conduct financial analyses.

Local Hires

Since one of the objectives of ICTA is to transfer technology to the community so that it will be able to carry on when the team withdraws, preference will be given to the use of local citizens and public servants in hiring. Wherever possible, individuals already on the rolls who will be performing similar functions when the team leaves will be engaged. The Team Leader will have to make appropriate arrangements with department heads on cost sharing, reassignment, term of availability, etc.

Among those to be hired are:

- An understudy for the Team Leader and one for the Systems Analyst.
- Clerical staff -- part or full-time.
- Experts and consultants as needed and available.

Local Purchases

As necessary, the Team Leader will, using local sources:

- Rent office and conference space.
- Rent office equipment and furniture.
- Buy office supplies.
- Buy reproduction, drafting and similar services.
- Buy forms and small items essential to "quick fix" solutions or improvements.

Telecopier

In order to facilitate and expedite communication between the Assistance

Team and LEAA Headquarters, the Team will be furnished with a telecopier.

SETTLING IN

Introductions

At the time the Team Leader is designated, he will be provided with letters of introduction to appropriate Regional, State and local officials. During the one week or so of the "Settling In" phase, the leader will visit each addressee, spend a few minutes explaining his mission, introduce selected members of his team and leave a copy of his Charter for their reference. The Community Affairs Specialist will make himself known to spokesmen for local groups and will arrange introductions with them for other members of the Assistance Team. Special care will be taken with all contacts to assure that they are fully informed and satisfied on the purpose of IOTA and what part they can play in its success.

Charter

A standard draft charter, illustrated in Appendix A, will be completed at the time an Assistance Team is formed. It serves two purposes:

- First, in its draft form with the non-negotiable items completed, it serves as a briefing document during the introductions by providing a synopsis of IOTA concepts and practices as well as specifying the role of the Assistance Team in the community.
- Second, it is the framework within which the Team Leader and the senior responsible official(s) in the local unit(s) of government fix the mutually agreed terms of their relationships on such matters subject to negotiation in the field as: office space; participants in advisory groups; use of departmental personnel; the date certain for the start of Phase Out; the timing of formal meetings; the limits of expectations; access to records/reports; exclusions; the pay of understudies.

If more than one unit of government is involved or if several officials must be independently negotiated with, separate Charters containing appropriate discretionary conditions will be executed. Copies of all completed documents will be filed with the LEAA Office of National Priority Programs together with a brief explanation of the reasons for significant additions to, or deletions from, the standard form.

Office Space

The Team Leader will acquire appropriate office space in a location accessible to the citizens of the community and convenient to major local government officers. If at all possible, within this guideline, he will arrange for free space to be provided by either the government or a private group as a concrete expression of their commitment. Otherwise, he will rent. In either event, appropriate provisions will be made for communications and utilities. Accordingly, he may follow a mixed strategy such as using free space while paying for telephones, heat, light, water, etc.

Living Arrangements

The Team Leader and permanent members of the Assistance Team will make living arrangements suitable to them. The only pertinent

guide in this matter is consideration of the need for community contact, much of which may have to take place out of normal working hours.

Organizing Advisory Groups

Since one of the quickest ways of involving local people in the process and of giving them concrete evidence of the desire for their active participation is to set up groups to advise the Assistance Team, priority will be given to their formation. How many and how composed, will be wholly dependent on local conditions. It being more politic to create than to discontinue, normally no more than two should be formed in the first week. These can be expanded and added to as deemed desirable later. The two that should be formed as early as possible are:

- A select committee of key decision makers to advise the Assistance Team on the politics of change in the community.
- A broad based committee to review plans and proposals as well as to make suggestions for improvements.

Hiring Support Staff

The Team Leader will obtain the services of such support staff as secretaries, typists, etc., as he deems are necessary in consideration of the workload. To the extent possible, he will draw on the departments of local government for full or part-time help on either a

free or cost-sharing basis. If local conditions preclude such arrangements, he will hire qualified local personnel.

Identifying Understudies, Experts, Consultants

During the "Settling In" phase, a particular effort will be made to identify candidates for understudy, expert and consultant positions. Understudies should, whenever possible, be selected and on board before the end of this phase to provide them with the broadest possible exposure to the process as well as to emphasize from the start the local focus of IOTA and the Community Initiative. The list of potential experts and consultants should include avowed antagonists in addition to enthusiasts.

Hiring Understudies

Given the long term importance of the understudies for the Team Leader and the Systems Analyst to the community and the success of the Citizens Initiative, care will have to be exercised to assure that:

- Provision is made with the candidates and their superiors for a trial period and verification of capability to perform.
- The ultimate disposition of the positions and their incumbents upon phase out of the Assistance Team is explicitly specified and guaranteed.
- The terms of payment, by whom, for how long, for how much and with what expectations, are clearly understood and under-written by all concerned.

- Those selected to fill these positions know what is expected of them and what their rights and obligations are.

Engaging Experts and Consultants

Wherever possible experts and consultants will be drawn from the local community. Particular consideration will be given to the use of local police, corrections and courts personnel to obtain access to their knowledge of the community as well as to involve them in the process of change. Where members of departments of local government are used, the Team Leader will, if possible, get their services free or on a cost-sharing basis. Otherwise, those engaged will be paid at prevailing rates. Care will be taken to see that local rules on moonlighting are strictly adhered to. To assure that, from whatever source they are drawn, experts and consultants are used for a specific purpose for a limited time with a clear assessment of their performance, assignments and schedules for each engagement will be set forth in writing. As potential candidates are contacted during the "Settling In" phase, this approach will be explained and individuals will be encouraged to submit documentation on proposals for projects in furtherance of the Citizens Initiative that they would like to undertake.

Community Work

By the end of the "Settling In" phase all major citizen organizations, community organizations, church groups, volunteer groups, the PTA,

neighborhood councils and other public interest groups should be aware of the presence of the Assistance Team and be informed of its purpose. The individual citizen too should be awakening to the existence of a new channel through which he can express his ideas about change. This work, which will be the primary responsibility of the Community Affairs Specialist, will be conducted openly and local government officials will be kept fully informed while preserving confidentiality of communication.

Media Contacts

The Team Leader will make early contact with media representatives and inform them on the role of the Assistance Team and the objective of the Citizens Initiative. They will be assured of an "open door" at any time to review and report on the activities of the team. In turn they will be asked to reciprocate by serving as channels for informing the community of specific needs, projects and ideas.

Reports

In addition to the final Charter(s), the Team Leader will furnish the LEAA Office of National Priority Programs with a narrative report upon completion of the "Settling In" phase. It will describe the arrangements made, account for costs incurred, project future expenses, list those employed, assess reception/reaction, identify any special problems,

include any media releases and cover any other matters of significance. It should also give the team recommendations for changes or refinements in "Settling In" procedures to help guide future teams.

DIAGNOSIS

What is Diagnosis? It is the process of identifying and specifying:

- Opportunities for meaningful change. Since the objective is to maximize services to the citizen, there will undoubtedly be instances of technically satisfactory practices and procedures that can be modified to give better expression to that ideal.
- Problems that inhibit service to the citizen and/or distract from the efficacy of the Criminal Justice System which can be solved. In this context it should be borne in mind that:
 - What is a problem to one party to another may be a highly satisfactory way of doing things. In such an instance, the preferred approach is to treat it as an opportunity and avoid negative labelling.
 - There are problems that can be solved within local authorities and resources. There are others whose solution transcends the capabilities of the local jurisdiction. These must be clearly segregated to avoid the creation of false hopes.

Scope. Within IOTA, diagnosis addresses two complimentary sets of opportunities and problems. These are:

- Those expressed in Needs. In this set are those arising out of the perceived and real needs of individuals, as well as groups, within the community and reflects the citizens' concept of how the system should respond to them.
- Those embodied in Systems. In this set are those arising out of the functioning of the combinations of men, practices, laws, procedures, facilities, hardware, etc., that serve the citizen.

Need For A Plan. Successful pursuit of the diagnostic process depends largely on a common understanding between the Assistance Team and the

community, in all its manifestations, on the Targets for examination, the Priority of analysis and the Schedule to be followed. Through the publication of a Diagnostic Plan the community knows what to expect, can follow progress or revisions, can prepare itself to respond, is shielded from surprises and is given a sense of involvement in the process. The initial plan should be released shortly after completion of the Settling In process.

Diagnostic Plan Targets. While the specific targets to be included in the first issue of the Plan will be derived from an assessment and synthesis of the findings of the Site Evaluation and Settling In activities including local suggestions from individuals as well as groups, the general areas of primary consideration will always be:

- The Criminal Justice System both as an entity and in terms of its Police, Courts and Corrections components. See Appendix B for a list of CJS Oriented Potential Reforms that can be used as a basis for a dialogue with local officials and community representatives leading to the selection of appropriate targets.
- The formal systems that comprise the Human Services Delivery Network. These include:
 - Education (Adult as well as Juvenile).
 - Health (Mental and Physical).
 - Welfare (Supportive and Corrective).
 - Transportation (Public and Private).
 - Housing (Public and Private).
 - Employment (Assistance and Training).
- The informal contributors to the Human Services Delivery Network whether tied in or operating independently. These include:

- Free Clinics of all types.
 - Church Activities of a social nature.
 - Volunteer Organizations in all fields.
 - Community Groups for various purposes.
- The individual citizen in his role as: victim, accuser, accused, juror, family member, friend, lawyer, doctor, witness, employer, volunteer, preventor, etc. See Appendix C for a list of Citizen Oriented Potential Reforms that can be used as a basis for a dialogue with local officials and community representatives leading to the selection of appropriate targets.
 - The laws and ordinances that guide community behavior.

Diagnostic Plan Priorities. In establishing the priorities to be assigned to each of the specific Targets, those that fall under the general headings of Systems and Needs receive equal weight. They are both Priority "I".

The reason for this is that unless the citizens are collaterally involved they will perceive the inconsistency between the advertised purpose of the Citizens Initiative and the actual performance of IOTA. Should that happen they will at best lose interest and at the worst turn against the entire effort. Either outcome would necessitate abandoning the site.

Further, this approach assures that the need to strike an appropriate balance between Needs and Systems is kept before the Assistance Team at all times. This relationship is of paramount importance to the formulation of proposed changes that satisfy the primary objective of maximizing service to the citizen. Under the Needs and Systems headings subordinate priorities "A" and "B" are arbitrarily assigned to opportunities and problems, respectively, to emphasize the positive aspects of diagnosis.

Within this scheme of parallel priorities it is necessary to establish a subordinate sequence in the Systems area.

Beyond the simple necessity for dividing up the work there is another reason for this step. That is to optimize the probability of quick success in order to initiate a "bandwagon" effect and to give others in the community a high goal to aim for. Thus the order of subordinate priorities set forth below is suggested for the Systems opportunities and problems paths. It should be deviated from only if local conditions indicate that a more complex situation can be dealt with as readily as a simpler one.

- Priority "1" should be assigned to those cases where change can be initiated by those who are directly responsible for the system component without reference to any outside authority or need for concurrence by others. This group will contain all those possibilities that can be realized relatively quickly and lend a dynamic of success to the entire IOTA effort.
- Priority "2" should be assigned to those instances that involve changes at the interface(s) between components of a system - for example between the Police and the Courts. While there is generally mutual interest in such improvements, there is also usually some negative impact on one of the parties. Accordingly, these changes take more time to describe and more coordination to implement.
- Priority "3" should be assigned to those potential changes involving interfaces between components of a system where parts of it come under different administrative jurisdictions - for example, between locally controlled Police and county operated Courts. In this situation the mutual interest is diluted by political considerations that make analysis more complex and reduce the probability of short term improvement action.
- Priority "4" should be assigned to those targets that involve changes at the interface(s) between systems - for example, between the Police and the Schools. Here the issues are complicated by different perceptions of the needs and description involves translation into terms of mutual interest with subsequent changes in independently controlled operations.

- Priority "5" should be assigned to those cases involving changes at the interface(s) between systems under different administrative jurisdictions - for example, between locally controlled Police and county operated Schools. In this situation, perceptual differences are augmented by political imperatives making description doubly difficult and the probability of change remote.

Diagnostic Plan Schedule. The schedule should set forth for each of the specific targets to be examined - in priority sequence:

- The date review will commence.
- The key events and their timing for each case.
- Who will be involved locally in the analysis.
- The anticipated completion date for the study.
- The relationship between targets when the outcome of one study is dependent on another.

Supporting Schedules. To round out the package provided to the community, two supporting schedules should be included in the Diagnostic Plan. These are:

- The standard sequence for follow on actions so that those involved can prepare themselves. In this connection, it should be noted that the diagnostic and response processes are run concurrently so that both will be on going at the same time.
- The standard Plan review cycle so that the community will know when to expect revisions and can input suggest amendments to the Plan before it is updated.

Diagnostic Plan Revision. The plan should be viewed and communicated to the community as a dynamic document that will be updated on a regular

schedule to reflect the current estimate of the situation. Among the major factors influencing revision are:

- The discovery of targets of opportunity. As diagnosis proceeds unanticipated targets will be uncovered and need to be recognized by appropriate adjustments in priorities and schedules.
- The flow of ideas from the community can be expected, if properly motivated and involved, to suggest new problems or opportunities and these must be either incorporated in the plan or rejected with relevant reasons.
- The process of analysis. As a result of actual work on a target any of the following may occur and require appropriate adjustments in the Plan:
 - It is found that the problem or opportunity does not appear amenable to change and is dropped with appropriate explanations.
 - It is found that the target under review can be broken down into finer elements with increased probability of a meaningful response and these are added to the Plan with shifts in schedules.
 - It is found that the work will take more or less time than anticipated and the schedule is amended with appropriate explanations.

Application of Diagnostic Techniques. The description of such diagnostic techniques as interviews, flow process analysis, decision tree construction, organization analysis, manpower utilization analysis, procedures analysis, etc., is outside the scope of this Handbook. It is implicit in the skill requirements for selected team members that the Assistance Team will have at least the routine techniques at their disposal. However, the special conditions imposed by the on-site operation of the team, its responsibility to train others and the imperative of success dictate certain rules that must be followed in applying the techniques. These are:

- To use the simplest technique that will produce results credible to those who must endorse the necessary changes. Suit the technique to the subject and the audience. If a simple interview will suffice to elicit the necessary facts, then that is the way to proceed. The objective is to complete as much as possible as fast as possible. The application of sophisticated analytical techniques will only delay the outcome and hence are justified when they are the only way to get an answer.
- To keep the possibility of an effective response in mind. The definition of the problem or opportunity should indicate the change to be made and the technique should give explicit recognition to the follow on actions anticipated. If a flow of people or paper, for example, presents a possibility for beneficial change, a flow process analysis will probably be required since alternate paths will have to be assessed in the response process. But do not go any further or deeper than necessary to obtain the relevant significant facts.
- To break the problem or opportunity down to its simplest elements while maintaining the relationship between them. This permits the use of simple techniques to deal with complex issues. It also assures that the real issues are dealt with.
- To set aside problems or opportunities beyond the capability of the team or the community to deal with. This avoids the initiation of elaborate analyses that go nowhere or imply responses outside the power of the community to institutionalize. Such cases may be documented for future consideration but without giving any guarantee, explicit or implied, as to the availability of Federal funding to cover implementation of an adequate response..

Documentation. Regardless of the technique(s) used or of the scope of the diagnosis required, each opportunity or problem identified in the Diagnostic Plan will be treated as a case and be documented from start to finish. For this diagnostic process the following format will be used:

- Statement of Problem ☐ or Opportunity ☐ (check one). A brief (two or three sentences at most) explanation of the problem or opportunity to be analyzed.
- Background - The assumptions, contacts, etc., required to establish a basis for the analysis.

- Facts - The facts relevant to the problem or opportunity or which serve to clarify the issue(s) involved. Tables or charts may be used where appropriate for this purpose.
- Discussion - An analysis and evaluation of the situation in a combination of facts and reasoned opinion.

This section may be supported by appropriate charts, tables, etc.
- Conclusion - The conclusions drawn from the facts and the discussion.

Reports. In addition to a copy of the Diagnostic Plan, the Assistance Team will furnish the LEAA Office of National Priority Programs with:

- Copies of all changes to the Plan.
- A monthly narrative report on the progress and outlook for the diagnostic process to include a discussion of problems encountered and solved, any anticipated problems and a projection of the resources to be expended over the next 30 days. This report will serve as the basis for routine dispatch by the Project Monitor of temporary team backup and other support.
- Copies of the case histories for each completed analysis. These will be filed on a continuous basis throughout the process and one is required for every case no matter how small or how extensive. They will be used by the Project Monitor to trigger feed back to the team on suggested experiments for consideration in their response selection as well as information on responses selected by other communities in similar cases and the results achieved.

RESPONSE

What is Response? In the assistance continuum it is the process of selecting and marketing appropriate changes based on the findings and conclusions of the diagnostic process. While it is analytical telescoped with the diagnostic process, it is treated operationally as separate to ensure that all the necessary steps are taken. It lays the foundation for implementation. It does not require a separate plan since it consists of a standard sequence of activities. It is suggested, however, that the Assistance Team, for self-management purposes, establish target dates for the completion of each of these activities for each case:

- Selection of an appropriate response.
- Selection of an appropriate method of implementing the preferred response.
- Coordination of the response with other jurisdictions and other Federal agencies wherever necessary.
- Marketing of the proposed approach and obtaining community approval. A list of contacts should be prepared for each proposed response to assure proper coordination.

Sources of Alternatives. In picking an appropriate response, the Assistance Team must be guided by its own assessment of what will most likely work in the community as they know and understand it.

The team can draw on these primary sources for ideas to consider in choosing the right alternative:

- Their own experience with similar situations. This will generally be the single most important source and will be enriched by repeated work in the field.

- Suggestions from the community. The team in every instance should use the advisory groups to elicit from the professionals and ordinary citizens their thoughts on what should be done even to the extent of planting appropriate ideas. Support will be easier to obtain and implementation more likely to succeed if the response has a local inspiration.
- Suggestions from the LEAA Office of National Priority Programs for experiments furnished in response to the diagnostic documentation. The Project Monitor should also be able to provide examples of responses that have worked successfully elsewhere based on other technical assistance efforts.
- Other agencies' programs. The team should be fully aware of other efforts on going in the community and consider their potential in framing a response to given situations. Also working through the Project Monitor, they should be able to draw on information about relevant programs being funded in other communities.

Selection Rules. In exercising their judgement as to the response best suited to the needs of the community and the one most likely to succeed the team will observe the following rules:

- Service to the citizen will be placed above considerations of cost and efficiency in the Systems area. More responsive service is to be preferred even at the price of convenience to systems operation.
- Every response will be judged in terms of its short and long term relationship to the Needs of the individuals and groups within the community. Any response that runs counter to those Needs must be rejected. Any response that has a negative implication may only be proposed if it can be demonstrated to the community that it would be in their best general interest to adopt that course.
- Unrealistic responses or those beyond the present resources, attitudes and authorities of the community will not be proposed. It is preferable to tell the community that there is no meaningful solution.
- The simpler response is always to be given preference over the more complex one and the cheaper one over the more costly. The objective is to put as many reforms in place as possible in the shortest possible time and not to have the community burdened with sophisticated responses they can neither afford nor administer once the Leaa presence is withdrawn. Thus, the following scale of priorities should be observed:

Priority	Condition
1	Quick fix - No cost
2	Quick fix - Cost within team budget
3	Quick fix - Community willing to cover cost
4	Reform - Community willing to cover cost
5	Reform or Experiment - Requires outside financing
6	Reform - Requires multiple financing
7	Reform - Long term, moderate cost
8	Reform - Long term, high cost

- Feasible local suggestions will generally be given preference over all other alternatives. If it is necessary to reject a community proposal, the reason(s) therefore must be fully explained to the proponent(s).
- The long term effect and viability of each response must be considered. The time value of the selected response and any secondary effects will be identified.

Implementation Choice. Depending on the nature of the response selected there are a number of possible ways in which it can be implemented. Before marketing the idea the appropriate choice must be made as that will have a significant impact on community reaction. The major choices available at this time are:

- To institute a no cost change within the jurisdiction of a given system or component.

- To institute a no cost change involving systems or components under different jurisdictions.
- To institute a change that can be financed out of the resources available to the team.
- To institute a change that can be accommodated within the community budget.
- To initiate an experiment that can be fully funded out of LEAA technical assistance resources.
- To institute a change requiring a community financial contribution with or without an added local cost to continue after grant expiration.
- To institute a change requiring coordinated or multiple financing with or without a financial contribution from the community and with or without an added local cost to continue after grant expiration.

Coordination. In the event that the selected response involves another Federal agency, either as sole financier or for joint funding, contact will be made with responsible officials to assure the willingness of that agency to consider the venture. This step, which will not seek a commitment, will be taken before the idea is placed before the community. The team must be prepared at this time to discuss costs, probable timing of the implementation, duration of the effort and suggested management arrangements. Depending on the nature of the enterprise the coordination will take place locally and/or regionally and/or nationally. If agreement to proceed is reached, then the proposal will be released to the community as a joint activity and if accepted will then be implemented following appropriate procedures.

Marketing. Once a suitable response has been selected and any necessary preliminary coordination accomplished, the approval of the community must be sought. This requires complete and honest disclosure of the cost and long term impact of the proposed response. To facilitate informed decision-making whenever a response involves implementation costs that extend beyond the period of Agency participation or produces continuing operational expenses to be borne by the community, the suggested source of funds will be identified as part of an overall cost/benefit analysis. It also requires a willingness to compromise and give effect to constructive criticism with appropriate public recognition of local contributions. The purpose is to marshal the support of all those involved in, or impacted by, a proposed change and lay the foundation essential to its institutionalization. Obviously, the extent of the marketing effort will depend on the scope of the change and the number of people affected by it. For this reason, no standard procedure can be specified. The important thing is to think the proposal through, reveal all the facts, touch all the necessary bases and to obtain the approval, explicit or implicit, of those who have the most influence on the ultimate outcome. Thus, the following should be considered and involved as appropriate remembering it is better to overdo consultation than to miss a key contact:

- The individual who performs the activity impacted by the proposed change. In some cases this may be the only person who needs to be consulted.
- The person who oversees or manages the operation impacted by the proposed response.

- The advisory groups. If these are set up, they should always be consulted before implementing any, but spot, changes. In the case of those improvements initiated on the spot, they should be informed of the action taken after the fact.
- The elected officials of the community. If political action is necessary or if departmental operations are impacted, these authorities must be consulted with before going public or to outside jurisdictions. They should be informed after the fact of all spot changes.
- Local community groups and the general public. If the proposal affects only a small segment of the population that is represented by a special interest organization, it may suffice to work with that group. Whether to involve churches, chambers of commerce, unions, community councils, professional societies and similar public interest groups must be determined on the basis of what they can be expected to contribute in promoting a successful outcome.
- Representatives of local jurisdictions outside the boundaries of the target community whose systems are impacted by the proposed change. This contact is essential if the proposed response requires change(s) in their system(s). The extent of external coordination must be suited to the impact the response will have on those outside the community served by the team.
- Local agents or spokesmen of other Federal agencies. If they are to be called on to take some action in support of the proposed response their concurrence is mandatory prior to implementation. If they are not so directly involved, they should be kept informed on major changes as a matter of courtesy, to promote cooperation and to take advantage of their expertise.
- State elected officials and heads of State departments. If support is required from the State government, then the appropriate contacts must be made. Otherwise, information should flow through the normal channels.
- Other local government or managing or advisory or coordinating bodies whose interests are affected by the proposal.
- Regional and national agencies. The appropriate groups should be contacted and their support sought if the proposal will necessitate a contribution of their resources or affect their systems.

Documentation. Starting with the case history prepared during the diagnostic process on each problem or opportunity, the following will be appended

to each description:

- Case Closed ☐ or Deferred ☐ (check one if appropriate). If the problem admits of no reasonable solution or the resources required for an adequate analysis or response exceed reasonable bounds, then the appropriate box is checked and an explanation provided.
- Alternatives Considered - A brief description of the alternative responses considered and rejected together with the reasons therefor.
- Selected Alternative - A statement of the response selected supported by sufficient detail to enable a reviewer to comprehend what the changed situation will be.
- Implementation - A specification of the chosen method of implementation.
- Benefits - A brief statement of the specific benefits that will accrue to the individual citizen as a result of the implementation of the proposed response as well as of any gains for the system(s) impacted.
- Cost and Future Effect - An estimate of the cost of implementing the change, the projected cost of sustaining the change and its anticipated life span with the source of financing specified as well as a comparison of current and projected costs.
- Secondary Effects - A description of any beneficial or adverse effects anticipated as a result of implementing the change.
- Contacts and their Position - A list of persons or groups contacted and their position on the proposal. Names are not required but only the powers they represent and whether they come out for, against or undecided. Appropriate weights will be assigned to the different power centers.
- Disposition - Implement ☐ (if checked, attach schedule of key events and their timing).

Case Closed ☐ (if checked, explain reason and the impact on the pursuit of the Initiative).

Reports. The Assistance Team will furnish the LEAA Office of the National Priority Programs with:

- Copies of the continuation sheets for each case history.
- A monthly narrative report on the progress and outlook for response activities.

IMPLEMENTATION

What Implementation Covers

If a satisfactory response can be devised, an appropriate avenue for implementation found and community endorsement obtained, then the team must initiate those specific actions that will result in the actual implementation of the change. Those actions plus the role the team plays once they are consummated constitute the implementation process.

In general the concern of the team centers around:

- Putting quick fixes into effect.
- Initiating experiments.
- Drafting, and as appropriate coordinating, proposals for specific projects.
- Evolving a Master Design of Change.
- Managing experiments.
- Following up on proposals.
- Kicking off funded projects.
- Managing or overseeing the performance of specific funded projects including their constituent grants and contracts.

Quick Fixes

By definition, these are no, or minimum, cost changes that those responsible within the system are ready and willing to make. In this situation the entire

process boils down to seeing to it that the change is actually accomplished and putting up any requisite resources. It may involve the physical performance of the necessary steps, such as preparing a new form or moving a desk, or overseeing their performance by others. The simpler changes should be accomplished on the spot as the opportunity presents itself, and this may be concurrent with diagnosis. Note, however, whenever this is done the case must be included, even if ex post facto, in the Diagnostic Plan and be documented. Particular judgement must be exercised in the publicizing of quick fixes. Most of them will flow from the broader experience of the team members and the fact that they are fresh to the situation. Care must be exercised not to put local professionals down. Too because they are easy, they will generally represent simple exercises in system tuning. If too much is made of these types of changes, the community will come to view the Citizens Initiative as another cosmetic venture concerned only with system efficiency. Remember their real value lies in demonstrating professional credibility and commitment as well as in conditioning those in the system to the acceptance of change.

Experiments

If the decision is to proceed with an experimental response, the team must deploy and manage the experiment including making arrangements for local participation. The major steps are:

- To reach agreement with the Office of National Priority Programs on the terms of the experiment which covers the following specifications that once finalized cannot be altered.

- title and number of the experiment
- the area to which the experiment is assigned in the CJS
- the objective of the experiment
- any special conditions surrounding the performance of the experiment
- the evaluation criteria fixed for measuring the success or failure of the experiment

If agreement cannot be reached on these points, the Team Leader has the authority to refuse to deploy the experiment. If in the conduct of the experiment these terms are found to no longer fit the situation, the experiment is terminated and, if appropriate, a new one tailored with suitable terms.

- To set up the experiment arrangements and obtain the necessary funding. For this the following items must be covered and can be changed by the Team Leader during execution:

- the approach to the actual conduct of the experiment including who will do the work
- the schedule for performing the experiment in terms of major activities and their completion dates
- the budget for conducting the experiment broken down by major categories of expense (labor, equipment, etc.) and separate individual and/or organizational recipients of the funds
- the relationship of the experiment to other responses in terms of those on which it depends for an input and those for which it is the source of input

- To negotiate the contracts and orders necessary for implementation of the approach. These may be led by representatives of the LEAA procurement organization or be local agreements for experts and consultants consummated by the Team Leader.

- To designate the local representative who will participate with the team in the evaluation.

- To appoint, after appropriate coordination with pertinent supervisors, the local individual who will manage the experiment and be responsible

for providing the evaluation report in the event that the projected completion date extends beyond the planned duration of on-site presence by the team.

- To carefully follow up on the course of the experiment and give such redirection as is necessary.

Proposals For Independent Action By LEAA

In those cases where the response consists of a project that qualifies for funding by LEAA the Assistance Team will take the following steps:

- Draft the project proposal and obtain all necessary local approvals.
- Coordinate the proposal through prescribed LEAA channels.
- Follow up to assure that the proposal is acted upon to include making, with community approval, such adjustments in it as may be necessary to obtain a favorable outcome.
- Arrange with the appropriate department for the continuing management of the project when it is funded including providing for necessary training, establishing a project manager, developing a work schedule, etc.
- Kick off work on the project when funded by doing whatever may be necessary to get things rolling. The team will not normally conduct or manage the project. The only exception to this rule will be when specifically requested to do so by the senior government official in the community. The primary role of the team is to make it possible for the local citizens to accomplish change and not to do their job for them once the necessary foundation has been built and critical mass achieved.
- Keep in constant touch with progress, point up potential difficulties not foreseen by those locally responsible and stand ready to advise those officials as well as to show them how to deal with issues by practical example.

Proposals for Coordinating Action by LEAA and Another Government Agency

When the response consists of a cooperative project in which it is agreed that LEAA will take the lead, the steps are the same as in the preceding case with these additions:

- The team will assure full coordination with, and sign off by, the other agency or agencies.
- The team will assure other agency participation in follow-up, kick off and overview activities. If necessary, coordinating committees or joint review groups can be set up for this purpose.

Proposals for Action by Another Government Agency

In the event the proposed response falls wholly within the purview of another agency, the team will:

- Draft the project proposal in accordance with the standards and forms of the appropriate sponsor.
- Follow-up to promote action including, when necessary, requesting LEAA top management backing.
- Provide the sponsor such on-site assistance and support as is requested including acting in the same role as that stipulated for LEAA-backed projects.

Master Design

As responses are implemented, it will become clearer what the possibilities and apparent limits of change are. This insight will be translated into a Master Design that portrays the nature and extent of change in process, projected, possible but not to be initiated within

the on-site time frame and probable as secondary effects. The entire pattern is to be laid out against a time line which covers a span adequate to reflect completion of all changes in process or projected. The purposes of this composite picture of actual and potential accomplishments are to:

- Provide the community with some insight into the real significance of what is happening now and for the future.
- Serve as a tool for identifying any logical inconsistencies as well as for pinpointing logical opportunities that might be otherwise overlooked.
- Provide the team with a measure of what it has accomplished and what will result after they have departed.
- Leave those who will carry on the work after the team departs with a Master Design they can follow, enlarge on and revise as necessary.
- Give all concerned an appreciation of the time involved in completing the changes and what their consequences will be.
- Give the community a basis for assessing future resource requirements to continue the process.
- Provide the LEAA Office of National Priority Programs with a tool for subsequent follow up work.

Documentation

Continuing with the case history initiated during the Diagnostic Process and supplemented during the Response Process, the following will be appended to complete the documentation of each problem or opportunity:

- Final Disposition - A brief description of the actual conclusion of the implementation process, to include a copy of the schedule actually accomplished with appropriate explanations of major slippages.

- Quick Fix - For these cases only, a brief description of the implementing action taken by the team.
- References - A cross reference to the experiment protocol(s), contract(s), grant approval document(s), interagency agreement(s), etc., that contain the description of the change initiated.
- Appointees - The name of the local Project Manager or Experiment Manager, his organizational assignment and an explanation of any special conditions surrounding his appointment.

Reports

The Assistance Team will furnish the LEAA Office of National Priority Programs with:

- Copies of the continuation sheets for each case history.
- A monthly narrative report on the progress and outlook for implementation activities.
- A copy of the Master Design every six weeks.

EVALUATION

What Is Evaluation?

Within the context of IOTA, evaluation is concerned with the assessment of the extent to which stated objectives have been reached and will be reached by continuing in the present direction.

It is a continuing activity that provides LEAA management the intelligence on which to base informed judgments concerning the probable success or failure of experiments, IOTA and the Citizens Initiative. Evaluation is not to be confused with progress reporting which is concerned with whether or not plans and schedules will be accomplished or must be modified and is oriented towards the assessment of management success or failure. It is the responsibility of the Assistance Team to conduct and document the evaluations. Since they are directly involved in those activities that are the focus of the assessment, they are required to make a special effort to exercise and demonstrate objectivity.

Evaluating Experiments

Since one of the central features of IOTA is the field testing of innovative responses that are candidates for general distribution under the umbrella of the Citizens Initiative, it is essential that each experiment be objectively evaluated. As indicated in the preceding chapter, Evaluation Criteria are fixed in advance for each experiment deployed. It is the responsibility of the team to apply these criteria to the results of the work as it proceeds to

determine whether or not there is a reasonable probability of success. If there is not, then either the Approach will have to be modified in such a way as to increase the likelihood of a positive outcome or the effort terminated. In this connection, the individual(s) making the assessment should look for unanticipated negative or positive consequences. If the experiment is carried to its conclusion within the on-site residence of the team, they will produce a written report for the Office of National Priority Programs covering the points specified below. Otherwise, this same report will be prepared and submitted by the designated local Experiment Manager. In either event, it is emphasized that what is involved in this process is the informed expression of professional judgment and not just the recitation of facts and figures though these are essential to the external justification of the findings.

- For each criterion stipulated, the report will specify the outcome.
- The data collected during the experiment will be presented and analyzed in the report in such a way as to demonstrate their bearing on the findings with respect to the criteria.
- The conclusions will be summarized in terms of whether or not the specified Objective was attained and if any unanticipated results were obtained.
- The suitability of the experimental response for general or specified limited distribution will be covered in the report together with any recommended adaptations that might serve to increase its general utility and effectiveness.

Evaluating IOTA

Since IOTA is itself an experiment, it is essential that its success or failure be assessed. Further, it is also an approach in evolution and must be dynamically adjusted to reflect the experience gained in the field. Thus, the team must respond to two related but separate evaluation demands imposed by IOTA.

- First, there is the requirement for a continuing assessment of the relevance of the guidelines contained in this Handbook. If what is suggested herein does not work, is incomplete or produces unforeseen results, then it must be altered so that other teams may avoid the same problems. In this sense, the Handbook is a baseline that is updated as the field work progresses. Accordingly, the team will be expected to report on any negative findings and to provide their recommended changes whenever a deficiency is noted. At the conclusion of on-site activities, the team will also provide the LEAA Office of National Priority Programs with a final report assessing the utility of the Handbook as a field guide for delivering technical assistance in the "hands on" mode.
- Second, there is need to assess the viability of the IOTA approach to introducing and helping to institutionalize change in a community. In making this assessment the team must lean over backwards to avoid self-serving declarations. The problem this requirement presents is that there are at present no indicators that can be used to objectively measure results. As additional teams are deployed, it will be possible to make comparative analyses. Also the failure of other forms of technical assistance to have a noticeable affect serves as a sort of negative standard. Notwithstanding this difficulty, the team will be expected to give the LEAA Office of National Priority Programs an honest appraisal of whether or not they feel that IOTA is a viable approach that should be tried elsewhere. If they conclude that it is, they should be able to point to significant changes introduced or initiated that in their judgment would not normally be expected to occur as a result of the traditional approaches to technical assistance. In this connection, it

should be noted that LEAA is committed to the conduct of follow-up visits after the team has been withdrawn to assess whether or not the process of change is continuing and the measure of permanence achieved in the commitment to reform

Evaluating the Citizens Initiative

During the Site Evaluation phase of IOTA, historical data and trends were collected as benchmarks for measuring change and evaluating success/failure of the initiative. These will have been corrected and refined during the stay of the Assistance Team. Using this material the team will evaluate the extent to which the changes introduced or in process at the time of their departure have "made the Criminal Justice System more responsive to the needs of the individual citizen as well as made his exposure to the system as pleasant and meaningful as possible while at the same time improving its overall efficacy and involving the citizen in the prevention/reduction of crime/delinquency." Any negative effects will also be identified. This assessment will also cover specific suggestions for things that might be considered in other situations to enhance the impact of this initiative. These conclusions will be set forth in report from the team to the LEAA Office of National Priority Programs. Since the initiative will continue on long after the team has completed its on-site work, that Office will use this report as a baseline for future observations of community data and thus build a long-term history of progress or the lack of it. The report will be built up progressively during the entire period of the team's presence

on-site and be completed during the Phase Out activities. The team will set the form and content of this report based on a selection of what they determine is relevant from the material available to them. The Master Design will provide considerable insight into the significance of change introduced and projected for the future and should serve as the backdrop for this report.

PHASE OUT

General

During the last two weeks or so of its stay in the community, the Assistance Team completes its withdrawal. This final stage of its activities is very important as it provides the final opportunity to firm up arrangements, tie up any loose ends and ensure that the local personnel are ready to carry the work started to its logical conclusion. While a specific period of time has been set aside for particular close-out activities, the team should be preparing the community for their departure during the entire time they are on-site. Their purpose is to serve as only a temporary supplement to local capabilities during the initial period of launching the Citizens Initiative when time and staff demands are greatest and beyond the normal limits of a community to meet. But once this initial impetus has been given to the process of change, it is up to the community to continue it. If the Assistance Team has done an effective job, then they will have accomplished enough in the way of planning, analysis, mechanism creation, training and implementation to have freed up sufficient local time and talent to permit the community to carry on. It is to make this both possible and plain that the arrangements for personnel and their disposition are built into

the Settling In process, and are supported by specific continuing assignments during the Implementation process. It is also for this reason that a date certain for completion of team activities is set down in the Charter and it will be noted that no provision is made for arranging an extension. It is considered essential to creating a sense of urgency, obtaining active involvement and producing a commitment to continue the work that the community recognize from the outset that there will come a day, that cannot be deferred, when they will have to carry the ball.

Turnover to Local Unit(s) of Government

The nature of the arrangement(s) set down in the Charter(s) and the subsequent appointments of local personnel to management roles will determine the specific actions to be taken during the turnover of responsibilities. In general, the following actions started early in the deployment must be brought to a satisfactory conclusion:

- The understudies for the Team Leader and the Systems Analyst, who will continue the work and oversee the completion of work in process, must be given organizational status within the local power structure. Their responsibilities, authorities and relationships must be finalized and publicized. They must be furnished a duplicate of the team files.
- Those designated to carry on the management of specific experiments must be briefed on their roles and their position in the hierarchy established. Local officials must know who these Experiment Managers are and what is expected of them.

- Those who have study assignments in process must be given organizational identity.
- Those appointed to serve as Project Managers must have their roles and relationships confirmed.
- Matters of tenure and salary must be institutionalized.
- Office space, supplies, rental equipment, etc., must be disposed of.
- The mayor, city manager, or equivalent official must be given a current status report showing exactly where everything stands and the disposition made of all ongoing work.

Final Report to Community

Upon completion of all administrative arrangements, the team will report to the community at large on what has been accomplished and what is to come. This will be done through the media and speeches before groups assembled for the purpose. Members of the local power structure will be given the primary role in this process for which a Communications Specialist may be called in. The purpose of this operation is to fix in people's minds the need to continue and support the process of change launched in the preceding weeks. It establishes a baseline and a promise that can be referred to in the future by the media, the people, the power structure and those charged with following through.

Verification of Appointees

While the team will have measured the performance of those designated to take over the management of ongoing experiments and those managing

projects, a final check on their ability to carry through without team support will be made. There is no way to guarantee future performance but it is possible to detect signs of possible failure. This can be done by holding an exit interview with each appointee and going into his plans for completing his assignment and asking him to detail his projected answers for those difficulties he anticipates. Based on this, an informed judgment can be made of his grasp of his job, his attitude toward it, his foresight and his readiness to handle problems. If the individual does not measure up, the matter should be discussed with the appropriate department head and a substitute sought. If none can be found, the effort will be either terminated or management of it will be transferred to an appropriate LEAA entity.

Verification of Skill Transfer

The maintenance of continuing momentum will be largely dependent on how well the understudies have learned their lesson. They will, of course, have been thoroughly weighed and tested during their participation in team activities up to this point. There may even have been some changes in candidates. But, it is necessary to conduct a final test to obtain a measure of their strengths and weaknesses so that their supervisor in their new position can be appraised of what to expect. He will need to know what he is going to have to make up for and what he can rely on them for with confidence. At this point in

time it will be impossible to select alternates so the understudies will have to take over and do the best they can. And that is precisely how they are to be tested. They will take over the diagnostic, response and implementation activities of their counterparts during the final 30 days of the deployment. Up until the start of the Phase Out they will be under direct control and during the last two weeks under observation only. They will also be called on to conduct an oral analysis of the Diagnostic Plan and the Master Design in open sessions with the team. This will serve both as a testing and orientation mechanism.

Disposition of Committees

All committees formed by the team will either be terminated with thanks or informed of their new point of contact. It is extremely important that groups not be left at loose ends. Accordingly, every effort will be made to ensure that new points of contact will, in fact, use the committees and fully understand their purposes as well as their limitations. If it appears that they will not, the committee should be disbanded. Conversely, if a given committee does not react favorably to a proposed new contact, it is preferable to discontinue it. As a general rule, if there is any risk of institutionalizing disagreement founded on other than a constructive basis, then disband the committee.

Final Report to LEAA

The Team Leader will submit a brief close out report to the LEAA Office of National Priority Programs. In it he will assess the overall results of the deployment, indicate the final disposition of all Charter agreements and give his view of the probable future course of events.

Final Actions by LEAA

The Project Monitor will:

- Arrange for letters of appreciation to all key players expressing the thanks and pleasure of LEAA top management.
- Inform those who have action roles where they can go locally for help and advice in solving problems they may encounter.
- Follow up with community understudies at regular intervals to see how things are progressing and help iron out any major problems that may arise.
- Receive and review Experiment evaluations and incorporate the results into LEAA technical assistance efforts.
- Maintain case and community documentation up to date.
- Arrange follow up visits to audit the effects of IOTA and track the progress of the Citizens Initiative.

Appendix A CHARTER

Illustrated here is the standard draft Charter. Items above the double line are completed at the time the team is formed and are not subject to negotiation. Those conditions below that line will be detailed and negotiated by the Team Leader during the Settling In phase. Separate Charters will be prepared for each separate unit of government involved in a deployment and for any senior local officials that must be negotiated with independently.

STANDARD DRAFT CHARTER

- Effective _____ 19____, Mr. (or Ms.) _____ is appointed by the Law Enforcement Assistance Administration to serve as Team Leader for the deployment of the Initiatives Oriented Technical Assistance approach in support of _____ (with reference to _____ -to be completed to identify a separate official if independent subsidiary negotiation is required) and is empowered to negotiate with _____ the discretionary terms and conditions of this deployment.
- The permanent complement of the Assistance Team in addition to its leader shall be Mr. (or Ms.) _____ a _____, Mr. (or Ms.) _____ a _____, (continue until all are named and their positions specified).

• The team will provide "hands on" assistance to the officials and people of _____ in their efforts in connection with the Citizens Initiative. The objective of which is to 'make the Criminal Justice System more responsive to the needs of the individual citizen as well as making his exposure to the system as pleasant and meaningful as possible while at the same time, improving its overall efficacy and involving the citizen in the prevention/reduction of crime/delinquency.

• In their support function the team will diagnose relevant problems and opportunities, identify and marshal community support for meaningful responses and implement those approved by the community. The extent and nature of what is to be done and why is specified in the LEAA IOTA Handbook.

• Whereas in consideration of the aforestated responsibilities and authorities it is resolved that between _____

(name of local official) and _____ (Name of Team Leader) the following conditions are agreed to:

- The date certain for initiating the Phase Out process covering the withdrawal of the Assistance Team and assumption of complete responsibility by designated local officials for ongoing and projected work is _____, 19____.
- An understudy for the Team Leader will be provided by _____ at an annual compensation of \$_____ to be paid by _____. The candidate will be assigned to _____ upon the departure of the Assistance Team there to serve as Project Manager for the continuing Citizens Initiative activities of _____.

- An understudy for the Systems Analyst will be provided by _____ at an annual compensation of \$_____ to be paid by _____. The candidate will be assigned to _____ upon the departure of the Assistance Team to support the continuing Citizens Initiative activities of _____.

- The initial targets for diagnosis are set as:

(insert brief listing)

This list will be superseded by successive issues of the Diagnostic Plan and the Master Design which are herewith incorporated by reference.

- The Team will relate to these agencies _____
- The Team will have the power to command compliance from these agencies _____
- The Team will have the power to request compliance from these agencies _____
- The _____ will ensure that office space and clerical support staff shall be available _____ to the Team from _____ to _____, and within the geographical boundaries of _____
- The _____ will ensure that these agencies _____ cooperate completely with the Team.

- The _____ will ensure that these agencies provide limited cooperation with the Team _____

Limited cooperation is defined as _____

- The _____ shall make at least one person from each of these departments _____

_____ available to the Team on an as-needed basis.

- The _____ shall ensure that the Team has complete access to the records, files, reports and correspondence of these agencies _____

- The _____ shall ensure that the Team has limited access to records, files, reports and correspondence of these agencies _____

Limited access is defined as _____

- There shall be an executive progress report rendered by the Team Leader to the _____ on a bi-weekly basis throughout the duration of the deployment.

- There shall be a monthly conference to discuss the progress and to adjust plans to fit the then-current situation. These agencies shall be invited to that meeting _____

- In the event that due to circumstances beyond the control of the parties further effective progress on the Citizens Initiative or further relevant work by the Assistance Team become impossible, then either signatory may request the other to terminate the Charter. Final decision for LEAA on such a request will be made by _____, Director, Office of National Priority Programs.

Draft Authenticated

_____, 19____

(Director, Office of National Priority Programs
The Law Enforcement Assistance Administration)

Negotiated Terms Approved By:

(Local Official)

(Team Leader)

Copies Filed With:

Appendix B

CRIMINAL JUSTICE SYSTEM ORIENTED POTENTIAL REFORMS

Listed here are some of the Criminal Justice System oriented reforms that LEAA has thus far identified for potential implementation in association with the Citizens Initiative which may be used as a basis for starting a dialogue on possible changes with the local officials of the Criminal Justice System and community representatives.

General

- Assure fair distribution of resources between the components of the CJS and between the CJS and the formal human services delivery network.
- Decentralize CJS operations.
- Recognize the public right to know.
- Inform the public of decisions taken by the courts.
- Conduct public hearings of CJS activities and proposed changes in operations.
- Establish neighborhood councils.
- Establish an Office of Complaint and Information.
- Set up action lines.
- Organize a Youth Service Bureau.
- Use the religious community to inform the public and help create trust.
- Improve information systems, collection mechanisms and data utilization.

Police

- Assure proper priorities of action/reaction.
- Place and announce limits on authority.
- Establish open lines of communication with the public.
- Improve officer scheduling before courts.
- Establish officer court attendance requirements.
- Promote self-awareness of role.
- Promote public understanding of police role and how the individual can contribute to crime/delinquency prevention/reduction.
- Develop community resources.
- Consider neighborhood cops.
- Take steps to avoid victimization and boost reports.
- Provide for total community planning.
- Consider team policing.
- Establish procedures assuring proper investigation.
- Recruit from minorities.
- Conduct preparatory training.
- Provide interpersonal communications training.
- Establish complaint reception procedures.

Courts

- Provide for uniform plea bargaining.
- Preserve identity of witnesses.
- Improve scheduling of juror and witness appearances.

- Consider a community sentencing tribunal.
- Improve case flow management.
- Provide a forum for public input.
- Establish a Court Coordinator.
- Consider trial by declaration.
- Provide a mechanism to improve court-community relations.
- Improve facilities for the public and professionals.
- Provide public information on court activities and services.
- Review compensation schedules of witnesses and jurors.

Corrections

- Open the facilities to citizen inspection.
- Provide for public information and education.
- Improve facilities.

Appendix C

CITIZEN ORIENTED POTENTIAL REFORMS

Listed here are some of the Needs oriented reforms that LEAA has thus far identified for potential implementation in association with the Citizens Initiative which may be used as a basis for starting a dialogue with local officials and community representatives.

Victim Oriented

- Provide for compensation by restitution or from a general fund.
- Involve in plea bargaining or sentencing.
- Protect from harrassment by perpetrator.
- Encourage crime reporting.
- Protect from abuse during investigation and adjudication.
- Advise of status of case throughout process.
- Minimize waiting.
- Pay for time spent with CJS.
- Return property promptly.
- Provide community assistance.
- Improve existing protection laws.

Perpetrator Oriented

- Provide adequate legal service.
- Remove language and ethnic barriers.

- Use on-call procedures.
- Improve compensation.
- Review exemptions.
- Evaluate voir dire.
- Improve facilities.
- Explore avoidance of hung juries.
- Protect from harrassment.
- Inform the public on jury process.

Family Oriented

- Inform the public on assistance available before and after.
- Consider means to hold accountable for delinquent acts.

Volunteer Oriented

- Determine how to increase effectiveness.
- Establish guides for use in court projects.
- Establish a clearinghouse.

Individual Involvement Oriented

- Establish citizens commissions.
- Make extended use of Grand Juries.
- Consider Coordinating Councils.
- Provide a mechanism for acting on citizen complaints.
- Provide a means for community participation in the selection of key CJS officers.

- Supply interpreters.
- Inform in own terms on operation of CJS.
- Treat with dignity.
- Establish standards for assisting those appearing "in pro per."

Witness Oriented

- Improve identification and interviewing.
- Protect from police and perpetrator harrassment.
- Protect confidentiality.
- Provide adequate courthouse facilities.
- Pay for time spent with CJS.
- Use technology to obviate the need for personal appearances.
- Restrict continuances.
- Improve calls and minimize waits.
- Consider convenience in timing hearings.
- Notify when accused is released.

Juror Oriented

- Substitute mailed questionnaires for personal interviews.
- Improve scheduling, notify early and allow choice.
- Use common pools.
- Minimize travel requirements.
- Minimize frequency of service.

- Provide public instruction in citizen crime prevention.
- Clarify individual rights versus public rights.
- Improve transportation.
- Provide handbooks for victims, witnesses, jurors, etc.
- Provide for compensation to rise progressively as a function of delay, penalizes CJS.
- Review local laws to eliminate unnecessary and make more relevant.

END