



# COMMUNITY SUPERVISION WORKLOAD CONSIDERATIONS FOR PUBLIC SAFETY



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# COMMUNITY SUPERVISION WORKLOAD CONSIDERATIONS FOR PUBLIC SAFETY

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**W**hat is the ideal caseload size? What is the best way for administrators to assign cases to officers? How can these decisions have an impact on future funding allocations and staffing decisions? These are some of the important questions facing the community corrections field. The US correctional system is bursting at the seams with over 2 million individuals in prison or jail and over 5 million on probation and parole (Pew, 2009). There are too many individuals for our nation's prisons and jails to house, and probation and parole agencies are struggling to develop effective reentry strategies. Policymakers and correctional administrators are developing innovative solutions to handle more than 7 million adults under criminal justice control. Innovative solutions focus on finding cost effective practices to supervise offenders without jeopardizing public safety.

Social scientists have critiqued the mass incarceration movement (Christie, 2000; Garland, 2001; Western, 2006), but it is only recently that policymakers have started to listen. Currently, federal and state governments face serious budgetary shortfalls, which fostered dialogue about effective correctional policies. Is it realistic to think that we can incarcerate our way out of crime? Do prisons really produce better citizens? Are victims restored when an offender is given a long sentence? Or, do alternatives to incarceration exist that may be more effective than incarceration?

The community corrections field is a misunderstood and undervalued element of United States correctional policy (Paparozzi and DeMichele, 2008). A first step to ameliorate this undervaluation is to understand what community corrections officers do. No doubt, policymakers and the public may have heard about community corrections, but they rarely know what this means. What is it that officers do each day? It is believed that once policymakers have a better understanding of officers' tasks they will be more inclined to provide adequate funding for these services. How much does it cost to supervise an offender? This is a common question asked of community corrections administrators, and, for the most part, the only answers that can be given are generalized across all supervisees within an agency.

For those working in or around the community corrections field, however, it is known that generalized estimates of per offender costs are imperfect. These do not tell funders what it truly costs to adequately supervise offenders in the community. This is similar to asking a doctor "how much does it cost to do a surgery?" Or, asking a mechanic "how much does it cost to fix a car?" The community corrections field is complex, diversified, and in need of systematization. The American Probation and Parole Association (APPA) with funding from the Bureau of Justice Assistance (BJA) has developed this report to provide two tools to assist the community corrections field. One tool is a time study template to assist agencies conducting time studies and the other is a workload matrix to assist administrators make workload allocation decisions. The time study templates include a series of forms that allow agencies to identify the essential tasks within their agencies when conducting time studies. The workload matrices provide agencies with estimated time ranges for essential tasks officers are likely to complete relative to risk levels. Therefore, the time study templates will help agencies conduct time study analyses and the workload allocation matrices are national estimates that are intended to help administrators making budget decisions and to understand an agency's workload needs.

These tools, hopefully, will move the field past the debate between caseload size and workload. Beyond the practitioner field, policymakers and the public tend to view caseload size as a quantitative measure with little understanding of what is involved in managing a caseload. Often this debate focuses on the number of offenders on a caseload, rather than the amount of time required by individual officers to complete specific tasks. This debate typically falls into a dichotomy of whether caseload or workload models should be used to guide administrative decisions when assigning individuals to specific officers' caseloads. In the past, agencies tended to prioritize caseloads over workloads. APPA recently completed a survey of 228 community corrections professionals and found the preferred method of assigning work was to a caseload model (DeMichele and Payne, 2007; DeMichele and Paparozzi, 2008).

A more nuanced approach is needed, and the time study templates and workload allocation matrices developed herein provide flexible tools that can be used—and adjusted—in agencies across the country. It may seem strange to some that proposing a time study template

or workload allocation matrix will make a difference in agencies, but it is suggested that developing tools to be used at a national level will stimulate some level of consistency in the type of information reported to policymakers when making funding decisions, as well as offer administrators a realistic model for assigning cases within their agencies.

## **Community Corrections: More than Evidence-Based Practices**

In a previous BJA report, APPA detailed the complexity of having larger populations with the same number of officers to supervise them (DeMichele, 2008). More research is needed concerning the variety of tasks community corrections agencies are required to accomplish. Essentially, a more holistic picture is needed to not only understand what officers do, but also to identify some of the inter-agency variability among such tasks thereby providing realistic time ranges for officers. These tools have the potential to assist supervisors and administrators assigning cases and provide policymakers with an understanding of what is involved in community supervision. Many are familiar with the push toward what is referred to as evidence-based or data-driven practices. These approaches represent a new-found commitment to verified, empirical findings in offender community supervision that concentrate on recidivism reduction.

An important issue, however, is that community corrections officers are required to complete a host of activities that have little relationship with recidivism reduction. Does report writing reduce recidivism? How about waiting in court? What evidence supports pre-sentence investigations or urinalysis? How does time driving to appointments with people on a caseload result in recidivism reduction? Similar to many organizations, officers complete tasks tangential to the core mission associated with normal business operation. These tasks have little to do with evidence-based practices to reduce recidivism. Unfortunately, the broad spectrum of work completed by officers has been under-researched.

The evidence-based practices philosophy, for instance, supports the use of the risk, needs, and responsivity principles. Assessing risk is a fundamental aspect of effective community supervision. It is important, therefore, to understand what it means to complete a risk assessment. Is a risk assessment in a small rural community the same as one completed in a large urban community? How long does it take to complete a risk assessment? Does it vary by region, case type, or offender type? As part of this project, APPA assembled a working group of community corrections professionals to guide the development of time study and workload tools to estimate staff and time needs. Clearly, as these professionals explained, there is much variability in the tasks that officers do in each agency.

APPA posits that the community corrections and policymaking fields need general guidance, documentation, and understanding of what it takes for agencies to provide adequate supervision. APPA and BJA recognize the complexity of providing adequate community



supervision, and realize that often the daily tasks needed to accomplish this go overlooked. First, a brief summary of the workload versus caseload debate is provided to contextualize the argument. Next, the process used to develop the final product is described. Third, 17 workload allocation matrices are provided to give agencies systemized estimates to use when conducting time studies in their agencies and making workload allocation decisions. Time studies are a valuable tool to inform policymakers of the resources needed to provide adequate community supervision. The workload allocation matrices address some of the obstacles or barriers facing the field and strategies to overcome such barriers. APPA recommends interested agencies consider working with an appropriate research institution to administer and guide their time study.



## PART II: FRAMING THE DEBATE- WORKLOAD VERSUS CASELOAD ISSUES

**N**early four decades ago, criminologists noted that the influence of caseload size “remains an open question” (Vetter and Adams, 1970, p. 341), something still true today. There is little national consensus on either how much workload (i.e., time) is required for specific tasks or the number of offenders to supervise. Todd Clear (1996) pointed out that the caseload method is central to the community corrections field—even if erroneous—when he wrote:

*“...the traditional method of organizing caseloads is commonly deemed to have sufficient weaknesses that it ought to be changed. And, second, every time the caseload model is changed the approach that replaces it has some type of caseload at its core. Not only have there always been caseloads, in some ways, there have never been anything but caseloads (p. 173).*

Consider some of the potential negative effects of a caseload model of assigning supervisees to officers. This focus develops an organizational culture that promotes individualism as they force individual officers to work with individual supervisees. In doing so, this inhibits the possibility of promoting a sense of community among the agency and the supervisees. Caseload models increase paperwork for officers, discourage officers from thinking innovatively, and promote “trail ‘em and nail ‘em philosophies” (Clear, 1996).

Others note that caseload models limit the ability of probation and parole officers to focus on behavior change, which promotes a bureaucratic approach (O’Neill, 2003). Also, given that virtually no research shows that smaller caseloads are “better” so to speak, focusing on caseloads at the expense of behavior change may lead to higher failure rates and repeat offending. Some experts suggest a shift from caseload models to case management (or offender

management) strategies (Burnett and McNeill, 2005). Such an approach recognizes that balancing cases with strategies (or workload) has the potential to improve the way supervisees reintegrated into communities. A case management (or workload) approach does not automatically dismiss the importance of caseloads or case size; rather, this approach recognizes the importance of case size.

Part of what is entailed in the officer’s ability to provide supervision using principles of evidence-based practices is that the officer can manage their caseload in a way that allows them to efficiently carry out the necessary tasks (e.g., ideally they would not spend too much time or too little time on specific tasks). In other words, the notion of evidence-based practices requires officers to balance caseloads and workloads, despite most evidence-based rhetoric ignoring a bulk of community corrections tasks, which in the end leaves administrators with little ability to know how to assign cases and provide policymakers with a clear description of the challenges facing the field. This is not to marginalize the importance of the evidence-based or data-driven strategies approach. Rather, this report and the tools developed are intended to shed light on a host of tasks officers complete that have little direct impact on adjusting ones likely to reoffend— which does not diminish the importance of completing these tasks.

Promoting a balance between workload and caseload requires that individuals understand the distinction between caseload and workload. Table 1 highlights some differences between the two approaches. In general, a caseload approach focuses on the number of offenders assigned to officers, while a workload approach focuses on the amount of time necessary to complete tasks.

**TABLE 1: CASELOAD VERSUS WORKLOAD MODELS**

	<b>Caseload</b>	<b>Workload</b>
<i>Focus</i>	Number of offenders to officers	Amount of effort for different tasks
<i>Cases Assigned</i>	Based on offender characteristics	Based on expertise of officer
<i>Resources Assigned</i>	Based on number of offenders	Based on types of tasks and amount of effort
<i>Workload distribution</i>	Based on assumption that all offenders receive same effort	Recognizes need to distribute tasks based on offender’s needs
<i>Goals</i>	Supervision/discourage rehabilitation	Supervision and rehabilitation in efficient manner
<i>Innovative Thinking</i>	Discouraged	Promoted
<i>Accountability</i>	For supervising offenders – blame assigned to offender	For completing tasks efficiently – intrinsic rewards assigned to officer
<i>Evidence- based study</i>	Focuses on the officer	Focuses on the strategies (or the case)

The two models differ on how cases are assigned to officers. In caseload models, cases are assigned based on supervisee characteristics. For example, officers might be assigned high-, medium-, or low-risk offenders in combination or their caseload may focus on one level of risk. In a workload model, cases and assignments would be guided by the expertise of officers. Certain officers could be responsible for doing pre-sentence investigations, others could assist with employment, and some officers could manage specialized units. Although this division of labor may not work in all agencies due to size and/or resources, one benefit of a workload model is to allow administrators to target their employees' strengths in a more direct way by dividing labor according to performance.

In a similar fashion, resources would be assigned differently in the two models. In a caseload model, resources would be assigned based on the number of supervisees, while a workload model would assign resources based on the types of tasks and amount of effort required to complete those tasks.

Workload distribution across supervisees and case types would also vary between caseload and workload models. In caseload models, the underlying assumption is that all supervisees of a similar risk level require the same degree of effort and the same amount of services. In a workload model, while it is assumed that the amount of time required to perform services is relatively stable, it is recognized that offenders require different types of services. In doing so, the workload model encourages officers to distribute tasks based on supervisees' needs.

The two approaches differ in terms of the way that researchers would study the models. An evidence-based study focusing on a caseload model would focus on the officer, and the number of cases the officer is supervising—supervision or monitoring is defined as the goal of these studies (see Jalbert, Rhodes, Flygare, & Kane, 2010). In contrast, a workload study focuses on the tasks surrounding the case. By changing the unit of analysis to officer tasks, more specific information about evidence-based strategies may emerge.

Time studies focus on the amount of time it takes to perform tasks in ways consistent with agency standards (Wagner, Johnson, & Healy, 2009) and hopefully improve case management practices. Time studies can be traced to Frederick Taylor's time studies of the Midvale Steel Company of Philadelphia in 1881 in which he measured the time it took employees to complete even the most mundane tasks (Miles, 1969). Labor organizations felt threatened by these studies for fear that they would be scrutinized continually by the clock or that the ultimate performance measure would be how quickly they complete tasks. This is a legitimate fear for employees, and there is a similar sort of resistance within the justice community. Administrators should be sensitive to these concerns and alleviate them by letting officers and unions know that the point of the time studies is not to measure performance by how long it takes someone to do certain tasks. Rather, the purpose is to provide administrators with the measures needed to support

realistic funding allocations and case management. The time study templates and workload allocations matrices have benefits for the agency, the individual officer, the community, and the field of probation and parole.

## **The Benefits of a Time Study Template and Workload Matrix for Agencies**

Three general administrative advantages attached to using a workload approach based on time studies are discussed: (1) cost and funding issues, (2) organizational functioning and goal development, and (3) managerial design.

### **Cost and Funding Issues**

Many have heard the saying “time is money” and this cliché couldn’t be more true for community corrections agencies. Administrators quickly learn that staff time is expensive and budgets are finite. Funding requests are an essential task for any community corrections administrator. But, how do administrators effectively convey to decision makers the need for funds? And, what about receiving an increase in funding, especially during tight fiscal times? No doubt, government budgets routinely wax and wane, but currently the country is facing massive shortfalls that require administrators to vigorously compete for funds. Workload studies provide a quantifiable method to measure the number of staff hours required to complete a given task or various typologies of tasks.

Community corrections administrators must provide a convincing argument for why funders should adjust resources to ensure an adequate level of staffing to accomplish all organizational tasks. There is a push within the public sector to move toward a more managerialist model for making funding decisions similar to that used in the private business world. This shift requires demonstrating that the “...number of new positions allocated is based on the average of work produced, i.e., the number of presentence reports, and individuals supervised during the previous eight quarters” (Jensen, 2002, p. 255). Agencies that demonstrate more productivity are more likely to receive increased funding allocations by demonstrating reduced recidivism, increased treatment participation and completion, improved employment or education rates, and other pro-social indicators that are important outcomes for the community corrections field.

It is important for administrators to demonstrate their value to external evaluators, and the time study templates and workload matrices developed here will help administrators make internal staffing and funding decisions. How should administrators allocate their resources within an agency? How many urinalyses should be budgeted? Will urinalyses be completed in-house or contracted? How many presentence investigations (PSI) will be completed each year? How long will these PSIs take? What is the criminal background check process and how much time does it take to complete? These questions represent only a few of the dilemmas that community corrections administrators face each budget cycle. Workload based time

studies can provide administrators with the needed baseline data to make such predictions as well as ensure that certain agency functions are not over or under-funded (Bercovitz, Bemis, & Hendricks, 1993; Miles, 1969). It is essential that agencies move toward identifying supervisee's criminogenic needs in order to have an opportunity to reduce recidivism. However, community supervision officers are responsible for an assortment of tasks that may have little to do with affecting the probability of recidivism. The templates and matrices are intended to help administrators ensure that a broad spectrum of tasks are completed (some of which are directly related to recidivism reduction and others are not) within budgetary constraints.

APPA is dedicated to moving the community corrections field forward. An essential part of that mission is to ensure that agencies are properly funded and that effective staffing decisions are made. A first step in this process is moving toward a more uniform and consistent format for conducting time studies to determine the adequate level of services, the costs of these services, and documentation to make internal and external funding decisions. Our approach recognizes potential contextual differences across locations—such as rural vs. urban and types of offenders—to allow administrators to have some level of flexibility depending on their needs.

### **Organizational Functioning and Goal Development**

Efficiency and effectiveness are often proxy terms meaning that employees should do things quickly and correctly. Think about the importance of efficiency and effectiveness to Henry Ford and other early industrialists as they sought ways to reduce the time needed to manufacture cars, trains, and railroads. They were, essentially, looking to get more “bang for their buck.” How can the community corrections field get more “bang for the public's buck?” More information is needed about the time it takes to effectively get things done in a community corrections organization.

Workload studies are useful in demonstrating how some tasks require too much of an officer's time. If these tasks can be identified, changes can be made to make the officer's workload more efficient. This is the notion of reaching a diminishing rate of return in which so much time is spent on a task that reaps little benefit in relation to the investment. Making an organization more efficient allows for extending resources to complete additional tasks that result in better outcomes. Suppose, for instance, that three different officers are taking UAs (urinalysis) tests to a lab 25 miles away on three different days—each driving the 50 miles round trip. Could procedures be developed to require all UAs taken to the lab on the third Monday of each month? The point here is not that the third Monday has any importance of determining drug use; rather this would bring in some level of conformity throughout an agency. This streamlining may seem to be a commonsensical practice, but such aspects often go overlooked in community corrections agencies throughout the country.

Increased efficiency results in more resources, and by its very nature, more time. Time studies are useful in that they can help an agency promote goal development between agencies and employees (Payne and DeMichele, 2011). If evidence-based studies show that certain tasks can (and should) be completed within a certain amount of time, then workers can be encouraged to complete those tasks within those time parameters. In doing so, the goal of efficiency can be promoted for the organization and the individual worker. The proposed time study template and workload allocation matrices are intended to help administrators gain a better understanding of the appropriate (i.e., agency specific) time needed to complete offender supervision tasks.

### **Managerial Design**

Leading community corrections agencies is a challenging job. This job requires not only managerial skills within the agency but also the ability to contribute to public safety. As anyone managing an agency knows, the first step in the management process is to ensure that the agency is appropriately staffed. An organization built on too many employees becomes bloated and cost prohibitive, and one built on too few employees suffers from the opposite problem of being too thin and resulting in burnout, turnover, and deficiencies. Therefore, similar to the “Goldilocks and the Three Bears” fable, community corrections agencies need to have a level of staffing that is “just right,” not too many and not too few. How do administrators know the number of officers to maintain? What sort of officers should they be—generalists or specialists? Calculations that cover the various tasks of probationers can assist in improved staff allocation. Time studies represent a means in which to gather the necessary data to compute these calculations and inform managerial staffing decisions. Through these studies, agencies can better identify the number of employees needed to handle the number of cases in its jurisdiction.

Time studies help agencies develop guidelines for their performance evaluations. Agencies must determine whether officers are spending too much, or too little, time on certain tasks. The only way to determine this is to first identify the appropriate amount of time for specific tasks. To identify these times accurately, agencies should conduct time studies or rely on those that have been conducted in other agencies (Payne and DeMichele, 2011).

### **The Benefits of Time Studies for Individual Officers**

In addition to benefiting agencies and administrators, time studies benefit the individual officers as well. Effective time studies have the potential to identify unnecessary tasks and eliminate these tasks from officers’ daily routine. As a result officers can spend more time addressing larger concerns such as offender reentry needs. Further, some research findings suggest that officer stress is reduced when eliminating ineffective aspects of their daily routine (Slate, Wells, & Johnson, 2003).

Identifying appropriate workloads may free up officers’ time so they are able to spend more time on activities they find rewarding. If too much time is spent on paperwork, for example, then that time may be streamlined in ways to increase the amount of time officers

spend communicating with offenders, victims, or others. To justify hiring new staff, retaining existing staff, and hiring additional auxiliary staff (i.e., non-supervisory), agencies that request public funding allocations must conduct time studies. As Jensen (2002) points out, "since positions are awarded retrospectively, that is after the work has been completed, staff must meet increased workload demands long before the positions are even considered" (p. 255). Since workload studies can help to justify additional positions, they may help to reduce the number of overworked officers.

## **The Benefits of Time Studies for the Community**

Research shows caseloads that are too high have a direct negative effect on public safety (Worrall et al., 2004). While it was traditionally assumed that the number of officers is the key to public safety, consider that more supervisees on a caseload does not necessarily mean increased workload. It is not the number of offenders on a caseload that is determinative of the required workload. The National Council on Crime and Delinquency (NCCD) has completed dozens of time studies and they suggest that it is imperative personnel have enough time to meet requirements to satisfy community needs (Wagner et al., 2009). As most anyone working in a community corrections agency is aware, simply adding more supervisees to a caseload does not automatically increase the work required to supervise them. Here, we are thinking about individuals presenting the lowest risks and criminogenic needs that are placed on an administrative caseload, which in many cases a single officer may be responsible for hundreds of offenders. A high-risk sex offender caseload of more than 30 is considered large by most standards.

## **The Benefits of Time Studies for the Community Corrections Field**

Time studies have the potential to benefit the community corrections field. There are few people outside of the community corrections field that know the differences between probation and parole, much less the tasks and duties that community corrections officers perform. Time studies can demonstrate that community corrections is more than monitoring and this could demonstrate the value of the field to public safety.

For the past three decades, the incarcerated population has more than quadrupled, and crime control policies tend to focus nearly exclusively on punishing individuals with long prison sentences. This has shifted what it means to be "soft on crime" in such a way that anything less than long prison sentences is seen as not holding individuals accountable for their crimes. In theory, community corrections sentences are designed to integrate both behavior change and punitive mechanisms with the hopes of effectively maintaining individuals in or assisting in their return to the community.

The time study templates and workload allocation matrices are developed in such a way to allow agencies to inform "outsiders" about the numerous duties officers perform. In addition



to being an internal managerial tool, time studies can be used to inform policymakers and the public about probation and parole. As a result, it can be a source of accountability. One probation officer, Jeffrey Toobin (2005), told a reporter that “No one really knows what a probation officer does...There’s a fine balance. I may have one offender who screwed up one time, and he’s trying to get a new direction in his life, and fifteen minutes later I may be with a guy who’s a career criminal.” Time studies can demonstrate to others the importance of such tasks. This should help workers feel more appreciated as members of the public recognize the value of community supervision. The survival and evolution of the community corrections field is tied to the types of individuals who ultimately become officers. The ability of the field to continue to recruit professional candidates is tied to the way that future officers identify the duties of members of the field.

## **Workload Studies**

Workload studies provide four types of information: knowledge about the types of tasks officers complete; knowledge about the amount of time officers typically spend on these tasks; knowledge about the nature of the contacts; and knowledge about the types of barriers community corrections professionals encounter in their efforts to complete various tasks.

### **Types of Tasks Officers Complete**

In terms of knowledge about the tasks officers complete, researchers have focused on how tasks vary across agencies and states. Figure 1, for example, shows the results of a study that focused on the types of tasks prescribed by state statutory mandates. Supervision, surveillance, and investigation were the more commonly found types of tasks that officers were legislatively required to perform (Purkiss, Kifer, Hemmens, & Burton, 2003). Researchers have categorized these tasks into broader categories and considered how often specific tasks within these broader categories are required by state law.

Figure 1 shows the number of states legally prescribing supervision tasks for probation officers. As shown in figure 1, screening complaints, keeping records, and assisting or advising the court were the most common tasks. The widespread variation in state laws suggests that officers’ tasks vary from state to state. While the ways broader tasks are defined may vary (some might call certain tasks law enforcement, and others might call them supervisory or focused on behavioral change), the specific tasks performed by officers varies to a lesser degree. In other words, officers across the United States will be required to monitor compliance with conditions of supervision, conduct home or office visits, help supervisees find jobs, and supervise individuals, but there will be some inter-agency variability in how these tasks are completed.

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TABLE 2: TYPES OF TASKS PRESCRIBED BY STATE STATUTORY MANDATES\*

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1. Supervision
2. Surveillance
3. Investigate cases
4. Assist with rehabilitation
5. Develop of discuss probation conditions
6. Counsel
7. Visit home or work
8. Arrest
9. Make referrals
10. Write Pre-sentence investigation reports
11. Keep records
12. Perform other court duties
13. Collect restitution
14. Serve warrants
15. Maintain court contact
16. Recommend sentence
17. Develop community service programs
18. Assist law enforcement agencies
19. Assist with court transfers
20. Enforce criminal laws
21. Locate employment
22. Initiate revocation
23. Law enforcement/peace officer

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\* Adapted from Purkiss et al. (2003)

## Amount of Time Officers Spend on Tasks

How long does it take for an officer to make a job referral? How much time does it take to check with a treatment provider? How long should an officer spend with a collateral contact? We know that developing specific or exact times spent on each of these tasks may not be realistic, but we believe realistic time ranges that allow for jurisdictionally specific variability are possible. Consider the following patterns uncovered in past workload studies:

- A workload study found that 35,800 of 37,338 activities “were for times of five minutes or less” (Oregon Case Management Study, 1990).
- A study of 25,148 officer/client contacts found that the average contact was for 18 minutes (Bercovitz et al., 1993).
- Officers may spend over 7 hours a month on administrative tasks (Wagner et al., 2009).
- The average phone contact between officers and clients lasts four minutes (Bercovitz et al., 1993).
- Officers work an average of 122 hours a month (after removing time for leave).

As many administrators are developing organizational cultures conducive to evidence-based practices, there has been little attention paid to the importance of administrative functions. It’s easy, though erroneous, to neglect the amount of time spent on training, paperwork, court time, filling-in for other officers, and other administrative tasks. Before administrators and policymakers can get a better grasp on the funding and staffing needs of community corrections agencies, a complete understanding of the tasks and amount of time to complete such tasks is necessary (Wagner et al., 2009).

Figures 2 and 3 show the amount of administrative and case support time that officers spend on different tasks. These tasks are what some refer to as “non-case related time.” Non-case related time is the time of officers’ work that has little to do with supervising individuals or case management (Touman and Fluke, 2002). Understanding this amount of time allows officers and supervisors to better allocate resources.

Figure 2 provides time estimates from a time study conducted in a single agency in which social workers, on average, spent about seven hours in meetings or completing administrative tasks (Wagner et al., 2009). Officers spend approximately seven hours in case support time per month. Four of these hours are used to provide either substitute or back up coverage. In assessing both the support time and the administrative time, one can see that these duties or tasks account for approximately two months of an officer’s work time per year.

FIGURE 1: HOURS OF ADMINISTRATIVE TIME ASSOCIATED WITH DIFFERENT TASKS PER MONTH\*

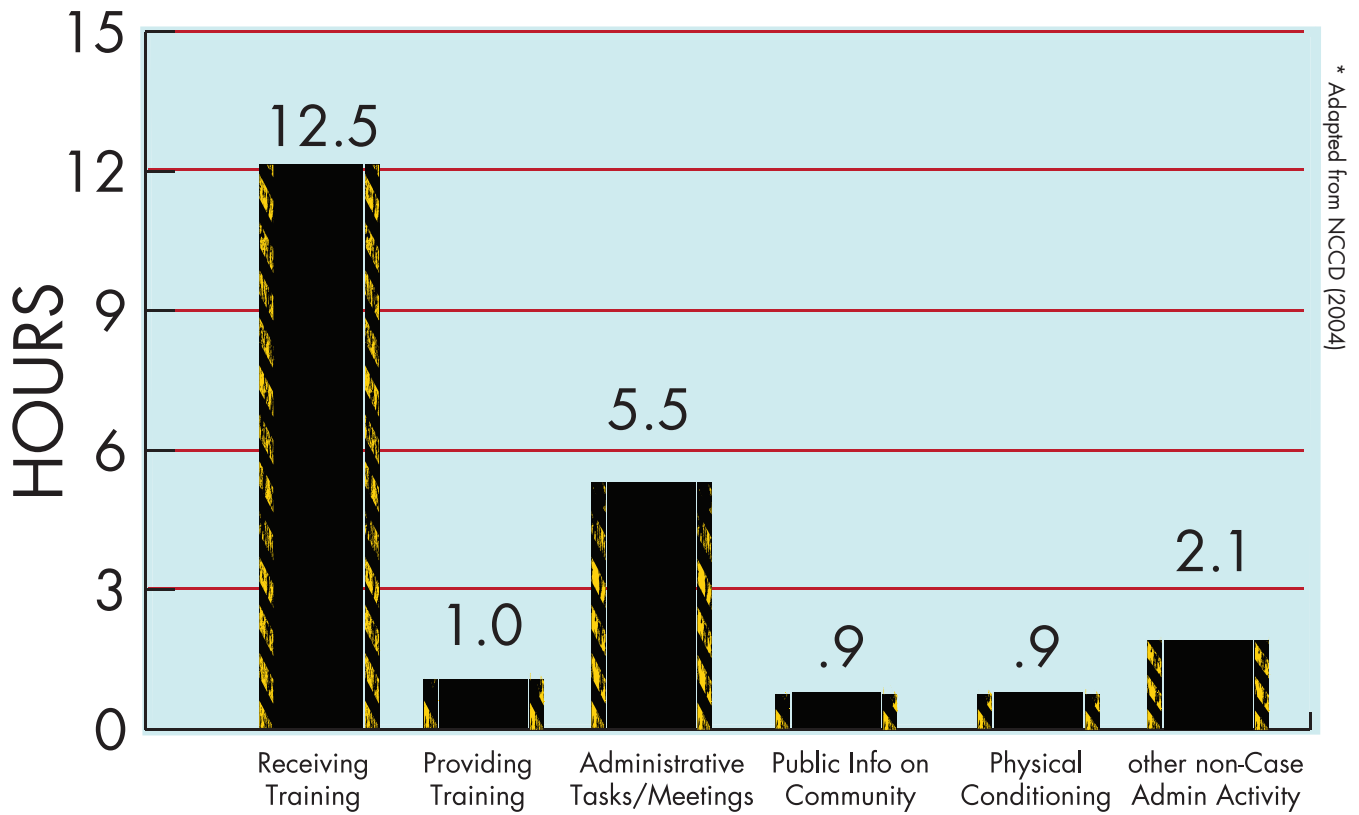
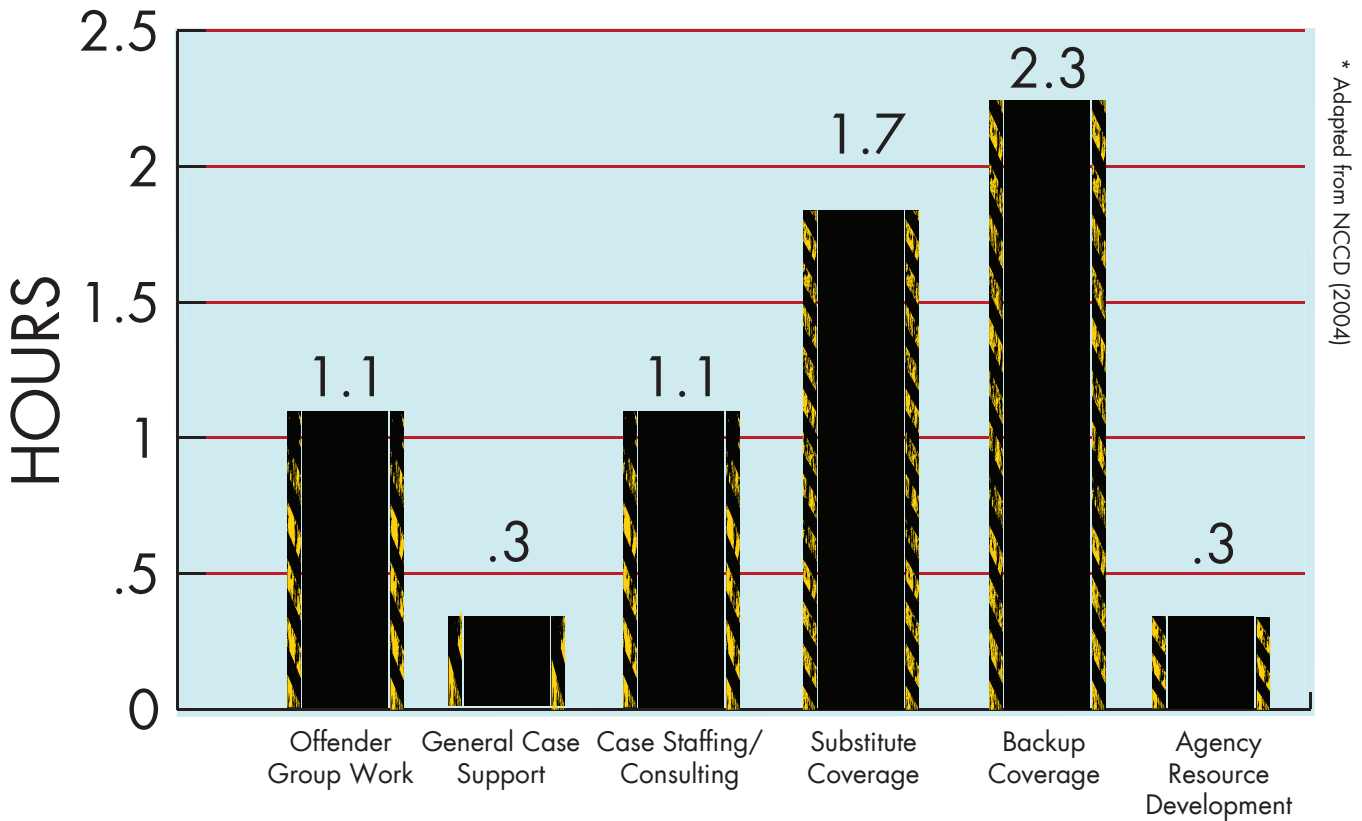


FIGURE 2: HOURS OF CASE SUPPORT TIME ASSOCIATED WITH DIFFERENT TASKS PER MONTH\*



## Nature of Contacts

Community corrections is a human services occupation. No doubt, there are elements of law enforcement and corrections intertwined within this occupation, in addition to substance abuse counseling, social work, job placement, and numerous other aspects related to fostering accountability and positive behavior changes for individuals. One area where this is especially important is the nature of contacts between officers and supervisees. The motivational interviewing philosophy suggests that the quality of interactions is more important than the quantity of interactions. Following this philosophy, one could replace a single meaningful interaction between officers and offenders for hundreds of meaningless ones in which little direct attention is paid to a supervisee's criminogenic needs and self-sufficiency.

Previous research on the nature of officer workload also focused on how characteristics of the offense influenced types of contacts and amounts of time given to different types of contacts. For instance, one study identified the following types of patterns in terms of the ties between location and type of contact:

- In high to medium supervision cases, face-to-face contacts occurred three-fourths of the time.
- In high to medium supervision cases, 54 percent of contacts occurred outside of the office.
- For all cases, two-thirds of the contacts involved direct contact with offenders (Oregon Case Management Study, 1990).

Consider a specialized caseload that receives a lot of public and political attention—sex offenders. There are few supervisee types that present agencies with more opportunities for negative press than sex offenders. Some research provides weighted time ranges that can be applied to sex offender caseloads. This study revealed the following monthly time estimates:

- Sex offenders assigned to an enhanced caseload received 4.56 hours of supervision.
- Sex offenders assigned to a maximum caseload received 4.14 hours of supervision.
- Sex offenders assigned to a medium caseload received 2.2 hours of supervision.
- Sex offenders assigned to a minimum caseload received 1.48 hours of supervision.

It is clear that amount of time devoted to offenders will be tied to their level of risk. Low-risk, low level supervisees require less time. The calculation of a caseload-workload algorithm demonstrates this pattern. Table 2 shows the generally recommended caseloads proposed by APPA. If one were to average the amount of time that officers would be able to spend with different types of supervisees across supervision types, one would find that higher risk supervisees would receive substantially more time (or supervision) from officers.

TABLE 3: CASE-BASED WORKLOAD ASSESSMENT ALGORITHM

	# of supervisees to officers	Average time per supervisee*
Intensive	20 to 1	6.04 hours
Moderate – High	50 to 1	2.44 hours
Low Risk	200 to 1	.61 hours
Administrative	No limit? 1,000	.12 hours

\*Based on an average of 122.07 hours available in officer's workload each month. This average was calculated from prior studies and subtracts average sick and vacation leave as well as holiday, training, and other non-case times.

Describing the dynamics between time and case type, an officer servicing a low risk case is expected to make a monthly face to face contact in the home, monitor services, and document accordingly. In contrast, high risk cases may require up to four face-to-face contacts per month with additional supervision activities. As a result, high risk cases will take more time.

### Barriers to Completing Tasks

Workload studies are useful in pointing out the kinds of challenges community corrections officials confront in their efforts to complete different tasks. Several barriers arise that make it difficult to complete different tasks in specific amounts of time. The identification of these barriers is important for two reasons. First, by recognizing the presence of these barriers, administrators and officers should appreciate the flexibility of time estimates. Second, and perhaps more importantly, by understanding the possible barriers, officers can efficiently adjust to these barriers.

There are probably hundreds of barriers that probation and parole officers confront. For ease of presentation, these barriers can be grouped into the following categories:

- Supervisee-based barriers
- Officer-based barriers
- Situational-based barriers
- Sanction-based barriers
- Agency-based barriers
- Occupational-based barriers
- Community-based barriers
- State-based barriers

### *Supervisee-Based Barriers*

Most probation and parole officers recognize that supervisees are not identical. Each supervisee requires different amounts of effort. Indeed, in 1967, the President's Commission on Law Enforcement and Administration of Justice recommended that caseloads for specific types of supervisees should vary in size and type of interventions to ensure that supervisees are classified according to their problem areas. As noted above, different sizes in caseloads implicitly suggest that differences between supervisees require different degrees of effort to supervise specific offense types.

Supervisee-based barriers also present themselves when considering how officers should react to collateral consequences experienced by supervisees, particularly those convicted of stigmatized offenses. The American Council of Chief Defenders has recognized that collateral consequences (loss of job, stigma, place restrictions, etc.) influence the amount of time attorneys spend with clients. In a similar way, one would expect that collateral consequences experienced by different types of individuals will affect the amount of time officers spend with their clients. The more collateral consequences that the supervisees experience the more time that may be required for certain types of tasks.

### *Officer-Based Barriers*

Officer-based barriers influence the amount of time that different officers spend completing different tasks. Officers possess different skill sets, with some officers naturally better at performing certain functions than others, and more experienced staff may be more proficient at completing tasks. A new officer, for instance, might take longer to complete a pre-sentence report than a more seasoned officer. The same can be said for completing paperwork. The skills that officers have influence the amount of time it takes to complete different tasks.

Related to years of experience and skills, the degree or amount of training officers have also influenced the time it takes to complete tasks. Better trained officers should be able to address their workload tasks better than others, and thus, will more efficiently supervise their caseloads. The training officers receive must be consistent with agency objectives. The training should balance all of the different tasks completed by officers, without de-emphasizing certain types of tasks.

Another barrier that influences the amount of time officers spend on certain tasks has to do with their philosophies or beliefs about supervision. At the broadest level, perceptions of the importance of tasks are tied to the officer's philosophical beliefs (Clear and Latessa, 1993). Payne and DeMichele (2011), for example, found that officers' personal supervision goals influenced amounts of time spent on some activities that are typically a part of probation and parole officers' workloads. Among other things, they found that those who support rehabilitative goals spent twice as much time on motivational interviewing than those who were less supportive

of rehabilitative ideals. Intuitively, it makes sense that the beliefs individuals hold about their jobs will influence the way they commit the bulk of the tasks that are a part of their occupational routine.

Jones and Kerbs (2007) cite research suggesting that three-fourths of probation officers think they “use their discretion in a manner consistent with public interest” (p. 4). This suggests two things. First, it suggests that a large proportion of officers are using discretion to decide which tasks should be completed, and presumably this discretion will influence their decisions about how long to spend on certain tasks. Second, about one-fourth of the officers seemingly make decisions that are based on something other than public interest. From this, it can be suggested that decisions are not necessarily grounded in any clear foundation.

Burnout is a final officer-based barrier influencing the amount of time officers will spend to complete tasks. In particular, the presence of burnout will influence the officer’s ability to, and interest in, performing certain activities and tasks (Farrow, 2004). The consequences of burnout will potentially influence the officer’s entire workload (and caseload). Officers who are burned out will not be able to complete tasks as efficiently and effectively as those who are not burned out. Finn and Kuck (2005) identified what they referred to as the “big three” sources of officers’ stress: high caseloads, excessive paperwork, and unexpected deadlines. We suggest that the time study templates and workload matrices have the potential to help administrators gain a better grasp on the nature of the workload within their agencies to alleviate stress and burnout.

#### *Situational-Based Barriers*

Situational-based barriers refer to a number of different barriers that arise based on the dynamics of the task or the relationship between the supervisee and the officer. Examples include, but are not limited to:

- Travel time
- Home visit barriers
- Unexpected findings
- Waiting
- Collaboration
- Public demand
- Cultural influences

In terms of traffic, consider the degree to which some probation and parole officers spend traveling to different locations as part of their jobs—either doing home visits, going to court, interviewing collateral contacts, and so on. Note that the influence of traffic extends across offense types and supervisee risk. It does not matter what type of individual an officer is



visiting, or what type of offense they committed, the officer has little control over the travel time required. The length of the home visit may be tied to offense or supervisee type, but the amount of time it takes to get from the office to the home is not dictated by these characteristics. There are differences between rural and urban communities that influence travel time. A Pennsylvania study, for example, found the following travel times for probation officers for one month:

- About 20 minutes per visit for officers working in urban communities
- About 30 minutes per visit for officers working in mixed communities
- About 40 minutes per visit for officers working in rural communities

In effect, it takes about twice as long for officers in rural communities to travel to their visits as it takes officers in urban communities.

Home visit barriers are additional situational-based barriers. It may be that certain characteristics of the home make the visit take longer. The presence of dogs or other animals, slow elevators, problems finding parking, or absent supervisees may make the home visit take longer. Or, home visits may take longer with supervisees that want to talk longer. The dynamics of the home visit are such that it is difficult to predict precisely how long officers will be in the home.

Unexpected findings during home or office visits may also prolong certain tasks. Consider a field drug test. It may take but a few minutes to complete the task. However, the outcome of the task will influence how long the officer spends responding to the supervisee. If a supervisee tests positive, then the officer will need to devote a different amount of time to the task than if the supervisee has a negative urinalysis. The same is true for home visits. If the officer finds drugs, weapons, or criminal associates during the home visit, then the home visit will take longer to complete. These outliers must be considered during time studies (noted as limitations) since time studies use average times to provide recommendations.

Waiting is another barrier officers will face. While few, if any, studies have focused on how much time officers spend waiting in court, some from other professions provide an example of this barrier. One study in social work, for example, found that social workers spent 1.8 percent of their time waiting in court (Touman and Fluke, 2002). This is not to suggest that probation and parole officers spend the same amount of time “waiting” in court, but they will spend significant amount of their time waiting in court and is something that needs to be considered when making workload allocation decisions.

Collaboration is another situational-based barrier. For some offense-types, officers may need to collaborate with other professionals or community organizations. Working with others, while advantageous, can be a time-consuming process. Scheduling meetings, learning expectations,

getting to know one another, and so on will take time. Also, “mission creep” or “mission distortion” may create barriers and make it difficult to complete tasks in the same amount of time. Mission creep refers to situations when agencies that are collaborating take on the role of other agencies, and thereby take on additional tasks (Corbett, 1998). Collaboration is increasingly becoming more of a requirement in probation and parole agencies. Describing this trend, one author commented:

*Developments in probation practice have led to a number of changes in how probation officers do their work. These include ... a greater understanding of risk assessment, an increasing emphasis on group work to deliver programs to offenders, the requirement to focus exclusively on criminogenic needs of offenders, and the resulting greater reliance on organizations and services which are not a part of the traditional criminal justice system. (Bracken, 2003, p. 101)*

Public demand is an additional situational-based barrier (Hurst, 1999). If the public calls for stricter accountability for certain types of supervisees, officers dealing with those types of offenses will inevitably need to spend more time on supervisory tasks associated with those individuals. Consider sex offenders as an illustration. Research shows that officers spend more time supervising sex offenders than they do other supervisees (Payne and DeMichele, 2011).

Cultural influences are also potential barriers to completing tasks. As an example of the way that these influences manifest themselves, consider interviews between officers and supervisees who do not speak English. One expert writes:

*A probation officer conducting an interview in the same language as the defendant is able to understand the nuances of a conversation and can rely on his/her intuition to probe with follow-up questions. When working through an interpreter, nuances can be missed and intuition based on language lost. (Jensen, 2002, p. 257)*

Also, note that using interpreters will require officers to take longer to complete an interview. Perhaps the main point of the situational-based barriers is that it is difficult to always control or predict the kinds of things probation and parole officers will encounter in the course of their daily routines.

#### *Sanction-Based Barriers*

Sanction-based barriers refer to the barriers that arise as a result of the conditions of probation or parole, or the sanctions attached to the probation and parole sentence. For instance, if offenders are ordered to pay fee, fines, or other financial obligations, different types of barriers may emerge than if the supervisee is not paying restitution. Recognizing that all court orders are not the same, officers must sometimes put skills and practices together that are responsive to the specific court order. The need to develop specific practices and case plans makes the officer’s tasks take longer to complete.

Technology that is tied to particular sanctions can also be seen as a potential barrier. Referred to as a “double-edged sword in the field of criminal justice,” (Byrne, 2008), technology has both pros and cons. Implicitly describing the influence of technology, one evaluator made the following comments:

*The officer still has contact as frequently as when human surveillance is used, although there is some change in the content of the contacts. Some of the interaction must center around functions of the machinery. After I completed numerous field visits with surveillance officers for cases involving electronic equipment, my impression was that both the officer and the probationer became accustomed to the device and personal communication did occur. However, staff time required for monitoring the equipment and dealing with breakdown and false tamper messages was significant. (Erwin, 1990, p. 65)*

While technology typically can make a probation and parole officer’s job more effective, the potential for unintended negative consequences exists as officers spend much time responding to emails or learning new information management systems. The point here is that various forms of technology should be recognized as being a potential barrier as well.

#### *Agency-Based Barriers*

Agency-based barriers refers to aspects of the broader probation or parole agency that may influence the amount of time tasks take to complete. Both agency policies and agency missions (Hurst, 1999) will influence the amount of time devoted to specific tasks as organizational policies dictate the tasks that probation and parole officers perform (Clear and Latessa, 1993). By dictating tasks, the agency will, as a result, dictate the amount of time given to tasks. Consider an agency that is primarily rehabilitative in its mission and policies. The types of tasks that would be common in this agency would be substantially different than the types of tasks completed in an agency that is primarily focused on surveillance of supervisees.

Ambiguity between caseload and workload models at the agency level may create barriers to completing tasks in a timely manner. This ambiguity results from the confusion officers are likely to experience if caseload and workload models are not clearly articulated in the agency’s mission statement and policies.

The overall values of a specific agency can also create barriers to completing tasks in a timely fashion. For example, “an environment in which there is institutionalized pressure to complete assessments under conditions of resource constraints and lack of training in casework skills is conducive to all manner of subjective judgments creeping into assessments” (Fitzgibbon, 2007, p. 94). In some instances, agencies may intentionally create barriers to developing workload estimates. For example, agencies may resist statewide standards in an effort to maintain their autonomy (Hurst, 1999). As well, a lack of leadership support and administrative support may influence the amount of time officers are able to devote to specific tasks.

### *Occupation-Based Barriers*

Occupation-based barriers refer to aspects of the probation and parole field that may create obstacles to completing tasks in specified amounts of time. For example, the lack of common risk/classification schema makes it difficult to suggest that all risk assessments of classifications will take the same amount of time (Hurst, 1999). Hurst also points to the lack of definitions in probation and parole standards as somewhat problematic.

In addition, the traditional reliance on caseload strategies to guide and evaluate work activities makes it difficult to shift in orientation to workload strategies. One can also point to the fact that the occupation is based on human interactions, which are anything but predictable. The supervisee's behaviors will influence the amount of time that officers must spend on tasks, and these behaviors are often beyond the control of officers.

Another barrier in the field is related to the lack of leadership promoting workload models. Perhaps because of a fear that such models will further routinize probation and parole, few leaders have stepped forward to call for workload models to guide probation and parole officers in their efforts. The lack of leadership potentially results in ambiguity regarding the amount of time tasks should take.

### *Community-Based Barriers*

Just as no two agencies are the same, and agency differences influence tasks used in probation and parole, no two communities are the same either. On the one hand, different communities emphasize certain types of behaviors and expect criminal justice officials' behaviors to be directed towards addressing those behaviors (Hurst, 1999). On the other hand, differences between rural and urban communities promote the utilization of different tasks by probation and parole officers. One author noted five challenges that rural officers face including physical distance, isolation, resources, unique cultural dynamics, and social dynamics (McGrath, 2008). Each of these challenges directly influences workload and they have the potential to influence the amount of time it takes to complete different tasks. It may take rural officers twice as long to get to their site visit.

In terms of isolation, probation and parole officers in rural communities may have few community corrections colleagues with whom they can collaborate. This isolation may place all of the workload on specific officers in rural areas. Consider cases in which officers need back-up or substitute coverage. Finding this coverage would be more difficult in rural than urban areas.

Unique cultural and social dynamics also potentially influence the way that officers do their jobs in rural communities. Many experts note that rural communities rely far more on informal social control mechanisms than urban communities (Dickey, 1989). With informal social control

strategies, officers often must wait for the “right time” to promote change in probationers. Such a process may decrease the amount of effort given to different tasks commonly occurring in the officer-supervisee relationship.

Other researchers have pointed to differences between supervisees in the two types of communities, and these differences could promote the length of time devoted to different tasks. Rural communities typically have fewer treatment options, fewer service providers close to where supervisees live, and fewer officers compared to urban areas. This may result in more varied caseloads for rural officers (Beymer & Hutchinson, 2002).

One study found that impaired driving offenses are more common in rural than urban communities (Olson, Weisheit, & Ellsworth, 2001). Another study of 2,468 probationers in Illinois found that rural offenders were:

- More likely to have more prior convictions than urban probationers
- More likely to have substance abuse histories
- More likely to have a DUI sentence, while urban probationers were more likely to have drug sentence
- More likely to have treatment ordered
- Less likely to have probation revoked
- Less likely to commit additional technical violations

Because offenses and needs vary between rural and urban communities, it should not be surprising that conditions of probation assigned to probationers vary in the two communities. A study of 3,698 probationers found that community service was more common in urban communities, while mandatory fees, restitution, and electronic monitoring are more likely in rural communities (Ellsworth & Weisheit, 1997). Collectively, differences in physical distance, isolation, values, cultural dynamics, offender needs, offense types, and conditions of probation and parole mean that tasks will be distributed differently across rural and urban communities.

#### *State-Based Barriers*

State-based barriers refer to those aspects of a particular state that may influence the amount of time given to specific tasks. No two states have the same codes describing probation and parole officer’s tasks. Also, differences arise in policies, budgets, priorities, lack of statutory guidance, officer classification, and changing codes (Purkiss et al., 2003).

In terms of policies, the way that states define policies guiding probation and parole officers varies, and this variation will influence the way that tasks are completed. For example, some states may have policies requiring certain types of sex offenders to be monitored by GPS. These states would utilize different tasks to supervise sex offenders than would those states that do not

have these policies. In a similar way, states are often inconsistent in the statutory guidance they provide to help officers determine workload and risk.

State budgets will also influence probation and parole officer tasks, as well as the time to complete tasks. Correctional budgets vary across the states, and the amount of funds devoted to probation and parole also varies.



## PART III: METHODS- DESCRIPTION OF THE APPA PROCESS

**D**eveloping time study matrices for a national audience requires considering the contextual nature of community corrections practices. There are many differences in community corrections practices between jurisdictions. Consider the differences between rural and urban agencies when it comes to conducting field visits; contacting collateral contacts; and making referrals for housing, treatment, or employment. While this is only a single contextual issue, one can see that this has serious implications for how officers carry out their daily duties. As a result the following templates and workload matrices allow flexibility for administrators to implement specific practices while considering resource availability, driving distances, and other variables that effect the time it takes to complete tasks.

### **Workload vs. Caseload Debate: Time for a Time Study Template**

The community corrections field is complex and in need of systematization. This is not to suggest the need for a homogenous field in which every agency is the same. Rather, jurisdictional variability is good when it reflects localized cultures, politics, and ways of being, and this variability is given room within the time study templates and workload allocation matrices developed. However, policymakers across the country must become more aware of what it is that community corrections officers do before they can truly grasp what community supervision alternatives can accomplish as a public safety mechanism. A greater knowledge and understanding of the processes of community corrections is necessary before anyone can understand the outcomes.

The current fiscal crisis may be the perfect storm for the community corrections field. That is, there is a policy environment more willing to embrace lower cost community-based alternatives to incarceration. However, it is up to the community corrections field to provide a uniform and

consistent description of what this field does, how tasks are completed, and the benefits of these processes.

To assist agencies across the country, APPA and BJA suggest a weighted-caseload approach to develop a preliminary model that can be used to determine approximate average times for officer tasks. Barriers to completing different tasks are also identified. A potential model for portraying the amount of time by task, the barriers associated with the tasks, and the strategies to portray the tasks is proposed.

Next we provide a description of the steps we took to develop the time study templates and workload allocation matrices. These steps include: (1) categorizing of case types, (2) identifying task categories, (3) identifying and gathering past time studies, (4) collecting time estimates from past studies, (5) distributing time estimates across identified tasks and case types, (6) averaging the estimates, (7) identifying barriers for each case type and task, and (8) entering information into an APPA matrix.

### **Categorization of Case Types**

Community corrections professionals categorize people. This can be a frustrating and not always perfect situation. People do not always fit into distinct categories perfectly. Instead, there is overlap. Have you ever supervised someone that is both a domestic violence abuser and substance abuser? Or, have you supervised a multiple-DUI offender with previous mental health issues? How do you categorize these offenders? We know this can frustrate officers working with these offenders and administrators trying to allocate workload and secure funding for services.

Obviously, categorization is not perfect. But, it does give us a way of reducing information to allow for grouping community corrections functions for a national audience. The advisory group was asked, "What case types dominate your agencies?" And, through our meetings, the following 17 case types were agreed on by all participants:

- Domestic violence
- Sex offender
- Mental health
- Driving while intoxicated
- Intensive supervision units
- Specialty court units
- Transferred juveniles
- Global Position System (GPS)/ Electronic Monitoring (EM)
- Heterogeneous



- Administrative
- Fugitive Units
- Gang Units
- Substance Abuse Units
- Pretrial Diversion
- Female Specific Units
- Violence Prevention Units
- Reentry Units

These case types were further explored to develop individual time study templates and workload allocation matrices for each case type. For all of the case types except administrative caseloads, the cases were categorized as high, medium, or low risk. The consideration of case type and risk level takes into account the implications of the dynamics of the offense types. These case types come with different challenges that are considered within the time study templates and workload allocation matrices.

### Identifying Task Categories

The advisory group was asked, “What are the essential tasks that officers must complete for a case to be complete?” Tasks were categorized and described in the templates and workload allocation matrices, but these were flexible as well so that agencies can measure these tasks in a way that reflects their specific agency’s needs. Seven types of tasks that officers complete to adequately manage a case were identified:

- Assessment and case planning
- Conducting home visits
- Conducting office visits
- Communicating with treatment providers and collateral contacts
- Reporting to court as needed
- Holding offenders accountable through strict monitoring of conditions
- Enforcing conditions through arrest and formal sanctioning

Using these broader categories as a guide, members of the workgroup then discussed a series of specific tasks. While comprehensive, the list is not necessarily exhaustive or final. The intentions here are to refine and systematize time studies within community corrections to provide a framework for agencies to use when making workload allocation decisions. By framework, the intentions here are not to create a rigid instrument that has to be applied in lock-step fashion. The templates and matrices are flexible, but yet specific enough to identify the essential practices involved in community corrections case management.

## Identifying and Gathering Past Time Studies

This project seeks to answer two big questions. First, what are all the tasks that community corrections officers must do to adequately supervise a case? Second, how long does it take to complete these tasks? Identifying and categorizing officer tasks was the focus of the steps mentioned above. To provide some understanding of how long it takes officers to complete tasks, many previous time studies were reviewed to estimate time ranges for task completion. This is the first time that anyone has tried to systematize the dozens of time studies completed. One could simply “throw their hands in the air” and say that these time studies are only good for making localized decisions. Or, one could use them to suggest that there is some possibility for generalizing from these studies to the broader community corrections field. The latter alternative was followed.

APPA has collected several workload studies during the first phase of this project, and conducted an email-based survey in which respondents were asked to send in workload studies. In the end, nine time studies were identified that were completed within the past 15 years and had strong methodological rigor. These time studies are comprehensive enough to create a foundation from which this project can begin to synthesize the results to develop a national time study template and workload allocation matrices.

## Collecting Time Estimates From Past Studies

The time ranges were identified and a coding matrix was created to code the amount of time that was spent on different tasks. The matrix includes rows for the 17 offense types and the columns include the task categories. This matrix was completed for each of the case types identified by the advisory group.

## Distributing Time Estimates Across Identified Tasks and Case Types

The community corrections field is heterogeneous and this project seeks to provide some uniformity in the way that agency tasks are recorded and reported. Such uniformity potentially assists administrators making workload decisions and highlights for policymakers the importance of adequate funding levels for community supervision. At any rate, the time studies reviewed did not use the precise task categories identified by the advisory group. In these cases, times were distributed equally across tasks from the broader estimate. For example, if a prior study said that officers spent four hours on supervision per offender per month and two hours on investigations per offender per month, the four-hour time estimate would be distributed equally across those tasks deemed to be supervisory in nature and the two hours would be distributed equally across those tasks deemed to be investigatory in nature. While not perfect, this process at least provides a starting point toward identifying average amounts of time spent on these identified tasks.

### **Averaging the Estimates**


With guidance from the advisory group and informed by the available literature, average estimates per a given task by offense typologies were computed. The results are contained in the matrices presented in Part V of this document. Note these figures represent initial estimates and actual time per task may vary by jurisdiction.

### **Identifying Barriers for Each Case Type and Task**

Have you ever seen policies or organizational practices implemented without considering the obstacles or barriers? Often policymakers and organizational leaders want or need to make changes so rapidly that full consideration of the speed bumps is left out. Policymakers insist that a certain social program must be implemented immediately, but they may spend little time considering the barriers presented. Or, organizational executives may want to change practices without thinking through how such changes will affect others in the organization. The time study templates and workload allocation matrices include some discussion of potential challenges or barriers that each of these tasks may present for officers. Identifying barriers is not our way of suggesting tasks cannot be completed. Rather, often reports like this one are disseminated without considering the potential problems that could arise. The workload allocation matrices include a host of overarching barriers and solutions or strategies to confront those barriers.

### **Entering Information Into APPA Matrices**

In Part IV and V of this document several matrices are presented which were developed based on various case typologies. These case typologies include domestic violence, sex offenders, mental health, substance abuse, intensive supervision, specialized units, transferred juveniles, electronic monitoring, administrative supervision, fugitive units, gang units, pretrial, and more. Tasks were grouped by home visits, office visits, other agency communication, court reporting, and enforcement tasks. These matrices include time estimates, task descriptions, challenges to timely completion, and suggestions for overcoming barriers to efficiency.



## PART IV: RESULTS - FINDINGS FROM THE TIME STUDIES

**T**able 4 (Page 32) shows the findings from the time studies across offense types and tasks. To arrive at these estimates, past time estimates were distributed across the offense types based on offender risk level (high, medium, or low). The time estimates were then distributed across the time categories. Once an average was calculated for each, a weighted caseload approach was used to develop estimates for high, medium, and low risk caseloads.

Using APPA's caseload recommendations, it was assumed that the high risk caseload (20 to 1) would need officers to spend approximately 2.5 times the amount of time (per offender per task) than they would spend on a medium risk caseload (50 to 1), and 5 times as much time than they would spend on a low risk caseload (liberally estimated at 100 to 1). This is not to suggest that such a linear relationship will play out in every case. Barriers facing the field and strategies to overcome them are identified with flexibility to allow for localized circumstances. Again, this is meant to provide a starting point from which further discussions and actions can take place regarding workload allocation and community corrections funding.

Also, the estimates under assessment/planning refer only to the initial assessment/planning conducted on new probationers or parolees. This estimate was calculated by using the estimates for pre-sentence investigations as a guide. Note that this estimate should be seen as per offender. As an example, the initial assessment/planning for a sex offender is estimated to be 7.14 hours. This is a one-time event. The officer will not re-assess or re-plan every month for each offender in such a comprehensive way. While some planning and assessment may be ongoing, the bulk of assessment occurs during the initial stages of the sanction, and it may not even be done by the officer who is supervising the offender.

In looking at the time estimates, one can determine the monthly amount of time given to the tasks by multiplying the time estimate by either 25 (for high risk cases), 50 (for medium risk cases), or 100 (for low risk cases). For example, officers will spend about 18.25 hours/month on home visits for high risk domestic violence probationers (43.8 minutes x 25 cases = 1,085 minutes or 18.25 hours).

TABLE 4: FINDINGS FROM CASE STUDY IN MINUTES PER OFFENDERS/MONTH

	CASE PLANNING* (Hours)	OFFENDER RISK	HOME (Minutes)	OFFICE (Minutes)	COMMUNICATION (Minutes)	COURT (Minutes)	MONITORING (Minutes)	ENFORCING (Minutes)
<b>Domestic Violence</b>	6.51	High	43.8	43.8	43.2	42.0	42.0	42.0
		Medium	17.4	17.4	16.8	15.0	15.6	15.6
		Low	9.0	9.0	8.4	7.2	7.8	7.8
<b>Sex Offender</b>	7.14	High	42.6	41.4	45.0	39.0	44.4	38.6
		Medium	16.8	16.2	16.2	13.2	17.4	13.2
		Low	8.4	8.4	8.4	6.6	9.0	6.6
<b>Mental Health</b>	6.58	High	48.0	40.8	48.0	54.0	46.8	46.8
		Medium	24.0	20.4	24.0	27.0	23.4	23.4
		Low	12.0	10.2	12.0	13.5	11.7	11.4
<b>DWI</b>	6.24	High	24.0	24.0	24.0	22.8	15.0	15.6
		Medium	11.4	11.4	11.4	9.6	8.4	9.0
		Low	5.4	5.4	5.4	4.8	4.2	4.8
<b>Intensive SP</b>	6.69	High	34.8	37.2	29.4	46.8	36.0	30.6
<b>Special Court Units</b>	6.36	High	43.8	43.8	43.2	48.0	42.0	42.0
		Medium	17.4	17.4	17.4	24.0	16.2	16.2
		Low	9.0	9.0	8.4	12.0	7.8	7.8
<b>Transferred Juveniles</b>	6.55	High	48.0	48.0	48.6	57.6	45.0	45.0
		Medium	21.6	27.2	21.6	27.8	21.0	21.0
<b>GPS/EM</b>	6.58	High	39.0	39.0	34.2	36.6	37.2	35.4
		Medium	15.6	15.6	13.8	14.4	15.6	14.4
		Low	7.8	7.8	6.6	7.2	7.8	7.2
<b>Heterogeneous</b>	6.47	High	36.0	42.0	42.0	36.0	39.0	39.0
		Medium	17.4	17.4	17.4	15.0	16.2	26.2
		Low	8.4	8.4	8.4	7.2	7.8	7.8
<b>Administrative</b>	N/A	N/A	5.4	5.4	5.4	5.4	5.4	5.4
<b>Fugitive Units</b>	N/A	N/A	44.4	41.4	40.2	59.8	44.4	44.4
<b>Gang Units</b>	6.91	High	42.6	41.4	42.6	39.0	44.4	44.4
		Medium	16.8	15.6	16.8	15.6	18.0	18.0
		Low	8.4	7.8	8.4	7.8	9.0	9.0
<b>Substance Abuse Units</b>	6.57	High	42.0	42.0	42.0	48.0	39.0	39.0
		Medium	17.4	17.4	17.4	23.4	16.2	26.2
		Low	8.4	8.4	8.4	12.0	7.8	7.8
<b>Pretrial Diversion</b>	6.57	High	42.0	42.0	42.0	36.0	39.0	39.0
		Medium	17.4	17.4	17.4	15.0	16.2	26.2
		Low	8.4	8.4	8.4	7.2	7.8	7.8
<b>Female Specific Units</b>	6.57	High	42.0	42.0	42.0	36.0	39.0	39.0
		Medium	17.4	17.4	17.4	15.0	16.2	26.2
		Low	8.4	8.4	8.4	7.2	7.8	7.8
<b>Violence Prevention Units</b>	6.24	High	27.0	27.0	27.0	27.8	19.2	19.2
		Medium	19.4	19.4	19.4	9.0	9.6	9.6
		Low	5.4	5.4	5.4	4.2	4.8	4.8
<b>Reentry Units</b>	6.24	High	27.0	27.0	27.0	27.8	19.2	19.2
		Medium	19.4	19.4	19.4	9.0	9.6	9.6
		Low	5.4	5.4	5.4	4.2	4.8	4.8

\* Estimates refer to initial case planning which is not done every month with each offender. This column is in hours, the others in minutes.



## PART V: TIME STUDY MATRICES

**W**hat do these time ranges mean for administrators trying to allocate workload and ensure adequate funding levels? These time estimates and additional time estimates were provided by the advisory group to construct 17 unit specific time study matrices. The 17 offense types represent different types of supervision units, but these units will have several common tasks that must be completed. The 17 time study matrices are presented on pages 34-67.

## Domestic Violence

*Narrative:* Domestic violence cases involve situations where individuals commit violent acts against their intimate partners. Through the mid-1980s, these cases tended to be kept out of the criminal justice system. Since then, increasingly aggressive law enforcement and prosecution strategies have resulted in more offenders on probation. According to one author, probation officers see these cases as the “most complex and challenging cases” (Crowe, 2004, p. 37). In some jurisdictions, specialized domestic violence units handle all of the domestic violence offenders on community supervision. Research shows that low-risk probationers in specialized domestic violence programs have lower recidivism rates than comparable domestic violence offenders supervised in general caseloads, and victims were more satisfied with the probation officer (Klein and Crowe, 2008).

Whether as part of a general caseload or a specialized caseload, community corrections officers will perform a variety of tasks in domestic violence cases. These include (Hofford, 1991):

- Case advocacy
- Family assessment
- Pretrial monitoring
- Coordinated team
- Coordinating civil/criminal actions
- Communicating with other agencies working with families

Communicating with external agencies and promoting coordinated efforts is believed to be particularly important in holding offenders accountable. As well, home and office visits are useful in promoting accountability. Officers will have more frequent home and office visits *with* domestic violence probationers, but these visits will occur over a shorter period of time because these offenders are given shorter community sentences than comparable violent offenders. Officers will also have more contact with victims in these cases than they would have with victims in other cases.

Officers may face a number of barriers when working with domestic violence offenders. Because these offenses are not the “typical” kinds of offenses supervised by probation and parole officers, responses often require changes in practice and beliefs. As well, in many cases the dynamics are such that victims return to their abuser. Officers may fail to understand the dynamics of domestic violence and assume that these decisions by victims mean that the offender does not need to be held as accountable or supervised to the same degree. Appropriately understanding the dynamics of domestic violence will help officers to effectively respond to these cases.

TABLE 5: DOMESTIC VIOLENCE MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (mins.)	Conduct Office Visits (mins.)	Communicate– Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	6.51 hours	H: 43.8 M: 17.4 L: 9.0	H: 43.8 M: 17.4 L: 9.0	H: 43.2 M: 16.8 L: 8.4	H: 42.0 M: 15.0 L: 7.2	H: 42.0 M: 15.6 L: 7.8	H: 42.0 M: 15.6 L: 7.8
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions DV screening Drug/Alcohol screening Employment assessment Enter assessment data Locate treatment Home inspection Interview family Record check	Travel to home Interview offender Interview children Interview family Inspect home Complete report Conduct search Document contacts	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info.	Talk with victims Meet advocates Talk w/ treatment Attend meetings Meet judge/da Communicate w/ boss, staff, police, etc Verify treatment attendance Community notification	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing Attend violation hearings	Warrant checks Financial review Violent Regis Explain court order Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings	Obtain legal docs Violent registries Obtain warrants Lodge warrants Monitoring restitution Supervise visitation Verify employment Verify treatment Review homework Collect fees Arrest
Challenges	Accessing data Offender denial Lack of treatment Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol	Traffic Unexpected findings Waiting Animals Distance Isolation Resources	Cultural influences Admin. Support Leadership 'Needy' offender Victim distrust Overcrowding	Waiting Mission creep Victim needs Language issues Cultural issues Distrust Public demand	Waiting Mission creep Agency goals Victim resistance	Collateral conseq. Lack DV training Unclear policies Probation/parole seen as lenient	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees
Strategies to overcome	Data agreements DV training Collaborative agreements Data training Rapport building Develop assessment protocol	Schedule with GIS Hold accountable Do reports Make sure family knows rules Conduct visits	Schedule set time Promote support Diversity training Rapport building	Complete reports while waiting Detailed MOUs DV training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with victims	Awareness of collateral cons. Review policies Expand training	Have offender sign conditions statement Technology training Familiar w/orders Employment guidance

Administrative notes: Research shows that officers will be nearly six hours a month doing administrative tasks. In domestic violence cases, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with domestic violence teams, developing community resources, completing progress reports, and so on.



## Sex Offenders

*Narrative:* Over the past two decades, state laws have changed dramatically to allow for stricter responses to sex offenders. Some of these laws called for long probation sentences either in lieu of, or attached to, prison sentences. Some states have even called for lifetime probation sentences for sex offenders. As a result, probation and parole officers are working more with sex offenders today than they ever did in the past.

In some jurisdictions, specific sex offender units are used. In other jurisdictions, sex offenders are assigned as part of the officer's general caseload. Each of these strategies has both advantages and disadvantages.

Officers face a number of issues when supervising sex offenders. Research shows that compared to other offenders, officers are unable to identify with sex offenders (Haffner, Ahmad, & Carmen, 2005). Also, a lack of clarity exists regarding the amount of or how often home visits should be conducted with sex offenders (IACP, 2005). While such estimates are difficult to develop, all seem to agree that working with sex offenders can be extremely time consuming. As Stalans (2002, p. 566) notes, "thorough assessments of sex offenders are time-consuming and costly."

Officers will face a number of other barriers in their efforts to supervise sex offenders. The following barriers are particularly common in these cases (Jenuwine, Simmons, & Swies, 2003):

- Interagency conflict
- Lack of understanding about mental health system
- Lack of understanding about sex offender treatment
- Lack of understanding about 'clinical criteria predicting recidivism'

In addition, collaboration with other agencies is a necessity in these cases. Therefore, time management becomes problematic when working in these collaborative relationships. This is even more problematic when considering that officers will be supervising a wide variety of sex offenders (Craun & Kernsmith, 2006). With a wider variety of sex offenders, officers will need to work with a wider variety of agencies.

Probation departments select different types of tasks and tools to use in supervising sex offenders. The selection of these tools and tasks will directly influence the amount of time devoted to supervisory and investigatory tasks. A survey of community corrections departments in Texas found that half of the departments used the Abel Screening Tool and one-fifth of the departments used penile plethysmograph (McKay, 2002).

Note also that some of the time probation and parole officers spend may be directed toward increasing their own or others' understanding about sex offenders. This occurs in one of two ways. First, because some officers may know very little about sex offenders, they may need additional training about appropriate strategies and tasks to use with sex offenders. Second, because members of the public know so little about sex offenders, officers may be in situations where they have to respond to public opinion and direct their efforts towards educating the public (Levenson & D'Amora, 2007).

TABLE 6: SEX OFFENDER MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (mins.)	Conduct Office Visits (mins.)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	7.14 hours	H: 42.6 M: 16.8 L: 8.4	H: 41.4 M: 16.2 L: 8.4	H: 45 M: 16.2 L: 8.4	H: 39 M: 13.2 L: 6.6	H: 44.4 M: 17.4 L: 9	H: 38.6 M: 13.2 L: 6.6
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions Sex offender screening Drug/Alcohol screening Employment assess. Enter assessment data Locate treatment Home inspection Locate housing Record check Register offender	Travel to home Interview offender Interview children Interview family Inspect home Complete report Conduct search Document contacts	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Talk with victims Meet advocates Meet polygrapher Attend meetings Meet judge/da Communicate w/ boss, staff, police, etc Verify treatment attendance Community notification	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing Attend violation hearings	Warrant checks Financial review Violent Regis Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings	Obtain legal docs Violent registries Obtain warrants Lodge warrants Monitoring restitution Supervise visitation Verify employment Verify treatment Review homework Collect court-ordered fees Arrest
Challenges	Accessing data Offender denial Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol Collateral consequences from registering	Traffic Unexpected findings Waiting Animals Distance Isolation Resources Frequency is issue More time needed	Cultural influences Admin. Support Leadership 'Needy' offender Victim distrust Overcrowding More time needed	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals Victim resistance	Collateral conseq. Lack training Unclear policies Seen as too lenient Laws change quickly MH issues not understood	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
Strategies to overcome	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments Assign officers specific tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits	Schedule set time Promote support Diversity training Rapport building	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with victims	Awareness of collateral cons. Review policies Expand training	Offender signs conditions statement Technology training Be familiar w/orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In sex offender cases, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with members of the sex offender supervision team, developing community resources, completing progress reports, and so on.

## Mental Health

*Narrative:* Over the past decade, mental health specialization has been developed to centralize the supervision and treatment of offenders suffering from a mental health problem. Sometimes, officers with special mental health training are part of a mental health court; other times they function as specialized officers within the probation or parole agency. In some jurisdictions, specific mental health offender units are used. In other jurisdictions, offenders with mental health problems are assigned as part of an officer's general caseload. In either situation it is important that officers supervising individuals with mental health problems receive specialized training.

Officers working with offenders with mental health problems tend to have (Skeem & Loudon, 2006):

- Exclusive mental health caseloads
- Significantly reduced caseloads
- Substantial training
- The need to integrate internal and external resources.

Offenders with mental health problems have different needs than offenders without such problems. Research shows that offenders with a mental illness may have a dual diagnosis, have more treatment needs, and are more likely to need housing (Hartwell, 2004). Other aspects of mental health units that may make the tasks different for these officers than they would be for other officers include the following:

- Lack of agency policy to supervise mentally ill offenders
- More meetings are required with these offenders than other offenders
- More treatment strategies must be used with these offenders than others
- The orientation should be less punitive than traditionally used

Note that rural communities are unlikely to have mental health units, per se, but officers will supervise offenders with mental health problems as part of a mixed caseload.

TABLE 7: MENTAL HEALTH MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (mins.)	Conduct Office Visits (mins.)	Communicate –Others (mins)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	6.58 hours	H: 48 M: 24 L: 12	H: 40.8 M: 20.4 L: 10.2	H: 48 M: 24 L: 12	H: 54 M: 27 L: 13.5	H: 46.8 M: 23.4 L: 11.7	H: 46.8 M: 23.4 L: 11.4
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions Mental health screening Drug/Alcohol screening Employment assess. Enter assessment data Locate treatment Home inspection Interview family Record check	Travel to home Interview offender Interview children Interview family Inspect home Complete report Conduct search Document contacts	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Talk with victims Meet advocates Attend meetings Meet judge/da Verify treatment attendance Interview collateral contacts Talk with counselor	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing hearings	Warrant checks Financial review Violent Regis Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings Ensure avoiding criminal lifestyle	Obtain legal docs Violent registries Obtain warrants Lodge warrants Monitoring restitution Verify employment Verify treatment Review homework Collect court-ordered fees Treatment staffing Arrest
Challenges	Accessing data Offender denial Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol Collateral consequences from registering	Traffic Unexpected findings Waiting Animals Distance Isolation Resources	Cultural influences Admin. Support Leadership 'Needy' offender Victim distrust Overcrowding Need more visits than others	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals Mental health issues	Collateral conseq. Lack training Unclear policies Seen as too lenient Lack agency policy MH issues not understood Offender stigma	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
Strategies to overcome	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments Assign officers specific tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with victims	Awareness of collateral cons. Review policies Expanded mental health training Develop policy Focus on rehab. ideals	Have offender sign conditions statement Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving mental health offenders, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with mental health teams, developing community resources, completing progress reports, and so on.

## Driving While Intoxicated

*Narrative:* Driving while intoxicated is a particularly common offense, and the consequences of the behavior can be enormous. Probation is the most common sentence given to offenders convicted of DWIs (Maruschak, 1999). Many offenders have past DWI convictions, and the types of strategies used to supervise offenders vary from community to community. In some agencies, different types of technology may be integrated into the supervision/treatment plan. Note that most probation/parole officers supervising DWI offenders will have a rather large caseload.

TABLE 8: DRIVING WHILE INTOXICATED MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (mins.)	Conduct Office Visits (mins.)	Communicate –Others (mins)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	6.24 hours	H: 24 M: 11.4 L: 5.4	H: 24 M: 11.4 L: 5.4	H: 24 M: 11.4 L: 5.4	H: 22.8 M: 9.6 L: 4.8	H: 15 M: 8.4 L: 4.2	H: 15.6 M: 9 L: 4.8
Specific tasks	Needs assessment Supervision orientation Develop case plan Review conditions Drug/Alcohol screening Enter assessment data Locate treatment Record check	Travel to home Interview offender Inspect home	Meet offenders Motivational interviews Counseling Review conditions Verify contact info. Complete reassessments	Meet advocates Attend meetings Verify treatment attendance	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing Attend violation hearings	Warrant checks Financial review Verify treatment Collect prob. fees Locate offender Document contacts Drug/alcohol tests Probable cause hearings Breathalyzer Check tech. equip.	Obtain legal docs Obtain warrants Lodge warrants Monitoring restitution Verify employment Verify treatment Collect court-ordered fees Treatment staffing Arrest
Challenges	Accessing data Offender denial Lack of treatment (rural) Unemployment Data ambiguity Lack of protocol	Traffic Unexpected findings Waiting Animals Distance Isolation Resources	Cultural influences Admin. Support 'Needy' offender Overcrowding Equipment not available (breathalyzer)	Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Agency goals	Collateral conseq. Offender stigma Alcoholism barriers	Mission distortion Varied orders Technology Unable to pay fees
Strategies to overcome	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits judiciously	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with victims	Awareness of collateral cons. Review policies Develop policy Focus on rehab. ideals	Have offender sign conditions statement Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving offenders convicted of driving while intoxicated, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, developing community resources, completing progress reports, and so on.

## Intensive Supervision

*Narrative:* Some agencies may use intensive supervision units for offenders deemed to be particularly dangerous or at a high risk of re-offending. The goals of intensive probation programs include the following:

- Better utilization of prison space
- Reduced offending
- Better fee collections for fines, restitution, etc.
- Lower costs to society
- Public safety
- Offender's needs addressed
- Better public relations about probation
- Data for evaluations

Caseloads are smaller with these units. As a result, officers will have more time to devote to specific tasks. However, this does not mean the tasks will be easier. Because the offenders are high risk offenders, their risk for re-offending must be addressed by officers.

**TABLE 9: INTENSIVE SUPERVISION UNITS MATRIX**

Activity	Assessment/ Case Planning	Conducting Home Visits (minutes)	Conduct Office Visits (minutes)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	6.69 hours	34.8	37.2	29.4	46.8	36	30.6
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions Drug/Alcohol screening Employment assess. Enter assessment data Locate treatment Home inspection Interview family Record check	Travel to home Interview offender Interview children Interview family Inspect home Complete report Conduct search Document contacts	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Talk with victims Meet advocates Attend meetings Meet judge/da Verify treatment attendance Interview collateral contacts	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing Attend violation hearings	Warrant checks Financial review Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings	Obtain legal docs Violent registries Obtain warrants Lodge warrants Monitoring restitution Verify employment Verify treatment Review homework Collect court-ordered fees Treatment staffing Arrest
Challenges	Accessing data Offender denial Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol More detail required to develop case plans	Traffic Unexpected findings Waiting Animals Distance Isolation Resources More visits needed	Cultural influences Admin. Support Leadership 'Needy' offender Victim distrust Overcrowding Need more visits than others	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals	Collateral conseq. Lack training Unclear policies Seen as too lenient Lack agency policy Unfair expectations of officers	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
Strategies to overcome	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments Assign officers specific tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits judiciously	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with victims	Awareness of collateral cons. Review policies Develop policy Focus on public safety ideals	Have offender sign conditions statement Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving intensive supervision units, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with advisory teams, developing community resources, completing progress reports, and so on.



## Specialty Courts

*Narrative:* Over the past two decades, several different types of specialty court units have developed. These include domestic violence courts, child abuse courts, drug courts, mental health courts, etc. Within these types of courts, officers are assigned specialized caseloads. A survey by the Division of Probation and Correctional Alternatives in New York found that more officers (60 percent) had specialized than general caseloads. The advantage of specialized caseloads is such that officers are able to hone their skills with specific offense types and tasks. This could potentially reduce the amount of time needed to complete certain tasks.

TABLE 10: SPECIAL COURT UNITS MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (mins.)	Conduct Office Visits (mins.)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	6.36 hours	H: 43.8 M: 17.4 L: 9	H: 43.8 M: 17.4 L: 9	H: 43.2 M: 17.4 L: 8.4	H: 48 M: 24 L: 12	H: 42 M: 16.2 L: 7.8	H: 42 M: 16.2 L: 7.8
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions Drug/Alcohol screening Employment assess. Enter assessment data Locate treatment Home inspection Interview family Record check	Travel to home Interview offender Interview children Interview family Inspect home Complete report Conduct search Document contacts	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Talk with victims Meet advocates Attend meetings Meet judge/da Verify treatment attendance Interview collateral contacts	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing Attend violation hearings	Warrant checks Financial review Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings	Obtain legal docs Violent registries Obtain warrants Lodge warrants Monitoring restitution Verify employment Verify treatment Review homework Collect court-ordered fees Treatment staffing Arrest
Challenges	Accessing data Offender denial Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol Boundaries vague	Traffic Unexpected findings Waiting Animals Distance Isolation Resources	Cultural influences Admin. Support Leadership 'Needy' offender Victim distrust Overcrowding Need more visits than others	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals Developing protocol	Collateral conseq. Lack training Unclear policies Seen as too lenient Lack agency policy Competition with other cj officials Offender stigma Defining success	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
Strategies to overcome	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments Assign officers specific tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits judiciously	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with Victims	Awareness of collateral cons. Review policies Expanded collaborative training Develop policy Focus on public safety/rehab. ideals	Have offender sign conditions statement Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving special court teams, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with members of the court team, developing community resources, completing progress reports, and so on.

## Transferred Juveniles

*Narrative:* Officers working with juveniles transferred to the criminal justice system will need to consider different tasks than when working with adults. As a result, juvenile probation officers require a different set of skills and knowledge than adult probation officers do. About half of the states certify juvenile probation officers and 84 percent of states mandate training for juvenile probation officers (Reddington & Kreisel, 2000).

In the past, juvenile probation officers were more likely to lean towards supportive roles, while adult probation officers were more oriented toward their law enforcement roles. Today, it is believed that juvenile probation officers balance their law enforcement and support roles more than they did in the past (Steiner, Purkiss, Kifer, Roberts, & Hemmens, 2004 ). The most common tasks they are involved in include intake screening, presentence investigations, and post-adjudication supervision (Steiner et al., 2004).

Juveniles present a variety of needs to probation and parole officers. Many have histories of child maltreatment, substance abuse, and other problems. A study of 1,433 juveniles in juvenile justice programs found that the majority of juveniles had “at least one mental health diagnosis” (Skowrya & Coccozza, 2006). This wide variety of needs has led some to note that a large gap exists between juveniles’ needs and available treatment programs (Kelly & Stemen, 2005).

TABLE 11: TRANSFERRED JUVENILES MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (mins.)	Conduct Office Visits (mins.)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	6.55 hours	H: 48 M: 21.6 L:	H: 48 M: 27.2 L:	H: 48.6 M: 21.6 L:	H: 57.6 M: 27.8 L:	H: 45 M: 21 L:	H: 45 M: 21 L:
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions Mental health screening Drug/Alcohol screening Enter assessment data Locate treatment Home inspection Interview family Record check Interview schools	Travel to home Interview offender Interview parents Interview family Inspect home Complete report Conduct search Document contacts	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Talk with victims Meet advocates Attend meetings Meet judge/da Verify treatment attendance Interview collateral contacts	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing Attend violation hearings	Warrant checks Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings Site visits	Obtain legal docs Violent registries Obtain warrants Lodge warrants Monitoring restitution Verify treatment Review homework Collect court-ordered fees Treatment staffing Arrest
Challenges	Accessing data Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol Dealing with schools	Traffic Unexpected findings Waiting Animals Distance Isolation Resources	Cultural influences Admin. Support Leadership 'Needy' offender Victim distrust Overcrowding Need more visits than others	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals Different standards	Collateral conseq. Lack training Unclear policies Seen as too lenient Lack agency policy Offender stigma Site visits take a long time	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
Strategies to overcome	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments Assign officers specific tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits judiciously	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with Victims	Awareness of collateral cons. Review policies Expanded juvenile training Develop policy Focus on rehab. ideals	Have offender sign conditions statement Technology training Be familiar w/ orders

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving juvenile offenders, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with juvenile teams, developing community resources, completing progress reports, and so on.

### GPS/Electronic Supervision

*Narrative:* Electronic supervision strategies are becoming increasingly used by probation and parole agencies to supervise offenders. Probation and parole officers must recognize that electronic supervision instruments are tools, and they should not see these strategies as programs in and of themselves. While the tool is versatile and can be integrated into several different phases of the justice process (pretrial, probation, post-release), electronic supervision tools will not work by themselves. In order to work most effectively, officers must be familiar with the tool, and it must be integrated with other strategies, like employment programs and treatment (Courtright, 2000). It is important to recognize that electronic supervision tools will not necessarily make officers' jobs easier; instead, the technological aspects of the tools may make it more difficult to complete the tasks.

TABLE 12: GPS CASES MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (mins.)	Conduct Office Visits (mins.)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	6.58 hours	H: 39 M: 15.6 L: 7.8	H: 39 M: 15.6 L: 7.8	H: 34.2 M: 13.8 L: 6.6	H: 36.6 M: 14.4 L: 7.2	H: 37.2 M: 15.6 L: 7.8	H: 35.4 M: 14.4 L: 7.2
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions Drug/Alcohol screening Employment assess. Enter assessment data Locate treatment Home inspection Interview family Record check Fitting equipment	Travel to home Interview offender Interview children Interview family Inspect home Complete report Conduct search Document contacts Check equipment	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Talk with victims Meet advocates Attend meetings Meet judge/da Verify treatment attendance Interview collateral contacts Talk with tech employees	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing Attend violation hearings	Warrant checks Financial review Violent Regis Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings Monitor offender	Obtain legal docs Violent registries Obtain warrants Lodge warrants Monitoring restitution Verify employment Verify treatment Review homework Collect court-ordered fees Treatment staffing Arrest
Challenges	Accessing data Offender denial Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol Concerns about Equipment	Traffic Unexpected findings Waiting Animals Distance Isolation Resources	Cultural influences Admin. Support Leadership 'Needy' offender Victim distrust Overcrowding	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals Ambiguous accountability	Collateral conseq. Lack training Unclear policies Seen as too lenient Lack agency policy Equipment failure Offender stigma Offender too violent for GPS	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
Strategies to overcome	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments Assign officers specific Tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits judiciously	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with victims	Awareness of collateral cons. Review policies Expanded GPS training Develop policy Focus on public safety ideals	Have offender sign conditions statement Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving monitored offenders, these tasks would include filing reports, completing paperwork, reviewing files, reviewing monitor reports, reviewing operational reports, attending meetings with monitoring teams, developing community resources, completing progress reports, and so on.

## Heterogeneous

*Narrative:* A survey by the Division of Probation and Correctional Alternatives in New York found that 40 percent of probation and parole officers had generalized caseloads. Although these types of caseloads have the advantage of making the caseload more interesting to officers, such variety may make it take longer to complete different tasks. It becomes somewhat more difficult for officers to develop specific skills and strategies if officers are working with a more general caseload. These types of caseloads are particularly common in smaller jurisdictions.

**TABLE 13: HETEROGENEOUS CASELOADS MATRIX**

Activity	Assessment/ Case Planning	Conducting Home Visits (mins.)	Conduct Office Visits (mins.)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	6.47 hours	H: 36 M: 17.4 L: 8.4	H: 42 M: 17.4 L: 8.4	H: 42 M: 17.4 L: 8.4	H: 36 M: 15 L: 7.2	H: 39 M: 16.2 L: 7.8	H: 39 M: 26.2 L: 7.8
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions Mental health screening Drug/Alcohol screening Employment assess. Enter assessment data Locate treatment Home inspection Interview family Record check	Travel to home Interview offender Interview children Interview family Inspect home Complete report Conduct search Document contacts	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Talk with victims Meet advocates Attend meetings Meet judge/da Verify treatment attendance Interview collateral contacts	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing Attend violation hearings	Warrant checks Financial review Violent Regis Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings	Obtain legal docs Violent registries Obtain warrants Lodge warrants Monitoring restitution Verify employment Verify treatment Review homework Collect court-ordered fees Treatment staffing Arrest
Challenges	Accessing data Offender denial Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol Collateral consequences from registering	Traffic Unexpected findings Waiting Animals Distance Isolation Resources	Cultural influences Admin. Support Leadership 'Needy' offender Victim distrust Overcrowding Need more visits than others	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals Mental health issues	Collateral conseq. Lack training Unclear policies Seen as too lenient Lack agency policy Issues not understood Offender stigma	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
Strategies to overcome	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments Assign officers specific tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits judiciously	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with victims	Awareness of collateral cons. Review policies Expanded mental health training Develop policy	Have offender sign conditions statement Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving all types of offenders, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with teams, developing community resources, completing progress reports, and so on.



## Administrative

*Narrative:* Administrative caseloads tend to be quite large, perhaps up to 1,000 offenders in some jurisdictions. In some situations, these may include the use of kiosk or telephone reporting or other strategies where offenders “check in” on a somewhat routine basis (DeMichele & Payne, 2009). Very few direct contacts occur between officer and offender, offenders are not viewed as dangerous, and officers’ tasks may be dictated more by the size of the caseload rather than the nature of the offenders. When initially created, these larger caseloads were justified on the grounds that they help agencies to reduce the caseloads of other officers who are working with more dangerous offenders (Vito & Marshall, 1983). Presumably, officers working on these caseloads would spend a small amount of time (per offender) having office or home visits with offenders. Many of the tasks are, for lack of a better word, “administrative” in nature.

**TABLE 14: ADMINISTRATIVE CASELOADS MATRIX**

Activity	Assessment/ Case Planning	Conducting Home Visits (mins.)	Conduct Office Visits (mins.)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time			5.4		5.4		5.4
Specific tasks	Risk/needs assessment	No home visits	Few office visits	Waiting	Ensure compliance with conditions	Ensure reporting meeting conditions	
	Supervision orientation						
	Develop case plan						
	Review conditions						
	Drug/Alcohol screening						
	Employment assess.						
	Enter assessment data						
	Challenges		Do not disrupt pro-social ties	Clear goals	Lack of policy Do not over supervise	Do not over supervise	
	Strategies to overcome		Schedule meetings that fit offenders needs	Inform offender of expectations	Develop policy Training	Training	

Administrative notes: Administrative caseloads are composed of offenders posing the least likelihood to reoffend. Therefore, it is essential that officers do not over supervise this group of offenders.

## **Fugitive Units**

*Narrative:* Fugitive units exist to search for offenders who have absconded or otherwise violated their conditions of probation or parole. Unlike the officers from the other units, officers in these units would spend relatively little time doing assessment or case planning. Their tasks are dictated primarily by the number of offenders who have tried to abscond. These units primarily exist in urban areas. Officers will spend much of their time performing investigations and other law enforcement tasks.

TABLE 15: FUGITIVE UNITS MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (mins.)	Conduct Office Visits (mins.)	Communicate –Others (mins)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time		44.4	41.4	40.2	59.8	44.4	44.4
Specific tasks		Travel to home Search for offender Interview children Interview family Inspect home Complete report Document contacts	Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Attend meetings Meet judge/da Interview collateral contacts	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings Attend sentencing Attend violation hearings	Warrant checks Financial review Violent Regis Verify treatment Collect prob. fees Locate offender Document contacts Surveillance	Obtain legal docs Obtain warrants Lodge warrants Monitoring Arrest
Challenges		Traffic Unexpected findings Waiting Animals Distance Isolation Resources Danger	Cultural influences Admin. Support Leadership	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals	Collateral conseq. Lack training Unclear policies Lack agency policy	Mission distortion Statewide policies Secondary trauma/burnout
Strategies to overcome		Schedule with GIS Hold accountable	Diversity training Rapport building	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals	Awareness of collateral cons. Review policies Expanded mental health training Develop policy	Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In these units, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with law enforcement, developing community resources, completing progress reports, and so on.

## Gang Units

*Narrative:* Gang units are becoming increasingly common in those communities where the gang problem has warranted broadened efforts to control gang activity. Experts argue that the probation response to gangs should be theory-driven, and not based on intuition or emotion (Kent, Donaldson, Wyrick, & Smith, 2000). Gang members have an assortment of criminogenic needs that must be addressed by probation and parole officers (Lane, 2006). One study found that gang member probationers and parolees are different from non-gang member probationers/parolees in the following ways (Jenson and Howard, 1998):

- They live in neighborhoods with gang activity
- They exhibit more alcohol and drug use
- They have fewer perceived pro-social opportunities
- They have stronger antisocial peer networks

Some have argued that gang affiliation in and of itself creates obstacles to treatment. A study by Schram and Gaines (2005) focusing on gang and non-gang members, however, found that gang affiliation itself is not a barrier to treatment responsiveness. Gang affiliation obstacles can be overcome.

TABLE 16: GANG UNITS MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (mins.)	Conduct Office Visits (mins.)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	6.91 hours	H: 42.6 M: 16.8 L: 8.4	H: 41.4 M: 15.6 L: 7.8	H: 42.6 M: 16.8 L: 8.4	H: 39 M: 15.6 L: 7.8	H: 44.4 M: 18 L: 9	H: 44.4 M: 18 L: 9
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions Violence screening Drug/Alcohol screening Employment assess. Education assessment Enter assessment data Locate treatment Home inspection Interview family Record check	Travel to home Interview offender Interview family Inspect home Complete report Conduct search Document contacts	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Talk with victims Meet advocates Attend meetings Meet judge/da Verify treatment attendance Interview collateral contacts Community presentations	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing hearings	Warrant checks Financial review Violent Regis Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings	Obtain legal docs Violent registries Obtain warrants Lodge warrants Monitoring restitution Verify employment Verify treatment Review homework Collect court-ordered fees Treatment staffing Arrest
Challenges	Accessing data Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol	Traffic Unexpected findings Waiting Animals Distance Isolation Resources Safety	Cultural influences Admin. Support Leadership Victim distrust Overcrowding	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals	Collateral conseq. Lack training Unclear policies Seen as too lenient Lack agency policy	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
Strategies to overcom	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments Assign officers specific tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits judiciously	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with victims	Awareness of collateral cons. Review policies Develop policy	Have offender sign conditions statement Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving gang offenders, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with law enforcement, developing community resources, completing progress reports, and so on.

## Substance Abuse

*Narrative:* The vast majority of offenders have histories of substance abuse. Based on the assumption that addressing the substance abuse problem will address the criminogenic needs of offenders, substance abuse units are becoming increasingly used in agencies and jurisdictions across the United States. Sometimes these units are a part of specialized courts, like drug courts, other times the units are stand-alone units housed in the agency. Officers in the units have medium-sized to larger case loads. One of the most common barriers these officers will encounter is overcoming the offender's denial (Whiteacre, 2004). Also, because of treatment needs, officers may need to regularly contact treatment providers to make sure offenders are successfully participating in treatment. In addition, officers will need to conduct regular drug tests and may have more contacts with their offenders.

TABLE 17: SUBSTANCE ABUSE UNITS MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (minutes)	Conduct Office Visits (minutes)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
<i>Time</i>	6.57 hours	H: 42 M: 17.4 L: 8.4	H: 42 M: 17.4 L: 8.4	H: 42 M: 17.4 L: 8.4	H: 48 M: 23.4 L: 12	H: 39 M: 16.2 L: 7.8	H: 39 M: 26.2 L: 7.8
<i>Specific tasks</i>	Risk/needs assessment Supervision orientation Develop case plan Review conditions Drug/Alcohol screening Employment assess. Enter assessment data Locate treatment Home inspection Interview family Record check	Travel to home Interview offender Interview children Interview family Inspect home Complete report Conduct search Document contacts Drug/alcohol test	Meet offenders Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Attend meetings Meet judge/da Verify treatment attendance Interview collateral contacts Talk with counselors	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing Attend violation hearings	Warrant checks Financial review Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings	Obtain legal docs Obtain warrants Lodge warrants Monitoring restitution Verify employment Verify treatment Review homework Collect court-ordered fees Treatment staffing Arrest
<i>Challenges</i>	Accessing data Offender denial Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol	Traffic Unexpected findings Waiting Animals Distance Isolation Resources	Cultural influences Admin. Support Leadership 'Needy' offender Overcrowding Need more visits than others	Mission creep Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals	Collateral conseq. Lack training Unclear policies Seen as too lenient Lack agency policy Separating from prior peers Offender stigma	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
<i>Strategies to overcome</i>	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments Assign officers specific tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits judiciously	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals	Awareness of collateral cons. Review policies Expanded substance abuse training Develop policy Focus on rehab. ideals	Have offender sign conditions statement Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving substance abuse offenders, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with substance abuse teams, developing community resources, completing progress reports, and so on.



## Pretrial Diversion

*Narrative:* Pretrial diversion programs are regularly used, particularly in larger jurisdictions, as a strategy to give offenders the opportunity to avoid further criminal justice sanctioning. In some situations, the programs may focus on specific types of offenders (i.e., drunk drivers, substance abusers, etc.); while in other situations the programs may be of a more heterogeneous nature. A review of 12,414 pretrial cases found that offenders were more likely to be (Ulrich, 2002):

- Female
- U.S. citizens
- Employed
- Older, roughly between 26-45 years of age

In virtually all pretrial diversion programs, offenders are expected to complete or abide by certain conditions. These typically include participation in treatment programs, educational classes, or job training programs. Because the offender must participate in these sorts of programs, the officers must communicate with officials who might be from outside of the justice process. Working with officials outside of the system may present certain barriers, making tasks take longer, simply because of the nature of collaboration.

**TABLE 18: PRETRIAL DIVERSION MATRIX**

Activity	Assessment/ Case Planning	Conducting Home Visits (minutes)	Conduct Office Visits (minutes)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	6.57 hours	H: 42 M: 17.4 L: 8.4	H: 42 M: 17.4 L: 8.4	H: 42 M: 17.4 L: 8.4	H: 36 M: 15 L: 7.2	H: 39 M: 16.2 L: 7.8	H: 39 M: 26.2 L: 7.8
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions Mental health screening Drug/Alcohol screening Employment assess. Enter assessment data Locate treatment Home inspection Pretrial interviews Record check Diversion screening	Travel to home Interview offender Interview children Interview family Inspect home Complete report Conduct search Document contacts	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info.	Talk with victims Meet advocates Attend meetings Meet judge/da Verify treatment attendance Interview collateral contacts	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing Attend violation hearings	Warrant checks Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings	Obtain legal docs Obtain warrants Lodge warrants Monitoring restitution Verify employment Verify treatment Treatment staffing Arrest
Challenges	Accessing data Offender denial Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol Collateral consequences from registering	Traffic Unexpected findings Waiting Animals Distance Isolation Resources	Cultural influences Admin. Support Leadership 'Needy' offender Victim distrust Overcrowding Need more visits than others	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals Mental health issues	Collateral conseq. Lack training Unclear policies Seen as too lenient Lack agency policy Offender stigma	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
Strategies to overcome	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments Assign officers specific Tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits judiciously	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with victims	Awareness of collateral cons. Review policies Develop policy Focus on public safety ideals	Have offender sign conditions statement Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving mental health offenders, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with mental health teams, developing community resources, completing progress reports, and so on.

## Female Specific

*Narrative:* Female specific units have developed in response to the growing number of female offenders placed on probation or parole over the years and the recognition that female offenders have different needs than male offenders. Considering past backgrounds, research shows that female offenders are much more likely than male offenders to have histories of sexual abuse and other forms of child maltreatment. Also, female offenders often are single parents and efforts need to be directed towards helping them maintain a healthy relationship with their child.

Research also shows that females tend to commit less serious offenses than males. Differences in past backgrounds and offense dynamics mean that female offenders are often, by necessity, given different conditions which warrant slightly different investigatory and supervisory tasks by probation and parole officers. Note also that different barriers may arise based on these tasks.

TABLE 19: FEMALE SPECIFIC UNITS MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (minutes)	Conduct Office Visits (minutes)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	6.57 hours	H: 42 M: 17.4 L: 8.4	H: 42 M: 17.4 L: 8.4	H: 42 M: 17.4 L: 8.4	H: 36 M: 15 L: 7.2	H: 39 M: 16.2 L: 7.8	H: 39 M: 26.2 L: 7.8
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions Mental health screening Drug/Alcohol screening Employment assess. Enter assessment data Locate treatment Home inspection Interview family Record check	Travel to home Interview offender Interview children Interview family Inspect home Complete report Conduct search Document contacts	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Talk with victims Meet advocates Attend meetings Meet judge/da Verify treatment attendance Interview collateral contacts	Attend court Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend sentencing Attend violation hearings	Warrant checks Financial review Violent Regis Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings	Obtain legal docs Violent registries Obtain warrants Lodge warrants Monitoring restitution Verify employment Verify treatment Review homework Collect court-ordered fees Treatment staffing Arrest
Challenges	Accessing data Offender denial Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol Collateral consequences from registering	Traffic Unexpected findings Waiting Animals Distance Isolation Resources	Cultural influences Admin. Support Leadership 'Needy' offender Victim distrust Overcrowding Need more visits than others	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals Mental health issues	Collateral conseq. Lack training Unclear policies Seen as too lenient Lack agency policy Gender issues not understood Offender stigma	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
Strategies to overcome	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments Assign officers specific tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits judiciously	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with victims	Awareness of collateral cons. Review policies Expanded gender training Develop policy Focus on rehab. ideals	Have offender sign conditions statement Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving female offenders, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, developing community resources, completing progress reports, and so on.

## Violence Prevention

*Narrative:* Violence prevention units exist in order to provide a mechanism through which probation and parole officers can direct their efforts towards preventing violence – either specifically or generally. Units focusing on specific deterrence will have officers assigned to offenders, and these officers will work towards ensuring that offenders avoid violence in the future. Units focusing on general deterrence will often engage in public outreach as a strategy to prevent future violence. Different tasks will be performed based on the types of violence the officers are working towards preventing.

TABLE 20: VIOLENCE PREVENTION UNITS MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (minutes)	Conduct Office Visits (minutes)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins).	Enforcing Conditions (mins.)
Time	6.24 hours	H: 27 M: 19.4 L: 5.4	H: 27 M: 19.4 L: 5.4	H: 27 M: 19.4 L: 5.4	H: 27.8 M: 9 L: 4.2	H: 19.2 M: 9.6 L: 4.8	H: 19.2 M: 9.6 L: 4.8
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions Violence assessment Drug/Alcohol screening Employment assess. Enter assessment data Locate treatment Home inspection Interview family Record check	Travel to home Interview offender Interview children Interview family Inspect home Complete report Conduct search Document contacts	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Talk with victims Meet advocates Attend meetings Meet judge/da Verify treatment attendance Interview collateral contacts Community lectures Interview treatment	Attend court Write reports for judge Do violation forms Violation report Administrative hearings File restitution Attend sentencing Attend violation hearings	Warrant checks Financial review Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause hearings	Obtain legal docs Obtain warrants Lodge warrants Monitoring restitution Verify employment Verify treatment Review homework Collect court-ordered fees Treatment staffing Arrest
Challenges	Accessing data Offender denial Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol	Traffic Unexpected findings Waiting Animals Distance Isolation Resources	Cultural influences Admin. Support Leadership 'Needy' offender Victim distrust Overcrowding Need more visits than others	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals	Collateral conseq. Lack training Unclear policies Seen as too lenient Lack agency policy Focus on retribution over prevention	Mission distortion Varied orders Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
Strategies to overcome	Data agreements Collaborative agreements Data training Rapport building Rely on standardized instruments Assign officers specific tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits judiciously	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with victims	Awareness of collateral cons. Review policies Develop policy promoting prevention Focus on rehab. ideals	Have offender sign conditions statement Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving potentially violent offenders, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with law enforcement officials, developing community resources, completing progress reports, and so on.

## Reentry

*Narrative:* Reentry units exist in order to help offenders reintegrate back into society. Given that the United States has one of the largest jail and prison populations in the world, the U.S. subsequently would have more offenders being released from jails and prisons back into their communities. The stark differences between prison life and community life are such that offenders cannot be expected to automatically adjust to community life when they return to the community. Officers will need to work with offenders helping them to adjust to the collateral consequences of conviction. Offenders will need assistance developing healthy relationships with their families, finding employment, avoiding a criminogenic lifestyle, and addressing needs that led to their criminal behavior in the first place. Officers from these units will direct tasks more towards restorative aims than supervisory aims.

TABLE 21: REENTRY UNITS MATRIX

Activity	Assessment/ Case Planning	Conducting Home Visits (minutes)	Conduct Office Visits (minutes)	Communicate –Others (mins.)	Reporting to Court (mins.)	Hold accountable (mins.)	Enforcing Conditions (mins.)
Time	6.24 hours	H: 27 M: 19.4 L: 5.4	H: 27 M: 19.4 L: 5.4	H: 27 M: 19.4 L: 5.4	H: 27.8 M: 9 L: 4.2	H: 19.2 M: 9.6 L: 4.8	H: 19.2 M: 9.6 L: 4.8
Specific tasks	Risk/needs assessment Supervision orientation Develop case plan Review conditions Mental health screening Drug/Alcohol screening Violence assessment Employment assess. Enter assessment data Locate treatment Locate employment Interview family Record check	Travel to home Interview offender Interview children Interview family Inspect home Complete report Conduct search Document contacts	Meet offenders Meet victims Meet others Motivational interviews Skill building Counseling Review conditions Verify contact info. Complete reassessments	Talk with victims Meet advocates Attend meetings Meet judge/da Verify treatment attendance Interview collateral contacts	Write reports for judge Complete violation forms Violation report Administrative hearings File restitution Attend violation hearings	Warrant checks Financial review Violent Regis Verify treatment Collect prob. fees Locate offender Document contacts Surveillance Drug/alcohol tests Probable cause Hearings Monitor adjustment	Obtain legal docs Obtain warrants Employment check Monitoring restitution Verify employment Verify treatment Review homework Collect court-ordered fees Treatment staffing Arrest
Challenges	Accessing data Offender denial Lack of treatment (r) Unemployment Data ambiguity Travel barriers Families distrustful Lack of protocol Collateral consequences from registering	Traffic Unexpected findings Waiting Animals Distance Isolation Resources	Cultural influences Admin. Support Leadership 'Needy' offender Victim distrust Overcrowding Need more visits than others	Mission creep Victim needs Language issues Cultural issues Distrust Public demand Agency conflict Time mgt.	Waiting Mission creep Agency goals Mental health issues	Collateral conseq. Lack training Unclear policies Seen as too lenient Lack agency policy MH issues not understood Offender stigma	Mission distortion Varied orders Technology Statewide policies Lack training Victim demands Unable to pay fees Secondary trauma/burnout
Strategies to overcome	Data agreements Collaborative agreements Educate employers Rapport building Rely on standardized instruments Assign officers specific tasks	Schedule with GIS Hold accountable Do reports asap Make sure family knows rules Conduct visits judiciously	Schedule set time Promote support Diversity training Rapport building Schedule more frequent/shorter meetings	Complete reports while waiting Detailed MOUs Training Interpreters Community involvement	MOUs Written agreements Multi-tasking Clear goals Rapport with victims	Awareness of collateral cons. Review policies Expanded mental health training Develop policy Focus on rehab. ideals	Have offender sign conditions statement Technology training Be familiar w/ orders Employment guidance

Administrative notes: Research shows that officers will spend nearly six hours a month doing administrative tasks. In cases involving offenders released from jail or prison, these tasks would include filing reports, completing paperwork, reviewing files, reviewing operational reports, attending meetings with mental health teams, developing community resources, completing progress reports, and so on.





## PART VI: DISCUSSION

**A** number of recommendations can be made for future workload projects in probation and parole. First, it is important to recognize that workload studies are processes and not events. What this means is that the study should not be seen as completed once the data have been collected and analyzed. Rather, the study should be the foundation of probation and parole practices that are driven by the workload study. These practices should not be dictated by the findings, but guided by them.

Second, workload studies cannot be narrowly implemented. As one author notes, “any approach used to measure workload must – above all – be flexible” (Hurst, 1999, p. 6). Practitioners and researchers must be prepared to adjust workload measures and strategies. This flexibility will help to further the workload study.

Third, when average times are calculated and reported, it is important that these times be seen as averages and not necessarily “accurate to the minute” (Bercovitz et al., 1993). Consider presentence reports that, on average, take roughly six and a half hours to complete. Some may take much longer to complete and others might be completed much more quickly. Many factors work together to either lengthen or shorten the amount of time these tasks take to complete.

Fourth, workload projects should not define “quantity of time” as the most important measure, but “quality of time.” One study, for example, found the following:

- The length of the probation/parole interview/contact was not related to recidivism.
- The more topics covered in the interview/contact, the higher the recidivism.

- The more time devoted to one or two criminogenic needs, the lower the recidivism.
- The more time devoted to specific conditions of probation, the higher the recidivism (Paul and Feuerbach, 2008).

To demonstrate the importance of “quality” versus “quantity,” consider the analogy of a classroom. Two teachers could spend the exact same amount of time in a classroom. The time itself does not predict the outcome, but the quality of the time. For probation and parole officers, spending a certain amount of time with offenders does not guarantee a specific response. Instead, officers must work proactively to carry out their duties.

Fifth, workload projects should be embraced as tools to improve the working environment rather than bureaucratic practices promoting unnecessary rules and regulations. Like other evidence-based practices, workload tools can improve probation and parole supervision practices. Describing this shift in making probation and parole more responsive, one author team made the following comments:

*Prior to the adoption and implementation of evidence-based practices...the practice of supervising offenders often felt unrewarding, mundane, and restricted. Officers struggled in their attempts to manage directionless caseloads. It occurred to us on more than one occasion that we were, as an organization, reactive in nature. Something needed to be done to alleviate the pressures officers were facing (Paul & Feuerbach, 2008).*

*Workload tools are proactive in nature and help to provide direction to officers' caseloads. Rather than promoting “unrewarding, mundane, and restricted” practices, workload tools empower officers by allowing them input into the development and implementation of the tools. As evidence-based strategies, these tools are proactive, rather than reactive, in nature.*

Lastly, probation and parole agencies must expand their use of workload projects in an effort to integrate workload tools into their caseloads. Other fields (like social work, health care, courts, mechanical engineering, and education) routinely use workload tools to direct, or guide, their efforts. That criminal justice officials have resisted the use of these tools is indicative of the field's reactive nature. More than seven decades ago, Bennett Mead (1937), a statistician from the U.S. Department of Justice, suggested that agencies and institutions working to reduce crime and delinquency have been slower than other organizations to adequately evaluate the amount of time it takes to complete required tasks. In many respects, criminal justice agencies continue to lag behind other agencies in their use of evaluation techniques. Expanding their use

of workload tools would be a step toward improving the use of adequate evaluation techniques to address criminal justice issues.

With regard to the current project, several assumptions should be addressed in the subsequent stages of the project. These assumptions, provided in italics below and followed by questions that should be addressed in the next stages of this project, include the following:

- Assumption 1: The time to complete supervisory and investigatory tasks is distributed fairly equally across the essential task categories identified by the project workgroup. Are these tasks distributed equally as assumed?
- Assumption 2: Rural and urban differences hinge primarily on travel time for home visits, office visits, and other tasks. Do the cultural and social dynamics influence time to complete tasks between the two types of communities?
- Assumption 3: Caseloads and workloads can be linked, with officers spending less time on tasks if they have larger caseloads. Is this relationship proportional as assumed?
- Assumption 4: Certain offense types will require different amounts of time given to similar tasks. Does offense type influence task times?
- Assumption 5: Case planning occurs primarily in the beginning stages of the officer/offender relationship. Does this reflect actual relationships? If so, how does this influence time spent on tasks later during the offender's sanction?
- Assumption 6: Probation and parole tasks are so similar that few differences exist in terms of times to complete tasks. Do probation and parole officers spend different amounts of time on similar tasks?
- Assumption 7: Recognizing the barriers to completing tasks will allow officers to complete their tasks more efficiently. Does understanding about these barriers promote more efficient completion of tasks?
- Assumption 8: Times to complete tasks can be estimated. Is there enough similarity between agencies that the time to complete tasks can be estimated somewhat accurately?

Finally, practitioners and researchers must work together to carry out workload projects. In particular, the two groups must decide on the following:

- Which cases will be sampled in a time study?
- How long will the data be gathered in the time study?
- Will there be any pre-tests to make sure officers are gathering the data correctly?
- Who will supervise the officers to make sure the process is flowing correctly? (Miles, 1969).

Addressing these questions in the beginning stages of the project helps to make sure that the workload project is guided by evidence-based practices.

Some may resist workload tools and time studies on the grounds of several criticisms. The tools and time studies may be perceived as flawed. However, researchers, practitioners, and policymakers should not avoid these tools on these grounds alone. Traditional caseload methods may be flawed as well. The bar that should be set for new strategies is not whether they are perfect, but whether they are better than existing strategies. In making this determination, decision makers and practitioners are in a better position to assess how workload tools and time studies can be integrated into probation and parole.



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## APPENDIX

### **Instructions for Completing Time Study Template**

As noted in the report, time studies can be quite valuable for community corrections professionals, administrators, agencies, the community, and the discipline of criminal justice. In order for the time study to be effective, it must be completed in a way that adheres to the principles of evidence-based practices. Put simply, data collection must be done in a consistent way so that the data are valid and reliable. To assist in gathering valid and reliable data, a time study template is provided. Note that the template is designed to include four separate tasks on each page. Officers should complete the template sequentially with each task they perform. While completing the template may take a little time, the end result of increased efficiency and the ability to demonstrate the need for more resources justifies the minimal amount of time put into the data collection effort.

One officer or staff member should be assigned to correspond with the evaluators. This officer/staff member will (1) distribute the workload templates to officers, (2) answer questions that officers have about the template, (3) collect the completed workload templates on a daily basis, and (4) return the completed templates to the evaluators. It is recommended that the staff member make copies of the completed templates before sending them to the evaluators. Once the evaluator is done coding the time study data, the copies made by the officer/staff member should be destroyed.

Officers should be randomly selected to participate in the time study. Officers should be assigned an ID so that their input on the feedback can be used in an anonymous and confidential way. Only the evaluators should know the identity of the officers assigned the IDs. This will encourage officers to be more open about activities and barriers.

Officers should be trained how to complete the template. The instructions for completing the template are listed below:

- A. The officer should insert his or her ID and the date at the top of each page.
- B. Whenever the officer begins a new task or activity, the officer should insert the code number associated with that task in the first column (which is labeled "Activity" on the template). The codes for the tasks are included at the end of these instructions. Each officer participating in the time study must be given a copy of this list to use to complete the template. If the task does not appear on this list, the officer should write one or two words in the activity column that describe the task.
- C. In the second column, the officer should write the time that the task started and ended.
- D. In the third column (Initiator), the officer should indicate who started the task by circling the item identifies the initiator of the task. Options include: (a) self, which refers to the officer, (b) a coworker, (3) an offender, (4) a supervisor, (5) a victim, and (6) other. The officer should indicate the profession or label for the other category. Specific names of individuals must not be included.
- E. In the fourth column, the officer should circle the number that identifies the type of offender about whom the task is focused on. If the task does not focus on any specific offender, the column should be left blank for that task. If the task focuses on multiple offenders, make note of that in the comment section.
- F. In the fifth column, the officer should circle the numbers that correspond to any barriers the officers confronted in completing the tasks. Here is an overview of the labels given to the barriers:
  1. Client, difficult – the client/offender was difficult or uncooperative
  2. Unaware, process – the officer was unaware of the process for doing parts of the task
  3. Task seems futile – the task did not seem that significant to warrant the effort
  4. Burnout – frustration with the demands of the task made it difficult to complete
  5. Traffic – road construction, accidents, etc.

6. Unexpected finding – based on what the officer found in performing the task, he or she had to spend more time on the task (e.g., a positive drug test)
7. Home in disarray – during a home visit, something about the home made it difficult to complete the task (dogs, animals, locked doors, etc)
8. Co-worker, difficult – a difficult co-worker made it harder to complete the task
9. Cultural misunderstanding – some cultural difference between the officer and client made it difficult to complete the task (e.g., language barriers, differences in cultural values)
10. Waiting on others – someone made the officer wait.
11. Technology – technological failures (e.g., EM, computer outages, etc.)
12. Unclear policy – lack of policy made it difficult to complete the task
13. Unclear mission – activity didn't seem to relate to mission of probation and parole
14. Paperwork – paperwork made it difficult to complete the task
15. Lack of resources – funding problems made it difficult to complete the task
16. Geographical isolation – distance between officer and offender, or where the task had to be performed, made it difficult to complete the task
17. Too many clients – working with too many clients made this task difficult to complete

G. The sixth column, labeled "Location/Type," asks for information about where the task was completed. The categories include:

1. Office (person) – the task was completed in the office, in person if a client was involved
2. Home (person) – the task was completed in the client's home with the client present
3. Work (person) – the task was completed in the client's home with the client present
4. By office phone – task was completed in the office over the office phone
5. By cell phone – task was completed over the officer's cell phone
6. By email – task was completed by cell phone
7. Other – officers should specify where/how the task was completed.

- H. In the seventh column, labeled "Outcome," the officer should indicate the outcome of the task. Options include: 1. Completed (the task was completed without the need for additional tasks), 2. More work (the task led to additional tasks needing to be completed), and 3. Referred (the task was referred to another official).
- I. In the eighth column, labeled "Offender Demos," the officer should indicate the offenders demographics if the task involved contact with an offender. For the first item in the column, the officer should circle the offender's gender. Next, the officer circles the offender's race, and then the offender's age status. The officer should also indicate whether the offender is on "pretrial" or "post-trial" by circling "pretrial" or "post." The officer should also check the space to indicate the amount of prior contact the officer had with this offender. Options include "none," "some," and "extensive" contacts.
- J. In the ninth column, the officer should indicate the other parties involved in the task. Options include: 1. P/P officer (another probation or parole officer), 2. LE officer (a law enforcement officer), 3. Treatment (a treatment provider), 4. Victim, and 5. Other (specify their label, but not their name).
- K. In the final column, the officer should write any comments he or she thinks are relevant about the task.
- L. After completing the final column, the officer should begin the next row when a new task begins.

At the end of each day, the officer should turn in the work study templates to the officer/staff member coordinating the time study.

CODED LIST OF ACTIVITIES (OFFICER SHOULD INSERT THE NUMBER CORRESPONDING TO EACH ACTIVITY IN THE FIRST COLUMN LABELED "ACTIVITY" FOR EACH TASK DATA COLLECTION ROW).

1. Arrest felony offender	43. Parole hearing (conducted or attended)
2. Assessment of criminogenic needs	45. Prepare case notes
3. Assign and review homework	46. Presentence Investigation
4. Award incentive	47. Receptionist duties
5. Clean office	48. Refer to treatment or program
6. Collect/monitoring financial obligations –restitution, fees, court costs	49. Respond to inquiries from offender
7. Collect DNA	50. Respond to inquiries from victim
8. Complete classification actions	51. Respond to inquiries from offender’s family
9. Complete forms related to own employment	52. Respond to inquiries from administration
10. Communicate with treatment providers	53. Respond to inquiries from public/stakeholders
11. Conduct search	54. Registering sex offender
12. Conduct transports	55. Registering violent offender
13. Create electronic offender records	56. Residential verifications
14. Create dummy files	57. Review legal documents
15. Criminal history check	58. Review tracking reports
16. Delayed investigation	59. Review work of other officers
17. Develop community resources	60. Risk assessment hearing officer
18. Develop transition plans	61. Staffing case
19. Drug or alcohol tests conducted	62. Testify in court
20. Duty officer activity	63. Timesheet completed
21. Enter supervision activities in offender information system	64. Training (mandatory training attended)
22. EM/GPS equipment inventory	65. Training (master self-defense)
23. Field visit	66. Training (provide training to others)
24. Home visit	67. Training (motivational interviewing)
25. Identify stage of change	68. Troubleshoot – EMS/GPS violations
26. Impose sanctions	69. Type and proof reports/investigations
27. Interview family members	70. Vehicle maintenance
28. Interstate investigations	71. Verify employment
29. Interview offender	72. Verify information in assessment
30. Investigation conducted	73. Verify financial obligations
31. Issue treatment vouchers	74. Verify treatment attendance and progress
32. Judicial review investigation	75. Warrant status check
33. Locate absconders	76. Write violation report
34. Maintain weapon	77. Write supplemental report
35. Meeting (containment team/supervision team)	78. Write special reports
36. Meeting (with judges and district attorneys)	
37. Mentoring or training other officer	
38. Monitor/revise transition plan	
39. Motivational interview with offender	
40. Obtain legal document	
41. Orientation to supervision	
42. Pardon investigation	

DATE \_\_\_\_\_ OFFICER ID \_\_\_\_\_ INSTRUCTIONS - FOR THE FIRST TWO COLUMNS, ENTER INFORMATION.

FOR THE NEXT SEVEN, CIRCLE APPROPRIATE CATEGORY. ENTER COMMENTS IN LAST COLUMN.

Activity	Time	Initiator:	Offender Type	Barriers Experienced (circle all that apply)	Location/Type	Outcome	Offender Demos.	Others involved	Comments
	Begin:	1. Self	1. DV 10. Specialty Court	1. Client, difficult 10. Waiting on others	1. Office (person)	1. Completed	1. Male Female	1. P/P officer	
	_____	2. Coworker	2. Sex 11. Heterogeneous	2. Unaware, process 11. Technology	2. Home (person)	2. More work	2. Black	2. LE officer	
	_____	3. Offender	3. MH 12. Fugitive	3. Task seems futile 12. Unclear policy	3. Work (person)	3. Referred	White	3. Treatment	
	Time	4. Supervis.	4. DWI 13. Sub. Abuse	4. Burnout 13. Unclear mission	4. By office phone		3. Juvenile Adult	4. Victim	
	End:	5. Victim	5. ISP 14. Pretrial	5. Traffic 14. Paperwork	5. By cell phone		4. Pretrial Post	5. Other:	
	_____	6. Other:	6. GPS/EM 15. Female unit	6. Unexpected finding 15. Lack of resources	6. By email		5. Prior contact:	_____	
	_____	_____	7. Juv. 16. Viol. Prev. unit	7. Home in disarray 16. Geog. Isolation	7. Other:		___None		
			8. Admin. 17. Reentry unit	8. Coworker, difficult 17. Too many clients			___Some		
			9. Gang 18. General	9. Cultural misunderstanding			___Extensive		

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