

PROBATION CASE CLASSIFICATION & WORKLOAD MEASURES SYSTEM FOR INDIANA

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**INDIANA WORKLOAD MEASURES
DETERMINATION OF HOURS AVAILABLE FOR
PROBATION OFFICERS**

TOTAL HOURS (Based on 37.5 hours per week multiplied by 52.2 weeks per year): 1957.5

Subtract: (annually)

Average vacation time used	<u>75</u>	
Holidays	<u>105</u>	
Average sick time used	<u>30</u>	
Paid lunch	<u>0</u>	
National Guard	<u>5</u>	
Jury Duty	<u>2.5</u>	
Other	<u>0</u>	
 Subtotal		 <u>1740</u>

Discretionary, policy and conduct time

Subtract: (annually)

Training	<u>8</u>	
Administrative time/staff meetings	<u>36</u>	
Break time (6.25% per day)	<u>107.5</u>	
Personal time	<u>22.5</u>	
Disciplinary suspension	<u>0</u>	
Community service	<u>0</u>	
On-call days	<u>0</u>	
Other	<u>0</u>	
 Subtotal		 <u>174</u>

TOTAL AVAILABLE HOURS PER YEAR 1566


TOTAL AVAILABLE HOURS PER MONTH 130.5

Indiana Probation Case Classification and Workload Measures System

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TO: Probation Case Classification and Workload Measures
Conference Participants

FROM: Jeffrey Bercovitz, Director 
Probation and Juvenile Services

RE: Approval of Probation Case Classification System;
Questions and Answers: Workload Measures

DATE: October 6, 1993

The Board of Directors of the Judicial Conference of Indiana approved Indiana's Probation Case Classification and Workload Measures System for use in Indiana beginning September 16, 1993. The Board also decided that the use of this system would begin on a mandatory basis on January 1, 1995. The Indiana Judicial Center will work with all probation departments to implement the probation case management system. This office is also seeking funding for positions at this office to provide technical assistance, education, and collection of information to help probation departments implementing the new system.

The Judicial Center has enclosed sample sheets for the determination of hours available for a probation officer's work each month. These are drawn randomly from small, medium and large probation departments and will assist in preparation of these sheets by your probation department. The section concerning the pilot workload measures program used to develop the standards in the manual is also enclosed. It should be placed at the end of Tab 4 of your binder.

The following questions were raised during the July presentation by Mr. Brian Bemus, concerning Indiana's Probation Case Classification and Workload Measure System. The answers are intended to provide a basis for understanding the case management system materials distributed during the conference. They cover adult reassessment, juvenile risk assessment and reassessment instruments, sharing the instruments, contact standards, workload measures, implementation issues, and other questions. This memorandum should be placed in your binder from the conference.

Thank you for the comments received about this new system. The new system will have a positive impact on probation statewide, especially with the continued input of probation departments statewide.

ADULT REASSESSMENT SCALE

1. Q: Can deferral programs be used to override the criteria on the reassessment instrument?
A: The probationer should be scored the way the instrument is designed, then the deferral program may be used to either underwrite or override the score on the instrument. This will be subject to local policy.
2. Q: What is the definition of “substance use”?
A: The definition of “substance use” in the classification manual is very broad. A probation officer must use his or her best judgment under the definition that can be made with the available information.
3. Q: Does education include an instance in which a person has some partial college education, but not a college degree?
A: This category only includes a full college degree award. A partial college degree is not included.
4. Q: How is “Violations of Probation” defined?
A: “Violations of probation” is very broadly defined. The violations that should be counted are when a petition to revoke is filed.

JUVENILE RISK ASSESSMENT

1. Q: What does the phrase “records of any probation department” mean?
A: It means something officially happened to the child and the probation department has a record of it. A “station house adjustment” by the police would not be counted in this category since the probation department would probably not have a record of it. Even if the local police provided probation with the record of this station house adjustment, but no “official” action was taken, then it should not be counted against the juvenile.

JUVENILE REASSESSMENT INSTRUMENT

1. Q: Why was a financial category not included on this reassessment instrument?
A: It was not included as a separate category, but should be part of No. 9, Response to Supervision. If, for instance, fees are not paid, including restitution, and it is serious enough to warrant a corrective action, like a modification, then a “six” should be scored in this category. If it is less serious, then it should be scored accordingly.
2. Q: May a probation department choose not to use the needs assessment instrument for status offenses?
A: Yes. A probation department may choose not to use the needs assessment instrument for status offenders as well as any other class of offenders because of the

concern that they would be unable to provide or broker for the services indicated.

SHARING OF THE COMPLETED ASSESSMENT INSTRUMENT

1. Q: May all the assessment instruments be shared with the offender and Indiana Department of Correction?

A: Yes.

Q: What about offenders who wish to argue about the “the scoring” of these instruments?

A: It can be the department policy whether or not to show offenders these scales, and how the department chooses to respond to criticism, etc.

Additional Notes: The Indiana Judicial Center and members of the Pilot Study Workshop recommend that these completed instruments be sent to the Indiana Department of Correction (IDOC) when the offender goes to IDOC. They should not be made a part of the Presentence Report, but should go with the offender’s packet to IDOC. In exchange, the IDOC has indicated they would send information to probation departments concerning the offender’s progress in various programs while incarcerated. IDOC has indicated that they are working with a Release Coordinator position at their central office to answer questions and get information out to criminal justice agencies.

INDIANA CONTACT STANDARDS

1. Q: Should contacts with Community Corrections Agencies be counted as if they were probation contacts?

A: If a community corrections program is integrated into the probation department, or the probation department **knows and verifies each contact**, then it can be counted. Otherwise, it cannot be counted as a probation contact.

2. Q: Can probation contacts be reported if they report in a small group?

A: This contact can count as long as it is with probation and the probation officer knows about and can verify this contact.

3. Q: If a probationer reports to a probation department and/or a place under contract with the probation department, should this count as a contact if the probationer was not actually seen by the probation officer?

A: Generally, only face-to-face contacts between the probation officer and a probationer count as a face-to-face contact. If the probation officer routinely will

receive a report back stating the defendant appeared, this may be counted as a face-to-face contact. However, it should generally count as a collateral contact. As part of the workload measure study, in which the standards were based, only face-to-face contacts with probation officers were counted.

WORKLOAD MEASURES

1. Q: Is there any recommended and/or general distribution of probation cases under Indiana's Workload Measure?
A: There is no recommended distribution of probation cases. However, a general distribution of cases with this type of system would be 25% high, 35% medium, 30% low and 10% administrative. Low and administrative level cases often get "lumped" together and may be as high as 40%.
2. Q: How should the time a probation officer waits in court in **between cases** be counted?
A: This was taken into account in the standard ranges when times for contacts were calculated.
3. Q: What is "on call" time?
A: This phrase refers to those officers who may be "on call" during certain hours, with or without a beeper, who later receive compensatory or overtime for these particular duties. This does not refer to a probation officer in a small department who is subject to phone calls at all hours of the day.
4. Q: When new persons are placed on probation and/or presentence reports need to be completed, won't probation departments always be increasing their workload and more probation officers will be needed?
A: This case management system will define a probation department's capacity which will be helpful in planning for the future. However, as new cases and/or presentence reports are added, a department's capacity may soon be reached. Some way must be determined in a department to remove probationers from a caseload. When this new removal policy continues long-term however, a department's caseload will eventually change until the department is only serving the long term, "chronic" offender.
5. Q: What happens when a parent comes to the probation department with the juvenile and asks for services for a juvenile who is not under supervision?
A: With workload measures, this case should be counted as to whether it would have been a high, medium, low or administrative risk or some other category. It should be counted in a log for each month, and assigned the most appropriate time value to it. It may indeed have its own category called "walk-ins."

IMPLEMENTATION ISSUES

1. Q: How should the conversion from the present system to the new case management system occur?
A: Take the first day of a particular month, maybe September 1 for example, prepare an initial assessment instrument for those new offenders coming onto probation after September 1, and a reassessment instrument for those currently on supervision with more than 90 days remaining. If an offender has less than 90 days until their supervision ends, do not assess them at all. The same process should be used for juveniles, except 30 days should be used rather than 90. It should take about 2 months to complete the classifications for an entire caseload.
2. Q: How should persons supervised in another county or state be counted?
A: The home county of the probationer should place the case on an administrative designation, and the new probation officer should assess that new probationer as part of their regular caseload.

OTHER QUESTIONS

1. Q: What if line officers say they don't need this system because it limits their professional discretion?
A: This system is designed to structure the discretion of a probation officer, not replace it. It will also provide a common framework for the assessment of all probationers statewide and within a department which will be more fair to all probationers. The public can expect a certain level of accountability. Individual probation officers can expect a fair level of accountability within this system. It also is a legitimate use of the system to tell the public what probation officers are doing, can do, as well as the mission of the probation department.
2. Q: Why is there so much difference between the PSI and PDR standard ranges for times to complete these tasks?
A: Because the data from the workload measures workshop pilot study indicated this.
3. Q: Where do the six, twelve and eighteen month reviews for juveniles occur under this time standard?
A: It is part of the standard ranges of times used to supervise the high, medium and low risk juvenile cases.

Questions and Answers: Workload Measures
October 6, 1993

4. Q: Where do Title IV-E juvenile delinquency cases fall in this system?
A: The case plan should be counted in a similar fashion as predisposition reports, and other aspects of the IV-E case should be counted in a similar manner as other tasks of a probation officer.

If you have any further questions, please feel free to contact me at (317) 232-1313.

**INDIANA WORKLOAD MEASURES
DETERMINATION OF HOURS AVAILABLE FOR
PROBATION OFFICERS**

TOTAL HOURS (Based on hours per week multiplied by 52.2 weeks per year): _____
(Note: 52.2 includes leap year)

Subtract: (annually)

Average vacation time used _____
 Holidays _____
 Average sick time used _____
 Paid lunch _____
 National Guard _____
 Jury Duty _____
 Other _____

Subtotal _____

Discretionary, policy and conduct time

Subtract: (annually)

Training _____
Administrative time/staff meetings _____
 Break time (6.25% per day) (2-15 min. per 8 hr. day) _____
 Personal time _____
 Disciplinary suspension _____
 Community service _____
 on-call days _____
 Other _____

Subtotal _____

TOTAL AVAILABLE HOURS PER YEAR _____

TOTAL AVAILABLE HOURS PER MONTH _____

**INDIANA WORKLOAD MEASURES
DETERMINATION OF HOURS AVAILABLE FOR
PROBATION OFFICERS**

TOTAL HOURS (Based on 37.5 hours per week multiplied by **52.2** weeks per year: **1957.5**

Subtract: (annually)

Average vacation time used	127.5	
Holidays	112.5	
Average sick time used	22.5	
Paid lunch	0	
National Guard	0	
Jury Duty		
Other	3.75	
Subtotal		266.75

Discretionary, policy and conduct time

Subtract: (annually)

Training	120	
Administrative time/staff meetings	78	
Break time (6.25% per day)	122	
Personal time	15	
Disciplinary suspension	0	
Community service	22	
On-call days	0	
Other	218.5	
Subtotal		575.5

TOTAL AVAILABLE HOURS PER YEAR **1115.25**

TOTAL AVAILABLE HOURS PER MONTH **92.94**

**INDIANA WORKLOAD MEASURES
DETERMINATION OF HOURS AVAILABLE FOR
PROBATION OFFICERS**

TOTAL HOURS (Based on 40 hours per week multiplied by 52.2 weeks per year): 2088

Subtract: (annually)

Average vacation time used --3 weeks	120
Holidays 13 x 8	104
Average sick time used 5/yr	40
Paid lunch	0
National Guard	0
Jury Duty	0
Other	0

Subtotal 264

Discretionary, policy and conduct time

Subtract: u a l l y)

T r a i n i n g	40
Administrative time/staff meetings	90
Break time (6.25% per day) 30 min/day	130
Personal time 2 day/yr	16
Disciplinary suspension	0
Community service	12
On-call days 4/yr	32
Other	52

Subtotal 372

TOTAL AVAILABLE HOURS PER YEAR 1452

TOTAL AVAILABLE HOURS PER MONTH 121

(30.25/wk)

**INDIANA WORKLOAD MEASURES
DETERMINATION OF HOURS AVAILABLE FOR
PROBATION OFFICERS**

TOTAL HOURS (Based on 15 hours per week multiplied by 52.2 weeks per year): 1877

Subtract: u a l l y)

Average vacation time used	<u>70</u>	
Holidays	<u>70</u>	
Average sick time used	<u>14</u>	
Paid lunch	<u>0</u>	
National Guard	<u>0</u>	
Jury Duty	<u>0</u>	
Other	<u>0</u>	
 Subtotal		 <u>1673</u>

Discretionary, policy and conduct time

Subtract: (annually)

Training	<u>35</u>	
Administrative time/staff meetings	<u>52</u>	
Break time (6.25% per day)	<u>130</u>	
Personal time	<u>0</u>	
Disciplinary suspension	<u>0</u>	
Community service	<u>0</u>	
On-call days	<u>0</u>	
Other	<u>0</u>	
 Subtotal		 <u>217</u>

TOTAL AVAILABLE HOURS PER YEAR 1456

TOTAL AVAILABLE HOURS PER MONTH 121

**INDIANA WORKLOAD MEASURES
DETERMINATION OF HOURS AVAILABLE FOR
PROBATION OFFICERS**

TOTAL HOURS	(Based on 37.5 hours per week multiplied by 52.2 weeks per year)	<u>1957.5</u>
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Subtract: (annually)

Average vacation time used	<u>75</u>	
Holidays	<u>105</u>	
Average sick time used	<u>30</u>	
Paid lunch	<u>0</u>	
National Guard	<u>5</u>	
Jury Duty	<u>2.5</u>	
Other	<u>0</u>	
 Subtotal		 <u>1740</u>

Discretionary, policy and conduct time

Subtract: (annually)

Training	<u>8</u>	
Administrative time/staff meetings	<u>36</u>	
Break time (6.25% per day)	<u>107.5</u>	
Personal time	<u>22.5</u>	
Disciplinary suspension	<u>0</u>	
Community service	<u>0</u>	
On-call days	<u>0</u>	
Other	<u>0</u>	
 Subtotal		 <u>174</u>

TOTAL AVAILABLE HOURS PER YEAR	<u>1566</u>
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TOTAL AVAILABLE HOURS PER MONTH	<u>130.5</u>
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I.

HISTORY OF DEVELOPMENT

Indiana Probation Case Classification and Workload Measures System

History of Development

Indiana's judges and probation officers saw the need for a probation case classification and workload measures system as early as 1989. The Board of Directors of the Judicial Conference of Indiana saw a growing disparity between the number of probation officers in a county and the probationers that needed supervision. Increases in the number of probation officers were not based on anything other than a feeling that "caseloads were too high." There was no rational way to explain to either the state for purposes of state aid for probation services or an individual county, why more probation officers were needed. The increasing number of persons on probation, the severity of their offenses, and their need for additional services continued to expand. The development of a case classification and workload measures system was the beginning of the solution for these concerns.

The Board of Directors of the Judicial Conference of Indiana formally expressed an interest in developing standard case classification and workload measures for probation officers on June 30, 1989. The Probation Committee composed of 12 judges, and the Probation Officers Advisory Committee (predecessor to the Probation Officers Advisory Board) discussed this matter at length over the next few months. Based on the strong interest they expressed, the Indiana Judicial Center contacted the National Institute of Corrections about the possibility of assistance with this project.

The Workload Measures Workshop was born in January, 1990. A group of probation officers representing over 25 small, medium, and large probation departments began development of a statewide case classification system for Indiana's probationers. The National Institute of Corrections provided funding in the form of two short-term technical assistance requests. This enabled the Judicial Center to bring Mr. Brian Bemus to Indiana, a nationally recognized expert in this area.

As work began, the Workload Measures Workshop participants realized that a case classification system had to be developed and implemented before workload measures could be done in any meaningful way. Mr. Bemus assisted probation officers in the development of probation case classification risk and needs assessment instruments for adults and juveniles. A validation study for these instruments began in the fall of 1990 and was completed in the fall of 1991. This study was used to weigh the various factors contained in the risk assessment instruments. The weight accorded to each factor in the case classification scale is based on its ability to predict rearrest behavior.

Needs assessment instruments were also completed and tested in the fall of 1991 and the beginning of 1992. The needs assessment forms were prepared in order to help determine an individual supervision plan for a probationer as well as determine the resources necessary for

a probation department to work successfully with all probationers.

In February, 1992, the Judicial Conference of Indiana, through the Indiana Judicial Center, was awarded a long-term Technical Assistance grant by the National Institute of Corrections entitled, "Development and Implementation of a Probation Workload Measurement System for Indiana's Probation Officers." This grant award was only possible because of the commitment of Indiana's probation officers that continued working on the development of case classification and workload measures after the short term grants expired and before this one was approved.

In February, 1992, the members of the Workload Measures Workshop completed work on a Case Classification Manual. The Indiana Judicial Center selected a pilot study group to study implementation of the case classification system. This group completed a risk and needs assessment instrument for all felons, misdemeanants, and juveniles placed on their caseload for the first three months of the year. They ironed out questions raised at a two-day meeting in April, 1992. The second day of this meeting was used to introduce the development of workload measures, which could only be done in probation departments that had the case classification system in place. They also completed a worksheet to determine the time available each month for the work of an individual probation officer.

In July, 1992, the Workload Measures Workshop participants prepared to collect data on the time necessary to administer adults and juveniles on probation. The pilot study to collect the data was conducted by 14 probation departments statewide during the months of August and September. The Indiana Judicial Center conducted a statistical analysis of the data in the fall of 1992 and early 1993.

In March, 1993, the members of the Workload Measures Workshop met for the last time to distribute the results of the pilot study, refine the data gathered, and prepare the workload measures data into statewide minimum time standards. Standard time ranges were developed for High, Medium, Low, and Administrative workloads. Standard workload time standards were also developed for presentence and predisposition reports, preliminary inquiries and intake. In June, 1993, the Board of Directors of the Judicial Conference of Indiana agreed to implement this probation case management system in Indiana on a trial basis and seek funding for the Judicial Center to provide continuing training, updating, and technical assistance on an ongoing basis.

This manual is the culmination of over two years work by many probation officers. The factors, scores, and the explanations used in these materials were only possible by the hard work of Indiana's probation officers who tested them. By duplicating the steps outlined above with the materials in this manual, a probation department can implement this new case management system. It will assist all probation officers in managing ever increasing caseloads with resources that grow scarcer each day. Only by providing a statewide, empirically based standard for probation workloads can probation continue to grow as a profession.

II.

MISSION/PURPOSE

Mission/Purpose

A number of probation departments in Indiana developed these case classification and workload measures materials in cooperation with the Indiana Judicial Center, the staff agency for the Judicial Conference of Indiana for use in providing uniform and objectively measured supervision for probation offenders in Indiana. One purpose of this case management system is to accurately and appropriately supervise offenders that have a risk to reoffend. It will also serve as a basis of the measurement of probation officers workload in Indiana. This system prioritizes offenders so that probation departments can hold the group with a risk to reoffend more accountable than those with a lower risk to reoffend. The question, "What is the recommended caseload?" will no longer be appropriate for any purpose. The number of cases a probation officer supervises is a meaningless number; the workload of a probation officer based upon the objectively based work in each case will be the applicable measure.

These instruments can also be used as a staff evaluation tool and resource management tool. A probation department can use summaries of risk and needs assessments and other information for supervisory review and feedback to the individual officers for portions of a performance review. It will also help individual probation departments determine how many probation officers are needed. This can be accomplished by determining how many high, medium and low risk offenders are supervised by the department, and the work necessary to supervise each one based on Indiana's workload standards.

A statewide case classification system must be in place in order to develop a data base for any planning for probation on a statewide basis. The development of statewide policies for probation workload will only be possible if probation departments use a case classification program.

III.

IMPLEMENTATION STRATEGY FOR A PROBATION DEPARTMENT

IMPLEMENTATION STRATEGY FOR A PROBATION DEPARTMENT

A. OVERVIEW

Implementation of case management systems has become a subject of considerable debate. One strategy is that the department “copy” a system from another agency that they like or that most closely fits their own department. The advantage of this strategy is speed. It is quicker to copy another system than it is to fit a case management system into the unique intricacies of your department. The second strategy is to start with an overall model or framework and spend the time to integrate the components of case management into the routine operations of a department.

Since the case management project was initiated (1989) the goal of the Indiana Judicial Center and probation departments working with the Center has been to develop a broad case management model that was specific to the probation population in Indiana but flexible enough to meet most of the needs of the various departments across the state. Other sections in this manual describe the purpose, development, and products of the case management system developed for Indiana. This section will focus purely on the implementation techniques that can help ensure a successful transition from your current system to one using the case management model.

The project has a variety of components that must work together within a complex environment in order to implement the project. It should be broken down into four phases. They are planning, organizing, implementing and controlling. To use this approach, the laundry list of tasks needed to completely implement the project must be listed, then placed in one of the four phases, and then either ranked or put into order of priority as well as sequence. The following is a discussion of each phase.

B. PLANNING - Phase 1

Although planning seems obvious, it is often overlooked and sometimes confused with the planning that occurred when developing the overall case classification model and workload measures system. The following goals should be achieved during Phase 1:

1. Thoroughly understand the model, policies and procedures. Read this manual carefully, identify questions or problem areas. Find out before implementation what or where the model can be modified to accommodate your needs. Ask how this **system fits** the mission of your department. (If you cannot find the mission statement for your department or do not have a mission statement this a good opportunity to clarify your mission.)
2. Identify a “core” group of staff in your probation department to help identify the steps needed to successfully implement the system. Do not forget to include clerical and other staff with management information system responsibilities.

3. Identify current operations, use of forms, procedures, etc... that will be impacted (changed or eliminated) with the new process. **KEY POINT... DO NOT BEGIN IMPLEMENTATION BEFORE YOU PLAN TO ELIMINATE OR REPLACE AN EXISTING FUNCTION WITH THE CASE MANAGEMENT SYSTEM.**

4. Identify internal and external impediments to implementation in your department. Assume that some line officers will be resistant and possibly other court staff as well as offenders and their families. The best way to alleviate impediments is to first understand why they exist.

5. Develop a **WRITTEN** plan for the goals of implementation. Do not forget to document why a specific goal is made.

c. **ORGANIZING THE IMPLEMENTATION PLAN - Phase 2**

Organizing the implementation plan involves taking the various tasks involved in the implementation process and not only writing them down but assigning them to a specific person to complete along an integrated time schedule. For example if you plan for a six month implementation, which tasks are to be done in month 1, month 2, etc... and who is responsible for the completion of those tasks. The following is a general order for implementation of Phase 2:

1. Step 1 - Department meeting to present the overall plan and specific time frames etc.. . All staff should be present, including any external personnel that you want to impress with the quality of your plan.

2. Step 2 - Classification, print forms, instructions, design training process, develop time frame to convert existing caseloads to the new system. Do not forget to modify routine reporting requirements to fit the new system including the numbers of offenders or reports so you can track workload.

3. Step 3 - Identify a point in time to reflect on implementation to date, evaluate performance, and adjust your plan as needed. A good point to do this for the first time is after the first 60 days. More evaluation points may be necessary depending on the complexity of your plan. Make sure a check is conducted for accuracy in scoring, location of forms in files, adherence to standards, etc...

4. Step 4 - Bring staff back to review findings. Identify problems, but ask for recommended solutions and stress the ability of the system to be flexible. If forms or procedures from the old system can be eliminated at this point it will go along way to reducing some resistance that may be encountered.

D. **IMPLEMENTING THE PLAN - Phase 3**

Simply put, the written plan becomes operational. It is **essential** to implement through personal effort, not memorandum. Not only does all staff need to have written copies of the plan, but they must absolutely need to know who to go to in order to get questions answered. If questions arise whose answers are not clearly indicated in the implementation manual, then these answers should be written with copies given to everyone. It is also essential to have one person responsible to monitor the implementation progress. This person should not wait to be asked questions but should routinely initiate conversations and solicit questions.

E. CONTROLLING THE PLAN - Phase 4

A case management system out of control is worse than not having a case management system at all. In order to control implementation and operations an open mind must be kept. Routine changes and modifications will become necessary to keep a case management system consistent with the goals of your probation department. The use of information created with the new system that will help manage a department is a key point in this phase. Internal controls need to be developed that ensure the integrity of the system. For example, is the probation department really using the system or does it just look good on paper? Steps that need to be developed include routine reporting (manual or automated) of case classification levels and workload measure levels throughout the department. In addition, compliance and performance measures must be identified (as well as means of collection of the data) and reported to appropriate external agencies.

The process used to collect this information is extremely helpful to defend budget requests. It will also describe the actual profile of your probation department's offender base and the strategies to manage those offenders consistent with the mission of your agency.

F. CONCLUSIONS AND FINAL ADVICE

1. Implementation of case management systems is both an art and a science. On the science side remember the following:

The risk and needs assessments have been developed based solely on Indiana's probation offender population. The risk assessment was validated by a pilot group of Indiana probation departments. The juvenile instrument was adopted for use by the Indiana Department of Correction. Please trust the validity of the scale although there are items that are not on the scale that you believe should have been.

The workload measures standards are part of statewide policy and should not be changed. If there are clear problems with standards compliance, they should be documented in writing and forwarded to the Indiana Judicial Center for collection on a statewide basis.

Do not change the weights on the items on the classification instruments

or modify the cut off scores. Please use the scores as they currently exist. If there is a problem, attempt to use the override/underride process. If that becomes too problematic, contact the Judicial Center for advice on how to proceed.

2. On the art side of implementation, the goal is not the most elegant plan, but a plan that ensures that your department will actually change the way offenders are assessed. It should not simply exist as a paper system. The information that the system can provide is limitless and should not be underestimated.

A CASE MANAGEMENT SYSTEM ALREADY EXISTS IN YOUR AGENCY. THIS SYSTEM IS MORE STRUCTURED AND SHOULD BE USED TO IMPROVE ON PROFESSIONAL DISCRETION, NOT REPLACE IT.

IV.

CASE CLASSIFICATION

- A. Use of a Case Classification System**
- B. Underride/Override Category**
- C. Common Questions and Answers**
- D. Adult Risk Assessment and Reassessment Definitions**
- E. Adult Risk Reassessment Definitions**
- F. Juvenile Risk Assessment and Reassessment Definitions**
- G. Juvenile Risk Reassessment Definition**
- H. Adult Needs Assessment Definitions**
- I. Juvenile Needs Assessment Definitions**

A. Use of a Case Classification System

The various probation departments will use the initial risk assessment instruments to assess an appropriate level of supervision of offenders.

The risk and needs assessment instruments should be prepared in order to assist in the creation of a probation plan for the individual probationer. The probation plan establishes goals and objectives for the probationer to meet during his/her term of probation. The risk assessment instruments determine the risk the offender will commit a new offense while on probation. It also determines the frequency of contacts with the probationer. The needs assessment instrument determines the focus of these contacts. Individual probation offices can use the reassessment instrument to indicate the progress of a probationer while under supervision.

Supervision strategies are a local decision. Case plans should consider the court order and the risk needs assessment instruments. The risk and needs assessment instruments for juveniles should be completed before the predisposition report but no later than 30 days after disposition. If a presentence investigation is ordered for adults, a risk and needs assessment instrument should be completed at that time. The risk and needs assessment instrument should be kept in the file of the probation office. It should not be made part of the presentence investigation or the juvenile preliminary inquiry or the predisposition of the report. Copies of these completed instruments may be given to the offender upon request. They should also be forwarded to the Indiana Department of Correction when they are completed on an adult or juvenile committed to them.

The scores used in the risk assessment and reassessment instruments should be based on verified information. These scores, however, should not be placed in either the predispositional report or the presentence investigation report. A danger may occur that the score would be reported without a reference to the instrument. This might also cause a contest to occur at sentencing based on mere point levels and not the sentencing or dispositional needs of the individual offender.

Reassessment:

The reassessment for juveniles should be conducted every three months or whenever the juvenile commits any technical violation or delinquent act. A probation officer may also reassess at any time during the period of probation at his or her discretion. For adult offenders the reassessment should occur every six months. If probation for misdemeanors is less than six months no reassessment should occur. The officer may reassess adults at any time at his or her discretion, but no less than every six months. These reassessment instruments should be placed in the probation file of the offender.

B. Underride/Override Category

The risk assessment instruments contain an underride/override category. The

supervisor and/or chief probation officer must always sign a risk assessment instrument which has an override or under-override used as part of the scoring. This provides a **check** for the supervisor and/or chief probation officer for the offender and resources of the department.

Some departments will automatically under-override or override based on policies of that particular department. For example, no matter how an adult child molester may score on the risk assessment instrument the probation department may have a policy to place that person under the high risk supervision category. If so, the reason for the override should still be noted even if it is only department policy.

C. Common Questions and Answers

a. ***Why is “current offense” not on the risk assessment instrument?***

It is statistically difficult to place a relationship between the offense and the outcome of that offender on probation. It is structurally difficult to classify criminal offenses in an objective manner. Therefore, most departments will use the offense of conviction not on the risk assessment instrument but as a policy consideration for an under-ride/override decision.

For example, some departments have a policy that all “B” felons placed on probation will be supervised as a high risk, no matter how they score on the risk assessment instrument. This policy decision is not based on any statistical evidence that these offenders are either more or less likely to reoffend while on probation. It is based solely on a policy consideration within that department that those persons convicted of that level of offense should immediately receive a high level of supervision.

b. ***Why are the point values concerning criminal history on the reassessment instruments lower than on the initial assessment instruments?***

The risk reassessment gives a lower weight to prior criminal behavior. The reduction is approximately by half. This reduction recognizes that an probationer may either improve **or** not improve his or her behavior during the period of time of probation. The lower portion of the factors on the risk reassessment instrument are weighted more heavily because these factors occur during the time the offender is on supervision. The factors will either reward the offender for progress he or she **makes** while on supervision, or punish the offender for lack of progress while on supervision.

The offender is not “given a break” because the offense of conviction and prior criminal history did not change, but is rewarded for progress while on supervision, or punished for his lack of progress while on supervision at reassessment based on factors within his or her control during supervision.

**D. ADULT RISK ASSESSMENT AND REASSESSMENT
INSTRUMENT DEFINITIONS**

AGE AT FIRST CONVICTION OR ADJUDICATION

The probationer's age at the time of his or her first conviction. This includes felony and misdemeanor convictions as well as juvenile adjudications of delinquency. This does not include infractions, or prior arrests which did not lead to conviction.

NUMBER OF PRIOR CONVICTIONS

These should be found in the probationer's presentence investigation report. This includes juvenile adjudications of delinquency. Arrests only should not be used.

NUMBER OF PRIOR COMMUNITY SUPERVISIONS

If the probationer has had no prior probation supervision a zero, "0" should be scored. If one or more periods of probation supervision have occurred score accordingly. Prior supervision includes any case in which the court ordered some form of community supervision through probation or community corrections. This includes community supervision as a juvenile.

NUMBER OF PRIOR VIOLATIONS OF COMMUNITY SUPERVISION

This term includes technical violations and new arrests while serving a term of community supervision as an adult or juvenile. This would also include those violations which resulted in a revocation proceeding in which sanctions were made by the court. Petitions to revoke probation which were dismissed should not be included. Persons who have notices of violations filed, but court continued person on probation with modification should also be counted. This category also includes prior parole revocations.

NUMBER OF PRIOR COMMITMENTS

Prior commitments include any sentence in which the adult or juvenile offender was committed at a local, state, federal, county jail or correctional facility.

SUBSTANCE USE

Substance use should be examined in light of the probationer's dysfunctional behavior. If a defendant admits to illegal drug use, he or she has admitted to violating their probation. The purpose of this questions is not to gain that admission. The purpose of this question is to see if a relationship exists between the probationer's substance use and the risk that they will commit another crime.

No Known Interference:

Self-explanatory.

Some Disruption:

If there is substance use by the probationer or the probationer reports use of drugs that creates some disruption, this must be scored.

Serious Disruption:

If there is a pattern of substance use and the substance use is clearly related to the defendant's criminal history, this must be scored.

TIME EMPLOYED/FULL-TIME STUDENT IN THE LAST 12 MONTHS

Not applicable would include housewives, certain physically disabled or retired persons and some students. If a student was enrolled in school however, and did not attend classes, the lengthy periods of absence should not count in the total time they attended school.

You should prepare your best estimate in deciding which category should be used when figuring time employed in the last twelve months.

NUMBER OF RESIDENCE CHANGES IN THE LAST 12 MONTHS

This refers to the actual residence where the probationer has been living in the last twelve months excluding incarceration. If there have been no changes, "none" should be scored. If one change has occurred there should be just one, and if two or more have occurred than four points should be scored.

Residence changes should be considered when preparing a treatment plan as well as whether or not there is a risk that the defendant will flee while on probation.

EDUCATIONAL ATTAINMENT

Self-explanatory.

EXPECTATION OF COMPLIANCE:

The officer should be able to objectively define the behavior that exhibits the expectation that the probationer will successfully complete the probation period.

AUTOMATIC POLICY OVERRIDE/UNDERRIDE

This category provides space to let local probation departments have automatic overrides or underrides based solely upon local court policy. These automatic overrides or underrides should

be limited to person to person offenses. Examples of these types of offenses include all sex offenders and offenders who cause serious injuries to victims.

E. ADULT RISK REASSESSMENT DEFINITIONS

SUBSTANCE USE

See definition above.

VIOLATIONS OF PROBATION

A request for a court hearing based on an alleged violation of probation must occur to complete this category. Must include documentation of this request.

REPORTING PERFORMANCE, SPECIAL CONDITIONS, EMPLOYMENT RECORD & PAYMENT RECORD

Acceptable or N/A:

The probationer is either satisfying the requirements, has a legitimate reason for not doing so, or in the opinion of the probation officer is making a satisfactory effort to fulfill them.

Improvement Needed:

The probationer is falling short of acceptable performance as defined in the conditions of probation.

Unacceptable:

The probationer's performance is such that specific corrective action of an administrative or court nature is indicated. Must include documentation of this action.

F. JUVENILE RISK ASSESSMENT AND REASSESSMENT DEFINITIONS

AGE AT FIRST REFERRAL

Age at the first referral is made to the juvenile court. If a birthday occurs during the time of processing, use the age at the time of the referral.

SUBSTANCE USE

The purpose of this section is to assess how the use of alcohol and/or drugs affects the functioning of the offender. This type of information may come from a variety of sources and may not always be substantiated.

No Known Use:

No Known Use indicates there is no use, history of use, or pattern of strained relationships with parents concerning use.

Experimental Use:

No dependence; satisfies curiosity/peer pressure.

Some Disruption:

Some disruption indicates any level of disruption in functioning, scholastic achievement, family life, or other areas.

Serious Disruption:

Serious disruption would indicate chronic and/or frequent use of alcohol or illegal substances. The juvenile may have an admitted or diagnosed dependency.

SCHOOL/EMPLOYMENT

No Problems:

Attending, graduated, G.E.D., or full-time employment.

Moderate Problems:

Occasional attendance or discipline problems.

Serious Problems:

The child has an expulsion or frequent attendance or discipline problems.

Not Enrolled or Not Employed:

Not enrolled in school at the present time or not employed.

PEERS

The probation officer should determine the type of peer(s) with whom the offender associates.

No Problems:

The probationer is associating with positive activities and/or peers which do not influence his involvement in delinquent behavior.

Delinquents:

Limited or occasional group problems with some companions involved in delinquent behavior. Includes juveniles whose offenses include coconspirators.

Mostly Delinquents:

The probationer is a known gang member, associations are exclusively with a group having strong delinquent orientations, or a juvenile who has committed offenses consistently with others.

PARENTAL/GUARDIAN SUPERVISION

Effective:

Parents or current guardian are concerned and expect the child to attend school, obey the law, and take responsibility for his/her actions. Parents communicate their expectations and provide sanctions for misbehavior and rewards for good behavior.

Inconsistent or Ineffective:

Parents have expectations for good behavior, but do not provide 'sanctions for misbehavior or they are inconsistent when they do so. Or, the discipline is excessive and does not reasonably address the problem.

No Supervision:

Parent(s) are uninvolved and allow the minor to function on his/her own.

Contributes to Delinquency:

The family has a history of involvement in the justice system as the juvenile is receiving active or passive reinforcement for his/her delinquent behavior at home.

Parents resist outside intervention from public agencies. Parents contribute to delinquency by being involved in anti-social behavior themselves.

Parents are overprotective and blame others for the minor's delinquent behavior; parent's attitude prohibits the minor from accepting responsibility for his/her acts or minimize them.

NUMBER OF PRIOR OFFENSES

Do not include present offense.

None:

No prior referrals. No prior criminal history. However, records check should still be completed.

1 to 2:

Any prior offense on records within any probation department regardless of action taken or case disposition. These offenses must have occurred prior to the current probation term or prior to the present court action.

3 or more:

Three or more prior offenses.

PRIOR SUPERVISION BEHAVIOR

This category indicates supervision by probation department.

No Prior Supervision:

No prior referrals or juvenile history.

Reoffended After Previous Supervision Ended:

A further offense was committed after the end of supervision.

Reoffended During Previous Supervision:

Self-explanatory.

INSTITUTIONAL COMMITMENTS OR PLACEMENTS

None:

Self-explanatory.

Post-Adjudication:

Placement in the juvenile portion of a county jail/or detention facility for 10 to 30 or 90 to 120 days or as a dispositional alternative.

Residential:

Prior Parental Placement:

This includes any placements in a children or youth home, county, state, or private program including drug or alcohol and/or mental health placement. Foster homes are not included in this category. Placement not mandated by a court.

Court/Welfare Placement:

Child placed in a long-term residential placement (over 30 days) by a court or welfare department as a CHINS or Delinquent;

Any State's DOC:

This would include a commitment to the Indiana Department of Correction either at the Indiana Boy's School, Indiana Girl's School, or similar institutions in other states. This does not include placement in a county jail which should be in the prior category. This also does not include post-adjudication juvenile detention for brief periods of time. Pre-adjudication detention in a juvenile detention center is not included on this instrument.

AUTOMATIC POLICY OVERRIDE/UNDERRIDE;

This category provides space to let local probation departments have automatic overrides and underrides based solely upon local court policy. These automatic overrides or underrides should be limited to person to person offenses. Examples of these types of offenses include all sex offenders, and offenders who cause serious injuries to victims.

G. JUVENILE RISK REASSESSMENT DEFINITION

RESPONSE TO SUPERVISION.

No significant Problems:

The probationer is either satisfying the requirements, has a legitimate reason for not doing so, or in the opinion of the probation officer, is making a satisfactory effort to fulfill them.

Moderate Compliance Problems:

The probationer is falling short of acceptable performance as defined. The commission of a new delinquent act by a juvenile should be included.

Major Compliance Problems, Commits New Delinquent Act:

The probationer's performance is such that specific corrective action of an administrative or Court nature is indicated. Must include documentation. The commission of a new delinquent act by the juvenile must be included.

H. ADULT NEEDS ASSESSMENT DEFINITIONS

ACADEMIC/VOCATIONAL SKILLS

Self-explanatory.

EMPLOYMENT/MEANS OF SUPPORT

Self-explanatory.

SUBSTANCE USE

Self-explanatory.

EMOTIONAL/MENTAL I T Y

No problems:

Actions and responses, documented, or during interview, are appropriate under the circumstances. Demonstrates self-control and appropriate responses to stress or crisis.

Moderate problems:

Symptoms limit but do not prohibit adequate functioning. Some incidents or degree of overreaction or lack of control. Inappropriate reaction to anger or sorrow, including aggressive acting out or withdrawal. Tendency to avoid significant problems or issues, hoping they will get better on their own. Frequency of over (or under) reactions needs to be looked at.

Severe problems:

Symptoms prohibit adequate functioning. Responses or reactions to situations, stress, or crisis are inappropriate and excessive. Diagnosed history or mental illness, mental disorders, suicidal, or self-destructive behaviors.

FINANCIAL MANAGEMENT

Self-explanatory.

FAMILY/MARITAL

Some disorganization:

Some emotional abuse.

Major disorganization:

Any physical abuse or chronic emotional abuse.

PEER RELATIONSHIPS

Self-explanatory.

HEALTH AND HYGIENE

Self-explanatory.

RELATIONSHIP TO CRIMINAL BEHAVIOR

0 - No relationship
Self-explanatory.

1 - Moderately related
Suspicion that there is a relationship to criminal
behavior.

2 - Directly related
Self-explanatory. Example: Offender only commits crime when intoxicated.

I. JUVENILE NEEDS ASSESSMENT DEFINITIONS

SCHOOL/EMPLOYMENT

Attending, graduated, G.E.D., or steady employment.

Moderate Problems:

Occasional attendance or discipline problems.

Serious Problems:

The child has an expulsion or frequent attendance or discipline problems. Not enrolled in school at the present time or not employed.

SUBSTANCE USE

No Known Use:

No known use indicates there is no use, history of use, or pattern of strained relationships with parents concerning use.

Experimental Use/Some Disruption:

Nondependence; satisfies curiosity/peer pressure; some disruption indicates any level of disruption in functioning, scholastic achievement, family life, or other areas.

Serious Disruption:

Serious disruption would indicate chronic and/or frequent use of alcohol or illegal substances. The juvenile may have an admitted or diagnosed dependency.

FAMILY RELATIONSHIP

No Problem:

Role expectations are clear for both parents and child. Child knows what to expect from parent and parent consistently follows through. Basic survival needs are met for the child and the child's emotional needs are met.

Moderate:

Parents have situational or temporary stress interfering with carrying role expectations, i.e., illness, financial difficulties, loss of family member, etc. Parents understand inability to perform, but are attempting to communicate and meet expectations.

Serious:

Long-term or chronic inability of parents to provide for child's emotional and physical needs. Juvenile has rebelled or fails to participate in family functioning. Parents or juvenile

have serve dysfunctioning, i.e., alcoholism, retardation, chronic emotional instability, chronic family history of law violations, etc.

PEER RELATIONSHIPS

No Problems:

The probationer is associating with positive activities and/or peers which do not influence his involvement in delinquent behavior.

Moderate Problem:

Limited or occasional group problems with some companions involved in delinquent behavior. Includes juveniles whose offenses include coconspirators.

Mostly Delinquents:

The probationer is a known gang member, associations are exclusively with group having strong delinquent orientations, or a juvenile who has committed offenses consistently with others.

EMOTIONAL STABILITY

No Problems:

Actions and responses, documented, or during interview are appropriate under the circumstances. Juvenile demonstrates self-control and appropriate responses to stress or crisis appropriate to age group.

Moderate:

Symptoms limit but do not prohibit adequate functioning. Some incidents or degree of overreaction or lack of control. Inappropriate reaction to anger or sorrow, including aggressive acting out or withdrawal. Tendency to avoid significant problems or issues, hoping they will get better on their own. Frequency of over (or under) reaction needs to be looked at.

Severe:

Symptoms prohibit adequate functioning. Responses or reactions to situations, stress, or crisis are inappropriate and excessive. Juveniles with diagnosed history of mental illness. Diagnosed mental disorders, suicidal, or self-destructive behaviors.

HEALTH AND HYGIENE

Self-explanatory.

LEARNING DISABILITY

Self-explanatory.

HISTORY OF ABUSE/NEGLECT

Victimization is any act upon the juvenile that results in sexual abuse, physical abuse, and/or neglect. An example of outward manifestation of victimization might be an adolescent who absconds and engages in inappropriate self-destructive sexual behavior.

RELATIONSHIP TO CRIMINAL BEHAVIOR SCORE:

0 - No relationship

Self-explanatory.

1 - Moderately related

Suspicion that there is a relationship to criminal behavior.

2 - Directly related

Self-explanatory. Example: Offender only commits crime when intoxicated.

V.

WORKLOAD MEASURES

- A. Discussion**
- B. Using the Workload Data**
- C. Computation of Workload**
- D. Indiana Average Times - Statewide “Basic” Workload Measures Standard Ranges**
- E. Workload Measures Pilot Study**

WORKLOAD MEASURES

A. DISCUSSION

Workload has a number of hidden connotations and agendas that are not unique to community based corrections. In one frame of reference, workload is a budget tool that is used to justify and compute the amount of agency workload related to staffing needs. In another frame of reference, workload becomes an objective definition of the amount and type of work that an organization is supposed to be doing, or is willing to be held accountable to do. It may not be totally obvious, but Indiana's workload component is designed to be a combination of the two.

Clearly, workload must be used to manage and develop your department's resource goals and needs. In that frame of reference, the workload system is describing not only the amount of work that the agency is required to do to meet the standards, but can illustrate what workload category(s) are driving the workload.

It is less clear, however, how to use workload for accountability purposes. To be honest, in small departments, (less than 5 line staff) workload systems have less ability to help distribute resources because staff takes what comes in the door. However, even a small agency should have the ability to report their overall workload in proportional context of the statewide picture.

The accountability side of workload is specifically on management to review the information provided by the workload system, compare the information to the available resources and make some decisions about how the agency will respond to the issue of workload disparity. The options may be a reallocation of staff to the elimination of some work categories in favor of others.

B. USING THE WORKLOAD DATA

In order to use the workload information provided it is imperative that routine monthly statistics be kept that document the numbers of cases/investigations that fall into each of the workload categories listed. For example, a summary of the number of cases of each workload type for each probation officer should be completed each month (usually the first of the month). An additional summary should be completed for the entire unit (for larger departments that have separate units) and for the department as a whole.

It is also important that the form "DETERMINATION OF HOURS AVAILABLE FOR PROBATION OFFICERS" be completed and updated. To accomplish this, the form should be completed on each probation officer and then summarized for the entire department. This process should be completed annually.

c. COMPUTATION OF WORKLOAD

2. To compute “workload,” the total number of hours required to meet standards are calculated by multiplying the total number of cases in each workload category by Indiana’s recommended workload value, divided by the department average of the total number of hours available per month, equals the total number of probation officers *needed to meet* standards. Consistent differences of greater than 10 percent between staff needed and staff available, for example in three consecutive months, should be considered serious enough that an administrative review of the problem be scheduled.

$$\begin{array}{l}
 \text{Probation} \\
 \text{Workload}
 \end{array}
 =
 \frac{\begin{array}{l}
 \text{Total numbers of cases in each workload category x} \\
 \text{Indiana's recommended workload standard}
 \end{array}}{\text{Department ave. of total number of hours available per month}}
 = \text{Number of probation officers needed} \\
 \text{to meet Indiana's standards.}$$

**STANDARD RANGES
INDIANA AVERAGE TIMES - STATEWIDE "BASIC" WORKLOAD
MEASURES**

Workload Category	LOW	Recommended	High
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Adult Time Values (all time values are in minutes per month)

High Supervision	90	115	150
Medium Supervision	42	65	85
Low Supervision	25	40	62
Admin. Supervision	9	12	16

Juvenile Time Values

High Supervision	120	180	225
Medium Supervision	75	95	110
Low Supervision	30	45	60
Admin. Supervision	21	30	40

Nonsupervision Time Values (time values are in minutes)

Presentence Report	320	480	600
Predisposition Report	189	200	235
Preliminary Inquiry	60	92	150
Intake	75	111	166

E. WORKLOAD MEASURES PILOT PROJECT

~~This section is reserved for future use. It will include a description of the process used in the development of Indiana's case classification and workload measures system.~~

See next page. →

E. WORKLOAD MEASURES PILOT PROJECT

INTRODUCTION

Workload has been the focus of many community based corrections agencies since the mid 1970's. The central issue surrounding workload was caseload size. In fact, many agencies had designated caseload sizes to determine their staffing needs. The problem has been acceptance of caseload based budgets and staffing formulas from fiscal and other public policy makers. This reluctance to embrace a caseload based workload definition is based upon a number of factors. First, there is no real research that indicates that smaller caseloads improve success or performance. In fact, some studies have indicated that larger caseloads result in fewer technical violations and therefore fewer "failures".

A second problem is that probation and parole offices do a wide variety of tasks/functions that do not readily fall into a caseload ratio. Examples include investigations or intake evaluations that are difficult to compare to a regular supervision case. In addition, specialized caseloads, standards, variable department procedures and the use of community resources will dramatically effect the relationship between caseload and workload.

Finally, caseload ratios are rarely "bought", even though logic dictates that as caseloads increase and resources stay the same or decrease, performance will suffer. In effect, probation cannot document with any kind of empirical evidence that there is a consequence of not being funded at the self proclaimed, "ideal" caseload ratio.

The result of many frustrated professionals attempting an improvement of their funding mechanism was the development of comprehensive case management system that included a more defensible workload measurement and accounting component. Within the overall context of case management (Classification, Case Planning, Workload Management, Quality Control, and Performance Measurement) formed workload systems to help provide for budget justification, more appropriate internal resource management and an enhancement of overall agency accountability.

The Indiana Judicial Center, in a coordinating role, has conducted a workload study of counties participating as pilot agencies in a multi-year project that developed an adult and juvenile case management system. The following reports the results of the study including forms, instructions, and recommendations for further application.

STUDY DESIGN

A sample of 13 counties (17 different probation departments listed) were involved in this study. The basic method of the study was a two month (August 1, 1992 through September 30, 1992) prescriptive study of adult and juvenile supervision and investigation functions. The importance of this approach is that for a workload study to be effective it must take into account offender classification and the standards related to each classification level. To accomplish this, a sample of offenders from each court were identified and followed for the entire two month period. Each contact and activity was recorded by the probation officer with an appropriate

coding to designate jurisdiction, case type, function/location codes, contact date(s), and time traveled/contact/and other. (see data collection instrument and instructions in section VI.) Investigation activity was followed from beginning to end (if possible) and would not necessarily require an entire two months of data collection. Upon completion of the study, the data collection sheets were sent to the Judicial Center for data entry.

An important difference with this type of study is that the units of analysis are the functions required to supervise the offender or complete the investigation. Because of the random sample design, probation officers would not need to document their days and therefore make themselves the unit of analysis. Therefore, the results should be interpreted as the average amount of time required to meet the minimum standards as illustrated on page 31.

It is important to note that the average time should not be misrepresented as accurate to the minute, i.e., “High supervision adult cases require exactly 115 minutes to meet standards.” The reason a range of values are reported is that there were a wide variety of courts represented with dramatically different agency structures and sizes. For example, Blackford County Adult represents one probation officer (it is a one probation officer agency.) While Marion and Lake counties represent large agencies with specialists and a variety of community and support staff available to help supervise offenders and complete investigations. These standards were designed to be applicable state wide since they incorporated data from all the probation departments that participated in the study.

STANDARD RANGES

INDIANA AVERAGE TIMES - STATEWIDE “BASIC” WORKLOAD MEASURES

Workload Category	Low	Recommended	High
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Adult Time Values (all time values are in minutes per month)

High Supervision	90	115	150
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Juvenile Time Values

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Low Supervision	30	45	60
Admin. Supervision	21	30	40

Nonsupervision Time Values (time values are in minutes)

Presentence Report	320	480	600
predisposition Report	189	200	235

Preliminary Inquiry	60	92	150
Intake	75	111	166

Please note that the recommended column represents the average of each of the courts involved in the study. As a result it should be used to describe the overall time required in Indiana to meet standards on the supervision levels and investigations listed. A county specific example follows.

FUNCTIONAL/LOCATION OF CONTACT ANALYSIS

Function/Activity	Number of Contacts	Average Time (in minutes)
Adult Felon	2840	22
Adult Misd.	1399	12
Juvenile Del.	19601	14
Juvenile Status	1308	18
Total	25148	15

Brief Explanation: There were a total of 25148 contacts recorded as part of the study with the average contact requiring 15 minutes. The average contact time for an adult felon was 22 minutes.

Function/Activity	Number of Contacts	Average Time (in minutes)
Probationer	11815	18
collateral	3907	14
Other Staff	1158	11
None (paperwork etc.)	8268	11

Brief explanation: The majority of contacts were made with probationers (where or how the contact occurred is described in the next table) for an average contact time of 18 minutes.

	Number of Contacts	Average Time (in minutes)
Court	639	35
Juv. Detention	172	42
Employment	14	30
Field	360	147
Home	954	27
Jail	66	50
Office	9630	20
Placement	48	95
School	268	36
Mail	655	7
Telephone	12315	4
other	10	18

Brief explanation: The vast majority of contacts are made in the office and on the phone mirroring the experience of probation departments nationwide. A basic office contact requires approximately 20 minutes and phone call 4 minutes. In addition, it is important to note that out of office contacts take a great deal of time but are often related to definitions of quality casework or supervision. Given the ongoing resource problems funding probation it is evident that as workload increases probation staff will stay in the office and see people that come in and make phone calls. In some cases out of office contacts will be made but since this takes so much time, out of home contacts will be made at the expense of other activities.

Average Times By County

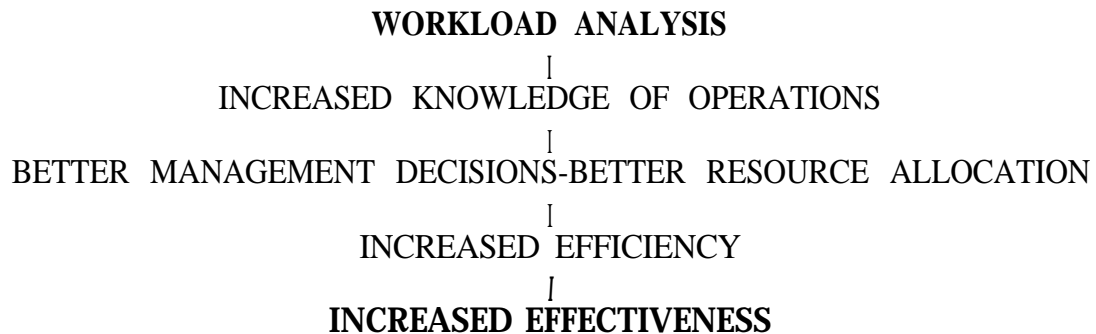
		HIGH	MEDIUM	LOW	ADMIN	PSI	PDR	PI	INTAKE
ALLEN	ADULT	150	85	62	16	600	NA	NA	NA
	JUVENILE	225	110	60	40	NA	235	150	166
BLACKFORD	ADULT	90	42	25	9	320	NA	NA	NA
ELKHART	ADULT	125	70	42	15	550	NA	NA	NA
	JUVENILE	180	97	50	32	NA	220	95	110
LAKE	JUVENILE	190	110	45	29	NA	210	99	100
MARION	ADULT	100	59	45	15	475	NA	NA	NA
	JUVENILE	185	90	50	31	NA	210	63	100
MONROE	ADULT	101	45	20	10	400	NA	NA	NA
	JUVENILE	121	80	31	22	NA	195	61	70
MORGAN	ADULT	120	66	41	10	182	NA	NA	NA
	JUVENILE	181	90	44	32	NA	210	92	111
ST. JOSEPH	JUVENILE	175	98	50	30	NA	201	90	100
STEUBEN	ADULT	91	45	30	10	352	NA	NA	NA
	JUVENILE	178	96	40	30	NA	199	90	100
WAYNE	ADULT	98	59	38	15	479	NA	NA	NA
	JUVENILE	179	98	45	31	NA	199	95	110

CONVERTING TIME VALUES TO WORKLOAD

The final step to computing a department's workload is to complete the determination of hours available for probation officers. This form is in section VI and entitled, "Workload Measures Determination of Hours Available for Probation Officers." In general, this form is a simple approach to determine how much time each probation officer actually has to complete the investigations and supervision functions studied. The top portion of the form indicates deductions for standard benefits relating to paid or administrative time off. Please note that vacation and sick time is based upon time used, not time earned. The bottom portion is a listing of more agency specific time deductions that will vary greatly by agency.

This form should be completed annually for each probation officer and then averaged for the entire agency. The end result will equal the average number of hours per month (or year) that probation officers have available for supervision and investigations. A simple mathematical computation (total number of hours required to meet standards divided by the hours available) will generate the number of probation officers needed to meet the department's minimum standards.

The final use of the workload information is then up to the agency leadership. In general the following diagram illustrates the benefit of the workload information:



PROBATION DEPARTMENTS INVOLVED IN THIS STUDY:

Allen	Adult
	Juvenile
Blackford County	Adult
Elkhart	Adult
	Juvenile
Lake Superior	Juvenile
Marion	Superior and Municipal-Adult
	Superior-Juvenile
Monroe Circuit	Adult
	Juvenile
Morgan	Adult
	Juvenile
St. Joseph Probate	Juvenile
Steuben	Adult
	Juvenile
Wayne Superior	Adult
	Juvenile

VI.

**INDIANA
CASE CLASSIFICATION
AND WORKLOAD MEASURES
FORMS**

- A. Indiana Adult Risk Assessment Instrument**
- B. Indiana Adult Risk Reassessment Instrument**
- C. Indiana Juvenile Risk Assessment Instrument**
- D. Indiana Juvenile Risk Reassessment Instrument**
- E. Indiana Adult Needs Assessment Instrument**
- F. Indiana Juvenile Needs Assessment Instrument**
- G. Indiana Contact Standards - Adult and Juvenile Supervision**
- H. Indiana Workload Measures Determination of hours Available for Probation Officers**
- I. Indiana Probation Workload Measures Data Collection Instrument**

INDIANA ADULT RISK ASSESSMENT INSTRUMENT

Probationer's Name _____ cause No. _____
 Probation Officer's Name _____ Date Completed _____

1.	<u>AGE AT FIRST CONVICTION OR ADJUDICATION</u>	
	24 or Greater	0
	20 - 23	3
	19 or Less	6
2.	<u>NUMBER OF PRIOR CONVICTIONS</u>	
	0	0
	One	3
	Two or More	6
3.	<u>NUMBER OF PRIOR COMMUNITY SUPERVISIONS</u>	
	0	0
	One or More	4
4.	<u>NUMBER OF PRIOR VIOLATIONS OF COMMUNITY SUPERVISIONS</u>	
	0	0
	One or more	3
5.	<u>NUMBER OF PRIOR COMMITMENTS</u>	
	None	0
	One or More	4
6.	<u>HISTORY OF SUBSTANCE USE</u>	
	No Known Interference	0
	Some Disruption	1
	Serious Disruption	2
7.	<u>TIME EMPLOYED/FULL-TIME STUDENT IN LAST 12 MONTHS</u>	
	9 months or More or N/A	0
	5 to 8 months	1
	Less than 5 months	2
8.	<u>RESIDENCE CHANGES IN LAST 12 MONTHS</u>	
	None	0
	One	2
	Two or More	4
9.	<u>EDUCATIONAL ATTAINMENT</u>	
	College & Post-College	0
	High School/GED	1
	Not Graduated from High School	2
10.	<u>EXPECTATION OF COMPLIANCE</u>	
	Reasonably Certain	0
	No Opinion	2
	Serious Concern	4

TOTAL .

AUTOMATIC POLICY OVERRIDE/UNDERRIDE

Specify policy: _____

OVERRIDE/UNDERRIDE

Must explain: _____

Supervision level needed: _____

Supervisors signature: _____

CUT OFF SCORES: 0 - 10 Low 11 - 19 MEDIUM 20 OR MORE HIGH

INDIANA ADULT RISK REASSESSMENT INSTRUMENT

Probationer's Name _____ Cause No. _____
 Probation Officer's Name _____ Date Completed _____

1.	<u>AGE AT FIRST CONVICTION OR ADJUDICATION</u>	
	24 or Greater	0
	20 - 23	2
	19 or Less	3
2.	<u>NUMBER OF PRIOR CONVICTIONS</u>	
	0	0
	One	2
	Two or More	3
3.	<u>NUMBER OF PRIOR COMMUNITY SUPERVISIONS</u>	
	0	0
	One or More	2
4.	<u>NUMBER OF PRIOR VIOLATIONS OF COMMUNITY SUPERVISIONS</u>	
	0	0
	One or More.	2
5.	<u>NUMBER OF PRIOR COMMITMENTS</u>	
	None	0
	One or More	2

RATE THE FOLLOWING SINCE THE LAST CLASSIFICATION:

6.	<u>SUBSTANCE USE</u>	
	No Known Interference	0
	Some Disruption	1
	Serious Disruption	2
7.	<u>VIOLATIONS OF PROBATION</u>	
	None	0
	One or More	6
8.	<u>REPORTING PERFORMANCE</u>	
	Acceptable or N/A	0
	Improvement Needed	2
	Unacceptable	4
9.	<u>SPECIAL CONDITIONS COMPLIANCE</u>	
	Acceptable or N/A	0
	Improvement Needed	2
	Unacceptable	4
10.	<u>EMPLOYMENT RECORD</u>	
	Acceptable or N/A	0
	Improvement Needed	2
	Unacceptable	4
11.	<u>PAYMENT RECORD</u>	
	Acceptable	0
	Improvement Needed	2
	Unacceptable	4

TOTAL

OVERRIDE/UNDERRIDE

Must explain: _____

 Supervision level needed: _____

 Supervisor's signature: _____

CUT OFF SCORES: 0 - 10 Low 11 - 19 MEDIUM 20 OR MORE HIGH

INDIANA JUVENILE RISK ASSESSMENT INSTRUMENT

Probationer's Name _____ cause No. _____
 Probation Officer's Name _____ Date Completed _____

1.	<u>AGE AT FIRST REFERRAL</u>	
	16 or More	0
	13 to 15	3
	12 or Less	6
2.	<u>SUBSTANCE USE</u>	
	No Known Use	0
	Experimental Use	1
	Some Disruption	2
	Serious Disruption	3
3.	<u>SCHOOL/EMPLOYMENT</u>	
	No Problems	0
	Moderate Problems	1
	Serious Problems	2
	Not Enrolled or Not Employed	4
4.	<u>PEERS</u>	
	No Problems	0
	Some Delinquents	1
	Mostly Delinquents	3
5.	<u>PARENTAL/GUARDIAN SUPERVISION</u>	
	Effective	0
	Inconsistent or Ineffective	1
	No Supervision	2
	Contributes to Delinquency	4
6.	<u>NUMBER OF PRIOR OFFENSES</u>	
	None	0
	1 to 2	2
	3 or More	3
7.	<u>PRIOR SUPERVISION BEHAVIOR</u>	
	No Prior Supervision	0
	Reoffended After Previous Supervision Ended	2
	Reoffended During Previous Supervision	4
8.	<u>INSTITUTIONAL COMMITMENTS OR PLACEMENTS</u>	
	None	0
	Port-Adjudication Commitment	1
	Residential	
	Prior Parental Placement(s)	2
	Court/welfare Placement(s)	4
	Any States DOC	6

TOTAL _____

AUTOMATIC POLICY OVERRIDE/UNDERRIDE

specify policy: _____

OVERRIDE/UNDERRIDE

Must Explain: _____

Supervision level needed: _____

Supervisor's signature: _____

CUT OFF SCORES: 0 - 7 L O W 8 - 16 MEDIUM 17 OR MORE HIGH

INDIANA JUVENILE RISK REASSESSMENT INSTRUMENT

Probationer's Name _____ Cause No. _____
 Probation Officer's Name _____ Date Completed _____

1.	<u>AGE AT FIRST REFERRAL</u>	
	16 or More	0
	13 to 15	2
	12 or Less	3
2.	<u>INSTITUTIONAL COMMITMENTS OR PLACEMENTS</u>	
	None	0
	Post-Adjudication Commitment	1
	Residential	
	Prior Parental Placement(s)	1
	Court Welfare Placements)	2
	Any State's DOC	3
3.	<u>PRIOR SUPERVISION BEHAVIOR</u>	
	No Prior Supervision	0
	Reoffended After Previous Supervision Ended	1
	Reoffended During Previous Supervision	2
4.	<u>NUMBER OF PRIOR OFFENSES</u>	
	None	0
	1 to 2	1
	3 or More	2

RATE THE FOLLOWING SINCE THE LAST CLASSIFICATION:

5.	<u>SUBSTANCE ABUSE</u>	
	No Known Use	0
	Experimental Use	1
	Some Disruption	2
	Serious Disruption	3
6.	<u>SCHOOL/EMPLOYMENT</u>	
	No Problems	0
	Moderate Problems	1
	Serious Problems	2
	Not Enrolled or Not Employed	4
7.	<u>PEERS</u>	
	No Problems	0
	Some Delinquents	1
	Mostly Delinquents	3
8.	<u>PARENTAL/GUARDIAN SUPERVISION</u>	
	Effective	0
	Inconsistent or Ineffective	1
	No Supervision	2
	Contributes to Delinquency	4
9.	<u>RESPONSE TO SUPERVISION</u>	
	No significant problems	0
	Moderate compliance problems	3
	Major compliance problems, commits new delinquent act	6

TOTAL _____

OVERRIDE/UNDERRIDE

Must Explain: _____

Supervision level needed: _____

Supervisor's signature: _____

CUT OFF SCORES 0 - 7 LOW 8 - 16 MEDIUM 17 OR MORE HIGH

INDIANA ADULT NEEDS ASSESSMENT INSTRUMENT

Probationer's Name _____ Cause No. _____
 Probation Officer _____ Date Completed _____

	Factor Score	+	Relationship to Criminal Behavior	=	Total
1. Academic/Vocational Skills					
0 Adequate skills; able to handle everyday requirements					
1 Skill level causing moderate adjustment/functioning problems					
2 Skill level causing serious adjustment/functioning problems	_____	+	_____	=	_____
2. Employment/Mean of Support					
0 Satisfactory employment or means of support for one year or longer					
1 Unsatisfactory employment or means less than adequate for support					
2 Unemployed and no means of support	_____	+	_____	=	_____
3. Substance Use					
0 No known interference					
1 Some disruption					
2 Serious disruption	_____	+	_____	=	_____
4. Emotional/Mental Stability					
0 No problems					
1 Moderate problems					
2 Serious problems	_____	+	_____	=	_____
5. Financial Management					
0 No current difficulties					
1 Situational or minor difficulties					
2 Severe difficulties; may include garnishment, bad checks or bankruptcy	_____	+	_____	=	_____
6. Family/Marital Relationships					
0 Stable					
1 Some disorganization or stress					
2 Major disorganization or stress	_____	+	_____	=	_____
7. Peer Relationships					
0 No adverse relationships					
1 Occasional adverse/negative relationships					
2 Associations are almost completely negative	_____	+	_____	=	_____
8. Health					
0 No problems					
1 Illness or physical condition interferes with functioning					
2 Serious physical condition or chronic illness interferes with functioning	_____	+	_____	=	_____
9. Other, Must Explain: (0, 1 or 2)					
_____	_____	+	_____	=	_____

Comments _____

Supervisor's signature: _____
 (optional)

If one or more individual category's total score is 3 or above, then the 3 most serious needs should be prioritized and a supervision plan developed.

Relationship to Criminal Behavior Scores:
 0 - No relationship
 1 - Moderately related
 2 - Directly related

INDIANA JUVENILE NEEDS ASSESSMENT INSTRUMENT

Probationer's Name _____ Cause No. _____
 Probation Officer _____ Date Completed _____

	Factor Score	+	Relationship to Criminal Behavior	=	Total
1. School/Employment					
0 Not Applicable; None					
1 Moderate					
2 Serious	_____	+	_____	=	_____
2. Substance Use					
0 None					
1 Experimental/Some disruption					
2 Sserious	_____	+	_____	=	_____
3. Family Relationships					
0 No problems					
1 Moderate					
2 Serious	_____	+	_____	=	_____
4. Peer Relationships					
0 No problems					
1 Some delinquents					
2 Mostly delinquents	_____	+	_____	=	_____
5. Emotional Stability					
0 No problems					
1 Moderate problems					
2 Serious problems .	_____	+	_____	=	_____
6. Health and Hygiene					
0 No problems					
1 Illness or physical condition interferes with functioning					
2 Serious physical condition or chronic illness interferes with functioning	_____	+	_____	=	_____
7. Learning Ability					
0 No problems					
1 Some need for assistance					
2 Serious interference with functioning	_____	+	_____	=	_____
History of Abuse/Neglect					
0 No known history of victimization					
1 Evidence of victimization but no outward manifestation					
2 Evidence of victimization and juvenile is exhibiting rated behavior	_____	+	_____	=	_____
9. Other, Must Explain: (0, 1 or 2)					
_____	_____	+	_____	=	_____

Comments _____

Supervisor's signature: _____
 (Optional)

If one ore more individual categories total score is 3 or above, then the 3 most serious needs should be prioritized and a supervision plan developed.

Relationship to Criminal Behavior Scores:
 0 - No relationship
 1 - Moderately related
 2 - Directly related

INDIANA CONTACT STANDARDS

ADULT SUPERVISION

FUNCTION	HIGH LEVEL	MEDIUM LEVEL	LOW LEVEL	ADMIN. LEVEL
1. No. of FACE-TO-FACE DEFENDANT contacts per month	2	1	1 every 60 days	0
2. No. of residency visits or verification	1 visit every 90 days	1 verification every 120 days	0	0
3. No. of field FACE-TO-FACE collateral contacts per month	1 every 60 days	0	0	0
4. No. of NON-FACE-TO-FACE contacts WITH DEFENDANT per month	1	0	1	1
5. Other NON-FACE-TO-FACE contacts/month (e.g., contacts with treatment service, etc.)	1	1 every 60 days	0	0

JUVENILE SUPERVISION

FUNCTION	HIGH LEVEL	MEDIUM LEVEL	LOW LEVEL	ADMIN. LEVEL
1. No. of FACE-TO-FACE contacts with child per month	4	2	1	0
2. No. of contacts with parents or legal guardians per month	1	*1 every 60 days	**1 every 60 days	0
3. No. of home/family visits per month	1	1 every 60 days	0	0
4. No. of field collateral contacts per month (employment, school, etc.)	2	1	0	1
5. No. of NON FACE-TO-FACE contacts per month (mail-ins, telephone contacts, etc.)	1	1	1	1

* Face-to-Face

** Non-face-to-face

**INDIANA WORKLOAD MEASURES
DETERMINATION OF HOURS AVAILABLE FOR
PROBATION OFFICERS**

TOTAL HOURS (Based on _____ hours per week multiplied by 52.2 weeks per year): _____

Subtract: (annually)

Average vacation time used _____

Holidays _____

Average sick time used _____

Paid lunch _____

National Guard _____

Jury Duty _____

Other _____

Subtotal _____

Discretionary, policy and conduct time

Subtract: (annually)

Training _____

Administrative time/staff meetings _____

Break time (6.25% per day) _____

Personal time _____

Disciplinary suspension _____

Community service _____

on-call days _____

Other _____

Subtotal _____

TOTAL AVAILABLE HOURS PER YEAR _____

TOTAL AVAILABLE HOURS PER MONTH _____

INDIANA PROBATION WORKLOAD MEASURES DATA COLLECTION INSTRUMENT

Case Category (CF,CM,JD,JS) _____ Probationer's Name: (Optional) _____
 PO's Name (Optional) _____ Probation Department ID _____
 Initial Case Classification _____ Start Date / / . End Date / / .

FUNCTION CODES
 (Only one category and sub-category can be entered on each line of the chronological log.)

1 - Supervision		2 - Investigation		3 - Other	
1 - Intensive	7 - Placement	1 - PSI	1 - Detention/Other Hearings	2 - Special Projects/Staff	3 - Other (Include explanation in the Remarks Section of the Chronological Log)
2 - High	8 - Pre-Trial	2 - PDR	2 - Special Projects/Staff		
3 - Medium	9 - Other (Include explanation in the Remarks Section of the Chronological Log)	3 - PI			
4 - Low		4 - Intake			
5 - Admin		5 - Detention Screening			
6 - Interstate Compact		6 - Other (Include explanation in the Remarks Section of the Chronological Log)			

ID/LOCATION CODES

Staff ID	Contact	Location
1 - Probation Officer 2 - Other Probation Staff	1 - Probationer 2 - Collateral 3 - Staff 4 - None	CT - Court/hearing time (1) DV - Juv. detention visit (2) EV - Employment visit (3) FV - Field visit (4) HV - Home visit (5) JV - Jail visit (6) PO - Probation office (7) PV - Juv. placement visit (8) SV - School visit (9) MC - Mail contact (10) TC - Telephone contact (11)

CHRONOLOGICAL LOG

Contacts					Time (in minutes)			Remarks (Optional except as indicated above)
DATE MO/DAY	FUNCTION CODE	STAFF ID	CONTACT CODE	LOCATION CODE	TRAVEL TIME	CONTACT TIME	TOTAL TIME	XX

(See reverse for instructions)

WORKLOAD STUDY COMPLETION INSTRUCTIONS

CASE ID INFORMATION (Top of Form)

Case Category	Enter the appropriate designation for felony, misdemeanor, juvenile delinquent or juvenile status offenders.
Probationer's Name	For local use only; not required.
PO's Name	For local use only; not required.
Probation Department ID	Enter the first three digits of the court code. Example: 49G for Marion Superior Court (Criminal Division), O5C for Blackford Circuit Court, etc.
Initial Case Classification	Enter the classification of the case at the beginning of the period. Follow the instructions for the Function Code entry for the Chronological Log below.
Start Date	Enter 08/01/92 for cases under active supervision at the beginning of the workload study period. Enter the actual date of referral for new cases.
End Date	Enter 09/30/92 for cases still under supervision at the end of the workload study period. Enter the actual date probation ends for offenders discharged during the period.

The Function Codes and the ID/Location Codes are used in conjunction with individual entries in the Chronological Log portion of the form. A separate entry must be made for each distinct function.

CHRONOLOGICAL LOG

Date	Self-explanatory.
Function Code	The function code is a two-digit code consisting of a major functional category code and a code for a sub-category within the major category. The first digit of the code must be either 1 (Supervision), 2 (Investigation) or 3 (Other). The second digit of the code must be the number corresponding to the specific function within the major category.
staff ID	Enter either 1 or 2 as appropriate.
Contact	Enter 1 through 4 as appropriate. NOTE: <u>For administrative time spent preparing forms or reports that do not require the presence of a contact person, "4" (None) should be entered.</u>
Location Code	Enter appropriate code for location.
Travel Time	Enter total round trip time <u>in minutes</u> .
Contact Time	Enter total <u>contact time</u> . Include any time preparing reports (PSI's etc.), completing forms, or recording notes in this column.
Total Time	Enter total of travel time and contact time <u>in minutes</u> . NOTE: <u>Some amount of time must be reported regardless of whether contact is made or not.</u>
Remarks	Must be completed if the "Other" sub-category under Supervision, Investigation or Other is used. No remarks are required otherwise.

