

**PROBATION
CASE CLASSIFICATION
& WORKLOAD MEASURES
SYSTEM FOR INDIANA**

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I.

INDIANA'S SYSTEM

Indiana Probation Case Classification and Workload Measures System

A. 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 who 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. The Board adopted this system for mandatory use by all probation departments in Indiana in September, 1993. Beginning January 1, 1995, workload statistics were collected on a statewide basis at the State Court Administrator's Office.

This manual is the culmination of over three 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.

B. 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 also serves 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?" is no longer 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 is the applicable measure.

These instruments may 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 be possible if probation departments continue to use a case classification program.

II.

IMPLEMENTATION STRATEGY FOR A PROBATION DEPARTMENT

IMPLEMENTATION STRATEGIES

A. General Implementation

Overview

Implementation of case management systems has become a subject of considerable discussion. 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 an individual 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 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 only on the implementation techniques that can help ensure a successful transition from present practices to 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.

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 is 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.

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.

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.

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.

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.

B. Examples of Successful Implementation

The following examples are strategies departments have used to successfully implement the case classification and workload measures system. Each approached the project in a unique manner but the results are the same: the system is being used to *manage* probation caseloads.

Marion Superior Court. Criminal Division

The Criminal Division Probation Department originally implemented Case Classification as a standard practice a few years ago. However, the instrument was roughly designed and was not fully utilized by all staff. There was no clear direction as to how it would be utilized and to what benefit. Prior to state-mandated implementation in January 1995, the department began a program of a re-emphasis and re-training on the use and importance of the newly updated and approved Case Classification instrument. We computerized the instruments and began using the classification results in calculating and identifying individual "workloads." Now that we look at our caseloads with respect to "workload" as apposed to "number of cases" we can better assign cases and we can better represent our needs to our Judges and to the County Council.

Initially, the biggest problem we had to overcome was convincing the staff that Case Classification would be of benefit to us. However, more than a year later, Case Classification is a second-nature practice, and Probation Officers are partially evaluated on their compliance with properly classifying their cases and supervising them according to minimum standards.

The other problem that we continue to face is our ongoing inability to meet minimum contact standards. We hope to alleviate this problem in 1996 as we consolidate the resources of the Municipal and Superior Courts Probation Departments, and reallocate these resources toward supervision priorities.

In short, we value Case Classification and Workload Measures as an important tool to assist us in managing our substantial caseloads.

Steuben County Probation Department

Case Classification was explained at staffing by reviewing the forms with my staff, explaining that this instrument is beneficial to them because it gives them a specific tool to classify their caseloads and helps me to more evenly distribute the new cases. The use of this instrument also helps to eliminate some of the "P.O. was just out to get me" syndrome and puts the responsibility of less supervision on the probationer by telling them that they will be reassessed at specific times. Underrides and overrides were agreed upon by staff. I gave a specific date to begin case classification. Risk and needs assessments were added to Pre-Sentence, Predisposition, and Preliminary packets to be completed as part of these interviews to assist in recommendations. The forms were attached to probation orders to be completed at the same time the probation order is read when not completed prior to sentencing.

Hamilton County Department of Probation Services

This department began implementation of the case classification system in August of 1994. The initial implementation was staggered alphabetically due to the department's numbers. The guidelines that our department used were the following: an assessment was used for probationers that had been on probation for less than 90 days; a reassessment was used on probationers that were on probation for longer than 90 days; and probationers with less than 90 days remaining on their term of probation were not assessed.

By January of 1995, case classification was being utilized by our department. After all the probationers were assessed and placed in their respective categories, then a workload study was conducted to determine the number of cases each officer could sustain under case classification guidelines. Once this was completed, it was decided that the system may work better if the officers were divided into one of the four categories.

In March of 1995, the point system supplied by the Judicial Center was used to determine the appropriate workload for the officers. Once this was determined, we took the totals from each category and multiplied them by their appropriate point value and divided it by the workload to determine how many officers would be needed for supervision.

Today, there are two officers supervising highs, three officers supervising mediums, one officer supervising lows, and five officers writing presentence investigations. This practice of splitting the caseloads into categories is beneficial and assists with time management.

Madison County Juvenile Probation

The Madison County Juvenile Probation Department has been using the case classification system recommended and later prescribed by the Indiana Judicial Center since 1993. We made the transition as smooth as possible by assigning one supervisor to oversee the project. That person created a list of each P.O.'s caseload, then assigned each P.O. six probationers from their list to classify each week until the entire caseload was done. Each P.O. was responsible to turn the classifications in by the following week, at which time they received the next six names. The supervisor kept a calendar specifically for this, and when classifications were received, they were put back on the calendar 90 days later for review. Any new cases were classified at the time they were placed on probation, and immediately put on the calendar for a 90 day review.

Any case classified as administrative was earmarked for closure by the next classification date (90 days), unless otherwise specified by the court at the time of disposition. This flexibility is not usually available in the adult system due to determinant sentencing, and reviews are only required every 120 days instead of 90. This process really kept us on top of cases that needed to be closed and cases that had been left administrative for far too long because of outstanding fees, etc. By really sticking to our schedule and demanding those old cases be closed out we reduced our caseload (on paper) by 29% in 1993. In the fall of 1994, we found we did not need to request funding for additional probation officers because we had kept our caseloads trimmed down and balanced among the existing staff.

We continued to use our system consistently throughout most of 1994, and created a computer program to identify the cases needing reclassification every week. In September of that year we moved to new offices and changed to a new computer system (which wasn't "on line" by the time we moved), and our classification system fell apart for several months. When we got things pulled back together in late spring of 1995, we were surprised to find that our caseloads had gathered "dead weight" again in such a short period of time, and we were further convinced that the system really helps us keep our caseload balanced and keeps our client time prioritized.

The system is not fail-proof, but neither are we. The point is that the effort and patience it took to adopt the system and stick to it made our department more efficient and productive, which not only feels good to us but looks good to others. We still have a long way to go when it comes to consistently applying contact standards and workload measure reports, but we're working on it!

III.

CASE CLASSIFICATION

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.

It should be noted that the point values for the factors on the reassessment instrument are lower than on the initial risk assessment. This recognizes that a 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.

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 underride or 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 underride 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.

Although the current offense can be used for override/underride decisions, it was not included as a factor on the assessment instruments because it is statistically difficult to place a relationship between the offense and the outcome of that offender on probation. In addition, 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 underride/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.

INDIANA ADULT RISK ASSESSMENT INSTRUMENT

Probationer's Name _____ Case 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: _____

Supervisor's signature: _____

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

INDIANA ADULT RISK REASSESSMENT INSTRUMENT

Probationer's Name _____ Case 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 ADULT NEEDS ASSESSMENT INSTRUMENT

Probationer's Name _____ Case _____
 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 RISK ASSESSMENT INSTRUMENT

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

1.	<u>AGE AT FIRST REFERRAL</u>	
	16 or More	3
0	13 to 15	6
	12 or Less	
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
	Post-Adjudication Commitment	1
	Residential	
	Prior Parental Placement(s)	2
	Court/Welfare Placement(s)	4
	Any State's DOC	6

TOTAL _____

AUTOMATIC POLICY OVERRIDE/UNDERRIDE

Specify policy: _____

OVERRIDE/UNDERRIDE

Must Explain: _____

Supervision level needed: _____

Supervisor's signature: _____

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

INDIANA JUVENILE RISK REASSESSMENT INSTRUMENT

Probationer's Name _____ Case 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 Placement(s) | 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 JUVENILE NEEDS ASSESSMENT INSTRUMENT

Probationer's Name _____ Case _____

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 Serious	_____	+	_____	= _____
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	_____	+	_____	= _____
8. 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 related behavior	_____	+	_____	= _____
9. Other, Must Explain: (0, 1 or 2)				

_____	_____	+	_____	= _____

Comments _____

Supervisor's signature: _____
 (optional)

If one or 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

C. Definitions

1. ADULT RISK ASSESSMENT

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.

2. 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.

3. ADULT NEEDS ASSESSMENT DEFINITIONS

ACADEMIC/VOCATIONAL SKILLS

Self-explanatory.

EMPLOYMENT/MEANS OF SUPPORT

Self-explanatory.

SUBSTANCE USE

Self-explanatory.

EMOTIONAL/MENTAL STABILITY

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.

4. JUVENILE RISK ASSESSMENT 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 co-conspirators.

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 and 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.

5. 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.

6. 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 RELATIONSHIPS

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 severe 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 co-conspirators.

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.

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 verifications	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

IV.

WORKLOAD MEASURES

WORKLOAD MEASURES

A. 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 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

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.

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

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 court 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 statewide 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
<u>Adult Time Values</u> (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

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	<u>1308</u>	<u>18</u>
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

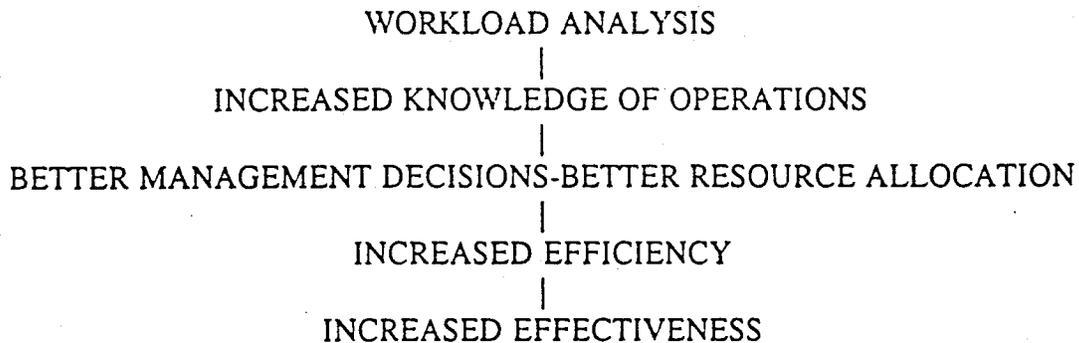
Brief explanation: The vast majority of contacts are made in the office and on the phone mirroring the experience of probation departments nationwide. A basic office contact requires approximately 20 minutes and phone call 4 minutes. In addition, it is important to note that out of office contacts take 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.

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 IV 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:



**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 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	<u>120</u>
Holidays	<u>104</u>
Average sick time used	<u>40</u>
Paid lunch	<u>0</u>
National Guard	<u>0</u>
Jury Duty	<u>0</u>
Other	<u>0</u>

Subtotal 264

Discretionary, policy and conduct time

Subtract: (annually)

Training	<u>40</u>
Administrative time/staff meetings	<u>90</u>
Break time (6.25% per day)	<u>130</u>
Personal time	<u>16</u>
Disciplinary suspension	<u>0</u>
Community service	<u>12</u>
On-call days	<u>32</u>
Other	<u>52</u>

Subtotal 372

TOTAL AVAILABLE HOURS PER YEAR 1472

TOTAL AVAILABLE HOURS PER MONTH 121
(30.25/wk)

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

TOTAL HOURS	(Based on <u>37.5</u> hours per week multiplied by 52.2 weeks per year):	<u>1957.5</u>
 <u>Subtract:</u> (annually)		
Average vacation time used	<u>127.5</u>	
Holidays	<u>112.5</u>	
Average sick time used	<u>22.5</u>	
Paid lunch	<u>0</u>	
National Guard	<u>0</u>	
Jury Duty	<u>5</u>	
Other	<u>3.75</u>	
Subtotal		<u>266.75</u>
 Discretionary, policy and conduct time		
<u>Subtract:</u> (annually)		
Training	<u>120</u>	
Administrative time/staff meetings	<u>78</u>	
Break time (6.25 % per day)	<u>122</u>	
Personal time	<u>15</u>	
Disciplinary suspension	<u>0</u>	
Community service	<u>22</u>	
On-call days	<u>0</u>	
Other	<u>218.5</u>	
Subtotal		<u>575.5</u>
 TOTAL AVAILABLE HOURS PER YEAR		 <u>1115.25</u>
TOTAL AVAILABLE HOURS PER MONTH		<u>92.94</u>

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

TOTAL HOURS (Based on 35 hours per week multiplied by 52.2 weeks per year): 1827

Subtract: (annually)

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 1674

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 217

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): 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>0</u>	
Jury Duty	<u>0</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</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

F. Workload Measures Point System

In order to aid supervisors in the assignment of cases and other record keeping tasks, the Indiana Judicial Center has devised a workload measures point system. This point system was designed by converting the times required for supervision and nonsupervision tasks to point values. Simply put, one point is equal to the amount of time it takes to supervise a low risk offender. Therefore, the point values for the remaining classification categories are as follows:

<u>Supervision Tasks</u>	<u>Points</u>	<u>Nonsupervision Tasks</u>	<u>Points</u>
Adult		Adult	
High Risk	2.9	Presentence Investigation	12.0
Medium Risk	1.6		
Low Risk	1.0		
Administrative	0.3		
Juvenile		Juvenile	
High Risk	4.0	Predispositional Report	4.4
Medium Risk	2.1	Preliminary Inquiry	2.0
Low Risk	1.0	Intake	2.5
Administrative	0.7		

Point values were determined by dividing the recommended time standard for each task by the recommended time standard for supervising a low risk case. These times can be found on page 42 of the Case Classification and Workload Measures manual.

Example #1: (high risk juvenile)

$$\frac{180 \text{ minutes per month}}{45 \text{ minutes per month}} = 4.0 \text{ points}$$

Example #2: (medium risk adult)

$$\frac{65 \text{ minutes per month}}{40 \text{ minutes per month}} = 1.6 \text{ points}$$

To effectively use this system, a department must first determine the hours available per month (Use Determination of Hours Worksheet in section IV of this manual). Second, convert that figure into minutes by multiplying by 60. Finally, divide the total by the recommended time standard for supervising a low risk offender.

$$\frac{\text{Hours available/month} \times 60 \text{ minutes/hour}}{\text{Minutes required to supervise one low risk offender}} = 1 \text{ full workload}$$

Example #1: (juvenile)

$$\frac{120 \text{ hours available/month} \times 60 \text{ minutes/hour}}{45 \text{ minutes/month}} = 160 \text{ points per month}$$

Example #2: (adult)

$$\frac{115 \text{ hours available/month} \times 60 \text{ minutes/hour}}{40 \text{ minutes/month}} = 172.5 \text{ points per month}$$

*Note: Adult caseloads will always be divided by 40 minutes/month and juvenile caseloads will always be divided by 45 minutes/month as that is the time assigned to one low risk case.

Once the optimal workload points per month are determined, cases can be distributed evenly based on workload, not caseload size. When examining a probation officer's caseload, the total points of all cases should be compared to the workload hours available per month. It is recommended that the sum total of points per officer not exceed the average hours available for the department.

Example: (juvenile caseload)

15 high risk cases	X	4.0 points	=	60 points
30 medium risk cases	X	2.1 points	=	63 points
15 low risk cases	X	1.0 points	=	15 points
20 administrative	X	.7 points	=	14 points
2 PDR's	X	4.4 points	=	8.8 points
TOTAL POINTS			=	160.8

$$\frac{125 \text{ hours available/month} \times 60 \text{ minutes/hour}}{45 \text{ minutes/month}} = 166.7 \text{ points available/mo.}$$

In this example, the probation officer could handle an additional 5.9 points or 265.5 minutes more work.

V.

**OPTIONAL CASE
MANAGEMENT FORMS**

OPTIONAL CASE MANAGEMENT FORMS

A. Contact Logs

The adult and juvenile contact logs are optional for use by all departments. They include information as to the date of the last assessment/reassessment, the date of the next reassessment, and the offender's current supervision level. They also provide officers a means of tracking all contacts with a case. The adult form allows departments to track six months of contacts on one sheet while the juvenile form has three months. One table should be used for each individual month.

For those departments who are computerized, the information contained in this form may be kept in the computer. However, for those departments who are not computerized, this form should be kept in the offender's file or in a separate binder and all contacts recorded appropriately. At the end of each month, the probation officer can record whether or not the contact standards were met for that case. In addition, an area has been created for officers to explain any failure to comply with the contact standards. These forms may be altered for use by probation departments.

Directions:

1. Complete every line on the first part of the form.
2. Table:
 - a. Enter the date of the contact in the first column.
 - b. Enter the type of contact which occurred in the second column. Use the key below to obtain the proper code.
 - c. Enter the code for the person contacted in the third column, again utilizing the key.
 - d. Enter the code for the location of the contact in the fourth column.
 - e. Enter any significant remarks. Any previous category marked "other" must be explained.

Adult Key:

Contact Type	Contact ID	Location
1 - Face-to-Face with Client	1 - Probationer	CT Court Hearing
2 - Non-Face-to-Face with Client	2 - Employer	EV Employment Visit
3 - Residency Visit/Verification	3 - Counselor	HV Home Visit
4 - Field Face-to-Face Collateral	4 - Spouse/Significant	JV Jail Visit
5 - Non-Face-to-Face Collateral	Other	PO Probation Office
6 - Unsuccessful attempt	5 - Parent	SV School Visit
	6 - Other*	MC Mail Contact
		TC Telephone Contact
		OT Other*

*An explanation must be included in the remarks section for all "Other" answers.

Juvenile Key:

Contact Type
1 - Face-to-Face with Client
2 - Non-Face-to-Face with Client
3 - Parental Contact
4 - Home Visit
5 - Field Collateral Contact

Contact ID
1 - Probationer
2 - School Personnel
3 - Counselor
4 - Parent
5 - Other*

Location
CT Court Hearing
EV Employment Visit
HV Home Visit
JV Detention Visit
PO Probation Office
SV School Visit
MC Mail Contact
TC Telephone Contact
OT Other*

*An explanation must be included in the remarks section for all "Other" answers.

JUVENILE CONTACT LOG

Probationer's Name: _____ Probation Officer: _____

Date of last assessment/reassessment: _____ Date of next reassessment: _____

Contact Months: _____ through _____

Supervision Level: (Circle One)

High

Medium

Low

Administrative

Date	Contact Type	Contact ID	Location	Remarks (Optional except as indicated above)

Contact Standards Met: _____

Contact Standards Not Met: _____

Reason if not met: _____

Date	Contact Type	Contact ID	Location	Remarks (Optional except as indicated in instructions)

Contact Standards Met: _____

Contact Standards Not Met: _____

Reason if not met: _____

Date	Contact Type	Contact ID	Location	Remarks (Optional except as indicated in instructions)

Contact Standards Met: _____

Contact Standards Not Met: _____

Reason if not met: _____

ADULT CONTACT LOG

Probationer's Name: _____ Probation Officer: _____
 Date of last assessment/reassessment: _____ Date of next reassessment: _____
 Contact Months: _____ through _____
 Current Supervision Level: (Circle One) High Medium Low Administrative

Date	Contact Type	Contact ID	Location	Remarks (Optional except as indicated in instructions)

Contact Standards Met: _____ Contact Standards Not Met: _____

Reason if not met: _____

Date	Contact Type	Contact ID	Location	Remarks (Optional except as indicated in instructions)

Contact Standards Met: _____ Contact Standards Not Met: _____

Reason if not met: _____

Date	Contact Type	Contact ID	Location	Remarks (Optional except as indicated in instructions)

Contact Standards Met: _____ Contact Standards Not Met: _____

Reason if not met: _____

Date	Contact Type	Contact ID	Location	Remarks (Optional except as indicated in instructions)

Contact Standards Met: _____

Contact Standards Not Met: _____

Reason if not met: _____

Date	Contact Type	Contact ID	Location	Remarks (Optional except as indicated in instructions)

Contact Standards Met: _____

Contact Standards Not Met: _____

Reason if not met: _____

Date	Contact Type	Contact ID	Location	Remarks (Optional except as indicated in instructions)

Contact Standards Met: _____

Contact Standards Not Met: _____

Reason if not met: _____

B. Workload Ledger

This form may be used by line officers to monitor the classification level and next reassessment date of their caseload. Additional information such as presentence/predispositional report due dates, court hearings, and discharge dates may also be noted on this form if the officer desires. As this form will only be utilized by the line officer and possibly his supervisor, each probation officer should decide what information is pertinent to efficient case management.

Directions:

1. Enter the client's name in column 1.
2. Enter the date the case was received by the probation officer in column 2.
3. Enter the classification level of the risk assessment in the column marked "1st". Each reassessment classification level is entered into the next column as completed.
4. Enter "RA" in the month in which the next risk reassessment is due.
5. Enter any other abbreviations or dates in which workload is due in the appropriate monthly columns. These could include but are not limited to:
 - Presentence Investigation/Predispositional Report due date
 - Court date
 - Discharge date
 - Office appointments
 - Home visits

VI.

**QUESTIONS
AND
ANSWERS**

QUESTIONS/ANSWERS

ASSESSMENT/REASSESSMENT SCORING

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: 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.
4. 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.
5. Q: May all the assessment instruments be shared with the offender and Indiana Department of Correction?
A: Yes.
6. Q: What about offenders who wish to argue about "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 the 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.

7. 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.
8. 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.
9. Q: On the adult risk assessment instrument, how should an 18 year old offender who is still in high school and will graduate on time be scored? Does he get penalized for not yet graduating?
A: Due to the fact he has not yet graduated, he would receive a "2" in the category "Education Attainment". However, if his final score is within 1 or 2 points of a lower risk classification, the score can be overridden to the more appropriate category.
10. Q: How do you assess offenders given a split sentence who are still incarcerated?
A: If the offender is still serving jail time and probation has no contact with that person until his release, then the case is not classified at all. It is not considered an active case until his release on probation. At that time, a risk assessment would be completed and the offender classified appropriately.
11. Q: Does credit for time served count as a prior commitment on the adult risk assessment and reassessment forms?
A: Although the court may give an offender credit for time served it should not count as a prior commitment as it is associated with the current offense. Only commitments which occur after sentencing should be included in this category to prevent the offender from being repeatedly penalized for the same offense. The person may have spent an extended period of time in jail only based on his failure to make bail. Additionally, the length of this commitment should not be given consideration. For example, if the court offered an offender to serve weekends in jail on a prior offense, it is still considered only one prior commitment.
12. Q: How are cases which are transferred to another state or county assessed in regards to risk?
A: The receiving county should classify the offender appropriately by utilizing the risk assessment. The sending state should place the offender on the administrative level as very limited contact will occur.
13. Q: Should informal adjustment cases be considered administrative or do they get classified and supervised accordingly?
A: This decision is made based upon how the probation department handles these type of cases. If the department has very little contact with a juvenile who is placed on informal adjustment, the case is not classified and is considered an administrative case when figuring workload. However, if the department supervises a juvenile on informal adjustment in the same manner as a juvenile on

probation, the department may decide to complete a risk assessment form and supervise the juvenile according to the recommended contact standards.

14.Q: How are juveniles with detention orders or adults with warrants classified?

A: These cases are considered administrative while detention orders/warrants are active. However, upon their return to the system, they would again be classified appropriately using a risk reassessment form.

15.Q: How are juveniles in placement classified?

A: A risk assessment is completed on these cases. However, due to the minimal amount of contact, a department may choose to automatically override these cases to the administrative level.

16.Q: On the juvenile assessment form under "Institutional commitments or placements", how are S-5 placements (Now called: Alternative/Residential Placements) scored?

A: Although there is not a court order, these type of placements should be scored as a court/welfare residential placement.

17.Q: On the juvenile risk assessment and reassessment forms, are violations of probation counted as a prior offense for the "Number of Prior Offenses" category?

A: No. Only count the original charges, not violations of probation. If those violations have occurred during the past three months, they can be considered on the reassessment form in the category entitled "Response to Supervision".

18.Q: If a juvenile was waived on a prior offense and is referred on a new charge to the juvenile court, should the offense the juvenile was waived on be counted as a prior offense when completing the juvenile risk assessment form?

A: Yes. Despite whether the case was filed in the juvenile or adult court system, all prior offenses should be counted.

NEEDS ASSESSMENT

1. Q: Is it mandatory for all departments to use the needs assessment form?

A: The needs assessment form can be extremely beneficial when designing a probation plan, especially at the initial PDR/PSI phase, although its use is not mandatory. In addition, information gathered from the needs assessment forms can be utilized by department to examine the most critical needs of their clients. This information can then be used to develop new programs or eliminate those programs which are no longer appropriate. It is a tool for administrators to utilize in examining the needed resources of their department.

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.

CONTACT STANDARDS

1. Q: What is meant by a "collateral contact"?

A: A collateral contact is any type of contact with a person or agency other than the probationer. For example, both the adult and juvenile contact standards require field or face-to-face collateral contacts. These would include making visits to the school, employer, or treatment facility and actually speaking with a person who is involved with the offender. Non-face-to-face collateral contacts could consist of phone contacts or progress reports from these same people/agencies.

2. 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.

3. 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.

4. 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.

5. Q: How will compliance with the contact standards be monitored?

A: At this point in time, it will be the department's responsibility to ensure the standards are being met. The Judicial Center will not conduct audits of individual departments. However, we are currently in the process of designing forms to aid departments in keeping statistics and monitoring compliance. These will be distributed upon completion, hopefully within the next few months. The State Court Administrator's Office gathers workload statistics on a quarterly basis, but does not audit compliance.

INTAKE

1. Q: What is the definition of "intake" as used in determining the amount of time required to complete non-supervision tasks?

A: Intake is the actual process which takes place at the time a juvenile is arrested and processed into

the system. During this process, information is gathered to make a decision in regards to detention, release, or other appropriate options. This would include not only those counties who have detention centers but also those counties who are on-call for the purpose of intake. However, intake does not include the completion of a preliminary inquiry which should be counted separately. It also does not include "intake" completed by some adult probation departments when beginning of supervision/preparation of a PSI occurs.

2. Q: If the local police department or sheriff's department makes the decision regarding whether to detain or release a juvenile at the time of an arrest, should it be counted as an "Intake" by the probation department?

A: No. Due to the fact the intake is actually completed by the law enforcement agency, the probation department cannot count this in their workload figures even though paperwork may be subsequently sent to the probation department. This also applies for station-house adjustments. If, after receiving appropriate paperwork, the probation officer determines to take no further action with the case, this will be considered an intake if a determination of release of detention was made at the time of the arrest.

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: 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.

3. 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."

4. 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.
5. Q: Why isn't the extra amount of time required to supervise a juvenile status offender vs. a delinquent offender considered in the standard time ranges?
A: Most status offenders will score in the low risk category despite the amount of time some probation officers feel is necessary to appropriately supervise the case. However, officers must keep in mind that this system is designed to prioritize cases in relation to their risk to commit new criminal offenses. Therefore, status offenders are not seen as a high priority due to their relatively low risk of committing new offenses. In addition, the standards set for low risk cases should be considered a minimum, not a maximum number of contacts. If officers feel that a child should be seen more frequently, that is their decision along with their supervisor. Departments need to examine their mission statement and see if they wish to focus their resources on community protection, which would involve high risk cases, or whether they should be focusing more on treatment/rehabilitation which may prevent high risk cases in the future.
6. Q: Is the time required to complete review summaries for juvenile court hearings included in the supervision time?
A: Yes.
7. Q: Is the time required to complete a presentence report for an offender or a predispositional report or preliminary inquiry for a juvenile already under supervision included in the monthly supervision times?
A: No. The standard time ranges do not include the time required to do these reports on an offender already under supervision. The time required to complete these reports needs to be added to the amount of time required for non-supervision tasks when figuring a department's workload.
8. Q: Are the standard time ranges associated with home visits based on one or two officers making the contact?
A: The standard times are based on one probation officer. However, if departments prefer to work in pairs for safety purposes, the time can be minimized if the two probation officers make several home visits at a time instead of only one. This would eliminate some travel time associated with individual visits.
9. 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.
10. Q: How should the time a probation officer waits in court between cases be counted?
A: This was taken into account in the standard ranges when times for contacts were calculated.

MISCELLANEOUS

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: 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.
3. Q: Can probation officers work with their perspective judges in setting a limit on the number of offenders who can be placed on probation based on this system?
A: Although a specific number can not be determined due to the variations in workload associated with each case, departments must make their judges aware of the consequences of placing too many people of probation. The probation department and judge need to decide which tasks will be completed and which will not. Some may decide to focus on supervision and agree to shorten the length of court reports. Others may decide to alter the contact standards. With either decision, the probation department must examine its mission statement and act appropriately. The direction of the judge must be followed.
4. Q: Will departments be responsible for reporting any type of statistics back to the State level?
A: Yes. Statistics must be reported to the State Court Administrator's Office on a quarterly basis.
5. 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.
6. 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.

This system was developed with a grant from the Criminal Justice Institute
with funds furnished by the U.S. Department of Justice.
Federal funds constitute 75% of the total amount of this grant.
91DB-105/92DB-089