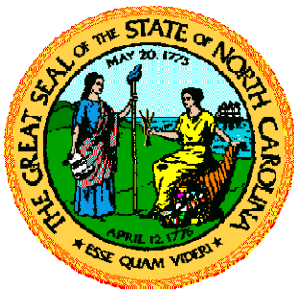**STATE OF NORTH CAROLINA
DEPARTMENT OF CORRECTION**

**Division of Community Corrections
Study of Probation/Parole Officer
Workloads**

March 2011

Beverly Eaves Perdue
Governor

Timothy D. Moose
Director

Alvin W. Keller, Jr.
Secretary

SECTION 19.12.(b)
The Department of Correction shall conduct a study of probation/parole officer workload. The study shall include analysis of the type of offenders supervised, the distribution of the probation/parole officers' time by type of activity, the caseload carried by the officers, and comparisons to practices in other states. The study shall be used to determine whether the caseload goals established by the Structured Sentencing Act are still appropriate, based on the nature of the offenders supervised and the time required to supervise those offenders.

SECTION 19.12.(c) The Department of Correction shall report the results of the study and recommendations for any adjustments to caseload goals to the House of Representatives and Senate Appropriations Subcommittees on Justice and Public Safety by January 1, 2011.

Workload Study Framework

The Office of Research and Planning in conjunction with the Division of Community Corrections issued a Request for Proposal on December 31, 2008 to identify a contractor to conduct the workload study. Proposals were reviewed and evaluated based on the following criteria: 1) study design, data analysis, data collection instrument, budget, and timeline. After completing the review process, the University of North Carolina School of Social Work was selected. Led by Dr. Gary S. Cuddeback, Assistant Professor, School of Social Work Research Fellow, a team of researchers from the University of North Carolina met with DOC Research and Planning and Division of Community Corrections representatives to discuss the requirements of the study. Data from Department of Correction's offender database (OPUS) and DCC's staff records were shared with the researchers. Electronic web-based surveys were completed by staff to gain insight of their workload and overall work experience. During August and September of 2009 focus groups of varying staff work assignments were interviewed by the research team to learn about the different types of work conducted, to learn about time constraints when conducting the work, and to learn of any influences that may affect the work. By the end of 2009 direct observation was also conducted by the researchers to understand the work requirements of DCC staff. In early 2010 the UNC researchers assessed volumes of data from OPUS, compiled survey information and held subsequent meetings with DOC Research and Planning to gain clarity of the data elements being reviewed. Preliminary feedback of the study was shared with DCC leadership in the summer of 2010. DCC was given an opportunity to respond to recommendations shared in the preliminary draft of the report. The final report was presented in October of 2010.

The findings of the workload study are contained in the attached report, "North Carolina Probation/Parole Caseloads Standards and Practices." The report offers an Executive Summary outlining the methodology and findings of the study. The supporting detail, the survey and focus groups results, as well as recommendations for the Division of Community Corrections can be found in the body of the report. Chapter 8 – *Recommendations* offers recommended changes which may be implemented to improve operations, morale, and retention. Where appropriate, DCC's response to these recommendations can be found in bold print immediately below the corresponding suggestion. Many of the recommendations were in the process of being implemented at the time the study was conducted and have since been completed.

 The report indicates that the current caseload goal of 60 offenders per officer is adequate, however it suggests that the number should go no higher given the status of vacancies, funding and resources. DCC continues to work toward an ideal caseload goal based on the offender population and the supervision levels determined by the Division's risk and needs assessment. Contingent upon appropriate funding, DCC will continue to work with Dr. Cuddeback and his team. The ongoing work will include peer review of the needs portion of the DCC risk and needs assessment. The Division's risk and needs assessment is the most critical part of determining that

offenders are placed in the appropriate supervision categories, yet testing and validation of the RNA's ability to efficiently assign offenders to these risk and needs categories is not complete. The researchers will help to validate the instrument by examining the factor structure of the RNA subscales and examining interrater and test-retest reliability of the RNA subscales.

DCC will use the information gathered from the study as baseline data on which to conduct future workload studies as required by the legislative directive.

North Carolina Probation/Parole Caseload Standards and Practices

Final Report

Submitted to

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on

October 5, 2010

by

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ACKNOWLEDGEMENTS

The North Carolina Department of Correction (DOC) Division of Community Corrections (DCC) is required to conduct a study of probation/parole officer caseloads biannually. The DOC must present the results of the study and recommendations for any adjustments to caseload goals to legislative committees and other principals. The study shall include an analysis of the characteristics of offenders supervised, the distribution of the probation/parole officers' time by activity type, caseload characteristics, and comparisons to practices in other states. The study findings shall also be used to determine whether the caseload goals established by the Structured Sentencing Act are still appropriate, based on the type of offenders supervised and the time required to supervise those offenders.

To complete this study, the DOC contracted with a multidisciplinary research team representing the fields of criminology, sociology and social work from the School of Social Work and the Cecil G. Sheps Center for Health Services Research at the University of North Carolina at Chapel Hill (UNC-CH). The team implemented a mixed-methods study with the following components: (1) focus groups with chief probation/parole officers, probation/parole officers, surveillance officers and community service district coordinators; (2) direct observation of probation/parole officers; (3) statewide implementation of a web-based survey designed to understand time allocation, challenges associated with supervising special populations, and organizational climate; and (4) analysis of administrative data related to officers and offenders.

In addition, the research team reviewed the literature on the current state of offender management practices and the implementation of evidence-based correctional practices. Specifically, research germane to North Carolina's effort to evaluate caseload and workload standards, using standardized risk and needs assessments and implementing evidence-based correctional practices were addressed in the literature review.

As in many states, shrinking budgets and resources combined with increasing probation populations and recidivism rates has forced the DCC to reevaluate its community supervision practices to maximize efficiency and effectiveness. Many states now recognize the distinct difference between caseload, which is the number of offenders supervised by an officer, and workload, which is the amount of time needed to complete various tasks associated with supervising an offender. The workload model recognizes that offenders and jurisdictional variations generate differentials in the supervision time required for each offender. Further, the workload model posits that high priority offenders require twice the amount of time to supervise than medium priority offenders and medium priority offenders require twice the amount of officer time to supervise than low priority offenders. Moreover, the workload model shifts community supervision assignments from a traditional enumeration approach to an approach that adjusts caseload assignments based on offender risk and need.

This is particularly important given caseload sizes will continue to grow as offender populations increase; but, workload will always remain stagnant because there are only so many hours available each day for a particular officer. A primary recommendation for the DCC and the state is to conceptualize caseload standards consistent with a workload rather than a caseload model. This will be discussed in more detail later in this report.

A critical component of a workload model for any state is a reliable and valid risk and needs assessment. Research consistently finds that standardized objective assessment tools enhance decision-making and provide protection against discretionary, biased, or inappropriate decisions. Moreover, there is evidence that criminal justice agencies that use standardized risk and needs assessment have a greater impact on recidivism compared to agencies that do not. This is critical considering that everyday approximately 100,000 probation and parole officers

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nationwide make important decisions regarding the risk level posed by offenders being supervised in the community. Effort to assess the reliability and validity of the state's risk and needs assessment tools should be accelerated.

In addition to the literature review, the research team conducted focus groups and implemented a statewide survey of chief probation/parole officers, probation/parole officers, surveillance officers, and community service district coordinators. In total, 91 staff members participated in focus groups and 1,310 staff members completed the statewide survey about caseload characteristics, routine daily activities and supervising offenders.

Feedback from the focus groups and direct observations provided an informative picture of the challenges the DCC currently faces as the transition to implementing evidence-based practices unfolds. In particular, officer morale, inefficiencies that reduce face-to-face time officers have with offenders, and increasing workloads, among others, presents barriers to implementing evidence-based practices and improving the efficiency and effectiveness of community corrections. The issues and challenges expressed by DCC staff are not exclusive to North Carolina. Indeed, the findings from the focus groups presented here resonate with other research of officer job perceptions of caseloads and time use. For example, in a national web-based study of corrections officers, the dominant concerns of probation/parole officers included goal ambiguity, funding concerns, developing effective strategies to intervene in offenders' lives and the desire to implement evidence-based practices.

Findings from the statewide survey suggest probation/parole officers routinely reported caseload averages somewhat higher than their ideal caseload size. In the context of field officers being the best judges of caseload size given they are providing the day-to-day supervision of offenders, this findings provides important feedback to the state. For example, given increasing caseloads and workload, field officers reported difficultly in managing their caseloads and a number of factors contributed to their difficulty, including the increasing size and need of officers' caseloads, shrinking resources in the community, and increasing administrative demands required of officers. Feedback from officers as to why their caseloads are difficult to manage and strategies for making caseloads more manageable should be solicited. This information could be used to identify ways in which officers' face-to-face time with offenders could be increased and ways in which inefficiencies associated with collateral supervision activities and administrative activities could be reduced.

Another important finding is that field officers appear to spend the same amount of time on the same activities independent of caseload difficulty or geographic location, at least according to the data presented here. For example, independent of caseload supervision level or rural versus urban status field officers spent about the same amount of time on data entry, face-to-face office visits with offenders, home visits with offenders, and waiting in court, and these are the top four activities officers spend their time on each day. Ideally, field officers with the most difficult caseloads (i.e., those officers with the most offenders who require the highest levels of supervision) should be able to spend more time in the field providing face-to-face contact with their offenders; however, there appears to be little variation across offender type and location.

There could be several explanations for these findings. For example, one possible explanation for is that the current classification system used by the state to identify offenders who require more supervision (i.e., as a means of preventing recidivism) versus less supervision could be problematic and not particularly well connected with the actual supervision needs and risks of offenders. Indeed, among those officers who participated in the survey in the current study, 67% agreed or strongly agreed that they were supervising offenders who were assigned to the wrong level of supervision. Moreover, over half (51%) of the officers responding to the

survey suggested they were enforcing sanctions that were not relevant to the offenders they are supervising.

An alternative explanation for the finding that officers appear to treat all offenders alike regardless of their level of supervision is that officers are so busy with meeting the demands of their jobs that they are forced to treat all offenders the same. Indeed, this could be a plausible interpretation if the demands of the job are so high such that field officers have only a limited amount of time to spend with each offender. For example, among the field officers who responded to the statewide survey used in this study, 79% reported smaller caseloads would help them do their jobs more effectively and 77% reported less administrative work would help them do their jobs more effectively.

From a workload perspective, if indeed officers have a limited amount of time for face-to-face supervision due to collateral supervision and administrative activities, adjustments to caseload size based on the workload model could be a viable solution to allowing officers more time to deliver quality contacts with offenders. It is important to note officers routinely reported having worked more than 8 hours on their reporting days. Moreover, in the statewide survey and in the focus groups, officers emphasized the fact that they cannot complete their jobs in an eight-hour workday given all that they are required to do.

It is likely that there is some truth to both of the explanations presented above and these findings provide important benchmarks as the state moves forward with its plan to implement evidence-based practices and reform the way it provides community supervision. Also, it is important to remember that these issues are not exclusive to the State of North Carolina and many states are in the process of working through similar issues.

Nevertheless, additional communication with field officers towards understanding what makes the management of their caseloads difficult, more feedback from officers about how to reduce day-to-day job inefficiencies that limit face-to-face time with offenders and expediting the implementation of a reliable and valid risk and needs assessment are important next steps.

Basing caseload standards on punishment type may no longer be a viable strategy for the state, especially in light of the findings presented above, the move towards blended caseloads and one officer position and suggestions established by the APPA and others to move away from efforts to determine exact caseload sizes. Given the vagaries and complexity of the justice system, here in North Carolina and elsewhere, the connection between punishment type, supervision needs and risk of recidivism seems loosely connected at best, at least according to the qualitative and quantitative data collected here.

These issues are not exclusive to North Carolina and most states are struggling with these same issues; however, for North Carolina the inherent danger for the state is that high-risk offenders are not being supervised closely enough and low-risk offenders are being over-supervised. Efforts to align supervision activities with offender profiles that are based on reliable and valid risk and needs assessment tools should be accelerated. And, strategies for determining officer caseload size based on: offender risk and need profiles; national recommendations regarding the time it takes to supervise high, medium and low risk offenders; and time available for face-to-face supervision for officers here in the state should be explored further as the DCC moves forward with the implementation of evidence-based correctional practices.

The UNC-CH research team synthesized data and information collected from many sources, including focus groups, telephone interviews with chief probation/parole officers and

probation/parole officers, direct observations, a web-based survey, and administrative data. In addition, DCC agency documents, policy manuals, published and unpublished peer-reviewed articles, reports, evaluations and other relevant documents were reviewed in order to make recommendations for consideration by the Department of Correction and the Division of Community Corrections. As a result, recommendations and suggestions in the following areas were offered: caseload size; caseload management; resources; personnel; communication; technology and safety; evidence-based practices; community partnerships; and hiring, training and mentoring. Many of these recommendations are not new. Moreover, DCC is aware of the many of the issues underlying the recommendations and is actively taking steps to address them.

In particular, the following recommendations may be especially important to the state:

- Basing caseload standards on punishment type may no longer be a viable strategy for the state. Efforts to align supervision activities with offender profiles that are based on reliable and valid risk and needs assessment tools should be accelerated and strategies for determining officer caseload size based on: offender risk and need profiles; national recommendations regarding the time it takes to supervise high, medium and low risk offenders; and time available for face-to-face supervision (see Chapter 3);
- Provide officers guidance and flexibility to move cases supervised at inappropriate levels to appropriate levels of supervision (see Chapter 3);
- Develop Administrative Supervision category for lowest risk offenders (see Chapter 1);
- Consider Alternative Sanctions Program to more effectively and efficiently address technical violations and minimize court time (see Chapter 1);
- Implement standardized revocation instrument to facilitate uniform response to violations. Specifically, adopt policy-driven approaches to parole violations using a decision-making matrix and graduated community-based sanctions. A standardized revocation instrument would allow officers to respond consistently to probation/parole violations, using a well-developed range of intermediate sanctions (see Chapter 1);
- Redistribute existing caseloads such that offender risk/need is better matched to officers (i.e., experience, time on job, training, special skills);
- Continue with deliberate and carefully planned implementation of evidence-based practices. Careful thought should be given to determine the right EBP, for the right offender, delivered by the right officer in order to maximize the efficiency and effectiveness of EBP implementation (see Chapter 1);
- Address internal and external barriers to implementing EBPs, with particular attention to core implementation components, pre-service and in-service training, ongoing consultation and coaching, staff and program evaluation, facilitative administrative support, and systems interventions (see Chapter 1) ; and
- Continue with testing, validation and implementation of Risk and Needs Assessment protocol. In particular, reliability and validity and sensitivity and specificity in identifying offenders with high/low recidivism risk and high/low need profiles should be established (see Chapters 1 and 3).

Like all states, North Carolina's Division of Community Corrections is experiencing many challenges as it provides supervision to a probation/parole population that is increasing in size and need at the same time that the Division's resources continue to shrink. The Division is in the midst of a number of important policy and programmatic changes designed to improve the efficiency and effectiveness of community supervision. The findings of this report have

illuminated a number of issues for the Division as it moves forward. Moreover, North Carolina is by no means unusual in the challenges it faces. The DCC recognizes these challenges and is taking a forward-thinking and proactive approach to improving the efficiency and effectiveness of community corrections in the state.

CHAPTER 1: STUDY OVERVIEW AND LITERATURE REVIEW

The North Carolina Department of Correction (DOC) Division of Community Corrections (DCC) is required to conduct a study of probation/parole officer caseloads biannually. The DOC must present the results of the study and recommendations for any adjustments to caseload goals to legislative committees and other principals. The DOC contracted with a multidisciplinary research team from the School of Social Work and the Cecil G. Sheps Center for Health Services Research at the University of North Carolina at Chapel Hill (UNC-CH) representing the fields of criminology, sociology and social work .

The team implemented a mixed-methods study with the following components: (1) focus groups with chief probation/parole officers, probation/parole officers, surveillance officers and community service district coordinators; (2) direct observation of probation/parole officers; (3) statewide implementation of a web-based survey designed to understand time allocation, challenges associated with supervising special populations, and organizational culture and work environment; and (4) analysis of administrative data related to officers and offenders. In addition, a comprehensive literature review focused on the results of previous caseload studies, clinical versus actuarial risk assessment, the National Institute of Corrections Justice Reinvestment project and the implementation of evidence-based practices in correctional settings was conducted.

The primary goal of the study was to evaluate the state statutes that dictate caseload size with respect to community-level and intermediate-level offenders; however, it is important to note that a number of important policy changes were occurring within the DCC as this study was being conducted. First, the DCC was in the process of implementing a blended caseloads approach so that field officers would have a mix of community-level and intermediate-level offenders. The current state statutes were written at a time when caseloads were not blended. That is, in principle, a probation/parole officer I (PPOI) had only community-level offenders and field officers (probation/parole officer II-III) had only intermediate-level offenders.

Another important policy change that was occurring within the DCC was the dissolution of the PPOI position. As the current study was being conducted, PPOIs were transitioning to one of two positions within the DCC: a new judicial services coordinator position or field officer (i.e., PPOII or PPOIII).

In addition, as this study was being conducted, the DCC began to unfold its plan to implement evidence-based correctional practices, which entails the use of a reliable and valid risk and needs assessment. The goal for the DCC here is to train selected field officers with the skills to implement motivational interviewing techniques and to target those offenders with the most needs and greatest recidivism risk for these techniques.

These changes are highlighted to make the point that this study was commissioned at a time of significant change. In recognition of this, to a large extent, the research team treated this study as an opportunity to collect data on where the DCC was prior to the implementation of evidence-based practices (i.e., baseline) and focus on recommendations for laying the groundwork for implementing evidence-based practices across the state. **In this context, the information contained in this report should be viewed as baseline information that can be used to guide the DCC as it moves forward with its plans to implement evidence-based practices.**

Also, to some extent, the information contained in this report is not new and reiterates findings from previous evaluations and studies. Indeed, over the last several years in particular, the DCC has had a number of consultants make policy and practice recommendations, many of

which the DCC is currently implementing. This report also has a set of recommendations offered to the DCC, some of which have been recommended by other groups previous to this report and some of which are new. There are other features of this research which are new, however. For example, as a result of this study, the DCC now has a fairly comprehensive list of routine activities and the time spent on these activities for chief probation/parole officers, field officers, surveillance officers and community service district coordinators. Moreover, a statewide survey, which includes the activity list, measures of well-being and organizational climate, and questions about caseloads and special offender populations was developed for the DCC. This survey can be used periodically to monitor progress and assess change as the DCC moves forward with its implementation of evidence-based practices.

This remainder of the report is structured as follows: Chapter 1 focuses on a review of previous caseload studies, clinical versus actuarial risk assessment, the National Institute of Corrections Justice Reinvestment project and the implementation of evidence-based practices in correctional settings. Chapter 2 contains a description of the methodology and results from the focus groups with chief probation/parole officers, probation/parole officers, surveillance officers and community service district coordinators and direct observations with field officers. Chapter 3 contains results from the statewide survey of officer caseload characteristics and daily activities. Chapter 4 presents findings about the needs of probation/parole officers in the context of caseload size and composition. Chapter 5 presents a prototype of a field officer resource projection tool that was developed by the research team to help the DCC estimate probation/parole officer workforce needs. Chapter 6 contains survey findings related to supervising offenders with substance use and mental health disorders. Chapter 7 contains survey results related to organizational climate, well being and job stress. Chapter 8 contains recommendations for the DCC to consider in a number of important areas.

1.1. The Changing Caseload of Probation and Parole

In 1975, there were less than one million offenders being supervised in the community. By 2005, this population had grown to nearly 5.1 million.[4] Research suggests that this population is not only growing in size, but in supervision needs as well. Whereas previously probation was assigned to primarily low-level offenders who posed little threat to the community, studies indicate that, as prisons and jails attempt to alleviate overcrowding, probation and parole officers are increasingly charged with supervising more serious or chronic offenders that pose greater public safety risks. Currently, more than half of probationers are convicted felons and, as noted by Taxman and colleagues, in many states, probation and prison populations mirror each other closely.[5] To complicate matters, as caseloads have grown in size and need, community corrections authorities in many states continue to face shrinking budgets and severe shortages in resources and staff at all levels.

Today's community probation supervisees require more risk management and a variety of supervision strategies. Indeed, many community corrections agencies face a growing number of special-needs offenders, including offenders with mental health and substance use disorders, sex offenders and offenders with charges of domestic violence.[6] The Bureau of Justice Statistics, for example, reports that 13% of all probationers have a condition requiring mental health treatment and estimates of offenders with alcohol or other substance use problems range from 49% to 85%. Growing caseloads of offenders with behavioral health disorders (i.e., mental health and substance use disorders) present significant challenges for probation and parole

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[4] Glaze & Bonczar, 2007
[5] Taxman, Shepardson, & Byrne, 2004
[6] Duffee & Carlson, 1996

officers who struggle to find treatment resources, provide appropriate supervision, and ensure treatment compliance.

Another important trend is the growing number of supervision conditions. These conditions are often ordered by judges, imposed by prison release agents, mandated by legislators, or otherwise instituted by those outside of the probation or parole profession. Some argue that this method of decision making fosters the application of standard conditions across many offenders, without regard to individual offenders' characteristics. Wicklund (2004) noted that these well-intended efforts may derail the three Rs of community supervision and argues that sanctions should be realistic, relevant, and research-based.[7]

The growth and changing composition of community corrections has substantial implications for parole and probation officer caseload and workload. In a recent review by the American Probation and Parole Association, DeMichele (2007) underscored the importance of considering the differences between caseload, which is the number of offenders supervised by an officer, and workload, which is the amount of time needed to complete various tasks. Specifically, caseload size will grow as offender populations increase, however, workload is stagnant as there are only so many hours available in each day, week, month, or year for each officer.[8]

How many offenders should a probation or parole officer supervise? As the size of the supervisee population grows and supervision conditions change, community corrections agencies increasingly struggle with workload allocation decisions. Attempts to manage workload in the face of stagnant or diminishing budgets have often resulted in increasing caseloads or modifying offender risk classifications to move offenders to lower supervision levels. In 1967, the Commission on Law Enforcement and the Administration of Justice recommended that an appropriate caseload size was 50 offenders per officer. ***However, as correctional demands began increasing, the American Probation and Parole Association suggested that establishing a definitive national caseload size number was not the most effective and appropriate approach. That is, trying to identify a single magic number for optimal caseload size is futile and recognizing that community correctional systems face diverse circumstances and expectations, as well as variation in offender risks and needs is paramount.*** Burrell (2006) echoes this sentiment, noting that caseloads must be of a size that provides officers with enough time to devote to each offender to achieve supervision objectives. Officers with overly large caseloads can do little more than monitor offenders and return non-complaint ones to court.

Furthermore, it is now recognized that caseload size is a necessary but not sufficient condition for achieving successful and effective probation/parole supervision.[9] To this end, there have been a handful of statewide investigations of parole/probation caseloads and time allocation studies.[10] For example, an effort funded by the National Institute of Corrections in 1983 provided an early framework for states to examine probation/parole management in the context of supervision resources.[11] In this report, available hours of supervision were estimated nationally and for a number of states individually. Nationally, it was determined that, on average, probation/parole officers had about 6.6 hours per day (assuming 22 work days in an average month) to supervise offenders and estimates ranged from a high of 7.0 (Florida) to a low of 5.3

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[7] Wicklund, 2004
[8] DeMichelle, 2007
[9] DeMichelle, 2007
[10] Bemus, Arling, & Quigley, 1983; Bernus, 1990; Castellano & Ferguson, 1998; Eisenberg, 1986; Minnesota Department of Corrections, 2008; Oregon Department of Corrections, 1991; Stringer, 2006
[11] Bemus, Arling, & Quigley, 1983

(Wisconsin) among the states that were examined individually (i.e., Florida, Wisconsin, Missouri, Oregon and Ohio).

In a caseload-specific investigation conducted in Texas in 1984, Eisenberg (1986) determined that parole officers have approximately 120 hours per month available for supervision, and that an average case at the time required 1.9 hours of work.[12] By deducting 66 hours for personal and administrative time requirements from an average of 174 work hours, it was determined that that 110 hours (about 5 hours daily) were available for supervision. This allowed for approximately 2.5 hours for one intensive case, 1.5 hours for a medium case, and 1.0 hours for a minimum case. In a typical month an officer could supervise approximately 66 cases, which supported the 63.1-caseload capacity standard Texas was using at the time. Overall, administrative activities accounted for 1/3 of officers' work time each month and Eisenberg (1986) concluded that a critical work overload was preventing officers from providing adequate supervision, which was resulting in frequent and serious parole violations.

A study in Wisconsin yielded comparable results (Wisconsin Department of Corrections Division of Community Corrections, 2000) in that it was estimated that probation/parole officers had, on average, about 114 hours per month to supervise offenders and suggested a range of workload hours for offenders requiring different levels of supervision.[13] Assuming 22 workdays per month, a probation/parole officer has, on average, 5 hours per day to supervise offenders.

Concerns regarding work overload continue to permeate the community corrections environment. In a 2005 report on probation and parole officer workloads, the Minnesota Department of Corrections assessed the time devoted to work tasks among 58 agents.[14] The officers were selected by their supervisor-participants, based on their job experience and knowledge, ability to consistently meet supervision standards, and possessing the respect of their peers. They were then directed to prioritize their work to ensure that supervision standards were met with selected offenders. Participants filled out time-spent forms for a randomly selected sample of felony offenders. Study findings suggest the majority of officers' time was spent on paperwork and casework-related activities.

A study of New York State's Division of Parole's Metro 1 Region, serving Manhattan and the Bronx, found that actual caseloads regularly violated established caseload standards.[15] A survey of 122 officers indicated that parole officers often had unmanageable caseloads and lacked tools for assessing the needs of offenders. Also, many officers felt they lacked the professional development necessary to do their jobs and protect the public and did not believe they could make a difference in parolees' lives. Based upon these results, three key recommendations were made: 1) increase resources to ensure compliance with caseload standards and conduct regular caseload compliance audits; 2) revise weighted-caseload ratios to more accurately reflect both parolees' needs and officers' ability to meet those needs; and 3) increase the quality of professional development available to officers.

Results from prior studies on time available to supervise offenders are remarkably similar despite the long time spans and geographic variation among studies. In general, probation/parole officers have, on average, approximately 5 – 6 hours available to them each day to supervise offenders. However, whereas caseloads of approximately 45 were common in

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[12] Eisenberg, 1986
[13] Wisconsin Department of Corrections, 2000
[14] Minnesota Department of Corrections, 2008
[15] Stringer, 2006

the 1970s, caseloads of about 70 are most common today.[16] In the 1990s, for example, caseloads in California had increased dramatically – up to 500 per officer – with roughly 60% of offenders exclusively computer-monitored and having no face-to-face contact.[17] Importantly, over the last three decades, rates of parole and probation revocation have significantly increased, from 17% in 1974 to 45% in 1991.[18] Recent studies estimate that roughly 40% of all probation cases and 55% of parole cases result in revocation.[19]

In response to pressure to develop a standard set of caseload estimates, in 1990 the APPA established the Supervision Caseload Approach (see Table 1), in which caseloads are calculated as a function of each case's supervision priority (low, medium, and high) and the number of hours per month devoted to each of these types of cases (1, 2, and 4 hours for low, medium and high, respectively).[20] By using this rudimentary formula, one goal of this approach was to promote a workload, rather than caseload, model of work allocation. The workload model recognizes that offenders and jurisdictional differences produce differentials in

Table1: Supervision Caseload Approach (APPA, 1990)*

Case Priority	Hours Per Month	Total Caseload
High	4 hours	30 cases
Medium	2 hours	60 cases
Low	1 hour	120 cases

*Based on a 120-hour work week per officer per month

the amount of time required for officers per offender. Based on this model, high priority offenders require twice the amount of officer time than medium priority offenders, who in turn require twice that amount of supervision time of low priority offenders. This model was important because it shifted community supervision away from assignments based on enumeration to an approach that adjusts assignments for quantifiable factors specific to offender needs and risk.

In 2005, the National Institute of Corrections developed the Model Case Management Systems Project. Although these approaches to case assignment have yet to be evaluated, in 2001 the Research Development and Statistics Directorate commissioned a preliminary examination of workload models, to compare practices and make recommendations for community sentencing. A national survey went to all probation areas with questions about the characteristics of local case management arrangements.[21] Responses were received from 31 out of 54 possible areas (prior to the 2001 launch of the National Probation Service). In the 15 areas employing specialist models, separate teams carried out pre-sentencing report writing, delivered programs, and managed contacts with other staff or agencies for specific offenders (e.g. sex offenders, high-risk offenders). In contrast, teams working in the 13 areas using generic models performed a range of tasks and managed mixed-offender caseloads. In the remaining hybrid models, the degree of task fragmentation and separation of offender management by risk varied according to local context.

Some of the key findings of this report were:
- Specialist models allowed senior management to coordinate service delivery tightly and target resources at specific offenders and key supervision stages. However, offenders

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[16] Petersilia, 2000

[17] Beto, Corbett, & DiIulio, 2000

[18] Cohen, 1995

[19] Glaze, 2003; Langan & Levin, 2002

[20] APPA, 1991

[21] Source: Examining case management models for community sentences (Partridge, 2004)

experienced a high degree of task separation and movement between different teams, and so had the least coherent supervision experience.

- Generic models enhanced staff motivation by allowing them to work with a mixed caseload of offenders and to have continued contact with the same offenders, which enabled them to see the impact of their work. Generic models also provided a more coherent supervision experience for offenders.
- Local differences (i.e., geography, staff resources, skills, turnover) restricted the degree of specialization within a model and negated the possibility of designing a-one-model-fits-all strategy.
- Whatever model is delivered, several core case management principles enhance offender engagement and all models may therefore need to be refocused and/or redesigned to maximize the following principles:

  - models need to acknowledge offenders' experiences and needs;
  - continuity of contact with the same officer was essential to building confidence and rapport with the offender, particularly during the initial stages of supervision;
  - the greater the level of task separation, the more offenders were confused by why they were undertaking different elements of their supervision, particularly when contact with the officer had been limited;
  - face-to-face contact with a small case management team was beneficial for both staff and offenders; and
  - openness, flexibility and support were key motivating factors for offenders – exemplified by three-way meetings among officers, practitioners and offenders and where officers attended initial meetings as offenders moved to new delivery teams.

Alternative Sanction Programs

Research finds that the majority of parole and probation violations are related to non-adherence to the conditions of supervision and minor offenses, rather than commissions of new felony offenses. That is, revocation proceedings most often involve charges of administrative violations (such as alcohol use, drug use, or failure to pay costs/fines, and failure to report) or misdemeanor offenses, and most parolees charged with such violations admit them.[22] Where there is little dispute as to the charged violation, the real issue is the determination of the appropriate sanction. In 1996, the U.S. Parole Commission began a pilot project designed to expedite the processing of parole violations involving administrative, misdemeanor, and lesser felony charges. Certain alleged parole violators were given the option of waiving the right to a revocation hearing, acknowledging responsibility for the charged violation and accepting a specified revocation penalty determined by the commission on the basis of the case record. The goal was to conserve resources without negatively affecting the due process rights of the alleged violator or the integrity of the guideline system used to sanction violations. In 1998, the commission incorporated the expedited revocation procedure developed in the pilot project into its permanent regulations.[23] By 2003, expedited revocation determinations accounted for 40% of all commission revocation actions.

Since that time, a number of states, including Illinois, Oregon, and Oklahoma, have implemented expedited revocation procedures and/or programs of the type developed by the commission. Compared to traditional revocation hearings, these programs address technical violations more efficiently and reduce the amount of time probation and parole officers spend

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[22] Callahan & Silver, 1998; Steen & Opsal, 2007
[23] Hoffman & Beck, 2005

preparing for and waiting in court. The savings generated by the expedited revocation procedure allow courts and community supervision agencies to devote more resources to conducting revocation hearings involving more serious and/or contested charges. In addition, they allow officers to devote more time and resources to the casework and supervision of higher-risk offenders. Furthermore, by having one program that handles the majority of technical violations, the policies and procedures of the Alternative Sanctions Program promote consistent responses to violations, allow for consideration of the needs of offenders, and administer sanctions that balance these needs with violation severity and offender risk.

With approximately 5 million offenders currently under community supervision, parole or probation completion is an important measure of criminal justice success. A commitment to resolving problems of officer caseload and workload necessitates a commitment to address resource allocations for community corrections.

1.2. Long-Term Goals: Justice Reinvestment Project

Across the country, state spending on corrections has grown at a rate faster than nearly all other state budget item expenditures. Despite this increased spending, recidivism rates remain high and reports indicate that nearly half of all persons released from prison are re-incarcerated within three years. Moreover, the burden of meeting the needs of returning offenders lies disproportionately on relatively few communities. The Council of State Governments Justice Center notes that in every state, there are a handful of high-risk communities in which most offenders released from prison return and where taxpayer-funded programs are disproportionately focused.

In light of this growing crisis, on April 9, 2008, President Bush signed the Second Chance Act into law (Public Law 110-199). The Second Chance Act authorizes federal grants to government and nonprofit agencies. This funding enables the organizations to provide many services to help reduce recidivism and keep offenders from returning to prison, including substance abuse treatment, employment assistance, housing and family programming, mentoring, and other services. In fiscal year 2009, $25 million was appropriated for Second Chance Act programs, including $15 million for state and local reentry demonstration projects and $10 million to nonprofit organizations for mentoring and other transitional services.

For fiscal year 2010, $114 million was appropriated for prisoner reentry programs in the Department of Justice, including $14 million for reentry initiatives in the Federal Bureau of Prisons and $100 million for Second Chance Act grant programs. Similarly, *The Criminal Justice Reinvestment Act of 2009* (S.2772/HR.4080) authorizes the U.S Attorney General to make grants to state and local governments and tribes to help jurisdictions policymakers, justice practitioners, and other stakeholders to develop effective justice reinvestment strategies. This act extends the justice reinvestment work done by the Council of State Governments (CSG) Justice Center in several states. These collaborations are designed to develop policies to manage the growth of the corrections system and improve accountability and integration of resources concentrated in particular communities.

Currently, the Justice Center is working in collaboration with several states to create and implement policy options to generate safety and increase public safety through a four-step strategy. This strategy involves the following: (1) analyzing the prison population and spending in the communities to which people in prison often return; (2) providing various policy and programmatic options that recognize the uniqueness of each state's criminal justice system and tailor these policy and programmatic options to that jurisdiction; (3) quantifying savings for reinvestment in select high-stakes communities; and (4) measuring the impact of policy and

programmatic changes and enhancing accountability. Current state partners include Arizona, Kansas, Michigan, Connecticut, Texas, Ohio, Nevada, New Hampshire, Pennsylvania, Rhode Island, Wisconsin, Vermont, and North Carolina. Efforts in Arizona, Kansas and Michigan are discussed briefly as illustrations of Justice Reinvestment efforts.

Arizona. The Justice Center has been working with stakeholders in Arizona to understand the nature and scope of correctional growth. Thus far, they have found that Arizona's prison population has increased 52% over the last ten years. Recent projections estimate that, if current trends continue, the state prison population will grow by an additional 52% over the next ten years. This will result in a demand for 20,000 additional prison beds. To meet these demands would require an additional $3 billion in funding over the next ten years. Further analysis of the prison population revealed that high rates of failure among offenders on community supervision are the primary driving factor behind prison growth – parole and probation revocations account for 17 and 26 percent of admissions, respectively. Justice Reinvestment staff is currently working with state policymakers to investigate correctional populations and spending and develop appropriate recommendations.

Kansas. Policymakers in Kansas have a long history of making research-driven decisions to identify offenders who can be safely and effectively supervised in the community. This approach has controlled prison construction expenditures and provided the requisite prison space to incarcerate violent offenders. However, a number of issues, including several justice policies enacted in 2006 which increased sentence lengths, compromised this balance and resulted in a projected 22% increase in the state prison population. The Justice Center identified factors driving the increasing prison population. Specifically, a large proportion of admissions to prison were parole and probation revocations (comprising over 65% of prison admissions, costing $53 million annually) and nearly all of these revocations involved technical violations among offenders who needed substance use and mental health treatment. In addition, most offenders were released from prison without having had the opportunity to participate in prison programs designed to reduce recidivism.

In May 2007, the Kansas Legislature approved a package of criminal justice legislation, including creation of a performance-based grant program for community corrections programs. This program was to design local strategies to reduce revocations by 20 percent. Legislation also included the restoration of earned-time credits for good behavior for nonviolent offenders and the establishment of 60-day program credits to increase successful completion of educational, vocational, and treatment programs prior to release. The Justice center predicts that, should the new policies be implemented successfully, the state will avoid having to build over 1,200 additional prison beds over the next 10 years. Furthermore, the policies could save Kansas $80.2 million over 5 years in averted prison construction and operating costs.

Michigan. In January 2009, the Justice Center held a statewide policy forum to review policy options developed by the Justice Center that continue to maintain Michigan's truth-in-sentencing policy. The Justice Center's package of policy alternatives included recommendations to: (1) increase support to local law enforcement in order to set up targeted crime-fighting strategies and apprehend more violent offenders and (2) increase employment opportunities to at-risk youth disconnected from school and work. Importantly, efforts to reduce recidivism among probationers through implementations of risk assessments and data collection and the provision of resources to allow agencies to target high risk probationers were recommended. In addition, the Center recommended responding to probation violations with swift, certain and proportional sanctions and expanding employment services for high-risk probationers and parolees.

The package of policy options also included an accountability strategy that charges a state agency, independent body, or outside organization with periodically assessing the fiscal and public safety impact of these policies on various components of the state's overall criminal justice system. The Center estimates that this set of recommendations could potentially save Michigan approximately $262 million between 2009 and 2013. These savings will result from reducing the prison population by 10 percent over this period.

The State of North Carolina is currently working with the Justice Center to identify policy and programmatic changes the state can make to use local and state criminal justice resources more effectively.

1.3. Evidence-based Practices and Community Corrections

Evidence-based practices dictates that governmental policies must be shaped by scientific evidence that shows the policy has some cause and effect value. With growing prison and community corrections populations and limited resources, there is an increased emphasis on allocating resources where they are most needed and cost-effective. Administrators and policymakers continue to re-examine realistic workload capacities and determine how best to structure officer caseloads. There are at least three basic principles underlying these decisions: risk, need, and responsivity. The risk principle is based on research that validated assessment instruments are better able to predict recidivism than subjective or clinical offender assessments (see Andrews et al., 1990).

The needs principle captures those changing or dynamic offender risk factors such as mental health problems, substance use problems, informal networks, employment, and other individualized factors related to an offender's behavioral and thought patterns.[24] Whereas risk factors focus on past behaviors related to an offender's criminal history, the needs principle recognizes that there are offender-level time-varying characteristics that greatly influence an offender's predisposition to reoffend.[25]

Criminogenic needs refer to the degree to which daily functioning is impaired and the circumstances that increase the potential for an offender to become involved in criminal (antisocial) behavior.[26] Assessments offer an objective measure of an offender's likelihood to recidivate and identify the most appropriate interventions based upon the unique risks and needs of each offender. Community corrections officers may need to adjust case plans in light of an assortment of static (risk) and dynamic (needs) factors. Risk and needs principles guiding assessment recognize the importance of considering both offender past behaviors as well as life course factors (e.g., age, family status) in shaping likelihood for re-offending.

The responsivity principle takes into account the variety of offender learning styles and recognizes that approaches and interventions should be assigned carefully, according to an offender's culture, gender, and motivation levels. Evidence-based practices research argues against a one size fits all approach and suggests that treatment must be matched to each offender, and that style and methods of communication must correspond with an offender's level of readiness for behavioral change. Interventions should be targeted to those with the highest risk and needs. Moreover, over-serving low-risk offenders is a waste of precious resources and has the potential to result in poor outcomes. For example, Gendreau (1996) found that poorly

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[24] Taxman & Thanner, 2006
[25] DeMichele, 2007
[26] Taxman & Thanner, 2006

matching interventions with offenders has a tendency to increase recidivism such that low-risk offenders placed in programs alongside high-risk offenders tend to perform poorly.[27]

Integrating risk, needs, and responsivity principles creates a context in which community corrections agencies are better able to identify the most effective interventions and supervision strategies. The evidence-based practices approach replaces unfounded organizationally embedded practices with strategies supported by scientific observation and analysis.[28] Policy makers, administrators, and practitioners must understand the importance of synthesizing the concepts of evidence-based practices and the continued expansion of officer workloads. Importantly, for evidence-based practices to be of practical value, offenders must receive services and supervision relative to their risk. Thus, although evidence-based practices may play an important role in the correctional case planning, these practices can only be effective to the extent that corresponding quality programs and services are available, and to the degree in which assessment practices are used to determine how resources and requirements will be allocated to meet offenders' rehabilitation and treatment needs.

Unfortunately, in a time of expanding offender populations and contracting economic resources, many departments are allocating well over 200 offenders per officer, making it virtually impossible for offenders to receive adequate or high quality attention and interaction from officers.[29] The current trend of stacking up sanctions also makes it difficult for offenders to meet supervision conditions and difficult for officers to enforce supervision conditions.[30] In addition, punitive/punishment-oriented sanctions often used in response to offending have not been shown to reduce recidivism. Indeed, incarceration, fines, and other sanctions have been consistently found to do little with regard to decreasing criminal behavior.[31] Rather, research generally indicates that a number of key risk factors increase an offender's likelihood of committing future crimes. These factors include both static characteristics, such as prior criminal record and age at first arrest, and dynamic characteristics, such as antisocial attitudes and problematic substance use.

Although numerous psychosocial and other targeted programs are in place, there is no one conclusive and universally-applied community correctional treatment strategy to deter recidivism. Instead, several different programs have been implemented throughout the U.S., utilizing a variety of cognitive and behavioral strategies to target correlates of current and future offending. Evaluations of these programs have been promising, suggesting that addressing offenders' crime producing/criminogenic behavior can lead to reductions in re-offending. Importantly, these studies indicate that, to be effective, interventions must be responsive to the offender's behavior, cognitive behavioral and social learning style, and the service provider must be able to be an effective role model.[32]

The literature and science around developing evidence-based interventions continues to grow; however, the science around implementing and disseminating evidence-based practices in routine community-based settings has lagged woefully behind (see Fixsen et al., 2005). Recent efforts to describe the state of implementation science and strategies associated with the successful implementation of evidence-based practices have moved the field forward, yet these descriptions also provide a sobering picture of the difficulties and challenges of

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[27] Gendreau, Little, & Goggin, 1996
[28] Joplin et al., 2004
[29] DeMichele, 2007
[30] DeMichele, 2007
[31] McGuire, 1995; Cullen & Gendreau, 2000
[32] Andrews, 1989; Andrews & Bonta, 1996

coordinating the simultaneous change at the systemic, organizational, programmatic and practitioner levels required to implement and sustain evidence-based practices.

Research suggests the implementation of evidence-based practices is most successful under the following conditions:
- practitioners who will implement evidence-based practices are carefully selected and receive high-quality and on-going training, coaching, and frequent performance assessments with continuous feedback and improvement;
- the infrastructure of the organization (i.e., funding, formal and informal policies, regulations) supports the necessary training, supervision and coaching, and regular process and outcome evaluations;
- communities and consumers (i.e., those who will benefit from the evidence-based practices) are fully involved in the selection and evaluation of evidence-based practices; and
- policies and regulations are aligned to support and sustain evidence-based practices. [33]

As in many states, the North Carolina Division of Community Corrections is at the beginning stages of implementing evidence-based correctional practices. Also like many states, North Carolina will face barriers to the implementation of evidence-based correctional practices. Figure 1 below provides an overview of contextual factors faced by the DCC, as the state attempts to implement evidence-based practices.[34]

Community supervision does not occur in a vacuum. Specifically, probation officers can do little about economic recession, unemployment, substandard housing, intergenerational crime and substance use, and rapidly shrinking mental health and substance use treatment resources. Many of these larger social problems are related to crime and recidivism among offenders. Moreover, probation officers, to a large extent, are expected to solve these social problems but cannot. For example, probation officers can do little to help a probationer find employment if there are no jobs and probation officers can do little to help a probation get substance abuse treatment if quality substance abuse services do not exist. Thus, the work that a probation officer does, including the use of evidence-based correctional practices, is a small part of a much larger social context in which an offender is positioned.

In this context, Figure 1 should be viewed as a preliminary guide to help the state continue to develop a long-term plan for implementing evidence-based practices. In particular, implementation challenges around activities of officers, organizational factors, community factors, and offender factors are illustrated below to stimulate thought and discussion regarding the changes needed to implement evidence-based practices within DCC. For example, given the list of officer activities in Figure 1, how will activities be prioritized such that officers have time to implement evidence-based practices for those offenders who need them? How will inputs, activities and outputs be better aligned such that selected officers can provide high-quality evidence-based practices? Is more value placed on outputs (i.e., number of officer contacts, warrantless searches) or outcomes (i.e., quality contacts with offenders)? What are the desired outcomes of the Division?

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[33] Fixsen, Maoom, Blasé, Friedman, & Wallace, 2005
[34] These observations come from a variety of sources, including reviews of the literature and other published and unpublished documents, discussions with chief probation/parole officers, probation/parole officers, surveillance officers and community service district coordinators in North Carolina, results of a statewide survey of. These issues are not unique to North Carolina.

Moreover, there are also a number of organizational challenges that will need to be considered in order to provide the infrastructure needed to implement, support and sustain evidence-based practices within the DCC, including shrinking funding and resources, vacancies and turnover among positions, increasing workload among officers and pervasive stress and burnout among officers. Other challenges to the implementation of evidence-based practices include shrinking resources in the community, unemployment, lack of mental health and substance abuse treatment, lack of housing, increasing needs of offenders, poor motivation and compliance on the part of offenders and variability in the experience, training, and supervision styles of officers.

Figure 1: Context and Challenges of Implementing EBPs

Organizational Context
- Byzantine bureaucracy
- Fear, anxiety, mistrust, stress, burnout
- Low morale
- Disconnect (judiciary, admin, staff, policy)
- Shrinking funding and resources
- Inconsistencies across units, districts, etc.
- Vacancy/turnover issues

Community Context
- Rapidly shrinking resources
- Unemployment/lack of jobs
- Limited housing
- Limited services (mh, sa, dv, so)
- Multisystem collaboration challenges
- Public misunderstanding

Offender Context
- Mental illness
- Substance use
- Employment
- Lack of safe housing
- Family or social support
- Noncompliance/poor motivation
- Antisocial history

INPUTS
- Staff
- Time
- Money
- Resources
- Policies
- Judiciary decisions
- Legislation

ACTIVITIES
- Data entry
- Administrative work
- Office visits
- Home visits
- Travel
- Waiting in court
- Training new staff
- Managing state cars
- Referring to resources
- Supervising staff
- Hiring/training
- Assessment
- Courtesy cases

OUTPUTS
- # data entry
- # paperwork
- # offender contacts
- # training
- # warrantless searches
- # curfew checks
- # case reviews
- # EBPs
- # UAs
- # field visits
- # court visits
- # office visits

OUTCOMES
- Recidivism (?)
- Violations (?)
- Quantity of contacts (?)
- Quality of contacts (?)
- Data entry (?)
- Paperwork (?)
- Curfew checks (?)
- EBPs (?)
- UAs (?)
- Field visits (?)
- Court visits (?)
- Office visits (?)

PPO Context
- Variability in experience
- Variability in training
- Variability in supervision styles

There are now scales that have been developed to help an organization assess its readiness to implement evidence-based practices. In particular there are scales to measure practitioners' attitudes towards adopting evidence-based practices, scales to measure organizational readiness, and scales to measure community readiness.[35] The Organizational Readiness to Change scale, for example, assesses an organization's motivational readiness for change, institutional resources, staff attributes and organizational climate.[36] The DCC could consider implementing one or more of these scales to assess baseline readiness for the implementation of evidence-based practices.

1.4. Clinical Versus Actuarial Assessment

In a historical review, Andrews et al. (2006) detailed the development of the concept of assessment in criminal justice, detailing the progression of assessment approaches from clinical assessment's of offenders' risk with some emphasis on treatment planning, to actuarial risk

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[35] Aarons, 2004; Lehman, Greener, & Simpson, 2002
[36] Lehman, Greener, & Simpson, 2002

assessment of the risk of future criminal behavior, to actuarial risk in combination with dynamic factors to better guide treatment planning, and most recently to actuarial tools supplemented by problem-specific tools. Research consistently finds that standardized objective assessment tools enhance decision-making. These tools also provide protection against discretionary, biased, or inappropriate decisions.[37]

In a summary of the progress since the 1990s, Andrews and colleagues (2006) describe previous and new assessment strategies.[38] A major goal of current assessment is to strengthen adherence with the principles of effective treatment and to facilitate supervision that reduces recidivism and enhances public safety. In addition to the well-known the Correctional Offender Management Profiling for Alternative Sanctions (COMPAS), Andrews and colleagues (2006) review the Correctional Assessment and Intervention System (CAIS) and the Level of Service/Case Management Inventory (LS/CMI).

There is evidence that criminal justice agencies that use standardized risk and needs assessment have a greater impact on recidivism compared to agencies that do not.[39] Great strides have been made in measuring risk factors and predicting recidivism. A widely endorsed measure is the Level of Service Inventory – Revised[40], a measure that contains questions about criminal history, education/employment, finances, family/marital functioning, housing, leisure/recreation, companions, alcohol/drug problems, emotional/personal problems, and attitudes/orientation towards crime. However, there have been a small number of studies on the Level of Service Inventory-Revised (LSI-R) and most of these studies conclude that the individual factors evaluated in the LSI-R are not reliable predictors of re-offending.

For example, in an evaluation of the LSI-R, the Washington State Institute for Public Policy found that, although the assessment's criminal history factors were strong predictors, much of the remaining LSI-R items had very little power to predict future criminal behavior among a sample of state-released prisoners.[41] Furthermore, research in Pennsylvania suggests that the LSI-R has very low inter-rater reliability, with only 16 items having inter-rater agreement levels of 80% or higher. Nearly one-third of cases resulted in a disagreement in final determined risk-level.[42] More recently, an assessment of the validity of the LSI-R among released prisoners in Vermont found that only 13 of the 54 items were consistently predictive of an offender having a new conviction or returning to prison.[43]

Every day, approximately 100,000 probation and parole officers nationwide make important decisions regarding the risk level posed by offenders being supervised in the community. Currently, the field of community corrections is unsure how to best incorporate the concepts of risk and needs in making case-planning decisions, particularly with regard to dynamic and need factors. Harris (2006) reviewed the adequacy of both clinical and actuarial-based risk assessment instruments and concludes that actuarial models generally fare better than professional judgments regarding the probability of re-offending behavior.[44]

Despite their efforts, probation and parole offices run the potential risk of over-supervising some offenders, and subsequently diverting time and resources from the offenders presenting

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[37] Taxman, Yancey, & Bilanin, 2006
[38] Andrews, Bonta, & Hoge, 1990; Andrews, Zinger, Hoge, Bonta, Gendreau, & Cullen, 1990
[39] Lowenkamp, 2004
[40] Andrews & Bonta, 1995
[41] Washington State Institute for Public Policy, 2003
[42] Austin, Dedel-Johnson, & Coleman, 2003
[43] Austin, 2006
[44] Harris, 2006

the greatest risk, such as repeat violent offenders. For example, studies find that drug courts often serve many offenders who are not drug dependent and generally used drugs minimally, but were nonetheless classified as drug offenders due to their involvement in the justice system.[45] Importantly, assigning low-risk offenders to high-risk programs and treatment that they do not need may increase likelihood of recidivism.[46] These studies illustrate the importance of having reliable and valid risk and needs assessment instruments and using these instruments to better match the needs of offenders with appropriate levels of supervision.

Standardized Revocation Instruments

Under what circumstances should an officer pursue revocation? The decision to revoke an offender is often complex, as officers must take numerous issues related to the offender, the violation, the court, and other factors into account. While few situations are identical, correctional agencies have made considerable efforts to develop standardized revocation decision instruments and structured/graduated sanction models. Standardized revocation instruments and graduated sanction models refer to both court-based dispositional options, which vary by level of confinement or supervision required and agency-based schedules of increasingly restrictive responses that vary proportionally with an offender's degree of non-compliance.[47] These tools are intended to provide clarity and guidance to officers and to promote fairness and proportionality by using tools to calculate sanctions for parole violations. Although they share common elements, there is wide variation across jurisdictions in the operational design of these policies, ranging from loosely structured menus of sanction options to complex violation response matrices that incorporate multiple decisional points as well as positive reinforcement rewards.[48] Many agencies have their own protocols in place, yet there are few research evaluations of these tools.

Revocation tools take into account both risk level and violation severity, and help guide officer decision-making as to the appropriate response. Sanctions typically range from verbal reprimands to revocation and incarceration.[49] Thus, these instruments are consistent with basic assumptions of the risk principle, recognizing that both public safety and rehabilitative responses should be aligned with an offender's risk of reoffending.

These decision-making instruments share several broader objectives, including prompt response to violations, certainty in agency adherence to the sanction policy, and graduated range of punishments.[50] The incorporation of risk management principles and reliance on community resources reflects broader utilitarian objectives as well, as parole agents tailor responses according to criminogenic needs and reserve revocation options for high risk violators.[51] Taxman and colleagues (1999) argue that these elements can help reduce supervision failure in that the consistency and uniformity of response inherent within structured sanctioning schemes reduces disparity and fosters perceptions of procedural justice.[52] Perceived procedural justice enhances the legitimacy of probation/parole authorities and promotes offender compliance.[53]

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[45] Taxman & Thanner, 2006; DeMatteo, Marlowe, & Festinger, 2006
[46] Lowenkamp & Latessa, 2005
[47] Weibush, 2002
[48] Burke, 2004; Carter, 2001
[49] Carter & Ley, 2001; Burke, 2004
[50] Taxman, Soule, & Gelb, 1999; Wiebush, 2002
[51] Wiebush, 2002
[52] Sherman, 1993
[53] Taxman, 1999

Two of the most recognized instruments are the matrix guide in Ohio and the more recent Parole Violation Decision Making Instrument (PVDMI) in California. Implemented in 2005, the Ohio matrix consists of a series of graduated sanctions, called unit-level sanctions, before probation or parole is revoked. Non-incarceration sanctions include such options as more restrictive supervision, increased structured supervision, substance abuse testing and monitoring, and halfway house placement. The matrix limits the number of unit sanctions, and the number of alternatives to incarceration decreases as risk level, violation severity, and number of violations increase. Therefore, higher levels of violations or risk levels increase the likelihood of a revocation hearing and subsequent re-incarceration.

An evaluation of Ohio matrix found that costly revocation hearings and reincarceration were significantly reduced.[54] It also found that when hearings did occur, they were more efficient and primarily consisted of those offenders who presented a higher risk of reoffending. In addition, they revealed that the amount of proportionality between offender risk, violation severity, and sanctions increased. Importantly, the study showed that progressively punitive sanctions, by themselves, did not decrease the likelihood of future criminal behavior. However, the incorporation of treatment services to the progressive sanction scheme did reduce recidivism by high-risk offenders sentenced for parole violations. In addition, theoretically the looming threat of more restrictive sanctions encourages offenders to participate in treatment.

In 2008, California implemented the Parole Violation Decision Making Instrument (PVDMI), a computer-based parole violation sentencing system. First, the offender's risk score is calculated using the California Static Risk Assessment (CRSA). Then officials use PVDMI to determine where a parolee's violation falls on a severity scale. Severity is then cross-referenced with the CSRA score to determine a response level or sanction. Sanctions range from community-based programs that only temporarily take offenders away from family and employment to prison. California's PVDMI assessment tool was designed to focus on higher risk parolees while diverting less serious parole violators to treatment and other community-based alternatives; however, officers and supervisors can recommend overriding the PVDMI, depending on unique circumstances and the availability of community alternatives. Use of the PVDMI began at four pilot sites and was expanded statewide in 2009. While a formal evaluation of the PVDMI has yet to be released, there is some early indication that sanctions directed by PVDMI appear to be appropriate in a majority of violation instances.[55]

1.5. Assessment in North Carolina

In 2004, a technical review team from the National Institute of Corrections conducted an outside evaluation of caseload issues in North Carolina, and, among other things, recommended that DCC develop or adopt a standardized risk assessment. In response, the DCC created a task force commissioned to adopt an existing assessment tool, such as the LSI-R, or create its own risk assessment. The LSI-R was found to be cost-prohibitive, thus, the DCC developed its own risk and needs assessment (RNA): the Offender Survey (self-report from the offender) and the Officer Interview and Impressions (impressions from the field officer). The DCC is in the process of examining the reliability and validity of these measures so they may be used in a general framework of assessing risk and needs, assigning levels of supervision and informing case management plans that reduce recidivism and address offender needs.

The Division of Community Corrections (DCC) is appropriately focused on implementing the principles of risk-need-responsivity (RNR) as a part of the general framework for supervising

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[54] Martin & Van Din, 2008
[55] Turner & Murphy, 2009; http://ucicorrections.seweb.uci.edu/node/84

offenders who are on probation and parole. The foundation of RNR is an accurate assessment of factors that lead to recidivism, including antisocial history, antisocial behavior patterns, antisocial cognition, antisocial associates, family problems, poor performance at school or work, a lack of healthy leisure pursuits, and substance abuse. The use of and focus on RNR is an essential component in a framework of implementing evidence-based practices (EBPs) designed to reduce recidivism and promote rehabilitation among offenders. However, implementing EBPs in any setting is a long and challenging process which requires both organizational and individual change. As a part of this workload study, the UNC-CH research team examined work to date on the RNA and made a number of recommendations for its continued testing and use (see Chapter 8).

In this context, based on feedback from chief probation/parole officers and probation/parole officers[56], the RNA in its current form has a number of challenges, including: (a) the RNA is not particularly well connected to decisions made about supervision levels; (b) the RNA is too long for practical purposes; and (c) the RNA is largely based on the self report of offenders who have incentive to be dishonest. As testing and validation of the RNA continues, the DCC will need to attend to these issues and involve the front-line officers in the decision making process to increase buy-in from the bottom up. Moreover, the DOC has developed a framework for using both risk and needs – based on scores from the RNA – to identify levels of supervision; however, to a large extent, the reliability and validity of the RNA is unknown.

1.6. Summary

Research germane to North Carolina's progress towards establishing caseload and workload standards, using standardized risk and needs assessments and implementing evidence-based correctional practices were covered in the literature review. As in many states, shrinking budgets and resources combined with increasing probation populations and recidivism rates has forced the DCC to reevaluate its community supervision practices to maximize efficiency and effectiveness. The remainder of this report will focus on the presentation of empirical findings of the current workload study and will conclude with recommendations for the state to consider as it continues to implement change to the way community corrections are delivered.

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[56] Semi-structured focus groups with 28 chief probation/parole officers, 22 probation/parole officers, 19 surveillance officers and 22 community service district coordinators were conducted as a part of a probation/parole workload study.

CHAPTER 2: OFFICER FOCUS GROUPS

2.1. Focus Group Methods and Findings

Focus groups were conducted around the state to solicit information about the challenges faced by the DCC as it moves towards the implementation of evidence-based challenges, the challenges of supervising offenders, the day-to-day challenges associated with being a chief probation/parole officer (CPPO), probation/parole officer (PPO), surveillance officer (SO) or community service district coordinator (CSDC) and to learn more about the routine daily activities among each of the four positions above. Moreover, the focus groups served several important purposes. First, meetings with the officers and CSDCs allowed members of the research team to introduce themselves and the study. Second, feedback on drafts of the on-line survey that was created as part of the project was solicited (see Appendix C). Third, the discussions generated by the semi-structured interview questions were informative and provided a rich context for study findings and recommendations.

CPPOs, PPOs, SOs and CSDCs from across the state were randomly selected from each district within each division and were invited to participate in 90-minute focus groups where drafts of an on-line survey were reviewed and focus group questions were discussed. Specifically, a representative sample of chiefs, field officers, surveillance officers and community service district coordinators from each district in each division were invited to participate in the focus groups; however, not all who were invited attended focus groups and in some instances alternatives were selected. In total, 91 DCC staff members participated: 28 chief probation/parole officers, 22 probation/parole officers, 19 surveillance officers and 22 community service district coordinators.

Table 2: Focus Group Themes

Themes	
Low morale	High stress, high burnout; high fear job; officer morale extremely low; no way to avoid mistakes given caseload/workload size
Disconnect	Disconnect b/w administration and field and judiciary; policies not uniformly implemented or interpreted across divisions, districts, counties, or units
Inefficiencies	Wasted time on non-supervisory activities; wasted money on equipment no one uses; UAs; changing time zones (and cars); wasted time in court
Caseload/workload	Caseload/workload size does not allow for quality supervision; workload continues to increase; mixed caseloads problematic; team specialization more effective
Personnel Issues	Hiring and firing must be quicker and more streamlined; involve CPPOs in local hiring process; address turnover with incentives and merit-based pay raises
Training/Mentoring	Need formal mentoring program; need forum for information sharing among officers and other staff
Resources/equipment	Better communication tools (i.e., cell phones, satellite phones, car radios); voicemail and laptops

A semi-structured interview protocol was developed for these focus groups (see Appendix B) and field notes were carefully recorded. Focus groups included approximately 4 – 10 officers, with CPPOs, PPOs, SOs, and CSDC groups conducted separately. Focus groups with Division 2 were conducted on August 27, 2009. Focus groups with Division 3 were conducted on September 3, 2009. Focus groups with Division 1 were held on September 10, 2009 and focus groups with Division 4 were held on September 17, 2009.

The field notes taken during each focus group were analyzed by two independent raters and text segments were grouped into broader themes. The themes that emerged from these analyses are presented in Table 2, in no particular order. Common themes revolved around low officer morale; disconnect within and between all levels of the division; inefficiencies and time

wasted on non-supervisory activities; caseload and workload management issues; personnel issues; training and mentoring issues; and issues with resources and equipment.

For example, a chief probation/parole officer said the following about the demands of the job of a field officer.

The administrative demands of a PPO are crushing. I firmly believe that the job is close to impossible. A PPO's daily routine requires an hour to 2 hours of administrative work (AOC Alerts, batch jobs, court dockets, jail lists, etc. and necessary OPUS documentation) before he sees 1 offender. The problem is compounded exponentially with every courtesy case (because of vacant caseloads). I currently have PPO IIs with caseloads that have not gone below 85 in years and have been as high as 105, due to officer vacancy. Does anyone who knows anything about Probation expect these requirements to be met in 40 hour a week?

Another field officer commented on inefficiencies that interfere with offender supervision.

Another aspect of our jobs that needs to be looked into is the violation hearing process. As an officer, if you have only one violation hearing, you can spend the entire work day in court. It is not good time management to lose an entire day dealing with sometimes one case in court. Also, I have issues with my equipment, such as my computer. A lot of the computers are old and it has been giving me problems more and more as of late. Perhaps if we had new equipment that is faster, that too, would save us time during our work day.

Another field officer commented on unrealistic job demands and disconnect between the administration and officers in the field.

As a community officer caseloads can run between 75 to over 100 offenders on one person's caseload. Not taken into account the officer is expected to do home contacts at the offenders houses (alone) which some of the offenders are really high risk offenders but the DA's are not pulling records, we're expected to get a drug screen, warrantless search, refer offenders to treatment facilities all within 30 days among other time restraints duties. All of these duties have to be scheduled around the being in court on a weekly basis, completing violations reports, investigations, interstate compact cases, families, victims, co-workers, the list just goes on. The high demands are truly unrealistic because there is no way an officer can accurately supervise or give the necessary attention to each offender needed while trying to stay on top of all our other duties. I do believe some of these impossible rules/duties are coming from people in positions that have not worked as a probation/parole officer in over 20-30 years or either has not work as an officer at all. I say this because if one really has worked recently in the positions we have there will be a better understanding of realistic supervision.

2.2. Direct Observation

Direct observation was also an important component of the study. Originally, an ambitious plan to conduct direction observations with chief PPOs, field officers, surveillance officers and community service district coordinators was proposed by the research team with the goal to understand better the variety of activities field officers, for example, engaged in on a routine basis and understand better the amount of time field officers spent on these activities (i.e., how much time does an officer typically spend on data entry during a typical day). However, these efforts were scaled back considerably after the time period within which the study was being

requested was shortened and the study's budget was reduced. Thus, direct observation was used to serve a different function for the research team. Namely, direct observation was used to provide the research team with a general sense of what a typical day in the office for a field officer was like, what a typical day in the field for a field officer was like, and what a typical day in court for a field officer was like.

In this context, members of the research team shadowed three field officers from three different Divisions. Direct observations occurred on August 28th and September 4th. Specifically, two field officers were shadowed on August 28th – one in the field and one in court – and members of the research team were able to experience what typical days were like for officers who spent time in these settings. Additional direction observation was made on September 4th during which time a member of the research team shadowed an officer during a typical day in the office. The direct observations served several important purposes. Namely, the research team was able to observe officers in their routine settings and the direct observations provided a rich context for study findings and recommendations.

One thing that became abundantly clear was the notion that there is no such thing as a routine or typical day for a field officer. For example, one of the research team members observed a warrantless search which evolved into a multiagency effort that occupied the field officer for most of the day. Thus, the officer was unable to perform many other activities that were originally planned for that day. This observation day in particular underscored the fact that no two days are alike for any officer and no two offenders are alike with respect to their supervision risks and needs.

2.3. Summary

In summary, the feedback from the focus groups and direct observations provides an informative picture of the challenges the DCC currently faces as the transition to implementing evidence-based practices unfolds. In particular, low officer morale, inefficiencies that reduce face-to-face time officers have with offenders, and increasing workloads, among other things, will present barriers to implementing evidence-based practices and improving the efficiency and effectiveness of community corrections. Also, the findings presented here can serve as a baseline to which periodic comparisons of staff morale and other issues can be compared as the state moves forward with its plans to reform community corrections.

Further, it is important to note that the selected quotes above illustrate several things. First, the quotes illustrate the difference between caseload and workload in that a workload perspective considers not just the numbers on a field officers case but all of the routine activities officers are asked to perform. Second, these quotes are typical of the many quotes offered by the officers who completed the statewide survey; however, many of the officers also expressed that they believe in their jobs, they enjoy their jobs and are doing the best work that they can. Third, the themes in Table 2 and the quotes above represent only the perspectives of the groups that were interviewed. The opinions and perspectives of judicial district managers, assistant district managers and other administrative personnel are not captured here.

Finally, it is important to note that the issues and challenges expressed by CPPOs, PPOs, SOs and CSDCs **are not exclusive** to North Carolina. Indeed, the findings from the focus groups presented here resonate with other research of officer job perceptions of caseloads and time use. For example, in a national web-based study of corrections officers, the dominant concerns of probation/parole officers included goal ambiguity, funding concerns, developing effective strategies to intervene in offenders' lives and the desire to implement evidence-based

practices.[57] Also, most officers understood the importance of evidence-based practices, but indicated that lack of funding and personnel inhibited implementation. Moreover, officers were generally dissatisfied with caseload management practices and stated that resources and intensive supervision should be targeted to offenders based on need and risk, and fewer resources allocated to low-risk offenders. Officers noted trends in the development of specialized units without corresponding increase in resources and personnel vacancies and other issues hindered caseload and time management. Trends in specialized and high-risk caseloads over basic and general caseloads and GPS tracking of unique offenders (including sex offenders) have increased workloads and altered resource allocations. To its credit, North Carolina is taking an active role in addressing its issues.

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[57] DeMichele & Payne, 2007

3.1. Statewide Survey Method

A statewide web-based survey was administered to collect information about routine activities of DCC staff and the time spent on these activities, caseload characteristics and challenges to supervising offenders, organizational climate, job stress and personal well being among CPPOs, PPOs, SOs and CSDCs. See Appendix C for a copy of the survey. Specifically, one of the primary goals of the survey was to understand how much time field officers spent on the routine activities they performed during a typical day. The activity list was generated by reviews of the literature and previous probation workload studies and from the focus groups with CPPOs, PPOs, SOs and CSDCs.

The list of activities and brief descriptions of these activities appear in Table 22 in Appendix F. The research team attempted to be as inclusive as possible in its enumeration of the routine activities among staff. In total, 67 activities were listed under the following broad categories:

- office-based activities without offender present, which includes general data entry, answering emails, checking batch jobs, checking AOC alerts, among other activities;
- office-based activities with offender present, which includes intake assessments, face-to-face supervision activities, reviewing sanctions and case expectations with an offender, general paperwork with an offender, drug testing, among other activities;
- activities related to interstate compact offender transfers, which includes data entry, reviewing cases, communicating and collaborating with other law enforcement agencies, among other activities;
- activities in the field, which includes home visits with offenders, general casework, making arrests, conducting warrantless searches, assisting local law enforcement, attending staffing with community treatment providers, and general travel, among other activities;
- activities related to electronic house arrest, which includes setting up equipment, data entry, responding to miscalls from command center, responding to legitimate calls from command center, and following up on violations, among other activities;
- court-related activities, which included overseeing offenders in front of the judge, waiting for the judge and other court personnel, communicating with the judge and other court personnel without the offender present, and processing court cases, among other things; and
- staff-related activities, which included mandatory trainings, staff meetings, and performance evaluations, among other things.

The activities in Table 22 in Appendix F were also categorized into the following for purposes of examining activities across rural and urban settings and among officers with different offender types: collateral supervision activities, face-to-face supervision activities and administrative activities (see Figure 2 on page 38 below). Here, collateral supervision activities were defined as activities essential to the supervision of an offender but performed in the absence of the offender.

Collateral supervision activities included the following:
- general data entry (office-based),
- reviewing and answering emails (office-based),
- case reviews and staffing (office-based),
- closing cases (office-based),

- tolling cases (office-based),
- checking batch jobs (office-based),
- roster checking (office-based),
- checking AOC alerts (office-based),
- meeting with offender's family without offender present (office-based),
- meeting with crime victims (office-based),
- telephone contacts (office-based),
- identifying community resources for offender (office-based),
- data entry (ICOT-related),
- reviewing cases (ICOT-related),
- communicating and collaborating with other agencies (ICOT-related),
- home visit with offender's family without offender present (field-based),
- home visit with crime victims (field-based),
- treatment staffing (field-based),
- general travel (field-based),
- setting up equipment (EHA-related),
- data entry (EHA-related),
- processing court cases,
- communication with judge and other court personnel,
- parole hearings,
- post-release violation hearings

Face-to-face supervision activities were defined as activities performed by field officers in the presence of an offender and include the following:
- risk and needs assessments,
- intake assessments,
- telephone contact with offender,[58]
- paperwork with offender,
- face-to-face office visit,
- responding to violations in office,
- drug testing,
- casework with offender present,
- home visit with offender,
- visiting offender's place of employment,
- making arrests,
- conducting warrantless searches,
- assisting local law enforcement,
- responding to violations in field,
- responding to command center calls (EHA),
- following up on violations (EHA),
- overseeing offender cases with judge

Administrative activities were defined as activities unrelated to the supervision of offenders and include the following:
- supervising officers or other personnel,
- office duty,
- communications and public relations,

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[58] This activity was treated as a face-to-face activity.

- office management,
- managing state cars,
- responding to EHA miscalls,
- waiting in court (offender not in front of judge),
- waiting in court (waiting on judges and other personnel),
- trainings,
- performance evaluations,
- staff meetings

These categorizations are used in Figure 2 below. Also, it is important to note that this list is not exhaustive and is somewhat open to interpretation. For example, general data entry could be viewed by a field officer as something that takes time away from providing face-to-face supervision with an offender in the field. However, an administrator might view data entry as an important collateral supervision activity that is a necessary part of the overall supervision process.

3.1.1. Participants. All CPPOs, PPOs, SOs and CSDCs working for the North Carolina DCC in September 2009 were invited to participate in the survey. In total, 1986 personnel were asked to participate; however, 17 were later determined to have left DCC employment, so the total number of eligible participants was 1969.

3.1.2. Reporting on Daily Activities. Each survey participant was assigned a particular day on which he or she was to report his or her daily activities and the time spent on those activities. In order to ensure that variations in work activities by day of the week and week of the month were captured, each officer was given a randomly assigned workday. Reporting days were Mondays thru Fridays from October 26 to November 20. Randomization was performed within four strata (CPPOs, PPOI-IIIs, SOs, and CSDCs) in order to ensure balance. When completing the survey, respondents were asked if they performed any work on their designated reporting day. Those who did not (vacation, illness, etc.) were asked to report instead on their most recent work day prior to the assigned reporting day. By randomly assigning different days of the week and weeks of the month during the data collection period, the research team hoped to gain an overall sense of activities performed during a routine day and the time spent on those activities. Moreover, the research team understood from its direct observation with field officers that there was no such thing as a routine or typical day. That is, a field officer may have a series of home visits scheduled on a particular day but could as easily find him or herself tied up with something unexpected (i.e., accompanying a colleague on a warrantless search, assisting law enforcement with an arrest, being called into court). Nevertheless, because many officers completed surveys on the same day (e.g., November 5th), same day of the week (e.g., Thursday) and same week during the data collection period (e.g., the week of October 26), atypical days and unusual occurrences were theoretically kept to a minimum.

Table 3: Web-based Survey Participation Rates

	Number Invited	Number Responded	Response Rate
Chief Probation Parole Officer	201	178	88.5%
Probation/Parole Officer I-III	1371	893	65.1%
Surveillance Officer	267	160	59.9%
Community Service District Coordinator	130	79	60.7%

3.2. Participation Rates

Of the 1969 eligible participants, 1310 completed the survey, for an overall response rate of 66.5%. An additional 109 participants started the survey and answered part of the questions, but did not complete it. Table 3 shows

response rates by officer type. As shown in Table 3, CPPOs had the highest response rate (88.5%) and surveillance officers had the lowest response rate (59.9%). The overall response rate for completed surveys was close to the research team's goal of 70%. Among the total number of 1,310 respondents, participation by position was as follows: CPPOs (n=184, 14%), PPOIs (n=228, 17%), PPOIIs (n=560, 43%), PPOIIIs (n=155, 12%), SOs (n=179, 14%), and CSDCs (n=86, 6.5%). Field officers made up just over half (55%) of the total number of participants.

3.3. Survey Results

Table 4 below summarizes selected survey findings from PPOIs and field officers. Responses from PPOs were separated into two groups. PPOIs (n=228) were treated as their own group given how their roles differ from field officers (i.e., PPOIIs and PPOIIIs), who were combined into one group (n=715). Hereafter, PPOIIs and PPOIIIs will be referred to as field officers. PPOIs had on average a little over nine years of experience in corrections and averaged 5.5 years of experience as probation/parole officers. Field officers reported an average of 11 years in corrections and 6 years as probation/parole officers.

The top five activities PPOs spent time doing during a given workday are also reported in Table 4. On average, PPOIs spent the most time on data entry (M=95.33, SD=80.46), followed by participating in face-to-face office contacts with offenders (M=78.84, SD=74.38), processing court cases (M=52.21, SD=97.96), waiting in court (M=33.58, SD=61.27), and completing offender-related paperwork (M=27.70, SD=27.70). It is important to note the skewed distributions and large standard deviations associated with several of these activities. This suggests that there was significant variability in the time spent on these activities. For example, there was significant variability in time spent waiting in court. That is, some PPOIs spent a great deal of time

Table 4: Daily Activities and Caseloads (n=943)

Indicator	PPOI (n=228)	Field Officers (n=715)
Years experience in corrections (M(SD))	9.05 (7.73)	11.29 (6.79)
Years experience as PPO (M(SD))	5.65 (6.28)	6.21 (5.47)
Top five activities and time (minutes)		
Data entry (M(SD))	95.33 (80.46)	91.44 (65.93)
Face-to-face office visit (M(SD))	78.84 (74.38)	73.64 (76.00)
Processing court cases (M(SD))	52.21 (97.96)	-
Home visit with offender (M(SD))	-	51.35 (71.36)
Waiting in court (M(SD))	33.58 (61.27)	47.19 (83.67)
General travel (M(SD))	-	33.21 (65.67)
Paperwork with offender (M(SD))	27.70 (41.17)	-
Caseload Information[a]		
Current caseload (M(SD))	96.2 (33.1)	73.00 (21.46)
Ideal caseload (M(SD))	67.6 (19.3)	50.91 (12.68)
Caseload difficulty (M(SD))	7.2 (2.2)	7.10 (2.12)

[a] 1 = not at all difficult – 10 = extremely difficult

waiting in court and others did not spend any time waiting in court. Moreover, the average caseload size for PPOIs was about 96 (SD=33.1). PPOIs were asked to estimate their ideal caseload size given the types of offenders they supervise. On average, PPOIs suggested their ideal caseload size would be about 70 offenders, which was about 20 fewer than their current caseload size, on average. Next, PPOIs were asked to rate the difficulty of managing their caseloads on a scale of 1 (i.e., not difficult at all) to 10 (i.e., extremely difficult). On average, PPOIs rated their caseload difficulty as 7.2 (SD=2.2) on a scale of 1 to 10.

Also shown in Table 4, on average, field officers spent the most time during their reporting days on data entry (M=91.44, SD=65.93), followed by participating in face-to-face office contacts with offenders (M=73.64., SD=76.00), conducting home visits with offenders (M=51.35, SD=71.36), waiting in court (M=47.19, SD=83.67), and on general travel (M=33.21, SD=65.67). The average caseload size among field officers was about 73 offenders, which included active and courtesy cases, and, on average, field officers rated the difficulty of supervising their

caseloads as a 7.1 on a scale of 1 (i.e., not difficult at all) to 10 (i.e., extremely difficult). Field officers suggested their ideal caseload size would be approximately 50 offenders, on average.

The remainder of this chapter will be focused examining how field officers with different offender types spend their time and if there are differences across rural versus urban settings. With respect to offender types, several different strategies were used to identify offenders who were assigned to high versus low levels of supervision. Specifically, punishment type (i.e., Intermediate Level offenders are assigned to higher levels of supervision than Community Level offenders), scores on the Offender Traits Inventory (i.e., offenders with scores over 35 require more supervision compared to offenders with scores below 35) and supervision level (i.e., Intermediate Level I offenders are assigned to higher levels of supervision than Intermediate Level II offenders) were used to identify offenders who were assigned to high versus low levels of supervision. It is debatable as to whether these indices are good proxies for offenders'

recidivism risk; however, these are the best data currently available to answer questions about officers' activities and how time spent on these activities vary by offender type (i.e., offenders who require more versus less supervision). Also, because of the error inherent in any one of the aforementioned indices (i.e., an offender assigned to Community Level punishment should be assigned to Intermediate Level), the strategy to examine how field officers with different offender types spend their time and if there are differences in rural versus urban settings was replicated using all three indices

Figure 2: Face-to-Face, Collateral Supervision and Administrative Activities*

*Note: Hours per reporting day, on average. High = officers with most difficult caseloads (i.e. highest proportion of Intermediate Level I offenders to total caseload); Low = officers with least difficult caseloads (i.e., lowest proportion of Intermediate Level I offenders to total caseload); Urban = urban county, Rural = rural county.

mentioned above. The point here is to try a number of different ways to identify field officers with the most difficult caseloads (i.e., those offenders who are assigned the most intensive supervision levels) and officers with the least difficult caseloads (i.e., those offenders who are assigned the least intensive supervision levels) and compare daily activities and time spent on these activities across rural and urban settings for these two groups. The results of these analyses are discussed below.

Figure 2 shows the average number of hours of face-to-face supervision activities, collateral supervision activities and administrative activities among field officers with the highest ratio of Intermediate Level I offenders (i.e., High) and the lowest ratio of Intermediate Level I offenders (i.e., Low). Here, as mentioned above, a ratio of Intermediate Level I offenders to total caseload size was used as a proxy for caseloads containing offenders assigned to higher levels of supervision (i.e., High) versus caseloads containing offenders assigned to lower levels of supervision (i.e., Low). As shown in Figure 2, on average, field officers with high supervision caseloads in urban areas spent 3.67 (SD=1.89) hours on their reporting day on face-to-face supervision activities. Also, field officers with high supervision caseloads in rural areas spent about 3.64 (SD=2.51) hours on their reporting day on face-to-face supervision activities. Field officers with low supervision caseloads in urban areas spent 3.62 (SD=2.20) hours on their reporting day on face-to-face supervision activities. Also, field officers with low supervision caseloads spent about 3.18 (SD=1.72) hours on face-to-face supervision activities.

Also shown in Figure 2, on average, field officers with high supervision caseloads in urban areas spent 4.00 (SD=1.68) hours on their reporting day on collateral supervision activities. Field officers with high supervision caseloads in rural areas spent about 4.23 (SD=1.78) hours on their reporting day on collateral supervision activities. Field officers with low supervision caseloads in urban areas spent 4.49 (SD=2.23) hours on their reporting day on collateral supervision activities and field officers with low supervision caseloads in rural areas spent about 3.93 (SD=2.07) hours on their reporting day on collateral supervision activities.

Moreover, as shown in Figure 2, on average, field officers with high supervision caseloads in urban areas spent 1.25 (SD=1.72) hours on their reporting day on collateral supervision activities. Field officers with high supervision caseloads in rural areas spent about 1.33 (SD=1.56) hours on their reporting day on collateral supervision activities. Field officers with low supervision caseloads in urban areas spent 1.31 (SD=1.93) hours on their reporting day on collateral supervision activities. Field officers with low supervision caseloads in rural areas spent about 1.27 (SD=1.41) hours on their reporting day on collateral supervision activities.

It is important to note that all officer groups represented in Table 2 above worked more than 8 hours on their randomly assigned reporting day. Moreover, in the statewide survey and in the focus groups, officers emphasized the fact that they cannot complete their jobs in an eight-hour workday given all that they are required to do.

Next, the relationship between time spent on face-to-face supervision activities, collateral supervision activities, and administrative activities by offender punishment type and geography was explored using a number of different strategies. First, officers (i.e., PPOIs and field officers) were separated into quartiles according to the ratio of offenders assigned to Intermediate vs. Community Level punishment, with the highest quartile (high I:C) having 75% or more Intermediate offenders on their caseloads and no more than 25% Community Level offenders. The lowest quartile (Low I:C) indicates caseloads having 25% or fewer Intermediate offenders and 75% or more Community Level offenders. This strategy was used to examine caseload sizes, caseload difficulties, ideal caseload sizes and activities for officers with more offenders assigned to Intermediate vs. Community Level punishment type. Again, this is a proxy for high supervision caseloads and low supervision caseloads.

As shown in Table 5, officers with the most Intermediate offenders (i.e., High I:C), in general, had smaller caseloads (M=60.6, SD=16.6) but also reported lower ideal caseload sizes (M=47.0, SD=10.3). There was little variation in caseload management difficulty across the four groups (i.e., high, medium-high, medium-low and low) and caseload management difficulty ranged from 6.9 to 7.2 for these officers. Also, data entry was the activity officers spent the most time on and this was independent of caseload characteristics, although officers with the highest ratio of Intermediate offenders spent about 10 minutes less on data entry

Table 5: Caseload Characteristics by Ratio of Offenders with Intermediate- vs Community-level Punishment Types

Indicator	High I:C Ratio (n=134)	Med-High I:C Ratio (n=134)	Med-Low I:C Ratio (n=134)	Low I:C Ratio (n=134)
Caseload size (M(SD))	60.6 (16.6)	68.8 (17.3)	79.9 (21.8)	79.7 (22.2)
Caseload difficulty (M(SD))	6.9 (2.1)	7.0 (2.2)	7.4 (2.0)	7.2 (2.0)
Ideal caseload size (M(SD))	47.0 (10.3)	49.0 (10.5)	53.5 (13.1)	56.3 (13.0)
Top three activities				
First	Data entry (80.1 min)	Data entry (93.0 min)	Data entry (91.7 min)	Data entry (93.0 min)
Second	Offender office visits (64.3 m)	Offender Office visits (70.8 m)	Offender Office visits (89.3 m)	Offender Office visits (74.2 m)
Third	Offender home visits (58.4 m)	Waiting in court (56.3 m)	Offender home visits (50.3 m)	Offender home visits (45.5 m)

Notes. Activities are shown in minutes for assigned reporting day. Ratio of Intermediate (I) : Community (C) Caseloads by Quartiles (High= highest I:C quartile – Low = lowest I:C quartile).

(M=80.10) compared to officers with the lowest ratio of Intermediate offenders (M=93.00). Offender visits in the office was the activity that officers spent the second most amount of time on and officers with medium-low and low ratios of Intermediate offenders spent more time on office visits (M=89.3 and M=74.2, respectively) compared to officers with high or medium-high ratios of Intermediate offenders (M=64.3 and M=70.8, respectively). These data suggest that the activities and time spent on activities by PPOs do not vary according to the difficulty of their caseloads as determined by punishment type, with punishment type serving as a proxy for offenders who require high versus low levels of supervision.

Next, to further explore the relationship between offender characteristics and officers' activities, field officer caseloads were classified as requiring high, medium-high, medium-low, or low levels of supervision based on scores on the Offender Traits Inventory (OTI) currently used by the DCC. Higher scores on the OTI suggest more supervision is required. Here, high versus low supervision was determined based on the ratio of offenders with OTI scores greater than 35 (i.e., highest supervision level) over the total caseload size (i.e., number of offenders with OTI scores > 35 divided by the number of offenders on an officer's caseload). Then, officers' caseloads were assigned high, medium-high, medium low or low supervision level based on this ratio. Thus, an officer with the highest supervision caseload would have the most offenders with OTI scores over 35 and an officer with the lowest supervision caseload would have the least offenders with OTI scores over 35.

As shown in Table 6, the total caseload sizes (i.e., active + courtesy cases) are similar across officers with high (M=69.93), medium-high (M=72.88), medium-low (M=73.61) and low-supervision (M=69.36) caseloads. Officers with the highest supervision caseloads had, on average, close to 30 offenders with OTI scores greater than 35 whereas officers with the lowest supervision caseloads had, on average, about 10 offenders with OTI scores greater than 35. Officers with the highest supervision caseloads estimated a slightly lower ideal caseload size (M=48.64, SD=12.06);

Table 6: Field Officers w/Highest to Lowest Ratio of Offenders w/OTI Scores >35

Indicator	High	Med-High	Med-Low	Low
	M(SD)	M(SD)	M(SD)	M(SD)
Total caseload (active+other)	69.93(22.32)	72.88(19.21)	73.61(20.57)	69.36(22.27)
Active caseload	57.15(19.21)	60.35(16.47)	61.01(16.23)	56.49(17.07)
# offenders w/OTI > 35	28.75(10.27)	22.04(6.15)	17.52(4.79)	10.37(4.41)
Range, Median OTI>35	1-69,27	2-38,22	7-33,17	1-26,10
Ideal caseload size	48.64(12.06)	52.11(12.82)	52.90(12.09)	50.22(13.40)
Caseload difficulty	7.34(2.15)	7.17(2.18)	6.76(2.13)	7.13(1.98)
Hours worked	9.08(2.46)	8.92(2.33)	8.67(2.30)	8.95(2.50)
Overtime worked (minutes)	52.14(76.25)	38.46(62.86)	33.02(45.55)	38.30(54.07)
Top activities				
Data entry	93.02(69.31)	83.82(59.41)	99.04(67.04)	86.86(62.54)
Office visit w/offender	74.13(67.54)	68.16(69.00)	68.39(64.36)	80.97(91.77)
Home visit w/offender	57.90(79.04)	45.00(56.93)	49.61(68.30)	52.20(78.88)
Waiting in court	40.02(65.97)	49.36(96.14)	53.17(79.98)	47.82(90.30)

Notes. Hours worked on reporting day. Overtime and activities reported in minutes on assigned reporting day. Ratio # offenders w/OTI > 35 / total caseload by quartiles (High = highest ratio of OTI > 35 / total caseload). Caseload difficulty on scale of 1 (least difficult) to 10 (most difficult).

however, all field officer groups reported that a caseload size of about 50 would be ideal for the types of offenders they were required to supervise.

Moreover, officers with high supervision caseloads also reported the highest level of difficulty in supervising their caseloads (i.e., 7.3 on a scale of 1 [not difficult at all] to 10 [extremely difficult]) and reported working slightly more hours on their reporting day (M=9.08, SD=2.46) compared to officers with low supervision caseloads (M=8.95, SD=2.50). Also, field officers reported more overtime (M=52.14, SD=76.24) than officers with lower supervision caseloads (M=38.30, SD=54.07). With respect to the top four activities on which officers spent time during their reporting day, data entry was the activity officers spent the most time on independent of caseload supervision level, following by office visits with offender, home visits

with offenders and waiting in court (without offender present in front of judge). Specifically, there were no statistically significant differences among groups with respect to time spent on data entry ($F_{(3,613)}=1.67$, $p=1.72$), face-to-face office visits ($F_{(3,613)}=.914$, $p=.43$), home visits with offenders ($F_{(3,479)}=.68$, $p=.56$), or waiting in court ($F_{(3,421)}=.46$, $p=.71$).

Next, to understand how caseload characteristics and time allocations differed by caseload supervision levels and geographic location, the analyses shown above were replicated for field officers with the highest supervision caseloads by urban and rural areas. Specifically, only those officers in the highest quartile in Table 6 above (i.e., those officers with the most offenders with OTI scores over 35) were examined with respect to rural versus urban differences in Table 7.

As shown in Table 7, there were similarities and a few notable differences among rural and urban field officers with the highest supervision caseloads (see Table 21 in Appendix E for a listing of rural and urban counties). Also shown in Table 7, there were few differences in total caseload size (i.e., active plus courtesy cases) or active caseload size (i.e., active cases only) among officers with the highest supervision caseloads in rural versus urban settings. In general rural field officers had slightly lower estimates of caseload management difficulty (M=7.09, SD=2.33) compared to urban (M=7.49, SD=2.03) field officers but officers in rural and urban settings worked approximately the same number of hours on their reporting day and reported about the same number of offenders with respect to their ideal caseload size (i.e., 50 and 46 for urban versus rural field officers, respectively).

With respect to the top four activities on which field officers with the highest supervision caseloads spent time on their reporting day, there were no statistically significant differences between rural and urban officers. Despite the lack of statistical significance, urban officers spent more time on data entry and face-to-face office and home visits with offenders compared to field officers in rural settings. Table 25 in Appendix I provides a full list of activities and time spent on those activities for urban and rural field officers with high and low supervision caseloads.

Table 7: Rural/Urban Differences among Field Officers w/Highest Ratio of Offenders w/OTI Scores >35

Indicator	Urban (n=98)	Rural (n=66)
	M(SD)	M(SD)
Total caseload (active+courtesy)	73.82 (23.14)	63.92 (19.87)
Active caseload	59.70 (19.39)	53.18 (18.49)
# offenders w/ OTI > 35	29.83 (10.11)	27.08 (10.43)
Range, Median OTI > 35	1-57, 29	1-69, 25
Ideal caseload size	50.26 (11.49)	46.36 (12.41)
Caseload difficulty	7.49 (2.03)	7.09 (2.33)
Hours worked	9.03 (2.40)	9.03 (2.41)
Overtime worked (minutes)	52.39 (77.31)	45.18 (53.30)
Top activities		
Data entry	95.70 (68.12)	85.89 (66.72)
Office visit w/offender	82.26 (73.93)	62.25 (56.61)
Home visit w/offender	66.03 (81.02)	48.75 (67.00)
Waiting in Court	44.07 (72.05)	34.82 (58.26)

Notes. Hours worked on reporting day. Overtime and activities reported in minutes on assigned reporting day. Ratio of # offenders w/OTI > 35 / total caseload by quartiles (High = highest ratio of OTI > 35 / total caseload). Caseload difficulty on scale of 1 (least difficult) to 10 (most difficult).

Next, for illustrative purposes, the analyses in Table 7 were replicated with the officers who had the lowest supervision caseloads (i.e., the fewest offenders with OTI scores greater than 35) in rural and urban settings. As shown in Table 8, field officers with the lowest supervision caseloads in urban areas worked slightly more hours (M=9.30, SD=2.99) than officers in rural (M=8.68, SD=2.03) and reported more overtime (M=45.71, SD=67.37) compared to rural officers (M=32.65, SD=40.68). Also, consistent with officers with the highest supervision caseloads in Table 7), officer with the lowest supervision caseloads in urban and rural areas were similar with respect to the top four activities on which they spent the most time during their reporting day.

Moreover, in comparing urban officers with highest supervision caseloads in Table 7 with urban officers with lowest supervision caseloads in Table 8, the officers with the highest supervision caseloads spent slightly more time on data entry and face-to-face office and home visits; however, these differences were not statistically significant. Also, officers with the highest supervision caseloads had, on average, about 10 more offenders per caseload compared to rural officers.

Table 8: Rural/Urban Differences among Field Officers w/Lowest Ratio of Offenders w/OTI Scores >35

Indicator	Urban (n=98)	Rural (n=93)
	M(SD)	M(SD)
Total caseload (active+courtesy)	61.44 (21.37)	75.32 (21.15)
Active caseload	50.28 (15.15)	61.05 (17.03)
# offenders w/ OTI > 35	9.03 (3.84)	11.35 (4.56)
Range, Median OTI > 35	1-17, 9	1-26, 11
Ideal caseload size	46.93 (13.98)	52.68 (12.47)
Caseload difficulty	6.72 (2.03)	7.43 (1.89)
Hours worked	9.30 (2.99)	8.68 (2.03)
Overtime worked (minutes)	45.71 (67.37)	32.65 (40.68)
Top activities		
Data entry	83.60 (53.98)	89.44 (68.77)
Office visit w/offender	74.20 (84.57)	85.83 (96.85)
Home visit w/offender	50.42 (83.83)	53.67 (75.19)
Waiting in Court	47.07 (81.46)	48.45 (97.83)

Notes. Hours worked on reporting day. Overtime and activities reported in minutes on assigned reporting day. Ratio of # offenders w/OTI > 35 / total caseload by quartiles (High = highest ratio of OTI > 35 / total caseload). Caseload difficulty on scale of 1 (least difficult) to 10 (most difficult).

Next, these analyses were replicated using the ratio of Intermediate Level I offenders to total caseload. Thus, field officers were separated into quartiles based on their ratio of Intermediate Level I to total caseload size. Officers were separated into high (i.e., those officers with the most Intermediate Level I offenders), medium-high, medium-low and low (i.e., those officers with the fewest Intermediate Level I offenders). Table 9 shows caseload characteristics and activities for field officers with the highest to lowest ratios of Intermediate Level I offenders.

As shown in Table 9, there were many similarities and little variation across officer groups with respect to caseload characteristics and time spent on activities. Moreover, there were no statistically significant differences between with respect to the four activities that officers reported spending the most time as listed in Table 9. These results are consistent with those in Table 7 and suggest that officer activities do not vary significantly by caseload type (i.e. high ratio of Intermediate Level I offenders versus low ratio of Intermediate Level I offenders).

Table 9: Field Officers w/Highest to Lowest Ratio of Intermediate Level I Offenders

Indicator	High	Med-High	Med-Low	Low
	M(SD)	M(SD)	M(SD)	M(SD)
Total caseload (active+other)	64.23(18.62)	75.02(19.47)	78.04(19.93)	68.54(23.64)
Active caseload	53.55(16.42)	62.38(15.05)	63.70(15.55)	55.37(19.96)
# Level I offenders	14.98(8.24)	7.83(2.02)	5.37(1.51)	1.80(1.43)
Range, Median # offenders	1-52,12	3-14,8	2-9,5	0-6,2
Ideal caseload size	46.68(11.73)	53.28(12.09)	53.79(11.34)	50.09(14.17)
Caseload difficulty	7.02(2.03)	7.02(2.22)	7.42(2.06)	6.94(2.14)
Hours worked	8.99(2.44)	8.66(1.89)	9.15(2.54)	8.82(2.64)
Overtime worked (minutes)	42.54(57.60)	43.86(72.30)	38.61(59.58)	37.18(53.71)
Top activities				
Data entry	84.09(62.57)	98.03(68.19)	90.74(60.72)	90.21(67.53)
Office visit w/offender	69.55(68.89)	66.38(60.91)	82.32(83.35)	72.90(79.19)
Home visit w/offender	46.38(64.54)	46.66(68.18)	55.26(74.21)	57.46(78.82)
Waiting in court	40.05(68.28)	67.71(106.16)	43.82(85.48)	39.13(67.13)

Notes. Hours worked on reporting day. Overtime and activities reported in minutes on assigned reporting day. Ratio # intermediate level I offenders / total caseload by quartiles (High = highest ratio intermediate level I offenders). Sample size per group = 165. Caseload difficulty on scale of 1 (least difficult) to 10 (most difficult).

Next, to understand how caseload characteristics and time allocations differed by caseload difficulty and geographic location, the analyses shown above were replicated for field officers with the highest ratios of Intermediate Level I offenders by urban and rural areas. These analyses are similar to those in Table 7 above. Specifically, only those field officers in the highest quartile (i.e., those officers with the most Intermediate Level I offenders) were examined with respect to rural versus urban differences.

As shown in Table 10, there were few differences in caseload total caseload size (i.e., active plus courtesy cases) or active caseload size (i.e., active cases only) among officers with the highest ratios of Intermediate Level I offenders across rural versus urban settings. And, with respect to routine activities on which these field officers spent time on their reporting day, there were no statistically significant differences between rural and urban officers.

Table 10: Rural/Urban Differences among Field Officers w/Highest Ratio of Intermediate Level I Offenders

Indicator	Urban (n=80)	Rural (n=82)
	M(SD)	M(SD)
Total caseload (active + courtesy)	59.56 (12.80)	65.85 (22.13)
Active caseload	50.60 (11.10)	56.39 (20.06)
# Level I offenders	16.34 (9.52)	13.44 (6.26)
Range, Median offenders	7-52, 12.5	1-35, 12
Ideal caseload size	44.44 (11.17)	48.85 (11.99)
Caseload difficulty	6.99 (1.96)	7.07 (2.10)
Hours worked	8.78 (2.10)	9.20 (2.55)
Overtime worked (minutes)	37.13 (38.78)	48.24 (71.93)
Top activities		
Data entry	77.34 (58.82)	92.35 (66.11)
Home visit w/offender	65.90 (59.54)	74.17 (77.30)
Office visit w/offender	55.39 (71.38)	38.34 (56.69)
Waiting in Court	42.91 (73.17)	37.83 (63.87)

Notes. Hours worked on reporting day. Overtime and activities reported in minutes on assigned reporting day. Ratio # Intermediate Level I / total caseload by quartiles (High = highest ratio of Intermediate Level I Offenders / total caseload). Caseload difficulty on scale of 1 (least difficult) to 10 (most difficult).

Next, for illustrative purposes, the analyses in Tables 9 and 10 were replicated using a ratio of Intermediate Level II offenders to total caseload size (see Tables 11 and 12). These tables will not be discussed in detail here; however, the results in these tables are consistent with those in Tables 6 – 10. That is, officer activities and time spent on these activities seem relatively independent of offender type and geographic location.

Appendices F through I contain a number of variations of these activity tables. First, Table 22 shows activities listed by category, type and description. Table 23 shows daily activities and time spent on those activities in minutes for CPPOs, PPOIs, field officers (i.e., PPOII-IIIs), SOs and CSDCs. Table 24 shows daily activities and time spent on those activities in minutes for field officers in urban and rural settings. Table 25 shows minutes spent on activities by field officers with high versus low supervision caseloads by geographic location with the

Table 11: Field Officers w/ Highest to Lowest Ratio of Intermediate Level II Offenders

Indicator	High	Med-High	Med-Low	Low
	M(SD)	M(SD)	M(SD)	M(SD)
Total caseload (active+other)	72.76(13.65)	73.43(17.91)	79.80(21.43)	60.29(22.56)
Active caseload	60.14(13.65)	61.92(13.33)	64.89(17.83)	48.14(19.29)
# I_2 offenders	43.00(9.36)	35.42(6.15)	26.97(8.15)	8.25(7.49)
Range, Median I_2 offndrs	20-68,42	14-58,35	8-50,26	0-35,6
Ideal caseload size	52.96(9.93)	50.93(10.54)	54.94(12.86)	45.27(14.84)
Caseload difficulty	7.15(2.15)	7.08(2.14)	7.48(1.90)	6.71(2.20)
Hours worked	8.80 (2.32)	8.89(2.52)	8.89(2.34)	9.04(2.41)
Overtime worked (minutes)	37.01(44.82)	38.02(64.41)	48.68(73.15)	38.82(58.87)
Top activities				
Data entry	93.87(60.49)	89.58(63.17)	95.02(76.20)	84.94(58.49)
Office visit w/offender	73.96(76.76)	77.12(73.97)	73.41(74.88)	67.14(69.80)
Home visit w/offender	59.17(73.79)	58.61(76.42)	41.58(66.05)	46.72(68.63)
Waiting in court	39.73 (76.70)	55.82(96.32)	43.91(76.37)	51.82(85.89)

Notes. Hours worked on reporting day. Overtime and activities reported in minutes on assigned reporting day. Ratio # Intermediate Level II offenders / total caseload by quartiles (High = highest ratio Intermediate Level II offenders). Caseload difficulty on scale of 1 (least difficult) to 10 (most difficult).

activities organized in the following broad categories: office-based activities without offender

present; office-based activities with offender present; activities related to interstate compact offender transfers; activities in the field; activities related to electronic house arrest; court-related activities; and staff-related activities.

As previously mentioned, Table 23 shows daily activities and time spent on those activities in minutes for CPPOs, PPOIs, field officers, SOs and CSDCs. The information in this table should be used to understand the types of activities and time spent on those activities for the various groups that participated in the survey. Also, these data can be viewed as a baseline measure of activities and time and could be used to identify areas where more information is needed. For example, chief probation/parole officers and surveillance officers spent time on activities that were not listed on the table. That is, respondents were invited to write-in an activity under the different activity headings if the activity wasn't represented in the table. The qualitative data provided by the Chief PPOs who added additional activities in one or more categories on the statewide survey were reviewed.

Table 12: Rural/Urban Differences among Field Officers w/Highest Ratio of Intermediate Level II Offenders

Indicator	Urban (n=91)	Rural (n=73)
	M(SD)	M(SD)
Total caseload (active+other)	75.10 (18.16)	69.84 (16.73)
Active caseload	62.38 (13.39)	57.34 (13.53)
# I_2 offenders	44.68 (8.44)	40.90 (10.05)
Range, Median I_2 offndrs	24-48, 35	20-68, 39
Ideal caseload size	54.01 (10.41)	51.67 (9.21)
Caseload difficulty	7.20 (2.00)	7.08 (2.34)
Hours worked	8.44 (2.41)	9.00 (2.21)
Overtime worked (minutes)	30.28 (34.94)	45.42 (53.82)
Top activities		
Data entry	91.25 (57.43)	97.54 (64.81)
Office visit w/offender	74.29 (75.62)	73.55 (78.77)
Home visit w/offender	62.11 (79.16)	55.75 (67.59)
Waiting in court	29.50 (53.64)	54.00 (99.44)

Notes. Hours worked on reporting day. Overtime and activities reported in minutes on assigned reporting day. Ratio # Intermediate Level II offenders / total caseload by quartiles (High = highest ratio Intermediate Level II offenders). Caseload difficulty on scale of 1 (least difficult) to 10 (most difficult).

The following other activities were listed by CPPOs:
1. managing mail (not electronic);
2. NCAWARE checks and assigning alerts
3. OPUS transfers
4. meetings with collateral contacts, agencies, other CPPOs, superiors;
5. Dealing with EHA and GPS equipment/inventory/issues/scheduling;
6. interviewing potential hires;
7. supervising PPOs;
8. dealing with court issues/personnel/meetings;
9. assigning cases;
10. attending trainings;
11. checking absconder packages for accuracy;
12. helping to arrest offenders;
13. car maintenance;
14. managing ICOTs;
15. fielding calls from the public;
16. reviewing time sheets;
17. checking rosters; and
18. transporting offenders.

Surveillance officers also added additional activities not listed in the survey, which included:

1. assisting PPOs with arrests and supervision of offenders;
2. trainings;
3. completing crime versions;
4. information gathering on absconders;
5. inventory of items in evidence storage;
6. meetings at DRC;
7. updating offender contact sheets;
8. information sharing with Sheriff's Warrant Squad;
9. completing home/field contacts for PPO on vacation;
10. UA/transport UA to lab;
11. offender searches;
12. EHA issues;
13. obtaining signature from judges;
14. radio maintenance;
15. reviewing cases with PPO; and
16. meetings

Next, Table 24 shows the daily activities for field officers, independent of offender type, broken down by urban (n=309) and rural status (n=319). Specifically, officers reported their time spent on the following: office-based activities without an offender present, office-based activities with an offender present, activities related to interstate compact transfers, activities related to field work, activities related to electronic house arrest, court-related activities, and staff-related activities. As shown in Table 24, time spent on various activities, with some exceptions, were generally consistent across urban and rural officers.

Tables 25 in Appendix I show activities in minutes for field officers with the highest supervision vs. lowest supervision caseloads by urban and rural areas. As shown in Table 25, time spent on various activities, with few exceptions, were generally consistent across urban and rural officers with high and low supervision caseloads.

3.4. Probation Population and Entry Trends

Next, using administrative data from the Department of Correction, North Carolina probation population and entry trends from 2005 – 2009 appear in Tables 18 and 19 in Appendix D. Trends in probation entries and populations over time can illustrate patterns in offender demographics and/or outcomes which could warrant further investigation. For example, if there were an increasing number of offenders on probation for DUI charges, one likely policy response could be to increase treatment and other resources to address substance use. With respect to probation entries over this time period, there are few notable trends. That is, for the most part, offender characteristics are stable over time. For example, the ratio of felonies to misdemeanors remains relatively stable over time. In 2005 approximately 72% of the 63,399 offenders who entered probation that year were on probation for misdemeanor crimes. In 2009, 71% of 67,111 offenders who entered probation were on probation for misdemeanor crimes.

Also of note, probation entries to rural, micropolitan and metropolitan areas remain relatively stable over time. Again, a metropolitan area contains a core urban area of 50,000 or more persons. A micropolitan area contains an urban core of at least 10,000, but less than 50,000, persons. In 2005 about 9% of probation entries were in rural areas. In 2009, about 8.7% of probation entries were in rural areas. With respect to probation population between 2005 and 2009, revocation rates remained relatively stable. In 2005, about 34% of offenders on probation were revoked. In 2009, about 35% of offenders on probation were revoked. However, there was a slight decrease in completed supervision terms from 2005 (i.e., 18% of offenders completed

probation) to 2009 (i.e., less than 16% of offenders completed their probation) and a slight increase in the percent of offenders who elected to serve their sentences rather than submit to probation from 2005 (i.e., 2.85%) to 2009 (i.e., 3.12%).

Also, Table 20 in Appendix D shows probation population from selected states from 1995 – 2008. As shown in Table 20, North Carolina has realized a modest growth in its population of offenders on probation. Specifically, North Carolina had a 12% increase in the size of its probation population from 1995 – 2008. Kentucky had the highest increase over this same period (343%) and the District of Columbia experienced a 17% reduction in its probation population. Compared to other states in the south, North Carolina has had a relatively modest increase in its probation population over the last 10 years or longer.

3.5. Summary

A significant amount of information was presented in this chapter. In summary, there are a number of important findings that should be highlighted. First, officers routinely reported caseload averages somewhat higher than their ideal caseload size. In the context of field officers being the best judges of caseload size given they are providing the day-to-day supervision of offenders, this findings provides important feedback to the state. At the time of the survey, due to current vacancies and difficulties in hiring new officers caseloads were somewhat elevated.

Second, officers reported difficultly in managing their caseloads. A number of factors contribute to the difficulty of managing a caseload, including the increasing size and need of officers' caseloads, shrinking resources in the community, and increasing administrative demands required of officers. Feedback from officers as to why their caseloads are difficult to manage and strategies for making caseloads more manageable should be solicited from officers. This information could be used to identify ways in which officers' face-to-face time with offenders could be increased and ways in which inefficiencies associated with collateral supervision activities and administrative activities could be reduced.

Third, officers reported more time spent on collateral supervision activities compared to time spent on face-to-face supervision activities. Collateral supervision activities are important and serve an important purpose towards the supervision of offenders. The interpretation that four hours on average in collateral supervision activities is problematic would be erroneous and the findings should not be qualified in this manner. However, these findings do provide important benchmarks to consider as the state moves forward with its plan to implement evidence-based practices and reform the way it provides community supervision. For example, is a little over three hours, on average, enough time per day to spend with offenders if officers are being asked to deliver motivational interviewing and other evidence-base practices, given increasing caseloads and workloads?

Fourth, another important finding presented in this chapter is that field officers appear to spend the same amount of time on the same activities independent of caseload difficulty or geographic location, at least according to the data presented here. There could be several explanations for these findings. For example, one explanation for the findings presented in this chapter is that the methods used for classifying offenders as requiring low or high levels of supervision is problematic. Here, three different strategies were used to identify offenders with low versus high supervision requirements: classifications based on punishment type (i.e., Intermediate versus Community), classifications based on OTI scores, and classifications based on the presence of sanctions (i.e., Intermediate Level I). Regardless of the strategy used, time

spent on routine activities was consistent across officers with high versus low supervision caseloads across rural and urban settings.

This could suggest that the current classification system used by the state to identify offenders with high supervision needs and low supervision needs is problematic and is not particularly well connected with the actual supervision needs and risks among offenders. Indeed, among those officers who participated in the survey, 67% agreed or strongly agreed that they were supervising offenders who were assigned to the wrong level of supervision. Moreover, over half (51%) of the officers responding to the survey suggested they were enforcing sanctions that were not relevant to the offenders they were supervising. Given these findings, accurate assessment and classification of offenders is a significant challenge the state must face as it moves towards the implementation of evidence-based practices.

Yet another explanation for the finding that officers treat all offenders alike regardless of their level of supervision is that officers are so busy with meeting the demands of their jobs that they are forced to treat all offenders the same. Indeed, this could be a plausible interpretation if the demands of the job are so high such that field officers have only a limited amount of time to spend with each offender. From a workload perspective, if indeed officers have a limited amount of time for face-to-face supervision due to collateral supervision and administrative activities, adjustments to caseload size could be one solution to freeing up officers time to deliver more quality contacts with offenders and to implement evidence-based practices for those offenders who would benefit from them. Another solution, as stated earlier, could be to reduce time spent on collateral and administrative activities or use time spent on collateral and administrative activities more efficiently.

More exploration of these issues will be warranted as the state continues to move forward with its plan to implement evidence-based practices. In particular, additional communication with field officers towards understanding what makes the management of their caseloads difficult, more feedback from officers about how to reduce day-to-day job inefficiencies that limit face-to-face time with offenders and expediting the implementation of a reliable and valid risk and needs assessment are all important next steps for the DCC.

4.1. Probation/Parole Officer Needs

In this section, results from officers' responses to questions about their ability to supervise their caseloads effectively and their needs with respect to providing high levels of supervision are presented. Table 13 shows results from questions about what PPOs need in order to supervise more effectively, presented separately for PPOIs and field officers. There were few differences between PPOIs and field officers in that both groups identified smaller caseloads as the most common need towards providing effective supervision. A greater percentage of field officers (i.e., 77%) reported less administrative work would be helpful towards providing more effective supervision compared to PPOIs (67%), though a significant proportion of both groups report this need. Few officers in either group reported having no needs with respect to being able to provide more effective supervision.

Table 13: Needs for Effective Supervision (n = 868)

Need	PPOI (211) %(N)	Field Officers (657) %(N)
Smaller Caseload	79% (167)	79% (518)
Less administrative work	67% (142)	77% (506)
Clearly defined roles and expectations	23% (49)	25% (161)
More internal (agency) resources	46% (96)	48% (312)
More external (community) resources	43% (90)	45% (298)
More Training	15% (32)	16% (105)
Other	27% (57)	25% (165)
Nothing is needed	2% (5)	2% (12)

In addition, officers were asked whether they had enough time with each offender on their caseload in order to meet supervision objectives. Figure 3 shows the responses for field officers only. More than half (57%) disagreed or strongly disagreed that there was adequate time with each offender to meet supervision objectives.

Figure 3: I have enough time with each offender to meet my supervision objectives (Field Officers, n=656)

■ Strongly Disagree ■ Disagree ■ Agree ■ Strongly Agree

Officers were also asked if they spent time enforcing sanctions that were unrealistic (in the opinion of the supervising officers) and/or irrelevant. As shown in Figure 4, approximately two-thirds of officers (66%) agreed or strongly agreed that he or she spent time enforcing sanctions and condition of probation that were unrealistic for offenders.

4.2. Summary

Across officers there is agreement that smaller caseloads and less administrative work would allow for better offender supervision. More than half of officers reported they did not have enough time with their offenders to meet supervision objectives and many officers felt they spent time enforcing unrealistic or irrelevant sanctions.

Figure 4: I spend time enforcing sanctions that are unrealistic (Field Officers, n=657)

■ Strongly Disagree ■ Disagree ■ Agree ■ Strongly Agree

Moreover, a large proportion of officers reported they felt they were supervising at least one
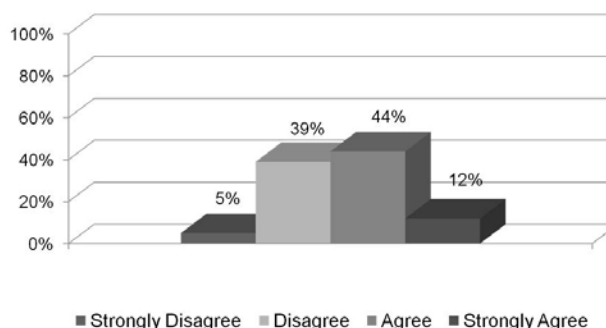
offender on their caseloads who was assigned the wrong level of supervision. Again, these findings provide important benchmarks as the state moves forward with its plan to implement evidence-based practices and reform the way it provides community supervision.

However, it is important to remember that these findings represent the perspectives of field officers. While important, the perspectives of the judiciary where sanctions are meted out and supervision levels are determined are not represented here, nor are the opinions and perspectives of judicial district managers and other administrators. Moreover, these issues are not exclusive to the State of North Carolina. Many states are in the process of working through similar issues. The criminal justice system is extremely complex and involves many constituencies. The findings presented in this chapter can be viewed as baseline measures of functioning and can be viewed as guideposts that illuminate the challenges the DCC is currently undertaking as it moves towards the implementation of evidence-based practices.

CHAPTER 5: CASELOAD SIZE

5.1. Estimating Caseload Size

How many offenders should a probation or parole officer supervise on his or her caseload? As previously mentioned, as the size of the supervisee population grows and supervision conditions change, community corrections agencies increasingly struggle with workload allocation decisions. Attempts to manage workload in the face of stagnant or diminishing budgets have often resulted in increasing caseloads or modifications of offender risk classifications to move offenders to lower supervision levels. The American Probation and Parole Association has suggested that establishing a definitive national caseload size number is not the most effective and appropriate approach. That is, trying to identify the single magic number for optimal caseload size is futile recognizing that community correctional systems face diverse circumstances and expectations, as well as variation in offender risks and needs. Nevertheless, one aspect of this workload study was to help assess whether the state caseload standards (i.e., no more than 60 intermediate offenders to a caseload or 110 community offenders to a caseload) were still viable.

Several factors complicate the assessment of the state caseload standards in the context of this study. First, during the course of this study, the state was already in the process of implementing blended caseloads at the recommendation of the National Institute of Corrections. That is, officers will now have a mix of intermediate and community-level offenders and the current state statutes do not address optimal caseload size for blended caseloads. Next, the state is experiencing a number of vacancies and workforce shortages at all officer levels. Thus, at this time the state is unable to adhere to the current caseload standards and is not able to respond to needed reductions in caseload sizes even if recommendations to lower the caseload standards were made (i.e., no more than 50 intermediate or 100 community-level offenders). Given these factors and in anticipation of the state continuing to move forward with its policy of blended caseloads, the research team developed a flexible caseload projection tool.

Using this tool, caseload projections based on offender supervision categories and risk and needs assessment profiles are presented in Tables 14 and 15, respectively. **IT IS IMPORTANT TO NOTE THAT THE NUMBERS IN THESE TABLES ARE FICTITIOUS AND ARE FOR ILLUSTRATIVE PURPOSES ONLY.** In Table 14, for example, officer needs based on the current population of offender types (i.e., community-level, intermediate and intensive) are generated based on: (1) current standards (I - 1:60 and C - 1:110); (2) based on APPA caseload recommendations (I - 1:50 and C - 1:200); (3) based on ideal direct supervision hours per the APPA (i.e., 6/day); and (4) based on actual direct supervision hours available (per PPOs at 4.5/day). Then, this table can be used to compare a range of staffing needs to current staffing patterns.

For purposes of illustration, assume the population of intermediate-level offenders in Division 1 is approximately 14,578 and this population is currently managed by 247 probation/parole officers in Division 1. If the state chose to adhere to current standards, however, 357 officers would be required, and this is the same number of officers who would be needed if the state elected to adhere to APPA's ideal number of available face-to-face supervision hours (i.e., 6 per day). If the state elected to adhere to APPA's caseload recommendations (i.e., no more than 50 intermediate-level offenders on a caseload) approximately 428 officers would be needed. And, if the state used the actual number of direct supervision hours available to officers in North Carolina, on average, as the method for

determining caseload size, 476 officers would be needed to supervise the intermediate level offenders in Division 1. Thus, for Division 1, the state should target no more than 476 and no fewer than 357 officers to supervise the 14,578 intermediate-level offenders.

AGAIN, THE READER SHOULD BE REMINDED THAT THE NUMBERS IN THESE TABLES ARE FICTITIOUS AND ARE FOR ILLUSTRATIVE PURPOSES ONLY. Table 15, shows a similar version of estimates but uses offenders classified according to RNA profiles (1 = high risk, 2-4 = intermediate risk and 5 = low risk) rather than supervision level. Moreover, officer workforce needs were estimated within Divisions in the illustrations in Tables 14 and 15 but these estimates could be developed at the district, county, or unit level and could be modified to accommodate need by rural versus urban areas. Also, the tool could be adapted to accommodate blended caseloads (i.e., if an officer has a particular number of intermediate level offenders the tool could be used to determine the number of community-level offenders he or she could supervise) and officer needs based on patterns of vacant positions, turnover, annual leave and other issues (i.e., relief factor).

Table 14: Projected PPO Needs by Offender Supervision Level

	Offender Type			Current Staffing		Needs by Current Standards		Needs by APPA Standards		Needs by APPA Hrs (6)		Needs by Available Hrs (4)	
	Comm	Interm	Inten	PPO I	PPO II-III	PPO I	PPO II-III	PPO I	PPO II-III	PPO I	PPO II-III	PPO I	PPO II-III
Total	44,882	58,312	6,820	346	1,035	408	1,086	224	1,303	374	1,086	499	1,447
D1	11,221	14,578	6,820	76	247	102	357	56	428	94	357	125	476
D2	11,221	14,578	6,820	113	269	102	357	56	428	94	357	125	476
D3	11,221	14,578	6,820	88	293	102	357	56	428	94	357	125	476
D4	11,221	14,578	6,820	69	226	102	357	56	428	94	357	125	476

Table 15: Projected Field Officer Needs by Offender RNA Risk Profile

	Offender Type			Current Staffing		Needs by Current Standards		Needs by APPA Standards		Needs by APPA Hrs (6)		Needs by Available Hrs (4)	
	Low	Med	High	PPO I	PPO II-III	PPO I	PPO II-III	PPO I	PPO II-III	PPO I	PPO II-III	PPO I	PPO II-III
Total	38,238	66,327	9,024	346	1,035	348	1,256	191	1,507	319	1,256	425	1,674
D1	9,560	16,582	2,256	76	247	87	314	48	377	80	314	106	419
D2	9,560	16,582	2,256	113	269	87	314	48	377	80	314	106	419
D3	9,560	16,582	2256	88	293	87	314	48	377	80	314	106	419
D4	9,560	16,582	2,256	69	226	87	314	48	377	80	314	106	419

5.2. Summary

According to the qualitative and quantitative data collected for this study, the current probation/parole caseload standards are most likely adequate as these standards dictate caseload sizes that are consistent with national recommendations. Based on the findings presented in this study, certainly caseloads should not be increased. Again, caseload size (i.e., smaller versus larger) is a necessary but not sufficient part of providing effective supervision. The state should continue to move forward with the use of its risk and needs assessment profiles to identify offenders with varying levels of risk and need and to use these profiles to match offender risk and need with appropriate levels of supervision and services. Here, a flexible policy tool has been created to help the state arrive at a range of

officer projections based on current offender classifications and future classification according to risk and need profiles.

Furthermore, basing caseload standards on punishment type may no longer be a viable strategy for the state, especially in light of the findings presented in Chapter 3, the move towards blended caseloads and one field officer position (i.e., PPOII) and given suggestions established by the APPA and others to move away from efforts to determine exact caseload sizes. Given the vagaries and complexity of the justice system, here in North Carolina and elsewhere, the connection between punishment type and risk of recidivism seems loosely connected at best, at least according to the qualitative and quantitative data collected here. These issues are not exclusive to North Carolina and most states are struggling with these same issues; however, for North Carolina the inherent danger for the state is that high-risk offenders are not being supervised closely enough and low-risk offenders are being over-supervised, which limits efficiency and cost-effectiveness.

Efforts to align supervision activities with offender profiles that are based on reliable and valid risk and needs assessment tools should be accelerated. And, strategies for determining officer caseload size based on: offender risk and need profiles; national recommendations regarding the time it takes to supervise high, medium and low risk offenders; and time available for face-to-face supervision for officers here in the state should be explored further as the DCC moves forward with the implementation of evidence-based correctional practices.

6.1. Offenders with Behavioral Health Disorders

On any given day, there are approximately 93,000 persons with mental illness in state and federal prisons, 44,000 in jails, and 320,000 under community corrections supervision. Much of the literature concerning persons with mental illness involved in the justice system has focused on those jails and prison settings; however, the reality is that there are more consumers who are under community supervision than there are in jails and prisons on any given day. Recidivism rates of persons with mental illness who are released from prison and who are placed on parole are remarkably high, ranging from 63% - 77%.[59]

Growing caseloads of offenders with behavioral health disorders present significant challenges for probation and parole officers who struggle to find adequate treatment resources, provide appropriate supervision, and ensure treatment compliance. As stated previously, some estimates suggest less than half of offenders with behavioral health disorders who are ordered to receive treatment actually receive it.

Figure 5: Average number of special population offenders per caseload (Field Officers, n=657)
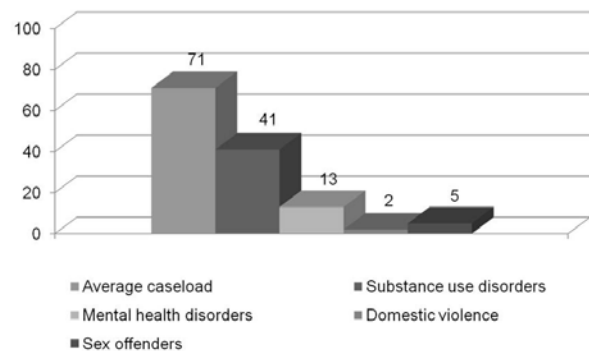
6.2. Special Population Offenders in North Carolina

In this section, findings from officers' answers to questions about offenders they perceived to have mental health and/or substance use problems, as well as other special populations (i.e., sex offenders and domestic violence) are presented. First, PPOs were asked about the average number of special population offenders on their caseloads (Figure 5). Given an average caseload size of 71, field officers reported 60% had substance use problems and almost 20% had mental health problems.

Figure 6: Percent of officers adequately trained to supervise special population offenders (Field Officers, n=657)
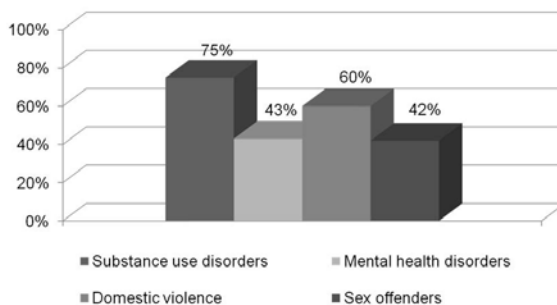
PPOs were also asked a number of questions regarding their training, needs and challenges with respect to supervising special population offenders (Figure 6). Among the 657 participating PPOs, the majority (75%) reported they were adequately trained to supervise offenders with substance use disorders. However, less than half reported adequate training with respect to supervising offenders with mental health problems (43%) or sex offenders (42%). Also as shown in Figure 6, more than half (60%) of PPOs reported they were adequately trained to supervise offenders on probation for domestic violence.

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[59] Gagliardi, Lovell, Peterson, & Jemelka, 2004; Jacoby & Kozie-Peak, 1997

Figures 7 and 8 illustrate the challenges of supervising offenders perceived to have substance abuse and/or mental health problems. Shown in Figure 7, 86% of the PPOs reported a lack of employment opportunities for offenders was the biggest challenge to supervising offenders with substance use problems. Approximately 74% of PPOs expressed that the high-risk environments in which offenders with substance use problems reside present supervision challenges and 70% reported that offender noncompliance was a challenge to supervising offenders with substance use problems. Lack of offender social support (67%) and lack of community-based substance abuse treatment (59%) were also commonly perceived challenges to supervising offenders with substance use problems.

Figure 7: Challenges to supervising offenders with substance use disorders (Field Officers, n=657)
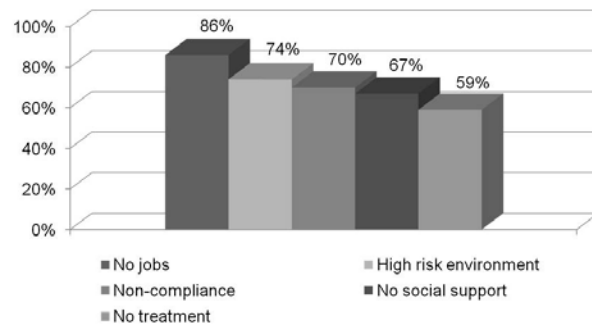
Shown in Figure 8, 75% of the PPOs reported a lack of employment opportunities for offenders was the biggest challenge to supervising offenders with mental health problems. Approximately 73% of PPOs expressed the lack of available mental health treatment and 68% reported a lack of social support were challenges to supervising offenders with mental health problems. Poor comprehension of probation (49%) and non-compliance (46%) were also commonly reported challenges to supervising offenders with mental health problems.

Figure 8: Challenges to supervising offenders with mental health problems (Field Officers, n=657)
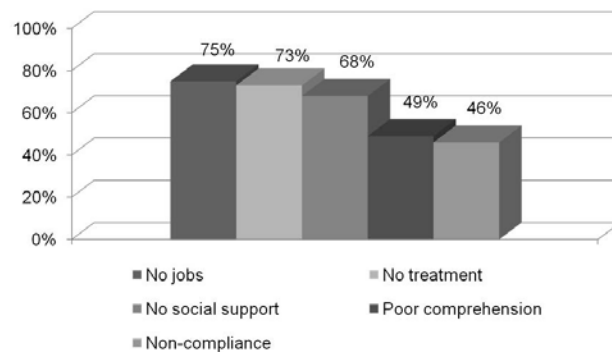
6.3. Summary

Probation officers routinely face offenders with behavioral health disorders and experience a number of supervision challenges related to employment, housing, treatment resources, social support, and others. On-going training with respect to identifying and understanding behavioral health problems and identifying treatment resources for offenders with such problems will continue to be important for officer and offender success. In this vein, continuing to develop relationships with community-based treatment providers at local and state levels should be a priority for the Division of Community Corrections.

Moreover, these findings speak to the issue of workload versus caseload in that an offender with substance use or mental health disorders are significantly more complex to supervise than those without such disorders. Thus, increasing numbers of offenders with mental health and substance use disorders increase both caseload and workload. Increasing offender populations with substance use and mental health disorders will warrant greater resources for the officers who are supervising these offenders and greater support and collaboration with the communities in which these offenders reside.

CHAPTER 7: ORGANIZATIONAL CLIMATE

7.1. Oganizational Climate

An important aspect of this workload study was to assess organizational climate, work-related stress, and well-being among probation/parole officers and CSDCs. Organizational climate refers to the collective perceptions of employees about their work environment and includes factors such as role ambiguity, role conflict, role overload, and emotional exhaustion.[60] Organizational climate factors have important implications for individual and organizational performance[61] and are important elements to disseminating and implementing evidence-based practices in human service organizations.[62]

In a recent qualitative study, for example, DeMichele & Payne (2007) identified role ambiguity as a common theme among probation-parole officers in context to their caseloads and workloads. Role conflict is also a well recognized problem among parole-probation officers as they are positioned within the justice system to both uphold the law and assist the offender in successful community reentry.[63] Indeed, the parole/probation officer takes on the role of law enforcer and social worker.[64] Although studies have shown that parole/probation officers are able to perform both roles[65] and other studies identify only low levels of role conflict,[66] empirical inquiries about the extent to which competing demands lead to role ambiguity and exacerbate the already stressful experiences that probation-parole officers face are important for the field. This is particularly salient given research on institutional correctional officers demonstrates that role conflict is associated with greater job stress and burnout.[67]

Although research on organizational climate among community probation-parole officers is limited, role conflict and emtional exhaustion have long been recognized as significant problems for probation officers. [68] In addition, role conflict and ambiguity have been also associated with probation officer burnout.[69] To date there has been no research on organizational climate among probation/parole officers here in North Carolina. To address this gap, probation/parole officers were surveyed using an adaptation of a measure for organizational climate which consists of well established items based upon organizational studies in diverse workplace settings[70] and has been demonstrated to have good reliability.[71]

Specifically, this aspect of the workload study focuses on parole-probation officers' perceptions of their work environment as they relate to role ambiguity (example: "Objectives and goals of my position are clearly defined"), role conflict (example: "I am unable to satisfy the

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[60] Jones & James, 1979; Joyce & Slocum, 1984; Schneider, 1990

[61] Glisson, 2000; Glisson & Durick, 1988; Glisson & Hemmelgarn, 1998

[62] Aarons & Sawitzky, 2006; Hemmelgarn, Glisson, & James, 2006

[63] Blumberg, 1974; Studt, 1978

[64] Fulton, Stichman, Travis, & Latessa, 1997

[65] Erwin & Bennett 1987; Clear & Latessa, 1993

[66] Sigler, 1988

[67] Blair, Black, & Long, 1981; Hepburn & Allonetti, 1980; Poole & Regoli, 1980; Dignam, Barrera, & West, 1986

[68] Sims, 2001; Ohlin, Piven, & Pappenfort, 1956; Whitehead 1985; Whitehead & Lindquist, 1985; Thomson & Fogel, 1980

[69] Brown, 1987; Whitehead, 1985, 1986

[70]Glisson & Hemmelgarn, 1998; Glisson, 1994; Hackman & Oldham, 1980; Mowday, Porter, & Steers, 1982

[71] Wright, Linde, Rau, Gayman, & Viggiano, 2003; Glisson & Durick, 1988; Glisson & Hemmelgarn, 1998; Glisson & James, 2002; Glisson & Martin, 1980

conflicting demands of people over me"), role overload (example: "I constantly feel under heavy pressure"), and emotional exhaustion (example: "I feel burned out from my work"). Response categories for all of the organizational climate items is as follows: (1) strongly disagree, (2) disagree, (3) agree, and (4) strongly agree. Higher values indicate greater problems.

Table 16: Organizational Climate by Job Position (n=1,286)

Indicator	CPPO (n=183)	PPOI (n=211)	Field Officers (n=657)	SO (n=158)	CSCD (n=77)
Role Ambiguity***	2.13(.41)	2.06(.50)	2.10(.47)	2.27(.41)	2.27(.53)
Role Conflict***	2.49(.48)	2.53(.51)	2.60(.51)	2.44(.47)	2.29(.46)
Role Overload***	2.87(.49)	2.99(.56)	3.05(.53)	2.71(.48)	2.62(.57)
Emotional Exhaustion***	2.73(.66)	2.84(.74)	2.84(.70)	2.49(.61)	2.60(.67)

Notes. Mean scores with standard deviations in ( ). Response range: Strongly Disagree (1) – Strongly Agree (4). *$p<.05$; **$p<.01$; ***$p<.001$

As shown in Table 16, PPOs reported the highest levels of role ambuqiuty, role conflict, role overload, and emotional exhaustion. Such problems are consistent with prior research indicating that one-fifth of officers reported feeling emotionally exhausted (i.e., job burnout) at least once a week or more.[72]

7.2. Job Stress & Well-Being

Job stress has been linked to lost productivity, absenteeism, and turnover,[73] physical health,[74] and psychological well-being.[75] Although there is a large body of research on stress among police and corrections officers (see Waters & Ussery, 2007), there remains a paucity of research on stress among community correctional officers.[76] Despite the fact that most criminal justice studies examining job stress have focused on police and institutional correctional officers rather than community probation/parole officers,[77] an early study on probation officers found that nearly half of officers reported high levels of job stress.[78] Probation officer stress has been shown to increase over time[79] and, similar to job burnout, there is evidence to suggest that there is a curvilinear relationship between job tenure and stress among probation/parole officers.[80]

The association between stress exposure and health is well documented in the health literature.[81] Although studies have evaluated the relationship between stress and health among police officers (see Waters & Ussery, 2007), few studies have evaluated this association among probation/parole officers.[82] More than two decades later, research on the impact of stress on mental and physical health among probation/parole officers remains limited. However, the limited evidence among probation/parole officers indicates that job stress is linked to physical and psychological well-being.[83]

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[72] Whitehead & Linquist, 1985
[73] Karasek & Theorell, 1990
[74] Johnson, Hall, & Theorell, 1989: Gutfeld, Meyers, & Sangiorgio, 1990; Schnall et al., 1990
[75] Elkin & Rosch, 1990; Muntaner, Tien, Eaton, & Garrison, 1991; Holt, 1993
[76] Brown, 1986; Finn & Kuck, 2005
[77] Slate, Johnson, & Wells, 2000; Slate, Wells, & Johnson, 2003
[78] Whitehead & Linquist, 1985
[79] Tabor, 1987
[80] Patterson, 1992
[81] Cohen & Williamson, 1991; Coyne & Downey, 1991; Pearlin, Lieberman, Menaghan, & Mullan, 1981; Pearlin, 1989; Violanti, Andrew, Burchfiel, Hartley, Charles, & Miller, 2007
[82] Whitehead & Linquist, 1985
[83] Slate, Wells, & Johnson, 2003; Blumberg, 1979

Studies have shown that organizational stress is one of the strongest predictors of corrections officers thinking about quitting[84] and that job stress is greater among line probation officers than supervisory personnel.[85] Sources of stress among probation/parole officers include paperwork [86] and monetary/promotion considerations.[87] In a recent study funded by the National Institute of Justice (NIJ), major sources of stress reported by probation and parole officers include caseload size, paperwork, and deadline pressures.[88] In addition, probation/parole officer participation in job decisions is well recognized as a key for increasing job satisfaction and reducing job stress.[89]

Here, job stress was measured using a subset of well established indicators of chronic stress.[90] Specifically, five items related to general employment were posed to officers (e.g., Your supervisor is always watching what you do at work; You want to change jobs but don't feel you can) with the following response pattern: (1) strongly disagree, (2) disagree, (3) agree, and (4) strongly agree. Higher values indicate greater job stress.

Table 17: Work Stress & Depression by Job Position (n=1,286)

Indicator	CPPO (n=183)	PPOI (n=211)	Field Officers (n=657)	SO (n=158)	CSCD (n=77)
Work Stress**	2.59(.48)	2.71(.53)	2.69(.52)	2.56(.53)	2.59(.55)
Affect Symptoms*	1.95(.40)	1.94(.42)	1.94(.43)	1.85(.38)	2.02(.44)
Somatic Symptoms	1.83(.54)	1.86(.61)	1.85(.59)	1.71(.54)	1.82(.59)
Affect + Somatic Symptoms	1.99(.38)	2.00(.43)	1.99(.43)	1.90(.37)	1.99(.43)

Notes. Mean scores with standard deviations in ( ). Response range 1-4.
*p<.05; **p<.01; ***p<.001

Well-being was measured using the highly reliable and widely used Center for Epidemiologic Studies Depression Scale (CES-D).[91] From the original 20-item CES-D index, this study focused on the five items measuring affect symptoms (examples: "You felt that you could not shake off the blues," "You felt sad") and seven items measuring somatic symptoms (examples: "You did not feel like eating," "You could not get "going"). Respondents were asked "How often in the *last month* have you had each of the following feelings or experiences?" Responses included: (1) Not at all, (2) Occasionally, (3) Frequently, (4) Almost all the time. Higher values reflect more negative symptoms.

As shown in Table 11, there is little variation in level of perceived stress, affective symptoms or somatic symptoms by position type. It is notable, however, that independent of position, stress levels are high and range from an average score of 2.56 to 2.71 on a scale of 1 (no stress) to 4 (high stress). It is also notable that PPOs report the highest stress levels among all of the groups.

7.3. Summary

The findings presented here are typical of many states in that field officers experience high stress, high burnout and emotional exhaustion. The DCC was forward thinking in commissioning part of this study to focus on organizational climate, job stress and personal well-being given the high stress nature of the job that field officers and other staff in the DCC perform. The fact that

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[84] Slate, Vogel, & Johnson, 2001
[85] Thomas, 1988; Whitehead 1986
[86] Brown, 1987; Simmons, Cochran, & Blount, 1997; Thomas, 1988
[87] Simmons, Cochran, & Blount, 1997; Thomas, 1988; Whitehead, 1986
[88] Finn & Kuck, 2005
[89] Slate, Wells, & Johnson, 2003
[90] Wheaton, 1994
[91] Radloff, 1977

community corrections personel report concerns with the organizatonal climate they work in, as reflected by role ambuqiuty, role conflict, role overload, and emotional exhaustion, also is not atypical. These findings do not raise concern in as much as they highlight areas which the DCC can address as the state moves forward with its implementation of evidence-based pratices. Indeed, based on prior research, key elements to reducing these problems include mentoring of younger officers and officer participation in decision making processes, and these are steps the state is already taking.

In summary, the UNC-CH research team synthesized data and information collected from focus groups, telephone interviews, direct observations, a web-based survey, and administrative data. In addition, DCC agency documents, policy manuals, published and unpublished peer-reviewed articles, reports, evaluations and other relevant documents were reviewed in order to make recommendations for consideration by the Department of Correction and the Division of Community Corrections. Recommendations and suggestions in the following areas are offered below: caseload size; caseload management; resources; personnel; communication; technology and safety; Evidence-based Practices; community partnerships; and hiring, training and mentoring. The source of the recommendations is indicated in brackets with the following notation: FG = focus groups; S = survey; LR = literature review and other published and unpublished documents.

Many of these recommendations may not be new and the state is aware of the issues underlying the recommendations and is actively taking steps to address them. When applicable, the steps DCC is taking to address the recommendations are presented in bold below.

1. **Caseload size**
   1.1. Adhere to current caseload standards. Current standards are most likely adequate (small[er] caseloads are necessary but not a sufficient condition of quality supervision) and should go no higher given current status involving vacancies, funding, and resources. [FG, S]
   1.2. Consider reframing caseload standards issue to reflect a workload versus caseload framework. Based on findings presented in the current study, officers have less than 4 hours a day, on average, to spend on direct contact with offenders (including office and field contacts). This sums to less than 90 hours per month of direct supervision for NC officers versus the maximum number of hours that should be available (i.e., 120 hours a month and 6 per day, on average) as proposed by the APPA (Burrell, 2006). Thus, given increasing workloads made up of face-to-face supervision and collateral supervision, how should caseloads (size and need) be adjusted to reflect the time available for direct supervision? [FG, S, LR]
   1.3. Basing caseload standards on punishment type may no longer be a viable strategy for the state, especially in light of the findings presented in Chapter 3, the move towards blended caseloads and one field officer position (i.e., PPOII) and given suggestions established by the APPA and others to move away from efforts to determine exact caseload sizes. Given the vagaries and complexity of the justice system, here in North Carolina and elsewhere, the connection between punishment type and risk of recidivism seems loosely connected at best, at least according to the qualitative and quantitative data collected here. Efforts to align supervision activities with offender profiles that are based on reliable and valid risk and needs assessment tools should be accelerated. And, strategies for determining officer caseload size based on: offender risk and need profiles; national recommendations regarding the time it takes to supervise high, medium and low risk offenders; and time available for face-to-face supervision for officers here in the state should be explored further as the DCC moves forward with the implementation of evidence-based correctional practices. [FG, S, LR]

2. **Caseload Management**
   2.1. Provide officers guidance and flexibility to move cases supervised at inappropriate levels to appropriate levels of supervision. [FG, S, LR] **THIS IS CURRENTLY BEING**

ADDRESSED THROUGH THE RISK/NEEDS ASSESSMENT PROTOCOL, SUPERVISION LEVELS AND REASSESSMENT OF SUPERVISION LEVELS. OVERRIDE PROCESS WILL BEGIN ONCE RISK/NEEDS ASSESSMENT TOOL IS VALIDATED.

2.2. Provide flexibility in case review process (i.e., provide option to review at 60 days rather than 30; offer flexibility of 120-day review). [FG, S] **CASE REVIEW PROCESS IS BEING CHANGED TO SELECT 10% OF CASES FOR REVIEW.**

2.3. Develop Administrative Supervision category for lowest risk offenders (1 or less visits per month for lowest risk offenders) (e.g., GA, KY, OR, FL, AL, CA – about 10-16% of offenders with a 92% success rate). [LR] **NEW SUPERVISION LEVELS 4 AND 5 WILL ADDRESS LOW RISK OFFENDERS.**

2.4. Expand use of early and earned discharge. [LR] **NEW LEGISLATION HAS BEEN PASSED WHICH ALLOWS DCC TO MOVE LOW RISK OFFENDERS TO UNSUPERVISED PROBATION WITHOUT COURT'S CONSENT. POLICY IMPLEMENTATION AND TRAINING IS UNDERWAY.**

2.5. Establish flexibility in meeting supervision requirements for PPOs who exceed caseload standards due to courtesy cases. [S, LR] **DCC CURRENTLY USES INTERIM SUPERVISION PLANS WHICH ALLOW MANAGEMENT TO CHANGE SUPERVISION REQUIREMENTS IN AREAS WITH HIGH COURTESY CASES.**

2.6. Create a lead CPPO field officer position to take responsibility for mentoring, training and supervising offenders and a separate lead CPPO to manage administrative duties. [FG, S] **FIELD SERVICES SPECIALIST POSITION IS BEING CREATED AND WILL BE PILOTED IN METROPOLITAN AREAS.**

2.7. Consider Alternative Sanctions Program to more effectively and efficiently address technical violations and minimize court time. [LR]

2.8. Implement standardized revocation instrument to facilitate uniform response to violations. Adopt policy-driven approaches to parole violations using a decision-making matrix and graduated community-based sanctions. This tool would allow officers to respond consistently to probation/parole violations, using a well-developed range of intermediate sanctions. The response should reflect the original risk level of the supervisee coupled with a proportionate response to the seriousness of the violation. Such instruments like the Parole Violation Decision Making Instrument (PVDMI) are now widely used. [LR]

2.9. Create ICOT teams within Divisions. [FG]

3. Introduce greater autonomy and flexibility at local level to manage resources

3.1. Provide flexibility with the use of state cars (i.e., allow PPOs to take cars home, allow units to manage cars more efficiently). [FG, S]

3.2. Provide flexibility to units with respect to purchasing safety equipment and other items to maximize safety of officers, offenders and the public. [FG, S]

3.3. Provide greater flexibility and autonomy for units/districts to manage own budgets and resources. [FG, S]

4. Introduce greater autonomy and flexibility to reorganize and manage personnel

4.1. Redistribute existing caseloads such that offender risk/need is better matched to officers (i.e., experience, time on job, training, special skills). [FG, S, LR] **THIS CHANGE WILL OCCUR IN NEXT PHASE OF IMPLEMENATION OF EVIDENCE-BASED PRACTICES (i.e., RESPONSIVITY).**

4.2. Manage assignment of new cases such that offender risk/need is better matched to officers. [FG, S, LR]

4.3. Re-introduce (develop) pre-sentence investigation teams in court in pilot (or high-risk) areas. [FG, S] **PSI FEASIBILITY STUDY WAS RECENTLY COMPLETED BY AOC AND DCC.**

4.4. Consider reallocation of resources such that the supervision teams can be created (i.e., CPPO, 3 PPOs, an SO, a CSDC (?) and part of an OA). [FG, S]

4.5. Consider Institutional Parole Officers to act as liaison between prison, jail and probation/parole. [S]

4.6. Consider specialized teams, where appropriate (i.e., mental health team, absconder location team, others). [FG, S, LR] **FUGITIVE TEAMS ARE BEING CREATED TO LOCATE ABSCONDERS.**

4.7. Provide greater flexibility and autonomy for units/districts to hire, fire, train, and support officers and staff at all levels. [FG, S]

5. Increase use of paraprofessionals to reduce workload related to collateral activities

5.1. Hire a sufficient number of paraprofessionals to perform office duties, intake duties and other related responsibilities. [FG, S] **CREATED FORMULA TO ESTIMATE NUMBER OF JUDICIAL SERVICES COORDINATOR POSITIONS NEEDED STATEWIDE. NO ADDITONAL RESOURCE FUNDS CURRENTLY AVAILABLE.**

5.2. Create intake team to process intakes, enter data, and begin RNA process. [FG, S] **JUDICIAL SERVICES COORDINATORS ARE USED FOR THIS FUNCTION.**

5.3. Create paraprofessional team to address unsupervised cases or other low-risk offenders (i.e., those who are on probation because they owe money, etc.) [FG, S, LR] **JUDICIAL SERVICES COORDINATORS MONITOR UNSUPERVISED CASES.**

5.4. Create paraprofessional position to serve as public relations specialist (i.e., to reduce officer time spent fielding questions/issues/complaints by the general public). [FG]

5.5. Increase use of paraprofessionals and support staff to relieve CPPOs and PPOs from collateral functions not related to the direct casework and supervision of offenders, where possible. [FG, S]

6. Improve communication and information sharing

6.1. Create web-based forums for feedback, networking, information sharing, solution-sharing, etc., among officers and staff at all levels. [FG, S] **DCC DIRECTOR HAS ASKED MANAGEMENT INFORMATION SYSTEMS TO DEVELOP THIS FORUM. CURRENTLY IN PLACE.**

6.2. Encourage quarterly meetings among officers and staff at all levels for support, networking, information sharing, resource sharing, etc. [FG, S] **FORMERLY STRATEGY TEAMS WERE USED IN THE DIVISIONS TO ACCOMPLISH THIS GOAL; THIS WILL BE RE-IMPLEMENTED.**

6.3. Centralize and simplify maintenance of policy manual (i.e., identify one staff member to keep policy manual for entire unit) so PPOs and other staff are not burdened with downloading, printing and organizing an expanding and ever-changing policy manual. [FG, S] **IN PROCESS OF REVISING POLICY MANUAL.**

6.4. Create web-based policy manual that can serve as a central location for documents related to policy changes and updates. [FG, S] **NEW POLICY MANUAL WILL BE COMPLETELY WEB-BASED.**

6.5. Develop clear instructions and FAQs to accompany changes in policy to facilitate uniform understanding and implementation. [FG, S] **NEW POLICY MANUAL WILL ADDRESS THESE ISSUES.**

6.6. Pilot policy change and program implementation, when prudent, with opportunity for feedback and information sharing. When possible, policy, organizational and operational changes should incorporate officer input and feedback to foster buy-in and facilitate implementation. [FG, S] **OFFICER INPUT IS ALLOWED IN NEW**

PROCESSES AND TRADITIONALLY HAS INVOLVED MANAGERS AND FIELD STAFF ON FOCUS GROUPS.

6.7. Create staff debriefing mechanisms to better connect administration and field. [FG, S]

6.8. Formalize recognition of employee performance. [FG, S, LR] **OFFICER OF THE YEAR RECOGNITION CURRENTLY IN PLACE; ALSO BUILDING RECOGNITION INTO THE NEW CASE REVIEW POLICY.**

7. **Improve technology and increase safety**

7.1. Continue to overhaul and improve management information system. [FG, S, LR]

7.2. Eliminate inefficiencies and improve safety through the use of technology (i.e., laptops with wireless connectivity and cell/satellite phones for use in the field). Consider unique needs of unit/county/district (i.e., cell phones may not work in rural or remote areas). [FG, S, LR] **VIPER RADIOS DISTRIBUTED AND SOME OFFICERS HAVE LAPTOPS WITH AIRCARDS.**

7.3. Implement (improve) voice mail system. [FG, S]

7.4. Revisit viability of existing EHA and other monitoring technologies. [FG, S]

7.5. Provide flexibility to units with respect to having cars with different safety packages and/or having access to unmarked cars. [FG, S]

8. **Evidence-based practices.**

8.1. Continue with deliberate and carefully planned implementation of evidence-based practices with particular attention to who (i.e., which offenders will receive EBPs), from whom (i.e., which officers will be trained to deliver EBPs), when (i.e., at what point will offenders receive EBPs and for how long), and what (i.e., which EBPs will offenders receive). Careful thought should be given to determine the right EBP, for the right offender, delivered by the right officer in order to maximize the efficiency and effectiveness of EBP implementation. [LR]

8.2. Assess baseline organizational readiness to change using standardized measures. [LR]

8.3. Address internal and external barriers to implementing EBPs, with particular attention to core implementation components (i.e., staff selection [organization and purveyor], pre-service and in-service training [guided by dissemination and training literature], ongoing consultation and coaching, staff and program evaluation, facilitative administrative support, and systems interventions). [LR] **THIS IS BEING ADDRESSED THROUGH THE EBP IMPLEMENTATION PLAN AND TRAINING.**

8.4. Assess organizational (i.e., selection of EBP, program evaluation, administration, systems intervention) and external influence factors (i.e., social, economic and political factors) for implementation and sustainability of EBPs. [LR]

8.5. Develop an EBP implementation committee with representatives from officers, staff, administrators and others. [LR] **EBP CORE GROUP IS ESTABLISHED; EBP POLICY, CASE PLANNING AND FOCUS GROUPS HAVE BEEN ESTABLISHED.**

8.6. Continue with testing, validation and implementation of Risk and Needs Assessment protocol. In particular, reliability and validity and sensitivity and specificity in identifying high/low risk and high/low needs should be established. [LR]

8.7. Continue to explore potential to use RNA to assign weights to offenders based on risks and needs. [LR]

8.8. Explore potential of the OTI as a quick screen to assess supervision level. [LR] **WILL BE EXPLORED AFTER RELIABILITY AND VALIDITY OF OTI IS ESTABLISHED.**

8.9. Focus internal resources to evaluate impact of programs and policies, particularly on a pilot basis. [LR] **THIS IS BEING ADDRESSED THROUGH THE EBP IMPLEMENTATION PLAN.**

9. **Community partnerships**

9.1. Develop Offender Treatment Services team focused on establishing partnerships with service providers and other local agents to foster data and information sharing, collaboration, and inter-agency agreements (implemented with success in Knoxville, Chattanooga, Nashville, Jackson and Memphis, TN). [FG, S, LR] **CURRENTLY IN PLACE (CJPP).**

9.2. Establish training and service memorandums of understanding with community providers, stakeholders and other key entities (i.e., substance abuse, employers, vocational rehab specialists, mental health, domestic violence, developmental disability, economic services, housing, education, etc.). [FG, S, LR] **CURRENTLY IN PLACE (OFFENDER MANAGEMENT MODEL)**

9.3. Establish local and state stakeholder steering committee to foster dialogue about crime and solutions. [FG, S, LR] **THIS IS ALREADY IN PLACE (GOVERNOR'S CRIME COMMISSION)**

10. Hiring, Training, Mentoring and Retaining Employees

10.1. Streamline hiring process to reduce length of time to hire new officers. [FG, S] **IN PROCESS.**

10.2. Increase local involvement (i.e., CPPO) in hiring process, when possible. [FG, S] **IN PROCESS.**

10.3. Institute a "substitute teacher" system of temporarily filling vacancies. [FG] **IN PROCESS.**

10.4. Increase pay or offer loan support to attract qualified applicants [FG, S]

10.5. Increase pay to retain current and new employees. [FG, S]

10.6. Promote and provide incentives for continued education. [FG, S]

10.7. Implement merit-based pay raises and/or other incentives. [FG, S] **ON LEGISLATIVE AGENDA CONSIDERATIONS LIST.**

10.8. Revise benefit package to make it commensurate with other agencies. [FG, S]

10.9. Create flexible, full-time training academy with manualized processes. [FG, S] **THIS HAS BEEN STREAMLINED WITHIN THE LAST YEAR.**

10.10. Streamline training process so new officers are certified more quickly. [FG, S]

10.11. Avoid assigning cases to officers who have not received training. [FG, S, LR] **IN PLACE WITHIN LAST 12 MONTHS.**

10.12. Implement mentoring system with incentives (i.e., extra leave). [FG, S]

APPENDIX A: REFERENCES

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APPENDIX B: SEMI-STRUCTURED INTERVIEW PROTOCOL

Date and time: _____
Division: _____ District(s): _____ Unit(s): _____
Chief PPO _____ PPO _____ SO _____ Other _____
Number of participants: _____
Interviewer(s): _____
Interview type (i.e., face-to-face, telephone) _____

We would like to request your participation in a focus group as part of a research study based at the School of Social Work and the Cecil G. Sheps Center for Health Services Research at the University of North Carolina at Chapel Hill. We are conducting a probation/parole officer workload study to understand better the demands placed on probation/parole officers in the context of increasing caseloads and increasing needs of offenders. Specifically, we will be asking you questions about your daily activities and the amount of time you spend on these activities, such as supervising offenders, performing administrative tasks, and appearing in court. Also, we'd like to have your feedback on a web-based survey that will be used to understand these workload issues among probation/parole officers across the state. This interview will take about 60 - 120 minutes.

All questions will be focused on your professional experiences associated with supervising offenders. Your answers will be documented as field notes by the research team. These notes will be used to help us better understand workload issues among probation/parole officers and other community corrections staff and will be used to finalize the aforementioned web-based survey. Your information will be kept completely confidential and no one will have access to it except the research team. Your answers will not be shared with any other persons and information from these interviews will be presented in aggregate form such that your identity cannot be determined. Your participation is completely voluntary. You may discontinue your participation at any time. It is also okay if you would prefer not to answer a particular question.

This study has been approved by the Human Subjects Review Board at the University of North Carolina at Chapel Hill. Take a moment to look over this consent form and feel free to ask any questions you might have. You will receive a copy of the consent form for your records. Do you have any questions before we begin?

1. Briefly describe the offenders on your caseload (i.e., #, supervision level, special groups).
2. Describe a typical workday.
3. Think about the last time when you had a particularly difficult work day. How would you describe that day? What about that day that made work difficult?
4. What activities do you engage in most often during a normal workday?
5. What activities do you engage in less often (i.e., once a week or less often)?
6. What activities do you engage in rarely (i.e., a few times a year)?
7. What things make it hard to supervise the offenders on your caseload?
8. What things make it easy to supervise the offenders on your caseload?
9. What things make it hard to enforce the sanctions imposed on the offenders on your caseload?
10. What things make it easy to enforce the sanctions imposed on the offenders on your caseload?
11. Are there particular things about your field office or unit that makes it hard to supervise the offenders on your caseload?
12. Are there particular things about your field office or unit that make it easy to supervise the offenders on your caseload?
13. How would you characterize what it's like working in your field office or unit? How is your field office or unit similar or different from others?
14. Over the last several years, the use of evidence-based practices as a means of providing more effective community supervision has been emphasized. What is your understanding of evidence-based practices?
15. What kind of training, if any, have you had around implementing evidence-based practices?
16. What kind of evidence-based practices, if any, has your unit/district/division implemented?
17. If I was a new probation/parole officer in your unit, what advice would you give me?

THANK YOU

APPENDIX C: WEB-BASED SURVEY INSTRUMENT

The Department of Correction is working with a research team at the University of North Carolina at Chapel Hill (UNC-CH) to conduct an evaluation of probation/parole workload practices and activities. The study is being conducted with chief probation/parole officers, probation/parole officers, surveillance officers and community service district coordinators across the state to help inform practice and policy decisions about caseload standards and the demands of community supervision.

In our state's current environment of decreasing budgets and resources and increasing probation/parole caseloads and caseload demands, this study is particularly important for community supervision planning, policy, and decision making. By participating in the study, you will have the opportunity to share your opinions about your ability to meet the daily demands of your job and you will have a voice in shaping community supervision policies and practice in the future.

Your responses to this survey will remain confidential and only the research team at UNC-CH will have access to the information you provide. All data from this study will be presented in aggregate form such that the identities of participants will not be disclosed. This study is completely voluntary and you will be asked to complete the survey one time only. Please try to answer all of the questions to the best of your ability. You are free to discontinue the survey at any point and are free to skip questions you do not wish to answer. This study was reviewed by the Institutional Review Board at the University of North Carolina at Chapel Hill.

If you have any questions before you begin, contact the study's principal investigator, Gary Cuddeback at cuddeback@mail.schsr.unc.edu or 919-962-4363. Thank you for your willingness to participate.

1. What is your position? (check one)
Chief Probation/Parole Officer (CPPO)
Probation/Parole Officer I (PPO)
Probation/Parole Officer II (PPO)
Probation/Parole Officer III (PPO)
Surveillance Officer (S0)
Community Service District Coordinator (CSCD)
Chief Probation/Parole Officer Interstate Compact (CPPO)
Interstate Compact Officer PPO I (PPO)
Chief Probation/Parole Officer DART (CPPO)
DART Probation/Parole Officer (PPO)
Sex Offender GPS Chief Probation/Parole Officer (CPPO)
Sex Offender GPS Probation/Parole Officer (PPO)
Fugitive Task Force Probation/Parole Officer (PPO)

2. For how many years have you held your current position? _____
3. In total, how many years of experience do you have working in corrections?

SECTION I: Daily Activities
We would like to have a general understanding of the tasks you perform and the time you spend on these tasks. Please take a moment to think what you did on [reporting date].

4. Did you do any work on [reporting date]?
___Yes
___No→ What was the last weekday (Monday thru Friday) prior to [reporting day] that you did work?

5. We'd first like to know where you spent your time on [reporting date]. Please check all that apply.
__ Office
__ Court
__ Field
__ Other

Now think in more detail about the specific activities you did on [reporting date] and to the best of your ability tell us how much time you spent on the activities listed on the next screen. We understand that there is no such thing as a "typical" day for you and what you did on this day may not be representative of what you normally do. However, many of your co-workers who are participating in this study will have had a more typical day and by gathering information from a large number of [IF Q1 = CSDC: community service district coordinators; ELSE: officers] we expect to gain a general understanding of the activities you do and the time it takes you to do them.

Feel free to review case narratives, calendars and other sources of information that may be helpful to you. Also, it might be useful for you to review the table before you begin to get oriented to the different categories and activities listed.

6. Please complete the table below. We ask you to record time in minutes. Be as specific as you can and do not double count minutes, if you can avoid it. For example, if you were on the computer for an hour but answered several phone calls during that hour, report 50 minutes of computer time and 10 minutes of phone time. Please include hours you worked on and off the clock so you're recording the total number of hours you worked on [reporting date].
1 hr = 60 minutes   7 hr = 420 minutes
2 hr = 120 minutes   8 hr = 480 minutes
3 hr = 180 minutes   9 hr = 540 minutes
4 hr = 240 minutes   10 hr = 600 minutes
5 hr = 300 minutes   11 hr = 660 minutes
6 hr = 360 minutes   12 hr = 720 minutes

If Question 1= BLANK, then ask ALL activities below

Your Current Total:	Min
Office - No Direct Supervision with Offenders	
Data entry (completing reports, narratives, forms, paperwork) (CPPO, PPO, SO, CSDC)	
Reviewing and answering emails (CPPO, PPO, SO, CSDC)	
Supervising officers or other personnel (CPPO)	
Case reviews/staffings (CPPO, PPO, SO, CSDC)	
Closing cases (CPPO, PPO)	
Tolling cases (CPPO, PPO)	
Checking batch jobs (CPPO, PPO)	

PPO roster checking (CPPO, PPO)	
Checking AOC alerts (CPPO, PPO, SO, CSDC)	
Managing/assigning vacant caseloads (CPPO)	
Office duty (covering phones, front desk) (CPPO, PPO, SO, CSDC)	
Communication / public relations (answering questions, providing information) (CPPO, PPO, SO, CSDC)	
Meetings with offender's family and/or significant others (PPO, SO, CSDC)	
Meetings with crime victims (PPO, SO)	
Office management (ordering supplies, scheduling space) (CPPO, PPO, SO, CSDC)	
Managing/scheduling/dealing with state cars (CPPO, PPO, SO, CSDC)	
Other (please specify at the end of this table): (CPPO, PPO, SO, CSDC)	
Office – Direct Supervision of Offenders	
Risk / intake assessment (CPPO, PPO, SO, CSDC)	
Telephone contact with offenders (CPPO, PPO, SO, CSDC)	
Collateral telephone contacts (CPPO, PPO, SO, CSDC)	
Case reviews (reviewing conditions of probation/parole, community service, etc.) (CPPO, PPO, SO, CSDC)	
Paperwork with offender (other than risk/needs assessment) (CPPO, PPO, SO, CSDC)	
Face-to-face office visit (contact with offender in office) (CPPO, PPO, SO, CSDC)	
Responding to violations (in office) (CPPO, PPO, SO, CSDC)	
Identifying community resources for offenders (i.e., counseling, residential treatment) (PPO, SO)	
Drug tests (PPO, SO)	
Interviewing and placing offenders for community service hours (CSDC)	
Conducting offender groups (PPO)	
Violation staffing (CPPO, PPO, SO, CSDC)	
Other (please specify at the end of this table): (CPPO, PPO, SO, CSDC)	
Interstate Compact Offender Transfer (ICOT)	
Data entry (CPPO, PPO)	
Reviewing cases (CPPO, PPO)	
Communicating/collaborating with other agencies (CPPO, PPO)	
Other (please specify at the end of this table) (CPPO, PPO)	
Fieldwork	
Casework (assisting and counseling) (PPO, SO, CSDC)	
Home visit w/ offender (PPO, SO)	
Curfew checks (SO)	
Locating absconders (SO)	
Visiting offenders' place of employment (PPO, SO)	
Making arrests (PPO, SO)	
Warrantless searches (PPO, SO)	
Assisting local law enforcement (CPPO, PPO, SO)	
Responding to violations (in the field) (PPO, SO)	
Home visit w/ family or significant others (PPO, SO)	
Home visit w/ crime victims (PPO, SO)	
Recruiting and visiting community service agencies (CSDC)	
Treatment staffing (for sex offenders and others ordered to treatment) (CPPO,	

PPO, SO)	
General travel (interstate compact, meetings, extradition, field visits, etc.) (CPPO, PPO, SO, CSDC)	
Other (please specify at the end of this table): (CPPO, PPO, SO, CSDC)	
Electronic House Arrest	
Setting up equipment (PPO, SO)	
Data entry (PPO, SO)	
Responding to command center (miscall) (PPO, SO)	
Responding to command center (legitimate call) (PPO, SO)	
Following up on violations (PPO, SOC)	
Other (please specify at the end of this table) (CPPO, PPO, SO, CSDC)	
Court	
Overseeing offender cases (offender is in front of judge) (CPPO, PPO, SO, CSDC)	
Waiting in court (offender is not in front of judge) (CPPO, PPO, SO, CSDC)	
Waiting in court *other* (waiting on judges, attorneys, etc.) (CPPO, PPO, SO, CSDC)	
Processing court cases (intake) (PPO, SO, CSDC)	
Communication with judge and other court personnel (attorneys, clerks, etc.) (CPPO, PPO, SO, CSDC)	
Parole hearing (CPPO, PPO, SO, CSDC)	
Post-release violation hearing (CPPO, PPO, SO, CSDC)	
Other (please specify): (CPPO, PPO, SO, CSDC)	
Staff-related	
Trainings (being trained or training other officers/staff) (CPPO, PPO, SO, CSDC)	
Performance evaluations (conducting or participating) (CPPO, PPO, SO, CSDC)	
Staff meetings (CPPO, PPO, SO, CSDC)	
Other (please specify at the end of this table): (CPPO, PPO, SO, CSDC)	

7. If you selected "other" above, please describe the other tasks(s).

_____
8. The times you reported sum to ___ hours and __ minutes. Does this accurately reflect the total amount of time you spent working on [REPORTING DAY]?

If so, please check the box below and continue. If not, please back up and edit the information you provided in the last screen.

8x. On (date), about how many minutes did you work off the clock (i.e., making time in your off hours to take calls, consult with officers who are on the clock, completing paperwork and other tasks)?

9. It could be that (date) was not a typical day for you (i.e., spent all day in court, conducted warrantless searches, traveling for an extradition). Was (date) a typical work day for you?
      a. Yes, fairly typical
      b. No, not typical
10. (If Q9= No) Please briefly describe how (date) varied from a typical day for you.

11. Remembering what one did on a certain day is harder for some people and easier for others, and harder for some days than others. We know you have made your best effort, but please tell us, honestly, how confident you are that the information you provided about your activities on (date) is accurate. We need this only for data analysis purposes.
a. Very confident   b. Somewhat confident   c. Not very confident   d. Not confident at all

11x. [FOR CPPOS ONLY] What might help you better train/work with new officers under your supervision? (check all that apply.)
- a. Less administrative reviews
- b. Fewer case reviews
- c. Clearly defined roles/expectations
- d. More staff
- e. Other (please specify)
- f. Nothing—I'm able to train new officers sufficiently already

SECTION II: Current Caseload [CPPOs won't get this section]

Now we would like to learn more about your current caseload. The next few sections contain questions about your caseload, the types of offenders you have on your caseload and the needs of the offenders on your caseload. Please take a moment to think about your current caseload. It may be helpful to have your caseload roster in front of you or on a computer screen for easy reference.

12. How many offenders do you have on your caseload? _____ # offenders
13. Of the (# on caseload from previous screen) *offenders on your caseload*, how many are of each type below.
    Current total: _____

    For active cases:
    Intermediate (I) _____
    Community (C) _____
    Non-Structured (NS) _____
    Curfew Checks _____ [SOs only]
    Absconders _____ [SOs only]
    Other (please specify type below) _____

    For courtesy cases:
    Intermediate (I) _____
    Community (C) _____
    Non-structured (NS) _____
    Curfew Checks _____ [SOs only]
    Absconders _____ [SOs only]
    Other (please specify type below) _____

14. Given the offenders you typically supervise, what is the ideal caseload size that would allow you to do your job most effectively? _____ # offenders
15. Think about your caseload of (# from 12) offenders. On a scale of 1 (not at all difficult) to 10 (extremely difficult), how difficult is it for you to supervise the offenders on your caseload?
16. What might help you better supervise the offenders on your caseload? *Check all that apply.*
    - a. Smaller caseload
    - b. Less administrative work
    - c. Clearly defined role and expectations
    - d. More internal (agency) resources (equipment, staff, etc.)
    - e. More external (community) resources
    - f. More training
    - g. Other, please specify _____
    - h. I don't need anything additional - I am already able to supervise offenders effectively.

17. Now, for each of the following statements, please indicate whether you strongly disagree, disagree, agree or strongly agree.

When I start a new case, I usually have the information I need in order to supervise that offender.
      a. Strongly Disagree b. Disagree   c. Agree   d. Strongly Agree

I have enough time with each offender on my caseload to meet my supervision objectives.
      a. Strongly Disagree b. Disagree   c. Agree   d. Strongly Agree

I spend time enforcing sanctions that are unrealistic.
      a. Strongly Disagree b. Disagree   c. Agree   d. Strongly Agree

I spend time enforcing sanctions that are not relevant.
      a. Strongly Disagree b. Disagree   c. Agree   d. Strongly Agree

I spend time supervising offenders that are assigned to the wrong level of supervision.
      a. Strongly Disagree b. Disagree   c. Agree   d. Strongly Agree

I spend time supervising offenders that do not need to be on probation/parole.
      a. Strongly Disagree b. Disagree   c. Agree   d. Strongly Agree

SECTION III: Now we would like you to give us your impression of the needs of the offenders on your caseload whether these needs are formally diagnosed or based on your experience and best judgment. We're also interested in offenders on your caseload who have been convicted of domestic violence or sex offenses.

18. Of the (# from Q12) offenders on your current caseload, approximately how many fit each of the following categories below? If an offender falls under two or more categories he or she should be counted in each category. For example, if an offender has both a substance use problem and mental health problem, he or she should be counted once as having a substance use problem and once as having a mental health problem. How many of your offenders …

Have a substance use problem (i.e., problems with alcohol or drugs)   _____#
Have mental health problems (i.e., schizophrenia, bipolar disorder, depression) _____#
Have been convicted of a sex offense   _____#
Have been convicted of domestic violence   _____#

19. Among the (insert # from above) offenders on your caseload with substance use problems, about how many are currently receiving services? _____#

20. Based on your experience, among the (insert # from above) offenders on your caseload with substance use problems, what percentage will commit technical violations within the first year?
Nearly all of my offenders with substance use problems will commit technical violations (80-100%)
Most of my offenders with substance use problems will commit technical violations (60-79%)
About half of my offenders with substance use problems will commit technical violations (40-59%)
Some of my offenders with substance use problems will commit technical violations (20-39%)
Only a few of my offenders with substance use problems will commit technical violations (less than 20%)

21. Based on your experience, among the (insert # from above) offenders on your caseload with substance use problems, what percentage will commit new violations within the first year?

Nearly all of my offenders with substance use problems will commit new violations (80-100%)
Most of my offenders with substance use problems will commit new violations (60-79%)
About half of my offenders with substance use problems will commit new violations (40-59%)
Some of my offenders with substance use problems will commit new violations (20-39%)
Only a few of my offenders with substance use problems will commit new violations (less than 20%)

22. How adequately trained are you in supervising offenders with substance use problems?
   a. Very well   b. Moderately c. A little   d. Not at all
23. On a scale of 1 (not at all difficult) to 10 (extremely difficult), how difficult do you find supervising offenders with substance use problems?
24. What are your biggest challenges to supervising offenders with substance use problems? *Please check all that apply.*
   a. Offender resistance to supervision, unwillingness
   b. Offender doesn't understand probation/parole and/or conditions of probation/parole
   c. Lack of available treatment services for offender
   d. Lack of employment opportunities for offender
   e. Lack of adequate housing for offender
   f. Inadequate support systems for offender
   g. Supervision conditions difficult to enforce
   h. Supervision conditions are unrealistic or too difficult for offender to meet
   i. Offender living in high-risk environment
   j. Other, please specify _____
   k. I have no difficulty supervising domestic violence offenders [exclusive]

25. Now please think about the offenders on your caseload who have mental health problems. Among the (insert # from above) offenders on your caseload with mental health problems, about how many are currently receiving services? _____#
26. Based on your experience, among the (insert # from above) offenders on your caseload with mental health problems, what percentage will commit technical violations within the first year?
   Nearly all of my offenders with mental health problems will commit technical violations (80-100%)
   Most of my offenders with mental health problems will commit technical violations (60-79%)
   About half of my offenders with mental health problems will commit technical violations (40-59%)
   Some of my offenders with mental health problems will commit technical violations (20-39%)
   Only a few of my offenders with mental health problems will commit technical violations (less than 20%)

27. Based on your experience, among the (insert # from above) offenders on your caseload with substance use problems, what percentage will commit new violations within the first year?
   Nearly all of my offenders with mental health problems will commit new violations (80-100%)
   Most of my offenders with mental health problems will commit new violations (60-79%)
   About half of my offenders with mental health problems will commit new violations (40-59%)
   Some of my offenders with mental health problems will commit new violations (20-39%)
   Only a few of my offenders with mental health problems will commit new violations (less than 20%)

28. How adequately trained are you in supervising offenders with mental health problems?
    a. Very well   b. Moderately c. A little   d. Not at all
29. On a scale of 1 (not at all difficult) to 10 (extremely difficult), how difficult do you find supervising offenders with mental health problems?
30. What are your biggest challenges to supervising offenders with mental health problems*?*
Please check all that apply.
    a. Offender resistance to supervision, unwillingness
    b. Offender doesn't understand probation/parole and/or conditions of probation/parole
    c. Lack of available treatment services for offender
    d. Lack of employment opportunities for offender
    e. Lack of adequate housing for offender
    f. Inadequate support systems for offender
    g. Supervision conditions difficult to enforce
    h. Supervision conditions are unrealistic or too difficult for offender to meet
    i. Offender living in high-risk environment
    j. Other, please specify _____
    k. I have no difficulty supervising domestic violence offenders

31. Now please think about the sex offenders on your caseload. Among the (insert # from above) sex offenders on your caseload, about how many are currently receiving services? _____#
32. Based on your experience, among the (insert # from above) sex offenders on your caseload, what <u>percentage</u> will commit technical violations <u>within the first year</u>?
    Nearly all of my sex offenders will commit <u>technical</u> violations (80-100%)
    Most of my sex offenders will commit technical violations (60-79%)
    About half of my sex offenders will commit technical violations (40-59%)
    Some of my sex offenders will commit technical violations (20-39%)
    Only a few of my sex offenders will commit technical violations (less than 20%)
33. Based on your experience, among the (insert # from above) sex offenders on your caseload, what <u>percentage</u> will commit <u>new</u> violations <u>within the first year</u>?
    a. Nearly all of my sex offenders will commit new violations (80-100%)
    b. Most of my sex offenders will commit new violations (60-79%)
    c. About half of my sex offenders will commit new violations (40-59%)
    d. Some of my sex offenders will commit new violations (20-39%)
    e. Only a few of my sex offenders will commit new violations (less than 20%)
34. How adequately trained are you in supervising sex offenders?
    a. Very well   b. Moderately c. A little   d. Not at all
35. On a scale of 1 (not at all difficult) to 10 (extremely difficult), how difficult do you find supervising sex offenders?
36. What are your biggest challenges to supervising sex offenders*? Please check all that apply.*
    a. Offender resistance to supervision, unwillingness
    b. Offender doesn't understand probation/parole and/or conditions of probation/parole
    c. Lack of available treatment services for offender
    d. Lack of employment opportunities for offender
    e. Lack of adequate housing for offender
    f. Inadequate support systems for offender
    g. Supervision conditions difficult to enforce
    h. Supervision conditions are unrealistic or too difficult for offender to meet
    i. Offender living in high-risk environment
    j. Other, please specify _____
    k. I have no difficulty supervising sex offenders

37. Now please think about the domestic violence offenders on your caseload. Among the (insert # from above) domestic violence offenders on your caseload, about how many are currently receiving services? _____ #

38. Based on your experience, among the (insert # from above) domestic violence offenders on your caseload, what <u>percentage</u> will commit technical violations <u>within the first year</u>?

    Nearly all of my domestic violence offenders will commit <u>technical</u> violations (80-100%)
    Most of my domestic violence offenders will commit technical violations (60-79%)
    About half of my domestic violence offenders will commit technical violations (40-59%)
    Some of my domestic violence offenders will commit technical violations (20-39%)
    Only a few of my domestic violence offenders will commit technical violations (less than 20%)

39. Based on your experience, among the (insert # from above) domestic violence offenders on your caseload, what <u>percentage</u> will commit <u>new</u> violations <u>within the first year</u>?

    a. Nearly all of my domestic violence offenders will commit new violations (80-100%)
    b. Most of my domestic violence offenders will commit new violations (60-79%)
    c. About half of my domestic violence offenders will commit new violations (40-59%)
    d. Some of my domestic violence offenders will commit new violations (20-39%)
    e. Only a few of my domestic violence offenders will commit new violations (less than 20%)

40. How adequately trained are you in supervising domestic violence offenders?
    a. Very well   b. Moderately   c. A little   d. Not at all

41. On a scale of 1 (not at all difficult) to 10 (extremely difficult), how difficult do you find supervising domestic violence offenders?

42. What are your biggest challenges to supervising domestic violence offenders*? Please check all that apply.*
    a. Offender resistance to supervision, unwillingness
    b. Offender doesn't understand probation/parole and/or conditions of probation/parole
    c. Lack of available treatment services for offender
    d. Lack of employment opportunities for offender
    e. Lack of adequate housing for offender
    f. Inadequate support systems for offender
    g. Supervision conditions difficult to enforce
    h. Supervision conditions are unrealistic or too difficult for offender to meet
    i. Offender living in high-risk environment
    j. Other, please specify _____
    k. I have no difficulty supervising domestic violence offenders

SECTION IV: WORK ENVIRONMENT

43. Now, we would like to learn more about your work environment. Please read each statement carefully. Then, indicate whether you strongly disagree, disagree, agree or strongly agree with each statement.

	Strongly Disagree	Disagree	Agree	Strongly Agree
No matter how much I do, there is always more to do.	1	2	3	4
I understand how my performance will be evaluated.	1	2	3	4
The amount of work I have to do interferes with how well it gets done.	1	2	3	4
There are not enough people in my department to get the work done.	1	2	3	4
The amount of work I have to do keeps me from doing a good job.	1	2	3	4
My job responsibilities are clearly defined.	1	2	3	4
I constantly feel under heavy pressure.	1	2	3	4
It is possible to get accurate information on policies and administrative procedures	1	2	3	4
I have to work a lot of overtime.	1	2	3	4
Interests of the offenders are often replaced by bureaucratic concerns (e.g. paperwork).	1	2	3	4
I feel fatigued when I get up in the morning and have to face another day on the job.	1	2	3	4
I know what people in my work group expect of me.	1	2	3	4
I feel like I am at the end of my rope.	1	2	3	4
I am unable to satisfy the conflicting demands of people over me.	1	2	3	4
Once I start an assignment, I am not given enough time to complete it.	1	2	3	4

44. Please indicate whether you strongly disagree, disagree, agree or strongly agree with each statement.

I am kept informed about things I need to know to do my work.	1	2	3	4
The objectives and goals of my position are clearly defined.	1	2	3	4
I feel burned out from my work.	1	2	3	4
Rules and regulations often get in the way of getting things done.	1	2	3	4
Inconsistencies exist among the rules and regulations that I am required to follow.	1	2	3	4
I often end up doing things one way that ought to be done a different way	1	2	3	4
I feel used up at the end of the workday.	1	2	3	4
I have to do things on my job that are against my better judgment.	1	2	3	4
I am unable to satisfy the conflicting demands of my supervisors.	1	2	3	4
My co-workers often show signs of stress.	1	2	3	4
I often have to bend a rule or policy in order to carry out an assignment.	1	2	3	4
My supervisor is always watching what I do at work.	1	2	4	5
I want to change jobs but don't feel I can.	1	2	4	5
My job often leaves me feeling both mentally and physically tired.	1	2	4	5
I don't get paid enough for the job I have.	1	2	4	5
My work is boring and repetitive.	1	2	4	5

SECTION V: PERSONAL WELL BEING

45. Thank you again for your patience and participation. The survey is almost complete. Now, we'd like to ask some general questions that have to do with how you have been feeling lately. How often in the last month have you had each of the following feelings or experiences?

	Not at all	Occasionally	Frequently	Almost all the time
You were bothered by things that usually don't bother you.	1	2	3	4
You did not feel like eating.	1	2	3	4
You felt that you could not shake off the blues.	1	2	3	4
You had trouble keeping your mind on what you were doing.	1	2	3	4
You felt depressed.	1	2	3	4
You felt that everything you did was an effort.	1	2	3	4
Your sleep was restless.	1	2	3	4
You were happy.	1	2	3	4
You talked less than usual.	1	2	3	4
You enjoyed life.	1	2	3	4
You felt sad.	1	2	3	4
You could not get "going".	1	2	3	4

46. We would like to give you an opportunity to provide feedback about the survey or give comments about aspects of your job that we might have missed. We understand that your job is extremely complex and difficult to capture in a survey like this. Is there anything else you want to tell us about your work?
    Yes→ Please enter your feedback in the box below.
    No
Thank you very much for your participation. If you have any questions or concerns about the survey or your participation in this study, please feel free to contact Gary Cuddeback, at cuddeback@mail.schsr.unc.edu or 919-962-4363. Thank you again for your time and participation.

APPENDIX D: PROBATION POPULATION AND ENTRY TRENDS (2005-2009)

Table 18: North Carolina Probation Entries 2005-2009

Indicator	2005 (n=63,399)	2006 (n=64,016)	2007 (n=67,668)	2008 (n=69,678)	2009 (n=67,111)
Gender					
Male	76.69 (48,621)	76.16 (48,753)	76.07 (51,476)	75.47 (52,588)	75.11 (50,407)
Female	23.31 (14,778)	23.84 (15,263)	23.93 (16,192)	24.53 (17,090)	24.89 (16,704)
Race					
White	46.04 (29,187)	47.06 (30,123)	47.46 (32,112)	48.30 (33,654)	48.27 (32,397)
AA	45.61 (28,919)	44.57 (28,534)	44.1 (29,842)	43.97 (30,639)	44.55 (29,898)
Other	8.35 (5,293)	8.37 (5,359)	8.44 (5,714)	7.73 (5,385)	7.18 (4816)
Age					
< 20	14.29 (9,060)	14.59 (9,338)	14.06 (9,516)	14.65 (10,206)	14.22 (9,545)
20 – 24	20.11 (12,747)	19.95 (12,770)	19.71 (13,339)	19.78 (13,780)	20.55 (13,794)
25 – 29	16.53 (10,477)	16.76 (10,730)	17.03 (11,523)	16.62 (11,581)	16.63 (11,158)
30 – 34	13.06 (8,281)	12.48 (7,989)	12.54 (8,485)	12.45 (8,678)	12.75 (8,556)
35 – 39	11.39 (7,220)	11.29 (7,228)	11.27 (7,629)	11.09 (7,724)	10.62 (7,125)
40 – 44	10.68 (6,769)	10.28 (6,583)	9.96 (6,740)	9.48 (6,603)	9.02 (6,053)
45 – 49	7.23 (4,585)	7.49 (4,795)	7.71 (5,219)	7.73 (5,388)	7.71 (5,173)
50+	6.72 (4,260)	7.16 (4,583)	7.71 (5,217)	8.21 (5,718)	8.50 (5,707)
Education Level					
< 12th grade	56.47 (35,804)	60.08 (38,458)	60.06 (40,642)	60.08 (41,863)	60.04 (40,521)
12th or equivalent	36.44 (23,105)	38.77 (24,818)	38.92 (26,339)	39.04 (27,199)	38.88 (26,096)
12+	7.08 (4,490)	1.16 (740)	1.02 (687)	.88 (616)	.74 (494)
Marital Status					
Single	61.04 (38,697)	60.97 (39,031)	60.67 (41,054)	61.36 (42,757)	62.07 (41,654)
Married	15.55 (9,859)	14.87 (9,519)	14.39 (9,736)	13.92 (9,697)	13.04 (8,990)
Other	23.41 (14,843)	24.16 (15,466)	24.94 (16,878)	24.72 (17,224)	25.54 (16,467)
Felony-Mis. Class					
Misdemeanor	71.74 (45,485)	70.97 (45,432)	70.17 (47,486)	70.51 (49,133)	70.81 (47,523)
Felony	27.79 (17,620)	27.9 (17,862)	28.03 (18,966)	27.90 (19,438)	27.89 (18,717)
County of Conviction					
Rural	9.00 (5,563)	8.58 (5,494)	8.71 (5,896)	8.57 (5,974)	8.66 (5,813)
Micropolitan	27.56 (17,036)	27.50 (17,603)	27.26 (18,448)	28.12 (19,593)	27.34 (18,347)
Metropolitan	63.44 (39,213)	60.98 (39,038)	60.54 (40,963)	60.11 (41,883)	60.80 (40,803)
Punishment Type					
Community SS	56.18 (35,619)	54.66 (34,988)	53.53 (36,222)	52.52 (36,592)	51.75 (34,729)
Intermediate SS	23.06 (14,617)	23.3 (14,918)	23.41 (15,838)	23.54 (16,404)	23.67 (15,882)
DWI	14.63 (9,278)	14.24 (9,113)	14.58 (9,865)	15.29 (10,654)	16.02 (10,753)
Other	6.13 (3,885)	7.81 (4,997)	8.49 (5,743)	8.65 (6,028)	8.56 (6,028)
Supervision Level					
Community	49.26 (31,228)	62.84 (40,225)	60.71 (41,081)	60.2 (41,949)	59.72 (40,081)
Intermediate	17.46 (11,068)	16.67 (10,674)	16.00 (10,826)	15.87 (11,059)	16.30 (10,936)
Suspended	.15 (97)	.07 (43)	.08 (53)	.09 (65)	.09 (65)
Intensive	7.64 (4,845)	7.65 (4,896)	7.26 (4,910)	7.46 (5,198)	7.46 (5,198)
Domestic violence	.11 (70)	2.44 (1,561)	2.62 (1,773)	2.83 (1,973)	2.83 (1,973)
Sex offenders	.59 (377)	.71 (454)	.80 (539)	.82 (573)	.82 (573)
Other	24.79 (15,714)	9.63 (6,163)	12.54 (8,486)	12.72 (8,861)	12.72 (8,861)
Officer Assignment					
PPOI	73.4 (46,533)	66.78 (42,747)	65.05 (44,020)	60.57 (42,207)	51.19 (34,352)
PPOII-IV	26.4 (16,762)	33.02 (21,136)	34.69 (23,476)	39.27 (27,363)	48.77 (32,732)
Other	0.2 (44)	.02 (133)	.026 (172)	.16 (108)	.04 (36)

Table 19: North Carolina Probation Population 2005-2009

Indicator	2005 (n = 114,438)	2006 (n = 113,440)	2007 (n = 114,611)	2008 (n = 112,885)	2009 (n = 110,014)
Gender					
Male	76.64 (87,709)	76.30 (86,557)	76.12 (87,240)	75.59 (85,331)	75.24 (82,775)
Female	23.36 (26,729)	23.70 (26,883)	23.88 (27,371)	24.41 (27,553)	24.76 (27,239)
Race					
White	45.21 (51,739)	45.59 (51,722)	45.95 (52,665)	47.05 (53,110)	47.34 (52,078)
AA	45.73 (52,333)	45.26 (51,339)	44.86 (51,411)	44.07 (49,754)	44.38 (48,819)
Other	9.06 (10,366)	9.15 (10,379)	9.19 (10,535)	8.88 (10,021)	8.28 (9,117)
Age					
< 20	7.65 (8,750)	7.72 (8,753)	7.68 (8,797)	7.82 (8,830)	7.45 (8,195)
20 – 24	19.02 (21,769)	18.76 (21,277)	18.30 (20,976)	18.42 (20,797)	18.67 (20,538)
25 – 29	18.65 (21,345)	18.71 (21,227)	18.72 (21,457)	18.27 (20,628)	18.14 (19,956)
30 – 34	14.63 (16,748)	14.23 (16,146)	14.25 (16,337)	14.37 (16,226)	14.72 (16,195)
35 – 39	12.59 (14,413)	12.60 (14,294)	12.60 (14,442)	12.38 (13,976)	12.01 (13,215)
40 – 44	11.45 (13,100)	11.23 (12,735)	10.83 (12,410)	10.42 (11,763)	10.27 (11,303)
45 – 49	8.11 (9,279)	8.25 (9,364)	8.63 (9,889)	8.79 (9,925)	8.64 (9,501)
50+	7.89 (9,034)	8.50 (9,644)	8.99 (10,303)	9.51 (10,740)	10.1 (11,111)
Education Level					
< 12th grade	54.24 (62,071)	56.59 (64,196)	57.54 (65,947)	57.95 (65,415)	58.02 (63,835)
12th or equivalent	36.83 (42,153)	38.39 (43,555)	39.56 (45,343)	40.16 (45,331)	40.59 (44,659)
12+	8.93 (10,214)	5.01 (5,689)	2.90 (3,321)	1.89 (2,139)	1.38 (1,520)
Marital Status					
Single	59.22 (67,771)	59.37 (67,351)	59.53 (68,224)	59.88 (67,600)	60.24 (66,273)
Married	17.01 (19,468)	16.63 (18,867)	16.18 (18,541)	15.84 (17,879)	15.28 (16,807)
Other	23.77 (27,199)	24.00 (27,222)	24.30 (27,846)	24.26 (27,388)	24.48 (26934)
Felony-Misd Class					
Misdemeanor	65.21 (74,627)	64.40 (73,060)	63.86 (73,193)	63.06 (71,187)	62.60 (68,873)
Felony	34.48 (39,461)	35.03 (39,735)	35.55 (40,749)	36.36 (3,103)	36.81 (40,496)
County of Conviction					
Rural	8.31 (9,513)	8.34 (9,462)	8.36 (9,574)	8.33 (9,405)	8.49 (9,339)
Micropolitan	26.81 (30,684)	27.04 (30,678)	26.33 (30,179)	27.68 (31,249)	29.23 (32,157)
Metropolitan	62.26 (71,254)	61.55 (69,820)	65.31 (74,858)	63.99 (72,231)	62.28 (68,518)
Punishment Type					
Community	53.23 (60,915)	52.26 (59,287)	51.10 (58,570)	49.58 (55,970)	48.08 (52,891)
Intermediate	25.29 (28,946)	25.82 (29,291)	26.41 (30,265)	27.27 (30,780)	27.98 (30,782)
DWI	15.74 (18,012)	15.25 (17,301)	15.44 (17,693)	15.85 (17,889)	16.53 (18,180)
Other	5.74 (6,565)	6.67 (7,561)	7.05 (8,083)	7.30 (8,246)	7.41 (8,161)
Supervision Level					
Community	43.35 (49,610)	42.57 (48,286)	41.69 (47,784)	40.76 (46,016)	40.80 (44,882)
Intermediate	27.01 (30,910)	26.54 (30,107)	26.48 (30,348)	27.37 (30,899)	30.09 (33,102)
Suspended	13.69 (15,667)	13.19 (14,964)	12.72 (14,576)	12.47 (14,082)	10.62 (11,678)
Intensive	4.48 (5,124)	4.32 (4,904)	4.31 (4,940)	4.42 (4,985)	3.57 (3,927)
Domestic violence	.42 (483)	1.70 (1,923)	2.64 (3,020)	2.72 (3,075)	3.03 (3,338)
Sex offenders	1.61 (1,845)	1.57 (1,786)	1.58 (1,813)	1.66 (1,875)	1.66 (1,823)
Other	9.44 (10,799)	10.11 (11,470)	10.58 (12,130)	10.06 (11,973)	10.23 (11,264)
Type of Exit					
Revocation	33.87 (21,129)	33.65 (21,390)	32.95 (21353)	33.28 (23,291)	34.99 (24,090)
Unsupervised	19.17 (11,959)	18.49 (11,754)	17.81(11544)	18.13 (12,692)	18.81 (12,948)
Completion	18.17 (11,337)	18.15 (11,540)	18.82 (12197)	17.48 (12,233)	15.71 (10,814)
Unsatisfactory term.	6.83 (4,262)	7.43 (7,422)	7.32 (4745)	7.95 (5,566)	6.90 (4,749)
Elect to serve	2.85 (1,781)	2.91 (1,853)	2.87 (1858)	3.01 (2,107)	3.12 (2,146)

Table 20: Probation Populations in Selected States: 1995 – 2008

	1995	2000	2005	2006	2008	1995-2008 Change	1995-2008 Change (%)
	1,248,608	1,573,215	1,685,782	1,702,430	1,722,704	474,096	38.0
Alabama	33,410	40,178	48,607	55,766	53,252	19,842	59.4
Arkansas	22,397	28,409	30,735	31,508	31,169	8,772	39.2
Delaware	16,124	20,052	18,462	16,958	17,216	1,092	6.8
District of Columbia	10,414	10,664	7,006	6,883	8,581	-1,833	-17.6
Florida/b	243,736	296,139	279,613	272,977	279,760	36,024	14.8
Georgia/c	142,954	321,407	414,409	422,790	397,081	254,127	177.8
Kentucky/b	11,499	19,620	37,030	41,162	51,035	39,536	343.8
Louisiana	33,753	35,854	38,366	38,057	40,025	6,272	18.6
Maryland	71,029	81,523	75,593	75,698	96,360	25,331	35.7
Mississippi	9,595	15,118	23,864	24,107	22,267	12,672	132.1
North Carolina	**97,921**	**105,949**	**111,626**	**110,419**	**109,678**	**11,757**	**12.0**
Oklahoma	27,866	30,969	28,996	27,415	27,940	74	0.3
South Carolina	39,821	44,632	39,308	38,353	41,254	1,433	3.6
Tennessee	36,485	40,682	48,631	52,558	58,109	21,624	59.3
Texas	421,213	441,848	430,301	431,967	427,080	5,867	1.4
Virginia	24,264	33,955	45,589	48,144	53,614	29,350	121.0
West Virginia	6,127	6,216	7,646	7,668	8,283	2,156	35.2

APPENDIX E: RURAL AND URBAN IN NORTH CAROLINA

Table 21: North Carolina Counties Sorted by Rural and Urban Status

Rural		Urban
Alexander	Martin	Alamance
Alleghany	McDowell	Buncombe
Anson	Mitchell	Cabarrus
Ashe	Montgomery	Catawba
Avery	Moore	Cumberland
Beaufort	Nash	Davidson
Bertie	Northhampton	Durham
Bladen	Onslow	Forsyth
Brunswick	Pamlico	Gaston
Burke	Pasquotank	Guilford
Caldwell	Pender	Mecklenburg
Camden	Perquimans	New Hanover
Cateret	Person	Orange
Caswell	Pitt	Rowan
Chatham	Polk	Wake
Cherokee	Randolph	
Chowan	Richmond	
Clay	Robeson	
Cleveland	Rockingham	
Craven	Rutherford	
Columbus	Sampson	
Cumtuck	Scotland	
Dare	Stanly	
Davie	Stokes	
Duplin	Swain	
Edgecombe	Surry	
Franklin	Transylvania	
Gates	Tyrrell	
Graham	Union	
Granville	Vance	
Greene	Warren	
Halifax	Washington	
Harnett	Watauga	
Haywood	Wayne	
Henderson	Wilkes	
Hertford	Wilson	
Hoke	Yadkin	
Hyde	Yancey	
Iredell		
Jackson		
Johnston		
Jones		
Lee		
Lenoir		
Lincoln		
Macon		
Madison		

APPENDIX F: ACTIVITY LIST BY CATEGORY, TYPE, AND DESCRIPTION

Table 22: Activity List by Category, Type and Description

Activity Category	Activity Type	Brief Activity Description
Office		
Collateral supervision	**Data entry** (reports/forms/narratives/paperwork)	Entering case narratives; general data entry, etc.
Collateral supervision	**Reviewing and answering emails**	Answering emails from administrators, staff, offenders, others
Administrative	**Supervising officers or other personnel**	
Collateral supervision	**Case reviews/staffing**	Reviewing offender cases w/supervisor and others
Collateral supervision	**Closing cases**	Closing cases
Collateral supervision	**Tolling cases**	Calculating case tolls
Collateral supervision	**Checking batch jobs**	
Collateral supervision	**PPO roster checking**	
Collateral supervision	**Checking AOC alerts**	Checking AOC alerts for offender activity
Administrative	**Office duty** (covering phones/front desk)	General office duty
Administrative	**Communication/public relations** (questions/information)	Communicating with public about community corrections
Collateral supervision	**Meetings with offender's family and/or significant others**	
Collateral supervision	**Meetings with crime victims**	
Administrative	**Office management** (ordering supplies/scheduling space)	General office management
Administrative	**Managing/scheduling/dealing with state cars**	State car-related activities
Face-to-face supervision	**Other**	General category that includes other office-based activities
Face-to-face supervision	**Risk / intake assessment**	Conducting risk and needs assessment and general intake
Face-to-face supervision	**Telephone contact with offenders**	Talking with offender on telephone
Collateral supervision	**Collateral telephone contacts**	Making telephone calls on behalf or related to offender
Face-to-Face supervison	**Case reviews** (probation/parole regs., community service)	Reviewing case with offender (i.e., reviewing regulations)
Face-to-face supervision	**Paperwork with offender (not risk/needs assessment)**	General paperwork with offender
Face-to-face supervision	**Face-to-face office visit** (contact with offender in office)	
Face-to-face supervision	**Responding to violations** (in office)	Responding to violations with offender present
Collateral supervision	**Identifying community resources** (counseling/treatment)	Identifying community resources for offender (i.e., treatment)
Face-to-face supervision	**Drug tests**	Conducting drug tests with offenders
Collateral supervision	**Violation staffing**	Staffing related to offender violation
Face-to-face supervision	**Other**	General category to include other offender activities
Interstate Compact Offender Transfer (ICOT)		
Collateral supervision	**Data entry**	Entering data related to ICOT
Collateral supervision	**Reviewing cases**	Reviewing cases related to ICOT
Collateral supervision	**Communicating/collaborating with other agencies**	Collaborating with other agencies related to ICOT
Face-to-face supervision	**Other**	Other ICOT-related activities
Field		
Face-to-face supervision	**Casework** (assisting and counseling)	General casework related to offender in field
Face-to-face supervision	**Home visit w/ offender**	Making home visit with offender
Face-to-face supervision	**Visiting offenders' place of employment**	Visiting offender's place of employment
Face-to-face supervision	**Making arrests**	Making offender arrest
Face-to-face supervision	**Warrantless searches**	Conducting warrantless searches
Face-to-face supervision	**Assisting local law enforcement**	Assisting local law enforcement related to offender
Face-to-face supervision	**Responding to violations** (in the field)	Responding to offender violations in field
Collateral supervision	**Home visit w/ family or significant others**	Making home visit with offender's family/relatives
Collateral supervision	**Home visit w/ crime victims**	Making visit with offender's crime victims
Collateral supervision	**Treatment staffing**	Staffing with local treatment provider on behalf of offender
Collateral supervision	**General travel** (ICOT/meetings/extradition/field visits)	General travel
Face-to-face supervision	**Other**	Other offender-related activities that occur in field
Electronic House Arrest		
Collateral supervision	**Setting up equipment**	Setting up EHA equipment
Collateral supervision	**Data entry**	Entering data related to EHA
Administrative	**Responding to command center** (miscall)	Responding to miscalls from EHA command center
Face-to-face supervision	**Responding to command center** (legitimate call)	Responding to legitimate EHA calls
Face-to-face supervision	**Following up on violations**	Following up on EHA violations
Face-to-face supervision	**Other**	Other EHA-related activities
Court		
Face-to-face supervision	**Overseeing offender cases** (offender is in front of judge)	Meeting with court with offender present
Administrative	**Waiting in court** (offender is not in front of judge)	Waiting in court for judge to call offender's case
Administrative	**Waiting in court** *other* (waiting on judges, attorneys)	Waiting on judges and other court personnel
Collateral supervision	**Processing court cases** (intake)	
Collateral supervision	**Communication with judge, attorney, clerk, etc.**	Communicating with court personnel
Collateral supervision	**Parole hearing**	Attending parole hearing
Collateral supervision	**Post-release violation hearing**	Attending post-release violation hearing
Collateral supervision	**Other**	Other court-related activities
Staff-related		
Administrative	**Trainings** (being trained or training other officers/staff)	Attending trainings
Administrative	**Performance evaluations** (conducting or participating)	Participating in performance evaluations
Administrative	**Staff meetings**	Attending staff meetings

APPENDIX G: ACTIVITIES AND MINUTES BY GROUP

Table 23: Daily Activities (in minutes) by Position

	CPPOs (n=178) M(SD)	PPOIs (n=228) M(SD)	Field Officers (n=715) M(SD)	SOs (n=160) M(SD)	CSDCs (n=130) M(SD)
Office – No Face-to-Face w/Offender					
Data entry (reports/forms/narratives/paperwork)	66.19(51.29)	94.66(81.07)	90.78(64.87)	81.03(46.12)	96.57(61.69)
Reviewing and answering emails	43.62(25.89)	20.48(20.55)	20.72(14.05)	22.99(13.20)	32.94(19.63)
Supervising officers or other personnel	-	-	-	-	78.74(81.37)
Case reviews/staffings	108.50(88.97)	14.49(23.64)	17.67(25.71)	14.29(18.26)	15.56(25.83)
Closing cases	20.14(16.62)	6.22(12.61)	5.16(12.76)	-	-
Tolling cases	7.07(12.16)	10.82(18.51)	7.93(12.97)	-	-
Checking batch jobs	18.22(16.72)	5.00(9.80)	5.66(8.08)	-	-
PPO roster checking	19.66(18.94)	16.94(13.20)	16.52(14.42)	-	-
Checking AOC alerts	13.10(18.60)	15.87(13.78)	14.23(12.79)	18.26(14.98)	6.78(15.45)
Office duty (covering phones/front desk)	20.37(26.37)	18.93(46.84)	15.40(33.11)	33.59(49.93)	30.48(31.92)
Communication/public relations (questions/information)	25.68(25.29)	17.59(21.38)	15.26(15.79)	17.29(16.87)	35.18(31.25)
Meetings with offender's family and/or significant others	-	3.82(11.99)	10.45(25.53)	13.50(34.57)	20.33(32.58)
Meetings with crime victims	-	.61(3.84)	.64(6.58)	1.02(5.10)	-
Office management (ordering supplies/scheduling space)	2.58(7.95)	.75(3.27)	2.33(9.61)	1.28(4.94)	2.20(7.50)
Managing/scheduling/dealing with state cars	7.80(11.70)	1.60(6.79)	4.31(14.61)	16.77(24.63)	1.59(9.38)
Other	44.53(94.08)	5.21(19.98)	4.22(15.40)	28.26(58.85)	7.74(24.46)
Office – Face-to-Face w/Offender					
Risk / intake assessment	.80(5.78)	19.14(24.96)	19.17(24.09)	2.73(18.09)	9.23(28.51)
Telephone contact with offenders	12.88(14.22)	23.08(16.04)	22.47(16.28)	14.13(15.84)	42.71(25.92)
Collateral telephone contacts	8.33(16.45)	10.07(12.45)	12.94(11.77)	16.59(22.82)	22.60(22.46)
Case reviews (probation/parole regs., community service)	29.55(50.87)	18.63(32.85)	16.02(23.64)	8.82(16.30)	34.51(48.09)
Paperwork with offender (not risk/needs assessment)	1.18(4.51)	26.58(40.61)	21.62(23.92)	5.70(19.87)	28.11(26.53)
Face-to-face office visit (contact with offender in office)	8.67(15.36)	79.45(74.07)	72.84(73.73)	10.12(29.79)	41.20(39.36)
Responding to violations (in office)	4.16(9.72)	9.48(24.76)	9.08(16.95)	4.56(13.05)	1.76(5.92)
Identifying community resources (counseling/treatment)	-	5.49(11.45)	8.07(13.07)	1.28(5.24)	-
Drug tests	-	10.97(13.51)	15.69(26.01)	22.53(31.56)	-
Interviewing / placing offenders for community svc hrs	-	-	-	-	84.38(64.89)
Violation staffing	14.67(17.00)	5.95(11.69)	5.63(12.06)	2.61(10.15)	1.89(7.01)
Other	5.65(24.16)	4.29(20.62)	3.51(16.96)	15.31(47.72)	4.44(16.01)
Interstate Compact Offender Transfer (ICOT)					
Data entry	5.60(10.82)	5.36(13.67)	5.92(20.15)	-	-
Reviewing cases	14.25(14.87)	4.71(10.87)	3.86(14.00)	-	-
Communicating/collaborating with other agencies	3.49(8.08)	2.16(9.83)	1.70(6.33)	-	-
Other	2.50(8.03)	1.01(6.20)	.28(2.54)	-	-
Fieldwork					
Casework (assisting and counseling)	-	6.52(19.35)	9.29(21.23)	14.82(25.92)	6.94(19.39)
Home visit w/ offender	-	15.62(43.26)	51.25(71.34)	52.09(71.28)	-
Curfew checks	-	-	-	194.84(71.22)	-
Locating absconders	-	-	-	49.08(46.24)	-
Visiting offenders' place of employment	-	.69(4.26)	1.31(5.53)	5.92(10.02)	-
Making arrests	-	3.92(15.01)	10.56(29.97)	28.44(44.40)	-
Warrantless searches	-	3.53(11.10)	5.86(16.57)	21.49(36.21)	-
Assisting local law enforcement	3.69(10.87)	2.34(12.56)	3.49(12.93)	11.37(18.66)	-
Responding to violations (in the field)	-	1.55(8.22)	3.28(15.13)	4.91(12.64)	-
Home visit w/ family or significant others	-	2.91(10.85)	8.10(21.09)	15.46(25.27)	-
Home visit w/ crime victims	-	.34(3.86)	.05(.80)	-	-
Treatment staffing	1.00(4.99)	.66(3.37)	2.41(10.73)	4.33(15.06)	-
General travel (ICOT/meetings/extradition/field visits)	24.94(50.72)	12.53(41.47)	33.53(66.30)	46.98(93.27)	2.70(10.97)
Other	8.06(30.44)	4.33(29.40)	9.22(50.94)	4.00(20.47)	1.94(10.78)
Electronic House Arrest					
Setting up equipment	-	.26(2.31)	2.76(13.15)	.36(2.31)	-
Data entry	-	.33(3.87)	3.17(11.72)	4.35(12.55)	-
Responding to command center (miscall)	-	.19(2.15)	2.72(18.66)	5.12(20.63)	-
Responding to command center (legitimate call)	-	.22(2.18)	1.73(9.53)	10.67(40.40)	-
Following up on violations	-	.48(3.21)	2.05(7.74)	2.39(10.20)	-
Other	7.10(17.47)	.00(.00)	3.85(43.25)	.00(.00)	-
Court					
Overseeing offender cases (offender is in front of judge)	5.77(24.72)	14.29(42.20)	11.18(28.33)	.00(.00)	14.56(26.32)
Waiting in court (offender is not in front of judge)	8.58(47.35)	33.98(61.77)	47.66(83.78)	.00(.00)	27.67(44.30)
Waiting in court *other* (waiting on judges, attorneys)	8.10(42.16)	18.75(37.47)	20.79(52.54)	8.64(45.61)	17.91(27.13)
Processing court cases (intake)	-	52.73(98.76)	12.81(48.63)	11.16(52.79)	55.00(72.11)
Communication with judge, attorney, clerk, etc.	8.99(14.34)	13.16(17.66)	13.35(19.44)	1.48(5.35)	25.10(32.18)
Parole hearing	.13(1.12)	.44(5.16)	.19(2.21)	.00(.00)	.00(.00)
Post-release violation hearing	.00(.00)	.44(5.14)	.34(3.58)	.00(.00)	.00(.00)
Other	2.44(14.03)	9.22(40.67)	4.38(23.23)	.75(4.74)	15.50(55.74)
Staff-related					
Trainings (being trained or training other officers/staff)	25.46(81.21)	7.62(48.04)	15.18(68.11)	49.15(158.43)	1.39(4.87)
Performance evaluations (conducting or participating)	15.56(37.12)	.12(1.29)	.28(2.27)	.00(.00)	1.67(6.97)
Staff meetings	28.05(55.85)	10.42(27.89)	6.97(21.01)	14.90(30.45)	9.75(22.62)

APPENDIX H: ACTIVITY TABLE BY URBAN/RURAL STATUS

Table 24: Activities in Minutes for Field Officers by Urban and Rural Areas

	Urban (n=309) M (SD, Median)	Rural (n=319) M (SD, Median)
Office – No Face-to-Face w/Offender		
Data entry (reports/forms/narratives/paperwork)	88.51 (61.62, 60.00)	92.43 (66.80, 60.00)
Reviewing and answering emails	21.81 (14.84, 17.50)	19.70 (13.28, 15.00)
Supervising officers or other personnel	-	-
Case reviews/staffings	18.08 (27.20, 10.00)	16.98 (23.56, 10.00)
Closing cases	3.98 (3.32, 0.0)	6.28 (15.22, 0.0)
Tolling cases	7.64 (16.35, 5.00)	8.13 (12.52, 4.50)
Checking batch jobs	5.40 (8.19, 0.0)	5.88 (8.00, 0.0)
PPO roster checking	17.16 (16.73, 10.00)	15.97 (12.05, 15.00)
Checking AOC alerts	14.99 (15.48, 10.00)	13.61 (10.04, 10.00)
Office duty (covering phones/front desk)	11.48 (27.34, 0.0)	18.84 (37.12, 5.00)
Communication/public relations (questions/information)	12.93 (14.06, 10.00)	17.29 (16.92, 15.00)
Meetings with offender's family and/or significant others	9.34 (30.89, 0.0)	11.50 (19.98, 0.0)
Meetings with crime victims	1.08 (9.40, 0.0)	.24 (1.38, 0.0)
Office management (ordering supplies/scheduling space)	2.51 (11.20, 0.0)	2.18 (7.97, 0.0)
Managing/scheduling/dealing with state cars	4.92 (19.16, 0.0)	3.81 (8.79, 0.0)
Other (no face-to-face with offender)	5.63 (3.92, 0.0)	2.17 (8.46, 0.0)
Office – Face-to-Face w/Offender		
Risk / intake assessment	21.20 (27.40, 15.00)	17.45 (20.50, 15.00)
Telephone contact with offenders	23.77 (16.42, 20.00)	21.27 (16.13, 20.00)
Collateral telephone contacts	13.82 (12.82, 10.00)	12.18 (10.68, 10.00)
Case reviews (probation/parole regs., community service)	16.36 (22.66, 10.00)	15.58 (24.46, 10.00)
Paperwork with offender (not risk/needs assessment)	23.04 (27.10, 20.00)	20.47 (20.77, 15.00)
Face-to-face office visit (contact with offender in office)	74.13 (74.95, 60.00)	71.80 (72.74, 50.00)
Responding to violations (in office)	7.78 (12.40, 0.0)	10.39 (20.31, 0.0)
Identifying community resources (counseling/treatment)	7.99 (11.80, 0.0)	8.08 (14.10, 0.0)
Drug tests	16.05 (28.46, 10.00)	15.45 (23.87, 10.00)
Interviewing / placing offenders for community svc hrs	-	-
Violation staffing	5.87 (12.99, 0.0)	5.45 (11.17, 0.0)
Other (office-based face-to-face supervision)	4.57 (20.25, 0.0)	2.45 (12.87, 0.0)
Interstate Compact Offender Transfer (ICOT)		
Data entry	6.24 (25.31, 0.0)	5.68 (13.72, 0.0)
Reviewing cases	4.51 (16.85, 0.0)	3.69 (10.64, 0.0)
Communicating/collaborating with other agencies	.95 (4.10, 0.0)	2.41 (7.86, 0.0)
Other	.57 (3.61, 0.0)	0 (0, 0)
Fieldwork		
Casework (assisting and counseling)	7.74 (18.11, 0.0)	10.76 (23.67, 0.0)
Home visit w/ offender	56.94 (77.50, 15.00)	46.42 (65.26, 20.00)
Curfew checks	-	-
Locating absconders	-	-
Visiting offenders' place of employment	1.62 (6.73, 0.0)	1.03 (4.15, 0.0)
Making arrests	11.11 (13.14, 0.0)	10.03 (28.01, 0.0)
Warrantless searches	6.72 (18.95, 0.0)	5.03 (14.00, 0.0)
Assisting local law enforcement	2.72 (12.29, 0.0)	4.23 (13.04, 0.0)
Responding to violations (in the field)	2.10 (8.52, 0.0)	4.43 (19.42, 0.0)
Home visit w/ family or significant others	7.69 (21.21, 0.0)	8.53 (21.12, 0.0)
Home visit w/ crime victims	.09 (1.15, 0.0)	.01 (.07, 0.0)
Treatment staffing	3.01 (10.89, 0.0)	1.89 (10.64, 0.0)
General travel (ICOT/meetings/extradition/field visits)	29.55 (50.98, 0.0)	37.28 (77.69, 0.0)
Other	10.28 (56.39, 0.0)	8.45 (45.25, 0.0)
Electronic House Arrest		
Setting up equipment	2.41 (15.24, 0.0)	3.11 (11.01, 0.0)
Data entry	2.89 (10.94, 0.0)	3.40 (12.48, 0.0)
Responding to command center (miscall)	3.40 (25.60, 0.0)	2.06 (8.08, 0.0)
Responding to command center (legitimate call)	1.95 (8.89, 0.0)	1.54 (10.16, 0.0)
Following up on violations	1.68 (5.89, 0.0)	2.41 (9.15, 0.0)
Other	1.05 (6.94, 0.0)	6.66 (60.74, 0.0)
Court		
Overseeing offender cases (offender is in front of judge)	11.22 (23.80, 0.0)	11.25 (32.06, 0.0)
Waiting in court (offender is not in front of judge)	42.83 (76.76, 0.0)	52.40 (90.00, 0.0)
Waiting in court *other* (waiting on judges, attorneys)	19.86 (53.72, 0.0)	21.82 (51.79, 0.0)
Processing court cases (intake)	10.78 (46.42, 0.0)	14.73 (50.75, 0.0)
Communication with judge, attorney, clerk, etc.	13.10 (17.83, 5.0)	13.21 (20.86, 5.0)
Parole hearing	.22 (2.20, 0.0)	.17 (2.23, 0.0)
Post-release violation hearing	.18 (1.71, 0.0)	.50 (4.72, 0.0)
Other	5.66 (70.32, 0.0)	3.21 (12.55, 0.0)
Staff-related		
Trainings (being trained or training other officers/staff)	18.69 (79.44, 0.0)	10.53 (41.61, 0.0)
Performance evaluations (conducting or participating)	.12 (1.52, 0.0)	.43 (2.78, 0.0)
Staff meetings	7.59 (21.88, 0.0)	6.44 (20.28, 0.0)

APPENDIX I: ACTIVITY TABLES BY URBAN/RURAL STATUS AMONG FIELD OFFICERS WITH HIGH AND LOW SUPERVISION CASELOADS

Table 25: Activities for Field Officers w/High and Low Supervision Caseloads (OTI) by Urban and Rural Areas

	Urban High (n=79)	Rural High (n=71)	Urban Low (n=94)	Rural Low (n=64)
	M (SD, Median)	M (SD, Median)	M (SD, Median)	M (SD, Median)
Office – No Face-to-Face w/Offender				
Data entry (reports/forms/narratives/paperwork)	77.34 (58.82, 60.00)	92.35 (66.11, 60.00)	96.07 (69.18, 65.00)	81.59 (64.59, 60.00)
Reviewing and answering emails	21.54 (12.53, 17.50)	20.13 (14.73, 15.00)	24.47 (17.48, 20.00)	18.26 (10.30, 15.00)
Supervising officers or other personnel	-	-	-	-
Case reviews/staffings	20.62 (28.04, 15.00)	20.16 (23.89, 10.00)	19.93 (30.64, 10.00)	13.18 (20.23, 5.00)
Closing cases	4.05 (10.28, 0.0)	6.84 (18.36, 0.0)	4.40 (9.46, 0.0)	5.92 (12.14, 0.0)
Tolling cases	8.28 (16.78, 5.00)	6.72 (8.19, 5.00)	7.77 (9.86, 5.00)	8.80 (11.18, 5.00)
Checking batch jobs	4.17 (5.81, 0.0)	7.86 (8.60, 5.00)	6.67 (8.72, 5.00)	3.87 (6.80, 5.00)
PPO roster checking	15.24 (10.18, 15.00)	15.78 (12.27, 10.00)	19.28 (19.35, 10.00)	13.85 (12.83, 10.00)
Checking AOC alerts	15.49 (22.03, 10.00)	13.86 (10.38, 10.00)	16.27 (12.87, 15.00)	12.17 (9.93, 10.00)
Office duty (covering phones/front desk)	8.68 (20.43, 0.0)	23.33 (57.40, 0.0)	14.89 (29.84, 0.0)	19.29 (26.40, 15.00)
Communication/public relations (questions/info)	11.33 (12.35, 10.00)	18.69 (17.88, 15.00)	14.04 (14.82, 10.00)	13.39 (15.25, 10.00)
Meetings w/offender's family or significant others	10.82 (20.77, 0.0)	14.15 (25.88, 0.0)	15.00 (46.52, 0.0)	6.79 (10.85, 0.0)
Meetings with crime victims	.20 (1.40, 0.0)	.42 (2.02, 0.0)	1.23 (5.27, 0.0)	.32 (1.18, 0.0)
Office management (ordering supplies/scheduling space)	2.55 (9.71, 0.0)	2.50 (5.82, 0.0)	1.13 (3.49, 0.0)	1.03 (3.66, 0.0)
Managing/scheduling/dealing with state cars	3.11 (10.34, 0.0)	2.04 (5.30, 0.0)	8.30 (32.62, 0.0)	5.29 (10.99, 0.0)
Other (no face-to-face with offender)	8.23 (25.27, 0.0)	2.83 (9.87, 0.0)	3.80 (11.72, 0.0)	4.12 (12.82, 0.0)
Office – Face-to-Face w/Offender				
Risk / intake assessment	17.80 (21.98, 15.00)	15.42 (23.07, 0.0)	22.57 (26.46, 20.00)	16.70 (17.72, 15.00)
Telephone contact with offenders	24.34 (14.43, 22.50)	20.65 (15.07, 15.00)	23.54 (15.76, 20.00)	21.44 (14.77, 20.00)
Collateral telephone contacts	14.30 (11.17, 15.00)	11.95 (10.09, 10.00)	16.32 (14.57, 15.00)	10.66 (10.98, 10.00)
Case reviews (probation/parole regs., comm service)	12.68 (18.31, 0.0)	14.41 (18.56, 10.00)	19.78 (25.78, 15.00)	22.08 (42.02, 5.00)
Paperwork with offender (not risk/needs assessment)	19.08 (15.39, 20.00)	20.33 (19.83, 15.00)	19.28 (20.39, 15.00)	18.56 (14.25, 15.00)
Face-to-face office visit (contact w/offender in office)	65.90 (59.55, 45.00)	74.17 (77.30, 52.50)	77.07 (90.21, 50.00)	66.79 (59.77, 47.50)
Responding to violations (in office)	9.63 (13.70, 0.0)	10.10 (26.82, 0.0)	8.33 (13.11, 0.0)	9.75 (16.41, 0.0)
Identifying community resources (counseling/treatment)	4.92 (7.51, 0.0)	9.21 (15.56, 0.0)	9.19 (21.71, 1.50)	6.44 (8.99, 2.50)
Drug tests	22.50 (46.41, 12.50)	21.43 (39.83, 10.00)	12.01 (14.59, 10.00)	9.95 (11.42, 10.00)
Violation staffing	6.02 (11.59, 0.0)	4.43 (8.84, 0.0)	7.42 (16.93, 0.0)	2.83 (5.44, 0.0)
Other (office-based face-to-face supervision)	3.72 (12.35, 0.0)	.53 (3.24, 0.0)	5.8 (22.23, 0.0)	5.00 (21.21, 0.0)
Interstate Compact Offender Transfer (ICOT)				
Data entry	.82 (2.95, 0.0)	3.26 (10.16, 0.0)	12.45 (40.74, 0.0)	5.00 (13.48, 0.0)
Reviewing cases	1.00 (3.50, 0.0)	5.10 (17.93, 0.0)	8.52 (28.66, 0.0)	2.52 (6.61, 0.0)
Communicating/collaborating with other agencies	.31 (1.58, 0.0)	1.77 (5.88, 0.0)	.59 (2.38, 0.0)	3.43 (11.81, 0.0)
Other	0 (0, 0)	0 (0, 0)	1.83 (6.34, 0.0)	0 (0, 0)
Fieldwork				
Casework (assisting and counseling)	10.85 (21.65, 0.0)	8.04 (16.08, 0.0)	7.45 (19.68, 0.0)	12.50 (24.45, 0.0)
Home visit w/ offender	55.39 (71.38, 27.50)	38.35 (56.69, 15.00)	62.60 (83.37, 25.00)	49.09 (70.94, 15.00)
Visiting offenders' place of employment	2.84 (9.01, 0.0)	.52 (2.12, 0.0)	1.18 (6.45, 0.0)	1.29 (5.33, 0.0)
Making arrests	11.89 (34.48, 0.0)	9.43 (23.71, 0.0)	15.18 (40.81, 0.0)	5.28 (15.21, 0.0)
Warrantless searches	6.94 (19.39, 0.0)	3.50 (8.53, 0.0)	7.41 (17.42, 0.0)	8.71 (18.20, 0.0)
Assisting local law enforcement	4.81 (18.81, 0.0)	2.77 (8.59, 0.0)	.61 (4.20, 0.0)	3.47 (11.94, 0.0)
Responding to violations (in the field)	1.88 (6.24, 0.0)	5.21 (27.21, 0.0)	2.40 (9.81, 0.0)	2.09 (7.19, 0.0)
Home visit w/ family or significant others	10.87 (31.17, 0.0)	8.15 (21.07, 0.0)	6.57 (13.62, 0.0)	6.59 (13.39, 0.0)
Home visit w/ crime victims	0 (0, 0)	0 (0, 0)	0.3 (2.12, 0)	0.3 (0.17, 0.0)
Treatment staffing	4.80 (16.38, 0.0)	2.27 (8.97, 0.0)	3.85 (10.60, 0.0)	.77 (2.47, 0.0)
General travel (ICOT/meetings/extradition/field visits)	24.74 (39.96, 0.0)	41.25 (63.30, 0.0)	39.84 (60.44, 0.0)	44.67 (131.25, 0.0)
Other	1.63 (9.24, 0.0)	14.42 (74.41, 0.0)	7.45 (33.46, 0.0)	1.18 (4.78, 0.0)
Electronic House Arrest				
Setting up equipment	2.98 (10.92, 0.0)	5.30 (14.96, 0.0)	0.3 (2.12, 0.0)	1.67 (6.97, 0.0)
Data entry	4.84 (14.41, 0.0)	4.22 (8.61, 0.0)	0.4 (2.22, 0.0)	.69 (2.96, 0.0)
Responding to command center (miscall)	3.94 (3.71, 0.0)	3.85 (9.35, 0.0)	1.25 (8.96, 0.0)	.89 (3.53, 0.0)
Responding to command center (legitimate call)	3.10 (9.89, 0.0)	1.63 (5.04, 0.0)	1.27 (8.42, 0.0)	.43 (1.87, 0.0)
Following up on violations	3.85 (8.83, 0.0)	6.60 (16.30, 0.0)	.59 (3.11, 0.0)	.94 (2.29, 0.0)
Other	1.25 (8.66, 0.0)	16.82 (108.49, 0.0)	.39 (2.80, 0.0)	.89 (3.89, 0.0)
Court				
Overseeing offender cases (offender is in front of judge)	8.52 (18.65, 0.0)	7.19 (14.80, 0.0)	7.36 (16.34, 0.0)	16.63 (58.46, 0.0)
Waiting in court (offender is not in front of judge)	42.91 (72.17, 0.0)	37.83 (63.86, 0.0)	31.36 (55.08, 0.0)	49.33 (79.76, 0.0)
Waiting in court *other* (waiting on judges, attorneys)	20.29 (63.17, 0.0)	18.75 (42.84, 0.0)	16.53 (32.50, 0.0)	18.54 (36.88, 0.0)
Processing court cases (intake)	5.63 (28.80, 0.0)	14.90 (43.09, 0.0)	19.80 (69.35, 0.0)	17.11 (39.12, 0.0)
Communication with judge, attorney, clerk, etc.	15.26 (20.99, 10.00)	12.69 (30.54, 2.50)	10.40 (11.88, 10.00)	15.00 (19.41, 10.00)
Parole hearing	.76 (4.09, 0.0)	0 (0, 0)	0 (0, 0)	0.88 (5.14, 0.0)
Post-release violation hearing	.21 (1.44, 0.0)	0 (0, 0)	0 (0, 0)	2.65 (10.75, 0.0)
Other	1.69 (9.17, 0.0)	3.11 (8.48, 0.0)	5.20 (20.27, 0.0)	8.47 (23.93, 0.0)
Staff-related				
Trainings (being trained or training other officers/staff)	3.16 (10.74, 0.0)	15.77 (56.00, 0.0)	37.92 (122.87, 0.0)	.86 (5.07, 0.0)
Performance evaluations (conducting or participating)	0 (0, 0)	.43 (2.04, 0.0)	.40 (2.83, 0.0)	1.51 (1.70, 0.0)
Staff meetings	9.00 (26.59, 0.0)	4.36 (17.46, 0.0)	5.27 (15.14, 0.0)	12.24 (28.51, 0.0)