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STATE OF UTAH
Department of Social Services
Division of Corrections
Adult Probation and Parole

Workload Evaluation Task Force Report

NCJRS

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ACQUISITIONS

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Problem

In Utah, as well as in many other jurisdictions, the traditional measure of a probation and parole officer's work load has been the unit count. In Utah, this method counted each case under supervision as one unit, each lower court presentence as three units, and each district court presentence as five units. This unit count, however, has little or no relationship to the actual tasks required of a probation and parole officer and the time required to perform those tasks. Additionally, this system failed to take into account responsibilities such as administrative matters, training, special court assignments, etc.

With ever-increasing demands for services being placed on Adult Probation and Parole, it is imperative that a meaningful system be devised to measure the number of personnel required to provide professional investigations, supervision, and other related duties. In view of the responsibilities placed on this agency for investigations and supervision of the adult offender by the state legislature as well as the need for continued improvement in the management of existing resources, the Work Load Task Force was appointed by Chief Agent Paul M. Peters. The Task Force was given the responsibility of defining the tasks necessary for a probation and parole officer to discharge his responsibilities and the amount of time necessary to complete those tasks to established standards.

Discussion

"The primary mission of the Division of Corrections is community protection. To accomplish this, the Division is committed to the development and provision of programs that will identify and control convicted offenders' inappropriate behavior and assist them in functioning as law-abiding citizens."¹ As an integral part of the Division of Corrections, Adult Probation and Parole has as its primary purpose the protection of society and the rehabilitation of the criminal offender. To achieve this goal, of necessity, a sufficient number of man-power resources must be provided.

Although Adult Probation and Parole has experienced rapid growth during the past decade, work load has grown even more rapidly. During the past several years, there have been consistently increased demands for probation and parole services (See Growth Projection, Appendix #B). For example, the number of presentence investigations ordered by the courts increased 30% between February of 1977 and February of 1978, and 90-day diagnostic reports increased 115% during the same period of time. During the period from March 1, 1977 to March 1, 1978, the number of parolees under supervision in this state increased 22%, felony probationers increased 8%, and misdemeanor probationers increased 12%. Despite the continuous increase in the number of persons placed under the supervision of Adult Probation and Parole, during the last legislative session (1978) no funding was provided for additional probation and parole officers for the 1978-1979 fiscal year.

¹Mission Statement, Utah State Division of Corrections, November 5, 1977 (See Appendix A for complete Mission Statement).

In 1977, the legislature passed the Circuit Court Act providing that Circuit Courts be established throughout Utah on July 1, 1978. We anticipate that implementation of the Circuit Court Act will significantly increase the work load of Adult Probation and Parole. It will be necessary to closely monitor the impact of the Circuit Courts to determine the extent to which work load is increased and the corresponding need for additional staff.

On September 30, 1977, the Task Force on Classification and Specialization submitted its final report. As a result of the report, a uniform case classification procedure was implemented throughout Utah. Three levels of supervision (maximum, medium, and minimum) were established and for the first time minimum standards of supervision were recommended for each classification. It was apparent that the Work Load Task Force was necessary to determine the "time" it takes for an officer to perform tasks in order to meet the standards set for supervision, investigations, and other related duties.

Membership of the Task Force is as follows:

Grant L. Farnsworth, Chairman, Regional Director, Adult Probation and Parole,
Southern District, Provo, Utah

Donald E. Blanchard, District Agent, Adult Probation and Parole, Provo, Utah

W. Kenneth Goe, District Supervisor, Adult Probation and Parole, Provo, Utah

Alan E. Keller, Assistant Regional Director, Adult Probation and Parole,
Southern District, Provo, Utah

Richard Oldroyd, Ph.D., Research Analyst, Division of Corrections, Salt
Lake City, Utah

Robert Park, Assistant Regional Director, Adult Probation and Parole, Central
District, Salt Lake City, Utah

David Tingey, District Supervisor, Adult Probation and Parole, Ogden, Utah

William C. Vickery, Hearing Officer, Utah State Board of Pardons, Salt Lake
City, Utah

Alfred Young, Jr., District Supervisor, Adult Probation and Parole, Provo,
Utah

Richard Youngberg, District Supervisor, Adult Probation and Parole, Farmington,
Utah

A special Executive Committee was appointed to review the report of the
Work Load Task Force and make appropriate recommendations. The following
individuals were appointed as members of the Executive Review Committee:

William V. Milliken, Director, Utah State Division of Corrections, Salt
Lake City, Utah

Larry W. Morris, Deputy Director, Utah State Division of Corrections,
Salt Lake City, Utah

Gary Webster, Administrative Assistant, Utah State Division of Corrections,
Salt Lake City, Utah

Paul M. Peters, Chief Agent, Adult Probation and Parole, Salt Lake City, Utah

Stephen V. Love, Assistant Chief Agent, Adult Probation and Parole, Salt
Lake City, Utah

Other State Comparisons

Fifty states were contacted by letter requesting any information pertaining to the following areas:

1. Classification of probationers and parolees in different categories such as minimum, medium, and maximum. Also, any established standards of supervision for various classifications.
2. Man hours required to perform various activities and specific tasks for supervision, presentence reports, court appearances, special reports, etc.

At the writing of this report, thirty states had responded to the request. These responses ranged from no information available to very comprehensive studies in classification and "work hour surveys". In order to give the reader a brief synopsis of what the responding states are currently doing, we have divided the information into two areas: (1) Classification - giving them high, average, and low requirements of supervision expectations; (2) Work hours - man hours to perform investigations and supervision. Other related duties are not shown in the chart due to so many different variables in the reporting states.

The reader will note in Chart B that there is a wide range in the hours needed to supervise a case. Very few of the responding states have done any research in the area of "time" needed to complete a task or activity. Of those states which responded there were many variables that entered into the activities of supervision and investigation. This chart gives only a rough average of the reporting states.

OTHER STATE COMPARISONS

Classifications

Chart A

Categories	Supervision Requirements
Level I; Intensive; Class I; Class A; Maximum; Category I; Model I	High: Minimum of one contact/week-3 collateral/mo. Medium: Two contacts/mo.-2 collateral/mo. Low: One personal contact-1 collateral/mo.
Class II; Class B; Medium; Average; Model II; Close; Level II; Regular; Moderate; Reduced; Category II	High: 2 personal contacts-2 collaterals/mo. Medium: 1 personal contact-1 collateral/mo. Low: None reported lower contact for this category
Minimum; Class C; Class III; Reduced; Low; Relaxed; Model III; Category III	High: Report monthly-1 home visit/quarter Medium: Quarterly reporting Low: Client initiates contact
Class D Reduced Suspended	High: Quarterly contact Medium: Semi-annual contact Low: Contact by mail-annual personal contact

HOURS TO COMPLETE AN ACTIVITY

Chart B

Investigation Hours		Classification	Supervision Hours
High	22 hours (Includes psychological evaluation)	Maximum	High: 10 - 12 Average: 5 - 6 Low: 1.5 - 3
Average	12 to 16 hours	Medium	High: 2.0 - 2.75 Average: 1.0 - 1.75 Low: .5 - 1.0
Low	5 to 8 hours	Minimum	High: 1.5 Average: .5 - 1 Low: .3

Methodology

Due to the rural/urban make-up of Utah, the Work Load Task Force was comprised of field agents and administrative staff from the three regions of the state. The Task Force was assigned the responsibility of developing an intelligible work measure which would fulfill two functions:

1. The work unit must indicate man hours necessary to accomplish the probation and parole officer's work to certain established standards.
2. The work unit must allow for reasonable distribution of the work to allow for the most economic and effective use of man hours possible.

For the purpose of this study, the probation and parole officer's responsibilities have been divided into two categories defined as follows:

1. Activity: A specific job consisting of one or all of the following:
 - a. Supervision of probationers and parolees.
 - b. Investigations (presentence and 90-day diagnostic reports).
 - c. Other assigned duties.
2. Task: A unit of work performed by one officer and identified as a necessary step to accomplish an activity.

To measure the man hours necessary to complete the various activities to agency standards, the Task Force developed a survey instrument. This instrument consisted of written instructions including standards of performance and time logs for each of the following activities:

Supervision (minimum, medium, and maximum), Presentence, Postsentence, and Diagnostic Reports, Probation and Parole Violation procedures, and Interstate Compact, Preparole and other special investigations (See Appendix # C).

After reviewing the survey instrument with the Research Analyst of the Division of Corrections and the Management Audit Division of Social Services, the Task Force made the following decisions:

1. A large random sample of agents was deemed critical. Most activities an agent is assigned may be accomplished in a multitude of ways; the manner is usually dependent on the subjective judgments made by the agent during the process of the activity. Thus, because of the discretionary nature of the work, a large sample of agents was recommended to account for individual variances in approaches to various activities. Forty-four percent of the Adult Probation and Parole's field staff (43 of the 97 field agents) were selected via random numbers table to participate in the study. (Included in the population of 97 field agents are 7 grade 23 supervisors who are required to supervise cases because of the existing work load.)
2. A manageable sample of activities was deemed necessary and appropriate. The intent of the study was not to measure time actually being spent on various activities, but the time necessary to accomplish the various activities of Adult Probation and Parole to standard. To insure accurate reporting of time spent, agents participating in the study had to be given a reasonable work load to monitor. Agents were instructed to perform the monitored activities to standard and to give them top priority, each agent monitored 15 randomly selected cases as well as other functional activities (investigations, probation and parole violation procedures, etc.) of probation and parole work. Administrative staff assisted the participating agents with their other responsibilities during the survey period.

Statistical manipulations were conducted only on those activities monitored to completion during the survey period. A total of 580 cases (9.6% of the 6,020 cases under supervision) were monitored to standard during the survey period in addition to other activities of probation and parole. A total of 998 separate activities were monitored to standard and subjected to statistical analysis.

3. A 30-day survey period was selected. Given the known weaknesses of time and motion studies regarding diligent and accurate recording of time, a short survey period (April 10 to May 9, 1978) was chosen in an effort to achieve maximum motivation and dependability in time recording. The survey period needed only to be long enough to allow for completion of the various probation and parole activities.
4. Personal distribution of the survey instruments and orientation of the agents and personal collection of the instruments was provided. In addition to the written instructions previously mentioned, each agent participating in the survey as well as his supervisor attended an orientation session held in the three regions of the state. To facilitate uniformity, each orientation session was conducted by the same two trained representatives of the Task Force. Members of the Task Force made themselves available for questions during the survey period and personal reviews were held with the participating agents at the mid point of the survey. All survey instruments were personally collected the day following the conclusion of the survey.

The following factors were considered in the data analysis:

1. Statistical Analysis. Time for all tasks was recorded in minutes. All statistical calculations were computed in minutes and later, in summaries, converted to hours for ease of reading and interpretation. The mean, standard deviation, and range were calculated for each task and each completed activity. Since all tasks were recorded in minutes, the data did not lend itself to a meaningful computation of a mode.
2. Travel Time. Time reported for the completion of a task included the necessary travel time. Agents had been previously instructed to proportion travel time between activities in those instances where more than one case was dealt with in a field excursion.
3. Clerical Functions. Clerical functions necessary to the completion of an activity conducted by para-professional or secretarial staff, were not reported as a portion of the time necessary to perform a task or activity. Professional time only was analyzed.

4. Administrative Cases. Time for administrative cases was recorded as minutes spent per case load per month. At the completion of the study, the total time spent on the case load for the month was then divided by the number of cases to arrive at a mean time per administrative case.
5. Supervising Cases, Investigations, and Other Activities. Time for these particular functions was recorded and analyzed in minutes per activity.
5. Felony and Misdemeanant. In the statistical analysis, no distinction was made between felony and misdemeanor activities as agency performance standards are identical in these areas.
7. 90-Day Diagnostic Studies. All tasks related to the 193 diagnostic studies in progress during the survey were monitored. An analysis of each task was performed facilitating a computation of the time necessary to complete a 90-day diagnostic investigation to agency standards.

Areas of Impact

During the past decade, Utah has experienced a continued increase in its crime rate and in the offender population. Adult Probation and Parole has as its goal, the protection of society and the rehabilitation of the criminal offender. This agency is supportive of the least restrictive setting which can be safely and reasonably used to accomplish this goal.

Inasmuch as the responsibility for placing individuals on probation is within the jurisdiction of the courts and the responsibility for placing individuals on parole is within the jurisdiction of the Board of Pardons, this agency can only recommend that a person be placed on probation or parole. However, it is anticipated that by increasing the quality of probation and parole investigations and supervision, the courts and Board of Pardons will be more likely to place marginal candidates on probation or parole, as alternatives to incarceration. Based on this concept, the following assumptions are made:

1. A sample of district court judges, throughout the state, have expressed the feeling that they would be more inclined to place marginal candidates on probation if closer supervision were given. If the current standards could be met, the economic impact would be significant. As noted in the following chart, we see that by diverting 5% of the felony offenders from incarceration to community supervision, the savings is substantial.

Economic Impact

<u>Imprisonment Cost</u>		
5% = 71 x Incarceration Cost of \$10,588	=	\$751,748.00
Less 71 x Community Supervision Cost of \$547.50	=	<u>38,872.50</u>
Savings in diverting 71 offenders from prison	-	\$712,875.50

In view of the high inmate population at the Utah State Prison, the cost of prison construction must also be considered. If increasing the quality of probation services resulted in the need for 71 less prison cells being constructed, the savings would be conservatively estimated as follows:

Estimate

<u>Construction Cost</u>		
71 x Construction Cost* of \$30,000	=	\$2,130,000.00
Less 71 x Community Supervision Cost of \$547.50	=	<u>38,872.50</u>
Savings realized by eliminating construction cost	-	\$2,091,127.50

*Latest conservative estimate of construction cost per inmate.

Likewise, with improved quality of supervision, there is a greater likelihood that the Board of Pardons would give earlier parole dates. If the number of parolees was increased annually by 10% due to early releases, approximately 60 individuals would be released into the community. Based on the same cost factors, additional savings would result:

<u>Early Parole</u>		
60 x Construction Cost of \$30,000	=	\$1,800,000.00
60 x Incarceration Cost of \$10,588	=	<u>635,280.00</u>
Total Cost	-	\$2,435,280.00
Less 60 x Community Supervision Cost of \$547.50	=	<u>32,850.00</u>
Savings for Early Parole		\$2,402,430.00

Total savings by diverting 71 felons from prison and releasing 60 parolees to intensive supervision would result in a gross savings of \$5,206,433.00.

Population projections for Utah from 1975 through 1990 indicate there will be an increase of 494,106 people. This increase in population growth in Utah will continue to have a significant impact on our correctional system.

2. The indirect cost benefits of offenders being placed under probation or parole supervision are substantial. Indirect cost benefits include the taxes, fines, and restitution paid by these individuals. Also included is the amount of welfare money saved by the state. The offender under supervision in the community is able to support his family rather than having his family supported by welfare funds. Due to the time limitations imposed on this Task Force, these costs were not calculated, but it is apparent that they would be substantial.
3. Another significant impact that would result from increased staffing of Adult Probation and Parole is the greater degree of positive intervention with all probationers and parolees. A national level study, "An Examination of Intensive Supervision as a Treatment Strategy for Probationers", published by the U.S. Department of Justice in 1975 substantiates that intensive supervision lowers recidivism rates. The following is an excerpt from that report:

"The major findings of the present assumption research is that all projects achieved significant reductions in recidivism for the individual projects ranged from 28.4 percent to 61.9 percent. The overall percentage reduction was around 50 percent, reflecting an overall change in frequency from two offenses in the baseline year to one offense in the service year . . . The data indicated that intensive supervision clients recidivated less at every level of prior offense."

For a complete copy of this study, reference is made to Appendix #D.

4. With reduced caseloads, this agency would be able to work more effectively with the offenders' family in identifying problems. This would result in the offender and/or his family being appropriately referred to other social service agencies within the community.
5. The man hour system will facilitate improved allocation of man-power resources according to needs and availability of personnel. The administration will be able to determine how many clients an agent can effectively supervise at one time. They will also be in a position to evaluate time requirements for presentence reports and other related activities. This will make it possible for the agency to utilize available man-power to the optimum.
6. The man hour concept will serve as a logical and rational approach for the Division of Corrections, Social Services, and the legislature as a budget determinant.

Findings

The study conducted by the Work Load Task Force measured time necessary to accomplish the various activities of probation and parole officers when these activities are accomplished according to the agency's minimum performance standards. The activities of a probation and parole officer were divided into the following three areas for the purpose of this study:

1. Supervision: The time employed by an officer with individuals placed on probation or parole in protecting security by motivating behavior and evaluating risks and in assessing that individual in his or her adjustment in the community.
2. Investigation: The time employed in the collection, verification, and evaluation of appropriate information about clients to promote a basis for diagnosis and evaluation of individual treatment needs as well as community needs.
3. Other Assigned Duties: The time employed by the officer in the completion of regular duties by statute, court order, or agency policy, related directly or indirectly to the former two activities.

As indicated earlier, officers participating in the study recorded, in minutes, the time spent on each task (i.e. dictation of report) necessary to the completion of an activity (i.e. presentence investigation). While all calculations were carried out in minutes to insure the greatest accuracy possible, the final results were converted to hours to facilitate actual application. Illustration #1 reflects the time necessary to accomplish

each activity to agency performance standards (it is stressed that these figures do not represent the time now being spent on these activities).

The figures in Illustration #1 represent the professional probation or parole officer's time needed to accomplish the activities; clerical and para-professional time is not included in the figures. (No previous time survey of activities according to certain standards had been conducted in Utah.) This was beneficial to the Task Force in that participating officers had no previously established time standards that they either consciously or unconsciously felt they had to meet. However, this same lack of previous information on time standards presented a problem to the Task Force in evaluating the validity of the survey results. Therefore, programs in other states were examined for possible comparison. While the majority of states still utilize the work unit count, it was found that Florida and Oregon had conducted studies which would allow for some degree of comparison. In addition to comparison with Florida and Oregon, the Task Force broke down Utah's results by four districts (North, Central, South, Parole) to allow for additional evaluation. Illustration #2 provides the comparative statistics for the mean time of each district of Utah, as well as the state-wide mean for Utah Oregon, and Florida. A significant similarity appears in the state comparisons of the figures on supervision and investigation (which accounts for approximately 90% of the agency's time).

The comparisons between districts are affected by extremely small samples in some districts for particular activities as well as the geographic travel demands of the various districts. Still there is close similarity in the figures for like activities as well as similar continuity in the time differences between the three levels of supervision. Where state comparisons are available on other assigned duties, there appears to be a significant

disparity. Because performance standards were not available from Florida and Oregon in reference to these activities, it is not known if the time differences are attributable to different requirements or different approaches to the activities. The disparity in the Utah time and the Florida-Oregon time on postsentences is so vast as to suggest that their procedures are extremely different in this area. The overall comparison of the figures would seem to confirm the reliability of the Utah survey.

I L L U S T R A T I O N # 1

ACTIVITY*	TIME
Supervision:	Hours per case per month
Maximum	5.50
Medium	2.75
Minimum	1.75
Administrative	.25
Investigations:	Hours per investigation per month
Presentence Report	16.50
90-Day Diagnostic Report	24.50
Other Assigned Duties:	Hours per activity per month
Post-sentence Investigation	2.80
Interstate Compact Investigation	2.30
Special Investigations	3.30
Pre-parole Investigations	2.70
Probation Violation Procedure	5.10
Parole Violation Procedure	24.50

*For definition of the activities listed above, reference is made to appendix B.

COMPARATIVE ANALYSIS OF TIME STANDARDS IN HOURS PER MONTH

ILLUSTRATION # 2

	North	Central	South	Parole	Utah	Florida	Oregon
Supervision:							
Maximum	4.10	5.50	5.90	7.10	5.50	5.50	6.0
Medium	1.92	3.10	2.50	3.8	2.75	2.75	2.5
Minimum	1.60	2.00	1.50	2.20	1.75	1.50	1.50
Administrative	--	--	--	.25	.25	--	--
Investigations:							
Presentence Investigation	17.90	14.70	16.90	--	16.50	15	22
90-Day Diagnostic Report	--	--	--	--	24.5*	--	--
Other Assigned Duties:							
Post-sentence Investigation	1.50	--	3.20	--	2.80	10.00	10.00
Interstate Compact Investigation	2.70	1.80	2.30	2.98	2.3	4.0	6.0
Special Investigations	4.40	4.40	2.80	2.10	3.3	--	--
Pre-parole Investigations	NA	NA	NA	2.7	2.7	4.50	6.0
Probation Violation Procedure	4.76	6.10	5.10	NA	5.10	--	--
Parole Violation Procedure	NA	NA	NA	24.5	24.5	8.0	--

* Survey for this item was not susceptible to breakdown by districts.

Evaluation

1. A time standard would facilitate maximum utilization of resources.

The current work unit count gives a gross estimation of overall manpower needed, but does not indicate how it should be allocated. The time standard referred to in Illustration #1 allows internal management and considers both available man hours and man hours necessary per activity. The following illustration shows the time available per month for a probation and parole officer to perform his duties:

Total Gross Hours Per Month Per Agent	=	174
Less non-direct service hours including:		
Official State Holidays	=	8 hrs.
Vacation (average)	=	8 hrs.
Sick (average)	=	4 hrs.
Training (minimum standard)	=	4 hrs.
Administrative Matters	=	4 hrs.
		28
Total non-direct service hours	=	28
Net hours available for direct service per agent per month	=	146

Given the above information and the Time Standard for the various probation and parole activities, management can determine how to allocate services to insure that the client and society realize maximum benefit. Illustration #3 demonstrates how available resources may be allocated. The present work unit count does not

allow one to plan for the non-direct service duties which may be an inherent part of an assignment requiring considerable time.

2. A Time Standard would enhance accurate planning for manpower needs.

Currently, manpower needs are determined by dividing the existing number of work units by the "ideal" number of work units each agent should carry. However, it has been extremely difficult to determine and justify what the "ideal" work unit load should be. It has been variously suggested that this figure lies between 35 and 75. In addition, the work unit count takes into account only the overall number of cases and investigations; it does not measure the varying levels of supervision that may be required. Finally, the work unit count does not indicate what type of services can be provided or not provided if the "ideal" is achieved or not achieved. Because of these shortcomings, the work unit count has not been generally accepted as a measure of manpower needs.

The prepared Time Standard permits an accurate measurement of manpower needs based on current or projected activities. Refined data, such as number of cases at each level of supervision may be accounted for, rather than just total case count without regard for supervision needs. If full manpower cannot be provided, a Time Standard provides a more detailed picture as to where services may be reduced. Illustration #4 shows a breakdown of manpower needs based on the agency's current level of operation. From these figures the agency's manpower situation may be accurately assessed as shown on the following page:

Number of man hours necessary to accomplish activities to standard per month (Illustration #4)	=	30,382
Number of man hours currently available (97 field agents x 146 hours)	=	<u>14,162</u>
Number of additional man hours needed to meet standard	-	16,220
Number of field agents needed to meet standards	-	111

3. Activities performed to agency standards reasonably divides manpower priorities. Illustration #4 indicates that if manpower is allocated according to the proposed Time Standard, 33% of the time would be spent on investigations and 60% of the time on supervision. If manpower resources are not sufficient to meet standards, it will result in a deficiency of our total services.

ILLUSTRATION # 3

Proposed Time Standard

Supervision;	Hours Required Per Case Per Month
Maximum	5.50
Medium	2.75
Minimum	1.75
Administrative	.25
Investigations:	
Hours Required Per Case Per Month	
Presentence	16.5
90-Day Diagnostic	24.5
Other Assigned Duties:	
Hours Required Per Case Per Month	
Postsentence Investigations	2.8
Interstate Compact Investigations	2.3
Special Investigations	3.3
Pre-Parole Investigations	2.7
Probation Violation Procedure	5.10
Parole Violation Procedure	24.5

One Presentence Investigator
174 hrs./month less 28 hrs. for sick, holiday, vacation and training equal 146 hrs. available per month

Sample Investigation Workload
9 Presentences = 1 Probation Officer
OR
6 90-Day Diagnostic Studies = 1 Probation Officer

One Probation Officer
174 hrs./month
less 28 hrs. for sick, holiday, vacation, & training equal 146 hrs. available per month

Less Non-direct Service Duties:
15.3 hrs. for 3 probation violation
1.7 hrs. for Special Investigations
1.5 hrs. for Interstate Investigations
18.5 hrs. average workload service duties per month

One Probation Officer
146 hrs./month
-18.5 hrs. Non-direct Service
127.5 hrs. for supervision/month.

Sample Probation Supervision Caseload
23 maximum cases = 1 Probation Officer
OR
46 medium cases = 1 Probation Officer
OR
73 minimum cases = 1 Probation Officer

One Parole Officer
174 hrs./month
less 28 hrs. for sick, vacation, holiday, and training equal 146 hrs. available per month

Less Non-direct Service Duties:
37 hrs. for 1 1/2 parole violation procedures per month
2.7 hrs. for 1 pre-parole investigation per month
1.7 hrs. for Special Investigations
1.5 hrs. for Interstate Investigations
42.9 hrs. Average Non-direct Service duties per month

One Parole Officer
146 hrs./month
-42.9-hr. Non-direct service.
103.1 hrs. for supervision/month

Sample Parole Supervision Caseload
19 maximum cases = 1 Parole Officer
OR
38 medium cases = 1 Parole Officer
OR
59 minimum cases = 1 Parole Officer

I L L U S T R A T I O N # 4

Activity	Proposed Time Standard	Average # Per Month	Estimated Man Hours To Accomplish To Standard	Percentage Of Agency Time
Presentence	16.5	572	9438	31 %
90-Day Diagnostic Study	24.5	30	735	2 %
Postsentence	2.8	100	280	1 %
Maximum Supervision	5.5	1530	8415	28 %
Medium Supervision	2.75	2235	6146	20 %
Minimum Supervision	1.75	2043	3575	12 %
Probation Violation	5.1	210	1071	4 %
Parole Violation	24.5	15	368	1 %
Administrative Cases	.25	238	60	.2%
Interstate Investigations	2.3	40	92	.2%
Special Investigations	3.3	53	175	.5%
Pre-Parole Investigations	2.7	10	27	.1%
TOTAL			30,382	100 %

Recommendations

1. Recommended the unit count system currently being utilized by Adult Probation and Parole be discontinued and replaced by the 'man hour' concept for work load distribution and legislative budget requests.
2. A committee be appointed by the Director of Corrections and the Chief Agent of Adult Probation and Parole to review standards and to see if they are consistent with new knowledge, experience and methods. Encourage innovation and the development of more effective methods of achieving our established mission. The committee would be charged with the responsibility to validate present time-in-motion study and to develop a monthly report form for administration to keep abreast of caseload management and movement of cases through the classification system.
3. A management system be set up to audit and insure that probation and parole officers understand the classification system and to see that it is uniformly applied throughout the state. This management team would be charged with the responsibility to evaluate the overall performance of officers in activities of supervision and investigation. The findings would be submitted to the Chief Agent and Regional Directors for implementation of training to improve our services to the courts and Board of Pardons.
4. On July 1, 1978, the Circuit Court System will be implemented throughout the state. It is anticipated that this new system will have a significant impact on Adult Probation and Parole, however,

there are many unknown variables which would make it improper to draw conclusions at this time. It is recommended, therefore, a method be designed to track any increased demand in services.

5. We recommend every effort be made to secure sufficient personnel to meet established standards in investigation, supervision, and other related duties. This task force study confirms that an additional 111 agents plus the necessary supporting staff would be needed to meet present standards.



Social Services

Scott M. Matheson, Governor, State of Utah
Anthony W. Mitchell, Ph.D., Executive Director

UTAH DIVISION OF CORRECTIONS MISSION AND PRINCIPLES

INTRODUCTION

The criminal justice system is composed of a series of responses to criminal activity--law enforcement and the apprehending of offenders, judicial actions, courts and the administration of sanctions, corrections. There is a never ending, changing environment in the criminal justice system. The public reacts to crime increases, and is often frustrated. This frustration impacts on the operation of the entire system.

The Utah Division of Corrections believes that correctional sanctions imposed on convicted offenders serve a multiplicity of purposes which may vary with the type of offender. For this reason the Division, under the direction from the Legislature, offers a variety of programs to the courts as dispositional alternatives.

The Utah Division of Corrections believes that crime and delinquency are symptoms of failure and disorganization of the offender and society. The offender has often had limited contact with positive forces that develop law abiding conduct (good schools, gainful employment, adequate housing, leisure time activities, etc.).

The Utah Division of Corrections believes that crime rates can be impacted through well-planned, effectively coordinated correctional programs. The Division recognizes the need for a management system that is sound and efficient, and that has clearly established organizational and divisional goals with on-going evaluation, research and management information systems.

It is based upon these beliefs that the Board of Corrections and Division of Corrections Administration set forth the following mission statement and principles of operation.

MISSION

The primary mission of the Division of Corrections is community protection. To accomplish this the Division is committed to the development and provision of programs that will identify and control convicted offenders' inappropriate behavior and assist them in functioning as law abiding citizens.

PRINCIPLES

In setting this as its mission and in the development and provision of programs, the Division operates within the framework of a series of principles. These are:

1. Provide the least restrictive setting for humanely managing offenders according to their ability to function and still maintain public safety.
2. Provide assistance to the courts and Board of Pardons in determining offender dispositions.
3. Provide assistance to offenders to promote law abiding behavior.
4. Encourage and participate in research regarding the causes of criminal behavior and the effectiveness of correctional programs and methods.
5. Administer efficient and cost effective correctional programs within the framework of professional corrections practice and legislative intent.
6. Plan and administer innovative and diversified programs.
7. Improve employee performance through utilization of training and educational opportunities.
8. Increase public awareness and participation in correctional programs by using a variety of media sources.
9. Recognize that victims are often overlooked as a part of the criminal justice process. The Division believes victims have a right to restitution.

ACTIVITY: Case Supervision

You have been selected as part of a random sample being asked to participate in a study for the purpose of determining the time necessary to supervise Probation and Parole cases. During the period of time from April 10, 1978, to May 9, 1978, you will be asked to supervise fifteen cases—5 maximum, 5 medium, 5 minimum—according to agency standards.

It is imperative that all standards specified by the agency be met in these cases and exceeded where dictated by case needs. This study will measure the time necessary to supervise cases according to agency standards; it is not the purpose to measure the time you are currently able to spend on your cases under existing conditions. Therefore, it is critical that you devote whatever time is necessary to meet standards of supervision for the cases in this study. The Administration has approved this study and recognizes that certain other responsibilities may have to be referred to your supervisor for assistance during this study.

INSTRUCTIONS

- (A) TIME: All time is to be recorded in minutes as tasks are carried out; not cumulative totals at the end of the day. (Please fill this out accurately; do not attempt to assume what will look best for you or the Agency). All time spent on the case being monitored must be recorded in one of the categories.

Time for activities 1-8 should be recorded in reference to the sample cases only.

Time for activity #9 should be recorded for the time you spend on making police records check (booking sheet checks, pawn sheet check, etc.) for your entire caseload.

- (B) TRAVEL: Travel time is to be included as part of the total time taken to accomplish a particular task. If on a particular field trip more than one case is worked on, the travel time must be averaged between the cases involved—for example, if on a field trip you make three home visits involving clients X, Y, and Z, the time recorded for the personal home visit to client X will be a total of the interview time spent with client X plus 1/3 of the travel time.

It is necessary that travel time be accounted for in the overall time recorded to accomplish a particular task. However, it is extremely important that this figure is accurate and not inflated by the inclusion of travel time necessary for other cases or tasks. Please do your best to thoroughly track this information.

- (C) SAMPLE CASES: You are being asked to supervise fifteen cases to standard—5 maximum, 5 medium, and 5 minimum—and to monitor the time necessary for this activity on a time chart. Proceeding in alphabetical order, select fifteen cases by taking each fifth case from your caseload until you have selected five cases for each level of supervision. Continue this rotation through the alphabet as many times as necessary to obtain five sample cases for each level. If you do not have at least 5 cases at each of the three levels of supervision in your caseload, then simply continue the rotation filling your total sample with whatever case comes up regardless of classification.

(D) In supervising your sample of "maximum" cases during the study, you must comply with the following minimum standards:

1. Conduct a personal office interview with the client.
2. Make one personal field contact with the client at his residence or place of employment.
3. Verify during the month:
 - a. employment and/or school
 - b. treatment program
 - c. restitution and/or fine
4. Make collateral contacts as needed.
5. Formulate and evaluate a supervision plan (to be included in case history).
6. Make a minimum of one typed case history summary.
7. Conduct a police records check.

Obviously, you may exceed these requirements if the case needs so dictate. However, you may not do less than the minimum specified above.

(E) In supervising your sample of "medium" cases during the study, you must comply with the following minimum standards:

1. Client to report in person at probation/parole office monthly.
2. Verify objectives as needed
 1. Employment or school
 2. Treatment program
 3. Restitution or fine
3. Formulate/evaluate supervision plan.
4. Dictation in file once every two months.
5. Police records check.

(F) In supervising your sample of "minimum" cases during the study, you must comply with the following minimum standards:

1. Client to mail report to office monthly. Personal contact with supervising officer minimum of every 90 days.
2. Dictation in file quarterly.
3. Police records check.

ACTIVITY SUPERVISION OF MAXIMUM CASE

Agent's Name _____ Your Caseload Size (bodies not cases) _____

District _____ Case Name _____

From 4/10/78 to 5/9/78

TASKS											Sub-Totals
* (1) Personal Office Contact (Required minimum of once per month).											
* (2) Personal Field Contact (Required minimum of once per month).											
* (3) Verification of Employment, Treatment, Restitution, Residence (Required minimum of once per month).											
(4) Other collateral contacts (family, other agencies and/or community resources, etc.).											
(5) Classification/ Staffing											
(6) Special Reports to Court/Board and/or appearances.											
* (7) Dictation--to include classification, plan of supervision, and evaluation (Required minimum of one typed entry per month).											
(8) Other (specify).											
* (9) Police Check (Required once per month).											
TOTAL	DO NOT COMPUTE SUB-TOTALS OR TOTALS										

*Required tasks for a maximum supervision case.

ACTIVITY: SUPERVISION OF MEDIUM CASE

Agent's Name _____

Your Caseload Size (bodies not cases) _____

District _____

Case Name _____

From 4/10/78 to 5/9/78

TASKS											Sub-Totals
* (1) Personal Office Contact (Required minimum of once per month).											
(2) Personal Field Contact											
* (3) Verification of Employment, Treatment, Restitution, Residence (To be done as needed).											
(4) Other collateral contacts (family, other agencies and/or community resources, etc.).											
(5) Classification/ Staffing.											
(6) Special Reports to Court/Board and/or appearances.											
* (7) Dictation--to include classification, plan of supervision, and evaluation (Required minimum of one typed entry every two months).											
(8) Other (specify).											
* (9) Police Check (Required once per month).											
TOTAL	DO NOT COMPUTE SUB-TOTALS OR TOTALS										

*Required tasks for a medium supervision case.

ACTIVITY: SUPERVISION OF MINIMUM CASE

Agent's Name _____ Your Caseload Size (bodies not cases) _____

District _____ Case Name _____

From 4/10/78 to 5/9/78

TASKS										Sub-Totals
* (1) Personal Office Contact (Required minimum of once every 90 days).										
(2) Personal Field Contact (minimum of once per month).										
(3) Verification of Employment, Treatment, Restitution, Residence										
(4) Other collateral contacts (family other agencies and/or community resources, etc.).										
(5) Classification/ Staffing.										
(6) Special Reports to Court/Board and/or appearances.										
* (7) Dictation--to include classification, plan of supervision, and evaluation (Required minimum of one typed entry every 90 days).										
(8) Other (specify).										
* (9) Police Check (Required once per month).										
TOTAL	DO NOT COMPUTE SUB-TOTALS OR TOTALS									

*Required tasks for a minimum supervision case.

ACTIVITY: PRESENTENCE INVESTIGATION

You have been selected as part of a random sample being asked to participate in a study for the purpose of determining the time necessary to complete a Presentence Report. During the period of time from April 7, 1978, to May 9, 1978, you will be asked to complete four Presentence Reports according to the standards set forth below.

It is imperative that all standards specified below be met in these cases, and exceeded where dictated by case needs. This study will measure the time necessary to complete a presentence according to these standards; it is not the purpose to measure the time you are currently able to spend per case under existing conditions. Therefore, it is critical that you devote whatever time is necessary to meet the standards indicated. The Administration has approved this study, and recognizes that certain other responsibilities may have to be referred to your supervisor for assistance during this study.

INSTRUCTIONS

- A. TIME: All time is to be recorded in minutes as tasks are carried out; not cumulative totals at the end of the day. (Please fill this out accurately; do not attempt to assume what will look best for you or the Agency.) All time spent on the case being monitored must be recorded in one of the categories.
- B. TRAVEL: Travel time is to be included as part of the total time taken to accomplish a particular task. If on a particular field trip more than one case is worked on, the travel time must be averaged between the cases involved--for example, if on a field trip you make three home visits involving clients X, Y, and Z, the time recorded for the personal home visit to client X will be a total of the interview time spent with client X plus 1/3 of the travel time.
- It is necessary that travel time be accounted for in the overall time recorded to accomplish a particular task. However, it is extremely important that this figure is accurate, and not inflated by the inclusion of travel time necessary for other cases or tasks. Please do your best to thoroughly track this information.
- C. SAMPLE CASES: You are being asked to complete four Presentence Reports according to the standards listed below, and to record the time necessary to complete the various tasks listed. For the purposes of this study, you are asked to use the first four presentence referrals assigned to you on or after April 7, 1978. You will be required to return a copy of the completed Presentence Report on each of your sample cases along with the time sheets.
- D. STANDARDS: It is recognized that in many cases there is a need for extensive investigation regarding a particular aspect of the case i.e. restitution, mental or physical health, sexual deviancy, drug abuse, etc. It is important that these areas be identified and thoroughly investigated. Obviously then, some aspects of a particular case may require more time. You may exceed the specified requirements in those areas, however, you may not do less than the minimum requirements listed below.

It is not necessary that the tasks listed be carried out in the sequence printed.

1. Obtain available data from court, county attorney, and arresting agency.
2. Conduct a personal interview with arresting officer(s). Ask for any recommendation he (they) may want to make.

3. Conduct a personal interview with the victim(s). Obtain written statements regarding restitution (if any).
4. Conduct personal interviews with defendant, (minimum of one office interview and one visit to his place of residence). Additional contacts with defendant should be scheduled as often as necessary to obtain all pertinent information, and insights necessary to make an evaluation regarding attitude and the appropriateness of probation.
5. Make prior records check; UBCI, Drivers License Division, local law enforcement agencies, other states, F.B.I., etc., as warranted. Obtain verified information regarding dispositions of all prior arrests. If necessary, write to arresting agency or court of jurisdiction. If verified dispositions cannot be obtained, report what the defendant states regarding the dispositions. When using information reported by the defendant, so indicate. Verify any additional arrests reported by defendant that do not appear on the arrest record.
6. Send letters for collateral information, i.e. schools, military, prior treatment, family, etc.
7. Make a minimum of two personal collateral contacts for relevant information (at least one collateral with a family member).
8. Evaluate client's needs. Consider what type of treatment program should be developed. If a specific program (i.e. state hospital, ARC, drug treatment, halfway house) is anticipated, follow through with a referral so a determination regarding acceptance to the program has been made prior to sentencing. When appropriate, make arrangements for a psychological evaluation.
9. Dictate report.
10. Proofread report carefully for content and grammatical corrections.
11. Staff case and make recommendation.
12. Deliver report to judge and prosecuting attorney.
13. Review report with judge.
14. Review report with prosecuting attorney.
15. Be present in court for sentencing.
16. Record action taken by court in file.

ACTIVITY: Presentence Report

Agent's Name _____

Office _____

Case Name _____

From 4-10-78 to 5-9-78

TASKS											Sub-total
1. Data collection from court, C.A. arresting agency.											
2. Personal interview with arresting officer.											
3. Personal interview with victim(s).											
4. Personal interview with defendant.											
5. Prior arrest checks.											
6. Written correspondence.											
7. Personal collateral contacts.											
8. Evaluate clients needs, develop treatment program including referrals.											
9. Dictation of report.											
10. Proofreading and correcting report.											
11. Staff case finalize recommendation.											
12. Deliver report to judge and prosecuting attorney.											
13. Review report with judge.											
14. Review report with prosecuting attorney.											
15. Court appearance for sentencing.											
16. Record Disposition in file.											
17. Other.											
TOTAL	DO NOT TOTAL OR SUB-TOTAL										

ACTIVITY: Postsentence Investigation

You have been selected as part of a random sample being asked to participate in a study for the purpose of determining the time necessary to complete a postsentence investigation. During the period of time from April 10, 1978, to May 9, 1978, you will be asked to complete four postsentence investigations according to agency standards.

It is imperative that all standards specified by the agency be met in these cases and exceeded where dictated by case needs. This study will measure the time necessary to complete postsentence investigations according to agency standards; it is not the purpose to measure the time you are currently able to spend on postsentence investigations under existing conditions. Therefore, it is critical that you devote whatever time is necessary to meet the postsentence standards for the cases in this study. The Administration has approved this study, and recognizes that certain other responsibilities may have to be referred to your supervisor for assistance during this study.

INSTRUCTIONS

A. TIME: All time is to be recorded in minutes as tasks are carried out; not cumulative totals at the end of the day. (Please fill this out accurately; do not attempt to assume what will look best for you or the Agency.) All time spent on the case being monitored must be recorded in one of the categories.

B. TRAVEL: Travel time is to be included as part of the total time taken to accomplish a particular task. If on a particular field trip more than one case is worked on, the travel time must be averaged between the cases involved--for example, if on a field trip you make three home visits involving clients X, Y, and Z, the time recorded for the personal home visit to client X will be a total of the interview time spent with client X plus 1/3 of the travel time.

It is necessary that travel time be accounted for in the overall time recorded to accomplish a particular task. However, it is extremely important that this figure is accurate and not inflated by the inclusion of travel time necessary for other cases or tasks. Please do your best to thoroughly track this information.

C. SAMPLE CASES: You are being asked to complete four postsentence investigations according to Agency standards, and to record the time necessary for this activity on a time chart. For the purposes of this study, you are asked to use the first four postsentence referrals assigned to you on or after April 10, 1978.

D. STANDARDS:

1. Obtain data from court, county/city attorney, and arresting agency.
2. Make telephone contact with arresting officer for review of offense and his impressions.
3. Conduct personal interview with victim(s). Obtain statement regarding restitution, if appropriate.
4. Conduct personal interview with client.
 - a. Complete face sheet.
 - b. Obtain defendant's version of offense.
 - c. Review and sign probation agreement.
 - d. Have "authorization to release" signed.
5. Verify data.
 - a. Send for UBCI, and other prior record checks.
 - b. Send letters for additional collateral information.
6. Evaluate case needs. Determine treatment program. Establish and implement the treatment program.
7. Make opening file entry. Include classification and evaluation.

ACTIVITY: Postsentence Investigation

Agent's Name _____ Office _____

Case Name _____ From 4-10-78 to 5-9-78

TASKS									Sub-total
1. Obtain data from court, attorney, and arresting agency.									
2. Contact with arresting officer.									
3. Personal interview with victim(s).									
4. Personal interview with client.									
5. Verify data prior record, and other collateral contacts.									
6. Evaluate case, establish and implement treatment program.									
7. Case dictation.									
8. Other									
TOTAL	DO NOT SUB-TOTAL OR TOTAL								

ACTIVITY: 90-Day Diagnostic Report

You have been selected to participate in a study for the purpose of determining the time necessary to complete a Diagnostic Report. During the period of time from April 10, 1978, to May 9, 1978, you will be asked to record all time you spend on each of your 90-day cases. The Administration has requested this study, and recognizes that it will require extra effort on your part for a short period of time.

INSTRUCTIONS

- A. TIME: All time is to be recorded in minutes as tasks are carried out; not cumulative totals at the end of the day. (Please fill this out accurately; do not attempt to assume what will look best for you or the Agency). A separate time log should be completed for each of your cases. All time spent on the case being monitored must be recorded in one of the categories on the time log.
- B. TRAVEL: Travel time is to be included as part of the total time taken to accomplish a particular task. If on a particular field trip more than one case is worked on, the travel time must be averaged between the cases involved--for example, if on a field trip you make three home visits involving clients X, Y, and Z, the time recorded for the personal home visit to client X will be a total of the interview time spent with client X plus 1/3 of the travel time.
- It is necessary that travel time be accounted for in the overall time recorded to accomplish a particular task. However, it is extremely important that this figure is accurate, and not inflated by the inclusion of travel time necessary for other cases or tasks. Please do your best to thoroughly track this information.
- C. SAMPLE CASES: You are requested to record all time that you spend on each of the 90-day cases you are currently working on regardless of when the report will be completed. It is also very important that a time log be completed on all new referrals that you receive during the study period.

ACTIVITY: 90-Day Diagnostic Reports

Agent's Name _____

Office _____

Case Name _____

From 4-10-78 to 5-9-78

Date Referred _____

Date Due in Court _____

TASKS									Sub-total
1. Read & review available information on the case									
2. Collateral contact with arresting officer									
3. Collateral contact with victim									
4. Personal interviews with defendant									
5. Prior records check and verification of dispositions									
6. Collateral contacts (both personal and other correspondence)									
7. Coordination with personnel at Diagnostic Center or Prison									
8. Development of treatment program & coordination with appropriate community resources									
9. Coordination with P.S.I. writer									
10. Staff Case									
11. Dictation of report									
12. Proofread and correct report									
13. Deliver report to Judge, Prosecuting attorney, and Defense Attorney									
14. Review report with Judge									
15. Review report with Prosecuting Attorney and with Defense Counsel									
16. Court appearance for sentencing									
17. Post sentence activities (i.e., dictation, arrange transportation of defendant, transfer of case, etc.)									
18. Other									
TOTAL									DO NOT TOTAL OR SUB-TOTAL

ACTIVITY: Probation Violation

You have been asked to participate in a study for the purpose of determining the time necessary to handle a probation violation case. From April 10, 1978 to May 9, 1978, you will be asked to monitor and record the time you spend in all probation violation cases.

It is imperative that all standards specified by the agency be met in these cases, and exceeded where dictated by case needs. This study will measure the time necessary to conduct the probation violation procedure according to standards; it is not the purpose to measure the time you are currently able to spend on the activity under existing conditions. Therefore, it is critical that you devote whatever time is necessary to process a probation violation case according to standards. The Administration has approved this study, and recognizes that certain other responsibilities may have to be referred to your supervisor for assistance.

INSTRUCTIONS

- A. TIME: All time is to be recorded in minutes as tasks are carried out; not cumulative totals at the end of the day. (Please fill this out accurately; do not attempt to assume what will look best for you or the Agency.) All time spent on the case being monitored must be recorded in one of the categories.
- B. TRAVEL: Travel time is to be included as part of the total time taken to accomplish a particular task. If on a particular field trip more than one case is worked on, the travel time must be averaged between the cases involved--for example, if on a field trip you make three home visits involving clients X, Y, and Z, the time recorded for the personal home visit to client X will be a total of the interview time spent with client X plus 1/3 of the travel time.

It is necessary that travel time be accounted for in the overall time recorded to accomplish a particular task. However, it is extremely important that this figure is accurate, and not inflated by the inclusion of travel time necessary for other cases or tasks. Please do your best to thoroughly track this information.
- C. SAMPLE CASES: All probation violation cases occurring during the study will be incorporated in the study.
- D. STANDARDS: The requirements for the probation violation procedure vary according to the respective courts involved. Because of this, no attempt will be made to set forth the standards for each court. You will be expected to comply with all of the standards for probation violation procedures in your respective offices, or with your respective judges.

It should be noted that the time log for the probation violation procedure has been designed to include all of the tasks required in the various offices throughout the state. As you track your probation violation cases, record only the tasks required in your office. Remember that it is important that all time required be recorded in one of the categories.

ACTIVITY: Probation Violation

Agent's Name _____ Office _____

Case Name _____ Case Classification _____

From 4-10-78 to 5-9-78

TASKS								Sub-total
1. Arrest & booking record only if involved.								
2. Interview with client.								
3. Obtain police reports.								
4. Interview with police, treatment program personnel, or other witnesses, etc.								
5. Review case with supervisor.								
6. Make written request to judge outlining reasons for Order to Show Cause.								
7. Make written request to County Attorney outlining reasons for Order to Show Cause.								
8. Prepare Affidavit and Order.								
9. Review case with prosecuting attorney.								
10. Take documents to Judge for signature and setting.								
12. Serve client, defense attorney, and county attorney.								
13. Make return of service at clerks office.								
14. Consider alternatives to incarceration, staff case, provide judge with written recommendation.								
15. Appear in court for plea hearing.								
16. Appear in court for evidentiary hearing.								
17. Prepare probation violation report.								
18. Make appropriate file entries at each step of prerevocation process.								
19. Carry out any new order made by court i.e. new treatment program, etc.								
20. Other								
TOTAL								DO NOT TOTAL OR SUB-TOTAL

ACTIVITY: Parole Violation

You have been asked to participate in a study for the purpose of determining the time necessary to handle a parole violation case. From 4-10-78 to 5-9-78, you will be asked to monitor and record the time you spend in all parole violation cases.

It is imperative that all standards specified by the agency, be met in these cases and exceeded where dictated by case needs. This study will measure the time necessary to conduct the parole violation procedure according to standards; it is not the purpose to measure the time you are currently able to spend on the activity under existing conditions. Therefore, it is critical that you devote whatever time is necessary to process a parole violation case according to standards. The Administration has approved this study, and recognizes that certain other responsibilities may have to be referred to your supervisor for assistance.

INSTRUCTIONS

- A. TIME: All time is to be recorded in minutes as tasks are carried out; not cumulative totals at the end of the day. (Please fill this out accurately; do not attempt to assume what will look best for you or the Agency.) All time spent on the case being monitored must be recorded in one of the categories.
- B. TRAVEL: Travel time is to be included as part of the total time taken to accomplish a particular task. If on a particular field trip more than one case is worked on, the travel time must be averaged between the cases involved--for example, if on a field trip you make three home visits involving clients X, Y, and Z, the time recorded for the personal home visit to client X will be a total of the interview time spent with client X plus 1/3 of the travel time.

It is necessary that travel time be accounted for in the overall time recorded to accomplish a particular task. However, it is extremely important that this figure is accurate, and not inflated by the inclusion of travel time necessary for other cases or tasks. Please do your best to thoroughly track this information.

- C. STANDARDS:
1. Following an arrest, items 2-14 on the time logs must be accomplished. In some cases several of these tasks will be done more than once.
 2. If probable cause is found at the Prerevocation Hearing, and:
 - a. it is your intent to proceed with a Parole Violation Hearing, you must accomplish items 15-18, 21, and in the case of an Evidentiary Hearing item 19 and 20, or;
 - b. if it is not your intent to proceed with a Parole Violation Hearing item 22 and, where necessary, item 23 must be met.

ACTIVITY: Parole Violation Procedure

Agent's Name _____
 Case Name _____
 Case Classification _____

Office _____
 From 4/10/78 to 5/9/78

TASKS	SUB-TOTAL
1. Arrest	
2. Interview w/Client	
3. Preparation of Detainer Request	
4. Obtaining Police Reports	
5. Interviews w/Police	
6. Interviews w/Victim, Witnesses	
7. Interview w/client's family & collaterals	
8. Review w/Supervisor	
9. Dictation of Violation Report	
10. Service of P.V. Information	
11. Subpoena of Witnesses	
12. Transportation of Parolee to Hearing	
13. Appearance at Pre-Rev. Hearing	
14. Transp. of Parolee from Hearing	
15. Service of P.V. Information	
16. Invest. of Alternative Programs	
17. Staffing	
18. Transp. of Parolee to Prison	
19. Subpoena of Witnesses to Board	
20. Appearance at Board of Pardons	
21. Preparation of File for B of P	
22. Final Report to Board in Case of Reinstatement	
23. Signing New Parole Agreement	
24. Other	

TOTAL

DO NOT TOTAL OR SUB-TOTAL

ACTIVITY: Pre-Parole Investigation

You have been selected as part of a random sample being asked to participate in a study for the purpose of determining the time necessary to conduct a pre-parole investigation. During the period of time from April 10, 1978, to May 9, 1978, you will be asked to monitor the time you spend on all pre-parole investigations assigned to you by the Institutional Parole Officer.

It is imperative that all tasks assigned to you by the Institutional Parole Officer be thoroughly accomplished with appropriate case history entries being recorded in the file. These tasks may include such things as arranging job interviews, transporting an inmate to a job interview, or drivers license test, verifying home offer, etc. The Administration has approved this study, and recognizes that certain other responsibilities may have to be referred to your supervisor for assistance.

INSTRUCTIONS

- A. TIME: All time is to be recorded in minutes as tasks are carried out; not cumulative totals at the end of the day. (Please fill this out accurately; do not attempt to assume what will look best for you or the Agency.) All time spent on the case being monitored must be recorded in one of the categories.
- B. TRAVEL: Travel time is to be included as part of the total time taken to accomplish a particular task. If on a particular field trip more than one case is worked on, the travel time must be averaged between the cases involved--for example, if on a field trip you make three home visits involving clients X, Y, and Z, the time recorded for the personal home visit to client X will be a total of the interview time spent with client X plus 1/3 of the travel time.
- It is necessary that travel time be accounted for in the overall time recorded to accomplish a particular task. However, it is extremely important that this figure is accurate and not inflated by the inclusion of travel time necessary for other cases or tasks... Please do your best to thoroughly track this information.
- C. SAMPLE CASES: All cases assigned to you by the Institutional Parole Officer, must be monitored.

ACTIVITY: Pre-Parole Investigation

Agent's Name _____ Case Name _____

District _____

From 4-10-78 to 5-9-78

TASKS									Sub-totals
1. Interview with inmate, family members, etc.									
2. Arranging interviews for housing, treatment, employment, etc.									
3. Participation in interviews for employment, housing, treatment, etc.									
4. Investigation for early release.									
5. Dictation.									
6. Other.									
TOTAL	DO NOT TOTAL OR SUB-TOTAL								

ACTIVITY: Administrative Cases

You have been selected as part of a random sample being asked to participate in a study for the purpose of determining the time necessary to supervise administrative cases, i.e. fugitive cases, Utah compacts, etc. During the period of time from April 10, 1978, to May 9, 1978, you will be asked to monitor all administrative cases in your caseload according to agency standards.

It is imperative that all standards specified by the agency be met in these cases, and exceeded where dictated by case needs. This study will measure the time necessary to supervise cases according to agency standards; it is not the purpose to measure the time you are currently able to spend on your cases under existing conditions. Therefore, it is critical that you devote whatever time is necessary to meet standards of supervision for the cases in this study. The Administration has approved this study, and recognizes that certain other responsibilities may have to be referred to your supervisor for assistance during this study.

INSTRUCTIONS

- A. TIME: All time is to be recorded in minutes as tasks are carried out; not cumulative totals at the end of the day. (Please fill this out accurately; do not attempt to assume what will look best for you or the Agency.) All time spent on the cases being monitored must be recorded in one of the categories.
- B. SAMPLE CASES: All administrative cases under your supervision are to be incorporated in this study.
- C. STANDARDS: In supervising your administrative cases; you must comply with the following standards:
 1. Review each case every 90 days examining expiration dates, need for progress reports in compact cases, need for criminal record updates in fugitive cases, etc.
 2. A typed dictation entry must be made every 90 days indicating current status, target termination dates, status of warrants on fugitive, etc.
 3. Correspondence must be answered immediately as it arrives. Where appropriate, violation reports, stay reports, termination reports, etc., must be dictated and processed.

ACTIVITY: Administrative Cases

Agent's Name _____ Office _____

Type of Case Load _____ Number of Cases _____

From 4-10-78 to 5-10-78

TASKS										Sub-total
1. Periodic Review (minimum of once every 90 days).										
2. Dictation (min- imum of once every 90 days).										
3. Correspondence as needed.										
4. Other.										
TOTAL	DO NOT SUB-TOTAL OR TOTAL									

ACTIVITY: Interstate Compact Investigation

You have been selected as part of a random sample being asked to participate in a study for the purpose of determining the time necessary to complete an interstate compact investigation. During the period of time from April 10, 1978, to May 9, 1978, you will be asked to complete all interstate investigations assigned to you according to agency standards.

It is imperative that all standards specified by the agency be met in these investigations, and exceeded where dictated by need. This study will measure the time necessary to conduct investigations according to agency standards; it is not the purpose to measure the time you are currently able to spend on these investigations under existing conditions. Therefore, it is critical that you devote whatever time is necessary to meet standards for conducting investigations in this study. The Administration has approved this study, and recognizes that certain other responsibilities may have to be referred to your supervisor for assistance during this study.

INSTRUCTIONS

- A. TIME: All time is to be recorded in minutes as tasks are carried out; not cumulative totals at the end of the day. (Please fill this out accurately; do not attempt to assume what will look best for you or the Agency.) All time spent on the investigation being monitored must be recorded in one of the categories.
- B. TRAVEL: Travel time is to be included as part of the total time taken to accomplish a particular task. If on a particular field trip more than one case is worked on, the travel time must be averaged between the cases involved--for example, if on a field trip you make three home visits involving clients X, Y, and Z, the time recorded for the personal home visit to client X will be a total of the interview time spent with client X plus 1/3 of the travel time.

It is necessary that travel time be accounted for in the overall time recorded to accomplish a particular task. However, it is extremely important that this figure is accurate and not inflated by the inclusion of travel time necessary for other cases or tasks... Please do your best to thoroughly track this information.

- C. SAMPLE CASES: All interstate compact investigation requests received during the study period (April 10, 1978 to May 10, 1978), will be incorporated in the study.
- D. STANDARDS: The following minimum standards must be complied with in conducting interstate compact investigations:
1. File material must be reviewed in detail and missing information requested from the sending state.
 2. Proposed residence must be visited.
 3. Sponsor must be personally interviewed.
 4. Proposed employer must be personally contacted.
 5. If the client is already in the state, a personal interview must be conducted.
 6. Evaluate case, determine need for and availability of treatment programs. If a particular program is appropriate, the necessary preparation should be made. Classify the case.

7. Dictate reply to the sending state. Noting results of investigation regarding employment, residence, sponsor, special problems, other appropriate information, and decision on acceptance. If accepted, note if there are any special conditions Utah will require, i.e. alcohol treatment, urine surveillance, etc. Also, reporting instructions for the client must be included.
8. Complete face sheet and Utah parole agreement.
9. Dictate case history. (If supervision is denied, steps eight and nine will not be completed.)

ACTIVITY: Interstate Compact Investigation

Agent's Name _____ Case Name _____
 Office _____ Sending State _____

From 4-10-78 to 5-9-78

TASKS									Sub-total
1. Review file information and request any missing information from the sending state.									
2. Field contact to proposed residence and personal interview with sponsor.									
3. Field contact to proposed employment.									
4. If available, personally interview client.									
5. Evaluate case, determining need for and availability of treatment programs and classify.									
6. Dictate reply to sending state including results of investigation and decision. (Note any special conditions Utah will require, i.e. urine surveillance and reporting instructions).									
7. Complete face sheet and Utah agreement.									
8. Dictation.									
9. Other.									
TOTAL	DO NOT SUB-TOTAL OR TOTAL								

ACTIVITY: Special Investigations

You have been selected as part of a random sample being asked to participate in a study for the purpose of determining the time necessary to conduct special investigations other than presentence or postsentence reports. During the period of time from April 10, 1978, to May 9, 1978, you will be asked to record the time required to do all special investigations assigned to you by the courts, Board of Pardons, other states, etc.

It is imperative that all standards specified by the requesting authority be met in these investigations, and exceeded where dictated by need. It is critical that you devote whatever time is necessary to meet these standards.

INSTRUCTIONS

- A. TIME: All time is to be recorded in minutes as tasks are carried out; not cumulative totals at the end of the day. (Please fill this out accurately; do not attempt to assume what will look best for you or the Agency.) All time spent on the investigation being monitored must be recorded in one of the categories.
- B. TRAVEL: Travel time is to be included as part of the total time taken to accomplish a particular task. If on a particular field trip more than one case is worked on, the travel time must be averaged between the cases involved--for example, if on a field trip you make three home visits involving clients X, Y, and Z, the time recorded for the personal home visit to client X will be a total of the interview time spent with client X plus 1/3 of the travel time.

It is necessary that travel time be accounted for in the overall time recorded to accomplish a particular task. However, it is extremely important that this figure is accurate and not inflated by the inclusion of travel time necessary for other cases or tasks. Please do your best to thoroughly track this information.
- C. SAMPLE CASES: All special investigation requests received during the study period (April 10, 1978 to May 9, 1978), will be incorporated in the study.
- D. STANDARDS: Complete all tasks necessary to comply with standards of the requesting authority.

ACTIVITY: Special Investigations

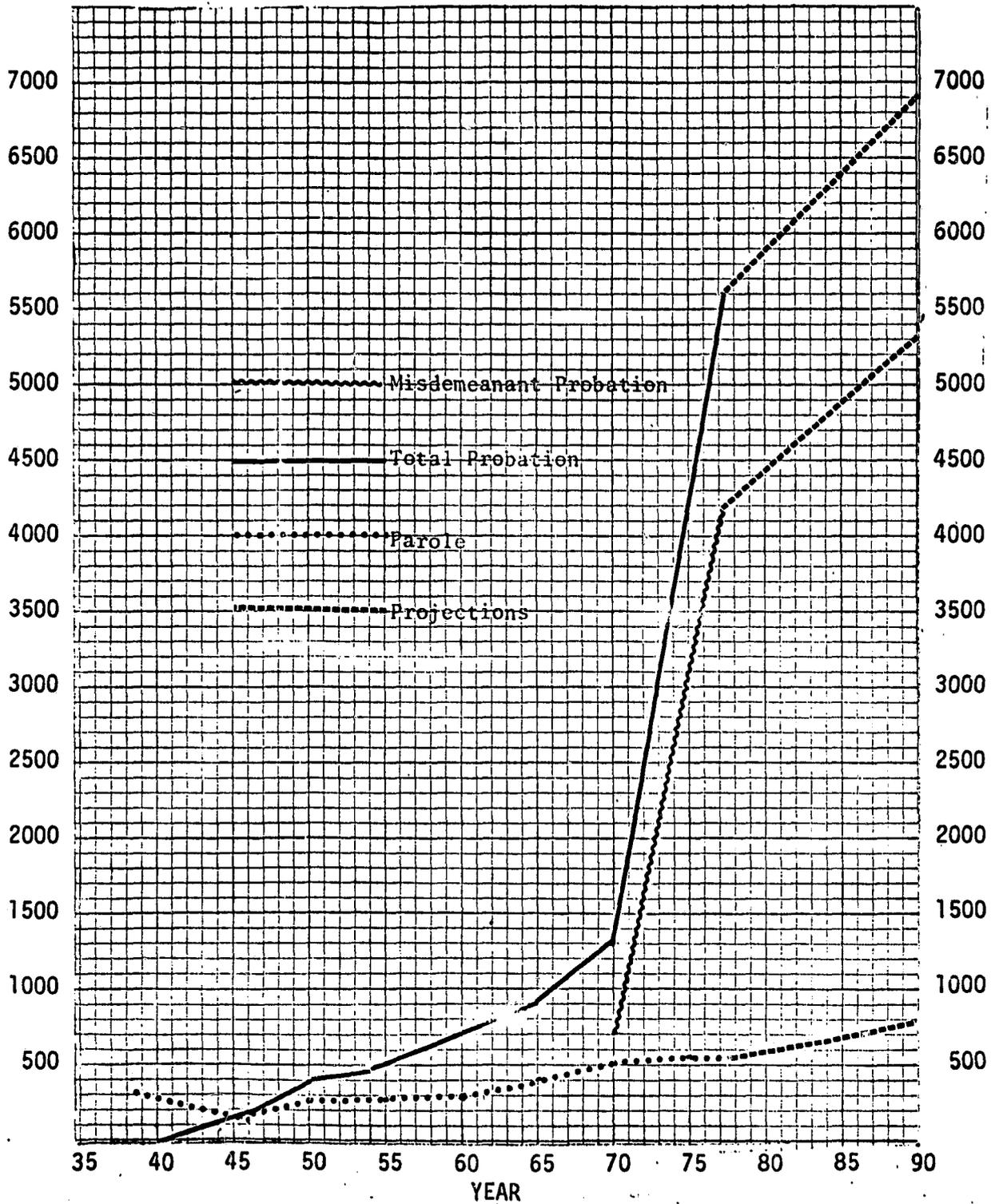
Agent's Name _____ Office _____

Case Name _____ Type of Report _____

From 4-10-78 to 5-9-78

TASKS								Sub-total
1. Interview time with client.								
2. Investigation, collaterals, etc.								
3. Dictation and correspondence.								
4. Review with requesting authority.								
5. Other								
TOTAL	DO NOT TOTAL OR SUB-TOTAL							

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Average Number of A.P. & P. Clients

**NATIONAL-LEVEL EVALUATION
AN EXAMINATION OF INTENSIVE SUPERVISION
AS A TREATMENT STRATEGY
FOR PROBATIONERS**

FINAL REPORT

JOSEPH H. SASFY

NOVEMBER 1975

**U.S. DEPARTMENT OF JUSTICE
Law Enforcement Assistance Administration
National Institute of Law Enforcement and Criminal Justice**

This document has been prepared by The MITRE Corporation,
Washington Operations, under Contract JLE AA 02H 75 for
the Law Enforcement Assistance Administration

THE
MITRE
CORPORATION
WASHINGTON, D.C.

PREFACE

The High Impact Anti-Crime Program was launched by the Law Enforcement Assistance Administration (LEAA) in 1972 to address the basic issue of stranger-to-stranger crime and burglary in eight large cities.¹ Impact, in a nutshell, was designed to reduce crime through the provision of services, demonstrate the utility of crime-oriented planning as a rational way to select these services, and implement program-wide evaluation as a means for assessing the extent to which these services contribute to a reduction in crime and crime-related problems.

The LEAA's National Institute and The MITRE Corporation are currently involved in a national-level evaluation of the Impact program. This evaluation provides for the examination of a range of program processes and effects, both intra-city and inter-city, in the areas of program planning, project implementation, and evaluation. In this context, the National Institute and The MITRE Corporation have taken the opportunity provided by their evaluation to examine a number of commonly-held assumptions underlying crime reduction strategies selected for implementation by various of the eight cities.

The foregoing document represents the conclusion of an investigation of one selected assumption in the probation/parole area. This assumption states that the intensive supervision of probationers and parolees is an effective strategy for reducing recidivism. This document presents the methodology employed in this research, the results of it, and a discussion of these results.

¹Atlanta, Baltimore, Cleveland, Dallas, Denver, Newark, Portland (Oregon), and St. Louis.

EXECUTIVE SUMMARY

As part of the national-level evaluation of the Law Enforcement Assistance Administration's High Impact Anti-Crime Program, an analysis of the effectiveness of five intensive supervision projects has been conducted. This research was undertaken to assess the validity of the assumption that intensive supervision is an effective strategy for reducing recidivism among probationers and parolees.

As the assumptions research proceeded, numerous research problems were encountered, forcing revisions in the methodology and restricting the possibilities for unambiguous inferences about effective variables. Some of the major problems were: the lack of control groups; the large variance between projects in terms of clientele, staff, and treatment and services; limitations on the resources for data collection and no possibility to impose these responsibilities; difficulties in the quantification of treatment and supervision variables; and the lack of enough parole projects for meaningful comparisons.

Five projects, all of them probation projects, were eventually selected for examination as part of this research. They are:

- (1) New Pride (Denver)
- (2) Essex County Probation Department's Specialized Caseload Project and Volunteer's Component (Newark)
- (3) Case Management Corrections Services (Portland)
- (4) Providence Educational Center (St. Louis)
- (5) Probation Aftercare #6 (Los Angeles)

For the client samples in each of the five projects and for the total client sample, five analyses were performed:

- (1) comparisons of the frequency of offenses based on a one-year baseline period and a one-year service period;
- (2) comparisons of the severity of offenses based on a one-year baseline period and a one-year service period;
- (3) the prediction of various criminal offense measures by client-descriptive variables such as age, ethnicity, and grade level;
- (4) the prediction of service period criminal offense measures by pre-service and baseline criminal offense measures; and
- (5) the use of stepwise multiple regression analyses to assess the predictability of service frequency from the best set of client-descriptive and criminal offense variables.

Additionally, a comparison of the frequency of recidivism for juvenile offenders in the assumptions research sample and juvenile offenders from Denver (matched on the basis of the number of prior offenses) was conducted.

1.0 INTRODUCTION

1.1 Purpose of This Document

This document presents the methodology and results of MITRE's assumptions research in probation and parole. Because there has been an evolution in the assumptions research endeavor, the document attempts to briefly describe those stages in the research which are precursors of the present methodology. As such, the document begins with an overview of previous caseload correctional research, its findings, and the questions it generated in the early nineteen-seventies. These questions were the starting point for the present assumptions research in probation and parole. A discussion of the constraints which arose during the Impact program or were generic to it is necessarily included. It is these constraints combined with research problems which have forced changes in the research strategy and have led to the present methodology. The research questions, however, have remained intact because of their relevance. Next, the methodology is presented; it is an explicit description of the variables and procedures to be employed to answer the research questions. Finally, the results of the assumptions research are presented with a discussion of the more significant findings.

1.2 Intensive Supervision: An Overview

The interest in intensive supervision and the increase in the implementation of intensive supervision projects are responses to the general failure of traditional probation and parole projects in which caseload sizes of 75 to 125 were typical. Intensive supervision essentially means smaller worker/client ratios and, as such,

represents a general treatment approach² rather than a specific treatment modality or program. There is a widespread belief among practitioners that reductions in caseload size free the worker to provide treatments and services in a more intensive, responsive, and individualized manner. One of the recommendations of the President's Commission on Law Enforcement and the Administration of Justice explicitly reflected the assumption that reduced caseloads translate into more effective supervision and, thus, reductions in recidivism:

All jurisdictions should examine their need for probation and parole officers on the basis of an average of 35 offenders per officer, and make an immediate start toward recruiting additional officers on the basis of that examination.⁽¹⁾

The correctional caseload research which has followed the growing interest in intensive supervision has clearly failed to answer what seemed to be the essential question--do reduced caseloads reduce recidivism? Instead, it became obvious that within any intensive supervision project, there was such a multiplicity of other variables affecting the supervision process that the question of the effectiveness of reduced caseloads was misstated, if not meaningless. Some studies showed positive effects, some showed no effects, and a few even showed negative effects. In actuality, intensive supervision could have any of a number of effects. The reduced caseloads could enable the worker to do a better job of keeping his client out of trouble, or it could lead the worker to find out more unfavorable things about the client and increase the possibility of revocation. The client could find the added support, assistance, and treatment useful and make a more positive adjustment, or the client could react adversely to this increased contact and become more hostile toward those associated with the law. Even further, the supposedly increased contact might not, in fact,

²See MITRE Technical Report MTR-6860, (July, 1974), F. C. Jordan, Jr. and J. H. Sasfy, A Review of Selected Issues and Research Findings Related to Probation and Parole, for a more complete discussion of intensive supervision and the treatment approach.

take place. In effect, it could well be that in some cases reduced caseloads might not produce any change in the nature of treatment and supervision. It is only an assumption, in sum, that workers will use the opportunities provided through the reduction of caseloads to intensify supervision and treatment.

Which particular effects occurred in any intensive supervision project seemed largely dependent on a number of variables operating independent of caseload size. If there has been an evolution in the research in this area, it has been from a search for the proper (or most effective) caseload size to a concern for the more immediate variables affecting the quality of the supervision process. Adams, in a prognosis of research directions in probation, has pointed to some of these variables:

Some general concepts that have emerged from the years of research will undoubtedly serve as guides in future years. It will continue to be important to attempt to classify offenders in ways that are relevant to treatment content and form. There will continue to be concern for the appropriate kind of treatment for particular types of clients. There will be concern about the qualifications and characteristics of treatment staff and the possibility of interaction between therapist types and offender types. Some interest will be centered on appropriate duration and intensity of treatment. Finally, there will be much attention to the focus of treatment, with increasing focus on the possibility that probation and other open-community procedures will play far more important roles in the total correctional process. (2)

Thus, the general question of the effectiveness of reduced caseloads has been supplanted by more specific questions relating to those variables central to the treatment process. What types of offenders or what offender characteristics are associated with reductions in recidivism? What treatment approaches, foci, or modalities are most effective and for what kinds of clients? What types of workers are most effective and with what types of offenders?

It should be noted (somewhat ironically) that the growth of interest in intensive supervision and individualized treatment as specific alternatives to traditional probation and parole practices has been followed by a broad

disillusionment in the rehabilitation ideal in general. The demise of the rehabilitation model is at least partly the result of evaluative reviews of the literature on correctional treatment programs. For instance, Martinson,³ in an exhaustive review of over two hundred studies embracing educational, vocational, intensive supervision, counselling, and other treatment approaches, concluded that there were no techniques which clearly demonstrated the ability to reduce recidivism. There is little doubt that the correctional philosophy that has emerged in the last few years (with its emphasis on the concepts of deterrence, punishment, and offender rights) would present a strong contrast to the generally optimistic philosophy of rehabilitation in a community context which formed the basis for many of the correctional projects in the Impact program.

1.3 Assumptions Research in Probation and Parole

MITRE's assumptions research in probation and parole was originally designed to provide an experimental test of the hypothesis underlying the implementation of intensive supervision projects within and outside the Impact program. This hypothesis simply states that intensive supervision is an effective strategy for reducing recidivism among probationers and parolees. The difference between assumptions testing of this sort and the previous caseload research is that the research focus was not project-specific but rather strategy-specific. Thus, this assumptions research was to move past the evaluation of project-level effectiveness, in which the Impact of intensive supervision would be linked to the specific nature of the clientele, workers, and treatments, to the evaluation of effectiveness across a number of selected projects.

³See MITRE Technical Document, MTR-6617 (March, 1974), J. S. Dahmann, A Methodology for Conducting a Police Hypothesis Test, for a more complete discussion of hypothesis testing in the Impact program.

- (a) Essex County - a young client with a high baseline and pre-service frequency and a low baseline severity.
- (b) Case Management - a young, non-white client with a high baseline frequency and a low baseline severity.
- (c) New Pride - a young client with a high grade completed and with a high baseline frequency and pre-service number of offenses.
- (d) Providence Center - a client living with both parents, with a high grade completed, a high educational lag, and a high baseline severity.
- (e) L. A. Aftercare - a client living with both parents, with a low educational lag, and with a high pre-service frequency and number of offenses.

3.6 Summary of Results and Conclusion

The major finding of the present assumptions research is that all projects achieved significant reductions in recidivism in terms of a baseline to service period comparison. The percentage reductions in recidivism for the individual projects ranged from 28.4 percent to 61.9 percent. The overall percentage reduction was around 50 percent, reflecting an overall change in frequency from two offenses in the baseline year to one offense in the service year. The quality or seriousness of offenses, however, showed no change from baseline to service. In order to provide some basis for a comparison of the recidivism of juveniles under intensive supervision with those receiving traditional probation supervision or none at all, one-year offense frequencies were presented for assumptions research clients and juvenile offenders in Denver matched on number of prior offenses. The data indicated that intensive supervision clients recidivated less at every level of prior offenses.

Of the client descriptive variables, age proved most useful in the prediction of various criminal offense measures. In a number of projects, age showed negative relationships with baseline and/or service frequency. Although there were no significant overall correlations between age and baseline and service

frequency, the breakdown of baseline and service frequency by age level suggested curvilinear relationships. Both baseline and service frequency increased until age sixteen and decreased thereafter. Sixteen-year-olds were the worst recidivists, but also had the highest baseline frequency. Sizable percentage reductions in recidivism (40.7 percent to 71.0 percent) were found at each age level.

Overall, the criminal offense predictors proved more useful than the client-descriptive predictors. The best predictors of recidivism were baseline frequency and pre-service number of offenses. In terms of service frequency, the possibility of interactions between baseline frequency and client-descriptive variables was explored. The interaction between age and baseline frequency revealed that, for clients with one or two baseline offenses, older clients recidivated more. For clients with three or more baseline offenses, younger clients recidivated more. The most serious recidivist was clearly the young juvenile with numerous previous offenses.

The results of stepwise multiple regression analyses indicated that overall, the best set of client-descriptive and criminal offense variables did not predict service frequency with a great deal of accuracy. The best seven predictors accounted for only 13 percent of the variance in service frequency. Some of the regressions for individual projects proved more accurate, however. In Essex County, for instance, the seven predictor variables accounted for 33 percent of the variance.

Based on the analyses performed here, it would appear that intensive supervision, as a general strategy, was effective in terms of reducing recidivism. Both the baseline to service comparison and the comparisons with matched groups of juvenile offenders from Denver point to the effectiveness of intensive supervision. In addition to the significant reduction in recidivism for each of the five projects, reductions were found at every level of pre-service number of offenses and baseline frequency. Also, the analysis of interactions between various client-descriptive

variables and baseline frequency, indicated that reductions in recidivism occurred for all levels of age group, ethnicity, educational lag, and living situation. In short, intensive supervision seemed to be beneficial for clients with different criminal backgrounds and different demographic characteristics, although some groups appeared to benefit more than others.

Because of the constraints described in the methodology, however, this research cannot provide the kind of unambiguous results which are sorely needed in the correctional caseload research area. Unfortunately most of the research in this area has been plagued by many of the same constraints and limitations that have characterized the present assumptions research. Three of these problems-- the lack of control groups, the lack of a longer-term perspective, and the lack of rigorous quantification of treatment variables--are general enough to warrant brief discussion here. It is unlikely, however, that, without a good deal more control over project-level evaluation planning and activities than could be exercised in the Impact program, these problems could be adequately resolved.

The two comparisons of the frequency of recidivism offered in the assumptions research reflect quasi-experimental designs (before-after and matched comparison groups). Without randomly assigned control groups, it is impossible to make definitive statements concerning project effectiveness. Yet the implementation of true experimental designs has proven a problem in correctional research, at least partly because of the legal and ethical issues involved in the potential denial of services. Boruch⁽¹⁴⁾ has offered some practical suggestions related to this problem and, as he makes clear, the knowledge payoffs obtained through the implementation of experimental designs can far exceed the problems and costs involved.

Even when experimental designs have been implemented in correctional research, the time perspective is usually no longer than project duration. Thus, one of the

most important questions is left unanswered--has the individual been helped in any permanent sense? Finally, without the rigorous quantification of treatment, supervision, and service variables it is impossible to know what it is about intensive supervision or reduced caseloads that is working. To do this effectively would require a good deal of cooperation from the correctional workers implementing a program.

Given the results of the assumptions research, it would seem more work in the correctional caseload area is warranted. Other research in this area has generally been equivocal, but many studies have found that something seems to be working, at least for some types of offenders and under certain conditions. To isolate the effective factors so that policy and programmatic recommendations can be made at a broad level, therefore, will require a renewed and redoubled commitment to the research spectrum of programmatic evaluation. Given the program costs involved in the abandonment of community corrections in favor of institutionalization, it is likely that sooner or later, such a commitment will have to be subscribed.



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