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**WORK MEASUREMENT STUDY
OF
UNITED STATES PROBATION OFFICES**



85036

Administrative Services Division
Management Services Branch

June 1981

EXECUTIVE SUMMARY

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This report contains the results of a work measurement study conducted to determine the staffing requirements of the United States Probation Offices. The study was performed from October 1980 through June 1981 by management analysts of the Management Services Branch, Administrative Services Division, Administrative Office of the United States Courts. The resultant staffing formula will be used to predict future budgetary requirements and to allocate positions to individual districts on an equitable basis.

Prior to performing the actual work measurement, a detailed and standardized description of all work requirements of the probation offices was developed. This description was used as the basis for measuring the amount of work required to be performed in a probation office and the amount of time required to complete the work. On-site measurements were performed at 24 selected probation offices by the management analysts. The workload and workhour data collected were used to develop nine standard staffing ratios applicable to all probation offices. An additional staffing ratio was developed to account for pretrial services activities at those probation offices where such are provided.

It was determined through analysis of the measured data that the primary workload factors and most reliable indicators of the staffing requirements of the probation offices are the numbers of clients under high/low activity supervision, presentence and postsentence reports prepared, collateral reports prepared, violation reports prepared, drug aftercare clients, bail reports prepared, and miles traveled during field work. Separate workload factors were developed to account for clerical functions and management and support activities. These were predicated upon the outcome of applying the aforementioned workload factors. Work unit time standards for each of these workload factors, except miles traveled, were derived and were the basis for the development of the staffing ratios contained in the report.

The standard staffing ratios encompass all currently required work of the United States Probation Offices. The ratios may be applied to either historical workload data or to an official workload forecast to determine future staff requirements for the probation offices. Although all known work requirements were included in the work measurement, it is anticipated that because of changes that may be generated in the future by the institution of additional or more complex operating procedures, new legislation, increased experience in high and low activity supervision, or additional work requirements or methods, a re-evaluation of the measurement data will accordingly be required. In this regard, the Management Services Branch of the Administrative Services Division should be scheduled to perform a re-evaluation measurement of the probation offices for the purpose of updating the standard staffing ratios. This action should occur during fiscal year 1985 or 1986.

The work measurement study was performed in concert with an ad hoc advisory committee consisting of Probation Division and probation office personnel. This study report was reviewed by the members of the committee and subsequently endorsed at a meeting in Washington, D. C. on June 23, 1981. The committee recommended that this report be forwarded to the United States Judicial Conference for review and that the Judicial Conference adopt the standard staffing ratios as the official basis for determining future staffing requirements for the United States Probation Offices.

ACKNOWLEDGMENTS

Sincere appreciation is extended to the work measurement study ad hoc advisory committee for the support and knowledge they readily provided. The staff of each probation office measured was outstanding in the expertise and cooperation they so expeditiously and courteously gave. Without their assistance the study could not have been performed.

The following are the members of the ad hoc advisory committee:

<u>MEMBER</u>	<u>DISTRICT</u>
Donald L. Chamlee, Deputy Chief	Probation Division, Administrative Office of the United States Courts
Jerry Brown, Chief Probation Officer	Mississippi (S)
Robert F. Burnaugh, Chief Probation Officer	Wyoming
Cathy Chase, Chief Clerk	District of Columbia
Bernice Coleman, Supervising Probation Officer	New Jersey
H. Richard Gooch, Chief Probation Officer	Pennsylvania (E)
Henry F. Hussey, Chief Probation Officer	Oklahoma (W)
J. Alan MacDoniels, Chief Probation Officer	Missouri (E)
Karen M. Metrin, Chief Clerk	Florida (M)
Larry A. Roddy, Supervising Probation Officer	North Carolina (E)
Dennis C. Shaw, Supervising Probation Officer	Texas (N)

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I. PURPOSE.

The Committee on the Budget of the Judicial Conference at its September 1978 session recommended that the Administrative Office "reevaluate the current staffing formula and the 50:1 ratio being used with respect to the supervision of probationers and parolees." The work measurement staff of the Administrative Office, in coordination with the Probation Division, agreed to develop through work measurement procedures a new staffing formula which would identify workload factors to account for all required work of the United States Probation Offices. The staffing formula, upon approval by the Judicial Conference of the United States, is intended for budgetary and allocation purposes.

II. BACKGROUND.

The Work Measurement Section of the Management Services Branch, Administrative Services Division, was requested to plan, schedule, and perform the work measurement study, and report the results of the study to the Probation Division and the Executive Assistant Director of the Administrative Office by June 30, 1981. An ad hoc advisory committee was formed to assist and advise in the planning and development of the study. Ten probation office personnel consisting of chief probation officers, supervising probation officers, and chief clerks were selected as members of the committee which was chaired by the Deputy Chief of the Probation Division. The committee met with representatives from the Management Services Branch and the Probation Division in December 1980 to discuss key points relative to the study and make recommendations which would aid in the standards development process. The committee served as the representative body for all probation office personnel. Its members provided input regarding work requirements; past, present, and future considerations as to staffing requirements; and other information required for conducting the study.

To ensure that all functions of a probation office were included in the measurement, a detailed description of the required work was developed by the work measurement team with the assistance of the Probation Division and the ad hoc advisory committee. The work category descriptions at Exhibit A were developed from available information concerning operating procedures, the workflow process, probation manuals, and work descriptions as provided by the Probation Division. The descriptions were endorsed by the committee and the Probation Division as being common to and covering all required work of United States Probation Offices.

The work measurement analysts, using stratified random sampling techniques, selected 25 probation offices to be measured on-site. These included twenty headquarters offices and five staffed branch (divisional) offices. During the measurement phase, one of the five branch offices was measured in conjunction with its headquarters

office, thus reducing to twenty-four the total number of on-site measurement locations. Factors used to select the measurement sites included workload volume, geographical dispersion of operations, number of assigned personnel, and circuit representation. The selection of offices was reviewed and endorsed by the Probation Division and the ad hoc advisory committee as being representative of probation offices nationwide. The selected probation offices were scheduled for on-site measurement by the analysts for periods of one to two weeks depending on the relative workload volumes of the offices.

The 24 on-site measurement locations and their corresponding numbers of assigned personnel are listed below. Assigned strengths as of February 1, 1981, were provided by the Probation Division or were acquired on-site during the measurement visits; assigned strengths for Georgia(N) and Illinois(N) include Pretrial Services Agency staff. Except where footnoted, measurements encompassed the entire district.

OFFICE	DISTRICT	ASSIGNED STRENGTH
Montgomery	Alabama (M)	15
Little Rock ¹	Arkansas (E)	19
San Francisco ¹	California (N)	66
Denver	Colorado	30
Grand Junction ²	Colorado	3
Jacksonville ²	Florida (M)	14
Atlanta ³	Georgia (N)	49
Chicago ³	Illinois (N)	108
Wichita ⁴	Kansas	10
Boston	Massachusetts	46
Detroit	Michigan (E)	89
Kalamazoo ²	Michigan (W)	4
Greenville ²	Mississippi (N)	3
Kansas City	Missouri (W)	29
Billings	Montana	11
Omaha	Nebraska	9
Albany	New York (N)	12
Brooklyn ⁵	New York (E)	89
Raleigh	North Carolina (E)	29
Portland	Oregon	23
Philadelphia	Pennsylvania (E)	82
Houston ⁶	Texas (S)	33
Huntington	West Virginia (S)	12
Milwaukee	Wisconsin (E)	11

¹Includes Volunteer Pretrial Services

²Branch Office Only Measured

³Includes Probation-Operated Pretrial Services Agency

⁴Headquarters Office Only Measured

⁵Initial Measurement Site

⁶Headquarters Office and Two Satellite Offices Measured

III. ORGANIZATIONAL OVERVIEW OF PROBATION OFFICES.

The typical organizational structure consists of a chief probation officer, a deputy chief probation officer in the larger districts, and, depending on the number of line probation officers, supervising probation officers. The supervising probation officers usually have the responsibility of overseeing a unit consisting of 6-10 probation officers and possibly the clerical support for this unit. These units may represent specialized functions such as drug aftercare, high activity supervision cases, or low activity supervision cases. The organization for the clerical support is less uniform. The chief clerk, who is also the chief probation officer's secretary in the smaller districts, is the supervisor for the clerical staff in some locations, particularly if the clerks are organized in pools rather than working for a specified probation officer. Several of the larger offices have elected to assign the clerical staff to supervisory clerks. In many offices a clerk supports two specified probation officers, and the officers and supervising probation officer have the authority and responsibility for the clerical staff. These differences do not have a significant impact on work accomplishment times as measured.

The four branch offices visited and measured by the analysts are staffed with either an officer-in-charge or a supervising probation officer overseeing the operations. The chief probation officer of the district occasionally visits the branch office but this practice was found to be minimal in terms of time spent. In the branch offices measured on-site, little or no variation was found in the time to accomplish a unit of work as compared with corresponding times in headquarters offices, illustrating no significant procedural differences between the two. The management and support function is proportionate to the staff size of the branch offices as is found in the headquarters offices.

IV. WORK MEASUREMENT METHODOLOGY.

The primary technique used in measuring the work of the probation offices was operational audit. This method was used to determine the frequency of accomplishment of the tasks which are required to be performed by the probation offices as specified in the work category descriptions contained in this report. This method was also used to determine the average time spent accomplishing each of those tasks by probation office personnel. Collection of these two types of data enabled the total productive hours to be quantified as a function of all work accomplished at each of the probation offices measured. To ensure consistency in the measurement techniques and procedures used as well as familiarity with probation duties and responsibilities, the analysts jointly performed a one-week, on-site measurement of the Brooklyn, New York (E) Probation Office before proceeding with the measurement plan. This visit also provided the opportunity to refine the measurement plan as well as to test and clarify the work category descriptions.

The operational audit was performed by obtaining average times at the 24 measurement locations to accomplish each task specified in the work category descriptions. This was done by interviewing the chief probation officer and knowledgeable supervising and line probation officers, probation officer assistants, and clerical personnel; by observing the performance of various operations; and by timing operations with a watch, when appropriate. Frequencies of occurrence for each task were obtained from historical records, reports, and work unit data collection forms submitted to and completed by each measurement location prior to the visit. This data was verified by the analysts. When these sources did not exist for a particular task, frequencies of occurrence were obtained through estimates by knowledgeable probation office personnel. To facilitate calculation of the standard staffing ratios, all measured frequencies were converted to an average monthly basis.

Only work which is the responsibility of the probation offices was included in the measurement and in subsequent computations to derive the standard staffing ratios. Therefore, any hours spent by probation office personnel performing non-probation office work, such as district court clerk's office responsibilities, have been excluded from the study. No instances were noted where tasks specified in the work category descriptions were being performed by non-probation office personnel. Nor were there any workload backlogs identified at the 24 offices measured.

There was little variation among the measured locations with respect to equipment on hand. Several of the larger offices visited have word processing equipment or automatic typewriters. However, no significant differences in per accomplishment times were found between those offices possessing word processors and those having none. Benefits of word processors, other than the capability to edit text rapidly, were found to be minimal. All offices have copiers assigned or have access to a copying machine. The analysts did not find equipment being utilized that would require staffing deviations from the norm. Likewise, no local rules were found that significantly impact the total productive staffhours of one office compared to another, and thus require no special considerations in the development of the standard staffing ratios.

V. DEVELOPMENT OF WORK UNIT TIME STANDARDS.

Following completion of the on-site measurement phase of the study, extensive statistical analyses were performed on the workload data collected and hours measured. In order to express the staffing requirements of the probation offices, staffing ratios were chosen over other statistical methods such as a multivariate equation derived from correlation and regression analysis. Benefits of ratios compared with other staffing formula formats include a less complicated form, a relationship showing the units of work one person is expected to produce, and ease of computation of staffing requirements. Additionally, the ratios may readily be converted to multivariate equation format.

The first step in the analysis was to develop matrices charting work categories and tasks against frequencies of occurrence and per accomplishment times as measured at each of the 24 locations. These times were compared to determine how they were related proportionally from one office to another. Times which appeared extreme were examined for reliability and representativeness to determine whether they should be included in developing the staffing ratios. It was not found necessary to eliminate or adjust times measured, and subsequently, all raw data gathered on-site were included in development of the ratios.

The next step was to determine what basic work activity groups directly influence a probation office's staffing requirements. Analysis of the work category descriptions and the associated hours measured for each category resulted in nine functional groupings of homogeneous work activities. A workload factor was then identified for each functional grouping. A workload factor (WLF) is defined as a primary or principal generator of work for a functional work group. The functional work groups and their associated WLF's are presented in Section VI.

For each of the 24 locations, the measured hours for the activities contained in each group were added to produce a functional work group total, then divided by the average historical volume (frequency of occurrence) of the associated WLF's at that location. This calculation produced a mean time commonly referred to as a work unit time. After having determined the work unit time for each functional work group for the 24 locations individually, a work unit time standard was calculated for each functional work group for all of the locations collectively by averaging the 24 work unit times.

For eight of the nine functional work groups (travel was handled separately — see Section VIII) a graph was developed onto which the work unit time was plotted for each of the 24 locations as well as the work unit time standard for that group as shown at Exhibit B. The work unit time standards at Exhibit B (as derived from original measured data) have since been superseded by the work unit time standards shown on page 7 of this report. This was due to a re-evaluation, remeasurement, and reclassification of probation officer and clerical duties. Upper and lower control limits for each of the work unit time standards were computed at two standard deviations to determine if the 24 individual work unit times were normally distributed about the mean (the work unit time standard).

There were several graphs wherein one or two work unit times fell outside the control limits. With one exception, these work unit times were considered acceptable and normal according to the "Principles of Normal Distribution", which state that a normal distribution at two standard deviations includes 95% of the samples falling within the upper and lower control limits. The exception was the work unit time for clerical functions at Kalamazoo, MI (W). Because Kalamazoo's clerical staff of one was not available for interview at the time of measurement, the data collected for this functional work group was incomplete, unrepresentative of clerical support requirements for that office, and therefore omitted from

calculation of the work unit time standard for the clerical functions group. Since subsequent analysis of the points outside the control limits did not reveal any circumstances abnormal to the sampled population of probation offices, all other data points were retained in computing the work unit time standards for each of the eight distributions.

The "Central Limit Theorem", which is used to describe normal distributions, states that the mean of a normal distribution of sample means is an accurate approximation of the total population mean. In this case, the calculated mean (work unit time standard) for each of the eight distributions is an accurate approximation of the mean for the total population of probation offices. It is therefore concluded that the work unit time standards computed from the work measurement data are standards that may be applied to all United States Probation Offices. These work unit time standards are presented in summary in Section VI, following.

VI. DEVELOPMENT OF STANDARD STAFFING RATIOS.

The staffing ratios shown below represent the WLF volumes or frequencies for the accomplishment of which one person is required. These ratios equate to the maximum workload volume expected of an employee working a normal forty hour workweek. The work unit time standards described above are the basis for these ratios. Ratios one through five and nine were calculated by dividing the monthly staff-hour availability factor for one person (defined in Exhibit C) by the work unit time standards on page 7. To be in accordance with WLF definitions and consistent with the sources of count, ratios two, three, four, and nine were then multiplied by 12 to convert them to an annual basis. Since work unit time standards six and eight on page 7 represent decimal hours spent for management and support and clerical functions, respectively, per one staffhour of probation officer personnel, those staffing ratios were calculated by dividing one by the respective work unit time standard. Staffing ratio number nine (Pretrial Services) is an additive ratio in that it applies only to those probation offices that perform pretrial services functions as part of the pilot program authorized by Congress. All ratios were rounded to a minimum of two significant digits.

Probation office staffing for each district may be determined by dividing the appropriate WLF volumes for each district by their staffing ratios and then summing the results. It is important to note that (1) the staffing ratios and their corresponding workload factors were determined to be representative indicators of the staffing requirements of the probation offices; and (2) the staffing ratios as computed encompass all known work presently required to be performed by the probation offices as defined in the work category descriptions. The following chart depicts the functional work groups, work unit time standards, and staffing ratios to be used to compute staffing requirements. Succeeding that chart is a corresponding listing of workload factors to be used when applying the ratios, workload factor definitions, and sources of count.

<u>FUNCTIONAL WORK GROUP</u>	<u>WORK UNIT TIME STANDARD</u>	<u>STAFFING RATIO</u>
1. Client Supervision		
(a) High Activity	3.568	41:1
(b) Low Activity	1.634	90:1
2. Presentences	18.006	97:1
3. Collaterals	4.910	357:1
4. Violations	8.277	212:1
5. Drug Aftercare and Contracting for Drug Aftercare	1.304	112:1
6. Management and Support	.141	7.09:1
7. Travel	Not Applicable	60,000:1
8. Clerical Functions	.600	1.66:1
9. Pretrial Services (Additive)	15.956	110:1

WORKLOAD FACTORS

1. WLF: Clients Supervised.

DEFINITION: Total number of clients under (a) high activity supervision and (b) low activity supervision.

SOURCE OF COUNT: Probation Form 9, Monthly Inventory of Active and Inactive Cases and Presentence Investigation Forms, line E, column Total. High and low case totals will be provided by the Probation Division.

2. WLF: Presentences.

DEFINITION: Annual total of presentence and postsentence reports prepared.

SOURCE OF COUNT: Probation Form 5, Quarterly Accounting of Reports, lines 1 plus 4, column Yearly Cumulative Total on the fourth quarter report.

3. WLF: Collaterals.

DEFINITION: Annual total of collateral investigation reports prepared.

SOURCE OF COUNT: Probation Form 5, Quarterly Accounting of Reports, line 2, column Yearly Cumulative Total on the fourth quarter report.

4. WLF: Violations.

DEFINITION: Annual total of violation reports prepared.

SOURCE OF COUNT: Probation Form 5, Quarterly Accounting of Reports, line 6, column Yearly Cumulative Total on the fourth quarter report.

5. WLF: Drug Aftercare Clients.

DEFINITION: Total number of clients in the drug aftercare program.

SOURCE OF COUNT: Data provided by the Probation Division.

6. WLF: Probation Officer Positions.

DEFINITION: Number of positions authorized through application of staffing ratios one through five.

SOURCE OF COUNT: Sum of positions authorized through application of staffing ratios one through five.

7. WLF: Miles Driven.

DEFINITION: Annual total of miles driven by officers in conducting field work including miles driven in GSA and privately owned vehicles.

SOURCE OF COUNT: Data provided by the Probation Division.

8. WLF: Probation Officer Positions.

DEFINITION: Number of positions authorized through application of staffing ratios one through seven.

SOURCE OF COUNT: Sum of positions authorized through application of staffing ratios one through seven.

9. ADDITIVE WLF: Bail Reports.

DEFINITION: Annual total of bail and collateral bail reports prepared.

SOURCE OF COUNT: Probation Form 5, Quarterly Accounting of Reports, lines 12 plus 13, column Yearly Cumulative Total on the fourth quarter report or the number of Pretrial Services Agency Forms 4 submitted.

All investigative reports recorded on the Probation Form 5 were credited toward either workload factor volumes as shown above or the measured hours for the appropriate functional work group. As such, hours to perform types of investigative reports contained on lines 3 (preliminary), 5 (pretransfer), 7 (prerelease), 8 (special), 9 (furlough/work release), and 10 (supervision) of the Probation Form 5 were included within the functional work group for Client Supervision. Likewise, time for parole revocation investigative reports (line 11 of Probation Form 5) was included in the functional work group for Violations.

The WLF's chosen for the staffing ratios are independent variables, that is, their volume or frequency of occurrence is not controllable by a probation office. Dependent variables are the total hours spent in each functional work group since they fluctuate with and are dependent upon the volume of each WLF. Thus the staff-hour requirements for a probation office can be determined when the work unit time standards and resultant staffing ratios for each functional work group and their respective WLF volumes are known. All workload factors were selected because they have a major impact on measured staffhours as demonstrated by the number of hours required for completion of each.

VII. COMPUTATION OF TIME STANDARDS FOR CLIENT SUPERVISION.

During the computation and analysis phase of the study it was found necessary to develop two work unit time standards to account accurately for supervision workload: one for cases classified as high activity and one for low activity cases, both as defined in Chapter 2 of Supervision Monograph, Publication 106, implementation of which began in January 1981. Chapter 2 of this publication, which was written by the Probation Division, contains a uniform classification system to be used by all probation offices for classifying cases as high or low. Different requirements in the number of face-to-face contacts for high/low supervision cases caused a significant variation in hours spent supervising clients under the high/low criteria. In order to determine these time standards, all 24 measurement locations were requested to provide the numbers of cases for their districts classified as high and low. Based on the responses, an average of 42% was classified as high and 58% as low of 14,646 cases that were classified according to Publication 106 guidelines. These data were coordinated with the Probation Division and are used as the basis for development of the staffing ratios for client supervision.

Subsequently, all 24 measurement locations were requested to provide the average number of face-to-face contacts per case per month, including both personal and collateral contacts, under the high/low criteria. Responses were based upon either actual experience under Publication 106, if available, or upon projections using historical data under the old maximum, medium, and minimum classifications. Results averaged 3.4 face-to-face personal and collateral contacts per case per month for high activity cases, and 1.5 face-to-face personal and collateral contacts per case per month for low activity cases. Actual time for face-to-face contacts had been measured initially on-site as part of supervision work and averaged

30 minutes per contact. In developing the two separate time standards for client supervision, the overall work unit time standard for all client supervision cases (as shown in Exhibit B) was adjusted up for high activity cases and down for low activity cases. These calculations were made using a base of 30 minutes per contact with 42% of all cases classified as high at 3.4 contacts per month and 58% classified as low at 1.5 contacts per month.

VIII. OPERATIONAL VARIATIONS.

Wide variations were noted in the travel, pretrial services, and drug aftercare operations of the offices measured.

Travel time was measured as an inherent part of the work categories. Total travel time varied dramatically among the measurement locations, indicating the need for development of a separate factor to account more accurately for this time. Travel time was separated into two major types: (1) time spent traveling to meetings, conferences, training seminars, institutions (for orientation visits), and branch offices; and (2) time spent traveling in the performance of field work consisting of client supervision and presentence investigation duties. Analysis of the first type of travel indicated that it was basically a function dependent upon the size (that is, number of personnel as determined by workload volume) of the probation office. Staffing for this type of travel, therefore, is accounted for in the functional work groups in which it was measured as reflected in the volumes of the associated WLF's.

Time spent for the second type of travel (field work) was found to be primarily a function of the number of miles driven while performing presentence investigation or supervision field work. Hours driving in the performance of these two activities were deducted from the measured data and a separate staffing ratio was developed to account for this time. Predicated upon an estimated average driving speed of 35 miles per hour (based on 50 miles per hour in rural areas and 20 miles per hour in urban areas), a staffing ratio was derived equating every 5,000 miles driven per month (or 60,000 miles per year) to one person. It is important to note that the staffing ratio for travel encompasses only time spent driving, not total time spent in the field. The Probation Division has concurred with the development of this factor.

Four of the twenty-four measurement locations provided pretrial services: two through adjunct pretrial services agencies operated by the probation offices and two on a voluntary basis within the probation office itself. Two WLF's were considered in conjunction with pretrial services activities: the number of persons under pretrial supervision and the number of bail reports prepared. Work unit times were initially developed for each of these potential factors. However, analysis of these work unit times indicated that the number of bail reports was overwhelmingly more influential upon pretrial services staffing requirements than was the number of persons under supervision. A single work unit time standard was developed subsequently by dividing the total hours spent in providing pretrial services per district by the number of bail reports prepared for that district. This time standard includes clerical support time.

Drug aftercare functions, including aftercare services provided directly by probation officers, aftercare contracting, and clerical records-keeping, varied widely among the 24 measurement locations. Some offices provide all aftercare services directly, others contract for all services but monitor the overall program, and still others provide services directly as well as contracting for services. Several methods were considered for formulating a work unit time standard for drug aftercare functions. Comparison of the results of these formulations indicated that hours spent providing aftercare services directly per client did not differ significantly from hours spent contracting for services while continuing to monitor programs per client. Although those offices which had full or partial contracting for drug aftercare spent less time with each client, this was offset by time spent in contracting for drug aftercare and monitoring the contract and the drug aftercare facility. Therefore, work unit times at Exhibit B were developed by dividing total hours spent for drug aftercare functions at each measurement location (as described in work category descriptions 11K, 13E, and 31) by their respective numbers of drug aftercare program clients. The work unit time standard on page 7 and corresponding staffing ratio are applicable to all probation offices whether providing services directly or contracting for some or all services.

IX. APPLICATION OF STAFFING RATIOS.

The standard staffing ratios provide the Administrative Office with a tool to be used as a basis for predicting staffing needs of the United States Probation Offices predicated upon current or forecasted workloads. The staffing ratios when applied indicate the average number of personnel needed to process all work required of the probation offices at varying workload volumes. The ratios should be applied to the workload of each individual district, not individual offices, to forecast staffing requirements. It is the prerogative and responsibility of the chief probation officers in concert with the Probation Division to administer the total positions for their districts and to allocate authorized positions to their branch or satellite offices as deemed necessary.

To aid in the application of the ratios, an example of how to apply the ratios follows. Hypothetical workload volumes provided below are for a probation office that performs pretrial services functions as part of the pilot program.

WORKLOAD FACTOR VOLUMES

300	Clients under high activity supervision.
500	Clients under low activity supervision.
150	Presentence and postsentence reports prepared during the year.
110	Collateral investigation reports prepared during the year.
80	Violation reports prepared during the year.
55	Drug aftercare clients.
40,000	Miles driven during the year by probation officers.
145	Bail investigation reports prepared during the year.

<u>WORKLOAD FACTOR VOLUME</u>		<u>STANDARD STAFFING RATIO</u>	=	<u>STAFF REQUIRED</u>
1. Supervision: High Activity	300	+	41	= 7.32
Low Activity	500	+	90	= 5.56
2. Presentences	150	+	97	= 1.55
3. Collaterals	110	+	357	= .31
4. Violations	80	+	212	= .38
5. Drug aftercare	55	+	112	= .49
6. Management and Support (7.32 + 5.56 + 1.55 + .31 + .38 + .49)		+	7.09	= 2.20
7. Travel	40,000	+	60,000	= .67
8. Clerical Functions (7.32 + 5.56 + 1.55 + .31 + .38 + .49 + 2.20 + .67)		+	1.66	= 11.13
9. Pretrial Services (Additive)	145	+	110	= <u>1.32</u>
			DISTRICT TOTAL	30.93

The policy of the Administrative Office is to round total staffing requirements for each district to the next whole number when the first decimal position in the district total is equal to or greater than .5; decimal numbers less than .5 in each district total are truncated. This procedure will result in whole numbers equating to full-time positions for each district when the staffing ratios are applied. In the example above the district would therefore require 31 positions.

In order to use the staffing ratios accurately, there must be reliable and consistent reporting of the workload factor volumes. Some of these workload volumes are presently available through the use of Probation Form 5, Quarterly Accounting of Reports, and Probation Form 9, Monthly Inventory of Active and Inactive Cases and Presentence Investigation Forms. Additional procedures will be necessary, however, to record and report accurately the number of high and low activity supervision cases, drug aftercare clients, and miles driven by the probation officers. The Management Services Branch of the Administrative Services Division will be available to assist the Probation Division in developing a system for reporting this workload.

X. UPDATE OF STAFFING RATIOS.

Adjustments to the standard staffing ratios may be necessary as major changes or additions occur to the present work requirements of the probation offices. These changes may be generated by new operating procedures, new legislation, additional work requirements or methods, or other valid causes. A prime example is the area of providing supervision in accordance with the high/low criteria of Publication 106, which was being implemented during the period of work measurement.

In this light, the Work Measurement Section of the Management Services Branch should be scheduled to perform a re-evaluation measurement of the United States Probation Offices for the purpose of updating the standard staffing ratios. This action should occur during either fiscal year 1985 or fiscal year 1986. Likewise, a re-measurement of pretrial services functions to update the pretrial services staffing ratio should be performed at the request of the Probation Division and upon approval by Congress of expansion of the pretrial services program.

EXHIBIT A
WORK CATEGORY DESCRIPTIONS

This exhibit contains the work category descriptions used in the conduct of the work measurement study. The original descriptions endorsed by the ad hoc advisory committee were slightly revised to render the descriptions more accurate with respect to actual work performed in the offices. The clerical workload description was in particular need of revision so as to comprehensively treat the clerical functions of probation offices. Other revisions were of a typographical or grammatical nature.

CATEGORIES OF WORK
PROBATION OFFICE
AND
PRETRIAL SERVICES AGENCY

<u>CATEGORIES</u>	<u>PAGE</u>
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3. Pretrial Services Supervision.....	2
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10. Presentence Report Clerical Functions.....	7
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1. PRETRIAL SERVICES INTAKE.

- A. Receive notice of arrest either by phone or phone recorder; obtain circumstances of arrest from arresting officer; record initial case information; note judge or magistrate for the case; determine initial interview location with arresting officer; receive daily true bill list from the Clerk's Office and pick up the notice of summons case; file check of Pretrial Services Agency (PSA) for previous contact or copy complaint; check for existing probation/parole file; notify supervisor of new case; record indictment information; post control number; notify clerk of Pretrial Services Officer's (PSO) case assignment; log new case and record time of bond hearing; contact Assistant U.S. Attorney (AUSA) file to obtain address, and request initial interview, if indictment; appear before magistrate if no contact was made with defendant; provide summary report of available information.
- B. Process defendant through U.S. Marshal's booking procedure; conduct interview; advise defendant of rights and complete worksheet; obtain signed permission for release of confidential information from defendant; request defense attorney to intervene if defendant refuses interview; prepare interview refusal notification, if applicable, and attach summary report of available information; request prior record from enforcement, judicial, and correctional agencies prior to bond hearing; verify interview information or all available information by telephone or in person with other agencies or persons.
- C. (1) Complete summary report and forward copies for judge/magistrate, AUSA, defense counsel, and case file; if collateral report transmit to requesting Pretrial Services Agency; attend bail hearing and prepare judicial follow-up.
(2) Type and arrange summary report.
- D. Attend Bail Review Hearing and Appeals Hearing and prepare reports on same.
- E. Prepare updates to pretrial investigation and report, when applicable.
- F. (1) Provide collateral assistance when requested.
(2) Type and arrange collateral reports.
- G. Prepare index card (PSA Form 4); prepare rolodex card; mail bulk copy of index card to AO; log all blue copies of PSA Form 4's sent to AO; assemble case folder; maintain and send weekly activation list for AO; record all investigations completed and code sheets mailed.

H. Clerical Functions:

- (1) File case material.
- (2) Maintain logs and calendars.
- (3) Perform mail and distribution duties.
- (4) Perform receptionist functions.

2. PRETRIAL SERVICES CONTRACTING.

- A. Identify needs; canvas community; contact facility; arrange meeting; conduct/attend meeting.
- B. Examine facility and prepare contract profile report, proposal letter, and schedule of charges.
- C. Prepare invitation for bid; aid facility, if necessary, in preparation of bid; forward bid to Probation Division; upon approval, arrange for vendor's signature, forward to AO contracting office.
- D. Verify monthly billings and certify voucher for payment by district U.S. Marshal.
- E. Perform periodic reviews of facilities.

3. PRETRIAL SERVICES SUPERVISION. (Include associated time for travel and phone calls.)

- A. Instruct defendant to report for supervision, if applicable; conduct initial interview and prepare interview sheet; verify interview information by telephone or in person; if defendant is released without supervision, monitor or track case to disposition.
- B. Determine nature of supervision based on risk, psychological or medical needs, and/or need for drug treatment; refer client to psychiatrist for competency examination if ordered by court; forward instructions and data to treatment center if defendant is put in community treatment center (CTC); complete social service clearance form.
- C. Request prior record from enforcement, judicial, and correctional agencies after bond hearing; forward copies of FBI and state arrest history reports to appropriate PSO, AUSA, and Municipal Correction Center (MCC) (if involved) when received; request records from agencies and employers for social background data.
- D. (1) Enter supervision intake documents in case file and prepare opening chronological record; record in-coming and out-going information and judicial events; maintain log of all chrono-

logicals typed to facilitate completion of monthly activities report.

- (2) Type pretrial chronological entries.

E. Prepare and issue travel letter to defendant, if required; contact judge/magistrate if permission to travel was not a previous condition of bail; forward copies of travel letter to defense counsel and AUSA; mail instructions urging defendant to report when contact is lost.

F. (1) If arrest takes place while under supervision: check for re-arrests of subjects under pretrial services; secure and review arresting officer's report surrounding details of offense and defendant's response to arrest; interview arresting officer; obtain third party information regarding defendant's adjustment and conduct; prepare bond review and forward to court; prepare and forward warrant and data to U.S. Marshal; interview violator; update or prepare new PSA summary report; place case in active status upon action by court or AUSA; process index card to active drawer and rolodex' card if violator is released.

- (2) Type and organize violation reports.

G. Transfers:

- (1) Intraoffice - prepare transfer summary.
- (2) Removals - alert receiving district, prepare letter and forward file. Update index cards and records.

H. Review caseload on monthly basis for sentenced cases, arrested absconders and supervision violators; note cases requiring final report; tabulate absconders for supervisor and AO; check absconders list for cases relocated needing either summary report update or final report (PSA Form 5).

I. Requests for collateral and miscellaneous assistance: log "hold for answer" cases in removal log and send PSA file to other district; mail green copy of PSA Form 4 to other district; make PSA file available to probation after conviction and prior to sentencing; forward file when requested.

J. (1) Closing bond cases: review periodically PSO's case files for up-to-date chronological records, complete worksheet, summary report, and code sheet; request second record check and update index card; prepare AO data transmittal upon acquittal or dismissal and complete PSA termination list; complete non-acquittals at disposition.

- (2) Type closing summary and log statistics on closed cases.

4. PRETRIAL SERVICES FIELD WORK. (Include associated time for travel and phone calls.)

A. Field visits with defendant:

(1) Pretrial Supervision:

- (a) Maximum
- (b) Medium
- (c) Minimum

(2) Courtesy Supervision

B. Collateral contacts and community visits for defendant; contact service organizations and develop service plan to fit defendant's needs, when applicable.

C. Record supervision activity on caseload control sheet and chronological record.

5. DIVERSION. (Include associated time for travel and phone calls.)

A. Receive letter proposing diversion from Assistant U.S. Attorney (AUSA); determine that defendant has obtained legal advice regarding his proposed participation in diversion and elicit acknowledgment of law violation; obtain defendant approval to commence diversion investigation.

B. Perform diversion investigation including review of AUSA file and interview of defendant and agent.

C. (1) Prepare diversion report and submit report to AUSA for or against diversion; participate in signing diversion agreement with defendant, defense counsel, and AUSA.

(2) Type diversion investigation reports.

D. Supervise defendant under diversion to include:

(1) Defendant contacts

(2) Collateral contacts

(3) Record supervision activity in chronological record.

E. Contact service organizations and help develop service plan to fit defendant's needs, when applicable.

F. Submit periodic reports to AUSA on progress; forward certification forms to AUSA when period of supervision has expired.

6. JUVENILE TRANSFER INVESTIGATION.

Obtain juvenile approval to conduct "diversion" of juvenile transfer investigation upon notice of AUSA; interview juvenile as to offense, education, marital status, dependents, personal and family background, prior record of delinquency, intellectual development, psychological maturity, and response to previous treatment efforts; obtain release of confidential information forms; notify parents; obtain government version of offense; verify background information per phone or in person; ascertain availability and adequacy of non-federal treatment facilities in community; prepare juvenile transfer investigation report and forward to court; ascertain availability of transfer to local authorities and report to court.

7. PRE-PLEA PRESENTENCE INVESTIGATION.

To prepare presentence report prior to trial upon request from court: obtain defendant's consent for investigation; if defendant declines to permit investigation, terminate action and notify court and defense counsel; request trial not be scheduled until pre-plea Presentence Investigation (PSI) is completed; conduct limited background investigation prior to trial upon request from court; obtain government version of offense and bill of information or indictment; obtain prior arrest record; interview and obtain background data from defendant and delay processing until acquitted or convicted; keep chronological record when necessary; upon final judgement, process acquittal dispositions and store existing file or proceed to file PSI for conviction.

8. PRESENTENCE INVESTIGATION. (Include associated time for travel and phone calls.)

A. Receive request for presentence report; check for existing probation/parole file; notify supervisor of new case and assign PSI; log new case and set up file; contact AUSA file to obtain address and set up initial interview; provide defendant with questionnaire prior to interview; review pretrial services report; schedule interpreters as required.

B. Conduct defendant interview obtaining defendant's version of offense, prior record, social/family background, education, financial condition, employment, and military/health/drug history.

C. Visit last known address and send registered letter in attempt to locate subject, if contact is lost prior to interview; contact defense counsel, AUSA, and/or PSA in attempt to locate if defendant fails to appear for interview; prepare letter to court indicating "defendant jumped bail"; prepare memo report to AUSA requesting bench warrant issuance for failure to show for interview.

D. Obtain government version of offense; contact and interview co-defendant and obtain statements from witness, complainant, and victim for offense information, bail compliance, and mitigating

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To prepare presentence report prior to trial upon request from court: obtain defendant's consent for investigation; if defendant declines to permit investigation, terminate action and notify court and defense counsel; request trial not be scheduled until pre-plea Presentence Investigation (PSI) is completed; conduct limited background investigation prior to trial upon request from court; obtain government version of offense and bill of information or indictment; obtain prior arrest record; interview and obtain background data from defendant and delay processing until acquitted or convicted; keep chronological record when necessary; upon final judgement, process acquittal dispositions and store existing file or proceed to file PSI for conviction.

8. PRESENTENCE INVESTIGATION. (Include associated time for travel and phone calls.)

A. Receive request for presentence report; check for existing probation/parole file; notify supervisor of new case and assign PSI; log new case and set up file; contact AUSA file to obtain address and set up initial interview; provide defendant with questionnaire prior to interview; review pretrial services report; schedule interpreters as required.

B. Conduct defendant interview obtaining defendant's version of offense, prior record, social/family background, education, financial condition, employment, and military/health/drug history.

C. Visit last known address and send registered letter in attempt to locate subject, if contact is lost prior to interview; contact defense counsel, AUSA, and/or PSA in attempt to locate if defendant fails to appear for interview; prepare letter to court indicating "defendant jumped bail"; prepare memo report to AUSA requesting bench warrant issuance for failure to show for interview.

D. Obtain government version of offense; contact and interview co-defendant and obtain statements from witness, complainant, and victim for offense information, bail compliance, and mitigating

circumstances from enforcement agent, AUSA, defense counsel, and PSO; obtain and file newspaper clippings regarding offense when a case of notoriety; obtain prior record of arrests; visit or contact by phone or mail defendant's school, job, etc., as necessary to verify information; and arrange follow-up interview with defendant and close relations and/or associates, if needed; conduct second interview with defendant after verification of personal data in order to resolve discrepancies; arrange weekly contact with defendant, if ordered.

E. Request court order for local study at half-way house, local jail, or in community if deemed necessary for clarification in eventual recommendation to sentencing judge; obtain professional to complete psychiatric examination when ordered by court; notify defendant of time and location of appointment with study professional; prepare evaluation questions and forward to professional; forward application to incur expenses, voucher of expenses, and statement of nature of examination to Clerk of Court, if local study ordered.

F. Perform drug/alcohol evaluations and prepare reports to be submitted with PSI report.

9. PRESENTENCE REPORT/RECOMMENDATION.

A. Calculate salient factor and offense severity scores and enter on sentencing sheet; enter sentence statistics from D-5 tables and guidelines calculations on "sentencing data" page of PSI; obtain case clearance from SUSPO through discussion of salient factor score and confidential recommendation as well as reported in general and sentencing data; write or dictate report; evaluate PSI for sensitive or confidential information and note if PSI is not to be disclosed, all or in part; complete PSI control sheet; proofread and sign PSI; forward to SUSPO for proofing and approval; forward PSI to control clerk for dispersal and logging; if a collateral report, forward to requesting probation office.

B. If to be disclosed, all or in part, notify and present report to defendant and/or counsel for review and perform verification and resolution of challenges resulting from the disclosure; attend hearings for challenges.

C. Attend presentence conference with judge.

D. Until sentencing, monitor case status for pending charges and bail release performances and notify judge of any relevant change; notify collaborating district of final disposition.

E. Interview client and prepare postsentence report if PSI had not previously been prepared and sentence is commitment of more than 6 months, or update presentence if 6 months old.

F. Send information to Bureau of Prisons concerning designation of institution; assist court in voluntary surrender cases and coordinate with U.S. Marshal; request U.S. Marshal to fingerprint and photograph client or perform fingerprinting.

G. Receive and process Form 4 if transferred from PSA; verify completeness of PSA file to be sure it includes AO 245, indictment, docket, and final verification of arrest history.

H. Prepare and submit BP-CS-25 to U.S. Bureau of Prisons if to be committed to a federal contract facility.

10. PRESENTENCE REPORT CLERICAL FUNCTIONS.

A. Note and list pleas from criminal calendar; prepare calendar of court proceedings for officers for court appearances; set up PSI file.

B. Type Form 1 worksheet and send out Form 14's for verification.

C. (1) Type PSI and all necessary documents and attach "financial report" to original PSI, if appropriate.

(2) Type collateral PSI reports and letters.

(a) Single inquiry.

(b) Multiple inquiry.

(3) Type postsentence reports or updated PSI.

D. Notify statistical clerk of PSI completion for reporting on AO's probation report; log PSI completed; provide original to judge; file case file in PSI pending drawer to await sentencing; notify AUSA and defense counsel that PSI report is available for disclosure; check criminal calendar for sentencings to compare sentencing hearings listed with completion/delivery log to assure that judge has PSI.

E. Send split or mixed sentences disposition to AO and prepare investigation file and assign for supervision according to geographic address; prepare conditions of probation and maintain one copy of 3A index card in tickler file until released from custody; send commitment disposition to AO and prepare investigation file, place material from PSI file into appropriate folder, and forward to suspense file in commitment sentences; provide copy of PSI to pretrial services for completion of PSA Form 5; send PSI and AO 245 to Bureau of Prisons or U.S. Marshal, if presently serving a sentence in local or state institution; send PSI and AO 245 to Community Program Office (CPO) if commitment is directly to a Federal facility; send a supply of AO 337's to counsel; check judge termination report (COURTRAN) for sentences to assure that all cases have been processed; send AO

notification of postsentence investigation if necessary; notify PSO to close case; report close of PSA file to AO.

11. SUPERVISION. (Description refers to parole and probation unless otherwise stated. Include associated time for travel and phone calls.)

- A. Interview probationer/parolee explaining conditions of probation/parole and consequences of violations; have client sign Probation Form 7/Certificate of Parole, countersign conditions and give client copy; provide client with appropriate number of monthly reporting forms; obtain signature on release of confidential information for drug treatment cases as necessary; forward copies of certificate of parole and/or conditions of release to case file and Bureau of Prisons community program officer to authorize payment to aftercare agency. Develop case plan to meet needs of client and satisfy conditions of probation/parole; set up reporting schedule; record first meeting and prepare summary; set forth case classifications (maximum, medium, and minimum or high and low) and plan of supervision for both parolee and probationer.
- B. Prepare order for psychiatric evaluation for judge's signature if imposed as a condition of probation; refer client for psychiatric treatment/examination; prepare examination questions; refer client directly to community agency(s) and resource specialist for helping services, (i.e., emergency funds, shelter, food, and medical, psychological, drug-alcohol treatment); conduct group sessions for clients with unique or similar problems to stimulate better adjustment.
- C. Review judgment and commitment order for probationer and clarify any discrepancies as to disposition or conditions; monitor probation appeal until adjudication; notify office statistical unit of adjudication so that case status can be changed appropriately.
- D. Enter and assist probationer with social restitution in a community service program when a condition of probation and update progress report to court if noncompliance, or as otherwise ordered by court.
- E. Verify deportation of client and return to statistical clerk for closing case file; update chronological file; advise regional parole administrator of parolee deportation.
- F. (1) Record chronological entries reflecting all case activity and status changes on daily basis, or at least quarterly.
(2) Receive and review monthly supervision reports from clients and supervise clients in office.
- G. Assist client in employment placement; complete referral forms and collect and record information concerning success of referrals to job or other resources.

- H. Request order to impose special condition(s) or modification to original order of probation supervision; record action for monthly tally of reports if period of adjustment covers six months or more; notify client and defense counsel of extension grant or modification to original probation; for parolee, send request to Regional Parole Commission for order to rescind special conditions when necessary in response to "adjustment problems"; attend hearing when applicable.
- I. Grant permission for client to leave district boundaries and issue travel permit; if parolee, prepare request to Regional Parole Commissioner for permission to travel; request courtesy supervision from host district and forward essential case materials to host district upon approval for courtesy supervision.
- J. Transfers:
 - 1. When transferring client to another probation officer (intra-office), forward case file, record case movement, and notify client of transfer.
 - 2. When transferring client to another district (inter-office), contact potential host district requesting pretransfer investigation be conducted to determine home and employment feasibility for assumption of supervision; provide case file and green copy of Probation Form 3 to new district upon notification of supervision acceptance; prepare transfer letter and case file and forward to new district; secure own judge's signature on probation transfer order upon acceptance of jurisdiction and provide copies to Clerks' Offices of both districts; for parolee transfer, send copy to Regional Parole Commissioner; provide probationer/parolee "permission to travel form" copies to file and for new district; obtain travel funds for probationer/parolee in indigency transfer; and notify statistical clerk of transfer.
 - 3. Receive request for transfer and conduct and prepare pretransfer investigation accepting or rejecting transfer of supervision and forward to requesting district; initiate supervision upon receipt of transferred probationer and case file; for parole transfer, send copies of all communications to Regional Parole Commissioner; for probation transfer secure own judge's signature on Probation Form 22 and provide copies for Clerks' Offices of both districts.
- K. Refer client to contract or non-contract drug testing facility when ordered as part of condition of probation or when judge signs USPO modification request for such program of treatment; referrals may be either in person, by phone, or by mail; arrange three-way conference with aftercare agent and parolee to record mutually negotiated treatment plans and forward case record summary report to case file

and to Bureau of Prisons community programs officer, monitor drug treatment program: obtain spot check urine sample and log; receive, review, and file progress and urinalysis results from drug treatment agencies.

- L. Check F3 tickler file; prepare and submit parolee progress report to Parole Commission on annual basis; report same to AO.
 - M. Prepare PSA Form 8 for each six months or until expiration on probationer/ parolee when PSA had involvement in case.
 - N. Complete monthly tally indicating new cases, terminated cases, courtesy supervision cases, status and classification level changes; maintain monthly list of delinquent supervision reports for mailing Probation Forms 28 and 36 and notify delinquent clients.
 - O. Prepare letter/report or chronological report and forward to judge as part of condition of probation when ordered on either 30, 60, 90, 120, or 180 day basis.
 - P. Prepare six month case reviews, progress reports, drug/alcohol evaluations, or update pre-sentence reports as requested.
 - Q. Notify split sentence probationer to report for supervision once the jail term has been served; obtain defendant's signature on "condition of probation" before or as soon as possible after incarceration and notify court of violations and/or changes in case status; upon release, forward case file to Statistical Unit for processing of probation case; indicate release date or provide notice of release arrival.
12. SUPERVISION FIELD WORK. (Include associated time for travel and phone calls.)
- A. Conduct field supervision with client:
 - (1) Probation
 - (a) Court Probationer
 - (b) Magistrate Probationer
 - (2) Parole
 - (a) Parolee
 - (b) Military Parolee
 - (c) Special Parolee
 - (d) Mandatory Release
 - (3) Courtesy Supervision
 - (4) Collection of fines and restitution

(5) Monitoring of organized-crime clients and other surveillance.

(6) Protected witnesses.

B. Conduct collateral and community visits.

C. Counsel client and client's family, friends, and employer, when necessary, including operating family counseling program.

13. SUPERVISION - CLERICAL FUNCTIONS. (Description refers to parole and probation unless otherwise states.)

A. Enter former PSA case on due date tickler file for completion of PSA Form 8; log parole case to tickler file for annual progress report to Parole Commission; prepare case folder and assemble case file at 30 days supervision, check file for required documents; forward all material and case file to officer and pick up on daily report sheet as new case; place flash notice I-12 with FBI and notify local enforcement agencies and other probation units of probation sentence; prepare 3A index cards for unit tickler file on active and inactive supervision cases; post Youth and 844A cases by expiration date; log new parolee case and notify AO; prepare monthly report control card; check split sentence probation release date log and notify probation officer to pick up supervision.

B. Provide data services by preparing data printouts of probation and parole caseloads by unit and by officer caseload, expirations and Youth Corrections Act listings of cases expiring in next four months, and delinquent lists by unit and officer.

C. Note case name and expiration date for probation restitution and fine cases and for monthly reports to tickler file; update restitution and fines record in case files as appropriate; forward payment and process payment transmittal form to Clerk's Office Fiscal Section when fine or restitution is received; receive and record payment notice from Clerk regarding restitution or fine received; prepare periodic summary of fine and restitution payments and distribute to probation officer.

D. Enter in ledger number of field contacts by office and report to district chief; complete tally of reports on monthly basis from information furnished by officers and by Probation Forms 3 and 3A for parolees and probationers.

E. Deliver urine sample, return results to officer and enter results into file, when appropriate.

F. When case transferred, note transfer and close case on central control file; when receiving transferred case, prepare index card and file; record activity on tally of reports; notify AO and FBI of transfer.

- G. Type chronological entries.
 - H. Send monthly review reports to clients.
 - I. Type travel permits.
 - J. Type pretransfer investigation reports.
 - K. Type parole progress reports, PSA Form 8, and six month case reviews.
 - L. Maintain inactive files.
 - M. Type general correspondence pertaining to clients.
14. VIOLATION PROCEDURES. (Description refers to both parole and probation unless otherwise stated. Include associated time for travel and phone calls.)
- A. If arrest violation, enter arrest on log; enter documents in file and update chronological file; secure and review arresting officer's report of details surrounding offense and client's response to arrest; interview arresting officer concerning details of offense and probationer's/parolee's response to arrest; consult with AUSA regarding legal viability of new arrest charge; notify AUSA of written recommendation when alleged pretrial diversion (PTD) violation and record appropriate action; interview probationer/ parolee with respect to new arrest, if available; obtain third party information regarding probationer's/parolee's adjustment and conduct and circumstances of alleged violation.
 - B. Consult with SUSPO as to recommendation for or against revocation depending on nature and seriousness of drug testing results or other alleged violations; request probation violation calendar date for voluntary appearance; prepare probation violation report and/or petition for voluntary appearance; secure judge's signature and file with Clerk of Court; following issuance of citation for voluntary appearance, deliver Probation Form 12 and notice to probation violator; serve citation to appear.
 - C. Prepare probation violation report and petition for bench warrant; secure judge's signature and file with court; provide copy of petition, defendant's personal history information or ID sheet, and warrant to U.S. Marshal and/or FBI; monitor warrant files until apprehension or adjudication of new charge.
 - D. Interview apprehended probationer in cell block when advised by Marshal of service of bench warrant; update memo to court; provide copies of petition and any updated memoranda for probationer's defense counsel, court, and AUSA with cover letter apprising of

- hearing date; deliver copy of Probation Form 12 and notice of probation violation to probationer.
 - E. Attend preliminary hearing; resume supervision of probationer if released; note any bail conditions imposed; prepare probation hearing summary for court including recommendations as to sentence if no recommendation was made in previous reports.
 - F. Assign coverage for probation violation hearing; send case file to courtroom; report status of case to judge or original jurisdiction if magistrate is designated to hold preliminary probation hearing; record probation violation hearing action on court disposition sheet; attend hearing as applicable.
 - G. Concerning probationers, contact appropriate treatment agencies as to new, special conditions imposed by court; investigate probationer's progress when court orders reinstatement to active supervision with periodic compliance review and prepare report to court regarding compliance.
 - H. Prepare parole violation report (may have arrest report attached) and send to Regional Parole Commission recommending issuance of retake warrant or continuation; report action to AO; write letter advising Parole Commission of each change in status of new charge if retake warrant is to be held in abeyance.
 - I. Arrange and conduct preliminary interview with parolee, reading and obtaining signatures on interview forms, and determine whether there is probable cause to revoke parole; notify witnesses to appear if parolee wants postponed preliminary interview and conduct postponed preliminary interview.
 - J. Write summary report of preliminary interview and recommendation to Regional Parole Commission about parolee situation and probable cause upon consultation with SUSPO; forward completed report for recording, notify AO, and forward case file to statistical clerk when completed; if parolee is permitted local hearing, arrange appropriate hearing facilities and notify U.S. Marshal to deliver parolee to hearing location.
 - K. Arrange and conduct dispositional review hearing with parolee; write summary report and recommendation to Regional Parole Commission.
 - L. Attend final revocation hearing.
15. VIOLATION PROCEDURES-CLERICAL FUNCTIONS (Description refers to both parole and probation unless otherwise stated.)
- A. Type violation reports (probation and parole), warrants, preliminary interviews (parole), and parole summary reports.

- B. Prepare probation violation calendar and forward to all interested parties; assemble court letters/forms and update probation revocation ledger and forward court material to the judge; record action on tally of reports; forward appropriate material to Statistical Unit's inactive case file and notify AO when bench/retake warrant is issued; issue warrant outstanding notice to FBI-ID; adjust tickler file and cancel FBI "flash" upon apprehension; log notification by court of calendar hearing date and forward to probation officer to monitor until probation revocation hearing; upon revocation of probation, provide copies of PSI, AO 235, AO 245, Hearing on Violation memo, PF 27, and disclosure specifications to Bureau of Prisons through either community program officer or U.S. Marshal prisoner control; notify AO of new commitment, change of original probation period, modification of conditions, or reinstatement; prepare new probation contract and move case to active status; when parolee's warrant is executed, notify AO of case closing.

16. SUPERVISION/PREPARATION TO CLOSE. (Description refers to both parole and probation unless otherwise stated.)

- A. Check for necessary adjustment in probation cases under supervision as to arrests, drug treatment, employment, fines and restitution, and/or other special conditions; in drug treatment cases, review urinalysis reports and existing treatment agency summaries to assure subject is drug free; investigate arrest free compliance for early termination of probation/parole to assure that no previously undetected arrests occurred; investigate employment of client; investigate restitution/ fine balances of probationer to assure there is not arrearage; obtain death certificate or other type of verification of death if the probationer dies and notify court if case pending action; if parolee dies, notify Parole Commission.
- B. Prepare closing summary of probation case and progress including reason for closing; prepare petition of formal discharge to court requesting approval or disapproval for early termination of probation and setting aside of conviction including YCA cases or 844A cases; upon approval, inform probationer and other interested parties of termination by written letter; for parole cases, prepare letter to Regional Parole Commissioner requesting decision on early termination and setting aside of conviction; report action to AO.

17. SUPERVISION/PREPARATION TO CLOSE - CLERICAL FUNCTIONS. (Descriptions refer to both parole and probation unless otherwise stated.)

- A. Send reminder to probation officer if restitution/fine case is nearing expiration at one month; check expiration date tickler file noting cases soon to expire and those requiring early termination and setting aside conviction; send reminder to officer that YCA cases are to expire and that progress reports must be completed.

- B. (1) When formal probation discharge has been ordered, file signed copy of formal court order of discharge, if such order is entered with Clerk of Court, otherwise file with Clerk copy of discharge letter sent by probation officer to probationer; record probation discharge information required for statistical purposes and prepare appropriate record keeping and statistical forms; process sealing of all juvenile and 844B records and forward to Clerk of Court.

- (2) Type closing summaries and record on cards.

18. INCARCERATION/PRE-RELEASE. (Include associated time for travel and phone calls).

- A. Receive, review, and file institutional "classification and progress" reports and make institutional liaison assignments as necessary; receive, review, and file "notices of action" from Parole Commission; forward notice of action to sentencing judge.
- B. (1) Perform "social services" for inmate when requested by institution.
(2) Counsel family of those incarcerated.
- C. Perform special, social and emergency furlough, and work release program investigations, and investigate inmate requests to transfer from federal institution to local institution; prepare necessary reports.
- D. Develop potential community plan at request of institution for inmate from other region.
- E. If prisoner is released to community treatment center (CTC), probation officer will maintain supervision and will develop procedures with director of CTC.
- F. Prepare responses to inmate mail.
- G. Handle post-conviction relief motion and prepare reports for judge.
- H. Visit institutions to conduct pre-release classes or to conduct investigative duties.
- I. Type special, furlough and work release, and transfer investigation reports.

19. PRE-RELEASE INVESTIGATION.

- A. (1) Investigate release plans submitted by institution for appropriateness and report on findings prior to Parole Commission Hearing.

(2) Type pre-release report.

- B. Prepare postsentence and pre-release investigation on prisoners received from foreign countries; interview prisoner, complete Probation Forms 1 and 11 and determine proposed residence, employment, and advisor if released; send to designated office of release and institution.
- C. Maintain liaison with community treatment center (CTC) during client's stay; prior to discharge from CTC, arrange for residence, employment, and welfare of offender.

20. GENERAL FUNCTIONS: PRETRIAL SERVICES AND PROBATION OFFICERS.

- A. Review requests for case material from outside interested parties and approve or deny.
- B. Serve as community liaison by speaking, lecturing, or hosting local programs.
- C. Maintain and review local sentencing data by offense category for use at sentencing.
- D. Provide monthly data on client employment, treatment, case supervision levels, officer field activities, and supervision contacts.
- E. Develop, evaluate, and maintain resource contacts with public and private social agencies and law enforcement agencies in order to serve needs of client.
- F. Plan itinerary and complete daily travel record.
- G. Prepare field worksheet; record both attempted and completed contacts.
- H. Counsel concerning restoration of Civil Rights and Presidential pardons; aid and counsel concerning the restoration of right to possess firearm.
- I. Conduct on-site evaluations of U. S. Bureau of Prisons contract facilities as member of Bureau of Prisons audit team.
- J. Attend court for arraignments, hearings, sentencings, depositions, etc., not included in other categories.

INDIRECT CATEGORIES

21. MANAGEMENT AND SUPERVISION

- A. Manage operation of probation office and supervise assigned personnel to include delegating job assignments, determining priority of and scheduling work, and directing work.
- B. Review work of subordinates including Presentence Reports, Supervision Progress Reports, and other internal reports; provide assistance to and consult with officers as necessary.
- C. (1) Develop and implement policies, plans, programs, operating procedures, methods, and performance standards.
(2) Develop, implement, and maintain graduate and undergraduate student internship programs.
(3) Develop, implement, and maintain volunteer programs.
- D. Coordinate office operations and special programs with supervisors, AO, Federal Judicial Center, U. S. Marshal, U. S. Attorney, Parole Commission, judges, and/or others.
- E. Develop office budget including projecting staffing needs.
- F. Prepare performance appraisals and counsel personnel on performance and career progression.
- G. Draft letters, memoranda, and other correspondence not included in other categories of work.
- H. Review correspondence and other written material.
- I. Assist visiting officials and conduct tours.
- J. Personnel actions:
 - (1) Recruit, interview, hire, and indoctrinate personnel.
 - (2) Take required actions and complete appropriate forms for reassignments, promotions, demotions, transfers, separations, reclassifications, changes in position descriptions, grade recommendations, disciplinary actions, employee relations, grievances, etc., and maintain office personnel records.
- K. Approve daily travel records and submit to clerk for processing; approve all travel vouchers.
- L. Perform activities required by Equal Employment Opportunity Program and accomplish associated reports.

- M. Maintain in-house manual and clerical instruction booklet; publish office newsletter.

22. OFFICE ADMINISTRATION

- A. Type correspondence and miscellaneous material not included in other categories of work, proofread finished copy, and prepare for mailing.
- B. Review and route incoming correspondence.
- C. File material (except case-related material), maintain files, and develop and maintain office files plan.
- D. Duplicate administrative correspondence and material on copy machines.
- E. Maintain time and attendance, leave, and payroll records; distribute paychecks; prepare time and attendance reports.
- F. Maintain appointment records, logs, bulletin boards, and office reference material.
- G. Provide stenographic services to include taking dictation and transcribing from shorthand notes or recordings.
- H. Perform receptionist duties.
- I. Make, receive, and route official telephone calls.
- J. Travel:
- (1) Make travel arrangements and prepare travel vouchers.
 - (2) Verify that Probation Form 17 is completed properly; prepare travel vouchers for each probation officer in appropriate unit.
 - (3) Verify that travel voucher is completed properly and submit to chief probation officer for approval; submit to Clerk's Office Fiscal Section for preparation of payment upon certification.

23. CASE MATERIAL FILING AND FILES MAINTENANCE

- A. File individual documents in proper place and in files and records storage equipment.
- B. Maintain files including repairing or replacing worn or torn file covers, making guide cards for files equipment, and arranging or rearranging files.

- C. Determine in accordance with Records Disposition Schedule which records should be retired or destroyed and retrieve from files; destroy appropriate records; package records to be retired and ship to Federal Records Center.

- D. Requesting records from Federal Records Center:

- (1) Complete appropriate forms, submit to Records Center, and make entries in control log.
- (2) Package and return case files to Records Center after use.

24. MAIL AND DISTRIBUTION

- A. Process and distribute incoming mail to include receiving, sorting, opening, date stamping, and routing.
- B. Drop off mail or perform messenger service, if applicable.

25. REPORTS

Prepare office reports and special projects, either recurring or one-time, which are common to all offices or required by an individual office; prepare special surveys which may be requested by AO, courts, or other agencies. (Specify name of each report or survey and include all time to research, draft, type, review, and submit each report. Do not include reports measured in other categories of work.)

26. MEETINGS AND CONFERENCES

Prepare for, conduct, and/or attend meetings or conferences relating to internal management or administration of office such as weekly staff meetings. (Specify name of meeting or conference and do not include meetings or conferences relating to official business of office, which will be measured in other categories of work; also exclude training seminars or courses which will be measured in "TRAINING" category.)

27. TRAINING

- A. Administer training program to include planning, assessing training needs, and obtaining or developing training materials.
- B. Give or receive on-the-job assistance or training (does not include time spent actually accomplishing unit of work which will be measured in applicable productive category of work).
- C. Conduct or attend office training lectures or sessions.

- D. Read publications, memoranda, and probation office periodicals to maintain or increase job proficiency.
- E. Attend training seminars or other job-related courses (specify name of seminar or course, and include any time for preparation or travel).

28. OFFICE EQUIPMENT, SUPPLIES, AND SPACE.

- A. Determine requirements for equipment, furniture and furnishings, lawbooks and legal references, services, and space; analyze and determine potential cost/benefit and effectiveness of equipment, furniture, furnishings, etc., contemplated for purchase, rental, or lease.
- B. Procure required items to include justifying requests and completing appropriate forms; contacting AO, General Services Administration, and commercial vendors or suppliers pertaining to specifications, cost estimates, and award of contracts; and analyzing competitive bids/estimated costs of potential purchases, rentals, or leases prior to placing final order.
- C. Determine requirements for, order, and maintain office supplies and forms; develop forms as necessary for local requirements.
- D. Maintain necessary accountability records of expenditures, rentals, contracts, purchases of equipment, furniture, etc.
- E. Perform and maintain inventory of items on hand.
- F. Clean, adjust, and perform minor maintenance on equipment, office furniture, and furnishings.
- G. Move, rearrange, or plan layout of office furniture or equipment.
- H. Perform actions including accounting procedures and completion of forms to dispose of excess, obsolete, or irreparable equipment and furnishings.
- I. Arrange for maintenance, repair, or modification of office equipment, property, space, and facilities and prepare vouchers for payment.
- J. Maintain security of office and files.

29. TRAVEL.

Perform supervisory visits to branch offices (include time for preparation, round-trip travel time, and time spent at travel location.

30. WORK AREA PREPARATION.

- A. Perform any actions necessary to get ready for work such as obtaining needed materials and work assignments, organizing desk top, or sharpening pencil.
- B. Perform actions at end of work day such as putting work and materials away, clearing desk top, or cleaning up work area.

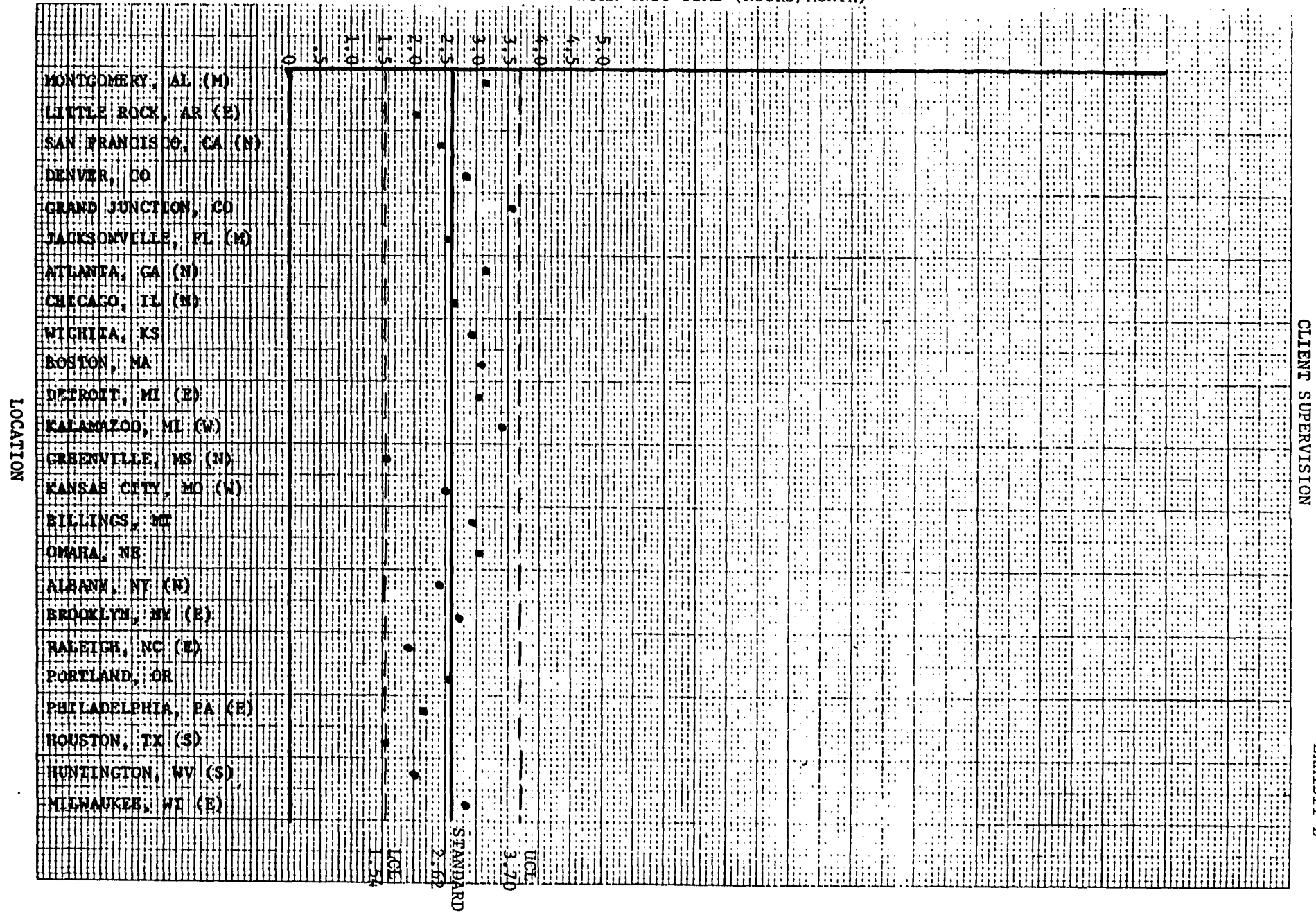
31. CONTRACTING FOR DRUG AFTERCARE.

- A. Identify need and request funds commitment.
- B. Prepare pre-solicitation letters and forward to facilities.
- C. Prepare solicitation letter and proposal package and forward to facilities.
- D. Develop statement of work and make on-site visits to facilities to negotiate with potential vendors.
- E. Review proposals received for responsiveness and responsibility of offeror(s). Evaluate and rank for submission to AO.
- F. Prepare Summary of Negotiation (official recommendation).
- G. After awarded, implement contract with facility.
- H. Review monthly invoices; prepare and certify voucher SF 1034 for payment.
- I. If applicable, propose modification to contract when new need is required, using SF 30.
- J. Provide guidance and evaluate performance of contractor including on-site monitoring and inspection reports.
- K. Order and assemble specimen supplies as needed.

EXHIBIT B
WORK UNIT TIME STANDARD GRAPHS

This exhibit contains eight graphs of work unit times and work unit time standards derived from data collected at the 24 measurement locations for the following work activity groups: client supervision; presentences; collateral presentences; violations; drug aftercare; pretrial services; clerical functions; and management and support. In addition, the graphs show the upper and lower control limits (UCL and LCL respectively) for each group.

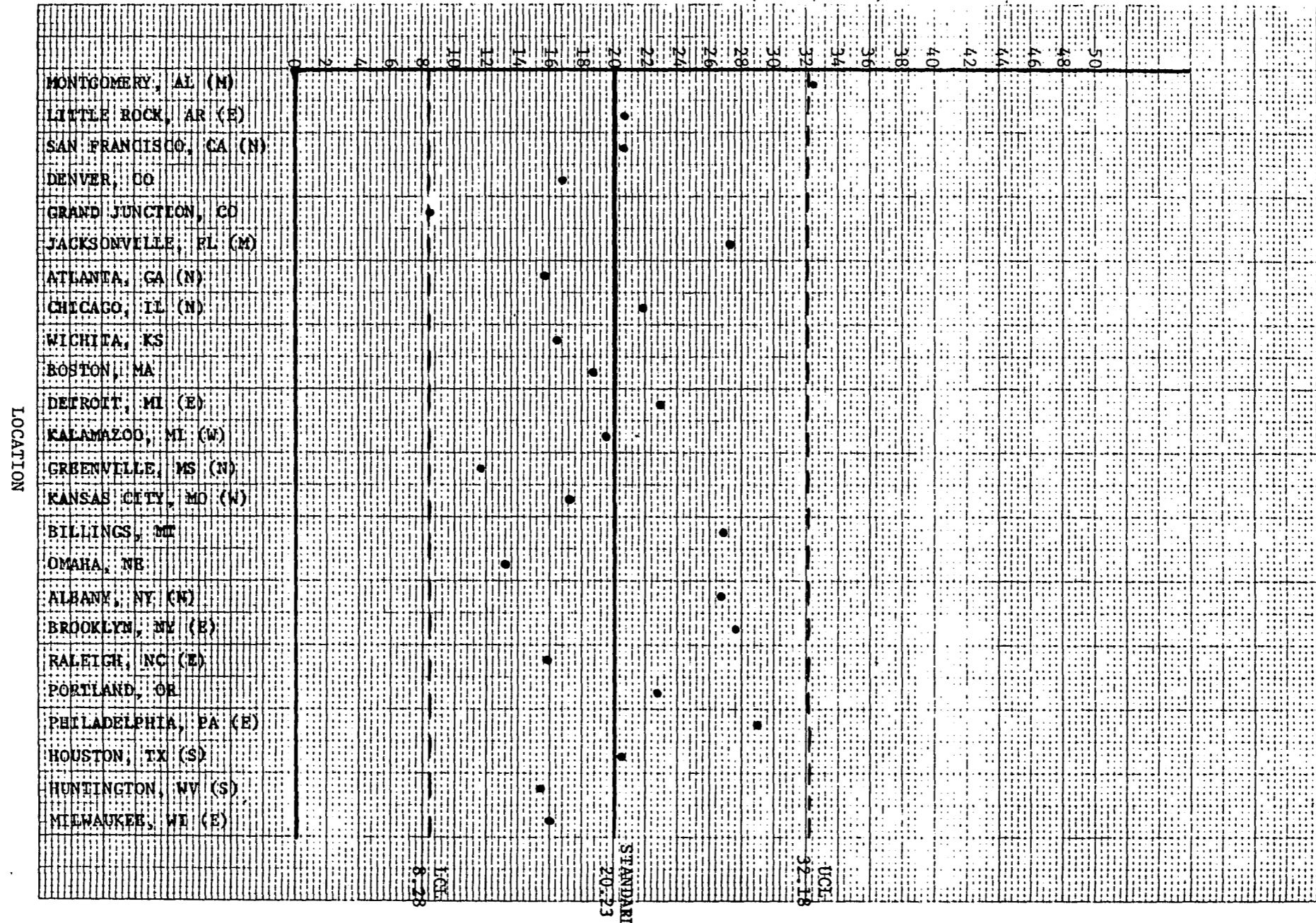
WORK UNIT TIME (HOURS/MONTH)



CLIENT SUPERVISION

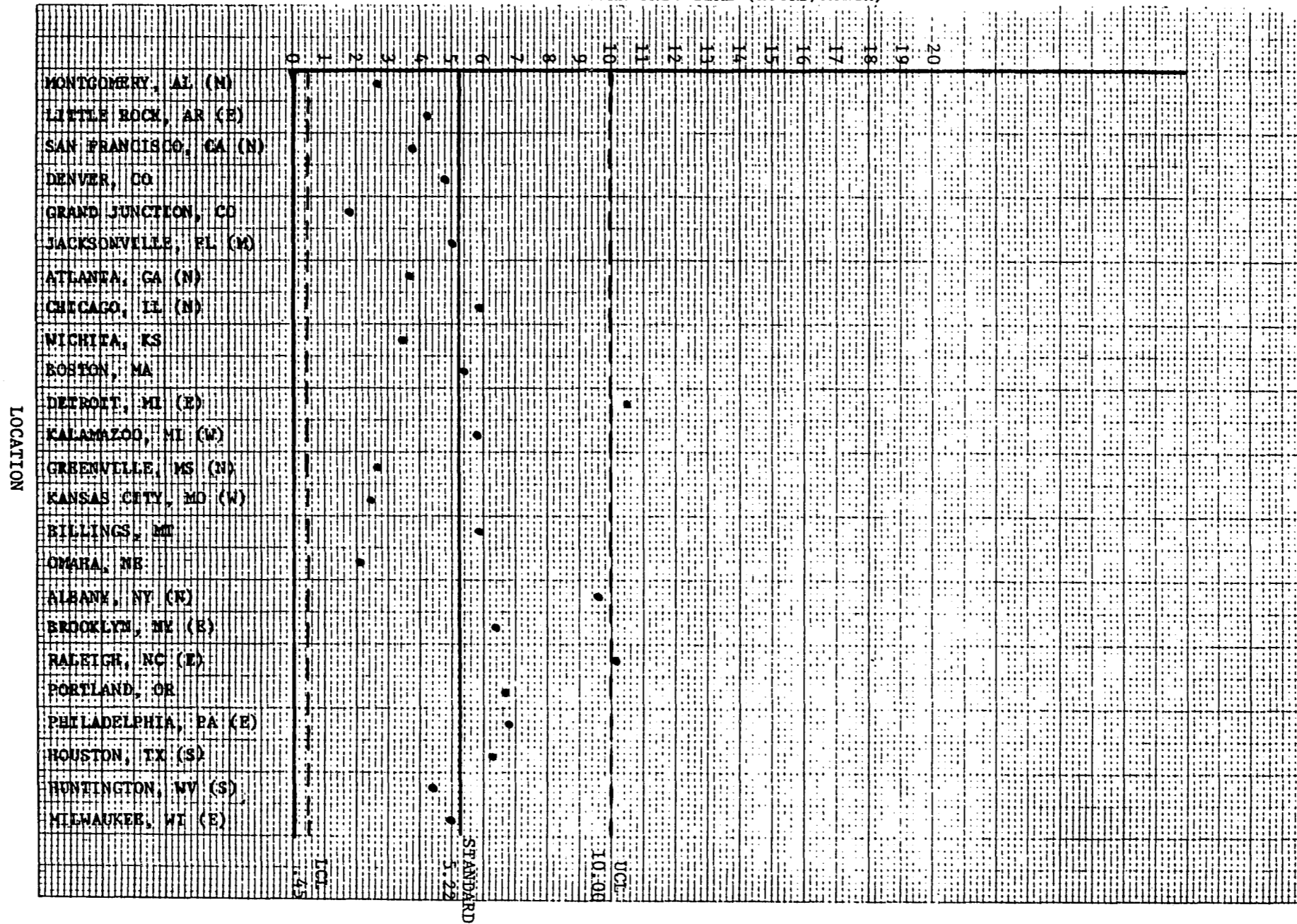
EXHIBIT B

WORK UNIT TIME (HOURS/MONTH)



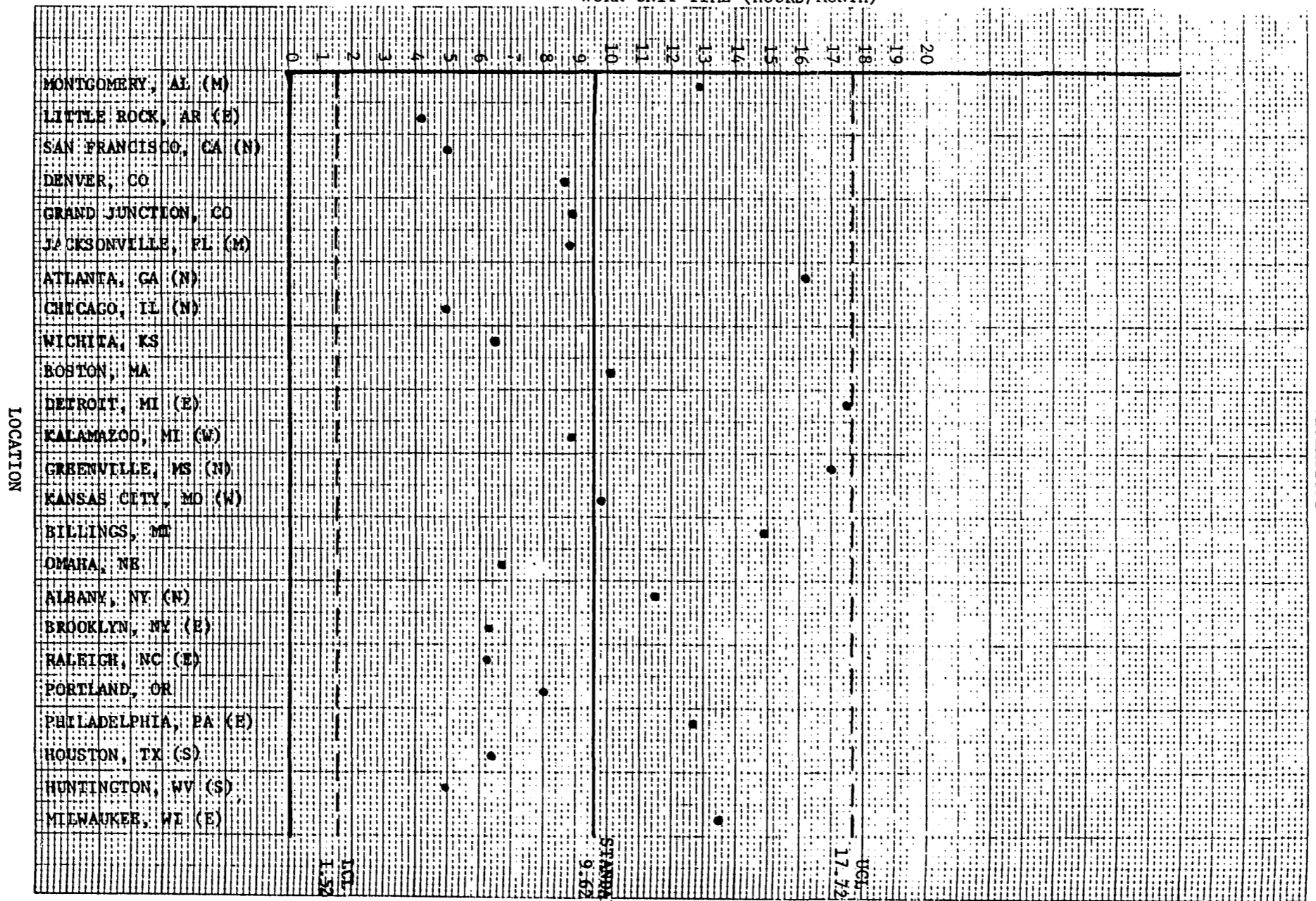
PRESENTENCES

WORK UNIT TIME (HOURS/MONTH)



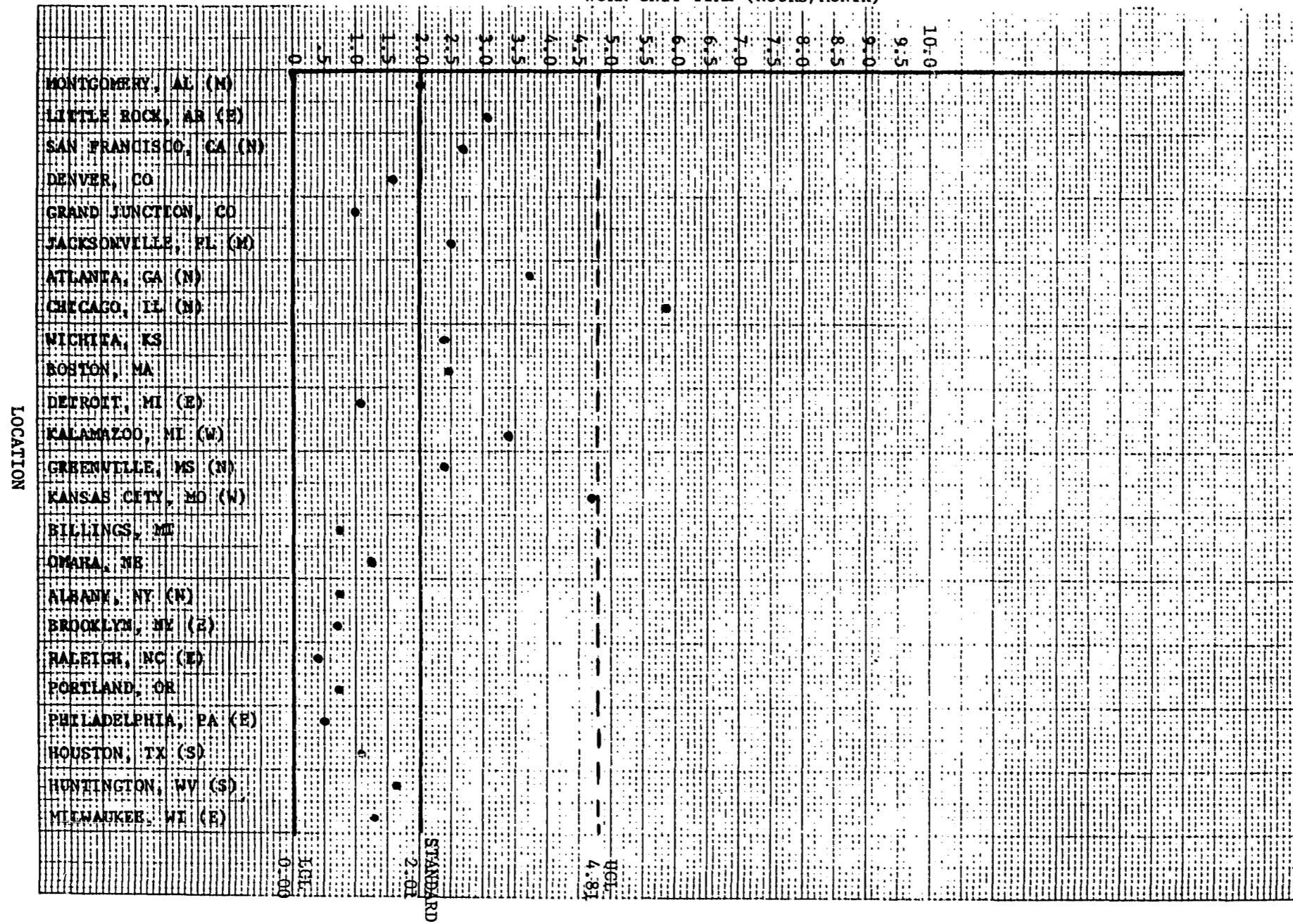
COLLATERAL PRESENTENCES

WORK UNIT TIME (HOURS/MONTH)



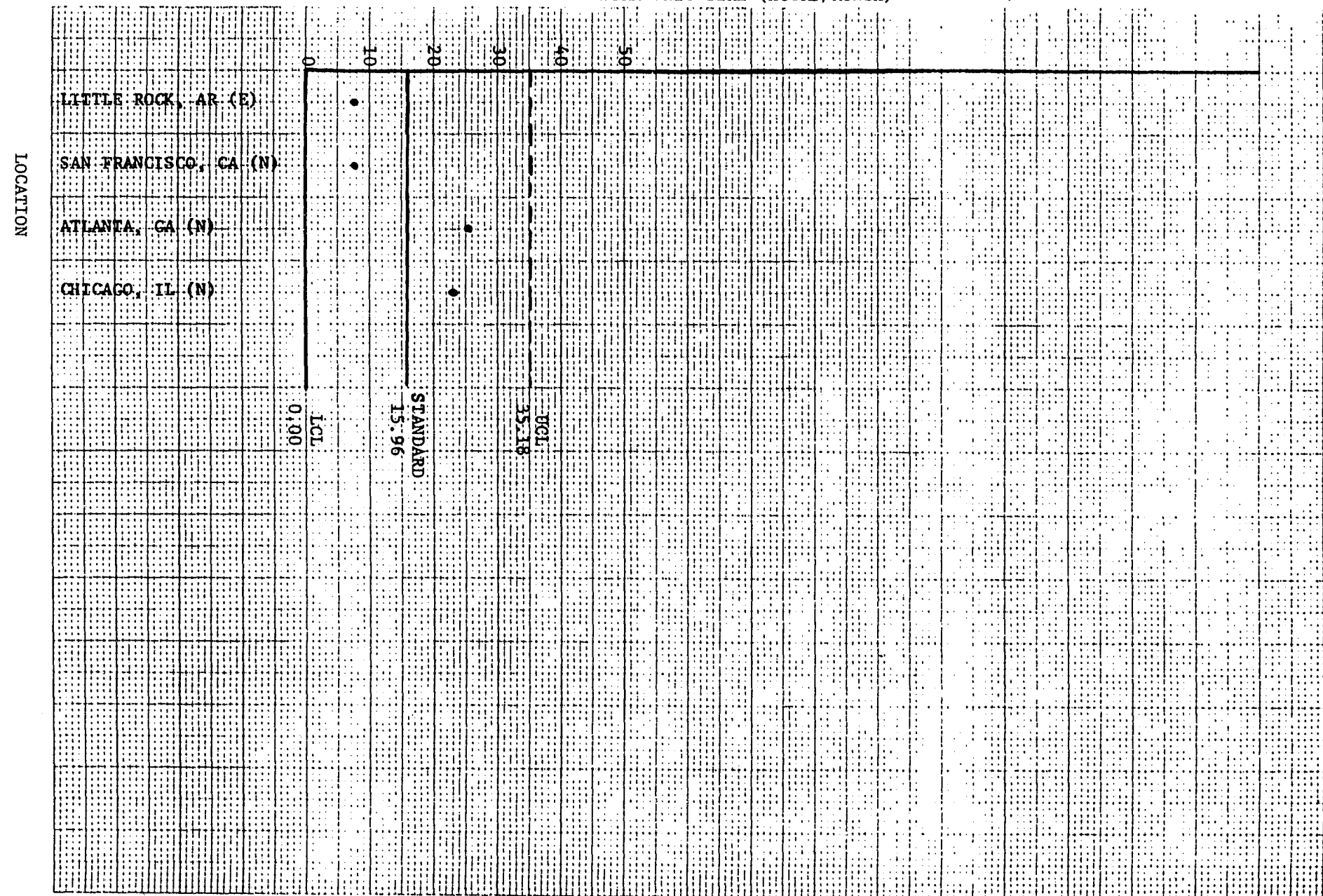
VIOLATIONS

WORK UNIT TIME (HOURS/MONTH)



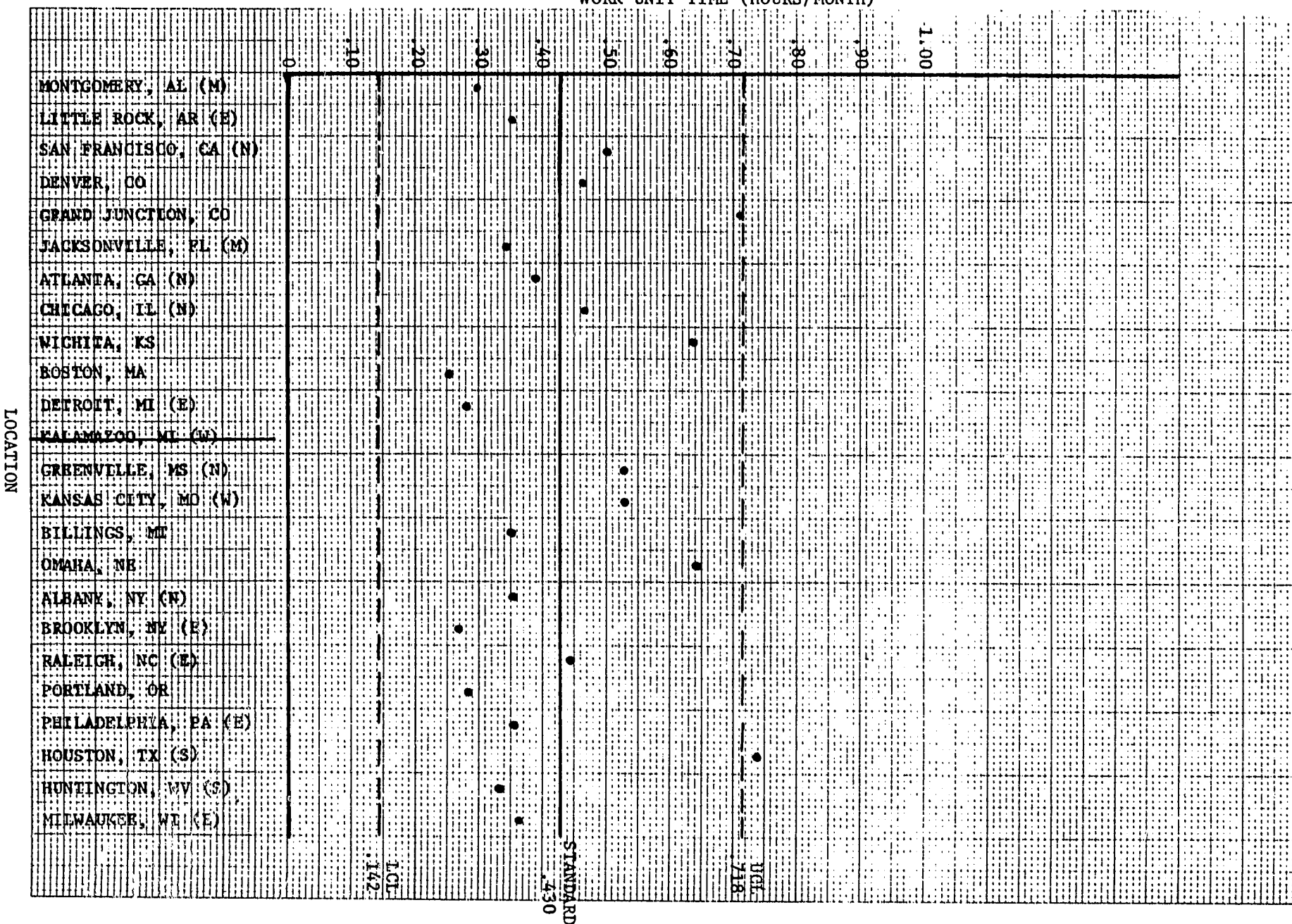
DRUG AFTERCARE AND CONTRACTING FOR DRUG AFTERCARE

WORK UNIT TIME (HOURS/MONTH)



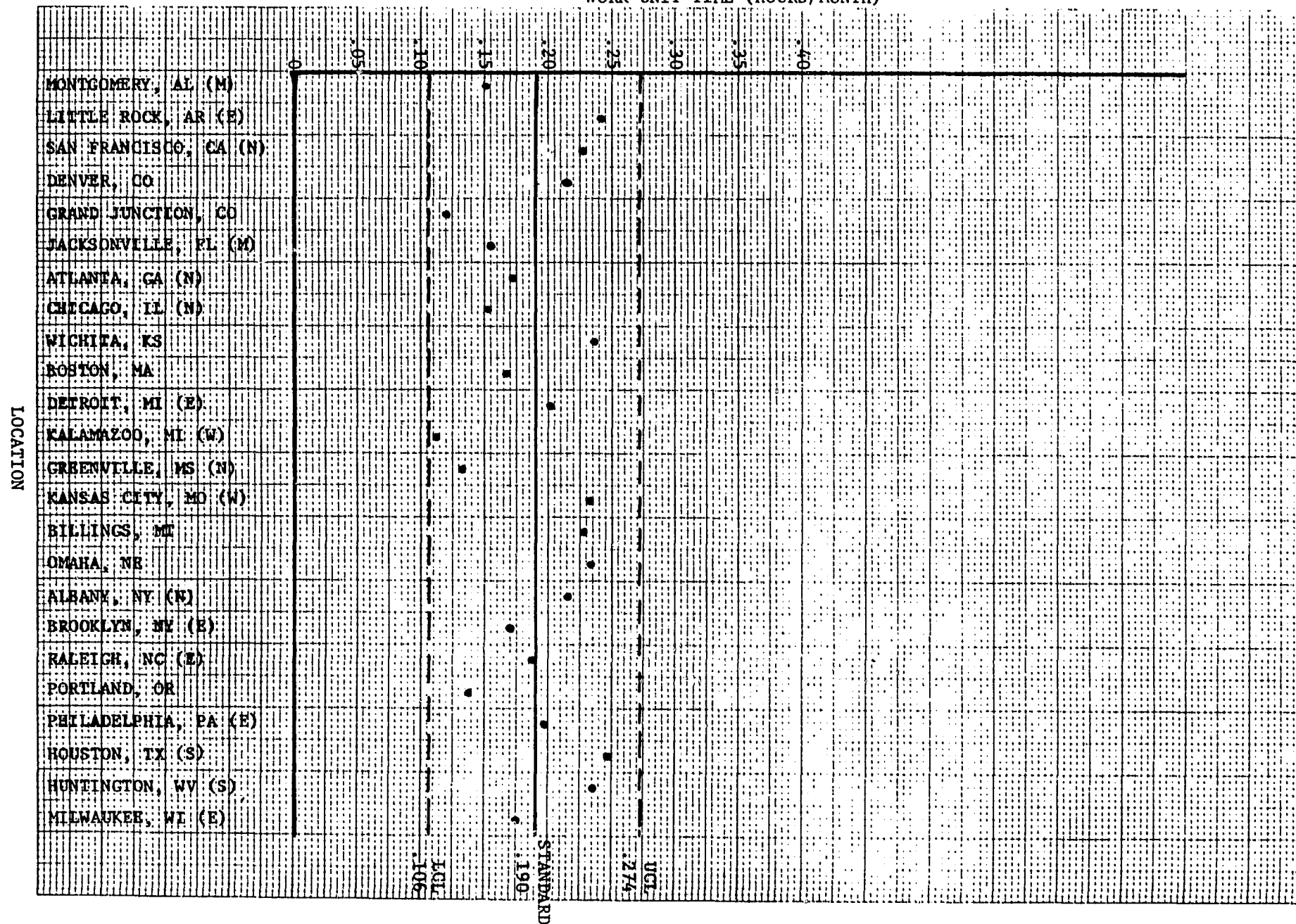
PRETRIAL SERVICES

WORK UNIT TIME (HOURS/MONTH)



CLERICAL FUNCTIONS

WORK UNIT TIME (HOURS/MONTH)



MANAGEMENT AND SUPPORT

COMPUTATION OF AVAILABLE HOURS

COMPUTATIONS (based on 5 days/8 hours/day 40 hour week)	<u>MONTH</u>	<u>YEAR</u>
Calendar Days	30.438	365.25
Less:		
Holidays	.750	9.00
Relief days (1)	8.697	104.36
Assigned Days	20.991	251.89
Hours per day	<u>X 8</u>	<u>X 8</u>
Assigned Hours	167.928	2015.12
Less:		
Misc. (Admin. Lv., Fire Drill, CFC, etc.)	2.167	26.00
Annual Leave (hours)	13.00	156.00
Sick Leave (hours)	<u>6.50</u>	<u>78.00</u> (2)
Hours Available to Primary Duty	146.26	1755.12

(1) A relief day is a Saturday, Sunday, or compensation for a weekend day.

(2) Based on an average of 6 hours annual leave & 3 hours sick leave each pay period.

Supplementary Computations:

$$365 \times 3 = 1095$$

$$366 \times 1 = \underline{366} \text{ (Leap Year)}$$

$$1461 \div 4 = 365.25 \text{ days in a year}$$

$$365.25 \div 12 = 30.44 \text{ days in a month}$$

$$365.25 \div 7 = 52.17857 \text{ weeks per year}$$

$$52.17857 \div 12 = 4.348 \text{ weeks per month}$$

$$52.17857 \times 2 = 104.36 \text{ relief days per year (5 day week)}$$

$$\underline{9.00} \text{ holidays}$$

$$365.25 - 113.36 = 251.89 \text{ work days in year}$$

$$251.89 \div 12 = 20.991 \text{ work days in month}$$

EXHIBIT C

COMPUTATION OF AVAILABLE HOURS

END