COLORADO COMMUNITY PAROLE OFFICER TIME AND WORKLOAD ASESSMENT STUDY

May 9, 2014
(revised May 15, 2014)

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Executive Summary

The citizens of Colorado expect that paroled offenders will be safely supervised in the community.[1] To accomplish this expectation, the Community Parole Officers (CPOs) must have the adequate resources, including time, to effectively supervise the offenders on their caseloads. When caseload sizes become too large for CPOs to safely manage, the quality of supervision and, thus, public safety may be jeopardized. But how is one to determine what an appropriate caseload size is?

Currently, the state of Colorado bases its need for Community Parole Officers on some measure of caseload standards, though these have not been empirically assessed since the early 1990s. The Colorado Department of Corrections (DOC) contracted with the National Center for State Courts (NCSC) to conduct a time and workload study to develop empirically-based workload values for Community Parole Officers, enabling the department to determine the number of CPOs required to supervise the average daily population (ADP) of parolees in the community.   To support the development of workload standards, the NCSC team engaged in four separate, but related activities, including the following:

1. An administrative review of written policies and procedures concerning CPO duties (delivered under separate cover in June, 2013);

2. A time-and-motion study, validated by quantitative case file review;

3. A quantitative analysis of data contained in the case management system, CWISE to support the time-and-motion study; and

4. Focus groups with community parole officers.

To ground the workload values in current best practices, Section 1 of the report provides an overview of the 8 evidence-based practices (EBP) in community supervision:

- Assess risk/needs with actuarial instrument
- Enhance intrinsic motivation to change
- Target interventions to highest level criminogenic needs
- Teach and practice pro-social problem-solving skills (cognitive-behavioral)
- Increase use of positive reinforcement (over negative feedback)

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[1] The use of the word "parole" and "parolees" is used throughout this document to refer to all offenders supervised on community-based supervision by the division of parole. Community Parole Officers may supervise offenders placed on parole, Intensive Supervision Parole (ISP), Youthful Offender System (YOS) Phase 3 (Community) placement, and those in transition from inmate status in the Department of Corrections and residing in a halfway house (or community corrections) facility.

- Engage ongoing support in community
- Measure relevant practices (outcomes, behavioral change)
- Provide measurement feedback (and adjust accordingly)

Section 2 of the report provides an overview of the time-and-motion study including the following:

- Assessment of time (development of workload values) required to supervise cases by "case type."
- Workload values, average travel times and non-case specific time, combined with a "CPO year value" of 225 days per year and the current ADP on community supervision allow for the computation of CPO staffing needs.
- Needs model that determines the need for 52.34 additional CPOs.
- CWISE and case file reviews support the time-and-motion study data in that standards are being met (supervision plans, verifications, contacts, referrals, assessments are completed according to policy), though degree of quality could not be assessed.
- Focus group data further support that policies are being met, but that supervision quality is suffering:
  - Lack of adequate time for face-to-face meetings;
  - Supervision plans are not helpful to officers;
  - Officers do not have time to engage in evidence-based-practices, such as motivational interviewing or skill building.

Based on the time-and-motion study, the monthly and annual workload values, shown in Figure ES-1, are applied to the average daily population figures in each case category and the resulting CPO need is shown in the bottom of the table.

**Figure ES-1: Colorado Regional Community Parole Officer
Resource Needs Model – When Applying Travel Time by Region**

	Monthly WLV (hours)	Montly WLV (minutes)	Annual WLV (minutes)	Region I	Region II	Region III	Region IV	Statewide Total
Regular Parole	1.58	94.92	1,139	1,039	759	803	889	3,490
ISP - P	3.07	184.33	2,212	42	38	65	79	224
ISP - I	2.68	160.92	1,931	51	72	61	87	271
YOS - Phase 3	8.24	494.42	5,933	14	16	1	12	43
CRCF	1.00	60.17	722	49	12	12	56	129
Community Corrections Inmate	1.59	95.33	1,144	240	181	165	187	773
Gang	1.86	111.50	1,338	482	591	237	363	1,673
Sex Offender	4.90	294.25	3,531	229	14	242	159	644
OMI	4.27	256.25	3,075	516	405	394	448	1,763
Compound Specialized	3.79	227.50	2,730	319	234	231	234	1,018
Interstate Out	0.25	14.75	177			2,021		2,021
Jail (detainer/custody)	1.88	112.58	1,351	247	287	218	260	1,012
Total ADP				3,228	2,609	4,450	2,774	13,061
Case Specific Work (WLV x ADP)				6,012,588	4,510,369	5,045,568	5,095,675	20,664,200
CPO Annual Availability: 225 days				108,000	108,000	108,000	108,000	108,000
- Annulized work related travel per CPO				12,150	12,150	12,150	12,150	12,150
- Annualized non-case specific time (90 minutes/day)				20,250	20,250	20,250	20,250	20,250
Availability for Case Specific Work				75,600	75,600	75,600	75,600	75,600
Region FTE (CPOs and Team Leaders, including vacancies)				64	45	57	55	221
Staffing Demand (FTE)				79.53	59.66	66.74	67.40	273.34
Staffing Deficit (FTE)				15.53	14.66	9.74	12.40	52.34

* Staffing needs for Transport and Fugitive Apprehension Units were not computed.

Based on the ADP of cases on parole calculated for this study, the CPO workload assessment model indicates that a total of 273.34 CPO FTEs are needed to fully staff the four parole regions and the interstate office. This represents and increase of 52.34 over the current 221 CPOs currently allocated to active supervision caseloads (the 10 FAU CPOs and 4 Transport Unit CPOs are excluded from the total CPO workforce figure). The model does not compute staffing needs for either the Fugitive Apprehension Unit (FAU) or the Transport Unit, for reasons described earlier in this report in the *Workload Values* section. Both units are specifically staffed to engage in certain duties and workload values could not be derived for their work.

Section 3 of the report provides a summary and recommendations. We strongly suggest that the weighted caseload model presented in this report be the _starting point_ for determining need in each parole region across the state. There are some considerations that an objective weighted workload model cannot account for that should be taken into account when determining staffing levels needs. For example, access to treatment and other services vary by location, offender transportation requirements vary by location, as do jail beds, mental health services, job opportunities and other important factors that CPOs rely on to do their jobs. The specific recommendations made include the following:

Recommendation #1
The NCSC recommends updating the CPO need on an annual basis.

Recommendation #2

Periodic updating should continue to ensure that the workload values continue to accurately represent the CPO workload in Colorado.

Recommendation #3

The parole division should make use of the workload value detail contained in Appendix E when considering policy changes that will impact CPO workloads.

Recommendation #4

The parole division, including line-staff representatives, should review the kinds of activities in which CPOs routinely engage that could be eliminated to enhance the use of EBPs.

Recommendation #5

The parole division should base supervision on risk level, applying the greatest resources to those parolees who pose the greatest risk of recidivism and have the highest criminogenic needs.

SECTION 1: Setting the Stage

Introduction

The citizens of Colorado expect that paroled offenders will be safely supervised in the community.[2] To accomplish this expectation, the Community Parole Officers (CPOs) must have the adequate resources, including time, to effectively supervise the offenders on their caseloads. When caseload sizes become too large for CPOs to safely manage, the quality of supervision and, thus, public safety may be jeopardized. But how is one to determine what an appropriate caseload size is?

Currently, the state of Colorado bases its need for Community Parole Officers on some measure of caseload standards, though these have not been empirically assessed since the early 1990s. The Colorado Department of Corrections (DOC) contracted with the National Center for State Courts (NCSC) to conduct a time and workload study to develop empirically-based workload values for Community Parole Officers, enabling the department to determine the number of CPOs required to supervise the average daily population (ADP) of parolees in the community. To support the development of workload standards, the NCSC team engaged in four separate, but related activities, including the following:

1. An administrative review of written policies and procedures concerning CPO duties;[3]
2. A time-and-motion study, validated by quantitative case file review;
3. A quantitative analysis of data contained in the case management system, CWISE to support the time-and-motion study; and
4. Focus groups with community parole officers.

Organization of This Report

The first section of this report serves as an introduction to the report and provides an overview of evidence-based practices in community supervision. Section 2 contains the description and findings of the time and workload study, including the CWISE analysis, case file

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[2] The use of the word "parole" and "parolees" is used throughout this document to refer to all offenders supervised on community-based supervision by the division of parole. Community Parole Officers may supervise offenders placed on parole, Intensive Supervision Parole (ISP), Youthful Offender System (YOS) Phase 3 (Community) placement, and those in transition from inmate status in the Department of Corrections and residing in a halfway house (or community corrections) facility.

[3] The review of policies and procedures was completed and delivered to the Director of Adult Parole on June 28, 2013. Since that time, it is our understanding that many of the policies have been revised, making our report obsolete at this time.

reviews, and focus groups.   Section 3 provides a discussion of the study's findings as recommendations to move forward.

The Integrated Model of Evidence-Based Practices in Community Supervision: *Emergence and Reliability*[4]

Popularized in the get-tough era of the 1980s, community-based supervision that stressed punitive and control-oriented tactics, such as surveillance and monitoring, have been found to have little impact on the reduction of recidivism of offenders supervised in community settings. Several research studies and meta-analyses conducted in the 1990s repeatedly found that the punishment-deterrence models of community supervision *without a treatment component* do little to reduce recidivism, thereby threatening public safety.   However, when treatment was added as a component of supervision, notable reductions in recidivism were found.[5]   "Taken together, these findings tell us that probation and parole officers will not succeed in reducing recidivism if they devote their interactions with offenders to threatening and/or exacting punishment" (Gleicher, Manchak, & Cullen, 2013).

The latest research concerning the most effective community-based criminal justice practices in the 21st century is the use of evidence-based practices (EBP) in assessing, sentencing, supervising, and treating offenders.   Evidence-based policy and practice is based on thousands of well-conducted research studies that identify activities and supervision strategies scientifically shown to reduce offender risk, which in turn reduces new crime and improves public safety.   A myriad of literature on this subject has emerged since the late 1990s and early 2000s, and the current literature continues to support these findings.   The evidence-based practices literature on criminal justice provides an outline for how best to assess, sentence, supervise, and treat offenders to ensure the lowest levels of recidivism and the best possibilities for offender change. Specifically, there has been a strong focus on what elements of community based – or probation and parole -- supervision and treatment are known to improve outcomes. There are some

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[4] It must be noted that the NCSC engaged in contracts with both Colorado Parole and Colorado Probation to conduct workload assessment studies during 2013. Both organizations were interested in couching the workload study findings in evidence-based practices because they are both working to adopt and adhere to these practices. For this reason, this section of the report occurs in both the report to the Judicial Branch and to the Department of Corrections. Additionally, the National Institute of Corrections was working with DOC on a Technical Assistance project as the time and workload study was getting underway. Much of the work contained in the report resulting from the TA project incorporates evidence-based practices, yet the two projects were conducted independently of each other.

[5] Cullen, Wright & Applegate (1996); Gendreau, Goggin, Cullen & Andrews (2000); Sherman, Gottfredson, MaKenzie & Eck (1998); Petersilia & Turner (1993).

practitioners across the country who believe that their professional best judgment, or generalized treatment plans and programs designed to treat all offenders, will result in desired outcomes. Rather, the evidence-based literature clarifies that spending time up front to conduct a thorough risk and needs assessment can assist decision-makers, community probation and parole officers, and treatment providers in the development of effective individualized responses to offending behavior that increase desired outcomes.

The emergence of the evidence-based literature in corrections began nearly two decades ago, aided by new improved abilities to measure offender outcomes and new analytical techniques, called meta-analyses. These analytical techniques allow researchers to analyze multiple studies with hundreds of thousands of offenders to determine, *empirically*, which processes and interventions work to change offender behavior and reduce recidivism. Adherence to evidence-based practices helps correctional practitioners target scarce supervision and treatment resources on supervision strategies and interventions that have the greatest impact on successful offender outcomes.

Why is it important for parole departments or communities be concerned about offender outcomes? First and foremost, successful offender outcomes lead to enhanced community safety. Promoting successful offender outcomes is an appropriate and perhaps fundamental corrections goal because it enhances public safety, encourages the best use of limited resources, and creates a focus for positive action that is consistent with public expectations and the responsibilities of a community supervision agency. Adherence to parole terms and conditions helps to avoid additional correctional costs associated with jail stays, court hearings, and new prison commitments for violations of supervision or new criminal charges. In an evidence-based organization, parole officers are tasked with supervising offenders with a goal of correcting attitudes, behaviors and actions that are related directly to an offender's criminal propensities. In short, in the world of evidence-based practices, parole officers have moved from the role *of case manager* to *change agent,*[6] in which they take on a more direct and active role in the offender change process.

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[6] Bourgon, G., Gutierrez, L., Ashton, J., (2012).

The Eight Principles of Evidence-Based Practices in Community Supervision

This section of the report describes the eight principles of evidence-based practices in community supervision and incorporates literature and discussion points related to the skills and time required to effectively understand and engage in these activities.

The integrated model of evidence-based and best practices guides effective community supervision practices. These evidence-based principles of effective supervision, organizational development, and collaboration based on research findings suggest the most promising and effective practices to managing community-based offenders. Evidence-based practice implies that (1) there is a definable outcome(s) that the program (e.g., parole) is trying to achieve; (2) the outcome and the practice are measurable; and (3) the outcome is defined according to practical realities (such as recidivism, successful completion of parole, improved offender skills, and victim satisfaction).

> *The conventional approach to supervision in this country emphasizes individual accountability from offenders and their Parole officers without consistently providing either with the skills, tools, and resources that science indicates are necessary to accomplish risk and recidivism reduction. Despite the evidence that indicates otherwise, officers continue to be trained and expected to meet minimal contact standards, which stress rates of contacts and largely ignore the opportunities these contacts have for effectively reinforcing behavioral change. Officers and offenders are not so much clearly directed what to do, as what not to do.[7]*

The diagram below presents a picture of the eight principles of evidence-based practices in community supervision. These guiding principles are commonly accepted in the community-based corrections industry as the building blocks required for ensuring community safety with an emphasis on addressing identified criminogenic needs to reduce offender risk and future criminal behavior.

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[7] Bogue et al, 2004, page 1.

EIGHT GUIDING PRINCIPLES FOR RISK/RECIDIVISM REDUCTION

ENGAGE ON-GOING SUPPORT IN COMM.

INCREASE POSITIVE REINFORCEMENT

SKILL TRAIN WITH DIRECTED PRACTICE

TARGET INTERVENTION

ENHANCE INTRINSIC MOTIVATION

RISK/NEED: ASSESS ACTUARIAL RISK

MEASUREMENT FEEDBACK

MEASURE RELEVANT PRACTICES
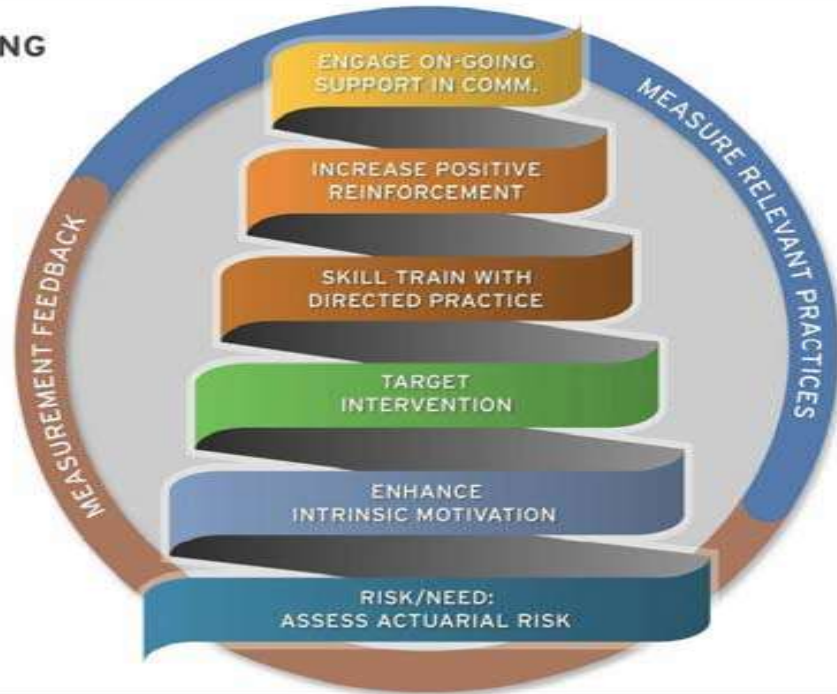
Principle 1: Assess Actuarial Risk/Needs Through the Use of a Valid Risk/Needs Instrument

Effective supervision practices begin with a reliable and valid assessment of an offender's level of risk to reoffend *and* an offender's criminogenic needs. Assessment is the cornerstone to effectively implementing evidence-based practices. The Risk-Needs-Responsivity (RNR) model to effect behavioral change among correctional populations is directly tied to the assessment of risk and needs. The importance of the RNR model has been well established in corrections literature and is briefly described below.

The *risk principle* indicates that offenders should be provided with supervision and treatment levels that are consistent with their levels of risk to reoffend if there is an expectation of risk reduction and behavioral change. *Risk in this context, refers to the probability of reoffending, and is not to be confused with the seriousness or level of the offense committed by an offender*. Research on the risk principle is compelling in showing that the most effective use of limited correctional resources is to *focus on the criminogenic needs* of higher-risk offenders.[8] In fact, research indicates that focusing supervision and treatment resources on lower-risk offenders can lead to wasted resources and, in some cases, may actually *increase* recidivism

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[8] See Bonta, Wallace-Carpretta & Rooney, (2000); Andrews & Bonta, (2006); Lovins, Lowenkamp, Latessa & Smith (2007); Bonta et al., (2008); Marcus, (2009); Lowenkamp & Latessa, (2002) & (2004).

rates.[9] If left alone, relatively speaking, lower-risk offenders perform just as well as when managed similarly to their higher-risk counterparts. Therefore, directing fewer resources to this population is a wiser use of resources. [10]

Criminogenic risk refers to factors that predispose an offender to commit crimes; criminogenic needs are those disturbances in bio-psychosocial functioning that impinge on an individual's ability to function stably in society. There are eight identified criminogenic risk/need areas that have been found to directly relate to criminal behavior. Lowenkamp and Latessa (2004) note that the *strongest predictors of risk* (also referred to as "the big 4") include antisocial attitudes, antisocial associates, antisocial personality, and a history of antisocial behavior; the next tier of risk predictors include substance abuse, family problems, and problems with education and employment. This means that, a failure to address anti-social thinking, attitudes and associates will likely limit the effectiveness of treatment for substance use, problems with family relationships or education and employment.

Low-risk offenders are likely to be fairly pro-social in their thinking, are likely to have stable employment, and generally have pro-social associates. Criminal justice research literature indicates that this category of offenders is statistically unlikely to commit additional crimes. By definition, placing low risk offenders with higher risk offenders in treatment or supervision groups will likely increase the low-risk offenders' risk factors by exposing them to a greater number of anti-social peers. Add to this the required attendance in an intensive treatment intervention, which is likely to interfere with a person's job and family life, and the intervention has actually *weakened* the structure of the low-risk person's life. Therefore, supervision and intervention resources should be reserved for those higher risk offenders under supervision. Case plans should be prioritized to include the most important risk/needs areas presented by the individual parolee.

The **needs principle** stresses that assessing for and then focusing on those needs that relate most closely to illegal or criminal behavior (criminogenic needs) will result in the greatest reductions of recidivism. To most effectively impact criminal behavior, criminogenic needs should be addressed according to the most significant needs, as indicated by an actuarial needs assessment.[11]

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[9]See Marcus, (2009); Lowenkamp & Latessa, (2002), (2004); Bonta, Wallace-Capretta, & Rooney, (2000); Andrews & Bonta, (2006).

[10] See Gendreau & Goggin, (1997); Andrews & Bonta, (1998); Harland, (1996); Sherman et al., (1998); McGuire, (2001), (2002).

[11] See Andrews & Bonta, (1998); Elliott, Hatot, Sirovatka & Potter (2001) & Harland, (1996).

The ***responsivity principle*** is characterized by maximizing an offender's ability to learn from a correctional intervention by focusing on two important elements: 1) using cognitive behavioral treatment and 2) tailoring the intervention to the individual characteristics of the offender. Specifically, treatment interventions should consider the offender's learning style, motivation to change, developmental stage, cognitive abilities, and strengths. This means that one program will most certainly never fit all offenders, so agencies must have access to a range of treatment and programming options. Encouraging an offender to engage in positive behavioral changes goes beyond identifying his or her needs to address a particular issue and requires addressing *who they are.*[12]

Good offender assessments help parole officers determine appropriate supervision levels and, through the identification of an offender's needs, strengths and weaknesses, help to develop the most appropriate supervision and treatment and intervention strategies, or case plans. Case plans should be developed specifically for each higher risk offender (policies dictate the level of parolees for whom case plans are developed) and the plans should identify each criminogenic need and the steps the officer will take to address each of these problem areas.[13] Case plans should always be developed jointly between the parole officer and the parolee.[14]

Finally, offender assessment is most reliable when parole officers, institutional case managers and administrative staff are formally trained to use and interpret the assessment instruments, including using the most effective methods of obtaining data (interview, official records, collateral verification), using correct scoring procedures, minimizing the use of overrides, and using the assessment information to develop case plans and inform case decisions throughout the supervision process.

Offender assessment should be an ongoing function of supervision and is done on both a formal and informal basis. Formal assessments and reassessments are conducted according to established protocol of the specific assessment instrument used in a jurisdiction. Informal assessment consists of gathering and documenting case information obtained through face-to-face contacts, observations, collateral contacts, and other information learned about the offender. It can also include formal assessments relating to issues such as substance abuse and

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[12] See Miller & Rollnick, (2002); Gordon, (1970); and Williams, Elliott & Guerra, (1999).
[13] Bonta, et al., (2008).
[14] Klavin & Johnson, (2014).

mental health.   Both the formal and informal assessment information should reinforce one another and both should be used to determine supervision and case management strategies.[15]

Principle 2: Enhance Intrinsic Motivation

Simply becoming involved in the criminal justice system does not mean that offenders will feel the need to make the necessary changes in their lives to lead them down a pro-social path. Sometimes such involvement does create a turning point for an individual, however, this cannot simply be assumed. Behavioral change is a dynamic experience, which ebbs and flows, and can be positively influenced by parole officers and other providers if handled appropriately. Long-term behavioral change only occurs when the person making the change has an intrinsic desire to do so. That is, the offender must want to make the changes that are necessary to keep them from further penetrating the system.

The evidence-based literature confirms that the nature of officer-offender relationships contributes substantially to the effectiveness of interventions. Research indicates that the use of motivational interviewing (MI) techniques, rather than fear, intimidation, or persuasion, can effectively be used to enhance an individual's motivation to embark on and maintain positive behavioral changes.[16] Motivational interviewing involves establishing collaborative relationships with other professionals, respect for the offenders' perspectives and facilitating the offender's readiness and motivation to change without using force or coercion.   n fact, there is strong evidence that applying strictly punitive responses to anti-social behavior leads to poorer outcomes.

Motivational interviewing facilitates change by reducing resistance, identifying discrepancies in an offender's thinking and behaviors and eliciting conversations that focus on behavioral change. Motivational speech can be divided into five categories: "desire, ability, reasons, need and commitment."[17]   By recognizing these elements and using Motivational Interviewing skills, the trained parole officer can guide a parolee toward the need to change, and eventually toward the desire to change. It can also engage an offender in the development of a case plan that will result in behavior change but also cooperation during their supervision period.

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[15]See Lowenkamp, et al., (2011), Lipsey, et al., (2010); Andrews & Bonta, (1998); Clements, (1996); Gendreau, et al., (1996); Kropp, et al., (1995); Andrews, et al., (1990).
[16] Miller & Rollnick, (2002); Miller & Mount, (2001); Harper & Hardy, (2000); Ryan & Deci, (2000).
[17] Walters, Clark, et al., (2007).

Principle 3: Target Interventions

As described previously in this report, the Risk-Needs-Responsivity model has been firmly established in the literature as the most effective model by which to supervise criminal offenders. When correctional organizations have implemented the use of a risk/needs assessment tool, both the level of risk to reoffend (risk principle) and the identification of needs that most closely relate to anti-social behavior (needs principle) are identified at the assessment and reassessment stages. The responsivity principle – applying interventions in a manner by which the offender is most likely to change behavior – occurs in the supervision phase. It is at this stage that parole officers must get to know the offenders they supervise to determine the best intervention. Encouraging an offender to engage in positive behavioral changes goes beyond identifying his or her needs and requires addressing *who they are*. Addressing the responsivity principle requires that officers pay attention to offenders' individual characteristics and match them appropriately to treatment services. Of course, this also requires that officers have the time to get to know the offenders whom they supervise. Whenever possible, care should be taken to address such characteristics as culture, gender, motivational stages, developmental stages and learning styles. [18]

Successfully targeting interventions requires first, that treatment services are available; and second, that they are strategically integrated into the full set of supervision requirements. The delivery of targeted and timely treatment has a strong effect on behavioral change. The use of cognitive-behavioral treatment for moderate to high-risk offenders has been shown to be effective in many studies. Once again, the effectiveness of these treatment interventions has been proven with higher risk offenders rather than lower risk offenders. When possible, lower risk offenders should be diverted from the criminal justice system, under which circumstances they will most likely not return.[19]

Finally, the amount of treatment needed is directly related to the level of risk posed by the offender on supervision. Unstructured time can be a terrible burden to a person trying to change behaviors. Higher risk offenders need more initial structure than their lower risk counterparts, and the goal should be to decrease the official structure over time, so the offender can eventually maintain positive control over his/her own life. The initial three to nine months of supervision for higher risk offenders should include a plan to structure 40%-70% of their free

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[18] See Miller & Rollnick, (2002); Gordon, (1970); Williams, et al, (1999).
[19] See Palmer, (1995); Clear, (1981); Taxman & Byrne, (2001); Currie, (1998); Petersilia, (1997), (2011); Andrews & Bonta, (1998).

time.[20] This can be accomplished by devising a clear case plan with expectations of the offender. The offender can be held accountable by keeping daily journals proving compliance with the plan. Research indicates that the lack of such a coordinated plan can result in negative effects on offender behavior.[21]

In terms of parole officer interactions with parolees, as a field, we are not clear on the best way to count dosage units. Emerging research suggests that how officers interact with offenders can impact recidivism rates. For example Bonta et al., (2008) found that focusing too much time on compliance issues *increased recidivism*; alternatively, Bonta et al., (2011) found that parole officers who utilized cognitive-behavioral techniques, such as focusing on problem solving and good decision-making, in their face to face interactions with offenders translated into lower recidivism rates.

Specifically, Bonta, et al., (2008) quantified the impact of community supervision officers' time devoted to discussing criminogenic needs with offenders and its impact on recidivism. This study derived the following results: when the officer spent between 0-15 minutes on criminogenic needs specific to the parolee, 49 percent of the offenders recidivated; when the officer spent between 20-38 minutes on criminogenic needs, 38% of offenders committed a new crime; when the officer spent more than 40 minutes on criminogenic needs, 3% of those offenders recidivated. To summarize these findings, it is clear that when the officer spends more than 40 minutes with the offender and addresses criminogenic needs, the resulting impact on future offending behavior is incredibly significant (only 3% re-offend). Trotter (1996) found that, when trained officers focus on pro-social modeling and problem-solving, they can be effective in reducing recidivism rates among parolees in a 25-minute session.   Work in this area is being refined with new efforts at maximizing skill building through programs such as EPICS, STICS and STARR, which are referred to later in this discussion; the primary message, however, is that the *content of interactions* between parole officers and parolees matters.

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[20] The National Institute of Corrections is in the process of developing a monograph on dosage probation. Preliminary guidelines indicate that moderate-risk offenders should receive approximately 100 hours of treatment for between 3 and 6 months at the rate of one session per week. Comparatively, high-risk offenders should receive approximately 300 hours of treatment for 9 to 18 months three times weekly *or* in a residential setting (Dosage Probation, National Institute of Corrections).

[21]See Palmer, (1995); Gendreau & Groggin, (1995).

Principle 4: Skill Train with Directed Practice (Use of Cognitive Behavioral Treatment Methods)

There is a strong body of literature demonstrating that correctional intervention programs that emphasize the development of cognitive skills to transform "criminal thinking" into "right thinking" are related to decreased recidivism.[22] Cognitive skills programs work to change offenders' thinking and behavior by incorporating pro-social modeling and structured interventions to impact behavioral changes through re-socialization. Environments that provide structure and support offender accountability foster offender change through social learning. "Structure organizes the behavior of members toward a common goal of 'right living.' Staff, operating as a rational authority, provides an organized structure of values, rules, roles, and responsibilities…. Accountability teaches respect for structure and moves the offender from an observer stance…to a participant stance…to a member stance" (Gornick). Essentially, cognitive skills training (teaching offenders to think responsibly and productively) and cognitive restructuring programs (changing destructive attitudes and thinking habits that lead to criminal behavior into new pro-social attitudes) work to move offenders from anti-social thinking and behavior to pro-social thinking and behaviors. Incorporating the use of pro-social thinking into all phases of correctional supervision and interventions strengthens the likelihood of reducing recidivism through lasting offender change.

There are a range of available cognitive skill development programs that are well-researched and have a track record for effectiveness, such as *Thinking for a Change, Moral Reconation Therapy (MRT), Thinking Matters, Why Try?, Reasoning and Rehabilitation, Strategies for Self-Improvement and Change (SSIC),* and others that require training and certification of those delivering these programs. The benefit of having an array of programs is that parole officers can match treatment needs with specific programs. The effective use of such programs, however, depends on appropriately matching the treatment program to the offender, the quality of training of those delivering the program, the degree of fidelity to the program's original model and the degree to which the skills being taught are also being demonstrated by the program facilitators. Using parole officers as program facilitators ensures that the skills being taught are understood and modeled by those parole officers. Additionally, using parole officers to deliver CBT programs provides opportunities to improve the officer-offender relationship, which has been found to improve offender outcomes on parole.

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[22]See Gornick, No date available; Mihalic et al., (2001); Miller & Rollnick, (2002); Lipsey & Wilson, (1993); McGuire, (2002); Aos, (1998).

Principle 5: Increase Positive Reinforcement

While the criminal justice system has historically relied on the use of punishment models which focus primarily on negative behavior, correctional and behavioral change research indicates that *positive reinforcement* is much more likely to lead to sustained positive changes in behavior. In fact, research indicates that human beings need four positive responses to behavior to each single negative response to a behavior. "Within the case management context, it is important for the probation officer to establish a positive, warm and respectful relationship with the client in order for the probationer to be willing to listen to what the probation officer has to say and to follow his or her advice" (Bonta, et al., p. 262, 2008).

Research supports that forced offender treatment can work, but to be most effective, it must be warranted and there must be motivation, on the offender's part, to change. Parole officers and others whose authority is respected by the offender can greatly impact such motivations by communicating in a positive manner at sentencing as well as throughout an offender's sentence.[23]   In fact, in a 2008 study conducted by Bonta and his colleagues they conclude "the more time that the probation officer spent discussing the terms and conditions of probation, the *higher* the recidivism rate" (p. 265). This information is critical for parole officers to understand, and especially important when considering the content of face-to-face meetings. As Gornick states, "the crucial element is consistent modeling by staff that practices and believes in the principles they are espousing" (Gornick, p. 11). Positive reinforcement should be real and meaningful, as opposed to contrived and insignificant.

Principle 6: Engage Ongoing Support in Natural Communities

Personal behavioral change is more likely to be maintained long term when people around us support those behavioral changes. Research indicates that working with people in an offender's immediate environment, such as a spouse or partner, pro-social friend, co-worker, clergy, neighbor, or pro-social relative to support and reinforce positive behavioral changes can have a significant impact on the offender's ability to sustain those changes over time.

Research has demonstrated that an offender is more successful, as measured by decreased recidivism rates, when they have a greater amount of pro-social support. Specifically, relationships that were characterized as having emotional warmth and a degree of personal bond

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[23]See Pew Center on the States, (2009); Warren, (2007); Miller & Rollnick, (2002); Miller & Mount, (2001); Harper & Hardy, (2000); Ryan & Deci, (2000).

are important in predicting failure for offenders with substance abuse and mental health disorders. Similar results have been found with drug court clients who experienced pro-social bonds with the presiding judge.[24]

Recent research indicates that systems and programs that improve ties between an offender and the community, such as restorative justice practices, positively impact behavioral changes.[25] When possible, it is also important for parole officers to work with family members so that they understand the offender's specific risk factors and coping strategies and are able to support the offender's pro-social progress.

Principle 7: Measure Relevant Processes/Practices

"What gets measured gets done" is a phrase often attributed to management gurus such as Peter Drucker, Tom Peters, Edwards Deming, Lork Kelvin and others. This phrase has been a staple for so long that it has simply become a truism. Workers focus on what components of their work they are being measured against.   Evidence-based practices are founded on sound measurement of practices and outcomes.   Measuring what is happening is the key to understanding what works and how well. At the heart of an evidence-based organization is the data to help guide decisions and actions to help the organization improve its performance. But how can an organization know if they are improving, if there is no baseline from which to measure improvement? It is critical, therefore, for any organization hoping to engage in evidence-based practices to have a set of performance measures that align with the work of the organization for which data are collected – and reported – on a regular basis.

It is imperative that changes in cognitive and skill development and offender recidivism get measured routinely if offender outcomes are expected to improve. Additionally, measuring staff performance is an important way to ensure that work is completed in the expected manner and that fidelity to program models are maintained.[26]

Principle 8: Provide Measurement Feedback

Once a system to measure performance has been designed and implemented, it is important to provide regular feedback to staff and the community regarding that performance.

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[24] Cullen, F. (1994); Skeem, et al., (2009); Gottfredson, Kearley, Najaka & Rocah, (2007).
[25] See Arzin & Besalel, (1980); Emerick et al., (1993); Higgins & Silverman, (1999); Meyers & Smith, (1997); Project MATCH Research Group, (1997); Bonta et al., (2002); O'Connor & Perryclear, (2002); Meyers et al., (2002).
[26] See Henggeler et al., (1997); Milhalic & Irwin, (2003); Meyers et al., (1997); Hanson & Harris, (1998); Waltz et al., (1993); Hogue et al., (1998); Miller & Mount, (2001); Gendreau et al., (1996); Dilulio, (1993).

Providing feedback to offenders on supervision will enhance performance and outcomes, as will the provision of performance data to staff. When staff understands that the critical elements of their job are being measured, they are more likely to prioritize those job functions. For example, if an officer is expected to prioritize supervision and treatment goals to the highest three areas of risk/need, whether those issues are being attended to in supervision should be measured. The research data are clear that the *number* of contacts made with an offender matter much less than the content of *what is addressed* during officer-offender contacts.

Monitoring the delivery of services within an organization helps build accountability and maintain integrity to the agency's mission. Conducting performance audits and case reviews that focus on improving outcomes help to keep organizations focused on the ultimate goals of the organization. Finally, reporting how the Department is performing to the community will likely increase the public's confidence in the work of the parole system.[27]

At another level, supervision officers should consider the need to provide feedback to the parolee they are supervising as well as obtaining feedback from the parolee. Lowenkamp, et al., (2012) suggest that "correctional practitioners will need to engage offenders more…solicit the kind of feedback necessary to gauge progress from the offender's perspective, as well as their own" (p 18). Sharing feedback in this manner supports an individualized approach to supervision with a "living" case plan.

The Application of Evidence-Based Practices in Parole

Having laid the foundation of the eight evidence-based principles, we turn our attention now to a discussion of the challenges and requirements associated with applying evidence-based practices at the community-based supervision level. First, to fully support and implement evidence-based practices, there must be a commitment at the organization level to change the way business gets done. "An evidence-based organization (EBO) consistently demonstrates the ability to achieve outcomes through effective problem solving and decision-making. As the name implies, such an organization simultaneously uses evidence to achieve its outcomes and corroborates those outcomes through measurement and exhaustive communication. An EBO uses data to drive decisions and develop innovative approaches to delivering services" (Ameen, C.A and Loeffler-Cobia, J., (2010), p. 5). Being an evidence-based organization also requires a sophisticated workforce that is specifically trained and highly skilled; and these skills are not

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[27] See Project Match Research Group, (1997); Agostinelli et al., (1995) and Alvero et al., (2001).

limited to the line level. An evidence-based organization requires that all levels of staff have the knowledge and possess the skills necessary to effectively engage in evidence-based practices. As parole officers learn and practice their skills, supervisors must act as coaches to reinforce and help to hone those skills.[28]

In a recent journal issue devoted to evidence-based practices, Steven Haas (2013) makes the following observation:

> *"Community supervision officers must become proficient in the use of cognitive-behavioral strategies, motivational interviewing, offender assessment, and case planning, as well as learn how to fully engage in a process of evidence-based decision making. This requires staff to develop and practice specialized skills in communication and interaction with offenders.   It also forces staff to weigh the scientific evidence when making individualized service decisions for offenders on their caseloads.   Therefore, efforts to implement evidence-based strategies in real-world settings must manage issues related to both organizational culture and staff development (p. 4).[29]*

The Evidence-based Practice Skills Assessment for Criminal Justice (EBSA) is a self-report measurement tool designed to gauge the extent to which correctional staff demonstrate the skills necessary to successfully implement evidence-based practices (EBP).   Specifically, the tool developers identified eleven skills and knowledge areas that corrections agents must possess to effectively implement EBP.   The eleven skills/knowledge areas include the following:

- Support for evidence-based practices
- Strength-based approaches
- Interviewing skills
- Analytical thinking
- Critical thinking
- Communication
- Ethics
- Adaptability
- Growth
- Teamwork
- Use of positive reinforcement techniques

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[28] Latessa, E. (2012); Alexander, M., Palombo, L, Cameran, E, Wooten, E, White, M., Casey, M. & Bersch, C. (2013).
[29] Haas, S.M. (2013).

In his work with juvenile probation officers, Trotter (2102) supported this list of important skills as being associated with recidivism reduction and increased compliance with supervision orders.   In addition to these general skills, community supervision officers must be specifically trained in the use of the RNR model, the use and application of motivational interviewing and the ability to use and model effective cognitive behavioral skills, such as good problem solving, good decision-making and the ability to anticipate consequences.

Recently, researchers have found that, despite the abundance of literature on evidence-based practices, at the line level many probation and parole officers have struggled with how to transfer the principles into practice. To address this deficit, three models that combine direct skill training, observation and coaching/feedback to enhance probation and parole officers' skills have been developed and studied. While each program is designed slightly differently, they all teach parole officers how to build high-quality relationships with offenders. Additionally, the models combine the essential components of training, observation and feedback to ensure that the skills are learned and integrated into parole officers' interactions with offenders. Additionally, each program has measured the impact of the training/integration models on interactions with offenders and their subsequent levels of recidivism. The three programs include the Effective Practices in Community Supervision (EPICS), Strategic Training Initiative in Community Supervision (STICS) and Staff Training Aimed at Reducing Re-arrest (STARR). All three models focus on improving community supervision officers' skills in transferring the RNR principles into action, by arming officers with the skills to improve interactions with clients by making these interactions more treatment-oriented. All three programs use post-training audiotapes to gauge officer's skills. For all three programs, researchers compared the audiotaped interactions between officer and offender for officers trained in their model and a control group of officers who were not specifically trained. Each program saw a significant improvement in officer-offender interactions for the experimental (trained) group and, more importantly, decreases in recidivism were also found.[30]

Not only must line staff be adequately trained to effectively engage with and supervise probation clients, but probation supervisors must also be highly skilled in order to effectively oversee and guide staff in making difficult case-related decisions and coach officers to ensure that

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[30] Bonta, Bourgon, Scott, Yessine, Gutierrez & Li, (2010); Robinson, VanBenschoten, Alexander & Lowenkamp (2011); Smith, et al., (2012).

their interactions with parolees adhere to the practices that are connected to effective interventions. In their study of probation supervisors' spans of control in Iowa, Armstrong, Dretke and Atkin (2011) argued that "an EBP model expects staff to develop a much more in depth relationship with clients/offenders, which requires more training and more supervisor interaction with officers including discussing case management options (p. 25)." Further, in their article about the importance of coaching, Alexander, et al., (2013) found that "coaching sessions made it more likely that they would actually use the skills [associated with effective officer-probationer interactions]" (p. 5). Coaching sessions vary across jurisdictions, but generally occur monthly (though they may occur more frequently) and last between 1.5 and 3 hours per session, but supervisors must also spend time preparing for these coaching sessions.[31] Coaches must listen to audiotaped sessions of interactions between parole officers and parolees, then provide feedback to officers regarding problems or issues identified, tips for improving skills and role-playing, if necessary.[32] In their recommendation for a 7:1 span of control for probation supervisors in Iowa, Armstrong and her colleagues (2011) observed that, in an EBP organization, it is important to create a span of control that allows supervisors to have an increased focus on support rather than minimal oversight and control. Specifically, they write "Retention of (and ideally increasing) the supervisory "hands on" role and amount of supervisory contact with his or her team members, increased contact would promote necessary mentoring, coaching and training components required by effective implementation of evidence based practices (p. 27)."

Discussion of the Literature and Impact on Workload

In this section, we have provided an overview of the eight principles of evidence-based practices in community supervision. These principles combine officer-level activities (assessing risk and needs, enhancing intrinsic motivation to change, targeting interventions, teaching cognitive-behavioral skills, use of positive reinforcement, and incorporating communities of support) and organizational activities (measuring relevant practices and providing that feedback to the organization to make changes) to describe how evidence-based organizations should be focused to achieve the most effective outcomes on community based supervision.

The literature demonstrates that the content of meetings between parole officers and parolees matters a lot. Effective interactions that focus on criminogenic needs and problem solving result in greater reductions in recidivism than when those interactions are focused on

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[31] Alexander, et al., (2013).
[32] Ibid.

issues of compliance. Similarly, the relationship between officer and offender matters; when officers demonstrate a true sense of caring for the offender, reductions in recidivism follow.

The literature also is quite clear that the use of actuarial assessments is the keystone to implementing evidence-based practices. It follows that all officers must be trained in the use and interpretation of all risk/needs assessment instruments if they are expected to accurately score and interpret them. Ideally, all officers should be required to demonstrate proficiency in the scoring and interpretation of all risk/needs instruments they use with the populations of offenders they supervise.

Adhering to evidence-based practices requires training to correctly adhere to the risk-needs-responsivity model. Effective implementation of the RNR model requires familiarity with the treatment resources available in the community in which the officer operates. This translates into officers and supervisors needing to have time to learn about and develop relationships with treatment providers and agencies so they can be informed when making treatment referrals that they correctly address criminogenic needs and issues of responsivity.

Finally, it is important to understand the critical role of supervisors in the implementation of EBPs. Supervisors may have the most difficult job in that they are expected to be experts in the provision of effective parole supervision, but they must also bridge the gap between line level staff and upper management. This means that they are responsible for day-to-day operational issues such as the management of schedules, disciplinary action, policy development and, of course, staff development.

All of these issues must be considered in the development of appropriate workload values in an organization that is truly committed to embracing evidence-based practices.

SECTION 2: Time-and-Motion Study of Workload

Nationally, probation and parole leaders face continual challenges of effectively managing rising caseloads, limited staff, and increasing supervision requirement expectations. The American Probation and Parole Association (APPA) has tried for years to develop national standards for caseload sizes; but has been unsuccessful because of the vast variation in state and local investigation and supervision practices. Even so, the APPA recognizes the need for developing national standards as guidelines, but strongly endorses the need for states to determine local workloads based on carefully conducted time-and-motion studies (Burrell, 2006).

In a joint BJA-APPA publication in 2011, the authors describe the varied benefits of conducting time-and-motion studies, from making funding requests based on empirical findings to identifying areas for improving efficiencies and effectiveness to assisting in the development of guidelines in performance evaluations.[33]

In Colorado, the Department of Corrections contracted with the National Center for State Courts to conduct a time-and-motion study to provide quantitative documentation of the parole system's resource needs. The last workload assessment study for community parole officers (CPOs) was conducted in the 1990s. The current time-and-motion study addresses two constant and recurring problems that are inherent in determining staffing needs, including: (1) objectively assessing the number of community parole officers required to handle current and future caseloads, and (2) deciding whether parole staffing resources are being allocated, geographically, according to need. Assessing the parole workload through the development of a weighted workload assessment model is a rational, credible, and practical method for meeting these objectives and determining the need for parole officers.

The NCSC has conducted workload assessment studies for many years across a variety of disciplines.[34] The weighted caseload method uses time as a measure for workload and is based on the assumption that the more time required to process, manage, or supervise a case, the greater the *workload value* should be.

The CPO workload assessment study was designed to measure the workload of Colorado's community parole officers. At the time this study commenced, there were 238 full-time equivalent (FTE) CPOs employed by the state and working in the 4 parole regions. Community parole officers in Colorado are expected to deliver quality services and public protection in the course of their work of assisting former inmates return to society.

The current study developed workload values for each of the primary types of cases that CPOs in Colorado supervise in an effort to accurately determine adequate staffing levels for the regions and the state. In this study, a workload value is defined as the average amount of time it takes to supervise a particular type of case. Workload values are computed based upon the average number of minutes (or hours) it *currently* takes to complete tasks associated with all

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[33] See (DeMichele, Payne and Matz, 2011).
[34] The NCSC consultants conducting this study have personally conducted 30 weighted caseload studies for judges, court staff, attorneys and community supervision officers in 25 locations since 2005, including two workload assessment studies for Colorado Probation, one for Colorado District Court Judges and one for Colorado County Court Judges.

aspects of pre-release and supervision work conducted by CPOs. Using workload values, the number of *parolees* can be translated into *workload* for CPOs.

This report details the methodology of the Colorado CPO workload assessment study. Specific objectives of the CPO workload assessment study are as follow:

- To conduct a quantitative assessment of CPOs' work requirements associated with the way cases were supervised at the time the study was conducted;
- To develop accurate and representative workload values for the appropriate legal status/supervision case categories;
- To provide an accurate and understandable model that presents the need for community parole officers, based on supervision practices in place at the time the study was conducted.

Theory and National Context of Weighted Workload Assessment

The NCSC has conducted workload assessment studies for many years. These studies aim at assisting states in developing meaningful, easily understood criteria for determining overall resource needs, taking into account both case specific and non-case specific workload factors. In all, the NCSC has conducted more than 70 workload and staffing assessments in the last ten years. The studies have been performed in a variety of contexts, including courts, offender supervision, and statewide assessments as well as county or district-specific assessments. All of these studies are anchored in a "weighted caseload" model that directly measures the variations in time required to manage different case types within the appropriate context.

The NCSC workload studies are grounded in the principle that adequate resources are essential to the effective management of cases, delivering quality service to the public and maintaining public safety.   Meeting these challenges in Colorado involves the objective assessment of the number of CPOs needed to achieve their mission and objectives.

While the average daily population (ADP) on parole -- and generic measures of caseload sizes -- can provide a general guide to determine the demands placed on CPOs, these raw numbers offer only minimal guidance regarding the amount of work generated by these cases. The inability to differentiate the work associated with each type of case could create the misperception that an equal number of cases placed on parole for two different types (e.g., regular parolee and a sex offender parolee, should result in equivalent workloads when it comes to supervision requirements). Rather, cases vary in complexity, and different types of cases require different levels of attention from CPOs. To account for this variation in case types, specific workload values are developed. By weighting these cases in a CPO needs model, a more accurate assessment can

be made of the amount of time required to supervise and manage the caseload, and caseload *can* be translated into manageable workloads.

This report details the methodology used to determine initial workload values for CPOs and presents the workload assessment model for CPO need. It is our intention that the findings from the present study can be used to assist the DOC and the Adult Parole Division in determining the need for CPO resources as well as to determine where those resources could be located to effectively distribute the necessary CPO FTE positions.

Methodology

On June 5, 2014, the NCSC project director met with the Interim Director of Adult Parole[35] to discuss the specific aspects of the design and to clarify the timeline and other relevant details of the study, including the make-up and role of the Advisory Committee. The Advisory Committee included parole representatives from all levels across the four parole regions. The NCSC team first met with the Advisory Committee on June 20, 2014 to determine the measurement components of the current study, including the case types and activities studied. This Advisory Committee provided guidance and oversight during the life of the workload assessment project. Specifically, the Advisory Committee provided advice and commentary on the overall study design, the identification and definition of case types, the duration of the time study, the approach, and reviewed the draft workload values prior to the completion of the project. Some members of the Advisory Committee also assisted in setting up informational and training meetings that helped provide information about the study and training on how to track and record work for inclusion in the time-and-motion study.

The core of the workload assessment model is a time study wherein CPOs kept track of the amount of time they spent on the various case types by activity and on non-case-specific responsibilities such as attending to administrative paperwork, going to meetings and participating in committees and related work. The combination of the case-specific time study data and the average daily population of parolees allows for the creation of workload standards or "individual workload values" for each case type category. The workload values represent the average annual amount of time a CPO is expected to work on each case (in hours) for each case type category per month. By applying the workload values to the ADP, a measure of case-specific workload can be computed. Case-specific workload divided by the amount of time available per

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[35] The Interim Director of Adult Parole was assigned to this role in May, 2014, shortly before the meeting with the NCSC project director.

CPO for case-specific work provides an estimate of CPO resources required to manage the caseload. This approach, which involves few complicated procedures, has been found to be sufficiently rigorous to provide a model for measuring resource demands and evaluating resource allocations. The model is straightforward and the basic methodological steps are listed below. The remainder of this report section describes in detail the steps that were used to build the Colorado community parole officer workload assessment model.

Time-and-Motion Study

The NCSC staff utilized a time-and-motion study to measure the time CPOs spent processing all phases of the case types on which they work. Training on the purpose of the workload study, how to track time and how to record time in the on-line the data collection website was provided to CPOs in both face-to-face and webinar format. Twenty-six training sessions were provided during the week of October 7, 2013. Additionally, written instructions were made available to all CPOs. Finally, the NCSC maintained a Help Desk that was available during working hours Monday through Friday of each week during the time study. CPOs could call or email the Help Desk with questions regarding how to record time or to report errors that needed to be fixed.

During the four-week period of October 14 through November 10, 2013 100% of the 239 CPOs expected to participate in the study entered *some* time during the times study period, indicating a willingness to participate.[36] However, some of these participants did not provide data for the entire study period, so we ended up with *useable* data from 95.4% of CPOs (n=229). The CPO staff recorded their time on a paper time tracking form, and then transferred this information to a secure web-based data entry program maintained by the NCSC. Once submitted, the data were automatically entered into NCSC's secure database.

Data Elements

NCSC project staff met in-person with the Advisory Committee on two occasions: June 20, 2013 and January 16, 2014. At the initial meeting, the Advisory Committee and consultants determined the case type categories and activities to be included in the study, as well as

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[36] One CPO was on FMLA during the training period and through most of the study period, and so was exempted from participation. Other CPOs who were employed during the time-and-motion study no longer work for the division, so the current FTE staff count, not including FAU and Transport Units, is 221.

determine such details as the duration and timing of the study. Once the time study began, participation reports were sent to the Assistant Directors in each of the parole regions to provide ongoing information regarding the level of participation by each CPO.

Case Categories

Selecting the number of case categories and activities to be used in a weighted workload study involves a trade-off between having enough information to ensure the accuracy of the workload standards and minimizing the data collection burden on the participating CPOs. The more case categories and activities that are included in a weighted workload study, the more burdensome it can be to the participants. However, determining the appropriate categories of cases to be weighted is particularly important because the caseload standards must eventually be attached to readily available case data to determine workload. Figure 2 presents the case categories for which workload values were derived[37] (a full explanation of these can be found in Appendix A).

Figure 2: Colorado Parole Weighted Workload Study

Case Categories

Regular parole
ISP – Parole
ISP – Inmate
YOS – Phase 3
Community Corrections
Community Return to Custody Facilities (CRCF)
Gang affiliated parolees
Sex offenders
Mentally ill offenders (OMI)
Compound specialized
Interstate out
Jail (detainer/custody)
Fugitive

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[37] Data were collected for additional categories, such as residence categories; however, data were not available to compute workload values for some of these categories. The data collect are available; however, if parole representatives would like to further analyze some of these impacts on time and workload of CPOs.

Case Specific Activities

Case specific activities include those essential tasks in which CPOs engage that are directly related to supervision and case management. As with the case types, the essential functions were categorized into manageable groups for the time study (a full explanation of the case specific activities can be found in Appendix B).

Figure 3: Case Specific Activities for

Case-Specific Activities for In-State Parolees
Pre-release investigation
Intake activities
In-office case management
In-office face-to-face meetings
Field work
Group facilitation
After-hours field work in (from-officer's home)
After-hours field work out (out of the officer's home)
Responding to violations
Hearings: Application
Hearings: COPD
Hearings: Other administrative
Court activities
Case-Specific Activities for Interstate (Out) Cases
Pre-release investigation
Tracking/monitoring detainees
Reviewing and reporting progress reports
Field reports
Entering earned time
Responding to violations
Revocation hearings: technical violations and new crime
Transfer requests for third-state referrals
Transport referrals

Non-Case Specific Activities

Activities that do not relate to a *specific* case but must be done by CPOs are defined as non-case specific activities. The key distinction between case-related and non-case specific activities is whether the activity can be tied to a specific case. Figure 4 lists the general administrative/other activities measured in this study (an explanation of the non-case specific activities can be found in Appendix C).

Figure 4: Non-Case Specific Activities

General administrative work
Committees, meetings and related work
Community activities
Receiving training
Providing training
Facilitating hearings
Work-related travel
Transporting offenders
Other law enforcement activities
Annual/sick/military/other leave
Time study recording time
Other non-case related activity

Determining Community Parole Officer Availability

In every workload study, three factors contribute to the calculation of resource need: case numbers (ADP), workload values and the community parole officer year value. The relationship of these elements is expressed as follows:

*Workload = Average Daily Population * Workload Values*

Resource Need = Workload ÷ Community Parole Officer Year Value

The community parole officer year value represents the amount of time in a year community parole officers have to complete their work. Arriving at this value entails calculating how many days per year are available for community parole officers to perform work (the *CPO work-year*) and then determining how many business hours each day are available for case-related work as opposed to non-case-related work (the *CPO day*). Multiplying these two measures together results in *the CPO year value*, which is an estimate of the amount of time (in hours) the "average" CPO has to address their casework during the year.

The Community Parole Officer Work-Year

Calculating the "average" CPO work-year requires determining the number of days per year that CPOs have to perform case-related matters. Obtaining this number involved working with the Advisory Committee to deduct time for weekends, holidays, vacation, short-term illness and training days. After deducting these constants from 365 days, it was determined that *CPOs*

in Colorado have, on average, 225 days available each year to supervise cases (Figure 5). Actual CPO leave time and training hour averages for 2013 were used to compute the year value.

Figure 5: Calculating the Community Parole Officer Work-Year

PO Year	Days
Total days per year	**365**
Subtract *non-working Days:*	
Weekends	- 104
Holidays	- 10
Vacation, sick & other leave	- 21[38]
Training	- 5[39]
Total Working Days per Year	**225**

The Community Parole Officer Day

The CPO day is separated into three parts: the amount of time devoted to (1) case-specific (2) non-case-specific activities, and (3) work-related travel. The Colorado CPO needs model is built on a standard probation officer workday of 8 hours per day. The average time allocated for non-case specific activities was determined to be 90 minutes per day,[40] and the average amount of time recorded by CPOs that was associated with work-related travel (.84 hours per day) was computed to be 50 minutes per day). The CPO staffing needs model, presented later in this section incorporates the average travel by office location (presented in Appendix G); the statewide average is presented for this discussion.

The CPO Year-Value

Multiplying the CPO year by the number of hours in a day available for *case-related work* (8 hours minus non-case related time and travel time) yields the amount of time available per year for CPOs to supervise parolees, which is 5.67 hours per day (340 minutes per day).

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[38] The average sick time used within the parole division for FY 2012 was 63.55 hours per CPO; the average vacation leave was 105.56 hours. The combined average of 21.14 days was rounded down to 21 days for modeling purposes.

[39] The Advisory Committee originally indicated that the study should build in the average amount of training in which CPOs engaged during the most recent year (11 days). Executive level decision-makers changed this figure to five days to represent the number of training hours that are required of CPOs (40 hours per year).

[40] Actual data collected during the time study indicated that, on average, all participants reported that 2.31 hours of time per day amount of time associated with non-case-specific activities (2.31 hours per day). When non-case related data were analyzed to only include CPO time (not supervisors or team leaders), non-case related time was reduced to 90 minutes per day.

Figure 6: Average Community Parole Officer Year Value Calculations

Total Hours per Day		8.0
Subtract		
Travel time[41]	-	.83
Other non-case related time	-	1.50
Total Case-Related Hours per Day	-	5.67

Colorado Community Parole Officer Time Study and Workload Values

A time study measures case complexity in terms of the average amount of CPO time actually spent managing different types of cases, from the pre-release investigation to supervision to termination. The essential element in a time study is collecting time data on *all* CPO activities. For this study, CPOs in the Colorado recorded all time spent on various case types on a daily time log and then entered their time on a web-based data collection instrument. CPOs' activities included time spent on case-specific work, non-case specific work, and travel time.

Workload Values

As discussed earlier, time study data was collected from all CPOs statewide during the four-week period of October 14 through November 10, 2013. To calculate preliminary workload values, the average amount of CPO time required to handle a particular case for a year, the four-week time data was annualized and divided by the average number of cases in each case type for 2013.

The workload values by case category provide a picture of *current CPO practice in Colorado*.[42] For example, as shown in Figure 7, CPOs in Colorado recorded the annual value of 3,975,110 minutes associated with regular parole cases. To develop the workload value, we divided the annual time by twelve to get an even monthly value, then divided the monthly minutes by the average daily number of regular parolees on supervision (ADP) in the state (3,975,110 minutes/3,490 cases). The resultant workload value of 95 minutes (1.58 hours) means that, on average, it takes a CPO 1.58 hours per month to supervise non-specialized parolees in Colorado. By aggregating all of the time recorded for each case type and dividing that time by the

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[41] The average travel time is provided in this table, but the actual average travel time for each region will be included in the regional model to determine staffing needs.

[42] The workload values are empirically developed numbers based on the actual work undertaken and recorded by study participants and accounting for the ADP of offenders in each case type population. If case processing activities change, workload values should be adjusted accordingly. The best method to accomplish changes, however, would be to engage in a new time-and-motion study after supervision practices have changed and are adhered to as standard operating procedure.

total average monthly number of cases, we are able to smooth the anomalies across the case type to incorporate both the unusually difficult cases and the unusually simple cases into the average. For parole weighted workload studies, it is easier to think of the time associated with supervision cases as monthly workload values.

Figure 7: Example of Case Weight Calculation for Regular Parole Supervision

Annualized Minutes Recorded for Regular Parole Supervision		Divide by 12 to Obtain Monthly Minutes for Regular Parole Supervision	Average Regular Parole Supervision		Monthly Workload Value
3,975,110	÷ 12 =	331,259	3,490	=	95 minutes/case

The utility of a weighted caseload system is now easy to illustrate. Consider the distribution of the average daily population of parolees shown in Figure 8. While the *number* of gang-affiliated parolees on supervision (n=1,673) and the *number* of mentally-ill cases on supervision (n=1,763) are similar, the workload values for these two case types are significantly different (gang-affiliated cases take 1.86 hours per case per month compared to supervision of a mentally-ill parolee, which takes an average of 4.27 hours per case per month).[43] Therefore, the monthly workload associated with the gang-affiliated cases (1,673 cases * 1.86 hours = 3,112 hours) is less than half of the workload associated with the supervision of the mentally ill parolees (1,763 cases * 4.27 hours = 7,528 hours). Because of the difference in the workload values, more time is required for the mentally-ill cases than for the supervision of gang-affiliated cases. Clearly, caseload is not the same thing as workload. Caseload standards represent the average number of cases a full-time CPO could carry if their caseloads were limited to only one case category. While most CPOs carry mixed caseloads, the caseload standard helps to understand how the workload values combine in a mixed caseload to fill an officer's time. Figure 9 presents a table that includes both the workload values and caseload standards for Colorado parole case categories.

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[43] The OMIs (offenders with major mental illness) were identified as a P-code of 3-5 with a qualifier of C(chronic), M(major), or O(organic). This definition was provided by a DOC researcher in the Office of Policy Analysis.

It must be noted that, although data were collected for fugitive cases and transporting parolees, workload values for these case categories could not be accurately computed. Four CPOs in the Transport Unit dedicate their work time to transporting parolees back from locations outside of Colorado. They work full time on this activity and time for their work was captured, though not included in this analysis. As for the Fugitive Apprehension Unit (FAU), they are also a unit of CPOs dedicated to investigating, tracking and apprehending fugitives. Since the ten members of this unit are dedicated only to this activity a workload value for this activity also was not computed.

Figure 8: Average Daily Population of Colorado Parolees[44]

Case Category[45]	Average Daily Population
Regular parole	3,490
ISP – Parole	224
ISP – Inmate	271
YOS – Phase 3	43
Community Corrections	773
Community Return to Custody Facilities (CRCF)	129
Gang affiliated parolees	1,673
Sex offenders	644
Mentally ill offenders (OMI)	1,763
Compound specialized	1,018
Interstate out	2,021
Jail (detainer/custody)	1,012
Total	13,061

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[44] The monthly population and capacity reports for 12 months (November 30, 2012 through October 31, 2013) were obtained from the Colorado Department of Corrections website (http://www.doc.state.co.us/opa-publications/96). These reports provided the end of month counts for those 12 months for the specific population breakdowns in parole, ISP parole, ISP inmate, community corrections, return to custody, interstate parole out of state, fugitives, absconders, jail populations and YOS phase III. The parole and ISP parole populations were also provided by region and office. The average population was calculated for the 12-month period for each of the population categories by region and office. The CWISE case management data from January 18, 2014 was used to determine the ADPs for the specialized populations of gang-affiliated, sex offenders, mentally ill and compound specialized cases. These case types were estimated based on the ratio of parolees with these programming needs in CWISE, the applied the ADP.

[45] The ADP also includes 885 fugitives, who are not included in this table because workload values were not computed for this population.

Figure 9: Colorado Community Parole Officer Workload Values and Caseload Standards

Case Category	Monthly Workload Value (hours)	Caseload Standards
Regular parole	1.58	59
ISP – Parole	3.07	30
ISP – Inmate	2.68	35
YOS – Phase 3	8.24	11
Community Corrections	1.59	59
Community Return to Custody Facilities (CRCF)	1.00	93
Gang affiliated parolees	1.86	50
Sex offenders	4.90	19
Mentally ill offenders (OMI)	4.27	22
Compound specialized	3.79	25
Interstate out	.25	380
Jail (detainer/custody)	1.88	50

Appendix E provides a breakdown of the time associated with the activities for each workload value. This information can be used to estimate the impact of potential policy changes being considered by the Adult Parole Division. For example, the workload value for Regular Parole – including all levels of risk -- is 95 minutes per month. Of that, 25.31 minutes account for face-to-face in-office meetings and slightly more than 35 minutes is associated with in office case-management, such as documenting what occurred during the in-office meeting. If we assume that, on average, parolees are seen twice per month in the office, then that suggests that each office visit lasts slightly more than 12.5 minutes in duration. It would be reasonable to assume that, if one additional contact was required, then the workload value would increase by 12.5 minutes plus a portion, perhaps 20% of the in-office case management time (7 minutes). It is likely then, that such a policy change would increase the workload value by 19.5 minutes from 95 minutes per month to approximately 114.5 minutes per month.

Quantitative Assessment of CWISE Case Management System Assessment

To further inform the workload assessment study and the workload values, the parole division's case management data system was analyzed and information related to task values was evaluated and used to further inform the data collected during the time study to develop a full picture of workload values for CPOs.

The Colorado Web-Based Integrated Support Environment (CWISE) is the electronic case management information system used by the Division of Adult Parole. DOC employees, service providers and call center operators enter and retrieve information from the system in real time via web interface. Additionally, CWISE is a 24/7 call center providing a means for offenders, law enforcement and the general public to connect with a CPO or on-call supervisor 24/7/365. All activities and tasks related to the supervision of an offender are captured in this case management system. Approved Treatment Providers (ATP) in the community have access to enter, retrieve and document services provided to offenders and participate in the automated billing process. CWISE interfaces with the Department of Corrections Information System (DCIS and PCDCIS) to provide easy access to information obtained during and prior to incarceration. Systems are in place for interaction with law enforcement as well as electronic monitoring functions.

The information obtained through CWISE provided an in-depth analysis of the activities and tasks directly associated with offender supervision. The CWISE analysis is intended to support and augment the findings of the CPO time study, validating the supervision activities are actually performed.

CWISE access was also useful for the case file review phase of the project (discussed below). The random samples were obtained through CWISE and the file review process included analysis of the CWISE records for each case reviewed. Adherence to contact standards, timely completion of assessments and CWISE chronological records were reviewed during the review.

CWISE queries and reports assisted in the ADP calculations and time study analysis when additional population breakdowns were needed. Specialized population counts were obtained through CWISE for gang affiliation, sex offender identification, offenders with mental illness, and compound specialized population.

CWISE Review Process

The Request for Documented Quotes, soliciting proposals for the current project, required that CWISE data analysis be a part of the time and workload study. To this end, NCSC staff were provided access to CWISE via written agreement. The request for a large data extraction of relevant data items was developed after reviewing the data architecture and table structures. The extraction consisted of key data elements for all offenders under active supervision during any time between April 1, 2013 and June 30, 2013 (3 months). Categories of

data included contacts, assessments, program and status changes, gang association, sex offender identification, parole classification levels, employment, treatment, and needs levels. The data allowed us to determine the degree to which the events in these categories were recorded; however, this analysis does not allow for the analysis of the quality of interactions.

These large data files required preparation and manipulation to organize the data into meaningful and useful information. The data pool included 14,462 unique offenders with multiple program and status changes during the 3-month timeframe. Programs, for purposes of this section, include regular parole, ISP parole, ISP inmate status, residential community corrections, return to custody (CRCF) and YOS Phase 3. Statuses, as used in this section, include active (under supervision), arrested (in jail), and detainer (in jail).

CWISE Review Results

CWISE standardized reports provide useful tools to division management and supervisors for managing caseloads, monitoring offender activity, and officer compliance and accountability. CPOs, service providers and call center operators enter vast amounts of data timely and efficiently. Chronological records provide extensive detailed information on the daily supervision and activity associated with each offender.

Figure 10 presents a summary of key offender activities conducted during the timeframe reviewed (April 1 through June 30, 2013) and an estimated annualized count of these activities. It is important to note that this analysis can only describe the frequency of certain events, and cannot draw conclusions about the quality of content of work engaged in. The data in Figure 10 support the workload study findings in terms of the kinds of activities that CPOs recorded engaging in during the study period. Additionally, they support the *volume* of activities in which officers reported engaging, both in the time study and in the focus groups. The data in Figure 10 do not include entries made by other providers such as re-entry specialists.

Figure 10: Number of Quarterly and Annual Events Recorded by CPOs in CWISE

Number		Annualized
2,844	Initial Offender FTF Contacts	11,376
44,959	Offender FTF Contacts	179,836
10,672	Collateral FTF Contacts	42,688
10,144	Offender Phone Contacts	40,576
10,328	Collateral Phone Contacts	41,312
14,655	Employment Verifications	58,620
5,493	ATP Mental Health Referrals	21,972
9,717	CVDMPs Administered	38,868
5,294	Assessments Administered	21,176

ANNUALIZED

The CWISE data analysis findings were presented to the Advisory Committee to consider in their assessment and evaluation of the initial workload values. The CWISE analysis also allowed the NCSC team to determine the degree to which current supervision standards are being met. Of course, this analysis can only provide the frequency with which these activities occur, but do not provide insight into the level of quality associated with any of the contacts.

Qualitative Assessment of Case Management Activities

As discussed previously, community supervision of offenders in the 21st century is grounded in the use and application of evidence-based practices (EBPs). According to the *2013-2014 Colorado Department of Corrections Strategic Plan* (dated January 2013), six specific initiatives are identified as strategies undertaken to "improve offender outcomes." *Key Performance Indicator #8: Parole Supervision Outcomes* states "[W]hile these initiatives are in various stages of implementation, the overall goal of implementing evidence-based practice is an organizational process that is never ending (P. 15)." In an attempt to determine the degree to which current CPO practices adhere to EBPs, the NCSC team conducted a series of case-file reviews in each of the four parole regions and across all case types. Information collected through the file review was used to support and validate the findings of the time study. The hard-copy case files were reviewed in combination with CWISE data

Case File Review Preparation Phase

A data collection form was developed to evaluate each case file on several factors. While the factors assessed do not necessarily track with the evidence-based practices described previously

in this report, our review was limited to the availability of data routinely maintained in case files. To this end, we reviewed those data elements that most closely adhere to evidence-based practices. The scope of this case file review did not extend to validating the actual assessments and supervision plans or measuring the quality of the workmanship. An in-depth study would be necessary to fully evaluate these areas.

- *Initial Office Visits (IOVs):* Files were reviewed to determine if IOVs were conducted in a timely manner and consistent with Department policy.

- *Risk Assessments*: The Level of Supervision Inventory (LSI) is a risk/needs instrument used to measure the needs of an offender and assess the level of supervision of the parolee.

- *Behavioral Supervision Plans*: Supervision plans as mandated by policy are intended to prioritize immediate and long-term goals as established with the offender and CPO. The highest criminogenic needs identified through the LSI should be addressed in the supervision plan. The supervision plans were reviewed to determine compliance with policy for timeliness, completeness, and addressing the needs as identified in the corresponding LSI.

- *Treatment Referrals and Participation:* Referrals for treatment regarding offender-specific problem areas include drugs, alcohol, mental health, medical, sex offender, anger management, family counseling, and parenting. Files were reviewed for timely referrals and monitoring of program participation and compliance.

- *Employment:* Employment verifications were checked for compliance with Department policy and reviewed for consistency and completeness. Reviews extended to job search assistance and referrals for cases involving unemployed as well as disability claim assistance and referrals when appropriate.

- *Violations and Sanctions:* Parole violations, sanctions and follow-up monitoring were analyzed. CVDMP records were reviewed for consistency and completeness.

- *Documentation:* CWISE chronological records and paper files were assessed for timeliness of entry, completeness and clarity.

- *Contact Standards:* Face-to-face home and office visits were generally reviewed for compliance with DOC policy standards, assessing timeliness and compliance.

NCSC staff members reviewed files in the Fort Collins parole office on December 10, 2013, Colorado Springs office on December 11, 2013, Lincoln (Denver) office on December 18, 2013,

and Grand Junction office on January 8, 2014. These offices were selected to ensure one office was visited per region.

File Sample and Retrieval:

A random sample of 30 cases per parole office (35 cases for the Lincoln office) was pulled using CWISE access by NCSC staff. Each sample was pulled within two days of the scheduled site visit to ensure current active cases would be reviewed. Parole office staff received the lists and collected the files prior to NCSC staff arrival. A total of ninety-one cases were reviewed; 17 cases in Fort Collins, 28 in Lincoln (Denver), 24 in Colorado Springs, and 22 in Grand Junction.

Case File Review Results

Figure 11 presents a graphic display of the case file review results, which are further described below.

Figure 11: Case File Review Findings

- 100% of IOV's were completed in a timely manner and consistent with policy standards.
- LSI's were completed and updated according to policy in 89% of the cases. 10% of the cases were partially compliant, either missing the date frames for some assessments or missing one or more assessments.
- Behavioral supervision plans were completed and updated consistently in 76% of the cases and deemed partially compliant for 13% of the cases. No supervision plans were found in 11% of the cases.

- Behavioral supervision plans generally addressed the needs identified through the LSI in 83% of the cases. 13% of the cases partially addressed the needs and 5% of the cases had supervision plans, which did not address needs.

- Treatment needs were addressed through referrals and program participation monitoring in 100% of the cases reviewed where appropriate. UA testing and monitoring of results with follow-up referrals were to be compliant and complete.

- 71% of the cases had one or more documented violations. CVDMP's were conducted in 97% of these cases with sanctions ordered. Sanctions were followed up 98% of the time.

- CWISE chronological entries were reviewed and found complete, easy to read and understandable in 99% of the cases.

- Employment verifications, job search assistance or referrals were completed and compliant with policy in 94% of the cases and partially compliant in 5%. Documentation was found to indicate referrals and job search assistance were provided in nearly all cases for unemployed offenders, as well as disability claim assistance where needed.

- Face-to-face office visits were compliant with contact standards in 98% of the cases and face-to-face home visits were rated compliant 94% and partially compliant for 3% of the cases.

In summary, the case file review findings indicate standards and policies, which are based on evidence-based practices are consistently adhered to. Expected tasks were consistently performed with very few exceptions. IOVs, treatment referrals and program participation monitoring were all considered fully compliant with policy standards. CVDMPs were utilized 97% of the time, in those cases where a violation was found, with sanctions imposed and follow-up monitoring documented when appropriate. Although LSIs and supervision plans were not found in all cases, 99% of the cases had at least one completed LSI and supervision plan. CWISE entries into the chronological record were consistent with signed documents in the case files and provided written narrative when needed. These automated transactions provided an excellent record of the tasks, activities and actions taken by the CPO for each case, and most specifically when the case involved violations.

The case file review data supports those evidence-based practices that are measurable, but such a review cannot get at the additional important aspects of evidence-based practices concerning the nature of interactions between CPOs and parolees. That information is briefly discussed in the focus group narrative of this report in a limited fashion.

Qualitative Assessment of Workload Values: Focus Groups with CPOs

Eight focus groups were held with 91 CPOs in each of the four regions of the state during the months of December 2013 and January 2014.[46] The overall purpose of the focus groups was to obtain feedback on the data collection process, initial workload values and other information related to CPO workload, including their ability to meet – or not meet – current supervision standards and adhere to parole policies as well as to gauge the degree to which the data collection period was representative of a typical 4-week period of their work. The data obtained from the focus groups was synthesized and presented to the Advisory Committee to consider in their assessment and evaluation of the initial workload values. Figure 11 provides a summary of when and where the focus group sessions were held along with the average and ranges of parole experience.

Figure 12: Focus Group Participant Summary

Parole Office Location	Date	Time	Number of Participants	Average Years of Service	Range of Years of Service	Office Locations Represented
						Lincoln
Lincoln	12.9.13	8:30 – 10:00	10	8.2	5 – 17	Englewood
Lincoln	12.9.13	11:00 – 12:30	12	10.4	5 – 15	Sherman
Lincoln	12.9.13	2:00 – 3:30	11	10.1	.4 – 24	Interstate
						Westminster
Ft. Collins	12.10.13	10:00 – 11:30	12	11.9	5 – 24	Longmont
Ft. Collins	12.10.13	1:00 – 2:30	7	10.5	.4 – 24	Ft. Collins
						Greeley
Co. Springs	12.11.13	10:00 – 11:30	10	9.2	3 – 19	Co. Springs
Co. Springs	12.11.13	1:00 – 2:30	20	7.4	.5 – 27	Pueblo
						Grand Junction
Grand Junction	1.8.14	10:00 – 12:00	9	11.8	1 - 35	Craig

Focus Group Structure

Each focus group session was structured and conducted in the same manner. The participants were asked to respond to the four bulleted topics listed below. Participants were advised that their comments would be documented; however, their comments would be

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[46] It is important to note that Colorado parole was in the news media for several days in a row a few weeks prior to the time-and-motion data collection period. The media coverage raised concerns and questions about the quality of supervision provided by CSOs. Some of the comments made during the focus group sessions likely reflect the scrutiny of review and the criticisms aimed at the CPOs.

anonymous. Each session lasted 90 minutes except the Grand Junction session, which lasted two hours. Each group was asked questions about the following issues:

- Nature of the data collection period;
- Basic study findings: participation rates, workload values, and travel ;
- Adequacy of time to attend to expected case management duties;
- Ability to meet statutory and other requirements.

A summary of the responses received from the participating community parole officers is reported for each of the above issues.

Nature of the Data Collection Period

Community parole officers were asked if the data collection period was normal and customary in terms of the kind of work they perform and the volume of their work. The overall sentiment was that the data collection period (October 14 through November 10, 2013) was normal. Several CPOs reported frustration in making sure they accounted for all their time, but agreed that, for the most part, time was recorded in the proper categories, and little time was *lost*. Overall, it was agreed that there were no data collection concerns that would diminish confidence in the data or data collection period.

Basic Study Findings: Participation Rates, Workload Values, and Travel

Participation and Relative Workload Values

Focus group participants were informed of the time study participation rates. They were commended for high participation rate and informed that participation rates of this nature instill confidence in the data presented during the focus groups.

Preliminary workload values were derived from the time study data and listed in order of lowest to highest (in minutes) for CPOs to comment on their relative order, i.e. *should the average time CPOs spend on Jail (detained/custody) cases roughly equate to the average time CPOs spend supervising a Regular Parole High Risk case as shown in the data*?

The focus group participants examined the relative values and current practices as measured by the time study, and concluded that the relative workload values did follow the logic of how much time CPOs spend on the identified case categories.

Average Daily Travel

The work-related travel time reported by CPOs during the time study were averaged for each region and presented to the focus group participants for comment.   Along the front range office locations, focus group participants thought the data looked accurate, but CPOs indicated that a more accurate reflection of travel time would be at the office location level, given significant variation in travel requirements within regions.[47] However, focus group participants in the western slope area indicated that travel times appeared lower than expected. Further discussion revealed that due to technology difficulties during the training process for western slope CPOs, instructions of how and what to capture for travel was not effectively communicated. Additional anecdotal experiences were discussed which further called into question the average travel value for the western slope region. Therefore, NCSC staff concluded that it is highly probable that the travel time for the western slope region is under-reported. All other regional travel data was accepted as reported.

Adequacy of Time

The preliminary workload values derived from the time study represent "what is," not "what ought to be." Accordingly, the preliminary workload values may not capture the time that may be necessary for CPOs to perform essential tasks and functions effectively. The focus groups examined current practice as measured by the time study, and personal experiences to make recommendations to the Advisory Committee. To gain insight into the qualitative nature of the work performed by CPOs and the work environment in which they operate focus group participants were asked the following questions:

- *In your current workday, without requiring overtime, do you feel that you have an adequate amount of time to get all of your work done to your satisfactio*n?

- *Are there statutory - or other required tasks - that are either not getting done or are not producing the desired result?*

These questions gave CPOs in the focus groups the opportunity to define how they feel about their work environment and the effectiveness of the rules and regulations in which they operate. The themes of information derived from these discussions are presented below.

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[47] Travel data were computed by the office location and this information was presented to the Advisory Committee in January.

Overwhelmingly, focus group participants reported that they do not have enough time to adequately perform their duties. Although they are technically in compliance with contact standards and other rules and regulations reflected in the file review (discussed above), focus group participants reported that focusing on the job tasks that get measured, such as completing paper work, data entry, supervision plans, risk assessments and writing up violations – all tasks by which their job performance is measured -- comes at the expense of spending the quality time needed to provide the level of supervision they believe is necessary. Additionally, focus group participants reported that several redundancies in terms of required paperwork, processes and the use of three separate case management systems (PCDCIS, DCIS and CWISE) combine to reduce available time to supervise parolees effectively.[48]

CPOs also indicated that they feel overburdened by policies that restrict officer's ability to do their jobs effectively. Some officers report that *regular* working hours are limited (from 7:00 am to 6:00 pm); however, flexible hours can be authorized when prior approval is sought. Limitations on CPO's working hours makes it difficult to balance competing priorities, such as attending parole board, jail and other hearings and making field visits to parolee's homes. Many officers indicated that priorities shift frequently, which makes it difficult to provide consistent supervision. One officer stated "it's hard to do quality work when we are in reactive mode – always putting out fires." Several officers indicated that, because of competing priorities, they schedule up to 30 office visits in one day, which clearly limits the ability to have a meaningful conversation about important issues like treatment progress, medication needs, housing concerns and other issues relating to criminogenic risks and needs. Similar limitations exist regarding the ability to engage in meaningful home visits. One officer had this to say about home visits when regularly conducted:

> *"Being in the field helps you understand what is amiss, and that keeps people efficient. Seeing people in the office creates more problems. Being in the field allows you to mitigate issues more quickly than seeing someone once per month in the office. If you are never in the field, and you find the offender is not living where he says he is and problems occur – this is the responsibility of the CPO."*

Summary of Focus Group Findings

Aside from the recommendation to increase the travel time for the western slope and to generate average travel time for the individual office locations, the focus group participants

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[48] At the beginning of February, parole is moving to a paperless system. In the short-term, this transition is likely to increase work as officers will be required to scan some paper documents into the automated system. Over time, the paperless system should reduce time by some degree.

affirmed the workload values that were derived from the time study. In some cases, they thought the workload values might be somewhat low, though no concrete reasons were provided to defend an increase. The liveliest conversations that occurred during the focus group sessions concerned problems with the quality of supervision due to a focus on adhering to parole processes at the expense of the quality of supervision.

Qualitative Adjustment Process

NCSC consultants met with the Advisory Committee on January 16, 2104 to review and discuss all of the elements of the workload assessment study. The Committee discussed the workload study findings from each of the components of the study (policy review, time-and-motion study, CWISE analysis, case file review and focus group sessions) and considered whether to make quality adjustments to any of the workload values based on the qualitative study factors. After carefully considering all of the data, the Committee agreed to leave all of the workload values as derived from the study. Even though officers raised concerns about not being able to supervise parolees to the degree of quality they would like, the Committee reasoned that, given adequate staffing based upon the workload values resulting from the current study, officers would have the ability to supervise cases in a more satisfactory fashion. Adjustments, concerning average travel times for two office locations were made. Average travel time recorded by participants in Grand Junction (43 minutes per day per CPO) and Craig (37.68 minutes per day per CPO) were determined to be lower than expected, which was also confirmed by focus group participants. Additionally, focus group participants indicated that, due to technical problems during the webinar training session for Grand Junction/Craig, the rules concerning how to record travel time were unclear. The Advisory Committee members agreed that the travel requirements of these two office locations were similar to those in Sterling, Durango, Canon City and La Junta; therefore, an average travel time for those for office locations was computed (62.69 minutes per day per CPO) and applied to the Craig and Grand Junction office locations.

Community Parole Officer Needs Assessment Model

Once all of the elements of the needs model have been developed (e.g., the CPO year value and the case weights have been established, the calculation of CPOs needed to manage the workload of the Colorado parole system is completed. Community parole officer case related demand is calculated by dividing the CPO workload (the annual number of hours of work required based on the ADP and workload values) by the CPO year value. Finally, we subtract the average

annual time required for non-case specific work and work-related travel from the CPO's annual work time availability. The resulting number represents the CPO case-related full time equivalents (FTE) needed to manage the work of the parole system in Colorado. Figure 13 displays the steps taken to compute CPO demand.

Figure 13: Calculation of Community Parole Officer FTE Needs

Step 1	For Each Case Category: *Workload Value x ADP = Workload (by office location)*
Step 2	For Each Parole Region/Office Location: *Divide the total workload by the COP year value (case related minutes) to obtain CPO resource needs*
Step 3	For Each Parole Region/Office Location: *Subtract the non-case specific and work related travel time from the CPO annual work time availability*

Applying the annual workload values to the average daily population of cases in each category along with the time requirements associated with non-case specific work and travel produces the overall CPO case-related workload for each parole region (staffing needs models for each of the office locations, by region are located in Appendix G).

Based on the ADP of cases on parole calculated for this study, the CPO workload assessment model indicates that a total of 273.34 CPO FTEs are needed to fully staff the four parole regions and the interstate office. This represents and increase of 52.34 over the current 221 CPOs currently allocated to active supervision caseloads (the 10 FAU CPOs and 4 Transport Unit CPOs are excluded from the total CPO workforce figure). The model does not compute staffing needs for either the Fugitive Apprehension Unit (FAU) or the Transport Unit, for reasons described earlier in this report in the *Workload Values* section. Both units are specifically staffed to engage in certain duties and workload values could not be derived for their work.

Figure 14: Colorado Regional Community Parole Officer
Resource Needs Model – When Applying Travel Time by Region

	Monthly WLV (hours)	Montly WLV (minutes)	Annual WLV (minutes)	Region I	Region II	Region III	Region IV	Statewide Total
Regular Parole	1.58	94.92	1,139	1,039	759	803	889	3,490
ISP - P	3.07	184.33	2,212	42	38	65	79	224
ISP - I	2.68	160.92	1,931	51	72	61	87	271
YOS - Phase 3	8.24	494.42	5,933	14	16	1	12	43
CRCF	1.00	60.17	722	49	12	12	56	129
Community Corrections Inmate	1.59	95.33	1,144	240	181	165	187	773
Gang	1.86	111.50	1,338	482	591	237	363	1,673
Sex Offender	4.90	294.25	3,531	229	14	242	159	644
OMI	4.27	256.25	3,075	516	405	394	448	1,763
Compound Specialized	3.79	227.50	2,730	319	234	231	234	1,018
Interstate Out	0.25	14.75	177			2,021		2,021
Jail (detainer/custody)	1.88	112.58	1,351	247	287	218	260	1,012
Total ADP				3,228	2,609	4,450	2,774	13,061
Case Specific Work (WLV x ADP)				6,012,588	4,510,369	5,045,568	5,095,675	20,664,200
CPO Annual Availability: 225 days				108,000	108,000	108,000	108,000	108,000
- Annulized work related travel per CPO				12,150	12,150	12,150	12,150	12,150
- Annualized non-case specific time (90 minutes/day)				20,250	20,250	20,250	20,250	20,250
Availability for Case Specific Work				75,600	75,600	75,600	75,600	75,600
Region FTE (CPOs and Team Leaders, including vacancies)				64	45	57	55	221
Staffing Demand (FTE)				79.53	59.66	66.74	67.40	273.34
Staffing Deficit (FTE)				15.53	14.66	9.74	12.40	52.34

* Staffing needs for Transport and Fugitive Apprehension Units were not computed.

The staffing need decreased slightly to 51.09 statewide when local travel time averages are applied by office location, rather than applying the regional travel average times. As shown in Figure 15, the staffing needs vary slightly when computing needs in this manner (see Appendix G for the regional models).

Figure 15: Colorado Regional Community Parole Officer
Resource Needs Model – When Applying Travel Time by Office Location

Region	Current Staff (FTE)	Staff Demand (FTE)	Staff Deficit (FTE)
Region I	64	78.72	14.72
Region II	45	59.70	14.70
Region III	57	66.08	9.08
Region IV	55	67.59	12.59
Total	221	272.09	51.09

SECTION 3: Pulling it All Together – Summary and Discussion of Key Findings and Recommendations for the Future

The Colorado Division of Adult Parole works to manage offenders transitioning to the community through an array of supervision strategies, interventions, and services that promote successful outcomes.

The Community Parole Officers in Colorado work hard and, as a group, are dedicated to doing their best to uphold the mission and vision of the parole division. As indicated by the case file review, officers are typically compliant with important supervision policies, such as conducting assessments, developing case plans ad meeting with parolees. On the other hand, feedback from focus group participants clearly indicated that CPOs feel that they currently do not have adequate time to engage in quality supervision activities.[49] CPOs specifically indicated that they do not have enough time engage in the key evidence-based strategies that have been found to decrease recidivism, such as building meaningful relationships with parolees or engaging in strategies to motivate parolees to make positive and pro-social changes in their lives.

The workload assessment component of this study *indicates the need for 52.34 CPOs in addition to the 221 CPOs* (this does not include the 14 CPOs assigned to the Fugitive Apprehension and Transport Units) currently allocated to the parole division. The need model represents the number of CPOs that would be needed to manage the current population of parolees and engaging in current practices. These workload values are grounded in current practices (as measured by the time study), and were reviewed for face validity by the focus group participants and the members of the study's Advisory Committee.   It is important to note that any changes that are made to current practices could result in an increased – or decreased – need in staffing.

As with all of our workload studies, the NCSC recommends that the weighted caseload model presented in this report be the _starting_ _point_ for determining need in each parole region across the state. There are some considerations that an objective weighted workload model cannot account for that should be taken into account when determining judicial staffing levels needs.   For example, access to treatment and other services vary by location, offender transportation requirements vary by location, as do jail beds, mental health services, job opportunities and other important factors that CPOs rely on to do their jobs. Additionally, organizational issues, such as support resources at individual office locations must be considered,

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[49] The concern that CPOs do not adequately consider criminogenic needs or develop appropriate case plans was found in the NIC Technical Assistance Report #13C1052, page 13 item number 5.

as they can add to or subtract from CPO's time to supervise cases. Qualitative issues such as these must be considered in addition to the numbers-based needs model.

Recommendations

The following recommendations resulting from the time study, case file review and CWISE data review and the focus group components of this study.

Recommendation #1

The NCSC recommends updating the CPO need on an annual basis using the most recent ADP figures for each of the case categories and regions/local offices. Calculating staffing needs on an annual basis necessitates that cases be accurately accounted for in a manner consistent with that used in this study.

Recommendation #2

Over time, the integrity of the case weights is affected by multiple influences, including but not limited to, changes in legislation, technology and administrative factors. Periodic updating should continue to ensure that the workload values continue to accurately represent the CPO workload.

Recommendation #3

The parole division should make use of the workload value detail contained in Appendix E when considering policy changes that will impact CPO workloads. Appendix E contains detail on how the activities CPOs engage in combine to make up the workload values. This information would be instrumental in determining how workload values would be impacted by policy or other kinds of changes. For example, if the division were to consider increasing the number of contact standards for CPOs, the workload would also increase significantly. Increasing contact standards would result in a significant increase in workload values, which would translate into a significant need in CPOs.

Recommendation #4

The parole division should review the kinds of activities in which CPOs routinely engage that could be eliminated.[50] CPOs should be included in conducting this review. These reductions could be quantified and the needs model could be adjusted to reflect those changes, using the

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[50] This recommendation was also made in the NIC Technical Assistance Report 13C1052 on page 13, item number 6.

Inside the Numbers data contained in Appendix E (discussed in recommendation #3). Any increase in time availability should be dedicated to engaging in evidence-based practice activities.

Focus group participants raised concerns that CPOs engage in a number of practices that do not relate to successful outcomes, such as time-consuming paper and other documentation strategies. Focus group participants overwhelmingly indicated that a reduction in redundancies would be extremely helpful in freeing up time to improve the quality of supervision of parolees. The time study data indicate that officers spend 2.31 hours per day devoted to non-case specific activities, including some of these redundancies. It is likely that staffing needs could be decreased if time dedicated to non-case related activities could be reduced. 3 case management systems increase the busy work of CPOs.

Recommendation #5

The parole division currently uses the LSI and other specialized risk/needs assessment instruments. The parole division should use these tools to supervise parolees according to their level of risk and they should develop case management plans that reflect the criminogenic needs that should be addressed to reduce recidivism. The highest level of resources should be applied to those parolees who pose the greatest risk of recidivism and have the higher criminogenic needs.[51]

To be effective at reducing offender risk and changing offender behaviors, the use of a needs assessment instrument is critical. Each parolee has his or her own combination of risk and strengths that must be assessed and used to develop a case plan that is directed at risk reduction.

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[51] This recommendation was also made in the NIC Technical Assistance Report 13C1052 on page 14, item number 7.

Appendices

Appendix A: Case Categories Included in CPO Final Needs Model

Regular Parole – Any parolee placed on non-specialized regular parole, includes all risk levels.

ISP Parole - Any *parolee* supervised within the Intensive Supervision program

ISP Inmate - Any *inmate* supervised in the community under Intensive Supervision program.

YOS Phase 3 - The community supervision phase of a YOS sentence.

Community Return to Custody Facility (CRCF) - Technical parole violators currently residing in contract facilities in lieu of a return to prison (CRS 1-2-103)

Community Corrections Inmate - Any *inmate* who is currently housed in a community corrections facility.

Gang Affiliated - Any parolee for whom gang participation/relationships is a significant supervision issue.

Sex Offender - Any parolee who requires supervision and/or community treatment regarding sex offending issues, includes sex offenders on lifetime supervision and those identified as sexually violent predators.

OMI - Any parolee who has significant mental illness problems designated with a P-code 3-5 and with an C, M or O qualifier.

Compound Specialized – Any parolee for whom two or more specialized conditions (gang affiliation, sex offender, mentally ill) are being addressed in supervision.

Interstate Out - Any Colorado offender who is being supervised in another state under the interstate compact agreement

Jail (detainer/custody) - Any parolee who is currently placed in jail on either detainer or custody status.

Appendix B: Case Specific Activities
Activities for In-State Cases

PRE-RELEASE INVESTIGATION ACTIVITIES

All events associated with a pre-release investigation, including phone calls, home investigations, chrons, entering parole plans, PPI paperwork, phone/email contact with case managers, case staffing with team leader or supervisor, running offender/sponsor on NCIC , contacts with re-entry or treatment providers prior to offender being released.

INTAKE ACTIVITIES (NEW CASE)

All new case activities, including case review of ADS/DNS, parole order and alert codes, preparing IOV/ISP intake packets, reviewing paperwork with offender, completing referrals to ATP's for needed services, referral to CRE for assistance, entry of MPO's and DEC information, scheduling restitution payments, referral for EHM equipment, verifying DCIS move is correct, updating address, update ID information and ensuring all occupants have been cleared in CCIS/NCIC, updating curfew schedule; chron entry.

IN-OFFICE CASE MANAGEMENT ACTIVITIES

Includes all case management activities that occur inside the office, such as phone calls, collateral contacts, communication with treatment providers or other professionals, chron entries, etc.

IN-OFFICE FACE-TO-FACE MEETINGS WITH OFFENDER

Includes in-office time spent with the offender only.

FIELD WORK

Case related activities that occur in the field (out of the office). Examples: Field visits to residences, surveillance, employment visits, searches, or any other case-related work conducted in the field (to include team meetings and staffings that are off-site). Field work also includes Fugitive Apprehension and responding to Tamper Alerts. Field attempts and collateral contacts outside of the office would also constitute field work.

GROUP FACILITATION

When an officer helps to facilitate a cognitive skills group for offenders. Examples of this are Teaching the T4C (Thinking 4 change), cognitive and decision groups; facilitating and attending in support of Gang or Sex Offender Groups, for example "Flippin the Script."

AFTER HOURS CALL-OUTS

After hours call out activities include any non-routine contacts/ATLs/CTCs/PTCs regarding an offender. Can be identified as activities for which you utilize a Q code - any activities occurring outside business hours M-F 8a-5p, holidays and weekends. This does **not** include scheduled/planned PHVs/PEVs that fall outside of normal business hours, it **does** include situations in which you are activated by EMRT, SRU, CWISE for after hours calls, or receive LLE/offender calls directly to Blackberry, etc.

RESPONDING TO VIOLATIONS (COPD AND OTHER)

Responding to violations includes all activities associated your response to a violation once it has been identified, including: investigating violation(s), substantiating violation(s), filing of a complaint or summons, completion of CVDMP, administering sanctions, notifying parole board of violation, completion of ROI, arrest/transport, writing a complaint/summons, serving the parole complaint/summons to the offender.

HEARINGS: APPLICATION

Preparing material for and participating in application hearing, including preparing for presentation (enter parole plan and update information into the Community Referral form in PCDCIS by updating CARAS and supplemental CARAS, LSI, run for warrants and upload any offender support letters to DOC Portal); conducting hearing (present offender information to the Parole Board member. Maintain security, co-ordinate/monitor Victim Services Unit, victim attendance, and offender supporter attendance). If set for parole, submit the parole plan in PCDCIS for investigation, document actions taken in CWISE, notify offender of Parole Boards decision after hearing, obtain copy of Parole Board action form from the DOC Portal and place in working file.

HEARINGS: COPD

Preparing material for and participating in COPD hearing.

HEARINGS: REVOCATION

Preparing material for and participating in revocation hearing.

HEARINGS: OTHER ADMINISTRATIVE

All activities associated with administrative hearings, including reading court subpoenas, parole application hearings, entering/updating referral packets in PCDCIS, PAS, Classification, Interstate Probable Cause hearings, in-house Community Corrections hearings; chron entry.

COURT HEARINGS/TESTIMONY

National Center for State Courts

Activities pertaining to any court hearing involving an offender under supervision. To include, preliminary hearings, motions hearings, trials, sentencing hearings, etc.

Activities for -Interstate Cases

PRE-RELEASE INVESTIGATION ACTIVITIES

Includes the investigation of offenders that have been released from out of state or federal detainers or have been continued on parole by parole board after being retaken by Colorado, includes: home visit, completion of pre-parole investigation form, and criminal background and warrant check on offender and potential sponsors.

TRACKING/MONITORING DETAINERS

Includes all activities associated with tracking detainers, such as monthly audits to determine status of detainers, developing spreadsheet with data (i.e.; location, length of time, disposition of detainer case), and re-auditing cases every three months.

REVIEWING & REPORTING PROGRESS REPORTS

Review progress report, reply to receiving state, enter data in CWISE.

ENTERING EARNED TIME

Entering earned time for offenders in receiving states includes auditing caseloads to determine what amount of earned time interstate offenders are eligible for; entering earned time in PSDCIS.

RESPONDING TO VIOLATIONS

Review and reply to violation report; assess whether this is a violation that will result in new charge or an offender being returned to Colorado; ask for arrest reports; court dispositions; probable cause results; enter actions in Chronological notes in CWISE.

REVOCATION HEARINGS: TV AND NEW CRIME

Obtain probable cause results; police reports; issue a warrant for arrest; arrange for transport from receiving state to Colorado; bring offender before Colorado Parole Board.

TRANSFER REQUESTS FOR THIRD-STATE REFERRALS

Gather documents from files that are required for Transfer Request; enter this information into ICOTS electronically; enter chronological report in CWISE.

TRANSPORT REFERRALS

Gather information on location of Interstate offender; contact out of state jail for address, phone number and contact person; complete transport form; follow up with jail and transport unit to coordinate pick up and delivery to Colorado jail.

Appendix C: Non-case Specific Activities

GENERAL ADMINISTRATIVE WORK
Includes all time associated with general administrative work, such as attending to emails, phone calls, paperwork, time sheets professional reading, etc.

COMMITTEES, MEETINGS AND RELATED WORK
Includes all time spent in meetings (committee, staff, etc.) regardless of whether they are local or state-level meetings. Also include work associated with such meetings, such as reviewing materials or developing meeting materials.

COMMUNITY ACTIVITIES
Includes all time associated with community outreach and community activities in which you engage in your official capacity as a CPO, such as speaking at schools, colleges or other professional or community organizations.

TRAINING - RECEIVING
Any time in which you are receiving professional training (attending a conference or a one-or two day seminar/training course).

TRAINING – PROVIDING
Any time in which you are providing professional training.

FACILITATING HEARINGS
Include all work associated with facilitating hearings, including determination of assigned CPO's for offenders with hearings, e-mail CPO's to confirm case status, set schedule for hearings, obtain required documentation, organize Parole Board hearings files, advise offenders of Rights, communicate with CPO's and jail staff on status of cases, present cases as needed, advise witnesses of proceedings, confirm parole discharge date with Time Comp/QT Profile, distribute hearings paperwork after completion; chron entry

WORK-RELATED TRAVEL
All work-related travel time associated with your work as a CPO. This does NOT include regular commuting time to/from work to office.

TRANSPORTING OFFENDERS
Activities to include transporting offenders by vehicle or plane. Including transports after arrest to a county jail, transports to a community return to custody facility, fugitive returns from out of state, taking an offender in a vehicle to another destination, i.e. home, etc.

OTHER LAW ENFORCEMENT ACTIVITIES
Those activities whose primary focus is law enforcement not specifically related to parolees. Examples of this include: Intervening or assisting as a law enforcement officer in a situation (e.g., an emergency situation occurs and CPOs are on scene (traffic accidents, calling in DUIs, other public safety situations); participation in multi-agency operations (e.g., Operation Shepherd, GRID operations, Indictments & arrests); CARI (Robbery investigator) meetings; Sex Crimes (CASCI) meetings; handling law enforcement queries/requests for information; SVP Notification meetings, if the offender is not on parole.

ANNUAL/SICK/MILITARY/OTHER LEAVE
Record all time in which you are away from work for any leave time.

TIME STUDY RECORDING TIME
All time associated with tracking and entering data for the current time study.

OTHER NON-CASE RELATED
Include any other non-case-related activities that are not contained in this list but are required of you in your job.

Appendix D: Community Parole Officers' Average Daily Travel by Office Location

Region	Office Location	Average Travel *Minutes* per *Day* per CPO/TL	Average Travel *Hours* per *Week* per CPO/TL
Region I	Ft. Collins	57.88	4.82
	Greeley	31.37	2.61
	Longmont	32.21	2.68
	Sterling	84.15	7.01
	Westminster	52.68	4.39
	Region 1 Average	51.45	4.29
Region II	Lincoln	54.24	4.52
Region III	Craig	86.00	7.17
	Englewood	48.37	4.03
	Grand Junction	62.69	5.22
	Interstate	15.05	1.25
	Sherman SO	48.20	4.02
	Region 3 Average	48.85	4.07
Region IV	Alamosa	67.67	5.64
	Pueblo	48.50	4.04
	Colorado Springs	47.16	3.93
	Canon City	73.60	6.13
	Durango	93.00	7.75
	La Junta	69.72	5.81
	Region 4 Average	53.83	4.49
	STATE AVERAGE	**50.44**	**4.20**

Appendix E: Workload Value Detail – *Inside the Numbers*

INSIDE THE NUMBERS: BREAKDOWN OF ACTIVITIES FOR EACH CASE CATEGORY

		Activity	Average Activity Time (Minutes)
Reg Parole All Risk Levels	8801	Pre release invest	3.61
	8802	Intake activities	3.61
	8803	In office case mgt	35.61
	8804	In office F:F mtg	25.31
	8805	Field work	13.80
	8806	Group facilitation	0.45
	8807	After hours field work IN	3.09
	8808	Responding to Violations	6.19
	8809	Hearings: Application	0.11
	8810	Hearings: COPD	0.01
	8811	Hearings: Revo	1.03
	8812	Hearings: Other Admin	0.89
	8813	Court Activities	0.19
	8814	After hours field work OUT	1.10
		Total	**95**
ISP Parole	8801	Pre release invest	4.54
	8802	Intake activities	10.47
	8803	In office case mgt	63.36
	8804	In office F:F mtg	38.68
	8805	Field work	31.94
	8806	Group facilitation	1.35
	8807	After hours field work IN	7.42
	8808	Responding to Violations	10.53
	8809	Hearings: Application	1.26
	8810	Hearings: COPD	0.57
	8811	Hearings: Revo	1.96
	8812	Hearings: Other Admin	1.51
	8813	Court Activities	0.44
	8814	After hours field work OUT	9.97
		Total	**184**
ISP Inmate	8801	Pre release invest	3.24
	8802	Intake activities	7.06
	8803	In office case mgt	66.11
	8804	In office F:F mtg	38.27
	8805	Field work	25.19
	8806	Group facilitation	0.76
	8807	After hours field work IN	2.64
	8808	Responding to Violations	5.86
	8809	Hearings: Application	4.83
	8810	Hearings: COPD	2.26
	8811	Hearings: Revo	0.00
	8812	Hearings: Other Admin	2.78
	8813	Court Activities	0.00
	8814	After hours field work OUT	2.01
		Total	**161**

INSIDE THE NUMBERS: BREAKDOWN OF ACTIVITIES FOR EACH CASE CATEGORY

YOS

	Activity	Average Activity Time (Minutes)
8801	Pre release invest	9.63
8802	Intake activities	0.00
8803	In office case mgt	126.16
8804	In office F:F mtg	49.59
8805	Field work	177.93
8806	Group facilitation	5.71
8807	After hours field work IN	5.71
8808	Responding to Violations	63.69
8809	Hearings: Application	0.00
8810	Hearings: COPD	0.00
8811	Hearings: Revo	0.00
8812	Hearings: Other Admin	0.00
8813	Court Activities	0.00
8814	After hours field work OUT	55.58
	Total	**494**

CRCF

	Activity	Average Activity Time (Minutes)
8801	Pre release invest	1.04
8802	Intake activities	2.61
8803	In office case mgt	27.32
8804	In office F:F mtg	1.79
8805	Field work	4.34
8806	Group facilitation	0.49
8807	After hours field work IN	3.86
8808	Responding to Violations	13.53
8809	Hearings: Application	0.00
8810	Hearings: COPD	3.67
8811	Hearings: Revo	0.07
8812	Hearings: Other Admin	1.04
8813	Court Activities	0.00
8814	After hours field work OUT	0.25
	Total	**60**

Community Corrections Inmate

	Activity	Average Activity Time (Minutes)
8801	Pre release invest	4.24
8802	Intake activities	4.16
8803	In office case mgt	43.81
8804	In office F:F mtg	4.90
8805	Field work	13.34
8806	Group facilitation	2.40
8807	After hours field work IN	2.09
8808	Responding to Violations	6.35
8809	Hearings: Application	4.22
8810	Hearings: COPD	5.02
8811	Hearings: Revo	0.44
8812	Hearings: Other Admin	2.35
8813	Court Activities	0.79
8814	After hours field work OUT	0.89
	Total	**95**

INSIDE THE NUMBERS: BREAKDOWN OF ACTIVITIES FOR EACH CASE CATEGORY

	Activity		Average Activity Time (Minutes)
Gang	8801	Pre release invest	2.59
	8802	Intake activities	3.73
	8803	In office case mgt	31.85
	8804	In office F:F mtg	16.49
	8805	Field work	35.96
	8806	Group facilitation	1.02
	8807	After hours field work IN	3.68
	8808	Responding to Violations	7.05
	8809	Hearings: Application	0.16
	8810	Hearings: COPD	0.80
	8811	Hearings: Revo	2.85
	8812	Hearings: Other Admin	2.78
	8813	Court Activities	1.10
	8814	After hours field work OUT	1.94
		Total	**112**
Sex Offender - All Classifications	8801	Pre release invest	6.11
	8802	Intake activities	9.96
	8803	In office case mgt	106.63
	8804	In office F:F mtg	54.87
	8805	Field work	63.91
	8806	Group facilitation	5.32
	8807	After hours field work IN	12.17
	8808	Responding to Violations	20.75
	8809	Hearings: Application	1.19
	8810	Hearings: COPD	0.57
	8811	Hearings: Revo	6.34
	8812	Hearings: Other Admin	2.13
	8813	Court Activities	1.52
	8814	After hours field work OUT	2.52
		Total	**294**
OMI	8801	Pre release invest	4.70
	8802	Intake activities	13.10
	8803	In office case mgt	71.70
	8804	In office F:F mtg	56.29
	8805	Field work	36.58
	8806	Group facilitation	1.92
	8807	After hours field work IN	9.23
	8808	Responding to Violations	34.94
	8809	Hearings: Application	0.42
	8810	Hearings: COPD	0.64
	8811	Hearings: Revo	12.82
	8812	Hearings: Other Admin	5.91
	8813	Court Activities	0.78
	8814	After hours field work OUT	6.98
		Total	**256**

	Activity	Average Activity Time (Minutes)
Compound Specialized	Pre release invest	3.68
	Intake activities	6.72
	In office case mgt	63.09
	In office F:F mtg	36.87
	Field work	52.08
	Group facilitation	3.26
	After hours field work IN	8.78
	Responding to Violations	15.65
	Hearings: Application	0.89
	Hearings: COPD	0.71
	Hearings: Revo	6.62
	Hearings: Other Admin	3.82
	Court Activities	1.21
	After hours field ork OUT	1.65
	Total	**228**

INSIDE THE NUMBERS: BREAKDOWN OF ACTIVITIES FOR EACH CASE CATEGORY

		Activity	
Interstate Out	**801**	Pre release invest	1.03
	802	Monitoring detainers	1.52
	803	Reviewing progress reports	2.48
	804	Field reports	2.42
	805	Entering earned time	1.32
	806	Responding to violations	1.41
	807	Revo hearings - TV & New	0.02
	808	Third state referrals	0.45
	809	Transfer requests	3.98
	810	Transport referrals	0.37
		Total	**15**

	Activity	
Jail detainer and custody	Pre release invest	4.07
	Intake activities	0.66
	In office case mgt	18.58
	In office F:F mtg	0.84
	Field work	8.23
	Group facilitation	0.57
	After hours field work IN	1.96
	Responding to Violations	21.29
	Hearings: Application	0.41
	Hearings: COPD	7.01
	Hearings: Revo	30.74
	Hearings: Other Admin	14.18
	Court Activities	3.72
	After hours field work OUT	0.74
	Total	**113**

Appendix F: Case File Review Data Collection Instrument

<table>
<tr><td colspan="3" align="center">Colorado DOC Division of Parole Case File Review</td></tr>
<tr><td colspan="3">Coding Scheme: 1 = Yes; 2 =Sometimes; 3 = No; 0 = NA (nothing to rate)

Parole Date _____</td></tr>
<tr><td>1)</td><td>IOV Completed?</td><td></td></tr>
<tr><td></td><td>Within 48 hours after release from incarceration</td><td></td></tr>
<tr><td></td><td>Within 24 hours of release for inmate ISP</td><td></td></tr>
<tr><td></td><td>Within 30 days for residential placement</td><td></td></tr>
<tr><td>2)</td><td>Behavioral and Supervision Plan Completed/Updated?</td><td></td></tr>
<tr><td>3)</td><td>Plan consistent w/ Needs Areas in LSI?</td><td></td></tr>
<tr><td>4)</td><td>LSI Completed/Updated?</td><td></td></tr>
<tr><td>5)</td><td>Referrals for Tx made?</td><td></td></tr>
<tr><td></td><td>Referrals for Tx Completed When Appropriate?</td><td></td></tr>
<tr><td></td><td>Follow-up/Participation in Tx?</td><td></td></tr>
<tr><td>6)</td><td>UA Testing hen Appropriate?</td><td></td></tr>
<tr><td>7)</td><td>Violations?</td><td></td></tr>
<tr><td></td><td>If yes, identify:</td><td></td></tr>
<tr><td>8)</td><td>Chronological Records Entered Timely?</td><td></td></tr>
<tr><td>9)</td><td>Contact Standards:</td><td></td></tr>
<tr><td></td><td>Consistent w/ FTF Office</td><td></td></tr>
<tr><td></td><td>Personal face-to-face home visits</td><td></td></tr>
<tr><td></td><td>Employment verifications?</td><td></td></tr>
<tr><td></td><td>Ed_Type (Status)</td><td></td></tr>
<tr><td colspan="3">NOTES:

</td></tr>
</table>

Appendix G: Models by Region

Colorado Community Parole Officer Staffing Needs Model
Region I

	Annual WLV (minutes)	Fort Collins	Greeley	Longmont	Sterling	Westminster	Region I Total
Regular Parole - All levels	1,139	191	203	74	55	516	1,039
ISP- P	2,212	8	6	5	2	21	42
ISP - I	1,931	12	2	7	1	29	51
YOS	5,933	13	0	0	1	0	14
CRCF	722	6	0	8	2	33	49
Comcor	1,144	72	31	17	3	117	240
Gang - All	1,338	70	101	23	19	269	482
Sex Offender - All	3,531	31	38	36	17	107	229
OMI -- All	3,075	102	67	44	29	274	516
Compound Specialized	2,730	48	58	23	15	175	319
Interstate Out	177						-
Jail (detainer/custody)	1,351	40	51	21	18	117	247
Total ADP		593	557	258	162	1658	3,228
Case Specific Work (WLV x ADP)		1,124,097	986,397	518,438	319,701	3,063,955	6,012,588
CPO Annual Availability: 225 days		108,000	108,000	108,000	108,000	108,000	
- Annulized work related travel per CPO		13,023	7,058	7,247	18,934	11,853	
- Annualized non-case specific time 90 Minutes Per Day)		20,250	20,250	20,250	20,250	20,250	
Availability for Case Specific Work		74,727	80,692	80,503	68,816	75,897	
Region FTE (CPOs and Team Leaders, including vacancies)		11	11	5	4	33	64
Staffing Demand (FTE)		15.04	12.22	6.44	4.65	40.37	78.72
Staffing Deficit (FTE)		4.04	1.22	1.44	0.65	7.37	14.72

(Note: 1 Team Leader in Westminster is assigned to non-caseload duties (Use of Force) and is not included in the FTE count.)

Colorado Community Parole Officer Staffing Needs Model
Region II

	Annual WLV (minutes)	Lincoln	Region II Total
Regular Parole - All levels	1,139	759	759
ISP- P	2,212	38	38
ISP - I	1,931	72	72
YOS	5,933	16	16
CRCF	722	12	12
Comcor	1,144	181	181
Gang - All	1,338	591	591
Sex Offender - All	3,531	14	14
OMI -- All	3,075	405	405
Compound Specialized	2,730	234	234
Interstate Out	177		0
Jail (detainer/custody)	1,351	287	287
Total ADP		2609	2609
Case Specific Work (WLV x ADP)		4,510,369	4,510,369
CPO Annual Availability: 225 days		108,000	
- Annulized work related travel per CPO		12,204	
- Annualized non-case specific time 90 Minutes Per Day)		20,250	
Availability for Case Specific Work		75,546	
Region FTE (CPOs and Team Leaders, including vacancies)		45	45
Staffing Demand (FTE)		59.70	59.70
Staffing Deficit (FTE)		14.70	14.70

Colorado Community Parole Officer Staffing Needs Model
Region III

	Annual WLV (minutes)	Craig	Englewood	Grand Junction	Sherman (SO Unit)	Interstate	Region III Total
Regular Parole - All levels	1,139	35	535	229	4		803
ISP- P	2,212	5	33	27	0		65
ISP - I	1,931	5	50	6	0		61
YOS	5,933	0	0	1	0		1
CRCF	722	0	6	6	0		12
Comcor	1,144	15	100	50	0		165
Gang - All	1,338	6	162	69	0		237
Sex Offender - All	3,531	3	73	39	127		242
OMI -- All	3,075	11	282	90	11		394
Compound Specialized	2,730	4	95	38	94		231
Interstate Out	177					2021	2021
Jail (detainer/custody)	1,351	6	111	56	45		218
Total ADP		90	1447	611	281		2429
Case Specific Work (WLV x ADP)		149,212	2,648,623	1,085,783	804,233	357,717	5,045,568
CPO Annual Availability: 225 days		108,000	108,000	108,000	108,000	108,000	
- Annulized work related travel per CPO		19,350	10,883	14,105	10,845	3,386	
- Annualized non-case specific time (90 Minutes Per Day)		20,250	20,250	20,250	20,250	20,250	
Availability for Case Specific Work		68,400	76,867	73,645	76,905	84,364	
Region FTE (CPOs and Team Leaders, including vacancies)		2	26	13	11	5	57
Staffing Demand (FTE)		2.18	34.46	14.74	10.46	4.24	66.08

Colorado Community Parole Officer Staffing Needs Model
Region IV

	Annual WLV (minutes)	Alamosa	Canon City	Colorado Springs	Durango	La Junta	Pueblo	Region IV Total
Regular Parole - All levels	1,139	44	33	528	75	46	163	889
ISP- P	2,212	4	6	43	8	0	18	79
ISP - I	1,931	10	0	44	3	0	30	87
YOS	5,933	1	0	11	0	0	0	12
CRCF	722	0	12	40	2	1	1	56
Comcor	1,144	26	0	121	14	0	26	187
Gang - All	1,338	26	9	196	11	14	107	363
Sex Offender - All	3,531	5	14	94	12	12	22	159
OMI -- All	3,075	32	17	265	32	30	72	448
Compound Specialized	2,730	12	25	117	12	13	55	234
Interstate Out	177							0
Jail (detainer/custody)	1,351	16	16	137	20	20	51	260
Total ADP		176	132	1596	189	136	545	2774
Case Specific Work (WLV x ADP)		319,170	263,140	2,927,573	341,644	268,980	975,168	5,095,675
CPO Annual Availability: 225 days		108,000	108,000	108,000	108,000	108,000	108,000	
- Annulized work related travel per CPO		15,226	16,560	10,611	20,925	15,687	10,913	
- Annualized non-case specific time (90 Minutes Per Day)		20,250	20,250	20,250	20,250	20,250	20,250	
Availability for Case Specific Work		72,524	71,190	77,139	66,825	72,063	76,838	
Region FTE (CPOs and Team Leaders, including vacancies)		5	2	26	4	2	16	55
Staffing Demand (FTE)		4.40	3.70	37.95	5.11	3.73	12.69	67.59
Staffing Deficit (FTE)		(0.60)	1.70	11.95	1.11	1.73	(3.31)	12.59

Appendix H: Advisory Committee Membership

Heather Salazar - Advisory Committee Project Team Leader
Gary Fear, Supervisor - Advisory Committee Project Team Leader

Steve Hager – Acting Director, Adult Parole Division
Mike Miles – Associate Director, Region I
Eric Holzwarth – Associate Director, Region II
Susan White – Associate Director, Region III
Kelly Messamore – Associate Director, Region IV

Region 1:
Merideth McGrath, Manager
Lorraine DiazDeleon, Supervisor
Derek Armentrout, Team Leader
John Gamez, Officer

Region 2:
Melissa Gallardo, Manager
Joe Thistlewood, Supervisor
Andy Zavaras, Team Leader
Amanda Beatty, Officer

Region 3:
Kathryn Engle, Manager
Robert Armenta, Supervisor
Stephen Holmes, Team Leader
Tasha Dobbs, Officer

Region 4:
Shaun McGuire, Manager
Travis Hadaway, Supervisor
Catherine Lester, Team Leader
Greg Thompson, Officer

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