South Dakota Department of Corrections
Parole Services

Agent Workload Study Findings

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NCCD | National Council on Crime & Delinquency

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EXECUTIVE SUMMARY

The nature of parole services is changing as a result of new legislation and the implementation of evidence-based practices. As changes occur in staff caseloads as well as in parole practices, it is essential to make sure staffing levels are appropriate to maintain strong performance and achieve the mission of protecting public safety. In response to these changes, the South Dakota Department of Corrections (SDDOC) contracted with the National Council on Crime and Delinquency (NCCD) to conduct a workload study of parole agents in the spring of 2015.

The primary objective of this workload study is to determine the number of parole agents needed to supervise offenders in a manner that meets agency standards. NCCD uses a prescriptive, case-based methodology for conducting correctional workload studies. This approach estimates the time needed by parole agents to not only manage their cases, but to do so in a way that meets state standards and expectations. Workload demand is calculated using time estimates from only those cases that met standards. Additionally, the study measures how much time agents realistically have available for their caseloads after making deductions for non-case-based activities. Together, these results are used to estimate the staff resources needed for SDDOC to effectively carry out its mission.

All 39 agents in the state participated in the study. The agents tracked time for a sampled portion of their caseload over a two-month period. A two-tiered approach was used to determine which cases met standards. First, supervisors reviewed forms and indicated whether the case met standards. Researchers at NCCD then used compiled data to count the number of contacts and determine whether quantitative contact standards were met. A case had to pass both reviews in order to be included in the calculation of workload values. Agents also tracked time spent on case support and administrative activities in order to help determine the average time spent per month on activities that detract from time they have available for their caseloads.

The results of the study indicate that agents have, on average, 111.6 hours available per month to supervise offenders on their caseload. In order to determine the available agent time per month, NCCD deducted estimates of the average number of hours that agents spend on other work activities from the total number of full-time equivalent (FTE) hours per month. These deductions include 22.1 hours of case support and administrative tasks (which were measured during the study), 31.8 hours of leave time, and 7.8 hours of mandatory training.

Based on the monthly workload values and the average monthly case counts, NCCD calculated the total monthly workload demand for each type of parole case. The monthly workload demand reflects the number of cases multiplied by the average number of hours required per case. At the time of the workload study, SDDOC did not have specific standards outlined for offenders in the community transition program (CTP). Since then, new standards have been developed for these cases that are similar to the number of contacts required for cases at the intensive-supervision level (i.e., weekly contacts). In order to account for these new standards NCCD applied the workload value for intensive-supervision cases to the CTP cases. Results show that an estimated 4,286.8 hours are needed each month to complete all of SDDOC's Parole Services casework according to standards. When divided by the amount of agent time available (111.6 hours per month), this corresponds to an estimated 38.4 full-time agents needed to meet workload demand in the state of South Dakota (Table ES).

Table ES			
Workload Estimate (Incorporating Updated CTP Standards)			
Sampled Case Category	**Workload Value (Hours Per Month)**	**Annual Monthly Average Number of Offenders**	**Total Workload Hours**
Indirect supervision	0.2	368.0	**73.6**
Minimum supervision	0.7	198.5	**139.0**
Medium supervision	1.3	668.0	**868.4**
Maximum supervision	1.8	492.8	**887.0**
Intensive supervision	3.5	274.2	**959.7**
CTP[1]	3.5	151.2	**529.2**
Extended detainment	2.0	88.2	**176.4**
GPS, IMT, SCRAM/RBD, 24/7 [2]	2.7	41.3	**111.5**
Absconder[3]	1.2	204.3	**245.2**
Release plan investigation[4]	1.1	269.8	**296.8**
Total Workload Demand (Hours Per Month)			**4,286.8**
Number of Agents Required to Meet Workload Demand (Total workload hours divided by available agent time: 4,286.8 / 111.6)			**38.4**

Currently, the state is allocated 39 parole agents. Using the workload values that reflect current policy standards, SDDOC is sufficiently staffed with parole agents, assuming vacant positions are filled. However, the evolving practice improvement efforts engaged in by SDDOC are likely to increase workload expectations, and therefore also increase the number of workload hours per month necessary to complete all casework according to standards. NCCD recommends that SDDOC reassess staffing needs on a regular basis, particularly as changes in policy impact the parole population.

Measuring workload and ensuring the agency has adequate staffing to meet standards for all cases is the first step toward improving outcomes. In addition to addressing staffing and workload demand, agencies can take a number of actions to meet their mission to protect public safety. Strong implementation of evidence-based practices (EBPs), which promote the success of parolees living in the community and reduce their risk of recidivism, has great potential to make a positive impact.

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[1] CTP estimates include offenders in the St. Francis House pilot program.

[2] The population counts for GPS, IMT, SCRAM/RBD, and 24/7 include any offender who has one of these four offender status alerts, excluding intensive-risk cases. For cases at the intensive risk level that also have an offender classification of GPS, IMT, SCRAM/RBD, or 24/7, NCCD recommends using the intensive-risk workload value rather than the workload value for GPS, IMT, SCRAM/RBD, or 24/7.

[3] Includes all types of absconders.

[4] Release plan investigations are not formally tracked. The estimates provided here are based on an annual monthly average of releases from detainments and CTP, as well as regular parole releases on discretionary, presumptive, or suspended sentence. However, this excludes interstate compact cases coming to South Dakota. Additionally, this does not account for offenders who have multiple release plans (the first being denied).

South Dakota is currently in the midst of implementing Effective Practices in Community Supervision (EPICS), a program that aims to integrate EBPs into supervision practices. Measuring workload is an important step toward ensuring the state's capacity to successfully implement EBPs that promote positive outcomes. It informs agencies how to regulate caseload according to how much time is required to complete the work needed so that agents can regularly meet supervision standards and better achieve their public safety mission.

I.   INTRODUCTION

In 2013, South Dakota implemented reforms in response to an expanding prison population and associated expenses. The reforms included strengthening offender supervision in the community and reserving prison space for violent and career criminals; both reforms impact parole services. The resulting changes are likely to affect parole practices and staffing demands. To help ensure that staffing is sufficient to support effective probation and parole services, the South Dakota Department of Corrections (SDDOC) contracted with the National Council on Crime and Delinquency (NCCD) to conduct a workload study of parole agents.

The National Council on Crime and Delinquency (NCCD) has conducted more than 50 workload studies since 1980, many of them for large, complex state corrections and criminal justice agencies. Approximately 25 years ago, NCCD conducted a workload study with SDDOC, the results of which were used to inform staff caseload limits. SDDOC conducted another workload study in 2007 to assist with managing agent caseloads. Since those studies, there have been considerable changes in the parole services program and the nature of work performed by agents in the field. Consequently, the agent workload study has three primary objectives.

1. Determine what staff resources are required to perform the tasks needed to supervise offenders on parole in accordance with SDDOC policy, procedures, and practice standards under actual field conditions. In other words, determine the number of parole agents needed to supervise offenders on parole in a manner that meets agency standards.

2. Revise SDDOC's current workload accounting system to reflect current standards, to enable the agency to more efficiently distribute available resources, and to ensure equitable workload distribution across offices and individual agents.

3. Describe the nature of supervision activities performed by agents in the field, including where they take place; what activities consume a disproportionate amount of time; and the amount of time required by travel, paperwork, etc.

II. WORKLOAD STUDY BACKGROUND

In 2013, South Dakota implemented the Public Safety Improvement Act in response to an expanding prison population and associated expenses. The reforms introduced in this legislation were based on recommendations made by the Criminal Justice Initiative Workgroup, a bipartisan stakeholder group tasked with identifying the drivers of this growth in imprisonment and providing policy recommendations for the state's sentencing and corrections systems. Two key findings of this effort were (1) that a large proportion of inmates were imprisoned for nonviolent offenses; and (2) that an increasing number of inmates were parole violators. As a result, the workgroup recommended strengthening offender supervision in the community and reserving prison space for violent and career criminals. Both of these reforms impacted parole services.

The Public Safety Improvement Act introduced a number of additional changes that may affect parole practices and staffing demands. For example, it authorizes earned early discharge from supervision for offenders who are compliant with the conditions of their parole, allowing agents to focus on higher-risk offenders. Although this is expected to reduce the number of people on parole, the legislation also requires parole agents to be trained in and to implement evidence-based practices (EBP) to enhance their supervision of higher-risk offenders. The implementation of EBP, in conjunction with criminogenic needs assessments and referral to community-based services, requires more time than traditional supervision practices. In addition, the parole population may be affected by reduced sentencing for drug possession and initiatives that lower the number of parole violations (since these offenders will stay in the community rather than returning to prison). Given these recent changes to the criminal justice system in South Dakota, this is an important time to reevaluate workload demand in parole services.

III. WORKLOAD MEASUREMENT METHODS

The methodology NCCD employs for conducting correctional workload studies is a prescriptive, case-based approach. This methodology is *case-based* because agents record (for a month) the time required, under actual field conditions, to supervise a sample set of cases assigned to different supervision levels, case types, and case classifications. In other words, they are not recording the time they spend on their entire caseload. The *prescriptive* component of this methodology means that agents are asked to meet all applicable agency performance standards when serving these cases. The workload value, or the amount of time required to perform each of the major agency supervisory or investigative tasks, is derived by observing cases that met or exceeded minimum agency performance requirements. All workload values presented in this report include the time required to perform the activity, as well as any travel or waiting time that may have been involved in accomplishing the task. This prescriptive approach ensures that the workload values reflect agency expectations for agent efforts to ensure public safety.

For example, the study estimates the amount of time an agent requires each month to supervise an offender at the maximum supervision level, at which the contact standards require the agent to make two personal contacts with the offender and at least one collateral contact per month. The agent is also expected to respond to non-routine case demands, such as violations or new criminal offenses, and to adequately document his/her case activity. In effect, the study focuses on cases that are supervised at a standard defined as adequate by the correctional agency in light of the offender's risk to the community.

The National Institute of Corrections supports a prescriptive approach to workload measurement because this approach ensures that supervision can be performed in a manner that has a positive impact on public safety. Theoretically, an agent could supervise a maximum-supervision case without contacting the offender every month or employing evidence-based practices such as

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motivational interviewing or case planning. Obviously, this would take far less time than supervising cases in accordance with the current SDDOC standards for maximum-supervision offenders, but this low level of effort is unlikely to reduce criminal activity.

Similarly, an agent could conduct sex offender pre-release activities without reviewing the offender's history of polygraphs and previous violations, or without reviewing offender assessments. This approach would take far less staff time and require fewer agents to perform than completing thorough pre-release work. However, it could lead to poor judgments and decisions regarding supervision plans and activities that could adversely impact public safety. As these examples illustrate, the purpose of employing clear performance standards when estimating agency workload is to ensure that there are adequate staff resources available to protect the public.

In addition to determining workload values for agency supervision or investigative tasks, workload studies result in an estimate of the amount of time agents have available to perform these tasks. To accomplish this, agents also record (for one month) all the time they spend performing duties not related to their own caseload, such as case support (assisting other agents), unit training or management assignments, and community activities. These administrative and case support activities are an important component of an agent's work, but they detract from the time that agents have available to spend on their caseloads. The time spent on these activities is subtracted—along with the average allotted leave time (sick leave, vacation, holidays, etc.), as derived from administrative data— to determine the amount of time that agents realistically have available to dedicate to their caseloads.

IV.   SOUTH DAKOTA PAROLE SERVICES WORKLOAD STUDY

Workload studies require substantial planning and preparation with management and field staff. In January 2015, NCCD staff began working with an SDDOC planning committee to design this workload study. The planning committee consisted of representatives from SDDOC Parole Services

management, as well as supervisors and agents from each region. This committee was responsible for planning the study, identifying case types and classifications, designing the data collection forms, and identifying performance standards pertaining to the different case types.

Two separate forms were developed for recording time spent on sampled supervision cases and all time spent on case support and administrative activities; Appendix A provides definitions for the codes used in each form. Once these data collection materials were developed and field-tested, agents received training to familiarize them with the purpose of the study, along with instructions on how to record time on sampled cases during the two-month study period. A brief training for supervisors was conducted prior to the agent training to discuss the responsibilities of supervisors and provide instruction on how to sample new cases.

A.   Participants

All 39 SDDOC parole agents participated during at least one month of the study; 36 agents participated during both months. Agent classifications represented the following:

- Parole agent
- Senior parole agent: field training officer
- Senior parole agent: firearms instructor
- Senior parole agent: EPICS

Each agent recorded the time he/she spent (including waiting and travel time) on a sample of his/her supervision cases. Supervisors helped implement the workload study by assigning new cases for tracking, ensuring that time was recorded correctly, and checking to ensure that the cases tracked for study purposes met SDDOC practice and policy standards.

B.   Selection of Supervision Cases/Investigations for the Study

Each agent with an active caseload recorded time for approximately eight randomly selected cases of offenders receiving ongoing supervision, plus at least one new supervision case (post-release), one release plan investigation, and at least one of the following offender status alerts assigned during the study: Community Transition Program (CTP), extended detainment (ED), or absconder. Case classifications include indirect supervision, minimum supervision, medium supervision, maximum supervision, and intensive supervision cases; sex offenders; mental health (SMI); intensive meth treatment (IMT); Global Positioning System (GPS); SCRAM/RBD; 24/7; halfway house; CTP; extended detainment (ED); high-risk offenders; and absconder (high-risk/intensive, indirect/minimum/medium/maximum, and cold case). Supervision types include parole and interstate compact.

Ongoing supervision cases were randomly selected by NCCD from a case listing prior to the start of the study. New supervision cases, release plan investigations, and offender status alerts chosen for time recording were the first ones assigned to each agent by supervisors during the study. The sampling procedures employed were designed to ensure that participants could not choose which cases or investigations were assigned to them for time recording. Each agent tracked time for a maximum of 14 offenders.

C.   Duration of Time Recording

Agents recorded the time they spent on supervision cases (new and ongoing) for two separate one-month periods. Release plan investigations were tracked from the time of assignment until completion. New offender status alerts were tracked for two months, or until the status changed. Agents also recorded the time they spent on case support and administrative activities in order to determine the amount of time agents realistically have available to dedicate to their caseloads. Agents

recorded time on two forms, using codes to describe the types of activities they performed. The definitions for the activity codes used on the data collection forms are provided in Appendix A.

D.   Case Service Standards

To calculate workload values, the study uses data from sampled cases in which SDDOC supervision standards were met or exceeded by the recording agent. The result is an estimate of how long it takes an agent to meet SDDOC's minimum standard for adequate performance. The supervision standards used were those in effect during the recording periods (spring 2015).[5]

SDDOC employs a risk classification system in its case management system and differential contact standards for each of five supervision levels (indirect, minimum, medium, maximum, and intensive). The contact standards for each supervision level are summarized in Appendix B. Additional standards based on the case classifications described above were also applied.

Although new supervision cases do not have separate standards, they have additional tasks that must be completed within the first days following release. For the purpose of the workload study, those additional tasks were specified as "standards" for new supervision cases. Additionally, during the workload study data collection period, there were no contact standards for CTP or ED cases. In order to study CTP and ED as separate case types with associated workload values, the workload design group outlined agency expectations for each case type.

Agents are also responsible for documenting case activity, managing offender treatment plans, and responding to special circumstances as needed. Supervisors reviewed all cases to establish that standards were met, and NCCD performed additional checks using the contact standards from the policy manual.

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[5] SDDOC issued new contact standards for CTP cases soon after the study's data collection period ended; time estimates reflecting these new standards have been incorporated into the workload calculations.

Cases may have changed in supervision level or status during the study. In order to ensure that agents could meet (or exceed) standards on cases at their original supervision level (i.e., the level assigned at the beginning of the study month), a change in a case's supervision level was addressed in one of three ways.

- If the case's supervision level was reduced during Month 1 of the study, the agent continued to serve that case at the original (i.e., higher) supervision level until the end of the month. At the end of Month 1, the agent recorded the supervision level at which he/she served the case in the first 30-day summary. At the start of Month 2, the agent began serving the case at the reduced supervision level and continued recording on the same form. The lower supervision level was recorded in the second 30-day summary.

- If the case's supervision level was reduced during Month 2 of the study, the agent continued serving the case at the original (i.e., higher) supervision level until the end of the month. The higher supervision level was recorded in the second 30-day summary.

- If the supervision level was raised at any time during the study, the higher contact standards associated with that level were applied immediately for public safety reasons. At the end of the month, the agent recorded the supervision level at which standards were met.

In the event that a case's status changes, such as by revocation or arrest, the original supervision level standards may no longer be relevant. Changes in case status that occurred during the study were documented on the supervision case form. Agents were instructed to note the change in the appropriate section but to continue tracking all related work on that case through the end of the study month. If a case changed status during Month 1, agents were either assigned a new case to track during Month 2, or were instructed to track the case according to its new status during Month 2. Depending on when the case changed status during the study month and whether or not it met standards, the case may have been included in the time estimate for its original case type. For example, if a medium-risk offender being supervised in the community absconded, but the agent had already met the monthly contact standards for that case, then this case would be included in the

workload value for cases being supervised at the medium risk level. However, if the agent was not able to complete the work associated with the original case type, then this case would be excluded from workload value estimates for cases at the medium risk level and included as an absconder case type.

In addition to tracking time spent on each of these activities, agents were asked to record the time they spent on administrative and case support activities (i.e., activities that are not directly related to agents' caseloads). While there are no standards associated with this type of work, supervisors reviewed each of these forms to verify that time was recorded appropriately. Administrative and case support time estimates are considered when determining how much time agents have available to spend on their caseloads.

V.   SOUTH DAKOTA PAROLE SERVICES WORKLOAD STUDY FINDINGS

Following is a review of the major workload study findings. The analysis of the time available for agents to perform case supervision work is followed by a description of estimated workload values for the supervision cases and investigations examined during the study. All workload values given in this report include the time required to perform the activity as well as any travel or waiting time that may have been involved in accomplishing the task.

A.   Monthly Hours Available for Agents

As described in Section III, Workload Measurement Methods, this study takes into consideration the amount of time parole agents realistically have available to provide direct services to their cases. NCCD relied on two sources for information about the time available: (1) agency personnel information; and (2) time recording conducted by agents during the study.

In March 2015, NCCD requested personnel data from SDDOC Parole Services in order to determine the number of hours full-time equivalent (FTE) parole agents are employed per month, as

well as the average amount of leave time taken, allocated holiday time, and the number of hours they spend in mandatory staff training (Table 1). Based on the data provided, parole agents are employed for an average of 173.3 hours per month, or 2,080 hours per year. Sick leave, vacation and personal leave, and holidays reduce available work hours and therefore must be deducted. In fiscal year 2014, agents had an annual average of 381.6 hours of leave and holiday time.

Time must also be deducted for mandatory staff trainings. Both new staff and experienced staff are required to attend a certain number of trainings per year. The number of hours agents spent in training varied according to each individual and his/her position. Average training time was determined by weighting the required training hours by the 2014–15 average percentages of new versus experienced staff.[6] In fiscal years 2014 and 2015, there were an average of 37.5 filled parole agent positions per year: 8.5 senior parole agents (22.7%), 13 new parole agents (34.7%), and 16 experienced (i.e., no longer "new") parole agents (42.7%). According to the data provided, during fiscal years 2014 and 2015, new agents spent an average of 136.4 hours per year in training.[7] Experienced parole agents and senior parole agents spent 61.3 hours and 90.9 hours per year, respectively.[8] Once these average training hours are weighted according to the proportion of staff in each position, the result is a weighted average of approximately 94 hours of training per year per agent. After deducting total leave time and training time, parole agents have approximately 134 hours per month to devote to their job responsibilities. Not all of this time, however, is available for supervising offenders on agents' caseloads.

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[6] Averages across two years were used in this analysis to account for anomalies in the proportions of new staff and experienced staff.

[7] This estimate excludes new agents who are no longer employees. New agent training data were only available for fiscal year 2014–15.

[8] This estimate is based on data from fiscal year 2012 through fiscal year 2014, as data were provided before the end of fiscal year 2015 and prior to known EPICS training events. The averages exclude agents who are no longer employees, as well as training time associated with new hires.

Table 1 South Dakota DOC Parole Agent Workload Study Worker Hours Available	
	Hours
Total Work Hours Per Year Per Agent[9]	**2,080.0**
Average Annual Leave Usage[10]	150.8
Average Annual Sick Leave Usage	21.6
Annual Allotted Holiday Leave[11]	96.0
Personal and Break Time[12]	113.2
Annual Leave Time Subtotal	**381.6**
New Staff Training	136.4
Ongoing Staff Training: Parole Agent	61.3
Ongoing Staff Training: Senior Parole Agent	90.9
Training Time Subtotal (Weighted)[13]	**94.1**
Annual Hours Available to Parole Agents	**1,604.3**
Monthly Hours Available to Parole Agents	**133.7**

Agents also perform a variety of case support activities that require them to assist with cases not assigned to them. For example, they may cover the caseloads of other workers who are out on sick leave, or they may accompany another worker on a home visit. Agents may also have non-case-based administrative responsibilities that consume available work time, such as committee work or reviewing new policies. During the study period, agents tracked all of their time spent on work

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[9] These values are based on the full-time equivalent (FTE) parole agent staffing level.

[10] Includes 103.2 hours of annual leave, 3.2 hours of military leave, and 44.4 hours of Family and Medical Leave Act (FMLA) time.

[11] All state employees are paid for 10 legal holidays plus any holiday proclaimed by the governor of South Dakota. Traditionally, the governor recognizes the day after Thanksgiving and the day before or after Christmas as holidays; therefore, this estimate reflects these additional 16 hours.

[12] Staff may take one 15-minute break per four-hour block of work time, if workload permits. These breaks are included in the total amount of personal and break time listed in Table 1; however, they are not guaranteed. The break time is only factored in to the number of days remaining after deducting annual, sick, and holiday leave time.

[13] Calculation of total training time is weighted based on the average proportions of filled positions in each category and the corresponding training times: $(0.347 * 136.4 \text{ hours}) + (0.427 * 61.3 \text{ hours}) + (0.227 * 90.9 \text{ hours}) = 47.3 + 26.2 + 20.6 = 94.1$ hours.

activities that were not directly related to their caseloads, in order to deduct this time estimate from the monthly time available. On average, agents spent 22.1 hours per month on administrative and case support activities: 10.6 hours on administrative activities and 11.5 hours on case support activities (Table 2). The time estimates for case support and administrative time include the time spent traveling to perform these activities.

Table 2 South Dakota DOC Parole Agent Workload Study Case Support and Administrative Activity Time Per Month	
	Hours
Non-Case-Based Administrative Activity Time	
Training: Attending or providing (as recorded during study)	7.1
Training: Preparation and follow-up (as recorded during study)	2.3
Administrative tasks/meetings/committees	5.0
Community relations	1.4
Other non-case-based administrative activities	1.9
Total Non-Case-Based Administrative Activity Time[14]	**10.6**
Case Support Activity Time	
Case staffing/consultation	2.4
Substitute agent	2.0
Backup coverage	5.7
Pre-release investigation	1.0
Other case support activities	0.4
Total Case Support Activity Time	**11.5**
Total Case Support and Administrative Activity Time	**22.1**

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[14] This is the sum of average activity times listed above, excluding "Training: Attending or providing." Time spent in training is accounted for in the annual averages provided in Table 1. Because time spent providing training is not broken out, and the training time values presented in Table 1 only account for time spent attending training, the total amount of non-case-based administrative activity time is likely an underestimate for those senior agents who provide training (because time spent providing training is excluded).

When case support and administrative activity time was deducted from the monthly hours available after the standard deductions for leave and holiday time (133.7 − 22.1), agents had 111.6 hours per month left to complete work on their own cases.

B.   Workload Study Case Findings

1.   Sample Description

Supervision cases may be characterized in terms of both the required supervision level and the offender case classification. In order to better understand how much time was required to meet standards, we examined both the supervision level[15] and the offender case classifications. However, it is important to be aware that these categories are not mutually exclusive. For example, an offender who is classified as a sex offender may be supervised at any of the offender supervision levels, each of which has different contact standards. If this offender was being supervised at the intensive supervision level, the time spent on this case would be included in the calculation of both the average time for cases at the intensive supervision level and the average time for cases classified as involving a sex offender.

As one would expect, the amount of agent time required to supervise a case varies by the supervision level, because the higher the supervision level, the more contacts by agents are required to meet contact standards. (Contact standards for all supervision levels are listed in Appendix B.) For instance, agents required 2.5 hours each month for a case supervised at the intensive level, while minimum supervision cases, which require far fewer contacts by agents, took less than one hour (0.7) per month (Table 3).

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[15] Supervision level is based on the offender's risk level (from either the Community Risk Assessment or the Community Risk Reassessment), which determines the contact standards that will apply.

Table 3
South Dakota DOC Parole Agent Workload Study **Offender Supervision Time Per Month** **All Cases With an Indicated Supervision Level**[16] **(N = 810[17])**

	Mean Hours	**Sampled Cases**
Case Classification by Supervision Level		
Indirect	0.2	78
Minimum	0.7	55
Medium	1.2	235
Maximum	1.7	253
Intensive	2.5	189

The amount of time required to supervise offenders also varies by offender classification (status). Certain classifications, such as treatment programs and therapeutic programming, may require special services. Therefore, we also wanted to quantify the time required to supervise these different classifications of offenders (Table 4). On average, cases with GPS case classification required the most supervision time (3.2 hours) each month. High-risk offenders also required a substantial amount of supervision time (2.9 hours) per month. As would be expected, absconders with a cold case required the least supervision time, as the number of required contact attempts is lowest for these cases. It is important to note that each offender classification encompasses offenders at all risk levels—and therefore all supervision levels, meaning that differences in time estimates between offender classifications may be driven by the distribution of offenders at each risk level within each offender classification. Also, as mentioned previously, offender classifications are not mutually exclusive categories. For example, sex offenders may also be included in the GPS category.

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[16] Includes cases that did not meet supervisor and/or policy contact standards.

[17] There were 831 cases recorded; 21 did not have an offender supervision level indicated.

Table 4

South Dakota DOC Parole Agent Workload Study
Offender Supervision Time Per Month
All Cases With an Offender Case Classification
(N = 498)[18]

Offender Case Classification	Mean Hours	Sampled Cases
Sex offender	1.6	139
Mental health (SMI)	1.7	67
Intensive meth treatment (IMT)	2.1	21
GPS	3.2	14
SCRAM/RBD	2.3	30
24/7	2.3	43
Halfway house	1.8	66
CTP	1.9	131
Extended detainment	1.9	35
High-risk offender	2.9	22
Absconder: High-risk/intensive supervision	2.7	2
Absconder: Indirect/minimum/medium/maximum	1.8	11
Absconder: Cold case	0.3	15

2.   Review of standards and workload categories

Most (87.7%) of the 831 cases in the study met standards, according to reviews by supervisors (7.8% of the cases did not meet standards, and 4.5% of the cases did not include information on whether standards were met). NCCD used SDDOC's policy manual to review the contact standards for each supervision level. (Contact standards are listed in Appendix B.) Although supervisors were responsible for indicating whether standards had been met, they were asked to review hundreds of paper forms, and counting the number of contacts by hand may have been difficult. After the data were entered, researchers at NCCD could more easily quantify the number of personal contacts made per case. Therefore, NCCD conducted a secondary review of data to determine whether agents were

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[18] Of the 831 total cases, 498 had an offender classification associated with them; some cases were assigned to multiple offender classifications. There were 596 total classifications assigned to 498 offenders.

able to meet contact standards on sampled cases. The contact standards outlined by policy for

ongoing supervision cases specify that agents must make a certain number of personal contacts per

month; the required number of contacts varies depending on the supervision level. "Personal contact"

is defined by policy to include face-to-face, telephone, text, and email methods of contact.

There were a number of cases in which supervisors indicated that standards had been met,

but the cases did not meet the minimum number of personal contacts as defined by policy and

reviewed by NCCD. However, the supervisor's review was necessary to determine whether a given

case met qualitative and other performance standards that cannot be quantified in the data.

Therefore, using both supervisor review and policy contact requirements, NCCD created a "revised

standards" category: If a case met the policy standards regarding number of personal contacts and a

supervisor indicated that work done on the case had met standards, the case met the revised

standards.[19]

For example, in order for an intensive supervision case to meet the revised standards, a worker

must have made four personal contacts with the offender and four collateral contacts over the course

of the month, and the supervisor must have indicated that the work met standards. For cases at the

indirect and minimum supervision levels, contact standards extend beyond a one-month period (e.g.,

every 60 days), and thus the revised standards were deemed to have been met when work met

standards according to the supervisor's review. In addition, all release plan investigations, CTP cases,

and extended detainment cases automatically met the revised standards if the work met standards

according to supervisor review, as there were no contact standards specified for these cases during

the workload study data collection period. For absconder cases, the agent must have attempted

personal contact, using any method, with the offender or a collateral contact according to the

following standards: one attempted personal contact per month for cold-case absconders, four

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[19] The term "revised standards" is used for the specific purpose of the workload analysis and does not reflect any changes in the policy standards. Cases that were missing supervisory review (n=37) were categorized as not meeting standards.

attempted personal contacts per month for high-risk or intensive absconders, and two attempted personal contacts per month for all other absconders.

To account for the complex nature of case supervision, NCCD constructed "case categories." Case categories are mutually exclusive categories that take into account both supervision level and case classification. These case categories are shown in Table 5 and throughout the rest of the report. To create case categories, certain offender classifications and case statuses—such as CTP, ED, and absconder—took precedence over the supervision level due to the different contact standards associated with the status. For example, if a case had an intensive supervision level and was in ED, the case was categorized as ED. The reason is that when certain statuses or offender classifications, such as ED, are associated with a case, the required number of contacts for that case's supervision level no longer applies. Release plan investigations were counted as such, regardless of any supervision level or offender classification marked on the form.

In addition, the following offender classifications took considerably more time regardless of supervision level: GPS, IMT, SCRAM/RBD, and 24/7. These four classifications resulted in an addition of approximately one hour to the total workload value, as compared to cases at the same supervision level that did not have a specialized case status (Appendix C). To account for the additional work associated with these case statuses, any offender with one of the four case statuses was considered as a separate case category, with the exception of intensive risk. The revised standards review for intensive cases was based on their supervision level, since it dictates contact requirements and other work expectations.

Out of 831 total cases, the majority (73.5%) met the revised standards; 14.2% met supervisor standards but not the revised standards; and 12.3% did not meet supervisor standards (or the supervisor did not mark whether standards had been met) and also did not meet revised standards. Cases that met the revised standards took, on average, more time (1.6 hours) than cases that met only supervisor standards (1.3 hours) and cases that did not meet supervisor standards (1.3 hours) (Table 5).

Table 5						
South Dakota DOC Parole Agent Workload Study **Mean Time Per Month for Each Case Category by Standards** **(N = 831)**						
Case Category	**Did Not Meet Supervisor Standards**		**Met Only Supervisor Standards**		**Met Revised Standards**	
	Mean Hours	**n**	**Mean Hours**	**n**	**Mean Hours**	**n**
Total	**1.3**	**102**	**1.3**	**118**	**1.6**	**611**
Indirect supervision	0.0	8	—	0	0.2	70
Minimum supervision	0.6	12	—	0	0.7	34
Medium supervision	0.9	12	0.6	33	1.3	113
Maximum supervision	1.1	13	1.0	29	1.8	102
Intensive supervision	2.1	15	2.2	28	3.5	34
CTP	1.2	11	—	0	1.9	91
Extended detainment	1.7	5	—	0	2.0	29
GPS, IMT, SCRAM/RBD, 24/7	2.3	13	1.8	26	2.7	63
Absconder (other)	—	0	0.0	1	2.2	11
Absconder (cold case)	—	0	0.1	1	0.3	14
Release plan investigation	1.3	13	—	0	1.1	50

In the prescriptive workload study methodology, estimating workload values based on only those cases that met agency standards is a critical component of the analysis. The revised standards limit the cases used in estimation to supervisor-approved cases that met the minimum number of contacts, according to a secondary review of the number of contacts recorded on the data collection instruments. This ensures that the amounts of time recorded by agents during the study adequately reflect the time required to meet agency expectations. Because the purpose of this study is to determine how many agents are needed to meet agency standards for case supervision, it is important that only those time estimates that truly reflect these agency expectations are used in the analysis. Appendix D provides the results from descriptive analyses showing what kinds of activities agents spent time on for the 611 cases that met revised standards.

3.   Other Considerations

Some cases changed in status during workload study data collection; when this occurred, it was documented on the data collection forms. For example, if the offender absconded or was placed in extended detainment during the study month, agents noted the date of the status alert and the new case status. At the end of the month, if the case met the revised standards for the case category assigned at the beginning of the study month, regardless of the status change, then the case would be included in the workload values for the original case category. If the case did not meet standards, then it was excluded for calculation of workload estimates. Including cases that have status changes (as long as they meet minimum standards) reflects the dynamic circumstances an agent must manage regardless of the level of supervision assigned. During the workload study, 82 cases (9.9%) had a status change; of these, 56 cases met the revised standards for the original case category.

Revocations that occurred during the study period were also documented on the supervision forms; 11 revocations occurred during workload study data collection. Agents met the revised standards on 10 of the revocations. These cases were included in the calculation of workload values for their assigned case category. Because complications due to revocations are a reality of a parole agent's work, it is important to capture them in the workload estimates. Agents spent an average of 4.1 hours per month on the 10 cases with a revocation status change that met the revised standards (not shown).

Workload estimates derived from the study do not distinguish between new and ongoing supervision cases. This approach was taken for multiple reasons. First, essential workload standards, including contact standards, are similar whether or not the case is new. Second, a low number of new supervision cases were observed during the workload study. While new supervision cases tended to require more time, especially cases at a higher risk level, for other case categories the workload values were similar (Appendix E). Deriving workload estimates that include values for new and ongoing cases

does provide some space, however, for the intensive case planning that a new case requires. Analyses addressing other considerations—such as workload by region and geographic variation (rural versus urban) in workload values—are presented in Appendices F and G, respectively.

At the time of the workload study, SDDOC was in the process of training workers in Effective Practices in Community Supervision (EPICS). Agents spent more time, on average, when applying EPICS to cases than they did on cases in which EPICS was not applied. The impact of using EPICS on workload values is an important consideration, given that SDDOC plans to implement EPICS statewide. Appendix H provides a more thorough discussion of the impact of EPICS on workload values and the implications for workload accounting. The EPICS model focuses on effective intervention with individuals through cognitive restructuring, relationship skill-building, and working on problem-solving skills. Agents may find that a strong relationship with a person on parole is more likely when they engage with the person face-to-face rather than by phone or email. To better understand what the implications are for workload, Appendix I describes what the estimated workload values would be if all personal contacts were conducted face-to-face (with phone and email contacts not counting as personal contacts for the purpose of meeting contact standards). The next section of this report reviews estimated workload values under current practice standards.

C.   Workload Estimation

Based on the monthly workload values and the average monthly case counts, NCCD calculated the total monthly workload demand for each type of parole case (Table 6). Average monthly case counts are based on a data extract of cases open at the end of each month in fiscal year 2015. Supervision level was based on the updated supervision level, rather than the initial supervision level assigned to the offender. The monthly workload demand reflects the number of cases multiplied by the number of hours required per case.

After the workload study's data collection phase had ended, SDDOC established contact standards for CTP cases.[20] These standards specify that regardless of the offender's risk level, parole agents are expected to make one personal contact per week with the offender. This criterion is similar to the contact requirements for intensive supervision cases. However, during the data collection phase of the study there was no required number of minimum contacts with offenders in CTP. Therefore, in order to estimate the number of agents needed with these new CTP standards in place, we used the workload value from intensive supervision cases (3.5 hours) as a proxy for the workload value for CTP cases, instead of using the workload value generated by study data (1.9 hours per month).

Results show that an estimated 4,286.8 hours are needed each month to complete all of SDDOC's Parole Services casework according to standards. When divided by the amount of agent time available (111.6 hours per month), this corresponds to an estimated 38.4 agents needed to meet workload demand in the state of South Dakota (Table 6).

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[20] The new standards were effective as of August 31, 2015.

Table 6 Workload Estimate (Incorporating Updated CTP Standards)			
Sampled Case Category	**Workload Value (Hours Per Month)**	**Annual Monthly Average Number of Offenders**	**Total Workload Hours**
Indirect supervision	0.2	368.0	**73.6**
Minimum supervision	0.7	198.5	**139.0**
Medium supervision	1.3	668.0	**868.4**
Maximum supervision	1.8	492.8	**887.0**
Intensive supervision	3.5	274.2	**959.7**
CTP[21]	3.5	151.2	**529.2**
Extended detainment	2.0	88.2	**176.4**
GPS, IMT, SCRAM/RBD, 24/7[22]	2.7	41.3	**111.5**
Absconder[23]	1.2	204.3	**245.2**
Release plan investigation[24]	1.1	269.8	**296.8**
Total Workload Demand (Hours Per Month)			**4,286.8**
Number of Agents Required to Meet Workload Demand (Total workload hours divided by available agent time: 4,286.8 / 111.6)			**38.4**

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[21] CTP estimates include offenders in the St. Francis House pilot program.

[22] The population counts for GPS, IMT, SCRAM/RBD, and 24/7 include any offender who has one of these four offender status alerts, excluding intensive-risk cases. For cases at the intensive risk level that also have an offender classification of GPS, IMT, SCRAM/RBD, or 24/7, NCCD recommends using the intensive-risk workload value rather than the workload value for GPS, IMT, SCRAM/RBD, or 24/7.

[23] Includes all types of absconders.

[24] Release plan investigations are not formally tracked. The estimates provided here are based on an annual monthly average of releases from detainments and CTP, as well as regular parole releases on discretionary, presumptive, or suspended sentence. However, this excludes interstate compact cases coming to South Dakota. Additionally, this does not account for offenders who have multiple release plans (the first being denied).

As of early fiscal year 2016, the state was allocated 39 parole agent positions, 35 of which were filled. Using the workload values that reflect the new CTP standards, SDDOC's staffing allocation appears to be sufficient once vacant positions are filled (Figure 1). However, SDDOC's evolving practice improvement efforts, such as EPICS implementation, are likely to increase workload expectations and therefore will also increase the amount of time necessary for agents to perform casework in a way that meets standards. (As mentioned previously, Appendices H and I contain more information about how the implementation of EPICS and revision of contact standards may impact workload demand.) As policies and practice change, it will be important for SDDOC to continue to monitor workload to ensure that agents have the capacity to implement the best practice standards endorsed by the agency.

Figure 1

Current Staffing Versus Required Staffing*

Filled Positions	Allocated Positions*	Total Staffing Demand
35	39	38.4
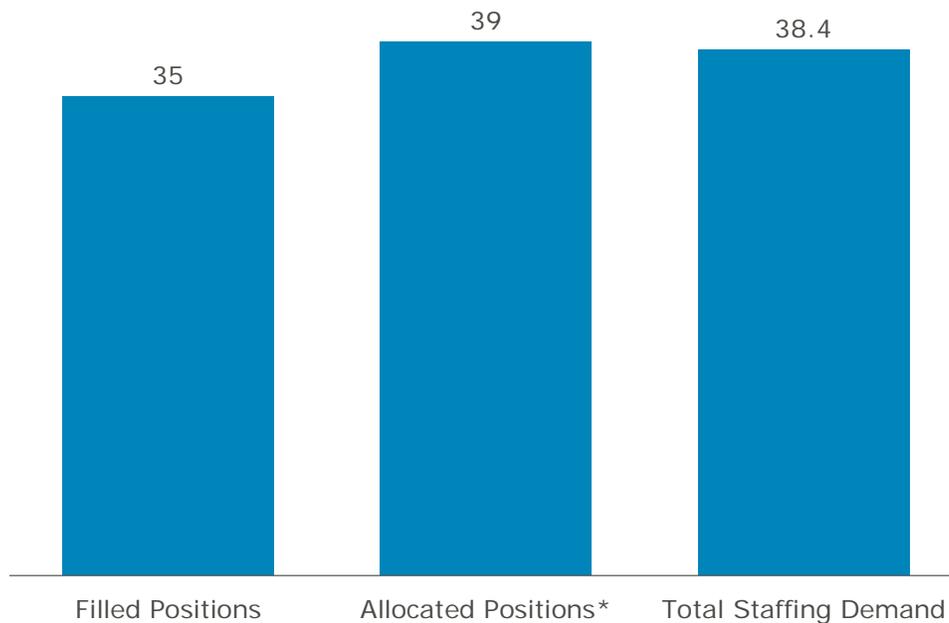
*As of early fiscal year 2016.

VI. CONCLUSION

Considering the increasing complexity of agents' work due to the implementation of new practices and policies, coupled with a fluctuating parole population, it is important to periodically revisit estimates of the time required to perform critical agency functions in a way that meets standards, in order to encourage the best possible outcomes. These practice changes may have an impact on the budget projection procedures employed by SDDOC administrative staff, as well as on any workload accounting system(s) used to track each agent's workload on an ongoing basis. The results from this study show that the time required to meet or exceed agency standards for case supervision varies by the level of case supervision and by the type of work. Additionally, agents have a number of activities and responsibilities that detract from the time they have available to devote to their caseloads. Once these activities are accounted for, agents have 111.6 hours per month to supervise offenders and perform investigative activities.

After applying the workload values based on current performance standards to the average monthly case counts in fiscal year 2015, and accounting for the amount of time workers realistically have available for their cases, the total staffing demand estimate for SDDOC Parole Services is 38.4 parole agents. NCCD recommends that SDDOC incorporate these standards-based workload values into its estimation of the number of parole agents needed and reassess this estimate on a regular basis, particularly as changes in policy impact the parole population.

Ensuring that the state is staffed at a capacity that will allow agents to meet standards in cases is an important precursor to achieving positive outcomes. However, without consideration of caseload composition, regulating case size alone will not guarantee that workers have the capacity to meet standards. For example, a caseload consisting primarily of intensive-risk cases entails a considerably different amount of work than a caseload consisting primarily of minimum-risk cases.

It is important to make the distinction between caseload and workload. When evaluating

staffing needs, agencies often refer to optimal caseload ratios. However, NCCD recommends that

agencies determine staffing needs according to the amount of work that is required (predicated on

the proportions of different case types in the agency's total caseload and the contact standards

associated with each case type), rather than simply basing staffing needs on the total number of cases.

In addition to addressing staffing and workload demand, agencies can take a number of

actions to meet their mission to protect public safety. The next section describes additional steps

SDDOC could consider to improve the effectiveness of parole services.

A. Evidence-Based Practices in Parole

As criminal justice reform strives to depopulate prisons and reduce recidivism, community

corrections represents a critical juncture in the justice system to accomplish these goals. In 2012, the

majority (62%) of offenders admitted to prison in South Dakota were sentenced for violation of

probation or parole, or as a short-term admission (detainee or relapser). Parolees accounted for the

largest proportion of this population, increasing in number by nearly three times since 2000 (768

parolees were sentenced to prison for violations in 2012, compared to 270 in 2000) (Pew Charitable

Trusts, 2013). In response, South Dakota enacted legislation in 2013 to invest in public safety strategies

and reduce the prison population. Parole plays an important role in achieving these goals. The

implementation of evidence-based practices (EBPs) that promote the success of parolees living in the

community and reduce their risk of recidivism has great potential to make a positive impact.

Measuring workload is an important step toward ensuring the state's capacity to successfully

implement EBPs that promote positive outcomes, as it allows agencies to regulate caseload size so

that workers can regularly meet supervision standards. However, caseload size alone cannot reduce

recidivism. For example, in a multi-site evaluation of the effect of caseload reduction on recidivism

rates among criminal justice agencies implementing EBPs, research revealed that only jurisdictions that successfully implemented EBPs had lowered recidivism rates with a reduction in caseload; in sites that had only partially implemented EBPs, caseload reduction had no impact on recidivism rates (Jalbert et al., 2011). From the many specific programs and policies that have shown empirical evidence of effectiveness, we identified five central themes pertinent to achieving best practices and outcomes, as well as five strategies related to implementation of these practices.

1. Themes and Best Practices for Improved Outcomes

a. *Use empirically based risk and needs assessments.*

Assessments that are based in research have been demonstrated to be more effective at identifying predictors of recidivism than professional judgment alone (Bonta & Andrews, 2007; NIC, 2013; NIC, 2011; Vera Institute of Justice, 2013). Risk assessments are useful to identify people who may be in need of more intensive services, as well as those who should not be targeted.[25] When used in conjunction with needs assessments, these tools not only help inform parole departments as to who requires intensive services, but also how best to meet their parolees' criminogenic needs.

b. *Apply the core principles of risk, need, and responsivity in matching services.*

A "one-size-fits-all" approach may be more harmful and costly than an individualized approach that focuses on multiple criminogenic needs of the individual (Vera Institute of Justice, 2013; NIC, 2013; NIC, 2011; Bonta & Andrews, 2007; French & Gendreau, 2006). Examples of potentially harmful universal requirements include mandatory drug testing, regardless of whether the offender has a history of substance abuse, and required visits at times that interfere with employment; both of these requirements may result in higher rates of violation and unnecessary use of parole resources.

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[25] Research demonstrates that excessive supervision of low-risk offenders may result in higher rates of recidivism (Bonta & Andrews, 2007).

Aligning services with the specific needs of the offender increases the likelihood of success and maximizes the impact of parole.

c.   *Use a service approach based in behavior management.*

Using pro-social behavioral management strategies helps promote positive outcomes for the offender (NIC, 2013; NIC, 2011; Guevara & Solomon, 2009). Many of these strategies are rooted in the principles of cognitive-behavioral therapy (CBT) and involve techniques to enhance motivation for change, pro-social skill-building, problem solving, and behavioral exercises to induce a shift to positive decision-making and behavioral patterns (NIC, 2011). Often these strategies involve goal-directed contacts with a focus on promoting behavior change, not only with the offender but with all collateral contacts as well (Vera Institute of Justice, 2013). In order to adopt this service approach, agencies may need to redefine their mission and goals to ensure that they align with practices that promote rehabilitation, rather than practices that are rooted in surveillance and punishment (Guevara & Solomon, 2009).

d.   *Apply timely and consistent responses to violations of parole.*

Responses to misconduct (or sanctions) that are delayed, inconsistent, or disproportionate to the nature of the event (e.g., revocation for a minor violation) are less effective in reducing recidivism than are responses that are timely, consistent, and proportionate (Rempel, 2014; NIC, 2013; NIC, 2011). Responding to every infraction in a degree that reflects the severity of the misconduct is more effective than responding with a heavy hand to only the major issues. Structured response grids or matrices are helpful tools for maintaining consistency in response to violations, and they help communicate the conditions and expectations of parole to offenders.

e.   *Use incentives and positive reinforcement to encourage compliance with conditions of parole.*

In addition to consistent sanctions, using positive reinforcement helps promote sustainable behavioral changes as individuals are learning new skills and making different decisions (Wodahl, Garland, Culhane, & McCarty, 2011; Guevara & Solomon, 2009). Selecting incentives that are meaningful and valuable to the offender will further promote compliance (Rempel, 2014; NIC, 2013; Guevara & Solomon, 2009). For example, a relaxed curfew may be more important to some than a financial incentive.

2.   <u>Strategies for Attaining and Sustaining Improved Outcomes</u>

The impact and sustainability of EBPs in community supervision is intrinsically dependent on the quality of their implementation. The following five strategies will help provide for the successful implementation of EBPs.

a.   *Ensure caseloads can accommodate quality practice.*

It is unrealistic to expect that EBPs can be effective if parole agents lack time or other resources (e.g., appropriate training) (DeMichele, 2007). While the benefits of many EBPs outweigh the costs (NIC, 2011; Drake, Aos, & Miller, 2009), successful implementation requires training and the application of new skills and practices, which may require more time than traditional supervision practices. It is important for agencies to assess workload to identify staffing demand, especially after implementing EBPs, and to identify strategies that help account for any additional time needed to carry out new changes in supervision (DeMichele, 2007; NIC, 2013).

These strategies may involve hiring more staff to reduce caseloads; redistributing existing caseloads in a manner that promotes efficiency (e.g., staff specialization); allocating certain responsibilities, as appropriate, to support staff (paperwork, transporting offenders, etc.); identifying

and eliminating redundant practices; and/or lowering supervision requirements for low-risk cases

(such as introducing technologies that facilitate remote check-ins).[26]

b.   *Promote collaboration within and between criminal justice agencies.*

Implementation of EBPs tends to be more effective when there is collaboration at multiple

levels of the criminal justice system (NIC, 2011). This entails strong and adaptive leadership and the

involvement of key stakeholders—from frontline staff to administrators—to increase support for EBPs

and reduce barriers to implementation (Rempel, 2014; Guevara & Solomon, 2009). Efforts to promote

best practices, as well as the theoretical framework in which these practices are founded, should be

communicated with other stakeholders within the system, such as judges, prosecutors, and law

enforcement. This broader collaboration will help align system goals and practices, optimizing the

likelihood of achieving desired outcomes (Guevara & Solomon, 2009; NIC, 2011).

c.   *Promote cross-system collaboration and community partnerships.*

Collaboration with agencies outside the criminal justice system, in areas such as employment,

health, and housing and other assistance programs, extends the scope of resources available to make

a positive and lasting impact. Additionally, partnering and engaging with resources in the community

(e.g., faith-based organizations, employers, support groups) is especially important for parolees who

are returning to the community and may help establish healthy support networks to reinforce the

objectives and conditions of supervision (NIC, 2013; Guevara & Solomon, 2009).

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[26] Promising practices that need more research to support effectiveness in parole include kiosk reporting and an automated call-in reporting center, both of which are used more often in probation (Vera Institute of Justice, 2013).

d.   *Collect and analyze appropriate data for monitoring the performance of EBPs.*

While existing research may support the use of a certain program, policy, or assessment, it is possible that it is not effective in the specific context of South Dakota (i.e., it lacks external validity) or that there are issues impacting the fidelity of implementation. Agencies should not only collect data on outcomes that will measure the success of the EBP at the individual and population levels (e.g., changes in behavior, recidivism rates, or number of revocations), but also quantifiable data on what factors might hinder implementation (e.g., staff perceptions, usage, system and policy barriers) (Guevara & Solomon, 2009). Expectations and performance goals should be specific, yet realistic, as outcomes that are dependent on behavioral and system changes on the part of both frontline staff and parolees may take time (Vera Institute of Justice, 2013).

e.   *Implement processes for continuous quality improvement.*

Using the information obtained in efforts to monitor performance, a mechanism for continuous feedback (i.e., a feedback loop) and continuous quality improvement should be established (Guevara & Solomon, 2009). Feedback should be timely, relevant, and accurate in order to make the best use of the information. Feedback loops are critical to address barriers and enhance the effectiveness of programs. Ultimately, with evidence of successful implementation and positive outcomes, continuous quality improvement processes will help pave the way for future efforts to improve practice.

As pressures mount on criminal justice agencies to reduce prison populations while continuing to ensure public safety, increasing emphasis is being placed on the implementation of EBPs in parole and probation. While extensive research supports the use of many of these key practices, EBPs alone do not guarantee positive outcomes. Assessing workload, and ensuring that parole agents have caseload sizes that allow them enough time to develop new skills and employ new

practices, are two crucial practices that will help maximize the effects of strong implementation of

EBPs.

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Appendix A

Parole Agent Workload Study Forms and Codes

AGENT
OFFENDER SUPERVISION TIME

1. Offender Name: _____   **2. Offender #:** _____

3. Agent Name: _____   **4. Employee #:** _____
                Last   *First*

5. Agent Classification *(circle one)*: 1. PA   2. Senior PA: FTO   3. Senior PA: Firearms instructor   4. Senior PA: EPICS

6. Offender Supervision Level *(circle one)*:   1. Indirect   2. Minimum   3. Medium   4. Maximum   5. Intensive

7. Offender Case Type *(circle one)*:   1. Release plan investigation   2. New supervision case (first 60 days)   3. Ongoing supervision

8. Offender Case Classification *(circle all that apply)*:

1. Sex offender	4. GPS	7. Halfway house	10. High-risk offenders
2. Mental health (SMI)	5. SCRAM/RBD	8. CTP	11. Absconder: High risk/intensive
3. IMT (intensive meth treatment)	6. 24/7	9. Extended detainment	12. Absconder: Ind/Min/Med/Max
			13. Absconder: Cold case

9. EPICS applied to this case?   1. Yes   2. No

10. Offender Supervision Type *(circle one)*:   1. Parole   2. Interstate compact   3. Other

11a. Case Status Change *(check if)*:   ☐ Revocation   ☐ Extended detainment   ☐ CTP   ☐ Halfway house   ☐ Absconded

11b. Case Status Change Date *(if applicable)*: _____

11c. CRR completed? 1. No   2. Yes **Date:** _____   **New Supervision Level:** 1. Indirect 2. Minimum 3. Medium 4. Maximum 5. Intensive

11d. Arrest/detainment occurred?   1. Yes   2. No

12. 30-Day Supervisor Review: Work Met Standards *(circle one)*: 1. Yes 2. No   **Recorded Time in Minutes *(circle one)*:** 1. Yes 2. No

_____   _____
Print Supervisor Name   *Date*

Contact Codes

Person Contacted	Method of Contact	Place	Activity
1. Offender	1. Face-to-face	1. Office	1. Case contact/interview/investigation/staffing
2. Collateral	2. Paperwork/computer	2. Offender's home	2. COMS/case file review/maintenance (paperwork)
3. Supervisor	3. Phone/fax/email	3. Jail/prison/facility	3. Monthly reports/report writing (violations, incidents)
4. Other staff	4. Other	4. Court	4. Transport/custody
5. None		5. Other location	5. Warrant review
			6. Hook up/take off/maintain SCRAM/RBD
			7. Other *(specify in notes)*

Date MM/DD	Contact				Time Spent (prorate if needed)			AVS/Revocation Work (√ = yes)	Notes (specify if activity code = 7)
	Person	**Method**	**Place**	**Activity**	**Activity (minutes)**	**Travel (minutes)**	**Waiting (minutes)**		
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Page _____ of _____

A1

Type	Code	CODE VALUE	DESCRIPTION
Contact Codes and Definitions for Agent Offender Supervision Time Forms			
Person			Describes with whom the agent makes a case contact. Up to two persons may be coded on each line.
	1	Offender	Agent contact with an offender in the investigation/case.
	2	Collateral	Contact with case collaterals other than victims; includes employer, family, treatment provider, neighborhood groups, landlord, etc.
	3	Supervisor	Contact with a supervisor regarding the case.
	4	Other staff	Contact with other DOC staff, including program assistants, program assistant supervisors, institution staff, etc.
	5	None	Activities related to the study case that do not involve direct contact with other persons (e.g., paperwork, computer checks, writing up investigations or progress reports, writing letters, etc.).
Method			Describes how the agent contact was made or the activity took place.
	1	Face-to-face	Direct, in-person contact with the offender, collateral, victim, etc.
	2	Paperwork/ computer	Case-related activities that do not involve any form of contact with other persons. Includes file review, report writing, etc. Case-related activities that do not involve any form of contact with other persons. Include all computer-related activities (COMS, computer searches, data entry, typing, etc.).
	3	Phone/fax/email	All phone, fax, or email contacts.
	4	Other	Use this code for any activity in relation to the study case that does not involve any of the methods described above.
Place			Describes the **agent's location** when making the contact or performing the activity.
	1	Office	Agent's office/building where office is located.
	2	Offender's home	The offender's place of residence.
	3	Jail/prison/facility	County jail, state prison, or any treatment/residential facility.
	4	Court	Courtroom, court offices, revocation hearing, etc.
	5	Other location	Contact or activity that takes place anywhere other than the places listed above (e.g., police station, street).
Activity			Describes the nature of the activity or task.
	1	Case contact/ interview/ investigation/ staffing	Indicates working with the offender, other persons, or community groups to gather or provide information or to provide counseling, monitoring, court preparation, or assessment. Generally, this code is used for all case-related activities except the very specific activities identified below.
	2	COMS/case file review/ maintenance/report writing (paperwork)	Includes risk assessment activities, writing correspondence, completing forms, reviewing files, scheduling appointments, report writing, computer data entry/retrieval, or other filing or paperwork related to the case.
	3	Monthly reports/report writing (violations, incidents)	Includes writing/compiling required reports (e.g., monthly reports, special incident reports, and violation reports).
	4	Transport/custody	Includes agent's provision of transportation of offender for any purpose (e.g., hearings, referrals, etc.), or offender custody.
	5	Warrant review	Includes activities pertaining to warrant review.
	6	Hook up/take off/maintain SCRAM/RBD	Includes establishing and removing electronic monitoring, GPS, and other surveillance equipment, as well as maintaining the equipment.
	7	Other (specify in notes)	Use this code for any activity that is not described above. Indicate the activity in the notes section of the form.

AGENT
CASE SUPPORT AND ADMINISTRATIVE TIME

1. Agent Name: _____   **2. Employee #:** _____
                        Last   *First*

3. Agent Classification *(circle one):*   1. PA   2. Senior PA: FTO   3. Senior PA: Firearms instructor   4. Senior PA: EPICS

4. Supervisor 30-Day Review

_____   _____

Supervisor Name   Date

Activity Codes

<u>Non-Case Administrative Activities</u>
1. Training: Attending or providing
2. Training: Preparation and follow-up
3. Administrative tasks/meetings/committees *(specify in notes)*
4. Community relations
5. Vacation/sick leave/military/other leave
6. Other non-case administrative *(specify in notes)*

<u>Case Support Activities</u>
7. Case staffing/consultation (not my case)
8. Substitute agent (not my case)
9. Backup coverage (not my case)
10. Pre-release investigation
11. Other case support *(specify in notes)*

Date MM/DD	Activity (codes 1–11)	Time Spent (prorate if needed)		Notes *(specify if activity code = 3, 6, or 11 or extenuating circumstances apply)*
		Activity (minutes)	**Travel (minutes)**	
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Page _____ of _____

Activity Codes and Definitions for Agent Case Support and Administrative Time Form			
Type	**Code**	**Code Value**	**Description**
Non-Case Administrative Activities			Describes the nature of non-case administrative activities or tasks.
	1	Training: Attending or providing	Indicates activities that are designed to enhance staff skills and functioning. This category includes both mandatory and non-mandatory training received in attendance at workshops, conferences, etc. This category also includes any training that an agent may provide to another agent that is not case-related.
	2	Training: Preparation and follow-up	Indicates time spent preparing for training or performing follow-up activities including job shadowing, coaching, etc.
	3	Administrative tasks/meetings/ committees (specify in notes)	Indicates internal activities that are routine or periodic organizational requirements, such as participating in unit staff meetings; committees and task forces; or other administrative tasks, such as completing expense forms, responding to staff surveys, or personnel-related activities. Includes non-case-specific activities such as: contact compliance review, file audits, supervisory duties, proficiency and competence exams, and building/fleet maintenance.
	4	Community relations	Indicates external activities designed to provide information or education about responsibilities and functioning or broader crime issues and programs. Examples include engagements at local schools or professional organizations and responding to requests for information and advice about agent's role, programs, or services (that are not in relation to specific cases).
	5	Vacation/sick leave/military/ other leave	Includes vacation, sick leave, or any other leave taken during the course of the study.
	6	Other non-case administrative (specify in notes)	Use for administrative activities not described above. Indicate the activity in the notes section of the form.
Case Support Activities			Describes the nature of case support activities or tasks.
	7	Case staffing/ consultation (not my case)	Participation in formal staffings or informal meetings with coworkers about their cases, including consultation with an intern or mentor concerning a case not assigned to you. Includes: former cases, PSI input, warrant review, hearing prep, law enforcement inquiries, work with new hires.
	8	Substitute agent (not my case)	Covering a case for a primary agent because the primary agent is ill, out of the office, or otherwise unavailable. This includes covering court for someone else's case(s) and transportation. All on-call case activity should be reported here.
	9	Backup coverage (not my case)	Accompanying and/or assisting another agent with a case, such as a home visit or transportation.
	10	Pre-release investigation	This includes the coordination/development of programs or services that support the supervision program (not related to a specific case).
	11	Other case support (specify in notes)	Use for case support activities not described above. Indicate the activity in the notes section of the form. This includes voluntary service interventions for offenders in transition or families.

Appendix B

South Dakota Department of Corrections Parole Agent Standards[27]

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[27] Appendix B lists the contact standards that were in effect during the workload study data collection period. The contact standards for CTP cases were updated effective August 31, 2015, and can be found at https://doc.sd.gov/documents/about/policies/Parole%20Services-Community%20Transition%20Program.pdf

SOUTH DAKOTA DEPARTMENT OF CORRECTIONS PAROLE AGENT STANDARDS
TABLE OF CONTENTS

Supervision Cases

SUPERVISION CASES

NEW PAROLE

Length of Case Study

- Begins: When the case is assigned.
- Ends: 60 days later.

Agency Standards: Case planning/forms/documentation

1. New Case Standards

    a. Financial Obligations

    b. Release Plan Investigations
        i. Filling out reporting instructions
        ii. SA complying with board orders
        iii. Approving plan

    c. Hand out friends/family packet

    d. Risk/Needs Assessments (CRA)

    e. Initial contact within 72 hours

    f. May include: setting up CD/MH appointments, sign release of information, update COMS, verify/update release info

    g. Day 1: Getting pre-release email

    h. 60 day period (includes the extra "new" contacts)

2. Contact standards based on supervision level:

    a. Intensive Supervision: A minimum of one (1) personal contact per week, one (1) collateral contact per week and one (1) random contact each thirty (30) day period

    b. Maximum Supervision: A minimum of two (2) personal contacts and one (1) collateral contact each thirty (30) day period

    c. Medium Supervision: A minimum of one (1) personal contact and one (1) collateral contact each thirty (30) day period

    d. Minimum Supervision: A minimum of one (1) personal contact and one (1) collateral contact each sixty (60) day period

e.   Indirect Supervision: One (1) monthly report submitted from the offender to the parole agent either in person or by mail. No personal contact or collateral contact is required with indirect supervision.

f.   Contact standards are only minimum supervision standards. The number of contacts may vary from these requirements based upon individual offender circumstances.

   i.   Exceeding the minimal standards should be to address exceptional circumstances.

   ii.   The number of actual contacts should be based upon public safety, offender needs, risk factors, DOC policy and agency directives.

3.   Evidence Based Practices as applicable; Motivational interviewing, case planning, core correctional practices and Effective Practices in Community Supervision (EPICS)

ONGOING PAROLE

Length of Case Study

- Begins: 4/10/2015.
- Ends: 6/10/2015.

Agency Standards: Case planning/forms/documentation

1.   Contact standards based on supervision level:

a.   Intensive Supervision: A minimum of one (1) personal contact per week, one (1) collateral contact per week and one (1) random contact each thirty (30) day period

b.   Maximum Supervision: A minimum of two (2) personal contacts and one (1) collateral contact each thirty (30) day period

c.   Medium Supervision: A minimum of one (1) personal contact and one (1) collateral contact each thirty (30) day period

d.   Minimum Supervision: A minimum of one (1) personal contact and one (1) collateral contact each sixty (60) day period

e.   Indirect Supervision: One (1) monthly report submitted from the offender to the parole agent either in person or by mail. No personal contact or collateral contact is required with indirect supervision.

f.   Contact standards are only minimum supervision standards. The number of contacts may vary from these requirements based upon individual offender circumstances.

   i.   Exceeding the minimal standards should be to address exceptional circumstances.

        ii.   The number of actual contacts should be based upon public safety, offender needs, risk factors, DOC policy and agency directives.

2.   Update risk/needs assessment per policy

Community risk/needs assessment updated every 3 months

3.   Update case plan per policy

4.   Evidence Based Practices as applicable; Motivational interviewing, case planning, core correctional practices and Effective Practices in Community Supervision (EPICS)

SEX OFFENDER

Length of Case Study

- Begins: 4/10/2015.
- Ends: 6/10/2015.

Agency Standards: Case planning/forms/documentation

1.   Pre-release

    a.   Preparation
        i.   Review of Assessments
        ii.   Staffing w/ SOMP & Community Provider
        iii.   History Polygraphs
        iv.   Previous Violations

    b.   GPS

    c.   Individual Sessions

    d.   CTP/Halfway

    e.   Periodic Polygraph

    f.   Discussion with examiner & review final report

2.   GPS

    a.   Travel to put it on offender
    b.   Communicating logistics/restrictions with GPS provider
    c.   Phone calls from provider when offender doesn't respond

SCRAM

Length of Case Study

- Begins: 4/10/2015.
- Ends: 6/10/2015.

Agency Standards: Case planning/forms/documentation

1. Proper paperwork
2. File participation agreement (board order?)/sanction
3. File consent/release
4. Parole directive (Nicole Maas)
5. Payment determined by agent/add financial obligation in COMS
6. Alert
7. Check in Equipment

ABSCONDER

Length of Case Study

- Begins: 4/10/2015.
- Ends: 6/10/2015.

Agency Standards: Case planning/forms/documentation

1. Following the issuance of the warrant, the supervising Parole Agent will continue to maintain primary responsibility for the supervision of the absconder case.

2. Parole Agents have the following contact requirements while supervising an absconder case:

   a. Two investigatory contacts (attempted personal contact with offender or offender's family and/or other collateral contact[s]) will be completed each 30 day period on absconders not designated as a High Risk Offender or who were not classified to intensive supervision at the time the warrant was issued.

   b. Four investigative contacts (attempted personal contact with offender or offender's family and/or collateral contact[s]) will be completed each 30 day period on offenders with an active "High Risk Offender" alert and offenders who were classified to intensive supervision at the time the warrant was issued.

3. Designated Parole Agent(s) will spend 30 minutes/week reviewing Facebook to identify and establish potential leads and assist other Parole Agents with efforts to locate absconders. This work, and any subsequent contacts resulting from it, will be documented in Contact Logs in COMS.

4.   Parole Agents, as part of or in addition to the required investigatory contacts, may send letters/information to family/friend and law enforcement contacts, including the county in which the absconder was originally sentenced, the county of last residence, any other frequented locations, or locations where the absconder is suspected/believed to be traveling or staying (based on information provided to the Agent and/or past behavior of the absconder). Law enforcement contacts can also be sent an "Absconder from Parole" poster, with any updated information, for display and distribution, as necessary.

   a.   Parole Agents will follow-up on any leads generated by letters, phone calls, Facebook, and other inquiries.

   b.   Law enforcement will be contacted with any new or updated information generated.

   c.   All follow-up efforts and contacts made by Parole Services staff should be noted in Contact Logs COMS.

   d.   If there are no active leads and no new leads have been generated in over 90 days, the offender may be classified as a Cold Case Absconder.

   e.   The Regional Supervisor or designee must approve a change in status from Absconder to Cold Case Absconder.

   f.   Agents must make 1 attempted investigatory contact/month for offenders approved to be Cold Case Absconders.

	Number of Contacts	Last 90 days
Intensive/High Risk	4	Yes/No
Med/Min/Ind Max	2	Yes/No
Cold Case	1	Yes/No

IMT (Intensive Meth Treatment)

Length of Case Study

- Begins: 4/10/2015.
- Ends: 6/10/2015.

Agency Standards: Case planning/forms/documentation

1.   Release Plan

2.   Which Phase (3 or 4)

   a.   Phase 3
            i.   HWH (90 days)
            ii.   IPD/PE

        iii.   Phase 4 plan

    b.   Phase 4: HWH/Community (180 days)
        i.   90 days→2/weekly UAs & CD program
        ii.   90 days→2/month random UAs and CD program

3.   AVS if Drug or Alcohol Use (Chemical Department)

    a.   Staff with MT Staff

        Follow Recommendations
        i.   AVS
        ii.   Detainment
        iii.   Reassess
        iv.   Restart Phase
        v.   Termination
        vi.   Increase UA's

4.   Certification of Completion

For purposes of the workload study, these are the standards for work associated with CTP and Extended Detention cases.

CTP

Length of Case Study

- Begins: CTP Alert.
- Ends: When work is completed regarding the alert or the study ends.

Agency Standards: Case planning/forms/documentation

1.   Investigative activities

2.   Securing residence, employment and other services

3.   Communicating changes in employment and parole expectations; ensuring that these administrative changes are made (e.g., updating curfew)

4.   Updating COMS

EXTENDED DETAINMENT

Length of Case Study

- Begins: Extended Detainment Alert.
- Ends: When work is completed regarding the alert or the study ends.

Agency Standards: Case planning/forms/documentation

1. Investigative activities (e.g., going to the jail to conduct an interview)

2. Court visits

3. Communicating changes in employment and parole expectations; ensuring that these administrative changes are made (e.g., updating curfew)

4. Updating COMS

Release planning: Securing residence, employment and other services

Appendix C

Additional Case Classification Analyses

Additional Case Classification Analyses

NCCD conducted analyses to determine how workload values vary by case classification (or case status) in addition to supervision level. The purpose was to determine whether there are certain case statuses that warrant workload credit because of the amount of additional work associated. There are four case statuses that, when they were present, resulted in an addition of at least one hour to the total workload value, as compared to cases without a specialized case status (categorized by supervision level alone): (1) IMT; (2) GPS; (3) SCRAM/RBD; and (4) 24/7.

These four case statuses are more likely to be associated with offenders at higher risk levels— in other words, with cases that require more intensive supervision levels. Additionally, when each of these case statuses is further stratified according to case category, the cell sizes become increasingly small, compromising the reliability of the workload estimates. Therefore, we compared workload values for cases without any of the statuses to workload values for cases with one or more of the four case statuses in *only* the relevant case categories, in order to provide a more representative comparison (Table C). For example, none of the cases that had one of these four case statuses were indirect-supervision cases or absconders, so these case types were excluded from the comparison.

Table C				
South Dakota DOC Parole Agent Workload Study **Case Category Time Per Month by Associated Status** **Cases Meeting Revised Standards** **(N = 551)[28]**				
Case Category	**No IMT, GPS, SCRAM/RBD, or 24/7 Case Status**		**With IMT, GPS, SCRAM/RBD, or 24/7 Case Status**		**Ratio of Mean Hours (B/A)**
	Mean Hours (A)	**N**	**Mean Hours (B)**	**n**	
Total[29]	**1.7**	**403**	**2.7**	**63**	**1.6**
Minimum supervision	0.7	34	0.8	1	
Medium supervision	1.3	113	1.7	14	
Maximum supervision	1.8	102	1.9	18	
Intensive supervision	3.5	34	3.4	23	
CTP	1.9	91	5.7	6	
Extended detainment	2.0	29	0.4	1	

The results above suggest that cases with any of these four case statuses associated require an average of one hour of work more per month (or 1.6 times more time) than cases that do not have one of the four case statuses. The overall workload value for cases with IMT, GPS, SCRAM/RBD, and 24/7 is 2.7 hours per month.

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[28] The total excludes release plan investigations and cases that were missing a supervision level.

[29] The total mean is determined only from case categories listed. Therefore the total time was determined by the following calculation: [(0.7 * 34) + (1.3 * 113) + (1.8*102) + (3.5 * 34) + (1.9 * 91) + (2.0 * 29)] / (34 + 113 + 102 + 34 + 91 + 29) = 1.7.

Appendix D

Descriptive Analyses of Time Spent on Cases Meeting Revised Standards

The primary purpose of the workload study was to determine the number of agent positions required to handle SDDOC's Parole Services workload demand. However, the study can also provide information regarding the nature of work done with offenders under SDDOC supervision. For this analysis, NCCD analyzed the workload study data in a different manner than that used in the body of the report. Descriptive information is provided regarding how time spent on cases (in which standards were met or exceeded) was distributed across:

- Time spent traveling to carry out activities, time spent waiting to do those activities, and time spent actually carrying out those activities; and

- The person (other than the officer) involved in the activity, the method by which casework was done (i.e., face-to-face, phone, paperwork, or other), the location where work occurred, and the nature of the work itself.

These analyses are possible because of the way in which information was collected and recorded by staff during the workload study. For every sampled-case activity in which they were involved, the agents used codes to record with whom they worked (person), how they worked (method), where they worked (place), and the nature of the work (activity). They also recorded the amount of time spent traveling, waiting, and actually carrying out the activity.

These descriptive data can provide more insight into how field staff deliver services to individuals on parole.

Travel, Waiting, and Activity Time

Table D1 shows the distribution of time spent on travel, waiting, and actually performing the activity across all supervision cases meeting revised standards. The data show that statewide, the average time required to meet standards for all types of supervision cases was approximately 96 minutes (1.6 hours) per month. This was based on 611 cases in which both supervisor standards and policy standards (i.e., the revised standards) were met or exceeded. Of this total time, 11.1% (an

average of 10.6 minutes) was spent traveling to do the work, 0.5% (an average of less than one minute) was spent waiting to do the work, and 88.4% (84.7 minutes) was spent doing the activity itself.

Note that (1) not all cases necessarily involved travel or waiting; (2) the work may have happened in any of a number of places (e.g., office, offender's home, or facility); (3) the work may have involved any of a number of people (e.g., the offender, a collateral contact, or a supervisor); and (4) the activity itself could have been one of a number of things, including case contact, transport, hooking up SCRAM, etc. In other words, the data shown include all the work undertaken during a month in relation to these 611 cases.

Table D1 South Dakota DOC Parole Agent Workload Study Distribution of Monthly Case Time by Travel, Waiting, and Activity All Cases Meeting Revised Standards (N = 611)		
Category	**Average Minutes Spent**	**Percentage of Minutes Spent**
Time spent traveling	10.6	11.1%
Time spent waiting	0.5	0.5%
Time spent performing the activity	84.7	88.4%
Total Time (Minutes)	**95.7**	**100.0%**
Total Time (Hours)	**1.6**	**100.0%**

Distribution of Case Time by Person, Method, Location, and Activity

The average amount of time per month to serve and meet standards for one case, across all case categories and supervision levels, was 1.6 hours. The remainder of Appendix D answers the following questions about that time.

- How was the total case time distributed across the people involved in the activity?
- How was it distributed across the method by which the activities occurred?
- How was it distributed according to the place where the work happened?
- How was it distributed based on the nature of the activities that took place?

Time Spent by Person Involved

On average, half (53.1%) of the time agents spent on supervision cases was devoted to work pertaining to offenders. Agents spent one quarter of their supervision case time doing work regarding collateral people (25.4%). Approximately 18% of the time they spent on supervision cases did not involve other people. The remaining 4% of time was spent on activities that included supervisors and other staff (Table D2).

Table D2		
South Dakota DOC Parole Agent Workload Study **Distribution of Monthly Case Time by Person Involved** **All Cases Meeting Revised Standards** **(N = 611)**		
Person Category	**Average Minutes Spent**	**Percentage of Minutes Spent**
Offender	50.9	53.1%
Collateral	24.3	25.4%
Supervisor	1.0	1.0%
Other staff	2.7	2.8%
None	16.9	17.6%
Total Time (Minutes)	**95.7**	**100.0%**
Total Time (Hours)	**1.6**	**100.0%**

Time Spent by Method of Contact

Approximately half (52.3%) of agents' supervision case time involved face-to-face contact, including travel and waiting time. One quarter (25.2%) of supervision case time was spent on phone, fax, and/or e-mail (Table D3).

Table D3

South Dakota DOC Parole Agent Workload Study
Distribution of Monthly Case Time by Method of Work
All Cases Meeting Revised Standards
(N = 611)

Method Category	Average Minutes Spent	Percentage of Minutes Spent
Face-to-face	50.1	52.3%
Paperwork/computer	20.0	20.9%
Phone/fax/email	24.1	25.2%
Other	1.4	1.5%
Total Time (Minutes)	**95.7**	**100.0%**
Total Time (Hours)	**1.6**	**100.0%**

Time Spent by Place

Almost three quarters (71.9%) of the work done on cases occurred at DOC offices. These data include all methods of contact and all people involved in contacts; this means that face-to-face contacts occurring in the office and phone calls made from the office were included. The rest of the agents' supervision case time was distributed between other locations (13.9%); a jail, prison and/or facility (6.7%); an offender's home (7.3%); or court (less than 1%) (Table D4).

Table D4

South Dakota DOC Parole Agent Workload Study
Distribution of Monthly Case Time by Location of Work
All Cases Meeting Revised Standards
(N = 611)

Location Category	Average Minutes Spent	Percentage of Minutes Spent
Office	68.8	71.9%
Offender's home	7.0	7.3%
Jail/prison/facility	6.4	6.7%
Court	0.1	0.1%
Other	13.3	13.9%
Total Time (Minutes)	**95.7**	**100.0%**
Total Time (Hours)	**1.6**	**100.0%**

<u>Time Spent by Type of Activity</u>

Three quarters (75.6%) of the time agents spent on supervision cases was devoted to case contact, interviewing, investigation, and/or staffing (note that this includes travel and waiting time). The rest of supervision time was devoted to COMS, case file review, and/or maintenance (16.3%); monthly reports and/or report writing (3.0%); transport custody (2.7%); other tasks (1.7%); hooking up, taking off, and/or maintaining SCRAM/RBD (0.6%); and warrant review (0.1%) (Table D5).

Table D5 South Dakota DOC Parole Agent Workload Study Distribution of Monthly Supervision Time by Activity Type All Cases Meeting Revised Standards (N = 611)		
Activity Type	**Average Minutes Spent**	**Percentage of Minutes Spent**
Case contact/interview/investigation/staffing	72.4	75.6%
COMS/case file review/maintenance (paperwork)	15.6	16.3%
Monthly reports/report writing (violations, incidents)	2.9	3.0%
Transport custody	2.6	2.7%
Warrant review	0.1	0.1%
Hook up/take off/maintain SCRAM/RBD	0.6	0.6%
Other	1.6	1.7%
Total Time (Minutes)	**95.7**	**100.0%**
Total Time (Hours)	**1.6**	**100.0%**

Case Support and Administrative Time Spent by Activity and Travel Time

Backup coverage required the most travel time (a mean of 2.3 hours) compared to all other case support activities. For non-case-based administrative activities, attending or providing training required, on average, the most amount of travel (1.2 hours) (Table D6).

Table D6			
South Dakota DOC Parole Agent Workload Study **Average Case Support and Administrative Time Per Month by Activity**			
	Mean Activity Hours	**Mean Travel Hours**	**Total Hours (Activity and Travel Combined)**
Non-Case-Based Administrative Activity Time			
Training: Attending or providing	5.9	1.2	**7.1**
Training: Preparation and follow-up	2.1	0.2	**2.3**
Administrative tasks/meetings/committees	4.7	0.2	**5.0**
Community relations	1.2	0.3	**1.4**
Other non-case-based administrative activities	1.7	0.2	**1.9**
Total Non-Case-Based Administrative Activity Time			**17.7**
Case Support Activity Time			
Case staffing/consultation	2.2	0.1	**2.4**
Substitute agent	1.7	0.3	**2.0**
Backup coverage	3.4	2.3	**5.7**
Pre-release investigation	0.8	0.2	**1.0**
Other case support activity	0.3	0.1	**0.4**
Total Case Support Time (Hours Per Month)			**11.5**
Total Travel, Case Support, and Non-Case-Based Administrative Activity Time (Hours Per Month)			**29.2**

Appendix E

Time Comparison of New Supervision Cases to Established Cases

Comparison of New Supervision Cases to Established Cases

Among the cases that met the revised standards, new supervision cases within the first 60 days of release from prison took more time per month, on average, than ongoing supervision cases (2.2 hours and 1.5 hours, respectively) (Table E). Across all case categories, the average time spent on new supervision cases was higher than the average time spent on ongoing supervision cases, with the exception of CTP cases and the GPS, IMT, SCRAM/RBD, and 24/7 statuses. When workload values are calculated using only a few cases, results should be interpreted with caution, as variation in individual values may impact the reliability of the time estimates.

Table E				
South Dakota DOC Parole Agent Workload Study **Mean Time Per Month by Case Category** **Cases Meeting Revised Standards** **(N = 551)[30]**				
Case Category	**New Supervision Case (First 60 Days)**		**Ongoing Supervision Cases**	
	Mean Hours	**N**	**Mean Hours**	**n**
Total	**2.2**	**82**	**1.5**	**469**
Indirect supervision	—	0	.3	69
Minimum supervision	—	0	.7	34
Medium supervision	1.8	9	1.2	102
Maximum supervision	2.6	19	1.6	83
Intensive supervision	3.3	2	3.5	32
CTP	2.1	42	1.7	47
Extended detainment	2.4	1	1.9	27
GPS, IMT, SCRAM/RBD, 24/7	1.7	9	2.9	51
Absconder (other)	—	0	2.2	11
Absconder (cold case)	—	0	.4	13

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[30] These numbers exclude release plan investigations. Of the 560 remaining cases that met the revised standards, nine records did not specify whether they were new or ongoing and were excluded from this analysis. These cases did have the case category indicated, and so were included in calculations of overall workload values.

Appendix F

Comparisons of Workload Values by Region

Additional analysis informed the question of whether regional variation existed among the amount of agent time required to supervise cases in each case category. The overall average agent time required for all case types was slightly higher in the Southeast region, as compared to the Northeast or West regions. Across all regions, higher levels of offender supervision corresponded to higher workload values (Table F1). It is of critical importance that caution be taken when reviewing these results, due to the small sample sizes at this level of stratification. For example, the Southeast region does not typically work with absconders; however, CTP cases are largely concentrated in this region. Therefore, comparing the 0.9 hours it took agents to meet standards on the three CTP cases in the Northeast to the 1.9 hours required for the 80 CTP cases in the Southeast could lead to a misleading interpretation of the findings. The higher distribution of CTP cases in the Southeast region has important implications for staffing demand in light of the recent implementation of CTP standards. We recommend that each region use the statewide workload value for intensive-supervision cases of 3.5 hours to estimate how many staff might be needed.

Case Category	Table F1 South Dakota DOC Parole Agent Workload Study Mean Agent Time Required Per Month by Case Category and Region All Cases Meeting Revised Standards (N = 611)					
	Southeast		Northeast		West	
	Mean Hours	n	Mean Hours	n	Mean Hours	n
Total	**1.7**	**296**	**1.5**	**172**	**1.5**	**143**
Indirect supervision	0.2	44	0.5	18	0.2	8
Minimum supervision	0.6	10	0.9	11	0.8	13
Medium supervision	1.6	33	1.1	46	1.1	34
Maximum supervision	1.9	39	1.8	32	1.6	31
Intensive supervision	3.5	12	3.7	15	3.4	7
CTP	1.9	80	0.9	3	2.1	8
Extended detainment	2.1	20	2.0	3	1.4	6
GPS, IMT, SCRAM/RBD, 24/7	3.2	26	2.7	13	2.2	24
Absconder (other)	4.2	2	1.9	8	1.4	1
Absconder (cold case)	0.2	3	0.4	11	—	0
Release plan investigation	1.1	27	1.3	12	0.9	11

Further analysis by region indicated that agents in the Northeast region spent, on average, more time traveling and less activity time than the other regions. The West region spent less time traveling but more time waiting, on average, than the other regions; the Southeast region spent, on average, more overall time on activities than the other two regions (Table F2).

Case Category	Southeast (n=296)			Northeast (n=172)			West (n=143)		
	Activity	Travel	Wait	Activity	Travel	Wait	Activity	Travel	Wait
Total	**93.0**	**8.3**	**0.3**	**73.8**	**17.3**	**0.5**	**80.5**	**7.3**	**0.9**
Indirect supervision	9.3	0.3	0.0	22.7	5.4	0.0	14.0	0.0	0.0
Minimum supervision	34.8	0.0	0.0	34.2	17.2	0.3	40.4	3.5	1.5
Medium supervision	85.8	10.9	0.2	52.5	15.9	0.4	59.4	6.3	0.1
Maximum supervision	105.5	10.2	0.1	83.6	26.2	0.3	84.5	9.7	0.8
Intensive supervision	191.1	15.1	1.7	185.8	32.3	2.0	171.6	27.1	3.3
CTP	108.2	6.3	0.3	51.3	0.0	0.0	121.3	3.8	1.9
Extended detainment	109.1	18.6	1.0	112.0	6.3	0.0	76.7	0.0	7.5
GPS, IMT, SCRAM/RBD, 24/7	182.7	11.5	0.0	138.8	22.8	0.6	125.3	7.7	0.0
Absconder (other)	106.5	147.5	0.0	95.8	14.0	1.3	83.0	0.0	0.0
Absconder (cold case)	12.0	0.0	0.0	17.0	5.5	0.0	—	—	—
Release plan investigation	62.9	0.9	0.0	64.8	13.1	0.3	46.8	6.7	0.0

Table caption (above data):

Table F2

South Dakota DOC Parole Agent Workload Study
Average Activity, Travel, and Wait Time Per Month (in Minutes)
By Case Category and Region
All Cases Meeting Revised Standards
(N = 611)

Appendix G

Comparison of Workload Values by Geography (Urban Versus Rural)

To better understand whether geographic variation exists, we compared rural and urban mean supervision times. The rural and urban distinction was based on whether the agent responsible for a case is classified as having a rural or urban caseload. For cases in which the revised standards were met or exceeded, overall mean supervision time was slightly higher in urban areas than rural areas (1.6 hours to 1.5 hours, respectively) (Table G1). Caution is advised when comparing workload values by case category, due to the unreliability of small sample sizes at this level of stratification. Across both rural and urban areas, higher supervision levels corresponded to higher workload values.

Table G1				
South Dakota DOC Parole Agent Workload Study **Average Supervision Time Per Month by Case Category and Geography** **Cases Meeting Revised Standards** **(N = 592)[31]**				
Case Category	**Rural**		**Urban**	
	Mean Hours	**n**	**Mean Hours**	**n**
Total	**1.5**	**250**	**1.6**	**342**
Indirect supervision	0.2	24	0.2	42
Minimum supervision	0.9	17	0.5	16
Medium supervision	1.2	65	1.4	45
Maximum supervision	1.8	41	1.7	57
Intensive supervision	3.3	18	3.4	12
CTP	2.0	22	1.9	69
Extended detainment	1.5	9	2.2	20
GPS, IMT, SCRAM/RBD, 24/7	2.5	17	2.8	45
Absconder (other)	1.9	8	3.3	3
Absconder (cold case)	0.4	13	0.0	1
Release plan investigation	1.4	16	0.9	32

We also examined rural and urban supervision times by activity, travel, and wait time. Travel time in rural areas averaged 16.9% of total supervision time compared to 7.2% of total supervision

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[31] Of the 611 cases that met the revised standards, 19 did not have a geographic location assigned and therefore were not included in this analysis.

time in urban areas (15.3 minutes and 7.0 minutes, respectively). In turn, agents in urban areas spent a

higher percentage of supervision time on activities than agents in rural areas (Table G2).

Table G2 **South Dakota Agent Workload Study** **Average Supervision Time Per Month by Time Category and Geography** **Cases Meeting Revised Standards** **(N = 592)[32]**				
	Rural (n=250)		**Urban (n=342)**	
	Mean Minutes	**Percent of Total Time**	**Mean Minutes**	**Percent of Total Time**
Activity Time	74.2	81.2%	90.0	92.7%
Travel Time	15.3	16.9%	7.0	7.2%
Wait Time	1.0	1.1%	0.1	<1%
Total Time	90.5	100%	97.1	100%

The overall time that agents spent on cases that met the revised standards was slightly higher

in urban regions, as compared to rural regions. The proportion of time spent on travel, however, was

higher in rural regions. Given that results were so similar, workload estimates in this report apply to

both urban and rural cases.

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[32] Of the 611 cases that met the revised standards, 19 did not have a geographic location assigned and therefore were not included in this analysis.

Appendix H

Impact of EPICS on Time Required for Supervision

As a part of the South Dakota Criminal Justice Initiative approved in 2013, SDDOC began

training parole agents to begin working with Effective Practices in Community Supervision (EPICS).

The EPICS model is designed to increase the effectiveness of community supervision through

structured interactions between agents and offenders, which are based on a collaborative, cognitive

behavioral approach. The EPICS model is not meant as a substitute for existing services, but rather as a

framework to maximize the potential of staff as "agents of change" and put the risk, need, and

responsivity principles into practice by targeting the criminogenic needs of high-risk offenders

(University of Cincinnati Corrections Institute, 2015).

Implementation of EPICS involves a three-day training for agents and supervisors, followed by

a coaching period that lasts six to eight months. During the training, staff are taught how to apply core

correctional practices including relationship skills, skill building and problem solving, cognitive

restructuring, reinforcement, and use of authority. Each meeting between an agent and an individual

on parole should include the following structured components:

1. Check-in;
2. Review;
3. Intervention; and
4. Homework.

The coaching period involves agents recording their meetings and submitting audio tapes for

review and feedback. While EPICS is not a program designed to replace or supplement existing

supervision, it does involve a shift in practice that requires new skills and techniques (e.g.,

communication strategies, such as motivational interviewing and active listening; skill-building

exercises, such as role-playing; and homework assignments in preparation for the next meeting).

Development and application of these skills requires time for learning, practice, planning, and

continuous quality improvement. In order to use cognitive-behavioral techniques to address

criminogenic needs, as taught in the EPICS training, agents must spend sufficient face-to-face time

with offenders. Therefore, it is important to be aware of the additional time agents may require to ensure quality practice and successful implementation of EPICS.

At the time of the workload study, approximately one third of agents had received the EPICS training. In order to understand how EPICS affects the amount of time agents require to supervise cases, agents who had received training at the time of the study recorded whether or not they applied EPICS to their sampled cases. A total of 64 cases had EPICS applied, 43 (67.2%) of which met the revised standards. Overall, cases in which EPICS was applied required more than twice the time (2.2 times) than cases in which EPICS was not applied (Table H1). However, caution should be taken in making comparisons with these results, due to the small number of cases in the study in which EPICS was applied.

Table H1 South Dakota DOC Parole Agent Workload Study Case Category Time Per Month by Application of EPICS All Cases Meeting Revised Standards (N = 611)					
	EPICS Not Applied		**EPICS Applied**		**Ratio of Mean Hours**
Case Category	**Mean Hours (A)**	**n**	**Mean Hours (B)**	**n**	**B/A**
Total	**1.5**	**568**	**3.3**	**43**	**2.2**
Indirect supervision	0.2	70	—	0	—
Minimum supervision	0.7	33	0.8	1	1.0
Medium supervision	1.3	104	1.5	9	1.2
Maximum supervision	1.7	93	2.9	9	1.8
Intensive supervision	3.3	25	4.1	9	1.2
CTP	1.9	91	—	0	—
Extended detainment	2.0	26	2.2	3	1.1
GPS, IMT, SCRAM/RBD, 24/7	2.3	54	5.5	9	2.4
Absconder (all)	1.1	24	4.0	1	3.7
Release plan investigation	1.1	48	1.6	2	1.5

A fundamental component of EPICS is targeting offenders who are at higher risk of recidivism. Therefore, it is not surprising that there is a higher proportion of intensive- and maximum-risk cases in the sample where EPICS was applied, as compared to the cases without EPICS (Figure H1). For example, nine out of 43 EPICS cases (20.9%) were intensive-supervision, compared to 25 out of 568 non-EPICS cases (4.4%) (Figure H).

Figure H
Proportion of Cases by Whether or Not EPICS Was Applied

	EPICS (n=43)	No EPICS (n=568)
Absconder (all)	2.3%	4.2%
GPS, IMT, SCRAM/RBD, 24/7	20.9%	9.5%
Extended detainment	7.0%	4.6%
CTP	0.0%	16.0%
Intensive	20.9%	4.4%
Maximum	20.9%	16.4%
Medium	20.9%	18.3%
Minimum	2.3%	5.8%
Indirect	0.0%	12.3%
Release plan investigation	4.7%	8.5%

N = 611
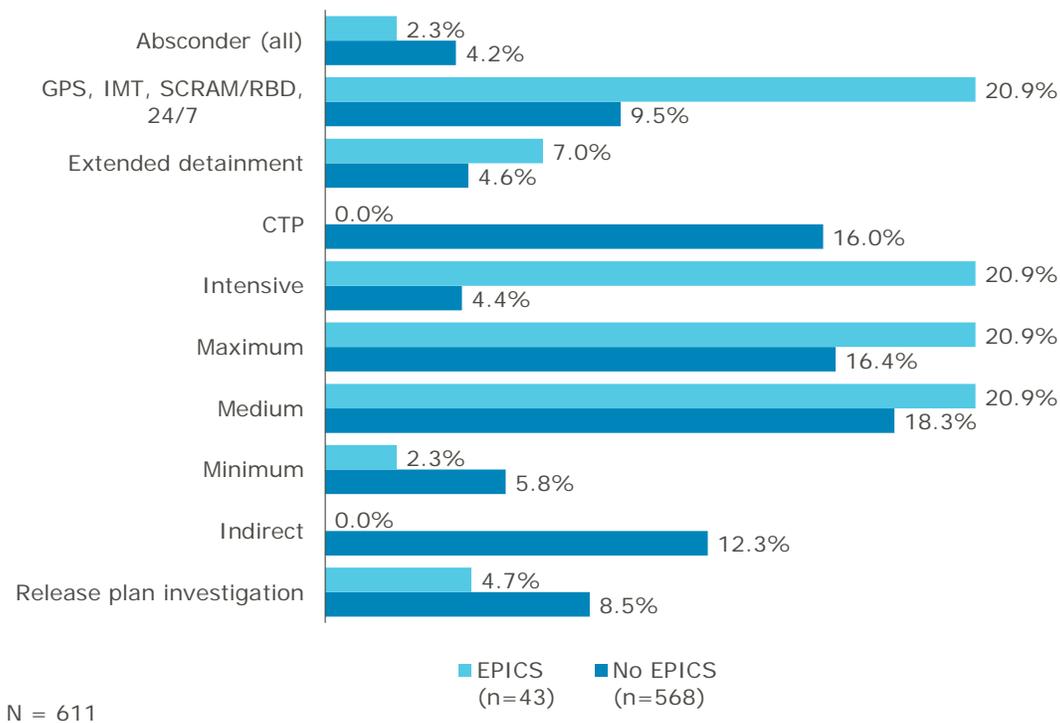
In order to help control for the impact of case distribution on the comparison of EPICS to non-EPICs cases, we matched the cases in which EPICS was applied with a similar sample of non-EPICS cases of the same type that also met standards. Several criteria were used to select the matches so that cases were as similar as possible. First, if we could find a case in which EPICS was applied during one

study month and not the other, we used that non-EPICS month as the match. Otherwise, we looked for a similar case[33] that was supervised either by the same agent, an agent of the same job classification, or at the very least an agent in the same region. Overall, EPICS cases that met the revised standards required 1.4 times more time than non-EPICS cases that met the revised standards (Table H2). Because of the small cell sizes for cases broken down by supervision level or case type, these comparisons should be interpreted with caution and verified with a larger sample when possible.

Table H2 South Dakota DOC Parole Agent Workload Study Case Category Time Per Month by Application of EPICS: Matched Case-Control					
Case Category	EPICS Not Applied		EPICS Applied		Ratio of Mean Hours (B/A)
	Mean Hours (A)	n	Mean Hours (B)	n	
Total	**2.4**	**43**	**3.3**	**43**	**1.4**
Indirect supervision	—	0	—	0	—
Minimum supervision	1.0	1	0.8	1	0.8
Medium supervision	1.0	7	1.5	9	1.5
Maximum supervision	1.9	11	2.9	9	1.6
Intensive supervision	4.8	8	4.1	9	0.9
CTP	2.9	2	—	0	0.0
Extended detainment	1.5	3	2.2	3	1.4
GPS, IMT, SCRAM/RBD, 24/7	2.7	8	5.5	9	2.1
Absconder (all)	3.2	1	4.0	1	1.2
Release plan investigation	1.2	2	1.6	2	1.3

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[33] Matches were made based on supervision level, case type (new, ongoing, release plan), case classification/status (sex offender, IMT, etc.), and case activity during the month (e.g., whether the offender absconded).

These findings have several implications and limitations. Making adjustments to allow for the implementation of best practices is an important consideration to ensure that the state is staffed at a capacity to successfully introduce and improve practices (Jalbert et al., 2011). SDDOC may wish to consider applying a weight to workload calculations to account for the application of EPICS and other EBPs. Using these results, a weight of 1.4 (the ratio comparing overall mean time between the matched samples) could be applied to workload values for those cases for which EPICS will be applied. For example, if agents are expected to use EPICS on all intensive-supervision cases, then the workload calculation would be:

[Workload value (3.5 hours/month) x EPICS weight (1.4) x number of intensive-supervision cases] / hours available (111.6 hours/ month)

However, before using these results to adjust workload calculations, there are a number of limitations that should be noted. First and foremost, the reliability of these time estimates is limited by the small sample sizes. Also, agents were trained in EPICS not long before the start of the workload study, and these agents were still in the coaching phase of EPICS implementation. Therefore, the extent to which EPICS was applied to cases is unknown, and it is difficult to say with confidence exactly how much time EPICS requires. Additionally, these times may reflect the extra time needed to adjust to changes to the practice framework and may not apply once agents are more accustomed to the new practices.

In light of these limitations, additional research should be done once all agents have been trained and coached in EPICS, in order to gain a better understanding of the time required for EPICS application. With a larger sample of workload data on EPICS, more reliable comparisons can be made to the workload values of non-EPICS cases. SDDOC should determine the proportion of cases by supervision level and case status that receive EPICS (unless EPICS is universally applied) to determine

whether there are certain cases that should have a weight applied, and the extent to which this weight should be applied.

In summary, implementation of EPICS requires that agents structure their interactions with offenders and use specific techniques that are rooted in the principles of effective intervention and core correctional practices. These techniques may require more face-to-face time with offenders, as well as time for continuous quality improvement. The results of the workload study suggest that EPICS cases may require, on average, 1.4 times more time than non-EPICS cases. Ensuring that agents have caseload sizes that allow sufficient time to apply the skills and techniques provided in EPICS training is critical to ensure its successful implementation.

Appendix I

Face-to-Face Contact Standards Analysis

As the state strives to improve supervision practices through implementation of Effective

Practices in Community Supervision (EPICS), emphasis on face-to-face contacts is important as this is a

primary focus of the EPICS model.[34] Therefore, for the purpose of the workload study, NCCD applied

the state's minimum contact requirements specifically to face-to-face contacts in order to reflect time

required for these practices. For example, for an intensive risk case SDDOC policy requires that an

agent make a minimum of four personal contacts per month with the offender. For this analysis, in

order for an intensive risk case to have met NCCD's review of contact standards, the agent must have

made a minimum of four face-to-face contacts per month. Using the definition of personal contacts to

specifically apply to face-to-face contacts, this increases time required to supervise offenders and

consequently staff demand (Table I).

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[34] University of Cincinnati: The EPICS Model.
https://www.uc.edu/corrections/services/trainings/effective_practices_in_community_supervision.html

Table I
Workload Estimate with Face-to-Face Contacts (Including Updated CTP Standards)

Sampled Case Category	Workload Value (Hours Per Month)	Annual Monthly Average Number of Offenders	Total Workload Hours
Indirect supervision	0.2	368.0	**73.6**
Minimum supervision	0.7	198.5	**139.0**
Medium supervision	1.4	668.0	**935.2**
Maximum supervision	2.0	492.8	**985.6**
Intensive supervision	4.1	274.2	**1,124.2**
CTP[35]	4.1	151.2	**619.9**
Extended detainment	2.0	88.2	**176.4**
GPS, IMT, SCRAM/RBD, 24/7[36]	2.8	41.3	**115.6**
Absconder[37]	1.2	204.3	**245.2**
Release plan investigation[38]	1.1	269.8	**296.8**
Total Workload Demand (Hours Per Month)			**4,711.5**
Number of Agents Required to Meet Workload Demand (Total workload hours divided by available agent time: 4,711.5 / 111.6)			**42.2**

[35] CTP estimates include offenders in the St. Francis House pilot program.

[36] The population counts for GPS, IMT, SCRAM/RBD, and 24/7 include any offender who has one of these four offender status alerts, excluding intensive-risk cases. For cases at the intensive risk level that also have an offender classification of GPS, IMT, SCRAM/RBD, or 24/7, NCCD recommends using the intensive-risk workload value rather than the workload value for GPS, IMT, SCRAM/RBD, or 24/7.

[37] Includes all types of absconders.

[38] Release plan investigations are not formally tracked. The estimates provided here are based on an annual monthly average of releases from detainments and CTP, as well as regular parole releases on discretionary, presumptive, or suspended sentence. However this excludes interstate compact cases coming to South Dakota. Additionally, this does not account for offenders who have multiple release plans (the first being denied).