

NCJRS

SOUTH DAKOTA COURT SERVICE WORKER

TRAINING PROGRAM

Prepared Under LEAA Technical Assistance
Contract to American Justice Institute

For

South Dakota Supreme Court,
Director of Court Services

By

Dr. Frank Dell'Apa
Charles D. Weller

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I. INTRODUCTION

This technical assistance request was initiated by the state of South Dakota Supreme Court, Court Administrator's Office. The general scope and content of the request was precipitated by a recent statewide court reorganization that centralized administration of juvenile and adult probation services. The specific assistance requested was directed toward designing and structuring a multi-faceted manpower development program for the newly classified position of Court Service Worker (CSW).

It was suggested that the assessment of training needs include an analysis of the tasks performed by CSWs and that this information be coupled with the existing personnel profiles to serve as a basis for training program development. An opportunity to administer a brief questionnaire to all CSWs attending an already scheduled meeting was offered to support observations that might be gleaned from two observers spending four days each interviewing and observing CSWs at their home working environment. Finally, an ad hoc task force of CSWs was appointed to assist the consultants in whatever manner they could.

II. STATEMENT OF THE PROBLEM

Recently there occurred in South Dakota a consolidation of nine independent circuit courts into an integrated organization under the direction of the South Dakota Supreme Court. A full-time Court Services Director, directly responsible to the Chief Justice, was appointed. These changes made it imperative to bring policies, practices, and procedures of the Court Service Worker together throughout the state. Uniformity of practices and an enhanced level of operation is sought. *A statewide training strategy is seen as basic to achieving this objective.*

III. SUMMARY RECOMMENDATIONS

Recommendation 1: It is recommended that the Director of Court Services survey CSW personnel to determine the continuing education objectives of Circuit Court probation officers.

Recommendation 2: It is recommended that the Director of Court Services request higher education to develop "intensive seminars" at the graduate level in social and behavioral sciences and in criminal justice studies.

Recommendation 3: The Director of Court Services should immediately seek support to establish an Entry Level Training Program for orientation of all newly hired Court Service Workers.

Recommendation 4: Each Chief Court Service Worker should accept a new CSW from the entry level training experience, and immediately provide him direct "on-the-job" training under daily supervision for the first 30 days of his assignment.

Recommendation 5: The Director of Court Services should appoint a task force of Chief CSWs and line personnel to develop a "check list of initial job-related experiences" which, when ratified, may be used by each Chief CSW to insure that every new employee has been involved with every routine task, problem, type of case, etc., that is likely to confront the CSW his first year on the job.

Recommendation 6: The Director of Court Services should immediately seek support for implementing a continuous in-service training program available to every CSW in the state. A minimum of three three-day sessions and preferably four (quarterly)

is recommended. Such training sessions should be at a central location and should require mandatory attendance.

Recommendation 7: It is recommended that the Chief Court Service Workers, on line, assess their personnel needs for special or unique skills with respect to supervising special types of offenders; i.e., controlling drug and alcohol abuse, serving potentially violent, retarded, or learning disabled clients, conducting diagnostic and test interpretive skills, and group dynamics.

Recommendation 8: It is recommended that at least once each year a special management training session be provided the Chief Court Service Workers.

IV. FINDINGS AND OBSERVATIONS

The circuit courts of South Dakota are organized into nine geographical areas, with each area serving multiple counties and cities. The Circuit Court is the court of original jurisdiction for felony offenses and juvenile cases, as well as dependency, neglect, domestic relations, and child custody cases. The nine geographical areas are of unequal size and only two would be considered urban in character. The presiding judge of each circuit sits with his peers from other circuits in a Presiding Judges Council to formulate policy and administrative procedures. A State Administrative Office of the Courts, administered by the State Supreme Court, serves as the administrative agency responsible for leadership, coordinating, personnel administration, and implementation of judicial policy. Each of the nine circuit courts has a Chief Court Service Worker and one or more Court Service Workers performing juvenile and adult probation services under the daily supervision of the Presiding Judge of that circuit, but administratively responsible to the Director of Court Services in the State Administrative Office of the Courts.

Although there is much that is similar in the roles and tasks of the CSWs in all nine circuits, there are also significant differences among the circuits that deserve attention. The uniquely rural character of the state requires extensive travel by most of the CSWs. A reasonably small personnel complement in each circuit forces the CSW to be a generalist, undertaking all types of tasks, and at the same time he is expected to have certain specialist skills. The geographic location of some CSW offices physically isolates them from their peers and workers with attendant professional and organizational interests. This provides few opportunities for collegial exchange, peer group support, or reinforcement of professional standards.

Underlying these considerations is the accepted posture of the CSWs generally with respect to the strategy for delivering services to their clients. It appears that the majority of CSWs have rejected or avoided adopting a "clinical mental health" casework model. Rather, they have developed a "counseling-guidance approach" using the authority of the court to support and reinforce desired changes in clients' attitudes and behavior. Such a strategy might be characterized as "reality therapy" with supportive counseling and advocacy for community resources to meet client needs. There is no evidence to suggest that the CSW's adopted strategy is any less effective than casework services delivered in other states, although improvement in the consistency of its application and procedures related thereto might increase their current effectiveness.

The reorganization of the courts, the centralization of court service worker services, and the recent assumption of adult probation caseloads have set the stage for a much needed training program. At the present time, no organized, on-going training opportunities are in existence, and it is likely that the training officer of the Administrative Office of the Courts will not be able to devote the time and personal attention needed to develop such a program within the next six to twelve months. The Administrator's Office of the Courts needs this capability, and, without doubt, the CSWs deserve the training and educational opportunities that such a program might offer.

METHODS EMPLOYED FOR TECHNICAL ASSISTANCE DELIVERY

In order to set the frame of reference for reading and considering the recommendations included in this report, the authors set forth below a brief discussion of job analysis, flow charting, statutory authority for the CSW positions, general overview of the CSW's responsibilities, and an illustration

of the sequence of events in delinquency case processing. The purpose of this discussion is to provide those less familiar with the criminal justice system a brief background perspective for reviewing the task data and training recommendations that follow.

A. The Method of Task Analysis

Utilization of job analysis techniques is a comprehensive and sometimes complicated analysis of worker behavior aimed at achieving organizational objectives. The method imposes disciplined observation of worker activity, sequencing of events, and product output. The time allowed for applying this technique to the South Dakota Court Service Workers' job permits a superficial application at best. To the extent that this method was applicable within time constraints, the consultants relied upon it. For this reason, the basic terms of job analysis are defined below.

JOB is defined as a collection of independent functions grouped together and often performed by one or more workers as their total responsibility.

TASK is defined as a worker activity that has a beginning and an end, with several behaviors linked together in sequence, all of which must be performed for completion of the task.

SUBTASKS or ELEMENTS are defined as those individual behaviors performed sequentially that result in a task being completed.

The blending of industrial labor technology with sociological analysis leads to the addition of one more concept, that of *ROLE*.

ROLE is defined as the duty, position, status, and privilege that are assigned to a person as the result of the expectations that others hold for a person in that position. In the analysis of public service jobs, several roles are always identified for every person holding each job responsibility. Because training programs must yield to the expectations that others have of workers, be they peers, subordinates, or superiors, the combined techniques of role and job analysis have proven to be a sound basis for designing training and educational curricula.

For purposes of this report, a variation of this analytical method has been attempted, wherein the Court Service Worker's job was observed to identify his major functional roles; then the major tasks under each role were concentrated upon. Time and resources did not allow for detailed analysis of each task into subtasks or elements, although this could be a worthy objective for the court to undertake with in-house resources at some future time.

B. The Method of Flow Charting

Borrowing still another analytical technique from industry, the application of "flow charting" within the criminal justice system provides an easy illustration of ordered sequences of events, and is helpful for viewing total processes from beginning to end. This technique simply requires that each activity and each decision point in a multiple activity process be identified and linked to what occurred before and what occurs after any point in time.

The authors of this report used this method as a means of educating themselves about the "juvenile case processing events" of the South Dakota criminal justice system. Systematically depicting major decisions and action points in their

respective sequence was a necessity to understand the working environment in which the CSWs are employed. The flow chart included in this report is not suggested as an ideal process for all circuit courts to embody. It is included purely for information purposes, and if it provokes discussion among judges and the CSWs, then it has served an additional purpose of a positive nature.

C. Statutory Authority for the Court Service Worker Job

South Dakota Compiled Laws, 1967, Volume 3, Chapter 26 indicates that

Delinquent status may be adjudged to any child ten years of age or older who has violated any federal, state, or local law or regulation for which there is a penalty of a criminal nature excluding hunting, fishing, boating, and traffic laws.

This definition of possible wardship of a child to the court empowers the CSWs to implement the court order, supervise, control, guide, counsel, detain, and take custody of youth under the scrutiny and direction of a circuit court judge. Generally, any child under the age of 18 may be determined "dependent", "neglected", or "in need of supervision", if certain negative family, shelter, or detrimental environmental conditions observably exist sufficient to cause a prudent person to be concerned about the child's welfare.

D. General Responsibilities of the Court Service Worker

The Court Service Worker is the operational arm of the court assigned line level functions related to "directly assisting clients" through face-to-face, one-to-one interaction. This service usually involves similar interaction with parents and/or other members of the client's family. General terms applied to the services delivered include counseling, supervision, direction, guidance, advocacy for assistance from others, and data collection regarding these activities and the client's previous behavior.

Secondly, the Court Service Worker provides "administrative services" to both the court and the client. These include travel related to CSW functions, client transportation, writing reports, maintaining client records for the court, and monitoring court proceedings.

Third, the CSW performs "supportive" services that are not directly related to the welfare of an individual client but rather enhance the court's capability to better serve all clients. These services entail developing liaison with all other agencies in the criminal justice system, educating and seeking general support from the community, and specifically identifying other community agencies that may offer services to court clients according to various eligibility criteria.

1. Case Processing: The Sequence of Events

Once the juvenile has been detained by a law enforcement officer, the Court Service Worker's responsibilities emerge as a primary agent of the court to protect the child and family as well as the community. Specific CSW tasks at this early point in the case processing appear to vary from one circuit court to another.

In some circuits, judicial policy emphasizes non-involvement of the CSW until the arresting officer has filed a formal complaint with the State's Attorney. In almost all cases, the juvenile is released to the custody of his parents or guardians while the police and State's Attorneys review process takes place. However, in some circuits, the Chief Court Service Worker of the circuit of his designee is actually notified 24 hours a day of any juvenile arrest, and immediately begin participating with the law enforcement agency in determining

whether or not a formal complaint should be filed with the State's Attorney.

If the CSW and the law enforcement agency agree that the nature of the offense and the child's welfare would be best served by handling the matter informally by soliciting the voluntary cooperation of the parents to allow the CSW to provide short term guidance and supervision to the child, then the matter may not reach the attention of the State's Attorney. Such cases, however, are usually brought to the attention of the judge or, by the CSW, in that he reports he has agreed to provide some special assistance, referral service, or short term supervision to the child on an informal basis.

The point in time when the CSW enters the case processing flow has importance for training because critical decisions take place for which consistent criteria should be used as a basis for such decisions. The use of consistent criteria for decisionmaking is a proper matter for incorporation in a manpower training program.

This particular informal "dispositional" decision of a juvenile case may require training, experience, and skill quite different from that which would be required for a CSW who enters the case after the State's Attorney has received the police complaint and made the decision to file a petition for a formal adjudicatory hearing before a circuit court judge.

In some circuits the State's Attorney, after receiving the complaint from law enforcement officials, will immediately contact the CSW for input with regard to the decision whether or not to file a formal petition of delinquency. Here is still another point in the processing system where the CSW becomes active.

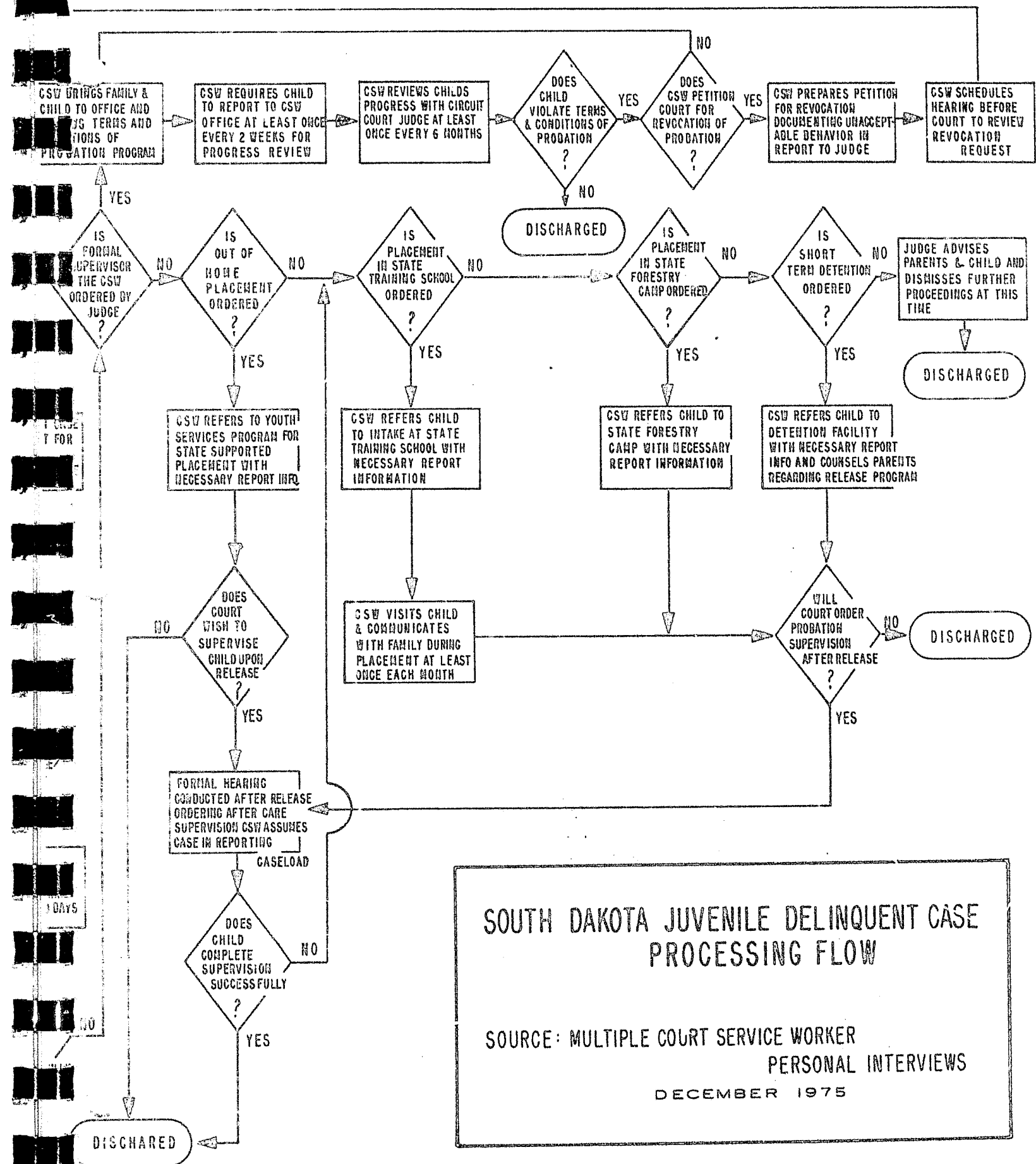
In some circuits, the CSW is first notified of a case requiring court attention when a formal petition for delinquency has been signed, issued, and forwarded to the CSW by the State's Attorney with a hearing date scheduled. In some instances the request for a petition may come from school representatives, parents, medical personnel, or officers other than law enforcement officers, and either the CSW or the State's Attorney may be the first point of contact. *There appears to be sufficient diversity across the state to warrant policy clarification explicitly describing roles and procedures for the CSW.*

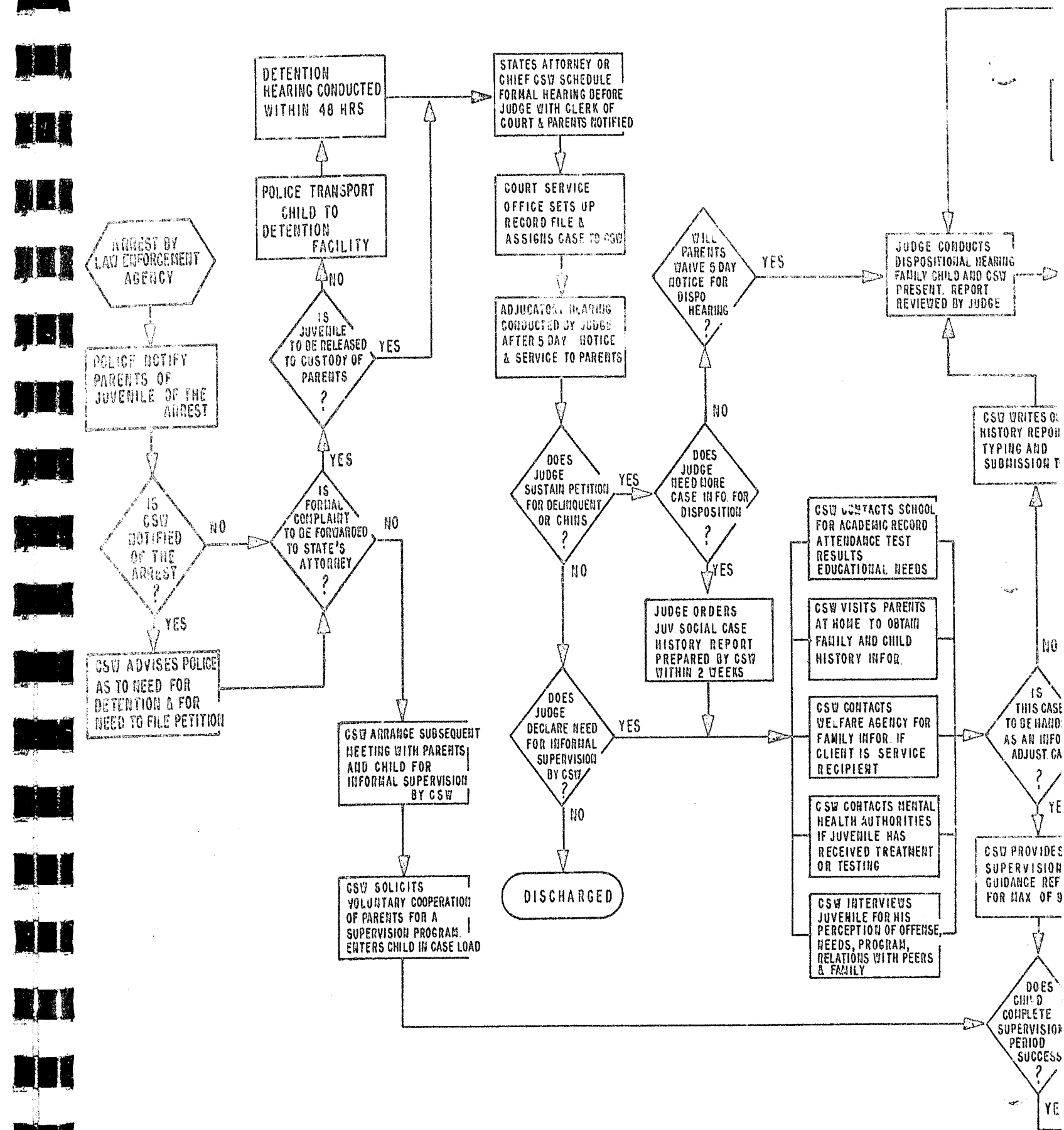
Most State's Attorneys consult their Court Service Workers with respect to the decision to formally file a petition, or informally divert the child to the Court Service staff for guidance, supervision, referral, or other informal disposition. The extent and authority of the CSW's role in pre-adjudicatory activities should be defined procedurally and then embedded in the basic training for all new Court Service Workers, even if such an "intake" function of screening (under SDCL 26-8-1.1) is to be performed primarily by the Chief Court Service Worker in each judicial circuit.*

Chief Court Service Workers in each circuit may use the flow chart as a basis for stimulating discussion among themselves and the Court Service Director with respect to existing procedural differences, proposed changes, and problems anticipated with changes that may be suggested.

The flow chart which follows will assist the reader of this report by providing general background information about the South Dakota juvenile case processing procedures as they exist now, and should be of use in providing a general overview of juvenile case processing.

* An excellent start was provided by Jay Newberger, Director of Court Services, who provided a document, Intake, Case Flow, and Diversion as part of a larger material developed for the First Annual Court Service Workers' Training Session, Sioux Falls, South Dakota, December 4-5, 1975.





F. Summary of Court Service Worker Job Activities

Although alternative methods of analyzing Court Service Worker activities certainly exist, the consultants were bound by time and had to rely upon a survey questionnaire, personal interviews, document review, and minimal observation. The results of this quest for analytical job data can be classified accordingly into four major job-related roles:

- o Case Management
- o Information Processing
- o Justice System/Community Relations
- o Administrative/Supportive Services

In essence, each CSW performs each of these roles within his job position, and each of the roles can be subdivided to include more than one major task.

The following narrative attempts to relate the major tasks with each role and to provide a brief description of the activities as work behavior that is associated with each.

1. The Case Management Role

The CSW organizes his time, and to some degree, his assigned clients' time, to allow him to detect, identify, diagnose, and prescribe solutions to his client's personal problems. He plays this role in face-to-face interaction with the client, hoping to build a trust relationship that will motivate the client to convey inner feelings, emotions, and behavior adjustment stresses. As a case manager, he represents the court in terms of also protecting the interests of the community. Therefore, he serves as an enforcer of terms and conditions of probation and judges client behavior compared to accepted standards of behavior tolerated by the community.

1a. Case Management Major Task: Organization of Caseload

The CSW schedules and allocates work hours to each case within the context of the total number of cases assigned to him for supervision. Minutes of personal interaction are allocated to each case differently, based upon the client's expressed need for CSW time, and based upon the CSW's judgment of the number and extent of personal problems with which his client is attempting to cope.

The objectives which the court may set for each client serve as a guideline where the court has expressed same. Sometimes the CSW may set objectives for his client to pursue. In all cases, this task must be performed within attitudinal constraints, priorities, and service resources available in the community. Some of the "work elements" related to Organization of Caseload task are:

- o classification of cases by client need for supervision
- o review and design of program for newly assigned cases
- o determine reporting schedule and client's willingness to comply with terms and conditions
- o set up record for entering client progress data
- o collect client behavior and event data for records
- o confer with peers and experts for prognosis and problem diagnosis
- o increase or decrease CSW time and attention to client as progress is noted

1b. Case Management Major Task: Guidance/Counseling

This case management task appears to rest at the heart of the CSW's job in South Dakota. The CSW, through verbal communication, attempts to urge and motivate and force the offender to improve his ability to control his own

behavior, at least to the extent that deviance does not involve violations of the law. The CSW relies on the authority vested in him by the court to actually coerce the client to conform if he appears to be avoiding compliance. This coercion is the simple reminder of the threat of depriving the client of privileges, freedom, or rewards normally accessible to clients not under wardship of the court. If the client is aware of his personal weakness, or inability to cope with urges to commit law violations, and openly expresses these, the CSW attempts to lead the client to methods of controlling these temptations. Usually, the CSW must assume or guess at many of his clients' internal conflicts, so part of this task involves assessing client attitudes from observing client behavior or listening to clients' verbal expressions. Reports from other associates of the client are noted by the CSW to assist him in determining what counseling subject matter is appropriate at any point during the probation period. The Guidance and Counseling task of the Case Management role consumes a large proportion of the CSW's time. Actual "work elements" supporting this task include:

- o advising parents verbally of client progress
- o directing clients to potential employment opportunities
- o responding to client requests for intervention in his behalf with other agencies
- o resolving peer group conflict between client and his associates by notifying other agencies
- o designing rehabilitative plan to guide probation supervision period
- o assisting client with decisions related to expenditure of personal income
- o verbally exposing client to differences in male-female sex roles and the expectations related thereto.

for Case Management Major Task: Enforcement

The Case Management task of Enforcement includes the CSW's work activities aimed at accounting for his client's time and behavior. This includes the enforcement of court ordered terms and conditions for probation as well as new conditions imposed by the CSW subject to his judgment that same are needed to control the behavior of his client. The primary method of accounting of time is periodic surveillance of what the client does during day and evening hours. In addition, oral and/or written queries may be made of school, law enforcement, or employment officials seeking information on absences, violent behavior, or other known activities of the client. The CSW commonly orders his client to report to the CSW office once a week or once every two weeks to verbally report on his own progress and activities. During these discussions, the CSW will feed back to his client negative information that may have been received, and reaffirm the threat of court action to deprive him of his freedom if this seems needed. The CSW records behavioral incidents of a questionable nature as they occur. If violations are frequent, the CSW may prepare documentation and petition the court in writing to revoke the client's freedom and place him in a residential custody environment.

The "work elements" supporting this major task include:

- o individual officer contacts with clients
- o surveillance and report review from other agencies to determine client violations
- o preparation of legal reports to petition court actions
- o arranging custody of client with law enforcement or residential care facilities
- o attending court proceedings and testifying about client's lack of conformity

- o verifying client presence within family, at school, at work, or at other prescribed service agencies
- o physically arrest or take custody of client
- o apply minor deprivation of privileges to clients as sanctions for minimal non-compliance.

2. The Information Processing Role

A major expectation by many people coming in contact with the court is one of information collection and interpretation. The collecting, analyzing, and exchange of verbal and written information is a substantial role of the CSW. This role is performed with respect to social case studies of individual clients, presentence investigations, probation revocation, client education, client employment, and welfare assistance. This information processing is the key to providing a basis for both judicial and CSW decision-making as well as client-worker trust, changing client behavior, and protecting the community from further criminal behavior by clients.

2a. Information Processing Major Task: *Presentence Investigation/Social Case History Report Preparation*

As the data presently will indicate, this Information Processing major task is perceived as highly important by CSWs. These investigative activities include searching for and verifying information about the client's past life, his family, and prior criminal behavior. The data may be obtained from police, state's attorneys office, courts, other social welfare agencies, schools, employers, neighbors, and associates of the client. The information is then integrated and analyzed by the CSW. The CSW makes judgments about which information is most relevant and desired by the judge for

judicial decision-making. This major task also includes a command of the language and communication skills because the collected data must be formatted and narrated in a formal case report to the judge. Similarly, other social and criminal justice agencies frequently call upon the CSW to exchange information about common clients. The CSW must know to whom and when to respond to such requests.

The "work elements" that support the Presentence Investigation task of the Information Processing role include:

- o client-oriented data search and collection
- o verification of data collected
- o integration, analysis, screening of verified data
- o formulation of diagnostic possibilities from data gathered
- o formulation of recommendations regarding client prognosis for law abiding behavior
- o oral and written communication with all agencies of criminal justice system.

2b. Information Processing Major Task: Initial Probation Interview

This major task involves escorting the client from court (and his family, if present) to the CSW's office for the purpose of clarifying the ground rules of allowing the client to remain in the community under CSW supervision and counseling. Many of the work elements completed in the previous task (2a) prepare the CSW to conduct this interview. The client is advised of behavior toleration boundaries, a routine CSW office reporting schedule, and specific personal problems he and his family should focus attention on for coping or resolution. The "work elements" supporting this major task include:

- o attendance at court dispositional hearing
- o advising parents/spouses of terms and conditions of probation
- o setting up a routine reporting schedule for the client
- o explanation of CSW's authority over client
- o identification of other community agencies to be contacted for immediate or special assistance
- o explanation of the consequences for the client if law violations in the future
- o explanation of the client's rights
- o setting up a reporting record for CSW files
- o solicitation of a client-worker agreement upon a rehabilitation plan.

2c. *Information Processing Major Task: Case Report Writing*

As an information processor, a substantial amount of CSW time is spent on the physical-motor activity of preparing written formal reports to the court. This is not only at the pre-dispositional period of investigation, but continues periodically throughout the entire time the client is a ward of the court. The task involves receipt of information from multiple sources and synthesizing the data, without distorting its meaning, into a court report format. The completion of such forms must be accurate, lucid, and neat for presentation as public documents. In some CSW offices, the CSW himself must type these reports, while in most locations clerical assistance is available. The "work elements" which support this major task include:

- o ability to operate typewriter
- o completion of data form requirements
- o operation of dictating equipment
- o familiarity and command of criminal justice system jargon

- o consolidation of information without distorting facts
- o written expression with proper spelling, grammar, and diction
- o review of authored reports for accuracy.

F. The Justice System/Community Relations Role

The CSW in South Dakota is responsible for seeking and disseminating information about court services and presenting this information in such a way as to maintain and improve working relationships with law enforcement agencies, prosecuting authorities, private defense counsel, judges, residential care agencies, the State Division of Corrections, the State Youth Services Program, local employers, locally elected officials, school administrators, mental health authorities, welfare caseworkers, and state correctional camp and institutional administrators and staff. The constant interdependence for exchange of information and mutual assistance among these agencies demands that open communication and positive support relationships exist for the CSW to function effectively. This role also includes the development of similar support within community agencies of a private nature that may offer a potential service to clients at some time in the future. In this role the CSW represents an authoritative expert for the entire criminal justice system. Consequently, knowledge of the operation of the entire system in South Dakota is a prerequisite. The CSW exemplifies this role in public speaking engagements and visible participation in civic affairs.

Ga. Justice System/Community Relations Major Task: Interagency Liaison

The criminal justice system is a composite of operating agencies that assume responsibility for offenders at various points in time as the client is processed from arrest to parole discharge. As a community-public agency

bridge, the CSW shoulders the task of making independent agencies work as a "single one" with respect to an individual client. This task requires that he be familiar enough with each agency and its staff that he can "walk" his client through the various levels of bureaucracy. He develops this skill with friendships with staff members at these agencies, so mutual trust develops and allows unique needs to be served or short cuts in standard procedures to be taken. In return, the CSW is a viable information resource frequently used by these other agencies. This task is constantly "colored" or determined by what the judge or CSW believes to be in the best interests of his client. The "work elements" that support this major task include:

- o interaction with middle management and line staff of all criminal justice agencies
- o recognition of report format and records of all criminal justice agencies
- o attendance at client-oriented staff meetings held by other social agencies
- o preparation of general and special topics for public speaking engagements
- o serving as service broker for clients.

Sb. Justice System/Community Relations Major Task: Relations with Community Resource Agencies

All CSWs are aware that the community agencies and services (not just the criminal justice system) are the site and source of needed services. The linkage of available services to the needs of the client is important for the client. The school, youth services, and the broader community all have much to contribute. To insure contribution of services, a continuing education effort and liaison are needed. Most CSWs are involved in this to some degree.

4. Supportive Services Role

There are many tasks that are required to accomplish the foregoing tasks which in themselves may seem to be unproductive in terms of service to clients, but nevertheless are necessary to accomplish the CSW's job.

These include travel, monitoring and participating in court proceedings, dictation, and typing, among others. The implications for training are no less important. With travel into sparsely populated, isolated areas and into potentially antagonistic settings, the South Dakota CSW should be aware of personal security, survival techniques, first aid, and even elementary auto repair. Additionally, monitoring and participating in court proceedings requires that a CSW be trained in court demeanor and legal procedures.

THE COURT SERVICE WORKER'S PERCEPTION OF TASK IMPORTANCE

Within the frame of reference provided in the foregoing, individual CSW input has been solicited by means of a questionnaire, interviews, and observation. This data is reflected below.

Ranked Importance of Major Tasks

The CSW personnel survey solicited information from each respondent about his judgment as to the importance of a series of tasks traditionally performed by probation officers. The tasks were categorized under three major headings:

- o Investigation
- o Guidance Counseling
- o Enforcement

Within each major category, respondents were asked to rank specific activities in terms of their importance in relation to the other activities in that category. It is important to note that on most rankings there is solid agreement about the importance of an activity by overwhelmingly large percentages of the 44 respondents. These are seen in rank order below with #1 the most important.

<u>Investigation</u>	<u>Guidance Counseling</u>	<u>Enforcement</u>
1. Presentence	Personal counseling	Individual supervision
2. Initial interview	Family counseling	Surveillance
3. Case writing	Employment counseling	Revocation
4. Custody investigation	Financial counseling*	Violation of terms and conditions
5.	Alternative residential care counseling*	

* Insignificant importance indicated

Investigation

Among investigative activities, 38 CSWs out of 44 responding ranked the presentence investigation activity as the most, or second most, important task of the Court Service Worker's job. Not one CSW ranked presentence investigation as least important. This task is not only time consuming, but it is one that CSWs believe has substantial impact on the lives of their clients. Without a doubt, CSWs expend great effort advising the court about the behavior and history of juveniles for disposition decisions. But it is also equally significant that many of the nine circuit courts have widely ranging expectations about the presentence investigation.

On December 4 and 5, 1975, the CSWs were provided for the first time with a uniform presentence investigation format to be given

a trial demonstration for a few months to determine its utility. Efforts to standardize the presentence investigative activity are a serious concern and training may provide the best approach to achieve standardization.

The next most important investigative activity as ranked by the CSWs was the initial interview. Thirty-two of 44 ranked this activity as highly important. The initial interview occurs immediately after the judge grants probation and is that point in time when the CSW assumes direct authority over his client. It is at this contact that the various "terms and conditions" are fully explained to the probationer.

The third most important investigative activity was case writing and client record keeping, with custody investigations ranked fourth.

Guidance Counseling

The most important counseling activity of the five types presented the CSWs in the survey was personal counseling activities that involve confronting the client's deviant behavior or lack of adjustment with supportive discussion about alternatives. Forty respondents ranked this activity first in importance and the remaining four ranked it second.

It is interesting to compare this response with the item that asked the number of hours CSWs spend face-to-face with each client each month. The average expenditure of time of less than three hours per month in direct contact with each client suggests that only minimal time is given to the most important counseling activity of a probation officer's job. The relevance of this fact for training may be the design of learning experiences related to both

classification of caseloads in terms of the need for personal counseling, and skill development for organizing one's workload in relation to priorities and time available.

Family counseling activities were ranked second in importance. Traditionally, probation officers have always supported the value of family counseling to support members who were on probation, but seldom do they spend much time on this activity. In South Dakota, CSWs interviewed indicated they frequently made home visits for presentence investigation purposes, but once the youth was placed on probation, contacts were usually at the CSW's office. Several of those interviewed indicated they did not visit the home or interfere with the family unless the youth's problems were directly attributable to a family attitude or situation. This is probably characteristic of probation officers across the United States.

Marital counseling of adult probationers was mentioned by one CSW but the low adult probation caseload for most CSWs is probably the reason this was not mentioned more frequently in the interviews by the consultants. Employment counseling was ranked third, followed by alternative residential care counseling and financial counseling. The less important ranks assigned these three activities would be expected considering the preponderance of juveniles in the CSW's caseloads. However, as adult referrals to probation increase, the importance of these tasks will increase, and since the bulk of the personnel possess youth-oriented service experiences, employment and financial counseling for adults may be a worthy training consideration.

Enforcement

The five enforcement activities which the CSWs were asked to rank included probation violation, probation revocation, individual enforcement, parole

revocation, and day-to-day individual supervision. Consistent with the investigative activity responses and the counseling responses, South Dakota CSWs placed greatest importance on the activities they perform related to "routine contacts" with the probationer. Individual supervision and routine contacts were ranked of first importance by a resounding 42 of 44 respondents.

This uniquely consistent perception of CSW responsibility seems comparable with the heavy emphasis CSW give to "use of authority" and "control" as reported in the interviews conducted by the consultants. As one might expect, individual surveillance enforcement activities involving activities related to investigating possible violations of "terms and conditions", effecting arrests, or applying sanctions against clients for deviant behavior while on probation, was ranked second by 26 of 43 respondents. This continues to illustrate considerable commonality of job values by the CSWs.

Probation revocation and parole revocation activities were both ranked least important in relation to the personal one-to-one contacts, guidance, supervision, and control activities more clearly associated with general supervision of the youth in the community. The diminished importance assigned to these latter two enforcement tasks may indicate that petitioning the court for revocation of community freedom is not a frequent course of action and is not difficult to accomplish when required.

Summary of Major Task Importance Data

South Dakota Court Service Workers place greatest importance on conducting a presentence investigation to determine client needs and problems. At the time of the survey, common procedures, uniform data elements, and standardized report formats were not available to the nine circuits. Once the client is

granted probation, the CSWs placed great value upon the initial interview as a contact that can set a course of action for the remainder of the probation period. While the client is under supervision, the CSW's most important activity is the personal counseling rendered to each client, during weekly or bi-weekly office visits that range from 10 to 45 minutes each. Use of the court's authority for enforcing terms and conditions is a methodological approach for securing conforming behavior, rather than a mental health/medical model treating each client as suffering from an illness.

Deviant behavior while on probation is sanctioned by loss of privileges, more frequent office visits, evening curfew imposition, temporary loss of driver's license, and attempts to elicit disciplinary support from the parents of the youth. Individual supervision of the client by the CSW is believed the most important task of all the enforcement activities the CSW may be called to render.

These CSW perceptions and values about the activities they perform should serve the Court Services Department of the state as one facet of input to the overall design of an ongoing training program. These perceptions should not be overlooked for their value in understanding the difficulties and problems that are surely to emerge as the Supreme Court progresses toward implementing a unified court system.

Time Allocation to Tasks

CSWs were asked to estimate the percentage of time spent on the tasks of supervision and investigation. These were broken down into the following:

- o Adult presentence investigation
- o Juvenile social history

- o Adult supervision
- o Juvenile supervision
- o Juvenile parole

A comparison of the average time spent on each of these tasks by circuits is provided in the table below. Each officer's reported time was added and the total for the circuit divided by the number of CSWs employed.

Time Spent on Major Tasks by
CSWs in Each Circuit
In Percent

Circuit Court	Probation				Parole
	Investigation		Supervision		Supervision
	Adult	Juvenile	Adult	Juvenile	Juvenile
1	10.6	13.0	28.0	45.0	4.2
2	5.0	32.5	4.4	43.1	10.0
3	12.5	31.3	7.5	28.8	1.2
4	11.0	35.4	3.6	30.0	2.6
5	11.3	12.3	14.0	42.5	3.0
6	1.3	27.5	2.8	33.8	24.8
7	13.0	20.0	10.6	21.0	0.6
8	7.7	23.3	8.3	33.3	7.1
9	0	26.5	5.0	21.5	7.5
Average	8.7	24.6	8.3	33.2	6.8

The constraints of the survey and the possible misinterpretation of the questionnaire items by the Court Service Workers should be acknowledged. However, the usual approach to job analysis requires that the actor express his own perception of his job. It is assumed, with some verification by the

interview conducted by the consultants, that the direction of the percentages in the table reflect a reasonable profile of where Court Service Workers consider that they are spending most of their time.

Employee perception of time spent is not necessarily the best or most important criteria on which to base development of a training program. However, sensitivity to employee beliefs is an essential ingredient in training development and the above data are provided for this contributing purpose.

Summary Conclusions

The table fully reflects the fact that as of December 1975 South Dakota CSWs believed that they expend one-third of their working time supervising juveniles assigned to their caseloads. Nearly one-fourth of their time is reportedly expended on tasks related to juvenile social case history presentence investigations. Less than 20 percent of their time was devoted to adult presentence investigation and adult supervision. About seven percent was devoted to juvenile "parole" or aftercare supervision. Eighty-five percent of staff time is spent in pursuing these five major activities.

When asked to estimate the number of hours each month that CSWs spend face-to-face with clients under supervision, CSWs report as many as 24.4 hours per month per client in one circuit, while another reports 2.8 hours per month per client. The variance in responses suggests that the item on the questionnaire was improperly structured to elicit the data desired. Several respondents answered with the sum of hours spent with all clients. However, the item asked for "hours per month per client".

By dividing their reported caseloads into the total client hours reported, it can be interpreted that CSWs generally spend no more than an average of three hours per month with each client under supervision. This ranges from 1.6 hours per client per month in one circuit to 4 hours per client per month in another. Certainly CSW perception of time spent on this task is compatible with the amount of time reported in other jurisdictions.

A significant factor in South Dakota is the number of office visits required of probationers by their respective CSW. Most of the CSWs interviewed indicated that most of their youth were required to report to them once each week, while the remainder of the caseload reported at least once every two weeks.

It was reported that more frequent visits were required early in the supervision period, and as the youth demonstrated dependability and compliance with terms and conditions of probation, the frequency of mandatory visits was relaxed. This, too, is similar to practices found elsewhere.

THE COURT SERVICE WORKER: A PROFILE

At the time of the technical assistance visit, the Supreme Court's Division of Court Services included 47 personnel assigned to nine Circuit Court districts. One CSW position was vacant and one is half-time. Eight of the total personnel complement were serving as Chief Court Service Workers, with a similar position in Circuit Six vacant. Therefore, total personnel involved in the survey was 44, with eight of these classified as Chief Court Service Workers, leaving an operational Court Service Worker total of 36.

Demographic Data

The average age of the eight Chief Court Service Workers was 37.7 (December 1975), ranging from 24 to 46 years of age. The median age for Chief Court Service Workers was 39.

The average age of the 34 Court Service Workers surveyed was 32.4 (December 1975), ranging from ages 22 to 59. The median age was 28 and only seven CSWs were over the age of 36. Nearly 56 percent of the CSWs possess less than three years of experience working in any type of criminal justice agency.

All eight of the current Chief Court Service Workers are male and 22 of the 34 Court Service Workers are male.

Six of the eight Chief CSWs reported that they have completed four or more years of college level course work, with a seventh having completed three years beyond high school. Of the 34 CSWs, only five do not have at least an undergraduate degree. Of all those who have attended college, 58 percent report that their course work concentration was in sociology, psychology, and criminal justice. The majority of the other 42 percent of college attendees reported that sociology, psychology, or political science was a minor area of concentration. Without a doubt, the CSWs of South Dakota reflect a predominant background in behavioral science education. nine of whom have completed one year or more of graduate level study.

Summary of Personnel Characteristics

South Dakota CSWs are young, extensively educated in the behavioral sciences, with many having less than three years of criminal justice experience. A median age of 38 indicates that one-half of the CSWs are at the first plateau of their personal career development. This may indicate that the potential

for expanding the sophistication of probation services within the state has a solid foundation of bright, energetic, dedicated professionals who may serve the state for several years with considerable stability and low personnel turnover. In fact, there was considerable evidence exhibited by those CSWs interviewed that job satisfaction was reasonably high, and their career path choice at this point was permanent and long-range. Undoubtedly, the Supreme Court will be challenged in the years ahead to keep personal recognition, compensation, and professional identity (partially through training) at a continually improving pace sufficient to hold the expertise now existing and to continue to attract this type of candidate to court service work. This is especially important where personnel are geographically isolated from their peers and when local communities expect their one-man probation office to be all things for all people.

TYPE AND LENGTH OF IN-SERVICE TRAINING PROGRAM

Each respondent to the personnel survey was asked to state his preference of three types of in-service training opportunities:

- a. Ten to twelve CSWs from regional circuits convened for a five-day, in-residence program.
- b. Continuing series of one-day seminars including all CSWs in the state.
- c. A series of three-day training programs at a central location.

Twenty-five of 44 respondents indicated they would participate in five-day, in-residence sessions, 24 indicated willingness to attend one-day seminars, and 33 expressed a willingness to participate in three-day sessions that address policy, procedures, state statutes, and new court regulations.

This data is supported by responses to the next item, which was open-ended. Respondents were asked what type of content is most needed for their associates. Operational personnel indicated that the Chief CSWs needed management training, and several of the Chiefs indicated that their staffs needed "sensitivity", "personal awareness", and "communications" training. A specific list of subject matter reflected in the data follows.

1. Law enforcement juvenile arrest procedures
2. Law enforcement adult arrest and booking procedures
3. Parental notification of juvenile custody procedures
4. Criteria used to release juveniles to custody of parents
5. Law enforcement juvenile crime offense report format
6. Role and authority of states attorney in filing juvenile and adult cases
7. Role of Clerk of the Court in scheduling juvenile docket
8. Parental notification of hearing procedures
9. Information requirements for basic CSW records for new cases
10. Substance and court rules of procedure to adjudicatory hearing
11. Substance and court rules of procedure for informal hearing
12. Substance and court rules of procedure for dispositional hearing
13. Substance and court rules of procedure for revocation hearing
14. Developing working relationships with community-based service/referral resource agencies
15. Available school record information and report format
16. Available mental health record information and report format
17. Available welfare record information and report format
18. Available law enforcement record information and report format
19. Social case history format and information requirements
20. Common terms and conditions and authority for enforcement

21. Alternative residential placements and procedures for securing
22. State Youth Services placement resources and procedures
23. State Training School and procedures for visitation
24. Procedures for continuing probation after training school placement
25. State Forestry Camp intake procedures
26. Local detention center intake procedures
27. Client interviewing
28. Information resource interviewing (other agencies)
29. Report writing (for court decision-making)
30. Information organization and analysis (report preparation)
31. Organization of administrative offices of South Dakota Supreme Court
32. Role and authority of Director of Court Services
33. Role and authority of Chief Court Service Worker
34. Role of Court Service Worker
35. Role of Circuit Court Judge
36. Organization of State Division of Corrections
37. Criteria for discharging clients from supervision
38. Criteria for caseload classification and management
39. State statutory definition of juvenile and CHINS and rights (due process)
in juvenile court
40. School achievement tests and score interpretation
41. Common mental health personality classifications
42. State statutes related to mandatory education and training
43. Unemployment benefits and procedures for eligibility
44. Welfare benefits and procedures for eligibility
45. Emergency/crisis intervention resources for counseling, foster care,
shelter care
46. Field investigation techniques for verifying existing information and
identifying new client information

47. Concepts illustrating justice as integrated "system"
48. Central data processing information requirements
49. Priority setting for use of CSW employment time
50. State penitentiary intake procedures and programs

CONCLUSIONS

Training is needed on a statewide basis that is solidly grounded on a design that provides the continuous opportunity for all staff to develop toward defined organizational standards of practice. Emphasis should be on development of specific job skills. However, knowledge and understandings vitally affect a person's ability to apply skills appropriately. A meld of skill training combined with knowledge and understanding is desired. Learning in both is essential to an effective CSW training effort.

The South Dakota CSW functions basically in a traditional probation officer role. His primary concern is his "cases", and all activities are geared directly or indirectly to "help" them, relying heavily on a guidance counseling approach. Time devoted to presentence and social history activities, travel, and court monitoring subtract substantially from the one-to-one direct helping relationship to the client.

The South Dakota CSW staff, as a whole, comes to the task with excellent backgrounds of experience, education, and temperament. Both new and old staff feel the need for standardized procedures and practices across all nine circuits. All are aware of procedural discrepancies among circuits in terms of handling and processing--not that being different is dysfunctional, but that in terms of the offender, each should be able to expect the same treatment in similar

circumstances. This is a mark of professionalism, and the South Dakota CSW is acutely aware of the need to assume a professional stance.

Agency climate, procedures, policies, and philosophies go far to "set" attitudes of workers. Too often these are vague and unclear. Goals and objectives should be identified clearly, as well as constraints and limitations of the agency, so that staff is aware of the operational posture of the organization. In large measure, this guides the development of attitudes congruent to organization "set". Within this framework, skills and knowledge training will provide maximum payoff in terms of service to clients, the organization, and the community.

The CSW job is essentially rooted in the roles of case management (major tasks: guidance counseling and enforcement) and information processing (major tasks: presentence investigation and social case histories). These roles require certain skills, skills that can only be learned, developed, and refined on the job. The knowledge and understanding to function competently can be obtained to some degree in preservice academic settings, but the refining and honing of intellectual concepts and ideas into workable skills is the responsibility of the organization, and the work setting is the appropriate site for development.

In designing a training strategy for the South Dakota CSW, the major roles of the CSW were observed and the major tasks that constitute these roles were identified. The following recommendations reflect the data and information collected for developing a framework for a state training strategy.

Specific Findings from Interviews

It is apparent that there is overwhelming agreement that a need exists for thorough understanding of procedures and practices which would guide the CSW

* Efforts by the Director of Court Services to standardize procedures were begun at the December 1975 training session for CSWs in Sioux Falls.

as a staff member of the South Dakota Supreme Court. More specifically, there is the need to understand legal issues in terms of rights, duties, and responsibilities.* Some materials and activities that are available to assist in this area are:

- Examples:
1. Fifth Judicial Circuit Court, Juvenile Procedures Manual
 2. South Dakota Court Services, 1975 Annual Training Meeting in Sioux Falls
 3. National Council of Juvenile Court Judges, College of Juvenile Justice, materials, periodicals, and training
 4. Institute for Court Management, materials and courses, especially "Juvenile Courts: A Comparative Study."

Directly related to practices, policy, and procedures is the function of Case Management. Many respondents indicated that case management was a top training priority because this determined how a CSW's time was used. Case management training can be conducted in a variety of ways. Attached as Appendix C is a training module related to the generic principles of case management. It provides some content, experiential exercises, and guides for processing the exercises. It is the consultants' opinion that all training should use this combination of "substance", "experience", and "process". The Case Management Training Module attached was developed by the American Justice Institute, Project STAR, and is provided as an example of how each functional element of training could be designed and delivered.

- Examples:
1. Case Worker Role Training Program, 1975, Project STAR, American Justice Institute, Sacramento, California
 2. Probation Training: Content and Method, Institute of Government, The University of North Carolina, Chapel Hill

* Actual design of training modules to address this concern must be tailored to South Dakota law, philosophy, and practices as embodied in the Supreme Court's Court Services design.

Another important point is the need to gain awareness of the criteria for decision-making (recommendations to the court, to the states' attorney, to law enforcement).

- Examples:
1. National Probation Institute's training, NCCD, 1970
 2. Must develop a South Dakota tailored lecture and experiential component on guides to decision-making regarding processing of offender into or out of system.

In terms of the Guidance Counseling and Enforcement tasks, there is serious questioning by many about the use of authority and power.

- Example:
1. Legal Responsibility and Authority of Correctional Officers, ABA, 1975.

In terms of the Information Processing role, interviewing and report writing surface as the most important areas of need. Investigation skills rank high, including investigative interviewing, data collection, and verification. Undergirding this is the need for communication skills, listening, and expression.

- Examples:
1. Interpersonal Communication, University of Georgia, Athens, Georgia, 1975
 2. Collecting, Analyzing, and Communicating Information module, Project STAR, American Justice Institute, 1974

It is found that a top priority concern is interpersonal and personal growth training, with conflict management and problem solving skills sought. This type of training for agency staff is seldom considered in corrections, even though we are all aware of the overwhelming amount of energy that is "wasted" on interpersonal problems in an agency. To purge an agency of the interpersonal barriers would insure increased effectiveness and enhanced relationships.

- Examples:
1. Self-Others Awareness, Training Associates, Boulder, Colorado
 2. "Management of Differences", Schmidt and Tannenbaum. Creative conflict management--basic skills.
 3. "Problem Solving Framework" and "Problem Solving Cycle" Center for Training and Development, University of Southern California.

Court Service Workers are eager to play a broker of services role. Although many function as referral agents, dissatisfaction with the way this works results in CSWs wanting to develop skills to broker services for clients more effectively.

- Examples:
1. Community Advocate Team, National College of Juvenile Justice, Reno, Nevada.
 2. Agency Commitment to Team Organization and Negotiated Services (ACTIONS), Western Interstate Commission for Higher Education, Boulder, Colorado.

Public education for the community and justice system is a continuing demand on individual CSWs. How to do this to the best advantage takes skills and training to maximize one's impact.

Of special interest to many was the use of contracting with the client for behavior change. Many see this as a viable approach to handling the offender within the guidance counseling approach.

- Example:
1. Mutual Agreement Programming, American Correctional Association, 1975.

Two areas of special expertise needed by selected staffers are cultural awareness regarding other cultures, primarily the Native American, and group counseling and general caseload. Cultural awareness training must incorporate more than didactic input--readings, films, discussions--to be effective. An experiential element is also needed.

- Examples: 1. Cultural Awareness to Race and Ethnicity: An Experiential Approach, Western Interstate Commission for Higher Education, 1973.
2. VISTA training, Higman, Adams, and Hunter, University of Colorado, 1970.

Group counseling, whether psychologically focused as in Guided Group Interaction, confrontive as in Synanon or AA programs, or sociologically-oriented as in the Provo Experiment, must be learned and developed by selected staff to handle those categories of offenders who have like problems and who are amenable to these methods. The attractiveness of peer support and reinforcement and the opportunity to deal effectively with groups of offenders saves valuable time and allows the one-to-one relationship to be more fully implemented where it is most needed.

- Examples: 1. A Handbook on the Use of Group Counseling, Norman Fenton, Institute to Study Crime and Delinquency, 1965, Sacramento, California.
2. The Provo Experiment, Lamar Empey and D. Erickson.

The preceding are basic focal points which a training design may incorporate. Each segment demands training skill to design and develop. Modules, experience, and presentations must be provided to insure maximum impact.

V. RECOMMENDATIONS

PRESERVICE EDUCATION

All employees should come to the job with a certain prescribed level of behavioral knowledge and understanding, generally obtained in an academic setting. It is significant that many of the South Dakota CSWs have had behavioral science academic backgrounds from the University of South Dakota Criminal Justice Program, and/or educational course concentrations in sociology or psychology. As reflected elsewhere in this report, the complement of personnel now employed by the circuit courts appears to meet accepted standards of preservice education for probation services. The youth of most employees and the fact that nearly 30 percent have some course work completed beyond the undergraduate level is an indicator of career motivation which should be used by the courts. An already existing close relationship with the University of South Dakota warrants specific action to insure continued availability of college level course offerings for CSW personnel through some type of continuing education or extension division program.

The University provides an integrated, two-year, baccalaureate and graduate program in Criminal Justice Studies. Its adaptability to the needs of the field extends to programs of independent study and a tailored off-campus program serving 18 communities that provides 25 course offerings. Instructional capability extends beyond the campus academics, and good use is made of practitioners as adjunct professors.*

* Dr. James Rumboltz, Director of Off-Campus Studies; and James Villone, Associate Professor, have excellent reputations and their involvement in Criminal Justice Studies has extended beyond traditional campus duties.

Recommendation 1

It is recommended that the Director of Court Services survey CSW personnel to determine the continuing education objectives of circuit court probation officers. Survey items should include specific course offerings and prerequisites consistent with University policies; therefore, the survey should be conducted jointly with Criminal Justice Studies Program faculty. Location of current course offerings should not be a constraint at this time, because the purpose of the survey data is to develop a continuing education profile of CSWs. The data collected should be analyzed by both parties--administrative office of the courts and the university. The Director of Court Services should then request a brief plan from the institutions of higher education in the state, which describes how often and where they might provide course offerings that would interest CSWs as well as other adult students.

Recommendation 2

From the survey product above, data may reflect that certain academic knowledge areas are desired by a majority of CSWs. If this occurs, it is recommended that the Director of Court Services request higher education faculty to develop an "intensive seminar" course delivery system (if one does not already exist) and arrange utilization of the State Police Training Academy for teaching such courses at two- to three-day in-residence sessions. Since standard semester class requirements for credit usually require 14 to 16 weeks at three hours per week, 42 to 48 class hours are required for credit. These academic requirements could easily be met by including these courses in the overall training program of the courts. CSWs not wishing credit could still participate and complete such sessions as a training requirement. Later in this report, three to four

three-day training sessions per year are recommended for instituting an on-going in-service training program. Two of these sessions, properly separated by three or six months, could result in college course credit for the CSWs. Graduate credit could be awarded by more advanced homework assignments between the sessions. Undergraduate credit might be awarded with or without minimum reading assignments between the sessions. Training requirements of the circuit courts would only require full attendance and participation.

ENTRY LEVEL TRAINING

Entry level training is geared to provide a sound foundation in substantive material relating to the CSW job. Ideally this training should be provided in a centralized location for standardized orientation and provided previous to assignment.

Recommendation 3

The Director of Court Services should immediately seek support to establish an Entry Level Training Program for orientation of all newly hired CSWs. This training experience should be administered by the State Administrator's Office of the Courts to provide the first phase to introducing the new candidate to court service work. The training should be conducted periodically when more than one new employee has been hired. This entry level training should include at least 40 hours* of exposure to South Dakota law, Supreme Court policies, CSW procedures, followed by instruction in the four major roles and major tasks expected of CSWs. If possible, a portion of this time should be spent in a classroom/instruction/discussion environment, with the bulk of the remaining

* As recommended by Standards and Goals, Corrections volume, p. 494, Std. 1411.

CONTINUED

1 OF 3

time experientially-oriented, observing and visiting other components of the criminal justice system in operation. The Director of Court Services should select one operating circuit court as the entry level training agency and this 40-hour experience should include exposure to the community setting, services, and pressures that the CSW will be confronting once he is assigned to his permanent job location.

There is probably some advantage to exposing the new employee to a CSW environment in an urban setting even though he may be hired to serve a rurally-oriented court, because in 40 hours more opportunities for a variety of probation officer experiences may be offered. If two weeks can be set aside for this entry level training, one week at an urban court and one week at a rural court would be ideal. In either event, it is recommended that the entry level training remain under the direct administration of the Director of Court Services with supervision and implementation occurring at the court sites selected for this purpose. During this period, the Chief CSW should report to the Director his full assessment of the new employee's adaptability, promptness, dependability, willingness to learn, ability to get along with peers, ability to meet and serve the public and clients, completion of tasks on schedule, and other work characteristics that may be determined indicative of satisfactory performance.

IN-SERVICE TRAINING

Once the newly employed CSW has completed the entry level training, there is a need for "agency-based orientation" training under the direct tutelage of his Chief Court Service Worker.

Recommendation 4

Each Chief Court Service Worker Should accept a new CSW from the entry level training experience and immediately provide him direct "on-the-job" training under daily supervision for the first 30 days of his assignment. This is already occurring in some circuits, but in no case should the new CSW be totally responsible for assigned cases during the first 30 days. Initial experiences should be deliberately planned by the Chief CSW and be oriented to observing performance of peers in court, with families, clients, service agencies, police, states' attorneys, the judge and other placement or residential agencies. The new employee should be allowed to participate and be involved, without responsibility for final outcomes of his efforts. Gradually, uncomplicated presentence investigations should be assigned, followed by assignment of minor cases for caseload supervision. During this period, the Chief Court Service Worker should conduct a "feedback" session with the new CSW at least once a week where strengths and weaknesses in performance are openly discussed. The judge of the circuit court should be present at such sessions whenever this is possible.

Recommendation 5

The Director of Court Services should appoint a Task Force of Chief CSWs and line personnel to develop a "check list of initial job-related experiences" which, when ratified, may be used by each Chief CSW to insure that every new employee has been involved with every routine task, problem, type of case, and so on that is likely to confront the CSW his first year on the job. This checklist should be maintained by the Chief CSW and forwarded to the personnel files only when the new employee has been exposed to the required tasks or experiences. It is envisioned that in some circuits this may occur in two or

three months, while other circuits may need six to nine months to provide the CSW some experience with the variety of tasks identified.

The success of using such an instrument to insure some standardized exposure early in the CSW's career is dependent upon how much thought is given to developing the checklist. Law enforcement agencies across the United States are using this method for guaranteeing a comprehensive orientation at the outset and also for reviewing satisfactory performance of new personnel. It is suggested that a similar implementation is most appropriate in probation work where on-the-job training is a prerequisite to journeyman status.

Recommendation 6

The Director of Court Services should immediately seek support for implementing a continuous in-service training program available to every CSW in the state. A minimum of three three-day* sessions, and preferably four (quarterly), are recommended. Such training sessions should be at a central location and should require mandatory attendance.**

There is an immediate need to direct in-service training efforts toward procedures, practices, legal issues, and court philosophy and policy. The purpose of this training must be aimed at standardizing procedures and practices to the extent that justice is served to clients and to remove ambiguity about proper methods of intervening in the lives of clients. For this reason, this training content and the administration of its implementation should be the responsibility of the Director of Court Services, advised by the Presiding Judges Council.

* See Standards and Goals Corrections volume, p. 494, Std. 1411.

** Survey reported nearly 75 percent of CSWs would be interested in participating in this type of training.

Once sufficient procedural orientation has been completed, these three-day sessions may turn attention to new or more effective strategies for treating clients, serving the decision-making needs of judges, advanced techniques of contracting for modifying behavior, community resource identification and use, and legal issues, among others. At this point, implementation of Recommendation 2 may be appropriate.

Recommendation 7

It is recommended that the Chief Court Service Workers, en banc, assess their personnel needs for special or unique skills with respect to supervising special types of offenders; i.e., controlling drug and alcohol abuse, potentially violent, retarded, or learning disabled clients, diagnostic and test interpretive skills, and group dynamics.

Often these special skills are narrow and a single staff member with expertise in this area can assume a specialty caseload responsibility. Even in rural courts, certain problem-type offenders may be assigned to one officer, even though he may also carry cases of a general nature. If this is consistent with court policy, periodic training sessions of a specialty nature are desirable.

It is recommended that the identified skills be developed through centrally located periodic training sessions for the CSWs selected by the Chief CSWs. Faculty for this type of training could be recruited from higher education, other criminal justice agencies, and/or consultant experts.

Recommendation 8

All court service personnel are dependent on the leadership of the Chief CSWs, and the judges are equally dependent upon their management and administrative

skills. It is recommended that at least once each year a special management training session be provided the Chief CSWs. There are several public and private management training resources that could assist the Court in providing these training opportunities; e.g., U.S. Civil Service Commission, Law Enforcement Assistance Administration, or Schools of Public Administration or Business on campuses of higher education. Frequently these short-term management seminars can be tailor-made to the needs of the trainees. Although last in order, this recommendation deserves early attention.

RESOURCES FOR TRAINING

A CSW training program will require more logistical support and coordination than the current training officer for the courts can provide, since he must serve the training needs of all court personnel. It appears that there is sufficient justification to request one full-time employee to be assigned to the Director of Court Services for the specific responsibility of designing, acquiring, arranging, coordinating, and record keeping related to CSW personnel training. To demonstrate the utility of this specialty resource to the legislature in future years, it may be appropriate to seek a federal LEAA grant in 1976 to fund such a person for the initial year or two to determine the effectiveness of such a program. Discussions with the State Law Enforcement Planning Agency would determine the feasibility of this concept. In the first year of such a grant, it may be possible to solicit faculty or tuition expenses and trainee travel for some of the training suggested in the recommendations above. The Director of Court Services may also wish to consider a line item request from the legislature in 1977 that would allow for contracting for a certain number of CSW man-days of training. Training programs so contracted will cost between \$55 and \$70 per day per trainee. Independent contracting with local university faculty members for short-term training will average between \$75 and \$125 per faculty day of instruction, plus travel expenses.

APPENDIX A

- o List of Interviewees
- o Questionnaire
- o Task Force Members

On-Site Interviewees

1. James Villone
Criminal Justice Studies Program
University of South Dakota
Vermillion, SD
2. Mary McDermott
Court Service Worker
Huron, SD
3. Wayne Johnson
Court Service Worker
Yankton, SD
4. William Daugherty
Chief Court Service Worker
Sioux Falls, SD
5. Jim Banbury
Court Service Worker
Sioux Falls, SD
6. John Dahson
Court Service Worker
Sioux Falls, SD
7. Richard Stanford
Chief Court Service Worker
Aberdeen, SD
8. Cheryl Grand
Court Service Worker
Aberdeen, SD
9. Connie Foss
Court Service Worker
Aberdeen, SD
10. Ryland Sorenson
Court Service Worker
Selby, SD
11. Tom Saffel
Chief Court Service Worker
Pierre, SD
12. Paul Bennet
Court Service Worker
Winner, SD
13. Sylvia McTighe
Court Service Worker
Pierre, SD
14. Judge Hall
Fifth Circuit Court
Aberdeen, SD
15. Jay Newberger
Director of Court Services
Supreme Court
Pierre, SD

SOUTH DAKOTA COURT SERVICE WORKER

PERSONNEL SURVEY

Instructions: Please provide the requested information as completely as possible. This survey data is to be used by the court for determining the most appropriate type of training opportunities that may be developed or made available to Court Service Workers.

1. Last name First Initial 2. Male ☐ Female ☐
Sex

3. Address of office City County

4. 1 2 3 4 5 6 7 8 9 5. Your age in years today
Judicial Circuit (Circle #)

6. Chief C.S.W. ☐ C.S.W. ☐ Deputy C.S.W. ☐
Job title (check appropriate title)

7. Circle highest number school year completed: 9 10 11 12 13 14 15 16
High School College

17 18 19 Yes ☐ No ☐ Yes ☐ No ☐
Graduate Undergraduate Master's Degree
School Degree Earned Earned

8. If you attended four or more years of college, write in the space provided below the two areas of course work in which you concentrated most: (Example: Sociology, Psychology, History, etc.)

8a 8b

9. Have you enrolled in training seminars or course work sponsored by the University of South Dakota Off-Campus Centers within the last two years?
Yes ☐ No ☐

10. How many months or years of occupational experience within a criminal justice agency did you have prior to becoming employed with the courts in South Dakota?
/ Years Months Name of Agency

11. What is your current gross annual salary from services rendered under the job title indicated in #6 above: \$

12. What is the average number of hours you spend each week on official court business including public speaking and other extra-office activities wherein you represent the court's interests?
No. Hours Each Week

13. Estimate the number of hours each week that you actually spend in the presence of a Judge, in the courtroom, chambers, etc.:
No. Hours Per Week

14. How many months have you been working as a Court Service Worker since July 1, 1975?

15. Estimate the percentage of time each week that you spend on the following functions:

- a. Adult Pre-sentence Investigation and Report Preparation
- b. Adult Probation Caseload Supervision/Counseling
- c. Juvenile Pre-sentence Investigation and Report Preparation
- d. Juvenile Probation Caseload Supervision/Counseling
- e. Juvenile Parole Caseload Supervision/Counseling

(It is not expected that combined totals above should add to 100%. It is realized that you also perform many other tasks.)

16. What single task, excluding travel time, do you expend the most time on each week? Briefly describe the activity:

17. What is the second most time consuming task you perform each week? (Exclude travel time) Briefly describe:

18. How many hours do you spend each week traveling (not including prisoner escort or transporting probationers):

19. How many hours do you spend each week attending Juvenile or Adult court hearings and/or legal proceedings in the courtroom?

20. On the average, how many offenders are assigned to you for personal supervision and counseling?

21. On the average, how many hours do you expend each month in face-to-face contact with each of the persons assigned to you for supervision and counseling? (Do not include time spent with clients while preparing pre-sentence investigations or reports for other pre-adjudicatory hearings):

22. On the average, how many hours do you expend each week dictating, writing, and editing reports to your superior, the court, or other agencies with whom you have routine communication? (Do not include time spent on field investigations or contacts you make to gather information to be included in the reports):

23. On the average, how many hours do you spend each week conducting field investigations, contacting parents, wives, families, school, police, etc., directly related to gathering information for the purpose of preparing a written report to your superior, the court, or other agencies? (Do not include the actual time spent on dictating, writing, and editing the reports):

From the following list of tasks and their general description of activities, rank the tasks in terms of their importance to you. Rank the tasks based upon their importance, not necessarily upon how much time you must spend to complete them.

24. INVESTIGATION (Rank each of the following four tasks with #1 being the most important, #2 the next most important, etc.)

Rank
Order

- _____ 1. Pre-sentence Investigation - those activities connected with the interviewing of the defendant and the preparation of the reports describing that interview.
- _____ 2. Case Writing - the compilation of records, interviews, and statements necessary for preparing the report known as the Pre-sentence/Probation Report.
- _____ 3. Initial Interview - this subtask concerns the interview by a probation officer that takes place after a defendant is granted probation.
- _____ 4. Custody Investigation - those activities concerned with the compilation of interviews, statements, and records for a report that will assist the court in awarding custody of children in dependency, neglect, child abuse, or domestic relations cases.

COUNSELING (Rank each of the following five tasks with #1 being the most important, #2 the next most important, etc.)

- _____ 1. Family Counseling - this subtask is a result of individual supervision and concerns those activities that a probation officer may undertake when the probationer is involved in various marital and family problems.
- _____ 2. Employment Counseling - a subtask that a probation officer may perform to insure that a probationer has adequate and suitable employment.
- _____ 3. Personal Counseling - the subtask that a probation officer may perform when he observes deviant behavior on the part of the probationer; i.e., alcoholism, mental illness, etc.
- _____ 4. Financial Counseling - a subtask concerning those activities performed by the probation officer to assist a probationer who has problems with debt, budgeting, restitution, etc.
- _____ 5. Alternative Residential Care Counseling - this subtask includes all activities related to identifying, securing, and actually preparing a family and one of their children for a residential placement outside the natural home.

ENFORCEMENT (Rank each of the following five tasks with #1 being the most important, #2 the next most important, etc.)

- _____ 1. Probation Violation - this subtask comprises those activities which are performed when a probationer is suspected of violating the terms and conditions of his probation.

- _____ 2. Probation Revocation - a subtask which relates to those activities performed in order to petition the court for revocation of probation.
- _____ 3. Individual Enforcement - a subtask which involves a myriad of activities related to the investigation of possible probation violators, arrest of suspected violators, extradition, transportation, and jailing of violators.
- _____ 4. Juvenile Parole Revocation - this subtask includes those activities required to substantiate unacceptable behavior, new offense investigations, or violation of terms and conditions which lead to a petition to revoke the parole status of youth under supervision, leading to the possible reinstitutionalization of the youth.
- _____ 5. Individual Supervision - a subtask that includes all activities connected with the routine contacts that the probation officer has with the probationer.

25. What knowledge do you feel best prepares one to function effectively as a Court Service Worker?

... in terms of background and experience

... in terms of academic preparation

26. Would you be willing to participate in an in-service training program for Court Service Workers according to the following alternatives? (Check only those opportunities you would like to participate in.)

_____ 10 to 12 Court Service Workers from around the State convened at a central location for a 5-day in-residence training program.

_____ Continuing series of 1-day seminars for all Court Service Workers in the state.

_____ A series of 3-day training programs at a central location where content material focuses on rules, procedures, policy, and law related to Court Service Workers' jobs.

_____ Other: Briefly describe the content, length, and type of training you believe would be more beneficial than those mentioned above. _____

27. What kind of training do you feel is most needed by your associates to make them more effective? _____

Ad Hoc Task Force

1. William Daugherty
Chief Court Service Worker
Sioux Falls, SD
2. Mary McDermott
Court Service Worker
Huron, SD
3. Wayne Johnson
Court Service Worker
Yankton, SD
4. Tom Saffel
Chief Court Service Worker
Pierre, SD
5. Richard Stanford
Chief Court Service Worker
Aberdeen, SD

APPENDIX B

Resources

RESOURCES

In State

- o University of South Dakota
- o Criminal Justice Academy, Pierre
- o South Dakota Correctional Association

Out of State

Public

- o National Institute of Corrections, Law Enforcement Assistance Administration
 - a. Executive Development for Corrections Administrators, University of Southern California.
 - b. Middle Management Training, Western Interstate Commission for Higher Education, Boulder, Colorado.
 - c. Organization Development in Corrections, University of Colorado, Boulder, Colorado.
 - d. Strategic Management Training, The Wharton School, University of Pennsylvania.
- o American Correctional Association
 - a. Accreditation Program
 - b. Mutual Agreement Planning (contracting)
 - c. Executive Development Certification
- o National Council on Crime and Delinquency Training Center
- o Midwest Probation and Parole Association
- o Center for Training and Development, University of Southern California
- o Southeastern Correctional Council, University of Georgia, Athens, Georgia

Private

- o Teleometrics International, Houston, Texas (management)
- o National Training Labs, Washington, D.C. (interpersonal relations)
- o American Management Association, Chicago, Illinois

APPENDIX C

CASE MANAGEMENT

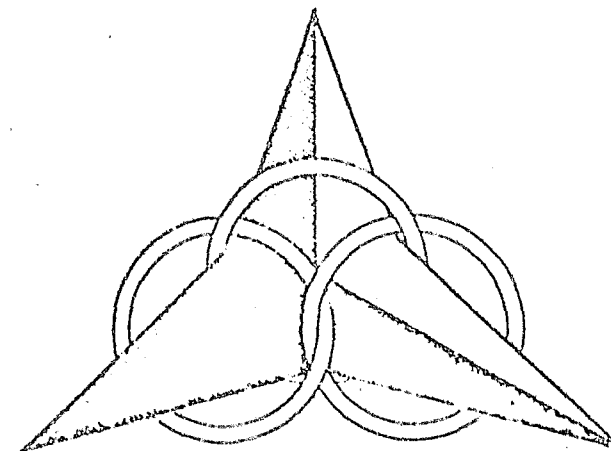
Project STAR
Role Training Program

MODULE

6

MANAGING CASES

PROJECT STAR



ROLE TRAINING PROGRAM

- CASEWORKER
- CORRECTIONAL WORKER

SEPTEMBER 1974

MANAGING CASES

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THE ROLE CONCEPT

INTRODUCTION

Cases involve individuals, situations, conditions, and information. Corrections personnel carry heavy caseloads with each case requiring numerous decisions. Therefore, limited resources and time must be judiciously allocated to achieve the maximum good for clients and the community. Case management pertains to allocating these limited resources to attain efficient, timely, and effective results.

DESCRIPTION OF THE ROLE

The role of Managing Cases was identified by Project STAR research as:

ORGANIZING AND MANAGING ASSIGNED CASES SO THAT REQUIREMENTS ARE MET IN AN EFFECTIVE AND TIMELY MANNER. ORGANIZING CASES TO FACILITATE AN ORDERLY AND EFFICIENT USE OF TIME AND TO GIVE PROPER ATTENTION TO INDIVIDUAL CASE PROBLEMS AS WELL AS TO CASE DEVELOPMENT, PRESENTATION, AND REPORTING.

This definition evolved from a detailed research involving four states, 1,500 agencies, and 6,000 criminal justice employees.

PERFORMANCE OBJECTIVES

When you have completed training in this module and have had experience in applying the training on the job, you should have an increased awareness of the importance of this role in your work and should be able to achieve the following objectives:

- o identify goals and objectives of the criminal justice system, your agency, and community.
- o identify constraints that inhibit the achievement of these goals and objectives.
- o identify priorities for these goals and objectives.

- identify available resources and alternatives for achieving these goals and objectives that minimize the constraints.
- allocate resources in an effective and efficient manner to enable adequate:

organization of assigned cases

attention to types of cases

time for each case

documentation of each case.

- assess how effectively and efficiently resources were allocated to achieve significant goals and objectives.

Criminal justice goals--or roles--should apply throughout the country and the criminal justice system. However, the identification of objectives, priorities, and resources must be done as closely as possible to the source of the problem and to those jurisdictions or organizations directly charged with the resolution of the problem. In addition, the assessment of how effectively or efficiently resources were allocated to achieve desired goals and objectives must rest with the responsible jurisdictions.

It might appear that only society and correctional agencies should be involved in setting goals, objectives, and priorities; identifying constraints; allocating resources; and assessing effectiveness. However, individual operational correctional personnel must also bear a major responsibility for this since their daily interaction with the public and the criminal justice system are the heart of correctional work. Correctional personnel activities are typically undertaken in a setting where wide discretion can be exercised and where supervision is difficult. Thus, society and the agency should set broad goals, identify specific objectives, and allocate appropriate resources; the agency should obtain the best personnel possible, establish policy and procedure guidelines, and provide the best possible support to operational correctional personnel in carrying out their responsibilities.

"Who is primarily responsible in the United States for:
 ◦ law enforcement?
 ◦ judicial process?
 ◦ corrections?"

"Why is supervision difficult in police work?"

in a manner that best achieves the purposes of the correctional agency in a particular locale.

BENEFITS FROM ROLE PERFORMANCE

Two concepts from organizational theory are applicable here. These are the concepts of "prime beneficiary" and "goals displacement."

The "prime beneficiary" concept requires that the intended recipients of the benefits of an organization's activities be identified in a priority order. The concept of "goals displacement," on the other hand, involves redirecting the benefits of the organization from those for whom they were intended to another person (e.g., yourself) or group (e.g., your agency).

In the managing of cases, an example of goals displacement would be a caseworker's spending so much time filling out unnecessarily detailed reports on minor cases that there is inadequate time for him to provide necessary assistance in problem cases. As a result, the agency receives the benefit of relatively unimportant information and society fails to benefit from the proper disposition of a problem case.

PERFORMING THE ROLE

What Is a Case?

In criminal justice work, there are many interpretations of what a case is. Not only do the interpretations vary between positions, they also vary from agency to agency for the same position. For example, to correctional personnel, a case may involve various categories such as:

- an individual (e.g., citizen, offender)
- an incident (e.g., a fight)
- a situation (e.g., poor home environment)
- an inspection (e.g., to check something over before an action)
- a crime (e.g., a specific offense)

"What are some other examples of these concepts in relation to this role as applied to the work of the caseworker? The correctional worker? The correctional agency? The criminal justice system?"

or types of cases. To them, their involvement in the criminal justice system is what they are concerned about--and most would like this involvement to cease as quickly as possible. Therefore, for the purposes of this training, a "case" is defined as:

those individuals, incidents, and situations involving conditions, objects, and information on which formal action is based.

EXAMPLES

A missing person

Violation of parole conditions

An ill person

A disciplinary hearing

An individual on probation

A riot

Stolen property

Malicious mischief

A presentence investigation

Assault

A work stoppage

A family disturbance

An unfit home.

What Is a Manager?

The meaning of the term "manage" varies widely. For example, it can mean:

- to handle
- to control
- to make and keep submissive

"What are other examples of 'cases' in accordance with the above definition?"

"Are there any other meanings of the term 'manage'?"

"What other types of 'managers' can be identified in the manufacturing world? In business? In government? In a correctional agency?"

"What are other categories of management?"

- to treat with care
- to alter by manipulation
- to succeed in accomplishing
- to direct
- to achieve one's objective
- to use resources judiciously.

Further, there are different interpretations possible of who are "managers." In looking at the above list and in thinking about our own experience with the term "manager," we could readily identify some familiar types of managers in the manufacturing world such as:

- the "production" manager
- the "division" manager
- the "zone" manager
- the "shift" manager.

These individuals carry the title manager in relation to one or more of these categories within the organization:

- function (e.g., production)
- level in an organization (e.g., division)
- location (e.g., zone)
- time (e.g., shift).

The ways in which these "managers" function may differ considerably depending on the nature of the activity in which they are engaged, size of the organization, tradition and style of management. Yet, each of them must deal with the following elements of management:

- goals and objectives
- priorities

- resources
- schedule
- authority.

In addition, each of them should be involved in all of the following responsibilities of management:

- planning
- organizing
- staffing
- directing
- budgeting
- controlling
- coordinating
- reporting
- evaluating.

Further, each of them is involved in one way or another in the use of various management techniques such as providing needed:

- leadership
- assignment of tasks
- delegation of authority
- allocation of resources
- communications
- motivation
- morale
- status and recognition
- discipline.

"What do these terms mean? What other elements of management are there?"

"What do these terms mean? What other responsibilities of management are there?"

"What do these terms mean? What other techniques of management are there?"

Having looked at management concepts as related to the manufacturing world, let us now compare the following positions (in order) with the previously listed definitions, categories, elements, responsibilities, and techniques of management to see how each is involved:

- the general manager of a coal mine
- the regional manager of a trucking firm
- the elected Chief Executive of a political jurisdiction
- a state director of corrections
- a city manager
- the sales manager for a computer firm
- a warden
- the service manager in an automobile dealership
- the manager of a baseball team
- a chief probation officer
- the manager of a political campaign
- a correctional captain
- an orchestra conductor
- a railroad switchman
- the manager of a trust fund
- a parole unit supervisor
- the principal of a school
- a parent
- a probation officer
- an architect

- o a farmer
- o a housewife
- o a group supervisor
- o a correctional officer.

As can be seen from the above comparisons, each position is involved in one way or another with various definitions, categories, elements, responsibilities, and techniques of management. Therefore, it should be recognized that "management" can and should have a broader interpretation than it is often given. Thus, for the purposes of this training, "management" is defined as:

the act of handling resources in accordance with given authority to achieve stated goals and objectives as effectively as possible.

In this definition, key words are defined as follows:

Handling--those management responsibilities and techniques identified earlier.

Resources--money, raw materials, facilities, personnel.

Authority--that authority granted (or delegated) by law, social custom, agency policy or position.

Goal--a general purpose or status that is sought.

Objective--a specific purpose or status that is sought in a specific amount and in a specific location by a specific time.

Effective--producing a desired result at the lowest cost possible (with the emphasis on results rather than low cost).

"Can you think of any positions in life that are not involved in some type of management? If so, which? Why?"

"What authority does a caseworker have compared to that of the general public? A correctional worker?"

"What is an example of an objective for a correctional agency? A correctional worker? A caseworker?"

"Does the caseworker always have adequate authority for all of his decisions? What about information? Time? Means of implementation? What about the correctional worker?"

Of course, all of the above requires that the manager have the capability and the commitment to succeed before meaningful success is possible.

Central to the entire area of management is the ability, process, and act of making decisions. There are many persons with the authority to make decisions who are incapable of the act. In addition, there are those who get so caught up in the process of the decision, that they forget the purpose of the decision. Major elements on which a decision should be based are adequate:

- o understanding of the purpose of the decision
- o authority
- o information
- o time for careful consideration
- o means of implementation

Organization of Cases

When cases are assigned, correctional personnel must first outline their work before they can be effective with their clients. In general, this involves gathering, analyzing, and organizing information, planning, and making commitments. This activity ends when plans for a caseload are implemented. Such organizational activities may range from formal documentation, staffing, agency review, and agency commitment to the informal personal assessments and commitments of a single worker.

Regardless of the involvement, the following activities take place and impact on the management of cases and, hence, on case decisions.

Assessment of Basic Case Problems and Needs

Sufficient information about the problems and needs of each case must be obtained to

provide a foundation for case activities. Pressures of other cases and other obligations impose requirements for obtaining the essential information as quickly and economically as possible.

EXAMPLE

At the suggestion of a neighbor, Mrs. McMerny brought her eight-year-old son to the Probation office. She explained to the intake worker that her boy wouldn't obey her and was increasingly insolent. After further investigation, the intake worker strongly suspected that Mrs. McMerny was exhibiting symptoms of mental illness to which her son was reacting.

Establishment of Desired Case Results
or Goals

Pressure is on correctional personnel to identify practical goals that will result in constructive changes in behavior and ultimately in law-abiding life for the client. But several alternatives are usually reviewed before the best goals can be identified. Good management implies that the procedures followed in identifying these goals be reasonably economical and consume relatively little time.

EXAMPLE

When Oren Masseri was assigned to serve as Work Release Coordinator, he promptly revised the application form used by inmates of the jail to request work release privileges. The revised form included several questions which required the applicant to describe his motivation, state his long-range goals, and indicate how being granted work-release status would serve those goals.

"What are the fastest ways of getting essential information about a client who is a first-time burglar? A third-time hard-narcotics offender?"

"What procedures have you experienced as most efficient in identifying goals for clients? Least costly?"

Name some effective ways to maintain comprehensive and quickly obtainable resource information.

"What resources are of most, intermediate, and least expense?"

Determination of Available Resources to Support Each Case

Information on available agency and community resources may be insufficient or obtaining access to it may be time consuming. Consequently, the good case manager finds ways to obtain and maintain comprehensive information on a broad array of resources.

EXAMPLE

After Parole Officer Tim Lund learned that a newly assigned parolee, Benny Norton, would require foster-home care upon release from the State Boys' School, Lund contacted the local welfare department as well as several private agencies. He explained to them that he would be needing a foster home with parents who were experienced in dealing with children subject to epileptic attacks and who were not likely to be intimidated by a child's alcoholic parents.

Review of the Relative Cost of Each Resource

The management problem here is to have knowledge of the relative monetary costs of each kind of resource and to use this information to keep expenses within reasonable limits.

EXAMPLE

When the Juvenile Court judge ordered that Sally Peters, a court ward, have corrective surgery, Janice Bell, her newly assigned supervisory parole officer, explored two possibilities. One involved transferring Sally to a hospital 50 miles away where the operation could be partially paid for by her father's medical insurance. The other alternative was to have the surgery at a local hospital where the medical insurance didn't apply. After

considering all the direct and indirect costs involved in both alternatives, Janice Bell established to the satisfaction of her supervisor and the County Auditor that the surgery could be performed locally at less net expense to the county.

Assessment of the Benefits Received from Each Resource

The benefits of resources must be assessed to determine which is most effective and most economical. In this context, management involves considering the size of a worker's caseload and his other commitments, and finding the best course of action for each case and for the caseload as a whole.

EXAMPLE

One month after taking over the caseload of a probation officer who had suddenly resigned, Fred Severin felt he knew enough about the needs of each client to allocate his time properly. First, he computed how much time he would have each month, on the average, for servicing his entire caseload. Then, he classified all of his cases according to their need for minimal, average, or maximum attention. By dividing the total number of cases into the number of work hours per month, Severin knew how much time he had on the average to be given to one case. He allocated the average amount of time to each case requiring an average level of supervision and one half the average case time to those classified as "in need of minimal supervision." The balance of time not required for servicing his "minimal" and "average" cases he divided among his maximum supervision cases.

Discuss the concept of case management as optimization of resources in relation to desired case results.

"What kinds of problems are you (and your clients) likely to face if you fail to organize your cases properly?"

Planning Implementation

An implementation plan must be developed to commit resources in relation to time to achieve desired case goals.

EXAMPLE

Phil Mandrock was a probation officer with a caseload comprised primarily of young men on probation for illegally using, possessing, or selling drugs. He concluded that he was not making the best use of his time and talents by meeting with his clients individually. He then conceived of a plan which called for spending half of his time meeting with clients in groups and the other half in individual sessions. Mandrock's plan also called for assessing the advantages and disadvantages of the change at the end of six months.

Organization of your case assignments is imperative if your best interests as well as those of your client and society are to be served. A disorganized, unsystematic approach will result in an unbalanced treatment of your cases. While some cases receive proper and timely attention, others may suffer from unintentional neglect.

Development of Cases

After plans have been made, the managing of your cases continues during the development phase when your activities in relation to assisting, supervising, or processing clients or inmates are under way. During this phase, ongoing and periodic reassessments of benefits obtained in practice for each case and for the entire caseload assignment should be compared to the time and effort spent.

EXAMPLE

When Probation Officer Adam Denton met with his supervisor this morning to review his caseload, he was able to report that the extra time he was applying to Dave Dewey's case seemed to be bringing results.

Dewey, who had been on the verge of expulsion from the 9th grade for truancy just two months ago, had missed only one day of school last month and may even be able to enter high school next month on the basis of improved work.

Correctional Worker Clement Conrad was pleased to discover, when he prepared his monthly work-release report, that only one of his 15 work releases had failed and four had done well enough to be granted early termination. This enabled the work-release program to accept two more eligible applicants than had been previously estimated for the next month.

Case management is concerned with maintaining a balanced perspective so that needed progress is made with all cases and emphasis is not given to one person at the expense of others.

EXAMPLE

DeWitt Daniels was an articulate and engaging inmate with a wide range of interests. Correctional Worker Roger Jackman found it difficult not to spend more time talking with him than with the other inmates he was responsible for counseling.

Plans for clients and resource commitments need continued updating to achieve objectives.

EXAMPLE

When Jack Smith made the varsity football team and the assistant coach agreed to keep an eye on him, Vincent Morgan, Jack's probation officer, reduced Jack's reporting days from once a week to twice a month.

Mrs. Wyatt, Bill's mother, was pleasantly surprised when the detention home notified her she could now visit Bill three times a week instead of twice. This change resulted from the home's decision to allocate more staff to visiting activities

"How can a caseworker find time to maintain a balanced perspective and also take care of all of the case details? Can he afford not to?"

"What is the impact on the client if you take more time than you should on his case? What is the impact on your other clients?"

Discuss the merits of narrative reports for quick and efficient reference.

when the population dropped and they were not all needed in the living units.

Through attention to management, an effective and balanced approach may be maintained in making good use of available resources and in reshaping and extending the resources to better meet client needs.

Organized cases are relatively easy to manage. Without organization, it is likely that some of your cases will receive proper attention and their requirements will be met effectively and others will suffer from lack of attention.

Presentation of Cases

Management also applies to presenting case information to others in written or oral reports, giving testimony, or informally passing information in conversations. Effort in these areas should center around assessing and improving communications effectiveness, efficiency, and economy.

Effectiveness

Presenting case information effectively involves providing the people who make decisions on a case with the essential information they need, in a format that enables quick and efficient reference. Unnecessary information only takes up space and obscures relevant data. For most of us, constant attention is needed to reassess the strengths and weaknesses of the data we process and to find economical ways to develop more effective procedures.

EXAMPLE

Worker Harvey Clay had been around his boss long enough to know specifically what data the boss used from the long and cumbersome reports submitted by corrections personnel. At first, Clay summarized this information at the top of his own narrative reports, then

he devised a way to put it in checklist format.

Efficiency

Efficiency is closely related to simplicity. Generally, the more simply an idea is stated and the simpler the method of transmission, the easier it is to understand. Thus, your management efforts to increase simplicity are likely not only to improve the speed of presentation but also to improve its effectiveness.

EXAMPLE

Parole Agent Christensen's telephone call was much more efficient than Agent McGill's letter on the same subject and it saved time.

Constraints Inhibiting Police Case Management

As correctional personnel--or agencies--carry out their responsibilities, a variety of constraints inhibits effective and efficient case management. To minimize the negative impact of these constraints, one needs to:

- o identify those constraints (or blocks) that stand in the way of achieving desired goals and objectives
- o identify resources or techniques that may be used to overcome these constraints
- o develop and use appropriate techniques for applying the available resources to minimize the constraints so that objectives may be attained in an acceptable manner.

Identifying Constraints

Some constraints can be identified on a national basis; others must be done locally. The following categories and types of constraints that can have an impact on the achievement of desired criminal justice goals and objectives are suggested as a

"In what ways could greater efficiency be achieved in providing essential case information to judges, parole boards, or correctional review committees?"

A good learning activity can be undertaken by having the students do their best to complete this analytical effort on their own agencies during their training.

point of departure for this analytical effort.

- ◉ Economic
- ◉ Physical (including Geographical)
- ◉ Legal
- ◉ Time
- ◉ Organizational
 - ◉ Structure
 - ◉ Reporting relationships
 - ◉ Written policies and procedures
 - ◉ Delegation of authority
- ◉ Political
 - ◉ Separation of powers among branches, levels, and units of government
 - ◉ Conflict over priorities or interest among various groups and individuals
 - ◉ The budget process and the sources of funds
 - ◉ The civil service system strength (or weakness)
 - ◉ The delay in getting laws to match requirements of society
 - ◉ Displacement of goals when means become ends and efficiency becomes more important than effectiveness.
 - ◉ Conflict over the need for privacy.
- ◉ Behavioral
 - ◉ Values

- Percepti ns
- Resistance to change
- Resistance to performance evaluation
- Personality characteristics.
- Social Trends
 - Social characteristics (e.g., changes in population size, composition, distribution)
 - Social institutions (e.g., changes in the family, schools, churches, governments)
 - Social practices (e.g., re-duction in the number of single family residences)
 - Social customs (e.g., increase in acceptance of common-law marriages).

Identifying Resources and Techniques to Overcome Constraints

Once these constraints have been identified, it is necessary to identify those resources and techniques that could be used to overcome these constraints--or at least to minimize them. In some circumstances, the constraints cannot be overcome unless massive (and often undesirable) changes are made in social custom or institutions.

SUMMARY

Correctional personnel are involved in a wide variety and number of cases on a regular basis. Each includes individuals, incidents, and situations involving conditions, objects, and information on which formal actions are based.

In dealing with these cases, correctional personnel must understand and apply many of the principles and techniques of management. This

"Are there any other relevant categories of constraints? Any other types within a category?"
Discuss the meaning of these constraints to a caseworker. A correctional worker.

involves the handling of resources in accordance with given authority to achieve stated goals and objectives as effectively as possible. It also requires the capability and commitment to succeed, the identification and proposed resolution of many constraints, and a capacity for making good decisions even with limited information and time.

The module seeks to demonstrate not only the need to recognize the nature of cases and the nature of management as they relate to correctional personnel, but to indicate that the good management of cases is absolutely necessary in order for the criminal justice system to work.

INTRODUCTION

In the following pages, ten learning activities are listed. Five of these have been designed for use with groups and five for students involved in an individual effort. A description of a "group" activity and an "individual" activity is provided in the INTRODUCTION. Instructors are encouraged to modify these activities--or add others--to meet local conditions or needs. Best results can be expected when the activities have been well planned and are carried out with the assistance of a qualified instructor.

These activities vary in complexity, amount of time consumed, and amount of lead time required when arranging to have specific events occur on time. Instructors will need to carefully select those activities most appropriate in light of the priorities established during the training organization phase discussed in the INTRODUCTION. Whenever possible, learning will be enhanced by student participation in this selection process.

Each learning activity has a designated method of presentation (described in the INTRODUCTION) and consists of three major sections--purpose, instructions, and conclusions.

- o The purpose must be made obvious in order to provide the necessary direction for the instructor and student. Instructional time spent here will pay dividends.
- o Instructions about how to accomplish the activity must be crystal clear to ensure the proper results from which conclusions may be drawn.
- o Finally, time must be made available at the end of each activity to summarize the results, draw conclusions from them, and apply the learning to job performance. All too often this very critical part of the learning process is neglected.

Each of these sections is of particular importance to the learning process. This is especially true where students are studying individually.

The learning activities in this module are designed to enable students to put role concepts into practice.

Participants should remember that the learning strategy involved in this program requires active learning experiences whenever possible.

Instructors and students are encouraged to review the method for each type of learning activity each time that activity is used.

Wherever possible, visual aids and supplemental materials can be used, but they are not required.

It is of critical importance that learning activities used in any module--or any associated examples, assignments, or discussions--must focus on the role concept involved.

GROUP ACTIVITIES

1. Conference: The Probation Officer and the Case of the Juvenile Arsonist

This activity is intended to suggest techniques which enable correctional personnel to make orderly and efficient use of their time.

Instructions:

- ◉ Read through all the instructions before beginning the exercise.
- ◉ Divide the class into small groups.
- ◉ Have each group elect a spokesman who will record and report the group's actions.
- ◉ Have each student read the case of "The Probation Officer and the Juvenile Arsonist" in Appendix A.
- ◉ Have students analyze the situation to determine significant problems presented by the case.
- ◉ Have each student decide, without discussion with other members of his group, how he would respond to Mrs. Roberts' call and how he would manage the case.
- ◉ Students then discuss their individual decisions within their group and decide as a group how the case should be managed and the best course of action to take.
- ◉ Each group spokesman will present his group's plan of action to the class. This may be read or recorded on a chalkboard, flipchart, or transparency.
- ◉ Have the class discuss each plan as it is presented.
- ◉ After all plans have been read and discussed, ask the class to determine which

plan best promises to meet the probation officer's caseload problem.

The instructor should lead the class in a discussion of conclusions drawn from this exercise and their implications for managing cases in the field.

2. Lecture-Discussion: Interaction with Police in Case Management

The purpose of this activity is to alert students to the way correctional personnel and police officers can aid each other in managing their cases in an efficient and timely manner.

Instructions:

- At least two weeks in advance of the class, invite two police officers with juvenile bureau responsibilities to speak to the class. Their talks should focus on interactions with corrections personnel in the management of cases informally supervised by the police.
- Ask the speakers to limit their remarks to 10 minutes each and to direct their attention to the following questions:

What information or assistance do the police require of probation/parole/correctional workers to help in carrying out case organization and management?

What information or assistance do corrections personnel (1) usually provide or (2) sometimes fail to provide which would help the police in the management of their cases?

What problems are encountered, and what recommendations can be made to resolve them to the benefit of efficient use of time for both police and correctional workers?

"Do police officers usually have training and/or experience in the area of managing cases in addition to regular duties?"

With minor modifications, this activity can be assigned as an individual learning exercise.

After the presentation, the instructor should lead the students in a discussion to develop conclusions related to their position in the light of this experience.

3. Operational Observation: Caseload Review

This activity is intended to give students insight into the periodic caseload review conducted jointly by caseworkers and their supervisors.

Instructions:

- o One week in advance of the activity, arrange with a probation or parole agency administrator for students to observe agency line supervisors conducting monthly or quarterly reviews of cases with caseworkers.
- o On the day of the activity, direct small groups of students to the selected agency and to the supervisor with whom arrangements have been made.
- o Have the students observe the caseload review and discuss the procedure with the supervisor after the session.
- o Upon returning to the class, have each group review the case management practices observed and summarize the group's observations and reactions.

A predesignated student or the instructor should lead a discussion of conclusions reached by the students concerning good case management practices.

4. Panel: The Use of Volunteers in Case and Caseload Management

The purpose of this activity is to provide students with a better understanding of how they may improve the quality of service they can provide their cases by using volunteers.

Instructions:

- In advance of the date set for this activity, arrange for a two or three member panel to discuss "The Use of Volunteers as a Case Management Strategy." Panel members should be persons who have experience in a correctional agency as a volunteer or staff person who has had responsibility for the recruitment, training, screening, assignment, and certification of volunteers.
- On the day of the activity, have each panel member discuss the pros and cons of the use of volunteers in casework in a five-minute presentation. Focus should be on the assistance they provide to caseworkers that allows the caseworker's time to be used more effectively and efficiently in managing his cases. Questions from the class should be encouraged.

A student should be assigned to lead a discussion summarizing the major points made by the panelists and drawing conclusions on the use of volunteers as a case management procedure.

5. Seminar: Resource Development

The purpose of this exercise is to make students aware of agency and community resources available for the efficient implementation of case management plans.

Instructions:

- Ask each class member to name the two major types of resources which he feels would be most useful to him for casework purposes. List these resources on a chalkboard or flipchart.
- Divide the class into small groups and assign one of the following topics to each group:

Describe a resource and its specific

applications to management.

How can such information, once developed, be kept up to date?

In what way can such information be organized for efficient and rapid accessibility?

Arrange the resource list in rank order according to (1) availability, (2) cost, and (3) history of effectiveness.

- After a 15-minute discussion period, ask a speaker for each group to report the conclusions of the group's discussions.

The instructor should conduct a general discussion of each group's conclusions and relate them to the practical daily work of corrections personnel.

INDIVIDUAL ACTIVITIES

1. Interview: Organizing Cases

The objective of this activity is to enable the student to observe how an experienced and well organized caseworker manages his caseload.

Instructions:

- Allowing adequate time before the activity, arrange for a student to spend three hours with an experienced and well organized caseworker.

- During the three-hour period, have the student:

Discuss agency requirements related to size of caseload, procedures, and problems related to time and budget limitations.

Explore the nature of other collateral assignments the caseworker may have, in addition to his caseload, that

impact on his ability to handle his caseload.

Explore the caseworker's techniques for organizing his time and cases, giving appropriate attention to individual cases in spite of the size of his caseload and other assignments.

The student should organize the results of the interview and discuss conclusions that he can relate to his own job performance with his instructor.

2. Operational Observation: Review of One Case from Referral to Closeout

The purpose of this exercise is to provide the student with an overview of case management considerations arising in a single case from the time it is received until it is concluded.

Instructions:

- Before the date set for this activity, arrange for the student to spend several hours in the company of a probation officer whose responsibilities include responding to "out-of-town" inquiries.
- Accompany the probation officer while he accumulates all of the information required to answer a letter from an out-of-town agency, judge, administrator, or client requesting specific information.
- Note the steps taken, how the information was obtained, verified, the means by which it was communicated, and the amount of time consumed in the process.
- Discuss other work in his caseload that may have been delayed or eliminated in order to permit him to deal with these cases.

The student should summarize his observations, draw conclusions and implications for his own job performance, and discuss his findings with his instructor.

3. Case Study: Case Folder Review

This exercise provides the student with an opportunity to examine how cases are managed by reviewing records which illustrate the process.

Instructions:

- Before the date set for the study of the module, arrange with a correctional agency administrator for a student to review the file on an institutional or field case, now closed, that had involved extensive agency work.
- Have the student read the contents of the case folder and note ways in which the case has been organized to promote efficient and economic processing.

The student should summarize his observations and develop conclusions related to efficiency and economy of time that can be applied to his own case management activities.

4. Operational Observation: Testimony in Court

This activity can serve to demonstrate to the student how a well organized and managed case benefits the client and society.

Instructions:

- Prior to the date set for the activity, determine where and when cases that require testimony by corrections personnel are calendared in court and notify the student to that effect.
- Put the student in contact with the corrections person who is scheduled to testify sufficiently in advance of the scheduled court hearing to permit them to discuss:

the amount of time he spends in preparing for his testimony

the actual time usually required for testimony in court

the impact that giving time to testimony has on his case management requirements.

how he makes up the time.

- Have the student attend the court session and observe the proceedings.
- After the court hearing, have the student discuss with the person testifying the value of his testimony from the standpoint of his client and of society.

The student should summarize his observations, draw conclusions, and discuss his findings with his instructor as they relate to his own job performance when giving testimony in the future.

5. Inquiry: Allocation of Worker's Time to Cases

This exercise is designed to give the student a more realistic perspective of the amount of time he has available for his workload and the need for planning and organizing to achieve an efficient use of time.

Instructions:

- Have the student assume he is a correctional caseworker assigned a caseload of 100 probationers or parolees to supervise.
- Using the method and form contained in Appendix B, ask him to estimate how much of his time will be required each month for purposes such as the following:

answering and making telephone calls

coordinating resources

handling administrative office details

talking with and listening to fellow workers

This same learning activity could be modified slightly to relate to a parole board hearing or a disciplinary hearing.

Students might discuss other time-consuming activities likely to occur.

waiting in court or hearing rooms
to make presentations

traveling to see clients or other
persons

writing reports.

o Using these estimates, calculate:

the number of hours each month he
will be able to apply to the
average case

the size of the caseload he should
have if he were to allot one hour
a week of direct contact with an
average case.

The student should report the results of his
calculations in writing to the instructor
and discuss his assessment of their implica-
tions for his own case management in the
future.

CONTINUED

2 OF 3

REVIEW

The following review questions are intended to provide closure on the module by encouraging thought and discussion of key issues and their implications for your on-the-job performance. Additional learning activities may be organized around discussions of the review questions.

1. What bearing does the efficiency with which you manage cases have on the prevention of crime?
2. What common principles of management should all people in criminal justice positions practice?
3. What practical actions can you take to improve the quality of your case management in spite of budget and time limitations?
4. Name a few of the attitudes corrections personnel should have regarding clients, agencies, and legal procedures that will contribute to their ability to manage cases effectively.
5. In accumulating information and evidence regarding a specific case, what effects could your organization of the case materials have on the life of the person (suspect, offender, citizen) involved?

[SUGGESTED READINGS]

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APPENDIXES

APPENDIX B. INDIVIDUAL ACTIVITY 5

METHOD FOR APPROXIMATING CORRECTIONAL PERSONNEL WORK MONTH (IN HOURS)

Number of Days in a Calendar Year	365
Number of Non-Work Days/Calendar Year	
Saturdays and Sundays	104
Vacation (average)	15
Sick Leave (average)	6
Holidays (average)	<u>10</u>
	135
Number of Work Days/Calendar Year	230
Number of Hours/Work Day	8
Total Number of Work/Hours Year (230 days x 8 hours/day)	1840
Average Number of Work Hours/Month (1840 hours - 12 months)	153.3
<u>Work Hours Not Available for Application to Specific Cases</u>	

It is not unusual for correctional personnel to spend time on the following activities:

- a) 4 hours conferring with their supervisors
- b) 2 hours attending department or unit staff meetings
- c) 2 hours maintaining and reporting required statistical information
- d) 8 hours attending meetings of professional organizations, representing an employees' group, serving on a panel, representing the agency at a meeting
- e) 2 hours attending in-service training sessions
- f) 10 hours at two daily 15-minute coffee breaks
- 28 hours Total work time not available for application to caseload.

(Student should substitute activities which absorb his own time.)

Determination of Actual Work Hours Available for Cases

153.3	Total Work Hours/Month
- 28.0	Work Hours Not Available to Cases
<u>125.3</u>	Total Work Hours Available for Case Activities/Average Month

END