

2014 Census of Adult Probation Supervising Agencies
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*Attachment pertains to both public agencies and private companies unless otherwise specified.

Attachment 1 – BJS Authorizing Legislation

DERIVATION

Title I

THE OMNIBUS CRIME CONTROL AND SAFE STREETS ACT OF 1968
(Public Law 90-351)

42 U.S.C. § 3711, *et seq.*

AN ACT to assist State and local governments in reducing the incidence of crime, to increase the effectiveness, fairness, and coordination of law enforcement and criminal justice systems at all levels of government, and for other purposes.

As Amended By

THE OMNIBUS CRIME CONTROL ACT OF 1970
(Public Law 91-644)

THE CRIME CONTROL ACT OF 1973
(Public Law 93-83)

THE JUVENILE JUSTICE AND DELINQUENCY PREVENTION ACT OF 1974
(Public Law 93-415)

THE PUBLIC SAFETY OFFICERS' BENEFITS ACT OF 1976
(Public Law 94-430)

THE CRIME CONTROL ACT OF 1976
(Public Law 94-503)

THE JUSTICE SYSTEM IMPROVEMENT ACT OF 1979
(Public Law 96-157)

THE JUSTICE ASSISTANCE ACT OF 1984
(Public Law 98-473)

STATE AND LOCAL LAW ENFORCEMENT ASSISTANCE ACT OF 1986
(Public Law 99-570-Subtitle K)

THE ANTI-DRUG ABUSE ACT OF 1988
TITLE VI, SUBTITLE C - STATE AND LOCAL NARCOTICS CONTROL
AND JUSTICE ASSISTANCE IMPROVEMENTS
(Public Law 100-690)

THE CRIME CONTROL ACT OF 1990
(Public Law 101-647)

BRADY HANDGUN VIOLENCE PROTECTION ACT
(Public Law 103-159)

VIOLENT CRIME CONTROL AND LAW ENFORCEMENT ACT OF 1994
(Public Law 103-322)

NATIONAL CHILD PROTECTION ACT OF 1993, AS AMENDED
(Public Law 103-209)

and

CRIME IDENTIFICATION TECHNOLOGY ACT OF 1998
(Public Law 105-251)

**BUREAU OF JUSTICE STATISTICS
CHAPTER 46 - SUBCHAPTER III [TITLE I -
PART C]**

42 USC § 3731

[Sec. 301.] Statement of purpose

It is the purpose of this subchapter [part] to provide for and encourage the collection and analysis of statistical information concerning crime, juvenile delinquency, and the operation of the criminal justice system and related aspects of the civil justice system and to support the development of information and statistical systems at the Federal, State, and local levels to improve the efforts of these levels of government to measure and understand the levels of crime, juvenile delinquency, and the operation of the criminal justice system and related aspects of the civil justice system. The Bureau shall utilize to the maximum extent feasible State governmental organizations and facilities responsible for the collection and analysis of criminal justice data and statistics. In carrying out the provisions of this subchapter [part], the Bureau shall give primary emphasis to the problems of State and local justice systems.

42 USC § 3732

[Sec. 302.] Bureau of Justice Statistics

(a) Establishment. There is established within the Department of Justice, under the general authority of the Attorney General, a Bureau of Justice Statistics (hereinafter referred to in this subchapter [part] as “Bureau”).

(b) Appointment of Director; experience; authority; restrictions. The Bureau shall be headed by a Director appointed by the President, by and with the advice and consent of the Senate. The Director shall have had experience in statistical programs. The Director shall have final authority for all grants, cooperative agreements, and contracts awarded by the Bureau. The Director shall report to the Attorney General through the Assistant Attorney General. The Director shall not engage in any other employment than that of serving as Director; nor shall the Director hold any office in, or act in any capacity for, any organization, agency, or institution with which the Bureau makes any contract or other arrangement under this Act.

(c) Duties and functions of Bureau. The Bureau is authorized to—

(1) make grants to, or enter into cooperative agreements or contracts with public agencies, institutions of higher education, private organizations, or private individuals for purposes related to this subchapter [part]; grants shall be made subject to continuing compliance with standards for gathering justice statistics set forth in rules and regulations promulgated by the Director;

(2) collect and analyze information concerning criminal victimization, including crimes against the elderly, and civil disputes;

(3) collect and analyze data that will serve as a continuous and comparable national social indication of the prevalence, incidence, rates, extent, distribution, and attributes of crime, juvenile delinquency, civil disputes, and other statistical factors related to crime, civil disputes, and juvenile delinquency, in support of national, State, and local justice policy and decision making;

(4) collect and analyze statistical information, concerning the operations of the criminal justice system at the Federal, State, and local levels;

(5) collect and analyze statistical information concerning the prevalence, incidence, rates, extent, distribution, and attributes of crime, and juvenile delinquency, at the Federal, State, and local levels;

(6) analyze the correlates of crime, civil disputes and juvenile delinquency, by the use of statistical information, about criminal and civil justice systems at the Federal, State, and local levels, and about the extent, distribution and attributes of crime, and juvenile delinquency, in the Nation and at the Federal, State, and local levels;

(7) compile, collate, analyze, publish, and disseminate uniform national statistics concerning all aspects of criminal justice and related aspects of civil justice, crime, including crimes against the elderly, juvenile delinquency, criminal offenders, juvenile delinquents, and civil disputes in the various States;

(8) recommend national standards for justice statistics and for insuring the reliability and validity of justice statistics supplied pursuant to this chapter [title];

(9) maintain liaison with the judicial branches of the Federal and State Governments in matters relating to justice statistics, and cooperate with the judicial branch in assuring as much uniformity as feasible in statistical systems of the executive and judicial branches;

(10) provide information to the President, the Congress, the judiciary, State and local governments, and the general public on justice statistics;

(11) establish or assist in the establishment of a system to provide State and local governments with access to Federal informational resources useful in the planning, implementation, and evaluation of programs under this Act;

(12) conduct or support research relating to methods of gathering or analyzing justice statistics; (13)

provide for the development of justice information systems programs and assistance to the States and units of local government relating to collection, analysis, or dissemination of justice statistics;

(14) develop and maintain a data processing capability to support the collection, aggregation, analysis and dissemination of information on the incidence of crime and the operation of the criminal justice system;

(15) collect, analyze and disseminate comprehensive Federal justice transaction statistics (including statistics on issues of Federal justice interest such as public fraud and high technology crime) and to provide technical assistance to and work jointly with other Federal agencies to improve the availability and quality of Federal justice data;

(16) provide for the collection, compilation, analysis, publication and dissemination of information and statistics about the prevalence, incidence, rates, extent, distribution and attributes of drug offenses, drug related offenses and drug dependent offenders and further provide for the establishment of a national clearinghouse to maintain and update a comprehensive and timely data base on all criminal justice aspects of the drug crisis and to disseminate such information;

(17) provide for the collection, analysis, dissemination and publication of statistics on the condition and progress of drug control activities at the Federal, State and local levels with particular attention to programs and intervention efforts demonstrated to be of value in the overall national anti- drug strategy and to provide for the establishment of a national clearinghouse for the gathering of data generated by Federal, State, and local criminal justice agencies on their drug enforcement activities;

(18) provide for the development and enhancement of State and local criminal justice information systems, and the standardization of data reporting relating to the collection, analysis or dissemination of data and statistics about drug offenses, drug related offenses, or drug dependent offenders;

(19) provide for research and improvements in the accuracy, completeness, and inclusiveness of criminal history record information, information systems, arrest warrant, and stolen vehicle record information and information systems and support research concerning the accuracy, completeness, and inclusiveness of other criminal justice record information;

(20) maintain liaison with State and local governments and governments of other nations concerning justice statistics;

(21) cooperate in and participate with national and international organizations in the development of uniform justice statistics;

(22) ensure conformance with security and privacy requirement of section 3789g of this title and identify, analyze, and participate in the development and implementation of privacy, security and information policies which impact on Federal and State criminal justice operations and related statistical activities; and

(23) exercise the powers and functions set out in subchapter VIII [part H] of this chapter [title].

(d) Justice statistical collection, analysis, and dissemination. To insure that all justice statistical collection, analysis, and dissemination is carried out in a coordinated manner, the Director is authorized to—

(1) utilize, with their consent, the services, equipment, records, personnel, information, and facilities of other Federal, State, local, and private agencies and instrumentalities with or without reimbursement therefore, and to enter into agreements with such agencies and instrumentalities for purposes of data collection and analysis;

(2) confer and cooperate with State, municipal, and other local agencies;

(3) request such information, data, and reports from any Federal agency as may be required to carry out the purposes of this chapter [title];

(4) seek the cooperation of the judicial branch of the Federal Government in gathering data from criminal justice records; and

(5) encourage replication, coordination and sharing among justice agencies regarding information systems, information policy, and data.

(e) Furnishing of information, data, or reports by Federal agencies. Federal agencies requested to furnish information, data, or reports pursuant to subsection (d)(3) of this section shall provide such information to the Bureau as is required to carry out the purposes of this section.

(f) Consultation with representatives of State and local government and judiciary. In recommending standards for gathering justice statistics under this section, the Director shall consult with representatives of State and local government, including, where appropriate, representatives of the judiciary.

42 USC § 3733 **[Sec. 303.] Authority for 100 per centum grants**

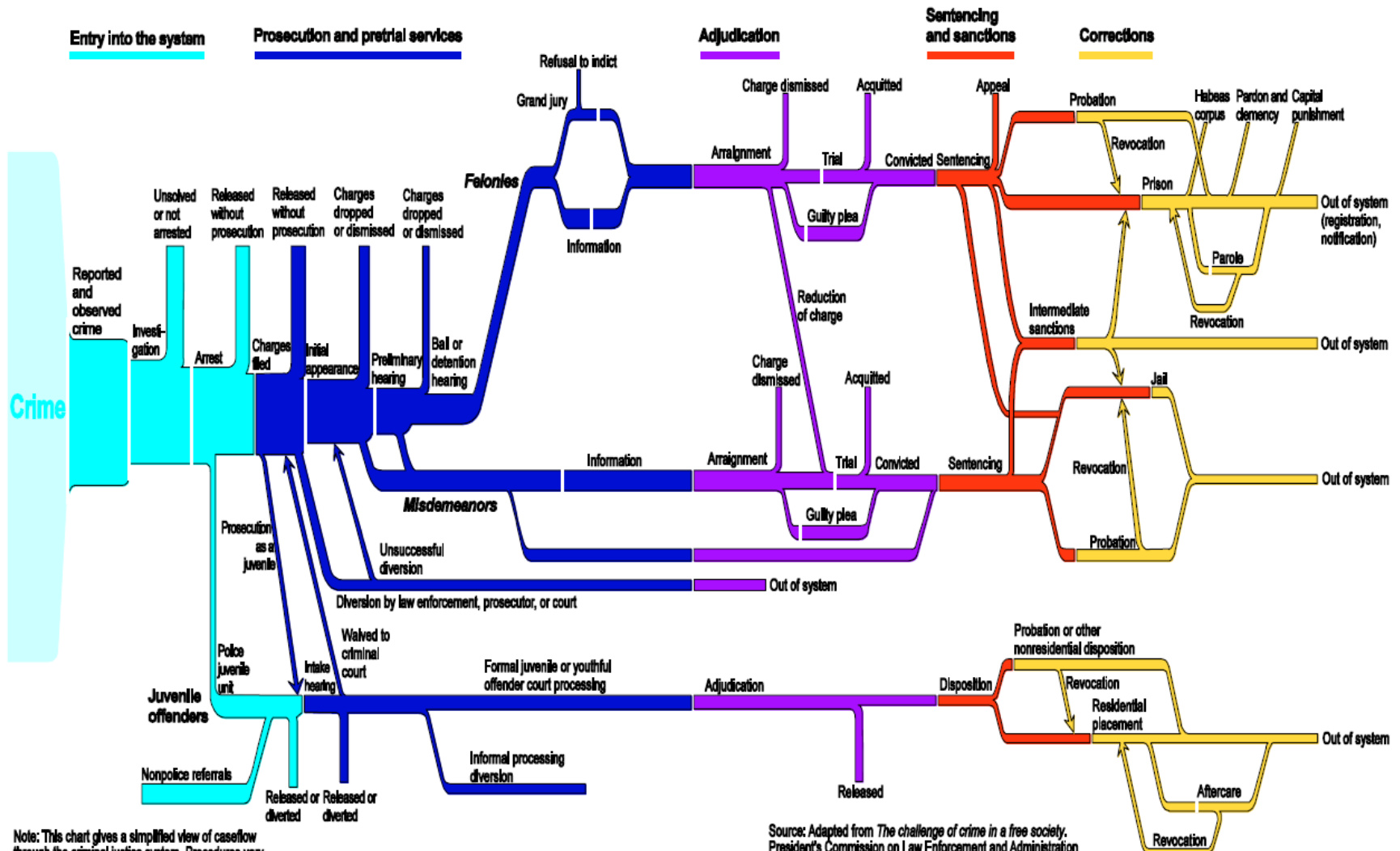
A grant authorized under this subchapter [part] may be up to 100 per centum of the total cost of each project for which such grant is made. The Bureau shall require, whenever feasible as a condition of approval of a grant under this subchapter [part], that the recipient contribute money, facilities, or services to carry out the purposes for which the grant is sought.

42 USC § 3735 **[Sec. 304.] Use of data**

Data collected by the Bureau shall be used only for statistical or research purposes, and shall be gathered in a manner that precludes their use for law enforcement or any purpose relating to a particular individual other than statistical or research purposes.

Attachment 2 – BJS Criminal Justice Flowchart

What is the sequence of events in the criminal justice system?



Note: This chart gives a simplified view of caseload through the criminal justice system. Procedures vary among jurisdictions. The weights of the lines are not intended to show actual size of caseloads.

Source: Adapted from *The challenge of crime in a free society*, President's Commission on Law Enforcement and Administration of Justice, 1967. This revision, a result of the Symposium on the 30th Anniversary of the President's Commission, was prepared by the Bureau of Justice Statistics in 1997.

Attachment 3 – Public Agency Questionnaire



OMB No. 1121-XXXX: Approval Expires XX/XX/XXXX

2014 Census of Adult Probation Supervising Agencies

CAPSA-1A

2014 Census of Adult Probation Supervising Agencies (CAPSA)

Data collection agents: Westat and the American Probation and Parole Association

Burden Statement: Under the Paperwork Reduction Act, we cannot ask you to respond to a collection of information unless it displays a currently valid OMB control number. Public reporting burden for this collection is estimated to average 65 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any aspect of this collection of information, including suggestions for reducing this burden, to the Director of Bureau of Justice Statistics, 810 Seventh Street, NW, Washington, DC 20531; and to the Office of Management and Budget, OMB No 1121-0339, Washington, DC 20503.

Purpose of Census

The Census of Adult Probation Supervising Agencies (CAPSA) is designed to identify and enumerate adult probation supervising agencies in the United States and obtain information about their organizational structures, authority, functions, and populations supervised. Most questions asked in the census focus on the agency's practices; only a few questions ask for numerical information—specifically, aggregate counts of probationers and supervision officers.

This census focuses on adult probation. However, there are some questions that reference other populations your agency may supervise. As you answer each question, please consider only adult probation unless instructed otherwise.

Click on the “Next” button to view information on how to move through the survey and report your answers. Throughout the survey, you may click on the “Glossary” button to view definitions of terms used in this census.

Instructions

Answering Questions

You can move through the survey by clicking the "Next" button. Your answers will be saved automatically when you click the "Next" button. Return to the previous question to view or change your answers by clicking the "Back" button. Do not use the back button on your browser; this will not save your data to the survey system.

Please provide a response to each item. Blank items will be interpreted as "unknown." If the answer to a question is "zero," select "None" on the question screen.

If you select "Other," as the answer to a question, please make sure to name or describe your answer in the corresponding open text box.

If you leave a question screen or close the window in your browser without clicking on the "Next" or "Back" button, any answers you have just entered will be lost.

You can access the glossary of definitions to key items by clicking on the "Glossary" button found at the bottom of each screen. To return to the survey, please click the "Back" button.

You may enter or change answers to questions at any time prior to submission.

Completing the Survey Later

You can stop your work on the survey at any time - just be sure to click the "Next" button before you leave the survey.

When you come back, after you login, you will be able to resume your work beginning from the first unanswered question.

Submitting the Completed Survey

After completing the survey, you must click on the "Submit Survey" button on the last screen. When we receive the survey, we will review your responses and contact you if we need to clarify any information.

Please complete this questionnaire online by August 31, 2014.

To revise a response after you have clicked "Submit Survey," please contact Westat at bjscapsa@westat.com or call the CAPSA Agency Support Team at 1-888-329-8124.

Providing Additional Information

If you indicate you will be providing lists of correctional residential facilities, private companies, or missing probation agencies by email or fax, please remember to send that information after completing the survey, and please include your login PIN along with the list(s) so that we know the information is being provided by your agency.

Assistance Answering Questions

If you need assistance or have any questions, please contact us at bjscapsa@westat.com or call the CAPSA Agency Support Team at 1-888-329-8124.

Key Definitions

As you answer each question, please consider only adult probation, unless instructed otherwise. A copy of these definitions was provided along with your login PIN.

Probation is defined as a disposition or sentence for either a felony or misdemeanor that (1) is imposed by a criminal court and (2) places the adjudicated person under the control, supervision and care of a correctional agency. The probation conditions form a contract with the court by which the person must abide in order to remain in the community, generally in lieu of incarceration. Often, probation entails monitoring or surveillance by a correctional agency, but in some instances, probation may not involve any reporting requirements.

Adult probationers are defined as persons who are subject to the authority of an adult criminal court or correctional agency. Persons under the age of 18 who were prosecuted as adults in a criminal court are considered adults for the purpose of this census.

Please read all definitions and questions carefully. These definitions were developed for the purpose of this census; as such, definitions and question wording are standardized for this national census and may not match your agency's definitions and practices. Because CAPSA is a national data collection, we ask all agencies to use these standardized definitions.

GLOSSARY

The terms below are defined in the questionnaire; they are *italicized* and indicated by the heading "► *DEFINITION.*" Definitions and question wording are standardized for this national census and may not match your agency's definitions and practices. Because CAPSA is a national data collection, we ask all agencies to use these standardized definitions. There is a comment field at the end of the survey; please describe any instances where you were unable to apply the census definition when answering a question. The comment field can also be used to provide any other general or specific comments about this questionnaire.

Key Definitions

Probation

A disposition or sentence for either a felony or misdemeanor that (1) is imposed by a criminal court and (2) places the adjudicated person under the control, supervision and care of a correctional agency. The probation conditions form a contract with the court by which the person must abide in order to remain in the community, generally in lieu of incarceration. Often, probation entails monitoring or surveillance by a correctional agency, but in some instances, probation may not involve any reporting requirements.

Adult probationers

Persons who are subject to the authority of an adult criminal court or correctional agency. Persons under the age of 18 who were prosecuted as adults in a criminal court are considered adults for the purpose of this census.

Your agency

In this survey, you will be asked questions about NAME, ADDRESS. The survey will use "NAME" and the term "*your agency*" interchangeably.

Because CAPSA is a national data collection, we ask all agencies to use the same approach to determine the scope of their agency (for example, whether to consider field or satellite probation offices) when completing the survey. The first questions focus on the role NAME has in establishing probation policies or defining probation procedures for adult probation supervision. Your answers to these first questions will be used to define *your agency* for the purpose of this census.

Please consider only *adult probation*, unless instructed otherwise in specific questions, even if *your agency* supervises other correctional populations.

Other Definitions

Administrative functions

Personnel management, or similar clerical or management activities, record storage and maintenance, or budget preparation.

Authority

The ability to make decisions regarding policies and procedures governing adult probation. For the purpose of this census, statutes are not considered to be policies or procedures.

Correctional residential facilities

Community-based facilities operated exclusively for correctional populations. Residents may be provided programs and services, and may be allowed extensive contact with the community, such as for employment, work, or attending school, but all residents are obligated to occupy the premises at night. Examples include, but are not limited to, halfway houses, restitution centers, detention centers, and prerelease or work release centers.

Electronic monitoring

Supervision conducted using electronic devices or systems to monitor or track probationers' locations, activities, or behaviors. Examples can include, but are not limited to radio frequency monitoring, Global Position System (GPS) monitoring, and alcohol monitoring.

Electronic supervision

Supervision conducted using automated or electronic means, such as interactive voice recognition (IVR) or kiosks for routine reporting. It does not include *electronic monitoring*, email, or text reporting.

Face-to-face supervision

Supervision conducted through in-person visits such as office or field visits.

Fees

Money paid by probationers to cover the cost of operations which include but are not limited to, supervision fees, program fees, drug testing fees, pre-sentence investigation (PSI) report fees, and risk or needs assessment fees.

Field or satellite probation office

A probation office that is operated by a larger agency/department. It may actually manage/supervise adult probationers, but it does not establish any policies or define any procedures for adult probation for itself.

Fines

Monetary penalties paid by probationers. Fines include but are not limited to, day fines, violation fines, and restitution.

Intensive supervision probation (ISP)

A more rigorous form of supervision than standard probation. It often emphasizes extensive contact, stringent conditions (e.g., drug testing, curfews, employment, or program engagement), and close monitoring or surveillance.

Non-reporting probation

Supervision where the adult probationer is never required, during any period of the probation term, to report to a court or correctional authority on a regular basis either through face-to-face visits, mail, telephone, interactive voice recognition (IVR), or kiosks.

Operational responsibility

The responsibility for implementing decisions related to the established policies and defined procedures of adult probation.

Pre-sentencing investigations

Activities to inform case processing decisions (associated with but not limited to sentencing decisions); activities include collecting and reporting information related to adult probationers' criminal histories, housing, employment, and family circumstances.

Reporting activities

Data collection or reporting, for example the preparation of monthly or annual reports.

Staffing

The hiring, terminating, re-assigning, or promoting of staff.

Supervision officers

Full- and part-time staff who spend any amount of time supervising adult probationers, regardless of their position or the amount of time they spend conducting activities in addition to adult probation supervision. Some agencies may refer to these staff as officers, agents, or caseworkers.

Supervisory functions

Staff (e.g., officers, agents, or caseworkers) supervise adult probationers either through face-to-face visits, mail, telephone, interactive voice recognition (IVR), or kiosks for routine reporting.

SECTION A. Contact Information

1. Please provide the contact information for the person completing this questionnaire.

Contact Name: _____

Title: _____

Agency Name: _____

Address: _____

Telephone: _____ Extension: _____

Email: _____

SECTION B. Organizational Structure

One of the goals of CAPSA is to develop a comprehensive listing of adult probation supervising agencies in the United States. Throughout this questionnaire, the term "your agency" will be used to identify **NAME, ADDRESS**.

Characteristics of your agency will be used to help determine which questions in this survey are the most appropriate for you to answer. The first questions in this section ask about the role your agency has in establishing probation policies or defining probation procedures for adult probation supervision. When answering these questions:

- Do not consider statutes/laws enacted by a legislative entity such as state legislatures, county boards, and city councils.
- Do not consider implementing established policies or defined procedures. Your agency's role in implementation will be addressed in later questions.

2. Which one of the following best describes NAME? Please mark "Yes" or "No" for each item a-c below.

	<u>Yes</u>	<u>No</u>
a. NAME is an agency that <u>establishes all</u> probation policies and <u>defines all</u> probation procedures <u>for itself</u>	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. NAME is an agency that <u>establishes some</u> probation policies or <u>defines some</u> probation procedures <u>for itself</u> , with other policies or procedures being set by a higher level agency/department.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. NAME is a <i>field or satellite probation office</i> ▶ <i>DEFINITION: A field or satellite probation office is operated by a larger agency/department. It may actually manage/supervise adult probationers, but it <u>does not establish any</u> policies or <u>define any</u> procedures for adult probation for itself</i>	1 <input type="checkbox"/>	2 <input type="checkbox"/>

The next questions ask if NAME has any role in establishing probation policies or defining probation procedures for another probation office. When answering these questions,

- Do not consider any private company that might be responsible for supervising adult probationers on behalf of NAME.
- Do not consider any government entity that might be responsible for providing programs/services to adult probationers on behalf of NAME, but is not a probation office.

3. Does NAME establish all probation policies and define all probation procedures for a *field or satellite probation office*?

► *DEFINITION:* A *field or satellite probation office* is operated by a larger agency/department. It may actually manage/supervise adult probationers, but it does not establish any or define any policies for adult probation for itself.

¹ Yes

² No

4. Does NAME establish any probation policies or define any probation procedures for any probation office other than a *field or satellite probation office(s)* — where that office(s) can also establish some probation policies or define some probation procedures for itself?

► *INSTRUCTION:*

- Consider only a probation office(s) that can establish some probation policies or define some probation practices for itself.

¹ Yes

² No

IF 2a IS YES AND (2b, 2c, 3 AND 4) ARE NOT YES:

As you complete this questionnaire, the term *your agency* will be used to refer to NAME. Please report for NAME when answering all questions.

IF 2b IS YES AND (2a, 2c, 3 AND 4) ARE NOT YES:

As you complete this questionnaire, the term *your agency* will be used to refer to NAME. Please report for only NAME when answering all questions; do not consider the higher level agency/department in your answers.

IF 2c IS YES:

Please contact us at bjscapsa@westat.com or call the CAPSA Agency Support Team at 1-888-329-8124 before proceeding with this questionnaire.

IF MORE THAN ONE IN (2a, 2b, 2c) IS YES:

Please contact us at bjscapsa@westat.com or call the CAPSA Agency Support Team at 1-888-329-8124 before proceeding with this questionnaire.

IF NONE IN (2a, 2b, 2c) IS YES:

Please contact us at bjscapsa@westat.com or call the CAPSA Agency Support Team at 1-888-329-8124 before proceeding with this questionnaire.

IF 2a AND 3 ARE YES AND 4 IS NOT YES:

As you complete this questionnaire, the term *your agency* will be used to refer to NAME. Please report for NAME and any field or satellite probation office(s) when answering all questions. The field or satellite office(s) will not be asked to report separately on CAPSA. Do not consider any other type of probation office(s) in your answers.

IF 2a AND 4 ARE YES AND 3 IS NOT YES:

As you complete this questionnaire, the term *your agency* will be used to refer to NAME. Please report for only NAME when answering all questions; do not consider any other type of probation office(s) in your answers. The other probation office(s) will be asked to report separately on CAPSA.

IF 2b AND 3 ARE YES AND 4 IS NOT YES:

As you complete this questionnaire, the term *your agency* will be used to refer to NAME. Please report for NAME and any field or satellite probation office(s) when answering all questions. The field or satellite office(s) will not be asked to report separately on CAPSA. Do not consider the higher level agency/department or other type of probation office(s) in your answers.

IF 2b AND 4 ARE YES AND 3 IS NOT YES:

As you complete this questionnaire, the term *your agency* will be used to refer to NAME. Please report for only NAME when answering all questions; do not consider any other type of probation office(s) or the higher level agency/department in your answers.

Also, as you continue with this questionnaire, please report on only adult probation, unless instructed otherwise in specific questions, even if NAME supervises other correctional populations.

5. Does NAME have responsibility for any policies, procedures, or activities related to adult probation?
- ¹ Yes
² No
6. Does NAME conduct supervisory functions of adult probation?
- ▶ *DEFINITION: Supervisory functions* are where staff (e.g., officers, agents, or caseworkers) supervise adult probationers either through face-to-face visits, mail, telephone, interactive voice recognition (IVR), or kiosks for routine reporting.
- ¹ Yes
² No → **SKIP TO TAILORED AGENCY DEFINITION BEFORE QUESTION 8.**
7. Does NAME conduct *non-reporting probation* for adult supervision?
- ▶ *DEFINITION: Non-reporting probation* is where the adult probationer is never required, during any period of the probation term, to report to a court or correctional authority on a regular basis either in person, by telephone or mail, or through electronic supervision.
- ¹ Yes
² No → **SKIP TO TAILORED AGENCY DEFINITION BEFORE QUESTION 8.**
- 7a. On June 30, 2014, did *your agency's* total adult probation population consist only of probationers on *non-reporting probation*?
- ¹ Yes → **SKIP TO SECTION G.**
² No

TAILORED AGENCY DEFINITION INSTRUCTION (to be inserted as described throughout questionnaire):

IF 2a IS YES AND (2b, 2c, 3 AND 4) ARE NOT YES:

Please remember, the term *your agency* is used to refer to NAME. Please report for NAME when answering these questions.

IF 2b IS YES AND (2a, 2c, 3 AND 4) ARE NOT YES:

Please remember, the term *your agency* is used to refer to NAME. Please report for only NAME when answering these questions; do not consider the higher level agency/department in your answers.

IF 2c IS YES:

Please contact us at bjscapsa@westat.com or call the CAPSA Agency Support Team at 1-888-329-8124 before proceeding with this questionnaire.

IF MORE THAN ONE IN (2a, 2b, 2c) IS YES:

Please contact us at bjscapsa@westat.com or call the CAPSA Agency Support Team at 1-888-329-8124 before proceeding with this questionnaire.

IF NONE IN (2a, 2b, 2c) IS YES:

Please contact us at bjscapsa@westat.com or call the CAPSA Agency Support Team at 1-888-329-8124 before proceeding with this questionnaire.

IF 2a AND 3 ARE YES AND 4 IS NOT YES:

Please remember, the term *your agency* is used to refer to NAME. Please report for NAME and any field or satellite probation office(s) when answering these questions. The field or satellite office(s) will not be asked to report separately on CAPSA. Do not consider any other type of probation office(s) in your answers.

IF 2a AND 4 ARE YES AND 3 IS NOT YES:

Please remember, the term *your agency* is used to refer to NAME. Please report for only NAME when answering these questions; do not consider any other type of probation office(s) in your answers. The other probation office(s) will be asked to report separately on CAPSA.

IF 2b AND 3 ARE YES AND 4 IS NOT YES:

Please remember, the term *your agency* is used to refer to NAME. Please report for NAME and any field or satellite probation office(s) when answering these questions. The field or satellite office(s) will not be asked to report separately on CAPSA. Do not consider the higher level agency/department or other type of probation office(s) in your answers.

IF 2b AND 4 ARE YES AND 3 IS NOT YES:

Please remember, the term *your agency* is used to refer to NAME. Please report for only NAME when answering all questions; do not consider any other type of probation office(s) or the higher level agency/department in your answers.

8. Does NAME perform any of the following other functions of adult probation? Please mark "Yes" or "No" for each item a-f below.

	<u>Yes</u>	<u>No</u>
a. <i>Administrative functions</i> , such as personnel management, or similar clerical or management activities, record storage and maintenance, or budget preparation	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. <i>Reporting activities</i> , such as data collection or reporting, for example the preparation of monthly or annual reports	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. Training or certification of <i>supervision officers</i>	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Pre-sentencing investigations to inform case processing decisions (associated with but not limited to sentencing decisions); activities include collecting and reporting information related to adults' criminal history, housing, employment, and family circumstances	1 <input type="checkbox"/>	2 <input type="checkbox"/>
e. Provision of programs and services, either directly by your agency or through a third party (e.g., community-based service provider, private contractor).....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
f. Other.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
f1. Please describe the other functions performed by your agency. _____		

9. What is the geographic jurisdiction served by NAME?

- 1 District/Circuit
 - 2 Multiple counties
 - 3 Entire single county
 - 4 Other local entity (e.g., city or town)
 - 5 Statewide
 - 6 Other (Please describe) _____
- _____

10. Which branch of government is NAME located in?

► **INSTRUCTION:**

- If NAME is a private entity, check "Private."

- 1 Federal judicial branch
 - 2 State executive branch
 - 3 State judicial branch
 - 4 County executive branch
 - 5 County judicial branch
 - 6 Other local executive branch
 - 7 Other local judicial branch
 - 8 Private → **SKIP TO PRIVATE EXIT.**
 - 9 Other (Please describe) _____
- _____

PRIVATE EXIT:

Based on the information you have provided, it appears that *your agency* or company should complete a different survey designed especially for private entities. A member of the CAPSA Agency Support Team will contact you in the next few days. In the meantime, if you have questions about the CAPSA, you can contact the team at bjscapsa@westat.com or call 1-888-329-8124.

Thank you for providing this information and for your support of the 2014 Census Adult Probation Supervising Agencies.

IF 8a-f ALL = NO, SKIP TO SECTION G.

SECTION C. Authority and Operational Responsibility

The next questions ask you to identify who has *authority* and *operational responsibility* for various aspects of adult probation.

▶ *DEFINITION: Authority* refers to the ability to make decisions regarding policies and procedures governing adult probation. For the purpose of this census, statutes are not considered to be policies or procedures.

▶ *DEFINITION: Operational responsibility* refers to the responsibility for implementing decisions related to the established policies and defined procedures of adult probation.

PRESENT TAILORED AGENCY DEFINITION INSTRUCTION

11. Who has *authority* to set the budget for NAME? Please mark "Yes" or "No" for each item a-d below.

▶ *INSTRUCTION:*

- Providing recommendations about the amount of *your agency's* budget is not considered setting *your agency's* budget.

	<u>Yes</u>	<u>No</u>
a. Legislative entity such as a state legislature, county board, or city council.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Higher level entity other than <i>your agency</i> or a legislative entity.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. <i>Your agency</i> , the entity for which you are reporting.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Other.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d1. Please name/describe _____		

12. Once *your agency's* budget has been set, who has *responsibility* for operations spending for NAME? Please mark "Yes" or "No" for each item a-e below.

	<u>Yes</u>	<u>No</u>
a. Legislative entity such as a state legislature, county board, or city council.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Higher level entity other than <i>your agency</i> or a legislative entity.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. <i>Your agency</i> , the entity for which you are reporting.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Lower level entity than <i>your agency</i> , that is not part of <i>your agency</i>	1 <input type="checkbox"/>	2 <input type="checkbox"/>
e. Other.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
e1. Please name/describe _____		

13. Who has *authority* to set the number of full-time equivalent (FTE) or part-time equivalent (PTE) positions for NAME? Please mark "Yes" or "No" for each item a-d below.

► **INSTRUCTION:**

- Providing recommendations about the number of FTE or PTE positions for *your agency* is not considered setting the number of positions.

	<u>Yes</u>	<u>No</u>
a. Legislative entity such as a state legislature, county board, or city council.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Higher level entity other than <i>your agency</i> or a legislative entity.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. <i>Your agency</i> , the entity for which you are reporting.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Other.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d1. Please name/describe _____		

14. Once the numbers of FTE and PTE positions are set, who has *responsibility* for staffing at NAME? Please mark "Yes" or "No" for each item a-e below.

► **DEFINITION:** *Staffing* is defined as at least one of the following: hiring, terminating, re-assigning, or promoting of staff.

	<u>Yes</u>	<u>No</u>
a. Legislative entity such as a state legislature, county board, or city council.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Higher level entity other than <i>your agency</i> or a legislative entity.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. <i>Your agency</i> , the entity for which you are reporting.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Lower level entity than <i>your agency</i> , that is not part of <i>your agency</i>	1 <input type="checkbox"/>	2 <input type="checkbox"/>
e. Other.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
e1. Please name/describe _____		

The next questions ask about establishing policies, defining procedures, and implementing procedures for adult probation. These may address issues such as levels of supervision, use of risk assessments, or the type and frequency of contact. Sometimes policies and procedures are set to meet adult probation standards which may be established by *your agency* or a higher level agency or court system.

► **INSTRUCTION:**

- In some states an entity, such as an administrative office of the courts, might establish adult probation standards but not actually establish policies or define procedures. For the purpose of this census, issuing such standards is not considered establishing policies or defining procedures.

PRESENT TAILORED AGENCY DEFINITION INSTRUCTION

15. Who has the authority to establish policies for the supervision of adult probationers in NAME? Please mark "Yes" or "No" for each item a-d below.

	<u>Yes</u>	<u>No</u>
a. Legislative entity such as a state legislature, county board, or city council.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Higher level entity other than <i>your agency</i> or a legislative entity.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. <i>Your agency</i> , the entity for which you are reporting.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Other.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d1. Please name/describe _____		

16. Once policies are established, who has *responsibility* for defining procedures for the supervision of adult probationers at NAME? Please mark "Yes" or "No" for each item a-e below.

	<u>Yes</u>	<u>No</u>
a. Legislative entity such as a state legislature, county board, or city council.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Higher level entity other than <i>your agency</i> or a legislative entity.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. <i>Your agency</i> , the entity for which you are reporting.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Lower level entity than <i>your agency</i> , that is not part of <i>your agency</i>	1 <input type="checkbox"/>	2 <input type="checkbox"/>
e. Other.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
e1. Please name/describe _____		

17. Once procedures are defined for NAME, who has *responsibility* for implementing procedures for the supervision of adult probationers? Please mark "Yes" or "No" for each item a-e below.

	<u>Yes</u>	<u>No</u>
a. Legislative entity such as a state legislature, county board, or city council.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Higher level entity other than <i>your agency</i> or a legislative entity.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. <i>Your agency</i> , the entity for which you are reporting.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Lower level entity than <i>your agency</i> , that is not part of <i>your agency</i>	1 <input type="checkbox"/>	2 <input type="checkbox"/>
e. Other.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
e1. Please name/describe _____		

The next question ask about funding sources for adult probation.

18. From July 1, 2013 to June 30, 2014, did *your agency* use funding from any of the following sources for adult probation? Please mark "Yes" or "No" for each item a-j below.

	<u>Yes</u>	<u>No</u>
a. Federal grant.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Federal sources other than federal grants.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. State grant.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. State sources other than state grants (include any regular allocation).....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
e. County sources (include any regular allocation).....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
f. City or municipal sources (include any regular allocation).....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
g. Court costs paid by adult probationers.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
h. Fines paid by adult probationers.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
i. Fees paid by adult probationers.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
j. Any other sources.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
j1. Please identify the other sources: _____		

IF 6 = NO, SKIP TO QUESTION 38.

19. Does *your agency* collect fines from any adult probationers either directly or through a third party?
- ▶ **DEFINITION:** *Fines* are monetary penalties paid by probationers. Fines include, but are not limited to, day fines, violation fines, and restitution.
- ¹ No fines are collected
² Collected directly by agency
³ Collected through a third party
⁴ Collected both directly and through a third party
20. Does *your agency* collect fees from any adult probationers either directly or through a third party?
- ▶ **DEFINITION:** *Fees* are paid by probationers to cover the cost of operations and include, but are not limited to, supervision fees, program fees, drug testing fees, pre-sentence investigation (PSI) report fees, and risk or needs assessment fees.
- ¹ No fees are collected
² Collected directly by agency
³ Collected through a third party
⁴ Collected both directly and through a third party

SECTION D. Functions of Supervision

The next questions ask about supervision activities that may be conducted directly by *your agency* or through a third party such as a private company, non-profit organization, or different government agency. When answering, please think about who performs the activity, regardless of who owns any equipment that might be used to perform the activity.

PRESENT TAILORED AGENCY DEFINITION INSTRUCTION

Also, please consider only *adult probation*, unless instructed otherwise in specific questions, even if *your agency* supervises other correctional populations.

21. Does *your agency* use the following methods of reporting to conduct supervision of any adult probationers, either directly or through a third party? Please mark "Yes" or "No" for each item a-d below.

	<u>Yes</u>	<u>No</u>
a. Mail.....	¹ <input type="checkbox"/>	² <input type="checkbox"/>
b. Telephone.....	¹ <input type="checkbox"/>	² <input type="checkbox"/>
c. Text.....	¹ <input type="checkbox"/>	² <input type="checkbox"/>
d. Email.....	¹ <input type="checkbox"/>	² <input type="checkbox"/>

22. At entry to probation, does *your agency* conduct an initial *face-to-face* visit with all (or nearly all) adult probationers, either directly or through a third party?
- ▶ *DEFINITION: Face-to-face supervision* is conducted through in-person visits such as office or field visits.
- ¹ No face-to-face visit is done at entry
 - ² Done directly by agency
 - ³ Done through a third party
 - ⁴ Done both directly and through a third party
23. Excluding an initial visit at entry to probation, does *your agency* conduct *face-to-face supervision* with any adult probationers, either directly or through a third party?
- ▶ *DEFINITION: Face-to-face supervision* is conducted through in-person visits such as office or field visits.
- ¹ No face-to-face supervision is done
 - ² Done directly by agency
 - ³ Done through a third party
 - ⁴ Done both directly and through a third party
24. Does *your agency* conduct *intensive supervision (ISP)* of any adult probationers, either directly or through a third party?
- ▶ *DEFINITION: ISP* is a more rigorous form of supervision than standard probation. It often emphasizes extensive contact, stringent conditions (e.g., drug testing, curfews, employment, or program engagement), and close monitoring or surveillance.
- ¹ No ISP is done
 - ² Done directly by agency
 - ³ Done through a third party
 - ⁴ Done both directly and through a third party
25. Does *your agency* use *electronic monitoring* for the supervision of any adult probationers, either directly or through a third party?
- ▶ *DEFINITION: Electronic monitoring* uses electronic devices or systems to monitor or track probationers' locations, activities, or behaviors. Examples can include, but are not limited to, radio frequency monitoring, Global Position System (GPS) monitoring, and alcohol monitoring.
- ¹ No electronic monitoring is done
 - ² Done directly by agency
 - ³ Done through a third party
 - ⁴ Done both directly and through a third party

26. Does *your agency* use *electronic supervision* for routine reporting of any adult probationers, either directly or through a third party?

► *DEFINITION: Electronic supervision* uses automated or electronic means, such as interactive voice recognition (IVR), or kiosks for routine reporting. It does not include electronic monitoring, email, or text reporting.

- ¹ No electronic supervision is done
- ² Done directly by agency
- ³ Done through a third party
- ⁴ Done both directly and through a third party

27. Which of the following assessment tools are used by *your agency* to determine level, type, or conditions of supervision for any adult probationers? Please mark "Yes" or "No" for each item a-i below.

	<u>Yes</u>	<u>No</u>
a. Static Risk and Offender Needs Guide (STRONG)	¹ <input type="checkbox"/>	² <input type="checkbox"/>
b. Ohio Risk Assessment (ORAS).....	¹ <input type="checkbox"/>	² <input type="checkbox"/>
c. Wisconsin Risk Assessment	¹ <input type="checkbox"/>	² <input type="checkbox"/>
d. Level of Service/Case Management Inventory (LS/CMI)	¹ <input type="checkbox"/>	² <input type="checkbox"/>
e. Level of Service Inventory-Revised (LSI-R).....	¹ <input type="checkbox"/>	² <input type="checkbox"/>
f. Correctional Offender Management Profiling for Alternative Sanctions (COMPAS)	¹ <input type="checkbox"/>	² <input type="checkbox"/>
g. Global Appraisal of Individual Needs (GAIN).....	¹ <input type="checkbox"/>	² <input type="checkbox"/>
h. Correctional Assessment and Intervention System (CAIS).....	¹ <input type="checkbox"/>	² <input type="checkbox"/>
i. An assessment tool developed by <i>your agency</i>	¹ <input type="checkbox"/>	² <input type="checkbox"/>

28. Does *your agency* rely on staff (e.g., officer, agent, or caseworker) judgment of risks and needs to determine level, type, or conditions of supervision for any adult probationers?

- ¹ Yes
- ² No

29. Does *your agency* rely on any other tools to determine level, type, or conditions of supervision for any adult probationers?

- ¹ Yes, please describe: _____
- ² No

The next questions ask about specialized caseloads and specialized services or programs. Note that specialized services and programs may be offered to any probationer, regardless of whether the person has been assigned to a specialized caseload.

30. Does *your agency* supervise specialized caseloads of sex offenders on adult probation or adult probationers with mental health problems, either directly or through a third party? Please mark "Yes" or "No" for each item a-b below.

	<u>Yes</u>	<u>No</u>
a. Specialized caseloads of sex offenders	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Specialized caseloads of adult probationers with mental health problems	1 <input type="checkbox"/>	2 <input type="checkbox"/>

31. Does *your agency* provide any specialized services or programs to address the unique risks or needs of sex offenders on adult probation?

- 1 No electronic monitoring is done
- 2 Done directly by agency
- 3 Done through a third party
- 4 Done both directly and through a third party

32. Does *your agency* provide any specialized services or programs to address the unique risks or needs of adult probationers with mental health problems?

- 1 No electronic monitoring is done
- 2 Done directly by agency
- 3 Done through a third party
- 4 Done both directly and through a third party

The next questions ask about *your agency's* role in setting terms and conditions of supervision.

PRESENT TAILORED AGENCY DEFINITION INSTRUCTION

Also, please consider only *adult probation*, unless instructed otherwise in specific questions, even if *your agency* supervises other correctional populations.

33. Can *your agency* impose standard or special conditions of probation for any type of adult probationers? Imposing conditions includes amending or removing conditions as well as adding new conditions. Please mark "Yes" or "No" for each item a-d below.

	<u>Yes</u>	<u>No</u>
a. Remove existing standard conditions.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Impose new or amend existing standard conditions.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. Remove existing special conditions.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Impose new or amend existing special conditions.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>

34. Can *your agency* grant an early positive discharge to any type of adult probationer prior to the scheduled expiration of their sentence without prior approval by a judge or court? This type of discharge may be granted in response to the satisfaction of conditions, earned time credits, or in accordance with agency policy.
- ¹ Yes
² No
35. Can *your agency* extend any type of adult probationer's period of supervision beyond the court imposed sentence without prior approval by a judge or court?
- ¹ Yes
² No → **SKIP TO QUESTION 36.**
- 35a. Can *your agency* only extend an adult probationer's period of supervision if the probationer has not yet satisfied the terms of their court imposed sentence (e.g., a sentence of one year on probation and completion of drug treatment, but drug treatment has not yet been completed) without prior approval by a judge or court?
- ¹ Yes
² No
36. Can *your agency* impose a period of incarceration for any type of adult probationer without prior approval by a judge or court? Incarceration may be imposed in response to a violation of conditions or a revocation and may vary in duration.
- ¹ Yes
² No
37. The next questions ask about *your agency's* use of *correctional residential facilities*.
- **DEFINITION:** *Correctional residential facilities* are community-based facilities operated exclusively for correctional populations. Residents may be provided programs and services, and may be allowed extensive contact with the community, such as for employment, work, or attending school, but all residents are obligated to occupy the premises at night. Examples include, but are not limited to, halfway houses, restitution centers, detention centers, and prerelease or work release centers.
- Does *your agency* use *correctional residential facilities* to hold any adult probationers?
- ¹ Yes
² No

38. (Excluding any correctional residential facilities that *your agency* uses), are you aware of any *correctional residential facilities* used to hold adult probationers in your state?

¹ Yes

² No

ROUTING #1.

**IF 37 = NO AND 38 = NO, SKIP TO ROUTING #3.
IF 37 = BLANK AND 38 = NO, SKIP TO ROUTING #3.
ELSE, CONTINUE WITH QUESTION 39.**

39. Who operates *correctional residential facilities* in your state? Please mark "Yes" or "No" for each item a-e below.

	<u>Yes</u>	<u>No</u>
a. Federal entity	¹ <input type="checkbox"/>	² <input type="checkbox"/>
b. State entity	¹ <input type="checkbox"/>	² <input type="checkbox"/>
c. Local entity	¹ <input type="checkbox"/>	² <input type="checkbox"/>
d. Joint state and local entities	¹ <input type="checkbox"/>	² <input type="checkbox"/>
e. Private entity	¹ <input type="checkbox"/>	² <input type="checkbox"/>

40. We would like to know the name of each correctional residential facility and, if possible, the county in which each is located in your state. Please indicate if you would prefer to provide this information by email, fax, or if you would like to enter the information at this time. If sending information by email or fax, please be sure to include your login PIN.

¹ Email → **SEND THE INFORMATION TO bjscapsa@westat.com**

² Fax → **FAX THE INFORMATION TO THE CAPSA AGENCY SUPPORT TEAM AT XXX-XXX-XXXX**

³ Enter information now

⁴ I cannot provide this information

ROUTING #2.

**IF 40 = ENTER INFORMATION NOW, CONTINUE WITH QUESTION 41.
ELSE, SKIP TO ROUTING #3.**

41. Please provide the name and county in which each correctional residential facility is located.

Name of correctional residential facility

County/Counties

Name of correctional residential facility

County/Counties

ROUTING #3.

IF 6 = NO AND ANY 8a-f = YES, GO TO QUESTION 57.
ELSE, CONTINUE.

SECTION E. Supervision Officers

The next questions ask about supervision officers in *your agency*.

► *DEFINITION: Supervision officers are full- and part-time staff who spend any amount of time supervising adult probationers, regardless of their position or the amount of time they spend conducting activities in addition to adult probation supervision. Some agencies may refer to these staff as officers, agents, or caseworkers.*

PRESENT TAILORED AGENCY DEFINITION INSTRUCTION

42. Are none, some or all of the *supervision officers* in *your agency* authorized to carry firearms?

- ¹ None → **SKIP TO QUESTION 43.**
² Some
³ All

42a. How many of the *supervision officers* who carry firearms are required to do so?

- ¹ None
² Some
³ All

43. Do none, some or all of *your supervision officers* have the authority to arrest adult probationers supervised by *your agency*?

- ¹ None
² Some
³ All

-
44. On June 30, 2014, how many full- and part-time *supervision officers* worked in your agency? Please remember to include all full- and part-time staff who spend any amount of time supervising adult probationers, regardless of their position, or the amount of time they spend conducting activities in addition to adult probation supervision. If your agency did not have any *supervision officers* on June 30, 2014, mark (X) "None."

_____ *Supervision officers*
 None

**IF 44 > 0, CONTINUE.
ELSE, SKIP TO QUESTION 45.**

- 44a. Is this an exact count or an estimate?
- ¹ Exact count
 - ² Estimate

45. Did none, some or all of the *supervision officers* in your agency supervise populations other than adult probationers?
- ¹ None
 - ² Some
 - ³ All

SECTION F. Populations Supervised

The next questions ask about populations that may be supervised by *your agency*.

PRESENT TAILORED AGENCY DEFINITION INSTRUCTION

46. From July 1, 2013 and June 30, 2014, what type(s) of populations was *your agency* responsible for supervising? Please mark "Yes" or "No" for each item a-g below.

► **INSTRUCTION:**

- Some persons under *your agency's* supervision may have multiple sentences or correctional statuses, and may be supervised by *your agency* and another correctional agency. When answering this question, only report the types of populations that *your agency* was responsible for supervising.

	<u>Yes</u>	<u>No</u>
a. Adults awaiting trial	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Adults whose criminal proceedings have been suspended pending a period of supervision in the community <u>and</u> prior to adjudication, conviction, or sentencing.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
IF 46b=YES: Did this include adults whose criminal proceedings were suspended prior to:		
b1. Adjudication.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b2. Conviction.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b3. Sentencing.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. Adults on probation for a misdemeanor (or gross misdemeanor).....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Adults on probation for a felony.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
e. Adults on parole or other type of post-custody conditional release.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
f. Juveniles.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
g. Other populations.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>
g1. Please describe the other populations: _____		

ROUTING #4.

**IF (46a-b AND 46e-g) = SKIP TO ROUTING #5.
ELSE, CONTINUE.**

The next questions ask for aggregate counts of populations supervised by *your agency*.

47. On June 30, 2014, what was the total number of individuals supervised by *your agency*?

► **INSTRUCTIONS:**

- Include persons supervised by your agency regardless of their supervision or reporting status.
- Include persons supervised by your agency for which legal responsibility was retained by another jurisdiction or agency, such as through an interstate compact agreement
- Exclude persons for which your agency was legally responsible but were supervised outside of your jurisdiction or by another agency, such as through an interstate compact agreement.
- Exclude persons for which your agency was legally responsible but were supervised by a private company or other correctional entity, such as a prison, jail, or correctional residential facility.
- Your answer to this question should reflect the total of all population types represented in your answer to the previous question, if they were supervised on June 30, 2014. To review the previous question, press the **BACK** button.
- If your agency did not supervise any individuals on June 30, 2014, mark (X) "None."

_____ Total population

None

**IF 47 > 0, CONTINUE.
ELSE, SKIP TO ROUTING #5.**

47a. Is this an exact count or an estimate?

¹ Exact count

² Estimate

ROUTING #5.

IF 47 = BLANK, SKIP TO PRESENTATION OF TAILORED AGENCY DEFINITION INSTRUCTION.

IF 47 = 0, SKIP TO QUESTION 57.

ELSE, CONTINUE.

PRESENT TAILORED AGENCY DEFINITION INSTRUCTION

Also, focus only on *adult probation* supervision, even if *your agency* supervises other populations.

The next questions ask for the number of adult probationers supervised by *your agency*.

► **INSTRUCTIONS:**

- Provide counts of individual probationers, not counts of cases.
- Include only adult probationers regardless of whether your agency supervised other populations.
- Include all adult probationers regardless of their supervision or reporting status.
- Include all adult probationers supervised by your agency for which legal responsibility was retained by another jurisdiction or agency, such as through an interstate compact agreement.
- Exclude adult probationers for which your agency was legally responsible but were supervised outside of your jurisdiction or by another agency, such as through an interstate compact agreement.
- Exclude adult probationers for which your agency was legally responsible but were supervised by a private company or other correctional entity, such as a prison, jail or correctional residential facility.

48. On June 30, 2014, what was the total number of adult probationers supervised by *your agency*? Include all adults on probation for a felony, misdemeanor (or gross misdemeanor), and any other offense. If *your agency* did not supervise any adult probationers on June 30, 2014, mark (X) "None."

_____ Adult probationers

None

**IF 48 > 0, CONTINUE.
ELSE, SKIP TO ROUTING #6.**

- 48a. Is this an exact count or an estimate?
- ¹ Exact count
 - ² Estimate

**ROUTING #6.
IF 46c = NO AND 46d = NO, SKIP TO QUESTION 52.
IF 46c = NO, SKIP TO QUESTION 50.
IF 46d = NO, SKIP TO QUESTION 51.
ELSE, CONTINUE.**

The next questions ask for the number of adult probationers supervised by *your agency*, by most serious offense—specifically, felony, misdemeanor, and other. Some persons under *your agency's* supervision may have multiple sentences or correctional statuses, and may be supervised by *your agency* and another correctional agency. When answering these questions, classify probationers based on the most serious offense for which they are being supervised by *your agency*.

49. Are you able to provide the number (or estimate) of adult probationers supervised for a felony separately from the number supervised for a misdemeanor?

¹ Yes
² No → **SKIP TO QUESTION 52.**

50. On June 30, 2014, how many adult probationers supervised by *your agency* had a felony as their most serious offense? If *your agency* did not supervise any adult felony probationers on June 30, 2014, mark (X) "None."

_____ Adult felony probationers
 None

IF 50 > 0, CONTINUE.

ELSE,

IF 46c = NO, **SKIP TO QUESTION 52.**
ELSE, **SKIP TO QUESTION 51.**

- 50a. Is this an exact count or an estimate?

¹ Exact count
² Estimate

IF 46c = NO, **SKIP TO QUESTION 52.**

51. On June 30, 2014, how many adult probationers supervised by *your agency* had a misdemeanor (or gross misdemeanor) as their most serious offense? If *your agency* did not supervise any adult misdemeanant probationers on June 30, 2014, mark (X) "None."

_____ Adult misdemeanant probationers
 None

IF 51 > 0, CONTINUE.

ELSE, **SKIP TO QUESTION 52.**

- 51a. Is this an exact count or an estimate?

¹ Exact count
² Estimate

52. On June 30, 2014, did the adult probation population supervised by *your agency* include probationers who had as their most serious offense something other than a felony or misdemeanor?

¹ Yes

² No

ROUTING #7.

IF 7 = YES, ASK QUESTION 53.

ELSE, SKIP TO ROUTING #8.

53. On June 30, 2014, what was the total number of adults on *non-reporting probation* that were supervised by *your agency*? If *your agency* did not supervise any adults on *non-reporting probation* on June 30, 2014, mark (X) "None."

► **DEFINITION:** *Non-reporting probation* is where the adult probationer is never required, during any period of the probation term, to report to a court or correctional authority on a regular basis either in person, by telephone or mail, or through electronic supervision.

_____ Adults on non-reporting probation

None

IF 53 > 0, CONTINUE.

ELSE, SKIP TO ROUTING #8.

53a. Is this an exact count or an estimate?

¹ Exact count

² Estimate

ROUTING #8.

IF 37 = YES (USED CRF), ASK QUESTION 54.

OTHERWISE, SKIP TO QUESTION 55.

54. On June 30, 2014, how many adult probationers for which *your agency* was legally responsible were held in a *correctional residential facility*? (Note: This type of probationer should have been excluded from any counts that you provided elsewhere in this questionnaire.) If *your agency* did not have any adult probationers held in a correctional residential facility on June 30, 2014, mark (X) "None."

_____ Probationers held in a correctional residential facility

None

IF 54 > 0, CONTINUE.

ELSE, SKIP TO QUESTION 55.

54a. Is this an exact count or an estimate?

¹ Exact count

² Estimate

55. From July 1, 2013 to June 30, 2014, did *your agency* ever use private companies to supervise any adult probationers?

¹ Yes

² No → **SKIP TO QUESTION 57.**

56. On June 30, 2014, how many adult probationers for which *your agency* was legally responsible were supervised by a private company? (Note: This type of probationer should have been excluded from any counts that you provided elsewhere in this questionnaire.) If *your agency* did not have any adult probationers assigned to supervision by a private company on June 30, 2014, mark (X) "None."

_____ Probationers supervised by a private company

None

**IF 56 > 0, CONTINUE.
ELSE, SKIP TO QUESTION 57.**

56a. Is this an exact count or an estimate?

¹ Exact count

² Estimate

57. (Excluding any private company that *your agency* has used), are you aware of any (other) private companies that are responsible for any function of adult felony or misdemeanor probation in your state?

¹ Yes

² No

**ROUTING #9.
IF 55 = NO AND 57 = NO, SKIP TO SECTION G.
IF 55 = BLANK AND 57 = NO, SKIP TO SECTION G.
ELSE, CONTINUE WITH QUESTION 58.**

58. We would like to know the name of any private companies and, if possible, the county in which each is responsible for any function of adult felony or misdemeanor probation in your state. Please indicate if you would prefer to provide this information by email, fax, or if you would like to enter the information at this time. If sending information by email or fax, please be sure to include your login PIN.
- ¹ Email → SEND THE INFORMATION TO bjscapsa@westat.com
 - ² Fax → FAX THE INFORMATION TO THE CAPSA AGENCY SUPPORT TEAM AT XXX-XXX-XXXX
 - ³ Enter information now
 - ⁴ I cannot provide this information

ROUTING #10.

IF 58 = ENTER INFORMATION NOW, CONTINUE WITH QUESTION 59.
ELSE, SKIP TO SECTION G.

59. Please provide the name of each private company that operates in your state, and county (or counties) in which each is located.

Name of private company

County/Counties

Name of private company

County/Counties

SECTION G. Other Probation Agencies

60. CAPSA is designed to identify and enumerate adult probation supervising agencies in the United States. Please review the list of agencies responsible for adult probation supervision throughout your state that was sent with the PIN you used to access this survey. If you need a copy of the list, you can contact the CAPSA Agency Support Team at bjscapsa@westat.com or call 1-888-329-8124.

Not counting any agency that you might have already reported on this survey, are you aware of any other agencies responsible for any *administrative, reporting, or supervisory functions* of adult probation in your state that are missing from the list?

¹ Yes

² No

ROUTING #10.

IF 60 = NO, SKIP TO SECTION H.
ELSE, CONTINUE WITH QUESTION 61.

61. We would like to know the name of any missing agency and, if possible, county in which it is located. Please indicate if you would prefer to provide this information by email, fax, or if you would like to enter the information at this time. If sending information by email or fax, please be sure to include your login PIN.

- ¹ Email → SEND THE INFORMATION TO bjscapsa@westat.com
- ² Fax → FAX THE INFORMATION TO THE CAPSA AGENCY SUPPORT TEAM AT XXX-XXX-XXXX
- ³ Enter information now
- ⁴ I cannot provide this information

ROUTING #11

**IF 61 = ENTER INFORMATION NOW, CONTINUE WITH QUESTION 62.
ELSE, SKIP TO SECTION H.**

62. Please provide the name and county in which each agency is located.

Name of agency

County/Counties

Name of agency

County/Counties

SECTION H. Planned Population Changes

PRESENT TAILORED AGENCY DEFINITION INSTRUCTION

63. In the next 12 months, are any changes expected to take place affecting the types of adult probationers supervised by *your agency*?

Yes No

IF 46d=YES, SKIP TO QUESTION 66b ROUTING.

a. Agency will begin to supervise adults on probation for a felony....¹ ²

IF 46d=NO, SKIP TO QUESTION 63c ROUTING.

b. Agency will stop supervising adults on probation for a felony.....¹ ²

IF 46c=YES, SKIP TO QUESTION 63d ROUTING.

c. Agency will begin to supervise adults on probation for a misdemeanor (or gross misdemeanor)¹ ²

IF 46c=NO, SKIP TO QUESTION 63e.

d. Agency will stop supervising adults on probation for a misdemeanor (or gross misdemeanor)¹ ²

e. Other change is planned.....¹ ²

e1. Please describe the other change: _____

SECTION I. Comments

64. Definitions and questions are standardized for this national census and may not match *your agency's* definitions and practices. Please describe any instances where you were unable to apply the census definition when answering a question.

65. Please provide any general comments about the census or other comments that would be important to interpreting your responses.

Attachment 4 – Private Company Questionnaire

2014 Census of Adult Probation Supervising Agencies

Data collection agents: Westat and the American Probation and Parole Association

FORM: CAPSA-1B

INSTRUCTIONS

The 2014 Census of Adult Probation Supervising Agencies (CAPSA) is designed to identify and enumerate both public agencies and private companies that conduct adult probation supervision in the United States and to obtain information about their organizational structures, functions, and populations supervised. Please read all definitions and questions carefully. These definitions were developed for the purpose of this census; as such, definitions and question wording are standardized for this national census and may not match your company's definitions and practices. Because CAPSA is a national data collection, we ask all study participants to use these standardized definitions.

Only four questions ask for numerical information: the counts of adults on probation for felonies, adults on probation for misdemeanors, adults on non-reporting probation, and total number of adults on probation supervised by your company. All other questions focus on your company's practices.

Please provide a response to each item. Blank items will be interpreted as "unknown." If you select "Other" as the answer to a question, please be sure you name or describe your answer in the corresponding open text box.

Mark to indicate your answer. If you want to change your answer, darken the box and mark the correct answer.

You can provide comments at the end of the questionnaire; please describe any instances where you were unable to apply the census definition when answering a question. The comment field can also be used to provide any other general or specific comments about this questionnaire.

Thank you.

CONTACT INFORMATION:

Please complete this questionnaire by **August 31, 2014**. If you have questions, please contact the CAPSA Agency Support Team at 1-888-329-8124 or by email at bjscapsa@westat.com.

Please provide the contact information for the person completing this questionnaire.

Contact Name:

Title:

Company Name:

Address:

City: State: Zip:

Telephone number: - - Extension:

E-mail:

Burden Statement: Under the Paperwork Reduction Act, we cannot ask you to respond to a collection of information unless it displays a currently valid OMB control number. Public reporting burden for this collection is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any aspect of this collection of information, including suggestions for reducing this burden, to the Director, Bureau of Justice Statistics, 810 Seventh Street, NW, Washington, DC 20531; and to the Office of Management and Budget, OMB No. 1121-XXXX, Washington, DC 20503.



KEY DEFINITIONS:

The census focuses on adult probation. However, there are some questions that reference other populations your company may supervise. As you answer each question, please consider only adult probation, unless instructed otherwise.

- ▶ *Probation* is defined as a disposition or sentence for either a felony or misdemeanor that (1) is imposed by a criminal court and (2) places the adjudicated person under the control, supervision and care of a public or private correctional agency. The probation conditions form a contract with the court by which the person must abide in order to remain in the community, generally in lieu of incarceration. Often, probation entails monitoring or surveillance by a correctional agency, but in some instances, probation may not involve any reporting requirements.
- ▶ *Adult probationers* are defined as persons who are subject to the authority of an adult criminal court or a public or private correctional agency. Persons under the age of 18 who were prosecuted as adults in a criminal court are considered adults for the purpose of this census.

SECTION A. Probation Supervision Responsibilities

1. Does your company conduct supervisory functions of adult probation?

- ▶ *Supervisory functions* are where staff (e.g., officers, agents, or caseworkers) supervise adult probationers either through face-to-face visits, mail, telephone, interactive voice recognition (IVR), or kiosks for routine reporting.

- Yes
 No

2. Does your company conduct non-reporting probation for adult supervision?

- ▶ *Non-reporting probation* is where the adult probationer is never required, during any period of the probation term, to report to a court, correctional authority, or your company on a regular basis either through face-to-face visits, mail, telephone, interactive voice recognition (IVR), or kiosks.

- Yes
 No → GO TO question 3 on the next page.

2a. On June 30, 2014, did your company's total adult probation population consist only of adult probationers on non-reporting probation?

- Yes, STOP HERE → GO TO page 8 for instructions for returning your questionnaire.
 No

2b. On June 30, 2014, how many adult probationers were on non-reporting probation supervision? If your company did not conduct non-reporting probation supervision on June 30, 2014, mark (X) "None." When an exact number is not available, please provide an estimate and mark (X) in the box to the right of the figure.

- Adults on non-reporting probation supervision This is an estimate
 None



3. Does your company perform any of the following other functions of adult probation? Please mark "Yes" or "No" for each item a-f below.

	Yes	No
a. Administrative functions, such as, personnel management, or similar clerical or management activities, record storage and maintenance, or budget preparation	<input type="checkbox"/>	<input type="checkbox"/>
b. Reporting activities, such as data collection and reporting, for example the preparation of monthly or annual reports	<input type="checkbox"/>	<input type="checkbox"/>
c. Training or certification of supervision officers	<input type="checkbox"/>	<input type="checkbox"/>
d. Pre-sentencing investigations to inform case processing decisions (associated with but not limited to sentencing decisions); activities include collecting and reporting information related to adults' criminal history, housing, employment, and family circumstances	<input type="checkbox"/>	<input type="checkbox"/>
e. Provision of programs and services	<input type="checkbox"/>	<input type="checkbox"/>
f. Other functions	<input type="checkbox"/>	<input type="checkbox"/>

f1. Please describe the other adult probation functions performed by your company.

4. On June 30, 2014, in how many states did your company supervise adult probationers?

 States

5. From July 1, 2013 to June 30, 2014, from which type(s) of government agency/court did your company receive adult probationers to supervise?

For each type below, please indicate if your company did not receive any probationers, received from a single agency/court, or received from more than one agency/court.

Type of Agency/Court	Did not receive from any agency/court	Single agency/court	More than one agency/court
Federal agency/court			
a. Executive branch	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Judicial branch	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State agency/court			
a. Executive branch	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Judicial branch	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Local agency/court			
a. Executive branch	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Judicial branch	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



6. From July 1, 2013 to June 30, 2014, did any government agency/court from which your company received adults for probation supervision conduct any of the following types of oversight of your adult probation supervision activities? Please mark "Yes" or "No" for each item a-d below.

	Yes	No
a. Require your company to include a description of its policies and procedures for supervising adult probationers in a contract or memorandum of understanding?	<input type="checkbox"/>	<input type="checkbox"/>
b. Require your company to obtain approval for any modification of its policies and procedures for supervising adult probationers?	<input type="checkbox"/>	<input type="checkbox"/>
c. Require your company to submit periodic reports on its performance of adult supervision activities or the status of adult probationers?	<input type="checkbox"/>	<input type="checkbox"/>
d. Perform audits or inspections of your company's performance in supervising adult probationers?	<input type="checkbox"/>	<input type="checkbox"/>

SECTION B. Supervision Activities

The next questions ask about supervision activities that may be conducted directly by your company. When answering, please think about who performs the activity, regardless of who owns any equipment that might be used to perform the activity.

7. Does your company use the following methods of reporting to conduct supervision of any adult probationers? Please mark "Yes" or "No" for each item a-e below.

	Yes	No
a. Face-to-face (conducted through in-person visits such as office or field visits)	<input type="checkbox"/>	<input type="checkbox"/>
b. Mail	<input type="checkbox"/>	<input type="checkbox"/>
c. Telephone	<input type="checkbox"/>	<input type="checkbox"/>
d. Text	<input type="checkbox"/>	<input type="checkbox"/>
e. Email	<input type="checkbox"/>	<input type="checkbox"/>

8. Does your company collect fines from any adult probationers?

▶ *Fines* are monetary penalties paid by probationers. Fines include but are not limited to day fines, violation fines, and restitution.

- Yes
 No

9. Does your company collect fees from any adult probationers?

▶ *Fees* are paid by probationers to cover the cost of operations which include, but are not limited to, supervision fees, program fees, drug testing fees, pre-sentence investigation (PSI) report fees, and risk or needs assessment fees.

- Yes
 No



10. Does your company conduct intensive supervision (ISP) of any adult probationers?

▶ *ISP* is a more rigorous form of supervision than standard probation. It often emphasizes extensive contact, stringent conditions (e.g., drug testing, curfews, employment, or program engagement), and close monitoring or surveillance.

- Yes
- No

11. Does your company use *electronic monitoring* for the supervision of any adult probationers?

▶ *Electronic monitoring* uses electronic devices or systems to monitor or track probationers' locations, activities, or behaviors. Examples can include, but are not limited to radio frequency monitoring, Global Position System (GPS) monitoring, and alcohol monitoring.

- Yes
- No

12. Does your company use *electronic supervision* for routine reporting of any adult probationers?

▶ *Electronic supervision* uses automated or electronic means, such as interactive voice recognition (IVR) or kiosks for routine reporting. It does not include electronic monitoring, email, or text reporting.

- Yes
- No

13. Which of the following assessment tools are used by your company to determine level, type, or conditions of supervision for any adult probationers? Please mark "Yes" or "No" for each item a-i below.

	Yes	No
a. Static Risk and Offender Needs Guide (STRONG)	<input type="checkbox"/>	<input type="checkbox"/>
b. Ohio Risk Assessment (ORAS)	<input type="checkbox"/>	<input type="checkbox"/>
c. Wisconsin Risk Assessment	<input type="checkbox"/>	<input type="checkbox"/>
d. Level of Service/Case Management Inventory (LS/CMI)	<input type="checkbox"/>	<input type="checkbox"/>
e. Level of Service Inventory-Revised (LSI-R)	<input type="checkbox"/>	<input type="checkbox"/>
f. Correctional Offender Management Profiling for Alternative Sanctions (COMPAS)	<input type="checkbox"/>	<input type="checkbox"/>
g. Global Appraisal of Individual Needs (GAIN)	<input type="checkbox"/>	<input type="checkbox"/>
h. Correctional Assessment and Intervention System (CAIS)	<input type="checkbox"/>	<input type="checkbox"/>
i. An assessment tool developed by your company or client-agency	<input type="checkbox"/>	<input type="checkbox"/>



14. Does your company rely on staff (e.g., officer, agent, caseworker) judgment of risks and needs to determine level, type, or conditions of supervision for any adult probationers?

- Yes
- No

15. Does your company rely on any other tools to determine level, type, or conditions of supervision for any adult probationers?

- Yes, please describe.
- No

The next questions ask about specialized caseloads and specialized services or programs. Note that specialized services and programs may be offered to any probationer, regardless of whether the person is a member of a specialized caseload.

16. Does your company supervise specialized caseloads of sex offenders on adult probation or adult probationers with mental health problems? Please mark "Yes" or "No" for each item a-b below.

	Yes	No
a. Specialized caseloads of sex offenders on adult probation	<input type="checkbox"/>	<input type="checkbox"/>
b. Specialized caseloads of adult probationers with mental health problems	<input type="checkbox"/>	<input type="checkbox"/>

17. Does your company provide any specialized services or programs to address the unique risks or needs of sex offenders on adult probation?

- Yes
- No

18. Does your company provide any specialized services or programs to address the unique risks or needs of adult probationers with mental health problems?

- Yes
- No



SECTION C. Populations Under Supervision

The next questions ask about the types of populations that your company supervises. Some persons under your company's supervision may have multiple sentences or correctional statuses, and may be supervised by your company and another correctional agency. When answering these questions, only report the types of populations that your company has been responsible for supervising.

19. From July 1, 2013 to June 30, 2014, what type(s) of populations was your company responsible for supervising? Please mark "Yes" or "No" for each item a-g below.

	Yes	No
a. Adults awaiting trial	<input type="checkbox"/>	<input type="checkbox"/>
b. Adults whose criminal proceedings have been suspended pending a period of supervision in the community and prior to adjudication, conviction, or sentencing.	<input type="checkbox"/>	<input type="checkbox"/>
If yes, did this include adults whose criminal proceedings were suspended prior to:		
b1. Adjudication	<input type="checkbox"/>	<input type="checkbox"/>
b2. Conviction	<input type="checkbox"/>	<input type="checkbox"/>
b3. Sentencing	<input type="checkbox"/>	<input type="checkbox"/>
c. Adults on probation for a misdemeanor (or gross misdemeanor)	<input type="checkbox"/>	<input type="checkbox"/>
d. Adults on probation for a felony	<input type="checkbox"/>	<input type="checkbox"/>
e. Adults on parole or other type of post-custody conditional release	<input type="checkbox"/>	<input type="checkbox"/>
f. Juveniles	<input type="checkbox"/>	<input type="checkbox"/>
g. Other populations	<input type="checkbox"/>	<input type="checkbox"/>
g1. Please describe.	<input type="text"/>	

The next questions ask for the number of adult probationers supervised by your company. Please provide counts of individual probationers, not counts of cases. Include only adult probationers regardless of whether your company supervised other populations. Include all adult probationers regardless of their supervision or reporting status. If you cannot provide an exact count, please provide an estimate and mark (X) the box to the right of the figure.

20. On June 30, 2014, what was the total number of adult probationers supervised by your company? Include all adults on probation for a felony, misdemeanor (or gross misdemeanor), and all other offenses. If your company did not supervise adult probationers on June 30, 2014, mark (X) "None."

Adult Probationers
 This is an estimate

None



The next questions ask about the number of adult probationers supervised by your company, by most serious offense—specifically, felony, misdemeanor, and other. Some persons under your company’s supervision may have multiple sentences or correctional statuses, and may be supervised by your company and another correctional agency. When answering these questions, classify probationers based on the most serious offense for which they are being supervised by your company.

21. Are you able to provide the number (or estimate) of adult probationers supervised for a felony separately from the number supervised for a misdemeanor?

- Yes
 No → GO TO question 24 on this page.

22. On June 30, 2014, how many adult probationers supervised by your company had a felony as their most serious offense? If your company did not supervise adult felony probationers on June 30, 2014, mark (X) “None.”

Adult Felony Probationers This is an estimate
 None

23. On June 30, 2014, how many adult probationers supervised by your company had a misdemeanor (or gross misdemeanor) as their most serious offense? If your company did not supervise adult misdemeanor probationers on June 30, 2014, mark (X) “None.”

Adult Misdemeanant Probationers This is an estimate
 None

24. On June 30, 2014, did your company’s adult probation population include adult probationers who had as their most serious offense something other than a felony or misdemeanor?

- Yes
 No

25. In the box below, please describe any changes expected to take place affecting the types of adult probationers supervised by your company in the next 12 months. Examples might include starting or stopping supervision of particular population types (e.g., misdemeanants, felons) or similar kinds of changes.

Comments?

Thank you for participating in the 2014 Census of Adult Probation Supervising Agencies.
Please keep a copy of this survey for your records.

Please return completed form to:

Mail: CAPSA (8838)
Westat
1600 Research Boulevard
Rockville, Maryland 20850-3129
Fax: 301-279-4508

If you have any questions or comments, contact:

CAPSA AGENCY SUPPORT TEAM
1-888-329-8124
E-mail: bjscapsa@westat.com



Attachment 5 – Public Agency Web Screen Shots



OMB No. 1121-XXXX: Approval Expires XX/XX/XXXX

2014 Census of Adult Probation Supervising Agencies

FORM: CAPSA- 1A

Welcome to the 2014 Census of Adult Probation Supervising Agencies.

Access Survey Now

To access the survey, click on the Access Survey Now button.

If you have technical difficulties or prefer to provide the information by telephone, please contact the CAPSA Agency Support Team at 1-888-329-8124 or by email at bjscapsa@westat.com.

Burden Statement: Under the Paperwork Reduction Act, we cannot ask you to respond to a collection of information unless it displays a currently valid OMB control number. Public reporting burden for this collection is estimated to average 65 minutes per response, including the time for reviewing instructions, searching existing data sources, and gathering the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any aspect of this collection of information, including suggestions for reducing this burden, to the Director of Bureau of Justice Statistics, 810 Seventh Street, NW, Washington, DC 20531; and to the Office of Management and Budget, OMB No. 1121-0339, Washington, DC 20503.



This is the official website for the Bureau of Justice Statistics' (BJS) 2014 Census of Adult Probation Supervising Agencies. Westat and the American Probation and Parole Association are the data collection agents for this survey. This website is hosted by Westat.

You can find more information about the CAPSA on the BJS website at <http://www.bjs.gov/content/capsa.cfm>. You can access the BJS website by clicking on this link: <http://bjs.ojp.usdoj.gov>



OMB No. 1121-XXXX: Approval Expires XX/XXXXXX

2014 Census of Adult Probation Supervising Agencies

FORM: CAPSA- 1A

To begin the 2014 Census of Adult Probation Supervising Agencies Survey, please enter your PIN that you received in the mail.

If you need your PIN, have technical difficulties, or prefer to provide the information by telephone, please contact the CAPSA Agency Support Team at 1-888-329-8124 or by email at bjscapsa@westat.com.

PIN :

Login to Survey

Progress

The 2014 Census of Adult Probation Supervising Agencies (CAPSA) is designed to identify and enumerate adult probation supervising agencies in the United States and obtain information about their organizational structures, authority, functions, and populations supervised. Most questions asked in the census focus on the agency's practices; only a few questions ask for numerical information, specifically aggregate counts of probationers and supervision officers.

This census focuses on adult probation. However, there are some questions that reference other populations your agency may supervise. As you answer each question, please consider only adult probation, unless instructed otherwise.

Click on the "Next" button to view information on how to move through the survey and report your answers. Throughout the survey, you may click on the "Glossary" button to view definitions of terms used in this census. You may also click on the "Instructions" button to view instructions on how to complete the survey.

[Instructions](#) [Glossary](#)

[Back](#) [Save and Exit](#) [Next](#)

Progress

Key Definitions

As you answer each question, please consider only adult probation, unless instructed otherwise. A copy of these definitions was provided along with your login PIN.

Probation is defined as a disposition or sentence for either a felony or misdemeanor that (1) is imposed by a criminal court and (2) places the adjudicated person under the control, supervision and care of a correctional agency. The probation conditions form a contract with the court by which the person must abide in order to remain in the community, generally in lieu of incarceration. Often, probation entails monitoring or surveillance by a correctional agency, but in some instances, probation may not involve any reporting requirements.

Adult probationers are defined as persons who are subject to the authority of an adult criminal court or correctional agency. Persons under the age of 18 who were prosecuted as adults in a criminal court are considered adults for the purpose of this census.

Please read all definitions and questions carefully. These definitions were developed for the purpose of this census; as such, definitions and question wording are standardized for this national census and may not match your agency's definitions and practices. Because CAPSA is a national data collection, we ask all agencies to use these standardized definitions.

[Instructions](#) [Glossary](#)

[Back](#) [Save and Exit](#) [Next](#)

What is the geographic jurisdiction served by AGENCY 21?

- District/Circuit
- Multiple counties
- Entire single county
- Other local entity (e.g., city or town)
- Statewide
- Other

[Instructions](#) [Glossary](#)

[Back](#) [Save and Exit](#) [Next](#)

Which branch of the government is AGENCY 21 located in? If AGENCY 21 is a private entity, check "Private."

- Federal judicial branch
- State executive branch
- State judicial branch
- County executive branch
- County judicial branch
- Other local executive branch
- Other local judicial branch
- Private
- Other

[Instructions](#) [Glossary](#)

[Back](#) [Save and Exit](#) [Next](#)

Attachment 6 – Federal Register 60-day Notice

Decree with the United States District Court for the Southern District of Ohio in the lawsuit entitled *United States v. 3M Company, et al.*, Civil Action No. 3:14-cv-00032-WHR.

The United States filed this lawsuit under the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA). The United States' complaint requests recovery of costs that the United States incurred responding to releases of hazardous substances at the Lammers Barrel Superfund Site (the "Site") in BeaverCreek, Ohio. The complaint also seeks injunctive relief, specifically, performance of the remedial action for Operable Unit 1 at the Site selected by the United States Environmental Protection Agency ("EPA"). Under the terms of the Consent Decree, the Defendants have agreed to (1) perform the remedial action selected by EPA for Operable Unit 1, at an estimate cost of \$3.4 million; (2) implement institutional controls; (3) reimburse the United States \$1,496,689.04 for past response costs; (4) reimburse the United States for future response costs.

The publication of this notice opens a period for public comment on the proposed Consent Decree. Comments should be addressed to the Assistant Attorney General, Environment and Natural Resources Division, and should refer to *United States v. 3M Company et al.*, D.J. Ref. No. 90-11-3-07706. All comments must be submitted no later than thirty (30) days after the publication date of this notice. Comments may be submitted either by email or by mail:

To submit comments:	Send them to:
By e-mail ..	pubcomment-ees.enrd@usdoj.gov
By mail	Assistant Attorney General U.S. DOJ—ENRD P.O. Box 7611 Washington, D.C. 20044-7611.

During the public comment period, the proposed Consent Decree may be examined and downloaded at this Justice Department Web site: http://www.usdoj.gov/enrd/Consent_Decrees.html. We will provide a paper copy of the proposed Consent Decree upon written request and payment of reproduction costs. Please mail your request and payment to:

Consent Decree Library, U.S. DOJ—ENRD, P.O. Box 7611, Washington, DC 20044-7611.

Please enclose a check or money order for \$89.75 (25 cents per page reproduction cost) payable to the United States Treasury. For a paper copy

without the signature pages and Appendices, the cost is \$24.25.

Maureen Katz,

Assistant Section Chief, Environmental Enforcement Section, Environment and Natural Resources Division.

[FR Doc. 2014-02831 Filed 2-7-14; 8:45 am]

BILLING CODE 4410-15-P

DEPARTMENT OF JUSTICE

Office of Justice Programs

[OMB #1121-NEW]

Agency Information Collection Activities: Proposed collection; Comment Requested; New Collection: Census of Adult Probation Supervising Agencies, 2014

ACTION: 60-Day notice.

The Department of Justice (DOJ), Office of Justice Programs, will be submitting the following information collection to the Office of Management and Budget (OMB) for review and approval in accordance with the Paperwork Reduction Act of 1995. The proposed information collection is published to obtain comments from the public and affected agencies. Comments are encouraged and will be accepted for "sixty days" until April 11, 2014. This process is conducted in accordance with 5 CFR 1320.10.

If you have comments especially regarding the estimated public burden and associated response time, or need a copy of the proposed information collection instrument with instructions or additional information, please contact Lauren Glaze, Statistician, Bureau of Justice Statistics, 810 7th St., NW., Washington, DC 20531 (*email* Lauren.Glaze@usdoj.gov; *phone* (202) 305-9628).

Written comments and suggestions from the public and affected agencies concerning the proposed collection of information are encouraged. Your comments should address one or more of the following four points:

- (1) Evaluate whether the collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility;
- (2) Evaluate the accuracy of the agency's estimate of the burden of the collection of information, including the validity of the methodology and assumptions used;
- (3) Enhance the quality, utility and clarity of the information to be collected; and
- (4) Minimize the burden of the collection of information on those who

are to respond, including through the use of appropriate automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g. permitting electronic submission of responses.

Overview of this information collection

(1) *Type of Information Collection:* New Collection. While the Bureau of Justice Statistics conducted a census of probation and parole agencies in 1991, the 2014 Census of Adult Probation Supervising Agencies is now a standalone collection. This collection's scope is narrower and only includes adult probation agencies. The scope of the 1991 census was broader and included both adult probation and parole agencies.

(2) *Title of the Form/Collection:* 2014 Census of Adult Probation Supervising Agencies.

(3) *Agency form number, if any, and the applicable component of the Department of Justice sponsoring the collection:*

(a) *Form number:* CAPSA-AIF is the Agency Information Form (AIF) for public agencies, CAPSA-CIF is the Company Information Form (CIF) for private probation companies, CAPSA-1A is the questionnaire for public probation agencies, and CAPSA-1B is the questionnaire for private probation companies. Corrections Statistics Program, Bureau of Justice Statistics, Office of Justice Programs, U.S. Department of Justice.

(4) *Affected public who will be asked to respond, as well as a brief abstract:*
Primary: State or local government.
Other: Federal government or private companies. The primary goals of the work under this clearance are to: 1) enhance and validate a national roster of probation agencies that supervise adults on probation for a felony (or those that supervise felons and misdemeanants) and private companies that directly supervise adult probationers; and 2) collect information from those agencies to report national and state-level statistics that provide a clear understanding of how adult probation in the United States is currently organized, the supervision policies and practices agencies have established to administer adult probation, the various types of functions adult probation agencies perform, and the different types of individuals supervised by adult probation agencies. The Bureau of Justice Statistics will use this information in published reports and for the U.S. Congress, Executive Office of the President, practitioners, researchers, students, the media, and others

interested in community corrections statistics.

All agencies and companies that are believed to supervise adult probationers are on a preliminary roster that BJS and Westat, the data collection agent for the CAPSA, developed by reviewing and compiling data and information from various available resources. The CAPSA-AIF or CAPSA-CIF will be mailed to the head of each agency/company on the preliminary roster and the head of the agency/company will be asked to confirm the contact information for the agency/company and designate a respondent(s) to complete the CAPSA questionnaire. Agency/company heads will be asked to fax, email, or mail the AIF or CIF to Westat. Designated respondents from public probation agencies will receive the CAPSA-1A questionnaire and will be asked to report via the Internet through a web survey with telephone reporting as a secondary mode. Designated respondents from private probation companies will receive the CAPSA-1B questionnaire and will be asked to return the paper questionnaire by fax, email, or mail. Telephone will also serve as a secondary mode of data collection for private probation companies.

The CAPSA-1A will collect information from public probation agencies about their branch and level of government, the various functions they perform, the policies and practices they have in place to administer adult probation related to both adult probationers and the community corrections officers that supervise them, the extent to which agencies have supervision authority, the various populations they serve, the size of their adult probation population, and funding sources for adult probation. In an effort to validate the roster of probation agencies and companies, respondents will also be asked to review a list of public probation agencies in their state to identify any that may be missing from the list. They will also be asked to report any private probation companies that supervise adult probationers in their state.

The CAPSA-1B will collect information from private probation companies about the various functions they perform, the number of states for which they supervise adult probationers, the branches and levels of government from which they receive adult probationers to supervise, the extent to which any governmental entity conducts oversight of their supervision activities, the various populations they serve, the size of their adult probation population, and the practices and

methods they use to administer adult probation.

Both the CAPSA-1A and CAPSA-1B questionnaires will include questions to confirm that the agencies/companies supervise adult probationers and are therefore correctly included on the roster and fall within the scope of the CAPSA.

In addition, because the organization of adult probation varies drastically not only by state but within particular states, as part of the work under this clearance to enhance and validate the roster of adult probation agencies and companies, one informant in each state, the District of Columbia, and the Federal system will be asked to complete a telephone interview. These contacts are necessary to assist in: (1) identifying any agencies that may be missing or should be removed from the roster (e.g., agencies that are no longer in operation); (2) updating information contained in the resources that have been used to develop the preliminary roster since some of the source material was only available from publications that were published 5 to 10 years ago; and (3) resolving questions about how probation is organized in the jurisdiction that stem from differences in the way probation in particular jurisdictions has been described in some of the materials used to develop the preliminary roster.

(5) *An estimate of the total number of respondents and the amount of time needed for an average respondent to respond:*

(a) CAPSA-AIF form: Approximately 2000 respondents, each taking an average 5 minutes to respond.

(b) CAPSA-CIF form: Approximately 200 respondents, each taking an average of 5 minutes to respond.

(c) CAPSA-1A form: Approximately 2,000 respondents, each taking an average of 65 minutes to respond.

(d) CAPSA-1B form: Approximately 200 respondents, each taking an average of 31 minutes to respond.

(e) 52 telephone calls to informants in each jurisdiction, each taking an average of 30 minutes to respond.

(6) *An estimate of the total public burden (in hours) associated with the collection:* 2,480 annual burden hours.

If additional information is required contact: Jerri Murray, Department Clearance Officer, United States Department of Justice, Justice Management Division, Policy and Planning Staff, Two Constitution Avenue, 145 N Street NE., Room 3W-1407B, Washington, DC 20530..

Dated: February 5, 2014.

Jerri Murray,

Department Clearance Officer for PRA, U.S. Department of Justice.

[FR Doc. 2014-02767 Filed 2-7-14; 8:45 am]

BILLING CODE 4410-18-P

DEPARTMENT OF LABOR

Office of the Secretary

Agency Information Collection Activities; Submission for OMB Review; Comment Request; Benefits Timeliness and Quality Review System

ACTION: Notice.

SUMMARY: The Department of Labor (DOL) is submitting the Employment and Training Administration (ETA) sponsored information collection request (ICR) titled, "Benefits Timeliness and Quality Review System," to the Office of Management and Budget (OMB) for review and approval for continued use, without change, in accordance with the Paperwork Reduction Act of 1995 (PRA), 44 U.S.C. 3501 et seq.

DATES: Submit comments on or before March 12, 2014.

ADDRESSES: A copy of this ICR with applicable supporting documentation; including a description of the likely respondents, proposed frequency of response, and estimated total burden may be obtained free of charge from the RegInfo.gov Web site at http://www.reginfo.gov/public/do/PRAViewICR?ref_nbr=201307-1205-002 (this link will only become active on the day following publication of this notice) or by contacting Michel Smyth by telephone at 202-693-4129, TTY 202-693-8064, (these are not toll-free numbers) or sending an email to DOL_PRA_PUBLIC@dol.gov.

Submit comments about this request by mail or courier to the Office of Information and Regulatory Affairs, Attn: OMB Desk Officer for DOL-ETA, Office of Management and Budget, Room 10235, 725 17th Street NW., Washington, DC 20503; by Fax: 202-395-6881 (this is not a toll-free number); or by email: OIRA_submission@omb.eop.gov. Commenters are encouraged, but not required, to send a courtesy copy of any comments by mail or courier to the U.S. Department of Labor-OASAM, Office of the Chief Information Officer, Attn: Departmental Information Compliance Management Program, Room N1301, 200 Constitution Avenue NW., Washington, DC 20210; or by email: DOL_PRA_PUBLIC@dol.gov.

Attachment 7 – Federal Register 30-day Notice

to submit proposed remedial orders for the Commission's consideration. Complainant is also requested to state the date on which the '561 patent expires and the HTSUS subheadings under which the accused products are imported.

Written submissions must be filed no later than close of business on April 23, 2014. Reply submissions must be filed no later than the close of business on April 30, 2014. Such submissions should address the ALJ's recommended determinations on remedy and bonding which were made in Order No. 28. No further submissions on any of these issues will be permitted unless otherwise ordered by the Commission.

Persons filing written submissions must file the original document electronically on or before the deadlines stated above and submit eight true paper copies to the Office of the Secretary by noon the next day pursuant to section 210.4(f) of the Commission's Rules of Practice and Procedure (19 CFR 210.4(f)). Submissions should refer to the investigation number ("Inv. No. 337-TA-861/867") in a prominent place on the cover page and/or the first page. (See Handbook for Electronic Filing Procedures, http://www.usitc.gov/secretary/fed_reg_notices/rules/handbook_on_electronic_filing.pdf). Persons with questions regarding filing should contact the Secretary (202-205-2000).

Any person desiring to submit a document to the Commission in confidence must request confidential treatment. All such requests should be directed to the Secretary to the Commission and must include a full statement of the reasons why the Commission should grant such treatment. See 19 CFR 201.6. Documents for which confidential treatment by the Commission is properly sought will be treated accordingly. A redacted non-confidential version of the document must also be filed simultaneously with the any confidential filing. All non-confidential written submissions will be available for public inspection at the Office of the Secretary and on EDIS.

The authority for the Commission's determination is contained in section 337 of the Tariff Act of 1930, as amended (19 U.S.C. 1337), and in Part 210 of the Commission's Rules of Practice and Procedure (19 CFR Part 210).

By order of the Commission.
Issued: April 8, 2014.

Lisa R. Barton,
Acting Secretary to the Commission.
[FR Doc. 2014-08164 Filed 4-10-14; 8:45 am]
BILLING CODE 7020-02-P

INTERNATIONAL TRADE COMMISSION

[Investigation Nos. 731-TA-1140-1142 (Review)]

Uncovered Innerspring Units from China, South Africa, and Vietnam

Determinations

On the basis of the record¹ developed in the subject five-year reviews, the United States International Trade Commission (Commission) determines,² pursuant to section 751(c) of the Tariff Act of 1930 (19 U.S.C. 1675(c)), that revocation of the antidumping duty orders on uncovered innerspring units from China, South Africa, and Vietnam would be likely to lead to continuation or recurrence of material injury to an industry in the United States within a reasonably foreseeable time.

Background

The Commission instituted these reviews on November 1, 2013 (78 FR 65711) and determined on February 4, 2014 that it would conduct expedited reviews (79 FR 11466, February 28, 2014).

The Commission completed and filed its determinations in these reviews on April 7, 2014.³ The views of the Commission are contained in USITC Publication 4459 (April 2014), entitled *Uncovered Innerspring Units from China, South Africa, and Vietnam: Investigation Nos. 731-TA-1140-1142 (Review)*.

By order of the Commission.
Issued: April 8, 2014.

Lisa R. Barton,
Acting Secretary to the Commission.
[FR Doc. 2014-08161 Filed 4-10-14; 8:45 am]
BILLING CODE 7020-02-P

¹ The record is defined in sec. 207.2(f) of the Commission's Rules of Practice and Procedure (19 CFR 207.2(f)).

² Commissioner Shara L. Aranoff did not participate in these reviews.

³ The Commission has the authority to toll statutory deadlines during a period when the government is closed. Because the Commission was closed on December 10, 2013, January 21, 2014, February 13, 2014, March 10, 2014, and March 17, 2014 due to inclement weather in Washington, DC, the statutory deadlines reflect the tolling of deadlines by five days.

DEPARTMENT OF JUSTICE
[OMB Number 1121-NEW]

Agency Information Collection Activities; Proposed eCollection Activities; Proposed eComments Requested; New Collection; 2014 Census of Adult Probation Supervising Agencies

AGENCY: Bureau of Justice Statistics, Department of Justice.
ACTION: 30-day notice.

SUMMARY: The Department of Justice (DOJ), Office of Justice Programs, will be submitting the following information collection to the Office of Management and Budget (OMB) for review and approval in accordance with the Paperwork Reduction Act of 1995. The proposed information collection was previously published in the **Federal Register** Volume 79, Number 27, pages 7701-7702, on February 10, 2014, allowing a 60-day comment period. **DATES:** Comments are encouraged and will be accepted for "thirty days" until May 12, 2014.

FOR FURTHER INFORMATION CONTACT: Written comments and/or suggestions regarding the items contained in this notice, especially the estimated public burden or associated response time, should be directed to the Office of Management and Budget, Office of Information and Regulatory Affairs, Attention Department of Justice Desk Officer, Washington, DC 20503 or send to OIRA_submission@omb.eop.gov.

SUPPLEMENTARY INFORMATION: This process is conducted in accordance with 5 CFR 1320.10. Request written comments and suggestions from the public and affected agencies concerning the proposed collection of information are encouraged. Your comments should address one or more of the following four points:

- Evaluate whether the collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility;
- Evaluate the accuracy of the agency's estimate of the burden of the collection of information, including the validity of the methodology and assumptions used;
- Enhance the quality, utility and clarity of the information to be collected; and
- Minimize the burden of the collection of information on those who are to respond, including through the use of appropriate automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g.

permitting electronic submission of responses.

Overview of This Information Collection:

(1) *Type of Information Collection:* New Collection. While the Bureau of Justice Statistics conducted a census of probation and parole agencies in 1991, the 2014 Census of Adult Probation Supervising Agencies is now a standalone collection. This collection's scope is narrower and only includes adult probation agencies. The scope of the 1991 census was broader and included both adult probation and parole agencies.

(2) *Title of the Form/Collection:* 2014 Census of Adult Probation Supervising Agencies.

(3) *Agency form number:* CAPSA-AIF is the Agency Information Form (AIF) for public agencies, CAPSA-CIF is the Company Information Form (CIF) for private probation companies, CAPSA-1A is the questionnaire for public probation agencies, and CAPSA-1B is the questionnaire for private probation companies.

(4) *Affected public who will be asked to respond, as well as a brief abstract:* *Primary:* State or local government. *Other:* Federal government or private companies. The primary goals of the work under this clearance are to: (1) Enhance and validate a national roster of probation agencies that supervise adults on probation for a felony (or those that supervise felons and misdemeanants) and private companies that directly supervise adult probationers; and (2) collect information from those agencies to report national and state-level statistics that provide a clear understanding of how adult probation in the United States is currently organized, the supervision policies and practices agencies have established to administer adult probation, the various types of functions adult probation agencies perform, and the different types of individuals supervised by adult probation agencies. The Bureau of Justice Statistics will use this information in published reports and for the U.S. Congress, Executive Office of the President, practitioners, researchers, students, the media, and others interested in community corrections statistics.

All agencies and companies that are believed to supervise adult probationers are on a preliminary roster that BJS, Westat, and the American Probation and Parole Association (APPA) developed by reviewing and compiling data and information from various available resources. (Westat and APPA are the data collection agents for the 2014

CAPSA) The CAPSA-AIF or CAPSA-CIF will be mailed to the head of each agency/company on the preliminary roster and the head of the agency/company will be asked to confirm the contact information for the agency/company and designate a respondent to complete the CAPSA questionnaire. Agency/company heads will be asked to fax, email, or mail the AIF or CIF to Westat. Designated respondents from public probation agencies will receive the CAPSA-1A questionnaire and will be asked to report via the Internet through a web survey with telephone reporting as a secondary mode. Designated respondents from private probation companies will receive the CAPSA-1B questionnaire and will be asked to return the paper questionnaire by fax, email, or mail. Telephone will also serve as a secondary mode of data collection for private probation companies.

The CAPSA-1A will collect information from public probation agencies about their branch and level of government, the various functions they perform, the policies and practices they have in place to administer adult probation related to both adult probationers and the community corrections officers that supervise them, the extent to which agencies have supervision authority, the various populations they serve, the size of their adult probation population, the use of and number of adult probationers held in community-based correctional facilities, and funding sources for adult probation. In an effort to validate the roster of probation agencies and companies, respondents will also be asked to review a list of public probation agencies in their state to identify any that may be missing from the list. They will also be asked to report any private probation companies that supervise adult probationers in their state.

The CAPSA-1B will collect information from private probation companies about the various functions they perform, the number of states for which they supervise adult probationers, the branches and levels of government from which they receive adult probationers to supervise, the extent to which any governmental entity conducts oversight of their supervision activities, the various populations they serve, the size of their adult probation population, and the practices and methods they use to administer adult probation.

Both the CAPSA-1A and CAPSA-1B questionnaires will include questions to confirm that the agencies/companies supervise adult probationers and are

therefore correctly included on the roster and fall within the scope of the CAPSA. In addition, because the organization of adult probation varies drastically not only by state but within particular states, as part of the work under this clearance to enhance and validate the roster of adult probation agencies and companies, one informant in each state, the District of Columbia, and the Federal system will be asked to complete a telephone interview. These contacts are necessary to assist in: (1) Identifying any agencies that may be missing or should be removed from the roster (e.g., agencies that are no longer in operation); (2) updating information contained in the resources that have been used to develop the preliminary roster since some of the source material was only available from publications that were published 5 to 10 years ago; and (3) resolving questions about how probation is organized in the jurisdiction that stem from differences in the way probation in particular jurisdictions has been described in some of the materials used to develop the preliminary roster.

(5) *An estimate of the total number of respondents and the amount of time needed for an average respondent to respond:*

(a) CAPSA-AIF form: Approximately 1,760 respondents, each taking an average of 5 minutes to respond with 2 minutes of follow-up.

(b) CAPSA-CIF form: Approximately 204 respondents, each taking an average of 5 minutes to respond with 2 minutes of follow-up.

(c) CAPSA-1A form: Approximately 1,760 respondents, each taking an average of 65 minutes to respond with 10 minutes of follow-up.

(d) CAPSA-1B form: Approximately 204 respondents, each taking an average of 30 minutes to respond with 5 minutes of follow-up.

(e) 52 telephone calls to informants in each jurisdiction, each taking an average of 30 minutes with 5 minutes of follow-up.

(6) *An estimate of the total public burden (in hours) associated with the collection:* 2,578 total burden hours.

If additional information is required contact: Jerri Murray, Department Clearance Officer, United States Department of Justice, Justice Management Division, Policy and Planning Staff, Two Constitution Avenue, 145 N Street NE., Room 3E.405B, Washington, DC 20530.

Dated: April 8, 2014.

Jerri Murray,

Department Clearance Officer for PRA, U.S. Department of Justice.

[FR Doc. 2014-08175 Filed 4-10-14; 8:45 am]

BILLING CODE 4410-18-P

DEPARTMENT OF JUSTICE

[OMB Number 1110-0021]

Proposed eCollection, eComments Requested; Approval for a Revised Collection; FBI National Academy Post-Graduate Questionnaires, FBI National Academy Post-Graduate Questionnaire for Graduates, FBI National Academy Post-Graduate Questionnaire for Supervisors of Graduates

AGENCY: Training Division, Federal Bureau of Investigation, Department of Justice.

ACTION: 30-day notice.

SUMMARY: The Department of Justice (DOJ), Federal Bureau of Investigation (FBI), Training Division's Curriculum Management Section (CMS) will be submitting the following information collection request to the Office of Management and Budget (OMB) for review and approval in accordance with the Paperwork Reduction Act of 1995. The proposed information collection is published to obtain comments from the public and affected agencies. This proposed information collection was previously published in the **Federal Register** Volume, Number 23, page 6628, on February 4, 2014, allowing for a 60 day comment period.

DATES: Comments are encouraged and will be accepted for 30 days until May 12, 2014.

FOR FURTHER INFORMATION CONTACT: If you have comments (especially on the estimated public burden or associated response time), suggestions, or need a copy of the proposed information collection instrument with instructions or additional information, please contact *Keith Shirley, Unit Chief, Evaluation and Accreditation Unit, Training Division, Federal Bureau of Investigation, Quantico, Virginia 22135*. Written comments and/or suggestions can also be directed to the Office of Management and Budget, Office of Information and Regulatory Affairs, Attention Department of Justice Desk Officer, Washington, DC 20503 or send to *OIRA_submission@omb.eop.gov*.

SUPPLEMENTARY INFORMATION: This process is conducted in accordance with 5 CFR 1320.10. Written comments and suggestions from the public and affected

agencies concerning the proposed collection of information are encouraged. Your comments should address one or more of the following three points:

- (1) Evaluate whether the proposed collection of information is necessary for the proper performance of the functions of the agency/component, including whether the information will have practical utility;
- (2) Evaluate the accuracy of the agency's/component's estimate of the burden of the proposed collection of the information, including the validity of the methodology and assumptions used;
- (3) Enhance the quality, utility, and clarity of the information to be collected; and
- (4) Minimize the burden of the collection of information on those who are to respond, including the use of appropriate automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses.

Overview of This Information

1. *Type of Information Collection:* Approval of a Revised Collection.
2. *Title of the Forms:* FBI National Academy Post-Graduate Questionnaire for Graduates.
FBI National Academy Post-Graduate Questionnaire for Supervisors of Graduates.
3. *Agency Form Number, if any, and the applicable component of the department sponsoring the collection:* Form Number: 1110-0021.
Sponsor: Training Division of the Federal Bureau of Investigation (FBI), Department of Justice (DOJ).
4. *Affected Public who will be asked or required to respond, as well as a brief abstract:*
Primary: FBI National Academy graduates and their identified supervisors represents state and local police departments, sheriffs' departments, military police organizations, and federal law enforcement agencies from the United States and over 150 foreign nations.
Brief Abstract: This collection is requested by FBI National Academy. These questionnaires have been designed to collect feedback from FBI National Academy students regarding their courses and instructors. The results are used to help determine if the FBI National Academy program is functioning as intended and meeting its goals and objectives. We will utilize the students' comments to improve the current curriculum.
5. *An estimate of the total number of respondents and the amount of time*

estimated for an average respondent to respond:

Approximately 1,000 FBI National Academy graduates per year will respond to the FBI National Academy Post-Graduate Questionnaire for Graduates. It is predicted that we will receive a 50% response rate. The average response time for reading the questionnaire directions for the FBI National Academy Post-Graduate Questionnaire for Graduates is estimated to be two (2) minutes; time to complete the questionnaire is estimated to be 30 minutes. Thus the total time to complete the Post-Graduate Questionnaire for Graduates is 32 minutes.

There are approximately 1,000 FBI National Academy graduates who have identified their supervisors that will respond to the FBI National Academy Post-Graduates Questionnaire for Supervisors of Graduates. It is predicted that we will receive a 50% response rate. The average response time for reading the directions for the FBI National Academy Post-Graduate Questionnaire for Supervisors of Graduates is estimated to be 2 minutes; time to complete the questionnaire is estimated to be 30 minutes. Thus the total time to complete the Post-Graduate Questionnaire for Supervisors of Graduates is 32 minutes.

The total estimated time to complete each questionnaire per respondent for each group is 32 minutes.

6. *An estimate of the total public burden (in hours) associated with the collection:*

Given that approximately 50% of those surveyed (or 500 from each group) will respond, the total public burden for completing questionnaires is 533 hours.

For additional information, contact: Jerri Murray, Department Clearance Officer, United States Department of Justice, Policy and Planning Staff, Justice Management Division, Two Constitution Square, 145 N Street NE., Room 3E-405B, Washington, DC 20530.

Dated: April 8, 2014.

Jerri Murray,

Department Clearance Officer for PRA, United States Department of Justice.

[FR Doc. 2014-08173 Filed 4-10-14; 8:45 am]

BILLING CODE 4410-02-P

Attachment 8 – State Informant Telephone Interview

CAPSA Frame-Building Questions by State
Guide for Semi-structured Phone Interviews

Introduction:

Hello, my name is _____. I work for Westat, a research firm in Rockville, MD. Westat is working on a project with the Bureau of Justice Statistics, and the American Probation and Parole Association to develop a comprehensive roster of public and private agencies in the United States that supervise adult probationers. <<Lauren Glaze at BJS/Nathan Lowe at APPA/Ed Latessa>> said that you would be a great source of information about <<jurisdiction>>, so I would like to ask you a few questions about how probation is organized and administered in your state. This information is critical to enhancing and validating the roster of adult probation agencies. These questions will take about 30 minutes of your time. Is this a convenient time for you? (If not) Can we schedule an appointment for a good time?

General Questions

1. According to the background work we have done using various sources, we think we know that... *(Note: Include what we think is done at the state level, what we think is done at lower levels; how we think felony and misdemeanor probation are handled and whether we think adult and juvenile are handled by the same entities. Ask them to confirm or clarify where we may have it wrong. Be sure they understand that we are looking at both felony and misdemeanor supervision.)*
2. At what level are policies and procedures made? *(Note: Probe about this to determine whether, in a county-organized or judicial circuit/district organized system, that level has any discretion at all over policy and procedure, even if that means developing policy and procedure that conforms to a general set of state guidelines or standards. Probe here because many places will say that policy is made at the state level because they have state standards. Probe to determine whether the chief probation officer, the judge, or whoever is in charge of probation at the lower levels has any discretion about how to do things – e.g., whether and how often or via what means to conduct drug tests; frequency of risk and needs assessment, tools used for risk assessment, whether and what special programs to offer, etc.)*
3. If not already ascertained: To your knowledge, does your state have any independent municipal courts or mayor's courts that supervise adult probationers who have to report on a regular basis (e.g., in person, by phone, or kiosk)? If so, do the agencies set at least some of their own policies and procedures? If so, how many agencies? Where? *(Note: We are not interested in small courts that have a type of "probation" that does not involve the probationer having to report to a probation officer on a regular basis. No departments that have only folks who violated local ordinances, traffic, etc. – unless it's a serious incident that rises to the level of misdemeanor or felony. Also, we do not want to include municipal departments that fall under the supervision of a county agency and do not independently set their own policies or procedures at least to some extent.)*
4. If yes: Do you have or know where I can find contact information for someone at each agency/department?

5. Do you have or know where I can find the most recent listings of probation departments in your state? For example, an annual report or directory or other document that might include all the departments.
6. If not indicated in the state-specific section: In your state, are both adult and juvenile probationers supervised by the same entities?
7. If yes: Do you know whether the juvenile data and adult data are housed in the same location (e.g., a state-wide database or a judicial circuit database)?
8. Can you provide contact information for the person who maintains or knows the most about your state's juvenile probation data?

SEE INDIVIDUAL STATE QUESTIONS AND INSERT WHERE APPROPRIATE.

Closing: Thank you very much for your time. Can you please send me any annual reports, directories, policy manuals, etc. that might further describe how adult probation works in your state?

If yes: Please address the information to my supervisor.

Monica Basena
CAPSA Data Manager
WESTAT
RW 2511
1600 Research Boulevard
Rockville, MD 20850

Again, thank you for your time.

State Questions

ALABAMA

1. What we think we know is that adults on felony probation in AL are supervised by the AL Board of Pardons and Paroles and adults on misdemeanor probation in AL are supervised by either the AL Board of Pardons and Parolees or local community correction programs. Is this correct?
2. The AL Board of Pardons and Paroles administers adult probation through three regions. Do the three regions have the discretion to define their policies, procedures and/or programming or is all that dictated by the state?
3. Do the local programs have the discretion to define their policies, procedures and or programming or is all of that determined at the state level?
4. Which local community corrections programs administer probation supervision independently of the state? Follow-up: Which large cities (municipalities) have independent probation departments (e.g., Birmingham, Huntsville, Mobile, and Montgomery)?
5. Do the judiciary/ courts have any involvement in the administration of adult probation supervision in AL? (If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?)

ALASKA

1. What we think we know is that AK's DOC Division of Probation and Parole supervises adult probationers on both felony and misdemeanor probation. Is this correct?
2. Are there any jurisdictions in the state that do not fall under the DOC? Is anything run through the judiciary?

ARIZONA

1. What we think we know is that county probation departments in AZ supervise adults on both felony and misdemeanor probation and the county probation departments are linked to 15 judicial districts under the Superior Court. Is this correct?
2. Do the judicial districts have the discretion to define their own policies and procedures?
3. We also note that there are independent municipal probation agencies – e.g., Tucson City Court Probation Department. Are there other independent municipal probation agencies or mayor's courts in AZ? If so, where?
4. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.).
5. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

ARKANSAS

1. Please describe how AR administers adult probation supervision. For example, what is the role of the Board of Corrections Department of Community Corrections? Circuit courts? District courts? Is there discretion at the judicial district level? What is the lowest level where there may be policy discretion?
2. Are both felony and misdemeanor probationers supervised by the same agencies?

CALIFORNIA

1. What we think we know is that both adult and juvenile probation supervision are administered by individual counties under the Judicial Council of CA, Administrative Office of the Courts. Is this correct?
2. Can you explain more about how CA administers probation supervision? For example, are both felony and misdemeanor probationers supervised by county probation departments?
3. We also note that there is an independent municipal probation agency in San Francisco. Are there other independent municipal probation agencies or mayor's courts in CA? If so, where?

COLORADO

1. What we think we know is that adult probation supervision in CO is administered at the state level by the Office of the State Court Administrator, Division of Probation Services, but that there are some independent municipalities. Is that correct?
2. For those jurisdictions that fall under the authority of the state, are both felony and misdemeanor probation handled through the same department?
3. Can you explain more about how CO administers probation supervision? For example, what is the role of judicial districts? Counties? Municipalities?
4. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)? If yes, do the municipal agencies send their data there too? (If yes) Can you provide contact information for the office that maintains the data and a key data person in the office?

CONNECTICUT

1. What we think we know is that adult and juvenile probation is administered by the CT Judicial Branch through judicial districts that include clusters of counties. Is this correct? Are there any independent municipal probation departments?
2. Do the judicial districts supervise both felony and misdemeanor probation?

DELAWARE

1. What we think we know is that adult probation supervision is administered at the state level under the DE DOC – Division of Probation and Parole through regional offices. Are both felony and misdemeanor probationers supervised at the state level? Are there any independent municipal agencies?
2. Do the regional offices have any discretion to define their policies, procedures and or programming?

DISTRICT OF COLUMBIA

1. What we think we know is that adult probation supervision in DC is administered at the federal level by the Court Services and Offender Supervision Agency (CSOSA). Is this correct? Are both felony and misdemeanor handled through CSOSA?
2. Can you explain more about the administration of adult probation supervision in DC?

FLORIDA

1. What we think we know is that adults on felony probation are supervised by the FL Department of Corrections Office of Community Corrections and adults on misdemeanor probation are supervised by state or county offices, often operated under contract. Is this correct?
2. Do the four regional offices have discretion to establish or implement their own policies and procedures or do they administer the state policies and programs? We have noted a very long list of Community Corrections Offices, for example (see directory). Are these offices under the 20 judicial circuits or are they independent entities with discretion to define their policies and procedures? Is there judicial supervision of the probation departments that are operated by contractors?
3. Of the 67 counties in FL, which (or how many) counties have independent probation agencies (refer to definition) that supervise adults on misdemeanor probation?
4. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.) and includes the judicial circuit data on misdemeanants?
5. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

GEORGIA

1. What we think we know is that adult felony probation supervision is administered at the state level by the DOC and adult misdemeanor probation is administered at the county level. Is that correct?
2. We have also found that GA has 49 judicial circuits each with at least one probation office. What is the relationship between the judicial circuits and counties?

3. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)?
4. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

HAWAII

1. What we think we know is that adult and juvenile probation supervision is administered by the Administrative Office of the State Courts via three judicial circuits. Is this correct?
2. For adult probation, the circuit and district courts administer both felony and misdemeanor supervision, but district courts administer misdemeanor supervision. Is this correct?
3. Are these independent probation offices with the discretion to define their own policies and procedures?

IDAHO

1. What we think we know is that adult felony probation supervision is administered by the state DOC and misdemeanor probation supervision is administered at the county level but counties can choose whether to offer this service. Is that correct?
2. Can you explain more about how ID administers adult probation supervision, particularly misdemeanor supervision? What branch of government does probation fall under in the counties?
3. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)?
4. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

ILLINOIS

1. What we think we know is that for adult and juvenile probation supervision there are 22 circuits and county level probation departments for all 102 counties in IL. Is that correct? Can you explain more about probation supervision in IL? For example, what is the role of the Administrative Office of the State Courts?
2. Do the same probation departments supervise both felony and misdemeanor probation?

INDIANA

1. What we think we know is that both adult felony and misdemeanor probation supervision is administered at the county level under the IN Judicial Conference. Is that correct?
2. Do the county-level probation departments/courts have independent authority to set policies programs?

IOWA

1. What we think we know is that both adult felony and misdemeanor probation supervision are administered by the IA DOC via eight judicial districts, Is that correct?
2. Are there Community Corrections Act (CCA) jurisdictions that operate separately from the judicial districts?

KANSAS

1. What we think we know is that adult and juvenile probation supervision in KA is administered by 31 judicial districts. Is that true for both felony and misdemeanor probation supervision?
2. Are there Community Corrections Act (CCA) jurisdictions that operate separately from the judicial districts?
3. Does the probation department in each of these 31 districts have any discretion to establish its own policies and procedures and programs?
4. We also note that there are at least seven municipal probation departments (i.e., Atchison, Haysville, Kansas City, Overland Park, Topeka, Ulysses, and Wichita). Are there any additional independent municipal probation departments? Where?

KENTUCKY

1. What we think we know is that adult felony probation supervision is administered at the state level by the Community Services Division of Probation and Parole within the KY Department of Corrections. Is that correct?
2. Can you explain how KY administers misdemeanor probation supervision? Is the judiciary involved? Municipal depts.?
3. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)?
4. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

LOUISIANA

1. What we think we know is that adult felony probation supervision is administered by the Division of Probation and Parole under the Department of Public Safety and Corrections. Is that correct?

2. Can you explain the organization of misdemeanor probation in the state of LA? For example, what is the role of district courts? What agencies administer adult misdemeanor probation supervision? City? Parish?

MAINE

1. What we think we know is that adult and juvenile probation supervision is administered by the Division of Community Corrections under the DOC in ME. Is that correct?
2. Does this include both felony and misdemeanor adult probation supervision administered by the DOC?
3. If no: What agencies administer adult and juvenile misdemeanor probation supervision?
4. Is there any judiciary involvement in adult probation? Independent municipals?

MARYLAND

1. What we think we know is that adult probation supervision is administered by the Division of Parole and Probation, an agency of the Department of Public Safety and Correctional Services. Is that correct?
2. Are both felony and misdemeanor probation supervision for adults administered by this state agency?
3. If no: What agencies administer adult misdemeanor probation supervision? If judiciary is involved: What judiciary levels and courts have the authority?

MASSACHUSETTS

1. What we think we know is that adult and juvenile probation supervision is administered by the Office of the Commissioner of Probation, MA Trial Court. Is that correct?
2. Does the judiciary oversee both adult felony and misdemeanor supervision? (If judiciary: Tell me more about the involvement of circuit and district-level courts)
3. Is Boston independent or part of a judicial circuit?

MICHIGAN

1. What we think we know is that adult felony probation supervision is administered by the DOC, Field Operations Administration. Is that correct?
2. Can you explain how MI administers adult misdemeanor probation supervision? For example, what is the role of counties? Districts? Municipalities?
3. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)?
4. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

MINNESOTA

1. What we think we know is that both adult felony and juvenile probation supervision is administered by the DOC. Is that correct? We also note that 17 Community Corrections Act (CCA) agencies administer misdemeanor probation supervision for adults and juveniles in MN, and there are 27 county probation departments that administer misdemeanor probation supervision in non-CCA counties. Is that correct?
2. Can you explain more about how MN administers adult and juvenile probation? For example, do the same county probation departments administer misdemeanor probation for both adults and juveniles?

MISSISSIPPI

1. What we think we know is that adult probation supervision is administered by the MS DOC, Community Corrections Division. Is that correct?
2. Are both felony and misdemeanor probationers supervised by state DOC offices or are misdemeanor probationers supervised by other entities?

MISSOURI

1. What we think we know is that the DOC of MO administers adult felony probation supervision, and MO circuit and associate circuit judges contract with private agencies to provide supervision for A,B, and C misdemeanor probationers. Is that correct?
2. Can you explain more about how MO administers adult probation supervision, especially within judicial circuits?
3. Does MO have any independent municipal probation agencies? For example, how is adult probation supervision administered in St. Louis City? Is St. Louis considered a judicial circuit?
4. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)?
5. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

MONTANA

1. What we think we know is that adult felony probation supervision is administered by the Department of Corrections in MO. Is that correct? What about misdemeanor supervision? Are there independent municipal probation departments?
2. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)?
3. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

NEBRASKA

1. What we think we know is that adult and juvenile probation supervision is administered by the NE Probation System, which is under the judicial branch. Is that correct?
2. At what level courts are felony and misdemeanor supervision located?

NEVADA

1. What we think we know is that adult probation supervision is administered by the Department of Public Safety, Division of Parole and Probation. Is this correct?
2. We also note that the Department of Public Safety supervises only felony and gross misdemeanor probationers; adult probationers with lesser misdemeanors are placed on informal probation with no supervision. Is that correct?
3. Is all decision making about policy and procedure invested at the state level or are there regional, district, or county-level agencies that have any discretionary authority over how to administer adult probation services.
4. Is it true that municipal courts in NV only administer informal probation that does not involve direct supervision?

NEW HAMPSHIRE

1. What we think we know is that adult probation supervision is administered by the NH Department of Corrections, Division of Field Services. Is this correct?
2. Are both felony and misdemeanor probationers supervised by the DOC?
3. Is all decision making about policy and procedure invested at the state level or are there regional, district, or county-level agencies that have any discretionary authority over how to administer adult probation services.

NEW JERSEY

1. What we think we know is that adult and juvenile probation supervision is administered by the Administrative Office of the Courts. Is that correct?
2. At what level of courts is adult probation supervision handled? Felony? Misdemeanor? Is there a circuit or district court system and where does the authority lie?

NEW MEXICO

1. What we think we know is that the Probation and Parole Division of the NM Corrections Department supervises adults on probation. Is this correct?
2. Are both felony and misdemeanor probationers supervised by the DOC?
3. Is all decision making about policy and procedure invested at the state level or are there regional, district, or county-level agencies that have any discretionary authority over how to administer adult probation services.
4. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious

offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)?

5. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

NEW YORK

1. What we think we know is that adult and juvenile probation supervision is administered at the county level in 62 counties and that New York City has its own independent probation authority. Is that correct?

NORTH CAROLINA

1. What we think we know is that adult probation supervision is administered by the NC Department of Corrections. Is that correct? Does the DOC supervise both felony and misdemeanor probation throughout the state?
2. Is all decision making about policy and procedure invested at the state level or are there regional, district, or county-level agencies that have any discretionary authority over how to administer adult probation services.

NORTH DAKOTA

1. What we think we know is that adult probation supervision is administered by the ND Department of Corrections and Rehabilitation. Is that correct? Does the DOC supervise both felony and misdemeanor probation throughout the state?
2. Is all decision making about policy and procedure invested at the state level or are there regional, district, or county-level agencies that have any discretionary authority over how to administer adult probation services?
3. Can you explain more about the organization of adult probation in ND? For example, are both felony and misdemeanor probationers supervised by the DOC and Rehabilitation?

OHIO – NO PLANNED CONTACT WITH OH DUE TO KNOWLEDGE OF STATE STUDY HELD BY CONSULTANT.

OKLAHOMA

1. What we think we know is that the Ok DOC administers adult probation supervision. Is that correct? Does the DOC supervise both felony and misdemeanor probation throughout the state or is it correct that misdemeanor offenders are subject to county jail time or fines rather than supervised probation?
2. Is all decision making about policy and procedure invested at the state level or are there regional, district, or county-level agencies that have any discretionary authority over how to administer adult probation services?
3. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious

offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)?

4. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

OREGON

1. What we think we know is that the Department of Corrections, Division of Community Corrections administers adult probation supervision in partnership with local, county-operated community corrections agencies. Is that correct?
2. Can you explain more about the organization of adult probation in OR? Are both felony and misdemeanor probationers supervised at the same level?

PENNSYLVANIA

1. What we think we know is that the PA Board of Probation and Parole provides grant support to counties to administer adult probation supervision. Is this correct?
2. Can you explain more about the organization of adult probation in PA? Are the county probation agencies completely independent in how they implement adult probation supervision? Are both felony and misdemeanor probationers supervised by county executive-branch agencies with no involvement of the judiciary?
3. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)?
4. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

RHODE ISLAND

1. What we think we know is that adult probation supervision is administered by the DOC, Department of Probation, Parole, and Pardon Services. Is that correct?
2. Are both felony and misdemeanor probationers supervised by the DOC?
3. Is all decision making about policy and procedure invested at the state level or are there regional, district, or county-level agencies that have any discretionary authority over how to administer adult probation services?
4. Is the judiciary involved in probation supervision in RI?

SOUTH DAKOTA

1. What we think we know is that the Court Services Department of the Unified Judicial System administers both adult and juvenile probation supervision. Is this correct?
2. Are felony and misdemeanor supervision conducted at the same level? For example, do circuit courts handle felony offenders and district courts or county courts supervise misdemeanants?

3. Does each circuit court have an independent probation department with discretion to define its policies and procedures?

TENNESSEE

1. What we think we know is that adult felony probation supervision in TN is administered by the Board of Probation and Parole, Community Corrections Division, Field Services Division. Adult misdemeanor probation supervision is administered by individual counties. Is this correct?
2. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)?
3. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

TEXAS

1. What we think we know is that adult probation supervision is administered by 122 independent county probation departments. Is that correct?
2. Can you explain more about how TX administers adult probation supervision? For example, are both felony and misdemeanor probationers supervised by the same agencies?
3. Does each agency have discretion to define policies and procedures?

UTAH

1. What we think we know is that adult probation supervision is administered by the Department of Corrections. Is that correct?
2. Can you explain the organization of adult probation supervision in the state of UT? For example, are both felony and misdemeanor probationers supervised by the same agencies?
3. Is all decision making about policy and procedure invested at the state level or are there regional, district, or county-level agencies that have any discretionary authority over how to administer adult probation services? What role does each county have in administering adult probation supervision?
4. Can you describe “court probation”?

VERMONT

1. What we think we know is that adult probation supervision is administered by the Department of Corrections in VT. Is that correct?
2. Are both felony and misdemeanor probationers supervised by the DOC?
3. Is all decision making about policy and procedure invested at the state level or are there regional, district, or county-level agencies that have any discretionary authority over how to administer adult probation services?

VIRGINIA

1. According to our records, the VA Division of Community Corrections supervises adult felony probationers and misdemeanor probationers with sentences of more than one year. Lesser misdemeanors are handled by county or city probation agencies. Is that correct?
2. Is this structure the same for all counties and municipalities including Alexandria County, Fairfax County, Arlington County, and Falls Church City?

WASHINGTON

1. What we think we know is that adult felony probation supervision is administered by the DOC. Is that correct?
2. We also note that misdemeanor probation supervision is administered by district court probation departments under the general oversight of the Administrative Office of the Courts. Is that correct?
3. Can you explain the role that municipal agencies (e.g., Spokane) have in probation supervision?
4. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)?
5. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

WEST VIRGINIA

1. What we think we know is that both adult and juvenile probation supervision is administered by the Supreme Court of Appeals Administrative Office. Is that correct?
2. We also note that probation officers are viewed as working for the local circuit court judges, and there is discretion at the circuit court level (31 circuit courts covering 50 counties) in terms of policies, procedures, and programs. Is that correct?
3. Are both felony and misdemeanor probationers supervised in this way?
4. If no: Is there a systematic use of different level courts for misdemeanors and felons?
5. Is there a state-wide data base that contains the type of information requested in the Annual Probation Survey? – total population count, count by race and sex, count by most serious offense, number of entries and exits during the year by type (e.g., completions, revocations) and counts by probation status (e.g., active, inactive, absconder, etc.)?
6. If yes: Can you provide contact information for the office that maintains the data and a key data person in the office?

WISCONSIN

1. What we think we know is that adult probation supervision is administered by the Department of Corrections, Division of Community Corrections in WI. Is that correct?
2. Is this a CCA state?

3. Can you explain the organization of adult probation in WI? For example, are both felony and misdemeanor probationers supervised by the DOC?

WYOMING

1. What we think we know is that adult probation supervision in WY is administered by the DOC. Is that correct?
2. Can you explain the organization of adult probation in WY? For example, are both felony and misdemeanor probationers supervised by the DOC?
3. Is all decision making about policy and procedure invested at the state level or are there regional, district, or county-level agencies that have any discretionary authority over how to administer adult probation services?

Attachment 9 – Pre-notification Letter to Public Agency Heads (from BJS)

<<DATE>>

<<HEAD NAME>>, <<HEAD TITLE>>

<<AGENCY NAME>>

<<AGENCY STREET ADDRESS>>

<<CITY, STATE, ZIP>>

Dear <<HEAD NAME>>,

The U.S. Department of Justice, Bureau of Justice Statistics (BJS) is preparing to launch the Census of Adult Probation Supervising Agencies (CAPSA). The 2014 CAPSA national study is a special project to identify all public and private adult probation supervising agencies in the United States and gather information about their operations. Westat, a nationally known and highly regarded survey research firm, will be the data collection agent for this survey. The American Probation and Parole Association is also contributing to this important study.

The last time BJS conducted a probation census of this scope was in 1991 but as you are aware, since then the nature of adult probation has changed considerably. CAPSA will provide federal, state and local stakeholders with current information on the various functions of adult probation supervising agencies and their policies and practices of supervision to assist in their policy development and criminal justice planning. The CAPSA data and standard definitions are critical to providing a clear, comprehensive description of the organization of adult probation in the nation and the varying structures and nature of probation both across and within states. The Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 USC 3732), authorizes the collection of these data.

In a few weeks, we will send your agency a request to participate in CAPSA. When you receive the request, you will be able to complete the survey online. Participation is voluntary; however, including information from your agency is critical to ensure the census is complete, accurate, and useful to probation supervising agencies nationwide. We request that you submit your completed survey by <<**DUE DATE**>>.

At this time, we would like you to please do the following:

- Review the enclosed Agency Information Form and confirm the accuracy or update the information.
- Identify, on the form, someone to respond to the CAPSA survey. The designated respondent should be able to answer questions about your agency's structure, operational responsibilities, characteristics of probation supervision, and types of population supervised.
- Indicate on the form if the designated respondent would be able to access the survey via the Internet.
- Fax the completed form to the Westat CAPSA Agency Support Team at 301-279-4508 or email it to bjscapsa@westat.com by <<**AIF DUE DATE**>>. In a few weeks, we will send the designated respondent information on how to complete the survey.

We understand that you have competing demands and we greatly appreciate your assistance with this important collection. We look forward to hearing from you. If you have any questions about the 2014 CAPSA or about this request, please contact Westat's **CAPSA Agency Support Team at 1-888-329-8124** or by email at bjscapsa@westat.com. You can find more information about CAPSA on the BJS

website at <http://www.bjs.gov/content/capsa.cfm>. Also, please feel free to contact Lauren Glaze, BJS CAPSA Project Manager, at Lauren.Glaze@usdoj.gov or (202) 305-9628 with any questions.

Sincerely,

William Sabol, Ph.D.
Acting Director
Bureau of Justice Statistics

Lauren Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program, BJS

Enclosures

Attachment 10 – APPA Endorsement Letter



American Probation and Parole Association

A Force for Positive CHANGE.

c/o The Council of State Governments • P.O. Box 11910 • Lexington, KY, 40578-1910 • Ph. (859) 244-8203 • Fax (859) 244-8001 • E-mail: appa@csg.org

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**AT-LARGE REGIONAL
REPRESENTATIVES**

William Ashe
Washington, D.C.

Deborah Minardi
Nebraska

EXECUTIVE DIRECTOR

Carl Wicklund

<<Date>>

Greetings! We are contacting you today to encourage your participation in the Census of Adult Probation Supervising Agencies (CAPSA), a national survey of public agencies and private companies that supervise adults on probation conducted by the Bureau of Justice Statistics (BJS). Westat, a social science research firm, and the American Probation and Parole Association (APPA) are collaborating with BJS to conduct the census.

CAPSA is a special project that will provide a clear understanding of the organization of adult probation in the U.S., current adult probation supervision policies and practices, functions performed by supervising agencies, and the types of individuals who are supervised. The goal of CAPSA is to identify all public agencies and private companies in the country that supervise adults on probation. A core component of the project is a nationwide survey. You will find more information about the survey and the specific request that is being made in the accompanying letter from Daniela Golinelli, Chief of BJS' Corrections Program, and Lauren Glaze, the BJS CAPSA Project Manager.

APPA is keenly interested in the success of CAPSA. BJS will use this vitally important data to provide valuable information to states and localities to assist in their policy development and criminal justice planning. In addition, the statistical publications produced from the study data will serve as a benchmark. The standardized questionnaire and definitions will permit states and localities to rely on the CAPSA data to assess their probation agencies relative to probation agencies nationwide as well as among those with similar characteristics. With adult probation supervision being such an amorphous field, the CAPSA will provide clarity that is critical to future success. Accordingly, APPA strongly encourages you to participate in CAPSA.

If you have any questions regarding CAPSA or how to submit your data, please do not hesitate to contact the CAPSA Help Desk at 1-888-329-8124 or bjscapsa@westat.com. You can also find more information about CAPSA on the BJS website at <http://www.bjs.gov/content/capsa.cfm>.

Gratefully,

Carl A. Wicklund
Executive Director

w w w . a p p a - n e t . o r g

Attachment 11 – Public Agency Information Form (AIF)



Agency Information Form

Please review the information below. Indicate whether the head of agency information is correct and make updates as needed. Also, please designate a survey respondent and indicate whether the respondent would be able to complete the survey via the Internet.

Information on file	<u>Head of Agency</u>	Updated information
Agency Head Name:	<input type="text"/>	
Agency Name 1:	<input type="text"/>	
Agency Name 2:	<input type="text"/>	
Address 1:	<input type="text"/>	
Address 2:	<input type="text"/>	
City:	<input type="text"/>	
State, Zip:	<input type="text"/>	<input type="text"/> - <input type="text"/>
Attn:	<input type="text"/>	
Email:	<input type="text"/>	
Phone:	<input type="text"/> - <input type="text"/> - <input type="text"/>	
Fax:	<input type="text"/> - <input type="text"/> - <input type="text"/>	
<input type="checkbox"/> All information is correct.		

Designated Survey Respondent

If requested, would the designated respondent be able to respond to the survey through the Internet? Yes No

Designated Respondent:	<input type="text"/>	
Agency Name 1:	<input type="text"/>	
Agency Name 2:	<input type="text"/>	
Address 1:	<input type="text"/>	
Address 2:	<input type="text"/>	
City:	<input type="text"/>	
State, Zip:	<input type="text"/>	<input type="text"/> - <input type="text"/>
Attn:	<input type="text"/>	
Email:	<input type="text"/>	
Phone:	<input type="text"/> - <input type="text"/> - <input type="text"/>	Fax: <input type="text"/> - <input type="text"/> - <input type="text"/>

Please turn to the next page for instructions on how to reply and for contact information.

Burden Statement: Under the Paperwork Reduction Act, we cannot ask you to respond to a collection of information unless it displays a currently valid OMB control number. Public reporting burden for this collection is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any aspect of this collection of information, including suggestions for reducing this burden, to the Director, Bureau of Justice Statistics, 810 Seventh Street, NW, Washington, DC 20531; and to the Office of Management and Budget, OMB No. 1121-XXXX, Washington, DC 20503.



Dev



Please fax or email this information to Westat by XX/XX, 2014

Fax: 301-279-4508

Email: bjscapsa@westat.com

Attn: CAPSA Survey

If you have any questions, please telephone 1-888-329-8124 or email bjscapsa@westat.com.

Attachment 12 – List of Survey Topics for Public Agencies

Questionnaire Topics

Almost all the questions in the CAPSA questionnaire ask for a Yes or No answer, or provide a list of response options from which to select answers. Exceptions include 1 question on the number of probation officers in your agency that supervise adult probationers and 7 questions about numbers of offenders supervised (by type). In addition, 3 questions ask for the names and county locations of other public and private adult probation supervising agencies/facilities in your state.

The following is a list of the major topics addressed in the CAPSA questionnaire:

- Branch (e.g., Executive, Judicial) and level (e.g., state, local) of government in which your agency is located
- Functions of probation performed by your agency (e.g., administrative, reporting, PSI's, programs and services, supervisory)
- Populations supervised by your agency (e.g., reporting/non-reporting probationers, adults awaiting trial, adults on parole, juveniles)
- Authority and operational responsibility for budgetary, staffing, and policy/practices related to adult probation supervision
- Sources of funding for adult probation supervision, including Federal, state, and local government and fees/fines collected from probationers
- Methods of supervision (e.g., face-to-face, telephone, mail, email, text)
- Methods of assessing probationers' risks/needs
- Specialized caseloads and services for sex offenders and probationers with mental illness, provided by your agency or through a third party
- Your agency's role in setting terms or conditions of supervision (e.g., granting early positive discharge or extending the period of supervision)
- Number of officers supervising adult probationers
- Number of persons supervised by your agency, and from these:
 - Total number of individuals supervised
 - Total number of adult probationers
 - Number of adult probationers supervised for a felony
 - Number of adult probationers supervised for a misdemeanor
 - Number of non-reporting adult probationers
 - Number of adult probationers supervised by a private company
 - Number of adult probationers held at a correctional residential facility

- Your agency's use of correctional residential facilities (community-based facilities operated for correctional purposes) to confine or provide services to any adult probationers, including the name of any facilities used by your agency and the counties in which the facilities are located
- Your agency's use of private companies to supervise adult probationers, including the name of any companies used by your agency and the counties in which the companies operate in your state
- The name and county location of other agencies that supervise adult probationers in your state, not listed on the enclosed Supervising Agency Roster

Attachment 13 – Pre-notification Letter to Private Company Heads (from BJS)

<<DATE>>

<<HEAD NAME>>, <<HEAD TITLE>>

<<COMPANY NAME>>

<<COMPANY STREET ADDRESS>>

<<CITY, STATE, ZIP>>

Dear <<HEAD NAME>>,

The U.S. Department of Justice, Bureau of Justice Statistics (BJS) is preparing to launch the Census of Adult Probation Supervising Agencies (CAPSA). The 2014 CAPSA national study is a special project to identify all public and private adult probation supervising agencies in the United States and gather information about their characteristics. Westat, a nationally known and highly regarded survey research firm, will be the data collection agent for this survey. The American Probation and Parole Association is also contributing to this important study.

The last time BJS conducted a probation census of this scope was in 1991 but as you are aware, since then the nature of adult probation has changed considerably. CAPSA will provide federal, state and local stakeholders with current information on the various functions of adult probation supervising agencies and their policies and practices of supervision to assist in their policy development and criminal justice planning. The CAPSA data and standard definitions are critical to providing a clear, comprehensive description of the organization of adult probation in the nation and the varying structures and nature of probation both across and within states. The Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 USC 3732), authorizes the collection of these data.

In a few weeks, we will send your company a survey packet that includes a questionnaire and pre-paid return envelope. Participation is voluntary; however, including information from your agency is critical to ensure the census is complete, accurate, and useful to probation supervising agencies nationwide. We request that you submit your completed survey by <<**DUE DATE**>>.

At this time, we would like you to please do the following:

- Review the enclosed Company Information Form and confirm the accuracy or update the information.
- Identify, on the form, someone to respond to the CAPSA survey. The designated respondent should be able to answer questions about your company's responsibilities for adult probation supervision.
- Fax the completed form to the Westat CAPSA Agency Support Team at 301-279-4508 or email it to bjscapsa@westat.com by <<**CIF DUE DATE**>>. In a few weeks, we will send the designated respondent information on how to complete the survey.

We understand that you have competing demands and we greatly appreciate your assistance with this important collection. We look forward to hearing from you. If you have any questions about the 2014 CAPSA or about this request, please contact Westat's **CAPSA Agency Support Team at 1-888-329-8124** or by email at bjscapsa@westat.com. You can find more information about CAPSA on the BJS

website at <http://www.bjs.gov/content/capsa.cfm>. Also, please feel free to contact Lauren Glaze, BJS CAPSA Project Manager, at Lauren.Glaze@usdoj.gov or (202) 305-9628 with any questions.

Sincerely,

William Sabol, Ph.D.
Acting Director
Bureau of Justice Statistics

Lauren Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program, BJS

Enclosures

Attachment 14 – Private Company Information Form (CIF)



Company Information Form

Please review the information below. Indicate whether the corporate point of contact information is correct and make updates as needed. Also, please designate a survey respondent.

Information on file	<u>Corporate Point of Contact</u>		Updated information
Corporate Head Name:			<input type="text"/>
Corporate Name 1:			<input type="text"/>
Corporate Name 2:			<input type="text"/>
Address 1:			<input type="text"/>
Address 2:			<input type="text"/>
City:			<input type="text"/>
State, Zip:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Attn:			<input type="text"/>
Email:			<input type="text"/>
Phone:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fax:	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> All information is correct.			

Designated Survey Respondent

Designated Respondent:	<input type="text"/>		
Corporate Name 1:	<input type="text"/>		
Corporate Name 2:	<input type="text"/>		
Address 1:	<input type="text"/>		
Address 2:	<input type="text"/>		
City:	<input type="text"/>		
State, Zip:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Attn:	<input type="text"/>		
Email:	<input type="text"/>		
Phone:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fax:	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please turn to the next page for instructions on how to reply and for contact information.

Burden Statement: Under the Paperwork Reduction Act, we cannot ask you to respond to a collection of information unless it displays a currently valid OMB control number. Public reporting burden for this collection is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any aspect of this collection of information, including suggestions for reducing this burden, to the Director, Bureau of Justice Statistics, 810 Seventh Street, NW, Washington, DC 20531; and to the Office of Management and Budget, OMB No. 1121-XXXX, Washington, DC 20503.



Dev



Please fax or email this information to Westat by XX/XX, 2014

Fax: 301-279-4508

Email: bjscapsa@westat.com

Attn: CAPSA Survey

If you have any questions, please telephone 1-888-329-8124 or email bjscapsa@westat.com.

Attachment 15 – AIF/CIF Reminder Letter to Agency/Company Heads

<<DATE>>

<<HEAD NAME>>, <<HEAD TITLE>>
<<AGENCY/COMPANY NAME>>
<<AGENCY/COMPANY STREET ADDRESS>>
<<CITY, STATE, ZIP>>

Dear <<HEAD NAME>>,

The Bureau of Justice Statistics (BJS) is preparing to launch the Census of Adult Probation Supervising Agencies (CAPSA). The 2014 CAPSA national study is a special project to identify all public and private adult probation supervising agencies in the United States and gather information about their characteristics. CAPSA will provide federal, state and local stakeholders with current information on the various functions of adult probation supervising agencies and their policies and practices of supervision<<Agency: to assist in their policy development and criminal justice planning/Company: blank>>. Westat, a nationally known and highly regarded survey research firm, will be acting as the data collection agent for this survey. The American Probation and Parole Association is also contributing to this important study.

We recently sent you a packet announcing the study and <<an Agency/a Company>> Information Form asking you to identify the most appropriate individual to complete the survey. The form was due on <<AIF/CIF DUE DATE>>. If you have already submitted your form, we thank you for your participation.

If you have not submitted your <<Agency/Company>> Information Form, please do so as soon as possible. An additional form is included here for your convenience. Please fax the completed form to the Westat CAPSA Agency Support Team at 301-279-4508 or email it to bjscapsa@westat.com. This survey is the only comprehensive source for these data and your participation is vital to its success.

We understand that you have competing demands and we greatly appreciate your assistance with this important collection. We look forward to hearing from you. If you have any questions about the 2014 CAPSA or about this request, please contact Westat's **CAPSA Agency Support Team at 1-888-329-8124** or by email at bjscapsa@westat.com. You can find more information about CAPSA on the BJS website at <http://www.bjs.gov/content/capsa.cfm>. Also, please feel free to contact Lauren Glaze, BJS CAPSA Project Manager, at Lauren.Glaze@usdoj.gov or (202) 305-9628 with any questions.

Sincerely,

William Sabol, Ph.D.
Acting Director
Bureau of Justice Statistics

Lauren Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program, BJS

Enclosures

Attachment 16 – Telephone Contact Guide: AIF/CIF Non-Response Prompt

Q1. Hello, my name is <<NAME>>. I'm calling on behalf of the U.S. Department of Justice. May I please speak to <<AGENCY/COMPANY HEAD NAME>>?

YES..... 1 GO TO Q3
NOT AVAILABLE2 GO TO Q5
NO LONGER HEAD3 GO TO Q2
ANSWERING MACHINE.....4 GO TO AM_MESSAGE
REFUSED.....5 END CALL, CODE FOR CONVERSION

Q2. May I please speak to the new <<agency/company>> head?

YES..... 1 GO TO Q3
NOT AVAILABLE2 GO TO Q5
ANSWERING MACHINE.....3 GO TO AM_MESSAGE
REFUSED.....4 END CALL, CODE FOR CONVERSION

Q3. [IF NEEDED: Hello, my name is <<NAME>>. I'm calling on behalf of the U.S. Department of Justice.] We recently sent you a packet about the Census of Adult Probation Supervising Agencies (CAPSA), asking you to identify the most appropriate individual to complete the survey. Did you receive the packet?

YES..... 1 GO TO Q4
NO.....2 GO TO Q6
DON'T KNOW.....3 GO TO Q6
REFUSED.....4 END CALL, CODE FOR CONVERSION

Q4. We haven't received the name and contact information for that individual yet. I can collect the information from you now if you like. It will just take a few minutes. Would that be all right?

YES, WILL PROVIDE DURING
CALL 1 COMPLETE AIF/CIF
NO, WILL MAIL, FAX, EMAIL.....2 END CALL
REFUSED.....3 END CALL, CODE FOR CONVERSION

Q5. What day and time would be best for me to call back so that I can speak to <<AGENCY/COMPANY HEAD NAME>>?

DATE: _____
TIME: _____

END CALL

Q6. I would like to send another copy of the materials to you. Can you please confirm the spelling of your name and your address so that I can be sure it gets to you?

NAME: _____

ADDRESS:

Q7. If I could take just minute of your time, I can tell you about this study and perhaps you could provide the name and contact information now.

The Bureau of Justice Statistics, together with Westat and the American Probation and Parole Association, is conducting the Census of Adult Probation Supervising Agencies, also known as CAPSA. CAPSA is designed to identify adult probation supervising agencies in the United States and obtain information about their organizational structures, functions and populations supervised. This is the first census of this type since 1991.

The packet that I mentioned included a letter requesting your <<agency's/company's>> participation in the study. Participation will involve responding to the CAPSA questionnaire in the coming weeks. This takes about <<65/30>> minutes and you can complete this yourself or designate someone else in your <<agency/company>> to do so. The designated respondent should be able to answer questions about your <<agency's structure, operational responsibilities, characteristics of probation supervision, and types of population supervised/company's responsibilities for adult probation supervision>>.

Would you like to designate someone now?

YES, WILL PROVIDE DURING

CALL	1	COMPLETE AIF/CIF
NO, WILL MAIL, FAX, EMAIL	2	END CALL
REFUSED.....	3	END CALL, CODE FOR CONVERSION

ANSWERING MACHINE MESSAGE: Hello, this is <<NAME>>. I'm calling from <<Westat/APPA>> on behalf of the U.S. Department of Justice regarding the Census of Adult Probation Supervising Agencies. We recently sent <<AGENCY/COMPANY HEAD NAME>> a packet about the Census of Adult Probation Supervising Agencies (CAPSA), asking you to identify the most appropriate individual to complete the survey. We haven't received the information yet and the due date was <<AIF/CIF DUE DATE>>. I'm calling to see if you will be able to provide the information and if there is anything we can do to assist you. Please contact us at your earliest convenience. Our toll free number is 888-329-8124.

Attachment 17 – Invitation Letter to Public Agency Designees, Web Mode (from BJS)

<<DATE>>

<<RESPONDENT NAME>>, <<RESPONDENT TITLE>>
<<AGENCY NAME>>
<<AGENCY STREET ADDRESS>>
<<CITY, STATE, ZIP>>

Dear <<RESPONDENT NAME>>,

The U.S. Department of Justice, Bureau of Justice Statistics (BJS) has launched the Census of Adult Probation Supervising Agencies (CAPSA). Westat, BJS's data collection agent for CAPSA, and the American Probation and Parole Association are also contributing to this important study. In response to a request that we made to <<agency head first and last name>>, you have been designated as the agency respondent for the census.

The 2014 CAPSA national study is a special project to identify all public and private adult probation supervising agencies in the United States and gather information about their characteristics. CAPSA will provide federal, state and local stakeholders with current information on the various functions of adult probation supervising agencies and their policies and practices of supervision to assist in their policy development and criminal justice planning. The CAPSA data and standard definitions are critical to providing a clear, comprehensive description of the organization of adult probation in the nation and the varying structures and nature of probation both across and within states. Participation is voluntary; however, including information from your agency is critical to ensure the census is complete, accurate, and useful to probation supervising agencies nationwide. The Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 USC 3732), authorizes the collection of these data.

The survey website is open now and you can sign in, review the survey questions, and enter responses directly on the web. The website is secure and allows you to save and close the survey at any time and re-open it later to continue or edit your entries. **Please complete the survey by the due date, <<DUE DATE>>.** To access your agency's survey:

- Go to: <https://www.bjscapsa.org/>
- Enter your agency's PIN: <<XXXX>>

Reviewing the enclosed materials should help in answering the survey questions:

- **List of topics addressed in the questionnaire.** This list provides an overview of the questions that you will be asked.
- **Study definitions.** Since CAPSA is a national study and agencies often use different terminology, we have developed a set of standard definitions for the purpose of this census.
- **List of adult probation supervising agencies in your state.** One of the survey questions asks you to identify agencies that are responsible for supervising adult probationers in your jurisdiction that are not listed on the enclosed list of agencies.

We understand that you have competing demands and may need to complete several steps for preparing your agency's data. If this will impact submitting your survey data by the due date, and if we can assist you, please contact Westat's **CAPSA Agency Support Team at 1-888-329-8124** or by email at bjscapsa@westat.com.

Thank you in advance for your assistance with this important collection. We greatly appreciate your time and help to ensure the success of the 2014 CAPSA national study. If you have any questions about the census or this request, please contact Westat's CAPSA Agency Support Team. You can find more information about CAPSA on the BJS website at <http://www.bjs.gov/content/capsa.cfm>. Also, please feel

free to contact Lauren Glaze, BJS CAPSA Project Manager, at Lauren.Glaze@usdoj.gov or (202) 305-9628 with any questions.

Sincerely,

William Sabol, Ph.D.
Acting Director
Bureau of Justice Statistics

Lauren Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program, BJS

Enclosures

Attachment 18 – Survey Definitions for Public Agencies

2014 Census of Adult Probation Supervising Agencies

CAPSA STUDY DEFINITIONS

Definitions are standardized for this national census and may not always match your agency's definitions and practices. Because CAPSA is a national data collection, we ask all agencies to use these standardized definitions.

Key Definitions

Probation

A disposition or sentence for either a felony or misdemeanor that (1) is imposed by a criminal court and (2) places the adjudicated person under the control, supervision and care of a correctional agency. The probation conditions form a contract with the court by which the person must abide in order to remain in the community, generally in lieu of incarceration. Often, probation entails monitoring or surveillance by a correctional agency, but in some instances, probation may not involve any reporting requirements.

Adult probationers

Persons who are subject to the authority of an adult criminal court or correctional agency. Persons under the age of 18 who were prosecuted as adults in a criminal court are considered adults for the purpose of this census.

Your agency

In this survey, you will be asked questions about NAME, ADDRESS. The survey will use "NAME" and the term "*your agency*" interchangeably.

Because CAPSA is a national data collection, we ask all agencies to use the same approach to determine the scope of their agency (for example, whether to consider field or satellite probation offices) when completing the survey. The first questions focus on the role NAME has in establishing probation policies or defining probation procedures for adult probation supervision. Your answers to these first questions will be used to define *your agency* for the purpose of this census.

Please consider only *adult probation*, unless instructed otherwise in specific questions, even if *your agency* supervises other correctional populations.

Other Definitions

Administrative functions

Personnel management, or similar clerical or management activities, record storage and maintenance, or budget preparation.

Authority

The ability to make decisions regarding policies and procedures governing adult probation. For the purpose of this census, statutes are not considered to be policies or procedures.

Correctional residential facilities

Community-based facilities operated exclusively for correctional populations. Residents may be provided programs and services, and may be allowed extensive contact with the community, such as for employment, work, or attending school, but all residents are obligated to occupy the premises at night. Examples include, but are not limited to, halfway houses, restitution centers, detention centers, and prerelease or work release centers.

Electronic monitoring

Supervision conducted using electronic devices or systems to monitor or track probationers' locations, activities, or behaviors. Examples can include, but are not limited to radio frequency monitoring, Global Position System (GPS) monitoring, and alcohol monitoring.

Electronic supervision

Supervision conducted using automated or electronic means, such as interactive voice recognition (IVR) or kiosks for routine reporting. It does not include *electronic monitoring*, email, or text reporting.

Face-to-face supervision

Supervision conducted through in-person visits such as office or field visits.

Fees

Money paid by probationers to cover the cost of operations which include but are not limited to, supervision fees, program fees, drug testing fees, pre-sentence investigation (PSI) report fees, and risk or needs assessment fees.

Field or satellite probation office

A probation office that is operated by a larger agency/department. It may actually manage/supervise adult probationers, but it does not establish any policies or define any procedures for adult probation for itself.

Fines

Monetary penalties paid by probationers. Fines include but are not limited to, day fines, violation fines, and restitution.

Intensive supervision probation (ISP)

A more rigorous form of supervision than standard probation. It often emphasizes extensive contact, stringent conditions (e.g., drug testing, curfews, employment, or program engagement), and close monitoring or surveillance.

Non-reporting probation

Supervision where the adult probationer is never required, during any period of the probation term, to report to a court or correctional authority on a regular basis either through face-to-face visits, mail, telephone, interactive voice recognition (IVR), or kiosks.

Operational responsibility

The responsibility for implementing decisions related to the established policies and defined procedures of adult probation.

Pre-sentencing investigations

Activities to inform case processing decisions (associated with but not limited to sentencing decisions); activities include collecting and reporting information related to adult probationers' criminal histories, housing, employment, and family circumstances.

Reporting activities

Data collection or reporting, for example the preparation of monthly or annual reports.

Staffing

The hiring, terminating, re-assigning, or promoting of staff.

Supervision officers

Full- and part-time staff who spend any amount of time supervising adult probationers, regardless of their position or the amount of time they spend conducting activities in addition to adult probation supervision. Some agencies may refer to these staff as officers, agents, or caseworkers.

Supervisory functions

Staff (e.g., officers, agents, or caseworkers) supervise adult probationers either through face-to-face visits, mail, telephone, interactive voice recognition (IVR), or kiosks for routine reporting.

Attachment 19 – State-specific Listing of Public Probation Supervising Agencies (Single state example)

Initial Listing of Adult Probation Agencies

Colorado

County	Agency Name
Adams	Judicial District 17 (Adams & Broomfield Counties)
Adams	Westminster Municipal Court
Alamosa	Judicial District 12 (Saguache, Mineral, Rio Grande, Alamosa, Costilla, Conejos Counties)
Arapahoe	Aurora Municipal Court
Arapahoe	Judicial District 18 (Arapahoe, Douglas, Elbert, and Lincoln Counties)
Boulder	Judicial District 20 (Boulder County)
Boulder	Longmont Municipal Court Probation
Denver	Denver County Court Probation Division
Denver	Division of Probation Services State Court Administrator's Office
Denver	Judicial District 2A (Denver County)
Denver	Judicial District 2J (Denver County)
Eagle	Judicial District 5 (Eagle, Summit, Clear Creek, and Lake Counties)
El Paso	CO Springs Municipal Court Probation Office
Fremont	Judicial District 11 (Park, Fremont, Chaffe, and Custer Counties)
Garfield	Judicial District 9 (Rio Blanco, Garfield, and Pitkin Counties)
Jefferson	Judicial District 1 (Jefferson & Gilpin Counties)
Jefferson	Lakewood Municipal Court Probation
Jefferson	Wheat Ridge Probation Department
La Plata	Judicial District 6 (La Plata, San Juan, and Archuleta Counties)
Larimer	Judicial District 8 (Larimer & Jackson Counties)
Las Animas	Judicial District 3 (Huerfang & Las Animas Counties)
Mesa	Judicial District 21 (Mesa County)
Montezuma	Judicial District 22 (Dolores & Montezuma)
Montrose	Judicial District 7 (Delta, Gunnison, Montrose, Ouray, San Miguel, and Hinsdale Counties)
Morgan	Fort Morgan Municipal Court Probation
Morgan	Judicial District 13 (Logan, Sedgwick, Phillips, Morgan, Washington, and Kit Carson Counties)
Otero	Judicial District 16 (Crowley, Bent, and Otero Counties)
Prowers	Judicial District 15 (Cheyenne, Kiowa, Prowers, and Baca Counties)
Pueblo	Judicial District 10 (Pueblo County)
Routt	Judicial District 14 (Moffat, Routt, and Grand Counties)
Weld	Judicial District 19 (Weld County)

Attachment 20 – Telephone Contact Guide: Public Agency Web Survey Non-response Prompt

Q1. Hello, my name is <<NAME>>. I'm calling on behalf of the U.S. Department of Justice. May I please speak to <<RESPONDENT NAME>>?

- YES..... 1 GO TO Q3
- NOT AVAILABLE2 GO TO Q6
- NO LONGER AT AGENCY.....3 GO TO Q2
- ANSWERING MACHINE.....4 GO TO AM_MESSAGE 1
- REFUSED.....5 END CALL, CODE FOR CONVERSION

Q2. <<AGENCY HEAD NAME>> had instructed us to contact <<RESPONDENT NAME>>. May I please speak to <<AGENCY HEAD NAME>>?

- YES..... 1 IDENTIFY NEW RESPONDENT
- NOT AVAILABLE2 GO TO Q6
- ANSWERING MACHINE.....3 GO TO AM_MESSAGE 2
- REFUSED.....4 END CALL, CODE FOR CONVERSION

Q3. [IF NEEDED: Hello, my name is <<NAME>>. I'm calling on behalf of the U.S. Department of Justice.] <<AGENCY HEAD NAME>> has designated you to be the respondent for the Census of Adult Probation Supervising Agencies. We recently sent you a packet about the census. Did you receive the packet?

- YES..... 1 GO TO Q4
- NO.....2 GO TO Q7
- DON'T KNOW.....3 GO TO Q7
- REFUSED.....4 END CALL, CODE FOR CONVERSION

Q4. We haven't received your survey yet and the due date was <<DUE DATE>>. I'm calling to see if you will be able to complete the survey for your probation agency by <<NEW DUE DATE>>.

- YES..... 1 END CALL
- NEEDS MORE TIME2 GO TO Q5
- REFUSED.....3 END CALL, CODE FOR CONVERSION

Q5. Thank you for letting me know. Our data collection period is scheduled to end soon. When will you be able to complete the survey?

DATE: _____

END CALL

Q6. What day and time would be best for me to call back so that I can speak to <<RESPONDENT/AGENCY HEAD NAME]>?

DATE: _____

TIME: _____

END CALL

Q7. I would like to send another copy of the materials to you. Can you please confirm the spelling of your name and your address so that I can be sure it gets to you?

NAME: _____

ADDRESS:

ANSWERING MACHINE MESSAGE 1: Hello, this is <<NAME>>. I'm calling from Westat on behalf of the U.S. Department of Justice regarding the Census of Adult Probation Supervising Agencies. <<AGENCY HEAD NAME>> has designated you to be the respondent for the census. Recently, we sent materials about the census to you. We haven't received your survey yet and the due date was <<DUE DATE>>. I'm calling to see if you will be able to complete the survey and if there is anything we can do to assist you. Please contact us at your earliest convenience. Our toll free number is 888-329-8124.

ANSWERING MACHINE MESSAGE 2: Hello, this is <<NAME>>. I'm calling from Westat on behalf of the U.S. Department of Justice regarding the Census of Adult Probation Supervising Agencies. Recently, you designated <<RESPONDENT NAME>> as the respondent for your agency. I have been informed that <<RESPONDENT NAME>> is no longer at your agency and I would like to get the name and contact information for someone else who can respond to the census. Please contact us at your earliest convenience. Our toll free number is 888-329-8124.

Attachment 21 – Invitation Letter to Public Agency Designees, Telephone Mode (from BJS)

<<DATE>>

<<RESPONDENT NAME>>, <<RESPONDENT TITLE>>
<<AGENCY NAME>>
<<AGENCY STREET ADDRESS>>
<<CITY, STATE, ZIP>>

Dear <<RESPONDENT NAME>>,

The U.S. Department of Justice, Bureau of Justice Statistics (BJS) has launched the Census of Adult Probation Supervising Agencies (CAPSA). Westat, BJS's data collection agent for CAPSA, and the American Probation and Parole Association are also contributing to this important study. In response to a request that we made to <<agency head first and last name>>, you have been designated as the agency respondent for the census.

The 2014 CAPSA national study is a special project to identify all public and private adult probation supervising agencies in the United States and gather information about their characteristics. CAPSA will provide federal, state and local stakeholders with current information on the various functions of adult probation supervising agencies and their policies and practices of supervision to assist in their policy development and criminal justice planning. The CAPSA data and standard definitions are critical to providing a clear, comprehensive description of the organization of adult probation in the nation and the varying structures and nature of probation both across and within states. Participation is voluntary; however, including information from your agency is critical to ensure the census is complete, accurate, and useful to probation supervising agencies nationwide. The Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 USC 3732), authorizes the collection of these data.

An interviewer from Westat will contact you by telephone in the next week or so to complete the survey questionnaire. You can complete the interview at that time or contact us by telephone (888-329-8124) or email (bjscaps@westat.com) to schedule a call for a more specific time that would be convenient to you.

Please complete the survey by the due date, <<DUE DATE>>. Reviewing the enclosed materials should help in answering the survey questions:

- **List of topics addressed in the questionnaire.** This list provides an overview of the questions that you will be asked.
- **Study definitions.** Since CAPSA is a national study and agencies often use different terminology, we have developed a set of standard definitions for the purpose of this census.
- **List of adult probation supervising agencies in your state.** One of the survey questions asks you to identify agencies that are responsible for supervising adult probationers that are not listed on the enclosed list of agencies.

We understand that you have competing demands and may need to complete several steps to prepare your agency's data. Please let Westat know if this will impact submitting your survey data by the due date, and if we can assist you. If you are unable to submit your survey by telephone, please contact **Westat's CAPSA Agency Support Team at 1-888-329-8124** or by email at bjscapsa@westat.com.

Thank you in advance for your assistance with this important collection. We greatly appreciate your time and help to ensure the success of the 2014 CAPSA national study. If you have any questions about the census or this request, please contact Westat's CAPSA Agency Support Team. You can find more information about CAPSA on the BJS website at <http://www.bjs.gov/content/capsa.cfm>. Also, please feel

free to contact Lauren Glaze, BJS CAPSA Project Manager, at Lauren.Glaze@usdoj.gov or (202) 305-9628 with any questions.

Sincerely,

William Sabol, Ph.D.
Acting Director
Bureau of Justice Statistics

Lauren Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program, BJS

Enclosures

Attachment 22 – Telephone Contact Guide: Public Agency Telephone Survey Prompt

Q1. Hello, my name is <<NAME>>. I'm calling on behalf of the U.S. Department of Justice. May I please speak to <<RESPONDENT NAME>>?

- YES..... 1 GO TO Q3
- NOT AVAILABLE2 GO TO Q6
- NO LONGER AT AGENCY.....3 GO TO Q2
- ANSWERING MACHINE.....4 GO TO AM_MESSAGE 1
- REFUSED.....5 END CALL, CODE FOR CONVERSION

Q2. <<AGENCY HEAD NAME>> had instructed us to contact <<RESPONDENT NAME>>. May I please speak to <<AGENCY HEAD NAME>>?

- YES..... 1 IDENTIFY NEW RESPONDENT
- NOT AVAILABLE2 GO TO Q6
- ANSWERING MACHINE.....3 GO TO AM_MESSAGE 2
- REFUSED.....4 END CALL, CODE FOR CONVERSION

Q3. [IF NEEDED: Hello, my name is <<NAME>>. I'm calling on behalf of the U.S. Department of Justice.] <<AGENCY HEAD NAME>> has designated you to be the respondent for the Census of Adult Probation Supervising Agencies. We recently sent you a packet about the census. Did you receive the packet?

- YES..... 1 GO TO Q4
- NO.....2 GO TO Q7
- DON'T KNOW.....3 GO TO Q7
- REFUSED.....4 END CALL, CODE FOR CONVERSION

Q4. On average, we expect the interview to take about 65 minutes to complete. I'm calling to conduct the survey interview if this is a convenient time.

- YES..... 1 CONTINUE TO INTERVIEW
- NOT CONVENIENT.....2 GO TO Q5
- REFUSED.....3 END CALL, CODE FOR CONVERSION

Q5. That's fine. When will you be able to do the interview?

DATE: _____
TIME: _____

END CALL

Q6. What day and time would be best for me to call back so that I can speak to <<RESPONDENT AGENCY HEAD NAME>>?

DATE: _____
TIME: _____

END CALL

Q7. I would like to send another copy of the materials to you. Can you please confirm the spelling of your name and your address so that I can be sure it gets to you?

NAME: _____

ADDRESS:

ANSWERING MACHINE MESSAGE 1: Hello, this is <<NAME>>. I'm calling from Westat on behalf of the U.S. Department of Justice regarding the Census of Adult Probation Supervising Agencies. <<AGENCY HEAD NAME>> has designated you to be the respondent for the census. Recently, we sent materials about the census to you. I would like to conduct the interview with you as soon as possible. [IF PAST DUE: The due date was <<DUE DATE>>.] We will call again in a few days. If you prefer, please contact us to schedule a time that would be most convenient for you. Our toll free number is 888-329-8124.

ANSWERING MACHINE MESSAGE 2: Hello, this is <<NAME>>. I'm calling from Westat on behalf of the U.S. Department of Justice regarding the Census of Adult Probation Supervising Agencies. Recently, you designated <<RESPONDENT NAME>> as the respondent for your agency. I have been informed that <<RESPONDENT NAME>> is no longer at your agency and I would like to get the name and contact information for someone else who can respond to the census. Please contact us at your earliest convenience. Our toll free number is 888-329-8124.

Attachment 23 – Invitation Letter to Private Company Designees

<<DATE>>

<<RESPONDENT NAME>>, <<RESPONDENT TITLE>>
<<COMPANY NAME>>
<<COMPANY STREET ADDRESS>>
<<CITY, STATE, ZIP>>

Dear <<RESPONDENT NAME>>,

The U.S. Department of Justice, Bureau of Justice Statistics (BJS) has launched the Census of Adult Probation Supervising Agencies (CAPSA). Westat, BJS's data collection agent for CAPSA, and the American Probation and Parole Association are also contributing to this important study. In response to a request that we made to <<COMPANY HEAD NAME >>, you have been designated as the agency respondent for the census.

The 2014 CAPSA national study is a special project to identify all public and private adult probation supervising agencies in the United States and gather information about their characteristics. CAPSA will provide federal, state and local stakeholders with current information on the various functions of adult probation supervising agencies and their policies and practices of supervision. The CAPSA data and standard definitions are critical to providing a clear, comprehensive description of the organization of adult probation in the nation and the varying structures and nature of probation both across and within states. Participation is voluntary; however, including information from your agency is critical to ensure the census is complete, accurate, and useful to probation supervising agencies nationwide. The Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 USC 3732), authorizes the collection of these data.

The survey questionnaire is enclosed, along with a pre-addressed postage paid envelope. **Please complete and return the survey by the due date, <<DUE DATE>>.**

We understand that you have competing demands and may need to complete several steps for preparing your company's data. Please let Westat know if this will impact submitting your survey data by the due date, and if we can assist you. If you are unable to submit your survey by mail, please contact Westat's **CAPSA Agency Support Team at 1-888-329-8124** or by email at bjscapsa@westat.com.

Thank you in advance for your assistance with this important collection. We greatly appreciate your time and help to ensure the success of the 2014 CAPSA national study. If you have any questions about the census or this request, please contact Westat's CAPSA Agency Support Team. You can find more information about CAPSA on the BJS website at <http://www.bjs.gov/content/capsa.cfm>. Also, please feel free to contact Lauren Glaze, BJS CAPSA Project Manager, at Lauren.Glaze@usdoj.gov or (202) 305-9628 with any questions.

Sincerely,

William Sabol, Ph.D.
Acting Director
Bureau of Justice Statistics

Lauren Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program, BJS

Enclosures

Q1. Hello, my name is <<NAME>>. I'm calling on behalf of the U.S. Department of Justice. May I please speak to <<RESPONDENT NAME>>?

YES..... 1 GO TO Q3
NOT AVAILABLE2 GO TO Q6
NO LONGER AT COMPANY3 GO TO Q2
ANSWERING MACHINE.....4 GO TO AM_MESSAGE 1
REFUSED.....5 END CALL, CODE FOR CONVERSION

Q2. <<COMPANY HEAD NAME>> had instructed us to contact <<RESPONDENT NAME>>. May I please speak to <<COMPANY HEAD NAME>>?

YES..... 1 IDENTIFY NEW RESPONDENT
NOT AVAILABLE2 GO TO Q6
ANSWERING MACHINE.....3 GO TO AM_MESSAGE 2
REFUSED.....4 END CALL, CODE FOR CONVERSION

Q3. [IF NEEDED: Hello, my name is <<NAME>>. I'm calling on behalf of the U.S. Department of Justice.] <<COMPANY HEAD NAME>> has designated you to be the respondent for the Census of Adult Probation Supervising Agencies. We recently sent you a packet about the census. Did you receive the packet?

YES..... 1 GO TO Q4
NO.....2 GO TO Q7
DON'T KNOW.....3 GO TO Q7
REFUSED.....4 END CALL, CODE FOR CONVERSION

Q4. We have not yet received your questionnaire. The due date was <<DUE DATE>>. I can conduct the interview now if it is convenient. Otherwise, you can complete the questionnaire and return it to us by mail.

DO PHONE INTERVIEW 1 CONTINUE TO INTERVIEW
WILL RETURN BY MAIL.....2 GO TO Q5
REFUSED.....3 END CALL, CODE FOR CONVERSION

Q5. When do you think we should expect to receive your questionnaire?

DATE: _____

END CALL

Q6. What day and time would be best for me to call back so that I can speak to <<RESPONDENT/COMPANY HEAD NAME>>?

DATE: _____

TIME: _____

END CALL

Q7. I would like to send another copy of the materials to you. Can you please confirm the spelling of your name and your address so that I can be sure it gets to you?

NAME: _____

ADDRESS:

ANSWERING MACHINE MESSAGE 1: Hello, this is <<NAME>>. I'm calling from <<Westat/APPA>> on behalf of the U.S. Department of Justice regarding the Census of Adult Probation Supervising Agencies. <<COMPANY HEAD NAME>> has designated you to be the respondent for the census. Recently, we sent materials about the census to you. I would to find out when you might be able to complete the survey. The due date was <<DUE DATE>>. We will call again in a few days. If you prefer, please contact us to schedule a time that would be most convenient for you. Our toll free number is 888-329-8124.

ANSWERING MACHINE MESSAGE 2: Hello, this is <<NAME>>. I'm calling from <<Westat/APPA>> on behalf of the U.S. Department of Justice regarding the Census of Adult Probation Supervising Agencies. Recently, you designated <<RESPONDENT NAME>> as the respondent for your company. I have been informed that <<RESPONDENT NAME>> is no longer at your company and I would like to get the name and contact information for someone else who can respond to the census. Please contact us at your earliest convenience. Our toll free number is 888-329-8124.

Attachment 25 – Final Thank You Letter

<<DATE>>

<<HEAD NAME>>, <<HEAD TITLE>>
<<AGENCY/COMPANY NAME>>
<<COMPANY STREET ADDRESS>>
<<CITY, STATE, ZIP>>

Dear <<HEAD NAME>>,

On behalf of the Bureau of Justice Statistics (BJS), Westat, and the American Probation and Parole Association, we would like to thank you for your participation in the Census of Adult Probation Supervising Agencies (CAPSA), 2014. We truly appreciate your support and your <<agency's/company's>> efforts in completing the survey. Your participation and the data you provided will be used to produce statistics about the organization and administration of adult probation across the nation. The first BJS report from CAPSA is scheduled to be released in <<month>> 2015. At that time, you will be able to access the CAPSA report with the findings on the BJS website at: <http://www.bjs.gov/content/capsa.cfm>.

Thank you for your support of BJS' Corrections Statistics Program. We look forward to working with you in the future. In the meantime, if you have any questions, please feel free to contact Lauren Glaze, BJS CAPSA Project Manager, at Lauren.Glaze@usdoj.gov or (202) 305-9628.

Sincerely,

William Sabol, Ph.D.
Acting Director
Bureau of Justice Statistics

Lauren Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program, BJS

Attachment 26 – Data Retrieval Email, Initial Contact for Item Non-response

Subject: BJS 2014 Census of Adult Probation Supervising Agencies (CAPSA)

Dear <<RESPONDENT NAME>>,

I am contacting you today on behalf of the Bureau of Justice Statistics (BJS) regarding your <<agency's/company's>> 2014 Census of Adult Probation Supervising Agencies (CAPSA) survey that was submitted on <<SUBMISSION DATE>>. Specifically, the survey item(s) below were left blank and I would like to collect that information in order to consider the survey complete. In case it is helpful, I have attached a full list survey questions for reference.

<<2. In which branch of government is NAME located?

- 1 Executive branch
- 2 Judicial branch
- 3 Private
- 4 Other (Please describe) _____

17. Does your agency collect fees from any adult probationers either directly or through a collection agent?

► *Fees* are paid by probationers to cover the cost of operations and include, but are not limited to, supervision fees, program fees, drug testing fees, pre-sentence investigation (PSI) report fees, and risk or needs assessment fees.

- 1 No fees are collected
- 2 Collected directly by agency
- 3 Collected through a collection agent
- 4 Collected both directly and through a collection agent>>

Understanding that you are busy, please reply to this email and let me know when would be a good time for me to call you to collect your response(s). If you prefer, please do not hesitate to call me, toll-free, at 888-329-8124. Thank you for your support of BJS' statistical programs. I look forward to hearing from you.

Thank you,

<<STAFF NAME>>

Westat CAPSA Agency Support Team
Census of Adult Probation Supervising Agencies (CAPSA)
Email: bjscapsa@westat.com
Phone: 1-888-329-8124
Fax: 301-279-4508

Attachment 27 – Public Agency Data Retrieval Email, Initial Contact for Missing Lists

Subject: BJS 2014 Census of Adult Probation Supervising Agencies (CAPSA)

Dear <<RESPONDENT>>,

I am contacting you today on behalf of the Bureau of Justice Statistics (BJS) regarding your agency's 2014 Census of Adult Probation Supervising Agencies (CAPSA) survey that was submitted on <<SUBMISSION DATE>>. Specifically, when filling in the survey, you indicated that you would send a list of <<probation agencies, community residential facilities, and private probation companies>> operating in <<STATE>>. We have not received this information and would like it in order to consider your survey complete. Please email or fax the <<list/lists>> to bjscapsa@westat.com or 301-279-4508 at your earliest convenience.

Thank you for your support of BJS' statistical programs. If you have any questions or if I can provide any additional information, please do not hesitate to reply to this email or call me, toll-free, at 888-329-8124. I look forward to hearing from you.

Thank you,

<<STAFF NAME>>

Westat CAPSA Agency Support Team
Census of Adult Probation Supervising Agencies (CAPSA)
Email: bjscapsa@westat.com
Phone: 1-888-329-8124
Fax: 301-279-4508

Attachment 28 – Data Retrieval Email, Initial Contact for Other Issues

Subject: BJS 2014 Census of Adult Probation Supervising Agencies (CAPSA)

Dear <<RESPONDENT NAME>>,

I am contacting you today on behalf of the Bureau of Justice Statistics (BJS) regarding your <<agency's/company's>> 2014 Census of Adult Probation Supervising Agencies (CAPSA) survey that was submitted on <<SUBMISSION DATE>>. I have a few questions regarding the data therein. Specifically, <<CASE-SPECIFIC TEXT DESCRIBING PROBLEM>>. I have attached a full list survey questions for reference.

[IF NEEDED: Additionally, when filling in the survey, you indicated that you would send a list of <<probation agencies, community residential facilities, and private probation companies>> operating in <<STATE>>. We have not received this information and would like it in order to consider your survey complete. Please email or fax the <<list/lists>> to bjscapsa@westat.com or 301-279-4508 at your earliest convenience.]

Understanding that you are busy, please reply to this email and let me know when would be a good time for me to call you to discuss your <<agency's/company's>> survey. If you prefer, please do not hesitate to call me, toll-free, at 888-329-8124. Thank you for your support of BJS' statistical programs. I look forward to hearing from you.

Thank you,

<<STAFF NAME>>

Westat CAPSA Agency Support Team
Census of Adult Probation Supervising Agencies (CAPSA)
Email: bjscapsa@westat.com
Phone: 1-888-329-8124
Fax: 301-279-4508

Attachment 29 – Data Retrieval Email, Confirming Changes to Data

Subject: BJS 2014 Census of Adult Probation Supervising Agencies (CAPSA)

Dear <<RESPONDENT NAME>>,

Thank you for speaking with me about the 2014 Census of Adult Probation Supervising Agencies (CAPSA). Per our discussion, our CAPSA Agency Support Team has made the following changes to your survey responses.

- <<Changed Q2a from 2324 to 1203>>.
- <<Changed Q2b from 1799 to 932>>.

This email is for informational purposes only and does not require a response. If you disagree with these changes, or if we can provide any additional information, please contact me at 1-888-329-8124 or by email at bjscapsa@westat.com.

Thank you,

<<STAFF NAME>>

Westat CAPSA Agency Support Team
Census of Adult Probation Supervising Agencies (CAPSA)
Email: bjscapsa@westat.com
Phone: 1-888-329-8124
Fax: 301-279-4508

Attachment 30 – Alternative Closeout Letter, Submission but Incomplete Data Retrieval

<<DATE>>

<<HEAD NAME>>, <<HEAD TITLE>>
<<AGENCY/COMPANY NAME>>
<<AGENCY/COMPANY STREET ADDRESS>>
<<CITY, STATE, ZIP>>

Dear <<HEAD NAME>>,

Thank you for participating in the Bureau of Justice Statistics' (BJS) 2014 Census of Adult Probation Supervising Agencies (CAPSA). Westat received your agency's submission; however, some of the information is unclear or missing. Westat has been trying to reach <<you/your designee>> to clarify those items and BJS is now closing out the CAPSA collection. **Please contact Westat's CAPSA Agency Support Team at 1-888-329-8124 or by email at bjscapsa@westat.com to complete your <<agency's/company's>> submission.** Without clarification, BJS will estimate these data elements for your <<agency/company>>.

We hope to speak with you soon. Thank you for your support of BJS' Corrections Statistics Program. Please feel free to contact Lauren Glaze, BJS CAPSA Project Manager, at Lauren.Glaze@usdoj.gov or (202) 305-9628 with any questions.

Sincerely,

William Sabol, Ph.D.
Acting Director
Bureau of Justice Statistics

Lauren Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program, BJS

Attachment 31 – Alternative Closeout Letter, No Participation

<<DATE>>

<<HEAD NAME>>, <<HEAD TITLE>>
<<AGENCY/COMPANY NAME>>
<<AGENCY/COMPANY STREET ADDRESS>>
<<CITY, STATE, ZIP>>

Dear <<HEAD NAME>>,

We are writing to inform you that the Bureau of Justice Statistics (BJS) is closing out the collection of the 2014 Census of Adult Probation Supervising Agencies (CAPSA). We recently sent you a letter requesting your agency's participation in the Census of Adult Probation Supervising Agencies (CAPSA). A reply form and completed survey were due on <<DUE DATE>>. To date, we have not received your <<agency's/company's>> information. If at any time you are able to provide the data requested in the survey, please let us know and we will update our data file.

If you have any questions, please feel free to contact Lauren Glaze, BJS CAPSA Project Manager, at Lauren.Glaze@usdoj.gov or (202) 305-9628.

Sincerely,

William Sabol, Ph.D.
Acting Director
Bureau of Justice Statistics

Lauren Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program, BJS

Attachment 32 – Pilot Test Report



Census of Adult Probation Supervising Agencies

Pilot Test Report

Authors

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February 27, 2014

Prepared for: Lauren Glaze
Bureau of Justice Statistics

Prepared by:
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Rockville, Maryland 20850-3129
(301) 251-1500

Westat[®]

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Census of Adult Probation Supervising Agencies Pilot Test Report

1. Introduction

In preparation for the nationwide Census of Adult Probation Supervising Agencies (CAPSA), Westat conducted a pilot test of a sample of public and private probation agencies to identify ways to evaluate the survey questionnaire and data collection procedures. The American Probation and Parole Association (APPA) assisted with the collection of information from the private companies. A total of 60 public agencies and 12 private companies were invited to participate in the pilot test.^{1,2} The pilot test was designed to allow BJS and Westat to achieve the following goals and objectives:

- Test the functionality of data collection instruments: the online survey used to collect information from public agencies and the paper questionnaire used to collect information from private agencies, including survey response protocols for identifying agencies that are missing from the preliminary CAPSA roster.
- Determine the capacity of respondents to answer each question, identify sections of the questionnaires that are unclear, and examine the questions where problems of item nonresponse or inconsistent information might occur.
- Provide a forum for reviewing and evaluating questionnaire content and clarity with respondents through the follow-up interviews for data retrieval or to resolve inconsistencies.
- Determine the respondent burden associated with the survey process, including time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing responses.

Contact with agencies and companies began on June 25, 2013, after the Office of Management and Budget approved the pilot test through a generic clearance, with a mailing to agency and company heads. Public agencies were randomly assigned to either the web or telephone response mode; this was done to ensure that the questionnaire could be adequately tested using both modes. After 4 weeks, all nonrespondent public agencies were assigned for telephone follow-up efforts. Private companies were asked to respond to a mail questionnaire; they too were assigned to telephone nonresponse follow-up after 4 weeks. All data collection efforts, including contacts to resolve item nonresponse and data inconsistencies, ended on September 17, 2013.

This report summarizes the findings from the pilot test. In Section 2, we describe the sample of agencies and companies that were invited to participate in the pilot test. Section 3 presents the methodology used to contact agencies and companies and to collect the survey data from each group. Analysis focused on the goals and objectives highlighted above, and in Section 4 we present the findings related to the survey data (e.g., comparison of expected agency profiles and reported characteristics, consistency of responses to questions on authority and responsibility, etc.). We

¹ An initial sample of 48 public agencies was selected. After 2 weeks of follow-up effort, 12 of the agencies were replaced due to lack of response or inability to participate. Efforts to recruit and collect data from the 36 original and 12 replacement agencies lasted throughout remainder the data collection period.

² Unless otherwise noted, in this report all references to an “agency” or “agencies” include both public agencies and private companies.

discuss findings related to the survey process in Section 5, for example we describe the level of item nonresponse and the need for data retrieval. Finally, in Section 6, we present recommendations for changes to the survey questionnaires and procedures. There are also several appendixes. The first includes a listing of the 60 public agencies and 12 private companies that were asked at some point to participate in the pilot test (Appendix A); the 60 public agencies include 12 from the initial sample that were replaced due to nonresponse. Other appendixes contain the questionnaires (Appendix B), copies of all correspondence materials sent to agency and company staff (Appendix C), and comments and other anecdotal information collected during the data collection effort (Appendix D).

2. Pilot Test Sample

Westat selected a purposive initial sample of public probation supervising agencies and private companies known to supervise adult probationers. (See Appendix A for a listing of all agencies and companies asked to participate in the pilot test.) Public agencies were chosen to represent the four branches and levels of government: executive-state, executive-local, judicial-state, and judicial-local. Other characteristics that were considered included the agency’s status as a subsidiary agency or as supervising only juvenile probationers.³ The 12 private companies were selected based on whether they were believed to provide services across several states or several counties. Table 1 shows the distribution of agencies and companies in the initial selection.

Table 1. Initial sample of agencies and companies, by type

Public	48
Executive	18
State	13
Local	5
Judicial	25
State	11
Local	14
Ineligible	5
Juvenile	2
Subsidiary	3
Private	12
Total	60

Approximately 2 weeks after the initial contact attempt with public agency heads, 12 agencies were replaced due to nonresponse or inability to respond. The 2 week period was imposed so that the agencies selected as replacements would have sufficient time to respond within the data collection period. The replacements were selected to match the initial sample cases on the key characteristics (e.g., level and branch).

³ To classify public agencies for selection, we used information from available sources such the Annual Survey of Probation and Parole (ASPP) data from the 2012 survey year, commercial databases and directories, state and local government websites and summary reports from the National Institute of Corrections, the Vera Institute, the BJS’s State Court Organization report, and other information available.

3. Data Collection Methodology

3.1 Survey Instruments

Three data collection instruments were used in the pilot test. Agency heads and company heads were asked to complete a paper form to update their contact information and designate staff who would respond to the survey. We fielded a web survey for public agencies and a mail survey for private companies to collect the CAPSA data (see Appendix B).

The Agency Information Form (AIF) and Company Information Form (CIF) included the contact information on file for the agency and company, for example agency/company head name and agency/company address. Space was provided on the form to update the file information and to provide the name and contact information for the designated respondent. In addition, public agencies were asked to indicate whether or not the respondent would be able to respond to the survey online.⁴

The public agency questionnaire was estimated to take 50 minutes to complete, including the time for reviewing instructions, searching existing data sources, and gathering the data needed, and entering and reviewing the survey responses. Survey content focused on the organizational structure of the agency (e.g., branch and level of government) and probation functions performed by the agency, authority and operational responsibilities, functions of supervision performed by the agency, and supervision officer practices. Agencies were asked to provide counts of probation officers and probationers. Additional questions asked respondents to identify other public agencies in their state, private companies with which their agencies worked, and correctional residential facilities in their state with responsibility for supervising probationers. The survey provided key definitions and a glossary prior to the first question and repeated the definitions throughout the survey.

The private company questionnaire was shorter than the public agency questionnaire, and was estimated to take about 30 minutes to complete. Like the public agency questionnaire, this questionnaire asked about the probation functions performed by the company, the number and types of probationers under their supervision, and methods used by the company to supervise the probationers. However, the private company questionnaire did not include questions used to assess independence (i.e., authority and operational responsibility), the ability to impose conditions of probation or grant early positive discharge or extend a period of supervision, policies related to supervision officers, or funding sources. Unlike the public agency questionnaire, the companies were asked to report the number of states in which the company supervised adult probationers, the types of government agencies (i.e., level and branch) with which they had contracts, and the types of government oversight. The survey provided definitions with each question as needed.

None of the instruments were converted for telephone administration. Rather, for the nonresponse follow-up efforts, interviewers were trained to administer the instruments in their original form.

⁴ Westat's experience with the ASPP suggested that nearly 15 percent of agencies would not be able to respond online due to lack of access to the Internet or firewalls that would prevent completion of the web survey.

3.2 Correspondence and data collection

As described above, we recruited agencies and companies in waves. The first wave took place at the start of data collection, on June 25, as we contacted an initial group of 48 agencies and 12 private companies. If agencies and companies were unresponsive or declined to participate, then they were replaced on a flow basis. Figure 1 shows the flow of the data collection activities. In this section, we provide greater detail on the activities shown in the figure. Copies of the materials included in survey packets are provided in Appendix C.

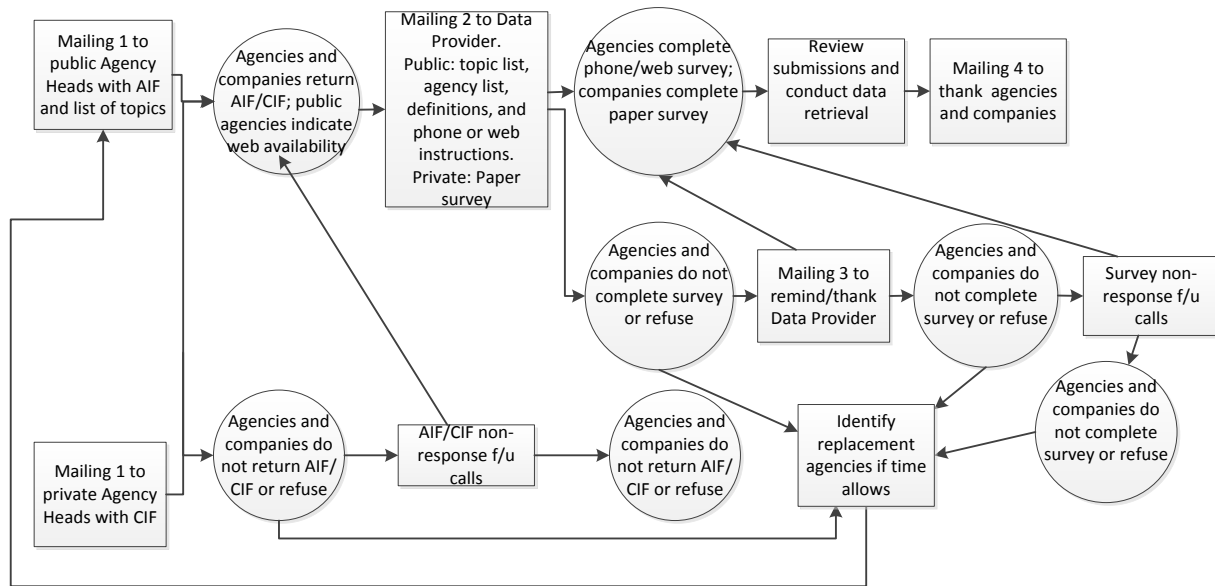


Figure 1- Flow chart of data collection activities

Agency support. Throughout the data collection period, beginning with the first mailing, an Agency Support Team (AST) was available to participants by telephone and email. The AST fielded general and specific questions and concerns. For example, the AST verified agency contact information, answered questions about who within an agency should complete the survey, handled return telephone calls from agencies that were contacted for nonresponse follow-up, and clarified confusion about survey definitions. The AST also contacted respondents to clarify survey responses or obtain answers to questions that were initially left unanswered.

Mailing 1 – Initial recruitment letter. Forty-eight public agencies and 12 private companies were elected for the pilot test. On June 25, we mailed a packet to their agency and company heads. The packets contained a cover letter which described CAPSA in general, the purpose of the pilot test, and details about what would be requested of participating agencies. The packets also included either an AIF or CIF; heads were asked to complete and return the AIF or CIF via fax or email. The packet sent to public agency heads also contained a list of survey topics intended to assist in the selection of an appropriate respondent. The private company survey was much simpler and therefore, there was no need to include a list of survey topics.

Five of the state-level agencies (MD, IA, MA, MI, and PA) contacted by BJS regarding potential participation of lower-level agencies under their jurisdiction in CAPSA asked to be informed about

which agencies were selected. In each case, we were seeking the participation of the state-level agencies as well as that of at least one lower-level agency. In these states, Westat mailed a packet to each of the state-level agency heads to inform them of the selections and to offer them the opportunity to coordinate the participation of agencies within their purview. The packets also included two enclosures for each agency of interest (i.e., the state-level and lower-level agencies): the agency-specific recruitment letter and attendant AIF. The state-level agencies were asked to complete and return the AIF on behalf of each agency, forward the materials to each agency, or handle the materials for their state-level agency and advise Westat to contact the lower-level agency directly. Two states (MD and MI) instructed Westat to contact the lower-level agency directly while the other three coordinated the return of forms for agencies in their state (IA, MA, and PA).

AIF/CIF follow-up and return. All agencies and companies were asked to return the AIFs and CIFs by early July. Those that did not return the form or indicate that they would not participate were contacted by telephone to follow-up on the request. Specifically, Westat data collectors called the agency and company heads to confirm that they had received the materials and to ascertain whether they would participate. Heads that agreed to participate were asked to provide the AIF or CIF information during the call. APPA handled the majority of follow-up calls to private company heads. If an agency or company head had not received the initial recruitment letter and enclosures, then the materials were resent via email or mail, depending on the individual's preference.

A total of 60 public agencies were contacted for the pilot test: 48 agencies were initially selected and 12 were contacted as replacements. Among these 60 agencies, 46 completed an AIF and all of them indicated that their staff could complete the survey online. Among the 14 agencies that did not agree to participate at the AIF stage, 9 were nonresponsive and 5 refused to participate. We sent email messages to the heads of the 9 nonresponsive agencies, informing them that due to time constraints, we were no longer seeking their participation.

Reasons for refusal included a sense that the survey did “not apply” to the agency or company (e.g., the agency works only with juveniles), staff were too busy, and the study would not benefit the agency or company.⁵

Mailing 2 – Invitation to data provider (designated respondent). By completing the AIF or CIF, agency and company heads designated a survey respondent.⁶ Westat mailed a survey invitation packet to the designated survey respondents as they were identified.

The public agency survey packets contained the following materials: cover letter, survey topic list, state-specific list of known probation agencies, survey definitions page, and instructions to complete the survey via web or telephone (depending on the mode assignment). The cover letter indicated a survey due date approximately 3 weeks after the date the letter was sent. Web respondents were directed to the survey website and provided with a PIN to log into the survey. Telephone respondents were advised that they would be contacted by a data collector who would schedule an appointment to conduct the survey.

The private company packet contained a cover letter and the survey questionnaire. The cover letter

⁵ One agency, the Idaho Supreme Court, stated that the study would not benefit them.

⁶ In some cases, the agency or company head designated him/herself as the survey respondent.

instructed designated respondents to complete the survey and return it via mail, scanned email attachment, or fax by a due date approximately 3 weeks later.

Mailing 3 – Thank-you/Reminder. Approximately 2 to 3 weeks after sending each designated respondent the survey invitation, we sent a reminder/thank you letter. This letter served a dual purpose of thanking those who had already completed their surveys and reminding those who had not of the upcoming due date. Following this mailing, we telephoned the remaining nonrespondents. During the call, agencies assigned to the web survey were reminded to complete the survey and agencies assigned to the telephone survey were asked to either schedule an appointment or to complete it during the call. As the data collection period drew to a close, we asked all nonrespondents to complete the survey by telephone, regardless of whether they were initially assigned to the web or telephone mode. For the CIF nonresponse follow-up effort, APPA contacted the private companies that had not returned their surveys.

Survey response and data quality follow-up. Active follow-up with all agencies and companies ended on August 15, 5 weeks after the first survey invitation packets were sent to designated respondents. Four public agencies refused at this stage of the pilot test. Reasons for refusal included a sense that the survey did “not apply” to the agency or company (e.g., the agency does not provide probation services) and staff were too busy.

We received completed surveys from 37 public agencies and 7 private companies. Among the 46 public agencies that completed an AIF, 3 designated respondents refused to participate and 6 were nonresponsive during the data collection period. Respondents were asked to report the amount of time required to compile their data and report it on the survey. The average reported response time to the public agency survey was 65 minutes. Twenty-one public agencies completed the web survey and 16 completed it by telephone. Their average reported response times were 64 and 68 minutes, respectively. Among the 6 private company respondents (who completed the self-administered paper-and-pencil questionnaire), the average reported response time was 31 minutes.⁷

Completed surveys were reviewed to identify any issues (e.g., item nonresponse, internal inconsistencies) that would require follow-up. Of the 37 public agency surveys that we received, 30 had at least one issue and of the 7 private company survey, 1 required follow-up.

Mailing 4 – Final thank-you letter. On September 17, a final thank-you letter was sent to the heads of the agencies and companies that participated, thanking them for their involvement in the CAPSA pilot test.

4. Findings Related to Survey Responses

An important goal of the pilot test was to evaluate the quality of responses to the survey questions and identify improvements to survey content or question wording if needed. While it was impossible to measure the true validity or reliability of the survey data, quality can be assessed by comparing the survey data to data from external sources and by examining levels of internal consistency among responses provided by each respondent.

⁷ The burden estimates printed on the questionnaires were 50 minutes for public agencies and 30 minutes for private companies.

In this section, we discuss findings related to the core elements of the surveys:

- Organizational structure and functions performed by agencies
- Authority and operational responsibility
- Methods of supervision
- Supervision officers and populations supervised

Results from public agencies and private companies are discussed separately.⁸

4.1 Public agency survey responses

4.1.1 Organizational structure

All 37 public agencies that completed the survey responded to the survey questions asking about their branch and level of government. Nearly all of the agencies provided responses that defined their agencies without the need for post-submission data editing. Two respondents classified their agencies branch as “other.” We were able to recode these responses to “judicial” without follow-up based on the agency name (i.e., Tucson City Court and 5th Judicial District Department). Table 2 presents the final classification of the agencies by branch and level of government.

Table 2. Branch and level of government reported by respondents, by type

Executive	21
State	17
Local	4
Judicial	16
State	5
Local	11
Total	37

We compared the branch and level of government as reported by the respondents with the information maintained in the preliminary roster of agencies. Only 1 respondent – 20th Judicial District Probation Department (Colorado) – provided a response that was unexpected. This respondent classified the agency as a judicial/state agency, whereas we expected it to be classified as a judicial/local agency. The respondent explained that agency staff are employed by the state and assigned to districts that cover one or more counties. Based on their status as state employees, he classified the agency as a state agency.

⁸ Findings related to recommendations for changes to the survey instruments appear in bold font in this section. A more detailed discussion of the recommendations appears in Section 5.

Responses about subsidiary status were questionable for some agencies. Thirty agencies answered “No” to the question and 7 answered “Yes.” One of those that answered “Yes” – Iowa Department of Corrections – had initially answered “No,” but changed their answer during follow-up contact with Westat. Among the 7 self-identified subsidiary agencies, 5 matched our expectations based on external sources. However, New Mexico Corrections Department and 20th Judicial District Probation Department (Colorado) both self-identified as subsidiary agencies. Follow-up with these agencies to inquire about their responses was not successful.

Agencies were asked to identify the various functions of adult probation that they perform (question 6) by answering “Yes” or “No” with regard to four functions: administrative, reporting, supervisory, and other.⁹ During follow-up and data processing, we reviewed the “Other” responses provided by 13 respondents. Examples of these responses included:

- a) Programming, sex offender treatment
- b) Grant administration
- c) Presentence investigation
- d) Substance abuse, evaluations and treatment
- e) Serve federal offenders under work release
- f) Offender program dev., grant dev., ISC, IID program
- g) Drug court, training staff
- h) Provide court services
- i) Offenders entering an “under advisement” pleas
- j) TDCJ is the oversight entity for 122 prob. Departments
- k) Investigations, collection of fee/fines
- l) Interstate compact, emergency preparedness

Some of these responses were recoded using existing response categories. For example, responses b, f, and j were recoded under “administrative functions, such as record storage and maintenance, budget preparation...”

Agency Type Used for Analysis

To examine the survey data in relation to the type of agency reporting, we created an analysis variable, AGENCYTYPE, based on the reported branch (question B2) and level (question B3) of government reported by the respondent. There are 4 categories: executive/state, executive/local, judicial/state, and judicial local. The variable reflects post-submission edits to 2 agencies and maintains the unexpected description of 1 agency, as described

⁹ Seven agencies appropriately skipped this question based on routing specifications for self-identified subsidiary agencies within the survey instrument. These seven agencies are excluded from the analysis of question 6 presented in this discussion.

Table 3 presents the distribution of responses once all recoding was completed. All but three of the agencies that were eligible for this question reported performing the administrative functions. The Division of State Court (Indiana) answered “No;” but this was likely an error in reporting. The others were the Idaho Supreme Court and Texas Juvenile Justice Department. Tucson City Court, Idaho Supreme Court, and Texas Juvenile Justice Department were the only agencies to answer “No” to the item on the reporting function.

Table 3. Function of probation performed, by agency type

	Executive/ state	Executive/ local	Judicial/ state	Judicial/ local
Number of agencies	14	3	4	9
Function				
Administrative ^a	13	3	2	9
Reporting ^b	13	3	3	8
Supervisory ^c	9	3	0	8
Other	8	1	0	4

^a Such as record storage and maintenance, budget preparation, personnel management or similar clerical or management activities.

^b Such as data collection and reporting activities, for example the preparation of monthly or annual reports.

^c Where staff supervise adult probationers either through face-to-face visits, mail, telephone, or electronic means.

Of the 30 agencies responding to question 6, 10 indicated that they did not perform supervision:

- Probation Division of the Administrative Office of Illinois
- Division of State Court (Indiana)
- Office of the Commissioner of Probation (Massachusetts)
- Michigan Department of Corrections
- Division of Criminal Justice Services (New York)
- Oregon Department of Corrections
- Texas Department of Criminal Justice
- Benton County District Court Probation (Washington)
- Idaho Supreme Court
- Texas Juvenile Justice Department

4.1.2 Authority and Operational Responsibility

The analysis presented in this section focuses on the data needed to define agencies as independent – having the ability to make decisions about budgeting, staffing, and adult probation policies, and the operational responsibility for implementing those decisions. Six questions were asked to determine the extent of an agency’s authority and operational responsibility (questions 9 through 14); item c in each question identified agencies that possessed such authority or responsibility. The

other items in each question allowed respondents to indicate that the authority or responsibility lies with the legislature, a higher-level agency, a lower-level agency (if appropriate to the question topic), or some “other” entity.

Consideration should be given to providing more instruction (e.g., examples) to the response options used in the authority and responsibility questions. Before we analyzed the data provided by respondents, we first reviewed the “Other” responses to each of the questions. Respondents reported the following types of “Other” entities:

- a) County board of commissioners/county board of supervisors/local board (5 agencies)
- b) County court administration (5 agencies)
- c) Department of corrections (4 agencies)
- d) County probation (3 agencies)
- e) Mayor and metro council (1 agency)

For our analysis, we recoded responses a) and b) above as “higher level” for items that asked about authority to make decisions. Once these items were recoded, 8 agencies remained that had selected “Other” to one or more of the domains.

Analysis then turned to the distribution of affirmative responses across the 6 items to determine if they differentiated the extent of independence across domains and agencies. Based on routing specifications within the survey instrument, 28 responding agencies should have responded to this set of questions. All agencies reported having authority over or responsibility for at least one of the domains. Initially, two of these agencies did not respond to one or more of the items – Arkansas Department of Community Corrections (by telephone) and Office of the Commissioner of Probation (Massachusetts) (by fax). However, these agencies did provide responses during follow-up.

Among all agency types, the authority to set budgets was relatively uncommon, ranging from just 2 out of 13 executive/state agencies reporting the authority to 5 out of 9 judicial/local agencies. Similar proportions were reported for authority to set staffing. Conversely, having authority to set policies was nearly universal among all agency types. Overall, whereas authority to set budgets and staffing appeared to be rarely assigned to the agencies, they typically retained operational responsibility for these domains, as well as implementing policies.

Table 4. Agency authority and responsibility for domains, by agency type

	Executive/ state	Executive/ local	Judicial/ state	Judicial/ local
Number of agencies	13	3	3	9
Domain				
Budget				
Authority to set	2	0	1	5
Operational responsibility	12	3	1	9
Staffing				
Authority to set	3	0	2	6
Operational responsibility	13	3	2	9
Policies				
Authority to set	11	3	3	9
Operational responsibility	9	3	2	9

To assess the quality of the data collected with these questions, we compared the level that had authority to make decisions to the level that had operational responsibility for the different domains. The expectation is that the level with authority to make decisions will be the same as or higher than the level with responsibility to implement those decisions. The results support this hypothesis. Across all comparisons, there was only one instance where a lower level was reported as having authority compared to a higher level with operational responsibility: Georgia Department of Corrections reported that a higher level agency had authority to establish policies and the legislature had operational responsibility for implementing the policies. When asked to specify the higher level agency, the respondent entered “Board of Corr. (appointed by Gov.) and our agency.”

Respondents were also asked to report sources of funding used to support adult probation (question 15); 10 sources were listed in the question. To assess the quality of the data from this question, we compared the level of government of the agency to the level of government associated with the funding source.

Before analysis, we examined the instances of “Other” responses. Only 3 respondents identified another source of funding; these sources included:

- a) Asset forfeiture
- b) Assessment of fines and court costs collected (item was recoded into “court costs”)
- c) Metropolitan government (combined city/county) (item was recoded into “county sources” and in “city and municipal sources”)

Based on routing specifications within the survey instrument, 28 responding agencies should have been asked this set of questions. Three agencies failed to respond to one or more items: Office of the Commissioner of Probation (Massachusetts) responded to only 1 of the 10 items, Ramsey County Community Corrections (Minnesota) and General Sessions Court Probation Department (Tennessee) both failed to answer 1 item. Arkansas Department of Community Corrections did not respond to any items initially; responses were obtained through follow-up.

Table 5. Funding sources for adult probation, by agency type

	Executive/ state	Executive/ local	Judicial/ state	Judicial/ local
Number of agencies	13	3	3	9
Funding source				
Federal grant	7	2	1	3
Federal sources other than federal grant	3	1	0	0
State grant	2	2	1	5
State sources other than state grant	10	2	1	5
County sources	1	3	1	4
City or municipal sources	0	1	0	2
Court costs paid by adult probationers	2	2	1	5
Fines paid by adult probationers	2	2	1	3
Fees paid by adult probationers	7	3	1	6
Other sources	2	0	0	1

The survey data from this question are consistent with the notion that funding would typically come from a source at the same or higher level as the agency. Only one executive/state agency (Minnesota Department of Corrections) and one judicial/state agency (Probation Division of the Administrative Office of Illinois) reported receiving funding from county sources.

4.1.3 Methods of supervision

It was possible to assess the quality of question 6c (supervision of adult probationers “either through face-to-face visits, mail, phone, or electronic means”), question 18 (use of mail, telephone, text, and email), and question 19 (use of face-to-face) by examining the internal consistency of the respondents’ answers. All agencies that reported “Yes” to question 6c should have answered affirmatively to one or more of the items in question 18 and question 19. The survey data indicate that the questions performed as expected.

Table 6. Supervision methods employed, by agency type

	Executive/ state	Executive/ local	Judicial/ state	Judicial/ local
Number of agencies reporting supervisory functions	9	3	0	8
Method				
Mail	8	3	n/a	8
Telephone	7	3	n/a	8
Text	1	1	n/a	3
Email	3	2	n/a	5
Face-to-face	9	3	n/a	8

The responses to these questions also demonstrated “face validity.” That is, the frequencies seem realistic given that agencies likely rely on a combination of traditional methods of supervision and experimentation with emerging technologies. As shown in table 6, 20 agencies reported performing supervisory functions in question 6; no judicial/state agencies reported performing these functions. Supervision by face-to-face contact was reported by all 20 agencies; 16 agencies reported that agency

staff conducted the contacts and 4 agencies reported that both agency staff and third party contractors performed the contacts (data not shown in table). Supervision by mail and telephone were also nearly universal. Supervision by text and email were less common, especially among executive/state agencies.

The survey responses to question 23, asking about the use of various types of risk and needs assessments, do not lend themselves to any type of internal consistency checks. Nevertheless, we did examine the reported frequencies with which respondents affirmed the use of each type of assessment; we also examined the frequency with which respondents reported the use of an “Other” type of assessment.

Table 7 shows the distribution of reported use of assessment methods by agency type. Fifteen of the agencies that reported performing supervisory functions of adult probation indicated use of standardized risk or needs assessment (such as the LSI-R or COMPAS) to determine level, type, or conditions of supervision (table 7). Six agencies reported the use of agency-developed assessments, and 7 agencies indicated the use of staff judgment.

Table 7. Use of risk/needs assessment methods, by agency type

	Executive/ state	Executive/ local	Judicial/ state	Judicial/ local
Number of agencies reporting supervisory functions	9	3	0	8
Method				
Standardized assessment	7	2	n/a	6
Agency-developed assessment	2	0	n/a	4
Staff judgment	3	1	n/a	3
Other	4	1	n/a	0

Consideration should be given to ways of reducing the frequency of “Other” responses.

Five of the 20 agencies that supervised adult probationers reported that their agencies used some other type of assessment tool. These respondents specified the following tools:

- a) ORAS (2 agencies)
- b) Other assessments for varying populations
- c) Texas Christian University assessments
- d) Sentencing judge/court order/statute

We were unable to recode these responses into the existing response categories.

Questions 24 and 25 asked about the provision of specialized services to sex offenders and mentally ill probationers. Respondents were asked to report if such services were provided, and if they were, to indicate whether the services were provided by the agency, by a third party, or by both the agency and a third party. Response patterns indicate that there is variation in service provision by agency type. In addition, some agencies that reported providing specialized services provided them to both populations while others provided them to only one population.

Table 8 shows that respondents from each agency type endorsed nearly all of the provider types for each service. For example, one or more executive/state agency reported that services to sex offenders were not provided (2), provided by the agency (5), provided by a third party (1), or provided by both the agency and a third party (1).

Table 8. Specialized services for sex offenders and mentally ill probationers, by provider and agency type

	Executive/ state	Executive/ local	Judicial/ state	Judicial/ local
Number of agencies reporting supervisory functions	9	3	0	8
Services for sex offenders				
Not provided	2	1	n/a	2
Provided by agency	5	0	n/a	2
Provided by third party	1	1	n/a	1
Provided by both agency and third party	1	1	n/a	3
Services for probationers with mental health issues				
Not provided	2	1	n/a	2
Provided by agency	5	0	n/a	2
Provided by third party	2	0	n/a	1
Provided by both agency and third party	0	2	n/a	3

In addition, we noted that most but not all agencies gave the same response to both questions on service provision. For example, if the agency reported that a third party provided services to sex offenders, that agency was likely to report that a third party provided services to mentally ill probationers as well. There were three exceptions to this pattern:

- Louisiana Department of Corrections, Probation and Parole reported that no specialized services were provided to sex offenders, but that a third party provided services to mentally ill probationers.
- Minnesota Department of Corrections reported that both the agency and a third party provided services to sex offenders, but that no specialized services were offered to mentally ill probationers.
- Ramsey County Community Corrections (Minnesota) reported that a third party provided services to sex offenders and that both the agency and a third party provided services to mentally ill probationers.

Five questions were asked to gather information on agencies' roles in setting terms and conditions of supervision (questions 26, 27, 28a, 28b, and 29). Generally, the 3 executive/local agency respondents reported a very limited role in setting terms and conditions. Among this group, the only agency reporting any role was Seminole County Probation (Florida); that respondent indicated that the agency could impose a period of incarceration without appearing before a judge or court.

Table 9. Agency role in setting terms and conditions of supervision, by agency type

	Executive/ state	Executive/ local	Judicial/ state	Judicial/ local
Number of agencies providing supervisory functions	9	3	0	8
Imposition of standard conditions	2	0	n/a	7
Imposition of special conditions	4	0	n/a	6
Grant of early positive discharge	2	0	n/a	1
Extension of period of supervision				
Only if terms not yet satisfied	1	0	n/a	0
In other situations	1	0	n/a	0
Imposition of a period of incarceration	5	1	n/a	2

Other findings of note include:

- Two agencies reported the ability to impose standard conditions without having the ability to impose special conditions (Allegheny County Adult Probation Services [Pennsylvania]; South Carolina Department of Probation, Parole, and Pardon). On the other hand, 3 agencies reported the ability to impose special conditions without having the ability to impose standard conditions (Georgia Department of Corrections; Louisiana Department of Corrections, Probation and Parole; New Hampshire Department of Corrections, Division of Field Services).
- Ability to impose special conditions was reported more often than ability to impose standard conditions by executive/state agencies (2 out of 9 versus 4 out of 9, respectively). The abilities were more consistent among judicial local agencies, where 7 of the 8 agencies can impose standard conditions and 6 can impose special conditions.
- Among all 20 respondents to this series of questions, only 3 agencies reported the ability to grant early positive discharge and only 1 reported the ability to extend a period of supervision (1). Eight of the 20 agencies reported having the ability to impose a period of incarceration without appearing before a judge or court.

4.1.4 Supervised populations and officer counts

Respondents were asked to report the types of populations they supervised on June 30, 2013, as well as the number of probationers under supervision and the number supervision officers working in the agency as of that date.

Consideration should be given to adding to the definitions or examples of populations provided in the questionnaire categories. Eleven of the 20 agencies that supervised probationers reported “Other” populations, including:

- a) Pretrial diversion court/diversion (3 agencies)
- b) Adults on probation for summary offense
- c) Boot campers from ADC, supervision of drug courts
- d) Home confinement, restitution only/Home incarceration/Inmates on administrative home confinement (3 agencies)

- e) Parole, work release, prison status
- f) Offenders with straight sentences, no probation
- g) Lifetime "monitoring" of GPS for some sex offenders

The items in a, e, g, were recoded because they aligned with one of the specified response categories for the survey item. We were unable to recode the other six responses without additional information. The data presented in Table 10 show the distribution of populations supervised by agency type, after the "Other" population data were recoded.

Table 10. Populations supervised, by agency type

	Executive/ state	Executive/ local	Judicial/ state	Judicial/ local
Number of agencies providing supervisory functions	9	3	0	8
Adults on pretrial status awaiting trial	3	2	n/a	6
Adults whose criminal proceedings have been suspended	4	2	n/a	6
Adults on probation for a misdemeanor	6	3	n/a	8
Adults on probation for a felony	9	3		6
Adults on parole or other post-custody release	8	2	n/a	2
Juveniles	2	3	n/a	0
Other populations	4	1	n/a	1

Consideration must be given to methods of preventing and resolving inconsistencies in the data on probationer counts. Table 11 is provided as context for the discussion of the probationer population data; it shows the average numbers of probationers reported in the survey by probationer type and agency type.

Table 11. Average supervised population, by population type and agency type

	Executive/ state	Executive/ local	Judicial/ state	Judicial/ local
Number of agencies providing supervisory functions	9	3	0	8
Average total supervised population	46,900	12,300	n/a	24,100
Average adult probation population	36,900	8,900	n/a	24,000
Average misdemeanant population	5,600	3,000	n/a	9,100
Average felon population	33,100	6,000	n/a	19,800

Summary data provided by the respondents (by agency type) conform to expectations that the total supervised population will be equal to or greater than the population of adult probationers, and that the total adult probation population will be equal to or greater than the sum of the misdemeanant and felon populations. However, the summary data disguise discrepancies in the data reported at the agency level.

Five of the 20 agencies that supervised adult probationers provided inconsistent population counts (Table 12). Two of these agencies, Montgomery County Adult Probation (Ohio) and South Carolina Department of Probation, Parole and Pardon, reported total populations that were less than the number of adult probationers supervised (differences of 1,005 and 12,872, respectively). Three other agencies reported total adult probation counts unequal to the sum of the adult misdemeanant

and adult felon populations. These included Allegheny County Adult Probation Services (Pennsylvania), Pennsylvania Board of Probation and Parole, and Harris County Supervision and Corrections Department (Texas). The differences were 1,401, 111, and -450, respectively.

Table 12. Supervised population data discrepancies, by agency^a

	Total supervised population	Adult probationers supervised	Adult misdemeanor population	Adult felon population
Montgomery County Adult Probation	3,110	4,115	154	3,961
Allegheny County Adult Probation Services	25,415	25,415	15,520	8,494
Pennsylvania Board of Probation and Parole	37,971	8,114	5,229	2,774
South Carolina Department of Probation, Parole and Pardon	34,657	47,529	13,042	34,487
Harris County Supervision and Corrections Department	46,521	44,550	22,000	23,000

^aShading denotes inconsistent population data.

Data on population counts, comparing those reported in the pilot test to those reported in the ASPP, required further examination. Significant differences were found among the 11 agencies that reported data in both collections (table 13). Differences in excess of 10 percent or more in the reported number of adult probationers were present in 7 of the 11 agency reports.

- The largest discrepancy in terms of total adult probationer population was from Minnesota Department of Corrections; the difference between the populations reported in ASPP and in CAPSA was nearly 91,000 (527%). During follow-up, the respondent explained that the differences were due to the fact that on the ASPP, the DOC reports for the state and all counties. On CAPSA, the DOC reported only for the state-supervised probationers, not those supervised by the counties.
- The respondent from the New Hampshire Department of Corrections, Division of Field Services suggested that the differences between the ASPP and CAPSA data were related to the fact that the CAPSA data were estimates. The IT staff person was unavailable during the CAPSA collection period so actual counts could not be obtained or reported. (Since the national study will have a much longer collection period than the pilot test, this problem should be alleviated.)
- South Carolina data showed lower counts on ASPP than on CAPSA. During follow-up, the respondent explained that the differences were likely due to the fact that non-reporting probationers are not reported in ASPP, but they were included in CAPSA. He noted that CAPSA counts reflect all probationers under supervision, including those on split-sentence, pending charges, long-term medical treatment, and not guilty by reason of insanity.
- The respondent from the Pennsylvania Board of Probation and Parole said that the differences in their data were the result of the inclusion of interstate compact cases in the CAPSA data; these cases are excluded in their ASPP reports.

In addition to supervised population counts, pilot test respondents also reported the number of probation supervising officers working in the agency on June 30, 2013. The average number of officers reported by all agencies was 269 and ranged from 4 (Tucson City Court, Arizona) to 998 (Georgia Department of Corrections). The averages by agency type were: executive/state agencies – 386; executive/local agencies – 107; and judicial/local agencies – 199.

Table 13. Adult probationer population reported on CAPSA pilot test and 2012 ASPP, by agency

Agency	CAPSA pilot test			2012 ASPP			Difference (CAPSA - ASPP)					
	All adult probationers	Misdemeanants	Felons	All adult probationers	Misdemeanants	Felons	All adult probationers		Misdemeanants		Felons	
							Number	Percent	Number	Percent	Number	Percent
Arkansas Department of Community Corrections	31,335	-	31,335	30,122	-	30,122	1,213	4	-	n/a	1,213	4
State of Delaware - Probation and Parole	13,623	9,580	4,043	15,641	9,726	4,037	(2,018)	(15)	(146)	(2)	6	0
Seminole County Probation	1,558	1,555	3	1,328	1,328	-	230	15	227	15	3	n/a
Georgia Department of Corrections	158,255	-	158,255	202,043	1,635	200,408	(43,788)	(28)	(1,635)	n/a	(42,153)	(21)
Louisiana Department of Corrections, Probation and Parole	42,946	-	42,946	41,298	1,153	40,145	1,648	4	(1,153)	n/a	2,801	7
Minnesota Department of Corrections	17,255	5,156	12,099	108,157	66,569	41,588	(90,902)	(527)	(61,413)	(1,191)	(29,489)	(71)
Montana Department of Corrections	8,565	30	8,535	9,284	-	9,284	(719)	(8)	30	100	(749)	(8)
New Hampshire Department of Corrections, Division of Field Services	4,096	750	3,346	4,088	1,646	2,420	8	0	(896)	(119)	926	38
Montgomery County Adult Probation	4,115	154	3,961	3,174	220	2,954	941	23	(66)	(43)	1,007	34
Pennsylvania Board of Probation and Parole	8,114	5,229	2,774	5,922	3,855	1,967	2,192	27	1,374	26	807	41
South Carolina Department of Probation, Parole and Pardon	47,529	13,042	34,487	34,945	11,373	23,475	12,584	26	1,669	13	11,012	47

4.1.5 Identification of additional agencies

Agencies were asked three questions that were designed to validate the CAPSA roster. The questions focused on correctional residential facilities (CRFs) housing adult probationers (question 33), private companies responsible for adult probation supervision (question 50), and other adult probation supervising agencies operating in the respondent's state (question 52). If a respondent was aware of any of these types of entities, they were asked to provide information about the entity in the questionnaire, or by email or fax.

Correctional residential facilities. Twenty-six agencies reported using or having knowledge of CRFs on the questionnaire. By the end of all follow-up attempts, approximately 135 CRFs had been identified by 17 respondents. Most of the data on CRFs were provided directly through the survey; 8 respondents submitted the information in that mode. In addition, 6 agencies provided the information via email, 1 by telephone, and 1 by fax. Follow-up with the final respondent to obtain a list of CRFs was unsuccessful. The CRF name and the county in which it is located were provided for all but 3 of the CRFs.

Private companies. Thirteen agencies reported using or having knowledge of private probation supervising companies on the questionnaire. By the end of all follow-up attempts, 3 companies had been identified by 4 respondents; none of these companies was already on the CAPSA roster. All of the information on private companies was provided directly through the survey. The company name and the county in which it is located were provided for all 3 companies.

Public agencies. Seven agencies reported knowledge of public probation supervising agencies that were not included on the listing sent with the survey materials. By the end of all follow-up attempts, approximately 63 agencies had been identified by 5 respondents; 57 of these agencies were already on the CAPSA roster. One of the agencies, in Minnesota, was a single agency with jurisdiction over probation in 3 counties. The other 5 agencies named by respondents were "generic," meaning that they represented a type of entity rather than a specific one (e.g., "drug court"). Most of the information on the agencies was provided directly through the survey; 3 respondents submitted the information in that mode. In addition, 1 agency provided the information via email and 1 agency provided the information during data retrieval.

4.2 Private company survey responses

Twelve private companies were invited to participate in the pilot test; 7 companies responded to the request. As described in Section 3, the questionnaire for this population was different from that used with the public agencies. In this section, we discuss findings drawn from our examination of the private company survey data.

4.2.1 Clients and contract requirements

Respondents were asked to report the number of states in which their company supervised adult probationers. Five companies reported working in 1 state. The other 2 companies reported working in 5 states and 9 states.

Consideration should be given to asking only about state and local branch clients. In describing their clients in terms of branch and level of government, no company reported working under contract to any type of federal agency or court. One company reported having no contracts. During follow-up with the respondent, we were told that the company does not have contracts with the agencies or courts, but rather they work under a purchase order to provide services to probationers. Among the other 6 companies, half reported having contracts with both state and local agencies/courts; 1 had contracts with only local clients and 1 had contracts with only state clients. Half of the companies reported that their clients came from more than one branch of government, 1 company reported that their only client was from the executive branch, and 2 companies indicated that their clients were all from the judicial branch.

Table 14. Private company clients, by level and branch of government

Client type	Number of companies
Level	
Local only	2
State only	1
Both	3
Branch	
Executive only	1
Judicial only	2
Other only	0
Executive and judicial	1
Executive and other	1
Judicial and other	1
All	0

The questionnaire asked about 4 requirements that might be included in the companies' contracts with their clients (question 5). None of the requirements were endorsed by all 7 companies. However,

- 5 companies reported that their contracts required the inclusion of a description of policies/procedures in the contract, approval of modifications of policies/procedures, and submission of reports on performance; and
- 4 companies were required to perform audits of performance.

Even though each requirement was imposed on the majority of companies, there was variation in the specific requirements experienced by the companies. For example, 2 companies were only required to comply with 1 requirement, 1 company had to comply with 2 requirements, 1 had to comply with 3 requirements, and 3 companies had to comply with 4 requirements.

4.2.2 Methods of supervision

Private companies, like public agencies, were asked to report on the methods they used to supervise adult probationers. The response patterns from the companies were also very similar to those provided by the agencies. Supervision by face-to-face and telephone contact were reported by all 7 companies and 6 companies reported using mail for supervision.

Table 15. Supervision methods employed; private companies

Number of companies	7
Method	
Mail	6
Telephone	7
Text	3
Email	4
Face-to-face	7

Private company respondents reported the use of 4 types of risk/needs assessments, including the use of assessments that were developed by the company (table 16). Unlike the public agency respondents, none of the companies reported using some type of tool other than those listed in the survey response categories.

Table 16. Use of risk/needs assessment method; private companies

Standardized assessment	4
Company-developed assessment	3
Client-developed assessment	3
Staff judgment	5
Other	0

4.2.3 Supervised populations

Respondents were asked to report the types of populations they supervised on June 30, 2013 (question 10). The categories used in this question were the same as those used on the public agency questionnaire, with the exception of the items asking about supervision of felons and misdemeanants; questions on felons and misdemeanants were asked separately in the questionnaire. Table 17 shows that the companies reported supervision of all types of populations.

Table 17. Populations supervised; private companies

Number of companies	7
Adults on pretrial status awaiting trial	6
Adults whose criminal proceedings have been suspended	7
Adults on probation for a misdemeanor	4
Adults on probation for a felony	6
Adults on parole or other post-custody release	3
Juveniles	0
Other populations	4

On the item that asks about supervision of “Other” types of populations, 4 companies responded affirmatively. The descriptions of these populations included:

- a) State probation violators
- b) Deferred sentences
- c) Respondents of civil injunctions for protections against domestic violence for completion of any court ordered programs or interventions
- d) Electronic monitoring (this response is inappropriate for this item—it is a method of supervision)

We noted that this question did not ask if the company supervised felons or misdemeanants. However, the companies were asked to report the number of each type of adult probationer under their supervision on June 30, 2013. Four companies reported supervising felons.¹⁰ Responses to that question ranged from 0 to 4,000: 2 companies reported 0 felons, 3 companies reported between 1 and 10, and 1 company reported supervising 4,000 felons. The companies reported far greater numbers when asked about misdemeanants. One agency reported supervising only 18, 2 companies reported between 250 and 300, 1 company reported 1,550 and 1 reported 9,000. Another company reported supervising 18,907 adult misdemeanor probationers.

5. Follow-up for data quality among public agency respondents

After data collection, data review and data retrieval was a necessary step to maximize data quality. Westat staff developed a protocol that was used to review the data for inconsistencies and missing information. Agencies were then contacted by email or by telephone to resolve the quality issues. Table 18 presents the scope of this effort in terms of the number of public agencies requiring follow-up and the reasons for the follow-up. Table 19 shows the most common discrepancies that necessitated follow-up.

Table 18. Follow-up for data quality; public agencies

	Number of agencies
Surveys submitted	37
No follow-up needed	7
Follow-up needed ^a	30
Item nonresponse	7
Obtain promised list	9
Inquire re: inability to provide list	13
Internal inconsistency	16

^aDetails below will not sum to total since some agencies required follow-up for more than one reason.

¹⁰ These responses point to the importance of including private companies on the CAPSA roster.

Table 19. Follow-up required, by reason; public agencies

Question number	Issue	Number of agencies
(C9) Who has the authority to set the budget for your agency?	Item nonresponse	2
(C10) Once your agency's budget has been set, who is responsible for operations spending by your agency?	Item nonresponse	2
(C11) Who has authority to set the numbers of FTE and PTE positions at your agency?	Item nonresponse	2
(C12) Once the numbers of FTE and PTE positions are set, who is responsible for staffing at your agency?	All items answered "No"	2
(C13) Who has the authority to establish the policies or procedures for the supervision of adult probationers at your agency?	Item nonresponse	2
(C14) Who is responsible for implementing the policies or procedures for the supervision of adult probationers at your agency?	All items answered "No" or all items left blank but one marked "No"	4
(C15) From July 1, 2012 to June 30, 2013, did your agency use funding from any of the following sources for adult probation?	All items answered "No" and response was inconsistent with those from question 16 and question 17	4
(C16) Does your agency collect fines from any adult probationers either directly or through a collection agent?	Response was inconsistent with that from question 15	1
(D32a) Who operates correctional residential facilities in your state?	All items answered "No"	2
(F42) On June 30, 2013, what was the total number of adult probationers supervised by your agency?	Responses to question 43 and question 44 did not sum to the response to question 42	3

6. Recommendations

The pilot test helped to identify the need for changes to the survey instrumentation and data collection procedures. In this section, we delineate the goals associated with potential changes to the questionnaire. Based on feedback from BJS regarding these recommendations, Westat will document specific content and wording changes to the instrumentation for review and approval by the BJS Project Manager. Changes to the data collection procedures identified through the pilot test have resulted in plans for additional automation to streamline processes internal to Westat. These changes are not described in this report.

6.1 Proposed changes to the public agency questionnaire

B4. Is NAME a *subsidiary probation office* that is operated by a central office?

At least 2 agencies who reported to be subsidiary agencies did so by mistake. Agencies that responded “Yes” to this question skipped all the supervisory questions. Yet if the agency errs in its response to B4, those questions would be applicable. Follow-up contacts can resolve the error with

regard to B4, but asking respondents to then go through the rest of the questions may be unsuccessful.

Recommendation:

- Remove routing based on B4 (appearing after question 5) and direct all respondents to question 6 (functions of probation).

B6. Does NAME perform any of the following functions of adult probation?

In the “Other” functions response category, 2 agencies listed “grant administration.”

Recommendation:

- Based on the answers in the “Other” category, consider adding a function about “Programs/services” that are provided directly or through a third party, referral, etc.

C9-C14 – Authority and operational responsibility

The requests for textual entries generated responses. But their value was minimal and the resources needed to edit/code the text for the national study may not be cost-effective. In addition, the “specify” screen associated with the higher level, lower level, and “Other” on the web survey use the same text field for response entry. If a respondent answers “Yes” to more than one of the response categories, it can be difficult during analysis to discern what data belongs to which item.

Recommendations:

- Retain the “specify” text box for only the “Other” response option and remove the “please name/describe” for “Higher level agency” and “Lower level agency.”
- Provide examples of higher and lower level agencies (e.g., board, administrator) or change “Higher level agency” to “Higher <<synonym for authority>>.”
- On the web survey, investigate programming options to provide separate text fields.

C15. From July 1, 2012 to June 30, 2013, did your agency use funding from any of the following sources for adult probation?

Two agencies were confused by this question. Both agencies responded “No” to all sources. They do not perform supervisory functions but they do perform administrative and reporting functions. They interpreted the question as asking about funding received to provide “adult probation services” or “supervision service.”

Recommendation:

- Revise the wording of this question to clarify if the focus is on funding for any function related to adult probation, or just the supervisory function. If the focus is only on funding for the supervisory function, we should consider adding a routing (i.e., skip pattern) for agencies that respond “No” to question 6c.

C18. Does your agency use the following methods [mail, phone, text, email] to conduct supervision of any adult probationers, either directly or through a third party?

This question was misinterpreted by one respondent who in turn gave an incorrect response. The respondent did not consider mail, phone, text, or email to be “methods” of supervision, but rather forms of communication.

Recommendation:

- Consider revising the question to clarify that communication does not necessarily qualify as supervision.

C19. Does your agency conduct *face-to-face supervision* of any adult probationers, either directly or through a third party?

Although this issue was not raised by respondents, we believe that the survey data would be more informative if we could distinguish between the use of face-to-face meetings only at the initial visit and its use after that visit as well.

Recommendation:

- Make this a two-part question to determine whether face-to-face supervision happens at (1) initial visit and (2) after initial visit.

D23. Which of the following are used by your agency to determine level, type, or conditions of supervision for any adult probationers?

Twenty percent of respondents recorded an “Other” assessment tool. The resources needed to edit/code the text for the national study may not be cost-effective.

Recommendation:

- Provide additional examples of the assessment tools based on those provided by pilot test respondents.

D26. Can your agency impose standard or special conditions of probation for any type of adult probationer...?

For 1 respondent, this question was double-barreled and could not be answered accurately. The definition in the question for “impose” includes both adding and removing conditions. The respondent told us that state (Minnesota) law allows agents to add or change supervision sanctions; however, an agent cannot remove a court-imposed condition without the approval/signature of the court.

Recommendation:

- Revise wording of the question or response options.

D27. Can your agency grant an early positive discharge to any type of adult probationer prior to the scheduled expiration of their sentence without appearing before a judge or court?

D28a. Can your agency extend any type of adult probationer’s period of supervision beyond the court imposed sentence without appearing before a judge or court?

D28b. Can your agency only extend an adult probationer’s period of supervision if the probationer has not yet satisfied the terms...without appearing before a judge or court?

D29. Can your agency impose a period of incarceration on any type of adult probationer without appearing before a judge or court?

One respondent noted that the word “appear” implies the need for a physical appearance, but this is not always true. We also noted the low frequency of endorsement for D27 and D28a.

Recommendations:

- Based on respondents comments, consider rewording these questions that use the word “appear” as in “appear before the judge,”
- Delete D27 and D28a if there is a need to reduce burden.

E38. On June 30, 2013, how many full- and part-time supervision officers worked in your agency?

Although this issue was not raised by respondents, we believe that some respondents from agencies that supervise populations in addition to adult probation may be unsure about which officers to include in their response.

Recommendation:

- Edit to clarify, “full- and part-time officers supervise adult probationers in your agency?”

F40. On June 30, 2013, what type(s) of populations did your agency supervise?

The responses in the “other populations” fill in text suggest additional response options may be needed for this item.

Recommendation:

- Consider adding “pre-trial” and “post-trial diversion” as response options

F41, F42, F43, F44 – Population counts

The counts provided by 11 agencies in the pilot test and the ASPP were significantly different. Through follow-up efforts, it was discovered that some differences are due to central reporters providing combined counts for multiple agencies on ASPP and only counts for their agency on CAPSA, which is correct. Other differences were due to differences in the instructions on who to count between ASPP and CAPSA. In addition, there are some instances where the numbers within CAPSA do not sum properly. Through follow-up efforts, it was discovered that some agencies supervise adult probationers other than felons and/or misdemeanants but the questions were not designed to collect counts of those probationers.

Recommendations:

- We need to conduct a thorough review of the names, addresses, and contact information on the frame to ensure that the survey invitations go to the appropriate person/agency.

- We should add another category/question to collect counts of adult probationers who had as their most serious offense something other than a felony or misdemeanor.
- We should try to add edit checks and prompts within the CAPSA instrument to protect against reporting errors. These checks could either be embedded in the questionnaire or become part of the standard edit checks done prior to data retrieval.
- Add a clarification to the question (and general definition) that misdemeanors include “gross” misdemeanors.
- Similar to the ASPP, add instructions to the question about populations to exclude from the counts.

6.2 Proposed changes to the private company questionnaire

1. Does your company perform any of the following functions of adult probation?

One company that reported supervising adults only on non-reporting probation answered “No” to the item on supervisory functions.

- Ensure consistency with definitions and instructions provided in the public agency questionnaire.

4. On June 30, 2013, with which type(s) of government agency/court did your company have a contract to supervise adult probationers?

One company reported that they had no contract with any agency/court (i.e., answered “No” to all items a-i). Data retrieval revealed that they have no contracts with any type of agency/courts and that defendants get to pick which company they receive services from.

- Add a question to capture those companies that are defined as eligible service providers.

18. Does your company provide specialized services or programs for sex offenders on adult probation?

19. Does your company provide specialized services or programs for mentally ill offenders on adult probation?

- Add a third response option reflecting that the agency does not supervise sex offenders— “Company does not supervise sex offenders.” and “Company does not supervise mentally ill offenders.”

APPENDIX A

- **Public Agencies and Private Companies Invited to Participate in CAPSA Pilot Test**

Public Agencies and Private Companies Invited to Participate in CAPSA Pilot Test

Agency/Company name	State	Branch of government	Level of government	Final disposition
Public agencies				
Arkansas Department of Community Corrections ^a	AR	Executive	State	Completed survey
Miller County - Texarkana District Court Probation	AR			Refused AIF
Tucson City Court	AZ	Judicial	Local	Completed survey
Coconino County Probation Department	AZ			AIF nonresponse
Maricopa County Adult Probation	AZ	Judicial	Local	Completed survey
Alameda County Probation Department	CA			Survey nonresponse
Orange County Probation Department	CA	Executive	Local	Completed survey
20 th Judicial District Probation Department	CO	Judicial	State	Completed survey
Adult Probation & Bail Services	CT			Survey nonresponse
Asonia-Milford Judicial District	CT			AIF nonresponse
State of Delaware - Probation & Parole ^a	DE	Executive	State	Completed survey
Collier County Probation Department	FL			AIF nonresponse
Seminole County Probation ^a	FL	Executive	Local	Completed survey
Georgia Department of Corrections	GA	Executive	State	Completed survey
Adult Client Services Branch	HI			AIF nonresponse
5 th Judicial District Department of Corrections	IA	Judicial	Local	Completed survey
Iowa Department of Corrections ^a	IA	Executive	State	Completed survey
Idaho Supreme Court	ID	Judicial	State	Completed survey
Probation Division of Administration. Division of Indiana	IL	Judicial	State	Completed survey
Peoria County Adult Probation	IL			AIF nonresponse
Bartholomew County Probation	IN			AIF nonresponse
State Court of Administration. Division of Indiana	IN	Judicial	State	Completed survey

18 th Judicial District	KS	Judicial	Local	Completed survey
Kansas Judicial Center, Office of Judicial Administration	KS			Refused survey
LA Department of Corrections, Division of Probation and Parole ^a	LA	Executive	State	Completed survey
Barnstable District court	MA	Judicial	Local	Completed survey
Office of the Commissioner of Probation, MA	MA	Judicial	State	Completed survey
15 th District Court--Washtenaw County Courthouse	MI			AIF nonresponse
Michigan Department of Corrections, Field Operations Administration	MI	Executive	State	Completed survey
Minnesota Department of Corrections ^a	MN	Executive	State	Completed survey
Ramsey County Community Corrections	MN	Executive	Local	Completed survey
District 27 Probation & Parole	MO	Executive	State	Completed survey
Missouri Department of Corrections	MO			Refused AIF
Montana Department of Corrections ^a	MT	Executive	State	Completed survey
Administrative Office of the Courts/Probation	NE			Survey nonresponse
New Hampshire Department of Correction - Field Services Division ^a	NH	Executive	State	Completed survey
Bergen County Probation	NJ			Survey nonresponse
Camden County Probation	NJ			AIF nonresponse
Sussex County Probation	NJ			Refused AIF
Probation & Parole Division Corrections Department	NM	Executive	State	Completed survey
Nevada Department of Public Safety, Division of Adult Probation & Parole	NV			Refused AIF
Division of Criminal Justice Services	NY	Executive	State	Completed survey
Office of Court Administration	NY			AIF nonresponse
Tompkins County Department of Probation and Community	NY	Executive	Local	Completed survey
Ashland County Probation Department	OH			Survey nonresponse
Montgomery County Adult Probation ^a	OH	Judicial	Local	Completed survey
Ohio Department of Rehabilitation and Correction, Bureau of Research and Evaluation	OH			Survey nonresponse
Baker County Community Corrections	OR			Refused survey
Oregon Department of Corrections	OR	Executive	State	Completed survey
Allegheny County Adult Probation Services	PA	Judicial	Local	Completed survey
Lancaster County Adult Probation and Parole Services	PA			Refused survey

Pennsylvania Board of Probation & Parole ^a	PA	Executive	State	Completed survey
South Carolina Dept. of Probation, Parole & Pardon ^a	SC	Executive	State	Completed survey
General Sessions Court Probation Department	TN	Judicial	Local	Completed survey
Texas Department of Criminal Justice	TX	Executive	State	Completed survey
Dallas County Community Supervision & Corrections Department	TX	Judicial	Local	Completed survey
Harris County Supervision and Corrections Department	TX	Judicial	Local	Completed survey
Benton District Court Probation	WA	Judicial	Local	Completed survey
Texas Juvenile Justice Department	TX	Executive	State	Completed survey
Vilas County Juvenile Intake	WI			Refused AIF

Private companies

Professional Probation Services	GA			Completed survey
Rocky Mountain Offender Management Systems	CO			Completed survey
Advocate Program, Inc.	FL			Completed survey
Oklahoma Court Services, Inc.	OK			Completed survey
Private Probation	MO			Completed survey
Providence Community Corrections	GA			Nonresponse
Providence Community Corrections	WA			Nonresponse
Alternative Programs & Probation Systems, Inc.	MO			Non-contact, company no longer exists
Judicial Supervision Services	UT			Completed survey
Dishion Enterprises	ID			Nonresponse
Judicial Correction Services, Inc.	FL			Refused CIF
Providence Community Corrections	AL			Completed survey

^a Agency is in comparison group --provided data in the 2012 Annual Survey of Probation and Parole (ASPP) and the CAPSA Pilot Test.

^b Branch and Level of government, as reported in CAPSA Pilot Test.

APPENDIX B

- **Public Agency Information Form (AIF)**
- **Private Company Information Form (CIF)**
- **Public Agency Questionnaire**
- **Private Company Questionnaire**

Public Agency Information Form (AIF)

Agency Information Form

Please review the information below. Indicate whether the head of agency information is correct and make updates as needed. Also, please designate a survey respondent and indicate whether the respondent would be able to complete the survey via the Internet.

Information on file	<u>Head of Agency</u>	
		Updated information
Agency Head Name:	_____	
Agency Name 1:	_____	
Agency Name 2:	_____	
Address 1:	_____	
Address 2:	_____	
City:	_____	
State, Zip:	_____	
Attn:	_____	
Email:	_____	
Phone:	_____	
Fax:	_____	
<input type="checkbox"/> All information is correct.		

<u>Designated Survey Respondent</u>	
Designated Respondent:	_____
Agency Name 1:	_____
Agency Name 2:	_____
Address 1:	_____
Address 2:	_____
City:	_____
State, Zip:	_____
Attn:	_____
Email:	_____
Phone:	_____
Fax:	_____
If requested, would the designated respondent be able to respond to the survey through the Internet?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	

Please fax or email this information to Westat by June 25, 2013
 Fax: 301-279-4508
 Email: bjscapsa@westat.com
 Attn: CAPSA Survey
 If you have any questions, please telephone 1-888-329-8124 or email bjscapsa@westat.com.

Private Company Information Form (CIF)

Company Information Form

Please review the information below. Indicate whether the corporate point of contact information is correct and make updates as needed. Also, please designate a survey respondent.

<u>Corporate Point of Contact</u>	
Information on file	Updated information
Corporate Head Name:	_____
Corporate Name 1:	_____
Corporate Name 2:	_____
Address 1:	_____
Address 2:	_____
City:	_____
State, Zip:	_____
Attn:	_____
Email:	_____
Phone:	_____
Fax:	_____
<input type="checkbox"/> All information is correct.	

<u>Designated Survey Respondent</u>	
Designated Respondent:	_____
Corporate Name 1:	_____
Corporate Name 2:	_____
Address 1:	_____
Address 2:	_____
City:	_____
State, Zip:	_____
Attn:	_____
Email:	_____
Phone:	_____
Fax:	_____

Please fax or email this information to Westat by June 25, 2013
 Fax: 301-279-4508
 Email: bjscapsa@westat.com
 Attn: CAPSA Survey
 If you have any questions, please telephone 1-888-329-8124 or email bjscapsa@westat.com.

Census of Adult Probation Supervising Agencies (CAPSA)

U.S. Department of Justice
Bureau of Justice Statistics

and acting as data collection agent,
Westat

PURPOSE OF CENSUS

The Census of Adult Probation Supervising Agencies (CAPSA) is designed to identify and enumerate adult probation supervising agencies in the United States and obtain information about their organizational structures, authority, functions and populations supervised. Most questions asked in the census focus on the agency's practices; only a few questions ask for numerical information, specifically aggregate counts of probationers and supervision officers.

INSTRUCTIONS

This census focuses on adult probation. However, there are some questions that reference other populations your agency may supervise. As you answer each question, please consider only adult probation, unless instructed otherwise.

- **Probation** is defined as a disposition or sentence for either a felony or misdemeanor that (1) is imposed by a criminal court and (2) places the adjudicated person under the control, supervision and care of a correctional agency. The probation conditions form a contract with the court by which the person must abide in order to remain in the community, generally in lieu of incarceration. Often, probation entails monitoring or surveillance by a correctional agency, but in some instances, probation may not involve any reporting requirements.
- **Adult probationers** are defined as persons who are subject to the authority of an adult criminal court or correctional agency. Persons under the age of 18 who were prosecuted as adults in a criminal court are considered adults for the purpose of this census.

Please read all definitions and questions carefully. These definitions were developed for the purpose of this census; as such, definitions and question wording are standardized for this national census and may not match your agency's definitions and practices. Because CAPSA is a national data collection, we ask all agencies to use these standardized definitions.

As part of this special pilot test, we hope to determine the how much time is associated with responding to the census. At the end of the questionnaire, you will be asked to report how much time you (or your staff) spent, including time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing your responses. Please monitor the time spent as you prepare and provide your responses.

Please complete this questionnaire online by August 15, 2013. If you have questions, please contact the CAPSA Agency Support Team at 1-888-329-8124 or by email at bjscapsa@westat.com.

If you prefer to provide the information by telephone or email, please contact the CAPSA Agency Support Team at 1-888-329-8124 or by email at bjscapsa@westat.com.

BURDEN STATEMENT

Under the Paperwork Reduction Act, we cannot ask you to respond to a collection of information unless it displays a currently valid OMB control number. Public reporting burden for this collection is estimated to average 50 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any aspect of this collection of information, including suggestions for reducing this burden, to the Director, Bureau of Justice Statistics, 810 Seventh Street, NW, Washington, DC 20531; and to the Office of Management and Budget, OMB No. 1121-0064, Washington, DC 20503.

OMB No. 1121-0339

Approval expires 01/31/2016

GLOSSARY

The terms below are defined in the questionnaire the first time they appear, and are indicated with a ►. Definitions and question wording are standardized for this national census and may not match your agency's definitions and practices. Because CAPSA is a national data collection, we ask all agencies to use these standardized definitions. There is a comment field at the end of the survey; please describe any instances where you were unable to apply the census definition when answering a question. The comment field can also be used to provide any other general or specific comments about this questionnaire.

Key Definitions

Probation

A disposition or sentence for either a felony or misdemeanor that (1) is imposed by a criminal court and (2) places the adjudicated person under the control, supervision and care of a correctional agency. The probation conditions form a contract with the court by which the person must abide in order to remain in the community, generally in lieu of incarceration. Often, probation entails monitoring or surveillance by a correctional agency, but in some instances, probation may not involve any reporting requirements

Adult probationers

Persons who are subject to the authority of an adult criminal court or correctional agency. Persons under the age of 18 who were prosecuted as adults in a criminal court are considered adults for the purpose of this census.

Other Definitions

Administrative functions of probation

Record storage and maintenance, budget preparation, personnel management or similar clerical or management activities.

Authority

The ability to make decisions about adult probation.

Correctional residential facilities

Community-based facilities operated for correctional purposes. Residents may be allowed extensive contact with the community, such as for employment, work, or attending school, but are obligated to occupy the premises at night. Examples include, but are not limited to, halfway houses, restitution centers, detention centers, and prerelease or work release centers.

Electronic monitoring

Supervision conducted through electronic devices or systems to monitor or track probationers' locations, activities, or behaviors. Examples can include, but are not limited to, radio frequency monitoring, Global Position System (GPS) monitoring, and alcohol monitoring.

Electronic supervision

Supervision conducted through automated or electronic means, such as interactive voice recognition (IVR) or reporting kiosks for routine reporting. It does not include telephone, email, or text reporting.

Face-to-face supervision

Supervision conducted through in-person visits such as office or field visits.

Fees

Money paid by probationers to cover the cost of operations which include, but are not limited to, supervision fees, program fees, drug testing fees, pre-sentence investigation (PSI) report fees, and risk or needs assessment fees.

Fines

Monetary penalties paid by probationers. Fines include but are not limited to day fines, violation fines, and restitution.

Intensive supervision probation (ISP)

A more rigorous form of supervision than standard probation. It often emphasizes extensive contact, stringent conditions (e.g., drug testing, curfews, employment, or program engagement), and close monitoring or surveillance.

Non-reporting probation

Supervision that never required the probationer, during any period of the probation term, to report to a court or correctional authority on a regular basis either in person, by telephone or mail, or by electronic means.

Operational responsibility

The responsibility for implementing decisions.

Reporting functions of probation

Data collection and reporting activities, for example the preparation of monthly or annual reports.

Staffing

The hiring, terminating, re-assigning, or promoting of staff.

Subsidiary probation office

A field, district, satellite or other similar type of office operated by a central office. While a subsidiary office may actually manage/supervise adult probationers, the central office has authority over adult probation.

Supervision officers

Full- and part-time staff who supervise adult probationers, regardless of their position or the amount of time they spend conducting supervision activities. Some agencies may refer to these staff as officers, agents, or caseworkers.

Supervisory functions of probation

Officer supervision of adult probationers either through face-to-face visits, mail, phone, or electronic means.

Agency name: NAME, ADDRESS

Throughout this questionnaire, the term “your agency” will be used to identify NAME, ADDRESS.

Please think of this agency when responding to the questions, regardless of whether your agency is associated with a larger agency or department in any way. Also, please consider only *adult probation*, unless instructed otherwise in specific questions, even if your agency supervises other correctional populations.

SECTION A. Contact Information

1. Please provide the contact information for the person completing this questionnaire.

Contact Name: _____

Title: _____

Agency Name: _____

Address: _____

Phone: _____ Extension: _____

Email: _____

SECTION B. Organizational Structure

2. In which branch of government is NAME located?

¹ Executive branch

² Judicial branch

³ Other (Please describe) _____

3. Which of the following best describes NAME'S level of government?

¹ Federal

² State

³ Local

⁴ Other (Please describe) _____

4. Is NAME a *subsidiary probation office* that is operated by a central office?

► *Subsidiary probation office* is a field, district, satellite or other similar type of office operated by a central office. While a subsidiary office may actually manage/supervise adult probationers, the central office has authority over adult probation.

¹ Yes

² No → **SKIP TO QUESTION 6.**

5. What is the name and address of the central office that your subsidiary office is a part of?

Name _____

Address _____

SKIP TO QUESTION 31.

6. Does NAME perform any of the following functions of adult probation?

	<u>Yes</u>	<u>No</u>
a. Administrative functions, such as record storage and maintenance, budget preparation, personnel management or similar clerical or management activities.	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Reporting functions, such as data collection and reporting activities, for example the preparation of monthly or annual reports.	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. Supervisory functions, where your staff (e.g., officers, agents, caseworkers) supervise adult probationers either through face-to-face visits, mail, phone, or electronic means.	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Other functions	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d1. Please describe the other functions performed by your agency. _____		

IF 6a, 6b, 6c, AND 6d = NO, SKIP TO QUESTION 31.

7. On June 30, 2013, did your agency supervise adults on *non-reporting probation*?

► *Non-reporting probation* means that the probationer was never required, during any period of their probation term, to report to a court or correctional authority on a regular basis either in person, by telephone or mail, or by electronic means.

¹ Yes

² No → **SKIP TO SECTION C.**

8. On June 30, 2013, did your agency's total adult probation population consist only of probationers on non-reporting probation?

¹ Yes

² No

SECTION C. Authority and Operational Responsibility

As you continue with this questionnaire, please remember to think of NAME when asked about "your agency," regardless of whether your agency is associated with a larger agency or department in any way. Also, please consider only *adult probation*, unless instructed otherwise in specific questions, even if your agency supervises other correctional populations.

The next few questions ask about authority and operational responsibility.

▶ *Authority* refers to the ability to make decisions about adult probation.

▶ *Operational responsibility* refers to the responsibility for implementing those decisions.

9. Who has authority to set the budget for your agency?

▶ Providing recommendations about the amount of your agency's budget is not considered setting your agency's budget.

	<u>Yes</u>	<u>No</u>
a. Legislature	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Higher level agency		
b1. Please name/describe _____	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. Your agency	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Other	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d1. Please name/describe _____		

10. Once your agency's budget has been set, who is responsible for operations spending by your agency?

- | | <u>Yes</u> | <u>No</u> |
|--------------------------------|----------------------------|----------------------------|
| a. Legislature | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| b. Higher level agency | | |
| b1. Please name/describe _____ | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| c. Your agency | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| d. Lower level agency | | |
| d1. Please name/describe _____ | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| e. Other | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| e1. Please name/describe _____ | | |

11 Who has authority to set the number of full-time equivalent (FTE) or part-time equivalent (PTE) positions for your agency?

- Providing recommendations about the number of FTE or PTE positions for your agency is not considered setting the number of positions.

- | | <u>Yes</u> | <u>No</u> |
|--------------------------------|----------------------------|----------------------------|
| a. Legislature | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| b. Higher level agency | | |
| b1. Please name/describe _____ | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| c. Your agency | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| d. Other | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| d1. Please name/describe _____ | | |

12. Once the numbers of FTE and PTE positions are set, who is responsible for *staffing* at your agency?

- *Staffing* is defined as at least one of the following: hiring, terminating, re-assigning, or promoting of staff.

- | | <u>Yes</u> | <u>No</u> |
|--------------------------------|----------------------------|----------------------------|
| a. Legislature | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| b. Higher level agency | | |
| b1. Please name/describe _____ | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| c. Your agency | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| d. Lower level agency | | |
| d1. Please name/describe _____ | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| e. Other | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| e1. Please name/describe _____ | | |

The next questions ask about establishing and implementing policies or procedures for adult probation such as levels of supervision, use of risk assessments, or the type and frequency of contact. Sometimes policies and procedures are set to meet adult probation standards which may be established by your agency or a higher-level agency or court system. However, establishing probation standards is not considered setting policies or procedures for the purposes of this census.

13. Who has the authority to establish policies or procedures for the supervision of adult probationers in your agency?

- | | <u>Yes</u> | <u>No</u> |
|--------------------------------|----------------------------|----------------------------|
| a. Legislature | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| b. Higher level agency | | |
| b1. Please name/describe _____ | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| c. Your agency | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| d. Other | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| d1. Please name/describe _____ | | |

14. Who is responsible for implementing the policies or procedures for the supervision of adult probationers at your agency?

- | | <u>Yes</u> | <u>No</u> |
|--------------------------------|----------------------------|----------------------------|
| a. Legislature | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| b. Higher level agency | | |
| b1. Please name/describe _____ | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| c. Your agency | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| d. Lower level agency | | |
| d1. Please name/describe _____ | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| e. Other | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| e1. Please name/describe _____ | | |

15. From July 1, 2012 to June 30, 2013, did your agency use funding from any of the following sources for adult probation?

- | | <u>Yes</u> | <u>No</u> |
|---|----------------------------|----------------------------|
| a. Federal grant | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| b. Federal sources other than federal grants | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| c. State grant | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| d. State sources other than state grants (include any regular allocation) | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| e. County sources (include any regular allocation) | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| f. City or municipal sources (include any regular allocation) | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| g. Court costs paid by adult probationers | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| h. Fines paid by adult probationers | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| i. Fees paid by adult probationers | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| j. Any other sources | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |

j1. Please identify the other sources: _____

16. Does your agency collect fines from any adult probationers either directly or through a collection agent?

- *Fines* are monetary penalties paid by probationers. Fines include but are not limited to day fines, violation fines, and restitution.

- 1 No fines are collected
- 2 Collected directly by agency
- 3 Collected through a collection agent
- 4 Collected both directly and through a collection agent

17. Does your agency collect fees from any adult probationers either directly or through a collection agent?

- *Fees* are paid by probationers to cover the cost of operations and include, but are not limited to, supervision fees, program fees, drug testing fees, pre-sentence investigation (PSI) report fees, and risk or needs assessment fees.

- 1 No fees are collected
- 2 Collected directly by agency
- 3 Collected through a collection agent
- 4 Collected both directly and through a collection agent

IF 6c = NO, SKIP TO QUESTION 31.

SECTION D. Functions of Supervision

The next questions ask about supervision activities that may be conducted directly by your agency or through a third party such as a private company, non-profit organization, or different government agency. When answering, please think about who performs the activity, regardless of who owns any equipment that might be used to perform the activity.

As you continue, please remember to think of NAME when asked about “your agency,” regardless of whether your agency is associated with a larger agency or department in any way. Also, please consider only *adult probation*, unless instructed otherwise in specific questions, even if your agency supervises other correctional populations.

18. Does your agency use the following methods to conduct supervision of any adult probationers, either directly or through a third party?

	<u>Yes</u>	<u>No</u>
a. Mail	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. Phone	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. Text	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Email	1 <input type="checkbox"/>	2 <input type="checkbox"/>

19. Does your agency conduct *face-to-face supervision* of any adult probationers, either directly or through a third party?

▶ *Face-to-face supervision* is conducted through in-person visits such as office or field visits.

- 1 No face-to-face supervision is done
- 2 Done directly by agency
- 3 Done through a third party
- 4 Done both directly and through a third party

20. Does your agency conduct *intensive supervision* (ISP) of any adult probationers, either directly or through a third party?

- ▶ *ISP* is a more rigorous form of supervision than standard probation. It often emphasizes extensive contact, stringent conditions (e.g., drug testing, curfews, employment, or program engagement), and close monitoring or surveillance.

- No ISP is done
- Done directly by agency
- Done through a third party
- Done both directly and through a third party

21. Does your agency use *electronic supervision* for routine reporting of any adult probationers, either directly or through a third party?

- ▶ *Electronic supervision* uses automated or electronic means, such as interactive voice recognition (IVR) or reporting kiosks for routine reporting. It does not include telephone, email, or text reporting.

- No electronic supervision is done
- Done directly by agency
- Done through a third party
- Done both directly and through a third party

22. Does your agency use *electronic monitoring* for the supervision of any adult probationers, either directly or through a third party?

- ▶ *Electronic monitoring* uses electronic devices or systems to monitor or track probationers' locations, activities, or behaviors. Examples can include, but are not limited to, radio frequency monitoring, Global Position System (GPS) monitoring, and alcohol monitoring.

- No electronic monitoring is done
- Done directly by agency
- Done through a third party
- Done both directly and through a third party

23. Which of the following are used by your agency to determine level, type, or conditions of supervision for any adult probationers?

- | | <u>Yes</u> | <u>No</u> |
|---|----------------------------|----------------------------|
| a. Standardized risk or needs assessment (such as the LSI-R or COMPAS) | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| b. Agency-developed risk or needs assessment | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| c. Staff (e.g., officer, agent, caseworker) judgment of risks and needs | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| d. Other | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| d1. Specify: _____ | | |

24. Does your agency provide specialized services or programs for sex offenders on adult probation, either directly or through a third party?

- 1 No specialized services or programs for sex offenders on adult probation are provided
- 2 Done directly by agency
- 3 Done through a third party
- 4 Done both directly and through a third party

25. Does your agency provide specialized services or programs for mentally ill offenders on adult probation, either directly or through a third party?

- 1 No specialized services or programs for mentally ill offenders on adult probation are provided
- 2 Done directly by agency
- 3 Done through a third party
- 4 Done both directly and through a third party

The next questions ask about your agency's role in setting terms and conditions of supervision.

As you continue, please remember to think of NAME when asked about "your agency," regardless of whether your agency is associated with a larger agency or department in any way. Also, please consider only *adult probation*, unless instructed otherwise in specific questions, even if your agency supervises other correctional populations.

26. Can your agency impose standard or special conditions of probation for any type of adult probationers? Imposing conditions includes amending or removing conditions as well as adding new conditions.

- | | <u>Yes</u> | <u>No</u> |
|-------------------------------|----------------------------|----------------------------|
| a. Impose standard conditions | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |
| b. Impose special conditions | 1 <input type="checkbox"/> | 2 <input type="checkbox"/> |

27. Can your agency grant an early positive discharge to any type of adult probationer prior to the scheduled expiration of their sentence without appearing before a judge or court? This type of discharge may be granted in response to the satisfaction of conditions, earned time credits, or in accordance with agency policy.

¹ Yes

² No

28. Can your agency extend the period of probation supervision for any type of adult probationer without appearing before a judge or court?

Yes No

a. Agency can extend a period of supervision beyond the court imposed sentence ¹ ²

b. Agency can only extend a period of supervision if a probationer has not yet satisfied the terms of their court imposed sentence (e.g., a sentence of one year on probation and completion of drug treatment and drug treatment has not yet been completed) ¹ ²

29. Can your agency impose a period of incarceration on any type of adult probationer without appearing before a judge or court? Incarceration may be imposed in response to a violation of conditions or a revocation and may vary in duration.

¹ Yes

² No

The next questions ask about your agency's use of correctional residential facilities.

- ▶ *Correctional residential facilities* are community-based facilities operated for correctional purposes. Residents may be allowed extensive contact with the community, such as for employment, work, or attending school, but are obligated to occupy the premises at night. Examples include, but are not limited to, halfway houses, restitution centers, detention centers, and prerelease or work release centers.

30. Does your agency use *correctional residential facilities* to confine or provide services to any adult probationers?

¹ Yes

² No

31. (Excluding any correctional residential facilities that your agency uses), are you aware of any *correctional residential facilities* used to confine or provide services to adult probationers in your state?

¹ Yes

² No

ROUTING #1.

IF 30 = NO AND 31 = NO, SKIP TO ROUTING #3.

IF 30 = BLANK AND 31 = NO, SKIP TO ROUTING #3.

ELSE, CONTINUE WITH QUESTION 32.

32. Who operates *correctional residential facilities* in your state?

	<u>Yes</u>	<u>No</u>
a. Federal agency	1 <input type="checkbox"/>	2 <input type="checkbox"/>
b. State agency	1 <input type="checkbox"/>	2 <input type="checkbox"/>
c. Local agency	1 <input type="checkbox"/>	2 <input type="checkbox"/>
d. Joint state and local agencies	1 <input type="checkbox"/>	2 <input type="checkbox"/>
e. Private agency	1 <input type="checkbox"/>	2 <input type="checkbox"/>

33. We would like to know the name and, if possible, county in which each correctional residential facility is located in your state. Please indicate if you would prefer to provide this information by email, fax, or if you would like to enter the information at this time. If sending information by email or fax, please be sure to include your login ID number.

¹ Email → **SEND THE INFORMATION TO bjscapsa@westat.com**

² Fax → **FAX THE INFORMATION TO THE CAPSA SURVEY DESK AT XXX-XXX-XXXX**

³ Enter information now

⁴ I cannot provide this information

ROUTING #2.

IF 33 = ENTER INFORMATION NOW, CONTINUE WITH QUESTION 34.

ELSE, SKIP TO ROUTING #3.

34. Please provide the name and county in which each correctional residential facility is located.

Name of correctional residential facility

County

Name of correctional residential facility

County

ROUTING #3.

IF 6a, 6b, 6c, AND 6d = NO, SKIP TO QUESTION 49.

IF 4 = NO, SKIP TO QUESTION 49.

IF 6c = NO, SKIP TO QUESTION 49.

ELSE, CONTINUE WITH SECTION E.

SECTION E. Supervision Officers

The next questions ask about supervision officers in your agency.

- ▶ *Supervision officers* are full- and part-time staff who supervise adult probationers, regardless of their position or the amount of time they spend conducting supervision activities. Some agencies may refer to these staff as officers, agents, or caseworkers.

35. Are none, some or all of the supervision officers in your agency authorized to carry firearms?

¹ None → **SKIP TO QUESTION 37.**

² Some

³ All

36. How many of the supervision officers who carry firearms are required to do so?

¹ None

² Some

³ All

37. Do none, some or all of your supervision officers have the authority to arrest adult probationers supervised by your agency?

- None
- Some
- All

38. On June 30, 2013, how many full- and part-time supervision officers worked in your agency?

_____ Officers

39. Is this an exact count or an estimate?

- Exact count
- Estimate

SECTION F. Populations Supervised

The next questions ask about populations that may be supervised by your agency. As you answer these questions, please remember to think about supervision done by NAME, ADDRESS.

40. On June 30, 2013, what type(s) of populations did your agency supervise?

- ▶ Some persons under your agency's supervision may have multiple sentences or correctional statuses, and may be supervised by your agency and another correctional agency. When answering this question, only report the types of populations that your agency is responsible for supervising.

	<u>Yes</u>	<u>No</u>
a. Adults on pretrial status awaiting trial	<input type="checkbox"/>	<input type="checkbox"/>
b. Adults whose criminal proceedings have been suspended prior to adjudication or conviction and pending completion of a period of supervision in the community	<input type="checkbox"/>	<input type="checkbox"/>
c. Adults on probation for a misdemeanor	<input type="checkbox"/>	<input type="checkbox"/>
d. Adults on probation for a felony	<input type="checkbox"/>	<input type="checkbox"/>
e. Adults on parole or other type of post-custody conditional release	<input type="checkbox"/>	<input type="checkbox"/>
f. Juveniles	<input type="checkbox"/>	<input type="checkbox"/>
g. Other populations	<input type="checkbox"/>	<input type="checkbox"/>

g1. Please describe the other populations: _____

ROUTING #4.

IF 40c = NO AND 40d = NO, SKIP TO QUESTION 49.

ELSE, CONTINUE.

The next questions ask for aggregate counts of populations supervised by your agency.

41. On June 30, 2013, what was the total number of individuals supervised by your agency? Please include all populations represented in your answer to the previous question. **To review the previous question, press the BACK button.**

_____ Total population

IF ZERO, SKIP TO QUESTION 48.

As you answer the following questions, please remember to think about supervision done by NAME, ADDRESS. Also, focus only on *adult probation* supervision even if your agency supervises other populations.

► *Adult probationers* are persons who are subject to the authority of an adult criminal court or correctional agency. Persons under the age of 18 who were prosecuted as adults in a criminal court are considered adults for the purpose of this census.

- Include all adult probationers regardless of their supervision or reporting status.
- Include absconders who have not been officially removed from your agency's caseload.
- Include adult probationers legally your agency's responsibility but supervised by another agency, such as through a "courtesy supervision: or an interstate compact agreement.
- Include adult probationers legally your agency's responsibility but supervised by private companies.

42. On June 30, 2013, what was the total number of adult probationers supervised by your agency?

_____ Probationers

IF ZERO, SKIP TO QUESTION 48.

IF 40c = NO, SKIP TO QUESTION 44.

43. How many of those adult probationers had a misdemeanor as their most serious offense?

_____ Probationers

IF 40d = NO, SKIP TO QUESTION 45.

44. How many of those adult probationers had a felony as their most serious offense?

_____ Probationers

45. Does the information you provided about the numbers of probationers represent individuals or cases?
MARK ALL THAT APPLY.

¹ Individuals

² Cases

46. Does the information you provided about the numbers of probationers represent exact counts or estimates? *MARK ALL THAT APPLY.*

¹ Exact counts

² Estimates

47. Does your agency ever use private companies to supervise any adult probationers?

¹ Yes

² No → **SKIP TO QUESTION 49.**

48. Of those adult felony and/or misdemeanor probationers that your agency reported supervising on June 30, 2013, how many were supervised by a private company?

_____ Probationers

49. (Excluding any private company that your agency uses), are you aware of any private companies that are responsible for any function of adult felony or misdemeanor probation in your state?

¹ Yes

² No

ROUTING #5.

IF 47 = NO AND 49 = NO, SKIP TO SECTION G.

IF 47 = BLANK AND 49 = NO, SKIP TO SECTION G.

ELSE, CONTINUE WITH QUESTION 50.

50. We would like to know the name and, if possible, county in which a private company is responsible for any function of adult felony or misdemeanor probation in your state. Please indicate if you would prefer to provide this information by email, fax, or if you would like to enter the information at this time. If sending information by email or fax, please be sure to include your login ID number.

- Email → **SEND THE INFORMATION TO bjscapsa@westat.com**
- Fax → **FAX THE INFORMATION TO THE CAPSA SURVEY DESK AT XXX-XXX-XXXX**
- Enter information now
- I cannot provide this information

ROUTING #6.

IF 50 = ENTER INFORMATION NOW, CONTINUE WITH QUESTION 51.

ELSE, SKIP TO SECTION G.

51. Please provide the name and county (or counties) in which each private company operates in your state.

Name of private company

County/Counties

Name of private company

County/Counties

SECTION G. Other Probation Agencies

52. CAPSA is designed to identify and enumerate adult probation supervising agencies in the United States. Please review this list of agencies responsible for adult probation supervision throughout your state.

Not counting any agency that you might have already reported on this survey, are you aware of any other agencies responsible for any administrative, reporting, or supervisory functions of adult probation in your state that is missing from the list?

¹ Yes

² No

ROUTING #7.

IF 52 = NO, SKIP TO SECTION H.

ELSE, CONTINUE WITH QUESTION 53.

53. We would like to know the name and, if possible, county in which any missing agency is located. Please indicate if you would prefer to provide this information by email, fax, or if you would like to enter the information at this time. If sending information by email or fax, please be sure to include your login ID number.

¹ Email → **SEND THE INFORMATION TO bjscapsa@westat.com**

² Fax → **FAX THE INFORMATION TO THE CAPSA SURVEY DESK AT XXX-XXX-XXXX**

³ Enter information now

⁴ I cannot provide this information

ROUTING #8.

IF 53 = ENTER INFORMATION NOW, CONTINUE WITH QUESTION 54.

ELSE, SKIP TO SECTION H.

54. Please provide the name and county in which each agency is located.

Name of agency

County

Name of agency

County

SECTION H. Comments

55. Definitions and questions are standardized for this national census and may not match your agency's definitions and practices. Please describe any instances where you were unable to apply the census definition when answering a question.

56. Please provide any general comments about the census or other comments that would be important to interpreting your responses.

57. How long did it take you to respond to this census? Please include time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing your responses.

_____ minutes

Thank you for participating in the Census of Adult Probation Supervising Agencies. You indicated that you will share information about <<community residential facilities>> <<private agencies>> <<and/or>> <<other probation agencies>> via email or fax. Please remember to send the information to Westat at bjscapsa@westat.com or XXX-XXX-XXXX and be sure to include your agency's login ID number.

Thank you letter will be sent upon submission of each survey and if appropriate, remind agencies to submit information by email (or fax):

Dear <<D_SAL>> <<D_NAME>>,

Thank you for participating in the Census of Adult Probation Supervising Agencies. Your survey indicates that you will share information about <<community residential facilities>> <<private agencies>> <<and/or>> <<other probation agencies>> via email or fax. Please send the information to bjscapsa@westat.com or XXX-XXX-XXXX at your earliest convenience and be sure to include your agency's ID number: XXXX.

Our analysts will review your survey, and we will be in touch if we have any questions. If you ever need to make updates to your responses or have any questions about the census, please contact us at 1-888-329-8124 or by email at bjscapsa@westat.com. Thank you for your support of this data collection.

Private Company Questionnaire

U.S. DEPARTMENT OF JUSTICE BUREAU OF JUSTICE STATISTICS and acting as data collection agent Westat and the American Probation and Parole Association Census of Adult Probation Supervising Agencies (CAPSA)	FORM APPROVED O.M.B. No.: 1121-0339 EXPIRATION DATE: 01/31/2016
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INSTRUCTIONS

The Census of Adult Probation Supervising Agencies (CAPSA) is designed to identify and enumerate public and private adult probation supervising agencies in the United States and obtain information about their organizational structures, functions, and populations supervised. Only two questions ask for numerical information: the counts of adults on probation for felonies and adults on probation for misdemeanors. All other questions focus on your company's practices.

Please read all definitions and questions carefully. These definitions were developed for the purpose of this census; as such, definitions and question wording are standardized for this national census and may not match your company's definitions and practices. Because CAPSA is a national data collection, we ask all study participants to use these standardized definitions. You can provide comments at the end of the questionnaire; please describe any instances where you were unable to apply the census definition when answering a question. The comment field can also be used to provide any other general or specific comments about this questionnaire.

As part of this special pilot test, we hope to determine the how much time is associated with responding to the census. At the end of the questionnaire, you will be asked to report how much time you (and/or your staff) spent to complete the survey, including time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing your responses. Please monitor the time spent as you prepare and provide your responses. Thank you.

CONTACT INFORMATION:

Please complete this questionnaire by August 15, 2013. If you have questions, please contact the CAPSA Support Team at 1-888-329-8124 or by email at bjscapsa@westat.com.

Please provide the contact information for the person completing this questionnaire.

Contact Name: _____

Title: _____

Company Name: _____

Address: _____

Telephone number: _____ Extension: _____

E-mail: _____

Burden Statement: Under the Paperwork Reduction Act, we cannot ask you to respond to a collection of information unless it displays a currently valid OMB control number. Public reporting burden for this collection is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any aspect of this collection of information, including

Att

suggestions for reducing this burden, to the Director, Bureau of Justice Statistics, 810 Seventh Street, NW, Washington, DC 20531; and to the Office of Management and Budget, OMB No. 1121-0339, Washington, DC 20503.

SECTION A. Probation Supervision Responsibilities

The census focuses on **adult probation**. However, there are some questions that reference other populations your company may supervise. As you answer each question, please consider only **adult probation**, unless instructed otherwise.

Probation is a disposition or sentence for either a felony or misdemeanor that (1) is imposed by a criminal court and (2) places the adjudicated person under the control, supervision and care of a public or private correctional agency. The probation conditions form a contract with the court by which the person must abide in order to remain in the community, generally in lieu of incarceration. Often, probation entails monitoring or surveillance by a correctional agency, but in some instances, probation may not involve any reporting requirements.

Adult probationers are those who are subject to the authority of an adult criminal court or a public or private correctional agency. Persons under the age of 18 who were prosecuted as adults in a criminal court are considered adults for the purpose of this census.

1. Does your company perform any of the following functions of adult probation?

	Yes	No
d. Administrative functions, such as record storage and maintenance, budget preparation, personnel management or similar clerical or management activities.	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
e. Reporting functions, such as data collection and reporting activities, for example the preparation of monthly or annual reports.	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
f. Supervisory functions, where your staff (e.g., officers, agents, or caseworkers) supervise adult probationers either through face-to-face visits, mail, phone, or electronic means.	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
g. Other functions	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
d1. Please describe the other adult probation functions performed by your company.		

2. On June 30, 2013, did your company supervise adult probationers?

- Yes ¹
 No ² SKIP TO QUESTION 20.

3. On June 30, 2013, in how many states did your company supervise adult probationers?

_____ States

4. On June 30, 2013, with which type(s) of government agency/court did your company have a contract to supervise adult probationers?

For each type, please indicate if your company had no contract, a contract with a single agency/court, or a contract with more than one agency/court.

		Number of Agencies/Courts		
		None	One	More than one
Federal agency/court				
a.	Executive branch.....	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
b.	Judicial branch	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
c.	Other	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
State agency/court				
d.	Executive branch.....	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
e.	Judicial branch	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
f.	Other	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Local agency/court				
g.	Executive branch.....	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
h.	Judicial branch	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
i.	Other	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³

5. From July 1, 2012 to June 30, 2013, did any government agency/court with which your company has a contract conduct any of the following types of oversight of your adult probation supervision activities?

		Yes	No
a.	Require your company include a description of its policies and procedures for supervising adult probationers in a contract or memorandum of understanding?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
b.	Require your company obtain approval for any modification of its policies and procedures for supervising adult probationers?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
c.	Require your company to submit periodic reports on its performance of adult supervision activities or the status of adult probationers?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
d.	Perform audits or inspections of your company's performance in supervising adult probationers?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²

SECTION B. Populations Under Supervision

The next questions ask about the types of populations that your company supervises. Some persons under your company's supervision may have multiple sentences or correctional statuses, and may be supervised by your company and another correctional agency. When answering these questions, only report the types of populations that your company is responsible for supervising.

6. On June 30, 2013, did your company supervise adults on non-reporting probation?

Non-reporting probation is supervision that never required the probationer, during any period of the probation term, to report to a court or a public or private correctional authority on a regular basis either in person, by telephone or mail, or by electronic means.

- Yes ¹
 No..... ² SKIP TO QUESTION 8.

7. On June 30, 2013, did your company's total adult probation population consist only of probationers on non-reporting probation?

Non-reporting probation is supervision that never required the probationer, during any period of the probation term, to report to a court or correctional authority on a regular basis either in person, by telephone or mail, or by electronic means.

- Yes ¹
 No..... ²

8. On June 30, 2013, how many adult felony probationers did your company supervise?

_____ Adult Felony Probationers

9. On June 30, 2013, how many adult misdemeanor probationers did your company supervise?

_____ Adult Misdemeanant Probationers

10. On June 30, 2013, what other type(s) of populations did your company supervise?

- | | Yes | No |
|--|---------------------------------------|---------------------------------------|
| a. Adults on pretrial status awaiting trial..... | <input type="checkbox"/> ¹ | <input type="checkbox"/> ² |
| b. Adults whose criminal proceedings have been suspended prior to adjudication or conviction and pending completion of a period of supervision in the community..... | <input type="checkbox"/> ¹ | <input type="checkbox"/> ² |
| c. Adults on parole or other type of post-custody conditional release..... | <input type="checkbox"/> ¹ | <input type="checkbox"/> ² |
| d. Juveniles..... | <input type="checkbox"/> ¹ | <input type="checkbox"/> ² |
| e. Other populations..... | <input type="checkbox"/> ¹ | <input type="checkbox"/> ² |
| e1. Please describe: _____ | | |

SECTION C. Supervision Activities

The next questions ask about supervision activities that may be conducted directly by your company. When answering, please think about who performs the activity, regardless of who owns any equipment that might be used to perform the activity.

11. Does your company use the following methods to conduct supervision of any adult probationers?

	Yes	No
a. Face-to-Face (conducted through in-person visits such as office or field visits)	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
b. Mail.....	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
c. Phone.....	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
d. Text	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
e. Email	<input type="checkbox"/> ¹	<input type="checkbox"/> ²

12. Does your company collect fines from any adult probationers?

Fines are monetary penalties paid by probationers. Fines include but are not limited to day fines, violation fines, and restitution.

Yes ¹
 No..... ²

13. Does your company collect fees from any adult probationers?

Fees are paid by probationers to cover the cost of operations and include, but are not limited to, supervision fees, program fees, drug testing fees, pre-sentence investigation (PSI) report fees, and risk or needs assessment fees.

Yes ¹
 No..... ²

14. Does your company conduct *intensive supervision (ISP)* of any adult probationers?

ISP is a more rigorous form of supervision than standard probation. It often emphasizes extensive contact, stringent conditions (e.g., drug testing, curfews, employment, or program engagement), and close monitoring or surveillance.

Yes ¹
 No..... ²

15. Does your company use *electronic supervision* for routine reporting of any adult probationers?

Electronic supervision uses automated or electronic means, such as interactive voice recognition (IVR) or reporting kiosks for routine reporting. It does not include telephone, email, or text reporting.

Yes ¹
 No..... ²

16. Does your company use *electronic monitoring* for the supervision of any adult probationers?

Electronic monitoring uses electronic devices or systems to monitor or track probationers' locations, activities, or behaviors. Examples can include, but are not limited to, radio frequency monitoring, Global Position System (GPS) monitoring, and alcohol monitoring.

- Yes ¹
 No..... ²

17. Which of the following are used by your company to determine level, type, or conditions of supervision for any adult probationers?

	Yes	No
a. Standardized risk or needs assessment (such as the LSI-R or COMPAS).....	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
b. Risk or needs assessment developed by your company.....	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
c. Risk or needs assessment developed by a client (i.e., agency/court).....	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
d. Staff (e.g., officer, agent, case worker) judgment of risks and needs	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
e. Other	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
e1. Please describe: _____		

18. Does your company provide specialized services or programs for sex offenders on adult probation?

- Yes ¹
 No..... ²

19. Does your company provide specialized services or programs for mentally ill offenders on adult probation?

- Yes ¹
 No..... ²

SECTION D. CAPSA Response Time

20. How long did it take to respond to this census? Please include time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing your responses.

_____ Minutes

**THANK YOU FOR PARTICIPATING IN THE CENSUS OF ADULT PROBATION SUPERVISING AGENCIES.
PLEASE KEEP A COPY OF THIS SURVEY FOR YOUR RECORDS.**

<p>PLEASE RETURN COMPLETED FORM TO:</p> <p>Mail: CAPSA (8838) Westat 1600 Research Boulevard Rockville, Maryland 20850-3129</p> <p>Fax: 301-279-4508</p>	<p>IF YOU HAVE ANY QUESTIONS OR COMMENTS, CONTACT:</p> <p>CAPSA SUPPORT TEAM 1-888-329-8124 E-mail: bjscapsa@westat.com</p>
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APPENDIX C

- **Public Agency Materials**
 - **Head Cover Letter**
 - **Respondent Cover Letter**
 - **Questionnaire Topics**
 - **Study Definitions**
 - **Thank-you/Reminder Postcard**
 - **Final Thank-you Letter**
 - **Final Close-out Letter**
- **Private Company Materials**
 - **Head Cover Letter**
 - **Respondent Cover Letter**
 - **Thank-you/Reminder Postcard**
 - **Final Thank-you Letter**
 - **Final Close-out Letter**

Head Cover Letter (Public Agency)



U.S. Department of Justice

Office of Justice Programs

Bureau of Justice Statistics

Washington, D.C. 20531

June 24, 2013

<<Head First Name>><<Head Last Name>>>

Agency Name

Agency Address

Dear <<Head First Name>><<Head Last Name>>>,

The Bureau of Justice Statistics (BJS) and its data collection agent Westat, is beginning work on a new BJS project, the Census of Adult Probation Supervising Agencies (CAPSA), 2014. The American Probation and Parole Association is also contributing to this important study. We are writing to request your agency's participation in the pilot test for the 2014 CAPSA national study.

The 2014 CAPSA national study will be a special, one-time project with two key goals: 1) to develop a comprehensive listing of adult probation supervising agencies/companies in the United States; and 2) to gather information about the structures and characteristics of supervision. The last time BJS conducted a probation census of this scope was in 1991 but as you are aware, since then the nature of probation has changed drastically. The national study will provide federal, state and local stakeholders with information on current practices and policies of adult probation supervision nationwide, the various functions of probation supervision, and the different populations supervised. The CAPSA information and standard definitions are critical to providing a clear, comprehensive description of the organization of probation in the United States and the varying structures and nature of probation both across and within states. The Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 USC 3732), authorizes the collection of these data.

The pilot test in which we are asking you to take part will involve responding to the draft CAPSA questionnaire. While your participation is voluntary, we need your help to ensure the CAPSA pilot test data are complete and accurate. The results from the pilot test are critical to identifying ways to minimize burden on respondents in the national study and to evaluating the survey questionnaire and data collection procedures.

At this time, we would like you to please do the following:

- Review the enclosed Agency Information Form and confirm the accuracy or update the information.
- Identify, on the form, someone to respond to the CAPSA pilot test survey. The designated respondent should be able to answer questions about your agency's structure, operational responsibilities, characteristics of probation supervision, and types of population supervised.
- Indicate on the form if the designated respondent would be able to access the survey via the Internet.
- Fax the completed form to the Westat Agency Support Team at 301-279-4508 or email it to bjscapsa@westat.com by **July 3, 2013**. In July, we plan to send the designated respondent information on how to complete the survey.

Respondent Cover Letter (Public Agency)



U.S. Department of Justice

Office of Justice Programs

Bureau of Justice Statistics

Washington, D.C. 20531

<<XX, 2013>>

<<Designated Respondent First Name>><<Designated Respondent Last Name>>>

Agency Name

Agency Address

Dear <<Head First Name>><<Head Last Name>>>,

The Bureau of Justice Statistics (BJS) and its data collection agent Westat, is beginning work on a new BJS project, the Census of Adult Probation Supervising Agencies (CAPSA), 2014. The American Probation and Parole Association is also contributing to this important study. In response to a request that we made to <<AGENCY NAME>>, you have been designated as the agency respondent for the pilot test of the 2014 CAPSA national study.

The 2014 CAPSA national study will be a special, one-time project with two key goals: 1) to develop a comprehensive listing of adult probation supervising agencies in the United States; and 2) to gather information about structures and characteristics of the agencies. The national study will provide federal, state and local stakeholders with information on current practices and policies of adult probation supervision nationwide, the various functions of probation agencies, and the different populations supervised by them. The CAPSA information and standard definitions are critical to provide a clear, comprehensive description of the organization of probation in the United States and the varying structures and nature of probation both across and within states. The Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 USC 3732), authorizes the collection of these data.

While your participation in this pilot test is voluntary, it is vital to the implementation and success of the planned 2014 CAPSA national study. Your participation will also ensure the CAPSA pilot test data are complete and accurate. The results from the pilot test will help to identify ways to minimize burden on agencies in the national study and to evaluate the survey questionnaire and data collection procedures.

The survey website is open now and you can sign in, review the survey questions, and enter responses directly on the web. The website is secure and allows you to save and close the survey at any time and re-open it later to continue or edit your entries. To access your agency's survey:

- Go to: <https://www.bjscapsa.org/>
- Enter your agency's PIN: <<XXXX>>

Reviewing the enclosed materials should help in answering the survey questions:

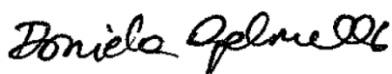
- **List of topics addressed in the questionnaire.** This list provides an overview of the questions that you will be asked.
- **Study definitions.** Since CAPSA is a national study and agencies often use different terminology, we have developed a set of standard definitions for the purpose of this census.

- **List of adult probation supervising agencies in your state.** One of the survey questions asks you to identify agencies that are responsible for supervising adult probationers that are not listed on the enclosed list of agencies.

Please complete the survey by the due date, August 15, 2013.

Thank you in advance for your assistance in this special request. We understand that you have competing demands and may need to complete several steps for preparing your agency's data. Please let Westat know if this will impact submitting your survey data by the due date, and if/how we can assist you. If you are unable to submit your survey online or if you have any questions about the pilot test or the 2014 CAPSA please contact Westat's **Agency Support Team** at **1-888-329-8124** or by email at bjscapsa@westat.com. Please feel free to also contact Lauren Glaze, BJS CAPSA Project Manager, directly via email at Lauren.Glaze@usdoj.gov or by telephone at **(202) 305-9628 with any questions.**

Sincerely,



Daniela Golinelli, Ph.D.
Chief
Corrections Statistics Program
Bureau of Justice Statistics



Lauren E. Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program
Bureau of Justice Statistics

Questionnaire Topics



Census of Adult Probation Supervising Agencies

OMB No 1121-0339 Exp. 01/31/2016

Questionnaire Topics

Almost all the questions in the CAPSA questionnaire ask for a Yes or No answer, or provide a list of response options from which to select answers. Exceptions include 1 question on the number of probation officers in your agency that supervise adult probationers and 5 questions about numbers of offenders supervised (by type). In addition, 3 questions ask for the names and county locations of other public and private adult probation supervising agencies/facilities in your state.

The following is a list of the major topics addressed in the CAPSA questionnaire:

- Branch (e.g., Executive, Judicial) and level (e.g., state, local) of government in which your agency is located
- Functions of probation performed by your agency (e.g., administrative, reporting, supervisory)
- Populations supervised by your agency (e.g., reporting/non-reporting probationers, adults on pretrial status or parole, juveniles)
- Authority and operational responsibility for budgetary, staffing, and policy/practices related to adult probation supervision
- Sources of funding for adult probation supervision, including Federal, state, and local government and fees/fines collected from probationers
- Methods of supervision (e.g., face-to-face, telephone, mail, email, other electronic means)
- Methods of assessing probationers' risks/needs
- Services for sex offenders and offenders with mental illness, provided by your agency or through a third party
- Your agency's role in setting terms or conditions of supervision (e.g., granting early positive discharge or extending the period of supervision)
- Number of officers supervising adult probationers
- Number of persons supervised by your agency, and from these:
 - Total number of adult probationers
 - Number of adult probationers supervised for a felony
 - Number of adult probationers supervised for a misdemeanor
 - Number of adult probationers supervised by a private company
- Your agency's use of correctional residential facilities (community-based facilities operated for correctional purposes) to confine or provide services to any adult probationers, including the name of any facilities used by your agency and the counties in which the facilities are located
- Your agency's use of private companies to supervise adult probationers, including the name of any companies used by your agency and the counties in which the companies operate in your state
- The name and county location of other agencies that supervise adult probationers in your state, not listed on the enclosed Supervising Agency Roster

Study Definitions



Census of Adult Probation Supervising Agencies

OMB No 1121-0339 Exp. 01/31/2016

CAPSA STUDY DEFINITIONS

Definitions are standardized for this national census and may not always match your agency's definitions and practices. Because CAPSA is a national data collection, we ask all agencies to use these standardized definitions.

Key Definitions

Probation

A disposition or sentence for either a felony or misdemeanor that (1) is imposed by a criminal court and (2) places the adjudicated person under the control, supervision and care of a correctional agency. The probation conditions form a contract with the court by which the person must abide in order to remain in the community, generally in lieu of incarceration. Often, probation entails monitoring or surveillance by a correctional agency, but in some instances, probation may not involve any reporting requirements

Adult probationers

Persons who are subject to the authority of an adult criminal court or correctional agency. Persons under the age of 18 who were prosecuted as adults in a criminal court are considered adults for the purpose of this census.

Other Definitions

Electronic monitoring

Supervision conducted through electronic devices or systems to monitor or track probationers' locations, activities, or behaviors. Examples can include, but are not limited to, radio frequency monitoring, Global Position System (GPS) monitoring, and alcohol monitoring.

Electronic supervision

Supervision conducted through automated or electronic means, such as interactive voice recognition (IVR) or reporting kiosks for routine reporting. It does not include telephone, email, or text reporting.

Face-to-face supervision

Supervision conducted through in-person visits such as office or field visits.

Intensive supervision probation (ISP)

A more rigorous form of supervision than standard probation. It often emphasizes extensive contact, stringent conditions (e.g., drug testing, curfews, employment, or program engagement), and close monitoring or surveillance.

Non-reporting probation

Supervision that never required the probationer, during any period of the probation term, to report to a correctional authority on a regular basis either in person, by telephone or mail, or by electronic means.

Residential correctional facilities

Community-based facilities operated for correctional purposes. Residents may be allowed extensive contact with the community, such as for employment, work, or attending school, but are obligated to occupy the premises at night. Examples include, but are not limited to, halfway houses, restitution centers, detention centers, and prerelease or work release centers.

Staffing

The hiring, terminating, re-assigning, or promoting of staff.

Subsidiary probation office

A field, district, satellite or other similar type of office operated by a central probation agency. While a subsidiary office may actually manage/supervise adult probationers, the central agency/office has authority over adult probation.

Supervision officers

Full- and part-time staff who supervise adult probationers, regardless of their position or the amount of time they spend conducting supervision activities.

Thank-you/Reminder Postcard (Public Agency)



U.S. Department of Justice

Office of Justice Programs

Bureau of Justice Statistics

Washington, D.C. 20531

<<XX, 2013>>

<<Designated Respondent First Name>><<Designated Respondent Last Name>>>

Agency Name

Agency Address

Dear <<Designated Respondent First Name>><<Designated Respondent Last Name>>>,

The pilot study for the Census of Adult Probation Supervising Agencies (CAPSA) was fielded in July 8, 2013 by Westat, on behalf of the Bureau of Justice Statistics. Thank you for your willingness to participate. The survey is due on August 15, 2013. If you have already submitted your survey, we thank you for your participation. After reviewing the information you provided, Westat may contact you to clarify answers and to ensure they represent your agency as accurately as possible.

If you have not submitted your survey, please do so as soon as possible. We understand that there may be circumstances that impede your ability to complete your survey by the due date. We hope you will complete the survey on the web using the sign in information provided. To access your agency's survey:

- Go to: <https://www.bjscapsa.org/>
- Enter your agency's PIN: <<xxxx>>

If this is not possible, please contact Westat's Agency Support Team (1-888-329-8124 or bjscapsa@westat.com), and they will arrange to collect your data by telephone. Westat will work with you to collect any data that you may provide, even if you cannot complete the entire survey. If you have general questions about the CAPSA pilot test, you may also contact Lauren Glaze, the project manager at the Bureau of Justice Statistics, at (202) 305-9628 or by email at Lauren.Glaze@usdoj.gov.

We look forward to receiving your completed survey and thank you in advance for your assistance with this special request.

Sincerely,

Handwritten signature of Daniela Golinelli in black ink.

Daniela Golinelli, Ph.D.
Chief
Corrections Statistics Program
Bureau of Justice Statistics

Handwritten signature of Lauren E. Glaze in black ink.

Lauren E. Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program
Bureau of Justice Statistics

Final Thank-you Letter (Public Agency)



U.S. Department of Justice

Office of Justice Programs

Bureau of Justice Statistics

Washington, D.C. 20531

<<DATE>>

<<Respondent First and Last Name>>

<<Agency Name>>

<<Agency Address>>

<<City, State Zip>>

Dear <<Respondent First and Last Name>>,

On behalf of the Bureau of Justice Statistics (BJS) and Westat, we would like to thank you for your participation in the pilot test of the Census of Adult Probation Supervising Agencies (CAPSA). We truly appreciate your support and your agency's efforts in completing the survey. Your participation and the data you provided will be used to inform the design of the CAPSA collection planned for 2014.

We look forward to working with you in the future. In the meantime, if you have questions or updates to the contact information for you or your agency, you may contact the Westat **Agency Support Team** at 1-888-329-8124 or by email at bjscapsa@westat.com. If you have general questions about the CAPSA pilot test, you may also contact Lauren Glaze, the project manager at the Bureau of Justice Statistics, at (202) 305-9628 or by email at Lauren.Glaze@usdoj.gov.

Sincerely,

Daniela Golinelli, Ph.D.
Chief
Corrections Statistics Program
Bureau of Justice Statistics

Lauren E. Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program
Bureau of Justice Statistics

<<cc: Agency Head first and last name>>

Final Close-out Letter (Public Agency)



U.S. Department of Justice

Office of Justice Programs

Bureau of Justice Statistics

Washington, D.C. 20531

<<DATE>>

<<Agency Head First and Last Name>>

<<Agency Name>>

<<Agency Address>>

<<City, State Zip>>

Dear <<AGENCY HEAD First and Last Name>>,

We recently sent you a letter requesting your agency's participation in a pilot test for the Census of Adult Probation Supervising Agencies (CAPSA) conducted by the Bureau of Justice Statistics' (BJS) and Westat, the data collection agent for the CAPSA. A reply form and completed survey were due this summer. To date, we have not received your agency's information. Due to time constraints, we must move forward and are no longer requesting your agency's participation in this pilot test.

We will contact you next year to request your participation in the national study. The 2014 CAPSA national study will be a special, one-time project with two key goals: 1) to develop a comprehensive listing of adult probation supervising agencies in the United States; and 2) to gather information about the structures and characteristics of probation supervising agencies and the nature of supervision.

We look forward to working with you in the future. In the meantime, if you have any questions, you may contact the Westat **Agency Support Team** at 1-888-329-8124 or by email at bjscapsa@westat.com. If you have general questions about the CAPSA pilot test or the national study, you may also contact Lauren Glaze, the project manager at the Bureau of Justice Statistics, at (202) 305-9628 or by email at Lauren.Glaze@usdoj.gov.

Sincerely,

Daniela Golinelli, Ph.D.
Chief
Corrections Statistics Program
Bureau of Justice Statistics

Lauren E. Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program
Bureau of Justice Statistics

Head Cover Letter (Private Company)



U.S. Department of Justice

Office of Justice Programs

Bureau of Justice Statistics

Washington, D.C. 20531

<<XX, 2013>>

Agency Name
Agency Address

Dear <<XXXXXX>>,

The Bureau of Justice Statistics (BJS) and its data collection agent Westat, is beginning work on a new BJS project, the Census of Adult Probation Supervising Agencies (CAPSA), 2014. The American Probation and Parole Association is also contributing to this important study. We are writing to request your company's participation in the pilot test for the 2014 CAPSA national study.

The 2014 CAPSA national study will be a special, one-time project with two key goals: 1) to develop a comprehensive listing of adult probation supervising agencies/companies in the United States; and 2) to gather information about the structures and characteristics of supervision. The last time BJS conducted a probation census of this scope was in 1991 but as you are aware, since then the nature of probation has changed drastically. The national study will provide federal, state and local stakeholders with information on current practices and policies of adult probation supervision nationwide, the various functions of probation supervision, and the different populations supervised. The CAPSA information and standard definitions are critical to providing a clear, comprehensive description of the organization of probation in the United States and the varying structures and nature of probation both across and within states. The Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 USC 3732), authorizes the collection of these data.

The pilot test in which we are asking you to take part will involve responding to the draft CAPSA questionnaire. While your participation is voluntary, we need your help to ensure the CAPSA pilot test data are complete and accurate. The results from the pilot test are critical to identifying ways to minimize burden on respondents in the national study and to evaluating the survey questionnaire and data collection procedures.

At this time, we would like you to please do the following:

- Review the enclosed Agency Information Form and confirm the accuracy or update the information.
- Identify, on the form, someone to respond to the CAPSA pilot test survey. The designated respondent should be able to answer questions about your agency's structure, operational responsibilities, characteristics of probation supervision, and types of population supervised.
- Fax the completed form to the Westat Agency Support Team at 301-279-4508 or email it to bjscapsa@westat.com by **July 3, 2013**. In July, we plan to send the designated respondent information on how to complete the survey.

We understand that you have competing demands and we greatly appreciate your assistance with this important pilot test. We look forward to hearing from you. If you have any questions about the 2014

CAPSA or about this request, please contact Westat's Agency Support Team at 1-888-329-8124 or by email at to bjscapsa@westat.com. Also, please feel free to contact me directly via email at Daniela.Golinelli@usdoj.gov or by telephone at (202) 616-5164 or Lauren Glaze, BJS CAPSA Project Manager, at Lauren.Glaze@usdoj.gov or (202) 305-9628 with any questions.

Sincerely,



Daniela Golinelli, Ph.D.
Chief
Corrections Statistics Program
Bureau of Justice Statistics



Lauren E. Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program
Bureau of Justice Statistics

Respondent Cover Letter (Private Company)



U.S. Department of Justice

Office of Justice Programs

Bureau of Justice Statistics

Washington, D.C. 20531

<<XX, 2013>>

<<Head First Name>><<Head Last Name>>

Agency Name

Agency Address

Dear <<Head First Name>><<Head Last Name>>>,

The Bureau of Justice Statistics (BJS) and its data collection agent Westat, is beginning work on a new BJS project, the Census of Adult Probation Supervising Agencies (CAPSA), 2014. The American Probation and Parole Association (APPA) is also contributing to this important study. In response to a request that we made to <<AGENCY NAME>>, you have been designated as the agency respondent for the pilot test of the 2014 CAPSA national study.

The 2014 CAPSA national study will be a special, one-time project with two key goals: 1) to develop a comprehensive listing of adult probation supervising agencies/companies in the United States; and 2) to gather information about the structures and characteristics of supervision. The national study will provide federal, state and local stakeholders with information on current practices and policies of adult probation supervision nationwide, the various functions of probation supervision, and the different populations supervised. The CAPSA information and standard definitions are critical to providing a clear, comprehensive description of the organization of probation in the United States and the varying structures and nature of probation both across and within states. The Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 USC 3732), authorizes the collection of these data.

While your participation in this pilot test is voluntary, it is vital to the implementation and success of the planned 2014 CAPSA national study. Your participation will also ensure the CAPSA pilot test data are complete and accurate. The results from the pilot test will help to identify ways to minimize burden on agencies in the national study and to evaluate the survey questionnaire and data collection procedures.

The pilot test questionnaire is enclosed. Once completed, please return the questionnaire in the enclosed pre-addressed postage paid envelope. **Please complete the survey by the due date, August 15, 2013.**

We understand that you have competing demands and may need to complete several steps for preparing your company's data. Please let Westat know if this will impact submitting your survey data by the due date, and if/how we can assist you. If you are unable to submit your survey online, please contact Westat's **Agency Support Team** at 1-888-329-8124 or by email at bjscapsa@westat.com.

Thank you in advance for your assistance in this special request. We greatly appreciate your time and help with the pilot test to ensure the success of the 2014 CAPSA national study. If you have any questions about the 2014 CAPSA or about this request, please contact Westat's **Agency Support Team**. Please feel free to also contact Lauren Glaze, BJS CAPSA Project Manager, directly via email at Lauren.Glaze@usdoj.gov or by telephone at (202) 305-9628 with any questions.

Sincerely,



Daniela Golinelli, Ph.D.
Chief
Corrections Statistics Program
Bureau of Justice Statistics



Lauren E. Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program
Bureau of Justice Statistics

Thank-you/Reminder Postcard (Private Company)



U.S. Department of Justice

Office of Justice Programs

Bureau of Justice Statistics

Washington, D.C. 20531

<<XX, 2013>>

<<Designated Respondent First Name>><<Designated Respondent Last Name>>>

Agency Name
Agency Address

Dear <<Designated Respondent First Name>><<Designated Respondent Last Name>>>,

The pilot study for the Census of Adult Probation Supervising Agencies (CAPSA) was fielded in <xxxxxxx> 2013 by Westat, on behalf of the Bureau of Justice Statistics. Thank you for your willingness to participate. The survey is due on August 15, 2013. If you have already returned your survey by mail or completed a telephone interview, we thank you for your participation. After reviewing the information you provided, Westat may contact you to clarify answers and to ensure they represent your company as accurately as possible.

If you have not completed your survey, please do so as soon as possible. We understand that there may have been circumstances that impeded your ability to complete your survey by the due date. We hope you will now complete the survey and return it or contact Westat's **Agency Support Team** (1-888-329-8124 or bjscapsa@westat.com), and they will arrange to collect your data by telephone. Westat will work with you to collect any data that you may provide, even if you cannot complete the entire survey. If you have general questions about the CAPSA pilot test, you may also contact Lauren Glaze, the project manager at the Bureau of Justice Statistics, at (202) 305-9628 or by email at Lauren.Glaze@usdoj.gov.

We look forward to receiving your completed survey and thank you in advance for your assistance with this special request.

Sincerely,

Daniela Golinelli, Ph.D.
Chief
Corrections Statistics Program
Bureau of Justice Statistics

Lauren E. Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program
Bureau of Justice Statistics

Final Thank-you Letter (Private Company)



U.S. Department of Justice

Office of Justice Programs

Bureau of Justice Statistics

Washington, D.C. 20531

<<DATE>>

Company Head First and Last Name

Company Name

Agency Address

City, State Zip

Dear <<COMPANY HEAD>>,

On behalf of the Bureau of Justice Statistics (BJS) and Westat, we would like to thank you for your participation in the pilot test of the Census of Adult Probation Supervising Agencies (CAPSA). We truly appreciate your support and your company's efforts in completing the survey. Your participation and the data you provided will be used to inform the design of the CAPSA collection planned for 2014.

We look forward to working with you in the future. In the meantime, if you have questions or updates to the contact information for you or your company, you may contact the Westat **Agency Support Team** at 1-888-329-8124 or by email at bjscapsa@westat.com. If you have general questions about the CAPSA pilot test, you may also contact Lauren Glaze, the project manager at the Bureau of Justice Statistics, at (202) 305-9628 or by email at Lauren.Glaze@usdoj.gov.

Sincerely,

Daniela Golinelli, Ph.D.
Chief
Corrections Statistics Program
Bureau of Justice Statistics

Lauren E. Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program
Bureau of Justice Statistics

Final Close-out Letter (Private Company)



U.S. Department of Justice

Office of Justice Programs

Bureau of Justice Statistics

Washington, D.C. 20531

<<DATE>>

<<Company Head First and Last Name>>

<<Company Name>>

<<Company Address>>

<<City, State Zip>>

Dear << Company Head First and Last Name>>,

We recently sent you a letter requesting your company's participation in a pilot test for the Census of Adult Probation Supervising Agencies (CAPSA) conducted by the Bureau of Justice Statistics' (BJS) and Westat, the data collection agent for the CAPSA. A reply form and completed survey were due this summer. To date, we have not received your company's information. Due to time constraints, we must move forward and are no longer requesting your company's participation in this pilot test.

We will contact you next year to request your participation in the national study. The 2014 CAPSA national study will be a special, one-time project with two key goals: 1) to develop a comprehensive listing of adult probation supervising companies and agencies in the United States; and 2) to gather information about the structures and characteristics of probation supervising companies and agencies and the nature of supervision.

We look forward to working with you in the future. In the meantime, if you have any questions, you may contact the Westat **Agency Support Team** at 1-888-329-8124 or by email at bjscapsa@westat.com. If you have general questions about the CAPSA pilot test or the national study, you may also contact Lauren Glaze, the project manager at the Bureau of Justice Statistics, at (202) 305-9628 or by email at Lauren.Glaze@usdoj.gov.

Sincerely,

Daniela Golinelli, Ph.D.
Chief
Corrections Statistics Program
Bureau of Justice Statistics

Lauren E. Glaze
Statistician and CAPSA Project Manager
Corrections Statistics Program
Bureau of Justice Statistics

APPENDIX D

- **Anecdotal Comments**

This appendix provides information we collected from the pilot test respondents over the course of the data collection period and throughout data retrieval. We presume that this information will inform our decisions as we make changes to the instruments and data collection procedures in preparation for the national study.

The comments are listed by topic area and agencies/states that provided them.

Functions of probation (Idaho Supreme Court, ID)

We were confused by Mr. Hong's survey answers because he indicated "No" to all functions of probation in question 6 and then entered a comment suggesting that his agency does in fact play some role in probation. Through data retrieval, we learned that his agency, as the highest court in the state, has a real interest in probation but does not actually perform any of the functions that would qualify them for CAPSA. This is good news insofar as it means that the survey is working as we envisioned. Mr. Hong was confused because he assumed that we knew about his agency's purview and still expected him to respond. So he tried as best as he could given what he knows about probation in his state.

Mr. Hong shared information about probation in Idaho which reveals that the Idaho Supreme Court should not be included in CAPSA but that the Department of Correction should be included.

1. Felony probation is administered by the Idaho Department of Correction (IDOC). IDOC is an executive/state agency. Probation supervision is conducted through 7 IDOC offices throughout the state. All offices do the same thing; they take their orders from IDOC. Probation officers are IDOC employees. If we want to know about felony probation in Idaho, we want to go to the IDOC.
2. Misdemeanor probation is administered by county probation offices in the state's 44 counties. Probation officers are county employees. The counties are organized into 7 judicial districts and each judicial district is overseen by a head judge. If we want to know about misdemeanor probation in Idaho, we want to go to the 7 judicial districts' head judges.
3. The Idaho Supreme Court is interested in and has a stake in probation based on their being the highest court in the state. The Supreme Court does not regularly provide funding to IDOC or the counties for probation activities. On occasion, it funds special projects like rolling out a new risk assessment tool or a statewide case management system. Officers throughout the state enter data into the case management system and the Supreme Court uses those data to produce reports. The Idaho Supreme Court is not an appropriate respondent for CAPSA.

Funding (New York Division of Criminal Justice Services; Oregon Department of Corrections)

In question 6, NY DCJS and OR DOC indicated that they do not perform supervisory functions; they perform administrative and reporting functions. When they reached question 15, about sources of funding, both agencies responded "No" to all sources. We conducted data retrieval with both

agencies to inquire about those funding responses knowing that they must receive funding from some source. During data retrieval, they explained that they responded this way because they do not receive any funding (i.e., funding from those sources) to provide “adult probation services” or “supervision service.” For example, DCJS replied that they are “a state agency that oversees and provides direction for county probation departments. The county probation departments provide all adult probation services in New York.”

We clarified that the funding question was asking where they received money to perform the functions indicated in question 6, including administrative and reporting. This made sense to both agencies and as a result, both said that they would change their response to “Yes” for question 15d – State sources other than grants. Their funding comes from the state budget or State General Fund.

Methods of supervision and counts of probationers (Pennsylvania Board of Probation and Parole)

For question 6 – item c, this agency answered “Yes” to indicate that they perform supervisory functions. However, for question 18, they answered “No” to each item indicating that the agency does not use any of the listed methods to conduct supervision of adult probationers. We conducted data retrieval to determine whether they conduct supervision and if so, by what method.

The respondent shared that he may have misinterpreted question 18. If the question was asking “Do you use these forms of communication at any point during the supervision of a probationer” then, yes, his agency does sometimes send them mail or use phones to communicate with them. “But none of those methods are considered supervision, as all offenders must have face-to-face contact with their officers at least once a month. In short, we do not have mail-reporting or phone-reporting options.”

We also contacted this agency about questions 42, 43, and 44, counts of total probationers, felony probationers, and misdemeanor probationers. In question 42, they indicated 8,114 total probationers. However, for questions 43 and 44, they indicated 5,229 misdemeanor probationers and 2,774 felony probationers, which equals 8,003 total probationers. We asked whether there was an explanation for this discrepancy or if one of the responses should be changed.

The respondent shared that “Pennsylvania has a class of crimes below misdemeanor known as Summary Offenses. The missing offenders are all within that category... Summary Offenses are crimes that are relatively small, such as underage drinking or first-time offenders charged with retail theft. From the PA criminal code, they are crimes in which a person cannot serve more than 90 days incarcerated... They would be treated exactly the same as all other offenders by our agency. That means they are normally active unless they are being revoked or are absconding.”

Assorted survey items (Minnesota Department of Corrections)

The MN DOC was selected for data retrieval because they did not provide a response to question 26 which asked whether their agency is able to “impose standard or special conditions of probation for any type of adult probationers? Imposing conditions includes amending or removing conditions as well as adding new conditions.” The agency told us that they were confused by the question and

unsure how to answer because a simple “Yes” or “No” would be inaccurate. Specifically, the agency shared that they “told the interviewer that we needed to check with the survey authors or someone. The law allows our agents to add or change supervision sanctions; however, an agent cannot remove a court-imposed condition without the approval/signature of the court.”

When we thanked the respondent for her feedback, she shared a list of additional items where she “had difficulty fitting responses into discreet categories, at least as listed.” She shared the following items:

- Question 4: We have subsidiary offices for probation provided by the DOC, but this office is not the subsidiary. I’m not sure your survey captured that. Our subsidiary offices were not all listed on the list I emailed you – we have “district offices” which may encompass more than one county but we also have quite a few smaller local offices.
- Question 27: Phrased “without appearing before a judge or court.” “Early discharges can be granted with a judge’s signature here, but that doesn’t require ‘appearing’.”
- Question 28a: “Again, may need a judge’s signature in some situations, but it’s not always an ‘appearance’.”
- Question 29: Agents can issue Apprehension and Detention orders without appearing before a judge or court. “This isn’t really a period of incarceration, but an ability to have law enforcement detain until appearing before a court.”
- Question 37: “The law allows agents to issue Apprehension and Detention orders, but DOC policy doesn’t allow agents to personally take offenders into custody. We involve law enforcement.”
- Questions 41, 42, 43, 44: “We do this type of reporting annually for the federal probation survey so our numbers are as of December 31, not as of June 30.”
- Question 43: “You lump misdemeanor into one category. We have two categories of misdemeanor – plain misdemeanor and a gross misdemeanor. I have numbers for each and also the lump sum. Not sure which number the interviewer wrote down.”

CRFs, private companies, and the organization of probation in TN (General Sessions Court - Nashville & Davidson County - Department of Probation, TN)

For question 31, this agency responded “Yes” to indicate awareness of correctional residential facilities in their state. At question 33, they reported that they could provide a list of the name and county of each correctional residential facility. However, we had not received a list until data retrieval began, so we contacted the respondent to inquire about said list.

The respondent said they had not sent a list because he was unsure what we were looking for. He said that “Correctional” is the key word. “If you are talking about state, federal, or local jails and prisons you can easily access that information. If you are referring to halfway houses, I can email you a link of the approved halfway house list that both Federal and State Probation use, but, those facilities are not ‘lock down’.” We reminded him of our survey definition and said if he felt that the facilities on the approved halfway house list fit the definition, to please forward that link to us. He shared the following link to the Tennessee Offender Re-Entry for Transitional Housing. “These are

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halfway houses that the State Board of Probation and Parole has approved for their offenders.”
Link: <http://www.tnoffenderreentry.com/housing-transitional/#listing>.

The respondent also shared that there are “Re-Entry Centers in Tennessee for federal offenders in the custody of the Federal Bureau of Prisons. The United States Probation & Pretrial Services offices in Tennessee utilize the[se]...programs for their probation, supervised release, and pretrial offenders.”

1. Dismas Charities operates centers in Nashville and Memphis. Those locations, along with other centers throughout the U.S., can be found at www.dismas.com
2. Midway Rehabilitation operates a center in Knoxville. Go to <http://midwayrehab.org/>
3. The Salvation Army operates a center in Chattanooga. Go to <http://csarmy.org/contact.asp>

Similarly, this agency answered “Yes” to question 49, to indicate awareness of private companies responsible for adult felony and/or misdemeanor probation in their state. However, for question 50, they indicated that they could not provide a list of the private companies. We conducted data retrieval to find out why they could not provide this information. The respondent replied that “There are private for-profit and not-for-profit probation agencies throughout Tennessee. There are none in our county. Simply put, I am not going to research the names and locations of private agencies. I do not have the time.”

The respondent went on to share information about the organization of probation in Tennessee. It is summarized below, as it relates to the purview of CAPSA:

Tennessee has two criminal courts:

1. General Sessions Court – the flow of all criminal felony and misdemeanor cases begins here.

Probation cases out of the General Sessions Court are always misdemeanor cases (including felonies reduced to misdemeanors in this court). Probation supervision for General Sessions Court cases is the responsibility of the county. There are just a small number of counties that have a county-owned Probation Department. Our Probation Department is a county department (or in our case a metropolitan department, because our city/county governments are merged). Private Probation agencies handle supervision for all other counties and I do not know how to find out who they all are. Providence Community Corrections (not to be confused with my description of community corrections below) is one and Correctional Alternatives, Inc. is another. Providence website is www.provcorp.com. I think BI (Behavioral Interventions) might also operate private probation in Tennessee.

2. Criminal Court (sometimes referred to as the “State Trial Court”) – felonies after indictment by a grand jury, and misdemeanor cases where the defendant wants a jury trial.

Probation out of Criminal Court is handled by either State Probation and Parole or Community Corrections. State Probation and Parole is a department within the

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Department of Correction that supervises parolees from prison and probation cases noted above (i.e., misdemeanor cases where the defendant wants a jury trial). Community Corrections operates on a federal grant and State Probation and Parole is the pass-through entity. State Probation and Parole awards the contracts. Community Corrections is in all the counties. Their mission is to supervise felons that would normally be sentenced to prison. Those offenders are normally placed on GPS or EM and are under house arrest. The Case Manager (i.e., officer) caseloads are very small (25-30). Community Corrections supervises those offenders for a year and then transfer them to State Probation and Parole to complete their community supervision.

Community Corrections agencies are either county or non-profit. In my county they are a government agency. They are called Davidson County Community Corrections. Mid-Cumberland Community Corrections is a non-profit that supervises all those cases in all the surrounding counties and a few others. Other non-profits are located throughout Tennessee. The link to the community corrections agencies is: http://www.tn.gov/correction/communitycorrections/cc_directory.shtml