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## Attachment C1. Cover Letter—Agency/Company Head

<<June XX, 2013>>

Agency Head Name  
Agency Address

Dear <<XXXXX>>,

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 [PUBLIC: agency's/ PRIVATE: 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.
- [PUBLIC: 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 toll free at 1-XXX-XXX-XXXX or email it to [bjscapsa@westat.com](mailto:bjscapsa@westat.com) by **June XX, 2013**. In early 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](mailto:bjscapsa@westat.com). Also, please feel free to contact me directly via email at [Daniela.Golinelli@usdoj.gov](mailto:Daniela.Golinelli@usdoj.gov) or by telephone at (202) 616-5164 or Lauren Glaze, BJS CAPSA Project Manager, at [Lauren.Glaze@usdoj.gov](mailto: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 Glaze  
Statistician and CAPSA Project Manager  
Corrections Statistics Program  
Bureau of Justice Statistics



**[PUBLIC: Agency / PRIVATE: Company] Information Form**

Please review the information below. Indicate whether the [PUBLIC: head of agency / PRIVATE: corporate point of contact] information is correct and make updates as needed. Also, please designate a survey respondent [PUBLIC: and indicate whether the respondent would be able to complete the survey via the Internet].

**[PUBLIC: Head of Agency / PRIVATE: Corporate Point of Contact]**

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

**Designated Survey Respondent**

Name	_____
Address 1	_____
Address 2	_____
City, State Zip	_____
Email:	_____
Phone:	_____
Fax:	_____
Attn:	_____
<p><b>[PUBLIC: If requested, would the designated respondent be able to respond to the survey through the Internet?]</b></p> <input type="checkbox"/> Yes <input type="checkbox"/> No	

Please fax or email this information to Westat by <xxxxx>, 2013

Fax:<xxxxxx>

Email: [bjscapsa@westat.com](mailto:bjscapsa@westat.com)

Attn: CAPSA Survey

If you have any questions, please telephone 1-888-329-8124 or email [bjscapsa@westat.com](mailto:bjscapsa@westat.com).

## Attachment C-3. Cover Letter—Public Agency Respondent

<<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. 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.

### [PUBLIC WEB RESPONDENT:

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]

### [PUBLIC TELEPHONE RESPONDENT:

An interviewer from Westat will contact you in the next week or so to complete the pilot test survey questionnaire. You can complete the interview at that time or schedule a call for a time that would be convenient to you.]

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 [PUBLIC WEB RESPONDENT: you are unable to submit your survey online or] 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](mailto:bjscapsa@westat.com). Please feel free to also contact Lauren Glaze, BJS CAPSA Project Manager, directly via email at [Lauren.Glaze@usdoj.gov](mailto: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 Glaze  
Statistician and CAPSA Project Manager  
Corrections Statistics Program  
Bureau of Justice Statistics

## Attachment C-4. Cover Letter—Private Company Respondent

<<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 (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](mailto: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](mailto: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 Glaze  
Statistician and CAPSA Project Manager  
Corrections Statistics Program  
Bureau of Justice Statistics

## Attachment C-5. CAPSA Questionnaire Topic Sheet (Public Agency)



## Census of Adult Probation Supervising Agencies

OBM 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

## Attachment C-6. CAPSA Questionnaire—Sample Web Screen Shots (Public Agency)

INTERVIEW Logon - Windows Internet Explorer

**BJS Bureau of Justice Statistics** Census of Adult Probation Supervising Agencies  
OBM No 1121-0339 Exp. 01/31/2016

Welcome to the Census of Adult Probation Supervising Agencies Pilot Test.

To begin, 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 Agency Support Team at 1-888-329-8124 or by email at [bjscapsa@westat.com](mailto:bjscapsa@westat.com).

Please complete this questionnaire by August 15, 2013.

PIN :

This is the Official website for the Bureau of Justice Statistics (BJS) Census of Adult Probation Supervising Agencies Survey. The website is hosted at Westat. You can access the BJS website by clicking on this link:

Interviewer Web CAPSA TESTING - PURPOSE - Windows Internet Explorer

Progress

**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, and functions. 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.

**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, 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.

Interviewer Web CAPSA TESTING - INSTRUCT - Windows Internet Explorer

Progress

**INSTRUCTIONS:**

**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.

Interviewer Web CAPSA TESTING - 82 - Windows Internet Explorer

Progress

In which branch of government is SAMPLE PROBATION AGENCY located?

- Executive branch
- Judicial branch
- Other (Please describe)

Which of the following best describes SAMPLE PROBATION AGENCY's level of government?

- Federal
- State
- Local
- Other (Please describe)

## Attachment C-7. Telephone Interview Introductory Script



**Census of Adult Probation Supervising Agencies**

OBM No 1121-0339 Exp. 01/31/2016

### Telephone Interview Introductory Script

Hello, this is <<name>>. I'm calling on behalf of the Bureau of Justice Statistics regarding the pilot test for the Census of Adult Probation Supervising Agencies (CAPSA). We recently sent your agency a survey packet describing the study. Did you receive it?

[If no, offer to send again and ask where to send the packet – email address, mail address, fax number.]

I'm calling today to conduct the interview.

[If respondent cannot do the interview at this time, schedule callback. Otherwise, continue.]

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.

On average, we expect the interview to take about (IF PUBLIC: 50 / IF PRIVATE: 30) minutes to complete. Your participation is voluntary but we need your help to make the CAPSA pilot study data complete and accurate.

[Continue with (PUBLIC: Web / PRIVATE: Paper) questionnaire.]

**Attachment C-8. Thank-you/Reminder Postcards**

**Public Agency Web Thank-you/Reminder Postcard**

<<XX, 2013>>

Agency Name  
Agency Address

Dear <<XXXXXX>>,

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 was 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 have been circumstances that impeded your ability to complete your survey by the due date. We hope you will now complete the survey on the web using the sign in information on the enclosed information sheet. If this is not possible, please contact **Westat's Agency Support Team** (1-888-329-8124 or [bjscapsa@westat.com](mailto: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](mailto: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 Glaze  
Statistician and CAPSA Project Manager  
Corrections Statistics Program  
Bureau of Justice Statistics

## Private Agency Mail Thank-you/Reminder Postcard

<<XX, 2013>>

Company Name  
Company Address

Dear <<XXXXXX>>,

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 was 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](mailto: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](mailto: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 Glaze  
Statistician and CAPSA Project Manager  
Corrections Statistics Program  
Bureau of Justice Statistics

## Attachment C-9. Nonrespondent Telephone Scripts



### Census of Adult Probation Supervising Agencies

OBM No 1121-0339 Exp. 01/31/2016

#### **CAPSA Pilot Test, Script for telephone prompting of nonrespondent public agencies asked to complete the survey online**

Hello, this is <<name>>. I'm calling on behalf of the Bureau of Justice Statistics regarding the pilot test for the Census of Adult Probation Supervising Agencies (CAPSA). We recently sent your agency a survey packet describing the study. Did you receive it?

[If no, offer to send again and ask where to send the packet – email address, mail address, fax number.]

We haven't received your survey yet and the due date was August 15, 2013. I'm calling to see if you will be able to provide the necessary survey data for your probation agency and if there is anything we can do to assist you in submitting your survey.

[Address concerns, answer questions, negotiate due date, review response mode options (web, telephone, fax), etc.]

#### **CAPSA Pilot Test, Script for telephone prompting of nonrespondent private companies asked to complete the survey by mail**

Hello, this is <<name>>. I'm calling from the American Probation and Parole Association on behalf of the Bureau of Justice Statistics regarding the pilot test for the Census of Adult Probation Supervising Agencies (CAPSA). We recently sent a study questionnaire to you. Did you receive it?

[If no, offer to send again and ask where to send the questionnaire – email address, mail address, fax number.]

We haven't received your survey yet and the due date was August 15, 2013. I'm calling to see if you will be able to provide the necessary survey data for your company and if there is anything we can do to assist you in submitting your survey.

[Address concerns, answer questions, negotiate due date, review response mode options (web, telephone, fax), etc.]

**Attachment C-10. Final Thank-you Letter**

<<DATE>>

Agency/Company Name  
Agency Address

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/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 (agency/company), you may contact the Westat **Agency Support Team** at 1-888-329-8124 or by email at [bjscapsa@westat.com](mailto: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](mailto:Lauren.Glaze@usdoj.gov).

Sincerely,

Daniela Golinelli, Ph.D.  
Chief  
Corrections Statistics Program  
Bureau of Justice Statistics

Lauren Glaze  
Statistician and CAPSA Project Manager  
Corrections Statistics Program  
Bureau of Justice Statistics