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Attachment A – Agency Head Discussion Guides

A1. Parole Agency Head Discussion Guide

A2. Probation Agency Head Discussion Guide

## Core Development Work Parole Agency Head Discussion Guide

Thank you for taking time to review the survey materials and speak with me today. During our call, I would like to hear your thoughts about the content and focus of the survey – especially as they relate to the definitions and instructions used in the survey. The APS has been standardized because it is a national survey collection; so some of the content and terminology might not match your agency’s definitions and practices. It is really helpful to hear about how agencies define and track their own populations and the extent to which they match those used on the survey.

There are a few specific sections of the survey that I would like to discuss with you. We can go through the questionnaire page by page, and I’ll raise the issues that I have. If you would like to talk about any issues that I don’t raise, please let me know.

**The first question that I have on my list is Question 2. Should we begin with that question or is there anything on the cover page or on the first question that you would like to talk about?**

**Q2. ...entered parole by –**

- b. Mandatory release from prison
- d. Term of supervised release from prison

➤ Does your agency use these terms? How are the two groups different?

**Q3. ...discharged from supervision for the following reasons –**

a. Completions

- Would your agency be able to sub-divide the number of completions into the two categories of early terminations (early positive discharge) and expirations? How would your agency define early terminations and expirations?
  - *CAPSA definition of “Early terminations” or “early positive discharge”- A discharge prior to the scheduled expiration of a sentence granted in response to the satisfaction of conditions or earned time credits.*
  - *Definition of “Expirations”- A discharge according to the scheduled expiration of a sentence granted in response to the satisfaction of conditions of supervision (possibly with some financial conditions remaining).*

f. Other [*consider eliminating from survey*]

- What other types of discharges does your agency track? What would you include in each of the three categories: other completions, unsatisfactory, and other?

Next, let's look at **Question 4**.

**Q4. On December 31<sup>st</sup>, what was your agency's adult parole population?**

- What types of populations would be included in your agency's yearend count?
- Would you include juveniles sentenced in an adult court?
- Could your agency break-out the yearend count by the following categories?
  - Active vs. inactive (*Does "active" include absconders, low-risk, those in residential placements that are/are not still under their jurisdiction?*)
  - Custody vs. jurisdiction counts
  - Felon vs. misdemeanor populations

If your agency was able to provide data for the yearend count on the number of POPULATION TYPE, would you be able to provide the data for the rest of the survey for just these POPULATION TYPE parolees?

**Before we move on to the next page, are there any other issues that you would like to talk about on Question 1 through 4?**

**Q5. ...count of individuals or cases?**

- How does your agency define "cases"? Does it include instances where the person was under supervision for two or more distinct sentences? Under supervision for two or more offenses as part of the same sentence? Something else?
- Your agency provides data at the case level? Can you explain why you report cases and not individuals? Could your agency provide data at the individual level?
- Could your agency provide an estimate of the number of people with multiple cases? Could your agency provide an estimate of the average number of cases per individual?

**Unless you have comments on Questions 6 and 7, I'll move on to Question 8.**

**Q8. ...maximum sentence of –**

- How useful are the categories – a year or less and more than a year – in describing your parolee population? What other categories might be more informative? Why?

**If you're ready, I'd like to look at Question 11 next.**

**Q11. ...most serious offense –**

Does your agency use a hierarchy to define which offenses are more serious than others? Can we obtain a copy of the hierarchy?

**Q12. ...parolees supervised by your agency had a status of –**

a. Active

c. Inactive

- How does your agency define an “active” parolee? How does your agency define an “inactive” parolee? What types of parolees are included or excluded?
- Would your agency be able to provide data on the number of individuals in the yearend count who are on “active” supervision status? Would your agency be able to provide data on the number of individuals in the yearend count who are on “inactive” supervision status?

b. Only financial conditions remaining

- Would these parolees be included in the yearend total?
- Would these parolees be included in the number discharged by completion?

d. Absconders

- Would absconders be included in the numbers reported as discharged for being an absconder? If not, would they still be included in the yearend population?

g. Supervised out of jurisdiction

- What types of parolees would your agency include in this category?
- Would this category include interstate compact cases that are reported in Question 6?

**Next, let’s look at Question 15.**

**Q15. ...parolees who had their location tracked through a Global Positioning System (GPS)**

- Can you tell me more about how your agency uses GPS to track parolees?
- What other types of electronic monitoring does your agency use? What types of parolees are tracked in these ways?

***For central reporters: Administrative records***

- Would your agency be able provide administrative records describing your parolee population?
- What information does your agency maintain in your administrative records?
- What format is the information in?
- What restrictions are there on information-sharing (de-identified data only)?

***Agency Head comments: That was the last issue that I wanted to raise.***

- Is there anything else that you've noted in the questionnaire that might affect how your agency would categorize or report on any population that you supervise?

## Core Development Work Probation Agency Head Discussion Guide

Thank you for taking time to review the survey materials and speak with me today. During our call, I would like to hear your thoughts about the content and focus of the survey – especially as they relate to the definitions and instructions used in the survey. The APS has been standardized because it is a national survey collection; so some of the content and terminology might not match your agency’s definitions and practices. It is really helpful to hear about how agencies define and track their own populations and the extent to which they match those used on the survey.

There are a few specific sections of the survey that I would like to discuss with you. We can go through the questionnaire page by page, and I’ll raise the issues that I have. If you would like to talk about any issues that I don’t raise, please let me know.

**The first question that I have on my list is Question 3. Should we begin with that question or is there anything on the cover page or on the first two questions that you would like to talk about?**

**Q3. ...discharged from supervision for the following reasons –**

**b. Completions**

- Would your agency be able to sub-divide the number of completions into the two categories of early terminations (early positive discharge) and expirations? How would your agency define early terminations and expirations?
  - *CAPSA definition of “Early terminations” or “early positive discharge”- A discharge prior to the scheduled expiration of a sentence granted in response to the satisfaction of conditions or earned time credits.*
  - *Definition of “Expirations”- A discharge according to the scheduled expiration of a sentence granted in response to the satisfaction of conditions of supervision (possibly with some financial conditions remaining).*

**b3. Incarcerated, to receive treatment [*consider eliminating from survey*]**

- What types of cases are discharged by incarceration to receive treatment? Is this a permanent discharge from supervision or a type of diversion that occurs pre-adjudication?

**b4. Other**

- Take a look at Question 3, item b4. There is an instruction to the right that refers to “probationers incarcerated pending a revocation, trial, sentencing, or others.” Does your agency supervise any individuals that would fall into this category? What types of cases are these? [*Shouldn’t they only be discharged after actual revocation or sentencing?*]

- c. Absconder
- d. Warrant or detainer
  - Are discharges for being an absconder an absolute discharge? Do discharges for being an absconder have a warrant issued?
  - How does your agency define a detainer, and how is this different from a warrant?
  - How are discharges for being an absconder different from probationers discharged to a warrant or detainer?
- e. Transferred to another probation agency
  - Can you tell me more about the probationers in this category? *[How can a probationer be discharged by being transferred to another agency? Even with inter-state compact agreements, the case is still technically under the jurisdiction of the original court. It could be considered inactive by the originating jurisdiction but not discharged.]*
- g. Other *[consider eliminating from survey]*
  - What other types of discharges does your agency track? What would you include in each of the three categories: other completions, unsatisfactory, and other?

Next, let's look at **Question 4**.

**Q4. On December 31<sup>st</sup>, what was your agency's adult probation population?**

- What types of populations would be included in your agency's yearend count?
- Would you include juveniles sentenced in an adult court?
- Could your agency break-out the yearend count by the following categories?
  - Active vs. inactive (*Does "active" include absconders, low-risk, those in residential placements that are/are not still under their jurisdiction?*)
  - Custody vs. jurisdiction counts
  - Felon vs. misdemeanor populations
  - Persons not fully adjudicated (pretrial)
  - Unsupervised

If your agency was able to provide data for the yearend count on the number of POPULATION TYPE, would you be able to provide the data for the rest of the survey for just these POPULATION TYPE probationers?



Before we move on to the next page, are there any other issues that you would like to talk about on Question 1 through 4?

**Q5. ...count of individuals or cases?**

- How does your agency define “cases”? Does it include instances where the person was under supervision for two or more distinct sentences? Under supervision for two or more offenses as part of the same sentence? Something else?
- Your agency provides data at the case level. Can you explain why you report cases and not individuals? Could your agency provide data at the individual level?
- Could your agency provide an estimate of the number of people with multiple cases? Could your agency provide an estimate of the average number of cases per individual?

Unless you have comments on Questions 6 through 8, I’ll move on to Question 9.

**Q9. ...most serious offense –**

Does your agency use a hierarchy to define which offenses are more serious than others? Can we obtain a copy of the hierarchy?

g. Other traffic offense [*consider eliminating from survey*]

- What types of traffic offenses, other than DWI or DUI, are considered the most serious offense that could lead to someone getting sentenced to community supervision?

If you’re ready, I’d like to look at Question 14 next.

**Q14. ...placed on probation through –**

d. Suspended imposition of a sentence (persons not fully adjudicated, e.g., probation before verdict)

- What types of probationers would be included in this category? How would your agency define this group (e.g., persons on pretrial, probationers being supervised while on diversion)?
- Would your agency include these probationers in the yearend count?

Next, I’d like to talk about Question 15.

**Q15. ...probationers supervised by your agency had a status of –**

- b. Active
- d. Inactive

- How does your agency define an “active” probationer? How does your agency define an “inactive” probationer? What types of probationers are included or excluded?

- Would your agency be able to provide data on the number of individuals in the yearend count who are on “active” supervision status? Would your agency be able to provide data on the number of individuals in the yearend count who are on “inactive” supervision status?
- c. Only financial conditions remaining
- Would these probationers be included in the yearend total?
  - Would these probationers be included in the number discharged by completion?
- e. Absconders
- f. Warrant status
- How are absconders different from those that are discharged to a warrant or detainer?
  - Would these probationers be included in the numbers reported as discharged for being an absconder or on warrant status? If not, would they still be included in the yearend population?
- g. Supervised out of jurisdiction
- What types of probationers would your agency include in this category?
  - Would this category include interstate compact cases that are reported in Question 10?

**Q16. ...probationers who had their location tracked through a Global Positioning System (GPS)**

- Would this category include defendants who have a suspended imposition of a sentence (pretrial)?
- Can you tell me more about how your agency uses GPS to track probationers?
- What other types of electronic monitoring does your agency use? What types of probationers are tracked in these ways?

***For central reporters: Administrative records***

- Would your agency be able provide administrative records describing your probation population?
- What information does your agency maintain in your administrative records?
- What format is the information in?
- What restrictions are there on information-sharing (de-identified data only)?

***Agency Head comments: That was the last issue that I wanted to raise.***

- Is there anything else that you’ve noted in the questionnaire that might affect how your agency would categorize or report on any population that you supervise?

Attachment B – 2014 ASPP Questionnaires

B1. 2014 Annual Parole Survey

B2. 2014 Annual Probation Survey

<b>RETURN TO</b>	<b>WESTAT</b> BJS Annual P/P Survey RW-2634 1600 Research Boulevard Rockville, MD 20850-3129		FORM CJ-7		U.S. DEPARTMENT OF JUSTICE BUREAU OF JUSTICE STATISTICS	
	<b>2014 ANNUAL PAROLE SURVEY</b>					
<b>PLEASE ENTER THE CONTACT INFORMATION FOR THE PERSON FILLING OUT THIS FORM</b>						
Name			Title			
Address 1						
Address 2						
City			State		Zip code	
<b>TELEPHONE</b>	Area code	Number	Extension	<b>FAX NUMBER</b>	Area code	Number
<b>EMAIL ADDRESS</b>						
<b>AGENCY UID</b>						

**GENERAL INFORMATION**

- If you have any questions, call the **Agency Support Team, Westat, at 1-888-371-3718**, or email [bjs-aps@westat.com](mailto:bjs-aps@westat.com).
- Please complete the questionnaire before **February 28, 2015** using the web-reporting option at [www.bjs-aps.org](http://www.bjs-aps.org), by mailing the completed questionnaire to **WESTAT** at the address above, or by **faxing** all pages toll-free to **1-888-371-3949**.

**Who is covered by this survey?**

- **INCLUDE** all persons sentenced as adults, who were conditionally released to parole supervision, by parole board decision, by mandatory conditional release, through other types of post-custody conditional supervision, or as the result of a sentence to a term of supervised release. (Adults are persons subject to the jurisdiction of an adult court or correctional agency.)
- **INCLUDE** adult parolees legally your responsibility but supervised outside your jurisdiction, such as through an interstate compact agreement.
- **INCLUDE** adult parolees on active supervision, including those who report electronically, or inactive supervision.
- **INCLUDE** adult parolees under your jurisdiction regardless of supervision status or sentence length.
- **INCLUDE** absconders who have not been discharged from parole.

**Who is not covered by this survey?**

- **EXCLUDE** juveniles (persons under the jurisdiction of a juvenile court or corrections agency).
- **EXCLUDE** interstate compact cases supervised by your jurisdiction for another state.
- **EXCLUDE** adult parolees supervised by your jurisdiction but legally the responsibility of another jurisdiction.

**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 1.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining 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.

**INSTRUCTIONS**

- Please provide a response to each item. Blank items will be interpreted as "unknown" ("DK").
- If the answer to a question is "none" or "zero," write "0" in the space provided.
- If the answer to a question is "unknown," write "DK" in the space provided.
- If the answer to a question is "not applicable," write "NA" in the space provided.
- When an exact numeric answer is not available, provide an **estimate** and mark (X) in the box beside each figure. For example 1,000 .

Your agency's adult parole population on December 31, 2013.....

**ITEMS AND DEFINITIONS**

1. On January 1, 2014, what was your agency's adult parole population?  
Population on January 1, 2014 .....

← 1. See cover page for persons to INCLUDE and EXCLUDE.

2. Between January 1, 2014, and December 31, 2014, how many adults entered parole by —

← 2. Individuals entering parole more than once during the year should be counted each time (e.g., entered, discharged, and re-entered should be counted as two entries). Individuals who enter parole and, without being discharged, are placed on parole for a second offense, should be counted as one entry.

a. Discretionary release from prison .....

a. Discretionary releases are persons who entered parole as a result of a parole board decision, Governor's pardon, or commutation of sentence.

b. Mandatory release from prison .....

b. Mandatory releases are persons who entered parole as a result of a determinate sentencing statute or good-time provision.

c. Reinstatement of parole .....

c. Reinstatements are persons returned to parole status, including discharged absconders whose cases were re-opened, revocations with immediate reinstatement, and offenders re-paroled at anytime under the same sentence.

d. Term of supervised release from prison .....

d. Term of supervised release are persons sentenced by a judge to a fixed period of incarceration based on a determinate statute, immediately followed by a period of supervised release.

e. Other – Specify

f. Not known .....

g. Total entries (Should equal the sum of items 2a through 2f.) .....

3. Between January 1, 2014, and December 31, 2014, how many adult parolees were discharged from supervision for the following reasons —

← 3. Individuals exiting parole more than once during the year should be counted each time (e.g., individuals who are discharged from all parole supervision, re-enter parole, and are fully discharged again, should be counted as two discharges).

a. Completions .....

a. Completions are parolees who served full-term sentences or who were released early due to a parole authority decision, commutation, or pardon.

b. Returned to incarceration —

- b. 1) Parolees sent back to incarceration after receiving a sentence for a new offense.
- 2) Parolees sent back to incarceration after their sentence to parole was revoked (e.g., violating a condition of their parole) but without receiving a sentence for a new offense.
- 3) Parolees incarcerated in order to receive any type of treatment.
- 4) Parolees sent back to incarceration pending a revocation, trial, sentencing, or others.
- 5) Parolees who have been incarcerated, for whom the reason was unknown.

1) With new sentence .....

2) With revocation, without new sentence .....

3) To receive treatment .....

4) Other – Specify

5) Not known .....

c. Absconder .....

c. Discharged absconders who had failed to report and could not be located.

d. Transferred to another parole agency...

d. Parolees transferred to another agency if they are no longer in your record system.

e. Death .....

f. Specify type of discharge within the categories of other completions, unsatisfactory, and other.

f. Other discharges – Specify each

1) Other completions

1) Other completions are those which did not fully meet the definition of item 3a.

2) Unsatisfactory

2) Unsatisfactory discharges are those parolees who did not fulfill all conditions of their supervision or violated the conditions of their supervision but were not returned to incarceration (e.g. revocation with immediate reinstatement). Exclude absconders (item 3c).

3) Other

g. Not known .....

h. Total discharges (Should equal the sum of items 3a through 3g.) .....

4. On December 31, 2014, what was your agency's adult parole population?  
(Should equal Question 1 plus item 2g minus item 3h.)  
Population on December 31, 2014 .....

← 4. The count of adult parolees at yearend 2014. This total should equal the population on January 1, plus the total entering parole in 2014, minus the total discharged from parole in 2014. (See cover page for persons to INCLUDE and EXCLUDE.)

5. Does the total parole population on December 31, 2014 (reported in Question 4) represent a count of individuals or cases? (Please mark (X) in one box.)

- 1 Individuals
2 Cases

6. On December 31, 2014, were any adult parolees legally your responsibility being supervised by another state through an interstate compact agreement?

Include parolees SENT to another state.

- 1 Yes
a. How many adult parolees legally your responsibility were supervised by another state?
b. Are these parolees included in Question 4?
2 No

7. Does the total parole population on December 31, 2014, (reported in Question 4) include interstate compact cases supervised by your agency for another state that could not be excluded from the total?

- 1 Yes
a. How many adult parolees were being supervised by your agency for another state that could not be excluded from the total?
2 No

8. On December 31, 2014, how many adult parolees had a maximum sentence to incarceration of —

- a. A year or less
b. More than a year
c. Not known
d. Total (Sum of items 8a through 8c should equal Question 4.)

9. On December 31, 2014, how many adult parolees in your jurisdiction were —

- a. Male
b. Female
c. Not known
d. Total (Sum of items 9a through 9c should equal Question 4.)

10. On December 31, 2014, how many adult parolees in your jurisdiction were — (See race/ethnicity definitions on Page 5.)

- a. White (not of Hispanic origin)
b. Black or African American (not of Hispanic origin)
c. Hispanic or Latino
d. American Indian/Alaska Native (not of Hispanic origin)
e. Asian (not of Hispanic origin)
f. Native Hawaiian/Other Pacific Islander (not of Hispanic origin)
g. Two or more races (not of Hispanic origin)
h. Additional categories in your information system - Specify
i. Not known
j. Total (Sum of items 10a through 10i should equal Question 4.)

11. On December 31, 2014, how many adult parolees had as their most serious offense —

- a. Sex offense (Include any forcible or nonforcible sex act. Exclude prostitution, commercialized vice, and offenses reported in 11b.)
b. Other violent offense (Include murder, manslaughter, robbery, kidnapping, assault, and other violent offenses. Exclude sex offenses reported in item 11a.)
c. Property offense (Include burglary, larceny, motor vehicle theft, fraud, and other property offenses.)
d. Drug offense (Include unlawful possession, sale, use, distribution, importation, growing, or manufacturing of narcotic drugs.)
e. Weapon offense
f. Other offense - Specify
g. Not known
h. Total (Sum of items 11a through 11g should equal Question 4.)

12. On December 31, 2014, how many adult parolees supervised by your agency had a status of —

- Exclude parolees supervised by your agency for another state through an interstate compact agreement or by your jurisdiction but legally the responsibility of another jurisdiction.

a. **Active** (Those required to regularly contact a supervisory parole authority in person, by mail, by telephone, or electronically. Exclude those reported in items 12b-12e.) \_\_\_\_\_

b. **Only have financial conditions remaining** (Exclude those reported in items 12a and 12c-12e.) \_\_\_\_\_

c. **Inactive** (Exclude those reported in items 12a, 12b, 12d, and 12e.) \_\_\_\_\_

d. **Absconder** (Include those still on parole but have failed to report and cannot be located. Exclude those reported in items 12a-12c and 12e.) \_\_\_\_\_

e. **Supervised out of state** (Include active and inactive parolees under your jurisdiction who are supervised by authorities of another state. Exclude those reported in items 12a-12d.) \_\_\_\_\_

f. **Other – Specify** \_\_\_\_\_

g. **Not known** \_\_\_\_\_

h. **Total** (Sum of items 12a through 12g should equal Question 4.) \_\_\_\_\_

13. Does the total parole population on December 31, 2014 (reported in Question 4) include any persons who were also under probation supervision, or who were held in jail, prison, or a U.S. Bureau of Immigration and Customs Enforcement (ICE) holding facility?

- 1  Yes —
- a. How many were also on probation supervision? \_\_\_\_\_
  - b. How many were in local jails? (Include evening confinements.) \_\_\_\_\_
  - c. How many were in a state or federal prison? \_\_\_\_\_
  - d. How many were in an ICE holding facility? \_\_\_\_\_

2  No

14. On December 31, 2014, how many of the adult parolees in your jurisdiction were being supervised following —

a. **Discretionary release from prison** (Persons who entered supervision as a result of a parole board decision, Governor’s pardon, or commutation of sentence.) \_\_\_\_\_

b. **Mandatory release from prison** (Persons who entered supervision as a result of a determinate sentencing statute or good-time provision.) \_\_\_\_\_

c. **Special conditional release from prison** (e.g., medical release, early release for the terminally ill, other special release.) \_\_\_\_\_

d. **Term of supervised release from prison** (Persons who entered as the result of a sentence by a judge to a fixed period of incarceration based on a determinate statute, immediately followed by a fixed period of supervised release.) \_\_\_\_\_

e. **Other – Specify** \_\_\_\_\_

f. **Not known** \_\_\_\_\_

g. **Total** (Sum of items 14a through 14f should equal Question 4.) \_\_\_\_\_

15. Does the total parole population on December 31, 2014, (reported in Question 4) include any parolees who had their location tracked through a Global Positioning System (GPS), either directly by your agency or through a contract?

- 1  Yes —
- a. How many parolees were tracked using GPS? \_\_\_\_\_
  - b. How many of the parolees reported in item 15a (above) were sex offenders? \_\_\_\_\_

2  No

**Notes and comments** – *(Please attach additional notes if necessary. Please explain changes in how data are reported compared with last year.)*

**Race/ethnicity definitions for Question 10.**

- a. **White.** A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- b. **Black or African American.** A person having origins in any of the black racial groups of Africa.
- c. **Hispanic or Latino.** A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.
- d. **American Indian or Alaska Native.** A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.
- e. **Asian.** A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- f. **Native Hawaiian or Other Pacific Islander.** A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.



<b>RETURN TO</b>	<b>WESTAT</b> BJS Annual P/P Survey RW-2634 1600 Research Boulevard Rockville, MD 20850-3129	FORM CJ-8	U.S. DEPARTMENT OF JUSTICE BUREAU OF JUSTICE STATISTICS  <b>2014 ANNUAL PROBATION SURVEY</b>
<b>PLEASE ENTER THE CONTACT INFORMATION FOR THE PERSON FILLING OUT THIS FORM</b>			
Name		Title	
Address 1			
Address 2			
City		State	Zip code
<b>TELEPHONE</b>	Area code	Number	Extension
<b>FAX NUMBER</b>	Area code	Number	
<b>EMAIL ADDRESS</b>			

<b>AGENCY UID</b>	
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**GENERAL INFORMATION**

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- Please complete the questionnaire before **February 28, 2015** using the web-reporting option at [www.bjs-aps.org](http://www.bjs-aps.org), by mailing the completed questionnaire to **WESTAT** at the address above, or by **faxing** all pages toll-free to **1-888-371-3949**.

**Who is covered by this survey?**

- **INCLUDE** all adults regardless of conviction status, who have been placed under the supervision of a probation agency as part of a court order. (Adults are persons subject to the jurisdiction of an adult court or correctional agency.)
- **INCLUDE** adult probationers legally your responsibility but supervised outside your jurisdiction, such as through an interstate compact agreement.
- **INCLUDE** adult probationers contracted out to private agencies.
- **INCLUDE** adult probationers on active supervision, including those who report electronically, or inactive supervision or in a residential/other treatment program but not in regular contact with a probation authority.
- **INCLUDE** absconders who have not been discharged from probation.
- **INCLUDE** adult probationers who may be under local jurisdiction but not reported separately by another agency.

**Who is not covered by this survey?**

- **EXCLUDE** juveniles (persons under the jurisdiction of a juvenile court or agency).
- **EXCLUDE** interstate compact cases supervised by your jurisdiction for another state.
- **EXCLUDE** adult probationers supervised by your jurisdiction but legally the responsibility of another jurisdiction.

**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 95 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining 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.

**INSTRUCTIONS**

- Please provide a response to each question. Blanks will be interpreted as "unknown" ("DK").
- If the answer to a question is "none" or "zero," write "0" in the space provided.
- If the answer to a question is "unknown," write "DK" in the space provided.
- If the answer to a question is "not applicable," write "NA" in the space provided.
- When an exact numeric answer is not available, provide an estimate and mark (X) in the box beside each figure. For example 1,000 .

<b>RETURN TO</b>	<b>WESTAT</b> BJS Annual P/P Survey RW-2634 1600 Research Boulevard Rockville, MD 20850-3129		FORM CJ-8  <b>2014 ANNUAL PROBATION SURVEY</b>		U.S. DEPARTMENT OF JUSTICE BUREAU OF JUSTICE STATISTICS	
	<b>PLEASE ENTER THE CONTACT INFORMATION FOR THE PERSON FILLING OUT THIS FORM</b>					
Name		Title				
Address 1						
Address 2						
City			State		Zip code	
<b>TELEPHONE</b>	Area code	Number	Extension	<b>FAX NUMBER</b>	Area code	Number
<b>EMAIL ADDRESS</b>						

<b>AGENCY UID</b>	
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**GENERAL INFORMATION**

- If you have any questions, call the **Agency Support Team, Westat**, at 1-888-371-3718, or email [bjs-aps@westat.com](mailto:bjs-aps@westat.com).
- Please complete the questionnaire before **February 28, 2015** using the web-reporting option at [www.bjs-aps.org](http://www.bjs-aps.org), by mailing the completed questionnaire to **WESTAT** at the address above, or by **faxing** all pages toll-free to **1-888-371-3949**.

**Who is covered by this survey?**

- **INCLUDE** all adults regardless of conviction status, who have been placed under the supervision of a probation agency as part of a court order. (Adults are persons subject to the jurisdiction of an adult court or correctional agency.)
- **INCLUDE** adult probationers legally your responsibility but supervised outside your jurisdiction, such as through an interstate compact agreement.
- **INCLUDE** adult probationers contracted out to private agencies.
- **INCLUDE** adult probationers on active supervision, including those who report electronically, or inactive supervision or in a residential/other treatment program but not in regular contact with a probation authority.
- **INCLUDE** absconders who have not been discharged from probation.
- **INCLUDE** adult probationers who may be under local jurisdiction but not reported separately by another agency.

**Who is not covered by this survey?**

- **EXCLUDE** juveniles (persons under the jurisdiction of a juvenile court or agency).
- **EXCLUDE** interstate compact cases supervised by your jurisdiction for another state.
- **EXCLUDE** adult probationers supervised by your jurisdiction but legally the responsibility of another jurisdiction.

**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 95 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining 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.

**INSTRUCTIONS**

- **Please provide a response to each question. Blanks will be interpreted as "unknown" ("DK").**
- If the answer to a question is "none" or "zero," write "0" in the space provided.
- If the answer to a question is "unknown," write "DK" in the space provided.
- If the answer to a question is "not applicable," write "NA" in the space provided.
- When an exact numeric answer is not available, provide an **estimate** and mark (X) in the box beside each figure. For example 1,000 .

Your agency's adult probation population on December 31, 2013 .....

**ITEMS AND DEFINITIONS**

1. On January 1, 2014, what was your agency's adult probation population?

← 1. Include adult probationers who have been placed under the supervision of a probation agency as part of a court order, regardless of conviction status.

Population on January 1, 2014.....

2. Between January 1, 2014, and December 31, 2014, how many adults entered probation by —

← 2. Individuals entering probation more than once during the year should be counted each time (e.g., entered, discharged, and re-entered should be counted as two entries). Individuals who enter probation and, without being discharged, are placed on probation for a second offense, should be counted as one entry.

a. Probation without incarceration .....

a. Probation without incarceration is a sentence to probation with no jail or prison term.

b. Probation with incarceration.....

b. Probation with incarceration is a sentence to probation with a term of incarceration in jail or prison (e.g., those individuals who entered probation from a correctional facility). Include all split sentences to probation and incarceration.

c. Other – Specify

d. Not known.....

e. Total entries (Should equal the sum of items 2a through 2d.).....

3. Between January 1, 2014, and December 31, 2014, how many adult probationers were discharged from supervision for the following reasons —

← 3. Individuals exiting probation more than once during the year should be counted each time (e.g., individuals who are discharged from all probation supervision, re-enter probation, and are fully discharged again, should be counted as two discharges).

a. Completions .....

a. Completions are probationers who completed their sentence and were discharged or who were discharged early.

b. Incarcerated —

1) With new sentence .....

2) With revocation, without new sentence .....

3) To receive treatment.....

4) Other – Specify

5) Not known .....

b. 1) All probationers and returned absconders removed from probation supervision because of incarceration due to a sentence for a new offense.

2) All probationers and returned absconders whose probation was revoked (e.g., violating a condition of their probation) and who were incarcerated under their current sentence.

3) Probationers incarcerated in order to receive any type of treatment.

4) Probationers incarcerated pending a revocation, trial, sentencing, or others.

5) Probationers who have been incarcerated, for whom the reason was unknown.

c. Absconder .....

c. Discharged probationers who had failed to report and could not be located.

d. Discharged to a warrant or detainer.....

e. Transferred to another probation agency .....

e. Probationers transferred to another agency if they are no longer in your record system.

f. Death.....

g. Other discharges – Specify each

g. Specify type of discharge within the categories of other completions, unsatisfactory, and other.

1) Other completions

2) Unsatisfactory

3) Other

1) Other completions are those which did not fully meet the definition of item 3a.

2) Unsatisfactory discharges are those probationers who did not fulfill all conditions of their supervision or violated the conditions of their supervision but were not incarcerated (item 3b) or discharged to a warrant or detainer (item 3d). Exclude absconders (item 3c).

h. Not known.....

i. Total discharges (Should equal the sum of items 3a through 3h.).....

4. On December 31, 2014, what was your agency's adult probation population? (Should equal Question 1 plus item 2e minus item 3i.)

← 4. The count of adult probationers at yearend 2014. This total should equal the population on January 1, plus the total entering probation in 2014, minus the total discharged from probation in 2014. (See cover page for persons to INCLUDE and EXCLUDE.)

Population on December 31, 2014 .....

5. Does the total probation population on December 31, 2014 (reported in Question 4) represent a count of individuals or cases? (Please mark (X) in one box.)

1  Individuals  
 2  Cases

6. On December 31, 2014, how many adult probationers in your jurisdiction were —

a. Male .....

b. Female .....

c. Not known .....

d. Total (Sum of items 6a through 6c should equal Question 4.) .....

7. On December 31, 2014, how many adult probationers in your jurisdiction were — (See race/ethnicity definitions on Page 6.)

a. White (not of Hispanic origin) .....

b. Black or African American (not of Hispanic origin) .....

c. Hispanic or Latino .....

d. American Indian/Alaska Native (not of Hispanic origin) .....

e. Asian (not of Hispanic origin) .....

f. Native Hawaiian/Other Pacific Islander (not of Hispanic origin) .....

g. Two or more races (not of Hispanic origin) .....

h. Additional categories in your information system – Specify ↴  
 \_\_\_\_\_

i. Not known .....

j. Total (Sum of items 7a through 7i should equal Question 4.) .....

8. On December 31, 2014, how many adult probationers had as their most serious offense —

a. Felony .....

b. Misdemeanor .....

c. Other – Specify ↴  
 \_\_\_\_\_

d. Not known .....

e. Total (Sum of items 8a through 8d should equal Question 4.) .....

9. On December 31, 2014 how many adult probationers (reported in Question 4) regardless of conviction status, had as their most serious offense —

a. Domestic violence (Include abuse, cruelty, abandonment, or threat to a spouse, intimate, or dependent child. Exclude offenses reported in items 9b and 9c.) .....

b. Sex offense (Include any forcible or nonforcible sex act. Exclude prostitution, commercialized vice, and offenses reported in items 9a and 9c.) .....

c. Other violent offense (Include murder, manslaughter, robbery, kidnapping, assault, and other violent offenses. Exclude offenses reported in items 9a and 9b.) .....

d. Property offense (Include burglary, larceny, motor vehicle theft, fraud, and other property offenses.) .....

e. Drug law violation (Include unlawful possession, sale, use, distribution, importation, growing, or manufacturing of narcotic drugs.) .....

f. Driving while intoxicated or under the influence of alcohol or drugs .....

g. Other traffic offense (Exclude offenses reported in item 9f.) .....

h. Other offense – Specify ↴  
 \_\_\_\_\_

i. Not known .....

j. Total (Sum of items 9a through 9i should equal Question 4.) .....

10. On December 31, 2014, were any adult probationers legally your responsibility being supervised by another state through an interstate compact agreement?

- Include probationers SENT to another state.

1  Yes —

a. How many adult probationers legally your responsibility were supervised by another state? .....

b. Are these probationers included in Question 4? 1  Yes 2  No

2  No

11. Does the total probation population on December 31, 2014, (reported in Question 4) include interstate compact cases supervised by your agency for another state that could not be excluded from the total?

1  Yes —

a. How many adult probationers were being supervised by your agency for another state that could not be excluded from the total? .....

2  No

12. Would your agency be able to report the number of probationers who had previously served a sentence to prison for the same offense for which they were on probation on December 31, 2014?

- 1  Yes
- 2  No

13. Does the total probation population on December 31, 2014 (reported in Question 4) include any persons who were also under parole supervision, or who were held in jail, prison, a community-based correctional facility, or a U.S. Bureau of Immigration and Customs Enforcement (ICE) holding facility?

1  Yes —

- a. How many were also on parole supervision? .....
- b. How many were in local jails? (Include evening confinements.) .....
- c. How many were in a state or federal prison? .....
- d. How many were in a community-based correctional facility? .....
- e. How many were in an ICE holding facility? .....

2  No

14. Of those on probation on December 31, 2014 (reported in Question 4), how many were placed on probation supervision through —

- a. Direct sentence to probation .....
- b. Split sentence (Incarceration combined with probation) .....
- c. Suspended execution of sentence to incarceration (Incarceration sentence imposed then suspended) .....
- d. Suspended imposition of sentence (Persons not fully adjudicated, e.g., probation before verdict.) .....
- e. Other – Specify ↴  
.....
- f. Not known .....
- g. Total (Sum of items 14a through 14f should equal Question 4.) .....

15. On December 31, 2014, how many adult probationers supervised by your agency had a status of —

- Exclude probationers supervised by your jurisdiction for another state through an interstate compact agreement or by your jurisdiction but legally the responsibility of another jurisdiction.

- a. Active (Those required to regularly contact a probation authority in person, by mail, by telephone, or electronically. Exclude those reported in items 15b-15g.) .....
- b. In residential/other treatment program (Include those on probation who were reporting to a treatment program, but not in regular contact with a probation authority. Exclude those reported in items 15a and 15c-15g.) .....
- c. Only have financial conditions remaining (Exclude those reported in items 15a, 15b, and 15d-15g.) .....
- d. Inactive (Exclude those reported in items 15a-15c and 15e-15g.) .....
- e. Absconder (Include those still on probation but have failed to report and cannot be located. Exclude those reported in items 15a-15d, 15f, and 15g.) .....
- f. Warrant status (Exclude those reported in items 15a-15e and 15g.) .....
- g. Supervised out of jurisdiction (Include active and inactive probationers under your jurisdiction who are supervised by authorities of another jurisdiction. Exclude those reported in items 15a-15f.) .....
- h. Other – Specify ↴  
.....
- i. Not known .....
- j. Total (Sum of items 15a through 15i should equal Question 4.) .....

16. Does the total probation population on December 31, 2014, (reported in Question 4) include any probationers who had their location tracked through a Global Positioning System (GPS), either directly by your agency or through a contract?

- 1  Yes —
  - a. How many probationers were tracked using GPS? .....
  - b. How many of the probationers reported in item 16a (above) were sex offenders? .....

2  No

17. Please review the following list of agencies in your state. Check each agency whose partial or total adult probation population (i.e., felony, misdemeanor, or other offense) was INCLUDED in your agency's response to Question 4. Please note that the name of the county or other information about the jurisdiction of the agency is shown in brackets next to the agency name.

18. Please list below the name and county of any other adult probation supervising agencies not listed above that are represented in the 2014 yearend probation count your agency provided in Question 4.

Agency name	County
a. _____	_____
b. _____	_____
c. _____	_____

19. What levels of courts refer adults for probation supervision to the agencies you checked or listed in Questions 17 and 18?

**Notes and comments** – *(Please attach additional notes if necessary. Please explain changes in how data are reported compared with last year.)*

**Race/ethnicity definitions for Question 7.**

- a. **White.** A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- b. **Black or African American.** A person having origins in any of the black racial groups of Africa.
- c. **Hispanic or Latino.** A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.
- d. **American Indian or Alaska Native.** A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.
- e. **Asian.** A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- f. **Native Hawaiian or Other Pacific Islander.** A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

Attachment C – Respondent Discussion Guides

C1. Parole Respondent Discussion Guide

C2. Probation Respondent Discussion Guide



## **Core Development Work Parole Respondent Discussion Guide**

Thank you for taking time to speak with me today. During our call, I would like to learn about your experience completing the 2014 APS. The survey has been standardized because it is a national collection; so some of the content and terminology might not match your agency's definitions and practices. It is really helpful to hear how respondents interpret and apply the study definitions and instructions to their real-life situations. That way, we can better understand the answers we receive and identify ways to improve the survey.

There are a few specific sections of the survey that I would like to discuss with you. We can go through the questionnaire page by page, and I'll raise the issues that I have. Basically, I would like you to think back to when you were answering the questions and let me know how you interpreted the questions, any issues that came up as you tried to "fit" your data into the survey categories, whether you were able to answer questions based on your own knowledge or if you used data from a tracking system, etc. If you would like to talk about any issues that I don't raise, please let me know.

**The first question that I have on my list is Question 2. Should we begin with that question or is there anything on the cover page or on the first question that you would like to talk about?**

**Q2. ...entered parole by –**

- c. Mandatory release from prison
  - d. Term of supervised release from prison
- Does your agency use these terms? How are the two groups different?

**Q3. ...discharged from supervision for the following reasons –**

- c. Completions
- Can you tell me what types of populations – using the labels that your agency uses – you included in this category?
- Would you be able to sub-divide the number of completions into the two categories of early terminations (early positive discharge) and expirations? How would you define early terminations and expirations?
- *CAPSA definition of "Early terminations" or "early positive discharge"- A discharge prior to the scheduled expiration of a sentence granted in response to the satisfaction of conditions or earned time credits.*
  - *Definition of "Expirations"- A discharge according to the scheduled expiration of a sentence granted in response to the satisfaction of conditions of supervision (possibly with some financial conditions remaining).*

f. Other [*consider eliminating from survey*]

- What other types of discharges did you report? How did you decide whether to put them into: other completions, unsatisfactory, and other?

Next, let's look at **Question 4**.

**Q4. On December 31<sup>st</sup>, what was your agency's adult parole population?**

- What types of populations did you include in your agency's yearend count?
- Did you (would you) include juveniles sentenced in an adult court?
- When you reported the number of active and the number of inactive, how did you define those two groups? (Does "active" include absconders, low-risk, those in residential placements that are/are not still under their jurisdiction?) Did you wonder about if, or how, you should report on any individuals?
- Did you report the number that are in your custody or the number that are supervised by your jurisdiction?
- Did you base your answers on information that you already had in your head or did you talk with others or refer to a tracking system?
- How confident are you that your answers included everyone that they were supposed to include? Exclude everyone who should not be counted? Tell me more about why you're that confident.
- What other populations are supervised by your agency? Did you include them in any survey category? Why not – what is different about them?
- If asked, could you break-out the yearend count by the following categories?
  - Active vs. inactive
  - Custody vs. jurisdiction
  - Felon vs. misdemeanor populations

If you were able to provide data for the yearend count on the number of POPULATION TYPE, would you be able to provide the data for the rest of the survey for just these POPULATION TYPE probationers?

**Before we move on to the next page, are there any other issues that you would like to talk about on Question 1 through 4?**

**Q5. ...count of individuals or cases?**

- When you answered this question on the survey, how did you define “cases”? Did you include instances where the person was under supervision for two or more distinct sentences? Under supervision for two or more offenses as part of the same sentence? Something else?
- You provide data at the case level? Can you explain why you report cases and not individuals? Could your agency provide data at the individual level?
- Can you provide an estimate of the number of people with multiple cases? Can you provide an estimate of the average number of cases per individual?

**Unless you have comments on Questions 6 and 7, I'll move on to Question 11.**

**Q11. ...most serious offense –**

In answering Question 11, how did you determine which offenses are more serious than others? Can we obtain a copy of the hierarchy?

**Q12. ...parolees supervised by your agency had a status of –**

- c. Active
- c. Inactive

- How did you define an “active” parolee? How did you define an “inactive” parolee? What types of parolees are included or excluded?
- Would you be able to provide data on the number of individuals in the yearend count who are on “active” supervision status? Would you be able to provide data on the number of individuals in the yearend count who are on “inactive” supervision status?

- b. Only financial conditions remaining

- Did these parolees get included in the yearend total? Why not?
- Did these parolees get included in the number discharged by completion?

- d. Absconders

- Where these parolees included in the numbers reported as discharged for being an absconder? If not, would they still be included in the yearend population?

- g. Supervised out of jurisdiction

- What types of parolees did you include in this category?
- Did this category include interstate compact cases that are reported in Question 6?

Next, let's look at Question 15.

**Q15. ...parolees who had their location tracked through a Global Positioning System (GPS)**

- Tell me more about the parolees you thought about or counted for this question.
- What other types of electronic monitoring does your agency use? Did you include any of those parolees in this question? Why/Why not?

***Respondent comments:* That was the last issue that I wanted to raise.**

- Is there anything else that you've noted in the questionnaire that might affect how your agency would categorize or report on any population that you supervise?

## Core Development Work Probation Respondent Discussion Guide

Thank you for taking time to speak with me today. During our call, I would like to learn about your experience completing the 2014 APS. The survey has been standardized because it is a national collection; so some of the content and terminology might not match your agency's definitions and practices. It is really helpful to hear how respondents interpret and apply the study definitions and instructions to their real-life situations. That way, we can better understand the answers we receive and identify ways to improve the survey.

There are a few specific sections of the survey that I would like to discuss with you. We can go through the questionnaire page by page, and I'll raise the issues that I have. Basically, I would like you to think back to when you were answering the questions and let me know how you interpreted the questions, any issues that came up as you tried to "fit" your data into the survey categories, whether you were able to answer questions based on your own knowledge or if you used data from a tracking system, etc. If you would like to talk about any issues that I don't raise, please let me know.

**The first question that I have on my list is Question 3. Should we begin with that question or is there anything on the cover page or on the first two questions that you would like to talk about?**

**Q3. ...discharged from supervision for the following reasons –**

d. Completions

- Can you tell me what types of populations – using the labels that your agency uses – you included in this category?
- Would you be able to sub-divide the number of completions into the two categories of early terminations (early positive discharge) and expirations? How would you define early terminations and expirations?
  - *CAPSA definition of "Early terminations" or "early positive discharge"- A discharge prior to the scheduled expiration of a sentence granted in response to the satisfaction of conditions or earned time credits.*
  - *Definition of "Expirations"- A discharge according to the scheduled expiration of a sentence granted in response to the satisfaction of conditions of supervision (possibly with some financial conditions remaining).*

b3. Incarcerated, to receive treatment [*consider eliminating from survey*]

- What types of cases did you include in the category: discharged by incarceration to receive treatment?

b4. Other

- Take a look at Question 3, item b4. There is an instruction to the right that refers to “probationers incarcerated pending a revocation, trial, sentencing, or others.” What types of cases are in this category? [*Shouldn't they only be discharged after actual revocation or sentencing?*]

c. Absconder

d. Warrant or detainer

- How did you come up with your answers to these items? What types of cases did you include in each category?
- How are discharges for being an absconder different from probationers discharged to a warrant or detainer?

e. Transferred to another probation agency

- Can you tell me more about the probationers in this category? [*How can a probationer be discharged by being transferred to another agency? Even with inter-state compact agreements, the case is still technically under the jurisdiction of the original court. It could be considered inactive by the originating jurisdiction but not discharged.*]

g. Other [*consider eliminating from survey*]

- What other types of discharges did you report? How did you decide whether to put them into: other completions, unsatisfactory, and other?

How confident are you that your answers included everyone that they were supposed to include? Exclude everyone who should not be counted? Tell me more about why you're that confident. What other populations are supervised by your agency? Did you include them in any survey category? Why not – what is different about them?

**Next, let's look at Question 4.**

**Q4. On December 31<sup>st</sup>, what was your agency's adult probation population?**

- What types of populations did you include in your agency's yearend count?
- Did you (would you) include juveniles sentenced in an adult court?
- When you reported the number of active and the number of inactive, how did you define those two groups? (Does "active" include absconders, low-risk, those in residential placements that are/are not still under their jurisdiction?) Did you wonder about if, or how, you should report on any individuals?
- How did you deal with persons not fully adjudicated (pretrial) and with those that are unsupervised? How would you define "unsupervised"?
- Did you report the number that are in your custody or the number that are supervised by your jurisdiction?
- Did you base your answers on information that you already had in your head or did you talk with others or refer to a tracking system?
- How confident are you that your answers included everyone that they were supposed to include? Exclude everyone who should not be counted? Tell me more about why you're that confident.
- What other populations are supervised by your agency? Did you include them in any survey category? Why not – what is different about them?
- If asked, could you break-out the yearend count by the following categories?
  - Active vs. inactive
  - Custody vs. jurisdiction
  - Felon vs. misdemeanor populations

If you were able to provide data for the yearend count on the number of POPULATION TYPE, would you be able to provide the data for the rest of the survey for just these POPULATION TYPE probationers?

**Before we move on to the next page, are there any other issues that you would like to talk about on Question 1 through 4?**

**Q5. ...count of individuals or cases?**

- When you answered this question on the survey, how did you define "cases"? Did you include instances where the person was under supervision for two or more distinct sentences? Under supervision for two or more offenses as part of the same sentence? Something else?
- You provide data at the case level. Can you explain why you report cases and not individuals? Could your agency provide data at the individual level?
- Can you agency provide an estimate of the number of people with multiple cases? Can you provide an estimate of the average number of cases per individual?

**Unless you have comments on Questions 6 through 8, I'll move on to Question 9.**

**Q9. ...most serious offense –**

In answering Question 9, how did you determine which offenses are more serious than others?  
Can we obtain a copy of the hierarchy?

- g. Other traffic offense [*consider eliminating from survey*]
  - What types of traffic offenses, other than DWI or DUI, are considered the most serious offense that could lead to someone getting sentenced to community supervision?

**If you're ready, I'd like to look at Question 14 next.**

**Q14. ...placed on probation through –**

- d. Suspended imposition of a sentence (persons not fully adjudicated, e.g., probation before verdict)
  - What types of probationers did you include in this category? How did you define this group (e.g., persons on pretrial, probationers being supervised while on diversion)?
  - Did you include these probationers in the yearend count?

**Next, I'd like to talk about Question 15.**

**Q15. ...probationers supervised by your agency had a status of –**

- d. Active
- d. Inactive
  - How did you define an "active" probationer? How did you define an "inactive" probationer? What types of probationers are included or excluded?
  - Would you be able to provide data on the number of individuals in the yearend count who are on "active" supervision status? Would you be able to provide data on the number of individuals in the yearend count who are on "inactive" supervision status?



- c. Only financial conditions remaining
  - Did these probationers get included in the yearend total? Why not?
  - Did these probationers get included in the number discharged by completion?
- e. Absconders
- f. Warrant status
  - How did you decide whether to report probationers as absconders or as discharged to a warrant or detainer? What is the difference from your agency's perspective?
  - Were these probationers included in the numbers reported as discharged for being an absconder or on warrant status? If not, would they still be included in the yearend population?
- g. Supervised out of jurisdiction
  - What types of probationers did you include in this category?
  - Did this category include interstate compact cases that were reported in Question 10?

Next, let's look at **Question 16**.

**Q16. ...probationers who had their location tracked through a Global Positioning System (GPS)**

- Did this category include defendants who had a suspended imposition of a sentence (pretrial)?
- Tell me more about the probationers you thought about or counted for this question.
- What other types of electronic monitoring does your agency use? Did you include any of those probationers in this question? Why/Why not?

***Respondent comments: That was the last issue that I wanted to raise.***

- Is there anything else that you've noted in the questionnaire that might affect how you categorized or reported on any population that you supervise?

Attachment D – Agency Cover Letters and Topic Lists

## COVER LETTER TO AGENCY HEADS

<<DATE>>

«Name1», «Title»

«Agency\_Name»

«Address»

«City», «State» «zip»

Dear «Name1»,

Recently, you were asked to assist with a special request from the U.S. Department of Justice, Bureau of Justice Statistics (BJS) related to the Annual <<Probation/Parole>> Survey (APS). The main goal of the standard APS collection is to measure and describe the size, composition, and changes in the <<probation/parole>> populations over time, at the national, federal, and state levels. Westat is helping BJS evaluate the content and focus of the APS to ensure that the survey continues to meet this goal. We hope to complete this phase of our evaluation by <<DATE>>, 2015.

As part of this effort, we are contacting the heads of a small number of <<probation/parole>> agencies to discuss the 2014 APS survey content and terminology. The call should take about one hour. I have enclosed a copy of the survey and a list of specific topics that you can review prior to the discussion. In addition, we will email a copy to you provided we have your email address. If you do not receive a copy via email and would like us to send one, please call Westat's Agency Support Team at 1-888-371-3718.

A member of the Westat APS project staff will contact you in the next few days to schedule a time for the telephone discussion. If you have any questions about the APS or about this special request, please contact me at 301-517-4030 or at [PaulaThompson@westat.com](mailto:PaulaThompson@westat.com).

Sincerely,

Paula Thompson, PMP  
Senior Study Director  
Westat

Enclosure

## DISCUSSION TOPIC LIST ANNUAL PROBATION SURVEY

We would like to discuss the following topics about the Annual Probation Survey. During the call, please mention any other issues associated with the survey that you would like to discuss as well.

- Categories/definitions of population types (Question 3 and Question 15) and whether they are included in yearend counts.
  - Incarcerated (e.g., to receive treatment; pending a revocation, trial, sentencing)
  - Absconder versus warrant/detainer
  - Transfer to another probation agency
  - “Active” and “inactive”
  - Individuals with only financial conditions remaining
  - Other
  
- Issues affecting the yearend counts (Question 4).
  - Types of populations included in the yearend counts
  - Ability to report counts and other data in the following categories
    - Felon versus misdemeanor populations
    - Custody versus jurisdiction
    - Persons not fully adjudicated (pretrial)
    - Unsupervised

### INSERT QUESTION 5 IF AGENCY HAS REPORTED CASE LEVEL DATA IN PAST 3 YEARS.

- Issues associated with providing counts of cases versus individuals (Question 5).
  - Agency definition of “cases”
  - Number of individuals with more than one case, and average number of cases per individual supervised
  - Issues affecting ability to report individuals (rather than cases)

### INSERT QUESTION 14 IF AGENCY HAS REPORTED SUSPENDED IMPOSITION OF A SENTENCE IN 2014.

- Characteristics of probationers placed on supervision through a suspended imposition of a sentence (Question 14).
  - Types of probationers included in this category
  - Number in this category
  
- Issues associated with other survey items
  - Counts of completions – Ability to sub-divide into early terminations and expirations [*see Question 3a*]

- Most serious offense – Other traffic offense (not DWI or DUI) [*see Questions 9f and 9g*]
- General comments about other questions

**INSERT IF AGENCY IS A CENTRAL REPORTER.**

- Capacity to provide administrative records.
  - Restrictions on information-sharing (de-identified data only)
  - Administrative record contents

## **DISCUSSION TOPIC LIST ANNUAL PAROLE SURVEY**

We would like to discuss the following topics about the Annual Parole Survey. During the call, please mention any other issues associated with the survey that you would like to discuss as well.

- Categories/definitions of population types (Question 2 and Question 12) and whether they are included in yearend counts.
  - “Mandatory release from prison” and “term of supervised release from prison”
  - “Active” and “inactive”
  - Individuals with only financial conditions remaining
  - Individuals supervised following special conditional release from prison
  - Other
- Issues affecting the yearend counts (Question 4).
  - Types of populations included in the yearend counts
  - Ability to report counts and other data for 1) population in custody versus under jurisdiction of your agency and 2) felon versus misdemeanor populations

**INSERT QUESTION 5 IF AGENCY HAS REPORTED CASE LEVEL DATA IN PAST 3 YEARS.**

- Issues associated with providing counts of cases versus individuals (Question 5).
  - Agency definition of “cases”
  - Number of individuals with more than one case, and average number of cases per individual supervised
  - Issues affecting ability to report individuals (rather than cases)
- Issues associated with other survey items

**INSERT IF AGENCY IS A CENTRAL REPORTER.**

- Capacity to provide administrative records.
  - Restrictions on information-sharing (de-identified data only)
  - Administrative record contents

## Attachment E – Respondent Cover Letters

## COVER LETTER TO SURVEY RESPONDENTS

<<DATE>>

«Name1», «Title»  
«Agency\_Name»  
«Address»  
«City», «State» «zip»

Dear «Name1»,

Recently, you were asked to assist with a special request from the U.S. Department of Justice, Bureau of Justice Statistics (BJS) related to the Annual <<Probation/Parole>> Survey (APS). The main goal of the standard APS collection is to measure and describe the size, composition, and changes in the <<probation/parole>> populations over time, at the national, federal, and state levels. Westat is helping BJS evaluate the content and focus of the APS to ensure that the survey continues to meet this goal. We hope to complete this phase of our evaluation by <<DATE>>, 2015.

As part of this effort, we are contacting those who responded to the 2014 APS from a small number of <<probation/parole>> agencies to speak with us about the survey content and terminology, and the process they used to compile and report the information on the survey. The call should take about one hour. I have enclosed a copy of your 2014 APS that you can review prior to the discussion. In addition, we will email a copy to you provided we have your email address. If you do not receive a copy via email and would like us to send one, please call Westat's Agency Support Team at 1-888-371-3718.

A member of the Westat APS project staff will contact you in the next few days to schedule a time for the telephone discussion. If you have any questions about the APS or about this special request, please contact me at 301-517-4030 or at [PaulaThompson@westat.com](mailto:PaulaThompson@westat.com).

Sincerely,

Paula Thompson, PMP  
Senior Study Director  
Westat

Enclosure