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Abstract:

This report describes the processes and findings from a project focused on enhancing the survey frame used to conduct BJS's Annual Probation Survey to improve the survey estimates. BJS administers the Annual Surveys of Probation and Parole (ASPP) to provide the only state and national estimates of probation and parole populations in the United States. The ASPP has been providing longitudinal statistics about probation and parole populations since 1979 and 1980, respectively, which include estimates about the size, composition, outcomes, and entries and exits of state and federal probation and parole populations. The ASPP is central to BJS's efforts to document key correctional trends because the ASPP data are combined with BJS's prison and jail statistics to describe overall corrections populations.

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Enhancement of the Bureau of Justice Statistics' Annual Probation Survey Frame

Final Report

Prepared for
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Executive Summary

The Bureau of Justice Statistics (BJS) administers the Annual Surveys of Probation and Parole (ASPP) to provide the only state and national estimates of probation and parole populations in the United States. The ASPP has been providing longitudinal statistics about probation and parole populations since 1979 and 1980, respectively, which include estimates about the size, composition, outcomes, and entries and exits of state and federal probation and parole populations. The ASPP is central to BJS's efforts to document key correctional trends because the ASPP data are combined with BJS's prison and jail statistics to describe overall corrections populations.

Based on the data collected through the ASPP, probation and parole populations account for nearly 70% of the national correctional populations; approximately 3.5 million adults are on probation supervision. In this report, RTI International describes the processes and findings from a project focused on enhancing the survey frame used to conduct the Annual Probation Survey (APS) to improve the survey estimates.

Probation Administration

Probation is an important sentencing option that takes different shapes in the United States because it is administered by central state agencies, local governments, the judiciary, and various combinations of state and local administrations depending on the jurisdiction. These administrative arrangements inform the nature of supervision, and they also influence the APS data collection procedures. As RTI describes in this report, the APS data in most states are reported by one or two respondents that report for numerous agencies and courts across their respective states. For the remainder of the states, RTI collects data from dozens of respondents that report on their respective local populations. The data provided by these state and local entities are combined to provide state- and national-level estimates.

Making Ongoing Improvements to Survey Methods

Ensuring the quality of the APS data requires making ongoing improvements to the survey methods. Supporting these efforts, RTI has studied alternative longitudinal imputation methods, made changes to survey instruments, and met regularly with probation stakeholders to assess key aspects of our survey design and methods (facilitated by the American Probation and Parole Association). In this report, RTI details one of our studies to improve data quality—an examination of the survey frame to ensure that we are collecting data from all probation agencies and courts that supervise active probation cases.

Maximizing Coverage of the Probation Field

The APS was developed to be a census of all agencies and courts that supervise one or more adults on active probation. The purpose of RTI's frame enhancement study was to update the APS frame and maximize coverage of the probation field. There are several challenges to ensuring an accurate census: agencies and courts may open or close, agencies may change from public to private administration, and data from agencies and courts may be included in data provided by other agencies and courts that report to the APS. Addressing these challenges is vital to collecting accurate information on key trends in probation populations.

Building on Prior BJS Studies: Census of Adult Supervising Agencies

RTI integrated findings from a prior BJS collection, the Census of Adult Probation Supervising Agencies (CAPSA), which contained data from all probation agencies and courts supervising at least one individual sentenced with a felony charge. The key difference between the CAPSA and the APS is that the former collected data directly from agencies and courts and not from the central reporters. The CAPSA targeted nearly 2,300 public and private supervising agencies and courts, whereas APS traditionally includes about 450 probation data providers. The CAPSA roster was developed through website searches, professional association membership lists, commercial databases, and through meetings with probation executives. RTI used the CAPSA agency roster to develop and field coverage questions on the APS; these questions asked each respondent to identify all the agencies and courts they supervise by selecting from state-specific lists of agencies and courts and to write in any that were missing from the list.

Coverage Questions on APS: Identified 507 Potential Agencies and Courts

Respondents to the Reference Year (RY) 2015 APS indicated that they reported data for 1,671 agencies and courts (of the 2,271 shown in the state-specific listing). After performing data quality checks, RTI found that data for 530 of the 1,671 agencies and courts had also been reported by a current data provider. Another 170 agencies and courts were removed because they were federal agencies, duplicates, or private companies, or did not supervise. RTI found that 507 agencies and courts were accounted for in the current survey frame.

Full Coverage in 29 States and DC

The responses and additional research showed that the APS achieved full coverage of the adult probation population in 29 states and the District of Columbia. Most of these states had between one and three reporters; however, one state—Michigan—had 130 data providers. RTI concentrated efforts to study under-coverage in the remaining 21 states using online searches and direct outreach (e.g., phone, mail, email) and identified 3,752 agencies and courts that potentially supervised probationers. The under-coverage research identified more agencies and courts than the CAPSA because the research team was searching for all agencies and courts and not only those supervising individuals sentenced for a felony.

Outreach to 3,752 Agencies and Courts in 21 States

RTI tailored a two-phase multi-modal (e.g., mail, email, phone) survey collection to the 21 states with agencies and courts that potentially supervised adults on probation. The main purpose for this collection was to determine whether the agencies and courts conducted active probation supervision. The study specifically excluded agencies and courts that maintained banked or administrative cases (i.e., individuals who were on paper supervision only and who did not have reporting requirements). RTI contacted 3,752 agencies and courts and received responses from 2,881 across the 21 states, for a 77% response rate.

Identified 354 Potential Agencies and Courts for the Enhanced APS Frame

The frame enhancement study identified 354 agencies and courts that supervise active probation cases currently missing from the APS frame. The total combined population estimated by these 354

agencies and courts is approximately 161,525 adults or 4% of the national population. Due to item nonresponse, we cannot provide precise estimates of the felony and misdemeanor populations; however, respondents indicated that they supervise at least 23,000 adults with felony charges and 123,000 adults with misdemeanor charges.

Enhance Future APS Data Collections

The 354 identified agencies and courts will be included in the RY2020 APS, which will increase the total number of probation agency and court respondents from 454 to 808. RTI will work with BJS to conduct regular coverage studies to maintain an updated survey frame.

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Introduction

To ensure current and complete data on probationers in the United States, the Bureau of Justice Statistics (BJS) funded RTI International (Cooperative Agreement 2011-NV-CX-K068) to investigate the quality of the frame used for the Annual Probation Survey (APS). Methods included direct communication with state and local practitioners, meetings with experts and other stakeholders at professional conferences, and survey data collection through the 2012 Census of Adult Probation Supervising Agencies (CAPSA) and the APS for Reference Years (RYs) 2014 and 2015. Between 2017 and 2019, RTI—BJS’s data collection agent for the APS—analyzed the information that had been gathered through these efforts and conducted a special data collection with agencies and courts that the research team identified as possibly responsible for adult probation supervision. The data collection was designed to determine the scope of frame missingness and characteristics of the missing probation population in each state.

This report summarizes the sources of background information and context for the data collection, describes the methods used to collect the information, and presents findings and their implications for updating the APS frame. Probation supervision structures and data differ across states. *Appendix A* provides detailed information for each state.

1.1 Purpose of the APS

The APS and the Annual Parole Survey constitute the Annual Surveys of Probation and Parole (ASPP). These surveys, administered since 1980, collect key statistics about probation and parole populations in the United States. The ASPP statistics include state and national estimates regarding the size, composition, and flow of state and federal probation and parole populations through and eventually out of the criminal justice system. By collecting these data over time, BJS, administrators, and researchers can study the flow, general trends, and emerging issues among the probation and parole populations.

The ASPP data provide important information for policy development and criminal justice planning and are essential to the support of criminal justice information systems at all levels of government. Together with data from the National Prisoner Statistics Program, which collects counts of persons incarcerated in federal and state prisons, and data from the Annual Survey of Jails, which collects counts of persons held in local jails, the ASPP data are used to estimate the total number of persons supervised by the adult correctional systems in the United States. Collectively, these data collections are critical for tracking the level of supervision and change in the correctional populations over time and for enhancing the understanding of the flow of offenders. The information gathered through these surveys represents a longstanding effort by BJS to provide national and state-level data on the probation and parole populations; the ASPP is the only ongoing annual survey conducted on community corrections populations established to present comparable data across years and jurisdictions. Because of these qualities, an array of organizations and individual data users—in particular, individual states—rely

1. Introduction

heavily on the ASPP data as a source of trend and comparative data on these populations. *Figure 1-1* shows several examples of data users and the ways in which they use the ASPP data.

Figure 1-1. ASPP: Data Users and Applications

- **U.S. Congress**—Uses the ASPP data to evaluate the adequacy of community corrections agencies to meet the needs of the growing probation and parole populations and to assess the needs—relative to crime, incarceration, and recidivism rates—for new or improved initiatives or laws aimed at ensuring public safety.
- **National Institute of Corrections**—Uses the ASPP data to shape and promote correctional practices and public policy; establish standards; evaluate current conditions of the prison, jail, and community corrections populations; and respond to the needs of corrections agencies by providing assistance and educational opportunities to correctional staff and administrators.
- **National Institute of Justice (NIJ)**—Uses the ASPP data to improve knowledge and understanding of crime and justice issues and to develop performance measures for community corrections agencies.
- **Bureau of Justice Assistance (BJA)**—Uses the ASPP data to justify the allocation of funding for grant programs and to understand the size of the population under community supervision as targeted through its Justice Reinvestment Initiative, which attempts to provide policymakers with resources to improve the criminal justice system.
- **State governments** (i.e., community corrections agencies)—Use the ASPP data to assess conditions in their own jurisdictions relative to those of other states and nationally.
- **American Probation and Parole Association**—Uses the ASPP data to encourage public awareness of probation and parole, develop standards for probation and parole programs, educate the community corrections field, and establish training programs for probation and parole officers and executives.
- **The National Reentry Resource Center (NRRC)**—Funded and administered by BJA, the NRRC manages, monitors, and disseminates information on reentry (e.g., community corrections); and cites the ASPP data on its NRRC Facts & Trends webpage (<https://nationalreentryresourcecenter.org/facts-and-trends/>).
- **Independent researchers**—Use the ASPP data to estimate the impact of incarceration and community corrections on crime, evaluate community corrections and criminal justice policies and practices, and develop effective programs and supervision strategies.
- **The media**—Use the ASPP data to inform the public about current trends in community corrections populations.
- **The public**—Use the ASPP data to make informed decisions about crime and punishment in their own communities.

1.2 APS Frame

To achieve the defined goals of the APS, BJS requires a comprehensive frame that supports data collection (directly or indirectly) from all probation agencies and courts that supervise adult felon and misdemeanor populations. However, the last major revisions to the APS frame were made between 1997 and 1999, when 216 local agencies and courts—mostly in Ohio, Michigan, Florida, and Washington—were added. Any routine efforts to update the frame have been limited to those made in response to communications with data providers. For example, BJS made the following two changes to the frame in preparation for the RY2018 APS:

- Added one data provider when several courts in an area created individual probation departments. The probationers supervised by these courts had also been included in the survey submitted by another court, which remained on the frame as a separate entity.
- Removed one data provider because a private supervising entity that was already on the frame began reporting for the provider. The private entity’s response to the RY2018 APS therefore would include all probationers previously reported by the removed data provider.

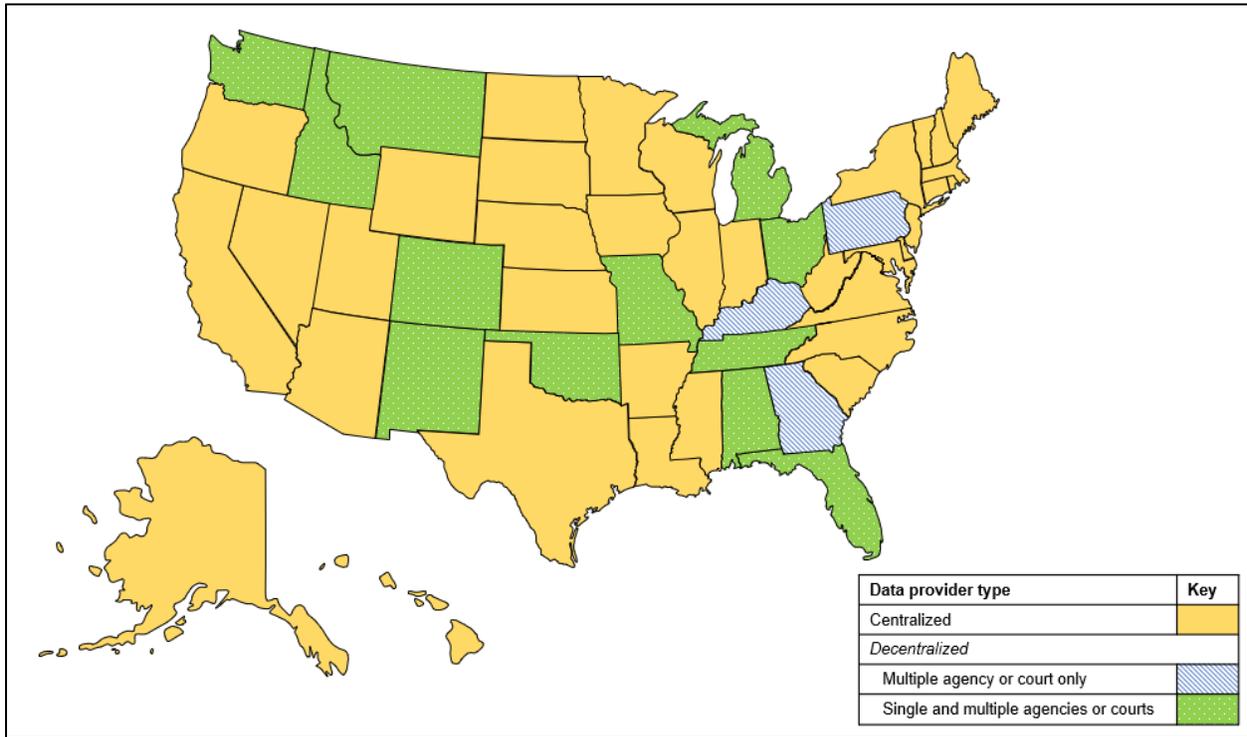
Identifying and maintaining the APS frame is challenging because the organizational structure of probation supervision varies widely across the United States. In some states, probation is centralized in a single agency (e.g., a Department of Corrections [DOC]) whereas in other states, probation is administered by several independent agencies or courts at the local level (e.g., county, district, municipal). Additionally, probation may be administered by either the executive or judicial branch. Sometimes, there is variation even within a particular state, whereby supervision of felons is administered by a centralized state authority and supervision of misdemeanants is administered by local authorities.

The APS was designed to accommodate these structural differences. Chief among its design features is the use of centralized data providers—one per state, in states that have a centralized provider—that each submit a single survey describing the entire adult probation population in their state. When using one data provider for a particular state is not possible, multiple data providers in the state are asked to submit separate surveys to describe the adult populations supervised by individual agencies or courts. For example, for the RY2017 APS, there were 454 data providers of various types (see *Figures 1-2* and *1-3*).

Figure 1-2. RY2017 APS Data Providers, by Type

- **Centralized**—In 35 states and Washington, DC, where probation supervision was centralized (e.g., in a DOC), APS data were provided by a single respondent from that agency or court.
- **Decentralized**—In 15 states where probation supervision was not centralized (i.e., more than one independent agency supervised probationers), individual data providers submitted separate surveys. There are two types of decentralized data providers:
 - *Multiple agency or court*—In decentralized states, each of the 18 data providers submitted separate surveys for more than one agency or court. Along with other jurisdictions, these included (1) Georgia, where the felon and misdemeanor populations are reported by two different data providers; (2) Kentucky, where the Division of Community Corrections and the Kentucky DOC both submit surveys; and (3) Pennsylvania, where the DOC and the Board of Probation and Parole both submit surveys.
 - *Single agency or court*—In decentralized states, each of the 400 data providers submitted only one survey for their own agency or court.

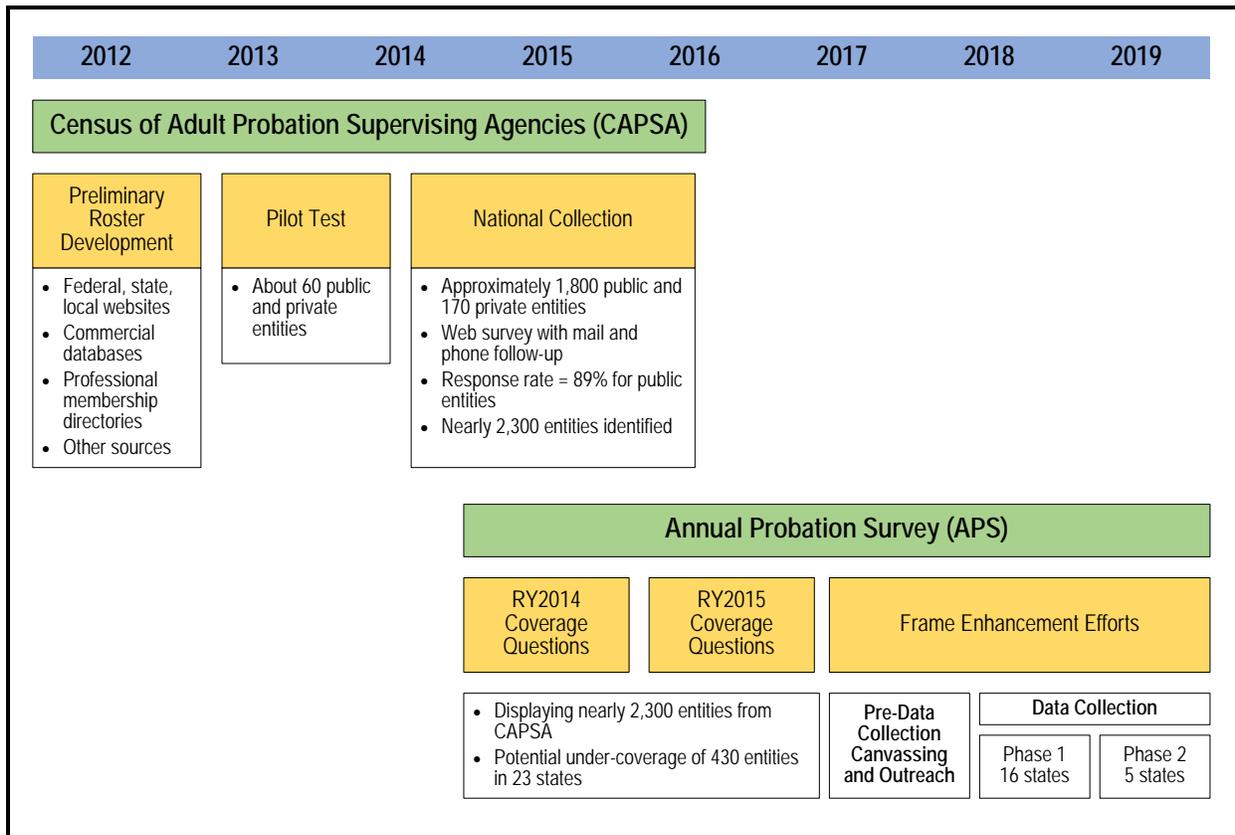
Figure 1-3. RY2017 APS Data Providers, by Type and State



1.3 Overview of APS Frame Enhancement Efforts

With the implementation of the CAPSA in 2012, BJS began a significant effort to assess the extent of potential coverage error in the APS frame. Building on the CAPSA findings, BJS added coverage questions to the RY2014 APS to identify the agencies and courts represented in the reported population counts and the court types that assigned adults to probation supervision by those agencies. These efforts continued during the RY2015 APS and through online investigation and outreach to agencies and courts from 2017 through 2019. *Figure 1-4* provides an overview and timeline of these activities.

Figure 1-4. APS Frame Enhancement Efforts: Overview and Timeline



Assessment of Coverage in the APS

2.1 CAPSA

BJS's use of centralized and multiple data providers on the APS supports its collection of comprehensive probation data at a relatively lower cost to the government (to conduct the survey) and lower burden to the public (by involving fewer data providers). In addition, this approach helps standardize definitions and reporting conventions within each state (e.g., counts of cases versus counts of individuals). However, the approach does not permit BJS to detect APS-eligible agencies and courts that are not already reflected in the data provided by APS survey respondents. The 2014 CAPSA provided BJS with an opportunity to specify the potential for missing or duplicate data in the APS because the CAPSA survey was administered to each agency or court supervising probationers.¹ The CAPSA development activities included an extensive effort to create an initial roster of agencies and courts. Soon after the CAPSA contract was awarded, BJS began constructing a preliminary frame of entities (i.e., public and private agencies and courts) that supervised adult probationers. As described in the supporting statement BJS submitted to the Office of Management and Budget (OMB) (Control Number: 1121-0347), data from various sources were used to develop the preliminary frame. Examples include the following:

- Existing APS frame
- Commercial databases and directories
- Federal, state, and local government websites, publications, and other sources
- Membership lists and websites of professional associations
- Krauth, B., & Linke, L. (1999). State organizational structures for delivering adult probation services. Longmont, CO: National Institute of Corrections Information Center, National Institute of Corrections, U.S. Department of Justice.
- Information collected through the CAPSA pilot test (2013)
- Federal government databases and directories

The CAPSA was initially designed to collect data from every supervising agency and court in the United States. Therefore, the initial CAPSA roster included agencies and courts that supervised one or more felons or misdemeanants. BJS eventually limited survey inclusion to only agencies and courts supervising at least one felon. In total, nearly 2,300 public and private supervising agencies were identified through the CAPSA, and this list served as a starting point for the APS frame development work.

¹ For more information on the goals and design of CAPSA, please visit <https://www.bjs.gov/content/capsa.cfm>.

2. Assessment of Coverage in the APS

2.2 RY2014 and RY2015 APS Data Collections

Although the CAPSA successfully identified a large number of potentially unrepresented agencies and courts that might supervise adult probationers, it did not attempt to determine the extent to which the populations supervised by each of those agencies and courts were represented in the APS data. To address that gap, coverage questions were added to the RY2014 and RY2015 APS asking data providers to identify which agencies’ and courts’ populations were included in their survey data; respondents were asked to select agencies and courts from a state-specific listing shown in the questionnaire. The state listings included all agencies and courts that had been identified through the CAPSA. Data providers were also asked to report the court types from which they received probationers to help confirm that all probationer types were represented. *Figure 2-1* displays the coverage questions from the RY2015 APS.

Figure 2-1. RY2015 APS Coverage Questions

Coverage Question 1	In a continuing effort to ensure the accuracy of the Annual Probation Survey data, survey respondents are being asked to review a list of probation supervising agencies in their state and identify the agencies for which they are reporting. On the list below, 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. We recognize that you may be reporting for a large number of agencies. Please contact us if you would like assistance completing this portion of the survey.
Coverage Question 2	Please list below the name and county of any other adult probation supervising agencies not listed above that are represented in the 2015 yearend probation count your agency provided in Question 4 (12/31/15 population).
Coverage Question 3	What levels of courts refer adults for probation supervision to the agencies you selected or listed in Questions 17 and 18?

A total of 2,271 supervising agencies and courts were listed in the RY2015 APS questionnaires. Review of the responses to the coverage questions found that 1,571 agencies and courts had been affirmed by one data provider each, and that 100 had been affirmed by more than one data provider.² Another 170 agencies and courts were removed either because they were federal agencies, duplicates, or private companies; or because they did not supervise. The remaining 430 agencies and courts were designated for contact to determine operational status and eligibility. In addition to the listed agencies and courts, data providers wrote in the names of 80 agencies and courts; 77 were unique and added to the resulting list of affirmed agencies and courts. To understand the extent to which agencies and courts were missed due to nonresponse to the RY2015 APS, the state response rates to Coverage Questions 1 and 3 were calculated (see *Table 2-1*). The rates for each state were calculated by first dividing the number of data providers that responded to each item by the number of potential data providers that received the

² The goal of including the RY2015 coverage questions was to determine the nature of under-reporting on the APS, not of over- or duplicate-reporting. The 1,571 agencies and courts that were uniquely affirmed by one APS data provider were affirmed by 367 respondents to the RY2015 APS. The 100 agencies and courts that were affirmed by more than one data provider were affirmed by 226 respondents to the RY2015 APS.

survey and then multiplying each quotient by 100. Response rates to Coverage Question 2 are not included because data providers could legitimately skip this question if the item were not applicable.

Table 2-1. Response Rates to Coverage Questions 1 and 3 on the RY2015 APS, by State

State	Coverage Question 1 (%)	Coverage Question 3 (%)
Alabama	67	67
Alaska	0	0
Arizona	100	100
Arkansas	100	100
California	100	0
Colorado	86	57
Connecticut	100	100
Delaware	100	100
District of Columbia	50	50
Florida	71	48
Georgia	100	100
Hawaii	100	100
Idaho	100	100
Illinois	0	0
Indiana	100	100
Iowa	100	100
Kansas	100	100
Kentucky	100	33
Louisiana	0	0
Maine	0	100
Maryland	100	100
Massachusetts	100	100
Michigan	74	43
Minnesota	0	0
Mississippi	100	0
Missouri	50	50

(continued)

2. Assessment of Coverage in the APS

Table 2-1. Response Rates to Coverage Questions 1 and 3 on the RY2015 APS, by State (continued)

State	Coverage Question 1 (%)	Coverage Question 3 (%)
Montana	100	50
Nebraska	100	100
Nevada	100	100
New Hampshire	100	0
New Jersey	100	0
New Mexico	0	0
New York	100	0
North Carolina	100	100
North Dakota	100	100
Ohio	82	54
Oklahoma	100	50
Oregon	100	100
Pennsylvania	0	0
Rhode Island	100	0
South Carolina	100	100
South Dakota	100	100
Tennessee	67	67
Texas	0	0
Utah	100	100
Virginia	100	100
Vermont	100	100
Washington	75	57
West Virginia	100	100
Wisconsin	0	0
Wyoming	100	100
Total	78	52

The response rates suggested that the RY2015 APS was achieving full coverage of the adult probation population in 27 states and the District of Columbia (see *Table 2-2*).³ In these jurisdictions, each supervising agency or court was affirmed by a data provider, and each court type was affirmed by a data provider or determined after the collection not to assign adults to probation.⁴

Table 2-2. Full Coverage Jurisdictions in the RY2015 APS

Jurisdiction	Data Providers
Arizona	▪ Arizona Supreme Court, Adult Probation Services Division
California	▪ California Department of Justice
Connecticut	▪ State of Connecticut Judicial Branch, Court Support Services Division; Adult Probation and Bail
Delaware	▪ State of Delaware Bureau of Community Corrections, Probation and Parole
District of Columbia	▪ Court Services and Offender Supervision Agency, Community Justice Programs
Georgia	▪ Georgia Department of Community Supervision, Adult Felony Probation Supervision ▪ Georgia Department of Community Supervision, Misdemeanor Probation Oversight
Hawaii	▪ Hawaii State Judiciary, Adult Client Services Branch
Idaho	▪ Idaho Supreme Court ▪ Idaho DOC, Idaho State Board of Correction Administrative Division
Illinois	▪ Administrative Office of the Illinois Courts, Probation Services Division
Indiana	▪ Indiana Parole and Probation, Division of State Court Administration
Kentucky	▪ Division of Community Corrections ▪ Kentucky DOC ▪ Kentucky Alternatives Program
Maine	▪ Maine DOC, Adult Community Corrections
Maryland	▪ Maryland Department of Public Safety and Correctional Services, Office of Grants, Policy and Statistics
Michigan	▪ 130 data providers
Minnesota	▪ Minnesota DOC

(continued)

³ As detailed in *Section 3.2. Outreach to Agencies and Courts*, the number of states with full coverage increased from 27 (based on our initial assessment using RY2015 APS data) to 29 (based on information subsequently provided by contacts from Alaska and Massachusetts).

⁴ One or more listed court types were determined not to assign adults to probation in the following states: Georgia (recorder’s courts), New Hampshire (family courts), North Dakota (municipal courts), South Carolina (family and municipal courts), West Virginia (family, magistrate, and municipal courts), and Wisconsin (municipal courts [response = “Don’t know”]).

2. Assessment of Coverage in the APS

Table 2-2. Full Coverage Jurisdictions in the RY2015 APS (continued)

State	Data Providers
Missouri	<ul style="list-style-type: none"> ▪ Missouri DOC ▪ St. Louis City Parole and Probation Office, Independent Probation/Parole Office
Nebraska	<ul style="list-style-type: none"> ▪ State of Nebraska Judicial Branch, Administrative Office of Probation
New Hampshire	<ul style="list-style-type: none"> ▪ New Hampshire DOC, Field Services Division
New Jersey	<ul style="list-style-type: none"> ▪ New Jersey Administrative Office of the Courts
New York	<ul style="list-style-type: none"> ▪ New York State Division of Criminal Justice Services
North Carolina	<ul style="list-style-type: none"> ▪ North Carolina Department of Public Safety, Division of Adult Correction and Juvenile Justice
North Dakota	<ul style="list-style-type: none"> ▪ North Dakota Department of Corrections and Rehabilitation, Parole and Probation Services
Pennsylvania	<ul style="list-style-type: none"> ▪ Pennsylvania Board of Probation and Parole (State) ▪ Pennsylvania DOC, Bureau of Planning, Research and Statistics
Rhode Island	<ul style="list-style-type: none"> ▪ Rhode Island DOC, Planning and Research Unit
South Carolina	<ul style="list-style-type: none"> ▪ South Carolina Department of Probation, Parole and Pardon Services
South Dakota	<ul style="list-style-type: none"> ▪ South Dakota Unified Judicial System, State Court Administrator's Office
West Virginia	<ul style="list-style-type: none"> ▪ West Virginia Judiciary Administrative Office of the Courts, Division of Probation Services
Wisconsin	<ul style="list-style-type: none"> ▪ Wisconsin DOC, Office of the Secretary, Research and Policy Unit

For the remaining 23 states, the RY2015 APS data suggested under-coverage of supervising agencies and courts and their supervised adult populations (see *Table 2-3*). The number and characteristics of the potentially missing agencies and courts varied by state. Highlighted rows indicate states in which the number of potential data providers matched the number of unaffirmed agencies and courts from the RY2015 APS.

Table 2-3. Scope of Frame Enhancement Data Collection Efforts Based on the RY2015 APS Frame, by State

State	RY2015 APS Frame	Potentially Unrepresented Agencies/Courts
Alabama	▪ 3 agencies and courts	▪ 4 courts
Alaska	▪ 1 agency	▪ Unknown type/number of courts
Arkansas	▪ 1 agency	▪ 44 courts
Colorado	▪ 8 agencies and courts	▪ 2 courts
Florida	▪ 42 agencies and private providers	▪ 17 (7 agencies, 10 courts)
Iowa	▪ 1 agency	▪ Unknown number of bench probation cases
Kansas	▪ 1 agency	▪ 38 (31 agencies, 7 courts)
Louisiana	▪ 1 agency	▪ 2 courts
Massachusetts	▪ 1 agency	▪ Unknown number of housing and probate courts
Mississippi	▪ 1 agency	▪ Unknown number of chancery, county, justice, and municipal courts
Montana	▪ 4 agencies and pre-release centers	▪ 89 (3 agencies, 86 courts)
Nevada	▪ 1 agency	▪ 7 agencies and courts
New Mexico	▪ 2 agencies and courts	▪ 103 courts
Ohio	▪ 185 agencies and courts	▪ 6 courts
Oklahoma	▪ 3 agencies and courts	▪ 28 agencies and courts
Oregon	▪ 1 agency	▪ Unknown number of municipal and justice courts
Tennessee	▪ 3 agencies	▪ 19 agencies
Texas	▪ 1 agency	▪ Unknown number of municipal and justice courts
Utah	▪ 1 agency	▪ 1 agency
Vermont	▪ 1 agency	▪ Unknown number of municipal and justice courts
Virginia	▪ 1 agency	▪ 37 agencies
Washington	▪ 32 courts	▪ 33 courts
Wyoming	▪ 1 agency	▪ Unknown number of municipal courts

Pre-Data Collection Canvassing and Outreach

3.1 Canvassing for Agencies and Courts in States with Under-Coverage

In early 2018, BJS worked with RTI to further canvass for agencies and courts that were potentially eligible for inclusion in the APS frame in the 23 states where under-coverage was identified. Once OMB clearance was received in February 2018, RTI project staff conducted online searches and attempted outreach to stakeholders to define the nature of the under-coverage more concretely. For example, staff searched websites of (1) state DOCs for listings of agencies, (2) state administrative offices of the courts and other judicial branch sites for listings of courts and descriptions of supervision responsibilities, and (3) professional organizations for directories of chiefs of probation or other probation professionals. In some jurisdictions, staff contacted state-level informants (e.g., APS central data providers) and court offices to clarify online information or to fill gaps (e.g., quantity and names of municipal courts that assign adults to probation).

Exploratory findings suggested that an additional 4,968 agencies and courts were potentially eligible for inclusion in the APS frame (see *Table 3-1*), meaning that they potentially supervised probationers. The initial list of unrepresented agencies and courts to potentially add to the APS frame was based on the CAPSA frame, which included only agencies and courts supervising at least one felon. Therefore, many of these additional agencies and courts were expected to serve only misdemeanants. Information about these agencies and courts and how the pool was reduced before starting outreach is summarized in Section 4.

Table 3-1. Scope of Frame Enhancement Data Collection Efforts as of 2018, by State

State	Potentially Unrepresented Agencies/Courts
Alabama	▪ 284 municipal courts
Alaska	▪ 41 district courts
Arkansas	▪ 98 district courts ▪ 79 city courts
Colorado	▪ 165 municipal courts
Florida	▪ 12 misdemeanor programs ▪ 10 circuit courts
Iowa	▪ 1 private company

(continued)

Table 3-1. Scope of Frame Enhancement Data Collection Efforts as of 2018, by State (continued)

State	Potentially Unrepresented Agencies/Courts
Kansas	<ul style="list-style-type: none"> ▪ 337 municipal courts ▪ 31 community corrections agencies ▪ Kansas DOC, Community and Field Services Division
Louisiana	<ul style="list-style-type: none"> ▪ 65 district courts ▪ 48 city courts
Massachusetts	<ul style="list-style-type: none"> ▪ 12 probate and family courts ▪ 18 housing courts
Mississippi	<ul style="list-style-type: none"> ▪ 240 municipal courts ▪ 21 county courts ▪ 20 chancery court districts ▪ 82 justice courts
Montana	<ul style="list-style-type: none"> ▪ 75 justice courts ▪ 81 city courts ▪ 5 municipal courts ▪ 54 district courts ▪ 29 probation and parole agencies
Nevada	<ul style="list-style-type: none"> ▪ 5 alternative sentencing departments ▪ 2 municipal courts
New Mexico	<ul style="list-style-type: none"> ▪ 33 district courts ▪ 51 magistrate courts ▪ 83 municipal courts
Ohio	<ul style="list-style-type: none"> ▪ 4 courts of common pleas ▪ 10 county courts ▪ 1 family court ▪ 294 mayor's courts ▪ 21 municipal courts
Oklahoma	<ul style="list-style-type: none"> ▪ 27 district attorney supervision districts ▪ 1 sheriff's department ▪ Unknown number of municipal courts
Oregon	<ul style="list-style-type: none"> ▪ 34 justice courts ▪ 146 municipal courts

(continued)

Table 3-1. Scope of Frame Enhancement Data Collection Efforts as of 2018, by State (continued)

State	Potentially Unrepresented Agencies/Courts
Tennessee	<ul style="list-style-type: none"> ▪ 19 government agencies ▪ 93 general sessions courts
Texas	<ul style="list-style-type: none"> ▪ 804 justice courts ▪ 938 municipal courts
Utah	<ul style="list-style-type: none"> ▪ 87 private companies
Vermont	<ul style="list-style-type: none"> ▪ Unknown number of municipal and other courts
Virginia	<ul style="list-style-type: none"> ▪ 37 Department of Criminal Justice Services agencies ▪ 126 general district courts
Washington	<ul style="list-style-type: none"> ▪ 35 district courts ▪ 229 municipal courts
Wyoming	<ul style="list-style-type: none"> ▪ 79 municipal courts
Total	<ul style="list-style-type: none"> ▪ 4,968 agencies and courts across 23 states

3.2 Outreach to Agencies and Courts

Before administering surveys to agencies and courts discovered through the canvassing efforts, BJS and RTI engaged in outreach to the field to refine the list. This outreach was conducted for the duration of the frame development work, and communication with experts helped identify ineligible agencies and better understand probation structures in each state. In a few states, agencies that were potentially eligible were added to the list.

The original list of 4,968 agencies across 23 states was reduced to 3,752 agencies in 21 states, as shown in *Table 3-2*. Two states, Alaska and Massachusetts, were determined to have full coverage based on initial outreach. In Alaska, felony probationers are reported in the DOC data. Misdemeanant probation supervision in Alaska is informal, and because individuals on informal/unsupervised probation are not included in the counts collected for the APS, Alaska is considered to have complete coverage for the APS. In Massachusetts, probation is centralized. Any individuals assigned to probation from a probate or family court fall under the auspices of the Office of the Commissioner of Probation, from which the APS already collects data. In the remaining 21 states, the majority of the agencies potentially unrepresented in the APS were located in Texas (46.4%), Mississippi (8.6%), Alabama (7.6%) and Arkansas (6.5%).

**Table 3-2. Scope of Frame Enhancement Investigation After Pre-Data
Collection Canvassing and Outreach, by State**

State	Agencies/Courts (n)	% of Total Frame Enhancement Investigation Effort
Alabama	284	7.6
Arkansas	244	6.5
Colorado	165	4.4
Florida	38	1.0
Iowa	1	0.0
Kansas	7	0.2
Louisiana	112	3.0
Mississippi	322	8.6
Montana	76	2.0
Nevada	7	0.2
New Mexico	51	1.4
Ohio	38	1.0
Oklahoma	77	2.1
Oregon	6	0.2
Tennessee	112	3.0
Texas	1,742	46.4
Utah	87	2.3
Vermont	5	0.1
Virginia	163	4.3
Washington	139	3.7
Wyoming	79	2.1
Total	3,755	100.0

Frame Enhancement Data Collection in 21 States

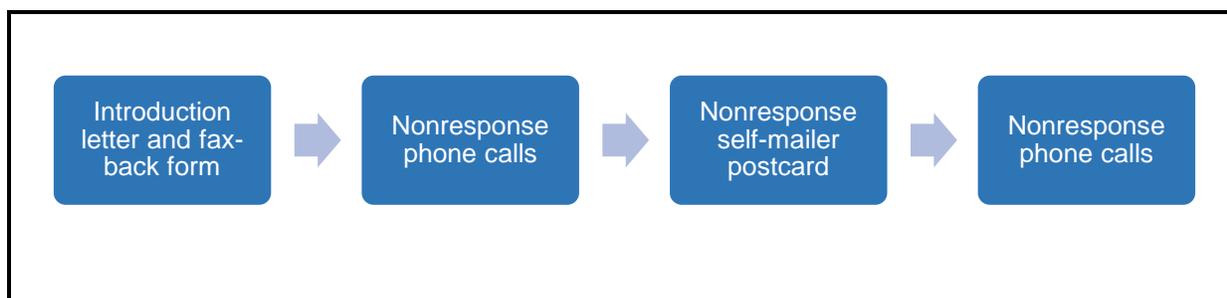
To determine whether the agencies and courts identified in the frame enhancement canvassing efforts were eligible for inclusion in the APS frame, BJS and RTI administered a short survey on agencies' and courts' supervision status and counts of misdemeanants and felons after the RY2017 APS data were collected. This work took place in two phases. Phase 1 was conducted in the following 16 states: Alabama, Arkansas, Colorado, Kansas, Louisiana, Mississippi, Montana, Nevada, New Mexico, Ohio, Oklahoma, Tennessee, Texas, Utah, Virginia, and Wyoming (described in Section 4.1). These states included a total of 3,566 agencies and courts potentially unrepresented in the RY 2015 APS. Data collection focused on these states to demonstrate that the outreach protocols would be cost-effective and that the results would be determinative.

The remaining five states (i.e., Florida, Iowa, Oregon, Vermont, and Washington) had complex supervising structures and the level of effort required to include these states was unknown. There were 186 agencies and courts in these states that were potentially unrepresented in the RY2015 APS. BJS decided to delay work in those jurisdictions until more was learned about the 16 Phase 1 states. After demonstrating the value of refining the list of agencies and courts in Phase 1, agencies and courts in these five states were investigated in Phase 2 (described in Section 4.2).

4.1 Phase 1 Frame Enhancement Data Collection: 16 States

Beginning in June 2018, the Phase 1 data collection protocol shown in *Figure 4-1* was implemented and data collection began for the 16 states. First, an information request package was mailed to the agency or court head. The package included a cover letter on BJS letterhead that was signed by the Corrections Statistics Unit Chief. The letter briefly summarized the purpose of the APS and the reason for the outreach. The package also contained a form requesting the following information: whether the agency or court had responsibility for supervising adults on probation, the numbers of felons and misdemeanants supervised, and contact information for the respondent and the agency or court head. Recipients were asked to fax or email the completed form to RTI.

Figure 4-1. Phase 1 Frame Enhancement Data Collection Protocol



A 2-week phone follow-up period began approximately 18 days after the initial mailing was sent to confirm receipt and to request prompt responses. A second mailing—a self-mailer postcard—was then sent, and asked two questions: (1) whether the agency or court supervised adult probationers and (2) whether it might supervise in the next year. The postcard included introductory text from the Corrections Statistics Unit Chief and a graphic with data highlights from the RY2016 APS. If no response to the self-mailer was received by RTI from an agency or court after 2 weeks, it would be contacted during the second 2-week phone follow-up period to solicit as many responses as possible. Due to the caseload and complexity of probation in Texas, RTI modified the standard protocol. Potential Texas agencies and courts were sent a nonresponse self-mailer postcard to identify those that supervised before requesting more detailed information via the standard questionnaire.

The next few tables present the results of the frame enhancement data collection in the 16 Phase 1 states, including the number of agencies and courts that supervise and the number of probationers supervised. Results are presented by state and supervision status (i.e., whether agencies and courts supervised at least one felon or only misdemeanants). BJS and RTI agreed to not perform data quality follow-up during the frame enhancement data collection; therefore, the resulting dataset contains inconsistencies (e.g., the reported number of felons supervised plus the reported number of misdemeanants supervised does not always sum to the total reported number of adults supervised). RTI and BJS established the following consistency rules to apply to the data:

- If an agency or court provided a total count of adults supervised and indicated that it only supervised felons, all of the individuals supervised were assumed to be felons.
- Likewise, if an agency or court provided a total count of adults supervised and indicated that it only supervised misdemeanants, all of the individuals supervised were assumed to be misdemeanants.
- If an agency or court did not provide a total count but provided a count of felons and/or misdemeanants supervised, the sum of these counts was assumed to equal the total number of probationers supervised.

Table 4-1 shows the number of agencies and courts included in the Phase 1 data collection efforts and each data provider's reported supervision status, by state. Overall, RTI contacted 3,566 agencies and courts, of which 2,710 (76%) responded. Given nonresponse, there may be additional agencies that supervise probationers that were not identified during this data collection effort. Data provided by those that did respond indicate that

- Although 387 supervised probationers,
 - 55 agencies and courts reported not supervising either felons or misdemeanants and therefore were deemed by the research team as ineligible for inclusion in the APS frame;
 - 3 agencies and courts indicated that they supervised felons or misdemeanants, but did not provide any counts;
 - 29 agencies and courts were later found to be ineligible during a separate APS activity; and

- 2 agencies were found to be duplicates of agencies already in the APS frame.

Table 4-1. Phase 1 Frame Enhancement Data Collection Response Rates and Agency/Court Supervision Status, by State

State	Agencies/ Courts (n)	Refusals (n)	Total Completes		Nonresponders (n)	Response Rate (%)
			Supervised (n)	Did Not Supervise (n)		
Alabama	284	4	34	189	57	79
Arkansas	244	0	41	159	44	82
Colorado	165	1	7	134	23	85
Kansas	7	0	3	2	2	71
Louisiana	112	1	29	59	23	79
Mississippi	322	3	22	237 ^a	60	80
Montana	76	4	7	54	11	80
Nevada	7	0	4	2	1	8
New Mexico	51	1	11	31	8	82
Ohio	38	0	23	11	4	89
Oklahoma	77	0	27	25	25	68
Tennessee	112	2	31	52	27	74
Texas	1,742	9	8	1,300	425	75
Utah	87	0	10	0	77	11
Virginia	163	4	32	96	31	79
Wyoming	79	0	9	61	9	89
Total	3,566	29	298	2,412	827	76

^a Includes one “Don’t know” response.

A total of 298 agencies (11%) could be recommended for inclusion in the Phase 1 enhanced frame, as follows:

- 83 agencies supervised at least one felon; 64 agencies across 11 states provided counts of the felons supervised, including 11 agencies in Oklahoma and 24 agencies in Virginia; an additional 20 agencies indicated they supervised felons but did not provide a count, including 11 agencies in Oklahoma.
- 174 agencies across all 16 states supervised at least one misdemeanor, including more than 20 agencies in each of the following states: Alabama, Arkansas, Louisiana, Ohio, and Virginia; an additional 41 agencies indicated they supervised misdemeanants but did not provide a count.

Very few agencies and courts (only 22) that reported that they did not supervise probationers during the Phase 1 data collection reported that they might supervise them in the following year; however, these were not recommended for inclusion in the enhanced frame.

Several court types tended to not supervise probationers, with few exceptions:

- **Municipal courts.** We contacted 1,736 municipal courts in Phase 1. Of the 1,326 that responded, only 86 were recommended for inclusion in the APS, suggesting that many municipal courts have the authority to supervise probationers, but do not necessarily do so.
- **Justice courts.** We contacted 961 justice courts in Phase 1. Of the 680 that responded, only 18 were recommended for inclusion, suggesting that justice courts also may have the authority to supervise probationers, but do not necessarily do so.

Table 4-2 shows the numbers of agencies and courts that may be eligible for inclusion in the APS frame that were identified in Phase 1 and the percentages of the total enhanced frame these providers represent. If agencies and courts from 13 of the states listed in Table 4-1 were added to the APS frame, they would contribute more than 75% of the total reporting data providers in each of those 13 states. In nine states, only one reporting agency or court was included in the RY 2017 APS frame; however, based on the frame enhancement work, additional eligible data providers exist for the state. *Table 4-3* lists the numbers of agencies and courts in each state that supervised at least one felon and the numbers that supervised only misdemeanants. Of the total 298 agencies and courts identified in Phase 1 of the frame enhancement research, 84 (28%) supervised at least one felon and 185 (62%) supervised only misdemeanants.⁵

⁵ The remaining 29 agencies and courts reported supervising adults on probation but were unwilling or unable to report the probationers' supervision status.

Table 4-2. Supervising Agencies and Courts in the RY2017 APS Frame and the Phase 1 Enhanced Frame, by Supervision Status and State

State	Total Agencies/ Courts: RY2017 APS Frame (n)	Phase 1 Frame Enhancement Agencies/Courts Supervising >1 Adult Probationer (n)	Total Agencies/ Courts: Phase 1 Enhanced Frame ^a (n)	% of Agencies/Courts Newly Identified in Phase 1 Frame Enhancement ^b
Alabama	3	34	37	91.9
Arkansas	1	41	42	97.6
Colorado	8	7	15	46.7
Kansas	1	3	4	75.0
Louisiana	1	29	30	96.7
Mississippi	1	22	23	95.7
Montana	4	7	11	63.6
Nevada	1	4	5	80.0
New Mexico	2	11	13	84.6
Ohio	181	23	204	11.3
Oklahoma	3	27	30	90.0
Tennessee	3	31	34	91.2
Texas	1	8	9	88.9
Utah	1	10	11	90.9
Virginia	1	32	33	97.0
Wyoming	1	9	10	90.0
Total	213	298	511	58.3

^a Phase 1 enhanced frame is the sum of the agencies and courts surveyed in the RY2017 APS frame and the agencies and courts identified during the Phase 1 frame enhancement task.

^b Calculated as the number of newly identified Phase 1 frame enhancement agencies and courts divided by the total number of agencies and courts included in the Phase 1 enhanced frame.

Table 4-3. Supervising Agencies and Courts in the RY2017 APS Frame and the Phase 1 Frame Enhancement, by Supervision Status and State

State	Total Agencies/Courts: RY2017 APS Frame			Agencies/Courts Newly Identified During Phase 1 Frame Enhancement			Total Agencies/Courts: Phase 1 Enhanced Frame ^a		
	Felons (n)	Misdemeanants Only (n)	Unknown (n)	Felons (n)	Misdemeanants Only (n)	Unknown (n)	Felons (n)	Misdemeanants Only (n)	Unknown (n)
Alabama	0	1	2	1	27	6	1	28	8
Arkansas	1	0	0	2	38	1	3	38	1
Colorado	1	4	3	0	7	0	1	11	3
Kansas	1	0	0	0	3	0	1	3	0
Louisiana	1	0	0	1	21	7	2	21	7
Mississippi	1	0	0	3	11	8	4	11	8
Montana	3	1	0	1	5	1	4	6	1
Nevada	1	0	0	3	1	0	4	1	0
New Mexico	1	0	1	2	8	1	3	8	2
Ohio	52	79	50	4	17	2	56	96	52
Oklahoma	1	2	0	22	5	0	23	7	0
Tennessee	3	0	0	10	18	3	13	18	3
Texas	1	0	0	3	5	0	4	5	0
Utah	1	0	0	6	4	0	7	4	0
Virginia	1	0	0	26	6	0	27	6	0
Wyoming	1	0	0	0	9	0	1	9	0
Total	70	87	56	84	185	29	154	272	85

^a Phase 1 enhanced frame is the sum of the agencies and courts surveyed in the RY2017 APS frame and the agencies and courts identified during the Phase 1 frame enhancement task.

Presented in *Table 4-4*, response data indicate that 298 agencies and courts in these 16 states supervised more than 155,000 adults on probation, including more than 24,000 felons and nearly 120,000 misdemeanants.⁶ Additional findings are as follows:

- The total supervised population in these states would increase by 12.5% (from 1,085,033 to 1,240,474) if these agencies and courts had reported in the RY2017 APS data collection.
- The total supervised population in these states would increase by another 27% (from 1,085,033 to 1,356,058).

If the counts were inflated to account for state-level nonresponse to the RY2017 APS data collection, they are not shown in Table 4-4.

Table 4-4. Supervised Populations in the RY2017 APS Frame, the Phase 1 Frame Enhancement, and the Phase 1 Enhanced Frame, by State

State	Total Population: RY2017 APS Frame (n)	Additional Population From Phase 1 Frame Enhancement (n)	Total Population: Phase 1 Enhanced Frame ^a (n)	% of Total Population That Is New: Phase 1 Enhanced Frame
Alabama	51,228	5,882	57,110	10.30
Arkansas	33,731	12,104	45,835	26.41
Colorado	81,076	4,568	85,644	5.33
Kansas	16,910	2,200	19,110	11.51
Louisiana	38,753	6,559	45,312	14.48
Mississippi	27,820	1,510	29,330	5.15
Montana	9,487	1,358	10,845	12.52
Nevada	13,625	3,402	17,027	19.98
New Mexico	12,446	5,415	17,861	30.32
Ohio	244,384	33,370	277,754	12.01
Oklahoma	42,052	7,395	49,447	14.96
Tennessee	61,453	25,228	86,681	29.10
Texas	372,055	113	372,168	0.03
Utah	12,519	14,276	26,795	53.28
Virginia	62,443	31,817	94,260	33.75
Wyoming	5,051	244	5,295	4.61
Total	1,085,033	155,441	1,240,474	12.53

^a Includes the supervised population reported in the RY2017 APS plus the probation population reported by respondents during the Phase 1 frame enhancement data collection. Note that the sum of supervised probationers reported by respondents to the frame enhancement data collection often differs from the total population reported.

⁶ The supervision status of the remaining 14,429 probationers is unknown.

Table 4-5 shows the supervised populations reported by all Phase 1 frame enhancement agencies and courts, as well as the populations reported by felon-supervising agencies and courts, by state. Several agencies and courts were unable to provide population counts; those are enumerated in the table as well.

Table 4-6 shows the supervised populations reported on the RY2017 APS and the supervised populations reported in the Phase 1 frame enhancement alongside the Phase 1 enhanced frame population (i.e., the sum of the RY2017 APS population plus the Phase 1 frame enhancement population), by supervision status and state.

Table 4-5. Supervised Populations⁷ Reported and Agencies/Courts with Missing Population Counts in the Phase 1 Frame Enhancement, by State

State	All Phase 1 Frame Enhancement Agencies/Courts			Phase 1 Frame Enhancement Agencies/Courts Supervising >1 Felon			Total Phase 1 Frame Enhancement Agencies/Courts With Missing Data	
	Felons (n)	Misdemeanants (n)	Total ^a (n)	Felons (n)	Misdemeanants (n)	Total (n)	Felon Counts (n)	Misdemeanant Counts (n)
Alabama	1	4,755	5,882	1	36	37	2	5
Arkansas	1,105	10,999	12,104	1,105	260	1,365	1	2
Colorado	0	4,568	4,568	0	0	0	0	0
Kansas	0	2,200	2,200	0	0	0	0	0
Louisiana	0	6,464	6,559	0	0	0	0	8
Mississippi	120	1,278	1,510	120	500	620	0	8
Montana	0	1,308	1,358	0	0	0	0	1
Nevada	1,416	1,986	3,402	1,416	1,966	3,382	0	0
New Mexico	10	5,405	5,415	10	30	40	1	6
Ohio	5,270	27,966	33,370	5,270	13,287	18,557	0	4
Oklahoma	2,167	3,878	7,395	2,167	3,661	7,178	11	12
Tennessee	2,967	19,241	25,228	2,967	7,882	10,849	2	8
Texas	57	56	113	57	25	82	0	1
Utah	8,198	5,535	14,276	8,198	4,989	13,730	1	1
Virginia	2,426	21,392	31,817	2,426	19,542	29,967	1	1
Wyoming	0	244	244	0	0	0	0	1
Total	23,737	117,275	155,441	23,737	52,178	85,807	19	58

^a As agreed on by BJS and RTI, data quality follow-up was not performed during the Phase 1 frame enhancement task; therefore, the resulting dataset contains inconsistencies (e.g., the reported number of felons supervised plus the reported number of misdemeanants supervised does not sum to the total reported number of supervised adults).

⁷ Population as of 12/31/2017.

Table 4-6. Supervised Populations⁸ in the RY2017 APS Frame and the Phase 1 Enhanced Frame, by Probationer Supervision Status and State

State	RY2017 APS Frame ^a				Phase 1 Enhanced Frame ^a				% of Total Population That Is New From Phase 1 Frame Enhancement		
	Felons (n)	Misdemeanants (n)	Unknown (n)	Total (n)	Felons (n)	Misdemeanants (n)	Unknown (n)	Total (n)	Felons (%)	Misdemeanants (%)	Total (%)
Alabama	0	13,474	37,754	51,228	1	18,229	37,754	55,984	100.0	26.1	10.5
Arkansas	33,164	405	162	33,731	34,269	11,404	162	45,835	3.2	96.4	26.4
Colorado	22,778	55,945	2,353	81,076	22,778	60,513	2,353	85,644	0.0	7.5	5.3
Kansas	4,359	12,551	0	16,910	4,359	14,751	0	19,110	0.0	14.9	11.5
Louisiana	38,445	308	0	38,753	38,445	6,772	0	45,217	0.0	95.5	14.5
Mississippi	27,820	0	0	27,820	27,940	1,278	0	29,218	0.4	100.0	5.2
Montana	8,866	441	180	9,487	8,866	1,749	180	10,795	0.0	74.8	12.6
Nevada	11,907	1,718	0	13,625	13,323	3,704	0	17,027	10.6	53.6	20.0
New Mexico	9,198	772	2,476	12,446	9,208	6,177	2,476	17,861	0.1	87.5	30.3
Ohio	50,209	89,860	104,315	244,384	55,479	117,826	104,315	277,620	9.5	23.7	12.0
Oklahoma	23,824	18,228	0	42,052	25,991	22,106	0	48,097	8.3	17.5	15.4
Tennessee	57,857	3,596	0	61,453	60,824	22,837	0	83,661	4.9	84.3	30.2
Texas	228,642	143,413	0	372,055	228,699	143,469	0	372,168	0.0	0.0	0.0
Utah	9,274	3,240	5	12,519	17,472	8,775	5	26,252	46.9	63.1	54.4
Virginia	62,443	0	0	62,443	64,869	21,392	0	86,261	3.7	100.0	36.9
Wyoming	3,569	1,481	1	5,051	3,569	1,725	1	5,295	0.0	14.1	4.6
Total	592,355	345,432	147,246	1,085,033	616,092	462,707	147,246	1,226,045	3.9	25.3	12.7

^a Includes the population reported in the RY2017 APS plus the probation population reported by respondents during the Phase 1 frame enhancement data collection. Note that the sum of supervised probationers reported by respondents to the Phase 1 frame enhancement data collection often differs from the total population reported.

⁸ Population as of 12/31/2017.

4.2 Phase 2 Frame Enhancement Data Collection: Five States

The Phase 2 frame enhancement data collection focused on the remaining five states where under-coverage was identified (i.e., Florida, Iowa, Oregon, Vermont, and Washington). The data collection began in each state after the RY2018 APS data were collected. Thus, beginning in May 2019, the data collection protocol shown in *Figure 4-2* was implemented. Outreach in the five states differed, as follows:

- **Direct telephone outreach and data collection with agencies and courts.** In Florida and Iowa, call scripts were created and the proper contacts for outreach were identified. Scripts were reviewed and approved by BJS before outreach began. Nonresponse calls were made as necessary; nonresponding agencies and courts were contacted no fewer than three times in an attempt to collect data.
- **Telephone outreach and data collection with DOCs to learn more about agencies and courts in their states.** In Oregon and Vermont, phone outreach began with DOC contacts to learn more about agencies and courts in their states and to determine whether additional follow-up with those data providers was necessary to define the APS frame. Nonresponse efforts were not needed.
- **Direct mixed-mode (postcard and telephone) data collection with courts.** Because of the number of courts that required outreach in Washington, a mixed-mode approach was used. As in the Phase 1 data collection efforts, courts were contacted via a self-mailer postcard in an attempt to identify supervising courts before requesting more detailed information (e.g., population types, counts). The postcard presented two questions: whether the court supervised adults on active probation and, if not, whether it might in the next year. The postcard included introductory text from the BJS Corrections Statistics Unit Chief and a graphic with data highlights from the RY2016 APS. It summarized the purpose of the APS and the reason for the outreach. Follow-up with Washington courts was done in two phases, as follows:
 - If a returned postcard indicated that the court supervised adults on active probation, phone outreach was conducted to obtain population types (i.e., felons, misdemeanants, or both) and counts.
 - If no postcard was returned within approximately 2 weeks, phone outreach was conducted to learn whether the court supervised adults on active probation, and if so, to obtain population types and counts.

Figure 4-2. Phase 2 Frame Enhancement Data Collection Protocol, by State

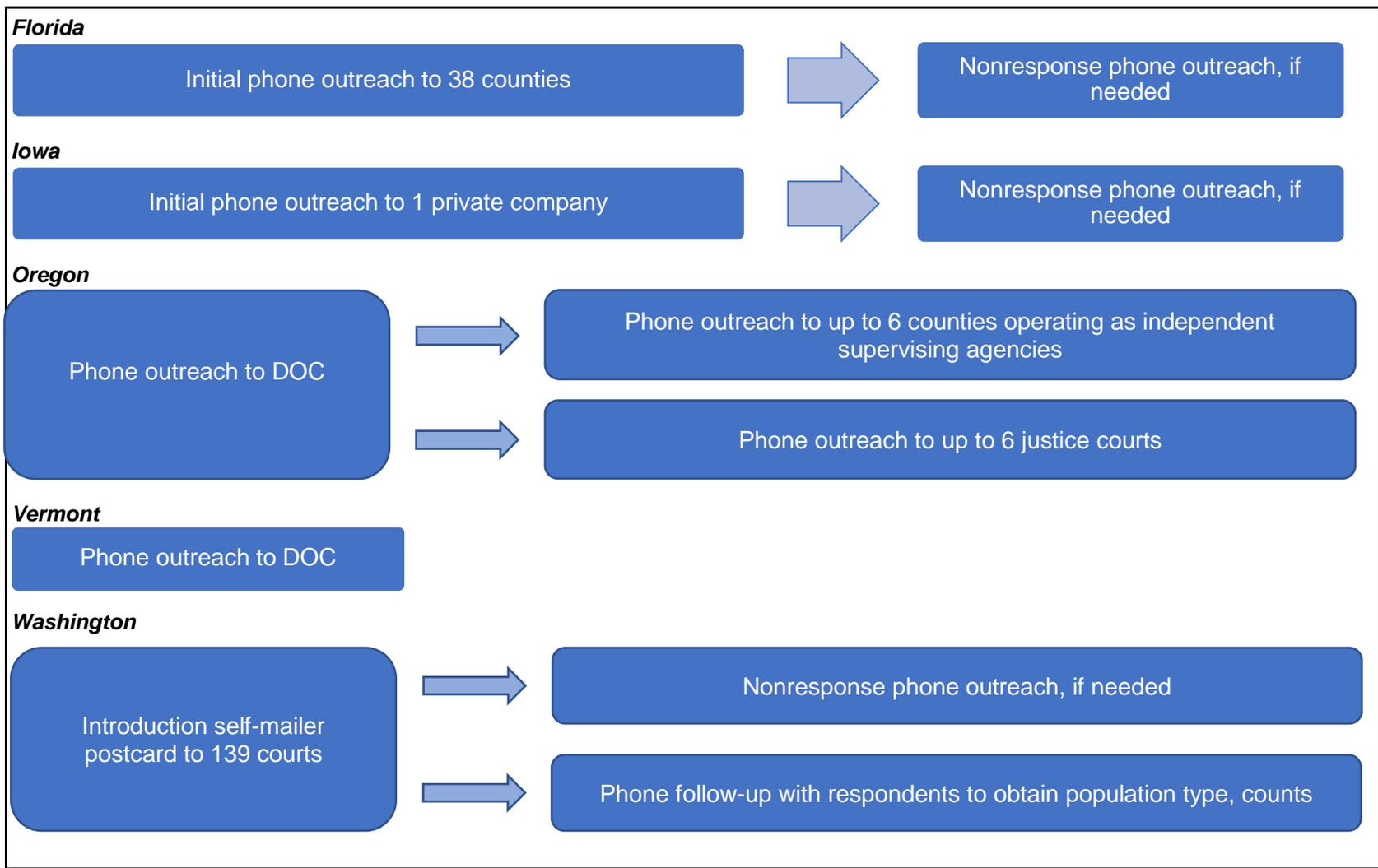


Table 4-7 shows the number of agencies and courts included in the Phase 2 data collection efforts and their supervision status as reported by state. Overall, RTI reached out to 186 unique contacts⁹ to gather information about 189 agencies or courts and received information about 173 (92%) of them. Responses indicated that 55 (31%) supervised nearly 6,100 adults on probation, including 55 felons and more than 6,000 misdemeanants. Given the nonresponse to this collection, the total estimated undercount of probationers is still unknown; however, based on information learned during outreach, RTI made informed recommendations for agency or court inclusion in each state, such as the following:

- A response was not received from every district court in Washington. However, because at least one district court reported supervising felons, RTI recommended including all nonresponsive district courts¹⁰ ($n = 3$) in the Phase 2 enhanced frame.
- A response was not received from every agency in Florida. However, RTI learned from gatekeepers or other APS data providers that nonresponding agencies likely supervised misdemeanants; as such, RTI recommended that these agencies ($n = 3$) be included in the Phase 2 enhanced frame.

Table 4-7. Phase 2 Frame Enhancement Data Collection Response Rates and Agency/Court Supervision Status, by State

State	Unique Contacts Approached (n)	Agencies/Courts (n)	Refusals (n)	Total Completes		Nonresponders (n)	Response Rate (%)
				Supervised (n)	Did Not Supervise (n)		
Florida	38	38	0	5 ^a	29	4	89
Iowa	1	1	0	1	0	0	100
Oregon	7	6	0	0	6	0	100
Vermont	1	5	0	0	5	0	100
Washington	139	139	0	50 ^b	78	11	92
Total	186	189	0	56	118	15	92

^a Includes four nonresponders, but we suspect that they supervise misdemeanants and thus recommended them for inclusion in the Phase 2 enhanced frame.

^b Includes three nonresponders, but we suspect that they supervise probationers and thus recommended them for inclusion in the Phase 2 enhanced frame.

⁹ RTI’s approach differed in Oregon and Vermont; we gathered information about multiple agencies or courts from a single DOC contact rather than directly from the individual agencies or courts. In Oregon, RTI spoke with one DOC contact and six justice court contacts. The DOC contact stated that only counties already included in Oregon’s APS reports operate as supervising agencies; contacts at all six justice courts reported that they do not supervise adult probationers. In Vermont, RTI spoke with one DOC contact who confirmed that all adult probationers supervised by five superior court divisions were already included in Vermont’s APS reports.

¹⁰ Contacts at several district courts were responsive to the data collection efforts and indicated that they did not supervise felons or misdemeanants. These courts were not recommended for inclusion in the Phase 2 enhanced frame.

Data provided by the 174 agencies that responded during the Phase 2 frame enhancement data collection indicate the following:

- Twenty-two agencies supervised probationers but were unable to provide a count of probationers supervised.
- Fifty-six agencies (32%) were recommended for inclusion in the Phase 2 enhanced frame. Of these:
 - Two agencies supervised at least one felon.
 - All 56 agencies across three states supervised at least one misdemeanor, including 50 agencies in Washington.
- Very few agencies (i.e., 11) that did not supervise probationers in RY2018 reported that they might in the following year; however, these were not recommended for inclusion in the enhanced APS frame.

A summary of (1) the number of agencies and courts and their populations, as represented in the current APS frame; and (2) the potential number of agencies and courts and their potential supervised populations is presented in *Table 4-8*.

Table 4-8. Supervising Agencies and Courts in the RY2018 APS Frame and the Phase 2 Enhanced Frame, by Supervision Status and State

State	Total Agencies/Courts: RY2018 APS Frame (n)	Phase 2 Frame Enhancement Agencies/Courts Supervising >1 Adult Probationer (n)	Total Agencies: Phase 2 Enhanced Frame (n)	% of Agencies/Courts Newly Identified in Phase 2 Frame Enhancement^b
Florida	41	5	46	10.9
Iowa	1	1	2	50.0
Oregon	1	0	1	0.0
Vermont	1	0	1	0.0
Washington	32	50	82	61.0
Total	76	56	132	42.4

^a Phase 2 enhanced frame is the sum of the agencies and courts surveyed in the RY2018 APS and the agencies and courts identified during the Phase 2 frame enhancement task.

^b Calculated as the number of newly identified Phase 2 frame enhancement agencies and courts divided by the total number of agencies and courts included in the Phase 2 enhanced frame.

Table 4-9 lists the number of agencies and courts in each state that supervised at least one felon and the number that supervised only misdemeanants. Of the 56 total agencies identified in Phase 2 of the frame enhancement research, 2 (4%) supervised at least one felon and 26 (46%) supervised only misdemeanants.¹¹

The following results describe the extent to which the missing data from agencies absent from the APS frame. Presented in *Table 4-10*, response data indicate that 56 agencies in three states supervise nearly 6,100 adults on probation, including 55 felons and more than 6,000 misdemeanants. Additionally, the total supervised population in these states in the RY2018 APS would have increased by 1.7% (from 350,510 to 356,594) had these agencies and courts reported; not shown in table.

A summary of (1) the population reported by Phase 2 frame enhancement agencies and courts, by supervision status; (2) the population reported by Phase 2 frame enhancement agencies or courts that reported supervising at least one felon, by supervision status; and (3) the number of Phase 2 frame enhancement agencies and courts with missing population counts is presented in *Table 4-11*.

Table 4-12 shows (1) the supervised populations reported by agencies and courts in the RY2018 APS, by supervision status; (2) the total supervised population in the Phase 2 enhanced frame, by supervision status; and (3) the percentage of the Phase 2 enhanced frame population that came from Phase 2 frame enhancement, by state.

¹¹ The remaining 28 agencies and courts reported supervising adults on probation but were unwilling or unable to report the probationers' supervision status.

Table 4-9. Supervising Agencies and Courts in the RY2018 APS Frame and the Phase 2 Frame Enhancement, by Supervision Status and State

State	Total Agencies: RY2018 APS Frame			Total Agencies: Phase 2 Enhanced Frame			Agencies That Are New: Phase 2 Enhanced Frame ^a		
	Felons (n)	Misdemeanants Only (n)	Unknown (n)	Felons (n)	Misdemeanants Only (n)	Unknown (n)	Felons (n)	Misdemeanants Only (n)	Unknown (n)
Florida	8	19	14	0	2	3	8	21	17
Iowa	1	0	0	1	0	0	2	0	0
Oregon	1	0	0	0	0	0	1	0	0
Vermont	1	0	0	0	0	0	1	0	0
Washington	5	10	17	1	24	25	6	34	42
Total	16	29	31	2	26	28	18	55	59

^aTotal enhanced frame is the sum of the agencies surveyed in the RY2018 APS and the agencies identified during the Phase 2 frame enhancement task.

Table 4-10. Supervised Populations in the RY2018 APS Frame, the Phase 2 Frame Enhancement, and the Phase 2 Enhanced Frame, by State

State	Total Population: RY2018 APS Frame (<i>n</i>)	Additional Population From Phase 2 Frame Enhancement (<i>n</i>)	Total Population: Phase 2 Enhanced Frame ^a (<i>n</i>)	% of Total Population That Is New: Phase 2 Enhanced Frame
Florida	205,033	493	205,526	0.2%
Iowa	29,137	684	29,821	2.3%
Oregon	35,732	0	35,732	0.0%
Vermont	3,936	0	3,936	0.0%
Washington	76,672	4907	81,579	6.0%
Total	350,510	6,084	356,594	1.7%

^a Includes the population reported in the RY2018 APS plus the total number of probationers reported by respondents to the Phase 2 frame enhancement data collection.

Table 4-11. Supervised Populations¹² Reported and Agencies/Courts with Missing Population Counts in the Phase 2 Frame Enhancement, by State

State	All Phase 2 Frame Enhancement Agencies/Courts			Phase 2 Frame Enhancement Agencies/Courts Supervising >1 Felon			Total Phase 2 Frame Enhancement Agencies/Courts With Missing Data	
	Felons (n)	Misdemeanants (n)	Total (n)	Felons (n)	Misdemeanants (n)	Total (n)	Felon Counts (n)	Misdemeanant Counts (n)
Florida	0	493	493	0	0	0	3	3
Iowa	50	634	684	50	634	684	0	0
Oregon	0	0	0	0	0	0	0	0
Vermont	0	0	0	0	0	0	0	0
Washington	5	4,902	4,907	5	90	95	16	25
Total	55	6,029	6,084	55	724	779	19	28

¹² Population as of 12/31/2018.

Table 4-12. Supervision Populations¹³ in the RY2018 APS Frame and the Phase 2 Enhanced Frame, by Probationer Supervision Status and State

State	RY2018 APS Frame				Phase 2 Enhanced Frame ^a				% of Total Population That Is New From Phase 2 Frame Enhancement		
	Felons (n)	Misde-meanants (n)	Unknown (n)	Total (n)	Felons (n)	Misde-meanants (n)	Unknown (n)	Total (n)	Felons (%)	Misde-meanants (%)	Total (%)
Florida	148,146	44,912	11,975	205,033	148,146	45,405	11,975	205,526	0.0	1.1	0.2
Iowa	11,615	17,447	75	29,137	11,665	18,081	75	29,821	0.4	3.5	2.3
Oregon	22,782	11,124	1,826	35,732	22,782	11,124	1,826	35,732	0.0	0.0	0.0
Vermont	1,200	2,213	523	3,936	1,200	2,213	523	3,936	0.0	0.0	0.0
Washington	18,773	27,219	30,680	76,672	18,778	32,121	30,680	81,579	0.0	15.3	6.0
Total	202,516	102,915	45,079	350,510	202,571	108,944	45,079	356,594	0.0	5.5	1.7

^a Includes the population reported in the RY2018 APS plus the total number of probationers reported by respondents to the frame enhancement data collection.

¹³ Population as of 12/31/2018.

4.3 National Findings

In total, the frame enhancement research identified 354 agencies actively supervising felon or misdemeanor probationers across 21 states that were recommended for inclusion in the enhanced APS frame. These agencies comprised 44% of all agencies in the enhanced frame; the remaining 56% were taken from the RY2017 APS frame (see *Table 4-13*). The new, enhanced national frame included 808 supervising agencies and courts. Of the agencies in the enhanced frame, 56% were in the frame in RY2017 and 44% were identified in the frame enhancement research. Although the frame enhancement work identified some agencies and courts that were eligible for inclusion in the APS, these agencies, combined, supervised a relatively small percentage of all U.S. adult probationers. *Table 4-14* shows that the 161,525 probationers supervised at yearend 2017 by the agencies in the enhanced frame represented 4.2% of the total 3,808,752 yearend probation population; *Table 4-15* shows the breakdown by state.

Table 4-13. Supervising Agencies in the RY2017 APS Frame and the National APS Enhanced Frame

	<i>n</i>	%
Agencies in the RY2017 APS frame	454	56.2
Agencies added during frame enhancement	354	43.8
Total agencies in the national APS enhanced frame^a	808	100.0

^a Total enhanced frame is the sum of the agencies identified in the frame enhancement research and the agencies in the RY2017 APS frame.

Table 4-14. Probation Populations in the RY2017 APS Frame and the National APS Enhanced Frame

	<i>n</i>	%
Probation population in the RY2017 APS frame	3,647,227	95.8
Probation population added during frame enhancement	161,525	4.2
Total probation population in the national APS enhanced frame	3,808,752	100.0

Table 4-15. Probation Populations in the RY2017 APS Frame and the National APS Enhanced Frame, by State

Jurisdiction	Total Population: RY2017 APS Frame		Total Population: National APS Enhanced Frame	
	<i>n</i>	%	<i>n</i>	%
Federal	16,316	0.45	16,316	0.43
State	3,630,911	99.55	3,792,436	99.57
Alabama	51,228	1.40	57,110	1.50
Alaska	6,621	0.18	6,621	0.17
Arizona	77,129	2.11	77,129	2.03
Arkansas	33,731	0.92	45,835	1.20
California	233,046	6.39	233,046	6.12
Colorado	81,076	2.22	85,644	2.25
Connecticut	40,360	1.11	40,360	1.06
Delaware	15,010	0.41	15,010	0.39
District of Columbia	5,725	0.16	5,725	0.15
Florida	209,741	5.75	210,234	5.52
Georgia	418,790	11.48	418,790	11.00
Hawaii	19,830	0.54	19,830	0.52
Idaho	33,002	0.90	33,002	0.87
Illinois	100,239	2.75	100,239	2.63
Indiana	111,399	3.05	111,399	2.92
Iowa	29,229	0.80	29,913	0.79
Kansas	16,910	0.46	19,110	0.50
Kentucky	51,014	1.40	51,014	1.34
Louisiana	38,753	1.06	45,312	1.19
Maine	6,769	0.19	6,769	0.18
Maryland	71,352	1.96	71,352	1.87
Massachusetts	57,261	1.57	57,261	1.50
Michigan	157,456	4.32	157,456	4.13
Minnesota	98,830	2.71	98,830	2.59
Mississippi	27,820	0.76	29,330	0.77
Missouri	42,808	1.17	42,808	1.12
Montana	9,487	0.26	10,845	0.28
Nebraska	14,255	0.39	14,255	0.37

(continued)

Table 4-15. Probation Populations in the RY2017 APS Frame and the National APS Enhanced Frame, by State (continued)

Location	Total Population: RY2017 APS Frame		Total Population: National APS Enhanced Frame	
	<i>n</i>	%	<i>n</i>	%
Nevada	13,625	0.37	17,027	0.45
New Hampshire	3,914	0.11	3,914	0.10
New Jersey	139,498	3.82	139,498	3.66
New Mexico	12,446	0.34	17,861	0.47
New York	96,351	2.64	96,351	2.53
North Carolina	82,199	2.25	82,199	2.16
North Dakota	6,297	0.17	6,297	0.17
Ohio	244,384	6.70	277,754	7.29
Oklahoma	42,052	1.15	49,447	1.30
Oregon	38,936	1.07	38,936	1.02
Pennsylvania	180,901	4.96	180,901	4.75
Rhode Island	21,927	0.60	21,927	0.58
South Carolina	33,101	0.91	33,101	0.87
South Dakota	5,773	0.16	5,773	0.15
Tennessee	61,453	1.68	86,681	2.28
Texas	372,055	10.20	372,168	9.77
Utah	12,519	0.34	26,795	0.70
Vermont	4,454	0.12	4,454	0.12
Virginia	62,443	1.71	94,260	2.47
Washington	82,868	2.27	87,775	2.30
West Virginia	6,196	0.17	6,196	0.16
Wisconsin	43,597	1.20	43,597	1.14
Wyoming	5,051	0.14	5,295	0.14
Total	3,647,227	100.00	3,808,752	100.00

Concluding Remarks

The ASPP surveys provide essential statistics that are used to document the size, composition, outcomes, and flow of adults on probation and parole in the United States. These data contribute to ongoing policy conversations as state and local stakeholders assess workload and caseload requirements, review success and failure rates, and gain an awareness of the nature of national probation and parole statistics. Researchers routinely use the ASPP data to analyze longitudinal patterns, assess geographic variation, study the dynamics of population flow and characterize probation and parole populations.

RTI is committed to upholding high data quality standards to develop state and national estimates. The ASPP are conducted through two separate surveys—one for parole and one for probation; the parole survey is completed by central state entities (e.g., DOC), which provides a stable respondent pool and little need for frame enhancement studies. Given that probation is administered through various combinations of local and state governance, there are hundreds of respondents, with some states having dozens of respondents. RTI and BJS therefore must be mindful of this variation in the probation data collection and also engage in ongoing coverage and frame studies to ensure that we are capturing a full census of reporters.

RTI's frame enhancement study yielded four key takeaways. First, the current APS frame can be strengthened through ongoing frame enhancement research. We found that the APS achieves complete coverage in 29 states and the District of Columbia. Second, we identified and vetted 354 new agencies to include on the APS enhanced frame, which will increase the APS respondent pool from 454 to 808 respondents. Third, the results show that the current APS frame accounts for nearly 96% of all adults on active supervision as we found that approximately 161,000 adults on probation were left out of past APS collections. Fourth, nearly 75% of the agencies identified in the frame enhancement efforts are agencies that supervise only adults convicted of misdemeanor charges. The study design leveraged prior work supported by BJS's CAPSA that identified additional agencies that supervise individuals convicted of felonies, whereas the current design also allows for identifying agencies that supervise individuals on misdemeanor probation.

Mass incarceration is a major social problem that has received much attention to understand its causes and consequences. Many state and federal lawmakers have attempted to address this issue and have focused on ways to reduce the number of people incarcerated. Prison reformers suggest that probation is an alternative to incarceration that can alleviate the pressure on prisons and jails. Although these reformers are well-intentioned, they often overlook that probation populations have grown simultaneously with incarceration populations. Moreover, probation populations account for the largest share of U.S. correctional populations.

The ASPP provide the data needed to assess state and national trends in community corrections. This report demonstrated the need to examine coverage and enhance the APS frame across all 50 states

and the District of Columbia. We found that the current survey frame collects data for nearly all active probation cases (i.e., 96% coverage) nationally and achieved complete coverage in 29 states. This study highlights the need to regularly inspect the survey frame to ensure that all appropriate agencies are included. RTI and BJS are engaged in several ongoing efforts to ensure data quality, including conducting coverage studies, revising instruments, and developing survey items about emerging issues.

Appendix A: Frame Development Notes, by State

Alabama

- Probation is decentralized, with multiple and single data providers. In all, 3 data providers were asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 52,177.
- The RY2015 APS coverage questions listed
 - 12 supervising agencies, of which 5 were affirmed by the data providers; 3 were removed from the list for outreach in 2017 (1 was a duplicate and 2 were private companies); and the remaining 4 were municipal courts; and
 - 3 court types (i.e., circuit, district, and municipal), all of which were affirmed by the data providers.
- Because the frame had included 2 municipal courts (i.e., Huntsville and Birmingham), all municipal courts were defined as eligible for outreach. The National Center for State Courts (NCSC) listed 284 additional municipal courts.
- In the frame enhancement data collection, 223 of the 284 municipal courts contacted responded (79%). Data reported by the courts indicate that
 - 35 supervised adult probationers.
 - 188 did not supervise probationers.
 - 4 did not supervise but reported that they might in the next year.
 - 70 that assigned but did not supervise identified a mix of government agencies and private companies with responsibility for supervising those assigned; some also indicated that the probationers are “unsupervised.”
- Of the 35 courts that reported supervising probationers as of December 31, 2017,
 - 1 supervised felons, and the respondent reported supervising just 1 felon;
 - 22 supervised 4,318 misdemeanants; counts ranged from 10 to 750, and the average was 196; and
 - the total reported supervised population was 4,697, which is 378 higher than the sum of the total reported misdemeanants and felons.

Alaska

- Probation is centralized for supervision of felons, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 6,621.
- The RY2015 APS coverage questions listed
 - 1 supervising agency, which was affirmed by the data provider; and
 - 2 court types (i.e., superior and district); the data provider did not offer a definitive response.
- Contact with informants from the DOC data provider and 2 area court administrators confirmed the following:
 - Superior courts are the primary felony trial courts. Cases assigned from these courts are supervised by the DOC and are reflected in the APS data.
 - District courts are limited-jurisdiction, informal courts, meaning that supervise misdemeanants only.
 - Probation supervision is limited to adult felony offenders. The DOC does not have an adult misdemeanor probation supervision program. Adult misdemeanants may be ordered by a court into informal “open court” probation (i.e., suspended jail time, fines, or both), which would occur if a probationer did not comply with probation conditions. This form of misdemeanor probation does not include supervision by a DOC probation officer, however. Occasionally DOC’s Division of Probation and Parole will assume supervision of certain high-risk misdemeanants, but this sort of arrangement is exceedingly rare.
- During the planning stage for the frame enhancement data collection, one open question was **whether “paper cases” should be captured in the APS**. BJS understands that the APS questionnaire includes an item for those on inactive supervision, those in treatment or other facilities, and those not in contact with supervising authorities. However, the extent to which data providers include such cases is unknown. BJS advised not pursuing information on misdemeanants from district courts in Alaska because the state assigns all misdemeanants a “paper case” status for supervision.
- In Phase 2 of the frame enhancement data collection, BJS will not include informal or unsupervised probation in the population counts collected via the APS. Therefore, the state is considered to have complete coverage for the APS.

Arizona

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 77,373.
- The RY2015 APS coverage questions listed

- 16 supervising agencies, of which 15 were affirmed by the data provider and 1 was removed from the list for outreach because it did not supervise; and
- 3 court types (i.e., justice of the peace, municipal, and superior), all of which were affirmed by the data provider.
- The state is considered to have full coverage.

Arkansas

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 30,881.
- The RY2015 APS coverage questions listed
 - 46 supervising agencies, of which 1 was affirmed by a data provider; 1 was removed from the list for outreach in 2017 because it was a private company; and the remaining 44 were district courts; and
 - 3 court types (i.e., circuit, city, and district), of which 1 (i.e., circuit) was affirmed by the data provider.
- Because there had been an assumption that only city and district courts assigned adults to probation, 98 district courts (which include the 44 nonaffirmed supervising agencies) and their 67 departments and 79 city courts were defined as eligible for outreach.
- In Phase 1 of the frame enhancement data collection, 200 of the 244 courts contacted (82%) responded. Data reported by the courts indicate that
 - 47 supervised adult probationers;
 - 153 did not supervise probationers;
 - 4 did not supervise but reported that they might in the next year; and
 - 44 that assigned but did not supervise identified a mix of government agencies and private companies with responsibility for supervising those assigned; some also indicated that the probationers are “unsupervised.”
- Of the 47 courts that supervised probationers, as of December 31, 2017,
 - 1 reported supervising 1,105 felons;
 - 37 reported supervising 10,678 misdemeanors; counts ranged from 1 to 1,300, and the average was 289; and
- The total reported supervised population was 10,497, which is 1,286 lower than the sum of reported misdemeanants and felons.

California

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 239,735.
- The RY2015 APS coverage questions listed
 - 60 supervising agencies, all of which were affirmed by the data provider; and
 - 1 court type (i.e., superior), which was affirmed by the data provider.
- The state is considered to have full coverage.

Colorado

- Probation is decentralized, with multiple and single data providers. In all, 8 data providers were asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 80,740.
- The RY2015 APS coverage questions listed
 - 37 supervising agencies, of which 35 were affirmed by the data providers and 2 were municipal courts; and
 - 3 court types (i.e., circuit, district, and municipal), all of which were affirmed by the data providers.
- Because the frame included 2 municipal courts (i.e., Aurora and Westminster), all municipal courts in the state were defined as eligible for outreach. The Colorado Association for Municipal Court Administration Court Directory (<http://www.camcacolo.org/court-directory>) listed 165 additional municipal courts.
- In Phase 1 of the frame enhancement data collection, 141 of the 165 municipal courts contacted (85%) responded. Data reported by the courts indicate that, as of December 31, 2017,
 - 14 supervised adult probationers;
 - 127 did not supervise probationers;
 - 2 did not supervise probationers but reported that they might in the next year;
 - no court supervised felons; and
 - 20 that assigned but did not supervise identified a mix of government agencies and private companies with responsibility for supervising those assigned; some also indicated that the probationers are “unsupervised.”

- Of the 14 courts that supervised probationers, 9 reported supervising 5,081 misdemeanants as of December 31, 2017; counts ranged from 1 to 4,389, and the average was 488. Most courts reported supervising fewer than 100 misdemeanants.
- The total reported supervised population was 4,781 as of December 31, 2017, which is 300 lower than the reported number of misdemeanants.

Connecticut

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 41,311.
- The RY2015 APS coverage questions listed
 - 21 supervising agencies, of which 20 were affirmed by the data provider and 1 was removed from the list for outreach because it was a federal probation office; and
 - 1 court type (i.e., superior), which was affirmed by the data provider.
- The state is considered to have full coverage.

Delaware

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 15,395.
- The RY2015 APS coverage questions listed
 - 2 supervising agencies, of which 1 was affirmed by the data provider and 1 was removed from the list for outreach because it was a duplicate; and
 - 5 court types (i.e., alderman’s, common pleas, family, justice of the peace, and superior), all of which were affirmed by the data provider.
- The state is considered to have full coverage.

District of Columbia

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 5,838.
- The RY2015 APS coverage questions listed
 - 1 supervising agency, which was affirmed by the data provider; and
 - 1 court type (i.e., superior), which was affirmed by the data provider.
- The district is considered to have full coverage.

Florida

- Probation is decentralized, with multiple and single data providers. In all, 39 data providers were asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 214,006.
- The RY2015 APS coverage questions listed
 - 71 supervising agencies, of which 51 were affirmed by the data providers; 3 were removed from the list for outreach in 2017 (2 in favor of subunits that reported to the removed agency and 1 that was a federal probation office); and 17 were circuit courts, county probation agencies, and private companies; and
 - 2 court types (i.e., superior and district), both of which were affirmed by the data providers.
- The review of online information on probation and the court structure indicated deficiencies in the APS frame and the list of agencies used in the RY2015 APS questionnaire, including the following:
 - a list of Florida misdemeanor programs on <https://www.faccnet.org/county-probation-directory> identified 12 that were not in the frame;
 - 12 of the 20 circuit courts listed in the RY2015 APS, were not affirmed;
 - each of the 67 counties in the state has its own probation office, of which only 34 were listed in the RY2015 APS; and
 - private companies played a significant role in supervision, but at least 10 companies known to have a presence in the state were not in the APS frame; however, **it is unclear whether private companies should be included in the APS frame or whether the agencies or courts that assign probationers to supervision by private companies should be designated as data providers.**
- Through a review of the Florida court structure and the RY2015 APS frame, RTI identified 40 of the 67 total counties that appeared not to be represented on the APS frame. Telephone outreach was conducted in all 40 counties;¹⁴ the efforts and recommendations that follow are restricted to 38 counties.
- After Phase 2 frame enhancement outreach was completed,
 - 30 of 38 counties responded fully; and

¹⁴ Between the time that the 40 counties were identified for outreach and the time that phone outreach began, the APS frame was updated through scheduled ASPP data collection. Two counties (i.e., Brevard and Gulf) were reflected in the frame as supervising probationers via the county probation office. Both were contacted during phone outreach, although this proved unnecessary.

- we obtained additional information for the other 8 counties via background research, updated APS frame notes, other data providers, and gatekeepers to make educated assumptions.
- Counties fell into 3 main categories with 7 subcategories, as follows:
 - In 4 counties, the misdemeanor probation population was supervised by a government office (i.e., county probation office or sheriff's office), as follows:
 - 1 county previously used a private company for supervision but then reported using a county probation office during frame enhancement data collection.
 - 3 counties did not respond fully to telephone outreach (no contact information or count was available), but background research, updated APS frame notes, a gatekeeper, or a combination of these indicate that the county used a government office to supervise probationers.
 - In 33 counties, the misdemeanor probation population is supervised by a single private company, as follows:
 - 23 used a private company that was on the APS frame.
 - 5 used a company that was not on the APS frame.
 - 5 did not respond fully to telephone outreach (no contact information is available), but background research, updated APS frame notes, other data providers, a gatekeeper, or a combination of these indicated that the county used a private company to supervise probationers. We believe that 3 of the 5 used a private company that is on the APS frame, and 2 used a private company that is not.
 - In 1 county, the misdemeanor probation population was supervised by 2 private companies, of which 1 is on the APS frame and 1 is not.
- Among the counties that provided population counts, approximately 350 adults who were identified as being supervised were not reflected on the APS frame.
- Our summary and recommendations are as follows:
 - For the counties that used a government office (e.g., county probation department, sheriff's office) to supervise their misdemeanor probation population, RTI recommends adding 1 affirmed government office and following up with 3 nonaffirmed government offices.
 - For the counties that reported using private companies to supervise their probationers, RTI recommends
 - confirming which private companies listed in the APS frame report on their behalf and requesting data annually; and

- adding affirmed private companies to the APS frame and requesting data annually.

Georgia

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was unknown.
- The RY2015 APS coverage questions listed
 - 6 supervising agencies, of which 5 were affirmed by the data provider and 1 was removed from the list for outreach because it did not supervise; and
 - 2 court types (i.e., circuit court and family court; and district court), both of which were affirmed by the data provider.
- The state is considered to have full coverage.

Hawaii

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 20,516.
- The RY2015 APS coverage questions listed
 - 114 supervising agencies, of which 112 were affirmed by the data provider and 2 were removed from the list for outreach because they did not supervise; and
 - 4 court types (i.e., circuit, city, superior, and town), all of which were affirmed by the data provider.
- The state is considered to have full coverage.

Idaho

- Probation is decentralized, with 1 multiple data provider and 1 single data provider, both of which were asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 32,409.
- The RY2015 APS coverage questions listed
 - 47 supervising agencies, of which 46 were affirmed by the data providers and 1 was removed from the list for outreach because it did not supervise; and
 - 2 court types (i.e., district and magistrate division), both of which were affirmed by the data providers.
- The state is considered to have full coverage.

Illinois

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 113,989.
- The RY2015 APS coverage questions listed
 - 102 supervising agencies, of which 96 were affirmed by the data provider, 6 were removed from the list for outreach (5 were duplicates and 1 did not supervise); and
 - 4 court types (i.e., circuit, city, superior and town), all of which were affirmed by the data provider.
- The state is considered to have full coverage.

Indiana

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 108,302.
- The RY2015 APS coverage questions listed
 - 114 supervising agencies, of which 112 were affirmed by the data provider and 2 were removed from the list for outreach because they did not supervise; and
 - 4 court types (i.e., circuit, city, superior, and town), all of which were affirmed by the data provider.
- The state is considered to have full coverage.

Iowa

- Probation is centralized, with one data provider asked to participate in the RY2017 APS.
- The adult probation population as of December 31, 2016, was 29,254.
- The RY2015 APS coverage questions listed
 - 10 supervising agencies, of which 9 were affirmed by the data provider and 1 was removed from the list for outreach because it was a private company; and
 - 1 court type (i.e., district), which was affirmed by the data provider.
- Contact with the DOC identified 1 county that contracted with the private supervising company that was removed from outreach. Follow-up with that county suggested that the county would have to rely on the private company to provide data for the APS.
- Contact with the DOC also indicated that, although it reports for the district courts, there is “some bench probation given by the courts—basically the court supervises, or no one

supervises. The offenders receive deferred probation and are not referred to the Department of Correctional Services but kept with the court. This happens for sure in the 7th district and the rationale is to avoid the supervision fee, also a plea bargain tool.” Contact with several of the district court administrators resulted in a recommendation to collect APS data from the DOC field offices (also referred to as the Department of Correctional Services). There appears to be one field office in each of the 8 judicial districts.

- In Phase 2 of the frame enhancement data collection, we found the following:
 - No further outreach to the DOC field offices regarding this population was warranted, as BJS decided to exclude informal or unsupervised probation in the population counts collected via the APS.
 - The Center for Creative Justice (the Center) is a nonprofit agency; no funds are exchanged between any county and the Center for its supervision services. The Center supervises a majority of adult probationers in Story County, as well as smaller numbers in Boone County (fewer than 10 annually) and Clay County (fewer than 3 annually). The Center supervised approximately 684 as of December 31, 2018, as follows:
 - Approximately 50 were felons; the remaining 634 were misdemeanants.
 - Approximately 671 were from Story County.

Kansas

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 16,654.
- The RY2015 APS coverage questions listed
 - 70 supervising agencies, of which 32 were affirmed by the data provider and 38 were municipal courts and community corrections centers; and
 - 2 court types (i.e., district and municipal), of which only 1 (i.e., district) was affirmed by the data provider.
- Discussions with the data provider and staff from the Kansas DOC, Community and Field Services Division, indicated that municipal courts do supervise but that community corrections centers (with few exceptions) do not. Outreach to 5 municipal courts also suggested that this court type rarely supervises. However, further examination of the RY2015 data indicated that 7 municipal courts did supervise.
- In Phase 1 of the frame enhancement data collection, 5 of the 7 courts (71%) responded. Data reported by the courts indicate that
 - 3 supervised adult probationers;
 - 2 reported not supervising probationers;
 - none that did not supervise reported that they might in the next year; and

- 1 that assigned but did not supervise indicated that the probationers are “unsupervised.”
- Of the 3 that supervised probationers as of December 31, 2017,
 - none reported supervising felons; and
 - 2 reported supervising 1,000 misdemeanants; counts ranged from 100 to 1,200, and the average was 500.
- The total supervised population from the 3 courts was reported as 2,200 as of December 31, 2017, which is 1,200 lower than the number of reported misdemeanants.

Kentucky

- Probation is decentralized, with 2 data providers asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 48,457.
- The RY2015 APS coverage questions listed
 - 4 supervising agencies, all of which were affirmed by the data providers; and
 - 3 court types (i.e., circuit, district, and family), all of which were affirmed by the data providers.
- The state is considered to have full coverage.

Louisiana

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 40,174.
- The RY2015 APS coverage questions listed
 - 6 supervising agencies, of which 11 were affirmed by the data provider and 5 were district and city courts; and
 - 5 court types (i.e., district, city and parish, family, justice of the peace, and mayor’s), of which 2 (i.e., district and city and parish) were affirmed by the data provider.
- The central data provider indicated that misdemeanants are supervised by district and city courts. The district court is Louisiana’s trial court of general jurisdiction. There are 40 judicial districts in Louisiana, containing 1 to 3 parishes each, and 1 district comprising Orleans Parish. One district court is domiciled at the parish seat of each of the 63 parishes outside of Orleans Parish (see Louisiana court structure here: <https://www.lsba.org/Public/CourtStructure.aspx>). Therefore, 64 district and parish courts and 48 city courts were defined as eligible for outreach.
- In Phase 1 of the frame enhancement data collection, 88 of the 112 courts/agencies (79%) responded. Data reported by the courts/agencies indicate that

- 29 supervised adult probationers;
 - 59 did not supervise probationers;
 - none reported supervising felons as of December 31, 2017;
 - none that did not supervise reported that they might in the next year; and
 - 11 that assigned but did not supervise identified a mix of government agencies and private companies with responsibility for supervising those assigned; some also indicated that the probationers are “unsupervised.”
- Of the 29 courts/agencies that supervised probationers, 24 reported supervising 6,046 misdemeanants as of December 31, 2017; counts ranged from 4 to 1,908, and the average was 274.
 - Of the 24 courts/agencies that reported supervising misdemeanants, 22 reported supervising fewer than 520 misdemeanants; the other 2 reported supervising 1,000 or more misdemeanants.
 - The total reported supervised population as of December 31, 2017 was 5,977, which is 589 lower than the number of reported misdemeanants.

Maine

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 6,817.
- The RY2015 APS coverage questions listed
 - 1 supervising agency, which was affirmed by the data provider; and
 - 2 court types (i.e., district and superior), neither of which were affirmed by the data provider, which selected “Don’t know” for both court types.
- The state is considered to have full coverage.

Maryland

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 72,529.
- The RY2015 APS coverage questions listed
 - 2 supervising agencies, of which 1 was affirmed by the data provider and 1 was removed from the list for outreach because it did not supervise; and
 - 2 court types (i.e., circuit and district), both of which were affirmed by the data provider.

- The state is considered to have full coverage.

Massachusetts

- Probation is centralized, with one data provider asked to participate in the RY2017 APS.
- The adult probation population as of December 31, 2016, was 61,789.
- The RY2015 APS coverage questions listed
 - 83 supervising agencies, all of which were affirmed by the data provider; and
 - 5 court types (i.e., housing, probate and family, superior, district, and Boston Municipal Court), of which 3 (i.e., superior, district, and Boston Municipal Court) were selected by the data provider.
- Contact with informants from housing courts suggested that this court type does not assign to, and has no responsibility for, probation.
- Contact with informants from probate and family courts confirmed that people assigned to probation fall under the auspices of the Office of the Commissioner of Probation. In addition, an informant stated that, as these are civil courts, there is no criminal component to probation assigned by them. It is unclear whether the APS should or can collect data on cases that have no criminal component and are not monitored by the agency.
- In Phase 2 of the frame enhancement data collection, probate and family courts have limited supervision authority. Specifically, the court probation officers
 - investigate custody issues,
 - resolve disputes regarding visitation and enforce court orders regarding child support,
 - conduct drug testing, and
 - supervise job search activities.
- Although there may be noncriminal cases from probate and family courts, BJS has determined that this population will not be defined as eligible for APS data. Therefore, the state is considered to have full coverage.

Michigan

- Probation is decentralized, with multiple and single data providers. In all, 130 data providers were asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was unknown.
- The RY2015 APS coverage questions listed
 - 142 supervising agencies, of which 133 were affirmed by data providers and 9 were removed, as follows:

- 4 were duplicates;
 - 2 no longer exist;
 - 2 were combined departments that were later split into separate supervising agencies; and
 - 1 was a specialty division (i.e., domestic violence) whose probation cases had been distributed to nonspecialty courts in the same division. All nonspecialty courts had been affirmed by the data providers.
- 1 court type (i.e., district), which was not affirmed by the data provider, which selected “Don’t know” for district court).
- The state is considered to have full coverage.

Minnesota

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 96,852.
- The RY2015 APS coverage questions listed
 - 50 supervising agencies, of which 38 were affirmed by the data provider and 12 were removed from the list for outreach because they were field offices of a larger agency that was already on the RY2015 frame; and
 - 1 court type (i.e., district), which was not affirmed by the data provider (i.e., selected “Don’t know” for district court). Through later frame enhancement research efforts, we learned that probation in Minnesota is assigned through district courts (e.g., we considered the court type to have been affirmed by the data provider).
- The state is considered to have full coverage.

Mississippi

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 29,067.
- The RY2015 APS coverage questions listed
 - 74 supervising agencies and courts, of which 67 were affirmed by the data provider and 7 were removed from the list for outreach (1 was a duplicate and 6 were private companies); and
 - 5 court types (i.e., circuit, chancery, county, justice, and municipal), of which only 1 (i.e., circuit) was affirmed by the data provider.

- The DOC confirmed that chancery, county, justice, and municipal courts have responsibility for misdemeanor supervision. Additional outreach determined that chancery courts do not assign individuals to probation and that county courts assign only juveniles to probation. Based on this information, 240 municipal courts and 82 justice courts were defined as eligible for outreach.
- During Phase 1 of the frame enhancement data collection, 260 of the 322 courts (81%) responded. Data reported by the courts indicate that
 - 31 supervised adult probationers;
 - 228 did not supervise probationers;¹⁵
 - 3 did not supervise but reported that they might in the next year; and
 - 72 that assigned but did not supervise identified a mix of government agencies and private companies with responsibility for supervising probationers; some also indicated that the probationers are “unsupervised.”
- Of the 31 courts that supervised probationers as of December 31, 2017,
 - 3 reported supervising 120 felons; counts ranged from 20 to 50, and the average was 40; and
 - 11 reported supervising 1,267 misdemeanants; counts ranged from 1 to 478, and the average was 115.
- The total reported supervised population was 1,335 on December 31, 2017, which is 52 lower than the sum of reported misdemeanants and felons.

Missouri

- Probation is decentralized, with 1 multiple data provider and 1 single data provider, both of which were asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 43,799.
- The RY2015 APS coverage questions listed
 - 64 supervising agencies and courts, all of which were affirmed by the data providers; and
 - 2 court types (i.e., circuit and municipal), both of which were affirmed by the data providers.
- The state is considered to have full coverage.

¹⁵ This includes one case in which the data provider responded “Don’t know” when asked whether their agency supervised probationers.

Montana

- Probation is decentralized, with 4 data providers asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 9,132.
- The RY2015 APS coverage questions listed
 - 102 supervising agencies and courts, of which 10 were affirmed by the data providers, 3 were removed from the list for outreach (1 was a duplicate and 2 were private companies), and 89 were city or county agencies and courts; and
 - 4 court types (i.e., district, city, justice, and municipal), all of which were affirmed by the data providers.
- During post–data collection review, the Montana DOC confirmed that it supervises most felony convictions from district courts, whereas other agencies and courts supervise misdemeanor convictions. Contact with 4 city and municipal courts (i.e., Cascade City Court, Choteau City Court, Plentywood Justice Court, and Polson Justice Court) led us to the conclusion that they are not responsible for probation supervision. Therefore, only 1 unaffirmed county agency and 75 justice courts were defined as eligible for outreach.
- During Phase 1 of the frame enhancement data collection, 61 of the 76 agencies and courts (80%) responded. Data reported by the agencies and courts indicate that
 - 9 supervised adult probationers;
 - 52 did not supervise probationers; and
 - 1 did not supervise but reported that it might in the next year.
- Of the 9 courts that supervised probationers,¹⁶ 8 reported supervising 3,526 misdemeanants; counts ranged from 2 to 2,000, and the average was 441. Two of the 9 courts were outliers and reported supervising 1,200 and 2,000 misdemeanants, respectively.
 - The total supervised population from the 9 courts as of December 31, 2017, was 1,506, which is 2,020 lower than the number of reported misdemeanants.

Nebraska

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 13,489.
- The RY2015 APS coverage questions listed

¹⁶ Blaine County Justice Court reported a total supervised population of 30 and a misdemeanor population of 2,000. According to its website (<https://blainecounty-mt.gov/justice-court/>), the court handles misdemeanors, traffic infractions, small claims up to \$7,000, and civil cases up to \$12,000; therefore, it is unlikely that the court supervises felons.

- 13 supervising agencies and courts, all of which were affirmed by the data provider; and
- 2 court types (i.e., county and district), both of which were affirmed by the data provider.
- The state is considered to have full coverage.

Nevada

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 13,724.
- The RY2015 APS coverage questions listed
 - 8 supervising agencies and courts, of which 1 was affirmed by the data provider and 7 were municipal courts and alternative sentencing departments; and
 - 3 court types (i.e., district, justice, and municipal), of which only 1 (i.e., district) was affirmed by the data provider.
- During post–data collection review, the central data provider confirmed that the Nevada Department of Public Safety supervises felons and gross misdemeanants, and 5 alternative sentencing agencies and 2 municipal courts have responsibility for misdemeanants. Therefore, 7 agencies and courts were defined as eligible for outreach.
- In Phase 1 of the frame enhancement data collection, 6 of the 7 agencies and courts (86%) responded. Data reported by the agencies and courts indicate that
 - 5 supervised adult probationers;
 - 1 did not supervise probationers; and
 - 1 did not supervise and reported that it would not in the next year.
- Of the 5 agencies and courts that supervised, as of December 31, 2017,
 - 3 reported supervising 1,416 felons; count ranged from 13 to 1,383, and the average was 472. One agency was an outlier, reporting 1,383 felons; the other 2 courts reported 13 and 20 felons, respectively; and
 - 5 reported supervising 3,534 misdemeanants; counts ranged from 20 to 1,548, and the average was 707. Two courts were outliers, reporting 20 and 261 misdemeanants, respectively. The other 3 courts reported between 803 and 1,548 misdemeanants.
- The total reported supervised population as of December 31, 2017, was 4,950.

New Hampshire

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 3,939.

- The RY2015 APS coverage questions listed
 - 1 supervising agency, which was affirmed by the data provider; and
 - 4 court types (i.e., circuit court drug division, drug court, family court division, and superior), of which 3 (i.e., circuit court drug division, drug court, and superior) were affirmed by the data provider and 1 (i.e., family court division) was determined after the collection not to assign adults to probation.
- The state is considered to have full coverage.

New Jersey

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 104,589.
- The RY2015 APS coverage questions listed
 - 22 supervising agencies and courts, all of which were affirmed by the data provider; and
 - 2 court types (i.e., municipal and superior), both of which were affirmed by the data provider.
- The state is considered to have full coverage.

New Mexico

- Probation is decentralized, with 1 multiple data provider and 1 single data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 12,714.
- The RY2015 APS coverage questions listed
 - 117 supervising agencies and courts, of which 2 were affirmed by the data providers; 12 were removed from the list for outreach in 2017; (1 was a duplicate and 11 were in favor of subunits that reported to the removed agency), and 103 were district, magistrate, and municipal courts; and
 - 4 court types (i.e., district, magistrate, county, and municipal), all of which were affirmed by the data providers.
- During post–data collection review, the New Mexico Corrections Department (NMCD) data provider confirmed that it supervised all probationers in the state in the RY2017 APS (approximately 9,000 felons and 750 misdemeanants). However, Bernalillo County Metropolitan Court, the other jurisdiction in the APS frame, reported supervising more than 2,000 misdemeanants. These numbers suggest that additional misdemeanants that may not have been included in the NMCD reports. Contact with several municipal courts confirmed that they do not have responsibility for probation. Therefore, only 51 magistrate courts were determined eligible for outreach.

- In Phase 1 of the frame enhancement data collection, 42 of the 51 courts (83%) responded. Data reported by the courts indicate that
 - 13 supervised adult probationers;
 - 29 did not supervise probationers;
 - 2 did not supervise but reported that they might in the next year; and
 - 18 that assigned but did not supervise identified a mix of government agencies and private companies with responsibility for supervising.
- Of the 13 courts that supervised probationers, as of December 31, 2017,
 - 1 supervised 10 felons; and
 - 5 supervised 5,405 misdemeanants; counts ranged from 30 to 5,000, and the average was 1,075. San Miguel County Magistrate Court reported supervising 5,000 misdemeanants. The other courts reported supervising between 30 and 250 misdemeanants.
- The total reported supervised population as of December 31, 2017, was 5,372, which is 43 lower than the sum of reported misdemeanants and felons.

New York

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 97,928.
- The RY2015 APS coverage questions listed
 - 64 supervising agencies and courts, of which 62 were affirmed by the data provider; and 2 were removed from the list for outreach because they did not supervise; and
 - 7 court types (i.e., city, county, district, family, supreme, town and village justice court, and the Criminal Court of the City of New York), all of which were affirmed by the data provider.
- The state is considered to have full coverage.

North Carolina

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 82,466.

- The RY2015 APS coverage questions listed
 - 2 supervising agencies and courts, of which 1 was affirmed by the data provider and 1 was removed from the list for outreach because it was a duplicate; and
 - 2 court types (i.e., district and superior), both of which were affirmed by the data provider.
- The state is considered to have full coverage.

North Dakota

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 6,341.
- The RY2015 APS coverage questions listed
 - 1 supervising agency, which was affirmed by the data provider; and
 - 2 court types (i.e., district and municipal), of which 1 (i.e., district) was affirmed by the data provider and 1 (i.e., municipal) was determined after the collection not to assign adults to probation.
- The state is considered to have full coverage.

Ohio

- Probation is decentralized, with multiple and single data providers. In all, 181 data providers asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 236,754.
- The RY2015 frame enhancement questions listed
 - 235 supervising agencies and courts, of which 226 were affirmed by the data providers (143 by 1 respondent and 83 by more than 1 respondent); 3 were removed from the list for outreach in 2017 because they were duplicates or did not exist; and 6 were courts; and
 - 4 court types (i.e., common pleas, municipal, county, and mayor's), all of which were affirmed by the data providers.
- Because the frame included some of all 4 court types, all of the courts were defined as eligible for outreach. Based on a review of the website of the Supreme Court of Ohio and the Ohio Judicial System (<https://www.supremecourt.ohio.gov/JudSystem/trialCourts/>), the following 38 courts were identified as missing: courts of common pleas (4), county courts (10), municipal courts (21), family court (1), and mayor's courts (2).

- In Phase 1 of the frame enhancement data collection, 34 of the 38 courts (89%) responded. Data reported by the courts indicate that
 - 27 courts supervised adult probationers;
 - 7 courts did not supervise probationers;
 - 2 did not supervise but reported that they might in the next year; and
 - 5 that assigned but did not supervise identified a mix of government agencies and private companies with responsibility for supervising.
- Of the 27 courts that supervised probationers, as of December 31, 2017,
 - 6 reported supervising 5,946 felons; counts ranged from 121 to 4,808, and the average was 991. Most reported supervising fewer than 200 felons; and
 - 22 reported supervising 28,102 misdemeanants; counts ranged from 2 to 13,048, and the average was 593.
- The total reported supervised population as of on December 31, 2017 was 34,414, which is 366 higher than the sum of reported misdemeanants and felons.

Oklahoma

- Probation is decentralized, with multiple and single data providers. In all, 3 data providers were asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 33,562.
- The RY2016 APS coverage questions listed
 - 47 supervising agencies and courts, of which 3 were affirmed by the data providers; 16 were removed from the list for outreach in 2017 (2 had no role in community corrections, 1 was a federal probation office, 12 were private companies, and 1 was a duplicate); 1 was a county sheriff's office; and 27 were district attorney supervision districts; and
 - 3 court types (i.e., district, municipal courts not of record, and municipal criminal court of record). Two (i.e., district and municipal criminal courts of record) were affirmed by the data providers; and 1 (i.e., municipal courts not of record) was determined after the collection not to assign adults to active probation.
- After discussions with informants and the project team, we decided that the best approach to determine frame issues was to collect information from the DOC and each of the 77 county courts.
- In Phase 1 of the frame enhancement data collection, 52 of the 77 courts (68%) responded.
- Data reported by the courts indicate that
 - 30 supervised adult probationers;

- 22 did not supervise probationers;
- 2 did not supervise but reported that they might in the next year; and
- 14 that assigned but did not supervise identified a mix of government agencies and private companies with responsibility for supervising; some also indicated that the probationers are “unsupervised.”
- Of the 30 courts that supervised probationers, as of December 31, 2017,
 - 11 reported supervising 2,167 felons; counts ranged from 27 to 513, and the average was 197; and
 - 15 reported supervising 3,878 misdemeanants; counts ranged from 20 to 100, and the average was 259.
- The total reported supervised population as of December 31, 2017, was 5,748, which is 297 lower than the sum of reported misdemeanants and felons.

Oregon

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The adult probation population as of December 31, 2016, was 36,658.
- The RY2015 APS coverage questions listed
 - 33 supervising agencies and courts, all of which were affirmed by the data provider; and
 - 3 court types (i.e., circuit, municipal, and justice); the data provider affirmed 1 (i.e., circuit), answered “Don’t know” for 1 (i.e., municipal), and left 1 (i.e., justice) unanswered.
- Contact with informants from the DOC, county court, and sheriff’s office suggest that justice courts and municipal courts did not have any responsibility for probation.
- Additional contact with the DOC suggests that counties can operate supervising agencies that are independent of the state. Depending on the county budget, counties may return that supervision task to the state; 2 counties had done so at the time of outreach.
- Because supervision is typically assigned by circuit courts and the DOC data provider included probationers assigned by that court type in the data reported on the APS, direct outreach to counties was deferred. However, because supervision responsibilities can shift between the state and the counties, the APS is vulnerable to undercounting the probation population without determining responsible parties at the time of the collection.
- In Phase 2 of the frame enhancement data collection, we found the following:
 - Contact with the DOC confirmed that some counties can operate supervising agencies that are independent of the state; however, regardless of whether a county does so, any

adult on active supervision is included in a statewide database that the DOC uses to respond to the APS annually.

- RTI and BJS determined that more information was needed on the role of justice courts in the assignment and supervision of adult probationers and therefore planned telephone outreach to up to 6 justice courts to learn about their role in probation in the state.
- RTI identified 31 justice courts and randomly selected 6 for phone follow-up, as follows:
 - 2 justice courts reported that they did not assign adults to any type of probation (including inactive) and did not supervise adults on any type of probation.
 - 4 justice courts reported assigning adults to misdemeanor probation, as follows:
 - 3 stated that they supervised only inactive probationers and reported that active probation was supervised by the county probation office.
 - The remaining court stated that it did not supervise adults on any type of probation.
- The state is considered to have full coverage.

Pennsylvania

- Probation is decentralized, with 2 data providers asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 180,492.
- The RY2015 APS coverage questions listed
 - 65 supervising agencies and courts, all of which were affirmed by the data providers; and
 - 4 court types (i.e., court of common pleas, magisterial district judge, the Philadelphia Municipal Court, and the Philadelphia Traffic court), all of which were affirmed by the data providers.
- The state is considered to have full coverage.

Rhode Island

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 22,781.
- The RY2015 APS coverage questions listed
 - 2 supervising agencies, of which 1 was affirmed by the data provider and 1 was removed from the list for outreach because it was a duplicate; and.
 - 5 court types (i.e., circuit, family, municipal, superior, and traffic tribunal), all of which were affirmed by the data provider.

- The state is considered to have full coverage.

South Carolina

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 32,634.
- The RY2015 APS coverage questions listed
 - 1 supervising agency, which was affirmed by the data provider; and
 - 4 court types (i.e., circuit, family, magistrate and municipal), of which 2 (i.e., circuit and magistrate) were affirmed by the data provider and 2 (i.e., family and municipal) were determined after the collection not to assign adults to probation.
- The state is considered to have full coverage.

South Dakota

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 6,610.
- The RY2015 APS coverage questions listed
 - 1 supervising agency, which was affirmed by the data provider; and
 - 2 court types (i.e., circuit and magistrate), both of which were affirmed by the data provider.
- The state is considered to have full coverage.

Tennessee

- Probation is decentralized, with multiple and single data providers. In all, 3 data providers were asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 62,609.
- The RY2015 APS coverage questions listed
 - 57 supervising agencies and courts, of which 3 were affirmed by the data providers, 35 were removed from the list for outreach because they were private companies, and 19 were government agencies; and
 - 5 court types (i.e., circuit, criminal, general sessions, chancery, and municipal), of which 3 (i.e., circuit, criminal, and general sessions) were affirmed by data providers.

- Because the frame had included 2 general sessions courts, the other 93 general sessions courts were defined as eligible for outreach. Together with the 19 unaffirmed government agencies, 112 agencies and courts were included in the frame enhancement data collection.
- In Phase 1 of the frame enhancement data collection, 83 of the 112 agencies and courts (74%) responded. Data reported by the agencies and courts indicate that
 - 31 supervised adult probationers;
 - 52 did not supervise probationers;
 - none that did not supervise reported that they might in the next year; and
 - 41 that assigned but did not supervise identified a mix of government agencies and private companies with responsibility for supervising; some also indicated that the probationers are “unsupervised.”
- Of the 31 agencies and courts that supervised probationers, as of December 31, 2017,
 - 8 reported supervising 2,967 felons; counts ranged from 10 to 1,200, and the average was 371. One data provider reporting 1,200 felons was an outlier; and
 - 19 reported supervising 18,938 misdemeanants; counts ranged from 200 to 4,231, and the average was 997.
- The total reported supervised population as of December 31, 2017, was 19,261 which is 2,644 lower than the sum of reported misdemeanants and felons.

Texas

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 374,285.
- The RY2015 APS coverage questions listed
 - 125 supervising agencies and courts, all of which were affirmed by the data provider; and
 - 6 court types (i.e., district, criminal district, constitutional county, county court at law, municipal, and justice), of which 4 (i.e., district, criminal district, constitutional county, and county court at law) were affirmed by the data provider.
- Texas has probation departments in every county, but the Texas Legislature created municipal courts for each incorporated city; larger cities are served by multiple courts (see Texas court overview at <http://www.txcourts.gov/media/994672/Court-Overview.pdf>). During the RY2015 coverage question overview and post-data collection review, it was recommended that we contact 804 justice courts and 938 municipal courts.
- BJS recommended contact with several courts to gain a better understanding of community supervision in the state. Calls began with municipal courts from the 2 largest cities. After outreach to Houston Municipal Court, it was determined that the county (Harris County)

- handles probation, but not all municipal courts are the same, so it was determined that all justice and municipal courts were eligible for outreach.
- The frame enhancement data collection protocol was modified for Texas because of the large number of courts. Courts received the standard postcard that asked whether they assign/supervise probationers. Phone follow-up was done with courts that did not respond. Courts that reported responsibility for supervising were contacted again to collect information on the characteristics of the supervised population.
 - In Phase 1 of the frame enhancement data collection, 1,308 of the 1,742 courts responded (75%). Data reported by the courts indicate that
 - 40 supervised adult probationers;
 - 1,268 did not supervise probationers;
 - 3 did not supervise but reported that they might in the next year; and
 - 60 that assigned but did not supervise identified a mix of government agencies and private companies with responsibility for supervising those assigned; the majority indicated that the probationers are “unsupervised.”
 - Of the 40 courts that supervised probationers, as of December 31, 2017,
 - 3 reported supervising 57 felons; counts ranged from 2 to 50 and the average was 19; and
 - 14 reported supervising 377 misdemeanants; counts ranged from 1 to 197, and the average was 27. Bandera County Justice Court–Precinct 4 and Clarksville City Municipal Court were outliers, reporting 197 and 100 misdemeanants, respectively.
 - The total reported supervised population as of December 31, 2017, was 563, which is 129 higher than the sum of reported misdemeanants and felons.

Utah

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 12,229.
- The RY2015 APS coverage questions listed
 - 13 supervising agencies and courts, of which 1 was affirmed by the data provider and 1 was removed from the list for outreach in 2017 because it was a private company; and
 - 2 court types (i.e., district and justice), of which 1 (i.e., district) was affirmed by the data provider.
- Misdemeanant probation is handled by private providers. The Private Probation Provider Licensing Board provided a list of 87 active private providers, and these were defined as eligible for outreach.

- In Phase 1 of the frame enhancement data collection, 10 of the 87 companies (11%) responded. Data reported by the companies indicate that
 - 10 supervised adult probationers.
- Of the 10 that supervised probationers, as of December 31, 2017,
 - 5 reported supervising 8,198 felons; counts ranged from 2 to 8,132, and the average was 1,640. Eighty percent of the respondents reported supervising fewer than 60 felons. One respondent reported supervising 8,132 felons; and
 - 9 reported supervising 5,535 misdemeanants; counts ranged from 1 to 4,485, and the average was 615. Nearly 90% of the respondents reported supervising 300 or fewer misdemeanants. One respondent reported supervising 4,385 misdemeanants.
- The total reported supervised population as of December 31, 2017, was 14,276, which is 543 higher than the sum of reported misdemeanants and felons.

Vermont

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The adult probation population as of December 31, 2016, was 4,904.
- The RY2015 APS coverage questions listed
 - 1 supervising agency, which was affirmed by the data provider; and
 - 4 court types (i.e., district, superior, family, and the Vermont Judicial Bureau), of which 1 (i.e., district court) was affirmed by the data provider.
- During post–data collection review, the data provider shared the following additional information on court types: “The categories listed do not line up neatly with the organization of the court. The trial court is known as the Vermont Superior Court. The superior court has 5 divisions: civil, criminal, environmental, family, and probate. The superior court also has a judicial bureau, which has statewide jurisdiction. The DOC supervises probationers from the criminal division of the superior court.”
- Efforts were made to obtain clarification regarding whether municipal or other court types assign adults to probation or if adults are placed on probation by any division of the superior court other than the criminal division. These efforts were unsuccessful.
- In Phase 2 of the frame enhancement data collection, the following information was discovered:
 - The civil, environmental, and probate divisions of superior court play no role in adult supervision in Vermont.
 - The family division occasionally assigns adults to probation; these adults were supervised by the DOC and included in the data provider’s APS responses.

- The judicial bureau has statewide jurisdiction over civil violations and no jurisdiction over criminal cases. It plays no role in adult probation.
- The state is considered to have complete coverage for the APS.

Virginia

- Probation is centralized, with 1 data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 60,821.
- The RY2015 APS coverage questions listed
 - 40 supervising agencies and courts, of which 3 were affirmed by the data provider and 37 were on the Department of Criminal Justice Services Community-Based Probation and Pretrial Services list; and
 - 2 court types (i.e., circuit and district), of which 1 (i.e., circuit) was affirmed by the data provider.
- During post–data collection review, it was determined that the remaining 37 nonaffirmed supervising agencies could be found on the Department of Criminal Justice Services Community-Based Probation and Pretrial Services list (<https://www.dcjs.virginia.gov/sites/dcjs.virginia.gov/files/publications/corrections/ccca-psa-program-directory.pdf>). During early outreach, the central data provider indicated that general district courts adjudicate misdemeanor cases. To further investigate these courts, one agency on the Criminal Justice Services list and 2 general district courts were contacted. The agency, Blue Ridge Court Services, indicated that it supervises probationers; both general district courts confirmed that they assign people to probation, although only one supervises probationers. As a result of this initial outreach, 126 general district courts and 37 Department of Criminal Justice Services agencies were defined as eligible for outreach.
- In Phase 1 of the frame enhancement data collection, 128 of the 163 agencies and courts responded (79%). Data reported by the agencies and courts indicate that
 - 39 supervised adult probationers,
 - 89 reported not supervising probationers,
 - 1 did not supervise but reported that it might in the next year, and
 - 66 that assigned but did not supervise identified a mix of government agencies and private companies with responsibility for supervising those assigned; some also indicated that the probationers are “unsupervised.”
- Of the 39 that supervised probationers as of December 31, 2017,
 - 24 reported supervising 2,426 felons; counts ranged from 2 to 620, and the average was 101; and

- 30 reported supervising 21,392 misdemeanants counts ranged from 48 to 5,322, and the average was 713. Chesterfield/Colonial Heights Community Corrections Services is an outlier, which reported supervising 5,322 misdemeanants.
- The total reported supervised population was 31,618 on December 31, 2017, which is 7,800 higher than the sum of reported misdemeanants and felons.

Washington

- Probation is decentralized, with multiple and single data providers. In all, 32 data providers were asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 89,317.
- The RY2015 APS coverage questions listed
 - 135 supervising agencies and courts, of which 91 were affirmed by the data providers; 11 were removed from the list for outreach because they did not supervise, were private companies, or no longer operated; and 33 were district or municipal courts and county probation agencies; and
 - 3 court types (i.e., district, municipal, and superior). Data providers affirmed district court, answered “Don’t know” for municipal court, and left superior court unanswered.
- Post-data collection outreach determined that the structure of probation in Washington is quite complex (see https://www.courts.wa.gov/court_dir/courtdirectory.pdf) and will require extensive research to identify and disentangle the potential data providers. Examples are as follows:
 - Each county has a superior court. All probationers assigned to probation from these courts are the responsibility of the DOC, which is on the APS frame.
 - In each county, district courts can be a single entity or split into divisions. Municipal courts can serve a 1 or more cities or municipalities. Four counties operate probation offices and departments (see King County).
 - Using King County as an example, the APS data provider reports probation information for the unincorporated portion of the county and for cities that have contracted with the county district court. However, several cities in the county have their own municipal courts and probation offices. The 2018 directory (https://www.courts.wa.gov/court_dir/courtdirectory.pdf) lists 9 probation offices and departments. The data provider includes counts from 5 of these, as well as from 1 office that is not listed. One of the offices on the list closed, and the population is now supervised by a city in the county that operates its own court and probation office. Another 3 are operated by the cities, as is a fourth that is not listed. The data provider does not include populations from these 4 cities.
- BJS determined that resolving these complexities was beyond the scope of the frame enhancement data collection in Phase 1.

- Through a review of the Washington court structure and the APS frame, RTI identified 139 courts that appeared to be active and were not on the APS frame. Using a multistage contacting strategy, in Phase 2 RTI sent a postage-paid postcard to the courts asking whether they were supervising adult probationers. Telephone follow-up was conducted with nonresponders, as well as with those that returned the postcard and indicated that they supervise adults on probation, to obtain supervised population counts.
- After the Phase 2 frame enhancement outreach was completed, we found that courts fell into 3 categories, described as follows:
 - In 47 courts, supervision of adults on probation was confirmed.
 - In 25 counties, estimated population counts were provided.
 - In 22 counties, population counts were not obtained because the court was unable to estimate or because they could not be reached during follow-up.
- 78 courts confirmed that they do not supervise any adults on probation.
- In 14 courts, supervision status was unknown. These courts did not return the postcard and were unreachable at nonresponse follow-up.
- Among the courts that provided population counts, approximately 4,900 adults were identified as being supervised.
- Of the 139 courts in Washington that were contacted as part of outreach, 47 reported supervising adults, 78 reported not supervising adults, and 14 had an unknown supervision status.

West Virginia

- Probation is centralized, with one data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 6,523.
- The RY2015 APS coverage questions listed
 - 33 supervising agencies and courts, of which 32 were affirmed by the data provider and one was removed from the list for outreach because it did not supervise; and
 - 4 court types (i.e., circuit, family, magistrate, and municipal), of which 1 (i.e., circuit) was affirmed by the data provider and 3 (i.e., family, magistrate, and municipal) were determined after the collection not to assign adults to probation.
- The state is considered to have full coverage.

Wisconsin

- Probation is centralized, with one data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 44,489.

- The RY2015 APS coverage questions listed
 - 1 supervising agency, which was affirmed by the data provider; and
 - 2 court types (i.e., circuit and municipal), of which 1 (i.e., circuit) was affirmed by the data provider. The data provider selected “Don’t know” for the other court type (i.e., municipal).
- The state is considered to have full coverage.

Wyoming

- Probation is centralized, with one data provider asked to participate in the RY2017 APS.
- The estimated adult probation population as of December 31, 2016, was 4,666.
- The RY2015 APS coverage questions listed
 - 4 supervising agencies, all of which were affirmed by the data provider; and
 - 3 court types (i.e., district, circuit, and municipal), of which 2 (i.e., district and circuit) were affirmed by the data provider.
- Contact with informants from 2 municipal courts resulted in conflicting information about supervision responsibilities for that court type. Therefore, all municipal courts in the state were defined as eligible for outreach. NCSC listed 79 additional municipal courts in the state.
- In Phase 1 of the frame enhancement data collection, 70 of the 79 courts (89%) responded. Data reported by the courts indicate that, as of December 31, 2017,
 - 9 supervised adult probationers;
 - 61 reported not supervising probationers; and
 - none reported supervising felons.
- 16 that assigned but did not supervise reported that their probationers are “unsupervised.”
- 7 of the 9 courts that reported supervising probationers as of December 31, 2017, reported supervising 243 misdemeanants; counts ranged from 1 to 198, and the average was 34. Riverton Municipal Court was an outlier court, which reported supervising 198 misdemeanants. The remaining courts reported supervising populations of 1 to 27.
- The total reported supervised population as of December 31, 2017, was 243.