



Indications and Important Safety Information¹:

VIVITROL is indicated for:

- Prevention of relapse to opioid dependence, following opioid detoxification.
- Treatment of alcohol dependence in patients who are able to abstain from alcohol in an outpatient setting prior to the initiation of treatment with VIVITROL. Patients should not be actively drinking at the time of initial VIVITROL administration.
- VIVITROL should be part of a comprehensive management program that includes psychosocial support.

For additional Important Safety Information, please see <u>Brief Summary of Prescribing Information</u> on adjacent pages.



Learn more about a treatment option that is non-addictive and not associated with diversion.

Visit <u>TreatWithVIVITROL.com</u> to learn more about how VIVITROL and counseling can help.

Vivitrol[®] (naltrexone for extended-release

(naltrexone for extended-release injectable suspension)

Contraindications

VIVITROL is contraindicated in patients:

- Receiving opioid analgesics
- With current physiologic opioid dependence
- In acute opioid withdrawal
- Who have failed the naloxone challenge test or have a positive urine screen for opioids
- Who have exhibited hypersensitivity to naltrexone, polylactide-co-glycolide (PLG), carboxymethylcellulose, or any other components of the diluent

Prior to the initiation of VIVITROL, patients should be opioid-free for a minimum of 7-10 days to avoid precipitation of opioid withdrawal that may be severe enough to require hospitalization.

Reference: 1. VIVITROL [prescribing information]. Waltham, MA: Alkermes, Inc; 2015.



(naltrexone for extended-release injectable suspension)

VIVITROL® (naltrexone for extended-release injectable suspension)

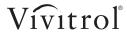
BRIEF SUMMARY See package insert for full prescribing information (rev. Dec. 2015).

INDICATIONS AND USAGE: VIVITROL is indicated for the treatment of alcohol dependence in patients who are able to abstain from alcohol in an outpatient setting prior to initiation of treatment with VIVITROL. Patients should not be actively drinking at the time of initial VIVITROL administration. In addition, VIVITROL is indicated for the prevention of relapse to opioid dependence, following opioid detoxification. VIVITROL should be part of a comprehensive management program that includes psychosocial support.

CONTRAINDICATIONS: VIVITROL is contraindicated in: patients receiving opioid analgesics, patients with current physiologic opioid dependence, patients in acute opioid withdrawal, any individual who has failed the naloxone challenge test or has a positive urine screen for opioids, and patients who have previously exhibited hypersensitivity to naltrexone, polylactide-co-glycolide (PLG), carboxymethylcellulose, or any other components of the diluent.

WARNINGS AND PRECAUTIONS: Vulnerability to Opioid Overdose: After opioid detoxification, patients are likely to have reduced tolerance to opioids. VIVITROL blocks the effects of exogenous opioids for approximately 28 days after administration. However, as the blockade wanes and eventually dissipates completely, patients who have been treated with VIVITROL may respond to lower doses of opioids than previously used, just as they would have shortly after completing detoxification. This could result in potentially life threatening opioid intoxication (respiratory compromise or arrest, circulatory collapse, etc.) if the patient uses previously tolerated doses of opioids. Cases of opioid overdose with fatal outcomes have been reported in patients who used opioids at the end of a dosing interval, after missing a scheduled dose, or after discontinuing treatment. Patients should be alerted that they may be more sensitive to opioids, even at lower doses, after VIVITROL treatment is discontinued, especially at the end of a dosing interval (i.e., near the end of the month that VIVITROL was administered), or after a dose of VIVITROL is missed. It is important that patients inform family members and the people closest to the patient of this increased sensitivity to opioids and the risk of overdose. There is also the possibility that a patient who is treated with VIVITROL could overcome the opioid blockade effect of VIVITROL. Although VIVITROL is a potent antagonist with a prolonged pharmacological effect, the blockade produced by VIVITROL is surmountable. The plasma concentration of exogenous opioids attained immediately following their acute administration may be sufficient to overcome the competitive receptor blockade. This poses a potential risk to individuals who attempt, on their own, to overcome the blockade by administering large amounts of exogenous opioids. Any attempt by a patient to overcome the antagonism by taking opioids is especially dangerous and may lead to life-threatening opioid intoxication or fatal overdose. Patients should be told of the serious consequences of trying to overcome the opioid blockade. Injection Site Reactions: VIVITROL injections may be followed by pain, tenderness, induration, swelling, erythema, bruising, or pruritus; however, in some cases injection site reactions may be very severe. In the clinical trials, one patient developed an area of induration that continued to enlarge after 4 weeks, with subsequent development of necrotic tissue that required surgical excision. In the post marketing period, additional cases of injection site reaction with features including induration, cellulitis, hematoma, abscess, sterile abscess, and necrosis, have been reported. Some cases required surgical intervention, including debridement of necrotic tissue. Some cases resulted in significant scarring. The reported cases occurred primarily in female patients. VIVITROL is administered as an intramuscular gluteal injection, and inadvertent subcutaneous injection of VIVITROL may increase the likelihood of severe injection site reactions. The needles provided in the carton are customized needles. VIVITROL must not be injected using any other needle. The needle lengths (either 1 1/2 inches or 2 inches) may not be adequate in every patient because of body habitus. Body habitus should be assessed prior to each injection for each patient to assure that the proper needle is selected and that the needle length is adequate for intramuscular administration. Healthcare professionals should ensure that the VIVITROL injection is given correctly, and should consider alternate treatment for those patients whose body habitus precludes an intramuscular gluteal injection with one of the provided needles. Patients should be informed that any concerning injection site reactions should be brought to the attention of the healthcare professional. Patients exhibiting signs of abscess, cellulitis, necrosis, or extensive swelling should be evaluated by a physician to determine if referral to a surgeon is warranted.

Precipitation of Opioid Withdrawal: The symptoms of spontaneous opioid withdrawal (which are associated with the discontinuation of opioid in a dependent individual) are uncomfortable, but they are not generally believed to be severe or necessitate hospitalization. However, when withdrawal is precipitated abruptly by the administration of an opioid antagonist to an opioid-dependent patient, the resulting withdrawal syndrome can be severe enough to require hospitalization. Review of postmarketing cases of precipitated opioid withdrawal in association with naltrexone treatment has identified cases with symptoms of withdrawal severe enough to require hospital admission, and in some cases, management in the intensive care unit. To prevent occurrence of precipitated withdrawal in patients dependent on opioids, or exacerbation of a pre-existing subclinical withdrawal syndrome, opioiddependent patients, including those being treated for alcohol dependence, should be opioid-free (including tramadol) before starting VIVITROL treatment. An opioidfree interval of a minimum of 7-10 days is recommended for patients previously dependent on short-acting opioids. Patients transitioning from buprenorphine or methadone may be vulnerable to precipitation of withdrawal symptoms for as long as two weeks. If a more rapid transition from agonist to antagonist therapy is deemed necessary and appropriate by the healthcare provider, monitor the patient closely in an appropriate medical setting where precipitated withdrawal can be managed. In every case, healthcare providers should always be prepared to manage withdrawal symptomatically with non-opioid medications because there is no completely reliable method for determining whether a patient has had an adequate opioid-free period. A naloxone challenge test may be helpful; however, a few case reports have indicated that patients may experience precipitated withdrawal despite having a negative urine toxicology screen or tolerating a naloxone challenge test (usually in the setting of transitioning from buprenorphine treatment). Patients should be made aware of the risks associated with precipitated withdrawal and encouraged to give an accurate account of last opioid use. Patients treated for alcohol dependence with VIVITROL should also be assessed for underlying opioid dependence and for any recent use of opioids prior to initiation of treatment with VIVITROL. Precipitated opioid withdrawal has been observed in alcohol-dependent patients in circumstances where the prescriber had been unaware of the additional use of opioids or co-dependence on opioids. Hepatotoxicity: Cases of hepatitis and clinically significant liver dysfunction were observed in association with VIVITROL exposure during the clinical development program and in the postmarketing period. Transient, asymptomatic hepatic transaminase elevations were also observed in the clinical trials and postmarketing period. Although patients with clinically significant liver disease were not systematically studied, clinical trials did include patients with asymptomatic viral hepatitis infections. When patients presented with elevated transaminases, there were often other potential causative or contributory etiologies identified, including pre-existing alcoholic liver disease, hepatitis B and/or C infection, and concomitant usage of other potentially hepatotoxic drugs. Although clinically significant liver dysfunction is not typically recognized as a manifestation of opioid withdrawal, opioid withdrawal that is precipitated abruptly may lead to systemic sequelae including acute liver injury. Patients should be warned of the risk of hepatic injury and advised to seek medical attention if they experience symptoms of acute hepatitis. Use of VIVITROL should be discontinued in the event of symptoms and/or signs of acute hepatitis. Depression and Suicidality: Alcohol- and opioiddependent patients, including those taking VIVITROL, should be monitored for the development of depression or suicidal thinking. Families and caregivers of patients being treated with VIVITROL should be alerted to the need to monitor patients for the emergence of symptoms of depression or suicidality, and to report such symptoms to the patient's healthcare provider. Alcohol Dependence: In controlled clinical trials of VIVITROL administered to adults with alcohol dependence, adverse events of a suicidal nature (suicidal ideation, suicide attempts, completed suicides) were infrequent overall, but were more common in patients treated with VIVITROL than in patients treated with placebo (1% vs 0). In some cases, the suicidal thoughts or behavior occurred after study discontinuation, but were in the context of an episode of depression that began while the patient was on study drug. Two completed suicides occurred, both involving patients treated with VIVITROL. Depression-related events associated with premature discontinuation of study drug were also more common in patients treated with VIVITROL (~1%) than in placebo-treated patients (0). In the 24-week, placebo-controlled pivotal trial in 624 alcohol-dependent patients, adverse events involving depressed mood were reported by 10% of patients treated with VIVITROL 380 mg, as compared to 5% of patients treated with placebo injections. Opioid Dependence: In an open-label, long-term safety study conducted in the US, adverse events of a suicidal nature (depressed mood, suicidal ideation, suicide attempt) were reported by 5% of opioid-dependent patients treated



(naltrexone for extended-release injectable suspension)

with VIVITROL 380 mg (n=101) and 10% of opioid-dependent patients treated with oral naltrexone (n=20). In the 24-week, placebo-controlled pivotal trial that was conducted in Russia in 250 opioid-dependent patients, adverse events involving depressed mood or suicidal thinking were not reported by any patient in either treatment group (VIVITROL 380 $\,$ mg or placebo).

When Reversal of VIVITROL Blockade Is Required for Pain Management: In an emergency situation in patients receiving VIVITROL, suggestions for pain management include regional analgesia or use of non-opioid analgesics. If opioid therapy is required as part of anesthesia or analgesia, patients should be continuously monitored in an anesthesia care setting by persons not involved in the conduct of the surgical or diagnostic procedure. The opioid therapy must be provided by individuals specifically trained in the use of anesthetic drugs and the management of the respiratory effects of potent opioids, specifically the establishment and maintenance of a patent airway and assisted ventilation. Irrespective of the drug chosen to reverse VIVITROL blockade, the patient should be monitored closely by appropriately trained personnel in a setting equipped and staffed for cardiopulmonary resuscitation. Eosinophilic Pneumonia: In clinical trials with VIVITROL, there was one diagnosed case and one suspected case of eosinophilic pneumonia. Both cases required hospitalization, and resolved after treatment with antibiotics and corticosteroids. Similar cases have been reported in postmarketing use. Should a person receiving VIVITROL develop progressive dyspnea and hypoxemia, the diagnosis of eosinophilic pneumonia should be considered. Patients should be warned of the risk of eosinophilic pneumonia, and advised to seek medical attention should they develop symptoms of pneumonia. Clinicians should consider the possibility of eosinophilic pneumonia in patients who do not respond to antibiotics. Hypersensitivity Reactions Including Anaphylaxis: Cases of urticaria, angioedema, and anaphylaxis have been observed with use of VIVITROL in the clinical trial setting and in postmarketing use. Patients should be warned of the risk of hypersensitivity reactions, including anaphylaxis. In the event of a hypersensitivity reaction, patients should be advised to seek immediate medical attention in a healthcare setting prepared to treat anaphylaxis. The patient should not receive any further treatment with VIVITROL. Intramuscular Injections: As with any intramuscular injection, VIVITROL should be administered with caution to patients with thrombocytopenia or any coagulation disorder (eg, hemophilia and severe hepatic failure). Alcohol Withdrawal: Use of VIVITROL does not eliminate nor diminish alcohol withdrawal symptoms. Interference with Laboratory Tests: VIVITROL may be cross-reactive with certain immunoassay methods for the detection of drugs of abuse (specifically opioids) in urine. For further information, reference to the specific immunoassay instructions is recommended.

ADVERSE REACTIONS: Serious adverse reactions that may be associated with VIVITROL therapy in clinical use include: severe injection site reactions, eosinophilic pneumonia, serious allergic reactions, unintended precipitation of opioid withdrawal, accidental opioid overdose and depression and suicidality. The adverse events seen most frequently in association with VIVITROL therapy for alcohol dependence (ie, those occurring in ≥5% and at least twice as frequently with VIVITROL than placebo) include nausea, vomiting, injection site reactions (including induration, pruritus, nodules and swelling), muscle cramps, dizziness or syncope, somnolence or sedation, anorexia, decreased appetite or other appetite disorders. The adverse events seen most frequently in association with VIVITROL therapy in opioid dependent patients (ie, those occurring in \geq 2% and at least twice as frequently with VIVITROL than placebo) were hepatic enzyme abnormalities, injection site pain, nasopharyngitis, insomnia, and toothache. Clinical Studies Experience: Because clinical trials are conducted under widely varying conditions, adverse reaction rates observed in the clinical trials of a drug cannot be directly compared to rates in the clinical trials of another drug and may not reflect the rates observed in practice. In all controlled and uncontrolled trials during the premarketing development of VIVITROL, more than 1100 patients with alcohol and/or opioid dependence have been treated with VIVITROL. Approximately 700 patients have been treated for 6 months or more, and more than 400 for 1 year or longer. Adverse Events Leading to Discontinuation of Treatment: Alcohol Dependence: In controlled trials of 6 months or less in alcoholdependent patients, 9% of alcohol-dependent patients treated with VIVITROL discontinued treatment due to an adverse event, as compared to 7% of the alcoholdependent patients treated with placebo. Adverse events in the VIVITROL 380-mg group that led to more dropouts than in the placebo-treated group were injection site reactions (3%), nausea (2%), pregnancy (1%), headache (1%), and suicide-related events (0.3%). In the placebo group, 1% of patients withdrew due to injection site reactions, and 0% of patients withdrew due to the other adverse events. Opioid Dependence: In a controlled trial of 6 months, 2% of opioid-dependent patients treated with VIVITROL discontinued treatment due to an adverse event, as compared to 2% of the opioid-dependent patients treated with placebo.

DRUG INTERACTIONS: Patients taking VIVITROL may not benefit from opioid-containing medicines. Naltrexone antagonizes the effects of opioid-containing medicines, such as cough and cold remedies, antidiarrheal preparations and opioid analgesics.

USE IN SPECIFIC POPULATIONS: Pregnancy: There are no adequate and wellcontrolled studies of either naltrexone or VIVITROL in pregnant women. VIVITROL should be used during pregnancy only if the potential benefit justifies the potential risk to the fetus. Pregnancy Category C: Reproduction and developmental studies have not been conducted for VIVITROL. Studies with naltrexone administered via the oral route have been conducted in pregnant rats and rabbits. Teratogenic Effects: Naltrexone has been shown to increase the incidence of early fetal loss when given to rats at doses ≥30 mg/kg/day (11 times the human exposure based on an AUC(0-28d) comparison) and to rabbits at oral doses ≥60 mg/kg/day (2 times the human exposure based on an AUC(0-28d) comparison). There was no evidence of teratogenicity when naltrexone was administered orally to rats and rabbits during the period of major organogenesis at doses up to 200 mg/kg/day (175- and 14-times the human exposure based on an AUC(0-28d) comparison, respectively). Labor and Delivery: The potential effect of VIVITROL on duration of labor and delivery in humans is unknown. Nursing Mothers: Transfer of naltrexone and 6-naltrexol into human milk has been reported with oral naltrexone. Because of the potential for tumorigenicity shown for naltrexone in animal studies, and because of the potential for serious adverse reactions in nursing infants from VIVITROL, a decision should be made whether to discontinue nursing or to discontinue the drug, taking into account the importance of the drug to the mother. Pediatric Use: The safety and efficacy of VIVITROL have not been established in the pediatric population. The pharmacokinetics of VIVITROL have not been evaluated in a pediatric population. **Geriatric Use:** In trials of alcohol-dependent subjects, 2.6% (n=26) of subjects were >65 years of age, and one patient was >75 years of age. Clinical studies of VIVITROL did not include sufficient numbers of subjects age 65 and over to determine whether they respond differently from younger subjects. No subjects over age 65 were included in studies of opioid-dependent subjects. The pharmacokinetics of VIVITROL have not been evaluated in the geriatric population. Renal Impairment: Pharmacokinetics of VIVITROL are not altered in subjects with mild renal insufficiency (creatinine clearance of 50-80 mL/min). Dose adjustment is not required in patients with mild renal impairment. VIVITROL pharmacokinetics have not been evaluated in subjects with moderate and severe renal insufficiency. Because naltrexone and its primary metabolite are excreted primarily in the urine. caution is recommended in administering VIVITROL to patients with moderate to severe renal impairment. Hepatic Impairment: The pharmacokinetics of VIVITROL are not altered in subjects with mild to moderate hepatic impairment (Groups A and B of the Child-Pugh classification). Dose adjustment is not required in subjects with mild or moderate hepatic impairment. VIVITROL pharmacokinetics were not evaluated in subjects with severe hepatic impairment.

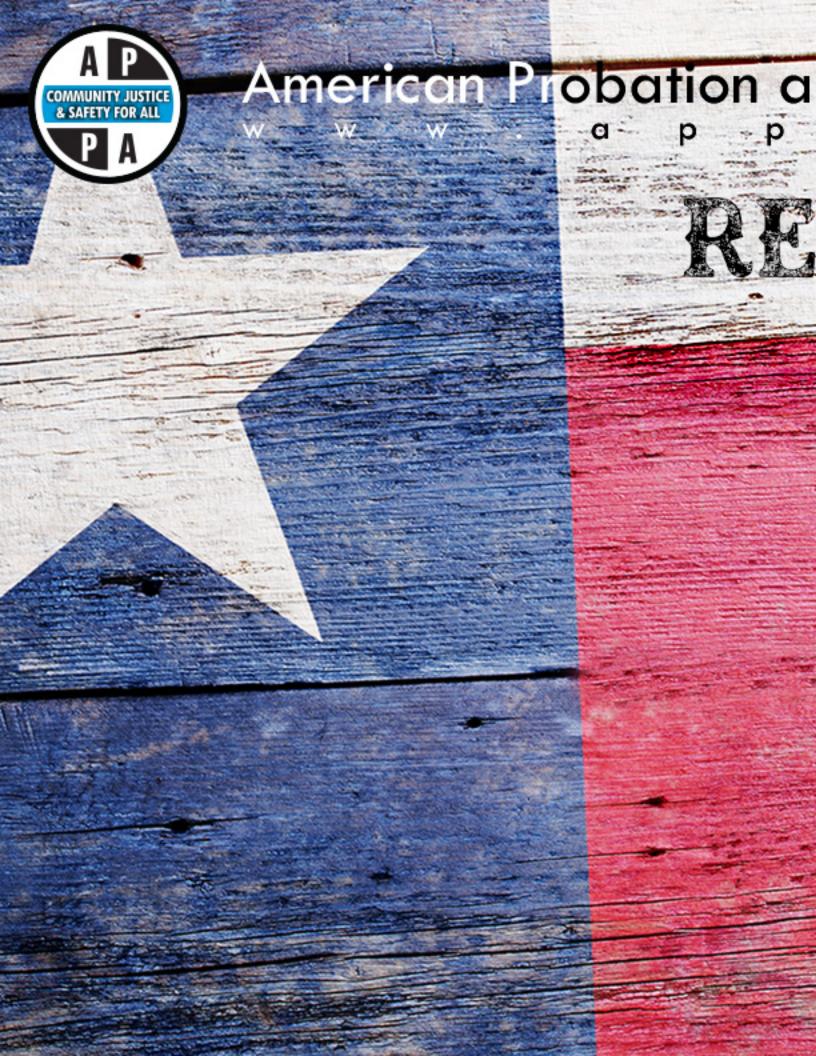
OVERDOSAGE: There is limited experience with overdose of VIVITROL. Single doses up to 784 mg were administered to 5 healthy subjects. There were no serious or severe adverse events. The most common effects were injection site reactions, nausea, abdominal pain, somnolence, and dizziness. There were no significant increases in hepatic enzymes. In the event of an overdose, appropriate supportive treatment should be initiated.

This brief summary is based on VIVITROL Full Prescribing Information.



Information (rev. December 2015)
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president's message



ERIKA PREUITT
PRESIDENT

am inspired by the change of the seasons. The transition between summer and fall is my favorite time of year. The bright and vibrant glow of summer turns into the golden hues of autumn. The change is seamless, and the warm temperatures often linger just long enough for us to transition smoothly into a new season. Fall quickly fades into the crisp, frigid temperatures of winter.

The American Probation and Parole Association (APPA) is experiencing its own transition, ushering in a new president. I am indeed proud to serve APPA in that capacity. I am also grateful to the many people who have led before me and have already paved the way for this association to move toward a bright future. This is my first message in my new role

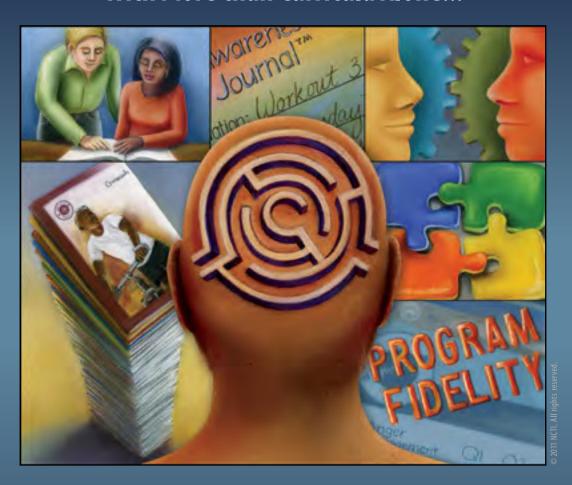
at APPA, and I would like to use this opportunity to briefly inform you of the progress we are making toward advancing the probation, parole, and the greater community corrections system.

In 2017, with the assistance of an outside consultant, the APPA Executive Committee embarked on an effort to create a framework for a strategic plan to focus our work into the future. The Strategic Goals are listed below.

INFRASTRUCTURE

- Re-engineer the operational structure of APPA.
- Strengthen and meet the demands for our probation and parole system.
- Create a dynamic and flexible infrastructure that supports advancement of the probation and parole system.

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president's message

VOICE

- Establish a prominent voice to advocate for probation and parole in the justice system.
- Establish a prominent voice to advocate for probation and parole in the community.

TRANSFORMATION

- Transform the association so that it is responsive to current and future needs of our members and stakeholders.
- Increase the value of APPA to all members and stakeholders.
- Create an association that is inclusive and representative of the diverse makeup of our organization and industry.

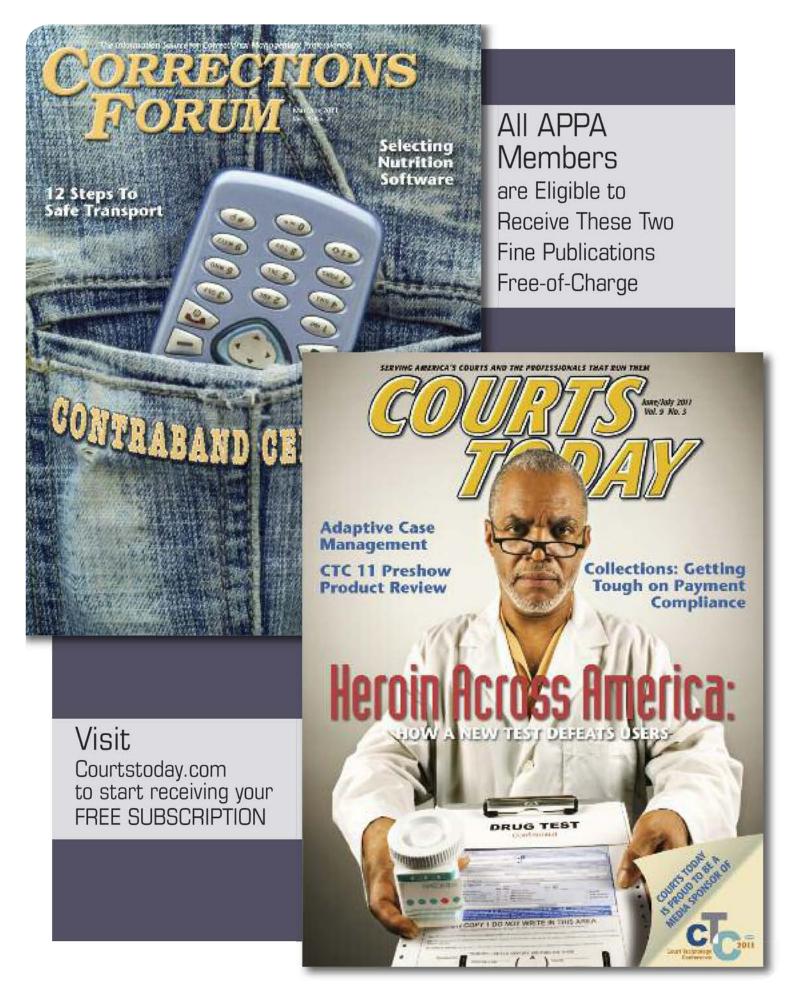
I look forward to engaging our members, the Board of Directors, the Executive Committee, and APPA staff in helping to reach the goals listed above.

In September, I had the honor to represent APPA at the 3rd World Congress on Probation hosted in Japan. Practitioners and researchers from around the world came together to showcase what is working and to share ideas and improve practices. Each presentation started from a foundation of data collection, with quantitative and qualitative measures,

followed by analysis and, ultimately, important and tangible conclusions. I was impressed by the papers that were presented at the Congress, which reflected the efforts of so many researchers to expand our fact-based understanding.

I also had the opportunity to participate in a presentation about adherence to the Effective Practices in Community Supervision (EPICS) model within my own division. We succeeded in producing a dashboard report that allowed the management team to look at trends in skill acquisition and utilization of the model within our division. It took a village to develop the dashboard. A retired officer who has been conducting EPICS audits participated, vetting the data and entering it into a spreadsheet. She then collaborated with our research and planning staff, who learned from her about the EPICS process. The result was that we obtained information information that enabled us to identify gaps, acknowledge progress, and create a strategy to be successful in the future.

Given these recent experiences,
I am excited to introduce this issue
of Perspectives that focuses on the
collection and use of data about
probation and parole populations. It
will include a compilation of several
articles about collecting data from state
and local agencies, the characteristics
of the populations, and suggested
enhancements to the data collection



process. Understanding the populations on supervision is foundational to the work of community corrections.

Investment in research and planning is so important. Directing resources to ensure that systems are in place to maximize data collection and analysis really does open doors to improving community corrections programming. This investment allows the criminal justice system to make meaningful progress by utilizing data in the development

of new programming, system improvements, and allocation of resources.

The goal is to turn data into information and information into insight.

-CARLY FIORINA, FORMER EXECUTIVE, PRESIDENT, AND CHAIR OF HEWLETT-PACKARD Recently, APPA endorsed the Statement on the Future of Community Corrections. This statement was a collaboration of industry leaders who gathered at the Harvard Kennedy School, Malcom Weiner Center for Social Policy. The recommendations directly address the escalating rates of people on probation. Having access to sound information that can reveal and clarify the nature of such trends is essential in identifying system change to advance the community corrections field. This again is a reminder of how much we need accurate and comprehensive data collection.

I am confident that the articles in this issue will help you gain valuable insights about the strengths of the collaborative process of data collection and analysis. You will also discover that there are

gaps that need to be addressed if we are to move forward in our understanding of the complete picture of the trends related to probation and parole.

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editor's notes



A Perspectives Spotlight



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any buzzwords are associated with community corrections these days, including EBT, CBT, SCF, data-driven, trauma-informed, research-informed, results-oriented, risk reduction, promising practices, and criminogenic needs, just to name a few. Go to any practitioner conference and you will see one of these buzzwords in the title of almost every presentation. I recently saw a presentation entitled, "Promising practices using data driven approaches to trauma-informed CBT."

In a world of sound bites, tweets, and Instagram posts, it sometimes seems that we have gradually moved past the substantive understanding of concepts to flashy, quick catchphrases. It is important to not let our focus get distracted by all the jargon. What does it really mean to be data-driven? When agencies begin to look at the increasingly abundant information being collected, do they really know how to interpret what they are seeing? Data without theory is often misguided, and data without context is often

misunderstood. As we step into this new world of datadriven approaches, we need to be mindful of why we are looking at data and to ensure that we are making decisions based on evidence and sound theory. We cannot allow ourselves to be misdirected because of levels of statistical significance in some data that are not applicable or findings in some studies that are taken out of context.

Ultimately, data should help answer some core questions relevant to the field of corrections:

- 1) Who are the people we should be targeting?
- 2) What approaches or interventions should we be using to best serve the population?
- 3) How well are these interventions matched to the right people?
- 4) How well did the intervention work to change behavior, and what, if anything, should be modified?

This issue of *Perspectives* provides insight into how to use data in a way that informs these broader questions and also keeps us grounded in the theory and context of community corrections.

Matthew DeMichele and his colleagues at RTI International begin this conversation on data by providing the results of the Annual Surveys of Probation and Parole. Understanding the population of those on probation and parole is a necessary step to exploring why probation populations have expanded over the past 20 years and, if necessary, how to address them moving forward. Dr. DeMichele and his co-authors provide a thorough review of the methodology and the findings of the Annual Probation Survey.

Erinn Herberman formally responds to the article authored by RTI staff members by acknowledging the importance of enhancing the data collection of adult probationers. She indicates the difficulty in properly

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editor's notes

assessing the status of the criminal justice system without accurate, complete, and reliable data. Most notably, Dr. Herberman makes the case that it is a shared responsibility of all key stakeholders involved with the justice system to ensure the highest of data collection standards.

Viet Nguyen and his colleagues at the Public Policy Institute of California discuss the implications of data on county correctional systems in that state that have been newly collected through an ongoing collaboration with state and local partners. They discuss the characteristics of the probation populations, including probationers' involvement with jail and detention facilities and supervision outcomes. They conclude their article by discussing future steps planned for the collaborative project.

Danielle Rudes and Shannon Magnuson demonstrate the need to examine micro-level implementation issues and understand the context of research findings. They point out that it is imperative to have a clear understanding of data to ensure that the results are used in a way that helps support future growth. In their article, they also focus on the importance and benefits of promoting practitioner-led research that can grow out of and supplement studies conducted from an academic perspective. Such endeavors are made possible by helping those working on the front line of supervision to develop more familiarity

with data interpretation and collection methodologies.

Richard Castle provides a reallife example of how using evaluation and assessment data within a quality improvement framework can shape our work for the better and help supervisors develop local strategies to address the needs of clients. As a field, we are inundated with data every day from every direction, and as we sit down with our staff to interpret these data we want to make sure that we are not just using it to tick off one more buzzword but rather to actually benefit from it--to put the data to functional use to improve staff skills, provide quality interventions that have the greatest impact, and bring overall improvement in the field of corrections.

Finally, unrelated to this issue's main theme, but interesting nevertheless, Lindsay Cates provides a special essay on the pervasiveness of racial and ethnic disparities within juvenile probation work cultures. She discusses the implications of such disparities and offers insights for ways to effectively address them.

Our next issue will focus on the Bureau of Justice Assistance's "Smart Supervision" program. We are still deciding the themes for the other issues in 2018. We hope that you will contact us and contribute an article.

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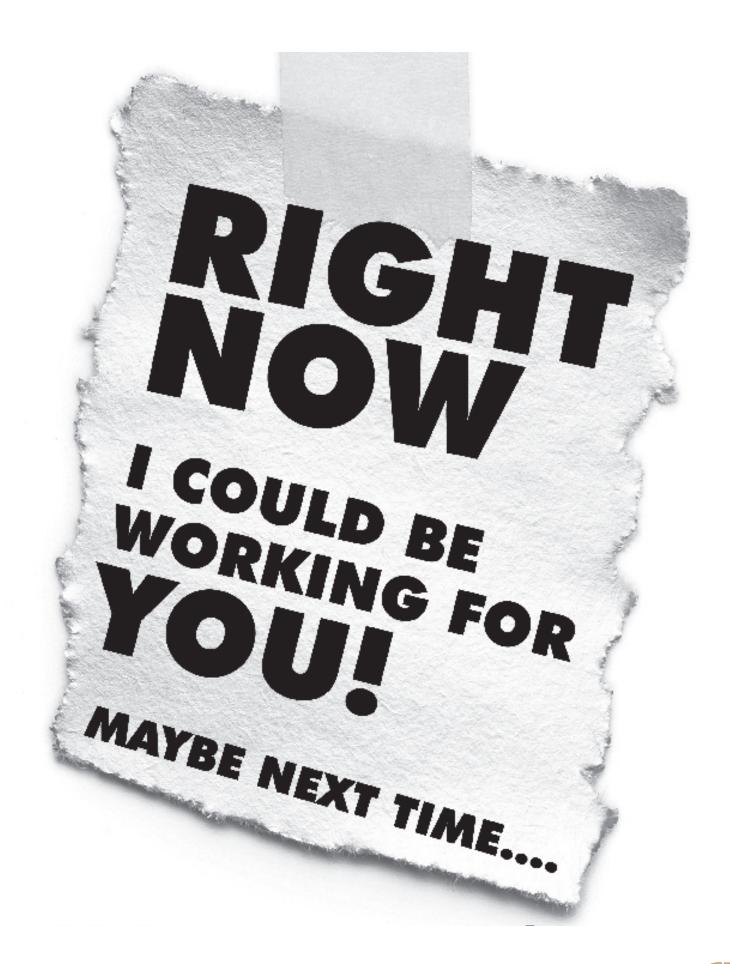


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instructions to authors

Perspectives disseminates information to the American Probation and Parole Association's members on relevant policy and program issues and provides updates on activities of the Association. The membership represents adult and juvenile probation, parole, and community corrections agencies throughout the United States and abroad. Articles submitted for publication are screened by an editorial committee and, on occasion, selected reviewers, to determine acceptability based on relevance to the field of criminal justice, clarity of presentation, or research methodology. Perspectives does not reflect unsupported personal opinions. Submissions are encouraged following these procedures: Articles can be emailed to perspectives@csg.org in accordance with the following deadlines:

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All submissions must be in English and in American Psychological Association (APA) Style. Authors should provide a one paragraph biography, along with contact information. Notes should be used only for clarification or substantive comments, and should appear at the end of the text. References to source documents should appear in the body of the text with the author's surname and the year of publication in parentheses, e.g., to (Mattson, 2015, p. 73). Alphabetize each reference at the end of the text using the following format:

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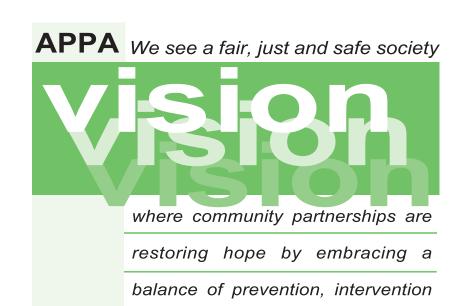
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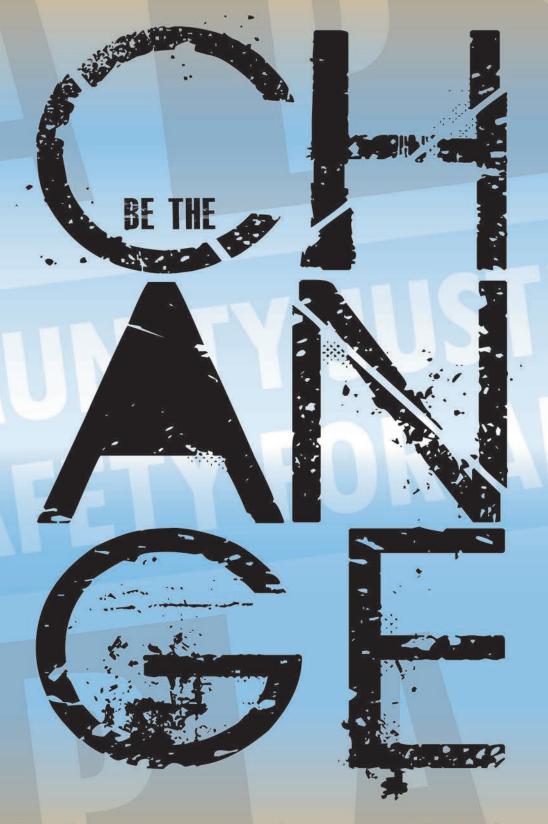
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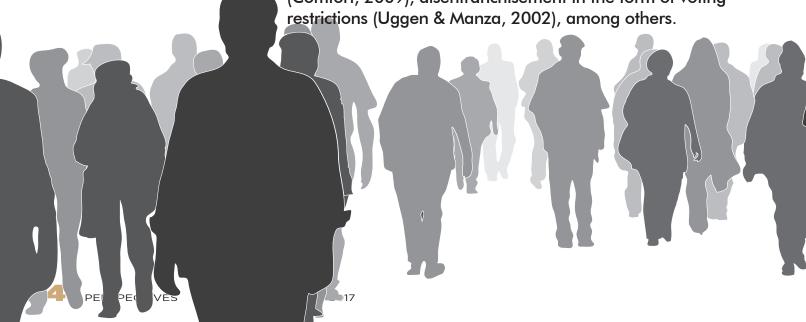


WHAT IS KNOWN AND UNKNOWN ABOUT PROBATION POPULATIONS: A CALL TO THE COMMUNITY SUPERVISION FIELD

BY: MATTHEW DEMICHELE, ERIN K. KENNEDY, HOPE M. SMILEY-MCDONALD, ALISSA CHAMBERS, LANCE COUZENS, ASHLEY GRIGGS, SRIDEVI SATTALURI, AND TIMOTHY SMITH

COMMUNITY
CORRECTIONS
POPULATIONS
HAVE GROWN
CONCURRENTLY WITH
INCARCERATION
POPULATIONS.
TODAY, FOUR
MILLION ADULTS
ARE SUPERVISED
IN THE COMMUNITY
BY PROBATION AND
PAROLE AGENCIES.

Throughout most of the 20th century, U.S. incarceration rates remained steady at around 120 per 100,000 until the mid-1970s, when the incarcerated population swelled to 700 per 100,000. The result is that the U.S. has about 5% of the world's population but nearly one-fourth of the incarcerated population. In 2001, British sociologist David Garland referred to this dramatic increase in incarcerated populations in the U.S. as mass incarceration. Since that time, countless scholars, journalists, and activists have questioned the effectiveness and sustainability of mass incarceration. Numerous scholarly articles and media reports describe negative consequences related to incarceration that include reduced employment opportunities (Western, 2006), familial economic hardships (Comfort, 2009), disenfranchisement in the form of voting restrictions (Uggen & Manza, 2002), among others.





Although drawing less attention, probation and parole populations grew concurrent with the incarceration rates (McNeil, 2013; Phelps, 2013). Today, community supervision accounts for nearly two-thirds of the adults supervised by the U.S. correctional system. While more than two million adults are incarcerated in state and federal prisons and local jails, another four million are supervised by probation and parole agencies (Kaeble and Bonczar, 2016).

Readers of *Perspectives* are likely all too aware of the growth in probation and parole. Individuals involved in this field understand that, as Faye Taxman (2007) pointed out nearly one decade ago, the growth in community supervision populations has produced not just an increase in caseloads (i.e., the number of people to supervise), but also an increase in workload (i.e., the

amount of time and resources needed per individual). These phenomena are related to mass incarceration; as the population in U.S. prisons and jails grew, which left less available bed space, community corrections was increasingly used to supervise higher risk populations. Therefore, the absolute number of people entering community supervision increased compared to the past, and the criminal histories of these individuals also changed.

It is a daunting but important task to go beyond the mere tallying up of how many are on probation to capture sufficient details for a complete picture of those under community supervision. Given that, we have two objectives for this article. The first is to provide a review of trends between 2000 and 2015 shown by the Annual Probation Survey of the Bureau of Justice Statistics (BJS). That survey and the BJS Annual Parole Survey, which





together constitute the Annual Surveys of Probation and Parole (ASPP), are the only national sources of information on community corrections populations (Kaeble & Bonczar, 2016). As will be highlighted in this article, information from these surveys falls short of what is needed and is marked by a lack of depth and nuance about the U.S. probation population. Data currently reported to BJS do not allow for insights into important contextual elements of probation, such as an assessment of changes in risk levels of probationers. Readers may wonder why these knowledge gaps exist. Some of them are due to the inability of agencies to report, whereas others are related to a need to reconsider the survey instrument and survey approach. RTI International (RTI), an independent, nonprofit research institute, and the American Probation and Parole Association (APPA) are both working with BJS to address each of these challenges in data collection.

Our second objective is to engage, encourage, and motivate probation professionals to prioritize data collection and sharing. The community corrections field consists of a dynamic, vibrant, and energetic group of departments, agencies, and individuals. While probation leaders and line staff work courageously to provide a balanced delivery of surveillance, treatment, and accountability

(Paparozzi & DeMichele, 2008), there is a need to have a streamlined way of collecting information that does not add to the burden of agencies. To enhance the Annual Probation Survey data capacity and capability, BJS, APPA, and RTI have teamed up to redesign the current survey instrument, examine the quality of the agency frame (i.e., list of agencies included in the collection), and broaden the dissemination of the results (e.g., publications, web-based tools).

In this article, we focus on probation only, beginning with a brief description of the methodology for community corrections data collection under the ASPP (for a full description, see Kaeble & Bonczar, 2016). We go on to present some probation population trends over the past 25 years as well as demographic characteristics, entries and exits, and offense classifications (misdemeanor or felony) in 2010 and 2015. Next, we summarize recent decreases in overall probation populations as well as the large amount of "unknown" responses on the Annual Probation Survey and other gaps in information. Then, we highlight work being done by our colleagues in the field of community corrections research. Finally, we explore enhancements to the Annual Probation Survey, and offer a call to the field to continue to engage in robust data collection and sharina.



METHODOLOGY/OVERVIEW OF SURVEY ISSUES

BJS has collected information on both probation and parole populations since the late 1970s, with the U.S. Census Bureau being the data collector during the first decades after the inception of the surveys. In 2015, RTI became the primary data collector, and, as mentioned above, it has subsequently collaborated with BJS and APPA to make improvements in survey collection. BJS has long recognized that the community corrections field is dynamic, and hence efforts are needed to adapt by means of ongoing survey instrument development. These efforts include making changes in content and revisions in definitions and terminology that reflect updates in the field. They also include examining agency eligibility criteria and making refinements to these criteria to ensure the broadest possible data collecting.

The Annual Probation Survey is currently sent to approximately 460 agencies with responsibility for the supervision of probationers. Most respondents are responsible for supervision of probationers, but there are some statewide entities that do not conduct direct supervision. In most states (n = 38), centralized reporters complete the probation survey for the entire state. Other states (n = 12) have reporters who report for more than one agency but also

have a number of agencies that report separately. Among those, one state only has agencies that report separately.

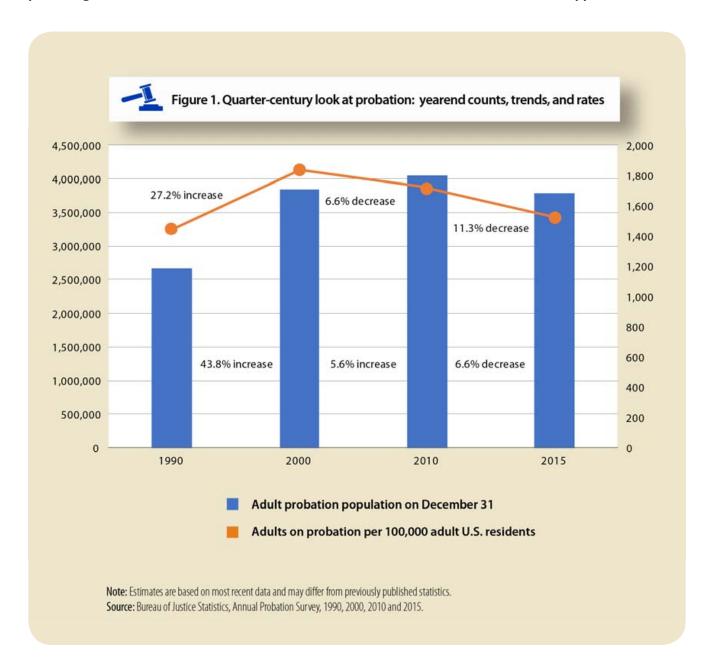
The description of the survey respondents is important because it is related to the nature of the data received. The Annual Probation Survey has a response rate of about 92% each year. However, even those agencies that fill out the survey may not provide, for various reasons, certain basic information about their probation populations. Along with definitional issues and some reliance on outdated numbers, the incidence of respondents omitting answers or stating "unknown" in response to some survey questions is the reason for most of the information gaps. The reporting agencies may simply not have the facts at hand, and the nature of the various survey respondents described above may be a factor relating to the completeness of the data received.

RTI and BJS are conducting research to ensure that all eligible agencies and all supervised adults are represented in the data collection. The agencies and populations covered by the 2015 Annual Probation Survey, as identified by the respondents who submitted data, are being assessed for completeness by examining other sources of information on agencies engaged in supervision (online state directories, court rosters, etc.)



to identify any agencies or populations that may have been left out. This research is ongoing, and we hope to update the list of eligible agencies in the coming months.

Despite these limitations, the data collected through the Annual Probation Survey constitute a rich repository of information on probation in the United States. Data spanning more than three decades show the trends in the numbers and types of



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supervised adults nationwide and at the state level. The improvements and research outlined in this paper will serve to improve this valuable resource.

QUARTER-CENTURY TRENDS IN PROBATION DATA

Figure 1 (previous page) provides a glimpse of how the size of the U.S. probation population has changed over the past quarter century, including trends in the number of adults on probation at year end and the rate of adult probationers per 100,000 U.S. adult residents at year end. Two clear findings emerge: The first is that the probation population grew substantially between 1990 and 2000, and the second is that the probation population has experienced a recent decrease. More specifically, the number of adults on probation grew by 44% between 1990 and 2000, with a 7% increase during the following decade (2000 to 2010) and then a commensurate 7% decrease from 2010 to 2015. Nonetheless, in 2015, there were an estimated 3,789,800 adults on probation at year end; a decrease from the estimated 2010 population of 4.055.900. but a substantial increase from the 1990 population (an estimated 2,670,200).

In Figure 1, the orange line corresponds to the right vertical axis and illustrates the change in number of probationers per 100,000 U.S. adult

residents (the probation rate), while the blue bars correspond to the left vertical axis, and illustrate changes in the number of adults on probation in the U.S. Together, they demonstrate that changes in the absolute number of adults on probation in the U.S. are not necessarily mirror to the changes in the number of adults on probation compared to the U.S. adult population. The trend in probation population rates that takes into account overall population growth is a 27% increase between 1990 (1,433 probationers per 100,000 U.S. adult residents) and 2000 (1,836 probationers per 100,000 U.S. adult residents). Although the probation population increased between 2000 and 2010, the probation rate declined to approximately 1,715 per 100,000 U.S. adult residents, and the adult probationer rate saw a 11% drop between 2010 and 2015.

DEMOGRAPHICS: WHO IS ON PROBATION IN THE US?

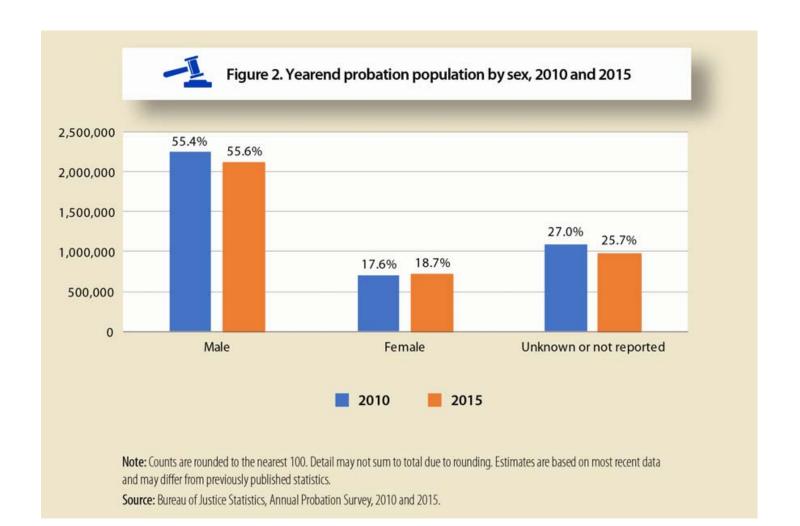
Figure 2 (next page) presents the gender distributions reported in the 2010 and 2015 Annual Probation Surveys.

More than half of adult probationers are reported as male (55% in 2010 and 56% in 2015) and fewer than one-fifth are reported as female (18% in 2010; 19% in 2015), with the gender of more than a quarter of probationers unreported or unknown. These



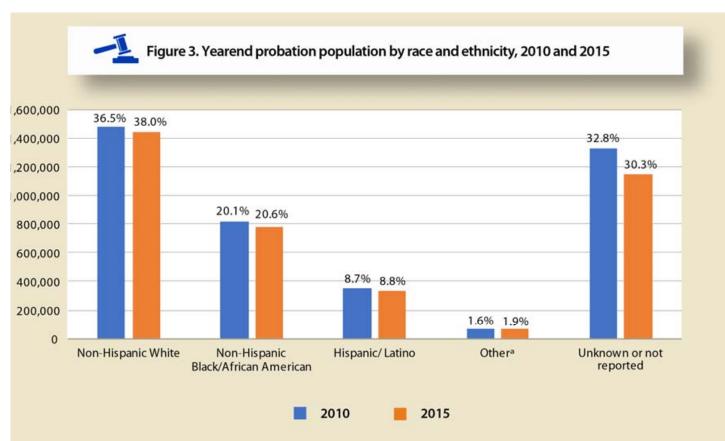
distributions have remained largely unchanged, as has the proportion with unknown or not reported gender. Nonetheless, the high rates of unknown or unreported gender make it challenging for researchers to completely and accurately describe the U.S. adult probation population.

As with gender, the reported distributions of race and ethnicity among adult probationers showed little change when comparing the 2010 and 2015 data (Figure 3). The proportion of known Hispanic adults on probation remained unchanged (9%, respectively), while the percentage of known white and known Black probationers increased only slightly (from 37% to 38% for white; from 20% to 21% for Black/African American) in the same time period. Adult probationers identified as American Indian, Alaska Native, Asian, Native Hawaiian, other Pacific Islander, or multi-racial made





up less than 2% of all probationers in both years (1.6% in 2010, and 1.9% in 2015). When calculating percentages based solely on the absolute numbers of probationers in the subset with identified race/ethnicity, little shift is seen over the five-year period. The changes in proportions for each category for 2010 to 2015 were 54.6% to 54.8% (white), 30.7% to 29.7% (black/African American), 13% to 12.7% (Hispanic), and 2.4% to 2.7% (other races and ethnicities). These figures, it should be noted, are based upon known race and ethnicity and do not factor in any shifts in race and ethnicity demographics in the population as a whole over the same period. Moreover, attention must be paid to the problem of unknown or unreported race/ethnicity information, which is even more problematic than for the gender statistics. Race and ethnicity data are not available for statistical analysis for nearly one-third of adult probationers, reducing the significance and usefulness of the data set as a whole.



Note: Counts are rounded to the nearest 100. Detail may not sum to total due to rounding. Estimates are based on most recent data and may differ from previously published statistics.

alncludes American Indian/Alaskan Native, Asian, Native Hawaiian/Other Pacific Islander, and Two or more races.

Source: Bureau of Justice Statistics, Annual Probation Survey, 2010 and 2015.



UNDERSTANDING HOW INDIVIDUALS ENTER AND EXIT PROBATION

Survey data about how adults enter and exit probation in the United States provide important context for community corrections. Overall, probation entries declined 10% when comparing 2010 and 2015 survey data, going from an estimated 2,185,500 to 1,966,100. When exploring probation entries that include details on entry circumstances, the percentage of adults entering probation without incarceration increased from 28% in 2010 to 35% in 2015, while the proportion entering probation with prior incarceration only increased from 10% in 2010 to 11% in 2015. Unfortunately, over half (53%) of probation entries in the data set lacked a known or reported type in 2010. In 2015, the percentage lacking known or reported entry types had decreased to approximately 44%, reflecting that increasingly informative data have been collected in recent years. The fact remains, though, that over onethird of probationers are lacking known or reported entry types. That one-third still contains a considerable number of individuals on probation, and not knowing how many in this group were or were not incarcerated before beginning probation muddies the overall picture, making it quite difficult to give any definitive statements on this subject, at least at the nationwide level.

With regard to probation terminations, data from the Annual Probation Surveys show that, like entries, probation exits have also declined approximately 10% since 2010 - dropping from an estimated 2,256,800 to an estimated 2,043,200 in 2015 – although exits still outpaced entries overall, as would be expected in view of the declining probation population over these years. Successful probation exits (completions) increased from 47% in 2010 to 53% in 2015. The number of unsuccessful exits (e.g., incarceration, absconders, and warrant discharges) also increased, going from 22% in 2010 to 25% in 2015. At the same time, the number of unknown or unreported exit types decreased from 24% in 2010 to 14% in 2015. Looking only at the cases for which outcome was known, the proportion of successful exits decreased from approximately 65% to approximately 63%, but this apparent trend may not be accurate when one considers the whole probation population. After all, the 15% group with unknown outcomes in 2015 includes approximately 282,800 individuals, and it is at least possible that exit types within this last group are skewed in comparison to the reported cases. The percentage of successful completions could possibly have increased, decreased, or stayed steady in the 5-year period, meaning that the true change in successful completions is unknown.



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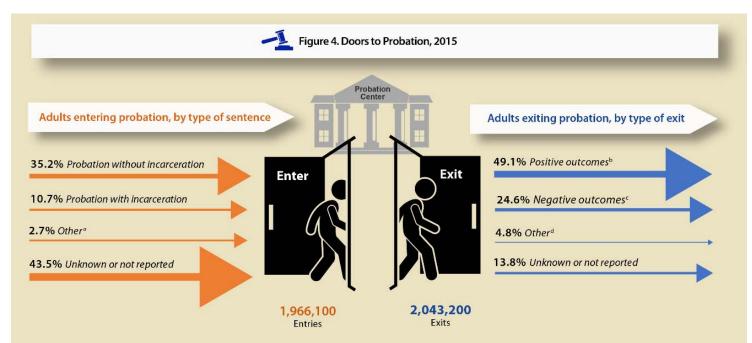




Figure 4 illustrates the reported proportions of adult entries and exits in 2015, by type. We hope that future data reporting greatly reduces the large number of cases that lack sufficient details regarding entry and exit status. Inclusion of all pertinent data would provide a more compelling and informative picture of pathways in and out of probation.

OFFENSE CHARACTERISTICS: TYPE AND MOST SERIOUS

Figure 5 shows that the numbers of probationers being supervised for known misdemeanors or "other" offenses were largely unchanged when comparing 2010 and 2015. There was an increase in the numbers of probationers being supervised for felonies between 2010 (40%) and 2015 (50%). Over the same period, there was a 46% decrease in the cases reported with unknown or not reported



Note: Counts are rounded to the nearest 100. Detail may not sum to total due to rounding. Estimates are based on most recent data and may differ from previously published statistics.

Includes probationers who entered supervision by pretrial supervision, reinstatement after a new charge or probation violation, placement in a drug court program, a transfer from another local agency or state, a transfer from parole, sentence to community service or fines/costs/restitution only, diversion, intervention/treatment in lieu of conviction, reentry/release from incarceration, suspended sentence, bench warrant, or community correctional facility/program.

Also includes individuals under non-reporting supervision, monitored time, supervision by private agencies, and supervision with electronic monitoring or house arrest.

^bIncludes successful completion of probation terms.

Includes probationers incarcerated with a new sentence, under the current sentence, to receive treatment, or incarcerated for other or unknown reasons, as well as absconders, and probationers discharged to a warrant or detainer. Also includes probationers discharged from supervision who failed to meet all conditions of supervision, including some with only financial conditions remaining. Also includes individuals who received jail sentence after a presentence investigation referral, had their probation sentence revoked but were not incarcerated, or who were discharged due to judicial or administrative release, new charges, diversion, mental health court, absconding, warrants, expirations of sentence, or transfer of supervision back from an interstate compact.

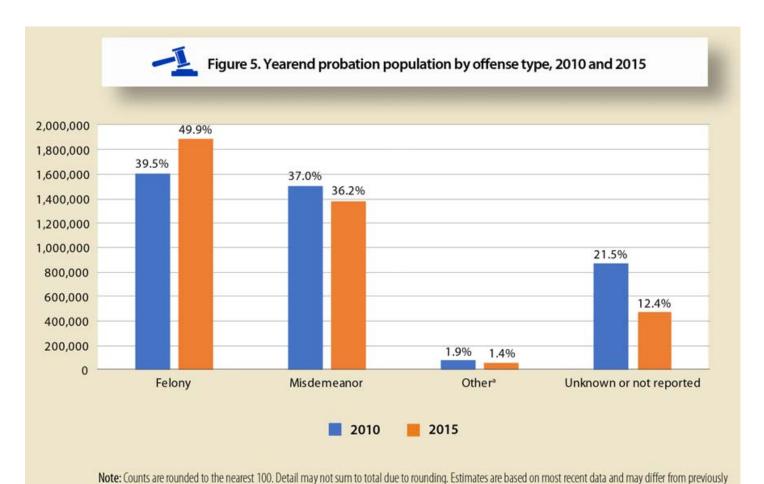
Includes deaths, probationers who transferred to another jurisdiction, and probationers who exited supervision for other reasons. Other reasons include probationers who had died or were deported or transferred to the jurisdiction of Immigration and Customs Enforcement or to another jurisdiction or state. Some probationers included in this count had their sentence dismissed, vacated, quashed, overturned, sealed/expunged, or were pardoned. Others were discharged through court order; deferrals; closed interest; administrative release; transfer to another program or to parole; revocation; early termination; expiration of sentence; violation of probationcript/new charges; incarceration; warrant; or sentencing to other sanctions.

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offense types during in those years (22% in 2010; 12% in 2015). To understand the trend better, we can look only at the subset of cases for which offense type was reported (including felony, misdemeanor, and other); in this group, it can be seen that the percentage supervised for felony offenses increased from 50% to approximately 57%. It seems highly likely that the trend toward having more felony offenders under supervision is a true shift

in probation characteristics, but the exact extent of this trend cannot be known without better and more detailed data reporting. We still have too much missing data on offense type to be sure that our calculated percentages are not skewed—that is, that the probationer group not counted in our calculations doesn't include significantly more or fewer with a felony offense.



published statistics.

*Includes probationers under supervision for a netty traffic DWI or domestic violence offense, a city ordinance violation, a civil protection order a tay offense.

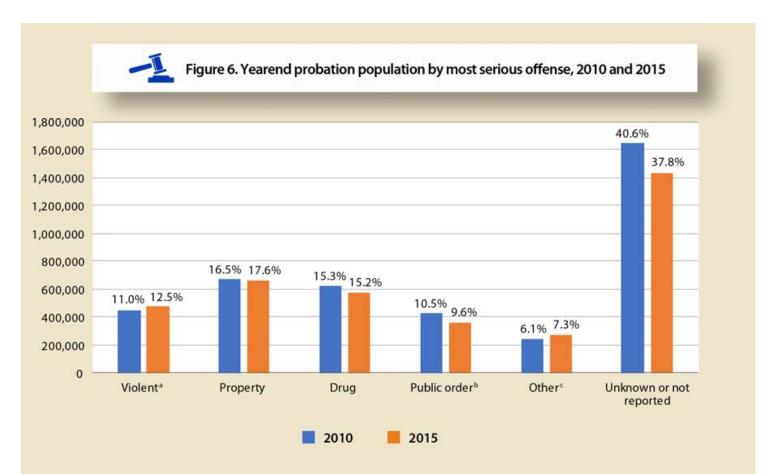
^a Includes probationers under supervision for a petty, traffic, DWI, or domestic violence offense, a city ordinance violation, a civil protection order, a tax offense, a deferred sentence or placed on supervision after being released on bail, and other types of offenses.



Whether someone is on probation for a felony or misdemeanor offense is an important distinction, but it is also interesting to know about the offense types resulting in supervision. BJS collects information about the most serious offense included in the current

conviction(s) for which a probationer was sentenced.

The Annual Probation Survey includes broad types of offenses (with definitions), and Figure 6 demonstrates that—for the subset of cases for which data



Note: Counts are rounded to the nearest 100. Detail may not sum to total due to rounding. Estimates are based on most recent data and may differ from previously published statistics.

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^a Includes probationers under supervision for domestic violence, sex offense, and other violent offenses.

^b Includes probationers under supervision for a DWI/DUI or other traffic offense.

c Includes some probationers under supervision for a public-order offense, such as a weapon offense, immigration offense, obstruction of justice, drunkenness, disorderly conduct, vagrancy, commercialized vice, contributing to the delinquency of a minor, harboring a criminal, animal abuse, harassment, tax violation, underage sale or consumption of alcohol, making a false alarm, non-support of dependents, and other offenses. Also includes some probationers under supervision for a property offense, such as fraud, forgery, trespassing, and arson, because they could not be reportedly separately under property offense.

Source: Bureau of Justice Statistics, Annual Probation Survey, 2010 and 2015.



were provided—there was little change between 2010 and 2015 for known offenses. However, it is also shown that in both 2010 and 2015 nearly 40 percent of probationers had an unknown or unreported offense (41% and 38%, respectively)—another significant gap in information. have seen a decrease in unknown or not reported data, with some demographics' unknown data being reduced by as much as 46%. While decreases such as these are encouraging, we still have gaps in demographic data that make it challenging to fully describe the probation population in the United States.

SUMMARY

As mentioned before, community corrections accounts for nearly two-thirds of the overall correctional population in the U.S. (Kaeble & Glaze, 2016). Probation agencies are responsible for the bulk of these individuals, supervising nearly four million adults. The population trends show significant growth between 1990 and 2015 with more than 40 percent more adults on probation in 2015 than there was a quarter century earlier. More recent trends between 2010 and 2015 reveal a 7% decrease in the overall probation population. The changes in the size of the adult probation population are broad and not specific to any meaningful changes in probationer demographics or the conditions of their entry and exit from supervision.

Given the large amount of unknown or not reported characteristics, it is difficult to form an accurate picture of changes in probation demographics. The five years between 2010 and 2015

FURTHER RESEARCH IN THE FIELD OF COMMUNITY CORRECTIONS

As mentioned at the outset, many have overlooked the fact that a population surge paralleling that of the muchexamined mass incarceration trend has been underway within the community corrections field (DeMichele, 2014; McNeil, 2013). There has been little research to understand the causes and consequences of these changes in probation population trends. In this issue of Perspectives, Viet Nguyen, Ryken Grattet, and Mia Bird of the Public Policy Institute of California highlight new data on the probation population in California in the wake of realignment and Proposition 47. Their essay describes changes in both the number and characteristics of the probation population after the recent corrections reforms in the state, as well as data on whether probationers reenter jail and for what offenses.



Probation officers work tirelessly to improve the chances for individuals to successfully complete their term of supervision. Probation populations are constantly changing as people enter and exit supervision. It is unfortunate that there continues to be such a lack of detailed, on-point data collection, sharing, and dissemination. Having access to comprehensive characteristics data might help probation agencies and officers to make stronger statements about

BJS, RTI AND APPA ARE WORKING TOGETHER TO IMPROVE ASPP

- Ensure survey findings are informative for the field of community corrections
- Enhance the current survey instruments
- Increase dissemination of survey findings and results
- Augment the number of agencies that respond to the survey

the possible causes and consequences of changes in the community supervision population. To this end, Danielle Rudes, the Deputy Director at George Mason University's Center for Advancing Correctional Excellence, has been engaged in numerous projects working with probation agencies to help understand how organizational cultures (and change) can facilitate success and the data collection needed to demonstrate these positive outcomes (see for example, Rudes, 2011). This issue of Perspectives also includes an interesting article by Dr. Rudes in which she describes her research.

ENHANCING DATA COLLECTION EFFORTS AND A CALL TO THE FIELD

Our goals for this paper were to demonstrate the need for ongoing, robust data collection by reviewing

probation population trends, demographics, and offense types, and to share with the community corrections field the important role that the Annual Probation Survey plays in providing data sought by practitioners, policymakers, and other stakeholders. BJS, together with RTI and APPA, is working on several enhancements to the probation survey portion of the ASPP, with the hopes of collecting improved data



from the community corrections field and, in turn, sharing that information. First, we are coordinating with data providers to develop and review a revised survey. Second, we are developing a dynamic data dashboard (protected by secured passwords) for respondents that enables them to view data submitted in previous survey cycles, see graphs of their agencies' data over time, and export tables and graphics. Third, we conducted a large review of courts and agencies across the country to determine potential missing probation populations from the Annual Probation Survey, and will be contacting identified agencies to determine whether they are supervising probationers eligible for participation.

We hope to rise to the challenges ahead of us, but are aware that no progress can be made without the participation of the top-notch professionals in the field who can help in this endeavor. This is also our opportunity to express sincere gratitude to all data providers who have shown willingness over many decades to share data with us, and we offer a call to the field to continue to engage in robust data collection and sharing.

With these enhancements, we hope to close the research gaps and expand our understanding of what probation in the United States looks like. And, with your help, we can reduce the unknown factors even further to gain a clearer picture of the probation population. In sharing these improved data with the community corrections field, we hope to provide more detailed insight on the probation population, and inform your efforts to serve the country's probationers.

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THIS CITY NEVER SLEEPS. NEITHER DO WE.



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- Standardized training plans
- Mental health and de-escalation training
- Motivational interviewing
- Treating the opioid epidemic

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- Train anytime, anywhere by computer or mobile device
- Manage policies
- Mitigate risk



RELIAS LEARNING



RESPONSE TO "WHAT IS KNOWN AND UNKNOWN ABOUT PROBATION POPULATIONS—A CALL TO THE COMMUNITY SUPERVISION FIELD"

BY ERINN HERBERMAN, PH.D.

n response to the article on "What Is Known and Unknown About Probation Populations-A Call to the Community Supervision Field," I applaud the efforts by RTI International, the American Probation and Parole Association, and the Bureau of Justice Statistics to improve the Annual Probation Survey (APS), including enhancements to data collectina in regard to the number, characteristics, and probation outcomes of adults on supervision in our country. The value of this work for policy makers, researchers, and practitioners at the national, state, and local levels can be ascertained quickly from even a brief review of the numerous on-line citations that reference the Annual Surveys of Probation and Parole.

The importance of accurately assessing the number of adults on probation at the state and national levels becomes abundantly clear as one considers both the sheer size of current estimates for the number of adults on probation and the large percentage that the probation population represents out of the total number of individuals under some form of correctional control (including probation, parole, prison, and jail). Criminal justice stakeholders cannot fully assess the status of the criminal justice system in our country without reliable state and national information sources regarding the numbers of individuals on probation and the outcomes associated with this supervision.

Each of the data elements included in the APS provides valuable information to policy makers, researchers, and practitioners about the field of probation. For example, understanding the gender breakdown of the probation population is pertinent for those who are working to develop gender-responsive approaches for prevention and intervention. Accurate information on the ethnic/racial composition of the probation population is vital as jurisdictions continue to address the complex and sensitive issues associated with racial



and ethnic disparities in the criminal justice system. Learning the types and levels (felony/misdemeanor) of the most severe offenses for which individuals are placed on probation is necessary to get a clear picture of how probation is being implemented and to assess any changes in the risk level of the population under supervision and the consequences of such changes.

Data on successful and unsuccessful exits from probation are also critically important to state and local jurisdictions as they work to implement justice reinvestment strategies that balance public safety outcomes with criminal justice system costs. The outcomes associated with probation are especially relevant, given the possibility that unsuccessful performance on probation may result in individuals becoming more deeply entrenched in the criminal justice system and potentially facing imprisonment due to probation revocation. Revocations raise the issue of increased costs as well as collateral consequences to individuals, families and communities, while the longer-term benefits to public safety including reductions in recidivism—remain unclear. Complete, accurate, and readily accessible data are needed to study these issues.

Improving the Annual Probation Survey and increasing our knowledge about state and national trends in probation cannot be realized without collaborative efforts at the state and local levels. It is difficult to fully understand the circumstances that resulted in the historically spotty and inadequate reporting from state and local jurisdictions. Data collecting and reporting processes may have been flawed or burdensome in the past, or may have put on the back burner to budgetary issues or other concerns. However, in this era of big data and information analytics, it is becoming harder to imagine good reasons for state and/or local jurisdictions to fail to report on the demographics, offense characteristics, and categories of entrance into and exit from probation. I echo the "Call to the Community Supervision Field," challenging each of us to examine and troubleshoot the manner in which our data are extracted at the local level and reported—either directly or through central reporters to the Bureau of Justice Statistics to be included in the Annual Survey of Probation and Parole. Responsibility for the accuracy of this information lies with each of us. Collectively, we can make a difference by contributing data that increases our understanding of probation, thereby supporting a fair and transparent system of justice founded on democratic principles.

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s is the case nationally, probation departments in California are responsible for supervising more people than all other correctional agencies in the Astate combined. In 2015, 390,000 individuals were supervised by probation departments (Chief Probation Officers of California, 2017), which in California are administered at the county level. In comparison, 129,000 individuals were housed in state prisons and 74,000 in county jails (California Department of Corrections and Rehabilitation, 2017; California Board of State and Community Corrections, 2017), and another 45,000 individuals were supervised by state parole agencies, which manage people after they are released from state prison (California Department of Corrections and Rehabilitation, 2017). Probation services have long played an essential role in the criminal justice system, and probation supervision also remains less costly than prison, jails, and state parole, even though spending on probation did grow from 2011 through 2015 (California State Controller 2017; Martin & Grattet, 2015).

California's recent corrections reforms have created new opportunities and responsibilities for county probation departments. In 2009, the passage of Senate Bill 678 (SB 678) created financial incentives for counties to lower their rates of revocations to state prison. It appears to have had the desired effect. From 2010 onward, statewide data show that probation violations resulting in prison incarceration dropped in nearly every county (Judicial Council of California, 2015). Moreover, the bill led to significant changes in how county probation departments do their work by encouraging more agencies to rely on evidence-based supervision practices (Petersilia, 2014; Turner, Fain, & Hunt, 2015; Judicial Council of California, 2015).



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In 2011, the state passed the Public Safety Realignment Act (referred to here as Realignment), which was designed to address prison overcrowding by shifting incarceration and supervision responsibility for many non-serious, non-violent, and non-sexual offenders from the state prison and parole systems to county sheriff and probation departments. More recently, in 2014, voters approved Proposition 47 (Prop 47), which required that certain drug and property offenses be charged as misdemeanors (Judicial Council of California, 2015). Prop 47 had a nearly immediate impact on probation caseloads. Soon after passage the number of new cases where courts granted probation for a felony or misdemeanor dropped by 29% compared to the previous quarter. Moreover, the proposition permitted individuals who were under supervision at the time of its passage to petition for resentencing, and many did so. Overall, the population of individuals under probation supervision dropped by 3% within the quarter after Prop 47 was passed (Judicial Council of California, 2015).

Understanding how the probation population in California is changing in the wake of Realignment and Prop 47 is critical to assessing the challenges probation departments currently face. This focus on getting accurate and complete facts leads to an examination of available data collecting systems in the state—systems that have both strengths and limitations. The California Department of Justice (2017) has captured changes in felony and misdemeanor probation back to the 1960s, and its data show that since the early 1980s the number of felony probation cases has grown fivefold in three decades, climbing from 50,000 to over 250,000. At the same time, the misdemeanor population has been falling since the 1990s, suggesting that the shift in probation toward more serious felony level offenders

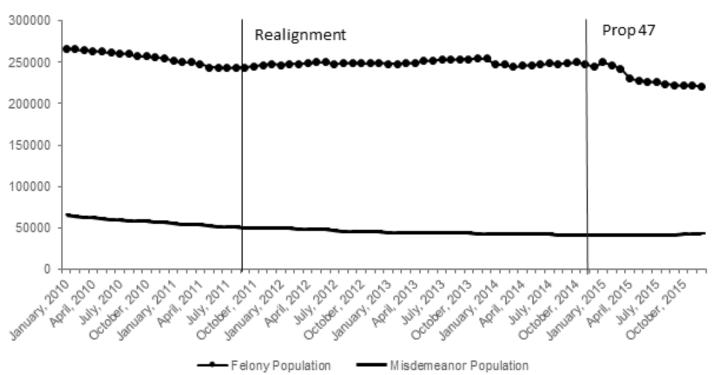


has been several decades in the making (Martin & Grattet, 2015).

Department of Justice data are collected monthly and also afford a close look at how felony and misdemeanor probation has changed after Realignment. These data show that statewide felony probation caseloads were relatively stable in the first three years under Realignment, but they began to decline in size after Prop 47 (Figure 1). Data from the Chief Probation Officers of California (2017) show growing numbers of individuals under probation supervision in 2013 and 2014 but declines in all caseloads in 2015

under Prop 47. Although these data help paint the picture of how the traditional responsibilities for supervising felony and misdemeanor cases are changing, they are less useful for characterizing the new responsibilities probation agencies have assumed as a consequence of these legislated mandates. Moreover, Realignment required that supervised individuals return to jail custody if they violate the terms of their supervision, but there is no statewide source capturing how returns to custody have changed after Realignment and Prop 47 or capturing what kind of pressure those returns place on local jail systems.

FIGURE 1
PROBATION CASELOADS, 2000-2016



SOURCE: California Department of Justice (2017).



In this essay, we draw on newly available information collected through an ongoing collaboration between the Public Policy Institute of California (PPIC), the California Board of State and Community Corrections (BSCC), and a multi-county study (MCS) group of 12 counties chosen to be representative of the state. We begin by describing how this data was compiled and the unique view it provides on county correctional systems. Using this data, we describe changes over time in the number and characteristics of individuals starting probation after Realignment and Prop 47. We go on to examine the extent of jail contact among people under supervision, focusing on how jail bookings vary across caseload types, how frequently people under different types of caseload supervision enter jail, and what types of offense or violations they are booked for. We conclude with a discussion of the next steps in the MCS data collection project.

PPIC-BSCC MULTI-COUNTY STUDY

In response to California's 2011 Public Safety Realignment, PPIC launched a data collection effort to compile information on offenders moving through 12 county correctional systems and to link that information to state data sources that can provide detailed criminal history and recidivism data. Counties were selected to reflect the diversity of the state in terms of population demographics, urbanicity, economic characteristics, and region,

as well as the diversity of approaches to implementing Realignment. Together the counties encompass three-fifths of the state's population.

The project was supported by several state-level stakeholders, including the Chief Probation Officers of California, the California State Sheriff's Association, California State Association of Counties, the County Administrative Officers Association of California, the California Department of Justice, and the California Department of Corrections and Rehabilitation. It was approved by the BSCC board members in July of 2013 as a joint project between the BSCC and PPIC.

In the spring of 2014, PPIC began receiving the first wave of data from counties. This consisted of individuallevel transactional data that cover the period from the official Realignment start date of October 1, 2011, to October 31, 2015, covering the first four years of implementation. Included is every entry into probation supervision as well as all entries and exits from county jail from the participating 12 probation and sheriff's agencies. These data allow us a window into the compositional changes occurring since 2011 within probation and a way to assess the extent to which individuals under probation supervision show up in county jails. Below we describe four segments of the probation population, which include cases traditionally



sentenced to probation for a misdemeanor, cases traditionally sentenced to probation for a felony, and two categories of "realigned" cases:

Individuals on post-release community supervision (PRCS) who have been released from state prison and prior to Realignment would have been supervised by the state parole system. The prison commitment from which these individuals are released must not have been due to a serious or violent offense, and they must not meet the California Department of Corrections and Rehabilitation definition of a "high-risk sex offender" or a "mentally disordered offender."

Individuals convicted of felony offenses who were given "split sentences," meaning they serve a portion of their sentence in jail and the remainder under mandatory supervision (MS) by county probation departments. These are individuals whose current and past offenses are non-serious, non-violent, and non-sexual. They are sentenced to MS under California Penal Code 1170(h), which defines a set of felonies that are no longer eligible for state prison sentences under Realignment.

CHANGES AFTER REALIGNMENT AND PROP 47

Under Realignment, new cases grew due to the added responsibility of managing individuals under PRCS and MS. This trend reversed following Prop 47, as the number of new felony and misdemeanor probation cases declined substantially. However, this meant realigned individuals with more serious offense histories began to make up a larger share of new probation cases.

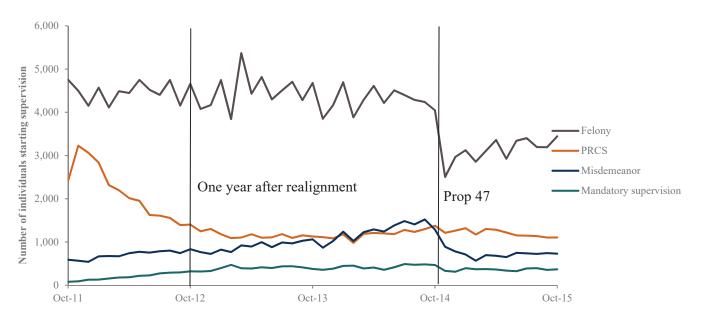
Overall, the population of individuals under probation supervision dropped by 3% within the quarter after Prop 47 was passed.



Figure 2 shows new probation cases from October 2011 to October 2015, including both the realigned segments of the probation caseloads—individuals on PRCS and MS—and the traditional felony and misdemeanor probationers. In the first year of Realignment, a high volume of PRCS cases streamed into probation departments in the 12 MCS counties, at an average rate of 2,183 per month or about 28.7% of all new probation starts.

Initially, this high volume reflected the fact that many of those under PRCS in the first year of Realignment were individuals released from prison after having had their parole revoked as opposed to being released for the first time on their current commitment. Because Realignment mandated that parolees and individuals on PRCS serve revocations in county jails, these supervision violators were no longer entering and exiting prison after

FIGURE 2 THE NUMBER OF INDIVIDUALS STARTING FELONY AND MISDEMEANOR PROBATION DECREASED AFTER PROP 47



SOURCE: Author calculations based on BSCC-PPIC Multi-County Study data (2011–2015).

NOTES: This table includes data from the following counties: Alameda, Contra Costa, Fresno, Humboldt, Kern, Los Angeles, Orange, Sacramento, San Bernardino, San Francisco, Shasta, and Stanislaus. Contra Costa, Kern, and Shasta Counties do not have data for misdemeanor cases.



having served short revocations. The result was that by one year into Realignment, the vast majority of releases to PRCS were individuals being released after serving court commitments rather than revocations. This explains why PRCS cases dropped and leveled off between October 2012 and October 2014, averaging 1,184 per month or about 16.8% of new probation starts.

Under Realignment, growth in MS caseloads occurred more gradually, since such cases result from new convictions and are structured to include time in jail. By October 2012, such cases entered supervision at a rate of 321 cases per month, or about 4.4% of all new probation cases (Figure 2). As state policy began to encourage split sentencing over time, the MS caseload increased. By October 2014, three years after the start of Realignment, new MS cases had increased to 467 cases per month, a 45.5% increase compared with two years earlier. After Prop 47 took effect in November 2014, the number of new MS cases declined. This drop may be the result of a decrease in enforcement for Prop 47 offenses, as a portion of the affected individuals would have been likely candidates for a split sentence (Bird, Tafoya, Grattet, & Nguyen, 2016).

Figure 2 shows that the number of felons starting probation was relatively

stable in the first three years after Realignment took effect, but their numbers declined after Prop 47. For a specific set of lower-level offenses, Prop 47 changed the charge level from a felony with a potential multi-year sentence to a misdemeanor with a maximum incarceration term of one year in jail. From the beginning of Realignment to the month before Prop 47 was passed, new felony probation cases in the MCS counties averaged 4,415 per month (61.4% of all new probation cases). In the year after Prop 47, new felony probation caseloads dropped to an average of 3,119 per month, and their share of all new probation cases declined to 57.6%. Somewhat surprisingly, however, misdemeanor probation starts also declined in the wake of Prop 47. These declines in both felony and misdemeanor caseloads suggest an overall reduction in enforcement over Prop 47 offenses.

PEOPLE UNDER PROBATION SUPERVISION OFTEN ENTER JAIL

In addition to having more serious offense histories, realigned individuals under probation supervision also have higher rates of returning to jail custody and higher rates of returning to jail multiple times within a year of starting supervision when compared to traditional felony and misdemeanor probationers.

Overall, a large share of individuals



under probation supervision are prone to engaging in behavior serious enough to result in a jail booking, and for many that behavior includes an allegation of a felony offense. Individuals on MS have the highest rate of felony bookings, whereas individuals on PRCS have the highest rate of supervision violations. These findings suggest that realigned offenders who were added to probation caseloads may be more challenging to manage compared to traditional probation caseloads.

The MCS data allow us to investigate the frequency at which people under supervision by probation departments enter jail (i.e., are booked into jail for an alleged crime or violation of their conditions of supervision) within their first year in the community. Additionally, booking data indicate the kinds of charges that brought the individual into custody. Because people can be on multiple caseloads, we classify individuals by their most serious caseload type, with PRCS classified as the most serious followed by MS, felony, and misdemeanor. Also, because bookings into jail can occur for multiple crimes or violations, we classify bookings based on the most serious crime or violation, as defined by the California Department of Justice (Tafoya, Bird, Nguyen, & Grattet, 2017).

Among those starting probation supervision between October 2011

and September 2014, 46.7% were subsequently booked into jail custody within one year. The realigned segments of the population have the highest rates of jail bookings, with 53.0% of the MS population and 50.7% of the PRCS population booked into jail within one year of starting probation (Table 1). While less than half of all people starting probation supervision were booked into jail during their first year of supervision, 27.5% were booked for felony offenses. Ten percent of individuals under felony probation supervision were booked for misdemeanors and 5.7% for supervision violations.

Table 1 further breaks down first jail bookings by charge level and charge type. The modal charge for all case types is a supervision violation (14.7%), followed by felony drug (10.9%) and felony property (8.9%) charges. However, there is quite a bit of variation across case types. Among the PRCS, 39.8% are booked into jail within one year for a supervision violation. Another 13.7% are booked for a flash incarceration. Flash incarceration, another tool introduced by Realignment, gives county probation departments an intermediate sanction for individuals on PRCS. Instead of revoking supervision or charging violators with new crimes, a department can sentence them to county jail for a short period, ranging from one to ten days. It appears probation officers



TABLE 1
INDIVIDUALS UNDER PROBATION SUPERVISION ARE MORE LIKELY TO BE
BOOKED FOR FELONIES THAN FOR OTHER OFFENSES

CASE TYPE

Charge level	Booking charge	AII	PRCS	MS	Felony	Misdemeanor
Misdemeanor	Supervision Violations	14.7%	39.8%	5.3%	6.6%	9.5%
	Flash Incarceration	3.3%	13.7%	0.1%	0.0%	0.0%
	Drug	2.5%	2.3%	2.9%	2.4%	3.8%
	Property	1.5%	1.0%	1.5%	1.4%	3.2%
	Persons	1.8%	1.5%	1.1%	1.3%	6.7%
	Other	3.9%	4.5%	2.4%	3.2%	7.8%
Felony	Drug	10.9%	5.5%	15.1%	12.5%	11.6%
	Property	8.9%	4.3%	21.0%	10.5%	4.4%
	Persons	4.6%	2.4%	2.0%	6.0%	2.1%
	Other	3.1%	1.9%	3.9%	3.8%	1.1%
	Infraction/Other	0.4%	0.5%	0.3%	0.4%	0.4%
Total Bookings		46.7%	<i>50.7</i> %	53.0%	44.8%	45.9%

SOURCE: Author calculations based on BSCC-PPIC Multi-County Study data (2011–2015).

NOTE: "Booking offense" refers to the most serious offense in the first jail booking for individuals under probation supervision, within the first year after starting supervision. Categories are based on the charge level of the most serious offense, which is determined by the rank of that offense in the California Department of Justice seriousness hierarchy. This table includes data from the following counties: Alameda, Contra Costa, Fresno, Humboldt, Kern, Los Angeles, Orange, Sacramento, San Bernardino, San Francisco, Shasta, and Stanislaus.

have embraced the use of this new tool. Among the MS cases, the modal booking is for a felony property crime (21.0%), although felony drug charges are also common (15.%). For both felony and misdemeanor cases, the most common types of booking charges are felony drug and felony property offenses. Not only

were jail entries common, but they also included a large share of the most serious kinds of offenses (i.e., felonies), with the exception of the PRCS, whose first arrest is most likely to be a supervision violation or a flash.



People under probation supervision often enter jail custody more than once in a given year. Among the full probation population, 20.4% were booked into jail two or more times, 9.3% were booked three or more times, and 4.4% were booked four or more times during their first year under supervision. Realigned individuals on MS or PRCS were more likely to have multiple bookings within a year. During the first year of supervision, 26.9% of the MS population and 26.7% of the PRCS population were booked two or more times, compared with 17.6% of felony probationers and 19.6% of misdemeanor probationers. These trends also hold for individuals who were booked more than two times during their first year of supervision.

CONCLUSIONS

Taken together, Realignment and Prop 47 have made marked changes in the overall population of offenders under probation supervision in California. Realignment added two types of offenders—those under post-release community supervision and those under MS—who were previously the responsibility of the state prison and parole system and who tended to be convicted of more serious offenses. In the three years following Realignment, these populations increased as a share of all new probation cases. Following the passage of Prop 47, new misdemeanor

and felony probation cases—the traditional purview of county probation departments—declined. As a result, the share of the total probation caseload under PRCS or MS rose relative to the traditional caseload types.

Once under supervision, realigned offenders on PRCS or MS were booked into jail more frequently than felony and misdemeanor probationers. Individuals on PRCS or MS were also more likely to be booked into jail multiple times within a year after starting supervision. These findings document a significant shift in the role of county jails and probation departments.

These findings indicate that probation is now responsible for a mix of more serious offenders and offenders that pose a higher risk to reoffend than traditional felony and misdemeanor caseloads. More serious offenders present challenges not because the seriousness of their offense predicts the likelihood of reoffending much research suggests that offenders with more serious current offenses often reoffend at lower rates than offenders with a less serious current offense—but because the public and policymakers see those offenders has "high stakes." When they do reoffend, they are more likely to generate negative attention and delegitimize the efforts of probation agencies, sometimes fueling a desire to



lengthen incarceration terms to enhance the system's incapacitation function.

Higher risk offenders also present challenges because they use more resources in the form of jail beds and because such offenders are the highest priority for evidence-based services and interventions. An increase in the volume of such offenders puts pressure on probation agencies to expand services and to monitor compliance with supervision guidelines. Implementing new or expanding existing service opportunities presents operational hurdles for probation agencies in terms of siting, staffing, and finding the appropriate services for the character of the supervised population, which can vary across localities.

PPIC is continuing to incorporate additional data sources in order to go beyond tracking how probation populations are changing. In particular, we have linked data on people under probation supervision to state arrest and conviction data to provide uniform recidivism reporting for the counties in the MCS project. Most probation agencies in the state either did not gather and report recidivism statistics or did so in a limited way that lacked uniformity across counties. Linking to state data sources allows us to track rearrests and reconvictions anywhere in the state, not just in the county where an individual is under supervision. Also,

because the project links state and local data, we are able to track when offenders return to custody in state prison or in any jail in the 12 counties. Together these features enable the use of a wider range of recidivism measures (ranging from rearrest to reconviction to return to custody), the use of varied observation windows (e.g., one, two, or three years), and the ability to decompose recidivism by type of offense or violation and level of seriousness.

We are also continuing to incorporate data on services and sanctions with the data obtained thus far. With resources from SB 678 and Realignment, counties have expanded or created new reentry opportunities, often in the form of day reporting centers. These "one-stop" centers allow people under supervision to access job training, education, life skills, and other kinds of programs that aim to reduce recidivism. However, counties have little capacity to link recidivism outcomes to the kinds of services offenders receive and therefore are unable to determine whether services are, in fact, reducing recidivism.

The same is true of the new sanctioning tools, like flash incarceration, that probation agencies are now able to use. Flash incarceration was included in Realignment partly as a result of research supporting its effectiveness in managing



offenders in Hawaii's Project Hope (Hawkins & Kleimann 2009). Subsequent research has provided less support for the approach (Cullen, Manchak, & Duriez, 2014; Lattimore, MacKenzie, Zajac, Dawes, Arsenault, & Tueller 2016; O'Connell, Brent, & Visher 2016). As we showed above, probation agencies in California are using flash incarceration at a high rate to manage offenders. Because the MCS project is also tracking services and sanctions received by people on probation, the project will help the state shed light on performance of community correctional institutions in ways that have not previously been possible.

ENDNOTES

- 1 The Chief Probation Officers of California (2015) also collected data to track caseload changes resulting from the implementation of realignment during from 2011 to 2015, but these efforts were then discontinued.
- 2 PPIC is not funded by any state agency to do this work; however, it has received partial support from the National Institute of Justice, the California Endowment, the California Wellness Foundation, the Robert Wood Johnson Foundation, and the Russell Sage Foundation to carry out analysis of the resulting data.
- 3 Previously, individuals sentenced to one year or more were eligible to be sent to state prison and subsequently released to state parole. Under realignment, they are required to serve these sentences locally. Prior PPIC research has shown that the use of split sentences has increased slowly over time, with variation across counties (Martin and Grattet 2015).
- 4 Realignment also capped the maximum

- return time for revocations to 180 days. Prior to realignment, people revoked for parole violations could be returned to custody for up to one year.
- 5 One contributing factor may have been a reluctance among local courts in giving split sentences in the early phase of Realignment. In 2015, in response to the low utilization of split sentences in some counties, the legislature approved a measure that defined split sentences as the presumptive sentence in eligible cases (Martin and Grattet 2015). As of January 1, 2015, split sentences are now the presumptive sentence under Penal Code §1170(h). Thus, in the period after our data these numbers should be expected to rise as well as change in composition toward more serious offenders.
- 6 Felony probationers also have a high rate of being booked for a felony offense (32.8%), which suggests that probation departments face considerable challenges with their traditional caseloads as well.
- 7 For those with multiple jail bookings, we use the first booking during the one-year period.

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onducting studies of big ticket concerns, such as understanding evidence-based practice (EBP) reforms, aspects of organizational climate/culture, or extent of staff adherence to mandated policies and practices, is critically important to improving the probation and parole experience. Interestingly, though, how we do these studies—rather than what we study—may hold the most value for moving organizations forward and improving staff and client performance and outcomes. The benefits of using optimal methodologies for gathering data are not just for researchers.

When probation/parole administrators and managers want to dig deep and really understand what is going on in their offices and within their broader communities, they may find that utilizing large-scale, quantitative study designs (i.e., surveys) will rarely uncover microlevel issues and challenges in ways that provide answers to their most pressing questions and concerns. Understanding the rich, contextual nuances of all the managers, staff, clients, and other components that make up a community corrections organization requires an indepth examination of social processes and interactions often missed by Likert scales and standard interview questionnaires.

A significant difficulty with regard to initiating research is that community corrections agencies face daily unpredictability, tight deadlines, scarce resources, and the need to balance multiple goals (i.e., rehabilitation, retribution, incapacitation and deterrence), so these agencies often do not know how to embark on the process of effective data gathering, either on their own or with outside researchers. Even if they pursue a research pathway, figuring out how to interpret, use, and/or disseminate the data from such studies can present a new set of challenges. This article outlines and discusses three interrelated processes involved in collecting, analyzing, and using data to improve community corrections agencies that may open the door to getting research started. These are (a) researcher-practitioner partnerships, (b) researcher-led studies in community corrections, and (c) practitioner-led studies in community corrections.

RESEARCH-PRACTITIONER PARTNERSHIPS

Perhaps the most important piece of the research equation in community corrections is the solidifying of a researcher-practitioner partnership. Such mutually beneficial relationships, which hinge on access, will thrive using four interrelated strategies: (1) collaborative goal setting and planning, (2) continuous and iterative feedback



loops, (3) written agreements, and (4) relationship maintenance (Rudes, Viglione, Lerch, Porter, & Taxman, 2014). These contiguous processes—all dependent upon open communication—help form a trusting and lasting relationship between researchers and practitioners working toward both individual and shared goals. While it is possible that both researchers and practitioners have felt burned or used by each other in the past, open communication and continual joint reflection about the partnership can develop and sustain the relationship and reap incredible rewards. Together with their researcher partners, probation practitioners have a real chance at adopting, implementing, and sustaining reformed practices and programs to improve outcomes. For their part, working together with practitioner partners gives researchers a real chance to produce research of consequence.

One example of a partnership like this was established several years ago between a Department of Corrections (DOC) and the Center for Advancing Correctional Excellence (ACE!) at George Mason University. Following organizational changes at the top of this DOC, the director began looking for ways to improve the use of EBPs inside its community corrections units, quickly realizing that so many new practices and programs were being implemented that the staff members

were a bit overwhelmed. The DOC called on George Mason University to help study this problem. The primary goal was to ascertain how probation officers (POs) understood and used the many reform initiatives—some of which were evidence-based, some evidence-informed, and some just thoughtful reforms.

After several meetings and a memorandum of understanding, a team of ACE! researchers began qualitative data collection within two probation/parole units in the state by observing and talking with probation/parole supervisors and officers. This information was being specifically obtained at the request of and for the DOC, but at the same time the open access to probation offices and staff provided the ACE! researchers an unprecedented view of work routines, perceptions, and behaviors regarding use of various static and revised/ reformed probation practices. The data collected during this fieldwork answered many existing DOC questions and gave ACE! researchers ideas for important new avenues of research. Researchers began considering new ways of thinking about how probation managers/supervisors and officers adopted, implemented, and sustained (or not) program and practice reforms. The researcher-practitioner partnership continued and had led to further collaboration, training, and research.



RESEARCHER-LED STUDIES WITHIN COMMUNITY CORRECTIONS AGENCIES

During the initial partnership described above. ACE! researchers noticed fascinating themes regarding the ways POs used the agency's new risk/needs assessment tool, and they wanted to explore this further. Specifically, during data analysis researchers found that POs understood and used the relatively new risk/needs assessment tool in a variety of ways. The agency had paid a large sum to purchase a validated and evidence-based tool and to train officers on its use, yet they were not seeing significant improvements in case planning or probation outcomes. This was perplexing, given there was an agencywide mandate that all POs use the tool with every probationer on their caseloads. The in-depth, qualitative data obtained while studying implementation issues revealed POs were technically "using" the tool 100% of the time, as directed by their employer, but 99% of the time they did so in ways misaligned with their training on the tool (Viglione, Rudes, & Taxman, 2015). Probation officers received training that instructed them to complete the riskneed assessment tool with probationers and subsequently use the results as a framework for a comprehensive case plan. However, many POs were filling it out without the probationer present, were asking the probationers to fill it

out themselves, and/or were only filling out parts of the tool. They then tucked it into the probation case file to show compliance with its mandated use, but they did not return to it again for their actual case planning.

The ACE! analysis revealed two narratives that explained why this was occurring. The first was that POs largely mistrusted the tool's results. The second was that they did not understand how to use it properly. They also tended to use certain parts of the tool most often despite research evidence suggesting that some factors they were focusing on had a lesser likelihood of reducing recidivism.

The researchers went on to write up their research-based findings in clear language, without academic jargon, and presented it to various DOC administrators. Armed with this information, the DOC made the decision to move beyond simply requiring the instrument's use. They began a series of advanced training programs, meetings, workshops, and booster sessions to improve the ways in which POs used the tool.

PRACTITIONER-LED STUDIES IN COMMUNITY CORRECTIONS

The above experience helped DOC managers to realize that they needed assistance to explore and utilize data



in unconventional ways. Several years later, the same DOC came to their ACE! Research partners with a new, but related, challenge. This time they wanted to improve the implementation of EBPs by educating their training managers on current research evidence, on new ways of collecting data from staff using EBPs, and on how to infuse evidence with data to improve practice. After many meetings and discussions with the DOC, ACE! researchers set to work designing a custom-built, 10-module training package that specifically taught the manager group how to understand and implement EBPs in their agency. The training included five intensive two-day classes that used an implementation science framework to inform the training managers about what constitutes evidence and how to understand scholarly methods, statistics, and research design. (For more on using implementation science in community corrections see Taxman and Belenko, 2011.) The goal was to enable probation training managers to begin assessing evidence, or lack thereof, for themselves without the immediate assistance of outside research consultants.

To further develop the skills of the managers, the modules were designed to teach how to improve adoption, adaptation, implementation, and sustainability of practices while paying particularly close attention to inner (i.e.,

culture, communication) and outer (i.e., partners, political climate) factors affecting their agency. In addition to the in-person training sessions, the managers completed homework that included reading and listening to ACE!-created podcasts of academic research articles, with the goal of making jargon-laden scientific studies understandable and assessable to practitioners, thereby increasing their own knowledge base and helping them train their staff. They learned how to collect qualitative data in their offices to help them understand the culture/ climate within their units—and analyzed existing quantitative data within their units. Throughout the process the ACE! team partnered with the DOC managers to provide help both during and after class time, so the managers never felt alone or frustrated with the detailed level of learning they were undertaking. During these contacts, training managers often took the initiative to report data from which their own units to ACE! researchers, and ACE! researchers provided guiding questions to help managers consider new ways to interpret their data.

During the final two modules of the implementation training, the ACE! personnel used actual DOC data to show managers other ways to consider how to better capture and analyze their existing agency data to improve practices and outcomes at their individual units. For



the agency overall, DOC staff are now completing a final homework project that asks them to put the training to use in a way that will benefit their agency and solidify their learning. For example, the DOC uses a systematic process of observing PO contacts with clients and includes a supervisor or coach grading the contact based upon a Likert rating of the officer's proficiency in a number of skills. Officers must be observed multiple times to assess both proficiency of skill and consistency of use. Table 1 presents the type of data the DOC collects during these observations. The table includes component scores, the mean performance score per contact, and the mean performance score across contacts.

TABLE 1EXAMPLE PROBATION OFFICER CONTACT SCORES VIA OBSERVATIONS

Contact Skill: Working Relationship	Ob. 1 Score	Ob. 2 Score	Ob. 3 Score
Use of affirmations during contact	3	2	3
Responds appropriately to probationer ambivalence	2	2	2
Expresses empathy for probationer's situation	3	2	2
Observation Mean	2.67	2.0	2.33
Total Skill Observations		3	
Mean Score Across Observations (SD)	2.33 (0.335)		

After the initial training on how to interpret these scores and use them in practice, ACE! researchers created a guidebook based on questions received during training. The guidebook helped training managers educate district chiefs on how to interpret data and use it for directive and purposive coaching of line officers. For example, the following passage from the guidebook was included to explain the above table:

The mean score of Observation one is 2.67, the mean score of Observation two is 2.0 and the mean score of Observation three is 2.33. These numbers are calculated by taking the averages of all the subparts of using the skill of "Working Relationship." As you can see, there were three scored observations, as denoted by "# of observations



using skill." That means that the average score presented represents the average score of the three observations, or the average of the averages ([2.67+2.0+2.33]/2). In this example, the standard deviation (SD = .335) is moderately sized, given that the proficiency range is between zero and three. However, the overall mean is above the satisfactory mark of 2.0. This indicates that the officer is consistently performing at or above the satisfactory mark. That's great! You may need to assess if this is true for this officer across skills. If you notice that many officers are struggling with a particular skill, you may want to consider a few things: (1) Are supervisors grading the skill the same? That is, is the data a result of a deficiency skill or inadequate grading? (2) What do the officers struggling on the skill have in common? Are they all assigned to a specific supervisor, coach, unit, office task? Were they all observed at a specific time of the day or during a particularly busy season within the month? How might these conditions compete with the skill/staff performance (Taxman, Rudes, Magnuson, Thurman, & Meyer, 2017)?

In this way, the practitioners become skillful researchers in their own right. They improve uptake and fidelity of evidence-based and evidence-informed practice within their units, while relying on existing robust scholarship and their own internal data analysis to make informed decisions for continued training for their staff. As the practitioner becomes the researcher, the researchers do not remove themselves from the partnership. Rather, the ACE! researchers have been continually following up with and assisting the DOC managers throughout the process—pushing them to consider new and important research questions as they learn more about how their agency and officers implement reform. Likewise, the DOC practitioner partner has been continually following up with ACE! researchers to make sure the scholars fully understand their agency's culture, change readiness, and implementation challenges. This solidifies the give/take partnership so that both partners see value in and feel valued by the other.

DATA PARTNERSHIPS THAT MATTER

Long gone are the days when researchers enter a research site, collect data, leave, and later go on to publish in academic journals for other scholars to read and debate. Long gone are the days when practitioners such as probation and parole managers and officers would implement reforms without asking key questions about why the reforms are needed, how they work, and how a new program or practice fits into their existing internal and external environment. Yet, despite establishing a mutually beneficial and progressive partnership, it is not enough for researchers and practitioners to simply "partner" as they have in the past. The partnerships presented here are fluid, innovative, and continual. They do not examine critical research questions, study them, publish,



and then move on to the next grantor's request for proposals. Instead, the aim is to create research of consequence and to implement programs and practices that yield measurable behavioral change. To do so, researchers must dig deep and study not only what is occurring but must also conduct studies that answer the more difficult "why" and "how" questions. Likewise, practitioners must work with researchers to answer key questions about both what they are implementing and what they perceive as the key barriers to and facilitators of the implementation process. Just as importantly, they must be willing to consider key questions they do not even yet know they must ask. It is not us-versus-them. It is not us-or-them. It is just us—the community of those who are concerned and passionate about advancing correctional excellence for the good of correctional staff/managers, scholars/researchers, criminally involved societal members and the broader communities we all call home.

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he Virginia Department of
Corrections recognizes the critical
need for accurate, current data
when making agency decisions,
evaluating agency procedures and
programs, and enhancing employee
satisfaction and professional growth.
While the use of data has always been
the cornerstone for agency forecasting
and evaluation of operational procedures
and programs, we have come to place a
greater emphasis on using data for staff
performance and routine problem solving
across all levels of the agency.

One key area where we have expanded the utilization of data in decision-making is in the implementation of evidence-based practices in community corrections. After completing the SOARING2 eLearning course on evidence-based correctional practices (Center for Advancing Correctional Excellence!, 2011), supervisors periodically observe their staff during routine client contacts and rate their performance using skills learned in the course. Data from these observations are compiled quarterly, analyzed across various levels (i.e., individual staff, supervisory coaching, and district), and then reviewed by supervisors to identify areas of strength and potential improvement. Supervisors can then use the data to select a specific issue to address using a Plan-Do-Study-Act (PDSA) rapid cycle change process (Deming, 1982). Since one component of this process involves gathering additional data to measure the outcome of the identified solution, the PDSA cycle is

planned to coincide with the availability of the quarterly data compiled from staff observations. This process of collecting and examining data helps ensure that any ongoing barriers to effective implementation are identified and addressed through PDSA, with cyclical use of future observations to measure success.

One of the most significant benefits of gathering and analyzing data in this manner is the insight it provides supervisors related to both staff performance and the effectiveness of local procedures. Supervisors now have a more accurate understanding of staff proficiency. They are also empowered to identify and implement local solutions to improve their daily operations and, ultimately, to improve client outcomes.

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e know that racial and ethnic disparities pervade the juvenile justice system. Across all 50 states, without exception, the youth in our system are disproportionately black or brown (Rovner, 2016). Of course, these youths don't supernaturally appear in our juvenile detention centers and prisons. Among the many causes for this unfortunate imbalance is an important factor that is too rarely recognized or deliberated, which is that their disproportionate presence in the system is directly connected to the practices of the probation agents to whom they report. Whether juvenile offenders remain in their homes, get a monitoring bracelet, or are locked up; whether they get suitable chemical or mental health treatment or are left with unmet needs; and whether they end up with a criminal record that stands in the way of them getting jobs or housing and potentially makes them ineligible to vote—all of these outcomes are greatly affected by probation recommendations. Assessments and decisions in the probation setting greatly contribute to the disparities in numbers of incarcerated youth of color in juvenile detention centers as well as prison populations. I would know. Full disclosure: I am a white middle class female, probation agent.

The likelihood of success for youth of color is tortuously dependent on the

attitudes, orientations, and practices of the probation agents working with them. Unfortunately, much like the cultural intricacies found in law enforcement, probation offices operate under a passive but stinging work culture that impacts youth of color. The predominantly white, middle class orientation of those in the field is not hard to detect and should not be ignored, as it produces a workplace culture that promotes a potentially damaging colorblindness. This seeps into the highly-touted evidence-based practices, the underpinning of much probation work.

One of the foundational pieces of this evidence-based work we perform is the Risk-Need-Responsivity model of Andrews and Bonta (2010). The premise is simple: match people with services that are relevant and appropriate to them. Programs that successfully match with a youth's responsivity considerations (gender, cognitive ability, race) impact the likelihood of such individuals to engage in powerful change that can improve their lives and rid them of behaviors that have caused problems for them. Unfortunately, when race enters the picture it is too often the case that workplace culture trumps evidence-based practice. Despite all that we know about matching service to client, we still do not sufficiently consider race in responsivity.



I would argue that a line has been drawn in the sand—a line drawn by white working culture—that those who want to take race into consideration in making probation decisions cannot cross. After staffing hundreds of cases with countless probation agents, I can count on one hand the times race was seriously regarded as a responsivity factor for services.

Considering race when matching services with youth can be a risky action in probation culture. Indeed, for a probation officer to bring race to the table and discuss its impact on a youth's situation in a case staffing, case planning, or service matching can violate an implicit work culture taboo. In consciously and openly raising this subject—and hence made it clear that you see race—you might be identified as a racist by many





predominantly conservative, white, middle class professionals whose socialized foundation in regard to racial matters is rooted in the "Age of Colorblindness" (Alexander, 2012). Your actions could mean ostracism for caring too much about a client or even being viewed as "siding" with the client. Your positions may be seen as a threat to whiteness by raising the unwelcome possibility that a white person/provider may not be the most effective person to work with a youth of color on a certain matter. One can also be pigeonholed and perceived within one's own department as soft or, even worse, as catering to an offender. And in many probation circles, that means you're out.

Here's an example of how a scenario like this can arise. Early in my career, one young man I worked with was ordered to enter a chemical dependency treatment program as part of his probation. This young man struggled for the entirety of the program. He would be sanctioned for non-engagement. He would get behavior infractions for telling counselors they didn't understand him. He would repeatedly fail to meet staff expectations when completing assignments. He ended up pleading with me to work with him to find something else he could do instead of the program. In a telephone call where we discussed his behavior, he said to me, "Lindsay, they just don't get it. They don't

get how I talk, they don't get my family, and they don't get black people. I can't make it here."

He was right. He couldn't succeed there. His responsivity wasn't matched. As policy dictated, I staffed the case with co-workers, and one difficulty became immediately clear: The culture of probation in my office would not allow race to be a responsivity consideration. This distressed young man's remarks were simply dismissed as an "excuse" for his poor behavior. Race was certainly not a responsivity issue, and this was just something he would have to deal with. The consensus was that we would simply tell him to "pull it together" enough to get through and complete the program.

Had it been a female calling to say she was uncomfortable because she was the only female in a group of all male staff and all male peers in an all-male city, I wonder how we would have responded. Differently, I suppose. We are culturally comfortable with gender responsivity, but when the variable is race, we shut it down.

What was the result of this young man's continued placement at the all-white, rural treatment center we sent him to? He was kicked out of the program for insubordination and failure to meet the treatment standards set out by the staff. That expulsion set the wheels of the justice



system in motion. He faced automatic arrest for violation of probation conditions, with subsequent incarceration while awaiting the next steps. Our culture's failure to work with race as responsivity perpetuated his presence in the justice system.

This case is not an anomaly, as the attitudes that contributed to that particular probation failure are a foundation of probation culture. They influence our work daily in various ways, ranging from biases in conversations between agents, to the way reports are written, to our perceptions and behavior when sitting face-to-face with our clients or carrying out home visits. They can be seen in our unwillingness to courageously face implicit bias as reality despite the overwhelming body of research showing its presence in our world. Without challenge and disruption, the perpetuation of black and brown youth disproportionate incarceration thrives in the hands of probation professionals when we fail to do what works for them.

Ignorance of the power of probation work culture and its orientation toward race should no longer be allowed to continue when we enter into conversations regarding racial and ethnic gaps in our justice system. The impact that probation agents have on youth of

color must be explored with as much vigor as other areas of disparity such as sentencing policy and policing practices. The probation limb of the justice system should not tout its pride in adoption of evidence-based practices while refusing to acknowledge the pervasiveness of a work culture that taints such practices and fails to afford black and brown youth the same quality opportunities for rehabilitation and success that their white counterparts receive.

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ABOUT THE AUTHOR

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he Diversity Committee held a very interesting and productive meeting during the APPA Annual Training Institute in New York City this past August. Our conversation primarily focused on how the committee can be most constructive in assisting APPA's members and the greater field of community corrections in addressing issues related to diversity and equity.

We decided to work on accomplishing four goals pertaining to diversity that we believe will benefit our field: (1) Write a position paper on diversity in community supervision and how to identify. understand, and redress racial and ethnic disparities; (2) assess and recommend diversity-related training sessions to include in APPA training institutes; (3) develop a library of resources on topics related to diversity and equity, including but not limited to training curricula and videos, for use in our respective jurisdictions; and (4) research and share best practices in hiring and retaining a diverse workforce.

Another topic of discussion was making a formal recommendation to the APPA Board of Directors for our association to consider whether jurisdictions have discriminatory laws or policies before selecting locations for training institutes. We also explored ways to increase committee membership and encourage younger generations of community corrections professionals to participate in our committee.

We certainly welcome any interested APPA members to join us on the Diversity Committee and to attend our meetings. Our work and outreach are important. The next meeting will be at the 2018 Winter Training Institute in Houston. We will share the specific date and time as it draws near.

ABOUT THE AUTHOR

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INTERNATIONAL CORRECTIONS AND PRISONS ASSOCIATION (ICPA)

ounded in 1998, the International Corrections and Prisons Association (ICPA) represents a membership based in over 120 countries around the world. We invite all individuals and agencies involved in the related fields of justice to take a closer look at ICPA and get involved in advancing professional corrections. ICPA was formed to operate as a support for corrections and prison professionals and it is dedicated to improving global understanding and professionalism. It provides an inclusive, safe, and secure forum for the respectful exchange of ideas, technology, and best practices in the field of corrections. ICPA is a non-governmental organization in Special Consultative Status with the **Economic and Social Council of the United** Nations (ECOSOC).

ICPA's mission is to promote and share ethical and effective correctional practices in prisons and outside communities to enhance public safety and healthier communities. Its objectives are to maintain an innovative, learning organization for supporting and disseminating good practices; to enhance cooperation between regions, countries, and public, private, and voluntary sectors involved in corrections and prisons; to develop and promote policies and standards for professional and humane corrections and prisons; and to inform governments, policy makers, and the public regarding humane and effective correctional policies and assist in their implementation.

Last year, recognizing the close alignment between the goals of our two organizations, the APPA and ICPA signed a partnership agreement. APPA and ICPA will work together to disseminate materials and publicity within our respective networks, share relevant articles and documents, and raise awareness of our respective associations. As the

Executive Director of ICPA, I was pleased to join the APPA International Relations Committee and attended interesting meetings at both Institutes in 2017. Hopefully, APPA will be able to participate at one of our forthcoming conferences.

The ICPA holds a general meeting at its annual conference, at which time the membership body exercises voting privileges on business matters. The ICPA's annual conference is the largest international gathering of correctional professionals and practitioners of its kind, attracting in the region of 450+ attendees from over 60 countries. Comprising six days of activities, you can attend a wide range of plenary sessions, parallel workshop sessions, and roundtable discussions covering relevant topics across the correctional spectrum. We also provide a modest exhibition space for exploring the latest technologies, innovations, and services, and several evening activities are offered to create a stimulating networking environment. We wrap up with some insightful prison visits courtesy of our local host country.

This year our 19th annual conference was held in London, United Kingdom on October 22-27. Our host was Her Majesty's Prison and Probation Service, and the theme was "Innovation in Rehabilitation: Building Better Futures." Our conference agenda reflected a strong focus on contemporary approaches, ideas, and technologies in relation to the rehabilitation of offenders and their

reintegration into the community, with presentations that addressed:

Inspiring and empowering people to try new ideas, approaches, and technologies;

- Evaluating innovative programs to understand impacts and determine broader applications;
- Applying change management models in both community-based and physically secure or staff secure custodial settings;
- Building supportive partnerships to deliver effective and combined services;
- Regarding innovation as a longterm strategy rather than a shortterm fix;
- Looking at other sectors as a source of inspiration to develop creative solutions to operational challenges;
- Sharing experiences of what worked and what didn't work well, in the development of new projects/pilots;
- Adopting a continuous improvement approach across all programs and services;
- Developing a culture where rehabilitation is at the heart of relevant decision making;
- Developing offender-centred programs and services; and
- Using innovative alternative ways of delivering sentences of the court.

This wide variety of presentations on the agenda was typical for ICPA's annual conferences, and they attract participants from a variety of sectors, including government representatives, public sector heads of service, Ministry of Justice policy-makers, senior practitioners and department heads. They also attract psychologists, sociologists, healthcare professionals, researchers, and security and operations experts, to name a few. Private sector representatives attend on behalf of major service providers, technology and security industries, database and software engineering, etc. and these representatives include CEOs, CIOs, industry entrepreneurs, and experts from various fields. Academics from criminology and research departments

also attend and present their work.
Furthermore, conferences attract many key personnel from nongovernmental organizations, non-profit associations, and third sector/charitable organizations.

To find out more about the ICPA and our annual conference, please visit our website at www.icpa.ca.

ABOUT THE AUTHOR

MICHELLE CARPENTIER started her career as a Correctional Officer in 1984. Over her years with the Correctional Service Canada, she held various positions from frontline to executive at a senior management level. She was also seconded to a United Nations Peacekeeping Mission in Haiti for 20 months as a Senior Correctional Advisor. Since 2016, she has been ICPA'S Executive Director, working with the Board of Directors and its members in advancing professional and humane prisons and corrections worldwide. She can be reached at michellecarpentier@icpa.ca.

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