

CONSIDERING CONSOLIDATION:  
THE NEBRASKA PROBATION AND PAROLE  
SERVICES STUDY

A final report prepared by the Vera Institute of Justice  
for the Nebraska Community Corrections Council

Reagan Daly, Ph.D.  
Maggie Peck

Vera Institute of Justice  
December 31, 2007

Founded in 1961, the Vera Institute of Justice is a private nonprofit organization that combines expertise in research, demonstration projects, and technical assistance to help leaders in government and civil society improve the systems people rely on for justice and safety. For more information, visit: [www.vera.org](http://www.vera.org).

## Executive Summary

Passed in 2007, LB 540 commissioned a study to review the effectiveness, efficiency, and responsiveness of the state's current assignment of probation and parole services delivery. A primary purpose of LB 540 was to advance the debate about whether probation and parole services in Nebraska should be consolidated under one agency for administrative purposes.

LB 540 provides for exploration into the following issues:

1. A comparative analysis of other states' probation and parole administrative systems to include, but not be limited to, issues relating to personnel salary and benefits structures, hiring standards, officer caseloads, and officer training curriculum.
2. Identification of areas of overlap in offender services provided by probation and parole administrations and assessment of the potential for coordination of state-sponsored services and resources which assist in offender rehabilitation.
3. An assessment of the optimum methods for delivery of a seamless continuum of offender services within the current probation and parole systems and analyze whether a single system would be to the advantage of state government and offenders.

In September 2007, the Nebraska Community Corrections Council (the Council) contracted with the Vera Institute of Justice (Vera) to carry out the study. This report summarizes our findings and recommendations. In brief, this study found that:

- Not one of the 31 states that have merged probation and parole services into one agency has consolidated under the judicial branch;
- The parole and probation populations in Nebraska are similar with regard to demographic characteristics, but they differ considerably in terms of scope: the adult probation population is more than 15 times larger than the parole population (18,557 vs. 982 at mid-year 2007), and probation employs more than 12 times as many officers (243 vs. 20);
- Currently, probation and parole coordinate drug treatment and evaluation services through Specialized Substance Abuse Supervision and the fee-for-service voucher program, despite the independent administrative structures;
- A substantial number of the stakeholders we interviewed during the study period were strongly opposed to consolidation, while only one was strongly in favor of consolidation; and
- Consolidation of probation and parole services may be premature at this time.

In the first section of the report, we discuss the background of probation, parole, and past attempts at consolidation in Nebraska, while the second section contains an outline of the methodology used in this study. The next three sections present the results of our

analysis, beginning with the national comparison of consolidated states, followed by the overlap analysis and the qualitative assessment of advantages and disadvantages of consolidation. Then we present recommendations, and the last section contains our final conclusions.

## Acknowledgments

We would like to thank the following individuals for their assistance in conducting this study:

Senator Bill Avery  
Ellen Fabian-Brokofsky  
Mike Dunkle  
Dr. Dall Forsythe  
Becki Hickman  
Robert Houston  
Patricia Langer  
Jim McKenzie  
Deb Minardi  
Sara Mogulescu  
Parole and Probation Chiefs  
Christine Salvatore  
Larry Wayne  
David Wegner  
Neil Weiner  
Dan Wilhelm

We would also like to thank the judges, legislators, and line staff who participated in the interviews and focus groups as a part of this evaluation.

## Table of Contents

Background.....	1
Methodology.....	2
National Comparison of Consolidated States.....	5
Overlap Analysis of Probation and Parole.....	9
Advantages and Disadvantages of Consolidation.....	17
Recommendations: Considerations for Consolidation in Nebraska.....	22
Conclusion.....	24

## List of Figures and Appendices

Figure 1: Adult Probation and Parole Admissions, FY 2007.....	10
Figure 2: Probation and Parole Admissions, by Gender.....	11
Figure 3: Probation and Parole Admissions, by Race.....	11
Figure 4: Probation and Parole Admissions, by Supervision Area.....	12
Figure 5: Mean Age at Admission (in years), Probation and Parole Admissions.....	13
Figure 6: Probation and Parole Adult Supervision Population, FY 2007.....	14
Figure 7: Average Caseload Size for Probation and Parole Officers.....	14
Figure 8: Average Length of Supervision, in Months, Probation and Parole.....	15
Figure 9: Number of Officers, Probation and Parole.....	15
Figure 10: Vouchers as a Percentage of Total Admissions, Probation and Parole.....	16
Appendix 1: Nebraska Probation Districts.....	26
Appendix 2: Nebraska Parole Office Locations.....	27
Appendix 3: Catalog of Consolidated States.....	28
Appendix 4: Research Design Summary Table.....	29
Appendix 5: Average Monthly Percentages of Day Reporting Center Clients Using Selected Services, by County, 2007.....	30
Appendix 6: Background Information on the Office of Probation Administration and the Adult Parole Administration.....	31
Appendix 7: County Probation Expenditures.....	32

## Background

In Nebraska, the administration of probation and parole currently falls under two different branches of government. Probation is housed under the Supreme Court in the judicial branch. The Office of Probation Administration (OPA) operates local probation offices in 15 districts, each supervised by a chief officer, and six intensive supervision probation (ISP) regions, each supervised by an ISP coordinator.<sup>1</sup> OPA is currently in the process of merging ISP regions into standard supervision districts so that every district has an intensive supervision capacity. This restructuring is part of a new model of “responsive supervision” that also includes redistributing caseloads by risk level. Under the new model, each officer will manage cases with a similar risk level, and caseloads will become smaller as risk level increases. This new model is set to be implemented by January 2008.

The large majority of probation officers supervise juveniles in addition to adults. Only three districts contain counties with a separate juvenile court (Douglas, Sarpy, and Lancaster). In these three counties, juveniles are managed by separate officers, but in the remaining counties supervision of juveniles and adults is combined.

The OPA has recently moved in the direction of evidence-based practices (EBP). In 2006, it piloted the Specialized Substance Abuse Supervision Program (SSAS), which provides felony drug offenders who are either headed for or released from prison the opportunity to address their substance abuse addictions while gaining skills needed to become productive citizens in their communities. In the last two years, OPA has also established a Standardized Model for the Delivery of Substance Abuse Services and implemented a fee-for-service voucher program. The standardized model of substance abuse services sets up standards for screening, assessment, evaluation, and levels of care for offenders with substance abuse problems. The model is intended for use with all offenders, but it is required for all offenders convicted of a felony drug offense or charged with a felony drug offense under a specialty court. The voucher program, in turn, provides access to drug treatment and evaluation services for offenders who otherwise would not be able to pay for them by paying registered providers through legislative funds and offender fees.

The Adult Parole Administration is part of the Department of Correctional Services (DCS) in the executive branch. Parole services are administered through seven offices—two district offices (Lincoln and Omaha) and five regional offices.<sup>2</sup> Each of the regional offices falls under the authority of one of the two district offices, which are supervised by a chief parole officer. There are no chief parole officers in the regional offices—all parole officers are directly supervised by the district chief.

---

<sup>1</sup> See Appendix 1 for a map of probation districts.

<sup>2</sup> See Appendix 2 for a map of parole office locations.

Parolees have access to both SSAS and the fee-for-service voucher program. All other parole services are offered through private providers and must be paid for by the offender.

Nebraska has tried to pass legislation mandating a merger multiple times in previous legislative sessions. During the 2005 legislative session, for example, LB 747 was introduced which called for the merger of probation and parole under a new executive branch agency called the Department of Probation and Parole Services, but the bill died in committee. Currently, a similar bill that mandates a merger, but this time under the Department of Correctional Services, is before the legislature and is being held in committee, awaiting the second session of the biennium to begin.

## Methodology

Vera researchers relied on quantitative and qualitative methods, as well as information gathering, to conduct the analyses required by LB 540.<sup>3</sup> This three-pronged methodological approach allowed us to study the issues as thoroughly as possible given the expedited nature of the study and the predetermined legislative timeline.

### **Fifty State Analysis**

Vera researchers conducted a comprehensive review of the 50 states to identify key themes among consolidated and non-consolidated systems. Because only a few consolidated jurisdictions have systematically assessed the impact or effectiveness of merging probation and parole, this review is based primarily (1) a statutory review of legislation that required a merger of field services; (2) interviews with select agency heads within consolidated systems; and (3) reviews of annual reports for consolidated and non-consolidated state agencies and other relevant publications. Additionally, to gain greater insight into the organizational issues and obstacles involved in merging probation and parole, we reviewed two evaluations that were available—one on North Carolina, an example of a state that has succeeded in merging probation and parole, and one on Kansas, an example of a state that has failed to consolidate several times.

### **Quantitative Analysis**

To explore areas of overlap in service delivery to probationers and parolees and characteristics of the two populations, we conducted a quantitative analysis that focused on (1) overlap in demographic characteristics of each population; (2) overlap in the scope

---

<sup>3</sup> LB 540 also mandated an assessment of the service needs of juveniles on probation, their access to services, and the appropriate minimum array of services to be available for juveniles on probation throughout the state. Parties agreed to omit this aspect from the study due to time and resource constraints.

of each administration; and (3) overlap in the delivery of state-sponsored drug treatment and evaluation services.

We began this analysis by requesting administrative data for FY 2007 from both probation and parole, as well as administrative data on vouchers distributed for drug treatment and evaluation services. The first two datasets include admissions between July 1, 2006, and June 30, 2007, while the third includes vouchers distributed to probationers and parolees for drug treatment and evaluation during the same time period. Voucher data are broken down by district and funding source. We also requested quantitative data from each agency on supervision population and staff numbers, caseload sizes, etc.

The analysis itself is descriptive in nature. Vera researchers compared the probation and parole admissions across a number of demographic characteristics, including gender, race, age, and type of supervision area (urban, rural, mixed).<sup>4</sup> To explore overlap in the scope of the two agencies, we compared the number of officers, number of clients, length of supervision, and caseload size. Finally, to explore the overlap in service delivery, we compared the number of drug treatment and evaluation vouchers distributed to probationers and parolees during FY 2007.

For the service delivery component, initially we had envisioned conducting an empirical analysis of all service referrals to identify the overlap in needs between probationers and parolees; however, due to data limitations, we were only able to identify individual participation in SSAS and the fee-for-service voucher program. Probation collects data on service referrals, but according to the deputy administrator of operations and technology, service referral data were not converted to the most recent version of Nebraska Probation Management Information System (NPMIS) due to concerns about the integrity of the data and its generality. They are in the process of developing a new and more comprehensive “needs management” database that should be completed during 2008. Parole, on the other hand, does not have electronic data on service referrals. This information is only available in paper form and could not be obtained and analyzed given the accelerated timeline of this study.

### **Qualitative Analysis**

Vera researchers assessed perspectives on the advantages and disadvantages of consolidation through qualitative analysis of data gathered in interviews and focus groups with probation and parole line staff, administrative officials, judges, and legislators. To collect this information, we asked participants numerous questions concerning their views on the strengths and weaknesses of probation and parole, coordinated service delivery, and the advantages and disadvantages of merging the two agencies. Data

---

<sup>4</sup> The number of demographic characteristics on which we could compare probationers and parolees was limited by the parole database, which contains very few variables.

collection for the qualitative analysis was completed during a trip to Lincoln, Nebraska, during the last week in October 2007.

During this trip, Vera researchers conducted separate focus groups with probation and parole line staff. Six officers participated in the parole focus group.<sup>5</sup> We selected one officer from each district and region (six in total) and an additional officer from the state's two largest urban districts (Lincoln and Omaha). Because the parole staff consists of only 20 members, officers were chosen based on career background information provided by the parole administrator, in a manner that gave us the widest range of perspectives. Unfortunately, we could not find an officer in Omaha who was willing to participate, so the group was missing representation from this district. The probation focus group consisted of eight officers. These officers were randomly selected in a multi-stage sampling frame that allowed us to select individuals from ISP, urban, rural, and mixed districts.<sup>6</sup>

We also conducted individual interviews. The purpose of the interviews was to gain a range of perspectives on how the current system operates and the goals of consolidation, as well as to get a sense of the level of support for consolidation. Individual interviews were chosen through a mix of directed and random sampling, depending on the purpose of the interview and the pool of potential respondents. Vera researchers randomly selected three judges to interview from a pool of district and county judges—the sample was divided into urban, rural, and mixed areas to ensure representation from each. Administrative staff members from OPA and DCS were not chosen randomly, however; one of the primary purposes of interviewing these individuals was to get a sense of budgetary and administrative issues surrounding consolidation, and this required speaking to someone with specific insight into these areas. From OPA, we spoke with Patricia Langer, administrative fiscal analyst; in DCS, we spoke with Larry Wayne, deputy director for programs and community services.<sup>7</sup> Finally, Vera researchers spoke with two members of the Nebraska Legislature—one randomly chosen, and the second chosen based on his/her knowledge on the issue of consolidation.<sup>8</sup>

During each focus group and interview, Vera researchers tried to capture as much of the participants' perspectives as possible through detailed note-taking and observation. We also recorded the in-person interviews (with participant permission) as a backup.

Interview and focus group data were analyzed with the assistance of Dr. Dall Forsythe, a professor at the Wagner School of Public Administration at New York

---

<sup>5</sup> There were originally seven participants, but one officer cancelled at the last-minute and we were unable to replace him/her.

<sup>6</sup> The group included one ISP officer, four urban officers, two rural officers, and one mixed officer. Mixed districts were defined as any district in which two or more communities had a population greater than 8,000.

<sup>7</sup> Parole falls under this branch of the administration.

<sup>8</sup> The sampling frame from which this senator was chosen excluded all senators who passed LB 540. The purpose of excluding them was to select someone who does not have a vested interest in the outcome of this study.

University. Dr. Forsythe has considerable experience with budget and government management issues, both from a policy and an academic perspective. He served as the budget director for the State of New York from 1985 to 1991 and budget director for the New York City Board of Education from 1980 to 1982. He is the author of the book *Memos to the Governor: An Introduction to State Budgeting*, and he has published numerous academic articles on health management, education, nonprofit management, and urban planning, among other topics.

## National Comparison of Consolidated States

LB 540 requires “a comparative analysis of other states’ probation and parole administrative systems to include, but not be limited to, issues relating to personnel salary and benefits structures, hiring standards, officer caseloads, and officer training curriculum.” In this section, we describe our findings in this area. First, we provide a general overview of some of the critical issues raised by consolidation of field services. Second, we compare the experiences of two states that have attempted to consolidate probation and parole—North Carolina and Kansas. For your reference, we have attached a catalog that compares the various ways consolidated states have chosen to structure their probation and parole administrations in Appendix 3.

### **Critical Issues Relating to Consolidation**

Our 50-state review revealed that one of the biggest issues associated with consolidating probation and parole is the location of the merged administration. In states with separate probation and parole agencies, parole is usually located in the executive branch under the department of corrections, while the location of probation is more variable (it is usually located in either the judicial or the executive branch at the state or local level). In states with consolidated field services, the location of the consolidated agency has a crucial impact on both its structure and function.

There are currently 31 states that have consolidated probation and parole service delivery into a single agency. The large majority of these states (27 out of 31) have consolidated field services into a division within the Department of Corrections.<sup>9</sup> Only four states—Alabama, Arkansas, South Carolina, and Tennessee—have consolidated field services into a separate and autonomous department.<sup>10</sup> Tennessee is the only state where field services are overseen by a board rather than a single director. In the 19 states

---

<sup>9</sup> Nevada has consolidated field services under the Department of Public Safety, a unique department separate from the Department of Corrections. For our purposes here, we have included Nevada with those states that have consolidated field services under the Department of Corrections.

<sup>10</sup> Probation and parole field services are consolidated in Alabama while community corrections remains separate.

that do not have consolidated field supervision structure, probation and parole are administered by multiple state agencies or at the county level.

Further, and most relevant, no state has consolidated probation and parole service delivery under the judicial branch. Traditionally, parole is carried out as an executive branch function with a cabinet-level board that oversees service delivery and revocations; judges are not involved in supervising the offenders in such cases after sentencing. In contrast, when probation is a function of the judicial branch, judges often have strong connections with probation officers and are highly involved in the supervision of the offender.

In addition, consolidated states must determine how to incorporate juvenile supervision into the merged administration. This is a particularly delicate issue given that supervision of juveniles usually involves an entirely different set of rules, regulations, services, and procedures than the supervision of adults. As a result, in a consolidated system, officers could potentially be responsible for supervising offenders with three different sets of needs (probationers, parolees, and juveniles).

States vary in their approaches to supervising juveniles. It is more common for states in a non-consolidated system to incorporate juvenile supervision within their individual probation and parole agencies; yet most consolidated states have excluded juvenile supervision from the merged administration. For example, when the Department of Probation and Parole in Wyoming was absorbed by the Department of Corrections in 1991, its juvenile supervision was transferred to the Department of Family Services. Minnesota is the only consolidated state that incorporates juvenile service delivery into its consolidated agency.<sup>11</sup> Other states incorporate juvenile services into their consolidated agency, but juvenile supervision remains a separate division from adult supervision and, thus, is not considered consolidated.<sup>12</sup>

### **Case Studies: North Carolina and Kansas**

Efforts to consolidate probation and parole in North Carolina and Kansas are worth directed attention. North Carolina represents one of the most evolved and noted consolidated systems in the country. Kansas represents a state that has attempted to consolidate field services for several years but has not been successful. Both offer helpful insights as Nebraska weighs the possibility of consolidation.

*North Carolina.* The consolidation of field services in North Carolina was largely a result of the adoption of structured sentencing (i.e., mandatory sentencing guidelines) in 1993. Structured sentencing abolished traditional parole release and instituted post-release supervision which, unlike parole, established a finite supervision period at

---

<sup>11</sup> Only some counties incorporate juvenile supervision.

<sup>12</sup> These states include Louisiana, Maine, Montana, North Dakota, and Wisconsin.

sentencing. During this same time period, the legislature enacted the State-County Criminal Justice Partnership Act as a companion piece to the structured sentencing legislation. In addition to supporting structured sentencing, the state-county partnership was designed to expand sentencing options beyond incarceration and traditional probation, promote coordination between the state and counties in the delivery of services, and provide probation and parole services at the local level.

As a result of these changes, the state was statutorily required to create a continuum of community corrections options beyond what their system already provided. At the time, probation and parole services were delivered separately within the Division of Adult Probation and Parole. Probation officers retained exclusive control over probation supervision caseloads, and parole officers retained exclusive control over parole supervision caseloads. The agency also maintained separate probation and parole offices within the state. With the adoption of a more expansive community corrections continuum, concerns arose surrounding the duplication of parole and probation services with separate supervision approaches. As a result, the state decided to merge probation and parole into a new division—the Division of Community Corrections (DCC)—within the Department of Corrections. The state replaced 12 probation offices and seven parole offices with 43 probation/parole offices, aligned with the state’s 43 judicial districts. Within each of these districts probation/parole officers (PPOs) provide the direct supervision services to offenders under probation, parole, and post-release supervision.<sup>13</sup>

In June 1998, five years after consolidation, the North Carolina state auditor conducted a performance audit of the Division of Adult Probation and Parole.<sup>14</sup> According to the auditors’ report, the reorganization decentralized the purchasing, personnel, and training functions of the agency and allowed field offices to better manage their responsibilities. Overall, the report concluded that the new organizational structure was efficient and effective. The auditors did, however, find several issues that could be improved and provided recommendations to address these issues. Among other things, the auditors recommended that the agency maintain consistent and manageable levels of staff supervision, improve communication throughout the agency, create clear procedures for supervising multiple types of offenders, and provide ongoing, comprehensive training to officers.

*Kansas.* Despite several attempts to consolidate field services, probation and parole divisions remain separate agencies in Kansas. In the state, parole, probation, and community corrections are each separate agencies: parole is administered by the Department of Corrections, probation falls under the judicial branch (court services), and community corrections is county-based but receives some funding through the

---

<sup>13</sup> Individuals sentenced under the pre-sentencing guidelines structure are still eligible for parole.

<sup>14</sup> Durrant Group Inc., *State of Iowa Systematic Study for the State Correctional System*. (Des Moines: Durrant, 2007).

Department of Corrections.<sup>15</sup> In addition, probation and community corrections provide supervision for juveniles while parole only supervises adults.<sup>16</sup>

For the past 15 years, the consolidation of field services has been studied, reviewed and recommended by several agencies—the Kansas Sentencing Commission, several task forces, and an independent consulting firm have all recommended that field services be consolidated under one agency. The issue of consolidation was first addressed as a result of concerns regarding the overlap in services, gaps in services between urban and rural areas, and the duplication of administrative needs between the three field service agencies.

For example, in a 1992 study of field services in the state, researchers found that over 2,000 offenders were jointly supervised by more than one agency. Researchers also found that the occurrence of high manager-to-staff ratios was the result of duplicate administrative needs of separate agencies.<sup>17</sup> In addition, consolidation was also perceived as a way to standardize training for field service staff, maintain consistent supervision standards and improve information sharing.

In spite of these findings, attempts to consolidate in Kansas have failed for many reasons. First, the debates could not resolve under which agency field services should be administered. While stakeholders agreed that consolidation would create a more efficient system, recommendations of where the consolidated agency should be administered differed—some recommended that it be located under the Department of Corrections or the Office of Judicial Administration; others believed an autonomous body or a new executive branch agency was best suited to administer field services. When consultants recommended that field services be placed in a newly created independent agency, officials indicated that creating a new state agency was not an option. They were concerned with the upfront costs associated with adding another layer of bureaucracy.

Secondly, community corrections officers were paid higher salaries than line staff in the other two field service agencies since they received funding from both the state and county government. As such, they were reluctant to give up the funding from the more affluent counties and subsequently take a pay cut if they were to merge.

A third reason that consolidation has been unsuccessful is a result of turf battles among the field service agencies. The Department of Corrections and the Office of Judicial Administration believe that giving up their field services departments would lead to a loss of funding, resources, and credibility. For example, the Office of Judicial Administration was concerned that a different agency would not be able to provide the same quality of services that were provided by court service officers (probation officers) in their agency. They also wanted to ensure that they would be able to continue to

---

<sup>15</sup> In Kansas, community corrections is a more serious sentence than traditional probation.

<sup>16</sup> Juveniles placed in juvenile facilities are under the supervision of the Juvenile Justice Association, a cabinet-level agency.

<sup>17</sup> MJM Consulting Services, *Correctional Field Services in Kansas: A Report to the Koch Crime Commission*. (Topeka: Kansas Sentencing Commission, 1995).

administer pre-sentence investigations, mediation assistance and other services. Further, both agencies were concerned with staffing and layoffs associated with merging the multiple divisions.

Lastly, officials were unable to decide on how or whether to incorporate juvenile services in the consolidated agency. Probation and community corrections agencies supervise juvenile offenders both pre-and post-incarceration. Neither agency wanted to lose the juvenile component of their supervision services in fear of losing subsequent funding and resources.

In sum, our 50-state review revealed that there is no single recipe for the consolidation of field services. Among other things, officials must consider the location of the consolidated agency. This is an important consideration because the location of a merged system plays a role in determining the structure and function of the agency. Similar to North Carolina, a majority of consolidated systems have merged probation and parole into an agency within the Department of Corrections. Officials in Kansas, however, were not able to decide which branch of government was best-suited to house a merged system.

A second important consideration for states deliberating on consolidation is to determine how and whether to incorporate juvenile services. Most states with consolidated systems do not incorporate juvenile services; rather, juvenile services are administered by a separate youth services organization. The issue of how to incorporate juvenile services in Kansas was a hindrance to successfully consolidating field services.

Finally, when considering consolidation, a state must pay close attention not only to the structure and function of each agency, but also to the sentencing, political, and geographic climates specific to that particular state. In the remaining sections of this report, we assess the potential for consolidation in Nebraska with all of these considerations in mind.

## Overlap Analysis of Probation and Parole

LB 540 requires the “identification of areas of overlap in offender services provided by probation and parole administrations and assessment of the potential for coordination of state-sponsored services and resources which assist in offender rehabilitation.”

Accordingly, in this section we present findings from an analysis of overlap between probation and parole. The analysis focuses on three primary areas of overlap: (1) demographic characteristics, (2) scope of the existing populations and agencies, and (3) availability of state-sponsored services.

Exploring overlap in these three areas is critical to deciding whether or not to merge probation and parole. First, with respect to overlap in demographic characteristics, offenders with similar background characteristics are likely to have similar needs as well.

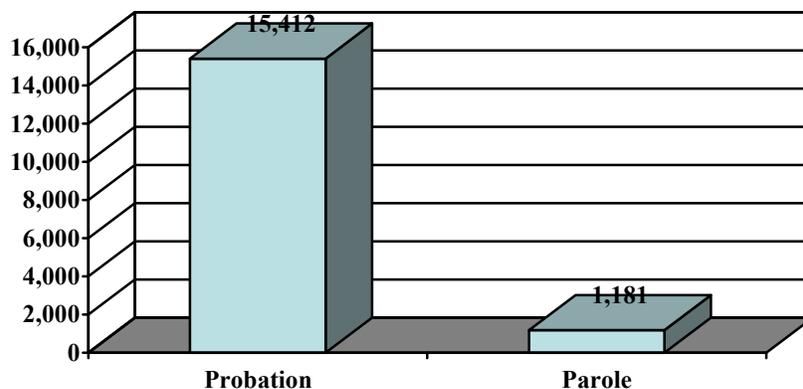
Thus, if we see great similarity in the two populations, it suggests that probation and parole officers may be dealing with some overlapping issues in their client base and efficiencies may be possible through consolidation. It is equally important to get a sense of the similarity and differences in the scope of the two agencies. The scope analysis highlights similarities and differences in the parameters of supervision, which in turn suggests the extent to which probation and parole officers will have to adapt to new supervision requirements if consolidation is pursued. Finally, we examine the overlap in state-sponsored services to determine the extent to which coordinated services that are already in place under separate administrations can effectively serve both populations. If they are doing a good job of this, it implies that expansion of these efforts may be a viable alternative to consolidating probation and parole.

### Overlap in Demographics

Figures 1 through 10 compare adult probation and parole admissions and staffing for FY 2007 across a number of demographic characteristics. The purpose of comparing demographic characteristics is to get a sense of the similarities and differences between the probation and parole populations. In this demographic analysis, we focus on gender, race, age, and supervision area—four fundamental pieces of information that are highly correlated with risk for criminal behavior in criminological literature.

As shown in Figure 1, one of the most apparent differences is in the size of the admissions population: at 15,412, the probation population was almost 13 times larger than the parole population in FY 2007.

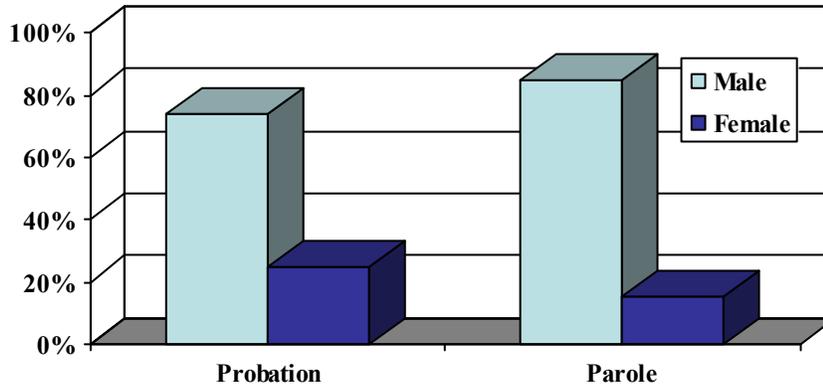
**Figure 1: Adult Probation and Parole Admissions, FY 2007**



The next three figures examine probation and parole populations by gender, race, and supervision area. As Figure 2 demonstrates, there is a greater percentage of women in the probation population (25 percent) than there is in the parole population (15 percent),

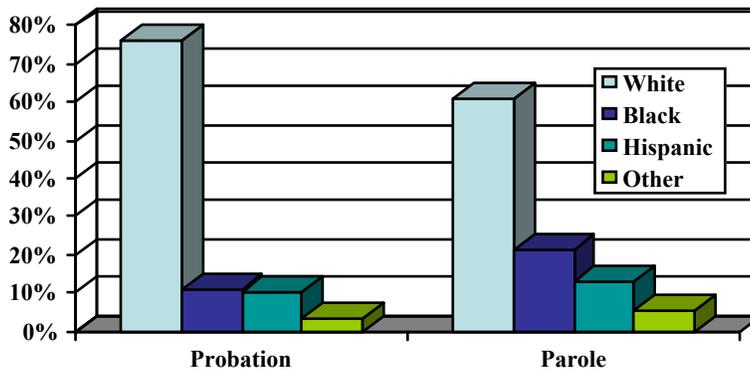
which is significant because there are additional needs to be considered in the supervision of women, such as childcare and healthcare.

**Figure 2: Probation and Parole Admissions, by Gender**



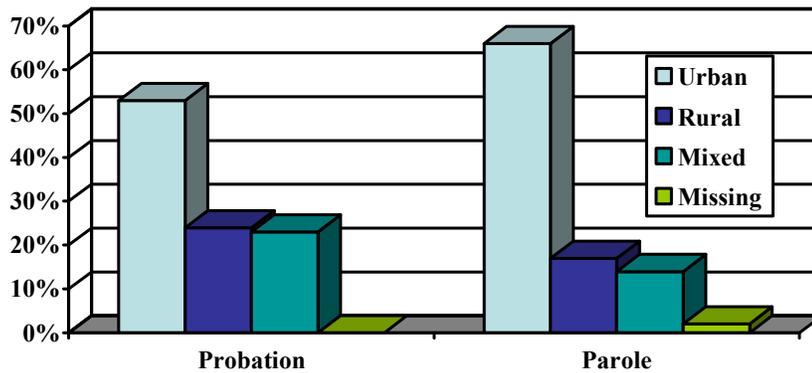
As depicted in Figure 3, there is a slightly higher prevalence of blacks in the parole population (21 percent) than in probation (11 percent). Racial and ethnic differences are significant because minority populations often face more obstacles to success than white offenders.

**Figure 3: Probation and Parole Admissions, by Race**



We also considered each admissions population by type of geographic supervision area, distinguishing between urban, rural, and mixed areas. For probation admissions, we categorized based on probation districts, while for parole admissions, we categorized based on the court district of the county to which they were paroled.<sup>18</sup> As shown in Figure 4, the percentage of both probation and parole admissions is highest in urban areas, although again it is noticeably higher among parole admissions (66 percent compared to probation’s 54 percent).

**Figure 4: Probation and Parole Admissions, by Supervision Area<sup>19</sup>**



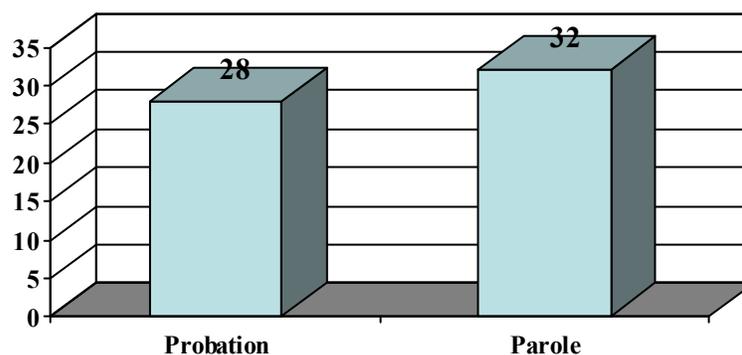
Finally, Figure 5 compares the mean age at admission to probation or parole, and as shown, it is higher among parolees. The difference is relatively small, however, and probably does not reflect much difference in supervision needs. In other words, the lifestyle and obstacles facing a 32-year-old client are likely to be similar to those facing a 28-year-old client.

<sup>18</sup> Probation districts were geographically categorized with the assistance of staff from the Nebraska Crime Commission. Mixed probation districts were classified as districts in which two or more communities had a population of more than 8,000. Using this distinction, districts were broken down in the following way: districts 4 and 6 as urban; districts 3, 5, 8, and 16 as mixed; and districts 1, 2, 7, 9, 10, 11, 12, and 17 as rural. In terms of ISP regions, D and E were classified as urban; A and B were classified as rural; and C and F were classified as mixed.

Court districts were also categorized with the assistance of staff from the Nebraska Crime Commission. They were broken down in the following way: districts 3 and 4 were classified as urban; districts 1, 7, 8, 10, 11, and 12 were classified as rural; and districts 2, 5, 6, and 9 were classified as mixed.

<sup>19</sup> Total probation population does not include interstate transfers.

**Figure 5: Mean Age at Admission (in years), Probation and Parole Admissions**

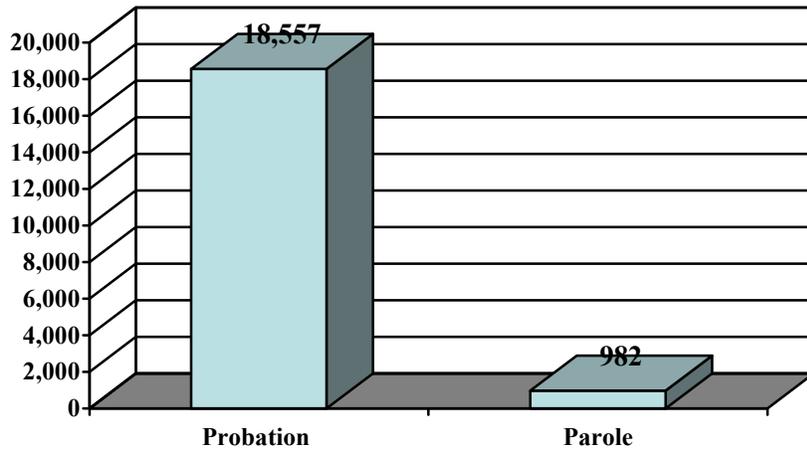


### **Overlap in Scope**

In addition to examining overlap in the characteristics of supervision populations, it is equally important to consider overlap in the scope of each agency. In this section we draw attention to further similarities and differences between probation and parole with respect to how each agency functions and the responsibilities involved in each type of supervision.

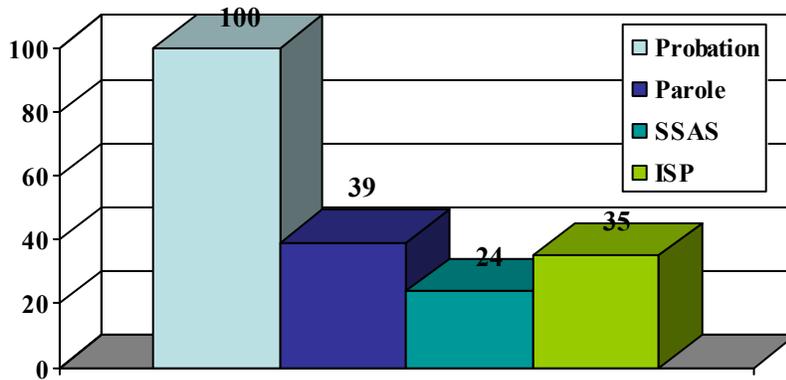
Figure 6 depicts a snapshot of the size of each supervision population on June 30, 2007. Consistent with our comparison of admissions during FY 2007, we see that the probation population is significantly larger than the parole population—almost 20 times larger, in fact, and this excludes the juvenile probation population. Figure 6 indicates that caseloads are higher in probation as well.

**Figure 6: Probation and Parole Adult Supervision Population, June 30, 2007**



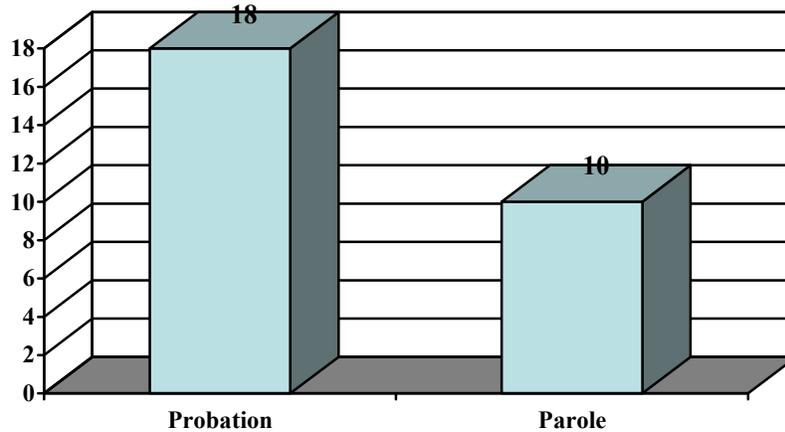
As shown in Figure 7, the average probation caseload (excluding SSAS officers) is about 90, while the average parole caseload is about half that.

**Figure 7: Average Caseload Size for Probation and Parole Officers**



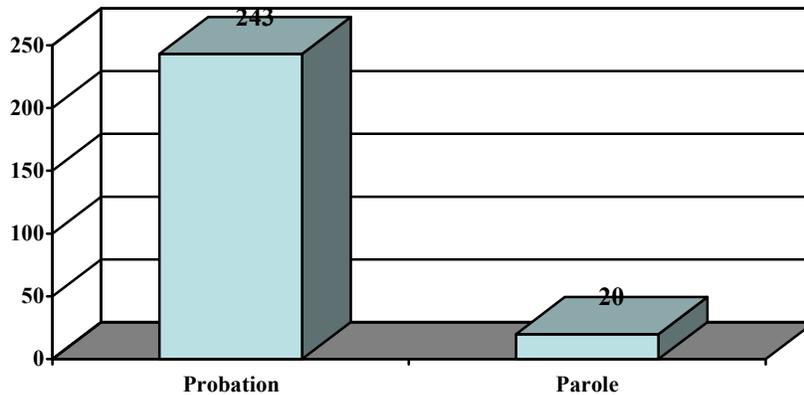
Another striking difference between probation and parole is the length of time offenders are subject to supervision. Figure 8 shows that tenure is much shorter on parole than on probation. While the average probationer is under supervision for approximately 18 months, the average parolee is only under supervision for slightly more than half of this period of time (10 months). In conjunction with Figure 7, this illustrates an important difference in the nature of supervision between the two agencies: parole officers have higher turnover in cases, providing more intensive supervision for shorter periods of time, while probation officers have less turnover, but due to larger caseloads it is likely that they have less time to devote to each case.

**Figure 8: Average Length of Supervision, in Months, Probation and Parole**



Finally, Figure 9 compares the number of supervising officers in each agency statewide. For parole, this number includes senior parole officers, while for probation it includes traditional officers, ISP officers, SSAS officers, and problem-solving court officers. Consistent with the previous three tables, we see that the number of officers is much higher in probation.

**Figure 9: Number of Officers, Probation and Parole**



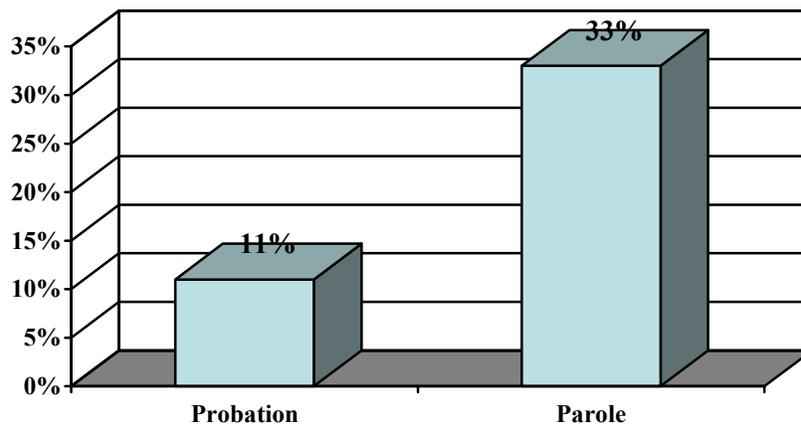
When considered together, these differences illustrate that probation differs from parole on a number of fronts—not only are there substantially more officers and clients, but as previously discussed, probation is further along in developing programmatic initiatives as well. In the context of consolidation, this implies that it would be easier to absorb parole into the judicial branch than it might be to absorb probation into DCS.

## Overlap in State-Sponsored Services

Finally, we explored the overlap in state-sponsored drug treatment and evaluation services between probation and parole populations to get a sense of the extent to which coordinated state-sponsored services already in place are effectively serving both populations. This analysis focuses on two initiatives: the fee-for-service voucher program and the Specialized Substance Abuse Supervision (SSAS) Program.<sup>20</sup> Both of these programs were developed and implemented by the OPA but are accessible to probationers and parolees.

In FY 2007, there were 1,678 vouchers (both SSAS and non-SSAS) distributed to probationers and 392 distributed to parolees. Figure 10 presents this data as a percentage of admissions during the same time period. As shown, the percentage of vouchers relative to admissions was substantially higher among parolees.<sup>21</sup> This is an important consideration in the context of consolidation given that coordinated service delivery has been used as an argument for consolidating probation and parole. Figure 10 shows that even under separate administrations, coordinated service delivery between probation and parole is currently in place to serve both populations.

**Figure 10: Vouchers as a Percentage of Total Admissions, Probation and Parole**



<sup>20</sup> Vera researchers attempted to collect data on services provided through day reporting centers. Day reporting centers were developed as part of the SSAS program so that offenders would have access to services beyond drug treatment. They also serve probationers and parolees who are not enrolled in SSAS. Unfortunately, because the majority of these centers opened in 2007, they are only beginning to incorporate parolees into their client base. This makes it difficult to compare service delivery in day reporting centers between probationers and parolees. Additionally, we were only able to obtain data from four of the seven reporting centers, so even minimal conclusions would not be representative. For these reasons, this part of the analysis has been omitted from the report. Appendix 5, however, contains a summary table of the data that were collected.

<sup>21</sup> This does not necessarily imply that the percentage of parolees who received vouchers was higher than the percentage of probationers. Unfortunately, we are unable to make that determination without offender-level data. On the other hand, we do know that the percentage of probationers and parolees who received vouchers is actually lower than the percentage listed, given that the number of offenders can only be lower than the number of vouchers given out.

To summarize the main findings from this overlap analysis

- There is significant overlap in the demographic characteristics of probation and parole admissions, although there is a slightly higher prevalence of individuals with high-risk characteristics (black, male) among parolees.
- The majority of probation and parole admissions are supervised in urban areas.
- The scope of probation in Nebraska is much larger and wider than parole. Probation supervises significantly more cases for longer periods of time, and officers carry larger caseloads. Additionally, there are significantly more probation officers, and probation supervises juveniles as well as adults.
- A significant proportion of probationers and parolees received drug treatment vouchers during the last fiscal year.

When taken together, these findings suggest that although the supervision populations are fairly similar between probation and parole in Nebraska, the larger scope of probation may be a significant obstacle to consolidation. If Nebraska were to merge the two agencies, it would be easier to absorb parole into probation than the other way around; however, as discussed in the state comparison, no state has consolidated under the judicial branch because parole has traditionally been an executive branch function. Thus, consolidating under the judiciary may be difficult to achieve in Nebraska as well.

## Advantages and Disadvantages of Consolidation

LB 540 requires “an assessment of the optimum methods for delivery of a seamless continuum of offender services within the current probation and parole systems and analyze whether a single system would be to the advantage of state government and offenders.” In this section we explore the advantages and disadvantages of consolidating probation and parole in Nebraska, drawing on the perspectives of probation and parole line staff, administrative staff in probation and DCS, judges, and legislators. Our findings are organized into three main areas: (1) the strengths and weaknesses of probation and parole as independent agencies; (2) coordinated service delivery efforts that are already in place; and (3) stakeholder perspectives on consolidation.

### **Strengths and Weaknesses of Probation and Parole**

To explore the extent to which the current probation and parole systems are meeting offender and employee needs, Vera researchers asked probation and parole line staff and administrative officials, as well as judges, to share their views on a variety of administrative, cultural, and procedural issues.

Probation, as it is currently configured, was credited with a number of strengths. Both probation officers and judges enjoy the trusting relationship they have under the current administration. There is a continuous flow of cases between probation and the courts—from pre-sentence investigation to probation sentence. Probation officers are in contact with judges on a daily basis. In other words, there is a consistency to case management that results from the structure that is currently in place. If probation officers did not work for the court, officials perceive the privileged communication that currently exists between probation and judges would no longer be possible.

Probation officers also appreciate OPA's innovative approach to supervision and service provision. They like that OPA is moving in a new direction rather than resting on traditional protocol. Among the most recent changes to take place in OPA is the restructuring of probation supervision into risk levels so that there is consistency in the caseloads of each officer. OPA is also training officers in a new standardized risk assessment tool—the Level of Service/Case Management Inventory (LS/CMI). Furthermore, they are in the process of merging ISP regions into standard supervision districts, a process that is expected to be completed by January 2008.

At the same time, although probation officers named innovation as one of the biggest strengths of the organization, they find it difficult to keep up with all of the changes that are taking place. The group agreed that one of the biggest sources of confusion regarding the changes is the lack of communication from the top to the bottom of the organizational hierarchy. Interviewees reported that ideas are conceived at the top but not necessarily communicated effectively down to line staff. As a result, implementation of new policies and procedures varies across districts, and officers are sometimes unsure about whether or not they are implementing new procedures correctly.

Probation officers felt that it would be helpful to hire additional officers. This was also mentioned by Patricia Langer, administrative fiscal analyst in the OPA. According to Ms. Langer, the biggest limitation faced by OPA is the lack of sufficient pay for staff—a problem faced by many state agencies. Line staff view the problem from a slightly different perspective; they feel that OPA is hiring too many administrative staff members and not enough chiefs or officers on the ground.

According to parole officers, one of the biggest benefits to working in parole is the camaraderie that exists among them. This is primarily due to the fact that there are only 20 officers statewide. Members of the group said that they were comfortable turning to each other for assistance or guidance and felt like a team. They were concerned about losing this type of group dynamic in a consolidated administration.

Parole officers also like working with “the whole offender,” as opposed to handling cases at particular phases of supervision or handling only certain elements of a case (e.g., pre-sentence investigation). Officers do not just see clients in the office—they visit neighborhoods, make house calls, and get to know both families and communities. They

feel that this gives them a rapport with clients—or as one officer put it, “I have sort of a pulse about the whole thing.”

Finally, parole officers named the high success rate of parolees as one of the biggest advantages of the current administration, as well as confirmation that the system works well as it is. The current success rate, measured as the percentage of parolees that successfully discharge from parole and are not readmitted to the Department of Corrections over a three-year period, is 59.7 percent.<sup>22</sup> This is higher than the national success rate, which was only 43.9 percent in 1999 (the latest estimate available from the Bureau of Justice Statistics).

Still, parole officers recognize that their agency can do better. Parole officers cited two central areas for improvement. First, parole officers said that it is sometimes frustrating to work under the standards of the American Correctional Association (ACA) because the ACA is not flexible with their policies. For example, they require training that parole officers feel is not useful, as well as rigorous documentation standards that create a lot of unnecessary paperwork. Second, the officers we interviewed noted that it can be frustrating to work under administrative supervisors who themselves have never been field officers. Because their administrator has no experience working directly with parolees, officers feel that the administrator cannot always relate to the struggles of line staff and thus does not always implement policies and procedures with this perspective in mind.

### **Coordinated Service Delivery**

In light of the fact that coordinated service delivery has been named as a major advantage of consolidation, we also asked participants for their views on two coordinated service delivery efforts that already exist in Nebraska—SSAS and the fee-for-service voucher program. As previously discussed, both of these programs are probation initiatives but serve both probationers and parolees. Our goal in exploring perspectives on these efforts was to get a sense of how easy or difficult participants felt it was to deliver coordinated services to probationers and parolees under two separate administrations.

The response to coordinated service delivery was mostly favorable. Administrative officials in both the OPA and DCS were very supportive of the recent collaboration between probation and parole and hope to expand these efforts in the future. Larry Wayne, DCS deputy director for programs and community services, went so far as to call SSAS a “breakthrough for post-prison supervision.” Parole officers were the least receptive but thought that the voucher program was highly beneficial.

---

<sup>22</sup> Successful discharge is defined as the completion of parole with no new arrests and no revocations for technical violations. Success rates are calculated at the end of the fiscal year, as well as monthly. This estimate is from the last fiscal year.

Despite the mostly favorable reception toward SSAS and the fee-for-service voucher program, individuals in probation, parole, and the judicial branch expressed some concerns as well.

Both probation and parole officers highlighted the need for improvement in the way that offenders are selected for SSAS. Probation officers felt that there was a lack of communication between probation and parole on who should be eligible for SSAS. They pointed out that parolees often have different needs than probationers and that the system of coordinated service delivery needs to take these differences into account. Parole officers expressed similar concerns. Some officers felt pressure to refer cases to SSAS and were concerned that individuals could end up in the program who did not necessarily belong there. They do not want to refer people to SSAS simply to fill the slots—instead, they feel that it is important to screen offenders properly, because the wrong treatment program can do more harm than good.

In addition, probation officers and judges raised concerns about the range of available services. Probation officers and judges thought that mental health resources for probationers were limited. According to probation officers, mental health needs are at least as important as substance abuse needs among their clients. They would like future planning within probation to include and prioritize a voucher program for mental health services similar to the drug treatment voucher program developed in 2006. Probation officers estimated that roughly 50 percent to 75 percent of their clients suffer from some type of mental illness but pointed out that unless an offender is suicidal, resources are limited and most must be paid for by the offender. A voucher program has the potential to reduce this problem by removing the financial burden that stands in the way of many offenders.

Almost everyone with whom we spoke said that the largest gap in service delivery lies between urban and rural areas of the state. Both groups emphasized how difficult it is to provide offenders in rural areas with the services they need in a timely fashion, if at all. According to probation officers, offenders in rural areas can wait up to 10 weeks for a spot in a program. Noting that SSAS itself was piloted in seven cities, none of which is further west than Dawson County (which lies in the middle of the state), both probation and parole officers were concerned that rural service provision will remain a persistent problem regardless of whether field services are consolidated.<sup>23</sup>

### **Advantages and Disadvantages of Consolidation**

Finally, Vera researchers asked judges, line staff and administrative officials, along with legislators, for their views on consolidation. More specifically, we asked them to discuss the advantages and disadvantages of consolidation, and what the ideal consolidated

---

<sup>23</sup> It does appear that coordinated service delivery efforts already in place will be expanded into rural areas, however. Probation plans to pilot SSAS and day reporting center in rural counties over the next two years.

system would look like to them. In brief, while there were varying degrees of receptivity to a merger between probation and parole, no one was a strong advocate for this change, with the exception of one legislator.

Parole officers are clearly opposed to consolidation. Although they liked the idea of a potential pay raise, parole officers said that they would not support a merger under any circumstances. The main concern they named was being absorbed into the judicial branch. One officer went so far as to describe consolidation not as a merger, but as a takeover. Others expressed fears that they would lose their seniority status.

Parole officers were also concerned that if consolidation were to occur, both probation and parole officers would be forced to wear too many hats—managing probationers, parolees, and juveniles. They were strongly against supervising juveniles—many had worked for juvenile parole in the past and said they would never go back because of the difficulties involved (more rules, having to deal with parents, etc.). They also emphasized the different needs that exist among probationers and parolees, most notably that upon release many parolees have no support system and little perspective on how to survive outside of prison. This is not an issue for probationers. Finally, they felt that the philosophies and cultures of probation and parole were too different to expect officers to take on both roles.

Parole officers feared that a merger between probation and parole administrations might mirror what they experienced after passage of LB 83 (enacted in 2007), which allowed parolees to complete treatment at Work Ethic Camp (WEC) with probationers. Parole officers noted that WEC officers are experiencing a number of problems trying to supervise both populations because each group must conform to a different set of rules. They envision the same problems cropping up on a much larger scale if probation and parole were to merge.

Similarly, probation officers and judges are reluctant to support consolidation of field services. First, if consolidation is to occur, probation and judges want parole to merge into the judicial branch. The interviewees emphasized that probation works well with the judiciary in the current configuration, and neither group wants to lose that connection. Probation officers also said that, were consolidation to move forward, they were dedicated to preserving the direction and innovation that currently exists in the OPA, expanding efforts such as SSAS to include more offenders. That would be more difficult if probation were merged into the executive branch.

Additionally, probation officers were concerned about the timing of this potential merger. Currently, probation officers are adjusting to the many changes taking place within OPA. The officers we interviewed feel that there is too much transition in the current administration to consider a merger right now. Instead, OPA needs to focus on fine-tuning its own system and getting everyone on the same page before they take on a whole new component—especially one as different as parole.

We also interviewed two senators to collect legislative impressions regarding consolidation. The two senators had very different perspectives on the issue. The first, Senator Bill Avery, was concerned with advancing sound public policy. He did not know much about LB 540 before we spoke with him, but he said that he would support consolidation if it led to good public policy outcomes. For him, this did not mean cost-savings, but reductions in recidivism and the prison population. The second senator, who preferred to remain anonymous, was more concerned with changing the policymaking process. He/she supports a merger because he/she would like to see more accountability in the way that policies are developed and feels that the best way to achieve this is to have the legislature set community corrections benchmarks and the executive branch execute them.

In sum, interviews with stakeholders in Nebraska indicate that people are generally content with the administrative structure that is currently in place and supportive of current coordinated service delivery efforts. Yet a substantial number of individuals are strongly opposed to consolidation. This is important in the context of consolidation because resistance from key stakeholders could substantially hinder the process.

## Recommendations: Considerations for Consolidation in Nebraska

Based on the national comparison of consolidated states, the overlap analysis, and the qualitative assessment of advantages and disadvantages of consolidation, we conclude that consolidation of probation and parole services in Nebraska may be premature at this time. The following four points, discussed in detail in the previous sections, support this conclusion.

- The current changes being implemented at OPA are substantial. Not only is OPA restructuring its supervision model, it is undergoing an internal merger of its own with the absorption of ISP regions into standard supervision districts. Every probation district is in a different phase as far as the adoption of evidence-based practices, and probation officers are having difficulty keeping up with all of these changes. To introduce another change right now, especially one as substantial as merging probation and parole, might adversely affect the quality of this process and of supervision services.
- The connection between judges and probation officers was repeatedly identified as one of the biggest advantages of the current administrative structure and one of the biggest impediments to consolidation if the merged agency is to be housed within the executive branch. To date, no state has consolidated probation and parole under the judicial branch.

- A substantial number of the individuals with whom we spoke—an objectively selected, representative sample—expressed strong opposition to consolidation. The strongest opposition came from probation and parole line staff, who were especially concerned with moving to a different branch of government.
- There are already coordinated efforts between probation and parole underway despite the fact that the administrations are separate. Both SSAS and the fee-for-service voucher program serve probationers and parolees, and the Nebraska Community Corrections Council has been charged with further developing services that serve both populations. To date, neither SSAS nor the voucher program has been evaluated; their effectiveness is not known. If evaluations indicate that they are producing the desired outcomes, then it might make more sense to continue along this path rather than merging.<sup>24, 25</sup>

Additionally, in the absence of a clear plan for consolidation, our ability to assess the potential costs and savings of such a change is limited. With the assistance of our consultant, however, we identified four of the most relevant considerations that are likely to influence costs if consolidation is pursued: officer salaries, county support, administrative costs, and caseloads.

- *Salaries.* As shown in Appendix 6, the salary of probation officers is significantly higher than that of parole officers. While the hourly wages of senior parole officers add up to approximately \$31,616 per year,<sup>26</sup> probation officers begin making between \$29,000 and \$41,000 per year as trainees and receive a five percent raise when promoted to probation officer (this translates to a range of \$30,450 and \$43,050). The costs associated with equalizing the salaries of probation and parole officers could potentially be substantial.
- *County support.* Under the current probation administration, counties cover a great deal of the cost associated with running local offices. Appendix 7 presents a summary of county contributions by district for 2005-2006, the most recent data available. If county contributions diminish as a result of consolidation, significant costs might ensue.
- *Administrative support.* A merger between probation and parole might generate some costs savings in the area of administrative support. The state might save some money by eliminating duplicate positions (e.g., administrative personnel).

---

<sup>24</sup> A cost-savings and outcome evaluation, funded by the Pew Charitable Trusts, is planned to begin in 2008.

<sup>25</sup> An additional consideration for evaluating coordinated services is the need for consistency across administrations in the type of information that is collected, the way that it is stored, and how key variables are defined.

<sup>26</sup> This amounts to \$15.20/hour.

- Without a more detailed understanding of how the agencies would be consolidated, however, it is difficult to assess such costs savings with precision.
- *Caseloads.* A merger between probation and parole would not only create a larger pool of cases to supervise (i.e., probationers and parolees), but a larger pool of high-risk cases. From a cost perspective, if parole were absorbed into the judicial branch, there could potentially be cost-savings. Under the current system, it costs \$8.24/day to supervise a parolee but only \$6.90/day to supervise an ISP probation case. If we assume that the costs associated with supervising parolees would approximate those of supervising ISP probationers, then this could save some money (approximately \$1,316/day if we estimate using the FY 2007 parole population of 982 cases).<sup>27</sup> It is unclear how the cost of probation supervision will change under the new structure, however. If resources are redistributed so that more money is spent on high-risk cases, then it may end up being more expensive to supervise parolees under this system.

In light of the limited information currently available, cost/benefit analyses cannot weigh significantly on our recommendations at this time.

## Conclusion

Our goal in this report was to provide the Community Corrections Council, the Nebraska State Legislature, and the Office of the Governor with information necessary to advance the conversation on consolidation of probation and parole. Based on our analyses, we conclude that it may be premature to merge probation and parole in Nebraska. If, however, the legislature wants to continue pursuing this issue, we suggest that it develop a more specific plan for consolidation that focuses on the following questions:

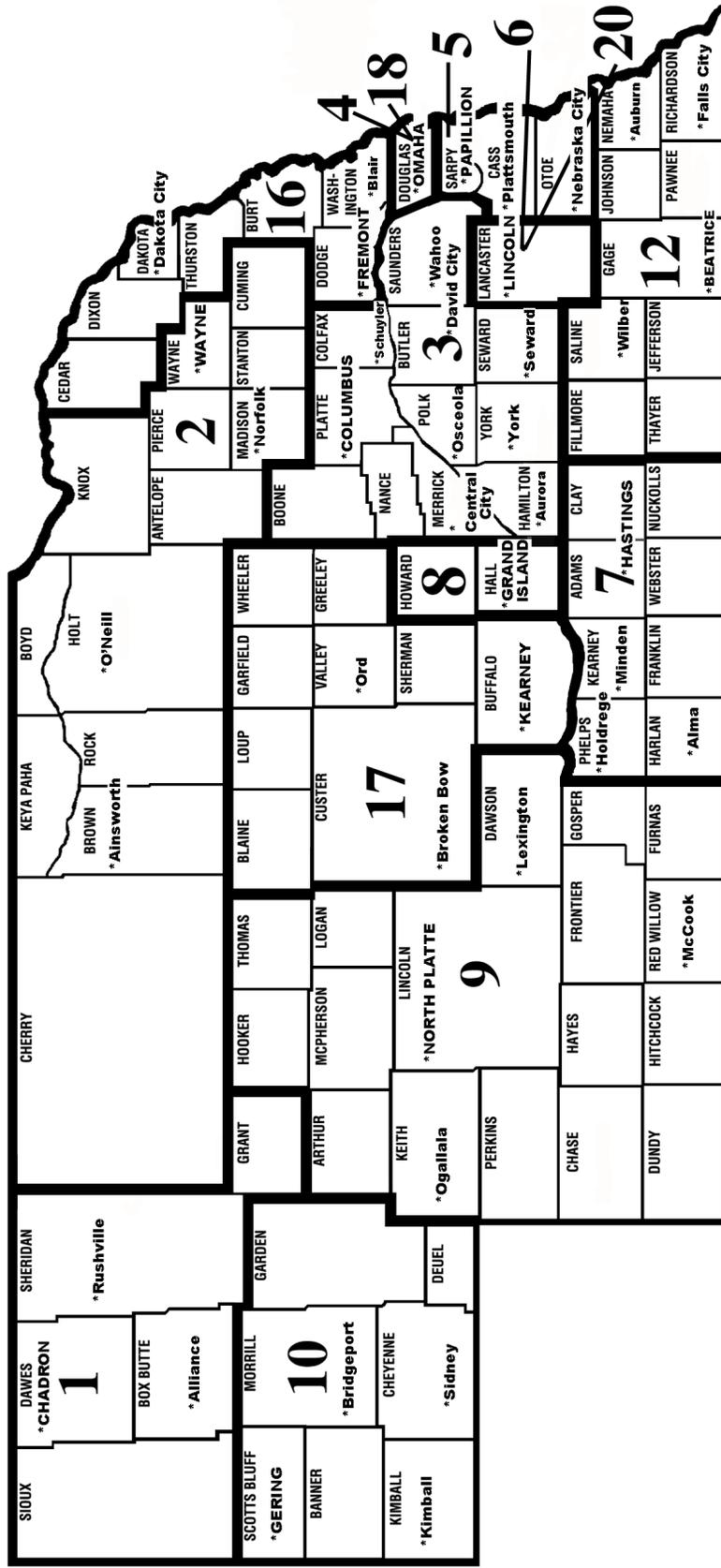
1. Where will the consolidated administration be located?
2. How will juvenile services be incorporated?
3. Who will oversee the consolidated agency?
4. How will caseloads and supervision duties change?
5. What are the goals of consolidation?

Resolution of these issues might further inform the deliberative process and offer more clarity regarding the utility of the consolidation of field services in Nebraska.

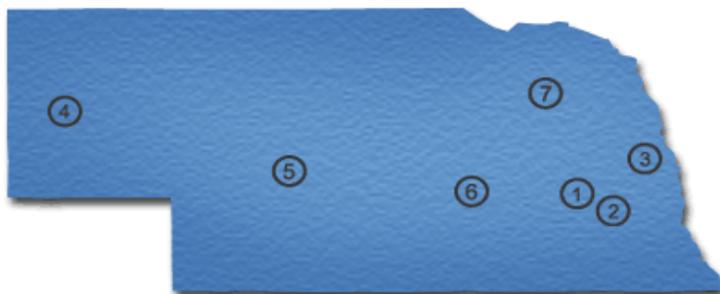
---

<sup>27</sup> This estimate was calculated by subtracting the projected total cost of supervision per day for the parole population from the current total cost of supervision per day for the parole population. Projected total cost of supervision per day=982\*6.90=\$6,776. Current total cost of supervision per day=982\*8.24=\$8,092.

# Appendix 1: Nebraska Probation Districts



## Appendix 2: Nebraska Parole Office Locations



- 1. Lincoln District Parole Office***
- 2. Adult Parole Central Office-Lincoln***
- 3. Omaha District Parole Office***
- 4. Scottsbluff Regional Parole Office***
- 5. North Platte Regional Parole Office***
- 6. Grand Island Regional Parole Office***
- 7. Norfolk Regional Parole Office***

### Appendix 3: Catalog of Consolidated States

State	Administrative Information				Location of Consolidated Agency		Juvenile Services Incorporated <sup>28</sup>		Sentencing Structure		Back-End Supervision	
	Year of Consolidation	Number of Adults on Supervision <sup>29</sup>	Average Caseload for Probation/Parole Officers	Number of Field Offices	Department of Corrections <sup>30</sup>	Autonomous Agency	Yes	No	Determinate	Indeterminate	Post-Release Supervision	Discretionary Parole
Alabama	1975	64,424	155:1	61		♦		♦	♦			♦
Alaska	1980	7,139	25:1	13	♦			♦	♦			♦
Arkansas	1993	49,913	80:1	47		♦					♦	
Delaware	1984	17,502	92:1	5	♦						♦	
Florida	1975	277,767	68:1	151	♦						♦	
Idaho	N/A	51,341	73:1	13	♦						♦	
Iowa	1973	26,200	120:1	8	♦							♦
Kentucky	N/A	53,029	115:1	12	♦							♦
Louisiana	1960	62,720	131:1	21	♦							♦
Maine	1983	7,950	104:1	23	♦							♦
Maryland	1968	90,049	50:1	45	♦							♦
Michigan	1988	201,136	N/A	N/A	♦							♦
Minnesota	1933	131,720	140:1	50	♦							♦
Mississippi	1972	26,006	107:1	62	♦							♦
Missouri	N/A	74,026	N/A	64	♦							♦
Montana	1975	9,614	100:1	23	♦							♦
Nevada	1951	17,032	N/A	11	♦							♦
New Hampshire	1983	6,211	86:1	11	♦							♦
New Mexico	1993	19,415	85:1	37	♦							♦
North Carolina	1993	113,655	65:1	43	♦							♦
North Dakota	1989	4,673	60:1	14	♦							♦
Oklahoma	1967	30,487	N/A	62	♦							♦
Rhode Island	1976	26,381	250:1	15	♦							♦
South Carolina	1981	41,088	54:1	46	♦							♦
Tennessee	1961	62,260	85:1	37	♦							♦
Utah	N/A	13,800	75:1	17	♦							♦
Vermont	N/A	8,596	45:1	13	♦							♦
Virginia	1974	52,122	74:1	43	♦							♦
Washington	1981	120,687	36:1	89	♦							♦
Wisconsin	1932	72,012	63:1	8	♦							♦
Wyoming	1991	5,899	73:1	24	♦							♦

<sup>28</sup> Juvenile services are incorporated in the Department of Corrections in Louisiana, Maine, Montana, North Dakota and Wisconsin, but they remain in a separate department than adult services.

<sup>29</sup> This information was collected from the Bureau of Justice Statistics, *Probation and Parole in the United States, 2006*.

<sup>30</sup> Nevada has consolidated field services under the Department of Public Safety, a unique department separate from the Department of Corrections. For our purposes here, we have included Nevada with those states that have consolidated field services under the Department of Corrections.

## Appendix 4: Research Design Summary Table

Deliverable	Data Sources		Analytical Strategy	
	<i>Quantitative</i>	<i>Qualitative</i>	<i>Quantitative</i>	<i>Qualitative</i>
National comparison	NA	<ol style="list-style-type: none"> <li>1. Reports</li> <li>2. Audits</li> <li>3. Direct communication with agency heads</li> </ol>	NA	Qualitative coding of information
Overlap analysis	<ol style="list-style-type: none"> <li>1. Administrative probation data</li> <li>2. Administrative parole data</li> <li>3. Administrative voucher data</li> </ol>	<ol style="list-style-type: none"> <li>1. Direct communication with administrative staff</li> <li>2. Reports</li> <li>3. Online research</li> </ol>	Descriptive analysis of administrative data	Comparison chart of background characteristics
Qualitative assessment of advantages and disadvantages of consolidation	NA	<ol style="list-style-type: none"> <li>1. Probation focus group</li> <li>2. Parole focus group</li> <li>3. Probation administrative interview</li> <li>4. Corrections administrative interview</li> <li>5. Senator interviews</li> <li>6. Judge interviews</li> </ol>	NA	Qualitative coding of interview and focus group data

## Appendix 5: Average Monthly Percentages of Day Reporting Center Clients Using Selected Services, by County, 2007<sup>31</sup>

Service	Sarpy <sup>32</sup>	Dawson/Buffalo <sup>33</sup>	Dakota <sup>34</sup>
GED	13	1	8
Cognitive Group	---	7	7
Drug Testing	57	64	48
SA Treatment	---	---	18
Computer Lab	---	.5	2
Office Visit	---	---	24
AA	---	2	2
Mental Health	---	---	1
Pre-Treatment	14	2	---
Employment/Vocational/Job Skills	6	.6	---
Thinking for a Change (Cognitive)	7	---	---
Intervention	7	---	---
Domestic Violence Program	9	---	---
Moral Reconciliation Therapy	4	---	---
Goodwill	---	17	---
Probation Orientation	---	10	---
Transportation	---	.8	---
Day Care	---	4	---

<sup>31</sup> Each county has only one day reporting center, so these statistics represent individual centers. Because different services became available at different months over the course of the last year, average percentages are based on different time periods for different services. There is also variation between centers in the types of services that are available and the month in which they became available. These percentages represent the average monthly percentage of clients using a given service for each county, based only on the months available for each service for that county. For example, in Sarpy County, domestic violence (DV) program data were only available for June through August. The average monthly percentage was thus calculated by summing the percentage of clients using DV services each month and dividing by three. Vera researchers only received data from four of the seven centers, so this table is not representative.

<sup>32</sup> Percentages reflect only probationers. Sarpy County did not serve parolees during this time period.

<sup>33</sup> Reporting centers in Dawson and Buffalo County are run by the same supervisor, so the data were sent in one compiled table rather than separated by district. Percentages reflect mainly probationers—these counties served only 3 parolees during this time period.

<sup>34</sup> Percentages reflect mainly probationers—Dakota County served only 4 parolees during this time period.

## Appendix 6: Background information on the Office of Probation Administration and the Adult Parole Administration

<b>Category</b>	<b>Probation</b>	<b>Parole</b>
Training	<p>--New officers receive 4-5 weeks of core training followed by 2-3 weeks of specialized training (mental health, domestic violence)</p> <p>--Experienced officers receive advanced and specialized training depending on availability of offender fees</p>	<p>--New officers receive 5 weeks of academy training (same as corrections officers)</p> <p>--Experienced officers receive 40 hours per year of continuing training</p>
Caseloads	<p>-- 80-100 average.</p> <p>--SSAS officers carry 24 maximum</p> <p>--Once responsive supervision model is in place caseloads will vary by risk level (up to 1,000 for very low risk)</p>	<p>--30-50 average</p>
Procedures for handling technical violators	<p>--Graduated sanctions--determined by matrix based on criminogenic needs</p> <p>--Officers required to file notice each time they revoke, violate, or sanction an offender</p>	<p>--Graduated sanctions:</p> <ol style="list-style-type: none"> <li>1. Low: unofficial punishment or case conference</li> <li>2. Medium: administrative hearing w/possible loss of good time</li> <li>3. High: review in front of -Parole Board</li> </ol> <p>--Lincoln and Omaha have work-release option as well</p>
Districts	<p>--15 standard districts and 6 ISP regions</p> <p>--ISP to be merged into standard districts by January 2008</p> <p>--Felony cases go to district courts while misdemeanor cases go to county courts</p>	<p>--2 regions encompassing 4 districts (6 offices total)</p>
Salary	<p>--Probation officers hired as trainees—starting salary varies by education and experience (\$29,000-41,000)</p> <p>--No overtime</p> <p>--Four levels for chiefs, each with range:  Level I: \$51,054-73,942  Level II: \$53,607-77,640  Level III: \$56,288-81,522  Level IV: \$59,102-85,598</p>	<p>--All officers are senior parole—paid \$15.20 hourly (\$31,616/year)</p> <p>--Paid overtime</p> <p>--Parole District Supervisors paid \$18.07 hourly (\$37,586/year)</p>
Benefits	<p>--Insurance and retirement same as all state employees</p>	<p>--Insurance and retirement same as all state employees</p>
Promotions	<p>--Trainees promoted to officers after 1 year—5% raise</p> <p>--Annual performance reviews for all staff</p>	<p>--No promotions except when a position is vacated and staff must compete for it</p>
Funding	<p>--Funded through two streams. Community corrections funded through offender fees and general funds, which are appropriated through the Crime Commission via the Community Corrections Council. Administrative funds appropriated directly to OPA.</p> <p>--Counties pay for office space, supplies, etc. for local agencies</p>	<p>--Funded through Department of Corrections. Also receive offender fees through the Community Corrections Council.</p>

## Appendix 7: County Probation Expenditures<sup>35,36</sup>

District/Region	2005 - 2006 Budget <sup>37</sup>	Projected Costs: Office Leases <sup>38</sup>	Projected Costs: Computer Supplies	Projected Costs: Network Administrator Salaries <sup>39</sup>	Total
1	16,200	17,376	6,500		
2	75,416	7,500	20,000		
3	69,800	136,140	20,000		
4	168,520	135,750	70,000		
5	104,143	173,712	40,000		
6	236,911	131,304	40,000		
7	43,912	48,888	16,000		
8	39,583	50,532	12,000		
9	75,000	135,456	26,000		
10	40,083	38,148	14,000		
12	41,167	53,136	13,000		
16	53,207	79,692	16,000		
17	27,500	64,752	12,000		
18	43,821	64,596	30,000		
20	292,369	45,492	16,000		
<b>Total</b>	<b>1,327,632</b>	<b>1,182,474</b>	<b>351,500</b>	<b>377,000</b>	<b>3,238,606</b>

<sup>35</sup> These expenditures do not include costs for day reporting centers. Counties pay for the cost of the buildings.

<sup>36</sup> This table presents estimated county expenditures for local probation agencies, organized by district. Column 2 presents county probation budgets for 2005-2006 (the most recent year available), aggregated to the district level. Columns 3-5, in turn, present estimated costs for leasing, computer supplies, and network administrator salaries that the state would incur if counties withdrew support for probation in a consolidated system. ISP expenditures are excluded from the table because the OPA is in the process of merging these regions into traditional probation districts.

<sup>37</sup> The budget covers expenses such as copying, equipment, phone services, office furniture, and training.

<sup>38</sup> Because the majority of local probation offices are housed in county-owned buildings (the exception if Douglas County), leasing expenses are excluded from the district budgets. If there were no county support for consolidation, however, the state would incur the cost of leasing the buildings. Projected costs were calculated by David Wegner, Deputy Administrator of Operations and Information Technology in the Administrative Office of Probation, based on existing square footage and the square footage rate for each area.

<sup>39</sup> Network administrators are not necessarily tied to districts, so only the total salary is listed.