



**County Chief Adult Probation and Parole Officers  
Association of Pennsylvania**

# **New County Chief Adult Probation Officer Orientation Handbook**

**March 2018**

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## TABLE OF CONTENTS

	Page
Introduction .....	3
• Pennsylvania County Adult Probation and Parole	
About CCAPPOAP.....	4
• Mission Statement	
• History	
• Membership	
• Assessments	
• Officers	
• Committee Structure	
• Executive Director	
• Website	
Evidence-Based Practices .....	11
• Background	
• Components	
• Strategic Plan	
• Moving Forward	
Legislation Impacting the PBPP and County Adult Probation .....	16
• Grant-in-Aid	
• Supervision Fees	
Glossary of Terms .....	18
Acronyms .....	21
Frequently Contacted State Agencies .....	24

## **Introduction**

Welcome to the County Chief Adult Probation and Parole Officers Association of Pennsylvania (hereafter referred to as the *Association*). This handbook presents newly appointed Adult Chief Probation Officers with an introduction and overview to the Association as well as important information related to the field of county adult probation and parole. It is also intended to provide seasoned Chiefs with a refresher. You are encouraged to refer to this handbook whenever you have questions about the Association.

## **Pennsylvania's County Adult Probation and Parole: A Force for Positive Change**

The ultimate goal of county adult probation and parole departments in Pennsylvania is to protect the safety of the public by embracing and providing a balance of prevention, intervention and advocacy.

Under the jurisdiction of the President Judge of the County or Judicial District, the Chief Adult Probation and Parole Officers are responsible for:

- Managing the department's planning process;
- Developing policies, procedures and protocols to meet the changing needs of community corrections;
- Managing methods of delivering services to the courts, community and offenders;
- Managing personnel, finances, information, facilities and equipment;
- Ensuring that the day-to-day challenges are done responsibly, effectively and efficiently.

## **County Adult Probation Departments in Pennsylvania**

Sixty-five of the 67 counties in Pennsylvania operate county adult probation and parole departments. The Pennsylvania Board of Probation and Parole (Board) provides all adult probation and parole services in Mercer and Venango Counties.

## **Mission Statement of the County Chief Adult Probation and Parole Officers Association**

The Association's mission is to:

- advance probation, parole and community corrections practices;
- promote appropriate legislation;
- promote communication and exchange of ideas;
- stimulate high standards of training and professionalization of personnel and agencies;
- promote the provision of quality information to criminal justice decision makers;
- encourage the development of innovative services, research designs, and program evaluation;
- increase public awareness and acceptance of probation, parole and community corrections as meaningful sanctions in the prevention, reduction and deterrence of criminal behavior.

### **Association History**

The Association began in 1964 and became more active in the mid-1970's as a result of the passage of legislation impacting county probation and parole (*note: The history of the early years is non-existent. There are meeting minutes dating back to 1977*). A significant factor in bringing all the county probation chiefs together was after the Parole Act expanded the PBPP's power and duties to include the administration of a Grant-in-Aid (GIA) program for the improvement of county adult probation and parole back in 1965. With the formation of the Association, the GIA was a significant topic of discussion in early meetings. In the late 1970's Association by-laws were developed and adopted.

Articles of Incorporation were filed on August 14, 1998 with the Commonwealth of Pennsylvania, Department of State as a Domestic Non-Profit Corporation.

## **Association Membership**

### **Full Membership (\$50 per year)**

Any chief probation officer/director overseeing a department. Membership is one year. Full members have a vote at all membership meetings and email ballots. Full members may serve on committees, chair committees and run for an elected position in the Association.

### **Associate Membership - Active Employee (\$20 per year)**

Any individual who wishes to pay membership dues and join the Association. Associate members may include deputy chief probation officers/directors, administrators, supervisors, line officers, and individuals in professions related to criminal justice. Associate Members are not entitled to vote or serve on the Executive Committee but are permitted to serve on all other committees.

### **Associate Membership - Retired Employee (\$20 per year)**

Any retired chief probation officer/director, or any other retired individual who wishes to pay membership dues and join the Association. Associate Members are not entitled to vote or serve on the Executive Committee.

## **Benefits of Membership**

- Networking Opportunities
  - Members have the opportunity to meet, interact and discuss issues specific to county adult probation and parole with colleagues from around the Commonwealth.
- Annual Conference - Reduced Registration
  - Members are eligible for the reduced conference registration rates.
- Stay Informed
  - Members can access the "Members Only" page and keep informed of emerging issues in county adult probation and parole.

## **CCAPPOAP Memberships in 2019**

- 61 Full memberships
- 107 Associate memberships

## **Annual Assessments**

According to the Chiefs Association by-laws, the annual county assessment policy was adopted by the membership in 2006 as follows:

*4.1 The Association shall charge an annual assessment to each county in the Commonwealth of Pennsylvania that has an adult probation and parole department as of December 31, 2006. The annual assessment shall be used by the Association to pay the operating expenses of the Association. The amount of the Annual Assessment shall be determined by the Executive Committee and shall be announced by the President to the Association by June 30th of each Calendar Year to be effective January 1st of the following Calendar Year.*

Annual County Assessments are based on the county class size. These assessments have remained the same since this the by-laws were adopted in 2006. The annual assessments comprise the majority of the Chiefs Association annual operating budget. The income generated by the annual county assessments are used to pay for the salary of the Executive Director (an independent contractor), quarterly Chiefs Association meetings, general operating expenses (general office supplies, postage, travel for the Executive Director, etc.), and other Association related expenses (some annual conference related expenses, facility rentals, trainings, speakers, etc.).

### **Assessments by County Class Size**

1 <sup>st</sup> Class county assessment	\$2,990
2 <sup>nd</sup> Class county assessment	\$2,575
2-A Class county assessment	\$2,320
3 <sup>rd</sup> Class county assessment	\$1,830
4 <sup>th</sup> Class county assessment	\$1,600
5 <sup>th</sup> Class county assessment	\$1,265
6 <sup>th</sup> Class county assessment	\$1,030
7 <sup>th</sup> Class county assessment	\$ 800
8 <sup>th</sup> Class county assessment	\$ 595

### **CCAPPOAP Assessments in 2019**

- 54 counties paid their full assessment
- 4 counties paid a partial assessment
- 8 counties did not pay the annual assessment

## **Officers**

The Officers of the Association shall consist of:

- President
- Vice President
- Secretary
- Treasurer
- Three (3) At-Large members
- Immediate Past President

## **Qualifications**

To qualify for elected office in the Association, the candidate must be a Full Member in good standing, willing and able to fulfill the duties of the office for which nominated and be willing and able to serve in the office for the length of time necessary to fulfill the duties of the office. Any elected officer who fails to continue to meet the qualifications or standards of the office to which they were elected may be terminated upon two-thirds (2/3) vote of the Association at a meeting where a quorum has been established.

## **Term of Office**

Members elected to the positions of President, Vice President, Secretary and Treasurer shall serve a two (2) year term beginning on January 1st of the year following his/her election to the position. No officers shall serve for more than two (2) consecutive terms in the same office.

Members elected to the positions of At-Large Member shall serve a three (3) year term beginning on January 1st of the year following his/her election to the position. No officers shall serve for more than two (2) consecutive terms in the same office.

## **Current Officers**

President: Mark Wilson, Lancaster County (2<sup>nd</sup> term; expires 12/31/2019)  
Vice President: April Billet-Barclay, York County (1<sup>st</sup> term; expires 12/31/2019)  
Secretary: Paul Ruffner, Jefferson County (1<sup>st</sup> term; expires 12/31/2019)  
Treasurer: Chris Murphy, Chester County (1<sup>st</sup> term; expires 12/31/2019)  
Immediate Past President: Sally Barry, Lebanon County

## **Current Members At-Large**

At Large Member: Darby Christlieb, Cumberland County (1<sup>st</sup> term; expires 12/31/2020)  
At Large Member: Jamie Jendrysik, Lawrence County (1<sup>st</sup> term; expires 12/31/2020)  
At Large Member: Paul Markiewicz, Erie County (1<sup>st</sup> term; expires 12/31/2021)

## **Committees**

The Association shall establish standing or special committees as may be necessary to carry out its functions. Each committee shall consist of such number of members as the President shall determine and the President shall appoint the chair and designate the other members of the committee. All Full Members and Associate Members are eligible to participate in standing or special committee deliberations but the offering of motions and voting on standing or special committee business shall be confined to committee members. A majority of the members of a standing or special committee shall constitute a quorum for the transaction of business. The President of the Association shall be an ex officio member of all standing or special committees and shall have the authority to vote on any or all standing or special committee business. The following standing committees are established:

**By-Laws Committee** - responsible for reviewing and maintaining the by-laws of the Association;

**Executive Committee** - responsible for conducting the business of the Association and have powers as the Association authorizes. The Executive Committee consists of the President, Vice-President, Secretary, Treasurer, Immediate Past President, and three At-Large members.

**Firearms Committee** - responsible for advising and making recommendations to the County Probation and Parole Officers Firearm and Education Training Commission;

**Inter-County Transfer Committee** - responsible for the development of recommendations and policies regarding the transfer of supervision of adult offenders between counties in the Commonwealth;

**Legislative Committee** - responsible for gathering and disseminating timely and relevant legislative issues to the membership;

**Program Committee** - responsible for scheduling educational presentations on pertinent topics at general business meetings and the annual conference;

**Standards Committee** - responsible for periodically reviewing current standards in adult probation, parole and community corrections and making recommendations to the general membership;

**Training Committee** - responsible for reviewing data pertinent to all training concerns in conjunction with adult probation, parole and community corrections and making recommendations to the general membership.



**Current Committee Chairs** (as of April 2019)

By-Laws Committee:	Darby Christlieb, Cumberland County
Firearms Committee:	Michelle Beaver, Juniata County
Inter-County Transfer Committee:	Nicholas Honyara, Montgomery County
Legislative Committee:	Carl McKee, Warren County
Program Committee:	vacant
Standards Committee:	Chris Murphy, Chester County
Training Committee:	Dan Heydt, Berks County

**Executive Director**

**Appointment**

The Executive Committee, with the approval of the general membership of the Association, may establish a position of Executive Director to assist in the conducting of business of the Association. The Executive Director shall be an independent contractor responsible to the President and the Executive Committee of the Association.

**Duties**

The duties of the Executive Director shall include, but not be limited to, assisting the President and Executive Committee in planning, budgeting, organizing and directing the Association.

Executive Director: Helene Placey (appointed 5/2017)

## **Association Website**

www.ccappoap.com

The goal of the Association's website is twofold:

- To provide information to the public to better understand the challenges of probation and parole work, and;
- To provide a clearing house for the professionals in the field for timely information regarding the Association.

Information included on the website:

- Welcome from the Association President;
- Association's By-Laws;
- Listing of current Officers and Committee Chairs;
- Up-Coming Events (meetings, trainings, conferences);
- Links to other criminal justice-related sites;
- Links to County websites.

There is also a "Members only" tab that requires a user name and password.

Information on the Members only section include:

- Meeting minutes and an archive from previous years;
- Directory of Chief Adult Probation Officers/Director of Probation Services;
- Topical surveys;
- County Transfer Information.

## Evidence-Based Practices (EBP)

### **Background**

Pennsylvania's probation and parole system is highly decentralized. Some counties have implemented many aspects of EBP, others have begun implementation and many have not taken the first steps. The EBP model for probation and parole supervision is large and complex with eight core principles, each with many components. These principles are interdependent and inter-related, and very challenging to implement. The county adult probation departments do not have the internal capacity to manage implementation and deliver the needed training on their own.

Throughout the Commonwealth, county probation and parole departments have different levels of resources, stakeholder support, and readiness. Some adult probation departments have implemented EBP on some level while others have hardly begun. Strategies to help adult probation departments advance their work around EBP must be tailored to their individual circumstances. As a result, the Chiefs Association must take into account the different conditions under which counties are operating and work with key stakeholders to ensure implementation.

County probation departments are especially challenged in adopting EBP because of infrastructure deficiencies and funding constraints.

Financially, county adult probation and parole departments are a key component of the criminal justice system. Their caseloads are high and continue to grow. Funding comes primarily from the counties and raising revenue is limited. These departments carry the largest share of the Commonwealth's correctional workload, but the state provides only a fraction of the funding – an amount that is not adequate to support the provision of effective probation and parole services.

Based on a 2015 Legislative Budget and Finance Committee report entitled "Funding of County Adult Probation Services," some of the major findings reported included:

- 86% of all probation and parole cases were under county jurisdiction (14% under PBPP);
- Average county probation and parole caseloads were high (113 cases per PO);
- Many new responsibilities being placed on county PO in the previous ten years with little or no additional funding;
- State grant-in-aid funding had declined in the previous ten years, both in real dollars and as a percentage of the eligible salaries;
- The percentage of county funds used to support county probation and parole offices has increased across the state.

The Chiefs Association has worked closely with PCCD to initiate the strategic planning process to address these challenges and to help in propelling Pennsylvania's county probation and parole systems into an evidence-based practices implementation phase. This collaborating has consisted of funding an evidence-based practices coordinator position and securing consulting services in the development of a strategic plan. The first step was to gather key stakeholders to form a strategic planning committee which began in 2015. This began a multi-phased strategic plan through which Pennsylvania's adult probation and parole department can acquire the necessary knowledge, tools, guidance, and support to align their practices and policies with research/evidence-based practices.

### **Components of EBP for Adult Probation**

There are several components involved in the implementation of EBP. Some will not require little or no financial support to develop and implement but other components will require a significant amount of financial support.

- **Organizational Commitment** – this should be reflected in the county adult probation departments missions, vision, values and goals, resource allocation and in aspects of the agency policy and practice.
- **Risk and Need Assessment** – Effective, quality assessment of offender risk and needs with actuarial instruments is the foundation of EBP.
- **Supervision Practices** – Evidence-based supervision practices should start with resources based on the risk principle (low risk offenders assigned to minimal supervision; moderate to high risk assigned to manageable-sized caseloads for supervision).
- **Offender Motivation** – Probation officers must work to increase offenders' motivation to work at change. Strategies include: Offender engagement; Alliance between PO and offender under supervision; Motivational Interviewing (MI); Incentives and reinforcements.
- **Case Planning** – A written document that contains the strategy and goals for supervision and should include targeting criminogenic risk factors which drive the criminal behavior (identified in the risk and need assessment).
- **Effective Interventions** – Models focus on the knowledge, skills, abilities and practices of individual POs as they work in their caseload one-on-one with offenders (Four Core Competencies; Core Correctional Practices; Effective Practices in Community Supervision/EPICS; Carey Guides and BITS/Brief Intervention Tools; etc.)
- **Graduated Sanctions** – Sanctions for non-compliance with conditions of probation or parole as part of the supervision process in a more systematic approach.
- **Performance Measurement** – This should include: Process measurement (how well policies and practices have been implemented); Outcome measurement (looking at short, intermediate and long-term results); and Routine feedback.

Change of this scale will require a great deal of time. There will be time spent on planning and designing, time spent in training probation staff for new skills, time spent practicing and mastering those skills, and time devoted to new functions required by the model. One key aspect of is how long this process will take. Change of this scope and scale will take several years to accomplish. Experts in implementation science suggest that successful implementation can take between two and four years. Add the fact that this implementation project is being undertaken not in just one site but across the state in 65 adult probation departments, all of which are at different stages of implementation could suggest an even longer time frame for statewide implementation.

### **Strategic Plan 2016-2018**

In June of 2016, the Association released its strategic plan for advancing Pennsylvania's adult probation and parole system. The goal of the strategic plan is to enhance public safety, reduce recidivism, and provide for a more effective use of public fund through the implementation of evidence-based practices (EBP) in the county adult probation and parole system. Our proposed strategic plan is the result of a dynamic partnership between the Association and many key stakeholders in Pennsylvania's criminal justice system.

With over 86% of the total community-based offender population under the supervision of county adult probation and parole departments, and the costs of managing offenders on the rise – with well over 50% of the funding of county offender supervision borne by the county – the restructuring and enhancement of county probation and parole is at a critical juncture. The implementation of effective, research-based supervision practices provides a roadmap to improve supervision strategies, which will lead to improved public safety.

During the strategic plan development stages, we were able to identify many challenges that could potentially pose roadblocks to the forward movement of this initiative. We prefer, however, to look at these challenges as stepping stones that will lead us to a more enhance system.

The strategic plan is the beginning of a multi-year effort to achieve better outcomes in community-based offender recidivism rates. We believe the strength of our strategic plan lies in the support and collaboration of county adult probation and parole partners and key state stakeholders.

In December 2018, the Chiefs Association members adopted a resolution to extend the strategic plan for three more years (2019 through 2021).

### **Strategic Plan Goals**

As part of the strategic plan development, the Strategic Planning Committee developed six goals as a plan to help guide subcommittees as they develop detailed plans of actions throughout the planning and implementation process. The goals established are as follows:

- Goal One: Establish the routine and effective use of actuarial assessments for purposes of pretrial and post-conviction placement and supervision and programming;
- Goal Two: Develop an EBP Implementation Plan;
- Goal Three: Establish, with AOPC, CCAP, PCCD, DOC, and PBPP, a policy and organizational infrastructure and technical assistance resources to support the successful implementation of EBP at the local and state levels;
- Goal Four: Develop a funding plan to support and encourage the development, implementation, and ongoing confidence in the efficacy of evidence-based practices;
- Goal Five: Develop a plan to ensure victims of crime are empowered, informed, notified, and made whole to the degree possible;
- Goal Six: Develop a comprehensive and diverse communication strategy.

Since the release of the strategic plan in 2016, the Chiefs Association has focused on Goal Two and the development of an EBP statewide implementation plan. This comprehensive EBP implementation plan will identify the key activities to be undertaken by the counties, plan for educational and training opportunities, assist with engaging the stakeholders, account for unique challenges faced by rural counties, and provide tools such as a case plan template to encourage consistency and best practices.

### **EBP Moving Forward: Regional Training and Technical Assistance**

In the fall of 2017, the County Chiefs Association EBP Coordinator began efforts by organizing the counties regionally into one of seven (7) geographic regions. The seven regions mirror the regions established with the juvenile probation departments via the Juvenile Court Judges Commission (JCJC). This regional structure will provide a more efficient and effective approach to managing implementation activities across the Commonwealth.

The regional meetings began in November 2017 and concluded in December 2017. The goal was to determine the specific implementation needs of the county adult probation departments. The Chief Probation Officers (CPO) were invited to attend and to bring one or two additional staff, typically deputy chiefs or other staff involved with the implementation of EBP. The goal was to hold small group discussions that would provide detailed, locally-focused information on the status of implementation and on the needs going forward. A total of 51 counties attend the regional meetings.

Additionally, an objective of Goal Two is to establish EBP forums for stakeholders to orient them to probation and parole departments endorsement of EBP statewide. The Chiefs Association, in conjunction with their EBP Coordinator, is in the beginning stages of conducting some of these educational forums. In February 2018, the Chiefs Association was part of a panel discussion at the Pennsylvania Conference of State Trial Judges Winter Conference to provide an overview of the EPB implementation project. In June 2018, the Chiefs Association provided

a presentation at the PJ-PACM annual conference. Additionally, in June 2019, a similar presentation was conducted at the Pennsylvania Bar Institute's Criminal Law Symposium. The Chiefs Association hopes this will lead to additional educational forums in the future for prosecutors, defense attorneys, community service providers, victim service agencies, and others. These types of EBP forms will provide a consistent and uniform message about EBP and will help to educate and familiarize stakeholders with EBP and identify ways the stakeholders can be supportive.

The main focus of the funding for this project will be used toward a phased-in training plan. This technical assistance and training plan will be consistent throughout the state and utilize the regional approach rather than county specific in order to consolidate resources. The regional approach should also capitalize on and benefit from surrounding counties that have larger populations and more resources.

Regional Implementation Planning Workshops will be held to assist each county adult probation department in the development of its individual implementation plan. Since the county probation departments are each at differing points in the implementation process and have greatly varying resource bases, the plans will be highly individualized.

The Chief Probation/Parole Officers (CPO) and key staff in each region will meet on a regular basis to monitor implementation, share resources, troubleshoot challenges and provide peer support.

Training on the EBP components will be delivered regionally to the greatest degree possible. Many of the county adult probation departments are small and do not have the staff resources to develop their own training capacity. Pooling resources in the region will enable the smaller departments to participate in the needed training. The regions will also enable more efficient use of technical assistance resources, such as consultants.

## **Legislation Impacting the PBPP and County Adult Probation**

### **Act 501 of 1965 (Grant-in-Aid, Training, Statistical Publication)**

Amendment to the Parole Act significantly broadened the board's powers and duties to include the administration of a Grant-In-Aid Program [61 Pa. C.S.A. §6133(c)] for the improvement of county adult probation and parole services, the establishment of Statewide probation and parole personnel and program standards, the provision of training for county adult probation and parole personnel [61 Pa. C.S.A. §6133(d)], and the collection, compilation, and publication of county probation and parole statistical information [61 Pa. C.S.A. §6133]. The Act also provides for an Advisory Committee on Probation to assist the board in formulating and reviewing standards for probation personnel and program services for the counties.

Although the board provides technical assistance, county adult probation and parole services are not under the jurisdiction of the board.

### **Act 134 of 1986 (Grant-in-Aid Formula)**

Set the grant-in-aid formula for county probation personnel costs at 80%, however, if insufficient funds are appropriated each county shall receive a prorated reduction in grant-in-aid funds.

### **Act 111 of 1998 (Collection of Offender Supervision Fees)**

The Crime Victims Act, Act 1998-111 (which repealed Act 1991-35), requires that adult offenders who are under the supervision of county adult probation agencies and the PBPP pay a special monthly fee [18 P.S. §11.1102]. The act requires the court to impose, as a condition of supervision, a monthly "supervision fee" of at least \$25 on any offender placed on probation, parole, accelerated rehabilitative disposition, probation without verdict, or intermediate punishment.

The court may reduce, defer, or waive the fee if the offender is:

- receiving public assistance;
- a full-time student;
- incarcerated;
- not employable because of a disability;
- responsible for supporting dependents and paying the supervision fee would be a hardship; or
- experiencing other extenuating circumstances.

Each county is to retain 50 percent of the supervision fees it collects and deposit them into a County Offender Supervision Fund. As mandated by the act:

The county treasurer shall disperse money from this fund only at the discretion of the president judge of the court of common pleas. The money in this fund shall be used to



pay the salaries and employee benefits of all probation and parole personnel employed by the county probation and parole department and the operational expenses of that department.

The act further states that revenues from the supervision fees are to be used to supplement federal, state, and county appropriations for the county adult probation and parole departments.

The 50 percent of supervision fee collections not deposited into the county Offender Supervision Fund is turned over to the Commonwealth for deposit into a restricted receipt account in the state General Fund (entitled the State Offender Supervision Fund). Supervision fees that the counties transfer to the Department of Revenue are initially deposited in a clearing account and then into the SOSF. This account is administered by the PA Board of Probation and Parole.

The fees are then returned to the counties quarterly on a dollar-for-dollar basis as stipulated in an annual supervision fee contract between each county and the Board. Any interest earned while the fees are in the SOSF are retained in the General Fund.

The law does not require that the state return the supervision fees to the counties or that the distribution be made on a dollar-for-dollar basis. This practice is based on Board policy that was adopted immediately upon the enactment of the legislation. While not explicitly stated in the act, Board staff who were involved in the development of the supervision fee legislation believe that returning the monies to the counties was always the intent of the legislation.

## **Glossary of Terms**

### **Basic Training Academy (BTA)**

The Pennsylvania Board of Probation, Bureau of Training, provides entry level training for state parole agents as well as county adult probation and parole officers. Often, separate BTA courses are provided for county staff only and in other instances slots are made available in class with state parole agents. The Board also makes other training programs available to the counties.

### **Firearm Education Training Commission (FETC)**

Provides Pennsylvania county probation and parole departments firearms education and training programs, improves knowledge and competence with firearms, thus enhancing the safety and security of the citizens in the Commonwealth.

### **Gagnon I Hearing**

A first-level, probable cause hearing held by a court or a probation officer to determine whether there is sufficient evidence to charge an offender with a violation of probation or parole.

### **Gagnon II Hearing**

A second-level, fact-finding hearing held by a common pleas court to determine whether an offender has in fact violated the terms and conditions of probation or parole and, if so, whether the offender should be sent to prison as a violator or continued on probation or parole.

### **Grant in Aid (GIA)**

The authority is found in 61 Pa. C.S.A. § 6133. Probation services. (c) Grant-in-aid.

(1) A county that provides additional probation staff for presentence investigations and improved probation supervision and programs shall receive a grant-in-aid from the Commonwealth through the board for additional costs incurred thereby but only to the extent that the additional staff and program meet the qualifications and standards established by the board.

(2) The grant-in-aid shall provide 80% of the personnel salary costs incurred by a county to administer these additional services and programs.

(3) If insufficient funds are appropriated, each county shall receive a prorated reduction in the grant-in-aid.

(4) The board shall establish rules and regulations for the allocation of funds available for such grants-in-aid.

### **Evidence Based Practice (EBP)**

Evidence-based practice (EBP) is the application of science into operational practice for services and programs for offenders. The goal is to use practices that have been empirically tested and have been shown to reduce recidivism among offenders.

Based on numerous studies and meta analyses of offender rehabilitation programs, researchers have outlined a set of principles to guide the implementation of EBP.

The evidence-based principles for effective services and interventions with offenders are:

- Conduct an assessment of offender risk and needs using an actuarial instrument and determine the drivers of criminal behavior;
- Enhance intrinsic motivation through use of constructive communication techniques, such as motivational interviewing and goal setting;
- Apply risk, need, and responsivity principles (i.e., target high-risk offenders, focus on changing criminogenic factors, provide services that match needs.) provide the appropriate dosage of services; and, deliver treatment and other services as part of the sentencing and sanctioning process;
- Employ programs and practices grounded in scientific evidence (i.e., cognitive behavioral therapy) and delivered by trained staff;
- Utilize community support networks to reinforce pro-social behaviors and help offenders establish prosocial contacts in the community;
- Routinely monitor and assess offender and staff performance.

### **Justice Reinvestment Initiative (JRI)**

The federal Bureau of Justice Assistance (BJA) within the U.S. Department of Justice initiated the Justice Reinvestment Initiative in 2006 to provide policymakers with resources and tools to work toward a more effective justice system. JRI was a response to decades of justice approaches that relied heavily on incarceration strategies, which resulted in significant increases in incarceration rates, criminal justice spending, and probation and parole rates. Moreover, recidivism rates remained high.

The idea of justice reinvestment is “to manage and allocate criminal justice populations more cost-effectively” by collecting and analyzing data addressing the drivers of criminal justice populations and costs, then effecting policy, practice, and program modifications to increase how productive the system is, while measuring how fiscal issues and public safety concerns are affected by the changes. Two of the key JRI strategies that impact county probation and parole offices are creating more alternatives to jail for unsentenced populations and preventing repeat offenders from returning to jail by increasing services both before and after their release. Savings generated by such efforts are to be reinvested in evidenced-based strategies and practices.

Pennsylvania joined JRI in 2011, working with the Counsel of State Governments Justice Center and establishing a working group that gathered input from stakeholders and non-stakeholders, as well as further analyzed statewide justice system data to identify population and cost drivers. Certain policy options were enacted via two legislative vehicles, Senate Bill 100 and House Bill 135. SB 100 created new sentencing guidelines for probation and parole revocations, expanded existing programs designed to reduce recidivism, mandated lowest level misdemeanor offenders not receive prison sentences, eliminated the pre-release program, revised parole board policies regarding sanctions for parole violators, and increased use of technology to reduce processing delays. The JRI legislation did not, however, include all of the policies proposed by the working group, so the impacts were revised from a reduction of approximately 3,000 in the Pennsylvania prison population from 2012 to 2016 to a reduction of approximately 750.

## **Sex Offender**

An adult placed under, or made subject to, supervision as the result of the commission of a criminal offense and released to the community under the jurisdiction of courts, paroling authorities, corrections, or other criminal justice agencies, and who is required to register as a sex offender either in the sending or receiving state and who is required to request transfer of supervision under the provisions of the Interstate Compact for Adult Offender Supervision.

## **Sexually Violent Predator (SVP)**

This is a designation made by the sentencing court.

## **Sex Offenders Assessment Board (SOAB)**

Sexual Offenders Assessment Board is an independent board who conducts risk assessments of sexual offenders.

## **Special Probation**

A probation term imposed by a court having criminal jurisdiction where the court by special order directs supervision by the Board pursuant to 61 Pa.C.S. § 6133(a) and 37 Pa. Code §§ 65.1 – 65.7. The court having criminal jurisdiction retains revocation authority.

## **Standards & Audits**

The authority of the PBPP to administer uniform standards for the quality of probation services is based upon the statutory provisions found in 61 Pa.C.S.A. §6133(c). Policies and procedures for audits are enumerated in the Board's document, Volume III, Chapter 4, Procedure 4.04.08, entitled Supervision, Reentry, Subject: Probation Services; County Adult Probation and Parole Standards Audits.

All counties that receive GIA funding are subject to these policies. The Board has adopted the American Correctional Association's Performance-Based Standards for Adult Probation and Parole Field Services, 4th Edition, for implementation in all county adult probation and parole departments participating in the GIA program.

Each fiscal year, the Board conducts a standards audit in each county of approximately one-third of the 173 ACA standards. FY 2014-15 is the third of a three-year cycle: the audit in FY 2012-13 audited 59 standards, the audit in FY 2013-14 audited 57 standards, and this fiscal year's audit will also review 57 standards. If a county is found to be noncompliant with any standards, those standards are to be reviewed again during the next year's audit.

The Board's current standards are divided between three indices: Community, Offender, and Agency. Subsets of these indices are shown in the Table on the next page.

Staff of the Board of Probation and Parole's Bureau of Probation Services conduct annual on-site audits of the county adult probation departments. During these visits, Board staff determines "compliance," "non-compliance," or "non-applicability" with the required standards for that year's audit. Each

probation and parole office is to meet and maintain compliance with 90 percent of all applicable standards over the three-year audit cycle.

Determination of compliance is done by conducting interviews with the county chief adult probation officer, county probation and parole personnel, and other appropriate county/court personnel. Additionally, the auditor will review county department and court policies, procedures, practices, case records, and other appropriate files and documents.

The Board’s auditors meet with the county agency administrator and other staff, as appropriate, in an exit interview prior to leaving the agency at the conclusion of the audit. During the exit interview, the auditors discuss the audit and inform the agency of the degree of compliance achieved.

Upon completion of the report, the Board sends a copy of the audit report to the county’s chief adult probation officer and the president judge. The president judge is asked to comment on the audit report findings and may also appeal audit findings of non-compliance. Appeals must be made in writing within 30 days of receipt of the audit report cover letter.

**Standards for County Adult Probation**

<b>Category</b>	<b>Number of Standards</b>
Community Index	
• Community Protection	4
• Sentencing Recommendations	10
Offender Index	
• Responsibility	8
• Offender Behavior	16
• Offender Compliance	12
• Parole and Post-Release	6
• Offender Success	4
• Conditions of Supervision	1
• Offender Responsibility	2
• Fairness	2
Agency Index	
• Competence, Training, and Development	29
• Protection from Harm	11
• Ethics	3
• Efficiency	38
• Working Conditions	17
• Safety and Security	3
• Protection from Harm	4
• Vehicle Safety	3
<b>Total Standards</b>	<b>173</b>

## **ACRONYMS**

AOD: Alcohol and Other Drugs

AOPC: Administrative Office of PA Courts

ARD: Accelerated Rehabilitation Disposition

ASCRA: Assessment, Sanctioning Community and Resource Agents (PBPP)

BAC: Blood Alcohol Content

BCC: Bureau of Community Corrections

BTA: Basic Training Academy

CBT: Cognitive Behavioral Therapy

CCC: Community Corrections Center

CCF: Community Corrections Facility

CCJ: Contracted County Jail

CHRIA: Criminal History Record Information Act

D/A: Drug and Alcohol

MDJ: Magisterial District Judge

DOC: Department of Corrections

EBP: Evidence Based Practices

FETC: Firearm Education and Training Commission

JNet: Justice Network

JRI: Justice Reinvestment Initiative

LSI-R: Level of Service Inventory-Revised

NCIC: National Crime Information Center. A nationwide computerized information system established as a service to all local, state, and federal law enforcement/criminal justice agencies

OVA: Office of the Victim Advocate

PBPP: Pennsylvania Board of Probation and Parole

PCCD: Pennsylvania Commission on Crime and Delinquency

PFA: Protection From Abuse

PREA: Prison Rape Elimination Act

PSI: Pre-Sentence Investigation

PSP: Pennsylvania State Police

PV: Parole Violator

RAP Sheet: Record of Arrest and Prosecutions

RRRI: Recidivism Risk Reduction Incentive

RSAT: Residential Substance Abuse Treatment

RST: Risk Screen Tool (DOC Instrument)

RTKL: Right to Know Law

SAVIN: Statewide Automated Victim Information and Notification

SCI: State Correctional Institution

SID No: State Identification Number

SIP: State Intermediate Punishment

SO: Sexual Offender

SOAB: Sexual Offenders Assessment Board

SORNA: Sex Offender Registration and Notification Act

SSN: Social Security Number

SVP: Sexually Violent Predator

TABE: Test of Adult Basic Education

TCU: Texas Christian University Drug Screen

THU: Transitional Housing Unit

TPV: Technical Parole Violator

## **Frequently Contacted State Agencies**

### **DOC**

George Little, Chief Deputy Secretary for Community Corrections & Reentry

Phone: 717-728-4070 or 717-728-4182

Email: geolittle@pa.gov

### **FETC**

Joe McLaughlin, Executive Director

Phone: 717-787-5699, Ext. 1524

Email: jmaclaughl@pa.gov

### **JNET**

Todd Sackett, Communications Manager

Phone: 717- 214-7461

Email: tsackett@pa.gov

### **PBPP (Grant in Aid; Standards)**

Thomas Dougherty, Director, Division of Grants, Standards, and Court Services

Phone: 717- 787-7461

Email: thdoughert@pa.gov

### **PBPP (Interstate)**

Matt Reed, Acting Director & Acting PA Deputy Compact Administrator, Interstate Probation Division

Phone: 717-787-5699, ext. 1138

Email: mthompson@pa.gov

### **PBPP (Training)**

Greg Young, Director, Bureau of Training

Phone: 717-783-7045

Email: gyoung@pa.gov

### **PBPP (Basic Training Academy)**

Melissa Bronstetter, Chief, Bureau of Training

Phone: 717-361-4323; Cell: 717-418-5714

Email: mbronstette@pa.gov

### **PCCD**

Mike Pennington, Director, Office of Juvenile Justice & Delinquency Prevention PCCD

Phone: 717-265-8461

Email: mpenningto@pa.gov

### **PA Commission on Sentencing**

State College Office: 814-863-2797

Harrisburg Office: 717-772-3776