

Indiana Supreme Court

Probation Quarterly Reports Guide



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Probation Consolidation

Since January 1, 2012, probation departments are to report as one probation department unless you had a prior separate juvenile department recognized as a separate department by the Indiana Judicial Center (now the Indiana Office of Court Services).

Comments Regarding Column and Line Entries

In reporting supervisions in Parts I, II and III, the probation department is counting cases, not just persons. If a person is facing convictions/sentences/charges in multiple cases and is assigned to one probation department, the department reports each sentence, in the relevant column, on the relevant report(s). For example, if a person is charged and convicted with both a misdemeanor and a felony, the supervision assigned is reported on both the Adult Felony report and Adult Misdemeanor Report.

The probation department must report the supervision based on the offense with the highest degree for which the person was placed on probation. If a case is filed with felony charges but the conviction and sentence are on a lesser-included misdemeanor, the supervision should be reported on the Misdemeanor report if that is the offense with the highest degree of conviction on the case. Likewise, if the charging information on a misdemeanor case is amended to include additional felony charges, and the person is convicted and sentenced on the felony, the supervision should be reported on the Adult Felony report.

ADULT FELONY AND MISDEMEANOR PROBATION QUARTERLY REPORTS

The matrixes on the traditional paper worksheets for Adult Felony and Adult Misdemeanor Probation Reports contain three parts, which are subdivided into supervisions, dispositions of supervisions, and status of pending supervisions.

Columns – Supervisions

The categories designated in Part I, II, and III, Columns 1-8 are defined as follows:

1. Post Sentence Supervisions

The probation department will report in this category persons ordered under supervision after conviction and sentencing. Generally, the Post-Sentence supervisions represent convictions where the entire sentence is suspended in favor of probation only. Also, when a person is given credit for time served awaiting sentencing or trial, and only placed on probation, this category is used.

Pursuant to Indiana Code 35-38-2.6-3, this category includes placement in a community corrections program as an alternative to commitment to the department of correction, subject to residential bed or home detention unit availability.

When a convicted person is sentenced to a local facility, to be followed by probation, the probation department will report the supervision under Column 3 instead.

PART I: SUPERVISIONS

	1	2	3	4	5	6	7	8
	Post-Sentence Supervision	Split-Sentence Supervisions	Inter-State Accepted	Intra-State Accepted	Supervision in Lieu of Prosecution	Judgment Withheld	Other (Specify)	Total Supervisions
A Supervisions Previously Pending	107	63	13	14	0	0	0	197
B New Supervisions Received	23	15	1	2	0	0	0	41
C Supervisions Re-opened	3	3	0	0	0	0	0	6
D Total Supervised Cases Before You	133	81	14	16	0	0	0	244

2. Post “Split-Sentence” Supervision

The probation department will report in this category those persons ordered under supervision after a commitment to the Indiana Department of Correction for a period of time, or commitment to a local facility. These cases should not be counted until the

convicted person is released from the institution and is being supervised by the probation department. At the time the convicted person is released, the supervision is received by the probation department and reported on Line B. This category includes any sentence that is a combination of confinement and probation and almost always involves felony convictions rather than misdemeanors, although some misdemeanor convictions will result in split sentences. Confinement facilities include the Department of Correction, Community Correction facilities, and rehabilitation units that are considered secure facilities. The key to this category is that the sentence involves a period of commitment in a secure facility, to be followed by probation.

3. Inter-state Accepted

If the probation department receives transfers of probationers through the Inter-state Compact (from another state), the department will report those probationers in this column. When the probationer has completed probation or is otherwise removed from supervision in Indiana, the supervision will be disposed of on the appropriate line item.

4. Intra-state Accepted

If the probation department receives transfers of probationers through the Intra-state Compact (from another Indiana county), the department will report those probationers in this column. When the probationer has completed probation or is otherwise removed from supervision in the receiving county, the supervision will be disposed of on the appropriate line item.

5. Supervision in Lieu of Prosecution

If a court determines that probation is a better alternative rather than actual prosecution for a crime (generally misdemeanors), including some sort of court-ordered treatment, the probation department will report the supervision in this category. There must be a court order for this category to be used. Most counties use this category for their court-ordered diversion programs. Indiana Code 12-23-5-1 permits this type of supervision when the court "takes judicial notice of the fact that proper early intervention, medical, advisory, or rehabilitative treatment of the defendant is likely to decrease the defendant's tendency to engage in antisocial behavior."

6. Judgment Withheld

When the prosecutor and defendant have agreed to withhold judgment during a period of deferred prosecution, frequently the defendant is supervised by a probation officer. If your department supervises defendants while judgment is withheld based on an

agreement with the prosecutor, report the supervision in this column.

7. Other

The probation department will report persons under supervision under circumstances not reflected in Columns 1-7. An explanation must be provided in the free form text field available after Part III of the report. Problem Solving Court cases should be reported on Problem Solving Court Performance Measures only and should not be reported here.

8. Total Supervisions

(Add Columns 1-7): Columns 1-7 for each line entry are automatically tallied and updated by ICOR. The preparer should verify that the totals are accurate.

Part I — Adult Supervisions

This Part includes the total supervisions assigned to the reporting probation office. The number includes previously pending, newly received supervisions, and supervisions re-opened. The total represents the number of supervisions the office had pending during the quarter.

PART I - SUPERVISIONS	
A.	Supervisions Previously Pending
B.	New Supervisions Received
C.	Supervisions Re-Opened
D.	Total Supervised Cases Before You (add lines A through C)

A. Part I, Line A: Supervisions Previously Pending

The number of supervisions pending at the end of the previous quarter should roll to Line A. Previously pending supervisions are those supervisions that have not been closed or inactivated before the end of the previous quarter. For the first quarter of each year, Line A will be available for editing if needed.

For the 2nd Quarter, the ICOR application will automatically carry forward the number of supervisions that are pending at the end of the 1st Quarter (Line K of the report) to automatically fill in Part I, Line A for you on the report for the 2nd Quarter. This same process will take place for your 3rd and 4th Quarter reports. **You have the ability to edit**

Line A in the first quarter only.

B. Part I, Line B: New Supervisions Received

The number of “New Supervisions Received” during the quarter should be entered on Line B, under the appropriate category the probation supervision falls, as discussed above.

C. Part I, Line C: Supervisions Re-Opened

The number of “Supervisions Re-Opened” during the quarter should be entered on Line C, under the appropriate category the probation supervision falls, as discussed above. On this line, the probation department should enter a supervision that had previously been reported as closed or inactive, but the department has now resumed active supervision. For example, if the probationer had absconded, but he has now returned to your supervision, that should be reported on this line.

Since 2008, Inter-state and Intra-state transfers out are no longer considered closed or inactive if a probationer transferred out in one quarter the probation would remain active until conclusion of supervision. (i.e., discharge or revocation). In the event that your court relinquished jurisdiction to the receiving county you should close this case.

D. Part I, Line D: Total Supervisions before You

ICOR will automatically add Lines A, B, and C for you and will enter the total on Line D, again under the appropriate category the probation supervision falls.

Part II — Closed and Inactive Supervisions

When a person is released from probation, the type of disposition should be noted in the appropriate column. Not all dispositions close the file. Sometimes the probation file is inactivated for a period of time, as is discussed below.

PART II: CLOSED AND INACTIVE SUPERVISIONS

	1	2	3	4	5	6	7	8
	Post-Sentence Supervision	Split-Sentence Supervisions	Inter-State Accepted	Intra-State Accepted	Supervision in Lieu of Prosecution	Judgment Withheld	Other (Specify)	Total Supervisions
E Discharged (Completed Probation)	7	6	0	1	0	0	0	14
F Revoked Because of a New Offense	4	1	0	0	0	0	0	5
G Revoked For Technical Violation Only	0	5	5	0	0	0	0	10
H Absconded and/or Warrant Active	0	3	0	0	0	0	0	3
I Other Closed/Inactive Supervisions (specify)	1	0	0	0	0	0	0	1
J Subtotal Closed/Inactive Supervisions	12	15	5	1	0	0	0	33
K Supervisions Pending	121	66	9	15	0	0	0	211

E. Part II, Line E: Discharged (Completed Probation)

For the Adult Felony and Misdemeanor reports, the probation department should report a discharged probation supervision when the person has completed the term of probation. If the reporting probation department is conducting supervision as a courtesy county for another probation department within Indiana or outside, when the supervised person’s probation is discharged in the sentencing county, it is counted on Line I, under Columns 3 or 4, rather than this Line. Use this line to report discharged probation for both successful and unsuccessful supervisions.

F. Part II, Line F: Revoked Because of New Offense

Entries on Line F represent supervisions where the supervised person’s suspended sentence has been revoked because of a new offense. In order to count a closed supervision on this Line, the court must have signed a revocation order. If the revocation resulted from a new offense and a technical violation, only the new offense (Line F) should be counted. This category may also be used for those offenders who are arrested on a new offense while under “Supervision in Lieu of Prosecution” or Pre-trial supervision and subsequent charges are filed. If the reporting probation department is conducting supervision as a courtesy county for another probation department within Indiana or outside, when the supervised person’s probation is revoked in the sentencing county, it is counted on Line I, under Columns 4 or 5, rather than this Line.

G. Part II, Line G: Revoked for Technical Violation Only

Entries on Line G should be made when the supervised person is no longer under supervision due to revocation of the suspended sentence because of a technical violation (i.e., any violation of the terms of probation other than commission of a new offense). In order to count a closed supervision on this Line, the court must have signed a revocation

order. This category may also be used for those offenders who fail to successfully complete "Supervision in Lieu of Prosecution" and are subsequently prosecuted on the original offense or for persons on Pre-trial supervision whose bond is revoked and who are removed from pre-trial supervision. Examples of technical violations include failing a random drug screening test, leaving the jurisdiction without permission, possession of a weapon, et cetera. If the reporting probation department is conducting supervision as a courtesy county for another probation department within Indiana or outside, when the supervised person's probation is revoked in the sentencing county, it is counted on Line I, under Columns 3 or 4, rather than this Line.

H. Part II, Line H: Absconded and/or Warrant Active

Entries on Line H represent those supervisions that have been inactivated because the supervised person has fled the jurisdiction, whether a bench warrant has been issued by the sentencing court or not. If the supervision is returned to the probation department, the supervision is reopened by entering the supervision under the appropriate category in Part I. Until such time as the warrant is executed or the probation is otherwise closed, the probation department may be required to maintain the file in its inactive status, depending on the court's directions. If the reporting probation department is conducting supervision as a courtesy county for another probation department within Indiana or outside, when the supervised person has absconded, with or without an active warrant, it is counted on this Line under Columns 3 or 4.

I. Part II, Line I: Other Closed/Inactive Supervisions

Entries on Line I represent persons whose supervision is no longer active for reasons other than those reflected in Lines E through H above. Most frequently, probation departments acting as courtesy departments for Intra-state or Inter-state transferees will use Line I. When a probation department for another jurisdiction supervises a person, and the supervision is closed or otherwise inactivated due to the above reasons, the courtesy probation department closes the case on Line I.

Line I is also used when the department determines that no more assistance is necessary for the supervised person, or is closed for lack of ongoing interest in the supervised person (i.e., a supervised person absconded at the end of his or her probation sentence and a determination is made to terminate his probation rather than revoke).

Examples of reasons for Line I entries include death of the supervised person, serving sentence in another state under a different conviction, incarcerated in another jurisdiction so probation supervision is no longer relevant.

If a value higher than zero is provided in Line I, an explanation is required in the text field

provided after Part III.

J. Part II, Line J: Subtotal Closed/Inactive Supervisions

ICOR will automatically calculate the totals of closed and inactive supervisions for each supervision category, adding Lines E through I.

K. Part II, Line K: Supervisions Pending at End of Quarter

To arrive at the number of supervisions pending at the end of the reporting period, ICOR will subtract Line J from Line D, for each column. ICOR will do this for you automatically, so you don't have to manually enter data on this line. This number should be the number of cases on active probation at the end of the reporting period and should represent the Line A entries for the following reporting period.

Part III – Status on Pending Supervisions

This section provides greater detail on how the open supervisions reported in Part I are being handled by the probation department.

PART III: STATUS ON PENDING SUPERVISIONS

	1	2	3	4	5	6	7	8
	Post-Sentence Supervision	Split-Sentence Supervisions	Inter-State Accepted	Intra-State Accepted	Supervision in Lieu of Prosecution	Judgment Withheld	Other (Specify)	Total Supervisions
L On Probation	82	37	9	15	0	0	0	143
M Intra-state Transferred Out	18	15	0	0	0	0	0	33
N Inter-state Transferred Out	21	14	0	0	0	0	0	35
O Other Supervisions (specify)	0	0	0	0	0	0	0	0
P Total (should equal line K)	121	66	9	15	0	0	0	211

L. Part III, Line L: On Probation

This line represents the typical supervision that the probation department provides. A supervision that has unique aspects and is otherwise not described in Lines M or N would be recorded on Line O.

M. Part III, Line M: Intra-State Transferred Out

Supervisions that have been transferred to another department within Indiana are reported on this line. Because the department may be required to maintain a file on the person for court reports or other purposes, the supervision will still be reported by the originating probation department as pending even if supervision is transferred to another probation department within Indiana. If the supervised person returns to the

original sentencing jurisdiction after having been reported as Line M, Intra-state Transferred Out, the supervision status is changed to either Line L or Line O, depending on the type of supervision.

N. Part III, Line N: Inter-State Transferred Out

Supervisions that have been transferred to another state are reported on this line. Because the department may be required to maintain a file on the person for court reports or other purposes, the supervision will still be reported by the originating probation department as pending even if supervision is transferred to another state.

Inter-state transfers occur when the probation sentence involves special needs, available only in distinct jurisdictions, or the supervised person resides out of state. If the supervised person returns to the original sentencing jurisdiction after having been reported as Line N, Inter-state Transferred Out, the supervision status is changed to either Line L or Line O, depending on the type of supervision.

O. Part III, Line O: Other Supervisions (specify)

A pending supervision that is otherwise not reported on Lines L, M or N would be recorded on Line O. If supervisions are reported on this line, they must be explained in the text box available after Part III of the report. Entries on this line include files where fees remain unpaid, restitution is still outstanding or deceased.

P. Part III, Line P: Total – Should equal line K under Part II

ICOR will automatically add lines L through O for you. The numbers on Line P should equal the numbers on Line K because Part III of the report is simply a more detailed description the pending supervisions that are reported on Line K.

Following Part III, you are requested to explain all entries in the “Other” category.

When a probation department enters supervisions in Column 7, or Lines I or O, or both, please provide explanations in the free form text field provided.

One statement for each type of situation is sufficient.

Part IV — General - Additional Information

This Part relates to additional information regarding the assigned supervisions, regarding supervision levels, substance abuse disruptions and diversion programs. All questions in Part IV must be filled out in order to submit a final report.

PART IV: General

If your department completes both the adult felony report and the adult misdemeanor report, please answer questions 1-5 on only one of the reports.

1. What is the total number of felons or misdemeanants under probation supervision with your department at the end of the reporting period: (List Highest Classification)

Felons	<input type="text" value="0"/>
Misdemeanants	<input type="text" value="0"/>

2. Of the people reported in question 1, how many were placed in the following workload categories/supervision levels?

A High	<input type="text" value="0"/>
B Medium	<input type="text" value="0"/>
C Low	<input type="text" value="0"/>
D Administrative	<input type="text" value="0"/>
E Total	<input type="text" value="0"/>

3. How many other people did you have at the end of the reporting period that you were monitoring for administrative purposes? (These are in addition to the people reported in question 1 above. Example: an offender has been released from probation but the file is monitored for collection of fees.)

If your department completes both the Adult Felony and the Adult Misdemeanor Reports, Questions 1- 5 should be answered on only one of the reports. The system will ask the preparer to provide the following information:

1. Question 1, Total number of felons or misdemeanants under probation supervision with your department at end of reporting period

This number reflects the actual number of people (not cases) on probation at the end of the period. If you are supervising a person for a felony, but also supervising that person for a misdemeanor, count that person only in the felony category; do not count that person again as a misdemeanor.

2. Question 2, Probation Supervision Workload

These numbers represent the workload categories/supervisions levels of the persons listed under probation supervision in Question 1. All probation departments must complete workload measures as required by Probation Standard 4.5. An important part of the workload measures formula is the number of high, medium, low, and administrative supervisions each probation department handles. The numbers from the workload categories/supervision levels are used in the workload formula to determine the number of probation officers needed to meet a department’s minimum standards. This question must be filled out completely in order to submit a final report. Line E, Total, is automatically tallied and updated by ICOR. Line E should be equal to the number of felons and the number of misdemeanants listed in Question 1 (Offenders who do not yet have a supervision level should be counted as “administrative” for statistical purposes only. The offender’s actual supervision level will be captured in the next reporting period.)

3. Question 3, Other Adults Being Monitored at the End of the Reporting Period

These are in addition to question 1 above. This includes other people you have at the end of the reporting period that you are monitoring for administrative purposes. Example: an offender has been released from probation but, the file is monitored for collection of fees.

4. Question 4, Pre-Sentence Investigations

- A.** If a probation department receives an order from a court to conduct a pre-sentence investigation and conducts the investigation during the reporting period, it must be reported here. All courts about to sentence on Classes A, B and C Felony convictions as well as felony levels 1, 2, 3, 4 and 5 will order a pre-sentence investigation. A court may also order a pre-sentence investigation for a Class D or Level 6 felony conviction, but rarely orders one for a misdemeanor. However, if the pre-sentence investigation is waived on a Class D or Level 6 felony and the defendant is later committed to a Community Corrections program or the DOC, the "equivalent" of a pre-sentence investigation is required, which is called the Face sheet for DOC Commitment in the pre-sentence investigation application of INcite. Because of lack of resources, the probation departments do not need to conduct pre-sentence investigations unless ordered by the court.

- B.** Many probation departments are asked to conduct other reports for the court system, including home studies, pre-trial release recommendations, family law evaluations and predispositions on Petitions to Revoke probation. To the extent the department created any additional reports, identify the type of report and the number of each in the space provided.

5. Question 5, Provision of Services for Outside Programs

If a probation department contracts to provide services for various programs, the department should indicate so in this question, list the entity(ies) in the free form text field and any revenue received from the services provided (dollar value). The purpose of the question is to determine how many probation departments provide services to outside entities (examples: urine screens for prosecutor diversion programs, criminal history check for other departments, substance abuse education or "thinking for a change" taught to non-probationers, alcohol education, defensive driving class, et cetera). Also included as some of the services potentially provided by the probation department are community corrections programs associated with the department where the person is not on probation but only on home detention or work release, yet the department monitors the person during the relevant time period.

6. Question 6, Substance Abuse Offense Supervisions

From the total number of supervisions received during the reporting period (Part I, Line B, Column 8), the probation department will report how many were based on substance abuse convictions or charges. Below is a list of the substance abuse offenses (list is comprehensive but may not be exhaustive); if a supervision relates to an offense not listed but involves substance abuse, include the supervision here:

- Attempt or Conspiracy to deal, possess, deliver, manufacture drugs: methamphetamine, controlled substance, cocaine, marijuana, legend drug
- Dealing in a Schedule I, II, III, IV or V Controlled Substance: Cocaine, Marijuana, Hash Oil or Hashish, Legend Drug
- Dealing in a Substance Represented to be a Controlled Substance
- Dealing/Possessing a Look-alike Substance
- Dealing in a Counterfeit Substance
- Furnishing alcohol to a minor
- Possession/Consumption/Transportation of Alcohol by a Minor
- Maintaining/Visiting a Common Nuisance
- Entrance by a Minor in a Tavern
- Obtaining a Drug by Fraud: Legend or controlled substance
- All classifications of Impaired Driving offenses
- Possession of Controlled Substance, Cocaine, Legend Drug, Marijuana, Hash Oil or Hashish, Methamphetamine, Narcotic
- Possession of Paraphernalia, Precursors, Reagents and Syringes
- Dealing in Paraphernalia
- Prescription Fraud, Deceit, Forgery
- Public Intoxication
- Penalty for failure to pay tax
- Glue Sniffing

7. Question 7, Number of supervisions convicted of a sex offense

From the total number of supervisions received during the reporting period (Part I, Line B, Column 8), the probation department will report how many were based on sex convictions or charges. Below is a list of sex offenses:

- Rape
- Criminal deviate conduct
- Child molesting
- Child exploitation

- Child seduction
- Sexual Misconduct with a Minor
- Incest
- Possession of Child pornography
- Vicarious sexual gratification; fondling in presence of minor
- Child solicitation
- Sexual battery
- Sexual trafficking of a minor
- Prostitution or Promoting Prostitution
- Attempt or Conspiracy to commit any of the above

JUVENILE PROBATION QUARTERLY REPORT

Part I Columns — Referral Categories

The categories designated in Part I (A), Columns 1-3, are defined as follows:

1. Non-Status Delinquents

Juveniles referred to the probation department for an act that would be a crime if committed by an adult, pursuant to Indiana Code 31-37-1 et seq.

2. Status Delinquents

Under Indiana Code 31-37-2-1 et seq., juveniles referred to the probation department for acts that are delinquent acts due to their age, such as truancy, runaway, incorrigibility, curfew violation, and violations of Indiana Code 7.1-5-7 et seq. (concerning minors and alcoholic beverages).

3. Other Referrals

Juveniles referred to the probation department under circumstances that are not reflected in the above definitions. If this category is used, the department should provide the reasons in the free form text field below Part I (B). A probation department may use this column when a report regarding a juvenile is directed to a probation office for information only, or the report does not rise to the level of an offense, whether status or non-status. The department should reflect all referrals directed to the department but sometimes they do not represent offenses that can be prosecuted or otherwise disposed.

Prior to 2008, juveniles referred to the probation department who are defined as Children in Need of Services (CHINS) under Indiana Code 31-34-1-1 et seq. were reported in a separate column. CHINS referrals are now recorded under the "Other" category. If a juvenile has been determined to be in need of services and also has committed an offense or a report has been referred to the probation department regarding the juvenile, the probation department should report the referral under this category. In addition to the preliminary inquiry, the probation department may be able to discuss the issues with a social worker or other person assigned to the case to determine the best remedies the department can offer the juvenile.

Part I (A) — Referrals

What is a 'Referral' and who makes it?

A probation department includes in the referral category any allegation of juvenile misconduct, whether it stems from the police, parents, school, commercial businesses, or other adults. Examples of referrals can be police reports of juvenile misconduct, complaint of incorrigibility by a parent, report from a school as to truancy or misconduct by the juvenile, allegation by a neighbor regarding misconduct by the juvenile, or a report from a retail store regarding shoplifting allegations. If an allegation triggers some action by the department, whether the department determines it is credible or prosecutable, the report is counted under referrals.

Generally, the probation department receives the report but, in some counties, the prosecutor receives the report and forwards it to the appropriate probation department. As discussed above, the referral is categorized based on the type of allegation alleged, i.e., non-status offense, status offense or other.

A. Part I, Line A: Referrals Previously Pending

The number of referrals pending at the end of the previous quarter should be entered on Line A, "Referrals Previously Pending."

For the first quarter of each year Line A will reflect the number of referrals pending at the close of the 4th Quarter of the previous year (found on Line M of the report) or, if you have done a hand count of your files, you may enter the results of your hand count. The first quarter is the only time that Line A will be available for manual adjustment of previously pending totals.

For the 2nd Quarter, the ICOR application will automatically carry forward the number of referrals that are pending at the end of the 1st Quarter (Line M) to automatically fill in Line A for you on the report for the 2nd Quarter. This same process will take place for your 3rd

and 4th Quarter reports.

B. Part I, Line B: New Referrals

Enter referrals received by the probation department during the reporting period.

C. Part I, Line C: Total Referrals Before Probation Department

You do not need to do anything here. ICOR automatically tallies and updates the pending and new referrals on Line C, "Total Referrals Before Probation Department."

Part I (B) - Disposition of Referrals

When a referral is filed with a probation department, the department reviews the referral to determine if it should make a recommendation to the prosecutor to file a Petition, recommend dismissal, or other disposition. Probation Departments should conduct preliminary inquiries on all referrals filed with the department. Sometimes the department will receive multiple referrals for the same juvenile. Each referral receives its own disposition, regardless of whether collectively they are considered in one inquiry and then prompt the department to recommend a Petition be filed. The following are the different disposition types for referrals:

D. Part I, Line D: Preliminary Inquiry with Recommendation to File Petition

If the department determines that the prosecutor should file a Petition with the court for the offense alleged, the referral is disposed on Line D, under the same category that it was reported, regardless of whether the recommended petition will allege a status or non-status offense.

E. Part I, Line E: Preliminary Inquiry with Recommendation to refer for assessment by dual status assessment team. NOTE: this is a new disposition effective July 1, 2015.

Use this line if the department determines that a recommendation to refer for assessment by a dual status assessment team. Dual status is defined in IC 31-41- 1- as:

1. a child who is alleged to be or is presently adjudicated to be a child in need of services under IC 31-34-10 or IC 31-34-11 and is alleged to be or is presently adjudicated to be a delinquent child under IC 31-37-12 or IC 31-37-13;
2. a child who is presently named in an informal adjustment under IC 31-34-8 and who is adjudicated a delinquent child under IC 31-37-12 or IC 31-37-13;

3. a child who is presently named in an informal adjustment under IC 31-37-9 and who is adjudicated to be a child in need of services under IC 31-34-10 or IC 31-34-11;
4. a child who:
 - a. has been previously adjudicated to be a child in need of services under IC 31-34-10 or IC 31-34-11; or
 - b. was a participant in a program of informal adjustment under IC 31-34-8; and who was under a wardship that had been terminated or was in a program of informal adjustment that had concluded before the current delinquency petition;
 - c. a child who was:
 - 1) previously adjudicated to be a delinquent child under IC 31-37-12 or IC 31-37-13 that was closed; and
 - 2) a participant in a program of informal adjustment under IC 31-37-9 which was concluded prior to a child in need of services proceeding; and
5. a child who:
 - a. is eligible for release from commitment of the department of correction;
 - b. whose parent, guardian, or custodian:
 - c. cannot be located; or
 - d. is unwilling to take custody of the child; and
 - e. for whom the department of correction is requesting a modification of the dispositional decree under IC 31-30-2-4.

F. Part I, Line F: Preliminary Inquiry with Recommendation for Informal Adjustment

An informal adjustment is essentially a contract between the juvenile, the court, and the probation officer for a period of time, giving the juvenile an opportunity to adjust his or her behavior, rather than be charged with an offense. This tool is used in lieu of prosecution. The disposition is not an adjudication, does not require court costs to be paid, and does not require the juvenile to admit any wrongdoing.

Informal adjustments are advised when the state has probable cause to file a petition, but the juvenile is better off receiving an opportunity to correct his or her actions. Frequently, the juvenile is normally a good child, but made a poor decision, at the wrong time, in the wrong place. The decision carries consequences, but an informal adjustment is more likely to remedy the situation than the prosecutor pursuing a case.

Informal adjustments can be for as long as six months, with an option to extend the time for another three months.

G. Part I, Line G: Preliminary Inquiry with Recommendation to Informal Adjustment and refer for an assessment by the dual status assessment team.

NOTE: this is a new disposition effective July 1, 2015.

Use this line for all recommendations for informal adjustments and a referral for assessment by dual status team. See above for definition of dual status.

H. Part I, Line H: Preliminary Inquiry with Recommendation to Refer to Another Agency or County

Sometimes the department will receive a report alleging an issue that is better resolved by another county or agency, whether private or government funded. If the juvenile gets into mischief in your county, but he lives in another county, it may be more appropriate to recommend that the matter be handled in the juvenile's home county. If so, that would be reported on Line F. Likewise, if the department determines that the best resolution for the juvenile is to have the issue resolved by another agency, the department should dispose the referral on Line F. A probation department may refer cases to a variety of agencies including mental health or psychological facilities/agencies, school educational testing agency, community services agency.

I. Part I, Line I: Preliminary Inquiry With Recommendation to Dismiss

The probation department should use Line I to dispose referrals that should be dismissed. Sometimes the referral alleged a legitimate offense or difficulty but by the time the inquiry is conducted, the issue has been resolved. An example is when a department receives a report from the school that a juvenile has been truant. When the department conducts its inquiry, the juvenile has already moved to his father's home and is enrolled in his new school. That referral would be disposed on Line I. The key is that if the preliminary inquiry is conducted and the department determines that the issue alleged is resolved, the referral should be dismissed.

J. Part I, Line J: Preliminary Inquiry with Recommendation for Waiver

Enter the referral in Line J if the department not only recommends that the prosecutor file a Petition with the court for the offense alleged, but also makes a recommendation that jurisdiction of the case be waived to a court that would have jurisdiction had the act been committed by an adult.

K. Part I, Line K: Other Disposition of Referral

The probation department uses Line K when a referral is disposed but the reason is not reflected in Lines D through J. Examples include death of a youth, a determination that the referral does not rise to the level of prosecutable offense, or the juvenile is already on probation, so the department will not benefit from conducting a preliminary inquiry, or the juvenile is warned by the department but released with conditions. When a department uses Line K, please provide an explanation for each reason in the free text field shown after Part I (B). If the department disposed of 5 referrals due to warning and release, one explanation is satisfactory. The free form text gives IOCS an opportunity to examine whether more disposition types should be added to the report.

L. Part I, Line L: Total Referrals Disposed

You do not need to do anything here. ICOR will automatically calculate the number of dispositions reported for each category, Lines D through K.

M. Part I, Line M: Referrals Pending

ICOR automatically subtracts Line L from Line C in Part I. The numbers in Line M will be the number of referrals that are pending at the end of the reporting period. ICOR will automatically carry forward the numbers from Line M to Line A of your next quarter's report for the year.

Following Part I (B), you are requested to explain all entries in the "Other" category. Explain entries in Column 3 and on Line K "Other".

Part II—Supervisions

If a probation department has received a referral, conducted a preliminary inquiry, and the juvenile has been given an informal adjustment, the probation department will supervise the juvenile and report these supervisions in either Column 3 (Non-status Delinquents) or Column 4 (Status Delinquents).

If the preliminary inquiry led to a prosecutor filing a petition and the court orders supervision, the probation department will receive the juvenile as a supervision and report these supervisions as Post-Adjudication supervisions, in either Column 1 or 2.

A. Part II, Line A: Supervisions Previously Pending

Part II, Line A represents the supervisions previously pending in the probation department. For the first quarter of each year, Line A will reflect the number of supervisions pending at the close of the 4th Quarter of the previous year (found on Line L of the report) or, if you have done a hand count of your files, you may enter the results of your hand count. Only

for the first quarter is Line A available for manual adjustments of totals.

For the 2nd Quarter, the ICOR application will automatically carry forward the number of supervisions that are pending at the end of the 1st Quarter (Line L of the report) to automatically fill in Part II, Line A for you on the report for the 2nd Quarter. This same process will take place for your 3rd and 4th Quarter reports.

B. Part II, Line B: Supervisions Received

This line represents the number of new supervisions the probation department received for each category of juvenile during the reporting period.

C. Part II, Line C: Supervisions Re-opened

Enter a supervision that had previously been reported as closed or inactive, but the department has now resumed active supervision. For example, if the probationer had absconded, but he has now returned to your supervision, that should be reported on this line. Since 2008 Inter-state and Intra-state transfers out are no longer considered inactive, if a probationer transferred out in one quarter but in a later quarter returned, you would not enter that supervision on this line since his supervision would already have been counted on Line A as a supervision previously pending.

D. Part II. Line D—Total Supervisions Before You

ICOR will automatically tally and update the total supervisions before the probation department on Part II, Line D.

Part II Columns — Supervision Categories

1	2	3	4	5	6	7	8
Post-Adjudication		Informal Adjustment		Intrastate Accepted	Interstate Accepted	Other (Specify)	Total Supervisions
Non-Status Delinquents	Status Delinquents	Non-Status Delinquents	Status Delinquents				

The types of supervision listed in Columns 1-7, Parts II, III, and IV are defined as follows:

1. Post-Adjudication - Non-Status Delinquents

Juveniles who are ordered under supervision for non-status offenses, as a result of a formal court disposition.

2. Post-Adjudication - Status Delinquents

Juveniles who are ordered under supervision for status offenses, as a result of a formal court disposition.

3. Informal Adjustment - Non-Status Delinquents

Juveniles who are ordered under supervision for a non-status offense, as a result of an informal adjustment.

4. Informal Adjustment - Status Delinquents

Juveniles who are ordered under supervision for status offenses, as a result of an informal adjustment.

5. Intra State Accepted Supervision

Juveniles accepted under supervision from other courts within Indiana. Generally, the resident county uses this category when the juvenile and/or the family reside in a different county than where the sentence was issued, and the original probation department has requested courtesy supervision.

6. Inter-state Accepted Supervision

Juveniles accepted under supervision from outside Indiana. Generally, this category is used when the receiving probation department provides services for special needs juveniles. Transfer to another state is very expensive, and most probation departments must seek permission to do so.

7. Other Supervisions

Juveniles ordered to be supervised under circumstances not reflected in Columns 1-6 above. CHINS supervisions should be entered in this column. NOTE: If a probation department reports supervisions in this category, it must provide an explanation for those juveniles in the text box provided after Part IV for each type of juvenile reported.

8. Total Supervisions

ICOR will automatically add up the total supervisions for each Line entry provided in Parts II, III and IV.

Part III — Closed and Inactive Supervisions

PART III: CLOSED AND INACTIVE SUPERVISIONS

		1	2	3	4	5	6	7	8
		Post-Adjudication		Informal Adjustment		Intrastate Accepted	Interstate Accepted	Other (Specify)	Total Supervisions
		Non-Status Delinquents	Status Delinquents	Non-Status Delinquents	Status Delinquents				
E	Discharged (Closed Supervisions)	13	6	4	2	0	0	0	25
F	Modified & Committed to Correctional Facility (DOC) (Technical Violation)	1	0	0	0	0	0	0	1
G	Modified & Committed to Correctional Facility (DOC) (New Offense)	0	0	0	0	0	0	0	0
H	Removed from Supervision Because of New Offense	0	0	0	0	0	0	0	0
I	Absconded	0	0	0	0	0	0	0	0
J	Other (specify below)	0	0	0	0	0	0	0	0
K	Total Closed/Inactive Supervisions (add lines E through J)	14	6	4	2	0	0	0	26
L	Supervisions Pending (line D minus line K)	59	13	3	3		2		80

When a juvenile is released from supervision, the type of disposition must be reflected under the appropriate supervision category. Prior to 2008, if a probation supervision was transferred to another state (Inter-state transfer-out) or to another county in Indiana (Intra-state transfer-out), the supervision was reported as inactive. However, since 2008 those transfer-out supervisions are now considered pending. The types of dispositions are defined as follows:

E. Part III, Line E: Discharged (Closed Probation)

When a juvenile has successfully completed his or her probation, the supervision is disposed on Line E. Also reported on Line E are the supervisions where probation has been revoked due to a litany of technical violations. The probation department will petition for a modification of the probation and the original supervision will be discharged.

F. Part III, Line F: Modified and Committed to Correctional Facility (Technical Violation)

Line F is used when a juvenile is removed from probation due to a revocation and subsequent commitment to a correctional facility for technical violations of the conditions of probation. A technical violation is any violation of a condition of probation other than commission of an offense. A correctional facility may include any facility through the Department of Correction or any detention facility. Entries on Line F should be differentiated from entries on Line G, where probation has been revoked due to adjudication for a new offense and the juvenile is committed

to a correctional facility. Example: a juvenile on probation continues to test positive for

marijuana, which is a violation of the conditions of probation. The Judge may execute the juvenile's sentence and send the juvenile to the Department of Correction. The probation office would have petitioned to modify the probation due to the rule violation (drug test) and the Judge modified the sentence to include commitment time.

G. Part III, Line G: Modified & Committed to Correctional Facility (New Offense)

Use Line G when a juvenile is removed from probation due to a revocation and subsequent commitment to a correctional facility due to a new offense. If the revocation resulted from a new offense and a technical violation, only the new offense (Line G) should be counted.

H. Part III, Line H: Removed from Supervision Because of New Offense

The probation department should report supervisions that have been inactivated due to a petition for modification of probation prompted by a referral to the department that the juvenile has committed a new offense. Line I entries differ from the other modifications because the department has received a referral and recommended a petition be filed or a modification of the original probation, rather than discovering the violations through its own supervision. The department will presumably be reassigned the juvenile for supervision at some point, due to the new offense, but the file must be inactivated until such time as the court has ordered a renewed supervision.

I. Part III, Line I: Absconded

The probation department should report supervisions that are inactive because the juvenile hides, conceals or absents him/herself with the intent to avoid legal process or authorized control. The department does not need to distinguish between the reasons the juvenile has left the jurisdiction but, should file necessary notice to the Court (warrant, petition to modify, etc.) to inactivate the case pending discovery of the juvenile and possible return to probation supervision. If the juvenile returns to the probation department, the supervision is reopened on Line C in Part II.

J. Part III, Line J: Other Closed/ or Inactive Supervisions

The probation department should report supervisions that have been closed or inactivated due to circumstances not reflected in lines E through I. If the department reports supervisions inactivated on this Line, it should provide an explanation in the text box following Part IV. Examples: the juvenile: (1) dies; (2) has been released due to a court order of emancipation prior to age 18.

K. Part III, Line K: Total Closed/Inactive Supervisions

ICOR will automatically calculate the totals of closed and inactive supervisions for each supervision category, adding Lines E through J.

L. Part III, Line L: Supervisions Pending

ICOR will automatically deduct the total closed and inactive supervisions from the total pending, received and re-opened supervisions (Line D) and will enter the numbers on this line for you.

Part IV: Status of Pending Supervisions

This section of the Report provides greater detail on how the open supervisions reported in Part II are being handled by the probation department.

PART IV: STATUS OF PENDING SUPERVISIONS

	1	2	3	4	5	6	7	8
	Post-Adjudication		Informal Adjustment		Intrastate Accepted	Interstate Accepted	Other (Specify)	Total Supervisions
	Non-Status Delinquents	Status Delinquents	Non-Status Delinquents	Status Delinquents				
M On Probation	58	13	3	3	0	2	0	79
N Modified & Placed in an In-state Residential Facility (Technical Violation)	0	0	0	0	0	0	0	0
O Modified & Placed in an In-state Residential Facility (New Offense)	0	0	0	0	0	0	0	0
P Modified & Placed in an Out-of-state Residential Facility (Technical Violation)	0	0	0	0	0	0	0	0
Q Modified & Placed in an Out-of-state Residential Facility (New Offense)	0	0	0	0	0	0	0	0
R Placed in Community Transition Program (Actively Providing Services)	0	0	0	0	0	0	0	0
S Intrastate Transferred Out	1	0	0	0	0	0	0	1
T Interstate Transferred Out	0	0	0	0	0	0	0	0
U Other (specify below)	0	0	0	0	0	0	0	0
V Total Status (should equal line L)	59	13	3	3	0	2	0	80

Please explain entries in "other" categories.

M. Part IV, Line M: On Probation

This line represents the typical supervision that the probation department provides for a probationer. A supervision that has unique aspects and is otherwise not described in Lines M – T would be recorded on Line U.

N. Part IV, Line N: Modified & Placed in an In-State, Residential Facility(Technical Violation)

When the juvenile's probation has been modified by the court based on a technical violation (any violation other than commission of an offense), and the juvenile is

subsequently placed in a residential facility located within the state of Indiana, the supervision should be reported on this line. This category does not include those juveniles who are placed in a non-correctional facility on an original charge. Example: A juvenile committed a technical violation while on probation and the probation department files a petition to modify the probation. The judge determines that the juvenile should be placed in a non-correctional facility, such as juvenile detention in Indiana. The juvenile is not considered incarcerated.

Because the probation office continues to report to the court on the juvenile's progress in the facility, the file is not closed. If placement in the facility was prior to the probation, the supervision is not counted on this line because the placement was not due to a modification sought by the probation department.

O. Part IV, Line O: Modified & Placed in an In-State Residential Facility (New Offense)

When the juvenile's probation has been modified by the court based on a new offense, and the juvenile is subsequently placed in an in-state, residential facility, the supervision should be reported on this line. This category does not include those juveniles who are placed in a non-correctional facility on an original charge. Example: While on probation, a juvenile committed an act that would be a crime if committed by an adult and the probation department files a petition to modify the probation. The judge determines that the juvenile should be placed in a non-correctional facility, such as juvenile detention in Indiana. The juvenile is not considered incarcerated. Because the probation office continues to report to the court on the juvenile's progress in the facility, the file is not closed. If placement in the facility was prior to the probation, the supervision is not counted on this line because the placement was not due to a modification sought by the probation department.

P. Part IV, Line P: Modified & Placed in an out-of-state, Residential Facility (Technical Violation)

The probation department should report the supervisions in which the terms of probation have been modified by the judge to place the juvenile in a residential facility outside the state of Indiana on this line. The only difference between Lines N and P relates to where the residential facility is located. Many special needs juveniles are placed in out-of-state facilities to promote their rehabilitation. As with Line N entries, the probation department continues to monitor the juvenile while in the facility, to report on educational, medical, familial issues as well as work on the transition plans for the juveniles when they are released from detention.

Q. Part IV, Line Q: Modified & Placed in an Out-of-State Residential Facility (New Offense)

When the juvenile's probation has been modified by the court based on a new offense, and the juvenile is subsequently placed in a residential facility located outside the state of Indiana, the supervision should be reported on this line. The only difference between Lines O and Q relates to where the residential facility is located.

R. Part IV, Line R: Placed in Community Transition Program

Many probation departments coordinate their work with the Community Transition Programs in their counties. If the department provides services when a juvenile is placed in a community transition program, include the supervision on this line in the appropriate column. If your supervisee is placed in a community transition program but you do not provide any services, the supervision should be disposed of in Part III rather than considered open and active.

S. Part IV, Line S: Intra-state Transferred Out

Supervisions that have been transferred to another department within Indiana are reported on this line. Because the department may be required to maintain a file on the juvenile for court reports or other purposes, the supervision will still be reported by the originating probation department as pending even if supervision is transferred to another probation department within Indiana.

T. Part IV, Line T: Inter-state Transferred Out

Supervisions that have been transferred to another state are reported on this line. Because the department may be required to maintain a file on the juvenile for court reports or other purposes, the supervision will still be reported by the originating probation department as pending even if supervision is transferred to another state.

U. Part IV, Line U: Other

A pending supervision that is otherwise not reported on Lines M - T would be recorded on Line U. If supervisions are reported on this line, they must be explained in the text box following Part IV.

V. Part IV, Line V: Total Status

ICOR will automatically total up the various status types (Lines M - U). Because Part IV of the report is a more detailed description of the probation supervisions that are pending, Line V must equal Line L.

Following Part IV, you are requested to explain all entries in the “Other” category for sections II, III, and IV. This includes entries in Column 7, Line J, and Line U.

Part V — Reports, Supervision workload, Substance Abuse

Part V asks for specific information related to the referrals and supervisions before the probation office for the reporting period. The following information is requested:

PART V: Reports, Risk Assessments, Substance Abuse		
1.	How many predispositional reports were completed during the reporting period?	11
2.	How many progress reports on the implementation of the Court's Decree were completed during the reporting period?	0
3.	What is the total number of juvenile probationers under supervision with your department at the end of the reporting period?	57
4.	Of the juveniles reported in question 3, how many were placed in the following workload categories/supervision levels?	
	A. High	4
	B. Medium	19
	C. Low	30
	D. Administrative	4
	E. Total (A through D)	57
5.	How many other juveniles did you have at the end of the reporting period that you were monitoring for administrative purposes? (These are in addition to the juveniles reported in question 3. Example: a juvenile has been released from probation but the file is monitored for collection of fees.)	0
6.	Of the supervisions received this quarter (Part II, Line B, Column 8), how many were convicted of a substance abuse offense as defined in the instruction manual?	6
7.	Of the supervisions received this quarter (Part II, Line B, Column 8), how many were convicted of a sex offense as defined in the instruction manual?	0

1. Question 1, Predispositional Reports

The probation department should indicate the total number of predispositional reports completed during the quarter, including all reports filed after a petition has been filed with the court. These are similar to pre-sentencing reports ordered by the Judge in adult probation cases.

2. Question 2, Progress Reports

The probation department should indicate the total number of progress reports completed. A progress report is defined as any written report filed with the court or the probation office subsequent to adjudication. Reports may be completed by the probation department, counselors, detention facilities, or other interested persons.

3. Question 3, Number of Probationers

The matrix Parts I through IV report on the numbers of supervisions. Question 3 in this section focuses on the number of juveniles (not cases) under your supervision. The

number may or may not be equal to the number of supervisions pending at the end of the reporting period.

4. Question 4, Probation Supervision Workload

These numbers represent the workload categories/supervision levels of the juveniles listed under probation supervision in Question 3. This question must be filled out completely in order to submit a final report. Line V, Total, is automatically tallied and updated by ICOR. Line V should be identical to the value of Part III, Line L, Column 8. (Juveniles who do not yet have a supervision level should be counted as "administrative" for statistical purposes only. The juvenile's actual supervision level will be captured in the next reporting period.)

5. Question 5, Other Juveniles Being Monitored at the End of the Reporting Period

Count the number of juveniles you have at the end of the reporting period that you were monitoring for administrative purposes. These are in addition to the juveniles reported in Question 3. (Example: A juvenile has been released from probation, but the file is monitored for collection of fees.)

6. Question 6, Substance Abuse Offense

Even though the question refers to "conviction," the probation department will report how many supervisions were based on adjudications for offenses that involve illegal/illicit substances including informal adjustments received during the reporting period (Part II, Line B, Column 8). The list of substance abuse offenses provided below applies to this question as well:

- Attempt or Conspiracy to deal, possess, deliver, manufacture drugs: methamphetamine, controlled substance, cocaine, marijuana, legend drug
- Dealing in a Schedule I, II, III, IV or V Controlled Substance: Cocaine, Marijuana, Hash Oil or Hashish, Legend Drug
- Dealing in a Substance Represented to be a Controlled Substance
- Dealing/Possessing a Look-alike Substance
- Dealing in a Counterfeit Substance
- Furnishing alcohol to a minor
- Possession/Consumption/Transportation of Alcohol by a Minor
- Maintaining/Visiting a Common Nuisance
- Entrance by a Minor in a Tavern
- Obtaining a Drug by Fraud: Legend or controlled substance
- All classifications of Impaired Driving offenses
- Possession of Controlled Substance, Cocaine, Legend Drug, Marijuana, HashOil or

Hashish, Methamphetamine, Narcotic

- Possession of Paraphernalia, Precursors, Reagents and Syringes
- Dealing in Paraphernalia
- Prescription Fraud, Deceit, Forgery
- Public Intoxication
- Penalty for failure to pay tax
- Glue Sniffing

7. Question 7, Sex Offense

From the total number of supervisions received during the reporting period (LineB, Column 8), the probation department will report how many supervisions were based on adjudications for sex offenses. The list of sex offenses provided above for the Adult Probation forms applies to this question as well.