

# Indiana Supreme Court Probation Quarterly Reports Guide

**Revised January 2026**



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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 Office Of Court Services (IOCS).

### **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.

IOCS has provided sample reports in PDF format for your review and printing. These samples are intended to assist you in preparing your report before entering your information into the electronic form within the ICOR application. The reports are updated every year. Please ensure you are viewing the appropriate year for the quarterly report you are submitting.

[ICOR Guides and Sample Report Forms](#)

# **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.

### **2. 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 1-6. 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.

#### **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. Only the first quarter of each year, Line A will be available for editing if needed.

Pending supervisions from Line K of each quarterly report automatically populates to Line A Previously Pending of the following quarterly report.

Please note:

- You can edit Line A only in the 1st Quarter report.
- For all subsequent quarters (quarters 2 - 4), Line A will be auto-filled and cannot be changed manually.

#### **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.

#### **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.

### **Line D: Total Supervisions**

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.

### **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.

### **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 3 or 4, rather than this Line.

### **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.

### **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.

### **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 supervises a person for another jurisdiction, 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.

### **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.

### **Line K: Supervisions Pending**

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 supervision 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.

### **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.

### **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.

### **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.

### **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.

### **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.

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

**Question 1, What is the total number of felons or misdemeanants under probation supervision with your department at end of reporting period (List the Highest Classification per individual)**

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.

## **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. Question 2 Line E, Total, is automatically tallied and updated by ICOR. Question 2 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.)

## **Question 3, Other Adults Being Monitored at the End of the Reporting Period for Administrative Purposes**

**These are in addition to question 2 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.

## **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. List the Type, Quantity, and Description in the area provided in the electronic report.

## **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.

## **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

### **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 9), 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 etseq. (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 department 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**

Any written report or document received by a probation department or prosecuting attorney indicating that a child has allegedly committed a delinquent (crime or status) act.

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.

### **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."

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

Quarter's 2-4 Line A cannot be manually adjusted. , The ICOR application automatically carries forward the number of referrals that are pending at the end of each Quarter (Line M) to automatically fill in Line A for you on the report following report.

### **Line B: New Referrals**

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

### **Line C: Total Referrals**

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 made, 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 as required. 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:

### **Line D: Preliminary Inquiry with Recommendation to File Petition**

If the department recommends that the prosecutor 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.

### **Line E: Preliminary Inquiry with Recommendation to File Petition and Refer for an Assessment by the Dual Status Assessment Team**

Use this line if the department recommends a referral for assessment by a dual status assessment team. Dual status is defined in IC 31-41-1-2.

### **Line F: Preliminary Inquiry with Recommendation to Informal Adjustment**

An informal adjustment is essentially an agreement between the juvenile, the court, and the probation officer for a period of time, giving the juvenile an opportunity to adjust their behavior. 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 their 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 three months, with an option to extend the time for another three months. Fees for informal adjustments are not permitted.

### **Line G: Preliminary Inquiry with Recommendation to Informal Adjustment and Refer for an Assessment by the Dual Status Assessment Team.**

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.

## **Line H: Preliminary Inquiry with Recommendation for Diversion by the Prosecutor**

Enter the number of Preliminary Inquiry reports that include a recommendation for the prosecutor to refer the youth to a diversion program.

“Diversion by Prosecutor” refers to the process outlined in IC 31-37-8.5-1 where the prosecutor reviews the Preliminary Inquiry report recommendation for referral to a diversion program to decide how to dispose of the referral. The Preliminary Inquiry report must include the results of the IYAS Diversion Tool. After submitting the Preliminary Inquiry report to the prosecutor, the probation department awaits communication of the prosecutor’s decision before taking any action. Local policy and practice will dictate how information is exchanged between the prosecutor and probation department and the level of court oversight.

### **Practice Example:**

- Step 1: Probation receives a request for a Preliminary Inquiry report from the prosecutor or a referral for an allegation of delinquency.
- Step 2: Probation completes the Preliminary Inquiry report and sends it to the prosecutor.
- Step 3: Prosecutor reviews the Preliminary Inquiry report and concurs with a recommendation for diversion.
- Step 4: Prosecutor notifies probation of decision for diversion.
- Step 5: Probation directs the youth to a diversion program.

## **Line I: Preliminary Inquiry with Recommendation for Diversion by Policy**

Enter the number of Preliminary Inquiry reports that include a recommendation to refer the youth to a diversion program in accordance with local policy that does not require further prosecutorial review.

“Diversion by Policy” refers to the process where the probation department prepares a Preliminary Inquiry report that includes a recommendation for referral to a diversion program, and by local policy, has authority to dispose of the referral without exchanging additional information from or seeking additional approval by the prosecutor. The Preliminary Inquiry report must include results of the IYAS Diversion Tool. The probation department’s authority to dispose of a referral without further

approval by the prosecutor should be documented in policy<sup>1</sup> that includes the alleged offenses and circumstances that enable and limit that authority.

**Practice Example:**

By policy of the court and prosecutor, the probation department conducts preliminary inquiries without awaiting direction from the prosecutor. If the Preliminary Inquiry report results in a recommendation for referral to a diversion program and the policy's criteria are met, the probation department directs the youth to a diversion program. The documented policy should clearly define the criteria and circumstances for appropriate use of this process. Criteria may include:

- applicable offenses (e.g., status, low-level misdemeanors, specific allegations)
- legal history (none, limited, or specific period of time since the last referral)
- factors mitigating the need for supervision by the court (risk for re-offense, school and community connections)
- Step 1: Probation receives a referral for an alleged offense that is identified in the policy.
- Step 2: Probation completes the Preliminary Inquiry report and determines diversion criteria is met.
- Step 3: Probation recommends diversion per documented policy.
- Step 4: Probation directs the youth to a diversion program.

**Line J: 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. If the juvenile gets into mischief in your county, but 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 J. 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 J. A probation department may refer cases to a variety of agencies including mental health or psychological facilities/agencies,

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<sup>1</sup> In accordance with section 1.3 of the Indiana Probation Standards, each probation department must establish and maintain documentation of policies. Contact the Indiana Office of Court Services for examples of diversion policies.

school educational testing agency, community services agency.

### **Line K: Preliminary Inquiry With Recommendation to Dismiss or Take No Further Action**

The probation department should use Line K if the recommendation is to dismiss or take no further action on the referral. 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 their father's home and is enrolled in a new school. The referral would be disposed on Line K. The key is that if the preliminary inquiry is conducted and the department determines that the issue alleged is resolved, the recommendation should be for dismissal.

### **Line L: Preliminary Inquiry with Recommendation to File Petition with Waiver**

Enter the referral on Line L 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.

### **Line M:Other Disposition of Referral**

The probation department uses Line M when a referral is disposed but the reason is not reflected in Lines D through L.

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 M, 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.

### **Line N: Total Referrals Disposed (Add Lines D through M)**

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

## **Line O: Referrals Pending (Line C minus Line N)**

ICOR automatically subtracts Line N from Line C in Part I. The total in Line O 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 O to Line A of the next quarterly report.

The preparer is required to explain all entries in the "Other" category. Provide and explanation for entries in Column 3 and on Line M "Other".

## **Part II—Supervisions**

If a probation department has received a referral, conducted a preliminary inquiry, and the juvenile agrees to an informal adjustment, the probation department will 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.

## **Line A: Supervisions Previously Pending**

Part II,

Line A represents the number of supervisions pending at the close of the previous quarter (found on Line L of the report). The first quarter is the only time that Line A will be available for manual adjustment of previously pending totals. If you have done a hand count of your files, you may enter the results of your hand count.

Quarter's 2-4, Line A cannot be manually adjusted. The ICOR application automatically carries forward the number of supervisions that are pending at the end of each Quarter (Line L) to automatically fill in Line A for you on the report following report.

## **Line B: Supervisions Received**

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

## **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 this supervision would already have been counted on Line A as a supervision previously pending.

## **Line D—Total Supervisions**

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

### **Part II Columns — Supervision Categories**

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 disposition was issued, and the original probation department has requested courtesy supervision.

#### **6. Inter-state Accepted Supervision**

Juveniles accepted under supervision from outside of Indiana.

## **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**

When a juvenile is released from supervision, the type of disposition must be reflected under the appropriate supervision category. 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 is reported as pending.

#### **Line E: Discharged (Closed Probation)**

When a juvenile has successfully or unsuccessfully completed their probation, the supervision is disposed on Line E.

#### **Line F: Modified and Committed to Department of Correction (Technical Violation)**

Line F is used when a juvenile's disposition is modified due to technical violations of the conditions of probation and committed to the Department of Correction. 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 modify the juvenile's sentence and send the juvenile to the Department of Correction. The probation department would have petitioned to modify the probation due to the rule violation (drug test) and the Judge modified the disposition to a commitment to the Department of Correction.

#### **Line G: Modified & Committed to Correctional Facility (New)**

## **Offense)**

Use Line G when a juvenile is removed from probation due to a modification 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.

## **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 H 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 reassign 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.

## **Line I: Absconded**

The probation department should report supervisions that are inactive because the juvenile hides, conceals or absents themselves 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.

## **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.

## **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.

## **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.

### **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.

### **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. The juvenile is not considered incarcerated.

Because the probation department 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.

### **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. The juvenile is not considered incarcerated. Because the probation department 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.

### **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.

### **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.

### **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.

### **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.

### **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.

### **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.

### **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 department for the reporting period. The following information is requested:

### **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.

### **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 department subsequent to adjudication. Reports may be completed by the probation department, counselors, detention facilities, or other interested persons.

### **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.

### **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.)

### **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.)

### **Question 6, Substance Abuse Offense**

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

## **Question 7, Sex Offense**

From the total number of supervisions received during the reporting period (Line B, Column 8), the probation department will report how many supervisions were based on adjudications for sex offenses.

- Rape
- Criminal deviate conduct
- Child molesting
- Child exploitation
- Child seduction
- Sexual Misconduct with a Minor
- Incest
- Possession of Child pornography