

THE COUNCIL OF THE CITY OF NEW YORK

Hon. Melissa Mark Viverito  
Speaker of the Council

Hon. Elizabeth Crowley  
Chair, Committee on Fire and Criminal Justice Services



## Hearing on the Fiscal 2015 Preliminary Budget & the Fiscal 2014 Preliminary Mayor's Management Report

Department of Probation

**March 27, 2014**

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**Finance Division**



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## Department of Probation Overview

The Department of Probation (DOP) monitors and rehabilitates adults and juveniles sentenced to a term of probation. DOP uses a risk and needs assessment tool to determine the intensity of supervision and the type of programming to offer to probationers. DOP provides intake services and investigations for adults and juveniles. In New York State, juveniles are defined as individuals between seven and 16 years of age. Juvenile delinquents are of the same age however they have committed an act which would be a crime if he or she were an adult.

The Department supplies information and recommendations to the courts in both adult and juvenile criminal cases to help inform sentencing and disposition decisions. Presentence investigations are provided to the courts on convicted adults and adjudicated youthful offenders to aid in decision-making on delinquency and family offenses. DOP also conducts court ordered investigations on custody, child support and visitation, adoption, and guardianship cases of adults who are not on probation.

The Department operates multiple offices in all five boroughs. The Department has ten Criminal and Supreme Court locations, five Family Court locations, seven Neighborhood Opportunity Network (NeON) offices, seven NeON satellites and its central office. In Fiscal 2013, DOP provided intake services and investigations for more than 25,000 adults and 13,000 juveniles and supervised approximately 24,000 adults and 1,800 juvenile on any given day.

## Fiscal 2015 Preliminary Budget Highlights

	2012	2013	2014	2014	2015	*Difference
<i>Dollars in Thousands</i>	Actual	Actual	Adopted	Prelim. Plan	Prelim. Plan	2014 - 2015
Personal Services	\$63,136	\$61,152	\$63,822	\$64,437	\$64,553	\$731
Other Than Personal Services	16,543	20,545	19,483	23,284	17,195	(2,288)
<b>Agency Total</b>	<b>\$79,679</b>	<b>\$81,697</b>	<b>\$83,305</b>	<b>\$87,721</b>	<b>\$81,748</b>	<b>(\$1,557)</b>

\*The difference of Fiscal 2014 Adopted compared to Fiscal 2015 Preliminary Plan funding.

The Department of Probation's Fiscal 2015 Preliminary Budget of \$81.7 million is approximately \$1.5 million less than its Fiscal 2014 Adopted Budget of \$83.3 million. The \$1.5 million decrease is due to a \$2.3 million decrease in the Other Than Personal Services (OTPS) budget and a \$731,000 increase in the Personal Services (PS) budget.

In June 2013, DOP's projected Fiscal 2015 budget was \$81.5 million, and it remains relatively the same. All of the budget actions introduced since last June have increased the Fiscal 2015 budget by only \$219,000. These changes include new needs of \$249,000 offset by a reduction of \$19,000 in other adjustments. Since adoption, the Fiscal 2014 budget has increased by \$4.4 million bringing the total to \$87.7 million. These changes include new needs of \$201,000 and other adjustments of \$4.2 million (See Appendix A for a list of all of the changes to the Fiscal 2014 and Fiscal 2015 Budgets since Adoption.) Highlights of the Fiscal 2015 Budget are listed below.

- **Operational Needs.** The November Plan includes funding of \$201,000 in Fiscal 2014 and \$249,000 annually beginning in Fiscal 2015 to maintain core services within Department.

This includes funding for computer software, mental and physical assessments of new probation officers and adjustments to the current security contract.

- **State Supervision and Treatment Services for Juveniles Program (STSJP).** The November 2013 Plan recognized \$5.1 million in State funding that the Department of Probation will receive through the Administration of Children Services STSJ program in Fiscal 2014.
- **State Revenue Reduction.** The November Plan included a technical adjustment that lowered the State funded portion of DOP’s budget by \$1.4 million in Fiscal 2014.

**Department of Probation Financial Summary**

<i>Dollars in Thousands</i>	2012 Actual	2013 Actual	2014 Adopted	2014 Prelim. Plan	2015 Prelim. Plan	*Difference 2014 - 2015
<b>Budget by Program Area</b>						
Executive Management	\$7,142	\$7,116	\$7,135	\$7,135	\$7,135	\$0
Probation Services	72,538	74,582	76,170	80,586	74,613	(1,557)
<b>TOTAL</b>	<b>\$79,679</b>	<b>\$81,697</b>	<b>\$83,305</b>	<b>\$87,721</b>	<b>\$81,748</b>	<b>(\$1,557)</b>
<b>Funding</b>						
City Funds			\$62,365	\$61,638	\$60,863	(\$1,502)
State			14,919	13,498	14,864	(55)
Federal - Other			89	350	90	1
Federal – Other (FEMA)			0	818	0	0
Intra City			5,932	11,417	5,932	0
<b>TOTAL</b>	<b>\$79,679</b>	<b>\$81,697</b>	<b>\$83,305</b>	<b>\$87,721</b>	<b>\$81,748</b>	<b>(\$1,556)</b>
<b>Budgeted Headcount</b>						
Executive Management	89	88	104	104	104	0
Probation Services	887	864	898	929	909	11
<b>TOTAL</b>	<b>976</b>	<b>952</b>	<b>1,002</b>	<b>1,033</b>	<b>1,013</b>	<b>11</b>

*\*The difference of Fiscal 2014 Adopted compared to Fiscal 2015 Preliminary Plan funding*

The Department of Probation’s Budget has only two program areas. Each includes a unit of appropriation for Personal Services (PS) and Other Than Personal Services (OTPS). The Financial Plan Summary table provides an overview of spending by program area, funding source and headcount.

The Financial Plan shows a decrease of approximately \$1.5 million in spending, and a headcount increase of 11 positions for Probation Services from Fiscal 2014 to Fiscal 2015. The decrease in projected spending is attributable to \$897,000 in City Council funding that was included in the Fiscal 2014 Adopted budget but not baselined, and the Fiscal 2015 budget projection that is \$890,000 lower than the Fiscal 2014 Adopted budget. The increase in headcount is attributable to changes in previous Financial Plans.

## City Council Initiatives

- Anti-Gun Violence.** The Fiscal 2014 Budget includes \$647,000 to support the Justice Community program, which serves court-involved young adults, between the ages of 16-24, living in the five target neighborhoods identified by the Anti-Gun Violence Task Force. The program engages participants in community benefit projects in one or more of the designated communities, provides educational, work, team and civic engagement experiences, as well as youth leadership, peer mentorship, life skills and case management.
- Vera Adolescent Portable Therapy Program.** The Fiscal 2014 Budget includes \$250,000 in funding to provide home-based substance abuse treatment for justice-involved youth citywide. The program lasts four months, and during that time a therapist visits the family’s home at least weekly, providing a combination of individual and family counseling sessions tailored to the young person’s needs.

<b>FY 2014 Council Initiatives</b>	
<i>Dollars in Thousands</i>	
<b>Anti-Gun Violence Initiative</b>	
Center for Court Innovation	\$129,000
Man Up, Inc.	129,000
New York City Mission Society	129,000
Osborne Association, Inc.,	129,000
Research Foundation of the City University of New York	129,000
<b>Sub- Total</b>	<b>\$647,000</b>
<b>Vera Adolescent Portable Therapy Program</b>	<b>\$250,000</b>
<b>Total</b>	<b>\$897,000</b>

## Program Areas

### Probation Services

Probation Services carries out investigations of most adult and juvenile offenders before sentencing and supervises those sentenced to probation in adult and family courts. Probation Services also operates several related supervision programs for adult probationers and alternative-to-placement program for juvenile probationers.

<i>Dollars in Thousands</i>	2012 Actual	2013 Actual	2014 Adopted	2014 Prelim. Plan	2015 Prelim. Plan	*Difference 2014 - 2015
<b>Spending</b>						
<b>Personal Services</b>						
Full-Time Salaried – Civilian	\$51,690	\$49,784	\$53,847	\$54,378	\$54,583	\$736
Overtime - Civilian	159	357	516	527	516	0
Additional Gross Pay	4,164	3,925	3,540	3,538	3,535	(5)
PS Other	34	70	(1,091)	(1,015)	(1,091)	0
<b>Subtotal PS</b>	<b>\$56,047</b>	<b>\$54,135</b>	<b>\$56,812</b>	<b>\$57,428</b>	<b>\$57,544</b>	<b>\$731</b>
<b>Other Than Personal Services</b>						
Contractual Services	\$8,309	\$11,875	\$13,929	\$16,702	\$11,530	(\$24,00)
Fixed and Misc. Charges	161	665	1	725	1	0
Other Services and Charges	6,568	6,390	3,695	3,856	3,632	(63)
Property and Equipment	677	843	574	577	729	156
Supplies and Materials	776	672	1,159	1,299	1,178	19
<b>Subtotal OTPS</b>	<b>\$16,490</b>	<b>\$20,446</b>	<b>\$19,358</b>	<b>\$23,159</b>	<b>\$17,070</b>	<b>(\$2,288)</b>
<b>TOTAL</b>	<b>\$72,537</b>	<b>\$74,581</b>	<b>\$76,170</b>	<b>\$80,586</b>	<b>\$74,613</b>	<b>(\$1,557)</b>
<b>Funding</b>						
City Funds			\$55,289	\$54,562	\$53,788	(\$1,501)
State			14,860	13,438	14,804	(56)
Federal - Other			89	350	90	1
Federal – Other (FEMA)			0	818	0	0
Intra City			5,932	11,417	5,932	0
<b>TOTAL</b>	<b>\$72,537</b>	<b>\$74,581</b>	<b>\$76,170</b>	<b>\$80,585</b>	<b>\$74,614</b>	<b>(\$1,556)</b>
<b>Positions</b>						
Probation Services	887	864	898	929	909	11
<b>TOTAL</b>	<b>887</b>	<b>864</b>	<b>898</b>	<b>929</b>	<b>909</b>	<b>11</b>

\*The difference of Fiscal 2014 Adopted compared to Fiscal 2015 Preliminary Plan funding.

The Fiscal 2015 budget for the Probation Services unit of appropriation shows a reduction of \$1.5 million when compared to the Fiscal 2014 Adopted budget. The Fiscal 2014 Modified Budget shows growth of \$4.4 million when compared to the Adopted budget.

For Fiscal 2015, the decrease in spending is attributable to \$897,000 in City Council funding that was included in the Fiscal 2014 Adopted budget but not baselined, and the Fiscal 2015 budget



projection that was \$890,000 lower than the Fiscal 2014 Adopted budget. For Fiscal 2014, the \$4.4 million increase is attributable to \$201,000 in new needs and \$4.2 million in other adjustments.

**Financial Plan Actions**

- Operational Needs.** The November Plan includes Other Than Personal Services funding of \$201,000 in Fiscal 2014 and \$249,000 annually beginning in Fiscal 2015 to maintain core services within the Department. For Fiscal 2015 and the outyears this includes \$69,305 for computer software, \$44,350 for mental and physical assessments of new probation officers and \$134,926 in adjustments to the current security contract.
- State Supervision and Treatment Services for Juveniles Program (STSJP).** The November Plan recognized \$5.1 million in State funding that the Department of Probation will receive through the Administration of Children Services STSJ program in Fiscal 2014. The STSJ programs are intended to reduce the reliance on both secure and non-secure detention by providing low-risk, justice-involved youth with wrap-around services that are close to home. The services include, but are not limited to, literacy programs, counseling, after school programs, and shelter/respice beds for youth within the community that do not have a safe home to return to.
- State Revenue Reduction.** The November Plan included a technical adjustment that lowered the state funded portion of DOP’s budget by \$1.4 million in Fiscal 2014. In Fiscal 2012 the state converted to a block grant which reduced DOP’s state revenue by eight percent. The Department will continue to see this reduction annually until the Office of Management and Budget permanently reduces DOP’s baseline budget.

**PMMR - Adult Monitoring and Enforcement Performance Measures**

DOP collects data on the number of individuals served and on an annual basis reports the data in the PMMR. The following chart is from the PMMR which provides performance statistics for adult probationers followed by a description of year over year changes. The chart shows actual data for Fiscal Years 2010-2012, target data where applicable for Fiscal 2013 and 2014, and 4-month actual data for Fiscal 2012 and 2013.

DOC Performance Statistics	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
Average monthly violation rate for adult probationers (%)	1.0%	0.9%	0.9%	N/A	N/A	0.9%	0.9%
Adult probationer re-arrest rate (monthly average) (%)	3.1%	3.0%	3.1%	3.0%	3.0%	3.3%	3.1%
Adult probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	2.6%	2.6%	2.8%	2.6%	2.6%	2.9%	2.7%
Adult probationer early discharge rate (%)	19%	17%	12%	N/A	N/A	13%	11%

Source: Fiscal 2014 Mayor’s Management Report (MMR)

- The average monthly violation rate for adult probationers was unchanged at 0.9 percent.

- The average monthly re-arrest rate for adult probationers was 3.1 percent, compared to a rate of 3.3 percent during the first four months of Fiscal 2013. When viewed as a percentage of all NYPD arrests, adult re-arrests decreased to 2.7 percent, from 2.9 percent in Fiscal 2013.
- During the first four months of Fiscal 2014, early discharges represented 11 percent of all adult probation supervision case closings, compared to 13 percent the previous year. The decline was caused by a reduction in the number of eligible probationers due to an increased focus on discharging qualified candidates during Fiscal Years 2011 through 2013.

**PMMR - Juvenile Monitoring and Enforcement Performance Measures**

The following chart is from the PMMR and provides performance statistics for Juvenile probationers followed by a description of year over year changes. The chart shows actual data for Fiscal Years 2011-2013, target data where applicable for Fiscal 2014 and 2015, and 4-month actual data for Fiscal 2013 and 2014.

DOP Performance Statistics	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
Average monthly violation rate for juvenile probationers (%)	2.1%	2.8%	2.7%	3.0%	3.0%	2.4%	3.1%
Juvenile probationer re-arrest rate (monthly average) (%)	3.0%	2.9%	2.7%	2.6%	2.6%	2.6%	3.4%
Juvenile probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	0.3%	0.3%	0.2%	N/A	N/A	0.2%	0.3%
Juvenile delinquency cases eligible for adjustment (%)	40.0%	37.0%	34.0%	32%	32%	34%	30%
Low-risk (%)	N/A	N/A	47.0%	N/A	N/A	N/A	40.0%
medium-risk (%)	N/A	N/A	16.0%	N/A	N/A	N/A	16.0%
High-risk (%)	N/A	N/A	8.0%	N/A	N/A	N/A	7.0%
New enrollments in alternative-to-placement (ATP) programs	N/A	N/A	N/A	N/A	N/A	N/A	60
Total probationers supervised in Enhanced Supervision Programs (ESP)	1,287	1,158	977	N/A	N/A	709	532

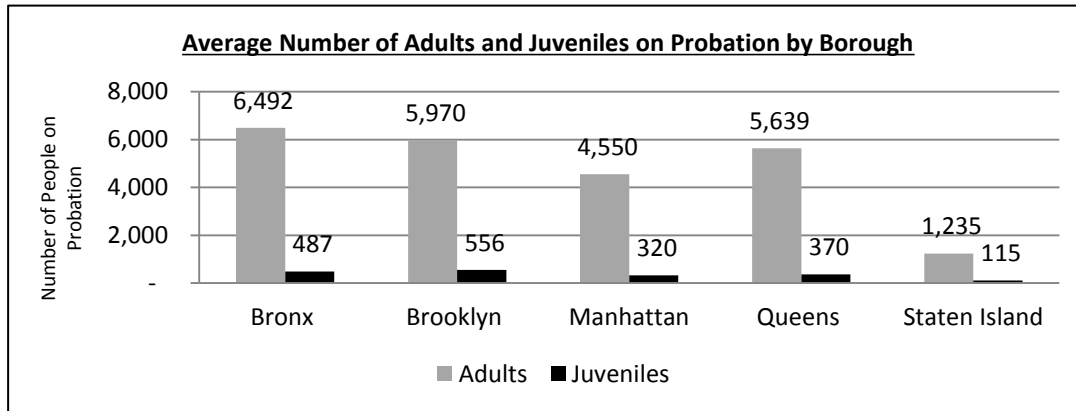
Source: Fiscal 2014 PMMR

- The average monthly violation rate for juveniles was 3.1 percent, compared to 2.4 percent during the first four months of Fiscal 2013. The Department introduced a new risk and needs instrument for juveniles during Fiscal 2013, resulting in an increased rate of high risk youth receiving a probation sentence via local, community-based alternative-to-placement programs, rather than being placed at a State Office of Children and Family Services facility.
- The juvenile probationer average monthly re-arrest rate was 3.4 percent, up from 2.6 percent in Fiscal 2013. Juvenile re-arrests as a percentage of NYPD arrests increased to 0.3 percent, from 0.2 percent in Fiscal 2013. DOP continues to focus its resources on individuals at highest risk of re-offending, providing specialized services for youth via community providers based on the risk and need characteristics identified through the agency’s pre-dispositional assessment instrument.

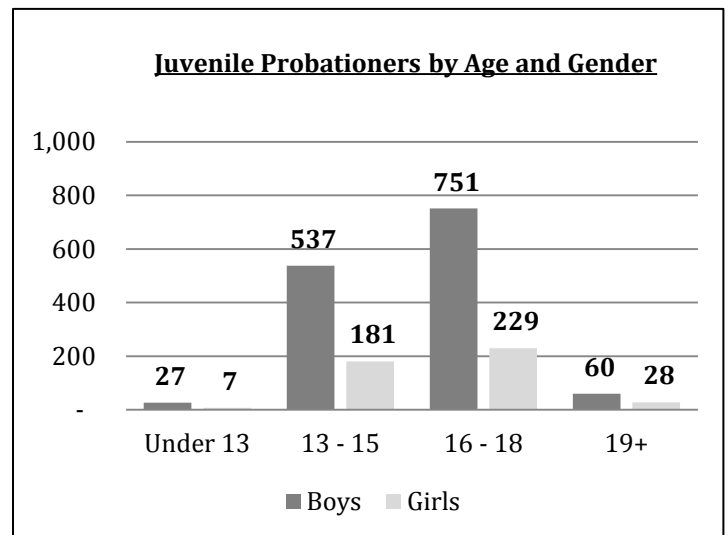
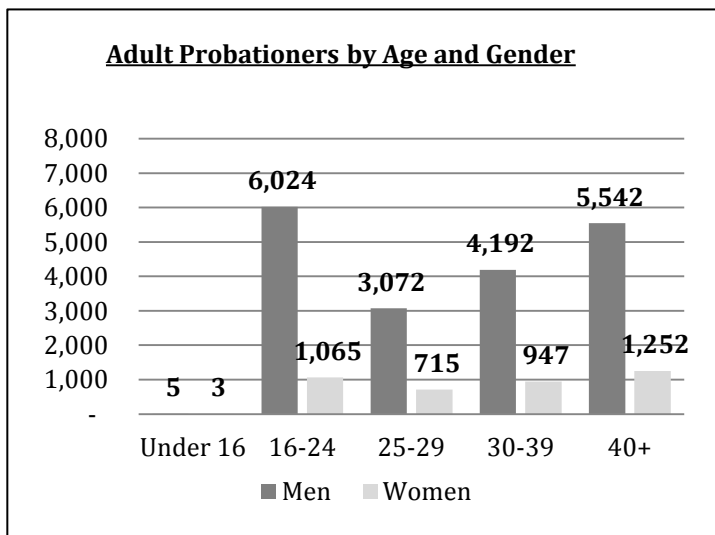
- The juvenile intake adjustment rate was 30 percent during the first four months of Fiscal 2014, a reduction of four percentage points from the previous fiscal year. Adjustment rates are based in part on the risk characteristics of juveniles at the time of arrest; in the first four months of Fiscal 2013, 22 percent of youths arrested for low-level misdemeanor charges most often considered for adjustment scored as high risk, compared to nine percent during the same period in fiscal 2012.
- The number of youth served by the Enhanced Supervision Program (ESP) declined by 25 percent to 532, compared to 709 during the first four months of Fiscal 2013. The Department's new risk and needs instrument, combined with a wider array of alternative-to-placement programs citywide, resulted in more specialized utilization of intensive supervision programs. DOP continues to work with the local courts and service providers to identify youth appropriate for community supervision rather than placement.
- The Department replaced the indicator 'Youth participating in Esperanza' with 'New Enrollments in Alternative-to-Placement (ATP) Programs.' This indicator includes enrollments in Esperanza, which has been an ATP program since 2003, and three additional ATP programs: Advocate, Intervene, Mentor (AIM); Every Child Has a Chance to Excel and Succeed (Echoes); and Pathways to Excellence, Achievement, & Knowledge (PEAK). All of these programs are designed to keep high risk youth safely in their communities, rather than be placed in a state facility, through intensive programming that will help them develop core life and educational skills, and maintain stable and positive personal relationships.

## Probation Client Demographics for Fiscal 2013

### Fiscal 2013

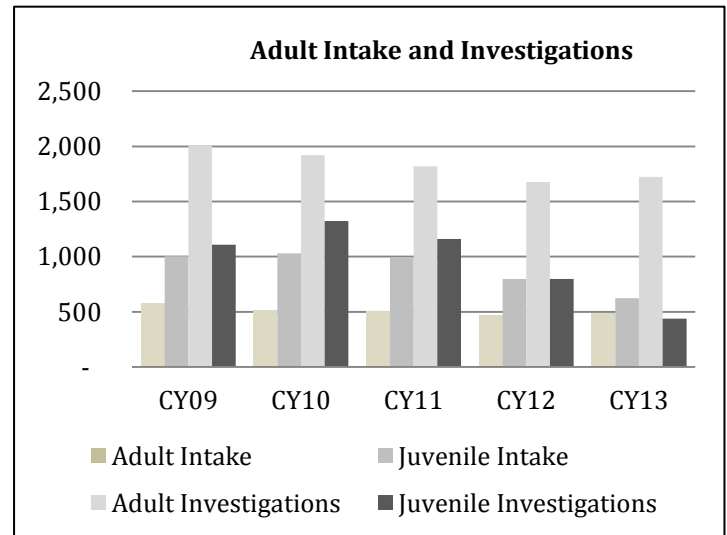
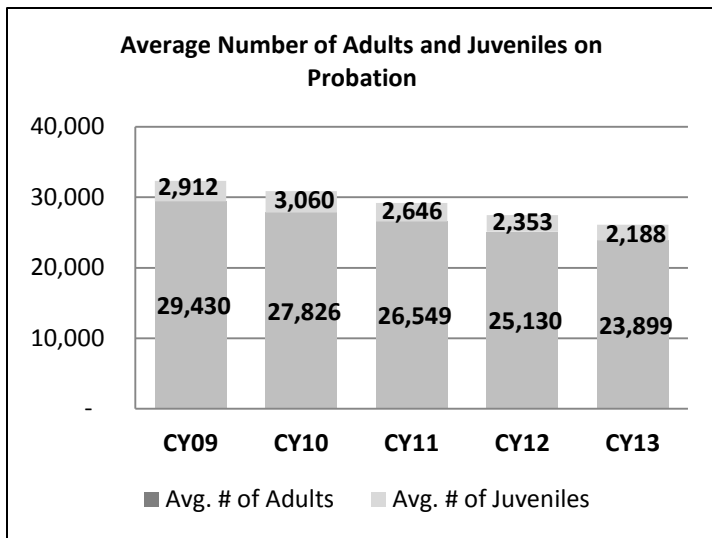


In Fiscal 2013 DOP provided intake services and investigations for more than 25,000 adults and 13,000 juveniles. Intake services, also referred to as the “intake interview”, is a meeting after the arrest where the probation officer asks the juvenile and his or her parent or guardian questions about the arrest and his or her life. DOP conducts Pre-Sentence Investigations to help the court determine the appropriate sentence for a person convicted of a crime. This includes investigating the crime, the defendant’s criminal history, family situation, education, employment history, and physical and mental health. In addition, DOP supervised approximately 24,000 adults and 1,800 juveniles on any given day. In Fiscal 2013, 27 percent of adults were from the Bronx and 30 percent of juveniles were from Brooklyn.



- **Adult Probationers:** In Fiscal 2013, 83 percent of the adults served were male and 17 percent were female. 32 percent of the males served were between 16-24 years old and 31 percent of the females served were 40 years of age or older.
- **Juvenile Probationers:** In Fiscal 2013, 76 percent of the juveniles served were male and 24 percent were female; 55 percent of the boys and 51 percent of girls served were between 16-18 years old.

**Adult and Juvenile Probationer Statistics CY 2009 – CY 2013**



- In the last five years the number of adults and juveniles serving a term of probation is down. There is a 19 percent reduction in adults on probation and a 25 percent reduction in juveniles on probation. The number of intake cases and the number of investigations are also down. Intake is down by 17 percent for adults and 38 percent for juveniles. Investigations are down by 14 percent for adults and 60 percent for juveniles.

**Programs and Services**

Probation supervision is intended to encourage individuals to become law-abiding citizens and to reduce the rate of recidivism/reoffending. The Department has restructured its approach to managing its probation clients by introducing reforms to remove social and economic barriers that would otherwise prohibit some probationers from success, while also focusing on clients who pose the greatest risk of reoffending. DOP utilizes validated risk and need assessment instruments for both adult and juvenile clients to determine their level of risk of reoffending and which programs are appropriate.

Probation Officers provide probationers with the resources they need to move out of the criminal justice system through the attainment of education, employment, health services, family engagement and participation in community improvement projects. Utilizing a “Strength-Based Approach” probation officers focus more on highlighting a client’s assets rather than on their short

coming and mistakes. The Department has developed partnerships with other criminal justice agencies, social service organizations, and the community to achieve these goals.

### **DOP Initiatives**

- **Ban the Box**. This initiative requires all human service agencies and community based organizations that contract with DOP to refrain from asking about criminal history on initial applications and interviews.
- **Certificate of Relief Drive**. The Court may waive certain restrictions that accompany a conviction such as the automatic loss of an occupational license. DOP works with eligible to clients to fill out the application and with the courts to expedite processing.
- **Record of Arrests and Prosecutions (RAP) Sheet Assistance**. DOP provides assistance to help New Yorkers in all five boroughs understand and, if necessary, correct their RAP sheets.
- **Warrant Project**. DOP provides assistance to help clients resolve active warrants. DOP focuses on warrants that are more than ten years old for probation clients who were convicted of low-level nonviolent misdemeanors, and more than 15 years old for clients convicted of nonviolent felonies.

### **Adult Supervision**

Adults sentenced to probation receive terms that can range from one to three years for most misdemeanors and five years for most felonies. Clients convicted of sex offenses, and certain drug offenses may receive longer probation sentences. In Fiscal 2013 23,886 adults were on probation. 65 percent were on the community progression track and 13 percent were on the client development reporting track. In Fiscal 2013, the average probation officer to probationer ratio was 1:73, and the average supervising probation officer to probation officer ratio was 1:4.

Adult probation clients primarily fall into four different supervision categories however, the majority of probationers are on the community progression track. The descriptions of reporting categories are listed below, followed by a chart that shows the number of cases per case bearing officer for adults and juvenile delinquents.

- **Community Progression (CP)**. These probation clients are not considered a high risk for committing crimes or a threat to public safety. Probationers in the Reporting Track report monthly to a kiosk, but also have a probation officer.
- **Intensive Supervision (ISP)**. Probationers in this category are individuals convicted of felony offenses, who would otherwise have received a period of incarceration of one to three years in state prison. They receive comprehensive alternative to incarceration plans. ISP is the highest level of probation and includes the highest number of contacts between probation officers and clients.
- **Intensive Engagement (IEP)**. Probationers in this category meet one of the following criteria: sex offender, including those registered under the Sex Offender Registration Act (SORA); child abusers; domestic violence offenders; or they are confirmed as a major drug dealer or known

to have a major gang affiliation or involvement; or they are known to both State and Federal witness protection programs.

- **Client Development (CD).** These probation clients are at a high risk of recidivating according to DOP’s risk assessment instrument.

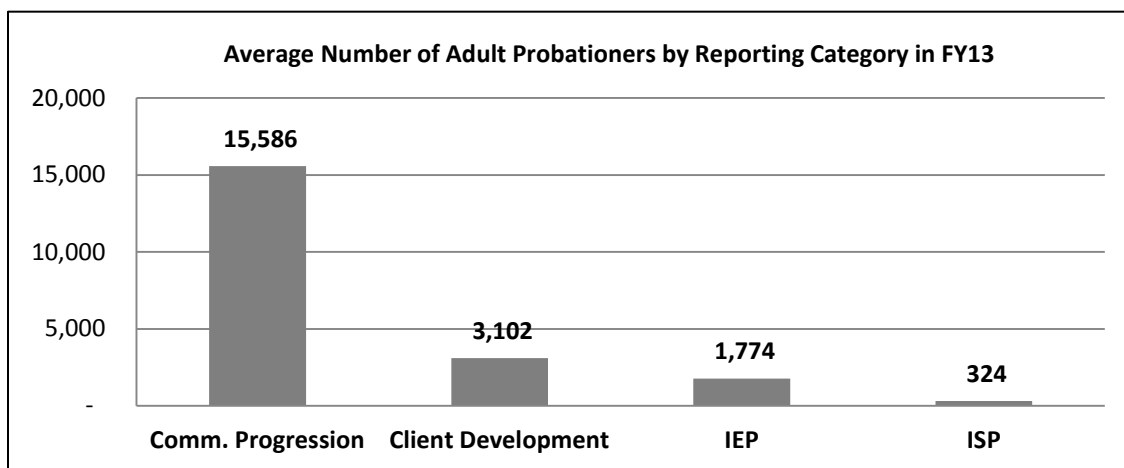
Of note, DOP recently changed the names of its probation reporting categories. Community Progression (CP) has replaced “Intensive Supervision”; Intensive Supervision (ISP) has replaced Special Offender; Intensive Engagement (IEP) has replaced “High Risk” and; Client Development (CD) has replaced the “Reporting” category.

Adult Supervision Caseload Per Case Bearing Officer CY06-CY13								
CY	CY06	CY07	CY08	CY09	CY10	CY11	CY12	CY13
ISP	19	23	23	25	27	31	26	23
IEP	49	49	56	50	48	45	47	41
CD	54	55	59	59	56	42	50	53
CP	484	473	469	474	465	494	405	410

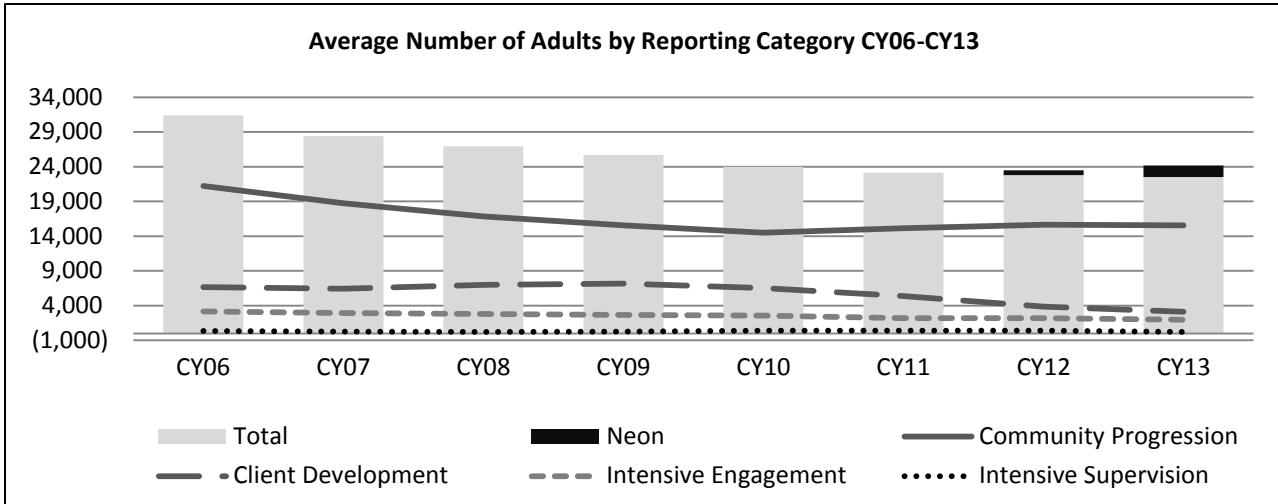
Juvenile Delinquent Supervision Per Case bearing Officer							
CY06	CY07	CY08	CY09	CY10	CY11	CY12	CY13
48	42	39	38	38	35	37	37

Source of Charts: DOP

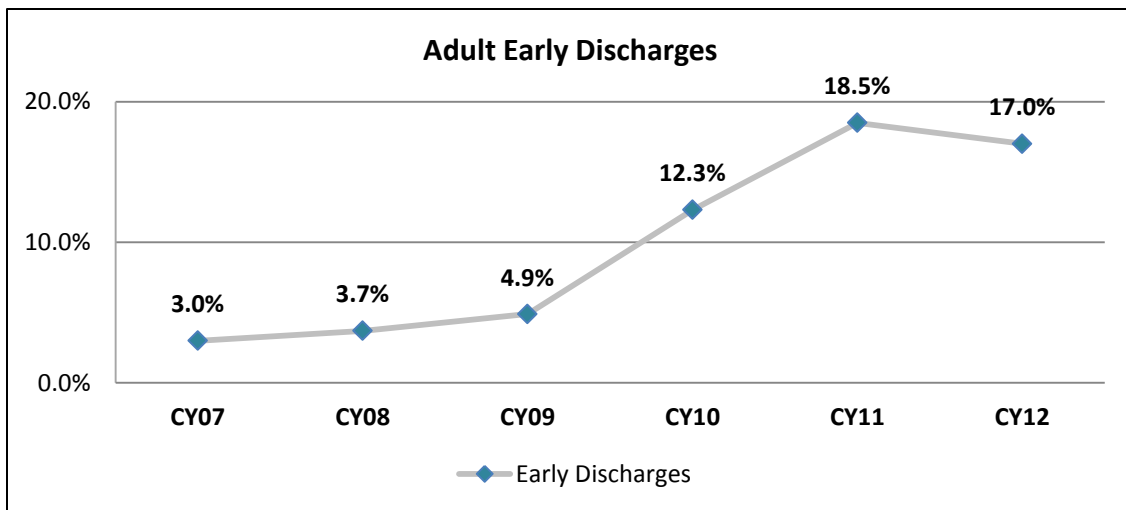
The following three charts provide trend data on the adult client population. The first chart provides the average number of adult probationers by reporting category in Fiscal 2013. The second chart provides the average number of adult probationer by reporting category since calendar year 2006. Finally, the third chart provides percentage of adults serving a term of probation who were eligible for early discharge.



- In Fiscal 2013, 65 percent of all probation clients were on the community progression track.



- There has been a 28 percent drop in the total number of adult cases and a 53 percent drop in the number of adult probationers on the client development track since 2006.



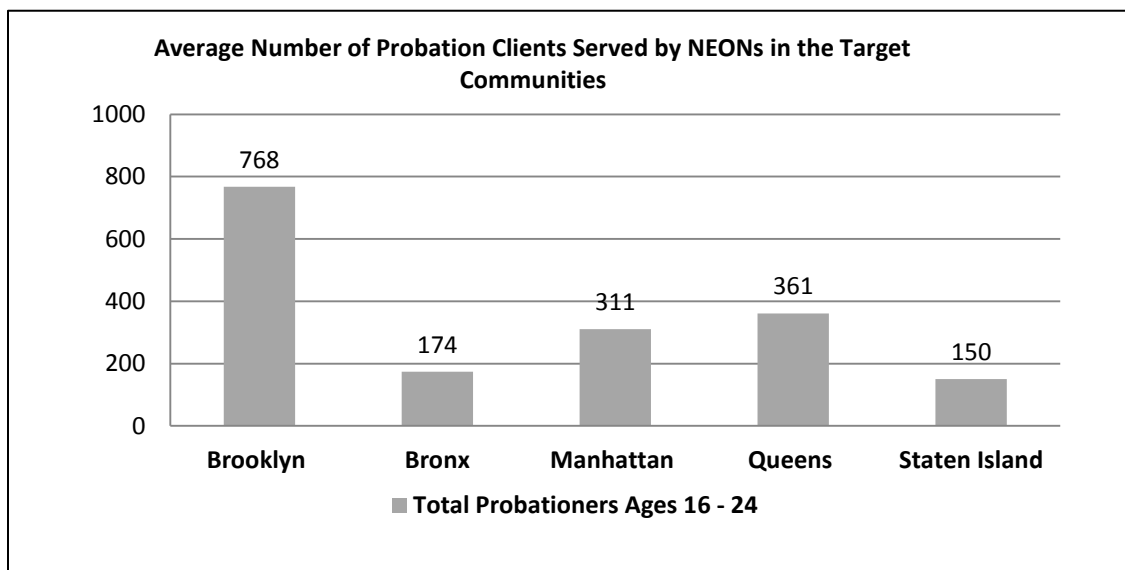
- Adult probationers who comply with both supervision and programmatic objectives and remain arrest-free can be recommended for early discharge. Any client can apply to the Court for an early discharge however only the Court has the power to grant this request.



### Adult YMI Programs

The Young Men’s Initiative (YMI) supports six DOP programs.

- **Advocate, Intervene, Mentor (AIM)**. AIM is an intensive mentoring and advocacy program for adolescents at risk of out-of-home placement.
- **Community Education Pathways to Success (CEPS)**. CEPS is a literacy program that also provides participants with career help.
- **Justice Community**. Justice Community connects clients to community benefit projects.
- **Justice Scholars**. Justice Scholars is an educational program for high school students and GED candidates
- **Arches Transformative Mentoring**. ARCHES is a group mentoring program for probation clients.
- **The Neighborhood Opportunity Network (NeON)**. A NeON program is a community-based probation office that works with local organizations, government agencies, businesses, and community residents to link probation clients to services. Launched in 2012 with only one initial site in Brownsville, DOP has expanded their program to seven full-time NeON, and seven NeON satellite offices throughout the City in East New York, Harlem, Jamaica and the South Bronx.



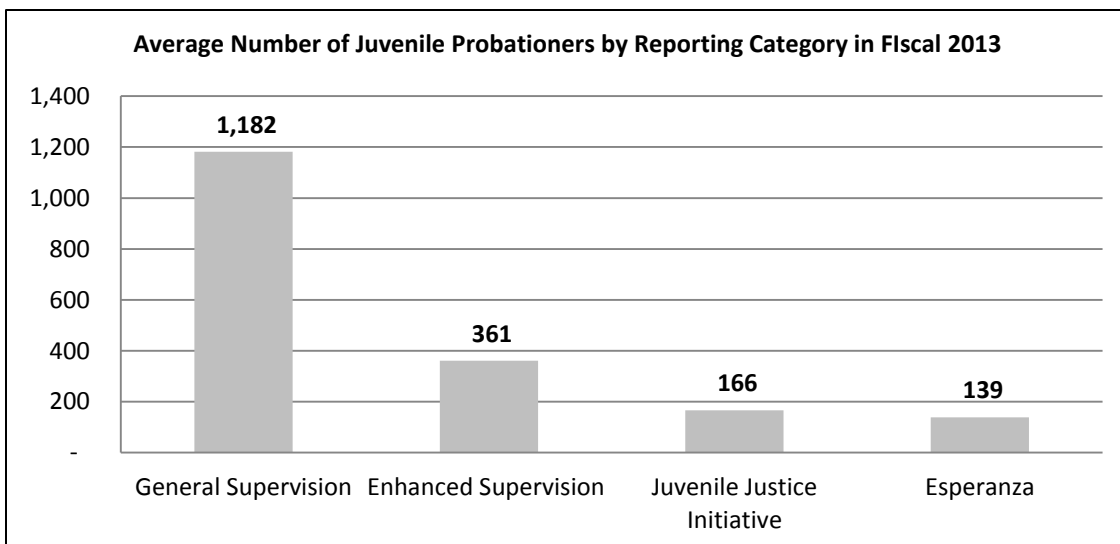
- In Fiscal 2013, 44 percent of probation clients served through the NeONs were from Brooklyn.

## Juvenile Supervision

The Court can place a young person on supervision for up to two years in lieu of placement within the State Office of Children and Family Services (OCFS) facilities. DOP in partnership with the Administration for Children Services (ACS), and community based organizations operates a variety of programs for youth. Probation Officers help young people avoid further crimes by providing support, practical advice and life coaching. The Probation Officers also connect clients to community-based services that can address his or her needs and capitalize on personal interests. In Fiscal 2013, 1,848 juveniles were on probation, 64 percent were on the general supervision reporting track and 31 percent were on the Enhanced Supervision reporting track. In Fiscal 2013, the average probation officer to probationer ratio was 1:17 and the average supervising probation officer to probation officer ratio was 1:4.

Juvenile probation clients fall into four different supervision categories however, the majority of juvenile probationers are under general supervision. The descriptions of reporting categories are listed below, followed by two charts that provide trend data in Fiscal 2013 on the juvenile client population. The first chart shows the number of cases per case bearing officer for juveniles and the second chart provides the average number of juvenile probationers by reporting category.

- **General Supervision** These probation clients are not considered a high risk for committing crimes or a threat to public safety. Probation officers will ensure that the juvenile is in compliance with court orders as well as visit the individual’s home and school.
- **The Enhanced Supervision Program (ESP).** ESP is directly operated by DOP and targets the most serious juvenile offenders. It is structured to promote the accountability and responsibility of justice-involved youth in addition to increasing their self-esteem.
- **Esperanza.** Esperanza is a contracted organization that provides intensive family-centered supervision for four to six months for high risk juvenile offenders.
- **The Juvenile Justice Initiative.** The Juvenile Justice Initiative is an alternative to placement program that provides intensive, evidence-based services for youth involved in the juvenile justice system. The goal is to reduce the number of delinquent youth in residential facilities and improve individual and family functioning.



- In Fiscal 2013 1,848 juveniles were on probation, 64 percent were on the general supervision reporting track and 31 percent were on the Enhanced Supervision reporting track.

### **Juvenile Home Placement Programs – Alternatives-to-Placement**

The Department of Probation operates two alternative-to-placement programs for juveniles. The programs provide intensive community supervision for juveniles in lieu of placement within the State Office of Children and Family Services (OCFS) facilities.

Esperanza is a contracted organization that provides community-based services to youth offering intensive family-centered supervision for four to six months. Youth serving probation terms remain on probation for months after completion of the Esperanza program. Since its inception, Esperanza has saved the City's Department of Juvenile Justice millions of dollars in placement costs that would otherwise have been paid to the New York State Office of Children and Family Services (OCFS). The Adopted Fiscal 2014 Budget included \$3.31 million for Esperanza.

The Enhanced Supervision Program targets the most serious juvenile offenders. It is structured to promote the accountability and responsibility of justice-involved youth in addition to increasing their self-esteem. The program provides intense supervision and services include, but are not limited to: frequent contact with probation officers, unannounced home visits, community service, and work with the family on identifying problem areas impacting the juvenile. Since the program's inception, many youth have been diverted from State placement. The Fiscal 2015 budget for ESP includes approximately \$2 million. Of that amount, approximately \$1.9 million supports PS costs for 34 positions and \$85,500 is for OTPS.

## Executive Management

The functions of DOP's Executive Management include: setting policies and developing short and long term plans and strategies; providing public information legal analysis; and coordinating with governmental oversight agencies. Under the supervision of the Deputy Commissioner of budget and administration, provides management of general support services.

<i>Dollars in Thousands</i>	2012 Actual	2013 Actual	2014 Adopted	2014 Prelim. Plan	2015 Prelim. Plan	*Difference 2014 - 2015
<b>Spending</b>						
<b>Personal Services</b>						
Full-Time Salaried – Civilian	\$6,716	\$6,655	\$6,788	\$6,788	\$6,788	\$0
Overtime - Civilian	26	48	18	18	18	0
P.S. Other	347	313	204	204	204	0
<b>Subtotal PS</b>	<b>\$7,088</b>	<b>\$7,017</b>	<b>\$7,010</b>	<b>\$7,010</b>	<b>\$7,010</b>	<b>\$0</b>
<b>Other Than Personal Services</b>						
Contractual Services	\$9	\$0	\$28	\$28	\$28	\$0
Fixed and Misc. Charges	6	0	2	2	2	0
Other Services and Charges	13	19	32	32	32	0
Property and Equipment	2	1	21	21	21	0
Supplies and Materials	24	79	42	42	42	0
<b>Subtotal OTPS</b>	<b>\$53</b>	<b>\$99</b>	<b>\$126</b>	<b>\$126</b>	<b>\$126</b>	<b>\$0</b>
<b>TOTAL</b>	<b>\$7,142</b>	<b>\$7,116</b>	<b>\$7,135</b>	<b>\$7,135</b>	<b>\$7,135</b>	<b>\$0</b>
<b>Funding</b>						
City Funds			\$7,075	\$7,075	\$7,075	\$0
Federal – Other (FEMA)			60	60	60	0
State			0	0	0	0
<b>TOTAL</b>	<b>\$7,142</b>	<b>\$7,116</b>	<b>\$7,135</b>	<b>\$7,135</b>	<b>\$7,135</b>	<b>\$0</b>
<b>Budgeted Headcount</b>						
Executive Management	89	88	104	104	104	0
<b>TOTAL</b>	<b>89</b>	<b>89</b>	<b>104</b>	<b>104</b>	<b>104</b>	<b>0</b>

\*The difference of Fiscal 2014 Adopted compared to Fiscal 2015 Preliminary Plan funding.

The Executive Management unit of appropriation remains unchanged from Fiscal 2014 to Fiscal 2015.

## Appendix A: Budget Actions in the November and Preliminary Plans

Dollars in Thousands	FY 2014			FY 2015		
	City	Non-City	Total	City	Non-City	Total
<b>DOP Budget as of Fiscal 2014 Adoption</b>	\$62,365	\$20,941	\$83,306	\$60,634	\$20,885	\$81,519
<b>New Needs</b>						
Operational Need	\$201	\$0	\$201	\$249	\$0	\$249
<b>Total New Needs</b>	<b>\$201</b>	<b>\$0</b>	<b>\$201</b>	<b>\$249</b>	<b>\$0</b>	<b>\$249</b>
<b>Other Adjustments</b>						
CitiServ Technical Adjustment	(\$15)	\$0	(\$15)	(\$15)	\$0	(\$15)
HHS Accelerator Technical Adjustment	(2)	0	(2)	(4)	0	(4)
Correct SOTIPS Revenue Budget	0	(1)	(1)	0	0	0
Decrease FY14 IDD Budget	0	(4)	(4)	0	0	0
Fund Arches FY14	0	95	95	0	0	0
Fund Front End Grant FY14	0	166	166	0	0	0
Fund SYWP FY14	0	306	306	0	0	0
FY14IC DOP EVE 1	0	240	240	0	0	0
FY14 STSJP 4	0	5,159	5,159	0	0	0
IC W/DOP Strategic Planning	0	63	63	0	0	0
Roll FY13 SOTIPS Balance FY14	0	30	30	0	0	0
Summer Youth Wrap	0	611	611	0	0	0
Take Down State Revenue FY14	0	(1,417)	(1,417)	0	0	0
To Set Up FY14 Funds	0	16	16	0	0	0
Fund SOTIPS 50k Award	0	50	50	0	0	0
IC W/DOP Strategic Planning	0	24	24	0	0	0
Lease Adjustment	(911)	0	(911)	0	0	0
Take Down SYWP Revenue FY14	0	(193)	(193)	0	0	0
<b>Total Other Adjustments</b>	<b>(\$928)</b>	<b>\$5,144</b>	<b>\$4,215</b>	<b>(\$19)</b>	<b>\$0</b>	<b>(\$19)</b>
<b>Total Changes</b>	<b>(\$727)</b>	<b>\$5,144</b>	<b>\$4,416</b>	<b>\$229</b>	<b>\$0</b>	<b>\$229</b>
<b>DOP Budget as of Fiscal 2015 Preliminary Budget</b>	<b>\$61,637</b>	<b>\$26,083</b>	<b>\$87,720</b>	<b>\$60,863</b>	<b>\$20,885</b>	<b>\$81,748</b>

## Appendix B

### Contract Budget

The New York City Charter mandates the preparation of a Contract Budget to identify expenditures for contractual services, which are defined as any technical, consultant or personal service provided to the City by means of a contract. The Contract Budget is actually a subset of the Other Than Personal Services (OTPS) portion of the City's Expense Budget. The Administration prepares a Contract Budget twice each fiscal year. In January, it is prepared with the Departmental Estimates, and in late April it is submitted to the Council with the Executive Budget.

<b>DOP Fiscal 2015 Preliminary Contract Budget</b>			
<b>Contract Category</b>	<b>Number</b>	<b>Budgeted</b>	<b>Pct of (DOP) Total</b>
Contractual Services General	4	\$9,464,473	81.89%
Telecommunications Maintenance	1	2,500	0.02%
Maintenance & Repair, General	1	21,561	0.19%
Office Equipment Maintenance	2	125,447	1.09%
Data Processing Equipment	2	853,356	7.38%
Printing Contracts	1	20,000	0.17%
Security Services	1	625,238	5.41%
Temporary Services	1	13,000	0.11%
Cleaning Services	1	42,606	0.37%
Hospital Contracts	3	220,511	1.91%
Training Programs for City Employees	2	24,676	0.21%
Professional Services: Other	4	144,850	1.25%
<b>Preliminary Budget</b>	<b>23</b>	<b>\$11,558,218</b>	<b>100.00%</b>

*Source: Preliminary Budget Fiscal 2015 Expense, Revenue and Contract book.*