

THE COUNCIL OF THE CITY OF NEW YORK



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Speaker of the Council

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

Report on the Fiscal 2016 Preliminary Budget and the
Fiscal 2015 Preliminary Mayor's Management Report

Department of Probation

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Department of Probation Overview

The Department of Probation (the “DOP” or the “Department”) helps build stronger and safer communities by working with and supervising people on probation, fostering positive change in their decision-making and behavior, and expanding opportunities for them to move out of the criminal and juvenile justice systems through meaningful education, employment, health services, family engagement, and civic participation. The Department supplies information and recommendations to the courts on both adult and juvenile cases to help inform sentencing and disposition decisions. In Family Court, reports are also provided in family offense, custody, child support, visitation, adoption, and guardianship cases. The Department also uses research-informed practices to work with its clients to foster positive change. In total, the Department of Probation provides intake services, investigations, and supervision for more than 55,000 adult and juvenile cases per year, and supervises approximately 24,000 adults and 1,500 juveniles on any given day.

This report provides a review of the DOP’s Preliminary Budget for Fiscal 2016 and the Fiscal 2015 Preliminary Mayor’s Management Report (PMMR). In the section below, the Fiscal 2016 Budget is presented in a chart which details the DOP’s spending by personal services (PS) and other than personal services (OTPS), followed by the Financial Plan Summary chart which provides an overview of the DOP’s budget by program area, funding source, headcount, and provides analysis of significant initiatives included in the November and Preliminary Financial Plans. The summary is followed by initiatives funded by the Council in Fiscal 2015. The report follows with a presentation of the DOP’s budget by program area and reviews relevant sections of the PMMR for Fiscal 2015. The appendices present budget actions in the November and Preliminary Financial Plans, additional indicators from the Fiscal 2015 PMMR, and the DOP’s Contract Budget.

Fiscal 2016 Preliminary Budget Highlights

DOP Expense Budget						
	Actual	Actual	Adopted	Preliminary Plan		*Difference
<i>Dollars in Thousands</i>	2013	2014	2015	2015	2016	2016 - 2015
Personal Services	\$61,152	\$60,629	\$64,163	\$71,437	\$69,317	\$5,154
Other Than Personal Services	20,545	22,552	25,784	28,142	21,474	(4,310)
DOP Total	\$81,697	\$83,181	\$89,947	\$99,579	\$90,791	\$844

**The difference of Fiscal 2015 Adopted Budget compared to Fiscal 2016 Preliminary Budget.*

The City’s Fiscal 2016 Preliminary Budget is \$77.7 billion, \$2.7 billion more than the Fiscal 2015 Adopted Budget of \$75 billion. City funds (City tax and non-tax revenues) total \$56.9 billion, up \$2.1 billion from \$54.8 billion in the Adopted Budget. For the DOP, the Fiscal 2016 Preliminary Budget totals \$90.8 million (including City and non-City funds). This represents approximately one-tenth of one percent of the City’s total budget.

The DOP’s Fiscal 2016 Preliminary Budget of \$90.8 million is \$844,000 more than its Fiscal 2015 Adopted Budget of \$90 million. The \$844,000 increase is due to an increase in the PS budget of \$5.2 million offset by a decrease in the OTPS budget of \$4.3 million. When compared to the DOP’s current budget of \$99.6 million, the Fiscal 2016 Preliminary Budget of \$90.8 million is \$8.7 million or eight percent less. (see Appendix A, on page 14)

The key actions affecting the DOP's proposed budget include:

- **State Supervision and Treatment Services for Juveniles Program (STSJP).** The Fiscal 2016 Preliminary Plan includes two actions related to STSJP for Fiscal 2015. First, the plan includes a transfer of \$1.9 million in City tax-levy funds to the Administration for Children's Services (ACS) to facilitate the receipt of State funding. Second, the budget recognizes the receipt of \$5.1 million in State funding through an intra-City transfer from ACS to support 22 positions. Combined, the actions produce a net increase of \$3.2 million in Fiscal 2015.
- **Probation Health Services Team.** As part of recommendations from the Mayor's Task Force on Behavioral Health and the Criminal Justice System, the November Plan included baseline funding of \$1.2 million beginning in Fiscal 2016 to support eleven new positions for the Behavioral Health Teams.
- **Collective Bargaining.** The November and Preliminary Plans added baseline funding to support collective bargaining costs. Combined, the Financial Plans added \$2.8 million in Fiscal 2015, increasing to \$4.8 million in the outyears (including City and non-City.)

Financial Summary

DOP Financial Summary						
	2013	2014	2015	Preliminary Plan		*Difference
<i>Dollars in Thousands</i>	Actual	Actual	Adopted	2015	2016	2015 - 2016
Spending						
Personal Services	\$61,152	\$60,629	\$64,163	\$71,437	\$69,317	\$5,154
Other Than Personal Services	20,545	22,552	25,784	28,142	21,474	(4,310)
TOTAL	\$81,697	\$83,181	\$89,947	\$99,579	\$90,791	\$844
Budget by Program Area						
Executive Management	\$7,116	\$7,101	\$7,888	\$8,457	\$8,440	\$552
Probation Services	74,582	76,080	82,059	91,122	82,351	292
TOTAL	\$81,697	\$83,181	\$89,947	\$99,579	\$90,791	\$844
Funding						
City Funds			\$69,231	\$71,360	\$69,977	\$746
Other Categorical			90	90	0	(90)
State			14,605	14,605	14,605	0
Federal - Other			90	130	15	(75)
Intra City			5,932	13,394	6,194	263
TOTAL	\$81,697	\$83,181	\$89,947	\$99,579	\$90,791	\$844
Budgeted Headcount						
Executive Management	93	83	112	112	115	3
Probation Services	857	875	903	961	912	9
TOTAL	950	958	1,015	1,073	1,027	12

**The difference of Fiscal 2015 Adopted Budget compared to Fiscal 2016 Preliminary Budget.*

The Preliminary Financial Plan shows an overall increase of approximately \$844,000 in spending and a headcount increase of 12 positions from Fiscal 2015 adoption to Fiscal 2016. The current Fiscal 2015 budget reflects an increase of \$9 million from Fiscal 2015 adoption.

At the time of budget adoption for Fiscal 2015, the projected Fiscal 2016 budget was \$4.1 million less than what is included in the Fiscal 2016 Preliminary Budget. Since adoption of the

Fiscal 2015 budget, the Preliminary Financial Plan updates have introduced several changes to the DOP's Fiscal 2015 and 2016 budgets. For Fiscal 2015 these include \$600,000 in new needs to support 11 new positions for Probation Health Services Teams and \$9 million in other adjustments, most significant of which are \$3.2 million for STSJP and \$2.8 million for collective bargaining costs. For Fiscal 2016, these include new needs of \$1.2 million to support 11 new positions for Probation Health Services Teams and other adjustments of \$3.7 million. Combined, the above actions reconcile the DOP to its current budget of \$99.6 million for Fiscal 2015 and \$90.7 million for Fiscal 2016.

Council Initiatives

In Fiscal 2015 the Council allocated a total of \$1.8 million in the DOP's budget to support two initiatives. Funding for these initiatives is not included in the Fiscal 2016 Preliminary Budget for the DOP.

- **Anti-Gun Violence.** The Fiscal 2015 Adopted Budget includes \$1.5 million to support the Justice Community program, which serves court-involved young adults, between the ages of 16-24, living in the 12 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.
- **Adolescent Portable Therapy Program.** The Fiscal 2015 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 weekly, providing a combination of individual and family counseling sessions tailored to the young person's needs.

FY 2015 Council Initiatives	
<i>Dollars in Thousands</i>	
Anti-Gun Violence Initiative	
Bronx Connect	\$129,400
Center for Alternative Sentences and Employment Services	129,400
Center for Court Innovation	517,600
Center for Employment Opportunities	129,400
Getting Out Stay Out	129,400
Man Up	258,800
Opportunities for a Better Tomorrow	129,400
Rockaway Development Revitalization Corporation	129,400
Sub- Total	\$1,552,800
Adolescent Portable Therapy Program	\$250,000
Total	\$1,802,800

Program Areas

In general, agency program areas can and do provide insight into which programs are priorities and how the budget impacts programs' outcomes. The DOP's functions can be broken down into two program areas which are Probation Services and Executive Management. These program areas are funded with a combination of City tax-levy funds and other resources. Of the Department's program areas, funding for Probation Services account for nearly 91 percent of total funding in Fiscal 2016.

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 programs for juvenile probationers.

<i>Dollars in Thousands</i>	Actual 2013	Actual 2014	Adopted 2015	Preliminary Plan		*Difference 2016 - 2015
				2015	2016	
Spending						
Personal Services						
Full-Time Salaried - Civilian	\$49,784	\$49,124	\$53,770	\$60,450	\$58,422	\$4,652
Additional Gross Pay	3,925	3,854	3,524	3,534	3,524	0
Amounts to be Scheduled	0	0	(1,470)	(1,470)	(1,470)	0
Fringe Benefits	0	0	59	59	5	(54)
Overtime – Civilian	357	398	516	516	516	0
Unsalaries	70	192	2	17	6	3
Subtotal	\$54,135	\$53,568	\$56,400	\$63,105	\$61,002	\$4,602
Other Than Personal Services						
Contractual Services	\$11,875	\$12,605	\$19,214	\$19,860	\$15,402	(\$3,812)
Fixed & Misc. Charges	665	723	1	423	1	0
Other Services & Charges	6,390	7,736	4,475	5,666	3,977	(498)
Property & Equipment	843	644	790	907	790	0
Supplies & Materials	672	802	1,178	1,161	1,178	0
Subtotal	\$20,446	\$22,511	\$25,658	\$28,017	\$21,348	(\$4,310)
TOTAL	\$74,582	\$76,080	\$82,059	\$91,122	\$82,351	\$292
Funding						
City Funds			\$61,402	\$62,963	\$61,597	\$194
Other Categorical			90	90	0	(90)
State			14,545	14,545	14,545	0
Federal - Other			90	130	15	(75)
Intra City			5,932	13,394	6,194	263
City Funds			82,059	91,122	82,351	292
Other Categorical			\$61,402	\$62,963	\$61,597	\$194
TOTAL	\$74,582	\$76,080	\$82,059	\$91,122	\$82,351	\$292
Positions						
Full-Time Positions	857	875	903	961	912	9
TOTAL	857	875	903	961	912	9

*The difference of Fiscal 2015 Adopted Budget compared to Fiscal 2016 Preliminary Budget.

The Fiscal 2016 Preliminary Budget for the Probation Services program area shows an increase of \$292,000 when compared to the Fiscal 2015 Adopted Budget. The Fiscal 2015 budget as of the Preliminary Plan shows growth of \$9 million when compared to the Fiscal 2015 Adopted Budget and a headcount increase of 58 positions. The mid-year headcount adjustment is attributed to 22 positions for STSJP, 11 positions for the Probation Health Services Team, and Financial Plan headcount adjustments of 25 positions which are paid for through an intra-City transfer with ACS for three of the DOP's programs.

- **State Supervision and Treatment Services for Juveniles Program (STSJP).** The Fiscal 2016 Preliminary Plan includes two actions related to STSJP for Fiscal 2015. First, the budget includes a transfer of \$1.9 million in City tax-levy funds to ACS to facilitate the receipt of State funding. Second the budget recognizes the receipt of \$5.1 million in State funding through an intra-City transfer with ACS to support 22 positions. Combined the actions include an increase of \$3.2 million in Fiscal 2015. STSJPs 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/respite beds for youth within the community who do not have a safe home to return to.
- **Probation Health Services Team.** As part of recommendations from the Mayor's Task Force on Behavioral Health and the Criminal Justice System, the November Plan included baseline funding of \$1.2 million beginning in Fiscal 2016 to support 11 new positions for the Probation Health Services Teams. To adequately and effectively meet the needs of individuals on probation with behavioral health issues, it was anticipated that the DOP would establish the Probation Health Services Team to include a Director, one psychiatrist, and a nurse practitioner for each borough. As per the DOP, it is in the process of establishing this office.
- **Collective Bargaining.** The November and Preliminary Plans added baseline funding to support collective bargaining costs. Combined, the Financial Plans added \$2.8 million in Fiscal 2015, increasing to \$4.8 million in the outyears (including City and non-City finds.)

PMMR Performance Indicators

The DOP collects data on the number of individuals served and on an annual basis reports the data in the PMMR. The following two charts from the PMMR provide performance statistics for adult and juvenile probationers followed by a description of year-over-year changes. The chart shows actual data for Fiscal 2012-2014, target data where applicable for Fiscal 2015 and 2016, and four month actual data for Fiscal 2014 and 2015.

Adult Monitoring and Enforcement Performance Statistics	Actual			Target		4-Month Actual	
	FY12	FY13	FY14	FY15	FY16	FY14	FY15
Average monthly violation rate for adult probationers (%)	0.9%	0.9%	0.8%	*	*	0.9%	0.8%
Adult probationer re-arrest rate (monthly average) (%)	3.0%	3.1%	3.2%	3.0%	3.0%	3.2%	3.5%
Adult probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	2.6%	2.8%	2.9%	2.6%	2.6%	2.8%	3.1%
Adult probationer early discharge rate (%)	17%	12%	11%	*	*	11%	13%

Source: Fiscal 2015 Preliminary Mayor's Management Report (PMMR)

- The average monthly violation rate for adult probationers decreased slightly to 0.8 percent from 0.9 percent during the four-month reporting period in Fiscal 2015.

- The average monthly re-arrest rate for adult probationers was 3.5 percent, compared to a rate of 3.2 percent during the first four months of Fiscal 2014. When viewed as a percentage of all Police Department arrests, adult re-arrests increased to 3.1 percent from 2.8 percent in during the first four months of Fiscal 2014.
- During the first four months of Fiscal 2015, early discharges represented 13 percent of all adult probation supervision case closings, compared to 11 percent the previous year.

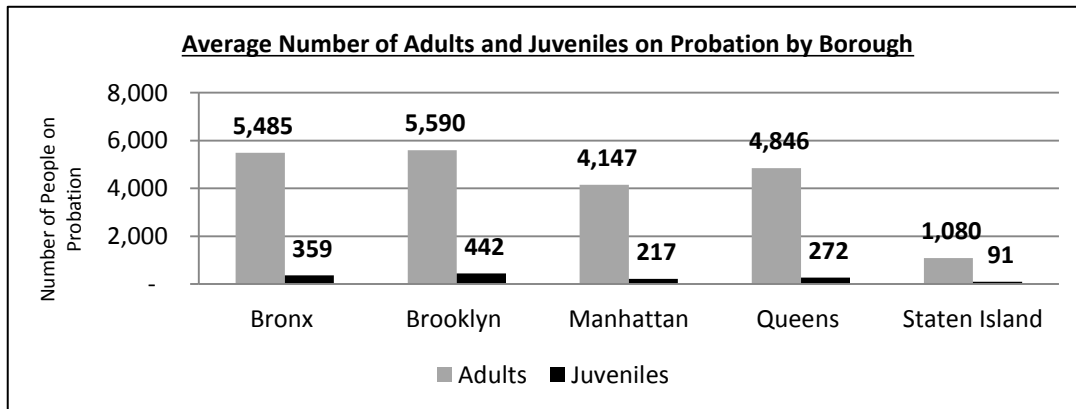
Juvenile Monitoring and Enforcement Performance Statistics	Actual			Target		4-Month Actual	
	FY12	FY13	FY14	FY15	FY16	FY14	FY15
Average monthly violation rate for juvenile probationers (%)	2.8%	2.7%	3.0%	3.0%	3.0%	3.1%	2.5%
Juvenile probationer re-arrest rate (monthly average) (%)	2.9%	2.7%	3.5%	2.6%	2.6%	3.4%	3.8%
Juvenile probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	0.3%	0.2%	0.3%	*	*	0.3%	0.3%
Juvenile delinquency cases eligible for adjustment (%)	37.0%	34.0%	28.0%	32.0%	32.0%	30.0%	33.0%
Low-risk (%)	N/A	47.0%	37.0%	*	*	40.0%	42.0%
Medium-risk (%)	N/A	16.0%	12.0%	*	*	16.0%	11.0%
High-risk (%)	N/A	8.0%	7.0%	*	*	7.0%	5.0%
New enrollments in alternative-to-placement (ATP) programs	N/A	194	167	*	*	60	80
Total probationers supervised in Enhanced Supervision Programs (ESP)	1,158	977	738	*	*	532	391

Source: Fiscal 2015 PMMR

- The average monthly violation rate for juveniles was 2.5 percent, compared to 3.1 percent during the first four months of Fiscal 2015. 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 3.8 percent, up from 3.4 percent in Fiscal 2014. Juvenile re-arrests as a percentage of NYPD arrests remained at .03 during the reporting period. The DOP continues to focus its resources on individuals at the highest risk of re-offending, providing specialized services for youth via community providers based on the risk and need characteristics identified through the DOP's pre-dispositional assessment instrument.
- The juvenile intake adjustment rate was 33 percent during the first four months of Fiscal 2015, an increase of three percentage points from the previous fiscal year. Adjustment rates are based in part on the risk characteristics of juveniles at the time of arrest.
- The number of youth served by the Enhanced Supervision Program (ESP) declined by 73 percent to 391, compared to 532 during the first four months of Fiscal 2014. 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. The DOP continues to work with the local courts and service providers to identify youth appropriate for community supervision rather than placement.
- Last year the DOP 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 being 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. New enrollments increased 33 percent to 80 from 60 in during the first four months of Fiscal 2015.

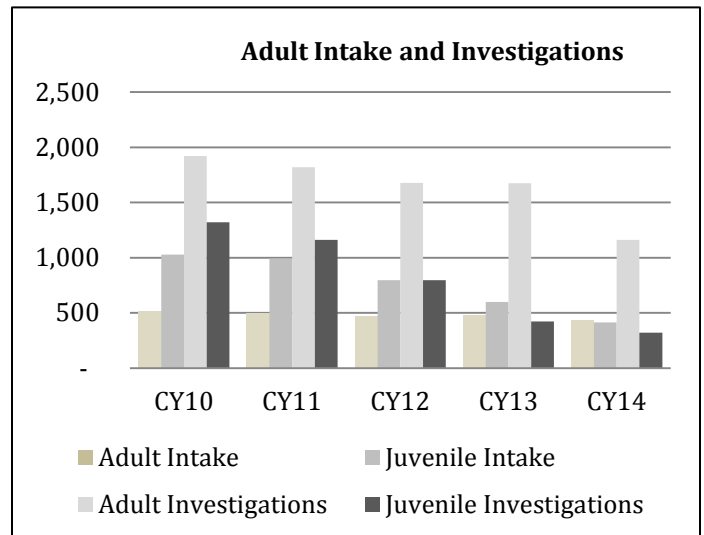
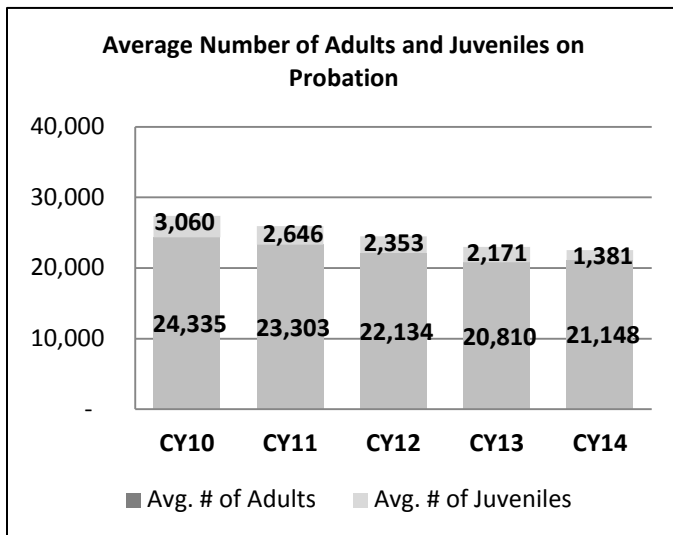
Probation Client Demographics for Calendar Year (CY) 2014



In Fiscal 2014, the 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. The 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 and the defendant’s criminal history, family situation, education, employment history, and physical and mental health. In CY 2014 the DOP supervised approximately 21,148 adults and 1,381 juveniles. In CY 2014, 26 percent of adults and 32 percent of juveniles were from Brooklyn.

Probation Supervision Overview

Adult and Juvenile Probationer Statistics CY 2010 – CY 2014



- Over the the last five years, the number of adults and juveniles serving a term of probation has decreased. There is a 13 percent reduction in the number of adults on probation and a 43 percent reduction in the number of juveniles on probation.
- Over the last five years the number of intake cases and the number of investigations have also decreased. For adults, intake is down by 16 percent and investigations are down by 39 percent. For juveniles, intake is down by 60 percent and investigations are down by 76 percent.

Programs and Services

Probation supervision is intended to encourage individuals to become law-abiding citizens and to reduce the rate of recidivism/reoffending. The DOP 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. The DOP utilizes validated risk and need assessment instruments for both adult and juvenile clients to determine their levels 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 shortcomings and mistakes. The DOP 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 the 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. The DOP works with eligible clients to fill out the application and with the courts to expedite processing.
- **Record of Arrests and Prosecutions (RAP) Sheet Assistance.** The DOP provides assistance to help New Yorkers in all five boroughs understand, and if necessary, correct their RAP sheets.
- **Warrant Project.** The DOP provides assistance to help clients resolve active warrants. The DOP focuses on warrants that are more than ten-years-old for probation clients who were convicted of low-level non-violent misdemeanors and more than 15 years old for clients convicted of non-violent felonies.

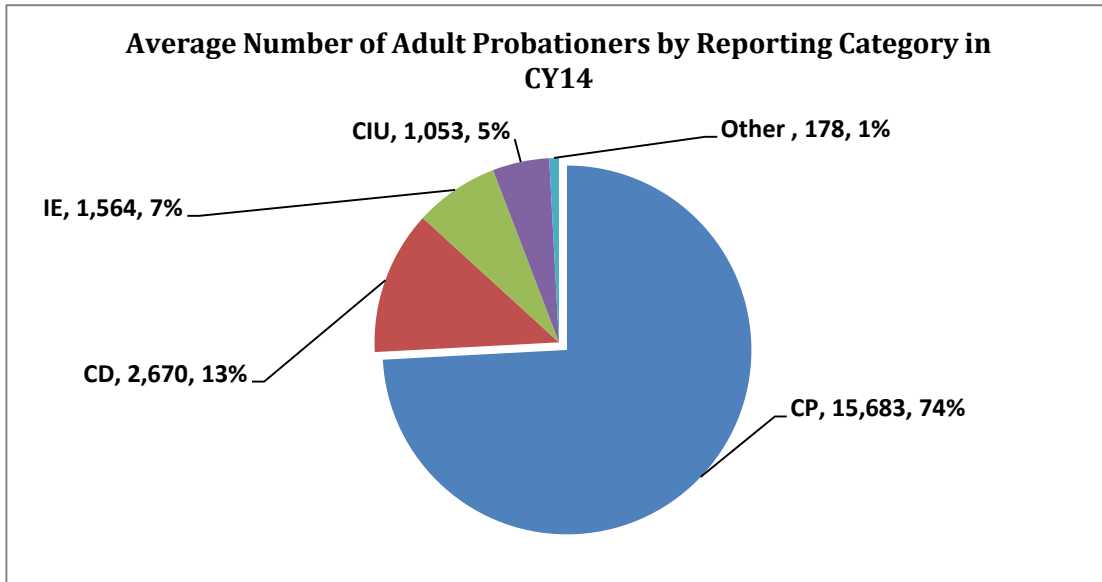
Adult Supervision

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. Adult probation clients primarily fall into five different supervision categories however, the majority of adult probationers are on the community progression track. In CY 2014, 21,148 adults were on probation, of which 74 percent were on the community progression track and 13 percent were on the client development reporting track. The average probation officer-to-probationer ratio was 1:46, not including those who are on the community progression track, and the average supervising probation officer-to-probation officer ratio was 1:4.

The descriptions of the reporting categories are listed below, followed by a pie chart that shows the number and percentage of adults on probation by reporting category in CY 2014.

- **Community Progression (CP).** These probation clients are not considered high-risk for committing crimes or a threat to public safety. Probationers in the CP track report monthly to a kiosk, but also have a probation officer.
- **Intensive Engagement (IE).** Probationers in this category meet one of the following criteria: sex offender, including those registered under the Sex Offender Registration Act; child abusers; domestic violence offenders; 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 the DOP's risk assessment instrument.
- **Centralized Interstate Unit (CIU).** These probation clients are either leaving or coming to New York City from other states or other counties in New York. To facilitate this process, CIU staff communicates with clients, local probation officers, and probation officers in other jurisdictions throughout the country.

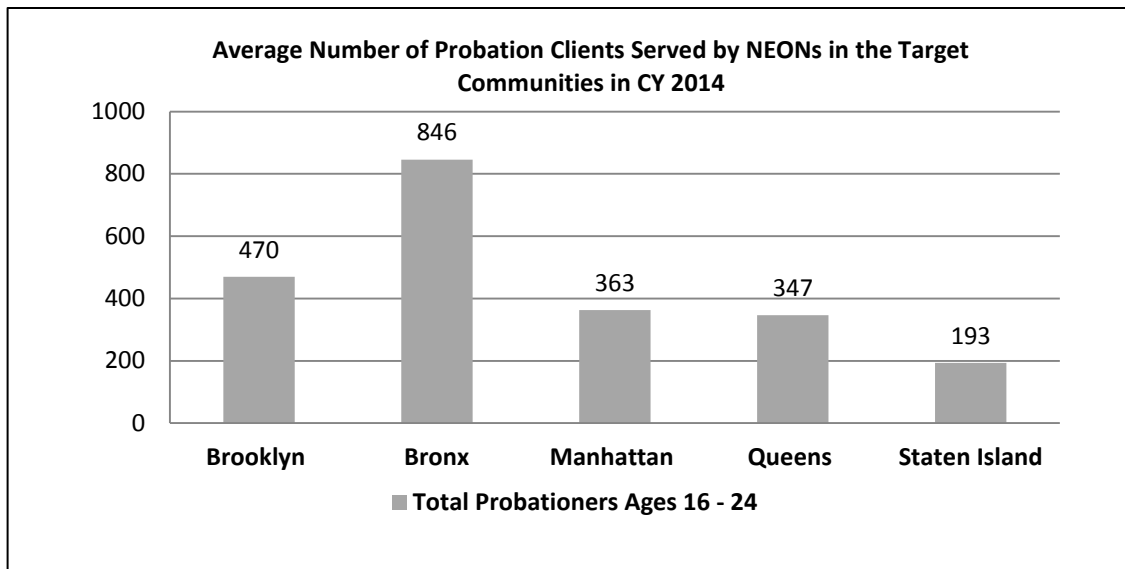
- **Specialized Programs.** The adult court unit operates a variety of programs that are specially tailored for clients with unique needs.



Adult Young Men’s Initiative (YMI) Programs

YMI supports six of the DOP’s 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, the DOP has expanded its program to seven full-time NeON officers, and seven NeON satellite offices throughout the City in East New York, Harlem, Jamaica, and the South Bronx. The NeON programs have served a total of 4,706 probation clients since 2012 in their neighborhoods, with 680 served in 2012, 1,723 served in 2013, and 2,219 served in 2014. Listed below is a chart which shows the number of probation clients served by the NeONs in the target communities.



- In Fiscal 2014, 38 percent of probation clients served through the NeONs were from the Bronx, followed by 21 percent in 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 facilities. The DOP, in partnership with ACS and community based organizations, operate a variety of programs for justice-involved 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 their needs and capitalize on personal interests.

Juvenile probation clients fall into four different supervision categories, however, the majority of juvenile probationers are under general supervision. In CY 2014, 1,381 juveniles were on probation, 67 percent were on the general supervision reporting track and 31 percent were on the enhanced supervision reporting track. In CY 2014, the average probation officer-to-probationer ratio was 1:16 and the average supervising probation officer-to-probation officer ratio was 1:4.

Juvenile Home Placement Programs – Alternatives-to-Placement

The DOP has two ATP programs for juveniles that provide intensive community supervision in lieu of placement within OCFS facilities. The DOP directly operates the Enhanced Supervision Program (ESP) which targets the most serious juvenile offenders and it has a contract with Esperanza, a community-based organization for its Operation Impact program that targets high-risk juvenile offenders. The Fiscal 2016 Preliminary Budget includes a total of \$5.4 million to support both programs.

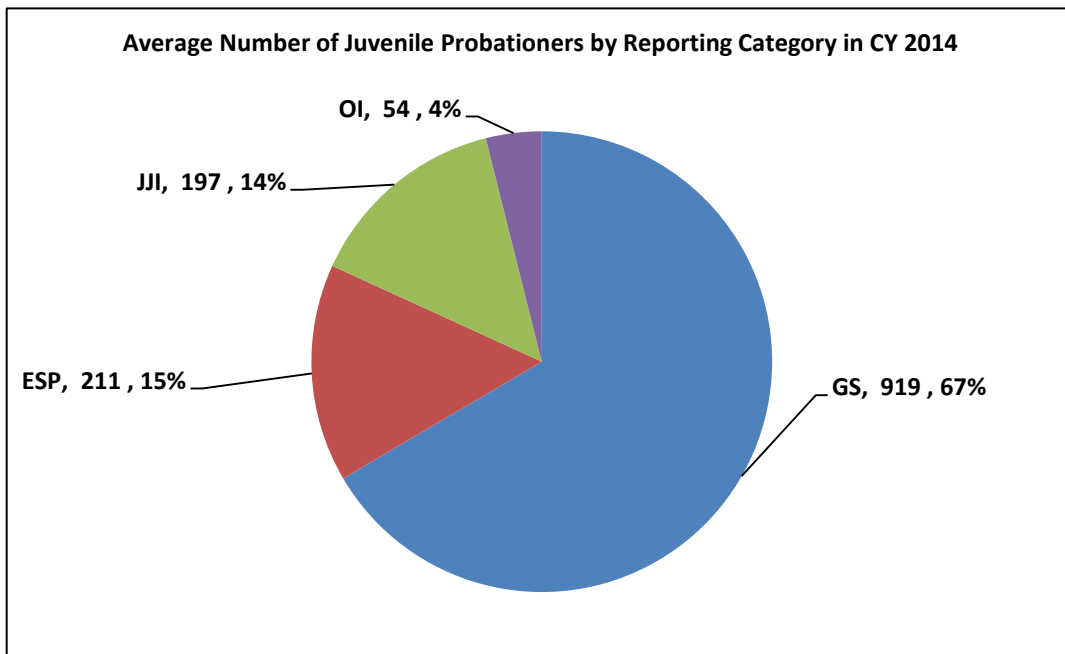
ESP targets the most serious juvenile offenders and is structured to promote the accountability and responsibility of justice-involved youth in addition to increasing their self-esteem. The program provides intense supervision and services including, but not limited to: frequent contact with probation 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 2016 Preliminary Budget for ESP includes approximately \$2.1 million. Of that amount, approximately \$2 million supports PS costs for 35 positions and \$85,500 is for OTPS.

Operation Impact 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 program. Since its inception, Operation Impact has saved the City’s Department of Juvenile Justice millions of dollars in placement costs that would otherwise have been paid to OCFS. The Fiscal 2016 Preliminary Budget includes \$3.3 million for Operation Impact.

The descriptions of the reporting categories are listed below, followed by a pie chart that shows the number and percentage of juveniles on probation by reporting category in CY 2014.

- **General Supervision (GS).** 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.
- **ESP.** ESP targets the most serious juvenile offenders and is structured to promote the accountability and responsibility of justice-involved youth in addition to increasing their self-esteem.
- **Operation Impact (OI).** Operation Impact provides intensive family-centered supervision for four to six months for high risk juvenile offenders.
- **The Juvenile Justice Initiative (JJI).** The Juvenile Justice Initiative is an ATP 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.



Executive Management

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

<i>Dollars in Thousands</i>	Actual 2013	Actual 2014	Adopted 2015	Preliminary Plan		*Difference 2016 - 2015
				2015	2016	
Spending						
Personal Services						
Full-Time Salaried - Civilian	\$6,655	\$6,732	\$7,541	\$8,108	\$8,091	\$551
Additional Gross Pay	303	262	200	200	200	0
Amounts to be Scheduled	0	0	0	2	1	1
Fringe Benefits		0	0	0	0	0
Overtime – Civilian	48	47	18	18	18	0
Unsalariated	10	21	2	2	2	0
Subtotal	\$7,017	\$7,061	\$7,760	\$8,329	\$8,312	\$552
Other Than Personal Services						
Contractual Services	\$0	\$0	\$28	\$28	\$28	\$0
Fixed & Misc. Charges	0	0	2	2	2	0
Other Services & Charges	19	20	32	32	32	0
Property & Equipment	1	6	21	21	21	0
Supplies & Materials	79	14	42	42	42	0
Subtotal	\$99	\$40	\$126	\$126	\$126	\$0
TOTAL	\$7,116	\$7,101	\$7,886	\$8,455	\$8,438	\$552
Funding						
City Funds			\$7,828	\$8,397	\$8,380	\$552
State			60	60	60	0
TOTAL	\$7,116	\$7,101	\$7,888	\$8,457	\$8,440	\$552
Positions						
Full-Time Positions	93	83	112	112	115	3
TOTAL	93	83	112	112	115	3

**The difference of Fiscal 2015 Adopted Budget compared to Fiscal 2016 Preliminary Budget.*

The DOP's Fiscal 2016 Preliminary Budget for Executive Management shows growth of \$552,000 from the Fiscal 2015 Adopted Budget. The Fiscal 2015 budget shows growth of \$569,000 since adoption. For Fiscal 2016, the increase is attributable to collective bargaining adjustments and a baseline increase of \$250,000 for three positions from the Mayor's Office of Criminal Justice to oversee the anti-gun violence initiative. For Fiscal 2015, the increase is attributable to collective bargaining costs.

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

<i>Dollars in Thousands</i>	FY 2015			FY 2016		
	City	Non-City	Total	City	Non-City	Total
DOP Budget as of the Adopted 2015 Plan	\$69,231	\$20,716	\$89,947	\$65,322	\$20,552	\$85,874
New Needs						
Probation Health Services Team	\$600		\$600	\$1,200		\$1,200
Subtotal New Needs	\$600	\$0	\$600	\$1,200	\$0	\$1,200
Other Adjustments						
Supervision and Treatment Services for Juveniles Program	(\$1,960)	\$5,159	\$3,198	\$0	\$0	\$0
Collective Bargaining Increases	2,841	234	3,075	3,152	263	3,415
Member Item Reallocation	649	0	649	0	0	0
Fund FY15 Front End Grant	0	40	40	0	0	0
From 2425/600 to 50 x	0	925	925	0	0	0
FY15 IC ECHOES	0	750	750	0	0	0
FY15 IC Evenings	0	240	240	0	0	0
IC DOP FY15	0	155	155	293	0	293
Subtotal Other Adjustments	\$1,530	\$7,503	\$9,032	\$3,445	\$263	\$3,707
Total All Changes	\$2,130	\$7,503	\$9,632	\$4,645	\$263	\$4,907
DOP Budget as of the Preliminary Plan 2016	\$71,361	\$28,219	\$99,579	\$69,967	\$20,815	\$90,781

Appendix B: Fiscal 2015 Mayor's Management Report Performance Measures

Performance Indicators	Actual			Target		4-Month Actual	
	FY12	FY13	FY14	FY15	FY16	FY14	FY15
Successful completion rate for adult probationers (%)	64%	58%	59%	*	*	64%	65%
Successful completion rate for juvenile probationers (%)	62%	58%	60%	*	*	57%	56%
Adult investigation reports completed: felony	16,717	14,673	13,866	*	*	4,842	4,096
Adult investigation reports completed: misdemeanor	4,771	4,874	4,586	*	*	1,713	1,412
Juvenile investigation reports completed	3,303	3,907	2,194	*	*	893	758
Adult operations - total cases serviced	30,636	29,437	29,498	*	*	25,724	25,481
Intake cases received - juvenile supervision	11,510	7,516	6,064	*	*	2,105	1,724
Total cases, end of period (JD)	1,627	1,662	1,463	*	*	1,559	1,421
Total cases, end of period (ESP)	560	417	318	*	*	384	286
Average monthly violation rate for adult probationers (%)	0.9%	0.9%	0.8%	*	*	0.9%	0.8%
Average monthly violation rate for juvenile probationers (%)	2.8%	2.7%	3.0%	3.0%	3.0%	3.1%	2.5%
Probation violation proceedings ending in revocation for adult probationers (%)	46%	45%	44%	*	*	45%	47%
Probation violation proceedings ending in revocation for juvenile probationers (%)	57%	47%	49%	*	*	50%	39%
Adult probationer rearrest rate (monthly average) (%)	3.0%	3.1%	3.2%	3.0%	3.0%	3.2%	3.5%
Adult probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	2.6%	2.8%	2.9%	2.6%	2.6%	2.8%	3.1%
Juvenile probationer rearrest rate (monthly average) (%)	2.9%	2.7%	3.5%	2.6%	2.6%	3.4%	3.8%
Juvenile probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	0.3%	0.2%	0.3%	*	*	0.3%	0.3%
Adult probationer early discharge rate (%)	17%	12%	11%	*	*	11%	13%
New enrollments in alternative-to-placement (ATP) programs	N/A	194	167	*	*	60	80
Total probationers supervised in Enhanced Supervision Program (ESP)	1,158	977	738	*	*	532	391
Juvenile delinquency cases eligible for adjustment (%)	37.0%	34.0%	28.0%	32.0%	32.0%	30.0%	33.0%
- Low-risk (%)	N/A	47.0%	37.0%	*	*	40.0%	42.0%
- Medium-risk (%)	N/A	16.0%	12.0%	*	*	16.0%	11.0%
- High-risk (%)	N/A	8.0%	7.0%	*	*	7.0%	5.0%
Customer Experience	FY12	FY13	FY14	FY15	FY16	FY14	FY15
Completed requests for interpretation	18,764	16,505	16,520	*	*	N/A	N/A
Letters responded to in 14 days (%)	100%	97%	77%	*	*	65%	100%
E-mails responded to in 14 days (%)	100%	100%	100%	*	*	100%	100%

Appendix C: Contract Budget

DOP Fiscal 2016 Preliminary Contract Budget				
<i>Dollars in Thousands</i>				
Category	Fiscal 2015 Adopted	Number of Contracts	Fiscal 2016 Preliminary	Number of Contracts
Contractual Services General	\$9,464	4	\$13,336,	1
Telecommunications Maintenance	2	1	25	4
Maint. & Repair, General	21	1	21	2
Office Equipment Maintenance	125	2	125	3
Data Processing Equipment	853	2	853	1
Printing Contracts	20	1	20	1
Security Services	625	1	625	1
Temporary Services	13	1	13	5
Cleaning Services	42	1	42	1
Hospital Contracts	220	3	220	1
Training Programs for City Employees	24	2	24	1
Professional Services: Other	144	4	144	2
TOTAL	\$11,558	23	\$15,452	23

The City's Contract Budget, as proposed, totals \$12.4 billion in Fiscal 2016, an increase of \$438 million or 3.7 percent when compared to the Fiscal 2015 Adopted Budget of \$12 billion. For the DOP, the contract budget for Fiscal 2016 is approximately \$15.4 million, including three contracts valued at \$125,447 for office equipment maintenance.