

THE COUNCIL OF THE CITY OF NEW YORK

Hon. Corey Johnson
Speaker of the Council

Hon. Keith Powers
Chair, Committee on Criminal Justice



Report of the Finance Division on the
Fiscal 2020 Preliminary Plan and the
Fiscal 2019 Preliminary Mayor's Management Report for the

Department of Probation

March 14, 2019

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Department of Probation Overview

The Department of Probation (DOP or the Department) helps build stronger and safer communities by supervising people on probation, fostering positive change in their decision-making and behavior through research-based practices. DOP offers probationers opportunities to move out of the criminal and juvenile justice systems through education, employment, health and behavioral 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 courts, reports are also provided in family offense, custody, child support, visitation, adoption and guardianship cases.

Who DOP serves:

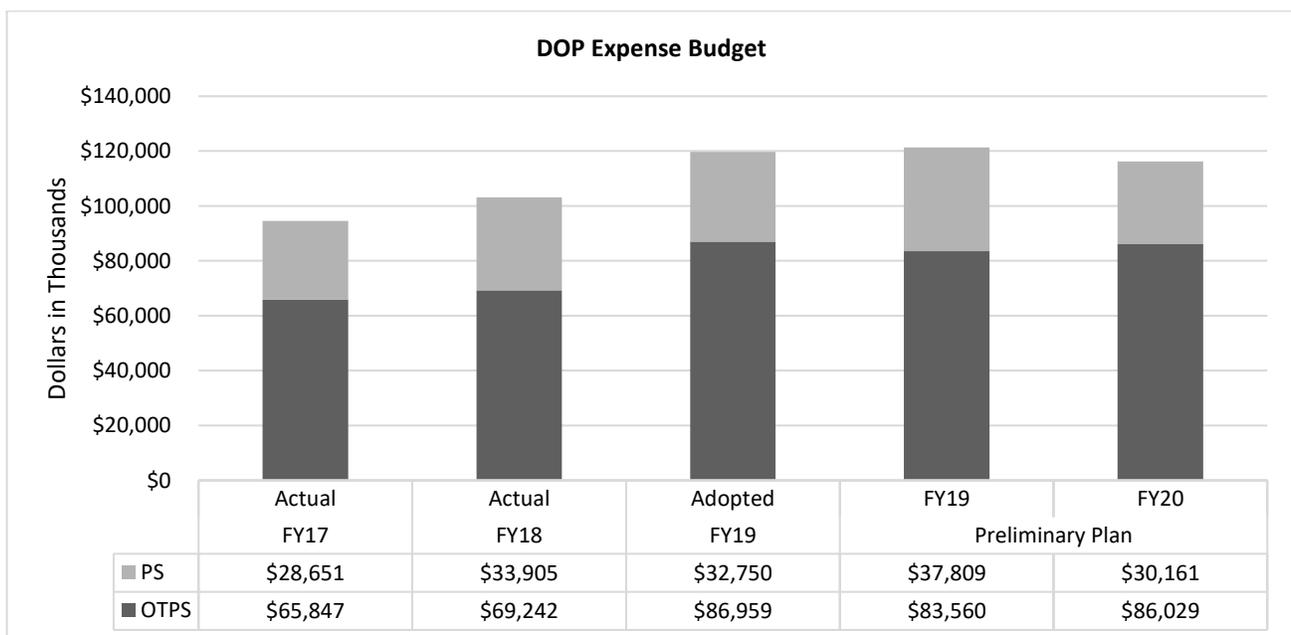
50,000 adult & juvenile cases per year

Supervises 20,000 adults and juvenile

This report provides a review of DOP’s \$116.2 million Fiscal 2020 Preliminary Budget, the Department’s Contract Budget, descriptions of the Department’s programs and supervision categories, followed by a presentation of the Department’s two program budgets and relevant sections of the Preliminary Mayor’s Management Report for Fiscal 2019 (PMMR). Finally, Appendix A lists the budget actions in the November and Preliminary Financial Plans.

Fiscal 2020 Preliminary Budget

The Department of Probation’s Fiscal 2020 Preliminary Budget totals \$116.2 million, including \$86 million in the personal services (PS) budget and \$30.2 million in the other than personal services (OTPS) budget. The Fiscal 2020 Preliminary Budget reflects a decrease of \$3.5 million when compared to the Fiscal 2019 Adopted Budget of \$121.4 million. The PS budget decreases by \$930,000 and the OTPS budget decreases by \$2.6 million, when compared to the Fiscal 2019 Adopted Budget. The decrease is largely due to PS accruals, discussed below. The PS budget accounts for 74 percent of the Department’s total budget, and the OTPS budget accounts for 26 percent. Meanwhile, the Fiscal 2019 Budget increases modestly by \$1.6 million when compared to the Fiscal 2019 Adopted Budget.



The Fiscal 2020 Preliminary Plan makes minor changes to the Department's Fiscal 2020 Preliminary Budget. No new needs are introduced. A very modest savings initiative, discussed below, is included.

- **PS Savings.** The Preliminary Plan includes a savings of \$2.1 million in Fiscal 2019 and \$1.6 million in Fiscal 2020 due to PS accruals as a result of delayed hiring. According to the Department, this is attributed to the delayed hiring of Probation Officers (PO) and promotions to Supervising Probation Officer (SPO) that occur once PO positions are filled.

Financial Plan Summary

The DOP's budget is broken into two sections, Probation Services and Executive Management. These program areas are funded with a combination of City tax-levy funds and other resources, and are budgeted in two units of appropriation (UA) pairs. The following table provides an overview of DOP's actual expenditures for Fiscal 2017 and Fiscal 2018, the Adopted Budget for Fiscal 2019, and planned expenditures for Fiscal 2019 and Fiscal 2020 as proposed in the Fiscal 2020 Preliminary Plan.

DOP Financial Summary <i>Dollars in Thousands</i>						
	FY17	FY18	FY19	Preliminary Plan		*Difference
	Actual	Actual	Adopted	FY19	FY20	FY19-FY20
Spending						
Personal Services	\$65,847	\$69,242	\$86,959	\$83,560	\$86,029	(\$930)
Other Than Personal Services	28,651	33,905	32,750	37,809	30,161	(2,590)
TOTAL	\$94,499	\$103,148	\$119,709	\$121,369	\$116,189	(\$3,520)
Budget by Program Area						
Probation Services	\$86,079	\$93,957	\$109,853	\$111,267	\$105,912	(\$3,940)
Executive Management	8,419	9,191	9,857	10,101	10,277	420
TOTAL	\$94,499	\$103,148	\$119,709	\$121,369	\$116,189	(\$3,520)
Funding						
City Funds			\$98,274	\$97,288	\$94,983	(\$3,292)
State			15,061	15,293	14,869	(193)
Federal - Other			36	229	0	(36)
Other Categorical			0	2,220	0	0
Intra City			6,338	6,338	6,338	0
TOTAL	\$94,499	\$103,148	\$119,709	\$121,369	\$116,189	(\$3,520)
Budgeted Headcount						
Full-Time Positions	967	1,033	1,227	1,228	1,219	(8)
TOTAL	967	1,033	1,227	1,228	1,219	(8)

**The difference of Fiscal 2019 Adopted Budget compared to Fiscal 2020 Preliminary Budget.*

DOP's Fiscal 2020 Preliminary Budget of \$116.2 million decreases by \$3.5 million when compared to the Fiscal 2019 Adopted Budget of \$119.7 million. Of the total budget, 91 percent supports the Probation Services program area. Of the total budget, \$94.9 million, or 82 percent of the budget, is comprised of City funds. In addition, the Preliminary Budget reduces DOP's budgeted headcount by eight positions. Of the total 1,219 budgeted headcount for DOP, 711 are Probation Officers (PO); 191 are Supervising Probation Officers (SPO); and 47 are Assistant Probation Officers (APO). The average salaries for the aforementioned positions are as follows: \$53,245 for PO, \$71,105 for SPO, and \$99,951 for APO. Additionally, 17 staff funded through DOP's budget actually work for the Mayor's Office of Criminal Justice (MOCJ), and are assigned to community-justice initiatives, including the Office to Prevent Gun Violence, Office of High Crime, and Crisis Management System. This headcount and the associated funding should be removed from DOP's budget and scheduled in the area of the mayoralty budget that supports MOCJ.

Changes included in the November 2018 Financial Plan and the Fiscal 2020 Preliminary Plan have increased the Fiscal 2019 Budget modestly by \$1.7 million. Of the total increase, \$1.4 million or 85 percent, is reflected in the Probation Services program area (see pg. 4 for more information). Notably in this Preliminary Plan, DOP’s Fiscal 2020 Preliminary Budget includes baselined funding of \$374,000 for the Close to Home program, which was previously funded through an Intra-City transfer from the Administration for Children’s Services (ACS). Although Close to Home created new Alternative to Placement (ATP) programs for the City, the State’s 2018-2019 Executive Budget eliminated State funding for Close to Home. In order to continue this program, the City backfilled the loss of State funding for Close to Home in ACS’ budget in the amount of \$30.5 million.

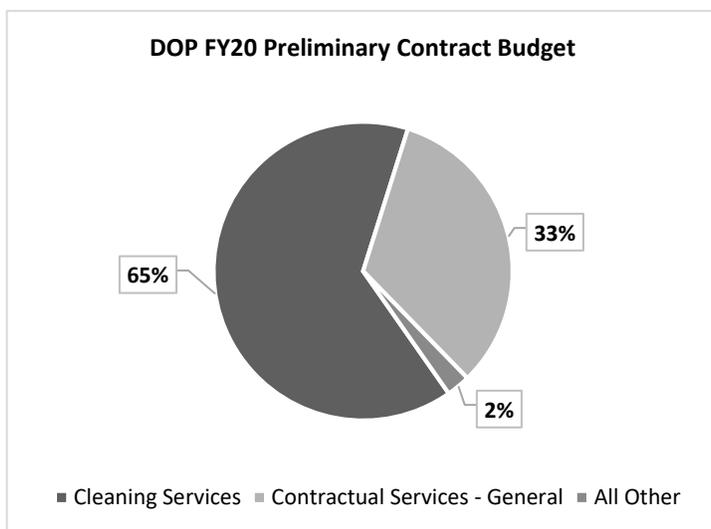
The Fiscal 2019 Adopted Budget totals \$119.7 million, and the projected budget for Fiscal 2020 at the time of Adoption was \$117.1 million. The Fiscal 2020 Budget as of the Preliminary Financial Plan is \$116.2 million, a decrease of \$880,000 from the projected budget at Adoption. This decrease consists mostly of a \$1.1 million decrease in CTL funding from PS accruals and vacancy reductions and a \$198,000 increase in non-City funding that the Department received, for a net total of \$880,000 decrease.

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 personnel service provided to the City by means of a contract. The Contract Budget is a subset of the OTPS portion of the City’s Expense Budget. The Administration prepares a Contract Budget twice each fiscal year.

The Department’s Fiscal 2020 Contract Budget totals \$65.9 million for 24 contracts, accounting for 57 percent of the Department’s total budget. Contracts for contractual services – general comprise 33 percent of the Department’s total contract budget, and cleaning services comprise 65 percent, see Appendix B for a full breakdown of DOP’s contract categories and budget. Funding for DOP’s program such as Justice Community, AIM (Advocate, Intervene, Mentor), Next Steps, and ECHOES (Every Child

Has an Opportunity to Excel) are in the Department’s contract budget. The Fiscal 2020 Contract Budget decreases by \$1.9 million, or roughly three percent, when compared to the Fiscal 2019 Adopted Budget. This is because funding for NeON Arts program has not been recognized in the outyears yet. The Fiscal 2020 Budget for DOP’s major programs are as follows: \$3 million for ARCHES; \$2 million for AIM; \$1 million for ECHOES; \$1.5 million for Justice Community; \$2.7 million for Next STEPS; and \$750,000 for Pathways to Excellence, Achievement & Knowledge (PEAK) program.

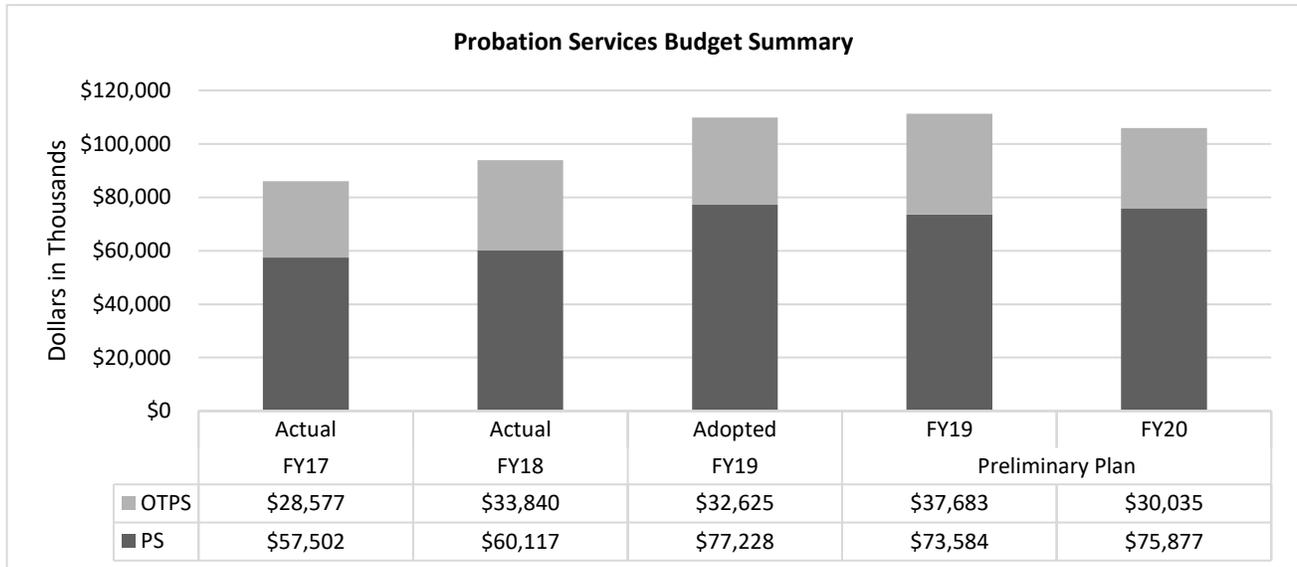


Program Areas

The DOP’s budget is broken down into two U/A pairs referred to herein as program areas, which are Probation Services and Executive Management. The following sections discuss Probation Services and Executive Management’s program budgets and related PMMR performance measures.

Probation Services

Probation Services administers 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 probation clients, and alternative to placement programs for juvenile probation clients.



The Department’s Fiscal 2020 Probation Services budget shows a decrease of \$3.9 million from the Fiscal 2019 Adopted Budget and a headcount reduction of eight positions. The PS budget fell by \$1.4 million, and the OTPS budget also fell by \$3.6 million. The decrease in the PS budget is due to a \$3.4 million decrease in full-time salary for civilian staff. The decrease in the OTPS budget is largely due to a \$1.9 million decrease in contractual services. As mentioned in the contract budget section, this is because funding for NeON Arts programs has not been recognized in the outyears yet. The PS budget accounts for 72 percent of this program area’s budget. As the chart demonstrates, Probation Services’ budget has only increased by modest amounts from year to year. The Fiscal 2019 Budget totals \$111.3 million, a net total increase of \$1.4 million or approximately 1.3 percent, when compared to the Fiscal 2019 Adopted Budget. This is due to a \$3.6 million decrease in the PS budget, but is offset by a \$5.1 million increase in the OTPS budget, for a net total increase of \$1.4 million.

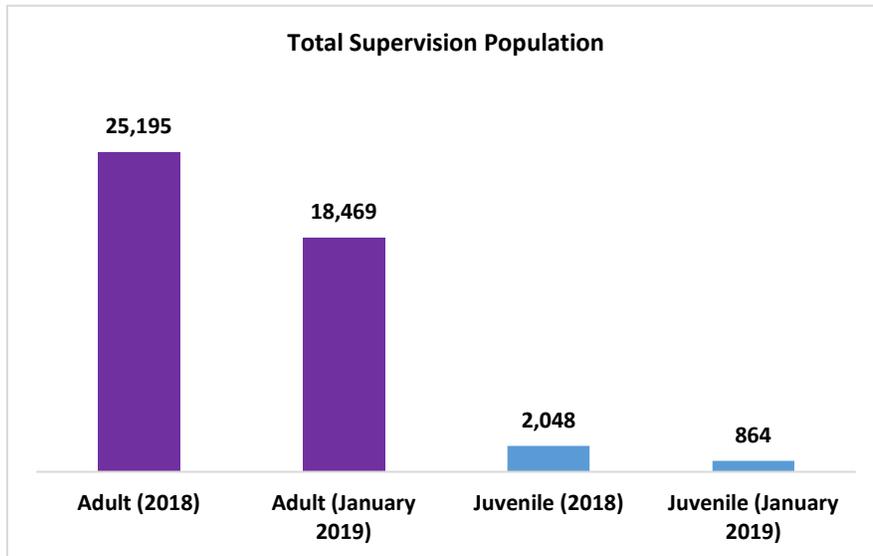
The Probation Services budget funds the Department’s Neighborhood Opportunities Network (NeON), with a total budget of \$2.7 million as of the Fiscal 2019 Budget. Of the total, \$2.4 million is for NeON Arts. The NeON Arts program offers young people in communities throughout the City the chance to explore the arts through a variety of creative projects. DOP is responsible for general oversight of the program activities and ensuring that the needs of probation clients and their communities are served. DOP has staff that helps with delivery of the program, which includes probation officers and the Deputy Commissioner.¹ Carnegie Hall serves as the fiscal agent and oversees administrative aspects of the initiative. There is also a project manager that is dedicated to managing the day-to-day logistics of NeON Arts. The dedicated NeON Arts staff are housed at Carnegie Hall, but work on behalf of both Carnegie Hall and DOP.

¹ <https://www1.nyc.gov/assets/probation/pdf/press/neon-arts-evaluation-report-december-2018.pdf>

The following sections provide a demographic profile of the population that the Department manages, descriptions of adult and juvenile supervision and DOP programs, and discuss PMMR indicators, broken down by adult and juvenile supervision.

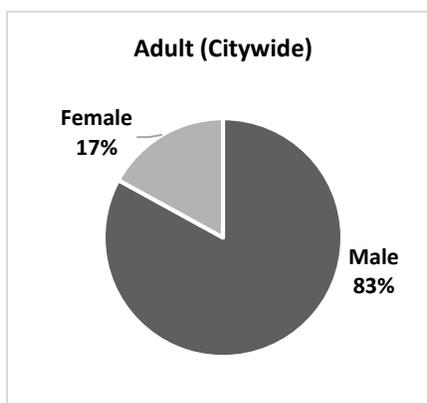
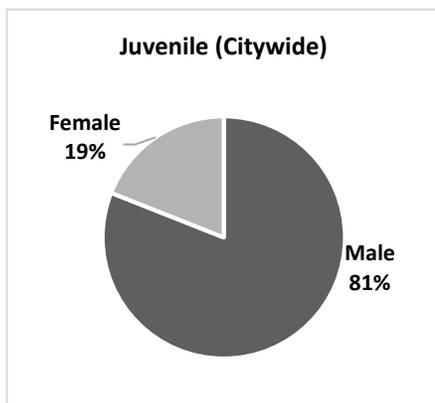
Probationer Population

DOP provides intake services, investigations, and supervision to more than 50,000 adult and juvenile cases per year, with 18,500 adults and 900 juveniles under supervision on a daily basis. This section provides total supervision population broken down by adult and juvenile, and gender, as of January 1, 2019. This section also compares the number of supervision population as of January 1, 2019 to full Fiscal 2018.



In Fiscal 2018, the Department supervised a total of 25,195 adults and 2,048 juveniles. As of January 1, 2019, the Department supervised a total of 18,469 adults and 864 juveniles.

Of these, 19 percent of juvenile clients are female, and 81 percent are male. Additionally, 17 percent of adult clients are female and 83 percent are male. As the charts demonstrate, the juvenile and adult client gender breakdown are closely aligned.



The following sections provide an overview of adult and juvenile supervision categories, DOP programs that serve the population, and relevant sections of the PMMR.

Adult Supervision

According to the Department, 478 POs and 110 SPOs are assigned to 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. Adults are defined by the Court as anyone older than age 16. Probationers 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. The five different supervision categories are listed below.

1. **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.
2. **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; confirmed as a major drug dealer or known to have a major gang affiliation or involvement; or known to both State and Federal witness protection programs.
3. **Client Development (CD).** These probation clients are at a high risk of recidivating according to the DOP's risk assessment instrument.
4. **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.
5. **Specialized Programs.** The adult court unit operates a variety of programs that are specially tailored for clients with unique needs.

Juvenile Supervision

The Fiscal 2020 Preliminary Budget funds 175 POs and 54 SPOs for juvenile supervision. While the Department's budget includes budget codes and budget names for adult supervision, there are none for juvenile supervision and investigation. This lack of transparency does not allow for accurate tracking of the Department's budget and headcount for juvenile supervision.

The DOP, in partnership with ACS and community-based organizations, operates 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. While adult supervision has associated budget codes and budget names, juvenile supervision and investigation does not. This does not allow for accurate tracking of the Department's budget and headcount for juvenile supervision.

Juvenile probation clients fall into four different supervision categories. However, the majority of juvenile probationers are under general supervision.

- **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.
- **Enhanced Supervision Program (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.

DOP Programs

The Department has eight major programs: NeON, AIM, ECHOES, Justice Community, Justice Plus, Next STEPS, and PEAK.

- **NeON.** At NeONs, people under supervision meet with their POs and receive a wide range of services such as High School Equivalency (HSE) classes, employment preparation, mentoring, healthcare, literacy programs, and also participate in arts and sport programming. NeON programs consist of Arts, Sports, Nutrition Kitchen, Made in NY Animation Project, and Clothing Closets.
- **AIM.** AIM is designed to enable participants to address age-specific needs and issues, become knowledgeable about opportunities and resources that can assist them, and develop positive bonds within their community. AIM provides participants with the structure and guidance needed for success by creating individualized plans, and wraparound services for youth and their families.
- **Arches.** Arches is a transformative mentoring program that uses curriculum-based group mentoring to help at-risk young adults, aged 16 to 24 years old, transform the attitudes and behaviors that have led to violence and/or criminal activity. To date, the program has served 2,636 young adults. According to the Department, this program served 412 individuals in Fiscal 2018, and there are 140 new enrollees for Fiscal 2019.
- **ECHOES.** ECHOES is an alternative-to-placement program that connects participants to paid externships and an adult trained in life coaching. This program is for probation clients who are 14 years and older, have been adjudicated through the Family Court and are at risk of being sent to placement.
- **Justice Community.** The Justice Community program engages young adults involved in the criminal justice system in subsidized community benefit projects. This program is for 16 to 24 year-olds. To date, the program has served 1,786 young adults. This program served 296 individuals in Fiscal 2018, and there are 132 new enrollees for Fiscal 2019.
- **Justice Plus.** Justice Plus is a wrap-around program that supports participants by providing a range of work readiness opportunities. These include work experience placements, hard/vocational and soft job skills development, and job search and career awareness/planning competencies. Some of the Justice Plus programs sites are operated by Cure Violence programs specifically for Cure Violence participants and community members.² To date, this program has served 1,832 individuals. This program served 431 individuals in Fiscal 2018, and there are 197 new enrollees in Fiscal 2019.
- **Next STEPS.** Next STEPS is an initiative of the Mayor's Action Plan for Neighborhood Safety that offers one-on-one and group mentoring within a cognitive behavioral therapy-based curriculum designed to help young adults make behavioral changes necessary to avoid criminal activity and reengage with education, work and community. To date, this program has served 911 young adults. This program served 455 individuals in Fiscal 2018, and there are 274 new enrollees for Fiscal 2019. Further discussion of Next STEPS is on pg. 9.

² <https://www1.nyc.gov/site/probation/services/justice-plus.page>

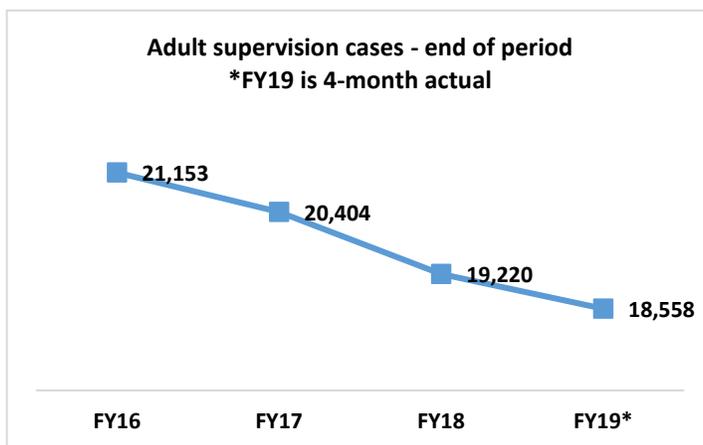
- **PEAK.** PEAK is an education-focused alternative to placement for high-risk young people ages 15 to 18 years-old. The Department partners with two local high schools and two non-profit organizations to provide an intensive program that provides participants with day-long, year-round support.

PMMR Performance Measures

The Department collects data on the number of individuals served, and on an annual basis reports the data in the PMMR. The following charts from the PMMR provide performance statistics for adult and juvenile probationers followed by a description of year-over-year changes.

DOP lays out its services and goals in the PMMR, which are 1) contribute to optimal court processing and decision-making in delinquency and criminal justice matters; and 2) improve community safety through a combination of accountability and support activities with those under probation supervision. The following sections discuss DOP’s PMMR performance measures, broken down by adult supervision and juvenile supervision.

PMMR – Adults



One of DOP’s main functions is to contribute to optimal court processing and decision-making in delinquency and criminal justice matters. The DOP submits a Pre-Sentence Investigation (PSI) to the State for any defendant who has been convicted of a felony or certain misdemeanors that result in probation; incarceration for a term longer than 180 days; or aggregating consecutive sentences longer than 90 days. The PSI forms the basis of the probation supervision process. In Fiscal 2019, the Department

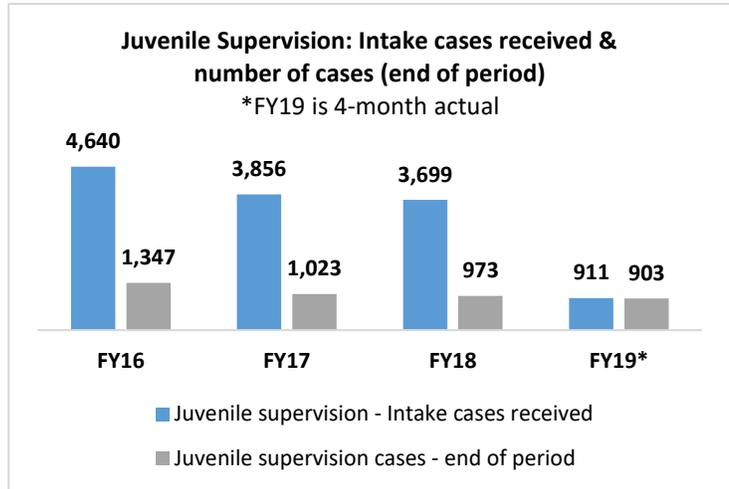
completed 3,601 pre-sentence investigations for adults so far, a 19 percent decrease from the same reporting period in Fiscal 2018. These trends are consistent with a year-to-year decline in NYPD arrests.³

The percentage of IAPs (individual action plan) completed was unchanged at 100 percent for both adults and juveniles. IAPs serve as a roadmap for the period of probation supervision and provide a basis for benchmarking and measuring progress towards achieving short and longer-term goals, leading to better outcomes for individuals serving a community-based criminal or juvenile justice sentence. Similar to the decreasing trend in adult investigation reports completed, the number of adult supervision cases has also decreased over the years, as evidenced by the chart on the left. This could also be attributed to a year-to-year decline in NYPD arrests. During the first four months of Fiscal 2019, there were a total of 18,558 adult supervision cases, approximately a nine percent decline when compared to Fiscal 2018.

³ Fiscal 2019 Mayor’s Management Report: <https://www1.nyc.gov/assets/operations/downloads/pdf/pmmr2019/dop.pdf>

PMMR – Juveniles

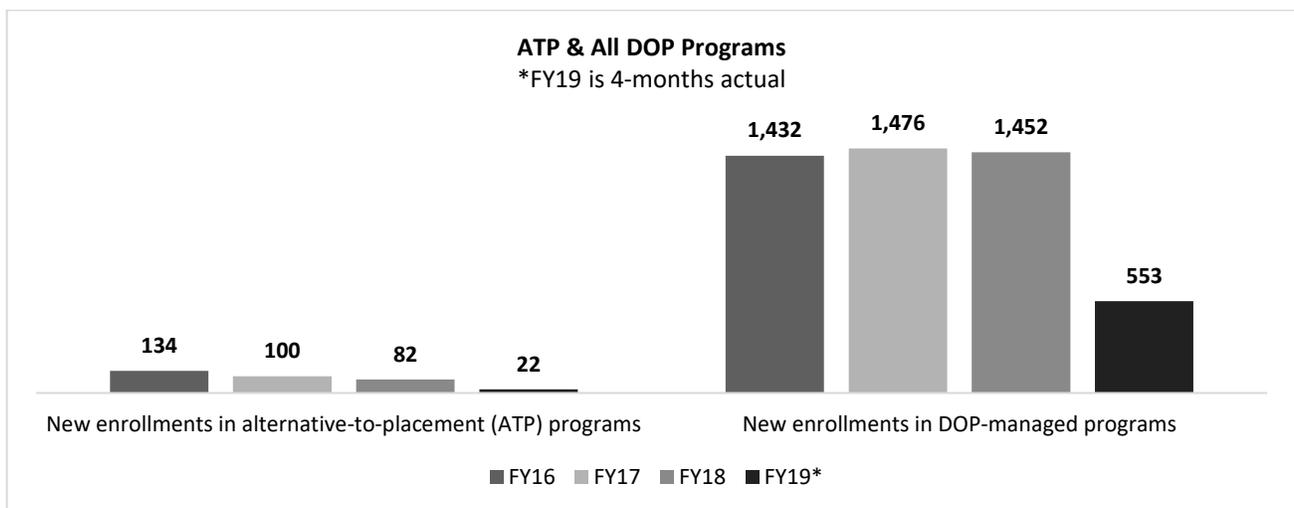
All youth arrested between the ages of seven and 15 who fall under Family Court jurisdiction are processed post-arrest by DOP. The Department processed 911 juvenile intakes in the first four months of Fiscal 2019, a 26 percent decrease from the first four months of Fiscal 2018. During the intake process, probation officers make individual assessments for statutory eligibility and suitability for adjustment, including outreach and communication with complainants, NYPD, and youths’ families. The juvenile intake adjustment



eligibility rate increased nine percentage points to 38 percent, driven by enhanced client engagement, utilization of intervention tools and outreach to complainant witnesses.⁴

Due to the increased age of criminal responsibility, since October 2018, 16 year olds charged with lower-level crimes have been processed through family court rather than criminal court. In October 2019, 17 year olds will also be moved to family court. This shift will add more youth to DOP’s juvenile intake, investigations, and supervision caseloads in each borough during the remainder of Fiscal 2019, and in the outyears. As a result, the Department’s budget includes \$15.1 million and 177 positions in Fiscal 2020 and \$16.7 million in Fiscal 2021 and in the outyears to support DOP’s Raise the Age implementation efforts.

Similar to the downward trend in the number of juvenile intake cases received, the number of juvenile supervision cases has also been declining. During the first four months of Fiscal 2019, the number of juvenile supervision cases decreased by approximately nine percent. However, it is expected that Raise the Age will reverse this downward trend as family court caseloads add 16 and 17 year olds. See Appendix D for full details on PMMR indicators related to juvenile probationers.



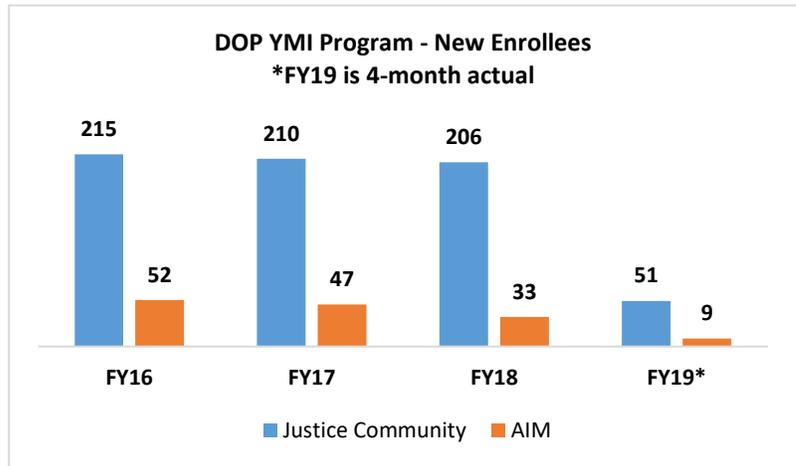
⁴ Fiscal 2019 Preliminary Mayor’s Management Report (<https://www1.nyc.gov/assets/operations/downloads/pdf/pmmr2019/dop.pdf>)

There were 22 new enrollments of juveniles in alternative-to-placement programs, a reduction of three enrollments when compared to the first four months of Fiscal 2018. There were 553 new enrollments in DOP-managed programs, a three percent increase. According to the PMMR, the APT reduction was driven by DOP’s overall supervision population trends and individual needs as determined by risk assessments and IAPs.

DOP is also involved in many different multi-agency initiatives launched by the Mayor. These include the Young Men’s Initiative (YMI), the Mayor’s Action Plan for Neighborhood Safety, Career Pathways, and the Mayor’s Task Force on Behavioral Health. The PMMR provides highlights of the programs, and below are the ones that DOP works on.

Young Men’s Initiative. YMI was established in 2011, and focuses on improving and expanding programming for young men of color experiencing significant disparities relative to their peers. A number of other City agencies and offices work on YMI, but DOP specifically provides the Justice Community program, where justice involved young adults participate in community benefit projects, and the Advocate, Intervene and Mentor (AIM) program that supports youth under probation supervision avoid incarceration. The PMMR includes indicators for both programs.

The number of new enrollees for both Justice Community and AIM have been declining year over year. However, new enrollees for AIM has increased by four during the first four months of Fiscal 2019, when compared to the same reporting period in Fiscal 2018. The PMMR attributes the decline in AIM enrollment to an overall population reduction at all stages of the juvenile justice system. The percent of participants placed in employment through Justice Community has increased greatly by 50 percent from 9 percent in Fiscal 2018 to 59 percent during the first four months of Fiscal 2019, which exceeds the Department’s target of 50 percent. On the other hand, the number of participants who completed AIM has been declining.



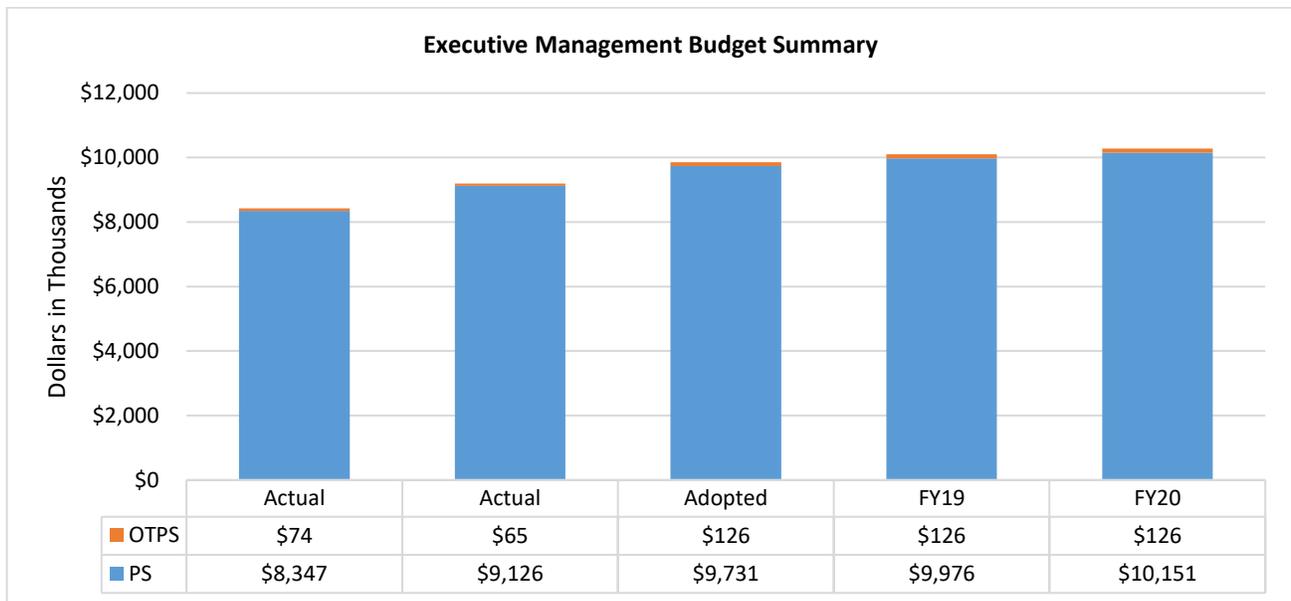
Mayor’s Action Plan for Neighborhood Safety. The Mayor’s Action Plan for Neighborhood Safety (MAP) is an initiative led by MOCJ, and is an approach to neighborhood public safety and crime reduction in New York City public housing developments. MAP works with DOP to fund Next STEPS, a mentoring program that diverts disconnected or gang-affiliated youth from violent activity and encourages them to reengage with education, work and community. Since the start of Next STEPS in Fiscal 2016, the program has served over 900 new participants and has had over 500 graduates.

Career Pathways. The City’s Career Pathways aims to create a more inclusive workforce, one that provides New Yorkers with opportunities to develop new skills, enter the workforce, and earn wages that allow them to achieve economic stability, regardless of their starting skill level or educational attainment. Career Pathways is led by the Mayor’s Office of Workforce Development (WKDEV), and DOP is a partner agency, but the PMMR does not have any performance indicators for DOP, nor does it provide an explanation of how the Probation is involved.

Mayor’s Task Force on Behavioral Health and the Criminal Justice System. The Mayor convened this Task Force in 2014, in order to reduce the number of people with behavioral health needs who cycle through the criminal justice system. The Task Force developed strategies, and this action plan is supported by a \$130 million investment. The Task Force is led by MOCJ. Although DOP is listed as one of the partner agencies, the Fiscal 2019 PMMR does not include the Department’s accomplishments during the first four months of Fiscal 2019, and the PMMR also does not include DOP’s performance indicators as it relates to this Task Force’s work.

Executive Management

DOP’s Executive Management is responsible for setting policies and developing short and long term plans and strategies; providing legislative review and legal analysis; and coordinating with governmental oversight agencies. Under the supervision of the Deputy Commissioner of Budget and Administration, staff provides management of general support services. The chart below provides an overview of the budget that supports the aforementioned functions of the Executive Management.



The Department’s Fiscal 2020 Preliminary Budget for Executive Management shows an increase of \$290,000 from the Fiscal 2019 Adopted Budget, for a total of \$10.3 million. This increase is due to an increase in civilian full-time salary as a result of various collective bargaining agreements. Of the \$10.3 million budget for Executive Management, approximately 99 percent of the funding supports the PS budget. Budgeted headcount remains unchanged at 125 positions, see Appendix C for detailed information on Executive Management program area budget.

Appendices

A: Budget Actions in the November and the Preliminary Plans

<i>Dollars in Thousands</i>	FY19			FY20		
	City	Non-City	Total	City	Non-City	Total
DOP Budget as of the Adopted 2019 Budget	\$98,274	\$21,435	\$119,709	\$96,061	\$21,009	\$117,070
Other Adjustments						
CMS Transfer	\$1,423	\$0	\$1,423	\$0	\$0	\$0
Crisis Management System	(19)	0	(19)	0	0	0
DC37 Collective Bargaining	271	0	271	464	0	464
DOP Animation Project Transfer	700	0	700	0	0	0
Fund NYCHA Services Employee Services	0	2,150	2,150	0	0	0
Fund Renewal DCJS Grant	0	198	198	0	198	198
Funds for Project PAC FY19	0	143	143	0	0	0
FY19 Budget for GTSC/IID	0	34	34	0	0	0
Lease Adjustment	91	0	91	0	0	0
Mayor's Fund CMM Program	0	70	70	0	0	0
OVAW DOJ Grant	0	50	50	0	0	0
PS Accruals	(4,015)	0	(4,015)	(1,551)	0	(1,551)
Vacancy Reductions	0	0	0	(551)	0	(551)
Various Collective Bargaining	295	0	295	507	0	507
YMI Mentor's Rising (Arches)	53	0	53	53	0	53
Youth Justice Program and Outreach Support	215	0	215	0	0	0
Subtotal, Other Adjustments	(\$986)	\$2,645	\$1,659	(\$1,078)	\$198	(\$880)
TOTAL, All Changes	(\$986)	\$2,645	\$1,659	(\$1,078)	\$198	(\$880)
DOP Budget as of the Preliminary 2020 Budget	\$97,288	\$24,081	\$121,369	\$94,983	\$21,207	\$116,189

B: DOP Contract Budget

DOP FY20 Preliminary Contract Budget				
<i>Dollars in Thousands</i>				
Category	FY19 Adopted	Number of Contracts	FY20 Preliminary	Number of Contracts
Office Equipment Maintenance	\$90	1	\$90	1
Cleaning Services	42,606	1	42,606	1
Contractual Services - General	23,421	5	21,670	5
Data Processing Equipment Maintenance	150	2	150	2
Hospitals Contracts	111	3	111	3
Maintenance and Repairs - General	72	1	72	1
Office Equipment Maintenance	90	1	90	1
Printing Services	20	1	20	1
Prof. Services - Other	322	4	102	4
Security Services	985	1	1,017	1
Telecommunications Maintenance	3	1	3	1
Temporary Services	16	1	16	1
Training Program for City Employees	25	2	25	2
TOTAL	\$67,911	24	\$65,972	24

C: Program Areas

Probation Services

Probation Services						
<i>Dollars in Thousands</i>						
	FY17	FY18	FY19	Preliminary Plan		*Difference
	Actual	Actual	Adopted	FY19	FY20	FY19-FY20
Spending						
Personal Services						
Full-Time Salaried - Civilian	\$52,201	\$54,543	\$74,443	\$68,013	\$71,006	(\$3,436)
Other Salaried and Unsalared	173	184	8	8	8	1
Additional Gross Pay	4,016	4,005	3,847	3,847	3,847	0
Overtime - Civilian	1,112	1,385	401	1,716	1,016	615
Amounts to be Scheduled	0	0	(1,470)	0	0	1,470
Subtotal	\$57,502	\$60,117	\$77,228	\$73,584	\$75,877	(\$1,351)
Other Than Personal Services						
Supplies and Materials	\$895	\$1,079	\$1,293	\$1,777	\$1,451	\$158
Fixed and Misc Charges	904	605	11	351	11	0
Property and Equipment	1,012	1,240	2,175	2,545	1,493	(683)
Other Services and Charges	8,682	10,081	4,716	6,574	4,581	(135)
Contractual Services	17,085	20,835	24,430	26,437	22,501	(1,930)
Subtotal	\$28,577	\$33,840	\$32,625	\$37,683	\$30,035	(\$2,590)
TOTAL	\$86,079	\$93,957	\$109,853	\$111,267	\$105,912	(\$3,940)
Funding						
City Funds			\$88,477	\$87,247	\$84,765	(\$3,712)
Federal - Other			36	229	0	(36)
Intra City			6,338	6,338	6,338	0
Other Categorical			0	2,220	0	0
State			15,001	15,234	14,809	(193)
TOTAL	\$86,079	\$93,957	\$109,853	\$111,267	\$105,912	(\$3,940)
Budgeted Headcount						
Full-Time Positions	869	934	1,102	1,103	1,094	(8)
TOTAL	869	934	1,102	1,103	1,094	(8)

*The difference of Fiscal 2019 Adopted Budget compared to Fiscal 2020 Preliminary Budget.

Executive Management

Executive Management						
<i>Dollars in Thousands</i>						
	FY17	FY18	FY19	Preliminary Plan		*Difference
	Actual	Actual	Adopted	FY19	FY20	FY19-FY20
Spending						
Personal Services						
Full-Time Salaried - Uniformed	(\$2)	\$0	\$0	\$0	\$0	\$0
Full-Time Salaried - Civilian	7,966	8,639	9,511	9,626	9,801	290
Other Salaried and Unsalariated	33	102	4	4	4	0
Additional Gross Pay	215	221	198	198	198	0
Overtime - Civilian	127	163	18	148	148	130
P.S. Other	6	1	0	0	0	0
Subtotal	\$8,347	\$9,126	\$9,731	\$9,976	\$10,151	\$420
Other Than Personal Services						
Supplies and Materials	\$15	\$17	\$42	\$42	\$42	\$0
Fixed and Misc Charges	0	0	2	2	2	0
Property and Equipment	3	3	21	21	21	0
Other Services and Charges	56	46	32	32	32	0
Contractual Services	0	0	28	28	28	0
Subtotal	\$74	\$65	\$126	\$126	\$126	\$0
TOTAL	\$8,421	\$9,191	\$9,857	\$10,101	\$10,277	\$420
Funding						
City Funds			\$9,797	\$10,042	\$10,217	\$420
State			60	60	60	0
TOTAL	\$8,421	\$9,191	\$9,857	\$10,101	\$10,277	\$420
Budgeted Headcount						
Full-Time Positions	98	99	125	125	125	0
TOTAL	98	99	125	125	125	0

**The difference of Fiscal 2019 Adopted Budget compared to Fiscal 2020 Preliminary Budget.*

D: Fiscal 2019 Preliminary Mayor’s Management Report

DOP Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
Adult investigation reports completed - total	15,421	14,987	13,263	*	*	4,454	3,601
Adult investigation reports - on time completion (%)	NA	88%	94%	*	*	97%	98%
Juvenile investigation reports completed	2,019	1,927	1,779	*	*	604	515
Juvenile investigation reports - on time completion (%)	81%	87%	87%	*	*	85%	88%

Source: Fiscal 2019 Preliminary Mayor's Management Report

DOP Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
Juvenile supervision - Intake cases received	4,640	3,856	3,699	*	*	1,239	911
Juvenile delinquency cases eligible for adjustment (%)	28%	25%	30%	30%	30%	29%	38%
- low-risk (%)	40%	36%	41%	*	*	37%	48%
- medium-risk (%)	14%	14%	12%	*	*	16%	12%
- high-risk (%)	7%	11%	11%	*	*	5%	10%
Adult supervision cases - end of period	21,153	20,404	19,220	*	*	20,244	18,558
Juvenile supervision cases - end of period	1,347	1,023	973	*	*	991	903
Adult initial risk assessments completed	7,648	21,313	17,246	*	*	7,032	5,270
Juvenile initial risk assessments completed	1,117	1,413	1,375	*	*	814	519
Adult probationer rearrest rate (monthly average) (%)	3.4%	3.1%	2.7%	3%	3%	3.0%	2.5%
Adult probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	3.3%	3.3%	3.1%	2.6%	2.6%	3.3%	3.0%
Juvenile probationer rearrest rate (monthly average) (%)	4.8%	4.4%	4.2%	3.5%	3.5%	4.1%	2.9%
Juvenile probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	0.3%	0.3%	0.3%	*	*	0.3%	0.2%
Average monthly violation rate for adult probationers (%)	0.9%	1.0%	1.0%	*	*	1.0%	1.0%
Average monthly violation rate for juvenile probationers (%)	3.0%	3.5%	3.3%	3%	3.00%	3.4%	3.2%
Probation violation proceedings ending in revocation for adult probationers (%)	54%	51%	49%	*	*	50%	47%
Probation violation proceedings ending in revocation for juvenile probationers (%)	NA	41%	30%	*	*	31%	25%
Revocation of juveniles not resulting in placement (%)	36%	29%	47%	*	*	52%	52%
Revocation of juveniles resulting in placement (%)	64%	71%	53%	*	*	48%	48%

Source: Fiscal 2019 Preliminary Mayor's Management Report

DOP Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
New enrollments in alternative-to-placement (ATP) programs	134	100	82	*	*	34	22
New enrollments in DOP-managed programs	1,432	1,476	1,452	*	*	539	553
Adult probationer early completion rate (%)	10%	12%	10%	*	*	10%	9%
Adult probationer early completion approval rate (%)	75%	75%	75%	*	*	67%	77%
Successful completion rate for adult probationers (%)	NA	NA	76%	UP	UP	78%	77%
Successful completion rate for juvenile probationers (%)	NA	NA	84%	UP	UP	87%	91%

Source: Fiscal 2019 Preliminary Mayor's Management Report