

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 2021 Preliminary Plan and the
Fiscal 2020 Preliminary Mayor's Management Report for the

Department of Probation

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Department of Probation Overview

The Department of Probation (DOP) helps build stronger and safer communities by working with and supervising people on probation, fostering positive change in their decision-making and behavior through research-based practices and expanding opportunities for them to move out of the criminal and juvenile justice systems through meaningful education, employment, health and behavioral health services, family engagement and civic participation. The Department supplies information and recommendations to the courts 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. In total, DOP provides intake and services for probationers who are transferred to New York from out of state, investigations and supervision for over 50,000 cases per year and directly supervises more than 24,000 adults and 2,000 juveniles.

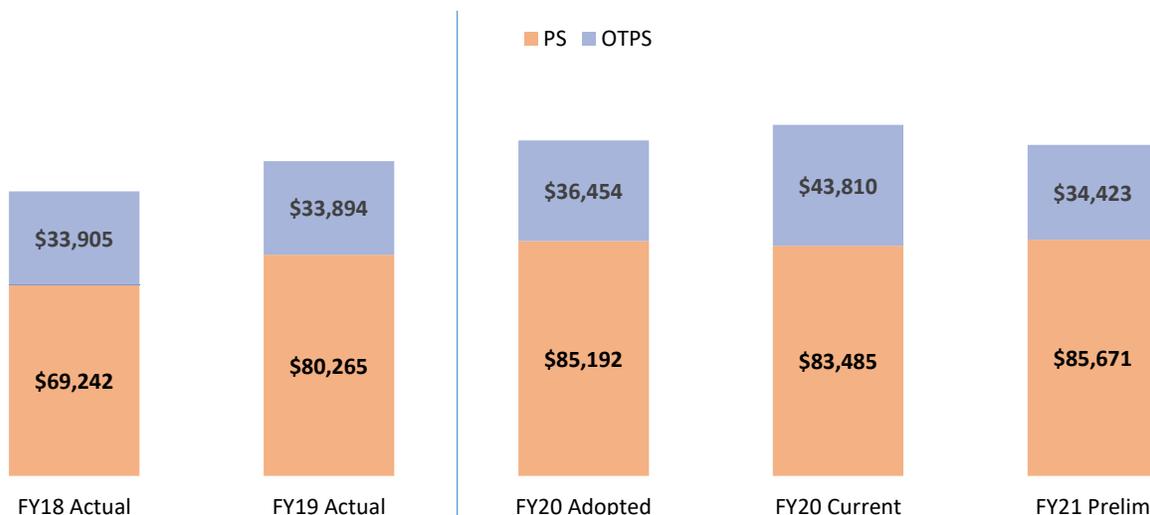
Although the Office of Management and Budget (OMB) does not produce a Budget Function Analysis for the Department, DOP’s budget structure is programmatic. DOP’s budget, which totals \$120.1 million for Fiscal 2021, is broken down into two different program areas, Probation Services and Executive Management each of which includes a personal services (PS) and other than personal services (OTPS) unit of appropriation (U/A) pair.

This report provides a review of DOP’s \$120.1 million Fiscal 2021 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 2020 (PMMR). Finally, Appendix A lists the budget actions in the November 2019 and Preliminary Financial Plans.

Fiscal 2021 Preliminary Budget

The Department of Probation’s Fiscal 2021 Preliminary Budget totals \$120.1 million, including \$85.7 million in the PS budget and \$34.4 million in the OTPS budget. The PS budget accounts for 71 percent of the Department’s total budget, and the OTPS budget accounts for the remaining 29 percent. The Fiscal 2021 Preliminary Budget shows an overall decrease of around \$1.5 million when compared to the Fiscal 2020 Adopted Budget of \$121.6 million. This is due to a PS budget increase of \$480,000,

DOP Budget by PS and OTPS, FY18- FY21



offset by a decrease in the OTPS budget of \$2 million. Additionally, the Fiscal 2020 Budget has increased modestly by \$5.6 million, just under five percent, when compared to the Fiscal 2020 Adopted Budget.

The Fiscal 2021 Preliminary Financial Plan introduces no new needs and makes moderate changes to the Department's Fiscal 2021 Preliminary Budget.

Fiscal 2021 Preliminary Budget Highlights

Savings since Adoption. The Fiscal 2021 Preliminary Plan introduces some modest savings initiatives to reduce the Fiscal 2021 Budget by \$1.9 million. This reduction is driven by \$831,000 in PS savings that relate to the timing of Probation Academy classes. By rescheduling two classes DOP will generate a savings of \$1.4 million in Fiscal 2020 and \$632,076 in Fiscal 2021 without reducing the Department's budgeted headcount. This Plan also reflects further savings of \$632,000 in PS accruals. OTPS savings total \$619,000, including \$444,000 in fleet and laptop efficiencies.

DOP Financial Summary <i>Dollars in Thousands</i>						
	FY18 Actual	FY19 Actual	FY20 Adopted	Preliminary Plan		*Difference
				FY20	FY21	FY20-FY21
Spending						
Personal Services	\$69,242	\$80,265	\$85,192	\$83,485	\$85,671	\$480
Other Than Personal Services	33,905	33,894	36,454	43,810	34,423	(2,031)
TOTAL	\$103,148	\$114,159	\$121,646	\$127,295	\$120,094	(\$1,552)
Budget by Program Area						
Probation Services	\$93,957	\$104,679	\$111,161	\$116,865	\$109,602	(\$1,559)
Executive Management	9,191	9,480	10,485	10,430	10,492	7
TOTAL	\$103,148	\$114,159	\$121,646	\$127,295	\$120,094	(\$1,552)
Funding						
City Funds			\$100,439	\$97,212	\$99,151	(\$1,288)
State			0	2,300	0	0
Federal - Other			14,869	14,869	14,605	(264)
Other Categorical			0	109	0	0
Intra City			6,338	12,805	6,338	0
TOTAL	\$103,148	\$114,159	\$121,646	\$127,295	\$120,094	(\$1,552)
Budgeted Headcount						
Probation Services	934	1,055	1,087	1,111	1,081	(6)
Executive Management	99	104	127	133	133	6
TOTAL	1,033	1,054	1,214	1,244	1,214	0

**The difference of Fiscal 2020 Adopted Budget compared to Fiscal 2021 Preliminary Budget.*

Financial Plan Summary

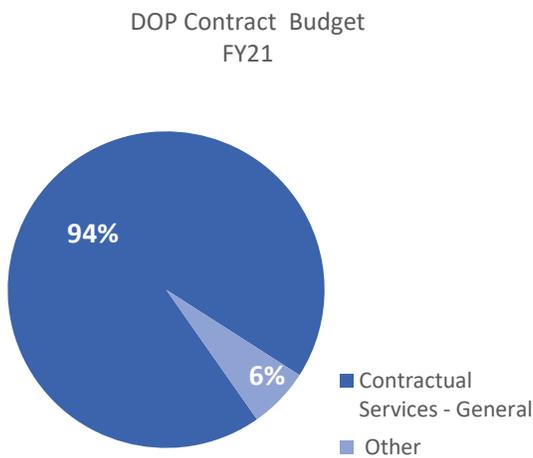
The DOP's budget is broken into two sections, Probation Services and Executive Management. These program areas are funded with a combination of City tax-levy funds and other resources, and are budgeted in two unit of appropriation (U/A) pairs. The following table provides an overview of DOP's actual expenditures for Fiscal 2018 and Fiscal 2019, the Adopted Budget for Fiscal 2020, and planned expenditures for Fiscal 2020 and Fiscal 2021 as proposed in the Fiscal 2021 Preliminary Plan.

DOP's Fiscal 2021 Preliminary Budget of \$120.1 million decreases by \$1.5 million when compared to the Fiscal 2020 Adopted Budget of \$121.6 million. Since adoption of the Fiscal 2020 Budget, the Financial Plans have introduced minimal changes to DOP's budget. Neither Plan introduced new needs. DOP's budget includes a net increase of \$5.7 million in Fiscal 2020 and a net reduction of \$1.9 million in Fiscal 2021. Of the total budget, 91 percent supports the Probation Services program area

and the remainder supports Executive Management. Eighty nine percent, 1,081 positions, of DOP’s workforce fall under Probation Services and the remainder, 133 positions, is in Executive Management. Approximately \$94 million of the Department’s budget, or 83 percent, is supported by City funds.

When the Fiscal 2020 Budget was adopted, it projected a Fiscal 2021 Budget of \$122 million. The November and Preliminary Financial Plans decreased that projection by \$1.9 million to \$120 million. The Fiscal 2020 Budget as of the Preliminary Plan is \$127.3 million, an increase of \$5.6 million from the Budget at Adoption. This increase was driven mostly by funding that supports specific programming within the Probation Services program area, including the State’s \$2.5 million for STSJP, \$2.3 million for a job readiness program for justice-involved young people through NYCHA, and \$700,000 for the Animation Project through the Mayor’s Office of Media and Entertainment.

Contract Budget



The Department’s Fiscal 2021 Contract Budget totals \$27 million for 24 contracts, accounting for 22 percent of the Department’s total budget. Of this amount, \$25 million, or 94 percent, general contractual services comprise the vast majority of the Department’s total contract budget. Funding supports various programs such as Justice Community, AIM (Advocate, Intervene, Mentor), Next Steps, and ECHOES (Every Child Has an Opportunity to Excel) are included the Department’s contract budget and classified as general contractual services. The Fiscal 2021 Contract Budget increases marginally by \$207,000 when compared to the Fiscal 2020 Adopted Budget. See Appendix B for a full breakdown of DOP’s contract categories and budget.

City Council Initiatives

The Fiscal 2020 Adopted Budget includes \$331,000 to support two Council Initiatives that are contracted through the Department. This includes \$200,000 for Innovative Criminal Justice Programs and \$131,000 for Crisis Management System. Below is a descriptions of these initiatives.

Crisis Management System

The Crisis Management System, launched by the City Council in Fiscal 2013, delivers a multi-agency approach to reduce gun violence in New York City. Crisis Management System programs offer legal services, hospital response programs, youth employment opportunities, school-based conflict mediation, mental health services, and other social support services.

In Fiscal 2020, the Administration and the Council committed a total of \$40.5 million to continue providing a comprehensive community-based approach to addressing gun violence in 23 catchment areas. The Administration provides \$37.6 million and the City Council provides \$2.9 million of the total. DOP receives \$130,600 from the Council for Crisis Management and the provision of services.

NeON Arts Program

NeON is an embedded community engagement network that brings probationers, their communities, and organizations together to provide services. NeON Arts is a program within NeON that offers young people opportunities to explore the arts, establish relationships, and develop myriad skills through creative projects and community workshops. In Fiscal 2020, the Council provided \$200,000 to Carnegie Hall to support its work as the programs fiscal agent and project manager.

Criminal Justice and Bail Reform

Department of Probation and Criminal Justice Reform

In response to sweeping changes to the justice system in New York, the City made substantial budget increases for criminal justice agencies. In spite of DOP’s nexus between the criminal justice system, community development, and service provision, the Department was not included in this package of investments. DOP plays a role in nearly every stage of the system for both adults and juveniles across the City and are mandated by the State to perform a number of functions that support an efficient and expeditious justice system, including supervision, support, investigation, and service provision. Below is an overview of the new criminal justice investments by City agency.

The November 2019 Plan added baseline funding of \$75.2 million in Fiscal 2020 and approximately \$70 million in the outyears to support a total of 1,023 new positions related to discovery and bail reform. The State’s 2019-2020 Adopted budget passed this legislation without State funding, as such, the City made investments to support the execution of the State criminal justice reforms. Discovery reform accelerates the discovery timeline, requiring the prosecution to disclose all relevant evidence, automatically, within 15 days of arraignment for every case. Bail reform eliminates money bail and pretrial detention in almost all misdemeanor and nonviolent felony cases. Each took effect in January 2020. The table below shows the various City Agencies impacted, the City investments made in Fiscal 2020 and in the outyears, as well as budgeted headcount.

2020 State Criminal Justice Reform Investments Across Agencies				
<i>Agency</i>	<i>FY20</i>	<i>HC</i>	<i>FY21</i>	<i>HC</i>
District Attorneys	\$35,856,000	729	\$35,387,000	729
NYPD	24,731,030	250	20,696,460	250
Law Department	328,438	8	487,488	8
FDNY	537,945	9	856,780	10
DOHMH	3,519,693	27	2,897,224	27
MOCJ Contracts*	786,000**	0	786,000**	0
Public Defenders*	9,518,000	0	9,375,000	0
TOTAL	\$75,277,106	1,023	\$70,485,952	1,024

*Contracted headcount is not reflected in the Financial Plan

** Supports MOCJ’s contract with Criminal Justice Agency (CJA)

Program Areas

DOP’s budget is broken down into two U/A pairs, referred to here as program areas: Probation Services and Executive Management. The following sections discuss the Probation Services and Executive Management program budgets and incorporate related PMMR performance measures and programmatic highlights that the budget supports.

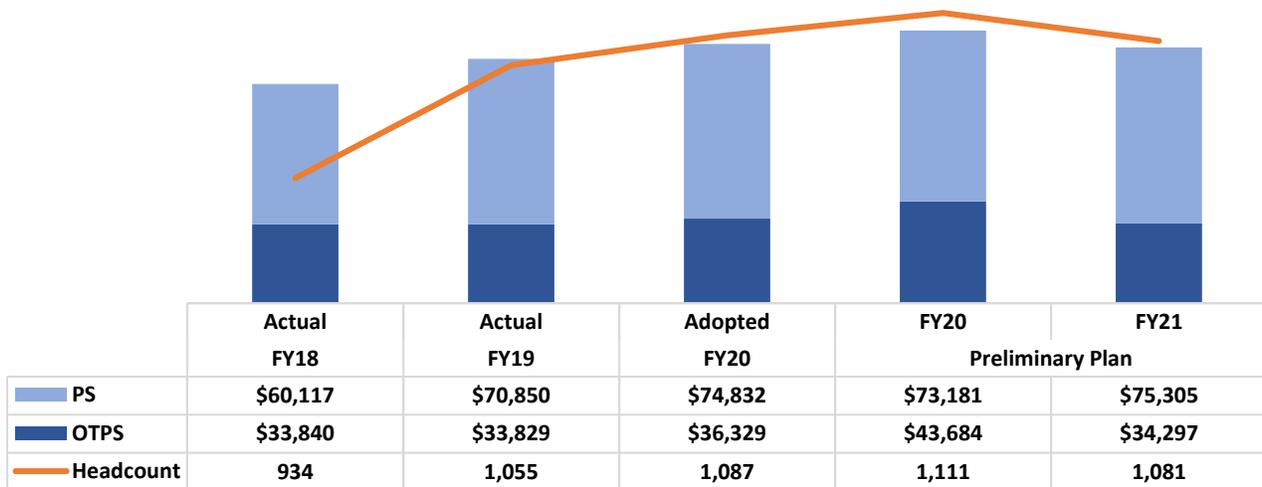
The Department has two principal services outlined in the PMMR.

1. DOP strives to contribute to optimal court processing and decision-making in delinquency and criminal justice matters. Goals for this service are:
 - a. Produce timely and accurate PSIs; and
 - b. Identify youth appropriate for diversion from formal juvenile court proceedings via adjustment services.
2. DOP works to improve community safety through a combination of accountability and support activities with those under probation supervision. Goals for this service are:
 - a. Assess risk to match individuals with supervision and monitoring levels; use re-arrest and violation trends to make adjustments to supervision level components;
 - b. Increase the probability of successful completion of probation terms through maximizing the use of evidence-based practices and community-based interventions; and
 - c. Maximize accountability with probation compliance through field visits and enforcement actions.

Probation Services

The following section will provide an overview of Probation Service’s budget and core functions. Probation Services supports pre-sentencing investigations (PSI) and the supervision of adults and juveniles sentenced to, or under, probation in the City of New York. Generally, DOP administers PSIs for most adult and juvenile offenders before sentencing and supervises those sentenced to probation in adult and family courts. Probation Services also operates several supervision programs for adult probation clients, and Alternative to Placement (ATP) programs for juvenile probation clients.

Probation Services Budget Summary



Dollars in Thousands

The Department’s Fiscal 2021 Probation Services budget is \$110 million and supports a headcount of 1,081 positions. This includes 691 Probation Officers (PO) and 185 Supervising Probation Officers (SPO) The Fiscal 2021 Budget shows a decrease of approximately \$1.5 million from the Fiscal 2020 Adopted Budget and a reduction of six positions. The PS budget grew by \$472,000, and the OTPS

budget fell by \$2.03 million. The reduction in OTPS spending is driven by assorted savings, as well as decreased spending on contractual services.

At Adoption, the Fiscal 2021 Budget for Probation Services was projected to be \$111.4 million. This Plan reduces that projection slightly. The Fiscal 2020 Budget totals \$116.9 million as of the Fiscal 2021 Preliminary Plan, a net total increase of \$5.7 million or approximately 5.1 percent, when compared to the Fiscal 2020 Adopted Budget.

Financial Plan Actions

Other Adjustments

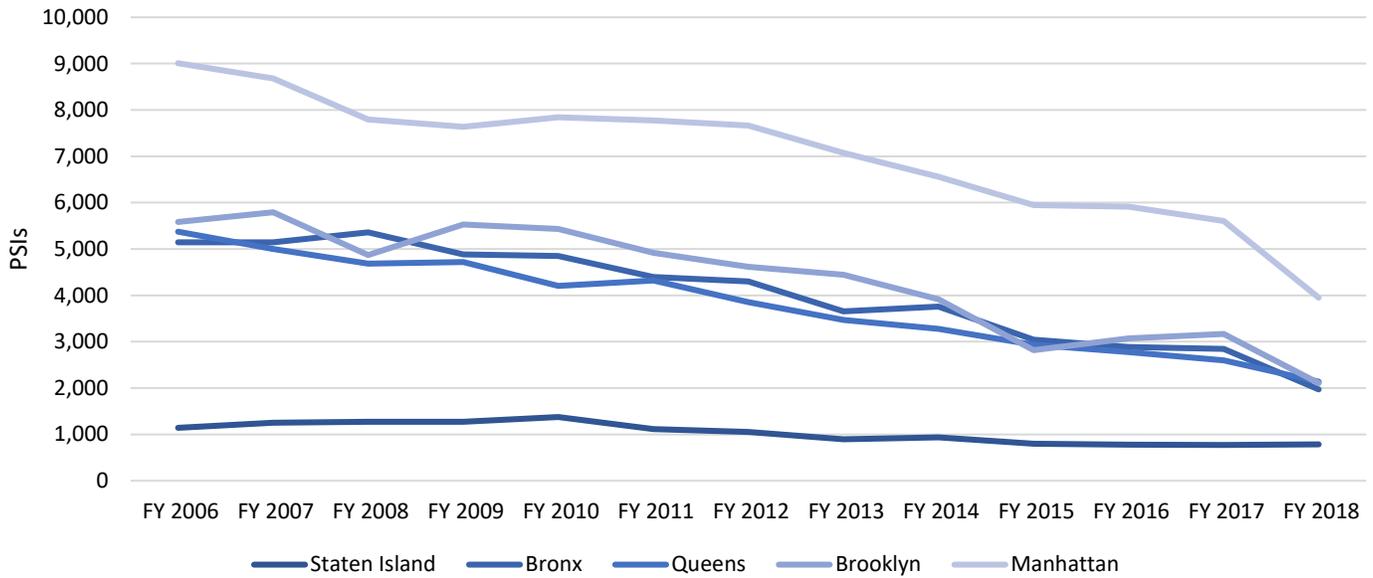
- **State's Supervision and Treatment Services for Juveniles Program (STSJP) Transfer.** The November 2019 Plan added \$4 million in State revenue to the Department's budget. The Financial Plan recognizes State funding for 30 positions at the Department, 27 POs and 3 SPOs, which are reflected in the Fiscal 2020 Budget. These funds are tied to the State's Supervision and Treatment Services for Juveniles Program (STSJP) administered by the Office of Children and Family Services (OCFS). The program's goal is to provide resources for diverting youth from detention or placement in residential care facilities. In order to utilize STSJP funds, the City submits a plan to OCFS for approval. After approval, the City receives 62 percent reimbursement of expenditures for services. This reimbursement is capped by OCFS. This adjustment captures the reimbursement expected in Fiscal 2020.
- **Crisis Management System Transfer.** The November 2019 Plan included a technical adjustment of \$1.4 million that transferred funding from the Mayor's Office of Criminal Justice (MOCJ) to DOP for Works Plus programming. Works Plus provides flexible work readiness wrap around services to people referred through the Crisis Management System from providers contracted through MOCJ. This funding supports Works Plus in 11 locations.
- **New York City Housing Authority (NYCHA) Employment Services.** The November 2019 Plan reflected one-time funding \$2.3 million in Fiscal 2020 from NYCHA to support a work readiness program contracted through DOP. The program provides job readiness services, as well as transitional subsidized work experiences and job placement assistance, serving young adults, aged 18-24 years who have been deemed in need of job readiness services. This funding is treated as an expense grant and will be funded on an annual basis.

Presentencing Investigations (PSI)

The Department is mandated by State law to submit PSIs to the Court for certain defendants before their sentencing. Any defendant who has been convicted of a felony or certain misdemeanors must undergo a PSI administered by DOP probation officers. If these convictions could result in probation, incarceration for more than 180 days, or consecutive sentences that aggregate to more than 90 days DOP is required to submit a PSI.

PSIs play an important role in informing the Court and provide context, information, and resources for appropriate sentencing decisions. Probation officers conducting PSIs interview defendants, victims, and any other relevant parties to capture the extent of psychological, financial, and physical outcomes of a crime. The investigator also takes defendants’ personal history, background, and criminal record and develops a holistic profile of the defendant. Investigators then provide judges with an investigative report, as well as a sentence recommendation.

PSIs Conducted by DOP Since 2006



Since 2006, DOP has conducted 262,000 PSIs, one third of which were in Manhattan alone. According to the Department, the number of investigations conducted by DOP has dropped dramatically in the past 14 years. The Department logged 26,256 investigations in Fiscal 2006 but fewer than 11,000 in Fiscal 2019, roughly a 139 percent decrease. PSIs are tied directly to convictions and the decline in investigations reflects the long run crime trends across the City. What’s more, the fall of PSIs show how the trends in crime have concomitant effects on the functions of the City’s criminal justice agencies. As much as the rate of PSIs has decreased, DOP’s investigative mandate ensures that DOP will continue to have direct contact with nearly everyone who is convicted of a felony in the City of New York.

Neighborhood Opportunity Network (NeON)

NeONs are not a stand alone program, but represent the overarching vehicle through which DOP delivers a wide range of services intended to reduce criminality such as High School Equivalency (HSE) classes, employment preparation, mentoring, healthcare, literacy programs, and arts and sport programming. NeONs are intended to be holistic, as illustrated in the image to the right. Begun in 2011, NeON has made DOP programs available at the community level. NeON programs consist of arts, sports, Nutrition Kitchen, Made in NY Animation Project, and Clothing Closets. These services and programs are available for people under supervision, but many of NeON’s resources are also available to general community members as well.



There are seven NeON sites across all

five boroughs. NeONs are embedded in communities and are an integral component of DOP’s mission. The NeON Arts program offers young people a 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 DOP’s Deputy Commissioner.

The NeON Sports program offers free activities to young New Yorkers and young New Yorkers on probation through a network of individuals and organizations in the seven NeON neighborhoods.

Nutrition Kitchens are neighborhood food pantries that support people transitioning from the justice system with food and household items. Nutrition kitchens are not only for people on probation and anyone in the general community may utilize them.

The Animation Project is a collaboration between DOP and the Mayor’s Office of Media and Entertainment (MOME) to provide opportunities for storytelling, technical skills, and internships for young people. The Fiscal 2021 Preliminary Plan included \$700,000 for this program in Fiscal 2020. To date, this program has served 1,972 young people across the City.

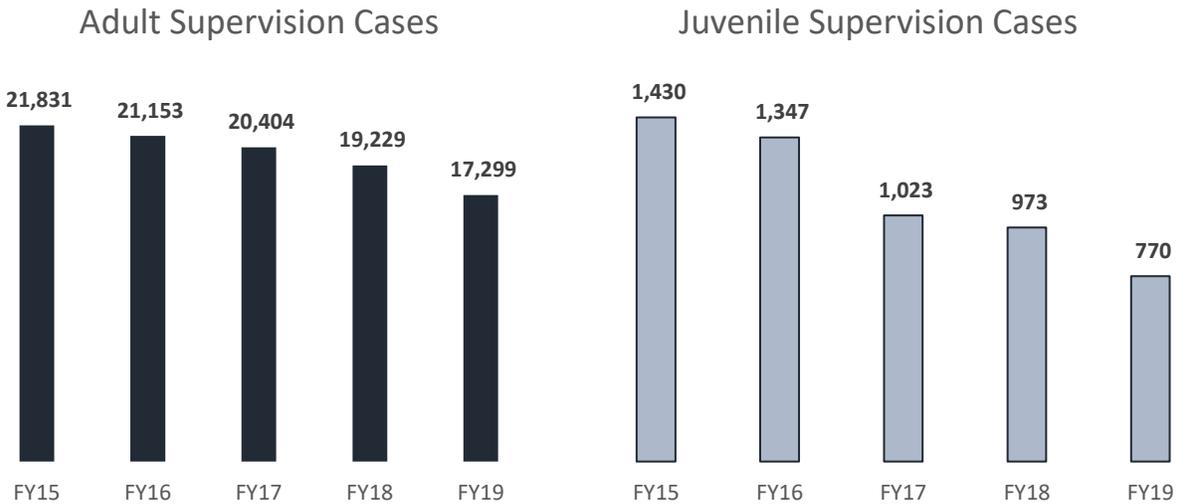
NeON Clothing Closet gives those on probation access to clothes to support their efforts to succeed in school or pursue employment. As with other NeON services, this service is available to probationers and to the general community and closets are located across the City.

More information about NeONs can be found here: <https://www1.nyc.gov/site/neon/index.page>

Participants in The Animation Project	
Bronx	397
Brooklyn	522
Manhattan	464
Queens	350
Staten Island	239

Supervision

Probation Services’ second principal function is to provide intake services and supervision to more than 25,000 adults and juveniles across the City. The number of supervision cases has been trending downward since Fiscal 2015. The Department went from 21,831 adult cases and 1,430 juvenile cases in that year to just 17,299 and 770 in Fiscal 2019 respectively. This amounts to a 21 percent decrease for adults and a 46 percent decrease for juveniles.



Adult Supervision

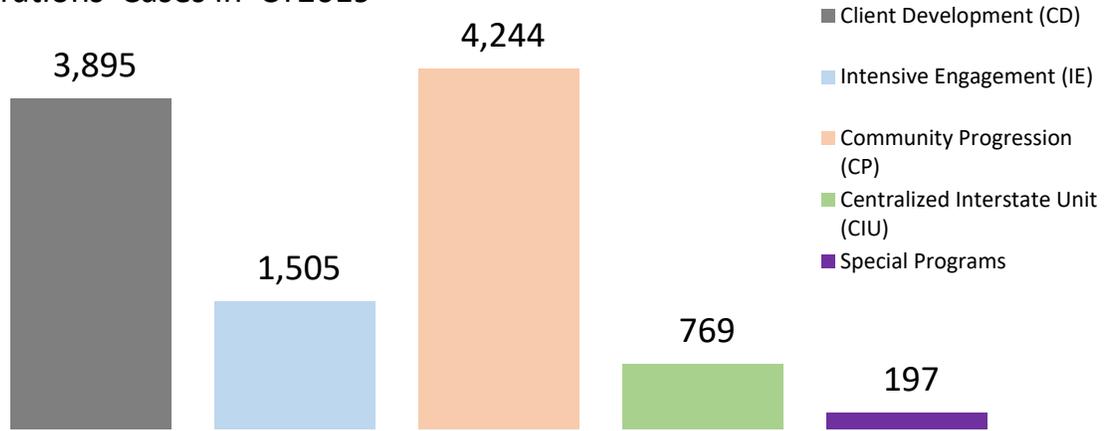
Adult supervision is a major component of Probation Services. Probation for adults is a sentence or disposition imposed by the Court on anyone older than 16. Adults sentenced to probation receive terms that can range from one to six years for misdemeanors and five to ten years for felonies. Felony probation includes a period of incarceration in a City jail. Probationers convicted of sex offenses and certain drug offenses may receive longer probation sentences. Probation allows individuals to avoid extensive periods of incarceration while bearing the responsibility for their crimes. Adults under DOP supervision are required to work or attend school and complete any court mandated community service. DOP has broad authority to visit adult probationers’ homes, workplaces, collect DNA samples, and mandate reporting appointments. Adult supervision also entails connecting clients with services and opportunities to limit further exposure to the criminal justice system, as well as treatment programs for substance use issues.

The average caseload for POs and SPOs working with adults under supervision differs depending on the type of supervision. Under general supervision, caseloads range from 40 to 60. Under specialized supervision caseloads range from 20 to 40. Supervision categories differ based on circumstances and the severity of charges involved. Requirements for clients also vary across the categories and clients may have more stringent reporting and supervision requirements depending on their placement.



Adult probation clients primarily fall into five different supervision categories. As of December 31, 2019 Adult Operations at DOP processed 29,599 adult cases across all categories, including 11,950 warrants cases, investigations, and intakes. The five different supervision categories are shown above and participation is illustrated below. Descriptions of these categories can be found in Appendix E.

Adult Operations' Cases in CY2019

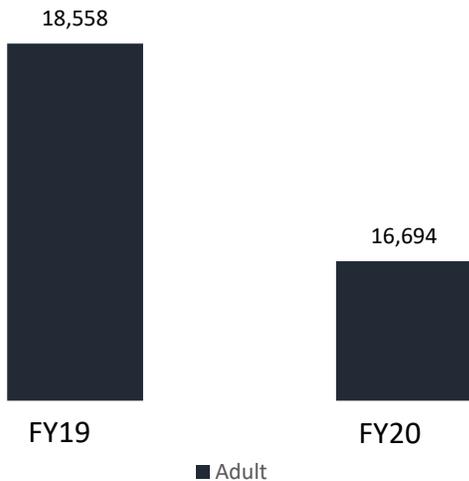


Source: DOP

PMMR – Adults

The number of supervision cases is responsive to exogenous factors and can be attributed to the year-to-year decline in NYPD arrests. During the first four months of Fiscal 2020, there were a total of 16,694 adult supervision cases, a decrease of nearly ten percent when compared to the same period of Fiscal 2019.

Adult Supervision Cases
Four Month Actuals in FY19 & FY20



Individual Action Plans (IAP) 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. The Department has successfully created an IAP for every eligible client since Fiscal 2017. Adult probationers have a high rate of success that has increased marginally over the past two fiscal years. In Fiscal 2018, 76 percent of adult probationers successfully completed programming, rising to 78 percent in Fiscal 2019

and reaching 79 percent in the first 4 months of Fiscal 2020.

Revenues from Administrative Fines

The Department’s Budget includes modest revenue from fees and fines. New York City law allows DOP to collect a monthly administrative fee of \$30 from anyone on probation and convicted of Driving while Intoxicated and Driving under the Influence (DUI/DWI) offenses. City law enumerates the fee and establishes that the fee may not be a condition of probation, and allows DOP to seek enforcement of payment. DOP collected \$393,671 and \$438,038 from these fees in Fiscal 2018 and Fiscal 2019 respectively. The Fiscal 2021 Plan includes \$450,000 for this revenue stream.

Juvenile Supervision

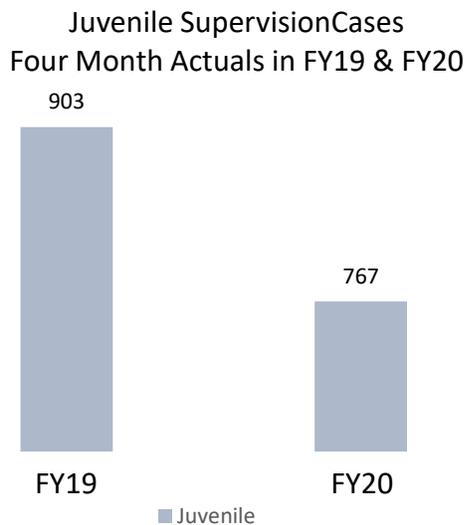
The DOP, in partnership with ACS and community-based organizations, operates a variety of programs for justice-involved youth. Probation officers help young people avoid further crimes by providing support, practical advice, and life coaching. Probation officers also connect clients to community-based services that can address their needs and capitalize on personal development. DOP staff working with juveniles have lower caseloads than their counterparts working with adults. Under general supervision the caseloads range from 20-30. For POs and SPOs working on specialized supervision, average caseloads do not exceed 20.

Juvenile probation clients fall into four different supervision categories. However, the majority of juvenile probationers are under general supervision. These categories also vary in levels of severity



and supervision based on the circumstances of the case. Descriptions of these categories can be found in Appendix E.

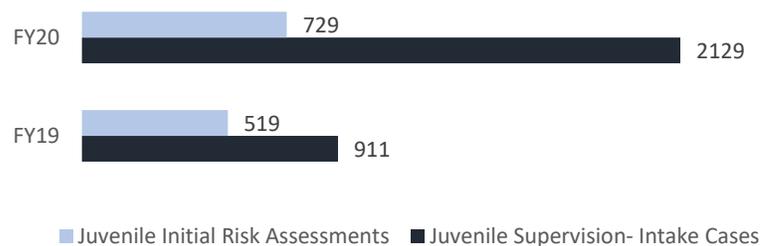
PMMR – Juveniles As a result of Raise the Age (RTA) legislation, DOP’s role in the juvenile justice system has evolved. Anyone who is between the ages of seven and 15, arrested, and passed through Family Court jurisdiction are processed by DOP. Due to RTA, since October 2018, 16 year olds charged with lower-level crimes have been processed through Family Court rather than criminal court as well. Additionally, as of October 2019, 17 year olds were also moved to Family Court. Most 16 and 17 year olds who would have previously passed through the adult criminal court system now go through Family Court.



DOP interviews all youth charged in Family Court to consider whether the case can be resolved in a process called adjustment. Adjusted cases are permanently sealed and youth must adhere to conditions outlined by the Department. Adjustment has significantly increased the number of youth who are processed by

DOP. As seen in the chart to the right, the Department processed 2,129 juvenile intakes in the first four months of Fiscal 2020, a 133 percent increase from the first four months of Fiscal 2019. 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. While intake has increased substantially, juveniles’ intake adjustment eligibility decreased four percentage points to 34 percent. According to the PMMR, the severity of charges and additional risk characteristics of 16 and 17 year olds now coming through Family Court and DOP’s intake system have lowered eligibility. These developments have added more youth to DOP’s juvenile intake, investigations, and supervision caseloads in each borough during Fiscal 2020.

Juvenile Intake and Initial Risk Assessments Four Month Actuals in FY19 & FY20



There were 22 new enrollments of juveniles in ATP programs in the first four months of Fiscal 2020 which is unchanged from the same period in Fiscal 2019. In Fiscal 2019, DOP enrolled 1,279 people into the programs it manages. There were 380 new enrollments in DOP-managed programs in the first period of Fiscal 2020, a 31 percent decrease from the same period last fiscal year. According to the PMMR, the significant drop in enrollment was driven by DOP’s overall supervision population trends and individual needs as determined by risk assessments and IAPs. As mentioned earlier, the number of people who may come into DOP programs is responsive to exogenous trends in the City’s criminal justice landscape. This is particularly true with juveniles and the recent reforms in New York.

Probationer Rearrests

The Department reports the monthly average rate of adult and juvenile probationers who are rearrested, and shows adult and juvenile rearrests as a percentage of NYPD's total arrests in the same period. Adult probationers' rearrest rate was 3.1 percent in Fiscal 2017 and has decreased slightly since then to 2.4 percent in the first four months of Fiscal 2020. Juvenile rearrest rates increased from 3.2 percent in Fiscal 2019 to four percent in early Fiscal 2020. Adult probationers who are rearrested make up about three percent of the NYPD's monthly arrest report and juvenile probationers make up less than one half of one percent the arrest record. The rearrest rates for both adults and juveniles have remained under five percent since Fiscal 2017 and underscore the success of DOP programming in reducing recidivism and limiting exposure to the criminal justice system.

DOP Programming

This section presents an overview of the Department's five major programs. The PMMR notes that two programs, Justice Community and Justice Scholars, have been eliminated and are excluded.

- **Advocate Intervene Mentor (AIM).** AIM is designed to reduce placement away from home for youth with high levels of risk and a high likelihood of recidivism. Thirteen to 18 year olds are AIM's target population and participation in the program is an alternative to placement in a detention facility. Although providers may have different programmatic features, they all adhere to AIM's core components developed by the Department. AIM enables participants to address age-specific needs and issues. The program calls for a team of the clients' family, assigned mentor, and PO to develop and align with an individualized plan for success. AIM then incorporates regular check-ins and engagement, the individualized plans, and wraparound services for youth and their families to achieve mutually understood goals.
- **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 or criminal activity. Arches utilizes credible messengers with similar life experiences from clients' own neighborhoods as mentors. Arches programming focuses heavily on partnering with neighborhood organizations.
- **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. ECHOES seeks to build a transformational relationship with an adult, develop social and emotional competencies, and give participants the skills they will need to succeed as a future employee.
- **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.¹
- **PEAK.** PEAK is an education-focused ATP 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.

¹ <https://www1.nyc.gov/site/probation/services/justice-plus.page>

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.

Mayor’s Action Plan for Neighborhood Safety. The Mayor’s Action Plan for Neighborhood Safety (MAP) is an initiative led by MOCJ. The initiative is a sprawling multiagency approach to neighborhood public safety, crime reduction, and community development operational in 15 housing developments.

PARTICIPATING NYCHA DEVELOPMENTS

- **THE BRONX**
Butler
Castle Hill I and II
Patterson
- **MANHATTAN**
Polo Grounds
St. Nicholas
Wagner
- **BROOKLYN**
Boulevard
Brownsville
Bushwick
Ingersoll
Red Hook E and W
Tompkins
Van Dyke I and II
- **QUEENS**
Queensbridge I and II
- **STATEN ISLAND**
Stapleton



Source: FY2020 PMMR

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 Next STEPS began in Fiscal 2016, the program has served over 900 new participants and has had over 500 graduates.

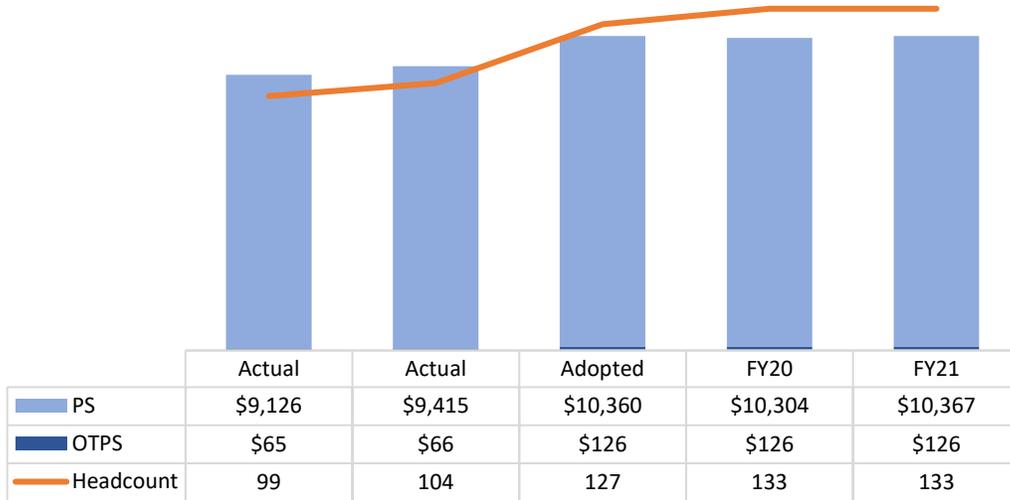
Next STEPS offers one-on-one and group mentoring within a cognitive behavioral therapy-based curriculum designed to help young adults make behavioral changes necessary to avoid criminal activity. Over nine months, young people between 16 and 24 who are probation clients work to reengage with their communities. In Fiscal 2019, 235 people participated in Next Steps and 184 successfully completed the program. In the first four months of Fiscal 2020 the program had 114 enrollees and 52 successful completions.

Career Pathways. The City’s Career Pathways initiative 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, 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.

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.

Executive Management Budget Summary



Dollars in Thousands

The Department’s Fiscal 2021 Preliminary Budget for Executive Management shows an increase of \$7,000 from the Fiscal 2020 Adopted Budget, for a total of \$10.5 million. At Adoption, the Fiscal 2021 Executive Management was projected to be \$10.55 million, which this Plan reduces slightly. Of the \$10.5 million budget for Executive Management, approximately 99 percent of the funding supports the PS budget. Budgeted headcount increased from 127 to 133 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>	FY20			FY21		
	City	Non-City	Total	City	Non-City	Total
DOP Budget as of the Adopted FY20 Budget	\$100,439	\$21,207	\$121,646	\$101,042	\$20,943	\$121,985
Other Adjustments						
CMS Transfer to DOP	\$1,423	\$0	\$1,423	\$0	\$0	\$0
CSBA Collective Bargaining	62	0	62	68	0	68
Fleet Savings	(94)	0	(94)	(94)	0	(94)
Fund NYCHA Services Empl Scvs	0	2,300	2,300		0	0
Indirect Rate Cost	340	0	340	340	0	340
Laptop Replacement Savings	(25)	0	(25)	(350)	0	(350)
Non-LL56 Collective Bargaining	5	0	5	9	0	9
Salary Differential Savings		0		(440)	0	(440)
PS Accruals	(1,388)	0	(1,388)	(632)	0	(632)
YMI - Credible Messenger Learning Network	0	0	0	75	0	75
YMI Funding Adjustment	0	0	0	100	0	100
YMI - SYEP Consultant	0	0	0	40	0	40
Fund BJA PACS Grant	0	109	109	0	0	0
Lease Adjustment	79	0	79	0	0	0
MOME-DOP TAP Transfer	700	0	700	0	0	0
OEO Funding Adjustment	(1,071)	0	(1,071)	0	0	0
OTPS Savings	0	0	0	(175)	0	(175)
PS Savings	(802)	0	(802)	(831)	0	(831)
STSJP Transfer	0	6,467	6,467	0	0	0
STSJP Transfer	(2,458)	0	(2,458)	0	0	0
Subtotal, Other Adjustments	(\$3,228)	\$8,876	\$5,649	(\$1,891)	\$0	\$0
TOTAL, All Changes	(\$3,228)	\$8,876	\$5,649	(\$1,891)	\$0	(\$1,891)
DOP Budget as of the Preliminary FY21 Budget	\$97,211	\$30,083	\$127,295	\$99,151	\$20,943	\$120,094

B: DOP Contract Budget

DOP FY20 Preliminary Contract Budget				
<i>Dollars in Thousands</i>				
Category	FY20 Adopted	Number of Contracts	FY21 Preliminary	Number of Contracts
CLEANING SERVICES	\$43	1	\$43	1
CONTRACTUAL SERVICES GENERAL	24,885	5	25,092	5
DATA PROCESSING EQUIPMENT	150	2	150	2
HOSPITALS CONTRACTS	111	3	111	3
MAINT & REP GENERAL	72	1	72	1
OFFICE EQUIPMENT MAINTENANCE	90	2	90	2
PRINTING CONTRACTS	20	1	20	1
PROF SERV OTHER	102	4	102	4
SECURITY SERVICES	1,017	1	1,017	1
TELECOMMUNICATIONS MAINT	3	1	3	1
TEMPORARY SERVICES	16	1	16	1
TRAINING PRGM CITY EMPLOYEES	25	2	25	2
TOTAL	\$26,532	24	\$26,740	24

C: Program Areas

Probation Services

Probation Services						
<i>Dollars in Thousands</i>						
	FY18	FY19	FY20	Preliminary Plan		*Difference
	Actual	Actual	Adopted	FY20	FY21	FY20-21
Spending						
Personal Services						
Full-Time Salaried - Civilian	\$54,543	\$61,850	\$69,261	\$67,610	\$69,734	\$472
Other Salaried and Unsalariad	184	172	8	8	8	0
Full-Time Salaried - Uniform	0	3	0	0	0	0
Additional Gross Pay	4,005	5,500	3,847	3,847	3,847	0
Overtime - Civilian	1,385	3,308	1,716	1,716	1,716	0
Fringe Benefits	0	18	0	0	0	0
Subtotal	\$60,117	\$70,850	\$74,832	\$73,181	\$75,305	\$472
Other Than Personal Services						
Supplies and Materials	\$1,079	\$1,037	\$1,477	\$1,623	\$1,473	(\$4)
Fixed and Misc Charges	605	662	11	391	11	0
Property and Equipment	1,240	1,243	1,436	1,355	1,336	(99)
Other Services and Charges	10,081	10,384	6,902	6,881	4,766	(2,136)
Contractual Services	20,835	20,503	26,504	33,434	26,711	207
Subtotal	\$33,840	\$33,829	\$36,329	\$43,684	\$34,297	(\$2,031)
TOTAL	\$93,957	\$104,679	\$111,161	\$116,865	\$109,602	(\$1,559)
Funding						
City Funds			\$90,014	\$86,842	\$88,719	(\$1,295)
Federal - Other			0	109	0	0
Intra City			6,338	12,805	6,338	0
Other Categorical			0	2,300	0	0
State			14,809	14,809	14,545	(264)
TOTAL	\$93,957	\$104,679	\$111,161	\$116,865	\$109,602	(\$1,559)
Budgeted Headcount						
Full-Time Positions- Uniform	0	1	0	0	0	0
Full-Time Positions- Civilian	934	1,054	1,087	1,111	1,081	(6)
TOTAL	934	1,055	1,087	1,111	1,081	(6)

**The difference of Fiscal 2020 Adopted Budget compared to Fiscal 2021 Preliminary Budget.*

Executive Management

Executive Management						
<i>Dollars in Thousands</i>						
	FY18	FY19	FY20	Preliminary Plan		*Difference
	Actual	Actual	Adopted	FY20	FY21	FY20-FY21
Spending						
Personal Services						
Full-Time Salaried - Uniformed	\$0	\$0	\$0	\$0	\$0	\$0
Full-Time Salaried - Civilian	8,639	8,840	10,013	9,957	10,020	7
Other Salaried and Unsalariated	102	43	4	4	4	0
Fringe Benefits	0	0	0	0	0	0
Additional Gross Pay	221	374	198	198	198	0
Overtime - Civilian	163	159	145	145	145	0
P.S. Other	1	(1)	0	0	0	0
Subtotal	\$9,126	\$9,415	\$10,360	\$10,304	\$10,367	\$7
Other Than Personal Services						
Supplies and Materials	\$17	\$18	\$42	\$42	\$42	\$0
Fixed and Misc Charges	0	0	2	2	2	0
Property and Equipment	3	12	21	21	21	0
Other Services and Charges	46	35	32	32	32	0
Contractual Services	0	0	28	28	28	0
Subtotal	\$65	\$66	\$126	\$126	\$126	\$0
TOTAL	\$9,191	\$9,480	\$10,485	\$10,430	\$10,492	\$7
Funding						
City Funds			\$10,425	\$10,370	\$10,433	\$7
State			60	60	60	0
TOTAL	\$9,191	\$9,480	\$10,485	\$10,430	\$10,492	\$7
Budgeted Headcount						
Full-Time Positions	99	104	127	133	133	6
TOTAL	99	104	127	133	133	6

*The difference of Fiscal 2020 Adopted Budget compared to Fiscal 2021 Preliminary Budget.

D: Fiscal 2020 Preliminary Mayor's Management Report

DOP Performance Indicators	Actual			Target		4-Month Actual	
	FY17	FY18	FY19	FY20	FY21	FY19	FY20
Adult investigation reports completed - total	14,987	13,263	10,949	*	*	3,601	3,296
Adult investigation reports - on time completion (%)	88%	94%	98%	*	*	98%	96%
Juvenile investigation reports completed	1,927	1,779	1,429	*	*	515	438
Juvenile investigation reports - on time completion (%)	87%	87%	87%	*	*	88%	82%
Juvenile supervision - Intake cases received	3,856	3,699	4,406	*	*	911	2,129
Juvenile delinquency cases eligible for adjustment (%)	25%	30%	37%	30%	30%	38%	34%
- low-risk (%)	36%	41%	45%	*	*	48%	42%
- medium-risk (%)	14%	12%	12%	*	*	12%	13%
- high-risk (%)	11%	11%	7%	*	*	10%	3%
Adult supervision cases - end of period	20,404	19,229	17,299	*	*	18,558	16,694
Juvenile supervision cases - end of period	1,023	973	770	*	*	903	767
Adult initial risk assessments completed	21,313	17,246	10,705	*	*	5,270	3,965
Juvenile initial risk assessments completed	1,413	1,375	1,905	*	*	519	729
Adult probationer rearrest rate (monthly average) (%)	3.1%	2.7%	2.4%	3%	3%	2.5%	2.4%
Adult probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	3.3%	3.1%	3.1%	2.6%	2.6%	3.0%	3.1%
Juvenile probationer rearrest rate (monthly average) (%)	4.4%	4.2%	3.2%	3.5%	3.5%	2.9%	4.0%
Juvenile probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	0.3%	0.3%	0.2%	*	*	0.2%	0.3%
Average monthly violation rate for adult probationers (%)	1.0%	1.0%	1.0%	*	*	1.0%	1.0%
Average monthly violation rate for juvenile probationers (%)	3.5%	3.3%	3.0%	3%	3.00%	3.2%	3.0%
Probation violation proceedings ending in revocation for adult probationers (%)	51%	49%	44%	*	*	47%	33%
Probation violation proceedings ending in revocation for juvenile probationers (%)	41%	30%	25%	*	*	25%	32%
Revocation of juveniles not resulting in placement (%)	29%	47%	51%	*	*	52%	45%
Revocation of juveniles resulting in placement (%)	71%	53%	49%	*	*	48%	55%
New enrollments in alternative-to-placement (ATP) programs	100	82	68	*	*	22	22
New enrollments in DOP-managed programs	1,476	1,452	1,279	*	*	553	380
Adult probationer early completion rate (%)	12%	10%	12%	*	*	9%	12%
Adult probationer early completion approval rate (%)	75%	75%	86%	*	*	77%	85%
Successful completion rate for adult probationers (%)	NA	76%	78%	UP	UP	77%	79%
Successful completion rate for juvenile probationers (%)	NA	84%	90%	UP	UP	91%	88%

Source: Fiscal 2020 Preliminary Mayor's Management Report

E: Supervision Categories

Adult Supervision Categories

1. **Community Progression (CP).** These probation clients are not considered high-risk for committing crimes or a threat to public safety. CP includes collaterals and home and visits as needed and probationers in CP may be eligible for consideration of early discharge after nine months. Probationers in the CP track report monthly to a kiosk and have an assigned 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. Requirements for probationers in IE can vary widely by severity of charges and the context of each case. IE cases can include multiple collateral contacts to verify information, weekly in-person visits, multiple field visits, and multiple home visits.
3. **Client Development (CD).** These probation clients are at a high risk of recidivating according to the DOP's risk assessment instrument. CD cases include multiple in-person visits per month, home visits, and collateral contacts to verify information.
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. For example, in 2016 the City developed the Queens Interim Probation Domestic Violence Team that works with people through the Queens criminal to initiate long-lasting behavioral changes and more accountability for defendants with domestic violence charges. The Anyone Can Excel (ACE) program specializes caseloads on young adults with the highest risk of recidivism for gun violence and re-arrest.

Juvenile Supervision Categories

1. **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.
2. **Enhanced Supervision Program (ESP).** ESP targets the juvenile offenders with violent charges and is structured to promote the accountability and responsibility of justice-involved youth in addition to increasing their self-esteem. ESP includes weekly reporting requirements, 60 hours of community services, and behavior modification group workshops. ESP can also include emergency food relief, tutoring, and therapy services.
3. **Operation Impact (OI).** Operation Impact provides intensive family-centered supervision for four to six months for high risk juvenile offenders.
4. **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.