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**Report on the Fiscal 2024 Preliminary Plan
and the Fiscal 2023 Mayor's Management
Report for the**

Department of Probation

March 23, 2023

Prepared by

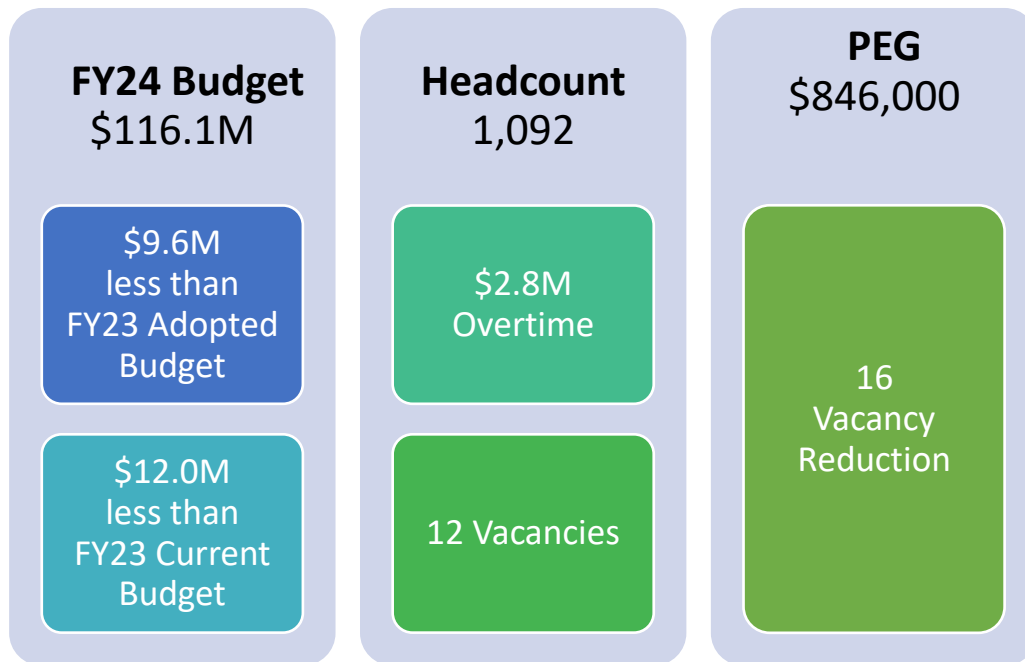
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Department of Probation (DOP) Fiscal 2024 Budget Snapshot



Department of Probation Overview

The Department of Probation’s (DOP, the Department) Fiscal 2024 budget totals \$116.1 million, or less than one percent of the City’s Fiscal 2024 Budget of \$102.7 billion. The Department of Probation attempts to 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 by expanding opportunities for them to move out of the criminal and juvenile justice systems. DOP also supplies information and recommendations to the courts to help inform sentencing and disposition decisions. The Department has a budgeted headcount of 1,092, of these positions, 137 are funded under the Executive Management Program Area and 955 are funded via Probation Services. The Department’s budget in the Preliminary Fiscal 2024 Financial Plan (Preliminary Plan) has decreased in the outyears with long-term savings while the current year’s budget has increased.

Public safety is an overarching priority of the administration but the Plan does not introduce any additional resources for DOP, one of the City’s principal public safety agencies.

Financial Summary

The following Financial Summary provides actual expenditures for Fiscal 2021 and Fiscal 2022, the Adopted Budget for Fiscal 2023 and planned spending for Fiscal 2023 and Fiscal 2024 as of the Fiscal 2024 Preliminary Budget. This information is broken down by Unit of Appropriation, funding sources, and headcount.

| | FY21 | FY22 | FY23 | Preliminary Plan | | *Difference |
|-------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| | Actual | Actual | Adopted | FY23 | FY24 | FY23-FY24 |
| Spending | | | | | | |
| Personal Services | \$75,771 | \$72,187 | \$81,457 | \$79,375 | \$77,442 | (\$4,016) |
| Other Than Personal Services | 41,721 | 40,877 | 44,248 | 48,720 | 38,696 | (5,552) |
| TOTAL | \$117,492 | \$113,064 | \$125,705 | \$128,095 | \$116,138 | (\$9,567) |
| Budget by Program Area | | | | | | |
| Probation Services | \$108,170 | \$103,329 | \$115,020 | \$117,410 | \$105,068 | (\$9,952) |
| Executive Management | 9,323 | 9,735 | 10,685 | 10,685 | 11,070 | 385 |
| TOTAL | \$117,492 | \$113,064 | \$125,705 | \$128,095 | \$116,138 | (\$9,567) |
| Funding | | | | | | |
| City Funds | | | \$103,721 | \$100,105 | \$93,868 | (\$9,853) |
| State | | | 14,605 | 15,128 | 14,890 | 285 |
| Federal - Other | | | 1,041 | 1,041 | 1,041 | 0 |
| Other Categorical | | | 0 | 3,241 | 0 | 0 |
| Intra City | | | 6,338 | 8,580 | 6,338 | 0 |
| TOTAL | | | \$125,705 | \$128,095 | \$116,138 | (\$9,567) |
| Budgeted Headcount | | | | | | |
| Executive Management | 109 | 97 | 133 | 133 | 137 | 4 |
| Probation Services | 954 | 874 | 971 | 985 | 955 | (16) |
| TOTAL | 1,063 | 971 | 1,104 | 1,118 | 1,092 | (12) |

**The difference of Fiscal 2023 Adopted Budget compared to Fiscal 2024 Preliminary Budget.*

The Preliminary Plan presents includes \$116.1 million in Fiscal 2024 for the Department of Probation, decreasing to \$114.3 million by the end of the Plan period. The Plan does not include any significant changes to DOP’s outyear expenditures.

The Fiscal 2024 budget in the Preliminary Plan is \$9.6 million less than the Department’s Fiscal 2023 Adopted Budget, a decrease of 7.6 percent. DOP’s budget is arranged programmatically by two Unit of Appropriation (U/A) pairs: personal Services (PS) and Other than Personal Services (OTPS) Probation Services and Executive Management. The reduction between Fiscal 2023 and 2024 is primarily the result of a \$10 million decrease in the Probation Services budget partially offset by a \$385,000 increase in the Executive Management Budget.

The Preliminary Plan includes a net increase of \$2.4 million to the current year budget, which is comprised of a \$2.1 million decrease in the Department’s PS budget offset by a \$4.5 million increase in the OTPS budget. The PS reduction is primarily the result of the elimination of 16 vacant positions.

DOP is mostly funded by City tax-levy which makes up \$93.9 million of the total funding in Fiscal 2023— approximately 80.8 percent. The remaining \$22.3 million is provided by various federal and State grants and funds.

Fiscal 2024 Preliminary Budget Changes

The Preliminary Plan includes minimal changes for the Department, with no new needs and only one adjustment, a typical annual transfer. The Preliminary Plan includes a vacancy reduction to baseline savings across the Plan period.

Other Adjustments

- **NYCHA Employment Program.** The Preliminary Plan includes an additional one-time funding of \$3.2 million in Fiscal 2023, for a NYCHA and DOP collaborative employment program.
- **Close to Home.** The Preliminary Plan includes an additional one-time funding of \$1.1 million in Fiscal 2023. This funding supports 15 positions for additional workload resulting from the enactment of the “Close to Home” legislation.
- **Every Child has an Opportunity to Excel and Succeed (ECHOES).** The Preliminary Plan includes an additional \$528,000 in Fiscal 2023 and \$351,000 in Fiscal 2024. This funding is provided through intra-city funding via the Administration for Children’s Services that primarily involves an annual state allocation of Supervision and Treatment Services for Juvenile Programs (STSJP) funding supporting probation programs/services. This funding will provide DOP with 10 positions to help with increased workload.

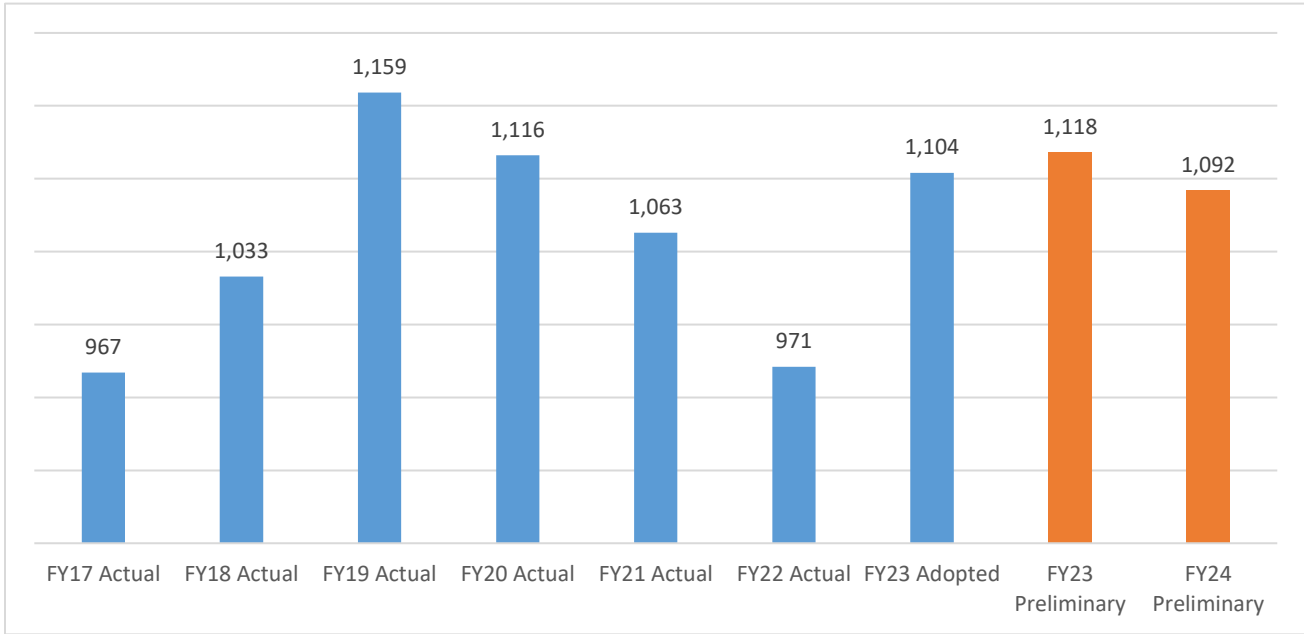
Program to Eliminate the Gap (PEG)

- **Vacancy Reduction.** The Preliminary Plan includes savings of \$423,000 in Fiscal 2023, baselined at \$848,000 in Fiscal 2024 and the outyears associated with the reduction of 16 vacant positions. According to the Department the positions to be eliminated have not yet been identified but will be allocated proportionally across the agency. The Department had approximately 12 vacancies as of the Preliminary Plan.

Headcount

The Preliminary Plan includes funding for a headcount of 1,092. DOP’s headcount has been mostly stable since Fiscal 2017 and although the Preliminary Plan eliminates 16 vacancies, it does not significantly alter the Department’s headcount. The chart below presents the actual headcount since Fiscal 2017, the Fiscal 2023 Adopted headcount, and the projections as of the Preliminary Plan.

Chart 1: DOP Headcount: FY17 Actual - FY24 Preliminary Plan



Most of DOP’s headcount, 955 positions, is budgeted in the Probation Services program area. The remaining 137 positions are budgeted in the Executive Management program area. A significant number of the Department’s staff are Probation Officers and Supervising Probation Officers. Probation Officers are responsible for the agency’s core functions including supervision and investigations.

Fiscal 2023 Preliminary Mayor’s Management Report (PMMR)

The Mayor’s Office publishes the PMMR to highlight agency performance through the first four months of the fiscal year, monitoring specific items for each agency. The Department of Probation has two service goals for reporting, 1) contribute to optimal court processing and decision-making in delinquency and criminal justice matters, 2) improve community safety through a combination of accountability and support activities with those under probation supervision. There are no significant changes to the reporting in the PMMR, including the addition or exclusion of indicators. Below are highlights from the Fiscal 2023 PMMR.

- Produce Timely and Accurate Pre-Sentence Investigations.** The Department is mandated by State law to submit pre-sentence investigations (PSI) for certain defendants before their sentencing. In the first four months of Fiscal 2023 the Department completed 2,674 PSIs for adults and 226 for juveniles, an increase from 1,969 and 150 respectively in the same period in Fiscal 2022. In the first four months of Fiscal 2023, 99 percent of adult investigations were completed on time and 87 percent of juveniles, this is a decrease from the same period in Fiscal 2022, when all adult investigation were completed on time and 94 percent of juvenile investigations were completed on time.
- Probationer Rearrest Indicators.** The PMMR includes indicators on the rates or rearrests for adult and juvenile probationers. For both adults and juveniles, the rate of rearrests have been on a downward trend for several fiscal years. In Fiscal 2023, 2.3 percent of adult probationers were rearrested which amounts to 2 percent of the NYPD’s arrest report. For juveniles on probation, 3

percent were rearrested which amounts to 0.1 percent of the NYPD's arrest report. Taken together these indicators show that the vast majority of adults and juveniles on probation are not rearrested.

- **Successful Completion Rate Indicators.** The PMMR includes indicators on the successful completion rates for adults and juveniles on probation. In the first four months of Fiscal 2023, 83 percent of both adult and juvenile probationers successfully completed their probation term. These numbers are both decreases compared to the same period in Fiscal 2022 when adults and juveniles had completion rates of 87 percent and 90 percent, respectively.

Appendices

A. Budget Actions in the November and Preliminary Plans

| <i>Dollars in Thousands</i> | FY23 | | | FY24 | | |
|---|------------------|-----------------|------------------|------------------|-----------------|------------------|
| | City | Non-City | Total | City | Non-City | Total |
| DOP Budget as of the Adopted FY23 Budget | \$103,721 | \$21,984 | \$125,705 | \$93,868 | \$22,270 | \$116,138 |
| November 2023 Financial Plan | | | | | | |
| New Needs | | | | | | |
| Candidate Assessment & Investigation Unit | \$0 | \$0 | \$0 | \$385 | \$0 | \$385 |
| Subtotal, New Needs | \$0 | \$0 | \$0 | \$385 | \$0 | \$385 |
| Other Adjustments | | | | | | |
| Fund DCJS Grant State | \$0 | \$274 | \$274 | \$0 | \$0 | \$0 |
| Workforce Enhancement | (272) | 0 | (272) | (272) | 0 | (272) |
| Subtotal, Other Adjustments | (\$272) | \$274 | \$2 | (\$272) | \$0 | (\$272) |
| PEGS | | | | | | |
| Contract Savings | (\$475) | \$0 | (\$475) | (\$575) | \$0 | (\$575) |
| Delay Laptop and Tablet Replacements and Upgrades | 0 | 0 | 0 | (178) | 0 | (178) |
| Less Than Anticipated PS Spending | (3,400) | 0 | (3,400) | (2,627) | 0 | (2,627) |
| PS Savings | 0 | 0 | 0 | 0 | 0 | 0 |
| Restructure Violation Enforcement Program (VEP) | 0 | 0 | 0 | (633) | 0 | (633) |
| Telecommunication Savings | (12) | 0 | (12) | (35) | 0 | (35) |
| Subtotal, PEGS | (\$3,887) | \$0 | (\$3,887) | (\$4,047) | \$0 | (\$4,047) |
| Subtotal, November Plan | (\$4,159) | \$274 | (\$3,885) | (\$3,934) | \$0 | (\$3,934) |
| January 2024 Financial Plan | | | | | | |
| New Needs | | | | | | |
| N/A | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Subtotal, New Needs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other Adjustments | | | | | | |
| City Council Member Reallocation | (\$6) | \$0 | (\$6) | \$0 | \$0 | \$0 |
| DCJS Empl Focused SCVS ATI | 0 | 285 | 285 | 0 | 285 | 285 |
| FUND NYCHA EMPLOYMENTFY23 | 0 | 3,241 | 3,241 | 0 | 0 | 0 |
| FY23 Fund Close to Home | 1,065 | 0 | 1,065 | 0 | 0 | 0 |
| FY23 Fund Evening Intake | 298 | 0 | 298 | 0 | 0 | 0 |
| FY23 FUNDING ECHOES INTRACITY | 879 | 0 | 879 | 0 | 0 | 0 |
| OEO Funding Adjustment | 910 | 0 | 910 | 0 | 0 | 0 |
| Heat, Light and Power | 61 | 0 | 61 | 0 | 0 | 0 |
| Subtotal, Other Adjustments | \$3,207 | \$3,526 | \$6,733 | \$0 | \$285 | \$285 |
| PEGS | | | | | | |
| Vacancy Reduction | (\$423) | \$0 | (\$423) | (\$846) | \$0 | (\$846) |
| Subtotal, PEGS | (\$423) | \$0 | (\$423) | (\$846) | \$0 | (\$846) |
| Subtotal, January Plan | \$2,784 | \$3,526 | \$6,310 | (\$846) | \$285 | (\$561) |
| TOTAL, All Changes | (\$1,374) | \$3,800 | \$2,426 | (\$4,780) | \$285 | (\$4,495) |
| DOP Budget as of the Preliminary FY24 Budget | \$103,721 | \$21,984 | \$125,705 | \$93,868 | \$22,270 | \$116,138 |

B. Contract Budget

| DOP FY24 Preliminary Contract Budget | | | | |
|---|---------------------|----------------------------|-------------------------|----------------------------|
| <i>Dollars in Thousands</i> | | | | |
| Category | FY23 Adopted | Number of Contracts | FY24 Preliminary | Number of Contracts |
| Cleaning Services | \$43 | 1 | \$43 | 1 |
| Contractual Services General | 32,300 | 5 | 26,961 | 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 | \$33,948 | 24 | \$28,609 | 24 |

C. Program Areas

| Probation Services | | | | | | |
|-------------------------------------|--------------------|--------------------|---------------------|-------------------------|------------------|------------------------------|
| <i>Dollars in Thousands</i> | | | | | | |
| | FY21 Actual | FY22 Actual | FY23 Adopted | Preliminary Plan | | *Difference FY23-FY24 |
| | | | | FY23 | FY24 | |
| Spending | | | | | | |
| Personal Services | | | | | | |
| Full-Time Salaried - Civilian | \$60,724 | \$57,393 | \$65,237 | \$63,245 | \$60,093 | (\$5,234) |
| Overtime - Civilian | 1,352 | 792 | 1,716 | 1,716 | 2,550 | 834 |
| Other Salaried and Unsalariad | 151 | 168 | 8 | 8 | 8 | 0 |
| Additional Gross Pay | 4,057 | 3,961 | 3,847 | 3,847 | 3,847 | 0 |
| Fringe Benefits | 193 | 178 | 0 | 0 | 0 | 0 |
| Subtotal | \$66,477 | \$62,493 | \$70,898 | \$68,816 | \$66,497 | (\$4,401) |
| Other Than Personal Services | | | | | | |
| Supplies and Materials | \$381 | \$821 | \$1,594 | \$1,948 | \$1,594 | \$0 |
| Fixed and Misc Charges | 1,037 | 776 | 11 | 331 | 11 | 0 |
| Property and Equipment | 1,221 | 513 | 1,336 | 1,307 | 1,158 | (178) |
| Other Services and Charges | 11,699 | 10,721 | 7,263 | 10,243 | 7,228 | 95 |
| Contractual Services | 27,354 | 28,004 | 33,403 | 34,765 | 28,580 | (4,823) |
| Subtotal | \$41,693 | \$40,836 | \$44,122 | \$48,594 | \$38,571 | (\$5,552) |
| TOTAL | \$108,170 | \$103,329 | \$115,020 | \$117,410 | \$105,068 | (\$9,952) |
| Funding | | | | | | |
| City Funds | | | \$93,096 | \$89,479 | \$82,858 | (\$10,238) |
| Federal - Other | | | 1,041 | 1,041 | 1,041 | 0 |
| Intra City | | | 6,338 | 8,580 | 6,338 | 0 |
| Other Categorical | | | 0 | 3,241 | 0 | 0 |
| State | | | 14,545 | 15,068 | 14,830 | 285 |
| TOTAL | \$108,170 | \$103,329 | \$115,020 | \$117,410 | \$105,068 | (\$9,952) |
| Budgeted Headcount | | | | | | |
| Full-Time Positions- Uniform | | | | | | |
| Full-Time Positions- Civilian | 954 | 874 | 971 | 985 | 955 | (16) |
| TOTAL | 954 | 874 | 971 | 985 | 955 | (16) |

*The difference of Fiscal 2023 Adopted Budget compared to Fiscal 2024 Preliminary Budget.

| Executive Management | | | | | | |
|-------------------------------------|----------------|----------------|-----------------|-------------------------|-----------------|--------------------|
| <i>Dollars in Thousands</i> | | | | | | |
| | FY21 | FY22 | FY23 | Preliminary Plan | | *Difference |
| | Actual | Actual | Adopted | FY23 | FY24 | FY23-FY24 |
| Spending | | | | | | |
| Personal Services | | | | | | |
| Full-Time Salaried - Civilian | \$8,919 | \$9,152 | \$10,213 | \$10,213 | \$10,517 | \$304 |
| Overtime - Civilian | 154 | 91 | 145 | 145 | 226 | 81 |
| Other Salaried and Unsalari ed | 5 | 58 | 4 | 4 | 4 | 0 |
| Fringe Benefits | 1 | 2 | 0 | 0 | 0 | 0 |
| Additional Gross Pay | 216 | 393 | 198 | 198 | 198 | 0 |
| P.S. Other | (1) | (2) | 0 | 0 | 0 | 0 |
| Subtotal | \$9,294 | \$9,694 | \$10,559 | \$10,559 | \$10,944 | \$385 |
| Other Than Personal Services | | | | | | |
| Supplies and Materials | \$12 | \$4 | \$42 | \$42 | \$42 | \$0 |
| Fixed and Misc Charges | 0 | 0 | 2 | 7 | 2 | (5) |
| Property and Equipment | 0 | 0 | 21 | 16 | 21 | 5 |
| Other Services and Charges | 16 | 36 | 32 | 47 | 32 | (15) |
| Contractual Services | 0 | 0 | 28 | 13 | 28 | 150 |
| Subtotal | \$29 | \$41 | \$126 | \$126 | \$126 | \$0 |
| TOTAL | \$9,323 | \$9,735 | \$10,685 | \$10,685 | \$11,070 | \$385 |
| Funding | | | | | | |
| City Funds | | | \$10,626 | \$10,624 | \$11,010 | \$384 |
| State | | | 60 | 60 | 60 | 0 |
| TOTAL | \$9,323 | \$9,735 | \$10,685 | \$10,685 | \$11,070 | \$385 |
| Budgeted Headcount | | | | | | |
| Full-Time Positions | 109 | 97 | 133 | 133 | 137 | 4 |
| TOTAL | 109 | 97 | 133 | 133 | 137 | 4 |

**The difference of Fiscal 2023 Adopted Budget compared to Fiscal 2024 Preliminary Budget.*