

New York State  
Division of Probation and Correctional Alternatives (DPCA)  
Core Mission

The core mission of DPCA is to reduce crime in New York State by lowering recidivism among offenders on probation supervision and in community corrections programs.

DPCA reduces crime in New York State by performing three essential functions:

- Regulating and funding the State's 58 County/City of New York Probation Departments which supervise 125,000 adult and 17,000 juvenile offenders. Probation in NYS operates pursuant to an extensive regulatory system, which includes the oversight and provision of training; these rules have the force and effect of law.
- Setting minimum standards for the State's 200 community-based corrections/alternatives to incarceration (ATI) programs that provide services to 60,000 offenders.
- Managing the interstate transfer of 5,000 probationers each year between the New York State, its 62 counties and all other states pursuant to the Interstate Compact for Adult Offender Supervision (ICAOS).

DPCA Performance Measures (external)

- Probation: probationer recidivism, probationer violation, victim restitution, probationer employment
- Community Corrections/ATI Programs: DPCA contracts are all performance-based with specific milestones. Performance measures include program completion, sobriety, remaining arrest-free, employment and sustained employment (90 and 180 days)
- Interstate Transfer: Cases investigated and transferred within ICAOS Standards and DPCA Targets

Data Alternatives									
Relation to Core Mission (H/M/L)	Program/Activity	Spending Category (SO, ATL, CAP)	3/31/09 FTEs (All Funds)	Names	General Fund Disbursements (\$000s)	2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected
<b>PROBATION REGULATION &amp; FUNDING</b>									
H	Local Probation Services (RSA)	ATL				\$46,584,000	\$46,584,000	\$48,593,000	\$48,593,000
		SO	0.15			\$10,824	\$12,367	\$13,504	\$13,531
M	Intensive Supervision Program (ISP)	ATL				\$6,093,000	\$5,655,100	\$4,639,800	\$4,559,400
		SO	0.40			\$23,720	\$26,818	\$30,443	\$30,504
H	Enhanced Supervision of Sex Offenders (ESSO)	ATL				\$621,100	\$1,107,500	\$2,375,200	\$2,294,720
		SO	0.15			\$10,824	\$12,367	\$13,504	\$13,531
H	Sex Offender Management (Quarterly Address Confirmation)	SO	0.90			\$48,870	\$53,340	\$47,361	\$47,456
L	Probation Eligible Diversion	ATL				\$892,900	\$1,307,500	\$2,661,400	\$2,581,000
		SO	0.35			\$23,720	\$18,148	\$20,279	\$20,320
L	GPS Tracking	ATL				\$0	\$0	\$1,000,000	\$0
		SO	0.10			\$5,158	\$14,451	\$16,939	\$16,973
H	DNA Collections	ATL				\$721,600	\$169,900	\$11,700	\$0
		SO	0.15			\$10,824	\$12,367	\$13,504	\$13,531
H	Juvenile Risk Intervention Services Coordination (J-RISC)	ATL				\$1,211,300	\$1,008,700	\$1,953,300	\$1,872,900
		SO	0.33			\$25,748	\$28,085	\$19,129	\$24,107
H	Juvenile Delinquency (JD)	SO	0.33			\$25,748	\$28,085	\$19,129	\$24,107
M	Youth Assessment Screening Instrument (YASI)	SO	0.34			\$25,748	\$28,085	\$19,129	\$24,107
L	Persons In Need of Supervision (PINS)	SO	0.50			\$33,301	\$35,637	\$40,397	\$40,479
H	Budget and Fiscal Services	SO	6.00			\$292,743	\$289,819	\$347,183	\$347,891
H	Legal - Legislation, Contractual, RuleMaking	SO	2.00			\$128,430	\$142,612	\$156,683	\$157,000
H	Certification Training - Probation Officers	SO	3.00			\$65,366	\$166,588	\$193,066	\$193,456
M	Traffic Safety & Probation (GTSC Grant)	SO	1.00						
M	Probation Automated Case Management System	SO	0.15			\$10,824	\$12,367	\$13,504	\$13,531
M	COMPAS Risk & Need Assessment	SO	0.65			\$39,060	\$42,585	\$33,763	\$33,831
H	Executive Staff	SO	3.00			\$254,705	\$280,418	\$298,312	\$295,673
<b>COMMUNITY CORRECTIONS - STANDARDS &amp; PROGRAM FUNDING</b>									
H	Community Programs - ATI Demonstration Projects	ATL				\$4,836,800	\$5,393,800	\$4,955,100	\$4,649,600
		SO	1.06			\$51,533	\$62,507	\$73,957	\$74,107
H	Alternatives to Incarceration - ATI / Classification	ATL				\$4,266,000	\$4,943,100	\$2,295,200	\$2,214,800
		SO	1.25			\$60,157	\$73,281	\$86,806	\$86,982
H	Alternatives to Incarceration - ATI Drug & Alcohol	ATL				\$1,836,300	\$2,477,000	\$3,728,400	\$3,648,000
		SO	1.24			\$60,157	\$72,988	\$86,415	\$86,590
H	Services for a Shared Population: (SATSO) Defendants & Offenders with Mental Illness	ATL				\$812,400	\$1,019,400	\$997,900	\$997,900
		SO	0.83			\$0	\$0	\$22,750	\$54,266
M	TANF - 200 Percent of Poverty (OTDA Funded in 2006 & 2007)	ATL						\$3,920,000	\$3,920,000
		SO	1.34			\$0	\$0	\$38,758	\$91,858
H	Pathways to Employment - NIC (Offender Workforce Development Specialist Certification)	SO	0.75			\$0	\$0	\$24,796	\$58,494
<b>INTERSTATE TRANSFER OF PROBATIONERS</b>									
H	Interstate Transfer - Probationers (Interstate Compact for Adult Supervision - ICAOS)	SO	9.75			\$304,608	\$328,208	\$454,685	\$455,606
<b>COMMUNITY PROJECTS (Member Items 007)</b>									
M		ATL				\$2,633,000	\$2,600,000	\$1,800,000	\$1,800,000
		SO	0.28			\$9,935	\$11,897	\$17,004	\$21,069
		<b>TOTAL FTEs</b>	<b>36.00</b>						
<b>NON PERSONAL SERVICES</b>									
H		SO				\$444,000	\$370,000	\$557,000	\$509,000
		<b>Total - Local Assistance</b>				<b>\$70,508,400</b>	<b>\$72,266,000</b>	<b>\$78,931,000</b>	<b>\$77,131,320</b>
		<b>Total - State Operations</b>				<b>\$1,966,003</b>	<b>\$2,123,000</b>	<b>\$2,658,000</b>	<b>\$2,748,000</b>
		<b>GRAND TOTAL</b>				<b>\$72,474,403</b>	<b>\$74,389,000</b>	<b>\$81,589,000</b>	<b>\$79,879,320</b>

## NYS Division of Probation and Correctional Alternatives

## PROGRAM INFORMATION SHEET

**Program:** Local Probation Services

**Mandate:**

NYS Executive Law Article 12  
 NYSDPCA Rules and Regulations

**Mandated Funding Level:**

Up to 50% of local cost mandated by State law and regulations. 2008-09 Aid to Localities - \$48,593,000 Appropriation. Actual reimbursement for local expenditures has decreased to 17%.

**Brief Description/History/Background:**

Local probation departments are required by Executive Law to provide 3 functions: Family Court Intake (or Preliminary Procedures), Investigation, and Supervision. DPCA is allocated an amount each SFY to distribute to counties as partial reimbursement of the local costs of providing these services. Annually, each of the 58 departments must present a plan as to the services each intends to provide for the year (each plan must be reviewed and approved by DPCA staff before reimbursement can proceed), and an application for State Aid. Compliance with DPCA rules and regulations regarding the administration of probation services is also a prerequisite to reimbursement.

Family Court Intake: a service providing screening and services to complainants with the intent of diverting, as appropriate, the complaint from the commencement of Family Court proceedings.

Probation Investigation: the process and product of information gathering and reporting so as to assist the Family and criminal courts with sentencing/dispositional decision making. These reports are also used by post-dispositional and custodial authorities (Department of Correctional Services, Division of Parole, Office of Children and Family Services, local DSS, and custodial institutions) as an information base for classification and case planning/programming purposes.

Probation Supervision: the activities involved in providing post-dispositional / sentencing supervision to persons deemed by the Family and criminal courts to be appropriate for community-based supervision and services provision, and placed thereon by court order. Additionally, most probation departments have been designated, by the locality, as the county restitution collection agency.

**Issues:**

State reimbursement of local probation costs, though capped at 50%, have consistently been below 20% for the past several years. As a result, county probation departments have had to: increase caseload sizes; reduce personnel resources; reduce services; and compensate with increased contribution of local monies.

**Population Served:**

58 County Probation Departments  
 Family and criminal courts  
 General offender population  
 Victims of crime

**Performance Measures:**

Under Supervision Population: 125,000 Adult probationers, 17,000 Juvenile probationers  
 Investigations Per Year: Criminal Court 120,000, Family Court 20,000  
 Restitution: \$18 million collected annually for Criminal and Family Courts

## NYS Division of Probation and Correctional Alternatives

## PROGRAM INFORMATION SHEET

**Program:** Intensive Supervision Program (ISP)

**Mandate:**

Law: NY Laws of 1996, Chapter 54, NY Laws of 2002; Regulation: NYS Division of Probation and Correctional Alternatives Rules and Regulations

**Mandated Funding Level:**

No Mandated Funding Level 2008-09 Aid to Localities - \$5,876,000 Appropriation

**Brief Description/History/Background:**

First established in 1978 as an alternative to state imprisonment for probation-eligible offenders assessed to be at high risk of incarceration. The DPCA-created program manual/model requires greater levels of probation supervision (higher frequency of probation contacts with offender, employer, family, drug tests, etc.) and services provision than is afforded the "typical" probation population for up to one year. Probationers who are successful in ISP are transitioned to regular caseloads to complete their sentences. The program goal is: "To enhance public protection through intensive supervision and services while limiting the unnecessary incarceration of certain offenders who are at high risk of reoffending."

**Issues:**

State reimbursement of program costs, though initially 100% of county cost, has dropped to about 50% of actual cost and has remained flat for many years. As a result, county probation departments have had to: stop providing ISP; reduce personnel resources allocated to the Intensive Supervision Program; or compensate with increased contribution of local dollars.

**Population Served:**

DPCA annually contracts with and monitors program/contractual activities of 39 county probation departments providing ISP. Offender populations served by local Intensive Supervision Programs are convicted D- and E-level felons and certain misdemeanants who, without availability of this probation supervision program, would be sentenced to state imprisonment.

**Performance Measures:**

CY2007 Number offenders on ISP = 5,515;  
 CY2007 Number of Successful Discharges = 2,742; (Equates to about four 700 bed prison facilities)  
 Average Percentage of CY2007 Discharges that are Successful = 51%

## NYS Division of Probation and Correctional Alternatives

## PROGRAM INFORMATION SHEET

**Program:** Enhanced Supervision for Sex Offenders (ESSO)

**Mandate:**

Corrections Law, Article 6-C- Sex Offender Registry Act (SORA) and the Executive Law - Article 12  
Contractual agreements with each county.

**Mandated Funding Level:**

No Mandated Funding Level For 2008-09 Aid to Localities - \$2,254,000 Appropriation

**Brief Description/History/Background:**

Initiated in SFY2006, this program provides funding to local probation departments which provide a constellation of specialized and specific services to SORA Levels 2 and 3 Sex Offenders under probation supervision. Services required by DPCA to obtain the funding, are those identified as being critical to the successful management of sex offenders on probation in the community (specialized supervision, home visits, offender address confirmation, SOR annual address verifications, polygraph testing, specialized evaluation and treatment, computer forensics, cross-agency collaboration, etc.). DPCA coordinates the quarterly confirmations by the local probation departments of the addresses of sex offenders under probation supervision. Ninety-two to ninety-three percent of addresses out of 4,000 SORA probationers are confirmed each quarter and the remainder

**Issues:**

Specialized services for sex offenders are not readily available in some counties.

**Population Served:**

58 probation departments providing enhanced services to approximately 1,500 Level 2 and 3 sex offenders under probation supervision.

**Performance Measures:**

Departments are required to report on and attest to specific services being rendered to specific persons for reimbursement. High percentages (92% - 93%) of offender accountability.

## NYS Division of Probation and Correctional Alternatives

## PROGRAM INFORMATION SHEET

**Program:** Sex Offender Management

**Mandate:**

Corrections Law, Article 6-C- Sex Offender Registry Act (SORA) and the Executive Law - Article 12

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

Initiated in SFY2003, this initiative by DPCA is multi-faceted and applies specifically to all sex offenders under probation supervision for the purposes of increasing public safety and offender accountability:

- 1) DPCA requires all probation departments to: confirm the current addresses of all probationers classifiable under SORA, ensure that the Sex Offender Registry has current address information, and submit statistical reports on those activities.
- 2) DPCA requires probation officers to facilitate each offenders' adherence to their SORA requirements.
- 3) DPCA has provided training on the Static-99 risk assessment instrument to hundreds of probation officers.
- 4) DPCA has obtained a CASOM grant to produce sex offender management policy guidelines and training.
- 5) DPCA provides technical assistance re: sex offender management to localities.
- 6) DPCA has published two literature research bulletins related to sex offender management
- 7) DPCA completed a survey as to SO management practices statewide and published a report.

**Issues:**

The appropriate management of sex offender caseloads is resource intensive.

**Population Served:**

58 probation departments providing supervision services to approximately 4,000 SORA classified offenders and an additional 2,000 offenders whose crimes were sexually-based but are not within SORA.

**Performance Measures:**

Counties are required to file detailed information on the management of each sex offender in order to claim reimbursement under the Enhanced Supervision for Sex Offenders program (detailed on another Program Information Sheet). Regarding the Quarterly Address Confirmation, about 90% of sex offender addresses are able to be confirmed on a regular basis. In the remainder of the cases there are active warrants or warrants have been requested.

										<b>Attachment</b>	
NYS Division of Probation and Correctional Alternatives											
<b>PROGRAM INFORMATION SHEET</b>											
<b>Program:</b>	Geographic Positioning Systems for Sex Offenders (GPS)										
<b>Mandate:</b>	Legislative Initiative										
<b>Mandated Funding Level:</b>	No Mandated Funding Level      2007-08 Aid to Localities - \$ 1,000,000 Appropriation 2008-09 Aid to Localities - \$1,000,000 initial, reduced to \$940,000										
<b>Brief Description/History/Background:</b>	<p>SFY 2007-2008 provided for the one-year funding of three probation departments to develop/support the use of GPS in the community-based monitoring of convicted sex offenders. Those three departments were: Monroe County (\$500,000); Rensselaer County (\$250,000); and Suffolk County (\$250,000). SFY 2008-09 budget provided for the one-year funding of two probation departments to develop/support the use of GPS in the community-based supervision of Sex Offenders. Those two probation departments were Onondaga and Westchester counties (both initially funded at \$500,000 each, but reduced to \$470,000). Given differing population characteristics and judicial temperament, each locality has to develop its own model for using GPS using established programs as models and submit to DPCA. The program goal is: To enhance public safety through the use of Global Positioning Systems technology as a tool in the supervision and management of sex offenders in the community.</p>										
<b>Issues:</b>	This funding has been for a one-year period only for each of the local departments. GPS supervision models require additional staff dedicated solely to monitoring all offenders and responding promptly to violative behaviors. Thus, the localities have had to identify local sources of funding to continue the GPS programs beyond the year of the grant.										
<b>Population Served:</b>	DPCA contracted with and monitors program/contractual activities of the county probation departments operating GPS monitoring programs. Offender populations served by these programs are primarily felony-convicted and classified as SORA Level 2 and 3 Sex Offenders. Probation is the most frequently imposed community sentence imposed by sentencing courts for sex offenders. More than 1,200 Level 2 and 300 Level 3 are being supervised by probation in NYS.										
<b>Performance Measures:</b>	<p>SFY 2008 Total target number offenders screened for GPS = 180  Total target number offenders ordered to GPS supervision = 90  Total target number offenders transitioned to non-GPS caseloads = 68</p>										

## NYS Division of Probation and Correctional Alternatives

## PROGRAM INFORMATION SHEET

**Program:** DNA Collection

**Mandate:** Executive Law Article 49-B, § 995-b (5), 995-c, Executive Law §243 and 257(4)  
None.

**Mandated Funding Level:**

In SFY 2006-07, the State appropriated \$1M in state aid assistance for probation departments to address the backlog of DNA samples to be collected as a result of the DNA Enhancement Legislation passed into law on June 23, 2006. DNA collections have been an additional responsibility placed on probation departments in recognition of the public safety interest.

**Brief Description/History/Background:**

Recognizing the power of DNA to solve crime and cognizant of the probation population as being of high propensity to commit crime, DPCA has collaborated with the Division of Criminal Justice Services' Forensics Unit and local probation departments to implement the collection of DNA from offenders under probation supervision. This has been accomplished by monitoring collection rates, providing model collection policies for adaptation and adoption by each local department, and providing some funding to offset the local costs of collecting on retroactive cases.

**Issues:**

None

**Population Served:**

58 probation departments providing supervision services to approximately 129,000 active adult cases.

**Performance Measures:**

Of the 8,570 DNA-eligible probation sentences since May 2007 (one year), probation has collected 7,808 (91% collection rate). Since DNA collection started, probation departments have collected nearly 80,000 samples. To date, the collection of DNA samples by probation staff has resulted in 609 "hits" linking these offenders to unsolved crimes. Of these hits, 55 were connected to homicides, 304 were connected to sexual assaults, 44 robberies, 144 burglaries, 1 kidnapping and 1 arson.



										<b>Attachment C</b>	
<b>NYS Division of Probation and Correctional Alternatives-Juvenile Unit</b>											
<b>PROGRAM INFORMATION SHEET</b>											
<b>Program:</b> Juvenile-Risk Intervention Services Coordination (J-RISC)											
<b>Mandate:</b> Effective 1/1/08, the J-RISC program replaced the former Juvenile Intensive Intervention Program (JISP), from the NYS Laws of 1995, Chapter 54, Laws of 2002. J-RISC is a 7 county program where probation departments will provide both intensive supervision to high risk JD and PINS youth and an evidence based intervention program to address their identified risk and need areas. Contracts are 5 year with 5 annual renewals, with a maximum of \$200,000 per county per year, with up to an extra \$50,000 in year one for training costs. Counties were chosen through a competitive RFP process.											
<b>Mandated Funding Level:</b> 2008-09 Aid to Localities - \$1,187,000 Appropriation											
<b>Brief Description/History/Background:</b> Effective 1/1/08, the J-RISC program replaced the former Juvenile Intensive Intervention Program (JISP), from the NYS Laws of 1995, Chapter 54, Laws of 2002.											
<b>Issues:</b> As 2008 is year one, counties are in the training/start up stage. No issues yet.											
<b>Population Served:</b> Both PINS and JD youth who are at high risk of recidivism, per the YASI risk and needs instrument. Currently there are 7 counties receiving J-RISC funds. Estimating an average caseload of 15 high risk youth per JRISC Probation Officer, the potential savings if out of home placement (at approximately \$100,000 per youth per year) is prevented is \$10.5 million per year. Since 2000, DPCA has overseen local probation departments' implementation of evidence based assessment, case planning, and reassessment through use of the YASI risk and needs instrument. Use of these evidence based practices have not only provided better services to youth and families, but have resulted in more JD and PINS cases being diverted from the Family Court system-thus reducing court costs and reliance and costs associated with detention and out of home placements.											
<b>Performance Measures:</b> Year one contract is expenditure based. Contracts for years two through five will be performance based. On a quarterly basis, J-RISC counties will report: Case Entry type; Intervention Type; Length of Time in Intervention Program; Number of Quality Assurance meetings; a narrative summary of the program; age; ethnicity; race; and Program Termination Information (i.e. if a J-RISC youth has measurably reduced their risk of recidivism or increased their protective factors).											

## NYS Division of Probation and Correctional Alternatives-Juvenile Unit

## PROGRAM INFORMATION SHEET

**Program:** Juvenile Delinquency (JD)

**Mandate:**

NYS Family Court Act Article 3, Title 9 NYCRR Part 354, and NYS Executive Law Article 12 Section 243.

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

In 1962, the NYS Family Court Act formalized the laws governing Family Court operations and proceedings. In 1982, significant changes and reforms to FCA Article 3 were enacted. Since 2000, DPCA has overseen local probation departments' implementation of evidence based assessment, case planning, and reassessment through use of the YASI risk and needs instrument. Use of these evidence based practices have provided better services to youth and families and have resulted in more JD cases being adjusted and diverted from the Family Court system-thus reducing court costs and reliance and costs associated with detention and out of home placements. The placement of a youth outside of the home generally costs \$100,000 or more per year. DPCA has convened a workgroup made up of probation practitioners to revise the DPCA rule regarding JD Intake practice in order to incorporate evidence based practices.

**Issues:**

Possible raising of age to 18.

**Population Served:**

Youth ages 7-15 as defined by FCA Section 301.2 (1).

**Performance Measures:**

Per the DPCA Probation Workload System the following are the data collected for NEW JD cases entering the juvenile probation system during calendar year 2007: Number of JD intakes opened= 24,820; Number of JD cases Referred to Petition Immediately= 13,680; Number of JD cases Adjusted= 8,871; Number of JD cases Terminated Without Adjustment and Referred to Petition= 1,875; Number of JD Pre-Dispositional Reports Completed= 6,652; Number of JD Cases receiving Pre Disposition Supervision= 2,744; Number of JD cases placed on Probation Supervision= 5,112. If 20% of the new cases placed on probation supervision were to fail and be placed out-of-home at a cost of \$100,000, that would translate into a cost of \$102,200,000. Effective, successful probation supervision is a cost effective solution to juvenile delinquency.

New York State Division of Probation and Correctional Alternatives-Juvenile Unit

**PROGRAM INFORMATION SHEET****Program:** YASI (Youth Assessment Screening Instrument)-Risk/Need Assessment**Mandate:**

DPCA requires an approved Risk/Need Assessment be completed on each JD and PINS case at the intake, investigation, and supervision stages. YASI is also utilized for case planning, pre-dispositional reports for the court, and reassessment on a quarterly basis.

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

In NYS, approximately 40,000 new juvenile cases are handled annually by local probation departments. An assessment protocol is an essential first step toward achieving the goals of public safety, youth accountability, and competency development. Assessment increases outcome predictability while supporting professional judgment and augments the effectiveness of case management. YASI was developed in 2000 and brings together good probation practice with developments in research regarding assessment, case planning, and effective intervention. The YASI tool was initially developed, field-tested, and validated in Washington State based upon empirical research, and has been customized and enhanced to meet the needs of New York State, including the PINS population and tools to guide the user in the development of case plans that target the identified criminogenic need areas.

**Issues:**

In 2008-2009 the following upgrades to YASI are planned: release of web based YASI 5.0 version; integration of YASI with Caseload Explorer management information system; and migration of YASI software from county based servers to one statewide server. The statewide server will eventually be hosted by DCJS.

**Population Served:**

All NYS counties except Tompkins, St. Lawrence, and NYC use YASI in both the JD and PINS systems.

**Performance Measures:**

As of January 2008, there were 62,437 Youth Assessed, 126,849 Completed Prescreens, and 73,938 Completed Full Assessments.

NYS Division of Probation and Correctional Alternatives

PROGRAM INFORMATION SHEET

Program: Persons In Need of Supervision (PINS)

Mandate:

NYS Family Court Act Article 7, Title 9 NYCRR Part 357, and NYS Executive Law Article 12 Section 243

Mandated Funding Level:

None

Brief Description/History/Background:

From 1962 to 1985, PINS intake was governed by FCA Section 734. In 1985, FAC Section 735 was added as an option for counties to encourage collaboration around the provision of assessment and services to PINS youth to divert as many PINS youth from the Family Court system as possible. In 2002, the age for PINS was raised to include 16-17 year olds. On April 1, 2005, reforms to the PINS law were enacted which require each county to provide diversion services and alternatives to detention to youth at risk of being petitioned to Family Court. Diversion services, including intake, may now be provided by the local social services district, probation, and/or contract providers.

Since 2000, DPCA has overseen local probation departments' implementation of evidence based assessment, case planning, and reassessment through use of the YASI risk and needs instrument. Use of these evidence based practices have provided better services to youth and families and have resulted in more PINS cases being diverted from the Family Court system-thus reducing court costs and reliance and costs associated with detention and out of home placements. Placement of a youth outside the home generally costs \$100,000 or more per year. DPCA has recently revised the PINS Intake Rule to incorporate evidence based practice. The new rule will come effective October 1, 2008.

Issues:

As of January 2008, 36 county probation departments provide intake services for PINS cases. Additionally, 7 counties where LDSS is the lead agency contract with probation to provide intake services for PINS, for a total of 43 county probation departments providing PINS intake services in NYS. In the remaining 15 counties, PINS are handled by LDSS. This results in inconsistent statewide data collection for PINS.

Population Served:

Youth less than 18 years of age, as defined by FCA Section 712 (a).

Performance Measures:

Per the current DPCA Probation Workload System the following are the data collected for NEW PINS cases entering the juvenile probation system during calendar year 2007: Number of PINS intakes opened= 11,363; Number of PINS cases Referred to Petition Immediately= 1,499; Number of PINS cases Adjusted/successfully diverted from Family Court= 5,375; Number of PINS cases Terminated Without Adjustment and Referred to Petition= 1,513; Number of PINS Pre-Dispositional Reports completed= 1,941; Number of PINS cases receiving Pre Dispositional Supervision= 1,015; Number of PINS cases placed on Probation Supervision= 1,414. If 20% of the new PINS cases placed on probation supervision were to fail and be placed out-of-home at a cost of \$100,000, that would translate into a total cost of \$28,300,000. Effective, successful probation supervision is a cost effective solution to resolve PINS behavior.

## NYS Division of Probation and Correctional Alternatives (DPCA)

## PROGRAM INFORMATION SHEET

**Program:** Budget and Fiscal Services**Mandate:** Executive Law §§ 243, 246, Article 13A, Section 265-266, Chapter 50 of the Laws of 2008, 9nycrr Part 345**Mandated Funding Level:** None.

Budget appropriations are in place for DPCA's Local Assistance core programs which include Probation Aid, ISP, ESSO, PED, ATI Demo, ATI Classification, ATI Drug & Alcohol, PED, TANF - 200% of Poverty, Shared Services, GPS and DNA Collection. Program oversight/management is funded under State Operations.

**Brief Description/History/Background:**

## APPLICATION REVIEWS

--Review applications annually for all local assistance appropriations:

Probation Aid – 58 Applications

ISP – 39 Applications

J-RISC – 7 Applications

ATI Classification and Drug/Alcohol – 57 Applications

ATI Demonstration - 36 Applications, Shared Services/MH - 5 Applications, TANF/200% of Poverty & SATSO - 21 Applications

PED – 20 Applications

GPS – 5 Applications

Community Projects/Member Items – 11 Applications

## BUDGET PREPARATION

--Communicate with local Probation Departments and ATI programs regarding applications and final budget figures

--Meet with DPCA staff to coordinate final approvals

--Prepare annual budgets for all Local Assistance and State Operations appropriations

## ALLOCATIONS

--Prepare spreadsheets summarizing all applications by appropriation and develop projected allocations for each program, pending approval of the Director of Financial Administration

--Notify all service providers annually of allocation amounts for all funding sources

## TRACKING

--Set up a tracking log annually to track the status/progress of budget approvals, contract encumbrances and receipt of all quarterly claims and payments under Local Assistance and monthly tracking of expenditures under State Operations

## CONTRACTS/GRANTS MANAGEMENT

--Oversee all Local Assistance contracts and Federal grants management including applications, allocations, payments, and required reporting

## AUDIT

--Audit claims against specific criteria developed for each local assistance appropriation and make appropriate adjustments as necessary. Continually keep apprised of changes to agency rules and regulations regarding reimbursement and apply these standards to all claims.

--Record/enter audit information into individual computer files to monitor expenditures against allocations

--On-going dialogue with DPCA program operations staff regarding milestones, performance-based contracts and claims

## LIAISON TO LOCAL DEPARTMENTS/PROGRAMS

--On-going communication with departments and programs regarding budget, contract, audit and voucher problems and payments

--Provide technical assistance to service providers regarding reimbursement issues and claim preparation

## OUTSIDE COMMUNICATION

OSC - On-going communication with OSC regarding contract entry and voucher payment assistance

DCJS - Respond to requests from DCJS regarding funding for specific counties related to the Crime Trends meetings

DOB - Respond to requests from DOB regarding funding allocations, Financial Management Plans, appropriation issues

NYS Legislature - Respond to requests from the Legislature on Legislative Initiative funding

**Issues:**

Limited staff performing the duties within this Unit - 6 staff members with an estimated cost of \$346,000 for 2008-09

**Population Served:**

Services provided to NYS probationers

**Performance Measures:**

Timely submission of contracts and voucher/claim payments; performance-base contracting; tracking program milestone achievements based on Agency requirements and contractual agreements; timely submission of all budget related reporting

## NYS Division of Probation and Correctional Alternatives (DPCA)

## PROGRAM INFORMATION SHEET

**Program:** Legal / Legislation

**Mandate:** None.

**Mandated Funding Level:** None.

**Brief Description/History/Background:**

The Executive Chamber annually requests that each state agency's Counsel's Office submit departmental and budget legislative ideas, review relevant legislative proposals of other state agencies, and analyze, comment, and make recommendations on numerous articles of legislation before the Executive Chamber for final gubernatorial action. DPCA Counsel's Office solicits ideas from the State Probation Commission, constituent agencies, professional associations, and DPCA staff, drafts and finalizes departmental legislation, monitors specific legislation before both houses, serves as legislative liaison/advocate, and communicates DPCA's position on legislative measures. Additionally, Counsel's Office provides an annual summary of new laws and where necessitated prepares legal memoranda as to certain new laws of interest.

**Issues:**

Volume of activities dependent upon agency needs, number of agency legislative proposals, bills introduced which are of interest to DPCA which need to be tracked, issues associated with particular legislation that may necessitate meetings with legislative staff and amendments, number of requests for agency position sought by Executive Chamber, and content of new laws which may need DPCA memoranda to explain and implement.

**Population Served:**

DPCA, probation departments, correctional alternative programs, State Probation Commission, and professional associations.

**Performance Measures:**

Timely submission of proposals and comments and timely distribution of memoranda, Chapter Laws (legislation enacted into law). Three new laws enacted during SFY 2007/08.

**NYS Division of Probation and Correctional Alternatives  
PROGRAM INFORMATION SHEET**

**Program:** Certified Probation Officer Training

**Mandate:**

Article 12 Section 245 - DPCA shall conduct training programs for city, county and state probation personnel. CPL 2.30 - Peace Officers (Probation Officers) require 35 hours of Peace Officer Training. Title 9 NYCRR Subtitle H Part 346.5 - New Probation Officers shall complete a basic training program of a minimum of 70 hours.

**Mandated Funding Level:**

No set mandated amount of funding. This training has been supported by a Juvenile Justice grant in the amount of \$100,000.

**Brief Description/History/Background:**

DPCA provides for the training of all newly hired probation officers. An evidenced based curriculum has been developed and it is delivered in a 70 hour training. This curriculum was recently accredited by the American Probation and Parole Association. The majority of probation officers are trained in Albany directly by DPCA staff. There are 5 counties in the state that conduct their own basic training but this must be certified by DPCA. These counties must utilize the state curriculum and instructors need to be trained by DPCA. Portions of the training conducted in these localities is observed and approved by DPCA staff. According to the legal mandates cited above, DPCA has historically provided for the basic training of new probation officers.

In the 1970's and 1980's DPCA had a training academy with approximately 5 staff. Over the intervening years, the staff dedicated to this function has decreased to the point where there is currently only two staff assigned to this function. Support is received from other DPCA employees and contractors for the actual training. Even with the reduction in staff, DPCA has always provided for the training of new probation officers. Over the years, as time and staff availability has permitted, training in various topics has also been provided for more experienced officers.

**Issues:**

County probation departments are seeing considerable attrition within their departments making it necessary to hire new staff. There is an ongoing need for new probation officers to receive this basic probation training as well as the peace officer training.

**Population Served:**

County Probation Departments - specifically the new probation officers hired within the department. In 2007, DPCA will have directly trained 89 new officers in Fundamentals of Probation Practice and 85 in the Basic Training for Peace Officers. In addition, we will have provided support and oversight for the training of approximately 50 officers trained in the Fundamentals of Probation Practice training delivered in the 5 localities.

**Performance Measures:**

The main objective of this training is for new employees to acquire the knowledge and skills to perform their jobs as probation officers. To assess whether or not we accomplish this objective, we administer a pre-test on the first day of class and follow up with a post test at the end of the training to measure the degree of learning. Exercises undertaken throughout the training give the participants an opportunity to demonstrate their skill acquisition. DPCA training staff also do follow-up contacts with home departments to determine if there has been a transfer of learning to the field. Evaluations are completed for each of the more than 20 learning modules.

## NYS Division of Probation and Correctional Alternatives

## PROGRAM INFORMATION SHEET

**Program:** Traffic Safety and Probation

**Mandate:** NYS Executive Law Section 243 and Section 257(4)

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

This program area is funded by a grant from the Governor's Traffic Safety Committee and has been in existence since 2004. Although probationers constitute a small percentage of New York's general population (0.007%), 13% (200 of 1,500) of fatal crashes in New York State over each of the past several years involved persons known to probation authorities. NYS probation departments supervise nearly 26,000 persons convicted of DWI offenses. DPCA assists local departments in effectively supervising these offenders by: working with vendors, probation officers, and magistrates to expand the number of Ignition Interlock installation centers available; providing information in regards to new laws and alcohol abuse assessment instruments; encouraging the use of the data bases and services (eg. the License Event Notification System) available from NYS Department of Motor Vehicles; encouraging participation in the pilot use of License Plate Readers in the performance of probation duties; and encouraging use of other technological advances to monitor DWI offenders.

**Issues:**

**Population Served:**

58 probation departments

**Performance Measures:**

Currently there are 46 counties enrolled in LENS. Six counties are participating in the License Plate Reader Pilot Program. In less than 2 years, New York State has gone from 21 ignition interlock vendors/installers to 101 as of July 31, 2008. There are 15 counties in the state with no established vendor/installers within the county, however a vendor/installer is no more than 50 miles from these counties.



## NYS Division of Probation and Correctional Alternatives

## PROGRAM INFORMATION SHEET

**Program:** Probation Automated Case Management System - Caseload Explorer

**Mandate:** NYS Executive Law Section 243

**Mandated Funding Level:**

None

**Brief Description/History/Background**

DPCA, in collaboration with DCJS, several local probation departments and the vendor (AutoMon, Inc.) has led the way in the development of a state-of-the-art case management system (Caseload Explorer) that has potential to become the singular case management system for all NYS probation departments. With version 3.11 being released this August, Caseload Explorer will: offer a complete case management and reporting solution encompassing all probation functions; provide user-transparent and real-time updating of the Integrated Probation Registrant System (IPRS); and provide an integration platform for DPCA's primary Risk/Need Assessment instruments (YASI and COMPAS). It is anticipated that by the end of CY2008, 44 of the 57 departments will be using this software that was developed using web-based technologies.

**Issues:**

Statewide compatibility with all departments will not be immediately possible due to some departments having invested heavily in other case management software. Interfaces with state databases will need to be developed.

**Population Served:**

Forty four probation departments.

**Performance Measures:**

Initial performance measures related to this effort were related to successful completion and delivery of the software. Now that the software is complete and delivery is imminent this month and following, DPCA will work with counties to develop new performance measures related to local probation practice that can be automated. DPCA does receive federal Byrne monies, via DCJS, to provide user training and software customizations. Some counties have also received federal Byrne grants to purchase and implement this system.

## NYS Division of Probation and Correctional Alternatives

## PROGRAM INFORMATION SHEET

**Program:** COMPAS Risk / Need Assessment

**Mandate:**

DPCA requires that an approved Risk/Need assessment be done on each probationer at the beginning of sentence, and a case review assessment every 6 months.

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

COMPAS is a web-based assessment instrument designed to indicate risk of recidivism, violence, and failure to appear so as to assist in probation classification decisions. Additionally, the full instrument provides 19 scales indicating the degree to which those 19 criminogenic needs manifest in an offender's life. This tool allows the probation officer to objectively determine which needs should be addressed, by way of services and cognitive/behavioral interventions, so as to reduce overall risk. The current COMPAS was the result of a workgroup of New York probation practitioners convened to develop, with the assistance of the vendor (Northpointe, Inc.) a research-based instrument. On August 13, 2008, the COMPAS software became available to all probation users on DCJS-based servers in the Integrated Justice Portal. Eventually, this information will be available to NYS Parole and NYS DOCS in furtherance of the Re-Entry initiative. This project promotes efficiency in resource allocation and enhanced public safety. Using this objective assessment protocol, probation officers can direct resources to the higher risk offenders that need them the most.

**Issues:**

Normed on a NY probationer population, and internally validated, outcome validation research is budgeted for and contemplated to begin in 2008. The New York Probation COMPAS was migrated to the DCJS supported platform - New York Offender Assessment Data Sharing (NOADS) Initiative on August 13, 2008. This platform will be home to the Parole ReEntry COMPAS and will facilitate data sharing and offender re-entry in New York State.

**Population Served:**

58 probation departments providing supervision services to approximately 129,000 active adult supervision cases and over 120,000 investigations per year.

**Performance Measures:**

From April 2007 to present, the number of probation officers utilizing the web-based COMPAS has climbed to 1,794 and the number of offenders assessed has climbed to 40,037.

## NYS Division of Probation and Correctional Alternatives (DPCA)

## PROGRAM INFORMATION SHEET

**Program:** Executive Staff/Administration - Not a program.

**Mandate:** New York State Executive Law Section 242 and 243

**Mandated Funding Level:** None.

**Brief Description/History/Background:**

The Division of Probation and Correctional Alternatives was created in April of 1985. NYS Executive Law Sections 242 and 243 state the Director shall exercise general supervision over the administration of probation services throughout the State, including probation in family courts and shall collect statistical and other information and make recommendations regarding the administration of probation services in the courts. Also, the Director shall exercise general supervision over the utilization of correctional alternative programs throughout the state. Under Article 13A of the Executive Law, the Director shall exercise general supervision over the administration and implementation of alternatives to incarceration service plans.

Leadership staff includes a State Director and an Executive Deputy Director. The Director, by statute, functions as Chairman of the State Probation Commission. The Director, by statute, functions as Chairman of the State Probation Commission. The Probation Commission continues to advise the Director on all matters affecting probation statewide. Both the Director and the Executive Deputy Director serve on the Executive Committee, along with the Director of Fiscal Administration and the Agency Counsel and have a wide range of responsibilities including the oversight, supervision and coordination of the activities of the Bureau Directors, the development of legislation in conjunction with the Counsel, supervising the Probation Practices Review Officers and related investigative activities. They are also responsible for the development of agency programs, policies, and priorities, and serves as liaisons to the Executive Chamber, Appointments Office, State Legislatures, executive staff from other agencies, including Federal agencies.

**Issues:**

The volume of activity depends on agency needs. The Executive Chamber annually requests that each state agency's Counsel's Office submit departmental and budget legislative ideas, review relevant legislative proposals of other state agencies, and analyze, comment, and make recommendations on numerous articles of legislation before the Executive Chamber for final gubernatorial action. The Executive staff will assist and work with Counsel's Office to solicit ideas from the State Probation Commission, constituent agencies, professional associations, and DPCA staff. They also review drafts and final departmental legislation. Additionally, Executive staff are responsible for reviewing annual summary of new laws and when needed will assist in developing legal memoranda as to certain new laws of interest.

**Population Served:**

DPCA, Probation Departments, Correctional Alternative programs, State Probation Commission, and professional associations.

**Performance Measures:**

Budget Compliance and Administration, Reduction of Probationer and Offender Recidivism, Offender Employment Rates, Program and Contract Compliance, Compliance with Provisions of Prompt Contracting, Ensuring Regulatory Compliance by Probation Departments, State's Compliance with the requirements of the Interstate Compact for Adult Offender Supervision (ICAOS), Regulation and Rule Making compliance with GORR, Legislative Initiatives-proposed and implementation of new laws.

## NYS Division of Probation and Correctional Alternatives (DPCA)

## PROGRAM INFORMATION SHEET

**Program:** Alternatives to Incarceration (ATI)- **Demonstration Projects - Funding 28 Programs**

**Mandate:** NYS Executive Law Article 12 and Chapter 50 of the Laws of 2008

The director of DPCA shall exercise general supervision over the utilization of correctional alternative programs throughout NYS and as stated in Article 13A DPCA shall administer funding for ATI programs in New York State to assist the court, public officers or others in identifying and avoiding the inappropriate use of incarceration.

**Mandated Funding Level:**

No Mandated Funding Level                      2008-09 Aid to Localities - \$5,582,000 Appropriation

**Brief Description/History/Background:**

DPCA administers the funding for over 200 ATI programs that reduce recidivism, promote public safety, and enhance offender accountability. Twenty-eight (28) of these programs fall within the above named funding category. These programs serve Criminal and Supreme Court defendants from both the general and special populations including felony offenders, persistent misdemeanor offenders, juvenile offenders, youth between the ages of 16 and 19, women, substance abusers, and the mentally ill. The service providers offer a range of general to more specialized ATI services that are responsive to the needs of the targeted populations, including substance abuse services, family-oriented services, vocational and educational services, mental health services, medical-related services, gender-specific services and services related to housing issues. Types of programs supported by this funding stream include: Pretrial Services, Defender Based Advocacy Services, Community Service, and Treatment Alternatives for Safer Communities (TASC).

**Issues:**

Prison and jail overcrowding have been persistent costly national problems. California and Texas have over 170,000 and 135,000 state prison inmates, compared to New York's 62,000. Part of the solution to maintaining lower state prison numbers in comparison to other large states is the success of the network of over 200 Alternative to Incarceration Programs in reducing incarceration in a manner consistent with public safety. DPCA understands that public confidence in these alternative programs is essential to their success and has taken steps to ensure such confidence.

All ATI programs are now performance based contracts and are funded upon approval of an annual service plan. Over the last two years, to ensure the integrity of DPCA funded programs, DPCA implemented a three-part Quality Assurance Process. The first part entails a quarterly review of recidivism data. The second part of the Quality Assurance Process is the regular and timely review of all quarterly program reports. Upon review of these quarterly reports, DPCA staff work with programs when there is an identified need. The third part of the Quality Assurance Process is the review of randomly selected case files. Those case files are selected from the Fiscal Cost Reports, Detailed Itemization for Performance Based Contracting (DPCA-3264) or the ATI Tracking Log provided to DPCA by a funded program.

**Population Served:**

During calendar year 2007, the 28 programs funded within this category successfully provided alternatives to felony offenders, persistent misdemeanor offenders, juvenile offenders, youth between the ages of 16 and 19, women, substance abusers, and the mentally ill, in order to reduce or eliminate their incarceration in prison and jails.

**Performance Measures:**

All ATI programs are required to file Quarterly Performance Reports and these reports are tracked to determine the ongoing progress of the programs. The following performance measures represent the aggregate performance of each program type during the year 2007. Where appropriate, recidivism data on ATI Programs is also tracked.

Pre-trial Services- 29,803 offenders released from jail through DPCA funded Pre-trial Programs.

Defender Based Advocacy- These programs prepare sentencing plans for the court that include non-incarcerative sanctions. DPCA tracks the number of plans prepared and the number of plans accepted. In 2007, there were 3,269 plans prepared and 2,752 plans accepted. This represents an 84% acceptance rate.

Community Service- In 2007, 4,942 offenders satisfactorily completed community service as an alternative to incarceration. This represents an 87.5% successful completion rate.

Treatment Alternatives for A Safer Community (TASC)- 2,298 offenders successfully completed TASC programs for an overall success rate of 79%.

In total, all 200 DPCA funded programs successfully provided alternatives for approximately 60,000 offenders/defendants in 2007. A portion of these offenders would have ended up in prison at a cost of \$34,000 per year per inmate and the remainder would have occupied limited jail space at similar expense. These programs continue to provide great savings to both the state and localities in New York while maintaining public safety.

## NYS Division of Probation and Correctional Alternatives (DPCA)

## PROGRAM INFORMATION SHEET

<b>Program:</b>	Alternatives to Incarceration (ATI)- <b>Classification - Funding 94 Programs</b>						
<b>Mandate:</b>	NYS Executive Law Article 13A and Chapter 50 of the Laws of 2008						
<b>Mandated Funding Level:</b>	No Mandated Funding Level 2008-09 Aid to Localities - \$4,432,000 Appropriation						
<b>Brief Description/History/Background:</b>	DPCA administers the funding for over 200 ATI programs that reduce recidivism, promote public safety, and enhance offender accountability. Ninety-four (94) of these programs fall within the above named funding category. These programs serve Criminal and Supreme Court defendants from both the general and special populations including felony offenders, persistent misdemeanor offenders, juvenile offenders, youth between the ages of 16 and 19, women, substance abusers, and the mentally ill. The service providers offer a range of general to more specialized ATI services that are responsive to the needs of the targeted populations, including substance abuse services, family-oriented services, vocational and educational services, mental health services, medical-related services, gender-specific services and services related to housing issues. Types of programs supported by this funding stream include: Pretrial Services, Defender Based Advocacy Services, Community Service, and Specialized and Drug/Alcohol Services.						
<b>Issues:</b>	Prison and jail overcrowding have been persistent costly national problems. California and Texas have over 170,000 and 135,000 state prison inmates, compared to New York's 62,000. Part of the solution to maintaining lower state prison numbers in comparison to other large states is the success of the network of over 200 Alternative to Incarceration Programs in reducing incarceration in a manner consistent with public safety. DPCA understands that public confidence in these alternative programs is essential to their success and has taken steps to ensure such confidence. All ATI programs are now performance based contracts and are funded upon approval of an annual service plan. Over the last two years, to ensure the integrity of DPCA funded programs, DPCA implemented a three-part Quality Assurance Process. The first part entails a quarterly review of recidivism data. The second part of the Quality Assurance Process is the regular and timely review of all quarterly program reports. Upon review of these quarterly reports, DPCA staff work with programs when there is an identified need. The third part of the Quality Assurance Process is the review of randomly selected case files. Those case files are selected from the Fiscal Cost Reports, Detailed Itemization for Performance Based Contracting (DPCA-3264) or the ATI Tracking Log provided to DPCA by a funded program.						
<b>Population Served:</b>	During calendar year 2007, the 94 programs funded within this category successfully provided alternatives to felony offenders, persistent misdemeanor offenders, juvenile offenders, youth between the ages of 16 and 19, women, substance abusers, and the mentally ill in order to reduce or eliminate their incarceration in prison and jails.						
<b>Performance Measures:</b>	All ATI programs are required to file Quarterly Performance Reports and these reports are tracked to determine the ongoing progress of the programs. The following performance measures represent the aggregate performance of each program type during the year 2007. Where appropriate, recidivism data on ATI Programs is also tracked. Pre-trial Services- 29,803 offenders released from jail through DPCA funded Pre-trial Programs. Defender Based Advocacy- These programs prepare sentencing plans for the court that include non-incarcerative sanctions. DPCA tracks the number of plans prepared and the number of plans accepted. In 2007, there were 3,269 plans prepared and 2,752 plans accepted. This represents an 84% acceptance rate. Community Service- In 2007, 4,942 offenders satisfactorily completed community service as an alternative to incarceration. This represents an 87.5% successful completion rate. Specialized Drug/Alcohol Treatment Programs- 9,462 offenders successfully completed Specialized Alcohol/Drug Treatment programs for an overall successful completion rate of 67%. In total, all 200 DPCA funded programs successfully provided alternatives for over 60,000 offenders/defendants in 2007. A portion of these offenders would have ended up in prison at a cost of \$34,000 per year per inmate and the remainder would have occupied limited jail space at similar expense. These programs continue to provide great savings to both the state and localities in New York while maintaining public safety.						

## NYS Division of Probation and Correctional Alternatives (DPCA)

## PROGRAM INFORMATION SHEET

<b>Program:</b>	Alternatives to Incarceration (ATI)- <b>Drug and Alcohol - Funding 17 Programs</b>
<b>Mandate:</b>	NYS Executive Law Article 12 and Chapter 50 of the Laws of 2008
The director of DPCA shall exercise general supervision over the utilization of correctional alternative programs throughout NYS and as stated in Article 13A DPCA shall administer funding for ATI programs in New York State to assist the court, public officers or others in identifying and avoiding the inappropriate use of incarceration.	
<b>Mandated Funding Level:</b>	
No Mandated Funding Level	2008-09 Aid to Localities - \$2,562,000 Appropriation
<b>Brief Description/History/Background:</b>	
DPCA administers the funding for over 200 ATI programs that reduce recidivism, promote public safety, and enhance offender accountability. Seventeen (17) of these programs fall within the above named funding category. These programs serve Criminal and Supreme Court defendants from both the general and special populations including felony offenders, persistent misdemeanor offenders, juvenile offenders, youth between the ages of 16 and 19, women, substance abusers, and the mentally ill. The service providers offer a range of general to more specialized ATI services that are responsive to the needs of the targeted populations, including substance abuse services, family-oriented services, vocational and educational services, mental health services, medical-related services, gender-specific services and services related to housing issues. Types of programs supported by this funding stream include: Pretrial Services, Defender Based Advocacy Services, Specialized and Drug/Alcohol Services, and Treatment Alternatives for Safer Communities (TASC).	
<b>Issues:</b>	
Prison and jail overcrowding have been persistent costly national problems. California and Texas have over 170,000 and 135,000 state prison inmates, compared to New York's 62,000. Part of the solution to maintaining lower state prison numbers in comparison to other large states is the success of the network of over 200 Alternative to Incarceration Programs in reducing incarceration in a manner consistent with public safety. DPCA understands that public confidence in these alternative programs is essential to their success and has taken steps to ensure such confidence.	
All ATI programs are now performance based contracts and are funded upon approval of an annual service plan. Over the last two years, to ensure the integrity of DPCA funded programs, DPCA implemented a three-part Quality Assurance Process. The first part entails a quarterly review of recidivism data. The second part of the Quality Assurance Process is the regular and timely review of all quarterly program reports. Upon review of these quarterly reports, DPCA staff work with programs when there is an identified need. The third part of the Quality Assurance Process is the review of randomly selected case files. Those case files are selected from the Fiscal Cost Reports, Detailed Itemization for Performance Based Contracting (DPCA-3264) or the ATI Tracking Log provided to DPCA by a funded program.	
<b>Population Served:</b>	
During calendar year 2007, the 17 programs funded within this category provided services to felony offenders, persistent misdemeanor offenders, juvenile offenders, youth between the ages of 16 and 19, women, substance abusers, and the mentally ill in order to reduce or eliminate their incarceration in prison and jails.	
<b>Performance Measures:</b>	
All ATI Programs are required to file Quarterly Performance Reports and these reports are tracked to determine the ongoing progress of the programs. The following performance measures represent the aggregate performance of each program type during the year 2007. Where appropriate, recidivism data on ATI Programs is also tracked.	
Pre-trial Services- 29,803 offenders released from jail through DPCA funded Pre-trial Programs	
Defender Based Advocacy- These programs prepare sentencing plans for the court that include non-incarcerative sanctions. DPCA tracks the number of plans prepared and the number of plans accepted. In 2007, there were 3,269 plans prepared and 2,752 plans accepted. This represents an 84% acceptance rate.	
Specialized Drug/Alcohol Treatment Programs- 9,462 offenders successfully completed Specialized Alcohol/Drug Treatment programs for an overall successful completion rate of 67%.	
Treatment Alternatives for A Safer Community (TASC)- 2,298 offenders successfully completed TASC programs for an overall success rate of 79%.	
In total, all 200 DPCA funded programs provided successful alternatives to over 60,000 offenders in 2007. A portion of these offenders would have ended up in prison at a cost of \$34,000 per year per inmate and the remainder would have occupied limited jail space at similar expense. These programs continue to provide great savings to both the state and localities in New York while maintaining public safety.	

## NYS DIVISION OF PROBATION AND CORRECTIONAL ALTERNATIVES

## PROGRAM INFORMATION SHEET

**Program:** Services for a Shared Population: Defendants and Offenders with Mental Illness

**Mandate:**

Article 12, Section 243 and 245 of NYS Exec. Law, Chapter 50 of the NYS Laws of 2008

**Mandated Funding Level:**

No Mandated Funding Level 2008-2009 Appropriation \$544,000 (not including 007 funding)

**Brief Description/History/Background:**

The work that DPCA accomplishes with this population through issuance of specialized contracts and provision of technical assistance to both probation departments and ATI's is guided by an interagency advisory Shared Services Committee. A key component of this strategy is Project CONNECT implemented with NYS OMH to facilitate improved collaboration in counties among local agencies. In 2001-2002, DPCA first issued from an RFP solicitation, two contracts in NYC: one to the Bronx County Court TASC team for diversion of defendants with felony charges and a second to CASES to provide to NYC a dedicated forensic ACT team. The Bureau of Justice Assistance has subsequently recognized the Bronx Mental Health Court as one of five mental health court learning sites nationally and DPCA awarded a contract in 2007 to extend the model to the Queens County Felony Mental Health Court. In addition, five county contracts for \$50,00 each are awarded to probation departments to provide for the co-location in probation departments, or readily available to the departments, of mental health personnel.

**Issues:**

This program addresses the inefficient recycling of individuals who are seriously mentally ill and with co-occurring substance use disorders through a revolving door into the criminal justice system. Without appropriate treatment and supports, a population that need not be more dangerous than the general public can pose a serious threat to public safety. Governor Paterson and Mayor Bloomberg convened this spring a NYS/NYC Mental Health - Criminal Justice panel to address several, highly publicized violent incidents that occurred in NYC. DPCA contributed substantially to this panel and to the June report that states that, "Research does suggest ... that the risk of violence is significantly increased among individuals with mental illness who do not receive adequate mental health care, and considerably more so among those individuals with co-occurring mental health and substance use disorders." Limited resources provided to Probation and ATI's and guidance through project CONNECT as to the effective use of existing resources can significantly improve the outcomes and reduce unnecessary recycling through criminal justice including expensive incarceration while addressing public safety.

**Population Served:**

Adults under-criminal justice supervision who are seriously mentally ill as defined by an Axis I diagnosis. The majority of this population under criminal justice supervision exhibits a co-occurring substance abuse disorder.

**Performance Measures:**

2007: 319 participants enrolled in programs funded or partially funded by contracts. 156 successful completions. Completions included such criteria as treatment/medication compliance for specified period in program enrollment, remaining clean and sober, and employment or other community activities including peer-run activities. Sixteen counties have participated in Project CONNECT with an additional five scheduled to start in September.

## NYS DIVISION OF PROBATION AND CORRECTIONAL ALTERNATIVES

## PROGRAM INFORMATION SHEET

**Program:** TANF 200 Percent of Poverty

**Mandate:**

Article 12, Section 243 and 245 of NYS Exec. Law, Chapter 50 of the NYS Laws of 2008

**Mandated Funding Level:**

No Mandated Funding Level

2008-09 Aid to Localities - \$3,920,000 Appropriation

**Brief Description/History/Background:**

Initiated by a suballocation of Federal TANF funding from NYS OTDA to DPCA for Alternatives to Incarceration in SFY '99-'00 to improve family stability and self sufficiency by working with custodial and non-custodial parents under criminal justice supervision. DPCA issued several RFP's and awarded contracts to Community Based Organizations and probation department proposals to address the federally established purposes of TANF, namely, increasing participants' employment and achieving family reunification where obtainable. DPCA leveraged this emphasis on employment with implementation of Employment Matters training for probation officers in collaboration with NYS DOL and recently with the National Institute of Corrections to offer Offender Workforce Development Specialist training to equip probation officers and ATI staff to provide the necessary preparation for individuals under their supervision to utilize local One Stops and otherwise obtain employment and meet familial obligations including the payment of child support. (State funding provided in SFY '08-'09 in DPCA's budget appropriations.)

**Issues:**

Employment of many individuals under criminal justice supervision is not readily achieved due to lack of formal work histories, poor educational attainment and anti-social behavior. Per 2008 annual probation plans, probationer employment statewide is 65%. Employment and connection with families by addressing child support and teaching parenting skills, in addition to cognitive behavioral programming, is recognized as the most cost effective strategy for enhancing public safety by improving community ties and reducing recidivism without increased costly state and local incarceration. Preparation to answer employers' questions about criminal histories and otherwise obtain job readiness is required to utilize employment resources successfully.

**Population Served:**

Adults under criminal justice supervision who are the custodial or non-custodial parents of minor children or the adult relative primary caretakers or expectant mothers.

**Performance Measures:**

SFY '07-'08: 953 jobs obtained by participants. 261 child support orders initiated or resumed. 81 foster care placements reversed/avoided -- representing savings of \$2,187,000 at \$27,000/yr. for non-special needs placement, in addition to dollars generated through jobs and child support payments. These savings are often recurring. These results were accomplished by working with 1,717 project participants enrolled who were the parents of 2,924 children.



NYS DIVISION OF PROBATION AND CORRECTIONAL ALTERNATIVES  
PROGRAM INFORMATION SHEET

**Program:** Pathways to Employment

**Mandate:** Executive Law §§ 243, 245,257(4)

None

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

Pathways to Employment (PTE) began in 2003 as a DPCA collaboration with NYS Department Of Labor (DOL) to train probation officers in issues affecting probationer employment. Over 400 probation officers attended this initial training. In 2005 DPCA sent a team to an intensive 3 week out-of-state Offender Workforce Development Specialist (OWDS) training sponsored by the National Institute of Corrections (NIC). The 180 hour training not only required three weeks of in-class attendance, but many hours of homework and rigorous practicum activities to be completed and submitted between class weeks. Employment Matters (EM) training grew out of the NIC training.

While PTE focused on employer incentives and legal issues offenders face in seeking and retaining employment, the NIC training focused more broadly on all aspects of Offender Employment. Thus, EM evolved from the initial PTE and subsequent NIC training as a more complete training for POs on Offender Employment. The second phase of PTE is Ready, Set, Work! (RSW!), a 20-hour job readiness curriculum developed by the DPCA OWDS team for probationers. OWDS- trained POs are expected to return to their departments and implement the RSW! curriculum.

DPCA received a \$25,000 grant from NIC to hold this OWDS training in-state. In June of 2008, DPCA in collaboration with NYS DOL, probation departments with OWDS-Instructors, and the National Institute of Corrections, graduated its first OWDS class, equipping 24 probation officers and ATI staff to provide offender employment training to individuals under their supervision. DPCA has requested that all probation departments with OWDS trained officers conduct RSW! groups by November 2008, with a long term goal of having RSW! groups running in every county throughout the state. This includes utilizing local "One-Stops" to help facilitate offender employment. (State funding provided in SFY '08-'09 in DPCA's budget appropriations.)

**Issues:**

Employment of individuals under criminal justice supervision is not readily achieved due to lack of formal work histories, poor educational attainment and anti-social behavior. As reported in the 2008 annual probation plans, probationer employment statewide is now 65%. Employment and connection with families by addressing child support, teaching parenting skills is recognized as the most cost effective strategy for enhancing public safety. Utilizing cognitive behavior treatment programs, we can improve community ties and reduce recidivism without increased costly state and local incarceration. Preparing offenders to answer employers' questions about criminal histories and otherwise obtain job readiness is required to utilize employment resources successfully.

**Population Served:**

Unemployed and under employed adults under criminal justice supervision.

**Performance Measures:**

Increased employment for probationers as shown on Probation Annual Plan attachment G. The following chart indicates the percentage of probationers employed based on data reported by Probation Departments as part of their Annual Plan.

Employment Rate	# of Counties	
	2006	2007
<50%	13	0
50-59%	22	5
60-69%	9	17
70+%	12	36

## NYS Division of Probation and Correctional Alternatives (DPCA)

## PROGRAM INFORMATION SHEET

**Program:** Interstate Compact Unit

**Mandate:**

Executive Law Section 259-mm and Part 359 of NYS DPCA Rules and Regulations (see also [www.interstatecompact.org](http://www.interstatecompact.org)). The Governor of the State of New York is signatory to the Interstate Compact for Adult Offender Supervision (ICAOS) Compact. ICAOS rules and procedures have the force and effect of Federal Law. All interstate transfers of probation supervision shall be in accordance with the provisions of the interstate compact for the supervision of parolees and probationers, the juvenile compact, any other governing compact, and applicable rules, regulation and procedures as adopted by the State compact administrator for such compacts with reference to the transfers of probation supervision. The rules governing the interstate transfer of probationers are found within Article V and Article VIII of the Interstate Compact on Adult Offender Supervision. All state officials and state courts are required to effectuate the terms of the compact and ensure compliance with these rules.

**Mandated Funding Level:** None

**Brief Description/History/Background:**

The NYS Division of Probation and Correctional Alternatives' (DPCA) Interstate Compact Unit manages the movement of nearly 5,000 adult and juvenile probationers into and out of New York State each year with a limited staff of 9. The Unit maintains continuous and uninterrupted supervision in the interest of public safety. DPCA's Interstate Compact Unit processes transfer of probation supervision requests and related correspondence, monitors transfer activities as necessary, provides technical assistance to local probation staff in New York State, and serves as the liaison between our local jurisdictions and other State Compact Offices. Special attention is focused on more serious transfers such as sex offenders, domestic violence cases, violent felons, high profile and child victim cases.

**Issues:**

DPCA, charged with the oversight of New York State Probation's role in the Interstate Compact, is required to comply with the implementation of the National Interstate Compact Offender Tracking System. ICAOS, in an effort to standardize the interstate process throughout the country and to reduce if not eliminate the need for paper, has mandated that every state will contribute case data to a national database, using a web based application known as ICOTS to process these interstate cases. The transfer of New York State Probation Interstate data, currently housed in the Interstate Compact Tracking System (ITS), to the national database, ICOTS, is scheduled to occur in October 2008. The cases being uploaded are outgoing, accepted and active adult cases.

**Population Served:**

As of this date, there are 3,335 currently accepted Incoming Cases and 2,541 currently accepted Outgoing cases. During 2007, 184 of these cases were sex offenders and 137 were domestic violence offenders.

**Performance Measures:**

DPCA maintains a monthly indicator of cases - "Monthly Crimestat" - which provides monthly data regarding incoming, outgoing and pending cases and the subsequent adherence to federally mandated time frames.

## NYS Division of Probation and Correctional Alternatives (DPCA)

## PROGRAM INFORMATION SHEET

**Program:** Alternatives to Incarceration (ATI)- Community Projects (Member Item) - Funding 11 Programs

**Mandate:** NYS Executive Law Article 12 and Chapter 50 of the Laws of 2008

The director of DPCA shall exercise general supervision over the utilization of correctional alternative programs throughout NYS and as stated in Article 13A DPCA shall administer funding for ATI programs in New York State to assist the court, public officers or others in identifying and avoiding the inappropriate use of incarceration.

**Mandated Funding Level:**

No Mandated Funding Level      2008-09 Community Projects - \$1,594,631 Appropriation

**Brief Description/History/Background:**

DPCA administers the funding for over 200 ATI programs that reduce recidivism, promote public safety, and enhance offender accountability. Eleven (11) of these programs fall within the above named funding category. These programs serve Criminal and Supreme Court defendants from both the general and special populations including felony offenders, persistent misdemeanor offenders, juvenile offenders, youth between the ages of 16 and 19, women, substance abusers, and the mentally ill. The service providers offer a range of general to more specialized ATI services that are responsive to the needs of the targeted populations, including substance abuse services, family-oriented services, vocational and educational services, mental health services, medical-related services, gender-specific services and services related to housing issues. Types of programs supported by this funding stream include: Defender Based Advocacy Services, Community Service, Specialized and Drug/Alcohol Services, and Treatment Alternatives for Safer Communities (TASC).

**Issues:**

Prison and jail overcrowding have been persistent costly national problems. California and Texas have over 170,000 and 135,000 state prison inmates, compared to New York's 62,000. Part of the solution to maintaining lower state prison numbers in comparison to other large states is the success of the network of over 200 Alternative to Incarceration Programs in reducing incarceration in a manner consistent with public safety. DPCA understands that public confidence in these alternative programs is essential to their success and has taken steps to ensure such confidence.

All ATI programs are now performance based contracts and are funded upon approval of an annual service plan. Over the last two years, to ensure the integrity of DPCA funded programs, DPCA implemented a three-part Quality Assurance Process. The first part entails a quarterly review of recidivism data. The second part of the Quality Assurance Process is the regular and timely review of all quarterly program reports. Upon review of these quarterly reports, DPCA staff work with programs when there is an identified need. The third part of the Quality Assurance Process is the review of randomly selected case files. Those case files are selected from the Fiscal Cost Reports, Detailed Itemization for Performance Based Contracting (DPCA-3264) or the ATI Tracking Log provided to DPCA by a funded program.

**Population Served:**

During calendar year 2007, the 11 programs funded within this category are program types that have provided services to felony offenders, persistent misdemeanor offenders, juvenile offenders, youth between the ages of 16 and 19, women, substance abusers, and the mentally ill in order to reduce or eliminate their incarceration in prison and jails.

**Performance Measures:**

All ATI programs are required to file Quarterly Performance Reports and these reports are tracked to determine the ongoing progress of the programs. The following performance measures represent the aggregate performance of each program type during the year 2007. Where appropriate, recidivism data on ATI Programs is also tracked.

**Community Service-** In 2007, 4,942 offenders satisfactorily completed community service as an alternative to incarceration. This represents an 87.5% successful completion rate.

**Defender Based Advocacy-** These programs prepare sentencing plans for the court that include non-incarcerative sanctions. DPCA tracks the number of plans prepared and the number of plans accepted. In 2007, there were 3,269 plans prepared and 2,752 plans accepted. This represents an 84% acceptance rate.

**Specialized Drug/Alcohol Treatment Programs-** 9,462 offenders successfully completed Specialized Alcohol/Drug Treatment programs for an overall successful completion rate of 67%.

**Treatment Alternatives for A Safer Community (TASC)-** 2,298 offenders successfully completed TASC programs for an overall success rate of 79%.

In total, all 200 DPCA funded programs successfully provided alternatives to over 60,000 offenders in 2007. A portion of these offenders would have ended up in prison at a cost of \$34,000 per year per inmate and the remainder would have occupied limited jail space at similar expense. These programs continue to provide great savings to both the state and localities in New York while maintaining public safety.