2008-09 Spending Plan	DIVISION OF PAROLE
	George B. Alexander, Chairman and Chief Executive Officer

A. Overview of Proposed Plan

A.1 Overall Approach

The Division of Parole's 2008-2009 Financial Management Plan is consistent with both Governor Paterson's directives and Budget Bulletin B-1178. Accordingly, the Division of Parole has once again taken a zero-based approach to developing its Financial Management Plan to ensure that the agency's resources are being utilized in a manner that is both fiscally responsible and mission critical. This Plan continues to sustain the three major policy initiatives that were introduced during the 2007-2008 fiscal year: the Division's Sex Offender Containment Strategy, the Parole Violation Initiative, and the Statewide Re-entry Initiative. The Plan supports all essential personal service operating expenses, such as staffing associated with the supervision of parolees on regular and intensive caseloads, the preparation of inmates to appear before the Parole Board, and the development of comprehensive discharge/transition accountability plans. Also included are non-personal service operating expenses, such as real estate, drug testing, travel associated with parolee supervision, and information technology. Local Assistance funds support required reimbursement to counties for housing parole violators in their local jails, and payments to community based providers for housing, substance abuse treatment, employment/vocational training, and mentoring services.

Furthermore, the agency's Internal Service Fund (Proprietary Fund) supports a transitional employment/vocational program for parolees re-entering the community. Finally, the Division's Special Revenue Fund is comprised of the Asset Forfeiture Fund, which supports seized assets granted to the Division for its participation in various law enforcement related activities and the Parole Officers' Memorial Fund (Fiduciary Account), which serves as a trust for funds donated in support of the Memorial.

A.2 Achievement of Savings on a Recurring Basis

As aforementioned, the 2008-2009 Financial Management Plan continues to support the Division's following three major policy initiatives that were introduced during the 2007-2008 fiscal year: Sex Offender Containment Strategy, Parole Violation Initiative, and Statewide Re-entry Initiative. Accordingly, in concurrence with both Governor Paterson's directives and Budget Bulletin B-1178, the Division has reevaluated these priorities to ensure that they conform to budget policy without jeopardizing public safety.

To achieve the 3.35% or $5.745 million reduction in General Fund – State Operations and the 2% or $739,000 reduction in General Fund - Local Assistance Funds, the Division proposes the following reductions:

a. General Fund – State Operations

1. Sex Offender Containment Strategy – Administrative Strict and Intensive Supervision and Treatment:

The Division has redefined its Sex Offender Containment Strategy to regain focus specifically on those offenders who are court mandated to Strict and Intensive Supervision and Treatment (SIST) under the Sex Offender Management and Treatment Act (SOMTA), which is Article 10 of the Mental Health and Hygiene Law. Under SOMTA, court mandated SIST cases are to be supervised at a super-intensive ratio of ten offenders to one parole officer. Over the past two fiscal years, the Division has been provided funding for a total of 700 SIST cases, of which 100 were projected as court mandated SIST and 600 as Administrative SIST. With Administrative SIST, the Division was given discretion to apply the same supervision ratio as court mandated SIST to sexual offenders under Parole's jurisdiction that posed the greatest risk of recidivating. While the individuals who are eligible for Administrative SIST, as all parolees, are a high profile concern, the Division has taken sufficient measures over the last fiscal year to ensure that these offenders are properly supervised in the community to preserve public safety without the establishment of the additional 10:1 caseloads.

Through the creation of the Sex Offender Management Unit (SOMU) in 2007-08, the Division has developed a centralized process for managing the 1,300 plus parolees currently on the Sex Offender Registry. This Unit works closely with parole officers in the field to facilitate the careful oversight of this population. More specifically, the Unit's supervision strategy includes, but is not limited to, providing enhanced supervision at a ratio of 25:1 (40% lower than the general supervision ratio of 40:1), utilizing emerging technologies, and obtaining necessary community based support and services, such as mental health treatment and counseling. SOMU is also responsible for the Division's Electronic Monitoring Program (which includes both passive and active global positioning). Additionally, the Unit is staffed with polygraph examiners who evaluate high risk parolees on a regular basis to determine their current mindsets and possible future actions. As part of our 2008-2009 Financial Management Plan, the Division will strengthen SOMU's polygraph component by adding seven additional polygraphists. With a total of 20 polygraphists, the Division will be in a better position to administer additional polygraphs to this population throughout the State.

Overall, the Division's effective utilization of the above resources to manage its sex offender population has eliminated the need to supervise the non court-mandated Administrative SIST cases at 10:1. Accordingly, this reduces the Division's funding for 700 cases at 10:1 down to 100 cases at 10:1. These revisions to the Division's Sex Offender Containment strategy eliminate the need for a net of 59 target authority associated with this initiative and one training class during the 2008-2009 fiscal year, which translates into a reduction of $1.66 million in personal service budgetary needs and approximately $400,000 in non-personal service budgetary needs in 2008-2009. Because the Division was only provided half year funding for its 2008-2009 target authority, this savings annualizes to $3.3 million in 2009-2010.

In addition, this approach has eliminated the need for approximately $1 million in NPS funding associated with electronic monitoring. With this reduction, the Division will still have approximately $600,000 in electronic monitoring funds. This funding will allow the Division to monitor approximately 250-350 offenders on any of the three electronic monitoring levels: radio frequency (RF), global positioning satellite (GPS) – passive, and global position satellite (GPS) – active. The Division currently monitors 221 parolees electronically, which is broken down to the following: 40 RF, 30 GPS – passive, and 151 GPS – active.

2. Community Preparation:

As part of the Executive Budget process, the Division had requested an additional 36 target authority to enhance the community preparation caseloads from 100:1 to 40:1 for 2,000 cases of the 4,000 cases that are in community preparation status at any given time during the course of the year. Given the recent decision to institute four month Parole Boards, as opposed to the historical two month Parole Boards as a means to further promote re-entry planning and transitional accountability plans, the Division has reevaluated its need for enhanced community preparation resources. With this initiative and change in policy, we have determined that enhanced resources will only be necessary for 1,500 of the 2,000 cases originally requested. This change essentially eliminates the need for nine target authority or $300,000 General Fund-Personal Service expenditures. Because these positions were not fully funded in the Enacted Budget, this recurring savings will annualize to $600,000 in the 2009-2010 fiscal year.

3. Travel Exemption – Warrant and Transfer Unit:

By evaluating travel habits associated with the Warrant and Transfer Unit, the Division intends to achieve a portion of the 3.35% savings in General Fund - State Operations by reducing travel related expenses associated with the Unit. The warrant and transfer officers are responsible for extraditing parolees from other states across the Country, thus the Warrant and Transfer Unit incurs the majority of Parole's out-of-state travel costs. Much of these expenses are associated with the procurement of airline tickets. During the 2006-2007, Parole spent approximately $1.3 million in travel expenditures on out-of-state airfare for warrant and transfer officers, and in fiscal year 2007-08 approximately $935,000 has been spent to date (this does not include carryout expenditures).

Given the nature of the Unit and the Division's statutory requirements to return an alleged parole violator to New York State within 15 days of the execution of the warrant, warrant officers' plans to travel out of state for extraditions are rarely arranged more than 10 days in advance and are infrequently cancelled. By requesting a formal exemption to the Executive Chamber's memorandum regarding New York State Air Travel Policy dated May 23, 2003 (see Attachment A), which requires state agencies to purchase refundable airline tickets, the Division could substantially reduce the Unit's travel costs. This exemption will strictly be applied to agency travel associated with the Division's Warrant and Transfer Unit only, and the Division's other employees will continue to adhere to the memorandum by purchasing refundable airfare. With the appropriate exemption, the Division anticipates a recurring savings of approximately $400,000 associated with this initiative.

4. Travel Efficiencies:

During the 2007-2008 fiscal year, in compliance with Executive Order #1, the Division reevaluated the usage of its vehicle fleet and reallocated/reassigned vehicles based on the cost-effectiveness to the agency and special assignments directly related to public safety. As a continuation of this effort, the Division is persistent in ensuring that <u>all staff travel</u> is essential to carrying out the agency's mission. Accordingly, in 2008-2009 the Division will continue promoting the use of video conferencing equipment, when appropriate, to conduct agency business. Staff meetings requiring attendance from statewide participants will now be administered through this process. We have also suspended the Executive Management Summit, which is a three-day training session attended by high level managers in the agency. Instead, the Chairman has chosen to relay his message through different means/measures. In addition, the Division intends to curtail travel expenses associated with staff participation in both training and out-of-state and in-state conferences. In order to adhere to agency training requirements, we will institute the train-the-trainer approach and offer training on a regionalized basis when applicable. This reduction in travel expenditures is anticipated to generate approximately $350,000 in recurring savings.

5. Equipment Efficiencies:

During the 2008-2009 fiscal year, the Division plans to reduce its General Fund – State Operations Equipment budget by approximately $735,000. This one-time, non-recurring savings will be implemented through a series of stringent controls, which will ultimately limit agency procurement to health and safety needs. All requests for furniture and equipment will be closely evaluated to determine actual need. Fortunately, the Division will be able to absorb this reduction during the 2008-2009 fiscal year due to the fact that many of these requests were accommodated during the 2007-2008 fiscal year, particularly in Regions 1 and 2.

6. Vacancy Control Policy:

As a means to control spending during the 2008-2009 fiscal year, the Division has implemented a vacancy control policy for all non-essential (non-public safety) positions. In order to ensure that requested positions are essential to carrying out agency operations, normal policies and procedures of the agency require managers to reevaluate staffing needs prior to submitting their requests to fill. In addition to this process, the Division will hold vacant all non-essential positions for a period of three months from the date the previous incumbent vacated the position. It is anticipated that this policy will generate a non-recurring savings of approximately $600,000.

7. Administrative Efficiencies:

The Division has zero-based its non-personal service expenses for its Administration program and has determined that approximately $200,000 can be achieved. These savings will be attained by ensuring that all procurements are health and safety related and imperative to carrying out the agency's mission. This is a non-recurring savings.

8. Green Efficiencies:

The Division plans to achieve moderate recurring savings of approximately $100,000 during the 2008-2009 fiscal year by instituting the following "green" practices when possible:

1.) Duplex printing and copying;
2.) Printing in *Draft Mode* to save on toner and ink;
3.) Shutting off computer and other electronics' power strips to reduce energy consumption after hours; and
4.) When renovating its buildings, the Division will arrange offices in the most conducive way to utilize natural light and design thermostat circuits to optimize energy performance.

b. General Fund – Local Assistance

1. Board of Prisoners:

The Division believes it can achieve an additional $440,000 in Board of Prisoners payments through the further implementation of both its Parole Violator and Re-entry Initiatives. The $440,000 is in addition to the $7 million in Board of Prisoners savings that was already included in the 2008-2009 Executive Budget. To achieve these savings the Division will continue to implement its menu of services in each of the localities and will employ various cash management strategies, as required.

2. Treatment Contracts:

The remaining $299,000 in Local Assistance savings will be achieved through treatment, housing, and employment contracts. As part of the sex offender containment strategy, the Division was provided an additional $4.5 million to support a Request For Proposal for Secure Stabilization Housing. Because the Division has not made contractual awards at this point, the Division will reduce its available allocation for this initiative and conduct a review of its existing contracts to employ cost savings measures based upon program performance evaluations.

As indicated above, the Division will achieve approximately $6.5 million in General Fund-State Operations and Local Assistance funds during the 2008-2009 fiscal year. Although not all the savings listed will be recurring in 2009-2010 fiscal year, the Division will achieve sufficient savings to fully meet the out-year savings target through the annualization of the following reductions:

1.) 59 positions associated with 600 Administrative SIST cases ($3.3 million);
2.) 9 positions associated with enhanced community preparation($600,000);
3.) Warrant and Transfer Unit travel ($400,000);
4.) Electronic monitoring ($1 million);
5.) Travel efficiencies ($350,000);
6.) Green efficiencies ($100,000);
7.) Board of Prisoners ($440,000);
8.) Treatment Contracts ($277,000); and
9.) Employment Contract ($22,000).

The Division will continue to evaluate its core and non-core functions to identify any efficiencies and recurring savings that may support the State's goal of a structurally balanced budget. The Division will continue to work closely with the Division of the Budget to identify appropriate budgetary performance measurements and financial metrics that will enable Parole to facilitate discussions about the effectiveness of its initiatives.

A.3 Protecting Key Priorities

Because the Division of Parole is first and foremost a law enforcement agency, our chief priority is public safety. We continue to safeguard our goal of public safety with emphasis on proper discharge planning and effective parole supervision by ensuring that appropriate staffing levels in both the facilities and the field are maintained. Consequently, the Division's proposal to achieve recurring savings will not have an impact on facility staffing or currently established parole officer caseloads throughout the State. Therefore, we intend to commence three training classes throughout the fiscal year in order to maintain appropriate caseload staffing levels.

During the 2007-2008 fiscal year, we enhanced community safety through the implementation of a Sex Offender Containment Initiative. The creation of a dedicated Sex Offender Management Unit within the agency has enabled the Division to develop a focal point for managing these high-risk caseloads. The Division's strategy, which is centered on a multi-pronged approach, includes but is not limited to the following resources: highly intensive caseload supervision (10:1 and 25:1), electronic monitoring, (including the use of global positioning technology), mental health treatment, and highly secure residential programs. This approach also includes polygraph examination of all supervised sex offenders. This policy enables the Division to incorporate the findings of polygraph examinations into the supervision and treatment regimen employed by the Division's staff, which includes:

- Enhanced case knowledge;
- Earlier detection of adverse behavior; and
- More focused supervision and effective case intervention.

With all of these resources, we are able to more closely supervise parolees on the sex offender registry, those with an underlying history of sexually deviant behavior, and individuals sentenced under Article 10 of the Mental Health and Hygiene Law, which was passed and signed in April 2007.

As we move forward with our public safety efforts, we also continue to refocus our attention on a Statewide Re-entry Initiative. Properly planning for an offender's return home improves the individual's chance of successfully reintegrating into his/her community to become a law abiding citizen, a good parent, and a contributing member of the New York State workforce. Given the complex nature of this effort, the Division recognizes that this is not something that can be achieved individually. A successful re-entry strategy requires collaboration and coordination amongst all entities involved. Accordingly, Parole's plan, which was developed in 2007-2008, includes the Department of Correctional Services (DOCS), the Office of Alcoholism and Substance Abuse Services (OASAS), the Office of Temporary and Disability Assistance (OTDA), the Department of Labor (DOL), the Division of Criminal Justice Services (DCJS), as well as, other state and local entities.

This initiative, which is centered on four benchmarks, is being rolled out to all Parole staff in each of our offices throughout the State. These benchmarks are as follows:

A. Re-entry Planning Begins at Incarceration.

B. Successful Re-entry Planning Must Include Effective Community Supervision.

C. The Coordination of Resources and Information Sharing Amongst State Agencies and Local Governments are Essential to a Successful Re-entry plan.

D. Evaluation of Programs and Re-entry Initiative will Continuously Improve the Parole Re-entry Process.

Consistent with this effort, the Division (within its existing resources) initiated a Re-Entry Pilot in Erie County during the 2007-2008 fiscal year. This Pilot will test the efficiency of providing parolees a vast array of rehabilitative resources to reduce both short and long term recidivism. Part of this effort includes an agreement with DOCS, which has established a releasing center at Orleans Correctional Facility. The 60-bed, 90-day re-entry program at Orleans brings inmates closer to home before they are released to Erie County. By engaging in necessary employment, family reunification and transitional programs, Orleans participants' chance of success in the community is enhanced. Furthermore, by initiating face-to-face contacts with parole officers, case managers from the community, employment counselors and mentors prior to release, parolees are better prepared for their return home.

The Division's re-entry efforts will continue to be a top priority during the 2008-2009 fiscal year. The Division plans to roll out specialized re-entry parole officers throughout the State who will be focused on creating crucial linkages in the community that will provide parolees with seamless transitions from prison to their communities.

Finally, during the 2007-2008 fiscal year, the Division was steadfast in its commitment to providing additional relief to the localities. Towards this goal, it promulgated an innovative "menu of services" to address the specific needs of local correctional facilities. This initiative packaged new ideas and refined existing approaches by increasing the number of revocation hearings at targeted locations, developing an accelerated hearing date process, expanding arraignment part processing, improving post-disposition processing, and enhancing communication of revocation decision detail to jail administrators across the State. Overall, this initiative has reduced the amount of time that alleged violators spend in local jails by over 30%, saving both the State and Local governments a minimum of $22 million annually. The Division will continue to roll out this effort during the 2008-2009 fiscal year through further enhancements to its "menu of services" along with the development of a Parole Violator Diversion program at Edgecombe Correctional Facility.

A.4 Treatment of New Initiatives

As part of our Financial Management Plan, the Division will move forward with several of its critical initiatives during the 2008-2009 fiscal year. We believe that the rollout of these initiatives will not only enhance public safety by improving offenders' transition from prison to the community, but also will contribute to the overall reduction in parole violator recidivism rates, which will ultimately reduce the number of parolees returned to DOCS' facilities. Although we plan to roll out the following initiatives, the required savings necessitates that we do so on a much more gradual pace than previously anticipated.

1. Re-entry Parole Officers:

As part of the 2008-2009 Enacted Budget, the Division of Parole received target authority for 19 re-entry parole officers to act as re-entry coordinators in 19 field offices throughout New York State. These 19 new positions represent a phase-in of our initiative to provide dedicated staff in every field office to partner with caseload carrying officers in leveraging and creating both existing and new, required rehabilitation options. These positions will also work closely with local governments and not-for-profit providers to develop vocational programs and employment opportunities. It is our belief that this dedicated re-entry staff resource will help to identify necessary rehabilitation options for parolees to participate in, and thus, will enhance parolee success.

Although the Division will not schedule its next training class prior to August 2008, it is anticipated that the rollout of the re-entry coordinators will begin in June. Given current staffing levels in New York City, the Division can draw from its current resources to begin the rollout of this initiative. It is imperative that the Division launches these parole officers as soon as possible in order to continue its impact on re-entry in New York State.

2. Edgecombe Correctional Facility:

The 2008-2009 Enacted Budget includes four target authority for a new Parole Violator Diversion Center within Edgecombe Correctional Facility in New York City. This initiative, which is a Parole Violator Diversion Program designed primarily for drug offenders, is an alternative to incarceration that will provide parolees with one last opportunity for stabilization before they enter the violation process. Parolees sent to participate in this 100-bed, 30-day program will be provided drug treatment, which includes cognitive behavioral therapy, drug prevention, and follow-up case management in the community. As Edgecombe is a diversion program, it is envisioned to further reduce the burden that parole violators have on the local jail population.

The four target authority for this program is currently being employed, as this program officially opened in April 2008.

B. Summary of General Fund Financial Impacts

GENERAL FUND -- SAVINGS SUMMARY	Required Reduction	2008-09 Savings	2009-10 Savings
Local Assistance	739,000	739,000	739,000
Personal Service	2,560,000	2,560,000	3,920,000
Non-personal Service	3,185,000	3,185,000	1,850,000
Total State Operations	5,745,000	5,745,000	5,770,000
Capital	N/A	N/A	N/A
TOTAL	6,484,000	6,484,000	6,509,000

GENERAL FUND -- YEAR-TO-YEAR CHANGE, AFTER SAVINGS	2007-08 Actual	Revised Projection	Percent Change
Local Assistance	40,943,000	36,220,000	(11.5%)
Personal Service	125,179,000	129,748,000	3.6%
Non-personal Service	39,823,000	38,248,000	(4.0%)
Total State Operations	165,002,000	167,996,000	1.8%
Capital	N/A	N/A	N/A
TOTAL	205,945,000	204,216,000	(0.1%)

C. Identification of Proposed General Fund Actions

	2008-09 Cash	2009-10 Cash	2010-11 Cash
GENERAL FUND			
Local Assistance	**($739,000)**	**($739,000)**	**($739,000)**
1. Awards for Secure Stabilization Contracts	(277,000)	(277,000)	(277,000)
2. Board of Prisoners	(440,000)	(440,000)	(440,000)
3. Vocational Development Program	(22,000)	(22,000)	(22,000)
State Operations	**($5,745,000)**	**($5,770,000)**	**($5,770,000)**
4. Administrative SIST Cases	(1,660,000)	(3,320,000)	(3,320,000)
5. Vacancy Control Policy	(600,000)	0	0
6. Community Preparation	(300,000)	(600,000)	(600,000)
7. Travel Exemption – Warrant and Transfer Unit	(400,000)	(400,000)	(400,000)

	2008-09 Cash	2009-10 Cash	2010-11 Cash
8. Electronic Monitoring (Admin SIST)	(1,000,000)	(1,000,000)	(1,000,000)
9. Training Class (tied to reduction 59 FTE)	(400,000)	0	0
10. Equipment (Vehicles, Furniture, Office Equipment)	(735,000)	0	0
11. Travel Efficiencies (Video Conferencing, Conferences)	(350,000)	(350,000)	(350,000)
12. Green Efficiencies	(100,000)	(100,000)	(100,000)
13. Administration Efficiencies	(200,000)	0	0

D. Summary of Impact on Other Funds

OTHER FUNDS -- SAVINGS SUMMARY			
	Required Reduction	2008-09 Savings	2009-10 Savings
Local Assistance – Internal Service	0	0	0
Personal Service	N/A	0	0
Non-personal Service	N/A	0	0
Total State Operations			
TOTAL	0	0	0
OTHER FUNDS -- YEAR-TO-YEAR CHANGE, AFTER SAVINGS			
	2007-08 Actual	Revised Projection	Percent Change
Local Assistance – Internal Service	9,250,000	9,250,000	0%
Personal Service	0	0	0%
Non-personal Service	825,000	825,000	0%
Total State Operations	0	0	0%
TOTAL	10,075,000	10,075,000	0%

F. Plan to Manage the Workforce

F.1 Overall Approach

As always, the Division will continue to manage its workforce to ensure that the agency stays within its approved workforce plan and allocated target authority. With an overall reduction of 68 target authority from the Enacted Budget, the Division will have an average annual target authority of 2,205. The increase of 51 positions from 2007-2008, as well as staff attritions, will be accommodated through the Division's implementation of three training classes during the fiscal year. The plan for administering training classes is as follows: August 2008 (40FTE), October 2008 (40FTE), and January 2009 (40FTE). In conjunction with the 3.35% savings reduction proposed in this plan, the Division will roll out all new initiatives gradually throughout the fiscal year. The Division plans to end the 2008-2009 fiscal year with a fill level of 2,205.

F.2 Plan for Refill of Vacant Positions (both current and anticipated vacancies)

On an annual basis, the Division's attrition rate averages 120 positions, of which 60 are non-essential (no impact on public safety) employees. Consequently, the Division feels that it can institute a vacancy control policy where it will wait three months from the day the previous incumbent vacates the item to the date the item is filled. With a projected average annual salary of $40,000, this vacancy control policy will generate a non-recurring savings of approximately $600,000 during the 2008-2009 fiscal year. In conjunction with this policy, agency staff will reevaluate each of these positions as they vacate to ensure that a backfill is in the best interest of the Division.

Workforce Impact -- All Funds	
a. Initial Target: 2,273 [for reference]	**2, 273**
b. Current Fills PP# 2	2,145
c. Recurring impact of proposed actions (see Parts C & E)	(68)
d. Recurring impact of vacancy-refilling plan (see F.2)	128
e. Total FTEs March 31, 2009 (line b minus line c, plus/minus line d)	2,205
f. Change from Initial 2008-09 Target (line a minus line e)	(68)

G. Monthly Projections: All Funds Workforce; General Fund State Operations/Local

Please See Attachment B.

H. Assumptions Underlying the Proposed Plan

Overall, the Division's Financial Management Plan assumes that the parolee population will remain constant at 58,909 over the course of the 2008-2009 fiscal year. This will be achieved through the Division's concerted effort to rollout both its Re-entry and Parole Violator Initiatives. It is imperative to note that the Plan does not assume any anticipated changes in the rates for travel reimbursement (personal car mileage), gasoline, or utilities, nor does it reflect negotiated salary increases associated with the recent settlement of the Public Employees Federation contract. Finally, this Plan does not assume any costs associated with the rollout of the Statewide Wireless Network.

I. Management of Risks Inherent in the Plan

As always, the Division will continue to monitor its Financial Management Plan on a monthly basis to ensure that the agency's resources are being properly allocated to reflect agency needs and are in accordance with budget policy. In addition, the Division will manage, to the best of its ability and without jeopardizing public safety, any significant changes to agency policy which result from amendments to legislation and/or litigation within its budgeted allocations for the 2008-2009 fiscal year.

J. Additional Savings Opportunities for 2008-09

In order to achieve additional savings in the 2008-2009 fiscal year, the Division would have to consider severe alterations to its current operation. This would include but is not limited to, the following:

1. Reevaluating caseload supervision ratios;
2. Further delaying or refraining from rolling out agency initiatives in 2008-2009;
3. Eliminating all equipment purchases during the 2008-2009 fiscal year; and
4. Delaying the rollout of some Annual Technology Plan projects.

K. Potential Future Savings Opportunities/Operational Improvements (indicate if statutory change is required)

As a continuation of our Re-Entry and Parole Violator Initiatives, the Division anticipates a continued decline in the number of Parole Violators returning to DOCS' facilities over the next few fiscal years. Accordingly, we anticipate that this will generate an overall savings to DOCS, as well as a reduction in payments to local jails for housing parole violators.

ATTACHMENTS:

Attachment A - New York State Air Travel Policy
Attachment B - Monthly Projections: All Funds Workforce; General Fund State Operations/Local
Attachment C - Financial Management Plan – Expenditure Detail Sheet

NEW YORK STATE AIR TRAVEL POLICY

MEMORANDUM
EXECUTIVE CHAMBER

May 23, 2003

TO: All State Departments and Agencies
FROM: William Howard
SUBJECT: Mandatory State Policy Concerning Air Travel Ticketing

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As you may know, the State has been fortunate in securing contracts with a number of major airlines to provide reduced air travel fares combined with beneficial service terms. The OGS contract offers discounted prices for many city pairs between New York State and other domestic and foreign destinations. The city pair contract offers features, in addition to price, that are highly beneficial to State travelers including but not limited to:

- no cost for refunds or ticket changes,
- no minimum stay,
- no advance purchase requirements, and
- price reductions for some capacity controlled fares (i.e., lower fares available based on capacity).

The State has saved millions of dollars a year in air travel costs as a result of these contracts.

Our ability to continue achieving such savings depends largely on ensuring that authorized State travelers utilize the mandatory OGS contract. Accordingly, agencies are expected to adhere to the following guidelines when purchasing air travel:

1) All airline tickets must be purchased using the designated State Corporate Card or Business Travel Account (BTA). BTA's are to be used for employees who do not have corporate cards. Employees may not use personal credit cards or other means for reimbursement. Agencies that have not yet established BTA's should contact your corporate card program administrator.

2) All airline ticketing must be done through an authorized State travel agent contractor (OGS Travel Agent Services contract - web link below), responsible for certifying that the ticketing is done in accordance with this policy. http://www.ogs.state.ny.us/purchase/snt/awardnotes/7900501730can.HTM

3) Each State department or agency should have a designated travel coordinator to ensure adherence to these guidelines.

4) Exceptions to the use of this contract shall only be made for emergency situations or where a special incentive fare may save more than $200 over the contract price. Exceptions to the use of the contract require prior approval by the Agency Finance Officer with written or e-mail notification to the OGS State Travel Coordinator. The OGS State Travel Coordinator is: Todd Wadzinski, 518-402-5005, todd.wadzinski@ogs.state.ny.us

In light of Division of the Budget (DOB) instructions to restrict travel and to take other actions to save money, it is presumed that travel undertaken using this contract meets the guidance for travel as outlined in the Division of Budget Bulletin # B – 1167 (3-7-03). Thank you for your cooperation in this matter.

EXECUTIVE DEPARTMENT AGENCIES

NEW YORK STATE EXECUTIVE DEPARTMENTS, DIVISIONS, COMMISSIONS

Listed below are the agencies (Departments, Divisions, Commissions) over which the Governor has executive authority. All such agencies will be required to abide by the Executive Chamber's policy on Air Travel Services.

Departments and Offices of Departments	Divisions and Commissions, and Offices of
Agriculture and Markets	Adirondack Park Agency
Alcoholism and Substance Abuse	Advocate for the Disabled
Banking	Aging, Office of
Children and Family Services	Alcoholic Beverage Control Division
Civil Service	Arts, Council of
Correctional Services	Budget, Division of
Developmental Disabilities	Consumer Protection Board
Education	Children and Family Services
Empire State Development	Correction, State Commission of
Environmental Conservation	Crime Victims Board
Family Assistance	Criminal Justice Services
Health	Developmental Disabilities Planning Council
Insurance	Emergency Management, Office of
Labor	Employee Relations, Office of
Mental Health	General Services, Office of
Mental Retardation and Developmental	Housing and Community Renewal, Division of
Disabilities	Human Rights, Division of
Mental Hygiene	Inspector General
Motor Vehicles	Interdepartmental Traffic Safety Committee
Public Service	Lottery, Division of
State, Department of	Military and Naval Affairs, Division of
Taxation and Finance	Office of Regulatory Reform
Temporary and Disability Assistance	Parks, Recreation & Historic Preservation,
Transportation	Office of
	Parole, State Board of
	Probation & Correctional Alternatives
	Quality Care for Mentally Disabled, State
	Racing & Wagering Board
	Real Property Services
	State Liquor Authority
	State Police, Division of
	Veterans' Affairs, Division of
	Welfare, Inspector
	Women, Division for

Information Source: THE NEW YORK RED BOOK, 97TH EDITION, 2003-2004, State Departments, Executive Department.

ATTACHMENT B
DIVISION OF PAROLE
2008-09 SPENDING PLAN
Monthly Projections: All Funds Workforce; General Fund State Operations / Local Assistance

	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	TOTAL
A. Workforce - All Funds													
Est FTEs Month-end	**2,151**	**2,154**	**2,142**	**2,132**	**2,168**	**2,170**	**2,196**	**2,186**	**2,180**	**2,214**	**2,205**	**2,205**	
B. State Operations													
Personal Service													
1st PP	4,846,739	4,863,007	5,203,041	4,891,497	4,828,851	4,890,102	4,893,944	4,934,551	4,912,951	4,899,992	4,957,878	5,254,446	59,376,999
2nd PP	5,771,240	4,930,201	4,893,422	4,836,286	4,835,331	5,206,112	4,862,705	4,974,551	5,216,002	5,001,338	4,938,439	4,938,970	60,404,597
3rd PP (if applies)	5,001,357	0	0	0	0	0	4,965,051	0	0	0		0	9,966,408
Subtotal PS	15,619,335	9,793,209	10,096,463	9,727,783	9,664,182	10,096,214	14,721,700	9,909,102	10,128,953	9,901,330	9,896,317	10,193,416	129,748,004
NPS	1,476,505	4,322,636	2,575,131	3,322,636	2,622,636	2,722,636	3,122,636	4,122,636	2,372,636	4,222,636	3,122,636	4,242,636	38,247,996
Total Disbursements -- State Ops	**17,095,840**	**14,115,845**	**12,671,594**	**13,050,419**	**12,286,818**	**12,818,850**	**17,844,336**	**14,031,738**	**12,501,589**	**14,123,966**	**13,018,953**	**14,436,052**	**167,996,000**
C. Local Assistance - General Fund													
Treatment Programs	1,071,000	1,627,000	1,437,000	1,105,000	1,115,000	1,897,000	1,713,000	1,657,000	1,693,000	1,693,000	1,745,000	1,622,000	18,375,000
Vocational Development Program	177,500	117,200	12,900	85,600	85,600	85,600	85,600	85,600	85,600	85,600	85,600	85,600	1,078,000
Board Of Prisoners	0	0	6,000,000	0	0	5,589,000	0	0	5,178,000	0	0	0	16,767,000
Total Disbursements - GF Local	**1,248,500**	**1,744,200**	**7,449,900**	**1,190,600**	**1,200,600**	**7,571,600**	**1,798,600**	**1,742,600**	**6,956,600**	**1,778,600**	**1,830,600**	**1,707,600**	**36,220,000**
D. Local Assistance - Internal Service Fund													
Neighborhood Work Project	643,000	683,000	1,233,300	583,300	583,300	583,300	583,300	583,300	583,300	583,300	583,300	583,300	7,809,000
Total Disbursements - Internal Service Fund	**643,000**	**683,000**	**1,233,300**	**583,300**	**583,300**	**583,300**	**583,300**	**583,300**	**583,300**	**583,300**	**583,300**	**583,300**	**7,809,000**

DIVISION OF PAROLE
2008-2009 FINANCIAL PLAN
EXPENDITURE DETAIL SHEET

ATTACHMENT C
CONFIDENTIAL - POLICY ADVICE

I. GENERAL FUND - STATE OPERATIONS

SPENDING CATEGORY	2008-2009 Appropriation	2008-2009 Financial Plan	Projected Balance of Appropriation	2008-2009 Cash Ceiling	2007-2008 Projected Carry IN	08/09 Cash vs. 08/09 Appropriation	Projected Balance of Cash Ceiling	2008-09 Projected Carry OUT
STATE OPERATIONS - ROLL UP*	$176,167,000	$169,757,000	$6,410,000	$167,996,000	$7,858,000	$160,138,000	$0	$9,619,000

PERSONAL SERVICE

SPENDING CATEGORY	2008-2009 Appropriation	2008-2009 Financial Plan	Projected Balance of Appropriation	2008-2009 Cash Ceiling	2007-2008 Projected Carry IN	08/09 Cash vs. 08/09 Appropriation	Projected Balance of Cash Ceiling	2008-09 Projected Carry OUT
PS - Reg - 41xxx	128,480,000	126,855,000	1,625,000	126,072,765	0			
Temporary Service - 42xxx	102,000	65,000	37,000	64,580	0			
Overtime - 46xxx	4,516,000	3,634,000	882,000	3,610,655				
Total	*$133,098,000*	*$130,554,000*	*$2,544,000*	*$129,748,000*	*$3,929,000*	*$125,819,000*	*$0*	*$4,735,000*

NON-PERSONAL SERVICE

SPENDING CATEGORY	2008-2009 Appropriation	2008-2009 Financial Plan	Projected Balance of Appropriation	2008-2009 Cash Ceiling	2007-2008 Projected Carry IN	08/09 Cash vs. 08/09 Appropriation	Projected Balance of Cash Ceiling	2008-09 Projected Carry OUT
Supplies & Materials - 53xxx	1,367,000	1,611,000	(244,000)	1,579,854	0			
Travel - 54xxx	4,905,000	4,535,000	370,000	4,446,965	0			
Contractual Services - 55xxx & 56xxx	33,366,000	30,671,000	2,695,000	29,881,300	0			
Equipment - 57xxx	3,431,000	2,386,000	1,045,000	2,339,881	0			
Total	*$43,069,000*	*$39,203,000*	*$3,866,000*	*$38,248,000*	*$3,929,000*	*$34,319,000*	*$0*	*$4,884,000*

A. ADMINISTRATION

SPENDING CATEGORY	2008-2009 Appropriation	2008-2009 Financial Plan	Projected Balance of Appropriation	2008-2009 Cash Ceiling	2007-2008 Projected Carry IN	08/09 Cash vs. 08/09 Appropriation	Projected Balance of Cash Ceiling	2008-09 Projected Carry OUT
ADMINISTRATION - ROLL UP	$9,033,000	$8,466,000	$567,000	$8,425,000	$379,000	$8,046,000	$0	$420,000

PERSONAL SERVICE

SPENDING CATEGORY	2008-2009 Appropriation	2008-2009 Financial Plan	Projected Balance of Appropriation	2008-2009 Cash Ceiling	2007-2008 Projected Carry IN	08/09 Cash vs. 08/09 Appropriation	Projected Balance of Cash Ceiling	2008-09 Projected Carry OUT
PS - Reg - 41xxx	7,254,000	6,876,000	378,000	6,869,025				
Temporary Service - 42xxx	4,000	0	4,000	0				
Overtime - 46xxx	20,000	25,000	(5,000)	24,975				
Total	*$7,278,000*	*$6,901,000*	*$377,000*	*$6,894,000*	*$238,000*	*$6,656,000*	*$0*	*$245,000*

NON-PERSONAL SERVICE

SPENDING CATEGORY	2008-2009 Appropriation	2008-2009 Financial Plan	Projected Balance of Appropriation	2008-2009 Cash Ceiling	2007-2008 Projected Carry IN	08/09 Cash vs. 08/09 Appropriation	Projected Balance of Cash Ceiling	2008-09 Projected Carry OUT
Supplies & Materials - 53xxx	48,000	49,000	(1,000)	47,935				
Travel - 54xxx	363,000	283,000	80,000	276,852				
Contractual Services - 55xxx & 56xxx	1,305,000	1,165,000	140,000	1,139,690				
Equipment - 57xxx	39,000	68,000	(29,000)	66,523				
Total	*$1,755,000*	*$1,565,000*	*$190,000*	*$1,531,000*	*$141,000*	*$1,390,000*	*$0*	*$175,000*

B. PAROLE OPERATIONS

SPENDING CATEGORY	2008-2009 Appropriation	2008-2009 Financial Plan	Projected Balance of Appropriation	2008-2009 Cash Ceiling	2007-2008 Projected Carry IN	08/09 Cash vs. 08/09 Appropriation	Projected Balance of Cash Ceiling	2008-09 Projected Carry OUT
PAROLE OPERATIONS - ROLL UP	$167,134,000	$161,291,000	$5,843,000	$159,571,000	$7,479,000	$152,092,000	$0	$9,199,000

PERSONAL SERVICE

SPENDING CATEGORY	2008-2009 Appropriation	2008-2009 Financial Plan	Projected Balance of Appropriation	2008-2009 Cash Ceiling	2007-2008 Projected Carry IN	08/09 Cash vs. 08/09 Appropriation	Projected Balance of Cash Ceiling	2008-09 Projected Carry OUT
PS - Reg - 41xxx	121,226,000	119,979,000	1,247,000	119,203,740				
Temporary Service - 42xxx	98,000	65,000	33,000	64,580				
Overtime - 46xxx	4,496,000	3,609,000	887,000	3,585,680				
Total	*$125,820,000*	*$123,653,000*	*$2,167,000*	*$122,854,000*	*$3,691,000*	*$119,163,000*	*$0*	*$4,490,000*

NON-PERSONAL SERVICE

SPENDING CATEGORY	2008-2009 Appropriation	2008-2009 Financial Plan	Projected Balance of Appropriation	2008-2009 Cash Ceiling	2007-2008 Projected Carry IN	08/09 Cash vs. 08/09 Appropriation	Projected Balance of Cash Ceiling	2008-09 Projected Carry OUT
Supplies & Materials - 53xxx	1,319,000	1,562,000	(243,000)	1,531,918				
Travel - 54xxx	4,542,000	4,252,000	290,000	4,170,113				
Contractual Services - 55xxx & 56xxx	32,061,000	29,506,000	2,555,000	28,741,610				
Equipment - 57xxx	3,392,000	2,318,000	1,074,000	2,273,359				
Total	*$41,314,000*	*$37,638,000*	*$3,676,000*	*$36,717,000*	*$3,788,000*	*$32,929,000*	*$0*	*$4,709,000*

II. GENERAL FUND - LOCAL ASSISTANCE

SPENDING CATEGORY	2008-2009 Appropriation	2008-2009 Financial Plan	Projected Balance of Appropriation	2008-2009 Cash Ceiling	2007-2008 Projected Carry IN	08/09 Cash vs. 08/09 Appropriation	Projected Balance of Cash Ceiling	2008-09 Projected Carry OUT
Board of Prisoners - 6xxxx	21,560,000	21,560,000	0	16,767,000	0	16,767,000		4,793,000
Treatment Contracts - 6xxxx	18,375,000	18,375,000	0	18,375,000	2,700,000	15,675,000		2,700,000
Vocational Development - 6xxxx	1,078,000	1,078,000	0	1,078,000	308,000	770,000		308,000
Total	*$41,013,000*	*$41,013,000*	*$0*	*$36,220,000*	*$3,008,000*	*$33,212,000*	*$0*	*$7,801,000*

*2008-2009 Appropriation includes $2,251,000 for MC/CSEA Salary Bills.