



WHAT WE DO

The Department of Probation (DOP) helps build stronger and safer communities by working with and supervising people on probation, fostering positive change in their decision-making and behavior through research-based practices and expanding opportunities for them to move out of the criminal and juvenile justice systems through meaningful education, employment, health and behavioral health services, family engagement and civic participation. The Department supplies information and recommendations to the courts to help inform sentencing and disposition decisions. In Family Court, reports are also provided in family offense, custody, child support, visitation, adoption and guardianship cases. In total, DOP provides intake services, investigations and supervision for over 50,000 adult and juvenile cases per year and supervises more than 19,000 adults and 1,000 juveniles on any given day.

FOCUS ON EQUITY

DOP is committed to minimizing the adverse collateral consequences of being involved in the criminal and juvenile justice systems. These consequences, which include the inability to obtain meaningful employment, pursue education and access stable housing, impact not just those on probation, but also their families and communities. Through accountability measures and service practices grounded in research, as well as partnerships with community-based organizations, DOP fosters personal change, increases opportunities to thrive and strengthens communities, thereby building a more equitable and safer City.

OUR SERVICES AND GOALS

SERVICE 1 Contribute to optimal court processing and decision-making in delinquency and criminal justice matters.

- Goal 1a Produce timely and accurate pre-sentence investigations.
- Goal 1b Identify youth appropriate for diversion from formal juvenile court proceedings via adjustment services.

SERVICE 2 Improve community safety through a combination of accountability and support activities with those under probation supervision.

- Goal 2a Assess risk to match individuals with supervision and monitoring levels; use re-arrest and violation trends to make adjustments to supervision level components.
- Goal 2b Increase the probability of successful completion of probation terms through maximizing the use of evidence-based practices and community-based interventions.
- Goal 2c Maximize accountability with probation compliance through field visits and enforcement actions.

HOW WE PERFORMED

- The Department completed 3,601 pre-sentence investigations (PSIs) for adults and 515 juvenile Investigation and Reports (I&Rs), respectively, a 19 and 15 percent decrease from the first four months of Fiscal 2018. These trends are consistent with a year-to-year decline in NYPD arrests. The adult PSI on-time completion rate increased one percentage point to 98 percent during the reporting period, while the juvenile on-time delivery rate improved three points to 88 percent.
- All youth arrested between the ages of seven and 15 who fall under family court jurisdiction are processed post-arrest by DOP. The Department processed 911 juvenile intakes in the first four months of Fiscal 2019, a 26 percent decrease. Beginning in October 2018, 16 year-olds in New York State charged with lower-level crimes are processed through family court intake based on Raise the Age legislation enacted in September 2017. This law will add more youth to DOP's juvenile intake, investigations, and supervision caseloads in each borough during the remainder of Fiscal 2019, and in future years. A phased implementation will add 17 year-olds to probation juvenile intake beginning in October 2019.
- During the juvenile intake process, probation officers make individual assessments for statutory eligibility and suitability for adjustment, including outreach and communication with complainants, NYPD, and families. The juvenile intake adjustment eligibility rate increased nine percentage points to 38 percent, driven by enhanced client engagement, utilization of intervention tools and outreach to complainant witnesses.
- During the reporting period probation officers completed 5,270 initial risk/need assessments for adults entering probation supervision, and 519 initial assessments for juveniles. This decrease of 25 and 36 percent, respectively, was consistent with NYPD arrest trends. These screenings, based on validated actuarial instruments developed for community supervision, identify criminogenic risk factors and programming needs, and are used to develop Individual Action Plans (IAPs) for those on probation.
- The average monthly rearrest rate for adults on probation supervision decreased from 3.0 percent to 2.5 percent, while the juvenile rate decreased from 4.1 percent to 2.9 percent. When viewed as a percentage of all NYPD arrests, the adult rate decreased by three-tenths of a percentage point, while the juvenile rate dropped one-tenth of a point. The Department continues to analyze and respond to citywide arrest trends.
- The average monthly violation rate for adults on probation was unchanged, at 1.0 percent. Probation violation proceedings ending in revocation for adults declined by three percentage points to 47 percent. The violation rate for juveniles decreased two tenths of a percentage point to 3.2 percent, while the revocation rate decreased six percentage points to 25 percent as judges increasingly utilized an expanded continuum of alternatives.
- The percentage of IAPs completed was unchanged at 100 percent for both adults and juveniles. IAPs serve as a roadmap for the period of probation supervision and provide a basis for benchmarking and measuring progress towards achieving short and longer-term goals, leading to better outcomes for individuals serving a community-based criminal or juvenile justice sentence.
- There were 22 new enrollments of juveniles in alternative-to-placement (ATP) programs, a reduction of three enrollments per month citywide compared to the first four months of Fiscal 2018. There were 553 new enrollments in DOP-managed programs, a three percent increase. The ATP reduction was driven by DOP's overall supervision population trends and individual needs as determined by risk assessments and IAPs. Service areas in DOP-guided programs include mentoring, education, employment, and life skills.
- There were 1,093 targeted behavioral health intervention contacts to individuals on probation citywide during the first four months of Fiscal 2019, a decrease of 27 percent from the previous fiscal year. Following a growth in contacts during Fiscal 2018 driven by refinements in the behavioral health screening and referral process, contacts in the first four months of Fiscal 2019 reflected a referral rate consistent with year-to-year supervision population decreases as well as better screening practices by probation officers.
- Early completions represented nine percent of all adult probation supervision case closings, compared to 10 percent during the first four months of Fiscal 2018. The rate of adults successfully completing their probation terms during the reporting period was 77 percent, a decline of one percentage point. The rate for juveniles increased four percentage

points to 91 percent. The Department continues to prioritize identifying qualified candidates for early completion based on compliance with the terms of probation and working towards goals set in individual action plans.

- The Department's Intelligence Unit (Intel) completed 918 enforcement actions, a 17 percent increase. Intel utilized targeted deployment and enforcement practices aimed at individuals most at risk for recidivism or other misconduct.

SERVICE 1 Contribute to optimal court processing and decision-making in delinquency and criminal justice matters.

Goal 1a Produce timely and accurate pre-sentence investigations.

Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
Adult investigation reports completed - total	15,421	14,987	13,263	*	*	4,454	3,601
Adult investigation reports - on time completion (%)	NA	88.0%	94.0%	*	*	97.0%	98.0%
Juvenile investigation reports completed	2,019	1,927	1,779	*	*	604	515
Juvenile investigation reports - on time completion (%)	81.0%	87.0%	87.0%	*	*	85.0%	88.0%
★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None							

Goal 1b Identify youth appropriate for diversion from formal juvenile court proceedings via adjustment services.

Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
Juvenile supervision - Intake cases received	4,640	3,856	3,699	*	*	1,239	911
★ Juvenile delinquency cases eligible for adjustment (%)	28%	25%	30%	30%	30%	29%	38%
– low-risk (%)	40%	36%	41%	*	*	37%	48%
– medium-risk (%)	14%	14%	12%	*	*	16%	12%
– high-risk (%)	7%	11%	11%	*	*	5%	10%
★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None							

SERVICE 2 Improve community safety through a combination of accountability and support activities with those under probation supervision.

Goal 2a Assess risk to match individuals with supervision and monitoring levels; use re-arrest and violation trends to make adjustments to supervision level components.

Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
Adult supervision cases - end of period	21,153	20,404	19,229	*	*	20,244	18,558
Juvenile supervision cases - end of period	1,347	1,023	973	*	*	991	903
Adult initial risk assessments completed	7,648	21,313	17,246	*	*	7,032	5,270
Juvenile initial risk assessments completed	1,117	1,413	1,375	*	*	814	519
★ Adult probationer rearrest rate (monthly average) (%)	3.4%	3.1%	2.7%	3.0%	3.0%	3.0%	2.5%
★ Adult probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	3.3%	3.3%	3.1%	2.6%	2.6%	3.3%	3.0%
★ Juvenile probationer rearrest rate (monthly average) (%)	4.8%	4.4%	4.2%	3.5%	3.5%	4.1%	2.9%
★ Juvenile probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	0.3%	0.3%	0.3%	*	*	0.3%	0.2%
★ Average monthly violation rate for adult probationers (%)	0.9%	1.0%	1.0%	*	*	1.0%	1.0%
★ Average monthly violation rate for juvenile probationers (%)	3.0%	3.5%	3.3%	3.0%	3.0%	3.4%	3.2%
Probation violation proceedings ending in revocation for adult probationers (%)	54%	51%	49%	*	*	50%	47%
★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None							

Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
Probation violation proceedings ending in revocation for juvenile probationers (%)	NA	41%	30%	*	*	31%	25%
Revocation of juveniles not resulting in placement (%)	36.0%	29.0%	47.0%	*	*	52.0%	52.0%
Revocation of juveniles resulting in placement (%)	64.0%	71.0%	53.0%	*	*	48.0%	48.0%
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target	* None				

Goal 2b Increase the probability of successful completion of probation terms through maximizing the use of evidence-based practices and community-based interventions.

Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
Adult supervision- new individual action plans (IAPs) created for eligible clients (%)	100%	100%	100%	*	*	100%	100%
Juvenile supervision - new Individual action plans (IAPs) created for eligible clients (%)	100%	100%	100%	*	*	100%	100%
New enrollments in alternative-to-placement (ATP) programs	134	100	82	*	*	34	22
New enrollments in DOP-managed programs	1,432	1,476	1,452	*	*	539	553
Adult probationer early completion rate (%)	10%	12%	10%	*	*	10%	9%
Adult probationer early completion approval rate (%)	75%	75%	75%	*	*	67%	77%
★ Successful completion rate for adult probationers (%)	NA	NA	76%	↑	↑	78%	77%
★ Successful completion rate for juvenile probationers (%)	NA	NA	84%	↑	↑	87%	91%
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target	* None				

Goal 2c Maximize accountability with probation compliance through field visits and enforcement actions.

Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
Intel enforcement events	1,525	2,548	2,269	*	*	787	918
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target	* None				

AGENCY CUSTOMER SERVICE

Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
Customer Experience							
Completed requests for interpretation	9,425	11,870	NA	*	*	NA	NA
Letters responded to in 14 days (%)	100%	100%	100%	*	*	100%	100%
E-mails responded to in 14 days (%)	100%	100%	100%	*	*	100%	100%
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target	* None				

AGENCY RESOURCES

Resource Indicators	Actual			Sept. 2018 MMR Plan	Updated Plan	Plan	4-Month Actual	
	FY16	FY17	FY18	FY19	FY19 ¹	FY20 ¹	FY18	FY19
Expenditures (\$000,000) ²	\$89.0	\$94.5	\$103.1	\$119.7	\$121.4	\$116.2	\$43.9	\$47.0
Revenues (\$000)	\$420	\$460	\$442	\$452	\$452	\$452	\$174	\$139
Personnel	936	973	1,052	1,227	1,228	1,219	1,010	1,130
Overtime paid (\$000)	\$563	\$1,239	\$1,548	\$419	\$1,864	\$1,164	\$492	\$327
¹ February 2019 Financial Plan ² Expenditures include all funds "NA" - Not Available								

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

Unit of Appropriation	Expenditures FY18 ¹ (\$000,000)	February 2019 Financial Plan FY19 ² (\$000,000)	Applicable MMR Goals ³
Personal Services - Total	\$69.2	\$83.6	
001 - Executive Management	\$9.1	\$10.0	All
002 - Probation Services	\$60.1	\$73.6	All
Other Than Personal Services - Total	\$33.9	\$37.8	
003 - Probation Services	\$33.8	\$37.7	All
004 - Executive Management	\$0.1	\$0.1	All
Agency Total	\$103.1	\$121.4	
¹ Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2018. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None			

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The four-month Fiscal 2018 result for the indicator 'Juvenile Probationer Rearrest Rate (monthly average)(%)' has been revised from 4.4 percent to 4.1 percent, based on an internal review of rearrest notice categorization within DOP's case management system.
- The four-month Fiscal 2018 results for the indicators 'Successful completion rate for adult probationers (%)' and 'Successful completion rate for juvenile probationers (%)' were revised to reflect a new calculation method. They are now calculated based on the following types of probation supervision case closings: maximum expiration date, and early completions. This revision aligns with State Division of Criminal Justice Services standards for data reporting at local probation districts. This change resulted in successful completion rates of 78 percent for adults and 87 percent for juveniles during the first four months of Fiscal 2018.
- Four-month Fiscal 2019 data for the indicator 'Completed requests for interpretation' is not available due to an issue with the reporting system. Fiscal 2019 figures for this indicator will be reported when they are available.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/probation.

