



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, and expanding opportunities for them to move out of the criminal and juvenile justice systems through meaningful education, employment, health services, family engagement, and civic participation. The Department supplies information and recommendations to the courts on both adult and juvenile cases to help inform sentencing and disposition decisions. Presentence investigations are provided to the courts on convicted adults and adjudicated youthful offenders to aid in sentencing. Investigations and recommendations reports are prepared for the Family Court to aid in decision-making on delinquency, family offense, custody, child support, visitation, adoption, and guardianship cases. The Department provides intake services and investigations for more than 25,000 adults and 13,000 juveniles per year, and supervises approximately 24,000 adults and 1,800 juveniles on any given day.

Our Services and Goals

Service 1: Improve public safety by motivating clients using evidence-based principles and practice.

Goal 1a: Minimize clients' misconduct and non-compliance with the conditions of probation, based on risk level, to improve their chances of completing a probation supervision term successfully.

Goal 1b: Reduce the percent of probationers who re-offend.

Service 2: Assist all probationers in minimizing contact with the criminal and juvenile justice systems.

Goal 2a: Establish individual achievement plans and promote early discharge for successful completion of probation conditions and programmatic objectives.

Goal 2b: Maximize the use of adjustment services at intake and alternatives-to-placement at disposition for juveniles.

How We Performed

- The average monthly violation rate for adult probationers was unchanged at 0.9 percent. The average monthly violation rate for juveniles was 3.1 percent, compared to 2.4 percent during the first four months of Fiscal 2013. The Department introduced a new risk and needs instrument for juveniles during Fiscal 2013, resulting in an increased rate of high risk youth receiving a probation sentence via local, community-based alternative-to-placement programs, rather than being placed at a State Office of Children and Family Services facility. DOP continues to utilize a graduated response protocol to intervene before misconduct is referred to court, and more proactively reaches out to probationers in jeopardy of a violation. For youth involved in violation proceedings, the probation revocation rate as a percentage of all dispositions has decreased from 60 percent in Fiscal 2011 to 47 percent in Fiscal 2013; during the reporting period the revocation rate was 50 percent, compared to 51 percent in the first four months of Fiscal 2013.
- The average monthly re-arrest rate for adult probationers was 3.1 percent, compared to a rate of 3.3 percent during the first four months of Fiscal 2013. When viewed as a percentage of all NYPD arrests, adult re-arrests decreased to 2.7 percent, from 2.9 percent in Fiscal 2013. The juvenile probationer average monthly re-arrest rate was 3.4 percent, up from 2.6 percent in Fiscal 2013. Juvenile re-arrests as a percentage of NYPD arrests increased to 0.3 percent, from 0.2 percent in Fiscal 2013. DOP continues to focus its resources on individuals at highest risk of re-offending, providing specialized services for youth via community providers based on the risk and need characteristics identified through the agency's pre-dispositional assessment instrument.
- During the first four months of Fiscal 2014, early discharges represented 11 percent of all adult probation supervision case closings, compared to 13 percent the previous year. The decline was caused by a reduction in the

number of eligible probationers due to an increased focus on discharging qualified candidates during Fiscal Years 2011 through 2013.

- The juvenile intake adjustment rate was 30 percent during the first four months of Fiscal 2014, a reduction of four percentage points from the previous fiscal year. Adjustment rates are based in part on the risk characteristics of juveniles at the time of arrest; in the first four months of Fiscal 2013, 22 percent of youths arrested for low-level misdemeanor charges most often considered for adjustment scored as high risk, compared to nine percent during the same period in fiscal 2012. In addition, low-level misdemeanors decreased as a percent of all arrests at intake, compared to the first four months of Fiscal 2013.
- The number of youth served by the Enhanced Supervision Program (ESP) declined by 25 percent to 532, compared to 709 during the first four months of Fiscal 2013. The Department's new risk and needs instrument, combined with a wider array of alternative-to-placement programs citywide, resulted in more specialized utilization of intensive supervision programs. DOP continues to work with the local courts and service providers to identify youth appropriate for community supervision rather than placement.

Service 1: Improve public safety by motivating clients using evidence-based principles and practice.

Goal 1a: Minimize clients' misconduct and non-compliance with the conditions of probation, based on risk level, to improve their chances of completing a probation supervision term successfully.

Performance Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
★ Average monthly violation rate for adult probationers (%)	1.0%	0.9%	0.9%	*	*	0.9%	0.9%
★ Average monthly violation rate for juvenile probationers (%)	2.1%	2.8%	2.7%	3.0%	3.0%	2.4%	3.1%
Successful completion rate for adult probationers (%)	62.0%	64.0%	58.0%	*	*	62.0%	64.0%
Successful completion rate for juvenile probationers (%)	64.0%	62.0%	63.0%	*	*	64.0%	62.0%
Probation violation proceedings ending in revocation for adult probationers (%)	46.0%	46.0%	45.0%	*	*	46.0%	45.0%
Probation violation proceedings ending in revocation for juvenile probationers (%)	60.0%	57.0%	47.0%	*	*	51.0%	50.0%

★ Critical Indicator "NA" - means Not Available in this report ↕ ↗ shows desired direction

Goal 1b: Reduce the percent of probationers who re-offend.

Performance Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
★ Adult probationer rearrest rate (monthly average) (%)	3.1%	3.0%	3.1%	3.0%	3.0%	3.3%	3.1%
★ Adult probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	2.6%	2.6%	2.8%	2.6%	2.6%	2.9%	2.7%
★ Juvenile probationer rearrest rate (monthly average) (%)	3.0%	2.9%	2.7%	2.6%	2.6%	2.6%	3.4%
★ Juvenile probationers arrested citywide as a percentage of the NYPD arrest report (monthly average)	0.3%	0.3%	0.2%	*	*	0.2%	0.3%

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Service 2: Assist all probationers in minimizing contact with the criminal and juvenile justice systems.

Goal 2a: Establish individual achievement plans and promote early discharge for successful completion of probation conditions and programmatic objectives.

Performance Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
Adult probationer early discharge rate (%)	19%	17%	12%	*	*	13%	11%

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Goal 2b: Maximize the use of adjustment services at intake and alternatives-to-placement at disposition for juveniles.

Performance Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
New enrollments in alternative-to-placement (ATP) programs	NA	NA	NA	*	*	NA	60
Total probationers supervised in Enhanced Supervision Program (ESP)	1,287	1,158	977	*	*	709	532
★ Juvenile delinquency cases eligible for adjustment (%)	40.0%	37.0%	34.0%	32.0%	32.0%	34.0%	30.0%
- low-risk (%)	NA	NA	47.0%	*	*	NA	40.0%
- medium-risk (%)	NA	NA	16.0%	*	*	NA	16.0%
- high-risk (%)	NA	NA	8.0%	*	*	NA	7.0%

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Agency Customer Service

Performance Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
Customer Experience							
Letters responded to in 14 days (%)	100%	100%	97%	*	*	100%	65%
E-mails responded to in 14 days (%)	100%	100%	100%	*	*	100%	100%

Agency Resources

Resource Statistics	Actual			Sept. 2013 MMR Plan	Updated Plan	Plan	4-Month Actual	
	FY11	FY12	FY13	FY14	FY14 ¹	FY15 ¹	FY13	FY14
Expenditures (\$000,000) ²	\$81.9	\$79.7	\$81.7	\$83.3	\$87.7	\$81.7	\$30.7	\$33.6
Revenues (\$000)	\$198	\$266	\$268	\$1,021	\$302	\$302	\$86	\$89
Personnel	1,024	976	952	1,002	1,051	1,013	966	956
Overtime paid (\$000)	\$156	\$184	\$404	\$534	\$545	\$534	\$111	\$92

¹February 2014 Financial Plan ²Expenditures include all funds. "NA" - Not Available in this report

Noteworthy Changes, Additions or Deletions

- The Department revised Fiscal 2014 targets for two indicators: 'Average monthly violation rate for juvenile probationers (%)' and 'Juvenile delinquency cases eligible for adjustment (%)', based on the increased risk / needs and criminal charge characteristics of juveniles being sentenced to probation. These changes are based on DOP's efforts to utilize community-based interventions for youth whenever appropriate.
- The Department added new performance indicators for adult and juvenile supervision. Successful completion rates measure the percentage of adult and juvenile clients who successfully complete their probation sentences. New probation revocation rates reflect the percentage of probation violation proceedings that result in a revocation, or removal of the client from probation supervision. The Department replaced the indicator 'Youth participating in Esperanza' with 'New Enrollments in Alternative-to-Placement (ATP) Programs.' This indicator includes enrollments in Esperanza, which has been an ATP program since 2003, and three additional ATP programs: Advocate, Intervene, Mentor (AIM); Every Child Has a Chance to Excel and Succeed (Echoes); and Pathways to Excellence, Achievement, & Knowledge (PEAK). All of these programs are designed to keep high risk youth safely in their communities, rather than be placed in a state facility, through intensive programming that will help them develop core life and educational skills, and maintain stable and positive personal relationships.

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

