New York State
Division of Criminal Justice Services

**New York State
Division of Criminal Justice Services
Office of Probation and Correctional Alternatives**

2018-19 Annual Probation Plan Data Responses

May 2018

Submission is due July 9, 2018

Please submit to:

dcjsapplications2018@dcjs.ny.gov

Submitting Probation Department:

Submission Date:

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Introduction

The 2018-19 Annual Probation Plan and Application presents an opportunity for Probation leaders to assess their department operations, staffing, training needs, and community resources.

 As part of the 2018-2019 planning process, Probation Departments will again review and consider important juvenile and criminal justice data in order to better plan and coordinate interventions, the effective use of local and state criminal justice resources, and funding with the goal of reducing offender recidivism, effectuating offender behavioral change, reducing unnecessary reliance on incarceration, and reducing victimization through the use of evidence-based practices.

Additionally, this information will be utilized to inform training and policy at the state level.   It is the goal of OPCA to compile the information that is provided and return it to the counties.

ALL OF THE QUESTIONS IN THIS APPLICATION MUST BE ANSWERED IN THEIR ENTIRETY AND SUBMITTED TOGETHER .

Instructions

1) **Section A: Local Juvenile/Criminal Justice Data Review and Planning** - This section will provide for a self-review of each jurisdiction's data, and inform the jurisdiction's 2018-19 criminal/juvenile justice strategy development and implementation as described in that section. Please refer to the data package which accompanies this plan/ application when completing this section.   **Last year's data package is hyperlinked in Section B for your reference.** All tables and questions in this section must be completed. Increasingly, many jurisdictions are being asked to develop annual goals and objectives by their County Executives. This data may be useful to demonstrate the positive impact of the Probation Department as well as assist the Probation Department with seeking additional resources to address identified problem areas.

2) **Section B: Local Program Inventory** – This inventory consists of two parts. The first part is the identification of programs that were available during 2017. The second part is the completion of the programming to be maintained, expanded, eliminated, or developed during 2018-19 based on the data and questions addressed in Section B, as well as the availability of resources. It is intended that this program inventory will enable each locality to determine whether or not appropriate services are available to support its' identified juvenile and criminal justice 2018-19 strategy.

3) **Section C: Local Probation Training Inventory** – This section identifies the specific types of training probation departments have attended in the prior year and the areas in which training is needed in 2018-19 in order to support the locality's juvenile and criminal justice strategies. This process will enable localities to pursue and consolidate training opportunities where appropriate. Attachment A, which lists current staff members who have received training in the NIC *Thinking For a Change* Curriculum, the *Offender Workforce Development Specialist Program*, Motivational Interviewing, and other cognitive-behavioral intervention programs should also be completed and sent as part of your plan. This information will inform DCJS/OPCA's annual training program, and the Statewide Probation Training Committee, and be used to develop a statewide database training portfolio for each probation officer .

4) **Section D: Juvenile Services** - This section identifies the use of the state approved assessments within departments.

5) **Section E: Focal Issues** – This section captures data and information regarding important issues regarding the probation profession.

6) **Section F: Crime Victim Services** – This section captures information regarding services to victims as part of the provision of probation services.

Section A: Local Juvenile/Criminal Justice Data Review and Planning

Planning Questions:

Please use the information presented in the "Appendix A: 2018-19 Probation Analysis and Planning File" attached to this application when completing the following tables and responding to the associated questions. If local data is referenced in any of your responses, please provide links to, or attach the source documents.

Please refer to the 2017-18 Annual Plan data package for comparison purposes as necessary, that document can be found at: http://www.criminaljustice.ny.gov/opca/ (under March 22, 2017).

Juvenile Probation

Table 1: Using the data found in the "2017 YASI Assessments" table of the attached Appendix A: 2018-19 Probation Analysis and Planning File, complete the following table to reflect the number YASI assessments completed by your probation department in 2017.

Note: the NYC Department of Probation shall reference their data and procedures relating to the use of the Y-LSI in Table 1 and all related questions.

Table 1: 2017 YASI Assessments

Agency	Initial Assessments (Pre-Screen or Full)	Re-Assessments	Case Closures (Final Reassessment)	Total YASI Assessments Completed
County/City				
Non-NYC	7,247	8,344	4,566	20,157
NYC (Y-LSI)				

1. Risk and Need Assessment-

a. Comparing the assessment numbers from the 2016 (as found in Table 1 of the prior year's annual plan data package) to the 2017 assessment numbers, has there been any changes in your county in terms of the numbers of initial assessments, reassessments, and case closure assessments in your county?

Please provide your analysis for any change(s):

Table 2: Using the data found in the "Juvenile Workload Volume" table of the attached Appendix A: 2018-2019 Probation Analysis and Planning File, please complete the following table to reflect the 2016 Juvenile Workload Volume for your county/City.

Table 2: 2016 Juvenile Workload Volume

	2016				2016		
	PINS Intake Opened	PINS Investigations Opened	PINS Supervision Cases Opened		JD Intake Opened	JD Investigations Opened	JD Supervision Cases Opened
County/City							
Non-NYC	5,118	1,007	743		6,169	1,641	1,213
Statewide	5,118	1,025	746		10,363	2,645	2,203

2. <u>Juvenile Workload Volume</u> - Using the data presented in Table 2 for 2015 (as found in the prior

   year's annual plan data package) and 2016, has the Juvenile Workload Volume changed?

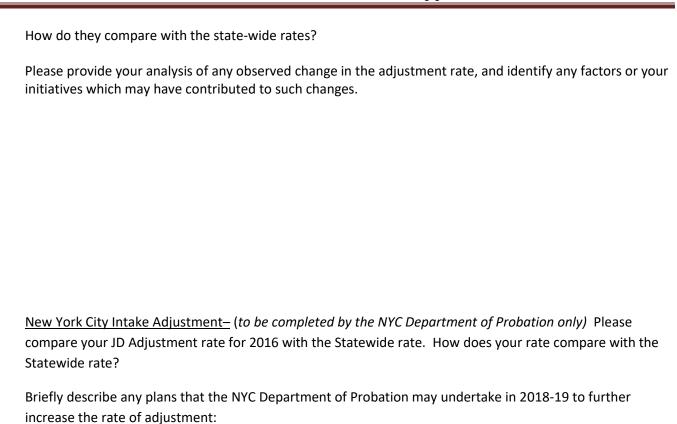   Please provide your analysis for the change?

Table 3A: Please complete the following table using the data found in the "2016 Juvenile Adjustment Rates" table of the attached Appendix A: 2018-2019 Probation Analysis and Planning File.

Table 3A: 2016 Juvenile Adjustment Rates [JD] *(Use Decimal Point When Entering Percentages)*

	# JD Cases Closed	JD Intake Cases Closed – Excludes Immediate Referrals	Adjustment Rate Including All Closed Cases	Adjustment Rate Excluding Immediate Referrals
County/City				
Non-NYC	6,210	3,305	43%	81%
Statewide	10,662	4,706	36%	82%

3. <u>Intake Adjustment Rate</u>- Using the data presented in Table 3 for 2015 (as found in the prior year's annual plan data package) and Table 3A for 2016 to compare the adjustment rate, what changes have occurred in your jurisdiction in terms of the JD adjustment rates.

   How do they compare with the non-NYC rates?

How do they compare with the state-wide rates?

Please provide your analysis of any observed change in the adjustment rate, and identify any factors or your initiatives which may have contributed to such changes.

New York City Intake Adjustment– (*to be completed by the NYC Department of Probation only)* Please compare your JD Adjustment rate for 2016 with the Statewide rate. How does your rate compare with the Statewide rate?

Briefly describe any plans that the NYC Department of Probation may undertake in 2018-19 to further increase the rate of adjustment:

Table 3B: Please complete the following table using the data found in the "2016 PINS Intakes Closed and Successfully Diverted" table of the attached Appendix A: 2018-2019 Probation Analysis and Planning File.

Table 3B: 2016 Juvenile Successful Diversion Rates [PINS] *(Use Decimal Point When Entering Percentages)*

	# PINS Cases Closed	PINS Intake Cases Closed – Excludes Immediate Referrals, Withdrawn, Terminated with Bar to Petition	Successfully Diverted	Successful Diversion Rate Including All Closed Cases	Successful Diversion Rate Excluding Immediate Referrals, Withdrawn, Terminated with Bar to Petition
County					
Rest of State*	5,997	4,129	2,996	50%	73%

*All Probation Departments that provide PINS Intake/Diversion services reported on the OP30.

4. <u>Intake Successful Diversion Rate</u>- For departments that provide PINS Intake/Diversion Services, how do your rates compare with the Rest of State?

Please provide your analysis of the successful diversion rates, and identify any factors or your initiatives which may have contributed to the rate.

NYC DOP or other departments that do not provide PINS Intake/Diversion services, please enter N/A for this question.

Table 4A: Please complete the following table using the data found in the "2016 Juvenile Probation Supervision Cases Closed" table of the attached Appendix A: 2018-19 Probation Analysis and Planning File.

Table 4A: 2016 Juvenile Probation Supervision Cases Closed (PINS) *(Use Decimal Point When Entering Percentages, such as .95)*

	2016					
	Total PINS Cases Closed	% Positive Outcome	% Negative Outcome	Total JD Cases Closed	% Positive Outcome	% Negative Outcome
County/City						
Non-NYC	661	63%	37%	1,102	67%	33%
Statewide	673	64%	36%	2,085	67%	33%

Table 4B: Please complete the following table using the data found in the "2016 JD Probation Supervision Cases Closed by Closing Category" table of the attached Appendix A: 2018-19 Probation Analysis and Planning File.

Table 4B: 2016 Juvenile Delinquent Probation Supervision Cases Closed by Closing Category *(Use Decimal Point for %)*

	2016								
	Maximum Expiration	%	Early Discharge	%	Revoked/ Discharged	%	Transferred Out	%	Total Closed
County/City									
Non-NYC	641	55%	98	8%	363	31%	69	6%	1,171
Statewide	1,287	55%	120	5%	678	29%	236	10%	2,321

5. <u>Probation Supervision and Outcomes</u>- In reviewing the 2016 data presented in Table 4A and 4B, please comment on your positive and negative outcomes for both PINS and JD rates (4A) as well as the closing reasons for JD matters (4B).

If you have a high rate of positive outcomes in 2016, what strategies or factors may have contributed to that result in your jurisdiction?

If a high negative outcome rate(s) occurred in 2016, what actions have the department taken to address this issue and what barriers still exist to improve outcomes?

Tables 5 and 6: Please complete the following table, using the data found in the "Detention Admissions and Care Days" 2015 and 2016 tables of the attached Appendix A: 2018-19 Probation Analysis and Planning File.

Tables 5 and 6: Detention Admissions and Care Days

County/City	JD/JO (Youth)		PINS (Youth)		Total (JD/JO, PINS)			JD/JO	PINS
	#	%	#	%	#	%		Care Days	
2015									
2016									

6. Reviewing the table for *Detention Admissions and Care Days for 2015 and 2016*, please indicate the change, if any, of use in your county?

   Please provide your analysis for an increase or decrease:

Table 7: Please complete the following table using the data found in the "Distribution of JDs Admitted to LDSS Custody, OCFS Custody in Voluntaries, and OCFS Custody in OCFS Operated Facilities 2012-2016" table of the attached Appendix A: 2018-19 Probation Analysis and Planning File.

Table 7: Distribution of JDs placed in the care and custody of the LDSS, placed in OCFS Voluntary Agencies, and OCFS Custody in OCFS Operated Facilities 2012 - 2016

County/City	# OCFS FAC JD	# OCFS VA JD	# LDSS JD	Total
2012				
2013				
2014				
2015				
2016				

7. Reviewing the table for *Distribution of JDs Admitted for 2012-2016*, do these numbers reflect any trend in placements for your county?

Please describe actions or circumstances that may have impacted this trend:

Table 8: Please complete the following table using the data found in the "Local District of Social Services PINS Admissions By County 2012 to 2016" table of the attached 2018-19 Probation Analysis and Planning File.

Table 8: Local District of Social Services Custody PINS Youth in Care

County/City	LDSS PINS
2012	
2013	
2014	
2015	
2016	

8. Reviewing the chart for *Local District of Social Services PINS Admissions By County 2012 to 2016*, do these numbers reflect any trend for PINS admissions in your county over the past five years?

    Please describe actions or circumstances that may have impacted this trend:

9. What programs are in place to address: detention, intake/diversion, and supervision?

10. If your department is a partner or utilizing STSJP (Supervision and Treatment Services for Juveniles Program) funding from OCFS, please advise what services have been implemented through this funding stream in your county to reduce detention and placements:

    Is Probation the lead STSJP agency?

11. a. <u>Programs and Services</u>- What are the top three present challenges in your county regarding juveniles (examples: truancy, interactions within the family, substance abuse, mental illness, gangs, criminal associates, etc.)?

Are there sufficient program/services in your county address juvenile justice needs?

If not, what types of programs/services would help in your community?

b. <u>2018-19 Future Strategies</u> – Given the analysis of the juvenile justice data above , please advise what systems issues exist within your jurisdiction and advise on any strategies to improve your juvenile justice system:

What guidance/resources might be helpful to implement such strategies?

12. Is your department using Juvenile Substitute Contacts for JD or PINS probation supervision cases - pursuant to 9 NYCRR Part 351, Section 351.6(b)?

    If yes, which agencies and programs within your jurisdiction do you use when implementing Juvenile Substitute Contacts?

    Why were these agencies selected and what is the evidence to demonstrate they have positive outcomes in working with juveniles?

Case Planning for Probation Supervision Cases for Family Court/Youthful Offenders (YO)

13. Please indicate which case plan for format your Department utilizes with probation supervision cases for Family Court/YO Cases:

    Note: CE Planning Product is a separate case planning module. If using the Case Plan in CE, select PRCR.

    If "*Local Case Plan or Other*" is selected – <u>Please provide a copy to OPCA with the submission of this data package.</u>

14. Please indicate which of the following items are addressed in local policy in terms of case planning for this population:

    Efforts to engage the probationer and their family.
    Provided feedback of the assessment results.
    Use of risk and needs assessment(s) results to inform the action steps, short term and longer term goals.
    Determine level of motivation to change.
    Use of Motivational Interviewing.
    Match case planning goals and strategies to probationer's level of motivation to change.
    Documented Review and Approval of assessment results of the case plan by the Probation Supervisor.

    Comment:

15. Please indicate which of the following items are addressed in local policy in terms of Periodic Re-assessment and Case Review for this population:

    Case review every 3 months for active juvenile cases, 6 months for active criminal cases, or every 12 months for administrative cases.
    Reassessment or case review utilizing a state approved risk and needs assessment or case review instrument.
    Review of compliance with all required contacts and documentation in the case file.
    Where applicable, review of documented participation in merit credit activities and documentation.
    Review of compliance with the conditions of probation as well as progress towards achieving the case plan goals, objectives, and action steps.
    Consideration of the following options: modification of the case plan; reclassification of the supervision level; modification of the conditions of probation; and/or where applicable, merit credit eligibility.

    Comment:

Adult Probation

Table 9: - Complete the following table, using the data found in the "NYCOMPAS Assessments and Reviews Completed by Probation Departments 2017" table of the attached Appendix A: 2018-19 Probation Analysis and Planning File.

Note: the NYC Department of Probation shall reference their data and procedures relating to the use of the LSI in Table 9 and related questions

Table 9: NYCOMPAS Assessments and Reviews Completed by Probation Departments 2017

	Pre-Trial	**Initial NYCOMPAS**	**Reclassification**	**Grand Total**
County				
NYC (LSI)				

16. Comparing the assessment numbers from the 2016(as found in Table 9 of the prior year's annual plan data package to the 2017 assessment numbers, has there been any changes in your county in terms of the numbers of pretrial, initial assessments, and reclassification?
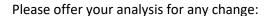
    Please offer your analysis for any change(s):

Table 10: Complete the following table, using the data found in the "New Probationers Received: 2017" table of the attached Appendix A: 2018-19 Probation Analysis and Planning File and the data from last year's table.

Table 10: 2017 New Probationers Received

	Sentenced Misdemeanors	Sentenced Felonies	Interim Supervision	Other	Total
County/City					

17. In comparison to the 2016 New Probationers Received table (Table 10 in the prior year's annual plan data package) has your jurisdiction experienced any significant changes to the number of New Probationers received in any of these categories?

Please offer your analysis for any change:

Table 11: Complete the following table using the data presented in the "2017 Probationer Arrests and Total Arrests by County" report found in the attached Appendix A: 2018-19 Probation Analysis and Planning File.

Table 11: 2017 Probationer Arrests and Total Arrests by County *(Use decimal point for Percentage)*
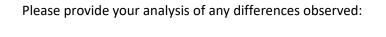
	Total Arrests			Felony Arrests of Probationers			Misdemeanor Arrests		
	Total 2017 Adult Arrests	Total Arrests of Probationers	Probation Arrests as % of Total Arrests	Total Felony Arrests	Felony Arrests of Probationers	Probation Arrests as % of Felony Arrests	Total Misdemeanor Arrests	Misdemeanor Arrests of Probationers	Probation Arrests as % of Misdemeanor Arrests
County/City									
Non-NYC	208,358	12,559	6.0%	61,764	4,916	8.0%	146,594	7,643	5.2%
Statewide	448,346	21,174	4.7%	142,328	8,782	6.2%	306,018	12,392	4.0%

18. <u>Probationer Arrests</u>- Using the data presented in Table 11, what is your jurisdiction's percentage of probationer arrests as a percentage of total arrests?

In comparing the probationer arrest data from Table 11 in 2016 (as found in the prior year's annual plan data package) to 2017, have the number of probationer arrests as a percentage of total arrests in your jurisdiction change over the two year period?

Please provide your analysis of any changes observed.

Counties outside of NYC: How does your jurisdiction's 2017 percentage of probationer arrests as a percentage of total arrests compare with non-NYC and statewide percentages?

Please provide your analysis of any differences observed:

NYC Department of Probation: How does your 2017 percentage of probationer arrests as a percentage of total arrests compare to the statewide rate and your analysis?

Table 12: Complete the following table, using the data presented in the "Violations of Probation Filed and Recorded in IPRS: 2017" table found in the attached Appendix A: 2017-18 Probation Analysis and Planning File.

Please note that the number of Total Probation Cases in this table includes the total number of active cases open for any portion of 2017. Further, VOP's filed are counted once in this table according to the following hierarchy: New Conviction, Technical Arrest, Absconded, Other Technical.

Table 12: Violations of Probation Filed: 2017 *(Use Decimal Point for %)*

	Total Probation Cases	Total Cases with Violation Filed	% of Cases with Vio-lation Filed	New Conviction	%	Technical Arrest	%	Absconded	%	Other Technical Violation	%
County/ City											
Non-NYC	98,774	11,331	11%	287	3%	4,903	43%	1,283	11%	4,858	43%
Statewide	141,070	12,984	9%	620	5%	5,746	44%	1,613	12%	5,005	39%

*Please note that these numbers include all active probation cases by jurisdiction throughout the year 2017.

19. <u>Probation Violation Rates</u>

What is your jurisdiction's percentage of open cases with violations filed in 2017?

Please offer any observations from within the jurisdiction which may have affected this rate, and any strategies to address this rate:

Counties outside of NYC : How does your % of cases with Violations Filed compare with non-NYC and statewide rates?

NYC Department of Probation: How does your % of cases with Violations Filed compare with the Statewide rate?

Table 13: Complete the following table, using the data presented in the "Probationers Resentenced for a Violation

of Probation: 2017" report found in the attached Appendix A: 2018-19 Probation Analysis and Planning File.

Table 13: Probationers Resentenced for a Violation of Probation: 2017 *(Use Decimal Point for %)*

	Jail		Prison		Other		Total Offenders Re-Sentenced	Total Probationers	Re-Sentenced Rate
	#	% of Total Re-Sentenced	#	% of Total Re-Sentenced	#	% of Total Re-Sentenced			
County/City									
Non-NYC	5,233	79.1%	970	14.7%	413	6.2%	6,616	90,238	7.3%
Statewide	6,286	79.6%	1,149	14.5%	464	5.9%	7,899	131,560	6.0%

20. Probationers Re-Sentenced for a Probation Violation- What is your jurisdiction's violation re-sentence rate
    for 2017?

Counties outside of NYC : How does your violation re-sentence rate compare with the non-NYC and statewide

rates?

NYC Department of Probation: How does your violation re-sentence rate compare with the statewide rate?

21. <u>Residential Stabilization Centers (RSC)</u> - OPCA had expanded the RSC model to allow for increased utilization statewide by expanding the number of counties served by the RSCs. Currently, they are located in the Albany, Dutchess, and NYC regions.

    How does your jurisdiction utilize the RSC?

    How did your utilization or non-utilization impact your VOP resentence rate in 2016?

    If your jurisdiction does not utilize the RSC, what barriers exist that prevent use of the RSC?

22. Since completion of the 2017-2018 Annual probation Plan/Application, has your Department issued any written graduated responses or violation policy regarding the consideration of the RSC's?

    If yes, please *attach a copy* of such policy to the completed plan.

Table 14: Complete the following table, using the data presented in the "Adult Supervision Outcomes: 2017 Case Closures" table found in the Appendix A: 2018-19 Probation Analysis and Planning File.

Table 14: Adult Supervision Outcomes: 2017 Case Closures for Sentenced Individuals

	Total Probationer Outcomes	Early Discharge		Maximum Expiration		Total Positive		Negative Outcome		Neutral Outcome	
		Number Closed	% of Total Closed	Number Closed	% of Total Closed	Number Positive	% of Total Closed	Number Negative	% of Total Closed	Number Neutral	% of Total Closed
County/City											
Non-NYC	26,242	6,170	23.5%	8,805	33.6%	14,975	57.1%	9,108	34.7%	2,159	8.2%
Statewide	32,419	6,870	21.2%	12,955	40.0%	19,825	61.2%	10,396	32.1%	2,198	6.8%

23. <u>Positive Outcomes</u>- What is your rate of positive outcomes for individuals under criminal court probation supervision (Table 14)?

The neutral outcome number is based upon interim cases that were closed as *returned to court for further action* – this closure may be either a positive or negative outcome depending upon the case. If your department had a large number of interim cases closed with this neutral outcome, based upon your experience, how would this neutral outcome number influence your overall positive or negative outcomes numbers for the department? For example, if the positive percentage was 33%, the negative percentage was 33%, and the neutral percentage was 34% (with the majority of the interim cases closed as positive based upon your experience) you might estimate that your positive percentage would actually be closer to 62%.

Counties outside of NYC : How does this compare with the non-NYC and the statewide rates?

NYC Department of Probation: How does this compare with the statewide rate?

24. <u>Early Discharges-</u> What is your jurisdiction's rate of Early Discharge from Probation Supervision in 2017 as indicated in Table 14?

Please describe any change in early discharge rates that your department experienced compared to 2016, and any reasons for such change. What actions, if any, has your department taken in convening meetings with Judges, Prosecutors, Defense Counsel in your county/city?

Counties outside of NYC : How does this compare with the non-NYC and the statewide rates?

NYC Department of Probation: How does this compare with the statewide rate?

Table 15: Complete the following tables, using the data presented in the "Probationer Felony Re-Arrests within One, Two, and Three Years of Being Sentenced to Probation 2012-2016" tables found in the Appendix A: 2018-19 Probation Analysis and Planning File.

Table 15: Probationer Felony Re-Arrests within One, Two, and Three Years of Being Sentenced to Probation 2012-2016

County/City	Year Sentenced to Probation				
	2012	2013	2014	2015	2016
# Sentenced During Year					
% arrested Within One Year					
% arrested Within Two Years					
% arrested Within Three Years					

Non-NYC	Year Sentenced to Probation				
	2012	2013	2014	2015	2016
# Sentenced During Year	29,079	29,190	27,499	25,612	25,494
% arrested Within One Year	10.8%	10.5%	10.6%	10.6%	11.0%
% arrested Within Two Years	17.2%	16.6%	16.6%	17.0%	
% arrested Within Three Years	21.7%	21.4%	21.4%		

Statewide	Year Sentenced to Probation				
	2012	2013	2014	2015	2016
# Sentenced During Year	35,930	35,162	32,892	30,471	31,197
% arrested Within One Year	12.0%	11.7%	11.6%	11.6%	12.3%
% arrested Within Two Years	18.8%	18.4%	18.2%	18.5%	
% arrested Within Three Years	23.7%	23.4%	23.3%		

25. <u>Probationer Recidivism</u>- How has your jurisdiction's Probationer Felony Re-Arrest Rates changed over the last three to five years for the one year, two year and three year recidivism rate including any increases or decreases noted and your analysis for the reasons why the change has occurred (Table 15)?

Please advise of any changes the department has made or will be making to reduce the probationer recidivism rate?

Table 16: Complete the following table, using the data presented in the "Probation Cases Past Maximum Expiration Date" table found in the attached Appendix A: 2018-19 Probation Analysis and Planning File.

Please note that this table presents a "snapshot" of information as reflected in IPRS as of the date indicated on the report. Table 16: Probation Cases Past Maximum Expiration Date: 2017

| | | Cases with DOD and VOP Filed | | Cases *without* DOD and VOP Filed | | Cases in IPRS with VOP reason of Absconder | |
	Total Cases Active on IPRS 2016	Cases past Maximum Expiration	% of Active Cases past Maximum Expiration	Total #Cases >MED Closable	% of Active Cases past Maximum Expiration*	# Cases with Open VOP for Absconding	% Active Cases with Open VOP for Absconding
County/City							
Non-NYC	70,723	5,720	8.1%	773	1.1%	3,721	5.3%
Statewide	105,579	17,162	16.2%	1,803	1.7%	12,613	11.9%

Probation Warrants and Case Closings- Using the data presented in Table 17, please answer the following:

26. What is your probation department's % Active Cases > MED with DOD as of 02/05/2017?

    Do these cases represent active warrants in your jurisdiction?

    What action(s) has your jurisdiction taken or will be taking to reduce the number of active probation warrants for absconders?

27. What is your probation department's % Active IPRS Cases Closeable without Declaration of Delinquency and Violation Filed as of 02/05/2017?

    These represent cases that should be closed in the Integrated Probation Registrant System. This % Active IPRS Cases Closeable should be as close to zero as possible. If it is above 5% what action(s) is your jurisdiction taking to reduce the number?

Note: The % Active IPRS Cases Closeable ("Threshold Report") requires certification by the Probation Director that your departmental rate is less than 5%. Please be sure to check that your department threshold rate is below 5% and as close to 0% as possible before executing the certification.   How does the threshold rate in 2017 compare to the rate for 2018?

Any new strategies result in a decrease or issues that have resulted in an increase?

<u>Planning and Strategies</u>

28. <u>Programs and Services</u>-   Are there sufficient program/services in your jurisdiction to address the needs of your criminal court probationers?

    If not, what types of programs/services are needed in your county (examples: substance abuse services, mental health services, sex offender treatment, cognitive behavioral programming, pre-trial services, etc)?

    Please describe any actions your department may have taken or is planning to work with the Health Homes agency in your county to assist individuals register for Medicaid funded behavioral health services.

29. <u>2018-19 Future Strategies</u> –Considering the target areas identified by the questions above (for example Risk and Need Assessment, supervision outcomes, case planning, and reducing violations) please describe any strategies which you plan to employ in 2018-19 to reduce recidivism and improve public safety, and improve the Criminal Justice outcomes in your jurisdiction.

30. Please describe any changes in 2017 or planned changes in 2018 to the department's structure or processes related to Part 351 Probation Supervision Rule, implemented in June 1, 2013 (including assessment and case planning, identification of low risk cases and differential supervision, and merit credit) which has improved the management of Criminal and/or Family Court probation supervision cases in your county.

Case Planning for Court-Ordered Probation Supervision Cases – Criminal Court (Non-YO)

31. Please indicate which case plan format your Department utilizes with criminal court (Non-YO) supervision cases:

    CE Planning Product is a separate case planning module. If using the Case Plan in CE, select PRCR.

    If "*Local Case Plan or Other*" is selected – <u>Please provide a copy to OPCA with this submission.</u>

32. Please indicate which of the following items are addressed in local policy in terms of case planning for this population:

    Efforts to engage the probationer and their family.
    Provided feedback of the assessment results.
    Use of risk and needs assessment(s) results to inform the action steps, short term and longer term goals.
    Determine level of motivation to change.
    Use of Motivational Interviewing.
    Match case planning goals and strategies to probationer's level of motivation to change.
    Documented Review and Approval of assessment results of the case plan by the Probation Supervisor.

    Comment:

33. Please indicate which of the following items are addressed in local policy in terms of Periodic Re-assessment and Case Review for this population:

    Case review every 3 months for active juvenile cases, 6 months for active criminal cases, or every 12 months for administrative cases.
    Reassessment or case review utilizing a state approved risk and needs assessment or case review instrument.
    Review of compliance with all required contacts and documentation in the case file.
    Where applicable, review of documented participation in merit credit activities and documentation.
    Review of compliance with the conditions of probation as well as progress towards achieving the case plan goals, objectives, and action steps.
    Consideration of the following options: modification of the case plan; reclassification of the supervision level; modification of the conditions of probation; and/or where applicable, merit credit eligibility.

    Comment:

Section B: Local Program Inventory

Utilize the form below to inventory the programs/services available and those that you wish to develop or expand in your jurisdiction. First identify the information for programs/services available during 2017 then identify what the jurisdiction's plan is for programs/services in 2018-2019.

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2018-19 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2017? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Probation Specialized Supervision/Caseloads									
Adult Pre-Trial Services									
Domestic Violence									
Driving While Intoxicated									
Drug Offenders or Drug Court									
Female									
Gangs									
Juvenile Risk Intervention Services Coordination									

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)				Plan for 2018-19 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI	Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2017? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
PINS Pre-Diversion Services								
PINS Intake/Diversion Services								
Young Offenders (Youthful Offenders or 16-24 YOA)								
Mental Health								
Co-Occurring Disorders (Mental Health and Substance Abuse)								
Sex Offender								
Veterans								
(other)								
(other)								

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)				Plan for 2018-19 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2017? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Cognitive-Behavioral Interventions Available								
Aggression Replacement Training (ART)									
Crossroads Offender Curricula (NCTI) [specify module(s) used]								
(module1)									
(module2)									
(module3)									
Functional Family Therapy (FFT)									

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2018-19 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2017? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Life Skills Training (LST)									
Multi-Dimensional Treatment Foster Care									
Multi-Systemic Therapy (MST)									
Brief Strategic Family Therapy (BSFT)									
Strengthening Families									
Thinking for a Change (NIC)									
Offender Workforce Dev. Specialist (NIC)									
Interactive Journaling									
(other)									
Other Programs/Services									

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2018-19 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2017? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Community Service									
Computer Search and Monitoring									
Day Reporting									
Detention Services									
Domestic Violence Name of Program:									
Employment Services/Support									
Gang Intervention Name of Program:									
GED Program									
Group Counseling									

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2018-19 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2017? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Mediation									
Mentoring									
Parenting Skills									
Sex Offender Treatment: Group									
Sex Offender Treatment: Individual									
School-Based Probation Officers									
Substance Abuse Treatment									
Victim Awareness									
Victim Impact Panels									

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2018-19 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2017? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Restorative Justice practices (i.e. community accountability boards, mediation, victim-offender reconciliation)									
Specialty Courts									
Domestic Violence									
Driving While Intoxicated									
Drug Treatment (Criminal Court)									
Family Treatment (Family Court)									
Specialized Juvenile Delinquency									
Mental Health									

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2018-19 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2017? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Specialized Probation Violations									
Veterans									
Adolescent Diversion									
Sex Offender									
(other)									
(other)									
Miscellaneous									

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2018-19 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2017? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Drug Testing: Hair Analysis									
Drug Testing: Urinalysis									
Drug Testing: Saliva									
Drug Testing: Other									
Electronic Monitoring: Home									
Electronic Monitoring: GPS (Passive)									
Electronic Monitoring: GPS (Active)									
Home Confinement (Non-EM)									
Field Intelligence Probation Officer									
Gender-Responsive Strategies									
Voice Reporting									

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2018-19 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2017? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Kiosk Reporting									
Polygraph									
Warrant Execution									

Section C: Local Probation Training

Inventory

Instructions:

1. **Complete the chart below <u>by checking the appropriate boxes</u>, identifying which training topics Probation staff received in 2017 and, based on your 2018-19 strategies developed in Section D: Data Review and Planning, identify the training needs required to support your strategies during the next year.**

Probation Training Topics	Training Completed During 2017	Training Needed in 2018-19
Alcohol/Substance Abuse		
Automation – Caseload Explorer		
Cognitive Behavioral Interventions		
Domestic Violence		
Executive Leadership Skills		
Family Group Conferencing		
Gangs		
Gender-Specific Issues		
Ignition Interlock		
Interstate Transfers		
Intrastate Transfers		
Juvenile Justice		
Mental Health		

Motivational Interviewing		
NIC Offender Workforce Development Specialist (OWDS)		
Officer Safety		
Probation Supervisor		
Restorative Practices		
Risk and Need Assessment (YASI, NYCOMPAS, LSI, YLSI, and/or Specialized)		
Sex Offender		
NIC Thinking for a Change (T4C)		
Victim Issues		
Other		

Describe how your county will provide the needed training above:

Comments Related to Training Needs:

2. **Cognitive Behavioral Intervention/Evidence-Based Practices Trained Staff**

Provide below the names of the Probation staff that have been trained in 2017 (last calendar year) in Thinking for a Change, Motivational Interviewing, or Offender Workforce Development Specialist or other CBI program.   If there are no staff trained in any of these areas indicate by noting 'none'. For the last column "other", please list CBI program the staff person has been trained in (i.e. MRT, FFT, MST, BSFT, Interactive Journaling, Stregthening Families, etc.)

Name	Thinking for a Change (Check Box)	Motivational Interviewing (Check Box)	Offender Workforce Development Specialist (Check Box)	Other Cognitive Behavioral Intervention Program (please enter name of program)

Please describe your department's plan to train staff in cognitive behavioral interventions during 2018:

Staff Training

Please answer the following questions about new probation officer training:

Please enter zero(s) where applicable.

a) New PO/POT staff hired during 2017. Number:

   1. Of above number, how many were transfers from another probation department or rehires with less than four years absence from the job? Number:

   2. Of the above number, how many have been registered with NYS Peace Officer Registry at time of hire. Number:

b) Total PO/POT staff completing Peace Officer/Fundamentals of Probation Practice course in 2017 and including those hired in the prior year. Number:

c) Total PO/POT staff completing Firearms Training including those hired in the prior year, if required locally. Number:

d) Total PO/POT staff, including those hired in prior years, who have not yet completed:

   - Peace Officer/Fundamentals of Probation Practice:

   - Firearms Training:

e) If there are any officers within your department, hired prior to 2017, who have not completed Peace Officer/Fundamentals of Probation Practice or Firearms, if required, detail planned corrective action in the space below.

In the chart below, indicate the number of professional peace officer staff in the department, and of those, the number that completed the required 21 hour training requirement in 2017.

- Supervisory Management Staff includes supervisors and above

- Line staff includes POs, POTs, Sr. POs, and PO IIs

- Please do not include Probation Assistants in this count.

Staff Type	Number of Staff	Number who have completed the 21 required hours of Training
Supervisory Management		
Line Staff		
Total Professional Staff		

If 100% of the professional staff have not completed the required 21 hours of annual training, please identify staff and provide explantion for not meeting this requirement:

Section D: Juvenile Services

D-1 – County Probation Department

Please complete the following items relevant to your department's YASI utilization. Click on the down arrow and select the response option that most accurately reflects your department's use of YASI. Provide exact number for item 1, approximate percentages for items 2-19, and "yes" or "no" for items 20-24.

	YASI Training	Percent	Number
1	Number of staff who need Initial YASI training		
2	Number of staff who need additional YASI Training (i.e. Case Planning)		

	YASI Referrals for Services	2017	2018-19
3	Diversion - cases where YASI Full Assessment information is used to match youth to appropriate services.		
4	Diversion - cases where the YASI Full Assessment information and Case Plan are shared with service provider.		
5	Supervision - cases where YASI Full Assessment information is used to match youth to appropriate services.		
6	Supervision - cases where the YASI Full Assessment information and Case Plan are shared with service provider.		
Placement			
7	Post-adjudication – cases in which an OCFS or LDSS placement is the disposition (either at disposition or a Violation of Probation disposition) where the YASI Full Assessment information is shared with the placement agency.		
Quality Assurance and Data Utilization		Yes	No
8	The department has written policies and procedures regarding use of YASI Pre Screen and Full Assessment.		
9	The department has written policies and procedures regarding use of YASI case planning, service referral, and reassessment protocols.		

10	The department has a system to assure accuracy of YASI Pre-Screen and Full Assessment scoring accuracy and inter-rater reliability.	
11	The department has a system to assure staff continues developing their interviewing styles and skills (i.e. Motivational Interviewing training).	
12	The department is able to use its YASI data to assist in departmental policies and planning for juveniles within their county.	

Additional Comments:

D-2 – NYC Department of Probation

Please complete the following items relevant to your department's Y-LSI utilization. For stage of the juvenile probation system indicated below, click on the down arrow and select the response option that most accurately reflects your department's use of Y-LSI. Provide exact number for item 1, approximate percentages for items 2-19, and "yes" or "no" for items 20-24.

	Y-LSI Training	**Percent**	**Number**
1	Number of staff who need Y-LSI training		
	Y-LSI Screening and Assessment	**2017**	**2018-19**
2	Intake - cases receiving a Y-LSI Pre-Screen.		
3	Intake - low risk cases triaged via Pre Screen and diverted.		
4	Intake - moderate and high risk cases receiving a Y-LSI Full Assessment (in order to case plan).		
5	Investigation - cases receiving a Y-LSI Full Assessment (to inform PDI).		
6	Investigation - investigations completed using Y-LSI PDI Narrative software.		
7	Supervision - cases receiving Y-LSI Full Assessment (if not done at Intake or reassessment within 30 days if one was done at Intake).		
	Y-LSI Case Planning		
8	Diversion - cases where Y-LSI Case Planning software utilized.		
9	Supervision - cases where Y-LSI Case Planning software utilized.		
10	Supervision - cases where Y-LSI Full Assessment results are used to assist with supervision level assignment.		

	Y-LSI Referrals for Services		
11	Diversion - cases where Y-LSI Full Assessment information is used to match youth to appropriate services.		
12	Diversion - cases where the Y-LSI Full Assessment information and Case Plan are shared with service provider.		
13	Supervision - cases where Y-LSI Full Assessment information is used to match youth to appropriate services.		
14	Supervision - cases where the Y-LSI Full Assessment information and Case Plan are shared with service provider.		
	Y-LSI Reassessment		
15	Diversion - cases receiving Y-LSI Reassessment every 90 days.		
16	Diversion - cases receiving Y-LSI Reassessment at case closure.		
17	Supervision - cases receiving Y-LSI Reassessment every 90 days.		
18	Supervision - cases receiving Y-LSI Reassessment at case closure.		
	Placement		
19	Post-adjudication – cases in which an OCFS or LDSS placement is the disposition (either at disposition or a Violation of Probation disposition) where the Y-LSI Full Assessment information is shared with the placement agency.		
	Quality Assurance and Data Utilization	**Yes**	**No**
20	The department has written policies and procedures regarding use of Y-LSI Pre Screen and Full Assessment.		
21	The department has written policies and procedures regarding use of Y-LSI case planning, service referral, and reassessment protocols.		
22	The department has a system to assure accuracy of Y-LSI Pre-Screen and Full Assessment scoring accuracy and inter-rater reliability.		
23	The department has a system to assure staff continues developing their interviewing styles and skills (i.e. Motivational Interviewing training).		
24	The department is able to use its Y-LSI data to assist in departmental policies and planning for juveniles within their co unty.		

Additional Comments:

SECTION E: Focal Issues

Risk/Need Assessment
If the department utilizes any <u>specialized</u> risk/need assessment for a special population such as Domestic Violence, DWI, Mental Health, Gender Specific, Sex offender and/or other specialized assessment please indicate the name of the specialized assessment in this section. (*Not NYCOMPAS, YASI, YLSI, or LSI*)   a.   b.   c.   d.   e.

Probationer Employment Status			
The term '**Employable** adult probationers' means the total number of all probationers having the ability to work. Please **exclude the following**: inmates, disabled (unable to work), retired, full-time students, full-time homemakers, undocumented workers, absconders, and any others who are not in the workforce for legitimate and verifiable reasons (such as substance abuse/mental health treatment/conditions) that currently prevent employment.			
	Number of Employable Probationers	Number of Employed Probationers	% Employable Who Are Employed
As of December 31, 2017, how many of the department's adult probation cases are employable and how many of those employable probationers are actually employed (full- or part-time)? Probation Departments are requested to report the actual number of probationers as defined above.			

Mental Health Caseload
If your Department maintains a specialized Mental Health caseload(s) for mental illness and/or co-occurring disorders (as reflected in the Program Inventory section of this plan), please advise the number of FTE's assigned to this work. Please provide the names of the probation officers assigned to the specialized Mental Health caseloads: Please advise of the total number of probationers supervised on such specialized Mental Health caseloads as of December 31, 2017.

DWI Investigation and Supervision	
Does your Department maintain a specialized DWI pre-sentence investigation officer(s)?	
If your Department maintains a specialized DWI supervision caseload(s) (as reflected in the Program Inventory section of this plan), please advise of the number of officers assigned to this work. If your Department maintains a specialized DWI caseload(s), please advise of the total number of probationers supervised on such caseloads as of December 31, 2017.	
Please indicate if your department currently has access to or utilizes any of the following tools/services:	
Transdermal Alcohol Monitors (i.e. SCRAM)	
Drivers License Scanners	
License Plate Readers	
DWI Victim Impact Panel is offered in Jurisdiction	

Other: (i.e. Remote Alcohol Monitoring)	
Number of Probation staff with access to the NYS DMV License Event Notification System (LENS)?	
Does your Department utilize the License Monitor http://www.licensemonitor.com/ system?	
During the 2017 calendar year, how many parolees did your department receive for Ignition Interlock monitoring pursuant to the requirements of Leandra's Law subsequent to their parole/release from the Department of Corrections and Community Supervision (DOCCS)? Please include both probation and conditional discharge cases where applicable.	
In some jurisdictions, monitoring agencies and sentencing Courts have begun to require that operators who are subject to Leandra's Law, but do not install an IID because they report that they do not own or operate a motor vehicle, to use transdermal, home, and/or mobile electronic monitoring devices to monitor for alcohol consumption. For persons subject to IID installation, but do not install because they have stated to the Court they do not own or operate a motor vehicle, does your department use any other remote electronic devices that detect and report the use of alcohol?   If yes, which populations of operators who do not install IIDs and, as a result, are required to use other remote alcohol monitoring devices? (Check all that apply) ☐ Operators who are on probation; ☐ Operators who have received a conditional discharge. If yes, which units are being utilized for <u>probationers</u> who do not install an IID (check all that apply): ☐ Transdermal Devices; ☐ Mobile Electronic Units; ☐ Non-Mobile, Home-Based Units.   Please report the number of units: If yes, which units are being utilized for <u>conditional discharge operators</u> who do not install an IID (check all that apply): ☐ Transdermal Devices; ☐ Mobile Electronic Units; ☐ Non-Mobile, Home-Based Units. Please report the number of units: ___; If yes, who is covering the cost of the installation of these devices:

If yes, please describe your department's experience with this initiative:

If no, does your department plan to use such devices for persons who do not install an IID in 2017:

New Probationer Orientation
Please describe the probation department's process for orienting new probationers:
Does the department have an introductory brochure or document provided to probationers and or their families? (If yes, please provide these documents to OPCA)

Real Time Video Reporting

In reference to State Director's Memorandum #2015-2, dated January 22, 2015 regarding Real Time Video Reporting (RTVR):
 	
 Did your department use RTVR in 2017?
 	
 If yes, please answer the following questions:
 	
     Which probation population(s) is it being used for?
 	
     How is RTVR being used for this population?
 	
     How has the department benefited from implementing RTVR?
 	
 If no, please advise what barriers exist to do so?

SECTION F: Crime Victim Services

1) Does your department have a victim policy?

2) Please report the number of Domestic Violence cases are on your supervision caseloads as of 12/31/2017? (Potential indicators include: Intimate Partner offender/victim relationship on face sheet of PSI, offenders subject to orders of protection, cases classified as Family Offenses, cases in which a Domestic Incident Report has been generated.)

Family Court

Criminal Court

3) Does the department receive Domestic Incident Reports (DIRs) from law enforcement agencies?

    If "Yes"   a) How many law enforcement agencies provide DIRs?

            b) Are these provided to your department even if an arrest does not occur as a result of the incident reported in the DIR?

            c) Within what timeframe (from date of incident to date DIR received), on average, does the department typically receive DIRs?