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

2020-2021 Annual Probation Plan Data

Responses

April 2020

Submission is due June 5, 2020

Please submit to:

dcjsapplications2020@dcjs.ny.gov

Submitting Probation Department:

Submission Date:

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Introduction

The 2020-21 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 2020-2021 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 2020-21 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 A 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 2019. The second part is the completion of the programming to be maintained, expanded, eliminated, or developed during 2020-21 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 2020-21 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 2020-21 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 - Annual Plan Data Package 20-21" 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 2019-20 Annual Plan data package for comparison purposes as necessary, that document can be found at: http://www.criminaljustice.ny.gov/opca/

Juvenile Probation

Table 1: Using the data found in the "2019 YASI Assessments" table of the attached Appendix A: 2020-21 Probation Analysis and Planning File, complete the following table to reflect the number YASI assessments completed by your probation department in 2019.

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: 2019 YASI Assessments

Agency	Initial Assessments (Pre-Screen or Full)	Re-Assessments	Case Closures (Final Reassessment)	Total YASI Assessments Completed
County/City				
Non-NYC	8,175	8,652	5,553	22,380
NYC (Y-LSI)				

1. Comparing the assessment numbers from the 2018 (as found in Table 1 of the prior year's annual plan data package) to the 2019 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: 2020-21 Probation Analysis and Planning File, please complete the following table to reflect the 2018 Juvenile Workload Volume for your county/City.

Table 2: 2018 Juvenile Workload Volume

	2018				2018		
	PINS Intake Opened	PINS Investigations Opened	PINS Supervision Cases Opened		JD Intake Volume	JD Investigations Opened	JD Supervision Cases Opened
County/City							
Non-NYC	3,442	750	557		5,121	1,282	972
Statewide	3,442	762	567		8,509	1,891	1,783

2. <u>Juvenile Workload Volume</u> ‑ Using the data presented in Table 2 for 2017 (as found in the prior year's annual plan data package) and 2018, has the Juvenile Workload Volume changed?
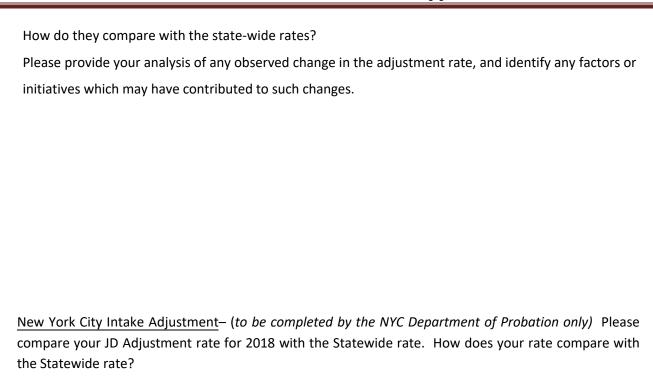
   Please provide your analysis for the change(s)?

Table 3A: Please complete the following table using the data found in the "2018 Juvenile Adjustment Rates" table of the attached Appendix A: 2020-2021 Probation Analysis and Planning File.

Table 3A: 2018 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	5,188	2,791	44%	82%
Statewide	8,690	3,998	38%	82%

3. <u>Intake Adjustment Rate</u>- Using the data presented in Table 3A for 2017 (as found in the prior year's annual plan data package) and Table 3A for 2018 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 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 2018 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 2020-21 to further increase the rate of adjustment:

Table 3B: Please complete the following table using the data found in the "2018 PINS Intakes Closed and Successfully Diverted" table of the attached Appendix A: 2020-21 Probation Analysis and Planning File.

Table 3B: 2018 PINS Intakes Closed and Successfully Diverted. *(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*	4,074	2,865	2,102	52%	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 "2018 Juvenile Probation Supervision

Cases Closed" table of the attached Appendix A: 2020-21 Probation Analysis and Planning File.

Table 4A: 2018 Juvenile Probation Supervision Cases Closed (PINS) *(Use Decimal Point When Entering Percentages, such as .95)*

	2018					
	Total PINS Cases Closed	% Positive Outcome	% Negative Outcome	Total JD Cases Closed	% Positive Outcome	% Negative Outcome
County/City						
Non-NYC	556	78%	22%	925	76%	24%
Statewide	563	78%	22%	1,678	72%	28%

Table 4B: Please complete the following table using the data found in the "2018 JD Probation Supervision Cases

Closed by Closing Category" table of the attached Appendix A: 2020-21 Probation Analysis and Planning File.

Table 4B: 2018 Juvenile Delinquent Probation Supervision Cases Closed by Closing Category *(Use Decimal Point for %)*

	2018								
	Maximum Expiration	%	Early Discharge	%	Revoked/ Discharged	%	Transferred Out	%	Total Closed
County/City									
Non-NYC	606	62%	98	10%	221	23%	57	6%	982
Statewide	1,074	56%	129	7%	475	25%	234	12%	1,912

5. <u>Probation Supervision and Outcomes</u>- In reviewing the 2018 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 2018, what strategies or factors may have contributed to that result in your jurisdiction?

If a high negative outcome rate(s) occurred in 2018, what actions have the department taken to address this issue and what barriers still exist to improve outcomes? Please comment specifically on the number and percent of probation violations/revocations and the departments actions to reduce this number.

Tables 5 and 6: Please complete the following table, using the data found in the "Detention Admissions and Care Days" 2017 and 2018 tables of the attached Appendix A: 2020-21 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	
2017									
2018									

6.   Reviewing the table for *Detention Admissions and Care Days for 2017 and 2018*, please indicate the change, if any, of use in your county?

Please provide your analysis for an increase or decrease:

Table 7: Starting with the 2020-2021 Annual Probation Plan and Application, OPCA has added a new chart for Adolescent Offender Detention and Care Days for the calendar year 2018. This chart will appear in future annual plans. As this chart only reflects the limited numbers of 16-year-old AO youth for the period of October 1 – December 31, 2018, Probation departments are not requested to provide an analysis of this data for the 2020-2021 Annual Plan. However, if the department would like to provide any feedback regarding AO Detention/Care Days, please provide your feedback below.

Adolescent Offender Detention/Care Days Feedback:

Table 8: Please complete the following table using the data found in the "JD Admissions: OCFS Custody in Operated Facilities, OCFS Custody in Voluntary Agencies and LDSS Custody 2014-2018" table of the attached Appendix A: 2020-21 Probation Analysis and Planning File.

Table 8: JD Admissions: OCFS Custody in Operated Facilities, OCFS Custody in Voluntary Agencies and LDSS Custody 2014-2018

County/City	# OCFS FAC JD	# OCFS VA JD	# LDSS JD	Total
2014				
2015				
2016				
2017				
2018				

7. Reviewing the table for *Distribution of JDs Admitted for 2014-2018*, do these numbers reflect any trend in placements for your county?

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

Table 9: Please complete the following table using the data found in the "Local District of Social Services PINS Admissions By County 2014 to 2018" table of the attached 2020-21 Probation Analysis and Planning File.

Table 9: LDSS PINS Admissions By County

County/City	LDSS PINS
2014	
2015	
2016	
2017	
2018	

8. Reviewing the chart for *Local District of Social Services PINS Admissions By County 2014 to 2018*, 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 of PINS youth, JD youth, and Adolescent Offenders? Please indicate which JD/AO programs are Raise the Age funded by DCJS (STSJP funded initiatives are reported in the next question)

10a. 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:

    10b. 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?

11b. <u>2020-21 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:

11c. 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?

12b. 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 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. The following case planning items are evidenced-based practice which are codified in DCJS regulation. Please indicate which of the following items are addressed in local written policy and have been implemented in practice. If any of these items are not checked, please advise us of the barriers to implement and if there is any assistance OPCA can provide:

> Efforts to engage the probationer and their family.
> Provided feedback of the assessment results to the client.
> 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 to engage the client.
> 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. The following case review activities are evidenced-based practices which are codified in DCJS regulation. Please indicate which of the following activities are addressed in local written policy and have been implemented in practice. If any of these items are not checked, please advise us of the barriers to implement and if there is any assistance OPCA can Provide:

> Conduct case review every 3 months for active juvenile cases, 6 months for active criminal cases, or every 12 months for administrative cases.
> Conduct 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 10: Complete the following table, using the data found in the "NYCOMPAS Assessments and Reviews Completed by Probation Departments 2019" table of the attached Appendix A: 2020-21 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 10: NYCOMPAS Assessments and Reviews Completed by Probation Departments 2019

	Pre-Trial	Initial NYCOMPAS	Case Supervision Review	Grand Total
County				
NYC (LSI)				

16a.   Comparing the assessment numbers from the 2018(as found in Table 9 of the prior year's annual plan data package to the 2019 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):

16b.   How do you ensure Case Supervision reviews are conducted as required by regulation?

Table 11: Complete the following table, using the data found in the "New Probationers Received: 2019" table of the attached Appendix A: 2019-20 Probation Analysis and Planning File and the data from last year's table.

Table 11: 2019 New Probationers Received

	Sentenced Misdemeanors	Sentenced Felonies	Interim Supervision	Other	Total
County/City					

17. In comparison to the 2018 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 12: Complete the following table, using the data presented in the "Violations of Probation Filed and Recorded in IPRS: 2019" table found in the attached Appendix A: 2020-21 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 2019. 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: 2019 *(Use Decimal Point for %)*

	Total Probation Cases	Total Cases with Violation Filed	% of Cases with Violation Filed	New Conviction	%	Technical Arrest	%	Absconded	%	Other Technical Violation	%
County/City											
Non-NYC	92,651	9,389	10%	185	2%	4,147	44%	1,135	12%	3,922	42%
Statewide	132,613	10,578	8%	445	2%	4,855	46%	1,452	14%	4,026	38%

Please note that these numbers include all active probation cases by jurisdiction throughout the year 2019.

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

    What is your jurisdiction's percentage of open cases with violations filed in 2019?

    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 Re-sentenced for a Violation of Probation: 2019" report found in the attached Appendix A: 2020-21 Probation Analysis and Planning File.

Table 13: Probationers Re-sentenced for a Violation of Probation: 2019 *(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	4,539	80.9%	712	12.7%	360	6.4%	5,611	83,233	6.7%
Statewide	5,304	81.8%	772	11.9%	405	6.2%	6,481	122,031	5.3%

19. Probationers Re-Sentenced for a Probation Violation- What is your jurisdiction's violation re-sentence rate for 2019?

    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?

20. If your "other technical violations rate" indicated in table 12 is greater than 42% (non NYC total) and if your "re-sentenced rate" indicated in table 13 is greater than 6.7% (non NYC total) please explain?

Table 14: Complete the following table, using the data presented in the "Adult Supervision Outcomes: 2019 Case Closures" table found in the Appendix A: 2020-21 Probation Analysis and Planning File.

Table 14: Adult Supervision Outcomes: 2019 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	24,660	5,594	22.7%	8,480	34.4%	14,074	57.1%	7,506	30.4%	3,080	12.5%
Statewide	31,272	6,615	21.2%	12,894	41.2%	19,509	62.4%	8,567	27.4%	3,196	10.2%

21. Positive Outcomes- 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?

22. Early Discharges- What is your jurisdiction's rate of Early Discharge from Probation Supervision in 2019 as indicated in Table 14?

22b. Please describe any change in early discharge rates that your department experienced compared to 2018, and any reasons for such change. If you have high maximum closure and a low early discharge rate, please explain why and what actions the Department has taken to address this? What actions, if any, has your department taken in convening meetings with Judges, Prosecutors, Defense Counsel in your county/city?

22c. *Counties outside of NYC* : How does this compare with the non-NYC and the statewide rates?

22d. *NYC Department of Probation:* How does this compare with the statewide rate?

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

23. 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 – Please provide a copy to OPCA with this submission.

24. The following case planning items are evidenced-based practice which are codified in DCJS regulation. Please indicate which of the following items are addressed in local written policy and have been implemented in practice. If any of these items are not checked, please advise us of the barriers to implement and if there is any assistance OPCA can provide:

Efforts to engage the probationer and their family.
Provided feedback of the assessment results to the client.
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 to engage the client.
Match case planning goals and strategies to probationer's level of motivation to change.
Document review and approval of assessment results of the case plan by the Probation Supervisor.

Comment:

25. The following case review activities are evidenced-based practices which are codified in DCJS regulation. Please indicate which of the following activities are addressed in local written policy and have been implemented in practice. If any of these items are not checked, please advise us of the barriers to implement and if there is any assistance OPCA can provide:

Conduct case review every 3 months for active juvenile cases, 6 months for active criminal cases, or every 12 months for administrative cases.
Conduct 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:

Probationer Recidivism Analysis: Please navigate to the following website and print out a copy of your jurisdictions recidivism chart:

https://www.criminaljustice.ny.gov/crimnet/ojsa/recidivism/index.htm

26a. How has your jurisdiction's *Probationer Felony* or *Misdemeanor Re-Arrest* and Conviction Rates changed over the period indicated for the one, two, three, four and five year recidivism rates including any increases or decreases noted and your analysis for the reasons why the changes have occurred?

26b. How has your jurisdiction's *Probationer Felony Re-Arrest* and *Conviction Rates* changed over the period indicated for the one, two, three, four and five year recidivism rates including any increases or decreases noted and your analysis for the reasons why the changes have occurred?

26c. How has your jurisdiction's *Probationer Violent Felony Re-Arrest* and *Conviction Rates* changed over the period indicated for the one, two, three, four and five year recidivism rates including any increases or decreases noted and your analysis for the reasons why the changes have occurred?

26d. Please advise of any changes the department has made or will be making to reduce the probationer recidivism rate?

Table 15: Complete the following table, using the data presented in the "Probation Cases Past Maximum Expiration Date" table found in the attached Appendix A: 2019-20 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 15: Probation Cases Past Maximum Expiration Date: 201**9**

	Total Cases Active on IPRS as of 12/31/2019	Cases with DOD and VOP Filed		Cases *without* DOD and VOP Filed		Cases in IPRS with VOP reason of Absconder	
		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	66,445	5,586	8.4%	1,151	1.7%	3,423	5.2%
Statewide	98,586	17,410	17.7%	2,055	2.1%	12,395	12.6%

<u>Probation Warrants and Case Closings</u>- Using the data presented in Table 15, please answer the following:

27. What is your probation department's % Active Cases > MED with DOD ?

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? Please compare the number of probation warrants in your jurisdiction between 2019 and 2018.

28. What is your probation department's % Active IPRS Cases Closeable without Declaration of Delinquency and Violation Filed?

These represent cases that should be closed in the Integrated Probation Registrant System. This % Active IPRS Cases Close-able 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 2018 compare to the rate for 2019?

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

Planning and Strategies

29. Programs and Services-   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)?

30. <u>2020-21 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 2019-20 to reduce recidivism and improve public safety, and improve the Criminal Justice outcomes in your jurisdiction.

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 2019 then identify what the jurisdiction's plan is for programs/services in 2020-2021.

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2020-21 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2019? (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 2020-21 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2019? (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 2020-21 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2019? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Low Intensity									
Community Service	☐	☐	☐	☐	☐		☐	☐	
Council for Boys & Young Men	☐		☐	☐	☐		☐	☐	
Evening / Afterschool Centers			☐	☐	☐		☐	☐	
Girl's Circle									
Juvenile Community Accountability Board (JCAB)									
Juvenile Community Restoration (JCR)									
Juvenile Community Services (JCS)									
Mediation									
Mentoring									
Youth Court									

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2020-21 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2019? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Cognitive-Behavioral Interventions Available									
Aggression Replacement Training (ART)									
Brief Intervention Tools (BITS)									
Brief Strategic Family Therapy (BSFT)									
Crossroads Offender Curricula (NCTI)									
Specify Module(s) used: (module1)	☐	☐	☐	☐	☐		☐	☐	
(module2)									
(module3)									
Decision Points									
Dialectical Behavior Therapy (DBT)	☐		☐	☐	☐		☐	☐	
Family Solution Program (FSP)	☐	☐	☐	☐	☐		☐	☐	
Functional Family Therapy (FFT)	☐	☐	☐	☐	☐		☐	☐	
Interactive Journaling	☐	☐	☐					☐	

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2020-21 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2019? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Life Skills Training (LST)									
Moral Reconation Therapy (MRT)									
Multidimensional Family Therapy (MDFT)	☐	☐	☐	☐	☐		☐	☐	
Multi-Dimensional Treatment Foster Care	☐	☐	▨	☐	☐		☐	☐	
Multi-Systemic Therapy (MST)	☐	☐	☐	☐	☐		☐	☐	
National Curriculum & Training Institute Youth Crossroads	☐	☐	☐	☐	☐		☐	☐	
Parenting with Love and Limits (PLL)	☐	☐	☐	☐	☐		☐	☐	
Peaceful Alternatives to Tough Situations (PATTS)	☐	☐	☐	☐	☐		☐	☐	
Strengthening Families	☐	☐	☐	☐	☐		☐	☐	
Thinking for a Change (NIC)	☐	☐	☐	☐	☐		☐	☐	
(other)	☐	☐	☐	☐	☐		☐	☐	
Other Programs/Services									

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2020-21 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2019? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Adolescent Diversion Project									
Career University (OWDS)	☐	☐	☐	☐	☐		☐	☐	
Computer Search and Monitoring		☐	☐	☐	☐		☐	☐	
Day Reporting	☐	☐	☐	☐	☐		☐	☐	
Detention Services	☐	☐	▓	☐	☐		☐	☐	
Domestic Violence Name of Program:	☐	☐	☐	☐	☐		☐	☐	
Educational Opportunity Centers	☐	☐	☐	☐	☐		☐	☐	
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 2020-21 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2019? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Mental Health Crisis Intervention									
Parenting Skills	☐	☐	☐	☐	☐		☐	☐	
Problematic Sexual Behavior	☐	☐	☐	☐	☐		☐	☐	
School-Based Probation Officers	☐	☐	☐	☐	☐		☐	☐	
Sex Offender Treatment: Group	☐	☐	☐	☐	☐		☐	☐	
Sex Offender Treatment: Individual	☐	☐	☐	☐	☐		☐	☐	
Specialized Assessments: Mental Health / Substance Abuse	☐		☐	☐	☐		☐	☐	
Substance Abuse Treatment		☐							
Victim Awareness	☐		☐	☐	☐		☐	☐	
Victim Impact Panels	☐	☐	☐	☐	☐		☐	☐	
Why Try	☐	☐	☐	☐	☐		☐	☐	

	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)					Plan for 2020-21 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2019? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Restorative Justice practices (i.e. community accountability boards, mediation, victim-offender reconciliation)	☐	☐	☐	☐	☐		☐	☐	
Ready, Set, Work!									
Specialty Courts									
Domestic Violence			☐	☐	☐		☐	☐	
Driving While Intoxicated			☐	☐	☐		☐	☐	
Drug Treatment (Criminal Court)			☐	☐	☐		☐	☐	
Family Treatment (Family Court)	☐	☐		☐	☐		☐	☐	
Specialized Juvenile Delinquency	☐	☐	☐	☐	☐		☐	☐	
Mental Health	☐	☐	☐	☐	☐		☐	☐	

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	Target Population (Please check all applicable boxes)			Service Delivery Agency (please check, if yes)				Plan for 2020-21 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2019? (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 2020-21 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2019? (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 2020-21 (check one box only)
	JD	PINS	Crim-inal	Probation	ATI		Provided by a Service Delivery Agency other than Probation or ATI?	Operated in 2019? (check if yes)	Status (Start, Maintain, Expand, Decrease, or End)
Kiosk Reporting	☐	☐	☐	☐	☐		☐	☐	
Pre-Dispositional Supervision			▪	☐	☐		☐	☐	
Polygraph	☐		☐	☐	☐		☐	☐	
Real Time Video Reporting	☐								
Respite									
Warrant Execution									

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Section C: Local Probation Training

Inventory

Instructions:

31. **Complete the chart below by checking the appropriate boxes, identifying which training topics Probation staff received in 2019 and, based on your 2020-21 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 2019	Training Needed in 2020-21
Alcohol/Substance Abuse	☐	☐
Automation – Caseload Explorer	☐	☐
Cognitive Behavioral Interventions	☐	☐
Domestic Violence	☐	☐
Executive Leadership Skills	☐	☐
Family Group Conferencing	☐	☐
Gangs	☐	☐
Gender-Specific Issues	☐	☐
Ignition Interlock	☐	☐
Implicit Bias		
Interstate Transfers	☐	☐
Intrastate Transfers	☐	☐
Juvenile Justice	☐	☐
Mental Health	☐	☐

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

Describe how your county will provide the needed training above:

Comments Related to Training Needs:

32.Cognitive Behavioral Intervention/Evidence-Based Practices Trained Staff

Provide below the number of Probation staff that have been trained in <u>2019</u> (last calendar year) in Thinking for a Change, Decision Points, Motivational Interviewing, or Offender Workforce Development Specialist, Interactive Journaling, or other CBI program. Please check the box for any staff trained in 2019 for each respective CBI. For the last two rows "other", please list the CBI program and the number of staff that have been trained in 2019 (i.e. MRT, FFT, MST, BSFT, Strengthening Families, etc.)

Check any that apply	Cognitive Behavioral Intervention	Number trained in 2019
	Thinking for a Change	
	Decision Points	
	Motivational Interviewing	
	Offender Workforce Development Specialist	
	Interactive Journaling	
	Other (Specify):	
	Other (Specify):	

Please describe your department's plan to train staff in cognitive behavioral interventions during 2020:

Staff Training

Please answer the following questions about new probation officer training:

Please enter zero(s) where applicable.

33. New PO/POT staff hired during 2019. 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:

34. Total PO/POT staff completing Peace Officer/Fundamentals of Probation Practice course in 2019 and including those hired in the prior year. Number:

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

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

    - Peace Officer/Fundamentals of Probation Practice:

    - Firearms Training:

37. If there are any officers within your department, hired prior to 2019, 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 2019.

- 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	2019	2020-21
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	**2019**	**2020-21**
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.		

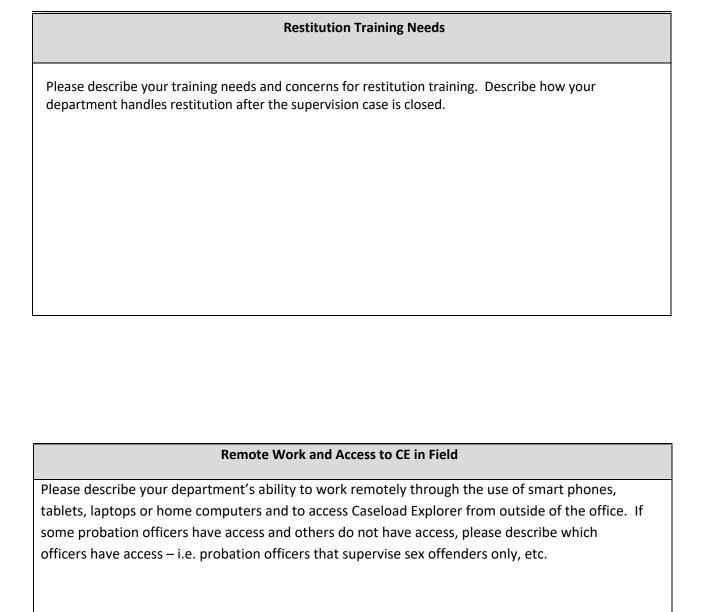|			
	Y-LSI Referrals for Services		
11	Diversion - cases where Y-LSI Full Assessment information is used to match youth to appropriate services.		
12	Diversion - cases where the Y-LSI Full Assessment information and Case Plan are shared with service provider.		
13	Supervision - cases where Y-LSI Full 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 county.		

Additional Comments:

SECTION E: Focal Issues

Risk/Need Assessment

If the department utilizes any specialized 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.

Use of Vocational/Educational Resources
Please advise OPCA if the department utilizes any vocational/educational resources for the juvenile and adult probation population (such as Student Advocacy/Legal Services, ACESS-VR, Employment Opportunity Centers (EOC), Attain Labs, Department of Labor Career Centers, apprenticeships/internships, BOCES career or trade courses) please indicate the name of the resource in this section.

Restitution Training Needs
Please describe your training needs and concerns for restitution training. Describe how your department handles restitution after the supervision case is closed.

Remote Work and Access to CE in Field
Please describe your department's ability to work remotely through the use of smart phones, tablets, laptops or home computers and to access Caseload Explorer from outside of the office. If some probation officers have access and others do not have access, please describe which officers have access – i.e. probation officers that supervise sex offenders only, etc.

DVSI-R (Domestic Violence Screening Instrument – Revised)

Does the department have staff trained in DVSI-R?

How many staff members in your department have received DVSI-R training?

Does the department have a certified DVSI-R trainer?

Does the department intend on training all staff on DVSI-R or specialized only?

Commencing in January 2020 will your department be completing the DVSI-R
for each domestic violence case under probation supervision?

Adolescent Offenders and Voluntary Assessment and Case Planning

Please describe your department's experience with providing Voluntary Assessment and Case Planning services to Adolescent Offenders within the Youth Part.

Probation Department Quality Assurance Effort

Please advise OPCA of the process used by the probation department to ensure the quality of work and compliance with statute/regulation such as implementation of a Quality Assurance Team, quarterly audits of probation client records, etc.

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 12/31/2019? (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?   CPL Section 140.10(5)

      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?

      Link to Law Enforcement Agencies NYS by County (Responding to Question 3(a).

        http://www.criminaljustice.ny.gov/crimnet/ojsa/agdir/index.html