



**Division of Criminal
Justice Services**

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

**2020-2021 Annual Probation State Aid Plan,
Certifications, and Application**

April 2020

Submitted by:

Submission Date:

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Introduction

Per Part 345 of 9 NYCRR, the Probation State Aid Block Grant rule, the Commissioner shall allocate block grant monies based upon a review of all approved plans and their respective budgets and pursuant to a plan prepared by the Commissioner and approved by the Director of the Division of the Budget. All state aid shall be granted by the Commissioner after consultation with the State Probation Commission and the Director. Part 345 further offers that probation state aid monies received by the Division shall be, to the greatest extent possible, distributed in a manner consistent with the prior year distribution amounts and thereafter as authorized by law.

ALL OF THE QUESTIONS IN THIS APPLICATION MUST BE ANSWERED IN THEIR ENTIRETY AND THIS CERTIFICATION SUBMITTED TOGETHER ALONG WITH SEPARATE ANNUAL PLAN DATA RESPONSES AND EXPENDITURE SUMMARY DOCUMENTS.

Annual Probation Plan and Application Instructions

- 1) **Plan Time Period** – The completed and approved Annual Probation Plan and Application will cover the time period July 1, 2020 - June 30, 2021.
- 2) **Probation Planning Structure**- The 2020-2021 Annual Probation Plan and Application is being provided directly to Probation Directors/Commissioners for completion and timely submission.
- 3) **Annual Probation State Aid Plan and Application** – The Annual Probation State Aid Plan application should be completed by the Probation Director/Commissioner. Probation Departments must follow any additional local review and approval protocols established prior to submission to DCJS/OPCA.
- 4) **Plan Submission**- In order for a plan submission to be considered complete, the certification page with original signatures must be received by OPCA. The certification pages must be scanned and attached to the electronic document. The completed Annual Probation Plan and Application for 2020-2021 shall be completed and submitted electronically as an e-mail attachment to dcjsapplications2020@dcjs.ny.gov no later than close of business **June 5, 2020.**

Annual Probation State Aid Plan and Application

Annual Plan Components and Agency Contact

<p>Part 1: Certifications</p>	<p>Agency Contact: Colleen Thorn (518) 457-7410 Colleen.Thorn@dcjs.ny.gov</p> <p>This document provides for signed certification as to the department's compliance with six major areas. A signed copy must be sent electronically to OPCA to complete the package.</p>
<p>Part 2: Application for State Aid</p>	<p>Agency Contact: Kimberly Schiavone (518) 457-7287 Kimberly.Schiavone@dcjs.ny.gov</p> <p>The Application for State consists of four parts: All parts must be submitted to complete the Annual Plan package.</p> <ol style="list-style-type: none"> 1. 2020 Department Position Summary Chart (in plan); 2. Department's adopted 2020 budget (<i>please attach</i>); 3. Department's final 2019 expenditures (<i>please attach</i>); and 4. Expenditure Summary document for 2019 (<i>please attach</i>)
<p>Part 3: Staffing Patterns</p>	<p>Agency Contact: Kimberly Schiavone (518) 457-7287 Kimberly.Schiavone@dcjs.ny.gov</p> <p>This information is to capture how caseload-bearing personnel are utilized by reporting staff assignment to the generic probation functions in terms of Full Time Equivalents (FTEs).</p> <p>Additionally, there are questions related to activities undertaken during the professional staff hiring process for both firearms-bearing and non-firearms bearing staff.</p> <p>A probation staff contact list is included to indicate the various points of contact within the probation departments.</p>
<p>Part 4: Enhanced Services for Sex Offenders – ESSO</p>	<p>Agency Contact: Matt Charton (518) 485-2402 Matthew.Charton@dcjs.ny.gov</p> <p>This attachment is to be completed only by those departments for which an allocation for providing ESSO services was included in the SFY 2019-2020 Block Grant.</p>

**Part 5: Juvenile Risk
Intervention Services
Coordination (JRISC)**

Agency Contact:
Teresa Scanu-Hansen
(518) 485-5166
Teresa.ScanuHansen@dcjs.ny.gov

This information is to be completed only by those seven (7) departments for which an allocation for providing JRISC services was included in the SFY 2019-2020 Block Grant.

Part 1: CERTIFICATIONS

I, _____, as the Director / Commissioner of Probation for the jurisdiction of _____, do submit this Probation Plan and Application for State Aid.

By my signature, I acknowledge that the department's adherence to the eight (8) certification areas listed below will be subject to review and or audit by the DCJS.

****If the Rule part is not applicable to your county, compliance is assured. Please check the yes box (i.e Part 357 and Part 361 – 364)***

By my signature, I make the following certifications:

1. Rule Compliance Self-Evaluation

To the best of my knowledge the department is in complete compliance with 9 NYCRR:

Part 345 Probation State Aid Block Grant

Part 346 Staff Development

Part 347 Probation Management

Part 348 Case Record Management

Part 349 Interstate and Intrastate

Part 350 Investigations and Reports

Part 351 Supervision

Part 352 Graduated Responses

Part 353 Financial Obligations

Part 354 Intake

Part 355 Probation Officers as Peace Officers

Part 356 Probation Services for Article 3 JD

*Part 357 Intake for Article 7 PINS

Part 358 Ignition Interlock

Part 359 Role of Probation in Youth Part of the Superior Court

Part 360 Waivers

*Part 361 Supervision of Conditional Release

*Part 362 Violation of Conditional Release

*Part 363 Conditional Release Supplemental Investigations

*Part 364 Conditional Release Conditions

Part 365 Sex Offender Housing

Part 367 AIDS/HIV confidentiality of information

Appendix H-10 Specifications for Probation Positions**

*Applies only to those departments providing these services. If the department does not provide these services, select "NA".

**Included in the specifications, probation supervisors perform probation work at a supervisory level involving the direction and supervision of 4 to 7 probation officers.

If any of the above are checked **NO** indicating non-compliance, please identify the specific area of the rule that your department is out of compliance with and provide a time line and remediation plan below:

2. Monthly Probation Workload Reports

All OPCA-30 and OPCA-30A reports for Calendar Year 2018 have been submitted through the Integrated Justice Portal interface and this department will submit future Monthly Caseload Reports in a timely manner (within 30 days after the end of the month being reported) in the formats required by OPCA.

3. Quarterly SORA Address Verification Reports

All SORA Address Verification Reports for Calendar Year 2019 have been submitted through the Integrated Justice Portal interface and this department will submit future SORA Address Verification Reports in a timely manner (within 30 days after the end of the quarter being reported) in the formats required by OPCA.

4. Integrated Probation Registrant System (I-PRS)

The Integrated Probation Registrant System information for calendar year 2020 will continue to be maintained in as timely and accurate a manner as possible. Further, the proportion of active but closable criminal supervision cases will be brought to and maintained at less than 5% of the total active caseload on the I-PRS.

5. DNA Collections

The department will routinely check the “DNA Owed” report on the Integrated Justice Portal and timely collect DNA from eligible probationers so as to maintain a minimum collection rate of 90%.

6. Integrated Justice Portal

The department will ensure that all probation officers have access to the Integrated Justice Portal. Enter the number of sworn officers in the department here _____ and enter the number of sworn officers with access to the Integrated Justice Portal here _____.

7. Risk/Need Assessment

The department will use DCJS/OPCA-approved, fully validated Risk/Need Assessment instruments for juvenile and adult offender populations consistent with established statewide protocols and/or rule.

8. Automated Case Management System

The Department will maintain an automated case management system which supports probation operations to include, but not limited to pre-trial, intake, investigation, and supervision functions.

SIGNATURE OF DIRECTOR / COMMISSIONER:

_____ DATE _____

Part 2: 2020-2021 Application for State Aid

The Application for State Aid should include the following:

The Application for State Aid consists of four parts: All parts must be submitted to complete the Annual Plan package.

1. 2020 Department Position Summary Chart (in plan);
2. Department's adopted 2020 budget (*please attach*);
3. Department's final 2019 expenditures (*please attach*); and
4. Expenditure Summary document for 2019 (*please use form provided and attach*)

Note: If the fringe benefits amount for the year is not included in the documents provided, please also include a statement with fringe dollar amount for both the current year budget and the prior year expenditures.

2020 DEPARTMENT POSITION SUMMARY CHART

Section I of the chart is to summarize staffing information by position title. **These titles are effective 5/28/19.** Titles that are not included under Probation Management Rule Appendix H-10 should be entered in Section II of the chart.

Section I. Probation Management Rule Appendix H-10

TITLE	# Filled Positions	# Vacant Positions Funded for 2020	TOTAL	Actual Salary or Range* (in dollars)	
				Salary or Minimum	Maximum
Probation Director (Group D)					
Deputy Probation Director (Group D)					
Assistant Probation Director (Group D)					
Probation Director (Group C)					
Deputy Probation Director (Group C)					
Probation Director (Group B)					
Deputy Probation Director (Group B)					
Probation Director (Group A)					
Probation Supervisor 2 / Principal Probation Officer					
Probation Supervisor 1					
Probation Officer 2 / Senior Probation Officer					
Probation Officer 1 – Community Liaison**					
Probation Officer 1 – Other Language**					
Probation Officer 1					
Probation Officer 1 Trainee					
Probation Assistant					
TOTAL					

*Provide a range only if there are two or more employees for a specific title; otherwise, please provide the current salary.

**Only probation officers hired and occupying these specialized titles should be counted. For example, if a probation officer speaks spanish, but was hired as a standard probation officer, the officer would not be counted in the *Probation Officer – Spanish Speaking* row. Any probation officer counted under either the *Minority Group Specialist* or the *Spanish Speaking* row would not also be counted in the *Probation Officer* row.

Part 3: Staffing Patterns

FULL TIME EQUIVALENT POSITIONS

The purpose of this chart is to summarize staffing information by position title and the cumulative proportion of all staff members' time allocated to a generic probation function **as of 12/31/2019**.

For example, one full-time probation officer who spends approximately half of his/her time doing adult supervision and the other half doing juvenile supervision would be counted as .5 of a full time position in Criminal Court – Supervision and .5 of a full time position in Family Court – Supervision. The totals for each box are the totals for each title performing that particular function. Please do not list by individual position. The total FTE's, bottom row in the last column box*, should equal filled positions on Part 2 Section 1 Summary Chart, which can be found on page 13.

Titles that are not included under Probation Management Rule Appendix H-10 should be entered in Section II of the chart.

Section I. Full Time Equivalent (FTE) Staff Persons per Appendix H-10

For Supervisory positions the time box is split for each primary function with “SF” = Time Spent Supervising Performance of the Function and “PF” = Time Spent Actually Performing the Function.

Pos. Title	Family Court						Criminal Court						Non Case Bearing/ Other Activities Function	Total Positions
	Intake		Investigation		Supervision		Pre-Trial		Investigation		Supervision			
Prob. Dir.	SF	PF	SF	PF	SF	PF	SF	PF	SF	PF	SF	PF		
Dep./ Assist.Dir.	SF	PF	SF	PF	SF	PF	SF	PF	SF	PF	SF	PF		
Princ. Prob. Officer	SF	PF	SF	PF	SF	PF	SF	PF	SF	PF	SF	PF		
Prob. Supervisor	SF	PF	SF	PF	SF	PF	SF	PF	SF	PF	SF	PF		
Prob. Officer II/ Senior Prob.Officer														
Prob.Officer														
Prob. Officer Train.														
Prob. Assistant														
Total FTE														

Section IIA. Criminal/Family Court Caseload Sizes

Average Caseload Size – General Criminal Supervision (Supervises all crimes, all risk levels)	
Average Caseload Size – Criminal Supervision – Supervises Low Risk Probationers Only	
Average Caseload Size – Criminal Supervision – Supervises Medium Risk Probationers Only	
Average Caseload Size – Criminal Supervision – Supervises High/Greatest Risk Probationers Only	
Average Caseload Size – Criminal Specialized Cases (i.e. DV, MH, Sex Offender, Substance Abuse)	
Average Caseload Size – General Family Court (Adjustment/Diversion, and Supervision – Performs All Functions)	
Average Caseload Size - Family Court Adjustment/Diversion Only	
Average Caseload Size – Family Court Formal Supervision (Adjudicated Youth) Only	
Average Caseload Size – Family Court Specialized Supervision Cases	

Caseload Size Comments:

Section III. Firearms Bearing Staff

<p>For each of the following titles, please indicate (enter numbers) if your department authorizes personnel to carry firearms during the normal course of their duties, and if some/all persons in that title actually do carry during the normal course of their duties.</p> <p><u>Probation Staff Presently Carry Firearms:</u> <Select One></p> <p>If no, does the department plan to pursue the carrying of firearms in 2020: <Select One></p>	# Authorized	# Carry	Title Does Not Exist in Department
Director / Commissioner			
Deputy / Assistant Director or Commissioner			
Principal Probation Officer			
Probation Supervisor			
Sr. Probation Officer / Probation Officer II			
Probation Officer			
Probation Officer Trainee			

Section IV. Employee Screening

	COMMENTS / CLARIFICATIONS
Psychological Testing of: Firearms-bearing staff If Yes - When Non-Firearms-bearing staff If Yes - When	
Background Checks of: Firearms-bearing staff If Yes - When Non-Firearms-bearing staff If Yes - When	
Fingerprinting of: Firearms-bearing staff If Yes - When Non-Firearms-bearing staff If Yes - When	
Drug-Testing of: Firearms-bearing staff If Yes - When Non-Firearms-bearing staff If Yes - When	
Other: Firearms-bearing staff If Yes - When Non-Firearms-bearing staff If Yes - When	

Section V: Probation Department Contacts

Please enter the contact name(s) and email address(es) for each of the categories below. If the NYC DOP has a contact for each borough, please provide the borough name along within the contact information.

Contact Category	Contact Name(s)/Title	Email Address(es)	Phone Number(s)
Caseload Explorer Liaison			
Crime Victim Specialist			
Domestic Violence Liaison			
DWI Liaison			
Education/Vocational Liaison			
Employer/Employment Liaison			
Field Intelligence Officer			
Health Home Liaison			
NYCOMPAS/LSI Liaison			
Mental Health Liaison			
Adult Interstate/Intrastate Transfer Designee(s)			
Juvenile Interstate/Intrastate Transfer Designee(s)			
Staff Development Officer			
Terminal Agency Coordinator(s)			
Warrants Liaison			
YASI/YLSI Liaison			
Report: Ignition Interlock			
Report: OPCA 30 (Family)			
Report: OPCA 30A (Adult)			
Report: Restitution			
Report: SORA			

Section VI: Satellite Offices (Not Reporting Stations)

Please list the addresses of any satellite probation offices:

Street Address	City	Zip Code	Phone	Fax

Section VII: Web Site

If your department maintains a web site, please provide the URL:

Part 4: Enhanced Services for Sex Offenders (ESSO)

Goal Statement:

OPCA's goal for ESSO is to provide enhanced probation supervision services to SORA Level 2 and 3 probationers in order to reduce offender recidivism and promote public safety.

Annual Plan Requirements for All Departments:

If application is being submitted for **continued** allocation of Enhanced Services for Sex Offenders (ESSO) funding in 2020-2021, now a part of the block grant, the following assurances are made:

- 1) The Department will ensure that all Level 2 or 3 registered sex offenders under probation supervision are subject, where applicable, to the mandatory sex offender condition(s) set forth in Penal Law §65.10(4)-(a) and (b), and the sex offender is subject to other specialized sex offender conditions which may include, but are not limited to, the internet restriction condition under Penal Law §65.10 (5-a);
- 2) The Department will ensure that all such sex offenders are assigned to the caseload of an experienced probation officer/ probation unit who either solely or primarily supervises sex offenders, or has a significant concentration of sex offenders on the caseload, and who has received specialized training on sex offender management;
- 3) The Department will perform enhanced field work (for ex. surveillance, collateral contacts, employment visits, use of electronic monitoring, global positioning systems, computer scanning, internet usage monitoring, and other enforcement initiatives) in supervising such sex offenders;
- 4) The Department will conduct at least one visit to a Level 2 or 3 sex offender's home each quarter during which, at a minimum, a plain view search for prohibited items and/or substances is completed;
- 5) The Department will ensure that all such sex offenders are assessed by a probation officer or treatment provider using a sex-offender specific assessment instrument approved by the Division;
- 6) The Department will ensure that all such sex offenders are referred to, participate in, or successfully complete Association for the Treatment of Sexual Abusers (ATSA)-compliant clinical evaluation and/or treatment;
- 7) The Department will maintain and implement a policy which provides for collaboration with other law enforcement and service agencies on: warrant execution sweeps, home visits, surveillance, searches, treatment planning, housing, and other activities related to general sex offender management;
- 8) The Department will maintain and implement a policy which provides for officers to independently or in concert with law enforcement execute warrants on Sex Offenders, including apprehending absconders who are found, pursue extradition where appropriate, and secure warrants and retake interstate sex offenders where required and/or necessitated; and

9) The Department will utilize polygraph examinations for the management of certain sex offenders consistent with the goals of community safety.

Please indicate the number of polygraphs performed on sex offenders under the supervision of your department during calendar year 2019 (***such exams may have been coordinated/conducted by a treatment provider, the probation department, or other source***).

If polygraphs were not conducted on sex offenders under the supervision of your department in 2019, please describe your department's timeline and remediation plan to ensure such in 2020?

Part 5: Juvenile Risk Intervention Services Coordination (JRISC)

Goal Statement:

OPCA's goal for JRISC is to measurably reduce the risk of recidivism among high risk youth involved with probation. The eligible population may include both PINS and JD youth and may be used as part of diversion services as well as with youth under probation supervision. By increasing probation's capacity to access interventions that have demonstrated in research to be effective with this population, probation will reduce the risks of future delinquency and crime, detention, placement, and incarceration.

Annual Plan Requirements:

For seven (7) J-RISC Counties only--If application is being submitted for **continued** allocation of Juvenile Risk Intervention Services (JRISC) funding in 2020-2021 through the block grant, please complete the following:

1. Project Plan for 2020-2021 (check one):
 - probation staffing directly responsible to provide identified evidence-based program services, including case monitoring and supervision; OR
 - probation staffing who serve as part of an interagency team in the provision of evidence-based program services, including case monitoring and supervision; OR
 - subcontracting with an evidence-based service provider; OR
 - a combination of two or more of the above.
2. Describe use of the Youth Assessment and Screening Instrument (YASI) screening, assessment, case planning, and reassessment protocols throughout all facets of juvenile probation services (intake, investigation, and supervision) to identify appropriate ***high risk PINS and JD youth*** for participation in JRISC.
3. Identify the juvenile probation officer/s who will be assigned to the JRISC project and their level of training specific to this project. This probation officer/s must be trained in family intervention, cognitive behavioral techniques, youth supervision, and delinquency prevention and must work collaboratively with the identified evidence based intervention.
4. Summarize the quantitative and qualitative results achieved to date through JRISC using your county's quarterly reports from 2008 to the present. This should also include an analysis of the use of YASI Youth Score Summaries measuring progress over time to reduce identified risk factors and/or increased identified protective factors.

Objective 1

Appropriate high risk PINS and JD youth are referred to the JRISC program.

Task 1

Using YASI assessment results, probation departments refer appropriate high risk PINS and JD youth to the JRISC program

Performance Measure 1

Number of JRISC youth entering an evidence-based program (EBP)

Objective 2

JRISC youth are retained in the evidence based program through the 25%, 50%, and 75% stages of the intervention.

Task 2

Probation departments will work collaboratively with the evidence based intervention provider to retain JRISC youth in the program.

Performance Measure 2

Number of JRISC youth retained in EBP – completion of 25%, 50%, and 75% as established by the EBP model

Objective 3

JRISC youth achieve 100% completion of the evidence based intervention.

Task 3

Probation departments will work collaboratively with the evidence based intervention provider to help JRISC youth achieve 100% completion of the program.

Performance Measure 3

Number of JRISC youth successfully completing EBP

Objective 4

JRISC youth will successfully complete the evidence based program with documented reduction in their identified dynamic risk scores.

Task 4

Using the YASI assessment tool, specifically the Reassessment and Youth Score Summary functions, Probation departments will work collaboratively with the evidence based intervention to achieve reductions in dynamic risk for JRISC youth.

Performance Measure 4

Number of JRISC youth successfully completing EBP with documented reduction in dynamic risk factor scores