

1974 ANNUAL REPORT  
of the  
STATE DIVISION OF PROBATION

STATE OF NEW YORK  
Hugh L. Carey, GOVERNOR

DIVISION OF PROBATION  
Walter Dunbar, DIRECTOR

25752

PROBATION IN TRANSITION

1974  
ANNUAL REPORT  
OF THE  
STATE DIVISION OF PROBATION

State of New York  
State Division of Probation  
A.E. Smith State Office Building  
Albany, New York 12225

February 1, 1975



STATE OF NEW YORK  
DIVISION OF PROBATION  
Box 7018  
GOV. A. E. SMITH OFFICE BUILDING  
ALBANY, NEW YORK 12225

WALTER DUNBAR  
State Director of Probation

February 1, 1975

Honorable Hugh L. Carey  
Governor  
State of New York  
Executive Chamber, The Capitol  
Albany, New York 12226

Dear Governor Carey:

We are pleased to submit this 1974 Annual Report of the State Division of Probation in keeping with Section 243 of the Executive Law.

Probation, today, is described in various ways and there are many questions about it. Appropriate descriptions and answers about Probation are presented.

A brief, historical, perspective regarding the evolution of organizational placement and the programs of Probation are set forth. The current scope of services and the objectives of the State Division of Probation are outlined.

Accomplishments of 1974 are presented in the context of the organizational structure of the State Division of Probation. Of particular significance in relation to the future of Probation practice in this State are the establishment of a program for review of Probation operations, publication of the Manual of Probation goals and standards and the Guidebook for program analysis and review, and the development of citizen participation as volunteers in Probation work.

Innovative programs of local Probation Departments are highlighted and indicate progress is being made in regard to public protection and client assistance.

February 1, 1975

The growing work load of Probation is presented in a series of charts. This work load must be managed and serviced well by Probation staff. Probation programming is a more effective and economical way of handling an increasing number of selected offenders.

How Probation Departments will participate in the "New Process" of criminal justice is highlighted. It is to be noted that coordination of planning will be insured.

Some important issues regarding Probation today and tomorrow are specified. They include: the organizational placement and administration of Probation services in a rational State organization for delivery of criminal justice services; the planning, budgeting and assessment of Probation practice based on goals and standards; the recruitment and retention of qualified Probation personnel under fair and equitable working conditions; and, continuing development of new models of Probation practice in order to promote public safety at less cost.

We, in Probation work, believe that we must contribute to the ultimate objective of prevention of crime and protection of society. Accordingly, the staff of the State Division joins with the Directors and staff of all of the local departments throughout the State in dedicating our best efforts.

Sincerely,



WALTER DUNBAR  
State Director of Probation

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## I. INTRODUCTION.

Probation is a program of Corrections within the juvenile and criminal justice process which operates at the New York State and local levels of government.

Probation may be described in multiple ways. It is a sentence decision of the court; it is the status of the convicted offender under a sentence served in the community, subject to specific conditions; it is a department of government at the county level carrying out the program, services and functions of intake/diversion, investigation reports, supervision, support and collections, program evaluation, and administration; it is a Division of State government under the Executive Department with responsibility for promulgation of rules, consultation and advice, training and administration of local assistance funds.

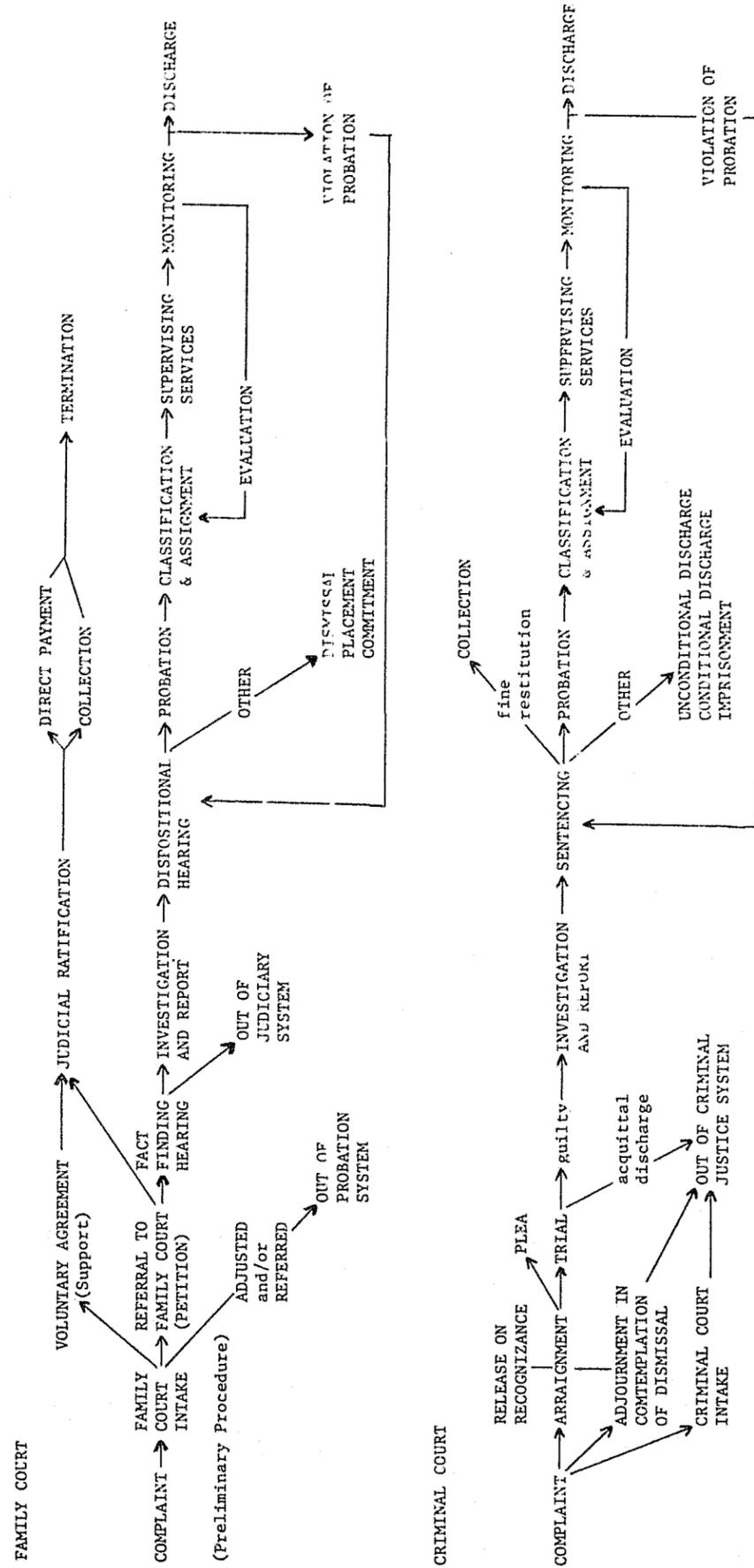
The purpose of a Probation Department is to protect the safety and property of persons by prevention of juvenile delinquency and adult crime and related family malfunctioning, with maximum effectiveness and at reasonable cost.

Probation, as the principal community-based correctional effort, has long been recognized by authorities in the field of Criminal Justice as one of our prime programs for effective crime prevention. Where properly funded, programmed, and administered, it is the most humane, effective, and economical of all our correctional efforts.

Probation initially focused upon pre-sentence investigation and post-adjudicatory field supervision of adult criminals and delinquents but became increasingly involved in preadjudicatory and preventative areas as the courts themselves expanded their involvement in services. The result has been that Probation now provides such services as marital counseling, intake diversion, and support and collections in addition to its traditional services of investigations and supervision. These services are provided for both the Family Court or the Criminal Court in New York State (see Exhibit 1).

This report highlights the major accomplishments of the State Division of Probation as well as those of the fifty-nine county and municipal Probation departments throughout the State during 1974.

PROBATION SERVICES IN NEW YORK STATE



II. BACKGROUND

Probation programming had its beginning in informal citizen advice and assistance to the courts about offenders. The advice often resulted in community placement of the offender under a sentence of probation in lieu of imprisonment for punishment and deterrence of others. Counsel and assistance to offenders in the community was rendered by citizen volunteers.

Through the twenty decades of American nationhood there has been great growth in the population and in the size and complexity of government for rendering services to the public.

During these many years, the establishment and organizational placement of new and varied governmental functions were influenced by constitutional concepts and public needs for services.

Probation as a governmental function had its roots in services to the courts as related to information about juveniles and adults, family matters, court dispositions and community supervision of persons.

There have been several factors which have influenced the organizational placement of probation as a governmental function and the scope of probation services in New York State. As a service to the local court, the probation unit was placed under the administration of the court and as a part of a local unit of government. For improvement in management of probation services, administrative direction has been changed to the county executive and legislature. For rendering financial assistance in relation to State standards for probation effectiveness and efficiency, a State Division of Probation within the Executive Department was established.

The first general Probation law in New York State was enacted in 1901 and the service was carried out by volunteers. In 1907, the State Probation Commission was established to supervise and develop probation work. In 1911, for the first time, salaried probation officers were appointed in Monroe County Children's Court and in Putnam County; salaried officers in cities were appointed in Albany and Kingston; and in New York City, twenty-seven salaried officers were temporarily appointed pending a decision by Civil Service. Chapter 606 of the Laws of 1926 created a Division of Probation in the State Department of Correction, headed by the State Probation Commission. Amendments to the law in 1928 further changed the status of

## BACKGROUND (continued)

the Commission and created the office of the Director of Probation. The Director became the administrative head of the Division of Probation and the Commission became an advisory body.

The next significant change in the administration of Probation did not occur until 1970 when the State Division of Probation was transferred to the Executive Department and established as an independent agency with the Director reporting directly to the Governor. The independence of Probation was established in recognition of its growing importance in the criminal justice system.

Currently, Probation services are administered at the local level, but supervision over these services is the responsibility of the State Division of Probation. The administration of Probation services in New York State has grown from a small group of agencies which supervised 1,672 offenders with 35 probation officers in 1907 to 59 semi-autonomous agencies which supervised 85,260\* offenders with 2,118 professional Probation Officers in 1974.\*\* Additionally, as this report will show, the concept of Probation has expanded with correspondingly added areas of responsibility for the Probation service in New York State.

Although Probation services are provided by 59 local Probation agencies in the State, the State Division is empowered to supervise the overall administration of Probation, to administer a State Aid program to local Probation departments, as well as to administer a program of hostels and foster homes. Furthermore, the Division currently provides direct Probation services at State expense upon the request of any county having five or fewer officers. Currently, such service is being provided on a demonstration basis in "Direct Services" in the counties of Warren, Fulton and Montgomery.

Outlined below under three areas are specific Probation programs:

A. Management Programs

1. Personnel selection and training.
2. Organization and supervision of personnel.
3. Workload standards and budgeting.
4. Development and use of community resources.
5. Planning and evaluation.

\*This figure represents the total number of persons under supervision during 1974 including those discharged during the year as well as the 55,998 persons on Probation as of December 31, 1974.

\*\*Supervision is only one aspect of a Probation Officer's responsibility.

## BACKGROUND (continued)

B. Pre-adjudicatory Programs

1. Release on own recognizance.
2. Services to detention cases.
3. Intake/diversion.
4. Pre-plea investigations and reports.

C. Post-adjudicatory Programs

1. Assessment of violence or aggressive history.
2. Differential investigations and reports.
3. Case evaluation and sentence recommendation.
4. Mutual Objectives Probation Program.
5. Tailor-made supervision.
6. Addict, DACC/Probation sentence program.
7. Jail/Probation sentence program.

Sentences to Probation

Not every offender can be sentenced to Probation and for those so sentenced there are mandatory years of sentences (see Exhibits 2 and 2a).

State Division's Objective

The Division of Probation, within the Executive Department of State Government, has as its purpose, the development and operation, by State and local government, of Probation services as a part of the justice process so that public protection is afforded through prevention of juvenile delinquency and adult crime.

The Division of Probation's specific area of responsibility is to assist in the maintenance of an effective probation service consistent with (Statewide) standards and procedures. The Division fulfills this specific responsibility by providing leadership, assistance, training, coordination, program evaluation and general supervision of the operation of 59 separate county and city probation departments as well as direct services in three upstate counties.

The strategy of the Division of Probation, adopted to accomplish its objectives, can be stated as follows:

- (1) the establishment of minimum statewide standards for probation services;
- (2) the monitoring of local departments' adherence to these standards;
- (3) the development of service delivery innovations and their demonstration and incorporation into local Probation operations; and
- (4) the ongoing review and upgrading of rules and standards in the light of successful innovation and new knowledge.

## Exhibit 2 - AUTHORIZED SENTENCES TO PROBATION

For Various Classes of Felonies  
and Misdemeanors

Note: The term of years indicated is mandatory and a lesser or greater term cannot be imposed. The court may, however, discharge from Probation prior to the maximum term.

1. Class A-I felonies - probation not authorized.
2. Class A-II felonies - probation not authorized.
3. Class A-III felonies - probation not authorized except probation, for life, is authorized where the prosecutor so recommends on the basis of the defendant's material assistance in connection with Article 220 drug felonies and the administrative judge concurs.
4. Class B felonies - probation not authorized.
5. Class C felonies - probation authorized - 5 years - except as indicated below (see #8).
6. Class D felonies - probation authorized - 5 years - except as indicated below (see #8).
7. Class E felonies - probation authorized - 5 years.
8. Specific C and D felonies - probation is not authorized for the following C and D felonies: Attempt any B felonies; assault - 1; burglary - 2; robbery - 2; possession of weapon - 2; possession of drugs - 5 (except marijuana); sale of drugs - 5 (except marijuana); attempted assault - 1; assault - 2; rewarding official misconduct - 1; receiving reward for official misconduct - 1.
9. Second and persistent felony offenders - probation not authorized.
10. Youthful offender treatment is not available for Class A felonies. Probation - 5 years - is authorized for youthful offenders convicted of Class B, C, D and E felonies.
11. Class A misdemeanors - probation authorized - 3 years.
12. Class B misdemeanors - probation authorized - 1 year.
13. Unclassified misdemeanors (misdemeanors outside Penal Law)- probation is authorized - 3 years if the authorized sentence exceeds 3 months, otherwise one year.
14. Violation - probation not authorized.
15. Youthful offenders - probation authorized - 3 years if the underlying charge is a Class A misdemeanor; one year if a Class B misdemeanor.

In any case where the court imposes a prison term of 60 days or less, it may also impose probation, with the limitation that the total term may not exceed the term of probation which is authorized for the crime in question.

Exhibit 2a - AUTHORIZED PLACEMENT ON PROBATION  
UNDER THE FAMILY COURT ACT

1. Support - so long as order of support, order of protection or order of visitation applies to such person.
2. Juvenile Delinquent\* - 2 years.
3. Person in Need of Supervision (PINS)\* - 1 year.
4. Family Offense - 1 year.

\*The court may continue for an additional year if there are exceptional circumstances.

### III. COMMON QUESTIONS ABOUT PROBATION

The following are some frequently asked questions about Probation:

1. *What are the purposes of Probation?*

Probation is a planned program designed to protect the community by reeducating the offender to the acceptance of responsibility for his actions, teaching him to live with others with a minimum of friction, and guiding him in his conduct so that he will become a responsible citizen. It provides support in assisting him to conform to the demands of society. In Family Court, the emphasis is upon trying to preserve family life.

2. *How does Probation rehabilitate the offender?*

The probation officer counsels and guides the offender to assist him to accept responsibility for his own actions, to teach him to respect the laws and customs of society and to help him to mobilize his own inner resources and to use constructively the resources of the community to bring about a harmonious adjustment between the person and his environment.

3. *How does Probation protect the community?*

Probation protects the community:

- a. By screening and providing diversion services to cases at intake so that only those cases which require court action are referred to the court.
- b. By furnishing an adequate and relevant legal and social history of adult offenders, juvenile delinquents and persons in need of supervision so that the judge may have sufficient, accurate and relevant information for determining which offenders may be allowed to remain in the community under Probation supervision, and which offenders should be sentenced to correctional institutions.
- c. By helping families to solve their problems, thus insuring the child the security so necessary for personal and social adjustment.
- d. By providing supervision to the offender in his own community to guide him to respect the law and to aid him to live within the conditions of release set by the court.

### COMMON QUESTIONS ABOUT PROBATION (continued)

4. *Is Probation leniency?*

No. It is a sound approach to the problem of reeducating the offender to responsible citizenship. If the probationer should prove to be a danger to the community, he may be returned to court and committed to an institution or given any other sentence which the court might have imposed at the time of original conviction.

5. *Is Probation an alternative to state training school, reformatory or prison?*

Yes, but only for those individuals whose history, thoroughly investigated and evaluated, indicates that they may benefit from Probation supervision.

6. *Are all offenders good risks for Probation?*

No. Some are too hardened or present problems which can be managed only in an institutional setting.

7. *What are the advantages of Probation?*

- a. Allows a probationer to remain at home where he is given the opportunity of becoming a useful citizen with the encouragement and help of family, friends, employer and community.
- b. Offers him guidance and reeducation to the acceptance of responsibilities inherent in a democratic society.
- c. Assists him in making adjustments at home, at work and in the community.
- d. Does not subject him to the regimentation of prison, which often has a crippling effect on personality.
- e. Avoids the stigma of a prison or reformatory sentence.

8. *What are the advantages of Probation for the community?*

- a. Probation protects the community by providing supervision and guidance for the offender in the community. If the offender is successful on probation and makes use of the service to achieve a satisfactory mode of living, the community has little to fear from him. If, on the other hand, he should violate the conditions on which he was released, he may be returned to the court for resentence.

COMMON QUESTIONS ABOUT PROBATION (continued)

8. b. It saves the community money. The per capita cost of Probation is about \$1,000, whereas the cost of keeping an adult offender in prison is approximately nine times that amount and 16 times that amount for a juvenile kept in an institution. In addition, the probationer contributes to the economy of the community by his work and purchasing. The prisoner, however, must be supported in an institution and his family may have to turn to welfare for aid while he is in prison.

9. *What is the difference between Probation and Parole?*

Probation is supervision in the community in place of a prison or reformatory sentence.

Parole is the conditional release of an inmate from a penal or reformatory institution after he has served a portion of his sentence. The parolee remains under the supervision of a parole officer until he has completed the maximum sentence for which he was committed. Therefore, commitment to an institution is a prerequisite for parole. Probation is a substitute for such commitment.

10. *What does a Probation Officer do?*

The Probation Officer attempts to counsel and guide the offender away from the illegal behavior and back to socially acceptable behavior. In so doing, he uses his own resources as well as any other available services in the community.

11. *What are the qualifications for Probation Officer?*

The minimum qualification for beginning employment as a Probation Officer is a bachelor's degree from a recognized college with 30 undergraduate credit hours in social or behavioral sciences. Required knowledge, skills and abilities include: (1) social sciences including sociology, psychology and economics; (2) social service programs and other community resources; (3) laws pertaining to Probation work and functions and procedures of Family and Criminal courts; (4) factors related to crime and delinquency.

12. *Why should a Probation Officer be a specially trained and qualified person?*

The Probation Officer deals with the most difficult and complex human problems. He deals with individuals whose delinquent or criminal behavior may be a symptom of emotional problems, complicated by many incidental problems--unemployment, marital discord, poor housing, and a host of others.

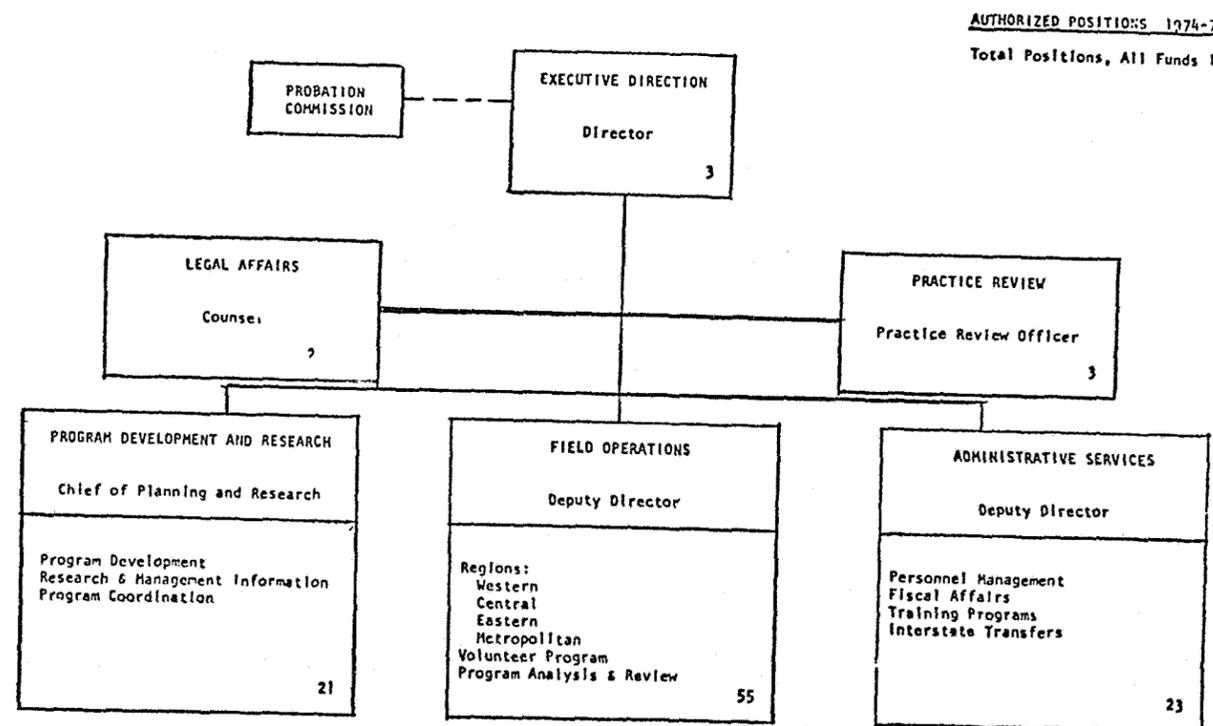
IV. ORGANIZATION OF THE STATE DIVISION OF PROBATION

With Major Accomplishments - 1974

To best accomplish its objectives, the State Division was reorganized in 1974 into seven major components (see Exhibit 3): (1) Executive Direction; (2) Probation Commission; (3) Legal Affairs; (4) Practice Review; (5) Program Development and Research; (6) Field Operations; and (7) Administration.

Exhibit 3

STATE DIVISION OF PROBATION ORGANIZATION CHART



\*Does not include 5 members of Probation Commission.

## EXECUTIVE DIRECTION

*"The director shall exercise general supervision over the administration of probation throughout the state, including probation in family courts and shall collect statistical and other information and make recommendations regarding the administration of probation in the courts. He shall endeavor to secure the effective application of the probation system and the enforcement of the probation laws and the laws relating to family courts throughout the state. After consultation with the state probation commission, he shall adopt general rules which shall regulate methods and procedure in the administration of probation, including investigation of defendants prior to sentence, and children prior to adjudication, supervision, casework, record keeping and accounting so as to secure the most effective application of the probation system and the most efficient enforcement of the probation laws throughout the state..."*

*Section 243, Executive Law*

The activities of the State Director of Probation during 1974, in keeping with law and pursuant to perceived needs, are highlighted below.

Organization: Establishment of the Office of Probation Practices Review to insure the integrity of Probation Operations; the establishment of the project of program analysis and review to assess Probation practice and to insure conformance to goals and standards.

Goals, Standards and Rules: Twenty program goals have been stipulated and 521 standards as minimum and required levels of performance have been developed. There has been complete revision of all rules of the State Division of Probation.

Program and Management Advice: Close collaboration has been maintained with the leaders of the local Probation departments to receive their suggestions regarding rules and program. Bimonthly meetings have been held with the State Probation Commission.

Programming and Budgeting: Process was prescribed for submission for all local Probation departments of program plans and budgets for the 1975 year. This material was reviewed and used as a basis for budget planning of State local assistance funds.

## EXECUTIVE DIRECTION (continued)

Communications: There were numerous field visits with local Probation directors and their staffs to exchange information and ideas.

Training: There was participation in several regional conferences of the New York State Probation and Parole Officers' Association. A management seminar was conducted for local Probation directors.

National Commission on Accreditation for Corrections: This new Commission was established in 1974 and Walter Dunbar was elected Chairman of the Commission. The Commission is developing an accreditation process for all types of correctional agencies and will review their operations in relation to approved standards for granting accreditation status.

State Crime Control Planning: The Director participated, as a member of the State Crime Control Planning Board, in meetings to approve criminal justice grants under LEAA funds.

National Crime Information Center Policy Advisory Board: As a member of this Board, Walter Dunbar is one of two National representatives of the field of Corrections. This 26-member body provides advice to the Director of the FBI regarding the development and operation of a comprehensive computerized criminal justice information system.

## STATE PROBATION COMMISSION

<u>Member</u>	<u>Date Appointed</u>
Walter Dunbar	6/28/73
Alexander Carmichael	6/25/69
Egon Plager	6/ 8/55
William E. Lytle	3/21/63
Robert Golden	1/27/72
Avis Mulvaney	5/31/74
Richard J. Bartlett	2/ 1/74

The statutory duty of the members of the Commission is to meet and consider all matters relating to Probation in the State within the jurisdiction of the Division of Probation, and to provide advice and consultation to the Director.

During 1974 the Commission met periodically and participated in briefings and discussions concerning Probation in the State, including the following subjects:

- . Goals and strategies for the administration of Probation;
- . Policies and procedures for administration of Local Assistance Program;
- . Preparation of the Division's budget;
- . Revision of General Rules and Regulations Governing the Administration of Probation;
- . Preparation of a manual of operations and procedures;
- . Operation of a centralized Training Academy;
- . Planning for the Annual State Probation Conference;
- . Direct Services performed by the Division;
- . Acquisition and implementation of Federal grants;
- . New and proposed legislation affecting Probation.

## PRACTICE REVIEW

The Probation Practices Review Team is responsible for investigating and overseeing the general procedural operation of Probation agencies statewide. In late 1974, under a grant from the State Division of Criminal Justice Services, the Team was made responsible for the achievement of the following objectives:

- . prevention of Probation practices contrary to laws and rules;
- . prompt investigation of complaints from varied and multiple sources regarding Probation practices;
- . monitoring of Probation practices regarding sensitive (public interest) cases;
- . maintenance of liaison with criminal justice agencies regarding case information and processing;
- . reporting findings to the State Director of Probation to permit corrective action.

To accomplish these objectives, the Practice Review Officer during 1975 will:

- . develop procedures and forms to promptly follow-up complaints;
- . develop procedures to secure information on reported illegal and/or inappropriate Probation practices;
- . develop procedures in conjunction with local departments to identify sensitive cases and monitor Probation's responsibilities for these cases throughout the justice process;
- . develop procedures to verify adherence by local departments to their reporting and monitoring responsibilities;
- . report to the State Director regarding all complaints and subsequent investigations;
- . maintain liaison with the Inspector General of Correctional Services, District Attorneys, law enforcement intelligence units, etc.;
- . design assessment/evaluation procedures.

## LEGAL AFFAIRS

The Division Counsel is the primary legal resource for the State Director of Probation and the staff of the Division. He is responsible for the interpretation and analysis of all legal issues and for the drafting, review and evaluation of legislation relating to Probation.

In addition to providing on-going legal assistance to the Director and staff of the Division, the Division Counsel performed the following responsibilities in 1974:

- . Prepared and presented instructional material on legal issues relating to Probation as part of the Division's training program at the Correctional Services Training Academy;
- . Functioned as legal advisor for the Direct Services Program of the Division in Fulton, Montgomery and Warren counties;
- . Provided the Probation Practices Review Officer with legal advice and research assistance in order to aid in the formulation of this vital new program;
- . Expanded his role in the legislative process including the preparation of legislative memorandum which are utilized by the Probation Commission and local Probation administrators as well as the Division staff;
- . Provided major assistance in the complete revision of the Division's Rules and Regulations which has been taking place during the past year;
- . Provided legal opinions on a wide variety of issues to certain county Probation agencies which are unable to obtain adequate legal expertise locally.

## FIELD OPERATIONS

The main responsibility of the Field Operations Unit is the operation of the Consultant Service Program. The field positions of the Division of Probation--Probation Consultants, Volunteer Coordinators, the Program Analysts, and State Probation Officers--constitute the line operation of the Division of Probation. These individuals are distributed among the Central Office and five regions throughout the State (Metropolitan New York, Eastern, Northern, Western and Central).

Consultant service is the principal program through which the Division works to accomplish its objectives. Thus, the role of the Consultant is four-fold:

- (1) to monitor the local departments' adherence to the minimum standards promulgated by the Division of Probation;
- (2) to stimulate and to participate in the innovation of local departments' rendering of Probation services;
- (3) to provide feedback to the Division of Probation regarding local departments' needs, conditions, operations, strengths and weaknesses so that the Division can knowledgeably revise its guidelines, standards and procedures;
- (4) to provide direct services upon request.

Among the major accomplishments of the Field Operations Unit during the past year were the following:

- . Refinement and intensification of the Consultant Service Program serving 59 Probation departments;
- . Management and evaluation of the Direct Services Program in Fulton, Montgomery and Warren counties to:
  - (1) explore the concept of a regional Probation service, and
  - (2) to provide the Division with a field capability in which new standards, methods and procedures can be demonstrated and evaluated;
- . Implementation of a program of Probation services analysis and review including: (1) development, testing and promulgation of a Manual of Probation Goals and Standards and a Guidebook for Program Analysis and Review (PAR); (2) instruction and assistance to local Probation departments in "self-evaluation" of services

## FIELD OPERATIONS (continued)

based on the Manual and Guidebook; and (3) operations review of services of the local departments by a PAR team. Task (1) was completed in 1974. Tasks (2) and (3) are planned for 1975;

- . Interim assumption of the administration of the Schenectady, Oswego, Tioga and Ulster County departments following death or resignation of the director;
- . Provision of special demonstration programs in the counties of Schenectady, Dutchess and Ulster;
- . Administration of a Statewide Volunteer Program. Production of a Volunteer Newsletter and pamphlet;
- . Development of a 25-minute color motion picture film, "More Like A Friend", for public education regarding Probation and for recruitment of citizens as volunteers;
- . Administration of the Interstate program providing for accommodation handling of exchanged probationers;
- . Assumption of implementation and initial direction of LEAA funded Probation Outreach Program in Onondaga County;
- . Participation with Monroe County in the planning and implementation of a consolidated county Probation department;
- . Assisted in the drafting of the Division's Revised Rules and provided field interpretation of those Rules for local departments;
- . Provided assistance to the City of New York in its efforts toward the creation of a consolidated city-wide Probation department;
- . Assisted local departments in development of grant proposals;
- . Assisted local county officials in recruitment of Probation directors and other personnel;
- . Participated in local Criminal Justice Coordinating Councils.

## ADMINISTRATIVE SERVICES

The Support Services activity of the Division are provided by the Administrative Services Unit which includes Personnel Management, Fiscal Management, Support Services, and the Training Academy.

Some of the major accomplishments of this Unit during 1974 were as follows:

- . Administrative support to the Division's other areas. This has included responses to the many non-routine requirements arising from the creation and implementation of the various Federal grant projects. These projects have increased the quantity and complexity of standard budgeting, reporting, payroll details, travel, mail and supply, purchasing, and accounting. Federal funds are being requested for positions to carry out the additional workload;
- . Administration of the Division's program of financial aid in support of local Probation agencies. In 1974 these funds amounted to \$21.2 million. The State Aid Program requires intensive analysis to maximize the benefits of State allocations. A recent innovation is the required submission of a Probation Program Plan by each county with its application for State Aid. Revised rules for participation in and administration of the State Aid Program have been drafted;
- . The Division's personnel program during 1974 included, among others, the following elements: establishment and implementation of an Affirmative Action Program; initiation of a detailed job analysis process which will include all titles in the Division; and close cooperation with our Planning and Research section to establish and classify positions derived from the various Federal grants;
- . Continuing and enlarging a Staff Development Program with the following features: Civil Service Tuition Support Program; training programs administered by the New York State Department of Civil Service; in-house training programs, participation by staff in the Public Executive Training Project, attendance by staff at seminars, conferences and workshops; and participation in the Public Administration Traineeship Program.

## ADMINISTRATIVE SERVICES (continued)

- Provision of supporting services to Probation Consultants in their work with local departments;
- Training services for all local Probation departments of the State. Having commenced operations in September 1973, this new centralized training facility continues to offer the advantages of an integrated teaching program which brings together the various philosophies and procedures of the major agencies involved in post-adjudicatory service delivery. During 1974, the Probation Training Center offered six courses and seminars:

<u>Course</u>	<u>Number of Students</u>
Fundamentals of Probation Practice	164
Advanced Practice in Probation Service	141
Theories and Techniques of Counseling	85
Middle Management Seminar	61
Seminar for Probation Administrators	14
Seminar for Volunteer Coordinators	25
TOTAL trained during 1974	490

The Center aids in the growth and development of both New York State Department of Correctional Services and New York State Commission on Correction personnel. During 1974, it presented lectures to 480 trainees of both these agencies on the function of Probation, its organization, and services to the offender population within the State's Criminal Justice System.

The Center also developed, during 1974, three other courses, to be offered in 1975: (1) How to Improve Managerial Performance; (2) Introductory Group Work Practice in Probation; and (3) Issues Around Alcoholism;

- The creation of a communications consultant position with the following responsibilities: (1) survey training and communications projects throughout the United States; (2) analyze potential coordination of such programs with the goal of reducing crime and improving justice; and (3) assist operational units of the Division of Probation in meeting Statewide objectives.

## PROGRAM DEVELOPMENT AND RESEARCH

The Research and Planning Unit is an integral part of the Division of Probation. It completes the feedback cycle between the local and State programs by providing evaluations on a variety of programs, recommending new program approaches, and/or modifying existing programs. The Unit's major objectives are:

- To conduct broad range planning and development studies of innovative Probation services;
- To design, test and implement new methods for the delivery of Probation services on a Statewide basis;
- To provide feedback to the Division regarding the effectiveness of Probation programs.

Some examples of specific accomplishments during the year include:

- Developing Federally funded grant programs from the Law Enforcement Assistance Administration through its New York State affiliate, the Division of Criminal Justice Services. See Exhibits 4 and 5 for a list of the Federal grants for the Division of Probation as well as for local Probation departments that were terminated, initiated, or approved in 1974. The Unit is also responsible for the research component for the above mentioned State projects as well as some of the local projects. It developed the evaluation designs and instruments for these projects and ascertained the significance of each of these projects for the improvement of Statewide Probation services;

Worthy of special mention is the Schenectady Intensive Probation Project designed and implemented by the Planning and Research staff in coordination with the Schenectady County Family Court and Probation Department and institutionalized by the County in April, 1974. This project featured rapid response to complaints, team supervision and extensive use of volunteers and foster homes. Probation Officer work schedules included weekend and evening availability, programming specifying goals and time schedules based on community and offender participation, and both firm supervision of offenders and aggressive advocacy on their behalf. The reduced State and County expenditures resulting from this two-

## PROGRAM DEVELOPMENT AND RESEARCH (continued)

year project amount to more than a million and one-half dollars;

- . Developing with the Direct Services staff a Probation Officer's Manual which identifies the precise policies and procedures for use in the Division's Direct Service Area (Warren, Fulton and Montgomery counties);
- . Gathering statistical information by tabulating and analyzing the monthly reports from all local Probation departments as well as the felony processing quarterly reports issued by the Division of Criminal Justice Services in order to assist in program planning;
- . Conducting an evaluation of an Orange County Probation Department project for juveniles in the City of Newburgh. As a result of the recommendations in this evaluation, the project was expanded to provide services to more types and a greater number of juvenile offenders;
- . Providing Direct Service Assistance to the Probation department in Dutchess County to demonstrate a diversion program which involved staff training, improving the working relationships between the Probation department and other agencies, and interpreting the Probation department's needs to the County authorities. These efforts resulted in a formalized diversion program and the county's approval of six additional Probation positions to expand the department's range of services;
- . Assisting in reactivating an innovative Probation outreach project in the City of Syracuse. This locally developed project designed to utilize neighborhood locations and community workers in providing intensive Probation services in high crime areas of the City experienced initial implementation difficulties and was in danger of being terminated. Two members of the Planning and Research staff together with the Division's Area Program Consultant provided four months of direct service to overcome the initial difficulties and implement this project. Operations involved examining and mobilizing community interest, hiring a staff of 18 persons, establishing two outreach sites, and conducting staff training in the methods of intensive outreach Probation programming that emphasizes the use of community resources;

## PROGRAM DEVELOPMENT AND RESEARCH (continued)

- . Developing the initial planning phases for projects scheduled for implementation in the coming year, which projects include: a computerized data system to develop a Probation management information system; a personnel exchange program to implement procedures for the exchange of staff between the Division of Probation and local Probation departments, other State agencies, and Probation agencies in other states; a computerized personnel information system designed to assist in establishing a training curriculum and formulating an affirmative action program; an examination methodology to assist the Department of Civil Service in establishing oral and other examination techniques for the selection of Probation personnel.

The grant projects, guidelines, surveys, program evaluations, manuals, and revised reporting systems developed by the Unit are devices utilized by the Division in fulfilling its responsibilities to monitor the local Probation departments' delivery of services, as well as to provide these departments with leadership, training and assistance.

V. LOCAL PROBATION GRANT PROJECT SUMMARIES

Project Titles and Descriptions

The following federally funded local Probation projects (via the NYS Division of Criminal Justice Services) were approved, begun, in process, or terminated in 1974 (see Exhibit 4).

This list may not include all local grant projects.

1. Richmond College Reading Center  
Services for educationally deprived 14 to 18 year old youths involved in the Criminal Justice System.
2. Greene County Achievement Center  
Day care activities for 16-25+ year old probationers with drug-related problems as an alternative to incarceration.
3. Livingston County Offender Program  
R.O.R., volunteer and satellite office for probationers and jail counseling services for misdemeanor inmates.
4. Decentralized Probation II - Suffolk  
Comprehensive community Probation services with an emphasis on a multi-phase flexible treatment program. This program was institutionalized and expanded to Islip.
5. Cortland County Youth Services Center  
Community-based services for 16-21 year old probationers to strengthen and expand existing Probation services and to reduce recidivism.
6. Orleans County Intake Outreach Project  
A satellite office in a migrant neighborhood providing intake services for migrants to reduce Family Court appearances and criminal complaints.
7. Probation Employment Guidance II - Monroe  
To provide employment guidance to offenders under Probation supervision.

Exhibit 4

Local Probation Grant Projects funded through the NYS Division of Criminal Justice Services which were approved, begun, or in process during 1974.

	Federal Grant Amount	Title
1.	\$ 298,771	Richmond College Reading Center
2.	65,982	Greene County Achievement Center
3.	38,031	Livingston County Offender Program
4.	738,196	Decentralized Probation II - Suffolk
5.	35,775	Cortland County Youth Services Center
6.	50,284	Orleans County Intake Outreach Project
7.	52,437	Probation Employment Guidance II-Monroe
8.	42,811	Chenango County Multi-Purpose Facility
9.	446,045	Queens Probation Reading Clinic I and II
10.	56,432	Chemung County Juvenile Services Project
11.	179,052	Erie County Juvenile Intervention Service
12.	196,742	Onondaga County Probation Outreach Project
13.	243,251	Nassau County Probation Juvenile Intercept
14.	75,000	New York City/Probation Department Planning
15.	33,508	Schuyler County Crisis Intervention Project
16.	29,707	Genesee County Intensive Counseling Services
17.	67,167	Tompkins County Intensive Supervision Facility
18.	103,184	Office of Probation Administration Unit (NYC)
19.	177,813	Harlem Probation Rehabilitation Project I and II
20.	58,127	New York City Probation Training Strategies I and II
21.	1,552,188	Probation Counselling Service - Urban League - (NYC)
22.	192,247	Group Dynamics II - New York City Department of Probation
23.	96,237	Chautauqua County Probation Rehabilitation Offender Project
24.	24,936	Hillbrook Activities and Recreation Program - Onondaga County
25.	99,128	Oneida/Herkimer Comprehensive Pre-Trial Intervention Services
26.	304,571	New York City Office of Probation Remedial Education Training

## LOCAL PROBATION GRANT PROJECT SUMMARIES (continued)

8. Chenango County Multi-Purpose Facility  
A home for 16 to 20 year old youths who: (a) cannot reside in their own home, (b) are returning from camp, (c) are awaiting transportation to camp. The home also serves as a reporting station for probationers.
9. Queens Probation Reading Clinic I and II  
The NYC Department of Probation, in cooperation with C. W. Post and College of the City of New York, provides services to resolve problems of probationers.
10. Chemung County Juvenile Services Project  
A group home, youth center and foster homes for juveniles.
11. Erie County Juvenile Intervention Service  
A field unit of Probation Officers and a Probation Aide to provide intensive intake services for juveniles.
12. Onondaga County Probation Outreach Project  
State and County cooperative efforts to provide Probation services in the inner City of Syracuse utilizing store-front offices.
13. Nassau County Probation Juvenile Intercept  
Short term intensive innovative treatment for juveniles.
14. New York City Probation Department Planning  
Permits hiring of a management firm to assess the planning needs of the department.
15. Schuyler County Crisis Intervention Project  
A group home and foster homes for juveniles who cannot reside in their own home.
16. Genesee County Intensive Counseling Services  
Pre-diagnostic assessments for Family Court cases by a social worker, intensive individual and group counseling for supervision cases, and counseling training for Probation Officers.

## LOCAL PROBATION GRANT PROJECT SUMMARIES (continued)

17. Tompkins County Intensive Supervision Facility  
A comprehensive program of intensive supervision of 16-21 year old probationers within a residential facility and for work release from county jail.
18. Office of Probation Administration Unit (NYC)  
Staff to carry out policies and procedures involving grant awards.
19. Harlem Probation Rehabilitation Project I and II  
Training of para-professionals in counseling and other Probation services through Harlem Teams for Self-Help.
20. New York City Probation Training Strategies I and II  
Training of Probation Officers in organizational assessment, change agency, changes in the community, and effects of poverty and racism in the correction system.
21. Probation Counseling Services - Urban League - (NYC)  
Integration of specific social services for probationers such as advocacy, counseling, referral and recreation.
22. Group Dynamics II - New York City Department of Probation  
Training in group work for Probation staff.
23. Chautauqua County Probation Rehabilitation Offender Project  
Diversion of adult offenders, services for jail inmates, and alternatives to jail confinement for misdemeanor offenders.
24. Hillbrook Activities and Recreation Program - Onondaga County  
Design and coordinate arts and crafts, recreation and physical activities for juveniles residing in the Hillbrook Detention Facility.
25. Oneida/Herkimer Comprehensive Pre-Trial Intervention Services  
Mobile R.O.R., intake and referral services to probationers.
26. New York City Office of Probation Remedial Education Training  
Vocational training in remedial reading and job placement.

VI. STATE PROBATION GRANT PROJECT SUMMARIES

Project Titles and Descriptions

The following federally funded State probation projects (via the NYS Division of Criminal Justice Services) were approved, begun, in process, or terminated in 1974 (see Exhibit 5).

1. Urban Specialist II

State Division provided with additional consultants and central office staff to: (a) develop grant applications for probation projects in urban counties; (b) work with planning and research unit to develop evaluation design for DCJS funded projects; (c) provide consultative services; and (d) review progress reports of funded projects.

2. Planning and Research II

Provides staff for the State Division to: (a) develop a system for monitoring existing probation operations; (b) develop new probation programs; (c) assist probation consultants in their work with local departments in resolving problems; and (d) evaluating probation projects.

3. Probation Practices Review

State Division staff investigates complaints, makes spot checks and on-site visits to Probation field operations, responds to requests from probation staff and the general public for specialized investigations, and follows sensitive and high risk cases through to the resolution of the problems.

4. Program Analysis and Review

A Program Analysis and Review Unit to provide an analysis of Urban Probation Departmental Operations.

5. Support and Collections Study

A one year study of the support and collection function of local Probation department and other agencies to determine the best procedure and/or method of providing this function, and the criteria for recommending the most appropriate individual or agency to provide this function.

Exhibit 5

State Probation Grant Projects funded through the NYS Division of Criminal Justice Services which were approved, begun, in process, or institutionalized during 1974:

Code

- \* Approved
- \*\* Begun
- \*\*\* In Process
- \*\*\*\* Institutionalized

Federal Grant Amount	Title	Code
1. \$263,415	Urban Specialist II**	**
2. 187,370	Planning and Research II****	****
3. 86,373	Probation Practices Review**	**
4. 216,669	Program Analysis and Review**	**
5. 37,687	Support and Collections Study*	*
6. 224,768	Testing and Implementation Team**	**
7. 138,842	Mutual Objective Probation Program**	**
8. 535,350	Statewide Probation Training Center***	***
9. 96,349	Schenectady County Intensive Services II****	****
10. 117,456	Statewide Probation Volunteer Coordination Program***	***
11. 571,969	Centralized Narcotic Parts (Absorbed in Dangerous Drug Program)	

## STATE PROBATION GRANT PROJECT SUMMARIES (continued)

6. Testing and Implementation Team

State Division of Probation provides a team of Probation Officers for direct service and consultant specialists for extended on-site consultation for local Probation departments testing new concepts in delivery of Probation services.

7. Mutual Objectives Probation Program

Probation departments in Franklin, Jefferson, Lewis and St. Lawrence counties to implement a project whereby offenders participate in setting goals, activities and time schedules for their probation programs.

8. Statewide Probation Training Center

Training of a yearly maximum of 1200 Probation Officers, Administrators, and Consultants throughout the State.

9. Schenectady County Intensive Services II

Diversion of juveniles from formal adjudication and formal prosecution, development of community resources to assist them, and training of county probation officers.

10. Statewide Probation Volunteer Coordination Program

State Division of Probation provides staff to assist local probation departments to develop volunteer programs primarily in urban areas.

11. Centralized Narcotic Parts (absorbed in Dangerous Drug Program)

Investigation and supervision of offenders arrested on narcotic charges and appearing in Special Narcotic Parts.

## VII. 1974 WORK LOAD AND COST DATA

In 1974, fifty-nine county and municipal Probation departments employed an average of 2,118 Probation Officers who supervised 85,260\* clients, completed 75,578 regular and 60,057 other investigation reports, and opened for intake counseling 42,468 cases. During this period Probation departments collected and disbursed \$107.5 million in payments for family support, fines and restitution.

These services accounted for a minimum of savings to taxpayers of \$224 million through Probation supervision in lieu of institutional placement. It is estimated that 28,000 of the 56,000 under Probation supervision could have been sentenced to prison. The annual cost of such placement would be \$252 million. Deducting an annual cost of \$1,000 for 28,000 cases or a total of \$28 million leaves the balance of \$224 million.

Greater emphasis has been placed lately on community based rehabilitation programs rather than simply confinement of offenders on the rationale that most of them do return to the community. The argument is made that because institutional care isolates the offender from the community to which he must eventually return, total separation from the community makes eventual adjustment that much more difficult. Several studies have shown that Probation participants are less likely to become recidivists than are those placed in institutions.

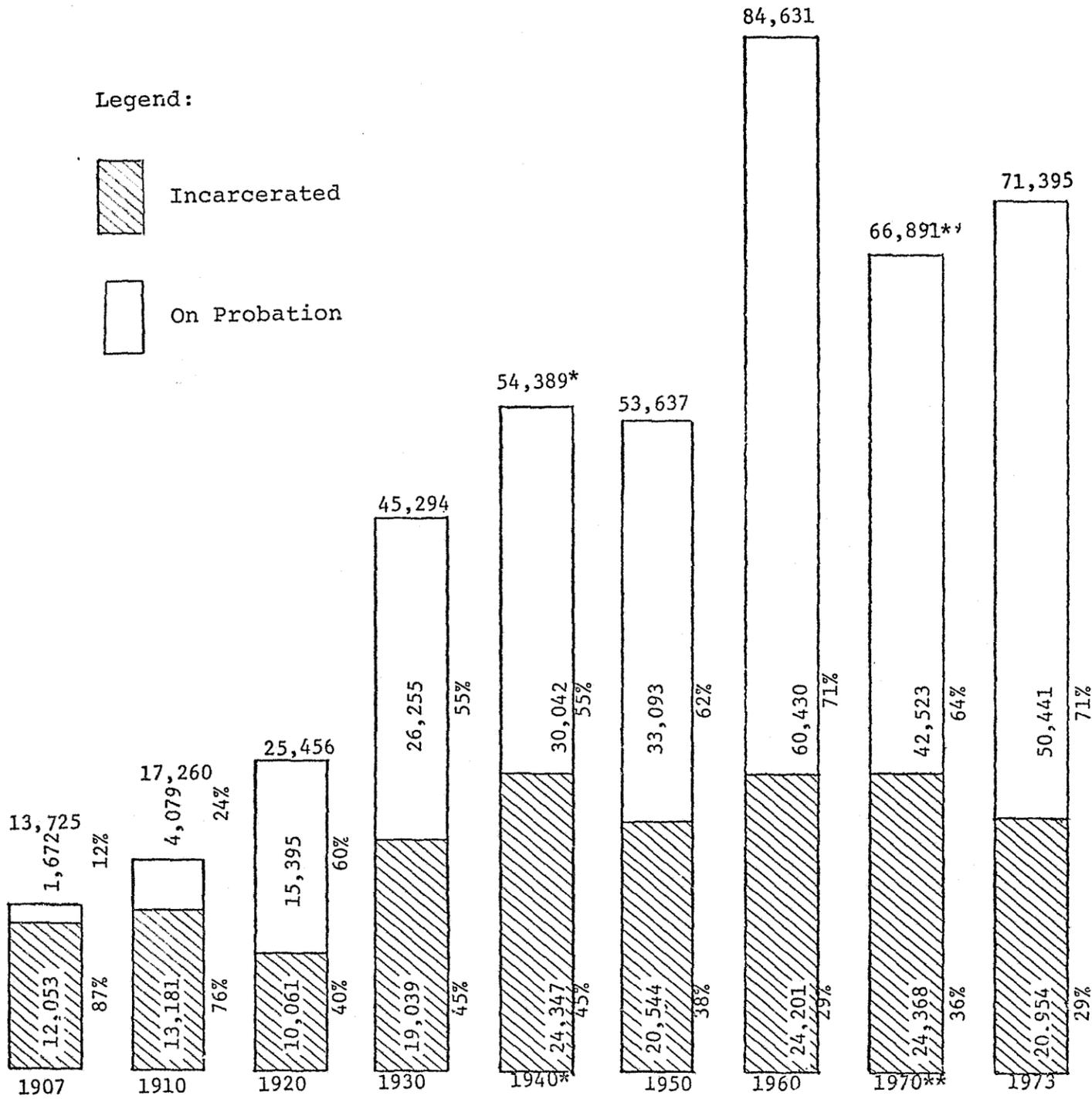
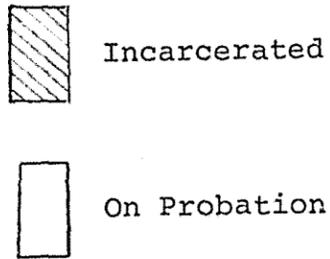
It costs far less to supervise an offender in the community than it does to place and treat him in an institution. This may be one factor in the trend toward the use of Probation over the years (see Exhibit 6). Probation supervision costs approximately \$1,000 a year per client as compared to \$16,500 for juvenile institution treatment and \$9,000 a year for adult institution treatment.

The combined efforts of all county (including direct services) agencies in 1974 resulted in the following accomplishments during 1974 (see Exhibits 6 through 11).

\*This figure represents the total number of persons under supervision during 1974 including those discharged during the year as well as the 55,998 persons on Probation supervision as of December 31, 1974.

Comparison of the Number on Probation in New York State with the Number Incarcerated in Correctional Facilities, NYS Training Schools, County Penitentiaries, County Jails, and the New York City Department of Corrections.

Legend:



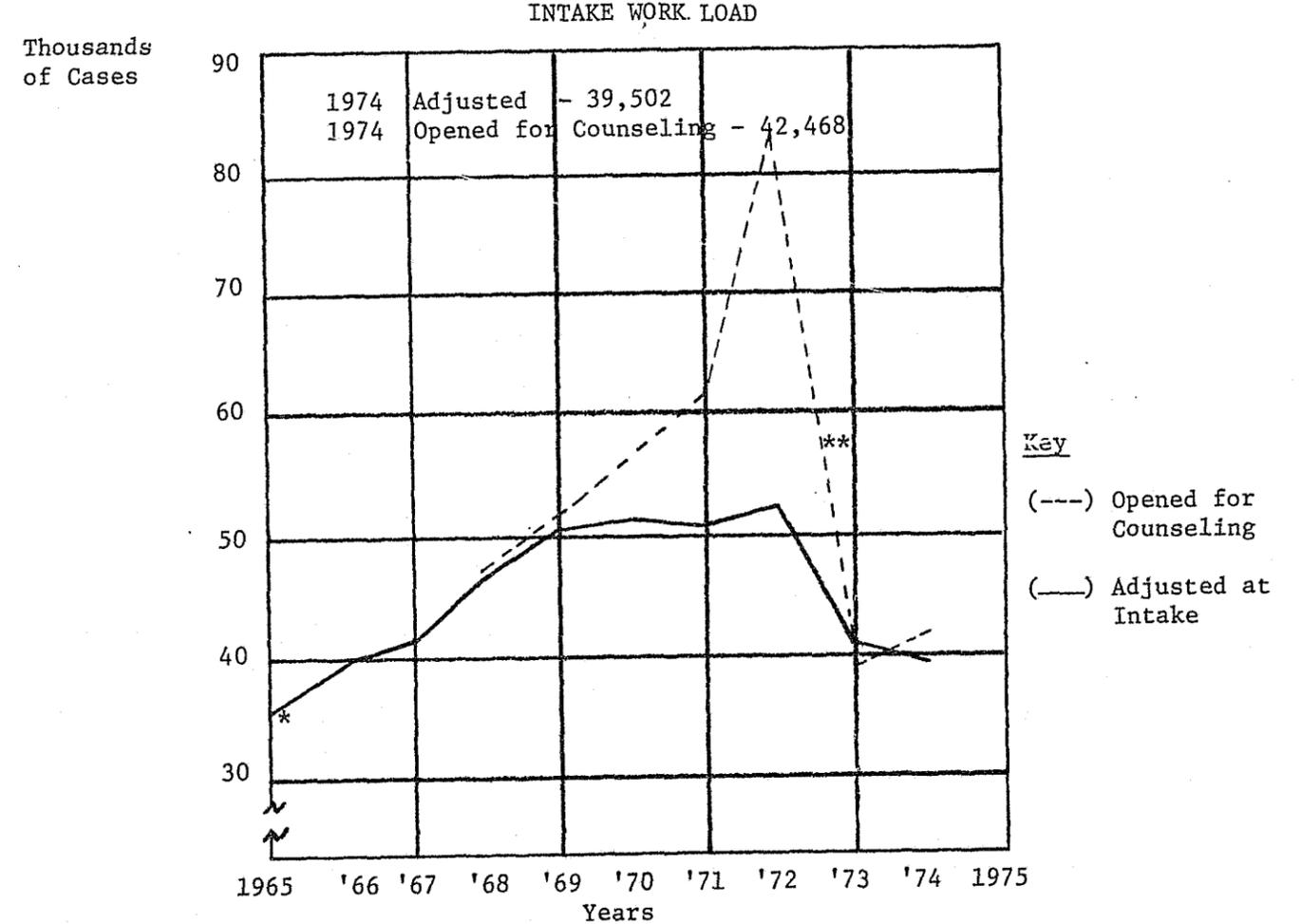
\*1937 incarceration figure began to include juveniles.

\*\*1963 NYC PATERNITY and Nassau County court orders were removed from Probation caseloads.

Definition: The receipt of complaints in the Family Court by the probation department and the determination of the legal basis for providing intake/diversion services.

Comment: This chart shows the development of intake from 1965 when the data collected showed results from the start of the Family Court Act in 1962. At Intake, probation departments are responsible for interviewing and screening matters which fall under the jurisdiction of Family Court.

This preliminary procedure performed by the Intake officer may result in immediate petition to Family Court, referral to another agency for services, or being opened for counseling at Intake and possible adjustment following program services without court action.



Note: \*Intake statistics were not accurately reflected until 1965. Family Court Act authorizing preliminary procedures began in 1962. \*\*"Counseling" re-defined during second half of 1972.

Definition: The process of relevant information gathering for preparation of pre-sentence reports to assist judicial sentencing.

Comment: A pre-sentence investigation is required in felony conviction cases. In misdemeanor cases, the court may not sentence to probation or imprisonment in excess of 90 days without a pre-sentence report.

This chart represents the number of full investigations ordered by all courts, including Family Courts, per year. Each investigation report contains the legal and social history of the defendant or respondent and usually a recommendation for sentencing or disposition. Omitted are the number of supplemental, up-date and support investigations also ordered by the courts and conducted by local probation departments.

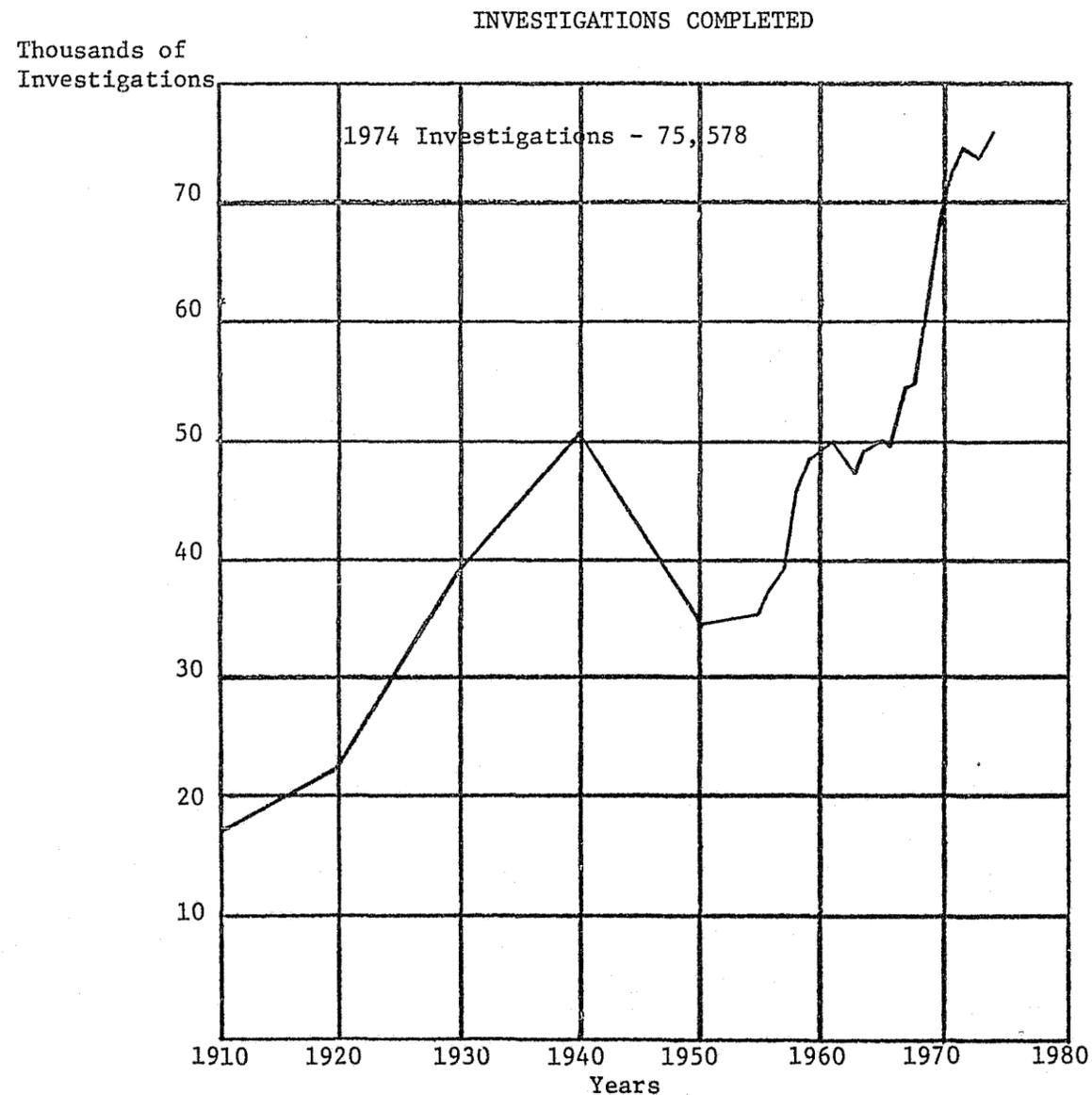
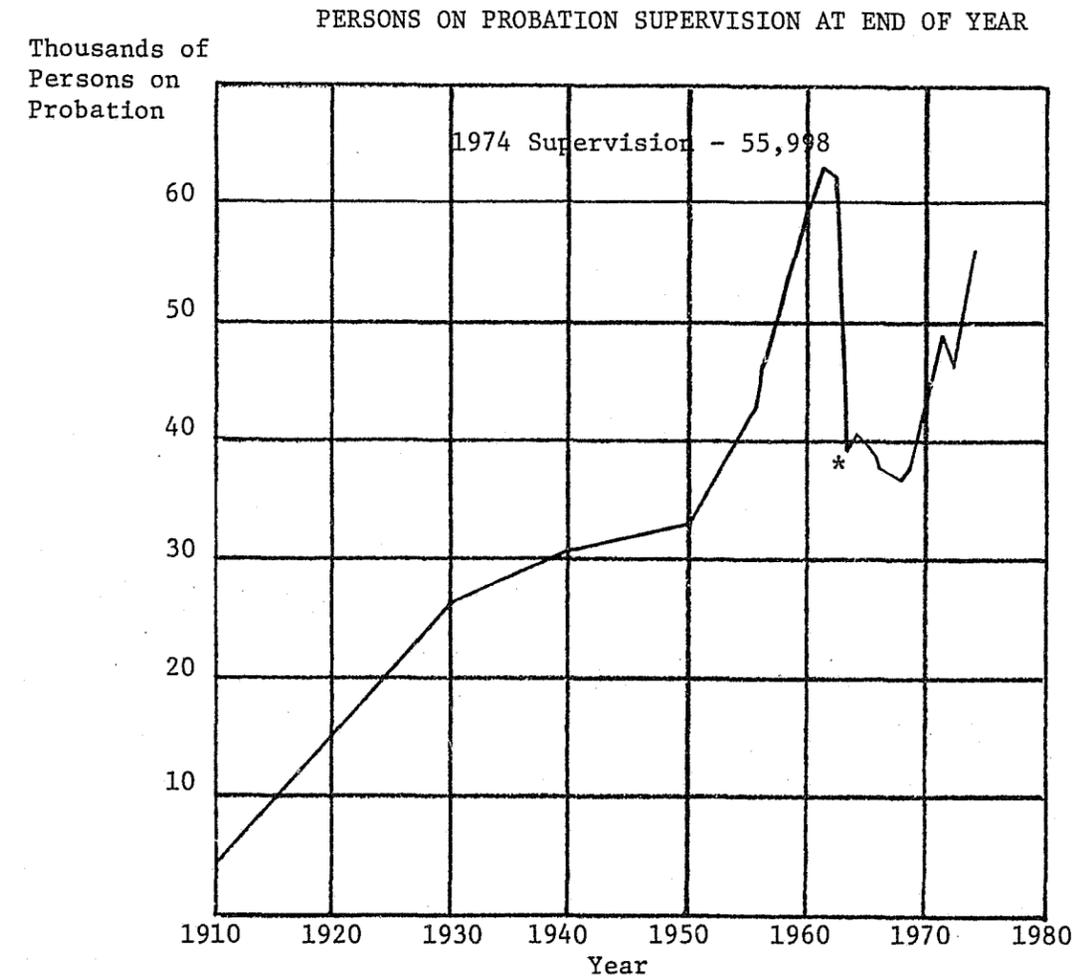


Exhibit 9 - NUMBER OF PERSONS ON PROBATION SUPERVISION AT END OF YEAR

Definition: The supervision of a probationer's activities and the provision of counseling and other services through the marshalling of departmental and community resources.

Comment: This chart represents the total number of persons actually on probation supervision in New York State at the end of each year. The type of supervision may vary from intensive to special depending both on the nature of the case and on the number of probation officers available to supervise probationers and implement treatment programs.



\*NYC Paternity cases and Nassau County Court Orders taken out of 1963 caseloads.

Exhibit 10 - PERSONS PLACED ON PROBATION DURING YEAR

Comment: This chart represents the growth in the number of persons placed on probation each year from all courts.

PERSONS PLACED ON PROBATION DURING YEAR

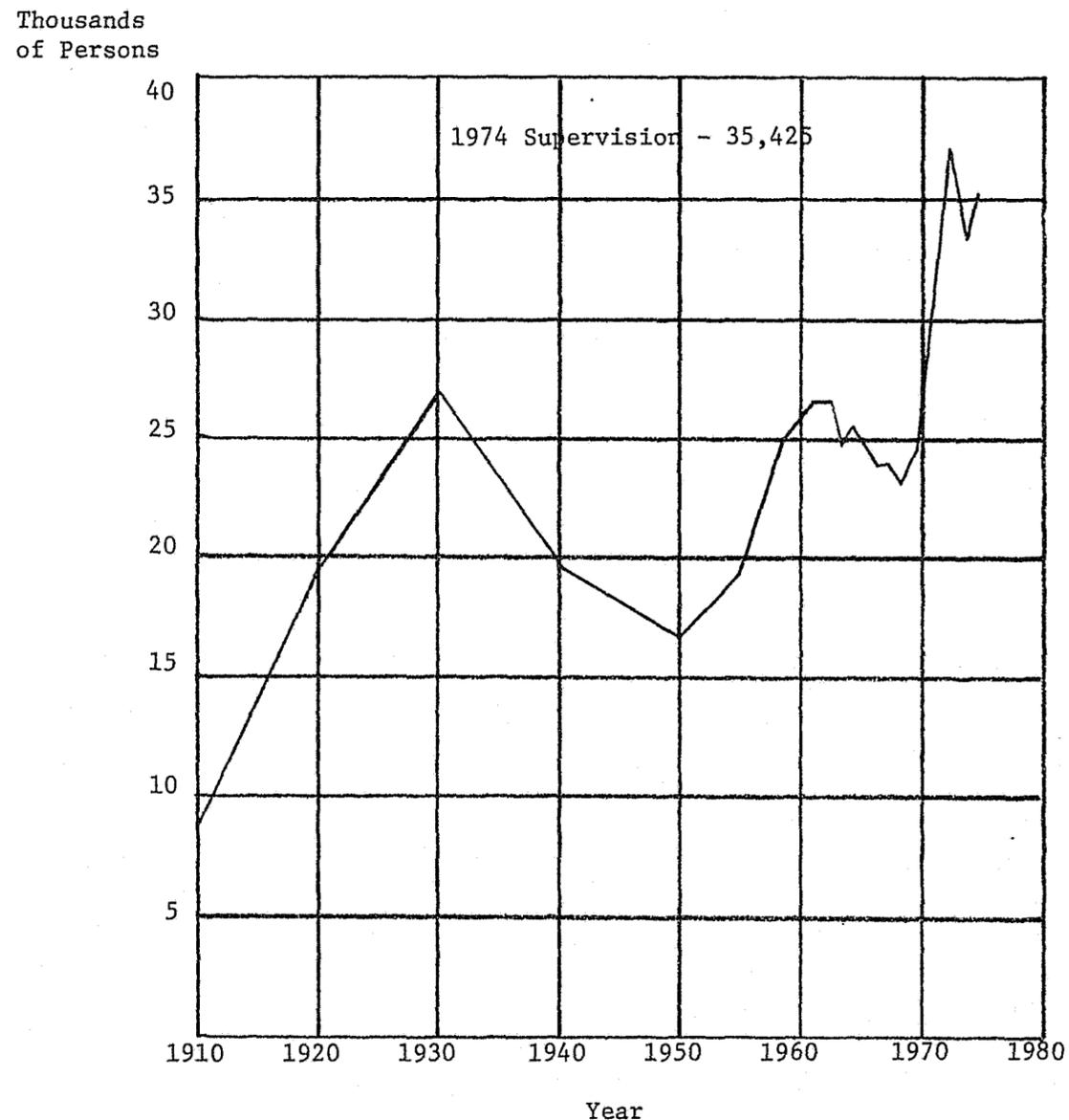


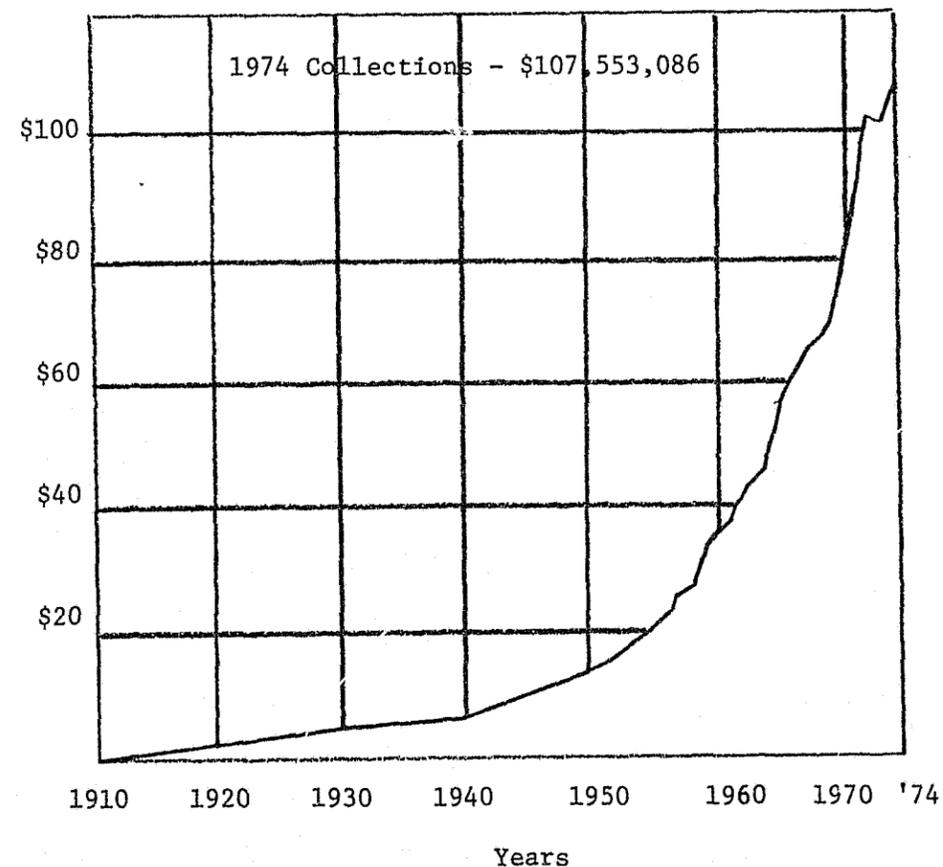
Exhibit 11 - MONEY COLLECTED BY LOCAL PROBATION DEPARTMENTS

Definition: Payments made to the probation department pursuant to court order (i.e. support, restitution, fines, etc.).

Comment: "Collections" includes support payments ordered by Family Court, fines ordered by Criminal Court, and restitution ordered by either court. More than any other chart in this series, Collections displays growth at an ever-increasing rate. Family support accounts for 98% of all collections.

MONEY COLLECTED BY LOCAL PROBATION DEPARTMENTS for Family Support, Fines, Restitution

Millions of Dollars

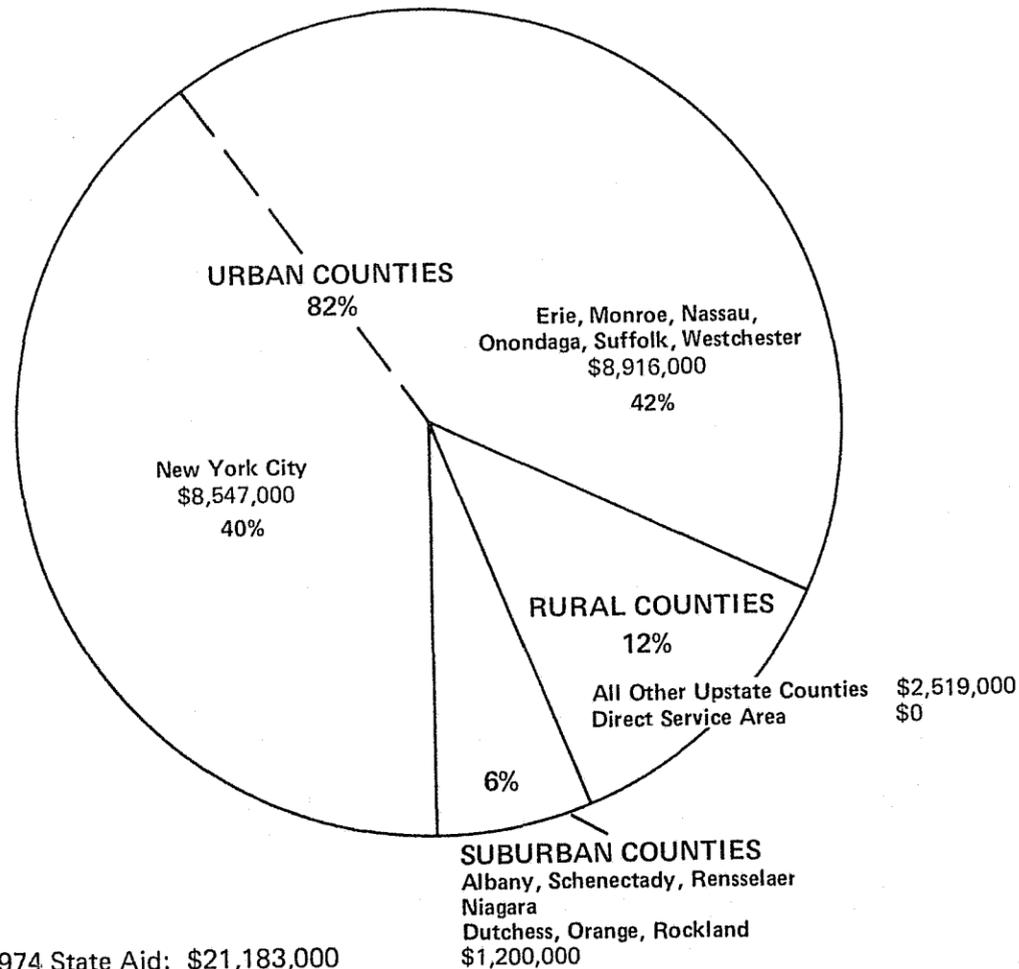


VIII. STATE AID - 1974

Section 246 of the Executive Law provides for State Aid to counties and the City of New York to stimulate the development and improvement of local probation services. An approved plan and compliance with standards relating to the administration of Probation services promulgated by the State Director are prerequisites to eligibility for reimbursement. In 1974, total State Aid was \$21,182,886.46 (see Exhibits 12 and 13) of approximately \$63 million spent on all Probation services Statewide.

Exhibit 12

State Division Aid



Total 1974 State Aid: \$21,183,000  
(Fourth quarter is projected)

Exhibit 13

STATE AID, - 1974

COUNTY	TOTAL
Albany "Adult"	70,640.92
Albany "Family"	64,057.28
Allegany	34,911.65
Broome	248,164.60
Cattaraugus	65,755.46
Cayuga	48,591.31
Chautauqua	131,793.24
Chemung	181,004.53
Chenango	28,029.59
Clinton	57,205.37
Columbia	23,320.88
Cortland	65,348.06
Delaware	24,055.46
Dutchess	156,816.05
Erie	942,078.30
Essex	23,665.04
Franklin	51,241.45
Genesee	72,011.26
Greene	28,811.18
Hamilton	4,014.93
Herkimer	33,701.51
Jefferson	101,740.28
Lewis	24,783.68
Livingston	27,822.65
Madison	73,417.53
Monroe "Adult"	324,725.93
Monroe "Family"	543,283.41
Nassau	3,402,528.73
Niagara	216,151.77
Oneida "Adult"	74,434.80
Oneida "Family"	65,104.92
Onondaga	509,829.39
Ontario	72,595.07
Orange	200,677.70
Orleans	42,360.86
Oswego	98,508.90
Otsego	30,628.03
Putnam	42,568.79
Rensselaer	141,307.76
Rockland	245,749.77
St. Lawrence	129,815.79
Saratoga	61,480.15
Schenectady	104,843.34
Schoharie	16,395.68
Schuyler	28,440.26
Seneca	20,723.89
Steuben	123,746.40
Suffolk	2,069,704.91
Sullivan	37,416.99
Tioga	34,941.72
Tompkins	76,368.24
Ulster	85,206.71
Washington	29,244.41
Wayne	81,449.64
Westchester	1,124,185.60
Yates	18,114.28
<b>TOTAL Counties</b>	<b>12,635,516.05</b>
<b>New York City</b>	<b>8,547,366.41</b>
<b>TOTAL ALL</b>	<b>21,182,882.46</b>

Note: Totals include fourth quarter projections.

IX. PROBATION IN TRANSITION

The State Director of Probation is charged under Article 12, Section 243 of the Executive Law, to "...secure the effective application of the Probation system and the enforcement of the Probation laws and laws of the Family Courts throughout the State". Other responsibilities include collection of data on Probation services and making recommendations concerning the administration of Probation (see Exhibit 14).

Exhibit 14

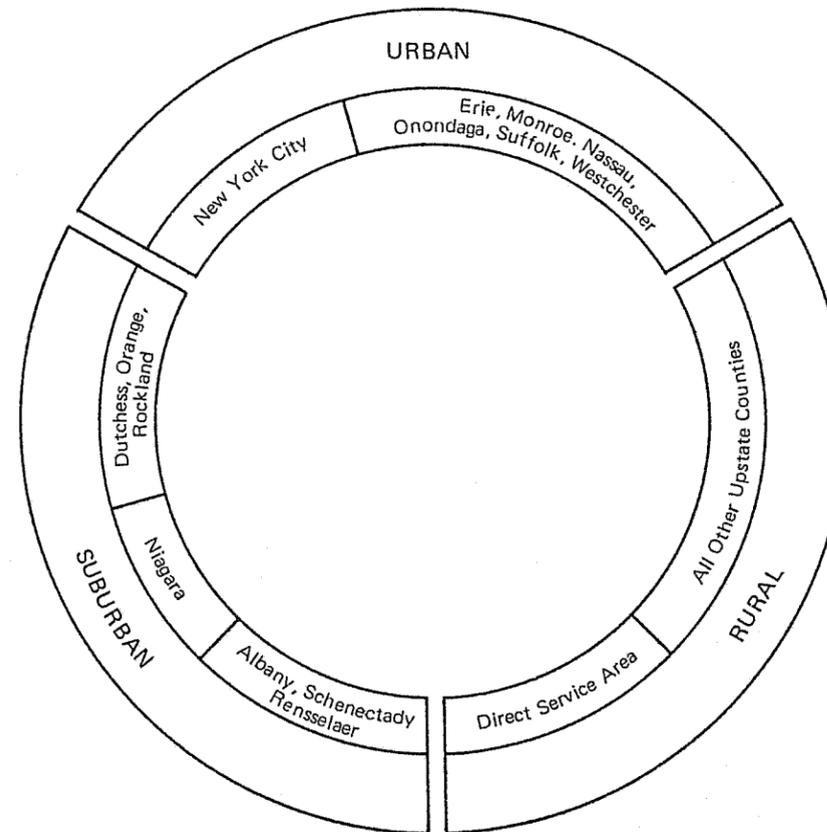
OUTLINE OF RESPONSIBILITIES OF THE STATE DIVISION OF PROBATION

RESPONSIBILITY	EXECUTIVE LAW SECTION
	Article 12
. General supervision of administration of Probation	§243
. Collection of data	243
. Make recommendations re: administration of Probation	243
. Insure effective application of Probation system	243
. Prescribe rules	243
. Keep informed re: work of Probation Officers	243
. Investigate	243
. Issue Annual Report	243
. Publish other reports	243
. Provide for foster homes and/or hostels	244
. Conduct training	245
. Interest persons in Probation; collaborate with universities	245
. Administer State Aid	246
. Provide Direct Services	247
. Grant scholarships	248
. Provide additional minimum qualifications for Probation personnel	257
. Certification to county need for staff	257

Numerous factors, however, made this legislated mandate difficult to accomplish until 1970 when the State Division of Probation was removed from the Department of Correctional Services and established as an independent agency within the Executive Branch. At the same time, local Probation departments (New York City in 1974) were separated from court jurisdiction and established as organizational entities.

The primary factor has been the historical fragmentation of Probation services in New York State which in 1974 totalled fifty-nine semi-autonomous county and municipal Probation departments. These departments have traditionally been labelled as urban, suburban and rural and, as Exhibit 15 portrays, operated totally independent of each other. The result has been that each developed its own policies, programs, goals, etc., resulting in a disparity of services throughout the State.

Exhibit 15 - 59 SEMI-AUTONOMOUS PROBATION DEPARTMENTS GROUPED AS URBAN, SUBURBAN AND RURAL

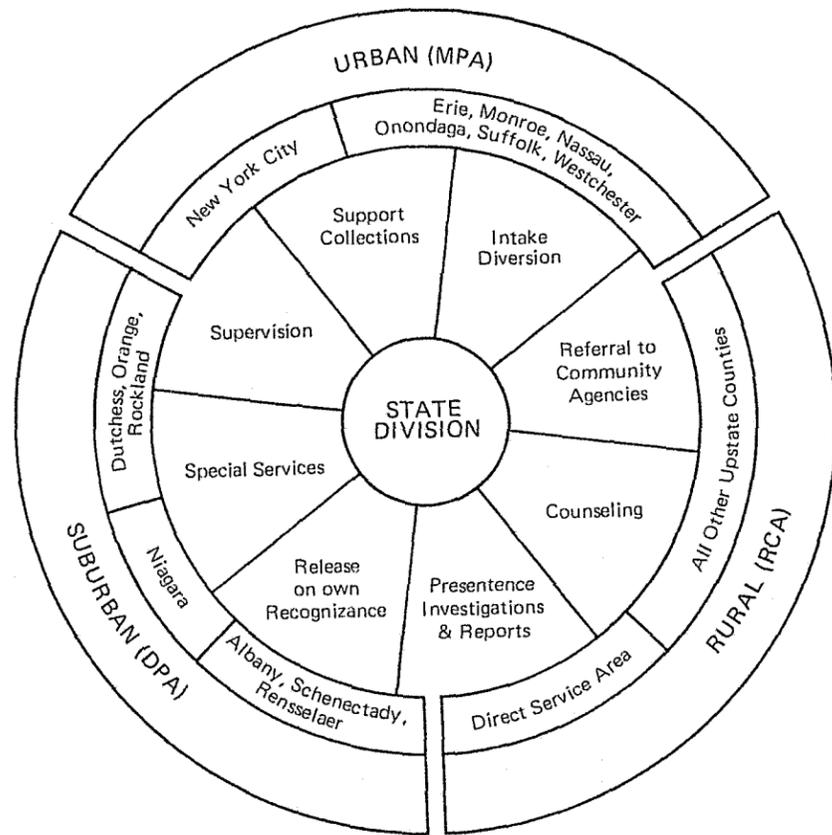


The transfer of the State Division of Probation to the Executive Department in 1970 allowed the State Division of Probation to more aggressively address the local Probation service delivery programs which, until 1970, were similar only in the four general functional areas of responsibility--intake/diversion, investigations, supervision and support collections.

As noted in previous exhibits, Probation service delivery at the local level has experienced tremendous growth in the number of persons assisted. In addition, the scope of the functional area of responsibilities, especially in the Family Court area, has also expanded. Examples of these expanded duties range from marital counseling and adoption investigations to the management of group and detention homes, ROR and bail inquiries, counseling, referrals, as well as the traditional functional responsibilities such as the investigation and supervision of convicted delinquents and felons (see Exhibit 16).

(Exhibit 16 also demonstrates the attempt by the Division to keep abreast of the new planning process developed by the Division of Criminal Justice Services and so has altered urban to MPA, suburban to DPA, and rural to RCA.)

Exhibit 16 - EXPANDED LOCAL PROBATION SERVICES



Definitions

- a) Metropolitan Planning Areas (MPAs) - containing the major counties and city-county combinations which together account for approximately 90% of the State's reported Index Crimes and felony arrests.
- b) Developmental Planning Areas (DPAs) - containing several additional cities and counties whose population, crime and arrest statistics are appreciably lower than those of the MPAs, but sufficiently high to indicate a significant problem.
- c) Regional Coordinating Areas (RCAs) - containing all remaining units of local government.

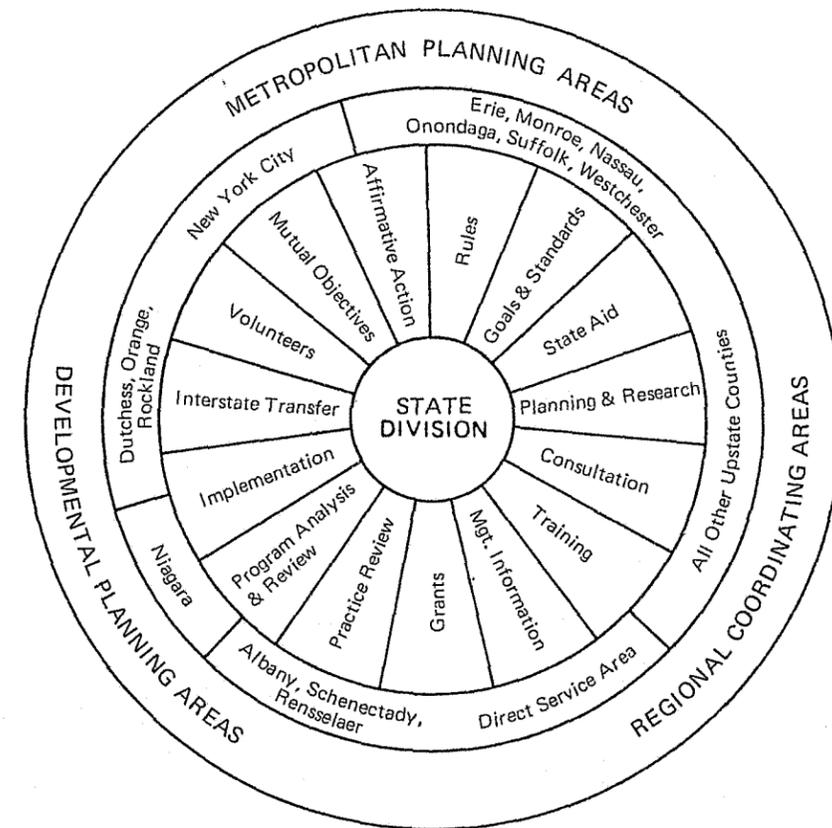
As a result, Probation as a term and operation has come to have many meanings and has become a heterogeneous mixture of programs making it difficult to identify Probation as an integrated "system".

Further aggravating this situation over the years has been the administrative and organizational problems of operational location as Probation has had many "bosses" which at one period of time included the State Judicial Conference, the local Board of Supervisors, the local judiciary, and the State Division of Probation.

With the establishment of the before-mentioned independence in 1970, the State Division of Probation, in conjunction with local probation departments, was permitted to more aggressively identify and assess what appeared to be disparate Probation service delivery with the objective of establishing an integrated probation "system" (see Exhibit 17).

One of the first actions taken by the "new" State Division of Probation was to initiate a number of management and administrative improvements. The initial program established was a Planning and Research Unit to gather and interpret information and data to recommend programmatic improvements at both the State and local level.

Exhibit 17 - PRINCIPAL PROGRAMS OF THE STATE DIVISION



The next area addressed involved the training of Probation personnel which was centralized in a Correctional Services Training Academy in conjunction with the State Department of Correctional Services and the State Commission of Correction.

The next step was the establishment of an Urban Specialist Unit which allowed for more intensive local programmatic consultation and the capacity to design Federal grant programs for the State Division and local Probation departments.

During the last two years, a concerted effort on the part of the State Division of Probation resulted in the establishment of a Manual of Probation Goals and Standards and a self-evaluation Guidebook. This allows local Probation departments to have a standard by which their department's operations can be measured as to effectiveness and efficiency, and for the State Division to be able to more appropriately monitor the State Aid reimbursement program and local Probation service delivery by operational analysis and review.

During the last year, the State Division of Probation established three units with the specific goal of directly assisting local Probation departments. They include a unit to assist in the implementation of newly developed innovative Probation service delivery programs, a practice review unit to monitor Probation practices from the standpoint of community protection, and a statewide volunteer program to enhance the local service delivery by the increased use of citizens.

Other direct action taken over the past two years include the improvement of the Interstate Transfer Program and the establishment of an affirmative action program.

Finally, the rules regulating the operations of Probation at the local level are in the process of being revised in conjunction with the courts and local Probation departments, this being the first such major revision in twenty years. Upon completion and promulgation, they will further assist the State Division of Probation and local Probation units in reducing or eliminating disparate Probation service delivery.

The above management and programmatic improvements constitute the panorama of services designed to create an "integrated Probation system" and additional services planned for 1975, especially the establishment of a Probation Management Information System will advance this concept.

## X. THE FUTURE

In the immediate future, the Division of Probation will continue to engage in the cyclical process of:

- . issuing revised rules designed to regulate the practice of Probation.
- . reviewing, developing and promulgating standards and goals for effective Probation practice while encouraging program innovation.
- . researching and planning new and innovative programs designed to increase efficiency and effectiveness.
- . providing consultation to local departments.
- . providing expanded training for management and line personnel.
- . reviewing the practices of local operations.
- . undertaking in-depth program analysis and review of local activities.
- . evaluating the efficiency and effectiveness of programs.
- . encouraging the establishment of volunteer programs.
- . developing a statewide management information system.

These and other efforts are all intended to standardize and improve the provision of Probation services.

For example, the development of a Probation management information system will be given substantial attention. Probation administrators have long recognized the importance of continuing program evaluation as a tool for program management. The gathering, reporting and analyzing of statistical data are essential to program evaluation and management decision-making.

There are, as well, certain issues that must be resolved in the immediate future. For example, organizational issues which have confronted Probation include State vs. local operation, executive or judicial direction, separate juvenile or adult departments vs. a consolidated department function, and a single Probation agency to service all courts. The issues of State vs. local operations and executive vs. judicial direction remain.

## THE FUTURE (continued)

These issues must be considered in relation to the following organizational and operational objectives: the effective and uniform application of standards; the effective and efficient deployment of manpower and resources; cohesive management direction with appropriate staff support in administrative, planning and research services; a career and merit service with equitable salaries and career opportunities for all personnel; coordination with other agencies in the justice process and a statewide, balanced utilization of available fiscal resources.

There are required characteristics of a Probation service if it is to be effective and efficient in promoting public protection, client assistance and justice:

- a. Continuity of effective leadership;
- b. Career service marked by standard position specifications, broad recruitment and merit selection and uniform and fair working conditions;
- c. Sound and timely application of methods which get results (attain goals);
- d. Adequate financial resources;
- e. Staff support services for planning and evaluation;
- f. Effective collaboration and coordination with other criminal justice services for control and reduction of crime and promotion of justice; and
- g. Organizational placement which insures adequate authority, responsibility and accountability to carry out probation functions.

## Future Organizational Alternatives

A task force of State Division and local probation department personnel, appointed by the State Director of Probation, considered a report on the two-year experience of the State Division in conducting Probation services in Fulton, Warren and Montgomery counties. The task force recommended consideration be given to 10 alternatives in regard to future State-operated Probation services.

## THE FUTURE (continued)

The State Probation Commission reviewed the two-year report on State-directed services in the three counties, the task force report, and its recommendations. The Commission recommended that a State system of Probation services be established during the 1975-76 year. Current State cost of Probation operations is \$23 million. Additional State costs are estimated to be \$60 million. The current State fiscal situation undoubtedly will delay granting of these allocations.

The State Probation Commission recommends as a second alternative that the State system be established gradually, over a five-year period, at an additional cost per year of about \$12 million.

The State Probation Commission recommends also that as a part of either plan above, that a two-year planning and implementation grant of Federal funds be obtained through the State Crime Control Planning Board.

There are other issues as well that must be faced in the coming months and years not the least of which is the current diversity and fragmentation of State organizations with responsibility for delivery of criminal justice services. Such fragmentation:

- a. impedes the development and execution of personnel management programs under a merit system which would promote a career service of competent persons;
- b. demonstrates the need for and problems of coordination in planning for delivery of services;
- c. raises questions regarding productivity and cost effectiveness and whether goals are being realized.

Accordingly, high priority should be given to the consideration of development of a new State organizational structure for integration and management of services now being conducted by several departments and agencies.

Finally, our efforts must be to realize more fully in the future a reduction in crime, a reduction in crime control costs and an improvement in the quality of justice.

**END**

7. 10/15/1964