

77-CNY-1228

PROGRAM ANALYSIS AND REVIEW

Final Report

on

SUFFOLK COUNTY PROBATION DEPARTMENT

May 1976

48488



STATE OF NEW YORK
DIVISION OF PROBATION

TOWER BUILDING
EMPIRE STATE PLAZA
ALBANY, NEW YORK 12223

ROBERT F. SULLIVAN
Acting State Director of Probation

LETTER OF TRANSMITTAL

May 28, 1976

Mr. Ronald J. Edeen
Suffolk County Probation Department
Box 188
Yaphank, LI, New York 11980

Dear Mr. Edeen:

Joint State Division-Suffolk County Probation review of the draft PAR report on your Department has been completed and has resulted in agreement on a plan of action to bring your administration and services into increased conformity with prescribed probation goals and standards. You and your staff are to be commended for your capable and constructive participation.

This final report, presented in summary form, reflects the consensus on findings and recommendations reached at the joint review. It highlights your Department's assets, identifies problems areas, and recommends corrective directions. It includes your plan of action for implementing the necessary changes and your time schedule for doing so. This report also contains an overview of your Department's organization, staffing, and services.

This report does not include the detailed findings and recommendations by the PAR Team. These may be referred to in the October, 1975, draft PAR report.

This report is a supportive document intended to facilitate effective, efficient delivery of probation services to courts, community, and clientele and to enhance opportunities for the allocation of resources to do so.

Mr. Ronald J. Edeen

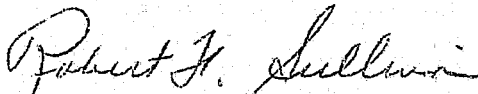
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May 28, 1976

We have concurred at the joint review that you will share this final report with appropriate county officials and members of your staff.

Probation program analysis and review for your Department has reached its most crucial stage, namely, your plans and future staff effort to effect the best possible probation service. The Division of Probation, through its field consultant staff, will continue its collaboration and assistance.

Sincerely yours,

A handwritten signature in cursive script, reading "Robert F. Sullivan".

Robert F. Sullivan
Acting State Director of Probation

PROGRAM ANALYSIS and REVIEW
of
PROBATION ADMINISTRATION and SERVICES
of the
SUFFOLK COUNTY PROBATION DEPARTMENT

Final Report

New York State Division of Probation PAR Team

May 1976

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INTRODUCTION

PURPOSE, PROCESS and METHOD

This report presents the findings of Program Analysis and Review of the Suffolk County Probation Department. The application of PAR in Suffolk County is pursuant to a grant by the New York State Crime Control Board to the State Division of Probation. The Department was one of six serving the large urban counties, Onondaga, Erie, Nassau, Westchester, Monroe and Suffolk, selected because of the potential significant impact of PAR on improving the criminal justice process. The purpose of Program Analysis and Review (PAR) is the identification of major programmatic strengths and deficiencies and to encourage and assist probation departments in adjusting their services and operations in conformity with State standards.

Such standards are presented in the Manual of Probation Goals and Standards which was issued almost simultaneously with the initiation of PAR. The standards reflect contemporary attitudes, values, and concepts in probation administration and services and to a great extent differ from previous standards. Deficiencies which may be revealed through PAR at the present time may arise not because of the Department's failure to abide by standards, but because of changes in standards to which they may not yet have had opportunity to adapt. Such deficiencies are not to be weighed against the departments but are to be seen as areas requiring adjustment in accordance with the standards in the Manual.

Program Analysis and Review comprises two elements: self-evaluation of the local probation departments by its staff utilizing the methods and instruments presented in the State Division of Probation Guidebook for Program Analysis and Review; and independent examination of probation departments' administration and services by State Division specialists in administration, personnel, and probation services. Both self-evaluation and independent review test the application of the standards by the probation departments.

PAR was conducted in Suffolk County in August, 1975. The Department rated all 521 item-standards (item-standards are developed from the standards and discussions contained in the Manual and are the measures by which conformity is rated) contained in the Guidebook schedules. The Division limited its independent examination to include almost an 80% sampling of the item-standards from the Manual and Guidebook.

The Department conducted its self-evaluation with a high degree of interest. A total of approximately 90 local Department staff, representing all functions and levels of authority and responsibility, participated.

An average of six staff members were assigned to rate the Department's conformity, as they perceived it, to standards in each of twenty functions of probation administration and service. Whatever ratings the majority of raters supplied prevailed as the conclusive Department self-evaluation ratings.

The review by the Division of Probation Team was based as far as possible on the Department's first six months of 1975 performance and practice. Examination techniques included observation, interviews, and examination of sundry documents and records. Observations were made of such things as the size, arrangement, and conditions of working quarters, the security arrangements for case files, the density of staff and clientele in the corridors, waiting areas and interview rooms, and staff activity.

Interviews were conducted with the Director of Probation, the two Deputy Directors and Assistant Director, heads of the operational divisions, and selected supervisors, probation officers and clericals representing all administrative and service functions of the Department. Interviews were also conducted with representatives of such county agencies as Personnel and representatives of private and public agencies which are utilized by the Department for referrals of clientele.

Examination was conducted of a variety of documents and records ranging from administrative manuals, procedures, memoranda, correspondence, and personnel files to case records. A 5% random sample of closed and active January-April, 1975, investigation and supervision records were reviewed.

The findings and recommendations by the Division Team are presented in detail in another report. These include an extensive analysis of the Department's practices as they were measured against the standards and discussions presented in the Manual. A total of 387 item-standards, comprising 75% of the total number of item-standards in the Guidebook, were selected for review by the Team. They represented that minimum of standards, in the judgment of the Team, necessary to obtain a significant and meaningful measure of the Department's

achievements in meeting the goals specified in the Manual. A summary of the findings, as they relate to the goals, is also presented further in this report.

The final report follows a joint review of the findings and recommendations by the Division and the Department in which efforts were made to resolve differences in findings and judgments and to initiate plans by the Department for improving the quality and effectiveness of its administration and services where appropriate.

PART A

1. GENERAL DESCRIPTION

of

The Probation Department

The Area and the Population:
Socio-economic and Criminal Justice Features

The Suffolk County Probation Department services the County of Suffolk. The County, which occupies the eastern two-thirds of Long Island, has a distinctive oblong shape. It extends about 85 miles into the Atlantic Ocean yet is no wider than 20 miles at any point. The western end, bordering Nassau County, is a moderately dense suburban area and is one of the State's leading manufacturing and retail trade centers. The eastern end, in contrast, retains many elements of a rural character. Long noted for potato and duck farming, and shell fishing, the area helps place Suffolk among the leading agricultural counties in the State.

The County has a population of 1.3 million persons, better than twice that of 1960. A huge influx of middle-income homeowners have settled in the County who are able to take advantage of the giant labor markets in New York, and, increasingly, the County itself. During the summer months, the population of the County expands as a large number of seasonal homes are occupied.

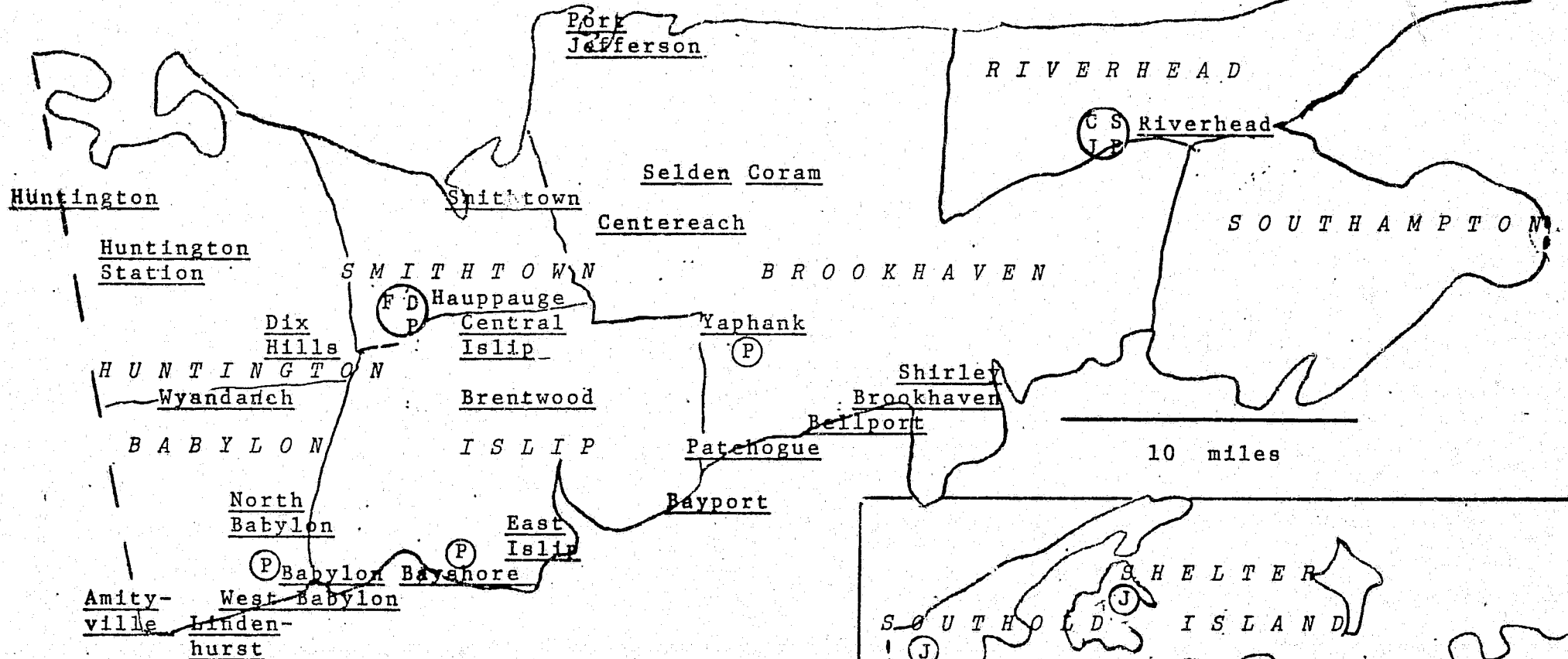
Most of the County's growth has occurred in the five towns in the western end where over 90% of the County's population reside. This reflects the broader extension of the New York metropolitan area from west to east.

In general, residents of Suffolk enjoy an above average standard of living. Because so much of Suffolk commerce centers around retail trade and sophisticated manufacturing (such as aviation and electronics), which requires highly trained professionals, technicians and craftsmen, over 60% of the work force hold white collar positions. The median family income in 1969 was \$12,084, nearly \$1,500 above the State average.

Some sections in the County, notably Lloyd Harbor, Cold Spring Harbor and Coast Neck, are among the wealthiest in the State. In contrast, several pockets of rural poverty inhabited by permanently settled migrant workers have developed along the South Shore. It is from these areas, along with the dense commercial and population centers in the western end, that the Department draws most of its case-load (see Illustration #1).

EFFOLK COUNTY

DISTRIBUTION OF THE PROBATION DEPARTMENT'S
CLIENT POPULATION AND THE LOCATION OF
MAJOR COURTS AND PROBATION SERVICES
(Illustration #1)

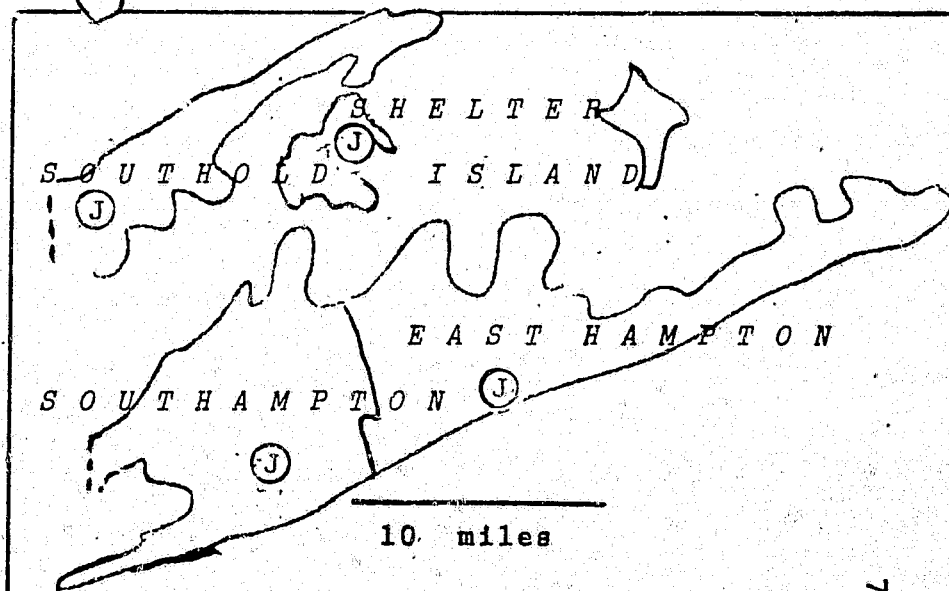


Legend

ISLIP - Towns

Bayport - Areas containing the highest concentration of the Probation Department's client population

C - County Court D - District Courts
S - Supreme Court J - Justice Courts
F - Family Court P - Probation offices



Courts which most significantly contribute to Probation's workload are located throughout the County (see Illustration #1). Family Court is in Hauppauge as are the six parts of the District Court of misdemeanor jurisdiction that serves the five towns in the western end. Supreme and County Courts are in Riverhead. There are six local criminal justice courts located in each of the five towns in the eastern end which also contribute to the Department's workload.

Probation Department Organization

The Suffolk County Probation Department, administratively centered in Yaphank, is organized into an administrative section and twenty-two service units fulfilling a complete array of probation functions (see Organization Chart, Illustration #2).

The offices at Yaphank and Riverhead provide all probation services. Yaphank has three specialized investigation units which do investigations for most lower criminal courts and the Family Court. Riverhead has one specialized investigation unit responsible for investigations for County and Supreme Court and the remaining lower courts.

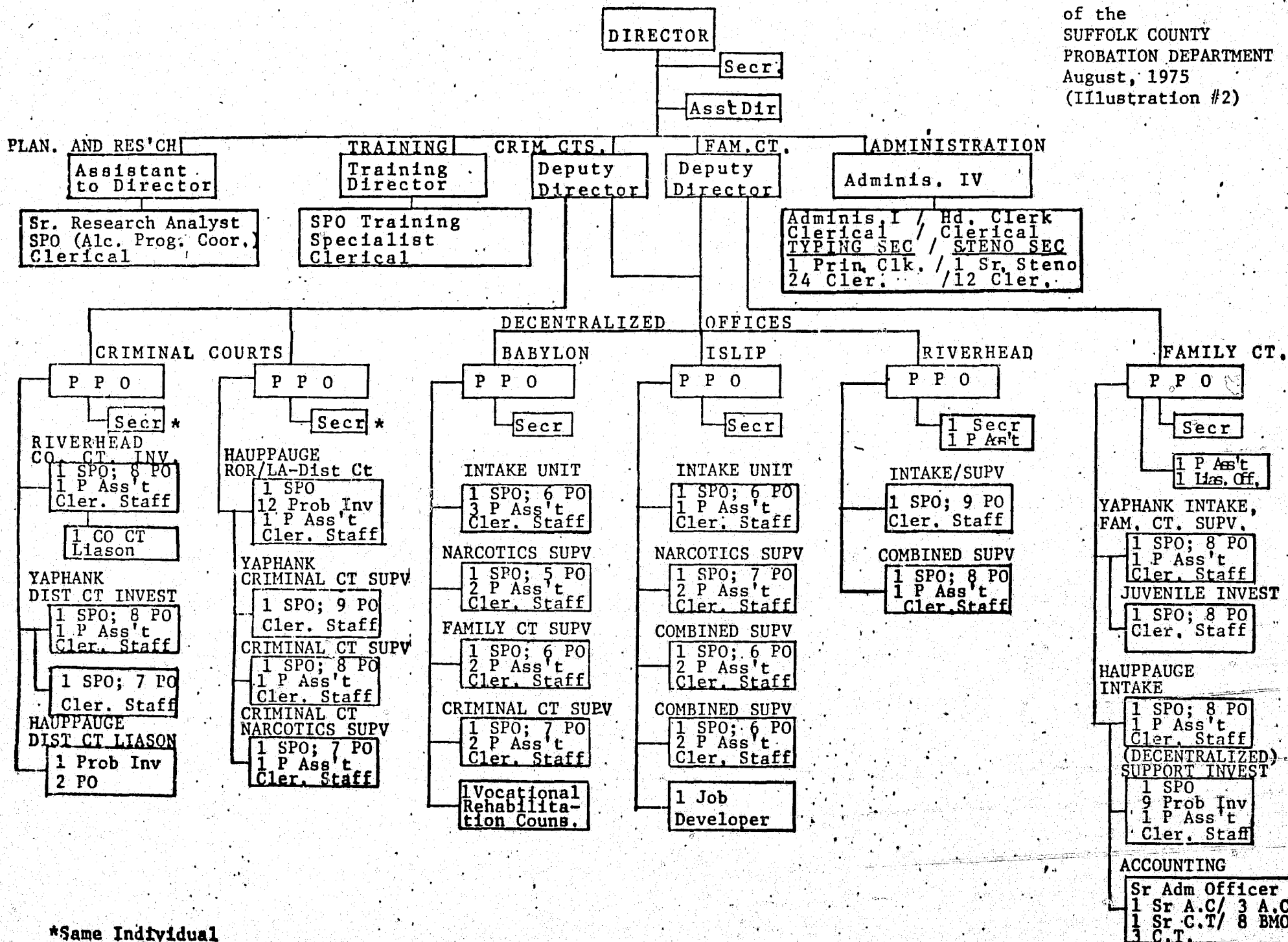
The Islip and Babylon Offices provide only Family Court Intake and supervision and services. Family and District Court Intake and all accounting services are provided at Hauppauge.

Each of the offices providing supervision services have either separate specialized Narcotics Units (four in all) or probation officers with narcotics caseloads.

The Department is in the Executive branch of county government and is responsible to the County Executive. In 1974, the County budgeted approximately \$4.8 million for the Department, slightly greater than 1% of the total County budget. State reimbursement to the County amounted to \$2,170,090.

The Department is headed by a Director who reports directly to the County Executive. This position is filled through competitive Civil Service examinations. Two Deputy Directors have administrative responsibility for criminal

ORGANIZATION CHART
of the
SUFFOLK COUNTY
PROBATION DEPARTMENT
August, 1975
(Illustration #2)



and Family Court functions, respectively. An Assistant Director and an Administrator are responsible for the Department's administrative services. Six Principal Probation Officers are administratively in charge of the decentralized offices and specialized units while Supervising Probation Officers are responsible for the routine operations of each unit.

The Department also has specialized research and training units.

The Staffing of the Department

The Probation Department employs a total of 369 persons. Of this number, 184 are in the professional category and 185 are considered non-professionals. One hundred-fifty employees perform administrative and clerical work while 219 conduct the Department's service function. The Department's staff is summarized as follows:

	<u>Administration</u>	<u>Service</u>	<u>Total</u>
A. Director	1		1
B. Deputy Director	2		2
C. Administrator IV	1		1
D. Assistant Director	1		1
E. Assistant to Director	1		1
F. Probation Training Director	1		1
G. Principal Probation Officer	6		6
H. Senior Research Analyst	1		1
I. Supervising Probation Officer		25	25
J. Probation Training Specialist	1		1
K. Alcoholism Program Coordinator	1		1
L. Vocational Rehabili- tation Counselor	1		1
M. Job Developer/Coor- dinator	1		1
N. Administrator I	1		1
O. Probation Officer		102	102
P. Probation Officer Trainee		38	38
Q. Probation Investigator		24	24
R. Probation Assistant		30	30
S. Clerical and Stenographic	131		131
	<u>150</u>	<u>219</u>	<u>369</u>

Services and Workload

During the first four months of 1975, the Department processed 4405 intake cases of which approximately 63% were referred to petition on initial contact while 37% were diverted from Family Court. (When Department of Social Service support cases for which petitions are automatically filed are excluded, the diversion rate at initial contact increases to about 50%.)

Approximately 1757 pre-sentence and pre-disposition investigations were completed in the first third of 1975; 335 for the Family Court and 1422 for the criminal courts. Recommendations for dispositions are always made to the courts.

Reliance on probation as a dispositional alternative has increased. For example, in the first quarter of 1975, 57% of sentences for convictions of felony indictments were to probation, up 9% from an average of 48% during 1974 and 17% above the State average. As a result, the combined supervision caseload in the first four months of 1975 totaled 5627 probationers, 4640, or 82%, with criminal convictions and 987, or 18%, with Family Court adjudications. During this period, 63 violations of probation (10 based on new charges or convictions) were filed with subsequent revocations occurring in 33 cases.

The Department utilizes two probation officers to execute warrants on adult probationers charged with violating their probation. Approximately 80% of those arrested by these officers are restored to probation.

The Department's pre-adjudicatory supervision caseload totaled 350. This consisted almost exclusively of juvenile cases which are adjourned in contemplation of dismissal requiring a police check at the expiration of six months.

The Accounts Section of the Hauppauge Office collects and disburses all support, restitution and fine monies ordered to be paid by the courts. During the first four months of 1975, the Section processed 12,703 support cases and collected approximately \$2.24 million in support payments and \$29,000 in restitution. The arrangement for payment of delinquent support accounts is assigned to probation investigators who have geographically distributed caseloads and who file formal

violations of support orders when failure to make payments persists.

In addition to providing usual probation services, the Department operates several specialized programs and makes excellent use of community resources for servicing probation clientele. The Hauppauge Office operates a Release on Recognizance/Bail review program which provides written reports with recommendations to criminal court judges with regards to the eligibility of detainees for release without bail. In addition, the project, at the request of the courts, investigates the eligibility of all defendants requesting legal aid.

The Islip and Babylon Offices each have a Job Developer/Vocational Rehabilitation Counselor who provides direct and referral employment finding services. The Babylon Office maintains a Community Services Program, staffed by probation assistants and volunteers, which seeks to expose youths to cultural, social and athletic activities otherwise unavailable to them in an effort to prevent criminal activity.

The Department employs an Alcoholism Program Coordinator, supported by federal funds, whose major task is to increase staff awareness, through training courses and manuals, of available resources for alcoholic abusers.

Client Population Characteristics

The following summary of client characteristics is based on a survey conducted by the PAR Team of a 5% sample of probationers receiving post-adjudicatory supervision during January-April, 1975. Statistics regarding racial composition are taken from "Equal Employment Opportunity Program," Suffolk County CJCC, September, 1974.

Personal Characteristics

Adults: 88% of the adults are male; 75% are white; 40% (when sentenced to probation) were between the ages of 17-20, 20% between 21-25, 20% between 26-34, and 21%, 35 and above.

Juveniles: 73% of the juveniles are male; 69% are white (of juveniles for whom petitions at intake were filed, 21% were white, while 84% of the counselling caseload is white); 78% of the juveniles were between the ages of 14-16 when placed on probation.

Offense

Adults: Approximately one-third of all adult probationers were convicted of drug and drug related charges (most commonly, possession in the 6th and 7th degrees). One-fifth were convicted of larceny (15% misdemeanor and 6% felony). The next most common offenses for which probationers were convicted were intoxicated driving (10%), Criminal Trespass (7%), Assault (7%), and Possession of Stolen Property (6%).

Juveniles: Over 80% of the juveniles were placed on probation for Truancy, Runaway, and Burglary.

PART A

2. SUMMARY

of

Findings and Recommendations

by Goals

The Manual of Probation Goals and Standards states that it is the purpose of the Probation Department 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. Twenty probation functions and attendant goals are identified. The achievement of the goals provides direction toward realization of the broad purpose and conformity to the standards provides the means for achieving the goals.

In this section of the report, a broad overview is presented of the Suffolk County Probation Department's achievements and performance as they are related to attainment of the goals. The overview is developed from the findings made by the Division of Probation PAR Team of the Probation Department's conformity to the standards.

ADMINISTRATION

Organization and Management

The goal of this function is to "provide organizational structure and management of probation services for attainment of basic purpose and objectives with effectiveness and economy."

The Department is divided into administrative and service divisions and units. Administrative units are located in Yaphank and Hauppauge. The service units are distributed throughout the County to facilitate service delivery to the public, the courts and the clients. The Department provides probation services through specialized units supervised by a Supervising Probation Officer. The supervisors of various units (serving either Family or criminal courts) report to principal probation officers who have general expertise in service to both of these courts. All principal probation officers report to both Deputy Directors, each of whom is responsible for services to either Family or criminal courts. The Department has recognized the value of the "generalist" approach to administration by utilizing principal probation officers according to geographical organizational units. A current organization chart, available to all employees, position duty statements and the training programs clearly delineate the chain of command, duties of employees and the goals and objectives of the Department.

It is noted that the Department has an on-going program for assessing its operations, procedures and the data generated by the reporting system. The Planning and Research Unit commendably conducts studies of the Department's operations to determine cost effectiveness and efficiency.

The Department is currently revising its administrative manual. The new manual is planned to be available for staff distribution by late 1975.

The Department's employees meet with supervisors at regular unit staff meetings and administrators meet with supervisors on a regular basis and receive monthly status reports from each unit supervisor.

PAR findings indicate that the Department should prepare individual plans for employees' career development.

Personnel Administration

The goal of this function is "recruit, select, develop and retain a highly qualified, dedicated work force."

The Department's employment and efficient use of its para-professional staff is commendable. The Department's training program which includes orientation, staff development, in-house training, courses at the State Division Training Academy, and graduate study is also notable. There are courses for all levels of staff and all levels have input into the program. The Department also has an affirmative action plan and an affirmative action coordinator.

Planning and Research

The goal of this function is to "utilize the planning process and develop information to determine goals and methods for effective achievement of mission and solution of problems."

The Department has a full-time planning and research staff consisting of the Assistant to Director and a Senior Research Analyst. Other administrative staff, supervisors and line staff, contribute to the planning and research process by providing information, ideas, and suggestions at meetings, participating in studies and

providing feedback to the Planning and Research Unit on community and client needs. The planning and research staff initiate studies, solicits ideas, interfaces with community and other governmental agencies to evaluate the Department's present operations and plans for new programs. The Department's administrative staff is active in community and professional organizations and serves as officers in various organizations. The planning function produces comprehensive and detailed planning documents such as the State Division of Probation program plan, the County Management by Objectives plan and annual budget. The research function produces a broad range of purposeful studies and reports on proposed programs and existing operations.

Statistics

The goal of this function is to "establish an efficient and effective statistical program to maximize decision-making in all areas of the probation service."

The Department gathers the monthly statistics from supervisors' unit reports and logs kept in the central case record unit. The Department occasionally supplements the regular statistical reports with specially compiled statistics to provide needed additional detail of an operation that is under study. Written procedures are available to staff for the statistical collection process and used by supervisors to train staff. Specific staff are assigned the statistical compilation and verification duties under the general supervision of administrative staff. The Department shares the statistical reports and studies with county, state and federal agencies for budgetary and reporting purposes and general statistical information is available in the annual report.

PAR findings indicate that the Department should prepare and submit the mandated monthly reports to the State Division of Probation within the established deadlines; and explore utilizing the computer of the proposed automated criminal justice data retrieval system in the County to provide it with reports that can be used in planning and research.

Collaboration with other Agencies

The goal of this function is "collaborate with local, state, and federal criminal justice and related public and

private agencies in developing laws and policies and in coordinating procedures and programs to enhance the effectiveness of the criminal justice system."

The Department collaborates with other agencies, public and private. There are written procedures for certain specific cases which are made known to all employees. The Director attends meetings called by the State Director of Probation and cooperates with the Division Consultant and Division programs. The Director and both Deputy Directors belong to the New York State Council of Probation Administrators.

PAR findings indicate that the Department should develop a formal policy statement regarding collaboration with other agencies for inclusion in the proposed manual which is currently being developed.

Public Relations and Education

The goal of this function is "inform, educate and gain the cooperation and involvement of the public regarding the role of probation in the criminal justice process."

The Department issues an attractive, informative annual report which receives wide distribution. Numerous informational bulletins have been distributed describing the programs and services offered in the decentralized offices. Staff members have spoken at schools, colleges, government agencies, and community organizations. All such appearances are cleared through the Yaphank Office.

Location of Services and Space Standards

The goal of this function is "design and implement a space management program that locates and arranges probation facilities and programs so staff can deliver effective and efficient probation service to the client, justice agencies and the community.

The Department's offices are located in facilities which are relatively accessible to the clients served. The effort the Department made to make its services more available is commendable. The offices are generally clean, well-lighted, and the available space is efficiently allocated. The Department conducts an annual review of its space needs and submits a written space management program to the State Division of Probation as part of its annual county probation program plan.

PAR findings indicate that floor to ceiling partitions should be constructed to provide privacy for Probation Officers and Probation Assistants in the Babylon Offices. Also, there is a need for redecorating and refurnishing the Babylon Office.

Development and Issuance of Policies and Procedures

The goal of this function is to "develop, maintain and communicate policies and procedures to govern probation operation and staff performance."

The Department issues policy and procedural memoranda, kept in folders and binders by administrative and supervising staff, that are made known to staff at unit meetings. These memoranda are available upon request from supervisors. The policies and procedures are the basis of, and are used in, the training of employees. Presently, the Department has nearly completed the revision and compilation of policies and procedures for all activities. This major policy and procedure revision project has received input from all levels of staff. Studies of different manual maintenance systems have been conducted to arrive at a recommendation for the format of this proposed manual. The two proposed manuals are planned to be divided into administrative policies and procedures and probation operations policies and procedures.

Development and Use of Community Resources

The goal of this function is to "develop and utilize government services, indigenous community organizations and citizen volunteers as an integrated community resource for the more effective delivery of probation service."

The Department commendably utilizes a wealth of community resources to provide services to clients and maintains close liaison with these community resources. It is noteworthy that all professional personnel maintain liaison and collaborative relations with community, public and private agencies and programs. Departmental professional personnel are members of numerous multi-agency committees or boards on the County and local levels. Problems between agencies and general community problems are discussed along with possible solutions at such meetings on an informal basis. The Department evaluates community resources and needs at least on an annual basis. Decentralized offices also evaluate their local community resources and gaps in needed services, with the goal of establishing programs to meet gaps in community provided services. The Research Unit informally acts as overall community resource coordinators

for the Department and evaluates community needs and resources as related to probation services. The Suffolk County Community Chest annual list of all resource agencies is distributed to all administrative and supervisory personnel. Each decentralized office also keeps a current list of community resources available in its geographical area.

The Department utilizes volunteers in the Cultural Enrichment Program in the Babylon Office. A Volunteer program is to be implemented this fall throughout the Department. Volunteers are being recruited, Volunteer Manuals have been completed and a comprehensive training program for volunteers has been developed. The Director of Training is the Acting Volunteer Coordinator until the Department receives budget approval to hire a Volunteer Coordinator.

The Department maintains excellent liaison with community resources to provide services for clients.

Budget Planning and Administration

The goal of this function is to "insure, via a budget process, the adequate allocation of resources for probation programming by presenting a thorough, accurate, rational, analytical, and compelling case relative to probation needs and accomplishments and its expected contribution to society."

The Department prepares and submits a line item budget and a program budget. In accordance with instructions, the Department also submits a Management by Objectives statement of mission and goals to the County Executive. The budget and accompanying documents contain comprehensive and detailed analysis of past operations and plans for future operations. The budget justifications contain quantified goals for all programs that the Department plans to achieve during the next fiscal year. The Department has an effective encumbrance and expenditure control and review system.

PAR findings indicate that the Department should conduct a periodic review of expenditures to evaluate program cost and effectiveness.

Comprehensive Program Analysis and Review

The goal of this function is to "assess the results of agency operations in relation to the goals and standards specified."

The Department enthusiastically and conscientiously participated in the PAR process. The self-evaluation phases were completed in a timely manner using all levels of staff. The two-week on-site review of the Department's operations by the PAR Team included all levels of staff and despite the large number of branch offices and staff, was thoroughly completed due to the excellent cooperation from all the staff.

The Manuals and Guidebooks were distributed to staff in accordance with instructions from the State Division of Probation and utilized in the PAR process.

SERVICES

Preliminary Probation Procedures for the Family Court

The goal of this function is to "divert selected eligible persons from formal Family Court processes."

The Department maintains an effective intake and diversion service for Family Court referrals. A formal intake and diversion program is maintained in all decentralized offices. Three decentralized offices have specialized Intake Units, each composed of a Supervising Probation Officer, 6-8 probation officers and 1-3 probation assistants. In each of the other two decentralized offices, the service is provided by two and three specialized probation officers. Juvenile referrals include Persons in Need of Supervision (PINS) and juvenile delinquency (JD) cases. Adult referrals include support, paternity, custody, family offense, conciliation and child protective matters.

During the first four months of 1975, the Department diverted 50 percent of the PINS referrals and 64 percent of the JD referrals. In Adult matters, support cases constituted about two-thirds of all adult referrals and court petitions are automatically required on all support referrals from the Department of Social Services. Consequently, statistics show that 79 percent of all support referrals were immediately petitioned into Court. Of the remaining 392 support referrals, 84 percent of the cases were diverted. The remaining adult referrals totaled 1305 cases of which 37 percent of the referrals were diverted. The intake and diversion staff extensively utilize the abundant community resources and their own resources to divert cases from Court. The emphasis is on providing services to the clients and to the community. The Department develops programs to meet gaps in community provided services,

and Intake staff have instituted outreach programs to meet specific needs in their decentralized office's geographical area.

The draft of the proposed departmental manual contains policies, procedures and guidelines relative to the Family Court intake and diversion services. The Department has established a District Court intake-diversion program which closely follows the policies, procedures and practices for Family Court diversion. The draft manual contains policies, procedures and guidelines on District Court diversion. The intake and diversion programs for both Courts are evaluated at least on an annual basis by the Department. The Research Unit is presently involved in an in-depth, detailed intake and diversion research project in the Babylon Decentralized Office. Based on their findings, the Research Unit plans to expand the study to the other decentralized offices.

Release on Own Recognizance Program

The goal of this function is to "provide competent and timely information to assist the courts in making decisions regarding release of defendants awaiting dispositions and provide supervision of and service to persons released on own recognizance."

The Department has maintained an ROR program in all Suffolk County criminal courts since 1967. The ROR program in the District Court is serviced by 12 investigators in the Hauppauge Office and supervised by a Supervising Probation Officer. The County and justice courts are serviced by an investigator in the Riverhead Office who conducts ROR investigations upon requests from the court.

During the first four months of 1975, the staff conducted 5481 ROR investigations of which 98% were from District Court. Since District Court conducts arraignments seven days per week, the ROR service operates seven days weekly with staff on rotating shifts. All detained defendants are interviewed by ROR staff. The investigators generally conduct pre-arraignment ROR investigations, including only appropriate information, and verify the necessary data prior to the arraignment hearing. All ROR investigation reports include a recommendation and are submitted in writing to the courts. ROR recommendations are based on a point system, residence and the investigator's evaluation of the defendant. Post-arraignment investigations are completed within 48 hours of the court's requests for the investigation. For those released on ROR, staff provide written

notification of the next court date. Occasionally, staff refer defendants to needed community resource agencies. The ROR service is evaluated at least semi-annually. The most recent study indicated that 94 percent of those released on ROR during 1974 returned for their court hearing.

The ROR staff also conduct Legal Aid eligibility investigations for the courts when a defendant requests legal aid or a court appointed attorney. The Legal Aid investigation verifies the defendant's financial situation. Written reports of the verified information are submitted to the courts with a copy provided to the Legal Aid Society.

Pre-Sentence and Pre-Disposition Investigations and Reports

The goal of this function is to "provide relevant and accurate information and analysis for sentencing and disposition."

The Department effectively and efficiently provide pre-sentence reports to the courts. Departmental procedures and practices are in general conformity with the standards. The Department provides investigation reports to the courts through four specialized investigation units-two for District Court, one for juvenile (Family Court) and one for County and justice courts. Each unit is staffed by 7-8 probation officers, a probation assistant and a probation supervisor.

During the first four months of 1975, the Department completed 2037 investigations of which 335 were juvenile Long Form reports, 257 were Modified Long Forms (Felonies), 1165 were Short Form (Abbreviated Misdemeanor), 108 were supplemental court reports and 21 were relief from disability reports.

Written policies, procedures and guidelines for pre-sentence investigations and reports to the court are specified in a draft procedural manual. The Department has utilized the previously mandated investigation report forms. Investigations are completed in average of three weeks, always conform to the court dispositional date and priority is always given to detained defendants. Investigation reports include a recommendation for sentence, the appropriate information, verified data, and an evaluative analysis. Drug, alcoholic or psychiatric programs for potential probationers utilizing community resources are developed during the investigation process. Reports are submitted to the courts at least 24 hours before sentencing.

Sufficient and qualified staff are assigned to the investigation units. Staff assigned investigation functions receive comprehensive training by the Department's training unit in an orientation program including specific investigation training. Investigation cases are assigned to officers on the basis of geographical area, equalizing caseloads, and an officer's experience or skills.

PAR findings indicate that the Department should utilize the new investigation forms when they are made available.

Supervision of Probationers

The goal of this function is to "provide effective monitoring of and service to probationers to promote law-abiding behavior."

The Department supervised 5627 juvenile and adult probationers during the first four months of 1975. Officers supervising probationers are not assigned to the investigation function. Supervision cases are assigned on the basis of geographical areas. Four supervision units providing services to narcotic and alcoholic related probationers are maintained.

The Department is presently studying the feasibility of implementing a differential supervision program as promulgated by the State Division Rules effective 3/28/75. Classification of probationers into Intensive, Active, and Special categories has been undertaken by a supervision unit in each of the Babylon and Riverhead Offices on a demonstration basis.

Conditions of probation are explained to probationers during the initial interviews. Program plans are developed with the probationer and are rationally based on services to be provided to meet specific goals. Referrals to community resources are appropriately made. Departmental procedures specify the frequency of contacts which include home, employment and school visits and resource agency contacts. Supervision plans are generally reviewed with probationers and with supervisors. Quarterly supervision summaries contain significant information concerning the probationer's activities and are commendably kept current. Specific criteria are utilized in recommending the early discharge of probationers.

PAR findings indicate that the Department should expeditiously implement a differential supervision program in accordance with State Probation Rules. Procedures should be established to insure that probationers from Family Court and justice courts are interviewed within 72 hours following court

disposition. New probationers and those requiring intensive supervision should be seen in person at least weekly.

Interstate and Intrastate Transfer of Probation Supervision

The goal of this function is to "provide for the effective supervision of probationers in jurisdictions other than those which placed them on probation."

The Department generally conducts the transfer of supervision of probationers into and out of the Department in accordance with the Interstate Compacts, the Criminal Procedure Law and the rules promulgated by the State Division of Probation effective 3/28/75. A probation officer acts as the liaison person for criminal court transfers of supervision out of the Department while a principal probation officer is responsible for coordinating transfer cases into the Department. Transfer of supervision of juvenile probationers into and out of the Department rarely occurs. Staff provide the same probation services to transferees into the Department as they do for probationers sentenced in Suffolk County. During the first four months of 1975, 92 adult probationers were transferred to other jurisdictions.

Misconduct and Violation of Probation Procedures

The goal of this function is to "provide a method for the disposition of charges of misconduct or violations of probation through court action."

The Department effectively provides methods for disposing of charges of misconduct through administrative action or violations of probation through court action. During the first four months of 1975, the Department processed 53 technical violations of probation and 10 violations based on new petitions, charges or convictions. Alleged violations of the conditions of probation are promptly investigated by probation officers. Supervisory review of alleged violations of probation is timely. Informal administrative adjustments such as reprimands/warnings are utilized by officers and supervisors and noted in case records. Misconduct reports or informal summaries are submitted to the court when adjustments are recommended. Written procedures are specified for initiating formal violation of probation actions. Formal violation actions based on new petitions or charges are infrequently requested. If a criminal court probationer is arrested and convicted on a new offense, he generally is not charged with a violation of probation. The Court is notified of his probation status through the new pre-sentence report. In juvenile cases,

a summary indicating the nature of the violation and the probationer's current status is submitted to the Court.

Special Services

The goal of this function is "provide direct and/or referral services in such areas as physical and mental health care, vocational guidance and employment findings, and foster care."

The Department provides special services through specialists and a well-developed referral system. Departmental job developers and an alcoholism program coordinator provide a variety of services to probation clientele. Referral procedures are generally specified in writing and followed by staff. A current Directory of Community Services is accessible to and utilized by personnel involved with referrals. In addition to the Directory, each office maintains a listing of resources available within its geographic area. Efforts made by the Department to participate in case conferences and to obtain progress reports from referral resources are commendable. Special services provided are noted in case records by progress reports and supervision summaries.

Case Records

The goal of this function is to "provide a system of orderly recording and management of the maintenance of case information."

Departmental policies and procedures relative to case record management are specified in memoranda and generally followed. They include the content and order of case files, accessibility and security of file cabinets, the opening and closing of cases and frequency and format for supervision summaries. Case files are identified by name and case number. Strict security of all active and closed probation, intake and support cases is maintained. Dictation of supervision summaries is commendably updated on a quarterly basis and intake summaries are prepared in typewritten form at least monthly. The rationale for services rendered is logically presented in probation and intake records. The contents of all case records and case folders are well maintained. With the exception of intake information which is contained in separate folders, the contents of case files are separated in accordance with State Division Rules promulgated 3/28/75. The Department is beginning to utilize letter size folders for Family Court cases.

PAR findings indicate that the master index card files

should contain cards of all closed and active cases including intake cases. Each card should include the date the case record was destroyed.

Accounts and Records

The goal of this function is "provide for the effective collection and disbursement of support, restitution, fines and reparation monies and for their accurate accounting."

The Department has a highly efficient and well organized system for arranging for and recording payment of Court ordered support and restitution monies. The system is fully automated and provides the Department with numerous and timely reports on various subjects. All employees working in this area are bonded and provided with written procedures concerning their work. Deposits are made on a daily basis and monies retained overnight are safeguarded in a locked vault.

The Department is commended for its system, the reports it generates, and the utilization of these reports. Special recognition is due since the Department provides a monthly report to the Court regarding the status of delinquent accounts.

SUFFOLK COUNTY PROBATION DEPARTMENT

PLAN OF ACTION

The "plan of action" is a logical and appropriate outgrowth of the PAR process. Results have been presented to the Department in a report and have been reviewed jointly by Department and State Division of Probation staff. The Department's achievements and strengths have been spelled out and its deficiencies defined and acknowledged. The plan of action is the Department's program for improving the quality and effectiveness of its administration and services. The "plan" includes the measures it is implementing and its time schedule for initiating or completing them.

The following is the Suffolk County Probation Department plan of action. This format is utilized for ready and easy reference. The plan is the Department's own, developed independently but with consultation with Division staff.

The Department has addressed itself to the major findings of the PAR report in the plan which it has submitted in time for publication in this report. Liaison by Division staff will continue with the Department to establish steps to be taken within more limited target dates towards achieving the more general objectives of the plan, to identify the important findings of the report which the Department has not yet addressed itself to in its plan, and to monitor progress of the plan.

<u>FUNCTION</u>	<u>PLAN MEASURE</u>	<u>SCHEDULE*</u>
<u>Organization and Management</u>		
Individual plans for employees' career development should be prepared.	Plans are prepared	5/15/76 C
<u>Personnel Administration</u>		
N O R E C O M M E N D A T I O N S		
<u>Planning and Research</u>		
N O R E C O M M E N D A T I O N S		
<u>Statistics</u>		
Submission of DP-30 statistics	Revise data collection system relative to the Intake and Investigation functions so to submit DP-30 statistics on time.	1/77 C
<u>Collaboration with Other Agencies</u>		
Development of a formal policy of collaboration	A formal policy if being developed.	9/ 1/76 C
<u>Public Relations and Education</u>		
N O R E C O M M E N D A T I O N S		
<u>Location of Services and Space Standards</u>		
Renovations in the Babylon Office	Renovations are completed.	Completed
<u>Development and Issuance of Policies and Procedures</u>		
Completion of procedural manual	manual is completed	9/ 1/76 C

- * S - initiation of action plan
 C - completion of action plan

FUNCTIONPLAN MEASURESCHEDULE*Development and Use of
Community Resources

N O R E C O M M E N D A T I O N S

Budget Planning and
AdministrationDesign a system to
evaluate program
activities relative
to budgeted expen-
dituresProgram cost break-
down submitted in
1977 Budget request.

6/1/76 C

Comprehensive Program
Analysis and Review

N O R E C O M M E N D A T I O N S

Preliminary Probation
Procedures for the
Family Court

N O R E C O M M E N D A T I O N S

Release on Own Recog-
nizance Programs

N O R E C O M M E N D A T I O N S

Pre-Sentence and
Pre-Disposition In-
vestigations and
ReportsUtilize new format
when availableNew format utilized
as of 2/1/76.

Completed

Supervision of Proba-
tionersInterview new proba-
tioners within 72
hours following dis-
positionProcedure is devel-
oped with Justice of
the Peace Courts.

9/1/76 C

FUNCTIONPLAN MEASURESCHEDULE*

Interstate and Intrastate
Transfer of Probation
Supervision

N O R E C O M M E N D A T I O N S

Misconduct and Violation
of Probation Procedures

N O R E C O M M E N D A T I O N S

Special Services

N O R E C O M M E N D A T I O N S

Case Records

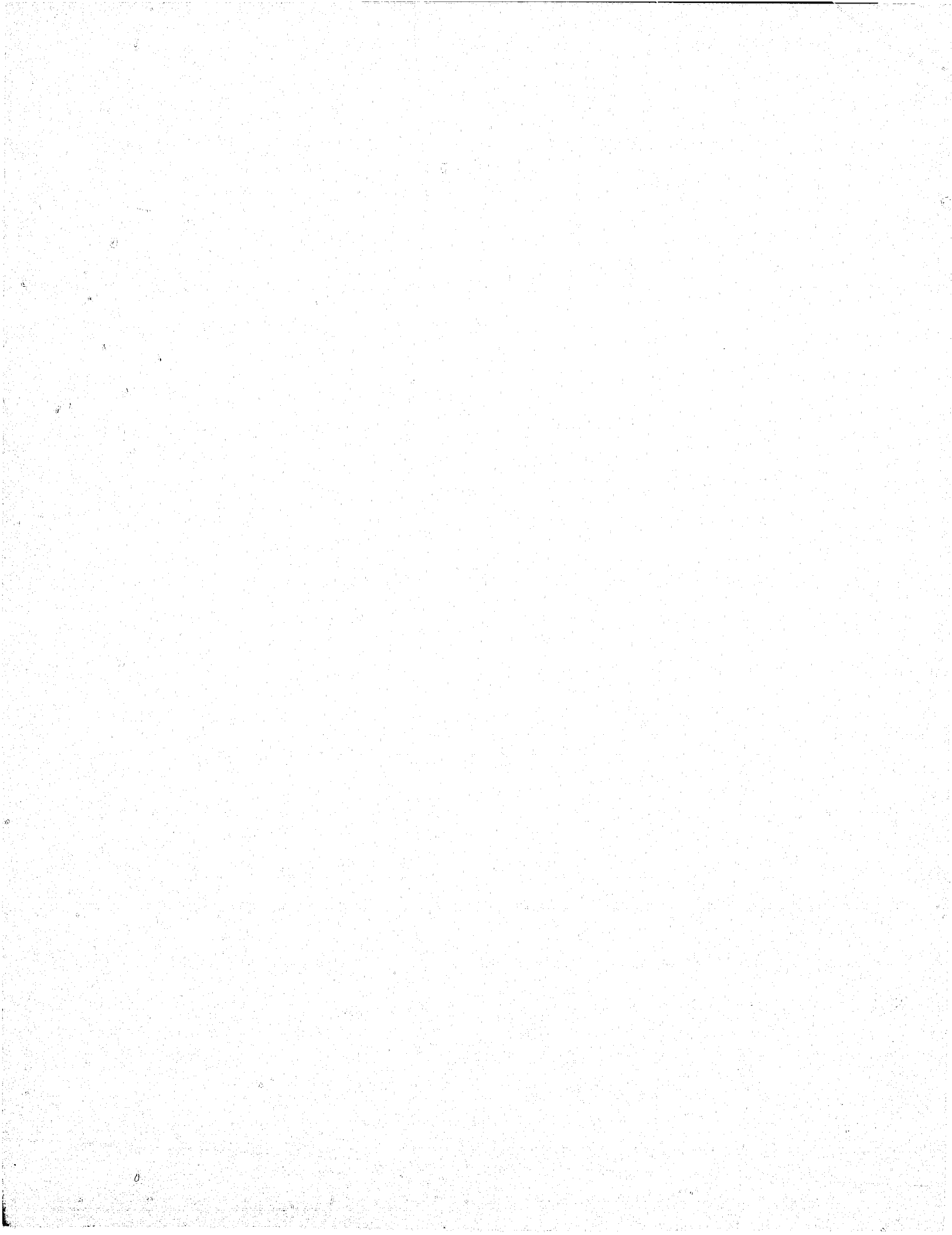
Central intake index
cards indicate case
destruction date

Procedure is im-
plemented on all
new cases.

6/ 1/76 C

Accounts and Records

N O R E C O M M E N D A T I O N S



END