

<b>2008-09 Spending Plan</b>	<b>Agency Name:</b> <b>Division of Probation and Correctional Alternatives</b>
	<b>Agency Head:</b> Robert M. Maccarone, State Director

## **A. Overview of Proposed Plan**

### ***A.1 Overall Approach***

As required, the Division of Probation and Correctional Alternatives will reduce spending to meet the cash ceiling established by the Division of the Budget. Over the last several years, DPCA has been significantly reduced with the closing of its four regional offices and staff reductions from 120 to 37 total FTEs. DPCA proposes to maintain a Grade 23 position and a Grade 14 position vacant to accommodate the required savings for the 2008-09 fiscal year.

### ***A.2 Achievement of Savings on a Recurring Basis***

DPCA proposes to maintain reductions in non-personal services on a recurring basis to accommodate the necessary savings reductions under state operations. In the outyears, DPCA expects to recoup additional savings in contractual services -- derived from the transition of the COMPAS Risk/Needs Assessment Project to a centralized statewide platform. It is also anticipated that there will be additional reductions in spending in the risk and needs assessment area as the outcome validation study for this project will be completed this year.

### ***A.3 Protecting Key Priorities***

As you are aware DPCA is an extremely small agency compared to most NYS agencies, with an FTE fill level of 37 staff. The Agency's critical public safety function is overseeing probation departments in the supervision of 125,000 adult and 17,000 juvenile offenders and reducing probationer recidivism (re-arrests). With this reduced staff, DPCA continues to regulate and fund New York State's 58 probation departments, funds and sets standards for nearly 200 Alternative to Incarceration programs, and manages the Interstate Transfer of nearly 5,000 probationers annually.

### ***A.4 Treatment of New Initiatives*** – The following new initiatives will take place during the fiscal year.

**OWDS Training:** The three week in-state Offender Workforce Development Specialist training of 25 probation officers and ATI program staff in evidence based practices for job readiness, placement, and retention will be completed June 2008. The training is supported in part by a \$25 thousand grant from the National Institute of Corrections (NIC) and will prepare the participants to work with offenders in achieving and retaining employment, thereby reducing recidivism. It is being offered in collaboration with the NYS DOL and NIC.

**Expansion of Voice-Diagnostic Interview Schedule for Children (V-DISC):** This is a collaborative initiative between DPCA and Columbia University to improve linkages between local mental health services and probation. This program is expected to expand from 7 to 17 jurisdictions during 2008 utilizing Federal grant funds provided through the Substance Abuse and Mental Health Services Administration.

**YASI:** 2008 will include the release of the YASI 5.0; the release of YASI/Caseload Explorer Integrated Software; and the development of a YASI Statewide Server. This will be accomplished with a Federal Juvenile Accountability Block Grant.

**Probation Violation Residential Centers:** Effective April 1, 2008, DPCA began funding two new pilot probation violation residential centers located in Albany and Dutchess counties, that will serve a multiplicity of probation departments and provide a residential treatment alternative for probation violators in lieu of state prison. Both programs will be funded under State demonstration funds.

**Fundamentals of Community Corrections (FCC):** FCC Curriculum – Using existing state resources DPCA will lead ATI programs in developing the State's first evidenced-based training curriculum for Community Corrections agencies. New York State will also be the recipient of technical assistance funding through the National Institute of Corrections.

## B. Summary of General Fund Financial Impacts

<b>GENERAL FUND -- SAVINGS SUMMARY</b>			
	Required Reduction	2008-09 Savings	2009-10 Savings
Local Assistance	(\$1,386,000)	(\$1,386,000)	(\$1,386,000)
Personal Service	(\$59,200)	(\$59,200)	(\$0)
Non-Personal Service			
Supplies & Material	(\$2,700)	(\$2,700)	(\$0)
Contractual Services	(\$35,100)	(\$35,100)	(100,000)
Equipment	(\$3,000)	(\$3,000)	(\$0)
<b>Total Non- Personal Services</b>	<b>(\$40,800)</b>	<b>(\$40,800)</b>	<b>(\$100,000)</b>
<b>Total State Operations</b>	<b>(\$100,000)</b>	<b>(\$100,000)</b>	<b>(\$100,000)</b>
In order to achieve the required savings of \$100,000, DPCA specifically proposes to do the following:			
<ul style="list-style-type: none"> <li>• Two (2) positions will remain vacant for the current year.</li> <li>• Reduction in Supplies &amp; Material through decreased spending in legal journals, periodicals, subscriptions.</li> <li>• Reduce cash spending on the COMPAS contract during the 2008-09 fiscal year</li> <li>• In 2009-10 DPCA will achieve a savings of \$100,000 resulting from the COMPAS contract ending 3/31/09.</li> <li>• A reduction in spending on office equipment for the current year.</li> </ul>			
Capital	\$0	\$0	\$0
<b>TOTAL</b>	<b>\$1,486,000</b>	<b>\$1,486,000</b>	<b>\$1,486,000</b>

<b>GENERAL FUND -- YEAR-TO-YEAR CHANGE, AFTER SAVINGS</b>			
	2007-08 Actual*	2008-09 Projection	Percent Change
Local Assistance	\$69,471,400	\$77,187,000	11.1%
Personal Service	\$1,752,800	\$2,103,500	20.0%
Non-personal Service	\$370,000	\$490,500	32.6%
Total State Operations	\$2,122,800	\$2,594,000	22.2%
Capital	\$0	\$0	\$0
<b>TOTAL</b>	<b>\$71,594,200</b>	<b>\$79,781,000</b>	<b>11.4%</b>

\*2007-08 Actuals reflect total cash disbursements from 4/1/07 to 3/31/08

### C. Identification of Proposed General Fund Actions

	2008-09 Cash	2009-10 Cash	2010-11 Cash
<b>GENERAL FUND</b>			
<b>Local Assistance</b>			
1. Probation Aid	(\$991,000)	(\$991,000)	(\$991,000)
2. Intensive Supervision Program	(\$120,000)	(\$120,000)	(\$120,000)
3. Intensive Supervision – Sex Offenders	(\$46,000)	(\$46,000)	(\$46,000)
4. Juvenile Risk Intervention Serv. Coordination	(\$24,000)	(\$24,000)	(\$24,000)
5. ATI Classification – 13As	(\$90,000)	(\$90,000)	(\$90,000)
6. ATI TANF Programs	(\$80,000)	(\$80,000)	(\$80,000)
7. Probation Eligible Division	(\$22,000)	(\$22,000)	(\$22,000)
8. Supervision / Treatment of Specialized Offenders	(\$13,000)	(\$13,000)	(\$13,000)
<b>TOTAL</b>	<b>(\$1,386,000)</b>	<b>(\$1,386,000)</b>	<b>(\$1,386,000)</b>

\*The programs listed above reflect a 2% reduction and the budgets for all counties/programs will be subject to this reduction.

### State Operations

1. Personal Service	(\$59,200)	(\$0)	(\$0)
2. Non-Personal Service			
	Supplies & Material	(\$2,700)	(\$0)
	Contractual Services	(\$35,100)	(\$100,000)
	Equipment	(\$3,000)	(\$0)
Total Non- Personal Services	(\$40,800)	(\$100,000)	(\$100,000)
<b>TOTAL</b>	<b>(\$100,000)</b>	<b>(\$100,000)</b>	<b>(\$100,000)</b>

In order to achieve recurring savings, DPCA specifically proposes to do the following:

- Two (2) positions will remain vacant for the current year.
- Reduction in Supplies & Material in 2008-09 through decreased spending on legal journals, periodicals, subscriptions.
- Reduce cash spending on the COMPAS contract during the 2008-09 fiscal year.
- DPCA will achieve a savings of \$100,000 in 2009-10 and 2010-11 resulting from the COMPAS contract ending 3/31/09.
- A reduction in spending on office equipment for the current year.

**D. Summary of Impact on Other Funds**

<b>OTHER FUNDS – SAVINGS SUMMARY</b>			
	Required Reduction	2008-09 Savings	2009-10 Savings
Local Assistance	N/A	N/A	N/A
Personal Service	N/A	N/A	N/A
Non-personal Service	N/A	N/A	N/A
Total State Operations			
Capital	N/A	N/A	N/A
<b>TOTAL</b>			

<b>OTHER FUNDS – YEAR-TO-YEAR CHANGE, AFTER SAVINGS</b>			
	2007-08 Actual	Revised Projection	Percent Change
Local Assistance	N/A	N/A	N/A
Personal Service			
Non-personal Service			
Total State Operations			
Capital	N/A	N/A	N/A
<b>TOTAL</b>			

**E. Identification of Proposed Other Fund Actions**

N/A

**F. Plan to Manage the Workforce****F.1 Overall Approach**

DPCA will monitor staffing closely, filling only those positions that are considered critical to the operations of the Agency.

**F.2 Plan for Refill of Vacant Positions (both current and anticipated vacancies)**

DPCA plans to fill 3 vacant positions and will leave two positions vacant.

- |  |                        |         |
|--|------------------------|---------|
| 1. Keyboard specialist (SG-6)          | ATI Interstate Bureau  | 6/12/08 |
| 2. Secretary (SG-11)                   | Training Bureau        | 6/12/08 |
| 3. Community Corrections Rep 2 (SG-23) | Adult Probation Bureau | 6/12/08 |

<b>Workforce Impact – All Funds</b>	
<b>a. Initial Target: x,xxx [for reference]</b>	<b>37</b>
<b>b. Current Fills PP#</b>	<b>32</b>
<b>c. Recurring impact of proposed actions (see Parts C &amp; E)</b>	
<b>d. Recurring impact of vacancy-refilling plan (see F.2)</b>	<b>3</b>
<b>e. Total FTEs March 31, 2009 (line b minus line c, plus/minus line d)</b>	<b>35</b>
<b>f. Change from Initial 2008-09 Target (line a minus line e)</b>	<b>2</b>

### G. Monthly Projections: All Funds Workforce; General Fund State Operations/Local/Capital

	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	TOTAL
<b>A. Workforce - All Funds</b> (SEE ATTACHMENT 1)													
Est FTEs Month-end													
<b>A. Workforce - All Funds</b>	<b>34</b>	<b>32</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>416</b>
Est FTEs Month-end													
<b>B. State Operations</b> (SEE ATTACHMENT 2)													
Personal Service													
1st PP	34	32	35	35	35	35	35	35	35	35	35	35	416
2nd PP	0	0	0	0	0	0	0	0	0	0	0	0	0
3rd PP (if applies)	0	0	0	0	0	0	0	0	0	0	0	0	0
Subtotal PS	34	32	35	35	35	35	35	35	35	35	35	35	416
NPS	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Total Disbursements – State Ops</b>	<b>34</b>	<b>32</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>35</b>	<b>416</b>
<b>C. Local Assistance</b> (SEE ATTACHMENT 3)													
Program x	0	0	0	0	0	0	0	0	0	0	0	0	0
Program y	0	0	0	0	0	0	0	0	0	0	0	0	0
Program z	0	0	0	0	0	0	0	0	0	0	0	0	0
All other local assistance	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Total Disbursements - Local Capital</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>D. Capital Projects</b>													
Program/project aa	0	0	0	0	0	0	0	0	0	0	0	0	0
Program/project bb	0	0	0	0	0	0	0	0	0	0	0	0	0
Program/project cc	0	0	0	0	0	0	0	0	0	0	0	0	0
All other Capital Projects	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Total Disbursements - Capital</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

Note: See attachments 1, 2, and 3 for Workforce, State Operations, and Local Assistance

### H. Assumptions Underlying the Proposed Plan

- Most of our new initiatives for 2008-09 will be supported, fully or in part, by Federal grants.
- Once the SG-27 position is filled, we propose leaving a SG-23 position vacant for the remainder of the year.
- Once the SG-18 position is filled, we propose leaving the SG-14 position vacant for the remainder of the year.

**I. Management of Risks Inherent in the Plan**

DPCA will continue to review and manage its programs to ensure that they are operating efficiently. This will include monitoring spending, continuing to review and manage payment of claims and agency disbursements.

**J. Additional Savings Opportunities for 2008-09**

DPCA will continue to monitor personal and non-personal spending as well as program expenditures to identify future savings.

**K. Potential Future Savings Opportunities/Operational Improvements (indicate if statutory change is required)**

None identified at this time.