

**CONFIDENTIAL FOR SECURITY PURPOSES**

Attachment B

**Agency Programs/Activities: Inventory and Key Data**

**DIVISION OF PAROLE**

Relation to Core Mission (RWML)	Program/Activity	Spending Category (SO, ATL, CAP)	3/31/09 FTEs (All Funds)	General Fund Disbursements (\$000s)				State Special Revenue Funds Disbursements (\$000s)				Capital Projects Funds Disbursements (\$000s)					
				2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected	2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected	2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected		
H	Board of Parole	SO	19	2694	2576	2600	2650										
H	-Determine Discretionary Release	SO															
H	-Set Conditions of Parole	SO															
H	-Victim Impact	SO															
H	-Executive Clemency and Certificates of Relief	SO															
H	Institutional Operations	SO	345	16117	17071	17450	18000										
H	-Preparation Work for Board Release Hearings	SO															
H	-Prepare Community Reintegration Plans for Released Inmates	SO															
H	-Local Conditional Release (LCR)	SO															
H	Field Supervision	SO	1621	107541	113769	121633	130135										
H	-Supervision of Recently Released Parolees at 40:1 Ratio	SO															
H	-Sex Offender, Domestic Violence and Mental Health Supervision Caseloads at Super-Intensive 25-1 R	SO															
M	-Supervision of Shock Incarceration and Re-Entry Task Force Parolees at 25-1 Level	SO															
M	-Non-Reporting Faction of 100-1	SO															
M	-Supervising Long-Term Parolees at 100-1	SO															
M	-Supervising up to 1,500 Community Preparation Cases at 40-1	SO															
M	-Warrant and Transfer Unit	SO															
M	-Collect Supervision Fees	SO															
M	-Law Enforcement and Task Force Participation	SO															
M	-Monitor Long-term Absconders on Warrant Squad Caseloads	SO															
H	Direct Reentry Services	SO/ATL	66	13689	15223	19465	26259										
H	-Reentry Managers and Reentry Parole Officers	SO	42	803	927	1530	2730										
H	-Direct Contracts for Housing	ATL		5170	5077	8800	14351										
H	-Direct Contracts for Employment/Vocational Services	ATL		1056	1050	1100	1078										
M	-Direct Drug Treatment Referrals	SO	23	700	735	1035	1100										
M	-Direct Contracts for Drug Treatment	ATL		6960	7434	7000	7000										
H	Parole Revocation	SO/ATL	44	36510	39360	28220	28320										
H	-Dedicated Revocation Management Staff	SO		9266	10279	10900	11000										
M	-Board of Prisoners Payments to Local Governments	ATL		27244	29081	17320	17320										
H	Administrative and Support Operations	SO	215	17808	20619	21000	21000										
H	-Information Technology and Policy Analysis	SO															
H	-Counseling Office and Legal Services	SO															
H	-Administrative Support	SO															
M	-Maintain Accreditation by American Correctional Association	SO															

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**DIVISION OF PAROLE**  
**PROGRAM INFORMATION SHEET**

**Program:**

Board of Parole

**Mandate:**

New York State Executive Law §259-b

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

The Board of Parole is comprised of nineteen members who are supervised by the Chairman George Alexander. Chairman Alexander also serves as the Chief Executive Officer for the Division of Parole. The Board of Parole was established in 1930 and is primarily responsible for conducting Parole release interviews to determine if early release should be granted to inmates serving indeterminate sentences. Also, the Board must establish release conditions for all individuals who are granted early release, in addition to those conditionally released (without Board approval) and those serving determinate sentences. The Board of Parole plays a major functional role in Executive Clemency and Victim Impact Issues. The Board also has the authority to revoke an individual's parole, which is a critical function that has been delegated to Parole administrative law judges. (See Parole Revocation).

**Issues (major functions):**1. Determine Discretionary Release

This is a critical core function of the Board. Over 7,000 inmates every year are considered for early Parole Release.

2. Set Conditions of Parole

The establishment of release conditions for discretionary Parole releases, as well as, conditional releases is essential to ensure that inmates re-entering State communities adhere to specific requirements designed to protect the Public and encourage the released individuals to obtain the necessary treatment, employment and skills to be successful in the community.

3. Victim Impact

The input of victims and their families into Parole Board decisions is a critical function that enables the Board to balance its decision making.

4. Executive Clemency and Certificates of Relief

The Board of Parole is statutorily charged with the responsibility of recommending individuals for clemency to the Governor. The Board also is responsible for granting eligible offenders Certificates of Relief, which may remove any mandatory legal bar or disability imposed as a result of conviction of the crime or crimes specified in the certificates. Both of these are core functions of the Division of Parole.

**Population Served:**

- The public, whose safety the Board strives to protect;
- Victims;
- Victim rights organizations;
- Inmates in correctional facilities awaiting Parole or conditional release; and
- Inmates who are eligible and apply for Executive Clemency or Certificates of Relief.

**Performance Measures:**

Release decisions by the Board are tracked on a monthly basis to ensure consistency in Parole Board decisions across the State, and to ensure that the appropriate balance between public safety and community re-integration is achieved.

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**PROGRAM INFORMATION SHEET**

**Program:**

Institutional Operations

**Mandate:**

New York State Executive Law §259-a and §259-e

The responsibility of Parole within correctional facilities is an indirect mandate. The majority of Institutional Operations staff workload is associated with preparing documentation and obtaining valid information for the Parole Board's review when conducting mandated release interviews.

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

Since the establishment of the Parole Board function in 1930, dedicated employees have worked in correctional facilities to prepare inmates for Board of Parole release interviews and to manage the interview process. Over time, facility parole officers have been assigned the responsibility of preparing release plans for all inmates returning to New York State communities under Parole supervision. Staffing levels in facility operations have fluctuated from close to 400 positions in 2000, to a low of 290 in 2004. The current staffing level is 345 positions.

**Issues (major functions):****1. Preparatory work for Board Release Hearings**

This is a critical core function that enables the Parole Board to fulfill its statutory obligations. Approximately 80% of current facility staffing resources supports this core mission.

**2. Prepare Community Re-integration Plans for Released Inmates**

While this always was a vital function of the Division, the recent focus on community re-entry has made the preparation of "Transition Accountability Plans" even more critical to the success of individuals under Parole supervision. An inmate re-entering society with the required support system, such as a residence, employment, family ties, and enrollment in a drug treatment program, is significantly more successful in the community than those who do not have these support pillars.

**3. Local Conditional Release (LCR)**

The consideration of inmates in local custody for release to the Division of Parole is a core function. LCR was performed by local county jurisdictions until September 2005 after a series of questionable decisions by local boards fueled the effort to allow legislation to sunset and move this function back to the State.

**Population Served:**

- The Board of Parole, which facility staff provide administrative support and analysis; and
- Inmates eligible for early release and those approved for community supervision.

**Performance Measures:**

Institutional staff performance is tracked on a monthly basis. This includes workload measures and information pertaining to newly released parolees identified for housing and treatment programs and provided with important documents (such as medical records) prior to their scheduled release.

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**PROGRAM INFORMATION SHEET**

**Program:**

Field Supervision

**Mandate:**

New York State Executive Law §259-a (4) and §259-i (2)(b)

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

The principal core function of the Division of Parole is community supervision. Since 1985, individuals under parole supervision have been managed by using a Differential Supervision Model. This approach provides for lower caseload ratios (and therefore closer supervision) for recently released parolees. Differential supervision also allows for closer supervision of parolees with specific needs or risk factors, such as sex offenders and those suffering from mental illness. Long term parolees, moving closer to release from Parole supervision, are supervised at higher caseload ratios. Currently, there are approximately 40,000 active parolees throughout New York State, and the Division of Parole has 861 parole officers supervising caseloads of varying sizes and complexity.

**Issues (major functions):****1. Supervision of Recently Released Parolees at 40-1**

The cornerstone of Differential Supervision has historically been the intensive caseload ratio of 40-1 for all newly released parolees. While the Division plans to evaluate this approach by using a risk assessment tool to determine which of these newly released parolees can be effectively supervised at ratios different than 40-1 (higher or lower), the provision of close supervision for newly released parolees must stand and the resources to maintain the 40-1 ratio as an average for all newly released parolees is critical to Parole's core mission.

**2. Sex Offender, Domestic Violence and Mental Health Supervision Caseloads at Super-Intensive, 25-1 Ratio**

The supervision of these high risk/high need parolees is one of the Division's top priorities. The Sex Offender Containment Initiative was established in 2007 as a way to utilize emerging technology (polygraph and electronic monitoring) and community services to effectively supervise these high-risk parolees. Similarly, mental health caseloads of 25-1 were established in recent years to ensure that these challenging cases receive the attention required.

**3. Supervision of Shock Incarceration and Re-Entry Task Force Parolees at 25-1 Level**

When the Shock Incarceration Program was established in 1987, cases were monitored at a super-intensive ratio of 25-1 to ensure adequate supervision. Recently, parolees assigned to State/Local Re-Entry Task Forces were also placed on these super-intensive caseloads to ensure that their high needs could be addressed.

While close management of both these groups of parolees is important, supervising them at a 25-1 ratio rather than the standard caseload ratio of 40-1 may not be essential considering current fiscal requirements and resources.

**4. Non-Reporting Ratio of 100-1**

Individuals awaiting deportation, parolees who are terminally ill or physically unable to report, and parolees who are still under supervision but lodged in local jails are weighed for caseload purposes at a 100-1 ratio. The Division believes this ratio could be increased to free up our limited resources to provide closer supervision of active cases.

## Field Supervision cont'd

### 5. Supervision of Long-Term Parolees at 100-1

Since 1985, parolees with six or more months under supervision have been moved to the higher "regular" caseload ratio of 100-1. While this model continues to make sense, the use of a risk assessment tool and new technology, such as Kiosks, would enable Parole to move many of the approximately 13,000 parolees on regular supervision to higher caseload ratios based on their lower risk level. This initiative would require a large initial investment in technology, but would alleviate caseload size and yield savings in later years without jeopardizing public safety or compromising our re-entry efforts.

### 6. Supervising up to 1,500 Community Preparation Cases as 40-1

Inmates approved for release are placed on field parole officers' caseloads as community preparation cases at a ratio of 100-1. Last year, the Division was funded to enhance this ratio to 40-1 for up to 1,500 more complex pre-release cases. Considering the State's difficult fiscal situation, the elimination of this initiative may be appropriate.

### 7. Warrant and Transfer Unit

The Division spends over \$2.8 million every year returning alleged parole violators arrested in other states back to New York to enter our violation process. While this is an important function, it is not directly related to the essential core mission of the Division, which is to supervise parolees in the communities of New York State.

### 8. Collect Supervision Fees

Since 1991, New York State has collected up to \$30 per month from each employed, non disabled parolee to help cover the cost of his/her supervision. While collecting supervision fees generates about \$1 million in State revenue, the time staff spends collecting the fees reduces the amount of time available for field supervision and re-entry assistance. Accordingly, it is not a core function to the Division.

### 9. Law Enforcement and Task Force Participation

Parole has always worked closely with local, State, and Federal law enforcement agencies. These efforts have had a valuable effect on overall State crime reduction. However, the Division has never been funded to participate in these efforts and often has to increase caseload sizes to free up staff to participate in these ventures. While participation is a positive undertaking, if limited resources force it to compromise direct field supervision, then it is not a Parole core function.

### 10. Monitor Long-term Absconders on Warrant Squad Caseloads

All absconders are placed on special warrant squad caseloads with average ratios of 200-1. While the Division demonstrates measurable success in capturing recently absconded parolees, as time elapses, less absconders are recovered. Accordingly, there are many absconders who have been missing for three or more years that remain on the 200-1 caseloads. While it is critical that the Division maintains its ability to execute a warrant if these long-term absconders are caught, it may not be cost-effective in this fiscal environment to carry them on active caseloads.

#### **Population Served:**

- All individuals on parole supervision; and
- New York State citizens, whose safety parole officers protect.

#### **Performance Measures:**

The Division tracks caseload activity on a near real-time basis. Information on officers' contact with parolees, activities related to Operation Impact, and data related to the issuance of technical warrants, is collected and analyzed on a regular basis. Each month, the Chairman holds mandatory "Re-EntrySTAT" meetings with executive and regional managers to analyze aggregate performance data and review specific caseload actions.

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**PROGRAM INFORMATION SHEET**

**Program:**

Direct Reentry Services

**Mandate:**

None

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

The responsibility of the Division of Parole to help parolees successfully reintegrate back into society is a critical component of the Division's mission. Coupled with the protection of public safety through community supervision, reentry is the primary core function of the Agency. While the responsibility of a parole officer is to focus on re-entry issues, the Division also has specific, dedicated resources to facilitate this process, including staff, counselors, and service contracts.

**Issues (major functions):****1. Reentry Managers and Reentry Parole Officers**

Each of Parole's five regions is allocated two reentry managers. The managers oversee regional treatment and residential contracts, participate in Upstate reentry task forces, and provide broad reentry services to the regional offices. In the FY2008-09 Enacted Budget, the Division received target authority for 19 reentry parole officers, which has allowed Parole to enhance its reentry effort by phasing-in dedicated staff in every field office to partner with caseload carrying officers in leveraging and creating both existing and new rehabilitation options. These positions will also work closely with local governments and not-for-profit providers to develop vocational programs and employment opportunities.

**2. Direct Contracts for Housing**

Addressing the housing needs for parolees is a critical core function. The Division holds 17 contracts for housing beds statewide. Unlike OASAS's role in drug treatment services, there is no State agency that provides a formal network for parolees to access residential services. Therefore, it is critical that the Division retains its housing network.

**3. Direct Employment/Vocational Contract**

The Division's contracts for employment/vocational programs are critical to parolee success, and we are exploring ways to increase these opportunities without an increased cost to the State.

**4. Drug Treatment Referrals**

The Division's dedicated substance abuse counselors assist parolees in accessing treatment needs and refer them to both Division-funded and OASAS-funded treatment programs. While the availability of dedicated staff is useful, the State may be able to meet this objective in other more cost-effective ways.

**5. Direct Contracts for Drug Treatment**

The Division holds 28 contracts for drug treatment services with programs licensed by OASAS. While this provides a total of 2,786 treatment slots per day for parolees, it only represents approximately 20% of all Parole treatment referrals. The other 80% of parolees in treatment are enrolled in OASAS-funded programs with which the Division does not hold contracts. While the provision of directly funded treatment slots by Parole is useful, it is not essential considering that eight out of ten parolees currently do not utilize these direct slots. Accordingly, while the availability of treatment slots is critical, it is not critical that they be directly processed, managed, and funded by the Division of Parole.

**Population Served:**

- Parolees in need of services; and
- The Public.

**Performance Measures:**

Data is maintained to track the Division's success in addressing the rehabilitative needs of parolees, such as employment opportunities and treatment programs. During monthly Re-EntrySTAT meetings, reentry managers analyze and discuss their performance in achieving the Division's reentry goals.

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**PROGRAM INFORMATION SHEET**

**Program:**

Parole Revocation

**Mandate:**

New York State Executive Law §259-i (3)

**Mandated Funding Level:**

Board of Prisoners at \$40 per day; FY2008-09 Enacted Budget

**Brief Description/History/Background:**

The ability to issue warrants, lodge parolees in local jails, and conduct fair adjudication processes to determine if alleged parole violators should be returned to State prison, is a core function of Parole. Parole revocation statutorily rests with the Board of Parole, which by regulation, delegates the responsibility to the Division's administrative law judges. The ability to revoke parole has historically been the strongest tool parole officers have to manage their caseloads.

**Issues (major functions):****1. Dedicated Revocation Management Staff**

Staff associated with this critical function includes revocation specialists who carry caseloads of 100-1, management and support staff to manage the overall revocation process and, administrative law judges who determine appropriate final revocation actions.

**2. Board of Prisoners Payments to Local Governments**

Parolees accused of technical violations are lodged in local jails after a warrant is issued and reside there until the process is completed. They are either returned to Parole supervision or returned to State Corrections. Counties are reimbursed \$40 a day for lodging each alleged Parole violator during this process. While the availability of local jails to hold these parolees is critical to the violation process, the provision of payment is not an absolute prerequisite.

**Population Served:**

- The Public, whose safety is protected through the process of violating parolees for actions that counter the rules of their Parole release; and
- Parolees accused of violation activity, whose rights are protected by the legal structure of the revocation process.

**Performance Measures:**

Violation activity data is analyzed on a regular basis. This includes both time calculation information and specific parole officer data relative to specific warrant issuance.

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**Program:**

Administrative and Support Operations

**Mandate:**

None

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

Parole historically has worked with a low ratio of administrative and support staff that support field and institutional operations. Less than 9% of all Division staff fall into this category, which includes Budget, Finance, Human Resources, Information Technology, Building Management, Legal Services, and Staff Development.

**Issues (major functions):****1. Information Technology and Policy Analysis**

The Division's resources in this unit are limited. Information technology staff supports all parole officer operations at a ratio of approximately 1-20 (lower than many State agencies). This is a critical function that will require enhancement over time.

**2. Counsels Office/Legal Services**

This is a small unit with only seven attorneys supporting all Division operations Statewide.

**3. Administrative Support – Budget, Finance, Human Resources, Contract Management, and Staff Development**

These critical administrative support functions are also staffed very low. For example, the Division's Finance Office has less staff than the finance offices of some correctional facilities. The Division has only two budget analysts positions and only three personnel administrators that support more than 2,100 employees.

**4. Maintain Accreditation by American Correctional Association**

This continued certification is valuable as a tool to enhance the Division's quality and control functions. However, it is not a core function because the most relevant aspects of this process can be folded into the Division's statutorily required Internal Control Program.

**Population Served:**

- The Board of Parole, Parole field officers, and institutional officers who are supported by these critical administrative units.

**Performance Measures:**

These critical support and administrative functions are analyzed and tracked for effectiveness and timeliness. These tools include policy data, financial analysis, procurement, vehicle utilization, and information technology project reviews.