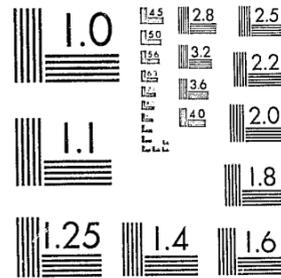


National Criminal Justice Reference Service



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National Institute of Justice  
United States Department of Justice  
Washington, D. C. 20531

Date Filmed

4/8/81

53047

New York State  
PROBATION REGISTRANT SYSTEM

WHAT IT IS



WHAT IT DOES

NEW YORK STATE  
DIVISION OF PROBATION  
TOWER BUILDING - EMPIRE STATE PLAZA  
ALBANY, NEW YORK 12223  
April 1978

Hugh L. Carey  
Governor

Thomas J. Callanan  
State Director

Edward J. DeFranco, Ph.D.  
Chief, Management Analysis  
and Information Systems

## PROBATION REGISTRANT SYSTEM

### INTRODUCTION

In a study issued May 27, 1976, by the Comptroller General of the United States entitled: "State and County Probation: Systems in Crises",<sup>1</sup> it was reported that many offenders who return to crime while on probation stay out of jail because of overburdened State and local probation systems.

The continuation of this situation, the study observed, poses dangers to the public because of the tendency of some persons on probation to commit more crimes. The report concluded that probation could be an effective rehabilitative tool when adequate supervision and related services, such as job counseling and drug treatment, are provided.

The study found that 45 percent of 1,200 persons studied were convicted for new crimes while on probation and that about half remained on probation despite the new convictions.

These findings and others led the report to provide the following assessment of probation in the United States:

"Probation systems are in crisis. Probation officers have too many cases to effectively supervise probationers' activities and provide them adequate services. Effective management is lacking...State agencies have not insured that information systems were adequate to identify problems and assess the effectiveness of probation." (Italics added)<sup>2</sup>

In May 1973, the Bay Area Counties Research Project<sup>3</sup> identified the following two components that must be built into probation if it is to enhance or even maintain its objectives:

- (1) "A system that facilitates effective decision making as to who should be placed on probation, and
- (2) "On-going evaluation of probation's programs and practices—leading to an increase in the alternative approaches to rehabilitation, as well as improvement of existing methods."

The obvious prerequisite to both processes is reliable client process and outcome information that is uniformly and continuously collected from individual agencies.

### "NEED TO KNOW"

The President's Task Force in 1967 identified the greatest of all needs in criminal justice as "...The need to know". The need for a comprehensive system of collection, storage and retrieval of multi-agency information within the field of probation has been exacerbated. As rehabilitative efforts have come under increasing scrutiny and criticism (e.g., the GAO report) for their inability to reduce criminal behavior, probation administrators have found themselves without the information necessary to effectively administer, manage, plan, research and evaluate programs.

The over-riding necessity, then, is for a system of multi-agency collection of comprehensive, standardized probation data that are continuously processed for planning, management, research, and evaluation purposes. Managers of all types of probation programs need feedback to guide future decisions regarding continuation or modification of their organization's activities.

### PREFACE

This document is intended to brief the individual Probation Officer on the history, background, structure, objectives, and system description of the New York State Probation Registrant System (PRS). It should be used as a training orientation and briefing paper for all Probation Officers to inform them about the system with particular stress upon the importance of their role in that system.

### Prepared by—

Gerald A. Alston, Senior Probation Program Analyst  
with technical assistance provided by Jack R. McGuinness,  
Director of EDP, and Michele A. Levitch,  
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Under the direction of Dr. Edward J. DeFranco  
Chief, Probation Management Analysis and Information Systems

<sup>1</sup> State and County Probation Systems in Crises. Report by the Comptroller of the United States, Washington, D.C.: United States General Accounting Office, 1976.

<sup>2</sup> *Ibid*, p. i.

<sup>3</sup> Venezia, Peter J., M. G. Neithercutt, and Ronald P. Sweet. The Bay Area Counties Probation Research Project. Davis, California: NCCD Research Center, 1973, p. 1-3.

### HISTORY

The State Division of Probation recognized the deficient condition of information systems in New York State early on and so, in 1973, began the development of a ten-year information systems master plan. The first stage of this master plan was the improvement and revision of the statistical reporting system (DP-30/30A); the second, the study and analysis of the then in place information systems of the 57 semi-autonomous county probation departments in New York State. The information derived from the latter has been and continues to be used for planning, developing and implementing probation information systems.

For example, the Probation Registrant System (PRS) described in this document is the first stage of a comprehensive automated management information system for probation which will subsequently see both an Offender Based Transaction Statistics System (OBTS) and Probation Management Information System (PROBAMIS).

### STRUCTURE

PRS is best defined as a common partnership between and among the State Division of Probation and the 57 semi-autonomous county probation departments throughout New York State.

This mode of organization was chosen to ensure significant input from those who use the system and its outputs so that the system is responsive to their needs.

To facilitate the functioning of this partnership, the State Director formed a Statewide Probation Information System Advisory Committee (SPISAC) which has and continues to provide assistance and guidance to the Management Analysis and Information Systems Bureau (MAINS) of the State Division. SPISAC consists of a representative group of local probation directors and the Probation Officers' Association (POA), the Division of Criminal Justice Services and the Office of Court Administration.

### OBJECTIVES

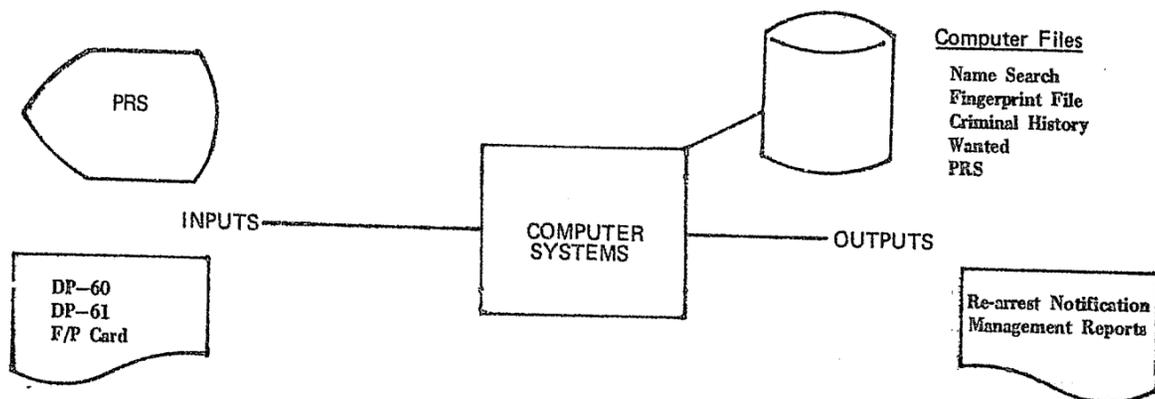
The objectives of PRS are to assist the probation officer in his role as an information gatherer and to support the decisions being made at all levels of probation management - first-line supervisor, middle manager and probation director.

Because computer technology permits storage of large amounts of data as well as quick and varied retrieval, it greatly increases the flexibility of the probation officer and the scope, depth and flexibility of management's review of probation operations so as to permit them "...to identify problems and assess the effectiveness of probation."

Thus, PRS provides detailed data to a variety of probation principals not previously available without the use of elaborate, expensive and time-consuming research and retrieval projects. This data not only permits probation officers and managers to maintain better control of their internal operations but also enables them to establish better criteria for evaluating their effectiveness and planning of future management information systems (MIS).

### SYSTEM DESCRIPTION

The system consists of the following three components:



### INPUTS

Operationally, a probation officer completes an entry form DP-60 (see Attachment 1) and forwards it to a terminal site where an operator enters it on-line into the computer. Visual and computerized edit checks assure the accuracy of the entry. Upon arrest, submission of a fingerprint card to the Division of Criminal Justice Services for purposes of determining the existence of a prior criminal history, and immediately subsequent to that computer search, a search of the Probation Registrant File is made. If the individual is listed on the Registrant File, a re-arrest notice is transmitted to the supervising probation department (see Attachment 3). Certain legal and regulatory responsibilities ensue as a result of such notification.

The PRS system also provides for telephone inquiries by probation officers to determine whether an individual is on probation anywhere in the State.

The system also provides for cancellations as well as modifications and violation information for PRS entries to assure the reliability of any subsequent re-arrest notifications, and to maintain the most accurate data base possible for production of meaningful management reports. The DP-60 and DP-61 (see Attachments 1 and 2) are the input documents for the processing of cancellations, modifications and violation information.

### COMPUTER

Probation Registrant System terminal sites access the registrant master file at the Burroughs 7700 computer facility at the Division of Criminal Justice Services in Albany. New York City terminal sites at the Bronx, Queens, Kings, and New York Probation Offices provide service for all New York City adult court services. A terminal located in the New York City Division Office at the World Trade Center in Manhattan services the suburban counties of Nassau, Suffolk, and Westchester. The State Probation Direct Service counties as well as all upstate counties are serviced by a terminal at the Division's central office in Albany (see Attachment 4).

The registrant display unit (ICC/Milgo Series 400) is a general purpose alpha numeric input and display system designed for communications with computer systems within a broad range of applications. The unit consists of a screen/control unit and keyboard. Complementing the Series 400 is the Series 40+20, a device designed for remote printing capabilities. This combination provides for both maintaining the current registrant files and the immediate notification of a probationer's re-arrest.

### OUTPUTS

The PRS system accomplishes two major objectives:

- o Provides immediate re-arrest notification of probationers for all probation departments throughout the State.
- o Produces management reports and operational reports to assist in the administration, planning and analysis of probation programs at both the State and local levels.

### RE-ARREST NOTIFICATION

Within hours of the receipt of an arrest fingerprint card at the Division of Criminal Justice Services, the PRS re-arrest notification is transmitted to the appropriate terminal site. In many instances, a supervising probation officer receives a computerized re-arrest notice of that event within hours of the alleged crime (see Attachment 5).

The immediate notification of probationer re-arrests results in considerable time saving in the investigation process necessitated by a possible violation of conditions of probation. Time savings and an increase in efficiency of processing are realized by both the probation departments and the courts.

The re-arrest notification is designed specifically to provide the supervising probation officer with the most significant data concerning the probationer's re-arrest. The nature of the information provided in the notification is geared to assist the probation officer in the field.

The re-arrest notification is designed to expedite the investigation process required to determine if a violation of probation is to be filed.

In reviewing the re-arrest notification, there are three specific areas where data elements are present to assist the probation officer.

(1) IDENTIFICATION/VERIFICATION

DIVISION OF PROBATION		DATE 11/11/77
RE-ARREST NOTIFICATION		TIME 1105 HRS.
TO: PROB FULTON/MONT CO		
64 EAST FULTON STREET		
GLOVERSVILLE, NY 12078		
ATTEN: PO # FM001	CASE #OCA123456	
FROM: PROBATION REGISTRANT SYSTEM - DCJS/DOP, ALBANY, NY		
RE: NAME	<u>TEST, RECORD</u>	NYSID # 0000121L:
REG # A2900310	SEX <u>MALE</u>	RACE <u>WHITE</u> DOB <u>05/05/77</u>
DATE OF SENTENCE 05/05/77		

The receipt of the re-arrest notification is caused with a minimum of delay due to the speed of electronic processing and the elements directing the notification to a particular probation officer within the responsible probation agency.

Also contained in the section of the notification highlighted, are additional data elements which can be used to establish verification of the individual re-arrested, e.g. NAME, NYSID #, SEX, RACE, and DOB.

The case number is present for easy access to the case folder and the registration number is available for verification of the completed DP-60 registration form in the case folder.

(2) NATURE OF ARREST

THE ABOVE INDIVIDUAL USING THE NAME: <u>TEST, RECORD</u>	
WAS ARRESTED ON: 11/11/77	CRIME DATE 11/11/77
FOR: PL 255.00 A MIS	PL 220.18 A FEL
PERFORM MARRIAGE W/O AUTHORITY	CRIM POSS CONTRL SUBST

The re-arrest notification provides for the two most serious charges at the time of arrest. The seriousness and nature of the charge, coupled with the probation officer's knowledge of the individual, will impact the immediate course of action on an individual's case. In addition, it will also be a factor in establishing a priority within the total workload of a probation officer/department.

(3) ARREST/ARRAIGNMENT INFORMATION

BY: NYCPD PCT 076	
191 UNION STREET	
BROOKLYN, NY 11231	
COURT OF ARRAIGNMENT	CRIM CRT NEW YORK
COURT CONTROL NUMBER:	012532H
ADDRESS REPORTED AT TIME OR ARREST WAS: 101 MAIN STREET	
ALBANY	
PLEASE REFER TO THEIR AGENCY ID NUMBER 1071 ON ALL CONTACTS.	

The arresting agency is provided in the notification to facilitate the obtaining of the complete information of the probationer's arrest including any depositions.

This information upon review could lead to the possible confirmation of a violation excluding the disposition of the new charge.

In recapitulation, the Probation Registrant System is designed to support the effort of the probation office in supplying valuable information on a timely basis. The interests of the probationer are also served, as the quick response insures immediate attention by his supervising probation officer.

**MANAGEMENT REPORTS**

Management reports based upon the same computer file are currently being processed as follows:

1. Alphabetical listing of all probationers by county;
2. Alphabetical listing of all probationers by branch (NYC and larger counties);
3. Alphabetical listing by probation officer (upon request);
4. Alphabetical listing by county of cases which have exceeded their maximum expiration date;
5. Agency Activity Reports by probation office. Shows number of entries, cancellation and re-arrest notifications for the month and year to date.

These reports have proven thusfar to be of enormous value to local county probation departments in giving them better control of their cases and caseloads.

Future management reports will provide profile data by county on those probationers re-arrested.

**MAINTAINING THE PROBATION REGISTRANT SYSTEM**

For the PRS to remain efficient and to continue to support both management and the field, it has to be maintained at a high level of efficiency. A major portion of that responsibility lies in the hands of the individual probation officer.

The required data for completion of the DP-60 or DP-61, (copies attached) rests with the supervising probation officer. Whether he individually fills out the DP-60 and DP-61's or if the probation department utilizes a centralized clerical unit, the ultimate responsibility for provision of the required data is with the probation officer.

Laxity in preparation or failure to comply could result in jeopardizing the entire system. It should be noted that the PRS system is utilized by the Division in preparing management reports and statistical analysis. Therefore, all input data provided for the Probation Registrant System should be as accurate as possible so that the reports prepared by the Division of Probation will reflect an accurate picture of the effect of probation services throughout the State.

**THE FUTURE**

The PRS system represents the first in a series of steps designed to improve the availability of information for probation decision-making. Future information systems for probation include the Offender Based Transaction Statistics (OBTS) system and the Probation Management Information System (PROBAMIS).

OBTS will be designed to track the offender from the point of arrest to the point of release from the criminal justice system, providing status information and statistics on which offenders are "falling out" of the criminal justice system and for what reasons.

PROBAMIS will expand upon both PRS and OBTS and will provide:

- a centralized computerized mini-PSI system;
- expand collection and automation of a probationer's social history data;
- a statistical and research capability.

The ultimate goal of all this effort is to improve upon the efficiency and effectiveness of probation in all its aspects.

NEW YORK STATE  
DIVISION OF PROBATION  
**PROBATION REGISTRANT FORM**  
ENTRY/CANCEL/INQUIRY

(MKE)		
ENTRY	CANCEL	INQUIRY
EM	XM	QM

REGISTRATION NO. (REG)									

ENTRY/INQUIRY SECTION															
AGENCY CODE (ORI)				NAME(LAST, FIRST, SPACE MIDDLE) (NAM)								SEX (SEX)		RACE (RAC)	
												M	F		
DATE OF BIRTH (DOB)			INFORMAL SUPV. (INS)		NYSID NUMBER (SID)				COURT CONTROL NUMBER (CCN)			P.S. REPORT AVAIL. (PRA)			
MO.	DAY	YEAR	YES	NO								YES	NO		
DOCKET/IND. NO. (DKT)				PROBATION CASE NO. (OCA)				CONVICTION CHARGE CODE (CVC)							
ADJUDICATED Y.O. (AYO)		CONVICTION DATE (CVD)			PRESENTENCE INVESTIGATION RECOMMENDATION (PIR)										
YES	NO	MO.	DAY	YEAR	Cond.	Fine	Prob.	Intrmit	Uncond	Comm	J/P	Y/O	Not Ava		
					1	2	3	4	5	6	7	8	9		
DATE SENTENCE (DOS)			NAME OF SENTENCING JUDGE (SJG) (LAST, FIRST, SPACE MIDDLE)								MAX. EXPIRATION (MEL)				
MO.	DAY	YEAR									MO.	DAY	YEAR		
SUPERVISION CAT. (SPC)			P.O. IDENT NO. (EPO)												
Intensive	Active	Spec.													

CANCEL SECTION										
EFFECT DATE (EFD)			REASON (RSN)							P.O. IDENT NO. (CPO)
MO.	DAY	YEAR	Max. Exp.	Early	Death	Revoked Tech.	Revoked Offense	Other		

**INSTRUCTIONS**

1. ENTRY (EM) - Entry requirements are contained in Transcription Procedures.
2. CANCEL (XM) - Registration number (REG), plus agency code (ORI) and name (NAM) in entry section, plus all fields in cancel section required.
3. INQUIRY (QM) - Inquiry agency code (ORI), plus name (NAM) and sex (SEX) from entry section minimum requirements. DOB and NYSID Number as additional identifiers will improve file search results.

NEW YORK STATE  
DIVISION OF PROBATION  
PROBATION REGISTRANT MODIFY/VIOLETION FORM  
Attachment 2

IDENTIFICATION SECTION  
(THE FOLLOWING FIELDS ARE REQUIRED FOR ALL TRANSACTIONS)

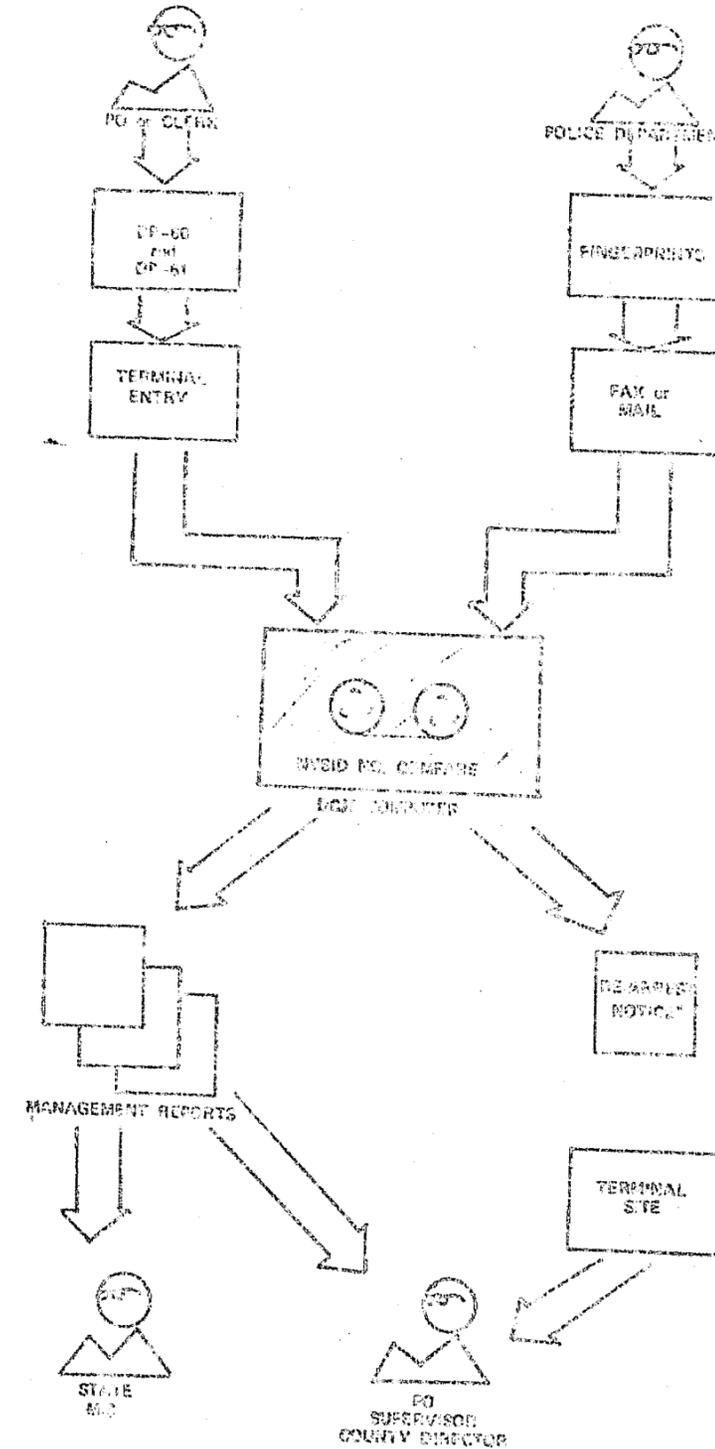
REGISTRATION NO. (REG)	AGENCY CODE (ORI)	NAME (LAST, FIRST, SPACE MIDDLE) (NAM)

MODIFY SECTION  
(ENTER DATA TO BE UPDATED NEXT TO THE APPROPRIATE ITEM(S))

1. AGENCY CODE (ORI)	13. ADJUDICATED YO (AYO)
2. NAME (NAM)	14. CONVICTION DATE (CVD)
3. SEX (SEX)	15. PSI RECOMMENDATION (PIR)
4. RACE (RAC)	16. DATE OF SENTENCE (DOS)
5. DATE OF BIRTH (DOB)	17. SENT. JUDGE (SJG)
6. INTERIM SUPERVISION (INS)	18. MAX. EXPIRATION DATE (MED)
7. NYSID NUMBER (SID)	19. SUPERVISION CATEGORY (SPC)
8. COURT CONTROL NO. (CCN)	20. P.O. IDENT NO. (EPO)
9. PRESENTENCE REPORT AVAILABLE (PRA)	21. EFFECTIVE DATE (EFD)
10. DOCKET/IND. NO. (DKT)	22. REASON/REVOKED (RSN)
11. PROBATION CASE NO. (OCA)	23. P.O. IDENT NO. (CPO)
12. CONV. CHARGE CODE (CVC)	

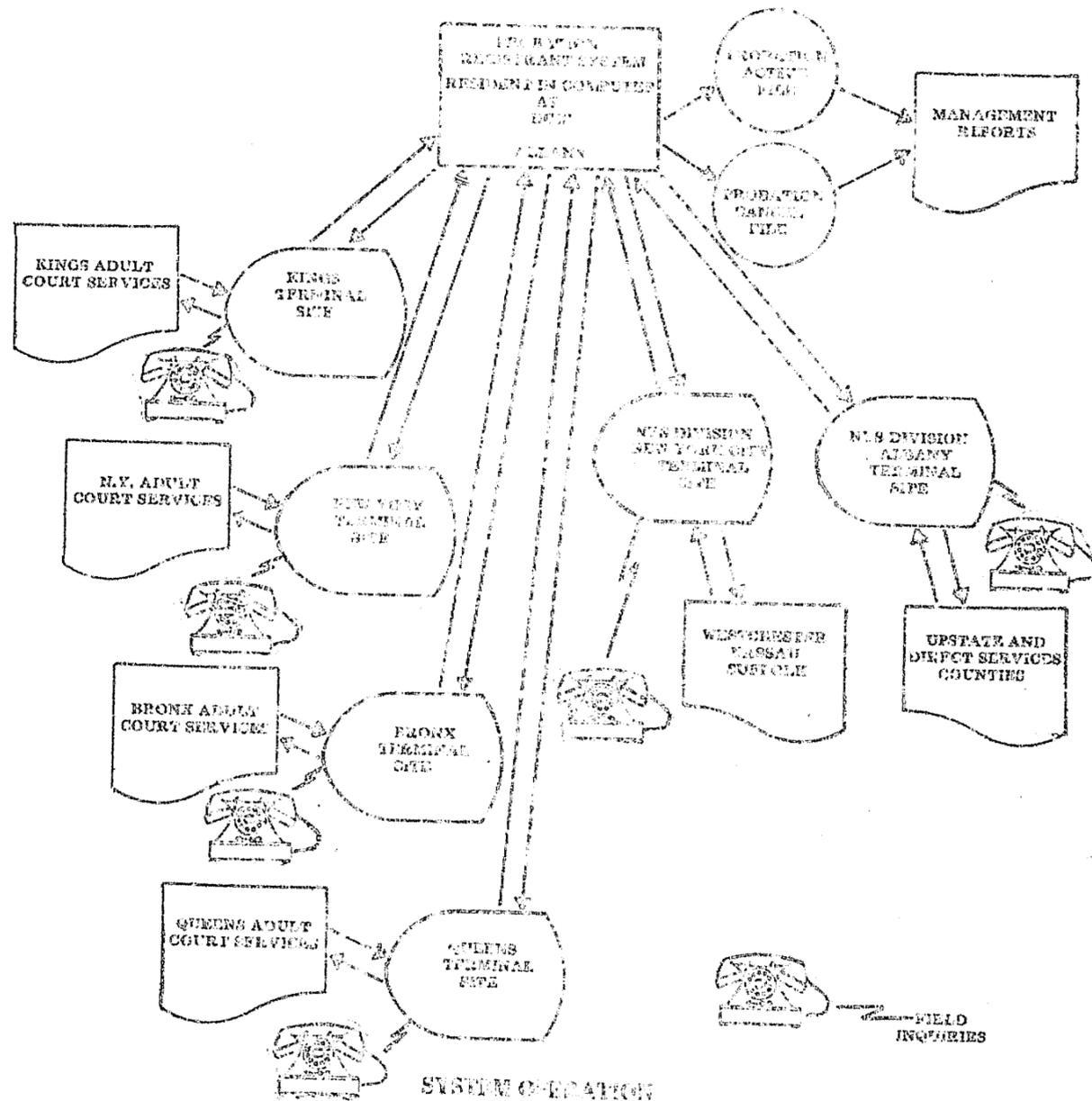
VIOLATION/DECLARATION OF DELINQUENCY SECTION

<input type="checkbox"/> ADD      VIOLATION/DECLARATION OF DELINQUENCY #1 (VL1) <input type="checkbox"/> CHANGE <input type="checkbox"/> DELETE															
TYPE (TP1)		DATE FILED (DF1)			REASON FILED (RF1)		DISPOSITION DATE (DD1)			DISPOSITION (DS1)					PROB. OFF IDENT NO. (PO1)
VIO	DD	MO.	DAY	YR.	TECH	ARREST	MO.	DAY	YR.	Dismiss	Cond Dis	Modified	Revoked	Discharge	
1	2				1	2				1	2	3	4	5	
<input type="checkbox"/> ADD      VIOLATION/DECLARATION OF DELINQUENCY #2 (VL2) <input type="checkbox"/> CHANGE <input type="checkbox"/> DELETE															
TYPE (TP2)		DATE FILED (DF2)			REASON FILED (RF2)		DISPOSITION DATE (DD2)			DISPOSITION (DS2)					PROB. OFF IDENT NO. (PO2)
VIO	DD	MO.	DAY	YR.	TECH	ARREST	MO.	DAY	YR.	Dismiss	Cond Dis	Modified	Revoked	Discharge	
1	2				1	2				1	2	3	4	5	
<input type="checkbox"/> ADD      VIOLATION/DECLARATION DELINQUENCY #3 (VL3) <input type="checkbox"/> CHANGE <input type="checkbox"/> DELETE															
TYPE (TP3)		DATE FILED (DF3)			REASON FILED (RF3)		DISPOSITION DATE (DD3)			DISPOSITION (DS3)					PROB. OFF IDENT NO. (PO3)
VIO	DD	MO.	DAY	YR.	TECH	ARREST	MO.	DAY	YR.	Dismiss	Cond Dis	Modified	Revoked	Discharge	
1	2				1	2				1	2	3	4	5	
<input type="checkbox"/> ADD      VIOLATION/DECLARATION DELINQUENCY #4 (VL4) <input type="checkbox"/> CHANGE <input type="checkbox"/> DELETE															
TYPE (TP4)		DATE FILED (DF4)			REASON FILED (RF4)		DISPOSITION DATE (DD4)			DISPOSITION (DS4)					PROB. OFF IDENT NO. (PO4)
VIO	DD	MO.	DAY	YR.	TECH	ARREST	MO.	DAY	YR.	Dismiss	Cond Dis	Modified	Revoked	Discharge	
1	2				1	2				1	2	3	4	5	



\*A reprint notice is produced when a match is made on the NYSID NO. between the fingerprint and the Probation Registrant file which is comprised of all DP-60 and DP-61 information.

NEW YORK STATE PROBATION REGISTRANT SYSTEM



Each of the PRS terminal sites receive two major types of input, standard input documents (IP-60 and BP-61) and field inquiries via phone or correspondence. The data is transmitted to the DCJS computer at Albany for immediate processing and response to submitting agencies. In addition to the data processing and response to user agencies, files are created at DCJS for development of management reports.

DIVISION OF PROBATION  
RE-ARREST NOTIFICATION

DATE 04/18/78  
TIME 0741 HRS.

TO: PROB ORANGE CO CT  
CO GOVERNMENT CTR  
GOSHEN N Y 10924

ATTN: PO# 0G010 CASE# 0002345

FROM: PROBATION REGISTRANT SYSTEM - DCJS/DOP, ALBANY, NY

RE: NAME TEST RECORD NYSID # 0654321 L  
REG# A 0123456 SEX MALE RACE NEGROID DOB 05/28/59  
DATE OF SENTENCE 01/09/78

THE ABOVE INDIVIDUAL USING THE NAME: TEST, RECORD  
WAS ARRESTED ON: 04/17/78 CRIME DATE 04/11/78

FOR: PL 160.05 D FEL  
ROBBERY-3RD

BY: MIDDLETOWN PD FMID  
CITY HALL 16 JAMES ST  
MIDDLETOWN, NY 10940

COURT OF ARRAIGNMENT CITY CRT MIDDLETOWN

COURT CONTROL NUMBER 3047172Y

ADDRESS REPORTED AT TIME OF ARREST: 14 16 WEST MAIN ST  
MIDDLETOWN

PLEASE REFER TO THEIR AGENCY ID NUMBER 87654 ON ALL CONTACTS.

\*\*\*\*\*  
FOR DCJS USE ONLY: TRAN# 14715R FAX# XM00148  
\*\*\*\*\*

**END**

