

## What We Do

The Department of Correction (DOC) provides for the care, custody and control of adults, persons 16 years of age and older, accused of crimes or convicted and sentenced to one year or less of incarceration. The Department operates 14 facilities, including 10 jails on Rikers Island, four borough houses of detention, one each in Brooklyn, the Bronx, Queens and Manhattan, court pens in each of the five boroughs, and two hospital prison wards, processes over 81,000 admissions and releases annually, and manages an average daily inmate population of approximately 11,800 individuals.

## Our Services and Goals

### **Service 1: Provide a safe and secure environment for inmates, staff and host communities.**

- Goal 1a: Ensure the security and safety of inmates in DOC custody.
- Goal 1b: Ensure that use of force is authorized and appropriate.
- Goal 1c: Provide inmates with timely access to health services.
- Goal 1d: Maximize bed capacity and address cell maintenance and repairs in a timely manner.
- Goal 1e: Ensure timely transport of inmates to courts throughout the City.

### **Service 2: Prepare inmates for return to their neighborhoods as civil and contributing members.**

- Goal 2a: Prepare as many inmates as possible for successful release through participation in skills-building programs including educational opportunities, jobs training, behavioral interventions and mental health services.
- Goal 2b: Reduce idleness by increasing inmate participation in mandated and other programs, services and activities.

### **Service 3: Provide correction-related services and information to the public.**

- Goal 3a: Provide timely notifications to crime victims.

## How We Performed in Fiscal 2013

### **Service 1: Provide a safe and secure environment for inmates, staff and host communities.**

#### **Goal 1a: Ensure the security and safety of inmates in DOC custody.**

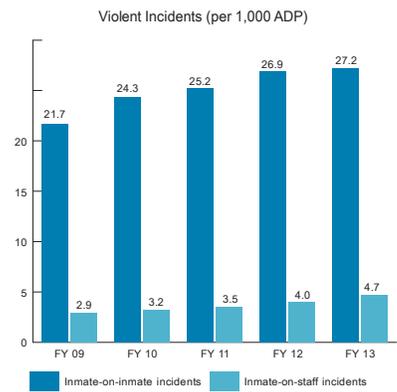
The number of persons incarcerated on any given day fell from an average of 12,287 inmates during Fiscal 2012 to 11,827 in Fiscal 2013, nearly a four percent reduction. Since Fiscal 2009, admissions declined 18 percent and the average daily population is down by 11.5 percent. During the same period, the proportion of inmates with mental illness, prior arrests and admissions, or other hard-to-manage characteristics has increased. On any given day in Fiscal 2013, 40 percent of the city's inmate population was detained on one or more violent felony charges, 77 percent had been detained one or more times and had, on average, 8.8 prior admissions to DOC. Thirty-six percent of the population had a mental health diagnosis.

The Department seeks to provide a safe and secure environment for both the inmate population and staff. It employs data-driven custody management practices, including state-of-art assessment instruments to ascertain each inmate's risks and needs to inform custody assignments and referrals to preventive programming, among other strategies. During Fiscal 2013, these methods helped to reduce the number of inmate-on-inmate incidents by 105, or 3 percent. The rate of incidents per 1,000 stayed nearly constant with an increase of 0.30 due to a slight decrease in the average daily population. The low rate

of serious injuries to inmates as a result of inmate-on-inmate incidents also remained

The safety of staff is critical and the Department makes every effort to ensure that the workforce has the training and tools necessary to perform their duties in a safe and secure manner. The vast majority of inmate assaults on staff (96 percent) resulted in no injury or minor injury, which is classified as any contact that required nothing more than over-the-counter treatment to staff. The rate of serious injuries to staff as a result

1,000 ADP, although the total number of inmate assaults on staff, physical contact that includes the throwing of objects rose by 77 incidents, or 12 percent.



The Department disciplines inmates who assault staff or otherwise violate the law while in custody and pursues their arrests and prosecution by the district attorney. Arrests of inmates for jail-based criminal misconduct increased 23 percent to 798 arrests in Fiscal 2013, up from 650 in Fiscal 2012. The most common reasons for jail-based arrests of inmates involved possession of contraband (most frequently, weapons), assaults on staff and obstruction of government administration.

Searches are a crucial tool in maintaining jail safety. The Department conducted 22,367 more searches in Fiscal 2013, a 10 percent increase from 225,501 in Fiscal 2012 to 247,868 in Fiscal 2013. The increase in searches of the physical plant reduced the number of jail-based weapons, and the use of full body imaging of at-risk inmates reduced the number of manufactured weapons (e.g., blades, razors) found. There were 2,162 weapons recovered in Fiscal 2013 versus 2,324 in Fiscal 2012, a 7 percent reduction.

There were three non-natural deaths in custody during the reporting period. There was one escape; the inmate was apprehended without incident and returned to custody.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14		
Admissions	99,939	95,385	87,515	84,754	81,758	*	*	Neutral	Down
Average daily population	13,362	13,049	12,790	12,287	11,827	*	*	Neutral	Down
Fight/assault infractions	6,696	7,475	7,431	7,552	7,622	*	*	Down	Up
Jail-based arrests of inmates	567	526	642	650	798	*	*	Down	Up
Searches	214,605	203,403	215,038	225,501	247,868	*	*	Neutral	Up
Weapons recovered	1,295	1,213	1,901	2,324	2,162	*	*	Neutral	Up
★ Violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	21.7	24.3	25.2	26.9	27.2	*	↓	Down	Up
★ Serious injury to inmate(s) as a result of violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	NA	NA	1.2	1.3	1.4	*	↓	Down	NA
★ Inmate assault on staff (monthly rate per 1,000 ADP)	2.9	3.2	3.5	4.0	4.7	*	↓	Down	Up
★ Serious injury to staff as a result of inmate assault on staff (monthly rate per 1,000 ADP)	NA	NA	0.27	0.27	0.20	*	↓	Down	NA
★ Escapes	1	1	0	0	1	*	↓	Down	Down
★ Non-natural deaths of inmates in custody	NA	NA	NA	2	3	*	↓	Down	NA

★ Critical Indicator "NA" - means Not Available in this report ↓ shows desired direction

### Goal 1b: Ensure that use of force is authorized and appropriate.

It is departmental policy to use force only when necessary to maintain the safety and security of the jails. Where force is warranted, the Department seeks to use the least restrictive means possible to achieve compliance. In Fiscal 2013, 96 percent of the total 2,997 Uses of Force resulted in no injury or a minor injury- 43 percent no injury and 52 percent minor injury - to either the officer or inmate. The remaining four percent of the Uses of Force last year required treatment to either the officer or the inmate beyond over-the-counter first aid. Notably, the rate of uses of force resulting in serious injury fell 8 percent in Fiscal 2013 from 1.0 incident per 1,000 ADP to 0.92 incidents per 1,000 ADP. The rate of uses of force resulting in no injury increased 27 percent, from 7.2 per 1,000 ADP in Fiscal 2012 to 9.1 per 1,000 ADP in Fiscal 2013. The use of chemical agents to achieve compliance, which is among the least restrictive methods available, increased by 30 percent during Fiscal 2013.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14		
★ Department use of force incidents with serious injury (rate per 1,000 ADP)	NA	NA	NA	1.00	0.92	*	↓	Down	NA
Department use of force incidents with minor injury (rate per 1,000 ADP)	NA	NA	NA	8.15	10.95	*	*	Down	NA
Department use of force incidents with no injury (rate per 1,000 ADP)	NA	NA	NA	7.20	9.11	*	*	Down	NA
Incidents and allegations of use of force	2,196	2,222	2,272	2,837	3,413	*	*	Down	Up

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### Goal 1c: Provide inmates with timely access to health services.

The proportion of inmates with mental health diagnoses continues to rise. In Fiscal 2013, 36 percent of DOC's average daily population had a mental health diagnosis, up from 33 percent in Fiscal 2012 and appreciably higher than the percentage a few years ago. Concern about the increasing prevalence and severity of mental illness in the city's inmate population led to the formation of the Mayor's Steering Committee on Citywide Justice and Mental Health in 2012. One of the Committee's recommendations was to establish resource hubs in each of the five boroughs to divert eligible defendants from jail to treatment in the community. Funding has been secured and a hub will open and operate in each of the five counties of the City by the end of Calendar 2013.

In a joint collaboration, DOC and the Department of Health and Mental Hygiene developed two new programs for mentally ill inmates; the Clinical Alternative to Punitive Segregation (CAPS), for seriously mentally ill inmates who incur infractions and Restricted Housing Units (RHU) for those with non-serious mental health diagnoses who incur infractions. DOC and DOHMH piloted two Restrictive Housing Units, one for adults in Fiscal 2013 and one for adolescents in Fiscal 2012. The RHU is both the place where the penalty of punitive segregation is imposed and a three-phase behavioral program is provided by clinical staff. Integral to RHU is the opportunity to earn progressively more out-of-cell time beginning the first week in the program and an early (or conditional) discharge. RHU is being expanded to serve all infractioned non-seriously mentally ill inmates.

CAPS is a therapeutic program provided in a secure setting and not a punitive placement. The length of time that a seriously mentally ill inmate remains in the unit is based upon their need for individualized treatment provided by mental health professionals. DOC has secured funding from the US Department of Justice's National Institute of Corrections to evaluate the efficacy of its reforms.

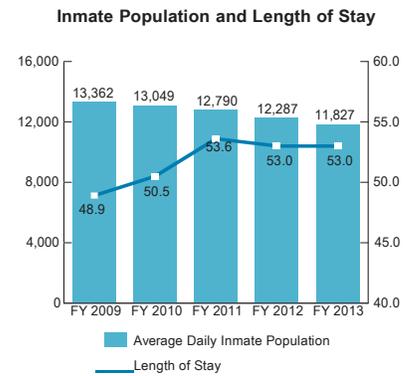
Clinic waiting times increased from 28 to 35 minutes, a 25 percent increase. The increase in waiting times is in part due to a change in policy regarding how inmates are produced to clinics to address safety concerns associated with unescorted movement. Inmates are now escorted in groups to the clinics, rather than allowed to walk to the clinic individually and unescorted. Waiting times overall increased because there are more people in the waiting room at one time, rather than spread out over the course of a day. DOC continues to monitor this trend with the goal of balancing appropriate waiting times with facility security.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14		
Inmates with a mental health diagnosis (% ADP)	27.0%	29.0%	32.0%	34.0%	37.0%	*	*	Neutral	Up
Inmate health clinic visits	92,558	86,130	79,385	83,914	75,664	*	*	Neutral	Down
★ - Average clinic waiting time (minutes)	23	30	29	28	35	*	*	Neutral	Up

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**Goal 1d: Maximize bed capacity and address cell maintenance and repairs in a timely manner.**

Slightly more than 3 percent of jail cells were unavailable during Fiscal 2013, up from 1.8 percent in Fiscal 2012, due to an increase in preventive and emergency work orders during Fiscal 2013. As DOC's facilities continue to age, DOC reorganized its support services and facility maintenance operations, to centralize the monitoring of outstanding work orders and the deployment of tradespersons to effect repairs more rapidly department-wide.



Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14		
Jail-cells unavailable (short-term repair) (%)	0.8%	0.9%	1.2%	1.8%	3.1%	1.0%	1.0%	Down	Up
★ Population as percent of capacity (%)	93%	93%	94%	92%	89%	96%	96%	Neutral	Neutral

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**Goal 1e: Ensure timely transport of inmates to courts throughout the City.**

In addition to providing safe and secure detention for inmates, the Department is also responsible for transporting inmates to court in a safe and timely fashion. The Department delivered 94.9 percent of on-trial inmates to court on time in Fiscal 2013, down slightly from 96.9 percent in Fiscal 2012 and slightly below its target. The primary reason for the decrease was a 7 percent year-over-year decline in on-time production to Staten Island Courts. The Transportation Division has implemented a citywide improvement plan for Fiscal 2014 that is expected to improve on-time court production significantly.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14		
★ On-trial inmates delivered to court on time (%)	99.6%	99.7%	97.5%	96.9%	94.9%	95.0%	95.0%	Up	Neutral

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**Service 2: Prepare inmates for return to their neighborhoods as civil and contributing members.**

**Goal 2a: Prepare as many inmates as possible for successful release through participation in skills-building programs including educational opportunities, jobs training, behavioral interventions and mental health services.**

The Department continues its work to reduce recidivism. During Fiscal 2013, DOC introduced the Individualized Correction Achievement Network (I-CAN). I-CAN is a jail-based community reentry program for both pre-trial and sentenced inmates with the highest risk for readmission to the city jails. The Department awarded performance-based contracts to community-based providers to ready the population for their release from jail to the community by connecting them to employment, education and substance abuse and mental health services consistent with their assessed need for intervention and risk of readmission while incarcerated. Since its implementation in February 2013, I-CAN has enrolled 818 individuals. The program is currently offered in 7 jails with full system-wide rollout during Fiscal 2014. I-CAN is expected to reduce recidivism by 10 percent.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14		
I-CAN Referrals	NA	NA	NA	NA	1,420	*	*	Neutral	NA
★ I-CAN Enrollments	NA	NA	NA	NA	634	*	*	Neutral	NA
I-CAN Workshops	NA	NA	NA	NA	333	*	*	Neutral	NA

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## Goal 2b: Reduce idleness by increasing inmate participation in mandated and other programs, services and activities.

The Department added several initiatives geared toward reducing idleness while also providing skill-building programming, especially for the adolescent population. The Department and its partners implemented the Adolescent Behavioral Learning Experience (ABLE) program department-wide, which provides Moral Reconciliation Therapy (MRT) programming to all adolescent inmates in order to develop better jail-based behaviors and reduce recidivism. The ABLE initiative is funded by a first-of-its-kind Social Impact Bond as a part of the Mayor's Young Men's Initiative (YMI). In Fiscal 2013, approximately 1,500 adolescents were served by ABLE. Efforts to enhance educational outcomes for the adolescents have also been put in place jointly with the Department of Education. The East River Academy, the DOE school on Rikers Island, awarded 74 Regents diplomas last year, the most in the school's history.

Other approaches to adolescent management include reassigning youth who had been in large dormitories to smaller cell housing units; adding correction officers and captains to enhance housing area supervision and designated a deputy warden, ombudsperson, and integrity control officer to augment oversight. In support of education programs for the adolescent population, DOC established an earlier evening curfew to ensure that adolescents are well-rested for school and issued uniforms to be worn by all youth. An incentive system encourages youth to participate in education activities and, includes the designation of school as a work assignment, qualifying adolescents to work and earn wages. These reforms, along with the ABLE initiative, contributed to a 15 percent reduction in inmate-on-inmate fights in Fiscal 2013.

Additional idleness reduction efforts include participation in skill-building activities, including workforce development programming, literacy and adult education opportunities, horticulture and farm training and other vocational training opportunities. On any given day in Fiscal 2013, approximately 1,275 inmates (10.8 percent) participated in skill-building activities, up slightly from Fiscal 2012.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14		
Average daily number of inmates in vocational skills training programs	188	193	161	148	204	*	*	Up	Neutral
Average daily attendance in school programs	833	814	782	713	693	*	*	Neutral	Down
★ Inmates participating in skills-building activities/discharge planning (%)	NA	NA	10.0%	10.0%	10.9%	*	10.0%	Up	NA

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## Service 3: Provide correction-related services and information to the public.

### Goal 3a: Provide timely notifications to crime victims.

Victim Identification and Notification Everyday (VINE) registrations declined by more than 7 percent from Fiscal 2012 to Fiscal 2013, in part due to reductions in both inmate admissions and the average daily population. VINE confirmed notifications increased by 3 percent to 17,396 from Fiscal 2012 to Fiscal 2013.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14		
Victim Identification Notification Everyday (VINE) system registrations	8,020	32,308	20,558	16,111	14,929	*	*	Up	Neutral
VINE confirmed notifications	7,007	24,553	32,604	16,925	17,396	*	*	Up	Up

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## Agency-wide Management

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14		
Accidents involving city vehicles	NA	NA	NA	69	60	*	*	Down	NA
Workplace injuries reported	NA	NA	NA	NA	2,545	*	*	Down	NA
Accidents involving inmates	NA	NA	NA	38	43	*	*	Down	NA

\* Critical Indicator "NA" - means Not Available in this report ↕ shows desired direction

## Agency Customer Service

DOC continued to respond to e-mail correspondence in a timely fashion, while the proportion of written correspondence responded to in 14 days declined by eight percentage points.

Performance Indicators	Actual					Target		5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14	
Customer Experience								
E-mails responded to in 14 days (%)	NA	98	94	100	99.9	100	100	NA
Letters responded to in 14 days (%)	NA	85	76	91	82.6	95	95	NA

## Agency Resources

Resource Indicators	Actual					Plan <sup>1</sup>		5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14	
Expenditures (\$000,000) <sup>2</sup>	\$1,010.2	\$1,012.0	\$1,045.1	\$1,078.8	\$1,091.9	\$1,069.7	\$1,065.1	Neutral
Revenues (\$000,000)	\$21.3	\$23.1	\$22.8	\$24.4	\$22.1	\$22.9	\$23.7	Neutral
Personnel (uniformed)	9,068	8,772	8,456	8,540	8,991	8,962	8,869	Neutral
Personnel (civilian)	1,485	1,444	1,423	1,459	1,394	1,633	1,611	Neutral
Overtime paid (\$000,000)	\$98.8	\$97.4	\$113.8	\$144.7	\$102.6	\$77.3	\$74.6	Up
Capital commitments (\$000,000)	\$40.3	\$67.5	\$69.0	\$95.4	\$101.4	\$461.1	\$691.8	Up

<sup>1</sup>Authorized Budget Level      <sup>2</sup>Expenditures include all funds.      "NA" - Not Available in this report

## Noteworthy Changes, Additions or Deletions

- The Individualized Correction Achievement Network (I-CAN) is a jail-based community reentry program tailored towards inmates with the highest risk for readmission to the city jails. This initiative is the successor to DOC's Riker's Island Discharge Enhancement (RIDE) program, and serves both detained and sentenced populations. The Department replaced its RIDE community re-entry indicators with new I-CAN indicators to correspond with this program change, including the new critical indicator 'I-CAN enrollments'.
- The Department added the following indicators: 'Accidents involving City vehicles,' 'Workplace injuries reported' and 'Accidents involving inmates.'

For more information on the agency, please visit: [www.nyc.gov/doc](http://www.nyc.gov/doc).