

WHAT WE DO

The Department of Correction (DOC) provides for the care, custody, and control of inmates, 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 correctional facilities, including 10 jails on Rikers Island and four borough houses of detention (Brooklyn, the Bronx, Queens, and Manhattan), as well as court pens in each of the five boroughs, and two hospital prison wards; processes over 58,000 admissions and releases annually; and manages an average daily inmate population of 9,500 individuals.

FOCUS ON EQUITY

DOC is committed to enhancing safety for all staff and inmates, improving jail conditions, and promoting better reentry outcomes, which advances equity for all New Yorkers. Guided by its 14-Point Anti-Violence Reform Agenda, the Department has developed more targeted approaches to address the specific needs of the diverse populations in its care. As a monumental step, DOC became the first jurisdiction in the nation to eliminate punitive segregation for all young adults (18 to 21 year olds) in October 2016. Alongside this historic effort, the Department has continued to develop innovative models for improved care that employ enhanced programming, individualized planning, incentive systems and interdisciplinary staffing to promote more holistic behavior management. In the past year, the Department has also placed a focus on enhancing staff training in topics such as safe crisis management, de-escalation, conflict resolution and use of force. Additionally, recognizing the increasing mental health needs of those in its custody, the Department has expanded training in Mental Health First Aid to reach new recruits and current officers, as well as inmates, creating greater capacity Department-wide to identify and address mental health needs. By creating targeted non-punitive approaches to better manage behavior, increasing opportunities for inmates, and ensuring that staff have the appropriate tools for managing those in custody, the Department is working towards a shift in culture that prioritizes the reduction of violence as well as the improvement of long-term inmate outcomes.

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 2017

SERVICE 1 Provide a safe and secure environment for inmates, staff and host communities.

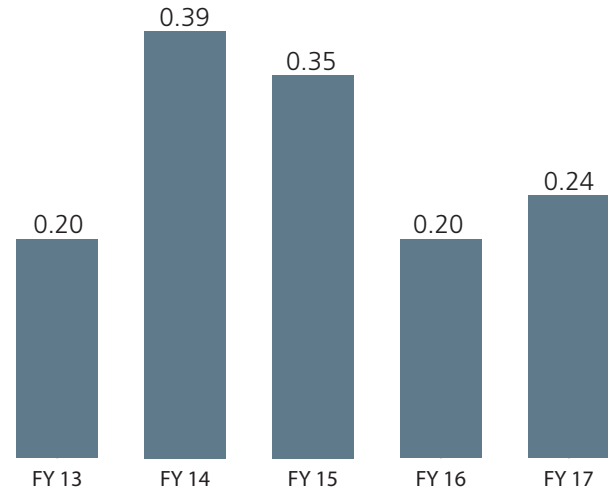
Goal 1a Ensure the security and safety of inmates in DOC custody.

The Department is committed to ensuring the safety and security of its facilities for staff and inmates alike. By enhancing search efforts, DOC has been working to eliminate contraband from its facilities. Searches increased by 3.8 percent since the previous fiscal year and resulted in a 17.1 percent increase in weapons recovered. DOC has been addressing the smuggling of contraband through the addition of new surveillance cameras, improved technology and heightened front gate procedures, including enhanced search tactics. In particular, the use of contraband detectors for inmate searches as well as the use of more canine searches for both visitor and inmate searches have contributed to a higher contraband recovery rate. However, the detection of small blades and other hard-to-find weapons can best be accomplished through the utilization of body scanner technology, which currently remains prohibited for non-medical use by New York State law. In addition to the increase in contraband smuggling (particularly difficult-to-detect titanium and ceramic blades), the percentage of the population in a Security Risk Group (SRG) has risen from 13.3 percent in Fiscal 2016 to 14.7 percent in Fiscal 2017. Historically, SRG-affiliated inmates have been disproportionately involved in violence, and were involved in nearly 70 percent of incidents and 71 percent of stabbings/slashings in Fiscal 2017. These factors have contributed to an increase in stabbings and slashings from 131 in Fiscal 2016 to 165 in Fiscal 2017.

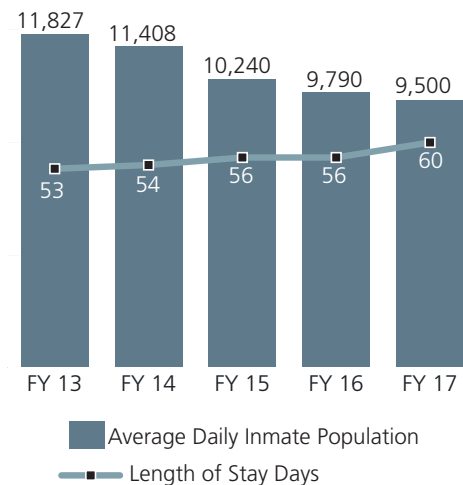
Through targeted training initiatives for staff, the Department has continued to enhance in-service training while expanding training for recruits from 15 to 23 weeks. Special focus has been placed on Mental Health First Aid (MHFA), de-escalation, crisis management and conflict resolution, equipping staff with better tools to improve responses to maladaptive behavior. As a result of these training efforts, uniformed staff-inmate interactions have stabilized in recent years. There was a minor increase from 843 inmate assaults on uniformed staff in Fiscal 2016 to 850 assaults in Fiscal 2017. At the same time, there was a larger increase in assaults on civilian staff from 81 in Fiscal 2016 to 113 in Fiscal 2017. This rise overlaps with an increase in staffing for programming and medical services. DOC is working to address this by improving uniformed staffing levels in areas with increasingly intensive programming efforts. As a result of amplified recruitment efforts, the past four graduating classes of the DOC Academy have been the largest in history, with over 900 graduates in the most recent class.

The Department faced challenges in regards to inmate interaction in Fiscal 2017, with violent inmate on inmate incidents (monthly rate per 1,000 average daily population) increasing by 15.5 percent since the previous fiscal year. These challenges developed alongside the implementation and modification of ambitious initiatives including punitive segregation reform and the co-location of young adults in the George Motchan Detention Center (GMDC) to offer age-appropriate services and programs for the population. This transition included initial spikes in violence, particularly in GMDC, which experienced a 22 percent increase in fights (monthly rate per 1,000 ADP) from 96.02 in Fiscal 2016 to 117.35 in Fiscal 2017. From July 2016 through February 2017, GMDC experienced higher rates of fights than the corresponding months during the

Serious Injury to Staff as a Result of Inmate Assault on Staff (monthly rate per 1,000 ADP)



Inmate Population and Length of Stay



previous year, in part as a result of reducing and eventually eliminating punitive segregation, as well as the co-location of young adults, who have historically been involved in disproportionately more violent incidents. However, from March to June of 2017, GMDC experienced lower rates of fights than the corresponding months of the previous year. This reduction in violence and continued stabilization can be attributed to the ongoing development and expanded utilization of alternative therapeutic housing options in lieu of punitive segregation, as well as the adjustment of the young adult plan to house in GMDC only those young adults who are in lower risk classifications, interested in programming and education, and/or are in alternative housing units for infractions. Additionally, while inmate fights increased Department-wide, serious injury to inmates as a result of assaults/fights decreased by 12.7 percent from the previous fiscal year. The implementation of the Incident Command System (ICS) has led to improved response to incidents and better outcomes for individuals involved in altercations.

Statistics that measure the frequency of incidents per 1,000 inmates fluctuate with changes in the population. Violent incidents and population numbers don't rise or fall in a one-to-one ratio. This administration's successful efforts to divert low-risk, non-violent offenders from our jails have caused our inmate population to decline; those who remain tend to be more violent and difficult to manage. This means that, although the overall population falls, there is an increasing share of people in custody who face felony charges and have gang affiliations. These inmates are significant drivers of jail violence.

Performance Indicators	Actual					Target		Trend	
	FY13	FY14	FY15	FY16	FY17	FY17	FY18	5-Year	Desired Direction
Admissions	81,758	77,141	67,672	63,758	58,226	*	*	Down	*
Average daily population	11,827	11,408	10,240	9,790	9,500	*	*	Down	Down
Average daily population - adolescent inmates	681	489	216	187	167	*	*	Down	Down
Inmates in Security Risk Group (% ADP)	9.9%	8.2%	11.8%	13.3%	14.7%	*	*	Up	Down
Fight/assault infractions	7,622	8,827	9,424	11,240	12,650	*	*	Up	Down
Jail-based arrests of inmates	798	995	795	1,538	1,126	*	*	Up	Down
Searches	247,868	251,343	255,776	237,757	246,822	*	*	Neutral	*
Weapons recovered	2,162	2,348	2,240	3,396	3,976	*	*	Up	*
★ Violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	27.2	32.9	37.8	47.8	55.2	↓	↓	Up	Down
★ Serious injury to inmate(s) as a result of violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	1.4	1.8	2.5	2.5	2.7	↓	↓	Up	Down
★ Inmate assault on staff (monthly rate per 1,000 ADP)	4.7	5.9	8.6	7.9	8.4	↓	↓	Up	Down
★ Serious injury to staff as a result of inmate assault on staff (monthly rate per 1,000 ADP)	0.20	0.39	0.35	0.20	0.24	↓	↓	Down	Down
★ Escapes	1	0	0	0	0	↓	↓	Down	Down
★ Non-natural deaths of inmates in custody	3	2	2	2	0	↓	↓	Down	Down
★ Critical Indicator	"NA" Not Available		↑↓ Directional Target	* None					

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

Since the implementation of the Department's Anti-Violence Reform Agenda, there has been an emphasis on staff training in behavioral interventions, de-escalation and better response protocols that focus on immediate engagement and avoiding prolonged physical altercation. These trainings aim to minimize use of force that involves physical altercations, ensure that use of force is only applied when necessary and assure that the most appropriate means are used to resolve situations, while reducing risk of injury to staff and inmates alike. Where force is warranted, the Department uses the least restrictive means possible to achieve compliance; notably, handheld chemical agents. These efforts have resulted in reduction in use of force with serious injury, use of force with minor injury, and total uses of force (rate per 1,000 ADP). Respectively, these rates decreased by 2.9 percent, 5.5 percent, and 1.7 percent from the previous fiscal year, while the rate of use of force with no injury increased by 5.5 percent. The DOC's new use of force policies in line with Department of Justice recommendations will be effective in September 2017. By the end of Fiscal 2017, the Department provided its new Use of Force and Defensive Tactics training to 85 percent of active-duty staff.

Performance Indicators	Actual					Target		Trend	
	FY13	FY14	FY15	FY16	FY17	FY17	FY18	5-Year	Desired Direction
Incidents of use of force - total	2,977	3,779	4,409	4,756	4,673	*	*	Up	Down
Incidents of use of force - adolescent inmates	715	624	378	594	531	*	*	Down	Down
★ Department use of force incidents with serious injury (rate per 1,000 ADP)	0.92	1.18	1.14	0.68	0.66	↓	↓	Down	Down
Department use of force incidents with minor injury (rate per 1,000 ADP)	10.95	13.23	15.59	15.39	14.55	*	*	Up	Down
Department use of force incidents with no injury (rate per 1,000 ADP)	9.11	13.19	19.14	24.41	25.76	*	*	Up	Down
Incidents and allegations of use of force	3,413	4,221	4,822	5,269	5,070	*	*	Up	Down
★ Critical Indicator	"NA" Not Available		↑↓ Directional Target	* None					

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

In Fiscal 2017, the percent of inmates with a mental health diagnosis remained stable at 42 percent. Individuals with mental health needs represent a significant proportion of the in-custody population and the Department is working with its correctional health provider – Health + Hospitals (H + H,) as well as broader city initiatives, to enhance mental health services for those in its care. Improving access to care is a priority for the Department. As such, DOC now allows unescorted movement to the clinic for eligible areas and classifications. Additionally, DOC and H + H have developed a new system to track access to healthcare services. Improved clinic management has enabled staff to have more data-driven clinic huddles each morning to determine needs, capacity and prioritization. These efforts have resulted in an increase in clinic visits by 1.7 percent as well as a decrease in clinic waiting times by 21 percent. DOC and H + H have also continued to develop and expand collaborative programs that promote ongoing care such as the Program to Accelerate Clinical Effectiveness (PACE), Clinical Alternatives to Punitive Segregation (CAPS) and substance misuse treatment through A Road Not Taken (ARNT). In addition, the Department is also working to enhance preventive services. As a part of the ThriveNYC initiative, in collaboration with the Department of Health and Mental Hygiene (DOHMH), DOC is expanding MHFA beyond pre-service training to include in-service staff, as well as inmates, taking an all-inclusive approach to addressing mental health needs. The training is designed to help participants grow their knowledge of mental illnesses, identify professional and self-help resources for those in need, increase their likelihood to help individuals in distress and show increased mental wellness themselves.

Performance Indicators	Actual					Target		Trend	
	FY13	FY14	FY15	FY16	FY17	FY17	FY18	5-Year	Desired Direction
Inmates with a mental health diagnosis (% ADP)	37%	38%	41%	42%	42%	*	*	Up	*
Inmates with a serious mental health diagnosis (% ADP)	9.5%	10.2%	11.1%	11.0%	10.3%	*	*	Neutral	*
Inmate health clinic visits	75,664	77,825	81,873	78,499	79,844	*	*	Neutral	*
★ – Average clinic waiting time (minutes)	35	41	34	28	22	↓	↓	Down	Down
★ Critical Indicator	"NA" Not Available		↑↓ Directional Target	* None					

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

Population as a percentage of capacity increased by one percentage point to 81 percent since the previous fiscal year, while the number of jail cells unavailable due to repair increased from 2.3 percent to 2.6 percent. The Department has taken on several large projects to improve facilities' adherence to fire and life safety codes while also repairing and enhancing priority housing areas. As a result, those housing areas that are undergoing repair are currently unavailable for use.

Performance Indicators	Actual					Target		Trend	
	FY13	FY14	FY15	FY16	FY17	FY17	FY18	5-Year	Desired Direction
Jail-cells unavailable (short-term repair) (%)	3.1%	2.8%	2.3%	2.3%	2.6%	1.0%	1.0%	Down	Down
★ Population as percent of capacity (%)	89%	86%	80%	80%	81%	96%	96%	Neutral	*
★ Critical Indicator	"NA" Not Available		⇅ Directional Target	* None					

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

Through intensive efforts to improve the timely transport of inmates to court, the DOC achieved a 14.4 percentage point improvement in on-time court delivery, up to 98.4 percent. While there have been court production challenges over the past few years, the Department placed a major focus on production beginning in late Fiscal 2016, dedicating a Bureau Chief to the initiative. Through improved monitoring of on-trial inmates and communication with facility managers, surveillance of on-trial inmates and more bus departures, the Department exceeded its target of 95 percent on-time court arrivals. During times when it is anticipated that an inmate will be late for a scheduled court appearance, DOC notifies judges to allow for other business to proceed before the inmate arrives.

Performance Indicators	Actual					Target		Trend	
	FY13	FY14	FY15	FY16	FY17	FY17	FY18	5-Year	Desired Direction
★ On-trial inmates delivered to court on-time (%)	94.9%	94.2%	90.9%	84.0%	98.4%	95.0%	95.0%	Neutral	Up
★ Critical Indicator	"NA" Not Available		⇅ Directional Target	* None					

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's Reform Agenda places a key focus on developing vocational and educational opportunities, behavioral interventions and reentry services to improve long term outcomes for inmates. In support of this goal, DOC and its community-based partners, Fortune Society and Osborne Association, have continued to expand the Individual Correction Achievement Network (I-CAN) program. The jail-based community reentry program now plays a major role in the Anna M. Kross Center (AMKC), George R. Vierno Center (GRVC), and GMDC, where staff members have been added to provide programming and discharge planning in newly created I-CAN housing areas. In particular, I-CAN programming in AMKC was significantly expanded. At the end of Fiscal 2016, there were 11 I-CAN units in AMKC; by the end of Fiscal 2017, there were 27 I-CAN units. This expansion has resulted in a 76.9 percent increase in I-CAN enrollments and an 84.5 percent increase in I-CAN workshops.

The average daily attendance in school programs decreased 20.7 percent from the previous fiscal year. This is partly due to the 10.7 percent drop in the average daily population of adolescent inmates. However, higher incident levels in the Robert N. Davoren Complex (RNDC) and GMDC also contributed to decreasing attendance. As the Department continues to develop its alternatives to punitive segregation for the adolescent and young adult populations, incident levels are expected to stabilize, enabling higher school attendance.

Performance Indicators	Actual					Target		Trend	
	FY13	FY14	FY15	FY16	FY17	FY17	FY18	5-Year	Desired Direction
★ I-CAN Enrollments	634	2,408	2,321	4,278	7,569	*	*	Up	*
I-CAN Workshops	333	1,580	2,065	6,505	12,002	*	*	Up	*
★ Critical Indicator	"NA" Not Available		⇅ Directional Target	* None					

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

In Fiscal 2017, there was a 143 percent increase in the average daily number of inmates in vocational skills training programs, from 226 to 550. This can be attributed to the expansion of vocational training within I-CAN, as well as the addition of a Workforce Development unit under the Division of Youthful Offender Programming. The unit first launched courses in Fiscal 2017, with eight classes being offered under the Trading Futures program – Plumbing, Carpentry, Electric, Culinary Arts, Digital Literacy, Cosmetology, Barista Training and Building Maintenance. Additionally, Industry Recognized Training (IRT) offered adolescents and young adults certification courses such as OSHA, food handler and CPR. Vocational training opportunities for adult inmates increased during this time period as well, with 50 OSHA certification courses being completed, reaching a total of 801 participants.

Performance Indicators	Actual					Target		Trend	
	FY13	FY14	FY15	FY16	FY17	FY17	FY18	5-Year	Desired Direction
Average daily number of inmates in vocational skills training programs	204	216	256	226	550	*	*	Up	Up
Average daily attendance in school programs	693	526	330	256	203	*	*	Down	*
★ Inmates participating in skills-building activities/discharge planning (%)	10.9%	10.3%	10.5%	8.7%	14.0%	10.0%	10.0%	Up	Up
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target				* None			

SERVICE 3 Provide correction-related services and information to the public.

Goal 3a Provide timely notifications to crime victims.

The Victim Identification and Notification Everyday (VINE) service provides New Yorkers with access to crime and release information regarding incarcerated inmates. There was an 11.9 percent increase in VINE registrations from Fiscal 2016 to Fiscal 2017 and a 14.8 percent increase in VINE confirmed notifications during the same time period.

Performance Indicators	Actual					Target		Trend	
	FY13	FY14	FY15	FY16	FY17	FY17	FY18	5-Year	Desired Direction
Victim Identification Notification Everyday (VINE) system registrations	14,929	15,291	15,159	15,440	17,288	*	*	Up	Up
VINE confirmed notifications	17,396	18,445	19,330	21,993	25,250	*	*	Up	Up
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target				* None			

AGENCY-WIDE MANAGEMENT

Performance Indicators	Actual					Target		Trend	
	FY13	FY14	FY15	FY16	FY17	FY17	FY18	5-Year	Desired Direction
Collisions involving City vehicles	60	104	103	107	116	*	*	Up	Down
Workplace injuries reported	2,545	3,599	2,417	2,222	3,435	*	*	Neutral	Down
Accidents involving inmates	43	38	44	43	35	*	*	Down	Down
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target				* None			

AGENCY CUSTOMER SERVICE

Performance Indicators	Actual					Target		Trend	
	FY13	FY14	FY15	FY16	FY17	FY17	FY18	5-Year	Desired Direction
Customer Experience									
Letters responded to in 14 days (%)	82.7%	99.6%	99.4%	99.3%	100.0%	*	*	Up	Up
E-mails responded to in 14 days (%)	99.9%	100.0%	100.0%	100.0%	100.0%	*	*	Neutral	Up
★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None									

AGENCY RESOURCES

Resource Indicators	Actual ¹					Plan ²		5yr Trend
	FY13	FY14	FY15	FY16	FY17	FY17	FY18	
Expenditures (\$000,000) ³	\$1,090.9	\$1,103.1	\$1,162.1	\$1,307.6	\$1,389.8	\$1,402.5	\$1,444.5	Up
Revenues (\$000,000)	\$22.5	\$21.8	\$20.8	\$22.9	\$22.7	\$20.5	\$20.5	Neutral
Personnel (uniformed)	8,991	8,922	8,756	9,832	10,862	10,336	10,420	Up
Personnel (civilian)	1,394	1,397	1,491	1,676	1,830	2,238	2,243	Up
Overtime paid (\$000,000)	\$154.6	\$139.1	\$196.3	\$275.2	\$144.0	\$139.4	\$171.4	Up
Capital commitments (\$000,000)	\$104.2	\$124.8	\$153.6	\$81.5	\$60.6	\$579.8	\$1,411.3	Down
¹ Actual financial amounts for the most current fiscal year are not yet final. Final fiscal year actuals, from the Comptroller's Comprehensive Annual Financial Report, will be reported in the next PMMR. Refer to the "Indicator Definitions" at nyc.gov/mmr for details. ² Authorized Budget Level ³ Expenditures include all funds "NA" - Not Available *None								

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

Unit of Appropriation	Expenditures FY16 ¹ (\$000,000)	Modified Budget FY17 ² (\$000,000)	Applicable MMR Goals ³
Personal Services - Total	\$1,139.5	\$1,189.2	
001 - Administration	\$83.5	\$110.2	All
002 - Operations	\$1,056.0	\$1,079.0	All
Other Than Personal Services - Total	\$168.1	\$200.6	
003 - Operations	\$147.5	\$184.1	All
004 - Administration	\$20.7	\$16.5	All
Agency Total	\$1,307.6	\$1,389.8	
¹ Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2016. Includes all funds. ² City of New York Adopted Budget for Fiscal 2017, as of June 2017. Includes all funds. ³ Refer to agency goals listed at front of chapter.			

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department updated suicide numbers for Fiscal 2015 and Fiscal 2016 as records were reconciled between its Health Affairs division and Bureau Chief of Security's Office.
- The indicator 'I-CAN referrals' has been removed from this report. As of September 1, 2016, with the expansion of the I-CAN program, the Department no longer directly refers inmates to discharge planning services. Service providers now determine eligibility for inmates in the bulk of the jail population and all inmates in Accelerated Program Unit (APU) housing are referred for I-CAN reentry services.
- Fiscal 2016 data for 'Department use of force incidents with injury' rate indicators was revised to reflect updated totals.

ADDITIONAL RESOURCES

- Select annual indicators:
<http://www1.nyc.gov/site/doc/about/doc-statistics.page>

For more information on the agency, please visit: www.nyc.gov/doc.