

## 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, four borough houses of detention (Brooklyn, the Bronx, Queens and Manhattan), court pens in each of the five boroughs, and two hospital prison wards; processes nearly 64,000 admissions and releases annually; and manages an average daily inmate population of approximately 9,800 individuals.

## FOCUS ON EQUITY

DOC is committed to enhancing safety, improving jail conditions and promoting better outcomes for inmates, which advances equity for all New Yorkers. DOC has embarked upon a 14-point Anti-Violence Reform Agenda to reduce jail violence, increase safety for staff and inmates and ultimately change the culture to better address the needs of staff and inmates and improve long-term inmate outcomes. In Fiscal 2016, the Department saw a reduction in serious violence and connected significantly more inmates with comprehensive re-entry services. Its approach focuses on gender- and age-responsive services, mental health needs and vocational and educational programming. The Department ended punitive segregation for all inmates 18 and under and significantly reduced its utilization for 19-21 year old inmates. Young adults, the majority of whom are now housed at the George Motchan Detention Center (GMDC), now benefit from program-specific housing. The Accelerated Program Unit (APU), piloted in Fiscal 2015, has been expanded to serve approximately two-thirds of the inmates at the George R. Vierno Center (GRVC), with an additional 12 units now open at the Anna M. Kross Center (AMKC). The APU model applies an advanced risk level classification system, improved staff training and staff-to-inmate ratios, enhanced physical infrastructure and expanded programming for inmates to create more stable housing units. Additionally, with the success of the collaborative clinical and correctional approach in the Program for Accelerated Clinical Effectiveness (PACE) units at AMKC, this model has also been expanded to GRVC to better address the population's growing mental health needs.

## OUR SERVICES AND GOALS

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### **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.

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

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

- Goal 3a Provide timely notifications to crime victims.

# HOW WE PERFORMED IN FISCAL 2016

## 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.

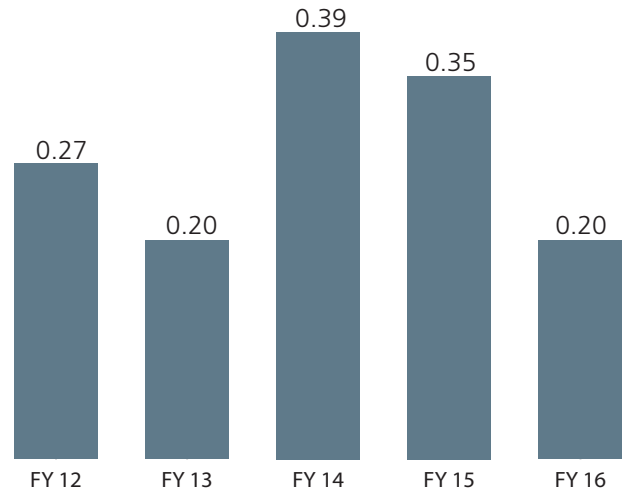
While the in-custody average daily population (ADP) dropped to 9,790 in Fiscal 2016, a 4.4 percent decrease from the previous fiscal year, the percentage of the population in a Security Risk Group (SRG) or diagnosed with a mental illness both increased since Fiscal 2015. The SRG population now comprises 13.3 percent of the population, up from 11.8 percent last year, and the population with a mental health diagnosis is now 42 percent, up from 41 percent the previous fiscal year. Both groups are involved in disproportionately more violent incidents – SRG-associated inmates were involved in more than half of jail incidents in Fiscal 2016 while those diagnosed with a mental illness were involved in more than three-quarters of jail incidents. DOC is working to address the challenges with the SRG population through the appropriate identification, classification and housing of inmates according to specific risks and needs.

Indicators of violence among inmates worsened in Fiscal 2016. There was a 19.3 percent increase in inmate fights and a 21.3 percent increase in stabbings and slashings compared to the previous fiscal year. During Fiscal 2016, the Department began ambitious testing of new alternatives including the housing of all young adults in one facility (GMDC). Young adults contribute to a disproportionate number of incidents and the concentration of this population has increased incidents in GMDC.

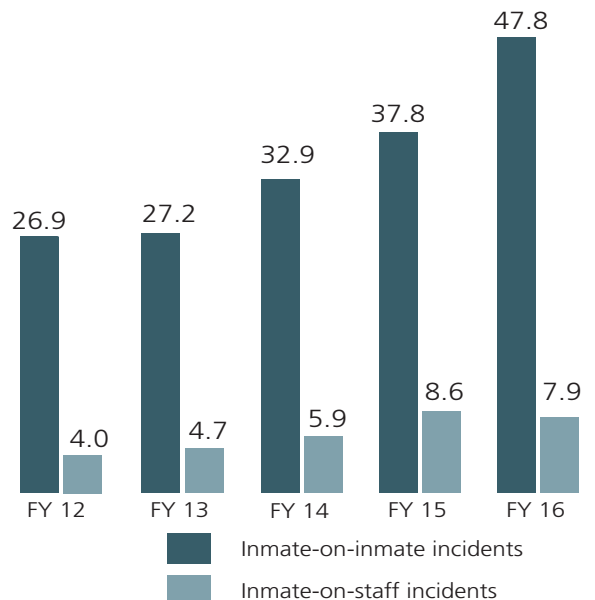
In order to ensure safety for all inmates and staff, the Department has placed a priority on arresting and prosecuting inmates who assault staff members. Arrests of inmates for jail-based criminal misconduct increased by 93.5 percent in Fiscal 2016. While the number of searches conducted declined by seven percent, weapons recovered as a result of these searches increased by 51.6 percent. The Department has been working to address the smuggling of contraband by both inmates and visitors through the addition of new surveillance cameras, improved technology and heightened front gate procedures including more searches and new search tactics. However, the detection can be best accomplished through the utilization of body scanner technology, which currently remains prohibited for non-medical use by New York State law.

The rate of violent inmate-on-inmate incidents increased by 26.5 percent in Fiscal 2016, from 37.8 to 47.8 per 1,000 ADP. Since the implementation of its Reform Agenda, DOC continues to roll out staff trainings in subjects such as crisis management, de-escalation, cognitive behavioral therapy and appropriate use of force to enhance safety for both staff and inmates to curb violence and serious injuries. Inmate assaults on staff, including both uniformed and civilian staff per 1,000 ADP, declined by 8.1 percent from 8.6 in Fiscal 2015 to 7.9 in Fiscal 2016 and serious injuries to staff as a result of inmate assaults decreased by 42.9 percent during the reporting period. Additionally, the rate of serious injury to inmates as a result of inmate-on-inmate violent incidents remained stable from the previous fiscal year.

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



**Violent Incidents (monthly rate per 1,000 ADP)**



Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Admissions	84,754	81,758	77,141	67,672	63,758	*	*	Neutral	Down
Average daily population	12,287	11,827	11,408	10,240	9,790	*	*	Down	Down
Average daily population - adolescent inmates	NA	681	489	216	187	*	*	Down	NA
Inmates in Security Risk Group (% ADP)	NA	9.9%	8.2%	11.8%	13.3%	*	*	Down	NA
Fight/assault infractions	7,552	7,622	8,827	9,424	11,240	*	*	Down	Up
Jail-based arrests of inmates	650	798	995	795	1,538	*	*	Down	Up
Searches	225,501	247,868	251,343	255,776	237,757	*	*	Neutral	Neutral
Weapons recovered	2,324	2,162	2,348	2,240	3,396	*	*	Neutral	Up
★ Violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	26.9	27.2	32.9	37.8	47.8	↓	↓	Down	Up
★ Serious injury to inmate(s) as a result of violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	1.3	1.4	1.8	2.5	2.5	↓	↓	Down	Up
★ Inmate assault on staff (monthly rate per 1,000 ADP)	4.0	4.7	5.9	8.6	7.9	↓	↓	Down	Up
★ Serious injury to staff as a result of inmate assault on staff (monthly rate per 1,000 ADP)	0.27	0.20	0.39	0.35	0.20	↓	↓	Down	Neutral
★ Escapes	0	1	0	0	0	↓	↓	Down	Down
★ Non-natural deaths of inmates in custody	2	3	2	0	0	↓	↓	Down	Down

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

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

In Fiscal 2016, the rate of use of force incidents with serious injury declined by more than 42 percent, from 1.14 to 0.66 per 1,000 ADP. The rate of incidents of use of force with minor injury declined by 1.2 percent and the rate of incidents with no injury increased by 27.6 percent. At the same time, the total number of incidents of use of force increased by 7.9 percent, from 4,409 to 4,756 overall. This increase was driven in large part by a 57.1 percent increase in incidents with the adolescent population. Enhanced trainings have been effective at improving response protocols that focus on immediate engagement and avoid prolonged physical altercation, aiming to minimize use of force that involves physical altercations, ensure that use of force is only applied when necessary and ensure 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.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Incidents of use of force - total	NA	2,977	3,779	4,409	4,756	*	*	Down	NA
Incidents of use of force - adolescent inmates	NA	715	624	378	594	*	*	Down	NA
★ Department use of force incidents with serious injury (rate per 1,000 ADP)	1.00	0.92	1.18	1.14	0.66	↓	↓	Down	Down
Department use of force incidents with minor injury (rate per 1,000 ADP)	8.15	10.95	13.23	15.59	15.40	*	*	Down	Up
Department use of force incidents with no injury (rate per 1,000 ADP)	7.20	9.11	13.19	19.14	24.42	*	*	Down	Up
Incidents and allegations of use of force	2,837	3,413	4,221	4,822	5,269	*	*	Down	Up

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

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

While the percentage of inmates diagnosed with a serious mental illness remained stable at 11 percent, the Department has continued to experience a steady increase in the percentage of inmates with a mental health diagnosis. Currently, 42 percent of the in-custody population falls in this category. Despite these rising numbers, inmate clinic visits decreased for the first time in three years, dropping by 4.1 percent since Fiscal 2015. This drop in clinic visits coincided with reduced clinic waiting times, which averaged 34 minutes in Fiscal 2015 and decreased by 17.6 percent to 28 minutes in Fiscal 2016. Aside from providing access to services in the clinic, the Department has focused on preventive and ongoing care through clinical units such as PACE and Clinical Alternative to Punitive Segregation (CAPS), detox units and mental health programming such as art therapy and counseling. These programs have benefited from the strong collaborative efforts of NYC Health + Hospitals, the Department of Health and Mental Hygiene (DOHMH), and DOC, as well as the healthcare, social service and correctional staff that manage and implement these programs.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Inmates with a mental health diagnosis (% ADP)	34.0%	37.0%	38.0%	41.0%	42.0%	*	*	Neutral	Up
Inmates with a serious mental health diagnosis (% ADP)	NA	9.5%	10.2%	11.1%	11.0%	*	*	Neutral	NA
Inmate health clinic visits	83,914	75,664	77,825	81,873	78,499	*	*	Neutral	Neutral
★ - Average clinic waiting time (minutes)	28	35	41	34	28	↓	↓	Down	Neutral

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

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

Both population as a percentage of capacity and the number of jail cells unavailable due to repair remained steady at 80 percent and 2.3 percent, respectively. As a part of the City's five year capital plan, the Department is working to improve facilities' adherence to fire and life safety codes while also repairing and enhancing priority housing areas.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Jail-cells unavailable (short-term repair) (%)	1.8%	3.1%	2.8%	2.3%	2.3%	1.0%	1.0%	Down	Neutral
★Population as percent of capacity (%)	92%	89%	86%	80%	80%	96%	96%	Neutral	Down

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

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

Timely transport of inmates to court continued to worsen for most of Fiscal 2016. The percentage of inmates delivered to court on time was only 84 percent for the period, compared to 90.9 percent in Fiscal 2015. As in the past, challenges have partially been due to an increase in inmates falling within specialized subpopulations including mental health designations, enhanced restraints and separations, which results in the need for more extensive search procedures prior to transit in an effort to curtail violence. Additionally, an ongoing challenge is problematic inmates who intentionally create delays in order to avoid trials. While the percentage of inmates delivered to court on time ranged between 77 percent and 89 percent between July 2015 and May 2016, new efforts in June brought timely court production above target at 95.5 percent. Together, the Criminal Justice Bureau (CJB) and the Transportation Division implemented a three-pronged approach to improve court production. The new approach combines improved monitoring of on-trial inmates and communication with facility managers, surveillance of on-trial inmates and more buses and timely departures to ensure timely court arrivals.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
★On-trial inmates delivered to court on-time (%)	96.9%	94.9%	94.2%	90.9%	84.0%	95.0%	95.0%	Up	Down

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

## 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.

As a part of its reform agenda, the Department is expanding programs and services to improve educational and vocational opportunities for inmates as well as enhance mental health services to better facilitate successful re-entry into the community. As such, the Department, in collaboration with the Fortune Society and Osborne Association, significantly expanded the Individual Correction Achievement Network (I-CAN) program in Fiscal 2016. I-CAN is a jail-based community re-entry program designed to reduce recidivism through targeted discharge planning that supports inmates in obtaining GEDs, finding employment and treating substance abuse issues. While the program originally served only those inmates at the highest risk of recidivism, it has since expanded to serve those at medium risk as well. With these new criteria for participation and additional funding from the [Mayor's Taskforce on Behavioral Health and Criminal Justice](#), I-CAN is now playing a major role in the overall programmatic expansion at AMKC, GRVC, and other facilities. Since Fiscal 2015, referrals increased by 72.6 percent, enrollments increased by 84.3 percent and workshops increased by 215 percent.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
I-CAN Referrals	NA	1,420	4,117	3,588	6,194	*	*	Neutral	NA
★I-CAN Enrollments	NA	634	2,408	2,321	4,278	*	*	Neutral	NA
I-CAN Workshops	NA	333	1,580	2,065	6,505	*	*	Neutral	NA

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### Goal 2b

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

In Fiscal 2016, in support of the Department's new young adult initiatives which seek to significantly reduce both punitive segregation and house all young adults in one facility, a focus was placed on targeting this population for vocational skills training opportunities in an effort to reduce idleness and incidents in these housing units. Typically, vocational training programs such as food handler certification courses accommodate up to 50 students per class. However, in the young adult units, classes only accommodate 12 students. Due to these significantly smaller class sizes, which would require 4 times as many classes for young adults to offset the lower participation rates, the Department experienced an 11.7 percent decrease in the average daily number of inmates in vocational skills training programs. Also due to these smaller class sizes, inmates participating in skills building activities declined to 8.7 percent, not meeting the Department's 10 percent target. As young adult housing begins to stabilize and more courses can again be offered to the general population, which can accommodate higher numbers of participants, the DOC expects these numbers to increase.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Average daily number of inmates in vocational skills training programs	148	204	216	256	226	*	*	Up	Up
Average daily attendance in school programs	713	693	526	330	256	*	*	Neutral	Down
★Inmates participating in skills-building activities/discharge planning (%)	10.0%	10.9%	10.3%	10.5%	8.7%	10.0%	10.0%	Up	Down

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## 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 a 1.9 percent increase in VINE registrations from Fiscal 2015 to Fiscal 2016 and a 13.8 percent increase in VINE confirmed notifications during the same time period.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Victim Identification Notification Everyday (VINE) system registrations	16,111	14,929	15,291	15,159	15,440	*	*	Up	Neutral
VINE confirmed notifications	16,925	17,396	18,445	19,330	21,993	*	*	Up	Up

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## AGENCY-WIDE MANAGEMENT

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Collisions involving City vehicles	69	60	104	103	107	*	*	Down	Up
Workplace injuries reported	NA	2,545	3,599	2,417	2,222	*	*	Down	NA
Accidents involving inmates	38	43	38	44	43	*	*	Down	Up

## AGENCY CUSTOMER SERVICE

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Customer Experience									
Letters responded to in 14 days (%)	91.4%	82.7%	99.6%	99.4%	99.3%	*	*	Up	Up
E-mails responded to in 14 days (%)	100.0%	99.9%	100.0%	100.0%	100.0%	*	*	Up	Neutral

## AGENCY RESOURCES

Resource Indicators	Actual <sup>1</sup>					Plan <sup>2</sup>		5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17	
Expenditures (\$000,000) <sup>3</sup>	\$1,078.8	\$1,090.9	\$1,103.1	\$1,162.1	\$1,325.6	\$1,315.4	\$1,392.3	Up
Revenues (\$000,000)	\$24.4	\$22.5	\$21.8	\$20.8	\$22.9	\$21.7	\$20.5	Neutral
Personnel (uniformed)	8,540	8,991	8,922	8,756	9,832	10,195	10,336	Up
Personnel (civilian)	1,459	1,394	1,397	1,491	1,676	2,191	2,232	Up
Overtime paid (\$000,000)	\$144.7	\$154.6	\$139.1	\$196.3	\$187.9	\$184.8	\$137.6	Up
Capital commitments (\$000,000)	\$95.4	\$104.2	\$124.8	\$153.6	\$80.9	\$568.6	\$316.5	Neutral

<sup>1</sup>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](http://nyc.gov/mmr) for details. <sup>2</sup>Authorized Budget Level <sup>3</sup>Expenditures include all funds  
 "NA" - Not Available in this report

## NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

## 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](http://www.nyc.gov/doc).