

## 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 68,000 admissions and releases annually; and manages an average daily inmate population of approximately 10,200 individuals.

## FOCUS ON EQUITY

The Department of Correction 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 implement significant new measures that will reduce violence within its facilities, increase safety for all staff and inmates, and ultimately change the culture to better address the needs of inmates at all levels and improve long-term inmate outcomes. DOC has implemented numerous initiatives to support adolescent and young adult populations, transgendered inmates and inmates with mental health issues, as well as the general population in custody, including: revising the Department's punitive segregation policies; increasing staff-to-inmate ratios; and improving and expanding educational programming, substance abuse treatment and discharge planning. DOC has made significant commitments to improving physical and mental healthcare for inmates. Beginning in August 2015, the Health and Hospitals Corporation (HHC) assumed operation of health and mental health services in the jails. HHC will collaborate with DOC to provide discharge planning for inmates with a mental health diagnosis and improve continuity of care. And, as a partner in Mayor Bill de Blasio's Task Force on Behavioral Health and the Criminal Justice System, DOC collaborates with other agency stakeholders and behavioral health experts to develop strategies to improve mental health care services for people involved in the justice system, including those in custody. DOC will continue to build on all these efforts and pursue its broader reform agenda to create safer jails for both inmates and staff.

## 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 2015

## 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.

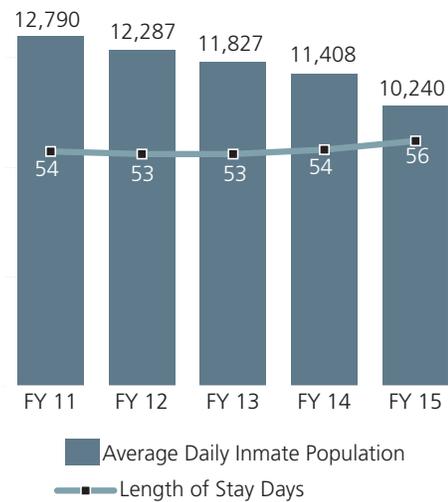
In Fiscal 2015, DOC admitted 67,672 inmates, a 12.3 percent decrease since Fiscal 2014. This lower admission rate contributed to a decrease in Average Daily Population (ADP) from 11,408 in Fiscal 2014 to 10,240 in Fiscal 2015, representing a 10.2 percent decrease in ADP. However, in this same time period, the average length of stay for inmates increased from 54.2 to 55.7 days.

The Department works to promote safety in the jails, in part by identifying inmates in security risk groups (SRGs), and assigns housing areas and services to these inmates accordingly to prevent violent incidents. In Fiscal 2015, the percentage of SRG inmates increased from 8.2 percent to 11.8 percent compared to the prior year. At the same time, there was an increase in inmates with a mental health diagnosis from 38 percent to 41 percent.

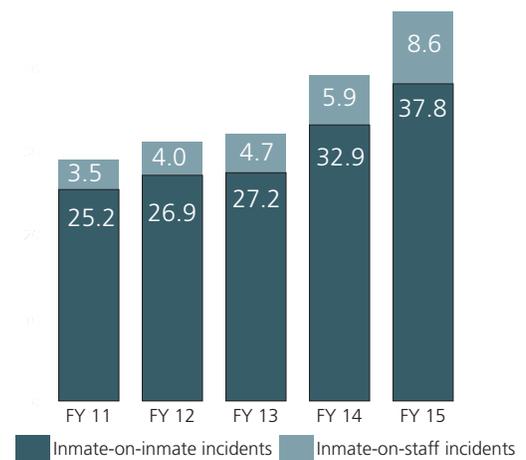
Despite the decrease in ADP, there was an increase in fight/assault infractions from 8,827 the previous year to 9,424 in Fiscal 2015, an increase of 6.8 percent. Stabbing and slashing incidents also rose from 88 to 108 in this same time period, while inmate assaults on staff increased by 31 percent. In addition, the rate of violent incidents among inmates and between inmates and staff increased by 15 percent and 46 percent respectively between Fiscal 2014 and Fiscal 2015. At the same time, the rate of serious injuries to inmates from violent incidents between inmates increased by nearly 38 percent, while the rate of serious injuries to staff from incidents between inmates and staff declined by 10 percent.

The DOC is implementing ongoing reforms and trainings to reduce the number of violent incidents within its facilities. In particular, improving clinical mental health services has shown promise in addressing this issue, as inmates with a mental health diagnosis tend to be involved in disproportionately more violent incidents. Improved mental health services contributed to the reduction of inmate self-harm, with no suicides taking place in the year. DOC has developed a new classification tool and housing process to ensure proper housing, staffing, and care to inmates throughout the system. DOC's pilot effort using the new classification tool is intended to demonstrate the effectiveness of this strategy. Additionally, the Department is improving access to work, education, and recreational programming to reduce idleness, which ultimately reduces incidents. A particular focus of this effort has been on the adolescent and young adult population, as well as efforts to consolidate such reforms in model facilities.

**Inmate Population and Length of Stay**



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



| Performance Indicators   | Actual  |         |         |         |         | Target |      | Desired Direction | 5yr Trend |
|--|---------|---------|---------|---------|---------|--------|------|-------------------|-----------|
|  | FY11    | FY12    | FY13    | FY14    | FY15    | FY15   | FY16 |                   |           |
| Admissions   | 87,515  | 84,754  | 81,758  | 77,141  | 67,672  | *      | *    | Neutral           | Down      |
| Average daily population   | 12,790  | 12,287  | 11,827  | 11,408  | 10,240  | *      | *    | Down              | Down      |
| Average daily population - adolescent inmates  | NA      | NA      | 681     | 489     | 216     | *      | *    | Down              | NA        |
| Inmates in security risk group (% ADP)   | NA      | NA      | 9.9%    | 8.2%    | 11.8%   | *      | *    | Down              | NA        |
| Fight/assault infractions  | 7,431   | 7,552   | 7,622   | 8,827   | 9,424   | *      | *    | Down              | Up        |
| Jail-based arrests of inmates  | 642     | 650     | 798     | 995     | 795     | *      | *    | Down              | Up        |
| Searches   | 215,038 | 225,501 | 247,868 | 251,343 | 255,776 | *      | *    | Neutral           | Up        |
| Weapons recovered  | 1,901   | 2,324   | 2,162   | 2,348   | 2,240   | *      | *    | Neutral           | Up        |
| ★ Violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)  | 25.2    | 26.9    | 27.2    | 32.9    | 37.8    | ↓      | ↓    | Down              | Up        |
| ★ Serious injury to inmate(s) as a result of violent inmate-on-inmate incidents (monthly rate per 1,000 ADP) | 1.2     | 1.3     | 1.4     | 1.8     | 2.5     | ↓      | ↓    | Down              | Up        |
| ★ Inmate assault on staff (monthly rate per 1,000 ADP)   | 3.5     | 4.0     | 4.7     | 5.9     | 8.6     | ↓      | ↓    | Down              | Up        |
| ★ Serious injury to staff as a result of inmate assault on staff (monthly rate per 1,000 ADP)                | 0.27    | 0.27    | 0.20    | 0.39    | 0.35    | ↓      | ↓    | Down              | Up        |
| ★ Escapes  | 0       | 0       | 1       | 0       | 0       | ↓      | ↓    | Down              | Neutral   |
| ★ Non-natural deaths of inmates in custody   | NA      | 2       | 3       | 2       | 0       | ↓      | ↓    | 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.

The Department's focus on minimizing use of force that involves physical altercations includes ongoing trainings for correctional officers to ensure that use of force is only applied when necessary and the most appropriate means are used to resolve situations while reducing risk of injury to staff and inmates alike. In Fiscal 2015, use of force incidents with serious injury declined by 3.4 percent, and use of force incidents with no injury increased by 45 percent. These results are partly due to increased de-escalation training and better response protocols that focus on immediate engagement that avoids prolonged physical altercation. Additionally, there was a nearly 40 percent decrease in use of force within the adolescent facility, directly attributable to increased training, staffing ratios and programming related to this population. The total number of incidents of confirmed uses of force increased by nearly 17 percent to 4,409. Incidents that include allegations of use of force increased by about 14 percent since Fiscal 2014.

| Performance Indicators   | Actual |       |       |       |       | Target |      | Desired Direction | 5yr Trend |
|--|--------|-------|-------|-------|-------|--------|------|-------------------|-----------|
|  | FY11   | FY12  | FY13  | FY14  | FY15  | FY15   | FY16 |                   |           |
| Incidents of use of force - total  | NA     | NA    | 2,977 | 3,779 | 4,409 | *      | *    | Down              | NA        |
| Incidents of use of force - adolescent inmates                               | NA     | NA    | 715   | 624   | 378   | *      | *    | Neutral           | NA        |
| ★ Department use of force incidents with serious injury (rate per 1,000 ADP) | NA     | 1.00  | 0.92  | 1.18  | 1.14  | ↓      | ↓    | Down              | NA        |
| Department use of force incidents with minor injury (rate per 1,000 ADP)     | NA     | 8.15  | 10.95 | 13.23 | 15.59 | *      | *    | Down              | NA        |
| Department use of force incidents with no injury (rate per 1,000 ADP)        | NA     | 7.20  | 9.11  | 13.19 | 19.14 | *      | *    | Down              | NA        |
| Incidents and allegations of use of force                                    | 2,272  | 2,837 | 3,413 | 4,221 | 4,822 | *      | *    | Down              | Up        |

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

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

In Fiscal 2015, 41 percent of inmates had a mental health diagnosis—a number that has grown over the past five years. As such, DOC continues to implement responsive clinical services. In addition to the existing Clinical Alternative to Punitive Segregation (CAPS) program and Restricted Housing Units (RHU), the Department has implemented the Program to Accelerate Clinical Effectiveness (PACE) unit. These units provide inmates with preventive, therapeutic care intended to proactively reduce incidents related to violent behavior by inmates receiving mental health services. Since Fiscal 2014, the number of inmate health clinic visits increased from 77,825 to 81,873, and average clinic waiting time decreased from 41 to 34 minutes. As part of the transition of correctional health services to HHC, DOC will continue collaboration between correctional and healthcare staff to ensure that inmate needs are effectively communicated and necessary services are made accessible.

| Performance Indicators                                 | Actual |        |        |        |        | Target |      | Desired Direction | 5yr Trend |
|--|--------|--------|--------|--------|--------|--------|------|-------------------|-----------|
|  | FY11   | FY12   | FY13   | FY14   | FY15   | FY15   | FY16 |                   |           |
| Inmates with a mental health diagnosis (% ADP)         | 32.0%  | 34.0%  | 37.0%  | 38.0%  | 41.0%  | *      | *    | Neutral           | Up        |
| Inmates with a serious mental health diagnosis (% ADP) | NA     | NA     | 9.5%   | 10.2%  | 11.1%  | *      | *    | Neutral           | NA        |
| Inmate health clinic visits                            | 79,385 | 83,914 | 75,664 | 77,825 | 81,873 | *      | *    | Neutral           | Neutral   |
| ★ - Average clinic waiting time (minutes)              | 29     | 28     | 35     | 41     | 34     | *      | *    | Neutral           | Up        |

★ 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.

Population as a percentage of capacity continued to decline in Fiscal 2015 to 80 percent, while fewer jail cells were unavailable due to repairs.

| Performance Indicators                         | Actual |      |      |      |      | Target |      | Desired Direction | 5yr Trend |
|--|--------|------|------|------|------|--------|------|-------------------|-----------|
|  | FY11   | FY12 | FY13 | FY14 | FY15 | FY15   | FY16 |                   |           |
| Jail-cells unavailable (short-term repair) (%) | 1.2%   | 1.8% | 3.1% | 2.8% | 2.3% | 1.0%   | 1.0% | Down              | Up        |
| ★ Population as percent of capacity (%)        | 94%    | 92%  | 89%  | 86%  | 80%  | 96%    | 96%  | Neutral           | Down      |

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

DOC has enacted a management plan to improve the on-time delivery of inmates to court. The percent of on-trial inmates delivered to court on-time in Fiscal 2015 was lower than in previous years and fell under the target of 95 percent. An increased number of individuals falling within more specialized subpopulations (Enhanced Restraints, Separations, Mental Health designations) require more extensive search procedures prior to transit in an effort to curtail violence. Delays tend to result as measures to combat violence are balanced against expediting transportation of inmates to court. DOC notifies judges any time it is anticipated that an inmate will be late for a scheduled court appearance to allow for other business to proceed before the inmate arrives. As part of the new management plan, inmates are staged earlier, buses depart on schedule, and additional buses are deployed when necessary to transport inmates outside of the existing schedule.

| Performance Indicators                            | Actual |       |       |       |       | Target |       | Desired Direction | 5yr Trend |
|---|--------|-------|-------|-------|-------|--------|-------|-------------------|-----------|
|   | FY11   | FY12  | FY13  | FY14  | FY15  | FY15   | FY16  |                   |           |
| ★ On-trial inmates delivered to court on-time (%) | 97.5%  | 96.9% | 94.9% | 94.2% | 90.9% | 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.

Educational attainment, skills development, and behavioral modification are critical to recidivism reduction. As such, DOC has increased the accessibility of its programming and services to inmates. Specifically, DOC has committed to expanding the hours of available programming options to 5 hours for all inmates as part of its 14-point reform agenda. It has already expanded hours for its adolescent population and select populations in its model housing units and will broaden this effort to other inmates over the next year.

The Individual Correction Achievement Network, or I-CAN, was introduced in February 2013 as a jail-based community re-entry program for inmates with the highest risk for readmission to city jails. The number of workshops provided has grown dramatically from 1,580 in Fiscal 2014 to 2,065 in Fiscal 2015, providing inmates with a wider variety of educational and workforce training opportunities, in addition to cognitive behavioral therapy.

Working I.T. Out, a new green technology re-entry program was implemented in 2015, in partnership with STRIVE International, the New York City Department of Education, and Hostos Community College. This innovative program provides a combination of intensive pre-release programming as well as one month of programming in the community. This program has effectively connected 11 graduates of the program to internship opportunities with employment partners including D&A Electric, Project Renewal, and Envirolution.

In addition, all adolescent inmates continued to receive cognitive behavioral therapy through the Adolescent Behavioral Learning Experience (ABLE) program. Here, inmates 16 and 17 are provided with tools and resources to better manage their emotions and behaviors. While the ABLE program ended on August 31, 2015, the Department has built new partnerships with the City University of New York to provide adolescents with expanded skill-based and certification training programs.

| Performance Indicators | Actual |      |       |       |       | Target |      | Desired Direction | 5yr Trend |
|------------------------|--------|------|-------|-------|-------|--------|------|-------------------|-----------|
|                        | FY11   | FY12 | FY13  | FY14  | FY15  | FY15   | FY16 |                   |           |
| I-CAN Referrals        | NA     | NA   | 1,420 | 4,117 | 3,588 | *      | *    | Neutral           | NA        |
| ★I-CAN Enrollments     | NA     | NA   | 634   | 2,408 | 2,321 | *      | *    | Neutral           | NA        |
| I-CAN Workshops        | NA     | NA   | 333   | 1,580 | 2,065 | *      | *    | Neutral           | NA        |

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### Goal 2b

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

From Fiscal 2014 to Fiscal 2015, the percentage of inmates participating in skills-building activities and discharge planning increased from 10.3 percent to 10.5 percent. Increasing the number of workshops available as well as the diversity in learning opportunities has contributed to growing participation. With access to more workforce development and certification acquisition opportunities, the average daily number of inmates in vocational skills training programs increased by 19 percent since Fiscal 2014.

During Fiscal 2015, adolescent admissions to jail declined by 56 percent compared to Fiscal 2014. This contributed to the 37 percent reduction in average daily attendance in school programs during the same period.

| Performance Indicators   | Actual |       |       |       |       | Target |       | Desired Direction | 5yr Trend |
|--|--------|-------|-------|-------|-------|--------|-------|-------------------|-----------|
|  | FY11   | FY12  | FY13  | FY14  | FY15  | FY15   | FY16  |                   |           |
| Average daily number of inmates in vocational skills training programs       | 161    | 148   | 204   | 216   | 256   | *      | *     | Up                | Up        |
| Average daily attendance in school programs                                  | 782    | 713   | 693   | 526   | 330   | *      | *     | Neutral           | Down      |
| ★ Inmates participating in skills-building activities/discharge planning (%) | 10.0%  | 10.0% | 10.9% | 10.3% | 10.5% | 10.0%  | 10.0% | Up                | Neutral   |

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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. While there was a minor decline in VINE registrations from Fiscal 2014 to Fiscal 2015, VINE confirmed notifications increased by about 5 percent.

| Performance Indicators  | Actual |        |        |        |        | Target |      | Desired Direction | 5yr Trend |
|---|--------|--------|--------|--------|--------|--------|------|-------------------|-----------|
|   | FY11   | FY12   | FY13   | FY14   | FY15   | FY15   | FY16 |                   |           |
| Victim Identification Notification Everyday (VINE) system registrations | 20,558 | 16,111 | 14,929 | 15,291 | 15,159 | *      | *    | Up                | Down      |
| VINE confirmed notifications  | 32,604 | 16,925 | 17,396 | 18,445 | 19,330 | *      | *    | Up                | Down      |

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## AGENCY-WIDE MANAGEMENT

| Performance Indicators             | Actual |      |       |       |       | Target |      | Desired Direction | 5yr Trend |
|------------------------------------|--------|------|-------|-------|-------|--------|------|-------------------|-----------|
|                                    | FY11   | FY12 | FY13  | FY14  | FY15  | FY15   | FY16 |                   |           |
| Collisions involving City vehicles | NA     | 69   | 60    | 104   | 103   | *      | *    | Down              | NA        |
| Workplace injuries reported        | NA     | NA   | 2,545 | 3,599 | 2,417 | *      | *    | Down              | NA        |
| Accidents involving inmates        | NA     | 38   | 43    | 38    | 44    | *      | *    | Down              | NA        |

## AGENCY CUSTOMER SERVICE

| Performance Indicators              | Actual |        |       |        |        | Target |      | Desired Direction | 5yr Trend |
|-------------------------------------|--------|--------|-------|--------|--------|--------|------|-------------------|-----------|
|                                     | FY11   | FY12   | FY13  | FY14   | FY15   | FY15   | FY16 |                   |           |
| Customer Experience                 |        |        |       |        |        |        |      |                   |           |
| Letters responded to in 14 days (%) | 76.2%  | 91.4%  | 82.7% | 99.6%  | 99.4%  | *      | *    | Up                | Up        |
| E-mails responded to in 14 days (%) | 93.5%  | 100.0% | 99.9% | 100.0% | 100.0% | *      | *    | Up                | Neutral   |

## AGENCY RESOURCES

| Resource Indicators                   | Actual    |           |           |           |           | Plan <sup>1</sup> |           | 5yr Trend |
|---------------------------------------|-----------|-----------|-----------|-----------|-----------|-------------------|-----------|-----------|
|                                       | FY11      | FY12      | FY13      | FY14      | FY15      | FY15              | FY16      |           |
| Expenditures (\$000,000) <sup>2</sup> | \$1,045.1 | \$1,078.8 | \$1,090.9 | \$1,103.1 | \$1,171.0 | \$1,142.3         | \$1,222.5 | Up        |
| Revenues (\$000,000)                  | \$22.8    | \$24.4    | \$22.5    | \$21.8    | \$20.0    | \$21.6            | \$21.7    | Down      |
| Personnel (uniformed)                 | 8,456     | 8,540     | 8,991     | 8,922     | 8,756     | 9,537             | 9,653     | Neutral   |
| Personnel (civilian)                  | 1,423     | 1,459     | 1,394     | 1,397     | 1,491     | 1,776             | 1,933     | Neutral   |
| Overtime paid (\$000,000)             | \$113.8   | \$144.7   | \$154.6   | \$139.1   | \$172.4   | \$124.3           | \$86.7    | Up        |
| Capital commitments (\$000,000)       | \$69.0    | \$95.4    | \$104.2   | \$124.8   | \$153.6   | \$401.5           | \$469.3   | 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

None.

## ADDITIONAL RESOURCES

- Select annual indicators:  
[http://www.nyc.gov/html/doc/html/stats/doc\\_stats.shtml](http://www.nyc.gov/html/doc/html/stats/doc_stats.shtml)

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

