



## 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 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 reentry outcomes for inmates, which advances equity for all New Yorkers. For the past two years, the DOC has been undertaking a shift in culture, guided by a transformative 14-point Anti-Violence Reform Agenda, which seeks to reduce jail violence, increase safety for and better address the needs of staff and inmates and improve long-term inmate outcomes. In support of this agenda, the DOC tailors housing, staffing and programming to the age-, gender- and health-specific needs of the unique populations in custody. The Department is restructuring housing to ensure improved safety, offer alternatives to punitive segregation and ensure age-appropriate services. Employing enhanced and amplified recruitment efforts, DOC has also been securing improved staffing levels for each housing area to ensure better staff to inmate ratios and appropriate staffing for intensive programming efforts. The past three graduating classes of the DOC Academy have been the largest in history, with over 700 graduates in the most recent class. The Department is also implementing targeted training efforts including Mental Health First Aid to provide officers with the skills needed to better identify and address the needs of unique populations. By moving away from one-size-fits-all responses and offering targeted training and services to DOC staff and inmates, the Department is successfully reducing serious violence in its restart areas and better meeting the needs of those in DOC custody.

## 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 order to enhance safety for both staff and inmates, DOC has continued to roll out reforms and trainings to improve responses to maladaptive behavior through crisis management and de-escalation. Through training in Mental Health First Aid, Cognitive Behavioral Therapy, Dialectical Behavior Therapy and other interventions, Correctional Officers working with special populations are now better equipped to respond to incidents. Through targeted training, the Department has achieved improved staff-inmate interactions in terms of crisis management, de-escalation, conflict resolution and general communication. These have combined to stabilize inmate assaults on staff, as the number and rate of assaults on staff remained unchanged at 341 and 8.8 per 1,000 ADP, respectively, during the first four months of Fiscal 2017.
- While inmate assaults on staff have stabilized, jail-based arrests of inmates increased by three percent from last year. The Department is committed to disciplining inmates who assault staff members and pursuing their arrest and prosecution by the District Attorney. The most common reasons for jail-based arrests of inmates involved possession of contraband and assaults on staff. While searches continued to drop (by eight percent), the effectiveness of searches continues to improve, with 43 percent more weapons recovered than in the same timeframe last year. 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. 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.
- While staff-inmate incidents have improved, the Department faces challenges in regards to inmate-on-inmate incidents. Stabbings and slashings increased by 21 percent while inmate fights increased by 27 percent compared to the same time period last year. The percentage of the population in a Security Risk Group (SRG) has increased to 14.4 percent, compared to 12.4 percent last year. Historically, SRG-associated inmates are involved in disproportionately more violent incidents and were involved in nearly 70 percent of jail incidents during the reporting period in Fiscal 2017. There has also been an increase in the use of difficult-to-detect titanium and ceramic blades, contributing to more stabbings and slashings. Challenges related to inmate-inmate interaction have also emerged from the Department's ambitious new reforms, which include eliminating punitive segregation for adolescents and drastically reducing its usage for the remainder of the population. On October 11, 2016, it was eliminated for young adults as well. The elimination of punitive segregation for these populations has contributed to initial spikes in violence. However, as the DOC continues to develop its therapeutic alternative housing options, the Department expects to see positive outcomes. In an attempt to offer age-appropriate services and programs to the young adult population, DOC undertook an initiative to house the majority of young adults in the George Motchan Detention Center (GMDC). Historically, young adults have also been involved in disproportionately more violent incidents, and as such, this housing structure resulted in higher rates of violence. The Department is adjusting this model to implement young adult housing only for those who are in lower-risk classifications, interested in programming and education and/or are in alternative housing units for infractions. For the remainder, the Department has continued to explore the use of blended housing (a mix of adults and young adults), which has shown more success in reducing violence. While the number and rate per 1,000 ADP of violent inmate-on-inmate incidents increased during this time period, the number of serious injuries to inmates as a result of assaults and fights decreased by nine percent due to the implementation of the Incident Command System (ICS), which has led to improved response.
- Since the implementation of the Department's anti-violence reform agenda, there has also been a focus 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 measures have resulted in significant reductions in uses of force resulting in serious and minor injury. Compared to the same time period last year, uses of force with serious injury and uses of force with minor injury per 1,000 ADP declined by 17 percent and 18 percent, respectively. Uses of force with no injury per 1,000 ADP increased by three percent while total uses of force declined by six percent. DOC has also finalized new use of force policies and trainings in line with

US Department of Justice recommendations. The new policy will be effective in September 2017. During the first four months of Fiscal 2017, DOC began training staff in the new policy and defensive tactics.

- While the number of inmate health clinic visits decreased by only 2.6 percent from the same time period last year, the average clinic waiting time decreased by 24 percent, from 33 minutes to 25 minutes. In September, the facilities' clinics implemented daily shift meetings between DOC and NYC Health + Hospitals (H + H) that enable the communication of priority as well as the staffing support required, with the goal of identifying the individuals that need to be seen and ensuring they are seen as quickly as possible. Through these efforts, as well as shifting to a no-escort policy for certain areas and classifications to go to the clinics, waiting times have improved by 24 percent. In addition to services provided in the clinic, DOC and H + H continue to focus on developing and expanding collaborative programs that promote preventive and 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).
- Through intensive efforts to improve the timely transport of inmates to court, DOC achieved a 10.7 percentage point improvement in on-time court delivery, up to 98.3 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 buses, 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.
- A key component of the Department's reform agenda is developing vocational, educational and mental health programming to improve reentry outcomes. In line with this goal, the Department, in collaboration with the Fortune Society and Osborne Association, expanded the I-CAN program in October 2015. The 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 services in newly created I-CAN housing areas. This expansion has resulted in a 107 percent increase in enrollments and a 113 percent increase in workshops compared to the same timeframe last year. Higher incident levels in the Robert N. Davoren Complex (RNDC) and GMDC contributed to a 9.8 percent decrease in the average daily attendance in school programs. 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 daily school attendance.
- Compared to July through October of Fiscal 2016, there was a 153 percent increase in the average daily number of inmates in vocational skills training programs. This can be attributed to the I-CAN expansion as well as two new departmental initiatives - Industry Recognized Training (IRT) and Trading Futures. IRT offers adolescents and young adults certification courses such as OSHA, food handler and CPR, while Trading Futures offers inmates introductory courses in various trades such as carpentry, cosmetology, culinary arts, and basic electric work. In addition to expanding programming, the Department is working to ensure that programs are tailored to the age- and health- specific needs of the populations in custody. Through the housing of young adults in GMDC, the Department has developed program-specific housing that addresses the unique developmental, educational and vocational needs of young adults. These housing units offer up to 40 hours per week in programming, such as high school diploma or equivalency education, higher education, animal training and horticultural education. Individuals in Mental Observation (MO) housing are also offered clinical and trauma-informed programming including art therapy, pet therapy and acting and writing classes.

# 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.

Performance Indicators	Actual			Target		4-Month Actual	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
Admissions	77,141	67,672	63,758	*	*	22,081	19,944
Average daily population	11,408	10,240	9,790	*	*	9,694	9,744
Average daily population - adolescent inmates	489	216	187	*	*	181	197
Inmates in Security Risk Group (% ADP)	8.2%	11.8%	13.3%	*	*	12.4%	14.4%
Fight/assault infractions	8,827	9,424	11,240	*	*	3,562	4,518
Jail-based arrests of inmates	995	795	1,538	*	*	468	480
Searches	251,343	255,776	237,757	*	*	85,060	78,010
Weapons recovered	2,348	2,240	3,396	*	*	1,055	1,507
★ Violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	32.9	37.8	47.8	↓	↓	48.2	58.3
★ Serious injury to inmate(s) as a result of violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	1.8	2.5	2.5	↓	↓	2.8	2.9
★ Inmate assault on staff (monthly rate per 1,000 ADP)	5.9	8.6	7.9	↓	↓	8.8	8.8
★ Serious injury to staff as a result of inmate assault on staff (monthly rate per 1,000 ADP)	0.39	0.35	0.20	↓	↓	0.31	0.38
★ Escapes	0	0	0	↓	↓	0	0
★ Non-natural deaths of inmates in custody	2	0	0	↓	↓	0	0

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

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
Incidents of use of force - total	3,779	4,409	4,756	*	*	1,718	1,621
Incidents of use of force - adolescent inmates	624	378	594	*	*	189	282
★ Department use of force incidents with serious injury (rate per 1,000 ADP)	1.18	1.14	0.66	↓	↓	0.77	0.64
Department use of force incidents with minor injury (rate per 1,000 ADP)	13.23	15.59	15.40	*	*	18.29	14.91
Department use of force incidents with no injury (rate per 1,000 ADP)	13.19	19.14	24.42	*	*	25.25	26.04
Incidents and allegations of use of force	4,221	4,822	5,269	*	*	1,871	1,752

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

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
Inmates with a mental health diagnosis (% ADP)	38.0%	41.0%	42.0%	*	*	42.0%	42.0%
Inmates with a serious mental health diagnosis (% ADP)	10.2%	11.1%	11.0%	*	*	10.9%	11.0%
Inmate health clinic visits	77,825	81,873	78,499	*	*	28,084	27,345
★ - Average clinic waiting time (minutes)	41	34	28	↓	↓	33	25

★ 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.

Performance Indicators	Actual			Target		4-Month Actual	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
Jail-cells unavailable (short-term repair) (%)	2.8%	2.3%	2.3%	1.0%	1.0%	2.7%	2.1%
★ Population as percent of capacity (%)	86%	80%	80%	96%	96%	77%	82%

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
★ On-trial inmates delivered to court on-time (%)	94.2%	90.9%	84.0%	95.0%	95.0%	87.6%	98.3%

★ 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.

Performance Indicators	Actual			Target		4-Month Actual	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
I-CAN Referrals	4,117	3,588	6,194	*	*	1,363	NA
★ I-CAN Enrollments	2,408	2,321	4,278	*	*	1,019	2,106
I-CAN Workshops	1,580	2,065	6,505	*	*	1,522	3,238

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

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
Average daily number of inmates in vocational skills training programs	216	256	226	*	*	239	605
Average daily attendance in school programs	526	330	256	*	*	255	230
★ Inmates participating in skills-building activities/discharge planning (%)	10.3%	10.5%	8.7%	10.0%	10.0%	NA	NA

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

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

Goal 3a Provide timely notifications to crime victims.

Performance Indicators	Actual			Target		4-Month Actual	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
Victim Identification Notification Everyday (VINE) system registrations	15,291	15,159	15,440	*	*	4,899	5,475
VINE confirmed notifications	18,445	19,330	21,993	*	*	6,710	7,964

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## AGENCY-WIDE MANAGEMENT

Performance Indicators	Actual			Target		4-Month Actual	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
Collisions involving City vehicles	104	103	107	*	*	27	31
Workplace injuries reported	3,599	2,417	2,222	*	*	722	1,045
Accidents involving inmates	38	44	43	*	*	16	19

## AGENCY CUSTOMER SERVICE

Performance Indicators	Actual			Target		4-Month Actual	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
Customer Experience							
Letters responded to in 14 days (%)	99.6%	99.4%	99.3%	*	*	98.1%	100.0%
E-mails responded to in 14 days (%)	100.0%	100.0%	100.0%	*	*	100.0%	100.0%

## AGENCY RESOURCES

Resource Indicators	Actual			Sept. 2016 MMR Plan	Updated Plan	Plan	4-Month Actual	
	FY14	FY15	FY16	FY17	FY17 <sup>1</sup>	FY18 <sup>1</sup>	FY16	FY17
Expenditures (\$000,000) <sup>2</sup>	\$1,103.1	\$1,162.1	\$1,307.6	\$1,392.3	\$1,402.5	\$1,440.8	\$430.6	\$469.3
Revenues (\$000,000)	\$21.8	\$20.8	\$22.9	\$20.5	\$20.5	\$20.5	\$7.4	\$7.0
Personnel (uniformed)	8,922	8,756	9,832	10,336	10,336	10,420	9,057	9,477
Personnel (civilian)	1,397	1,491	1,676	2,232	2,238	2,238	1,499	1,680
Overtime paid (\$000,000)	\$139.1	\$196.3	\$275.2	\$137.6	\$139.4	\$171.4	\$83.1	\$90.8
Capital commitments (\$000,000)	\$124.8	\$153.6	\$81.5	\$316.5	\$579.8	\$989.8	\$7.6	\$13.3

<sup>1</sup>January 2017 Financial Plan      <sup>2</sup>Expenditures include all funds      "NA" - Not Available in this report

## NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- As of September 1, 2016, the Department completed expansion of the I-CAN program and 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. Four-month Fiscal 2017 referral figures are not yet available. Reporting for I-CAN program referrals will be revised in the full-year Fiscal 2017 Mayor's Management Report.

## 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) .

