



## 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 9,200 individuals.

## FOCUS ON EQUITY

DOC is committed to enhancing all facets of its role in providing care, custody, and control for inmates. Utilizing a multi-pronged approach to improve staff, inmate, and public safety, the Department is working to reduce violence, create targeted management approaches for the diverse populations in its care and offer opportunities that promote positive reentry outcomes. Guided by its 14-Point Anti-Violence Reform Agenda, as well as ongoing work with the Nunez Federal Monitor, the Department has implemented substantive reforms informed by, and contributing to, correctional best practice. These reforms include significant reduction in the use of punitive segregation and development of holistic approaches to behavior management; improved staff to inmate ratios; enhanced staff training in Mental Health First Aid, Safe Crisis Management, and de-escalation; and expansion of inmate programming designed to reduce idleness and promote skills development towards post-release success. As a result, the first four months of Fiscal 2018 have shown a considerable decrease in inmate-on-inmate violence, which represented a challenge for the Department in recent years. This reduction in violence contributes to improved facility safety and ensures that individuals in custody have greater access to opportunities that promote beneficial long-term outcomes. The Department will work to refine, expand, and sustain those policies and programs that have demonstrated a positive impact for staff and inmates.

## 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

- DOC is committed to ensuring the safety and security of its facilities. While inmate on inmate violence has presented a challenge in recent years, the first four months of Fiscal 2018 showed improvement in this area. Violent inmate on inmate incidents (monthly rate per 1,000 ADP) declined by 6.4 percent compared to the same period last year. This includes a 41.3 percent decrease in stabbings and slashings and an 11 percent decrease in inmate fights. Staff training in de-escalation and conflict resolution and efforts to mediate conflicts have played a major role. Additionally, inmate programs to address problematic behavior including counseling, anger management, and community meetings have fostered healthier relationships.
- The Department also increased searches by 21 percent, deterring possession and use of weapons. DOC continues to prioritize the elimination of contraband from its facilities, enhancing search tactics through the addition of new surveillance cameras, improved technology and heightened front gate procedures. A 6.8 percent decrease in weapons recovered indicates a reduction in the smuggling of contraband into facilities. However, the detection of small blades and other hard-to-find weapons remains a challenge and can best be accomplished through body scanners, which remain prohibited for non-medical use by New York State law. The Department continued to refine housing strategies for targeted populations. In order to address safety challenges related to young adult co-location, the Department now houses only those young adults with lower risk classifications, interested in programming or in alternative housing for infractions in the George Motchan Detention Center (GMDC). Additionally, collaboration of uniformed, programming and clinical staff in specialized units, focusing on problematic individuals who account for a high percentage of departmental violence, has yielded positive results. Alongside this reduction in violence, there was a 21.1 percent decrease in serious injuries to inmates as a result of inmate on inmate incidents.
- These departmental improvements have also contributed to a 4.4 percent decline in the number of assaults on staff, with a 2.9 percent decrease in inmate assaults on uniformed staff and a 20 percent decrease in inmate assaults on civilian staff. Increased staffing levels in program areas have significantly reduced assaults on civilian staff, while better staff to inmate ratios department-wide have improved safety overall. Additionally, enhanced training in topics such as Mental Health First Aid, de-escalation, and crisis management has equipped staff with tools to better respond to maladaptive behavior, improving staff-inmate interaction. There were two more cases of serious injuries to staff as a result of inmate assaults compared to last year, accounting for a 21.1 percent increase. Recognizing the importance of providing quality medical treatment to staff and mitigate risk of injury due to assaults, the Department opened Officer Treatment Areas in the majority of its jails in September, affording officers safe, secure environments for treatment.
- Through ongoing work with the Nunez Federal Monitor, the Department has continued its efforts to minimize unnecessary and excessive use of force by providing extensive training to staff and updating its policies to better align with best practice. Staff trainings in behavioral interventions, de-escalation and response protocols aim to ensure that use of force is only applied when necessary, assure that the most appropriate means are used to resolve situations, minimize use of force that involves physical encounters, and, when force is warranted, ensure that the least restrictive means possible are used to achieve compliance. While overall uses of force remained stable, there was an increase in uses of force resulting in injury. The Department is addressing this issue through its new use of force policy, which became effective at the end of this reporting period, on September 27, 2017. The majority of the Department's active duty staff have now received Special Tactics and Responsible Techniques (START) training, which consists of one day training on the new Use of Force policy, and three days of interactive Defensive Tactics training. START training reinforces the continuum of force options and the necessity of proportional responses to inmate resistance. Throughout the life of the Consent Judgment, the Department has focused on two types of force: (1) use of chemical agents and (2) control holds and soft hand techniques. Through revisions to the Use of Force and Chemical Agents policies, and new and revised training curricula, the Department has reinforced that at times, control holds or soft hand techniques may be more appropriate to the type and level of resistance than the use of chemical agents. As such, the Department saw a 28 percent decrease in uses of force involving chemical agents. Working with the Nunez Federal Monitor, the Department has prioritized reductions in uses of force involving adolescents and young adults. As a result, there was a 49 percent decrease in uses of force involving adolescents. GMDC, which houses approximately 50 percent of DOC's young adults, experienced a 61 percent reduction in uses of force.
- During this period, the number of health clinic visits decreased by 5.7 percent. While this decrease is in part attributed to the decreasing in-custody population, it has also coincided with an increased production in connections to medical

and mental health services. DOC and Health + Hospitals (H + H) established the Consolidated List Initiative in August 2017, enabling patients to schedule appointments with multiple specialists during one visit. This has driven down the number of clinic visits, decreased waiting times, and improved operational efficiency. The Department has also continued to enhance its preventive services. As a part of the ThriveNYC initiative, in collaboration with the Department of Health and Mental Hygiene, DOC has been training officers as well as inmates in Mental Health First Aid. The training helps participants grow their knowledge of mental illnesses, learn how to identify resources for those in need, increase their likelihood to help individuals in distress, and show increased mental wellness themselves.

- On-time court delivery remained stable at 98.2 percent, exceeding the Department's target of 95 percent. DOC continued practices such as surveillance and monitoring of on-trial inmates, ongoing communication between the Transportation Division and facility managers, and high frequencies of bus departures to maintain this level of timely court transportation.
- The Department continues to strengthen programming to improve reentry outcomes. As such, the average daily number of participants in vocational skills training increased by 39.1 percent. Through the Workforce Development unit of the Division of Youthful Offender Programming, adolescents and young adults earned 380 industry-recognized certifications such as Occupational Safety and Health Administration (OSHA), Food Handler, and CPR, and 371 certificates for completion of introductory training in courses such as Plumbing, Culinary Arts, and Digital Literacy. Since August 2016, youth programming has been coupled with reentry services offered by Friends of Island Academy, facilitating in-custody engagement and connection to post-release services. DOC's Adult Programming Division rolled out its Specialized Model for Adult Reentry and Training (SMART) initiative in Fall 2017, offering pre- and post-release programming and services in work readiness, behavioral interventions, housing, and job placement, as well as targeted services for women and veterans. Individuals participating in SMART also have access to industry-recognized certifications in OSHA, Flagging, and CPR, as well as hands-on classes such as electrical and plumbing. The I-CAN program continues to provide comprehensive reentry services including job readiness, hard-skills training, and post-release employment assistance.
- As idleness reduction plays a significant role in minimizing violence, the Department is committed to offering five hours of programming for all inmates by the end of Calendar 2018. Thus far, 90 percent of all youthful offender houses and 89 percent of adult General Population units have achieved this goal. In Fiscal 2018, there has been a 10.9 percent increase in I-CAN enrollments and 51.4 percent increase in I-CAN workshops. New workshops introduced recently include Building Relationships, Community Violence, and 24-7 Dads. There was a 10 percent reduction in average daily attendance in school programs, alongside a 30.5 percent decrease in the average daily population of adolescents. In addition to high school education offered through the Department of Education, inmates are also offered college coursework through Manhattan College and St. John's University. DOC's institution of an incentive system for young adults and adolescents has strongly encouraged program participation for these two groups.

## 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	
	FY15	FY16	FY17	FY18	FY19	FY17	FY18
Admissions	67,672	63,758	58,226	*	*	19,944	18,459
Average daily population	10,240	9,790	9,500	*	*	9,744	9,180
Average daily population - adolescent inmates	216	187	167	*	*	197	137
Inmates in Security Risk Group (% ADP)	11.8%	13.3%	14.7%	*	*	14.4%	14.9%
Fight/assault infractions	9,424	11,240	12,650	*	*	4,518	3,997
Jail-based arrests of inmates	795	1,538	1,126	*	*	480	345
Searches	255,776	237,757	246,822	*	*	78,010	93,979
Weapons recovered	2,240	3,396	3,976	*	*	1,507	1,405
★ Violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	37.8	47.8	55.2	↓	↓	58.3	54.6
★ Serious injury to inmate(s) as a result of violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	2.5	2.5	2.7	↓	↓	2.9	2.3
★ Inmate assault on staff (monthly rate per 1,000 ADP)	8.6	7.9	8.4	↓	↓	8.8	8.9
★ Serious injury to staff as a result of inmate assault on staff (monthly rate per 1,000 ADP)	0.35	0.20	0.24	↓	↓	0.38	0.46
★ Escapes	0	0	0	↓	↓	0	1
★ Non-natural deaths of inmates in custody	2	2	0	↓	↓	0	0
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target	* None				

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY15	FY16	FY17	FY18	FY19	FY17	FY18
Incidents of use of force - total	4,409	4,756	4,673	*	*	1,621	1,631
Incidents of use of force - adolescent inmates	378	594	531	*	*	282	143
★ Department use of force incidents with serious injury (rate per 1,000 ADP)	1.14	0.68	0.75	↓	↓	0.77	1.55
Department use of force incidents with minor injury (rate per 1,000 ADP)	15.59	15.39	14.70	*	*	14.88	16.89
Department use of force incidents with no injury (rate per 1,000 ADP)	19.14	24.41	25.52	*	*	25.94	25.98
Incidents and allegations of use of force	4,822	5,269	5,070	*	*	1,752	1,786
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target	* None				

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY15	FY16	FY17	FY18	FY19	FY17	FY18
Inmates with a mental health diagnosis (% ADP)	41%	42%	42%	*	*	42%	NA
Inmates with a serious mental health diagnosis (% ADP)	11.1%	11.0%	10.3%	*	*	11.0%	11.8%
Inmate health clinic visits	81,873	78,499	79,844	*	*	27,345	25,782
★ - Average clinic waiting time (minutes)	34	28	22	↓	↓	25	21
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target	* None				

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY15	FY16	FY17	FY18	FY19	FY17	FY18
Jail-cells unavailable (short-term repair) (%)	2.3%	2.3%	2.6%	1.0%	1.0%	2.1%	3.8%
★ Population as percent of capacity (%)	80%	80%	81%	96%	96%	82%	79%
★ Critical Indicator	"NA" Not Available	↕↔ Directional Target					* None

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY15	FY16	FY17	FY18	FY19	FY17	FY18
★ On-trial inmates delivered to court on-time (%)	90.9%	84.0%	98.4%	95.0%	95.0%	98.3%	98.2%
★ 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.

Performance Indicators	Actual			Target		4-Month Actual	
	FY15	FY16	FY17	FY18	FY19	FY17	FY18
★ I-CAN Enrollments	2,321	4,278	7,569	*	*	2,106	2,335
I-CAN Workshops	2,065	6,505	12,002	*	*	3,238	4,902
★ Critical Indicator	"NA" Not Available	↕↔ Directional Target					* None

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY15	FY16	FY17	FY18	FY19	FY17	FY18
Average daily number of inmates in vocational skills training programs	256	226	419	*	*	261	416
Average daily attendance in school programs	330	256	203	*	*	230	207
★ Inmates participating in skills-building activities/discharge planning (%)	10.5%	8.7%	14.0%	10.0%	10.0%	NA	NA
★ 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.

Performance Indicators	Actual			Target		4-Month Actual	
	FY15	FY16	FY17	FY18	FY19	FY17	FY18
Victim Identification Notification Everyday (VINE) system registrations	15,159	15,440	17,288	*	*	5,475	5,772
VINE confirmed notifications	19,330	21,993	25,250	*	*	7,964	8,661
★ Critical Indicator	"NA" Not Available	↕↔ Directional Target					* None

## AGENCY-WIDE MANAGEMENT

Performance Indicators	Actual			Target		4-Month Actual	
	FY15	FY16	FY17	FY18	FY19	FY17	FY18
Collisions involving City vehicles	103	107	116	*	*	31	45
Workplace injuries reported	2,417	2,222	3,435	*	*	1,045	1,194
Accidents involving inmates	44	43	35	*	*	19	11
★ Critical Indicator    "NA" Not Available    ⇅ Directional Target    * None							

## AGENCY CUSTOMER SERVICE

Performance Indicators	Actual			Target		4-Month Actual	
	FY15	FY16	FY17	FY18	FY19	FY17	FY18
Customer Experience							
Letters responded to in 14 days (%)	99.4%	99.3%	100.0%	*	*	100.0%	100.0%
E-mails responded to in 14 days (%)	100.0%	100.0%	100.0%	*	*	100.0%	100.0%
★ Critical Indicator    "NA" Not Available    ⇅ Directional Target    * None							

## AGENCY RESOURCES

Resource Indicators	Actual			Sept. 2017 MMR Plan	Updated Plan	Plan	4-Month Actual	
	FY15	FY16	FY17	FY18	FY18 <sup>1</sup>	FY19 <sup>1</sup>	FY17	FY18
Expenditures (\$000,000) <sup>2</sup>	\$1,162.1	\$1,307.6	\$1,368.6	\$1,444.5	\$1,449.7	\$1,404.5	\$469.3	\$479.7
Revenues (\$000,000)	\$20.8	\$22.9	\$22.7	\$20.5	\$20.5	\$20.5	\$7.0	\$7.1
Personnel (uniformed)	8,756	9,832	10,862	10,420	10,427	9,967	9,477	10,495
Personnel (civilian)	1,491	1,676	1,830	2,243	2,264	2,281	1,680	1,849
Overtime paid (\$000,000)	\$196.3	\$275.2	\$266.4	\$171.4	\$171.4	\$157.2	\$90.8	\$74.7
Capital commitments (\$000,000)	\$153.6	\$81.5	\$60.6	\$1,411.3	\$1,739.5	\$233.4	\$13.3	\$4.2
<sup>1</sup> February 2018 Financial Plan <sup>2</sup> Expenditures include all funds    "NA" - Not Available								

## 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 FY17 <sup>1</sup> (\$000,000)	February 2018 Financial Plan FY18 <sup>2</sup> (\$000,000)	Applicable MMR Goals <sup>3</sup>
Personal Services - Total	\$1,182.7	\$1,260.3	
001 - Administration	\$107.7	\$104.5	All
002 - Operations	\$1,075.0	\$1,155.8	All
Other Than Personal Services - Total	\$185.9	\$189.4	
003 - Operations	\$172.1	\$171.7	All
004 - Administration	\$13.9	\$17.7	All
Agency Total	\$1,368.6	\$1,449.7	
<sup>1</sup> Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2017. Includes all funds. <sup>2</sup> Includes all funds. <sup>3</sup> Refer to agency goals listed at front of chapter.			

## NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- Fiscal 2017 figures for the indicators 'Department use of force incidents with serious injury (rate per 1,000 ADP),' 'Department use of force incidents with minor injury (rate per 1,000 ADP)' and 'Department use of force incidents with no injury (rate per 1,000 ADP)' have been revised to reflect current data.
- Following an internal audit, adjustments were made to Fiscal 2017 figures for the indicator 'Average daily number of inmates in vocational skills training programs.' The initial numbers overstated participation in vocational training as they were based on total participation in I-CAN hard skills as opposed to average daily participation.

## 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) .

