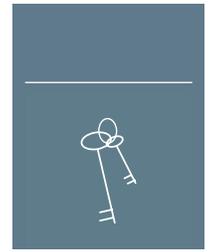


DEPARTMENT OF CORRECTION

Cynthia Brann, Commissioner



WHAT WE DO

The Department of Correction (DOC) provides for the care, custody and control for those in the Department's custody, including individuals 17 years of age and older who are accused of crimes and are awaiting trial, who have been convicted and sentenced to less than one year of incarceration, and persons held on state parole warrants. Pursuant to New York's Raise the Age law, 16- and 17-year olds were removed from Rikers Island prior to October 1st, 2018. The Department currently operates 11 correctional facilities, court holding facilities in each of the five boroughs and 2 hospital prison wards. Through the end of the reporting period in Fiscal 2020, the Department processed 23,317 admissions and managed a combined average daily population (ADP) of approximately 5,800 individuals. Guided by its 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 practices. These reforms include significant reduction in the use of punitive segregation and development of holistic approaches to behavior management; improved staffing ratios; enhanced staff training in Mental Health First Aid, Safe Crisis Management and de-escalation; and expansion of programming for those in custody that is designed to reduce idleness and promote skills development towards post-release success.

FOCUS ON EQUITY

The Department is committed to operating a system that is safe, humane and produces positive outcomes for those in its custody. While the Department doesn't make the decision about who to incarcerate or play a role in how someone ends up in one of its facilities, the Department is committed to helping everyone achieve a future with less involvement in the justice system. It is the Department's primary equity goal to provide those in its custody and care with the resources they need to overcome the challenges that may have brought them into contact with the justice system in the first place. This includes facilitating access to education, substance abuse services, mental health treatment, and vocational training that will equip individuals for a better future upon release. These measures function to counterbalance inherent disparities among those who come through the Department's doors by providing services to fill gaps in education, job readiness, and health. This approach also extends to access to emotional wellness services, where the Department ensures all those in custody have access to counselors and mental health services as well as follow-up care. The Department likewise acknowledges that many of these services are only valuable if they are continued upon release. As such, the Department specifically partners with community organizations that provide in-person services in locations throughout the city to allow continuity of care with providers in individuals' home neighborhoods. This enables those in custody to continue any treatment or support they were receiving while incarcerated when they are back in their own communities.

The Department is also working on expanding its mission from one limited to public safety to one that is focused on transforming lives and building safer communities. With these additional goals, the Department seeks to utilize best correctional practices to ensure that it creates a safe and supportive environment where staff acts with integrity and professionalism while providing individuals in the Department's care with a path to successful community reintegration. This path includes areas that traditionally have disparate impacts on sectors of the population including education, jobs, and healthcare. The Department is dedicated to its new mission and will continue to ensure that those who come into its doors are safe and have the tools they need to address barriers to successful reentry.

OUR SERVICES AND GOALS

SERVICE 1 Provide a safe and secure environment for individuals in custody, staff and host communities.

- Goal 1a Ensure the security and safety of individuals in DOC custody.
- Goal 1b Ensure that use of force is authorized and appropriate.
- Goal 1c Provide individuals in custody 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 individuals in custody to courts throughout the City.

SERVICE 2 Prepare individuals in custody for return to their neighborhoods as civil and contributing members.

- Goal 2a Prepare as many individuals in custody 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 participation of individuals in custody 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 2020

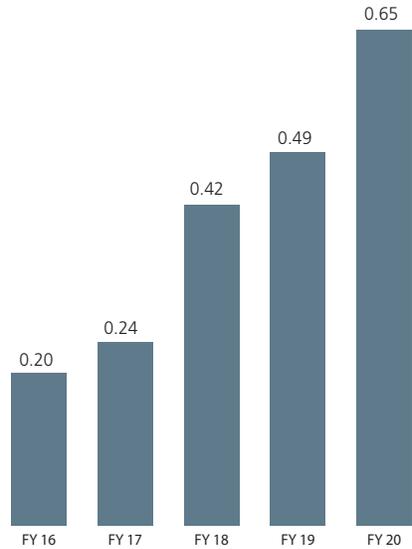
SERVICE 1 Provide a safe and secure environment for individuals in custody, staff and host communities.

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

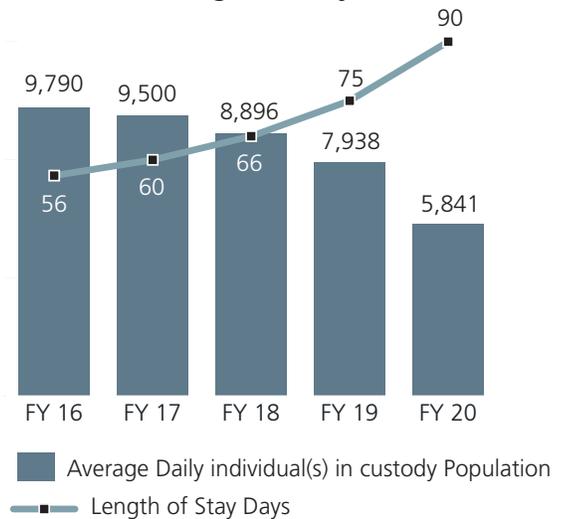
The Department is committed to ensuring the safety and security of its facilities. However, as legislation diverting low-level, non-violent offenders has gone into effect and the Department's overall population has declined, to historic levels due to intentional efforts by the City and others in response to COVID-19, the Department has found itself managing a particularly challenging population made up of individuals charged with more serious offenses, who are more frequently affiliated with gangs, and who are more violent while incarcerated. From Fiscal 2019 to Fiscal 2020 the percent of individuals in custody in a security risk group rose 2.1 percentage points. The growth in the rate of violent incidents among people in custody was 16.3 percent, and the number of slashing and stabbings incidents increased 16 percent, from 106 to 123. The sheer scale of the population reduction experienced over the past year, from 7,367 at the start of Fiscal 2020 to 3,927 at the end, has also greatly impacted the rate of many violence indicators. The Department recognizes its obligation to meet the needs of any population under its care and is working tirelessly to meet these increased challenges. To that end, the Department continues to support its young adult population, especially those who frequently become involved in violent activity. This includes partnering with community-based groups who specialize in providing services to young adults who are at high-risk for violence. In an effort to reduce violent behavior, the Department will be implementing a case management approach to programming, targeting an individual's specific criminogenic risks and devising an individualized plan to better support their needs. COVID-19 has made the launch of this new initiative difficult as the Department suspended in-person programming efforts in an effort to reduce risk of transmission. However, the Department looks forward to resuming it once it is safe to do so.

During the reporting period, the Department made several changes to the way serious injuries are classified and tracked. This includes introducing a revised serious injury policy, implementing a data sharing protocol to fully capture the final determinations of all potentially serious injuries with its health partner, Correctional Health Services (CHS), and expanding the definition of injuries that could be categorized as serious. The Department updated its serious injury forms to more clearly capture the type of injury that occurred. Revised forms, policy, and data protocol, were guided by recommendations from the Board of Correction as well as new requirements in the Board's rule on serious injury reporting. As a result, the Department experienced an expected rise in reported serious injuries and accidents involving individuals in custody as these changes were put into place. The rate of serious injuries to individuals as a result of a violent incident among people in custody rose by 284 percent from Fiscal 2019 to Fiscal 2020.

Serious Injury to Staff as a Result of individual(s) in custody Assault on Staff (monthly rate per 1,000 ADP)



Individual(s) in custody Population and Length of Stay



DOC continues to prioritize the elimination of contraband from its facilities and to monitor its facilities through the use of approximately 14,000 cameras and the work of the Special Search Unit to support routine and event-driven searches throughout the Department. As expected, given the significant decrease in population and thus fewer open housing units, between Fiscal 2019 and Fiscal 2020 searches decreased by 14.2 percent and the total weapons recovered decreased by 15.4 percent. This result continues an improving trend in overall weapons found in DOC's facilities and indicates a reduction of the smuggling in of weapon contraband. While the number of searches and contraband recovered has decreased due to population changes, the Department's use of body scanning technology in Fiscal 2020 has increased the detection of small blades, non-metallic objects, and other hard-to-find weapons that have historically been a challenge to discover.

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
Admissions	63,758	58,226	49,455	39,420	23,317	*	*	Down	*
Average daily population	9,790	9,500	8,896	7,938	5,841	*	*	Down	Down
Individuals in custody in Security Risk Group (% ADP)	13.3%	14.7%	15.4%	16.4%	18.5%	*	*	Up	Down
Fight/assault infractions	11,240	12,650	12,047	12,008	11,191	*	*	Neutral	Down
Jail-based arrests of individuals in custody	1,538	1,126	742	490	258	*	*	Down	Down
Searches	237,780	246,822	308,063	328,750	282,048	*	*	Up	*
Weapons recovered	3,460	3,976	3,676	2,882	2,439	*	*	Down	*
★ Violent incidents among individuals in custody (monthly rate per 1,000 ADP)	47.8	55.2	55.9	68.9	80.1	↓	↓	Up	Down
★ Serious injury to individuals in custody as a result of violent incidents among individuals in custody (monthly rate per 1,000 ADP)	2.5	2.7	2.0	2.5	9.6	↓	↓	Up	Down
★ Assault on staff by individual in custody (monthly rate per 1,000 ADP)	7.9	8.4	9.2	12.5	15.8	↓	↓	Up	Down
★ Serious injury to staff as a result of assault on staff by individual in custody (monthly rate per 1,000 ADP)	0.20	0.24	0.42	0.49	0.65	↓	↓	Up	Down
★ Escapes	0	0	1	1	2	↓	↓	Up	Down
★ Non-natural deaths of individuals in custody	2	1	1	2	0	↓	↓	Down	Down
Stabbings and Slashings	131	165	96	106	123	*	*	Down	Down
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target			* None				

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

The Department remains dedicated to ensuring that use of force is used only in circumstances where it is authorized and appropriate. Due to the historic population reduction seen over the last fiscal year, the Department has seen notable changes in the composition of the population in custody, with a higher concentration of individuals with higher charges and more challenging management needs. Coupled with a smaller overall population, these trends have likely impacted the overall use of force rates contained in this section. However, it is important to note that total incidents of use of force increased minimally, by just 2 percent, between Fiscal 2019 and Fiscal 2020. Given the challenges the Department faces with a changing population that has more violent charges and is of a higher security risk, this limited increase is significant as compared to the increase of 28.9 percent from the previous year. Incidents and allegations of use of force have likewise decreased between Fiscal 2019 and Fiscal 2020 and notably, incidents that result in no injury comprise a larger share of all use of force incidents in this past year. In addition, over the last quarter, the Department has seen a decrease in monthly UOF incidents, with notable decreases in April and sustained declines through the summer. This is a positive trend resulting from ongoing training on culture change and monitoring to ensure staff is using the appropriate amount of force.

The Department continues to reinforce its use of force policy, developed in 2016, through a variety of initiatives including additional trainings, mentorship programs, and evaluation by the Investigation Division. At the same time, the Department continues its efforts to reduce unnecessary use of force and the situations that may give rise to force. Over this reporting period this has included the introduction of an all-new training program known as Outward Mindset that seeks meaningful culture change through connecting facility safety with a human approach to jail management. Through this shift towards an outward mindset, staff will be supported in conduct and engagement that does not generate situations that necessitate the use of force, which will in turn create an environment where force as a path towards compliance and safety is needed less frequently. The Department began training in January, and after a pause due to COVID, has resumed training on a

modified schedule. Once fully implemented, these efforts will be complemented by a wide array of initiatives being designed in concert with the Nunez Monitor to further reduce unnecessary force. This includes improvements to the incentives and rewards system for young people in custody, further commitment to best correctional practices such as steady staffing, re-evaluation of incident response policies, and more robust supervisory support of captains in their everyday work. The Department is working to implement these solutions in the coming months and believes they will further the broader goals contained in this section.

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
Incidents of use of force - total	4,756	4,673	5,175	6,670	6,806	*	*	Up	Down
★ Department use of force incidents with serious injury (rate per 1,000 ADP)	0.68	0.75	1.52	1.56	2.63	↓	↓	Up	Down
Department use of force incidents with minor injury (rate per 1,000 ADP)	15.41	14.75	17.43	19.51	17.79	*	*	Up	Down
Department use of force incidents with no injury (rate per 1,000 ADP)	24.43	25.47	29.57	49.03	77.95	*	*	Up	Down
Incidents and allegations of use of force	5,269	5,070	5,589	7,064	7,047	*	*	Up	Down
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target				* None			

Goal 1c Provide individuals in custody with timely access to health services.

With its CHS partners, the Department continues to prioritize providing individuals in its custody with the best medical care possible. During Fiscal 2020, the Department facilitated over 52,000 visits to the clinic. The Department's effort to increase access to healthcare is further evidenced by the average clinic wait time decreasing nearly 6 percent since Fiscal 2019, to an average of 17 minutes. As the proportion of the Department's population with a mental health diagnosis increases, up to 46 percent in Fiscal 2020, access to these services is critical. The Department works closely with CHS to immediately identify who needs medical care and responds to their specific needs accordingly.

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
Individuals in custody with a mental health diagnosis (% ADP)	42%	42%	43%	45%	46%	*	*	Up	*
Individuals in custody with a serious mental health diagnosis (% ADP)	11.0%	10.3%	14.3%	16.8%	14.8%	*	*	Up	*
Individual in custody health clinic visits	78,499	79,844	76,856	81,405	52,146	*	*	Down	*
★ – Average clinic waiting time (minutes)	28	22	21	18	17	↓	↓	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.

Due to legislative changes and the release of high-risk vulnerable individuals due to COVID-19, the Department's population continues to decline. As a result, the percentage of open beds that incarcerated individuals occupy has likewise declined, demonstrated by the 63 percent occupancy of population bed capacity in Fiscal 2020. This is expected as the Department plans to transition to the borough-based jail system.

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
Jail-cells unavailable (short-term repair) (%)	2.3%	2.6%	3.7%	3.7%	4.3%	1.0%	1.0%	Up	Down
★ Population as percent of capacity (%)	80%	81%	77%	72%	63%	96%	96%	Down	*
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target				* None			

Goal 1e Ensure timely transport of individuals in custody to courts throughout the City.

The Department remains committed to ensuring individuals arrive at their court dates in a timely fashion. Over the past four years the Department has exceeded its target of 95 percent on-time court productions. Between July 1, 2019 through February 29, 2020, over 96 percent of the Department’s 92,261 court deliveries were on time.

Due to COVID-19 and the closure of courts around the city and state, all court appearances occurred through videoconferences. The Department’s Information Technology Division worked tirelessly to get the Department equipped with the devices necessary to communicate effectively with courts and ensure all individuals could make their court appearances without technological difficulties. The Department currently has 58 teleconference booths available in all facilities for court hearings as well as scheduled meetings with legal representatives. From March 1, 2020 to July 1, 2020, the Department has facilitated nearly 1,800 court hearings through teleconferences.

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
★ On-trial individuals in custody delivered to court on-time (%)	84.0%	98.4%	97.7%	97.2%	96.7%	95.0%	95.0%	Up	Up
★ Critical Indicator	“NA” Not Available		↑↓ Directional Target	* None					

SERVICE 2 Prepare individuals in custody for return to their neighborhoods as civil and contributing members.

Goal 2a Prepare as many individuals in custody as possible for successful release through participation in skills-building programs including educational opportunities, jobs training, behavioral interventions and mental health services.

Studies show the most effective recidivism reduction measures target critical needs for reentry. The Department has increasingly focused its programming efforts on building skills to assist in the difficult transition back into the community. This includes discharge planning, vocational skill training and the Individualized Corrections Achievement Network (I-CAN) program. Between July 1, 2019 and February 29, 2020, over 3,000 individuals enrolled in the I-CAN program and the Department conducted over 7,600 I-CAN workshops.

As a result of COVID-19, the majority of in-person programming opportunities were suspended and replaced with remote alternatives. Counseling staff has been preparing, distributing, and collecting self-guided materials to individuals assigned to the Department’s care. This includes activity packets, interactive journaling for cognitive behavior therapy, anger management worksheets, and relapse prevention guides among others. These packets are distributed weekly to individuals’ housing units. The Department has also worked with external providers such as the I-CAN program to distribute their own self-guided material that is tailored to the specific program content. Additionally, the Programs Division created a social services request system where individuals have access to counseling sessions despite the suspension of group therapy services. The Department is proud to have been able to continue providing these vital services despite the challenges imposed by COVID-19 and plans to continue to utilize successful initiatives even when in-person services resume.

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
★ I-CAN Enrollments	4,278	7,569	7,685	4,703	3,050	*	*	Down	*
I-CAN Workshops	6,505	12,002	12,799	11,051	7,673	*	*	Neutral	*
★ Critical Indicator	“NA” Not Available		↑↓ Directional Target	* None					

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

In addition to discharge planning, the Department understands the critical importance of job readiness in the reentry process. As such, the Department provides many opportunities for individuals in custody to participate in vocational skill training. In Fiscal 2020, the Department’s average daily number of participants in vocational skills training programs was over 280 individuals. Further, from July 1, 2019 through February 29, 2020, over 20 percent of the Department’s population participated in skills building or discharge planning. These programs are widely available to people in custody, though participation is voluntary. The Department is continuing its positive trend of increased participation, with 20 percent of the population choosing to participate in discharge planning and skills building in both Fiscal 2020 and Fiscal 2019, which is a significant increase from rendering services to just under 9 percent of the population in Fiscal 2017.

Similar to other programming and services opportunities, COVID-19 impacted the Department’s ability to provide in-person discharge planning and vocational skills training. However, the Department quickly worked to develop remote opportunities to continue these essential services. With its reentry partners, the Department established a discharge planning hotline connecting those in custody with external providers to ensure continuity of care. This hotline allows those in custody to work with reentry organizations to secure necessary services such as housing, job placement, and treatment prior to discharge. The ability to continue providing these services has proven particularly significant given the increased number of releases due to COVID-19, with many of these individuals needing additional services such as follow-up medical care. Similar to reentry providers, the Department worked with its partners who teach skills training to develop self-guided materials focusing on those skills. The Department looks forward to resuming these in-person services when appropriate.

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
Average daily number of individuals in custody in vocational skills training programs	226	419	482	418	287	*	*	Up	Up
Average daily attendance in school programs	256	203	169	77	60	*	*	Down	*
★ Individuals in custody participating in skills-building activities/ discharge planning (%)	8.7%	14.0%	23.8%	20.9%	20.9%	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.

One of the Department’s key priorities is to make information readily available to the public. The Victim Identification Notification Everyday (VINE) system provides victims of crimes with access to timely and reliable offender custody information. Vine registration decreased by 20.6 percent, from 23,728 to 18,843 registrations between Fiscal 2019 and Fiscal 2020. At the same time, confirmed notifications decreased by 31.6 percent, from 43,092 to 29,484. The decreases in registration and notifications correlate with the Department’s declining admission and average daily population rates, respectively.

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
Victim Identification Notification Everyday (VINE) system registrations	15,440	17,288	22,668	23,728	18,843	*	*	Up	Up
VINE confirmed notifications	21,993	25,250	32,856	43,092	29,484	*	*	Up	Up
★ Critical Indicator	“NA” Not Available		⬆️⬇️ Directional Target	* None					

AGENCY-WIDE MANAGEMENT

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
Collisions involving City vehicles	107	110	114	125	119	*	*	Up	Down
Workplace injuries reported	2,222	3,435	3,491	4,291	4,301	*	*	Up	Down
Accidents involving individuals in custody	43	35	36	27	241	*	*	Up	Down
★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None									

AGENCY CUSTOMER SERVICE

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
Customer Experience									
Letters responded to in 14 days (%)	99.3%	100.0%	100.0%	100.0%	100.0%	*	*	Neutral	Up
E-mails responded to in 14 days (%)	100.0%	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
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	
Expenditures (\$000,000) ³	\$1,307.6	\$1,368.6	\$1,400.2	\$1,374.5	\$1,310.4	\$1,330.4	\$1,150.0	Neutral
Revenues (\$000,000)	\$22.9	\$22.7	\$21.3	\$19.9	\$12.6	\$15.5	\$13.5	Down
Personnel (uniformed)	9,832	10,862	10,653	10,189	9,237	8,949	7,219	Neutral
Personnel (civilian)	1,676	1,830	1,886	1,857	1,803	2,103	1,847	Neutral
Overtime paid (\$000,000)	\$275.2	\$266.7	\$221.7	\$180.1	\$152.7	\$157.7	\$91.2	Down
Capital commitments (\$000,000)	\$81.5	\$60.6	\$34.4	\$57.9	\$42.2	\$736.1	\$348.5	Down
¹ Actual financial amounts for the 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 FY19 ¹ (\$000,000)	Modified Budget FY20 ² (\$000,000)	Applicable MMR Goals ³
Personal Services - Total	\$1,182.0	\$1,126.0	
001 - Administration	\$113.7	\$111.5	All
002 - Operations	\$1,068.3	\$1,014.5	All
Other Than Personal Services - Total	\$192.5	\$184.4	
003 - Operations	\$176.7	\$168.2	All
004 - Administration	\$15.9	\$16.2	All
Agency Total	\$1,374.5	\$1,310.4	
¹ Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2019. Includes all funds. ² City of New York Adopted Budget for Fiscal 2020, as of June 2020. Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None			

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- Because of changes to policies and practices due to the restrictions of COVID-19, data tracking on several indicators stopped in March 2020. For the purposes of this report, we have used the data that was tracked between July 1, 2019 through February 29, 2020 and provided a summary of the remote alternative utilized from March 1, 2020 to June 30, 2020. The affected indicators are reported in goals: 1c, 1e, 2a and 2b.
- Historical data was amended in indicator charts 1a and 1b due to both changes in the way that facilities capture, track, and report data as well as changes in the way annual rates are calculated.

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.