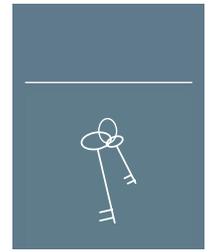


DEPARTMENT OF CORRECTION

Cynthia Brann, Commissioner



WHAT WE DO

The Department of Correction (DOC) aims to create a safe and supportive environment for individuals in our care that promotes a path to successful community reintegration. We are committed to building safe communities by investing in those who reside in our facilities, which include 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, or who are 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 10 correctional facilities, five court holding facilities in each of the boroughs, and two hospital prison wards. Through the first four months of fiscal year 2021 the Department processed 5,324 admissions and managed a combined average daily population (ADP) of just over 4,000 individuals. This reflects a significant drop from previous years as the COVID-19 pandemic both reduced the number of individuals coming into our facilities and increased opportunities for release. Guided by its Reform Agenda, as well as the ongoing work with the Nunez Federal Monitor, the Department continues to implement substantive reforms informed by, and contributing to, correctional best practices. These reforms include a 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 target individuals' specific risks and needs.

FOCUS ON EQUITY

The Department is committed to operating a safe and humane system that positively transforms the lives of those in its custody by equipping them with the resources they need to successfully reintegrate back into the community. While the Department doesn't make the decision about who to incarcerate or play a role in how someone arrives to 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 identify the underlying reasons that may have brought individuals into its custody and care through the justice system in the first place and equip them with the resources they need to overcome these challenges. 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. The Department's goal is such that individuals return to their communities with the tools needed to succeed and contribute positively to their surroundings. This approach also extends 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. The Department will continue to work with community members, advocates, staff and incarcerated individuals to further its mission of transforming lives and building safe communities.

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

- The Department remains committed to ensuring the safety and security of all those who work and reside in its facilities. During the reporting period we saw significant changes in our population resulting from both the COVID-19 pandemic and bail reform laws that went into effect on January 1, 2020. While the average daily population dropped by 41.5 percent, largely due to a 53 percent decline in admissions, the percentage of security risk group (SRG) affiliated individuals increased by 6 points and the percentage of individuals incarcerated on a violent felony charge increased by 23 points. The result of this more challenging population is that, as compared to the previous reporting period, the rate of violence among people in custody increased by 15 percent and the rate of assaults of staff increased by 23.2 percent. The Department continues work to address violence within its jails through evidence-based approaches that focus on behavior change. This includes rolling out a case management system that targets an individual's specific criminogenic risks and develops a responsive and individualized case plan to best support their needs. The Department looks forward to expanding on this initiative and bringing this approach to all facilities once the circumstances of the pandemic make it safe to do so.
- During this reporting period, the Department experienced a 21.5 percent decline in total use of force incidents. Further, of the uses of force occurring in this reporting period, those resulting in no injury continued to comprise an increasingly larger share of all uses of force. The Department remains committed to addressing the use of unnecessary and excessive force. These efforts include ongoing engagement with staff about the use of force policy, close review of all use of force incidents with staff to promote awareness and accountability and through investigations to identify any incidents when force was misused and discipline appropriately where force was misused. Further, the Department continues to educate staff on the proper uses of force through trainings and utilizes Mentoring Captains to provide guidance to line staff where improper force is observed.
- During Fiscal 2020, the Department made several changes to the way serious injuries were classified and tracked. This included introducing a revised serious injury policy, implementing a data sharing system and updating the serious injury forms to more comprehensively capture the type of injury that occurred. As a result of these changes, there was an expected rise in reported serious injuries. As compared to July through October 2019, the rate of serious injuries to individuals as a result of violent incidents, rate of serious injuries associated with a use of force and number of accidents all increased; however, the Department notes that these metrics were all impacted by the revised classification and tracking procedures, which had not yet fully taken effect during the 2019 comparison period.
- The Department prioritizes the health and wellness of all people in custody, and this is especially true in light of the pandemic. Although the number of medical clinic visits fell 74 percent in this reporting period as compared to the same time last year, this decline is attributable to an overall decrease in population and the creation of a health triage hotline which provides people in custody with high quality access to medical support without stepping foot in the clinic. During the reporting period, individuals in custody completed over 26,000 calls to a CHS phone number. Through offering this new service, the Department and CHS have made significant progress in reducing wait times for those who do need to go to clinic, with the average wait time declining from 23 minutes last reporting period to 7 minutes this reporting period.
- While this reporting period saw a drop in the total number of searches, the Department's overall practices regarding searches have not changed. However, a number of operations that require searches were modified or suspended altogether as a result of the pandemic, including in-person visits, court appearances, state custody transfers and in-person programming. In addition, as described above, the Department's overall population also significantly decreased during the reporting period. With fewer people in custody, fewer open housing units and fewer movements in and out of our facilities, searches declined by 26.5 percent.

- As a result of COVID-19, many services and operations remained paused or modified during the reporting period. To support an increased need for remote court appearances and access to counsel, the Department added over 40 additional booths to guarantee coverage in every facility and reconfigured all of its devices to be compatible with the Office of Court Administration's software. In the first quarter of this fiscal year, the Department conducted nearly 15,000 court related services, including court appearances and communications between people in custody and their attorneys. Similarly, Department staff worked with external program providers who were unable to provide in-person programming to create individually tailored self-guided packets. These packets contain material focused on programming efforts such as cognitive behavior therapy, anger management, and substance use treatment, among others. A similar process was developed with the Department of Education to ensure access to educational materials and support remained while in-person learning was suspended. The Department additionally worked with reentry providers to establish a discharge hotline for individuals to connect with providers in lieu of in-person discharge planning. While these changes inhibited the Department's ability to report on the in-person metrics as typical in this report, DOC will continue to evaluate how to provide programming and services in a safe manner while following social distancing guidelines.

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.

Performance Indicators	Actual			Target		4-Month Actual	
	FY18	FY19	FY20	FY21	FY22	FY20	FY21
Admissions	49,455	39,420	23,317	*	*	11,534	5,324
Average daily population	8,896	7,938	5,841	*	*	7,166	4,193
Individuals in custody in Security Risk Group (% ADP)	15.4%	16.4%	18.5%	*	*	16.6%	22.6%
Fight/assault infractions	12,047	12,008	11,191	*	*	4,087	2,581
Jail-based arrests of individuals in custody	742	490	258	*	*	155	44
Searches	308,063	328,750	282,048	*	*	108,453	79,687
Weapons recovered	3,676	2,882	2,439	*	*	985	604
★ Violent incidents among individuals in custody (monthly rate per 1,000 ADP)	55.9	68.9	80.1	↓	↓	73.1	84.1
★ Serious injury to individuals in custody as a result of violent incidents among individuals in custody (monthly rate per 1,000 ADP)	2.0	2.5	9.6	↓	↓	5.9	11.1
★ Assault on staff by individual in custody (monthly rate per 1,000 ADP)	9.2	12.5	15.8	↓	↓	15.4	18.6
★ Serious injury to staff as a result of assault on staff by individual in custody (monthly rate per 1,000 ADP)	0.42	0.49	0.65	↓	↓	0.49	0.49
★ Escapes	1	1	2	↓	↓	0	0
★ Non-natural deaths of individuals in custody	1	2	0	↓	↓	0	0
Stabbings and Slashings	96	106	123	*	*	41	43
★ 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	
	FY18	FY19	FY20	FY21	FY22	FY20	FY21
Incidents of use of force - total	5,175	6,670	6,806	*	*	2,486	1,952
★ Department use of force incidents with serious injury (rate per 1,000 ADP)	1.52	1.56	2.63	↓	↓	2.20	3.13
Department use of force incidents with minor injury (rate per 1,000 ADP)	17.43	19.51	17.79	*	*	18.95	17.48
Department use of force incidents with no injury (rate per 1,000 ADP)	29.57	49.03	77.95	*	*	65.62	95.54
Incidents and allegations of use of force	5,589	7,064	7,047	*	*	2,591	2,020
★ Critical Indicator	"NA" Not Available	↑↓ Directional Target	* None				

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY18	FY19	FY20	FY21	FY22	FY20	FY21
Individuals in custody with a mental health diagnosis (% ADP)	43%	45%	46%	*	*	44%	54%
Individuals in custody with a serious mental health diagnosis (% ADP)	14.3%	16.8%	14.8%	*	*	14.3%	17.0%
Individual in custody health clinic visits	76,856	81,405	52,146	*	*	25,391	6,559
★ – Average clinic waiting time (minutes)	21	18	17	↓	↓	23	7
★ 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	
	FY18	FY19	FY20	FY21	FY22	FY20	FY21
Jail-cells unavailable (short-term repair) (%)	3.7%	3.7%	4.3%	1.0%	1.0%	4.1%	4.2%
★ Population as percent of capacity (%)	77%	72%	63%	96%	96%	69%	59%
★ Critical Indicator	“NA” Not Available		↑↓ Directional Target	* None			

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY18	FY19	FY20	FY21	FY22	FY20	FY21
★ On-trial individuals in custody delivered to court on-time (%)	97.7%	97.2%	96.7%	95.0%	95.0%	97.3%	NA
★ 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.

Performance Indicators	Actual			Target		4-Month Actual	
	FY18	FY19	FY20	FY21	FY22	FY20	FY21
★ I-CAN Enrollments	7,685	4,703	3,050	*	*	1,713	NA
I-CAN Workshops	12,799	11,051	7,673	*	*	4,186	NA
★ Critical Indicator	“NA” Not Available		↑↓ Directional Target	* None			

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY18	FY19	FY20	FY21	FY22	FY20	FY21
Average daily number of individuals in custody in vocational skills training programs	482	418	287	*	*	262	50
Average daily attendance in school programs	169	77	60	*	*	69	NA
★ Individuals in custody participating in skills-building activities/discharge planning (%)	23.8%	20.9%	20.9%	10.0%	10.0%	19.5%	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	
	FY18	FY19	FY20	FY21	FY22	FY20	FY21
Victim Identification Notification Everyday (VINE) system registrations	22,668	23,728	18,843	*	*	7,416	4,596
VINE confirmed notifications	32,856	43,092	29,484	*	*	11,190	7,013
★ Critical Indicator	"NA" Not Available	↕ Directional Target		* None			

AGENCY-WIDE MANAGEMENT

Performance Indicators	Actual			Target		4-Month Actual	
	FY18	FY19	FY20	FY21	FY22	FY20	FY21
Collisions involving City vehicles	114	125	119	*	*	57	28
Workplace injuries reported	3,491	4,291	4,301	*	*	1,668	1,371
Accidents involving individuals in custody	36	27	241	*	*	63	80
★ Critical Indicator	"NA" Not Available	↕ Directional Target		* None			

AGENCY CUSTOMER SERVICE

Performance Indicators	Actual			Target		4-Month Actual	
	FY18	FY19	FY20	FY21	FY22	FY20	FY21
Customer Experience							
Letters responded to in 14 days (%)	100.0%	100.0%	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. 2020 MMR Plan	Updated Plan	Plan	4-Month Actual	
	FY18	FY19	FY20	FY21	FY21 ¹	FY22 ¹	FY20	FY21
Expenditures (\$000,000) ²	\$1,400.2	\$1,374.5	\$1,287.2	\$1,150.0	\$1,140.3	\$1,157.1	\$456.8	\$421.0
Revenues (\$000,000)	\$21.3	\$19.9	\$12.6	\$13.5	\$10.2	\$15.5	\$4.8	\$3.2
Personnel (uniformed)	10,653	10,189	9,237	7,219	7,219	7,060	9,859	8,996
Personnel (civilian)	1,886	1,857	1,803	1,847	1,742	1,901	1,819	1,752
Overtime paid (\$000,000)	\$221.7	\$180.1	\$146.6	\$91.2	\$94.2	\$87.7	\$53.9	\$26.6
Capital commitments (\$000,000)	\$34.4	\$57.9	\$42.2	\$348.5	\$404.5	\$726.6	\$11.8	\$1.5
¹ January 2021 Financial Plan. ² 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 FY20 ¹ (\$000,000)	January 2021 Financial Plan FY21 ² (\$000,000)	Applicable MMR Goals ³
Personal Services - Total	\$1,112.1	\$984.1	
001 - Administration	\$113.4	\$109.5	All
002 - Operations	\$998.7	\$874.6	All
Other Than Personal Services - Total	\$175.1	\$156.3	
003 - Operations	\$159.2	\$139.7	All
004 - Administration	\$16.0	\$16.5	All
Agency Total	\$1,287.2	\$1,140.3	

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- As a result of the changes in policies and practices due to the restrictions of COVID-19, in-person programming services were suspended effective March 2020. Accordingly, there could be no data collected about the number of participants or frequency of service. The indicators in goals 1e, 2a and 2b are impacted.
- As a result of changes to practices regarding the method of court appearances, comparable data regarding on-time court production cannot be generated. To mitigate the spread of COVID-19, many individuals in custody attended court via a video appearance and the Department coordinated with the court system to facilitate these appearances.

ADDITIONAL RESOURCES

- Please visit the Department's website to view its COVID-19 Action Plan that details the changes in policies and practices necessary to prevent the spread of COVID-19.
<https://www1.nyc.gov/site/doc/media/coronavirusap.page>

For more information on the agency, please visit: www.nyc.gov/doc .