

Division of Criminal Justice Services

Criminal Justice Performance Report



Andrew M. Cuomo
Governor

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DCJS Executive Deputy Commissioner

Performance Report Series

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2012 Annual Performance Report for the New York State Division of Criminal Justice Services



NEW YORK STATE
Andrew M. Cuomo, Governor

New York State Division of Criminal Justice Services

2012 Annual Performance Report

This annual report provides information on the performance of the New York State Division of Criminal Justice Services (DCJS) as required by Executive Law §§837(4)(a) and 837(12). This report fulfills the statutory requirement for calendar year 2012. A listing of other annual reports issued by DCJS is provided on the next page.

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The following is a comprehensive list of statutorily required reports published and available on the DCJS website: <http://www.criminaljustice.ny.gov/crimnet/pubs.htm>

[Crime in New York State 2012 Final Data](#) Final index crime statistics for New York State in 2012 satisfies the reporting requirement found in Executive Law §837(4)(c). Historical crime data is also presented.

[Domestic Homicide in New York State, 2012](#) Information and data about domestic homicide in New York State.

[Hate Crimes in New York State: 2012 Annual Report](#) Hate crime incidents that law enforcement agencies reported to DCJS, including data on the number of incidents reported and the type of reported bias. The report satisfies the reporting requirement found in Executive Law §837(4-c).

[2012 Operation IMPACT Annual Report](#) Activities of jurisdictions that participate in Operation IMPACT, the state's program to target violent and gun crime in 17 counties upstate and on Long Island, which satisfies the reporting requirement found in Executive Law §837-a(8).

[New York State Felony Processing Final Report, Indictment through Disposition, Jan-Dec 2012](#) Summarizes the processing of felony cases in New York State's superior courts and satisfies the reporting requirement found in Executive Law §§837-a(1) and 837-a(2) .

[New York State Violent Felony Offense Processing Report 2007 to 2011](#) Information related to the processing of persons charged with Violent Felony Offenses satisfies the reporting requirement found in Executive Law §§837-a(3) and 837(4)(f) .

[Missing Persons Clearinghouse Annual Report: 2012](#) Information and statistics about New York State's Missing Persons Clearinghouse in 2012 which satisfies the reporting requirement found in Executive Law §837-f(12) .

[Committee for the Coordination of Police Services Annual Report: 2010](#) Information about Committee activities and community-policing programs aimed at improving the quality of life and safety of elderly persons, satisfies the reporting requirement found in Executive Law §844-b(3-a) .

[Law Enforcement Accreditation Program Annual Report: 2012](#) Information and statistics about New York State's Accreditation Program which satisfies the reporting requirement found in Executive Law §846-h(10) .

[New York State 2012 Report on Felony Insurance Fraud Offenses](#) Information related to the processing of persons charged with Insurance Fraud felony offenses which satisfies the reporting requirement found in Executive Law §§837-a(1) and 837-a(5) .

[New York State 2012 Report on Environmental Conservation Law Hazardous Waste and Waste Disposal Offenses](#) Information related to the processing of persons charged with violations of various provisions of the Environmental Conservation Law which satisfies the reporting requirement found in Executive Law §§837-a(1), 837-a(5) and 837-(4-a) .

[New York Asset Forfeiture 2012 Annual Report](#) Information related to monetary assets forfeited and distributed which satisfies the reporting requirements found in Executive Law §837-a(6) .

[Reports on 2009 Drug Law Changes](#) DCJS is required to study the impact of the 2009 drug law changes. Reports which satisfy the reporting requirement found in Executive Law §837(4)(b-1) can be found at: <http://www.criminaljustice.ny.gov/drug-law-reform/index.html>.

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Executive Highlights

This report reviews activities within the New York State Division of Criminal Justice Services during 2012. Throughout the year, DCJS continued to assess and streamline procedures and processes to uphold core mission requirements. DCJS is able to work more efficiently through innovation and increased use of criminal justice technology.

Office of Criminal Justice Operations (OCJO)

- OCJO's 24/7 fingerprint operation processed more than one million fingerprints – 573,724 arrest, 163,539 other criminal and 507,475 civil during 2012. Arrest prints were processed and criminal histories returned in an average of 26 minutes. This is the fastest turnaround time in DCJS history.
- During 2012, 222 agencies registered for access to the Domestic Incident Report (DIR) Repository, which contained over 600,000 records as of December. Nearly 314,000 DIRs were added to the Repository in 2012.
- The Missing Persons Clearinghouse (MPC) assisted with 626 missing children cases and 58 missing vulnerable adult cases during 2012. Staff trained 1,546 law enforcement officers in investigations and 356 parents, children and teachers attended presentations on Internet safety.

Office of Justice Information Services (OJIS)

- In 2012, the average response time to generate a rap sheet was eight seconds and for name search inquiries was 11 seconds.
- OJIS conducted 52 training sessions for 2,540 criminal and civil agency personnel, primarily on the Integrated Justice Portal and system access related issues, such as criminal history usage.
- The Customer Contact Center (a 24-hour help desk) handled more than 84,000 requests for assistance in 2012, the majority (75 percent) of which were from criminal justice agencies outside DCJS.

Office of Public Safety (OPS)

- More than 165 law enforcement training courses were held around the state, attended by 8,163 law enforcement personnel.
- The law enforcement accreditation program continued to grow, providing professional standards designed to improve officers' skills, keeping officers and the public safe. Eight law enforcement agencies were accredited during the year. As of December 2012, there were 142 accredited police agencies in New York State.
- OPS staff repaired and certified more than 6,100 speed and alcohol detection instruments used by local agencies, with all repairs and certifications completed within two days.

Office of Probation and Correctional Alternatives (OPCA)

- In 2012, 172 Alternative to Incarceration (ATI) programs in New York City and 57 counties outside New York City were funded, serving more than 87,000 participants.
- A total of 75 training sessions were held in 2012 on such topics as the new Supervision Rule, Interstate Compact, Domestic Violence, evidence-based programs, DNA expansion and risk and needs assessment. Live meetings and in-house training were used to train 3,401 people.
- In 2012, OPCA prepared and issued 20 State Director Memoranda and 28 informational memoranda to provide policy guidance to county probation departments. Topics included COMPAS, State Aid, Probation Violator Residential Centers, Risk Assessment for Sex Offenders, Interstate Transfer Operations, Sex Offender Registry Address Confirmation, Leandra's Law and Case Record Management.

Office of Sex Offender Management (OSOM)

- OSOM continued to maintain the state's registry of more than 35,000 offenders.
- Staff conducted more than 404,000 sex offender registry searches. State statutes require this information to be shared with programs that enroll children, as well as with the general public. There also were 7.5 million offender profiles viewed on the public Sex Offender Registry website.

Office of Forensic Services (OFS)

- The DNA Databank grew to 500,642 specimens, with 3,189 hits that resulted in convictions as of the end of December 2012. Of these, 20 percent involved sexual assaults, 50 percent involved burglary investigations and 7 percent of the hits were against physical evidence collected in connection with homicide investigations.
- The statewide DNA collection rate for individuals sentenced in the community continued to improve, increasing from 88 percent to 91 percent during 2012.

Office of Program Development and Funding (OPDF)

- OPDF monitored nearly 900 active grant contracts. These contracts support critical local programs such as forensic laboratories, sexual assault forensic examiners, motor vehicle theft and insurance fraud prevention, alternatives to incarceration, re-entry, law enforcement and prosecution programs and juvenile and domestic violence programs.
- Staff conducted 179 site visits to ensure that grantee organizations provided services in accordance with contract terms.

Office of Juvenile Justice (OJJ)

- OJJ staff trained or facilitated eight training courses for 315 personnel during 2012 on topics such as disproportionate minority contact and juvenile reentry.

Office of Administration

- Administration executed and distributed more than \$98 million to grantees.
- Administrative Services saved nearly \$104,000 by printing and copying in-house.

Office of Justice Research and Performance (OJRP)

- OJRP prepared data and analysis in response to 690 requests for information from state and local criminal justice executives and managers, the public, local law enforcement, researchers and the media.
- OJRP staff prepared and delivered 68 case-specific research files, working closely with nearly 30 research organizations.

Office of Legal Services (OLS)

- OLS received 765 Freedom of Information Law requests.
- 194 requests for Use and Dissemination agreements and/or questions regarding existing agreements were reviewed by OLS staff in 2012.

Office of Internal Audit and Compliance (OIAC)

- OIAC conducted five internal audits and 49 fiscal audits of grant contracts and reviewed the use of criminal history record information (rapsheets) by 569 agencies.
- Seven reviews of Uniform Crime Reporting (UCR) data submitted by agencies receiving Operation IMPACT funding were completed.

Office of Criminal Justice Operations

Mission

To provide timely and accurate fingerprint identification and criminal history records to authorized agencies and to provide comprehensive support services in coping with the loss of missing children, college students and vulnerable adults.

Scope of Operations

The Office of Criminal Justice Operations (OCJO) includes the following seven program areas:

- **State Identification** - Processes fingerprint transactions associated with felony and misdemeanor arrests, incarcerations and criminal justice-related inquiries. This unit also processes fingerprint transactions associated with applications for occupations or licenses that require a criminal history background check pursuant to state or local law.
- **Civil Customer Service** - Responsible for oversight of the statewide civil vendor-managed network that is available for use by contributors authorized to submit civil prints to DCJS. Provides help desk support to civil contributors and applicants with questions and problems.
- **Latent Prints** - Receives latent crime scene prints and searches them electronically using the Statewide Automated Biometric Identification System (SABIS) technology against a special database of fingerprint images.
- **Digital Image Capture And Processing (DICAP)** - Receives and processes Domestic Incident Reports submitted from New York State agencies outside of New York City. Scans and retrieves DNA forms, correspondence related to Criminal History Record Information, Appellate Decisions updated by DCJS staff, Record Review Challenges, Certificates of Relief and Good Conduct and any incoming fingerprint cards that are not converted to electronic format.
- **Records Management** - Maintains the accuracy and completeness of the state's criminal history database. Responsible for data quality, correcting errors related to case disposition and record sealing and record reviews.
- **Administration** - Supports administrative functions, such as purchasing, procurements and personnel transactions. Supports civil validation, district attorney fingerprint certification requests, judicial subpoenas and special projects. Maintains Use and Dissemination agreements for all agencies in New York State that access criminal history information.
- **Missing Persons Clearinghouse** - Administers the Missing Child, College Student and Vulnerable Adult Alerts and Programs. Effective April 1, 2012, this program was transferred from the DCJS Office of Public Safety to the Office of Criminal Justice Operations.

Key Public Service Areas

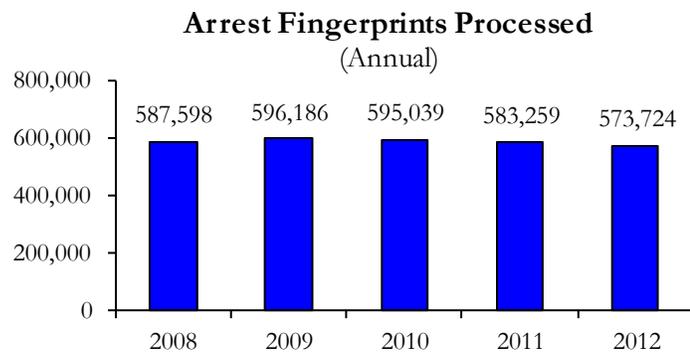
- Criminal and Civil Fingerprint Processing
- Latent Print Processing
- Fingerprint Collection Training
- Accuracy of Criminal History Records
- Domestic Incident Reporting
- Missing Persons Clearinghouse

Office of Criminal Justice Operations

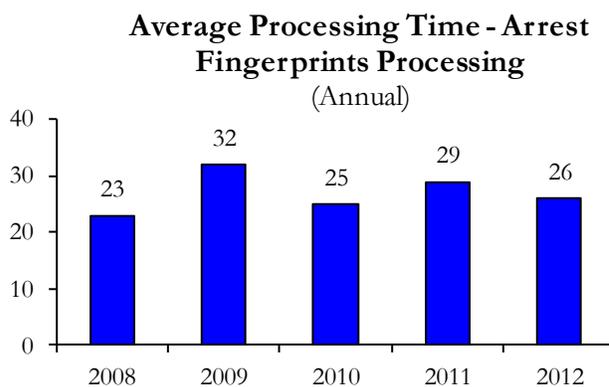
Arrest Fingerprint Processing

The DCJS State Identification Bureau operates 24 hours a day, 365 days a year to provide criminal history records that contain up-to-date arrest and conviction information to criminal justice agencies. DCJS receives more than 50,000 arrest fingerprint transactions and an additional 14,000 non-arrest transactions each month. Fingerprints are searched against a database of more than 77 million fingerprint images. When an arrest is made, fingerprints are electronically submitted to DCJS by the arresting agency. If the arrestee has a criminal record, DCJS then electronically sends a criminal history record, commonly referred to as a "rap sheet," to police, prosecutors and the court. DCJS seeks to process all arrest fingerprints within 20 minutes of receipt of the transaction to allow immediate identification of arrestees, allow courts to consider past criminal histories and warrant information for arraignment and bail determinations, and ensure that criminal history information is available to all parties as they make decisions relevant to the case. DCJS successfully implemented a new Statewide Automated Biometric Identification System (SABIS) in February 2012, which provided enhance automation and improved the accuracy of identifications made. Improved processing times were realized with full functionality of the system in November 2012.

- ✓ During 2012, 573,724 arrest fingerprint transactions were processed.
- ✓ An additional 163,539 fingerprint-based requests for criminal histories were processed by OCJO. These submissions were made for offenders who were incarcerated, on parole or probation or for other inquiries.



OCJO has established a target to process all arrest fingerprints submitted electronically within 20 minutes of receipt.



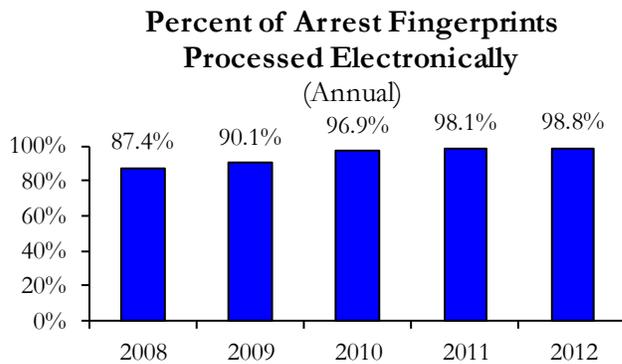
- ✓ In 2012, the average response time for arrest fingerprint processing was 26 minutes.

Office of Criminal Justice Operations

Store and Forward Initiative

Store and Forward is an electronic interface that links remote fingerprinting sites to the Division's Statewide Automated Biometric Identification System (SABIS). Electronic submission is critical for public safety, efficiency at arraignment and bail determinations.

In 2009, DCJS implemented an aggressive strategy to get all prints submitted through Store and Forward. This included statewide notification of the effort, follow-up with agencies that were mailing fingerprint cards and funding for fingerprinting equipment. Through these efforts, 99 percent of all fingerprint submissions are now transmitted and returned electronically.



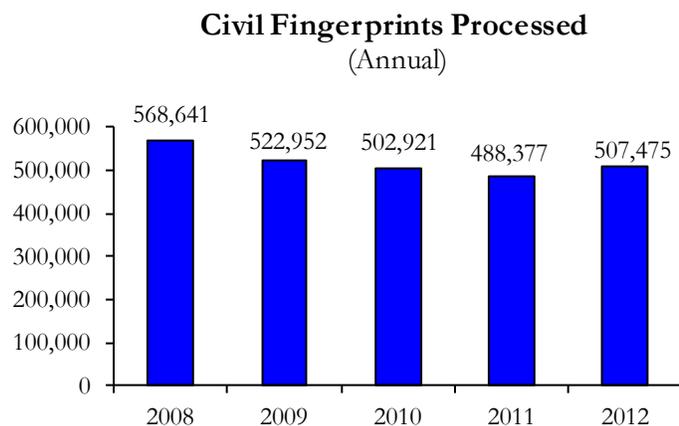
The percent of arrests processed electronically was 98.8% during 2012.

Civil Fingerprint Processing

DCJS processes fingerprint submissions associated with applications for certain occupations or licenses that by law require a criminal history record check. Applicant fingerprint submissions are forwarded to DCJS from more than 900 entities statewide. Timely processing of these transactions allows employers to make hiring decisions for individuals seeking employment or licensure, and the service is essential to ensure that nursing homes, schools and other employers do not hire individuals who may jeopardize the health and safety of the state's most vulnerable populations: children, the elderly and the disabled.

√ There were 507,475 civil fingerprint transactions processed in 2012, an increase of 4% as compared to 2011. Civil fingerprint input from contributor agencies declined steadily from 2008 - 2011, which coincided with the overall economic downturn and decrease in available job opportunities.

√ Civil fingerprints were processed with an average turnaround time of 10.8 hours during 2012.



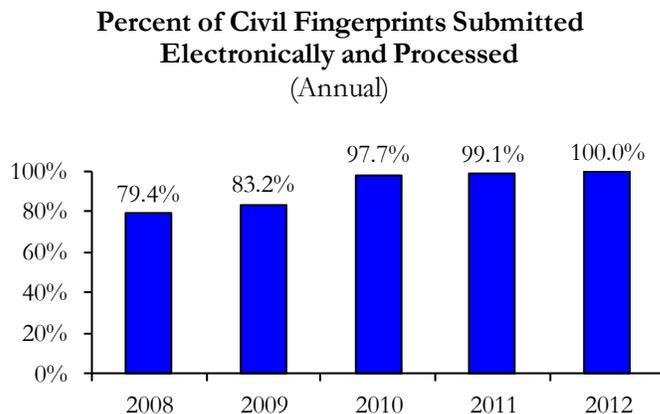
Office of Criminal Justice Operations

Civil Vendor-Managed Fingerprint Capture System

In 2009, DCJS implemented a vendor-managed fingerprint capture system to provide a network of local fingerprinting sites for the electronic transmission of civil applicant fingerprints. The fingerprinting locations cover rural, suburban and metropolitan areas throughout the state, with sites located within a 20-mile drive distance or 30-minute one-way travel time from most jurisdictions. In addition to saving time for citizens, the system provides a higher level of security and reduces costs by eliminating system redundancy across state and local agencies.

The vendor-managed system was implemented at no cost to DCJS. Aside from the applicable DCJS and FBI fingerprint search fees (\$75 and \$16.50 respectively), the vendor charges the applicant an additional \$10.75 for costs associated with collecting and transmitting the fingerprints and photos electronically to DCJS. The DCJS Civil Customer Service Bureau provides a point of contact for civil contributors and applicants with questions or problems. The Bureau also handles questions related to applicant fingerprint processing fees.

✓ As of December 2012, nearly 100 Livescan fingerprinting locations were in place throughout the state, with 827 civil contributor agencies using the network.



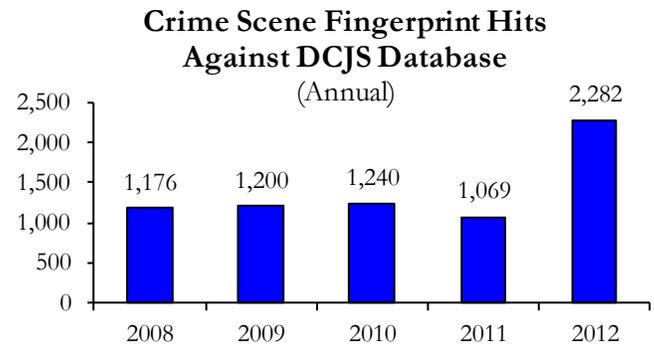
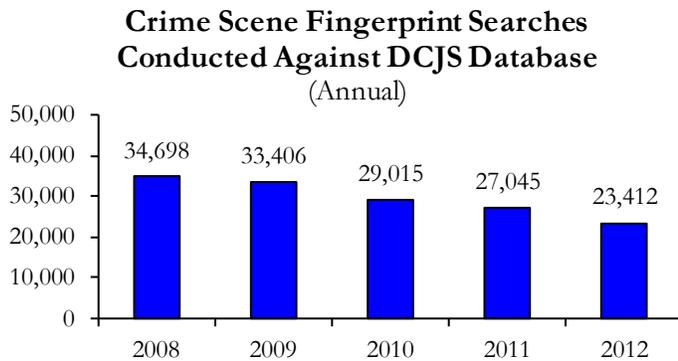
✓ Full automation was achieved in 2012, with 100% of civil fingerprints submitted electronically.

Crime Scene (Latent) Print Processing

DCJS implemented the New York Statewide Automated Biometric Identification System (SABIS) in 2011, replacing an outdated and unsupported system. SABIS brought many improvements including increased accuracy, enhanced workflows, interoperability and additional search capabilities. It includes a new palm print database which currently has more than 650,000 images that were received from the New York City Police Department's palmprint database. SABIS also has been networked with the 19 latent print regional sites across the state. OCJO staff process crime scene prints from the 17 counties in its geographic jurisdiction: the Capital Region and surrounding counties from the Canadian border south to Greene County, as well as from other parts of the state and other countries. Crime scene fingerprints are searched against a criminal and civil database of more than 800 million fingerprint images at DCJS in an effort to assist in criminal investigations by positively identifying the individual who left the prints.

Office of Criminal Justice Operations

Crime scene prints also are searched against the FBI fingerprint database of more than 700 million fingerprint images on behalf of law enforcement agencies across the state. In addition to processing crime scene fingerprints, DCJS provides technical and production assistance to other sites when required and oversees the certification process and annual proficiency examination for latent fingerprint examiners across the state. Staff also conducts training on latent print collection, analysis, comparison, evaluation, verification and searching. Staff also provides expert court testimony.



- ✓ During 2012, 23,412 crime scene print searches were conducted against the DCJS database, a decrease (-13%) from 2011.
- ✓ Despite the decline in searches, DCJS positively identified 2,282 crime scene fingerprints in 2012. This significant increase is attributed to the SABIS conversion and the Tenprint production system which allow DCJS to better identify individuals.
- ✓ DCJS conducted an additional 2,993 crime scene fingerprint searches against the FBI database during the year, down (-59%) from the 7,345 searches in 2011. However, there was a 213% increase in the number crime scene fingerprints positively identified in 2012 (210) compared to 2011 (67). The large increase is attributed to the capabilities of the new SABIS system.
- ✓ DCJS also conducted 151 crime scene searches against the NYPD palmprint database in 2012. Two crime scene palmprints were positively identified in 2012.

Training

OCJO conducts three types of training: Seal and Disposition Training for court personnel, primarily focused on the submission of correct disposition information to the Office of Court Administration (OCA) for electronic transmission to DCJS; Latent Print Training for people seeking to become certified SABIS Latent Fingerprint Examiners; and Quality Assurance Training which covers the proper recording of fingerprint images for transmission to DCJS. To ensure that individuals are skilled in the proper fingerprint collection techniques, training is regularly provided to law enforcement. Personnel from other state and local agencies who are responsible for collecting fingerprints associated with applications for certain occupations or licenses also received training from OCJO.

Office of Criminal Justice Operations

OCJO Training Number of Attendees (Annual)

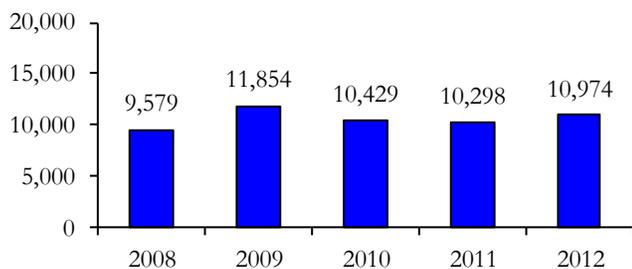
Training By Unit	2010	2011	2012
Seal and Disposition Training	120	70	50
Latent Print Training	56	62	175
Quality Assurance Training	179	116	237
Total Attendees	355	248	462

- ✓ During 2012, OCJO staff provided training to 462 personnel from numerous state and local agencies. This is an 86% increase from the 248 personnel trained in 2011.

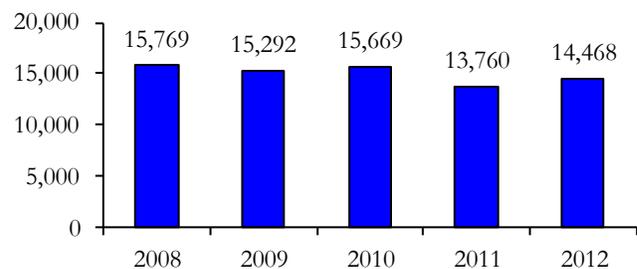
Records Management

Pursuant to agency regulation, DCJS provides an individual the right to review his or her own criminal history record information (CHRI). In addition, individuals may challenge the accuracy or completeness of criminal history record information provided by DCJS through an appeal process. There are two types of record reviews: a *Public Record Review* requiring fingerprints and a \$85.75 processing fee, and an *Inmate Record Review*, which is provided free of charge to incarcerated individuals.

Public Record Reviews Conducted
(Annual)



Inmate Record Reviews Conducted
(Annual)



- ✓ During 2012, 25,442 Record Reviews were completed. Of these, 57% were Inmate Record Reviews and 43% were Public Record Reviews.
- ✓ Compared to 2011, there was a 7% increase in Record Reviews for the general public, as well as a 5% increase in inmate requests for a review.
- ✓ Individuals filed challenges in 5% (768) of the Inmate Record Reviews and 2% (255) of the Public Record Reviews completed in 2012.

Office of Criminal Justice Operations

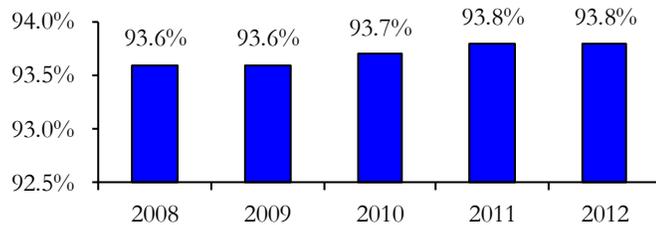
Document Scanning

In an effort to eliminate the need for extensive storage and maintenance of paper files, document scanning is now a regular business practice. OCJO staff scans and converts to electronic files many important records, including fingerprint cards and forms associated with DNA collection. During 2012, 123,000 paper documents were scanned and converted to electronic documents. This function greatly increases the efficiency of record keeping and maintenance.

Completeness of Criminal History Records

Each quarter, DCJS reviews all arrests on file that occurred at least two years ago and reports on those with a complete disposition reported. OCJO continually works to improve the completeness of criminal history information through its training efforts.

**Criminal Court Dispositions
on File - All Courts**
(Annual)



- ✓ At the end of 2012, 93.8% of all arrest events occurring prior to 2011 had a final disposition on the criminal history file.

Domestic Incident Report (DIR) Repository

The state's Domestic Incident Report Repository, which offers law enforcement officials cross-jurisdictional access to information about reported incidents of domestic violence in the counties outside of New York City, became operational in 2011. It allows authorized users – dispatchers, police officers, sheriff's deputies, prosecutors and probation and parole officers – to search for incident information regardless of which police agency responded to a call or filed a report. The Repository can be searched by name or address, and dispatchers also can use the system to advise responding officers about potential threats and history of incidents at an address. Access to this information enhances officer and victim safety.

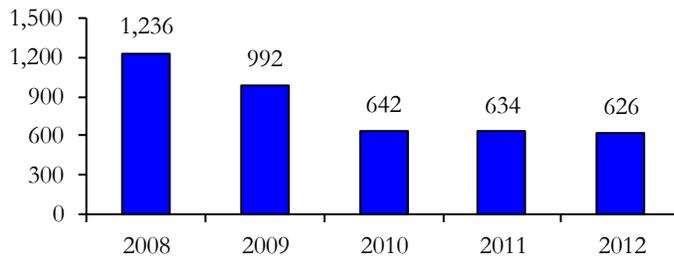
- ✓ As of the end of December 2012, 222 agencies had registered for access to the Repository, which contained more than 600,000 records. Nearly 314,000 of these were processed in 2012.

Office of Criminal Justice Operations

Missing Persons Clearinghouse

The Missing Persons Clearinghouse (MPC) (formerly the Missing and Exploited Children Clearinghouse) was established by law to provide investigative support for local, state and national law enforcement agencies in connection with children and college students who have gone missing. The MPC provides assistance to the family members of missing children and conducts community-based education programs. The MPC also administers the mandated statewide Missing Children Registry repository. The mandate was expanded to include vulnerable adult cases effective in 2011. The MPC now coordinates the “Missing Adult Alert” system, using the same technology as the AMBER Alert system, to assist local law enforcement officials in notifying communities when a cognitively-impaired adult who is at least 18 years old goes missing. Tools include distribution of posters, a toll-free 24-hour hotline and partnerships with local broadcasters for quick dissemination of information. The public can register to receive alerts through the NY-ALERT system: www.nyalert.gov.

Missing NYS Children Referred to MPC for Assistance
(Annual)



✓ In 2012, 626 missing children cases were referred to the MPC for assistance, about the same as referred in 2011. The decline since 2008 is primarily due to a policy change in the types of cases accepted for services.

✓ At the end of 2012, a total of 87 MPC cases were still active or pending, the same as at the end of 2011.

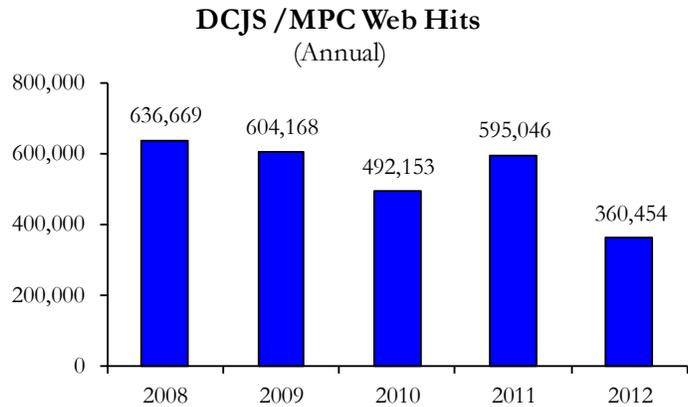
✓ Fifty-eight missing and vulnerable adults were referred to the MPC for assistance from October 2011 (the effective date of the new law) through December 2012.

✓ In 2012, MPC reported that five DCJS Missing Child/College Student Alerts, seven AMBER Alerts, and 24 Missing Adult Alerts were issued throughout New York State.

The DCJS/MPC website is used to disseminate information to the public about missing children and vulnerable adult cases and child safety in general.

Office of Criminal Justice Operations

- ✓ The number of hits to the DCJS/MPC website decreased in 2012 after showing an increase in 2011.



MPC Training/Presentations

To reduce crimes against children and promote child safety, MPC staff conducts presentations on Internet safety at community events and conferences throughout the state, presenting to middle and high school students, faculty and civic groups. These presentations focus on online safety rules for teens, featuring actual missing children cases and videos of children talking about their experience with online enticement and the consequences of risky behavior.

The MPC also develops and conducts training for law enforcement professionals. Staff trains officers on proper handling of AMBER/Missing Child Alerts and missing/abducted investigative strategies. To help law enforcement agencies better prepare for and investigate missing cases, MPC hosted a series of Missing Persons Toolbox training seminars at various locations throughout the state in October and November 2012. These free, one-day seminars built upon the Missing Persons Investigation and Alert Protocol Training conducted in early 2012, which provided detailed information about the state’s new Vulnerable Adult Alert System.

MPC Training/Presentations
Number of Attendees
(Annual)

	2009	2010	2011	2012
Missing Person Investigation/ AMBER Alert Training	--	--	175	1,178
Train the Trainer - Internet Safety	--	--	254	--
Internet Safety for Parents Presentation	271	412	54	--
Internet Safety for Students Presentation	4,810	11,370	4,827	189
Internet Safety for Teachers Presentation	28	478	50	79
Missing/Vulnerable Adult Legislation Training	--	--	401	--
Missing Persons Toolbox Training				456
Total Attendees	5,109	12,260	5,761	1,902

- ✓ In 2012, training conducted by DCJS staff was shifted to a greater emphasis on law enforcement officers as opposed to a wider audience involving parents, teachers, and children.
- ✓ A total of 1,902 individuals were trained in 2012. Of these, 1,546 were law enforcement officers.

Office of Justice Information Services

Mission

To support the business functions and needs of DCJS and state and local criminal justice agencies by providing timely, accurate and complete information through efficient, effective and creative use of technology.

Scope of Operations

Effective November 22, 2012, OJIS employees engaged in the performance of information technology services and functions were transferred to the NYS Office of Information Technology Services (ITS). For purposes of this report, the Office of Justice Information Services (OJIS) is included since it provided technology support for DCJS and its four hosted agencies - the Office of Victims Services, the Office for the Prevention of Domestic Violence, the Commission of Correction, and the Board of Examiners of Sex Offenders- during the majority of 2012.

Key Public Service Areas

- System Development
- System Maintenance
- 24 - 7 System Availability
- Customer Service for Law Enforcement
- Technology Systems Training

For the purposes of this report, the OJIS section will reflect technology services in support of DCJS and its hosted agencies during 2012.

Office of Justice Information Services

eJusticeNY Integrated Justice Portal

eJusticeNY provides law enforcement with essential operational support, data and management information through a secure communications network. eJusticeNY provides “one-stop shopping,” giving professionals in the field immediate access to information such as criminal history, offender photos, registered sex offenders, fugitives and offenders who owe DNA samples. User agencies include police departments, sheriffs’ offices, courts, district attorneys’ offices, county probation offices, New York State and New York City agencies and other organizations. In 2006, DCJS and the New York State Police began implementing an Integrated Justice Portal (IJ Portal) to merge the New York State Police Information Network (NYSPIN) and eJusticeNY to provide secure information to law enforcement across DCJS, NYSP, the Department of Corrections and Community Supervision and Division of Homeland Security and Emergency Services. The migration of these services to the IJ Portal will be completed in 2013.

Enrollments and Usage

Users electronically search the IJ Portal for criminal history information by using either the offender’s name or New York State Identification Number (NYSID). A rapsheet, including the photo taken at last arrest, is returned to the user when an inquiry matches a criminal history record. Inquiries are conducted in the course of criminal investigations.

√ 16,328 individuals were utilizing the IJ Portal at the end of 2012.

DCJS monitors IJ Portal response times for rapsheet requests and name search inquiries. Good response time is critical to DCJS customers, and it can be negatively impacted by more users or the addition of new functionality. The average response time is measured in seconds from when the request for a rapsheet or criminal history information is made and the actual return of the rapsheet data or criminal history information to the user.

√ The average response time to generate a rapsheet was eight seconds in 2012, about the same as 2011.

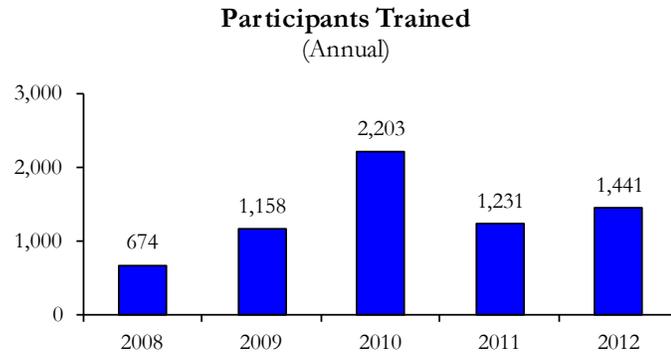
√ The average response time for name search inquiries was 11 seconds in 2012, up from nine seconds in 2011.

Training

OJIS staff regularly provide training on the Portal to ensure that new users can access criminal justice information and learn about new features and available reports. Training sessions can be either regional, in-house or with “live meeting” technology. In addition to the training provided, all Portal users can call the Customer Contact Center (CCC) at any time for technical assistance and support. CCC operates a 24-hour help desk which serves all eJusticeNY/Portal customers.

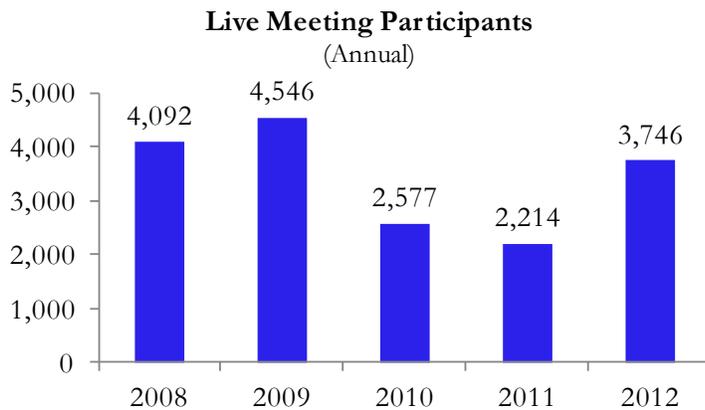
Office of Justice Information Services

- ✓ Staff conducted 37 regional or in-house training sessions in 2012.
- ✓ 1,441 criminal and civil agency personnel were trained during these sessions in 2012, an increase of 17% from 2011.



Live Meeting

“Live Meeting” services are provided to all DCJS offices through the use of web conferencing technology as a cost-effective training and communication tool. Live Meeting technology allows individuals to attend and participate in meetings remotely from any location.



- ✓ During 2012, 3,746 individuals participated in 84 Live Meetings, a 69% increase in personnel from 2011.

Customer Contact Center

Customer Contact Center (CCC) is the 24-hour help desk service for customers who need assistance with criminal justice processing (e.g., transmitting arrests), obtaining information (e.g., criminal history inquiries) or other related systems or computer issues. CCC supports law enforcement agencies throughout the state and DCJS and its hosted agencies. CCC acts as a gatekeeper and assigns requests for assistance, or calls, to the appropriate unit. Continued expansion in the systems and services available through eJusticeNY and IJ Portal and associated enrollments has greatly increased workload for this unit.

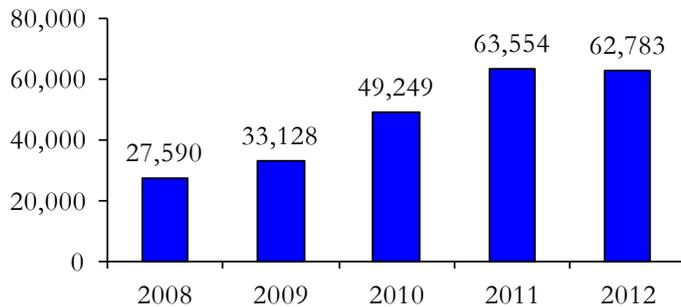
Calls and Requests Received by CCC

	2008	2009	2010	2011	2012	11 vs 12 % Change
DCJS Requests	21,613	23,582	20,160	20,511	21,299	4%
Outside Agencies	27,590	33,128	49,249	63,544	62,783	-1%
Total	49,203	56,710	69,409	84,055	84,082	0%

Office of Justice Information Services

In May 2012, DCJS and New York State Police co-located their respective contact centers to the Public Safety Building on the Harriman Campus. The move was in preparation of a consolidated Integrated Justice Contact Center which would ultimately house staff from all public safety agencies. The co-location integrated services to the criminal justice community as functionality and users continue to expand.

**Calls and Requests
from External Law Enforcement Agencies**



✓ During 2012, the total number of external calls and requests handled by CCC were down slightly (-1%) from 2011 after several years of rapid growth.

✓ 75% of the requests for assistance were from criminal justice agencies outside of DCJS during 2012.

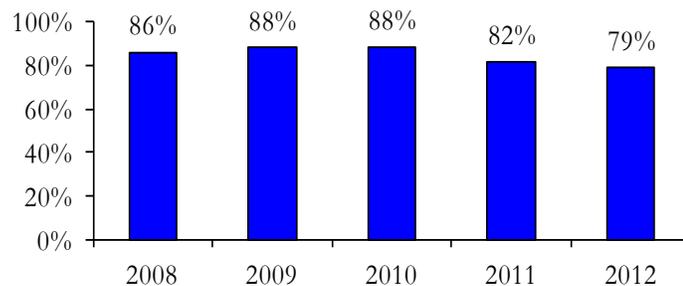
All calls are triaged by CCC staff. The Customer Contact Center is improving its software capabilities and tools to be more efficient within available resources. The goal is to allow CCC to effectively resolve more calls without assistance, decreasing the need for second-level support. Calls that cannot be resolved by CCC staff are assigned to the appropriate information technology operational area. Of the 84,082 calls/requests made to CCC during 2012, 49,333 were resolved by the CCC. CCC classifies into one of four priorities. Each priority has a specific response time goal, which is measured from the time the call is logged by CCC to the time the assigned operation area responds to the call. It does not measure the time it takes to resolve the problem.

Priority 1 Calls – CCC seeks to respond to all Priority 1 calls within 30 minutes. Problems classified as Priority 1 consist of major system or network outages impacting a large number (15 or more) of users, where no workaround exists.

Priority 2 Calls – CCC seeks to respond to all Priority 2 calls within one hour. Problems classified as Priority 2 consist of system outages with no workaround and an impact on two to five users, or users unable to log on to the network.

Priority 3 and 4 Calls – CCC seeks to respond to all Priority 3 and 4 calls within eight business hours. Problems are classified as Priority 3 and 4 when a temporary workaround exists and there is no immediate urgency.

**Percent of Calls
Responded to On Time**



✓ CCC response time declined for the second year, with 79% of all calls responded to on time during 2012. This decline is related to the increased workload in the face of declining staff resources.

Office of Justice Information Services

Project Management Office

In 2005, DCJS established a Project Management Office (PMO) within the Office of Justice Information Services to monitor all IT projects. The PMO was established to better account for DCJS Information Technology resources and to ensure alignment of these resources with agency priorities.

The charts below identify the number of new project proposals, known as Business Cases and request for services, known as Service Requests, received and approved in 2012.

Business Cases						Service Requests					
<i>(Annual)</i>						<i>(Annual)</i>					
	2008	2009	2010	2011	2012		2008	2009	2010	2011	2012
Reviewed	12	10	7	1	2	Submitted	124	116	79	71	63
Approved	12	5	6	1	2	Approved	105	88	83	24	40
						Completed	77	71	74	66	46

- √ During 2012, the IT Executive Review Board considered two Business Cases for major projects, and approved both.
- √ In 2011 and 2012, fewer numbers of Business Cases and Service Requests were submitted and approved than in prior years. This is due to a strong executive focus on a critical migration effort and completion of an upgrade to the Statewide Biometric Identification System (SABIS).

The NYS Office of Information Technology Services (ITS) began the Information Technology Transformation Initiative in 2012. During 2013 current processes will be standardized and streamlined across the entire Public Safety Cluster. The primary vehicle for project management will be the Information Technology Investment Request (ITIR), a modified version of the former Business Case. ITIRs that are approved by Agency Executive staff will be reviewed by the Public Safety Cluster Executive Board (CEB), consisting of the Deputy Secretary, Agency Commissioners or their delegate, the Cluster Chief Information Officer and the Division of Budget, for alignment with overall Public Safety goals.

Office of Public Safety

Mission

To reduce crime and increase the effectiveness and efficiency of law enforcement, public safety and security organizations located within New York State, and to increase public confidence by promoting professionalism through standardized training and support.

Scope of Operations

The Office of Public Safety (OPS) includes the following nine program areas:

- **Crime Analysis Centers (CAC)** - CACs in Albany, Erie, Onondaga and Monroe counties conduct analyses of crime incidents, offender data and calls for service to provide a comprehensive picture of local crime. Information produced by these multi-jurisdictional centers assists law enforcement with investigations, crime prevention strategies, tactical deployment and officer safety.
- **Operation IMPACT** - Supports crime reduction through data- and intelligence- driven strategies within the 17 counties that account for 80 percent of the crime reported outside New York City. Support includes technical assistance and training.
- **Law Enforcement Training** - Coordinates and delivers police officer training in officer safety, criminal investigation, crime analysis, field intelligence, traffic safety, law enforcement skills and executive law enforcement issues. This unit also coordinates the work and initiatives of the state's Municipal Police Training Council (MPTC).
- **Accreditation Program** – This unit is responsible for the daily oversight and management of the Law Enforcement Accreditation Program (LEAP) and coordinating the efforts of the state's Law Enforcement Accreditation Council (LEAC).
- **Highway Safety Technology** - Maintains and certifies the calibration of speed and alcohol detection instruments utilized by municipal police departments throughout the state.
- **Administrative Services** - Maintains a registry of all police and peace officers in New York State, as well as training records for these officers and security guards.
- **1033 Federal Excess Property Program** - Section 1033 of the 1997 Federal National Defense Authorization Act (NDAA) authorizes the Secretary of Defense to transfer excess Department of Defense (DOD) property to federal, state and local law enforcement agencies. OPS is tasked with administering this program for the state.
- **Security Guard Program** – OPS provides staff to the state's Security Guard Advisory Council and oversees the approval of private and proprietary security guard schools and the certification of instructors, in addition to the maintenance of all security guard training records.

Key Public Service Areas

- Crime Analysis Centers
- Operation IMPACT
- Law Enforcement Training
- Law Enforcement Accreditation
- Speed and Alcohol Equipment Certification and Repair
- Police and Peace Officer Registry
- Surplus Equipment Program
- Security Guard Program

Office of Public Safety

Crime Analysis Centers (CACs)

DCJS funds Crime Analysis Centers in Albany, Erie, Monroe and Onondaga counties, and those centers build upon partnerships established under Operation IMPACT. The CACs promote the use of timely crime data and use of technology to support traditional crime-fighting strategies to all law enforcement agencies in the counties they serve. Counties were selected because of the high volume of firearm and other violent crimes. Each Center has a DCJS-employed director. Participating law enforcement agencies assign a command staff, crime analysts and field intelligence officers, while DCJS provides additional crime analyst positions through contracts with local research partners and universities. The intelligence generated by the CACs supports law enforcement decisions about tactical day-to-day deployment and long-term planning. Additionally, it provides investigators with leads to solve crimes and gives officers on the street crucial information that keeps them, and the public, safe.

Centers are equipped with technology, data systems, software and hardware to facilitate the capture, analysis and dissemination of information and analytical products. Data systems from participating law enforcement agencies within each county have been integrated to allow the efficient extraction of incident information. CACs use state-of-the-art, browser-based search software to access data on more than 50 databases, resulting in rapid identification of crime hotspots and potential hotspots and identification of crime patterns. Daily briefs of crime data help law enforcement officials make informed tactical and deployment decisions.

- ✓ DCJS, in conjunction with law enforcement partners throughout the state, has connected crime incidents and arrest data in the counties of Albany, Erie, Nassau, Monroe, Onondaga, Suffolk, Westchester and the New York State Police in a data sharing network. These direct connections provide crime analysts from each of the four Crime Analysis Centers, the New York State Intelligence Center and the Nassau, Suffolk and Westchester Intelligence Centers with unprecedented access to information--single-query inquiry to 65% of major crime incidents and arrests occurring outside of New York City.
- ✓ DCJS provides the Centers' data-sharing network with parole, probation, sex offender and corrections datasets.
- ✓ The Centers' data-sharing network also facilitates sharing license plate data under a Homeland Security program with Franklin County and other Northern border counties and law enforcement agencies.
- ✓ The Centers have deployed 125 digital signs, which are 42" wall-mounted monitors programmed to update patrol officers with the latest local crime fighting information.
- ✓ The Crime Analysis Centers are regularly recognized for their high quality work products. In 2012, the Erie Crime Analysis Center crime web map won first place at the GIS/SIG Annual Spatial Digital Mapping Conference; and the Onondaga Crime Analysis Center was awarded second place for "Statistical Reports" by the International Association of Crime Analysts.
- ✓ New York State is now one of three states who are certifying Crime Analysts. The certification process, facilitated by DCJS through the authorization of the Municipal Police Training Council, consists of two levels of certification. In June 2012, the third annual Level One certification exam was conducted and analysts were certified.

Office of Public Safety

Status of Crime Analysis Centers

(As of December 31, 2012)

	<u>Albany</u>	<u>Erie</u>	<u>Monroe</u>	<u>Onondaga</u>
Center Opened	2009	2008	2007	2008
Total Staff	17	16	20	16
DCJS Funded Staff	9	8	9	12
Other Participating Agencies	Albany PD Sheriff Probation State Police HIDTA NY Nat'l Guard Parole PT	Buffalo PD Cheektowaga PD DA State Police Housing Authority HIDTA FBI (Part time) ATF PT NY Nat'l Guard	Rochester PD Sheriff DA State Police Probation ProbationFIO PT HIDTA Parole FIO PT NY Nat'l Guard	Syracuse PD Sheriff DA State Police Probation NY Nat'l Guard
PDs Contributing Data	17	27	10	25
Data Sources Accessible	55	55	18	29
# of Agencies Served	57	40	28	47

Support for Operation IMPACT

Operation IMPACT is New York State's comprehensive crime-fighting program. It supports local infrastructures to achieve and sustain long-term crime reduction in the 17 counties that report 80 percent of the crime reported in counties outside of New York City. The 17 counties participating in the IMPACT program are: Albany, Broome, Chautauqua, Dutchess, Erie, Monroe, Nassau, Niagara, Oneida, Onondaga, Orange, Rensselaer, Rockland, Schenectady, Suffolk, Ulster and Westchester.

Information sharing and the analysis of timely, accurate crime data are critical aspects of Operation IMPACT. All IMPACT-funded agencies are required to report their crime statistics to DCJS within 30 days of the end of the month. A key component of IMPACT is an emphasis on comprehensive crime analysis, and 17 sites have been provided funding to support this capability. In addition, IMPACT agencies are encouraged to assign, and in many instances receive funding for, Field Intelligence Officers (FIOs) whose main objective is to cultivate and disseminate intelligence among participating agencies.

OPS staff works closely with partners in the Operation IMPACT jurisdictions and counties, providing oversight, acting as liaisons and providing day-to-day program support to more than 70 agencies that participate in the program. OPS IMPACT staff members monitor the crime conditions and assist in strategy implementation for each site.

- √ OPS IMPACT staff routinely participates in local IMPACT monthly meetings.
- √ The DCJS Executive Deputy Commissioner regularly hosts IMPACT Crime Trends meetings, during which one IMPACT partnership presents an analysis of its crime and outlines strategies being implemented to reduce crime.

Office of Public Safety

1033 Federal Excess Property Program

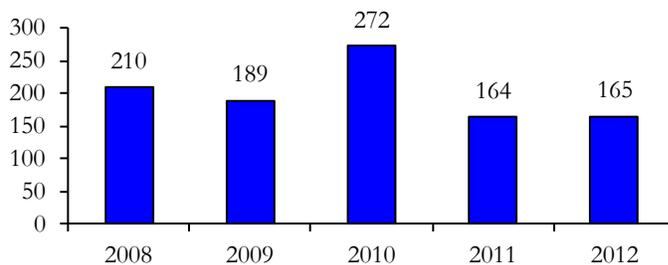
The National Defense Authorization Act authorizes the transfer of excess Department of Defense property to state and local law enforcement agencies free of charge. The only costs incurred by the receiving agencies are related to the delivery of the equipment. Equipment available for transfer includes: vehicles, aircraft, watercraft, weapons, computer equipment, night vision equipment and radios. In February 2010, New York re-joined the program, and OPS staff administers the program for participating agencies throughout the state.

- ✓ In 2012, OPS staff approved 360 transactions. These transactions involved 4,088 pieces of property with an acquisition value of nearly \$7.4 million.
- ✓ 68 agencies were approved for participation during 2012, and 156 agencies have received property since the inception of the program in February 2010.

Law Enforcement Training

OPS facilitates and provides direct training to law enforcement officers in areas such as criminal investigation, officer safety, traffic safety, law enforcement skills and executive management.

OPS Training Courses Held
(Annual)

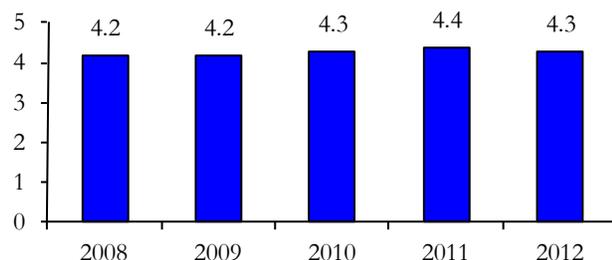


- ✓ During 2012, 165 training courses were held around the state, about the same as 2011.

Course participants complete a course evaluation survey for each course they participate in, and are asked to rate the course on a scale of 1 (Poor) through 5 (Excellent). OPS has established a target rating of 4.5 for all courses.

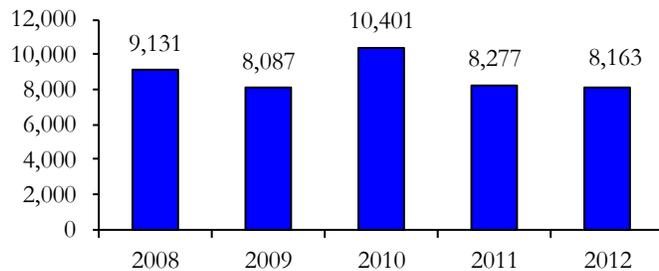
OPS Course Satisfaction Rating
(Annual)

- ✓ Since 2008, the course satisfaction rating has continued to range between “Very Good” and “Excellent”.



Office of Public Safety

Personnel Trained by OPS
(Annual)



✓ During 2012, 8,163 personnel were trained from the law enforcement community across the state, including officers and staff at the state, county and local levels. This is about the same as 2011.

OPS Training Held and Personnel Trained
2012
(Annual)

Course Categories/Most Popular Course Offerings	Courses Offered	Personnel Trained
Investigative - Bath Salts and Synthetic Drug Investigation, Search Warrant Training, Interview and Interrogation	39	2,155
Street Enforcement - Officer Safety and Street Encounters, Advanced Officer Safety and Street Encounters	4	170
Crime Analysis - Intermediate and Advanced Excel training	4	67
Traffic - Basic Crash Management, Commercial Vehicle Enforcement, DWI Documentation and Testimony Training	28	541
Leadership/Executive and Professional Development - Law Enforcement Accreditation Program Manager Workshop	4	127
Specialized Training - Officer Safety and Survival Training, eJustice/IJ Portal Updates Training, Identification Procedures - Photo Array, Impact of High Stress Events	71	3,106
Corrections Training - Jail time Credit and Calculation Training	5	162
Security Guard - School Director Orientation	10	179
On-Line Training - BAC Re-certification	-	1,656
Total Training During 2012	165	8,163

✓ During 2012, Officer Safety and Survival Training, Bath Salts and Synthetic Drug Investigations, eJusticeNY/IJ Portal Updates Training, and Identification Procedures – Photo Array were among the courses with the greatest number of participants (300 or more).

Office of Public Safety

Municipal Police Training Council (MPTC)

The Municipal Police Training Council (MPTC), created by Executive Law §839, determines minimally acceptable training and employment standards for law enforcement officers in New York State. The Council is comprised of eight members who serve two-year terms. The MPTC recommends rules and regulations for promulgation by the Governor. Once promulgated, these rules and regulations have the force of law.

OPS serves as the staff arm of the MPTC. It is the responsibility of OPS to assist in the planning and evaluation of basic and in-service training courses and to ensure that practitioners meet the minimum standards established by the MPTC.

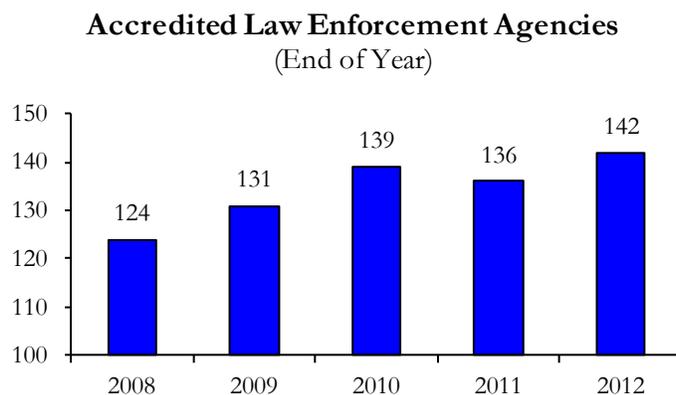
Curriculum Review

OPS provides administrative oversight for police officer basic training and advanced in-service courses in New York State. OPS staff reviews curricula submitted by law enforcement agencies and academies to ensure that each course meets or exceeds the minimum standard for topics and hours established by the MPTC. OPS staff also ensures that instructors are appropriately certified to teach, and provide technical assistance to agencies and academies upon request. Program compliance is verified through site visits.

✓ During 2012, OPS staff completed 1,229 reviews of police and peace officer curricula statewide.

Law Enforcement Accreditation

The Law Enforcement Accreditation Program has operated since 1989. To become an accredited agency, police agencies must meet 133 standards, undergo a three-day assessment and be approved by the New York State Law Enforcement Council. Accreditation formally recognizes that a law enforcement agency meets expectations of quality and implements sound and effective policies. Additionally, the accreditation process provides a comprehensive blueprint for effective, professional law enforcement and ensures that officers are adequately trained which keeps them, and the public, safe.



✓ The number of law enforcement agencies earning accreditation increased between 2008 and 2012.

✓ As of December 2012, 60% of law enforcement officers working outside of New York City worked for accredited agencies.

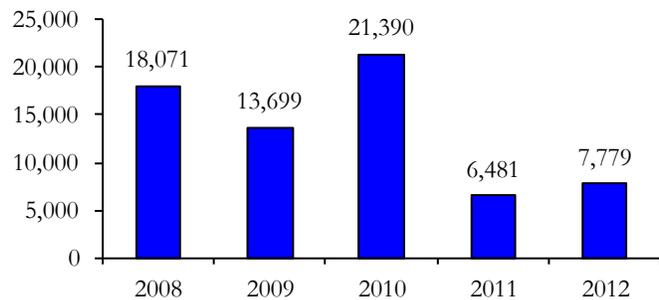
Office of Public Safety

Registry and Training Records Processing

Pursuant to Executive Law, DCJS is required to maintain a central registry of police officers and peace officers. At the end of 2012, there were 165,993 officers (99,302 peace and 66,691 police) registered in New York State.

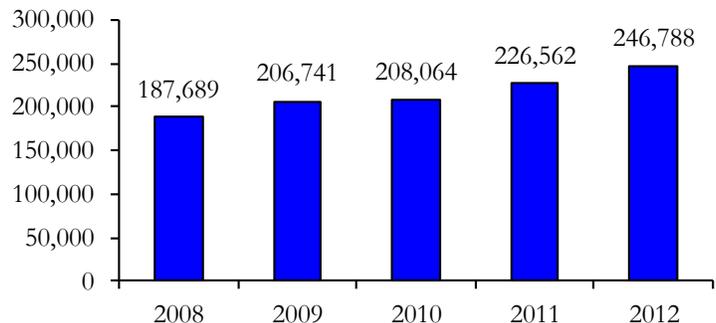
- √ During 2012, OPS processed 7,779 registry records, compared to 6,481 records during 2011. 2010 data includes 8,315 FDNY records processed to clear up a 10-year backlog of registrants.

Registry Records Processed
(Annual)



- √ During 2012, OPS processed 246,788 training records. OPS staff maintains records of mandated training of these officers and private security guards.

Training Records Processed
(Annual)

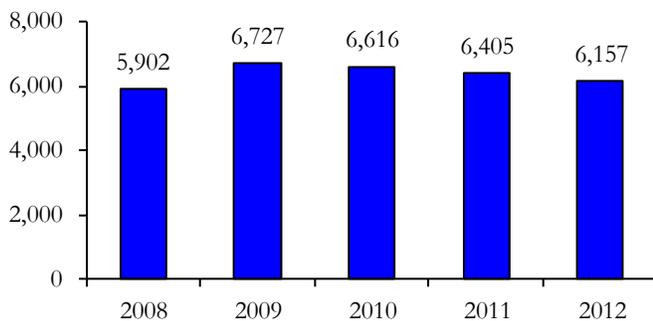


Office of Public Safety

Equipment Repair

OPS operates an equipment repair center where most law enforcement agencies bring their speed and alcohol instruments for repair and calibration. Law enforcement agencies are required to certify annually that their speed and alcohol detectors are working properly. Certification is obtained by bringing the equipment to DCJS, where it is calibrated and certified for use. There is also a process that provides for “phone-in” certification. Customers rate their service satisfaction on a scale of 1 (Poor) to 5 (Excellent). DCJS continued to provide outstanding service to law enforcement agencies during 2012.

OPS Instruments Repaired/Certified
(Annual)

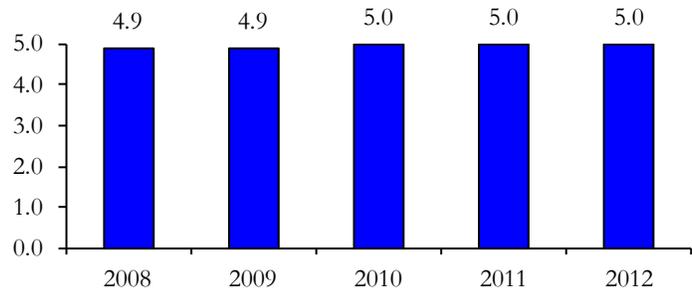


✓ The number of instruments that OPS repaired/certified was 6,157 in 2012, a decrease (-4%) from 2011.

✓ During 2012, all repairs and certifications were conducted within two days.

✓ The equipment repair center continued to earn consistent satisfaction ratings of “Excellent” throughout 2012.

OPS Equipment Repair Satisfaction
Rating
(Annual)



Office of Probation and Correctional Alternatives

Mission

To reduce recidivism and promote community safety by providing oversight and funding to probation departments and community correction agencies that help hold offenders accountable, guide them in changing their behavior and collect and provide restitution to victims of crime in New York State.

Scope of Operations

The Office of Probation and Correctional Alternatives (OPCA) develops regulations and standards, provides general oversight and administers state aid funds to promote probation and other community corrections services. New York's Executive Law mandates that there shall be a state Probation Commission consisting of a state director and six other members, including members of the community, probation administrators and probation officers and the state administrator of the Unified Court System. OPCA includes the following five program areas:

Key Public Service Areas

- Probation Department Oversight, Funding and Regulation
- Training and Offender Workforce Development
- Interstate Transfer of Probationers
- Program Funding and Standards
- Leandra's Law – New York State Ignition Interlock Devices

- **Adult and Juvenile Probation Operations** - Provides funding and regulatory oversight to the New York City Probation Department and 57 county probation departments. Provides funding and oversight on New York State's Ignition Interlock Program, including training and technical assistance and qualification of Ignition Interlock Manufacturers.
- **Training** - Develops and provides training and technical assistance to probation officers and community correction professionals in juvenile and adult evidence-based probation practices, including sex offender management, domestic violence, cognitive-behavioral intervention and risk and need assessment. This includes the statutorily required three week training for all new probation officers and the three week National Institute of Corrections (NIC) Offender Workforce Development Specialist training for probation officers and ATI staff.
- **Provide Information** - Develops and provides the most current evidence-based information available to probation and community corrections professionals to assist in effective community supervision of offenders.
- **Probation Interstate Transfer** – Manages the interstate transfer of juveniles and adult probationers each year between New York and all other states pursuant to the Interstate Compact for Juveniles (ICJ) and the Interstate Commission for Adult Offender Supervision (ICAOS). Both Compacts have the force and effect of federal law.
- **Program Funding and Standards: Alternatives to Incarceration (ATI)/Re-entry/Family and Mental Health and Offender Workforce Development** - Establishes standards and oversees development of community-based programs. Monitors funding of performance-based contracts, providing technical assistance and training. Programs include local alternative to incarceration programs, New York State's 19 County Re-entry Task Forces, 200% of Poverty Programs, specialized programs that address the needs of individuals with mental illness and those in need of job readiness who are involved in the criminal justice system.

Office of Probation and Correctional Alternatives

Adult/Juvenile Operations

OPCA supports and coordinates efforts across the state to provide consistent, effective probation supervision and reduce recidivism.

Case Management

Caseload Explorer is a comprehensive, automated case management system, developed by Automon, Inc. to specifically meet the needs of all New York counties and support all probation functions from pre-trial services to restitution, fines and criminal and family court investigation and supervision.

The system produces state-mandated reports, as well as local correspondence and forms, and integrates with the Integrated-Probation Registrant System (I-PRS) and Youth Assessment Screening Instrument (YASI). The integration provides efficiencies in data entry, increases the amount of data available and improves the accuracy and timeliness of information.

✓ As of December 31, 2012, the system had been implemented in 51 county probation departments across the state.



Integrated-Probation Registrant System (I-PRS) Caseload Reconciliation

I-PRS maintains a registry of adult probationers which allows departments to be notified through a hit notice when probationers are arrested. OPCA monitors data quality of I-PRS with monitoring reports shared regularly with probation departments to ensure that cases no longer under active supervision are closed. OPCA has established five percent as the acceptable threshold for tolerance of cases listed as being beyond their Maximum Expiration Date (MED); departments should have fewer than five percent of their cases listed as MED if there is no violation of probation pending.

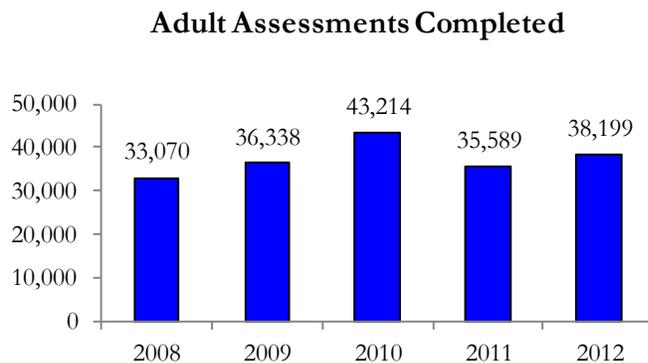
✓ As of December 31, 2012, the active I-PRS cases that appear able to be closed but still open was 3%.

Office of Probation and Correctional Alternatives

Risk and Needs Assessments

New York is committed to the use of actuarial, validated risk and needs assessments as a tool for probation departments in their supervision of adults and juveniles. The use of risk and need assessments in combination with professional judgment assists departments in identifying the likelihood of failure to appear if released on bail; in developing the pre-sentence investigations and sentencing recommendations; in case planning and management and in producing better case outcomes, primarily reducing recidivism. DCJS provides the infrastructure for county probation departments to use the NYCOMPAS instrument for adult assessment and the Youth Assessment Screening Instrument (YASI) for juvenile assessment. Both are accessed through the Integrated Justice Portal by probation staff.

Probation departments in New York State supervise nearly 113,000 adult probationers, with nearly 38,000 new adults offenders sentenced to probation in 2012.



✓ In 2012, probation agencies completed 38,199 assessments and 50,266 reclassification assessments.

✓ At the end of 2012, a total of 57 departments outside New York City were using NYCOMPAS.

In New York State, more than 18,000 juvenile cases are seen annually at intake (pre-court screening and service provision) by local probation departments, with more than 2,600 formal family court sentences to probation. The Youth Assessment Screening Instrument (YASI) is a set of assessment and case planning tools, practices and software for use with PINS and JD cases at juvenile intake, investigation and supervision in counties outside New York City. OPCA staff provides guidance, training and technical assistance to probation departments regarding the use of YASI for the juvenile population.

✓ YASI was utilized by 57 jurisdictions outside New York City during 2012, with 24,477 new assessments completed. Since the use of YASI began in 2000, probation agencies have completed assessments on more than 134,000 youth.

Probationer Sex Offender Address Confirmation

OPCA requires all 58 probation departments to confirm quarterly the addresses of more than 4,300 sex offenders listed in the New York State Sex Offender Registry (SOR) who are under probation supervision. If sex offenders are not residing at the registered address but their location is known, change of address forms are completed and sent to the Sex Offender Registry within 48 hours. If the probationer has absconded, a request is made that a warrant be issued. Probation departments must certify to OPCA each quarter that a warrant for the arrest of every probation sex offender absconder has been requested or obtained.

Office of Probation and Correctional Alternatives

- √ As of December 31, 2012, 93% of sex offenders under probation supervision were at the residence listed. A change of residence was confirmed in 1% and warrants were either active or requested in the remaining 6%.

DNA Collections by Probation Departments

Probation departments are required by law to collect DNA samples from convicted offenders under probation supervision for prescribed offenses. DCJS prepares monthly reports on the percentage of required DNA collected by probation departments. Since the inception of the DNA legislation, probation departments have collected more than 148,000 DNA samples.

- √ As of December 31, 2012, DNA samples collected from probationers in New York State have helped to aid in investigations for 1,449 crimes, including 123 homicides. Twenty-three of the samples in the 123 homicide cases were collected from probationers pursuant to the Subject Index requirement, which allows for the collection as a condition of release or supervision or as part of a plea agreement on offenses that would otherwise not require a DNA submission upon conviction.

Leandra's Law

Extensive work has been done by OPCA staff to implement Leandra's Law, which was enacted in November 2009. The law requires that persons convicted of VTL Section 1192 offenses have an ignition interlock device installed in any motor vehicle they own or operate. OPCA monitoring ensures the law and regulations are uniformly applied across the state. DCJS conducted numerous training sessions across the state for law enforcement, prosecutors, courts, probation and others responsible for the implementation of the law.

- √ During 2012, a total of 18,086 court orders were issued for ignition interlock conditions and compliance with Leandra's Law. Of those, 4,855 ignition interlock devices were installed within the reporting quarter.

Training

OPCA educates and trains probation officers and other community corrections professionals by providing virtual and live training sessions. OPCA works closely with members of a statewide Training Committee, comprised of probation professionals from across New York, in the development, design and delivery of training curricula and the promotion of evidence-based practices.

Office of Probation and Correctional Alternatives

The following training classes were offered during 2012:

OPCA Specialized Training Held and Personnel Trained 2012 (Annual)		
Course Category/ Subject	Training Sessions	Number of Participants
Domestic Violence - Probation Interviewing Techniques	5	131
Basic Probation - Fundamentals of Probation Practice, Firearms, Supervision Run, COMPAS and Interstate Compact	37	2,250
Probation Management - Executive Leadership	1	4
Evidenced-Based Programs - Motivational Interviewing, County Re-entry Task Forces and Stable and Acute	9	330
Sex Offender Focus	2	40
Ignition Interlock	5	185
Offender Workforce Development Specialist Training	4	28
Other - Juvenile Risk Intervention Services Coordination (JRISC), Effectiveness and Interactive Journaling	12	433
2012 Totals	75	3,401

Offender Workforce Development

OPCA staff trains probation and community corrections professionals on the National Institute of Corrections (NICs) Offender Workforce Development Specialist (OWDS) curriculum to enable probation officers or alternative to incarceration program staff to facilitate Ready, Set, Work! groups in their local counties. This training occurs over three weeks and includes more than 180 hours of instruction time and preparation. The 20-hour curriculum for the offender, includes job readiness with skill building to obtain employment and achieve job retention for probationers or other individuals under criminal justice supervision.

✓ OPCA conducted one OWDS training in 2012, with 25 graduates from 14 different organizations.

✓ In 2012, 23 OWDS-trained agencies conducted 80 Ready, Set, Work groups, with 486 offenders.

Providing Information

OPCA provides probation professionals with the most current information available to assist in effective community supervision of offenders. Policy memoranda and research bulletins are periodically released to advise community corrections professionals and provide them with examples of evidence-based practices.

Office of Probation and Correctional Alternatives

- ✓ In 2012, OPCA prepared and issued 20 State Director Memoranda and 28 informational memoranda to provide policy guidance to county probation departments. Topics included COMPAS, State Aid, Probation Violator Residential Centers, Risk Assessment for Sex Offenders, Re-entry Task Forces, Interstate Transfer Operations, Sex Offender Registry Address Confirmation, Leandra's Law, and Case Record Management.

OPCA prepares a number of electronic newsletters that are distributed to more than 3,200 community corrections professionals.

- ✓ During 2012, nine **eFocus** newsletters for probation and community corrections professionals, as well as policy makers, were published to provide information and updates on probation and community corrections issues, policies, trainings and events.
- ✓ During 2012, two **In Touch with OWDS** newsletters for Offender Workforce Development Specialists (OWDS) and others interested in offender employment were published.

Promulgation of Rules and Regulations

The following rules and regulations were developed, amended and/or adopted during 2012:

Probation Supervision Rule: A new Probation Supervision Rule was promulgated which will streamline supervision procedures in New York State to promote best probation professional practices, afford additional flexibility and increase discretion to line probation officers and provide some measure of probation mandate relief. It continues the maintenance of minimum supervisory standards throughout the state to ensure similar offender treatment in key aspects of delivery of probation services; this rule was effective on June 1, 2013. OPCA's Probation Supervision Rule Workgroup, comprised of a cross-section of state and local probation practitioners and representatives of state and probation professional associations, was instrumental in assisting DCJS to update this rule.

Probation Case Record Management Rule: Substantive and technical amendments were made to address certain concerns with record access, limitations and confidentiality and clarify regulatory language. These regulatory amendments will clarify rule language governing mandatory sharing of probation case record information in an effort to assist practitioners in fulfilling their responsibilities under law and clarify discretionary sharing of probation case record information authorized in existing law and expand the ability to share and/or otherwise disclose certain case record information to particular individuals or entities for public safety and/or case management purposes.

Interstate Compact

The OPCA Interstate Compact Unit manages the movement of adult and juvenile probationers into and out of New York State, in accordance with the federal Interstate Compact for juvenile and adult supervision, for the purpose of maintaining continuous and uninterrupted supervision in the interest of public safety. Unit staff process and monitor transfers, respond to related correspondence, provide technical assistance to local probation staff and serve as the liaison between local

Office of Probation and Correctional Alternatives

jurisdictions and other state compact offices. Special attention is focused on more serious transfers such as sex offenders, domestic violence cases, violent felons, high profile and child victim cases.

- ✓ During 2012, 88.5% of requests for transfer were processed within the federal standard of 45 days.



- ✓ During 2012, 1,255 applications were received by OPCA staff for the transfer of probation cases out of New York State. This is a slight decrease (-4%) from the 1,301 applications received during 2011.

- ✓ During 2012, 2,813 applications were received and processed by OPCA staff for the transfer of probation supervision cases into New York State, a decrease (-3%), from 2011.



- ✓ At the end of 2012, a total of 5,799 Interstate Transfers were currently under supervision, an increase of 24% from the 4,669 under supervision at the end of 2011.

Program Funding and Standards

Alternatives to Incarceration (ATI)

OPCA's ATI Unit manages performance-based contracts serving criminal and Supreme Court defendants. Funding that is provided directly to localities through Article 13A Classification Law requires the annual submission of county-based service plans, and provides for the approval for localities to utilize reduced classification within county jails. Funding is also provided through competitive Requests for Proposals. DCJS Staff provide training and technical assistance and closely monitor program operations through a combination of site visits and report monitoring.

Office of Probation and Correctional Alternatives

- ✓ During 2012, funding was disbursed to 172 programs in 56 counties and the City of New York, which reported providing services to over 87,000 participants:
- 62,560 individuals (72%) were served by Pre-Trial Services programs;
 - 9,876 individuals (11%) were served by Specialized Drug/Alcohol Treatment programs;
 - 6,536 individuals (7%) were served by Community Services Sentencing programs;
 - 5,795 individuals (7%) were served by Treatment Alternatives for a Safer Community programs and
 - 2,256 individuals (3%) were served by Defender-Based Advocacy programs.

Family and Mental Health Programs

200% of Poverty programs work with custodial or non-custodial parents under community supervision, and Mental Health Shared Services programs work with individuals with serious mental illness who are under community supervision. Participants are connected to mental health and substance abuse treatment. DCJS staff provides technical assistance and closely monitors program operations.

- ✓ During 2012, funding was disbursed to 19 programs, working with over 1,400 participants:
- 1,057 individuals (73%) were served by 200% of Poverty programs and
 - 394 individuals (27%) were served by Mental Health Shared Services programs.

Residential Stabilization Centers (RSC)

The Regional Residential Stabilization Centers (RSC), formerly known as Probation Violation Residential Centers (PVRs) provide a graduated sanction and diversion from state prison for individuals who have violated or are at risk of violating or unsuccessfully completing probation or an ATI program. RSCs also provide an immediate resource to probation departments and ATIs seeking to admit individuals into residential treatment programs in lieu of incarceration. The RSCs offer highly structured supervision in a supportive environment and include access to other treatment and cognitive-behavioral interventions. DCJS staff provides technical assistance to the programs, and closely monitors program operations.

- ✓ At the end of 2012, there were four RSCs: two in New York City and two upstate (Albany and Dutchess counties) serving individuals in the local and surrounding counties.
- 168 individuals were served by RSCs during 2012.

County Re-entry Task Forces (CRTF)

OPCA manages the work of 19 County Re-entry Task Forces (CRTF) cooperatively with the NYS Department of Corrections and Community Supervision (DOCCS) and other state and local partners to identify and address the needs of the moderate- to high- risk offender population returning to the community. The array of services includes assisting individuals to access housing, employment, substance abuse treatment and mentoring programs to support the successful transition from prison to community.

- During 2012, the CRTF programs accepted 3,015 participants into their programs.

Office of Sex Offender Management

Mission

To protect the public, ensure effective management and supervision of sex offenders and reduce recidivism.

Scope of Operations

The Office of Sex Offender Management (OSOM) oversees the Sex Offender Registry (SOR) and has responsibility for statewide sex offender management. OSOM establishes standards and guidelines concerning how to best manage, treat and supervise sex offenders. OSOM includes the following six program areas:

Key Public Service Areas

- Sex Offender Registry
- Public Information on Sex Offenders
- Sex Offender Address Verification

- **Sex Offender Registry** – Administers the New York State Sex Offender Registry and maintains the accuracy and completeness of the SOR.
- **Registration Process** – Processes Sex Offender Registration forms and Change of Address forms.
- **Sex Offender Address Verification** – Oversees the annual address verification process, including notifying law enforcement when sex offenders fail to comply with the annual verification requirements. Responsible for updating offender photos in the SOR database and on the SOR website.
- **Sex Offender Searches** – Conducts searches against computerized SOR files (for employers, volunteer groups and the public, among others).
- **Technical Support** – Provides technical assistance and support to law enforcement agencies, prosecutors and courts.
- **Training** - Provides training to law enforcement, prosecutors and supervising agencies on the Sex Offender Registration Act and the Sex Offender Management and Treatment Act.

The office is responsible for implementing new sex offender laws and policies. In recent years, this has included the following:

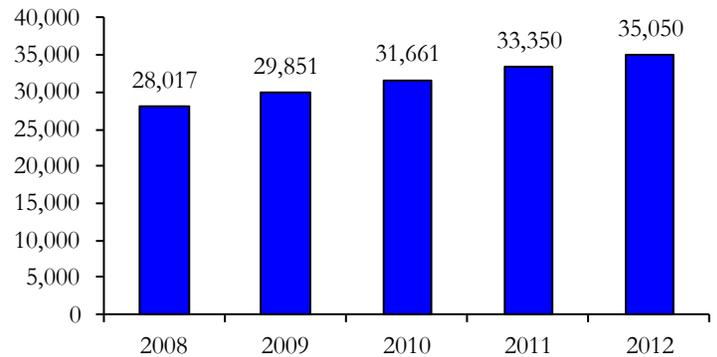
- Requirement that Internet addresses be collected from registrants (e-STOP, 2008)
- Requirement for family courts to check SOR in custody or visitation cases (2009)
- Requirement that employment information be collected from Level 2 offenders (2011)

Office of Sex Offender Management

Sex Offender Registry

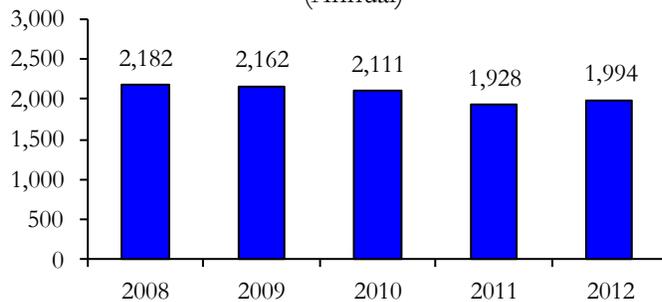
The Sex Offender Registration Act (SORA) requires offenders to register their addresses with the state and authorizes law enforcement to notify the public about certain sex offenders living in their communities. Laws enacted during the past 14 years have added requirements to the registration process and increased the number of crimes for which offenders are required to register. This, in conjunction with the fact that no offenders have yet been removed from the SOR due to the minimum 20-year registration requirement, has resulted in a steady increase in the number of registered sex offenders. By the end of 2012, 35,050 offenders were on the state's Sex Offender Registry (SOR).

Offenders on Registry
(End of Year)



Registration forms signed by the offender are forwarded to the SOR by state and local courts, local jails and the state Department of Corrections and Community Supervision (DOCCS). For those offenders released from prison, the registration forms are prepared and forwarded to the SOR by the state correctional facility 10 days before release. SOR also registers offenders convicted in other jurisdictions who reside in New York State.

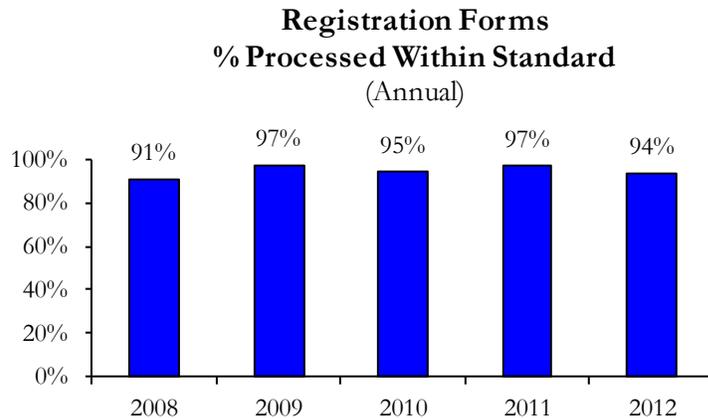
Sex Offender Registry
Registration Forms Processed
(Annual)



√ During 2012, 1,994 registration forms were processed, a slight increase from 2011.

To ensure that information on newly registered sex offenders becomes available to the public as quickly as possible, SOR has established targets for timely data entry of registration forms into the SOR database. Registration forms that contain all mandatory data have a target entry date of one business day from the date of receipt. Many registration forms submitted to the SOR are missing information and require extensive follow-up by staff. For these forms, the target timeframe for data entry is two business days.

Office of Sex Offender Management



✓ During 2012, 94% of sex offenders were registered within Registry standards.

- ✓ The SOR also processed 38,273 address changes for offenders during 2012, up 11% from 2011. All updates received must be processed quickly and accurately to ensure current offender address information is provided to the public and law enforcement in a timely manner.

Establishing Risk Levels for Sex Offenders

A critical objective of sex offender management is to maintain up-to-date information on the SOR and ensure that convicted sex offenders are assessed for risk of re-offense. By law, only information on Level 2 and Level 3 offenders, those considered to be at a higher risk of re-offending, are posted on the public website. Until a risk level is determined, no active community notification can occur and cases cannot be posted to the public website. Information about Level 1 offenders and offenders whose risk level is pending, is only available through a toll-free number (1-800-262-3257).

Protocols to ensure risk levels are established include a weekly case review of all offenders scheduled for release from prison and the preparation of a monthly list of offenders residing in the community whose cases are pending a court risk level hearing. These efforts have minimized the number of pending cases, despite the growth of the SOR.

Offenders on NYS Sex Offender Registry By Risk Level (End of Year)

	2008	2009	2010	2011	2012	% of 2012 Total
Level 1	10,326	11,148	11,902	12,627	13,312	38%
Level 2	10,074	10,648	11,229	11,799	12,363	35%
Level 3	6,972	7,455	7,815	8,235	8,621	25%
Pending *	645	600	715	689	754	2%
Total Cases	28,017	29,851	31,661	33,350	35,050	100%

* Includes cases not yet assigned to a court.

- ✓ At the end of 2012, 754 registrants were pending a risk level determination, representing only 2% of the 35,050 registered.

Office of Sex Offender Management

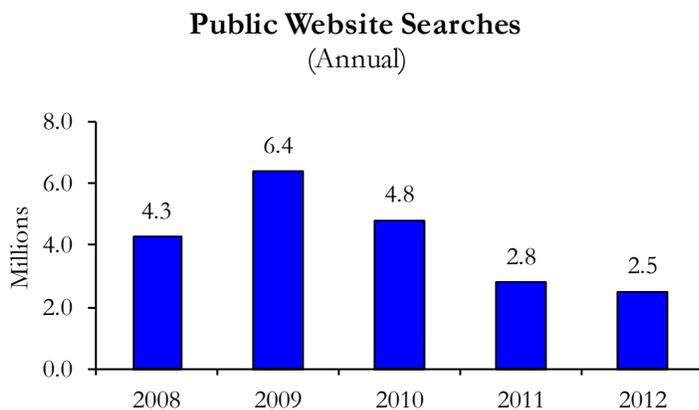
Training

DCJS provides training on the Sex Offender Registration Act, the Sex Offender Management and Treatment Act and on the use of Integrated Justice Portal, through which law enforcement has access to the complete Sex Offender Registry.

- ✓ During 2012, OSOM participated in a training session in partnership with leading experts in the field; 40 participants attended. Participants included law enforcement; parole and probation personnel; judges; prosecutors; court personnel; treatment providers; victim advocates; prison and local jail personnel and school representatives.

Sex Offender Information Provided to the Public

Pursuant to statutory requirements, DCJS provides sex offender information to the public through the DCJS website and a toll-free telephone number that operates 24 hours per day. By law, information provided on the website is limited to Level 2 and Level 3 sex offenders.



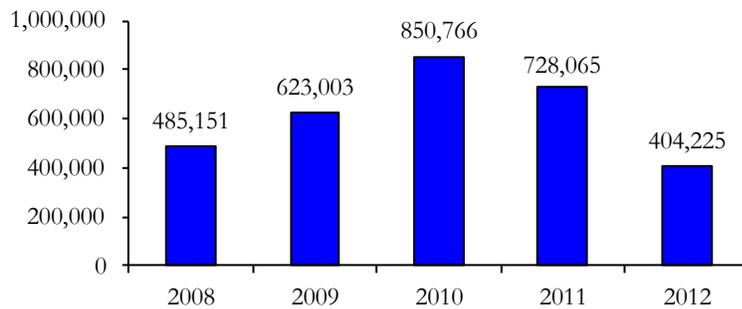
- ✓ Searches on the DCJS website decreased in 2012, with 2.5 million searches conducted. The decline since 2009 is due to a decrease in automated (robotic) searches, which ceased to work after the implementation of a new information technology system for the Registry.

The website allows users to search using one of three options: 1) by specific offender last name; 2) by all offenders within a county; and 3) by all offenders within a given zip code. A list of matching offenders is returned to the user, who can then view a comprehensive profile that includes the offender's address and crime of conviction.

Office of Sex Offender Management

In addition to the information available on the website, citizens, organizations and employers can call the 24-hour, toll-free number to inquire whether a specific person (or list of persons) is listed on the SOR. These phone inquiries require SOR staff to conduct a manual search of the SOR database. Since 2008, the SOR has accepted computerized files for comparison against the SOR.

**Phone/Fax/Data File Searches
Conducted by DCJS**
(Annual)



√ There were 404,225 name searches conducted by SOR staff in 2012.

**Matches Returned from Searches Conducted by Registry Staff
for Phone/Fax/Data File Inquiries**
(Annual)

	2008	2009	2010	2011	2012
Searches	485,151	623,003	850,766	728,065	404,225
Matched	1,355	1,214	1,217	766	1,088
Percent Matched	0.3%	0.2%	0.1%	0.1%	0.3%

√ Of the 404,225 searches conducted by the SOR in 2012, matches were found in 1,088 cases, 0.3% of the searches conducted.

Managing Sex Offenders in the Community

DCJS plays a critical role in supporting and providing information to local law enforcement to enable them to manage and supervise sex offenders in the community. This is done in several ways:

Information for Law Enforcement

The full Sex Offender Registry is a resource available through the Integrated Justice Portal, a secure website for law enforcement use. This database includes a complete sex offender address history, including last reported address, a history of the offender's compliance with annual verification requirements and current status information. The complete SOR is available to all law enforcement agencies, district attorneys' offices, local parole offices, county probation departments and criminal courts, ensuring that all agencies that monitor and supervise sex offenders have the most up-to-date

Office of Sex Offender Management

information available. The SOR has a dedicated telephone line for law enforcement needing assistance, and handles more than 300 calls per month. Calls are handled for law enforcement both within and outside of New York State.

Offender Compliance

Each year, on or about the anniversary of a sex offender's initial registration, DCJS mails an annual address verification form to the sex offender's last listed address. If the sex offender does not reside at the last address on file at the SOR, the form will be returned to DCJS by the Post Office. Offenders are required to sign and return the Annual Address Verification Form to DCJS within 10 days of receipt. If an offender fails to sign and return his or her Annual Address Verification Form within the allotted time frame, DCJS notifies law enforcement agencies having jurisdiction where the sex offender resides, indicating that he or she failed to comply with the annual address verification requirements. Offenders who have been deported or are voluntarily living outside of the United States are excluded from the Annual Address Verification.

✓ During 2012, 31,166 annual address verification forms were mailed by DCJS. In addition, 29,192 annual address verification forms were processed by SOR staff, many of which contained offender information requiring an update to the SOR.

When a sex offender fails to comply with SOR requirements, the offender is subject to arrest for failing to register or verify. Failing to perform a SOR obligation under the Sex Offender Registration Act is a class E felony upon the first offense; any second or subsequent offense is a class D felony. Local law enforcement agencies continue to arrest sex offender registrants for failing to register or verify with the SOR. Failure to comply with the law also is a violation of parole or probation for sex offender registrants under those types of supervision.

✓ In 2012, SOR staff prepared 1,105 affidavits for law enforcement. When required, testimony is provided for prosecution of fail-to-register cases.



✓ During 2012, a total of 524 failure to register/verify convictions were reported, a decrease of (-7%) from 2011.

Office of Forensic Services

Mission

To assist in solving and preventing crime by providing administrative oversight of the state's DNA Databank, public forensic laboratory accreditation and local DNA sample collection efforts.

Scope of Operations

The Division of Criminal Justice Services provides administrative oversight of the DNA Databank through its Office of Forensic Services (OFS). The Databank was first established by statute in 1994 and authorized the collection of DNA samples for a limited number of felonies, including murder and rape. Statutory changes expanded the databank four times since 2010, but all of the changes were incremental. In 2012, New York became the first state in the nation to require DNA samples from anyone convicted of a felony or Penal Law misdemeanor effective August 1. The new law substantially increased the workload for OFS, and its implementation was a major focus for 2012.

Key Public Service Areas

- DNA Databank Oversight
- DNA Sample Processing Compliance
- Training, Education and Technical Assistance
- Laboratory Accreditation

OFS includes the following four program areas:

- **Administrative Oversight of DNA Databank** - Reviews DNA submission records for offender samples and determines whether DNA samples were collected in accordance with State law.
- **Training and Technical Assistance** - Provides training and technical assistance to law enforcement officials on DNA Databank requirements and the DNA collection process. Facilitates highly specialized technical training for crime laboratory personnel.
- **Laboratory Accreditation** - Monitors forensic laboratories' compliance with accreditation standards established by the New York State Commission on Forensic Science.
- **Staff Support** - Provides staff support to the New York State Commission on Forensic Science, DNA Subcommittee and technical working groups.

Office of Forensic Services

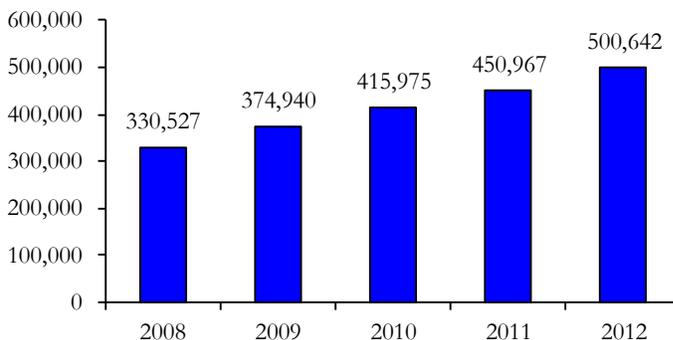
DNA Databank

The state's DNA Databank is part of the national Combined DNA Index System (CODIS). CODIS is made up of local, state and national DNA databanks. The Federal Bureau of Investigation (FBI) serves as the link between New York's DNA Databank and other participating states. This tiered approach allows individual state and local agencies to operate their respective DNA databanks according to applicable state law and local policy.

In New York State, there are eight local DNA laboratories, including the New York State Police Forensic Investigation Center (FIC) in Albany. Local laboratories each maintain a database that is comprised of DNA profiles from crime scene evidence submitted by the law enforcement agencies they serve. The local laboratories upload their crime scene DNA profiles to the State DNA Forensic Index housed at the FIC in Albany. These profiles are routinely compared to each other to identify and link criminal incidents that may involve the same perpetrator.

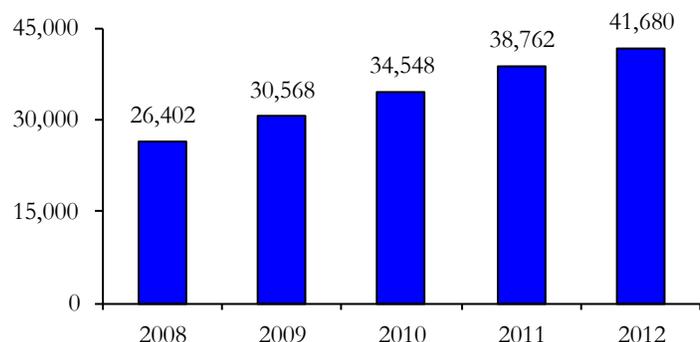
The FIC maintains the state's Convicted Offender Index and the Subject Index. Offender profiles are compared with crime scene samples maintained in the Forensic Index. From the New York State Databank, qualifying profiles can be uploaded to the National DNA Index, where New York State cases can be compared to other cases and offender indices from across the country.

Offender Samples on File
(Cumulative)



✓ At the end of 2012, there were 500,642 offender samples on file in the DNA Databank, an increase of 11% from 2011. The larger increase in 2012 is due to the 2012 legislative expansion, which was effective on August 1.

Crime Scene DNA Profiles
(Cumulative)



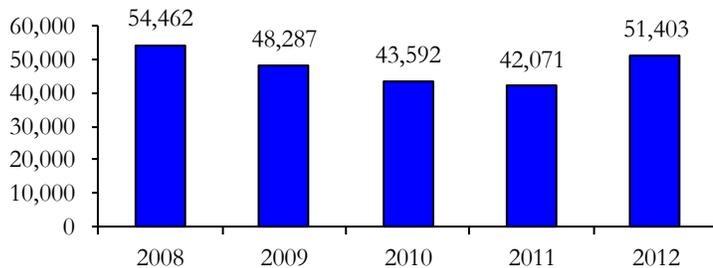
✓ At the end of 2012, there were 41,680 crime scene profiles on file in the DNA Databank, an 8% increase over 2011.

Office of Forensic Services

DNA Offender Sample Submissions

The Division of Criminal Justice Services works with state and local agencies to ensure collection of DNA from all eligible offenders. During 2012, OFS sponsored 11 DNA collection trainings attended by 355 personnel from various criminal justice agencies.

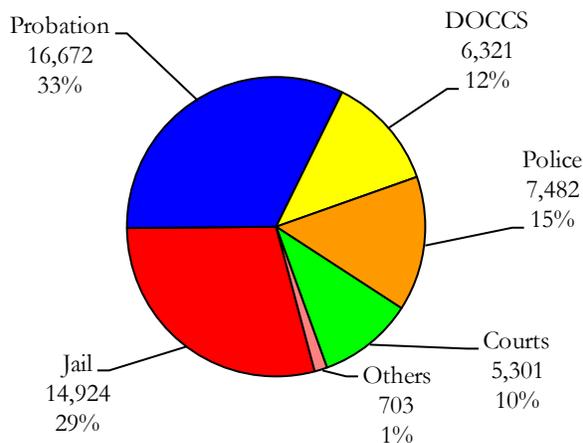
DNA Offender Sample Submissions
(Annual)



✓ During 2012, 51,403 samples were collected. The increase in submissions for 2012 is due to the recent DNA expansion.

OFS closely monitors DNA collection rates by county and collecting agency. OFS staff routinely contacts any court, probation department, law enforcement agency or jail which has lower than acceptable collection rates in an effort to improve collections.

2012 DNA Sample Submissions
(n=51,403)



✓ Probation departments and local jails were the largest contributors to the DNA Databank in 2012, collecting 62% of total DNA samples submitted. State DOCCS submitted 12%.

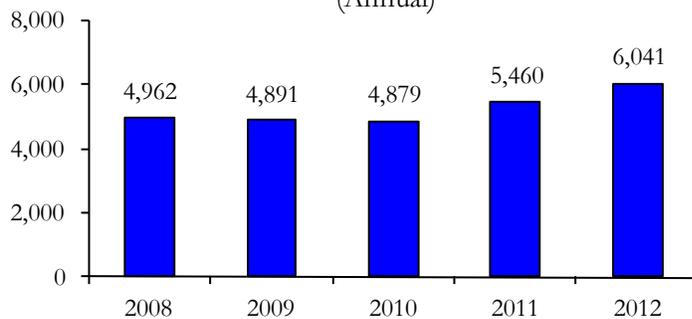
✓ Police and Courts accounted for a combined 25% of all samples submitted. Others, which include local law enforcement agencies account for 1% of the annual submissions.

Office of Forensic Services

DNA Subject Index

A regulation promulgated in January 2006 allowed for the collection of DNA as a condition of release or supervision or as part of a plea agreement on offenses that would otherwise not require a DNA submission upon conviction. Due to the legislation that now requires all felony and penal law misdemeanors to submit a sample, the number of subject index submissions will decline. Currently, the majority collected are for VTL misdemeanors.

**DNA Subject Index Submissions
Passed Samples Only
(Annual)**

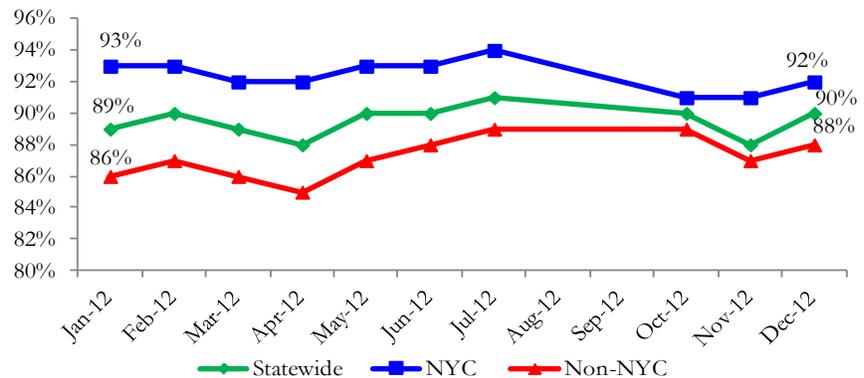


√ Of the 51,403 samples collected in 2012, 12% were Subject Index submissions.

While strict protocols at reception result in state DOCCS collecting DNA from virtually every eligible offender, securing collections from offenders sentenced to local jail, probation or a non-incarcerative sentence has been more challenging. DCJS measures the rate of collection for DNA-eligible sentences and provides local agencies with lists of offenders owing a DNA sample. The measure shows the percentage of DNA-eligible offenders sentenced 90 days prior to the reporting month that have a DNA sample on file at the end of the reporting month. This information is made available to law enforcement on eJusticeNY and the public on the DCJS website.

DNA Submissions by Region

√ The overall statewide DNA collection rate ranged between 88% and 91% during 2012.



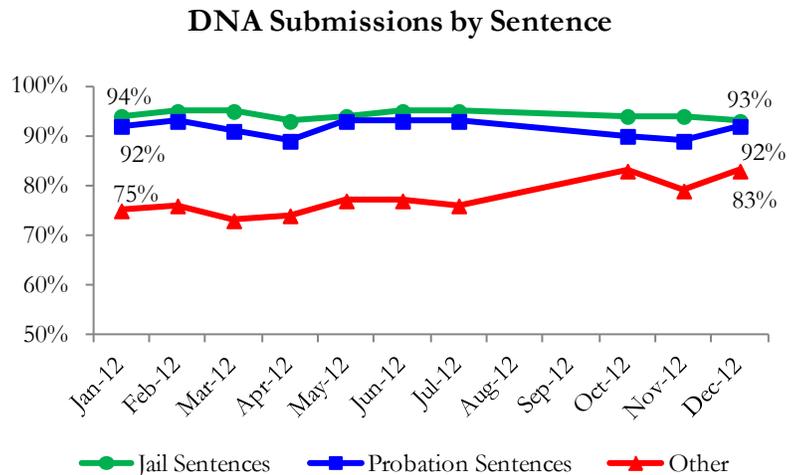
* Data from August and September 2012 are not available due to technical issues.

Office of Forensic Services

✓ The DNA collection rate for local jails averaged 94% during 2012.

✓ Collection rates by local probation departments remained steady during 2012, although collection rates vary among individual departments.

✓ “Other Sentence” collection rates improved significantly during 2012, but are still substantially lower than the rates of collection on jail and probation sentences. “Other Sentences” include fines, conditional discharges, time served and community service. Maintaining a high collection rate has proven challenging because arrangements for these collections must be made at the time of sentencing, and the collections involve a large number of town and village courts and local agencies.



DCJS DNA Databank Oversight

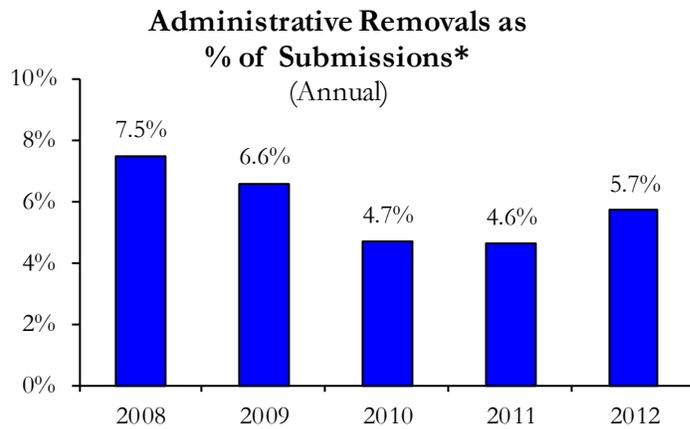
OFS provides administrative oversight of the DNA Databank. Offenders convicted of designated offenses, as defined in Executive Law §995(7), must, in accordance with Executive Law §995-c(3), provide a DNA sample for inclusion in the state DNA Databank.

DNA samples with accompanying documentation are submitted by the collecting agency to the State Police Forensic Investigation Center (FIC) for processing. FIC staff record the receipt of a sample and forward the documentation to OFS for review and approval. OFS reviews the criminal history record (rapsheet) of each offender for whom a sample was collected to verify that the offender has a qualifying conviction. Specimens that have been collected according to DNA collection protocols are then approved for processing.

Subject Index DNA profiles are obtained from offenders convicted of crimes whose DNA samples were collected pursuant to a plea agreement; or as a condition of release or program participation within DOCCS; or as a condition of probation or interim probation supervision.

The collection of DNA samples from individuals to be included in the Subject Index are performed using the DNA sample collection kit specifically for Subject Index offenders. A copy of the documentation that provides the basis for the collection must accompany the DNA Submission Form that is included in the kit in order for the offender’s profile to be approved for inclusion into the Subject Index. OFS reviews the documentation of each submission to ensure that there is authority to analyze and retain the sample in the Subject Index.

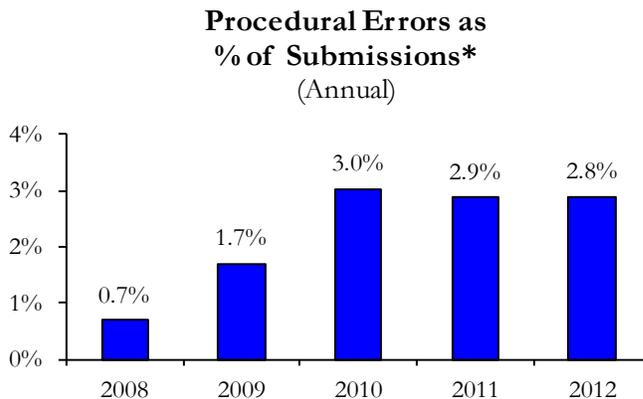
Office of Forensic Services



✓ In 2012, 3,086 DNA samples were administratively removed from the process, representing 5.7% of total submissions. The increase is related to system changes associated with the 2012 DNA expansion.

* Excludes pending submissions.

Strict collection protocols have been established to ensure the chain of custody and physical integrity of the DNA sample. When samples are not collected in accordance with required collection protocols, the sample may be removed from the process as a procedural error. The submitting agency is notified of the error and the need to collect a new sample. OFS has established a target rate for procedural errors of 3% or less.



✓ In 2012, 1,492 DNA samples were removed from the Databank as a result of a procedural error, representing 2.8% of submissions.

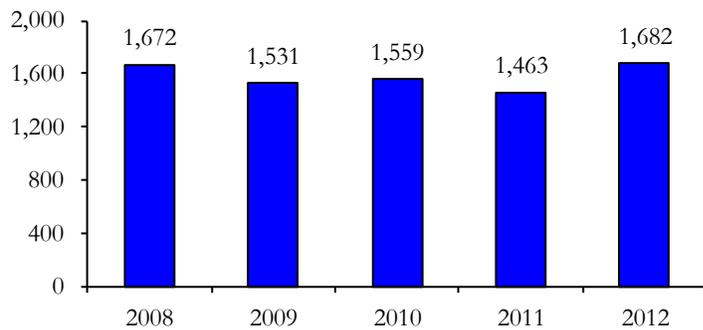
* Excludes pending submissions.

DNA Databank Hits

A DNA Databank hit is a result of a match between a DNA profile developed from crime scene evidence and an offender DNA profile stored in the DNA Databank. Law enforcement agencies are notified of these hits, which serve as investigative leads. The law enforcement agency then determines the significance of the evidence in the context of other investigative information when considering criminal charges.

Office of Forensic Services

DNA Hits by Year
(Annual)



✓ In 2012, there were 1,682 hits to the DNA Databank, a 15% increase from the hits reported during 2011. The increase in hits is due to the recent DNA expansion.

✓ Since the Databank's inception through December 2012, there have been a total of 12,019 hits.

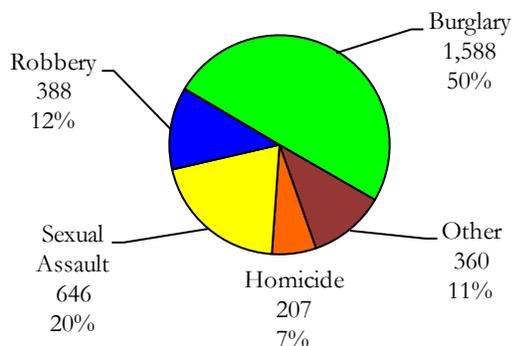
The Office of Forensic Services gathers available information regarding the type of crime linked to the offender through Databank hits.

Type of Crime	Hits	Percent of Hits
Burglary	4,123	34%
Sexual Assault	3,890	32%
Robbery	1,371	11%
Homicide	979	8%
Other	1,656	14%
Total	12,019	100%

✓ Of the 12,019 hits generated since inception, 8% were against physical evidence collected in connection with homicide investigations and 32% were in connection with sexual assault investigations. In addition, 34% were in connection with a burglary and 11% in connection with a robbery.

DCJS routinely contacts district attorneys' offices to determine the disposition of cases in which the DNA Databank has linked an offender to evidence recovered in a case.

Hits Resulting in Conviction
As of December 31, 2012
(Cumulative)



✓ As of December 2012, 3,189 conviction outcomes were reported to DCJS, representing 27% of the total hits to the Databank.

✓ Of the conviction outcomes reported, 646 (20%) were for sexual assault cases and 207 (7%) were for homicide cases.

Office of Forensic Services

Laboratory Accreditation

OFS monitors forensic laboratories' compliance with accreditation standards established by the New York State Commission on Forensic Science. Laboratories must demonstrate compliance with the standards of the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or, if the laboratory performs only toxicology testing, the standards of the American Board of Forensic Toxicology (ABFT). In addition, DNA labs must comply with all conditions of the FBI's Quality Assurance Standards for Forensic DNA Testing Laboratories.

There are currently 22 public forensic laboratories accredited by the Commission on Forensic Science. In addition to reviewing all documentation between the laboratories and the oversight entities, OFS also facilitates specialized technical training and other activities to enhance lab efficiency, effectiveness and reliability and promotes coordination and information sharing among the various laboratories' activities include the following:

- **Staff Support to the Commission on Forensic Science and DNA Subcommittee.** The Commission and DNA Subcommittee were established pursuant to Article 49-B of the Executive Law to develop minimum standards and a program of accreditation for all forensic laboratories in New York State. Accreditation of forensic DNA laboratories is granted by the Commission upon the binding recommendation of the DNA Subcommittee. The DNA Subcommittee also advises the Commission on any matter related to the implementation of scientific controls and quality assurance procedures for the performance of forensic DNA analysis.
- **Technical Support to the Commission on Forensic Science.** During 2012, OFS facilitated four Commission on Forensic Science and four DNA Subcommittee meetings. OFS also conducted 14 technical working group (TWG) meetings that were attended by a wide range of laboratory personnel. The subjects covered in the TWG meetings included: toxicology; quality assurance; firearms; trace evidence; arson; digital evidence; latents; drugs and biological evidence.

OFS regularly provides training and technical assistance to law enforcement officials statewide on the requirements associated with the DNA Databank and the DNA collection process.

- **Technical Training for Crime Laboratory Personnel.** OFS facilitates highly specialized technical training programs for crime laboratory personnel to maintain proficiency and currency in analytical methods. OFS sponsored 27 trainings attended by 673 forensic laboratory personnel from various forensic disciplines in 2012.

Office of Program Development and Funding

Mission

To develop programs and direct criminal justice resources to reduce crime and improve criminal justice services.

Scope of Operations

The Office of Program Development and Funding (OPDF) allocates state and federal funding to support criminal justice strategies and monitors programs funded by DCJS. OPDF applies for formula and discretionary federal awards and pursues grant opportunities for state criminal justice agencies and local partnership projects. OPDF develops programs identified through legislation or Executive priorities.

Key Public Service Areas

- Federal Funding Oversight
- Administration of State and Federal Grant Programs
- Local Assistance Contract Administration
- ARRA Funding Oversight

The Office of Program Development and Funding (OPDF) includes the following five program areas:

- **Administration** - Provides administrative support for OPDF. The unit distributes neighborhood watch materials, maintains the Grants Management System (GMS), prepares Federal Funding Accountability and Transparency Act (FFATA) reports on behalf of DCJS and prepares website updates. This unit also administers federal formula grant funding awarded under the Byrne Justice Assistance Grant (JAG). JAG funds support initiatives under seven congressionally authorized purpose areas that are designed to improve the criminal justice system.
- **Law Enforcement** - Oversees law enforcement grants to police departments, sheriffs' offices, probation departments and county agencies. The unit includes the Motor Vehicle Theft and Insurance Fraud Prevention program, which facilitates meetings of the Statewide Advisory Group for Motor Vehicle Theft and Insurance Fraud. The unit also oversees all grants pertaining to Operation IMPACT, Operation IMPACT Tools, legislative member initiatives and Byrne JAG grants for law enforcement initiatives.
- **Community Laboratories and Legal Services** - Provides fiscal resources to crime laboratories, courts, legal services agencies and district attorneys' offices across the state, as well as local criminal justice agencies providing crime prevention efforts. The unit also oversees local assistance grants authorized under legislative member initiatives and the Byrne JAG funds.
- **Violence Against Women** - Oversees the STOP Violence Against Women Act (VAWA) formula grant program designed to improve the criminal justice system's response to violent crimes against women. Also oversees the Federal Sexual Assault Services Prevention Act grants, as well as Byrne JAG and legislative member items designed to combat domestic violence and sexual assault. Disseminates the state's Sexual Offense Evidence Collection Kit and Drug Facilitated Sexual Assault Kit and provides supportive services to sexual assault examiners statewide.
- **Probation and Correctional Alternatives** – Supports the development of evidence- informed and performance-based contracts with the local probation departments and non-profit organizations providing direct services to justice involved individuals.

Office of Program Development and Funding

Support for Criminal Justice Initiatives

OPDF plays a key role in several criminal justice strategy and policy areas:

- √ The Law Enforcement Unit facilitated two regional and one statewide meeting of the Motor Vehicle Theft and Insurance Fraud (MVT&IF) Advisory Group in 2012. The group is responsible for providing information to the MVT&IF Prevention Program Board for the development of a Plan of Operation to curtail motor vehicle theft and motor vehicle insurance fraud throughout the State.
- √ More than \$9.1 million in Byrne JAG funding was awarded during 2012 to support 83 law enforcement projects. Awards were made to support Information Technology positions at the DCJS-supported Crime Analysis Centers, as well as the purchase of police equipment, including In-Car Video Systems, patrol vehicles, Mobile Data Terminals and license plate readers (LPRs). Awards were made to six forensic crime laboratories to support quality assurance and backlog reduction efforts.
- √ The Probation Unit of OPDF coordinates with the Office of Probation and Correctional Alternatives (OPCA) to ensure that Alternative to Incarceration contracts are developed and processed efficiently and that agencies comply with all contractual requirements. The unit develops and manages contracts in the following funding streams: Alternatives to Incarceration (ATI) programs, including Article 13-A Classification/Drug and Alcohol Programs (120); Demonstration and Shared Services ATI Programs (20); and Probation Violation Residential Centers (PVRC), also known as Residential Stabilization Centers in New York City (4). Additionally, the unit manages grants and the 59 Governor's Traffic Safety Committee Ignition Interlock Device Monitoring Programs. The Probation Unit also developed contracts for 19 countywide Re-entry Task Forces around the state.
- √ In 2012, the VAWA Unit administered two awards from the U.S. Department of Justice Office on Violence Against Women. The first was the Violence Against Women Act (VAWA) S.T.O.P. Formula award of \$7,042,623, which funded 115 state and local contracts to courts, prosecutors, police departments, hospitals, Sexual Assault Forensic Examiners and advocacy programs that provide direct services for victims of domestic violence, sexual assault, stalking and dating violence. The coordinated community response to domestic violence and sexual assault was enhanced through direct funding to local Domestic Violence and Sexual Assault Response Teams. The second federal award in 2012 was for \$299,122 under the VAWA Sexual Assault Services Program (SASP), which provided operational funding to 48 sexual assault and rape crisis programs. The VAWA Unit also administered 101 legislative local assistance awards to law enforcement, prosecutors and domestic violence and sexual assault victim service providers. During 2012, the VAWA Unit coordinated the distribution of 4,500 Sexual Assault Forensic Evidence Collection kits and 1,254 Drug Facilitated Sexual Assault Evidence collection kits statewide.

Contract Monitoring

OPDF allocates local assistance funding to support criminal justice agencies and initiatives. The contract process, which is comprised of multiple activities and functions, begins with the

Office of Program Development and Funding

development of the grant application and the grantee award notification. OPDF is responsible for all grant contracts until the grant contract is closed. Included in this process are developing Requests for Applications (RFAs), Requests for Proposals (RFPs), monitoring grantee progress, ensuring that the grant fulfills all obligations, approving contract payments and processing all contract-related amendments. When the contract period is completed, and all required program and fiscal reports are received and fiscal claims paid, the contract is closed.

Contracts Executed/Closed

(Annual)

	2008	2009	2010	2011	2012
Contracts Executed During Year	1,088	933	885	1,381	845
Contracts Closed	1,295	1,850	1,169	1,059	1,464

√ A total of 845 new grant contracts were executed during 2012 and 1,464 contracts were closed.

Active Contracts

(End of Year)

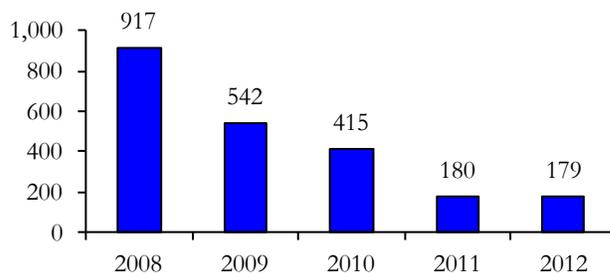
Contract Type	2008	2009	2010	2011	2012
Active (Fully Executed)	1,309	965	799	871	882
Pending (In Process)	1,069	882	588	647	496
Active/Pending Contracts	2,378	1,847	1,387	1,518	1,378

√ At the end of 2012, OPDF was responsible for 1,378 active or pending grant contracts. Of these, 496 were in process and 882 were fully executed.

OPDF staff who are assigned contract monitoring responsibilities conduct site visits of grantee organizations to ensure that services are provided in accordance with contract terms. Beginning in 2009, OPDF began making greater use of technology (such as webinars) to provide cost-effective training/technical assistance to grantees facing changes in grant reporting and program requirements.

Site Visits

(Annual)

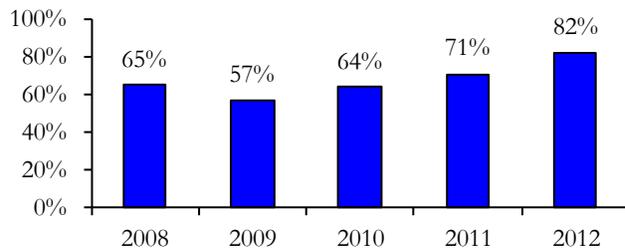


√ 179 site visits were conducted during 2012, about the same as in 2011.

Office of Program Development and Funding

DCJS has established a 170-calendar day processing time target for all grant contracts. Processing time is monitored in three categories: OPDF processing time, grantee time and DCJS Financial Services processing time. Each month, progress in each category is measured as the percent of completed contracts that were processed within the timeframe established for that category.

Percent of Contracts Processed Within 170 Days



✓ During the year, 82% of grant contracts were processed within the 170-day target, an increase from 2011.

Phases of Processing

OPDF processing time is the time OPDF staff spent processing a grant contract; the unit has set a target time of 45 days for this segment of grant processing.

Grantee processing time consists of the number of days the grant contract is with the grantee. This includes time between the date the award notice is mailed to the grantee and the return of a completed application. Grantee processing time also includes the time it takes the grantee to return the signed contract to OPDF. A target time of 90 days has been set for this portion of the process.

Financial Services processing time is measured from the date the grant contract is forwarded by OPDF to DCJS Financial Services to the date it is returned to OPDF from Financial Services. A target time of 35 calendar days has been set for this portion of the process.

Percent of Contracts Processed Within Target by Contract Phase						
		(Annual)				
	Target	2008	2009	2010	2011	2012
OPDF Processing	45 days	73%	53%	48%	58%	64%
Grantee Processing	90 days	48%	65%	69%	75%	79%
Financial Services Processing	35 days	81%	73%	83%	76%	79%
Total Grant Processing	170 days	65%	57%	64%	71%	82%

✓ In 2012, 64% of grant contracts were processed by OPDF within 45 days.

✓ The percent of grant contracts returned within the 90-day standard was 79% during 2012, the highest in the last five years.

✓ In 2012, 79% of contracts were processed within the 35-day target timeframe for the Financial Services processing segment, a slight increase from 2011.

Office of Juvenile Justice

Mission

To develop programs, provide training and technical assistance and develop policy to reduce juvenile crime, unnecessary confinement and juvenile re-offending.

Scope of Operations

Created in 2011, the Office of Juvenile Justice (OJJ) provides staff support to juvenile justice initiatives and provides state leadership on strategic investment and policy development to reduce juvenile crime and break the cycle from juvenile system involvement to adult offending. Those efforts include promoting juvenile justice system accountability, developing innovative front-end strategies to reduce juvenile crime and supporting statewide reform efforts focused on reducing unnecessary juvenile detention and placement. This work is accomplished in partnership with the New York State Juvenile Justice Advisory Group (JJAG). In its capacity as staff to the JJAG, DCJS compiles and analyzes statewide juvenile justice data, researches best practice in juvenile justice, outlines how best practices can support data-driven juvenile justice needs and prepares applications for federal funds. In addition, DCJS designates a staff member to be a Juvenile Justice Specialist to represent the state to the federal Office of Juvenile Justice and Delinquency Prevention (OJJDP), monitor state compliance with the core protections of the Juvenile Justice and Delinquency Prevention Act (as a condition of receipt of the federal funds) and to administer and monitor use of federal juvenile justice funds. A critical element of that work involves monitoring the disproportionate contact of minority youth with the juvenile justice system statewide and developing and implementing strategies to reduce racial and ethnic disparities.

Key Public Service Areas

- Juvenile Justice Policy Development
- Administration of Federal Juvenile Justice Grant Programs

The Office of Juvenile Justice (OJJ) includes the following three program areas:

- Staff support for the **Juvenile Justice Advisory Group (JJAG)** – including developing funding priorities and applications for federal funding; monitoring compliance with the core requirements of the JJDP Act; and developing funding solicitations for local projects and overseeing project implementation. More information on the JJAG is available at: <http://www.nysjjag.org/>.
- Staff support for the **Strategic Planning Action Committee (SPAC)** – including the implementation of New York’s strategic plan for juvenile justice reform. Activities include staffing quarterly SPAC meetings and regular Executive Committee calls as well as convening workgroups of juvenile justice system stakeholders as needed to execute action steps identified in the strategic plan.
- **Special Projects** – completes applications for competitive federal grant opportunities; oversees new initiatives that result from additional federal funding; and supports policy requests from the Deputy Secretary for Public Safety.

Office of Juvenile Justice

Together with the JJAG, during 2012, the OJJ launched efforts in these key areas:

- ✓ Promoted accountability in juvenile justice by supporting key research initiatives and strengthening and standardizing performance measurement in juvenile justice programming. Worked closely with the DCJS Office of Justice Research and Performance to support the development of a central clearinghouse for state and local sources of juvenile justice data.
- ✓ Developed front-end strategies to reduce entry into the juvenile justice system through projects to divert low and moderate risk youth from deeper system involvement through restorative justice measures at probation intake.
- ✓ Implemented behavioral health screening and treatment as a diversion tool for youth with co-occurring disorders.
- ✓ Implemented efforts to avoid school-based arrests and out of school suspensions for youth at risk of school exclusion.
- ✓ Supported statewide reform efforts to reduce the unnecessary use of juvenile detention and placement through alternative to detention programming for youth who are detained due to unsafe or unavailable home environments and through local initiatives to reduce disproportionate minority contact in secure detention settings.
- ✓ Staffed a Juvenile Re-entry Task Force and developed, with that Task Force, a state strategic plan for juvenile re-entry. The Office continued to work to implement key pieces of that plan both through the provision of technical assistance to localities and through the development of federal funding proposals to implement the portions of the plan that require an infusion of new funds.

Training

OJJ staff convenes experts on various juvenile justice topics to promote best practices in juvenile justice across the state. Subjects for training courses during 2012 included disproportionate minority contact and juvenile re-entry.

- ✓ OJJ staff directly trained or facilitated eight training courses for 315 personnel during 2012.

Office of Administration

Mission

To provide efficient and high-quality support services to the Division of Criminal Justice Services (DCJS) and its hosted agencies.

Scope of Operations

The Office of Administration provides support for the Division of Criminal Justice Services (DCJS), the Office of Victim Services (OVS), the State Commission of Correction (SCOC), the Office for the Prevention of Domestic Violence (OPDV) and the Board of Examiners of Sex Offenders (BOE).

The Office of Administration includes the following three program areas:

Key Public Service Areas

- Human Resources Management
- Workforce Diversity and Equity Programs
- Financial Services
- Administrative Services

- **Human Resources Management** - Oversees position classification; training; examination planning; recruitment and staffing; time and attendance; payroll and benefits administration; employee and labor relations programs and the agency's workforce diversity and equity programs.
- **Financial Services** - Manages cash, revenue and local assistance funds. Responsible for purchasing, contracts, in-house grants and voucher payments. Develops and implements budgets and spending plans and prepares required reports.
- **Administrative Services** - Supports agency programs by providing mail and courier services; printing and graphics; central supply and warehouse services; telecommunications and facilities management for all locations. Administrative Services is also responsible for agency fleet management, security systems, inventory and records management programs.

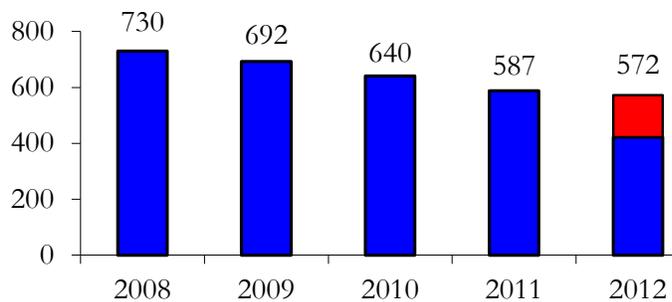
Office of Administration

Administration's agency-wide cost-saving efforts allow DCJS to continue to function with a high level of service in the face of budget reductions. The automation and streamlining of processes by Administration and other DCJS offices ensure the continuity of business processes.

Human Resource Management

Human Resources Management (HRM) is responsible for monitoring staffing levels for all program areas within DCJS and its hosted agencies. HRM also provides human resource support for the Office of Information Technology Services (OITS) staff residing at DCJS.

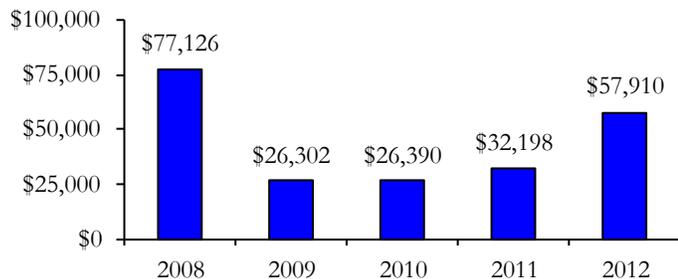
DCJS Staffing Levels
(End of Year)



- ✓ DCJS staffing declined by 158 filled positions from 2008 to the end of 2012. 151 additional employees were transferred to ITS at the end of 2012.
- ✓ Administration provided support services for staff in the hosted agencies during 2012.

In November 2012, 151 OJIS staff, services and functions were transferred to the NYS Office of Information Technology Services (ITS). The staff are included in this chart for comparison purposes.

DCJS Overtime Paid
(Annual)



- ✓ Overtime costs rose in 2012 from previous years, but are still 25% less than in 2008.

Human Resources at DCJS is also responsible for providing technical guidance and support in the areas of organizational development; labor relations; affirmative action; recruitment and interviewing; cultural awareness and diversity; reasonable accommodations; position classification; staff development and payroll and benefits.

Office of Administration

Reasonable Accommodations

Pursuant to the American With Disabilities Act (ADA), the New York State Human Rights Law and state mandates, DCJS provides reasonable accommodations to persons with disabilities who are otherwise qualified for the state government positions for which they are applying, or in which they are already employed. Reasonable accommodations may be requested regardless of title, salary, grade, bargaining unit, employment status or jurisdictional classification.

- √ During 2012, reasonable accommodations were provided for 25 individuals - 22 for DCJS employees and three for employees in its hosted agencies.

Language Access Plan

Pursuant to the Statewide Language Access Policy, DCJS has an approved Language Access Plan to address the communication needs of Limited English Proficient individuals. Since October 2012, all DCJS program areas have access to translation and interpretation services. Selected informational pages on the DCJS public website have been translated into the six most populous languages: Spanish, Russian, Korean, Chinese, French Creole and Italian.

- √ Since implementation, the highest volume of calls requesting interpretation has been from Spanish speakers.

Financial Services

Financial Services is responsible for executing grant contracts. Contracts are reviewed to ensure that all required documentation is included before submission to the Office of the State Comptroller (OSC) and the Attorney General's Office (AG) for approval.

Contracts Executed (Annual)

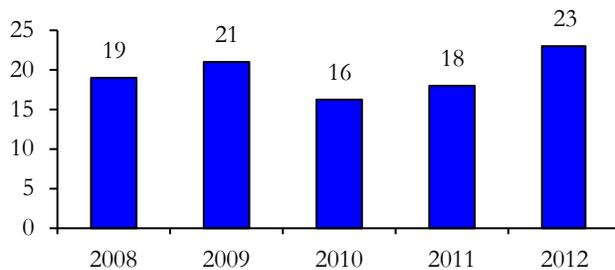
	2008	2009	2010	2011	2012
Grant Contracts Executed	968	818	890	890	810
Contract Dollars Processed (Millions)	\$103.8	\$125.3	\$136.8	\$104.6	\$98.7

- √ During 2012, Financial Services processed 810 grant contracts, down (-9%) from 2011. The contract dollars processed was \$98.7 million, down (-6%) from 2011. This reduction in contracts and spending is due to the expiration of contracts funded through American Recovery and Reinvestment Act dollars.

Office of Administration

A target of 35 calendar days has been established as the maximum number of days a grant contract should be in the Financial Services phase of contract processing. The 35-day period includes time needed for Financial Services review, OSC and AG review and time needed to return the approved contract to the DCJS Office of Program Development and Funding (OPDF).

Financial Services Processing Time
(Median Days)



✓ During 2012, Financial Services consistently met its goal, processing grant contracts within 23 days, well under the 35-day processing time target.

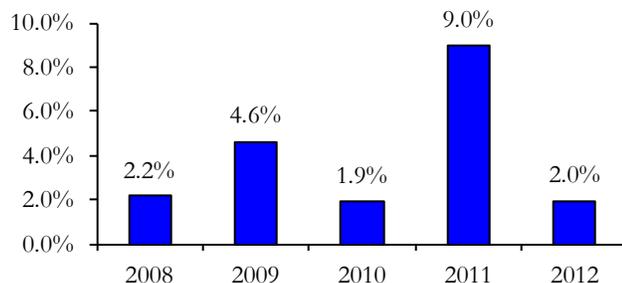
Financial Services reviews grant contracts prepared by program staff before submission to OSC and the AG for approval. Contracts that are inconsistent with OSC and AG guidelines are returned to OPDF for correction or modification.

✓ During 2012, 16 grant contracts were rejected by the Office of the State Comptroller and sent back to Financial Services.

✓ During 2012, 16 grant contracts were rejected by Financial Services back to OPDF, compared to 80 rejected in 2011. The 2011 contract rejections were elevated due to the transition of Office of Probation and Correctional Alternatives contracts to the Grants Management System (GMS) and a new centralized approval process.

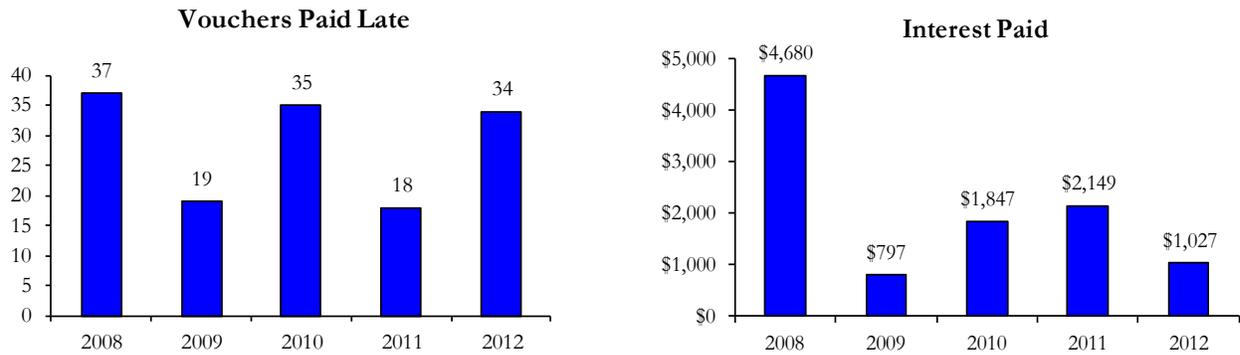
✓ Rejected contracts represented 2% of total contracts processed. Financial Services and OPDF continue to work closely to ensure that grant contracts submitted for processing are complete and error-free.

Contracts Rejected as
% of Total Contracts Executed



Office of Administration

Financial Services is responsible for paying all vouchers within the 30-day timeframe prescribed under state Finance Law. In instances where vouchers are not paid within the prescribed time frame, state agencies are required to pay interest on the late payment to any interest-eligible vendors. Financial Services recognizes that at times, circumstances arise where late payments are unavoidable, but seeks to limit these as much as possible.



✓ During 2012, Financial Services paid 34 vouchers late.

✓ A total of \$1,027 in interest on late vouchers was paid in 2012, as compared to \$2,149 in 2011 (-52%), which is within the interest payment target.

Administrative Services

Administrative Services coordinates the printing and copying of agency publications and is equipped with state-of-the art equipment. As a result, numerous print jobs are processed in-house with no outside printing costs. The savings realized from processing printing/copying jobs for DCJS and its hosted agencies are tracked. This calculation is based upon an estimate of the cost of each printing/copying job as if it were sent to the Office of General Services for processing. These costs are reported as savings from in-house processing. There has been a substantial decrease in print jobs since 2008.

Print Jobs
(Annual)

	2008	2009	2010	2011	2012
Print Jobs Requested	1,336	781	697	724	585
Cost Avoidance from In-House Printing	\$265,004	\$76,760	\$77,900	\$85,605	\$103,926

✓ Between January and December 2012, Administrative Services processed and completed 585 print jobs (an average of 49 per month) and 100% were completed within the timeframe requested.

✓ Administrative Services saved \$103,926 during 2012 by completing printing and copying jobs in-house.

Office of Administration

Administrative Services is responsible for operation of the DCJS mailroom and handles all requests initiated by program areas for mass mailings. This service includes folding and inserting correspondence into envelopes.

- √ During 2012, Administrative Services completed three bulk mail requests. All requests were completed within the customer's specified time period.
- √ Administrative Services has also implemented an extensive agency-wide recycling program that recycled an estimated 108,328 pounds of non-electronic material.

Office of Justice Research and Performance

Mission

To inform criminal justice policy by providing research, analysis and performance data.

Scope of Operations

The Office of Justice Research and Performance (OJRP) provides research, analysis and performance data to DCJS, its hosted agencies, local, state and federal agencies, the public and the media.

The Office of Justice Research and Performance (OJRP) includes the following program areas:

Key Public Service Areas

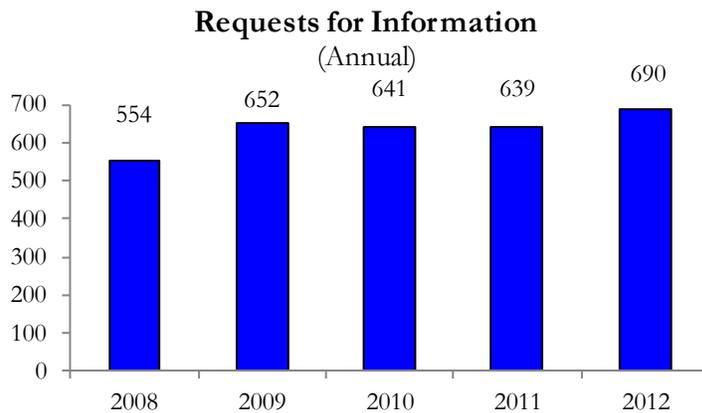
- Criminal Justice Research, Analysis and Statistics
- Crime Reporting
- Performance Management

- **Crime Reporting** - Oversees the New York State Uniform Crime Reporting (UCR) program and the Incident Based Reporting (IBR) program. The unit works with law enforcement agencies to ensure the accuracy, completeness and timeliness of crime data, generates data files for the FBI and oversees a comprehensive reporting system for Operation IMPACT.
- **Performance and Statistics** - Coordinates the New York State criminal justice performance management program, prepares criminal justice statistics and reports to support policy and inform decision-making. A comprehensive range of data is posted to the DCJS website and OpenDataNY, including numerous statistical reports and analyses. Data inquiries are responded to daily.
- **Research and Evaluation** - Conducts research in recidivism and sentencing, risk assessment, diversion programs, cost-benefit analysis, probation, offender re-entry, juvenile justice, domestic violence and crime analysis.
- **Support for Outside Research Partnerships** - Develops and maintains strong partnerships with outside entities, such as the State University of New York at Albany and John Jay College, on research topics including employment suitability determinations, mental illness and juvenile justice. Administers all agreements with outside researchers. Ensures the application of appropriate procedures to address confidentiality laws and standards surrounding information maintenance, analysis and dissemination.

Office of Justice Research and Performance

Provide Criminal Justice Information and Analysis

OJRP provides analytical and statistical information to criminal justice executives and managers, the public, local law enforcement, researchers and the media. Common information requests are for crime statistics and arrest and disposition data. OJRP has added a large amount of data to the public website which, in many cases, has eliminated the need to prepare special data runs. In 2013, OJRP participated in the OpenData.gov project, an initiative aimed at making government more transparent and accessible by placing data files available for download on the [OpenData website](#). The graph below represents requests for data that were not available on the DCJS website.



✓ During 2012, OJRP staff prepared and provided data and analyses in response to 690 requests for information.

OJRP prepares statistical data for posting to the DCJS website, including crime trends, adult arrest and dispositions, hate crime incidents and domestic violence-related data. Information is provided for the state as well as by county, geographic region and reporting jurisdiction.

- ✓ OJRP added seven new datasets to the website in 2012, which now provides historical data on hate crime incidents, juvenile arrests and domestic incidents. With the addition of new information on the public website, OJRP has been able to keep the number of requests responded to at stable levels for the past three years. Many requestors are now referred to the website.
- ✓ To meet customer needs while reducing the number of special requests, statistical information can now be downloaded in both Excel and PDF formats.
- ✓ Monthly and quarterly performance reports were provided to more than 500 police agencies, 62 district attorneys' offices, 58 probation departments, 58 sheriffs' offices, and executives and managers within state agencies to help local executives monitor performance. Many reports are also posted on eJusticeNY, the secure website for law enforcement, where they are available to nearly 50,000 users.

Promote Criminal Justice Research

In recent years, criminal justice policymakers and researchers have focused on the importance of implementing effective programming and supporting evidence-based practices. This has contributed to a dramatic increase in the number of requests to DCJS to support recidivism studies and other

Office of Justice Research and Performance

research. As authorized by statute, DCJS can execute legal agreements to provide case-specific criminal history and other criminal justice data to research organizations in support of research that informs the criminal justice community.

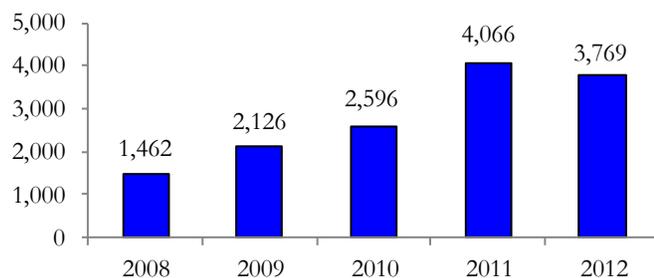
- ✓ In 2012, OJRP entered into non-disclosure agreements with 23 research entities. All agreements require that researchers submit a draft report prior to publication and formally present research findings upon request.
- ✓ Sixty-eight research files were prepared and delivered in support of approved outside research. Research topics included offender re-entry; mental health programming; sex offender studies; recidivism; domestic violence interventions; juvenile recidivism; drug court participation; probation; evaluation of pre-trial services for women; juvenile sentencing outcomes; racial disparities in criminal justice processing; justice system outcomes and alternative-to-incarceration programming.
- ✓ During 2012, OJRP worked closely with 28 different research organizations. This included work on 11 projects which span several years and require on-going OJRP support and file preparation.

Crime Reporting

Pursuant to New York State Executive Law, DCJS operates the New York State Uniform Crime Reporting (UCR) Program. More than 500 police agencies in New York State send monthly crime reports to DCJS, which are reviewed by staff for completeness and accuracy and then added to the state database. The crime data are then compiled and submitted to the FBI. Crime data are also analyzed by DCJS and reports are produced for law enforcement and the public.

- ✓ In 2012, OJRP made more than 3,500 data quality follow-up contacts on crime reporting. This increased level of contact continued the data quality protocols implemented in late 2010 which resulted in a greater number of contacts beginning in 2011.

Crime Reporting Contacts
(Annual)



- ✓ Crime reporting staff follow comprehensive review procedures to ensure all information on homicides committed in New York State are reported timely and accurately. In 2012, Crime Reporting staff reviewed and verified the accuracy of 685 homicides submitted by reporting agencies.
- ✓ OJRP works closely with the DCJS Office of Public Safety to monitor Operation IMPACT program performance. Analyses prepared by OJRP staff are used by IMPACT staff and partners to target state assistance and resources to the areas that need attention.

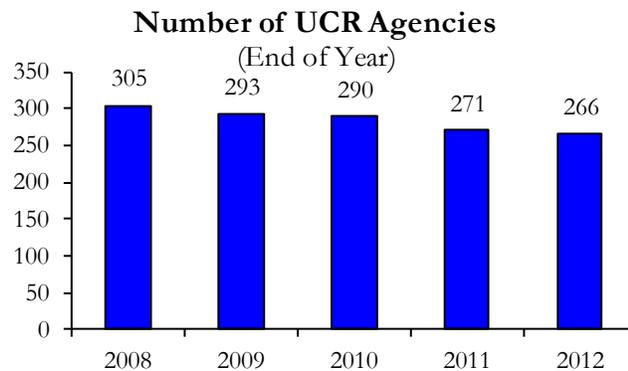
Office of Justice Research and Performance

Law enforcement agencies use one of two reporting systems to submit crime data to DCJS: Uniform Crime Reporting (UCR) or Incident Based Reporting (IBR). UCR participating agencies provide summary counts of reported crimes that have been aggregated into federally-defined crime classifications. Data is provided to DCJS in hard copy reports which are manually entered into the state crime reporting database.

In contrast, IBR agencies submit incident-specific details, including Penal Law charge, and victim and offender information. Data is provided to DCJS as electronic data files which are uploaded to the state crime reporting database. This level of detail provides more comprehensive information on reported crime than is available with UCR data, is generally more accurate and requires significantly fewer resources to collect and process at both the local and state level.

As technology at the local level increases, reporting agencies are becoming more sophisticated in the way they collect and manage incident level data. Many times, these advancements provide reporting agencies with the option to convert from the aggregate summary reporting system (UCR) to the more comprehensive IBR reporting system. Given the national trend and state interest in analyzing incident level crime data, OJRP continues to provide technical support to agencies interested in converting to IBR.

- ✓ At the end of 2012, 266 agencies were participating in the UCR program.



- ✓ During 2012, five law enforcement agencies transitioned to IBR, bringing the total to 272 at year end.
- ✓ At the end of 2012, 35% of the crime reported outside New York City was reported through IBR, an increase of 34% from 2011.



UCR/IBR Automation Project

In 2012, the UCR/IBR Automation Project was started. The first phase of this project, which fully automated the IBR submission process, was completed in December 2012. IBR agencies now upload

Office of Justice Research and Performance

monthly data files directly to the crime reporting database through a user interface on the IJPortal. The second phase of this project involves creating a UCR data entry interface on the IJPortal that will be used by both OJRP staff and reporting agencies to directly enter UCR data to the state database. The expected completion of phase two is in the fall of 2013.

Publications

In addition to conducting research, preparing statistics for the website and responding to data requests, OJRP published a number of reports during 2012 which are available on the DCJS website:

- ✓ *Crime in New York State 2012 Final Report* contains final index crime statistics for New York State in 2012. Historical crime data are also provided.
- ✓ *Hate Crimes in New York State: 2012 Annual Report* provides information on the hate crime incidents that law enforcement agencies reported to DCJS, including data on the number of incidents reported and the type of bias.
- ✓ *Arrests and Arraignments Involving Strangulation Offenses, November 11, 2010 – June 30, 2012* provides the results of a preliminary analysis of arrests and arraignments involving the crime of strangulation in the 20 months following the enactment of the new crime of strangulation in November 2010.
- ✓ *New York State Felony Processing Final Report, Indictment through Disposition, Jan-Dec 2012* describes the processing of felony cases in New York's superior courts.
- ✓ *2009 Drug Law Changes, June 2012 Update* examines the impact of the 2009 drug law changes on felony drug arrests and indictments, as well as on initial case dispositions including diversion to treatment, commitments to prison and prison and prison sentence lengths; offender treatment participation is also examined.
- ✓ *2009 Profile County Re-entry Task Force Participants 2012* contains follow-up information on a cohort of individuals who were referred and accepted for services by the task forces during 2009.
- ✓ *New York State COMPAS-Probation Risk and Need Assessment Study: Examining the Recidivism Scale's Effectiveness and Predictive Accuracy, 2012* examines the effectiveness and predictive accuracy of the New York State COMPAS-Probation Recidivism Scale.
- ✓ *Analysis of Alternative to Incarceration Program Participants, 2012* examines the Alternative to Incarceration programs which are funded by DJCS.
- ✓ *New York State 2012 Report on Felony Insurance Fraud Offenses* provides information related to the processing of persons charged with Insurance Fraud felony offenses.
- ✓ *New York State 2012 Environmental Conservation Law Hazardous Waste and Waste Disposal Offenses* provides information related to the processing of persons charged with violations of various provisions of the Environmental Conservation Law.

Office of Legal Services

Mission

To provide legal advice and counsel to the Division of Criminal Justice Services and to support law enforcement agencies and district attorneys throughout the state.

Scope of Operations

The Office of Legal Services (OLS) provides legal advice and guidance to the Commissioner and agency managers from DCJS. OLS provides guidance to agency staff, including reviewing legal issues related to access to criminal history record information, the administration of the DNA Databank, law enforcement training and accreditation, sex offender issues and agency procurement. In addition, OLS acts as legal advisor to various boards and commissions including the:

- Commission on Forensic Science and its DNA Subcommittee
- Municipal Police Training Council
- Law Enforcement Accreditation Council
- Security Guard Advisory Council
- State Committee for Coordination of Police Services for the Elderly (TRIAD)
- Statewide Law Enforcement Telecommunications Committee
- Motor Vehicle Theft and Insurance Fraud Prevention Board
- Juvenile Justice Advisory Group

OLS is responsible for compiling ideas and drafting the agency's legislative agenda and reviewing and tracking criminal justice legislation generally. OLS also responds to all Freedom of Information Law (FOIL) requests, drafts and promulgates agency rules and reviews ethics issues and outside employment requests. Additionally, it reviews all requests for criminal history record information and drafts Use and Dissemination and non-disclosure agreements for research requests. OLS represents DCJS and host agencies in administrative hearings pertaining to employee relations matters and provides legal advice to the Division's Office of Human Resources Management regarding employee relations issues.

The OLS Law Library maintains subscriptions to Westlaw and Lexis Nexis. It also contains legal publications, including McKinney's Consolidated Laws of New York, certain volumes of the United States Code Annotated, Attorney General and Comptroller Opinions and some legal treatises.

Key Public Service Areas

- Legal Advice and Opinions
- Development and Review of Legislation
- Freedom of Information Law Requests
- Ethics Issues

Office of Legal Services

Support for Other DCJS Program Areas

- √ 765 Freedom of Information Law (FOIL) requests were received during 2012, a decrease from 880 requests received in 2011.
- √ 105 requests for approval for employment outside DCJS were received and processed during 2012, as compared to 66 requests in 2011.
- √ DCJS has hundreds of Use and Dissemination Agreements with outside agencies regarding agency operations. OLS staff handled 194 requests regarding these agreements, an increase of 11 from 2011. These requests include questions regarding existing agreements and creation of new agreements.
- √ In addition, 18 Non-Disclosure agreements for research purposes were prepared during 2012.
- √ OLS staff handles e-mails from the general public including requests for general information, suggestions and comments generated from the DCJS public website. During 2012, 247 responses were drafted in response to e-mails received.
- √ OLS staff responds to correspondence received by the Governor's Office regarding criminal justice issues. During 2012, 258 responses were prepared.

Office of Internal Audit and Compliance

Mission

To provide assurance to management and the public that agency resources are used effectively and efficiently and in accordance with state and federal laws.

Scope of Operations

The Office of Internal Audit and Compliance (OIAC) coordinates and conducts audits for DCJS. These audits include review of the use of criminal history record information (CHRI) to ensure that law enforcement agencies are using these records consistent with state and federal laws. OIAC conducts fiscal audits of entities receiving federal and state funding to ensure that monies are spent in accordance with contract terms. In addition, OIAC conducts reviews of selected DCJS operations to ensure that internal controls have been established and programs are operating effectively.

Key Public Service Areas

- Internal Audits
- Grant Contract Audits
- Criminal History Audits
- Investigations of Fraud, Waste and Abuse

OIAC fulfills the statutory requirement for the DCJS internal audit function. It also offers internal audit services to the DCJS-hosted agencies: Office of Victim Services, the State Commission of Correction, the Office for the Prevention of Domestic Violence and the Board of Examiners of Sex Offenders.

OIAC provides audit and oversight services in the following nine program areas:

- **Internal Audits** - Provide executives and managers with feedback on DCJS operations, including processes, procedures and program effectiveness. OIAC staff also conduct periodic risk assessments to guide the annual internal audit plan.
- **Criminal History Access Compliance Reviews** - Ensure that the access of individual criminal history records by courts, police departments, probation and parole offices, correctional facilities, district attorneys and other law enforcement officials was authorized, necessary and appropriate.
- **Uniform Crime Reporting Accuracy Reviews** - Determine whether the monthly crime statistics reported to DCJS by local law enforcement agencies are accurate and supported by incident reports and other source documentation.
- **Department of Motor Vehicle (DMV) Photo Audits** - Ensure that DMV photos accessed by law enforcement are used only for legitimate investigatory purposes.
- **Grant Contract Compliance Reviews** - Ensure that state and federal funds are expended in accordance with contract terms and that key deliverables are met.
- **Single Audit Monitoring** - Track the submission of Single Audit reports by grantee agencies that receive more than \$500,000 in federal funding.
- **Coordination of External Audit Activities** - Ensure that auditors from Office of the State Comptroller (OSC), the Federal Bureau of Investigation, the U.S. Department of Justice and other oversight agencies have access to the resources and stakeholders needed to complete their reviews. OIAC also coordinates DCJS responses to external audits.

Office of Internal Audit and Compliance

- **Investigations of Fraud, Waste and Abuse** - Provide an independent evaluation of allegations of impropriety through fact finding and evidence gathering to assist DCJS in formulating an appropriate response.
- **Management Advisory Services** - Provide independent feedback on control environments, efficiency and effectiveness, development and documentation of procedures or other areas.

Office of Internal Audit and Compliance

Internal Audits

Pursuant to Executive Law Article 45 and the New York State Government Accountability, Audit, and Internal Control Act, DCJS is required to have an internal audit function. The Internal Control Act requires that internal audits are conducted in accordance with applicable internal audit standards. Those standards include a mandate that audits be selected based upon a risk assessment of agency operations. OIAC is designated as the coordinator for all internal investigations and is also the liaison with the New York State Inspector General's Office. OIAC provides internal audit services to both DCJS and its hosted agencies, including the State Commission of Correction, the Office of Victim Services and the Office for the Prevention of Domestic Violence. OIAC management uses a risk assessment to guide internal audit plans.

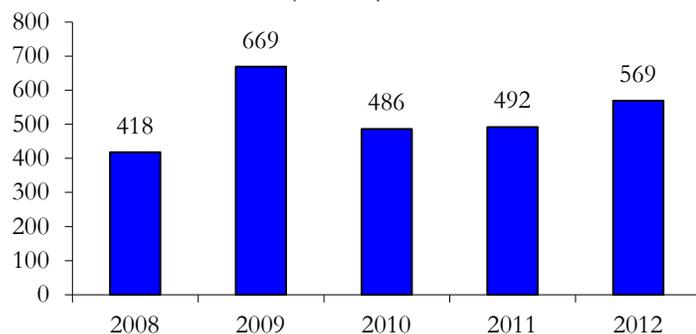
- ✓ Five major internal audits and reviews were completed during 2012: G-212 Procurement Audit; Follow-up Review of the 2010 Time and Attendance Audit; Controls over Access to DCJS Systems; Review of Capnet Telephone Use and Review of Internet Use. Findings were shared with program managers who implemented corrective actions where needed.

Criminal History Access Compliance Reviews

The Office of Internal Audit and Compliance reviews the use of criminal history record information (CHRI) at various state criminal justice agencies and at local law enforcement agencies. The auditors review between 25 and 100 transactions at each agency. Documentation is reviewed for each transaction to ensure that requests for CHRI are consistent with state, federal and local laws. OIAC developed a monitoring database to track the results of site visits and self-audit surveys. A risk score was developed that identifies agencies at a higher risk for engaging in inappropriate access of criminal records based on survey responses and previous audit reports. The highest risk agencies are targeted for on-site review, enabling OIAC to more effectively allocate scarce travel and staff resources. Reviews are completed on a three-year cycle, and OIAC began a new cycle in 2011.

- ✓ During 2012, OIAC reviewed 569 agencies that used official criminal history record information (rapsheets), an increase of 16% from 2011. Findings were shared with audited agencies for corrective action.

Compliance Reviews of CHRI Users
(Annual)



Office of Internal Audit and Compliance

Uniform Crime Reporting Accuracy Reviews

Crime data reported to DCJS by law enforcement agencies becomes part of New York State and national crime statistics. In addition, crime data is summarized by DCJS and provided to police departments for policy and planning purposes. The accurate reporting of crime data assists law enforcement personnel and administration in tracking patterns and trends, deploying resources, allocating funding and developing appropriate interventions for areas with a high volume of crime.

Accurate crime data also is key in gauging the effectiveness of criminal justice programs targeted to crime reduction for certain offenses or in geographic areas.

√ During 2012, OIAC initiated reviews of seven agencies reporting crime through the Incident Based Reporting (IBR) system.

DMV Photo Audits

OIAC plays an important role in ensuring that DMV photos obtained by law enforcement agencies were obtained consistent with DMV rules and regulations regarding access and use. Beginning in 2009, DCJS assumed the lead role in conducting audits of user agencies, a responsibility that previously had been shared with the New York State Police. Site visits are conducted for agencies accessing more than 250 DMV photos per year, while self-audit surveys are permitted for agencies accessing photos less frequently. Continued oversight will help ensure appropriate use of photo files and guard against potential abuse.

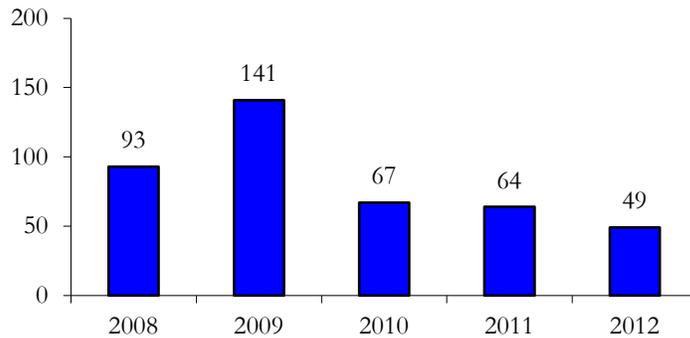
√ Twenty-three DMV photo audits were completed during 2012.

Grant Contract Compliance Reviews

DCJS administers nearly 1,800 grant contracts with government, not-for-profit and law enforcement agencies. During 2012, more than \$135 million in grants were administered through DCJS. Financial audits of grantee compliance with DCJS grant contract terms are conducted by audit staff. Auditors review documentation supporting the grantee's claim for expenditures incurred under its contract with DCJS. Auditors compare reported expenditures to the grant contract budget to ensure that federal and state funds were expended consistent with the contract budget. Beginning in 2009, OIAC's grant contract audits were further expanded through the use of desk audits (review of contract expenditures without a site visit).

Office of Internal Audit and Compliance

Audits of Grant Contracts
(Annual)



✓ During 2012, OIAC conducted 49 fiscal audits of 24 agencies with grant contracts.

Monitoring of Single Audit Reports

Single audits are audits conducted by an independent certified public accountant that include both financial and compliance components covering a grantees' use of federal funds. OIAC monitors receipt of these single audit reports and reviews them to identify issues related to DCJS grantees.

✓ During 2012, 73 Single Audit Reports were received and reviewed by OIAC.

Coordination of External Audit Activities

OIAC serves as the liaison between DCJS management and external oversight agencies.

✓ During 2012, OIAC served as liaison and coordinated responses for three external audits or reviews conducted by either the NYS Comptroller's Office or federal auditors.

Investigations of Fraud, Waste and Abuse, and Misuse of CHRI

OIAC responds to allegations of fraud and abuse that originate both within DCJS and from referral through oversight agencies, such as the New York State Inspector General's Office. In addition, OIAC responds to allegations of misuse of Criminal History Record Information (CHRI) reported internally and by user agencies.

✓ During 2012, OIAC conducted a number of CHRI misuse investigations, including investigation into 57 instances of alleged misuse of CHRI reported by user agencies and private citizens.

✓ OIAC completes follow-ups on complaints filed with the Inspector General's Office against DCJS employees. These complaints are referred for internal investigation to the DCJS Commissioner. OIAC investigated a total of three complaints during 2012.