

# Division of Criminal Justice Services

## Criminal Justice Performance Report



Andrew M. Cuomo  
Governor

Michael C. Green  
DCJS Executive Deputy Commissioner

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Performance Report Series

Issued November 2014

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# 2013 Annual Performance Report for the New York State Division of Criminal Justice Services



NEW YORK STATE  
Andrew M. Cuomo, Governor

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# New York State Division of Criminal Justice Services

## 2013 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 2013. A listing of other annual reports issued by DCJS is provided on the next page.

Office of Justice Research and Performance  
Division of Criminal Justice Services  
Alfred E. Smith Office Building  
80 South Swan Street  
Albany, New York 12210-8002  
(518) 457-7301

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**DIVISION OF CRIMINAL JUSTICE SERVICES**  
**Michael C. Green**  
**Executive Deputy Commissioner**

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

**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).

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

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

**Domestic Homicide in New York State** Information and data about domestic homicide in New York State.

**Hate Crimes in New York State 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).

**New York State Felony Processing Final Report, Indictment through Disposition** 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** 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).

**Committee for the Coordination of Police Services Annual Report** 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).

**New York State 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 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).

**New York State Asset Forfeiture 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) and can be found at: <http://www.criminaljustice.ny.gov/drug-law-reform/index.html>.

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**Appendix A**

# Executive Highlights

This report reviews activities within the New York State Division of Criminal Justice Services during 2013.

## Office of Criminal Justice Operations (OCJO)

- OCJO's 24/7 fingerprint operation processed more than one million fingerprints during 2013: 568,399 arrest, 158,199 other criminal and 557,918 civil.
- At the end of December, 291 agencies were registered for access to the Domestic Incident Report (DIR) Repository, which contained more than 768,000 records. Approximately 189,000 DIRs were added to the Repository during the year.
- The Missing Persons Clearinghouse (MPC) assisted with 310 missing children and college student cases and 88 missing vulnerable adult cases in 2013. Staff trained 1,392 law enforcement personnel on strategies for handling missing persons cases.

## Office of Public Safety (OPS)

- 150 law enforcement training courses, including eight online courses, were held around the state; 10,073 law enforcement personnel were trained.
- The Law Enforcement Accreditation Program continued to grow, providing professional standards designed to improve officers' skills, keeping officers and the public safe. As of December 2013, there were 143 accredited police agencies in New York State.
- OPS staff repaired and certified more than 6,160 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)

- 106 training sessions were held in 2013 on such topics as the state's new supervision rule, interstate compact, domestic violence, evidence-based programs, DNA expansion and risk and needs assessments. Live meetings and in-house training were used to train 8,457 people during the year.
- In 2013, OPCA, with the assistance of Office of Legal Services (OLS), prepared and issued 16 State Director Memoranda and 19 informational memoranda to provide policy guidance to county probation departments. Topics included training opportunities, Youth Assessment Screening Instrument, new domestic violence law, critical incident reporting, sex offender issues, Juvenile Risk Intervention Service Coordination (JRISC), Leandra's law, restitution and case record management.
- 154 Alternative to Incarceration (ATI) programs in 56 counties and New York City were funded in 2013, serving more than 87,000 participants.

### **Office of Sex Offender Management (OSOM)**

- OSOM continued to maintain the state's registry of more than 36,550 convicted sex offenders.
- Staff conducted more than 850,000 sex offender registry searches. State statutes require this information to be shared with programs that enroll children, as well as with the general public.

### **Office of Forensic Services (OFS)**

- The DNA Databank grew to 552,783 specimens by the end of 2013, with 3,894 hits that resulted in convictions reported since inception. Of those, 20 percent involved sexual assaults, 49 percent involved burglary investigations and six percent of the hits were against physical evidence collected in connection with homicide investigations.
- The statewide DNA collection rate for individuals sentenced to jail and/or probation was 90 percent or higher for 11 months of 2013.

### **Office of Program Development and Funding (OPDF)**

- OPDF monitored more than 750 active grant contracts during the year. 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, juvenile justice and domestic violence programs.
- Staff conducted 495 site visits to ensure that grantee organizations provided services in accordance with contract terms.

### **Office of Juvenile Justice (OJJ)**

- OJJ staff trained or facilitated nine training courses for 838 individuals during 2013.

### **Office of Administration**

- During 2013, Administration executed and distributed more than \$82 million to grantees.
- DCJS saved more than \$86,000 in printing costs by printing and copying in-house during the year.

### **Office of Justice Research and Performance (OJRP)**

- OJRP prepared data and analysis in response to 598 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 several research organizations.

#### **Office of Legal Services (OLS)**

- OLS received and responded to 1,092 Freedom of Information Law requests.
- 295 requests for Use and Dissemination agreements and/or questions regarding existing agreements were reviewed by OLS staff in 2013.

#### **Office of Internal Audit and Compliance (OIAC)**

- OIAC conducted seven major internal audits and 73 fiscal audits of grant contracts and reviewed the use of criminal history record information (rap sheets) by 568 agencies.
- OIAC performed 106 DMV Photo Access Reviews (self-visits and self-audits) in 2013.

# Division of Criminal Justice Services

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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). DCJS' mission is to enhance public safety and improve criminal justice.

DCJS has a variety of core functions and responsibilities that support law enforcement, criminal justice professionals and crime victim advocates across New York State. Its work touches every facet of the state's criminal justice system and helps ensure community safety.

The agency administers and manages criminal justice grant funds; oversees a law enforcement accreditation program; maintains criminal history records and civil, criminal and crime scene fingerprint files; performs background checks for employment and licensure; oversees the state's DNA Databank in cooperation with the New York State Police Forensic Investigation Center; monitors the state's forensic laboratories for quality assurance and compliance with state and federal standards; administers the state's Sex Offender Registry; and ensures Breathalyzer and speed enforcement equipment used by local law enforcement operate correctly. The agency provides direct training to law enforcement and other criminal justice professionals; oversees county probation departments, alternatives to incarceration programs and the interstate transfer of probationers; collects and analyzes statewide crime and program data; and provides statistical information to the public and local law enforcement.

DCJS administered the Operation IMPACT crime reduction program, which transitioned to the Gun Involved Violence Elimination (GIVE) initiative in 2014. GIVE targets the same communities that participated in IMPACT. The new initiative is designed to build upon the information sharing and partnerships developed under that program while expanding the use of crime analysis, evidence-based practices and community partnerships to focus solely on targeting, reducing and preventing gun violence. DCJS also oversees five Crime Analysis Centers in partnership with local law enforcement that operate across the state. DCJS coordinates juvenile justice policy and ensures New York State complies with federal mandates; operates the state's Missing Persons Clearinghouse which administers alert programs and provides investigative support for law enforcement.

The agency also provides staff support to eight criminal justice advisory and policy boards and commissions, including Board of Examiners, members of which are appointed by the Governor and in some instances, also upon recommendation by the Legislature. Additional information about these board and commissions is available in Appendix A of this report.

DCJS also provides human resources and other administrative support to three smaller state agencies: the Commission of Correction, which has a mission to provide for a safe, stable and humane correctional system; the Office for the Prevention of Domestic Violence, the only executive-level agency in the country with the sole mission of improving the response of state and local communities to domestic violence; and the Office of Victim Services, which provides compensation and assistance to eligible crime victims and their families when they have nowhere else to turn for help.

Each year, DCJS provides numerous training and services to criminal justice agencies across New York State. In 2013, DCJS made a significant impact on the criminal justice community through several important initiatives.

# Division of Criminal Justice Services

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## **NYS Crime Analysis Centers Honored for Innovation, Excellence**

In 2013, the Center for Digital Government and Digital Communities and the International Association of Crime Analysts (IACA) recognized the creative and innovative work being done at four Crime Analysis Centers (CACs), which are supported by DCJS and each overseen by a board that includes local law enforcement. The centers are located in Albany, Erie, Monroe and Onondaga counties, and combine human intelligence and technology, allowing local law enforcement to better target and solve crime. The Center for Digital Government presented a 2013 Digital Government Achievement Award to the centers for their digital sign network and the IACA recognized six crime analysts for the quality of their work. Digital signs are located in nearly 100 state, federal and local police and public safety agencies and provide for wider distribution of intelligence and information developed by the Crime Analysis Centers, in addition to information from local agencies. DCJS is expanding its network of CACs with the establishment of a new center in Broome County.

## **TRAUMA Training**

More than 650 law enforcement executives from 200-plus local, state and federal agencies in counties across New York State attended a unique training program aimed at giving agencies resources and information to better address critical incidents, such as the death of one of their own in the line of duty or as a result of suicide. DCJS developed the TRAUMA (Trauma Resources and Unified Management Assistance) program as part of its mission to offer training to law enforcement agencies and their officers so they can better serve their communities. Nine trainings were held across the state from December 2012 through December 2013. The agency's Office of Public Safety developed the program after the state Office of Mental Health requested that training staff identify how the state could help agencies that employ Afghanistan and Iraq war veterans who may be facing post-traumatic stress disorder as they rejoin the police force. DCJS incorporated strategies and support to help officers and agencies deal with line of duty deaths and officer suicides, since the topics often are interrelated. The class is designed for law enforcement executives – chiefs, assistant chiefs and other front-line supervisors – and other law enforcement officers with a minimum of five years on the job. It explores all of the issues that can affect police departments and their members in the wake of any critical incident.

## **Regional Youth Justice Teams Begin Work**

DCJS, in partnership with the Deputy Secretary for Public Safety's Office, is coordinating the work of the state's eight Regional Youth Justice Teams, which were created to allow for broad community involvement in the state's juvenile justice reform efforts and strengthen communication between state policy makers and local stakeholders, including service providers, advocates, the courts and law enforcement agencies. The teams, which are located in the Capital Region, Central New York, Finger Lakes, Long Island, Mid-Hudson, New York City, North Country and Western New York, held their initial meetings during the third quarter of 2013. The teams are tasked with identifying promising local practices and developing strategies to address a variety of issues, including: decreasing the number of children and youth referred to court; addressing disproportionate minority contact in the juvenile justice system; improving access to services; creating partnerships among the courts, local communities and state agencies in the development of community-based interventions and responding to federal, state and private grant opportunities.

# Division of Criminal Justice Services

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## DCJS Submits Data to OpenData.gov

DCJS participates in the New York State Open Data Portal ([open.ny.gov](http://open.ny.gov)), a new and comprehensive state data transparency website that provides one-stop access to data from New York State agencies, localities and the federal government. The website includes data related to criminal justice, economic development, health, recreation, and other public services information.

In 2013, the following [DCJS datasets](#) were posted to open.ny.gov:

- Index Crimes by County and Agency Beginning 1990
- Index, Violent and Property Crime Rates and Firearm-related Violent Crime Rates Beginning 1990
- Law Enforcement Personnel Counts by Agency Beginning 2007
- Adult Arrests by County Beginning 1970
- Jail Population Outside of New York City Beginning 1997
- Sentences to Probation Beginning 1970
- Criminal Justice Directory

The following additional data sets are scheduled to be posted in 2014: Probationers Under Supervision Beginning 2006; Approved NYS Security Guard Schools, Accredited NYS Law Enforcement Agencies; and Police Officer Memorial, with line of duty deaths dating back to 1791.

## Video Recording of Interrogation Grants

DCJS awarded nearly \$700,000 in grants so local law enforcement agencies can either purchase equipment for the first time or upgrade existing systems that allow them to video record interrogations. With this investment, the state provided more than \$3 million to allow law enforcement agencies to implement the practice, which is widely recognized as enhancing the fairness and effectiveness of the criminal justice system. District Attorneys' offices in 29 counties across the state received the grants to purchase or upgrade equipment for 150 agencies, including police departments and sheriffs' offices. Of those 150 agencies, 55 are receiving grants for the first time. With these grants, each of the state's 62 counties will have agencies that video record interrogations; approximately 80 percent of all police departments and sheriffs' offices in the state now embrace the practice. District Attorneys' offices will receive the grants and provide them to the appropriate law enforcement agencies in their respective counties. In addition to administering the grant funds, District Attorneys must partner with agencies in their counties to develop video recording protocols that detail, among other items, the types of crimes that would require the interview to be recorded.

## Sex Offender Registry Expanded to Include Multiple Offender Photographs

The state's Sex Offender Registry now displays multiple photographs of convicted sex offenders, in an effort to make offenders more recognizable to law enforcement and the public. DCJS maintains the Registry and its online Subdirectory, which is posted to the agency's website. Multiple photos of offenders are posted to the Registry and Subdirectory as they become available, with the ultimate goal of having multiple photos posted of every registered offender. Prior to this change, only one photo of an offender was included in the Registry. In addition, when law enforcement agencies

## **Division of Criminal Justice Services**

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submit new photos, Registry staff will be able to post other photos of offenders that were on file.

### **Roadside Stop Expansion**

The DCJS Office of Probation and Correctional Alternatives partnered with the New York State Police to expand Roadside Stop, which provides law enforcement with information about drivers with whom they come in contact. Roadside Stop now returns possible matches to probationers, as well as supervising agency information whenever officers perform the following checks on individuals with whom they come in contact: driver's license inquiry, registration inquiry, dispatch inquiry, highway truck mileage or use tax inquiry or updates for vehicles, plates or boats. Prior to implementation, officers only knew about an individual's probation status – and Probation Departments were only notified about a probationer's contact with police – if an arrest for a fingerprintable offense was made. Roadside Stop notification had existed for wanted/missing individuals, those with orders of protection and individuals under parole supervision. The addition of probationers' information improves police officer safety during traffic stops, enhances communication between police and supervising probation officers about offender behavior in the community and promotes offender accountability.

### **Ongoing Implementation of Leandra's Law**

DCJS entered into new three-year contracts with four ignition interlock device manufacturers that include a new cost schedule and classification of Ignition Interlock Devices (IIDs). The revised classification requires that cameras be included as a minimum requirement for all newly installed IIDs. Under Leandra's Law, these devices are required to be installed on vehicles owned or operated by a person convicted of misdemeanor or felony driving while intoxicated or other alcohol-related offenses. In 2013, new provisions of Leandra's Law took effect, including: limit the circumstances in which a court can waive installation; youthful offenders are subject to the same ignition interlock requirements as adults; authorize installation of interlock devices prior to sentencing; and increase minimum requirement for installation from six months to one year.

### **Alternatives to Incarceration Funding**

DCJS awarded 23 contracts pursuant to a competitive Request for Proposal (RFP) to provide nearly \$15 million to fund over 200 Alternative-to-Incarceration (ATI) programs across New York State. The goal for these programs is to reduce recidivism and unnecessary confinement, promote offender accountability and promote public safety by supporting programs that focus on behavioral change. The service providers offer a range of general to more specialized ATI services that are responsive to the needs of the targeted populations, including gender-specific, substance abuse, family, vocational, educational, mental health, medical and housing issues.

### **Results First Cost Benefit Analysis**

DCJS serves as the lead implementing agency for the Results First initiative, a comprehensive cost benefit analysis tool to serve the public safety sector of the state. During 2013, DCJS completed the data population and testing phases of the project, customizing the tool and rendering the model operational for use in New York State. DCJS research staff proceeded to use the Results First tool to conduct more than 50 simulations that forecast the public safety benefit of various criminal justice interventions. This work was used in the creation and selection process portions of the 2013

# Division of Criminal Justice Services

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Alternative to Incarceration (ATI) Request for Proposal (RFP). Although housed at DCJS, the Results First initiative is a collaborative effort involving the Department of Corrections and Community Supervision and the model and its output/work products benefit all criminal justice agencies within the Executive branch's public safety cluster.

## **SAFE Act Implementation and Outreach**

DCJS staff members worked in partnership with other state agencies - the Office of Information Technology Services (ITS), Office of Mental Health (OMH) and New York State Police- to implement new information technology systems required as a result of the enactment of the New York State Secure Ammunition and Firearms Enforcement Act (SAFE Act). In March 2013, DCJS began processing reports filed with the agency pursuant to Mental Health Law Section 9.46, which requires mental health professionals to report individuals who are likely to engage in conduct that would result in serious harm to self or others to their county Director of Community Services (DCS). If the DCS agrees with that professional's assessment, the reports are forwarded to DCJS. The agency and State Police then determine whether a subject of a 9.46 report may have a pistol permit or registered assault weapon. If so, State Police notify the local licensing authority. The licensing authority then notifies local law enforcement to remove the gun(s). In addition, DCJS compares new applications for firearms licenses against the 9.46 forms and notifies the appropriate agency if there may be a match.

## **Training**

DCJS offers a wide variety of training to criminal justice agencies and individuals across New York State. The agency provides direct and facilitated training to law enforcement professionals and other criminal justice-related personnel. Summary data indicates more than 23,000 persons were trained in 360 training courses during 2013. Data detail is available in the following sections of this report:

- Office of Criminal Justice Services (OCJO)
- Office of Public Safety (OPS)
- Office of Probation and Correctional Alternatives (OPCA)
- Office of Sex Offender Management (OSOM)
- Office of Forensic Services (OFS)
- Office of Program Development and Funding (OPDF)
- Office of Juvenile Justice (OJJ)
- Office of Justice Research and Performance (OJRP)

## Division of Criminal Justice Services

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### DCJS TRAINING

	<u>2012</u>	<u>2013</u>	<u>% Change</u>
Total DCJS Training Courses	354	360	2%
Total Persons Trained	15,426	23,175	50%
OPS Law Enforcement Courses	166	150	-10%
Persons Trained	8,163	10,073	23%
Other Criminal Justice Training Courses	188	210	12%
Persons Trained	7,263	13,102	80%

# Office of Criminal Justice Operations

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## Mission

To provide timely and accurate fingerprint identification and criminal history records to authorized agencies and to provide support services related to missing children, college students and vulnerable adult cases.

## Scope of Operations

The Office of Criminal Justice Operations (OCJO) includes the following eight 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 against multiple databases containing both fingerprint and palm print images utilizing the Statewide Automated Biometric Identification System (SABIS) technology.
- **Training and Quality Assurance (TQA):** Administers fingerprint training to all staff working in the Statewide Automated Biometric Identification System (SABIS) and provides Quality Assurance to all projects involving the fingerprint identification process. Administers the agency's Fingerprint Certification and Proficiency Testing program.
- **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 Programs; operates the 1-800-346-3543 hotline for case intake and lead information; provides short and long-term investigative assistance and guidance to law enforcement agencies; places missing child, college student and vulnerable adult photographs and biographical information on the DCJS websites and National Center for Missing and Exploited Children (NCMEC) website (children only); administers the statewide

## 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

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missing/unidentified person repository (mandated "flagging" missing child birth and educational records is facilitated through the use of this data); presents investigative training programs for law enforcement officers; develops and disseminates investigative procedures and guides and develops and distributes child safety literature.

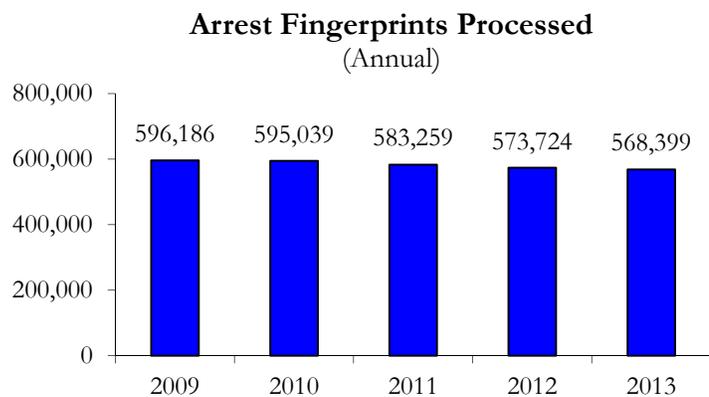
# Office of Criminal Justice Operations

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## 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 nearly 50,000 arrest fingerprint transactions and an additional 13,000 non-arrest transactions each month. When an arrest is made, fingerprints are electronically submitted to DCJS by the arresting agency. Fingerprints are then searched against a database of more than 80 million fingerprint images. If an arrestee has a criminal record, DCJS then electronically sends a criminal history record response, commonly referred to as a rap sheet, to police, prosecutors and the court. This allows immediate identification of arrestees, allows courts to consider past criminal histories and warrant information for arraignment and bail determinations and ensures that criminal history information is available to all parties as they make decisions relevant to the case.

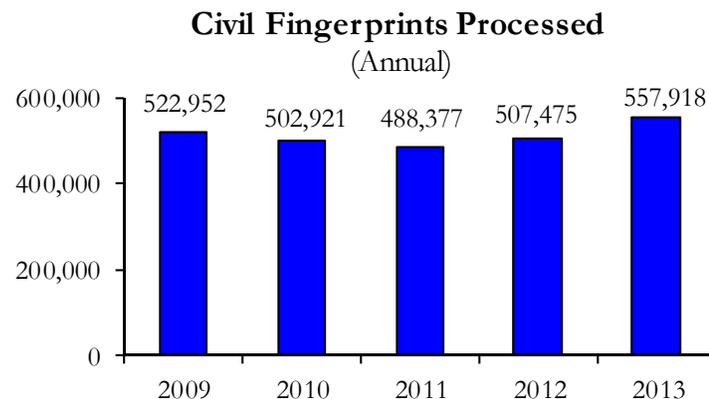
- ✓ During 2013, 568,399 arrest fingerprint transactions were processed, a slight decrease (-1%) from 2012.
- ✓ An additional 158,199 requests for criminal histories were processed for offenders who were incarcerated, on parole or probation or for other inquiries.



## 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 from nearly 850 entities statewide. Timely processing of these transactions allows employers to make informed 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 557,918 civil fingerprint transactions processed in 2013, an increase of 10% as compared to 2012.



# Office of Criminal Justice Operations

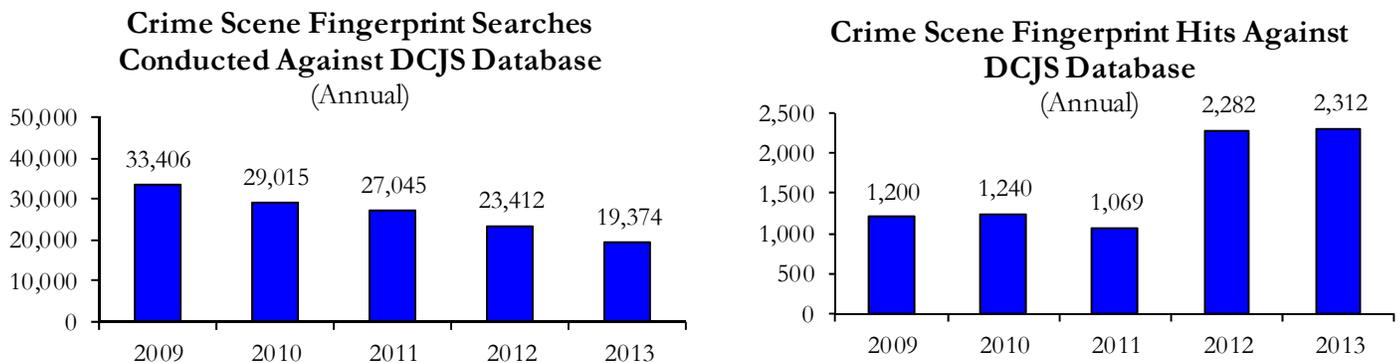
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To allow for the electronic transmission of civil applicant fingerprints, DCJS has a vendor-managed, electronic fingerprint capture system that provides a network of rural, suburban and metropolitan fingerprinting sites, with sites located within a 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. Aside from the applicable search fees, the vendor charges the applicant a processing fee for costs associated with collecting and transmitting the fingerprints and photos electronically to DCJS.

- ✓ As of December 2013, more than 80 Livescan fingerprinting locations were in place throughout the state, with 845 civil contributor agencies using the network.

## Crime Scene (Latent) Print Processing

DCJS is networked with 19 latent print regional sites across the state to assist law enforcement agencies in criminal investigations. OCJO staff process crime scene prints from 17 counties: 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 80 million fingerprint images at DCJS and the FBI fingerprint database of more than 700 million fingerprint images. 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 provides expert court testimony.



- ✓ Due to new technology implemented beginning in 2011, DCJS staff no longer need to conduct multiple searches on a latent print. During 2013, 19,374 crime scene print searches were conducted against the DCJS database, the fewest in five years. Despite the decline in searches, DCJS positively identified 2,312 crime scene fingerprints in 2013, a slight increase (+1%) over 2012.
- ✓ DCJS also conducted 181 crime scene searches against the NYPD palmprint database in 2013. 33 crime scene palmprints were positively identified in 2013.

# Office of Criminal Justice Operations

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## Training

OCJO conducts three types of training to ensure that individuals are skilled in the proper fingerprint collection techniques: Seal and Disposition Training for court personnel, primarily focused on the submission of correct disposition information to the state Office of Court Administration (OCA) for electronic transmission to DCJS; Latent Print Training for people seeking to become certified Statewide Automated Biometric Identification System (SABIS) Latent Fingerprint Examiners; and the Training and Quality Assurance Unit's Fingerprinting Essentials Training which covers the proper recording of all Tenprint fingerprint images for transmission to DCJS.

**OCJO Training**  
**Number of Attendees**  
(Annual)

<b>Training By Unit</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
Seal and Disposition Training	70	50	-
Latent Print Training	62	175	232
Quality Assurance Training	116	237	283
<b>Total Attendees</b>	<b>248</b>	<b>462</b>	<b>515</b>

√ During 2013, OCJO staff provided training to 515 personnel from numerous state and local agencies. This is an 11 percent increase from the 462 personnel trained in 2012.

## Domestic Incident Report (DIR) Repository

The state's Domestic Incident Report Repository 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 2013, 291 agencies had registered for access to the Repository, which contained 768,393 records. A total of 189,152 reports were processed in 2013.

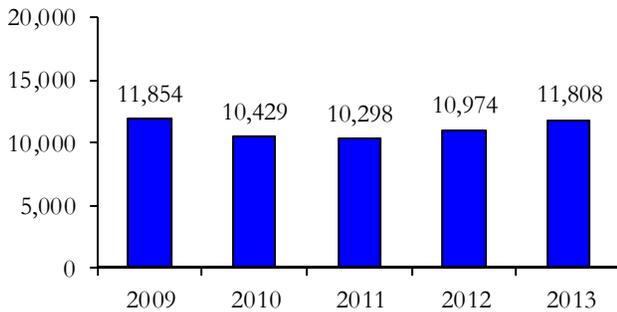
## Records Management

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

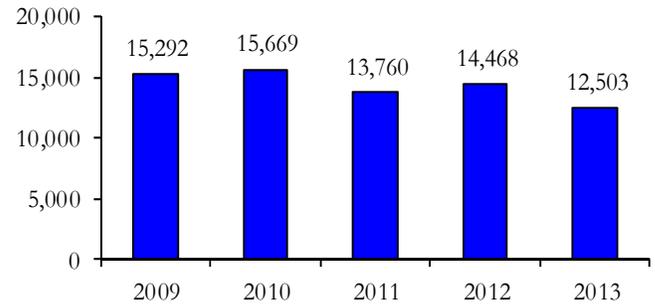
# Office of Criminal Justice Operations

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**Public Record Reviews Conducted**  
(Annual)



**Inmate Record Reviews Conducted**  
(Annual)



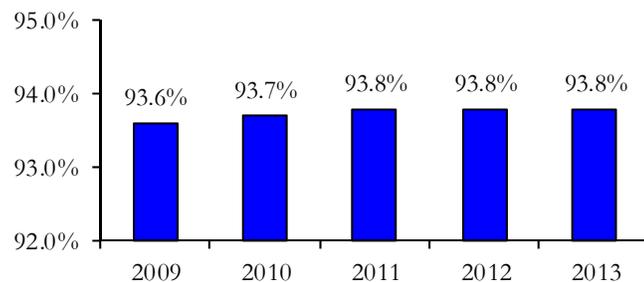
- ✓ During 2013, 24,311 Record Reviews were completed. Of these, 11,808 (51%) were Inmate Record Reviews and 12,503 (49%) were Public Record Reviews. Inmate Record Reviews decreased (-14%), while Public Record Reviews increased (+8%).
- ✓ Individuals filed challenges in five percent (559) of the Inmate Record Reviews and three percent (399) of the Public Record Reviews completed in 2013.

## 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.

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

- ✓ At the end of 2013, 93.8 percent of all arrest events occurring prior to 2012 had a final disposition on the criminal history file.



## Missing Persons Clearinghouse

The Missing Persons Clearinghouse (MPC) administers the Missing Child, College Student and Vulnerable Adult Alerts Programs; operates the 1-800-346-3543 hotline for case intake and lead information; provides short and long-term investigative assistance and guidance to law enforcement

# Office of Criminal Justice Operations

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agencies; places missing child, college student and vulnerable adult photographs and biographical information on the DCJS websites and National Center for Missing and Exploited Children (NCMEC) website (children only); administers the statewide missing/unidentified person repository (mandated "flagging" missing child birth and educational records is facilitated through the use of this data); presents investigative training programs for law enforcement officers; develops and disseminates investigative procedures and guides; and develops and distributes child safety literature. The public can register to receive alerts through the NY-ALERT system: [www.nyalert.gov](http://www.nyalert.gov).

## Cases Referred to MPC by Type

(Annual)

	2011	2012	2013
<b>Total Cases Referred to MPC</b>	<b>642</b>	<b>676</b>	<b>692</b>
Missing Children	460	475	307
Missing College Student	--	0	3
Missing Vulnerable Adult	8	50	86
Unpublicized Missing Adult Cases (not Vulnerable or Adult Federally Required)	5	--	2
International (Hague)	--	--	15
Unidentified	169	151	279

- ✓ In 2013, 307 missing children cases were referred to the MPC for assistance, a 35 percent decrease from 2012. The decline is primarily due to a policy change in the types of cases accepted for services.
- ✓ There were 86 missing vulnerable adult cases referred for assistance in 2013, and 144 since the effective date of the new law (10/11).
- ✓ At the end of 2013, there were a total of 78 active MPC cases, a decrease of 17 percent from 2012.
- ✓ In 2013, the Clearinghouse issued seven Missing Child Alerts, six College Student Alerts, four AMBER Alerts (State Police), and 36 Missing Vulnerable Adult Alerts in New York State.

## MPC Training/Presentations

MPC staff conducts training to help law enforcement professionals better prepare for and investigate missing person cases. Staff trains officers on proper handling of AMBER, Missing Child, Missing College Student and Vulnerable Adult Alerts and missing and abducted investigative strategies including searches for missing persons with special needs such as autism and Alzheimer's disease.

- ✓ In 2013, MPC offered 19 law enforcement training sessions and offered one online course, training 1,392 individuals.

# Office of Public Safety

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## 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 eight program areas:

- **Crime Analysis Centers (CAC):** CACs in Albany, Broome, Erie, Onondaga and Monroe counties conduct analysis 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 driven-intelligence strategies within the 17 jurisdictions Upstate and on Long Island that account for 80 percent of the crime reported outside New York City. Support includes technical assistance, training and funding.
- **Law Enforcement Training:** Develops and delivers training for police officers and peace officers. Develops and coordinates mandated basic training courses for police officers, corrections officers and peace officers as well as first line police supervisors. OPS provides in service training in the areas of officer safety, criminal investigation, crime analysis, field intelligence, police instructor, traffic safety, law enforcement skills and law enforcement executive issues. Each year, thousands of officers complete these trainings in both classrooms and online. This unit also coordinates the work and initiatives of the state's Municipal Police Training Council (MPTC).
- **Accreditation Program:** Provides daily oversight and management of the Law Enforcement Accreditation Program (LEAP) and coordinates the efforts of the state's Law Enforcement Agency Accreditation Council (LEAAC).
- **Highway Safety Technology:** Maintains and certifies the calibration of evidential speed and alcohol detection instruments utilized by police departments throughout the state. Maintains critical DWI-related data for use by police departments, New York State Liquor Authority, Stop DWI programs and district attorneys' offices to aid in detecting, testing, processing and prosecuting impaired driving offenses.
- **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; provides administrative support and oversight of police and peace officer in-service and basic training programs; administers special programs such as the Police Officers Memorial and the Governor's Police Officer of the Year Award; performs procurement and fiscal reconciliation activities for OPS and all regional Crime Analysis Centers.
- **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

## 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

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Defense (DOD) property to federal, state and local law enforcement agencies. OPS administers this program for the state.

- **Security Guard Program:** Provides staff to support the state's Security Guard Advisory Council; oversees the approval of private and proprietary security guard training schools, the certification of instructors and curriculum development; and maintains all security guard training records.

# Office of Public Safety

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## Crime Analysis Centers (CACs)

DCJS supports the operations of Crime Analysis Centers in Albany, Broome (operational in January 2014), Erie, Monroe and Onondaga counties. Every center is overseen by a board of directors, on which representatives of local law enforcement and DCJS sit. 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. Participating law enforcement agencies assign a command staff, crime analysts and field intelligence officers, while DCJS provides additional crime analyst positions through grants to 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, software and hardware to facilitate the capture, analysis and dissemination of data, information and analytical products. The centers access data systems from participating law enforcement agencies within each county, which have been integrated to allow for 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 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 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 single-query access to 65 percent of major crime incidents and arrests occurring outside of New York City.
- ✓ The Centers' data-sharing network also facilitates sharing license plate data.
- ✓ DCJS provides the Centers' data-sharing network with parole, probation, sex offender and corrections datasets.
- ✓ The Crime Analysis Centers are regularly recognized for their high quality work products. In 2013, The Center for Digital Government presented a Digital Government Achievement Award to the centers for their digital sign network and the International Association of Crime Analysts (IACA) recognized six crime analysts for the quality of their work.
- ✓ New York State is now one of three states that certifies Crime Analysts. The certification process, facilitated by DCJS through the authorization of the Municipal Police Training Council, consists of two levels of certification.

# Office of Public Safety

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## Status of Crime Analysis Centers

(As of December 31, 2013)

	<u>Albany</u>	<u>Erie</u>	<u>Monroe</u>	<u>Onondaga</u>
Center Opened	2009	2008	2007	2008
Total Staff	17	16	19	16
DCJS Funded Staff	9	8	11	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	24	27	15	25
Data Sources Accessible	45	55	26	29
# of Agencies Served	54	40	40	47

## 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 jurisdictions Upstate and on Long Island that report 80 percent of the crime reported in counties outside of New York City. **In 2014, the 17 IMPACT jurisdictions and their respective counties will be transitioned to the Gun Involved Violence Elimination (GIVE) program. GIVE will build upon the successes of Operation IMPACT and will use integrated, evidence-based strategies to reduce firearm-related homicides and shootings.**

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 local, county and state agencies that participate in the program. OPS IMPACT staff members monitor the crime conditions and assist in strategy implementation for each site.

# Office of Public Safety

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## 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. OPS staff administers the program for participating agencies throughout the state. Full year 2013 data are not available due to the Department of Defense (DOD) transitioning to a new requisitioning and inventory system during the Fourth Quarter and a freeze in November 2013 of all program activities in order to comply with a DOD directive to complete a 100 percent inventory statewide. OPS completed the inventory and data collection resumed in March 2014.

- √ From January to June 2013, OPS staff approved 288 transactions. These transactions involved 9,600 pieces of property with an acquisition value of more than \$7 million.
- √ Eight agencies were approved for participation during 2013, and 130 agencies have received property since New York rejoined 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. During 2013, OPS staff developed seven new online courses to address the needs of the law enforcement community in a manner most cost effective for the police agencies. Courses developed include: Approaching Alzheimer's for First Responders, Syringe Programs in New York State, Identification Procedures - Photo Array, Discovery for Police, Considerations of the Recorded Interview, Basic Interviewing Strategies and Investigative Strategies and Skills for the Recorded Interview.

**Law Enforcement Training**  
**Office of Public Safety**  
(Annual)

	2009	2010	2011	2012	2013
Courses Offered	189	272	164	165	142
Online Courses Offered	1	1	1	1	8
Personnel Trained	8,087	10,401	8,277	8,163	10,073

- √ During 2013, 150 training courses, including eight online courses, were held around the state, a ten percent decrease from 2012.
- √ During 2013, 10,073 personnel were trained from the law enforcement community across the state, including officers and staff at the state, county and local levels. This is a 23 percent increase from 2012.

# Office of Public Safety

<b>OPS Training Held and Personnel Trained -2013</b> (Annual)		
<b>Course Categories/Most Popular Course Offerings</b>	<b>Courses Offered</b>	<b>Personnel Trained</b>
<b>Accident/Highway Safety and Vehicle Interdiction</b> - Commercial Vehicle Awareness, DWI Documentation and Testimony, Basic Vehicle Crash Management	29	638
<b>Investigative Training</b> - Aquatic Death and Homicidal Drowning Investigations, Interview and Interrogation, Search Warrant	31	1,501
<b>Specialized Training</b> - The Impact of High Stress Events, Completed Traffic Stops, Disability Awareness Training for Law Enforcement	48	1,546
<b>Mental Health Training</b> - T.R.A.U.M.A., Suicide Prevention in County Jails and Police Lockups, In Harm's Way (Law Enforcement Suicide Prevention)	20	836
<b>Officer Safety Training</b> - Valor Officer Safety, Officer Safety and Survival Training	4	253
<b>Corrections Training</b> - Jail Time Credit and Calculation Training	2	48
<b>Security Guard Training</b> - School Director Orientation	8	154
<b>On-Line Training</b> - BAC Re-certification, Discovery for Police, Photo Array, Alzheimer's for First Responders, Syringe Programs	8	5,097
<b>Total OPS Trained During 2013</b>	<b>150</b>	<b>10,073</b>

## Municipal Police Training Council (MPTC)

The Municipal Police Training Council (MPTC), created by Executive Law Section 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 2013, OPS staff completed 1,350 reviews of police and peace officer curricula statewide.

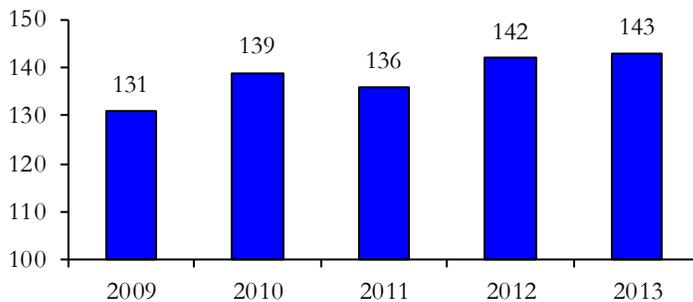
# Office of Public Safety

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## Law Enforcement Accreditation

The Law Enforcement Accreditation Program has operated since 1989. To become accredited, 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 enhances officer and public safety.

**Accredited Law Enforcement Agencies**  
(End of Year)

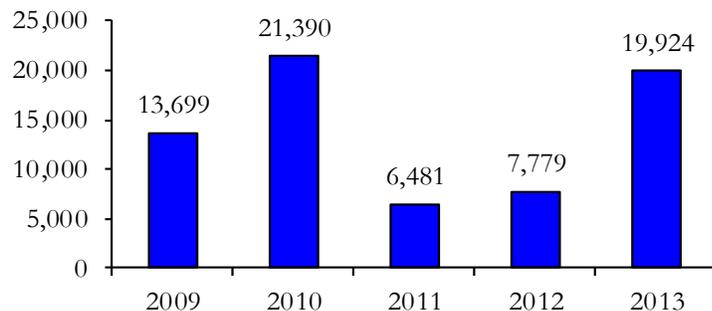


✓ As of December 2013, 58 percent of law enforcement officers working outside of New York City worked for accredited agencies

## 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 2013, there were 169,645 officers (101,230 peace and 68,415 police) registered in New York State.

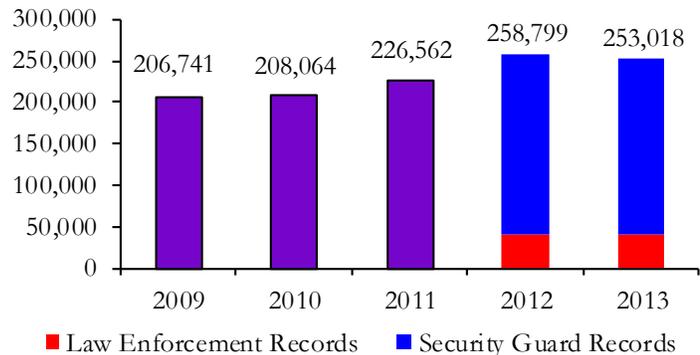
**Registry Records Processed**  
(Annual)



✓ During 2013, OPS processed 19,924 registry records compared to 7,779 records during 2012. In 2013, OPS changed its methodology for how it counts registry records processed to reflect the return of the annual validation reports in the calendar year they represent, and not the date of return.

## Training Records Processed (Annual)

√ During 2013, OPS processed 253,018 training records (40,395 Law Enforcement, 212,623 Security Guard). OPS staff maintains records of mandated training of these officers and private security guards.



**Note:** Separate training records were unavailable prior to 2012.

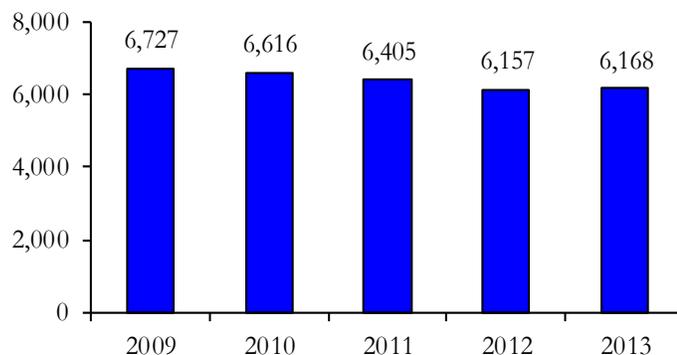
## Equipment Repair

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 one (poor) to five (excellent). DCJS continued to provide outstanding service to law enforcement agencies during 2013.

## Instruments Repaired/Certified (Annual)

√ The number of instruments that OPS repaired/certified was 6,168 in 2013, about the same as 2012.

√ During 2013, all repairs and certifications were conducted within two days.



# Office of Probation and Correctional Alternatives

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## 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, collects statistical and other information and makes recommendations regarding the administration of probation services in the courts. New York's Executive Law requires 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

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

- **Training:** Develops and provides state-mandated 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.
- **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.
- **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.
- **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

## 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.

<b>OPCA Training Held and Personnel Trained - 2013</b>		
(Annual)		
<b>Course Category/Subject</b>	<b>Courses Offered</b>	<b>Personnel Trained</b>
<b>Basic Probation</b> - Fundamentals of Probation Practice, Officer Safety and Survival Training, Firearms, Supervision Rule, Caseload Explorer	23	4,715
<b>Probation Management</b> - Executive Leadership	1	8
<b>Re-Entry/ATI</b> - Family Support, CRTF Reporting, Veterans in Criminal Justice System	7	271
<b>Employment Training</b> - Offender Employment Specialist	5	108
<b>Sex Offender</b> - J-SOAP, Cyber Crime Training, Stable and Acute	8	172
<b>Cognitive Behavioral</b> - Orbis Advanced Evidenced Based Practices, Motivational Interviewing, Thinking For A Change	16	294
<b>Risk/Needs Assessment</b> - COMPAS, YASI	4	503
<b>Interstate</b> - Juvenile Interstate, Adult Interstate	16	591
<b>Ignition Interlock</b> - Live Meeting, Advanced Judicial Training	10	810
<b>Other Meetings and Conferences</b>	16	985
<b>Total OPCA Trained During 2013</b>	<b>106</b>	<b>8,457</b>

## Offender Workforce Development

OPCA staff trains probation and community corrections professionals on the National Institute of Corrections (NIC) 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 offered two OWDS training sessions in 2013, with 47 attendees.
- ✓ In 2013, 25 OWDS-trained agencies conducted 127 Ready, Set, Work! groups, with 846 offenders.

# Office of Probation and Correctional Alternatives

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OPCA staff also facilitates the NIC Offender Employment Specialist (OES) curriculum to increase community stakeholders' awareness of the unique barriers of people entering the workforce with criminal convictions. This training is directed at increasing the capacity of the state Department of Labor One Stop Career Centers to serve those re-entering society after incarceration who are not in need of more intense services.

✓ OPCA offered three, three-day OES training sessions, with 86 participants.

## 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.

✓ In 2013, OPCA, with the assistance of OLS, prepared and issued 16 State Director Memoranda and 19 informational memoranda to provide policy guidance to county probation departments. Topics included the new supervision rule, Youth Assessment Screening Instrument, Leandra's Law, new domestic violence laws, sex offender issues, DNA collection, Roadside Stop, new weapons law and intrastrate and interstate transfer.

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

✓ During 2013, 11 **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 2013, two **In Touch with OWDS** newsletters for Offender Workforce Development Specialists (OWDS) and others interested in offender employment were published.

## 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 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 2013, 85.3 percent of requests for transfer were processed within the federal standard of 45 days.

# Office of Probation and Correctional Alternatives

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<b>Interstate Compact Applications Processed</b>				%
	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Change</b>
Applications Processed for Transfer Out of NYS	1,306	1,255	1,201	-4.3%
Applications Processed for Cases Transfer Into NYS	2,927	2,815	2,822	0.2%
Transfer Cases Under Supervision - End of Year	4,669	5,799	5,749	-0.9%

- ✓ During 2013, there was a four percent reduction in the number of applications processed for transfer out, while cases for transfer in remained relatively stable compared to 2012.
- ✓ At the end of 2013, a total of 5,749 Interstate Transfers were currently under supervision, a decrease of one percent from the 5,799 under supervision at the end of 2012.

## 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, 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.

- ✓ At the end of 2013, Caseload Explorer had been implemented, or was in the process of being 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, allowing 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.

- ✓ At the end of 2013, the percentage of active I-PRS cases that appeared closeable but still open was three percent.

# Office of Probation and Correctional Alternatives

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## **Probationer Sex Offender Address Confirmation**

On a quarterly basis, probation departments confirm the addresses of more than 2,600 registered sex offenders 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 state's 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.

## **DNA Collections by Probation Departments**

Probation departments are required by law to collect DNA samples from convicted offenders under probation supervision for certain offenses. DCJS prepares monthly reports on the percentage of required DNA collected by probation departments. Since the inception of the state's DNA Databank, probation departments have collected more than 167,000 DNA samples.

- √ Through December 31, 2013, DNA samples collected from probationers in New York State have helped to aid in investigations of 1,919 crimes, including 153 homicides. Thirty-two of the samples in the 153 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 drunk driving 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 2013, a total of 18,145 court orders were issued for ignition interlock conditions in compliance with Leandra's Law. Of those, 4,418 ignition interlock devices were installed within the reporting quarters.

# Office of Probation and Correctional Alternatives

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## Program Funding and Standards

### Alternatives to Incarceration (ATI)

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

- ✓ During 2013, funding was disbursed to 154 programs in 56 counties and New York City, providing services to nearly 86,000 participants:
- Pre-Trial Services programs reported 29,672 releases with an overall failure to appear rate of 2.6 percent;
  - 9,181 individuals were placed in Specialized Drug/Alcohol Treatment programs with 74 percent successfully completing;
  - 9,518 individuals (11%) were placed in Community Services Sentencing programs with 84 percent successfully completing;
  - Treatment Alternatives for a Safer Community (TASC) programs reported 5,241 placements with 79 percent successfully completing; and
  - Defender-Based Advocacy Programs prepared 2,334 individualized client-specific plans and 2,156 were accepted by the courts.

### 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 2013, funding was disbursed to 22 programs, with more than 1,600 participants:
- 1,309 individuals (80%) were served by 200% of Poverty programs and
  - 327 individuals (20%) were served by Mental Health Shared Services programs.

### Residential Stabilization Centers (RSC)

Regional Residential Stabilization Centers (RSC), formerly known as Probation Violation Residential Centers, 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.

## Office of Probation and Correctional Alternatives

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√ At the end of 2013, there were four RSCs: two in New York City and two upstate (Albany and Dutchess counties) serving individuals in the local and surrounding counties.

- 242 individuals were served by RSCs during 2013.

### County Re-entry Task Forces (CRTF)

OPCA manages the work of 19 County Re-entry Task Forces (CRTF) in cooperation with the state 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 in accessing housing, employment, substance abuse treatment and mentoring programs to support the successful transition from prison to community.

- During 2013, the CRTF programs served 3,813 moderate-to high-risk clients.

# Office of Sex Offender Management

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## 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 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 Registry.
- **Registration Process:** Processes Sex Offender Registration forms and Change of Address forms and notifies law enforcement of these changes.
- **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.

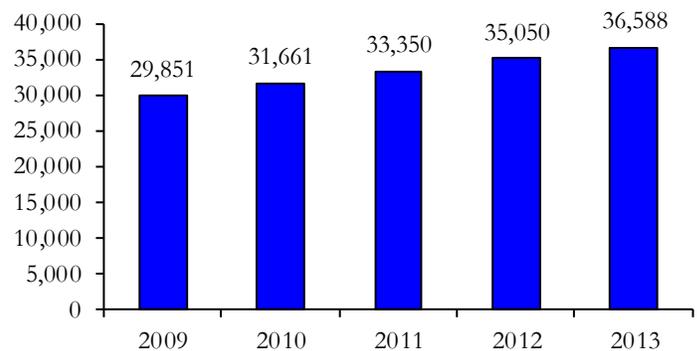
The office is responsible for implementing new sex offender laws and policies.

# Office of Sex Offender Management

## Sex Offender Registry

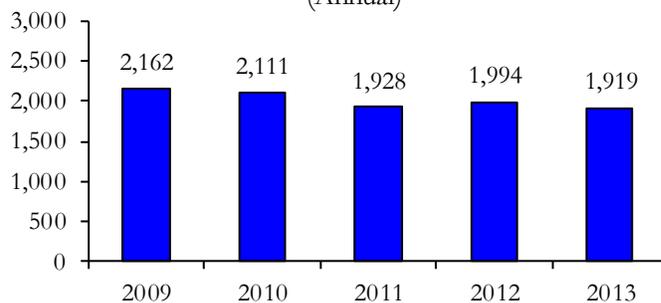
The Sex Offender Registration Act (SORA) requires offenders to register their addresses with the state and authorizes law enforcement to notify the public about certain sex offenders living in their communities. Laws enacted during the past 18 years have added requirements to the registration process 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 2013, 36,588 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 ten days before release. SOR also registers offenders convicted in other jurisdictions who reside in New York State.

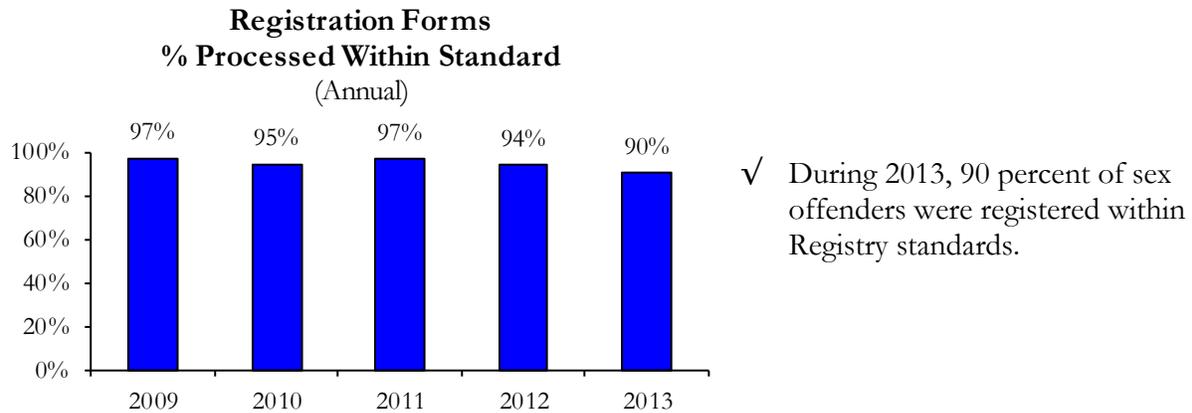
**Sex Offender Registry**  
**Registration Forms Processed**  
(Annual)



✓ During 2013, 1,919 registration forms were processed, a slight decrease from 2012.

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



- ✓ The SOR also processed 37,361 address changes for offenders during 2013, down two percent from 2012. 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 directory on the DCJS website. Until a risk level is determined, no community notification can occur and cases, if applicable, cannot be posted to the public directory. Information about Level 1 offenders and offenders whose risk level is pending is only available through a toll-free number (1-800-262-3257); information about Level 2 and Level 3 offenders is also available via phone.

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)

	2009	2010	2011	2012	2013	% of 2013 Total
Level 1	11,148	11,902	12,627	13,312	14,033	38%
Level 2	10,648	11,229	11,799	12,363	12,865	35%
Level 3	7,455	7,815	8,235	8,621	8,943	24%
Pending *	600	715	689	754	747	2%
<b>Total Cases</b>	<b>29,851</b>	<b>31,661</b>	<b>33,350</b>	<b>35,050</b>	<b>36,588</b>	<b>100%</b>

\* Includes cases not yet assigned to a court.

- ✓ At the end of 2013, 747 registrants were pending a risk level determination, representing only 2 percent of the 36,588 registered.

# Office of Sex Offender Management

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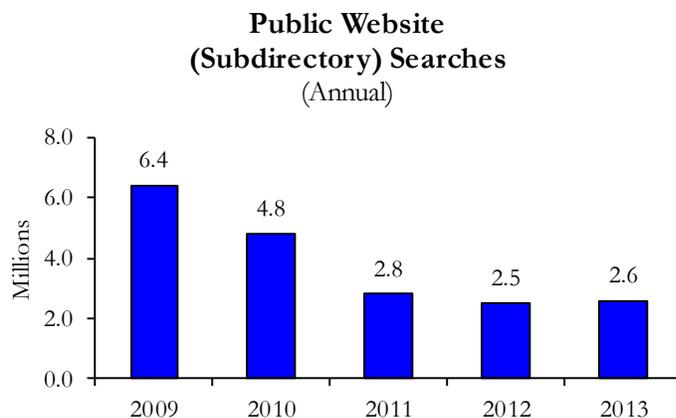
## Training

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

- ✓ During 2013, OSOM participated in four training sessions in partnership with leading experts in the field; 171 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 a day. By law, information provided on the website is limited to Level 2 and Level 3 sex offenders.



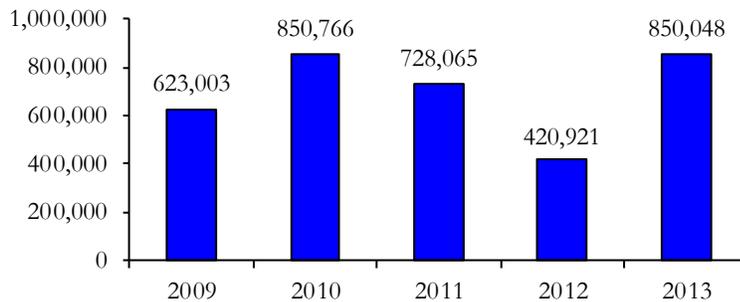
- ✓ Searches on the DCJS website increased slightly in 2013, with 2.6 million searches conducted.

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

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. Legislation enacted in 2005 requires children's camps to conduct searches on all prospective employees. Since 2008, the SOR also has accepted computerized files for comparison against the SOR.

# Office of Sex Offender Management

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



√ There were 850,048 name searches conducted by SOR staff in 2013.

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

	2009	2010	2011	2012	2013
<b>Searches</b>	623,003	850,766	728,065	420,921	850,048
<b>Matched</b>	1,214	1,217	766	1,088	1,549
<b>Percent Matched</b>	0.2%	0.1%	0.1%	0.3%	0.2%

√ Of the 850,048 searches conducted by the SOR in 2013, matches were found in 1,549 cases, less than one percent of the searches conducted.

## Managing Sex Offenders in the Community

DCJS provides information to local law enforcement and support to enable them to manage and supervise sex offenders in the community:

### Information for Law Enforcement

The complete Sex Offender Registry is available through the IJ 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 information available. The SOR has a dedicated telephone line for law enforcement needing assistance and handles more than 300 calls per month from law enforcement within and outside of New York State.

# Office of Sex Offender Management

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## 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 ten 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, notifying them that the offender failed to comply with 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 2013, 31,167 annual address verification forms were mailed by DCJS. In addition, 24,508 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 by local law enforcement 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. Failure to comply with the law also is a violation of parole or probation for sex offender registrants under those types of supervision.

- ✓ In 2013, SOR staff prepared 1,153 affidavits for law enforcement. When required, testimony is provided for prosecution of fail-to-register cases.



- ✓ During 2013, a total of 528 failure to register/verify convictions were reported, about the same as 2012.

# Office of Forensic Services

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## 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

DCJS provides administrative oversight, in partnership with the New York State Police, 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 enacted all-crimes DNA legislation, requiring DNA samples from anyone convicted of a felony or Penal Law misdemeanor, with the exception of first-time offenders convicted of Penal Law Section 221.10(1)( misdemeanor marijuana possession in public view).

### 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 to increase the efficiency and effectiveness of the forensic science practiced in New York.
- **Laboratory Accreditation:** Monitors the compliance of 22 forensic laboratories' 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 the several technical working groups.

# Office of Forensic Services

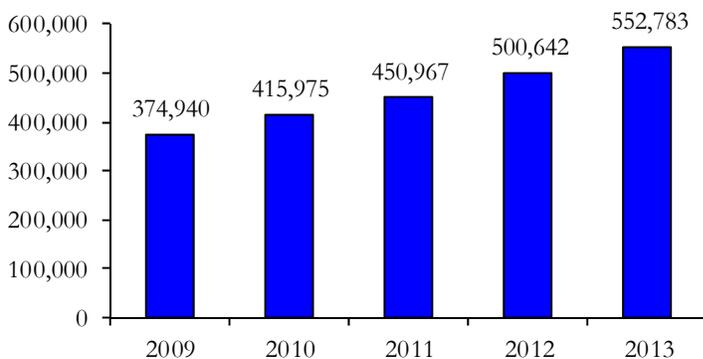
## DNA Databank

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 FBI serves as the link between New York's DNA Databank and the DNA Databanks in other 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 Forensic Index of the DNA Databank at the FIC. 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. Qualifying profiles that are already in the New York State DNA Databank can be uploaded to the National DNA Index, where New York State cases are compared to other cases and offender indices from across the country.

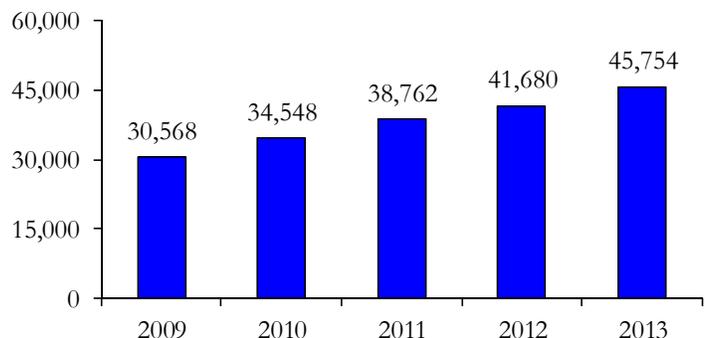
**Offender Samples on File**  
(Cumulative Since Inception in 1996)



✓ At the end of 2013, there were a total of 552,783 offender samples on file in the DNA Databank, an increase of ten percent from 2012. Since the all-crimes expansion in August 2012, offender samples have continued to increase.

**Crime Scene DNA Profiles**  
(Cumulative Since Inception in 1996)

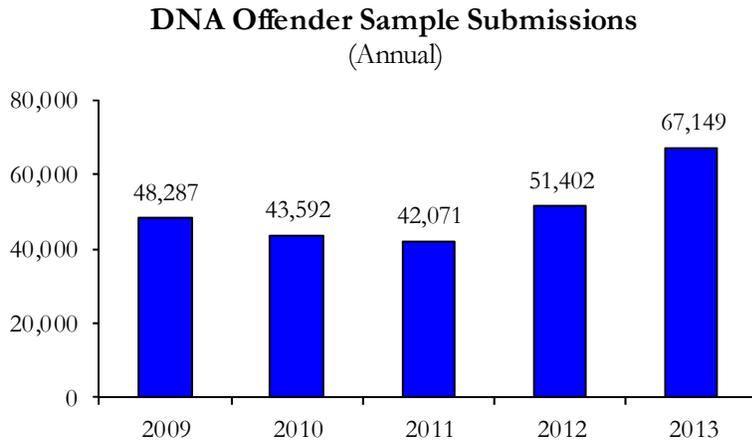
✓ At the end of 2013, there were a total of 45,754 crime scene profiles on file in the DNA Databank, a ten percent increase over 2012.



# Office of Forensic Services

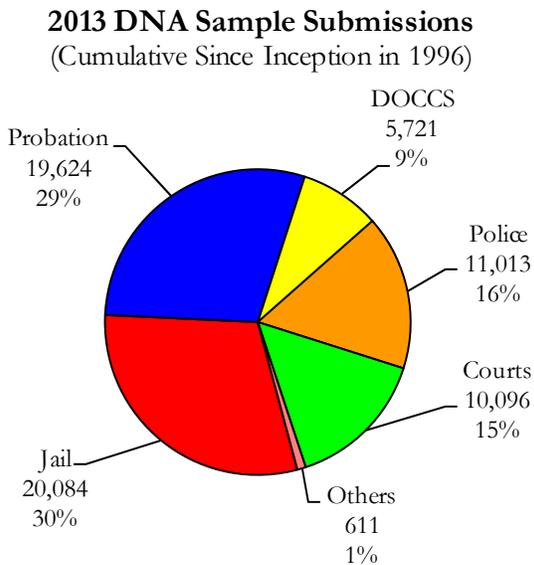
## DNA Offender Sample Submissions

OFS works with state and local agencies to ensure collection of DNA from all eligible offenders. During 2013, OFS sponsored seven DNA collection trainings attended by 238 personnel from various criminal justice agencies.



✓ During 2013, 67,149 samples were collected. The increase in submissions for 2013 is due to the 2012 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.



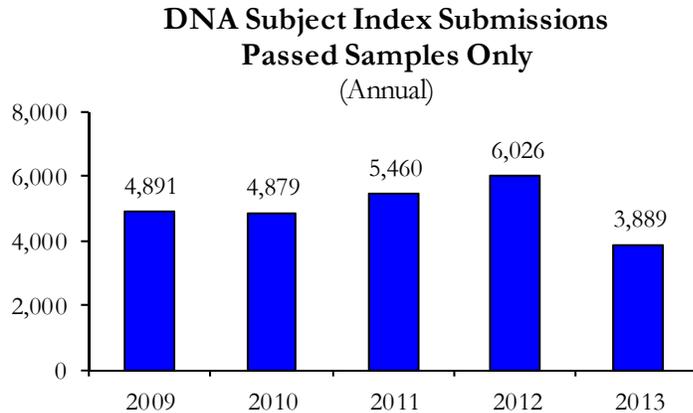
✓ Probation departments and local jails were the largest contributors to the DNA Databank in 2013, collecting 59 percent of total DNA samples submitted. DOCCS submitted nine percent.

✓ Police and courts accounted for a combined 31 percent of all samples submitted. Others, which include local law enforcement agencies account for one percent of the annual submissions.

# Office of Forensic Services

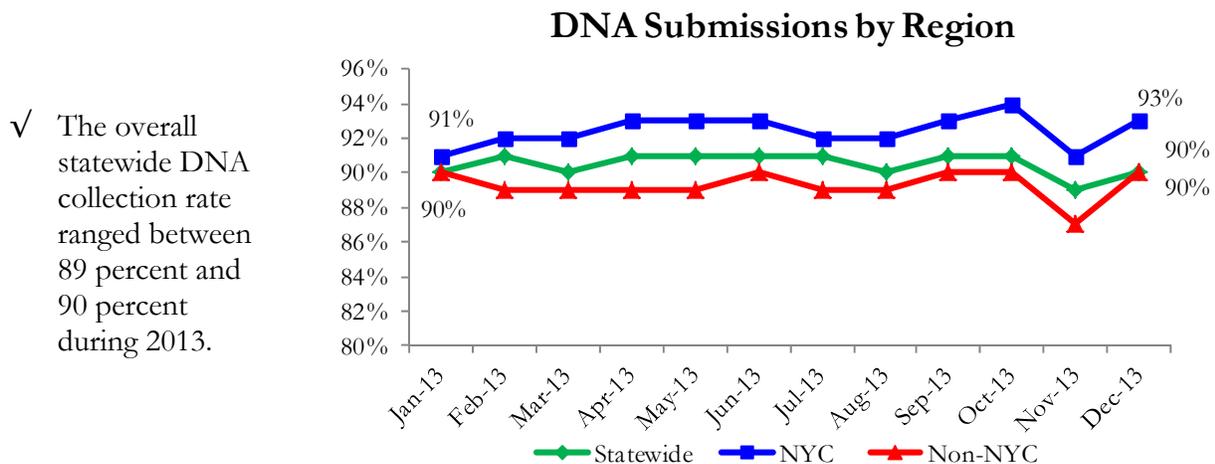
## DNA Subject Index

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 for offenses that would otherwise not require a DNA submission upon conviction. Because the law that now requires those convicted of all felonies and Penal Law misdemeanors to submit a DNA sample, the number of Subject Index submissions may continue to decline. Currently, the majority of Subject Index samples collected are for VTL misdemeanors.



√ Of the 67,149 samples collected in 2013, six percent were Subject Index submissions.

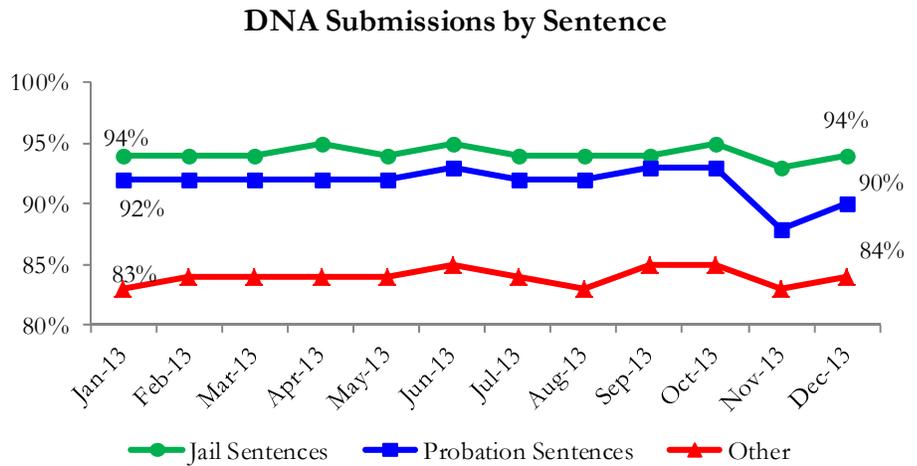
While DOCCS reception protocols result in collecting DNA from virtually every eligible offender, securing collections from offenders sentenced to local jail, probation or a non-incarcerative sentence can be more challenging. DCJS measures the rate of collection for DNA-eligible sentences and provides 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 the IJ Portal and the public on the DCJS website.



# Office of Forensic Services

✓ The DNA collection rate for local jails averaged 94 percent during 2013.

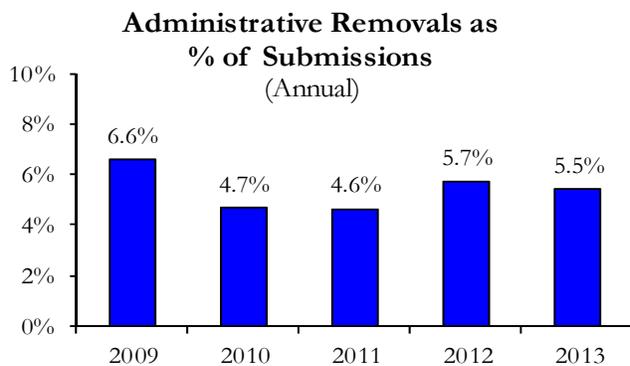
✓ Collection rates by local probation departments remained steady during 2013, although collection rates vary among individual departments.



✓ “Other Sentence” collection rates remained about 84 percent in 2013, 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 reviews the documentation of each submission to ensure that there is authority to analyze and retain the sample in the DNA Databank.



\*Excludes pending submissions.

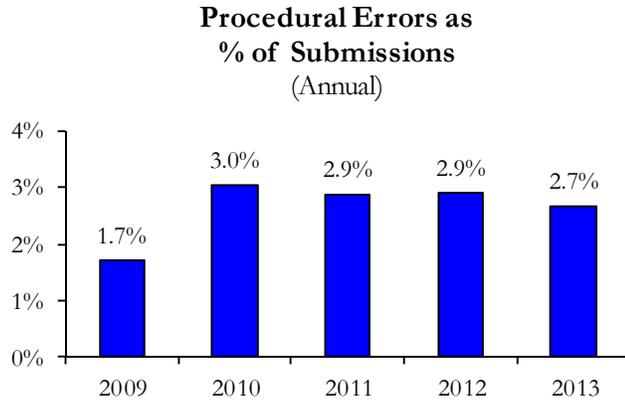
✓ In 2013, 3,658 DNA samples were administratively removed from the process, representing 5.5 percent of total submissions. The increase in 2012 was related to system changes associated with the 2012 DNA expansion.

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 three percent or less.

# Office of Forensic Services

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- ✓ In 2013, 1,788 DNA samples were removed from the Databank as a result of a procedural error, representing 2.7 percent of submissions.

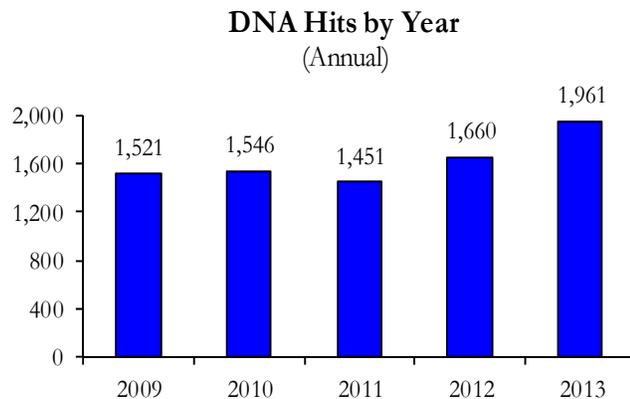


\* Excludes pending submissions.

## 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.

- ✓ In 2013, there were 1,961 hits to the DNA Databank, an 18 percent increase from the hits reported during 2012. A total of 323 of these hits were attributable to the 2012 expansion.
- ✓ Since the Databank's inception in 1996 through December 2013, there have been a total of 13,902 hits.



# Office of Forensic Services

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

- √ Of the 13,902 hits generated since inception, eight percent were against physical evidence collected in connection with homicide investigations and 31 percent were in connection with sexual assault investigations. In addition, 35 percent were in connection with a burglary and 12 percent in connection with a robbery.

Type of Crime	Hits	Percent of Hits
Burglary	4,817	35%
Sexual Assault	4,278	31%
Robbery	1,662	12%
Homicide	1,094	8%
Other	2,051	15%
<b>Total</b>	<b>13,902</b>	<b>100%</b>

## 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, the standards of the American Board of Forensic Toxicology (ABFT) if the laboratory performs only toxicology testing. In addition, DNA labs must comply with all conditions of the FBI's Quality Assurance Standards for Forensic DNA Testing Laboratories.

There are currently 19 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 2013, OFS facilitated five Commission on Forensic Science and four DNA Subcommittee meetings. OFS also

## Office of Forensic Services

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conducted 19 technical working group (TWG) meetings that were attended by a wide range of laboratory personnel. The subjects covered in the TWG meetings included: arson, biology, crime scenes, digital evidence, drugs, firearms, latent fingerprints, quality assurance, questioned documents, toxicology and trace evidence.

- **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 13 trainings attended by 386 forensic laboratory personnel from various disciplines in 2013.

# Office of Program Development and Funding

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## 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 all local grant 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 in law or via Executive priorities.

OPDF is comprised of four teams which focus on the following program areas:

- **Administration/Byrne JAG/Labs/Juvenile Justice:** Provides administrative support for OPDF. The unit maintains the Grants Management System (GMS), prepares Federal Funding Accountability and Transparency Act (FFATA) reports on behalf of DCJS, prepares website updates and distributes neighborhood watch materials. This unit also administers federal formula grant funding awarded under: (1) the Byrne Justice Assistance Grant (JAG), which supports initiatives under seven congressionally authorized purpose areas that are designed to improve the criminal justice system and (2) the Office of Juvenile Justice and Delinquency Prevention, to provide services statewide to youth involved in the criminal justice system and local delinquency and prevention services. In addition, the unit administers two grant programs that provides fiscal resources to crime laboratories.
- **Law Enforcement and Legal Services:** Oversees law enforcement grants to police departments, sheriffs' offices, county public defenders offices, legal services agencies and district attorneys' offices across the state. The unit oversees all grants pertaining to the new Gun Involved Violence Elimination (GIVE) program (which replaced Operation IMPACT), Operation IMPACT Tools, legislative member initiatives and Byrne JAG grants for law enforcement initiatives. The unit also coordinates the work of the Motor Vehicle Theft and Insurance Fraud Prevention program, facilitating meetings of the Statewide Advisory Group for Motor Vehicle Theft and Insurance Fraud.
- **Violence Against Women/Victim Services:** 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.
- **Alternatives to Incarceration and Community Re-entry:** Supports the development of informed-evidence and performance-based contracts with the local probation departments and non-profit organizations providing direct services to justice involved individuals.

## Key Public Service Areas

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

# Office of Program Development and Funding

## Contract Monitoring

OPDF allocates local assistance funding to support criminal justice agencies and initiatives. The contract process, which has multiple activities and functions, begins with the 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 grantees progress, ensuring that the grants fulfill 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)

	2009	2010	2011	2012	2013
Contracts Executed During Year	933	885	1,381	845	824
Contracts Closed	1,850	1,169	1,059	1,464	1,091

√ A total of 824 new grant contracts were executed during 2013 and 1,091 contracts were closed.

### Active Contracts

(End of Year)

Contract Type	2009	2010	2011	2012	2013
Active (Fully Executed)	965	799	871	882	758
Pending (In Process)	882	588	647	496	649
Active/Pending Contracts	1,847	1,387	1,518	1,378	1,407

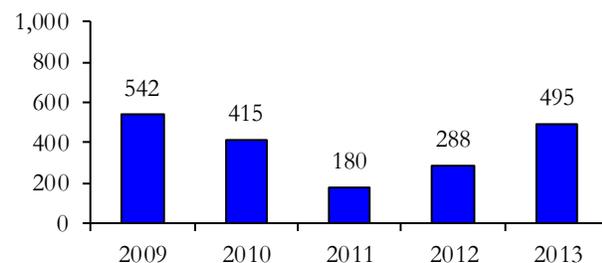
√ At the end of 2013, OPDF was responsible for 1,407 active or pending grant contracts. Of these, 649 were in process and 758 were fully executed.

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.

√ 495 site visits were conducted during 2013, an increase (+72%) from 2012.

### Site Visits

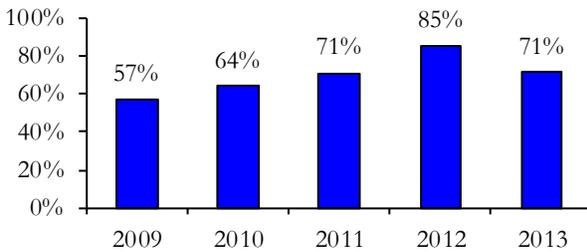
(Annual)



# 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, 71 percent of grant contracts were processed within the 170-day target, a decrease from 2012.

## 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	2009	2010	2011	2012	2013*
OPDF Processing	45 days	53%	48%	58%	64%	40%
Grantee Processing	90 days	65%	69%	75%	79%	62%
Financial Services Processing	35 days	73%	83%	76%	79%	83%
<b>Total Grant Processing</b>	<b>170 days</b>	<b>57%</b>	<b>64%</b>	<b>71%</b>	<b>85%</b>	<b>71%</b>

\*Overall processing time decreased due to implementation of new prequalification requirements and Minority and Women-Owned Business Enterprise (MWBE) goal implementation.

- ✓ The OPDF segment of contract processing has a 45-day target. In 2013, 40 percent of the contracts were processed within the 45 day target timeframe.
- ✓ The percent of grant contracts returned by the grantee within the 90-day standard was 62 percent during 2013.
- ✓ In 2013, 83 percent of contracts were processed within the 35-day target timeframe for the Financial Services processing segment, a decrease from 2012.

# Office of Juvenile Justice

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## 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 practices 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 (JJDP), (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; 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 state's Deputy Secretary for Public Safety.

# Office of Juvenile Justice

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During 2013, the OJJ launched efforts in these key areas:

- ✓ Launched eight new Regional Youth Justice Teams across the state to bring professionals together from across disciplines and counties to work cohesively on juvenile justice reform issues. The state provides the teams with technical assistance and provides a forum for local professionals to voice suggestions and concerns to state policymakers.
- ✓ Conducted a statewide leadership summit on school-justice partnerships designed to share strategies intended to keep kids in school and out of court. The statewide summit was followed by three regional summits to bring regional professionals in New York City, the Mid-Hudson Region and the Capital Region together to discuss implementation of these strategies.
- ✓ Received a federal Second Chance Act award for in-depth work to reduce recidivism among youth returning from out of home placement in Monroe, Niagara and Oneida counties. The project will serve to improve early and comprehensive planning for each youth's return to their community.
- ✓ Received a federal Department of Justice grant to divert non-violent youth with mental health and co-occurring disorders from juvenile justice system court involvement in Schenectady, Onondaga and Westchester counties. The project involves utilization of a validated behavioral health screening instrument at probation intake, matching youth with behavioral health needs and/or co-occurring disorders to the appropriate evidence-based treatment intervention.
- ✓ The Juvenile Justice Advisory Group (JJAG) supported the implementation of the state strategic plan for juvenile re-entry by launching a partnership with the Vera Institute for Justice to coordinate a statewide juvenile re-entry consortium and develop strategies to reduce recidivism.
- ✓ Continued the support of front-end diversion strategies.
- ✓ Completed research focused on the prevalence of disproportionate minority contact within the juvenile justice systems in Oneida and Westchester counties.

## 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 2013 included understanding disproportionate minority contact, alternatives to detention and effective juvenile re-entry practices.

<b>OJJ Training</b>			
(Annual)			
	<b>2012</b>	<b>2013</b>	<b>% Change</b>
Training Sessions	8	9	12.5%
Persons Trained	315	838	166.0%

- ✓ OJJ staff directly trained or facilitated nine training courses for 838 individuals during 2013.

# Office of Administration

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## 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).

### Key Public Service Areas

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

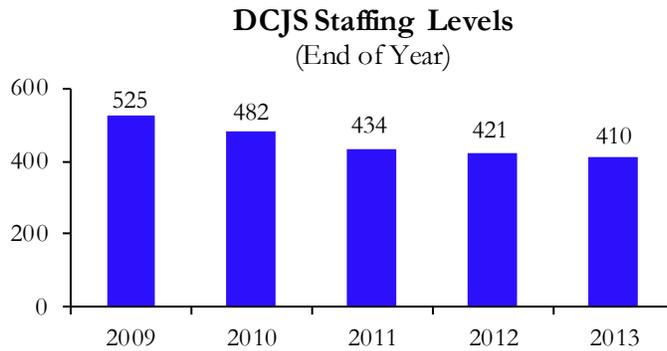
The Office of Administration includes the following three program areas:

- **Human Resources Management:** Oversees position classification; workforce development & training; examination planning; recruitment and staffing; time and attendance; payroll and benefits administration; employee and labor relations programs.
- **Workforce Diversity and Equity Programs:** Ensures compliance with NYS Human Rights Law, Title VII of the Civil Rights Act and the Americans with Disability Act. Investigates complaints of discrimination based on protected class status, provides reasonable accommodations and coordinate the Agency's Language Access Program. Provides guidance on the development of interview questions and approves interview nominations.
- **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 distribution services; telecommunications; facilities management and worksite improvements. Administrative Services is also responsible for agency fleet management, building access, inventory and records management programs.

# Office of Administration

## Human Resource Management

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

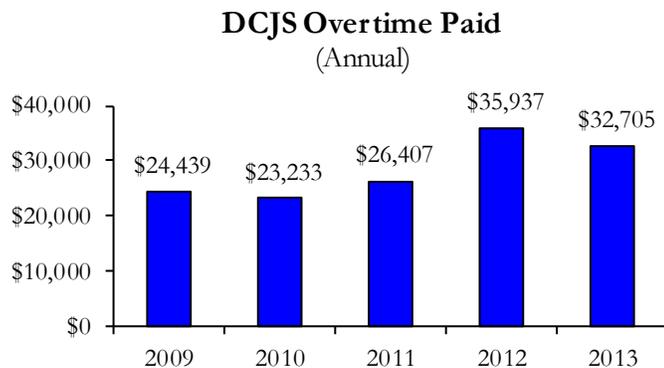


All years exclude ITS staff.

✓ DCJS staffing declined by 115 filled positions from 2009 to the end of 2013.

✓ HRM staff facilitated the hiring of 85 staff at DCJS during 2013, a decrease from the 89 hired in 2012.

✓ Overtime costs declined in 2013.



Human Resources at DCJS also is 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.

## Workforce Diversity and Equity Programs

### Reasonable Accommodations

Pursuant to the federal American With Disabilities Act (ADA), the state Human Rights Law and other 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 are already employed. Reasonable accommodations may be requested regardless of title, salary, grade, bargaining unit, employment status or jurisdictional classification.

✓ During 2013, reasonable accommodations were provided for 31 individuals: 28 for DCJS employees and three for employees in its hosted agencies.

# Office of Administration

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## 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 commonly used 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 state Attorney General’s Office (AG) for approval.

- ✓ During 2013, Financial Services processed 596 grant contracts, down (-26%) from 2012. The contract dollars processed was \$82.4 million, down (-17%) from 2012. This reduction in contracts and spending is due to the expiration of contracts funded through the American Recovery and Reinvestment Act and contracting delays associated with new statewide initiatives.

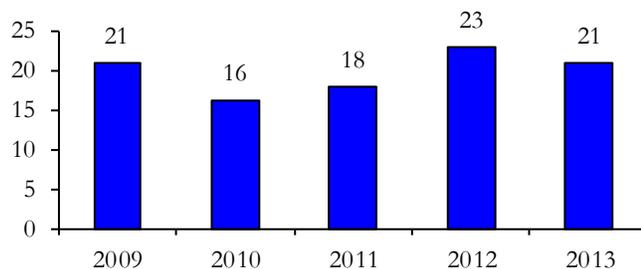
**Contracts Executed**  
(Annual)

	2009	2010	2011	2012	2013
Grant Contracts Executed	818	890	890	810	596
Contract Dollars Processed (Millions)	\$125.3	\$136.8	\$104.6	\$98.7	\$82.4

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 DCJS OPDF.

**Financial Services Processing Time**  
(Median Days)

- ✓ During 2013, Financial Services consistently met its goal, processing grant contracts within 21 days, well under the 35-day processing time target.

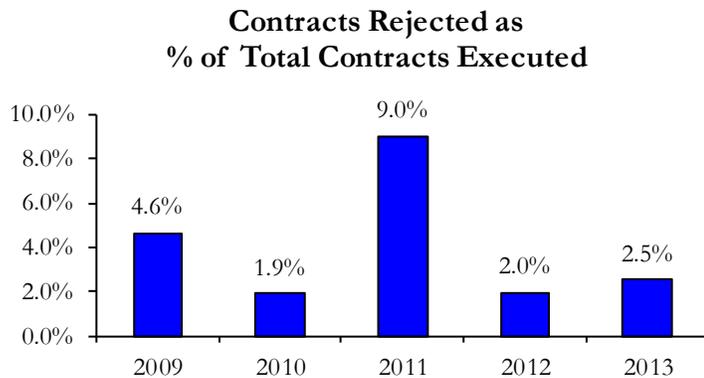


# Office of Administration

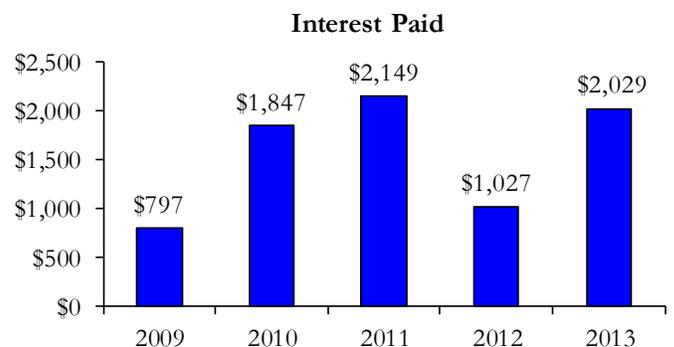
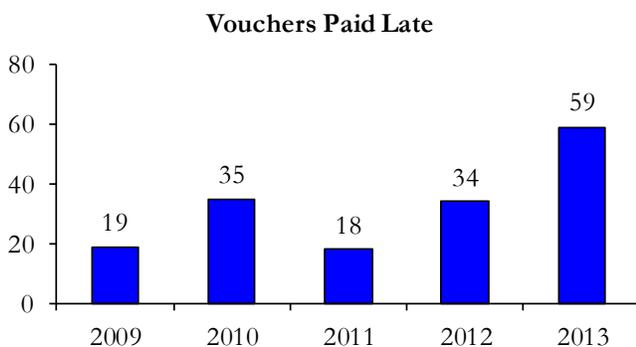
Financial Services reviews grant contracts prepared by program staff before submission to OSC and the AG for approval. Contracts that are inconsistent with OSC and AG guidelines are returned to OPDF for correction or modification.

- ✓ During 2013, three grant contracts were rejected by OSC and sent back to Financial Services.
- ✓ During 2013, 15 grant contracts were rejected by Financial Services back to OPDF compared to 16 rejected in 2012.

- ✓ Rejected contracts represented 2.5 percent 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.



Financial Services is responsible for paying all vouchers within the 30-day timeframe prescribed under the 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 2013, Financial Services paid 59 vouchers late.
- ✓ A total of \$2,029 in interest on late vouchers was paid in 2013 as compared to \$1,027 in 2012.

# Office of Administration

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## Administrative Services

Administrative Services provides essential support services to the DCJS staff so they may effectively complete their missions in serving the criminal justice community.

Administrative Services coordinates the printing and copying of agency publications and uses 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 2009.

### Print Jobs (Annual)

	2009	2010	2011	2012	2013
Print Jobs Requested	781	697	724	587	628
Savings from In-House Printing/Copying	\$76,760	\$77,900	\$85,605	\$103,926	\$86,023

- √ Between January and December 2013, Administrative Services processed and completed 628 print jobs (an average of 52 per month) and 100 percent were completed within the timeframe requested.
- √ Administrative Services saved \$86,023 during 2013 by completing printing and copying jobs in-house.

Administrative Services is responsible for operation of the DCJS mailroom and handles all requests initiated by program areas for mass mailings. This office has also implemented an extensive agency-wide recycling program that recycled an estimated 41,700 pounds of non-electronic material in 2013. This compares to 108,328 pounds of electronic material recycled in 2012, which was related to an agency-wide cleanup prior to DCJS' relocation. There was an additional 33,250 pounds of electronic recycling in 2013.

# Office of Justice Research and Performance

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## 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

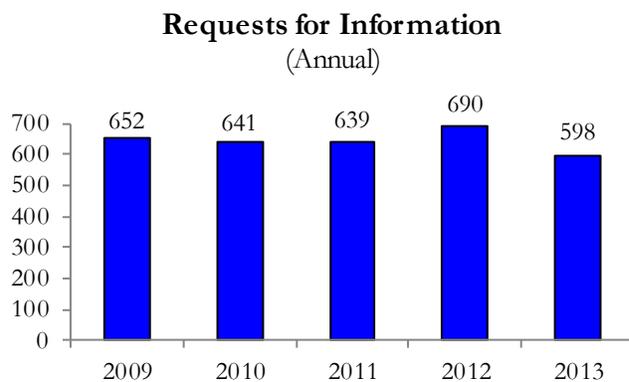
- **Crime Reporting:** Oversees the New York State Uniform Crime Reporting (UCR) program and the Incident Based Reporting (IBR) program. The unit works with law enforcement agencies to ensure the accuracy, completeness and timeliness of crime data, generates data files for the FBI and oversees a comprehensive reporting system to monitor violent crime reduction in the large counties outside of New York City.
- **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 Partnership:** Develops and maintains strong partnerships with outside entities, such as the State University of New York at Albany and John Jay College, and administers all agreements with outside researchers. Ensures appropriate controls are in place to address confidentiality laws and standards for maintenance, analysis and dissemination of data.

# Office of Justice Research and Performance

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## 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. OJRP prepares statistical data for posting to the DCJS website, including crime trends, adult arrests and dispositions, hate crime incidents and domestic violence-related data. In the past five years, OJRP has added a large amount of data to the public website, including a large number of commonly requested tables available for download. Information is provided for the state as well as by county, geographic region and reporting jurisdiction. This data is regularly updated and many requestors are now referred directly to the website. To meet customer needs, statistical information can be downloaded in both Excel and PDF formats. The graph below represents requests for data that were not available on the DCJS website.



- ✓ During 2013, OJRP staff prepared and provided data and analyses in response to 598 requests for information.
- ✓ The expansion in the number of data tables available for download on the public website has mitigated the demand for special requests.

- ✓ 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 state and local executives monitor performance. Many reports are also posted on the IJ Portal, the secure website for law enforcement, where they are available to nearly 50,000 users.
- ✓ 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](#). DCJS currently has 17 datasets available on the Open Data portal.

## 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 evaluations and 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.

# Office of Justice Research and Performance

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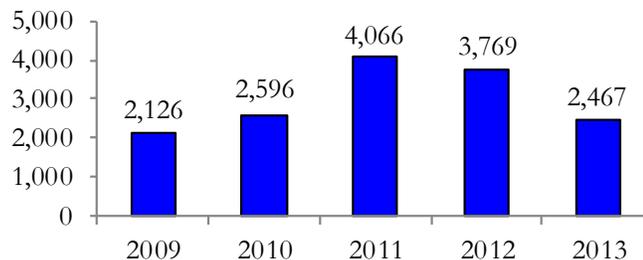
- ✓ In 2013, OJRP entered into non-disclosure agreements with 27 research entities. All agreements require that researchers submit a draft report prior to publication and formally present research findings it requested.
- ✓ Sixty-eight research files were prepared and delivered in support of approved 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 2013, OJRP worked closely with the state's Office of Mental Health (OMH) and Office of Children and Family Services (OCFS) and other research organizations such as the Vera Institute, Center for Court Innovation, and John Jay College, to assist in criminal justice research. This included work on 11 projects which span several years and require on-going OJRP support and file preparation.

## Crime Reporting

Pursuant to the 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 late 2010, staff resources were redirected to increase the data quality efforts of the crime reporting program. This resulted in a large increase in crime reporting contacts in 2011 and 2012.

**Crime Reporting Contacts**  
(Annual)



- ✓ The 2013 deployment of a new data entry interface on the IJPortal reduced the number of common errors which reduced the need for staff follow-up.
- ✓ Crime reporting staff follow comprehensive review procedures to ensure all information on homicides committed in New York State are reported timely and accurately. In 2013, Crime Reporting staff reviewed and verified the accuracy of 642 homicides submitted by reporting agencies.
- ✓ OJRP works closely with the DCJS Office of Public Safety to monitor violent crime in the large jurisdictions outside of NYC. Analyses prepared by OJRP helps to target state assistance and resources to the areas that need attention.

# Office of Justice Research and Performance

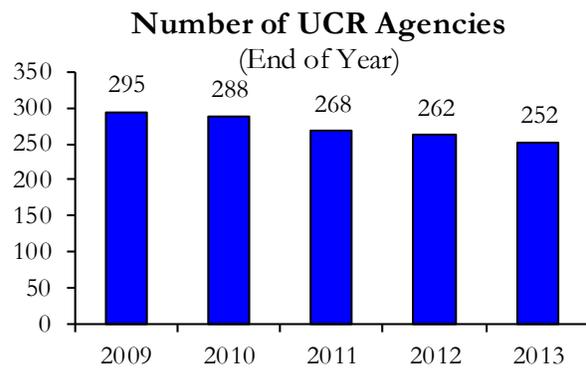
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Law enforcement agencies use one of two reporting systems to submit crime data to DCJS: Summary UCR or Incident Based Reporting (IBR). Summary UCR participating agencies provide counts of reported crimes that have been aggregated into federally-defined crime classifications.

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 2013, 252 agencies were participating in the UCR program.



- ✓ During 2013, seven law enforcement agencies transitioned to IBR, bringing the total to 271 at year end.
- ✓ At the end of 2013, 41 percent of the crime reported outside New York City was reported through IBR, an increase of six percent from 2012.



Prior to 2013, the collection and data entry of both Summary and IBR data was a labor intensive process. Summary UCR reports were received by DCJS in hard copy and were manually entered into the state crime reporting database. Law enforcement agencies participating in IBR submitted electronic files to DCJS which then relied on a manual process to upload to the state database.

# Office of Justice Research and Performance

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A project to streamline the state collection process was completed in 2013; the new process includes a Crime Reporting Interface on the IJPortal for both IBR and Summary crime reports. This user friendly interface, which has built in edit checks, has significantly reduced processing time and the volume of crime reporting contact calls made by staff. Currently, there are 271 Incident Based Reporting (IBR) agencies uploading monthly submission files through the Crime Reporting Interface. This process, which now requires no manual intervention, allows IBR staff to focus solely on the quality of the submitted data. The Crime Reporting Unit is now working with the 252 Summary (UCR) agencies to transition the data entry of monthly reports from DCJS staff to the local agency via the IJPortal. Current efforts include the development of training modules and direct follow up with Summary reporting agencies.

## Publications

In addition to conducting research, preparing statistics for the website and responding to data requests, OJRP published a number of reports during 2013 which are available on the DCJS website: <http://www.criminaljustice.ny.gov/crimnet/pubs.htm>

- ✓ *Crime in New York State Report* contains index crime statistics for New York State. Historical crime data are also provided.
- ✓ *Cost Benefit Analysis for Criminal Justice* is an initial report detailing the deployment and the initial application of the Results First cost-benefit model in New York State.
- ✓ *Hate Crimes in New York State 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.
- ✓ *Domestic Homicide in New York State* contains statewide and regional statistics on domestic homicide with special focus on intimate partner homicide. Demographic characteristics of homicide victims, as well as the respective circumstances surrounding the homicide incidents, and the types of weapons used are summarized.
- ✓ *New York State Violent Felony Offense Processing Report* describes the processing of violent felony cases.
- ✓ *New York State Felony Processing Final Report, Indictment through Disposition* describes the processing of felony cases in New York's superior courts.
- ✓ *New York State Report on Felony Insurance Fraud Offenses* provides information related to the processing of persons charged with Insurance Fraud felony offenses.
- ✓ *New York State 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.
- ✓ *Annual DCJS Performance Report* contains performance data for DCJS as an agency.

# Office of Legal Services

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## Mission

To provide legal advice and counsel to DCJS 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 Agency 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, 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. OLS also handles agency procurement issues.

## Key Public Service Areas

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

# Office of Legal Services

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## Support for Other DCJS Program Areas

- √ 1,092 Freedom of Information Law (FOIL) requests were received during 2013, an increase from 765 requests received in 2012.
- √ 94 requests for approval for employment outside DCJS were received and processed during 2013 as compared to 105 requests in 2012.
- √ DCJS has hundreds of Use and Dissemination Agreements with outside agencies regarding agency operations. OLS staff handled 295 requests regarding these agreements, an increase of 101 from 2012. These requests include questions regarding existing agreements and creation of new agreements.
- √ In addition, 23 Non-Disclosure Agreements for research purposes were prepared during 2013.
- √ OLS staff handles e-mails from the general public including requests for general information, suggestions and comments generated from the DCJS public website. During 2013, 162 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 2013, 154 responses were prepared.

# Office of Internal Audit and Compliance

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## 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 and the Office for the Prevention of Domestic Violence. It also provides those services to the Board of Examiners of Sex Offenders.

OIAC provides audit and oversight services in the following eight 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.
- **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 the OSC, the FBI, the federal 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.
- **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

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## Internal Audits

Pursuant to Executive Law Article 45 and the 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 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.

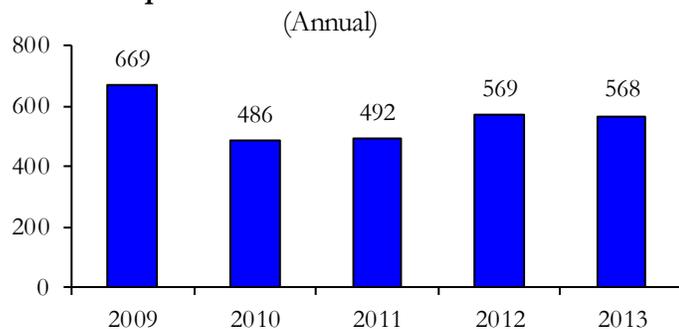
- ✓ Seven major internal audits and reviews were completed during 2013: Control over DNA Hit Management and Confirmation, Crimes Against Revenue Program (CARP), Domestic Incident Report (DIR) Processing, Mobile Telecommunications Devices, Review of Control over the Creation of ORIs and Reason Codes, Controls over Access to DCJS Systems, Review of Data Quality Management and FBI Reconciliation Unit. 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 2013, OIAC reviewed 568 agencies that used official criminal history record information (rapsheets), about the same as 2012. Findings were shared with audited agencies for corrective action.

**Compliance Reviews of CHRI Users**



# Office of Internal Audit and Compliance

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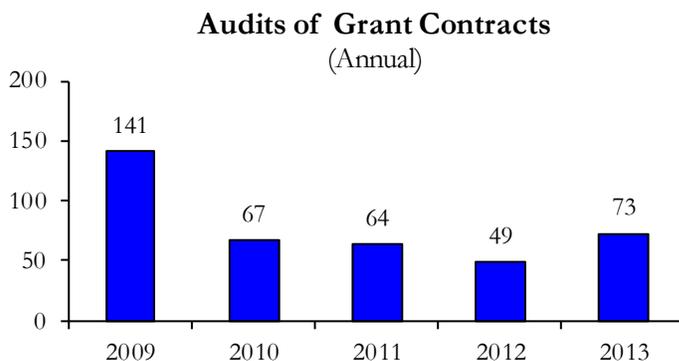
## DMV Photo Audits

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 helps ensure appropriate use of photo files and guard against potential abuse.

✓ 106 DMV photo audits were completed during 2013.

## Grant Contract Compliance Reviews

DCJS administers nearly 1,800 grant contracts with government, not-for-profit and law enforcement agencies. During 2013, 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).



✓ During 2013, OIAC conducted 73 fiscal audits of 39 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 2013, 75 Single Audit Reports were received and reviewed by OIAC.

# Office of Internal Audit and Compliance

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## Coordination of External Audit Activities

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

- √ During 2013, OIAC served as liaison and coordinated responses for three external audits or reviews conducted by either OSC 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 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 2013, OIAC conducted 41 investigations involving 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 five complaints during 2013.

# Appendix A

# Appendix A

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## **Criminal Justice Policy Boards and Commissions**

DCJS supports seven advisory boards and commissions, members of which are appointed by the governor. These boards formulate public policy, develop strategic plans and advise the DCJS Commissioner, Governor and legislators in areas of DNA, juvenile justice, motor vehicle theft and insurance fraud prevention, police training and accreditation and security guard training through the following offices: Office of Public Safety (OPS), Office of Forensic Services (OFS), Office of Program Development and Funding (OPDF), Office of Juvenile Justice (OJJ) and Office of Legal Services (OLS).

### **Board of Examiners (BOE)**

The Sex Offender Registration Act (SORA) enacted in January 1996 established a five-member Board of Examiners of Sex Offenders (BOE) to assess registrants released from jail or prison and recommend a risk level. The BOE also determines whether an offender convicted in another jurisdiction must register with the state's Sex Offender Registry when the offender establishes a residence in New York State. Costs incurred by the board are supported by DCJS and the Department of Corrections and Community Supervision (DOCCS).

### **Juvenile Justice Advisory Group (JJAG)**

Federal law requires all states to establish an advisory group to oversee the strategic planning and federal grant funding allocation to organizations that address juvenile delinquency and prevention issues. The Juvenile Justice Advisory Group (JJAG) has between 15 and 33 members who must have training, experience, or special knowledge in the areas of prevention and treatment of juvenile delinquency or the administration of juvenile justice.

With DCJS staff support, the JJAG finalizes New York's Three-Year Juvenile Justice Plan, which identifies funding priority areas. Federal juvenile justice funds are used as seed money to establish and support new and innovative projects that seek to measurably reduce juvenile crime, promote individual accountability, enhance public protection, and prevent delinquency through positive youth development.

### **Motor Vehicle Theft & Insurance Fraud Prevention Board (MVTIF)**

The 12-member New York Motor Vehicle Theft and Insurance Fraud Prevention Board oversees a demonstration program that supports initiatives designed to reduce motor vehicle theft and related motor vehicle insurance fraud. The program provides state funds to support police and prosecutors in communities with high incidents of motor vehicle theft and insurance fraud, allowing those jurisdictions to support specialized law enforcement strategies to combat the crimes.

The board has representation from the motor vehicle insurance industry and consumers, law enforcement agencies, and the judicial system. The board also develops an annual plan with recommendations on how to reduce motor vehicle theft and motor vehicle insurance fraud statewide.

# Appendix A

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## **Law Enforcement Agency Accreditation Council (LEAAC)**

The 17-member Law Enforcement Agency Accreditation Council provides overall direction for the Law Enforcement Accreditation Program (LEAP) by issuing standards and setting policy; the council also has exclusive authority to grant accreditation status.

LEAP began in 1989 and is designed to be a progressive and contemporary way of helping police agencies evaluate and improve their overall performance. The program has four principal goals: to increase the effectiveness and efficiency of law enforcement agencies utilizing existing personnel; equipment and facilities to the extent possible; to promote increased cooperation and coordination among law enforcement agencies and criminal justice agencies; to ensure the appropriate training of law enforcement personnel and; to promote public confidence.

## **Security Guard Advisory Council (SGAC)**

The 17-member Security Guard Advisory Council addresses program and policy requirements and recommends rules and regulations to the DCJS Commissioner concerning: approval or revocation of security guard training schools and training programs; the minimum courses of study and all training requirements to be fulfilled by schools; the minimum qualifications for instructors at approved security guard training schools and training programs; and training requirements for unarmed and armed security guards.

DCJS approves private security training schools and provides administrative oversight of mandated security guard training. The New York State Department of State is responsible for licensing security guards.

## **Commission on Forensic Science**

The 14-member Commission on Forensic Science is empowered to develop minimum standards and a program of accreditation for all forensic laboratories in New York State. Accreditation of a forensic DNA laboratory is granted through the seven-member DNA Subcommittee, which 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.

## **Municipal Police Training Council (MPTC)**

The eight-member Municipal Police Training Council (MPTC) promulgates minimum training requirements for newly-appointed police officers and a course of training for police officers appointed to supervisory positions. It also recommends rules and regulations for minimum standards for law enforcement and correctional training programs; instructor certifications and develops and approves law enforcement model policies designed to enhance the way local law enforcement agencies serve and protect their communities.