2011 Annual Performance Report
for the
New York State
Division of Criminal Justice Services

New York State Division of Criminal Justice Services

2011 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 §837(4)(a) and 837(12) of the Executive Law. This report fulfills the statutory requirement for calendar years 2010 and 2011. A listing of other annual reports issued by DCJS is provided on the following page.

Office of Justice Research and Performance
Division of Criminal Justice Services
4 Tower Place
Albany, New York 12203
(518) 457-7301

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

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 2011 Preliminary Data Preliminary index crime statistics for New York State in 2011 and satisfies the reporting requirement found in **§**837(4)(c) of the Executive Law.
Historical crime data are also presented.

Domestic Homicide in New York State, 2010 Information and data about domestic homicide in New York State.

Hate Crimes in New York State: 2010 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 **§**837(4-c) of the Executive Law.

2010 Operation IMPACT Annual Report Activities of jurisdictions that participate in Operation IMPACT, the state's program to target violent and gun crime in the 17 counties Upstate and on Long Island and satisfies the reporting requirement found in **§** 837a(8) of the Executive Law.

New York State Felony Processing Final Report, Indictment through Disposition, Jan-Dec 2011
Summarizes the processing of felony cases in New York State's superior courts and satisfies the reporting requirement found in **§**837a(1) and 837a(2) of the Executive Law.

New York State Violent Felony Offense Processing Report 2006 to 2010
Information related to the processing of persons charged with Violent Felony Offenses and satisfies the reporting requirement found in **§**837a(3) and 837(4)(f) of the Executive Law.

Missing Persons Clearinghouse Annual Report: 2011 Information and statistics about New York State's Missing Persons Clearinghouse in 2011 and satisfies the reporting requirement found in **§**837f(12) of the Executive Law.

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

Law Enforcement Accreditation Program Annual Report: 2011 This report contains information and statistics about New York State's Accreditation Program and satisfies the reporting requirement found in **§**846h(10) of the Executive Law.

New York State 2011 Report on Felony Insurance Fraud Offenses Information related to the processing of persons charged with Insurance Fraud felony offenses and satisfies the reporting requirement found in **§**837a(1) and 837a(5) of the Executive Law.

New York State 2011 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 and satisfies the reporting requirement found in **§**837a(1), 837a(5) and 837(4-a) of the Executive Law.

2009 Annual DCJS Performance Report Performance data for the Division of Criminal Justice Services for 2009 and satisfies the annual reporting requirement found in **§**837(12) of the Executive Law.

2009 Criminal Justice Crimestat Report Information on criminal justice performance and trends.

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

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Executive Highlights

This report reviews activities within the New York State Division of Criminal Justice Services during 2011. Streamlined procedures and processes continue to uphold core mission requirements. DCJS is able to work more efficiently through innovation and increased use of criminal justice technology.

Office of Criminal Justice Operations (OCJO)

- OCJO's 24/7 fingerprint operation processed more than one million fingerprints – 583,259 arrest, 163,497 non-arrest and 488,377 civil during 2011. Arrest prints were processed and criminal histories returned in an average of 29 minutes.

- During 2011, a total of 290,223 Domestic Incident Reports (DIRs) were processed.

- The Missing Persons Clearinghouse (MPC) assisted with 634 missing children cases and eight missing vulnerable adult cases during 2011. Staff also trained 175 law enforcement officers in investigations, 401 professionals attended training on the new Missing Vulnerable Adult Legislation and 5,185 parents, children, and teachers attended presentations on Internet safety.

Office of Justice Information Services (OJIS)

- Three key public safety projects were successfully implemented in 2011: migration of the agency's mainframe-based criminal history processing systems to a state-of-the-art environment; implementation of a Statewide Automated Biometric Identification System (SABIS) to eliminate reliance on unsupported hardware and software; and creation of the state's Domestic Incident Report Repository, which offers law enforcement officials cross-jurisdictional access to information about reported incidents of domestic violence in the Upstate and Long Island counties.

- At the end of 2011, nearly 50,000 law enforcement personnel from more than 2,650 agencies were enrolled in *e*JusticeNY, receiving criminal history data, investigative tools and other information critical to law enforcement electronically. Nearly 13,000 personnel from 1,461 agencies were utilizing the Integrated Justice Portal.

- The Customer Contact Center (a 24-hour help desk) handled more than 84,000 requests for assistance, an increase of 21%.

Office of Public Safety (OPS)

- More than 160 law enforcement training courses were held around the state, attended by more than 8,000 law enforcement officers.

- The law enforcement accreditation program continued to grow, providing professional standards designed to improve officers' skills, keeping officers, and the public, safe. Eight law enforcement agencies were newly accredited during the year. As of December 2011, there were 136 accredited police agencies in New York State.

- OPS staff repaired and certified more than 6,400 speed and alcohol detection instruments used by local agencies, with all repairs and certifications completed within two days.

Office of Probation and Correctional Alternatives (OPCA)

- In 2011, 173 ATI programs in New York City and 57 counties outside New York City were funded, serving nearly 90,000 participants.

- A total of 45 training sessions were held on community corrections, with more than 1,200 persons trained.

- OPCA staff provides probation professionals with the most current information available to assist in effective community supervision of offenders: 25 State Director Memoranda, 23 informational memoranda, 10 eFocus newsletters, two E-YASI newsletters and two In Touch with Offender Workforce Development Specialist newsletters were published in 2011.

Office of Sex Offender Management (OSOM)

- Continued to maintain the state's registry of more than 33,300 offenders despite major staffing reductions.

- Staff conducted more than 728,000 sex offender registry searches, 14% less than in 2010. State statutes require this information to be shared with programs that enroll children, as well as the general public. There were also 23.6 million offender profiles viewed on the public Sex Offender Registry website, 14% less than in 2010.

Office of Forensic Services (OFS)

- The DNA Databank grew to over 450,000 specimens, with 2,721 hits that resulted in convictions as of the end of December 2011. Of these, 22% involved sexual assaults, 49% involved burglary investigations and 7% of the hits were against physical evidence collected in connection with homicide investigations.

- The overall statewide DNA collection rate ranged between 85% and 87% during 2011.

Office of Program Development and Funding (OPDF)

- OPDF monitored more than 850 active grant contracts. These contracts support critical local programs such as forensic laboratories, sexual assault forensic examiners, motor vehicle theft and insurance fraud prevention, re-entry services and coordination, law enforcement and prosecution programs targeting guns and violence, juvenile crime prevention, and domestic violence prevention and advocacy programs.

- Staff conducted 180 site visits to ensure that grantee organizations provided services in accordance with contract terms.

Office of Administration

- Despite new centralized approval processes requiring specific forms and sign-offs, Administration executed 890 contracts, and distributed more than $104 million to grantees.

- Administrative Services saved more than $85,000 by printing and copying in-house.

Office of Justice Research and Performance (OJRP)

- OJRP prepared data and analysis in response to 639 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 38 case-specific research files, working closely with nearly 20 research organizations.

Office of Legal Services (OLS)

- OLS received 880 Freedom of Information Law requests.

- 183 requests for Use and Dissemination agreements and/or questions regarding existing agreements were reviewed by OLS staff in 2011.

Office of Internal Audit and Compliance (OIAC)

- OIAC conducted four internal audits and 62 fiscal audits of grant contracts, and reviewed operations in 492 agencies that used criminal history record information (rapsheets).

- Nine reviews of Uniform Crime Reporting (UCR) data submitted by agencies receiving Operation IMPACT funding were completed.

Office of Criminal Justice Operations

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

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

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

- **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 from law enforcement agencies across the state and country, and searches them electronically using the Statewide Automated Biometric Identification System (SABIS) technology against a special database of fingerprint images.
- **Digital Image Capture And Processing (DICAP)** - Receives and processes all Domestic Incident Reports in New York State 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, case disposition and record sealing and record reviews.
- **Administration** - Supports administrative functions, such as purchasing, procurements and personnel transactions. Supports civil validation, district attorney fingerprint certification requests, judicial subpoenas and special projects. Maintains Use and Dissemination agreements for all agencies in New York State that access criminal history information.
- **Missing Persons Clearinghouse** - Administers the Missing Child, College Student and Vulnerable Adult Alerts and Programs. **Note:** Effective April 1, 2012, this program was transferred from the DCJS Office of Public Safety to the Office of Criminal Justice Operations.

Office of Criminal Justice Operations

Arrest Fingerprint Processing

The DCJS State Identification Bureau operates 24 hours a day, 365 days a year to provide criminal history records that contain up-to-date arrest and conviction information to criminal justice agencies. DCJS receives more than 50,000 arrest fingerprint cards and an additional 14,000 non-arrest cards each month.   Fingerprints are searched against a database of more than 65 million fingerprint images. When an arrest is made, fingerprints are submitted to DCJS by the arresting agency. In 2011, DCJS received more than 98% of all criminal submissions electronically. For those agencies without electronic capability that continue to mail in fingerprint cards, staff converts the inked card to an electronic format via a DCJS Repository for Integrated Criminalistic Imaging (RICI) Cardscan. DCJS returns criminal history record reports, commonly referred to as "rapsheets," to law enforcement agencies, district attorneys' offices and courts in response to the fingerprint submission. Rapsheets are returned electronically within an average of less than 30 minutes of receipt. This allows courts to use the positive identification of offenders, past criminal histories and any warrant information for arraignment and bail determinations. The fingerprint images are immediately forwarded to the FBI after DCJS processing for a search of the FBI's national database for criminal history reports from the other 49 states. The FBI returns their results to the arresting agency in less than 10 minutes, which provides the arresting agency with a New York State and national criminal history report in less than one hour.

√ During 2011, 583,259 arrest fingerprint transactions were processed. Of these, 571,871 (98%) were submitted electronically to DCJS.

√ An additional 163,497 fingerprint-based requests for criminal histories were processed by OCJO.   These submissions were made for offenders who were incarcerated, on parole or probation, or for other inquiries.

Arrest Fingerprints Processed
(Annual)

Year	Count
2007	585,264
2008	587,598
2009	596,186
2010	595,039
2011	583,259
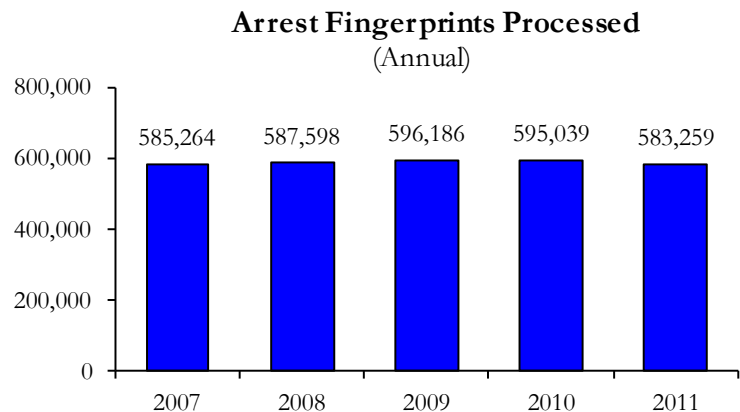
OCJO has established a target to process all arrest fingerprints submitted electronically within three hours of receipt; on average, prints are processed in less than 30 minutes.

Office of Criminal Justice Operations

**Percent of Arrest Fingerprints
Processed Within 3 Hours**
(Annual)

Year	Percent
2007	99.3%
2008	99.5%
2009	99.5%
2010	99.7%
2011	99.6%
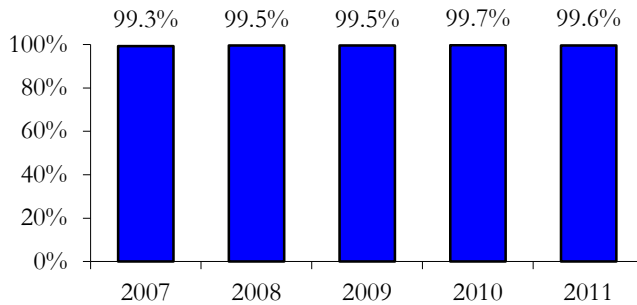
√ In 2011, nearly 100% of electronic submissions were processed within three hours of receipt, with an average turnaround time of 29 minutes.

Store and Forward Initiative

Store and Forward is an electronic interface that links remote fingerprinting sites to the Division's Statewide Automated Biometric Identification System (SABIS). Electronic submission allows authorized civil and criminal justice agencies timely access to criminal history information for critical decision-making, including at arraignment; enables DCJS to forward authorized fingerprint inquiries to the FBI electronically for a quicker turnaround and enables timely arrest notifications for immigration, wants, employment and licensing and supervisory agencies. Electronic submission is critical for public safety, efficiency at arraignment and bail determinations.

In 2009, DCJS implemented an aggressive strategy to get all prints submitted through Store and Forward. This included statewide notification of the effort, follow-up with agencies that were mailing in fingerprint cards and funding for fingerprinting equipment for State Police and other agencies Through these efforts, 98% of all fingerprint submissions are now transmitted electronically.

**Percent of Arrest Fingerprints
Processed Electronically**
(Annual)

Year	Percent
2007	87.7%
2008	87.4%
2009	90.1%
2010	96.9%
2011	98.1%
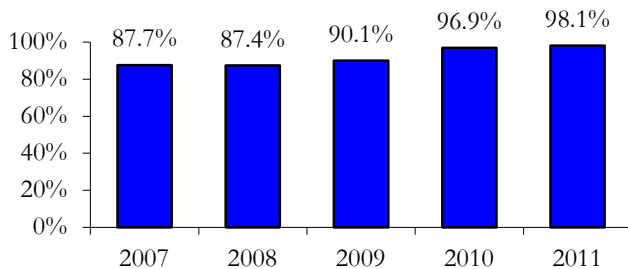
√ The percent of arrests processed electronically was 98.1% during 2011, higher than the 96.9% in 2010.

Criminal history responses are returned for all arrest fingerprint submissions. To reduce costs, extensive efforts have been made to eliminate mailing criminal history information, and instead have this information sent electronically. During 2011, only 396 rapsheets were mailed to town and village courts of arraignment that did not have access to *e*JusticeNY. This is significantly fewer rapsheets (-94%) than the 6,760 mailed during 2010. After June 2011, the printing, sorting and

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mailing of rapsheets was completely eliminated, resulting in substantial savings in both staff time and mailing expenses.

Civil Fingerprint Processing

DCJS processes fingerprint submissions associated with applications for certain occupations or licenses that by law require a criminal history record check. Applicant fingerprint submissions are forwarded to DCJS from more than 900 entities statewide. The timely processing of civil fingerprint submissions facilitates the suitability determination process of individuals who are seeking licenses or employment in positions of trust. This determination is essential to ensur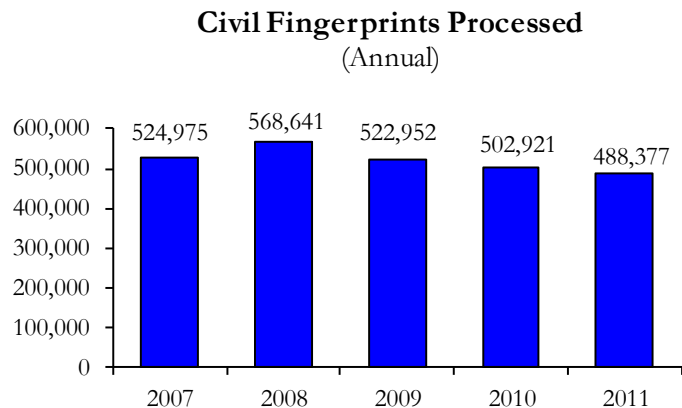e that nursing homes, schools and other employers in especially sensitive areas do not hire individuals who may jeopardize the safety of the state's most vulnerable populations – children, the elderly and the handicapped.

√ There were 488,377 civil fingerprint transactions processed in 2011, a decrease of 3% as compared to 2010. Civil fingerprint input from contributor agencies has declined steadily since 2008, due a decrease in available job opportunities.

√ Civil fingerprints were processed with an average turnaround time of 21.8 hours during 2011.

Civil Fingerprints Processed
(Annual)

Year	Count
2007	524,975
2008	568,641
2009	522,952
2010	502,921
2011	488,377

Civil Vendor-Managed Fingerprint Capture System

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

The vendor-managed system was implemented at no cost to DCJS. Aside from any applicable DCJS and FBI fingerprint search fees ($75 and $19.25 respectively), the vendor charges the applicant an additional fee, currently $10.75, for software, equipment and staffing costs associated with collecting and transmitting the fingerprints and photos electronically to DCJS. The DCJS Civil Customer Service Bureau provides a point-of-contact for civil contributors and applicants for questions or problems. The Bureau also handles questions related to applicant fingerprint processing fees.

√ As of December 2011, more than 95 Livescan fingerprinting locations were in place throughout the state, with more than 630 civil contributor agencies using the network.

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Percent of Civil Fingerprints Submitted Electronically and Processed
(Annual)
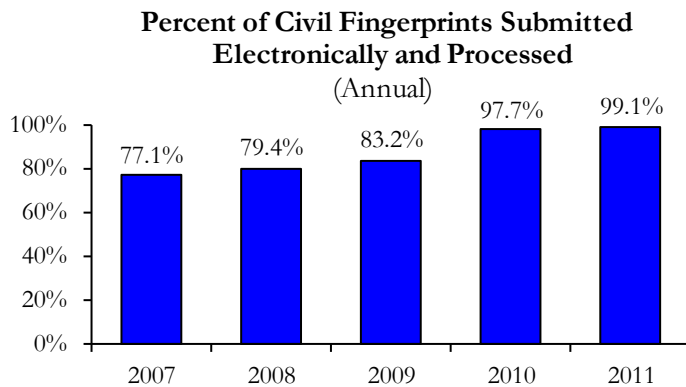
√ 99.1% of civil fingerprints were submitted electronically in 2011, compared to 97.7% in 2010.

Crime Scene (Latent) Print Processing

DCJS implemented the New York Statewide Automated Biometric Identification System (SABIS) in December 2011, replacing its outdated and unsupported SAFIS system. The new SABIS has a multitude of improvements including increased accuracy, enhanced workflows, interoperability, and additional search capabilities, which include palm prints and latent eligible civil prints. The palm print database currently has more than 650,000 images that were received from the New York City Police Department's palm print database. The new SABIS has also been networked with the 19 latent print regional sites across the state. Office of Criminal Justice Operations staff process crime scene prints from the 17 counties in its geographic jurisdiction, as well as from other parts of the state and other countries, to assist law enforcement agencies in criminal investigations. Crime scene fingerprints are searched against a criminal and civil database of more than 80 million fingerprint images at DCJS in an effort to positively identify the individual who left the prints. Crime scene prints also are searched against the FBI fingerprint database of more than 700 million fingerprint images on behalf of law enforcement agencies across the state. In addition to processing crime scene fingerprints, DCJS provides technical and production assistance to other sites when required, and oversees the certification process and annual proficiency examination for latent fingerprint examiners across the state. Staff also conducts training on latent print collection, analysis, comparison, evaluation, verification and searching. Staff also provides expert court testimony.

√ During 2011, 27,045 crime scene print searches were conducted against the DCJS database, a decrease (-7%) from 2010.

Crime Scene Latent Print Searches Conducted Against DCJS Database
(Annual)
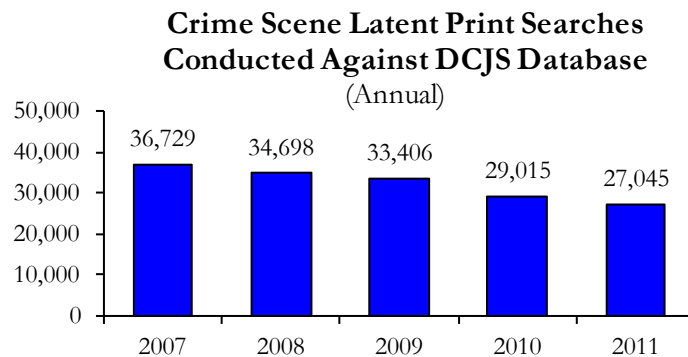
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**Crime Scene Fingerprint Hits Against
DCJS Database**

(Annual)
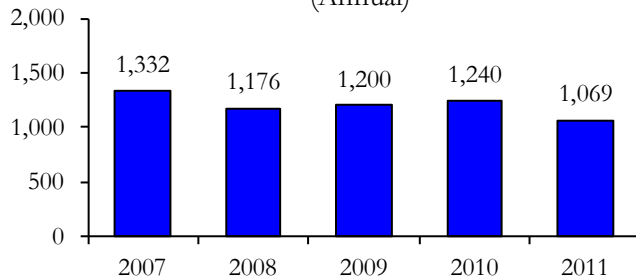
√ DCJS positively identified 1,069 crime scene fingerprints in 2011.

√ DCJS conducted an additional 7,345 crime scene fingerprint searches against the FBI database during the year, down (-10%) from the 8,186 searches in 2010. However there was a 22% increase in the number crime scene fingerprints positively identified in 2011 (67) compared to 2010 (55).

√ DCJS also conducted 749 crime scene searches against the NYPD Palm Print database in 2011, an increase (+34%) from 2010. In both 2010 and 2011, two crime scene palm prints were positively identified.

Training

DCJS' State Identification Bureau conducts three types of training: Seal and Disposition Training for court personnel, primarily focused on the submission of correct disposition information to the Office of Court Administration (OCA) for electronic transmission to DCJS; Latent Print Training for people seeking to become certified SABIS Latent Fingerprint Examiners; and Fingerprint Essentials and training on properly recording fingerprint images for transmission to DCJS. Fingerprint collection - latent and ten-print - is critically important to allow for a proper match against criminal history records. To ensure that individuals are skilled in the proper fingerprint collection techniques, training is regularly provided to law enforcement. Personnel from other state and local agencies, who are responsible for collecting fingerprints associated with applications for certain occupations or licenses that require a criminal history background check, also received training from OCJO.

**OCJO Training
Number of Attendees**

(Annual)

Training By Unit	2009	2010	2011
Seal and Disposition Training	120	70	70
Latent Print Training	56	62	60
Fingerprint Essentials Training	179	116	100
Total Attendees	**355**	**248**	**230**

√ During 2011, OCJO staff provided training to 230 personnel from numerous state and local agencies. This is a slight decrease from the 248 personnel trained in 2010, largely due to the

transition of many civil contributors to the Civil Vendor-Managed System, as well as fiscal restraints on travel.

Records Management

Pursuant to nine New York Code of Rules and Regulations Part 6050.1, DCJS provides individuals the right to review his or her own criminal history record information (CHRI). In addition, individuals may challenge the accuracy or completeness of criminal history record information provided by DCJS through an appeal process. There are two types of record reviews: a *Public Record Review* requiring fingerprints and a $60.75 processing fee, and an *Inmate Record Review*, which is provided free of charge to incarcerated individuals. Beginning in 2009, applicants were referred to a civil fingerprint vendor for application processing, in an effort to streamline the process; the fingerprint is $10.75.

Public Record Reviews Conducted
(Annual)

Year	Count
2007	8,043
2008	9,579
2009	11,854
2010	10,429
2011	10,298

Inmate Record Reviews Conducted
(Annual)

Year	Count
2007	14,298
2008	15,769
2009	15,292
2010	15,669
2011	13,760
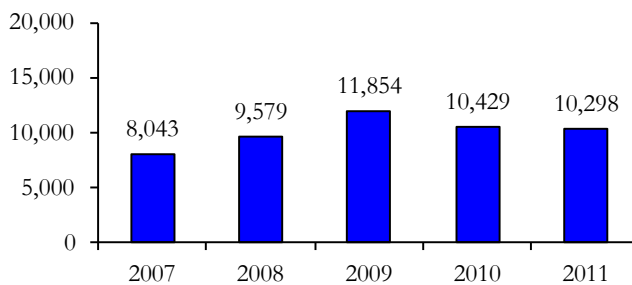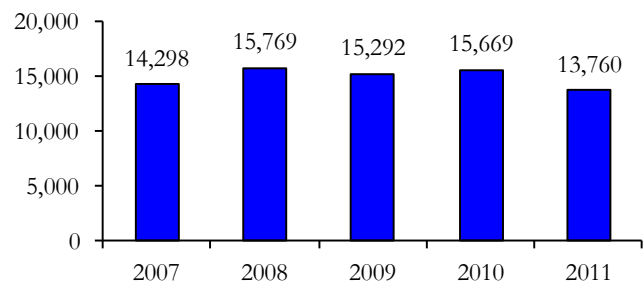
√ During 2011, 24,058 Record Reviews were completed. Of these, 57% were Inmate Record Reviews and 43% were Public Record Reviews.

√ Compared to 2010, there was a (-1%) decrease in record reviews for the general public, as well as a decrease (-12%) in inmate requests for a review.

√ Individuals filed challenges in 5% (730) of the Inmate Record Reviews and 2% (165) of the Public Record Reviews completed in 2011.

Scanning Project

In an effort to eliminate the need for extensive storage and maintenance of paper fingerprint cards and other documents, and to prepare for the conversion to the new SABIS system, staff from OCJO and the DCJS Office of Justice Information Systems (OJIS) completed a project to scan and convert to electronic files approximately 22 million hard-copy fingerprint cards and related documents housed in Central Files. Since completion of the project, document scanning is a regular business practice. During 2011, 93,900 documents were scanned and converted to electronic files by a private vendor. In 2012, scanning will be done by OCJO staff. Documents included fingerprint cards and forms associated with DNA collection. This project not only reduced the need for

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warehouse space, it also provided an opportunity to purge all extraneous documents housed at Central Files, which resulted in substantial savings and allowed for the reassignment of staff.

Completeness of Criminal History Records

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

√ The number of all arrest events with a final disposition on the criminal history file has increased slightly since 2007.

Criminal Court Dispositions on File - All Courts
(Annual)

Year	Percent
2007	93.4%
2008	93.6%
2009	93.6%
2010	93.7%
2011	93.8%
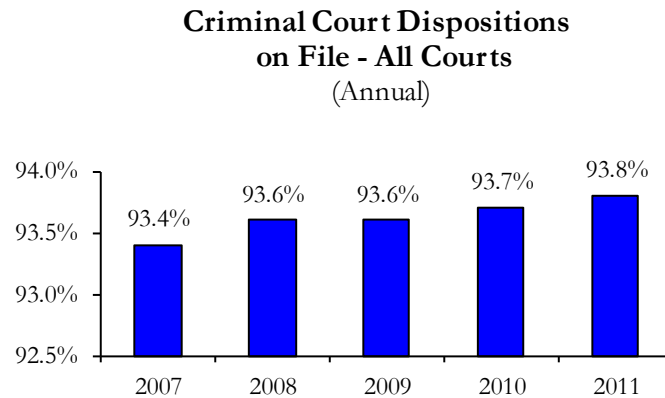
Domestic Incident Report (DIR) Processing

In December 2011, New York State launched its first Domestic Incident Report Repository, offering law enforcement officials cross-jurisdictional information about reported incidents of domestic violence in the Upstate and Long Island counties. Law enforcement can now search a secure, on-line database for incident information, regardless of which police agency responded to a call or filed a report. Access to this information will enhance officer and victim safety.

In March 2011, OCJO staff began processing Domestic Incident Reports (DIRs) for the Domestic Incident Report Repository.   Nearly 1,000 forms are received daily, and each is prepped, scanned, and verified.

√ Through December 2011, 290,223 DIRs were processed.

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Missing Persons Clearinghouse

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

Missing NYS Children Referred to MPC for Assistance
(Annual)

1,500
1,130
1,236
992
1,000
642
634
500
0
2007   2008   2009   2010   2011
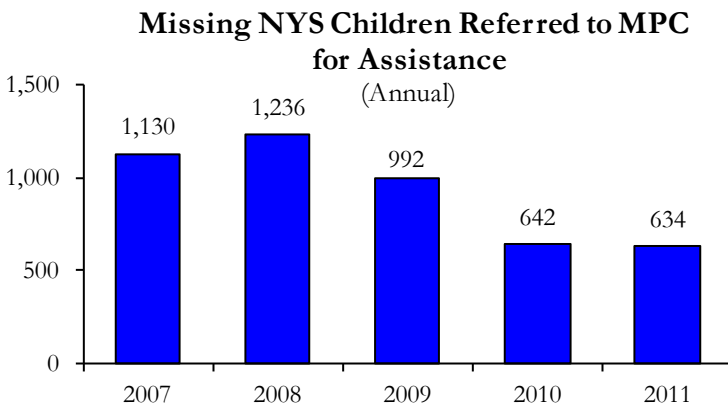
√ In 2011, 634 missing children cases were referred to the MPC for assistance, about the same as referred in 2010. The decline since 2008 is primarily due to staff reductions and a policy change in the types of cases accepted for services.

√ At the end of 2011, a total of 100 MPC cases were still active or pending, the same as at the end of 2010.

√ Eight missing and vulnerable adults were referred to the MPC for assistance from October 2011 (the effective date of the new law) through December 2011.

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

DCJS /MPC Web Hits
(Annual)

√ The number of hits to the DCJS/MPC website increased in 2011 after experiencing a drop in 2010.

800,000
664,459
636,669
604,168
595,046
600,000
492,153
400,000
200,000
2007   2008   2009   2010   2011
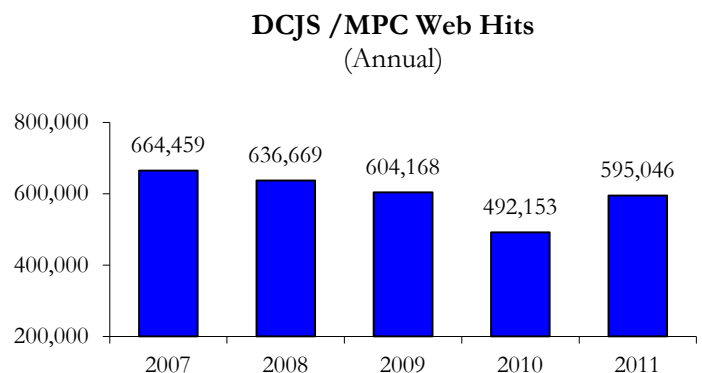
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Training

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

MPC Presentations
Number of Attendees
(Annual)

Presentations	2007	2008	2009	2010	2011
Internet Safety for Parents	869	804	271	412	54
Internet Safety for Children	3,577	11,058	4,810	11,370	4,827
Train the Presenter for Internet Safety	110	105	--	--	254
Internet Safety for Teachers	577	145	28	478	50
Total Attendees	**5,133**	**12,112**	**5,109**	**12,260**	**5,185**

√ During 2011, MPC staff made presentations to 5,185 parents, children and teachers, a substantial decrease (-58%) from 2010.

√ Training conducted by DCJS staff was reduced due to travel and staffing reductions, but at the same time a greater emphasis was placed on "train the trainer" so the overall training that was completed was not diminished.

MPC also develops and conducts training for law enforcement professionals. Staff trains officers on proper handling of AMBER/Missing Child Alerts and missing/abducted investigative strategies.

MPC Training - Officers Trained
(Annual)

Year	Officers Trained
2007	479
2008	97
2009	140
2010	98
2011	175
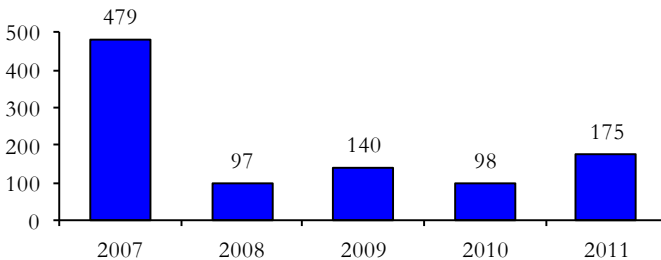
√ A total of 175 law enforcement officers were trained in five sessions during 2011.

√ In addition, 401 participants attended a live meeting on the new Missing Vulnerable Adult law during 2011.

Office of Justice Information Services

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

Scope of Operations

The Office of Justice Information Services (OJIS) provides technology support for DCJS and four hosted agencies: the Office of Victims Services, the Office for the Prevention of Domestic Violence, the Commission of Correction, and the Board of Examiners of Sex Offenders. In addition, OJIS provides support for systems and software used by state and local criminal justice agencies. OJIS plays a leading role in the Integrated Justice Advisory Board (IJAB), the governance board consisting of

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

state-level criminal justice agencies in New York. IJAB coordinates criminal justice system-wide technology and information sharing initiatives, and ensures the interoperability of agency-specific projects. Agencies represented on IJAB include DCJS, the New York State Police, the Department of Corrections and Community Supervision and the Division of Homeland Security and Emergency Management.

OJIS includes the following six program areas:

- **Enterprise Development** - Supports business functions and needs through four major units:
  - **Systems Transformation** - Conducts large project analysis and development.
  - **Application Development and Support** - Project development and production support.
  - **Business Analysis and Quality Assurance** - Conducts analysis of project requirements and quality assurance testing.
  - **Business Intelligence and Data Share** - Develops and supports business intelligence and data share initiatives.
- **Technology Services** - Provides technical infrastructure and support services for DCJS and its hosted agencies. Staff develops, maintains and operates the agency's internal network infrastructure, databases on multiple platforms, and more than 40 different computer systems.
- **Customer Service** - Provides 24-hour user support for systems developed or supported by OJIS, including the DCJS website. Customer Service consists of three groups:
  - **Customer Contact Center (CCC)** - Provides 24/7 helpdesk support for DCJS information systems used by 50,000 criminal justice personnel in nearly 2,600 agencies across the state. CCC also serves as the Help Desk for the *e*JusticeNY Integrated Justice Portal.
  - **Training and Support** - Works with local, state and federal criminal justice agencies to enroll, train and support nearly 50,000 users.
  - **Web Services** - Works with DCJS offices and other criminal justice partners to provide an accurate and easy-to-navigate website for the criminal justice community and the public.
- **Project Management Office (PMO)** - Oversees Project Portfolio Management, coordinates Executive approvals and decision-making on technology initiatives and closely monitors ongoing projects and the effective use of information technology resources.

Office of Justice Information Services

- **Information Security Office (ISO)** - Implements and supports policies and procedures that protect the confidentiality, integrity, and availability of DCJS' information and data resources. Areas of responsibility include: access control policies, information security testing and evaluation, compliance with federal, state and DCJS policies, and ensuring that hardware and software in use meets current security requirements.
- **Technical Resource Management** - Coordinates the office budget and procurement of information technology hardware, software and consulting services, including contract management. The group also is responsible for the identification, procurement and management of federal funding to support information technology initiatives.

Office of Justice Information Services

Priority Technology Initiatives

At any given time the Office of Justice Information Services has various projects underway in response to required upgrades, new legislation or to meet business needs. Three projects are described below.

Mainframe Systems Migration

The mainframe application processing systems that support the core DCJS functions of 24-hour fingerprint processing and the provision of criminal histories (rapsheets) to law enforcement was migrated to a new platform. Significant staff resources were dedicated to this multi-year effort, which moved the agency's complex mainframe-based criminal history processing systems to a new Oracle environment. The prior processing systems ran on outdated, unsupported hardware and software, which was a substantial risk to DCJS operations. The new systems were deployed into production in June 2011. The final stage was implemented without incident in August 2011.

New Latent Fingerprint Identification System Operational

New York's Statewide Automated Biometric Identification System (SABIS) was launched in December 2011, with the DCJS Latent Print Identification Unit and four regional latent sites in Albany, Binghamton, Rockland and Westchester going live. All other latent print sites in the state were to be on board with the new system by the end of January 2012, and in February, the "Tenprint" production system for criminal and civil fingerprints went live. This project allowed DCJS to enhance its core business function of receiving, processing and identifying criminal, civil and crime scene fingerprint submissions against its database of more than 80 million fingerprint images. This system eliminated reliance in unsupported hardware and software and implemented enhanced fingerprinting identification technology.

Domestic Incident Report (DIR) Repository Available to Law Enforcement

The state's Domestic Incident Report Repository, which offers law enforcement officials cross-jurisdictional access to information about reported incidents of domestic violence in the counties outside of New York City, became operational in December 2011. The Repository was created using approximately $1.5 million in federal American Reinvestment and Recovery Act (ARRA) funds. It allows authorized users – dispatchers, police officers, sheriff's deputies, prosecutors and probation and parole officers – to search for incident information regardless of which police agency responded to a call or filed a report. The Repository can be searched by name or address, and dispatchers also will be able to use the system to advise responding officers about potential threats and history of incidents at an address.

√ As of the end of December 2011, 51 agencies had registered for access to the Repository, which contained 275,000 records.

Office of Justice Information Services

## *e*JusticeNY and the Integrated Justice Portal

*e*JusticeNY provides law enforcement with essential operational support, data and management information through a secure communications network. *e*JusticeNY provides "one-stop shopping," giving professionals in the field immediate access to information on criminal history, offender photos, registered sex offenders, fugitives and offenders who owe DNA samples. User agencies include police departments, sheriffs' offices, courts, district attorneys' offices, county probation offices, New York State and New York City agencies and other organizations. In 2006, DCJS and the New York State Police began implementing an Integrated Justice Portal (IJ Portal) to merge the New York State Police Information Network (NYSPIN) and *e*JusticeNY to provide secure information to law enforcement across DCJS, NYSP, the Department of Corrections and Community Supervision and Division of Homeland Security and Emergency Management. OJIS is currently transitioning access to *e*JusticeNY to the Integrated Justice Portal, ultimately providing all critical information via this secure site.

Enrollments and Usage

DCJS closely monitors enrollments in *e*JusticeNY and the IJ Portal and the usage of enrolled agencies.

√ 2,658 agencies were enrolled and supported by DCJS at the end of 2011; 47 new agencies enrolled during the year.

√ The number of agencies enrolled in *e*JusticeNY has increased 63% since 2007.

√ 1,461 agencies were utilizing the IJ Portal at the end of 2011.

Agencies Enrolled in *e*JusticeNY
(End of Year)
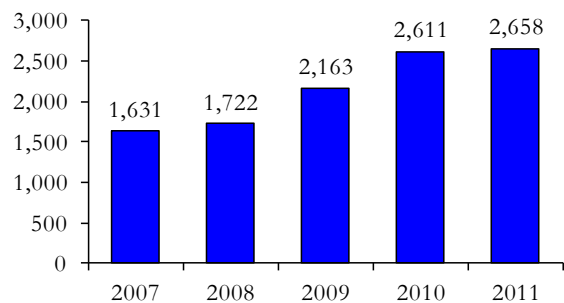
Users electronically search *e*JusticeNY for comprehensive criminal history information by using either the offender's name or New York State Identification Number (NYSID). A rapsheet, including the photo taken at last arrest, is returned to the user when an inquiry matches a criminal history record. Inquiries are conducted in the course of criminal investigations. It is anticipated that the roll out of the IJ Portal will decrease individual enrollments in *e*JusticeNY due to agencies deleting Portal-only users from *e*JusticeNY.

Individuals Enrolled in *e*JusticeNY
(End of Year)

√ At the end of 2011, 49,784 individuals were enrolled in *e*JusticeNY, slightly fewer than the 50,327 in 2010.

√ 12,795 individuals were utilizing the IJ Portal at the end of 2011.

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Office of Justice Information Services

eJusticeNY Total Offender Inquiries
(Annual)

```
Millions
5.0
4.0                         3.8    3.9    4.2    4.5
3.0   3.0
2.0
1.0
0.0
      2007   2008   2009   2010   2011
```
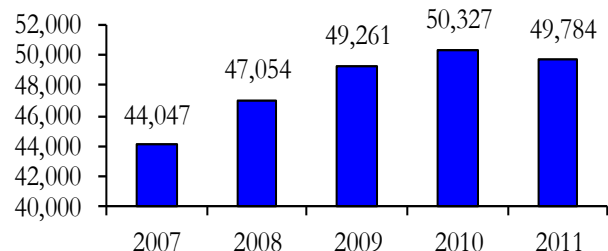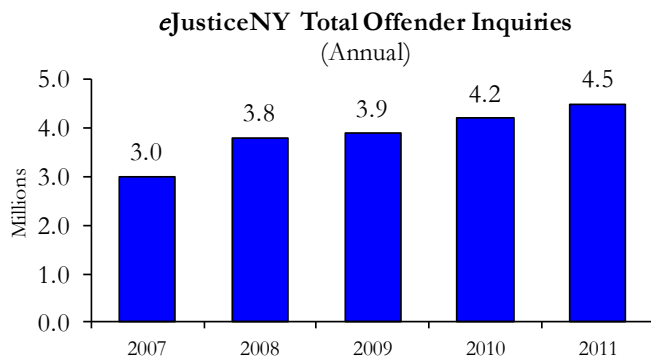
√ The number of offender inquiries increased in 2011. A total of 4.5 million inquiries were conducted in 2011, an increase of 7% compared to 2010.

Prior to 2001, with minor exceptions for local courts, the only way for local agencies to run a rapsheet (criminal history record), was through a NYSPIN terminal. Usage of NYSPIN to run the old-style rapsheets has been discontinued. eJusticeNY is now used to generate rapsheets that include a photo.

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

√ The average response time to generate a rapsheet was seven seconds in 2011, the same since 2009.

√ The average response time for name search inquiries has continued to be nine seconds for the past two years, compared to 12 seconds in 2007.

Training

OJIS staff regularly provide training on eJusticeNY to ensure that new users can access critical criminal justice information and learn about new features and reports available on eJusticeNY. In addition to the training provided, all eJusticeNY users can call the DCJS Customer Contact Center at any time for technical assistance and support. CCC operates a 24-hour help desk which serves all eJusticeNY customers; see page 11 of this report for more information.

Participants Trained
(Annual)

```
5,000   4,556
4,000                         3,525
3,000          2,648  2,819
2,000                                1,775
1,000
   0
       2007   2008   2009   2010   2011
```

√ OJIS conducted 97 training sessions in 2011.

√ 1,775 criminal and civil agency personnel were trained in 2011, a decrease (-50%) from 2010. This decrease is primarily related to both staff reductions and a new emphasis on a train-the-trainer model for IJ Portal training.
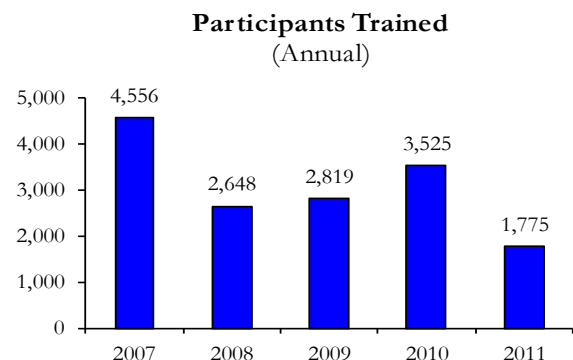
Office of Justice Information Services

Customer Contact Center

The Customer Contact Center (CCC) is the 24-hour help desk service for customers who need assistance with transmitting arrests or obtaining rapsheets, computer operations, software and other operational issues. CCC supports law enforcement agencies throughout the state, customers within DCJS, and agencies hosted by DCJS. CCC acts as a gatekeeper and assigns requests for assistance, or tickets, to the appropriate unit. Continued support for *e*JusticeNY and IJ Portal enrollments have greatly increased workload for this unit.
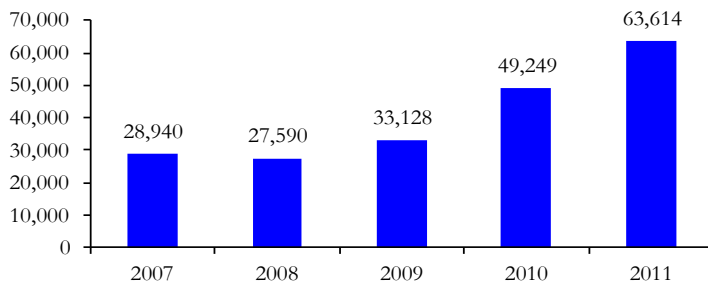
Calls and Requests Received by DCJS CCC

	2007	2008	2009	2010	2011	10 vs 11 % Change
DCJS Requests	14,528	21,613	23,582	20,160	20,415	1%
Outside Agencies	28,940	27,590	33,128	49,249	63,614	29%
Total	**43,468**	**49,203**	**56,710**	**69,409**	**84,029**	**21%**

Calls and Requests from Law Enforcement Agencies Outside DCJS

√ During 2011, the total number of calls and requests handled by CCC increased (+21%) from 2010, due in part to the increase in Portal enrollments.

√ 76% of the requests for assistance were from criminal justice agencies outside DCJS during 2011.

All calls are triaged by CCC staff. The Customer Contact Center is improving its software capabilities and tools to be more efficient within available resources. The goal is to effectively resolve more tickets upfront, decreasing the workload for second-level support. Calls that cannot be resolved by CCC staff are assigned to the appropriate information technology operational area. Of the 84,029 calls/requests made to CCC during 2011, 49,312 resulted in CCC tickets. CCC classifies tickets into one of four priorities. Each priority has a specific response time goal, which is measured from the time the call is logged by CCC to the time the assigned operation area responds to the call. It does not measure the time it takes to resolve the problem.

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

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

Office of Justice Information Services

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

CCC – Tickets Opened

(Annual)

Ticket	2007	2008	2009	2010	2011	10 vs 11 % Change
Priority 1	683	608	157	144	106	-26%
Priority 2	1,574	1,033	77	72	100	39%
Priority 3 & 4	41,211	47,562	56,476	69,193	83,823	21%
Total	**43,468**	**49,203**	**56,710**	**69,409**	**84,029**	21%

Note: Priority categories were redefined in 2009, resulting in fewer priority 1 and 2 tickets.

√ During 2011, Priority 2, 3 and 4 tickets increased significantly, while Priority 1 tickets declined slightly.

√ Overall, CCC responded to 84% of all tickets on time during 2011, which was a reduction from the past three years. Tickets/workload continues to increase, with no corresponding increase in staffing.

Percent of Tickets Responded to On Time

	2007	2008	2009	2010	2011
	79%	86%	88%	88%	84%
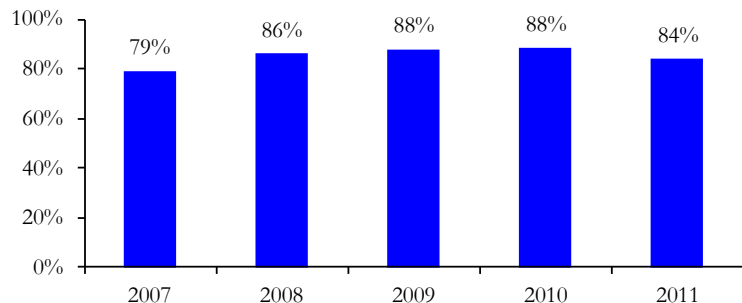
Project Management Office

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

When a project requires a significant amount of IT resources or has major policy implications, a comprehensive analysis is prepared. These analyses, referred to as Business Cases, can be sponsored by DCJS or hosted agency executive staff and are prepared in conjunction with IT staff. Project size can range from a request that involves 80 hours of staff effort to a multi-million dollar project that involves years of effort. Projects must be reviewed and approved by the IT Executive Review Board, which includes DCJS Executive staff members, before work can begin.

Office of Justice Information Services

The PMO has also established a formal process to review requests for services for smaller projects. DCJS Executive staff, hosted agencies and outside agencies can submit a service request for IT services when it is estimated that less than 80 hours of IT effort will be needed.

Business Cases

(Annual)

	2007	2008	2009	2010	2011
Reviewed	17	12	10	7	1
Approved	15	12	5	6	1

Service Requests

(Annual)

	2007	2008	2009	2010	2011
Submitted	159	124	116	79	71
Approved	119	105	88	83	24
Completed	109	77	71	74	56

During the past two years, the number of service requests and approvals for smaller projects decreased due to a strong executive focus on the critical mainframe migration and the upgrade to the Statewide Automated Biometric Identification System projects (SABIS). In addition, due to agency-wide recognition of the resource-intensive migration project, fewer Business Cases were also submitted during this period.

√ During 2011, the IT Executive Review Board considered one Business Cases for major projects, and approved one.

√ During 2011, the PMO approved 24 service requests submitted by DCJS, the Office of Court Administration, and other agencies.

√ OJIS completed and delivered 56 service requests to customers in 2011.

Office of Public Safety

Mission
To provide training, support and technical assistance to enhance public safety within New York State.

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

- **Crime Analysis Centers (CAC)** - CACs in Albany, Erie, Onondaga and Monroe counties conduct analyses of crime incidents, offender data and calls for service to provide a comprehensive picture of local crime. Information produced by these multi-jurisdictional centers assist law enforcement with investigations, crime prevention strategies, tactical deployment and officer safety.

- **Operation IMPACT** - Established in 2004, Operation IMPACT supports crime reduction through data and intelligence driven strategies within the 17 counties that account for 80 percent of the crime reported in the state outside New York City. Support includes hands-on technical assistance and training.

- **Law Enforcement Training** - Coordinates and delivers police officer training in officer safety, criminal investigation, crime analysis, field intelligence, traffic safety, law enforcement skills and executive law enforcement issues. This unit also coordinates the work and initiatives of the state's Municipal Police Training Council (MPTC).

- **Accreditation Program** – This unit is responsible for the daily oversight and management of the Law Enforcement Accreditation Program and coordinating the efforts of the state's Law Enforcement Accreditation Council.

- **Highway Safety Technology** - Maintains and certifies the calibration of speed and alcohol detection instruments utilized by municipal police departments throughout the state. Maintains a database of critical DWI data to be used for targeted enforcement and education initiatives.

- **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.

- **Federal 1033 Military Surplus Program** - Section 1033 of the 1997 Federal National Defense Authorization Act (NDAA) authorizes the Secretary of Defense to transfer excess Department of Defense (DOD) property to federal, state, and local law enforcement agencies. OPS is tasked with administering this program for the state.

- **Security Guard Program** – OPS provides staff to the state's Security Guard Advisory Council and oversees the approval of private and proprietary security guard schools and the certification of instructors, in addition to the maintenance of all security guard training records.

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

Office of Public Safety

Crime Analysis Centers

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

Centers are equipped with technology, data systems, software and hardware to facilitate the capture, analysis and dissemination of information and analytical products. Data systems from participating law enforcement agencies within each county have been integrated to allow the efficient extraction of incident information. CACs use state-of-the-art, browser-based search software to access data on more than 50 databases, resulting in rapid identification of crime hotspots and potential hotspots, and identification of crime patterns. Daily briefs of crime data help law enforcement officials make informed tactical and deployment decisions. New York is now one of three states that has initiated a Crime Analyst certification program to promote and professionalize careers in the field.

√ The Crime Analysis Centers are regularly recognized for their high quality work products. In 2011, the Monroe Crime Analysis Center was awarded "First Place for Intelligence Bulletin" and the Albany Crime Analysis Center was awarded "Second Place in Statistical Analysis," "Second Place for Tactical Analysis," and "Third Place for Intelligence Bulletin" by the International Association of Crime Analysts.

Status of Crime Analysis Centers
(As of December 31, 2011)

	Albany	Erie	Monroe	Onondaga
Center Opened	2009	2008	2007	2008
Total Staff	15	16	20	15
DCJS Funded Staff	5	8	8	12
Other Participating Agencies	Albany PD	Buffalo PD	Rochester PD	Syracuse PD
	Sheriff	Cheektowaga PD	Sheriff	Sheriff
	State Police	State Police	State Police	State Police
	HIDTA	HIDTA	HIDTA	HIDTA
	Probation	Housing Authority	Probation	Probation
		DA	DA	DA
		FBI	Parole	
PDs Contributing Data	17	27	10	25
Data Sources Accessible	49	55	18	29
# of Agencies Served	52	40	23	47

Office of Public Safety

Support for Operation IMPACT

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

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

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

√ OPS IMPACT staff routinely participate in local IMPACT monthly meetings.

√ The DCJS Commissioner regularly hosts IMPACT Crime Trends meetings during which one IMPACT partnership presents an analysis of its crime, and outlines strategies being implemented to reduce crime. In addition to DCJS employees, attendees include executives from the primary IMPACT police department, district attorney's office, probation and sheriff's office, DOCCS, New York State Police, Office for Prevention of Domestic Violence, and State Liquor Authority.

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, radios and more. In February 2010, New York re-joined the program, and OPS staff administers the program for participating agencies throughout the state.

√ In 2011, OPS staff approved 221 transactions. These transactions involved 5,329 pieces of property with an acquisition value of nearly $3.1 million.

√ 33 agencies were approved for participation during 2011, and 88 agencies have received property since the inception of the program in February 2010.
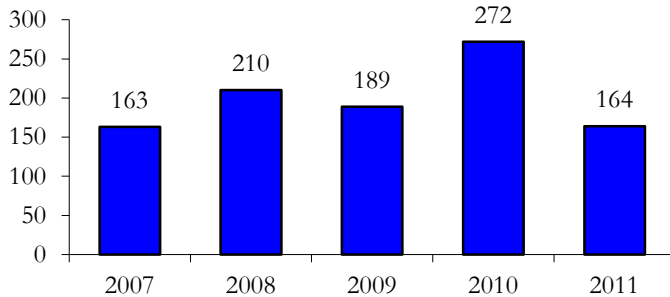
Office of Public Safety

Law Enforcement Training

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

OPS Training Courses Held
(Annual)

√ During 2011, 164 training courses were held around the state, a 40% decrease from 2010. This decrease is primarily due to reductions in available funding at the local level to support travel to attend training.

Course participants complete a course evaluation survey for each course they participate in, and are asked to rate the course on a scale of 1 (Poor) through 5 (Excellent). OPS has established a target rating of 4.5 for all courses.
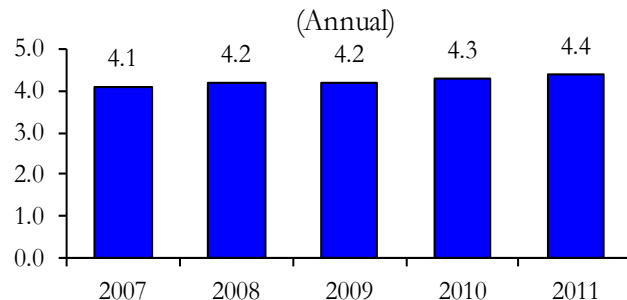
√ Since 2007, the course satisfaction rating has continued to improve, with an average rating between very good and excellent reported in 2011. Ratings increased slightly between 2010 and 2011.

OPS Course Satisfaction Rating
(Annual)

Personnel Trained by OPS
(Annual)
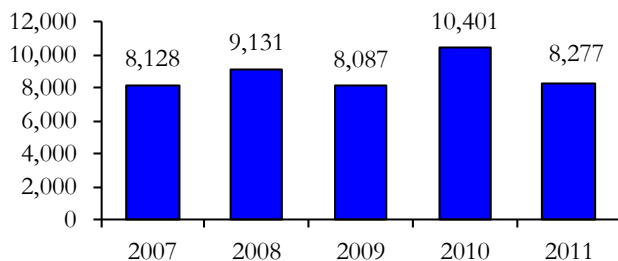
√ During 2011, 8,277 personnel were trained from the law enforcement community across the state, including officers and staff at the state, county and local levels. This is a 20% decrease from 2010, and is consistent with the decrease in training courses held.

Office of Public Safety

OPS Training Held and Personnel Trained
2011
(Annual)

Course Categories/Most Heavily Attended Course Offerings	Courses Offered	Personnel Trained
Investigative - Homicide and Non-Fatal Shootings, Legal Issues for NY Law Enforcement, Interview and Interrogation	34	1,845
Street Enforcement - Officer Safety and Street Encounters, Advanced Officer Safety and Street Encounters	30	905
Leadership/Executive and Professional Development - Law Enforcement Accreditation Program Manager Workshop	8	283
Crime Analysis - Crime Analysis Primer Training, Introduction to Microsoft Access 2007	16	216
Traffic - Basic Crash Management, Intermediate Crash Management, Advanced Crash Management	15	167
Specialized Training - Sex Offender Management Training, Social Networking Training, Responding to Juvenile Arrests, Basic Pharmaceutical Diversion	47	2,658
Corrections Training - Jail time Credit and Calculation Training	4	141
OPS Facilitated Training for Another DCJS Office - Security Guard School Director Orientation	10	196
OnLine Training - BAC Re-certification	-	1,866
Total During 2011	164	8,277

√ During 2011, Sex Offender Management, Street Encounters, Advanced Street Encounters, Homicide and Non-Fatal Shootings, Legal Issues for NY Law Enforcement, and Social Networking training were among the courses with the greatest number of participants (300 or more).

Municipal Police Training Council (MPTC)

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

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

OPS led several new MPTC initiatives in 2011. The accomplishments included: Basic Course for Police Officers – Domestic Violence, Regulations for New Peace Officers, Police-on-Police Encounter Model Policy, Police Equivalency Course - Administrator's Guide, Peace Officer Training Program, Basic Juvenile Police Officers Course, Jail Time Credit and Calculation Training, General In-Service Course for Police Officers – added hate crimes, Police Supervision-Hate Crimes, Consular Notification – Access, and Police Canine Standards update.

Office of Public Safety

Curriculum Review

OPS provides administrative oversight for police officer basic training and advanced in-service courses in New York State. OPS staff review 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 ensure 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 2011, OPS staff completed 1,112 reviews of police and peace officer curricula statewide.

Law Enforcement Accreditation

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

Accredited Law Enforcement Agencies
(End of Year)

Year	Agencies
2007	123
2008	124
2009	131
2010	139
2011	136
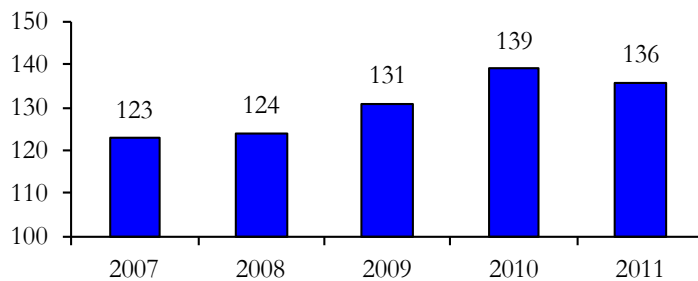
√   The number of law enforcement agencies earning accreditation increased steadily between 2004 and 2010, before declining to 136 in December 2011. During 2011, six accredited police agencies voluntarily withdrew from the program, citing budgetary constraints.

√   As of December 2011, 59% of law enforcement officers working outside of New York City worked for accredited agencies.

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Office of Public Safety

Administrative Services

Police Administrative Studies

The Administrative Studies Program offers administrative assistance and as resources allow, offers in-depth study of existing law enforcement agencies. An administrative study provides professional and objective analyses to give decision-makers an impartial look at their police department and community. These studies include historical data and emerging trends and cover topics such as staffing and deployment, records management, and policy and procedures.

√ During 2011, OPS staff and consultants completed an administrative study for the North Castle Police Department.

Registry and Training Records Processing

Pursuant to the Executive Law, DCJS is required to maintain a central registry of police officers and peace officers. At the end of 2011, there were 174,571 police and peace officers registered in New York State.

√ During 2011, OPS processed 6,481 registry records, compared to 21,390 records during 2010. This 2010 number included 8,315 FDNY records processed to clear up a 10-year backlog of registrants.

√ Even after accounting for this backlog, there was still a 50% decrease in the number of registry records processed. This was primarily due to a decline in police and peace officer hiring around the state.

Registry Records Processed
(Annual)

Year	Records
2008	18,071
2009	13,699
2010	21,390
2011	6,481

Training Records Processed
(Annual)

Year	Records
2007	176,580
2008	187,689
2009	206,741
2010	208,064
2011	226,562
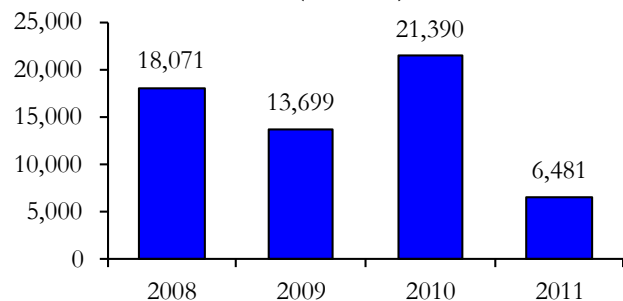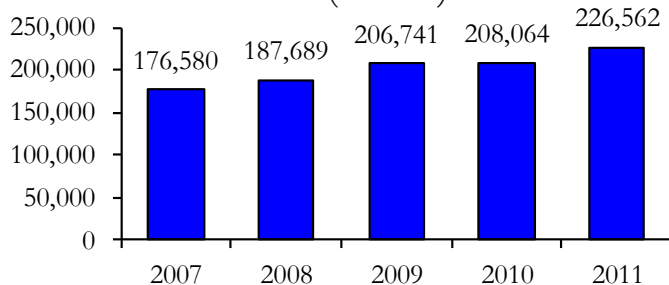
√ During 2011, OPS processed 226,562 training records. OPS staff maintains records of mandated training of these officers and private security guards.

Office of Public Safety

Equipment Repair

OPS operates an equipment repair center where most law enforcement agencies bring their speed and alcohol instruments for repair and calibration. Law enforcement agencies are required to certify annually that their speed and alcohol detectors are working properly. Certification is obtained by bringing the equipment to DCJS, where it is calibrated and certified for use. There is also a process that provides for "phone-in" certification. Customers rate their service satisfaction on a scale of 1 (Poor) to 5 (Excellent). DCJS continued to provide outstanding service to law enforcement agencies during 2011.

OPS Instruments Repaired/Certified
(Annual)
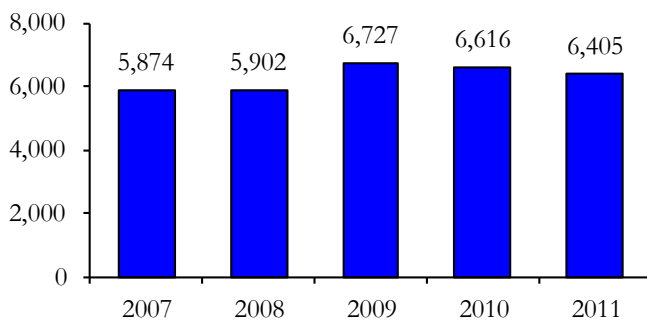
√ The number of instruments that OPS repaired/certified was 6,405 in 2011, a decrease (-3%) from 2010.

√ During 2011, all repairs and certifications were conducted within two days.

√ The equipment repair center continued to earn consistent satisfaction ratings of "Excellent" throughout 2011.

OPS Equipment Repair Satisfaction Rating
(Annual)

Office of Probation and Correctional Alternatives

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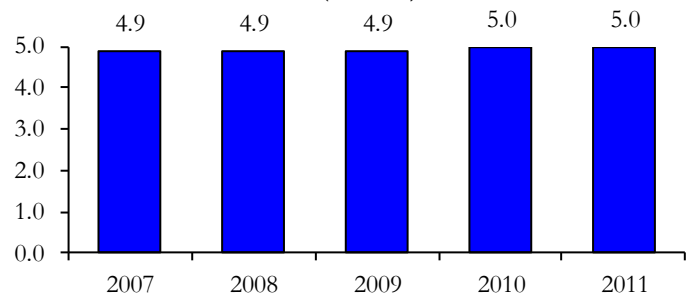
Scope of Operations

Pursuant to Chapters 50 and 56 of the Laws of 2010, the former Division of Probation and Correctional Alternatives was renamed the Office of Probation and Correctional Alternatives (OPCA) and merged with the Division of Criminal Justice Services. All probation rules and regulations were transferred to DCJS and DCJS assumed statutory rulemaking authority. New York's Executive Law mandates that there shall be a state Probation Commission consisting of a state director and six other members, including members of the community, probation administrators and probation officers and the state administrator of the Unified Court System. OPCA includes the following six program areas:

Key Public Service Areas
- Probation Department Funding, Regulation and Training
- ATI and Re-entry Funding, Standards and Training
- Interstate Transfer of Probationers
- County Re-entry Task Forces
- Leandra's Law – New York State Ignition Interlock Devices

- **Adult Operations** - Oversees funding for probation supervision programs, provides training and oversight of local probation department compliance with rules and regulations, and the regulation and implementation of the ignition interlock provisions of Leandra's Law. Technical assistance is also provided to local jurisdictions regarding local conditional release.
- **Juvenile Operations** - Promotes the use of risk and needs assessment and evidence-based practices and programs. This unit collaborates with other agencies to promote an improved juvenile justice system for probation-involved youth.
- **Alternatives to Incarceration (ATI) and Re-Entry** - Establishes standards, facilitates funding and monitors performance-based contracts for a variety of ATI programs including the Probation Violation Residential Centers. The programs offer specialized services including employment, training, and treatment as an alternative to state prison. This unit also provides technical assistance and training to ATI professionals in Fundamentals of Community Corrections (FCC) and conducts the National Institute of Corrections (NIC) "*Thinking for a Change*" Facilitator Training. OPCA provides funding and support for 18 county re-entry task force programs.
- **Family and Mental Health Initiatives** - Provides programming through performance-based *200% of Poverty* programs, cognitive behavioral programs and mental health initiatives. This unit also conducts the National Institute of Corrections (NIC) Offender Workforce Development Specialist training for probation officers and ATI staff and provides technical assistance for local collaboration with the New York State Office of Mental Health Connect Program.
- **Training** - Develops and coordinates probation officer training and provides information to the criminal justice community and the public through the OPCA website, *e*Focus Newsletter and the Training Calendar. This unit also provides guidance, training and assistance to probation departments in the area of domestic violence.
- **Interstate Transfer** - Coordinates the transfer of 5,000 juvenile and adult probation supervision cases into and out of New York State, and provides training and technical assistance to localities

on the utilization of the national Interstate Compact Offender Tracking System (ICOTS) and the Interstate Compact Rules.

OPCA also develops regulations and standards, provides general oversight and administers state aid funds to promote probation and other community corrections services.

Office of Probation and Correctional Alternatives

Adult/Juvenile Operations

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

Caseload Explorer - Case Management System

Caseload Explorer is a comprehensive, automated case management system, developed by Automon, Inc., that supports all probation functions from pre-trial services to restitution, fines, as well as criminal and family court investigation and supervision. It was specifically configured to meet the needs of all New York counties. The system provides counties with management reports designed by a workgroup of local probation practitioners, agency staff and vendor representatives.

The system is also designed to automate and produce 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 integrations provide efficiencies in data entry, increase the amount of data available, and improve the accuracy and timeliness of information.

√ As of December 31, 2011, the system had been implemented in 42 county probation departments across the state. Two additional county probation departments are in the process of implementation. New York City signed an agreement to implement in the Spring of 2012.

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

The I-PRS is the statewide notification system used when probationers are arrested for fingerprintable offenses. OPCA monitors data quality of the I-PRS to ensure complete and accurate information on adult probationers under supervision. The Threshold Report is shared regularly with probation departments to ensure that cases no longer under active supervision are closed in a timely fashion. OPCA has established 5% as the acceptable threshold for tolerance of cases listed as being beyond their Maximum Expiration Date (MED); departments should have fewer than 5% of their cases listed as MED if there is no violation of probation pending.

√ As of December 31, 2011, the active I-PRS cases able to be closed statewide was 3%.

Office of Probation and Correctional Alternatives

New York Correctional Offender Management Profiling for Alternative Sanctions (NYCOMPAS)

Probation departments in New York State supervise adult probationers, with nearly 38,000 new offenders sentenced to probation in 2011. During 2007, OPCA implemented the statewide use of the NYCOMPAS risk and need assessment instrument, customized for New York probation departments for adult offenders. Risk and need assessment information is utilized at various stages of the criminal justice process such as: assessing likelihood of failing to appear if released on bail, when compiling information for the pre-sentence investigation and sentencing recommendations, for case planning while under community supervision, and when considering changes in supervision level (Reclassification) or early discharge. DCJS supports the NYCOMPAS, which is accessed through the Integrated Justice Portal by probation staff.

NYCOMPAS Initial Assessments Completed 2007-2011

Year	Assessments
2007	12,453
2008	33,070
2009	36,338
2010	43,214
2011	35,589
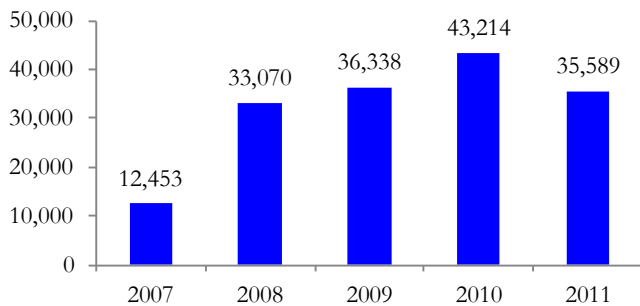
√ In 2011, probation agencies completed 35,589 assessments and 32,264 reclassification assessments through the Portal using NYCOMPAS.

√ At the end of 2011, a total of 57 departments, involving 2,249 probation staff, were using NYCOMPAS. More than 168,189 offenders have been assessed since inception.

Youth Assessment Screening Instrument (YASI)

In New York State, more than 30,000 juvenile cases are seen annually at intake (pre-court screening and service provision) by local probation services. In recent years, there has been growing recognition among probation professionals that a comprehensive assessment protocol is an essential first step in improving juvenile justice system outcomes. The Youth Assessment Screening Instrument (YASI) is a set of assessment and case planning tools, practices, and software for use with PINS and JD cases at juvenile intake, investigation and supervision.

OPCA staff provides guidance, training and technical assistance to probation departments regarding the use of YASI for the juvenile population.

√ YASI was utilized by 57 jurisdictions during 2011, with 22,357 new assessments completed. Since the use of YASI began in 2000, probation agencies have completed more than 230,000 assessments for inclusion in the statewide database. These assessments represent more than 125,000 youth.

Probationer Sex Offender Address Confirmation

OPCA requires all 58 probation departments to confirm quarterly the addresses of more than 4,300 sex offenders listed in the New York State Sex Offender Registry (SOR) who are under probation supervision. If sex offenders are not residing at the registered address but their location is known,

Office of Probation and Correctional Alternatives

change of address forms are completed and sent to the Sex Offender Registry within 48 hours. If the probationer has absconded, a request is made that a warrant be issued. Probation departments must certify each quarter to the OPCA's Director that a warrant for the arrest of every probation sex offender absconder has been requested or obtained.

√ As of December 31, 2011, 93% of sex offenders under probation supervision were at the residence listed. A change of residence was confirmed in 1%, and warrants were either active or requested in the remaining 6%.
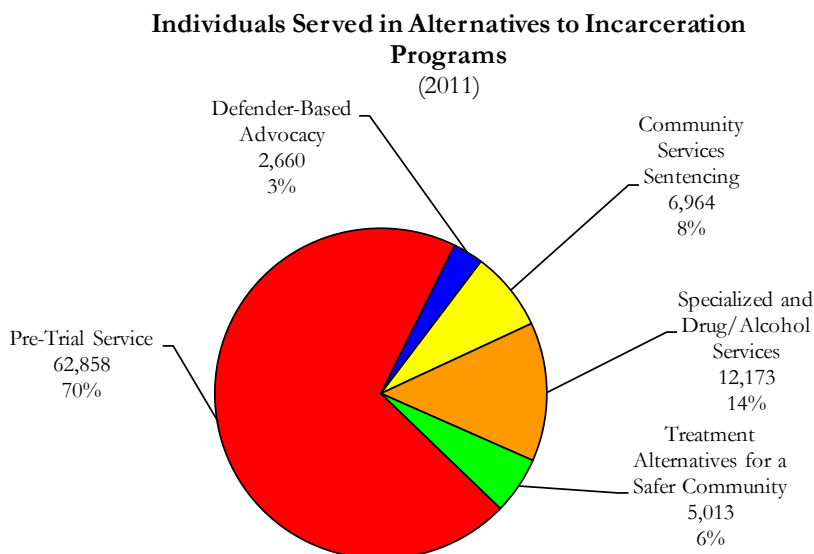
DNA Collections by Probation Departments

Probation departments are required by law to collect DNA samples from convicted offenders under probation supervision for prescribed offenses. DCJS prepares monthly reports on the percentage of required DNA collected by probation departments. Since the inception of the DNA law, probation departments have collected more than 130,000 DNA samples.

√ As of December 31, 2011, DNA samples collected from probationers in New York State have helped to aid in investigations for 1,330 crimes, including 120 homicides. Twenty-one of the samples in the 120 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.

Alternatives to Incarceration (ATI) Programs

OPCA's ATI Unit manages the Alternative to Incarceration performance-based contracts serving Criminal and Supreme Court defendants from both general and special populations, including women, juvenile offenders, felony offenders, substance abusers, and the mentally ill. Staff closely monitor program operations through a combination of site visits, timely reviews of program quarterly reports and audits of case files. The ATI Unit also provides training to ATI professionals in the Fundamentals of Community Corrections curriculum to ensure program success.

Individuals Served in Alternatives to Incarceration Programs
(2011)

Defender-Based Advocacy 2,660 3%

Community Services Sentencing 6,964 8%

Pre-Trial Service 62,858 70%

Specialized and Drug/Alcohol Services 12,173 14%

Treatment Alternatives for a Safer Community 5,013 6%

√ During 2011, funding was disbursed to 154 programs in 56 counties and the City of New York, which reported providing services to nearly 90,000 participants.

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Office of Probation and Correctional Alternatives

Probation Violation Residential Centers

Regional *Probation Violation Residential Centers* (PVRCs) assist probation departments in stabilizing probationers who have violated probation or are at risk of violating by providing a graduated sanction and diversion from state prison. Currently, there are four PVRCs: two in New York City and two Upstate (Albany and Dutchess counties). The PVRCs offer a highly structured supervision in a supportive environment and include access to other treatment and cognitive-behavioral interventions. Additionally, PVRCs provide an immediate resource to probation departments seeking to admit offenders to residential treatment programs in lieu of incarceration. The existing PVRCs serve probationers in the county where the PVRC is located, as well as those from surrounding counties.

Family and Mental Health Programs

OPCA funded 19 Family and Mental Health Initiatives in 2011, including *200% of Poverty* programs that serve felony-charged and/or convicted offenders recently released from prison or jail and custodial or non-custodial parents under criminal justice supervision. Participants are connected to mentoring, vital mental health and substance abuse treatment, including treatment for co-occurring disorders. Services include expanded job training, job retention and placement services, facilitating movement to transitional housing, case management services and discharge planning.

Individuals Served in Family and Mental Health Initiatives
(2011)

200% of Poverty Programs 1,100 79%

Mental Health Shared Services 286 21%
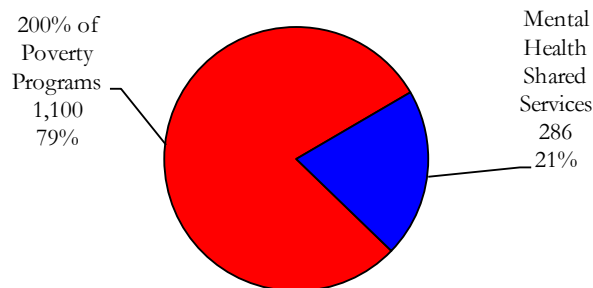
√ Individuals enrolled in *200% of Poverty* programs obtained 382 jobs in 2011.

√ 277 parents initiated or resumed child support.

Ready, Set, Work!

Ready, Set, Work! is a job readiness group for probationers or other individuals under criminal justice supervision that is facilitated by probation officers or alternative to incarceration program staff. This 20-hour curriculum, developed using the National Institute of Corrections Offender Workforce Development Specialist (OWDS) training and for use by OWDS trained staff, is designed to assist participants with skill building to obtain employment and achieve job retention. Along with the typical job readiness content, the curriculum also includes: assessments; barriers and resources; job retention; legal issues and employer incentives; as well as a module that focuses on utilizing county "one-stop" centers.

√ OPCA conducted one OWDS training in 2011, with 23 attendees from 13 different organizations. In 2011, 15 OWDS-trained agencies conducted 98 Ready, Set, Work groups, with 432 offenders completing the 20-hour curriculum and 50% obtaining jobs.

Office of Probation and Correctional Alternatives

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.

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

√ During 2011, ten *e*Focus 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 2011, two **E-YASI** newsletters, written specifically for Youth Assessment Screening Instrument (YASI) users and policy makers, were published.

√ During 2011, two **In Touch with OWDS** newsletters for Offender Workforce Development Specialists (OWDS) and others interested in offender employment were published.

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, made up of probation professionals from across New York State, in the development, design and delivery of training curricula and the promotion of evidence-based practices. The following training classes were offered during 2011.

Specialized Training - 2011	Courses Offered	Personnel Trained
Rural and Native American Communities (1 day)	1	70
New Information for probation (1 day)	1	45
Officer Safety and Survival Training (4 days)	3	40
Fundamentals of Probation Practice (26 days)	4	41
Fundamentals of Community Corrections (8 days)	2	42
Rights of the Program Participant (1 day)	1	27
Executive Leadership (2 days)	1	10
Motivation Interviewing-Practical Application for Probation Officers (2 days)	1	20
Thinking for a Change-Cognitive Behavioral Intervention (4 days)	1	13
Sex Offender Focus (13 days)	13	255
Offender Workforce Development Specialist Training (14 days)	1	22
Juvenile Case Management and Reassessment Training (3 days)	2	101
Interstate Compact Offender Tracking NYC Probation (8 days)	8	377
Interstate Compact Offender Tracking (1 day)	1	60
NYS Assocation for the Treatment of Sexual Abusers Conference (2 days)	2	50
Mid-Atlantic States Correctional Association Conference (3 days)	3	50
Total	**45**	**1,223**

Fundamentals of Community Corrections (FCC) Training

In 2010, the *NYS Fundamentals of Community Corrections (FCC) Training* for community corrections professionals was accredited by the American Probation and Parole Association (APPA) and endorsed by the International Community Corrections Association (ICCA). This 28-hour curriculum is delivered regionally and recommended for community corrections managers and staff working directly with program participants as well as probation officers who are working in ATI community corrections programs. The *FCC* training includes the latest information on screening, assessment, interviewing, case planning as well as modules on effective programs, participant rights regarding employment and voting as well as Certificates of Relief. The training was designed to capture the most innovative approaches and best practices in the field.

√   In 2011, the FCC curriculum was delivered on two occasions.

Office of Probation and Correctional Alternatives

Sex Offender Management Training

OPCA delivers specialized trainings focusing on the supervision and management of sex offenders under probation supervision. During 2011, OPCA offered 13 sessions of Sex Offender Focus and trained a total of 255 probation personnel.

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 transfer requests, respond to related correspondence, monitor transfer activities, 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.

**Applications Received
for Transfer Out of New York**
(Annual)
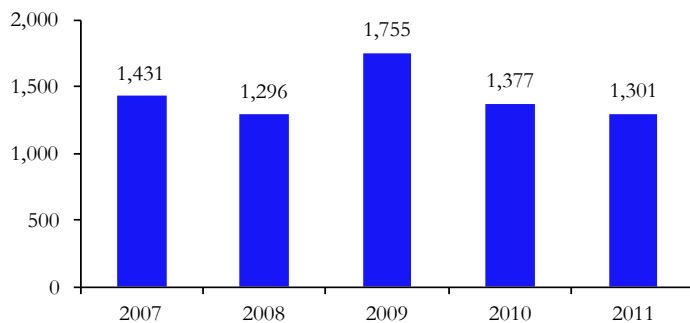
√ During 2011, 1,301 applications were received by OPCA staff for the transfer of probation out of New York State. This is a slight decrease (-6%) from the 1,377 applications received during 2010.

**Applications Received
for Transfer Into New York**
(Annual)
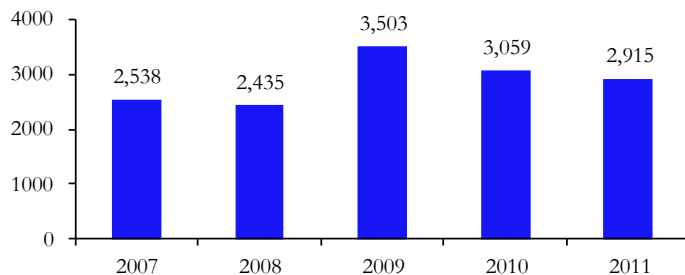
√ During 2011, 2,915 applications were received and processed by OPCA staff for the transfer of probation supervision cases into New York State, a decrease (-5%), from 2010 (3,059).

√ At the end of 2011, a total of 4,669 Interstate Transfers were currently under supervision, a decrease (-8%) from the 5,059 under supervision at the end of 2010.

Office of Probation and Correctional Alternatives

Promulgation of Rules and Regulations

The following rules and regulations were developed, amended, and/or adopted during 2011 relative to community corrections:

Juvenile Delinquency Intake Rule and Other Intake Amendments: Effective September 2011, DCJS adopted a new rule, 9 NYCRR Part 356, regarding Preliminary Procedure for Juvenile Delinquency Intake and technical amendments to its general Intake rule, 9 NYCRR Part 354. This new rule and other conforming regulatory amendments were developed by a Statewide Juvenile

Delinquency Intake Workgroup consisting of probation professionals across the state and with representatives of probation professional associations. The goal of this rule was to address the needs of youth and their families in their communities.

Probation Management Rule: Certain mandate relief amendments were adopted effective December 2011, to provide greater flexibility to probation operations and remove unnecessary language.   In addition, during 2010 and 2011, OPCA's Qualifications, Recruitment, and Retention Workgroup (comprised of a cross-section of state and local probation practitioners and representatives of probation professional associations) met to review Appendix H-10, the Standard Specifications for Professional Probation Positions. Representatives of the Department of Civil Service have also been attending meetings and in late December 2011, provided the Workgroup with an update of their comprehensive statewide survey efforts of probation departments relative to job duties of probation professional positions and discussed their visits with certain probation departments to gain better insight of the issues at hand. The Workgroup efforts will continue during 2012 to refine and update the Appendix.

Probation Supervision Rule: Throughout 2011, OPCA staff continued to meet with its Probation Supervision Rule Workgroup, comprised of a cross-section of state and local probation practitioners and representatives of state and probation professional associations in updating the existing probation supervision rule. In December 2011, DCJS submitted the proposed new rule, repealing 9 NYCRR Part 351 and adding a new Part 351 for Executive review and approval for formal rulemaking. The proposal significantly changes and streamlines supervision procedures in New York State to promote best probation professional practices, afford additional flexibility, and provide some measure of mandate relief. It continues the maintenance of minimum supervisory standards throughout the state to ensure similar offender treatment in key aspects of delivery of probation services. It is anticipated that this new rule will take effect in 2013.

Office of Sex Offender Management

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

Scope of Operations

The Office of Sex Offender Management (OSOM) oversees the Sex Offender Registry (SOR) and has responsibility for statewide sex offender management. OSOM implements legislative changes to SOR requirements, coordinates interagency initiatives and establishes standards and guidelines concerning how to best manage, treat and supervise sex offenders. The Sex Offender Management and Treatment Act (SOMTA), enacted in 2007, established a system to civilly confine or manage certain sex offenders. OSOM includes the following seven program areas:

Key Public Service Areas
- Sex Offender Registry
- Public Information on Sex Offenders
- Sex Offender Address Verification
- Coordination of Civil Management

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

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

- ➢ Requirement for children's camps to check the SOR (2005)
- ➢ Requirement to submit updated photos (2006)
- ➢ Implementation of new address verification monitoring system for law enforcement (2007)
- ➢ Implementation of civil management (SOMTA 2007)
- ➢ Requirement that Internet addresses be collected from registrants (e-STOP 2008)
- ➢ Requirement for family courts to check SOR in custody or visitation cases (2009)
- ➢ Requirement that employment information be collected from Level 2 offenders (2011)
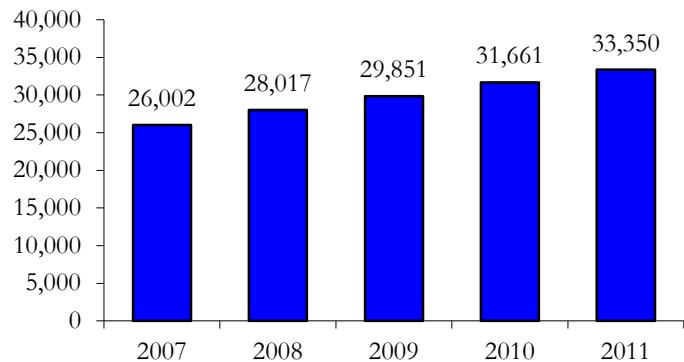
Office of Sex Offender Management

Sex Offender Registry

The Sex Offender Registration Act (SORA) requires offenders to register their addresses with the state and authorizes law enforcement to notify the public about certain sex offenders living in their communities. Laws enacted during the past 13 years have added numerous 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
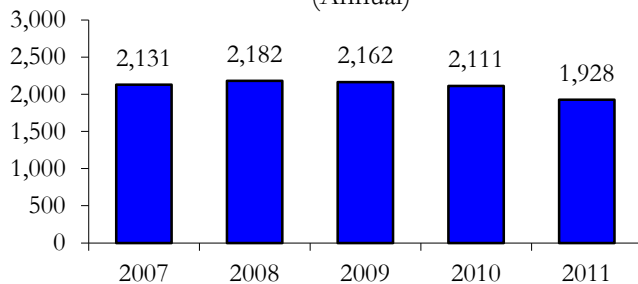
Offenders on Registry
(End of Year)

registration requirement, has resulted in a steady increase in the number of registered sex offenders. By the end of December 2011, 33,350 offenders were on the state's Sex Offender Registry (SOR).

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

Sex Offender Registry
Registration Forms Processed
(Annual)

√ During 2011, 1,928 registration forms were processed, a slight decrease from 2010.

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

Registration Forms
% Processed Within Standard
(Annual)
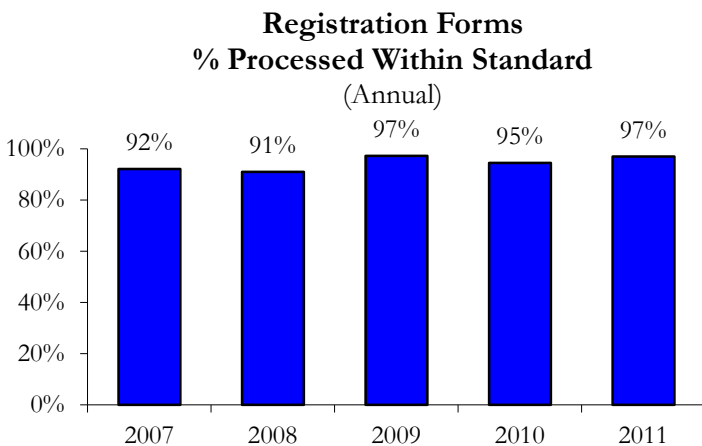
√ During 2011, 97% of sex offenders were registered within Registry standards.

√ The SOR also processed 34,567 address changes for offenders during 2011, down 7% from 2010. All updates received must be processed quickly and accurately to ensure current offender address information is provided to the public and law enforcement in a timely manner.

Establishing Risk Levels for Sex Offenders

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

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

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

	2007	2008	2009	2010	2011	% of 2011 Total
Level 1	9,383	10,326	11,148	11,902	12,627	38%
Level 2	9,490	10,074	10,648	11,229	11,799	35%
Level 3	6,455	6,972	7,455	7,815	8,235	25%
Pending *	674	645	600	715	689	2%
Total Cases	26,002	28,017	29,851	31,661	33,350	100%

* Includes cases not yet assigned to a court.

√ At the end of 2011, 689 registrants were pending a risk level determination representing only 2% of the 33,350 registered.

Office of Sex Offender Management

Training

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

√ During 2011, OSOM participated in a training session in partnership with leading experts in the field; 214 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.

√ On a daily basis, OSOM attorneys provide technical assistance to law enforcement, courts, prosecutors, and defense attorneys. All staff answer questions from the general public and sex offenders related to the SORA daily.

Sex Offender Information Provided to the Public

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

Public Website (Subdirectory) Searches
(Annual)
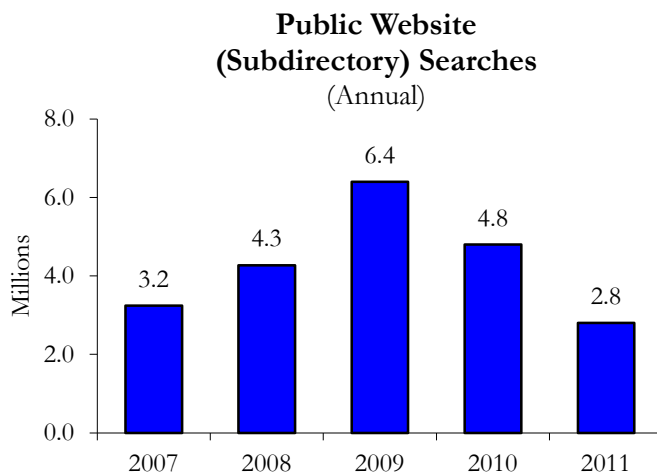
√ Searches on the DCJS website decreased in 2011, with 2.8 million searches conducted. The sharp decline since 2009 is due to a decrease in automated (robotic) searches which ceased to work after the implementation of a new information technology system for the Registry.

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

Office of Sex Offender Management

Offender Profiles Viewed
(Annual)
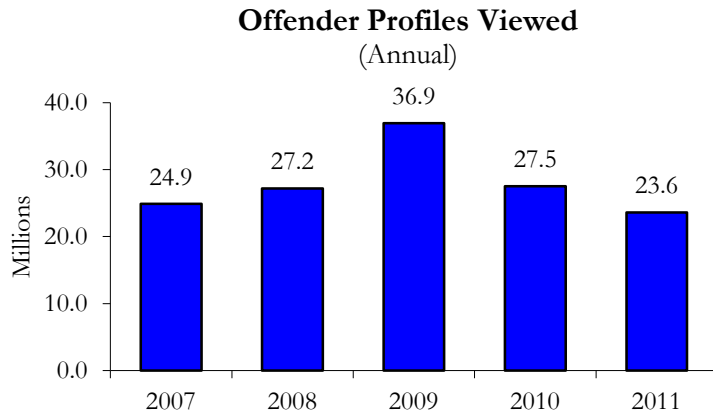
√ The number of sex offender profiles viewed by the public decreased to 23.6 million profiles in 2011. This decrease is related to the technology changes noted earlier.

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. A law enacted in 2005 requires children's camps to conduct searches on all prospective employees. Beginning in 2008, the SOR has accepted computerized files for comparison against the SOR. In addition to increasing efficiency, the acceptance of electronic files contributed to a dramatic increase in the number of searches conducted.

Phone/Fax/Data File Searches Conducted by DCJS
(Annual)
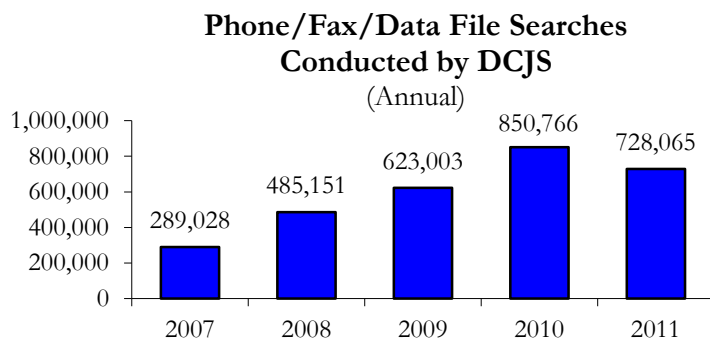
√ There were 728,065 name searches conducted by SOR staff in 2011.

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

	2007	2008	2009	2010	2011
Searches	289,028	485,151	623,003	850,766	728,065
Matched	1,722	1,355	1,214	1,217	766
Percent Matched	0.6%	0.3%	0.2%	0.1%	0.1%

√ Of the 728,065 searches conducted by the SOR in 2011, matches were found in 766 cases, 0.1% of the searches conducted. This is substantially fewer than past years, even though searches have increased.

√ The reduction in matches suggests an awareness of the search process by sex offenders, and the possible avoidance of jobs that require a SOR and/or criminal history check.

Office of Sex Offender Management

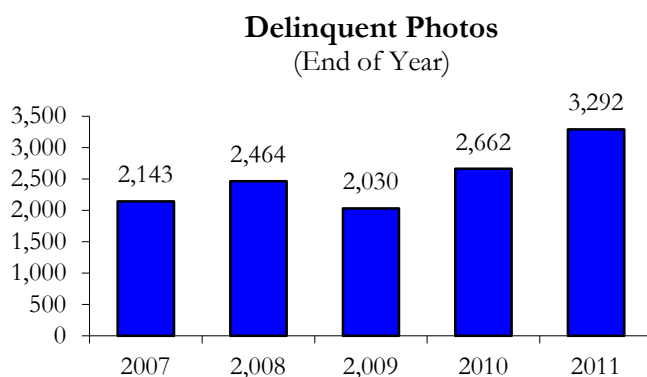## Managing Sex Offenders in the Community

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

Information for Law Enforcement

The complete Sex Offender Registry is a resource available through *e*JusticeNY, 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. In 2009, the law was amended to require Family Courts to conduct a check of the SOR whenever they issue or modify an order of custody or visitation. This resulted in a dramatic increase in the number of SOR searches. The SOR also has a dedicated telephone line for law enforcement needing assistance, and handles more than 300 calls per month. Calls are handled for law enforcement both within and outside of New York State.

Submitting Updated Sex Offender Photos

A 2006 law requires Level 3 sex offender registrants to submit an updated photo once a year, and Level 1 and 2 offenders to submit a photo every third year from the date of registration. Offenders must report to their local police departments to be photographed. [1] In November 2006, a report was made available via *e*JusticeNY to assist local departments with monitoring offenders who owe delinquent photos. Having updated photos as part of the Sex Offender Registry helps ensure that sex offenders can be recognized by both law enforcement and the public. A sex offender is subject to arrest for failure to provide a photo as required by law. SOR staff compares and updates offender photos received electronically via LiveScan, *e*JusticeNY and e-mail. Hard copy photos are received from NYS DOCCS, out of state agencies and offenders. These photos are scanned, compared and uploaded to the SOR.

Delinquent Photos
(End of Year)

Year	Value
2007	2,143
2,008	2,464
2,009	2,030
2010	2,662
2011	3,292

Note: 2011 data through September.

√ At the end of September 2011 (most recent data available), a total of 3,292 offenders owed an updated photo. This group comprises 9% of all offenders on the Registry during 2011.

[1] Legislation enacted in 2012, requires that Level 3 offenders submit a new photo every 90 days if they change their appearance.

Office of Sex Offender Management

Offender Compliance

Each year, on or about the anniversary of a sex offender's initial registration, DCJS mails an annual address verification form to the sex offender's last listed address. If the sex offender does not reside at the last address on file at the SOR, the form will be returned to DCJS by the Post Office. Offenders are required to sign and return the Annual Address Verification Form to DCJS within 10 days of receipt. If an offender fails to sign and return his or her Annual Address Verification Form within the allotted time frame, DCJS forwards a notification to the law enforcement agency having jurisdiction where the sex offender resides, indicating that he or she failed to comply with the annual address verification requirements. Since June 2009, all New York State agencies are notified electronically via *e*JusticeNY. All non-New York State agencies are notified via letter. Offenders who have been deported or are voluntarily living outside of the United States are excluded from the Annual Address Verification.

√ During 2011, more than 28,000 annual address verification packets were mailed by DCJS. In addition, more than 23,000 annual address verification forms were processed by SOR staff, many of which contained offender information requiring an update to the SOR.

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

√ In 2011, SOR staff prepared 1,237 affidavits for law enforcement. When required, testimony is provided for prosecution of fail-to-register cases.

Convictions for Failure to Register or Verify as a Sex Offender
(Annual)

Year	Convictions
2007	543
2008	533
2009	546
2010	584
2011	551
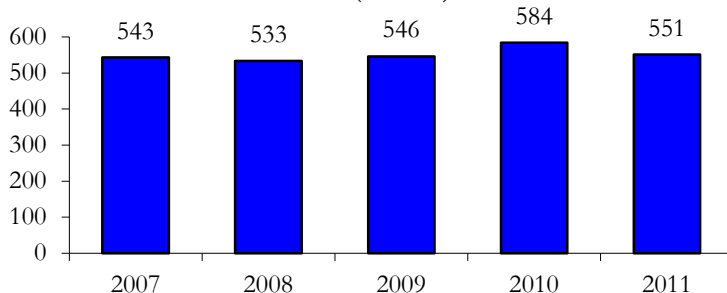
√ During 2011, a total of 551 failure to register/ verify convictions were reported, a decrease of (-6%) from 2010.

Office of Sex Offender Management

Reviewing Sex Offenders for Civil Management

The Sex Offender Management and Treatment Act (SOMTA), enacted in April 2007, authorizes the civil management of sex offenders who have served their time in prison, or are about to complete parole supervision, but still suffer from a mental abnormality that predisposes them to commit sex offenses. The law requires DCJS to serve as the coordinating entity among other state agencies involved in the process – the Department of Corrections and Community Supervision (DOCCS), the Office of Mental Health (OMH) and the Office of the Attorney General (OAG) – to ensure systematic case handling efforts.

The SOMTA procedure for referring and evaluating offenders provides two options for civil management: Offenders determined suitable to be released to the community may be placed on Strict and Intensive Supervision and Treatment (SIST) where they are closely supervised by DOCCS. Offenders determined to be at the greatest risk of re-offense due to their mental abnormality may be civilly confined in a treatment facility.

√   During 2011, OMH evaluated 1,540 sex offenders under SOMTA and recommended civil management for 3% (43) of the offenders.

√   Petitions for Civil Management were filed in all 43 of the cases that OMH referred to the Attorney General's Office, and five of these offenders were ordered civilly confined by the end of the year. During that year, a total of 39 offenders were ordered civilly confined. Due to a lengthy due-process procedure, 13 cases were pending a probable cause determination and 84 cases were pending a disposition as of the end of December 2011.

√   Between April 2007 and the end of December 2011, a total of 7,163 cases were reviewed by OMH, 468 of which were referred to the OAG. As of the end of December 2011, total of 199 offenders had originally been ordered confined and 95 had originally been ordered to SIST.

Office of Forensic Services

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

Scope of Operations
The Division of Criminal Justice Services provides administrative oversight of the DNA Databank through its Office of Forensic Services (OFS). The Databank was first established by statute in 1994, and authorized the collection of DNA samples for a limited number of felonies, including murder and rape. The Legislature expanded the DNA Databank in 1999, 2004 and 2006 to include additional crimes. In 2010, the Penal Law crime of strangulation took effect creating three additional crimes: two felonies and one misdemeanor, all of which are DNA eligible.

Key Public Service Areas
- DNA Databank Oversight
- DNA Sample Processing Compliance
- Training, Education and Technical Assistance
- Laboratory Accreditation

Through the end of December 2011, anyone convicted of a Penal Law felony or 36 Penal Law misdemeanors was required to provide a DNA sample for inclusion in the Databank. This means that 48% of offenders convicted of a Penal Law offense were required to provide a DNA sample. In 2012, the DNA Databank was expanded again, and presently, anyone convicted of any felony in any state law, or any Penal Law misdemeanor, is required to provide a DNA sample.

OFS includes the following four program areas:

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

Office of Forensic Services

DNA Databank

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

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

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

Offender Samples on File
(Cumulative)

Year	Samples
2007	252,530
2008	330,527
2009	374,940
2010	415,975
2011	450,967
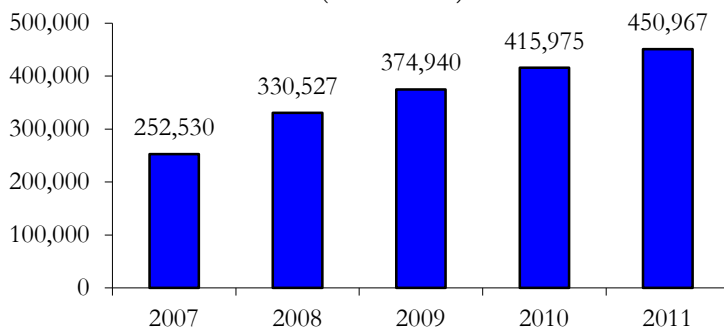
√ At the end of 2011, there were 450,967 offender samples on file in the DNA Databank, an increase of 8% from 2010.

Crime Scene DNA Profiles
(Cumulative)

| Year	Profiles
2007	22,540
2008	26,402
2009	30,568
2010	34,548
2011	38,780
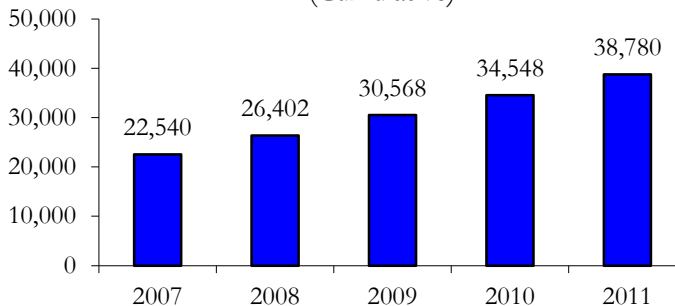
√ At the end of 2011, there were 38,780 crime scene profiles on file in the DNA Databank, an 11% increase over 2010.

Office of Forensic Services

DNA Offender Sample Submissions

The Division of Criminal Justice Services works with state and local agencies to ensure collection of DNA from all eligible offenders.

DNA Offender Sample Submissions
(Annual)
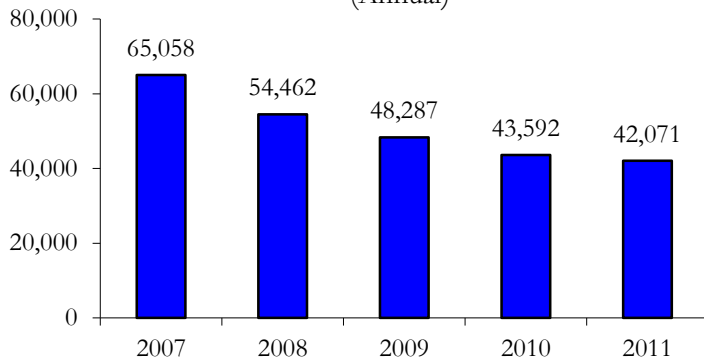
√ During 2011, 42,071 samples were collected. The high number of samples submitted during 2007 was primarily due to the implementation of the 2006 amendment, which retroactively required samples from individuals under custody or on Parole or Probation Supervision. Declines since then are due in part to the fact that more and more offenders already have a sample on file upon conviction and a second sample is not needed.

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.

2011 DNA Sample Submissions
(Cumulative)
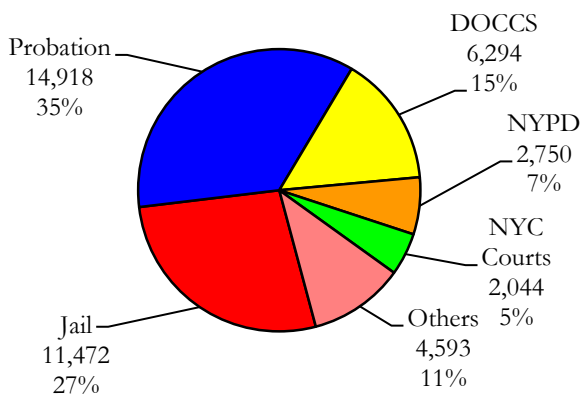
√ Probation departments and local jails were the largest contributors to the DNA Databank in 2011, collecting 62% of total DNA samples submitted. State DOCCS submitted 15%.

√ NYPD and the New York City courts accounted for a combined 12% of all submitted. "Others," which include police agencies, courts and DOCCS accounted for an additional 11% of the annual submissions.

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Office of Forensic Services

DNA Subject Index

A regulation promulgated in January 2006 allowed for the collection of DNA as a condition of release or supervision or as part of a plea agreement on offenses that would otherwise not require a DNA submission upon conviction.

DNA Subject Index Submissions
Passed Samples Only
(Annual)
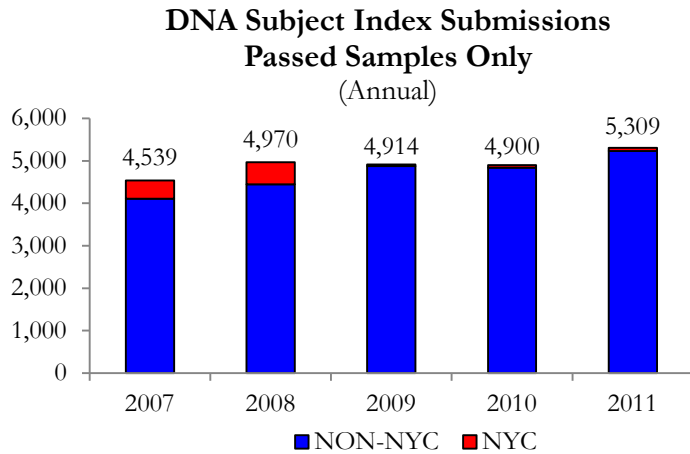
√ DNA Subject Index submissions have ranged from 4,500 to 5,300 for the past three years, but comprise an increasing proportion of samples submitted.

√ Of the 42,071 samples collected in 2011, 13% were Subject Index submissions.

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

√ The overall statewide DNA collection rate ranged between 85% and 87% during 2011.
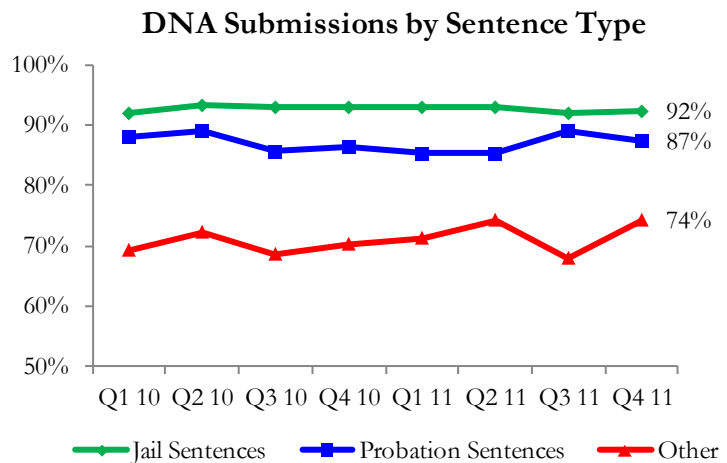
DNA Submissions by Region
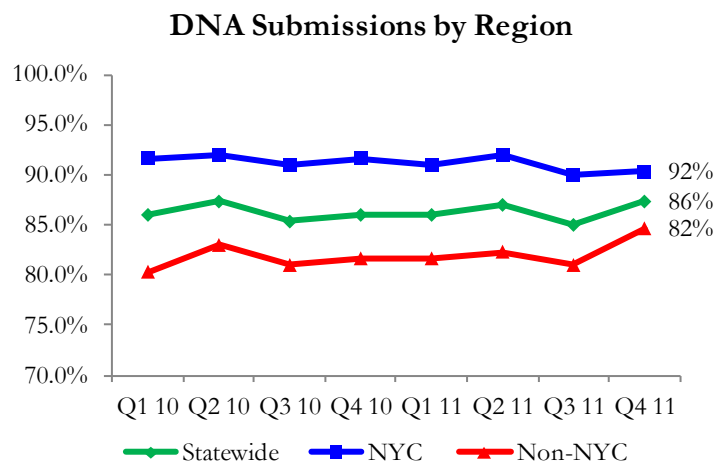
Office of Forensic Services

√ The DNA collection rate for local jails averaged 92% during 2011.

√ Collection rates by local probation departments remained steady during 2011, although collection rates vary among county probation departments.

DNA Submissions by Sentence Type

√ "Other Sentence" collection rates improved significantly during 2011, but are still substantially lower than the rates of collection on jail and probation sentences. "Other Sentences" include fines, conditional discharges, time served and community service. Securing these collections has been the most challenging because arrangements for these collections must be made at the time of sentencing, and the collections involve a large number of town and village courts and local agencies.

DCJS DNA Databank Oversight

OFS provides administrative oversight of the DNA Databank. Offenders convicted of designated offenses, as defined in Executive Law §995(7), must, in accordance with Executive Law §995-c(3), provide a DNA sample for inclusion in the State DNA Databank. As of August 2012, anyone convicted of a felony in any state law or a Penal Law misdemeanor must provide a DNA sample.
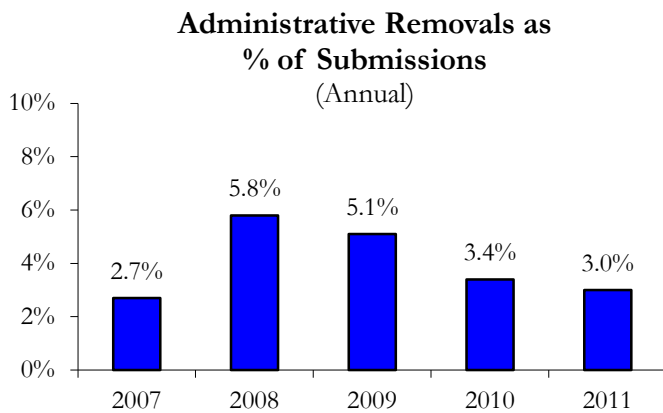
DNA samples with accompanying documentation are submitted by the collecting agency to the State Police Forensic Investigation Center (FIC) for processing. FIC staff record the receipt of a sample and forward the documentation to OFS for review and approval. OFS reviews the criminal history record (rapsheet) of each offender for whom a sample was collected to verify that the offender has a qualifying conviction. s that have been collected according to DNA collection protocols are then approved for processing. If it is determined that the offender was not convicted of a qualifying offense, is removed from the Databank as an administrative removal, unless it was submitted for inclusion in the Subject Index.

The Subject Index was added to the State DNA Databank effective January 3, 2006, pursuant to 9 NYCRR Part 6192. Subject Index DNA profiles are obtained from offenders convicted of crimes whose DNA samples were collected: (1) pursuant to a plea agreement; (2) as a condition for participation in a DOCCS' temporary release, comprehensive alcohol and substance abuse treatment ("CASAT"), or shock incarceration program; (3) as a condition of release on parole, post-release supervision, presumptive release, or conditional release on a definite or indeterminate sentence; or (4) as a condition of probation or interim probation supervision.
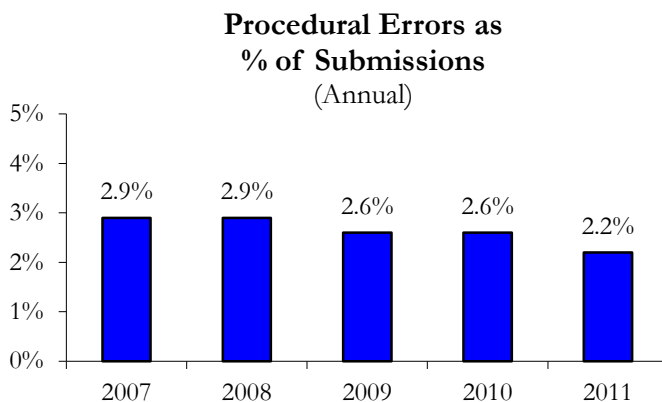
Office of Forensic Services

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

Administrative Removals as % of Submissions
(Annual)

Year	Percentage
2007	2.7%
2008	5.8%
2009	5.1%
2010	3.4%
2011	3.0%

√ In 2011, 1,240 DNA samples were administratively removed from the process, representing 3% of total submissions. This number has decreased from prior years due to extensive OFS training as well as OFS' in-house policy of sending notification to agencies that they have collected DNA samples from an ineligible offender. The combination of training and supervisors receiving specific information on which staff members are collecting samples erroneously has been very effective.

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

Procedural Errors as % of Submissions
(Annual)

| Year	Percentage
2007	2.9%
2008	2.9%
2009	2.6%
2010	2.6%
2011	2.2%

√ In 2011, 933 DNA samples were removed from the Databank as a result of a procedural error, representing 2.2% of submissions.

Office of Forensic Services

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.

DNA Hits by Year
(Annual)

Year	Hits
2007	1,308
2008	1,674
2009	1,534
2010	1,561
2011	1,462
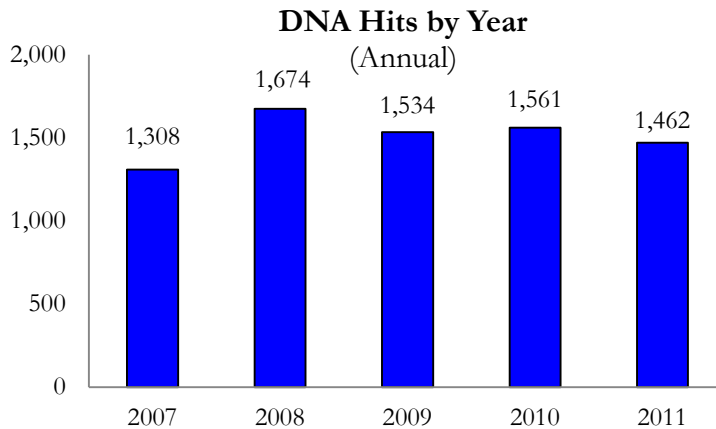
√ In 2011, there were 1,462 hits to the DNA Databank, a 6% decrease from the 1,561 hits reported during 2010.

√ Since the Databank's inception through December 2011, there have been a total of 10,350 hits.

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

| Hits Against the Databank by Type of Crime		
(Cumulative, since inception)		
Type of Crime	Hits	Percent of Hits
Homicide	869	8%
Sexual Assault	3,547	34%
Robbery	1,128	11%
Burglary	3,480	34%
Other	1,326	13%
Total	10,350	100%

√ Of the 10,350 hits generated since inception, 8% were against physical evidence collected in connection with homicide investigations and 34% were in connection with sexual assault investigations. In addition, 34% were in connection with a burglary.

Office of Forensic Services

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

Hits Resulting in Conviction
As of December 31, 2011
(Cumulative)

Burglary 1,353 49%

Robbery 321 12%

Sexual Assault 593 22%

Homicide 189 7%

Other 265 10%
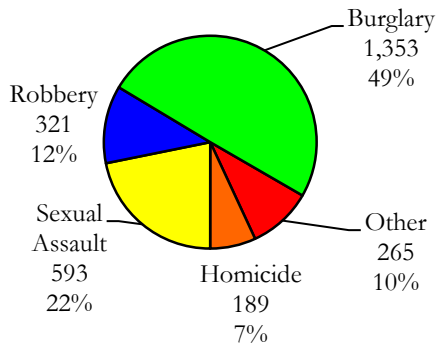
√ As of December 2011, 2,721 conviction outcomes were reported to DCJS, representing 26% of the total hits to the Databank.

√ Of the conviction outcomes reported, 593 (22%) were for sexual assault cases and 189 (7%) were for homicide cases.

√ In 850 additional cases, an arrest had been made in the case, but a final disposition had not yet been reported.

Laboratory Accreditation

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

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

- **Staff Support to the Commission on Forensic Science and DNA Subcommittee.** The Commission and 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 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 2011, OFS facilitated four Commission on Forensic Science and four DNA Subcommittee meetings. OFS also conducted 14 technical working group (TWG) meetings that were attended by a wide range of laboratory personnel. The subjects covered in the TWG meetings included: toxicology; quality assurance; firearms; questioned documents; trace evidence; arson; digital evidence; latents; drugs; and biological evidence.

Office of Forensic Services

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

- **Technical Training for Crime Laboratory Personnel.** OFS facilitates highly specialized technical training programs for crime laboratory personnel to maintain proficiency and currency in analytical methods. To ensure that all forensic scientists in New York State are trained in state of the art techniques and technology, OFS sponsored 22 trainings attended by 847 forensic laboratory personnel from various forensic disciplines in 2011.

Office of Program Development and Funding

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

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

Key Public Service Areas
- Federal Funding Oversight
- Administration of State and Federal Grant Programs
- Local Assistance Contract Administration
- ARRA Funding Oversight

The Office of Program Development and Funding (OPDF) includes the following five program areas: (Note: Effective 2012, a separate Juvenile Justice Policy Office was established.)

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

Office of Program Development and Funding

Support for Criminal Justice Initiatives

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

√ DCJS administers $67 million in ARRA stimulus funding, which primarily supports implementation of the Rockefeller Drug Law Reform enacted in 2009. Specifically, the ARRA money supported the creation of new drug courts; the hiring of probation officers and prosecutors; and the expansion of residential treatment capacity, alternatives to incarceration programs, residential centers for probation violators, juvenile re-entry services, computer literacy training for state prison inmates; and technology upgrades. Additionally, DCJS is providing a total of $18.6 million to four organizations that have provided transitional jobs and skills training to 4,214 individuals involved in the criminal justice system, with the goal of placing as many as possible in permanent employment. Through December, 2011, 1,327 individuals were placed in permanent, unsubsidized employment (844 in New York City and 483 Upstate).

√ The Law Enforcement Unit facilitated two regional and one statewide meeting of the Motor Vehicle Theft and Insurance Fraud (MVT&IF) Advisory Group in 2011. The group is responsible for providing information to the MVT&IF Prevention Program Board for the development of a Plan of Operation to curtail motor vehicle theft and motor vehicle insurance fraud throughout the State.

√ More than $3.5 million in Byrne JAG funding was awarded during 2011 to support 87 law enforcement projects. Awards were made to support Information Technology positions at the DCJS-supported Crime Analysis Centers, as well as the purchase of police equipment, including In-Car Video Systems, patrol vehicles, Mobile Data Terminals, and equipment to support electronic fingerprint processing. Awards were made to 19 jurisdictions for the purchase of video recording equipment to record statements to police.

√ The Probation Unit of OPDF coordinates with the Office of Probation and Correctional Alternatives (OPCA) to ensure that OPCA Alternative to Incarceration contracts are developed and processed efficiently and that agencies comply with all contractual requirements. The Probation Unit of OPDF develops and manages contracts in the following funding streams: Alternatives to Incarceration (ATI) programs, including Article 13-A Classification/Drug and Alcohol Programs (120); Demonstration and Shared Services ATI Programs (20), and Probation Violation Residential Centers (PVRC), also known as Residential Stabilization Centers in New York City (4). Additionally, the unit manages grants and the 59 Governors Traffic Safety Committee Ignition Interlock Device Monitoring Programs. The Probation Unit will also be developing contracts for 19 countywide Re-entry Task Forces around the state.

√ In 2011, the VAWA Unit created and implemented a new section on DCJS' *e*JusticeNY - Law Enforcement Services Suite called "Domestic and Sexual Violence." The information and resources are geared toward assisting law enforcement when other resources may be closed or unavailable. Information includes: a database of pet shelters/organizations willing to take pets so domestic violence victims can enter shelters knowing their pets will be safe, a list of all hospitals in the state that have a Sexual Assault Forensic Examiner program, how to fill out a Domestic Incident Report and updates on new laws.

Office of Program Development and Funding

Contract Monitoring

OPDF allocates local assistance funding to support criminal justice agencies and initiatives. The contract process, which is comprised of multiple activities and functions, begins with the development of the grant application and the grantee award notification. OPDF is responsible for all grant contracts until the grant contract is closed. Included in this process are developing Requests for Applications (RFAs), Requests for Proposals (RFPs), monitoring grantee progress, ensuring that the grant fulfills all obligations, approving contract payments, and processing all contract-related amendments.

When the contract period is completed, and all required program and fiscal reports are received and fiscal claims paid, the contract is closed.

Contracts Executed/Closed

(Annual)

	2007	2008	2009	2010	2011
Contracts Executed During Year	1,513	1,088	933	963	1,012
Contracts Closed	1,111	1,295	1,850	1,169	1,059

√ A total of 1,012 new grant contracts were executed during 2011 and 1,059 contracts were closed.

Active Contracts

(Annual)

Contract Type	2007	2008	2009	2010	2011
Active (Fully Executed)	1,351	1,309	965	799	871
Pending (In Process)	885	1,069	882	588	647
Active/Pending Contracts	2,236	2,378	1,847	1,387	1,518

√ At the end of 2011, OPDF was responsible for 1,518 active or pending grant contracts. Of these, 647 were in process and 871 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, due to budget reductions limiting travel, OPDF made greater use of technology (such as webinars) to provide cost-effective training/technical assistance to grantees facing changes in grant reporting and program requirements.

Office of Program Development and Funding

Site Visits
(Annual)
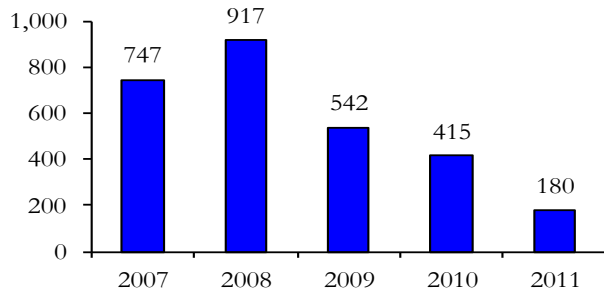
√ 180 site visits were conducted during 2011, 57% fewer than the 415 visits in 2010. Budget reductions required travel to be curtailed.

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. During 2009, new grant processing procedures were instituted across state agencies in response to the fiscal crisis. The new centralized approval processes required specific forms and approvals, known as the Attachment A and B process, which delayed contract processing.

Percent of Contracts Processed Within 170 Days
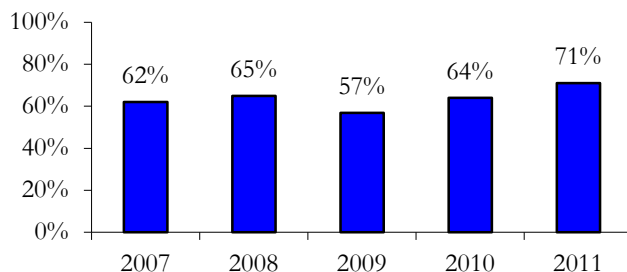
√ During the year, 71% of grant contracts were processed within the 170-day target, an increase from 2010.

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.

Office of Program Development and Funding

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	**2007**	**2008**	**2009**	**2010**	**2011**
OPDF Processing	45 days	68%	73%	53%	48%	58%
Grantee Processing	90 days	60%	48%	65%	69%	75%
Financial Services Processing	35 days	81%	81%	73%	83%	76%
Total Grant Processing	**170 days**	**62%**	**65%**	**57%**	**64%**	**71%**

√ In 2011, 58% of grant contracts were processed within 45 days within OPDF.

√ The percent of grant contracts returned within the 90-day standard was 75% during 2010, the highest of the last five years.

√ In 2011, 76% of contracts were processed within the 35-day target timeframe for the Financial Services processing segment, a slight decrease from 2010.

Office of Juvenile Justice

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

Scope of Operations
Created in 2011, the Office Of Juvenile Justice provides staff support to juvenile justice initiatives spearheaded by the Deputy Secretary for Public Safety, including the Strategic Planning Action Committee and legislative negotiations on juvenile justice reform proposals such as the Close to Home Initiative. In addition, the Office provides state leadership on strategic investment and policy development to reduce juvenile crime and break the cycle from juvenile system involvement to adult offending. Those efforts include promoting juvenile justice system accountability, developing innovative front-end strategies to reduce juvenile crime, and supporting statewide reform efforts focused on reducing unnecessary juvenile detention and placement. This work is accomplished in partnership with the New York State Juvenile Justice Advisory Group (JJAG). In its capacity as staff to the JJAG, DCJS compiles and analyzes statewide juvenile justice data, researches best practice in juvenile justice, outlines how best practices can support data-driven juvenile justice needs and prepares applications for federal funds. In addition, DCJS designates a staff member to be a Juvenile Justice Specialist to represent the state to the federal Office of Juvenile Justice and Delinquency Prevention (OJJDP), monitor state compliance with the core protections of the Juvenile Justice and Delinquency Prevention Act (as a condition of receipt of the federal funds), and to administer and monitor use of federal juvenile justice funds. Together with the JJAG, the Office launched efforts in four key areas for investment:

Key Public Service Areas
- Juvenile Justice Policy Development
- Administration of Federal Juvenile Justice Grant Programs

√ Promoting accountability in juvenile justice by developing a central clearinghouse for the many state and local sources of juvenile justice data, supporting key juvenile justice research initiatives, and strengthening and standardizing performance measurement in juvenile justice programming;

√ Developing front-end strategies to reduce entry into the juvenile justice system through school-based arrest diversion projects and support for risk assessment and respite care options at the time of arrest.

√ Supporting statewide reform efforts to reduce the unnecessary use of juvenile detention and placement through alternative to detention programming for youth who are detained due to unsafe or unavailable home environments and through local initiatives to reduce disproportionate minority contact in secure detention settings.

√ Developing two innovative juvenile re-entry program models geared toward reducing recidivism among high-risk youth returning to the community from placement in state operated facilities. The New York City project is testing the efficacy of engaging hard-to-serve youth in their home communities. The Monroe County model is DCJS' first effort to expand the local re-entry task force model to the juvenile population and provide community-based services during placement.

Office of Administration

Mission
To provide efficient and high-quality support services to the Division of Criminal Justice Services (DCJS) and its hosted state 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, training, examination planning, recruitment and staffing, time and attendance, payroll and benefits administration, employee and labor relations programs and the agency's workforce diversity and equity programs.
- **Financial Services** - Manages cash, revenue and local assistance funds. Responsible for purchasing, contracts, in-house grants and voucher payments. Develops and implements budgets and spending plans and prepares required reports.
- **Administrative Services** - Supports agency programs by providing mail and courier services, printing and graphics, central supply and warehouse services, telecommunications and facilities management for all locations. Administrative Services is also responsible for agency fleet management, security systems, inventory and records management programs.
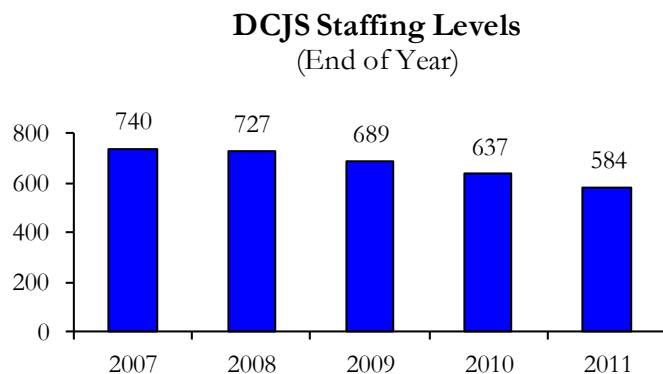
Office of Administration

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

Human Resource Management

Human Resources Management (HRM) is responsible for monitoring the staffing levels for all program areas within DCJS and for its four hosted agencies - the State Commission of Correction (SCOC), Office of Victims Services (OVS), Board of Examiners of Sex Offenders (BOE) and the Office for Prevention of Domestic Violence (OPDV) - as well as providing technical guidance and support in the areas of organizational development, labor relations, affirmative action, recruitment and interview process, cultural awareness and diversity, reasonable accommodations, position classification, staff development and payroll and benefits.

DCJS Staffing Levels
(End of Year)

Note: The state Division of Probation and Correctional Alternatives (DPCA) was merged with DCJS in April 2010. For comparison purposes, staffing levels have been adjusted to include counts for both agencies.

√ Filled positions declined by 53 from 2010 to 2011, and by 156 since 2007.

√ In addition to the 584 DCJS staff, Administration provided support services for staff in the hosted agencies during 2011.

√ Overtime costs are down 82% from 2007.

DCJS Overtime Paid
(Annual)
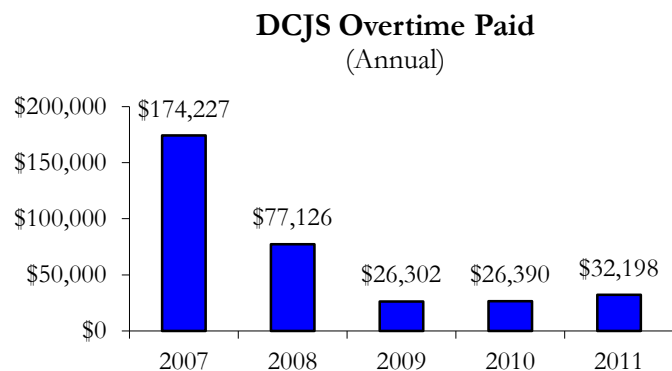
Office of Administration

Financial Services

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

Contracts Executed
(Annual)

	2007	2008	2009	2010	2011
Grant Contracts Executed	1,327	968	818	890	890
Contract Dollars Processed (Millions)	$120.4	$103.8	$125.3	$136.8	$104.6

√ During 2011, Financial Services processed 890 grant contracts, the same as in 2010. However, the contract dollars processed was $104.6 million, down (-24%) from 2010. This trend is driven by budget reductions for local assistance programs.

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

Financial Services Processing Time
(Median Days)
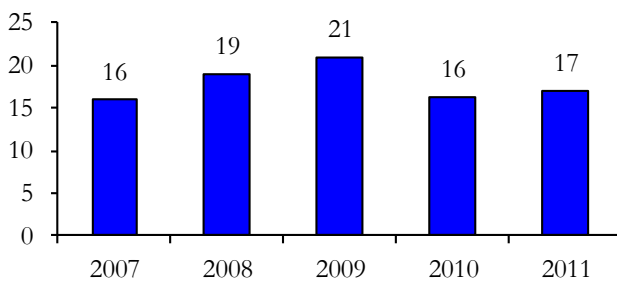
√ During 2011, Financial Services consistently met its goal, processing grant contracts within 17 days, well under the 35-day processing time target.
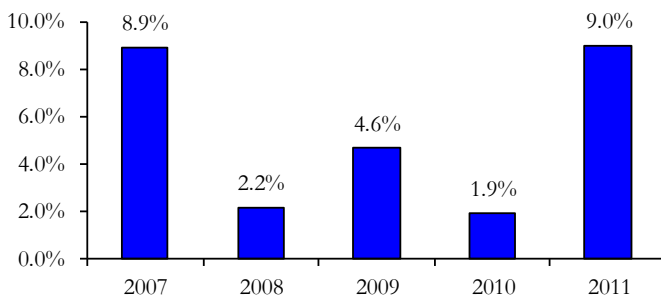
Financial Services reviews grant contracts prepared by program staff before submission to OSC and the AG for approval. Contracts that are inconsistent with OSC and AG guidelines are returned to OPDF for correction or modification. Financial Services and OPDF have set a goal of reducing the number of contracts rejected to fewer than 10 per month, or less than 120 per year.

During 2011, 80 grant contracts were rejected, as compared to 2010 when 17 contracts were rejected. A large number of contracts were rejected in the first four months due to the transition of Office of Probation and Correctional Alternatives contracts to the Grants Management System (GMS). An increase in rejections in the fourth quarter was related to the transition to a new **centralized approval process (known as Attachment A).** The number rejected remained within the established goal of 120 per year.

Office of Administration

**Contracts Rejected as
% of Total Contracts Executed**

√ Rejected contracts represented 9% 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.

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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. Recognizing that circumstances arise where late payments are unavoidable, Financial Services has established a "not to exceed" target of no more than 10 vouchers paid late per month and a dollar total of no more than $2,500 per month. In 2011, Financial Services met these targets.

Vouchers Paid Late
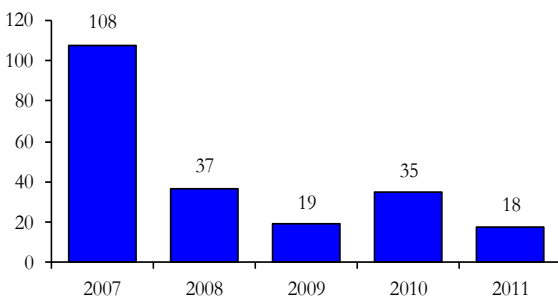
Interest Paid
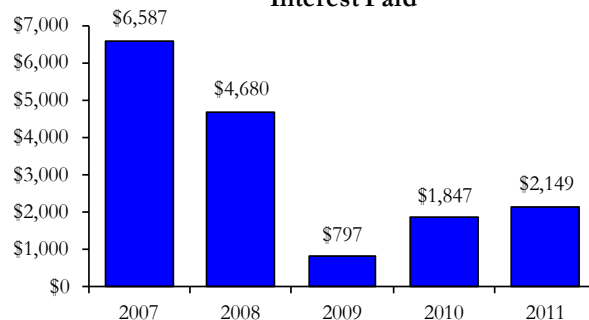
√ During 2011, Financial Services paid 18 vouchers late, significantly lower than the 35 in 2010, which is well within the annual target.

√ A total of $2,149 in interest on late vouchers was paid in 2011, as compared to $1,847 in 2010, which is within the interest payment target.

Administrative Services

Administrative Services coordinates the printing and copying of agency publications and is equipped with state-of-the art printing and copying equipment. As a result, numerous print jobs are processed in-house at significant savings. 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

Office of Administration

costs are accumulated on a monthly basis and reported as savings from in-house processing. There has been a substantial decrease in print jobs since 2008.

Print Jobs
(Annual)

	2007	2008	2009	2010	2011
Print Jobs Requested	1,332	1,336	781	697	724
Savings from In-House Printing/Copying	$277,900	$265,004	$76,760	$77,900	$85,605

√ Between January and December 2011, Administrative Services processed and completed 724 print jobs (an average of 60 per month) and 100% were completed within the timeframe requested.

√ Administrative Services saved $85,605 during 2011 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 service includes folding and inserting correspondence into envelopes.

√ During 2011, Administrative Services completed four bulk mail requests. All requests were completed within the customer's specified time period.

√ Administrative Services has also implemented an extensive agency-wide recycling program that recycled 14,460 pounds of electronics, and an estimated 4,500 pounds of non-electronic material.

Office of Justice Research and Performance

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

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

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

Key Public Service Areas
- Criminal Justice Research, Analysis and Statistics
- Crime Reporting
- Performance Management

- **Crime Reporting** - Oversees the New York State Uniform Crime Reporting (UCR) program and the Incident Based Reporting (IBR) program. The unit works with law enforcement agencies to ensure the accuracy, completeness and timeliness of crime data, generates data files for the FBI, and oversees a comprehensive reporting system for Operation IMPACT.
- **Data Analysis, Reporting and Statistics** – Prepares criminal justice statistics and reports to support policy and inform decision-making. Administers all agreements with outside researchers. Ensures the application of appropriate procedures to address confidentiality laws and standards surrounding information maintenance, analysis and dissemination.
- **Research and Evaluation** - Conducts research in crime analysis, domestic violence, juvenile justice, offender re-entry, recidivism and sentencing. This unit conducts research for probation and alternative to incarceration programs and coordinates monitoring and evaluation efforts for several re-entry initiatives. This unit also provides GIS/mapping services for DCJS offices and other criminal justice agencies.
- **Performance Reporting and Accountability** - Coordinates the New York State criminal justice performance management program, and works with other criminal justice agencies and offices to develop performance measures. The unit analyzes performance and trend data and prepares a wide range of performance reports for DCJS and the Governor's Office of Public Safety.

Office of Justice Research and Performance

Provide Criminal Justice Information and Analysis

OJRP provides analytical and statistical information to criminal justice executives and managers, the public, local law enforcement, researchers and the media. Common information requests are for crime statistics and arrest and disposition data. OJRP has added a large amount of data to the public website, which in many cases has eliminated the need to prepare special data runs. The graph below represents data prepared not available on the website that was for a requestor.

Requests for Information -Data Provided
(Annual)
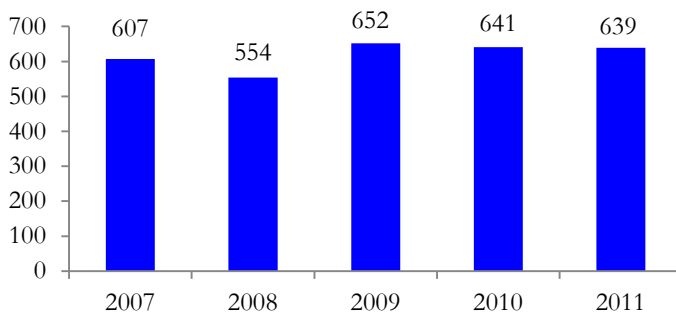
√ During 2011, OJRP staff prepared and provided data and analyses in response to 639 requests for information.

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

√ OJRP added three new datasets to the website in 2010 and 2011, which now provide historical data on hate crime incidents, juvenile arrests, and domestic incidents. With the addition of new information on the public website, OJRP has been able to keep the number of requests responded to at stable levels for the past three years. Many requestors are now referred to the website.

√ To meet customer needs while reducing the number of special requests, statistical information can now be downloaded in both Excel and PDF formats.

√ Monthly and quarterly performance reports were provided to more than 500 police agencies, 62 district attorneys' offices, 58 probation departments, 58 sheriffs' offices and executives and managers within state agencies to help local executives monitor performance. Many reports are also posted to *e*JusticeNY, the secure website for law enforcement, where they are available to nearly 50,000 users.

Promote Criminal Justice Research

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

√ In 2011,OJRP processed and prepared non-disclosure agreements for 27 research requests. All agreements require that researchers submit a draft report prior to publication, and formally present research findings upon request.

√ Thirty-eight research files were prepared and delivered in support of research on offender re-entry, mental health programming, sex offender studies, recidivism, domestic violence interventions, juvenile recidivism, drug court evaluations, 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 2011.

√ During 2011, OJRP worked closely with 18 different research organizations. This included work on 15 projects which span several years and require on-going OJRP support and file preparation.

Crime Reporting

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

√ In late 2010, staff resources were redirected to increase the data quality efforts of the crime reporting program.

√ In 2011, OJRP made more than 4,000 data quality follow-up contacts on crime reporting, a 57% increase over 2010.

Data Quality Follow-up
(Annual)

Year	Value
2008	1,462
2009	2,126
2010	2,596
2011	4,066
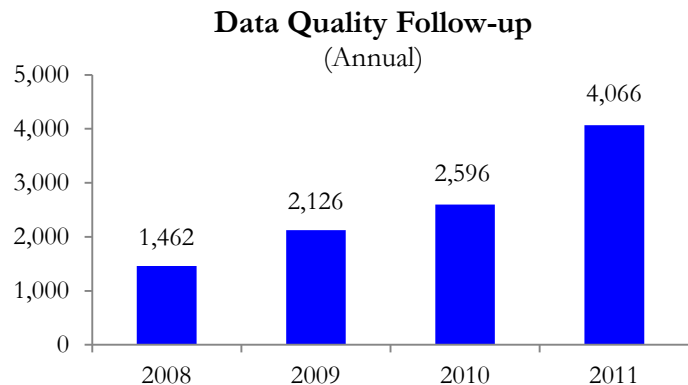
√ Crime reporting staff follow comprehensive review procedures to ensure all information on homicides committed in New York State are reported timely and accurately. In 2011, Crime Reporting staff reviewed and verified the accuracy of 769 homicides submitted by reporting agencies.

√ OJRP works closely with the DCJS Office of Public Safety to monitor Operation IMPACT program performance. Analyses prepared by OJRP staff are used by IMPACT staff and partners to target state assistance and resources to the areas that need attention.

Office of Justice Research and Performance

Incident Based Reporting (IBR)

Law enforcement agencies use one of two reporting systems to submit crime data to DCJS: Uniform Crime Reporting (UCR) or Incident Based Reporting (IBR). UCR participating agencies provide summary counts of reported crimes that have been aggregated into federally-defined crime classifications. In contrast, IBR agencies submit incident-specific details, including Penal Law charge, and victim and offender information. This level of detail provides more comprehensive information on reported crime than is available with UCR data, and it is generally more accurate.

Prior to 2005, OJRP actively solicited agencies to convert from summary reporting (UCR) to incident-based reporting. However, the systems originally established to process IBR files were designed nearly 20 years ago, when there were only a handful of participating agencies. Due to these technology limitations, as well as staffing limitations, agencies are no longer actively recruited, but are still accepted for transfer upon request. The current processing systems need to be automated in order to ensure all files submitted by the 248 participating agencies are processed efficiently and correctly.

√ During 2011, 19 law enforcement agencies transitioned to IBR.

√ At the end of 2011, 34% of the crime reported outside New York City was reported through IBR, an increase from the 30% at the end of 2010.

Number of IBR Agencies
(End of Year)
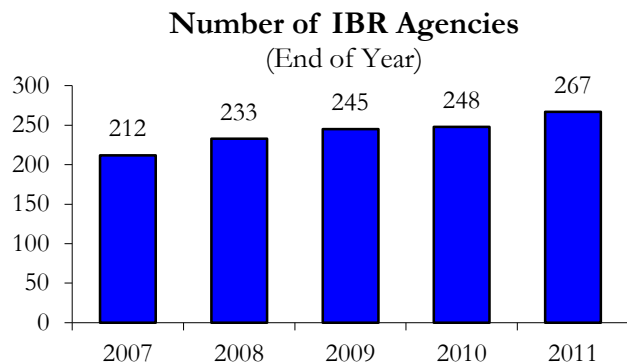
Publications

In addition to conducting research, preparing statistics for the website and responding to data requests, OJRP published a number of reports during 2011, which are available on the DCJS website:

√ *Hate Crime in New York State: 2010 Annual Report* chronicles the hate crime incidents reported by law enforcement agencies in 2010. This report satisfies the reporting requirement found in Section 837(4-c) of the Executive Law.

√ *Domestic Homicide in New York State, 2010* contains information and data about domestic homicide in New York State.

√ *Arrests and Arraignments Involving Strangulation Offenses, November 11, 2010 – February 22, 2011* provides the results of a preliminary analysis of arrests and arraignments involving the crime of strangulation in the 15 weeks following the enactment of the new crime of strangulation in November 2010.

√ *New York State Felony Processing Final Report, Indictment through Disposition, Jan-Dec 2010* summarizes the processing of felony cases in New York State's superior courts and satisfies the annual reporting required in §837 a(1) and 837-a(2) of the Executive Law.

√ *Crime in New York State 2010 Final Data* contains final index crime statistics for New York State in 2010. Historical crime data are also presented.

Office of Justice Research and Performance

√ *Felony Drug Court Activity Among Offenders Eligible Under 2009 Drug Law Changes, 2008-2010* examines the impact of the 2009 drug law changes on felony drug court screenings and admissions throughout the state, and satisfies the reporting requirement found in **§**837(4)(b-1) of the Executive Law.

Office of Legal Services

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

Scope of Operations
The Office of Legal Services (OLS) provides legal advice and guidance to the Commissioner and agency managers from DCJS and its hosted agencies (SCOC, OPDV, OVS and BOE). 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 the:

Key Public Service Areas
- Legal Advice and Opinions
- Development and Review of Legislation
- FOIL Requests
- Ethics Issues

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

OLS is responsible for compiling ideas and drafting the agency's legislative agenda and reviewing and tracking criminal justice legislation generally. OLS also responds to all FOIL requests, drafts and promulgates agency rules, and reviews ethics issues and outside employment requests. It also reviews all requests for criminal history record information, and drafts use and dissemination and non-disclosure agreements. 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. In addition, OLS acts as a liaison between the Commissioner and the Deputy Secretary for Public Safety, and the hosted agencies, in order to facilitate coordination of criminal justice policy.

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.

Office of Legal Services

Support for Other DCJS Program Areas

√ 880 Freedom of Information Law (FOIL) requests were received during the year, an increase from 735 requests received in 2010.

√ 66 requests for approval for employment outside DCJS were received and processed during 2011, as compared to 99 requests in 2010.

√ DCJS has several Use and Dissemination Agreements with outside agencies regarding agency operations. OLS staff handled 183 requests regarding these agreements, an increase of 120 from 2010. These requests include questions regarding existing agreements and creation of new agreements. In addition, 15 non-disclosure agreements were prepared during 2011.

√ OLS staff handles e-mails from the general public including requests for general information, suggestions, and comments generated from DCJS' public website. During 2011, 183 responses were drafted to e-mails received.

√ OLS staff responds to correspondence received by the Governor's Office regarding criminal justice issues. During 2011, 327 responses were prepared.

√ OLS supported the effort to rapidly deploy the DCJS Regional Crime Analysis Centers, which resulted in agreements between DCJS and many police agencies throughout the state for the sharing of information and the joint housing of personnel from across multiple jurisdictions.

Office of Internal Audit and Compliance

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

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

Key Public Service Areas
- Internal Audits
- Grant Contract Audits
- Criminal History Audits
- Investigations of Fraud, Waste and Abuse

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

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

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

Office of Internal Audit and Compliance

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

Office of Internal Audit and Compliance

Internal Audits

Under the terms of the New York State Government Accountability, Audit, and Internal Control Act, DCJS is required to have an internal audit function. The Internal Control Act requires that internal audits are conducted in accordance with applicable internal audit standards. Those standards include a mandate that audits be selected based upon a risk assessment of agency operations. In 2009, OIAC was designated as the coordinator for all internal investigations and liaison with the New York State Inspector General's Office. OIAC provides internal audit services to both DCJS and its hosted agencies, including the State Commission of Correction, the Crime Victims Board and the Office for the Prevention of Domestic Violence. An agency-wide risk assessment was conducted in 2008 that confirmed the need for management to focus its attention on areas known to have the greatest risk. OIAC management used the risk assessment to guide internal audit plans for 2011, and plans to review and revise the agency-wide risk assessment as needed in 2012.

√ Four major internal audits were completed during 2011: Civil Fingerprint Processing; Sex Offender Address Verification Process; Payroll Practices and Procedures; and Vehicle Use and Assignment. Findings were shared with program managers who implemented corrective actions where needed.

√ Two reviews were completed during 2011: DCJS Cash Advance Account; and Controls over Access to DNA Lab Records.

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 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. During 2008, 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.

√ During 2011, OIAC reviewed 492 agencies that used official criminal history record information (rapsheets), a slight increase from 2010. Nearly 80% of the compliance reviews were self-audits compared to 70% in 2010. Findings were shared with audited agencies for corrective action.

Compliance Reviews of CHRI Users
(Annual)

Year	Reviews
2007	418
2008	418
2009	669
2010	486
2011	492
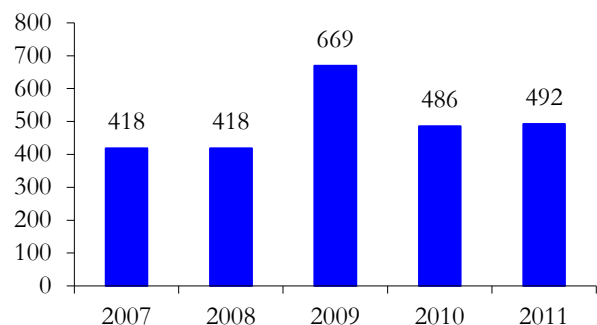
Office of Internal Audit and Compliance

Uniform Crime Reporting Accuracy Reviews

Crime data reported to DCJS by law enforcement agencies becomes part of New York State and national crime statistics. In addition, crime data are summarized by DCJS, and provided to police departments for policy and planning purposes. The accurate reporting of crime data assists law enforcement personnel and administration in tracking patterns and trends, deploying resources, allocating funding and developing appropriate interventions for areas with a high volume of crime. Accurate crime data also is key in gauging the effectiveness of criminal justice programs targeted to crime reduction for certain offenses or geographic areas.

√ During 2011, OIAC initiated reviews of nine agencies reporting crime through the Incident Based Reporting (IBR) system.

DMV Photo Audits

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

√ Nine DMV photo audits were completed during 2011.

Grant Contract Compliance Reviews

DCJS administers nearly 1,500 grant contracts with government, not-for-profit and law enforcement agencies. During 2011, more than $165 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).

Audits of Grant Contracts
(Annual)
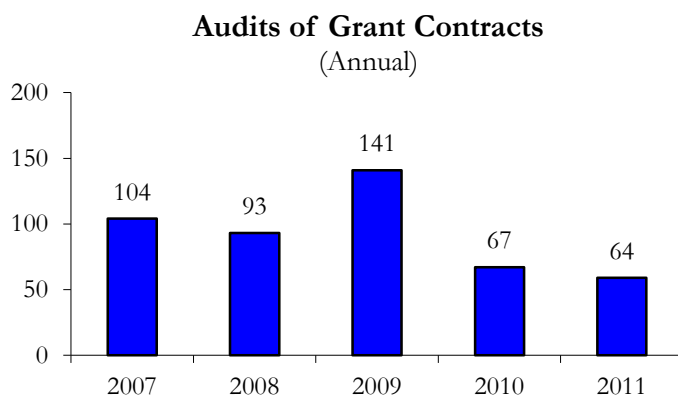
√ During 2011, OIAC conducted 64 fiscal audits of grant contracts with 47 agencies.

Office of Internal Audit and Compliance

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 2011, 97 Single Audit Reports were received and reviewed by OIAC.

Coordination of External Audit Activities

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

√   During 2011, OIAC served as liaison and coordinated responses for four external audits or reviews conducted by either the state Comptroller's Office or federal auditors.

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

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

√   During 2011, OIAC conducted a number of CHRI misuse investigations, including investigation into 49 instances of alleged misuse of CHRI reported by user agencies and private citizens.

√   Follow-up on complaints filed with the Inspector General's Office against DCJS employees, these complaints are referred to the DCJS Commissioner by the Inspector General's Office for internal investigations. OIAC investigated a total of three complaints during 2011. In most cases, OIAC determined that the claims were unfounded.