



# New York State Division of Criminal Justice Services

## 2007 Annual Performance Report

DAVID A. PATERSON  
Governor

DENISE E. O'DONNELL  
Commissioner

Issued August 20, 2008



NEW YORK STATE  
David A. Paterson, Governor

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# New York State Division of Criminal Justice Services 2007 Annual Performance Report

This report provides 2007 information on the performance of the New York State Division of Criminal Justice Services (DCJS). DCJS also publishes a New York State Criminal Justice Report which includes data on all of New York State's criminal justice agencies and several interagency initiatives. Both reports can be accessed at [www.criminaljustice.state.ny.us](http://www.criminaljustice.state.ny.us).

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## DIVISION OF CRIMINAL JUSTICE SERVICES

**Denise E. O'Donnell**  
Commissioner

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**DAVID A. PATERSON  
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**DENISE E. O'DONNELL  
COMMISSIONER**

August 20, 2008

## **Message from the Commissioner**

The Division of Criminal Justice Services is a multi-function criminal justice support agency. Our mission is, "To Enhance Public Safety and Improve Criminal Justice" in New York State. We maintain and continuously update the criminal fingerprint files and the criminal history records of individuals arrested and convicted in New York State. We also run the Office of Sex Offender Management, maintain the Sex Offender Registry, collect and analyze statewide crime data, advise the Governor on programs to improve the effectiveness of New York's justice system, oversee law enforcement training and accreditation programs, operate the DNA Databank and fund many criminal justice programs. Additionally, we support Operation IMPACT and the IMPACT Tools program to reduce crime through intelligence driven policing, crime analysis and enhanced law enforcement coordination. We operate the Missing and Exploited Children Clearinghouse and assist law enforcement through enhanced technology-based systems and programs.

DCJS is a data-driven agency. We compile an enormous amount of data, and share information with law enforcement and the public so they can monitor crime trends and assess the effectiveness of criminal justice programs. We measure such things as crime and arrest activity, prison and jail management, sex offender management and DNA collections. We provide our partners in government and in criminal justice with performance measures, statistics and other data – essentially, the yardsticks with which they, and the public, measure their performance.

In this annual report, however, we look in the mirror. This annual report focuses solely on DCJS agency operations. It is an accounting of how well we do in providing the services that law enforcement and our hosted agencies need to perform their vital functions.

It is a reflection of the hard work of the over 700 full time employees at DCJS who work tirelessly to make New York a safer place to live, raise our families and run our businesses.

A handwritten signature in black ink that reads "Denise E. O'Donnell". The signature is written in a cursive, flowing style.

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# Executive Highlights

This report provides an in-depth look at the functioning of the 10 core offices within the New York State Division of Criminal Justice Services during 2007.

## Office of Criminal Justice Operations (OCJO)

- In 2007, OCJO handled 585,700 arrest fingerprint transactions and met its goal of processing electronically submitted fingerprints within three hours of receipt nearly 100% of the time. Average turnaround time was 30 minutes.
- More than 550,000 civil fingerprints – those submitted in connection with an employment or license application – were processed in 2007, an increase of 24%. This dramatic increase was primarily driven by a law which now requires background checks for nursing home and health care employees.

## Office of Justice Information Services (OJIS)

- In 2007, OJIS made considerable progress in three mission critical, multi-year projects: migration of the agency's mainframe-based criminal history processing systems to a state-of-the-art environment; upgrade of the Statewide Automated Fingerprint Identification System (SAFIS) to eliminate reliance on unsupported hardware and software; and establishment of an integrated portal to merge the New York State Police Information Network (NYSPIN) and eJusticeNY, a secure communications network for law enforcement.
- At the end of 2007, more than 44,000 law enforcement personnel were enrolled in eJusticeNY with access to criminal history data, investigative tools and other information critical to law enforcement. This was a 35% increase in enrollment in 12 months. Staff from more than 1,600 agencies now participate.
- The Customer Contact Center (a 24-hour help desk for customers needing assistance with eJusticeNY, computer operations and other issues) handled 43,500 requests for assistance in 2007, an increase of 41%. The majority of these help calls are from local police agencies.

## Office of Public Safety (OPS)

- Technical support for Operation IMPACT was significantly expanded in 2007 through the establishment of a technical assistance team. The team provided expert assistance with crime analysis, field intelligence and investigative case support, and coordinated seven warrant initiatives within IMPACT jurisdictions.
- More than 160 law enforcement training courses were held around the State, an 11% increase over 2006. DCJS trained over 8,000 law enforcement officers, a 23% increase from 2006.

- Seven law enforcement agencies were accredited in 2007, the largest increase in recent history. As of December 2007, there were 123 accredited police agencies in New York State.
- OPS staff repaired and/or certified 5,600 speed and alcohol detection instruments used by local agencies, with all repairs and certifications completed within two days.

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

- The Sex Offender Management and Treatment Act (SOMTA) enacted in 2007 called for the establishment of OSOM within DCJS. This office was created in 2007.
- During 2007, OSOM conducted 25 training sessions for hundreds of probation officers, judges, court personnel, treatment providers, law enforcement and other professionals.
- Sex offender registry staff conducted 289,000 searches for information on registered sex offenders in response to telephone inquiries, 15% more than in 2006. There were also 24.9 million searches of the public Sex Offender Registry website, 41% more than in 2006.
- Since December 2005, the number of sex offender registrants whose risk level is pending with a court decreased by 59%, ensuring that community notification can occur for high risk sex offenders.

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

- Through December 2007, there have been 4,142 hits against the DNA Databank. Of these, 50% involved sexual assaults, 28% involved burglary investigations, and 10% of the hits were against physical evidence collected in connection with homicide investigations.
- During 2007, OFS reviewed the criminal history records for more than 65,000 offenders who submitted DNA specimen samples.

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

- In 2007, OPDV monitored more than 1,300 active grant contracts. These contracts support critical local programs such as forensic laboratories, sexual assault forensic examiners, motor vehicle theft and insurance fraud prevention, reentry services and coordination, law enforcement and prosecution programs targeting guns and violence, juvenile crime prevention, and domestic violence advocacy programs.
- During 2007, OPDF staff conducted more than 750 site visits to monitor contract performance and ensure that grantee organizations are providing services in accordance with contract terms.
- In 2007, OPDF staff worked to overhaul the State's Sexual Offense Evidence Collection Kit. It will be distributed to hospitals, rape crisis centers and law enforcement agencies in 2008.
- The County Re-entry Task Force Program was expanded to three more sites in 2007.

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

- During 2007, OJRP prepared data and analysis in response to over 600 requests for information, responded to 230 requests for publications and prepared and delivered 21 case specific research files.
- OJRP staff developed and delivered 17 case specific files to support 17 local law enforcement warrant initiatives.
- During the last quarter of 2007, local police agencies reported 90% of their crime data within 30 days, as compared to 80% during 2006. This improvement is due to a new process where staff closely monitor outstanding crime reports and follow-up with police agencies.

## **Office of Administration**

- The Office executed over 1,300 contracts, and distributed over \$120 million to grantees in 2007.
- The Office established a Diversity and Equity Programs Unit in 2007 to help diversify the DCJS workforce.
- Administrative Services saved \$277,900 during 2007 by completing printing and copying jobs in-house.
- During 2007, Administrative Services developed a Continuity of Operations Plan to prepare for emergency situations. The plan includes a hazard analysis, risk reduction procedures, mitigation activities and a response plan.

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

- During 2007, OLS improved the Crimes Against Revenue Program by working with district attorneys' offices to assist and encourage the prosecution of individuals and entities that deliberately fail to pay tax obligations. Nearly \$7 million was collected.
- OLS participated in 14 human trafficking training sessions in 2007 to educate law enforcement officials regarding the new human trafficking legislation, including the new Penal Law trafficking offenses and the human trafficking victim confirmation process.

## **Office of Audit and Compliance**

- During 2007, the Office of Audit and Compliance conducted 104 fiscal audits of grant contracts and recommended recovery of over \$70,000 in expenditures; reviewed operations in 418 agencies that used criminal history record information (rapsheets); and reviewed operations in 10 courts to verify the accuracy of dispositions reported to DCJS.



**2007**  
**Annual**  
**DCJS Performance Report**

# Office of Criminal Justice Operations

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## Mission

To provide timely and accurate fingerprint identification and criminal history records to authorized agencies, and to support and promote child safety in New York State.

## Scope of Operations

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

- **Bureaus of Criminal and Civil Identification** – Processes fingerprint transactions associated with misdemeanor and felony arrests, incarcerations and criminal justice-related inquiries. This unit also processes fingerprint transactions associated with applications for certain occupations or licenses that require a criminal history background check pursuant to State statute or local law.
- **Latent Print Unit** - Receives latent crime-scene prints from law enforcement agencies across the State and from other parts of the country, and searches them electronically using the Statewide Automated Fingerprint Identification System (SAFIS) technology against a special database of fingerprint images. This unit attempts to identify the persons to whom the latent prints belong as part of criminal investigations by law enforcement agencies.
- **Records Management Bureau** - Supports the Administrative Functions, Case Disposition and Record Sealing, Records Review, and Central Files. This unit is responsible for maintaining the accuracy and completeness of the State's criminal history database.
- **Wanted and Missing Services** - Includes the New York State Missing and Exploited Children Clearinghouse (MECC), Operation SAFE CHILD and the Most Wanted program.

## Key Public Service Areas

- Provide criminal history information to criminal justice agencies and other agencies authorized by law;
- Provide positive identification of individuals through the processing of fingerprint impressions;
- Promote child safety through public education and outreach;
- Maintain the statewide missing and unidentified person databases and the missing children registry, including the Operation SAFE CHILD records.

## Critical Objectives

- Provide criminal history record information quickly and accurately;
- Process criminal fingerprints received electronically within 3 hours of receipt;
- Increase public awareness of child safety through the DCJS website and distribution of publications;
- Reduce the number of missing children in New York State and support the safe return of missing children.

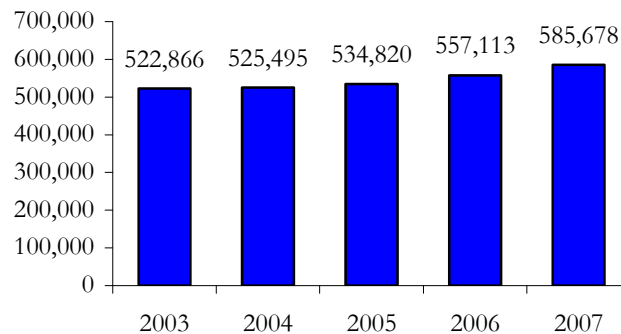
# Office of Criminal Justice Operations

## Arrest Fingerprint Processing

DCJS 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. Arrest, civil and crime scene fingerprints are processed against databases of 44 million fingerprint images. When an arrest is made, fingerprints are submitted to DCJS by the arresting agency. 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 three hours of receipt. This allows courts to use the positive identification of offenders, past criminal histories, and any warrant information for arraignment and bail determinations.

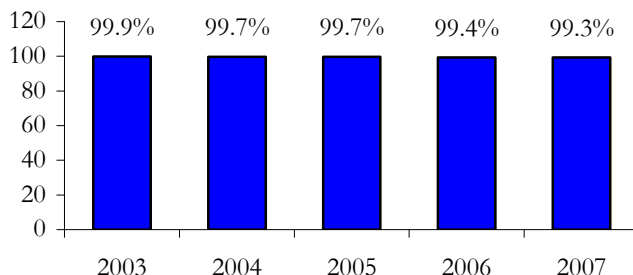
- ✓ During 2007, 585,678 arrest fingerprint transactions were submitted. Of these, 514,101 were submitted electronically to DCJS, a 9% increase from 2006.
- ✓ An additional 144,297 fingerprint-based requests for criminal histories were processed by OCJO. These submissions were made for offenders who were incarcerated, on parole or probation, or for other inquiries.

**Arrest Fingerprints Submitted**  
(annual)



OCJO has established a target to process all arrest fingerprints submitted electronically within three hours of receipt. When arrests are submitted electronically, rapsheets can be returned quickly to the arresting agencies and the courts of arraignment, ensuring the offender is positively identified and his or her criminal history is reviewed prior to arraignment.

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



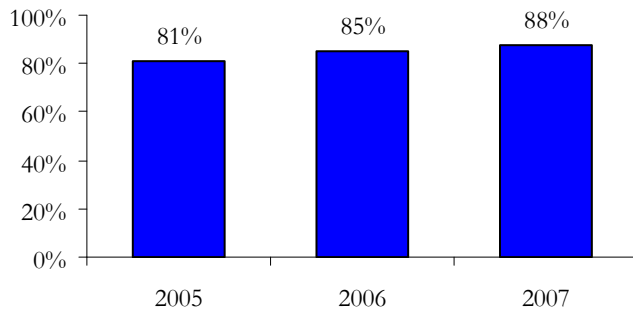
- ✓ In 2007, nearly 100% of electronic submissions were processed within 3 hours of receipt, with an average turnaround time of 30 minutes.

# Office of Criminal Justice Operations

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To reduce processing time and improve the quality of fingerprint searches, DCJS developed and implemented the Store and Forward Initiative. Store and Forward is an electronic interface that links remote fingerprinting sites to the Division's Statewide Automated Fingerprint Identification System (SAFIS).

**Percent of Arrest Fingerprints Submitted Electronically**  
(annual)



Data prior to 2005 not available.

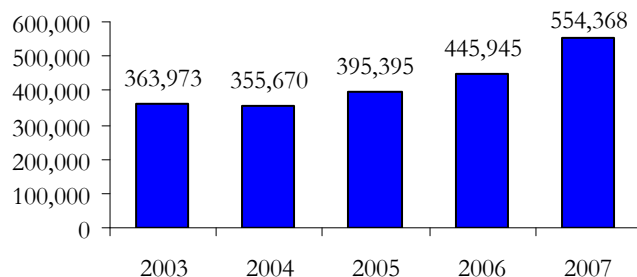
- ✓ DCJS increased the percentage of electronic fingerprint submissions in 2007 to 88%. As of December 2007, 218 law enforcement agencies have Store and Forward capability, an increase of 16 agencies during 2007.
- ✓ While arrest fingerprint workload is up significantly in 2007 (+28,000 additional arrest fingerprints), the number of mailed-in prints has decreased by nearly 14,000. The number of arrest fingerprints submitted electronically is up by over 44,000 as compared to 2006.

## Civil Fingerprint Processing

OCJO processes fingerprint submissions that are associated with applications for certain occupations or licenses that require a criminal history background check pursuant to State statute or local law. Applicant fingerprint submissions are forwarded to DCJS from more than 550 agencies 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 ensure 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. In 2006, the Public Health Law was amended to require fingerprint supported criminal history checks for prospective nursing home and home health care agency employees, resulting in a significant workload increase.

- ✓ There were 554,368 civil fingerprint transactions submitted, an increase of 24% as compared to 2006.
- ✓ Civil fingerprints were processed with an average turnaround time of 1 day.

**Civil Fingerprints Transactions Submitted**  
(annual)

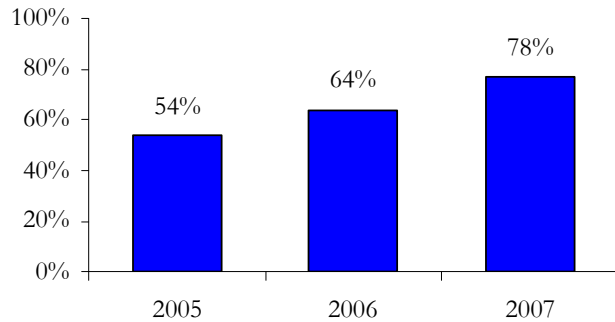


# Office of Criminal Justice Operations

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## Percent of Civil Fingerprints Submitted Electronically

(annual)



Data prior to 2005 not available.

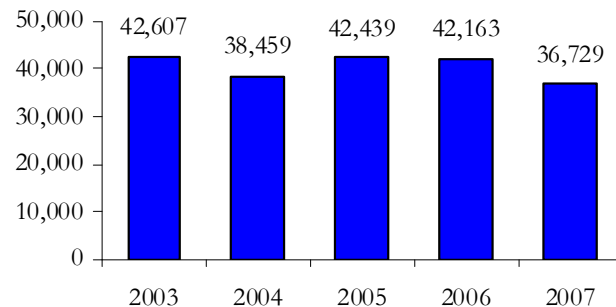
- ✓ In 2007, 78% of all civil fingerprints submitted were submitted electronically, as compared to 64% in 2006.
- ✓ While civil fingerprint workload is up substantially in 2007 (+108,000 additional prints), the number of mailed-in prints is down by nearly 45,000.

## Crime Scene Print Processing

DCJS serves as the State's Central SAFIS site among 20 regional sites networked to SAFIS across the State. OCJO 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 database of over 28 million fingerprint images at DCJS in an effort to positively identify the individual who left the prints. Crime scene prints are also searched against the FBI fingerprint database of over 500 million fingerprint images on behalf of law enforcement agencies across the State. DCJS remains one of the top states in the country in the number of latent print identifications made against the FBI's database. In addition to processing crime scene fingerprints, OCJO searches crime scene palm prints against the New York City Police Department's (NYPD) automated palm print database and provides technical and production assistance to other sites when required. The office also oversees the certification process and annual proficiency examination for Latent Print Examiners across the State.

## Crime Scene Searches Conducted Against DCJS Database

(annual)

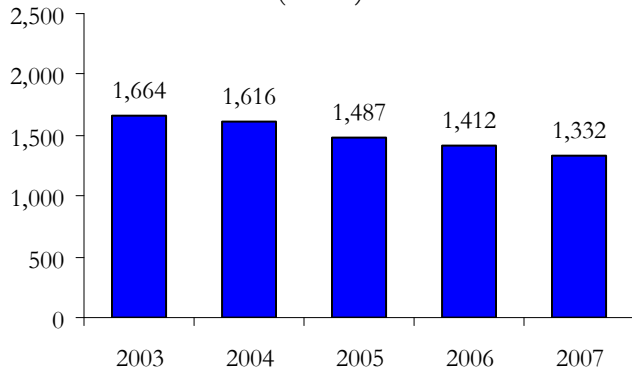


- ✓ During 2007, 36,729 crime scene print searches were conducted against the DCJS database, a decrease (-13%) from 2006.

# Office of Criminal Justice Operations

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**Crime Scene Fingerprint Hits  
Against DCJS Database**  
(annual)



- ✓ During 2007, DCJS and the Regional SAFIS sites positively identified 1,332 crime scene fingerprints. Since the inception of SAFIS, 22,040 crime scene fingerprint identifications have been made.
- ✓ OCJO conducted 10,752 crime scene fingerprint searches against the FBI database and positively identified an additional 109 crime scene fingerprints during 2007.

- ✓ DCJS also conducted 861 crime scene searches against the NYPD Palm Print database and positively identified five crime scene palm prints during 2007.

## Fingerprint Training

Training on fingerprint collection is critically important. If fingerprints are not taken properly, they cannot be matched against criminal history records. To ensure that individuals are skilled in the proper fingerprint collection techniques, OCJO staff regularly provide training on fingerprinting essentials to law enforcement. Personnel from other State and local agencies, which 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. Classes are also provided on latent print collection, analysis, comparison, evaluation and verification, in addition to searching and expert court testimony.

- ✓ During 2007, OCJO provided training to 713 personnel from numerous State and local agencies.

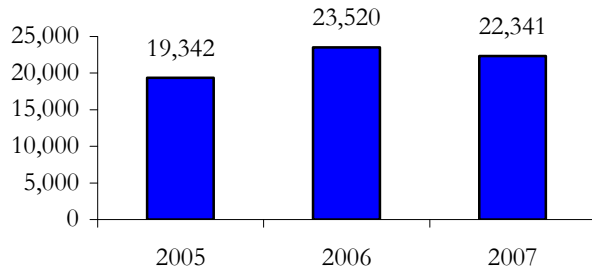
## Records Management

DCJS affirms the right of an individual to review and challenge his or her own criminal history record information (CHRI). There are two types of record reviews: a *Public Record Review* requiring fingerprints and a processing fee, and an *Inmate Record Review* which is provided free of charge to incarcerated individuals. Following an individual's review, he or she may challenge the accuracy or completeness of criminal history record information through an appeal process.

# Office of Criminal Justice Operations

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**Record Reviews Conducted**  
(annual)



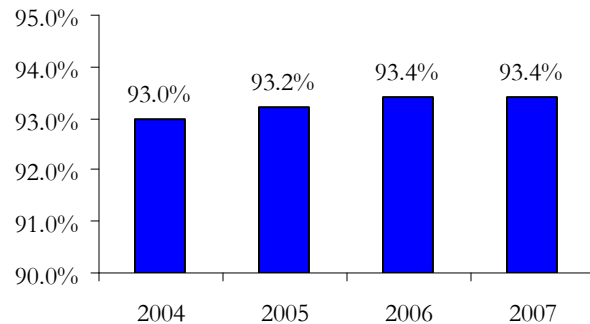
- ✓ During 2007, a total of 22,341 Record Reviews were completed, a decrease of 5% compared to 2006.
- ✓ Of the 22,341 reviews completed, 64% were Inmate Record Reviews and 36% were Public Record Reviews.

## 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 on file. OCJO continually works to improve the quality of criminal history information through its training efforts. During 2007, training efforts were primarily focused on the proper completion of Criminal Disposition Reports.

- ✓ Two training sessions were held during 2007, involving 320 town and village court clerks.

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



- ✓ The number of all arrest events with a final disposition on the criminal history file has not changed in the past year, and is now at 93.4%.

# Office of Criminal Justice Operations

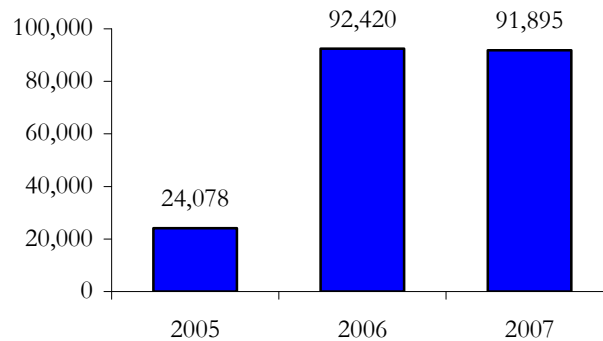
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## Operation SAFE CHILD

During 2005, the Operation SAFE CHILD program was implemented to raise awareness about child safety. Through a partnership with the New York State Police, New York State Sheriffs' Association, New York State Association of Chiefs of Police, DCJS and 47 local law enforcement agencies, Operation SAFE CHILD cards are provided to parents and guardians throughout the State. These wallet-size cards contain a photograph, physical description information and fingerprint images of the child.

Each SAFE CHILD partner has a goal to retain at least 90% of the records it processes. Records can only be retained with written consent of a parent or legal guardian. With consent, DCJS electronically stores the information on a secure server in the Missing and Exploited Children Clearinghouse at DCJS. Having this basic biographical information and photograph on file allows parents to immediately provide important details to police agencies investigating a child's disappearance, information that is critical to expediting the return of a missing child.

**Operation SAFE CHILD  
Children Processed**  
(annual)



- ✓ In 2007, a total of 91,895 SAFE CHILD records were processed, a decrease (-1%) as compared to 2006.
- ✓ DCJS has retained 93% (233,450) of the 251,505 records processed through Operation SAFE CHILD.

### Training

OCJO staff provided Operation SAFE CHILD training to law enforcement personnel throughout 2007. Law enforcement officers received training on the operation of the Livescan technology (Livescan is an inkless electronic fingerprinting system) and the processing of SAFE CHILD records.

- ✓ During 2007, 63 law enforcement officers from SAFE CHILD partner agencies were trained.

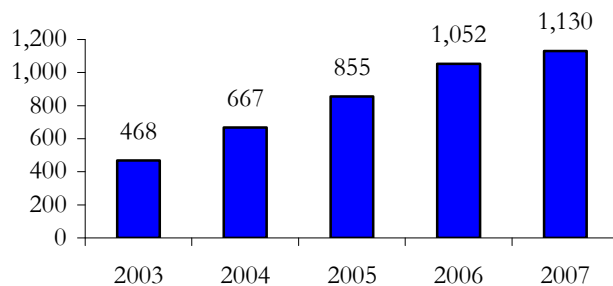


# Office of Criminal Justice Operations

## Missing and Exploited Children Clearinghouse (MECC)

The Missing and Exploited Children Clearinghouse (MECC) was established by law to provide investigative support services for law enforcement agencies in connection with missing children cases, assistance to the family members of missing children, the delivery of community-based education programs to heighten awareness of the issue of missing children, and to reduce the incidence of missing children cases. MECC also administers the mandated statewide Missing Children Register repository. The number of cases referred to MECC for case management assistance to family members and investigative support to law enforcement has been increasing each year since 2003.

**Missing NYS Children Referred to MECC for Assistance**  
(annual)

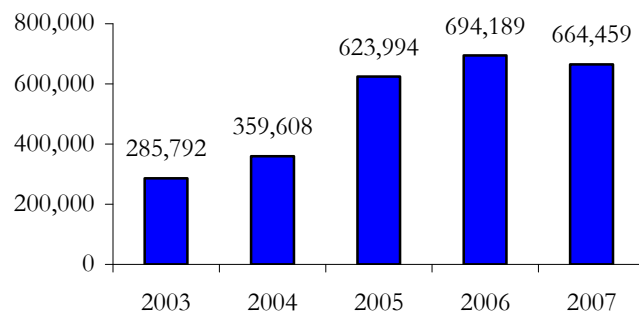


- ✓ Since 2003, the number of children referred to MECC has increased steadily.
- ✓ In 2007, the number of cases referred to MECC for assistance increased 7% as compared to 2006.
- ✓ At the end of 2007, a total of 162 MECC cases were still active or pending, compared to 122 at the end of 2006.

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

**DCJS /MECC Web Hits**  
(annual)

- ✓ The number of web hits to the DCJS/MECC website increased between 2003 and 2006. Web hits declined slightly (-4%) in 2007.



# Office of Criminal Justice Operations

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## Training

To reduce crimes against children and promote child safety, MECC conducts presentations at community events and conferences throughout the State.

### MECC Presentations

(annual)

<b>Presentations</b>	<b>2006</b>	<b>2007</b>
Internet Safety for Parents	718	869
Internet Safety for Children	2,933	3,577
Train the Presenter for Internet Safety	123	110
Internet Safety for Teachers	--	577
Violent Video Presentation	0	50
<b>Total Attendees</b>	<b>3,774</b>	<b>5,183</b>

- √ During 2007, MECC staff made presentations to 5,183 parents, children, teachers, and law enforcement, 37% increase from 2006.

MECC also develops missing/abducted investigative strategies for police training programs.

### MECC Training Officers Trained

(annual)

<b>Training</b>	<b>2006</b>	<b>2007</b>
Missing Child Investigations for Law Enforcement	50	319
NYS AMBER Alert Program for Law Enforcement	70	160
Missing and Abducted Children for First Responders and Initial Investigators	110	--
NCMEC International Missing/Abducted Children	75	--
<b>Total Law Enforcement Officers Trained During</b>	<b>305</b>	<b>479</b>

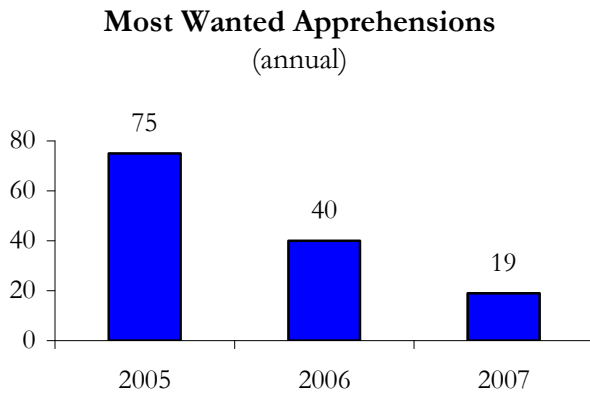
- √ A total of 479 police officers were trained in 2007.

# Office of Criminal Justice Operations

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## Most Wanted

In 2005, DCJS developed the Most Wanted webpage in an effort to increase citizen participation in identifying and locating New York's most dangerous fugitives. The webpage contains photos and criminal biographical information as well as apprehension status of fugitives. DCJS monitors apprehensions, website hits, and calls to the 800 toll-free telephone number.



- ✓ During 2007, there were 19 apprehensions, as compared to 40 apprehensions in 2006.
- ✓ The number of Web hits decreased by 37%, from 1.4 million in 2006 to 0.8 million in 2007.
- ✓ The number of tips line calls decreased 29%, from 79 in 2006 to 56 in 2007.

# Office of Justice Information Services

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## Mission

To provide information technology services to the Division of Criminal Justice Services and its client agencies.

## Scope of Operations

The Office of Justice Information Services (OJIS) provides support for all users of technology within the Division of Criminal Justice Services, the Division of Probation and Correctional Alternatives, the Crime Victims Board, the Office for the Prevention of Domestic Violence, the State Commission of Correction, and the Board of Examiners of Sex Offenders. In addition, OJIS provides support for systems and software used by local criminal justice agencies. The Office of Justice Information Services includes six program areas:

- **Enterprise Development** supports the business functions and needs of DCJS by providing timely, accurate and complete data through efficient, effective and creative use of technology. Enterprise Development consists of three groups:
  - **Systems Transformation** - Provides large project development and analysis.
  - **Application Development and Support** provides project development and production support.
  - **Business Intelligence and Data Share** - Provides development and support of business intelligence and data share initiatives.
- **Technology Services** is responsible for providing technical infrastructure and support services for the agency. Staff is responsible for developing, maintaining and operating 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, and also supports the DCJS websites. Customer Service consists of three groups:
  - **Training and Support** - Works with local, state and federal criminal justice partners to enroll, train and support more than 45,000 users.
  - **Web Services** - Works with DCJS Offices, the Public Information Office and other criminal justice partners to provide an accurate and easy to navigate web site for the criminal justice community and the public.
  - **Customer Contact Center (CCC)** - Serves as the face of the agency, answering questions on DCJS information systems. It also answers questions from the public by serving as the off-hours contact point for the Sex Offender Registry. Additionally, CCC is the Help Desk for the eJusticeNY Integrated Justice Portal. CCC activity associated with the Portal Help Desk will increase significantly in the next two years as more services are added to the Portal.
- The **Project Management Office (PMO)** is responsible for Project Portfolio Management, development and promotion of DCJS' Project Management System and the effective use of IT resources. The PMO also provides or coordinates project management training and mentoring.
- The **Information Security Office** is responsible for implementing and supporting policies and procedures which protect the confidentiality, integrity, and availability of the Division's information and data resources. Areas of responsibility include: access control policies, information security testing and evaluation, ensuring compliance with Federal, State, and DCJS Policies, implementing and administering an information security risk assessment program, and ensuring that hardware and software in use meets current security requirements.

# Office of Justice Information Services

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- **Systems Planning and Standards** coordinates the Office budget and procurement of IT hardware, software and consulting services, including contract management. The group is also responsible for the identification, procurement and management of federal funding to support information technology initiatives.

## **Key Public Service Areas**

- Ensure uninterrupted operation of critical criminal justice technology systems for users statewide;
- Provide training and support services to all users of DCJS systems;
- Develop and support applications for customers.

## **Critical Objectives**

- Increase the number of criminal justice agencies enrolled in and using *eJusticeNY*;
- Provide software and applications programs that enhance the ability of criminal justice agencies to reduce crime;
- Provide support to all users of DCJS systems;
- Ensure uninterrupted operation of mainframe, network, and website operations;
- Ensure alignment of IT resources with agency priorities through project management.

# Office of Justice Information Services

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## Priority Initiatives

In 2007, three critical, multi-year projects were supported by significant agency information technology resources. These initiatives are all key to meeting the DCJS core mission of providing fingerprint identification services, criminal histories and other critical criminal justice information to all of New York's law enforcement agencies.

### Migrate Mainframe Systems

DCJS is migrating its mainframe application processing systems to a new platform. This multi-year effort will move the agency's complex mainframe-based criminal history processing systems to a state-of-the-art service oriented environment. The systems, which currently run on outdated, unsupported hardware and software, support the core DCJS functions of 24-hour fingerprint processing and the provision of criminal histories (rapsheets) to law enforcement. It is expected that migration to the new systems will be completed in 2009.

### Replace SAFIS System

A critical upgrade to the Statewide Automated Fingerprint Identification System (SAFIS) is underway, which will replace outdated systems with technology that will eliminate reliance on unsupported hardware and software. DCJS' current fingerprint system, which was established nearly 20 years ago, now processes more than one million fingerprint transactions annually. This multi-year upgrade was initiated in 2007 with the completion of the project specifications and procurement strategy. Based on this strategy, and a competitive RFP process initiated earlier this year, it is anticipated that the successful bidder will begin work in January 2009.

### Establish Integrated Portal

Since 2006, DCJS has been working with the New York State Police to implement an integrated portal that will merge the New York State Police Information Network (NYSPIN) and eJusticeNY to provide secure law enforcement information. In 2007, the second release of major functionality in the eJusticeNY Integrated Justice Portal went into production, providing members of New York's criminal justice community with newly accessible and enhanced capabilities. The Portal now provides a single secure point of access to the State Commission of Correction Daily Population Count application, the Department of Correctional Services State Ready application, the upgraded New York State Intelligence Center, and the NYS Office of Homeland Security site. The next major release through the integrated portal will be the NYSPIN upgrade scheduled to occur in the last quarter of 2008.

# Office of Justice Information Services

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## eJusticeNY

eJusticeNY provides law enforcement with essential operational support, data, and management information through a secure communications network. Through eJusticeNY, “one-stop shopping” provides 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.

### Features and Enhancements to eJusticeNY and Integrated Portal

During 2007, OJIS staff worked closely with DCJS program managers to develop new features on eJusticeNY to improve support services for law enforcement. All development is done in anticipation of full integration of eJusticeNY and the Integrated Portal.

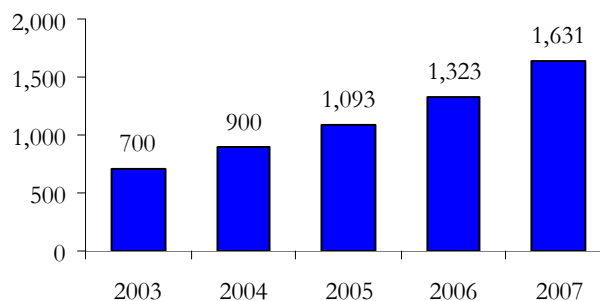
- ✓ **Sex Offender Address Confirmation** - This new function automates the tracking of sex offenders who have not submitted their annual address verification. Law enforcement agencies can report back to DCJS electronically on the address status of a sex offender after their investigation. This new feature provides an efficient way for DCJS and local agencies to communicate, and ensure that sex offenders comply with the law.
- ✓ **Civil Management of Sex Offenders** - This new suite provides a centralized database to improve the tracking of sex offenders who are assessed for civil confinement as required by the Sex Offender Management and Treatment Act. Under the legislation enacted in 2007, the Department of Correctional Services, the Office of Mental Health, the Division of Criminal Justice Services and the Office of the Attorney General all play a role in civil management cases.

### Enrollments and Usage

During the past two years, DCJS has been working to expand eJusticeNY access in anticipation of the rollout of the eJusticeNY Integrated Justice Portal. DCJS closely monitors law enforcement enrollments in eJusticeNY, and uses the number of arrests submitted by each police department as a way to gauge department size/activity.

#### Agencies Enrolled in eJusticeNY

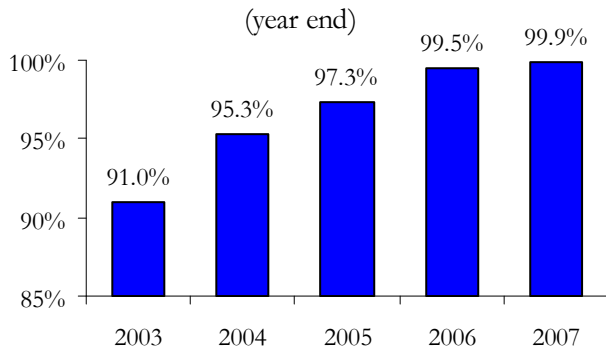
(year end)



- ✓ During 2007, a total of 308 new agencies enrolled in eJusticeNY, bringing total enrollments to 1,631 agencies.
- ✓ Of the 308 new agencies, 80 were law enforcement agencies. Law enforcement agencies include local police departments, sheriffs’ offices with policing responsibilities, and the State Police.

# Office of Justice Information Services

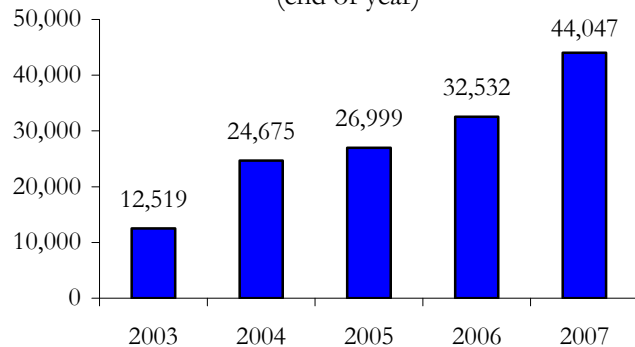
## % of Statewide Arrests Represented by Law Enforcement Agencies Enrolled in eJusticeNY



✓ The percent of statewide arrests represented by law enforcement agencies enrolled in eJusticeNY at the end of December 2007 was 99.9%. Virtually every police agency now has eJusticeNY access.

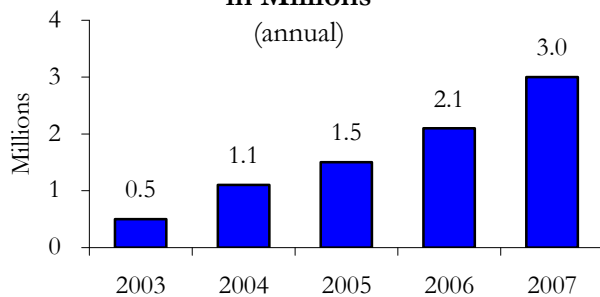
DCJS closely monitors the number of individuals enrolled in eJusticeNY as well as eJusticeNY usage of enrolled agencies. Users electronically search eJusticeNY for comprehensive criminal history information by using either the offender's name or New York State Identification Number (NYSID). A rapsheet, including the photo taken at last arrest, is returned to the user when an inquiry matches a criminal history record. Inquires are conducted in the course of criminal investigations.

## Individuals Enrolled in eJusticeNY (end of year)



✓ The number of individuals enrolled in eJusticeNY increased by 35% between 2006 and 2007, with 44,047 individuals enrolled by December 2007.

## Total Offender Inquiries in Millions (annual)



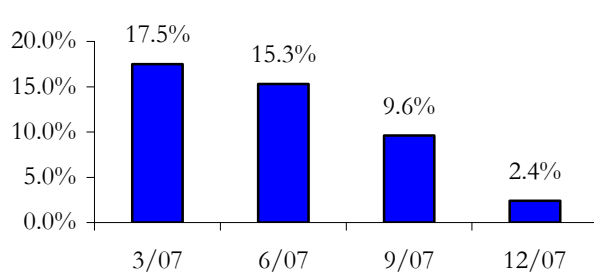
✓ eJusticeNY inquiries continued to increase dramatically in 2007. A total of 3 million inquiries were conducted in 2007, an increase of 43% compared to 2006.



# Office of Justice Information Services

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. Once eJusticeNY began to be phased-in, users could run a rapsheet that included a photo and was more user-friendly. As part of the new Portal, all rapsheets will be run through eJusticeNY and include a photo. In 2007, DCJS and New York State Police worked to ensure that customers move over to eJusticeNY to run their rapsheets, and discontinue using NYSPIN to run the old style rapsheets. To monitor the transition, DCJS established a goal to reduce the percentage of rapsheets being run through NYSPIN to 6% by the end of 2007. During 2007, significant progress was made in moving criminal justice agencies from using NYSPIN to generate criminal history information (rapsheets) to using eJusticeNY.

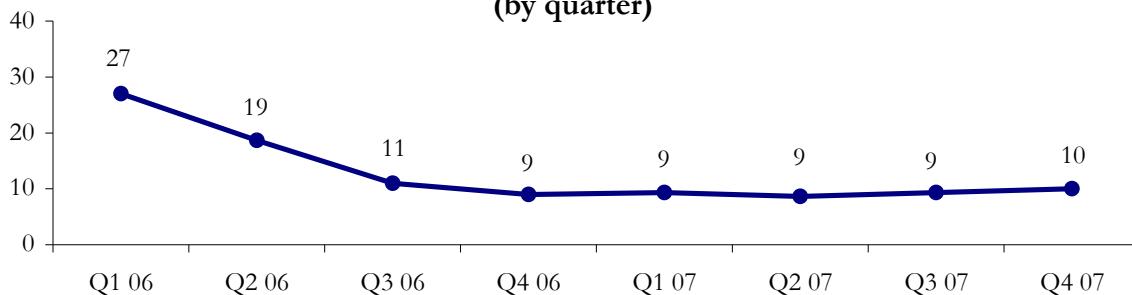
**Rapsheets  
eJusticeNY vs Mainframe**  
(by end of month)



✓ By December 2007, only 2.4% of rapsheets were run through NYSPIN, a significant decrease from March 2007.

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 new eJusticeNY releases and functionality. The average response time is the time (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.

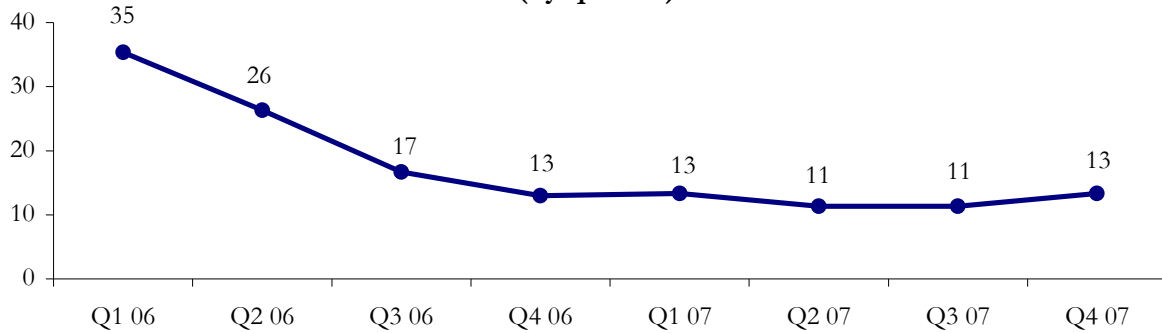
**eJusticeNY Average Response Time  
Rapsheet Requests in Seconds**  
(by quarter)



✓ Average response times to generate a rapsheet consistently ranged between 9 and 10 seconds in 2007, down significantly from 2006 when it ranged from 9 to 27 seconds.

# Office of Justice Information Services

**eJusticeNY Average Response Time  
Name Search Inquiries in Seconds  
(by quarter)**

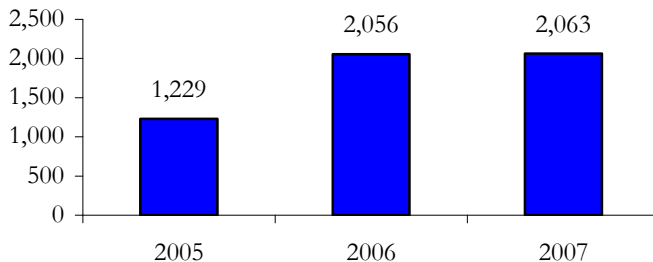


✓ The average response time for name search inquiries was consistently 13 seconds or less during 2007, as compared to 2006 when it ranged from 13 to 35 seconds.

## 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 services all eJusticeNY customers; see page 20 of this report). In 2007, DCJS again trained over 2,000 staff outside DCJS in the use of eJusticeNY.

**eJusticeNY  
Participants Trained  
(annual)**



✓ A total of 2,063 personnel were trained in the use of eJusticeNY in 2007.

Data prior to 2005 not available.

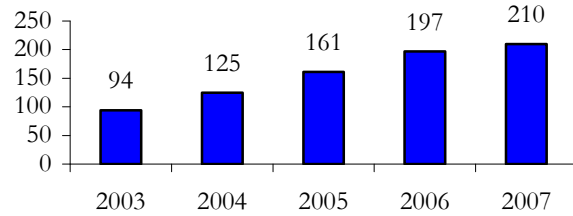
## Store and Forward

DCJS developed and implemented Store and Forward to reduce arrest and fingerprint processing time and improve the quality of fingerprint searches. Store and Forward is an electronic interface that links remote fingerprinting sites to the Division's Statewide Automated Fingerprint Identification system (SAFIS). Agencies that process fingerprints through Store and Forward transmit arrest fingerprint images and mug shots electronically to DCJS and receive a full criminal history (rapsheet) in time for offender arraignment, which is key to public safety.

# Office of Justice Information Services

✓ DCJS has made steady progress in increasing the number of agencies participating in Store and Forward over the past six years. As of December 2007, 210 law enforcement agencies had Store and Forward capability, an increase of 13 agencies as compared to 2006.

**Law Enforcement Agencies Participating in Store and Forward**  
(end of year)



## Mainframe System Operations

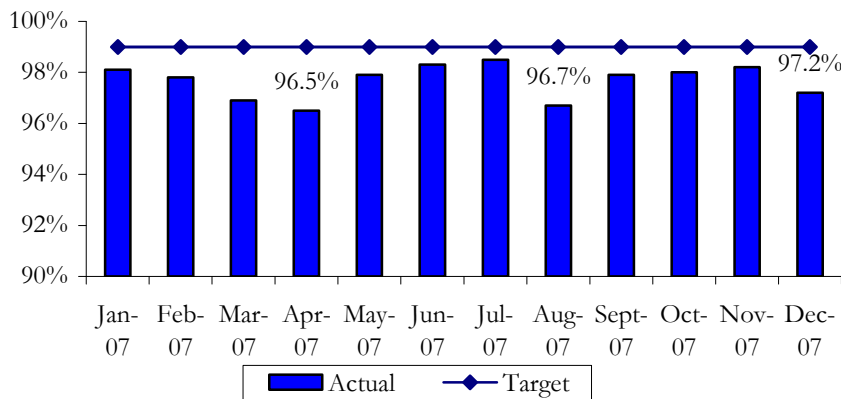
Uptime is monitored for four agency systems: eJusticeNY, DCJS Mainframe, CXL (SAFIS), and IXL (SAFIS). A goal of 99% of uptime has been established for the four main agency systems.

eJusticeNY provides law enforcement with essential operational support, data, and management information through a secure communications network.

**eJusticeNY Uptime**

(by month)

Target = 99%



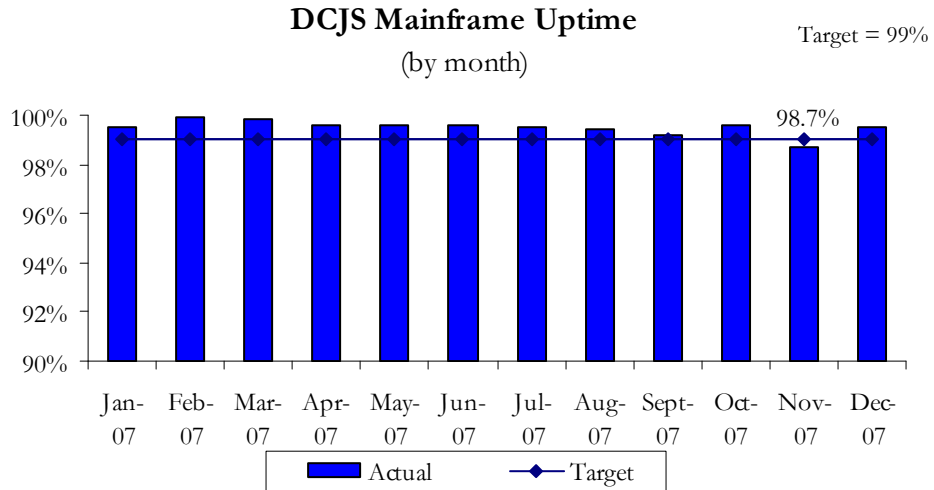
✓ eJusticeNY uptime remained slightly below the 99% target in 2007. DCJS is working to improve uptime through software upgrades.

**DCJS Mainframe** is a legacy system that had served as the principal computer platform for DCJS databases and interface with outside agencies up until the mid-1990s. Since then, much of the functionality on the mainframe has been migrated to a new three-tiered client server architecture. This migration process is expected to be completed within the next two years. In the interim, the

# Office of Justice Information Services

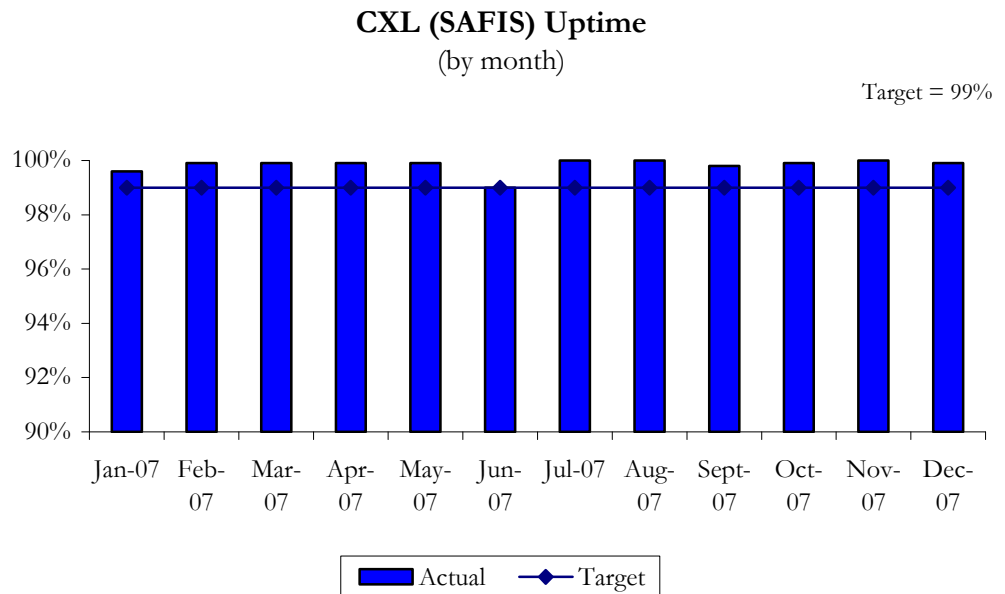
mainframe serves as the processing engine for a number of critical programs including the Automated Fingerprint Identification System (AFIS). It also serves as the system for processing court dispositions and National Crime Information Center services.

√ During 11 of the past 12 months, DCJS Mainframe uptime has met or exceeded the 99% goal.



**CXL SAFIS** is the information system for identification processing of crime scene (latent) prints against a subset of the fingerprint images maintained on the IXL (all criminal prints). CXL SAFIS maintains electronic images of all ten fingers for each record for searching. CXL searches can be generated by DCJS staff and by staff in criminal justice agencies that run the regional CXL units.

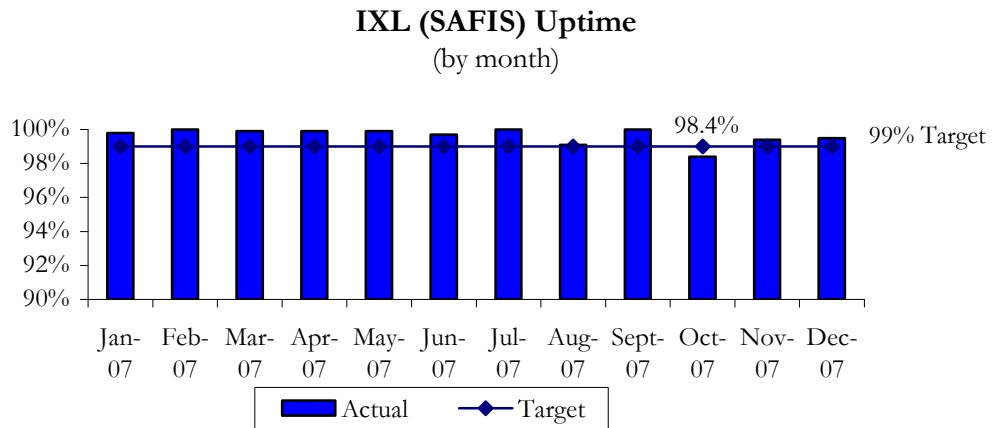
√ During 2007, OJIS consistently met or exceeded its goal of 99% uptime for CXL (SAFIS).



# Office of Justice Information Services

**IXL (SAFIS)** is the information system responsible for the identification processing of all fingerprint submissions received from authorized civil and criminal contributors. IXL receives electronic input from agencies submitting through the Store and Forward system and from hard copy fingerprint cards mailed into DCJS and loaded into SAFIS. Many Store and Forward sites now electronically submit images into SAFIS using the Gateway Service Provider (GSP) eliminating a prior step whereby the prints had to be printed and manually re-acquired into SAFIS. IXL SAFIS uses two fingers in its searching process and includes every fingerprint record maintained by DCJS.

√ Over 11 of the past 12 months, OJIS has met or exceeded its goal of 99% uptime for IXL SAFIS.



## Customer Contact Center

The Customer Contact Center (CCC) is the 24-hour help desk service for customers who need assistance with software, computer operations, and other operational issues. CCC supports customers within DCJS, agencies hosted by DCJS, and law enforcement agencies throughout the State. CCC acts as a gatekeeper and relies on other operational areas to resolve many technical problems. Calls are triaged by CCC staff. Many of the problems are resolved by CCC staff and are not assigned to an operational area for resolution. In 2007, there were significant increases in the workload for this unit.

**Calls and Requests Received by CCC**  
(annual)

	2004	2005	2006	2007	06 vs 07 % Change
DCJS	10,813	11,220	11,722	14,528	24%
External Agencies	9,444	13,305	19,024	28,940	52%
Total	20,257	24,525	30,746	43,468	41%

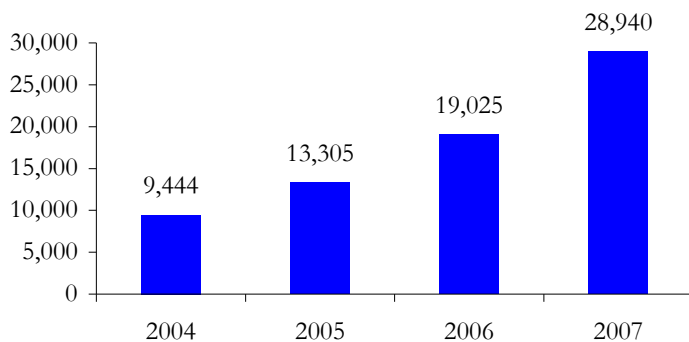
Data prior to 2004 not available

# Office of Justice Information Services

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- ✓ Since 2004, the total number of calls handled by CCC has increased each year, with a 41% increase between 2006 and 2007. Significant increases were shown for both internal requests and those from external law enforcement agencies now using eJusticeNY.
- ✓ During 2007, 67% of the calls handled by CCC originated from outside DCJS.

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



- ✓ The volume of calls originating from law enforcement agencies totaled 28,940 in 2007, a 52% increase from 2006.

Calls that cannot be resolved by CCC staff are assigned to the appropriate IT operational area. Of the 43,468 calls made to CCC during 2007, 35,697 resulted in a CCC ticket. CCC classifies tickets into one of four priorities. Each priority has a specific response time goal. Response time 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 which impact a large number of users and where no workaround exists. Prior to May 2006, Priority 1 tickets included problems reported by Executive staff.

**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 2-5 users, or users unable to log on to the Novell network. In June 2006, this category was expanded to include problems impacting Executive Staff.

**Priority 3 & 4 Tickets** – CCC seeks to respond to all Priority 3 and 4 tickets within 8 business hours. Problems are classified as Priority 3 and 4 when a temporary workaround exists and there is no immediate urgency.

# Office of Justice Information Services

## CCC – Tickets Opened (annual)

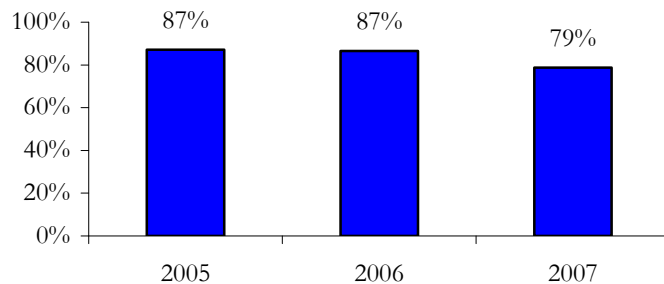
Ticket	2004	2005	2006	2007	06 vs 07 % Change
Priority 1	668	294	462	683	48%
Priority 2	750	1,055	1,408	1,574	12%
Priority 3 & 4	18,839	23,176	28,876	41,211	43%
Total	20,257	24,525	30,746	43,468	41%

2004 and 2005 breakout is estimated.

✓ During 2007, CCC opened 43,468 tickets, a 41% increase over 2006.

✓ Overall, CCC responded to 79% of all tickets on-time during 2007. While response time is down from 87% in 2006, workload increased significantly during this same period (+62%).

### Percent of Tickets Responded to On-time



## 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 the agency's priorities. The PMO monitors all Information Technology projects.

When a project requires a significant amount of IT resources or has major policy implications, a comprehensive analysis called a Business Case must be prepared and submitted. Business Cases are submitted by DCJS and hosted agency executive staff. Project size can range from a request that involves 80 hours of staff effort to a multi-million dollar project which involves months or years of effort. Projects must be reviewed and approved by the IT Executive Review Board before work can begin.

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.

# Office of Justice Information Services

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## Business Cases (annual)

	2006	2007
Reviewed	25	17
Approved	24	15

Between 7/05-12/05, 11 cases reviewed, 9 approved.

## Service Requests (annual)

	2006	2007
Submitted	155	159
Approved	120	119
Completed	93	109

- ✓ Since July 2005, the IT Executive Review Board has formally considered 53 Business Cases for major projects. Of these, 48 were approved.
- ✓ During 2007, the PMO reviewed and approved 119 Service Requests submitted by DCJS, the Board of Examiners of Sex Offenders, Division of Probation and Correctional Alternatives, the Office of Court Administration, and other agencies.
- ✓ OJIS completed and delivered 109 Service Requests to customers in 2007.



# Office of Public Safety

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## Mission

To provide training, technical assistance and support to increase the effectiveness of law enforcement, public safety and security organizations within New York State.

## Scope of Operations

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

- The **Operation IMPACT Team** - Coordinates New York State's comprehensive crime fighting program designed to achieve crime reduction through data-driven strategies. Established in 2004, Operation IMPACT supports crime reduction within the 17 counties which account for 80 percent of the crime reported outside New York City. Staff support includes project management and training in the areas of crime analysis, field intelligence, and investigations. The IMPACT counties are: Albany, Broome, Chautauqua, Dutchess, Erie, Monroe, Nassau, Niagara, Oneida, Onondaga, Orange, Rensselaer, Rockland, Schenectady, Suffolk, Ulster, and Westchester.
- The **Technical Assistance Team** - Provides expert technical assistance in the areas of crime analysis, field intelligence, investigative support and crime reduction to the IMPACT jurisdictions. This team is also responsible for implementing local Crime Analysis Centers in Buffalo, Rochester and Syracuse. The mission of the centers is to provide a centrally located unit which conducts in-depth analysis of all county crime incident data.
- **Program Services** - Coordinates and delivers police officer training in such areas as criminal investigation, crime analysis, field intelligence, traffic safety, law enforcement skills, youth services and management. It is also responsible for administration of the Law Enforcement Accreditation Program.
- **Administrative Services** - Maintains a registry and training records for all police officers, peace officers, and private security officers in New York State. In addition, it is responsible for overseeing mandated training programs for these officers.
- **Highway Safety Technology** - Maintains and certifies the calibration of speed and alcohol detection instruments utilized by municipal police departments throughout the State.

## Key Public Service Areas

- Support Operation IMPACT jurisdictions to ensure effective implementation of data-driven crime reduction strategies;
- Provide expert technical assistance to IMPACT jurisdictions;
- Oversee police officer, peace officer, and private security officer training programs in New York State;
- Provide training to New York State's law enforcement community;
- Administer the Law Enforcement Accreditation Program;
- Repair and certify speed and alcohol detection equipment.

## Critical Objectives

- Assist localities with crime reduction;
- Provide quality training;
- Increase the number of accredited local law enforcement agencies;
- Provide timely repair and certification of speed and alcohol detection equipment.

# Office of Public Safety

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## Support for Operation IMPACT

Staff dedicated to Operation IMPACT spend extensive time in the field.

- √ OPS IMPACT “ambassadors” act as DCJS liaisons and provide day-to-day program support for more than 50 law enforcement agencies and 17 District Attorney’s Offices who participate in IMPACT partnerships. OPS staff monitor the crime conditions and IMPACT strategies for each of their respectively assigned sites to ensure DCJS Executive Staff have the information needed to effectively respond and make policy decisions.
- √ In 2007, OPS training staff coordinated 78 regional specialized trainings related to criminal gangs, patrol interdiction, officer survival, drug interdiction, auto crimes, interviews and interrogations, search warrants, and confidential informants. IMPACT jurisdictions were given priority for attendance.
- √ OPS IMPACT staff routinely participate in local IMPACT monthly meetings. In 2007, staff attended 170 locally-held Operation IMPACT meetings.
- √ Each month, the DCJS Commissioner hosts an IMPACT Crime Trends meeting during which a designated IMPACT Partnership provides in-depth analysis of its serious crime problems. The meetings provide law enforcement leaders with a forum to voice concerns and identify needs. In 2007, OPS staff worked closely with nine IMPACT partnerships to prepare for the formal Crime Trends meeting. Attendees included Executives from the primary IMPACT Police Department, district attorney’s office, probation and sheriff’s office and Parole, State Police, Office for Prevention of Domestic Violence and State Liquor Authority.

In 2007, OPS established an IMPACT Technical Assistance Team to provide expert technical assistance in the areas of crime analysis, field intelligence and investigative case support. The new team provided technical assistance and training in the following areas in 2007:

- √ The four-member team supported the development of three local Crime Analysis Centers in Buffalo, Rochester and Syracuse. The mission of the centers is to provide a centrally located unit responsible for conducting in-depth analysis of county crime incident data. The centers are scheduled to open in 2008.
- √ The team coordinated and delivered 17 two-day courses on debriefing techniques for field intelligence officers, with 230 officers trained.
- √ The team delivered 12 trainings regarding the use of JusticeXchange, a database that will assist law enforcement in locating wanted persons or persons of interest throughout the country. Additionally, 150 JusticeXchange licenses were funded by DCJS and distributed to local investigative law enforcement staff.
- √ The team coordinated seven warrant initiatives within the IMPACT jurisdictions. Participating agencies included the primary IMPACT police department, the Probation and Sheriff’s Office, Parole, the New York State Police and the U.S. Marshal’s Office. These initiatives resulted in the arrest of over 540 individuals wanted on warrants.

# Office of Public Safety

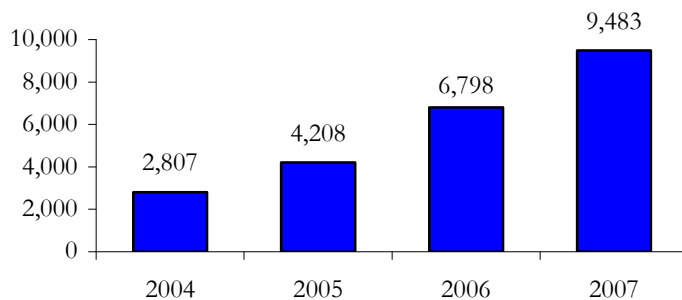
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- ✓ An expert consultant was hired to implement a New York City Police Department “CompStat”-style program within the Buffalo Police Department. The CompStat model ensures timely accurate crime reporting, rapid deployment of staff, selection of effective tactics, staff accountability and the formulation of effective crime reduction strategies.
- ✓ The team facilitated the coordination of investigative resources of the NYS Worker’s Compensation Board Office of Inspector General with the local police departments and district attorney’s offices. This has resulted in investigations of commercial locations within IMPACT sites that are associated with criminal activity.

Information sharing is another critical cornerstone of Operation IMPACT. All IMPACT funded agencies are required to report their crime to DCJS within 30 days, and are contractually required to use several critical statewide information sharing systems, including the Safe Automated Fast Event Tracking Network (SAFETNet) and the New York State Criminal Gun Clearinghouse.

SAFETNet is the State’s de-confliction system that maintains information on targets and locations currently under investigation. Police agencies which register targets immediately learn if the target is the subject of another investigation, promoting interagency coordination and ensuring officer safety. OPS staff closely monitor SAFETNet submissions for IMPACT agencies.

**Safetnet Target Submissions by IMPACT Police Departments (annual)**



- ✓ The number of investigative targets entered into SAFETNet by IMPACT jurisdictions continued to increase in 2007. A total of 9,483 targets were submitted, as compared to 6,798 during 2006, an increase of 39%.

## Crime Gun Activity

Operation IMPACT contracts require participating agencies to share information about firearms. When law enforcement agencies outside of New York City recover a firearm which was used in a crime or suspected to have been used in a crime, the agency sends a detailed message about the crime gun to the New York State Criminal Gun Clearinghouse. This message is sent through the New York State Police Information Network (NYSPIN) and is called a GGUN transaction. The Clearinghouse, which is part of the New York State Police, transmits this information to the Federal Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) for analysis and investigation. New York City provides crime gun information directly to ATF.

Law enforcement agencies are also required to transmit an electronic record through NYSPIN for all guns that that are reported as lost or stolen. The Criminal Gun Clearinghouse compares the

# Office of Public Safety

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stolen/lost gun records to the Crime Gun records and generates a hit notice for all matches. These hits provide valuable investigative leads on both the initial theft of the gun and any subsequent crimes committed with the gun.

In addition, IMPACT jurisdictions are required to submit crime guns and any ballistic evidence found, such as bullets or shell casings, to their local forensics laboratory for analysis. Subsequent to lab testing, forensic information from the gun and any ballistic evidence is then entered into shared forensic databases where forensic information can link recovered firearms to ballistic profiles from other crime scenes.

This multi-faceted approach to processing and sharing information from firearms helps law enforcement solve crimes and investigate gun activity.

### Crime Gun Activity Primary IMPACT Jurisdictions 2006 - 2007

	2006	2007	06 vs 07 % Change
<b>Crime Guns Recovered</b>	5,274	4,719	-10%
<b>Crime Gun Transactions via NYSPIN</b>	2,426	2,606	7%
<b>Guns Submitted to Lab for Testing</b>	2,414	2,566	6%

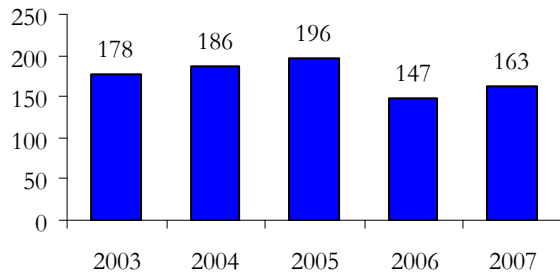
- ✓ Primary IMPACT departments reported recovering 4,719 crime guns during 2007, a decrease of 10% compared to 2006.
- ✓ Primary IMPACT departments made 2,606 crime gun transmissions via NYSPIN during 2007, an increase of 7% compared to 2006.
- ✓ Primary IMPACT departments submitted 2,566 guns to the lab during 2007, an increase of 6% compared to 2006.

# Office of Public Safety

## Law Enforcement Training

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

**OPS Training Courses Held**  
(annual)

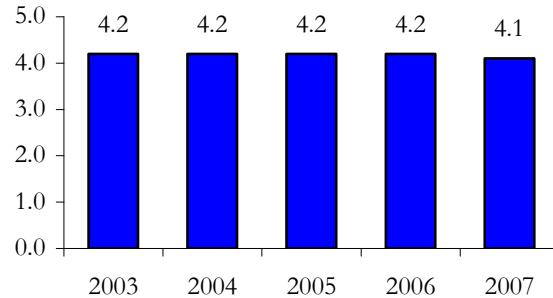


✓ During 2007, 163 training courses were held around the State, an 11% increase as compared to 2006.

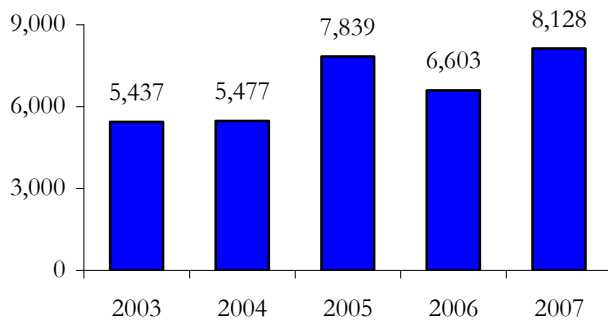
Course participants complete a course evaluation survey for each course they participate in, and are asked to rate the course on a scale of 1 (Poor) through 5 (Excellent). OPS has established a target rating of 5 for all courses.

**OPS Course Satisfaction Rating**  
(annual)

✓ Since 2003, the course satisfaction rating has consistently averaged over 4.0 (Very Good) for all courses provided. Ratings declined slightly during 2007.



**Law Enforcement Officers Trained by OPS**  
(annual)



✓ During 2007, 8,128 law enforcement officers from local police departments and county sheriff's offices were trained, a 23% increase from 2006.

# Office of Public Safety

During 2007, training courses covering officer survival, gang trends, and legal issues for law enforcement officers were among the most popular courses offered by the DCJS Office of Public Safety.

## Training Held and Officers Trained

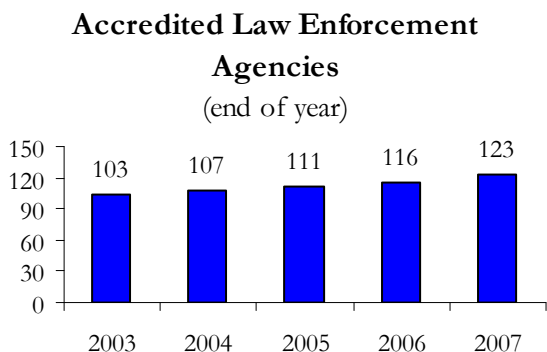
2007

(annual)

Course Categories	Officers Trained
Street Gang Intervention, Current Trends in Gang Training, Street Level Interdiction, Strategic Gang Investigations	1,351
Traffic Safety Related Courses (DWI Detection, Breath Analysis, Accident Scene Investigation, Vehicle Searches and Hidden Compartments, VTL Case Officer Survival Preparing for Armed Encounters	1,059
Law Enforcement Officers and Legal Issues	845
Search Warrants	573
Illegal Drugs	508
Leadership and Professional Development Courses	398
Fraudulent Documents, Asset Tracing and Identity Crime Investigations	358
Illegal Gun Trafficking and Human Trafficking	296
Interviewing, Interrogating, and Obtaining Statements and Confessions	245
Counter Terrorism Awareness, Commercial Vehicle Interdiction, Incident Response to Terrorist Bombings	210
DARE Instructor Training, School Resource Officer Training	119
Transportation Security Issues - Rail and Maritime	84
Other Law Enforcement Related Courses	63
<b>Total Law Enforcement Officers Trained During 2007</b>	<b>8,128</b>

## Law Enforcement Accreditation

The Law Enforcement Accreditation Program has operated since 1989. To become an accredited law enforcement agency, police agencies must meet 130 standards, undergo a three-day assessment and be approved by the New York State Law Enforcement Council. Accreditation provides formal recognition that a law enforcement agency meets expectations of quality, and has implemented sound and effective policies.



✓ The number of law enforcement agencies earning accreditation has increased steadily since 2003, with 123 law enforcement agencies accredited as of December 2007.

✓ During 2007, seven additional law enforcement agencies were accredited, the largest increase in recent history. A complete list of accredited agencies is available on the DCJS website.

# Office of Public Safety

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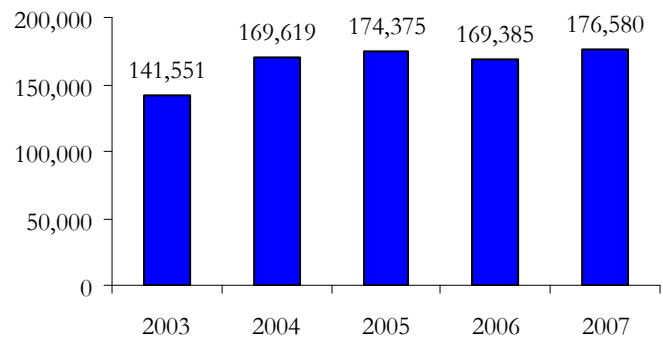
✓ As of December 2007, 50% of law enforcement officers working outside of New York City now work for accredited agencies.

## Training and Registry Records Processing

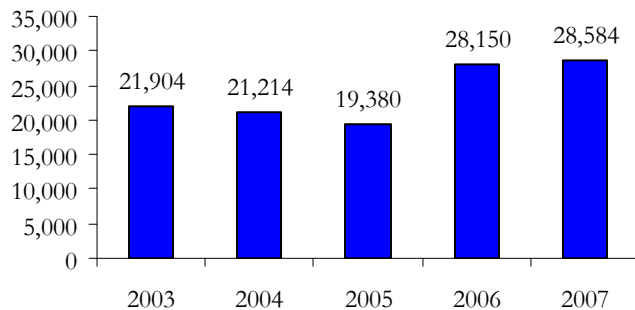
Under Executive Law, DCJS is required to maintain a central registry of police officers, peace officers and private security officers. In addition, DCJS is required to maintain records of mandated training of these officers. OPS fulfills that obligation.

✓ During 2007, OPS processed 176,580 training records.

**Training Records Processed**  
(annual)



**Registry Records Processed**  
(annual)



✓ During 2007, OPS processed 28,584 registry records, continuing last year's significant increase.

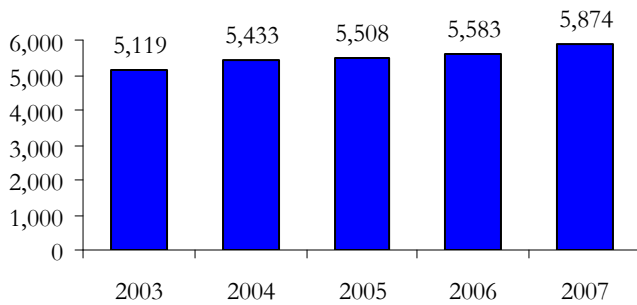
## Equipment Repair

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. 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 2007.

# Office of Public Safety

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## OPS Instruments Repaired/Certified (annual)

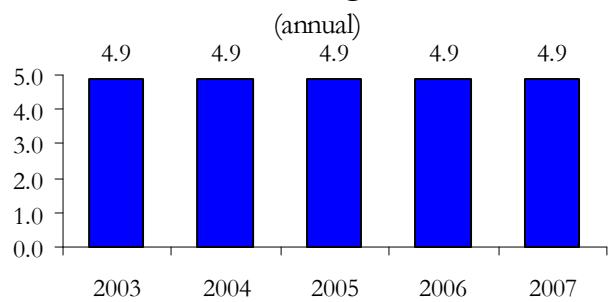


- ✓ The number of instruments repaired/certified increased (+5%) in 2007 from 2006. This increase is due to the implementation of the DataMaster Replacement Grant, which requires that DCJS staff certify new DataMaster equipment and re-certify older equipment.

Over the past five years, the equipment repair center has consistently earned an overall satisfaction rating of “Excellent” from its customers.

- ✓ During 2007, all repairs and certifications were conducted within two days.
- ✓ The equipment repair center continued to earn consistent satisfaction ratings of “Excellent” throughout 2007.

## OPS Equipment Repair Satisfaction Rating





# Office of Sex Offender Management

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## Mission

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

## Scope of Operations

The enactment of the Sex Offender Management and Treatment Act (SOMTA) in 2007 created the Office of Sex Offender Management (OSOM) within the Division of Criminal Justice Services. The office has statewide responsibility for sex offender management and advises the Governor and Legislature on the most effective ways to address sex offender related issues. The office also coordinates interagency initiatives, and establishes standards and guidelines concerning how to best manage, treat, and supervise sex offenders. Additionally, OSOM conducts training and outreach for judges, district attorneys, law enforcement, and parole and probation officers. The 2007 legislation also established a system to civilly confine or manage certain sex offenders, and OSOM coordinates interagency activities associated with the civil management process.

The office has four units:

- OSOM oversees the **Sex Offender Registry** which currently has over 26,000 offenders. The Registry maintains a database of sex offenders and provides information to the public regarding registered sex offenders through a toll-free phone line and a public website.
- The **Legal Unit** handles legal and policy matters concerning civil management, the Sex Offender Registry, and the Board of Examiners of Sex Offenders. The unit also conducts legal education.
- The **Research and Policy Unit** studies issues including the treatment, supervision and management of sex offenders, and develops standards and best practices in these areas.
- The **Training and Outreach Unit** leads public awareness, outreach and prevention campaigns, trains law enforcement professionals and works with other groups to advocate for victims.

## Key Public Service Areas

- Maintain the Sex Offender Registry;
- Coordinate the civil management process;
- Provide training, guidance and information to criminal justice professionals on sex offender management;
- Promote public awareness of the Registry and of sex offender issues.

## Critical Objectives

- Process registration forms within specified timeframes;
- Provide training and outreach to agencies regarding civil management;
- Reduce the number of offenders with a pending risk level;
- Increase public usage of the Sex Offender Registry public website;
- Improve the accuracy of Sex Offender Registry information by working with law enforcement to verify addresses, and to apprehend and prosecute those who abscond or fail to register.

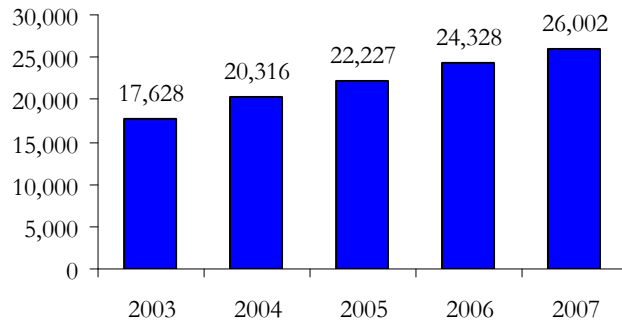
**Note:** The Sex Offender Registry was transferred into the Office of Sex Offender Management in early 2008. Registry activities are covered in this section for ease of presentation.

# Office of Sex Offender Management

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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. Legislation enacted over the past 11 years has 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 Registry due to the minimum 20 year duration requirement, has resulted in a steady increase in the number of registered sex offenders. As of December 31, 2007, a total of 26,002 offenders were on the NYS Sex Offender Registry (SOR).

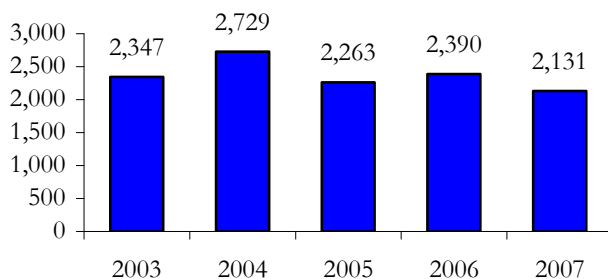
**Sex Offenders on Registry**  
(year end)



## Sex Offender Registration

Registration forms signed by the offender are forwarded to SOR by State and local courts, local jails, and DOCS. For those offenders released from custody, the registration forms are prepared and forwarded ten days before release. SOR also registers offenders convicted in other jurisdictions who reside in New York State.

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

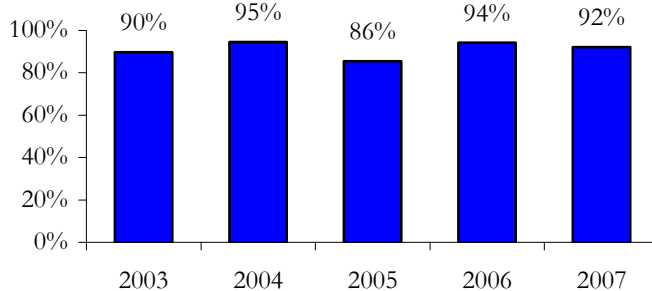


✓ During 2007, 2,131 sex offenders were registered, a decrease of 11% from 2006.

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 which contain all mandatory data have a target entry date of one day from the date of receipt. Many registration forms submitted to the Registry are missing information and require extensive follow-up by staff. For these forms, the target timeframe for data entry is two days.

# Office of Sex Offender Management

**Registration Forms  
Percent Processed Within Standard**  
(annual)



- ✓ During 2007, 92% of sex offenders were registered within the SOR target processing time.
- ✓ The SOR processed 21,000 Change of Address forms during 2007, up 9% from 2006.

## Establishing Risk Levels for Sex Offenders

A critical objective of sex offender management is to maintain up-to-date information on SOR and ensure that convicted sex offenders are assessed for risk. 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. These offenders represent 61% of all registrants. However, without a risk level in place, no active community notification can occur and cases cannot be posted to the public Sex Offender Registry website.

**NYS Sex Offender Registry**  
(end of year)

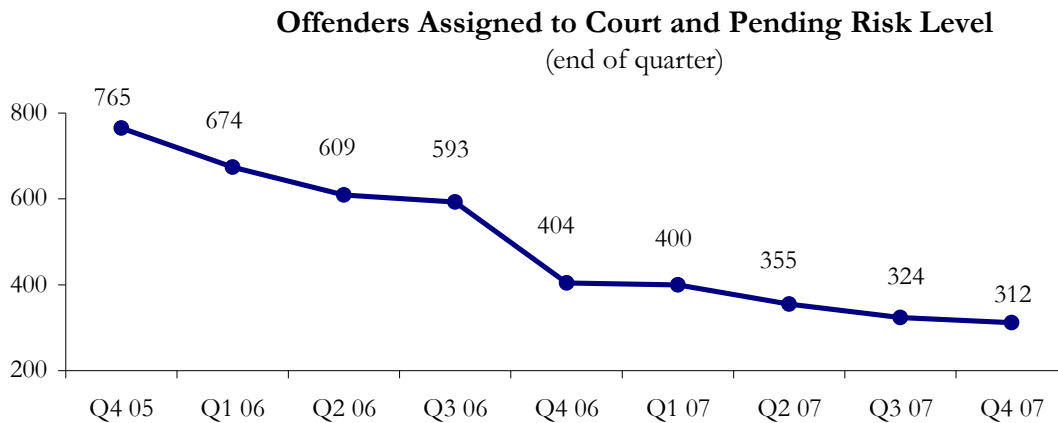
<b>Risk Level</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>Percent of 2007 Total</b>
Level 1 Offenders	5,450	6,524	7,619	8,653	9,383	36%
Level 2 Offenders	6,525	7,378	8,169	8,903	9,490	36%
Level 3 Offenders	4,847	5,473	5,476	5,994	6,455	25%
Pending Determination*	806	941	963	778	674	3%
<b>Total Offenders</b>	<b>17,628</b>	<b>20,316</b>	<b>22,227</b>	<b>24,328</b>	<b>26,002</b>	<b>100%</b>

\* Includes cases not yet assigned to a Court.

In 2006, DCJS led an interagency initiative with the Board of Examiners of Sex Offenders (BOE), the Office of Court Administration (OCA), the Department of Correctional Services (DOCS), and the Division of Parole (DOP) to reduce the number of cases which were pending a risk level determination. A weekly case review process was initiated for sex offenders scheduled to be released from prison. In addition, each month a list of offenders residing in the community whose cases are pending is forwarded to the courts for action.

# Office of Sex Offender Management

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Note: Excludes cases not yet assigned to a court, absconder cases living out-of-state, and deported cases.

- ✓ Since December 31, 2005, the number of sex offender registrants whose risk level is pending with the court (excluding cases not yet assigned to a court) has decreased by 59%, going from 765 to 312. During the same period, the number of offenders on the registry increased by 15%.

In 2006, the partner agencies established additional protocols through the support of the Board of Parole to ensure that, whenever possible, no sex offender was released from DOCS to supervision without a risk level determined by the court. This ensures that community notification by law enforcement on high-risk offenders is authorized as soon as offenders are released, that information on newly released Level 2 and Level 3 offenders is posted on the DCJS public website, and that supervising parole officers can investigate community residence plans and ensure offender compliance with the law. SOR staff coordinate the case tracking and work closely with all the partner agencies.

- ✓ During 2007, only 18 of the 1,537 sex offenders leaving State prison did not have a risk level in place on the day of their release. These 18 offenders were closely monitored, and as of March 27, 2008, 17 of the 18 have had their risk level assigned by the courts.

## Sex Offender Address Verification

During 2007, OSOM implemented two initiatives to assist law enforcement agencies with their oversight and enforcement responsibilities related to sex offenders living within their jurisdictions.

- ✓ OSOM worked with local law enforcement agencies across the State to verify the addresses of offenders who failed to submit the required annual address verification form and to locate those offenders who changed their address without notifying the Registry. A new automated system for law enforcement agencies to receive information on offenders who failed to submit the mandated address verifications was developed and made available on eJusticeNY. Agencies can also report back to SOR through eJusticeNY about the actions they take to locate offenders.

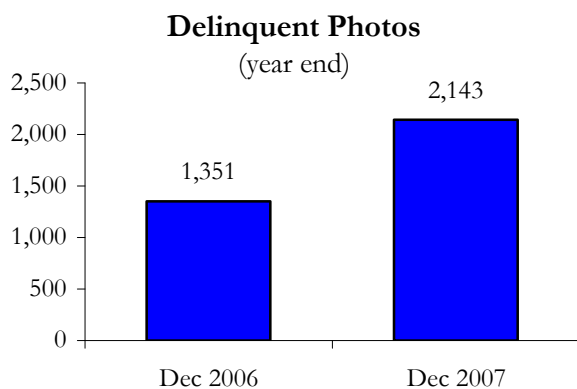
# Office of Sex Offender Management

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✓ In September 2007, OSOM and the Division of Parole began working with the U.S. Marshal Service to locate sex offender registrants who have failed to verify their addresses with the Sex Offender Registry. Sex offenders under parole supervision who abscond are now referred to the U.S. Marshal Service. DCJS also refers Registry cases where an offender failed to submit the required annual verification form and a warrant has been issued for his or her arrest.

## Submitting Updated Sex Offender Photos

Legislation that became effective in April 2006 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 have the photos taken. In November 2006, a report was made available over eJusticeNY to assist the local departments with the monitoring of offenders and delinquent photos. Having updated photos as part of the Sex Offender Registry record 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.



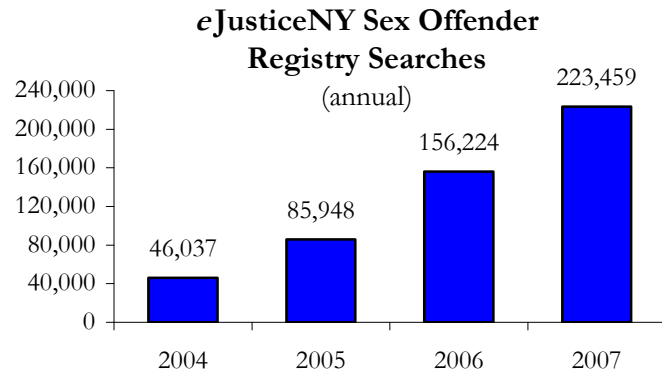
✓ At the end of 2007, 2,143 offenders owed an updated photo, 59% more than at the end of 2006. During the same period, the number of offenders on the Registry increased by 6%.

## Information for Law Enforcement

The most important tool for facilitating sex offender compliance with the registry is the Sex Offender Management Suite on eJusticeNY, the secure law enforcement website. 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 Registry is available to all law enforcement agencies, district attorneys' offices, local Parole offices, and county probation departments, ensuring that all agencies which monitor and supervise sex offenders have the most up-to-date information available. In 2006, DCJS expanded access to the complete Registry to Supreme, County, City, District and New York City Criminal Courts in recognition of their responsibility to determine the risk level and designation.

# Office of Sex Offender Management

✓ Usage of the complete Registry by law enforcement continued to increase significantly in 2007. In 2007, 223,459 Registry searches were conducted, an increase of 43% as compared to 2006.

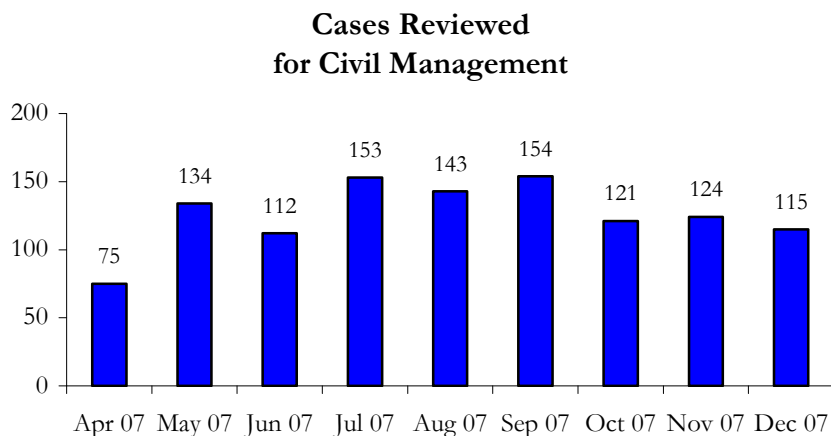


## Civil Management

The Sex Offender Management and Treatment Act (SOMTA) enacted in 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.

SOMTA established a procedure for referring and evaluating these offenders and 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” where they are closely supervised by the Division of Parole. Offenders determined to be at the greatest risk of re-offense due to their mental abnormality may be civilly confined in a treatment facility.

✓ Shortly after the office was created, OSOM coordinated the development of a database that all agencies participating in the civil management process (Department of Correctional Services, Office of Mental Health, Office of Attorney General, Parole, Office of Mental Retardation and Developmental Disabilities, and DCJS) would be able to access to conduct case management activities. The database became available to the civil management partners in November 2007.



✓ From April 12 through December 31, 2007, OMH evaluated 1,136 sex offenders under SOMTA, and recommended civil management for 9% (105) of the offenders.

# Office of Sex Offender Management

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- ✓ Petitions for Civil Management were filed on 104 of the 105 cases that OMH referred to the Attorney General's office. As of December 31, 2007, 16 offenders were ordered committed and 11 offenders were ordered to Strict and Intensive Supervision and Treatment (SIST).

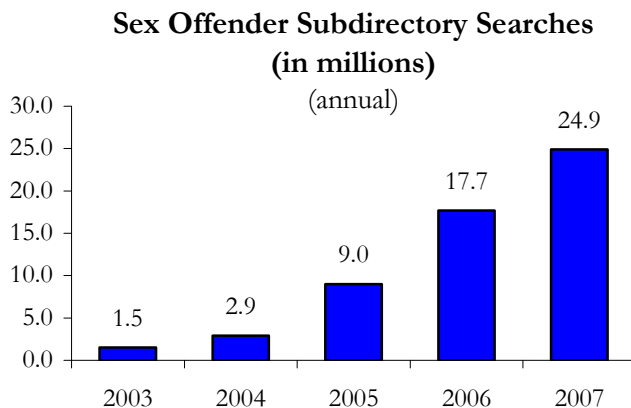
## Training

DCJS provides training on the Sex Offender Registration Act and the Sex Offender Management and Treatment Act. Since its establishment in 2007, the Office of Sex Offender Management (OSOM) has coordinated all sex offender management training.

- ✓ During 2007, OSOM conducted 25 training sessions for hundreds of probation officers, judges, court personnel, treatment providers, law enforcement and other professionals who work with sex offenders.
- ✓ In November 2007, OSOM conducted a three-day training session on civil management for more than 200 participants from the Office of Mental Health, the Attorney General's Office, the Division of Parole, the Division of Probation and Correctional Alternatives, the Office of Mental Health, the Office of Mental Retardation and Developmental Disabilities and the Association for the Treatment of Sexual Abusers (ATSA).

## Sex Offender Information Provided to the Public

Pursuant to SORA statutory requirements, DCJS provides information to the public regarding sex offenders through a Subdirectory located on the DCJS public website and a toll-free phone line which operates 24 hours per day. The public may search based on offender's name, county or zip code. By law, information provided in the public website is limited to Level 2 and Level 3 sex offenders.



- ✓ Searches on the public website have increased dramatically each year, with 24.9 million searches processed in 2007, 41% higher than 2006.

# Office of Sex Offender Management

Information on registrants is returned to the user searching the Subdirectory whenever there is a match between the information the user enters via the public website and a record in the Subdirectory. As searches have increased, the percentage of searches that have resulted in matches has decreased.

## Matches Returned from Subdirectory Searches

(annual)

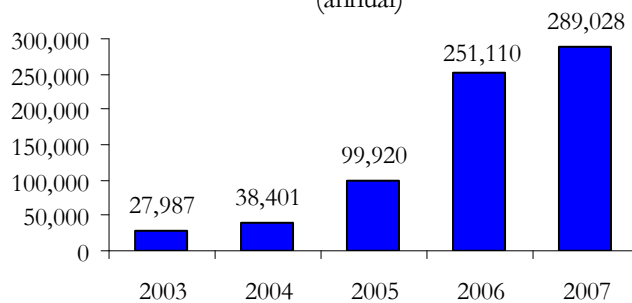
	2003	2004	2005	2006	2007
<b>Searches</b>	1,497,384	2,871,769	8,960,642	17,693,058	24,923,575
<b>Matched</b>	606,205	1,188,406	2,118,999	2,819,203	3,243,918
<b>Percent Matched</b>	40%	41%	24%	16%	13%

√ Matches were returned on 13% of all searches conducted in 2007.

In addition to the information available in the Subdirectory on the public website, citizens, organizations and employers can call the toll-free line to inquire whether a specific person (or list of persons) is listed on the Registry. These phone inquiries require SOR staff to conduct a manual search of the SOR database. Legislation enacted in 2005 requires children's camps to conduct searches on all prospective employees. This law has contributed to dramatic increases in the number of searches conducted in 2006 and 2007.

## 800 Phone Line Searches Conducted by Staff

(annual)



√ There were 289,028 searches conducted via telephone inquiry in 2007, 15% more than 2006.

## Matches Returned from Searches Conducted by Registry Staff for 800 Phone Calls

(annual)

	2003	2004	2005	2006	2007
<b>Searches</b>	27,987	38,401	99,920	251,110	289,028
<b>Matched</b>	837	912	1,882	2,178	1,722
<b>Percent Matched</b>	3%	2%	2%	1%	1%

√ Of the 289,028 searches conducted of the Registry in 2007, matches were found for 1% of the searches conducted.



# Office of Forensic Services

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## **Mission**

To assist in solving and preventing crime by providing administrative oversight over the State DNA Databank, public forensic laboratory accreditation, and local DNA specimen 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 specimens for a limited number of felonies, including murder and rape. The DNA law was amended to expand the number of qualifying offenses in 1999, 2004, and 2006. These amendments applied not only to newly convicted offenders but also to offenders in custody or under supervision as of the effective date of the law. The June 2006 amendment broadened eligibility to include all persons convicted of a Penal Law felony, or an attempt to commit a Penal Law felony where the attempt is a felony, plus any of 35 specified misdemeanor offenses, including petit larceny. As a result of the 2006 amendments, 46% of offenders convicted of a Penal Law offense in the State are now required to provide a DNA specimen.

As part of its administrative oversight of the Databank, OFS reviews DNA submission records for offender samples and determines whether DNA samples were collected in accordance with State law. In addition, OFS staff facilitates trainings to enhance laboratory efficiency, effectiveness and reliability. OFS also provides staff support to the NYS Commission on Forensic Science and DNA Subcommittee.

## **Key Public Service Areas**

- Provide administrative oversight of the DNA Databank;
- Ensure that DNA testing procedures and access to the DNA Databank are consistent with applicable laws and regulations;
- Oversee the accreditation of NYS forensic laboratories;
- Provide training and education to law enforcement on forensic testing services.

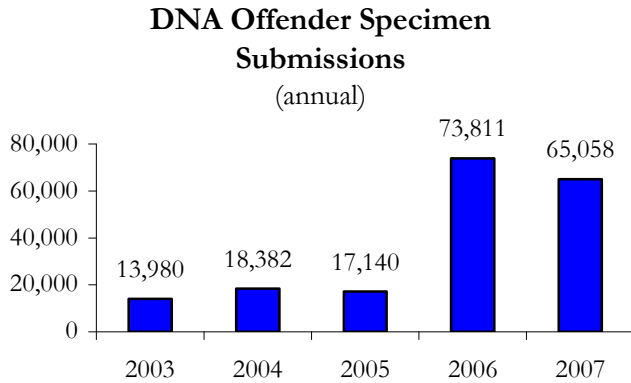
## **Critical Objectives**

- Ensure compliance with specimen collection protocols and State law;
- Increase the collection of DNA specimens from offenders and crime scenes;
- Monitor laboratory compliance with accreditation standards;
- Provide training and technical assistance to forensic laboratories to maintain compliance with accreditation criteria.

# Office of Forensic Services

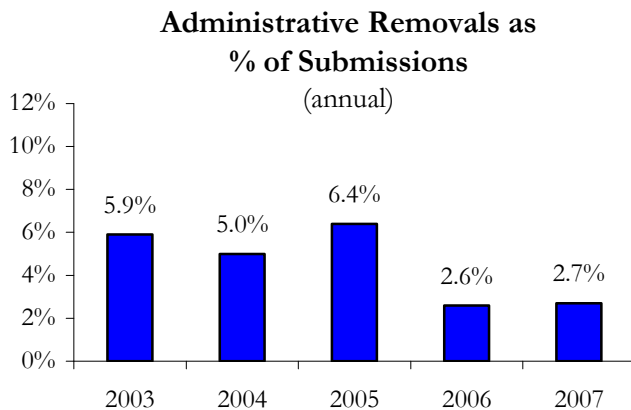
## DNA Databank Oversight

The DCJS Office of Forensic Services (OFS) provides administrative oversight of the DNA Databank. DNA specimens with accompanying documentation are submitted by the collecting agency to the State Police Forensic Investigation Center (FIC) for processing. FIC staff record that the specimen has been received and forward the documentation to OFS for review and approval. OFS reviews the criminal history record (rapsheet) for each offender for whom a specimen was collected to verify that the offender has a qualifying conviction.



- ✓ During 2007, 65,058 specimens were collected.
- ✓ Many specimens collected during the first half of 2007 were from probationers subject to the retroactive collection provision of the 2006 amendment.

If it is determined that an offender was not convicted of a qualifying offense, the specimen is removed from the Databank as an administrative removal. Specimens that have been collected according to DNA collection protocols are approved for processing.

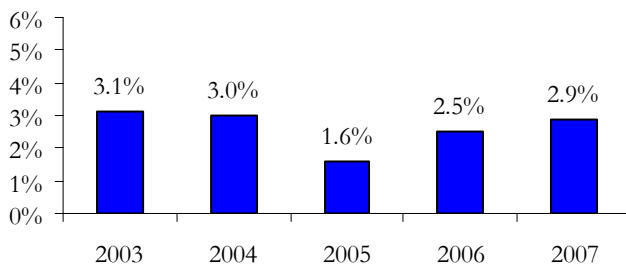


- ✓ In 2007, 1,748 DNA specimens were administratively removed from the process, representing 2.7% of total submissions. The significant reduction noted last year was maintained again in 2007.

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

# Office of Forensic Services

**Procedural Errors as  
% of Submissions**  
(annual)



✓ In 2007, 1,907 DNA specimens were removed from the Databank as a result of a procedural error, representing 2.9% of submissions.

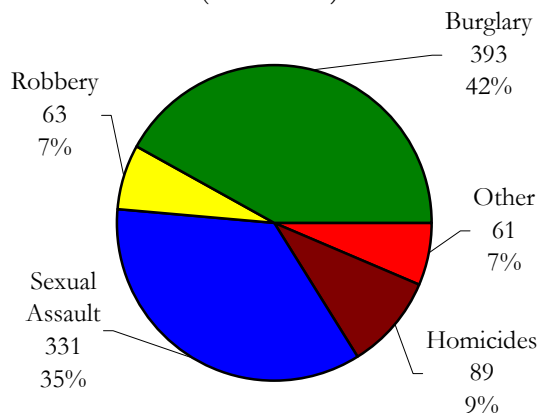
Through OFS, DCJS gathers available information regarding the type of crime linked to the offender through Databank hits and routinely contacts district attorneys' offices to determine the disposition of cases in which the DNA Databank has linked an offender to evidence recovered in a case.

**Hits Against the Databank by Type of Crime**  
(cumulative through December 31, 2007)

Type of Crime	Hits	% of Hits
Homicides	398	10%
Sexual Assault	2,073	50%
Robbery	261	6%
Burglary	1,151	28%
Other	259	6%
<b>Total</b>	<b>4,142</b>	<b>100%</b>

✓ Of the 4,142 hits generated, 10% were against physical evidence collected in connection with homicide investigations and 50% were in connection with sexual assault investigations.

**Hits Resulting in Conviction  
as of December 31, 2007**  
(cumulative)



✓ As of December 2007, 937 conviction outcomes were reported to DCJS, representing 23% of the total hits in the Databank.

✓ Of the conviction outcomes reported, 331 (35%) were for sexual assault cases and 89 (9%) were for homicide cases.

# Office of Forensic Services

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√ In 323 additional cases, an arrest has been made in the case, but a final disposition has not yet been reported.

## Laboratory Accreditation

OFS monitors forensic laboratories' compliance with accreditation standards established by the NYS 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 laboratory must comply with the standards of the American Board of Forensic Toxicology (ABFT). There are currently 22 public forensic laboratories accredited by the NYS Commission on Forensic Science. In addition to reviewing all documentation between the laboratories and the aforementioned forensic 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.

In coordination with the New York Crime Laboratory Advisory Committee (NYCLAC) and various technical working groups, OFS provides the following services:

- **Staff Support to the NYS Commission on Forensic Science and DNA Subcommittee.** The Commission and Subcommittee were established by 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 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 NYS Commission on Forensic Science.** During 2007, OFS facilitated four Commission on Forensic Science and two DNA Subcommittee meetings. OFS also conducted 15 technical working group (TWG) meetings which 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, latents, drug and biological evidence.
- **Technical Training for Crime Laboratory Personnel.** OFS also facilitates highly specialized technical training programs for crime laboratory personnel to maintain proficiency and currency in analytical methods. During 2007, OFS staff conducted 13 specialized technical training sessions, involving 382 participants. Generally held over multiple days, these sessions covered topics such as advanced FBI fire debris analysis, forensic ridgeology, ethics, ASCLD/lab assessment; and driving under the influence of drugs.

# Office of Forensic Services

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## DNA Collection-Related Training and Field Assistance

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

- √ During 2007, OFS conducted 41 training sessions, some held over multiple days, for district attorneys, judges, court officers and clerks, State and local law enforcement officers and probation officers.
- √ On 17 occasions, OFS personnel provided on-site assistance to probation departments, assisting them in collecting DNA specimens from convicted offenders.
- √ OFS also held 15 technical assistance days for judges, courts and district attorneys regarding various aspects of the DNA collection process, including a review of police booking procedures for offenders who owe a DNA specimen, an overview of the DNA banners found on rapsheets and establishing collection processes for offenders whose sentences do not include incarceration or supervision.

A more detailed performance report on DNA Databank and Collections is available on the DCJS website at <http://www.criminaljustice.state.ny.us/pio/annualreport/dna.pdf>.

# Office of Program Development and Funding

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## Mission

To identify and direct criminal justice resources to reduce crime and improve criminal justice throughout New York State.

## 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 discretionary federal awards and pursues grant opportunities for State criminal justice agencies and local partnership projects.

Office of Program Development and Funding is comprised of seven operating units.

- **Administration Unit** - Serves as the staff arm for the Deputy Commissioner, and provides various support services to other OPDF program units. The Unit is responsible for distributing neighborhood watch materials, maintaining the Grants Management System (GMS) and database, and preparing internal and external website updates. This unit also supports the contract processing and technical assistance aspects for the Operation IMPACT contracts.
- **Edward Byrne Program Unit** - Administers federal formula grant funding awarded under the Justice Assistance Grant (JAG). The funds support a broad range of initiatives under six Congressionally authorized purpose areas that support new approaches, as well as the expansion of proven programs which improve the functioning of the criminal justice system.
- **Juvenile Justice Unit** - Oversees the formula grant program which provides seed money for innovative projects designed to measurably reduce juvenile crime, promote individual accountability, and prevent delinquency through positive youth development.
- **Motor Vehicle Theft and Insurance Fraud Prevention Unit** - Oversees funding for the Demonstration Program designed to reduce automobile theft and insurance fraud.
- **State Aid to Localities Unit** - Provides additional resources to courts and local criminal justice agencies to ensure swift and efficient processing of criminal justice proceedings. The Unit also oversees local assistance grants authorized under Legislative Member items.
- **Violence Against Women Funding Unit** - Oversees the formula grant program designed to improve the criminal justice system's response to violent crimes against women.
- **Re-entry Services Unit** - Supports program and policy development for offender re-entry services across the State. Its primary task is to support 12 county-based re-entry task forces and provide assistance in securing local services to offenders returning to the community. In addition, the unit coordinates the Statewide Re-entry Task Force comprised of state agencies which provide services to offenders. Task force members are focusing on the provision of public benefits, transitional accountability planning, risk and needs assessment and the provision of services.

## Key Public Service Areas

- Allocate State and Federal funds to meet criminal justice needs throughout the State;
- Monitor local assistance contracts funded by DCJS;
- Develop new programs;
- Provide support for local agencies in their crime reduction efforts;
- Support the local Re-entry Task Forces to ensure effective transition of the offender back to the communities.

# Office of Program Development and Funding

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## Critical Objectives

- Ensure effective and efficient distribution of local assistance and Federal monies;
- Process grants timely;
- Monitor grantee performance and compliance with contract terms.

# Office of Program Development and Funding

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## Contract Monitoring

The DCJS Office of Program Development and Funding (OPDF) is responsible for the allocation of local assistance funding across the State 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 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 are paid, the contract is closed both programmatically and fiscally.

### Contracts Executed/Closed

(annual)

	2006	2007
Contracts Executed During Year	866	1,513
Contracts Closed	1,478	1,111

√ A total of 1,513 new grant contracts were executed during 2007.

√ During 2007, 1,111 contracts were closed.

### Active Contracts

(year end)

Contract Type	2006	2007
Fully Executed	1,029	1,351
Contracts in Process	1,103	885
Active/Pending Contracts	2,132	2,236

√ At the end of 2007, OPDF was responsible for 2,236 active or pending grant contracts. Of these, 885 were in process, and 1,351 were fully executed.

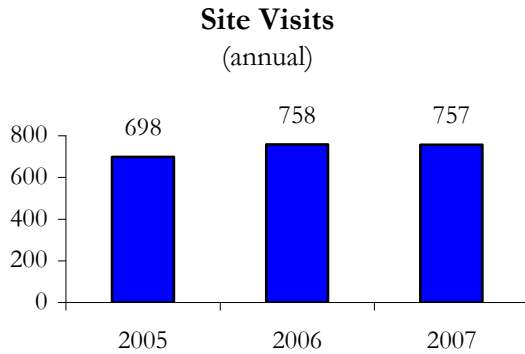
√ The number of grantees, including those with pending and executed contracts, increased in 2007 from 616 grantees to 660 grantees on December 31, 2007. Many grantees have more than one contract with DCJS.



# Office of Program Development and Funding

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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. Contract monitoring staff are required to make site visits to each grantee during the year.



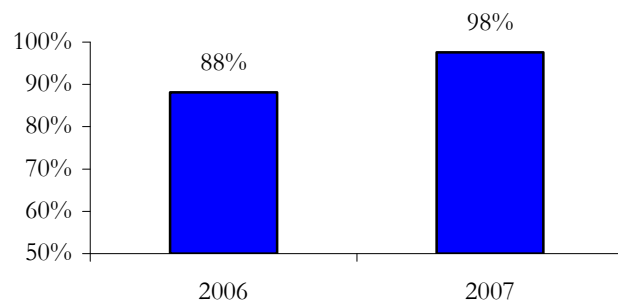
✓ During 2007, OPDF staff conducted 757 site visits, about the same as 2006.

Data prior to 2005 not available.

An electronic Grants Management System (GMS) was implemented in 2001 to process applications for grant contracts. In 2004, a new web-based version of GMS became available. Grantees are now expected to submit grant contract applications and submit quarterly progress reports on-line through GMS. During the past two years, OPDF has made significant progress in getting more grantees registered and using GMS. At the end of 2007, 98% of all grantees are using GMS.

**Percent of Grantees Enrolled in GMS**  
(year end)

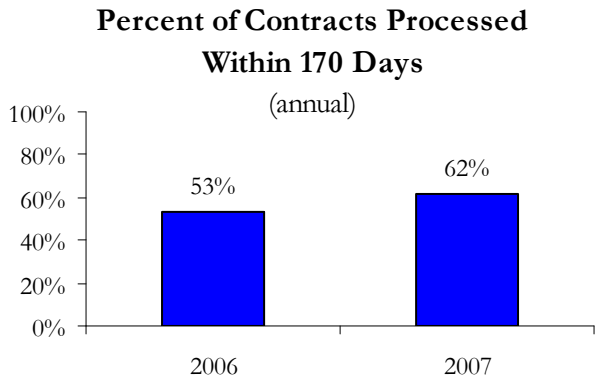
✓ The number of grantees registered to file electronically increased from 88% to 98% in 2007.



\*Data prior to 2006 not available

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 Financial Services processing time. Each month, progress in each category is measured as the percent of completed contracts that were processed within the time frame established for that category.

# Office of Program Development and Funding



✓ During 2007, an average of 62% of grant contracts were processed within the 170-day target, a significant increase from 2006.

\*Data from prior years not available

## Phases of Processing

OPDF processing time consists of the time OPDF staff spent processing a grant contract. OPDF 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 sign and return the contract to OPDF. A target time of 90 days has been set for this segment of the process. As more grantees have registered on GMS, the processing time has improved for this segment of processing.

Financial Services processing time is measured from the date the grant contract is forwarded by OPDF to 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 segment of the process.

<b>Percent of Contracts Processed Within Target by Contract Phase</b> (annual)			
	<b>Target</b>	<b>2006</b>	<b>2007</b>
OPDF Processing	45 days	59%	65%
Grantee Processing	90 days	57%	61%
Financial Services Processing	35 days	70%	81%
<b>Total Grant Processing</b>	<b>170 days</b>	<b>53%</b>	<b>62%</b>

\*Data from prior years not available

- ✓ During 2007, 65% of grant contracts were processed within 45 days within OPDF, an improvement over 2006 when only 59% were completed within 45 days.
- ✓ The percent of grant contracts returned within the 90-day standard was 61% during 2007, an improvement over 57% in 2006.

## Office of Program Development and Funding

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- √ In 2007, the percent of grant contracts processed within the 35-day target time frame for Financial Services processing improved, with 81% processed within standard.

### Re-entry Services

OPDF provides staff support for both the Statewide Re-entry Task Force, a multi-agency initiative chaired by DCJS, and the county-level re-entry task forces. OPDF developed and implemented the County Re-entry Task Force grant program in 2006, with nine county task forces established. The goal is to strengthen the community response to high-risk offenders transitioning from prison back to the community. These locally-led partnerships include law enforcement agencies, regional parole offices, social service and drug treatment providers, and victim advocacy organizations.

- √ The County Re-entry Task Force program was expanded to three more sites in 2007.

The task forces are supported by DCJS, the Division of Parole, the Office of Alcoholism and Substance Abuse Services and the Department of Correctional Services. The twelve counties awarded grants in 2007 are Dutchess, Erie, Monroe, Nassau, Niagara, Oneida, Onondaga, Orange, Rensselaer, Rockland, Suffolk and Westchester. OPDF provides training and on-going support to participating counties. All local task forces are required to report monthly activities, and are contractually required to provide detailed progress reports on the accomplishments of their task force. During 2007:

- √ The Statewide Re-entry Task Force developed several new workgroups to implement evidence-based reentry practices:
  - One workgroup developed and executed a plan to implement Section 366 (1-a) of the NYS Social Services Law which provides for the suspension and reinstatement of Medicaid for inmates receiving benefits at the time of incarceration.
  - A second workgroup was established to develop a multi-agency transition accountability planning (TAP) process for returning offenders.
  - A third workgroup comprised of DOCS, Parole, DPCA and DCJS worked to implement a risk and needs assessment tool to be used statewide by all agencies dealing with offenders who reenter the community.

### Support for Other Criminal Justice Initiatives

OPDF plays a key role in several criminal justices strategy and policy areas as detailed below.

- √ DCJS Violence Against Women Unit (VAWA) supplies Sexual Offense Evidence Collection Kits free of charge to hospitals, rape crisis centers and law enforcement to satisfy legal considerations in the collection and preservation of evidence. In the spring of 2007, VAWA staff embarked on a complete overhaul of the NYS Sexual Offense Evidence Collection Kit for the first time in approximately 20 years. Throughout 2007, they worked with various disciplines (approximately 30 professionals) to ensure proper formation of the kit. The new kits will be for distributed in 2008.

## Office of Program Development and Funding

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- √ The Motor Vehicle Theft and Insurance Fraud Prevention Unit (MVTIF Unit) of the Office of Program Development and Funding led a group of individuals over the past two years that represent the broad spectrum of law enforcement to evaluate and deploy the latest technology to further reduce motor vehicle related crime (e.g. unregistered and uninsured vehicles and unlicensed operation). The work group has been able to gain insight into effective strategies and technologies that greatly enhance the ability of law enforcement to further reduce crime. Through the dedicated work of the Unit, the digital License Plate Reader (LPR) has been identified as the next generation in this effort.
- √ Coordinated a statewide outreach to local law enforcement, prosecution, and not for profit agencies through mass mailings and electronic notifications to educate them on the status of the federal Byrne/ JAG grant awards for federal fiscal year 2008. A series of meetings with New York State's congressional representatives were also held.
- √ The Administration unit coordinates with the Office of Public Safety to ensure that all IMPACT contracts are processed efficiently and that agencies comply with all contractual requirements. During 2007, site visits were conducted with Operation IMPACT grantees to ensure compliance with goals and objectives.
- √ The Juvenile Justice Unit oversees the Youth Violence Reduction (YVR) strategy. There are 13 grantees in the IMPACT jurisdictions which support a variety of programs to reduce juvenile violence in their communities. Participating localities address gang involvement and gang violence, weapons possession and weapons use, recidivism among youth on probation and youth in aftercare, and drug abuse and underage drinking.

# Office of Justice Research and Performance

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## Mission

To inform criminal justice by providing research, analyses, performance data, statistics, and evaluations to criminal justice professionals, other government officials and the public.

## Scope of Operations

The Office of Justice Research and Performance (OJRP) provides support for the Division of Criminal Justice Services, its hosted agencies, and other State and local criminal justice agencies. The Office is comprised of six units:

- **Operations Unit** - Supports the Office. The Unit manages Office resources, develops and maintains Office policies and procedures, and ensures Office compliance with administrative obligations.
- **Crime Reporting and Data Quality Unit** - Oversees and operates the New York State Uniform Crime Reporting (UCR) program using both Summary and Incident Based Reporting (IBR) systems. The unit works directly with law enforcement agencies to ensure the accuracy, completeness, and timeliness of crime data, and generates data files for the FBI. It also maintains the Statewide Criminal Justice Directory and prepares other mandated reports.
- **Justice Systems Analysis Unit** - Develops data, information and reports on criminal justice processing. The unit prepares information for the public and the press, criminal justice policy makers, researchers, and public agencies. This unit also provides technical support for all OJRP staff by developing and maintaining complex analytical files. Specialized data files are also prepared for high-level research conducted by both DCJS and outside researchers.
- **Crime Research and Analysis Unit** - Conducts operational and program research using research methods and GIS (mapping). The Unit provides support for Operation IMPACT, the Crime Reporting Unit, as well as support for the Office for the Prevention of Domestic Violence and all domestic violence issues. The unit also prepares analytical maps.
- **Research and Evaluation Unit** - Analyzes criminal justice decision-making, policy, and practice; criminal behavior and careers; and program effectiveness. This unit conducts sentencing-related research, provides research and support for Offender Re-entry, and coordinates the Disproportionate Minority Contact program for DCJS.
- **Performance Management (Crimestat) Unit** - Coordinates the Crimestat program, and works with State criminal justice agencies and DCJS Offices to develop performance measures. The unit prepares reports for DCJS staff, executives in other State agencies, and local criminal justice agencies. The unit also provides analytical support for the Office of Forensic Services, sex offender-related analyses, the Division of Probation and Correctional Alternatives, and the State Commission of Correction.

## Key Public Service Areas

- Administer the State's Uniform Crime Reporting program;
- Provide data on crime, offenders, arrests, and criminal justice trends;
- Provide data to external researchers as authorized by statute;
- Provide research and analytical support to DCJS and other criminal justice agencies;
- Monitor the performance of DCJS, the criminal justice system and local criminal justice agencies.

# Office of Justice Research and Performance

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## Critical Objectives

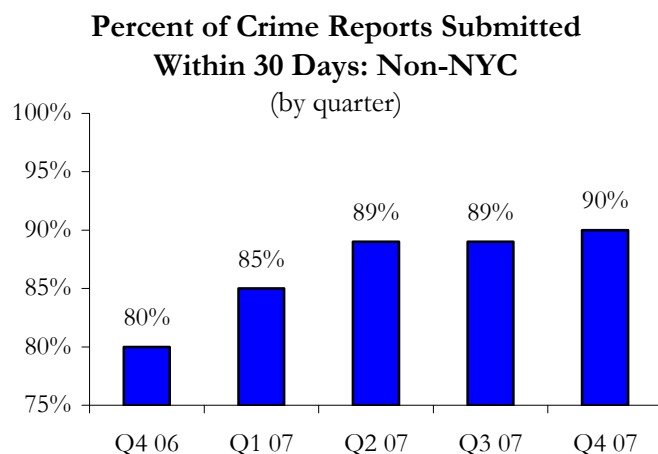
- Improve the timeliness and accuracy of crime reporting in New York;
- Respond quickly and accurately to requests for information and assistance;
- Provide support for Operation IMPACT, Offender Re-entry, Sex Offender Management and other key initiatives;
- Expand performance reports available to criminal justice managers and the public.

# Office of Justice Research and Performance

## Crime Reporting

Pursuant to New York State Executive Law, DCJS operates the New York State Uniform Crime Reporting (UCR) Program. Police agencies in New York State send monthly crime reports to DCJS which are then reviewed by staff for completeness and accuracy before being 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 dissemination to contributing agencies and to the public. During 2007, OJRP worked to improve the quality and timeliness of crime reports submitted to DCJS by local police agencies. Significant efforts were made in the following areas:

- ✓ OJRP partnered with the DCJS Office of Audit and Compliance (OAC) to design and deliver a unique crime reporting audit program which teams up staff from two DCJS offices. An auditor conducts the site visit accompanied by a technical crime reporting expert. This allows problems that surface during the site visit to be addressed on the spot with hands-on assistance by the technical expert. The first two audits were conducted in Fall 2007, with a full schedule in place for 2008.
- ✓ An in-house delinquency tracking process was implemented in late 2006. Staff closely monitor outstanding crime reports and a database tracks monthly follow-up with police agencies. During 2007, OJRP staff made 1,875 delinquency calls to 387 agencies.
- ✓ Crime reporting staff routinely provide technical assistance to police departments regarding crime reporting. During 2007:
  - OJRP staff responded to 382 requests for technical assistance.
  - Over 2,300 emails, faxes, and telephone calls were made to police departments regarding reporting issues and problems unrelated to delinquency.



- ✓ During the last three quarters of 2007, 89-90% of non-New York City crime data were reported within 30 days, as compared to 80% during the last quarter of 2006. This dramatic improvement is primarily due to the new delinquency tracking process.

OJRP has been working with the Office of Funding and Program Development (OPDF) to facilitate the timely reporting of crime data by police agencies around the State. As a condition of funding, all DCJS contracts with law enforcement now require that agencies report crime data within 30 days. A total of 184 contracted agencies had this requirement as of December 31, 2007.

# Office of Justice Research and Performance

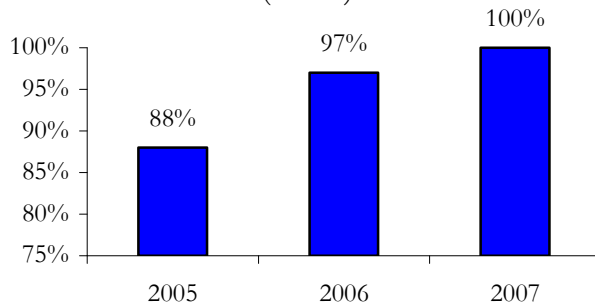
- ✓ During 2007, OPDF staff were trained on the use of the delinquency tracking system which allows contract managers to monitor contract compliance.

Contracts with Operation IMPACT agencies have even more stringent crime reporting requirements, and funding can be reduced if reports are submitted late. All 17 Operation IMPACT primary agencies are subject to the stricter reporting requirements.

**Percent of Crime Reports Submitted Within 30 Days - IMPACT Agencies**

(annual)

- ✓ During 2007, the 17 primary IMPACT agencies reported their crime data within 30 days as required 100% of the time, a marked improvement over 2005, when only 88% was reported.



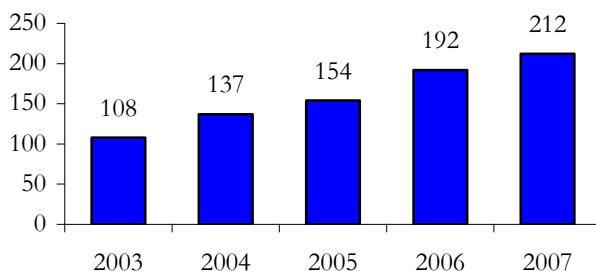
Data prior to 2005 not available.

Law enforcement agencies use one of two reporting systems to submit crime data to DCJS: Uniform Crime Reporting (UCR) and Incident Based Reporting (IBR). IBR records specific incident detail, including information about the offender, victim, and property. The majority of agencies in New York State still submit Uniform Crime Reports (UCR). Agencies that report through IBR send a file of electronic incident-based records to DCJS each month.

OJRP has been working to increase the number of agencies that submit crime data through Incident Based Reporting. IBR allows agencies to submit files electronically, and generally provides more accurate information on reported crime. When an agency switches to IBR, Crime Reporting staff must conduct extensive testing and oversee the transition process for the agency.

**Number of IBR Agencies**

(end of year)



- ✓ During 2007, 20 agencies were transitioned to IBR.
- ✓ 28% of the crime reported outside New York City is now reported through IBR.



# Office of Justice Research and Performance

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## Provide Criminal Justice Information and Analysis

OJRP provides analytical and statistical information to State and local criminal justice executives and managers, the press office, the public, local law enforcement, and researchers. Many information requests include requests for detailed crime statistics and arrest data. Case specific information provided to researchers requires that a detailed non-disclosure agreement be prepared and executed.

- √ During 2007, OJRP staff prepared data and analysis in response to 607 requests for information.
- √ OJRP staff also prepared and mailed OJRP publications in response to an additional 230 requests.
- √ OJRP worked with 19 research organizations which requested criminal history information. Non-disclosure agreements were prepared and executed, and staff prepared and delivered 21 case-specific research files.

## Support for Criminal Justice Initiatives

OJRP provides extensive support for offices within DCJS as well as other criminal justice agencies. Operation IMPACT, Sex Offender Management, DNA, Criminal Aliens, Offender Re-entry, and Jail Management all receive a significant level of support. In addition, analytical support is provided to the Division of Probation and Correctional Alternatives (DPCA) and the State Commission of Correction (SCOC).

### Support for Operation IMPACT

- √ OJRP prepared a comprehensive analysis each month of how crime, arrests, firearm-related crime and shooting incidents were trending. These analyses are used by IMPACT staff and partners to target State assistance and resources to the areas that need attention.
- √ The Crimestat unit developed and now distributes IMPACT-specific reports to facilitate compliance with DNA collections, the management of sex offenders, the submission of crime gun records for trace, and the usage of the SAFETNet deconfliction system within the IMPACT sites. These reports are distributed electronically each month to all IMPACT partners.
- √ OJRP staff use the statewide warrant database and computerized criminal history records to prepare case specific reports for jurisdictions that are planning warrant apprehension initiatives. This data helps police prioritize warrants, making warrant sweep initiatives more productive. During 2007, case-specific files were developed and provided in support of 17 local warrant initiatives.
- √ OJRP organized three trainings in 2007 for local law enforcement which focused on improving local crime and intelligence analysis capacities.

# Office of Justice Research and Performance

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- ✓ OJRP staff participated in a joint effort with OJIS and the NYS Office of Cyber Security and Critical Infrastructure Coordination to develop a system that will provide local enforcement agencies with web-based access to maps containing multiple layers of socio-economic, infrastructure, and offender data.

## Support for Offender Re-Entry

- ✓ During 2007, OJRP researchers developed a risk score methodology for use by State agencies and county re-entry task forces. A score is now generated for each offender scheduled for release to the community. These scores are used by the Division of Parole and the local task forces to determine risk of re-offense, which is critical for case planning.
- ✓ OJRP supports the County Re-entry Task Force initiative which is funded by DCJS. In 2007, staff designed and developed a monthly County Reentry Task Force report to provide each task force with county-specific information on referrals, the re-entry population, and success in the community. This report is distributed monthly to each task force and all State and local agencies which participate.
- ✓ OJRP worked with OPDF to coordinate the implementation of the federally-funded Prisoner Re-Entry Initiative for offenders being released from the Queensboro Correctional Facility. Activities included the development of operating procedures to identify offenders, case-tracking and data-sharing protocols between service providers, the Department of Correctional Services and the Division of Parole.

## Support for Other Initiatives

- ✓ OJRP researchers provided extensive research and analytical support for the Governor's Commission on Sentencing Reform.
- ✓ Since 2002, OJRP has coordinated statewide strategic planning for the Disproportionate Minority Contact (DMC) Compliance Management Program funded through federal Juvenile Justice formula grant funds. DMC programs seek to reduce disproportionate minority contact with the criminal justice system at the local level. During 2007, OJRP staff delivered four training sessions to local juvenile justice professionals to educate and sensitize selected counties and municipalities about Federal requirements. In addition, OJRP provided technical assistance to 11 jurisdictions on the delivery and implementation of local DMC intervention and reduction strategies.
- ✓ OJRP continued to coordinate the Criminal Alien Improvement strategy which monitors state systems to ensure that deportable criminal aliens are not released to the community. During 2007, OJRP worked with the Department of Correctional Services (DOCS) and Division of Parole to review the system for identifying candidates for Early Conditional Parole for Deportation (ECPDO). The current system and reports were modified, resulting in a significant increase in potential ECPDO candidates.

# Office of Justice Research and Performance

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- ✓ During 2007, OJRP staff prepared 68 reports and responded to 32 requests for probation-related analyses by DPCA, local probation agencies, and DCJS offices.

## Crimestat and Performance Reports

OJRP coordinates Crimestat, the performance management program for criminal justice. During 2007, OJRP worked with statewide criminal justice agency managers and executives to develop new performance reports for criminal justice. These reports are used by criminal justice officials and the public.

Monthly performance reports are provided to more than 500 police agencies, 62 district attorneys' offices, 58 probation departments, 58 sheriffs, and hundreds of executives and managers within State criminal justice agencies each month and provide feedback on areas that need attention. These reports are also posted to eJusticeNY, the secure website for law enforcement, where they are available to 46,000 customers. These reports ensure that agencies not only know where they need to improve, but also enable DCJS program staff to identify agencies that need to be contacted for follow-up and technical assistance. Monthly reports developed during 2007 include:

- ✓ A series of **Sex Offender Management Reports** were developed to assist the Board of Examiners of Sex Offenders, the Sex Offender Registry, the Office of Court Administration and local courts and local law enforcement in case tracking and workload monitoring. These reports provide information on outstanding sex offender photos and sex offenders whose risk levels are pending with the courts. A separate report on offender photos was also developed for Operation IMPACT jurisdictions.
- ✓ A series of **DNA Reports** were developed to assist in the monitoring of DNA collections. Several probation-specific DNA reports were developed to assist DPCA in monitoring local probation departments. DPCA now electronically disseminates these reports to the County Probation Directors each month.
- ✓ **Firearms Activity Report** provides firearm activity data by IMPACT agency, including information on shooting incidents involving injury or death, shooting victims (persons hit), and firearm –related murders.
- ✓ **Jail Population Outside New York City Report** provides average daily census data for local jails outside of New York City for the past 13 months. This report was developed by OJRP through a collaborative effort with SCOC.
- ✓ **Probationer Recidivism Report** provides information on county-specific felony re-arrests for probationers. Rates if re-arrest are reported after one, two and three years from the date of the sentence to probation.
- ✓ **IMPACT County Offender Recidivism Report** provides data on offenders released from prison and subsequently returned to prison within one, two and three years from the date of release. Detail is provided for each IMPACT county.

## Office of Justice Research and Performance

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- √ **County Re-entry Task Force Report** provides county detail on the number of parolees released to the county, the number referred to the re-entry task forces, the residence, program and employment status of parolees within task force counties, and violation activity of county offenders.

# Office of Administration

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## **Mission**

To reduce crime and increase effectiveness by providing support services to the Division of Criminal Justice Services (DCJS) and hosted agencies.

## **Scope of Operations**

The Office of Administration provides support for the Division of Criminal Justice Services, the Division of Probation and Correctional Alternatives, the Crime Victims Board, the State Commission of Correction, the Office for the Prevention of Domestic Violence, and the Board of Examiners of Sex Offenders. The office includes the following program areas:

- **Human Resources Management** - Responsible for position classification, training, examination planning, 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. It is responsible for purchasing, contracts, in-house grants, and voucher payments. It 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, and development of the Continuity of Operations Plan.

## **Key Public Service Areas**

- Monitor staffing levels for the Division of Criminal Justice Services and hosted agencies;
- Monitor compliance with Equal Employment Opportunity/Affirmative Action Policy (Executive Order No. 6), sexual harassment prevention and human rights laws;
- Manage the contracting process for local assistance grants;
- Manage cash, revenue, and local assistance funds;
- Manage the budgeting process, and provide fiscal support for the Division of Criminal Justice Services and hosted agencies;
- Manage the agency fleet, equipment inventory, printing, central supply and security program.

## **Critical Objectives**

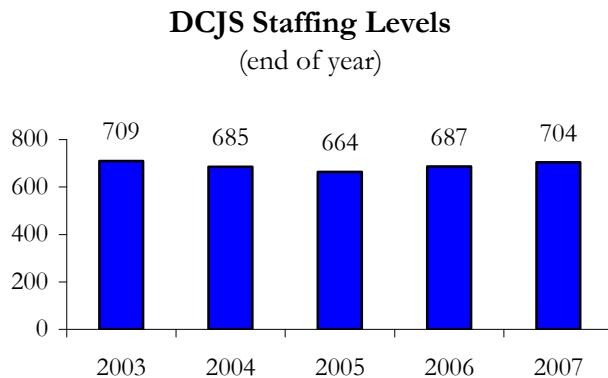
- Ensure that the agency and hosted agencies are adequately staffed to meet their organizational objectives;
- Ensure that contracts are processed within prescribed timeframes;
- Ensure that recruitment, selection and promotional opportunities are transparent and equitable;
- Ensure the efficient and effective execution of procurements, and payments to vendors;
- Ensure that the agency and hosted agencies have appropriations and spending plans to meet organizational goals and objectives;
- Ensure adequate space, equipment, and telecommunications for the agency and hosted agencies.

# Office of Administration

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## 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, as well as providing technical guidance and support in the areas of organizational development, labor relations, interviewing and recruitment, cultural awareness and diversity, position classification, staff development and payroll and benefits.



✓ DCJS was funded to support a fill level of 746 for the 2007 - 2008 fiscal year. Staff attrition, primarily due to retirements, has resulted in critical vacancies that program areas are working to fill.

In 2007, Human Resources Management was redesigned to improve the support provided to agency program managers. A centerpiece of the redesign was the establishment of the Diversity and Equity Programs unit in support of a key initiative to diversify the agency workforce. There was also a renewed focus on customer service. Human Resources Staff now hold regular “customer service” meetings with all Deputy Commissioners to ensure resources are effectively supporting program goals.

In 2007, HRM provided extensive support for maintaining an effective workforce that can meet the needs of agency managers. HRM staff:

- ✓ Completed 838 personnel transactions involving new hires, promotions and other payroll and staffing actions;
- ✓ Completed 231 personnel transactions involving classification of new positions, reclassification of existing positions, extension of temporary positions and other actions;
- ✓ Worked with the Department of Civil Service to hold examinations for nine unique DCJS titles;
- ✓ Developed a decentralized examination for the Latent Fingerprint Examiner title series;
- ✓ Trained agency staff on the probation and performance evaluation process;
- ✓ Provided technical labor relations guidance and support to supervisors and managers.

# Office of Administration

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## 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)

	2006	2007
Grant Contracts Executed	876	1,327
Contract Dollars Processed (Millions)	\$120.7	\$120.4

- ✓ During 2007, Financial Services processed 1,327 grant contracts, an increase (+51%) from 2006. Over \$120 million was distributed to grantees in 2007.

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, Office of Legal Services, 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**  
(annual)

	2005	2006	2007
Financial Services Processing Time (Median Days)	16	15	16

- ✓ During 2007, Financial Services consistently met its goal, processing grant contracts within 16 days, well under the 35-day processing time target.

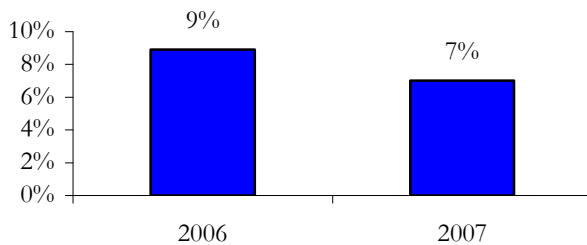
Financial Services reviews grant contracts prepared by program staff before submission to OSC and the AG for approval. Contracts that are inconsistent with OSC and AG guidelines are returned to OPDF for correction or modification. Financial Services and OPDF have set a goal of reducing the number of contracts rejected to less than 10 per month, or less than 120 per year.

- ✓ During 2007, 93 grant contracts were rejected, higher than 2006, but still well within the established goal of 120 per year.

# Office of Administration

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



✓ Rejected contracts represented only 7% of total contracts processed. Financial Services and OPDF continue to work closely to ensure that grant contracts submitted for processing are complete and error-free.

Financial Services is responsible for paying all vouchers within the 30-day time frame 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 2007, Financial Services met these targets.

**Voucher Processing: Late Payments**  
(annual)

	2005	2006	2007
Vouchers Paid Late	52	89	108
Interest Paid	\$4,123	\$13,521	\$6,587

- ✓ During 2007, Financial Services paid 108 vouchers late, as compared to 89 in 2006 and 52 in 2005. The late vouchers represent 1% of the 11,000 total vouchers processed.
- ✓ A total of \$6,587 in interest on late vouchers was paid in 2007, as compared to \$13,521 in 2006. This represents a reduction of 49%.

Financial Services continues to implement improvements to the automated Financial Management System (FMS), which processes all transactions and provides automated access to agency financial transactions. FMS provides the necessary infrastructure for other business system improvements. New York State is in the process of developing a statewide financial management system, and DCJS is represented on the State project team in order to ensure that the agency’s interests and needs are considered as the project moves forward.

The improvements to FMS allowed DCJS to automate the purchase requisition process. Agency staff can now directly enter purchase requisitions into an automated system and track the status of each transaction. DCJS processes approximately 1,250 requisitions annually, and automation has decreased turn-around time for processing.



# Office of Administration

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DCJS continues to operate under decentralized program budgeting which provides program managers with the authority to make spending decisions based on operational needs. Each Deputy Commissioner is provided with a personnel target and budget allocation for the fiscal year, and monthly expenditure reports are provided to assist managers in monitoring resources. Decentralized program budgeting has streamlined the financial decision-making process within the agency, and the Office of Administration continues to develop additional tools to assist managers in the resource allocation process.

## 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 can now be processed in-house at significant savings. The savings generated from processing printing/copying jobs for DCJS and its hosted agencies are tracked. This calculation is based upon an estimate of the cost of each printing/copying job as if it were sent to the Office of General Services for processing. These costs are accumulated on a monthly basis and reported as savings from In-House Printing/Copying.

### Print Jobs (annual)

	2006	2007
Print Jobs Requested	1,140	1,332
Estimated Savings from In-House Printing/Copying	\$219,000	\$277,900

- √ Between January and December 2007, Administrative Services processed and completed 1,332 print jobs (an average of 111 per month) and 100% were completed within the time frame requested.
- √ Administrative Services saved \$277,900 during 2007 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 mailing. This service includes folding and inserting correspondence into envelopes.

- √ During 2007, Administrative Services completed 132 bulk mail requests. All requests were completed within the customer's specified time period.

In 2007, Administrative Services developed a Continuity of Operations Plan (COOP) to prepare the agency for emergency situations. The COOP includes a hazard analysis, risk reduction procedures, mitigation activities and a response plan.

# Office of Legal Services

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## **Mission**

To reduce crime and improve criminal justice by providing legal advice and counsel to the Division of Criminal Justice Services.

## **Scope of Operations**

The Office of Legal Services (OLS) provides legal advice and guidance to the Commissioner and agency managers from both DCJS and its hosted agencies (DPCA, SCOC, OPDV and CVB). OLS provides guidance to agency staff in carrying out of the agency's mission, including legal issues related to access to criminal history records, the administration of the DNA Databank, law enforcement training and accreditation, and agency procurement. OLS is responsible for FOIL requests, administrative rulemaking, ethics issues, and outside employment requests. OLS also coordinates Human Trafficking, and is responsible for training law enforcement agencies regarding trafficking issues and reviews, and working with the Office of Temporary and Disability Assistance to determine if victim referrals are eligible for victim services. The Crimes Against Revenue Program, which focuses on prosecution of financial crimes in 13 designated counties, is also coordinated through OLS. In addition, OLS acts as a liaison between the Commissioner, in her capacity as Assistant Secretary for Criminal Justice, and the hosted agencies to facilitate coordination of criminal justice policy.

The OLS Law Library maintains subscriptions to Westlaw, Lexis, and Premise. It also contains various legal publications, including the McKinney's Consolidated Laws of New York, the United States Code Annotated, Attorney General and Comptroller Opinions, the NYCRR, and legal treatises; and maintains a complete set of New York State telephone books. The Law Library is also responsible for ordering and maintaining legal research publications and materials for the Division.

## **Key Public Service Areas**

- Act as legal advisor to the Municipal Police Training Council, the Law Enforcement Accreditation Council, the Security Guard Advisory Council, the State Committee for Coordination of Police Services for the Elderly (TRIAD), the Statewide Law Enforcement Telecommunications Committee, the Motor Vehicle Theft and Insurance Fraud Prevention Board, the Juvenile Justice Advisory Group, the Commission on Forensic Science, and the DNA Subcommittee;
- Respond to questions and requests for legal opinions from agency staff, and provide legal review and guidance on procurement matters;
- Review, in consultation with the Office of Temporary and Disability Assistance, human trafficking victim referrals to determine if they are eligible for victim services;
- Conduct training on human trafficking and other legal issues;
- Act as liaison with the Attorney General on agency-related litigation;
- Review and respond to all Freedom of Information Law requests;
- Review all ethics issues;
- Review and comment on pending legislation and draft legislation;
- Maintain and update resources of the OLS Law Library;
- Provide continuing legal education for Division and other criminal justice agency attorneys.

# Office of Legal Services

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## Critical Objectives

- Ensure compliance with all applicable federal and State laws and regulations;
- Provide relevant legal advice and counsel to agency policymakers and staff;
- Ensure that human trafficking victim referrals are promptly reviewed and processed.

# Office of Legal Services

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## Human Trafficking

In September 2007, OLS established a Director of Human Trafficking to implement the provisions of the State's new human trafficking legislation.

- √ OLS participated in 14 human trafficking training sessions in 2007 at locations around the State to train law enforcement officials regarding the legislation, including new Penal Law offenses and a human trafficking victim confirmation process.
- √ Emergency regulations were drafted and promulgated, setting forth the procedures for confirming victims of human trafficking to receive services under the law.

## Crimes Against Revenue Program

During 2007, OLS worked with participating district attorneys' offices to assist and encourage the prosecution of individuals and entities that deliberately fail to pay tax obligations.

- √ In 2007, almost \$7 million was collected.

## Ethics

In response to the Public Employee Ethics Reform Act of 2007 and former Governor Spitzer's Executive Order #1, the following activities were undertaken during 2007:

- √ A new nepotism policy was developed and was under review at the end of the year;
- √ Agency-wide ethics training was provided;
- √ The ethics section of the DCJS employee handbook was revised;
- √ 83 employee requests to engage in outside employment were reviewed.

# Office of Audit and Compliance

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## **Mission**

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

## **Scope of Operations**

The Office of Audit and Compliance 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. The Office conducts fiscal audits of entities receiving Federal and State funding to ensure that monies are spent in accordance with contract terms. In addition, the Office of Audit and Compliance conducts reviews of selected DCJS operations to ensure that internal controls have been established and programs are operating effectively.

This office fulfills the statutory requirement for the DCJS internal audit function. It also offers internal audit services to the DCJS-hosted agencies: Crime Victims Board, the Division of Probation and Correctional Alternatives, the State Commission of Correction, the Office for the Prevention of Domestic Violence, and the Board of Examiners of Sex Offenders.

## **Key Public Service Areas**

- Conduct reviews of agency operations to ensure effective and efficient use of State resources;
- Protect privacy by ensuring that criminal history record information is disseminated consistent with State and Federal law;
- Conduct audits of entities receiving Federal and State funds to ensure that monies are spent in accordance with contract.

## **Critical Objectives**

- Evaluate the adequacy and effectiveness of internal controls within DCJS;
- Ensure that users of criminal history record information are in compliance with use and dissemination policies established by the National Crime Information Center (NCIC) policy and applicable State laws;
- Ensure that grantees meet contract requirements.

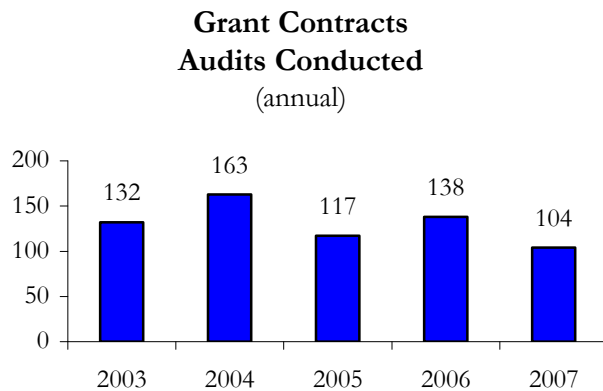
# Office of Audit and Compliance

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During 2007, the Office of Audit and Compliance focused on three major areas: Financial Audits; Criminal History Record Information Reviews; and Court Record Reviews.

## Financial Audits

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.



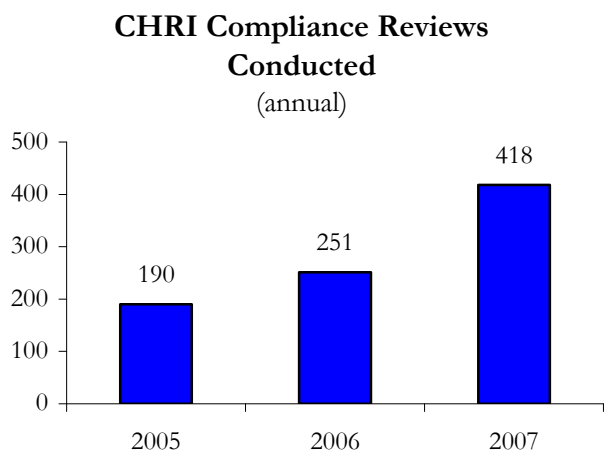
√ During 2007, the Office of Audit and Compliance conducted 104 fiscal audits of grant contracts.

√ Audit staff recommended recovery of \$70,184 in grantee expenditures.

## Criminal History Record Information Reviews

The Office of 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 from 25 to 100 transactions at each agency reviewed. Documentation is reviewed for each transaction to ensure that requests for CHRI are consistent with State, Federal and local laws.

√ During 2007, the Office of Audit and Compliance reviewed 418 agencies that used official criminal history record information (rapsheets), an increase of 67% compared to 2006. The reviews showed that nearly 80% of the agencies reviewed during 2007 were in compliance.



# Office of Audit and Compliance

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## Court Record Reviews

In 2005, the office initiated a process to verify the accuracy of DCJS criminal history records. On-site audits continued to be conducted during 2007 at courts where case records maintained in the courts were compared to the arrest and disposition data provided to DCJS for inclusion in the criminal history record. During each review, a sample of 50 – 120 dispositions are compared to source documentation retained by the court.

### Court Reviews Conducted

(annual)

	2005	2006	2007
Number of Court Reviews	20	26	10

- √ During 2007, the audit unit reviewed 10 courts to verify the accuracy of dispositions reported to DCJS. Findings were shared with the individual courts, providing valuable feedback on records accuracy.
- √ The court reviews showed that there was a 94% accuracy rate among the courts reviewed in 2007.