

THE COUNCIL OF THE CITY OF NEW YORK

Hon. Christine C. Quinn  
Speaker of the Council

Hon. Elizabeth Crowley  
Chair, Committee on Fire and Criminal Justice Services



## Hearing on the Fiscal 2014 Preliminary Budget & the Fiscal 2013 Preliminary Mayor's Management Report

Department of Correction

**March 7, 2013**

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## Department of Correction Overview

The Department of Correction (DOC) provides custody, control and care of misdemeanants and felons sentenced to one year of incarceration or less; detainees awaiting trial or sentencing; newly sentenced felons awaiting transportation to State correctional facilities; alleged parole violators awaiting revocation hearings; and State prisoners with court appearances in New York City. Professional care and services, including health and mental health care, opportunities for religious observance, educational instruction, vocational training, discharge planning and substance abuse counseling are provided. In Fiscal 2012, the Department processed over 84,500 admissions and releases and managed an average daily population of 12,300 individuals.

This report provides a review of the Department of Correction's Preliminary Budget for Fiscal 2014. In the section below, the Fiscal 2014 Budget is presented in a chart which details the agency's spending by Personal Services (PS) and Other Than Personal Services (OTPS) followed by a discussion of the major changes proposed for Fiscal 2014, the DOC's overtime spending and its Revenue Budget. The report then includes the Financial Plan Summary chart which provides an overview of the Department's budget by program area, funding source, and headcount. The summary is followed by each of the Department's program areas which discusses initiatives included in the November and January Financial Plans and reviews relevant sections of the Preliminary Mayor's Management Report for Fiscal 2013. The final section includes a review of the proposed capital budget for the Department with a discussion of significant changes proposed to the Ten-year Capital Strategy and the four-year Capital Plan.

## Fiscal 2014 Preliminary Budget Highlights

<b>072 – Department of Correction</b>					
	<b>2012</b>	<b>2013</b>	<b>2013</b>	<b>2014</b>	<b>*Difference</b>
<i>Dollars in Thousands</i>	<b>Actual</b>	<b>Adopted</b>	<b>Jan. Plan</b>	<b>Jan. Plan</b>	<b>2013 - 2014</b>
Personal Services	\$954,243	\$929,237	\$945,665	\$935,931	\$6,694
Other Than Personal Services	124,546	120,815	124,008	123,243	2,428
<b>Agency Total</b>	<b>\$1,078,789</b>	<b>\$1,050,051</b>	<b>\$1,069,673</b>	<b>\$1,059,174</b>	<b>\$9,123</b>

*\*The difference of Fiscal 2013 Adopted compared to Fiscal 2014 January Plan funding.*

The Department of Correction's Fiscal 2014 Preliminary Budget of \$1.059 billion is \$9.1 million more than its Fiscal 2013 Adopted Budget of \$1.050 billion. The \$9 million increase is due to an increase in the Personal Services (PS) budget of \$6.7 million and an increase in the Other Than Personal Services (OTPS) budget of \$2.4 million.

The Fiscal 2013 current modified budget of \$1.069 billion is \$19.6 million greater than the adopted budget of \$1.050 billion. The \$19.6 million increase is due to an increase in the PS budget of \$16.4 million and an increase of \$3.2 million in the OTPS budget. (See Appendix A for a list of all the changes to the Fiscal 2013 and 2014 Budgets since Adoption.) Highlights of the Department's Budget are listed below.

- **Uniform Operating Level Funding Adjustment.** The November 2012 Plan included baseline funding of approximately \$21 million beginning in Fiscal 2014 to support an increase of 244 correction officer positions. (see page 6 and 16 for further details)
- **Cancellation of the re-opening of Queens Detention Complex.** The November 2012 Plan announced the cancellation of the DOC's plan to reopen the Queens Detention Complex. The PEG cut 234 positions and \$24 million from the Fiscal 2014 Budget. (see page 14 )
- **Super Storm Sandy Related Overtime.** The January Financial Plan includes \$84.6 million to cover storm related costs for the Department of Correction. The Department's expense budget for Fiscal 2013 schedules \$2.4 million for Sandy-spending, all of which is funded with federal aid. The principal storm related expenses included \$2.4 million in employee overtime for emergency response. The Preliminary Capital Commitment Plan added \$82.2 million for projects related to the storm. These include \$48.7 million in repairs to three Department facilities that sustained storm damage and \$33.5 million for shoreline restoration. Sandy capital funding is currently forecast in the January Capital Commitment Plan as City funds. These funds will be treated as grant funds by the City and the commitments will be transferred to a Federal Non-City budget code as they are spent. (see page 16 and 28)

## Department of Correction Financial Plan Summary

<i>Dollars in Thousands</i>	2012 Actual	2013 Adopted	2013 Jan. Plan	2014 Jan. Plan	*Difference 2014 - 2013
<b>Budget by Program Area</b>					
Administration-Academy and Training	\$32,221	\$5,908	\$5,829	\$5,800	(\$108)
Administration-Mgmt. & Administration	47,180	47,620	43,424	47,993	373
Health and Programs	13,631	11,549	14,236	11,236	(313)
Jail Operations	895,052	918,453	934,636	926,705	8,252
Operations-Hospital Prison Ward	16,288	12,145	12,145	12,145	0
Operations-Infrastructure. & Environ. Health	43,074	32,770	34,347	31,274	(1,496)
Operations-Rikers Security & Ops	31,344	21,606	24,057	23,931	2,325
<b>TOTAL</b>	<b>\$1,078,789</b>	<b>\$1,050,051</b>	<b>\$1,069,673</b>	<b>\$1,059,174</b>	<b>\$9,123</b>
<b>Funding</b>					
City Funds	\$1,058,821	\$1,038,801	\$1,043,484	\$1,046,912	\$8,111
Other Categorical	3,523	1,000	1,490	1,000	0
Capital - IFA	724	724	724	724	0
State	1,330	1,109	1,359	1,109	0
Federal - Other	14,258	8,286	19,750	9,286	1,000
Federal – Other (FEMA)	0	0	2,386	0	0
Intra City	132	131	480	143	12
<b>TOTAL</b>	<b>\$1,078,789</b>	<b>\$1,050,051</b>	<b>\$1,069,673</b>	<b>\$1,059,174</b>	<b>\$9,123</b>
<b>Positions</b>					
Full-Time Positions - Civilian	1,413	1,716	1,592	1,571	(145)
Full-Time Positions - Uniform	8,540	8,854	8,962	8,869	15
<b>TOTAL</b>	<b>9,953</b>	<b>10,570</b>	<b>10,453</b>	<b>10,547</b>	<b>(23)</b>

*\*The difference of Fiscal 2013 Adopted compared to Fiscal 2014 January Plan funding.*

The Department of Correction's Financial Plan Summary table provides an overview of the Department's budget by program area, funding source and headcount. The Department's budget for Fiscal 2014 increases by \$9.1 million from Fiscal 2013 to 2014 and the Fiscal 2013 budget increases by \$19.6 million since adoption.

At the time of Adoption for Fiscal 2013, the agency's estimated budget of \$1.059 billion for Fiscal 2014 was \$9 million greater than the Adopted 2013 budget of \$1.050 billion. All of the budget actions introduced since last June combined have increased the Fiscal 2014 budget by only \$391,000.

The November 2012 and January 2013 Financial Plans introduced several significant changes to DOC's Fiscal 2013 and 2014 Budget. For Fiscal 2014 these include \$40.4 million in Programs to Eliminate the Gap (PEGs), \$13.9 million in other adjustments, a PEG Restoration and Substitution (PRS) of \$2.9 million, offset by a new need of \$23.9 million. The most significant of these actions were the \$8.1 million cut to civilian staffing eliminating 100 positions from DOC's civilian

headcount and the \$24.2 million PEG that cancelled the reopening of the Queens Detention Complex. This was almost entirely offset by a baseline uniform headcount increase of 244 positions and \$21.2 million. Combined, the above actions reconcile the agency to its current budget of \$1.059 billion for Fiscal 2014, which accounts for the year over year change of \$9.1 million.

Since Fiscal 2013 Adoption several initiatives have increased the size of Fiscal 2013 Budget to \$1.069 billion. These changes include \$20.4 million in PEGs, \$13.9 million in other adjustments, a PRS of \$2.9 million, offset by new needs of \$23.3 million. For Fiscal 2013 the headcount increase of 257 uniform positions absorbs the entire PEG amount. Combined, the above actions reconcile the agency to its current budget of \$1.069 billion for Fiscal 2013, which accounts for the increase of \$19.6 million from the Adopted Fiscal 2013 Budget.

## **Financial Plan Summary Highlights**

### **Program Areas**

- ✓ The Fiscal 2014 budget for the program area “Jail Operations” shows growth \$8.3 million compared to the Fiscal 2013 Adopted budget and the program area “Operations-Rikers Security and Operations” shows growth of \$2.3 million. These increases are offset by reductions and other adjustments of \$1.5 million in the remaining program areas.

### **Funding**

- ✓ The Fiscal 2014 City-funded portion of the budget shows growth of \$8.1 million compared to the Fiscal 2013 Adopted budget and the modified budget for Fiscal 2013 shows growth of \$4.7 million.
- ✓ For Fiscal 2014 Federal revenue increases by \$1 million compared to Fiscal 2013 and the current modified budget for Fiscal 2013 shows growth of \$13.8 million.

### **Headcount**

- ✓ The agency’s overall headcount decreases by 23 positions from Fiscal 2013 to 2014, with a reduction of 145 civilian positions and an increase of 15 uniform positions. The current modified budget for Fiscal 2013 decreases the civilian headcount by 124 positions and increases the uniform headcount by 108 positions, a net reduction of 16 positions.

## **DOC Workforce – Uniform and Civilian Staffing**

The Department of Corrections Fiscal 2014 Preliminary budget supports a workforce of 8,869 uniformed employees and 1,611 civilian positions. According to Commissioner Schriro, “88% of the uniform staff are assigned to the Riker’s Island Jails, borough facilities and the courts, 7% are assigned to transportation and central security posts and the last 5% are assigned to other important services. 25% of the civilian staff are assigned to facility maintenance, 16% are assigned to food and nutritional services, 5% are assigned to occupational health and safety and, 54% perform necessary administrative, legal, financial, investigative, information technology, and



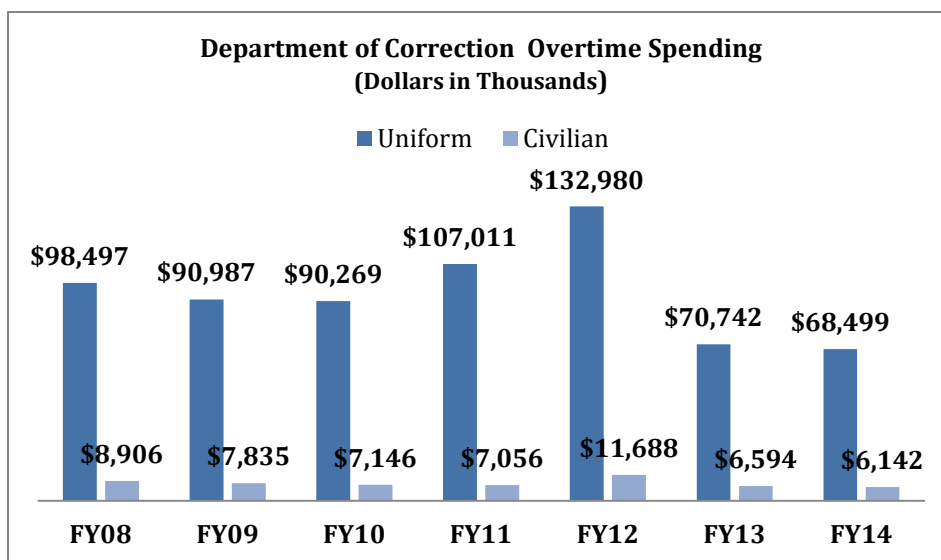
social service functions.” (June 1, 2012 testimony before the New York City Council Fire and Criminal Justice Services Committee.)

At present DOC operates approximately 3,600 security posts, some of which are operated on all three tours. In order to staff its security posts on straight time, DOC would need 9,237 correction officers. As a foundational matter, the number of security posts and the number of correction officers needed depends largely on the average daily population and the custody management needs of the inmates in the correctional facility. While the average daily population (ADP) for inmates has dropped by 11.3 percent in the last five years (the ADP in Fiscal 2008 was 13,850 compared to ADP in Fiscal 2012 of 12,287) DOC’s authorized headcount was still under the level needed to staff its security posts without the use of overtime.

In the last five years, DOC has budgeted an average of \$63.4 million for its overtime expenditures but has spent upwards of \$30 million more each year as the Department has been forced to staff fixed security posts on overtime rather than straight time. In Fiscal 2012 DOC’s budgeted uniform headcount was 8,404, which was 833 positions short of the need, causing DOC to spend almost twice as much as the projected overtime cost this year.

During the course of the Fiscal 2012 and 2013 the Office of Management and Budget (OMB) worked with DOC through several budget initiatives to secure the resources needed to increase the agency’s overtime budget and headcount. In Fiscal 2012 one-time funding of \$27.8 million for overtime was added to cover the shortfall. The November 2012 plan included baseline increases to the agency’s overtime budget and headcount for Fiscal 2013 and the outyears. With the increase in headcount, the Fiscal 2013 budget includes 8,962 positions, 275 positions short of the need and the Fiscal 2014 budget includes 8,869 positions 368 positions short of the need. While it does not appear that DOC will come nearly as close to its 2012 overtime, spending some additional overtime costs beyond the budgeted amount is expected.

The November 2012 Plan included additional overtime funding of \$3 million in Fiscal 2013 and a baseline increase of \$6 million beginning in Fiscal 2014. Of note, the January Plan recognizes the receipt of \$2.4 million in FEMA revenue for Fiscal 2013 to cover overtime expenditures related to Super Storm Sandy. The chart below provides the agency overtime budget for both uniform and civilian with actuals for Fiscal 2008-2012 and Fiscal 2014 Preliminary Plan numbers for FY13 and FY14.



- ✓ In the last five years DOC has spent an average of \$103.9 million on overtime with an increase of 35 percent in spending during the same time period. As mentioned above, DOC spent nearly twice as much in 2012 on overtime than the budgeted amounts in Fiscal 2013 and 2014; however, with the increase in headcount DOC should not exceed the budget by a significant amount.

Chart two below, reconciles the agency's uniform headcount from Fiscal 2013 Adoption to the Fiscal 2014 Preliminary Budget disaggregated by the budget actions in the November 2012 Plan.

<b>DOC Uniform Headcount Changes</b>				
	<b>FY13</b>	<b>FY14</b>	<b>FY15</b>	<b>FY16</b>
Uniform HC as of Fiscal 2013 Adoption	8,854	8,854	8,646	8,646
November 2012 Plan Changes				
<b>PEGS</b>				
Closure of Queens Detention Center	(208)	(208)	0	0
Five Day Recreation Schedule		(50)	(50)	(50)
Transportation Garage Post Reduction	(2)	(2)	(2)	(2)
<b>Sub-total</b>	<b>(210)</b>	<b>(260)</b>	<b>(52)</b>	<b>(52)</b>
<b>New Needs</b>				
Uniform Operating Level	257	244	244	244
<b>Sub-total</b>	<b>257</b>	<b>244</b>	<b>244</b>	<b>244</b>
<b>Other Adjustments</b>				
Financial Plan Savings	30	0	0	0
<b>Sub-total</b>	<b>30</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>PEG Restorations</b>				
Emergency Services Unit	31	31	31	31
<b>Sub-total</b>	<b>31</b>	<b>31</b>	<b>31</b>	<b>31</b>
<b>Total Changes</b>	<b>108</b>	<b>15</b>	<b>223</b>	<b>223</b>
Uniform HC as of Fiscal 2014 Preliminary Budget	8,962	8,869	8,869	8,869

- ✓ Uniform headcount increases by 108 positions in Fiscal 2013, by only 15 positions in Fiscal 2014 and by 223 positions annually beginning in Fiscal 2015. The total changes in headcount for Fiscal 2015 is double that of the headcount in Fiscal 2013. Based on the current number of positions needed by DOC to operate its security posts on straight time, the increase in headcount should significantly reduce the Department's reliance on overtime to staff posts. (Please see below for relevant budget actions)

### Correction Officer Recruitment

To address the shortfall in uniform headcount the Department has been aggressive in its attempt to hire additional officers. In Fiscal 2012, the Department graduated four classes of recruits. A class of 188 recruits in September 2011, 125 recruits in December 2011, 260 recruits in April

2012, and a class of 322 recruits in June 2012. For Fiscal 2013 and Fiscal 2014 the Department expects to continue its aggressive hiring.

### DOC Miscellaneous Revenue

The Department of Correction collects revenue from jail commissary operations, vending machines and surcharges on inmate telephone calls. This revenue is recognized in the Miscellaneous Budget (Agency 098); it is not included in the “funding” section of DOC’s Financial Plan Summary on pg. 3. Commissary funds are generated by the sale of commissary goods. The chart below provides actual revenue for Fiscal 2011 and 2012 and projected revenue for Fiscal 2013 and 2014. Of note, of the approximately \$6.7 million in “Other” miscellaneous revenues projected for Fiscal 2014 and the outyears, about \$6.4 million is generated by inmate telephone fees.

<i>(Dollars in Thousands)</i>	<b>Actual Revenue</b>		<b>Projected Revenue</b>	
	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
Vending Machine	\$392	\$418	\$598	\$628
Commissary Funds	13,275	14,020	13,000	14,500
Other	9,122	9,884	6,187	6,675
<b>TOTAL</b>	<b>\$22,790</b>	<b>\$24,322</b>	<b>\$19,785</b>	<b>\$21,803</b>

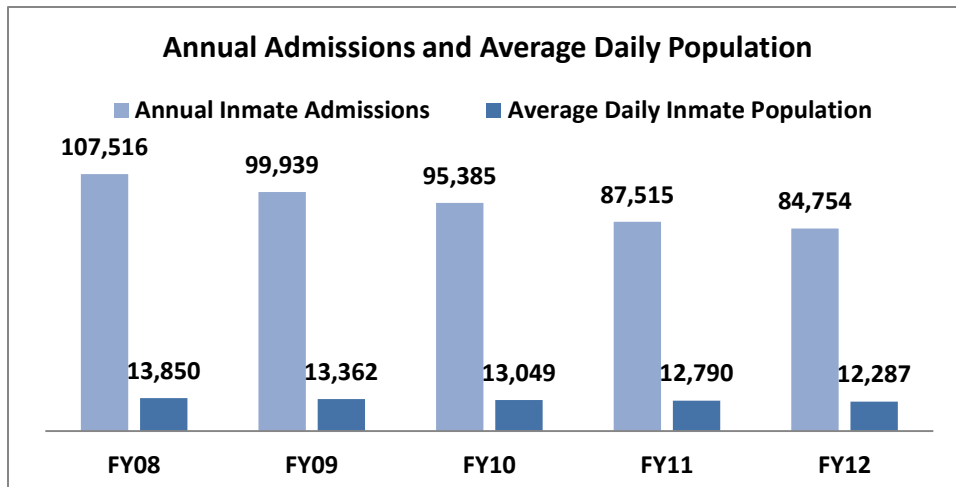
*Source: Fiscal 2012 Comprehensive Annual Fiscal Report and January 2013 Financial Plan: Revenue*

### Inmate Population of the Correctional System

As mentioned above, the number of security posts and the number of correction officers needed depends largely on the average daily population and custody management needs of inmates in the correctional facility. The Preliminary Mayor’s Management Report (PMMR) provides a limited amount of data related to the inmate population. The next chart shows inmate admissions and average daily population from 2008-2012; the PPMR includes this data for 2010-2012. The PMMR does not include projections for 2013 and 2014, which makes it difficult to discuss whether the funded headcount in the Fiscal 2014 Preliminary Budget will be sufficient to provide adequate security and custody management.

The graphs below provide data on the population of inmates in the correctional system.

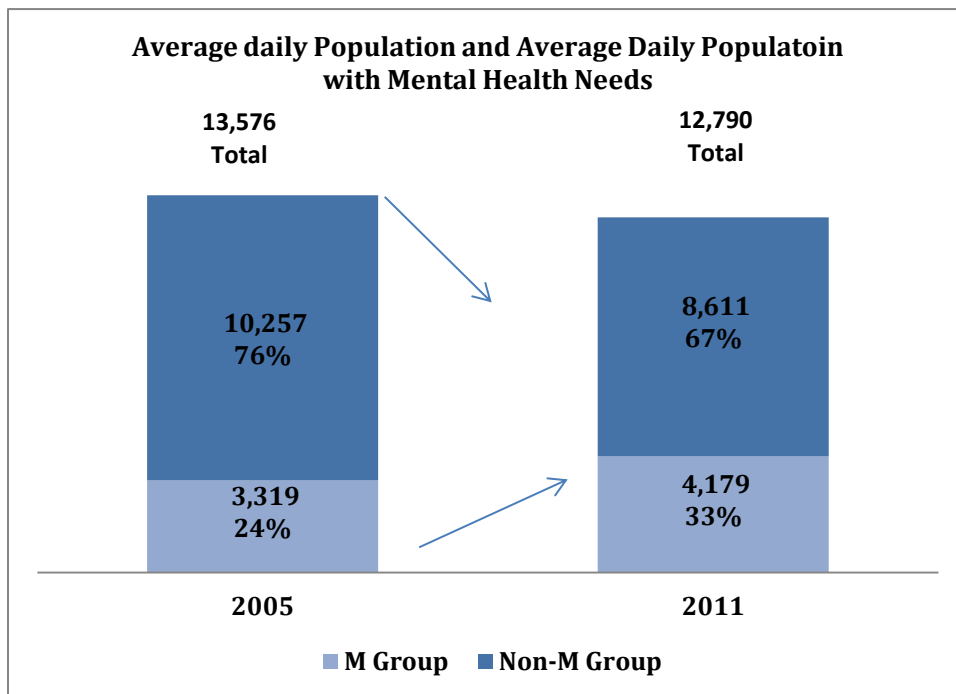
The first graph “Annual Admissions and Average Daily Population” provides the total number of admissions and average daily population for all inmates from Fiscal 2008 through Fiscal 2012.



Source: Department of Correction website and Fiscal 2012 Mayor's Management Report

- ✓ Annual admissions have dropped by 21.2 percent in the last five years from 107,516 in Fiscal 2008 to 84,754 in Fiscal 2012.
- ✓ ADP has dropped by 11.3 percent in the last five years from 13,850 in Fiscal 2008 to 12,287 in Fiscal 2012.

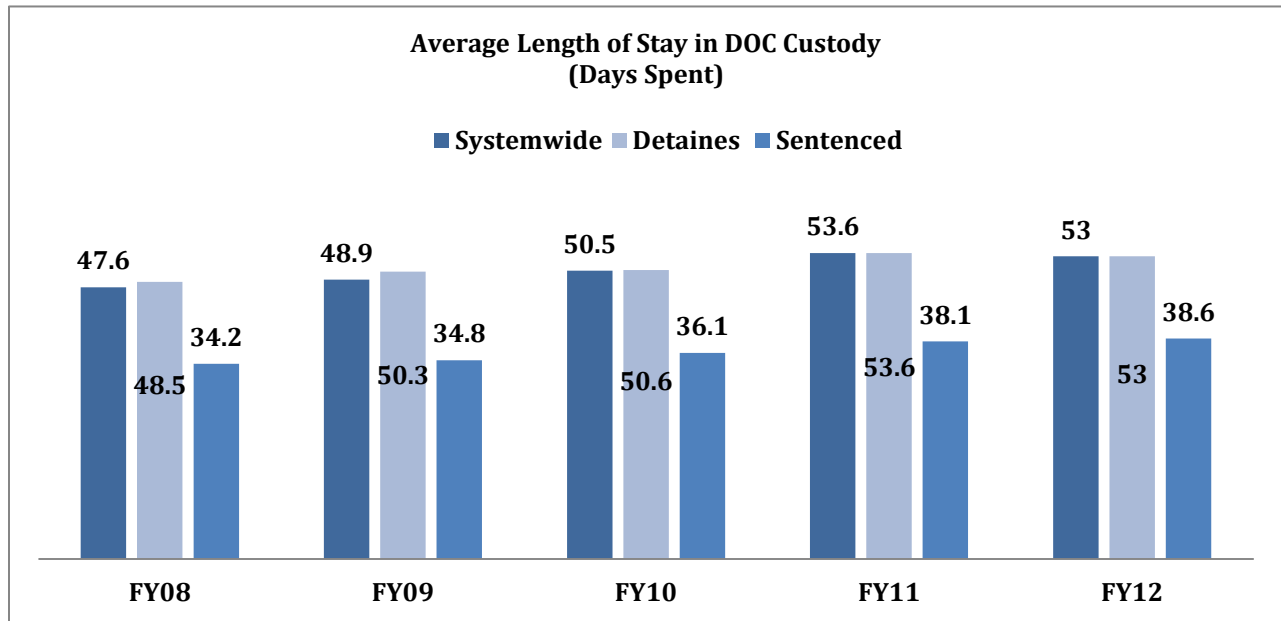
The second graph “Average Daily Population and Average Daily Population with mental health needs” provides a snap shot of data in Fiscal 2005 and Fiscal 2011 which shows the number and percentage of the general population of inmates (“Non-M Group”) and the number and percentage of inmates diagnosed with mental health needs (“M Group”).



Source: CSG Justice Center December 2012 report

- ✓ While the both the total ADP and Non-M group ADP has dropped since Fiscal 2005 (six percent for the total ADP and 16 percent for Non-M Group ADP) the M Group ADP has increased by 26 percent making it the greater proportion of the average daily population. (see discussion on page x for further details regarding the M Group population)

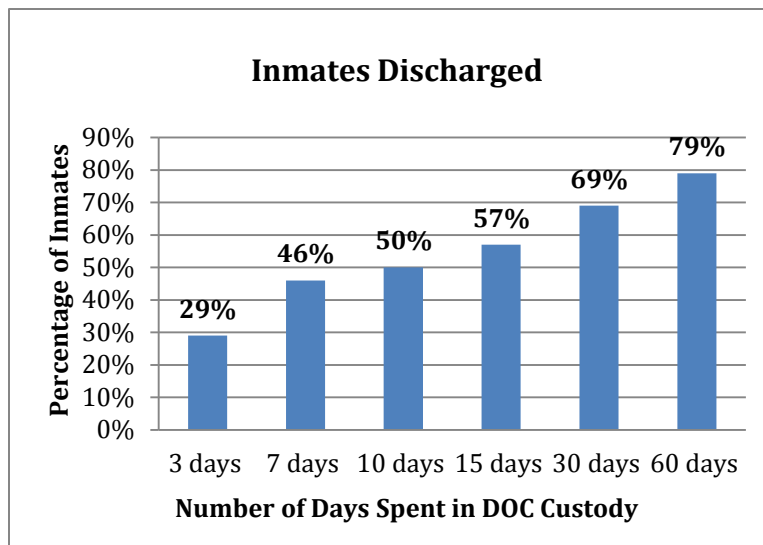
The third graph “Average Length of Stay (ALOS)” disaggregates the average length of stay by inmates in the following categories: systemwide, detainees and sentenced.



Source: Department of Correction website and Fiscal 2012 Mayor’s Management Report

- ✓ Whereas both admissions and the average daily population have declined since Fiscal 2008, the systemwide ALOS for all inmates shows growth of 11.3 percent from 47.6 days in Fiscal 2008 to 53 days in Fiscal 2012.
- ✓ The ALOS for detainees shows growth of 9.3 percent in the last five years from 48.5 days in Fiscal 2008 to 53 days in Fiscal 2012.
- ✓ The ALOS for sentenced inmates shows growth of 12.9 percent in the last five years from 34.2 days in Fiscal 2008 to 38.6 percent in Fiscal 2012.

Finally, the “Inmates Discharged” graph provides the percentage of inmates who are discharged from the Department’s custody within the given time periods from three to 60 days for Fiscal 2012.



Source: Department of Correction

- ✓ As seen in the graph above 50 percent of all inmates are discharged from DOC’s custody in 10 days, followed by 80 percent being released within 60 days.

### Citywide Justice and Mental Health Initiative:

In September 2011, Mayor Bloomberg formed the Citywide Justice and Mental Health Initiative which sought to address the high rate of mentally ill inmates within the Department of Correction.

The goals of the steering committee included examining data-driven policy options and developing new strategies for managing justice-involved individuals who had mental health needs. The necessity to address this subset of the inmate population was driven by the fact that although citywide crime rates and annual admissions into DOC custody have dropped over last couple of years, the inmate population is older, charges are more severe, the average length of stay is longer, and individuals are more likely diagnosed with mental illness.

In December 2012, the Council of State Governments Justice Center (CSG Justice Center) released a report which included key findings and policy recommendations developed through the initiative to address justice involved individuals with mental health needs. Below is a summary of the key findings and policy recommendations from the CSG Justice Center followed by budget actions that were included in the Fiscal 2014 Preliminary Budget.

#### Key Findings:

- ALOS is 112 days for people diagnosed with a mental illness compared to 61 days for individuals in general population without a mental health diagnosis.
- Individuals with a mental illness were less likely to post bail and those who did manage to post bail took five times longer with an ALOS of 48 days versus 9 days.

- The ALOS for individuals with serious mental illnesses (SMI) were shorter at 91 days versus 128 days for individuals with mental illnesses who did not meet the criteria of SMI. Of note, according to the New York State Office of Mental Health, in order to be diagnosed with SMI, “the diagnosable disorder must result in functional impairment that substantially interferes with or limits one or more major life activities.”
- Individuals with mental health needs encountered delays in their case processing for a variety of reasons which made it difficult to provide supervision and treatment options to aid in reducing recidivism. These reasons included but were not limited to 1) information not being available to judges or prosecutors as sentencing decisions were being considered, 2) limited community based options such as alternative to detention or alternative to incarceration programs, and 3) limited data regarding criminogenic risk or behavioral health needs.

### **Policy Recommendations**

In December 2012, the CSG Justice Center presented a policy frame work and strategies to the Steering Committee, which included the following:

1. Determine levels of risks and needs for individuals entering the DOC in order to identify appropriate considerations for community-based supervision and treatment.
2. Provide pretrial, plea, and sentencing options that allow people with mental health needs to reenter the community while maintaining public safety. These options include pretrial alternatives to detention, alternatives to incarceration, and sentences that include post-incarceration supervision to ensure a safe transition to the community for those at the greatest risk of re-offense.
3. Establish centralized hubs to coordinate and communicate assessment information and community-based supervision and treatment options to ensure that individuals are efficiently and consistently linked to appropriate community-based services, while allocating system-wide resources effectively.

The Administration announced a Plan to create Court-based Intervention and Resource Teams (CIRTs) to implement the recommendations of the Steering Committee. According to the Mayor’s press release in December 2012, “Under the new plan, “CIRTs” in each borough will collect and quickly relay information on defendants’ mental health care needs, risk of flight and risk of re-offense to the court-based teams to recommend appropriate judicial responses for each defendant’s specific risks and mental health needs.” The program’s objective is to divert mentally ill inmates from incarceration and into alternative to detention and alternative to incarceration supervision programs with access to clinical care services

CIRTs will coordinate assessment information and make recommendations to the judges based on verified data with the following options:

- Defendants with a significant mental health issue who do not pose a substantial risk of re-arrest or failure to appear will be recommended for release to community-based supervision and services while their cases are pending in court. These services will be provided by experienced groups who will report to the court on their clients' progress.
- A second defendant group, those who do not pose a substantial risk of being re-arrested but pose a high risk of not appearing in court, will be eligible for alternatives to incarceration where they can get needed services and care.
- Offenders who pose a high risk of flight and re-arrest will not be eligible for diversion.

To support this multi-agency effort the Fiscal 2014 Preliminary Budget includes the following resources: the Criminal Justice Coordinator is funded at \$1.8 million in Fiscal 2014 and \$5.4 million in Fiscal 2015 and the out years to support contractual services provided by ATD and ATI community-based programs. The Department of Health and Mental Hygiene is funded at \$469,000 in Fiscal 2014 and \$1.2 million in Fiscal 2015 and the outyears to provide Jail based mental health outreach and community coordination at the borough based hubs. Lastly, DOC's capital budget is funded at \$500,000 in Fiscal 2013. The Department of Correction did not provide details regarding this budget action as of this writing.



## Program Areas

### Jail Operations

Jail Operations includes funding for the operation of the jails on Rikers Island and in the boroughs, custody of inmates at the various court pens, and transportation of DOC inmates to and from court. Most DOC uniformed staff are budgeted in this program area.

<i>Dollars in Thousands</i>	2012 Actual	2013 Adopted	2013 Jan. Plan	2014 Jan. Plan	*Difference 2014 - 2013
<b>Spending</b>					
<b>Personal Services</b>					
Full-Time Salaried – Civilian	\$38,255	\$50,743	\$43,383	\$45,583	(\$5,160)
Full-Time Salaried – Uniform	547,256	588,185	599,852	594,654	6,469
Additional Gross Pay	82,251	101,730	103,180	102,581	851
Overtime - Civilian	4,979	6,142	6,594	6,142	0
Overtime - uniform	120,482	63,801	70,742	68,499	4,698
<b>Other Salaried and Unsalariated</b>	2,691	2,807	2,807	2,807	0
<b>Fringe</b>	21,486	23,868	24,264	24,088	220
<b>Subtotal PS</b>	<b>\$817,400</b>	<b>\$837,276</b>	<b>\$850,822</b>	<b>\$844,354</b>	<b>\$7,078</b>
<b>Other Than Personal Services</b>					
Contractual Services	\$3,078	\$2,649	\$2,762	\$3,919	1,270
Fixed and Misc. Charges	50	2,726	14	2,726	0
Other Services and Charges	31,330	34,601	34,655	34,196	(405)
Property and Equipment	1,611	1,049	1,130	1,049	0
Social Services	3,222	3,134	3,462	3,134	0
Supplies and Materials	38,360	37,017	41,791	37,328	311
<b>Subtotal OTPS</b>	<b>\$77,651</b>	<b>\$81,176</b>	<b>\$83,814</b>	<b>\$82,352</b>	<b>\$1,176</b>
<b>TOTAL</b>	<b>\$895,051</b>	<b>\$918,452</b>	<b>\$934,636</b>	<b>\$926,706</b>	<b>\$8,254</b>
<b>Funding</b>					
City Funds	NA	\$908,058	\$911,212	\$915,311	\$7,253
Federal - Other	NA	8,286	18,479	9,286	1,000
Federal - Other (FEMA)	NA	0	2,386	0	0
Intra-City	NA	0	200	0	0
Other Categorical	NA	1,000	1,000	1,000	0
State	NA	1,109	1,359	1,109	0
<b>TOTAL</b>		<b>\$918,453</b>	<b>\$934,636</b>	<b>\$926,706</b>	<b>\$8,253</b>
<b>Positions</b>					
Full-Time Positions - Civilian	743	982	856	886	(96)
Full-Time Positions - Uniform	7,513	8,297	8,366	8,282	(15)
<b>TOTAL</b>	<b>8,256</b>	<b>9,279</b>	<b>9,222</b>	<b>9,168</b>	<b>(111)</b>

\*The difference of Fiscal 2013 Adopted compared to Fiscal 2014 January Plan Funding.

## Preliminary Budget and November Plan Actions

The Fiscal 2014 budget for Jail Operations shows growth of \$8.3 million from Fiscal 2013 to Fiscal 2014. The Fiscal 2013 budget shows growth of \$16 million since adoption. The November and January Financial Plans included several budget actions that increased the size of the Fiscal 2013 and Fiscal 2014 budgets. For Fiscal 2014 the budget includes a new need of \$21.2 million to support 244 correction officer positions, other adjustments of \$6 million for funds realignment, offset by PEGs totaling \$19.2 associated with the closure of the Queens Detention Complex. For Fiscal 2013, the budget includes a new need of \$22.2 million to support 257 correction officer positions, other adjustments of \$3.5 million, offset by PEGs totaling \$9.6 associated with the closure of the Queens Detention Complex.

## Programs to Eliminate the GAP (PEGs)

- **Cancelation of Queens Detention Complex (QDC).** The Fiscal 2013 budget included \$9.5 million in Fiscal 2013 and \$19.2 million in Fiscal 2014 to re-open and operate the Queens Detention Complex on a temporary basis as a 456-bed swing space while various facilities on Rikers Island underwent construction. Funding supported 234 positions (208 uniform and 26 civilian). New need funding of approximately \$3.1 million in Fiscal 2013 and \$5.7 million in Fiscal 2014 were included in the budget of the Department of Health and Mental Hygiene (DoHMH) associated with the provision of correctional health services.

According to the Office of Management Budget, funding for this initiative was not base lined as it was anticipated that once construction on Rikers Island was completed the swing space would no longer be needed.

The November Plan included a PEG that removed the 234 positions and corresponding funding of \$12 million in Fiscal 2013 and \$24.2 million in Fiscal 2014. According to OMB the Department offered the PEG as it would no longer need the additional swing space to carry out the required capital projects.

- **State Criminal Alien Assistance Program (SCAAP) funding.** The Federal government reimburses the Department of Correction for its costs associated with jailing illegal immigrants through the SCAPP. At its peak, the Department had received upwards of \$21 million annually in SCAPP funding, but over the last three years SCAAP funding averaged only \$12.5 million. The Fiscal 2012 modified budget and 2013 Adopted budget baslined a total of \$13.2 million in City tax-levy in Fiscal 2013 and the outyears to replace lost federal revenue.

According to OMB, the U.S. Department of Justice (DOJ) is in the process of initiating a policy change that will impact the amount of federal reimbursement that the Department is eligible to receive starting in Fiscal year 2014. The policy change will no longer allow for payments of "unknown" alien status inmate days. According to information found on DOJ's website, DOJ will postpone the elimination of reimbursements for unknown alien status for one year. In recognition of this delay, the November 2012 Plan added \$6.4 million in federal revenue for Fiscal 2013 only. This action will have no net effect on the agency's budget; it represents only the replacement of City-tax levy with Federal revenue.

- **Medically Monitored Staff Policy Change.** In Fiscal 2012 DOC revised its policy regarding medically monitored (MM) staff. Medically Monitored staff fall into the following

three categories: 1) MM1 – fit for duty but cannot work overtime; 2) MM2 – fit for duty but inmate contact is limited and; 3) MM3 – limited and or no inmate contact. DOC limited the amount of time that a correction officer could be on MM3 status while receiving their base salary and benefits to no more than nine months in order to prevent abuse of the sick leave. According to DOC few correction officers were categorized as MM1 or MM2, however 284 correction officers were categorized as MM3. The Fiscal 2013 budget included annual savings of \$2.4 million with the anticipated return to duty of 25 correction officers. The November 2012 Plan included additional savings of \$150,000 in Fiscal 2013 and \$300,000 annually in Fiscal 2014 by decreasing the frequency of office visits for correction officers on MM3 status from every two weeks to once per month.

- **Northern Border Prosecution Revenue.** The U.S. Department of Justice has a program called the Northern Border Prosecution Initiative (NBPI) that provides funds to local governments in 14 northern states for prosecution and detention services involving certain individuals referred by the Immigration and Customs Enforcement (ICE) and the U.S. Marshals Service. In a funding switch, the November 2012 Plan recognized the receipt of NBPI funds of \$1.2 million in Fiscal 2013 and \$1 million in Fiscal 2014. This action will have no net effect on the agency's budget; it represents only the replacement of City-tax levy with Federal revenue.
- **Reduce Adolescent Punitive Segregation Capacity.** The November Plan included a PEG proposal that would allow DOC to convert an adolescent punitive segregation housing unit into a general population unit. According to DOC, 34 beds would be converted from cells to dorms reducing DOC's reliance on overtime expenditures. The November Plan recognized savings of \$162,000 in Fiscal 2013 and \$323,000 annually beginning in Fiscal 2014.
- **Civilian Vacancy Reduction.** OMB has identified savings of approximately \$4 million in Fiscal 2013 and \$8 million annually beginning in Fiscal 2014 by reducing 100 vacant civilian positions. This represents a six percent cut of the authorized civilian headcount. According to DOC this PEG is problematic because services rendered by civilians are not limited to administrative duties but include trade crews and cooks who provide essential services to the operation of the Department.
- **Civilian Personal Service Accrual Savings.** OMB has identified one time savings of \$3.9 million in Fiscal 2013 due to hiring delays. According to DOC this PEG is problematic as accruals are often used to offset overtime needs.
- **Five Day Recreation Schedule.** The November Plan reinstated a previously failed PEG which would reduce 50 uniform positions through attrition by compressing the inmate recreation schedule from seven days per week to five days per week. The proposed change to the recreation schedule would, however, increase total weekly recreation time by 30 minutes to 7.5 hours a week. If DOC is successful in receiving a variance from the Board of Correction (BOC) the budget would allow for annual savings of \$5 million beginning in Fiscal 2014.
- **Four Day Visit Schedule.** The November Plan reinstated a previously failed PEG to compress the visitation schedule for detainees and City-sentenced inmates from five to four

days. According to the Department, the policy revision will not impact services. According to OMB when the PEG was originally proposed, DOC will be able to generate savings within its uniform overtime budget by reducing posts at the visit house that are currently run on overtime. If DOC is successful in receiving a variance from the BOC the budget would allow for annual savings of \$1.3 million beginning in Fiscal 2014. Of note, the amount of PEG savings have been reduced by \$1.6 million compared to the \$2.9 million proposal in Fiscal 2010.

- **Post Reduction at Transportation Garage.** The November Plan included a PEG to reduce one correction officer position at the transportation garage. The budget includes savings of \$33,380 in Fiscal 2013 and \$67,414 in Fiscal 2014 and the outyears.

### Other Adjustments

- **Overtime Increase.** The November 2012 Plan included \$3 million in Fiscal 2013 and \$6 million annually beginning in Fiscal 2014 to increase DOC's uniform overtime budget. This additional funding will help to cover costs associated with DOC's headcount short fall.
- **Super Storm Sandy Related Overtime.** The January Financial Plan includes \$2.4 million in federal aid to cover storm related overtime costs for uniform and civilian employees. Of that amount \$2.1 million is for uniform employees and \$252,000 is for civilian employees. the Department of Correction.

### New Needs

- **Uniform Operating Level.** The November 2012 Plan included \$22.3 million in Fiscal 2013 and \$21 million annually beginning in Fiscal 2014 to increase DOC's uniform headcount. This is significant headcount increase which should allow DOC to reduce its reliance of staffing security posts on overtime.
- **Jail Management System (JMS).** DOC's Jail Management system is a new comprehensive database that will manage the daily activities of inmates in the correctional facility. Some of the programs features include the ability to track jail incidents by type, location, date and time, inmate booking and tracking from the time of admission until discharge as well as inmate health records. According to OMB, "JMS will replace the old inmate information system. \$1.2 million will fund the completion of an organizational readiness plan, a run book and operational procedures, a knowledge transfer plan, an operational support plan, a transition plan, and conclusion of the warranty period."

The January Plan includes new need funding of \$271,044 in Fiscal 2013 and \$948,654 in Fiscal 2014 to support the jail management system. Corresponding funding of \$7.3 million is included in the Capital budget for Fiscal 2013.

## Operations – Rikers Security and Operations

This program area provides for operational security throughout all of the Department's facilities including the Emergency Service Unit, the tactical team on call 24 hours a day for critical situations; the Tactical Search Operation, to assist in maintaining order and retrieving inmate contraband; and the Rapid Response Team, for heightened security alerts on Rikers Island such as inmate escape attempts or potential riot situations.

<i>Dollars in Thousands</i>	2012 Actual	2013 Adopted	2013 Jan. Plan	2014 Jan. Plan	*Difference 2013 - 2014
<b>Spending</b>					
<b>Personal Services</b>					
Full-Time Salaried – Civilian	\$1,949	\$2,083	\$2,083	\$2,083	\$0
Full-Time Salaried – Uniform	15,451	16,789	19,114	19,114	2,325
Additional Gross Pay	2,796	0	0	0	0
Overtime - Civilian	295	0	0	0	0
Overtime - uniform	5,995	0	0	0	0
Fringe	82	0	0	0	0
<b>Subtotal PS</b>	<b>\$26,567</b>	<b>\$18,872</b>	<b>\$21,197</b>	<b>\$21,197</b>	<b>\$2,325</b>
<b>Other Than Personal Services</b>					
Contractual Services	\$2,065	\$408	\$1,239	\$408	\$0
Other Services and Charges	0	0	3	0	0
Property and Equipment	728	595	762	595	0
Supplies and Materials	1,984	1,731	1,855	1,731	0
<b>Subtotal OTPS</b>	<b>\$4,777</b>	<b>\$2,734</b>	<b>\$3,859</b>	<b>\$2,734</b>	<b>\$0</b>
<b>TOTAL</b>	<b>\$31,344</b>	<b>\$21,606</b>	<b>\$25,057</b>	<b>\$23,931</b>	<b>\$2,325</b>
<b>Funding</b>					
City Funds	NA	\$21,606	\$24,250	\$23,931	\$2,325
Federal - Other	NA	0	806	0	0
<b>TOTAL</b>		<b>\$21,606</b>	<b>\$25,057</b>	<b>\$23,931</b>	<b>\$2,325</b>
<b>Positions</b>					
Full-Time Positions - Civilian	37	45	45	45	0
Full-Time Positions - Uniform	184	236	267	267	31
<b>TOTAL</b>	<b>221</b>	<b>281</b>	<b>312</b>	<b>312</b>	<b>31</b>

\*The difference of Fiscal 2013 Adopted compared to Fiscal 2014 January Plan Funding.

The Fiscal 2014 budget for Operations – Rikers Security and Operations shows growth of \$2.3 million from Fiscal 2013 to Fiscal 2014. The Fiscal 2013 budget shows growth of \$3.4 million from the adopted budget. The November Plan included a PEG Restoration of \$2.3 million that restored 31 correction officer positions increasing both the Fiscal 2013 and 2014 budgets. In addition, the November Plan recognized federal grant revenue of \$806,000.

## PEG Restorations and Substitutions

- **Emergency Services Unit Daytime Staffing.** According to the Department's website, "the Emergency Services Unit is the elite, tactical team the Department relies on during emergencies that rise above the level of any individual facility. The Emergency Services Unit [is] the Department's 24-hour-a day crisis management team, [which] is designed to handle any emergency at a moment's notice."

The Fiscal 2010 Budget included a \$2.9 million PEG that would have removed 31 uniform positions through attrition from the Emergency Service Unit Funding. Due to the fact that DOC was unable to implement this headcount reduction, \$2.9 million is being added back into the baseline budget starting in Fiscal 2014.

## Operations – Infrastructure and Environmental Health

DOC is responsible for maintaining the infrastructure on Rikers Island, including building system improvements, facilities reconstruction, repair and daily maintenance. Funds budgeted in this program area support this work.

<i>Dollars in Thousands</i>	2012 Actual	2013 Adopted	2013 Jan. Plan	2014 Jan. Plan	*Difference 2013 - 2014
<b>Spending</b>					
<b>Personal Services</b>					
Full-Time Salaried – Civilian	\$17,717	\$19,951	\$19,951	\$18,539	(1,412)
Full-Time Salaried – Uniform	2,878	3,443	3,444	3,443	0
Additional Gross Pay	1,296	0	0	0	0
Overtime - Civilian	5,486	0	0	0	0
Overtime - uniform	583	0	0	0	0
PS Other	(424)	0	0	0	0
Fringe	36	0	0	0	0
<b>Subtotal, PS</b>	<b>\$27,572</b>	<b>\$23,394</b>	<b>\$23,395</b>	<b>\$21,982</b>	<b>(1,412)</b>
<b>Other Than Personal Services</b>					
Contractual Services	\$9,648	\$4,410	\$5,451	\$4,326	(\$84)
Fixed and Misc. Charges	1,050	0	0	0	0
Property and Equipment	150	166	118	166	0
Supplies and Materials	4,656	4,799	5,383	4,799	0
<b>Subtotal, OTPS</b>	<b>\$15,504</b>	<b>\$9,375</b>	<b>\$10,952</b>	<b>\$9,291</b>	<b>(\$84)</b>
<b>TOTAL</b>	<b>\$43,076</b>	<b>\$32,769</b>	<b>\$34,347</b>	<b>\$31,273</b>	<b>(\$1,496)</b>
<b>Funding</b>					
City Funds	NA	\$32,770	\$34,397	\$31,274	(\$1,496)
Intra City	NA	0	50	0	0
<b>TOTAL</b>		<b>\$32,770</b>	<b>\$34,447</b>	<b>\$31,274</b>	<b>(\$1,496)</b>
<b>Positions</b>					
Full-Time Positions - Civilian	229	252	252	228	(24)
Full-Time Positions - Uniform	33	44	44	44	0
<b>TOTAL</b>	<b>262</b>	<b>296</b>	<b>296</b>	<b>272</b>	<b>(24)</b>

*\*The difference of Fiscal 2013 Adopted compared to Fiscal 2014 January Plan Funding*

The Fiscal 2014 budget for Operations – Infrastructure and Environmental Health shows a drop of \$1.5 million from Fiscal 2013 to Fiscal 2014. The Fiscal 2013 budget shows growth of \$1.7 million from the adopted budget. For Fiscal 2014 the decrease is due to PEGs and other adjustments that were included in the November Plan. For Fiscal 2013, the increase is attributable to a new need for *Benjamin* litigation related projects.

## Programs to Eliminate the GAP (PEGs)

- **Reorganize Support Services Division.** The November Plan included a PEG to eliminate seven vacant civilian positions in the Support Services Division for savings of approximately \$600,000 annually beginning in Fiscal 2014. According to OMB, services provided by staff within the support services division would be streamlined so that staff would no longer be assigned to a single facility but would perform work in various facilities.
- **Construction Vehicle Lease Reduction.** The November Plan recognized OTPS savings of \$84,000 in Fiscal 2014 and \$168,000 annually beginning in Fiscal 2015 due to a reduction of leased construction vehicles. The Department will acquire its own vehicles. The purchase costs are reflected in the capital budget.

## New Needs

- **“Benjamin” Litigation.** The January Plan includes new need funding of \$1 million in Fiscal 2013 and \$1.7 million in Fiscal 2014 to support ongoing work stemming from the *Benjamin* Litigation. Funding will support work related to fire life safety, ventilation and sanitation within the jails.



## Operations – Hospital Prison Ward

The Department maintains secure facilities in two city hospitals, including the Elmhurst Hospital Prison Ward, for female inmates requiring acute psychiatric care, and the Bellevue Hospital Prison Ward for male inmates requiring psychiatric or medical care. All of the funding in this program area supports uniform personnel costs.

<i>Dollars in Thousands</i>	2012 Actual	2013 Adopted	2013 Jan. Plan	2014 Jan. Plan	*Difference 2013 - 2014
<b>Spending</b>					
<b>Personal Services</b>					
Full-Time Salaried – Uniform	\$11,880	\$12,145	\$12,145	\$12,145	\$0
Additional Gross Pay	1,992	0	0	0	0
Overtime - Civilian	0	0	0	0	0
Overtime - uniform	2,252	0	0	0	0
Other Salaried and Unsalariated	0	0	0	0	0
Fringe	163	0	0	0	0
<b>Subtotal, PS</b>	<b>\$16,288</b>	<b>\$12,145</b>	<b>\$12,145</b>	<b>\$12,145</b>	<b>\$0</b>
<b>TOTAL</b>	<b>\$16,288</b>	<b>\$12,145</b>	<b>\$12,145</b>	<b>\$12,145</b>	<b>\$0</b>
<b>Funding</b>					
City Funds	\$16,288	\$12,145	\$12,145	\$12,145	\$0
<b>TOTAL</b>	<b>\$16,288</b>	<b>\$12,145</b>	<b>\$12,145</b>	<b>\$12,145</b>	<b>\$0</b>
<b>Positions</b>					
Full-Time Positions - Uniform	144	154	154	154	0
<b>TOTAL</b>	<b>144</b>	<b>154</b>	<b>154</b>	<b>154</b>	<b>0</b>

*\*The difference of Fiscal 2013 Adopted compared to Fiscal 2014 January Plan Funding*

The Fiscal 2014 budget for Operations – Hospitals Prison Ward remains unchanged.

## Health and Programs

This program area includes funding for programs ranging from discharge planning services to various correctional industries including the bakery, tailor shop, laundry, and print shop. These programs are designed to keep inmates healthy and attempt to eliminate the root causes of recidivism among inmates.

<i>Dollars in Thousands</i>	2012 Actual	2013 Adopted	2013 Jan. Plan	2014 Jan. Plan	*Difference 2013 - 2014
<b>Spending</b>					
<b>Personal Services</b>					
Full-Time Salaried – Civilian	\$4,371	\$4,605	\$4,700	\$4,370	(\$235)
Full-Time Salaried – Uniform	1,601	1,169	1,599	1,169	0
Overtime - Civilian	373	0	0	0	0
Overtime - uniform	226	0	0	0	0
Additional Gross Pay	448	0	0	0	0
Fringe	21	0	6	0	0
<b>Subtotal, PS</b>	<b>\$7,041</b>	<b>\$5,775</b>	<b>\$6,306</b>	<b>\$5,539</b>	<b>(\$235)</b>
<b>Other Than Personal Services</b>					
Contractual Services	\$3,639	\$4,025	\$4,672	\$4,025	\$0
Other Services and Charges	\$2	\$0	\$252	\$0	\$0
Property and Equipment	707	573	795	573	0
Social Services	118	120	128	120	0
Supplies and Materials	2,124	1,056	2,084	1,068	12
<b>Subtotal, OTPS</b>	<b>\$6,590</b>	<b>\$5,775</b>	<b>\$7,930</b>	<b>\$5,787</b>	<b>\$12</b>
<b>TOTAL</b>	<b>\$13,631</b>	<b>\$11,549</b>	<b>\$14,236</b>	<b>\$11,326</b>	<b>(\$223)</b>
<b>Funding</b>					
City Funds	NA	\$11,418	\$13,132	\$11,183	(\$235)
Federal-Other	NA	0	465	0	0
Other Categorical	NA	0	490	0	0
Intra City	NA	131	149	143	12
<b>TOTAL</b>		<b>\$11,549</b>	<b>\$14,236</b>	<b>\$11,326</b>	<b>(\$223)</b>
<b>Positions</b>					
Full-Time Positions - Civilian	76	81	82	79	(2)
Full-Time Positions - Uniform	21	16	25	16	0
<b>TOTAL</b>	<b>97</b>	<b>97</b>	<b>107</b>	<b>95</b>	<b>(2)</b>

\*The difference of Fiscal 2013 Adopted compared to Fiscal 2014 January Plan Funding

The Fiscal 2014 budget for Health and Programs shows minimal change from Fiscal 2013 to Fiscal 2014, but an increase of a \$2.7 million for Fiscal 2013.

## Administration – Academy and Training

This program area includes funding for central administrative services.

<i>Dollars in Thousands</i>	2012 Actual	2013 Adopted	2013 Jan. Plan	2014 Jan. Plan	*Difference 2013 - 2014
<b>Spending</b>					
<b>Personal Services</b>					
Full-Time Salaried – Civilian	\$960	\$792	\$792	\$792	\$0
Full-Time Salaried – Uniform	25,375	4,674	4,621	4,566	(109)
Additional Gross Pay	2,175	0	0	0	0
Overtime - Civilian	1	0	0	0	0
Overtime - uniform	2,921	0	0	0	0
Fringe	152	0	0	0	0
<b>Subtotal, PS</b>	<b>\$31,583</b>	<b>\$5,467</b>	<b>\$5,413</b>	<b>\$5,358</b>	<b>(\$109)</b>
<b>Other Than Personal Services</b>					
Supplies and Materials	\$42	\$140	\$45	\$140	\$0
Property and Equipment	12	24	19	24	0
Contractual Services	584	278	353	278	0
<b>Subtotal, OTPS</b>	<b>\$638</b>	<b>\$442</b>	<b>\$417</b>	<b>\$442</b>	<b>\$0</b>
<b>TOTAL</b>	<b>\$32,221</b>	<b>\$5,908</b>	<b>\$5,829</b>	<b>\$5,800</b>	<b>(\$109)</b>
<b>Funding</b>					
City Funds	NA	\$5,908	\$5,829	\$5,800	(\$109)
<b>TOTAL</b>		<b>\$5,908</b>	<b>\$5,829</b>	<b>\$5,800</b>	<b>(\$109)</b>
<b>Positions</b>					
Full-Time Positions - Civilian	11	14	14	14	0
Full-Time Positions - Uniform	613	70	69	69	(1)
<b>TOTAL</b>	<b>624</b>	<b>84</b>	<b>83</b>	<b>83</b>	<b>(1)</b>

*\*The difference of Fiscal 2013 Adopted compared to Fiscal 2014 January Plan Funding*

The Fiscal 2014 budget for Administration – Academy and Training reflects a reduction of \$109,000 from Fiscal 2013 to 2014. The November Plan included a PEG to reduce one Assistant Deputy Warden from the firing range at the training academy. The budget includes savings of \$53,847 in Fiscal 2013 and \$108,726 in Fiscal 2014 and the outyears.

## Administration – Management and Administration

This program area includes funding for central administrative services.

<i>Dollars in Thousands</i>	2012 Actual	2013 Adopted	2013 Jan. Plan	2014 Jan. Plan	*Difference 2013 - 2014
<b>Spending</b>					
<b>Personal Services</b>					
Full-Time Salaried – Civilian	\$22,685	\$23,336	\$23,417	\$22,389	(\$947)
Full-Time Salaried – Uniform	2,784	2,971	2,971	2,968	(3)
Additional Gross Pay	1,210	0	0	0	0
Overtime - Civilian	554	0	0	0	0
Overtime - uniform	520	0	0	0	0
Other Salaried and Unsalariated	4	0	0	0	0
Fringe	36	0	0	0	0
<b>Subtotal, PS</b>	<b>\$27,794</b>	<b>\$26,307</b>	<b>\$26,388</b>	<b>\$25,357</b>	<b>(\$950)</b>
<b>Other Than Personal Services</b>					
Contractual Services	\$8,161	\$10,199	\$6,577	\$11,523	\$1,324
Fixed and Misc. Charges	24	44	44	44	0
Other Services and Charges	9,340	10,095	10,051	10,095	0
Property and Equipment	634	1,825	537	1,825	0
Social Services	0	(301)	(301)	(301)	0
Supplies and Materials	1,227	(548)	129	(548)	0
<b>Subtotal, OTPS</b>	<b>\$19,386</b>	<b>\$21,313</b>	<b>\$17,036</b>	<b>\$22,637</b>	<b>\$1,324</b>
<b>TOTAL</b>	<b>\$47,180</b>	<b>\$47,620</b>	<b>\$43,424</b>	<b>\$47,993</b>	<b>\$374</b>
<b>Funding</b>					
City Funds	NA	\$46,895	\$42,619	\$47,269	\$374
Intra City	NA	724	81	724	0
<b>TOTAL</b>		<b>\$47,620</b>	<b>\$43,424</b>	<b>\$47,993</b>	<b>\$374</b>
<b>Positions</b>					
Full-Time Positions - Civilian	317	342	343	319	(23)
Full-Time Positions - Uniform	32	37	37	37	0
<b>TOTAL</b>	<b>349</b>	<b>379</b>	<b>380</b>	<b>356</b>	<b>(23)</b>

\*The difference of Fiscal 2013 Adopted compared to Fiscal 2014 January Plan Funding

The Fiscal 2014 budget for Administration – Management and Administration reflects an increase of \$374,000 from Fiscal 2013 to 2014.

## Performance Measures from the Fiscal 2013 PMMR

The PMMR outlines the major services provided by DOC and the goals associated with each.

According to the PMMR, “DOC provides a safe and secure environment for inmates, staff and host communities.” The goals of this service are to ensure the security and safety of inmates in DOC custody; ensure that use of force is authorized and appropriate; provide inmates with timely access to health services; maximize bed capacity and address cell maintenance and repairs in a timely manner; and ensure timely transport of inmates to courts throughout the City.

DOC also prepares inmates for return to their neighborhoods as civil and contributing members. The goal of these services are to prepare as many inmates as possible for successful release through participation in skills-building programs including educational opportunities, jobs training, behavioral interventions and mental health services; and reduce idleness by increasing inmate participation in mandated and other programs, services and activities.

DOC also provides correction-related services and information to the public and strives to provide timely notifications to crime victims.”

DOC collects data on the number of individuals served and on an annual basis reports the data in the PMMR. The following chart from the PMMR provides performance statistics. The chart shows actual data for Fiscal Years 2010-2012, target data where applicable for Fiscal 2013 and 2014, and 4-month actual data for Fiscal 2012 and 2013.

DOC Performance Statistics	Actual			Target		4-Month Actual	
	FY10	FY11	FY12	FY13	FY14	FY12	FY13
Jail-based arrests of inmates	526	642	650	*	*	220	292
Searches	203,403	215,038	225,501	*	*	77,082	79,012
Weapons recovered	1,213	1,901	2,324	*	*	654	676
Fight/assault infractions	7,475	7,431	7,552	*	*	2,287	2,804
Stabbings and Slashing's	34	42	55	*	*	15	27
Violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	24.3	25.2	26.9	*	25.4	24.9	29.3
Serious injury to inmate(s) as a result of violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	NA	1.2	1.3	*	1.3	1.1	1.4
Serious Injury to Inmate	245	NA	NA	*	*	86	42
Escapes (monthly rate per 1,000 ADP)	0.01	0.00	0.00	*	0.00	0.00	0.00
Non-natural inmate deaths in custody (monthly rate per 1,000 ADP)	0.01	0.01	0.01	*	0	0.02	0.00
Suicides	2	0	1	*	*	0	0

Source: Fiscal 2013 Preliminary Mayor's Management Report

- The Department made 33 percent more jail-based arrests of inmates, with 292 arrests in Fiscal 2013, up from 220 in Fiscal 2012. The issuance of inmate infractions for fights, another form of enforcement, increased 23 percent.

- ☑ The rate of inmate-on-inmate incidents rose from 21.4 per 1,000 ADP in Fiscal 2012 to 29.3 in Fiscal 2013, a 37 percent increase. This increase is primarily the result of an increase in inmate fights, which rose from 1,046 to 1,390. Because more fights are stopped sooner, serious injuries to inmates resulting from these incidents increased at a lower rate (28 percent) than fights, from 1.11 per 1,000 ADP to 1.43 per 1,000 ADP.
- ☑ The Department conducted 3 percent more searches in Fiscal 2013 (79,012 in Fiscal 2013 versus 77,082 in Fiscal 2012) and recovered 3 percent more weapons (676 in Fiscal 2013 versus 654 in Fiscal 2012).

DOC Performance Statistics	Actual			Target		4-Month Actual	
	FY10	FY11	FY12	FY13	FY14	FY12	FY13
Incidents and allegations of use of force	2,222	2,272	2,837	*	*	819	1,213
Assaults on Staff	500	535	588	*	*	186	210
Inmate assault on staff (monthly rate per 1,000 ADP)	3.2	3.5	4.0	*	4.0	3.8	4.3
Serious injury to staff as a result of inmate assault on staff (monthly rate per 1,000 ADP)	NA	0.3	0.3	*	0.3	0.3	0.3
Department use of force incidents with serious injury (rate per 1,000 ADP)	NA	NA	1.00	*	1.00	1.05	0.83
Department use of force incidents with minor injury (rate per 1,000 ADP)	NA	NA	8.15	*	*	7.09	11.38
Department use of force incidents with no injury (rate per 1,000 ADP)	NA	NA	7.20	*	*	5.88	10.00

Source: Fiscal 2013 Preliminary Mayor’s Management Report

- ☑ The rate of uses of force resulting in serious injury fell 21.3 percent in Fiscal 2013, from 1.05 incidents per 1,000 average daily population (ADP) to 0.83 incidents per 1,000 ADP.
- ☑ The rate of serious injuries to staff as a result of inmate assaults also decreased 11 percent, from 0.28 per 1,000 ADP to 0.25 per 1,000 ADP, although inmate assaults on staff rose 15 percent. Assaults on staff encompass all physical contacts of any kind with a uniformed employee. The three most frequently occurring assaults on staff in descending order involve throwing a liquid, throwing an article of clothing and bodily physical force
- ☑ The rate of uses of force resulting in no injury increased 60.6 percent, from 5.88 percent in Fiscal 2012 to 10 percent in Fiscal 2013. Uses of force with no injury now comprise 45 percent of all uses of force.

## Capital Program

The January 2013 Capital Commitment Plan includes \$1.213 billion in Fiscal 2013-2016 for the Department of Correction (including City and Non-City funds). This represents 3.1 percent of the City’s total \$39.3 billion January Plan for Fiscal 2013-2016. The agency’s January Capital Commitment Plan for Fiscal 2013-2016 is eight percent more than the \$1.118 billion scheduled in the September Commitment Plan an increase of \$94 million. The increase is attributable to approximately \$82.2 million in capital projects stemming from Super Storm Sandy (see below for details).

The majority of capital projects span multiple fiscal years and it is therefore common practice for an agency to roll unspent capital funds into future fiscal years. In Fiscal Year 2012 the Department of Correction committed \$95.4 million or 55 percent of its annual capital plan. Therefore, it is assumed that a portion of the agency’s Fiscal 2013 Capital Plan will be rolled into Fiscal 2014, thus increasing the size of the Fiscal 2014-2017 Capital Plan. The City’s total Capital Commitment Plan for Fiscal 2013 has increased from \$17.9 billion in the September Capital Commitment Plan to \$19 billion in the January Capital Commitment Plan, an increase of \$1.1 billion or 6.2 percent.

**DOC 2013-2016 Commitment Plan: Adopted and Preliminary Budget**

*Dollars in Thousands*

	FY13	FY14	FY15	FY16	Total
<b>Adopted</b>					
Total Capital Plan	\$498,237	\$557,524	\$17,789	\$43,988	<b>\$1,117,538</b>
<b>Prelim</b>					
Total Capital Plan	583,773	565,959	18,789	43,988	<b>\$1,212,509</b>
<b>Change</b>					
Level	<b>\$85,536</b>	<b>\$8,435</b>	<b>\$1,000</b>	<b>\$0</b>	<b>\$94,971</b>
Percentage	17%	2%	6%	0%	8%

### Capital Program Goals

- ✓ To ensure sufficient capacity is available to meet the security, programmatic, health, and safety needs of the existing and projected population;
- ✓ To replace aging modular and sprung housing units with new permanent housing facilities;
- ✓ To upgrade existing support areas to provide sufficient space for educational, health and administrative services and to improve kitchen facilities and fire/life safety systems;
- ✓ To maintain appropriate replacement cycles of vehicles, security equipment, fencing, and communication equipment; and
- ✓ To maintain existing infrastructure and building systems to ensure the preservation of the physical plant.

## Preliminary Budget Highlights

The Fiscal 2013 Capital Commitment Plan of \$1.2 billion for Fiscal 2013-2016 is \$94 million dollars more than the September Capital Commitment Plan of \$1.118 billion. Of the total amount, \$583.8 million is for Fiscal 2013. The variance of \$94 million over the course of four years is primarily due to an increase of \$82.2 million that was included in the January Capital Plan to support Super Storm Sandy related Capital projects. The projects include the following:

- ☑ **Anna M. Kross Center (AMKC) Roof Reconstruction.** The January 2013 Capital Commitment Plan includes \$2.2 million in Fiscal 2013 for the replacement of roof damage sustained from Super Storm Sandy.
  
- ☑ **Rikers Island North Shoreline Reconstruction.** The January 2013 Capital Commitment Plan includes \$33.5 million in Fiscal 2013 to assess the extent of damage to the North Shore line and develop recommendations to stabilize it against future storms based on the Federal Emergency Management Agency guidelines and new flood levels.
  
- ☑ **Relocation of Rikers Island Trailers.** The January 2013 Capital Commitment Plan includes \$43.6 million in Fiscal 2013 for the Rikers Island trailers. According to the Department, “Although [the] trailers did not endure significant damage, the Department has engaged a consultant to provide a thorough assessment of their current condition and the viability of the trailers for continued use if additional erosion occurs due to future extreme weather conditions.”
  
- ☑ **Vernon C. Bain Correctional Center (VCBC) Reconstruction.** The January 2013 Capital Commitment Plan includes \$2.9 million in Fiscal 2013 for VCBC reconstruction. According to the Department, “The scope of the project is to survey, assess and document the extent of the damage of the mooring arms and the guide piles at the VCBC Facility. Additionally, the scope of work will include an assessment of roadway access to the facility and parking lot of the facility, which is subject to flooding during inclement weather.”

In addition to Super Storm Sandy, the Fiscal 2013 Capital Budget includes \$266.8 million in funding for other major projects as follows:

- ☑ **Robert N. Davoren Center (RNDC) School Addition.** The January 2013 Capital Commitment Plan includes \$6.9 million in Fiscal 2013 for a new RNDC school. The current RNDC school classroom space can no longer be renovated and is not consistent with current standards.

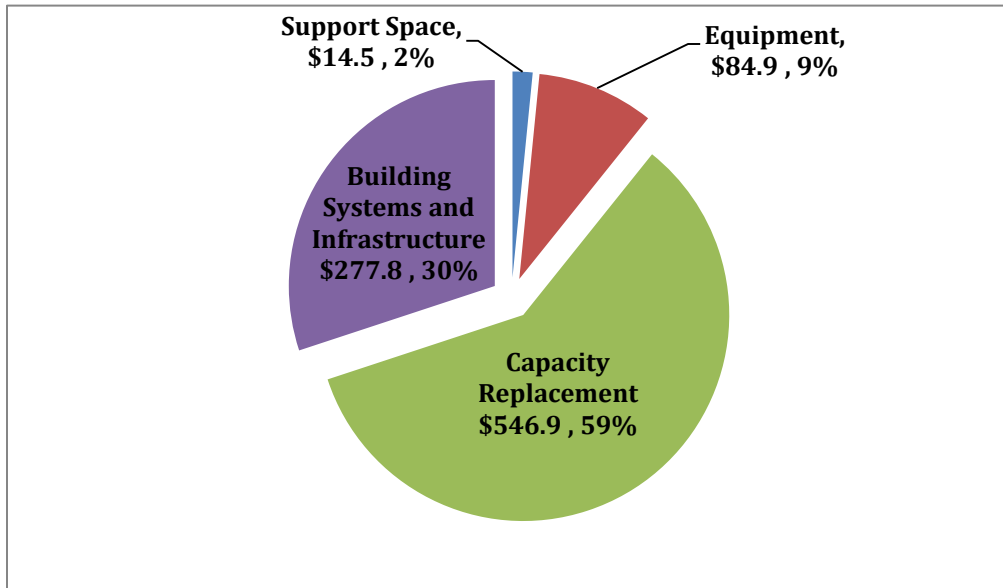


- ☑ **AMKC Roof Replacement.** The January 2013 Capital Commitment Plan includes \$7.9 million in Fiscal 2013 to replace roof deficiencies that were sustained prior to Super Storm Sandy.
- ☑ **AMKC NIC Chiller Plant.** The January 2013 Capital Commitment Plan includes \$26 million in Fiscal 2013 to provide an adequate number of air conditioning in housing areas.
- ☑ **Vehicle Replacement.** The January 2013 Capital Commitment Plan includes \$5.9 million in Fiscal 2013 to replace the following vehicles: six 49-Passenger Buses (\$786,000), four 29-Passenger Buses (\$596,000), ten 30-Passenger Buses (\$1.5 million), fifteen marked caged inmate vans (\$787,500), six box trucks (\$660,000), six unmarked caged Inmate transport vans (\$300,000) and, two inmate transport buses with left side doors (\$300,000). The Plan also includes funding to replace leased construction vehicles in accordance with the PEG taken as part of the Fiscal 2012 November Plan.
- ☑ **New Rikers Island Facility.** The January 2013 Capital Commitment Plan includes \$46.4 million in Fiscal 2013 and \$516.3 million in Fiscal 2014 for construction of a new 1,537 bed facility for male detainee inmates. For Fiscal 2013 funding will support the scope and design of the project and in Fiscal 2014 funding will support construction. According to DOC, “the new facility will serve as a central admissions center for all male inmates on Rikers Island and certain borough facilities as well. The facility will have cells for new admissions, dormitories and cells for infirmary beds and dormitories for general population.”
- ☑ **Jail Management System.** The January 2013 Capital Commitment Plan includes \$7.3 million in Fiscal 2013 for the new JMS. Funding will support a consultant to and provide for the analysis, design, development, testing, and implementation services relating to the Jail Management System.
- ☑ **Court-based Intervention Resource Team.** The January 2013 Capital Commitment Plan includes \$500,000 in Fiscal 2013 for the Court-based Intervention Resource Team. At the time of this writing additional information was not available.

The Preliminary Ten-Year Capital Strategy provides \$942 million in Fiscal 2014-2023 for the Department’s Capital Program. The Department’s Capital funding is divided into four categories of need as illustrated by the chart below:

### 2014-2023 Preliminary Ten-Year Capital Strategy

Dollars in Thousands



#### DOC FY 2014 Preliminary Ten-Year Capital Strategy

Dollars in Thousands	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023	Total
Capacity Replacement	\$ 516,271	\$ -	\$ 30,600	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 546,871
Building Systems and Infrastructure	\$ 40,977	\$ 9,250	\$ 3,750	\$ 36,215	\$ 28,715	\$ 18,822	\$ 12,250	\$ 39,500	\$ 43,634	\$ 44,689	\$ 277,802
Equipment & Vehicles	4,437	6,839	8,138	8,398	4,867	14,882	7,422	11,700	9,100	9,100	84,883
Support Space	\$ -	\$ 1,000	\$ 1,500	\$ 4,500	\$ 2,000	\$ 2,000	\$ 3,000	\$ 500	\$ -	\$ -	\$ 14,500
<b>Total</b>	<b>\$ 561,685</b>	<b>\$ 17,089</b>	<b>\$ 43,988</b>	<b>\$ 49,113</b>	<b>\$ 35,582</b>	<b>\$ 35,704</b>	<b>\$ 22,672</b>	<b>\$ 51,700</b>	<b>\$ 52,734</b>	<b>\$ 53,789</b>	<b>\$ 924,056</b>

Of Note, the Ten-Year Capital Strategy total is lower than the four-year Capital Commitment Plan because it does not include Fiscal 2013 or IFA and Contingency Funds.

- Capacity Replacement:** The Preliminary Ten-Year Capital Strategy provides \$546.8 million for the Department’s Capacity Replacement Plan, which, through new construction and reconfiguration of its existing housing stock, ensures sufficient bed capacity for seasonal surges, routine maintenance, and special inmate populations. The Preliminary Ten-Year Capital Strategy includes the above funding for the design and construction of a new 1,500 bed jail on Rikers Island, for which design began in 2012. The new facility replaces capacity that will be lost as facilities exceed their useful lives and are taken offline.
- Building Systems and Infrastructure:** The Preliminary Ten-Year Capital Strategy provides \$277.8 million for the refurbishment and replacement of vital building infrastructure, including \$10.4 million for roofs; \$11.5 million for windows; \$16.0 million

for facades; \$15.5 million for plumbing; and \$172.4 million for other reconstruction. This allocation also provides \$52.0 million for the upgrade of fire life safety systems; and mechanical and permanent electrical power upgrades throughout the jail system.

- **Equipment:** The Preliminary Ten-Year Capital Strategy provides \$84.9 million for equipment replacement, including \$31.2 million for upgrades of vehicles; \$23.0 million for information technology; and \$7.5 million for security systems.
- **Support Space:** The Preliminary Ten-Year Capital Strategy provides \$14.5 million to improve and construct support facilities and perimeter fencing.

## Appendix A: Budget Actions in the November and Preliminary Plans

<i>Dollars in Thousands</i>	FY 2013			FY 2014		
	City	Non-City	Total	City	Non-City	Total
<b>DOC Budget as of Fiscal 2013 Adopted Budget</b>	<b>\$1,038,801</b>	<b>\$11,250</b>	<b>\$1,050,051</b>	<b>\$1,047,533</b>	<b>\$11,250</b>	<b>\$1,058,783</b>
<b>Program to Eliminate the Gap (PEGs)</b>						
State Criminal Alien Assistance Program (SCAAP)	(\$6,405)	\$6,405	\$0	\$0	\$0	\$0
Northern Border Prosecution Initiative Fed. Rev	(1,244)	1,244	0	(1,000)	1,000	0
Courier Service Savings	(71)	-	(71)	(143)	-	(143)
Construction Vehicles Lease Reduction	0	-	0	(84)	-	(84)
Reduce Medically Monitors Return CO Follow-up Visits	(150)	-	(150)	(300)	-	(300)
Reduce Adolescent Punitive Segregation Capacity	(162)	-	(162)	(323)	-	(323)
Reorganize Support Services Division	0	-	0	(627)	-	(627)
Cancel Re-opening of QDC	(12,117)	-	(12,117)	(24,233)	-	(24,233)
Five Day Recreation Schedule	0	-	0	(5,030)	-	(5,030)
Four Day Visit Schedule	0	-	0	(1,285)	-	(1,285)
Post Reduction	(123)	-	(123)	(251)	-	(251)
Civilian PS Accrual Savings	(3,894)	-	(3,894)	0	-	0
Civilian Vacancy Reduction	(3,950)	-	(3,950)	(8,086)	-	(8,086)
<b>Total PEGs</b>	<b>(\$28,116)</b>	<b>\$7,649</b>	<b>(\$20,467)</b>	<b>(\$41,362)</b>	<b>\$1,000</b>	<b>(\$40,362)</b>
<b>New Needs</b>						
Uniform Operating Level	\$22,256	-	\$22,256	\$21,191	-	21,191
Benjamin Litigation	1,000	0	1,000	1,725	0	1,725
Jail Management System	271	-	-	949	-	949
<b>Total New Needs</b>	<b>\$23,527</b>	<b>\$0</b>	<b>\$23,256</b>	<b>\$23,864</b>	<b>\$0</b>	<b>\$23,864</b>
<b>PEG Restorations</b>						
Reduce ESU Daytime Staffing	2,915	-	2,915	2,946	-	2,946
<b>Total PEG Restorations</b>	<b>\$2,915</b>	<b>\$0</b>	<b>\$2,915</b>	<b>\$2,946</b>	<b>\$0</b>	<b>\$2,946</b>
<b>Other Adjustments</b>						
Reduce ESU Daytime Staffing PRS	(\$590)	-	(\$590)	(\$621)	-	(\$621)
Fringe	3,185	-	3,185	7,817	-	7,817
Funds Realignment	3,020	-	3,020	6,090	-	6,090
Sandy Overtime Uniform and Civilian	0	2,386	2,386	0	-	0
Stab Resistant Gloves	\$0	\$250	\$250	\$0	-	\$0
Lease Adjustment	152	-	152	0	-	0
CEO Funding Adjustment	-	-	0	24	-	24
Various Non-City Grants	-	4,926	4,926	-	12	12
<b>Total Other Adjustments</b>	<b>\$6,357</b>	<b>\$7,562</b>	<b>\$13,918</b>	<b>\$13,931</b>	<b>\$12</b>	<b>\$13,943</b>
<b>Total All Changes</b>	<b>\$4,683</b>	<b>\$15,211</b>	<b>\$19,622</b>	<b>(\$621)</b>	<b>\$1,012</b>	<b>\$391</b>
<b>DOC Budget as of the Fiscal 2014 Preliminary Budget</b>	<b>\$1,043,484</b>	<b>\$26,190</b>	<b>\$1,069,673</b>	<b>\$1,046,912</b>	<b>\$12,262</b>	<b>\$1,059,174</b>

## Appendix B: DOC Preliminary Fiscal 2014 Contract Budget

The New York City Charter mandates the preparation of a Contract Budget to identify expenditures for contractual services, which are defined as any technical, consultant or personal service provided to the City by means of a contract. The Contract Budget is actually a subset of the Other Than Personal Services (OTPS) portion of the City's Expense Budget. The Administration prepares a Contract Budget twice each fiscal year. In January, it is prepared with the Departmental Estimates, and in late April it is submitted to the Council with the Executive Budget.

<b>Department of Correction Fiscal 2014 Contract Budget</b>			
<b>Contract Category</b>	<b>Number</b>	<b>Budgeted</b>	<b>Pct of (DOP) Total</b>
Contractual Services General	13	\$8,638,449	35.29%
Telecommunications Maintenance	2	6,628,877	27.08%
Maintenance & Repair of Motor Vehicle Equipment	1	198,620	0.81%
Maintenance. & Repair, General	30	7,831,223	31.99%
Office Equipment Maintenance	6	95,475	0.39%
Temporary Services	1	1,000	0.00%
Cleaning Services	1	175,000	0.71%
Transportation Expenditures	1	260,829	1.07%
Training Programs for City Employees	2	229,820	0.94%
Professional Services: Other	5	419,516	1.71%
<b>Preliminary Budget</b>	<b>62</b>	<b>\$24,478,809</b>	<b>100.00%</b>

Source: Preliminary Budget Fiscal 2014 Expense, Revenue and Contract book

## Appendix C: Reconciliation of Program Areas to Units of Appropriation

<i>Dollars in Thousands</i>	Personal Services		Other Than Personal Services		Grand Total
	001	002	003	004	
Administration-Academy and Training	-	5,358	442	-	5,800
Administration-Mgmt. & Administration	24,706	(3,595)	5,969	16,668	43,747
Health and Programs	2,810	2,729	5,302	484	11,326
Jail Operations	28,433	820,166	82,352	-	930,952
Operations-Hospital Prison Ward	-	12,145	-	-	12,145
Operations-Infrastructure.& Environ. Health	2,647	19,336	9,006	285	31,274
Operations-Rikers Security & Ops	-	21,197	2,734	-	23,931
<b>Grand Total</b>	<b>58,596</b>	<b>877,336</b>	<b>105,805</b>	<b>17,438</b>	<b>1,059,174</b>