

THE COUNCIL OF THE CITY OF NEW YORK

Hon. Melissa Mark-Viverito
Speaker of the Council

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



Hearing on the Fiscal 2015 Preliminary Budget & the Fiscal 2014 Preliminary Mayor's Management Report

Department of Correction

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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 2013, the Department processed over 81,000 admissions and releases and managed an average daily population of 11,827 individuals.

This report provides a review of the Department of Correction's Preliminary Budget for Fiscal 2015. In the section below, the Fiscal 2015 Preliminary Budget presented followed by a discussion of the changes proposed for Fiscal 2015, the DOC's staffing and its Revenue Budget. Next there is an overview of the Department's budget by program area, funding source, and headcount, followed by a discussion of each of the Department's program areas and budget changes in the November and February Financial Plans and the Preliminary Mayor's Management Report (PMMR) for Fiscal 2014. Discussion of the DOC inmate population and custody management follows. The final section includes a review of the proposed capital budget for the Department with a discussion of significant changes proposed to the four-year Capital Plan.

Fiscal 2015 Preliminary Budget Highlights

	2012	2013	2014	2014	2015	*Difference
<i>Dollars in Thousands</i>	Actual	Actual	Adopted	Prelim. Plan	Prelim. Plan	2014 - 2015
Personal Services	\$954,243	968,913	\$935,931	\$937,280	\$936,201	\$270
Other Than Personal Services	124,546	121,997	129,174	133,189	126,539	(2,635)
Agency Total	\$1,078,789	\$1,090,909	\$1,065,105	\$ 1,070,469	\$1,062,740	(\$2,365)

*The difference of Fiscal 2014 Adopted compared to Fiscal 2015 Preliminary Plan funding.

Department of Correction's Fiscal 2015 Preliminary Budget of \$1.062 billion is \$2.4 million less than its Fiscal 2014 Adopted Budget of \$1.065 billion. The \$2.4 million decrease is due to a decrease in the Other Than Personal Services (OTPS) budget of \$2.6 million offset by an increase in the Personal Services (PS) budget of \$270,000.

The current Fiscal 2014 budget of \$1.070 billion is \$5.4 million greater than the adopted budget of \$1.065 billion. The \$5.4 million increase is due to an increase in the PS budget of \$1.3 million and an increase of \$4 million in the OTPS budget. (See Appendix A for a list of all the changes to the Fiscal 2014 and 2015 Budgets since Adoption.) Significant changes to the Department's Budget are listed below.

- Investigations Division.** The Investigation Division (ID) is integral to the Department of Correction's efforts to ensure the integrity, professionalism, and accountability of its staff. The Fiscal 2015 Preliminary Budget includes approximately \$1.6 million annually to hire one Deputy Director, 22 civilian investigators and four assistant deputy wardens.

- **Clean Products Replacement.** The Fiscal 2015 Preliminary Budget includes \$1 million annually beginning in Fiscal 2014 to replace current cleaning products within the housing facilities.
- **Super Storm Sandy - Gun Range.** The Fiscal 2015 Preliminary Budget includes one-time OTPS funding in Fiscal 2014 of \$973,000 to replace weapons and ammunition that were damaged as a result of Super Storm Sandy.
- **Titanium Prison Riot Vests.** The Fiscal 2015 Preliminary Budget includes \$720,000 in Fiscal 2014 and \$120,000 in Fiscal 2015 and the outyears for the purchase of titanium prison riot vests.

Department of Correction Financial Plan Summary

<i>Dollars in Thousands</i>	2012	2013	2014	2014	2015	*Difference
	Actual	Actual	Adopted	Prelim. Plan	Prelim. Plan	2014 - 2015
Budget by Program Area						
Administration-Academy and Training	\$32,221	\$35,767	\$6,490	\$6,830	\$6,490	\$0
Administration-Mgmt. & Administration	47,180	46,427	48,390	45,126	50,468	2,078
Health and Programs	13,631	13,796	11,834	12,500	11,810	(24)
Jail Operations	895,052	909,679	930,874	932,089	926,131	(4,743)
Operations-Hospital Prison Ward	16,288	14,190	12,145	12,145	12,145	0
Operations-Infrastructure. & Environ. Health	43,074	41,928	31,284	35,184	31,489	205
Operations-Rikers Security & Ops	31,344	29,121	24,087	26,594	24,207	120
TOTAL	\$1,078,790	\$1,090,908	\$1,065,104	\$1,070,468	\$1,062,740	(\$2,364)
Funding						
City Funds	\$1,058,821	\$1,064,109	\$1,052,843	\$1,057,540	\$1,052,478	(\$365)
Other Categorical	3,523	2,189	1,000	594	0	(1,000)
Capital - IFA	724	652	724	724	724	0
State	1,330	998	1,109	1,359	1,109	0
Federal - Other	14,258	22,131	9,286	9,902	8,286	(1,000)
Federal - CD	0	301	0	0	0	0
Intra City	132	529	143	349	143	0
TOTAL	\$1,078,788	\$1,090,909	\$1,065,105	\$1,070,468	\$1,062,740	(\$2,365)
Budgeted Headcount						
Full-Time Positions - Civilian	1,459	1,394	1,611	1,635	1,635	24
Full-Time Positions - Uniform	8,540	8,991	8,869	8,882	8,873	4
TOTAL	9,999	10,385	10,480	10,517	10,508	28

*The difference of Fiscal 2014 Adopted compared to Fiscal 2015 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 2015 decreases by \$2.4 million from Fiscal 2014 to 2015 and the Fiscal 2014 budget increases by \$5.4 million since adoption.

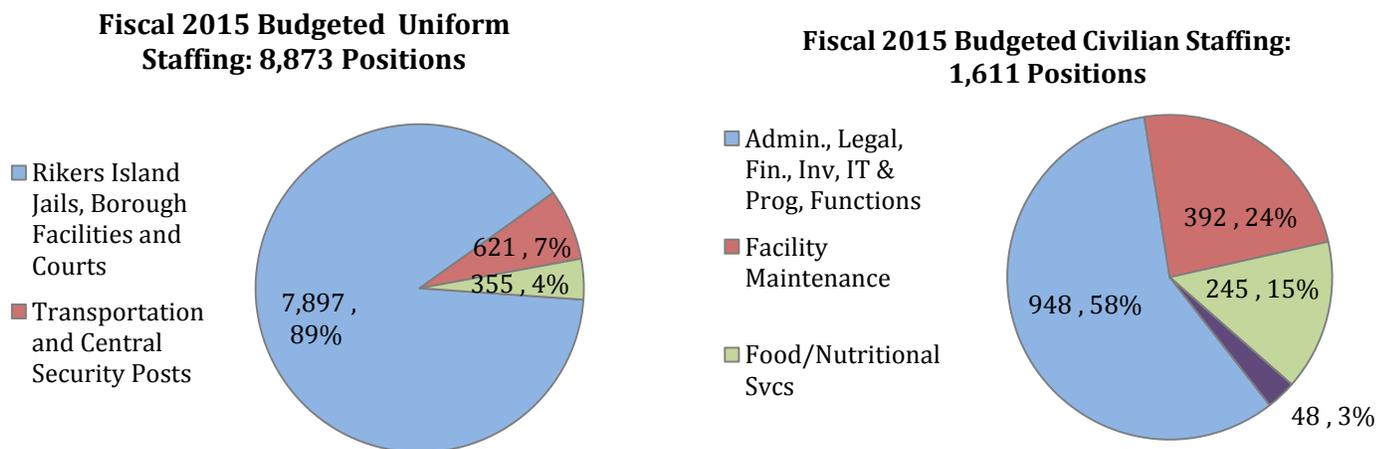
At the time of Adoption for Fiscal 2014, the agency's estimated budget of \$1.059 billion for Fiscal 2015 was \$5.1million less than the Adopted 2014 budget of \$1.065 billion. All of the budget actions introduced since last June combined have increased the Fiscal 2015 budget by only \$2.7 million. The November 2013 and February 2014 Financial Plans introduced several significant

changes to DOC’s Fiscal 2014 and 2015 Budget. For Fiscal 2015 these include \$2.8 million in new needs offset by a net reduction of \$59,000 in PEG Restorations and Substitutions (PRS), For Fiscal 2014 these include \$2.7 million in new needs, \$2.7 million in other adjustments, offset by a net reduction of \$59,000 in PRS, Combined, the above actions reconcile the agency to its current budget of \$1.070billion for Fiscal 2014 and \$1.062 billion for Fiscal 2015.

Financial Plan Summary Highlights

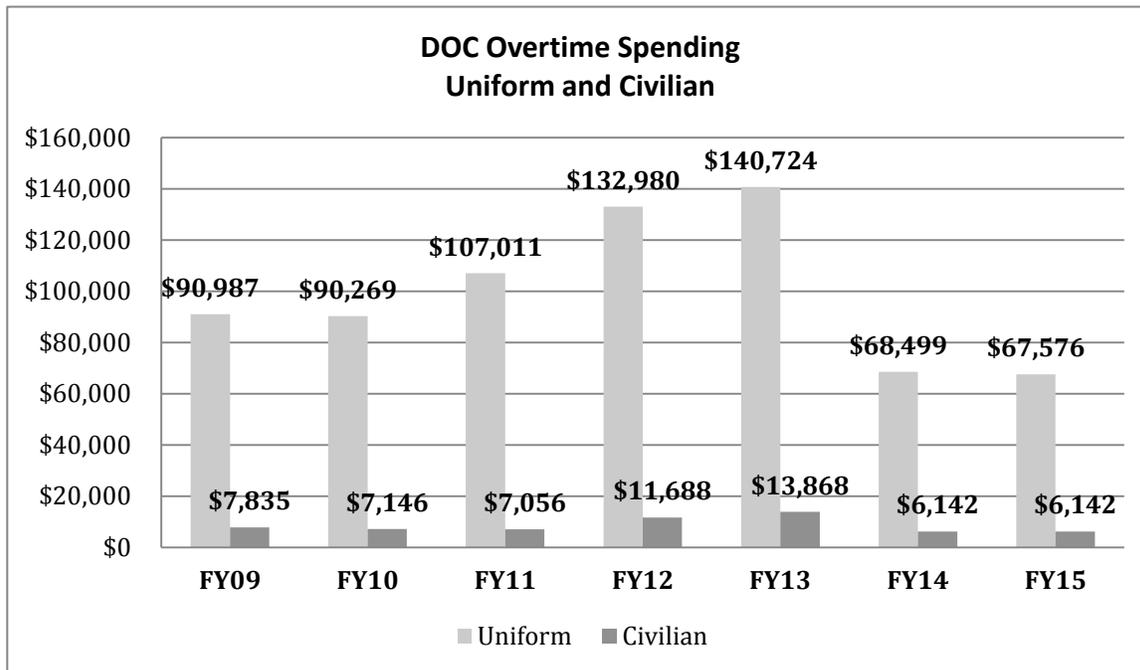
- The Fiscal 2015 budget for the program area “Jail Operations” shows a drop of \$4.7 million compared to the Fiscal 2014 Adopted budget and the program area “Administration-Management and Administration “shows growth of \$2 million. These increases are offset by reductions and other adjustments of \$301,000in the remaining program areas.
- The Fiscal 2015 City-funded portion of the budget shows a reduction of \$365,000compared to the Fiscal 2014 Adopted budget and the modified budget for Fiscal 2014 shows growth of \$4.7 million.
- For Fiscal 2015 non-city revenue decreased by \$2 million compared to the Fiscal 2014 Adopted budget and the current modified budget for Fiscal 2014shows growth of approximately \$700,000.
- The agency’s overall headcount increases by 28 positions from Fiscal 2014 to 2015, with an increase of 24 civilian positions and four uniform positions. The current modified budget for Fiscal 2014 increases by 37 positions, with an increase of 24 civilian positions and 13 uniform positions.

DOC Workforce – Uniform and Civilian Staffing



Uniform Staffing: According to DOC’s analysis 89 percent of uniform staff members are assigned to the Jails, Courts and Borough facilities. The uniformed staff to inmate ratio is about 1 staff member to 23 inmates.

Civilian Staffing: In the last five years DOC has had an average of 1,459 civilian positions. The Fiscal 2014 Adopted budget eliminated 100 vacant positions.



DOC operates on average 3,600 security posts, some of which are operated on all three tours. As a fundamental 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. Although the Department has not shared with the Committee its table of organization which dictates the number of officers needed to staff all of the security posts in the jails on straight time, the DOC has explained that its authorized headcount was under the level needed to staff its security posts without the use of overtime. To address the shortfall the Fiscal 2014 Budget included a baseline increase of 275 uniform positions and a new hiring schedule that allows DOC to fill more security posts on straight time which in turn should reduce overtime spending

In the last five years, DOC has budgeted an average of \$65 million for its uniform overtime expenditures but has spent an average of \$112 million during the same time. In the last five years the civilian OT budget has averaged \$6.4 million with an average of \$7.3 million in spending.

Correction Officer Recruitment

To address the shortfall in uniform headcount the Department has accelerated its hiring of additional officers. In Fiscal 2014, the Department graduated a class of 340 recruits in August, 2013 and a class of 342 recruits in January, 2014.

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. 2 and 3. Commissary funds are generated by the sale of commissary goods. The chart below provides actual revenue for Fiscal 2013 and 2014 and projected revenue for Fiscal 2014 and 2015. Of note, of the approximately \$6.7 million in “Other” miscellaneous revenues projected for Fiscal 2015 and the outyears, about \$6.6 million is generated by inmate telephone fees.

DOC Miscellaneous Revenue				
<i>(Dollars in Thousands)</i>	Actual Revenue		Projected Revenue	
	2012	2013	2015	2016
Vending Machine	\$418	\$280	\$660	\$660
Commissary Funds	14,020	12,852	13,000	13,000
Other	9,884	9,355	6,675	6,675
TOTAL	\$24,322	\$24,500	\$22,350	\$22,350

Source: Fiscal 2013 Comprehensive Annual Fiscal Report and February 2014 Financial Plan: Revenue

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 Actual	2014 Adopted	2014 Prelim. Plan	2015 Prelim. Plan	*Difference 2014 - 2015
Spending						
Personal Services						
Full-Time Salaried – Civilian	\$38,255	\$38,569	\$45,583	\$45,583	\$45,583	\$0
Full-Time Salaried – Uniform	547,256	552,347	594,654	594,654	594,654	0
Additional Gross Pay	82,251	82,311	102,581	102,581	102,581	0
Overtime - Civilian	4,979	6,358	6,142	6,142	6,142	0
Overtime - uniform	120,482	128,671	68,499	68,499	67,576	(923)
Other Salaried and Unsalariated	2,691	2,714	2,807	2,807	2,807	0
Fringe	21,486	21,253	24,088	24,088	24,088	0
Subtotal PS	\$817,400	\$832,223	844,353	\$844,353	\$843,430	(\$923)
Other Than Personal Services						
Contractual Services	\$3,078	\$3,309	\$7,289	\$5,409	\$5,186	(\$2,103)
Fixed and Misc. Charges	50	10	2,323	4	2,323	0
Other Services and Charges	31,330	31,076	35,376	36,472	35,376	0
Property and Equipment	1,611	1,003	1,068	1,156	1,068	0
Social Services	3,222	3,225	3,134	2,827	2,827	(307)
Supplies and Materials	38,360	38,834	37,331	41,868	35,921	(1,410)
Subtotal OTPS	\$77,651	\$77,457	\$86,521	\$87,736	\$82,701	(\$3,820)
TOTAL	\$895,051	\$909,679	\$930,874	\$932,090	\$926,132	(\$4,743)
Funding						
City Funds			\$919,480	\$921,406	\$916,736	(\$2,744)
Federal - Other			9,286	9,325	8,286	(1,000)
Federal - Other (FEMA)			0	0	0	0
Intra-City			0	0	0	0
Other Categorical			1,000	0	0	(1,000)
State			1,109	1,359	1,109	0
TOTAL	\$895,051	\$909,679	\$930,874	\$932,090	\$926,131	(\$4,744)
Budgeted Headcount						
Full-Time Positions - Civilian	743	856	886	886	886	0
Full-Time Positions - Uniform	7,513	8,366	8,282	8,828	8,282	0
TOTAL	8,256	9,222	9,168	9,168	9,168	0

*The difference of Fiscal 2014 Adopted compared to Fiscal 2015 Preliminary Plan funding.

Financial Plan Actions

The budget for Jail Operations shows a drop of \$4.7 million from Fiscal 2014 to Fiscal 2015. The Fiscal 2014 budget shows growth of \$1.2 million since adoption. The November and February Financial Plans included minimal budget changes to the Jail Operations. The reduction of \$4.7 million from Fiscal 2014 to Fiscal 2015 is due to budget adjustments from previous Financial Plans and a \$2 million reduction in state and federal funding.

- **Super Storm Sandy - Gun Range.** The Fiscal 2015 Preliminary Budget includes one-time OTPS funding in Fiscal 2014 of \$973,000 to replace weapons and ammunition that were damaged as a result of Super Storm Sandy.
- **Leasing Beds to Suffolk County.** The November Plan included a funding shift that removed approximately \$1 million in non-city funds for Fiscal 2014 and the outyears and replaced it with City-tax levy. DOC had been leasing beds to Suffolk County on an interim basis however, the need no longer exists. This action reduces DOC's City funded budget by \$59,000 in Fiscal 2014 and the outyears.
- **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 Plan removed approximately \$1 million in non-city funds for Fiscal 2014 and replaced it with City-tax levy. This action will have no net effect on the agency's budget; it represents only the replacement of Federal revenue with City-tax levy.

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 Actual	2014 Adopted	2014 Prelim. Plan	2015 Prelim. Plan	*Difference 2014 - 2015
Spending						
Personal Services						
Full-Time Salaried – Civilian	\$1,949	\$1,926	\$2,083	\$2,083	\$2,083	\$0
Full-Time Salaried – Uniform	15,451	14,932	19,114	19,114	19,114	0
Additional Gross Pay	2,796	2,679	0	0	0	0
Overtime - Civilian	295	434	0	0	0	0
Overtime - uniform	5,995	5,347	0	0	0	0
Fringe	82	78	0	0	0	0
Subtotal PS	\$26,568	\$25,396	\$21,197	\$21,197	\$21,197	\$0
Other Than Personal Services						
Contractual Services	\$2,065	\$1,184	\$564	\$790	\$564	\$0
Other Services and Charges	0	0	0	3	0	0
Property and Equipment	728	480	595	595	595	0
Supplies and Materials	1,984	2,062	1,731	4,008	1,851	120
Subtotal OTPS	\$4,777	\$3,726	\$2,890	\$5,396	\$3,010	\$120
TOTAL	\$31,345	\$29,122	\$24,087	\$26,593	\$24,207	\$120
Funding						
City Funds			24,087	26,463	24,207	120
Federal - Other			0	130	0	0
TOTAL			\$24,087	\$26,593	\$24,207	\$120
Budgeted Headcount						
Full-Time Positions - Civilian	37	45	45	45	45	0
Full-Time Positions - Uniform	184	267	267	267	267	0
TOTAL	221	312	312	312	312	0

*The difference of Fiscal 2014 Adopted compared to Fiscal 2015 Preliminary Plan funding.

The budget for Operations – Rikers Security and Operations shows growth of \$120,000 Fiscal 2014 to Fiscal 2015. The Fiscal 2014 budget shows growth of \$3.6 million from the adopted budget. For Fiscal 2014, the budget includes \$700,000 the purchase of titanium vests and internal budget modifications. In addition, the November Plan recognized federal grant revenue of \$130,000. Of note, the object class categories additional gross pay, overtime, and fringe are budgeted centrally in the program area Jail Operations and moved to the respectful program areas later in the year to reflect actual spending.

Financial Plan Actions

- Titanium Prison Riot Vests. The Fiscal 2015 Preliminary Budget includes \$720,000 in Fiscal 2014 and \$120,000 in Fiscal 2015 and the outyears for the purchase of titanium prison riot vests. The life cycle for the vests is five years. In Fiscal 2014 funding will support the purchase of 2,000 vests and funding in Fiscal 2015 and the outyears will support the purchase of 200 replacement vests annually.

Performance Measures

DOC Performance Statistics	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
Jail-based arrests of inmates	642	650	798	*	*	292	211
Searches	215,038	225,501	247,868	*	*	79,012	82,833
Weapons recovered	1,901	2,324	2,162	*	*	676	834
Fight/assault infractions	7,431	7,552	7,652	*	*	2,804	2,756
Stabbings and Slashing's	42	55	68	*	*	27	21
Violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	25.2	26.9	27.2	↓	↓	29.3	30.9
Serious injury to inmate(s) as a result of violent inmate-on-inmate incidents (monthly rate per 1,000 ADP)	1.2	1.3	1.4	↓	↓	1.4	1.7
Serious Injury to Inmate	N/A	NA	134	↓	↓	42	57
Escapes	0	0	1	↓	↓	0	0
Non-natural inmate deaths in custody	N/A	2	3	↓	↓	2	1
Suicides	0	1	1	↓	↓	1	1

Source: Fiscal 2014 Preliminary Mayor's Management Report

In January of 2012 DOC began presenting performance indicators with an expanded level of detail. While this is helpful, the Administration's decision to eliminate the associated raw data from the Fiscal 2010 PMMR was unfortunate. It would be beneficial if the Department would revert back to providing actual figures for serious injury to inmate incidents; stabbing and slashings; assaults on staff; escapes; and suicides as it is more concrete.

- The Department disciplines inmates who assault staff and pursues their arrest and prosecution by the district attorney. Arrests of inmates for jail-based criminal misconduct decreased 28 percent during the reporting period with 211 arrests in Fiscal 2014, down from 292 in Fiscal 2013. The most common reasons for jail-based arrests of inmates involved possession of contraband, assaults on staff and obstruction of government administration.
- The Department conducted 82,833 searches during the first four months of Fiscal 2014, five percent more than in Fiscal 2013. This increase in enforcement coupled with the acquisition of state-of-the-art full body imaging equipment to find weapons secreted on and in inmates has increased the number of jail-made weapons found; 834 weapons were recovered during the first four months of Fiscal 2014 versus 676 in the prior reporting period, a 23 percent increase.
- A slight rise in the number of inmate-on-inmate fights led to a slight rise in the overall rate of violent inmate-on-inmate incidents (from 29.3 to 30.9, a 5.5 percent increase). The rate of serious injuries to inmates as a result of a violent inmate-on-inmate incident increased

from 1.4 per 1,000 ADP to 1.7, a 21 percent increase. The rate of serious injuries to staff as a result of inmate assaults increased from 0.25 per 1,000 ADP to 0.38 per 1,000 ADP.

- Assaults on staff encompass all physical contact of any kind with a uniformed employee.

DOC Performance Statistics	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
Incidents and allegations of use of force	2,272	2,837	3,413	*	*	1,213	1,361
Assaults on Staff	535	588	665	↓	↓	210	239
Inmate assault on staff (monthly rate per 1,000 ADP)	3.5	4.0	4.7	↓	↓	4.3	5.1
Serious injury to staff as a result of inmate assault on staff (monthly rate per 1,000 ADP)	0.27	0.27	0.2	↓	↓	0.25	0.38
Department use of force incidents with serious injury (rate per 1,000 ADP)	N/A	1	0.92	↓	↓	0.83	0.98
Department use of force incidents with minor injury (rate per 1,000 ADP)	N/A	8.15	10.95	*	*	11.38	11.39
Department use of force incidents with no injury (rate per 1,000 ADP)	N/A	7.2	9.11	*	*	10	12.96

Source: Fiscal 2014 Preliminary Mayor’s Management Report

- The rate of uses of force resulting in serious injury increased 12 percent in Fiscal 2014 from 0.9 incidents per 1,000 ADP to 1.0 incident per 1,000 ADP. The rate of uses of force resulting in no injury increased 30 percent, from 10.0 per 1,000 ADP in Fiscal 2012 to 13.0 per 1,000 ADP in Fiscal 2013. Where force is warranted, the Department uses the least restrictive means possible to achieve compliance; notably, the use of handheld chemical agents (OC spray) continues to make up 48 percent of use of force incidents in Fiscal 2014.
- 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.

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 Actual	2014 Adopted	2014 Prelim. Plan	2015 Prelim. Plan	*Difference 2014 - 2015
Spending						
Personal Services						
Full-Time Salaried – Civilian	\$17,717	\$17,179	\$18,539	\$18,539	\$18,093	(\$446)
Full-Time Salaried – Uniform	2,878	2,606	3,443	3,443	3,443	0
Additional Gross Pay	1,296	1,253	0	0	0	0
Overtime - Civilian	5,486	5,835	0	0	0	0
Overtime - uniform	583	488	0	0	0	0
PS Other	(424)	(359)	0	0	0	0
Fringe	36	32	0	0	0	0
Subtotal, PS	\$27,572	\$27,034	\$21,982	\$21,982	\$21,536	(\$446)
Other Than Personal Services						
Contractual Services	\$9,648	\$9,747	\$4,340	\$6,230	\$4,111	(\$229)
Fixed and Misc. Charges	1,050	916	0	0	0	0
Property and Equipment	150	26	166	299	118	(48)
Supplies and Materials	4,656	4,205	4,796	6,674	5,722	926
Subtotal, OTPS	\$15,504	\$14,894	\$9,302	\$13,203	\$9,951	\$649
TOTAL	\$43,076	\$41,928	\$31,284	\$35,185	\$31,487	\$203
Funding						
City Funds			\$31,284	\$35,027	\$31,489	\$205
Other Categorical			0	157	0	0
TOTAL			\$31,284	\$35,184	\$31,489	\$205
Budgeted Headcount						
Full-Time Positions - Civilian	229	252	228	228	228	0
Full-Time Positions - Uniform	33	44	44	44	44	0
TOTAL	262	296	272	272	272	0

*The difference of Fiscal 2014 Adopted compared to Fiscal 2015 Preliminary Plan funding.

The Fiscal 2015 Preliminary Budget for Operations –Infrastructure and Environmental Health shows a drop of 205,000 from Fiscal 2014 to Fiscal 2015. The Fiscal 2014 budget shows growth of \$3.9 million from the adopted budget. For Fiscal 2014 the increase is due internal budget modifications and a new need of \$1 million for clean products replacement. Of note, the object class categories additional gross pay, overtime, and fringe are budgeted centrally in the program area Jail Operations and moved to the respectful program areas later in the year to reflect actual spending.

Financial Plan Actions

- Clean Products Replacement.** The Fiscal 2015 Preliminary Budget includes \$1 million annually beginning in Fiscal 2014 to replace current cleaning products within the housing facilities. Current cleaning product consists of soap balls that inmates have to be dilute in water prior to using; the clean products replacement will now be dispensed from a locked area in the housing unit. The change in cleaning products is to mitigate the risk of ingestion by inmates and is non-toxic.

Jail Capacity

The Department of Correction (DOC) runs the second largest municipal jail in the United States with an operating capacity of 17,642 beds. In the last five years (FY09-FY13) population as a percentage of capacity has averaged 92percent. The Department operates 14 facilities; 10 jails on Rikers Island, four borough houses of detention (Brooklyn, Bronx, Queens and Manhattan) court pens in each of the five boroughs, and two hospital prison wards. On Rikers Island, there is a jail for sentenced males, one for sentenced and detainee females, and a detention center for adolescent males, ages 16 to 18. The seven other jails on the Island house adult male detainees.

Rikers Island Facilities	Housing	Capacity	FY13 ADP
Anna M. Kross Center	Detained Male Adults	2,988	2,220
Robert N. Davoren Center	Detained Male Adolescents	2,238	992
Eric M. Taylor Center	Sentenced Male Adults & Adolescents	1,851	1,386
George Motchan Detention Center	Detained Male Adults	1,977	1,552
George R. Vierno Center	Detained Male Adults	1,342	1,026
<i>James A. Thomas Center</i>	Closed	0	0
North Infirmary Command	Inmates Requiring Infirmary Care	475	118
Otis Bantum Correctional Center	Detained Male Adults	1,675	1,431
Rose M. Singer Center	Detained & Sentenced Female Adults & Adolescents	2,429	781
West Facility/Contagious Disease Unit	Inmates with contagious diseases	140	40
<i>Rikers Island Sub-total</i>		15,115	9,546

Borough Facilities			
Brooklyn House of Detention	Detained Male Adults	759	653
Queens House of Detention	Closed	0	0
Manhattan Detention Center	Detained Male Adults	898	737
Bellevue and East Elmhurst Hospital	Male & Females Requiring Psych or Med. Treatment	0	71
Vernon C. Bain Center	Detained Male Adults	870	820
<i>Borough Sub-total</i>		2,527	2,281

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	2013	2014	2014	2015	*Difference
	Actual	Actual	Adopted	Prelim. Plan	Prelim. Plan	2014 - 2015
Spending						
Personal Services						
Full-Time Salaried – Uniform	\$11,880	\$10,762	\$12,145	\$12,145	\$12,145	\$0
Full-Time Salaried – Civilian	0	36	0	0	0	0
Additional Gross Pay	1,992	1,828	0	0	0	0
Overtime - Civilian	0	0	0	0	0	0
Overtime - uniform	2,252	1,420	0	0	0	0
Other Salaried and Unsalariated	0	0	0	0	0	0
Fringe	163	145	0	0	0	0
Subtotal, PS	\$16,288	\$14,190	\$12,145	\$12,145	\$12,145	\$0
TOTAL	\$16,288	\$14,190	\$12,145	\$12,145	\$12,145	\$0
Funding						
City Funds	\$16,288	\$14,190	\$12,145	\$12,145	\$12,145	\$0
TOTAL	\$16,288	\$14,190	\$12,145	\$12,145	\$12,145	\$0
Budgeted Headcount						
Full-Time Positions - Uniform	144	154	154	154	154	0
TOTAL	144	154	154	154	154	0

*The difference of Fiscal 2014 Adopted compared to Fiscal 2015 Preliminary Plan funding.

The Budget for Operations – Hospitals Prison Ward remains unchanged since Fiscal 2014 Adoption. Of note, the object class categories additional gross pay, overtime, and fringe are budgeted centrally in the program area Jail Operations and moved to the respectful program areas later in the year to reflect actual spending.

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 Actual	2014 Adopted	2014 Prelim. Plan	2015 Prelim. Plan	*Difference 2014 - 2015
Spending						
Personal Services						
Full-Time Salaried – Civilian	\$4,371	\$1,677	\$4,370	\$4,370	\$4,370	\$0
Full-Time Salaried – Uniform	1,601	3,935	1,169	1,602	1,169	0
Overtime - Civilian	373	438	0	0	0	0
Overtime - uniform	226	225	0	0	0	0
Additional Gross Pay	448	393	0	0	0	0
Fringe	21	22	0	0	0	0
Subtotal, PS	\$7,040	\$6,690	\$5,539	\$5,972	\$5,539	\$0
Other Than Personal Services						
Contractual Services	\$3,639	\$4,265	\$4,025	\$3,736	\$4,001	(\$24)
Other Services and Charges	2	257	0	0	0	0
Property and Equipment	707	603	573	719	573	0
Social Services	118	119	120	120	120	0
Supplies and Materials	2,124	1,862	1,576	1,954	1,576	0
Subtotal, OTPS	\$6,590	\$7,106	\$6,294	\$6,529	\$6,270	(\$24)
TOTAL	\$13,630	\$13,796	\$11,833	\$12,501	\$11,809	(\$24)
Funding						
City Funds	N/A	N/A	\$11,691	\$11,474	\$11,667	(\$24)
Federal-Other	N/A	N/A	0	447	0	0
Other Categorical	N/A	N/A	0	437	0	0
Intra City	N/A	N/A	143	143	143	0
TOTAL			\$11,834	\$12,501	\$11,810	(\$24)
Budgeted Headcount						
Full-Time Positions - Civilian	76	79	79	79	79	0
Full-Time Positions - Uniform	21	25	16	25	16	0
TOTAL	97	104	95	104	95	0

**The difference of Fiscal 2014 Adopted compared to Fiscal 2015 Preliminary Plan Funding*

The Fiscal Budget for Health and Programs shows minimal change from Fiscal 2014 to Fiscal 2015, but an increase of a \$668,000 for Fiscal 2014. The Fiscal 2014 modified budget recognizes \$884,000 in non-city grants for two programs. Of note, the object class categories additional gross pay, overtime, and fringe are budgeted centrally in the program area Jail Operations and moved to the respectful program areas later in the year to reflect actual spending.

Financial Plan Actions

- **Prison Rape Elimination Act (PREA).** The Fiscal 2014 budget recognizes the receipt of \$447,000 in Federal funding for PREA. PREA is a federally funded program that is intended to address the detection, prevention, reduction and prosecution of sexual harassment and sexual assault in all correctional facilities in the country. The Department received funding for this initiative in Fiscal 2013 and rolled the funding into Fiscal 2014 as the procurement for a consultant is taking longer than anticipated.
- **Ryan White MHRA grant** – The Fiscal 2014 budget recognizes the receipt of \$437,000 in other categorical funding for the Ryan White program. This program provides vital services for persons living with HIV and AIDS, and their families.

Programs and Services

- **Adolescent Behavioral Learning Experience (ABLE)** The ABLE program which is the first social impact bond model project in NYC is an evidenced-based program in partnership with the Department of Education and two community-based organizations that focuses on improving personal responsibility and decision-making among adolescents. According to the Mayor’s Management Report (MMR) in Fiscal 2013 1,500 adolescents were served.
- **Individualized Correction Achievement (I-CAN)** The I-CAN discharge planning program is available to both pre-trial and sentenced adults who are in DOC custody for 20 days or more. Community-based providers work with inmates throughout their incarceration and up to 6 months after release offering workforce readiness, GED, and substance abuse programming. According to the MMR, in Fiscal 2013 there were 1,420 I-CAN referrals, 634 enrollments and, 333 workshops.

Performance Measures

DOC Performance Statistics	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
I-CAN Referrals	N/A	N/A	1,420	N/A	N/A	N/A	1,458
I-CAN Enrollments	N/A	N/A	634	N/A	N/A	N/A	784
I-CAN Workshops	N/A	N/A	333	N/A	N/A	N/A	497

- The Department continues its work to reduce recidivism. In February 2013, DOC introduced the Individualized Correction Achievement Network (I-CAN). I-CAN is a jail-based community reentry program for both pre-trial and sentenced inmates with the highest risk for readmission to the city jails. As of October 2013, there were 784 I-CAN enrollments in 497 workshops, which provide skill-building, cognitive behavioral therapy, job readiness training and family reunification support. The Department anticipates that this program will serve at least 2,270 inmates per year.

The DOC in collaboration with the NYC Department of Education and community based organizations work with all adolescents to ensure that they receive an appropriate education and

job skill training in addition to improving their decision making and problem solving skills. Adolescents also benefit from sports and arts programming.

Adolescent Academic Requirements

- All inmates under 18 years of age who have not graduated from high school or earned a GED must attend school. The DOE operates the Island Academy, and provides appropriate public education to adolescents, ages 16-18. Adolescent inmates at the Robert N. Davoren Center (pre-trial males), Rose M. Singer Center (all females), and Eric M. Taylor Center (city-sentenced males) attend programming. However, inmates in solitary confinement do not attend school, but are given school work in cell.

Other Programming

- **DOE after-school program:** The program is offered four days a week for two hours each day. Inmates can benefit from sports programming, college preparation, arts and technology, study groups, as well as an opportunity to earn food handler’s certificate.
- **Institute for Inner Development (IID) program.** IID provides programming that promotes attitudinal and behavioral change, builds self-esteem, and delivers basic life skills training. Specially trained Correction Officers staff the program, serve as mentors, and facilitate group sessions.

Performance Measures

DOC Performance Statistics	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
Average daily number of inmates in vocational skills training programs	161	148	204	N/A	N/A	170	173
Average daily attendance in school programs	782	713	693	N/A	N/A	82	576
Inmates participating in skills-building activities/discharge planning (%)	10.0%	10.0%	10.9%	10.0%	10.0%	10.0%	8.2%

DOC Performance Statistics	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
Inmates with a mental health diagnosis (% ADP)	32%	34%	37%	N/A	N/A	35%	38%
Inmates health clinic visits	79,385	83,914	75,664	N/A	N/A	27,684	25,617
Average clinic waiting time (minutes)	29	28	35	N/A	N/A	29	45

- As of October 2013, 38 percent of DOC’s average daily population had a mental health diagnosis, up from 35 percent in Fiscal 2013 and appreciably higher than the rate a few years ago. During the first four months of Fiscal 2014, DOC established resource hubs in each of the five boroughs to divert eligible defendants from jail to treatment in the community.

Administration – Academy and Training

This program area includes funding for central administrative services.

<i>Dollars in Thousands</i>	2012 Actual	2013 Actual	2014 Adopted	2014 Prelim. Plan	2015 Prelim. Plan	*Difference 2014 - 2015
Spending						
Personal Services						
Full-Time Salaried – Civilian	\$960	\$718	\$792	\$792	\$792	\$0
Full-Time Salaried – Uniform	25,375	27,833	4,566	4,566	4,566	0
Additional Gross Pay	2,175	2,577	0	0	0	0
Overtime - Civilian	1	1	0	0	0	0
Overtime - uniform	2,921	4,019	0	0	0	0
Fringe	152	185	0	0	0	0
Subtotal, PS	\$31,584	\$35,333	\$5,358	\$5,358	\$5,358	\$0
Other Than Personal Services						
Contractual Services	\$584	\$382	\$1,068	\$1,408	\$1,068	\$0
Property & Equipment	12	2	24	12	24	0
Supplies & Materials	42	50	40	52	40	0
Subtotal, OTPS	\$638	\$434	\$1,132	\$1,472	\$1,132	\$0
TOTAL	\$32,222	\$35,767	\$6,490	\$6,830	\$6,490	\$0
Funding						
City Funds	\$32,222	\$35,767	\$6,490	\$6,830	\$6,490	\$0
TOTAL	\$32,222	\$35,767	\$6,490	\$6,830	\$6,490	\$0
Budgeted Headcount						
Full-Time Positions - Civilian	11	14	14	14	14	0
Full-Time Positions - Uniform	613	69	69	69	69	0
TOTAL	624	83	83	83	83	0

**The difference of Fiscal 2014 Adopted compared to Fiscal 2015 Preliminary Plan Funding*

The budget for Administration – Academy and Training remains unchanged compared to the Fiscal 2014 Adopted Budget. Since adoption, the Fiscal 2014 Budget includes approximately \$340,000 in additional OTPS spending. This action reflects an internal budget modification by DOC to shift funding around within a U/A. Of note, the object class categories additional gross pay, overtime, and fringe are budgeted centrally in the program area Jail Operations and moved to the respectful program areas later in the year to reflect actual spending.

Administration – Management and Administration

This program area includes funding for central administrative services.

<i>Dollars in Thousands</i>	2012 Actual	2013 Actual	2014 Adopted	2014 Prelim. Plan	2015 Prelim. Plan	*Difference 2014 - 2015
Spending						
Personal Services						
Full-Time Salaried – Civilian	\$22,685	\$22,489	\$22,389	\$23,062	\$23,540	\$1,151
Full-Time Salaried – Uniform	2,784	2,894	2,968	3,211	3,455	487
Additional Gross Pay	1,210	1,193	0	0	0	0
Overtime - Civilian	554	802	0	0	0	0
Overtime - uniform	520	552	0	0	0	0
Other Salaried and Unsalariated	4	78	0	0	0	0
Fringe	36	39	0	0	0	0
Subtotal, PS	\$27,793	\$28,047	\$25,357	\$26,273	\$26,995	\$1,638
Other Than Personal Services						
Contractual Services	\$8,161	\$6,578	\$11,829	\$6,840	\$10,754	(\$1,075)
Fixed and Misc. Charges	24	15	44	44	44	0
Other Services and Charges	9,340	10,471	10,207	10,372	10,207	0
Property and Equipment	634	401	1,812	438	1,860	48
Social Services	0	0	(301)	0	0	301
Supplies and Materials	1,227	916	(557)	1,160	609	1,166
Subtotal, OTPS	\$19,386	\$18,381	\$23,034	\$18,854	\$23,474	\$440
TOTAL	\$47,179	\$46,428	\$48,391	\$45,127	\$50,469	\$2,078
Funding						
City Funds			\$47,666	\$44,196	\$49,744	\$2,078
IFA- Capital			724	724	724	0
Intra City			0	206	0	0
TOTAL			\$48,390	\$45,126	\$50,468	\$2,078
Budgeted Headcount						
Full-Time Positions - Civilian	317	343	319	343	342	23
Full-Time Positions - Uniform	32	37	37	41	41	4
TOTAL	349	380	356	384	383	27

*The difference of Fiscal 2014 Adopted compared to Fiscal 2015 Preliminary Plan Funding

The Fiscal 2015 Preliminary budget for Administration – Management and Administration reflects an increase of \$2 million from Fiscal 2014 to 2015. Of note, the object class categories additional gross pay, overtime, and fringe are budgeted centrally in the program area Jail Operations and moved to the respectful program areas later in the year to reflect actual spending.

Financial Plan Actions

- **Investigations Division.** The Investigation Division (ID) is integral to the Department of Correction's efforts to ensure the integrity, professionalism, and accountability of its staff. The Fiscal 2015 Preliminary budget includes approximately \$1.6 million annually for two actions related to DOC's investigations division. First, the Budget adds \$100,527 for the creation of a new Deputy Director's position of the crime scene unit (\$100,000 PS and \$527 OTPS) and second the budget adds approximately \$1.5 million (\$1.5 million PS and \$13,702 OTPS) for 22 civilian investigators and four assistant deputy wardens who will serve as integrity control officers.

The Deputy Director will assist in the formulation of division policies, training programs, and facility security protocols and operations to prevent corrupt acts and/or acts of violence, and direct on-the-job training of new ID investigators. The Deputy will also be responsible for providing oversight and ensuring that the chain of custody and quality of evidence from a crime scene is permissible for prosecution. It was noted by the Bronx DA that manner in which evidence had been captured in the past was inadmissible. Additional funding for the division will increase the department's investigative force and allow DOC the ability to thoroughly investigate and promptly address all incidents in the city jails while also decreasing caseloads and mitigating overtime spending.

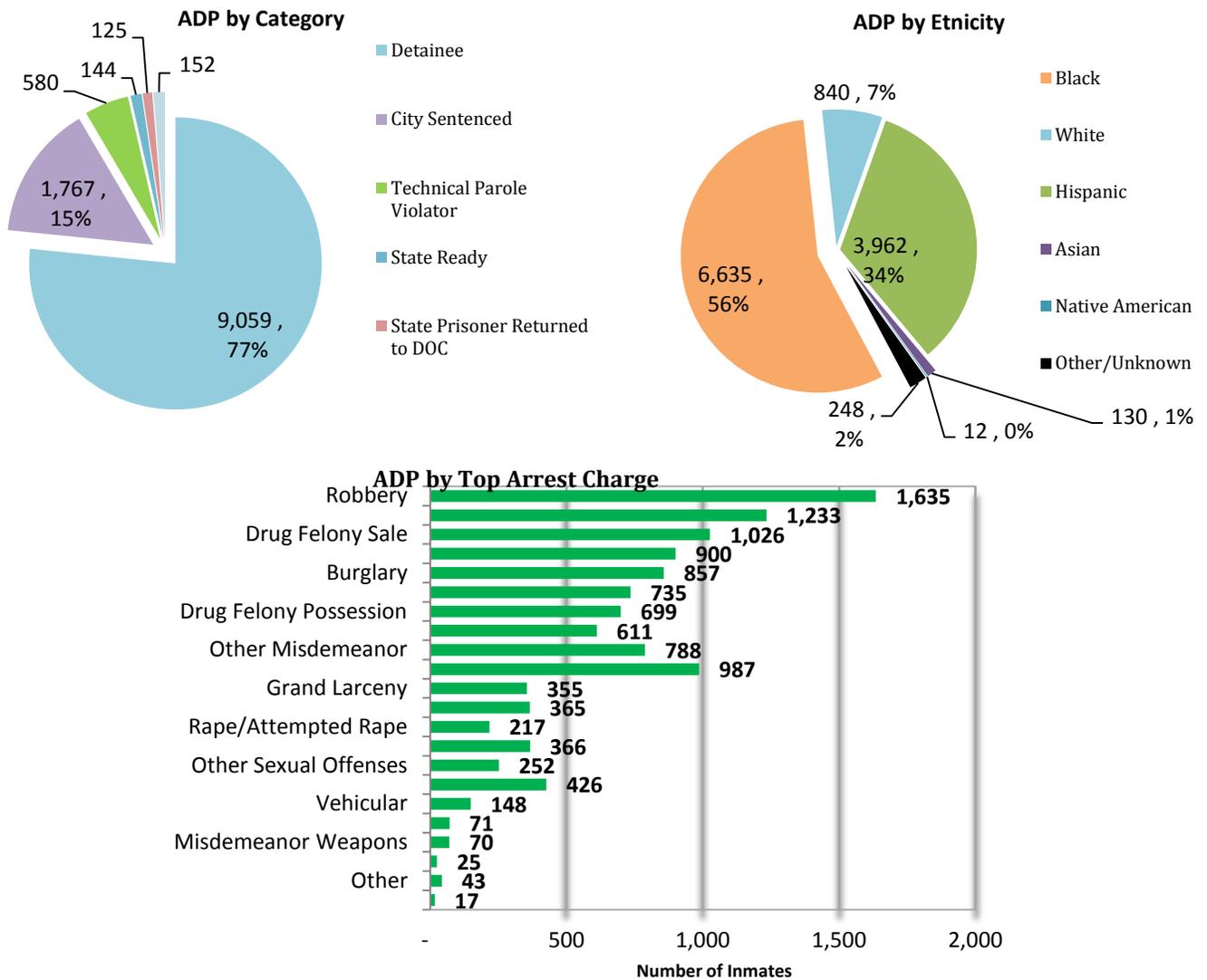
The investigations unit currently has a budgeted headcount of 51 positions (40 civilian and 11 uniform) the increase of 26 positions will bring the Fiscal 2015 budgeted headcount to 77 (62 civilian and 15 uniform) positions. According to DOC three of the 22 civilian positions have been filled.

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 2015 Preliminary Budget will be sufficient to provide adequate security and custody management.

In Fiscal 2013 the ADP was 11,827. The graphs below disaggregate the ADP by sentencing category, ethnicity and top arrest charge.

Average Daily Population: 11,827

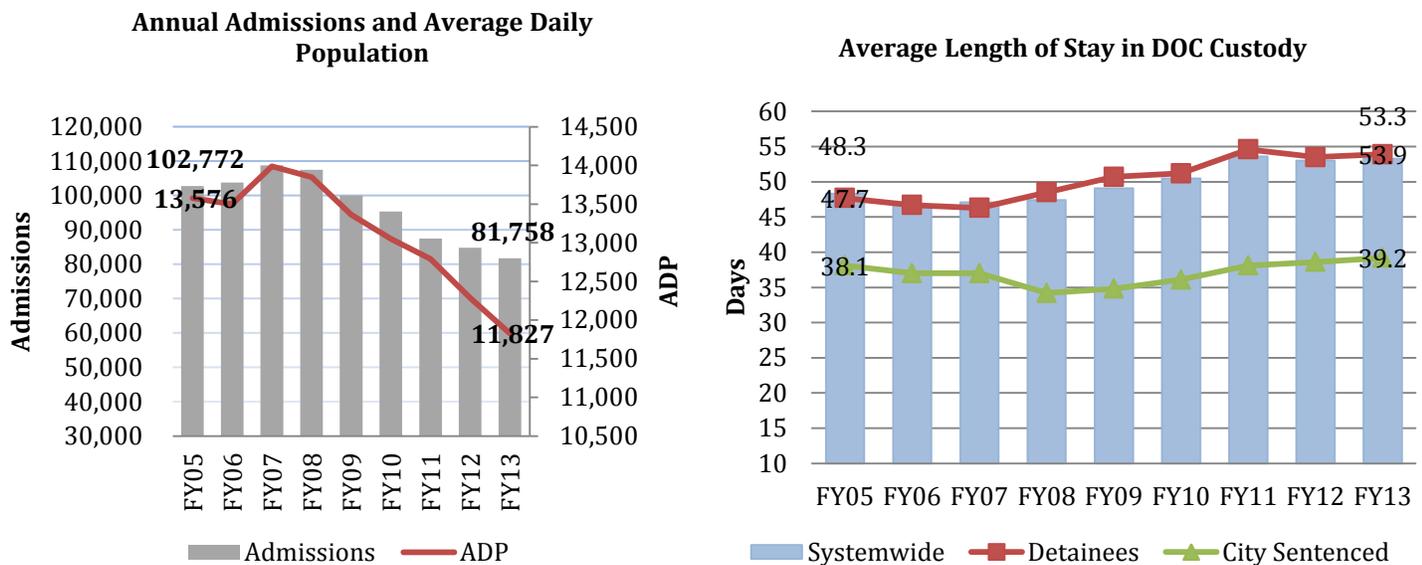


Source of Data for Charts: DOC and Independent Budget Office

Changes in Inmate Demographics

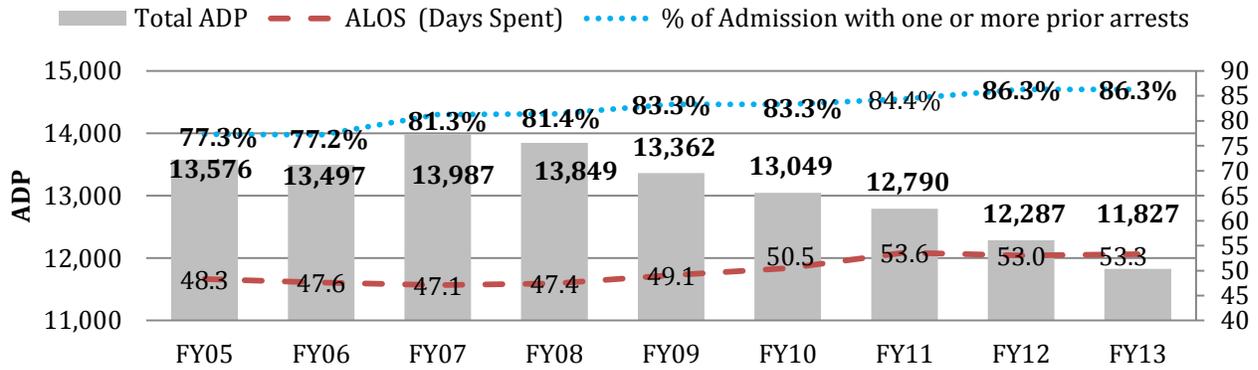
The number of citywide offenses has continued in a downward trend for many years which has led to fewer admissions to DOC and a decreasing average daily population (ADP). Those in custody, however, have become increasingly more difficult to manage. Inmates are more likely to have been charged with a violent felony, to have been arrested before, and to have been diagnosed with a mental illness. Inmates classified as being “high risk and need”, although they represent a small percentage of the ADP, are disproportionately involved in jail incidents, and their time in detention is longer than average.

The two graphs below include historical data for the ADP from Fiscal 2005 to Fiscal 2013. The first graph overlays the ALOS and percent of admissions with one or more prior arrests. The second graph overlays the percent of the ADP with a violent felony as a top charge and the percent of the ADP that are diagnosed with mental illnesses (M-diagnosis).

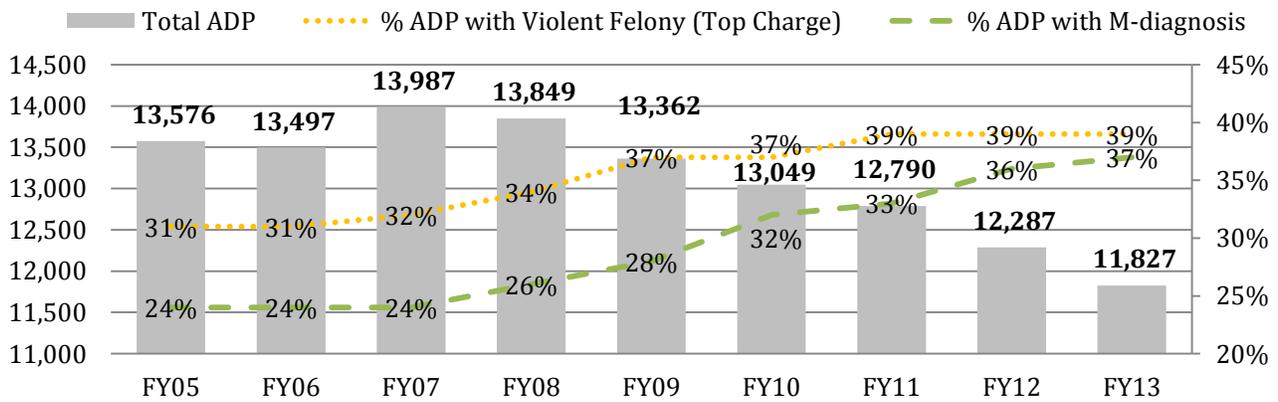


- Annual admissions have dropped by 20 percent from 102,772 in Fiscal 2005 to 81,758 in Fiscal 2013.
- ADP has dropped by 13 percent from 13,576 in Fiscal 2005 to 11,827 in Fiscal 2013
- The system-wide ALOS has grown by 10.4 percent from 48.3 days to 53.3 days. The ALOS for detainees has grown by 13 percent, and the ALOS for city-sentenced inmates has grown by three percent.
- Whereas both admissions and the ADP have declined the percent of admissions with one or more prior arrests have grown from 77 percent to 86 percent.

Population Demographics FY05-FY13

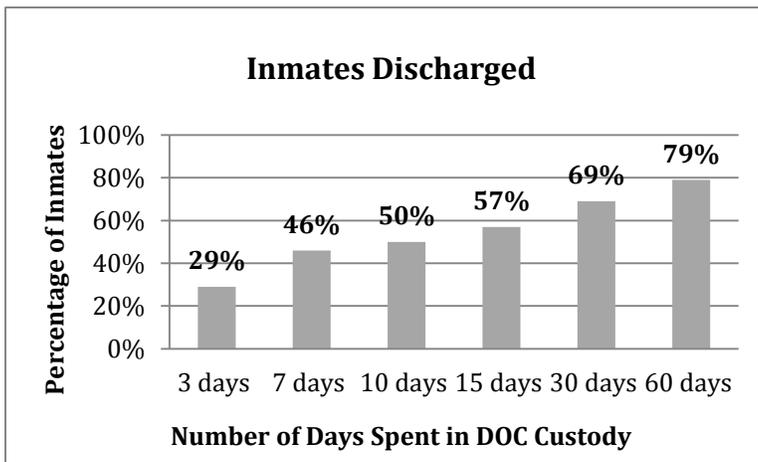


Population Demographics FY05-FY13



- As a percentage of the ADP inmates that had a violent felony as a top charge increased by ten-percent and inmates diagnosed with mental illnesses increased by 34 percent.
- In Fiscal 2013, 39 percent of ADP was comprised of inmates with a violent felony as a top charge and 37 percent were diagnosed with mental illnesses.

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 2013.



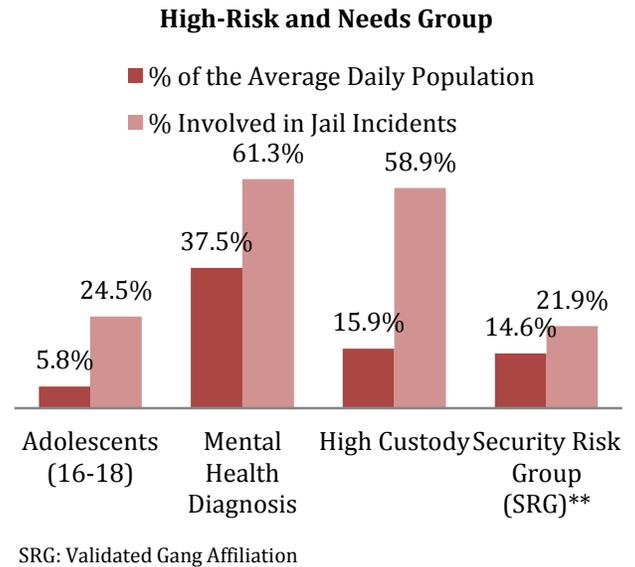
50 percent of all inmates are discharged from DOC’s custody in 10 days, followed by 80 percent being released within 60 days.

Custody Management

Department of Correction has worked to improve the screening and assessment process of inmates by updating its custody classification instrument and by centralizing intake for all new admissions.

With assistance from the National Institute of Corrections DOC revised its inmate classification system moving toward an objective risk scoring instrument enabling the Department to more accurately assess the level of risk and needs each inmate presents. The new system properly classifies inmates (minimum, medium and maximum) and evaluates each inmate’s risk of becoming a management problem while in custody.

It also determines an inmate’s medical and mental health needs, housing assignment and eligibility for evidence-based programs for discharge-planning and pre-release preparation. As mentioned above, the high-risk and needs group of inmates present unique custody management issues for the Department. The chart above illustrates how these groups of inmates compare to the average daily population and how they are disproportionately involved in jail incidents.



All defendants sixteen years of age and older in the New York State criminal justice system are charged as adults and remanded to the NYC Department of Correction and not the NYC Department of Juvenile Justice. As a custody management strategy DOC has implemented the following for inmates under 18 years of age: required that all adolescents wear institutional uniforms, moved to cell housing from dormitory style, increased cameras in all housing units and corridors, implemented temporary lock-in (time-out) and, earlier curfew at 10:00 p.m.

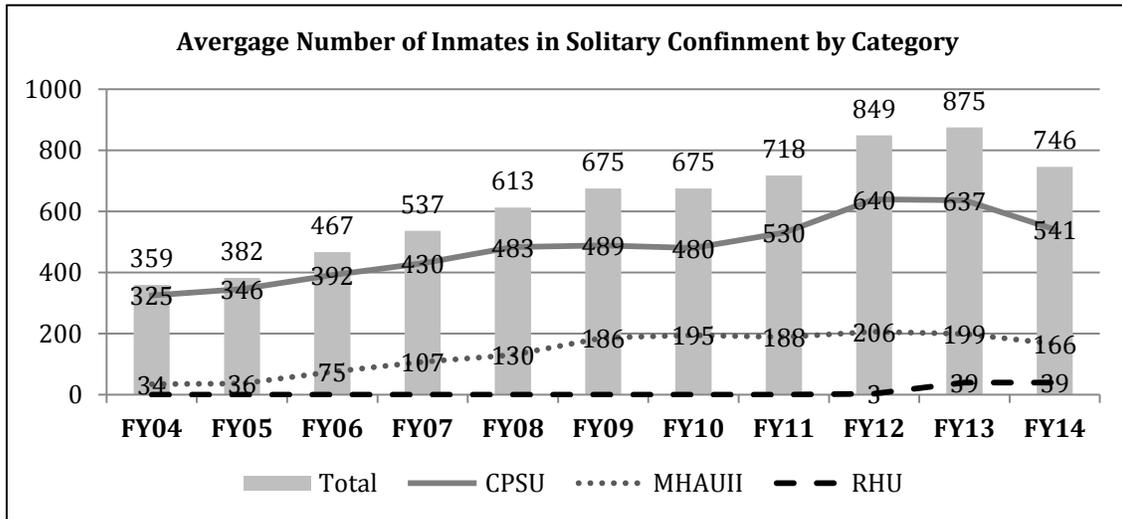
Central Punitive Segregation

DOC punishes people who violate jail rules by subjecting them to solitary confinement, isolation in a cell for 23 hours a day (what DOC refers to as "punitive segregation"). The term is based upon the type of offense committed (grade I, II, and III) with grade I being the most serious and for each additional infraction committed time is added to confinement.

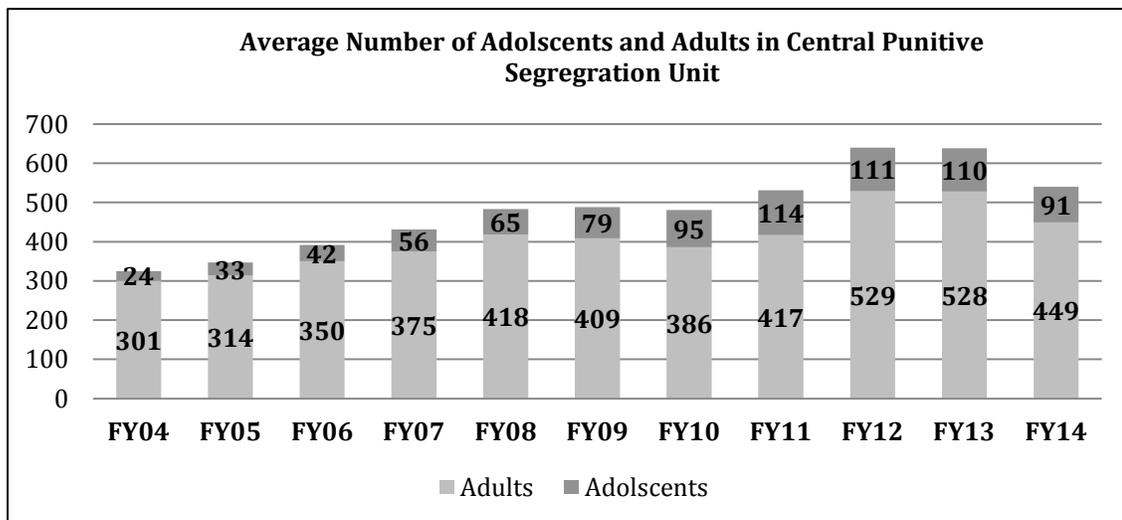
People with mental illness are not exempted from this practice. Prior to newly implemented reforms which will be discussed below, if an inmate was diagnosed with a mental illness after comprehensive review by the Department of Health and Mental Hygiene, they were assigned to a 200-bed alternative unit called the Mental Health Assessment Unit for Infracted Inmates (MHAUII) and if no mental illness existed they were assigned to general population CPSU.

The issue of solitary confinement has been a major subject of discussion as the Department has increased its usage as form of punishment for inmates who violated jail rules. At the same time across the country many other jurisdictions reduced this practice of imprisonment recognizing that solitary confinement was dangerous to inmates, especially adolescents and the mentally ill.

The three charts below provide trend data on the average number of inmates in solitary confinement since Fiscal 2004. The first chart provides the average number inmates in solitary confinement by category. The second chart provides the average number of adults and adolescents in punitive segregation. Finally, the third chart provides the average number of adults and adolescents MHAUII and RHU.

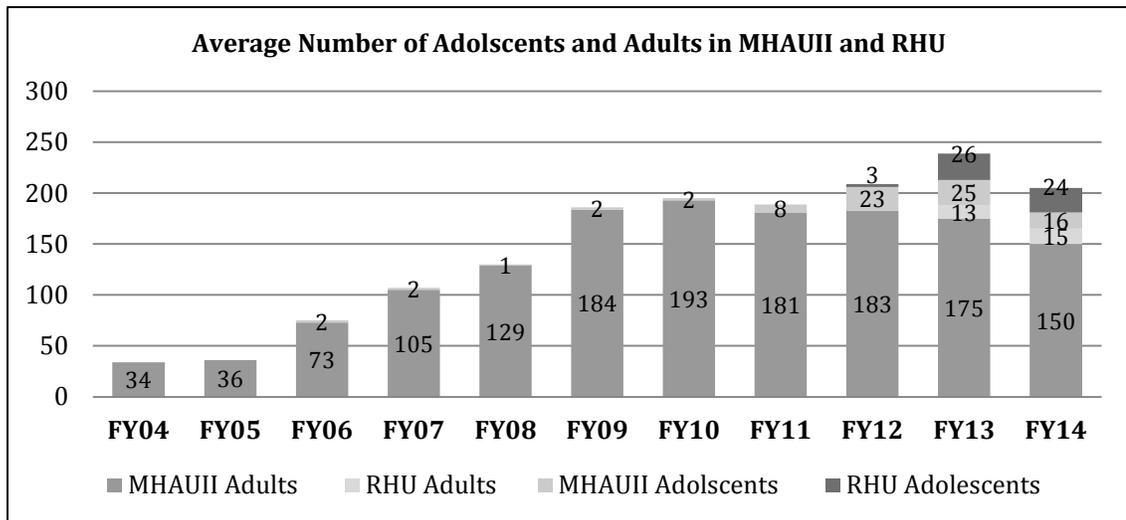


- Since Fiscal 2004, the total average number of inmates in punitive segregation in all categories increased by 144 percent from 359 to 875 in Fiscal 2013. The average number of inmates in central punitive segregation increased by 96 percent from 325 to 637 and inmates with a mental illness in MHAUII increased by 485 percent from 34 to 199.



- Since Fiscal 2004 the average number of adults in central punitive segregation has increased by 75 percent from 301 to 528 in Fiscal 2013. The average number of

adolescents increased by 358 percent during the same time from 24 to 110 in Fiscal 2013.



Source of Charts on page 11 &12 : New York City Board of Correction

- Since Fiscal 2004 the average number of adults in MHAUII has increased by 415 percent from 34 to 175 in Fiscal 2013. The average number of adolescents in MHAUII has increased by 700 percent from two to 16 in Fiscal 2013.

In Fiscal 2013 DOC instituted reforms that included revising its punitive segregation policy to set guidelines and standardize the penalties including those with mental illnesses. DOC will now differentiate between inmates diagnosed with mental illnesses and serious mental illnesses and responds to rule violations as an opportunity to provide treatment and address underlying misbehavior and mental illness and, assign SMI inmates to secure clinical settings solely for treatment purposes.

DOC and DOHMH developed and implemented two new programs for mentally ill inmates who incur infractions. The Clinical Alternative to Punitive Segregation (CAPS) is for seriously mentally ill inmates and the Restrictive Housing Units (RHU) are for those with non-serious mental illnesses. CAPS is not punitive in nature and offers treatment in a secure inpatient hospital like setting. The unit has 60 beds; a 20-bed cell housing unit and a 40-bed dormitory. RHU is 30 bed solitary confinement unit with a three-phase behavioral modification program proved by clinical staff. Participants can earn additional out-of-cell time and consideration for conditional release by actively participating in and successfully completing the program and maintaining good conduct. Of note, at a recent Board of Correction meeting Board Members indicated that RHU changes appeared to be "in name only." At a recent visit, Board of Corrections staff found that the facilities shared the same damaging conditions as the MHAUIIs with minimal to no programming, no day room activities, no consistent specially trained staff, and no uniform procedures or rules between RHUs at different jails.

The Department has also implemented changes for inmates who are assigned to general population punitive segregation which includes the following:

- Standardizing the penalty imposed for individual infractions; with first offenses being treated less severely than subsequent offenses.
- Upholding its 'zero tolerance' policy for assaults on staff, inmate-on-inmate assaults with serious injury and assaults with weapons that result, or may reasonably result, in serious injury.
- For inmates who commit non-violent offenses they may be eligible for conditional discharge from punitive segregation after two-thirds of a sentence served based on sustained good behavior;
- Finally evaluating whether inmates returning to DOC custody with previously imposed punitive segregation time not served are eligible to have that time expunged.

Capital Budget Overview

Rikers Island is a 413-acre site surrounded on all sides by the East River near both the boroughs of Queens and the Bronx. It is a prison complex that holds approximately 15,110 prisoners in 10 detention centers. The prison facility is managed as a separate complex from all other surrounding land uses.

The average age of the city's jails is 42 years. Of the 14 jails, eight have been in use for more than 30 years. The two newest facilities are, Vernon C. Bain also known as the "barge" which has been in operation for 22 years and is moored in the Bronx, and the West Facility, a complex of temporary modular structures and plastic tent-like structures called sprung, which has been in operation for 22 years. The two oldest jails are the North Infirmary Command and the James A. Thomas Center, which are 82 and 81 years old respectively.

As DOC's physical plant is aging and all of the facilities present unique challenges to the day-to-day operations of the jails as each has major capital needs. The Department has a capital program that spans multiple fiscal years in place to address all of the major capital projects in each facility. Of note, in Fiscal 2013, only 3.1% of the Jail-cells were unavailable due to repairs.

The Department has a total of 74 modular and sprung structures all of which have exceeded their useful life. All but nine, which are solid steel, will be removed by 2018 when the new Riker's Island facility opens. Of the 65 structures scheduled for demolition, the removal of 48 will be accomplished as part of capital projects and will therefore be paid for with capital funding, and the demolition of the other 17 (3 modular and 14 sprung) will be funded through the expense budget at a cost of \$1.3 million which is included in the Fiscal 2014 Adopted Budget

Capital Program

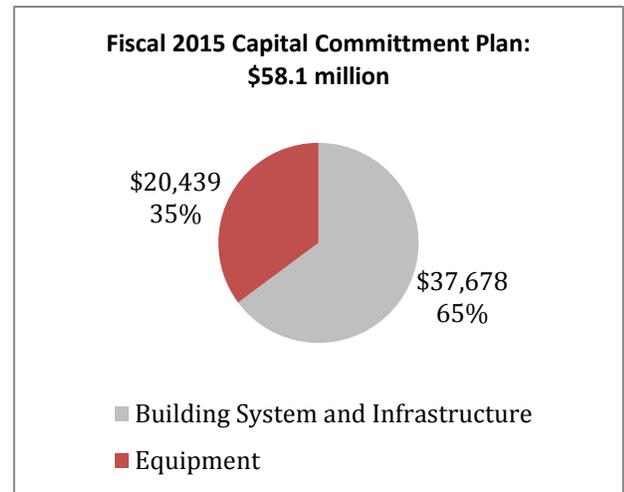
The total City Capital Commitment Plan for Fiscal 2014 has increased from \$21.2 billion in the November Capital Commitment Plan to \$21.3 billion in the Preliminary Capital Commitment Plan, an increase of \$163 million, or less than one percent. For DOC, the Capital Commitment Plan has increased by \$1.9 million, from the November Plan of \$1.050 billion to \$1.052 billion in the Preliminary Plan.

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 2013 DOC committed \$104.2 million or 29.5 percent of its annual capital plan. Therefore, it is assumed that a significant portion of the agency's Fiscal 2014 Capital Plan will be rolled into Fiscal 2015, thus increasing the size of the Fiscal 2015-2018 Capital Plan.

2014-2017 Commitment Plan: November and Preliminary Budget

Thousands of Dollars

	FY14	FY15	FY16	FY17	Total
November					
Total Capital Plan	\$898,214	\$58,117	\$44,324	\$49,513	\$1,050,168
Prelim					
Total Capital Plan	\$900,151	\$58,117	\$44,324	\$49,513	\$1,052,105
Change					
Level	\$1,937	\$0	\$0	\$0	\$1,937
Percentage	0%	0%	0%	0%	0%



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.

Fiscal 2014 Highlights

- **New Rikers Island Facility** – The Fiscal 2014 Capital Budget includes \$529 million to support construction of a new 1,537 bed facility for male detainee inmate’s which had its ground breaking December 2013. 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.
- **Replacement of Fire Alarms and Smoke Systems at Various Facilities** -The Fiscal 2014 Capital Budget includes \$97.2 million to support work related to Fire life safety.
- **Robert N. Davoren Center (RNDC) School Addition.** The Fiscal 2014 Capital Budget includes \$6.9 million in Fiscal 2014 for a new RNDC school. The current RNDC school classroom space can no longer be renovated and is not consistent with current standards.
- **Rikers Island Co-Generation Power Plant-Construction.** The Fiscal 2014 Capital Budget includes \$35.4 million to support construction related work.

Appendix A

Budget Actions in the November and Preliminary Plans

<i>Dollars in Thousands</i>	FY 2014			FY 2015		
	City	Non-City	Total	City	Non-City	Total
DOC Budget as of Fiscal 2014 Adopted Budget	\$1,052,842	\$12,262	\$1,065,104	\$1,048,732	\$11,262	\$1,059,994
New Needs			-			-
Titanium Prison Riot Vests	\$700	\$0	\$700	\$120	\$0	\$120
Clean Products Replacement	1,033	0	1,033	1,033	0	1,033
Investigations Division	909	0	909	1,551	0	1,551
Crime Scene Unit	72	0	72	101	0	101
Total New Needs	\$2,714	\$0	\$2,714	\$2,805	\$0	\$2,805
PEG Restorations			-			-
Leasing Beds to Suffolk County	\$941	(\$1,000)	(\$59)	\$941	(\$1,000)	(\$59)
Northern Border Prosecution Initiative	1,000	(1,000)	0	0	0	0
Total PEG Restorations	\$1,941	(\$2,000)	(\$59)	\$941	(\$1,000)	(\$59)
Other Adjustments						
Byrne Competitive Put Up	0	\$130	\$130	0	0	0
FY14 Gun Range OTPS	0	(17)	(17)	0	0	0
New York Power Authority	0	157	157	0	0	0
PlanNYC Energy Manager	0	81	81	0	0	0
Prison Rape Elimination Act	0	447	447	0	0	0
Revised FEMA Funding Put UP	0	66	66	0	0	0
Sandy CAT E Gun Range	0	990	990	0	0	0
Stab Resistant Gloves		250	250	0	0	0
Lease Adjustment	42	0	42	0	0	0
PlaNYCExCEL Program	0	125	125	0	0	0
Transitional Services	0	437	437	0	0	0
Total, Other Adjustments	\$42	\$2,666	\$2,709	\$0	\$0	\$0
Total All Changes	\$4,698	\$666	\$5,364	\$3,746	(\$1,000)	\$2,746
DOC Budget as of the Fiscal 2015 Preliminary Budget	\$1,057,541	\$12,928	\$1,070,469	\$1,052,478	\$10,262	\$1,062,740

Appendix B

DOC Preliminary Fiscal 2015 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.

DOC Fiscal 2015 Preliminary Contract Budget			
Contract Category	Number	Budgeted	Pct of (DOC) Total
Contractual Services General	13	\$8,452,923	33%
Telecommunications Maintenance	2	6,642,113	26%
Maintenance & Repair of Motor Vehicle Equipment	1	130,000	1%
Maintenance. & Repair, General	30	9,250,798	36%
Office Equipment Maintenance	6	95,475	0%
Temporary Services	1	1,000	0%
Cleaning Services	1	175,000	1%
Transportation Expenditures	1	260,829	1%
Training Programs for City Employees	2	244,820	1%
Professional Services: Other	5	431,591	2%
Preliminary Budget	62	\$25,684,549	100%

Source: Preliminary Budget Fiscal 2015 Expense, Revenue and Contract.

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	\$0	\$5,358	\$1,132	\$0	\$6,490
Administration-Mgmt. & Administration	26,343	651	6,011	16,116	49,121
Health and Programs	2,810	2,729	5,786	484	11,810
Jail Operations	28,433	814,997	84,047		927,478
Operations-Hospital Prison Ward		12,145			12,145
Operations-Infrastructure& Environ. Health	2,647	18,890	9,952		31,489
Operations-Rikers Security & Ops		21,197	3,010		24,207
Grand Total	\$60,233	\$875,968	\$109,939	\$16,600	\$1,062,740