



Finance Division The Council of the City of New York

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Report to the Committees on Finance and Fire and Criminal Justice Services
on the Fiscal Year 2016 Executive Budget for the

Department of Correction

June 1, 2015

Executive Budget Summary

- **Expense Budget:** The Department of Correction's (DOC or the Department) budget for Fiscal 2016 totals \$1.2 billion, \$120 million, or four percent more than the Fiscal 2015 Adopted Budget of \$1 billion.
- **Headcount:** The Fiscal 2016 Executive Budget supports a workforce of 11,544 positions (817 positions more than the Fiscal 2015 Adopted Budget) The Department's actual headcount as of April 2015 is 10,324, 960 positions below its current budgeted headcount.
 - **Uniform Headcount**
 - The Department increased uniform headcount by 544 positions, or six percent, to 9,653 positions for Fiscal 2016.
 - The Department's Fiscal 2015 actual uniform headcount is 8,928 as of April 2015, 609 positions below the DOC's current modified budgeted headcount.
 - **Civilian Headcount**
 - The Department increased civilian headcount by 273 positions, or 14 percent, to 1,891 civilian positions for Fiscal 2016.
 - The Department's Fiscal 2015 actual civilian headcount is 1,396 as of April, 351 positions below the DOC's current modified budgeted headcount.
- **Fiscal 2016 Executive Budget Changes:** The Fiscal 2016 Executive Budget includes \$51.3 million in new needs, of which \$36.4 million will go towards funding the DOC's Anti-Violence Agenda, a 14-Point Plan to reduce violence on Rikers Island, and the remainder will support recruitment, vehicle maintenance, and academy instructors.
- **Overtime:** The Executive Budget for Fiscal 2016 includes \$86.7 million for overtime (\$79.9 million for uniform staff and \$6.8 million for civilians.) The projected total spending on

overtime in Fiscal 2015 is \$175 million (\$161 million for uniform staff and \$14 million for civilian.)

- **Ten-Year Capital Strategy:** The Department's Executive Ten-Year Capital Strategy for Fiscal 2016-2025 totals approximately \$1.7 billion, with Building Systems and Infrastructure receiving the majority of the funding, totaling \$974 million, or 57 percent.
- **Fiscal 2015-2019 Capital Commitment Plan:** The Executive 2015 Capital Commitment Plan includes \$1.6 billion in Fiscal 2015-2019 for the DOC: \$558 million for Capacity Replacement; \$75 million for Support Space; \$826 million for Building Systems; and Infrastructure; and \$146 million for Equipment.

DOC Overview

This report presents a review of DOC's Fiscal 2016 Executive Budget. The section below presents an overview of the Department's budget and how it has changed during the course of Fiscal 2015, followed by a review of the significant budget actions introduced in the Fiscal 2016 Executive Budget. Major issues related to the Department's budget are then discussed. An analysis of the Department's Executive Ten-Year Capital Strategy and highlights of the Capital Commitment Plan for the Fiscal 2016 Executive Budget follow the discussion of the expense budget. Appendix 1 report changes made to the Budget since the Fiscal 2016 Preliminary Budget and Appendix 2 report the changes made to Budget since the Fiscal 2015 Adopted Budget.

For additional information on the Department's budget and its various programs, please refer to the Fiscal 2016 Preliminary Budget Report for the Department of Correction at: <http://council.nyc.gov/html/budget/budget.shtml>.

DOC Financial Summary

	2013	2014	2015	Executive Plan		*Difference
<i>Dollars in Thousands</i>	Actual	Actual	Adopted	2015	2016	2015 - 2016
Spending						
Personal Services	\$968,913	\$971,624	\$963,229	\$996,879	\$1,043,335	\$80,106
Other Than Personal Services	121,997	131,473	132,314	146,961	173,154	40,840
TOTAL	\$1,090,909	\$1,103,097	\$1,095,543	\$1,143,840	\$1,216,489	\$120,947
Budget by Program Area						
Administration-Academy and Training	\$35,767	\$27,138	\$14,000	\$15,033	\$17,945	\$3,946
Administration-Mgmt. & Administration	46,427	47,440	52,938	47,962	54,755	1,816
Health and Programs	13,796	11,830	14,681	14,136	19,459	4,778
Jail Operations	909,679	920,039	943,102	988,333	1,049,553	106,451
Operations-Hospital Prison Ward	14,190	16,190	13,531	13,533	13,533	3
Operations-Infrastructure. & Environ. Health	41,928	45,265	32,384	39,245	35,265	2,881
Operations-Rikers Security & Ops	29,121	35,196	24,907	25,598	25,979	1,072
TOTAL	\$1,090,909	\$1,103,097	\$1,095,543	\$1,143,840	\$1,216,489	\$120,947
Funding						
City Funds	\$1,604,109	\$1,088,985	\$1,085,281	\$1,130,068	\$1,205,929	\$120,649
Other Categorical	2,189	3,338	0	184	0	0

	2013	2014	2015	Executive Plan		*Difference
<i>Dollars in Thousands</i>	Actual	Actual	Adopted	2015	2016	2015 - 2016
Capital - IFA	\$652	\$845	\$724	\$724	\$724	\$0
State	998	1,153	1,109	1,175	1,109	0
Federal - Other	22,432	8329	8,286	9,931	8,584	298
Intra City	529	447	143	1,757	143	0
TOTAL	\$1,090,909	\$1,103,097	\$1,095,543	\$1,143,840	\$1,216,489	\$120,947
Budgeted Headcount						
Full-Time Positions - Civilian	1,358	1,353	1,618	1,747	1,891	273
Full-Time Positions - Uniform	8,991	8,922	9,109	9,537	9,653	544
TOTAL	10,349	10,275	10,727	11,284	11,544	817

**The difference of Fiscal 2015 Adopted Budget compared to Fiscal 2016 Executive Budget.*

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The City's Fiscal 2016 Executive Budget totals \$78.3 billion, \$3.3 billion more than the Fiscal 2015 Adopted Budget of \$75 billion. City funds (City tax-levy and non-tax revenues) total \$56.8 billion, compared to the Fiscal 2015 Adopted Budget amount of \$54.8 billion. For the DOC, the Fiscal 2016 Executive Budget totals \$1.2 billion. This represents approximately 1.5 percent of the City's total budget.

The DOC's Fiscal 2016 Executive Budget of \$1.2 billion is \$121 million more than its Fiscal 2015 Adopted Budget of \$1.09 billion. The \$121 million increase is due to growth in the Personal Services (PS) budget of \$80.1 million and in the Other Than Personal Services (OTPS) budget of \$40.8 million. The proposed budget is \$46 million more than the DOC's Fiscal 2016 Preliminary Budget.

At the time of Adoption for Fiscal 2015, DOC's projected Fiscal 2016 Budget of \$1.090 billion was \$4.7 million less than the Fiscal 2015 Adopted Budget of \$1.095 billion. The DOC's projected headcount of 10,765 for Fiscal 2016 is 38 positions higher the Fiscal 2015 Adopted Budget headcount of 10,727.

Since adoption of the Fiscal 2015 Budget, several initiatives have impacted both the DOC's budget and headcount for Fiscal 2015 and Fiscal 2016. For Fiscal 2015 these include \$39.9 million in new needs, \$8.4 million in other adjustments, and headcount changes of 577 (129 civilian and 428 uniform). For Fiscal 2016 these include \$122.8 million in new needs, \$2.9 million in other adjustments, and headcount changes of 817 (544 uniform and 273.) Combined, the above actions reconcile the DOC to its current budget of \$1.1 billion for Fiscal 2015 and \$1.2 billion for Fiscal 2016. Headcount changes are reconciled to 11,284 in the current Fiscal 2015 budget and 11,544 in Fiscal 2016. (See Appendix 2 for a list of all budget actions since adoption.)

Changes introduced in the Fiscal 2016 Executive Budget increase the Fiscal 2015 Budget by \$1.5 million and the Fiscal 2016 Budget by \$46 million. For Fiscal 2015, changes include \$3.8 million in new needs, offset by a \$2.3 million reduction in other adjustments. For Fiscal 2016 changes include \$51.3 million in new needs, offset by a \$5.3 million reduction in other adjustments. The DOC's overall headcount shows an increase of 293 positions (127 uniform and 156 civilian) in the Fiscal 2016 Executive Budget. The Fiscal 2016 Executive Budget shows an increase of 260 positions when compared to the Fiscal 2015 Current Modified Budget. (See Appendix 1 for a list of all Executive Budget changes.)

- **City Tax-Levy Increase.** The Fiscal 2016 City-funded portion of the budget shows an increase of \$120 million when compared to the Fiscal 2015 Adopted Budget and the Current Modified Budget for Fiscal 2015 shows growth of \$44.8 million.
- **Non-City Funding.** For Fiscal 2016 non-city revenue increased by \$298,000 compared to the Fiscal 2015 Adopted Budget, and the Current Modified Budget for Fiscal 2015 shows a decrease of \$3.2 million.
- **Jail Operations.** The Fiscal 2016 budget for the program area “Jail Operations” shows an increase of \$106 million when compared to the Fiscal 2015 Adopted Budget, the majority of the increase to Jail Operations can be contributed to an increase in uniform salaries, supplies, and materials.
- **Headcount Changes.** The Department’s overall headcount increases by 817 positions from the Fiscal 2015 Adopted Budget to the Fiscal 2016 Executive Budget, with an increase of 273 civilian positions and 544 uniform positions. The Current Modified Budget for Fiscal 2015 increases by 557 positions, with an increase of 129 civilian positions and 428 uniform positions since Adoption.

New in the Executive Budget

The DOC’s Fiscal 2016 Executive Budget of \$1.22 billion is \$45.9 million or four percent more than the proposed Fiscal 2016 Preliminary Budget of \$1.17 billion. The Fiscal 2016 Executive Budget includes \$51.3 million in new needs, offset by \$5.3 million in other adjustments. Of this amount, \$36.4 million and 212 positions (127 uniform and 85 civilian) will support the DOC’s Anti-Violence Reform Agenda, a 14-Point Plan to combat violence and promote safety that Commissioner Ponte announced in March 2015. The additional resources include funding to keep contraband out of facilities, improve the housing classification strategy, reduce inmate idle time, and more quickly respond to violent incidents. The Anti-Violence Reform Agenda includes five major initiatives to reduce violence and nine additional initiatives to help move the Department toward a cultural of safety. The following table lists the elements of the reform agenda and their associated Fiscal 2016 cost and headcount changes. Each element is described below.

14-Point Anti-Violence Reform Agenda

DOC's Anti-Violence Reform Agenda - 14-Point Plan			
<i>Dollars in Thousands</i>	Fiscal 2016		
New in the Fiscal 2016 Executive Budget	Uniform	Civilian	Funding Level
Keep Weapons and Drugs out of Rikers	21	0	\$2,041
Create an Integrated Classification and Housing Strategy	0	4	429
Design Effective Inmate Education Opportunities and Services	23	27	11,663
Redefine First line Incident Response	69	0	6,938
Redefine Investigations Division	12	5	2,165
Improve Leadership Development and Culture	0	0	1,302
Recruitment and Hiring	0	10	1,080
Design a Staff Performance Management Plan	0	12	1,225
Create a Well-Defined Supply Distribution Process	0	0	463
Targeted Training	0	7	2,471
Implement Operational Performance Metrics and Analysis	0	5	517
Improve Internal and External Communications	2	6	928
Consultant Fees	0	0	4,450
Project Management Office	0	9	768
Total	127	85	\$36,440

Five Major Initiatives to Reduce Violence

- Keep Weapons and Drugs out of Rikers.** The Department plans to increase security measures at the facility's main entrances in improve the overall search procedures upon entering the jail facilities with a focus on utilizing the best available equipment. In addition, the DOC will relocate staff and visitor locker rooms outside of the jail facilities to help reduce the flow of contraband. The Fiscal 2016 Executive Plan includes \$2 million (\$1.7 million in PS and \$362,600 in OTPS) and baseline funding of approximately \$4 million beginning in Fiscal 2017 for 21 positions, including 20 correction officers and one captain.
- Create an Integrated Classification and Housing Strategy.** The Fiscal 2016 Executive Plan includes \$428,700 (\$390,000 in PS and \$38,700 in OTPS) and baseline funding of \$392,314 (\$390,000 in PS and \$2,314 in OTPS) beginning in Fiscal 2017 for four civilian positions, including one deputy commissioner and three analysts to create an inmate housing and assignment strategy that will reduce the number of high-risk combinations of inmates in the same housing area.
- Design Effective Inmate Education Opportunities and Services.** The Fiscal 2016 Executive Plan includes \$11.7 million (\$2.8 million in PS and \$8.8 million in OTPS) in Fiscal 2016, increasing to \$16.9 million (\$5.5 million in PS and \$11.4 million in OTPS) in Fiscal 2017 and in the outyears for 50 positions (23 uniform and 27 civilian.) Uniform staffing will include one captain and 22 correction officer positions. Civilian staffing will include two assistant commissioners and 25 various staff positions to support the provision of programming for adolescent and young adult inmates up to five hours each day. By decreasing idle time, the Department hopes to reduce the incidence of violence among this population. The additional OTPS funding will be allocated for vendor programming services, supplies, equipment, and trailer purchases. The Department plans to operate a portion of this program on overtime.

- **Redefine First Line Incident Response.** The Department will overhaul the Emergency Services Unit (ESU) response procedures, tactical equipment, and move the physical location of the headquarters to increase the effectiveness of the ESU. The Fiscal 2016 Executive Plan includes \$6.9 million (\$5.8 million in PS and \$1.1 million in OTPS) in Fiscal 2016 and approximately \$6 million (\$5.8 million in PS and \$164,414 in OTPS) in baseline funding for 69 uniform positions, including 55 correction officers and 14 captains. For Fiscal 2016, the OTPS funding is higher because of the initial expense of buying tactical equipment.

Nine Additional Initiatives will help move DOC toward a Culture of Safety

- **Improve Leadership Development and Culture.** The Department plans on improving leadership development amongst the staff and spawn a culture change in an effort to support the success of the Department's individual reform initiatives. Funding will cover vendor costs associated with delivering leadership skills, coaching, and training to the supervisory and senior management staff. The Fiscal 2016 Executive Plan includes OTPS funding of \$1.3 million in Fiscal 2016 and \$1.8 million in Fiscal 2017.
- **Recruitment and Hiring.** The Fiscal 2016 Executive Plan includes \$1 million (\$753,049 in PS and \$57,825 in OTPS) in Fiscal 2016 and baseline funding of \$810,874 (\$753,049 in PS and \$57,825 in OTPS) in Fiscal 2017 and in the outyears for ten civilian positions. This includes one medical doctor, one psychiatrist and eight additional support staff. According to DOC, this will further expand and enhance the Department's applicant investigation and hiring practices to ensure that DOC has a sufficient candidate pool available for hire. OTPS will be allocated for recruitment supplies and equipment, vehicles, and travel costs. This is in addition to the \$2.3 million added to the Fiscal 2016 Preliminary Budget for the applicant investigation unit.
- **Design a Staff Performance Management Plan.** The Fiscal 2016 Executive Plan includes baseline funding of approximately \$1.2 million (\$785,000 in PS and \$439,800 in OTPS) beginning in Fiscal 2016 to design a staff performance management plan. The Department will hire 12 civilian staff, including one director and four staff administrators to implement a performance review process for all employees at DOC which will ensure that high quality staff members are trained, rewarded, and promoted while minimizing the number of underperforming staff.
- **Create a Well-Defined Supply Distribution Process.** The Fiscal 2016 Executive Plan includes OTPS funding of \$462,580 in Fiscal 2016 and baseline funding of \$258,866 beginning in Fiscal 2017 for DOC to better manage the distribution of supplies and equipment to both staff and inmates throughout the City jails. According to DOC, it will evaluate and improve existing inventory practices from its central storehouse through individual units in facilities which will eliminate a sense of false scarcity and shortages of key supplies. It is anticipated that this will lead to a reduction in inmate violence thereby increasing jail safety.
- **Targeted Training.** The Fiscal 2016 Executive Plan includes \$2.5 million (\$615,000 in PS and \$1.86 million in OTPS) in Fiscal 2016 and baseline funding of \$1.2 million (\$615,000 in PS and \$622,263 in OTPS) in Fiscal 2017 and in the outyears to support the Department's efforts to improve staff training. DOC will hire seven civilian staff, including four curriculum developers, two computer analysts, and one grant writer to support the development of training curriculums within the Department. According to DOC, the training will better

enable officers to manage inmate's behavior in special populations. OTPS funding was allocated for vendor services, supplies, and equipment.

- **Operational Performance and Total Efficiency Accountability Management System (TEAMS).** The Fiscal 2016 Executive Plan includes funding to improve DOC's Operational Performance and TEAMS. The DOC implemented TEAMS many years ago. It is the practice of engaging frontline managers monthly to describe conditions at their respective jails, explain variances in their performance indicators, and gain guidance on strategies to solve specific problems. The budget adds \$517,000 (\$465,000 in PS and \$52,000 in OTPS) in Fiscal 2016 and baseline funding of \$472,429 (\$465,000 in PS and \$7,429 in OTPS) in Fiscal 2017 and in the outyears for five civilian positions, including two implementation managers, two analysts, and one data specialist. DOC will implement an operational performance management process to track metrics across divisions and facilities and create action plans to address priority safety measures, with the goal of increasing transparency and leadership accountability. According to DOC, efforts will aim to improve officer and inmate safety by providing transparency into DOC operations which will enable faster, more targeted improvements in jail operations. DOC will aim to focus on leading indicators of violence.
- **Improve Internal and External Communications.** The Department's public relations workload has expanded significantly because of heightened media coverage due to the many issues facing DOC, as well as increased scrutiny by the Department of Justice (DOJ) and other external oversight agencies. The additional staffing will enable the Department to handle daily press inquiries and provide support to the Department while implementing the 14-point reform agenda. The Fiscal 2016 Executive Plan includes \$927,823 (\$692,823 in PS and \$235,000 in OTPS) in Fiscal 2016 and baseline funding of \$743,537 (\$692,828 in PS and \$50,714 in OTPS) in Fiscal 2017 and in the outyears to improve internal and external communications. The DOC will hire eight new staff (two uniform and six civilian).
- **Consultant Fees.** The Fiscal 2016 Executive Plan includes OTPS funding of \$3.1 million in Fiscal 2015 and \$4.5 million in Fiscal 2016 for the Department's consultant contract with the McKinsey Group, which is assisting the DOC with the development and implementation of the its anti-violence reform agenda. According to DOC, funding is only included for two years as it is anticipated that the Department will be able to take over the services provided by the McKinsey Group.
- **Project Management Office.** The Fiscal 2016 Executive Plan includes \$768,600 (\$720,000 PS and \$48,600 OTPS) in Fiscal 2016 and baseline funding of \$726,943 (\$720,000 PS and \$6,943 OTPS) in Fiscal 2017 and in the outyears to create a new Project Management Office. The DOC will hire nine civilian staff that will help ensure proper planning and successful execution of every major reform initiative taking place at DOC. In addition, the office will ensure that other initiatives and improvement efforts recommended by the DOJ and other regulatory requirements are adhered to. Staffing for this office includes one Director and eight project analysts.
- **Redefine Investigations Division.** The Fiscal 2016 Executive Plan includes approximately \$2.2 million (\$1.3 million in PS and \$833,575 in OTPS) in Fiscal 2016 and baseline funding of \$1.5 million (\$1.3 million in PS and \$214,440 in OTPS) in Fiscal 2017 and in the outyears for 17 positions (12 uniform and five civilian) to enhance both the canine and intelligence branches of the Investigation Division. This will further improve the quality of investigative

operations with a goal of greater officer safety and a reduction of case processing times. The Fiscal 2016 Executive Capital Commitment Plan includes funding for canines supplies and equipment, transport vehicles, and trailers.

Other Operational Needs

- **Academy Instructors.** The Department to recruit instructors with previous law enforcement or military experience as academy instructors. Currently the Department has no dedicated academy instructors, and utilizes approximately 25 uniform staffs on a rotating basis who work using overtime funding to train new recruits. These additional instructors will aid the Department in expanding its training capacity, as well as process larger recruit classes going forward in order to reach and maintain. The Department's budgeted staffing levels. The Department plans to enroll three classes of 600 correction officer recruits in Fiscal 2016 to meet its budgeted headcount. The Fiscal 2016 Executive Plan includes PS funding of \$125,000 in Fiscal 2015 and baseline funding of \$500,000 in Fiscal 2016 and in the outyears for ten civilian academy instructors.
- **Maintenance and Infrastructure Repair.** The Fiscal 2016 Executive Plan includes \$679,800 (\$7,569 in PS and \$672,231 in OTPS) in Fiscal 2016 and baseline funding of \$745,136 (\$7,569 in PS and \$737,567 in OTPS) in Fiscal 2017 and in the outyears for various repairs and annual maintenance of facilities and support infrastructure.
- **Scenario Training.** The Fiscal 2016 Executive Plan includes PS funding of \$537,000 in Fiscal 2015 and \$1.2 million in Fiscal 2016 and in the outyears to extend its academy class by three days for a total of approximately 17 to 18 weeks.
- **Vehicles and Maintenance.** The Fiscal 2016 Executive Plan includes \$3.4 million (\$1.6 million in PS and \$1.7 million in OTPS) in Fiscal 2016 and baseline funding of \$2.4 million (\$1.6 million in PS and \$821,667 in OTPS) in Fiscal 2017 and in the outyears to establish a lifecycle replacement plan for light-duty vehicles. The DOC will hire 25 additional mechanics and service technicians in order to maintain and support fleet operations.
- **Fitness Center and Staff Area Renovations.** The Fiscal 2016 Executive Plan includes baseline PS and OTPS funding to support fitness center and staff area renovations. The budget includes \$8.2 million (\$2.5 million in PS and \$5.7 million in OTPS) in Fiscal 2016, decreasing to \$2 million (\$1.5 million in PS and \$591,124 in OTPS) in Fiscal 2019. DOC will hire 36 new staff positions including, trade, procurement, projects managers, fitness instructors, and IT staff. The Department will also replace lockers, food and recreation equipment, furniture, and renovate common areas used by officers.
- **Uniform Testing.** The Fiscal 2016 Executive Plan includes \$733,248 in Fiscal 2016 and the outyears for contractual services related to testing the Department's uniforms for bodily fluids.

DOC Fiscal 2016 Preliminary Budget Response

In the Council's Preliminary Budget Response, the Council renewed its call for the Administration to hire 100 additional civilian staff and redeploy 100 correction officers to security posts. In addition, the Council called upon the Administration to further expand the applicant investigation unit, add additional funding for discharge planning, fully fund the anti-violence reform agenda, and phase two of the fire/life safety upgrades on Rikers Island. Of the

five Preliminary Budget response proposals, the Fiscal 2016 Executive Plan recognizes four response items.

Expand the Applicant Investigation Unit. The Council called upon the Administration to increase the Fiscal 2016 Budget by \$2.3 million to further expand the applicant investigation unit beyond the additional positions added in the Fiscal 2016 Preliminary Budget. According to Commissioner Ponte, the DOC plans to hire approximately 2,000 correction officers in next year to reach its Fiscal 2015 authorized uniform headcount of 9,537. The Fiscal 2016 Executive Plan includes \$1.08 million in Fiscal 2016 and decreasing in the outyears for recruitment and hiring to enhance the Department's applicant investigation unit.

Civilianization of 100 Positions. The Council renewed its call for the Administration to civilianize more positions at the Department. According to the Council's Fiscal 2015 Term and Condition related to civilianizable positions at the Department of Correction, there are approximately 100 correction officers performing clerical and administrative tasks rather than staffing security posts. The Council called on the Administration to hire 100 civilians and redeploy the 100 uniform correction officers at a cost of about \$5.9 million. The Fiscal 2016 Executive Budget does not include additional funding to civilianize 100 positions.

Fully Fund Phase Two of the Fire/Life Safety Upgrade. The Council called upon the Administration to increase the Department's capital budget to \$300 million to fully fund Phase two of the fire/life safety renovations on Rikers Island. The Capital Commitment Plan now includes \$64 million for phase two of the upgrades on Rikers Island and \$85.4 million for phase two upgrades in the Department's borough facilities as well as an increase in funding to complete phase one of the mandatory upgrades.

Fully Fund the 14-Point Anti-Violence Reform Agenda. In March 2015 the Department of Correction and the Mayor announced a 14-point plan to aggressively combat violence and promote a culture of safety. However the 14-point plan was not included in the Fiscal 2016 Preliminary Budget and the Council called upon the Administration to fully fund the 14-point in the Fiscal 2016 Executive Plan. The Administration included \$36.4 million in Fiscal 2016 for the 14-point anti-violence reform agenda on Rikers Island.

Expand Discharge Planning for Inmates. The Council called upon the Administration to further expand discharge planning by \$8.7 million to serve additional inmates beyond those with chronic health conditions or those with a substance abuse history. The Fiscal 2016 Executive Plan does not include additional funding for discharge planning for inmates.

DOC Capital Program

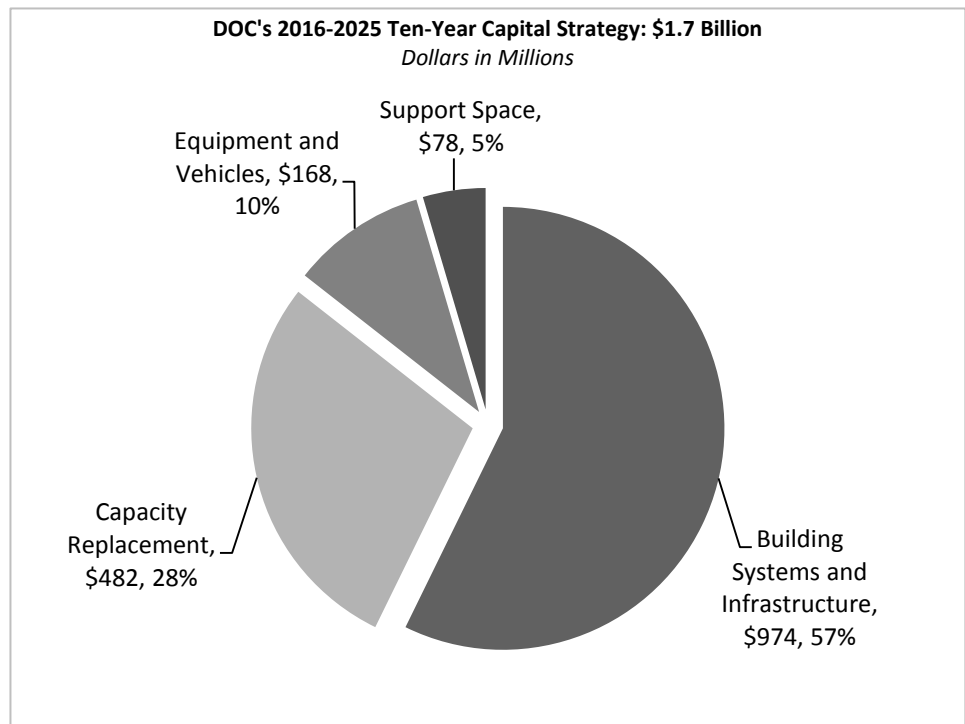
Ten-Year Capital Strategy

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 2014, the Department committed \$124.7 million, or 47 percent, of its annual capital plan of \$282.4 million. The 2016 Executive Capital Commitment Plan redistributed the planned projects across the Fiscal 2016 Executive Capital Commitment Plan, making the Capital Commitment Plan more achievable. The funding level in Fiscal 2018 is much higher as the DOC anticipates starting construction on the new Rikers Island facility.

The Ten-Year Capital Strategy totals \$83.8 billion (all funds) an increase of \$16.1 billion or 23.8 percent from the Preliminary Ten Year Capital Strategy total of \$67.7 billion. The DOC's Executive Ten-Year Capital Strategy for Fiscal 2016-2025 totals approximately \$1.7 billion, with Building Systems and Infrastructure receiving majority of the funding, totaling \$974 million, or 57 percent.

The DOC's Executive Ten-Year Capital Strategy increased by 35 percent

when compared to the Preliminary Ten-year Capital Strategy of \$1.1 billion. The Department's Ten-Year Capital Strategy funding is focused on projects in Fiscal 2018; planned projects include the continuation of fire/life safety upgrades, refurbishment and replacement of vital building infrastructure on Rikers Island, and construction of the new Rikers Island facility. The DOC's capital projects are divided into four categories as illustrated by the chart above. Each of these categories and their budgets are discussed below.



DOC Fiscal 2016-2025 Ten-Year Capital Strategy

Dollars in Thousands	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	Total
Support Space	\$43,725	\$18,959	\$9,574	\$2,000	\$3,000	\$500	\$0	\$0	\$0	\$0	\$77,758
Equipment	80,729	8,229	6,062	14,998	6,899	14,861	10,599	11,092	6,957	7,240	167,666
Capacity Replacement	83,422	-	398,354	-	-	-	-	-	-	-	481,776
Building Systems and Infrastructure	261,448	117,075	291,623	59,239	43,541	40,500	45,134	46,189	33,782	35,615	974,146
Total	\$469,324	\$144,263	\$705,613	\$76,237	\$53,440	\$55,861	\$55,733	\$57,281	\$40,739	\$42,855	\$1,701,346

Source: Office of Management and Budget (OMB) Executive Ten-Year Capital Strategy Fiscal 2016-2025

Building Systems and Infrastructure: The DOC's Executive Ten-Year Capital Strategy provides \$974.1 million for the refurbishment and replacement of vital building infrastructure, including \$240.9 million for the upgrade of the fire/life safety systems. This includes: \$123.9 million for heating, air conditioning and ventilation; \$117.4 million for windows, courtyards, facades and roof reconstruction; \$76.2 million for security camera installation, entry point modification and other items related to the anti-violence reform agenda; \$53.2 million for Hurricane Sandy recovery projects; \$40.0 million for showers and plumbing; \$17.5 million for Rikers Island perimeter security and fencing; and \$304.9 million for other reconstruction.

Capacity Replacement: The DOC's Executive Ten-Year Capital Strategy provides \$481.8 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 Ten-Year Capital Strategy includes funding for the design and construction of a new 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.

Equipment: The DOC's Executive Ten-Year Capital Strategy provides \$167.7 million for equipment replacement, including \$52.3 million for information technology; \$45.1 million for vehicles; \$27.0 million for the replacement of food service and security equipment; \$18.8 million for generators; \$17.3 million for data analytics systems and security camera recording hardware/ software related to the Anti-Violence Reform Agenda; and \$7.3 million for other equipment replacement.

Support Space: The DOC's Executive Ten-Year Capital Strategy provides \$77.8 million to improve and construct support facilities and perimeter fencing. This allocation includes \$19.9 million for exterior reconstruction at facilities on Rikers Island; \$8.5 million for idleness reduction trailers and other items related to the 14-Point Rikers Anti-Violence Agenda; \$6.9 million for a school addition; \$3.5 million for sidewalk rehabilitation at the Manhattan Detention Complex; \$3.0 million for fencing; \$2.2 million for power plant construction; and \$33.7 million for other support space.

Capital Commitment Plan

The Fiscal 2016 Executive Capital Commitment Plan includes \$1.6 billion in Fiscal 2015-2019 for the Department of Correction (including City and Non-City funds). This represents approximately 2.8 percent of the City's total \$57.4 billion Executive Commitment Plan for Fiscal 2015-2019. The DOC's Executive Commitment Plan for Fiscal 2015-2019 is \$359 million, or 22 percent greater than the \$1.2 billion scheduled in the Preliminary Commitment 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 2014, the Department committed \$124.7 million, or 47 percent, of its annual capital plan of \$282.4 million. The 2016 Executive Capital Commitment Plan increased by 22 percent since the Fiscal 2016 Preliminary Capital Commitment Plan and redistributed the planned projects across the Fiscal 2016 Executive Capital Commitment Plan. The funding level in Fiscal 2018 is much higher as the DOC anticipates starting construction on the new Rikers Island facility.

DOC 2015-2019 Capital Commitment Plan						
<i>Dollars in Thousands</i>	2015	2016	2017	2018	2019	Total
Preliminary Plan	\$401,495	\$205,251	\$477,306	\$126,412	\$35,704	\$1,246,168
Executive Plan	210,544	469,324	144,213	705,613	76,237	1,605,931
Change	(190,951)	264,073	(333,093)	579,201	40,533	359,763
Percentage Change	(91%)	56%	(231%)	82%	53%	22%

Source: OMB Fiscal 2016 Executive Capital Commitment Plan

Executive Budget Highlights

Overall the Executive Capital Commitment Plan supports: \$558 million for Capacity Replacement; \$75 million for Support Space; \$826 million for Building Systems and Infrastructure; and \$146 million for Equipment. Consistent with the changes in the DOC's Fiscal 2016 Executive Expense Plan, the DOC's Fiscal 2016 Executive Capital Commitment Plan

includes funding to support the Department's Anti-Violence Reform Agenda. A majority of the increased capital commitments are dedicated to improvements the Department's facilities. Of the \$359 million increase, \$102 million is for the Anti-Violence Reform Agenda, in the Preliminary Budget Response, the City Council called for the Administration to increase capital funding for fire/life safety upgrades on Rikers Island and to fully fund the anti-violence reform agenda. The Executive Commitment Plan for Fiscal 2016-2019 does include additional funding for the fire/life safety upgrades on Rikers Island of \$57.8 million for a total of \$64 million.

Below are major capital highlights from the DOC's Fiscal 2015-2019 Executive Capital Commitment Plan:

- **14-Point Anti-Violence Agenda.** The Fiscal 2016 Executive Capital Commitment Plan includes \$102.4 million for the Department's 14 Point Anti-Violence Reform Agenda. The Chart below shows all the new projects in the Executive Capital Commitment Plan related to the 14-Point Anti-Violence Reform Agenda, followed by a brief depiction of each.

DOC 14-Point Plan New in The Fiscal 2015-2019 Capital Commitment Plan	
<i>Dollars in Thousands</i>	
Project Description	Fiscal 2015-2019 Funding Level
Entry Point Search X-ray Machines	\$1,240
Data Analytics System	10,000
Infrastructure for Camera Installation	41,925
Modification for Facility Entries	40,000
New Canine Facility at Rikers Island	7,500
Canine Trailers	400
Idleness Reduction Trailer	600
Investigation Trailer	767
Total	\$102,432

- **Entry Point Search X-ray Machines.** The Fiscal 2016 Executive Capital Commitment Plan includes \$1.2 million in Fiscal 2016 for 20 dual view x-ray machines to reduce the flow of contraband into facilities.
- **Data Analytics System.** The Fiscal 2016 Executive Capital Commitment Plan includes \$10 million in Fiscal 2016 for various IT system needs such as data analytics, training academy, staff performance, and classification/custody management.
- **Camera Installation.** The Fiscal 2016 Executive Capital Commitment Plan includes \$41.9 million for vendor design services and installation costs of 4,800 additional cameras for a total of about 10,500 cameras system wide. The Department expects to complete the installation of cameras by 2018.
- **Modification of Facility Entries.** The Fiscal 2016 Executive Capital Commitment Plan includes \$40 million in Fiscal 2015-2017 to build uniform locker rooms on the external section of the jail facility and for the renovation of the front entrances of the jail facilities.
- **Canine facility on Rikers Island.** The Fiscal 2016 Executive Capital Commitment Plan includes \$7.5 million to build a replacement kennel facility with the capacity to house up to 80 canines and provide administration support spaces.

- **Idleness Reduction Trailer.** The Fiscal 2016 Executive Capital Commitment Plan includes \$1.8 million in Fiscal 2016 and Fiscal 2017 to accommodate space needs associated with several reform agenda initiatives, including the investigation divisions, Caine Unit, and program services.
- **Hurricane Sandy Repairs.** The Fiscal 2016 Executive Capital Commitment Plan includes a total of \$79.6 million for repair of damage associated with Hurricane Sandy, including shoreline reconstruction and raising the roadways on Rikers Island.
- **Vehicle Replacement.** The Fiscal 2016 Executive Capital Commitment Plan includes \$21.1 million for replacement of 96 vehicles, including 12 inmate transport busses and 53 light duty vehicles, increasing the Department's fleet size to 577 vehicles.
- **Rikers Island Facility.** The Fiscal 2016 Executive Capital Commitment Plan includes approximately \$76.2 million in Fiscal 2015 for construction of a new jail on Rikers Island with a 1,500 bed capacity. The total amount budgeted for the project is \$558 million. According to the Department, 864 cells will be dedicated to mental health observation, 235 beds will be dedicated to an infirmary, and 400 beds will be dedicated to general population and will be determined by DOC upon completion of the new jail. The project is still in the design phase and is being fast tracked by the Department.
- **Fire/Life Safety Upgrades.** The Fiscal 2016 Executive Capital Commitment Plan includes \$218.6 million in Fiscal 2016-2019 for phase one and two for the continue installation of fire alarms and smoke detector systems in all DOC facilities. Phase two will focus on fire and smoke suppression systems. The Capital Commitment Plan includes \$64 million for phase two of the upgrades on Rikers Island and \$85.4 million for phase two upgrades in the Department's borough facilities.

Appendix 1: DOC Fiscal 2016 Executive Budget Actions

<i>Dollars in Thousands</i>	Fiscal 2015			Fiscal 2016		
	City	Non-City	Total	City	Non-City	Total
DOC Budget as of the Fiscal 2016 Preliminary Plan	\$1,128,121	\$14,211	\$1,142,332	\$1,159,908	\$10,549	\$1,170,457
New Needs						
Academy Instructors	\$125	\$0	\$125	\$500	\$0	\$500
Consultant Fees	3,100	0	3,100	4,450	0	4,450
Create a Well-Defined Supply Distribution Process	0	0	0	463	0	463
Create an Integrated Classification and Housing Strategy	0	0	0	429	0	429
Design a Staff Performance Management Plan	0	0	0	1,225	0	1,225
Design Effective Inmate Education Opportunities and Services	0	0	0	11,663	0	11,663
Federal Funding Adjustment	605	(605)	0	0	0	0
Fitness Center and Staff Area Renovations	0	0	0	8,163	0	8,163
Implement Operational Performance Metrics and Analysis	0	0	0	517	0	517
Improve Internal and External Communications	0	0	0	928	0	928
Improve Leadership Development and Culture	0	0	0	1,302	0	1,302
Keep Weapons and Drugs out of Rikers	0	0	0	2,041	0	2,041
Lease Space	0	0	0	260	0	260
Maintenance and Infrastructure Repair	0	0	0	680	0	680
Project Management Office	0	0	0	769	0	769
Recruitment and Hiring	0	0	0	1,080	0	1,080
Redefine First Line Incident Response	0	0	0	6,938	0	6,938
Redefine Investigations Division	0	0	0	2,165	0	2,165
Scenario Training	538	0	538	1,210	0	1,210
Targeted Training	0	0	0	2,471	0	2,471
Uniform Testing	0	0	0	733	0	733
Vehicles and Maintenance	0	0	0	3,363	0	3,363
Subtotal New Needs	\$4,367	(\$605)	\$3,763	\$51,348	\$0	\$51,348
Other Adjustments						
CEO Funding Adjustment	\$0	\$0	\$0	\$24	\$0	\$24
CSBA Collective Bargaining	84	0	84	108	0	108
CWA Local 1180 Collective Bargaining	342	0	342	353	0	353
Heating Fuel	452	0	452	(736)	0	(736)
FY15 2025 40X	0	8	8	0	0	0
Heat, Light, and Power	(2,729)	0	(2,729)	(4,742)	0	(4,742)
I/C MOU with DOC	0	3	3	0	0	0
Lease Adjustment	0	0	0	220	0	220
Motor Fuel	(569)	0	(569)	(552)	0	(552)

<i>Dollars in Thousands</i>	Fiscal 2015			Fiscal 2016		
	City	Non-City	Total	City	Non-City	Total
plANYC ExCel Program	0	164	164	0	0	0
Second Chance Technology	0	(10)	(10)	0	10	10
Subtotal Other Adjustments	(\$2,420)	\$165	(\$2,256)	(\$5,327)	\$10	(\$5,316)
TOTAL All Changes	\$1,947	(\$440)	\$1,507	\$46,022	\$10	\$46,032
DOC Budget as of the Fiscal 2016 Executive Plan	\$1,130,068	\$13,771	\$1,143,839	\$1,205,930	\$10,559	\$1,216,489

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Appendix 2: DOC Budget Actions since Fiscal 2015 Adoption

<i>Dollars in Thousands</i>	Fiscal 2015			Fiscal 2016		
	City	Non-City	Total	City	Non-City	Total
DOC Budget as of the Fiscal 2015 Adoption Plan	\$1,085,281	\$10,262	\$1,095,543	\$1,080,543	\$10,262	\$1,090,805
New Needs						
Adolescent Management	\$9,019	\$0	\$9,019	\$9,019	\$0	\$9,019
Crisis Intervention Team Training	2,604	0	2,604	2,562	0	2,562
Discharge Planning Expansion	4,358	0	4,358	8,715	0	8,715
Ebola Preparedness and Response	0	605	605	0	0	0
Environmental Compliance Unit	1,177	0	1,177	403	0	403
Punitive Segregation Data Reporting	921	0	921	494	0	494
Applicant Investigation Unit	783	0	783	2,397	0	2,397
Camera Expansion Staff/Maint	1,035	0	1,035	2,347	0	2,347
Equipment Replacement	124	0	124	5,080	0	5,080
Expanded Canine Services	267	0	267	602	0	602
Legal Staff	179	0	179	717	0	717
Maintenance Funds	1,100	0	1,100	2,421	0	2,421
Press Officers	45	0	45	180	0	180
Programming Staff	417	0	417	1,669	0	1,669
Recruitment Unit	305	0	305	1,213	0	1,213
Replacement of Ceramic Fixtures	0	0	0	1,802	0	1,802
Training	590	0	590	6,572	0	6,572
Young Adult Housing	12,648	0	12,648	25,291	0	25,291
Academy Instructors	125	0	125	500	0	500
Consultant Fees	3,100	0	3,100	4,450	0	4,450
Create a Well-Defined Supply Distribution Process	0	0	0	463	0	463
Create an Integrated Classification and Housing Strategy	0	0	0	429	0	429
Design a Staff Performance Management Plan	0	0	0	1,225	0	1,225
Design Effective Inmate Education Opportunities and Services	0	0	0	11,663	0	11,663
Federal Funding Adjustment	605	(605)	0	0	0	0
Fitness Center and Staff Area Renovations	0	0	0	8,163	0	8,163
Implement Operational Performance Metrics and Analysis	0	0	0	517	0	517
Improve Internal and External Communications	0	0	0	928	0	928
Improve Leadership Development and Culture	0	0	0	1,302	0	1,302

<i>Dollars in Thousands</i>	Fiscal 2015			Fiscal 2016		
	City	Non-City	Total	City	Non-City	Total
Keep Weapons and Drugs out of Rikers	\$0	\$0	\$0	\$2,041	\$0	\$2,041
Lease Space	0	0	0	260	0	260
Maintenance and Infrastructure Repair	0	0	0	680	0	680
Project Management Office	0	0	0	769	0	769
Recruitment and Hiring	0	0	0	1,080	0	1,080
Redefine First Line Incident Response	0	0	0	6,938	0	6,938
Redefine Investigations Division	0	0	0	2,165	0	2,165
Scenario Training	538	0	538	1,210	0	1,210
Targeted Training	0	0	0	2,471	0	2,471
Uniform Testing	0	0	0	733	0	733
Vehicles and Maintenance	0	0	0	3,363	0	3,363
Subtotal New Needs	\$39,939	\$0	\$39,939	\$122,832	\$0	\$122,832
Other Adjustments						
DC 37 Collective Bargaining Increases	\$1,256	\$0	\$1,256	\$1,964	\$0	\$1,964
Local 1199 Collective Bargaining Increases	24	0	24	30	0	30
Local 237 Collective Bargaining Increases	499	0	499	455	0	455
Local 300 Collective Bargaining Increases	66	0	66	64	0	64
Nurses Association Collective Bargaining Increases	18	0	18	26	0	26
Demand Response Program	0	184	184	0	0	0
Fund Medical Evaluation (DOC)	0	24	24	0	0	0
LGRMIF SARA GRANT	0	66	66	0	0	0
PS Adjustment	556	0	556	0	738	738
OTPS Adjustment	2,082	0	2,082	0	630	630
plANYC Energy Manager	0	81	81	0	0	0
plANYC ExCEL Program DOC	0	302	302	0	0	0
plANYC Smart Energy	0	150	150	0	0	0
PRISON RAPE ELIMINATION ACT	0	346	346	0	101	101
Ebola Preparedness & Response	0	0	0	0	0	0
Sandy FY15 Put Up	0	661	661	0	0	0
Second Chance Technology	0	750	750	0	0	0
ADWA Collective Bargaining Increases	456	0	456	654	0	654
CCA Collective Bargaining Increases	2,312	0	2,312	3,319	0	3,319
Crisis Intervention TM Training	0	0	0	0	0	0
Fund Medical Evaluation (DOC)	0	14	14	0	0	0
IC W/ DOC Correction Officer	0	867	867	0	0	0
Prea Tech Enhancement	0	86	86	0	0	0
Second Chance Act	0	(187)	(187)	0	187	187

<i>Dollars in Thousands</i>	Fiscal 2015			Fiscal 2016		
	City	Non-City	Total	City	Non-City	Total
CEO Funding Adjustment	\$0	\$0	\$0	\$24	\$0	\$24
CSBA Collective Bargaining	84	0	84	108	0	108
CWA Local 1180 Collective Bargaining	342	0	342	353	0	353
Heating Fuel	452	0	452	(736)	0	(736)
FY15 2025 40X	0	8	8	0	0	0
Heat, Light, and Power	(2,729)	0	(2,729)	(4,742)	0	(4,742)
I/C MOU with DOC	0	3	3	0	0	0
Lease Adjustment	0	0	0	220	0	220
Motor Fuel	(569)	0	(569)	(552)	0	(552)
plANYC ExCel Program	0	164	164	0	0	0
Second Chance Technology	0	(10)	(10)	0	10	10
Subtotal Other Adjustments	\$4,848	\$3,510	\$8,357	\$1,186	\$1,666	\$2,852
TOTAL All Changes	\$44,787	\$3,510	\$48,297	\$124,018	\$1,666	\$125,684
DOC Budget as of the Fiscal 2016 Executive Plan	\$1,130,068	\$13,772	\$1,143,839	\$1,204,561	\$11,928	\$1,216,489

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