

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



Report on the Fiscal 2017 Preliminary Budget and the Fiscal 2016 Preliminary Mayor's Management Report Department of Correction

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Steve Riester, Legislative Financial Analyst
Eisha Wright, Unit Head

Finance Division

Latonia McKinney, Director
Regina Poreda Ryan, Deputy Director
Nathan Toth, Deputy Director
Paul Scimone, Deputy Director
Emre Edev, Assistant Director

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Department of Correction Overview

The Department of Correction (DOC or Department) provides for the care, custody and control of inmates, persons 16 years of age and older, accused of crimes or convicted and sentenced to one year or less of incarceration. The Department operates 14 correctional facilities, including 10 jails on Rikers Island, four borough houses of detention (Brooklyn, the Bronx, Queens and Manhattan), court pens in each of the five boroughs, and two hospital prison wards; processes nearly 68,000 admissions and releases annually; and manages an average daily inmate population of approximately 10,200 individuals.

This report provides a review of the DOC's Preliminary Budget for Fiscal 2017 and the Fiscal 2016 Preliminary Mayor's Management Report (PMMR). The first section presents significant highlights of the \$1.3 billion Fiscal 2017 Preliminary Budget, miscellaneous revenue, and other areas of focus such as uniform overtime and headcount. The report follows with a presentation of the Department's budget by program area and reviews relevant sections of the PMMR for Fiscal 2016. This report then reviews the Fiscal 2016-2019 Preliminary Capital Commitment Plan and finally, the appendices present budget actions in the November and Preliminary Financial Plans, the DOC's Contract Budget, and a reconciliation of program areas to units of appropriation.

Fiscal 2017 Preliminary Budget Highlights

| DOC Expense Budget | | | | | | |
|------------------------------|--------------------|--------------------|--------------------|--------------------|--------------------|-----------------|
| | 2014 | 2015 | 2016 | Preliminary Plan | | *Difference |
| <i>Dollars in Thousands</i> | Actual | Actual | Adopted | 2016 | 2017 | 2016 – 2017 |
| Personal Services | \$971,624 | \$1,023,614 | \$1,043,967 | \$1,109,398 | \$1,137,789 | \$93,821 |
| Other Than Personal Services | 131,473 | 138,507 | 178,565 | 206,039 | 169,901 | (8,663) |
| TOTAL | \$1,103,097 | \$1,162,121 | \$1,222,532 | \$1,315,436 | \$1,307,690 | \$85,158 |

**The difference of Fiscal 2016 Adopted Budget compared to Fiscal 2017 Preliminary Budget.*

The City's Preliminary Fiscal 2017 Budget is \$82.1 billion, \$3.6 billion more than the Fiscal 2016 Adopted Budget of \$78.5 billion. City funds (City tax and non-tax revenues) total \$59.9 billion, up \$2.9 billion from \$57 billion in the Adopted Budget. The Fiscal 2017 Preliminary Budget reflects significant investments in public schools, public safety, and homelessness.

For the DOC, the Fiscal 2017 Preliminary Budget totals \$1.31 billion (including City and non-City funds). This represents 1.6 percent of the City's total budget. The DOC's Fiscal 2017 Preliminary Budget increases by \$85.2 million or seven percent since adoption of the Fiscal 2016 Adopted Budget. When compared to the Department's current budget of \$1.32 billion, the Fiscal 2017 Preliminary Budget is \$7.7 million or less than one percent less. The Department's Personal Service (PS) budget saw a significant increase of \$93.8 million when compared to the Fiscal 2016 Adopted Budget and is offset by a \$8.7 million decrease in Other Than Personal Services (OTPS). Of the Department's \$1.3 billion Fiscal 2017 Preliminary Budget, 87 percent is comprised of PS funding.

The Preliminary Fiscal 2017 Budget included \$107.5 in new needs and \$1.4 million in other adjustments. The Preliminary Budget also added 822 positions to DOC's budgeted

headcount. The following are major budget actions included in the Fiscal 2017 Preliminary Financial Plan.

- **Five Hours of Programming per Day for Adults.** The Fiscal 2017 Preliminary Plan includes a new need of \$6.1 million in Fiscal 2016 and baseline funding of \$22 million beginning in Fiscal 2017 for 152 positions (81 civilian and 71 uniform) to expand the level of programming offered for the adult inmate population to five hours per day. (see page 22)
- **Nunez Settlement.** In June 2015, the City reached a settlement of *Nunez v. the City of New York*, as part of the settlement the City agreed to develop and implement numerous new practices, systems, policies, and procedures designed to reduce violence in the jails and to ensure the safety and well-being of inmates. The Fiscal 2017 Preliminary Plan includes approximately \$39 million in Fiscal 2016 and increases to \$58.3 million in Fiscal 2017 for 429 positions (298 uniform and 131 civilian). (see page 14)
- **Expedited Camera Installation.** The Fiscal 2017 Preliminary Plan includes \$3.8 million in Fiscal 2016 and Fiscal 2017 for uniform overtime costs related to inmate escorts and relocations that are necessary in order to access housing areas for the installation of cameras. (see page 14)

| DOC Financial Summary | | | | | | |
|---------------------------------------|--------------------|--------------------|--------------------|-------------------------|--------------------|--------------------|
| <i>Dollars in Thousands</i> | | | | | | |
| | 2014 | 2015 | 2016 | Preliminary Plan | | *Difference |
| | Actual | Actual | Adopted | 2016 | 2017 | 2016 – 2017 |
| Spending | | | | | | |
| Personal Services | \$971,624 | \$1,023,614 | \$1,043,967 | \$1,109,398 | \$1,137,789 | \$93,821 |
| Other Than Personal Services | 131,473 | 138,507 | 178,565 | 206,039 | 169,901 | (8,663) |
| TOTAL | \$1,103,097 | \$1,162,121 | \$1,222,532 | \$1,315,436 | \$1,307,690 | \$85,158 |
| Budget by Program Area | | | | | | |
| Administration-Academy and Training | \$27,138 | \$23,729 | \$19,511 | \$21,344 | \$17,790 | (\$1,721) |
| Administration-Mgmt & Administration | 47,440 | 51,002 | 55,075 | 71,529 | 69,500 | 14,425 |
| Health and Programs | 11,830 | 14,763 | 19,459 | 36,216 | 35,402 | 15,944 |
| Jail Operations | 920,039 | 963,198 | 1,052,099 | 1,101,064 | 1,107,220 | 55,121 |
| Operations-Hospital Prison Ward | 16,190 | 18,936 | 13,533 | 13,533 | 13,535 | 1 |
| Operations-Infrastr.& Environ. Health | 45,265 | 49,101 | 36,876 | 43,821 | 37,502 | 626 |
| Operations-Rikers Security & Ops | 35,196 | 41,390 | 25,979 | 27,930 | 26,741 | 762 |
| TOTAL | \$1,103,097 | \$1,162,121 | \$1,222,532 | \$1,315,436 | \$1,307,690 | \$85,158 |
| Funding | | | | | | |
| City Funds | \$1,088,985 | \$1,148,369 | \$1,211,972 | \$1,302,506 | \$1,297,478 | \$85,506 |
| Other Categorical | 3,338 | 2,548 | 0 | 191 | 0 | 0 |
| Capital- IFA | 845 | 678 | 724 | 724 | 724 | 0 |
| State | 1,153 | 918 | 1,109 | 1,416 | 1,109 | 0 |
| Federal - Other | 8,329 | 7,777 | 8,584 | 9,748 | 8,286 | (298) |
| Intra City | 447 | 1,831 | 143 | 850 | 93 | (50) |
| TOTAL | \$1,103,097 | \$1,162,121 | \$1,222,532 | \$1,315,436 | \$1,307,690 | \$85,158 |
| Budgeted Headcount | | | | | | |
| Full-Time Positions - Civilian | 1,353 | 1,418 | 1,889 | 2,145 | 2,144 | 255 |
| Full-Time Positions - Uniform | 8,922 | 8,756 | 9,653 | 10,195 | 10,220 | 567 |
| TOTAL | 10,275 | 10,174 | 11,542 | 12,340 | 12,364 | 822 |

**The difference of Fiscal 2016 Adopted Budget compared to Fiscal 2017 Preliminary Budget.*

The Department's Fiscal 2017 Preliminary Plan of \$1.3 billion is \$85.2 million more than its Fiscal 2016 Adopted Budget of \$1.2 billion. Since the adoption of the Fiscal 2016 budget, the Financial Plans have introduced several changes to DOC's Fiscal 2016 and 2017 Budgets. For Fiscal 2016 these include \$89.4 million in new needs and \$3.5 million in other adjustments. For Fiscal 2017, these include new needs of \$107.5 million and other adjustments of \$1.4 million. The above actions reconcile DOC to its current budget of \$1.32 billion for Fiscal 2016 and \$1.31 billion for Fiscal 2017. (see Appendix A, on page 32) The increase in the Fiscal 2017 Preliminary Plan is reflective of the continued reforms implemented by Commissioner Joseph Ponte, as part of the 14-Point Plan Reform Agenda

and the City's settlement of *Nunez v. The City of New York*. The majority of the additional funding in the Fiscal 2017 Preliminary Plan is City funds and the DOC is almost entirely City-funded.

The Fiscal 2017 Preliminary Budget for the program area Jail Operations shows a growth of \$55.1 million compared to the Fiscal 2016 Adopted Budget. The growth in funding is related to the increase in headcount and training for correction officers. The other program area that showed the most growth is the Health and Program area of \$15.9 million when compared to the Fiscal 2016 Adopted Budget as a result of increased programming for adults to five hours per day.

Budgeted uniform headcount for Fiscal 2017 increased by 567 positions or six percent to 10,220 and civilian headcount increased by 255 positions to 2,144, for a total headcount increase of 822 or seven percent since the Fiscal 2016 Adopted Budget. A majority of the new headcount is also related to the City's settlement of the *Nunez v. The City of New York* case and the 14-Point Plan Reform Agenda.

Miscellaneous Revenue

The Department of Correction collects revenue from jail commissary operations, vending machines and surcharges on inmate telephone calls. Commissary funds are generated by the sale of commissary goods. Of note, of the approximately \$8 million in “Other” miscellaneous revenues projected for Fiscal 2016 and Fiscal 2017, 75 percent is expected to be collected from inmate telephone fees.

The chart below provides actual revenue for Fiscal 2014 and 2015 and projected revenue for Fiscal 2016 and 2017. The Department of Correction plans to collect approximately \$21.7 million in miscellaneous revenue in Fiscal 2016 and Fiscal 2017. The Department collected \$20.8 million in Fiscal 2015, a decrease of 4.6 percent from Fiscal 2014. 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 page 2.

| DOC Miscellaneous Revenue Budget Overview | | | | | | |
|--|-----------------|-----------------|-----------------|------------------|-----------------|-------------|
| <i>Dollars in Thousands</i> | | | | | | |
| Revenue Sources | 2014 | 2015 | 2016 | Preliminary Plan | | *Difference |
| | Actual | Actual | Adopted | 2016 | 2017 | 2016 - 2017 |
| Vending Machine | \$306 | \$322 | \$660 | \$660 | \$660 | \$0 |
| Commissary Funds | 12,048 | 11,892 | 13,000 | 13,000 | 13,000 | 0 |
| Other | 9,390 | 8,537 | 8,036 | 8,036 | 8,036 | 0 |
| TOTAL | \$21,744 | \$20,751 | \$21,696 | \$21,696 | \$21,696 | \$0 |

**The difference of Fiscal 2016 Adopted Budget compared to Fiscal 2017 Preliminary Budget.*

Source: Fiscal 2017 Preliminary Budget Revenue Financial Plan Detail

2016-2017 State Executive Budget Highlights

New York State currently sets its age of criminal responsibility at 16. As a result, adolescents between 16 and 18 years of age are prosecuted in the adult court system, regardless of the crime, where they are subject to adult sentences and may receive a criminal record. In 2014, the Governor established the Commission on Youth, Public Safety, and Justice to make recommendations on how best to raise the age of juvenile jurisdiction to age 18, improve outcomes for youth, and promote community safety.

The New York State Fiscal 2017 Executive Budget includes juvenile justice reforms by advancing legislation to raise the age of juvenile jurisdiction to age 17 on January 1, 2018 and to age 18 on January 1, 2019. Further reform measures include comprehensive diversion, probation, and programming services for 16 and 17 year old youth who will be involved in the juvenile justice system. This legislative proposal has no immediate impact on the Department’s budget, however if the State were to raise the age of criminal responsibility there would be budgetary implications for the Department.

Reforming the Department of Correction

Department of Justice Settlement

In January of 2012, the Department of Justice (DOJ) commenced an investigation into the treatment of adolescent male inmates, between the ages of 16 and 18 years old in the custody of DOC. Based on this investigation, the DOJ released a report in August 2014 with recommendations with certain changes for DOC to adopt. Since the report, DOC has addressed some areas of reform by implementing improved training programs on use of force policies and handling of the adolescent population. The Department's 14-Point Plan also addresses some of the issues from the DOJ report.

Additionally, in June 2015 the City reached a settlement of *Nunez v. the City of New York*, a lawsuit first filed by inmates and later joined by the U.S Attorney, Southern District of New York. As part of the settlement, the City agreed to develop and implement numerous new practices, systems, policies, and procedures designed to reduce violence in the jails and to ensure the safety and well-being of inmates. Funding for these comprehensive reforms have been included in the Fiscal 2017 Preliminary Plan for a total of \$247.6 million over the course of the next five years to support 429 positions and other related costs.

14-Point Anti-Violence Reform Agenda

In March of 2015, Commissioner Ponte and Mayor de Blasio announced a 14-Point Plan Reform Agenda to combat violence and promote a culture of safety on Rikers Island. At the core of the 14-Point Plan are four main initiatives to reduce violence and ten additional initiatives that will help move the Department of Correction toward a culture of safety. While this reform agenda was first introduced in the Fiscal 2016 Executive Budget, the chart below only focuses on Fiscal 2017 funding and headcount levels.

In of the Fiscal 2017 Preliminary Budget, the total funding for Fiscal 2017 for the 14-Point Plan Reform Agenda is approximately \$122.3 million (\$77.5 million for PS and \$44.8 million for OTPS) and 556 positions (370 uniform and 186 civilian). This includes an additional \$83.3 million to enhance the 14-Point Plan Reform Agenda, including targeted training, compressive security camera coverage, reducing inmate idleness, and keeping weapons and drugs off Rikers Island. The Fiscal 2017 budget for the 14-Point Plan was approximately \$36 million at the time of the adoption of the Fiscal 2016 Budget; it now stands at \$122.3 million. The chart on the following page lists the elements of the reform agenda and their associated Fiscal 2017 budget and headcount. It should be noted that while the Model Facility at GRVC is related to the 14-Point Plan; It is not directly related to any particular point of the 14-Point Plan, rather the Model facility encompasses all the 14-Point Plan initiatives. It should be noted that the chart below shows funding for the 14-Point Plan across multiple financial plans.

| DOC's 14-Point Plan Reform Agenda | | | |
|---|----------------------|------------------|-----------------|
| <i>Dollars in Thousands</i> | Fiscal 2017 | | |
| | | Headcount | |
| Fiscal 2017 Budget | Funding Level | Uniform | Civilian |
| Keep Weapons and Drugs out of Rikers | \$4,866 | 46 | 0 |
| Create an Integrated Classification and Housing Strategy | 392 | 0 | 4 |
| Design Effective Inmate Education Opportunities and Services* | 83,891 | 94 | 108 |
| Provide Comprehensive Security Camera Coverage* | 3,793 | 0 | 0 |
| Redefine First line Incident Response | 5,951 | 69 | 0 |
| Redefine Investigations Division | 1,546 | 12 | 5 |
| Improve Leadership Development and Culture | 3,245 | 0 | 8 |
| Recruitment and Hiring | 811 | 0 | 10 |
| Design a Staff Performance Management Plan | 1,169 | 0 | 12 |
| Create a Well-Defined Supply Distribution Process | 259 | 0 | 0 |
| Targeted Training* | 1,793 | 0 | 7 |
| Implement Operational Performance Metrics and Analysis | 472 | 0 | 5 |
| Improve Internal and External Communications | 744 | 2 | 6 |
| Project Management Office | 727 | 0 | 9 |
| Model Facility at GRVC | 12,618 | 147 | 12 |
| Sub Total | \$122,278 | 370 | 186 |

*Items that were enhanced in the Fiscal 2017 Preliminary Budget

Term and Conditions

The City Charter authorizes the Council to attach Terms and Conditions to any unit of appropriation in either the Expense Budget or the Capital Budget that impose certain requirements as a condition of spending. The Fiscal 2016 Budget included three Terms and Conditions requiring DOC to submit quarterly reports on: 1) jail safety, 2) requests for certified birth certificates, and 3) civilianizable positions. Below is the Term and Condition related to jail safety, the other two reports can be found on the Council's website:

http://council.nyc.gov/html/budget/fy16_documents.shtml

Jail Safety

The Department uses jail violence indicators reported at a rate per 1,000 of the average daily population (ADP). While it is a reasonable performance management methodology, it does not accurately reflect the actual number of incidents of jail violence in City jails. The chart below indicates the actual jail violence incidents for the first and second quarters of Fiscal 2016, disaggregated by adolescents, young adults, and adults. Please also note that the PMMR for Fiscal 2016 includes reports of the jail violence numbers per 1,000 of the ADP, see page 17. Since one of the main goals of the Commissioner's 14-point Plan Reform Agenda is to reduce violence, this quarterly report to the Council will continue to be an important indicator on the success of the reform agenda.

| Department of Correction: Jail Safety Quarterly Report | | | | | | | | | |
|--|---|------------------------|-------------------|-----------------|-----------------|------------------------|-------------------|-----------------|-----------------|
| Fiscal 2016 First and Second Quarter | | | | | | | | | |
| | | 1st Quarter JUL-SEP | | | | 2nd Quarter OCT-DEC | | | |
| | Jail Violence Indicators | ADL (16- 17) | YA (18- 21) | Adults (22+) | 1st Q Totals | ADL (16- 17) | YA (18- 21) | Adults (22+) | 2nd Q Totals |
| 1 | Violent inmate-on-inmate incidents | 180 | 126 | 1082 | 1,388 | 152 | 111 | 1,074 | 1,337 |
| 2 | Serious injury to inmate(s) as a result of violent inmate-on-inmate incidents | 3 | 15 | 65 | 83 | 3 | 11 | 47 | 61 |
| 3 | Inmate assault on staff | 25 | 79 | 158 | 262 | 21 | 61 | 119 | 201 |
| 4 | Serious injury to staff as a result of inmate assault on staff | 1 | 2 | 6 | 9 | 0 | 1 | 4 | 5 |
| 5 | Use of force incidents with serious injury | 3 | 7 | 13 | 23 | 0 | 3 | 16 | 19 |
| 6 | Use of force incidents with minor injury | 55 | 213 | 273 | 541 | 54 | 122 | 290 | 466 |
| 7 | Use of force incidents with no injury | 98 | 250 | 381 | 729 | 95 | 247 | 413 | 755 |
| | Total Incidents | 365 | 692 | 1,978 | 3,035 | 325 | 556 | 1,963 | 2,844 |

Source: DOC

Uniform and Civilian Staff

The Fiscal 2017 Preliminary Budget supports a workforce of 12,364 positions. This includes 10,220 uniform positions and 2,144 civilian positions, with uniform positions being the driving force of the agency at 83 percent of the budgeted headcount.

Department of Correction Uniform Workforce

| Budgeted Number of Uniform Staff by Rank | FY16 Adopted - Authorized | FY16 Adopted - Actual | FY16 Budgeted as of FY17 Prelim Plan | Actual as of January 2016 |
|--|---------------------------|-----------------------|--------------------------------------|---------------------------|
| Correction Officer | 8,555 | 7,803 | 9,046 | 8,524 |
| Captain | 915 | 805 | 961 | 776 |
| Assistant Deputy Warden | 118 | 87 | 123 | 87 |
| Deputy Warden | 38 | 35 | 38 | 39 |
| Deputy Warden in Command | 6 | 9 | 6 | 11 |
| Warden | 21 | 17 | 21 | 18 |
| Total | 9,653 | 8,756 | 10,195 | 9,455 |

Source: Department of Correction

Note: FY16 as of FY17 Prelim Plan-Actual is as of January 2016

The Department's correction officer headcount as of January 2016 is 522 positions below its budgeted headcount of 9,046 for Fiscal 2016 as of the Fiscal 2017 Preliminary Plan. As of January 2016, the Department is 740 uniform positions below its Fiscal 2016 budgeted headcount of 10,195 as of the Fiscal 2017 Preliminary Plan.

Class Size and Attrition

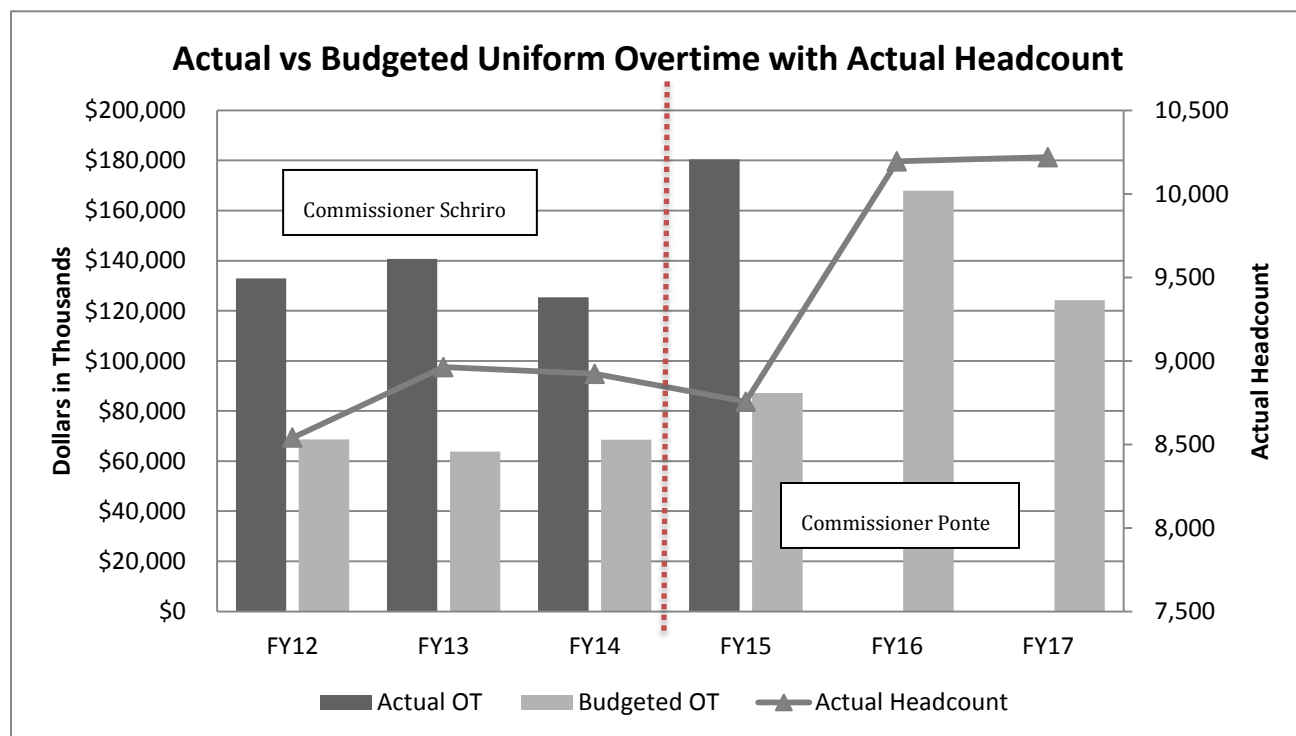
Historically the Department hires four classes of correction officers per year with class sizes of approximately 300 recruits or less. However, given the Department's massive on-going reform effort and substantial increase in uniform headcount in the last two fiscal years, the Department has increased its class size to a goal of approximately 600 recruits, twice per fiscal year. In August of 2015 the Department graduated a class size of 592 recruits, its largest class size ever. Its current class size as of January 2016 is 646 recruits, exceeding its previous graduating class by 54 recruits. While increasing the Department's class size will aid in the Department's effort to reach its budgeted headcount, the Department will likely outgrow its current training academy and require a modern facility to meet its training needs.

As of January 2016, DOC anticipates a vacancy of 1,391 positions (740 uniform and 651 civilian). The Department's attrition rate for uniform officers is 11.99 percent and 10.22 percent for civilian positions. The Department's attrition rate has increased by 2.97 percent for uniform positions since the Fiscal 2016 Adopted Budget, raising concerns with how the Department will reach its budgeted headcount targets for Fiscal 2016 and Fiscal 2017.

Uniform and Civilian Overtime

The following charts will provide details on DOC's uniform and civilian overtime budget. According to the Department, the new initiatives introduced in the Preliminary Budget are expected to be implemented using overtime spending, until the Department is able to hire to its budgeted headcount of 12,364 in Fiscal 2017. The DOC expects to reach its budgeted headcount near the end of 2017.

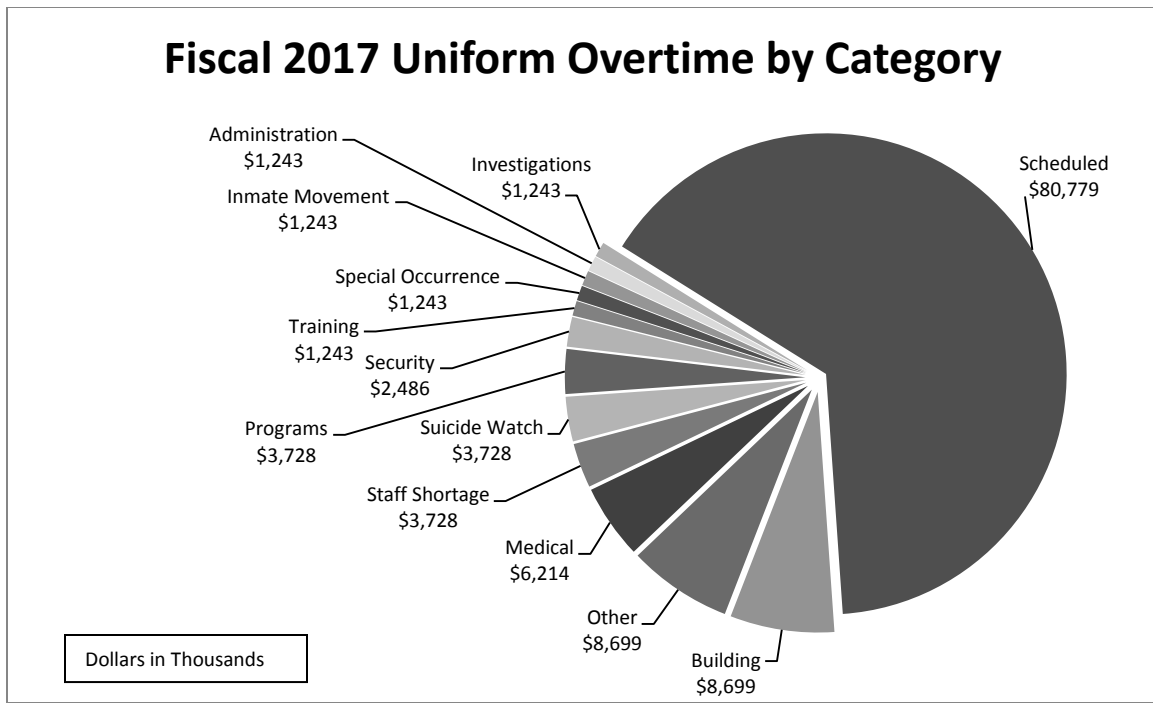
For uniform staff, the first chart shows DOC's uniform actual overtime spending in relation to uniform budgeted and actual overtime from Fiscal 2012 to Fiscal 2015. The chart also displays the budgeted overtime and budgeted headcount for Fiscal 2016 and Fiscal 2017, as of the Fiscal 2017 Preliminary Plan.



Source: Office of Management and Budget

FY16 and FY17 are budgeted numbers as presented in the January 2017 Plan

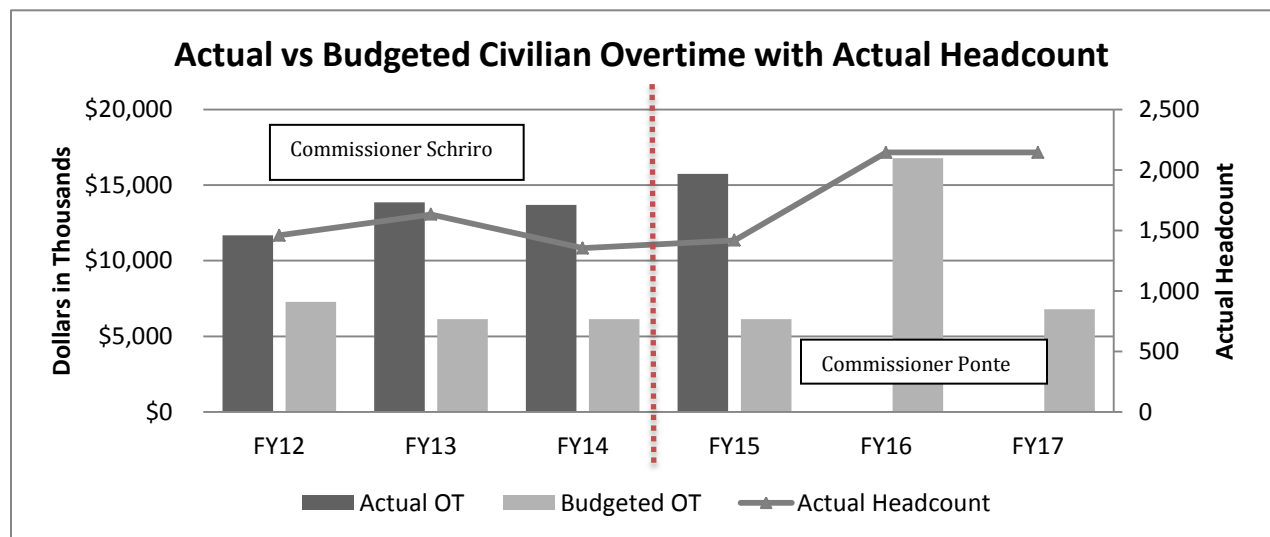
In the last three years, the Department has exceeded its uniform overtime budget by an average of \$66 million, primarily because headcount is too low to cover all the posts in the DOC facilities. The growth in the Department's Fiscal 2016 and Fiscal 2017 uniform overtime budget reflects the attempt made by the Department and the Office of Management and Budget (OMB) to better match actual staff patterns and "rightsizing" the Department's overtime budget. As of January 2016, the Department is 740 uniform positions below its uniform budgeted headcount and is in the process of implementing substantial reform policies. Furthermore, it is likely the Department's overtime budget will continue to increase in Fiscal 2016 and Fiscal 2017. It should be noted, while Commissioner Ponte arrived in April of 2014, the 14-Point Plan was not introduced until the Fiscal 2016 Executive Plan.



Source: Department of Correction
For Fiscal 2017 as of the Fiscal 2017 Preliminary Plan

Civilian Overtime Budget

The chart below shows the Department's actual and budgeted civilian overtime spending with actual civilian headcount.



Source: Office of Management and Budget
FY16 and FY17 are budgeted numbers as of the Fiscal 2017 Preliminary Plan

The Department has exceeded its overtime budget for civilians by an average of \$7.3 million since Fiscal 2012. Historically, the Department has had challenges with civilian recruitment and retention. In Fiscal 2014 and Fiscal 2015, actual overtime spending

increased to over \$13 million. As of January 2016, the Department had 651 vacancies for civilian positions. The chart on the previous page indicates that until the Department is able to hire up to its budgeted civilian headcount, the Department will continue to rely on overtime. While the Department's budgeted uniform headcount has increased so has the budgeted headcount for civilian staff. This is the result of the 14-Point Plan and other operational needs. While the civilian overtime budget seems much less significant when compared to the Department's uniform overtime budget, it is increasing at a similar pace to the budgeted uniform headcount and is exceeding its budgeted overtime. It should be noted that the Department is making considerable efforts to recruit uniform positions. However, the Department should intensify its recruitment plan for civilian staff as well.

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. Approximately 92 percent of the Department's uniform staff is budgeted in this program area. 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 respective program areas later in the year to reflect actual spending.

| Jail Operations | | | | | | |
|-------------------------------------|------------------|------------------|--------------------|-------------------------|--------------------|--------------------|
| <i>Dollars in Thousands</i> | | | | | | |
| | 2014 | 2015 | 2016 | Preliminary Plan | | *Difference |
| | Actual | Actual | Adopted | 2016 | 2017 | 2016 - 2017 |
| Spending | | | | | | |
| Personal Services | | | | | | |
| Full-Time Salaried - Uniformed | \$568,495 | \$556,958 | \$653,551 | \$621,815 | \$675,731 | \$22,180 |
| Full-Time Salaried - Civilian | 38,911 | 39,793 | 64,833 | 56,650 | 70,691 | 5,858 |
| Other Salaried and Unsalaries | 2,478 | 2,917 | 3,152 | 3,160 | 3,199 | 48 |
| Additional Gross Pay | 83,829 | 82,608 | 102,581 | 102,581 | 102,581 | 0 |
| Overtime - Uniformed | 112,638 | 163,461 | 79,871 | 167,956 | 123,988 | 44,117 |
| Overtime - Civilian | 6,288 | 7,585 | 6,149 | 16,149 | 6,149 | 0 |
| Fringe Benefits | 22,250 | 21,421 | 24,095 | 24,095 | 24,088 | (8) |
| Amounts to be Scheduled | 0 | 0 | 71 | 71 | 104 | 33 |
| Subtotal | \$834,890 | \$874,743 | \$934,304 | \$992,477 | \$1,006,532 | \$72,228 |
| Other Than Personal Services | | | | | | |
| Supplies and Materials | \$40,467 | \$41,313 | \$73,346 | \$54,017 | \$56,606 | (\$16,740) |
| Fixed and Misc Charges | 7 | 72 | 2,323 | 174 | 2,323 | 0 |
| Property and Equipment | 885 | 3,767 | 1,068 | 7,919 | 1,947 | 879 |
| Other Services and Charges | 37,643 | 33,881 | 29,978 | 36,596 | 29,885 | (93) |
| Social Services | 3,540 | 3,947 | 2,827 | 3,028 | 2,827 | 0 |
| Contractual Services | 2,509 | 5,476 | 8,252 | 6,853 | 7,099 | (1,153) |
| Subtotal | \$85,051 | \$88,455 | \$117,795 | \$108,587 | \$100,688 | (\$17,107) |
| TOTAL | \$919,941 | \$963,198 | \$1,052,099 | \$1,101,064 | \$1,107,220 | \$55,121 |
| Funding | | | | | | |
| City Funds | | | \$1,042,507 | \$1,090,160 | \$1,097,826 | \$55,319 |
| Federal - Other | | | 8,483 | 9,119 | 8,286 | (197) |
| Intra City | | | 0 | 676 | 0 | 0 |
| State | | | 1,109 | 1,109 | 1,109 | 0 |
| TOTAL | \$919,941 | \$963,198 | \$1,052,099 | \$1,101,064 | \$1,107,220 | \$55,121 |
| Budgeted Headcount | | | | | | |
| Full-Time Positions - Civilian | 700 | 699 | 1,155 | 1,187 | 1,187 | 32 |
| Full-Time Positions - Uniform | 8,099 | 7,656 | 8,954 | 9,406 | 9,431 | 477 |
| TOTAL | 8,799 | 8,355 | 10,109 | 10,593 | 10,618 | 509 |

*The difference of Fiscal 2016 Adopted Budget compared to Fiscal 2017 Preliminary Budget.

The Fiscal 2017 Preliminary Budget for Jail Operations shows growth of \$55.1 million or five percent, from the Fiscal 2016 Adopted Budget, while, the Fiscal 2016 Budget shows growth of \$49 million. Additional overtime will be used to implement staffing changes and operate programs that stem from *The Nunez vs. the City of New York* settlement and the continued implementation of the 14-Point Plan. The Department will increase its uniform staff by 477 positions, or five percent, in part to ensure the Department is complying with the *Nunez* settlement.

Financial Plan Actions

- **The Nunez Settlement.** The Fiscal 2017 Preliminary Plan includes a total of \$247.6 million over the course of the next five years to support 429 positions and other related costs. The Fiscal 2017 Preliminary Budget includes \$39 million in Fiscal 2016 and \$58.3 million in Fiscal 2017 for 429 positions (298 uniform and 131 civilian) as a result in the City's settlement with the DOJ. Additional OTPS funding will provide IT equipment, vehicles, and other operational needs to support a considerable expansion in the Department's staff. The additional staff will support various operational needs, including but not limited, to the applicant investigation unit, the training academy, investigation unit, trials and litigation, legal and information technology divisions, expanded young adult staffing, and OTPS related costs. According to the Department, the distribution of uniform positions is still under review. It should be noted that the *Nunez* settlement budget actions can be seen in multiple program areas across DOC's budget.
- **George R. Vierno Center (GRVC) Model Facility.** The Fiscal 2017 Preliminary Plan includes \$6.3 million in Fiscal 2016, which increases to \$12.6 million in Fiscal 2017 and in the outyears for 159 positions (147 uniform and 12 civilian) to staff the Department's model facility at the GRVC. This model facility concept encompasses all of the principles associated with 14-Point Plan Reform Agenda. The Department will be reviewing the effectiveness of the model facility before implementing the model to other facilities.
- **Expedited Camera Installation.** The Fiscal 2017 Preliminary Budget includes \$3.8 million in Fiscal 2016 and Fiscal 2017 for uniform overtime costs related to inmate relocations and escorts to expedite the camera installation in various housing areas. Inmates will need to be relocated in order to access housing areas for the installation of cameras to occur.
- **Staffing Expansion for the Donald Cranston Judicial Center (DCJC).** The Fiscal 2017 Preliminary Plan includes \$1 million in Fiscal 2016 and \$1.2 million in Fiscal 2017 and the in outyears for 15 uniform positions (one captain and 14 correction officers) for the DCJC. According to the DOC, given the significant damage sustained to the existing DCJC trailer during Super Storm Sandy, the Department relocated DCJC to the Rose M. Singer Center (RMSC) to better accommodate the center. The DCJC is primarily used for writs or petitions brought by inmates associated with rights violations or the conditions on Rikers Island. The New York State Division of Parole also processes parole violations at DCJC using the conferencing equipment.

- Uniform Overtime.** The November Plan included one-time funding of \$15 million in Fiscal 2016 to increase DOC's uniform overtime budget. The November Plan reflected the DOC's overtime budget adjustment to better match actual staffing patterns. Unlike the past practice of increasing overtime in the Department's preliminary budget by a substantial amount, OMB recognized and is "rightsizing" the Department's overtime budget in the November Plan to account for overspending due uniform vacancies. In the Preliminary Plan, the DOC's uniform overtime budget has increased by \$43 million or 35 percent as a result of the enhanced or new initiatives included in the Fiscal 2017 Preliminary Plan.

Performance Measures

| DOC Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|---------|---------|---------|--------|--------|----------------|--------|
| | FY13 | FY14 | FY15 | FY16 | FY17 | FY15 | FY16 |
| On-trial inmates delivered to court on-time (%) | 94.90% | 94.20% | 90.90% | 95.00% | 95.00% | 92.00% | 87.60% |
| Number of Video Booth Visits | 24,310 | 26,812 | 27,366 | * | * | 9,480 | 8,958 |
| Inmates delivered to court | 254,650 | 242,610 | 216,900 | * | * | 76,470 | 69,928 |

Source: Fiscal 2016 Preliminary Mayor's Management Report

- The number of on-trial inmates delivered to court on time decreased to 87.6 percent during the four-month reporting period in Fiscal 2016, even though the number of inmates delivered to court decreased during the reporting period in Fiscal 2016 by eight percent to 69,928. According to the PMMR, the decline is attributed partially to an increase in the number of inmates falling within specialized subpopulations including mental health designations, enhanced restraints and separations, which results in the need for more extensive search procedures prior to transit in an effort to curtail violence.

Operations – Rikers Security and Operations

This program area provides for operational security throughout all of the Department's facilities. It includes 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.

| Operations-Rikers Security and Operations | | | | | | |
|--|-----------------|-----------------|-----------------|-------------------------|-----------------|--------------------|
| <i>Dollars in Thousands</i> | | | | | | |
| | 2014 | 2015 | 2016 | Preliminary Plan | | *Difference |
| | Actual | Actual | Adopted | 2016 | 2017 | 2016 - 2017 |
| Spending | | | | | | |
| Personal Services | | | | | | |
| Full-Time Salaried - Uniformed | \$18,806 | \$21,641 | \$19,830 | \$19,830 | \$20,117 | \$287 |
| Full-Time Salaried - Civilian | 1,847 | 2,188 | 2,892 | 2,959 | 3,080 | 188 |
| Other Salaried and Unsalaries | 3,153 | 3,513 | 0 | 0 | 0 | 0 |
| Overtime - Uniformed | 6,572 | 9,700 | 0 | 0 | 287 | 287 |
| Overtime - Civilian | 287 | 384 | 0 | 0 | 0 | 0 |
| Fringe Benefits | 96 | 126 | 0 | 0 | 0 | 0 |
| Subtotal | \$30,761 | \$37,551 | \$22,722 | \$22,789 | \$23,484 | \$762 |
| Other Than Personal Services | | | | | | |
| Supplies and Materials | \$3,077 | \$2,689 | \$1,851 | \$3,788 | \$1,851 | \$0 |
| Property and Equipment | 596 | 363 | 595 | 445 | 595 | 0 |
| Contractual Services | 761 | 787 | 811 | 909 | 811 | 0 |
| Subtotal | \$4,434 | \$3,839 | \$3,257 | \$5,142 | \$3,257 | \$0 |
| TOTAL | \$35,196 | \$41,390 | \$25,979 | \$27,930 | \$26,741 | \$762 |
| Funding | | | | | | |
| City Funds | | | \$25,979 | \$27,680 | \$26,741 | \$762 |
| State | | | 0 | 250 | 0 | \$0 |
| TOTAL | \$35,196 | \$41,390 | \$25,979 | \$27,930 | \$26,741 | \$762 |
| Budgeted Headcount | | | | | | |
| Full-Time Positions - Civilian | 35 | 54 | 48 | 50 | 50 | 2 |
| Full-Time Positions - Uniform | 259 | 255 | 254 | 261 | 261 | 7 |
| TOTAL | 294 | 309 | 302 | 311 | 311 | 9 |

**The difference of Fiscal 2016 Adopted Budget compared to Fiscal 2017 Preliminary Budget.*

The Fiscal 2017 Preliminary Budget for Operations – Rikers Security and Operations shows growth of approximately \$762,000 in PS spending from the Fiscal 2016 Adopted Budget. The increase in headcount is directly related to the arrest unit discussed below.

Financial Plan Actions

- **Arrest Unit.** The Fiscal 2017 Preliminary Plan includes \$787,877 in Fiscal 2016 and decreases to \$764,882 in Fiscal 2017 and in the outyears for nine positions (seven uniform and two civilian) for the Department's Rikers Island Central Arrest Unit. The arrest unit is responsible for executing arrests for various criminal incidents within the Department's facilities. The arrest unit will work in collaboration with

the Bronx's District Attorney to swiftly investigate and prosecute cases that occur on Rikers Island. The OTPS funds in Fiscal 2016 will go towards the procurement of vehicles for the arrest unit to ensure proper coverage Department-wide.

Performance Measures

| DOC Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|---------|---------|---------|--------|------|----------------|--------|
| | FY13 | FY14 | FY15 | FY16 | FY17 | FY15 | FY16 |
| Jail-based arrests of inmates | 798 | 995 | 795 | * | * | 385 | 468 |
| Searches | 247,868 | 251,343 | 255,776 | * | * | 85,863 | 85,060 |
| Weapons recovered | 2,162 | 2,348 | 2,240 | * | * | 696 | 1,055 |
| Fight/assault infractions | 7,622 | 8,827 | 9,424 | * | * | 2,846 | 3,562 |
| Stabbings and Slashing's | 68 | 88 | 108 | * | * | 32 | 53 |
| Inmates in security risk group (% ADP) | 9.90% | 8.20% | 11.80% | * | * | 11.90% | 12.40% |

Source: Fiscal 2016 Preliminary Mayor's Management Report

- The Department disciplines inmates who assault staff and pursues their arrest and prosecution by the Bronx District Attorney. Arrests of inmates for jail-based criminal misconduct increased 22 percent during the Fiscal 2016 reporting period with 468 arrests, up from 385 in Fiscal 2016.
- The Department conducted 85,060 searches during the first four months of Fiscal 2016, a decrease of 803 when compared to same reporting period in Fiscal 2015. A total of 1,055 weapons were recovered during the first four months of Fiscal 2016 compared to 696 in the prior reporting period, a 52 percent increase.

Performance Measures

| DOC Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|-------|-------|--------|------|----------------|-------|
| | FY13 | FY14 | FY15 | FY16 | FY17 | FY15 | FY16 |
| Violent inmate-on-inmate incidents (monthly rate per 1,000 ADP) | 27.2 | 32.9 | 37.8 | * | * | 34.5 | 48.2 |
| Serious injury to inmate(s) as a result of violent inmate-on-inmate incidents (monthly rate per 1,000 ADP) | 1.4 | 1.8 | 2.5 | * | * | 2.3 | 2.8 |
| Incidents and allegations of use of force | 3,413 | 4,221 | 4,822 | * | * | 1,599 | 1,872 |
| Assaults on Staff | 665 | 806 | 1057 | * | * | 377 | 341 |
| Inmate assault on staff (monthly rate per 1,000 ADP) | 4.7 | 5.9 | 8.6 | ↓ | ↓ | 8.7 | 8.8 |
| Serious injury to staff as a result of inmate assault on staff (monthly rate per 1,000 ADP) | 1.4 | 1.8 | 2.5 | ↓ | ↓ | 2.3 | 2.8 |
| Department use of force incidents with serious injury (rate per 1,000 ADP) | 0.92 | 1.18 | 1.14 | ↓ | ↓ | 1.06 | 0.77 |
| Department use of force incidents with minor injury (rate per 1,000 ADP) | 10.95 | 13.23 | 15.59 | * | * | 14.93 | 18.29 |
| Department use of force incidents with no injury (rate per 1,000 ADP) | 9.11 | 13.19 | 19.14 | * | * | 17.61 | 25.25 |
| Serious Injury to Inmate | 134 | 157 | 162 | * | * | 67 | 55 |

Source: Fiscal 2016 Preliminary Mayor's Management Report

- The rate of use of force resulting in serious injury increased 38 percent during the first four months of Fiscal 2016 from .77 incidents per 1,000 ADP in Fiscal 2015 to 1.06 incidents per 1,000 ADP. As mentioned earlier in this report, the Department submits a quarterly report on actual jail violence numbers to the City Council, as part of the City Council's Terms and Conditions.
- The rate of use of force resulting in no injury increased 43 percent, from 17.61 per 1,000 of the ADP in Fiscal 2015 to 25.25 per 1,000 of the ADP in Fiscal 2016. Where force is warranted, the Department aims to use the least restrictive means possible to achieve compliance.
- The rate of serious injuries to staff as a result of inmate assaults increased 21 percent, from 2.3 per 1,000 ADP in Fiscal 2015 to 2.8 per 1,000 ADP in Fiscal 2016. However, inmate assaults on staff increased to 8.8 per 1,000 of the ADP in Fiscal 2016. Assaults on staff encompass all physical contacts of any kind with a uniform employee.

Operations – Infrastructure and Environmental Health

Funds budgeted in this program area support the work of maintaining the infrastructure on Rikers Island. This includes building system improvements, facilities reconstruction, repair, and daily maintenance.

| Operations-Infrastructure and Environmental Health | | | | | | |
|--|-----------------|-----------------|-----------------|------------------|-----------------|--------------|
| <i>Dollars in Thousands</i> | | | | | | |
| | 2014 | 2015 | 2016 | Preliminary Plan | | *Difference |
| | Actual | Actual | Adopted | 2016 | 2017 | 2016 - 2017 |
| Spending | | | | | | |
| Personal Services | | | | | | |
| Full-Time Salaried - Uniformed | \$2,811 | \$3,570 | \$2,845 | \$2,845 | \$2,845 | \$0 |
| Full-Time Salaried - Civilian | 16,808 | 16,929 | 18,632 | 18,806 | 19,174 | 542 |
| Other Salaried and Unsalaries | 0 | 6 | 0 | 0 | 0 | 0 |
| Additional Gross Pay | 1,100 | 1,198 | 0 | 0 | 0 | 0 |
| Overtime - Uniformed | 527 | 980 | 0 | 0 | 0 | 0 |
| Overtime - Civilian | 6,124 | 6,205 | 645 | 645 | 645 | 0 |
| Fringe Benefits | 38 | 41 | 0 | 0 | 0 | 0 |
| PS Other | (294) | (313) | 0 | 0 | 0 | 0 |
| Subtotal | \$27,115 | \$28,617 | \$22,122 | \$22,296 | \$22,665 | \$542 |
| Other Than Personal Services | | | | | | |
| Supplies and Materials | \$6,758 | \$6,990 | \$8,005 | \$8,134 | \$6,153 | (\$1,852) |
| Fixed and Misc Charges | 2,456 | 1,880 | 0 | 0 | 0 | 0 |
| Property and Equipment | 240 | 146 | 316 | 305 | 118 | (198) |
| Contractual Services | 8,696 | 11,458 | 6,433 | 13,086 | 8,566 | 2,133 |
| Subtotal | \$18,150 | \$20,474 | \$14,754 | \$21,525 | \$14,838 | \$84 |
| TOTAL | \$45,265 | \$49,091 | \$36,876 | \$43,821 | \$37,502 | \$626 |
| Funding | | | | | | |
| City Funds | | | \$36,876 | \$43,629 | \$37,502 | \$626 |
| Other Categorical | | | 0 | 191 | 0 | 0 |
| TOTAL | \$45,265 | \$49,091 | \$36,876 | \$43,821 | \$37,502 | \$626 |
| Budgeted Headcount | | | | | | |
| Full-Time Positions - Civilian | 214 | 206 | 230 | 233 | 233 | 3 |
| Full-Time Positions - Uniform | 34 | 69 | 35 | 35 | 35 | 0 |
| TOTAL | 248 | 275 | 265 | 268 | 268 | 3 |

*The difference of Fiscal 2016 Adopted Budget compared to Fiscal 2017 Preliminary Budget.

The Fiscal 2017 Preliminary Budget for the Operations Infrastructure and Environmental Health program area shows a growth of approximately \$626,000 from the Fiscal 2016 Adopted Budget to Fiscal 2017. For Fiscal 2017, the majority of the increase for contractual services is related to maintenance and general support contracts and is offset by a decrease in supplies and materials.

Financial Plan Actions

- **Support and Maintenance Contracts.** The Fiscal 2017 Preliminary Plan includes \$1.8 million in Fiscal 2016 which increases to \$3.7 million in Fiscal 2017 for maintenance and support contracts.
- **Storm water Compliance.** The Fiscal 2017 Preliminary Plan includes \$82,500 in Fiscal 2016 which increases to \$330,000 in Fiscal 2017 for three civilian positions to ensure storm water compliance on Rikers Island.

Jail Capacity

DOC runs the second largest municipal jail in the United States with an operating capacity of 17,389 beds. However, the total beds at standard capacity are 12,286 as of the facility census on March 4, 2016. The facility census on March 4, 2015 showed that the count was 9,993, which is 81.3 percent of the beds at standard capacity. The Department operates 14 facilities: ten 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.

| Rikers Island Facilities | Housing | Beds at Standard | Facility Census | Percent of Population |
|---------------------------------------|--|------------------|-----------------|-----------------------|
| Anna M. Kross Center | Detained Male Adults | 2,532 | 2,270 | 22.7% |
| Eric M. Taylor Center | Sentenced Male Adults & Adolescents | 1,497 | 1,240 | 12.4% |
| George Motchan Detention Center | Detained Male Adults | 972 | 784 | 7.8% |
| George R. Vierno Center | Detained Male Adults | 815 | 650 | 6.5% |
| North Infirmary Command INF | Inmates Requiring Infirmary Care | 154 | 107 | 1.1% |
| Robert N. Davoren Complex | Detained & Sentenced Male Adults & Adolescents | 1,046 | 730 | 7.3% |
| Otis Bantum Correctional Center | Detained Male Adults | 1,481 | 1,274 | 12.7% |
| Rose M. Singer Center | Detained & Sentenced Female Adults & Adolescents | 1,169 | 623 | 6.2% |
| West Facility/Contagious Disease Unit | Inmates with contagious diseases | 98 | 32 | 0.3% |
| Rikers Island Sub-total | | 9,764 | 7,710 | 77.2% |
| | | | | |
| Borough Facilities | | | | |
| Brooklyn House of Detention | Detained Male Adults | 703 | 597 | 6.00% |
| Manhattan Detention Center | Detained Male Adults | 898 | 772 | 7.70% |
| Vernon C. Bain Center | Detained Male Adults | 870 | 839 | 8.40% |
| Borough Sub-total | | 2,471 | 2,208 | 22.10% |
| | | | | |
| Hospital Prison Wing | | | | |
| Bellevue Hospital Prison Ward | Male & Females Requiring Psych or Med. Treatment | 37 | 66 | 0.70% |
| Elmhurst Hospital Prison Ward | Male & Females Requiring Psych or Med. Treatment | 14 | 9 | 0.10% |
| Hospital Sub-total | | 51 | 75 | 0.80% |
| | Facility Total | 12,286 | 9,993 | |

Source: DOC 5:00AM Census Reports, compiled by BOC

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.

| Health and Programs | | | | | | |
|-------------------------------------|-----------------|-----------------|-----------------|-------------------------|-----------------|--------------------|
| <i>Dollars in Thousands</i> | | | | | | |
| | 2014 | 2015 | 2016 | Preliminary Plan | | *Difference |
| | Actual | Actual | Adopted | 2016 | 2017 | 2016 - 2017 |
| Spending | | | | | | |
| Personal Services | | | | | | |
| Full-Time Salaried - Uniformed | \$1,613 | \$2,207 | \$2,014 | \$2,014 | \$2,014 | \$0 |
| Full-Time Salaried - Civilian | 3,347 | 3,367 | 4,684 | 6,231 | 9,407 | 4,723 |
| Additional Gross Pay | 369 | 505 | 0 | 0 | 0 | 0 |
| Overtime - Uniformed | 243 | 547 | 0 | 0 | 0 | 0 |
| Overtime - Civilian | 348 | 349 | 0 | 0 | 0 | 0 |
| Fringe Benefits | 21 | 20 | 0 | 0 | 0 | 0 |
| Subtotal | \$5,942 | \$6,996 | \$6,698 | \$8,246 | \$11,421 | \$4,723 |
| Other Than Personal Services | | | | | | |
| Supplies and Materials | \$1,736 | \$1,998 | \$1,576 | \$4,259 | \$1,526 | (\$50) |
| Property and Equipment | 654 | 755 | 573 | 977 | 573 | 0 |
| Other Services and Charges | 0 | 0 | 0 | 2,851 | 11,372 | 11,372 |
| Social Services | 119 | 103 | 120 | 420 | 120 | 0 |
| Contractual Services | 3,379 | 4,909 | 10,491 | 19,464 | 10,390 | (101) |
| Subtotal | \$5,888 | \$7,765 | \$12,761 | \$27,970 | \$23,981 | \$11,221 |
| TOTAL | \$11,830 | \$14,761 | \$19,459 | \$36,216 | \$35,402 | \$15,944 |
| Funding | | | | | | |
| City Funds | | | \$19,215 | \$35,495 | \$35,309 | \$16,094 |
| Federal - Other | | | 101 | 629 | 0 | (101) |
| Intra City | | | 143 | 92 | 93 | (50) |
| TOTAL | \$11,830 | \$14,761 | \$19,459 | \$36,216 | \$35,402 | \$15,944 |
| Budgeted Headcount | | | | | | |
| Full-Time Positions - Civilian | 58 | 55 | 81 | 162 | 162 | 81 |
| Full-Time Positions - Uniform | 20 | 44 | 25 | 25 | 25 | 0 |
| TOTAL | 78 | 99 | 106 | 187 | 187 | 81 |

**The difference of Fiscal 2016 Adopted Budget compared to Fiscal 2017 Preliminary Budget.*

The Fiscal 2017 Preliminary Budget for Health and Programs shows growth of \$15.9 million from the Fiscal 2016 Adoption Budget to Fiscal 2017. The increase in funding is related to the expansion of adult programming to five hours per day. DOC also recognized a federal grant in the current Fiscal 2016 budget associated with the Department's effort to become Prison Rape Elimination Act (PREA) compliant. The sizeable increase from Fiscal 2015 to the Fiscal 2016 Adopted Budget is related to financial actions in the prior November Plan to expand discharge planning at DOC.

Financial Plan Actions

- Five Hours of Programming per Day for Adults.** The Fiscal 2017 Preliminary Plan includes \$6.1 million in Fiscal 2016 and baseline funding of approximately \$22 million beginning in Fiscal 2017 for 152 positions (81 civilian and 71 uniform) to expand the level of programming offered for the adult inmate population beyond Individualized Correction Achievement (I-CAN). I-CAN is a jail-based community re-entry program designed to reduce recidivism through targeted discharge planning that supports inmates in obtaining high school equivalency diplomas, finding employment and treating substance abuse issues. DOC plans to add programming for re-entry services, substance abuse, behavioral health, incarcerated veterans, and gender responsive programming. Introduced in February 2013, the additional uniform positions will increase the DOC's capacity to transfer and escort inmates to programs, while the increase in civilian positions will provide counselor-led programming. The Fiscal 2017 Preliminary Budget includes one-time funding in Fiscal 2016 of \$3 million as a "stopgap" measure, allowing the Department to begin to expand programming for adults to five hours per day in current fiscal year. It should be noted that the expanded adult programming budget actions can be seen in multiple program areas across DOC's budget.
- Prison Rape Elimination Act (PREA).** The Fiscal 2017 Preliminary Plan recognizes the receipt of \$493,280 in federal funding for PREA in Fiscal 2016. 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 across the country. This grant supports the Department's effort to become PREA compliant.

Performance Measures

| DOC Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|----------------------------|--------|-------|-------|--------|------|----------------|-------|
| | FY13 | FY14 | FY15 | FY16 | FY17 | FY15 | FY16 |
| I-CAN Referrals | 1,420 | 4,117 | 3,588 | * | * | 1,298 | 1,363 |
| I-CAN Enrollments | 634 | 2,408 | 2,321 | * | * | 821 | 1,019 |
| I-CAN Workshops | 333 | 1,580 | 2,065 | * | * | 678 | 1,522 |

Source: Fiscal 2016 Preliminary Mayor's Management Report

- Individualized Correction Achievement (I-CAN).** The I-CAN discharge planning program is available to adult pre-trial and sentenced inmates who are in DOC custody for 20 days or more. Community-based organizations work with inmates throughout their incarcerations and up to six months afterwards. I-CAN is a jail-based community re-entry program designed to reduce recidivism through targeted discharge planning that supports inmates in obtaining high school equivalency, finding employment and treating substance abuse issues. According to the PMMR, the program, which originally served those at the highest risk for readmission, expanded in early 2015 to serve those at medium risk as well. I-CAN's referrals grew by five percent, its enrollments by 24 percent and its workshops by 124 percent during the reporting period, compared to the same time period last year. According

to the PMMR, in Fiscal 2016 there were 1,363 I-CAN referrals, 1,019 enrollments, and 1,522 workshops.

Performance Measures

| DOC Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|--------|--------|--------|-------|----------------|--------|
| | FY13 | FY14 | FY15 | FY16 | FY17 | FY15 | FY16 |
| Average daily number of inmates in vocational skills training programs | 204 | 216 | 256 | * | * | 276 | 239 |
| Average daily attendance in school programs | 693 | 526 | 330 | * | * | 250 | 255 |
| Inmates participating in skills-building activities/discharge planning (%) | 10.9% | 10.3% | 10.5% | 10.0% | 10.0% | NA | NA |
| Inmates with a mental health diagnosis (% ADP) | 37.0% | 38.0% | 41.0% | * | * | 40.0% | 42.0% |
| Inmates with a serious mental health diagnosis (% ADP) | 9.5% | 10.2% | 11.1% | * | * | 11.0% | 10.9% |
| Inmate health clinic visits | 75,664 | 77,825 | 81,873 | * | * | 27,942 | 28,084 |
| Average clinic waiting time (minutes) | 35 | 41 | 34 | * | * | 34 | 33 |

Source: Fiscal 2016 Preliminary Mayor's Management Report

DOC, in collaboration with the Department of Education (DOE) and community-based organizations, work with all adolescents to ensure that they receive an appropriate education and job skills training in addition to improving their decision-making and problem solving skills. Adolescents have access to sports and arts programming.

- The average daily number of inmates in vocational skills training programs during the first four months of Fiscal 2016 decreased by 13 percent to 239 inmates.
- During the first four months of Fiscal 2016, 42 percent of DOC's ADP had a mental health diagnosis, up from 40 percent in Fiscal 2015. This is also noticeably higher than the rate a few years ago of 34 percent in Fiscal 2012.

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. The majority of the funding in this program area supports uniform personnel costs.

| Operations-Hospital Prison Ward | | | | | | |
|--|-----------------|-----------------|-----------------|-------------------------|-----------------|--------------------|
| <i>Dollars in Thousands</i> | | | | | | |
| | 2014 | 2015 | 2016 | Preliminary Plan | | *Difference |
| | Actual | Actual | Adopted | 2016 | 2017 | 2016 - 2017 |
| Spending | | | | | | |
| Personal Services | | | | | | |
| Full-Time Salaried - Uniformed | \$12,324 | \$14,161 | \$13,479 | \$13,479 | \$13,479 | \$0 |
| Full-Time Salaried - Civilian | 51 | 52 | 54 | 54 | 56 | 1 |
| Additional Gross Pay | 2,006 | 2,244 | 0 | 0 | 0 | 0 |
| Overtime - Uniformed | 1,643 | 2,276 | 0 | 0 | 0 | 0 |
| Fringe Benefits | 166 | 204 | 0 | 0 | 0 | 0 |
| Subtotal | \$16,190 | \$18,936 | \$13,533 | \$13,533 | \$13,535 | \$1 |
| Funding | | | | | | |
| City Funds | | | \$13,533 | \$13,533 | \$13,535 | \$1 |
| TOTAL | \$16,190 | \$18,936 | \$13,533 | \$13,533 | \$13,535 | \$1 |
| Budgeted Headcount | | | | | | |
| Full-Time Positions - Civilian | 1 | 1 | 1 | 1 | 1 | 0 |
| Full-Time Positions - Uniform | 178 | 179 | 178 | 178 | 178 | 0 |
| TOTAL | 179 | 180 | 179 | 179 | 179 | 0 |

**The difference of Fiscal 2016 Adopted Budget compared to Fiscal 2017 Preliminary Budget.*

The Fiscal 2017 Preliminary Budget for Operations – Hospitals Prison Ward remains virtually unchanged since the Fiscal 2016 Adopted Budget. 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 respective program areas later in the year to reflect actual spending.

Administration – Academy and Training

This program area includes funding for central administrative services.

| Administration-Academy and Training | | | | | | |
|--|-----------------|-----------------|-----------------|-------------------------|-----------------|--------------------|
| <i>Dollars in Thousands</i> | | | | | | |
| | 2014 | 2015 | 2016 | Preliminary Plan | | *Difference |
| | Actual | Actual | Adopted | 2016 | 2017 | 2016 - 2017 |
| Spending | | | | | | |
| Personal Services | | | | | | |
| Full-Time Salaried - Uniformed | \$20,454 | \$17,905 | \$13,018 | \$13,018 | \$14,208 | \$1,190 |
| Full-Time Salaried - Civilian | 963 | 756 | 1,086 | 1,141 | 1,207 | 121 |
| Additional Gross Pay | 1,909 | 1,573 | 0 | 0 | 0 | 0 |
| Overtime - Uniformed | 2,987 | 2,615 | 0 | 0 | 0 | 0 |
| Overtime - Civilian | 5 | 27 | 0 | 0 | 0 | 0 |
| Fringe Benefits | 140 | 114 | 0 | 0 | 0 | 0 |
| Subtotal | \$26,458 | \$22,990 | \$14,104 | \$14,159 | \$15,415 | \$1,311 |
| Other Than Personal Services | | | | | | |
| Supplies and Materials | \$56 | \$102 | \$40 | \$516 | \$40 | \$0 |
| Property and Equipment | 5 | 1 | 24 | 1,684 | 580 | 556 |
| Other Services & Charges | 0 | 0 | 630 | 630 | 630 | 0 |
| Contractual Services | 619 | 635 | 4,713 | 4,354 | 1,125 | (3,588) |
| Subtotal | \$680 | \$739 | \$5,407 | \$7,185 | \$2,375 | (\$3,032) |
| TOTAL | \$27,138 | \$23,729 | \$19,511 | \$21,344 | \$17,790 | (\$1,721) |
| Funding | | | | | | |
| City Funds | | | \$19,511 | \$21,344 | \$17,790 | (\$1,721) |
| TOTAL | \$27,138 | \$23,729 | \$19,511 | \$21,344 | \$17,790 | (\$1,721) |
| Budgeted Headcount | | | | | | |
| Full-Time Positions - Civilian | 13 | 11 | 16 | 18 | 18 | 2 |
| Full-Time Positions - Uniform | 281 | 493 | 159 | 185 | 185 | 26 |
| TOTAL | 294 | 504 | 175 | 203 | 203 | 28 |

**The difference of Fiscal 2016 Adopted Budget compared to Fiscal 2017 Preliminary Budget.*

The Fiscal 2017 Preliminary Budget for Administration – Academy and Training decreased by \$1.7 million compared to the Fiscal 2016 Adopted Budget. The overall decrease is due to a decrease in contractual services. However, the uniform and civilian headcount increased by 16 percent when compared to the Fiscal 2016 Adopted Budget. The 28 positions added in the Preliminary Plan are for additional training academy staff associated to meet the training requirements of the *Nunez* settlement. The corresponding budget action for the *Nunez* settlement is included in the Jail Operations program area. In August of 2015 the Department graduated a class of 592 recruits, its largest class size ever. Its current class size as of January 2016 is 646 recruits, exceeding its previous graduating class by 54 recruits. According to the PMMR, since the implementation of the Department's 14-Point Plan, there has been a focus on staff training in de-escalation and better response protocols that focus on immediate engagement and avoiding prolonged physical altercation.

Financial Plan Actions

- **Tablets for Targeted Training.** The Fiscal 2017 Preliminary Plan includes \$854,054 in Fiscal 2016 and \$555,960 in Fiscal 2017 and in the outyears for the procurement of 800 tablets. It is anticipated that the tablets will eliminate the need for binders for studying and will enable recruits to be able to study and take practice tests in any location. The goal is to provide sufficient tablets for all incoming recruits and the majority of the academy instructors.
- **Staff Performance Management System.** The November Plan included one-time funding of \$1 million in Fiscal 2016 to implement a new performance staff management system as part of the *Nunez* settlement, which will streamline the process of staff evaluations. The new staff performance management system will create a centralized database for all employee evaluations and will be used to ensure the Department makes efficient promotion decisions in the future.

Administration – Management and Administration

This program area includes funding for central administrative services.

| Administration-Mgmt and Administration | | | | | | |
|--|-----------------|-----------------|-----------------|------------------|-----------------|-----------------|
| <i>Dollars in Thousands</i> | | | | | | |
| | 2014 | 2015 | 2016 | Preliminary Plan | | *Difference |
| | Actual | Actual | Adopted | 2016 | 2017 | 2016 - 2017 |
| Spending | | | | | | |
| Personal Services | | | | | | |
| Full-Time Salaried - Uniformed | \$3,890 | \$4,470 | \$4,070 | \$4,070 | \$6,637 | \$2,567 |
| Full-Time Salaried - Civilian | 23,554 | 25,611 | 26,405 | 31,819 | 38,087 | 11,682 |
| Other Salaried and Unsalariad | 1 | 51 | 0 | 0 | 0 | 0 |
| Additional Gross Pay | 1,290 | 1,464 | 0 | 0 | 0 | 0 |
| Overtime - Uniformed | 759 | 920 | 0 | 0 | 0 | 0 |
| Overtime - Civilian | 629 | 1,213 | 0 | 0 | 0 | 0 |
| Amounts to be Scheduled | 0 | 0 | 9 | 10 | 14 | 5 |
| Fringe Benefits | 49 | 49 | 0 | 0 | 0 | 0 |
| Subtotal | \$30,171 | \$33,778 | \$30,483 | \$35,898 | \$44,737 | \$14,254 |
| Other Than Personal Services | | | | | | |
| Contractual Services | \$5,672 | \$4,439 | \$10,830 | \$17,754 | \$10,779 | (\$51) |
| Fixed and Misc. Charges | 18 | 30 | 42 | 42 | 42 | 0 |
| Other Services and Charges | 9,796 | 10,292 | 11,197 | 11,734 | 11,197 | 0 |
| Property & Equipment | 412 | 1,339 | 2,020 | 4,708 | 2,134 | 115 |
| Supplies & Materials | 1,372 | 1,124 | 503 | 1,392 | 609 | 107 |
| Subtotal | \$17,269 | \$17,224 | \$24,592 | \$35,631 | \$24,762 | \$171 |
| TOTAL | \$47,440 | \$51,002 | \$55,075 | \$71,529 | \$69,500 | \$14,425 |
| Funding | | | | | | |
| Capital- IFA | | | \$724 | \$724 | \$724 | \$0 |
| City Funds | | | 54,351 | 70,665 | 68,775 | 14,425 |
| Intra City | | | 0 | 82 | 0 | 0 |
| State | | | 0 | 57 | 0 | 0 |
| TOTAL | \$47,440 | \$51,002 | \$55,075 | \$71,529 | \$69,500 | \$14,425 |
| Budgeted Headcount | | | | | | |
| Full-Time Positions - Civilian | 332 | 392 | 358 | 494 | 493 | 135 |
| Full-Time Positions - Uniform | 51 | 60 | 48 | 105 | 105 | 57 |
| TOTAL | 383 | 452 | 406 | 599 | 598 | 192 |

*The difference of Fiscal 2016 Adopted Budget compared to Fiscal 2017 Preliminary Budget.

The Fiscal 2017 Preliminary Budget for Administration – Management and Administration reflects an increase of \$14.4 million as compared to the Fiscal 2016 Adopted Budget. The increase in the Fiscal 2017 Preliminary Budget is related to a 47 percent increase or \$14.2 million in PS spending. The increase of \$14.2 million adds 192 positions since the Fiscal 2016 Adopted Budget. The majority of the headcount increase in Administration – Management and Administration is associated with the *Nunez* settlement and the expansion of adult programming to five hours per day. The corresponding budget action

for the *Nunez* settlement is included in the Jail Operations program area and the budget action for the expanded programming is in the Health and Programs area.

Financial Plan Actions

- **Expanded Reporting Requirements for NYC Council Legislation.** The Fiscal 2017 Preliminary Plan includes \$1.2 million in Fiscal 2016 and \$763,278 in Fiscal 2017 for eight positions (four uniform and four civilian) to assist the Department with the expanded reporting requirements set forth by the eight reporting bills passed by the City Council in September 2015. Specifically, Local Laws 84, 88, 90, and 91 of 2015.
- **Prison Rape Elimination Act (PREA) Compliance.** PREA supports the elimination, reduction, and prevention of sexual abuse and sexual harassment within corrections systems. The Fiscal 2017 Preliminary Budget includes \$255,000 in Fiscal 2016 and to \$1 million in Fiscal 2017 and in the outyears for 12 positions, including a Deputy Commissioner of Quality Assurance and Integrity to aid in the Department's efforts in achieving compliance with federal PREA standards. Until recently, the Department only had one PREA coordinator for the entire Department. This headcount increase now raises the headcount to 13 positions so the Department can move forward with its efforts in achieving PREA compliance. The Department also recognized a federal grant to assist with the Department's effort.
- **Engineering Auditors.** The Fiscal 2017 Preliminary Plan includes \$40,000 in Fiscal 2016 which increases to \$160,000 in Fiscal 2017 for two positions to assist the Environmental Health Compliance Unit.
- **McKinsey Group Contract Enhancement.** The November Plan included \$6.7 million in one-time funding in Fiscal 2016 to enhance the Department's current contract with the McKinsey Group, bringing the total contract value to \$11.2 million in Fiscal 2016. The McKinsey Group is assisting the Department with the development and implementation of the 14-Point Plan Reform Agenda. According to the Department, the McKinsey Group's contract ends in two years, with the expectation that the Department will be able to take over the services provided by the McKinsey Group at the time.
- **Upgrade Case Management System.** The November Plan includes \$1.6 million in one-time funding in Fiscal 2016 for the Department's case management system as mandated under the *Nunez* settlement. As part of the *Nunez* settlement, a federal monitor will oversee numerous changes to the Department's use of force policies, among other policies, in an attempt to reduce the mistreatment of inmates. The upgrade to the case management system will create a central database that tracks the investigation of inmates and staff, equal employment opportunity complaints, inmate telephone recordings, and video surveillance. The new centralized database will ensure that all of the Department's cases will be linked together to increase efficiency in the Department. According to OMB, the Department expects to complete these upgrade by the end of Fiscal 2016.

Capital Program

Capital Budget Summary

The Fiscal 2017 Preliminary Capital Commitment Plan includes \$1.8 billion in Fiscal 2016-2019 for the Department of Correction (including City and Non-City funds). This represents approximately three percent of the City's total \$57.2 billion January Plan for Fiscal 2016-2019. The agency's Preliminary Commitment Plan for Fiscal 2016-2019 is one percent more than the \$1.8 billion scheduled in the September Commitment Plan, an increase of \$15.4 million.

The majority of the 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 2015, the Department of Correction committed \$155.3 million or 73 percent of its annual capital plan. Therefore, it is assumed that a portion of DOC's Fiscal 2016 Capital Plan will be rolled into Fiscal 2017, thus increasing the size of the Fiscal 2017-2020 Capital Plan. Since adoption last June, the citywide total Capital Commitment Plan for Fiscal 2017 has increased from \$19.3 billion to \$19.7 billion, an increase of \$415 million or 2.2 percent.

| DOC 2016-2019 Capital Commitment Plan: Adopted and Preliminary Budget | | | | | |
|---|-----------------|------------------|------------------|----------------|--------------------|
| <i>Dollars in Thousands</i> | | | | | |
| | FY16 | FY17 | FY18 | FY19 | Total |
| Adopted | | | | | |
| Total Capital Plan | \$581,186 | \$176,547 | \$820,118 | \$176,149 | \$1,754,000 |
| Preliminary Plan | | | | | |
| Total Capital Plan | \$605,796 | \$168,273 | \$816,979 | \$178,329 | \$1,769,377 |
| Change | | | | | |
| Level | \$24,610 | (\$8,274) | (\$3,139) | \$2,180 | \$15,377 |
| Percentage Change | 4% | (5%) | 0% | 1% | 1% |

As mentioned above, the Fiscal 2016-2019 Preliminary Capital Commitment Plan totals \$1.8 billion. The Fiscal 2016 Capital Commitment Plan as of January 2016 increased by one percent or \$15.4 million since the Adopted Capital Commitment Plan. Several of the capital projects highlighted below reflect the Department's efforts to improve facilities on Rikers Island and are related to the 14-Point Plan.

- **Rikers Island Facility.** The Fiscal 2017 Preliminary Capital Commitment Plan includes approximately \$102.9 million in Fiscal 2016 for construction of a new jail on Rikers Island. The total amount budgeted for the project is \$501.2 million, with the majority of the funding in Fiscal 2018. This project is currently on hold, according to the Department due to the massive reform effort underway and the revised housing classification system. The Department has placed this project on hold to evaluate new strategies for housing inmates.
- **Fire/Life Safety Upgrades.** The Fiscal 2017 Preliminary Capital Commitment Plan includes \$288.6 million in Fiscal 2016-2019 for Phase One and Two of the continued installation of fire alarms and smoke detector systems in all DOC facilities. The Department is currently requesting design proposals for Phase Two of the upgrades.

Phase Two includes the installation of sprinklers and construction of the fire separation barriers to limit the spread of fire and smoke, and upgrades to all related systems associated with fire projection work at various facilities.

- **Infrastructure for Camera Installation.** The Fiscal 2017 Preliminary Capital Commitment Plan includes \$38.3 million in Fiscal 2016 for the installation of cameras facility-wide to meet the requirements of the *Nunez* settlement and to have full camera coverage for adolescent and young adult housing areas. Additional infrastructure will need to be upgraded as well, such as installation of wiring and fiber optic network system for transmission of video signals and the installation of additional servers to store the camera footage. The Department expects to install a total 11,202 cameras facility-wide by the end of 2016.
- **Vehicle Replacement.** The Fiscal 2017 Preliminary Capital Commitment Plan includes \$8.9 million in Fiscal 2016 to replace heavy-duty vehicles such as 28 vehicles for inmate transport and visit busses, dump trucks, and caged vans.
- **Jail Management System.** The Fiscal 2017 Preliminary Capital Commitment Plan includes \$10.3 million in Fiscal 2016 to upgrade its jail management system; the Department is revising its requirements for this project to ensure that it covers all the datasets required as set forth in the 14-Point Plan Reform Agenda as well as the *Nunez* settlement. The Department plans to release a Request for Proposal upon the conclusion of the revision in consultation with the Department of Information and Telecommunications and Technology (DOITT).
- **14-Point Plan Reform Agenda.** The Fiscal 2017 Preliminary Capital Commitment Plan includes \$123.6 million from Fiscal 2016-2019 in capital projects associated with the 14-Point Plan Reform Agenda. The chart below details the individual projects and funding levels by fiscal year.

| Fiscal 2017 Preliminary Capital Plan Fiscal 2016-2019 | | | | | |
|---|-----------------|-----------------|----------------|----------------|------------------|
| <i>Dollars in Thousand</i> | | | | | |
| Project Description | FY16 | FY17 | FY18 | FY19 | Total |
| Investigation Trailer | \$921 | \$0 | \$0 | \$0 | \$921 |
| K-9 Trailers | 480 | 0 | 0 | 0 | 480 |
| New K-9 facility at Rikers Island | 1,580 | 0 | 6,720 | 0 | 8,300 |
| Idleness Reeducation Trailer | 0 | 720 | 0 | 0 | 720 |
| Data Analytics System | 7,000 | 0 | 0 | 0 | 7,000 |
| Learning Management System | 2,050 | 0 | 0 | 0 | 2,050 |
| Staff Performance Management System | 1,000 | 0 | 0 | 0 | 1,000 |
| IP Video Recording / Camera Expansion | 21,671 | 0 | 0 | 1,000 | 22,671 |
| Infrastructure for Camera Installation | 38,346 | 0 | 0 | 0 | 38,346 |
| Modification of Facility Entries | 4,040 | 36,406 | 396 | 0 | 40,842 |
| Entry Point Search X-ray Machine | 1,240 | 0 | 0 | 0 | 1,240 |
| Total 14-Point Plan | \$78,328 | \$37,126 | \$7,116 | \$1,000 | \$123,570 |

- **Entry Point Search X-ray Machines.** The Fiscal 2017 Preliminary Capital Commitment Plan includes \$1.2 million in Fiscal 2016 for 16 dual view x-ray machines to reduce the flow of contraband into facilities.
- **Data Analytics System.** The Fiscal 2017 Preliminary Capital Commitment Plan includes \$7 million in Fiscal 2016 for various IT system needs such as data analytics, training academy, staff performance, and classification/custody management.
- **Modification of Facility Entries.** The Fiscal 2017 Preliminary Capital Commitment Plan includes \$40.8 million in Fiscal 2016-2019 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 2017 Preliminary Capital Commitment Plan includes \$8.3 million in Fiscal 2016-2019 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 2017 Preliminary Capital Commitment Plan includes approximately \$720,000 in Fiscal 2017 to accommodate space needs associated with several reform agenda initiatives, including the investigation divisions, Caine Unit, and program services.

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

| <i>Dollars in Thousands</i> | FY 2016 | | | FY 2017 | | |
|--|--------------------|-----------------|--------------------|--------------------|-----------------|--------------------|
| | City | Non-City | Total | City | Non-City | Total |
| DOC Budget as of the Adopted 2016 Budget | \$1,211,972 | \$10,560 | \$1,222,532 | \$1,188,598 | \$10,262 | \$1,198,860 |
| New Needs | | | | | | |
| Consulting Services | \$6,700 | \$0 | \$6,700 | \$0 | \$0 | \$0 |
| Investigation Case Management | 1,602 | 0 | 1,602 | 0 | 0 | 0 |
| Overtime | 15,000 | 0 | 15,000 | 0 | 0 | 0 |
| Staff Performance Management System | 1,000 | 0 | 1,000 | 0 | 0 | 0 |
| 5 Hours of Programming per Day for Adults* | 6,098 | 0 | 6,098 | 21,995 | 0 | 21995 |
| Arrest Unit* | 788 | 0 | 788 | 765 | 0 | 765 |
| Expanded Reporting Requirements for Council Bills* | 1,194 | 0 | 1,194 | 763 | 0 | 763 |
| Expedited Camera Installation* | 3,793 | 0 | 3,793 | 3,793 | 0 | 3793 |
| Model Facility Staffing (GRVC)* | 6,309 | 0 | 6,309 | 12,618 | 0 | 12618 |
| Nunez Settlement* | 39,029 | 0 | 39,029 | 58,299 | 0 | 58299 |
| Other Adjustments* | 6,009 | 0 | 6,009 | 7,484 | 0 | 7484 |
| Staffing for new DCJC* | 1,003 | 0 | 1,003 | 1,204 | 0 | 1204 |
| Tablets for Targeted Training* | 854 | 0 | 854 | 556 | 0 | 556 |
| Subtotal, New Needs | \$89,379 | \$0 | \$89,379 | \$107,477 | \$0 | \$107,477 |
| Other Adjustments | | | | | | |
| Auto Mechanics CBA | \$141 | 0 | \$141 | \$180 | 0 | \$180 |
| Automotive Service Worker CBA | 25 | 0 | 25 | 29 | 0 | 29 |
| Carpenters CBA | 267 | 0 | 267 | 267 | 0 | 267 |
| Energy Smart Competition | 0 | 50 | 50 | 0 | 0 | 0 |
| FY16PS6EDRP | 0 | 191 | 191 | 0 | 0 | 0 |
| plaNyC Energy Manager | 0 | 82 | 82 | 0 | 0 | 0 |
| plaNyC ExCEl Program | 0 | 408 | 408 | 0 | 0 | 0 |
| plaNyC RCM Projects | 0 | 217 | 217 | 0 | 0 | 0 |
| Press Operator CBA | 7 | 0 | 7 | 9 | 0 | 9 |
| Prison Rape Elimination Act | 0 | 35 | 35 | 0 | 0 | 0 |
| Records Management | 0 | 57 | 57 | 0 | 0 | 0 |
| Rubber Tire Repairer CBA | 6 | 0 | 6 | 7 | 0 | 7 |
| Safety Holsters | 0 | 250 | 250 | 0 | 0 | 0 |
| Sandy | 0 | 636 | 636 | 0 | 0 | 0 |
| Sheet Metal Workers CBA | 0 | 28 | 28 | 38 | 0 | 38 |
| Staff Analysts OSA CBA | 0 | 436 | 436 | 550 | 0 | 550 |
| Cement Masons (L237) CBA | 8 | 0 | 8 | 9 | 0 | 9 |
| CEO Funding Adjustment | 0 | 0 | 0 | 24 | 0 | 24 |
| FAMILY LAUNDRY SERVICE | 0 | (51) | (51) | 0 | (50) | (50) |
| Maintenance Worker (L237) CBA | 230 | 0 | 230 | 282 | 0 | 282 |

| <i>Dollars in Thousands</i> | FY 2016 | | | FY 2017 | | |
|---|--------------------|-----------------|--------------------|--------------------|-----------------|--------------------|
| | City | Non-City | Total | City | Non-City | Total |
| Mason's Helper (L237) CBA | 6 | 0 | 6 | 8 | 0 | 8 |
| PREA Program | 0 | 493 | 493 | 0 | 0 | 0 |
| Subtotal, Other Adjustments | \$691 | \$2,835 | \$3,526 | \$1,403 | (\$50) | \$1,353 |
| TOTAL, All Changes | \$90,070 | \$2,835 | \$92,904 | \$108,880 | (\$50) | \$108,830 |
| DOC Budget as of the Preliminary 2017 Budget | \$1,302,507 | \$12,929 | \$1,315,436 | \$1,297,478 | \$10,212 | \$1,307,690 |

**Are new needs as of the Fiscal 2017 Preliminary Plan
Continuation from previous page*

Appendix B: Contract Charts

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 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.

The following table provides DOC's Preliminary Contract Budget for Fiscal 2017.

| DOC Fiscal 2017 Preliminary Contract Budget | | | | |
|--|--------------------------------|--------------------------------|------------------------------------|--------------------------------|
| <i>Dollars in Thousands</i> | | | | |
| Category | Fiscal 2016 Adopted | Number of Contracts | Fiscal 2017 Preliminary | Number of Contracts |
| Contractual Services General | \$18,078 | 13 | \$15,198 | 13 |
| Telecommunications Maintenance | 6,642 | 2 | 6,642 | 2 |
| Maintenance & Repair of Motor Vehicle Equipment | 130 | 1 | 130 | 1 |
| Maintenance & Repair, General | 12,602 | 30 | 14,761 | 30 |
| Data Processing Equipment | 95 | 6 | 95 | 6 |
| Security Services | 1 | 1 | 1 | 1 |
| Temporary Services | 372 | 1 | 175 | 1 |
| Cleaning Services | 261 | 1 | 261 | 1 |
| Training Program City Employees | 2,917 | 2 | 1,077 | 2 |
| Professional Services: Other | 432 | 5 | 432 | 5 |
| TOTAL | \$41,530 | 62 | \$38,772 | 62 |

Source: Preliminary Budget Fiscal year 2016 Expense, Revenue, and Contract.

The City's Contract Budget, as proposed, totals \$13.17 billion in Fiscal 2017, a decrease of \$76 million or .5 percent when compared to the Fiscal 2016 Adopted Budget of \$13.24 billion. For DOC, the contract budget for Fiscal 2017 is approximately \$38.8 million.

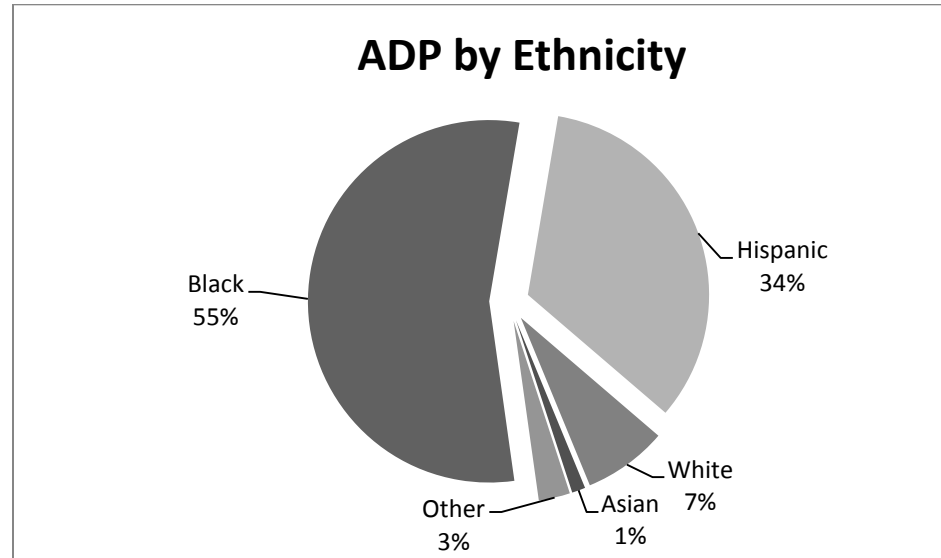
Appendix C: DOC Reconciliation of Program Areas to Units of Appropriation

| <i>Dollars in Thousands</i> | Personal Services | | Other Than Personal Services | | Grand Total |
|---------------------------------------|-------------------|--------------------|------------------------------|-----------------|--------------------|
| | 1 | 2 | 3 | 4 | |
| Administration-Mgmt & Administration | \$44,432 | \$305 | \$7,358 | \$17,404 | \$69,500 |
| Health and Programs | 7,281 | 4,140 | 23,497 | 484 | \$35,402 |
| Jail Operations | 41,752 | 964,781 | 100,688 | 0 | \$1,107,220 |
| Operations-Infrastr.& Environ. Health | 3,122 | 19,543 | 14,838 | 0 | \$37,502 |
| Administration-Academy and Training | 0 | 15,415 | 2,375 | 0 | \$17,790 |
| Operations-Hospital Prison Ward | 0 | 13,535 | 0 | 0 | \$13,535 |
| Operations-Rikers Security & Ops | 0 | 23,484 | 3,257 | 0 | \$26,741 |
| Total | \$96,587 | \$1,041,202 | \$152,013 | \$17,888 | \$1,307,690 |

Appendix D: Additional DOC Data

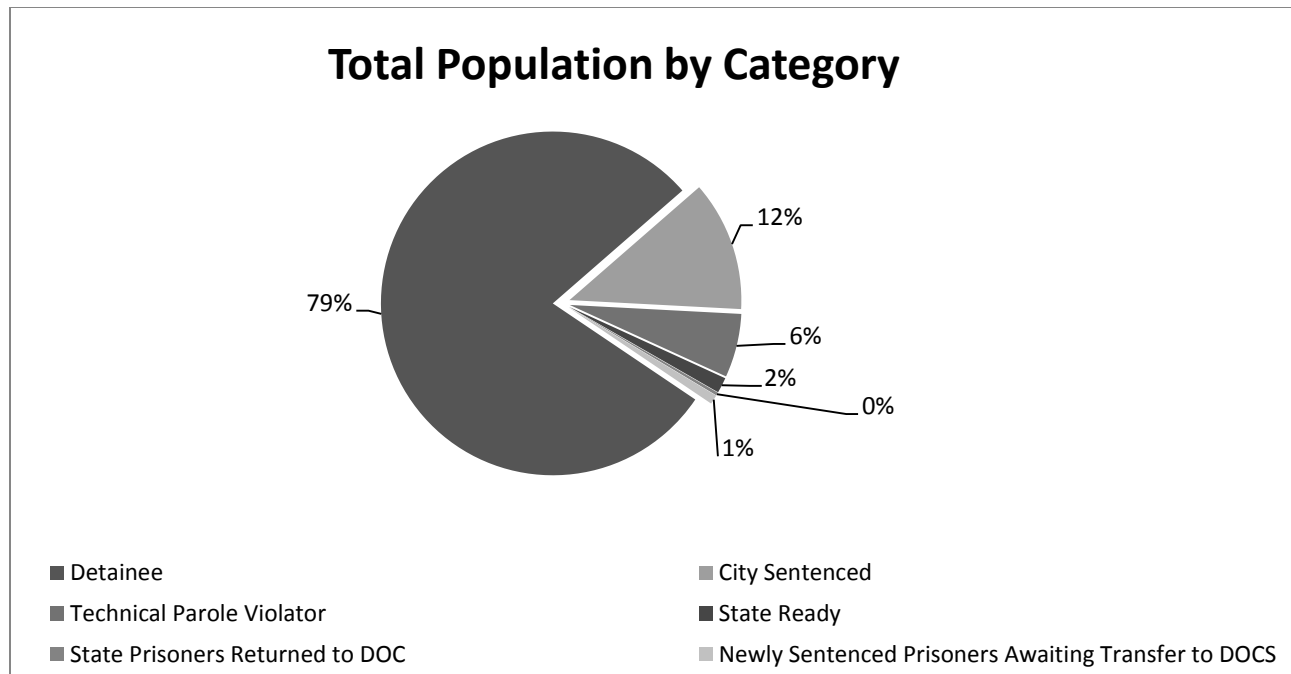
Inmate Population of the Correctional System

The PMMR provides a limited amount of data related to the inmate population. The chart below breaks down the total population as of June 2015 by category and ADP by ethnicity.

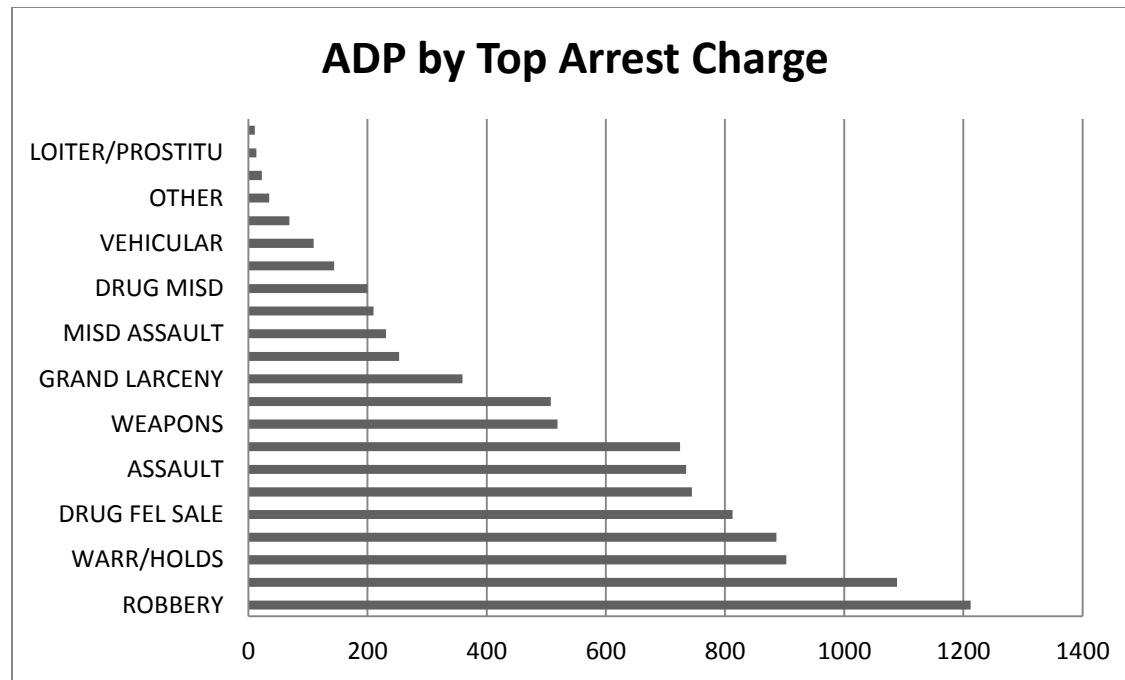


Source: Department of Correction

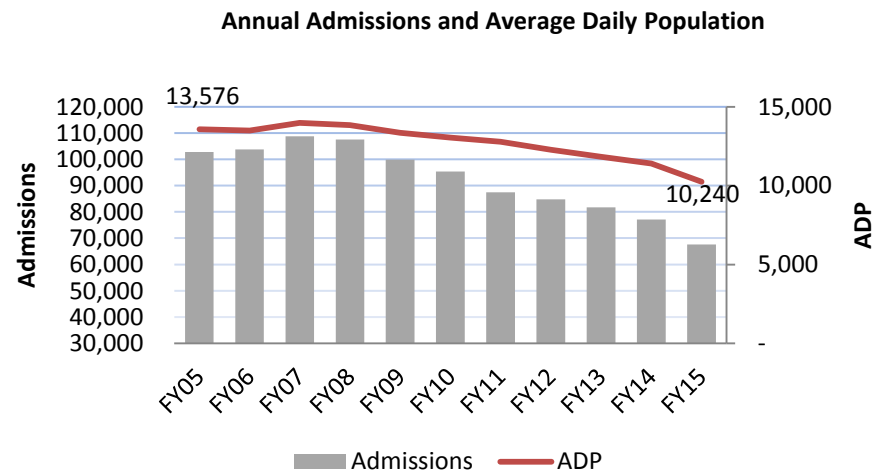
As of first six months of Fiscal 2016



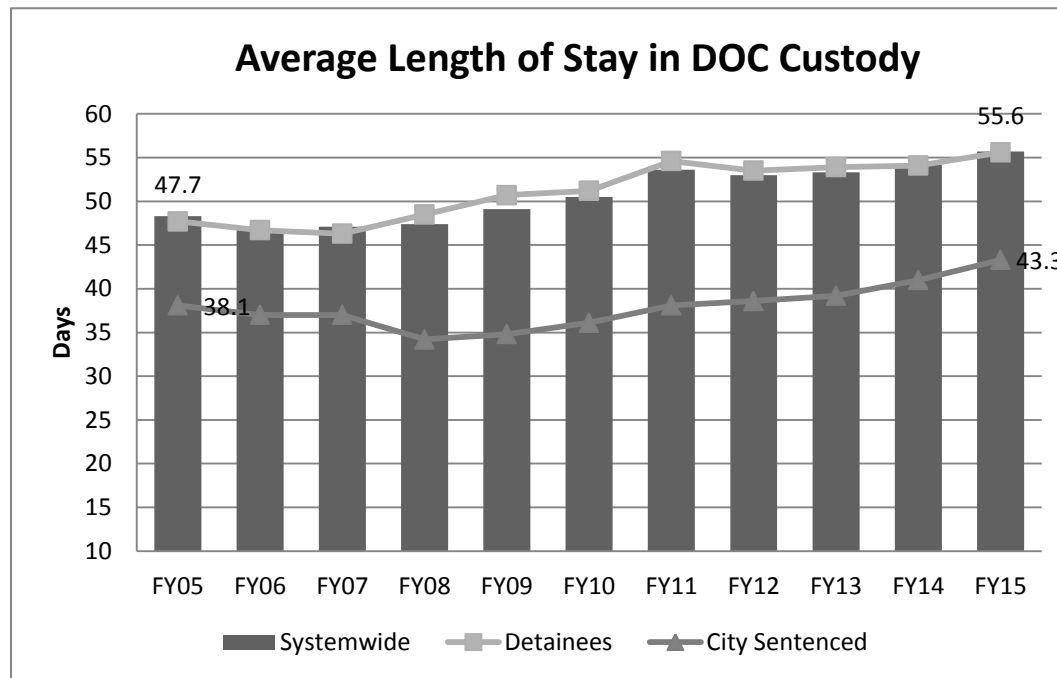
Source: Department of Correction as of June 30, 2015



Source: Department of Correction as of the first six months of Fiscal 2016



Source: DOC



Source: DOC