



FY 2019 Agency Watch List

Department of Correction

New York City Comptroller Scott M. Stringer

Bureau of Budget

MAY 2018

Why is This Agency on the Watch List?

As the Office of the Comptroller has [previously documented](#), although the Department of Correction's (DOC) inmate population has fallen 20%, from an average daily population of 11,400 in FY 2014 to under 9,200 in the first four months of FY 2018, spending continues to rise: total agency spending is projected to rise 29% from FY 2014 to FY 2018 (as of the FY 2019 Executive Budget). Per inmate staffing ratios and costs have risen substantially. Despite this expenditure of resources, "[t]he use of force has continued to increase rather than diminish, even as the inmate population has decreased," in the words of the *Nunez* Independent Monitor.¹ Accordingly, the Comptroller has included the DOC on his Agency Watch List for FY 2019. First announced in the Comptroller's [Preliminary Budget Presentation](#), spotlights City agencies – the Department of Correction (DOC), Department of Education (DOE), and homeless services – that raise the most budgetary concerns due to rapidly increased spending and meager measurable results

Recent Developments

- After several investigations and reports, DOC began the process of ending punitive segregation for inmates 21 years of age and younger in 2015. DOC has developed alternative housing strategies for different populations, including youth and young adults.
- In March 2015, the City announced a 14-point Rikers anti-violence agenda. Key objectives included: keeping contraband out of Rikers; creating a housing strategy to more safely house inmates; providing comprehensive security camera coverage; designing inmate education services to reduce idle time; and developing crisis intervention teams.
- Also in 2015, the City settled a lawsuit brought by a group of detainees, the *Nunez* settlement. Among its 300 provisions, the settlement notably required: removal of juveniles under the age of 18 from Rikers by October 31, 2018; establishment of a Use of Force policy; training for correction officers on the Use of Force policy, crisis intervention, and conflict resolution; and reduced reliance on punitive segregation for 18 year-olds

¹ Fifth Report of the *Nunez* Independent Monitor, filed April 18, 2018.

Indicators to Watch

The Watch List includes tables with selected indicators as reported in the Mayor's Management Report (MMR) and other sources. Also included are key indicators that should be tracked and reported in order to evaluate the effectiveness of initiatives, labeled "Indicators to watch." A number of these are not currently publicly reported, however, and the Administration should move immediately to make the relevant statistics publicly available and ultimately incorporate them into the MMR.

Budget and Spending

	FY 14	FY 15	FY 16	FY 17	FY 18*	FY 18 To Date**	FY 19*
Expenditures (\$mil)	\$1,103.1	\$1,162.1	\$1,307.6	\$1,368.6	\$1,421.8	\$1,133.0	\$1,401.9
Overtime (Unif.) (\$mil)	\$125.4	\$180.5	\$253.6	\$240.4	\$203.4	\$162.8	\$150.4
Overtime (Total) (\$mil)	\$139.1	\$196.3	\$274.8	\$266.4	\$210.2	\$182.0	\$157.4
Personnel (Unif.)	8,922	8,756	9,832	10,862	10,427	10,873	10,226
Overtime/Unif.	N/A	\$20,613	\$25,791	\$22,130	\$19,504	N/A	\$14,705
Personnel (Civ'l'n)	1,353	1,418	1,569	1,729	2,195	1,772	2,273

SOURCE: Office of the Comptroller; Financial Management System.

NOTES: N/A: Not available. *Budgeted, as of FY 2019 Executive Budget. **As of 04/30/18.

Indicators to Watch

- Overtime spending per uniformed headcount (*not reported; calculated by Comptroller's Office*)
- Average number of fixed posts requiring coverage; monthly (*not reported*)

Census, Staffing, and Cost

- Annual admissions and average daily population (ADP) continue to fall.
- Uniformed headcount has risen.
- As a result, ratio of inmates to Correction Officers has fallen, and cost per inmate has risen.

	FY 14	FY 15	FY 16	FY 17	FY 18*
Admissions	77,141	67,672	63,758	58,226	18,459
Avg. Daily Population	11,408	10,240	9,790	9,500	9,180
Inmate:CO Ratio**	1.28	1.17	1.00	0.87	0.87
Avg. Cost per Inmate**	\$96,695	\$113,487	\$133,568	\$144,067	N/A

SOURCE: Office of the Comptroller based on *Mayor's Management Report*. *Through 10/31/17.

Indicators to Watch

- Annual admissions (MMR)
- Average daily population (monthly at <https://rikers.cityofnewyork.us/>)
- Average length of stay (*not reported in FY 2018 Preliminary MMR*)
- Average cost per inmate; annual (*not reported; calculated by Comptroller's Office*)

Violent Incidents and Use of Force

- After rising sharply over the last several years, indicators of violence in City jails have begun to show signs of stabilizing.
- The Administration initiated a 14-Point Plan to reduce violence at Rikers, including risk-based housing and staffing; the creation of specialized housing units; expansion of video camera coverage, recruit and staff training, and others.

Rate per 1,000 ADP	FY 14	FY 15	FY 16	FY 17	FY 18*
Fight/assault infractions	774	920	1,148	1,332	1,306
Violent inmate-on-inmate incidents	395	454	574	662	655
Inmate assault on staff	70.8	103.2	94.8	100.8	107
Incidents/allegations of use of force	370	471	538	534	584

SOURCE: Office of the Comptroller based on *Mayor's Management Report*. *Projected based on data through 10/31/17.

Programs spending (\$ millions)	FY 14	FY 15	FY 16	FY 17	FY 18*	FY 19*
Programs	\$3.8	\$4.2	\$5.3	\$11.8	\$20.4	\$21.4
14-Point Idleness Reduction	N/A	N/A	\$0.8	\$7.8	\$11.2	\$11.0

SOURCE: Office of the Comptroller; Financial Management System. *Budgeted as of FY 2019 Executive Budget.

Indicators to Watch

- Rates of violent incidents; quarterly ([DOC LL33 security indicator reports](#))
- Hours of required training per Nunez settlement per uniformed staff member; annual (*not reported*)
- Use of punitive segregation and alternatives ([DOC LL42 quarterly reports](#))
- Crisis intervention team deployments; quarterly (*not reported*)
- Hours of programming per inmate; quarterly (*not reported*)

Access to Health and Mental Health Services

- As admissions have fallen, the percentage of inmates with mental health diagnosis has gone up slightly.
- DOC has created new housing units and programs for inmates with mental health diagnoses in the last several years, including the Clinical Alternative to Punitive Segregation (CAPS) unit for those with

serious mental health diagnoses and the Restricted Housing Unit (RHU) programs for those with less serious diagnoses.

- Spending on Health Affairs and the Health Management Division has risen from \$3.1 million in FY 2014 to \$5.5 million in FY 2018 (budgeted, as of the FY 2019 Executive Budget)

	FY 14	FY 15	FY 16	FY 17	FY 18*
Inmates with mental health diagnosis (% ADP)	38%	41%	42%	42%	N/A
Inmates with serious mental health diagnosis (% ADP)	10.2%	11.1%	11.0%	10.3%	11.8%
Inmate health clinic visits	77,825	81,873	78,499	79,844	25,782

SOURCE: *Mayor's Management Report*. *Through 10/31/17.

Indicators to Watch

- Inmates reported receiving mental health services (*number reported in [DOC LL42 quarterly reports](#)*) and as a percent of those with diagnosis (*not reported*)
- Inmates placed in CAPS or RHU ([DOC LL42 quarterly reports](#))

Re-Entry Services and Recidivism

- The Individualized Correction Achievement Network, or I-CAN, was [created in 2013](#) and intended to reduce recidivism among high-risk inmates, which was expanded to include medium-risk inmates in 2015.
- In March 2017, the Administration announced that all inmates would receive re-entry services by the end of calendar year 2017

	FY 14	FY 15	FY 16	FY 17	FY 18*
I-CAN enrollments	2,408	2,321	4,278	7,569	2,335
I-CAN workshops	1,580	2,065	6,505	12,002	4,902
Avg daily number of inmates in vocational skills training programs	216	256	226	419	416
Inmates participating in skills-building activities/discharge planning	10.3%	10.5%	8.7%	14.0%	n/a

SOURCE: *Mayor's Management Report*. *Through 10/31/17.

Indicators to Watch

- Percent of inmates eligible for discharge planning who receive a plan; annual (*not reported*)
- Inmates earning a GED; annual (*not reported*)
- Post-release job placements and retention; annual (*not reported*)
- Readmissions; annual (*not reported*)