

AUDIT REPORT



CITY OF NEW YORK
OFFICE OF THE COMPTROLLER
BUREAU OF MANAGEMENT AUDIT
WILLIAM C. THOMPSON, JR., COMPTROLLER

Audit Report on Potential Savings From Civilianizing Positions in Non-Incarceration Units of the New York City Department of Correction

MG03-079A

May 21, 2003



THE CITY OF NEW YORK
OFFICE OF THE COMPTROLLER
1 CENTRE STREET
NEW YORK, N.Y. 10007-2341

WILLIAM C. THOMPSON, JR.
COMPTROLLER

To the Citizens of the City of New York

Ladies and Gentlemen:

In accordance with the Comptroller's responsibilities contained in Chapter 5, § 93, of the New York City Charter, and in light of the serious budget crisis facing the City, my office has examined opportunities for savings from civilianizing positions in non-incarceration units of the New York City Department of Correction (DOC).

The results of our audit, which are presented in this report, have been discussed with DOC officials, and their comments have been considered in the preparation of this report.

Audits such as this provide a means of ensuring that City resources are used effectively, efficiently, and in the best interests of the public.

I trust that this report contains information that is of interest to you. If you have any questions concerning this report, please e-mail my audit bureau at audit@comptroller.nyc.gov or telephone my office at 212-669-3747.

Very truly yours,

A handwritten signature in cursive script that reads 'William C. Thompson, Jr.'.

William C. Thompson, Jr.

Report: MG03-079A
Filed: May 21, 2003

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*The City of New York
Office of the Comptroller
Bureau of Management Audit*

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New York City Department of Correction**

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AUDIT REPORT IN BRIEF

This audit of the New York City Department of Correction (DOC) reviewed opportunities for savings from civilianizing positions in non-incarceration units at the department. The New York City Department of Correction's mission is to provide custody, control, and care of inmates sentenced to less than one year of incarceration, detainees awaiting trial or sentence, newly sentenced felons awaiting transportation to State correctional facilities, alleged parole violators awaiting revocation hearings, and State prisoners with court appearances in New York City. DOC provides professional services to inmates, including medical care and mental health services, educational instruction, vocational training, substance abuse counseling, and opportunities for religious observance. DOC manages an average daily inmate population of between 14,000 to 19,000 individuals. DOC has about 10,500 uniformed officers and about 1,600 civilian employees.

Audit Findings and Conclusions

The Department of Correction does not have an ongoing systematic effort to identify uniformed positions for civilianization. Also, DOC has not conducted a comprehensive civilianization review. Over the years, the DOC has identified certain uniformed positions for civilianization; however, these efforts have not been the result of a regular systematic or comprehensive review of civilianization opportunities in the department.

Based on our review of the 12 largest non-incarceration units in the Department of Correction, we determined that 167 out of the 1,235 uniformed positions in these units should be civilianized for an annual savings of over \$4.7 million. These savings could be achieved over a period of time. As uniformed personnel resign, retire, or otherwise leave the department, lower cost civilian personnel should be hired or transferred to these units to begin to assume some of the civilian-type functions currently being performed by uniformed officers.

Audit Recommendations

- The Department of Correction should review and civilianize the 167 positions identified in this report that are civilian in nature and held by uniformed officers in 12 non-incarceration units.
- The Department of Correction should conduct a comprehensive review of all of its non-incarceration units to identify additional civilianizable positions that would generate cost savings.

Department of Correction Response

The matters covered in this report were discussed with DOC officials during and at the conclusion of this audit. A preliminary draft report was sent to DOC officials on March 10, 2003, and was discussed at an exit conference on April 2, 2003. On April 11, 2003, we submitted a draft report to DOC officials with a request for comments. We received a written response from DOC officials on April 25, 2003. The Department of Correction generally agreed with our findings and recommendations.

INTRODUCTION

Background

The New York City Department of Correction's (DOC's) mission is to provide custody, control, and care of inmates sentenced to less than one year of incarceration, detainees awaiting trial or sentence, newly sentenced felons awaiting transportation to State correctional facilities, alleged parole violators awaiting revocation hearings, and State prisoners with court appearances in New York City. DOC provides professional services to inmates, including medical care and mental health services, educational instruction, vocational training, substance abuse counseling, and opportunities for religious observance. DOC handles approximately 120,000 to 130,000 admissions each year, manages an average daily inmate population of approximately 14,000 to 19,000 individuals, and transports an average of approximately 1,700 individuals to court facilities each business day. DOC has about 10,500 uniformed officers and about 1,600 civilian employees. DOC's Fiscal Year 2003 operating budget totaled \$924.4 million, including \$811.5 million for Personal Services and \$112.9 million for Other Than Personal Services.

To accomplish its mission, the Department of Correction assigns uniformed personnel to 11 jails (eight of which are located on Rikers Island), 15 court detention pens, and four hospital prison wards (one of which is located on Rikers Island), and to various non-incarceration units requiring the special skills of trained uniformed officers. DOC's non-incarceration units perform tasks usually required by large organizations (e.g., processing job applications, providing employee training, monitoring employee health, and maintaining vehicles and property), as well as tasks specific to correction departments (e.g., transporting inmates to court appearances, classifying inmates for jail assignment purposes, handling inmate property, and laundering inmate clothing). The Department of Correction has three uniformed titles: Correction Officer, Captain, and Warden (which includes the positions of Assistant Deputy Warden, Deputy Warden, and Warden).

This Comptroller's Office report focuses on the 12 largest non-incarceration units in the Department of Correction.

Objectives

The objectives of this audit were (1) to determine how many uniformed positions in DOC's non-incarceration units could be civilianized, and (2) to calculate the annual savings that could be achieved by civilianizing these positions.

Scope and Methodology

The focus of this audit was the uniformed personnel assigned to non-incarceration units of the Department of Correction. We decided to review opportunities for savings through civilianization in the 12 largest non-incarceration units. The 1,235 uniformed officers assigned to these 12 units represent 80 percent of the 1,540 officers assigned to non-incarceration units in the

department. The remaining 20 percent (305 officers) are assigned to 47 other non-incarceration units.

To obtain background information, we met with Department of Correction officials and reviewed relevant reports and documentation. To determine the 12 largest non-incarceration units in the department in terms of the number of uniformed employees assigned to the unit, we reviewed staffing information provided to us by DOC and the City's Payroll Management System.

To determine whether there are uniformed positions in the 12 largest non-incarceration units of the Department of Correction that could be civilianized, we visited the units and met with the head of each unit to discuss the duties of its uniformed officers and its civilian employees. We conducted these visits between October 2002 and February 2003. We also reviewed documentation prepared by each unit on its mission, functions, tasks, organization, and personnel roster. We compared these rosters with personnel information on these units in the City's Payroll Management System.

In order to determine whether a position in a non-incarceration unit could be civilianized, we considered the following questions:

- Does the position involve direct inmate supervision responsibilities, including the custody, control, and care of inmates?
- Does the position require the special skills of a trained uniformed officer with correction officer experience?

The audit considered a position civilianizable if the answers to these questions were "no." For those uniformed officer positions that we concluded could be civilianized, we reviewed Department of Citywide Administrative Services' civilian job descriptions to identify comparable civilian job titles.

To determine whether the Department of Correction could derive cost savings by employing a civilian in a position currently filled by a uniformed officer, we calculated the difference between the uniformed officer's current salary and fringe benefit cost, and the average salary and fringe benefit cost of a civilian qualified to perform comparable job duties. We included uniform allowances and employer contributions to Social Security, Medicare, and pensions in fringe benefit costs. We did not include employer contributions to health insurance and welfare funds because these contributions are set amounts that are similar for DOC civilian and uniformed employees. We obtained salary information from the Payroll Management System and the Fiscal Year 2003 Executive Budget, and fringe benefit rate information from the Mayor's Office of Management and Budget. If we determined that the Department of Correction could derive cost savings by assigning a civilian employee to a position currently filled by a uniformed officer, we concluded that the position should be civilianized.

This audit was conducted in accordance with Generally Accepted Government Auditing Standards (GAGAS) and included tests of records and other auditing procedures considered

necessary. This audit was performed in accordance with the City Comptroller's audit responsibilities as set forth in Chapter 5, § 93, of the New York City Charter.

Discussion of Audit Results

The matters covered in this report were discussed with DOC officials during and at the conclusion of this audit. A preliminary draft report was sent to DOC officials on March 10, 2003, and was discussed at an exit conference on April 2, 2003. On April 11, 2003, we submitted a draft report to DOC officials with a request for comments. We received a written response from DOC officials on April 25, 2003. The Department of Correction generally agreed with our findings and recommendations. In his written response, the Commissioner of the Department of Correction stated:

“I would like to express my sincere appreciation to your audit staff for the time and effort they invested to identify uniformed positions that can be civilianized at the Department of Correction. These efforts have pointed to several fruitful areas where cost savings can indeed be achieved.

“...To our satisfaction, the current draft report is fair and balanced, highlighting both those areas in need of improvement while addressing activities that are functioning with appropriate personnel. Therefore, I am gratified that this report largely yielded very positive results.”

DOC stated further that “while we largely agree with the auditor’s findings, we also have some disagreements and concerns.” These concerns are presented and addressed in the body of the report. The full text of the Department of Correction’s response is included as an addendum to this report.

FINDINGS AND RECOMMENDATIONS

In light of the serious budget crisis facing the City, and considering civilianization savings opportunities we previously identified in the Police Department,¹ we decided to review opportunities for similar savings in the Department of Correction. For this audit, we focused on non-incarceration units of the department.

Unlike the Police Department, which has an Office of Civilianization and Staff Development that attempts to identify positions that could be civilianized, the Department of Correction has no such unit or regular systematic effort to identify uniformed positions for civilianization. Also unlike the Police Department, which presented a comprehensive review of civilianization opportunities in a 1990 report entitled *Staffing Needs of the New York City Police Department*, the DOC has not conducted a comprehensive civilianization review. Over the years, the DOC has identified certain uniformed positions for civilianization; however, these efforts have not been the result of a systematic or comprehensive review of civilianization opportunities in the department. DOC officials provided documentation indicating that the department has civilianized 70 positions since fiscal year 1997. We recognize that the Department of Correction is a smaller uniformed organization than the Police Department and therefore may not need a separate civilianization unit. We nonetheless believe that a regular systematic effort to identify positions for civilianization would be a cost effective initiative.

Based on our review of the 12 largest non-incarceration units in the Department of Correction, we determined that 167 out of the 1,235 uniformed positions in these units should be civilianized for an annual savings of over \$4.7 million, as shown in Table I. These savings could be achieved over a period of time. As uniformed personnel resign, retire, or otherwise leave the department, lower cost civilian personnel should be hired or transferred to these units to begin to assume some of the civilian-type functions currently being performed by uniformed officers.

¹*Audit Report on the Opportunities for Savings through Civilianization in the New York City Police Department* (MH96-154A, issued February 1, 1999); *Follow-up Audit Report on the Opportunities for Savings in Administrative Units through Civilianization in the New York City Police Department* (MG02-164F, issued May 31, 2002).

Table I
Cost Savings in the 12 Largest Non-Incarceration Units

(1) Non-Incarceration Units Reviewed	(2) No. of Positions Filled by Uniformed Employees	(3) No. of Uniformed Positions That Should Be Civilianized	(4) Annual Salary & Fringe Benefits of Positions That Should Be Civilianized	(5) Annual Salary & Fringe Benefits of Comparable Civilian Positions	(6) Cost Savings (Col. 4 - Col. 5)
Applicant Investigations Unit	34	20	\$1,208,471	\$669,545	\$538,926
Central Storehouse	28	4	\$260,040	\$137,917	\$122,122
Correction Academy	77	7	\$440,762	\$252,608	\$188,154
Correction Industries Division	48	4	\$260,040	\$130,055	\$129,984
Criminal Justice Bureau	44	9	\$585,089	\$337,370	\$247,719
Health Management Division	53	39	\$2,576,488	\$1,185,415	\$1,391,073
Inspectional Services and Compliance Division	30	5	\$362,569	\$275,316	\$87,254
Investigation Division	43	21	\$1,418,267	\$978,460	\$439,807
Management and Planning Bureau	30	12	\$821,318	\$539,967	\$281,351
Special Operations Division	359	10	\$643,950	\$374,474	\$269,477
Support Services Division	64	6	\$390,060	\$231,864	\$158,196
Transportation Division	425	30	\$2,122,601	\$1,274,622	\$847,981
Total	1,235	167	\$11,089,655	\$6,387,613	\$4,702,042

In this report, we present information on our audit results on a unit by unit basis. However, some recurring themes emerged throughout the audit. One point that Department of Correction officials stated during the audit was that although many officers might work on civilian-type functions, they are ready to provide support in emergency situations that might arise involving inmates (e.g., an attempted escape, a fight, or a report of an inmate possessing a weapon). However, because the Department of Correction does not maintain any statistics showing the extent to which

uniformed officers assigned to non-incarceration units have been used to support emergency response operations, the validity of DOC's argument cannot be evaluated. The number of officers maintained on reserve to support emergency operations should be proportionate to the number of times such officers are actually called upon to assist in this way.

Clearly some back-up support is needed to help the officers at a detention facility handle serious emergencies involving inmates. For the most part, DOC relies on officers from nearby jails (especially at Rikers Island) to provide support at a jail experiencing an inmate-related emergency. Officers from nearby non-incarceration units occasionally provide additional support. However, DOC was unable to provide any data on how often this happens.

Department of Correction officials also stated during the audit that officers in many non-incarceration units are redeployed to a detention facility at least once every three weeks for one tour of duty (an 8¼ hour shift) to help limit officer overtime at the jails. However, if more officers assigned to non-incarceration units were working at the jails in the first place, such officer redeployment to the jails would not be needed to help limit overtime.

Department of Correction officials stated during the audit that the officers in the non-incarceration units are available to represent the department at funerals and other ceremonies. However, representation at such events can be carefully planned to minimize the impact on detention facilities and other uniformed operations.

Another point DOC officials made during the audit is the greater flexibility that uniformed officers provide the department as compared with civilians. The officials argue that uniformed officers can be asked to do almost any legal task relevant to DOC's mission, whereas civilians can only be asked to perform functions consistent with their job descriptions. However, a careful hiring of an appropriate mix of civilian employees with a wide variety of job descriptions should alleviate most of these concerns.

Department of Correction officials also noted that many non-incarceration units provide work opportunities for inmates, and that these inmates must be supervised by uniformed officers. While the cost of uniformed officers transporting, supervising, and searching these inmates, along with the relatively minor cost of paying the inmates up to 50 cents per hour, may be comparable to, or even exceed, the cost of simply using civilians to do these jobs, DOC officials stated that court mandates require that inmates be given work opportunities. In addition, such work experiences can have a positive impact on inmate attitudes during their periods of incarceration, which can help maintain order in the jails, and can also have rehabilitative value. Therefore, we agree that supervising inmates on work details is an appropriate assignment for uniformed personnel.

The following sections of this report present the audit's specific findings for each of the 12 non-incarceration units.

Applicant Investigations Unit

The Applicant Investigations Unit conducts pre-employment investigations of candidates for correction officer positions by screening and testing candidates and conducting background investigations. This unit also schedules medical and psychological examinations, and ensures that job candidates meet DOC's qualifications for appointment. As of October 23, 2002, the date of our visit, there were 34 uniformed officers and seven civilian employees in the unit.

The audit concluded that 21 of the 34 uniformed officer positions within the unit could be civilianized because many of the functions of the officers assigned to the unit could be accomplished by civilians as these positions did not involve any contact with inmates and did not require the special skills of trained uniformed officers. These functions included:

- scheduling medical, psychological, and agility exams for correction officer candidates;
- checking that candidates meet the necessary qualifications (e.g., that they have earned a minimum of 60 college credits, possess a driver's license, and clear a criminal background check);
- inquiring with neighbors and past employers about the candidate's character;
- supporting timekeeping, payroll, procurement, and supply operations; and
- answering telephones.

Other functions of the unit were properly assigned to uniformed personnel. These functions included:

- conducting agility tests of officer candidates;
- supervising the investigation of candidates;
- assessing the suitability of candidates for appointment;
- answering candidates' questions about the role of a corrections officer; and
- providing front desk and shield room security.

When we compared the average salaries and fringe benefits of the 21 uniformed officer positions with those of civilians with comparable responsibilities, we concluded that DOC should civilianize all 21 positions.

However, one of these 21 positions was staffed by an officer on "modified duty" (i.e., the officer was placed in the position pending the result of an investigation into alleged improprieties). Because modified duty officers are temporarily assigned civilian-type positions pending the results of an investigation, there is no need to civilianize such positions. Therefore, the audit concluded that DOC should civilianize 20 of the 34 positions in the Applicant Investigations Unit, for an annual cost savings of \$538,926, as shown in Table II.

Table II
Cost Savings from Civilianizing 20 Positions
in the Applicant Investigations Unit

(1) No. of Positions	(2) Uniformed Title	(3) Uniformed Employee Average Salary & Fringe Benefits	(4) Total Uniformed Salary & Fringe Benefits (Col 1 x Col 3)	(5) Comparable Civilian Title	(6) Civilian Average Salary and Fringe Benefits	(7) Total Civilian Salary and Fringe Benefits (Col 6 x Col 1)	(8) Cost Savings (Col 4 - Col 7)
7	Correction Officer	\$60,424	\$422,965	Clerical Associate	\$24,475	\$171,325	\$251,640
5	Correction Officer	\$60,424	\$302,118	Investigator	\$33,627	\$168,135	\$133,982
5	Correction Officer	\$60,424	\$302,118	Associate Investigator	\$38,218	\$191,089	\$111,029
4	Correction Officer	\$60,424	\$241,694	Principal Administrative Associate	\$40,868	\$163,471	\$78,223
21	Subtotal		\$1,268,895			\$694,020	\$574,874
(1)			(\$60,424)	Modified Duty Adjustment		(\$24,475)	(\$35,949)
20	Total		\$1,208,471			\$669,545	\$538,926

Central Storehouse

The Central Storehouse purchases, stores, and distributes food, supplies, equipment, and furniture for DOC's detention facilities. As of January 31, 2003, the date of our visit, there were 28 uniformed officers and two civilian employees in the unit.

The audit concluded that four of the 28 uniformed officer positions within the unit could be civilianized because some of the functions of the officers assigned to the unit could be accomplished by civilians as the positions did not involve any unsupervised contact with inmates (i.e., while inmates are assigned to work details in this unit, they are supervised by uniformed officers) and did not require the special skills of trained uniformed officers. These positions were located in Central Storehouse East. The functions included:

- processing orders for supplies and equipment;
- purchasing these items;
- coordinating the receipt and distribution of these items;
- performing inventories;
- maintaining an expense budget; and
- handling personnel duties.

Other functions of the unit were properly assigned to uniformed personnel. These functions included transporting inmates to and from work details at the Central Storehouse, as well as searching the inmates and supervising their work.

When we compared the average salaries and fringe benefits of the four uniformed officer positions with those of civilians with comparable responsibilities, we concluded that DOC should civilianize all four positions. Therefore, the audit concluded that DOC should employ civilians in four of the 28 uniformed officer positions in the Central Storehouse, for an annual savings of \$122,122, as shown in Table III.

Table III
Cost Savings from Civilianizing Four Positions
in the Central Storehouse

(1) No. of Positions	(2) Uniformed Title	(3) Uniformed Employee Average Salary & Fringe Benefits	(4) Total Uniformed Salary & Fringe Benefits (Col 1 x Col 3)	(5) Comparable Civilian Title	(6) Civilian Average Salary and Fringe Benefits	(7) Total Civilian Salary and Fringe Benefits (Col 6 x Col 1)	(8) Cost Savings (Col 4 - Col 7)
1	Correction Officer	\$65,010	\$65,010	Storekeeper	\$28,253	\$28,253	\$36,756
2	Correction Officer	\$65,010	\$130,020	Purchasing Agent	\$41,464	\$82,928	\$47,092
1	Correction Officer	\$65,010	\$65,010	Clerical Associate	\$26,736	\$26,736	\$38,274
4	Total		\$260,040			\$137,917	\$122,122

Correction Academy

The Correction Academy trains recruits, uniformed officers, and civilians employed by the department. As of December 5, 2002, the date of our visit, there were 77 uniformed officers and 15 civilian employees in the unit.

The audit concluded that seven of the 77 uniformed officer positions within the unit could be civilianized because some of the functions of the officers assigned to the unit could be accomplished by civilians as they did not involve any contact with inmates and did not require the special skills of trained uniformed officers. These functions included scheduling DOC personnel for training, maintaining records and databases, handling personnel duties, and providing secretarial services.

Other functions of the unit were properly assigned to uniformed personnel. These functions included providing instruction for uniformed officers and recruits at the Academy, and supplying security services.

When we compared the average salaries and fringe benefits of the seven uniformed officer positions with those of civilians with comparable responsibilities, we concluded that DOC should civilianize all seven positions. Therefore, the audit concluded that DOC should employ civilians in seven of the 77 uniformed officer positions in the Correction Academy, for an annual savings of \$188,154, as shown in Table IV.

Table IV
Cost Savings from Civilianizing Seven Positions
in the Correction Academy

(1) No. of Positions	(2) Uniformed Title	(3) Uniformed Employee Average Salary & Fringe Benefits	(4) Total Uniformed Salary & Fringe Benefits (Col 1 x Col 3)	(5) Comparable Civilian Title	(6) Civilian Average Salary and Fringe Benefits	(7) Total Civilian Salary and Fringe Benefits (Col 6 x Col 1)	(8) Cost Savings (Col 4 - Col 7)
3	Correction Officer	\$65,010	\$195,030	Assistant Program Specialist	\$44,126	\$132,378	\$62,651
2	Correction Officer	\$65,010	\$130,020	Clerical Associate	\$26,736	\$53,472	76,547
1	Correction Officer	\$50,703	\$50,703	Secretary	\$29,619	\$29,619	\$21,084
1	Correction Officer	\$65,010	\$65,010	Principal Administrative Associate	\$37,139	\$37,139	\$27,871
7	Total		\$440,762			\$252,608	\$188,154

Correction Industries Division

The Correction Industries Division provides laundry, sewing, tailoring, printing, and bakery services for the department's detention facilities. As of October 29, 2002, the date of our visit, there were 48 uniformed officers and 22 civilian employees in the unit.

The audit concluded that four of the 48 uniformed officer positions within the unit could be civilianized because some of the functions of the officers assigned to the unit could be accomplished by civilians as they did not involve any unsupervised contact with inmates (i.e., while inmates are assigned to work details in this unit, they are supervised by uniformed officers) and did not require the special skills of trained uniformed officers. These functions included purchasing, personnel, billing, and laundry supervision services.

Other functions of the unit were properly assigned to uniformed personnel. These functions included transporting inmates to and from work details, as well as searching the inmates and supervising their work.

When we compared the average salaries and fringe benefits of the four uniformed officer positions with those of civilians with comparable responsibilities, we concluded that DOC should

civilianize all four positions. Therefore, the audit concluded that DOC should employ civilians in four of the 48 uniformed officer positions in the Correction Industries Division, for an annual savings of \$129,984, as shown in Table V.

Table V
Cost Savings from Civilianizing Four Positions
in the Correction Industries Division

(1) No. of Positions	(2) Uniformed Title	(3) Uniformed Employee Average Salary & Fringe Benefits	(4) Total Uniformed Salary & Fringe Benefits (Col 1 x Col 3)	(5) Comparable Civilian Title	(6) Civilian Average Salary and Fringe Benefits	(7) Total Civilian Salary and Fringe Benefits (Col 6 x Col 1)	(8) Cost Savings (Col 4 - Col 7)
1	Correction Officer	\$65,010	\$65,010	Assistant Laundry Supervisor	\$28,431	\$28,431	\$36,579
1	Correction Officer	\$65,010	\$65,010	Clerical Associate	\$26,736	\$26,736	\$38,274
1	Correction Officer	\$65,010	\$65,010	Purchasing Agent	\$41,464	\$41,464	\$23,546
1	Correction Officer	\$65,010	\$65,010	Bookkeeper	\$33,424	\$33,424	\$31,586
4	Total		\$260,040			\$130,055	\$129,984

Criminal Justice Bureau

The Criminal Justice Bureau monitors the production of inmates for court appearances; inspects courts' inmate holding pens; audits the classification of inmates for jail assignment purposes; monitors compliance by those sentenced to community service; provides videoconferencing services for inmates to be able to meet with attorneys, probation officers, and judges without leaving Rikers Island; transports inmates to parole violation hearings held on Rikers Island; supervises inmates at such hearings; and handles inmate property. As of November 8, 2002, the date of our visit, there were 44 uniformed officers and seven civilian employees in the bureau.

The audit concluded that nine of the 44 uniformed officer positions within the bureau could be civilianized because some of the functions of the officers assigned to the bureau could be accomplished by civilians as they did not involve any unsupervised contact with inmates (i.e., while those civilians assigned to classification audits in the detention facilities would come into contact with inmates, the civilians would be accompanied by uniformed personnel) and did not require the special skills of trained uniformed officers. These functions included:

- monitoring the effectiveness of the department in terms of its timely production of inmates for court appearances (Headquarters Unit);
- implementing administrative operations and accounting for equipment (Special Projects Unit);

- evaluating detention facility compliance with requirements and policies pertaining to the classification of inmates for housing purposes (Classification Unit);
- collecting parole violation information for the courts and implementing administrative operations (Donald Cranston Judicial Center); and
- implementing administrative operations, monitoring inmate funds and property, and providing secretarial services (Inmate Property Unit).

Other functions of the bureau were properly assigned to uniformed personnel. These functions included:

- transporting inmates to and from parole violation hearings at the Donald Cranston Judicial Center on Rikers Island;
- searching and supervising the inmates at the Center;
- escorting them to the hearing rooms;
- providing security at the Center;
- monitoring compliance with community service sentences in Brooklyn and the Bronx;
- inspecting inmate holding pens at the courts;
- evaluating detention facility compliance with requirements and policies pertaining to the classification of inmates for housing purposes (a combined civilian/uniformed function in that a civilian participates in the classification audits of detention facilities accompanied by uniformed staff); and
- handling inmate property stored in detention facilities.

When we compared the average salaries and fringe benefits of the nine uniformed officer positions with those of civilians with comparable responsibilities, we concluded that DOC should civilianize all nine positions. Therefore, the audit concluded that DOC should employ civilians in nine of the 44 uniformed officer positions in the Criminal Justice Bureau, for an annual savings of \$247,719, as shown in Table VI.

Table VI
Cost Savings from Civilianizing Nine Positions
in the Criminal Justice Bureau

(1) No. of Positions	(2) Uniformed Title	(3) Uniformed Employee Average Salary & Fringe Benefits	(4) Total Uniformed Salary & Fringe Benefits (Col 1 x Col 3)	(5) Comparable Civilian Title	(6) Civilian Average Salary and Fringe Benefits	(7) Total Civilian Salary and Fringe Benefits (Col 6 x Col 1)	(8) Cost Savings (Col 4 - Col 7)
1	Correction Officer	\$65,010	\$65,010	Correctional Standards Review Specialist	\$55,646	\$55,646	\$9,364
2	Correction Officer	\$65,010	\$130,020	Clerical Associate	\$26,736	\$53,472	\$76,547
3	Correction Officer	\$65,010	\$195,030	Staff Analyst	\$41,452	\$124,355	\$70,674
2	Correction Officer	\$65,010	\$130,020	Principal Administrative Associate	\$37,139	\$74,277	\$55,742
1	Correction Officer	\$65,010	\$65,010	Secretary	\$29,619	\$29,619	\$35,391
9	Total		\$585,089			\$337,370	\$247,719

Health Management Division

The Health Management Division (HMD) monitors sick leave use by uniformed officers, authorizes their return to duty, and conducts drug testing. As of November 25, 2002, the date of our visit, there were 53 uniformed officers and 35 civilian employees in the unit.

The audit concluded that 39 of the 53 uniformed officer positions within the unit could be civilianized because many of the functions of the officers assigned to the unit could be accomplished by civilians as they did not involve any contact with inmates and did not require the special skills of trained uniformed officers. These functions included:

- investigating potential sick leave abuse by uniformed officers;
- transporting urine samples for drug testing to the toxicology laboratory;
- transporting packages throughout the department;
- entering data;
- tracking data;
- answering telephone calls from officers calling in sick;
- supervising those answering such calls; and
- providing personnel and secretarial services.

We recognize that 20 of the 39 positions in this unit that we concluded could be civilianized were filled by uniformed officers who have been placed on restricted duty for health reasons and are being medically monitored. However, we believe that most of the officers placed on restricted duty for medical reasons could be re-assigned to limited correction officer duties performing functions that do not involve inmate contact but do require the skills of a uniformed officer.

Other functions of the unit were properly assigned to uniformed personnel. These functions included:

- supervising the investigation of potential sick leave abuse by uniformed officers;
- disciplining uniformed officers involved in sick leave abuse;
- monitoring the collection of urine samples from uniformed officers for drug testing; and
- providing security at the HMD unit.

When we compared the average salaries and fringe benefits of the 39 uniformed officer positions with those of civilians with comparable responsibilities, we concluded that DOC should civilianize all 39 positions. Therefore, the audit concluded that DOC should employ civilians in 39 of the 53 uniformed officer positions in the Health Management Division, for an annual savings of \$1,391,073, as shown in Table VII.

Table VII
Cost Savings from Civilianizing 39 Positions
in the Health Management Division

(1) No. of Posi- tions	(2) Uniformed Title	(3) Uniformed Employee Average Salary & Fringe Benefits	(4) Total Uniformed Salary & Fringe Benefits (Col 1 x Col 3)	(5) Comparable Civilian Title	(6) Civilian Average Salary and Fringe Benefits	(7) Total Civilian Salary and Fringe Benefits (Col 6 x Col 1)	(8) Cost Savings (Col 4 - Col 7)
25	Correction Officer	\$62,720	\$1,568,006	Clerical Associate	\$26,736	\$668,404	\$899,601
4	Correction Officer	\$62,720	\$250,881	Principal Administrative Associate	\$37,139	\$148,555	\$102,326
2	Correction Officer	\$62,720	\$125,440	Motor Vehicle Operator	\$30,245	\$60,489	\$64,951
1	Correction Officer	\$62,720	\$62,720	Secretary	\$29,619	\$29,619	\$33,101
5	Captain	\$81,349	\$406,744	Investigator (Discipline)	\$40,814	\$204,070	\$202,673
2	Captain	\$81,349	\$162,697	Principal Administrative Associate	\$37,139	\$74,277	\$88,420
39	Total		\$2,576,488			\$1,185,415	\$1,391,073

Inspectional Services and Compliance Division

The Inspectional Services and Compliance Division (ISCD) inspects and audits DOC’s detention facilities and other departmental units to determine their compliance with court mandates and departmental policies and procedures, and functions as the liaison with external oversight and audit agencies. As of January 24, 2003, the date of our visit, there were 30 uniformed officers and 12 civilian employees in the unit.

The audit concluded that five of the 30 uniformed officer positions within the unit could be civilianized because some of the functions of the officers assigned to the unit could be accomplished by civilians as they did not involve any unsupervised contact with inmates (i.e., while those civilians assigned to inspections and audits of detention facilities would come into contact with inmates, the civilians would be accompanied by uniformed personnel) and did not require the special skills of trained uniformed officers. These functions included conducting performance, operational, and financial inspections and audits in detention facilities and other departmental units; and collecting, tracking, and analyzing information.

Other functions of the unit were properly assigned to uniformed personnel. These functions primarily included conducting inspections and audits in detention facilities (a combined civilian/uniformed function in that a civilian could participate in the inspections and audits of detention facilities accompanied by uniformed staff).

When we compared the average salaries and fringe benefits of these five uniformed officer positions with those of civilians with comparable responsibilities, we concluded that DOC should civilianize all five positions. Therefore, the audit concluded that DOC should employ civilians in five of the 30 uniformed officer positions in the Inspectional Services and Compliance Division, for an annual savings of \$87,254, as shown in Table VIII.

Table VIII
Cost Savings from Civilianizing Five Positions
in the Inspectional Services and Compliance Division

(1) No. of Positions	(2) Uniformed Title	(3) Uniformed Employee Average Salary & Fringe Benefits	(4) Total Uniformed Salary & Fringe Benefits (Col 1 x Col 3)	(5) Comparable Civilian Title	(6) Civilian Average Salary and Fringe Benefits	(7) Total Civilian Salary and Fringe Benefits (Col 6 x Col 1)	(8) Cost Savings (Col 4 - Col 7)
2	Correction Officer	\$65,010	\$130,020	Correctional Standards Review Specialist I	\$51,342	\$102,685	\$27,335
3	Captain	\$77,516	\$232,549	Correctional Standards Review Specialist II	\$57,544	\$172,631	\$59,919
5	Total		\$362,569			\$275,316	\$87,254

Investigation Division

The Investigation Division is responsible for managing investigations of criminal acts and rule violations allegedly committed by DOC staff while they were on- or off-duty. As of February 25, 2003, the date of our visit, there were 43 uniformed officers and 15 civilian employees in the unit.

The audit concluded that 21 of the 43 uniformed officer positions within the unit could be civilianized because some of the functions of the officers assigned to the unit could be accomplished by civilians as they did not involve any unsupervised contact with inmates and did not require the special skills of trained uniformed officers. These functions included investigating alleged criminal acts and rule violations by DOC staff and a variety of administrative duties.

The head of this unit indicated that, in theory, all of the uniformed positions in the unit could be civilianized. The unit already has 10 civilian investigators. However, the official stated that there are practical limitations on civilianizing additional uniformed investigator positions. The official added that while the unit's investigators need not be uniformed officers, a background in law enforcement is desirable. Civilians without this experience need a great deal more time to develop the required investigative skills. The official further stated that salaries for civilian investigators are relatively low, leading to more turnover in these positions than among uniformed staff. The official argued that if salaries for civilian investigators could be raised, more civilians, including more individuals with a background in law enforcement, could be hired to replace more expensive uniformed staff. Based on our discussions with the unit head and our review of the unit's documentation on staff functions, we concluded that an effort to civilianize half of the unit's four assistant deputy wardens, six captains, and 32 correction officers would be a reasonable, intermediate-term goal, with the full civilianization of the unit remaining as a long-term goal.

When we compared the average salaries and fringe benefits of the 21 uniformed officers with those of civilians with comparable responsibilities, we concluded that DOC should civilianize all 21 positions. Therefore, the audit concluded that DOC should employ civilians in 21 of the 43 uniformed officer positions in the Investigation Division, for an annual savings of \$439,807, as shown in Table IX.

Table IX
Cost Savings from Civilianizing 21 Positions
in the Investigation Division

(1) No. of Posi- tions	(2) Uniformed Title	(3) Uniformed Employee Average Salary & Fringe Benefits	(4) Total Uniformed Salary & Fringe Benefits (Col 1 x Col 3)	(5) Comparable Civilian Title	(6) Civilian Average Salary and Fringe Benefits	(7) Total Civilian Salary and Fringe Benefits (Col 6 x Col 1)	(8) Cost Savings (Col 4 - Col 7)
7	Correction Officer	\$63,366	\$443,565	Investigator (Disciplinary)	\$42,363	\$296,539	\$147,026
7	Correction Officer	\$63,366	\$443,565	Associate Investigator	\$50,363	\$352,542	\$91,024
1	Correction Officer	\$63,366	\$63,366	Principal Admin. Assoc.	\$36,462	\$36,462	\$26,905
1	Correction Officer	\$63,366	\$63,366	Clerical Associate	\$26,736	\$26,736	\$36,630
3	Captain	\$76,135	\$228,405	Associate Investigator	\$50,363	\$151,089	\$77,316
2	Assistant Deputy Warden	\$87,999	\$175,998	Senior Program Specialist	\$57,546	\$115,091	\$60,907
21	Total		\$1,418,267			\$978,460	\$439,807

Management and Planning Bureau

The Bureau of Management and Planning oversees the operations of the jails and hospital prison ward at Rikers Island, inspects and audits these facilities for compliance with court mandates and departmental standards, handles the civilian timekeeping function for these jails, and monitors the use of overtime throughout the department. As of January 16, 2003, the date of our visit, there were 30 uniformed officers and one civilian employee in the unit.

The audit concluded that 12 of the 30 uniformed officer positions within the unit could be civilianized because some of the functions of the officers assigned to the unit could be accomplished by civilians as they did not involve any unsupervised contact with inmates (i.e., while those civilians assigned to inspections and audits of detention facilities would come into contact with inmates, the civilians would be accompanied by uniformed personnel) and did not require the special skills of trained uniformed officers. These functions included:

- providing administrative, personnel, timekeeping, payroll submission, and overtime monitoring services;
- maintaining a database;
- collecting, tracking, reviewing, and analyzing information;
- preparing reports and memorandums;
- conducting inspections and audits of Rikers Island detention facilities;

- monitoring mental health discharge planning; and
- providing secretarial services.

Other functions of the unit were properly assigned to uniformed personnel. These functions included:

- investigating use-of-force incidents, inmate fights, and inmate complaints;
- monitoring security concerns at the Rikers Island jails and prison ward;
- supporting scheduled inmate search operations; and
- conducting inspections and audits of the jails and the prison ward (a combined civilian/uniformed function in that a civilian could participate in the inspections and audits of detention facilities accompanied by uniformed staff).

When we compared the average salaries and fringe benefits of the 12 uniformed officer positions with those of civilians with comparable responsibilities, we concluded that DOC should civilianize all 12 positions. Therefore, the audit concluded that DOC should employ civilians in 12 of the 30 uniformed officer positions in the Bureau of Management and Planning, for an annual savings of \$281,351, as shown in Table X.

Table X
Cost Savings from Civilianizing 12 Positions
in the Management and Planning Bureau

(1) No. of Positions	(2) Uniformed Title	(3) Uniformed Employee Average Salary & Fringe Benefits	(4) Total Uniformed Salary & Fringe Benefits (Col 1 x Col 3)	(5) Comparable Civilian Title	(6) Civilian Average Salary and Fringe Benefits	(7) Total Civilian Salary and Fringe Benefits (Col 6 x Col 1)	(8) Cost Savings (Col 4 - Col 7)
4	Correction Officer	\$65,010	\$260,040	Correctional Standards Review Specialist I	\$51,342	\$205,370	\$54,670
2	Correction Officer	\$65,010	\$130,020	Clerical Associate	\$26,736	\$53,472	\$76,547
2	Correction Officer	\$65,010	\$130,020	Principal Administrative Associate	\$39,438	\$78,876	\$51,144
1	Correction Officer	\$65,010	\$65,010	Secretary	\$29,619	\$29,619	\$35,391
3	Captain	\$78,743	\$236,229	Correctional Standards Review Specialist II	\$57,544	\$172,631	\$63,599
12	Total		\$821,318			\$539,967	\$281,351

Special Operations Division

The Special Operations Division coordinates and supports responses to inmate-related emergencies, conducts gang intelligence operations, and provides security services throughout

Rikers Island. As of February 13, 2003, the date of our visit, there were 359 uniformed officers and 24 civilians in the unit.

The audit concluded that 10 of the 359 uniformed officer positions within the unit could be civilianized because some of the functions of the officers assigned to the unit could be accomplished by civilians as they did not involve any unsupervised contact with inmates and did not require the special skills of trained uniformed officers. These functions included:

- providing personnel and administrative services;
- maintaining a database;
- collecting, tracking, reviewing, and analyzing information; and
- serving as support staff on the department's maritime vessels.

Other functions of the unit were properly assigned to uniformed personnel. These functions included:

- coordinating and supporting responses to inmate-related emergencies;
- conducting gang intelligence operations;
- investigating and arresting inmates for crimes committed while in custody;
- providing security services throughout Rikers Island through security post and patrol operations;
- supervising inmate work details; and
- serving on the department's maritime vessels (a combined civilian/uniformed function in that some civilians could support the uniformed staff assigned to harbor patrol responsibilities).

When we compared the average salaries and fringe benefits of the 10 uniformed officer positions with those of civilians with comparable responsibilities, we concluded that DOC should civilianize all 10 positions. Therefore, the audit concluded that DOC should employ civilians in 10 of the 359 uniformed officer positions in the Special Operations Division, for an annual savings of \$269,477, as shown in Table XI.

Table XI
Cost Savings from Civilianizing 10 Positions
in the Special Operations Division

(1) No. of Positions	(2) Uniformed Title	(3) Uniformed Employee Average Salary & Fringe Benefits	(4) Total Uniformed Salary & Fringe Benefits (Col 1 x Col 3)	(5) Comparable Civilian Title	(6) Civilian Average Salary and Fringe Benefits	(7) Total Civilian Salary and Fringe Benefits (Col 6 x Col 1)	(8) Cost Savings (Col 4 - Col 7)
3	Correction Officer	\$64,395	\$193,185	Mate	\$44,833	\$134,500	\$58,685
3	Correction Officer	\$64,395	\$193,185	Clerical Associate	\$26,736	\$80,209	\$112,977
3	Correction Officer	\$64,395	\$193,185	Principal Administrative Associate	\$39,438	\$118,314	\$74,872
1	Correction Officer	\$64,395	\$64,395	Staff Analyst	\$41,452	\$41,452	\$22,943
10	Total		\$643,950			\$374,474	\$269,477

Support Services Division

The Support Services Division is responsible for repairing and maintaining the department's buildings, roadways, and utilities. As of October 9, 2002, the date of our visit, there were 64 uniformed officers and 141 civilian employees in the unit.

The audit concluded that six of the 64 uniformed officer positions within the unit could be civilianized because some of the functions of the officers assigned to the unit could be accomplished by civilians as they did not involve any contact with inmates and did not require the special skills of trained uniformed officers. These functions included inspecting and recalibrating contraband detection equipment (magnetometers), and handling personnel and administrative duties.

Other functions of the unit were properly assigned to uniformed personnel. These functions included:

- supervising inmate work details;
- tracking inmates assigned to these details;
- escorting civilians and outside contractors to work sites in detention facilities; and
- providing security at the Rikers Island Powerhouse.

When we compared the average salaries and fringe benefits of the six uniformed officer positions with those of civilians with comparable responsibilities, we concluded that DOC should civilianize all six positions. Therefore, the audit concluded that DOC should employ civilians in six of the 64 uniformed officer positions in the Support Services Division, for an annual savings of \$158,196, as shown in Table XII.

Table XII
Cost Savings from Civilianizing Six Positions
in the Support Services Division

(1) No. of Positions	(2) Uniformed Title	(3) Uniformed Employee Average Salary & Fringe Benefits	(4) Total Uniformed Salary & Fringe Benefits (Col 1 x Col 3)	(5) Comparable Civilian Title	(6) Civilian Average Salary and Fringe Benefits	(7) Total Civilian Salary and Fringe Benefits (Col 6 x Col 1)	(8) Cost Savings (Col 4 - Col 7)
1	Correction Officer	\$65,010	\$65,010	Principal Administrative Associate	\$37,139	\$37,139	\$27,871
1	Correction Officer	\$65,010	\$65,010	Clerical Associate	\$26,736	\$26,736	\$38,274
4	Correction Officer	\$65,010	\$260,040	Maintenance Worker	\$41,997	\$167,989	\$92,051
6	Total		\$390,060			\$231,864	\$158,196

Transportation Division

The Transportation Division is charged with providing for the safe and secure transportation of inmates, staff, visitors, and cargo; and with designing, purchasing, tracking, and maintaining its fleet of 545 City-owned vehicles. As of December 19, 2002, the date of our visit, there were 425 uniformed officers and 76 civilians in the unit.

The audit concluded that 30 of the 425 uniformed officer positions within the unit could be civilianized because some of the functions of the officers assigned to the unit could be accomplished by civilians as they did not involve any unsupervised contact with inmates and did not require the special skills of trained uniformed officers. These functions included:

- directing vehicle use;
- planning the use of vehicles;
- tracking vehicle use and registration;
- dispatching vehicles;
- purchasing and salvaging vehicles;
- supervising the vehicle parts room;
- managing the repair and maintenance of motor vehicles;
- purchasing vehicle servicing equipment and supplies;
- operating motor vehicles;
- collecting and tracking information on driver's licenses, driver training, and accidents;
- investigating accidents; and
- providing personnel services.

Other functions of the unit were properly assigned to uniformed personnel. These functions included:

- transporting inmates to court appearances, upstate prisons, clinics, and hospitals;
- transporting extradited inmates from other states to DOC detention facilities;
- providing security services; and
- supervising inmate work details.

When we compared the average salaries and fringe benefits of the 30 uniformed officer positions with those of civilians with comparable responsibilities, we concluded that DOC should civilianize all 30 positions. Therefore, the audit concluded that DOC should employ civilians in 30 of the 425 uniformed officer positions in the Transportation Division, for an annual savings of \$847,981, as shown in Table XIII.

Table XIII
Cost Savings from Civilianizing 30 Positions
in the Transportation Division

(1) No. of Positions	(2) Uniformed Title	(3) Uniformed Employee Average Salary & Fringe Benefits	(4) Total Uniformed Salary & Fringe Benefits (Col 1 x Col 3)	(5) Comparable Civilian Title	(6) Civilian Average Salary and Fringe Benefits	(7) Total Civilian Salary and Fringe Benefits (Col 6 x Col 1)	(8) Cost Savings (Col 4 - Col 7)
4	Correction Officer	\$64,103	\$256,411	Motor Vehicle Operator	\$34,601	\$138,404	\$118,007
4	Correction Officer	\$64,103	\$256,411	Motor Vehicle Supervisor	\$42,258	\$169,030	\$87,381
2	Correction Officer	\$64,103	\$128,205	Clerical Associate	\$26,736	\$53,472	\$74,733
1	Correction Officer	\$64,103	\$64,103	Purchasing Agent	\$41,464	\$41,464	\$22,639
6	Correction Officer	\$64,103	\$384,616	Dispatcher	\$40,441	\$242,646	\$141,970
3	Captain	\$79,450	\$238,351	Director of Motor Trans.	\$57,109	\$171,326	\$67,025
2	Captain	\$79,450	\$158,901	Super. Of Mech. (Mech. Equip.)	\$63,824	\$127,648	\$31,253
1	Captain	\$79,450	\$79,450	Super. Of Stock Workers	\$35,635	\$35,635	\$43,816
1	Captain	\$79,450	\$79,450	Staff Analyst	\$41,452	\$41,452	\$37,999
6	Captain	\$79,450	\$476,703	Motor Vehicle Supervisor	\$42,258	\$253,545	\$223,158
30	Total		\$2,122,601			\$1,274,622	\$847,981

* * *

Based on our review of the 12 largest non-incarceration units in the department, we, therefore, conclude that 167 of the 1,235 uniformed positions in these units should be civilianized, for a total savings of over \$4.7 million. We recognize that current budget circumstances most likely will not allow the Department of Correction to hire additional employees in the near future. However, as uniformed personnel resign, retire, or otherwise leave the department, lower cost civilian personnel should be hired or transferred to these units to begin to assume some of the civilian-type functions currently being performed by uniformed officers. If the proposed merger between the Departments of Correction and Probation is approved, then civilians in the Department of Probation could also be available for transfer to these units.

Recommendations

1. The Department of Correction should review and civilianize the 167 positions identified in this report that are civilian in nature and held by uniformed officers in 12 non-incarceration units.

DOC Response: “While we largely agree with the auditor’s findings, we wish to express some disagreements and concerns. Some of the agency’s concerns are already explained in the body of the draft report and encompass issues such as the need for having sufficient numbers of officers to provide support in emergencies, the need for appropriate representation at funerals and other ceremonies and officer redeployment duties. We will not reiterate these as the reader can discern them ... [in the report].

“Most importantly, at the exit conference, we explained to the auditors that we believe that it would be impractical to civilianize 51 positions. ... [These positions] were currently being manned by: (1) uniform staff on temporary duty assignment (TDY) or (2) uniform staff on restricted duty for medical reasons (MMR). ...

“To further clarify these designations, TDY personnel are full duty personnel, temporarily assigned from their parent command to another command in order to perform a special project or assignment. This method of staffing is part of a departmental initiative specifically utilized to avoid the occurrence of overtime costs. Without these strategic TDY placements, such undesired costs would, most likely, have been realized. Unfortunately, the TDY issue was not covered in the draft report.

“Since the audit the Department has reduced the number of officers in this status by nearly 45% (in the 12 commands sampled by the auditors). These officers, in effect, were returned to their parent command. We have implemented similar TDY reductions throughout the agency.”

“It is the policy of the agency that uniformed staff will be designated as MMR and placed in one of three MMR categories only by the Health Management Division medical staff. It is also policy that, wherever possible, depending on the type of medical restriction, all such designated personnel remain in their parent command.

“In the case of the 24 [medically monitored] officers ..., all are in the medical category with the severest restrictions and have, therefore, been deemed to have serious physical and/or psychological limitations. Each officer’s work limitations are based upon an ongoing series of examinations made by physicians. We contend, therefore, that the temporary handling of administrative tasks as described ... [in the report], if medically warranted, is not unreasonable.”

“In conclusion, we are hopeful that the Comptroller’s staff will re-visit their conclusion regarding civilianizing these 51 positions in the final report. We will, however, further review and if appropriate, civilianize the balance (116) of the 167 positions.”

Auditors’ Comments: We commend DOC’s constructive response to the audit report and the high degree of professionalism displayed by DOC throughout the audit.

In reference to the temporary duty assignment (TDY) issue, our recommendations to civilianize positions were based on the temporary and permanent uniformed positions in the units when we visited them. DOC’s statement that it has returned many TDY officers to their regular units does not alter the fact that, at the time of our visits, uniformed officers were performing civilian functions. Simply reducing the number of TDY assignments does not address our civilianization recommendations. If the civilian functions we identified in these units are still being performed by uniformed officers, then opportunities for savings through civilianization still exist.

In reference to the medically monitored officer issue, our recommendations that DOC civilianize certain positions held by such officers were based on our conclusion that most of the officers placed on restricted duty for medical reasons could be re-assigned to limited correction officer duties. These duties could, for example, include a variety of general security functions that do not involve inmate contact, such as screening and monitoring visitors. Some officers in the 12 units we reviewed had been placed in the most restrictive medical category, but were nonetheless assigned general security functions of this nature. We did not recommend that any of these positions be civilianized. The positions held by medically monitored officers that we recommended for civilianization were mostly clerical in nature, primarily involving answering telephones. We believe that DOC could identify other tasks for such officers that would not involve inmate contact, but would make more productive use of their special training and skills.

2. The Department of Correction should conduct a comprehensive review of all of its non-incarceration units to identify additional civilianizable positions that would generate cost savings.

DOC Response: “We concur and will conduct a review of the remaining non-incarceration units for the purpose of achieving further cost savings by civilianizing further posts.”



**NEW YORK CITY DEPARTMENT OF CORRECTION
Martin F. Horn, Commissioner**

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April 25, 2003

**Greg Brooks
Deputy Commissioner
Policy, Audits, Accountancy and Contracts
Office of the City Comptroller
1 Centre Street
New York, N.Y. 10007-2341**

Dear Commissioner Brooks:

Attached is this agency's response to your Draft Audit Report on Potential Savings from Civilianizing Positions in Non-Incarceration Units. At the outset, I would like to express my sincere appreciation to your audit staff for the time and effort they invested to identify uniformed positions that can be civilianized at the Department of Correction. These efforts have pointed to several fruitful areas where cost savings can indeed be achieved.

It has been our experience in the past, that an audit report devotes little effort to reviewing operations that are efficient and effective. To our satisfaction, the current draft report is fair and balanced, highlighting both those areas in need of improvement while addressing activities that are functioning with appropriate personnel. Therefore, I am gratified that this report largely yielded very positive results.

While we largely agree with the auditor's findings, we also have some disagreements and concerns expressed in the attached pages that address each of your recommendations. Please include our entire response as an appendix of the final audit report.

If you have any questions regarding this response, please contact Leroy Grant, Bureau Chief, Inspectional Services and Compliance Division at (718) 546-8155.

Sincerely,

MARTIN F. HORN

Potential Savings From Civilianizing Positions in Non- Incarceration Units

MG03-079A

Recommendation #1:

The Department of Correction should review and civilianize the 167 positions identified in the report that are civilian in nature and held by uniform officers in 12 non-incarceration units.

Agency Response:

While we largely agree with the auditor's findings, we wish to express some disagreements and concerns. Some of the agency's concerns are already explained in the body of the draft report and encompass issues such as the need for having sufficient numbers of officers to provide support in emergencies, the need for appropriate representation at funerals and other ceremonies and officer redeployment duties. We will not reiterate these as the reader can discern them on pages 8 and 9 in the draft report.

Most importantly, at the exit conference, we explained to the auditors that we believe that it would be impractical to civilianize 51 positions (some 30%) of the total of 167 that they identified in the draft audit report. Prior to the conference, we had requested the auditors to identify which positions, of the 167 positions they recommended to be civilianized, were currently being manned by: (1) uniform staff on temporary duty assignment (TDY) or (2) uniform staff on restricted duty for medical reasons (MMR). Their research identified a total of 51 of these positions.

To further clarify these designations, TDY personnel are full duty personnel, temporarily assigned from their parent command to another command in order to perform a special project or assignment. This method of staffing is part of a departmental initiative specifically utilized to avoid the occurrence of overtime costs. Without these strategic TDY placements, such undesired costs would, most likely, have been realized. Unfortunately, the TDY issue was not covered in the draft report.

Since the audit the Department has reduced the number of officers in this status by nearly 45% (in the 12 commands sampled by the auditors). These officers, in effect, were returned to their parent command. We have implemented similar TDY reductions throughout the agency.

As noted above, the auditors identified a total of 24 such positions manned by medically monitored officers in the 12 Units essentially performing administrative tasks. The report indicates on page 14: "these officers could be re-assigned to limited correction officer duties performing functions that do not involve inmate contact but do require the skills of a uniformed officer."

It is the policy of the agency that uniformed staff will be designated as MMR and placed in one of three MMR categories only by the Health Management Division medical staff. It is also policy that, wherever possible, depending on the type of medical restriction, all such designated personnel remain in their parent command.

In the case of the 24 officers referred to above, all are in the medical category with the severest restrictions and have, therefore, been deemed to have serious physical and/or psychological limitations. Each officer's work limitations are based upon an ongoing series of examinations made by physicians. We contend, therefore, that the temporary handling of administrative tasks as described on 16 of the draft report, if medically warranted, is not unreasonable.

We were pleased to learn at the exit conference that 30 additional officers in the 12 units, (beyond the 24 discussed above) that were in the category of severest duty restrictions, were found by the auditors to be performing functions that were consistent with correction officer duties.

In conclusion, we are hopeful that the Comptroller's staff will re-visit their conclusions regarding civilianizing these 51 positions in the final report. We will, however, further review and if appropriate, civilianize the balance (116) of the 167 positions.

Recommendation #2:

The Department of Correction should conduct a comprehensive review of all of its non-incarceration units to identify additional civilianizable positions that would generate cost savings.

Agency Response:

We concur and will conduct a review of the remaining non-incarceration units for the purpose of achieving further cost savings by civilianizing further posts.

C: Gary M. Lanigan, Senior Deputy Commissioner
Florence Hutner, Deputy Commissioner, Legal Matters
Leroy Grant, Bureau Chief, ISCD

Mayor's Office of Operations
Robert Bernstein, Audit Liaison