



# DEPARTMENT OF INVESTIGATION

Rose Gill Hearn, Commissioner

## What We Do

The Department of Investigation (DOI) promotes and maintains integrity and efficiency in City government operations by investigating City employees and contractors who may be engaged in corrupt activities or unethical conduct. It has oversight of more than 45 Mayoral agencies with 300,000 employees, as well as more than 200 City boards and commissions. The Department studies City agencies' vulnerabilities to determine if corrective action is necessary and recommends actions to prevent criminal misconduct and waste.

## Our Services and Goals

**Service 1: Investigate possible corruption, fraud, waste and unethical conduct in City government.**

Goal 1a: Maintain the integrity of City agencies, employees, contract vendors and other recipients of City funds.

Goal 1b: Improve the impact and effectiveness of investigations.

**Service 2: Conduct background and fingerprint checks for certain City employees, contractors and day care workers.**

Goal 2a: Ensure that all background investigations and fingerprint checks are conducted in a timely manner.

## How We Performed in Fiscal 2013

**Service 1: Investigate possible corruption, fraud, waste and unethical conduct in City government.**

**Goal 1a: Maintain the integrity of City agencies, employees, contract vendors and other recipients of City funds.**

During Fiscal 2013 DOI continued to promote and maintain the integrity and efficiency of City agencies, employees, vendors and recipients of City funds. While the overall 5 year trend for complaints received by the Department is down, the number of complaints received in Fiscal 2013 increased slightly compared to Fiscal 2012. DOI's commitment to cure operational vulnerabilities and deficiencies in City agencies led to a 49 percent increase in the number of policy and procedure recommendations issued to City agencies, with 72 percent of those recommendations adopted by the agencies during the fiscal year. Contributing to the substantial increase in recommendations was an initiative to update the [New York City Marshals Handbook of Regulations](#), which specifies policies and best practices. The number of corruption prevention and whistleblower lectures conducted by the agency increased 28 percent, exceeding targeted projections for the fiscal year due to the Department's robust corruption lecture program that educates and ensures that employees, contractors and those agencies under major investigations remain cognizant of corruption vulnerabilities. Similarly, the Department's continual focus on vendor integrity led to a 40 percent increase in the number of integrity monitoring agreements in Fiscal 2013. While the percentage of VENDEX checks of companies doing business with the City completed within 30 days decreased due to an agency disruption in VENDEX operations caused by Hurricane Sandy, performance remained high at 93 percent, slightly less than the target of 95 percent.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14		
★ Complaints	14,594	13,825	13,639	12,595	12,644	*	*	Neutral	Down
★ Written policy and procedure recommendations to City agencies	460	357	310	374	557	*	300	Neutral	Up
Written policy and procedure recommendations implemented by City agencies (%)	NA	NA	NA	NA	72%	*	75%	Neutral	NA
★ Corruption prevention and whistleblower lectures conducted	546	625	446	478	611	300	400	Up	Neutral
Integrity monitoring agreements	7	5	12	15	21	*	*	Neutral	Up
VENDEX checks completed within 30 days (%)	NA	60%	98%	98%	93%	95%	95%	Up	NA

★ Critical Indicator "NA" - means Not Available in this report ↕ ↗ shows desired direction

### Goal 1b: Improve the impact and effectiveness of investigations.

DOI continued to improve the impact and effectiveness of its investigations in a timely manner with performance in most areas exceeding Fiscal 2012 levels. Prioritizing the expeditious disposition of cases during the reporting period, DOI decreased the average time to complete an investigation by 28 percent while closing approximately the same number of cases. The 5 year trend for the average time is also down. The number of referrals for civil and administrative action decreased by 7 percent and referrals for criminal prosecution increased by 5 percent compared to Fiscal 2012 due to enhanced efficiency in completing criminal investigations. Hitting an all-time high, arrests resulting from investigations increased by 4 percent during Fiscal 2013. The 5 year trend for arrests is also up. The Department credits the increase to the targeting of systemic corruption vulnerabilities and effective use of investigative resources. Financial recoveries to the City ordered/agreed decreased by 93 percent and recoveries collected decreased by 99 percent compared to Fiscal 2012. It should be noted that in Fiscal 2012 financial recoveries reported was historically high as a result of a large settlement agreement stemming from the CityTime investigation. The 5 year trend for financial recoveries is up.

Average time to complete an investigation (days) and Investigations closed



Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14		
★ Average time to complete an investigation (days)	277	296	275	229	164	*	180	Down	Down
★ Referrals for civil and administrative action	1,867	1,876	1,100	1,334	1,235	*	1,000	Neutral	Down
★ Referrals for criminal prosecution	630	753	1,017	1,000	1,053	*	750	Neutral	Up
★ Arrests resulting from DOI investigations	731	822	790	808	840	*	*	Neutral	Up
★ Financial recoveries to the City ordered/agreed (\$000)	\$16,184	\$18,087	\$20,986	\$523,356	\$38,428	*	\$18,000	Up	Up
★ Financial recoveries to the City collected (\$000)	\$6,634	\$8,538	\$9,974	\$477,784	\$6,041	*	\$10,000	Up	Up

★ Critical Indicator "NA" - means Not Available in this report ↕ ↗ shows desired direction

**Service 2: Conduct background and fingerprint checks for certain City employees, contractors and day care workers.**

**Goal 2a: Ensure that all background investigations and fingerprint checks are conducted in a timely manner.**

Background investigations and fingerprint checks conducted in a timely manner both improved in Fiscal 2013. The average time to complete a background investigation decreased 15 percent due to the Background unit's focus on completing its oldest cases. The 5 year trend for the average time to complete a background investigation is also down. Similarly, the percentage of background investigations closed within six months increased by 7 percentage points to 59 percent in Fiscal 2013, slightly below the target of 60 percent. Continuing its downward trend, the average time to notify agencies of prospective childcare, home care and family care workers with criminal records was one day in Fiscal 2013, well below the target of four days. The average time to notify agencies of arrest notifications for current childcare, home care and family care workers increased to two days due to the effects of Hurricane Sandy which temporarily deactivated the Department's system used for sending out notifications. Additionally, the State Division of Criminal Justice Services experienced a shutdown of its operations on two occasions that resulted in a backlog of notifications received by the Department.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14		
★ Average time to complete a background investigation (days)	310	451	370	313	266	*	300	Down	Down
★ Background investigations closed within six months (%)	60%	53%	60%	52%	59%	60%	60%	Up	Neutral
★ Time to notify agencies of prospective childcare, home care and family care workers with criminal records after receipt from State Division of Criminal Justice Services and FBI (days)	4	4	2	1	1	4	2	Down	Down
Time to notify agencies of arrest notifications for current childcare, home care and family care workers after receipt from State Division of Criminal Justice Services (days)	NA	NA	2	1	2	*	*	Down	NA

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## Agency Customer Service

During each of the past five fiscal years DOI has responded to all e-mails and letters within the target of 14 days.

Performance Indicators	Actual					Target		5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14	
Customer Experience								
E-mails responded to in 14 days (%)	100	100	100	100	100	100	100	Neutral
Letters responded to in 14 days (%)	100	100	100	100	100	100	100	Neutral
Average customer in-person wait time (minutes)	3	3	3	3	3	3	3	Neutral
Completed customer requests for interpretation	33	54	65	37	38	NA	NA	Neutral
CORE customer experience rating (0-100)	NA	80	83	95	93	90	90	NA

## Agency Resources

Resource Indicators	Actual					Plan <sup>1</sup>		5yr Trend
	FY09	FY10	FY11	FY12	FY13	FY13	FY14	
Expenditures (\$000,000) <sup>2</sup>	\$24.2	\$22.7	\$21.7	\$21.3	\$39.4	\$32.8	\$21.9	Up
Revenues (\$000,000)	\$3.1	\$4.5	\$7.3	\$4.6	\$3.1	\$3.8	\$3.8	Neutral
Personnel	234	217	197	192	199	232	228	Down
Overtime paid (\$000)	\$20	\$34	\$104	\$37	\$103	\$89	\$46	Up

<sup>1</sup>Authorized Budget Level

<sup>2</sup>Expenditures include all funds.

"NA" - Not Available in this report

## Noteworthy Changes, Additions or Deletions

- The Department revised Fiscal 2012 values for 'current investigations,' 'investigations closed,' 'written policy and procedure recommendations to City agencies,' 'referrals for civil and administrative action,' 'referrals for criminal prosecution,' 'arrests resulting from DOI investigations,' 'average time to complete an investigation (days),' '-significant investigations' and '-routine investigations' to reflect updated data.
- DOI added the indicator 'written policy and procedure recommendations implemented by City agencies (%)' to measure formal written recommendations to cure operational vulnerabilities that have been adopted by City agencies.

For more information on the agency, please visit: [www.nyc.gov/doi](http://www.nyc.gov/doi).