



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. In 2014 DOI also established the City's first Office of the Inspector General for the New York City Police Department (NYPD), a unit that will investigate, review, study, audit and make recommendations relating to the operations, policies, programs and practices of NYPD.

FOCUS ON EQUITY

DOI focuses on equitable service delivery by rooting out municipal corruption and examining systemic issues that undermine good government and New Yorkers' access to services. Toward that end, DOI reviews City agencies' policies and procedures to identify vulnerabilities and suggests concrete ways to strengthen internal controls so public dollars are saved and operations improved. Further, DOI works to improve the integrity, effectiveness and credibility of City government by investigating cases involving corruption, waste, fraud and inefficiency in City government. An example of its mandate is the newly-established Office of the Inspector General for the New York City Police Department, which brings DOI's anti-corruption mission to the City's police force with the goal of enhancing the NYPD's effectiveness, increasing public safety, protecting civil liberties and civil rights and increasing the public's confidence in the police force. DOI serves the Mayor and the people of New York City by acting as an independent and nonpartisan watchdog for City government.

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 2014

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 2014 DOI continued to promote and maintain the integrity and efficiency of City agencies, employees, vendors and recipients of City funds. DOI's objectives are to safeguard taxpayer funds, root out conflicts of interest and fraud against the City, and ensure that New Yorkers are best served by their City government. The overall five year trend for complaints received by the Department remained neutral with the number of complaints received in Fiscal 2014 relatively stable compared to Fiscal 2013. The number of policy and procedure recommendations decreased, as DOI focused in the second half of the fiscal year on commencing complex, systemic external reviews of agency policies and practices in order to identify problematic issues and recommend concrete, workable resolutions that improve City government. Such complex investigations take a longer time to complete and often generate less individual recommendations. Of the recommendations issued during the period 45 percent have thus far been adopted. DOI is in contact with the relevant City agencies regarding the pending policy and procedure recommendations.

While significantly exceeding targeted projections, the number of corruption prevention and whistleblower lectures conducted by the agency decreased 12 percent as DOI reallocated resources towards larger investigations. Similarly, there was a 14 percent decrease in the number of integrity monitoring agreements due to DOI investigations not warranting the need for as many integrity monitors during the fiscal year. The percentage of VENDEX checks of companies doing business with the City completed within 30 days decreased five percentage points and was below target due to an unusually high volume of fiscal year-end requests for social service and education contracts.

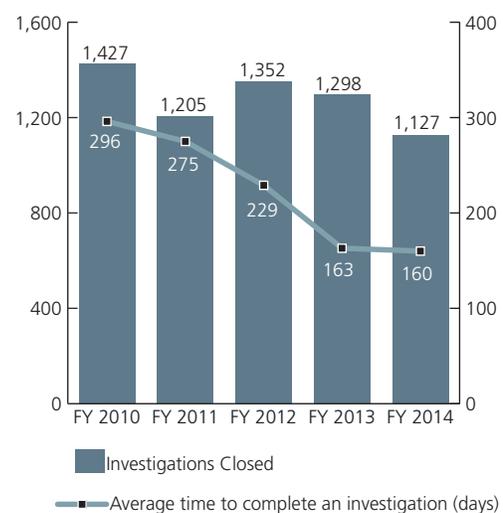
Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY10	FY11	FY12	FY13	FY14	FY14	FY15		
★ Complaints	13,825	13,639	12,595	12,659	12,622	*	*	Neutral	Neutral
★ Written policy and procedure recommendations to City agencies	357	310	374	564	280	300	300	Neutral	Up
Written policy and procedure recommendations implemented by City agencies (%)	NA	NA	NA	72%	45%	75%	75%	Neutral	NA
★ Corruption prevention and whistleblower lectures conducted	625	446	478	611	535	400	400	Up	Neutral
Integrity monitoring agreements	5	12	15	21	18	*	*	Neutral	Up
VENDEX checks completed within 30 days (%)	60%	98%	98%	93%	88%	95%	95%	Up	Up

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

Goal 1b Improve the impact and effectiveness of investigations.

The Department is focused on conducting broad investigations that identify systemic issues and recommending how to prevent such problems going forward in order to improve how government operates and serves New Yorkers and enhance confidence in City government. The impact of this kind of broad investigative work, which attacks corruption through investigative and reform strategies, may be measured with modified indicators and statistics in 2015. Indeed, with this comprehensive strategy of strengthening accountability and instilling greater confidence in City government, the Department anticipates that many of the investigation-related indicators will decline from historic averages. For reasons discussed above, the number of referrals for civil and administrative action, referrals for criminal prosecution and arrests resulting from investigations decreased 25 percent, 42 percent and 36 percent, respectively, compared to Fiscal 2013. The five year trend for the average time to complete an investigation is down and the Department's

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



Fiscal 2014 completion time was well below target for the year reflecting DOI's rapid disposition of its cases during the period. Financial recoveries to the City ordered/agreed decreased 71 percent, while recoveries collected increased substantially due to \$27.4 million in federal forfeiture funds DOI received stemming from the CityTime investigation. The five year trend for financial recoveries is up.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY10	FY11	FY12	FY13	FY14	FY14	FY15		
★Average time to complete an investigation (days)	296	275	229	163	160	185	185	Down	Down
★Referrals for civil and administrative action	1,876	1,100	1,334	1,235	930	1,000	1,000	Neutral	Down
★Referrals for criminal prosecution	753	1,017	1,000	1,053	612	750	750	Neutral	Down
★Arrests resulting from DOI investigations	822	790	808	840	540	*	*	Neutral	Down
★Financial recoveries to the City ordered/agreed (\$000)	\$18,087	\$20,986	\$523,356	\$38,428	\$11,144	\$18,000	\$18,000	Up	Neutral
★Financial recoveries to the City collected (\$000)	\$8,538	\$9,974	\$477,784	\$6,041	\$33,248	\$10,000	\$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 improved in Fiscal 2014. Continuing to focus on completing its oldest cases, DOI reduced the average time to complete a background investigation by six percent, surpassing targeted projections. The five year trend for completing background investigations is also down. The percentage of background investigations closed within six months decreased by four percentage points to 55 percent in Fiscal 2014, below the target of 60 percent due to an increased volume of investigations undertaken during the period. The average time to notify agencies of prospective childcare, home care and family care workers with criminal records remained stable at one day, well below the target of two days. Similarly, the average time to notify agencies of arrest notifications for current childcare, home care and family care workers decreased to one day in Fiscal 2014.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY10	FY11	FY12	FY13	FY14	FY14	FY15		
★Average time to complete a background investigation (days)	451	370	313	266	251	300	300	Down	Down
★Background investigations closed within six months (%)	53%	60%	52%	59%	55%	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	2	1	1	1	2	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	2	1	2	1	*	*	Down	NA

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AGENCY CUSTOMER SERVICE

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY10	FY11	FY12	FY13	FY14	FY14	FY15		
Customer Experience									
Completed requests for interpretation	54	65	37	38	17	*	*	Neutral	Down
Letters responded to in 14 days (%)	100%	100%	100%	100%	100%	*	*	Up	Neutral
E-mails responded to in 14 days (%)	100%	100%	100%	100%	100%	*	*	Up	Neutral
Average wait time to speak with a customer service agent (minutes)	3	3	3	3	3	*	*	Down	Neutral
CORE facility rating	80	83	95	93	93	*	*	Up	Up

AGENCY RESOURCES

Resource Indicators	Actual					Plan ¹		5-year Trend
	FY10	FY11	FY12	FY13	FY14	FY14	FY15	
Expenditures (\$000,000) ²	\$22.7	\$21.7	\$21.3	\$36.4	\$44.3	\$43.1	\$27.6	Up
Revenues (\$000,000)	\$4.5	\$7.3	\$4.6	\$3.1	\$3.1	\$3.8	\$3.8	Down
Personnel	217	197	192	199	212	269	292	Neutral
Overtime paid (\$000)	\$34	\$104	\$37	\$212	\$205	\$46	\$46	Up

¹Authorized Budget Level "NA" - Not Available in this report ²Expenditures include all funds.

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department revised Fiscal 2013 values for 'complaints,' 'written policy and procedure recommendations to City agencies,' 'average time to complete an investigation (days)' to reflect updated data.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/doi.