



What We Do

The Department of Investigation (DOI) promotes and maintains integrity and efficiency in City government operations by investigating and referring for prosecution City employees and contractors that 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: July–October

- Complaints decreased by 2 percent during the first four months of Fiscal 2013 compared to the same period of Fiscal 2012.
- The Department prioritized conducting and completing investigations during the reporting period which resulted in a 38 percent decrease in corruption lectures. Notwithstanding a decrease in available investigative resources, the Department anticipates meeting its target for lectures by the end of Fiscal 2013.
- The overall average time to complete an investigation decreased by 22 percent during the reporting period. Turnaround times for significant and routine investigations decreased by 36 percent and 25 percent, respectively, while turnaround time for major investigations increased by 231 percent due to an increase in the closure of older investigations falling within this category.
- Arrests resulting from DOI investigations increased 49 percent during the reporting period due to DOI's expeditious handling of significant and routine investigations, and partnering with other agencies to address chronic corruption and public safety hazards. Referrals for criminal prosecution increased by 51 percent, while civil and administrative referrals decreased by 10 percent.
- During the first four months of Fiscal 2013 financial recoveries to the City increased 128 percent due primarily to a case in which a defendant was ordered to pay \$1.7 million in restitution. Recoveries collected from previously closed cases increased by 171 percent.
- Background investigations closed within six months increased by 4 percentage points, and the average time to complete a background investigation decreased by 26 percent due to procedural changes within DOI's Background Unit that led to greater efficiency in completing a significant volume of cases.
- The average time to notify agencies of prospective childcare workers with criminal records decreased to one day during the first four months of 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.

Performance Statistics	Actual			Target		4-Month Actual	
	FY10	FY11	FY12	FY13	FY14	FY12	FY13
★Complaints	13,825	13,639	12,595	*	12,000	4,152	4,088
★Written policy and procedure recommendations to City agencies	357	310	369	*	300	100	101
★Corruption prevention and whistleblower lectures conducted	625	446	478	300	375	192	119
Integrity monitoring agreements	5	12	15	*	*	13	15
VENDEX checks completed within 30 days (%)	60%	98%	98%	95%	95%	98%	97%

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

Performance Statistics	Actual			Target		4-Month Actual	
	FY10	FY11	FY12	FY13	FY14	FY12	FY13
★Average time to complete an investigation (days)	296	275	229	*	225	239	187
★Referrals for civil and administrative action	1,876	1,100	1,304	*	1,000	368	330
★Referrals for criminal prosecution	753	1,017	1,001	*	750	207	313
★Arrests resulting from DOI investigations	822	790	805	*	*	170	253
★Financial recoveries to the City ordered/agreed (\$)	\$18,086,520	\$20,985,513	\$523,355,872	*	\$18,000,000	\$1,624,568	\$3,701,324
★Financial recoveries to the City collected (\$)	\$8,537,930	\$9,973,645	\$477,784,197	*	\$8,500,000	\$1,120,622	\$3,033,346

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.

Performance Statistics	Actual			Target		4-Month Actual	
	FY10	FY11	FY12	FY13	FY14	FY12	FY13
★Average time to complete a background investigation (days)	451	370	313	*	300	364	270
★Background investigations closed within six months (%)	53%	60%	52%	60%	60%	51%	55%
★Time to notify agencies of prospective childcare workers with criminal records after receipt from State Division of Criminal Justice Services (days)	4	2	1	4	3	2	1
Time to notify agencies of arrest notifications for current childcare workers after receipt from State Division of Criminal Justice Services (days)	NA	2	1	*	*	2	2

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

Agency Customer Service

Performance Statistics	Actual			Target		4-Month Actual	
	FY10	FY11	FY12	FY13	FY14	FY12	FY13
Customer Experience							
E-mails responded to in 14 days (%)	100%	100%	100%	100%	100%	100%	100%
Letters responded to in 14 days (%)	100%	100%	100%	100%	100%	100%	100%

Agency Resources

Resource Statistics	Actual			September 2012 MMR	Updated		4-Month Actual	
	FY10	FY11	FY12	FY13	FY13 ¹	FY14 ¹	FY12	FY13
Expenditures (\$000,000) ²	\$22.7	\$21.7	\$21.3	\$20.7	\$32.8	\$21.2	\$9.0	\$8.6
Revenues (\$000,000)	\$4.5	\$7.3	\$4.6	\$3.8	\$3.8	\$3.8	\$0.2	\$0.3
Personnel	217	197	192	219	232	221	196	204
Overtime paid (\$000,000)	\$0.0	\$0.1	\$0.0	\$0.0	\$0.1	\$0.0	\$0.0	\$0.0

¹January 2013 Financial Plan *NA" - Not Available in this report
²Expenditures include all funds. January Plan figures reflect modifications in Federal, State, and other non-City funding since the adoption of the 2013 budget.

Noteworthy Changes, Additions or Deletions

- The Department revised 4-Month Fiscal 2012 values for 'complaints,' 'current investigations,' 'investigations closed,' 'referrals for criminal prosecution,' 'referrals for civil and administrative action' 'arrests resulting from DOI investigations,' and 'average time to complete an investigation (days)' to reflect updated data.

For additional performance statistics, please visit the website at: www.nyc.gov/mmr.

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

