



# BUSINESS INTEGRITY COMMISSION

## What We Do

The Business Integrity Commission (BIC) regulates and monitors the trade waste hauling industry and the wholesalers and businesses operating in the City's public wholesale markets, and ensures the integrity of businesses in these industries. Through vigorous background investigations of license and registration applications, the establishment of standards for services and conduct of business, and long-term criminal investigations, BIC carries out its mandate to make certain that these regulated industries and businesses remain free of organized criminal behavior. BIC protects New York City consumers by ensuring that businesses in certain industries and markets act in an honest way. By fostering an open marketplace, BIC ensures that businesses in those industries and markets are protected from unfair competition. BIC also has the authority to regulate the shipboard gambling industry.

## Our Services and Goals

### **Service 1: Regulate the City's commercial waste hauling industry.**

- Goal 1a: Ensure that all businesses in the commercial waste hauling industry abide by the law.
- Goal 1b: Process license and registration applications for the waste hauling industry in a timely manner.

### **Service 2: Regulate businesses in and around the City's public wholesale markets.**

- Goal 2a: Ensure that businesses in and around public wholesale markets abide by the law.
- Goal 2b: Process registration applications for public wholesale businesses in a timely manner.

## How We Performed

- In the first four months of Fiscal 2014, BIC improved its efficiency in waste hauling application processing, with a 32 percent decrease in the average time to approve registrations, compared to the same period of the previous fiscal year, and a three percent reduction in the average time to approve licenses. BIC had relatively stable backlog management during the first four months of Fiscal 2014, shown in a nine percent reduction in the average age of pending waste hauling applications to 176 days, compared to 194 days in the same period of Fiscal 2013, and a four percent increase in the number of such applications pending.
- In the first four months of Fiscal 2014, there were fewer approvals of waste hauling licenses and registrations by 21 percent and 19 percent, respectively, compared to the same period of Fiscal 2013. The license approvals decreased from 53 to 42 and the registration approvals decreased from 303 to 246. There were also 11 percent fewer waste hauling background investigations completed, 371 compared to 417 during the first four months of the prior fiscal year.
- In the enforcement area, BIC issued two more denials to trade waste firms in this period than in the same period of the prior fiscal year. Application denials are the strongest enforcement action the agency can take, reflecting investigative and legal effort, and they have the most impact in terms of maintaining a fair and competitive marketplace. Fiscal 2014 figures for violations issued to private waste haulers were not available for this report period due to the adoption of a new computer system, as noted below.
- During this period in Fiscal 2014, BIC approved 45 percent more applications for public wholesale market registrations and reduced the average application processing time for these applications by six percent compared to the same period in the prior fiscal year. Although BIC completed 20 percent fewer background checks for market firms than in the first four months of Fiscal 2013, the agency has engaged in an upgrade and streamlining of its photographic identification application system that it expects will improve customer service and processing of these eligibility checks going forward.

**Service 1: Regulate the City's commercial waste hauling industry.**

**Goal 1a: Ensure that all businesses in the commercial waste hauling industry abide by the law.**

Performance Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
★Violations issued to private waste haulers	1,280	1,601	1,145	*	*	639	NA
★Violations issued - Other (not licensees or registrants)	581	271	245	*	*	138	NA
Waste hauling background investigations completed	1,088	998	1,267	*	*	417	371
★Total waste hauling applications denied (%)	3.6%	3.6%	3.9%	*	*	3.6%	3.9%
Waste hauling complaints received	592	594	534	*	*	182	166

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

**Goal 1b: Process license and registration applications for the waste hauling industry in a timely manner.**

Performance Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
★Average time to approve waste hauling licenses (days)	155	175	136	190	175	141	137
★Average time to approve waste hauling registrations (days)	99	112	100	120	105	116	79
★Average age of pending waste hauling applications (days)	167	168	198	190	180	194	176
★Waste hauling applications pending	363	419	331	300	300	337	351
Waste hauling licenses approved	95	103	146	*	*	53	42
Waste hauling registrations approved	860	747	960	*	*	303	246

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

**Service 2: Regulate businesses in and around the City's public wholesale markets.**

**Goal 2a: Ensure that businesses in and around public wholesale markets abide by the law.**

Performance Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
Violations issued at public wholesale markets	345	323	134	*	*	55	32
Violations admitted to or upheld at the Environmental Control Board (%)	NA	93.8%	88.5%	*	*	88.4%	94.9%
★Public wholesale market applications denied (%)	1.9%	2.2%	3.0%	*	*	2.3%	3.2%
Public wholesale market background investigations completed	397	726	593	*	*	200	161

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

**Goal 2b: Process registration applications for public wholesale businesses in a timely manner.**

Performance Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
★Average time to approve public wholesale market registrations (days)	221	221	151	200	175	121	114
Average age of pending public wholesale market applications (days)	267	243	246	*	*	264	227
Public wholesale market registrations approved	80	50	85	*	*	22	32

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

## Agency Customer Service

Performance Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
Customer Experience							
Letters responded to in 14 days (%)	100%	100%	100%	*	*	100%	100%
E-mails responded to in 14 days (%)	100%	100%	100%	*	*	100%	100%

## Agency Resources

Resource Statistics	Actual			Sept. 2013 MMR Plan	Updated Plan	Plan	4-Month Actual	
	FY11	FY12	FY13	FY14	FY14 <sup>1</sup>	FY15 <sup>1</sup>	FY13	FY14
Expenditures (\$000,000) <sup>2</sup>	\$6.9	\$6.8	\$7.0	\$7.1	\$7.6	\$7.2	\$3.3	\$3.2
Revenues (\$000,000)	\$6.8	\$5.8	\$7.1	\$6.4	\$6.3	\$6.0	\$2.3	\$2.9
Personnel	72	72	72	82	83	81	70	73
Overtime paid (\$000)	\$70	\$57	\$48	\$24	\$42	\$24	\$16	\$14
<sup>1</sup> February 2014 Financial Plan <sup>2</sup> Expenditures include all funds.      "NA" - Not Available in this report								

## Noteworthy Changes, Additions or Deletions

- In October 2013, BIC launched NIMBUS, a fully integrated information processing system that combines the agency's previously disparate unit databases into one consolidated, cloud-based platform. The successful on-time and on-budget implementation of NIMBUS both reflects and supports continuing operational improvements that BIC expects will result in further performance and customer service gains.
- Due to the large-scale data migration required by the NIMBUS computer project, some BIC Fiscal 2014 data was unavailable at the time of this report. In particular, the agency did not have reliable figures to provide for the number of violations it issued to private waste haulers during the first four months of the fiscal year.

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

