



DEPARTMENT OF INVESTIGATION

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

- During the first four months of Fiscal 2014 complaints increased by 14 percent compared to the same period of Fiscal 2013. The Department attributes this increase to the agency's bus and subway public awareness campaign. The number of current investigations remained stable.
- Written policy and procedure recommendations to City agencies decreased by 61 percent primarily due to the large number of recommendations issued in Fiscal 2013 resulting from an initiative to update the New York City Marshals Handbook, as well as increased awareness of, and early attention to, correcting vulnerabilities by City agencies. During the reporting period, DOI's focus was on implementing previously issued recommendations. Accordingly, approximately 3,000 of the Department's policy and procedure recommendations have been implemented by City agencies since 2002.
- The Department's robust corruption lecture program resulted in an 80 percent increase in the number of corruption prevention and whistleblower lectures conducted during the reporting period. Similarly, the Department's continued focus on vendor integrity led to a seven percent increase in the number of integrity monitoring agreements.
- Continuing to prioritize the expeditious disposition of cases, the overall average time to complete an investigation decreased by 25 percent. Turnaround times for major and routine investigations decreased by 87 percent and 22 percent, respectively, while turnaround time for significant cases increased by 25 percent due to the Department's ongoing focus on closing major and routine cases during the period.
- Referrals for civil and administrative action decreased by five percent and referrals for criminal prosecution decreased by 16 percent. Arrests resulting from investigations remained steady. The Department attributes the decreases in referrals to prioritizing and completing a number of high profile prosecutions, such as the CityTime investigation, that made it necessary to focus agency resources on complex and labor-intensive trial preparation.

- During the reporting period financial recoveries to the City ordered/agreed decreased by 64 percent. Recoveries collected increased by 850 percent due to the large settlement agreement stemming from the CityTime investigation.
- The average time to complete a background investigation increased by three percent during the period due to the Department's continuing focus on completing its backlog of older cases. The number of background investigations closed within six months increased by one percentage point.

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 Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
★Complaints	13,639	12,595	12,644	*	*	4,088	4,678
★Written policy and procedure recommendations to City agencies	310	374	557	300	300	103	40
★Corruption prevention and whistleblower lectures conducted	446	478	611	400	400	119	214
Integrity monitoring agreements	12	15	21	*	*	15	16
VENDEX checks completed within 30 days (%)	98%	98%	93%	95%	95%	97%	98%

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

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

Performance Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
★Average time to complete an investigation (days)	275	229	164	185	185	184	138
★Referrals for civil and administrative action	1,100	1,334	1,235	1,000	1,000	332	317
★Referrals for criminal prosecution	1,017	1,000	1,053	750	750	320	269
★Arrests resulting from DOI investigations	790	808	840	*	*	256	255
★Financial recoveries to the City ordered/agreed (\$000)	\$20,986	\$523,356	\$38,428	\$18,000	\$18,000	\$3,701	\$1,330
★Financial recoveries to the City collected (\$000)	\$9,974	\$477,784	\$6,041	\$10,000	\$10,000	\$3,033	\$28,804

★ 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.

Performance Indicators	Actual			Target		4-Month Actual	
	FY11	FY12	FY13	FY14	FY15	FY13	FY14
★Average time to complete a background investigation (days)	370	313	266	300	300	270	279
★Background investigations closed within six months (%)	60%	52%	59%	60%	60%	55%	56%
★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)	2	1	1	2	2	1	1
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)	2	1	2	*	*	2	1

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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 ¹	FY15 ¹	FY13	FY14
Expenditures (\$000,000) ²	\$21.7	\$21.3	\$36.4	\$21.9	\$43.1	\$25.1	\$8.6	\$11.2
Revenues (\$000,000)	\$7.3	\$4.6	\$3.1	\$3.8	\$3.8	\$3.8	\$0.3	\$0.4
Personnel	197	192	199	228	269	259	204	205
Overtime paid (\$000)	\$104	\$37	\$212	\$46	\$46	\$46	\$29	\$84
¹ February 2014 Financial Plan ² Expenditures include all funds. "NA" - Not Available in this report								

Noteworthy Changes, Additions or Deletions

- The Department revised 4-month Fiscal 2013 values for 'current investigations,' 'referrals for criminal prosecution,' 'arrests resulting from DOI investigations,' 'referrals for civil and administrative action,' 'written policy and procedure recommendations to City agencies,' 'average time to complete an investigation (days),' and 'average time to complete an investigation - routine investigations' to reflect updated data.

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

