



## 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 investigates, reviews, studies, audits and makes 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 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 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

- During the first four months of Fiscal 2015 complaints decreased by 13 percent compared to the same period of Fiscal 2014. Similarly, current investigations decreased by 26 percent. The Department attributes this decrease to a reorganization of the agency's investigative operations, and a focus on conducting a number of large-scale, comprehensive investigations by investigative personnel.
- Written policy and procedure recommendations to City agencies increased by 28 percent. This increase is attributable to a broader probe of a number of agency operations that resulted in the issuance of multiple recommendations integral to strengthening the City's safeguards against future fraud, waste and abuse.
- Corruption prevention and whistleblower lectures conducted during the period decreased 64 percent for several reasons, including a reallocation of resources towards conducting larger investigations relating to systemic corruption and fraud vulnerabilities. Additionally, the Department is developing a citywide e-learning module that will more efficiently deliver these lectures. In the second half of the fiscal year DOI intends to recommit resources to conducting lectures, and with the new e-learning module, anticipates meeting its target for the year.
- The Department's continued focus on vendor integrity led to a six percent increase in the number of integrity monitoring agreements.
- The average time to complete an investigation increased by 25 percent. Cases closed during the period consisted primarily of routine investigations. Turnaround time for investigations falling within this category increased by 26 percent due to the volume of routine cases closed.
- The number of referrals for civil and administrative action, criminal prosecution and arrests resulting from investigations decreased 33 percent, 67 percent and 68 percent, respectively. As stated in the Fiscal 2014 MMR, the Department's focus on broad investigative work, attacking corruption through investigative and reform strategies, has resulted in a decline from recent levels of these investigation-related indicators. Moreover, as a result of several large investigations that will be completed in the second half of the fiscal year, the agency anticipates a significant increase in referrals.
- During the reporting period there was a 36 percent increase in financial recoveries to the City. Revenues collected from previously closed cases decreased by 96 percent compared to the same period last fiscal year when the agency received \$27 million in forfeiture stemming from the CityTime investigation.
- The percentage of background investigations closed within six months increased by 2 percentage points. The average time to complete a background investigation decreased by 23 percent due to the Department's focus on completing its backlog of cases more than six months old.

### 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	
	FY12	FY13	FY14	FY15	FY16	FY14	FY15
★Complaints	12,595	12,659	12,622	*	*	4,656	4,029
★Written policy and procedure recommendations to City agencies	374	564	280	300	300	40	51
Written policy and procedure recommendations implemented by City agencies (%)	NA	72%	45%	75%	75%	NA	NA
★Corruption prevention and whistleblower lectures conducted	478	611	535	400	400	214	78
Integrity monitoring agreements	15	21	18	*	*	16	17
VENDEX checks completed within 30 days (%)	98%	93%	88%	95%	95%	98%	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	
	FY12	FY13	FY14	FY15	FY16	FY14	FY15
★Average time to complete an investigation (days)	229	163	160	185	185	138	172
★Referrals for civil and administrative action	1,334	1,235	929	*	*	317	211
★Referrals for criminal prosecution	1,000	1,053	612	*	*	269	89
★Arrests resulting from DOI investigations	808	840	517	*	*	255	82
★Financial recoveries to the City ordered/agreed (\$000)	\$523,356	\$38,428	\$11,144	↑	↑	\$1,330	\$1,810
★Financial recoveries to the City collected (\$000)	\$477,784	\$6,041	\$33,248	↑	↑	\$28,804	\$1,240

★ 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	
	FY12	FY13	FY14	FY15	FY16	FY14	FY15
★Average time to complete a background investigation (days)	313	266	230	300	300	254	196
★Background investigations closed within six months (%)	52%	59%	55%	60%	60%	56%	58%
★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)	1	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)	1	2	1	*	*	1	1

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

## AGENCY CUSTOMER SERVICE

Performance Indicators	Actual			Target		4-Month Actual	
	FY12	FY13	FY14	FY15	FY16	FY14	FY15
Customer Experience							
Completed requests for interpretation	37	38	17	*	*	NA	NA
Letters responded to in 14 days (%)	100%	100%	100%	*	*	100%	100%
E-mails responded to in 14 days (%)	100%	100%	100%	*	*	100%	100%
Average wait time to speak with a customer service agent (minutes)	3	3	3	*	*	NA	NA
CORE facility rating	95	93	93	*	*	NA	NA

## AGENCY RESOURCES

Resource Statistics	Actual			Sept. 2014 MMR Plan	Updated Plan	Plan	4-Month Actual	
	FY12	FY13	FY14	FY15	FY15 <sup>1</sup>	FY16 <sup>1</sup>	FY14	FY15
Expenditures (\$000,000) <sup>2</sup>	\$21.3	\$36.4	\$29.0	\$27.6	\$43.2	\$30.0	\$11.2	\$13.2
Revenues (\$000,000)	\$4.6	\$3.1	\$3.1	\$3.8	\$3.8	\$3.8	\$0.4	\$0.4
Personnel	192	199	212	292	313	308	205	226
Overtime paid (\$000)	\$37	\$212	\$395	\$46	\$296	\$46	\$84	\$87
<sup>1</sup> February 2015 Financial Plan <sup>2</sup> Expenditures include all funds.      "NA" - Not Available in this report								

## NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department revised the 4-month Fiscal 2014 values for 'complaints' and 'average time to complete a background investigation (days)' to reflect updated data.
- The Department revised Fiscal 2014 year-end values for 'referrals for civil and administrative action,' 'arrests resulting from DOI investigations' and 'average time to complete a background investigation (days)' to reflect updated data.

## ADDITIONAL RESOURCES

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