


Norman M. Dion  
Inspector General**MEMORANDUM**

**TO:** Michael A. Stocker MD, Chairman  
Alan D. Aviles, President

**FROM:** Norman M. Dion 

**DATE:** December 5, 2012

**RE:** Statistical Report, January 1, 2012 to November 28, 2012

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As requested, this report contains statistical information regarding the activities of the Office of the Inspector General (OIG) for the period of January 1, 2012 to November 28, 2012.

During this period the OIG received 1147 complaints or requests for assistance of various types. The complaints received by the OIG consist of a wide range of topics including, but not limited to assault, bribery, conflicts of interest/violations of ethics rules, fraud, narcotics, patient complaints, personnel grievances, sexual abuse, solicitation, theft, and time and leave abuses. These complaints are either referred to the appropriate unit of HHC for further disposition; closed for intelligence purposes due to the fact that insufficient information is presented for action or that a cognizable complaint is not asserted; or, opened for a preliminary or full investigation.

Preliminary investigations are low priority items for which little actionable information has been presented in a complaint, but which, on their face, present a serious allegation, or are similar to previous allegations received by the OIG regarding a particular unit, suggesting the existence of a deeper problem. Previous administrations of this Office closed these complaints for intelligence purposes only. I created this category in the belief that such issues warrant some measure of inquiry, increasing the likelihood that an employee in such a unit will come forward with more information as a consequence of becoming aware that such complaints do not fall on deaf ears. Further, such inquiries raise the visibility of the Office, increasing the likelihood that employees will come forward with other more concrete complaints if they see that OIG

investigators are frequently present and accessible. During the reporting period the OIG closed 169 preliminary investigations, and 180 remain open.

Investigations are full blown inquiries, usually regarding matters that involve allegations of serious criminality or misconduct, or matters of significant or systemic import to HHC. During the reporting period, 42 of these cases were closed, and 348 remain open.

As noted above, a volume of complaints is handled by referring each matter to the appropriate HHC unit for further disposition. The vast majority of these items involves labor relations matters, grievances, or other matters of a primarily administrative nature not involving criminality or serious misconduct. These items are tracked by this Office and logged as "open" until a response is received from the unit to which they were referred. They are not actively investigated by this Office. In the event that a response reveals a more serious issue warranting this Office's attention, the matter is reconsidered for possible investigation. During the reporting period, 26 items were closed, and 326 remain open. Note: the figures for this type of referral are approximate only. The recent storm has forced the temporary relocation of the OIG, perhaps until February, and it is certain that some responses currently inaccessible in OIG's permanent offices are not yet booked into the case management system, and/or have not caught up to the Office at its temporary address.

Similarly, the arrests of HHC employees reported to the OIG by the Department of Criminal Justice Services and/or the NYPD are referred in turn to the appropriate HHC unit. These referrals are tracked by this Office and logged as "open" until documentation of final disposition by the courts is received. During this period, 49 items were closed, and 360 remain open.

In addition, the OIG handles a significant volume of requests from HHC facilities as well as other public agencies for background information regarding current and former HHC employees being considered for employment by those entities. The OIG has received and completed 303 such background reviews during this period.

Also, the OIG performs vendor background checks, otherwise known as VENDEX checks. This Office reviews its own case management system, as well as a number of other databases, for any pejorative information relating to companies and their principals seeking to do business with HHC. The OIG has received and completed 162 such requests this period.

The OIG receives requests from other law enforcement agencies for various types of assistance in investigations conducted by them that involve HHC employees or vendors, directly or indirectly. This Office provides such assistance within the limits of applicable law. The OIG received and completed 22 such requests for assistance during this period.

Lastly, in connection with its investigations, both closed and remaining open, the OIG has made referrals to the Conflicts of Interest Board (COIB) based on findings of sufficient evidence to

believe that violations of relevant laws, rules, and regulations have been committed by HHC employees. This Office has made referrals regarding 17 individuals to COIB during this period.

## SUMMARY

Complaints	1147
Preliminary Investigations	
Closed	169
Open	180
Investigations	
Closed	42
Open	348
Administrative Referrals	
Closed	26
Open	326
Arrest Referrals	
Closed	49
Open	360
Background Requests	303
VENDEX Checks	162
COIB referrals	17