


Norman M. Dion  
Inspector General

**MEMORANDUM**

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

**FROM:** Norman M. Dion 

**DATE:** June 20, 2013

**RE:** Statistical Report, December 1, 2012 to May 31, 2013

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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 December 1, 2012 to May 31, 2013.

During this period the OIG received 668 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, HIPAA violations, 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. Additional information is sought in order to make a responsible disposition of the complaint. During the reporting period the OIG closed 39 preliminary investigations, and 173 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, 75 of these cases were closed, and 276 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, 23 items were closed, and 344 remain open.

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, 76 items were closed, and 389 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 180 such background reviews during this period.

Also, the OIG performs vendor background checks, i.e., 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 66 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 26 such requests for assistance during this period.

Lastly, in an effort to establish a visible and effective presence in the facilities, for the last several years this Office has assigned investigators to perform on-site inspections of the hospitals. Specifically, they meet with hospital staff including, but not limited to, security, risk management, human resources, and labor relations staff to review incident activities and disciplinary matters to determine if issues exist which are of concern to or should have been reported to this Office. These efforts have been quantified effective January 1, 2013. Since that date, 53 inspections have been conducted with 128 contacts with HHC staff having been made. These contacts have resulted in 16 complaints being generated for review by the OIG.

Finally, 4 Reports and Recommendations have been issued to the President's Office that have resulted in the issuance of final reports. Two Reports and Recommendations are awaiting final disposition, one of which is in the final stages of review.

## **SUMMARY**

Complaints	668
Preliminary Investigations	
Closed	39
Open	173
Investigations	
Closed	75
Open	276
Administrative Referrals	
Closed	23
Open	344
Arrest Referrals	
Closed	76
Open	389
Background Requests	180
VENDEX Checks	66
Inspections	53
Contacts	128
Complaints	16

## **SIGNIFICANT ACTIVITIES**

From November of 2012 until early April of 2013, the OIG was displaced from its offices located at 160 Water Street due to damage incurred by Hurricane Sandy. While the offices and their contents remained physically secure, the staff was unable to access case-related files and materials during that time. As a result, little progress could be made on complex investigations that were already underway. However, some significant activities were accomplished.

The Conflicts of Interest Board (COIB) issued three public dispositions regarding matters for which investigations were completed by this Office:

- On March 7, 2013, Arnold Pack, former Senior Director of Corporate Services, was fined \$9,500 for using HHC resources for personal business as well as for using his position to benefit his son.
- On April 17, 2013, Peter Wolf, former Senior Vice President/Executive Director of Coney Island Hospital, was fined \$6,000 for accepting \$1,500 in gift cards from a HHC vendor.
- On April 24, 2013, Matthew Taylor, Director of Radiology at Metropolitan Hospital was fined \$2,500 for actively soliciting and receiving a \$1,500 loan from a HHC vendor.

In addition, three employees/former employees were arrested in connection with investigations conducted by this Office in cooperation with or at the request of other agencies:

- On December 4, 2012, Karen Blair, at the time a Clerical Associate at Kings County Hospital, was arrested on federal charges related to solicitation and sale of personal Health information. The investigation was conducted and arrest effected by the FBI Joint Health Care Fraud Task Force, to which an investigator from the OIG is assigned.
- On May 3, 2013, Messiah Clark, a former Community Assistant at Coler Goldwater Hospital and Nursing Facility, was arrested by agents of the Criminal Investigation Department of the IRS on charges relating to the filing of fraudulent tax returns utilizing the identities of patients at Coler. The OIG assisted in the investigation at the request of the IRS.
- On May 23, 2013, Allison Jones, a former contract nurse at Jacobi Medical Center, was arrested by the NYS Office of the Attorney General (OAG) for charges relating to the theft of liquid cocaine from the PYXIS medication dispenser. The matter was investigated by the OIG and referred to the Attorney General's Office.

NOTE: Criminal complaints constitute accusations. Defendants are presumed innocent until proven guilty. There are no dispositions on the charges described above.