


Norman M. Dion
Inspector General

MEMORANDUM

TO: Ramanathan Raju, MD President
FROM: Norman M. Dion 
DATE: June 9, 2014
RE: Statistical Report, December 1, 2013 to May 31, 2014

As requested, this report contains statistical information regarding the activities of the Office of the Inspector General (OIG) for the period of December 1, 2013 to May 31, 2014.

During this period the OIG received 735 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, informed decision regarding the appropriate handling and disposition of the complaint. During the reporting period the OIG closed 62 preliminary investigations, and 76 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, 27 of these cases were closed, and 238 remain open.

June 9, 2014

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, 72 items were closed, and 222 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, 183 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 207 such background reviews during this period.

Also, the OIG performs vendor background checks, i.e., VENDEX checks, both for HHC as well as, for a comparatively lesser number, for other municipal agencies. 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 or Mayoral agencies. The OIG has received and completed 94 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 16 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. During this reporting period, 87 inspections have been conducted with 236 contacts with HHC staff having been made. These contacts have resulted in 11 complaints being generated for review by the OIG.

Finally, seven (7) Reports and Recommendations have been issued to the President’s Office during this reporting period, and one (1) notification of an arrest resulting from an OIG investigation.

June 9, 2014

SUMMARY

Complaints	735
Preliminary Investigations	
Closed	62
Open	76
Investigations	
Closed	27
Open	238
Administrative Referrals	
Closed	72
Open	222
Arrest Referrals	
Closed	183
Open	360
Background Requests	207
VENDEX Checks	94
Inspections	87
Contacts	236
Complaints	11