



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 dozens of City boards and commissions. DOI's strategy attacks corruption comprehensively through systemic investigations that lead to high-impact arrests, preventive internal controls and operational reforms that improve the way the City runs and prevents criminal misconduct and waste. In 2014 DOI established the City's first Office of the Inspector General for the 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 through criminal investigations 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. Examples of this mandate include DOI's investigation of the City's jail system related to violence and contraband smuggling, which resulted in the arrests of more than a dozen correction officers and staff and more than three dozen inmates, leading to reforms regarding staff screening and recruitment. Another example is the establishment of DOI's Office of the Inspector General for the NYPD, 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 IN FISCAL 2015

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.

During Fiscal 2015 DOI continued to promote and maintain the integrity and efficiency of City agencies, employees, vendors and recipients of City funds. The five year trend for complaints received by the Department declined in Fiscal 2015 due to a nine percent decrease in the number of complaints received compared to Fiscal 2014. DOI's continuing commitment to target and cure operational vulnerabilities and deficiencies, and to prevent future waste in City agencies that DOI has investigated and determined to have integrity issues, led to a 31 percent increase in the number of policy and procedure recommendations issued to agencies, with 49 percent of those recommendations adopted by the agencies during the fiscal year. The Department is in ongoing contact with agencies regarding pending policy and procedure recommendations.

Due to the reallocation of resources towards conducting large-scale investigations with substantial impact on public safety, the number of corruption prevention and whistleblower lectures conducted by the agency decreased 29 percent and was below target. In Fiscal 2015 the Department added a new indicator to track the number of individuals completing corruption prevention lectures online. While only one agency – the Department of Citywide Administrative Services – participated in the pilot roll-out of this e-learning module, DOI is in the process of completing the next phase that will include a number of other agencies scheduled to complete lectures through this online tool. DOI identified a reduced need for integrity monitors during the fiscal year, resulting in an 11 percent decrease in the number of integrity monitoring agreements. The percentage of VENDEX checks of companies doing business with the City completed within 30 days increased 11 percentage points, exceeding targeted projections for the fiscal year.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY11	FY12	FY13	FY14	FY15	FY15	FY16		
★Complaints	13,639	12,595	12,659	12,624	11,445	*	*	Neutral	Down
★Written policy and procedure recommendations to City agencies	310	374	564	280	368	300	300	Neutral	Neutral
Written policy and procedure recommendations implemented by City agencies (%)	NA	NA	72%	45%	49%	75%	75%	Neutral	NA
★Corruption prevention and whistleblower lectures conducted	446	478	611	535	378	400	400	Up	Neutral
Corruption prevention lecture e-learning attendees	NA	NA	NA	NA	1,797	*	*	Neutral	NA
Integrity monitoring agreements	12	15	21	18	16	*	*	Neutral	Up
VENDEX checks completed within 30 days (%)	98%	98%	93%	88%	99%	95%	95%	Up	Neutral

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

Goal 1b Improve the impact and effectiveness of investigations.

Attacking corruption through both targeted and systemic reform strategies, and focusing on longer term, broader and more complex investigations has led to a positive change in levels of several investigation-related indicators. Additionally, prioritizing and completing a number of high-profile investigations during the fiscal year, such as a nearly two-year investigation that led to the indictment of 50 individuals, including more than a dozen buildings and housing inspectors involved in widespread bribery schemes; contraband smuggling at Rikers Island; and the year-long investigation of 25 City-run homeless shelters for families that exposed residents to serious health and safety violations, made it necessary to focus agency resources on more complex investigations. For these reasons, the number of criminal prosecution referrals and high-impact arrests leading to reform resulting from DOI investigations remained relatively stable, while the number of civil and administrative referrals increased 42 percent. The average time to complete an investigation increased 22 percent and was above target. During the reporting period cases closed consisted primarily of routine investigations. Closure of a greater number of investigations falling within this category resulted in a 24 percent increase in turnaround time. Financial recoveries to the City ordered/agreed decreased five percent. Recoveries collected decreased 82 percent because Fiscal

2014 collections reflect an unusually substantial amount of federal forfeiture funds the agency received that year relating to the CityTime investigation.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY11	FY12	FY13	FY14	FY15	FY15	FY16		
★ Average time to complete an investigation (days)	275	229	163	160	195	185	185	Down	Down
★ Referrals for civil and administrative action	1,100	1,334	1,235	929	1,322	*	*	Neutral	Neutral
★ Referrals for criminal prosecution	1,017	1,000	1,053	612	601	*	*	Neutral	Down
★ Arrests resulting from DOI investigations	790	808	840	516	498	*	*	Neutral	Down
★ Financial recoveries to the City ordered/agreed (\$000)	\$20,986	\$523,356	\$38,428	\$11,144	\$10,603	↑	↑	Up	Down
★ Financial recoveries to the City collected (\$000)	\$9,974	\$477,784	\$6,041	\$33,248	\$6,034	↑	↑	Up	Down

★ 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.

Background investigations and fingerprint checks conducted in a timely manner both improved in Fiscal 2015. The average time to complete a background investigation decreased 18 percent. The five year trend for this indicator continues to decline. Due to an increased focus on case management by DOI's background unit, the percentage of background investigations closed within six months increased by six percentage points and surpassed the target. Remaining stable at one day, the average time to notify agencies of prospective childcare, home care and family care workers with criminal records was faster than the target of two days. Similarly, the average time to notify agencies of arrest notification for current childcare, home care and family care workers remained at one day for the second year in a row.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY11	FY12	FY13	FY14	FY15	FY15	FY16		
★ Average time to complete a background investigation (days)	370	313	266	230	188	300	300	Down	Down
★ Background investigations closed within six months (%)	60%	52%	59%	55%	61%	60%	60%	Up	Neutral
★ 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	1	1	2	2	Down	Down
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	1	1	*	*	Down	Down

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AGENCY CUSTOMER SERVICE

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY11	FY12	FY13	FY14	FY15	FY15	FY16		
Customer Experience									
Completed requests for interpretation	65	37	38	17	24	*	*	Neutral	Down
Letters responded to in 14 days (%)	100%	100%	100%	100%	100%	*	*	Up	Neutral
E-mails responded to in 14 days (%)	100%	100%	100%	100%	100%	*	*	Up	Neutral
Average wait time to speak with a customer service agent (minutes)	3	3	3	3	3	*	*	Down	Neutral
CORE facility rating	83	95	93	93	98	*	*	Up	Up

AGENCY RESOURCES

Resource Indicators	Actual					Plan ¹		5yr Trend
	FY11	FY12	FY13	FY14	FY15	FY15	FY16	
Expenditures (\$000,000) ²	\$21.7	\$21.3	\$36.4	\$29.0	\$45.5	\$43.2	\$31.0	Up
Revenues (\$000,000)	\$7.3	\$4.6	\$3.1	\$3.1	\$3.4	\$3.8	\$3.8	Down
Personnel	197	192	199	212	264	313	308	Up
Overtime paid (\$000)	\$104	\$37	\$212	\$395	\$346	\$296	\$46	Up

¹Authorized Budget Level "NA" - Not Available in this report ²Expenditures include all funds.

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department revised Fiscal 2014 values for 'complaints,' 'arrests resulting from DOI investigations,' 'referrals for civil and administrative action' and 'average time to complete a background investigation (days)' to reflect updated data.
- The Department added a new indicator 'corruption prevention lecture e-learning attendees' to track the number of City employees, including employees at agencies under major investigations, and consultants that complete the City's online anti-corruption lectures.

ADDITIONAL RESOURCES

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