



## 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 over 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 2015, under a memorandum of understanding, DOI took over full authority and supervision of the Inspector General for NYC Health + Hospitals, which previously reported to the NYC Health + Hospitals President and Board of Directors. The move to DOI means the NYC Health + Hospitals Office of the Inspector General will now have the benefit of all of DOI's resources and ability to conduct systemic corruption and fraud investigations that result in meaningful reforms.

## 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. One example of this mandate in Fiscal 2017 is DOI's investigation prompted by a fire at NYCHA's Butler Houses that killed two young children and in which neighbors and other witnesses reported not hearing smoke alarms at the time of the fire. DOI conducted a systemic review of NYCHA's compliance with its apartment safety checks policy, issuing a report that found failures by NYCHA staff to properly conduct safety checks, including testing smoke and carbon monoxide detectors. DOI issued several recommendations to NYCHA, specifically that NYCHA must closely supervise staff for accountability, ensuring that staff properly perform safety checks and accurately document their findings. DOI makes a point of documenting its investigative findings in public reports that outline the facts, uncover the vulnerabilities and recommend changes that strengthen internal controls and City processes to prevent similar ineffectiveness or corruption in the future. DOI serves the people of New York City by acting as an independent and nonpartisan watchdog for City government.

## OUR SERVICES AND GOALS

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### **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.

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### **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 2017 complaints increased eight percent compared to the same period of Fiscal 2016. The Department attributes this increase to enhanced agency visibility resulting from a five-borough media campaign warning New Yorkers of the risks and costs of bribery and corruption. The campaign, which encouraged the public to report these crimes to DOI, ran until the end of Calendar 2016. The number of current investigations increased by 23 percent.
- Written policy and procedure recommendations to City agencies increased 41 percent during the reporting period. An increase in the Department’s caseload coupled with a broader probe of City agency operations resulted in the issuance of numerous recommendations during the first four months of Fiscal 2017.
- The number of corruption prevention and whistleblower lectures conducted decreased nine percent. This decrease is attributable to the citywide e-learning module that now delivers a majority of DOI’s anti-corruption education online. In-person corruption prevention lectures are conducted when investigations reveal vulnerabilities that are best addressed directly by the agency.
- The timeliness of VENDEX checks completed within 30 days decreased by four percentage points due to an increase in the number of requests received during the reporting period.
- The agency’s continued focus on prioritizing the expeditious disposition of cases during the period led to a seven percent decrease in the average time to complete an investigation.
- Targeting of systemic vulnerabilities and effective use of agency resources, coupled with a number of high-profile investigations during the reporting period, led to a 39 percent increase in the number of referrals for criminal prosecution and a 33 percent increase in arrests. Similarly, the number of referrals for civil and administrative action increased 45 percent.
- During the reporting period financial recoveries to the City increased 36 percent and recoveries collected from previously closed cases increased two percent due to substantial restitution and recovery in several cases.
- The number of background investigations closed within 12 months decreased by 11 percentage points, and the average time to complete a background investigation increased by 19 percent, due to staffing fluctuations within DOI’s Background Unit and the closure of a higher percentage of pending investigations over 12 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	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
★ Complaints	12,624	11,445	11,610	*	*	3,907	4,208
★ Written policy and procedure recommendations to City agencies	280	370	693	300	300	85	120
Written policy and procedure recommendations accepted by City agencies (%)	45%	74%	81%	75%	75%	NA	NA
★ Corruption prevention and whistleblower lectures conducted	535	378	408	400	400	141	129
Corruption prevention lecture e-learning attendees	NA	1,797	15,298	*	*	2,662	1,986
Integrity monitoring agreements	18	16	16	*	*	17	17
VENDEX checks completed within 30 days (%)	88%	99%	95%	95%	95%	100%	96%

★ 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	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
★Average time to complete an investigation (days)	160	193	145	180	180	151	141
★Referrals for civil and administrative action	929	1,327	835	*	*	223	324
★Referrals for criminal prosecution	612	601	727	*	*	175	244
★Arrests resulting from DOI investigations	516	499	546	*	*	126	168
★Financial recoveries to the City ordered/agreed (\$000)	\$11,144	\$10,603	\$3,004	↑	↑	\$1,130	\$1,537
★Financial recoveries to the City collected (\$000)	\$33,248	\$6,034	\$5,095	↑	↑	\$1,081	\$1,101

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**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	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
★Average time to complete a background investigation (from date of receipt) (days)	319	275	351	300	300	325	388
★Background investigations closed within 12 months (from date of receipt) (%)	61%	65%	60%	60%	60%	64%	53%
★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	1	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	
	FY14	FY15	FY16	FY17	FY18	FY16	FY17
Customer Experience							
Completed requests for interpretation	17	24	26	*	*	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	93	98	98	*	*	NA	NA

## AGENCY RESOURCES

Resource Indicators	Actual			Sept. 2016 MMR Plan	Updated Plan	Plan	4-Month Actual	
	FY14	FY15	FY16	FY17	FY17 <sup>1</sup>	FY18 <sup>1</sup>	FY16	FY17
Expenditures (\$000,000) <sup>2</sup>	\$29.0	\$35.0	\$38.4	\$46.7	\$58.4	\$41.7	\$20.9	\$23.0
Revenues (\$000,000)	\$3.1	\$3.4	\$3.2	\$3.8	\$3.8	\$3.8	\$0.5	\$0.3
Personnel	212	264	321	401	424	399	277	349
Overtime paid (\$000)	\$395	\$410	\$754	\$110	\$397	\$110	\$192	\$398
<sup>1</sup> January 2017 Financial Plan	<sup>2</sup> Expenditures include all funds		"NA" - Not Available in this report					

## NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department revised the four-month Fiscal 2016 values for 'referrals for criminal prosecution,' 'arrests resulting from DOI investigations,' 'written policy and procedure recommendations to City agencies' and 'corruption prevention lecture e-learning attendees' to reflect updated data.

## ADDITIONAL RESOURCES

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