



## 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. Examples of this mandate in Fiscal 2016 include DOI's investigation into a piece of terracotta falling from a building that killed a two-year-old and resulted in an arrest. As a result, DOI examined how the Department of Buildings (DOB) enforces façade inspections citywide, finding a systemic failure by building owners across the City to meet requirements and by DOB to effectively enforce compliance. DOI issued a report on its findings in this case and 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 IN FISCAL 2016

## 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 2016 DOI continued to promote and maintain the integrity and efficiency of City agencies, employees, contract vendors and recipients of City funds. The number of complaints received by the Department increased slightly in Fiscal 2016. The number of policy and procedure recommendations issued to City agencies increased by 87 percent, significantly surpassing targeted projections, with 81 percent of those recommendations adopted by the agencies during the fiscal year. A multi-agency investigation that resulted in DOI making several hundred recommendations to numerous City agencies was a significant factor in surpassing the target. DOI conducted eight percent more corruption prevention and whistleblower lectures compared to Fiscal 2015, exceeding the target for the year. As noted in Fiscal 2015, the Department added a new indicator to track the number of individuals in City agencies completing corruption prevention lectures online. Having this tool, in addition to lectures conducted directly by the Department, has led to greater agency-wide outreach during the fiscal year. The number of integrity monitoring agreements remained stable in Fiscal 2016. While the percentage of VENDEX checks of companies doing business with the City completed within 30 days decreased by four percentage points, performance remained high at 95 percent, equivalent to the target for the fiscal year.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
★ Complaints	12,595	12,659	12,624	11,445	11,610	*	*	Neutral	Neutral
★ Written policy and procedure recommendations to City agencies	374	564	280	370	693	300	300	Neutral	Up
Written policy and procedure recommendations accepted by City agencies (%)	NA	72%	45%	74%	81%	75%	75%	Neutral	NA
★ Corruption prevention and whistleblower lectures conducted	478	611	535	378	408	400	400	Up	Down
Corruption prevention lecture e-learning attendees	NA	NA	NA	1,797	15,298	*	*	Neutral	NA
Integrity monitoring agreements	15	21	18	16	16	*	*	Neutral	Neutral
VENDEX checks completed within 30 days (%)	98%	93%	88%	99%	95%	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.

DOI's strategy attacks corruption comprehensively through systemic investigations and arrests and reports that encompass a variety of crimes, including bribery, theft, fraud, false filings and public corruption. The Department continued to improve the impact and effectiveness of its investigations in a timely manner with performance in most areas exceeding Fiscal 2015 levels. The Department's rapid disposition of its cases led to a greater number of case closures during the period, along with a 25 percent decrease in the average time to complete an investigation. The five-year trend for this indicator is also down and the Department's Fiscal 2016 completion time was well below the target for the year. Completing a number of high-profile investigations during the year led to a 21 percent increase in the number of criminal prosecution referrals and a nine percent increase in arrests. The number of referrals for civil and administrative action decreased 37 percent. A large scale investigation in Fiscal 2015 resulted in the issuance of over 500 civil and administrative referrals that year. Financial recoveries to the City ordered/agreed decreased 72 percent. Similarly, recoveries collected decreased 16 percent.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
★Average time to complete an investigation (days)	229	163	160	193	145	185	180	Down	Down
★Referrals for civil and administrative action	1,334	1,235	929	1,327	840	*	*	Neutral	Down
★Referrals for criminal prosecution	1,000	1,053	612	601	727	*	*	Neutral	Down
★Arrests resulting from DOI investigations	808	840	516	499	546	*	*	Neutral	Down
★Financial recoveries to the City ordered/agreed (\$000)	\$523,356	\$38,428	\$11,144	\$10,603	\$3,004	↑	↑	Up	Down
★Financial recoveries to the City collected (\$000)	\$477,784	\$6,041	\$33,248	\$6,034	\$5,095	↑	↑	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.

While having met its target for the fiscal year, the percentage of background investigations closed within 12 months decreased by five percentage points during the period. DOI attributes this decrease to staff shortages in the Background Unit coupled with an increased volume of investigations necessitating more labor-intensive analysis. Concomitantly, the average time for the entire length of the investigation from receipt of a background packet to completion increased 28 percent. Remaining stable at one day for each of the past four fiscal years, the average time to notify agencies of prospective childcare, home care and family care workers with criminal records again surpassed its target of two days during the present period. Similarly, the average time to notify agencies of arrest notifications for current childcare, home care and family care workers remained at one day for the third fiscal year in a row.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Average time to complete a background investigation (from investigation start date) (days)	313	266	230	188	239	300	300	Down	Down
Background investigations closed within six months (from investigation start date) (%)	52%	59%	55%	61%	58%	60%	60%	Up	Up
★Average time to complete a background investigation (from date of receipt) (days)	399	356	319	275	351	300	300	Down	Down
★Background investigations closed within 12 months (from date of receipt) (%)	59%	64%	61%	65%	60%	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)	1	1	1	1	1	2	2	Down	Neutral
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	2	1	1	1	*	*	Down	Down

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## AGENCY CUSTOMER SERVICE

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Customer Experience									
Completed requests for interpretation	37	38	17	24	26	*	*	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	95	93	93	98	98	*	*	Up	Neutral

## AGENCY RESOURCES

Resource Indicators	Actual <sup>1</sup>					Plan <sup>2</sup>		5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17	
Expenditures (\$000,000) <sup>3</sup>	\$21.3	\$36.4	\$29.0	\$35.0	\$50.5	\$50.7	\$46.7	Up
Revenues (\$000,000)	\$4.6	\$3.1	\$3.1	\$3.4	\$3.2	\$3.8	\$3.8	Down
Personnel	192	199	212	264	321	389	401	Up
Overtime paid (\$000)	\$37	\$212	\$395	\$410	\$161	\$396	\$110	Up

<sup>1</sup>Actual financial amounts for the most current fiscal year are not yet final. Final fiscal year actuals, from the Comptroller's Comprehensive Annual Financial Report, will be reported in the next PMMR. Refer to the "Indicator Definitions" at [nyc.gov/mmr](http://nyc.gov/mmr) for details. <sup>2</sup>Authorized Budget Level <sup>3</sup>Expenditures include all funds  
 "NA" - Not Available in this report

## NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department revised Fiscal 2015 values for 'current investigations,' 'investigations closed,' 'arrests resulting from DOI investigations,' 'referrals for civil and administrative action,' 'written policy and procedure recommendations to City agencies,' 'written policy and procedure recommendations implemented by City agencies (%)', 'average time to complete an investigation (days),' 'average time to complete an investigation (days) - major investigations,' and 'average time to complete an investigation (days) - routine investigations' to reflect updated data.
- In Fiscal 2017 the Department will replace 'background investigations closed within six months (%)' with 'background investigations closed within 12 months (%)'. Additionally, 'average time to complete a background investigation (from investigation start date) (days)' will be replaced with 'average time to complete a background investigation (from date of receipt) (days)' to measure the total length of time of the case, from date of receipt of background packet to completion of investigation. Beginning in Fiscal 2017 the two former indicators will no longer appear in the Mayor's Management Report.
- Fiscal 2016 data for Customers Observing and Reporting Experiences (CORE) ratings represents a change in methodology. For agencies with multiple service centers, inspectors focused on sites that had historically lower scores, specifically sites that received an average overall site score of 85 or lower over the last three years and sites that received a score of 85 or lower in Fiscal 2015. If all agency service centers scored above 85 last year, the service center with the lowest overall score was inspected.

## ADDITIONAL RESOURCES

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