DEPARTMENT OF INVESTIGATION

Margaret Garnett, Commissioner

WHAT WE DO

The Department of Investigation (DOI) promotes and maintains integrity and efficiency in City government by investigating City employees and contractors who may be engaged in corrupt activities or unethical conduct, and by examining gross mismanagement and abuse in City agencies and entities. 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 investigations that lead to high impact arrests, public reports, and recommended preventive internal controls and operational reforms. DOI's work aims to prevent criminal misconduct and waste, remove corrupt public officials and ensure wrongdoers are punished, and improve the way City government functions. DOI serves New Yorkers by acting as an independent and nonpartisan watchdog for City government.

FOCUS ON EQUITY

DOI focuses on equitable service delivery by rooting out municipal corruption through criminal investigations, arrests and prosecutions, and by examining systemic issues that undermine good government and New Yorkers' access to services. DOI reviews City agencies' policies and procedures and recommends concrete ways to strengthen internal controls so public dollars are saved and operations improved. DOI issues public reports and policy and procedure recommendations as necessary to prevent the reoccurrence of vulnerabilities it uncovers. In Fiscal 2019 DOI's Office of the Inspector General for the New York City Police Department (OIG-NYPD) assessed NYPD's ongoing efforts to track and analyze data from claims and lawsuits, with a particular focus on early intervention using NYPD's Risk Assessment Information Liability System (RAILS), a computerized, data-based police management tool used to identify officers who may be at risk of engaging in inappropriate behavior. The Report found that since OIG-NYPD began looking at this issue in 2015, NYPD has made notable improvements in how it tracks and uses litigation data, and NYPD is now in a better position to incorporate data from lawsuits and claims into its early intervention system. OIG-NYPD's review found that between 2014 and 2018, there was a 49 percent decline in the number of NYPD-related lawsuits alleging police misconduct. OIG-NYPD's report makes a number of recommendations to improve NYPD's early intervention system, including that NYPD should seek input and feedback from supervisors for future developments of RAILS. Similarly, in Fiscal 2019 DOI issued a report regarding serious deficiencies in the Department of Correction's procedures and practices regarding searches of visitors to City jails. DOI's report highlighted violations of the civil rights of visitors and identified ways to lessen risks to correction officers, visitors and inmates. The report was issued in conjunction with criminal charges against several correction officers in Manhattan for unlawful search practices. DOI's focus on equitable service delivery is also reflected in other criminal cases in Fiscal 2019, such as the prosecution of a Public Administrator employee for stealing tens of thousands of dollars from the estates of New Yorkers, and the arrest of a Fire Protection inspector for falsifying safety inspections and issuing bogus summonses to City businesses.

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 2019

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 2019 DOI continued to promote and maintain the integrity and efficiency of City agencies, employees, contract vendors and recipients of City funds. Complaints received by the Department increased 15 percent compared to Fiscal 2018. The Department attributes this to the integration of complaint statistics into its tracking system from two of its Inspector General units, specifically the Offices of the Inspector General for NYPD and Health + Hospitals. Previously, these units tracked complaint statistics separately and they were not included in DOI's performance statistics. Additionally, DOI has run public awareness campaigns encouraging New Yorkers to report crimes and other corruption they see to DOI.

While continuing to exceed targeted projections, the number of written policy and procedure recommendations (PPR) decreased 78 percent during the reporting period. In Fiscal 2018 DOI issued the same recommendations to numerous City agencies, and in some cases found that it needed to issue recommendations to every City agency, and counted each recommendation to each City agency separately for purposes of its Fiscal 2018 reporting. This circumstance accounts for both the large increase in the reported number of PPRs from Fiscal 2017 to Fiscal 2018, and the return to a level in Fiscal 2019 that is more consistent with historic PPR issuance.

The number of corruption prevention and whistleblower lectures conducted increased by 15 percent, surpassing targeted expectations. The Department continues to conduct in-person lectures when investigations reveal vulnerabilities that are best addressed directly by DOI and also when requested by City agencies. However, the majority of anti-corruption education is regularly deployed online, via an e-Learning module, to City agencies by the Department of Citywide Administrative Services (DCAS) in partnership with DOI. The number of e-Learning attendees increased by 34 percent compared to Fiscal 2018.

The Department saw a 13 percent decrease in the number of integrity monitoring agreements due to DOI investigations not warranting the need for as many monitors during Fiscal 2019. DOI continues to maintain and supervise integrity monitors at multiple significant City projects, including Hurricane Sandy-related reconstruction.

While slightly below targeted projections, the percentage of vendor name checks completed within 30 days increased by 16 percentage points compared to Fiscal 2018. DOI's Vendex unit has implemented additional internal procedures in its efforts to increase the percentage of checks completed in a timely manner.

	Actual					Target		Trend	
Performance Indicators	FY15	FY16	FY17	FY18	FY19	FY19	FY20	5-Year	Desired Direction
★ Complaints	11,445	11,616	12,132	13,075	15,065	*	*	Up	*
★ Written policy and procedure recommendations to City agencies	370	700	512	2,538	549	300	300	Up	*
Written policy and procedure recommendations accepted by City agencies (%)	74%	85%	74%	56%	NA	75%	75%	NA	*
★ Corruption prevention and whistleblower lectures conducted	378	408	477	389	449	400	400	Up	Up
Corruption prevention lecture e-learning attendees	1,797	15,298	18,561	25,068	33,539	*	*	Up	*
Integrity monitoring agreements	16	16	18	15	13	*	*	Down	*
Vendor name checks completed within 30 days (%)	99%	95%	98%	64%	80%	95%	95%	Down	Up

★ Critical Indicator   "NA" Not Available   ⇧⇩ Directional Target   * None

Goal 1b   Improve the impact and effectiveness of investigations.

DOI's strategy attacks corruption comprehensively through thorough investigations that lead to arrests and recommendations that result in reforms and preventive controls that improve the way the City operates and delivers services to all New Yorkers. The Department works to ensure that City government achieves the highest ethical standards; defends the dignity of public service; and fights to make City agencies work better for the people they serve. Taking into consideration the diversity of

DOI investigations conducted during Fiscal 2019, including a number of noteworthy cases, the average time to complete an investigation increased by 18 percent and remained higher than targeted projections. Referrals for civil and administrative action increased by 27 percent, while arrests and referrals for criminal prosecution decreased 22 percent and 19 percent, respectively, compared to Fiscal 2018. Fiscal 2019 saw a change in DOI's administration, with new leadership taking office in mid-December 2018. During the remainder of the fiscal year, the new leadership advanced the investigations that were ready for arrest; reviewed and assessed all ongoing investigations; and evaluated the structure and operations of DOI. Given the typical timeline of criminal investigations, some decrease in arrests and criminal referrals is not unexpected under these circumstances.

During the reporting period there was a 41 percent decrease in ordered financial recoveries to the City. Such orders typically are entered at the sentencing phase of a criminal case, and thus can be expected to lag investigations by several years. Revenues collected from previously ordered financial recoveries in DOI cases decreased by 42 percent compared to Fiscal 2018. The collection of financial recoveries previously ordered in DOI's cases reflects the revenue generated by DOI's investigations, although collection is the responsibility of the relevant prosecutor's office and not DOI.

Performance Indicators	Actual					Target		Trend	
	FY15	FY16	FY17	FY18	FY19	FY19	FY20	5-Year	Desired Direction
★ Average time to complete an investigation (days)	193	145	152	152	179	180	180	Neutral	Down
★ Referrals for civil and administrative action	1,327	849	990	770	978	*	*	Down	*
★ Referrals for criminal prosecution	601	745	896	876	711	*	*	Up	*
★ Arrests resulting from DOI investigations	499	551	827	706	549	*	*	Up	*
★ Financial recoveries to the City ordered/agreed ($000)	$10,603	$3,004	$4,069	$4,897	$2,874	⇧	⇧	Down	Up
★ Financial recoveries to the City collected ($000)	$6,034	$5,095	$2,588	$3,374	$1,962	⇧	⇧	Down	Up
★ Critical Indicator "NA" Not Available ⇧⇩ Directional Target * None									

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. |

The average time to complete a background investigation increased by 14 percent compared to Fiscal 2018 and was above targeted expectations. The percentage of background investigations closed within 12 months remained relatively stable and increased by one percentage point. In an effort to increase the percentage of background investigations completed in a timely manner, DOI has recently restructured its background unit into two separate teams: one dedicated to efficiently and effectively clearing the backlog of older cases, and one dedicated to using best practices to ensure that, going forward, all requests for background investigations are completed with an average time-to-completion of fewer than six months. DOI is also adding additional staff to assist with the unit's backlog. DOI expects that its statistics for Fiscal 2020 will reflect these changes.

Remaining stable at one day, as it has during the past seven fiscal years, the Department continues to surpass its target for the average time to notify agencies of prospective childcare, home care and family care workers with criminal records. The average time to notify agencies of arrest notifications for current childcare, home care and family care workers similarly remained at one day for the sixth fiscal year.

Performance Indicators	Actual					Target		Trend	
	FY15	FY16	FY17	FY18	FY19	FY19	FY20	5-Year	Desired Direction
★ Average time to complete a background investigation (from date of receipt) (days)	275	351	522	533	605	300	300	Up	Down
★ Background investigations closed within 12 months (from date of receipt) (%)	65%	60%	40%	39%	40%	60%	60%	Down	Up
★ 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	Neutral	Down
Time to notify agencies of arrest notifications for current child-care, home care and family care workers after receipt from State Division of Criminal Justice Services (days)	1	1	1	1	1	*	*	Neutral	Down

★ Critical Indicator   "NA" Not Available   ⇧⇩ Directional Target   * None

AGENCY CUSTOMER SERVICE

Performance Indicators	Actual					Target		Trend	
Customer Experience	FY15	FY16	FY17	FY18	FY19	FY19	FY20	5-Year	Desired Direction
Completed requests for interpretation	24	26	23	16	22	*	*	Down	*
Letters responded to in 14 days (%)	100%	100%	100%	100%	100%	*	*	Neutral	Up
E-mails responded to in 14 days (%)	100%	100%	100%	100%	100%	*	*	Neutral	Up
Average wait time to speak with a customer service agent (minutes)	3	3	3	3	3	*	*	Neutral	Down
CORE facility rating	98	98	100	100	NA	*	*	NA	Up

★ Critical Indicator   "NA" Not Available   ⇧⇩ Directional Target   * None

AGENCY RESOURCES

Resource Indicators	Actual[1]					Plan[2]		
	FY15	FY16	FY17	FY18	FY19	FY19	FY20	5yr Trend
Expenditures ($000,000)[3]	$35.0	$38.4	$45.3	$42.0	$55.3	$54.3	$49.9	Up
Revenues ($000,000)	$3.4	$3.2	$3.2	$3.2	$3.2	$3.8	$3.8	Neutral
Personnel	264	321	353	366	355	403	393	Up
Overtime paid ($000)	$410	$754	$1,047	$1,143	$222	$222	$105	Neutral

[1]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 for details.   [2]Authorized Budget Level   [3]Expenditures include all funds
"NA" - Not Available   * None

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

Unit of Appropriation	Expenditures FY18[1] ($000,000)	Modified Budget FY19[2] ($000,000)	Applicable MMR Goals[3]
Personal Services - Total	$29.6	$32.1	
001 - Personal Services	$24.6	$26.1	All
003 - Inspector General	$5.0	$6.0	All
Other Than Personal Services - Total	$12.4	$23.2	
002 - Other Than Personal Services	$11.1	$21.8	All
004 - Inspector General	$1.2	$1.4	All
Agency Total	$42.0	$55.3	

[1]Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2018. Includes all funds.   [2]City of New York Adopted Budget for Fiscal 2019, as of June 2019. Includes all funds.
[3]Refer to agency goals listed at front of chapter.   "NA" Not Available   * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS ✎

• The Department revised Fiscal 2018 values for 'complaints,' 'written policy and procedure recommendations to City agencies,' 'integrity monitoring agreements,' 'referrals for civil and administrative action,' 'referrals for criminal prosecution,' and 'arrests resulting from DOI investigations,' to reflect updated data.

• The indicator 'Written policy and procedure recommendations accepted by City agencies (%)' has been replaced with 'Written policy and procedure recommendations issued during the previous fiscal year that have since been accepted by City agencies (%)' and 'Written policy and procedure recommendations issued during the previous fiscal year that have since been implemented by City agencies (%)' to account for the time agencies require to respond to recommendations issued by DOI. Data from City agencies on their acceptance and implementation of DOI's Fiscal 2019 recommendations will be reported in the Fiscal 2020 PMMR.

• Fiscal 2019 data for CORE (Customers Observing and Reporting Experiences) facility ratings are not available. CORE inspections will be conducted in the fall and winter of Calendar 2019 and the results will appear in the Fiscal 2020 Mayor's Management Report.

ADDITIONAL RESOURCES

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