



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 and examining systemic issues that undermine good government and New Yorkers' access to services. DOI works to improve the integrity, effectiveness and credibility of City government by investigating cases involving corruption, waste, fraud and inefficiency in City government and issuing policy and procedure recommendations (PPRs) as necessary to mitigate vulnerabilities. To that end, DOI reviews City agencies' policies and procedures and recommends concrete ways to strengthen internal controls so public dollars are saved and operations improved. One example of this work in Fiscal 2020 is DOI's report exposing issues with the City's Special One Time Assistance Program, and related PPRs to improve the program. In addition, during this fiscal period, DOI launched a new portal on its public website that provides access to more than 4,500 PPRs the agency has issued since 2014, allowing users to view DOI's PPRs, the agencies they were issued to, and the PPR status.

DOI's focus on equitable service delivery is also reflected in the Department's arrests and convictions in Fiscal 2020. These include the 4-to-12-year prison sentence for each of three defendants convicted in the 2015 fatal gas explosion that killed two individuals and led to the serious injury of 13 others; the trial conviction of five City Correction Officers as a result of an investigation into illegal strip searches of female visitors at the Manhattan Detention Complex; the indictment of a construction company operator, foreperson and engineer for their roles in the death of a laborer killed in a wall collapse where the investigation found workers' safety and industry protocols were ignored; and the indictment of a business owner assigned to work on public works projects in City public schools who was charged with bilking employees out of more than \$1.5 million in wages.

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 2020

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.

DOI continued its focus on equitable service delivery when it closed its physical offices in March 2020 due to the COVID-19 pandemic. DOI continued to offer most agency services remotely. Overall some performance indicators are understandably lower following the disruptions of COVID-19; however, DOI has continued to provide its vital services and in some cases has expanded its role to meet the needs of the City. During the reporting period, complaints received by DOI decreased by 20 percent compared to the same period last year. There was a 44 percent decrease in the number of complaints received in the last quarter of the fiscal year compared to Fiscal Year 2019 and DOI attributes this to the impact of the COVID-19 pandemic. The Department is confident that moving forward its outreach strategies will result in continued public awareness of the agency's mission and the importance of reporting corruption to DOI.

The number of policy and procedure recommendations decreased by 66 percent. Of the 193 PPRs DOI issued during Fiscal 2020, 59 percent have since been accepted, two percent have been rejected, and 38 percent are pending. This decrease coincides with DOI's focus on recommendations that are tailored to specific agencies (rather than recommendations that had been issued citywide but did not necessarily apply to all City agencies), and a focus during the reporting period on the implementation, rejection, pending and acceptance status of previously issued PPRs. During the latter half of the fiscal year, DOI introduced a PPR Portal providing public access to all PPRs issued by DOI since 2014. The Portal provides the public with a greater understanding of DOI's PPRs, and up to date information on the status of the PPR, including whether the receiving agency has accepted and implemented the PPR. The Portal can be accessed through DOI's [website](#).

The number of corruption prevention and whistleblower lectures conducted by DOI decreased by 29 percent. Similarly, the number of e-learning anti-corruption lectures regularly deployed on-line to City agencies by DCAS, in partnership with DOI, decreased by 20 percent. DOI attributes these decreases to the impact of the COVID-19 pandemic. The Department suspended in person lectures during the pandemic, and technological issues and constraints associated with the shift to telework contributed to the decrease.

DOI continues to supervise integrity monitors for various ongoing vendor operations, including at City projects. At the end of Fiscal Year 2020, DOI had 12 active integrity monitoring agreements. The percentage of vendor name checks completed within 30 days remained stable from last fiscal year. The Vendex unit continues its efforts to increase the percentage of checks completed within 30 days. In response to emergency COVID-19 procurement needs citywide, DOI conducted approximately 70 expedited Vendor Name Checks received directly from agencies. The Department has also been alerted to numerous COVID-19 related fraud schemes including an attempt to exploit the City as it was trying to manage the impact of the COVID-19 pandemic. DOI and the Office of the U.S. Attorney for the Southern District of New York jointly announced the arrest of an individual who allegedly attempted to deceive and price gouge the City into paying him and his co-conspirators approximately \$45 million for 3M-brand personal protective equipment, including N95 respirators that he did not possess and was not authorized to sell. The individual has been charged with conspiring to commit wire fraud, wire fraud and conspiring to violate the Defense Production Act.

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
★ Complaints	11,616	12,132	13,075	15,067	12,017	*	*	Up	*
★ Written policy and procedure recommendations (PPRs) issued to City agencies	717	514	2,051	573	193	300	300	Down	*
Written PPRs issued during previous fiscal years that have been accepted by City agencies (%)	95%	94%	92%	82%	59%	75%	75%	Down	Up
- Written PPRs issued during previous fiscal years that have been implemented of those accepted by City agencies (%)	86%	88%	89%	74%	52%	*	*	Down	Up
Written PPRs issued during previous fiscal years that are still pending an outcome from City agencies (%)	1%	1%	6%	14%	38%	*	*	Up	*
Written PPRs issued during previous fiscal years that have been rejected by City agencies (%)	5%	5%	3%	5%	2%	*	*	Down	*
★ Corruption prevention and whistleblower lectures conducted	408	477	389	449	318	400	400	Down	Up
Corruption prevention lecture e-learning attendees	15,298	18,561	25,068	33,539	26,725	*	*	Up	*
Integrity monitoring agreements	16	18	15	13	12	*	*	Down	*
Vendor name checks completed within 30 days (%)	95%	98%	64%	80%	80%	85%	85%	Down	Up
★ Critical Indicator	"NA" Not Available		⇅ Directional Target	* None					

Goal 1b Improve the impact and effectiveness of investigations.

DOI improves the impact and effectiveness of its investigations by conducting thorough investigations that lead to arrests and recommendations that result in reforms and preventative controls that improve the way the City operates and delivers services to all New Yorkers. The challenges associated with telework during the COVID-19 pandemic, coupled with a focus on large scale investigations and on building strong criminal cases, resulted in the average time to complete an investigation increasing by 22 percent. Referrals for criminal prosecution increased by five percent during the period. While arrests were up 15 percent for the first three quarters of the fiscal year, they dropped by 84 percent in the last quarter resulting in an overall decrease by 11 percent. Referrals for civil and administrative action remained consistent. During the reporting period there was an 11 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 increased four percent compared to Fiscal 2019. Although collection ordered in DOI's cases reflects revenues generated by DOI investigations, collection of these revenues is the responsibility of the relevant prosecutor's office.

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
★ Average time to complete an investigation (days)	145	152	152	179	218	180	180	Up	Down
★ Referrals for civil and administrative action	849	990	770	984	981	*	*	Up	*
★ Referrals for criminal prosecution	745	896	876	722	759	*	*	Neutral	*
★ Arrests resulting from DOI investigations	551	827	706	609	543	*	*	Down	*
★ Financial recoveries to the City ordered/agreed (\$000)	\$3,004	\$4,069	\$4,897	\$2,874	\$2,556	↑	↑	Down	Up
★ Financial recoveries to the City collected (\$000)	\$5,095	\$2,588	\$3,374	\$1,962	\$2,044	↑	↑	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.

For background investigations received on or after July 1, 2019, and closed during the reporting period, 97 percent were closed within six months or less, with an average time to complete of 88 days, well exceeding targeted projections for both indicators. In Fiscal 2020, 1,880 backlogged background investigation requests received prior to July 1, 2019, were completed or closed. Currently remaining open and in process of being completed are 4,599 backlogged investigations. In accordance with social distancing guidelines set by the Mayor's Office to protect the public and DOI employees, DOI suspended in-person fingerprinting at the end of March 2020 and remained closed throughout the fiscal period. The Department worked with City and State partners who oversee childcare services in New York and was able to transition in-person fingerprinting to a private vendor in mid-June. This has enabled DOI to remotely process prospective childcare worker fingerprint results as daycares begin to re-open in the City.

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
★ Average time to complete a background investigation (from date of receipt) (days)	NA	NA	NA	NA	88	180	180	NA	Down
★ Background investigations received and closed within 6 months (%)	NA	NA	NA	NA	97%	80%	80%	NA	Up
Backlogged background investigations closed during the reporting period	NA	NA	NA	NA	1,880	*	*	NA	*
Backlogged background investigations remaining open	NA	NA	NA	NA	4,599	*	*	NA	*
★ 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 childcare, home care and family care workers after receipt from State Division of Criminal Justice Services (days)	1	1	1	1	2	*	*	Up	Down
★ Critical Indicator	"NA" Not Available		↑↓ Directional Target	* None					

AGENCY CUSTOMER SERVICE

Performance Indicators	Actual					Target		Trend	
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	5-Year	Desired Direction
Customer Experience									
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	100	100	100	100	*	*	Neutral	Up
Completed requests for interpretation	26	23	16	22	5	*	*	Down	*
★ Critical Indicator	"NA" Not Available		↑↓ Directional Target	* None					

AGENCY RESOURCES

Resource Indicators	Actual ¹					Plan ²		5yr Trend
	FY16	FY17	FY18	FY19	FY20	FY20	FY21	
Expenditures (\$000,000) ³	\$38.4	\$45.3	\$42.0	\$49.1	\$60.9	\$61.6	\$52.8	Up
Revenues (\$000,000)	\$3.2	\$3.2	\$3.2	\$3.2	\$2.6	\$3.8	\$2.8	Down
Personnel	321	353	366	355	362	410	372	Up
Overtime paid (\$000)	\$754	\$1,047	\$1,143	\$966	\$607	\$490	\$105	Down
¹ Actual financial amounts for the 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 FY19 ¹ (\$000,000)	Modified Budget FY20 ² (\$000,000)	Applicable MMR Goals ³
Personal Services - Total	\$30.4	\$31.6	
001 - Personal Services	\$25.0	\$25.8	All
003 - Inspector General	\$5.4	\$5.8	All
Other Than Personal Services - Total	\$18.8	\$29.4	
002 - Other Than Personal Services	\$17.7	\$27.7	All
004 - Inspector General	\$1.0	\$1.7	All
Agency Total	\$49.1	\$60.9	

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2019. Includes all funds. ²City of New York Adopted Budget for Fiscal 2020, as of June 2020. Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department revised Fiscal 2016, Fiscal 2017, Fiscal 2018, and Fiscal 2019 values for 'written policy and procedure recommendations issued,' 'written PPRs accepted,' 'written PPRs implemented,' 'written PPRs pending,' and 'written PPRs rejected,' to reflect updated data.
- The Department revised Fiscal 2019 values for 'complaints,' 'referrals for civil and administrative action,' 'referrals for criminal prosecution,' and 'arrests resulting from DOI investigations,' to reflect updated data.

ADDITIONAL RESOURCES

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

