



## 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 and examining gross mismanagement and abuse in City agencies. 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 that improve the way the City runs and prevents criminal misconduct and waste. 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. Toward that end, DOI reviews City agencies' policies and procedures to identify vulnerabilities and recommends 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 and issues policy and procedure recommendations as necessary to mitigate vulnerabilities. One example of this mandate in the first four months of Fiscal 2019, is DOI's issuance of a report on the findings of an investigation into the Administration for Children's Services' (ACS) systemic accountability reviews of the safety of children in the Family Foster Care programs administered by private providers contracted by ACS. DOI discovered that, while ACS' evaluation processes uncovered and documented serious safety concerns for children in foster care, ACS frequently failed to then ensure that providers promptly addressed those concerns to prevent risk of harm to children. Specifically, DOI found ACS often did not ensure providers were adequately addressing concerns of poor safety performance identified in ACS' annual performance measurement process called Scorecard, and did not require providers to focus on addressing safety in its quality improvement mechanism called the Collaborative Quality Improvement process. DOI also found that ACS failed to promptly impose consequences when a provider received low safety scores on ACS' internal evaluations. DOI issued 12 recommendations to ACS to ensure providers are consistently held accountable in the future, and ACS agreed to implement all of them. DOI will continue to monitor as ACS reviews the problem providers and decides whether additional corrective action will be taken. DOI documents 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, and issues policy and procedure recommendations. DOI also monitors agency implementation of its recommendations.

## 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

- During the first four months of Fiscal 2019 complaints increased by 23 percent compared to the same period of Fiscal 2018. The Department attributes this to its ongoing public awareness campaign publicizing the damaging impact corruption has on the City and encouraging New Yorkers to act on and report these conditions to DOI.
- During the reporting period the number of written policy and procedure recommendations to City agencies decreased 57 percent. While DOI anticipates that the number of recommendations will continue to increase during the remainder of the fiscal year, it is not expected to meet Fiscal 2018 figures. In Fiscal 2018 DOI found that it needed to issue the same substantive recommendation to numerous City agencies. For every agency that received that particular recommendation, it was counted as a separate recommendation each time. In Fiscal 2019 the Department is continuing its goal of regularly issuing policy and procedure recommendations based on vulnerabilities identified in investigations, in order to promote accountability and decrease systemic vulnerabilities.
- Corruption prevention and whistleblower lectures increased by 14 percent. DOI continues to conduct lectures where it determines that vulnerabilities would be best addressed by the Department. During the reporting period there was an increase in in-person lectures.
- The number of integrity monitoring agreements decreased 18 percent from 17 to 14 due to five monitorships that came to a close in 2018, three of which occurred during the July through October period, either because they were time-limited and the time ended, or the company being monitored was performing well and the monitorship was discontinued.
- An increase in the number of case closures overall, coupled with the complexity and broad nature of these cases, led to a six percent increase in the average time to complete an investigation. However, the turnaround time for closures remains below targeted expectations.
- During the reporting period the number of arrests increased by 13 percent. Similarly, referrals for civil and administrative action increased by 49 percent, while referrals for criminal prosecution decreased by 10 percent.
- During the first four months of Fiscal 2019 there was a 48 percent decrease in financial recoveries to the City due to the nature of cases adjudicated during the period. Recoveries collected from previously closed cases decreased by 54 percent.
- The percentage of background investigations closed within six months increased by two percentage points, while the average time to complete a background investigation increased slightly due to DOI's focus on closing investigations older than 12 months. In an effort to review and close these older investigations, an internal team of background investigators has been assigned to focus solely on closing aged investigations.
- The average time to notify agencies of prospective childcare, home care and family care workers with criminal records after receipt from the State Division of Criminal Justice Services and FBI increased from one to two days. This increase resulted from several DOI Fingerprint Unit staff members on extended leave during the reporting period.

### 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	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
★ Complaints	11,616	12,132	13,073	*	*	4,210	5,195
★ Written policy and procedure recommendations to City agencies	700	512	2,540	300	300	200	87
Written policy and procedure recommendations accepted by City agencies (%)	85%	74%	48%	75%	75%	NA	NA
★ Corruption prevention and whistleblower lectures conducted	408	477	389	400	400	145	165
Corruption prevention lecture e-learning attendees	15,298	18,561	25,068	*	*	11,131	1,557
Integrity monitoring agreements	16	18	15	*	*	17	14
Vendor name checks completed within 30 days (%)	95%	98%	64%	95%	95%	97%	90%
★ Critical Indicator	"NA" Not Available		⬆️⬇️ Directional Target	* None			

**Goal 1b** Improve the impact and effectiveness of investigations.

Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
★ Average time to complete an investigation (days)	145	152	152	180	180	165	175
★ Referrals for civil and administrative action	849	990	762	*	*	239	357
★ Referrals for criminal prosecution	745	896	860	*	*	251	227
★ Arrests resulting from DOI investigations	551	827	661	*	*	182	206
★ Financial recoveries to the City ordered/agreed (\$000)	\$3,004	\$4,069	\$4,897	↑	↑	\$1,942	\$1,012
★ Financial recoveries to the City collected (\$000)	\$5,095	\$2,588	\$3,374	↑	↑	\$1,072	\$493
★ 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.

Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
★ Average time to complete a background investigation (from date of receipt) (days)	351	522	533	300	300	537	562
★ Background investigations closed within 12 months (from date of receipt) (%)	60%	40%	39%	60%	60%	36%	38%
★ 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	2
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" Not Available		↑↓ Directional Target	* None			

**AGENCY CUSTOMER SERVICE**

Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
Customer Experience							
Completed requests for interpretation	26	23	16	*	*	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	98	100	100	*	*	NA	NA
★ Critical Indicator	"NA" Not Available		↑↓ Directional Target	* None			

## AGENCY RESOURCES

Resource Indicators	Actual			Sept. 2018 MMR Plan	Updated Plan	Plan	4-Month Actual	
	FY16	FY17	FY18	FY19	FY19 <sup>1</sup>	FY20 <sup>1</sup>	FY18	FY19
Expenditures (\$000,000) <sup>2</sup>	\$38.4	\$45.3	\$42.0	\$38.9	\$54.3	\$38.4	\$21.9	\$21.9
Revenues (\$000,000)	\$3.2	\$3.2	\$3.2	\$3.8	\$3.8	\$3.8	\$0.4	\$0.2
Personnel	321	353	366	375	403	380	367	355
Overtime paid (\$000)	\$754	\$1,047	\$1,143	\$110	\$222	\$105	\$291	\$312
<sup>1</sup> February 2019 Financial Plan	<sup>2</sup> Expenditures include all funds			"NA" - Not Available				

## 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 <sup>1</sup> (\$000,000)	February 2019 Financial Plan FY19 <sup>2</sup> (\$000,000)	Applicable MMR Goals <sup>3</sup>
Personal Services - Total	\$29.6	\$32.6	
001 - Personal Services	\$24.6	\$26.6	All
003 - Inspector General	\$5.0	\$6.0	All
Other Than Personal Services - Total	\$12.4	\$21.8	
002 - Other Than Personal Services	\$11.1	\$20.4	All
004 - Inspector General	\$1.2	\$1.4	All
Agency Total	\$42.0	\$54.3	
<sup>1</sup> Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2018. Includes all funds.		<sup>2</sup> Includes all funds.	
<sup>3</sup> Refer to agency goals listed at front of chapter. "NA" Not Available * None			

## NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department revised the four-month Fiscal 2018 values for 'complaints,' 'current investigations,' '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.

## ADDITIONAL RESOURCES

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