

Norman M. Dion  
Inspector General

**MEMORANDUM**

**TO:** Ramanathan Raju, MD President  
**FROM:** Norman M. Dion   
**DATE:** December 11, 2014  
**RE:** Statistical Report, June 1, 2014 to November 30, 2014

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As requested, this report contains statistical information regarding the activities of the Office of the Inspector General (OIG) for the period of June 1, 2014 to November 30, 2014.

During this period the OIG received 684 complaints or requests for assistance of various types. The complaints received by the OIG consist of a wide range of topics including, but not limited to, assault, bribery, conflicts of interest/violations of ethics rules, fraud, narcotics, patient complaints, personnel grievances, sexual abuse, solicitation, theft, HIPAA violations, and time and leave abuses. These complaints are either referred to the appropriate unit of HHC for further disposition; closed for intelligence purposes due to the fact that insufficient information is presented for action or that a cognizable complaint is not asserted; or, opened for a preliminary or full investigation.

Preliminary investigations are low priority items for which little actionable information has been presented in a complaint, but which, on their face, present a serious allegation, or are similar to previous allegations received by the OIG regarding a particular unit, suggesting the existence of a deeper problem. Additional information is sought in order to make a responsible, informed decision regarding the appropriate handling and disposition of the complaint. During the reporting period the OIG closed 18 preliminary investigations, and 73 remain open.

Investigations are full blown inquiries, usually regarding matters that involve allegations of serious criminality or misconduct, or matters of significant or systemic import to HHC. During the reporting period, 32 of these cases were closed, and 212 remain open.

As noted above, a volume of complaints is handled by referring each matter to the appropriate HHC unit for further disposition. The vast majority of these items involves labor relations matters, grievances, or other matters of a primarily administrative nature not involving criminality or serious misconduct. These items are tracked by this Office and logged as “open” until a response is received from the unit to which they were referred. They are not actively investigated by this Office. In the event that a response reveals a more serious issue warranting this Office’s attention, the matter is reconsidered for possible investigation. The complaints and responses are maintained as a valuable base of intelligence. During the reporting period, 28 items were closed, and 208 remain open.

Similarly, the arrests of HHC employees reported to the OIG by the Department of Criminal Justice Services and/or the NYPD are referred in turn to the appropriate HHC unit for appropriate handling. These referrals are tracked by this Office and logged as “open” until documentation of final disposition by the courts is received. During this period, 46 items were closed, and 376 remain open.

In addition, the OIG handles a significant volume of requests from HHC facilities as well as other public agencies for background information regarding current and former HHC employees being considered for employment by those entities. While initial background investigations are performed for HHC by either DOI or a private company, this Office will undertake more extensive and detailed investigations where the initial findings indicate that such an approach is warranted. The OIG has, overall, received and completed 227 such background reviews during this period.

Also, the OIG performs vendor background checks, i.e., VENDEX checks, both for HHC as well as, for a comparatively lesser number, other municipal agencies. This Office reviews its own case management system, as well as a number of other public and law enforcement databases, for any pejorative information relating to companies and their principals seeking to do business with HHC or Mayoral agencies. The OIG has received and completed 59 such requests this period.

The OIG receives requests from other law enforcement agencies for various types of assistance in investigations conducted by them that involve HHC employees or vendors, directly or indirectly. This Office provides such assistance within the limits of applicable law. The OIG received and completed 10 such requests for assistance during this period.

Lastly, in an effort to establish a visible and effective presence in the facilities, for the last several years this Office has assigned investigators to perform on-site inspections of the hospitals. Specifically, they meet with hospital staff including, but not limited to, security, risk management, human resources, and labor relations staff to review incident activities and disciplinary matters to determine if issues exist which are of concern to or should have been reported to this Office. During this reporting period, 80 inspections have been conducted with

222 contacts with HHC staff having been made. These contacts have resulted in 8 complaints being generated for review by the OIG.

Finally, four (4) Reports and Recommendations have been issued to the President's Office during this reporting period. One report related to a lengthy investigation, conducted in part, in cooperation with the district attorney's office having jurisdiction over the matter. No wrongdoing was found. One report related to an in-depth background investigation of a HHC employee. OIG #13-0504 described a pattern of nepotism by the Senior Director of Central Office Human Resources, Gloria Velez. Ms. Velez retired shortly after the issuance of the report. OIG #09-0219 related to an investigation of multiple accusations of wrongdoing by Stacey Amato, Senior Director, Patient Accounts, Elmhurst Hospital. Ms. Amato was ultimately fined \$1,000 by the Conflicts of Interest Board for accepting a gift from a subordinate.

During this reporting period, the Conflicts of Interest Board issued findings regarding a report filed during the previous period. OIG #12-0679 reported an investigation of conflicts of interest related to the conduct of William LaRosa and Samuel Maldonado, Supervising Electrician and Electrician's Helper, respectively. They were found to have been involved in a private business venture together, and to have used HHC computer for that business, in violation of the law. LaRosa was fined \$6,000, and Maldonado was fined \$4,000.

## SUMMARY

Complaints	684
Preliminary Investigations	
Closed	18
Open	73
Investigations	
Closed	32
Open	212
Administrative Referrals	
Closed	28
Open	208
Arrest Referrals	
Closed	46
Open	376
Background Requests	227
VENDEX Checks	59
Inspections	80
Contacts	222
Complaints	8