Department of Investigation

Rose Gill Hearn, Commissioner

Key Public Service Area

✓ **Maintain the integrity of City agencies, employees, contract vendors and recipients of City funds.**

Scope of Agency Operations

The Department of Investigation (DOI) promotes and maintains integrity and efficiency in City government operations by investigating and referring for prosecution City employees and contractors engaged in corrupt activities or unethical conduct. It has oversight of more than 45 Mayoral agencies that employ more than 300,000 staff members, and over 300 other City boards and commissions. The Department studies City agencies vulnerabilities to determine if corrective action is necessary and recommends actions to prevent criminal misconduct and waste.

Critical Objectives

- Improve the impact and efficiency of investigations.
- Ensure the timely completion of background investigations and fingerprint checks of employees of City licensed private day care centers and programs that contract with the City.
- Assist City agencies in preventing corruption and waste.

Preliminary Performance Highlights

- Continuing to focus limited resources on more complex investigations, DOI's caseload decreased by 5 percent during the reporting period.
- The number of cases closed increased by 15 percent due to the disposition of a higher number of routine cases. The overall average time to complete a case decreased by 20 percent. Turnaround times for major and routine cases decreased by 9 percent and 11 percent, respectively, while turnaround time for significant cases decreased by 75 percent due to the Department's current focus on the expeditious disposition of significant cases, as well as the closure of a number of older significant investigations in the prior reporting period.
- Arrests resulting from investigations decreased by 51 percent due to a reduction in investigative staff and a wide-sweeping arrest initiative undertaken during Fiscal 2011. Concomitantly, referrals for criminal prosecution decreased by 52 percent and referrals for civil and administrative action decreased by 5 percent. The Department expects that the number of arrests in Fiscal 2012 will be comparable to Fiscal 2011.
- Written policy and procedure recommendations decreased by 7 percent due to the reduction in the overall caseload and on-going efforts by agencies to address and correct vulnerabilities.
- During the first four months of Fiscal 2012 there was a 23 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 26 percent and recoveries to individuals and non-City entities decreased by 67 percent. The Department anticipates substantial recovery to the City during the remainder of Fiscal 2012.
- Background investigations closed within 6 months decreased by 7 percentage points as a result of the closure of a higher percentage of pending investigations over six months old. The average time to complete a background investigation decreased by 21 percent.
- Arrest notifications received for current childcare workers fingerprinted by the Department decreased by 13 percent during the reporting period. The average time to notify childcare workers with criminal records remained stable at 2 days.
- The Department conducted 38 percent more corruption lectures during the reporting period. This increase reflects DOI's continuous efforts to insure that employees and contractors remain cognizant of corruption vulnerabilities. DOI will no longer report data for the number of individuals attending these lectures.
- The number of companies monitored by the Department's Integrity Monitor Program more than doubled as part of the Department's focus on vendor integrity.

Performance Report

✓ **Maintain the integrity of City agencies, employees, contract vendors and recipients of City funds.**

	Actual			Target			
				Updated		4-Month Actual	4-Month Actual
Performance Statistics	FY09	FY10	FY11	FY12	FY13	FY11	FY12
Complaints	14,594	13,825	13,626	*	*	4,393	4,151
★ *Caseload*	2,396	2,258	1,955	*	*	1,143	1,084
Cases closed	1,438	1,427	1,202	*	*	343	393
Referrals for criminal prosecution	630	753	1,010	*	*	429	206
Arrests resulting from DOI investigations	731	822	791	*	*	344	170
Referrals for civil and administrative action	1,867	1,876	1,087	*	*	374	356
Written policy and procedure recommendations to City agencies	460	357	310	*	*	108	100
★ *Financial recoveries to the City ordered/agreed ($)*	$16,184,024	$18,086,520	$20,985,513	*	*	$2,097,761	$1,624,568
★ *Financial recoveries to the City collected ($)*	$6,633,626	$8,537,930	$9,973,645	*	*	$1,506,398	$1,120,622
Financial recoveries to individuals and non-City entities ordered/agreed ($)	$17,981,661	$16,840,648	$21,001,578	*	*	$3,616,707	$1,184,156
★ *Average time to complete a case (days)*	277	296	274	*	*	301	240
★ *- Major investigations*	869	904	466	*	*	344	313
★ *- Significant investigations*	484	682	628	*	*	1,165	293
★ *- Routine investigations*	267	269	259	*	*	266	237
★ *Average time to complete a background investigation (days)*	310	451	370	*	*	459	364
Background investigations closed within six months (%)	60%	53%	60%	60%	60%	58%	51%
Time to notify agencies of childcare workers with criminal records after receipt from the State Division of Criminal Justice Services (days)	4	4	2	4	4	2	2
Arrest notifications received for current childcare workers	2,360	2,420	2,372	*	*	855	740
Corruption prevention and whistleblower lectures conducted	546	625	446	300	300	139	192
★ *Average time to complete a VENDEX check (calendar days)*	NA	34	15	*	*	14	14
★ *VENDEX checks completed within 30 days (%)*	NA	60%	98%	95%	95%	99%	98%
Companies monitored by DOI's Integrity Monitor Program	7	5	12	*	*	5	13

★ *Critical Indicator* *"**NA**" - means Not Available in this report*

Agency Customer Service

The Department of Investigation provides service to its customers through its walk-in facilities, website and correspondence.

Indicator	DOI Jul-Oct FY11	Citywide Jul-Oct FY11	DOI Jul-Oct FY12	Citywide Jul-Oct FY12	DOI Change Jul-Oct FY11 to FY12	Citywide Change Jul-Oct FY11 to FY12
Average response time for email correspondence (days)	3	5	3	8	0%	60%
Average response time for letters/mail correspondence (days)	3	11	3	9	0%	-18%
Number of 311 inquiries (to MMR agencies)	1,708	2,467,532	1,293	2,245,344	-24%	-9%

311 Customer Service Inquiries

Top DOI-related Inquiries	Total Jul-Oct FY11	% of DOI Inquiries in Jul-Oct FY11	Rank in # of Calls in Jul-Oct FY11	Total Jul-Oct FY12	% of DOI Inquiries in Jul-Oct FY12	Rank in # of Calls in Jul-Oct FY12
Contact or Locate a City Marshal	794	46%	1	582	45%	1
City Worker or Contractor Corruption	411	24%	2	356	28%	2
City Marshal Complaint	260	15%	3	228	18%	3
Fingerprinting - Center-Based Day Care or Pre-School	214	13%	4	113	9%	4
Become a City Marshal	28	2%	5	14	1%	5

Agency Resources

	Actual			September 2011 MMR	Updated		4-Month Actual	4-Month Actual
Agency Resources	FY09	FY10	FY11	FY12	FY12[1]	FY13[1]	FY11	FY12
Expenditures ($ millions)[2]	$24.2	$22.7	$21.7	$20.3	$21.3	$20.1	$8.7	$9.0
Revenues ($ millions)	$3.1	$4.5	$7.3	$4.7	$4.2	$3.8	$0.2	$0.2
Personnel	234	217	197	223	229	226	209	196
Overtime paid ($000)	$20	$34	$104	*	*	*	$15	$10

[1] *January 2012 Financial Plan* ***"NA"*** *- Not Available in this report*
[2] *Expenditures include all funds. January Plan figures reflect modifications in Federal, State, and other non-City funding since the adoption of the 2012 budget.*

Noteworthy Changes, Additions or Deletions

- The Department renamed its Independent Private Sector Inspectors General (IPSIG) program; it is now known as the Integrity Monitor Program.

For more information please visit the website at: www.nyc.gov/doi