

# THE COUNCIL OF THE CITY OF NEW YORK

Hon. Corey Johnson  
Speaker of the Council

Hon. Ritchie Torres  
Chair, Committee on Oversight and Investigations



Report of the Finance Division on the  
Fiscal 2020 Preliminary Plan and the  
Fiscal 2019 Preliminary Mayor's Management Report for the

## **Department of Investigation**

March 26, 2019

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## Department of Investigation Overview

The Department of Investigation (DOI or the Department) serves as the City's Inspector General. With independent oversight of City government; DOI's broad jurisdiction includes more than 45 mayoral agencies and over 300 other City agencies, entities, boards and commissions, including NYCHA; DOE; NYPD; School Construction Authority; and NYC Health and Hospitals. For more than 140 years, DOI has served as the City's anti-corruption watchdog, protecting against corruption, fraud, waste, malfeasance, and misconduct. By investigating City employees and contractors who may be engaged in corrupt activities or unethical behavior, DOI promotes and maintains integrity and efficiency in City government.

DOI provides the Mayor with recommendations for corrective and preventive actions to assist City agencies in the design and interpretation of strategies to limit criminal misconduct and waste. In addition to its law enforcement responsibilities, the Department investigates the backgrounds of certain City workers earning more than \$100,000 annually and those selected to work in decision-making or sensitive City jobs. As part of its strategy, DOI conducts Vendor Exchange System (VENDEX) checks on companies awarded contracts with the City and acts as the investigative arm of the Conflicts of Interest Board (COIB). The diagram below illustrates DOI's primary responsibilities as the City's independent Inspector General.



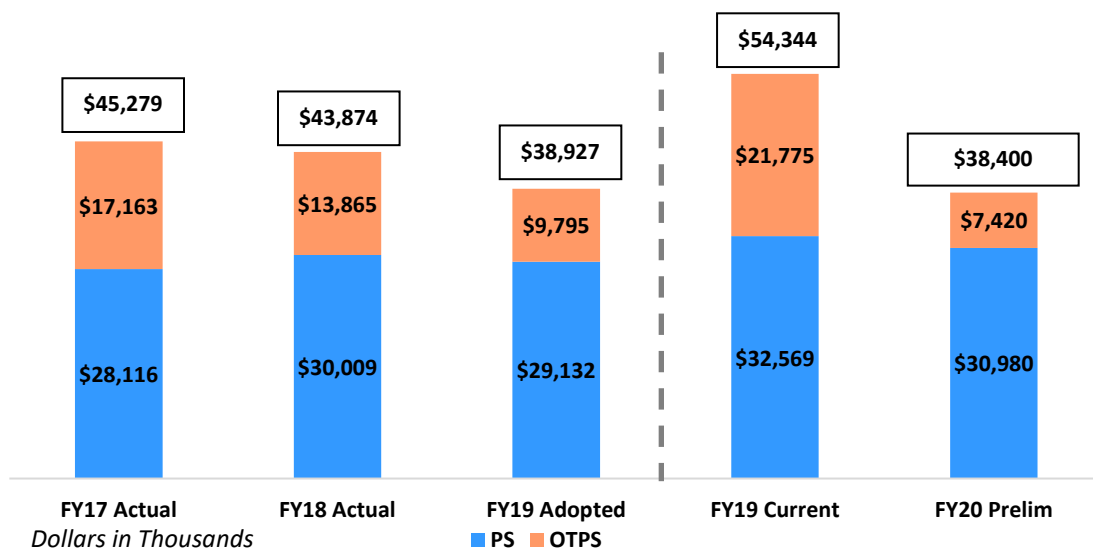
The Department also supports the work of the Special Commissioner of Investigation (SCI or the Office) for the New York City School District which has jurisdiction over the Department of Education (DOE). The Office investigates allegations of corruption, fraud, and conflicts of interests within the public school system; as well as cases of corporal punishment and sexual misconduct. As part of its strategy, SCI makes determinations on alleged violations of whistleblower protection effecting DOE employees and vendors under both the NYC Charter and the corresponding Board of Education (BOE) Whistleblower resolution. SCI is also the Inspector General for both the Teachers Retirement System and the Board of Education Retirement System.

This report provides a review of DOI's Fiscal 2020 Preliminary Budget. The first section presents highlights of DOI's \$38.4 million Fiscal 2020 Preliminary Budget. The second section provides an overview of the Department's units of appropriation and a review of the Fiscal 2019 Preliminary Mayor's Management Report (PMMR). The appendices contain information regarding budget actions in the November 2018 and Preliminary Financial Plans for Fiscal 2019 and Fiscal 2020, DOI's Fiscal 2020 Contract Budget, and unit of appropriation (U/A) budget details.

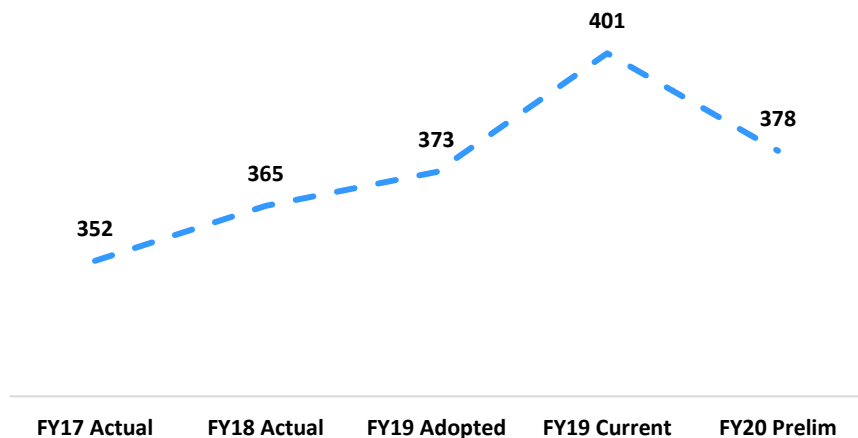
## Fiscal 2020 Preliminary Budget Highlights

DOI's Fiscal 2020 Preliminary Budget totals \$38.4 million, including \$31 million for personal services (PS) to support 378 positions and \$7.4 million in other than personal services (OTPS). The Fiscal 2020 Preliminary Budget reflects a decrease of \$526,000, or 1.4 percent, when compared to the Fiscal 2019 Adopted Budget of \$38.9 million. The PS budget accounts for 80.7 percent of the Department's total budget for Fiscal 2020, and the OTPS budget accounts for 19.3 percent. Overall, DOI's budget remained stable for the past two years. The Department's budget increased 25 percent in Fiscal 2019 when compared to Fiscal 2018.

DOI Budget Overview: PS vs. OTPS



DOI Budget Overview: Headcount



## Budget Structure

DOI has two program areas: Agency Operations (AO) and Inspector General (IG). Within those two areas, each area has one PS U/A, and one OTPS U/A, for a total of four U/As that support the Department.



AO is the administrative and operations arm of the agency. AO has 318 positions, including the Commission to Combat Police Corruption, the Special Commissioner of Investigation to the Department of Education, the New York Police Department Inspector General, and other technical staff.



IG is the specialized investigative arm of the agency. IG has 83 actual positions, IG positions are funded through intra-City agreements with various City agencies.

## Financial Plan Summary

The following table provides an overview of DOI's actual expenditures for Fiscal 2017 and Fiscal 2018, the funding in the Adopted Budget for Fiscal 2019, and current expenditures for Fiscal 2019 as proposed in the Fiscal 2020 Preliminary Plan.

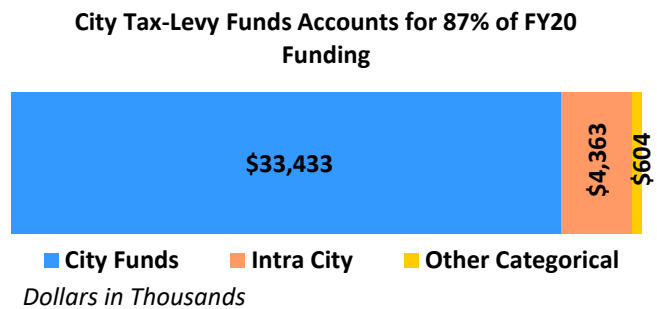
<b>Department of Investigation Financial Summary</b>						
<i>Dollars in Thousands</i>						
	<b>FY17 Actual</b>	<b>FY18 Actual</b>	<b>FY19 Adopted</b>	<b>Preliminary Plan FY19</b>	<b>FY20</b>	<b>*Difference FY19-FY20</b>
<b>Budget by Program Area</b>						
Agency Operations	\$40,370	\$35,733	\$33,500	\$46,950	\$33,143	(\$357)
Inspector General	4,908	6,247	5,427	7,394	5,258	(169)
<b>TOTAL</b>	<b>\$45,278</b>	<b>\$41,980</b>	<b>\$38,927</b>	<b>\$54,344</b>	<b>\$38,400</b>	<b>(\$526)</b>
<b>Funding</b>						
City Funds			\$30,887	\$31,230	\$33,433	\$2,546
Other Categorical			604	1,018	604	0
State			0	138	0	0
Federal - Community Development			0	3,060	0	0
Federal - Other			2,597	12,268	0	(2,597)
Intra City			4,839	6,631	4,363	(476)
<b>TOTAL</b>	<b>\$45,278</b>	<b>\$41,980</b>	<b>\$38,927</b>	<b>\$54,344</b>	<b>\$38,400</b>	<b>(\$526)</b>
<b>Budgeted Headcount</b>						
Full-Time Civilian Positions - Agency Operations	300	301	313	318	318	5
Full-Time Civilian Positions - Inspector General	52	64	60	83	60	0
<b>TOTAL</b>	<b>352</b>	<b>365</b>	<b>373</b>	<b>401</b>	<b>378</b>	<b>5</b>

*\*The difference of Fiscal 2019 Adopted Budget compared to Fiscal 2020 Preliminary Budget.*

It is important to note that the Preliminary Plan did not introduce any significant changes to the Department's budget for Fiscal 2019 or Fiscal 2020. However, the Department submitted two additional budget requests to the Office of Management and Budget that were not included in the Fiscal 2020 Preliminary Plan: Inspector General Salary Parity of \$306,000, and Background Unit of \$885,000.

With the exception of the \$15.4 million added to the Fiscal 2019 Budget in November, most of the year-to-year changes in the Financial Summary were scheduled in prior plans. During the last two years, actual spending for DOI averaged roughly \$44.6 million, which is slightly higher when compared to the proposed Fiscal 2020 Preliminary Budget. During the same time, DOI's headcount averaged 359 positions; which is approximately 5.3 percent lower than the budgeted 378 positions for Fiscal 2020. With an increase of 28 positions over the 373 budgeted for Fiscal 2019 at adoption, the current Fiscal 2019 Budget includes a headcount of 401 positions. This mid-year headcount increase is associated with non-city influx recognized for Fiscal 2019 only.

At adoption, the projected Fiscal 2020 budget was already \$1.5 million less than the Fiscal 2019 Adopted Budget. Of the \$38.4 million budgeted for Fiscal 2020, 87 percent is City tax-levy funding and the remaining 13 percent is non-City funding. The Department's intra-City revenue of \$4.3 million primarily funds specialized investigations and inspector general oversight positions within City agencies.



AO accounts for the bulk of the Department's budget. As of the Fiscal 2020 Preliminary Plan, City-tax levy funding for Fiscal 2019 accounts for 65 percent of the AO's budget and the remaining 35 percent accounts for non-City funding. Without any additional Fiscal 2020 influx, City tax-levy funding is estimated to increase to 99 percent of the Agency Operations budget in Fiscal 2020. The Mayor proposed a \$750 million PEG target to be introduced in the Executive Budget. The Office of Management and Budget assigned a \$1.2 million PEG target to DOI.

### Financial Plan Changes

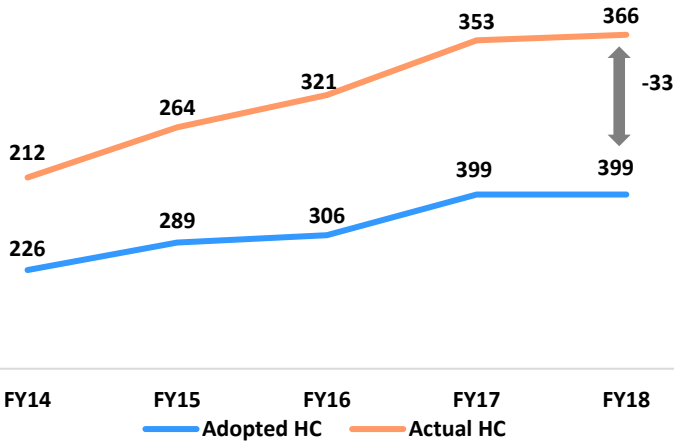
The November and Preliminary Plans have introduced minor changes to the DOI Budget. Changes impacting Fiscal 2019 include approximately \$6.6 million in other adjustments toward an infrastructure upgrade and recognition of \$2.9 million in federal aid for housing recovery operations. Changes impacting the Fiscal 2020 budget include \$1.8 million in collective bargaining increases. These actions reconcile the Department to its current budget of \$54.3 million for Fiscal 2019 and \$38.4 million for Fiscal 2020. See Appendix A for all budget actions introduced since the Fiscal 2019 Adopted Budget.

- Information Technology Infrastructure.** The \$3.8 million funding introduced in the November Plan is used to support the upgrade of DOI's IT infrastructure at 180 Maiden Lane that is not capitably eligible (i.e. IT/ Network/Cabling). The Preliminary Plan introduced an allocation of federal asset forfeiture funding of \$2.8 million, which completed the total of \$3.8 million in funding for Fiscal 2019. Some of the costs associated with the IT infrastructure are recurring and cannot be sustained over the long run with asset forfeiture funding. Understanding this, DOI has requested tax-levy funding for Fiscal 2020 and the outyears.
- NYCHA FEMA Put-Up.** The November 2018 Plan introduced one-time funding of \$2.3 million rolled from the prior fiscal year to Fiscal 2020.
- Housing Recovery Operations Rollover.** The November Plan recognized \$2.9 million in Fiscal 2019 only of funds rolled from the prior years' grant.

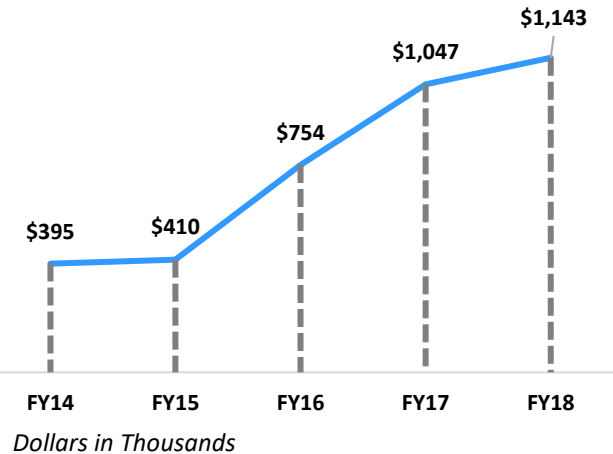
## DOI Overtime

While DOI's budgeted headcount has increased over the last five years, the Department has not been able to keep pace with hiring and, as such, overtime expenditures have increased within DOI.

**DOI Has Not Been Able To Keep Up With Hiring**



**Overtime Expenditures Keep Rising**



Over the last five years, DOI's budgeted headcount averaged 324 positions. Actual positions averaged only 303, which translates in an overall deficit of approximately 30 positions per year. Between Fiscal 2014 to Fiscal 2018, overtime expenditures skyrocketed from \$395,000 to \$1.1 million. Of note, DOI has not presented a hiring plan to fill all of its vacancies, so it is anticipated that overtime expenditures will once again exceed \$1 million in Fiscal 2019.

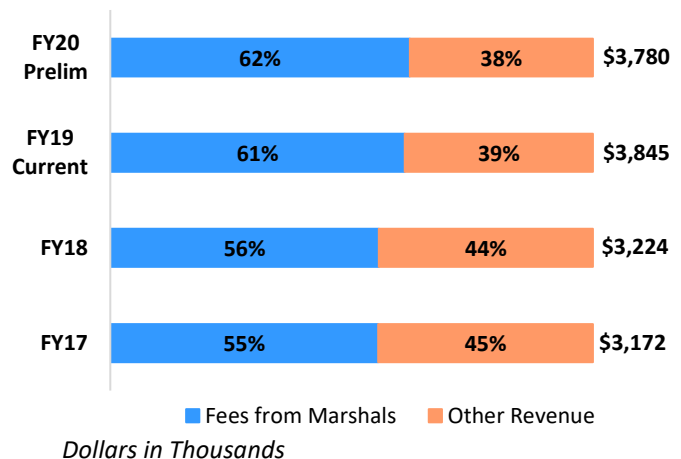
## Revenue

DOI obtains a wide variety of non-recurring revenue sources, revenue for the Department can vary significantly from year to year. The bulk of the Department's Miscellaneous Revenue Budget comes from Marshals fees. DOI also receives revenue from other fines, background investigation fees, and restitution from City employees.

The chart on the right shows actual revenue collected in Fiscal 2017 and 2018 and projected revenue for Fiscal 2019 and Fiscal 2020 as of the Preliminary Plan. Revenue actuals for Fiscal 2017 and Fiscal 2018 averaged \$3.2 million. The average projections for Fiscal 2019 and Fiscal 2020 show an increase in expected revenue of \$608,000, or 19 percent.

Marshals' fees account for an average of 55 percent of the Department's total revenue from Fiscal 2017 through Fiscal 2018 and those fees are projected to comprise between 61 to 62 percent in Fiscal 2019 and 2020. See Appendix C for a breakdown of revenue sources.

**Marshals Fees Account for an Average of 55% of DOI's revenue**

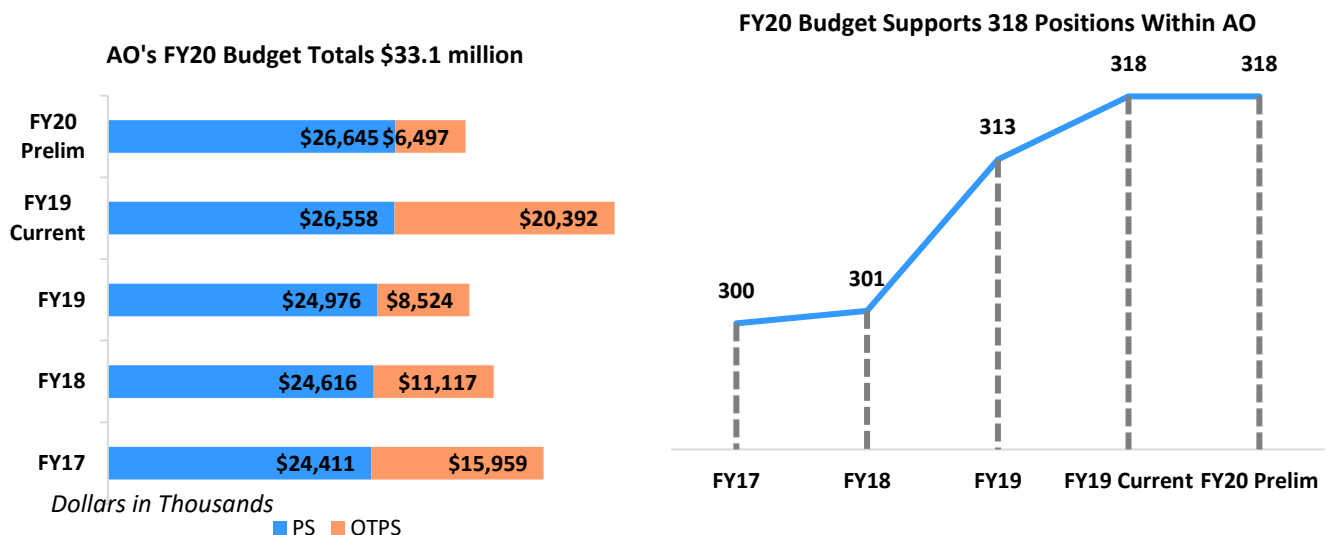


## Program Areas

This section refers to the two program areas of DOI: Agency Operations and Inspector General. As the financial plan illustrates, AO's funding accounts for \$33.1 million, or 86 percent, of the Department's total Fiscal 2020 Budget. This includes a headcount of 318 positions, or 84 percent, of the total staff. On the other side, funding for the IG program area accounts for \$5.3 million, or 14 percent, and headcount of 60 positions, 16 percent. In Fiscal 2019, the Preliminary Plan shows an increase of approximately \$15.4 million. Of this amount, \$13.5 million is for the AO program area, and \$2 million is for the IG program area, which is largely due to PS and OTPS funding to support 23 additional positions. The changes in DOI's Fiscal 2019 Budget during the course of the fiscal year are primarily non-City funds.

## Agency Operations

Agency Operations includes the Inspector General squads; the Commission to Combat Police Corruption; the Special Commissioner of Investigation to the Department of Education (DOE); the NYPD Inspector General; the Department's outreach efforts, policy, and program development; and the technical support unit. This program area also includes administrative staff, the New York City Marshals and the VENDEX Unit. See Appendix D for a breakdown of the Inspector General Squads and oversight area.

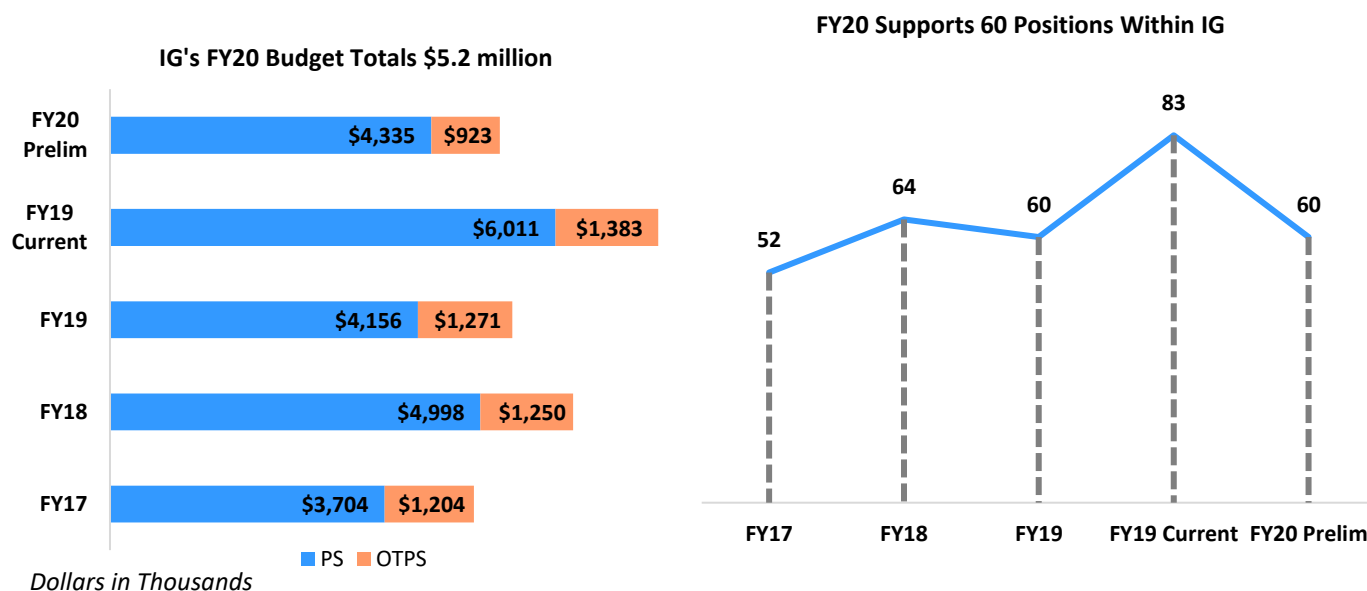


The Department's Fiscal 2020 Preliminary Budget includes \$26.7 million in PS to support 318 positions and \$6.5 million for OTPS. It is essentially the same as the adopted budget for Fiscal 2019. The Agency Operation's Fiscal 2019 Budget shows an increase of \$13.5 million since adoption, which includes an increase of \$1.6 million in PS and \$11.9 million in OTPS. This increase is attributable to an influx of federal funding after adoption.



## Inspector General

The IG program area of DOI's budget funds Inspectors General and other investigative staff through intra-City agreements to provide specialized investigations and oversight of agencies, such as the Administration for Children's Services (ACS), the New York City Economic Development Corporation (NYCEDC), the Human Resources Administration (HRA), the Department of Environmental Protection (DEP), the Department of Buildings (DOB), New York City Health and Hospitals (NYC H+H), and the Department of Design and Construction (DDC). These agencies have agreements with DOI to investigate specific programs or areas of corruption within their agency.



The IG program area accounts for 14 percent of the Department's overall Fiscal 2020 Preliminary Budget. The Fiscal 2020 Preliminary Budget includes \$5.2 million to support 60 positions, which includes \$4.3 million in PS and \$923,000 million in OTPS funding. Intra-City funding accounts for 82 percent of the Inspector General program area budget. City tax-levy funds account for 14 percent, or \$742,000 and other categorical funds account for four percent of the IG Fiscal 2020 Preliminary Budget. The IG program area Fiscal 2019 budget shows an increase of approximately \$2 million since adoption, due to an increase in intra-City funding.

## Pay Parity

Per DOI's analysis, IG within the Department earn on average 12 percent less than its counterparts at the District Attorney's (DA) Offices in New York City. According to the analysis, the average salary for Deputy Bureau Chief titles at the DA's office is \$147,000, whereas IG within DOI earn \$130,000. Taking into account the impact that the salary gap has in the retention rate of qualified talent, the Department requested funding of \$306,000. By reducing the salary gap and offering competitive salaries, DOI expects to have a direct impact on recruitment and AO.

## Fiscal 2019 PMMR

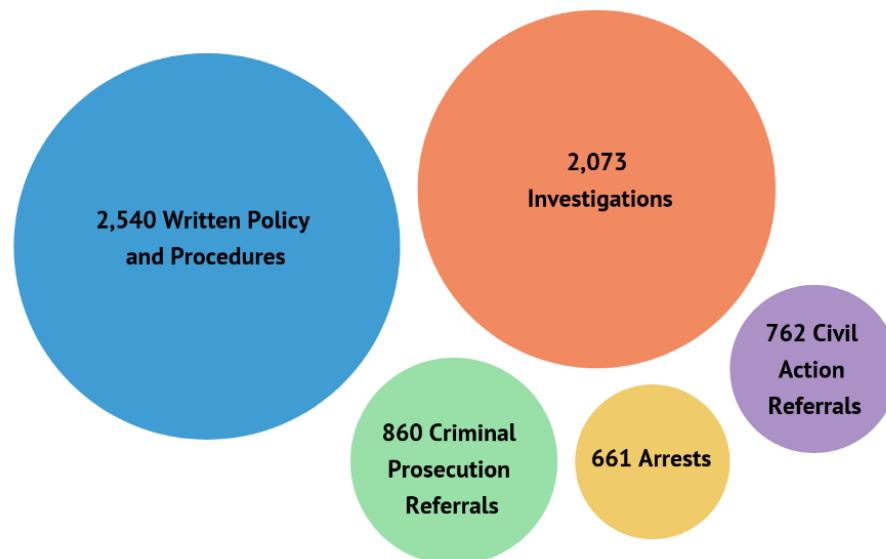
Each program area includes relevant Fiscal 2019 PMMR indicators to demonstrate effective and efficient budgeting and spending by DOI. The PMMR offers little to no explanation of the increases or decreases in DOI's performance. The performance indicators listed in the program areas illustrate DOI's efforts to improve the way the City runs and prevent criminal misconduct and waste.

The Fiscal 2019 PMMR lists DOI's three main service goals, which are to: 1) maintain the integrity of City agencies, employees, contract vendors, and other recipients of City funds; 2) improve the impact and effectiveness of investigations; and 3) ensure that all background investigations and fingerprint checks are conducted in a timely manner.

## DOI Performance

The diagram below highlights the number of investigations, arrests, criminal prosecution referrals and policy and procedure recommendations completed in Fiscal 2018.

DOI's Performance by the Numbers



Additionally, in Calendar Year 2018, the various Inspectors Generals produced an aggregate of 13 investigative reports uncovering operational disparities, theft, fraud, and criminal activity. No reports have been published in 2019 to date. The New York City Marshals handled 21,811 residential evictions in 2018. To date, DOI has handled 3,254 residential evictions in 2019.

## PMMR Indicators

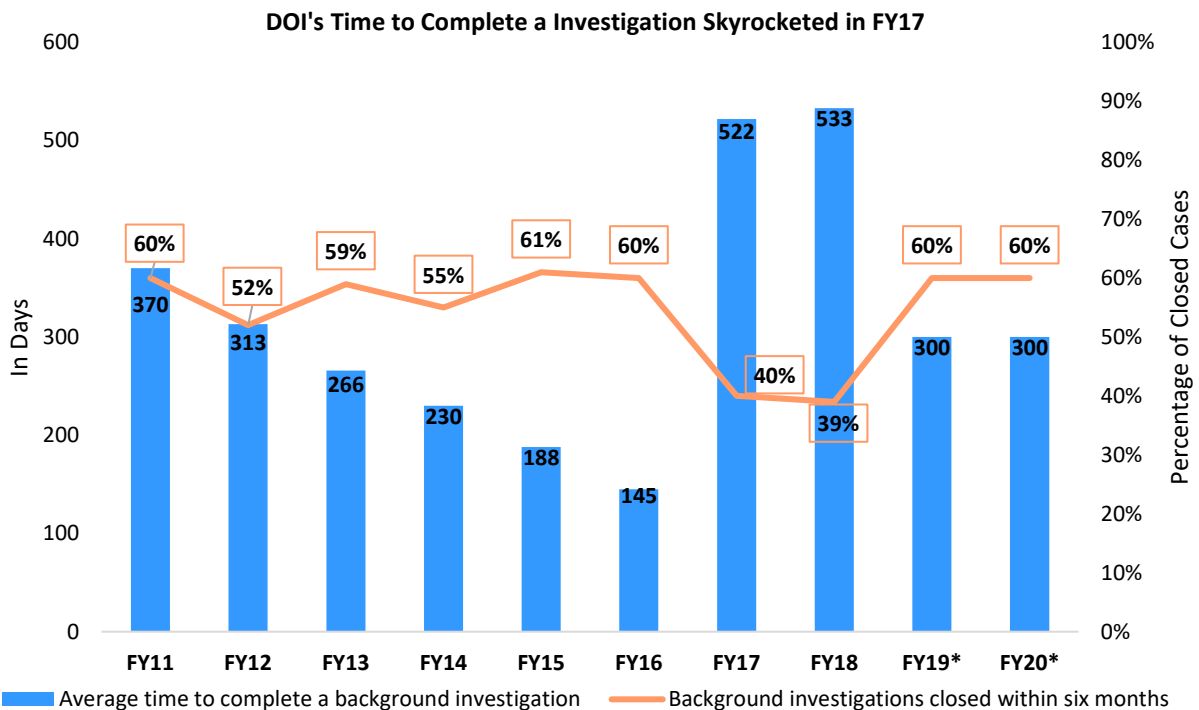
DOI can either initiate investigations on its own or begin investigations once it receives a complaint through their digital platforms or direct agencies. The subsections below show data from the Fiscal 2019 PMMR regarding background investigations, complaints received, number of written policy recommendations that DOI issued to city agencies, investigations and referrals for civil action or prosecution, and financial recoveries.

### Background Investigations

According to DOI, the agency annually conducts approximately 2,000 background investigations. This includes new City employees, internal employees promoted to management positions, individuals earning more than \$100,000 per year, City contracts and individuals who work on the City's computer programs or are assigned to other sensitive positions.

The Background Investigation Unit is responsible for conducting background investigations in which information is sought about, *inter alia*, qualifications, criminal history, financial, tax and licensing matters, conflicts of interest, and prior employment or other dealings with the City.

Currently, the Background Unit has four supervisors, 17 investigators, and two administrative staff. Over the last eight years, the average time to complete a background investigation was 321 days, with an average of 53 percent of investigations closed within six months. It is important to note that between Fiscal 2011 and Fiscal 2016, the average time to complete a background investigation decreased from 370 to 145 days. Since then, DOI's time to complete a background investigation has skyrocketed, growing from an average of 145 days in Fiscal 2016 to an average of 533 days in Fiscal 2018. Four-month actuals for Fiscal 2019 show an increase of 29 days, which DOI attributes to constant staff vacancies within the Background Unit. Being the only City agency responsible for background investigations, this increase in the average time to complete an investigation creates a major risk and significant operational issue for the City.

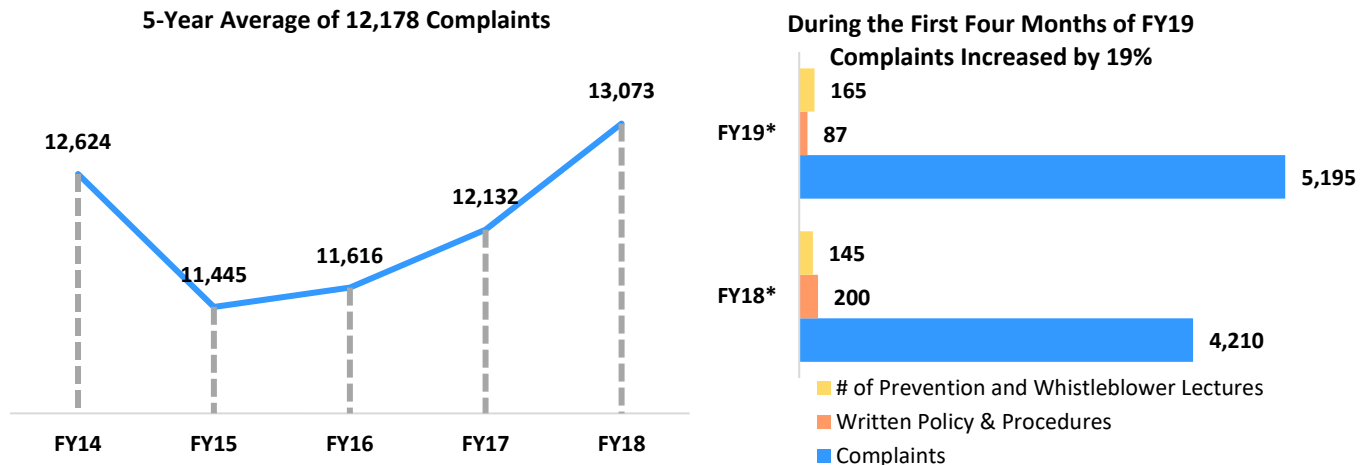


The Department was neither able to decrease the average time to complete a background investigation, nor to increase the percentage of background investigations closed within six months. According to DOI, this is the result of the Department's focus on closing older investigations, which required more resources than available. For this reason, DOI assigned an internal team of background investigators to focus solely on closing aged cases. For Fiscal 2020, the Department submitted a budget request of \$885,000 that included a 13 headcount baseline for the Background Unit as follows: two assistant inspector generals (\$85,000 each), ten investigators (\$60,000 each), one administrative staff (\$50,000), and OTPS (\$5,000 each).

It is important to note, however, that the recently introduced PEG program by the Mayor may perpetuate DOI's staff shortage, and as such, compromise the time and resources needed to complete such investigations.

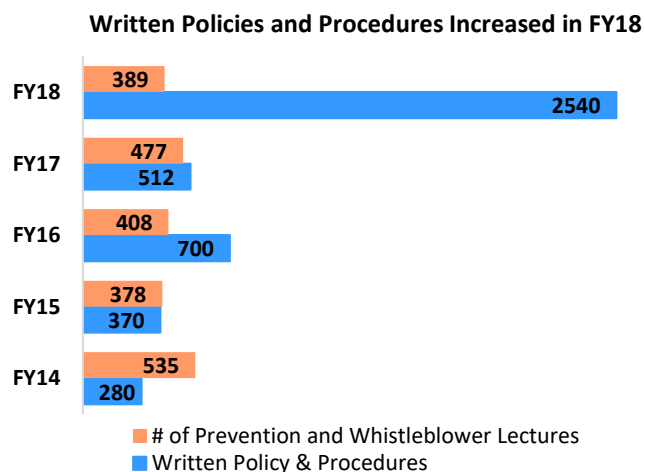
## Complaints

From Fiscal 2014 to Fiscal 2018, the Department received an average of 12,178 complaints alleging misconduct. Compared to Fiscal 2017, DOI received eight percent more complaints in Fiscal 2018. During the first four months of Fiscal 2019, the number of complaints that DOI increased by 985, or 19 percent, compared to the same period in Fiscal 2018.



DOI attributes this increase in complaints to its ongoing public awareness campaign publicizing the impact of corruption across the City and encouraging New Yorkers to take action and report whenever there is a case of corruption or misconduct. However, there has not been a significant increase in funding or resources that keeps pace with the rise in open cases or complaints.

## Written Policy and Procedure Recommendations



Between Fiscal 2014 to Fiscal 2018, written policies and procedures significantly increased from 280 in Fiscal 2014 to 2,540 in Fiscal 2018. This change is due to the fact that the same substantive recommendation was counted as a separate recommendation for each particular agency in Fiscal 2018.

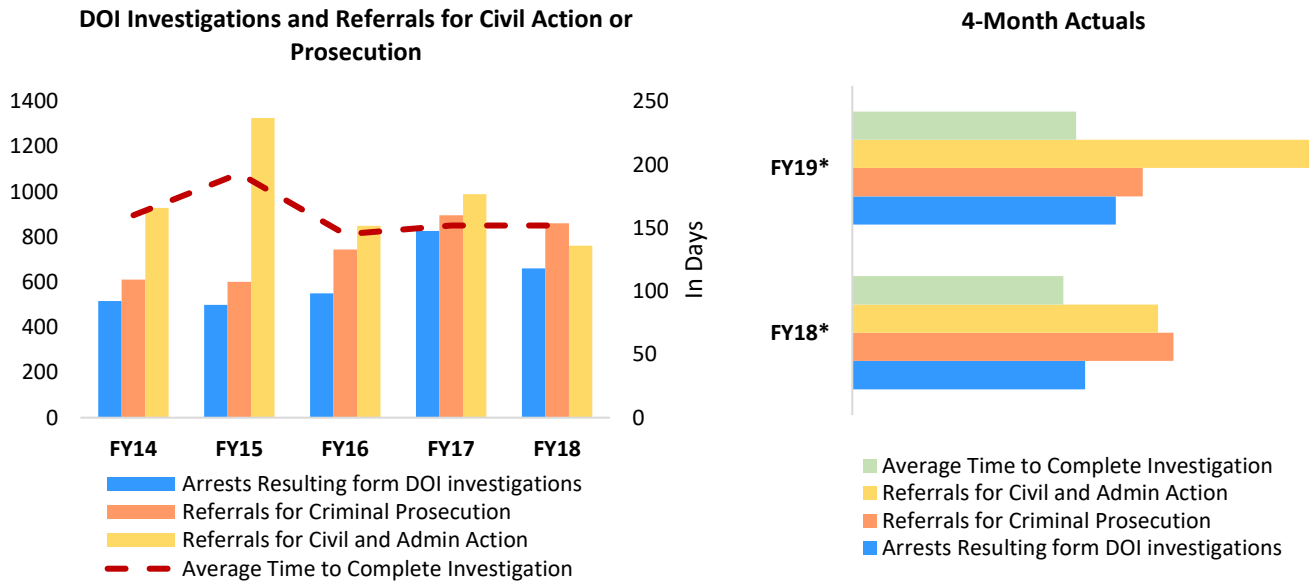
The Fiscal 2018 Mayor's Management Report failed to provide an explanation for why the number of policy and procedure recommendations decreased by 18.5 percent from Fiscal 2017 to Fiscal 2018.

## Investigations and Referrals for Civil Action or Prosecution

In Fiscal 2018, the average time to complete an investigation was 152 days, which is below the average length of time of 160 days during the last five years. During the same time, the Department referred an average of 971 cases for civil and administrative action, and 743 for criminal prosecution. Out of those investigations, an average of 611 resulted in arrests. According to the Department, the 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 when compared to Fiscal 2017.

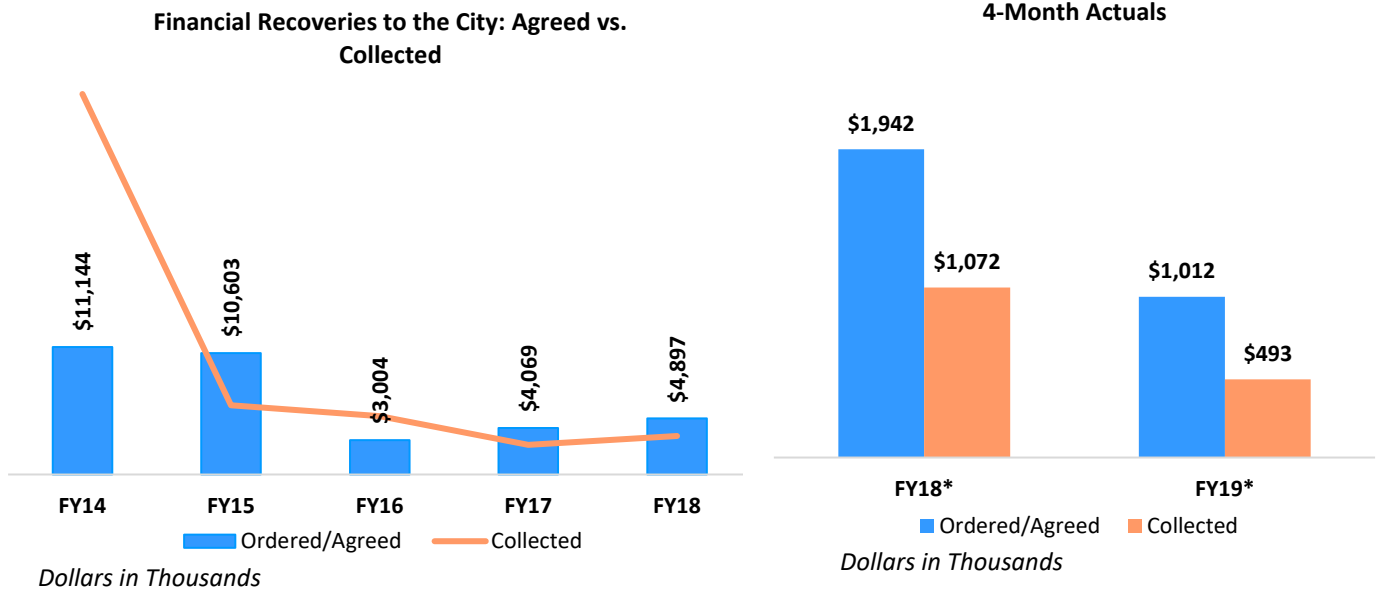
The spike in the number of civil and administrative referrals in Fiscal 2015 was due to a number of complex investigations involving building and housing inspectors that were involved in widespread bribery schemes; contraband smuggling at Rikers Island; and the year-long investigation of 25 City-run homeless shelters for families that exposed residents to serious health and safety violations. This also delayed the average time to complete an investigation for the same year.



During the 4-month reporting period, the number of referrals for civil and administrative action, arrests resulting from DOI investigations, and the average time to complete an investigation increased by 49 percent, 13.2 percent, and six percent, respectively. On the other side, referrals for criminal prosecution made in Fiscal 2019 decreased by ten percent compared to Fiscal 2018. According to DOI, the decrease is attributable to shifting its resources to a number of ongoing investigations, including those where public reports were issued.

### Financial Recoveries

As part of its mission, DOI recovers restitution from settlements resulting from many of its investigations. The charts below show the total dollar value of financial recoveries ordered or agreed to be paid compared to financial recoveries actually received. The chart on the left compares the last five fiscal years and the chart on the right compares the first four months of Fiscal 2018 to the first four months of Fiscal 2019.



During the last five fiscal years, financial recoveries ordered averaged a total of \$6.7 million with actual recoveries totaling an average of \$10 million. The most significant discrepancy between anticipated and actual recoveries was in Fiscal 2014, when the Department collected over \$22 million more than what was anticipated. According to the PMMR, this was primarily due to the receipt of \$27.4 million in federal forfeiture funds from the City Time investigation.

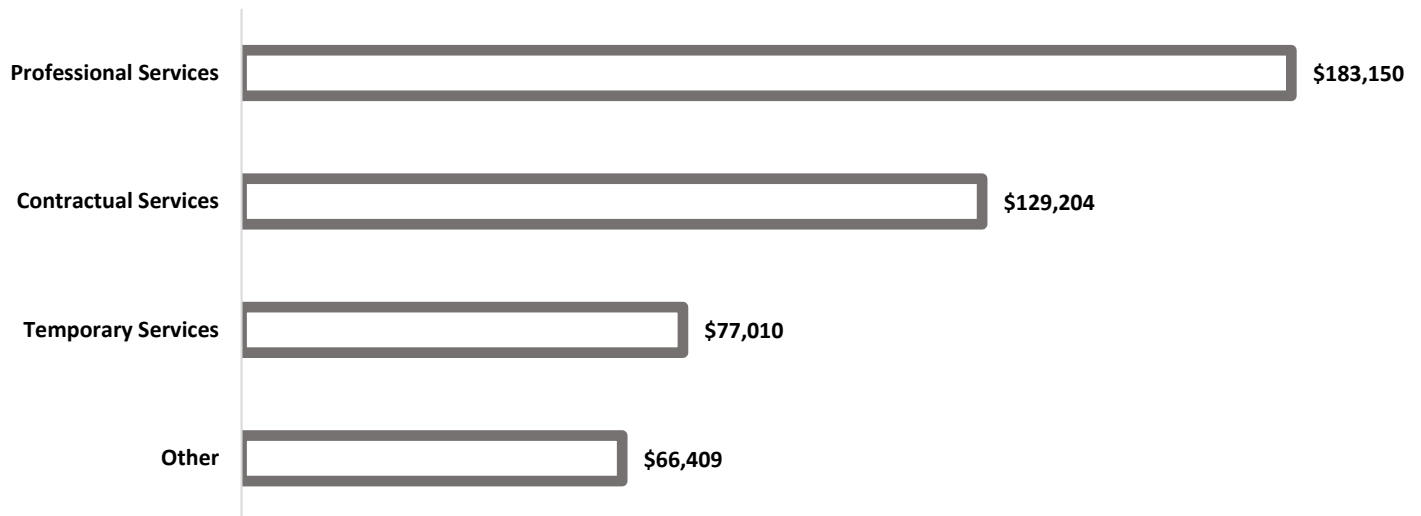
## Appendices

### A. Budget Actions in the November and the Preliminary Plans

DOI Budget as of the Adopted Fiscal 2019 Budget	FY19			FY20		
	City	Non-City	Total	City	Non-City	Total
<i>Dollars in Thousands</i>	<b>\$30,887</b>	<b>\$8,040</b>	<b>\$38,927</b>	<b>\$32,385</b>	<b>\$5,083</b>	<b>\$37,468</b>
<b>Other Adjustments</b>						
Buyers Collective Bargaining	\$3	\$0	\$3	\$6	\$0	\$6
DC 37 Collective Bargaining	94	5	100	162	9	171
DEP/ DOI MOU 3 Pos & OTPS	0	260	260	0	0	0
DEP-DOI MOU BT-2	0	794	794	0	0	0
DOI- TELEPHONE MONITORING	0	527	527	0	0	0
DOI to SCI Transfer	(214)	0	(214)	(214)	0	(214)
EMT Course	0	5	5	0	0	0
FY19 Budget Modification Housing Authority	0	305	305	0	0	0
FY19 DOI Integrity	0	63	63	0	0	0
FY19 FAF Put-Up	0	937	937	0	0	0
FY19-20DOI_ADD	0	45	45	0	45	45
FY19-20DOI_ADD3	0	3	3	0	3	3
IC W/DOI-Fingerprinting	0	264	264	0	0	0
Information Technology Infrastructure	0	6,593	6,593	0	0	0
NYCHA Check & MOU PU	0	48	48	0	0	0
NYCHA FEMA put-up	0	2,277	2,277	0	0	0
NYCHA Restitution Check PU	0	10	10	0	0	0
NYCHA Restitution Check PU2	0	10	10	0	0	0
OTPS Reduction	(463)	0	(463)	(486)	0	(486)
PS Roll - FY18 to FY19	0	141	141	0	0	0
Put-up funding for NYCHA	0	40	40	0	0	0
Roll Unspent IM Funds for HRO	0	2,918	2,918	0	0	0
Takedown funds	0	(174)	(174)	0	(174)	(174)
USSS Reimbursement Forfeiture Fund	0	1	1	0	0	0
Various Collective Bargaining	923	0	923	1,580	0	1,580
<b>Subtotal, Other Adjustments</b>	<b>\$343</b>	<b>\$15,074</b>	<b>\$15,417</b>	<b>\$1,048</b>	<b>(\$116)</b>	<b>\$932</b>
<b>DOI Budget as of the Preliminary Fiscal 2020 Budget</b>	<b>\$31,230</b>	<b>\$23,114</b>	<b>\$54,344</b>	<b>\$33,433</b>	<b>\$4,967</b>	<b>\$38,400</b>

**B. DOI Contract Budget**

<b>DOI Fiscal 2019 Preliminary Contract Budget</b>				
<i>Dollars in Thousands</i>				
<b>Category</b>	<b>FY19 Adopted</b>	<b>Number of Contracts</b>	<b>FY20 Preliminary</b>	<b>Number of Contracts</b>
Contractual Services General	\$129	1	\$129	1
Telecommunications Maintenance	11	3	11	3
Maintenance and Rep General	4	2	4	2
Office Equipment Maintenance	5	3	5	3
Data Processing Equipment	27	4	27	3
Printing Contracts	11	2	11	4
Security Services	2	5	2	1
Temporary Services	77	1	77	5
Training Program City Employees	1	3	1	1
Professional and Computer Services	6	5	6	2
Professional Services Other	183	1	183	5
<b>TOTAL</b>	<b>\$456</b>	<b>30</b>	<b>\$456</b>	<b>30</b>

**DOI FY20 Contract Budget Totals \$455.8 million for 30 Contracts***Dollars in Thousands***C. DOI Miscellaneous Revenue**

<b>DOI Miscellaneous Revenue Budget Overview</b>					
<i>Dollars in Thousands</i>					
	<b>FY16 Actual</b>	<b>FY17 Actual</b>	<b>FY18 Actual</b>	<b>FY19 Adopted</b>	<b>FY20 Prelim</b>
Fees from Marshals	\$1,765	\$1,760	\$1,800	\$2,345	\$2,345
DOI Fingerprint Fees	389	377	341	341	341
Background Investigation Fee	415	656	507	507	507
Marshal Fines	0	0	10	10	10
Unclaimed Funds from Marshals	277	277	277	277	277
Restitution: City Employees	304	103	300	365	300
<b>TOTAL</b>	<b>\$3,150</b>	<b>\$3,172</b>	<b>\$3,234</b>	<b>\$3,845</b>	<b>\$3,780</b>



## D. DOI Inspector General Squads

DOI Inspector General Squads	
Squad	Oversight
1	<b>Oversight includes DOC, DOP and the Board of Corrections.</b> Caseload includes investigation and arrest of corrections staff charged with violent or sexual assault, excessive force and contraband smuggling. Investigations also includes financial crimes of prison officials (bribery) and systemic failures (poor hiring practices or inadequate medical care for inmates).
2	<b>Oversight includes HRA, DSH, ACS and the Division of Youth and Family Justice.</b> Engages in data driven analysis to identify where funds intended for residents are stolen or needs to be redress. Investigations include misconduct, fraud of state and federal funds, arrests of city workers and service providers of Medicaid, Food Stamps and other program fraud. Issues reports related to ACS's conduct of abuse and neglect cases.
3	<b>Oversight includes DOT, Dept. of City Planning, Department of Environmental Protection, the Department of Design and Construction and the Department of Buildings.</b> Investigates violations of DOB, City, State and Federal safety rules in the construction field that lead to injury and death. In addition, arrests building inspectors who take bribes, contractors engaged in wage theft, fraud involving federal and state environmental laws, city re-zoning actions and the issuing of building permits, housing fraud and abuse within HPD.
4	<b>Oversight includes NYC Employee Retirement System, Department of Health, DCAS, NYC Libraries, DOF and the Parks Department.</b> Investigations include fraud and any schemes to avoid health and safety regulations or who seek to steal city funds intended to reimburse needed services through various fraudulent activities.
5	<b>Oversight includes Campaign Finance Board, the Actuary Commission, the City Clerk's Office and the Board of Elections.</b> This squad investigates fraud, waste and corruption by elected officials, lobbyists and city funded not-for-profit organizations. Investigations include diversion of government funds to private ends or misuse of office for personal gain.
6	<b>Oversight includes Department of Sanitation, Taxi and Limousine Commission, the Office of Emergency Management, the Fire Department, the Conflicts of Interest Board, the Marshals Bureau and some NYPD Matters.</b> Investigations include stolen funds or corrupted agency processes. Also prevents waste of city resources through DOI's Vendor Integrity Program, which retains monitors to audit the performance and billing of specified city vendors. Vendor Integrity Program is used on very large procurement or construction projects involving billions of dollars.
7	<b>Oversight includes NYCHA.</b> Investigations include labor, tax and contract fraud, violent and narcotics crimes on NYCHA property and systemic failures relating to operations and safety.
8	<b>Oversight includes NYC Health and Hospitals Corporation.</b> H&H has a system of 11 hospitals, multiple trauma centers, neighborhood health centers, nursing homes and post-acute care centers. Investigations include prevention of H&H employees from defrauding the City and engaging in corrupt behavior relating to narcotics trafficking, insurance program fraud and other fraudulent medical services and billing.
9	<b>Oversight includes School Construction Authority (SCA).</b> SCA builds and improves schools for DOE. Investigations include theft of federal, state and city funds intend for SCA or corruption of SCA bidding and construction process.
10	<b>Oversight includes New York City Police Department (NYPD).</b> In 2013, City Council (Local Law 70) expanded these duties to further require the OIG to investigate, review, study , audit and make recommendations relating to the operations, policies, programs and practices of NYPD. Investigations include corruption, fraud, waste and abuse in the NYPD. This office includes 40 investigators, attorneys, policy analysts, data analysts, auditors and support staff. NYPD is legally required to respond to OIG-NYPD's recommendations within 90 days. NYPD responses are publicly available on DOI's website.
11	<b>Oversight includes Special Commissioner of Investigation (SCI) for the NYC School District.</b> SCI was created pursuant to Mayoral Executive Order 11 of 1990 and Chapter 34 of the NYC Charter. Special Commissioner of Investigation has broad authority to investigate wrongdoing by teachers and other school employees within NYC School District. Office also serves the IG for the Teachers' Retirement System of NYC and the NYC Board of Education Retirement System.

Source: NYC Department of Investigation

## E. Budget Detail for Program Areas

## Agency Operations – UA 001 and UA 002

<b>Agency Operations</b>						
<i>Dollars in Thousands</i>						
	<b>FY17 Actual</b>	<b>FY18 Actual</b>	<b>FY19 Adopted</b>	<b>Preliminary Plan</b>		<b>*Difference FY19-FY20</b>
				<b>FY19</b>	<b>FY20</b>	
<b>Spending</b>						
<b>Personal Services</b>						
Full-Time Salaried - Civilian	\$23,349	\$23,483	\$24,643	\$25,647	\$26,339	\$1,697
Overtime - Civilian	915	918	40	40	40	0
PS - Other	148	214	294	871	266	0
<b>Subtotal</b>	<b>\$24,411</b>	<b>\$24,616</b>	<b>\$24,976</b>	<b>\$26,558</b>	<b>\$26,645</b>	<b>\$1,669</b>
<b>Other Than Personal Services</b>						0
Supplies and Materials	\$287	\$764	\$72	\$1,346	\$202	\$130
Fixed and Misc Charges	249	209	20	100	100	80
Property and Equipment	3,029	1,066	469	1,282	614	145
Other Services and Charges	10,829	8,031	7,599	13,366	5,187	(2,411)
Contractual Services - Professional Services	133	13	154	37	134	(20)
Contractual Services	1,432	1,035	211	4,262	261	50
<b>Subtotal</b>	<b>\$15,959</b>	<b>\$11,117</b>	<b>\$8,524</b>	<b>\$20,392</b>	<b>\$6,497</b>	<b>(\$2,026)</b>
<b>TOTAL</b>	<b>\$40,370</b>	<b>\$35,733</b>	<b>\$33,500</b>	<b>\$46,950</b>	<b>\$33,143</b>	<b>(\$357)</b>
<b>Funding</b>						
City Funds			\$30,451	\$30,615	\$32,691	\$2,239
Other Categorical			400	813	400	0
State			0	138	0	0
Federal - Community Development			0	3,060	0	0
Federal - Other			2,597	12,268	0	(2,597)
Intra City			52	56	52	0
<b>TOTAL</b>	<b>\$40,370</b>	<b>\$35,733</b>	<b>\$33,500</b>	<b>\$46,950</b>	<b>\$33,143</b>	<b>(\$357)</b>
<b>Budgeted Headcount</b>						
Full-Time Positions - Civilian	300	301	313	318	318	5
<b>TOTAL</b>	<b>300</b>	<b>301</b>	<b>313</b>	<b>318</b>	<b>318</b>	<b>5</b>

\*The difference of Fiscal 2019 Adopted Budget compared to Fiscal 2020 Preliminary Budget.

## Inspector General UA 003 and UA 004

<b>Inspector General</b>						
<i>Dollars in Thousands</i>						
	<b>FY17</b>	<b>FY18</b>	<b>FY19</b>	<b>Preliminary Plan</b>		<b>*Difference</b>
	<b>Actual</b>	<b>Actual</b>	<b>Adopted</b>	<b>FY19</b>	<b>FY20</b>	<b>FY19-FY20</b>
<b>Spending</b>						
<b>Personal Services</b>						
Full-Time Salaried - Civilian	\$3,536	\$4,726	\$4,016	\$5,761	\$4,201	\$185
Full-Time Salaried - Uniformed	0	9	0	0	0	0
Overtime - Civilian	132	224	70	182	65	(5)
PS - Other	36	38	70	68	68	(1)
<b>Subtotal</b>	<b>\$3,704</b>	<b>\$4,998</b>	<b>\$4,156</b>	<b>\$6,011</b>	<b>\$4,335</b>	<b>\$179</b>
<b>Other Than Personal Services</b>						
Supplies and Materials	\$35	\$105	\$92	\$161	\$105	\$12
Fixed and Misc Charges	5	14	18	2	18	0
Property and Equipment	209	124	87	43	87	0
Other Services and Charges	925	840	1,011	1,010	651	(360)
Contractual Services - Professional Services	0	66	56	35	56	0
Contractual Services	29	102	6	131	6	0
<b>Subtotal</b>	<b>\$1,204</b>	<b>\$1,250</b>	<b>\$1,271</b>	<b>\$1,383</b>	<b>\$923</b>	<b>(\$348)</b>
<b>TOTAL</b>	<b>\$4,908</b>	<b>\$6,247</b>	<b>\$5,427</b>	<b>\$7,394</b>	<b>\$5,258</b>	<b>(\$169)</b>
<b>Funding</b>						
City Funds			\$435	\$615	\$742	\$307
Other Categorical			204	204	204	0
State			0	0	0	0
Federal - Community Development			0	0	0	0
Federal - Other			0	0	0	0
Intra City			4,787	6,575	4,311	(476)
<b>TOTAL</b>	<b>\$4,908</b>	<b>\$6,247</b>	<b>\$5,427</b>	<b>\$7,394</b>	<b>\$5,258</b>	<b>(\$169)</b>
<b>Budgeted Headcount</b>						
Full-Time Positions - Civilian	52	64	60	83	60	0
<b>TOTAL</b>	<b>52</b>	<b>64</b>	<b>60</b>	<b>83</b>	<b>60</b>	<b>0</b>

\*The difference of Fiscal 2019 Adopted Budget compared to Fiscal 2020 Preliminary Budget.

## F. DOI Performance Indicators

DOI Performance Indicators	Actual			Target		4-Month Actual	
	FY16	FY17	FY18	FY19	FY20	FY18	FY19
Complaints	11,616	12,128	13,072	*	*	4,210	5,195
Written policy and procedure recommendations to City agencies	700	498	2,540	300	300	200	87
Written policy and procedure recommendations accepted by City agencies (%)	1	1	0	1	1	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	16	*	*	17	14
Vendor name checks completed within 30 days (%)	1	1	1	1	1	1	1
Average time to complete an investigation (days)	145	152	152	180	180	165	175
Referrals for civil and administrative action	849	990	761	*	*	239	357
Referrals for criminal prosecution	745	894	859	*	*	251	227
Arrests resulting from DOI investigations	551	765	661	*	*	182	206
Financial recoveries to the City ordered/agreed (\$000)	3,004	4,069	4,897	ñ	ñ	1,942	1,012
Financial recoveries to the City collected (\$000)	5,095	2,588	3,374	ñ	ñ	1,072	493
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) (%)	1	0	0	1	1	0	0
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 and FBI (days)	1	1	1	*	*	1	1
Completed requests for interpretation	26	23	16	*	*	NA	NA
Letters responded to in 14 days (%)	1	1	1	*	*	1	1
E-mails responded to in 14 days (%)	1	1	1	*	*	1	1
Average wait time to speak with a customer service agent (minutes)	3	3	3	*	*	NA	NA
CORE facility rating	98	100	100	*	*	NA	NA