

# THE COUNCIL OF THE CITY OF NEW YORK

Hon. Corey Johnson  
Speaker of the Council

Hon. Vanessa Gibson  
Chair, Committee on Oversight and Investigations



Report of the Finance Division on the  
Fiscal 2022 Preliminary Plan and the  
Fiscal 2021 Preliminary Mayor's Management Report for the  
**Department of Investigation**  
March 24, 2021

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## Department of Investigation Overview

The Department of Investigation (DOI or Department) promotes and maintains integrity and efficiency in New York 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 and dozens of City boards and commissions. DOI's strategy involves investigations that lead to arrests, public reports, and recommended preventative internal controls and operational reforms. DOI's aims to prevent criminal misconduct and waste, remove corrupt officials, ensure wrongdoers are held accountable, and improve City government functions. DOI serves New Yorkers by acting as an independent and nonpartisan watchdog for City government.

The DOI provides the Mayor and agencies with recommendations for corrective and preventative actions to assist agencies in designing and interpreting strategies to limit criminal misconduct and waste. In addition to its law enforcement responsibilities, the Department investigates certain City employees' backgrounds, including those making over \$125,000 annually and those in sensitive and decision-making positions. 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 of Investigation's budget has two Unit of Appropriation (U/A) pairs, which generally represent the functions of the Department. In this report, each U/A pair is referred to as a program area, analogous to the program areas of agencies included in the Budget Function Analysis report prepared by the Office of Management and Budget (OMB)<sup>1</sup>. Each pair includes a personal services (PS) and other than personal services (OTPS) U/A. The two program areas are outlined below and analyzed in detail on page six.

The first U/A pair is titled Agency Operations (AO), and is the primary focus of the Department's funding and positions, housing 90 percent of the funding and 83 percent of positions. The other U/A pair is the Inspector General (IG), making up a smaller part of the Department, the Inspector General places investigative staff in agencies throughout the city.

The Preliminary Financial Plan for Fiscal 2021-2025 (the Plan or Preliminary Plan) proposes a Preliminary Fiscal 2022 Budget of \$92.3 billion for the City and projects that spending will rise \$10.9 billion, or 11.8 percent to total \$103.2 billion in Fiscal 2025. In comparison, the Department of



<sup>1</sup> <https://www1.nyc.gov/assets/omb/downloads/pdf/jan21-bfa.pdf>

Investigation's budget is anticipated to grow by \$707,000 to \$50.8 million in the same period, or 1.4 percent. The Department's headcount projections do not change from Fiscal 2022 to Fiscal 2025; similarly, the citywide headcount is expected to increase by just 685 positions or less than one percent over the same period.

The table and following section outline the Department's actual budgets for Fiscal 2019 and 2020, the Fiscal 2021 Adopted Budget, the Fiscal 2021 current budget, and the Fiscal 2022 Preliminary Budget. Included are the Fiscal 2021 Adopted Budget's difference compared to the Fiscal 2022 Preliminary Budget and the funding sources.

### DOI Budget Overview

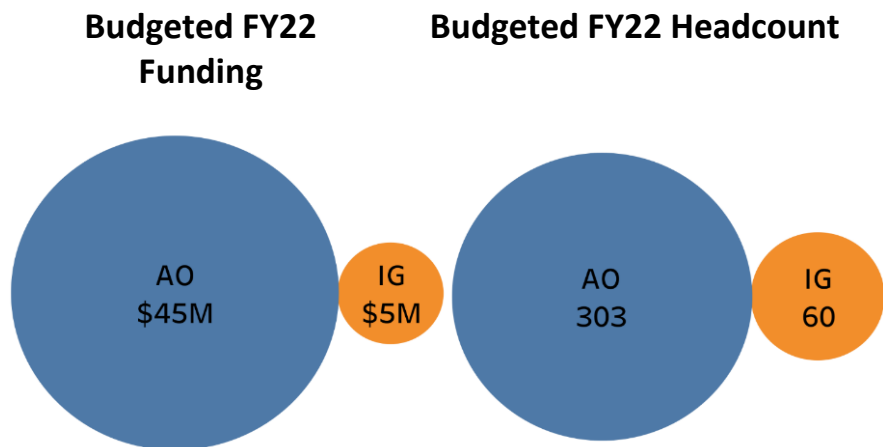
<b>Department of Investigation Financial Summary</b> <i>Dollars in Thousands</i>						
	<b>FY19 Actual</b>	<b>FY20 Actual</b>	<b>FY21 Adopted</b>	<b>Preliminary Plan</b>		<b>*Difference</b>
				<b>FY21</b>	<b>FY22</b>	<b>FY21-FY22</b>
<b>Budget by Program Area</b>						
Inspector General	\$6,408	\$6,125	\$4,743	\$5,919	\$4,745	\$2
Agency Operations	42,712	47,050	48,083	52,331	45,405	(2,678)
<b>TOTAL</b>	<b>\$49,120</b>	<b>\$53,175</b>	<b>\$52,826</b>	<b>\$58,249</b>	<b>\$50,150</b>	<b>(\$2,676)</b>
<b>Funding</b>						
City Funds			\$45,016	\$42,909	\$43,354	(\$1,662)
Other Categorical			604	637	604	0
State			0	114	0	0
Federal - Community Development			0	598	0	0
Federal - Other			1,641	6,269	626	(1,015)
Intra City			5,565	7,722	5,565	0
<b>TOTAL</b>	<b>\$49,120</b>	<b>\$53,175</b>	<b>\$52,826</b>	<b>\$58,249</b>	<b>\$50,150</b>	<b>(\$2,676)</b>
<b>Budgeted Headcount</b>						
FT Positions – Inspector General	64	64	60	77	60	0
FT Positions – Agency Operations	290	297	310	288	303	(7)
<b>TOTAL</b>	<b>354</b>	<b>361</b>	<b>370</b>	<b>365</b>	<b>363</b>	<b>0</b>

*\*The difference of Fiscal 2021 Adopted Budget compared to Fiscal 2022 Preliminary Budget.*

The November 2020 and Preliminary Financial Plans did not introduce significant changes to the Department's budget for Fiscal 2021 or Fiscal 2022. Each plan included small additions to the Fiscal 2021 budget through other adjustments and savings to Fiscal 2022. Notably, the November Plan included \$3.5 million in Federal and State Asset Forfeiture for Fiscal 2021; this will help increase the Department's law enforcement efforts.

Since the Fiscal 2021 Budget was adopted, it has increased by \$5.4 million. Normally, the Department's budget will increase during the course of the fiscal year from realizing federal funding, such as Asset Forfeiture and other mid-year adjustments. The Department also added funding in Fiscal 2021 for lease adjustments and for Memorandums of Understanding (MOU) with other agencies. The MOU funding increases also came with headcount adjustments, adding 17 non-baselined positions in Fiscal 2021, with 10 staff working with the Department of Environmental Protection (DEP) BT-2 Delaware Aqueduct Bypass, three with the DEP Integrity Monitor, and four with the Department of Correction.

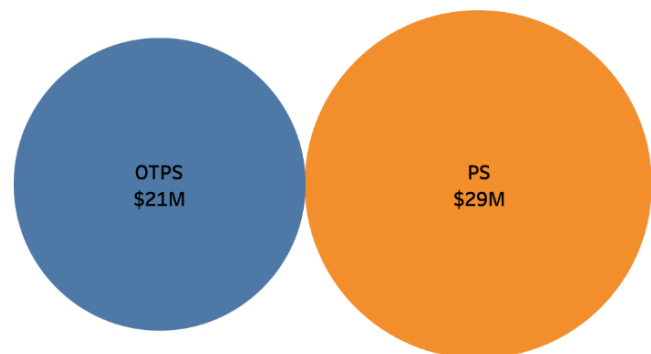
The Preliminary Plan reduces the Department's Fiscal 2022 budget by \$2.7 million, or five percent, with most of the reduction, \$1.7 million, in the OTPS budget, and the remaining \$915,000 in the PS budget. The chart to the right shows the Department's funding and headcount for each U/A pair in the Preliminary Fiscal 2022 Budget.



### DOI Fiscal 2022 Preliminary Budget: Expense

DOI has approximately \$50.1 million in planned spending for Fiscal 2022 to support its role in New York City as the independent supervisory agency for City government. With a budgeted staff of 363, the Department is a small portion of the City's workforce, but has oversight of a significant portion of the City. Most funding supports the Department's personal services (PS) with roughly 60 percent of funding supporting PS and the remaining 40 percent supporting other than personal services (OTPS). OTPS funding, more than \$16 million is baselined for rental payments, which is 80 percent of Fiscal 2022 planned OTPS spending. In Fiscal 2022, \$29.3 million of the Department's \$50.1 million budget is planned to support PS costs, approximately \$915,000, or three percent, less than adoption.

### DOI Fiscal 2022 Preliminary Budget



To accomplish the Department's two primary missions of investigating fraud, misconduct and waste, and ensuring integrity in the City's workforce through background investigations, it uses a variety of funding sources. The primary funding source for DOI is City tax-levy, \$43 million, or 86 percent, of in Fiscal 2022. The Financial Plan shows that intra-City funding is the next largest source for the Department, with \$5.5 million in expected transfers, or 12 percent of DOI's budget. This large sum is due to Memorandums of Understanding (MOU) with other City agencies. The Department places investigative staff in other agencies and DOI investigates specific areas in the agency for corruption. Federal funding is a large source of funding as well, but is realized throughout the fiscal year, a similar process is used for State funds. The table below shows funding in the Fiscal 2021 Adopted Budget, current budget and the Fiscal 2022 Preliminary Budget. The funding sources are further analyzed under Agency Funding.

## DOI by Funding Source and Financial Plan

Funding Type	FY21 Adopted	Preliminary Budget		Difference 2021-2022
		FY21	FY22	
City Funds	\$45,016	\$42,909	\$43,354	(\$1,662)
Other Categorical	604	637	604	0
State	0	114	0	0
Federal - Community Development	0	598	0	0
Federal - Other	1,641	6,269	626	(1,015)
Intra City	5,565	7,722	5,565	0
<b>Total</b>	<b>\$52,826</b>	<b>\$58,249</b>	<b>\$50,150</b>	<b>(\$2,676)</b>

*Dollars in Thousands*

The pandemic and the resulting economic slow down has led to budget reductions for the Department. In the Fiscal 2021 Executive Budget, the first Financial Plan after COVID-19 affected the City, and each successive Plan, Fiscal 2022 planned spending has decreased, in total by \$8.3 million from \$58.4 million to \$50.1 million in the Fiscal 2022 Preliminary Budget. The reduction has primarily lowered the OTPS budget from lease adjustments, but more than \$1.8 million of the reductions are in the PS side of the budget from vacancy reductions and PS Accruals.

The changes introduced in the Preliminary Plan collectively lowered DOI's Fiscal 2021 Budget by \$120,000 and the Fiscal 2022 Preliminary Budget by \$1.1 million. The November 2020 Plan changes increased the current year budget by \$5.5 million and lowered the Fiscal 2022 Budget by \$814,000. The next table shows the changes in both Financial Plans.

## November Plan and Preliminary Budget Changes in FY21 and FY22

	Fiscal 2021	HC	Fiscal 2022	HC
<b>Preliminary Budget Changes</b>				
<i>Other Adjustments</i>				
Citywide Wireless Services	(\$3,070)		\$0	
DOI: Monitoring Accrual	598,475		0	
<b>Total, Other Adjustments</b>	595,405	0	0	0
<i>Savings Program</i>				
Hiring and Attrition Management	(297,500)	(15)	0	
OTPS Savings	(124,000)		(775,000)	
PS Accruals	(294,500)		(356,500)	
<b>Total, Savings Program</b>	(716,000)	(15)	(1,131,500)	0
<b>Subtotal, Prelim</b>	<b>(\$120,595)</b>	<b>(15)</b>	<b>(\$1,131,500)</b>	<b>0</b>
<b>November Plan Changes</b>				
<i>Other Adjustments</i>				
80 Maiden Lane Adjustment	980,952		0	
Citywide Wireless Services	0		(39,970)	
DEP DOI MOU	1,053,700		0	
FY21 AF Put-Up	3,551,350		0	
Managerial/OJ Furlough all type	(463,453)		0	
Roll FY20 PO into FY21	1,190,772		0	
Various Other Adjustments	181,463	17	(43,552)	
<b>Total, Other Adjustments</b>	6,494,784	17	(83,522)	0
<i>Savings Program</i>				
Hiring Freeze	0	(7)	(96,624)	
OTPS Savings	(158,500)		(158,500)	
PS Accruals	(792,500)		(475,500)	
<b>Total, Savings Program</b>	(951,000)	(7)	(730,624)	0
<b>Subtotal, November</b>	<b>\$5,543,784</b>	<b>10</b>	<b>(\$814,146)</b>	<b>0</b>
<b>Grand Total</b>	<b>\$5,423,189</b>	<b>(5)</b>	<b>(\$1,945,646)</b>	<b>0</b>

Changes introduced in the Preliminary Plan are examined in detail below.

### ***Other Adjustments***

- **DOI Monitoring.** The Fiscal 2022 Preliminary Plan adds one-time funding of \$598,000 in Fiscal 2021 for the Integrity Monitor program. According to the Department, the funding will support OTPS expenditures under Housing Recovery Operations Integrity Monitorships, specifically to help register pending contracts for Klynveld, Peat, Marwick, and Goerdeler (KPMG), Cozen O’Conner, and Kobre Kim.

### ***Savings Program***

OMB instructed DOI to find savings totaling \$1.55 million from Fiscal 2021 and Fiscal 2022. The Department used OTPS Savings and PS Accruals to meet OMB’s request. After the Department submitted the fulfilled request, OMB added an additional savings from hiring and attrition management for \$297,500. Total savings included in the Preliminary Plan are \$1.85 million.

- **Hiring and Attrition Management** The City is using attrition management as a savings measure; for every three positions that are vacated, all civilian agencies can fill one of the three vacated positions. This savings measure reduces the Department’s budgeted headcount by 15 positions, with a Fiscal 2021 savings of \$297,500. This is the fourth consecutive Financial Plan that has reduced the Department’s budgeted headcount, in total, vacancy reductions and other headcount savings measures have reduced the budgeted headcount for the Department by 43 positions for Fiscal 2021 and 28 for Fiscal 2022 since the Fiscal 2021 Executive Plan. The Department has requested the ability to fill mission critical positions from OMB, some of which were approved. As of this report, DOI has not provided further details about the mission critical positions.
- **Other than Personal Services (OTPS) Savings.** The Department will generate savings of \$124,000 in Fiscal 2021 and \$775,000 in Fiscal 2022 from a surplus of OTPS funds, for a total of \$899,000.
- **Personal Services (PS) Accruals.** The Department found a total of \$651,000 in PS savings of which \$294,500 are from Fiscal 2021 and \$365,500 from Fiscal 2022. The savings are greater in Fiscal 2022 because of the timing the savings are being implemented; the Department will be able to find savings over the entire fiscal year in Fiscal 2022, whereas more than half of Fiscal 2021 has already occurred.

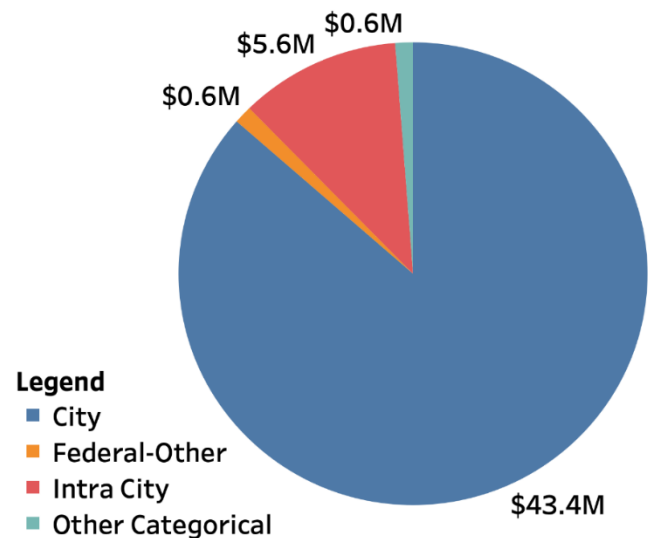
The Department’s contract budget has remained unchanged. Contracts are a relatively small part of the Department’s budget, with 30 contracts totaling \$576,000 in both the Fiscal 2021 Adopted Budget and the Fiscal 2022 Preliminary Plan. The contracts can be divided into four main categories; first, contractual services, second, professional services other, which is a miscellaneous category for contracts supporting PS entities, third, temporary services, and finally all other contracts, which includes telecommunications, office equipment maintenance, security services, training for City employees, and computer services. A breakdown of contracts are shown in Appendix B, with the number of contracts by type and value as of the Fiscal 2021 Adopted budget and the Fiscal 2022 Preliminary Plan.

## Agency Funding

The Department's Fiscal 2022 budget is primarily funded through City tax-levy, totaling approximately 87 percent of the Department's funding. The remaining 13 percent is largely intra-City revenue of \$5.6 million, or 11 percent, and the following two percent is both other categorical and federal funding. This proportion of funding largely follows previous years' preliminary budgets for the upcoming fiscal year. In the Fiscal 2021 Preliminary Budget, city funding was 86 percent for Fiscal 2021. In typical budget planning, the Fiscal 2022 Budget does not yet include federal funding, which will be added during the course of the fiscal year. In the current fiscal year, the Department expects \$6.2 million in federal support. This can be from Asset Forfeiture or grants, but will not be shown in the upcoming fiscal year because much of the federal funding is unpredictable.

This Plan adds more than \$4.7 million in asset forfeiture funds in Fiscal 2021 from the Department of Justice, the Treasury Department, the Peace Officer Academy, and the State. This \$4.7 million will be used in specific ways, such as to support IT equipment, radios, vehicles, and training, all relating to the Department's mission. The funding can also be used for law enforcement overtime, but not for regular PS expenditures. The funds have specific stipulations from Federal and state guidelines, and can be withheld if funding supports unauthorized items.

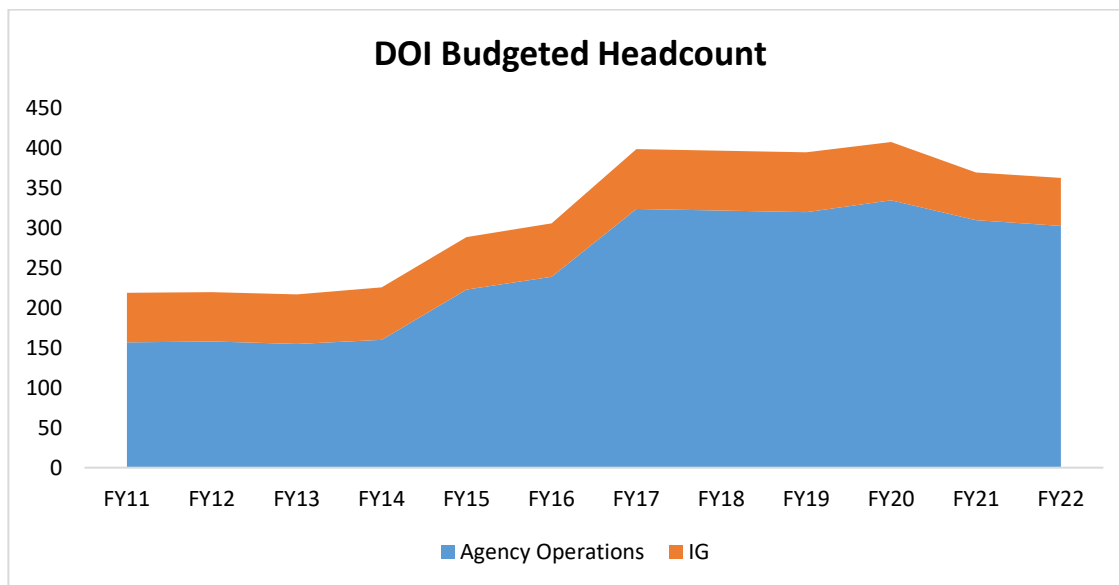
**DOI FY22 Funding Sources**



## Headcount

Following steady headcount growth since Fiscal 2011, the Department has begun to reduce headcount. A result of the COVID-19 pandemic is lower revenues for the City, and vacant positions have shown to be a common target for savings in agencies across the City. The Department has reduced its budgeted headcount from a high of 408 in Fiscal 2020, to 363 in Fiscal 2022. This reduction in budgeted headcount has been accomplished by instituting a hiring freeze and reducing vacant positions. Of the 363 budgeted positions, as of January 2021, 346 of those positions are filled. The Department is a part of the citywide savings program for civilian agencies, for every three positions have been vacated, the agency can fill only one. The following chart shows budgeted headcount since Fiscal 2011, showing a long period of growth followed by the recent reductions.





The Department stated it has experienced a staffing problems vacuum, where outcomes and other parts of the Department's mission have suffered from decreasing headcount and the inability to hire through the hiring freeze. The hiring freeze, vacancy reductions, and delays on promotions and merit raises, have hindered the Department's ability to retain and hire qualified staff. Furthermore, the challenges with remote work, reduced incoming complaints, the slowdown in the criminal justice system, and reductions in certain types of fieldwork, the Department has had difficulty fulfilling its mission in Fiscal 2021.

### Agency Budget by Program Area

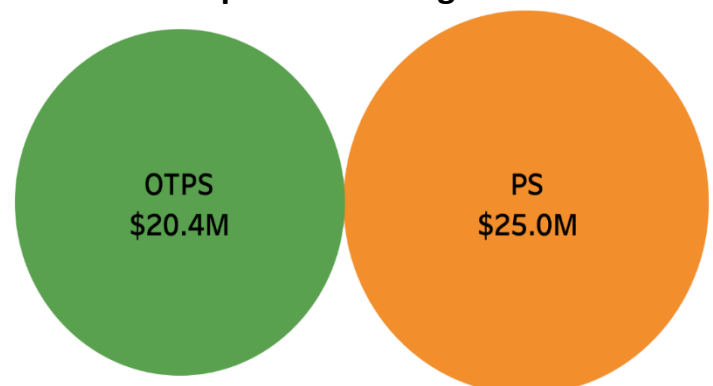
#### Agency Operations

Agency Operations is DOI's larger program area, it includes the Inspector General squads; the Commission to Combat Police Corruption; the Office of the Inspector General for the NYPD, the Department's outreach efforts, policy and program development; and the technical support unit. This program area also includes administrative staff, the VENDEX unit, and the New York City Marshals Program. The City Marshals Program regulates and oversees the Marshals, who serve as independent public enforcement officers of the Civil Court.

In the Fiscal 2022 Preliminary Budget, planned spending for AO totals \$45.4 million, including \$25 million in PS to support 303 budgeted positions, and \$20.4 million to support OTPS costs. In Fiscal 2022 the AO budget is \$2.7 million less than the Fiscal 2021 Adopted Budget, with primary differences in the OTPS budget, being \$1.7 million less in Fiscal 2022, and the PS budget \$917,000 less than the Fiscal 2021 Adopted Budget. Reductions are primarily from OTPS Savings and PS Accruals, outlined above.

Agency Operations has a number of teams in the program area. As with any large organization, the

#### FY22 Prelim Agency Operations Budget



teams vary based on expertise and assignment. The largest of which is the Office of the Inspector General for the New York Police Department (OIG-NYPD), with \$3.4 million in planned spending in Fiscal 2022. This Inspector General was created by local law 70 in 2013, it is independent of the police department and works to enhance the effectiveness of the police department, increase public safety, protect civil liberties and increase the public's confidence in the police force. The table below outlines the ten largest teams in Agency Operations in order of budget size in in the Fiscal 2022 Preliminary Budget. Descriptions of the all squads, units, and other teams can be found on the Department's website: <https://www1.nyc.gov/site/doi/offices/inspector-general.page>.

DOI Largest Units in Agency Operations

	FY21 ADP		FY22 Preliminary Budget			
	FY21	HC	FY21	HC	FY22	HC
NYPD OIG	\$3,419,087	39	\$3,384,736	39	\$3,419,087	39
VENDEX, Complaints & Background	2,968,359	45	2,917,917	45	2,969,611	45
Executive Management	2,140,426	15	2,110,194	15	2,141,830	15
Squad 5	2,055,021	26	2,021,576	26	2,055,021	26
Squad 3	1,842,542	30	1,812,426	30	1,843,167	30
Information Technology	1,734,636	18	1,713,405	18	1,736,887	18
Squad 6	1,610,750	20	1,593,759	20	1,611,365	20
Squad 1/DOC-OIG	1,556,459	16	1,531,181	16	1,556,459	16
Technical Support Unit	1,494,529	18	1,464,957	18	1,494,529	18
Squad 4	1,363,306	19	1,337,388	19	1,363,306	19
All Other	5,742,638	64	4,270,139	42	4,819,317	57
<b>Total</b>	<b>\$25,927,753</b>	<b>310</b>	<b>\$24,157,678</b>	<b>288</b>	<b>\$25,010,579</b>	<b>303</b>

### Inspector General

In Fiscal 2022, the Department anticipates spending \$4.7 million for the IG, which does not include non-baselined positions. The Fiscal 2022 figure is only \$2,000 more than the Fiscal 2021 Adopted Budget. The IG program area funds inspector general and other investigative staff through intra-City agreements to provide specialized investigations and oversight to agencies. Such agencies include the Administration for Children's Services (ACS), the New York City Housing Authority (NYCHA), the Human Resources Administration (HRA), the Department of Environmental Protection (DEP), the Department of Buildings (DOB), New York City Health and Hospitals (H+H), the Department of Design and Construction (DDC), and the Economic Development Corporation (EDC). These agencies have agreements with DOI to investigate specific programs or areas for corruption within their agencies. As of January 2021, there were 55 baselined positions, and 21 non-baselined positions in the IG budget codes. Current positions vary from non-investigative support positions to phone monitoring, auditing, and anti-corruption. Additional information is included in Appendix C and provides detailed information about the Department's program areas, with detailed information on the funding, spending, and headcount for each.

### Remote Work

As of January 2021, the Department's initial return to work plan remains in place. This plan does not exceed more than 25 percent of the total workforce in the DOI office on any given day. Through a voluntary process that began in July of 2020, approximately half of DOI's staff opted into in-person work, and the remaining half is fully remote. The group that opted into in-person work was divided evenly into two separate groups. Each group alternates weeks of in-person work, occupying the office from Monday through Thursday of the assigned week. The office is then empty for 72 hours from Friday through Sunday to allow for appropriate cleaning before the following group of in-person workers arrives on Monday. The Department has stated this program has been beneficial for morale

and productivity, and will continue to monitor necessary areas within the City for an additional return to work.

## Miscellaneous Revenue

<b>DOI Miscellaneous Revenue Budget Overview</b>					
	<b>FY19 Actual</b>	<b>FY20 Actual</b>	<b>FY21 Adopted</b>	<b>FY21 Prelim</b>	<b>FY22 Prelim</b>
Fees from Marshals	\$1,908,480	\$1,760,491	\$1,320,000	\$1,320,000	\$2,345,300
DOI Fingerprint Fees	327,195	278,931	341,000	0	341,000
Background Investigation Fee	308,322	250,388	506,740	506,740	506,740
Marshal Fines	0	8,930	10,000	10,000	10,000
Unclaimed Funds from Marshals	277,500	276,500	276,500	276,500	276,500
Restitution: City Employees	387,291	31,093	300,000	300,000	300,000
<b>Total</b>	<b>\$3,207,788</b>	<b>\$2,606,334</b>	<b>\$2,754,240</b>	<b>\$2,413,240</b>	<b>\$3,779,540</b>

The Department generates revenue from multiple sources and actions. The largest source of revenue is from fees that marshals generate. Appointed by the Mayor, City Marshals enforce orders from Civil Court cases, such as carrying out evictions and collecting judgements. Outlined by statute, City Marshals must pay the City \$1,500 for an annual assessment, as well as 4.5 percent of their gross income. The Miscellaneous budget shows an increase in Fees from City Marshals in Fiscal 2022; the Marshals enforce civil court cases and carry out approximately 25,000 evictions annually. Following one year of eviction moratoriums due to state orders, the increase in Marshal fees shows that DOI expects evictions to increase and marshal fees in turn. The Fiscal 2022 Preliminary Budget outlines expected revenue from Marshal Fees in Fiscal 2022 to be \$2.3 million; approximately \$1 million more than the \$1.3 million in Fiscal 2021. In addition to Asset Forfeiture and federal funds, the Department's Fiscal 2022 budget will likely increase by more than \$5 million during the year in Fiscal 2022.

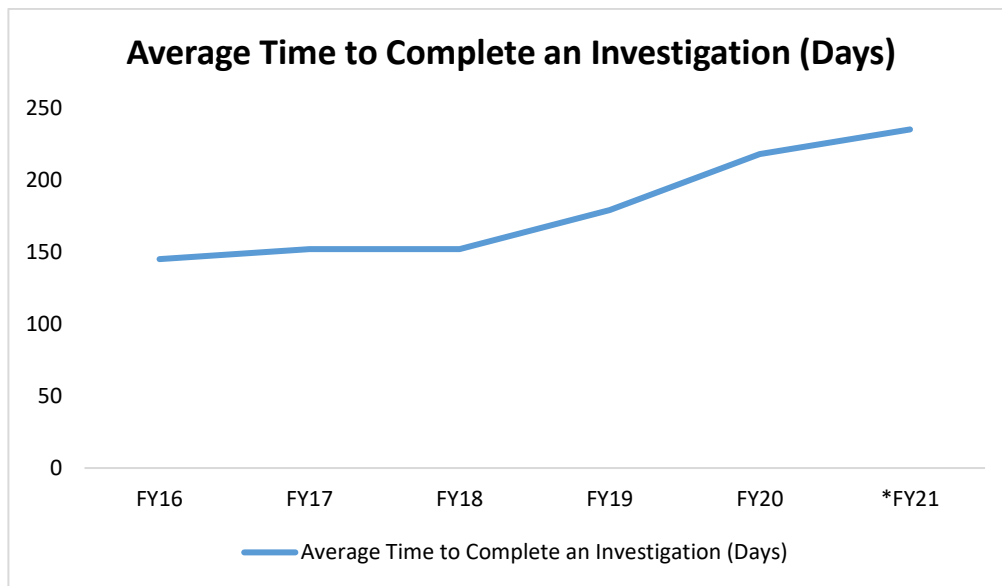
The Department generates revenue in other ways as well, including fees for City employee background investigations and for fingerprints. DOI performs fingering assessments on individuals who work at childcare, home care and family care activities, including those that are under contract with the City. Due to COVID-19, the Department is not fingerprinting applicants, instead, fingerprint checks are conducted on behalf of DOI and DOHMH at IDENTOGO centers around the City and the surrounding area. Applicants must pay a fee of \$102 dollars, as is the case with all fingerprinting operations in New York State. DOI will not generate any revenue from this in Fiscal 2021, but plans to resume the program in Fiscal 2022.

## Fiscal 2021 Preliminary Mayor's Management Report (PMMR)

Mandated by the City Charter, the Mayor's Management Report provides the public information about agency services, including how efficient and effective agencies perform their duties. The PMMR offers details about how an agency is performing through the first four months of this fiscal year, from July 1, 2020 to October 31, 2020. Below are highlights and details from the Department of Investigation's section in the PMMR.

DOI's PMMR identifies two primary goals for the Department, first to investigate possible corruption, fraud, waste and unethical conduct in City government. The PMMR accurately captures this goal, with indicators showing the number of complaints, written policy and procedure recommendations issued to City agencies, referrals for administrative action and criminal prosecution, and financial recoveries

ordered and collected. One of the primary indicators from this goal is the average time to complete an investigation, which increased during Fiscal 2020 and during the first four months of Fiscal 2021, the chart below shows the increase over the past few years. The Department attributes the change to the challenges associated with the pandemic, which impacts figures in Fiscal 2020 and 2021, but the data show a small increase prior to the pandemic as well.



The second goal is to conduct background and fingerprinting checks for certain City employees, contractors, and daycare workers. This goal is not entirely achieved through information provided in the PMMR. The report shows the time to complete a background investigation, percentage closed within six months, number in the backlog, and number remaining open, but does not address data around fingerprint checks. Although the Department has temporarily stopped performing fingerprint checks for certain positions, this information was not been reported in the MMR/PMMR prior to the pause.

This section was changed in Fiscal 2020 to better capture data on the backlog of background investigations, therefore historical information only goes back to Fiscal 2020. However, through information provided by the Department, the data shows progress on the backlogged background investigations. In February 2020, the Committee on Oversight and Investigations held a hearing regarding the backlog of background investigations (cases) that existed in the Department of Investigation. In July 2019, the backlog reached its peak of 6,500 cases. The Department then made adjustments to decrease the backlog and support the existing flow of new background investigations, so new cases would not contribute to the existing backlog. As of January 14, 2021, the backlog was down to 3,650 cases, nearing the halfway mark of all backlogged background investigations. The Department has increased the rate it completes backlogged investigations during COVID-19. From July 1, 2019 to January 14, 2020, the Department reduced the backlog by 730 cases; in Fiscal 2021 from July 2020 to January 14, 2021; the Department reduced the backlog by 950 cases, an increase of 30 percent. While it would be expected that remote work would slow the number of background investigations completed, DOI directed additional resources toward those teams due to the reduction in hiring across the City during the hiring freeze. The background investigation teams are flexible, and due to the flexibility and additional resources, the clearance of 30 percent more cases was possible.

Still, the PMMR provided new information on the time to complete a background investigation. Although the Department was able to close more background investigations, the average background investigation is taking longer to complete. Background investigations received and closed within six months decreased during the first four months of Fiscal 2021, from 97 percent in Fiscal 2020 to 83 percent.

Two additional indicators would help to make this document more accurately capture the Department's functions. First, an indicator showing the number of investigations the Department has begun or undertaken during the course of a fiscal year and PMMR reporting period would help to show the volume of work the Department is beginning to undertake. This is reported in the yearend statistics published by the Department, however that is only published once per year and is on a calendar year basis. Second, reporting around the Department's fingerprinting, the number of applicants fingerprinted, average time to complete, and other relevant items.

## Appendices

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

<i>Dollars in Thousands</i>	FY21			FY22		
	City	Non-City	Total	City	Non-City	Total
<b>DOI FY 2021 Adopted Budget</b>	<b>\$45,016</b>	<b>\$7,811</b>	<b>\$52,827</b>	<b>\$45,299</b>	<b>\$6,796</b>	<b>\$52,095</b>
<b>November Other Adjustments</b>						
80 Maiden Lane Adjustment	\$0	\$981	\$981	\$0	\$0	\$0
Citywide Wireless Services	0	0	0	(40)	0	(40)
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	200	200	0	0	0
FY21 AF Put-Up	0	3,551	3,551	0	0	0
IT Contract Savings	(8)	0	(8)	0	0	0
Managerial and OJ Furlough Savings	(386)	(78)	(463)	0	0	0
Roll funds from previous FY	0	33	33	0	0	0
Roll FY20 PO into FY21	0	1,191	1,191	0	0	0
Vehicle Purchase Freeze	(44)	0	(44)	(44)	0	(44)
<b>Subtotal, November Other Adjustments</b>	<b>(\$437)</b>	<b>\$6,932</b>	<b>\$6,495</b>	<b>(\$84)</b>	<b>\$0</b>	<b>(\$84)</b>
<b>November Savings Plan</b>						
PS Accruals	(\$793)	\$0	(\$793)	(\$476)	\$0	(\$476)
OTPS Savings	(159)	0	(159)	(159)	0	(159)
Hiring Freeze	0	0		(97)	0	(97)
<b>Subtotal, November Savings Plan</b>	<b>(\$951)</b>	<b>\$0</b>	<b>(\$951)</b>	<b>(\$731)</b>	<b>\$0</b>	<b>(\$731)</b>
<b>Subtotal, November</b>	<b>(\$1,388)</b>	<b>\$6,932</b>	<b>\$5,544</b>	<b>(\$814)</b>	<b>\$0</b>	<b>(\$814)</b>
<b>January Other Adjustments</b>						
Citywide Wireless Services	(\$3)	\$0	(\$3)	\$0	\$0	\$0
DOI: Monitoring Accrual	0	598	598	0	0	0
<b>Subtotal, January Other Adjustments</b>	<b>(\$3)</b>	<b>\$598</b>	<b>\$595</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>January Savings Plan</b>						
Hiring and Attrition Management	(\$298)	\$0	(\$298)	\$0	\$0	\$0
OTPS Savings	(124)	0	(124)	(775)	0	(775)
PS Accruals	(295)	0	(295)	(357)	0	(357)
<b>Subtotal, January Savings Plan</b>	<b>(\$716)</b>	<b>\$0</b>	<b>(\$716)</b>	<b>(\$1,132)</b>	<b>0</b>	<b>(\$1,132)</b>
<b>Subtotal, January</b>	<b>(\$719)</b>	<b>\$598</b>	<b>(\$121)</b>	<b>(\$1,132)</b>	<b>0</b>	<b>(\$1,132)</b>
<b>Total, All Changes</b>	<b>(\$2,107)</b>	<b>\$7,530</b>	<b>\$5,423</b>	<b>(\$1,946)</b>	<b>\$0</b>	<b>(\$1,946)</b>
<b>DOI FY 2022 Preliminary Budget</b>	<b>\$42,909</b>	<b>\$15,340</b>	<b>\$58,249</b>	<b>\$43,354</b>	<b>\$6,796</b>	<b>\$50,150</b>

### B: DOI Contract Budget

<b>DOI FY22 Preliminary Contract Budget</b>				
<b>Contract Budget</b>	<b>FY21 ADP</b>	<b>Number of Contracts</b>	<b>FY22 Preliminary</b>	<b>Number of Contracts</b>
Contractual Services General	\$229,204	1	\$229,204	1
Telecommunications Maint	11,468	3	11,468	3
Maint and Rep General	3,500	2	3,500	2
Office Equipment Maint	5,367	3	5,367	3
Data Processing Equip	26,659	3	26,659	3
Printing Contracts	11,190	4	11,190	4
Security Services	1,500	1	1,500	1
Temporary Services	77,010	5	77,010	5
Training Prg City Employees	725	1	725	1
Prof Serv Comput Services	6,000	2	6,000	2
Prof Serv Other	203,150	5	203,150	5
<b>Total</b>	<b>\$575,773</b>	<b>30</b>	<b>\$575,773</b>	<b>30</b>

**C: Program Areas****Agency Operations**

<b>Agency Operations</b> <i>Dollars in Thousands</i>						
	<b>FY19 Actual</b>	<b>FY20 Actual</b>	<b>FY21 Adopted</b>	<b>Preliminary Plan</b>		<b>*Difference FY21-FY22</b>
				<b>FY21</b>	<b>FY22</b>	
<b>Spending</b>						
<b>Personal Services</b>						
Full-Time Salaried - Civilian	\$23,705	\$24,602	\$25,622	\$23,852	\$24,704	(\$917)
Other Salaried	0	0	10	10	10	0
Unsalaries	19	20	66	66	66	0
Additional Gross Pay	492	302	94	94	94	0
Overtime - Civilian	796	590	40	40	40	0
P.S. Other	(10)	0	0	0	0	0
Fringe Benefits	0	0	96	96	96	0
<b>Subtotal</b>	<b>\$25,002</b>	<b>\$25,514</b>	<b>\$25,928</b>	<b>\$24,158</b>	<b>\$25,011</b>	<b>(\$917)</b>
<b>Other Than Personal Services</b>						
Supplies and Materials	\$2,933	\$2,037	\$1,800	\$3,285	\$42,021	\$221
Fixed and Misc Charges	41	14	100	306	100	0
Property and Equipment	970	664	691	1,993	647	(44)
Other Services and Charges	11,206	17,437	19,051	20,752	17,113	(1,939)
Contractual Services	2,560	1,385	514	1,838	514	0
<b>Subtotal</b>	<b>\$17,710</b>	<b>\$21,536</b>	<b>\$22,156</b>	<b>\$28,173</b>	<b>\$20,395</b>	<b>(\$1,761)</b>
<b>TOTAL</b>	<b>\$42,712</b>	<b>\$47,050</b>	<b>\$48,083</b>	<b>\$52,331</b>	<b>\$45,405</b>	<b>(\$2,678)</b>
<b>Funding</b>						
City Funds			\$44,211	\$42,105	\$42,548	(\$1,663)
Other Categorical			400	433	400	0
State			0	114	0	0
Federal - Community Development			0	598	0	0
Federal - Other			1,641	6,269	626	(1,015)
Intra City			1,831	2,812	1,831	0
<b>TOTAL</b>	<b>\$42,712</b>	<b>\$47,050</b>	<b>\$48,083</b>	<b>\$52,331</b>	<b>\$45,405</b>	<b>(\$2,678)</b>
<b>Budgeted Headcount</b>						0
Full-Time Positions - Civilian	290	297	310	288	303	0
<b>TOTAL</b>	<b>301</b>	<b>290</b>	<b>331</b>	<b>335</b>	<b>331</b>	<b>0</b>

*\*The difference of Fiscal 2021 Adopted Budget compared to Fiscal 2022 Preliminary Budget.*

**Inspector General**

<b>Inspector General</b>						
<i>Dollars in Thousands</i>						
	<b>FY19 Actual</b>	<b>FY20 Actual</b>	<b>FY21 Adopted</b>	<b>Preliminary Plan</b>		<b>*Difference FY21-FY22</b>
				<b>FY21</b>	<b>FY22</b>	
<b>Spending</b>						
<b>Personal Services</b>						
Full-Time Salaried - Civilian	\$4,971	\$4,982	\$4,228	\$5,332	\$4,230	\$2
Unsalaries	17	18	1	1	1	0
Additional Gross Pay	205	41	27	27	27	0
Overtime - Civilian	170	106	65	65	65	0
Fringe Benefits	0	0	41	41	41	0
<b>Subtotal</b>	<b>\$5,362</b>	<b>\$5,148</b>	<b>\$4,361</b>	<b>\$5,466</b>	<b>\$4,363</b>	<b>\$2</b>
<b>Other Than Personal Services</b>						
Supplies and Materials	\$128	\$91	\$92	\$195	\$92	\$0
Fixed and Misc Charges	0	0	18	18	18	0
Property and Equipment	60	72	87	67	87	0
Other Services and Charges	796	726	122	107	122	0
Contractual Services - Professional Services	60	88	6	35	6	0
Contractual Services	2	0	56	30	56	0
<b>Subtotal</b>	<b>\$1,046</b>	<b>\$977</b>	<b>\$381</b>	<b>\$453</b>	<b>\$381</b>	<b>\$0</b>
<b>TOTAL</b>	<b>\$6,408</b>	<b>\$6,125</b>	<b>\$4,743</b>	<b>\$5,919</b>	<b>\$4,745</b>	<b>\$2</b>
<b>Funding</b>						
City Funds			\$804	\$804	\$806	\$2
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			3,734	4,910	3,734	0
<b>TOTAL</b>	<b>\$6,408</b>	<b>\$6,125</b>	<b>\$4,743</b>	<b>\$5,919</b>	<b>\$4,745</b>	<b>\$2</b>
<b>Budgeted Headcount</b>						
Full-Time Positions - Civilian	64	64	60	77	70	0
<b>TOTAL</b>	<b>64</b>	<b>64</b>	<b>60</b>	<b>77</b>	<b>70</b>	<b>0</b>

\*The difference of Fiscal 2021 Adopted Budget compared to Fiscal 2022 Preliminary Budget.