

AGENCY NAME:	Office of the State Inspector General		
AGENCY CODE:	D250	SECTION:	94

**Fiscal Year 2019–2020
Accountability Report**

SUBMISSION FORM

AGENCY MISSION	<p>The South Carolina Office of the Inspector General’s (SIG) statutory mission is to investigate and address allegations of “fraud, waste, abuse, mismanagement, misconduct, and wrongdoing” within the Executive Branch consisting of 106 separate agencies, commissions, boards, and public universities; annual expenditures exceeding \$27 billion; and 60,000 employees. <i>John Ward, the father of the first state Inspector General’s (IG) office (Massachusetts – 1981), best described the general mission and concept of the IG as “...any institution, corporation, university, let alone the institution of government, must build into itself a mechanism for self-criticism and self-correction.” He further identified the IG’s role as “that vast middle ground between the ability to review all state transactions to a limited degree without the power to investigate [i.e., the Auditor], and the power to investigate allegations of fraud on a case-by-case basis [i.e., the Attorney General].”</i></p> <p>The SIG approaches this broad mission by two strategic objectives: 1) maintain a high integrity workforce; and 2) increase the cost/effectiveness of Executive Branch operations. The SIG <u>operationalizes</u> these strategic objectives by selecting fraud, misconduct, and waste investigations with the broadest impact, based on:</p> <ol style="list-style-type: none"> 1) The significance of the impact to the public’s confidence in the integrity or effectiveness of State government, and/or disruption to agency operations; 2) The broadest impact (statewide) considering probable individual case outcomes in terms of effectiveness, waste prevented or seriousness of allegation; 3) Proactive risk assessments of waste among Executive Branch agencies; and 4) Lessons learned to identify root causes of problems or deficiencies in order to drive positive change within an agency, preferably on a statewide basis.
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AGENCY VISION	<p>The SIG utilizes its statutory authorities, capabilities, and proactive posture to:</p> <ul style="list-style-type: none"> • Provide the State with a unique investigative/audit asset to objectively and independently address integrity or ineffectiveness issues impacting the public’s confidence in State government and disruption to an agency fulfilling its mission; • Demonstrate a willingness to engage integrity and ineffectiveness issues as a deterrence for misconduct and mismanagement among Executive Branch employees and leaders; as well as providing an effective tool to address issues previously unaddressed by affixing accountability with recommendations to drive positive change; and • Steer the Executive Branch management culture towards an environment of continuous improvement using the simple benchmark of taxpayer value, and challenge State government’s greatest risk of complacency, which can easily seep into a governmental environment.
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Does the agency have any major or minor recommendations (internal or external) that would allow the agency to operate more effectively and efficiently?

RESTRUCTURING RECOMMENDATIONS:	Yes	No
	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Is the agency in compliance with S.C. Code Ann. § 2-1-230, which requires submission of certain reports to the Legislative Services Agency for publication online and to the State Library? See also S.C. Code Ann. § 60-2-30.

REPORT SUBMISSION COMPLIANCE:	Yes	No
	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Is the agency in compliance with various requirements to transfer its records, including electronic ones, to the Department of Archives and History? See the Public Records Act (S.C. Code Ann. § 30-1-10 through 30-1-180) and the South Carolina Uniform Electronic Transactions Act (S.C. Code Ann. § 26-6-10 through 26-10-210).

RECORDS MANAGEMENT COMPLIANCE:	Yes	No
	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Is the agency in compliance with S.C. Code Ann. § 1-23-120(J), which requires an agency to conduct a formal review of its regulations every five years?

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REGULATION REVIEW:	Yes	No
	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Please identify your agency's preferred contacts for this year's accountability report.

	<u>Name</u>	<u>Phone</u>	<u>Email</u>
PRIMARY CONTACT:	Brian D. Lamkin	803-896-1287	brianlamkin@oig.sc.gov
SECONDARY CONTACT:	George Davis	803-896-4701	georgedavis@oig.sc.gov

I have reviewed and approved the enclosed FY 2019–2020 Accountability Report, which is complete and accurate to the extent of my knowledge.

AGENCY DIRECTOR (SIGN AND DATE):	
(TYPE/PRINT NAME):	BRIAN D. LAMKIN

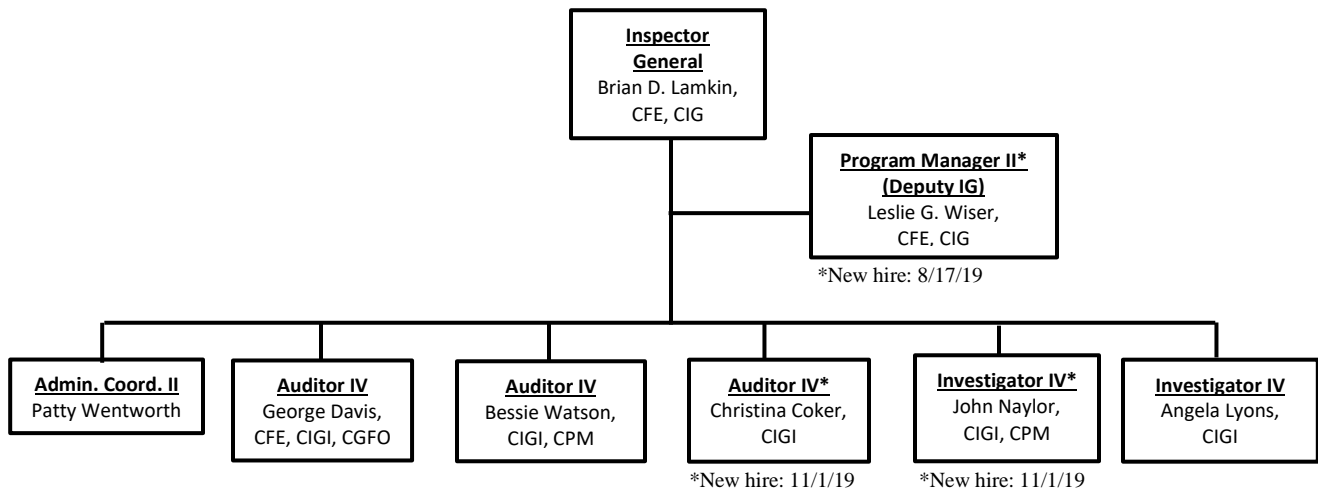
BOARD/CMSN CHAIR (SIGN AND DATE):	NOT APPLICABLE
(TYPE/PRINT NAME):	NOT APPLICABLE

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AGENCY'S DISCUSSION AND ANALYSIS

During Fiscal Year (FY) 2019-20, the Office of the State Inspector General (SIG) was staffed with an Inspector General, one Deputy Inspector General, three auditors, two investigators, and one administrative coordinator. Each auditor and investigator has extensive auditing and investigative experience, including law enforcement. The SIG hired one investigator and one auditor (November 2019) to fill two vacancies created by the retirement and an interagency promotion of two staff members in September 2019. These brief vacancies had marginal impact on SIG operations and investigations. In August 2019 a Program Manager II/Deputy Inspector General was hired, an increase of one FTE for FY 2019-20.

AGENCY ORGANIZATIONAL CHART



The SIG emphasized the professional development and continuing education (CPE) of its staff in the specialized areas of certified fraud examiner (CFE), certified inspector general (CIG), certified inspector general investigator (CIGI), certified public manager (CPM), and certified government finance officer (CGFO). One investigator attained CFE certification and CIG certification, and three attained CIGI certification. The SIG's emphasis in providing opportunities for its staff to maintain these specialized skills ensures the SIG deploys highly trained auditors and investigators with the broadest perspective in its investigations, reviews, and assessments. The annual CPE requirement for the CFE certification is 20 credit hours, with at least ten hours in fraud examinations and two hours in ethics. The biennial CPE requirement for the CIG and CIGI certification is 40 credit hours. The SIG collaborates with the Legislative Audit Council (LAC) to receive audit training for all new SIG staff. During FY 2019-20, four SIG staff received LAC audit training.

COVID-19 Impact to SIG Operations

On 3/13/2020, the Governor's declaration of a COVID-19 State of Emergency resulted in the SIG shifting to remote/telework operations. This adversely affected SIG investigative activities, to include person-to-person interviews and review of Executive Branch (EB) agencies. The SIG re-focused its efforts by bridging the communication gap for South Carolinians experiencing difficulties in contacting the SC Department of Employment Workforce (SCDEW) about unemployment. These efforts shifted in mid-May when the SIG initiated a triage process of identifiable unemployment fraud for referral to the SCDEW investigative team. These efforts resulted in over 108 fraud referrals to SCDEW.

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SIG Investigative Activities – FY 2019-20

The SIG initiated eight high impact/time-sensitive investigations requested by the General Assembly, the Governor’s Office and a statewide constitutional officer; eight proactive risk assessments of waste and mismanagement, four investigations of serious misconduct by state employees, and the dissemination of six statewide lessons learned and alerts in anti-fraud measures. The SIG provided voluntary program reviews to five EB agencies to improve program efficiency and effectiveness for these agencies. Additionally, the SIG provided five presentations to the public on financial oversight, managing fraud risk, and state job recruitment to the USC’s Department of Criminology and Criminal Justice “Career and Intern Fair,” the USC Athletics Department “Student-Athlete Networking Night,” the Rotary Club of Forest Acres, the SC Charter Alliance Conference, and the Charter Institute at Erskine.

Reviews (8) of High Impact/Time-Sensitive Issues in State Government

- [Review of Constituent Concerns Regarding the SC Housing Finance and Development Authority](#) (SC Housing), requested by the House Legislative Oversight Committee (HLOC) regarding multiple constituent concerns of the agency’s operations and program mismanagement.
- [SIG Review - SC Housing Climate Survey Results](#), requested by the HLOC as follow-up to the SIG’s prior review of the agency.
- [Review of the South Carolina Public Charter School District](#), requested by a member of the General Assembly regarding mismanagement within the SC Public Charter School District (SCPCSD).
- [Review of the Power Up 2019 Program - SC Vocational Rehabilitation Department](#), requested by the HLOC regarding constituent concerns of mismanagement, and \$2 million expended for the program.
- The SIG initiated a review of the treatment of hidden earmark appropriations not requested by the agencies during the budget formulation process at the request of a member of the General Assembly. This matter is currently under review.
- The SIG initiated a review of the SC Division of Motor Vehicles program management of the “Road Use Fee Collections” program at the request of a member of the General Assembly. This matter is currently under review.
- The SIG initiated a review of the oversight and performance outcomes of the “Teach for America – South Carolina” program at the request of a South Carolina constitutional officer. This matter is currently under review.
- The SIG conducted a review of the SC Governor’s School for Science and Mathematics’ Use and Disclosure policy of personnel information at the request of a member of the General Assembly.

Proactive Risk Assessments (8) of Waste and Mismanagement

The SIG is most effective in the findings and recommendations issued through its program reviews and investigations. During FY 2019-20, the SIG issued 24 statewide recommendations across eight risk assessments of waste and mismanagement. These agencies implemented 23 of the 24 recommendations, a 96% acceptance rate that resulted in a combined recovery and waste prevented of \$1,811,897 in South Carolina tax dollars.

Six of the high impact/time sensitive reviews previously listed were initiated as risk assessments for waste and mismanagement of state resources. The three completed risk assessments/reviews of the Power Up 2019 Program, the SCPCSD, and SC Housing resulted in thirteen recommendations and a calculated savings to the South Carolina taxpayer of \$990,544 in “waste prevented.” The remaining three risk

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assessments/reviews of the Road Use Fees Collections program, Hidden Earmark Appropriations, and the Teach for America South Carolina program are currently pending. The seventh risk assessment, [Review of the Use of State Funds for an Equine Therapy PTSD Program](#), resulted in one recommendation, the return of \$2,760 to the state’s General Fund, and the preservation of \$415,034 in state funds for future development of the program. The eighth waste/risk assessment of an SCPCSD charter school resulted in the issuance of ten recommendations for program improvement, the recovery of \$21,687 for the school, and \$381,872 in waste prevented.

The SIG discontinued its study of the South Carolina Division of Technology shared services program when it updated its five-year strategic plan and incorporated various observations the SIG identified during its initial review of the program. The SIG did not issue a study in this matter.

Serious Misconduct Investigations (4) Regarding Executive Branch Employees

By policy, the SIG does not publically release serious misconduct investigations. In matters determined to be criminal in nature, the SIG must refer these matters to law enforcement for further investigation pursuant to SC Code of Laws, §1-6-40(B). However, for SIG accountability purposes and oversight the following summaries of misconduct investigations are presented in a non-attributable format:

- An agency official was alleged to have a conflict of interest in a business relationship with the agency. The SIG confirmed the allegation and the agency official resigned and the business relationship was terminated.
- An agency official was alleged to have a conflict of interest with a prospective donor to a public university. The SIG determined the allegation was unfounded.
- An agency official was alleged to have engaged in fraudulent activity at the agency. The SIG determined the allegation was unfounded.
- An agency official was alleged to have divulged restricted information to a business regulated by the agency. This matter is currently under investigation.

Voluntary Program Reviews (5) Requested by Agency Heads

The SIG conducted five voluntary program reviews at the request of five EB agencies. The SIG promoted this service to EB agencies to assist in improving EB operations and processes. In four of the five program reviews, the SIG affirmed the agencies’ oversight and program management processes. For the fifth review, the SIG determined the agency executed its program management effectively, though not efficiently. The SIG made recommendations to the agency head to improve program efficiencies.

Lessons Learned (6) and Alerts Disseminated to EB Agencies

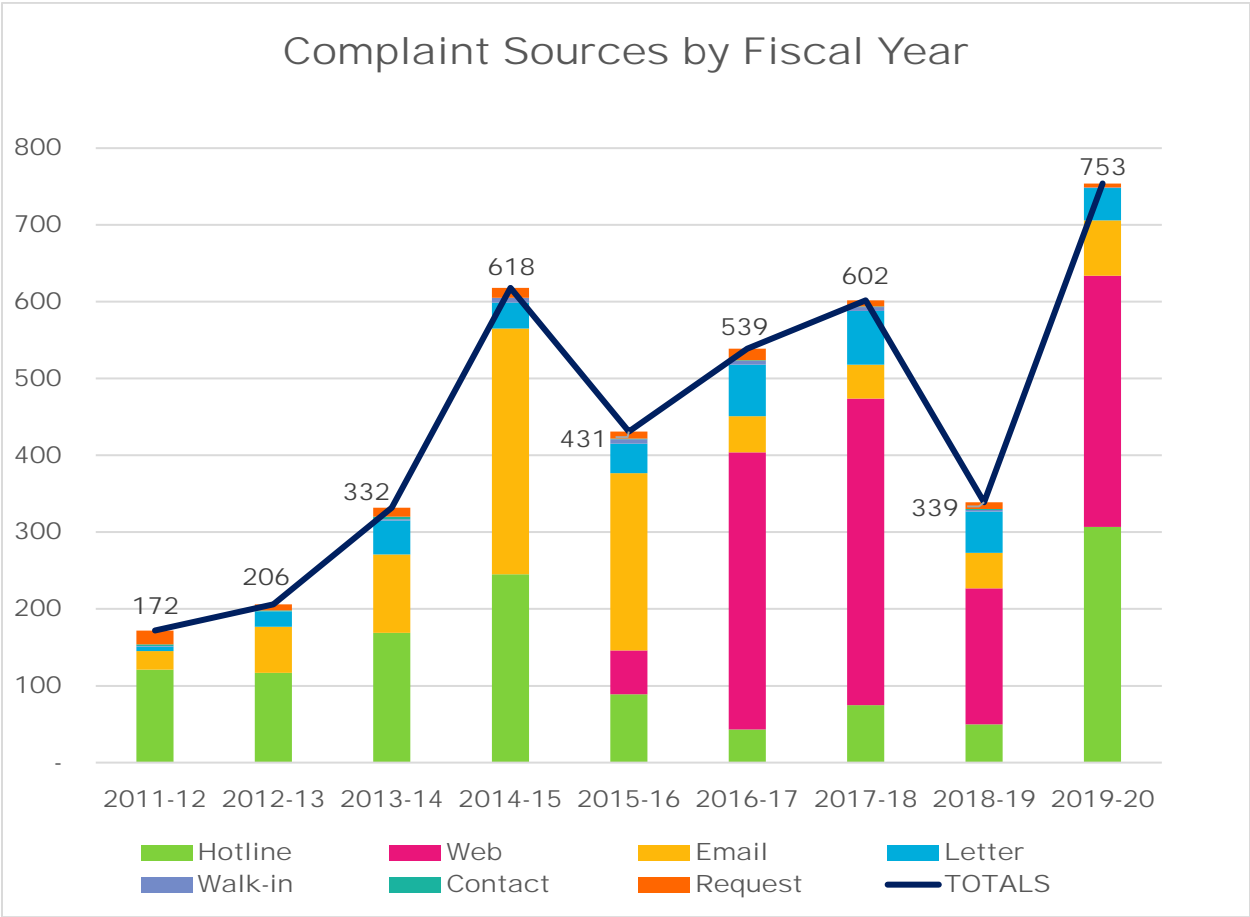
The SIG issued its FY 2019-20 fraud report titled, [Annual Report of Fraud Conducted by Executive Branch State Employees](#). The SIG received one notification from an external source of potential fraud involving one EB employee at one EB agency, with an estimated loss of \$0. The SIG disseminated six “Lessons Learned” and alerts to all 106 EB agency heads, which included fraud prevention tips, fraud risks, and delinquent accounts receivables identified through the [2019 Debt Collection Report](#).

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SIG “Hotline” Operation and Complaint Filing Program

The SIG operated a toll-free “hotline” for the public to report fraud in state government. In addition to receiving complaints through the SIG’s hotline and the traditional method of in-person or direct correspondence with the SIG, the SIG also utilized a web-based reporting system, which provided the public and state employees the ability to report fraud in a confidential manner directly to the SIG. The SIG received, reviewed, and assessed 753 complaints during FY 2019-20, a 122% increase over the 339 from FY 2018-19. For the April – June period alone the SIG received 480 complaints following the COVID-19 State of Emergency declaration in March 2020. The 753 complaints is the most received by the SIG in its nine-year history. The average turnaround for complaint processing (download-assessment-action) was ten calendar days for FY 2019-20. The tracking of complaints acts as a barometer of the SIG’s communication efforts with the public and executive branch employees, and gauges the SIG’s triage of complaints more effectively. *(See chart below)*

The SIG received an additional 923 “hotline” calls that were non-jurisdictional complaints, or misdirected calls, which the SIG referred to the applicable agency or entity.



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SIG Annual Performance Measures

Below are the quantitative metrics developed specifically in the SIG’s strategic plan to provide outcome indicators that address the stated objectives for FY 2019-20 and internal agency metrics.

Performance Measures	Strategic Plan / Internal Metric	FY 2019-20 Actual	FY 2019-20 Target	FY 2018-19 Actual
Forensic accounting investigations	Strategic	8	6	8
Misconduct investigations	Strategic	4	5	8
Economic recoveries (incl. waste prevented, based upon SIG findings & recommendations)	Strategic	\$1,811,897	\$815,000	\$2,615,949
SIG Statewide recommendations	Strategic / Internal	24	15	12
SIG recommendations accepted / implemented by Agency as a percentage (%)	Strategic / Internal	96%	80%	100%
SIG Alerts / “Lessons Learned”	Strategic	6	6	7
Complaints received	Strategic	753	350	339+
SIG referrals to law enforcement, State Ethics Commission, or State Auditor	Internal	2	0	6
Voluntary Program Reviews	Strategic	5	3	5
Complaint triage – process, triage, action	Strategic / Internal	10 calendar days	30 calendar days	*
Investigative completion time	Strategic / Internal	83 business days	90 business days	*

+Revised from FY 2018-19

REQUIRED SUBSECTIONS

I. **Risk Assessment and Mitigation Strategies**

A. **Reduce Waste in Executive Branch Operations (AAR Goal #3)**

- (1) The SIG’s greatest risk is losing its credibility and confidence with the public and stakeholders by releasing an inaccurate report, which in turn, negatively affects the public by losing a critical asset in objectively investigating Executive Branch agencies and programs.
- (2) Mitigated. The General Assembly authorized an increase to the SIG’s classified FTE staffing to hire a Program Manager II/Deputy IG for FY 2019-20. Completed: August 2019.

B. **Restructuring Recommendations** (None)

Strategic Planning and Performance Measurement Template

Statewide Enterprise Strategic Objective	Type	Item #			Description	2019-20			Time Applicable	Data Source and Availability	Calculation Method	Meaningful Use of Measure
		Goal	Strategy	Measure		Base	Target	Actual				
Maintaining Safety, Integrity and Security	G	1			Identify incidents of fraud conducted Executive Branch employees							
	S	1.1			Investigate incidents of Executive Branch employee fraud reported by agency heads and the public utilizing the forensic accounting & certified fraud examiner skills of State Inspector General (SIG) staff							
	M			1.1.1	Total number of forensic accounting investigations identified, initiated and completed that required advanced investigative skills by SIG staff	8	6	8	7/1/19 - 6/30/20	Data Source: SIG Case Tracking Availability: Ongoing	SIG manual count	Effective use of accounting and financial analysis on complex investigations to show trends within an agency's operations.
	S	1.2			Provide "lessons learned" and alerts to agency heads for dissemination to Executive Branch employees for fraud awareness & training							
	M			1.2.1	Dissemination of SIG "lessons learned" and alerts to Executive Branch agency heads.	7	6	6	7/1/19 - 6/30/20	Data Source: SIG Alert Tracking Availability: Ongoing	SIG manual count	Provide notification to agency heads on fraud trends and anti-fraud measures to improve Executive Branch operations.
Maintaining Safety, Integrity and Security	G	2			Enhance Integrity in the Executive Branch							
	S	2.1			Investigate incidents of allegations of misconduct in the Executive Branch with emphasis on managers							
	M			2.1.1	Investigate misconduct matters identified, initiated and referred for adjudication through agency head referrals, the SIG Hotline/complaint process, and open source reporting regarding Executive Branch employees.	8	5	4	7/1/19 - 6/30/20	Data Source: SIG Case Tracking Availability: Ongoing	SIG manual count	Identify trends and deficiencies within an agency's operations, internal controls and employee integrity.
Government and Citizens	G	3			Reduce Waste in the Executive Branch Operations							
	S	3.1			Investigate incidents of Executive Branch waste having the highest impact							
	M			3.1.1	Economic recoveries (including waste prevented) based upon SIG investigative findings and recommendations.	\$2,615,949	\$815,000	\$1,811,897	7/1/19 - 6/30/20	Data Source: SIG Case Tracking Availability: Ongoing	Calculation Method	Provide economic impact & recoveries of implemented policy and process changes based on SIG recommendations.
	S	3.2			Assess and improve Executive Branch agencies' policies and processes							
	M			3.2.1	SIG recommendations issued to agencies to improve policies and processes. *(All State Inspector General recommendations are categorized as state-wide recommendations)	12	15	24	7/1/19 - 6/30/20	Data Source: SIG Case Tracking Availability: Ongoing	SIG manual count	Identify trends in deficiencies across statewide operations and internal controls, and provide feedback on the relevance and impact of State Inspector General recommendations.
	M			3.2.2	Percentage of recommendations accepted and implemented by agencies as a result of SIG investigative findings.	100%	80%	96%	7/1/19 - 6/30/20	Data Source: SIG Case Tracking Availability: Ongoing	Calculation Method	Indicate value / impact of SIG recommendations to agencies.
	M			3.2.3	Voluntary program reviews / consulting services to Executive Branch agencies for program improvement.	5	3	5	7/1/19 - 6/30/20	Data Source: SIG Case Tracking Availability: Ongoing	SIG manual count	Provide independent consulting services to Executive Branch agencies' leadership to drive program improvement and services.
	S	3.3			Assess and improve SIG investigative completion times							
	M			3.3.1	Establish baseline performance measure for time frame to complete SIG investigations (New measure for FY 2019-20; period of 3/16-7/5/20 excluded due to COVID-19 impact on SIG operations)	*	90 business days	83 business days	7/1/19 - 6/30/20	Data Source: SIG Case Tracking Availability: Ongoing	Calculation Method	Ensure SIG investigations are completed in a timely manner.
	M			3.3.2	Establish baseline performance measure for processing, triage, and actioning all complaints (New measure for FY 2019-20; no exclusion of days during the COVID-19 sequester of SIG staff)	*	30 calendar days	10 calendar days	7/1/19 - 6/30/20	Data Source: SIG Case Tracking Availability: Ongoing	Calculation Method	Ensure complaints received by the SIG are processing, vetted and appropriate action taken in a timely manner.
Government and Citizens	G	4			Involve EB employees and the public to identify significant waste in EB operations							
	S	4.1			Operate a tip "hotline" and comprehensive fraud reporting program							

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Strategic Planning and Performance Measurement Template

Statewide Enterprise Strategic Objective	Type	Item #			Description	Base	2019-20		Time Applicable	Data Source and Availability	Calculation Method	Meaningful Use of Measure
		Goal	Strategy	Measure			Target	Actual				
	M			4.1.1	Complaints received, reviewed, and addressed from 1-800-Hotline, website online complaint form, official request from Governor's Office and General Assembly, general correspondence, and walk-in.	339	350	753	7/1/19 - 6/30/20	Data Source: SIG Case Tracking Availability: Ongoing	SIG manual count	Track the volume of complaints to ensure SIG outreach & communication with agencies and public is effective.
	M			4.1.2	Fraud reporting from <u>agency heads</u> of Executive Branch employees to transparently report to the public to maintain its confidence in the integrity of State government.	5	5	0	7/1/19 - 6/30/20	Data Source: SIG Case Tracking Availability: Ongoing	SIG manual count	Identify Executive Branch employee fraud committed against a state agency.

Statewide Enterprise Strategic Objective	Type	Item #			Description	2020-21			Time Applicable	Data Source and Availability	Calculation Method	Meaningful Use of Measure
		Goal	Strategy	Measure		Base	Target	Actual				
Maintaining Safety, Integrity and Security	G	1			Identify incidents of fraud conducted by Executive Branch employees							
	S	1.1			Investigate incidents of Executive Branch employee fraud reported by agency heads and the public utilizing the forensic accounting & certified fraud examiner skills of State Inspector General (SIG) staff							
	M		1.1.1		Total number of forensic accounting investigations identified, initiated and completed that required advanced investigative skills by SIG staff	8	6		7/1/20 - 6/30/21	Data Source: SIG Case Tracking Availability: Ongoing	SIG manual count	Effective use of accounting and financial analysis on complex investigations to show trends within an agency's operations.
	S	1.2			Provide "lessons learned" and alerts to agency heads for dissemination to Executive Branch employees for fraud awareness & training							
	M		1.2.1		Dissemination of SIG "lessons learned" and alerts to Executive Branch agency heads.	6	6		7/1/20 - 6/30/21	Data Source: SIG Alert Tracking Availability: Ongoing	SIG manual count	Provide notification to agency heads on fraud trends and anti-fraud measures to improve Executive Branch operations.
Maintaining Safety, Integrity and Security	G	2			Enhance Integrity in the Executive Branch							
	S	2.1			Investigate incidents of allegations of misconduct in the Executive Branch with emphasis on supervisors, managers and executives							
	M		2.1.1		Investigate misconduct matters identified, initiated and referred for adjudication through agency head referrals, the SIG Hotline/complaint process, and open source reporting regarding Executive Branch employees.	4	6		7/1/20 - 6/30/21	Data Source: SIG Case Tracking Availability: Ongoing	SIG manual count	Identify trends and deficiencies within an agency's operations, internal controls and employee integrity.
Government and Citizens	G	3			Reduce waste in Executive Branch operations							
	S	3.1			Investigate incidents of Executive Branch waste having the broadest impact among state agencies							
	M		3.1.1		Economic recoveries (including waste prevented) based upon SIG investigative findings and recommendations.	\$1,811,897	*		7/1/20 - 6/30/21	Data Source: SIG Case Tracking Availability: Ongoing	Calculation Method	Provide economic impact & recoveries of implemented policy and process changes based on SIG recommendations.
	S	3.2			Assess and improve Executive Branch agencies' policies and processes							
	M		3.2.1		SIG recommendations issued to agencies to improve policies and processes. *(All State Inspector General recommendations are categorized as state-wide recommendations)	24	20		7/1/20 - 6/30/21	Data Source: SIG Case Tracking Availability: Ongoing	SIG manual count	Identify trends in deficiencies across statewide operations and internal controls, and provide feedback on the relevance and impact of State Inspector General
	M		3.2.2		Percentage of recommendations accepted and implemented by agencies as a result of SIG investigative findings.	96%	95%		7/1/20 - 6/30/21	Data Source: SIG Case Tracking Availability: Ongoing	Calculation Method	Indicate value / impact of SIG recommendations to agencies.
	M		3.2.3		Voluntary Executive Branch program reviews / consulting services to improve performance	5	3		7/1/20 - 6/30/21	Data Source: SIG Case Tracking Availability: Ongoing	SIG manual count	Provide independent consulting services to Executive Branch agencies' leadership to drive program improvement and services.
	S	3.3			Assess and improve SIG investigative completion times							
	M		3.3.1		90-business day time frame to complete SIG investigations	83	90		7/1/20 - 6/30/21	Data Source: SIG Case Tracking Availability: Ongoing	Calculation Method	Ensure SIG investigations are completed in a timely manner.
	M		3.3.2		30-calendar day time frame to process, triage, and action all complaints	10	30		7/1/20 - 6/30/21	Data Source: SIG Case Tracking Availability: Ongoing	Calculation Method	Ensure complaints received by the SIG are processing, vetted and appropriate action taken in a timely manner.
Government and Citizens	G	4			Involve Executive Branch employees and the public to identify significant waste in government							
	S	4.1			Operate a tip "hotline" and comprehensive fraud reporting program							

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Strategic Planning and Performance Measurement Template

Statewide Enterprise Strategic Objective	Type	Item #			Description	2020-21			Time Applicable	Data Source and Availability	Calculation Method	Meaningful Use of Measure
		Goal	Strategy	Measure		Base	Target	Actual				
	M		4.1.1		Complaints received, reviewed, and addressed from 1-800-Hotline, website complaint form, official request from Governor's Office and General Assembly, general correspondence, and walk-in.	753	400		7/1/20 - 6/30/21	Data Source: SIG Case Tracking Availability: Ongoing	SIG manual count	Track the volume of complaints to ensure SIG outreach & communication with agencies and public is effective.
	M		4.1.2		Fraud reporting from Executive Branch <u>agency heads, points of contact, and employees</u> to transparently report to the public to maintain its confidence in the integrity of State government.	0	5		7/1/20 - 6/30/21	Data Source: SIG Case Tracking Availability: Ongoing	SIG manual count	Identify Executive Branch employee fraud committed against a state agency.

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Program Template

Program/Title	Purpose	<u>FY 2019-20 Expenditures (Actual)</u>				<u>FY 2020-21 Expenditures (Projected)</u>				Associated Measure(s)
		General	Other	Federal	TOTAL	General	Other	Federal	TOTAL	
I. Office of the Inspector General	General Operating Budget-Personnel and Non-Personnel for Investigations	\$ 625,831			\$ 625,831	\$ 627,997			\$ 627,997	All Measures
II Employee Benefits	Employer Contributions for Personnel - Taxes and Benefits	\$ 196,037			\$ 196,037	\$ 211,568			\$ 211,568	All Measures

Item #	Law Number	Jurisdiction	Type of Law	Statutory Requirement and/or Authority Granted	Does this law specify who your agency must or may serve? (Y/N)	Does the law specify a product or service your agency must or may provide?	If yes, what type of service or product?	If other service or product, please specify what service or product.
1	§1-6-20(A)	State	Statute	The State Inspector General (SIG) shall fix the salaries of all staff subject to the funds authorized in the annual general appropriation act.		Yes	Other service or product our agency must/may provide	Establish staff salaries for SIG employees.
2	§1-6-20(E)	State	Statute	Authority to request records, documents, reports, answers, accounts, papers and other necessary data and documentary evidence from all State agencies.	Yes	No - Does not relate directly to any agency deliverables		
3	§1-6-30(9)	State	Statute	Annual report to the Governor, President Pro Tempore of the Senate, and Speaker of the House of Representatives detailing the State Inspector General's activities.	Yes	Yes	Report our agency must/may provide	
4	§1-6-40(A)	State	Statute	Mandatory reporting of misconduct to Governor and the agency head of agency employee engaged in suspected conduct (fraud, waste, abuse, mismanagement, misconduct, or wrongdoing).	Yes	Yes	Report our agency must/may provide	
5	§1-6-40(B)	State	Statute	Mandatory reporting to law enforcement (state or federal) of a crime committed.	Yes	Yes	Report our agency must/may provide	
6	§1-6-50(A); (B)	State	Statute	Authorities and investigative powers to administer oaths, examine witnesses under oath, issue subpoenas /subpoenas duces tecum; examine records, reports, documentation, etc., maintained by an agency. Apply to a circuit court to enforce a subpoena or testimony.	No	No - Does not relate directly to any agency deliverables		
7	§1-6-50(C)	State	Statute	Authority to determine if an investigation requires the issuance of a report. The State Inspector General may give an agency advice or recommendations that remain confidential and are not issued as a report.	Yes	Yes	Other service or product our agency must/may provide	Provide advice or recommendations to an agency that remain confidential and are not issued as a report.
8	§1-6-50(D)	State	Statute	Authority to file a civil action to recover funds misappropriated, diverted, missing, or unlawfully gained if the State Attorney General chooses not to pursue a civil action.	Yes	Yes	Other service or product our agency must/may provide	File a civil action to recover funds.
9	§1-6-60	State	Statute	Authority to file a complaint with the State Ethics Commission and represent the State in any proceeding before the Ethics Commission.	Yes	Yes	Other service or product our agency must/may provide	Authority to file a complaint with the State Ethics Commission and represent the State before the Ethics Commission.
10	§1-6-70(B)	State	Statute	Must certify a report to the State Attorney General upon finding evidence of misfeasance, malfeasance, nonfeasance, misappropriation, fraud or other misconduct resulting in a financial loss to the State.	Yes	Yes	Report our agency must/may provide	
11	§1-6-70(D)	State	Statute	Authority to institute forfeiture proceedings to recover property derived from or realized through unlawful gain of state funds unless a prosecutor has already instituted forfeiture proceedings.	Yes	Yes	Other service or product our agency must/may provide	Authority to institute forfeiture proceedings to recover ill-gotten gains from unlawful use of state funds.
12	§1-6-80	State	Statute	Must certify to the appropriate prosecuting attorney and provide relevant documents and witness testimony evidence of criminal activity when it is discovered.	Yes	Yes	Report our agency must/may provide	
13	§1-6-90	State	Statute	Must establish a toll-free public telephone number ("hotline") for the public to report fraud, waste, abuse, mismanagement, misconduct, and violations of state or federal law and wrongdoing at an agency.	Yes	Yes	Other service or product our agency must/may provide	Establish a toll-free "hotline" for the public to report fraud and wrongdoing at a state agency.
14	§1-6-100	State	Statute	Must maintain confidentiality of individuals reporting fraud with three exceptions: (1) individual provides written consent to release name; (2) State Inspector General makes a written determination disclosure of identity is in the public interest; or (3) the Governor authorizes the disclosure of identity in the public interest.	Yes	Yes	Other service or product our agency must/may provide	Must maintain confidentiality of persons reporting fraud with three exceptions.
15	Proviso 94.1	State	FY 2019-20 Proviso	Mandatory report to the General Assembly regarding case referrals from State Auditor. (Recurring proviso)	Yes	Yes	Report our agency must/may provide	
16	Proviso 117.33	State	FY 2019-20 Proviso	Annual outstanding debt reported to the State Inspector General by agencies; no action required other than analytical review and ensure accuracy of data aggregated by the Department of Administration. (Recurring Proviso)	Yes	No - But relates to manner in which one or more agency deliverables is provided		

Service/Product Provided to Customers	Customer Segments	Specify only for the following Segments: (1) Industry: Name; (2) Professional Organization: Name; (3) Public: Demographics.	Divisions or Major Programs	Description
Establish staff salaries for State Inspector General employees - Investigator IV, Auditor IV, and Admin Coordinator II salaries.	Executive Branch/State Agencies		State Inspector General Human Resources	Responsible for payment of salaries to State Inspector General employees.
Annual report to the Governor - Annual summary report of State Inspector General investigative activity	Executive Branch/State Agencies		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Annual report to the President Pro Tempore of the Senate, and Speaker of the House of Representative - Annual summary report of State Inspector General investigative activity	Legislative Branch		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Mandatory report to the General Assembly - Mandatory report to the General Assembly regarding case referrals from State Auditor. (Recurring proviso)	Legislative Branch		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Mandatory report of agency employee engaged in suspected misconduct (fraud, waste, abuse, mismanagement, misconduct, or wrongdoing) to Governor and the agency head	Executive Branch/State Agencies		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Mandatory report to law enforcement - Criminal referral to state or federal law enforcement when criminal activity is identified.	Executive Branch/State Agencies		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Mandatory report to State Attorney General resulting in financial loss to the State - Must certify a report to the State Attorney General upon finding evidence of misfeasance, malfeasance, nonfeasance, misappropriation, fraud or other misconduct resulting in a financial loss to the State.	Executive Branch/State Agencies		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Mandatory report of documentary and testimonial evidence - Must certify to the appropriate prosecuting attorney and provide relevant documents and witness testimony evidence of criminal activity when it is discovered.	Executive Branch/State Agencies		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Authority to provide consulting services to Executive Branch agencies - Provide advice or recommendations to an agency that remain confidential and are not issued as a report.	Executive Branch/State Agencies		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Authority to file civil recovery on behalf of the State - File a civil action to recover funds if Attorney General chooses not to pursue civil action	Executive Branch/State Agencies		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Authority to file an Ethics Complaint on behalf of the State - Refer or file an ethics complaint with the State Ethics Commission on behalf of the State	Executive Branch/State Agencies		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Authority to institute forfeiture proceedings - Forfeiture proceedings to recover ill-gotten gains from unlawful use of state funds unless prosecutor has already initiated proceedings.	Executive Branch/State Agencies		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Maintain a toll-free "hotline" for the public to report fraud and wrongdoing at a state agency - Must establish a toll-free public telephone number ("hotline") for the public to report fraud, waste, abuse, mismanagement, misconduct, and violations of state or federal law and wrongdoing at an agency.	General Public		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Provide confidentiality of persons reporting fraud - Must maintain confidentiality of individuals reporting fraud with three exceptions: (1) individual provides written consent to release name; (2) State Inspector General makes a written determination disclosure of identity is in the public interest; or (3) the Governor authorizes the disclosure of identity in the public interest.	General Public		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.
Analysis of Executive Branch agencies' debt reports - Annual outstanding debt reported to State Inspector General by agencies; no action required other than analytical review and ensure accuracy of data aggregated by the Department of Administration. (Recurring Proviso)	Legislative Branch		State Inspector General Investigations	Responsible for investigation of fraud, waste, abuse, mismanagement and misconduct among Executive Branch state agencies.

Agency Name: STATE INSPECTOR GENERAL

Fiscal Year 2019-2020
Accountability Report

Agency Code and Section: D250 94

Partner Template

Name of Partner Entity	Type of Partner Entity	Description of Partnership	Associated Goal(s)
Governor's Office	State Government	Exchange information on potential Executive Branch (EB) issues with opportunities to improve & facilitate oversight of EB agencies.	1,2,3,4
Senate Finance & House Ways and Means	State Government	Exchange information on potential Executive Branch (EB) issues with opportunities to improve & facilitate oversight of EB agencies.	1,2,3,4
Senate & House Oversight Committees	State Government	Exchange information on potential Executive Branch (EB) issues with opportunities to improve & facilitate oversight of EB agencies.	1,2,3,4
State Law Enforcement Division	State Government	Exchange information on potential frauds and coordinate investigations to mutually support both agencies' missions.	1,2,3,4
SC Attorney General's Office	State Government	Exchange information on potential frauds and coordinate investigations to mutually support both agencies' missions; obtain legal guidance and opinions as needed.	1,2,3,4
State Ethics Commission	State Government	Exchange information on potential misconduct and ethics issues identified in the course of State Inspector General investigations.	1,2,3,4
State Auditor's Office	State Government	Exchange information on potential issues in Executive Branch agencies and coordinate reviews as needed.	1,2,3,4
Comptroller General's Office	State Government	Exchange information on potential issues in Executive Branch agencies and coordinate reviews as needed.	1,2,3,4
Legislative Audit Council	State Government	Exchange information on potential issues in Executive Branch agencies and coordinate reviews as needed.	1,2,3,4
106 Executive Branch agencies, commissions, and public universities	State Government	Facilitate communication among all Executive Branch (EB) agencies to identify fraud and provide guidance to improve EB operations.	1,2,3,4
Association of Certified Fraud Examiners	Professional Association	Professional certification and training opportunities for State Inspector General staff, and key partner in anti-fraud matters.	1,2,3,4
Association of Inspectors General	Professional Association	Professional certification and training opportunities for State Inspector General (SIG) staff, and key partner in SIG matters.	1,2,3,4

Item	Is this a Report, Review, or both?	Report or Review Name	Name of Entity Requesting the Report or Conducting Review	Type of Entity	Reporting Frequency	Current Fiscal Year: Submission Date or Review Timeline (MM/DD/YYYY)	Summary of Information Requested in the Report or Reviewed	Method to Access the Report or Information from the Review
Annual Financial Audit	External Review and Report	South Carolina Office of the State Inspector General - State Auditor's Report - June 30, 2019	South Carolina Office of the State Auditor	State	Annually	December 13, 2019	Agreed - Upon Procedures audit of: cash disbursements/non-payroll expenditures; payroll; journal entries; reporting packages; governance, risk and compliance SCEIS module; and Appropriation Act. <u>One finding</u> : Master Reporting Checklist two business days late.	State Auditor's Annual Audit Report/ Office of the Inspector General - FY 2019
Annual Accountability Report	External Review and Report	FY 2019-20 Annual Accountability Report	General Assembly (SC Code of Laws, §§1-1-810; 1-1-820; and Proviso 117.29)	State	Annually	July 27, 2020	Annual Accountability Report of the State Inspector General's goals, strategies, measurements, and accomplishments for FY 2019-20 required by state law.	https://oig.sc.gov/reports
Annual Fraud Report of Executive Branch Employees	External Review and Report	Annual Report of Fraud Conducted by Executive Branch State Employees for FY 2019-20	General Assembly (SC Code of Laws, §1-6-10 et seq.)	State	Annually	July 22, 2020	Annual compilation of fraud and misconduct reports by Executive Branch employees.	Annual Report of Fraud Conducted by Executive Branch State Employees for FY 2019-20
Annual Report of State Inspector General Activities	External Review and Report	Annual Report of State Inspector General Activities for FY 2019-20	General Assembly (SC Code of Laws, §1-6-30 (9))	State	Annually	July 27, 2020	Summary of investigations and program reviews conducted of Executive Branch agencies during FY 2019-20. Required reporting to the Governor, Senate President Pro Tempore, and Speaker of the House of Representatives.	Hard Copy upon request from the State Inspector General's Office
Annual Debt Collection Summary Report	External Review and Report	2019 Debt Collection Report	General Assembly pursuant to Proviso 117.33	State	Annually	May 28, 2020	Each Executive Branch agency is required to submit a debt collection report of delinquent A/R's (over 60 days) to the Senate Finance, House Ways & Means, and the State Inspector General. (Compiled and analyzed by the State Inspector General)	2019 Debt Collection Summary Report
State Auditor Fraud Referral Report	External Review and Report	Annual Report of Fraud Referrals to the State Inspector General from the State Auditor for FY 2019-20	General Assembly pursuant to Proviso 94.1	State	Annually	July 1, 2020	Letter to the Governor and the Chairs of the Senate Finance and House Ways & Means committees that the State Inspector General did not receive any fraud referrals from the State Auditor during FY 2019-20.	Hard Copy upon request from the State Inspector General's Office