



Office of Inspector General Annual Report Fiscal Year 2016-2017

Candace M. Fuller
Inspector General

Ken Detzner
Secretary



FLORIDA DEPARTMENT *of* STATE

RICK SCOTT
Governor

KEN DETZNER
Secretary of State

September 25, 2017

Ken Detzner
Secretary of State
Florida Department of State
R.A. Gray Building
500 South Bronough Street
Tallahassee, FL 32399-0250

Eric Miller, Chief Inspector General
Executive Office of the Governor
The Capitol
Tallahassee, FL 32399-0001

Dear Secretary Detzner and Chief Inspector General Miller:

I am pleased to present the Annual Report for the Office of Inspector General for Fiscal Year 2016-2017. This report was prepared in accordance with Section 20.055(8), Florida Statutes, and summarizes the activities performed based on its statutory responsibilities, as well as the major accomplishments for this office.

On behalf of the Office of Inspector General staff, I would like to thank you for your continued support, as well as all Department Managers and staff for their assistance and cooperation throughout the year.

The Office of Inspector General remains committed to promoting efficiency, accountability and integrity and in our efforts to detect and prevent fraud, waste, abuse, and mismanagement in Department Programs.

Sincerely,

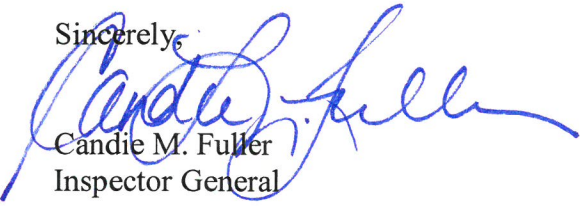

Candie M. Fuller
Inspector General

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EXECUTIVE SUMMARY

In accordance with Section 20.055 (8), Florida Statutes, (F.S.), the Office of Inspector General (OIG) is required to complete an annual report by September 30, summarizing the activities of the office during the prior fiscal year. Consistent with these duties, the following activities demonstrate significant efforts of the Department of State (Department) OIG staff during Fiscal Year (FY) 2016-2017.

- ❖ Conducted one Audit containing no findings or recommendations
- ❖ Conducted one Management Review containing no findings or recommendations
- ❖ Conducted one Limited Review containing no findings or recommendations
- ❖ Performed liaison and coordination activities for two external audits
- ❖ Reviewed and processed 518 Single Audit Reports
- ❖ Opened seventy-three cases
- ❖ Closed seventy-one cases, with one of those cases containing substantiated allegations
- ❖ Assisted the Office of the Chief Inspector General with multiple projects

DEPARTMENT BACKGROUND

The Office of the Secretary of State was created in 1845, under the Florida Constitution. The main responsibilities of the office included maintaining the state’s public records. The Secretary of State also served as the custodian of the state seal, which was impressed on documents to certify them as official.

As Florida's population grew in the 20th century so did the duties of the Secretary of State. In 1969, the Office of the Secretary of State was merged with several state agencies to form the Florida Department of State. As the head of the Department of State, the Secretary of State oversees a large state agency with many tasks and responsibilities.

PURPOSE OF ANNUAL REPORT

This report, required by Section 20.055 (8), F.S., summarizes the activities and accomplishments of the Department of State, OIG, during FY 2016-2017. This report includes, but is not limited to the following:

- ❖ A description of activities relating to the development, assessment, and validation of performance measures
- ❖ A description of significant abuses and deficiencies relating to the administration of Department Programs and operations disclosed by investigations, audits, reviews, or other activities during the reporting period
- ❖ A description of the recommendations for corrective action made by the OIG during the reporting period, with respect to significant problems, abuses, or deficiencies identified
- ❖ The identification of each significant recommendation described in previous annual reports of which corrective action has not been completed
- ❖ A summary of each audit and investigation completed during the reporting period

MISSION STATEMENT AND OBJECTIVES



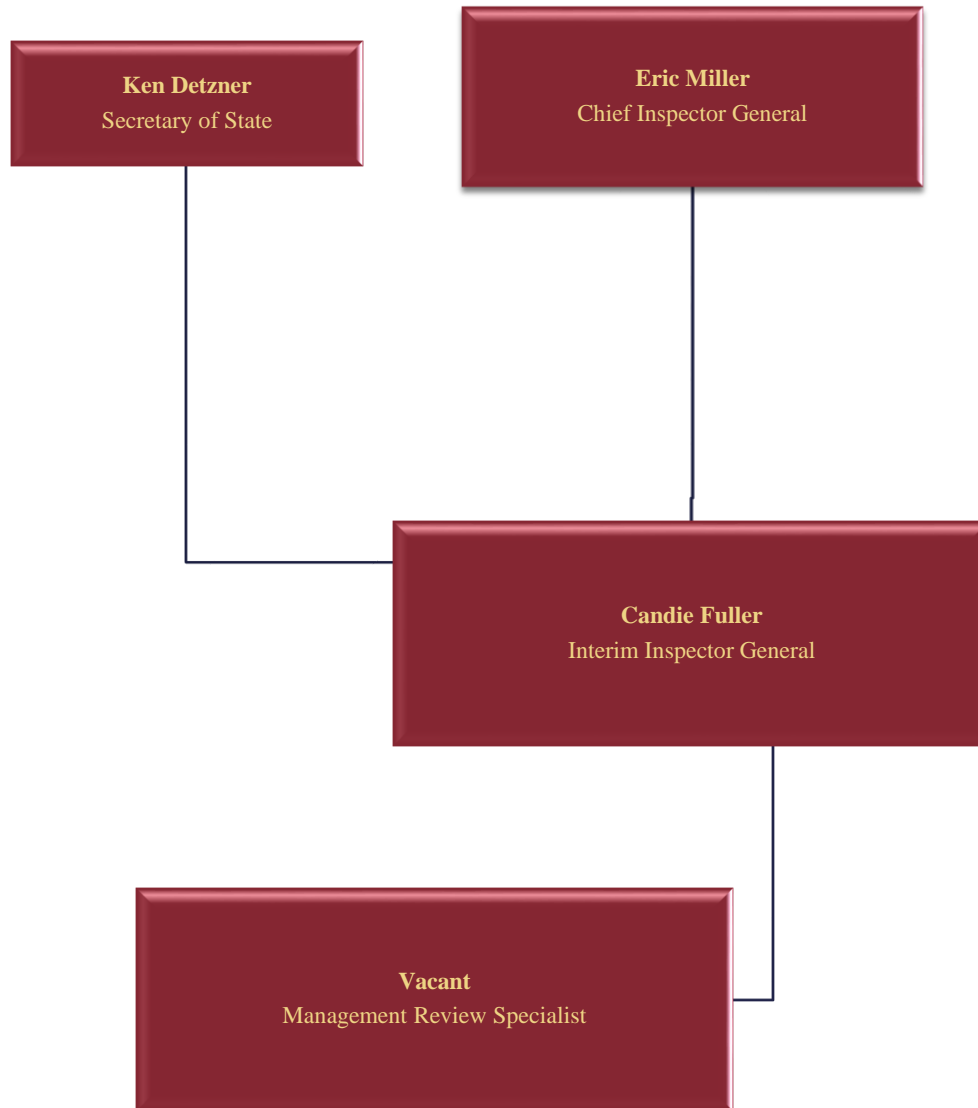
The OIG’s mission is to promote accountability, integrity and efficiency for the citizens of Florida by providing objective, timely audit and investigative services. The OIG conducts independent and objective audits, investigations, as well as reviews of agency issues and programs to assist the department in accomplishing its mission.

DUTIES AND RESPONSIBILITIES OF THE INSPECTOR GENERAL

- ❖ Advise in the development of performance measures, standards, and procedures for evaluating Department Programs, assess the reliability and validity of performance measures, and make recommendations for improvement
- ❖ Review the actions taken by the Department to improve Program performance and meet Program standards, while making recommendations for improvement, if necessary
- ❖ Provide direction for, supervise, and coordinate audits, investigations, and management reviews relating to the Department’s operations
- ❖ Conduct, supervise, and coordinate other activities to promote economy and efficiency and activities designed to prevent and detect fraud and abuse in the Department
- ❖ Keep the Secretary and Chief Inspector General informed concerning fraud, waste, abuse and deficiencies in Programs and operations, recommend corrective action, and provide progress reports
- ❖ Ensure effective coordination and cooperation between the Auditor General, federal auditors and other government bodies, with a view toward avoiding duplication
- ❖ Review Department rules and make recommendations relating to their impact
- ❖ Ensure that an appropriate balance is maintained between audits, investigations, and other accountability activities
- ❖ Comply with the General Principles and Standards for Offices of Inspector General, as published and revised by the Association of Inspectors General

ORGANIZATIONAL CHART

The Inspector General reports to the Chief Inspector General and is under the general supervision of the Secretary, as prescribed by statute, and has unrestricted access to all Department activities and records. As of June 30, 2017, the OIG consisted of the following:



PROFESSIONAL TRAINING



During FY 2016-2017, staff received the benefit from trainings which included Florida Certified Contract Managers Training, documenting workplace investigations, Investigative report writing, fraud, leadership training, social media resources, and Florida Palm update. The opportunities were afforded through trainings sponsored by the Association of Government Accountants, Association of Inspectors General, Association of Certified Fraud Examiners, and various State agencies, including Florida Department of Financial Services.

PROFESSIONAL QUALIFICATIONS AND AFFILIATIONS



Staff within the OIG are highly qualified and bring a diversity of background experience and expertise to the Department. Staff have experience in auditing, accounting, Program evaluation and monitoring, budgeting, personnel management, investigations, grant administration, and local and State agencies’ activities. OIG staff continually seek to enhance their abilities and contributions to the office and the Department. Staff members have obtained certifications that demonstrate their knowledge, motivation, and commitment to the profession. Professional certifications held by OIG staff include:

- ❖ Certified Inspector General (1)
- ❖ Certified Inspector General Investigator (1)

The OIG is affiliated with the following professional organizations:

- ❖ Institute of Internal Auditors
- ❖ National Association of Inspectors General
- ❖ Florida Chapter of the Association of Inspectors General

INTERNAL AUDIT SECTION



The authority of the Internal Audit Section is established under Section 20.055, F.S., and the Internal Audit Policies and Procedures. The responsibility of the Internal Audit Section is to promote accountability, integrity, and efficiency in the Department. The Inspector General reports to the Chief Inspector General and maintains organizational independence of the internal audit activity. The purpose of the Internal Audit Section is to perform independent audits, reviews, and examinations to identify, report, and recommend corrective action for control deficiencies or non-compliance with laws, directives, policies, or agreements. Internal controls are evaluated as necessary to assist with Department fiscal accountability.

The Inspector General coordinates the development of an Annual Audit Plan, which identifies areas within the Department scheduled for review, using risk assessment criteria. Both a long-range plan and a one-year plan are included in the Annual Audit Plan.

In the development of the Annual Audit Plan, the Internal Audit Section conducts a risk assessment to identify issues of concern to Management, risks pertaining to fraud and misuse of funds, and other governance issues including information technology, and proper financial and performance reporting. The FY 2017-2018 Annual Audit Plan includes projects pertaining to information technology equipment purchase and property inventory, information technology contract staff augmentation services, Help America Vote Act grants, historical artifact collection oversight process for loans and inventory management, and Citizen Support Organization Agreement with the Friends of Florida History, Inc. Additionally, administrative functions, and participation in multi-agency Enterprise-wide audit projects were included in the Annual Audit Plan. The Department’s Inspector General and Secretary approved the FY 2017-2018 Annual Audit Plan.

Audits are conducted in conformance with the Code of Ethics and the *International Standards for the Professional Practice of Internal Auditing*, published by the Institute of Internal Auditors. Audit reports issued by the Internal Audit Section contain a statement that the audit was conducted pursuant to the appropriate standards. These reports are prepared and distributed to Senior Management, other applicable Departmental Management, the Auditor General and the Chief Inspector General.

The Internal Audit Section provides a variety of services in addition to traditional audits. These include, but are not limited to, investigative assistance, reviews, research, technical assistance, management advisory and performance measure assessments. Services provided are tracked with a project number and culminate in a written product, which is disseminated to the Program area and other appropriate parties.

In addition, the Internal Audit Section assists the Department by coordinating audits and reviews of reports completed by the Office of Program Policy Analysis and Government Accountability, the Auditor General, and other oversight agencies. The Internal Audit Section reports on the status of the recommendations included in these reports, as required by Section 20.055, F.S. As the Department’s representative on audit-related issues, the Internal Audit Section reviews and distributes the results of audits pertaining to the Federal and Florida Single Audit Acts.

QUALITY ASSURANCE AND IMPROVEMENT PROGRAM



The Internal Audit Section has established quality assurance processes in conformance with the *International Standards for the Professional Practice of Internal Auditing* (Standards). This includes both internal and external quality assurance assessments of internal audit activities. Ongoing monitoring is an integral part of the supervision, review, and measurement of internal audit activities. Continuous monitoring activities have been established through engagement planning, supervision, and review, as well as standardized procedures and approvals. An internal assessment of the Internal Audit Section is conducted by the Inspector General annually.

An external assessment of the Internal Audit Section is conducted by the Auditor General in accordance with Section 11.45(2)(i), F.S., once every three years.

We conducted an internal assessment of the Internal Audit Section activities during FY 2016-2017 to evaluate conformance with the Code of Ethics and the Standards. An update to the Standards was published by the Institute of Internal Auditors as of January 2017. Our procedures and internal audit activities were updated consistent with the January 2017 revision. Based on the internal assessment results, during FY 2016-2017, the Internal Audit Section has fully implemented requirements specified under the Standards.

The most recent external Quality Assurance Review of the Internal Audit Section by the Auditor General was conducted November 2016 (Report 2017-022). The reported results stated, *in our opinion, the quality assurance program related to the Department of State, Office of Inspector General’s internal audit activity was adequately designed and complied with during the review period July 2015 to July 2016 to provide reasonable assurance of conformance with applicable professional auditing standards. Also, the Office of Inspector General generally complied with those provisions of Section 20.055, Florida Statutes, governing the operation of State agencies’ offices of inspectors general internal audit activities.*

FEDERAL AND STATE SINGLE AUDIT ACT RESPONSIBILITIES

The Department provides funding and resources from State and Federal funding sources to Florida Counties, Cities, Towns, Districts, and many other non-profit organizations within the State. Because of the Department’s relationship with these entities, the OIG provided technical assistance to support and improve the operations of those entities.

Section 215.97, F.S., states, *each non-State entity that expends a total amount of State financial assistance equal to or in excess of \$750,000 in any fiscal year, of such non-State entity shall be required to have a State single audit, or a project-specific audit, for such fiscal year in accordance with the requirements of this Section.* The Catalog of State Financial Assistance includes for each listed State project: the responsible State agency,

standard State project number identifier, official title, legal authorization, and description of the State project, including objectives, restrictions, application, and awarding procedures, and other relevant information determined necessary.

Federal pass-through grants administered by the Department are subject to Office of Management and Budget 2 CFR 200 Uniform Guidance requirements, provided the entity has expended \$750,000 in Federal financial assistance in its fiscal year. Each year, the OIG reviews audit reports submitted by entities that meet the requirements listed in Florida Statutes, as well as the audit requirements listed in the 2 CFR 200 Uniform Guidance. During 2016-2017, our office reviewed 518 single audit reports.

AUDIT WORK PLANS AND RISK ASSESSMENTS



The OIG conducts an annual risk assessment in the development of the Annual Audit Plan. This assessment is based on Program responsibilities, key areas of risk, budgets, management of contracts and grants, past audit activity, staffing levels, and internal control structure.

Discussions are held with Department leadership team members, Division Directors, and other Management staff to identify areas of risk and concern to Managers. In conducting the risk assessment, the OIG evaluates risk factors of Department Programs and functions, to assess the associated risks of operating those Programs and functions.

Factors considered in the assessment include:

- ❖ value of the financial resources applicable to the Program or function
- ❖ dollar amount of Program expenditures
- ❖ statutes, rules, internal controls, procedures, and monitoring tools applicable to the Program or function; concerns of Management; impact on the public safety, health, and welfare
- ❖ complexity and/or volume of activity in the Program or function
- ❖ previous audits performed

- ❖ identified areas of internal control concern or susceptibility to fraud

Program and function areas of risk are evaluated based upon these factors, then prioritized to determine the most efficient audit schedule, given the resources available.

PRIOR YEAR AUDIT FOLLOW UP

The OIG monitors the implementation of all prior audit findings. The Auditor General issued Report 2016-002, Department of State Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS) and Prior Audit Follow-up, which included seven findings. To date, five of those findings have been fully implemented. The Department has indicated that the two remaining findings will be implemented by October 2017.

Corrective Action has been implemented on the following recommendations made by the Auditor General Report:

- ❖ The Department should improve FVRS IT maintenance controls to include appropriate documentation of maintenance schedules, maintenance records, and routine analyses of maintenance records.
- ❖ The Department should improve FVRS performance and capacity monitoring controls.
- ❖ The Department should conduct testing of the FVRS Disaster Recovery Plan at least annually pursuant to Rule and Department Policy.
- ❖ The Department should ensure that a post implementation mechanism is in place that provides reasonable assurance that all database changes implemented into the FVRS production database environment have gone through the appropriate change control process.
- ❖ The Department should strengthen controls to ensure that security awareness training is conducted in a timely manner.

The following two findings are currently being monitored for implementation by October 2017:

- ❖ The Department should take steps to ensure that access privileges of Voter Focus accounts are commensurate with users’ assigned job duties and are necessary.
- ❖ The Department should improve security controls related to the protection of confidential and exempt data, software support, authentication, logging, and separation of duties to ensure the confidentiality, integrity, and availability of FVRS data and IT resources.

PERFORMANCE MEASURES



In accordance with Section 20.055 (2) (b), F.S., the OIG assessed the performance measures for inclusion in the 2018-2019 Long Range Program Plan. The Department had a total of 30 approved performance measures for the prior year 2017-2018 Long Range

Program Plan. Two new performance measures were added for FY 2017-2018 in the 2018-2019 Long Range Program Plan. On September 30, 2016, the Executive Office of the Governor provided approval for the current measures.

Of the 32 performance measures included in the 2018-2019 Long Range Program Plan to be reviewed for validity and reliability, eight measures were proposed for modification; 21 measures were proposed for deletion; and 3 were assessed in the review for validity and reliability of data sources and the reporting structure.

Of the three measures, the reporting mechanism for one was considered reliable, demonstrating a consistently applied calculation with controls in place to mitigate reported errors. The remaining two measures were also based on calculations that were consistently applied, but were not considered reliable due to data control weaknesses that could affect measure results. These controls weaknesses were addressed with program management and recommendations were made to strengthen controls necessary for reliable reporting.

EXTERNAL AUDITS AND REVIEWS

2017-022:

The Auditor reviewed the quality assurance program for the Office of Inspector General’s internal audit activity in effect for the period July 2015 through June 2016. Compliance with specific provisions of Section 20.055, F.S., governing the operation of State Agencies’ Offices of Inspector General internal audit activities was also reviewed. The Auditor General determined that the quality assurance program related to the Department of State, Office of Inspector General’s internal audit activity was adequately designed and complied with during the review period July 2015 through June 2016 to provide reasonable assurance of conformance with applicable professional auditing standards. Also, the Office of Inspector General generally complied with those provisions of Section 20.055, F.S., governing the operation of State Agencies’ Offices of Inspector General internal audit activities.

Finding:

There were no findings or recommendations.

2017-195:

The Auditor General reviewed the Division of Corporations (Division), the Museum of Florida History (Museum), and selected administrative activities. The audit also included a follow-up on findings 6 through 8 noted in a previous Auditor General Report, 2014-181.

Findings:

The Division was unable to provide sufficient supplementary metadata necessary for an accurate understanding of the structure of, and relationships among, Corporate Filing System data files. The absence of sufficient supplementary metadata precluded a consistent and reliable analysis of the Corporate Filing System data provided by the Division. Corporate Filing System application input edits need improvement to ensure the accuracy and validity of Corporate Filing System data. Data processing controls related

to the Corporate Filing System need enhancement to ensure that business entity transaction data is complete, accurate, and valid.

The Museum did not always obtain proof of insurance for outgoing loans of artifacts as specified by Department rules. The Museum did not always inform lenders of the existence of the provisions of the Florida Arts and Culture Act describing the obligations of the lender and the Museum and specifying the conditions pursuant to which the Museum may gain title to the lender’s property. Museum controls were not always sufficient to effectively safeguard moneys collected.

As similarly noted in our report 2014-181, the Department did not always timely record property acquisitions to Department property records. Department controls over employee access to the Florida Accounting Information Resource Subsystem (FLAIR) need improvement to reduce the risk of unauthorized disclosure, modification, or destruction of Department data.

Recommendations:

The Auditor General recommended that the Division of Corporations management continue efforts to maintain sufficient supplemental metadata necessary for an accurate understanding of the structure of, and relationships among, the Corporate Filing System data files. Sufficient supplementary metadata should be made available upon audit request to facilitate the analysis of Corporate Filing System data in connection with future audits of the System. The Auditor General also recommended that Division management enhance Corporate Filing System input controls to ensure the accuracy and validity of the System data. Additionally, the Auditor General recommended that Division management enhance data processing controls to ensure that business entity information is complete, accurate, and valid and that such information is provided to users of the Corporate Filing System and Sunbiz.org.

The Auditor General recommended that Museum management strengthen collection policies and procedures to require proof of insurance for all loans of State-owned artifacts in accordance with Department rules. The Auditor General also recommended that

Museum management enhance collection policies and procedures to ensure that Museum records document that all lenders are informed of the provisions of the Florida Arts and Culture Act. Additionally, the Auditor General recommended that Museum management enhance policies and procedures to provide for appropriate collection controls. Such policies and procedures should require that checks be restrictively endorsed and logged at the point and time of receipt, all transfers of collections between employees be documented, and all checks be timely deposited in accordance with a specified time frame.

The Auditor General recommended that Department management enhance procedures to ensure that Department property records are timely updated for property acquisitions. To aid in the identification and resolution of any instances where excess or incompatible privileges have been granted or access privileges are no longer required, the Auditor General also recommended that Department management enhance policies and procedures to require more frequent reviews of the appropriateness of FLAIR access privileges. Additionally, the Auditor General recommended that Department management ensure that FLAIR access privileges are timely deactivated upon an employee’s separation from Department employment and that FLAIR user login and password information is not shared with other employees.

Action Taken:

The Department agreed to work to document any deficient supplemental metadata. With the definition of metadata being “A set of data that describes and gives information about other data” the department offers that once complete, descriptive data will be available for future audits. The Department also agreed to identify ways to improve/restrict data input. Examples of input controls/edits needed are to restrict special characters (e.g.- !, #, \$, *) being entered into text fields. Additionally, the Department agreed to review and enhance its data processing controls. Specifically, the sync between two databases will be improved in order to prevent data mismatches on the Corporate Filing System and Sunbiz.org

The renewal form that was in place during the audit period stipulated the requirements of the loan which includes insurance. The Museum has updated the loan renewal form to specifically require the borrower to confirm they are still maintaining insurance. The Museum’s loan agreement for incoming loans includes the applicable provisions of the Florida Arts and Culture Act (Chapter 265, F.S.). The Museum agreed to provide a copy of Chapter 265, F.S., to lenders who use their own loan agreement as well as documenting notification to the lender. The Museum also updated the policies and procedures for its Citizen Support Organization’s collection process. Previously, the Museum logged receipt and deposit of money and restrictively endorsed checks prior to deposit. The new procedures require that each step from receipt to deposit is logged and the checks are restrictively endorsed upon receipt. Additionally, the procedures were updated to specify a timeframe for deposit.

The Department agreed to update procedures to ensure property records are recorded timely and accurately. Additionally, the Department agreed to review the existing policies, and modify as necessary, to more clearly define attractive items. The Department also concurred that FLAIR system privileges must be timely removed upon an employee’s separation from a position. Division management agreed to update policies and procedures and continue to reinforce security requirements associated with FLAIR access and work to ensure compliance with same.

INTERNAL AUDIT REPORT SUMMARIES - FISCAL YEAR 2016-2017

DIVISION OF CORPORATIONS

2017-04 Review of the Contract for Florida Secured Transaction Registry Services with Image API, LLC

The scope of this review included an examination of the Department’s contract with Image API and the policies and procedures in place for the sample month of June 2016.

Results of Review:

Based on our review, general policies and procedures have been updated to clarify monitoring processes. Department and Image API activities and processes demonstrated

conformance with these procedures. We verified activity documentation that demonstrated compliance with the contract by both the Department and Image API. Department reviews are being conducted as required under the contract.

Recommendation:

There were no findings or recommendations.

DIVISION OF ELECTIONS

2017-06 Audit of Compliance with Memorandum of Understanding Between the Department of State and Department of Highway Safety and Motor Vehicles for use of the DAVID system

The scope of this audit included a review of the Memorandum of Understanding requirements and current policies and procedures regarding access, distribution, use, modification, or disclosure of personal data for Voter Registration Services.

Results of Audit:

Based on the audit, internal controls over the use of personal data obtained through the DAVID system are adequate and in place regarding the requirements of the Memorandum of Understanding between the Department and the Department of Highway Safety and Motor Vehicles. Although there were a few exceptions regarding access to the Network share drive, there was nothing to indicate the data in the DAVID system was not secure.

Recommendation:

There were no findings or recommendations.

DIVISION OF ADMINISTRATIVE SERVICES

2017-05 Limited Review of Management Representation over Department Purchase Card Use

The scope of this limited review included an assessment of Purchasing Card Program Plan and certain internal controls for FY 2016-2017.

Results of Review:

Based on this limited review, the following concerns were identified:

- Purchases were made with no documentation of prior approval by management as required by current procedures
- Receipts did not always match the charge amount in FLAIR (receipts were for incorrect amounts or were altered in order to match the amount in FLAIR)
- Charges were not always processed within the 10-day requirement and disapproval codes were not entered in order to provide a reason for the late approval
- Checklist used by Level 2 and Level 8 approvers were not thoroughly completed

Recommendation:

There were no findings or recommendations

INTERNAL INVESTIGATIONS



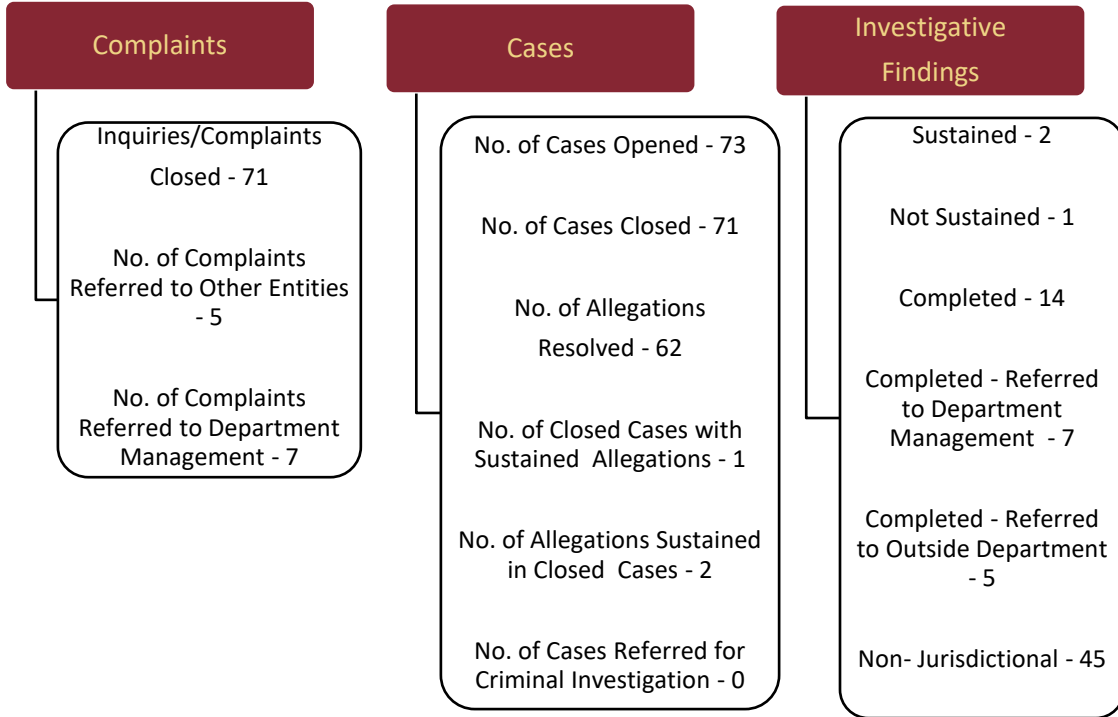
The Inspector General is responsible for the management and operation of the Department’s Internal Investigations Section. This includes planning, developing, and implementing an internal review system to examine and investigate allegations of misconduct on the part of the Department’s employees.

The investigative duties and responsibilities of the Inspector General, as defined in Section 20.055, F.S., include:

- ❖ Conducting, supervising, and coordinating investigations designed to detect, deter, prevent, and eradicate fraud, waste, mismanagement, misconduct, and other abuses in the Department;
- ❖ Receiving complaints and coordinating all activities of the Department, as required by the Whistle-blowers Act pursuant to Sections 112.3187 – 112.31895, F.S.;
- ❖ Receiving and reviewing all other complaints (non-Whistle-blower’s Act), and conducting such inquiries and investigations as the Inspector General deems appropriate;
- ❖ Conducting investigations related to alleged employee misconduct or reporting expeditiously to the Florida Department of Law Enforcement or other law enforcement agencies, as deemed appropriate by the Inspector General;
- ❖ Conducting investigations and other inquiries that are free of actual or perceived impairment to the independence of the Inspector General or the staff in the OIG;
- ❖ Submitting the findings to the subject of each investigation in which the subject is a specific entity contracting with the State or an individual substantially affected, if the investigation is not confidential or otherwise exempt from disclosure by law; the subject shall be advised in writing that they may submit written response 20 working days after receipt of the findings; the response and the Inspector General’s rebuttal, if any, must be included in the final report; and,

- ❖ Submitting in a timely fashion, final reports on investigations conducted by the OIG to Senior Management and applicable Departmental Management, except for Whistle-blower investigations, which are conducted and reported pursuant to Section 112.3189, F.S.

TYPES OF INVESTIGATIVE ACTIVITY



INVESTIGATIVE CASE SUMMARIES

II-01-09-2017-024 - A complaint was received from Human Resource Management regarding allegations of creating a hostile work environment and conduct unbecoming a public employee. Based on interviews conducted and the evidence gathered, all findings were sustained.

II-01-06-2017-022 - Complaint received from Human Resource Management regarding the subject creating a toxic work environment and conduct unbecoming a public employee. Based on interviews conducted and the evidence gathered, all findings were not sustained.

RECOMMENDED CORRECTIVE ACTIONS

Internal Investigations may make recommendations for the purpose of process improvement or corrective action. These recommendations are provided to Division Management and are tracked to completion. There were no recommendations in investigative reports during FY 2016-2017.

CONCLUSIONS OF FACT DEFINITIONS

- ❖ Exonerated - Alleged actions occurred, but were lawful and proper
- ❖ Not Sustained - There is insufficient evidence to prove or disprove that a violation occurred
- ❖ Sustained - There is sufficient evidence to justify a reasonable conclusion that the allegation is true
- ❖ Unfounded - The allegation is proved to be false, or there is no credible evidence to support it
- ❖ Policy Matter - The alleged actions occurred, but were not addressed by Departmental policy
- ❖ Non-Jurisdictional - Not within the jurisdiction of the Department of State
- ❖ Withdrawn - The cancellation of an investigation, after Agreement between Management and the Office of Inspector General that the original complaint was

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“Promoting Integrity, Accountability and Efficiency”

- filed, but no longer warrants review. (Complainant requests withdrawal or is non-responsive to investigative efforts)
- ❖ Completed - Closure for background checks, public records requests, preliminary inquiries, investigative reviews, and miscellaneous complaints that do not warrant an investigation



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