

QUARTERLY REPORT

Office of Inspector General (OIG) received 73 correspondences
 A **Correspondence** is an inbound communication which is received and tracked by the OIG.



Six correspondences initiated a case
 3 Investigations – 1 Investigative Inquiry – 2 Compliance Reviews



67 correspondences were addressed as Administrative Projects.



55 were categorized as a complaint of the 73 correspondences received.

Correspondence by Type



Correspondence Categories



Arrest/Disposition

Post and pre-employment background check, self reporting



Records Request

Internal and external requests for documents



Misconduct

Falsification, fraud, improper conduct, misrepresentation, misuse of property, retaliation, theft



Ethics

Conflict of interest, gift giving, improper personal financial interest, nepotism, secondary employment



Mismanagement

Abuse of authority, contract violation, procurement violation



Discrimination/Harassment

Discrimination, harassment, sexual harassment



Customer Inquiry/Complaint

Referencing agent services, claims, customer service, depopulation, inspection, underwriting



Vendor Improprieties

Breach of information, discrimination, harassment, fraud, improper conduct, falsification, theft



Safety and Security

Internal and external threats, security breaches



OIG Project

Proactive reviews and audits conducted by OIG

Correspondence Received by Category

	2022	2023	2024
Discrimination/Harassment	4	2	3
Misconduct	27	14	7
Ethics	7	1	1
Mismanagement	4	7	3
Safety & Security	-	-	3
Records Request	4	3	3
OIG Project	-	-	1
Arrest/Depositions	1	1	-
Customer Inquiry/Complaint	145	185	50
Other – Administrative Closures	15	20	2
Total	214	235	73

Initiation and Closures



Cases/Substantive Projects Initiated in Q1/2024

Six cases/substantive projects were initiated.

- 3 Investigations
- 1 Investigative Inquiry
- 2 Compliance Reviews

Cases involved allegations of discrimination/harassment and safety & security.

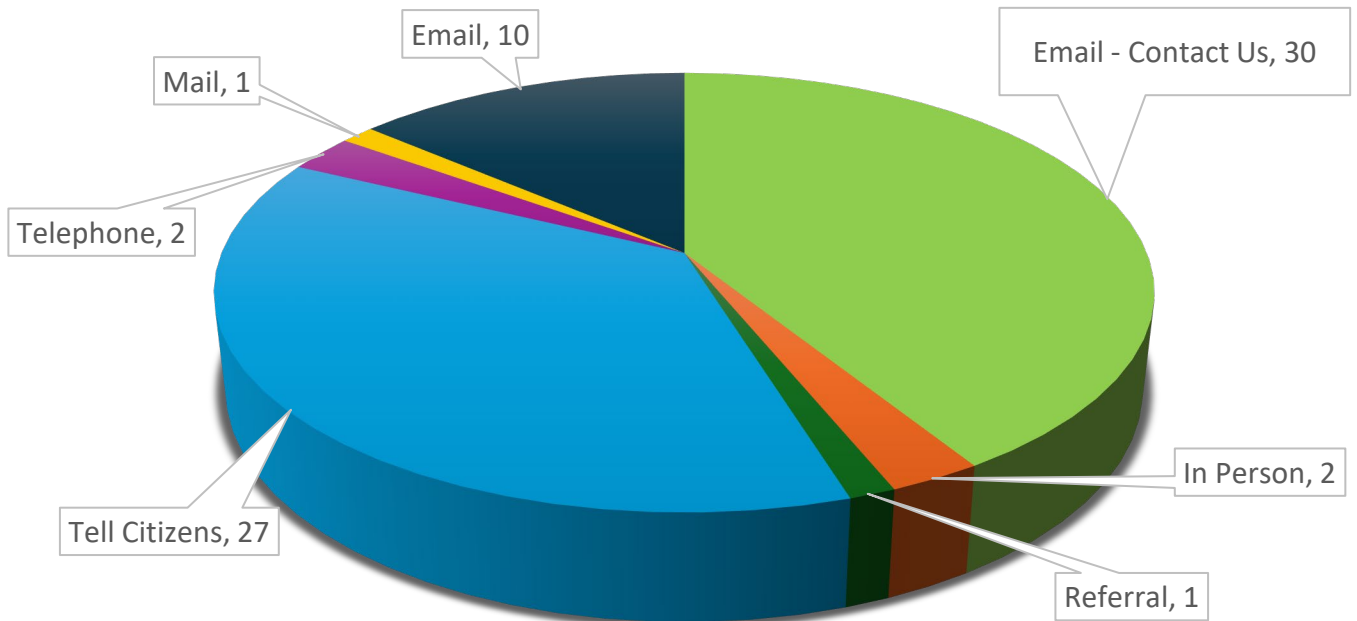


Cases/Substantive Projects Closed Q1/2024

One case/substantive project (Investigation) was closed.

The case closed involved allegations of discrimination/harassment. The case impacted Administrative Operations. The investigation had a Supported and a Not Supported finding. The subject of the investigation was terminated due to findings.

Avenue of Contact



Definitions

A **Correspondence** is an inbound communication, often a complaint or request for review, which is received and tracked by the OIG.

Cases

An **Investigation** is conducted when the Inspector General has determined that the highest level of OIG review is necessary, and typically consists of multiple interviews, as well as detailed analysis of documents, communications, data, and business processes and systems. Investigations often stem from complaints involving alleged misconduct, which if proved, could result in significant action against the employee or vendor, including terminations or criminal prosecutions.

An **Investigative Inquiry** provides an appropriate level of review in situations where a full, detailed analysis and conclusion typically associated with an investigation is unwarranted or impractical.

Substantive Projects

A **Compliance Review** attempts to determine if a specific Citizens business unit, function, action, or process is compliant with applicable laws, rules policies, and procedures.

A **Process Review** analyzes a particular Citizens business unit's processes and attempts to determine if the actual or outlined processes are effective and efficient, or in need of improvement.

Administrative Projects

Administrative Closures occur on occasion when no additional investigative activity is warranted for a particular matter, or the matter falls outside of the OIG's jurisdiction to handle or refer.

Consultation Services are provided to any Citizens individual or business unit upon request. OIG will discuss and analyze best practices, appropriate responses, or necessary actions to ongoing corporate issues in a discretionary, advisory manner so as not to impair OIG independence.

Opinions are proactive determinations to inquiries made by Citizens staff or business partners. Opinions promote assurance that inquiries or concerns have been received and documented by the OIG and appropriate guidance is provided to facilitate compliance.

Referrals are requests made to internal Citizens business units or external parties to review a matter, address the matter as appropriate, and advise the OIG of the intended response prior to the matter being closed.

