

### QUARTERLY REPORT

Office of Inspector General (OIG) received 62 correspondences  
 A **Correspondence** is an inbound communication which is received and tracked by the OIG.



Six correspondences initiated a case  
 2 Investigations – 3 Process Reviews – 1 Compliance Review

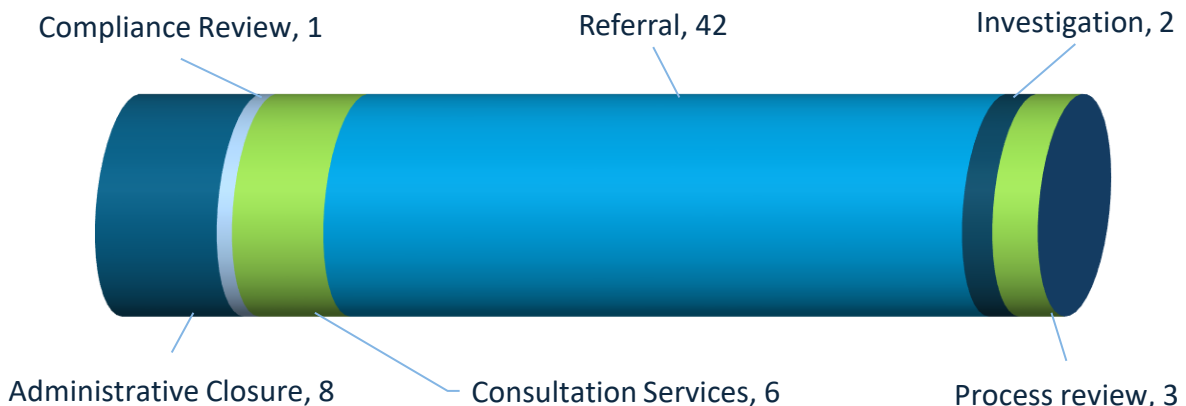


56 correspondences were addressed as  
 Administrative Projects.



39 were categorized as a complaint of the 62  
 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

	<u>2022</u>	<u>2023</u>	<u>2024</u>
Discrimination/Harassment	4	5	4
Misconduct	27	15	11
Ethics	7	3	4
Vendor Improprieties	7	4	1
Mismanagement	4	9	7
Safety & Security	-	-	5
Records Request	4	3	3
OIG Project	-	-	5
Arrest/Depositions	1	1	-
Customer Inquiry/Complaint	145	224	92
Other – Administrative Closures	15	27	3
<b>Total</b>	<b>214</b>	<b>291</b>	<b>135</b>

# Initiation and Closures



## Cases/Substantive Projects Initiated in Q2/2024

**Six cases/substantive projects were initiated.**

- 2 Investigations
- 3 Process Reviews
- 1 Compliance Review

Cases involved allegations of employee misconduct.



## Cases/Substantive Projects Closed Q2/2024

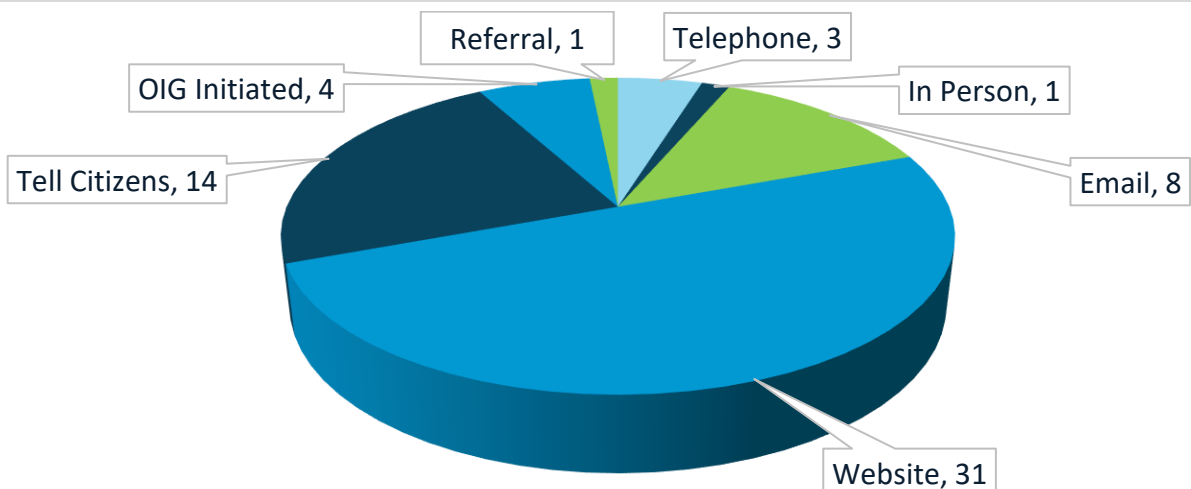
**Six cases/substantive projects were closed.**

- 3 Investigations
- 3 Compliance Reviews

The investigations included allegations of Misconduct, Ethics Violations and Discrimination/Harassment.

Three allegations had a *Supported* finding, and one allegation had a *Not Supported* finding. The subject of the investigation with a *Supported* Misconduct finding was terminated as the result. The subject of an investigation with a *Supported* Ethics violation and *Supported* Misconduct finding elected to resign during the course of the investigation.

# 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.

