Legislative Oversight Committee
South Carolina House of Representatives
Post Office Box 11867
Columbia, South Carolina 29211
Telephone: (803) 212-6810 • Fax: (803) 212-6811

Instructions and Examples for the Annual Request for Information

June 20, 2016

OVERVIEW

Overview

Committee Information

House Legislative Oversight Committee
Post Office Box 11867. Columbia, South Carolina 29211
Telephone: 803-212-6810; Fax: 803-212-6811

For online information, the agency may visit the South Carolina General Assembly Home Page (http://www.scstatehouse.gov) and click on *"Citizens' Interest"* then click on *"House Legislative Oversight Committee Postings and Reports."* This will list the information posted online for the Committee; click on the information the agency would like to review.

Submission Process

Please complete all of the tabs in the attached Excel document. The completed document should be submitted electronically by Thursday, December 1, 2016, to the House Legislative Oversight Committee (HCommLegOv@schouse.gov) in:

- Original electronic format (Excel), and
- PDF for online reporting

You may direct any questions about this process to Committee staff.

Statutory Authority & Time to Respond

South Carolina Code Sections 2-2-50 provides the Committee statutory authority to request the agency complete the Request for Information (RFI). Pursuant to 2-2-50, the RFI must be answered, " in writing under oath," and "[t]he head of the department or agency must sign the answers verifying them as true and correct." In addition, "[i]f any question contains a request for records, policies, audio or video recordings, or other documents, the question is not considered to have been answered unless a complete set of records, policies, audio or video recordings, or other documents is included with the answer."

2-2-50 requires the agency to answer the RFI within forty-five days but states the time for answering "may be extended for a period to be agreed upon by the investigating committee and the agency for good cause shown." As the agency is completing the Accountability Report and Budget Request documents during this time period, the time for responding has been extended from 45 days to approximately five months.

The responses provided to this report will be published on the General Assembly's website.

EXCEL TEMPLATES

The following instructions and examples are provided in an effort to assist in completing the RFI Excel Templates. If the agency has questions regarding any aspect of the Report, Committee staff are available to provide assistance.

Checklist

For all agencies under study which have had a full Committee report issued, the agency's information is posted on the Oversight Committee's website in a new format. To ensure this information stays current, please check whether the agency has reviewed online each of the items in this tab, as well as provide any additional explanation needed. If this information is not online for the agency, type "Not Online."

Strategic Plan

In this Chart, please provide information, similar to how the agency provided in the previous year's Restructuring Report. However, ensure the information is current for 2016-17. Highlight any cells where changes are made from the last Restructuring Report. If the information for 2016-17 is the same as the agency reported in 2015-16, please type "Same as 2015-16" in the first row and move on to the next tab.

Performance Measures

In the first two columns of this Chart, please copy the information for the Performance Measure Item Number and Performance Measure from the agency's Accountability Report submission this year. Next, fill in the information requested by the remaining columns. Please note, the "Type of Measure" column and "Required by" column include drop downs. Therefore, the agency will need to drag this column down for as many performance measures it has to ensure the drop down is available for each performance measure.

Strategic Spending (last FY)

Please copy and paste the information the agency submitted in its 2016 Restructuring Report, then update this information to reflect the funds available and funds spent through the end of fiscal year 2015-16. If the agency was unable to completely fill in this chart when submitting its 2016 Restructuring Report, this is an opportunity to provide a complete submission. Further details regarding Part A and Part B in this tab are on the next page.

Disclaimer: The Committee understand the amount the agency budgeted and spent per goal and objective are estimates from the agency. The Committee requests that the estimates have a logical basis, which the agency can explain, as to how it determined the amounts provided.

Strategic Spending (last FY) (cont.)

Part A: Funds Available this past Fiscal Year (2015-16)

Please enter each source of funds for the agency in a separate column. Group the funding sources however is best for the agency (i.e., general appropriation programs, proviso 18.2, proviso 19.3, grant ABC, grant XYZ, Motor Vehicle User Fees, License Fines, etc.) to provide the information requested below each source (i.e., state, other or federal funding; recurring or one-time funding; etc.). The agency is not restricted by the number of columns so please delete or add as many as needed. Any grouping of funding sources should be easily understandable and clear through Part A and B how much the agency had available to spend and where the agency spent the funds.

Part B: Funds Spent this past Fiscal Year (2015-16)

a) The agency's objectives and unrelated purposes are listed based on the information the agency provided in the Restructuring Report. The agency will see there are new rows between "objectives" and "unrelated purposes." These new rows allow the agency to list money it spent this year that was for previously committed multiple year projects. The intent is to separate what the agency spent toward its current objectives and what it spent toward objectives and projects from previous years, which took multiple years to pay off. If the agency believes the new rows are not useful in illustrating how the agency uses its funds, the agency may leave them blank. However, if they assist the agency in more clearly showing how it uses its funds, please utilize them.

b) Please add any information needed in the new rows (i.e., "Money previously committed for multiple years") and make any revisions necessary to ensure all unrelated purposes are listed. An "unrelated purpose" is money the agency is legislatively directed to spend on something that is not related to an agency objective (i.e., pass through, carry forward, etc.).

c) Finally, review and revise the amounts spent from each funding source on the agency objectives, money previously committed for multiple years and unrelated purposes so it reflects how much the agency actually spent on each and fill in the information requested in the remaining rows. Please provide the total of all the values from the different funding sources for each row.

Strategic Budgeting (current FY)

This tab requests the same information as Strategic Spending (last FY), but looks at the current year fiscal year, 2016-17, as opposed to the past fiscal year, 2015-16. Please ensure this information is provided with the funds available for 2016-17 and the strategic plan the agency intends to follow in 2016-17.

Strategic Request (for next FY)

This tab requests the same information as Strategic Budgeting (current FY), but looks at the requests for the upcoming year, 2017-18, as opposed to funds already approved for the current fiscal year, 2016-17. Please ensure this information is provided with the funds the agency is requesting for 2017-18 and the strategic plan the agency intends to follow in 2017-18.

Annual RFI Checklist

Agency Responding	
Date of Submission	

INSTRUCTIONS: For all agencies under study which have had a full Committee report issued, the agency's information is posted on the Oversight Committee's website in a new format. To ensure this information stays current, please check whether the agency has reviewed online each of the items in this tab, as well as provide any additional explanation needed. If this information is not online for the agency, type "Not Online." When the agency receives this document, the Comptroller General will likely be the only agency with the new detailed format. However, the new format for DSS, DOT and First Steps will be completed and online before the submission date of this Annual Request for Information. Therefore, please check the website again before submitting.

(1) Has the agency reviewed the following information about the agency on the House Oversight webpages? (Y/N)	
History	
Governing Body	
Internal Audit Process	
External Audit Process	
Contact this Agency page	

(2) Are any changes needed to update the following information? (Y/N)	
History	
Governing Body	
Internal Audit Process	
External Audit Process	
Contact this Agency page	

(3) If the agency indicated changes are needed, has the agency provided information about the changes needed with its submission of this Request for Information? (Y/N)	
History	
Governing Body	
Internal Audit Process	
External Audit Process	
Contact this Agency page	

(4) How many of the following did the agency undergo this past year? Please attach a copy of each report.	
Internal Audit	
External Audit	

Strategic Plan

Agency Responding	
Date of Submission	

INSTRUCTIONS: In this Chart, please provide information, similar to how the agency provided in the previous year's Restructuring Report. However, ensure the information is current for 2016-17. Highlight any cells where changes are made from the last Restructuring Report. If the information for 2016-17 is the same as the agency reported in 2015-16, please type "Same as 2015-16" in the first row and move on to the next tab.

Mission:		Legal Basis:	
Vision:		Legal Basis:	

Strategic Plan Part and Description	Intended Public Benefit/Outcome: (Ex. Outcome = incidents decrease and public perceives that the road is safer) Just enter the intended outcome	Responsible Employee (Name, Position, Responsible more/less than 3 years)	Office Address:	Department or Division:	Department or Division Summary:

Performance Measures

Agency Responding			
Date of Submission			

<u>INSTRUCTIONS</u>: In the first two columns of this Chart, please copy the information for the Performance Measure Item Number and Performance Measure from the agency's Accountability Report submission this year. Next, fill in the information requested by the remaining columns. Please note, the "Type of Measure" column and "Required by" column include drop downs. Therefore, the agency will need to drag this column down for as many performance measures it has to ensure the drop down is available for each performance measure.

Performance Measure Item Number	Performance Measure	Type of Measure (i.e. outcome, efficiency, output, input/activity)	Required by (State, Federal, Agency only)	Why was this performance measure chosen?	What was considered when determining the level to set the future target value?

Strategic Spending in Fiscal Year 2015-16

Agency Responding	
Date of Submission	

Disclaimer: The Committee understand the amount the agency budgeted and spent per goal and objective are estimates from the agency. The Committee requests that the estimates have a logical basis, which the agency can explain, as to how it determined the amounts provided.

INSTRUCTIONS:

Please copy and paste the information the agency submitted in its 2016 Restructuring Report, then update this information to reflect the funds available and funds spent through the end of fiscal year 2015-16. If the agency was unable to completely fill in this chart when submitting its 2016 Restructuring Report, this is an opportunity to provide a complete submission. Further details regarding Part A and Part B in this tab are on the next page.

Part A: Funds Available this past Fiscal Year (2015-16)

Please enter each source of funds for the agency in a separate column. Group the funding sources however is best for the agency (i.e., general appropriation programs, proviso 18.2, proviso 19.3, grant ABC, grant XYZ, Motor Vehicle User Fees, License Fines, etc.) to provide the information requested below each source (i.e., state, other or federal funding; recurring or one-time funding; etc.). The agency is not restricted by the number of columns so please delete or add as many as needed. Any grouping of funding sources should be easily understandable and clear through Part A and B how much the agency had available to spend and where the agency spent the funds.

Part B: Funds Spent this past Fiscal Year (2015-16)

a) The agency's objectives and unrelated purposes are listed based on the information the agency provided in the Restructuring Report. The agency will see there are new rows between "objectives" and "unrelated purposes." These new rows allow the agency to list money it spent this year that was for previously committed multiple year projects. The intent is to separate what the agency spent toward its current objectives and what it spent toward objectives and projects from previous years, which took multiple years to pay off. If the agency believes the new rows are not useful in illustrating how the agency uses its funds, the agency may leave them blank. However, if they assist the agency in more clearly showing how it uses its funds, please utilize them.

b) Please add any information needed in the new rows (i.e., "Money previously committed for multiple years") and make any revisions necessary to ensure all unrelated purposes are listed. An "unrelated purpose" is money the agency is legislatively directed to spend on something that is not related to an agency objective (i.e., pass through, carry forward, etc.).

c) Finally, review and revise the amounts spent from each funding source on the agency objectives, money previously committed for multiple years and unrelated purposes so it reflects how much the agency

PART A - Funds Available this past Fiscal Year (2015-16)

What is the source of funds? (insert as many columns as needed, just make sure to total everything in the last column)	Totals					
State, other or federal funding?	n/a					
Recurring or one-time?	n/a					
$ From Last Year Available to Spend this Year						
Amount available at end of previous fiscal year	$0					
Amount available at end of previous fiscal year that agency can actually use this fiscal year:	$0					
If the amounts in the two rows above are not the same, explain why :	n/a					
$ Received this Year						
Amount budgeted to receive in this fiscal year:	$0					
Amount actually received this fiscal year:	$0					

Strategic Spending in Fiscal Year 2015-16

If the amounts in the two rows above are not the same, explain why :	n/a					
Total Actually Available this Year						
Total amount available to spend this fiscal year (i.e. Amount available at end of previous fiscal year that agency can actually use in this fiscal year PLUS Amount budgeted/estimated to receive this fiscal year):	$0	$0	$0	$0	$0	$0

Additional Explanations regarding Part A:	*Insert any additional explanations the agency would like to provide related to the information it provided above.*

PART B - Funds Spent this past Fiscal Year (2015-16)

What is the source of funds? (insert as many columns as needed, just make sure to total everything in the last column)	Totals	0	0	0	0	0
State, other or federal funding?	n/a	0	0	0	0	0
Recurring or one-time?	n/a	0	0	0	0	0
What are the external restrictions (from state or federal government, grant issuer, etc.), if any, on how the agency was able to spend the funds from this source:	n/a					
Were expenditure of funds tracked through SCEIS? (if no, state the system through which they are recorded so the total amount of expenditures could be verified, if needed)	n/a					
Total amount available to spend	$0	$0	$0	$0	$0	$0
Where Agency Spent Money - Current Objectives						
*Objective 1.1.1 - insert description of objective: **Remember to include a colon (:) at the end of each objective and unrelated purpose description***	$0					
Objective 1.1.2 - insert description of objective:	$0					
Insert remaining Objectives	$0					
Total Spent on Current Objectives:	$0					
Where Agency Spent Money - Money previously committed for multiple years						

Strategic Spending in Fiscal Year 2015-16

Example - Continental Tire Recruitment Grant (agreement requires State pay income taxes for the company until 2020)	$0					
Insert any additional money previously committed	$0					
Total Spent on previous multiple year commitments	$0					
Where Agency Spent Money - Unrelated Purpose (pass through or other purpose unrelated to agency's strategic plan)						
Unrelated Purpose #1 - insert description:	$0					
Unrelated Purpose #2 - insert description:	$0					
Insert any additional unrelated purposes	$0					
Total Spent on Unrelated Purposes:	$0					
Total Spent	$0					
Amount Remaining	$0					
Funds budgeted for use in subsequent years (i.e. when grant or other money received all at once, but intended to be spent over multiple years)						
Example - WIOA 3 year funds budgeted for use in next two fiscal years	$0					
	$0					
	$0					
Total Funds budgeted for use in subsequent years	$0					
Cash Balance Remaining, minus funds budgeted for use in subsequent years	$0					

Additional Explanations regarding Part B:	*Insert any additional explanations the agency would like to provide related to the information it provided above.*

Strategic Budgeting for Fiscal Year 2016-17

(Note: Funds from General Appropriation Act for 2016-17 set in Summer 2016)

Agency Responding	
Date of Submission	

Disclaimer: The Committee understand the amount the agency budgeted and spent per goal and objective are estimates from the agency. The Committee requests that the estimates have a logical basis, which the agency can explain, as to how it determined the amounts provided.

INSTRUCTIONS:
This tab requests the same information as Strategic Spending (last FY), but looks at the current year fiscal year, 2016-17, as opposed to the past fiscal year, 2015-16. Please ensure this information is provided with the funds available for 2016-17 and the strategic plan the agency intends to follow in 2016-17.

PART A - Funds Available Fiscal Year (2016-17)

What is the source of funds? (insert as many columns as needed, just make sure to total everything in the last column)	Totals					
State, other or federal funding?	n/a					
Recurring or one-time?	n/a					
$ From Last Year Available to Spend this Year						
Amount available at end of previous fiscal year	$0					
Amount available at end of previous fiscal year that agency can actually use this fiscal year:	$0					
If the amounts in the two rows above are not the same, explain why :	n/a					
$ Estimated to Receive this Year						
Amount requested to receive this fiscal year:	$0					
Amount actually received this fiscal year:	$0					
If the amounts in the two rows above are not the same, explain why :	n/a					
Total Available if amounts requested are received						
Amount estimated to have available to spend this fiscal year (i.e. Amount available at end of previous fiscal year that agency can actually use in this fiscal year PLUS Amount requested to receive this fiscal year):	$0	$0	$0	$0	$0	$0

Additional Explanations regarding Part A:	*Insert any additional explanations the agency would like to provide related to the information it provided above.*

PART B - How Agency Plans to Budget Funds in 2016-17

Strategic Budgeting for Fiscal Year 2016-17

(Note: Funds from General Appropriation Act for 2016-17 set in Summer 2016)

What is the source of funds? (insert as many columns as needed, just make sure to total everything in the last column)	Totals	0	0	0	0	0
State, other or federal funding?	n/a	0	0	0	0	0
Recurring or one-time?	n/a	0	0	0	0	0
What are the external restrictions (from state or federal government, grant issuer, etc.), if any, on how the agency can spend the funds from this source:	n/a					
Will expenditure of funds be tracked through SCEIS? (if no, state the system through which they are recorded so the total amount of expenditures could be verified, if needed)	n/a					
Total amount estimated to have available to spend	$0	$0	$0	$0	$0	$0
Where Agency Plans to Spend Money - Current Objectives						
Objective 1.1.1 - insert description of objective: ***Remember to include a colon (:) at the end of each objective*	$0					
Objective 1.1.2 - insert description of objective:	$0					
Insert remaining Objectives	$0					
Total Agency Plans to Spend on Objectives:	$0					
Where Agency Plans to Spend Money - Money previously committed for multiple years						
Example - Continental Tire Recruitment Grant (agreement requires State pay income taxes for the company until 2020)	$0					
	$0					
Total Agency Plans to Spend on previous multiple year commitments	$0					
Where Agency Plans to Spend Money - Unrelated Purpose (pass through or other purpose unrelated to agency's strategic plan)						
Unrelated Purpose #1 - insert description:	$0					
Unrelated Purpose #1 - insert description:	$0					
Unrelated Purpose #2 - insert description:	$0					

Strategic Budgeting for Fiscal Year 2016-17

(Note: Funds from General Appropriation Act for 2016-17 set in Summer 2016)

Insert any additional unrelated purposes	$0					
Total Agency Plans to Spend on Unrelated Purposes:	$0					
Total Agency Plans to Spend (Total on Objectives + Total on Unrelated Purposes)	$0					
Amount Remaining	$0					
Funds budgeted for use in subsequent years (i.e. when grant or other money received all at once, but intended to be spent over multiple years)						
Example - WIOA 3 year funds budgeted for use in next two fiscal years	$0					
	$0					
	$0					
Total Funds budgeted for use in subsequent years	$0					
Cash Balance Remaining, minus funds budgeted for use in subsequent years	$0					

Additional Explanations regarding Part B:	*Insert any additional explanations the agency would like to provide related to the information it provided above.*

Strategic Requests for Fiscal Year 2017-18

Agency Responding	
Date of Submission	

Disclaimer: The Committee understand the amount the agency budgeted and spent per goal and objective are estimates from the agency. The Committee requests that the estimates have a logical basis, which the agency can explain, as to how it determined the amounts provided.

INSTRUCTIONS:
This tab requests the same information as Strategic Budgeting (current FY), but looks at the requests for the upcoming year, 2017-18, as opposed to funds already approved for the current fiscal year, 2016-17. Please ensure this information is provided with the funds the agency is requesting for 2017-18 and the strategic plan the agency intends to follow in 2017-18.

PART A - Funds Available Fiscal Year (2017-18)

What is the source of funds? (insert as many columns as needed, just make sure to total everything in the last column)	Totals			
State, other or federal funding?	n/a			
Recurring or one-time?	n/a			
$ Available from Previous FY				
Amount anticipated to have available at end of current fiscal year	$0			
If agency anticipates having funds available at the end of the current fiscal year, explain why :	n/a			
$ Estimated to Receive this Year				
Amount received to spend in current fiscal year:	$0			
Amount requesting to receive next fiscal year:	$0			
If the amounts in the two rows above are not the same, explain why :	n/a			
If none of the amounts the agency is requesting to receive next fiscal year are lower than amounts received in current fiscal year, explain why the same amount is needed for each fund.	n/a			
Total Available if amounts requested are received				
Amount estimated to have available to spend next fiscal year (i.e. Amount anticipated to have available at end of current fiscal year PLUS Amount requesting to receive next fiscal year):	$0	$0	$0	$0

Additional Explanations regarding Part A:	*Insert any additional explanations the agency would like to provide related to the information it provided above.*

PART B - How Agency Plans to Budget Funds in 2017-18

What is the source of funds? (insert as many columns as needed, just make sure to total everything in the last column)	Totals	0	0	0
State, other or federal funding?	n/a	0	0	0

Strategic Requests for Fiscal Year 2017-18

Recurring or one-time?			n/a	0	0	0
What are the external restrictions (from state or federal government, grant issuer, etc.), if any, on how the agency can spend the funds from this source:			n/a			
Will expenditure of funds be tracked through SCEIS? (if no, state the system through which they are recorded so the total amount of expenditures could be verified, if needed)			n/a			
Total amount estimated to have available to spend:			$0	$0	$0	$0
Where Agency Plans to Spend Money - Current Objectives	**Responsible Employee** (Name, Position, Responsible more/less than 3 years)	Associated Performance Measure Item #s	Totals	0	0	0
*Objective 1.1.1 - insert description of objective: **Remember to include a colon (:) at the end of each objective*			$0			
Objective 1.1.2 - insert description of objective:			$0			
Insert remaining Objectives			$0			
Total Agency Plans to Spend on Objectives:			$0			
Where Agency Plans to Spend Money - Money previously committed for multiple years	**Responsible Employee** (Name, Position, Responsible more/less than 3 years)	Associated Performance Measure Item #s	Totals	0	0	0
Example - Continental Tire Recruitment Grant (agreement requires State pay income taxes for the company until 2020)			$0			
			$0			
Total Agency Plans to Spend on previous multiple year commitments:			$0			
Where Agency Plans to Spend Money - Unrelated Purpose (pass through or other purpose unrelated to agency's strategic plan)	**Responsible Entity** (i.e. entity who determines how the money is spent)	Associated Performance Measure Item #s	Totals	0	0	0
Unrelated Purpose #1 - insert description:			$0			
Unrelated Purpose #1 - insert description:			$0			
Unrelated Purpose #2 - insert description:			$0			
Insert any additional unrelated purposes			$0			
Total Agency Plans to Spend on Unrelated Purposes:			$0			

Total Agency Plans to Spend ((Total on Objectives + Total on previous multiple year commitments + Total on Unrelated Purposes):	$0			

Strategic Requests for Fiscal Year 2017-18

Amount Remaining:			$0			

Funds budgeted for use in subsequent years (i.e. when grant or other money received all at once, but intended to be spent over multiple years)	**Responsible Employee** (Name, Position, Responsible more/less than 3 years)	Associated Performance Measure Item #s	Totals	0	0	0
Example - WIOA 3 year funds budgeted for use in next two fiscal years			$0			
			$0			
Insert any additional funds budgeted for use in subsequent years			$0			
Total Funds budgeted for use in subsequent years:			$0			

Cash Balance Remaining, minus funds budgeted for use in subsequent years:			$0			

Additional Explanations regarding Part B:	*Insert any additional explanations the agency would like to provide related to the information it provided above.*