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

2016 Annual Restructuring Report Guidelines

PLEASE NOTE:

The information included in the agency's report will appear online for all legislators and the public to view.

Agency Name:	**State Ethics Commission**
Date Report Submitted:	**January 12, 2016**
Agency Head	
First Name	Herbert
Last Name:	Hayden
Email Address:	herb@ethics.sc.gov
Phone Number:	803-253-4192 Ext. 0

General Instructions

SUBMISSIONS	
What to submit?	Please submit this document in electronically only in both the original format (Excel) as well as in a PDF document. Save the document as "2016 - Agency ARR (*insert date agency submits report*)."
When to submit?	The deadline for submission is by the first day of session, January 12, 2016.
Where to submit?	Email all electronic copies to HCommLegOv@schouse.gov.

NOTE: If the agency enters its Name and the Date of Submission in the "Cover Page" tab, it should automatically populate at the top of each tab in this report.

WHERE INFORMATION WILL APPEAR	
Where will submissions appear?	The information included in the agency's report will appear online for all legislators and the public to view. On the South Carolina Statehouse Website it will appear on the Publications page as well as on the individual agency page, which can be accessed from the House Legislative Oversight Page.

QUESTIONS	
Who to contact?	House Legislative Oversight at 803-212-6810.

OTHER INFORMATION	
	House Legislative Oversight
Mailing	Post Office Box 11867
Phone	803-212-6810
Fax	803-212-6811
Email	HCommLegOv@schouse.gov
Web	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."

Legal Standards

This is the first chart in the report because the legal standards which apply to the agency should serve as the basis for the agency's mission, vision and strategic plan.

Agency Responding	State Ethics Commission
Date of Submission	1/12/2016

Instructions : List all state and federal statutes, regulations and provisos that apply to the agency ("Laws") and a summary of the statutory requirement and/or authority granted in the particular Law listed. If the agency grouped Laws together last year, they can continue to do so this year. However, please be aware that when the agency goes under study, the House Legislative Oversight Committee will ask it to list each Law individually. The Committee makes this request so the agency can then analyze each of the Laws to determine which current Laws may need to be modified or eliminated, as well as any new Laws possibly needed, to allow the agency to be more effective and efficient or to ensure the Law matches current practices and systems. Included below is an example, with a partial list of Laws which apply to the Department of Juvenile Justice. Please delete the example information before submitting this chart in final form. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Item #	Statute, Regulation, or Proviso Number	State or Federal	Summary of Statutory Requirement and/or Authority Granted	Is the law a Statute, Proviso or Regulation?
1	2-17-5	State	Transfer of duties and powers from Secretary of State to State Ethics Commission.	Statute
2	2-17-10	State	Definitions.	Statute
3	2-17-15	State	Persons prohibited from serving as lobbyist; application of section.	Statute
4	2-17-17	State	Bodies which contract with outside lobbyists must mail copies of lobbyists' disclosure statements and reports to home addresses of members; use of funds therefor.	Statute
5	2-17-20	State	Registration of lobbyists; notice of termination of lobbying activities; supplemental registration statements; list of lobbyists; recording keeping requirements; reregistration requirements.	Statute
6	2-17-25	State	Registration of Llobbyist's principal; notice of termination of lobbying authority; supplemental registration statements; list of lobbyist's principal; recording keeping requirements; reregistration requirements.	Statute
7	2-17-30	State	Lobbyist's reporting of lobbying activites.	Statute
8	2-17-35	State	Lobbyist's principal's reporting of lobbying expenditures	Statute
9	2-17-40	State	Report of lobbying activities of state agency or department.	Statute

Legal Standards

10	2-17-45	State	Reports required of certain entitites which rank or rate actions, votes or failures to act or vote of certain public officials.	Statute
11	2-17-50	State	State Ethics Commission to enforce filing requirements of chapter and to assess penalties for failure to file; filing of required reports and payment of fine constitues compliance; payment of fine without filing not to excuse or exempt person from filing requirements.	Statute
12	2-17-60	State	Duties of State Ethics Commission.	Statute
13	2-17-65	State	Review of reports for compliance; audits of lobbyists and principals; procedure upon failure to file required information after notice.	Statute
14	2-17-70	State	Repealed July 1, 1993.	Statute
15	2-17-80	State	Acts prohibited of lobbyists; acts prohibited of public officials and employees; exceptions.	Statute
16	2-17-90	State	Acts prohibited of lobbyists' principals; acts prohibited of public officials and employees; exceptions; disclosure requirements.	Statute
17	2-17-100	State	Public officials and employees not to receive compensation for speaking before audiences; exception and rules for payment of expenses.	Statute
18	2-17-110	State	Additional acts prohibited of lobyists and lobbyists' principals, public officials, and public employees.	Statute
19	2-17-120	State	Suspension of lobbyist upon indictment for violation of provision of this chapter.	Statute
20	2-17-130	State	Penalties for violation of provisions of this chapter.	Statute
21	2-17-140	State	Groundless allegations of violations to be stricken from public record; penalties for wilful filing of groundless complaint.	Statute
22	2-17-150	State	Statute of limitations for prosecuting violation of provision of this chapter.	Statute
23	8-13-100	State	Definitions.	Statute
24	8-13-120	State	Fee for educationa nd training programs	Statute
25	8-13-130	State	Levying enforcement or administrative fee on persons in violation; use of fee.	Statute
26	8-13-140	State	Retention of funds derived from additional assessments associated with late filing fees.	Statute
27	8-13-150	State	Carrying forward unexpended lobbyists and lobbyist's principals registration fees.	Statute
28	8-13-310	State	State Ethics Commission reconstituted; memebers; terms of office; officers; quorum requirements; meetings; per diem; mileage, and subsistence for members.	Statute
29	8-13-320	State	Duties and powers of State Ethics Commission.	Statute
30	8-13-325	State	Use of registration fines and fees.	Statute
31	8-13-330	State	Executive director of commission; restrictions on political activities of members, employees and staff of commission.	Statute
32	8-13-340	State	Annual report of commission.	Statute
33	8-13-350	State	Ethics brochure to be provided to public officials, members, and employees.	Statute
34	8-13-360	State	Statements and reports filed with commission open for public inspection.	Statute
35	8-13-365	State	Electronic Filing deadline.	Statute

Legal Standards

36	8-13-700	State	Use of official position or office for financial gain; disclosure of potential conflict of interest	Statute
37	8-13-705	State	Offering, giving, soliciting, or receiving anything of value to influence action of public employee, member or official, or to influence testimony of witness; exceptions; penalty for violation	Statute
38	8-13-710	State	Reporting of particular gifts received by public employee, official, or member on statement of economic interests.	Statute
39	8-13-715	State	Speaking engagements of public officials, members or employees; only expense reimbursement permitted; authorization for	Statute
40	8-13-720	State	Offering, soliciting, or receiving money for advice or assistance of public official, member or employee	Statute
41	8-13-725	State	Use or disclosure of confidential information by public official, member, or employee for financial gain	Statute
42	8-13-730	State	Membership on or employment by regulatory agency of person associated with regulated business	Statute
43	8-13-735	State	Participation in decision affecting personal economic interests by one employed by and serving on governing body of governmental entity	Statute
44	8-13-740	State	Representation of another by a public official, member, or employee before a governmental entity	Statute
45	8-13-745	State	Paid representation of clients and contracting by member of General As-sembly or associate in particular situations	Statute
46	8-13-750	State	Employment, promotion, advancement, or discipline of family member of public official, member, or employee	Statute
47	8-13-755	State	Restrictions on former public official, member, or employee serving as lobbyist or accepting employment in field of former service	Statute
48	8-13-760	State	Employment by government contractor of former public official, member, or employee who was engaged in procurement	Statute
49	8-13-765	State	Use of government personnel or facilities for campaign purposes; govern-ment personnel permitted to work on campaigns on own time	Statute
50	8-13-770	State	Members of General Assembly prohibited from serving on state boards and commissions; exceptions	Statute
51	8-13-775	State	Public official, member, or employee with official function related to contracts not permitted to have economic interest in contracts	Statute
52	8-13-780	State	Remedies for breaches of ethical standards by public officials, members, or employees	Statute
53	8-13-785	State	Communication by elected official with state board or commission on behalf of constituent	Statute
54	8-13-790	State	Recovery of amounts received by official or employee in breach of ethical standards; recovery of kickbacks	Statute
55	8-13-795	State	Receipt of award, grant, or scholarship by public official or family	Statute
56	8-13-1110	State	Persons required to file statement of economic interests	Statute

Legal Standards

57	8-13-1120	State	Contents of statement of economic interests	Statute
58	8-13-1125	State	Exception to reporting requirement for events to which entire legislative body invited	Statute
59	8-13-1127	State	Legislative invitations committees to keep records of invitations ac-cepted; public inspection	Statute
60	8-13-1130	State	Report on names of, and purchases by, lobbyists	Statute
61	8-13-1140	State	Filing of updated statement	Statute
62	8-13-1150	State	Filing of statement by certain consultants	Statute
63	8-13-1160	State	Forwarding of copies of statement to State Ethics Commission and filing person's county of residence	Statute
64	8-13-1170	State	Technical violations of disclosure requirements; extensions of time for filing statements	Statute
65	8-13-1180	State	Soliciting of contributions by elective official or agent from employees; favoritism by public official or employee towards employees making contributions	Statute
66	8-13-1300	State	Definitions	Statute
67	8-13-1302	State	Maintenance of records of contributions, contributors, and expenditures	Statute
68	8-13-1304	State	Committees receiving and spending funds to influence elections required to file statement of organization	Statute
69	8-13-1306	State	Contents of statement of organization	Statute
70	8-13-1308	State	Filing of certified campaign reports by candidates and committees	Statute
71	8-13-1309	State	Filing of certified campaign reports by ballot measure committee	Statute
72	8-13-1310	State	Recipients of certified campaign reports and copies thereof; State Ethics Commission review	Statute
73	8-13-1312	State	Campaign bank accounts	Statute
74	8-13-1314	State	Campaign contribution limits and restrictions	Statute
75	8-13-1316	State	Restrictions on campaign contributions received from political parties	Statute
76	8-13-1318	State	Acceptance of contributions to retire campaign debt; limits; reporting requirements	Statute
77	8-13-1320	State	Contributions within specified period after primary, special, or general election attributed to that primary or election	Statute
78	8-13-1322	State	Dollar limits on contributions to committees	Statute
79	8-13-1324	State	Anonymous campaign contributions	Statute
80	8-13-1326	State	Loans to candidates considered contributions; limitations; exceptions	Statute
81	8-13-1328	State	Limits on repayment of loans from candidate or family members to campaign	Statute
82	8-13-1330	State	Contributions by spouses or parent and child	Statute
83	8-13-1331	State	Affiliated Committees	Statute
84	8-13-1332	State	Unlawful contributions and expenditures	Statute
85	8-13-1333	State	Not-for-profit corporations solicitation guidelines	Statute
86	8-13-1334	State	Certain solicitation of contributions by corporations and organizations from employees not unlawful	Statute

Legal Standards

87	8-13-1336	State	Accepting or soliciting contributions on State Capitol grounds or in of-ficial residence prohibited; exception for contributions by mail	Statute
88	8-13-1338	State	Persons prohibited from soliciting contributions	Statute
89	8-13-1340	State	Restrictions on contributions by one candidate to another	Statute
90	8-13-1342	State	Restrictions on contributions by contractor to candidate who participated in awarding of contract	Statute
91	8-13-1344	State	Contributions by public utilities; seeking endorsement in return for con-tribution; discrimination by employers based on contributions; reimburse-ment for contributions	Statute
92	8-13-1346	State	Use of public funds, property, or time to influence election prohibited; exceptions	Statute
93	8-13-1348	State	Use of campaign funds for personal expenses; certain expenditures to be in writing; expenditures not to exceed fair market value; petty cash funds	Statute
94	8-13-1350	State	Prohibition of use of funds for campaign for one office to further candi-dacy of same person for different office	Statute
95	8-13-1352	State	Exception to prohibition of use of funds for campaign for one office to further candidacy of same person for different office	Statute
96	8-13-1354	State	Identification of person independently paying for election-related com-munication; exemptions	Statute
97	8-13-1356	State	Filing of statement of economic interests by candidates for public office	Statute
98	8-13-1358	State	Format of certified campaign reports	Statute
99	8-13-1360	State	Contribution and expenditure reporting form; contents	Statute
100	8-13-1362	State	Filing of statement of inactivity by candidate or committee having no contributions or expenditures to report	Statute
101	8-13-1364	State	Sending of notice of obligation to report and forms	Statute
102	8-13-1366	State	Public availability of certified campaign reports	Statute
103	8-13-1368	State	Termination of campaign filing requirements; dissolution of committees; final report	Statute
104	8-13-1370	State	Use of unexpended contributions by candidate after election; distribution of unexpended funds of committee	Statute
105	8-13-1371	State	Use of funds by ballot measure committee	Statute
106	8-13-1372	State	Technical violations of rules on campaign reports	Statute
107	8-13-1373	State	Budget and Control Board must defend action	Statute
108	8-13-1374	State	Richland County designated as site of failure to file	Statute
109	8-13-1510	State	Penalty for late filing of or failure to file report or statement required by this chapter	Statute
110	8-13-1520	State	Violation of chapter constitutes misdemeanor; violation not necessarily ethical infraction	Statute
111	52-100	State	State Ethics Commission	Regulation
112	52-201	State	Purpose and Scope	Regulation
113	52-202	State	Severability	Regulation
114	52-203	State	Definitions	Regulation

Legal Standards

115	52-204	State	Official Forms and Documents	Regulation
116	52-205	State	Date of Filing with the Commission Defined	Regulation
117	52-206	State	Method of Service	Regulation
118	52-207	State	Effect of Signature	Regulation
119	52-208	State	Computation of Time	Regulation
120	52-209	State	Motions and Other Papers	Regulation
121	52-210	State	Notice of Representation	Regulation
122	52-211	State	Subpoenas	Regulation
123	52-212	State	Amendments to Forms	Regulation
124	52-301	State	Advisory Opinions, Generally	Regulation
125	52-302	State	Informal Advisory Opinions	Regulation
126	52-303	State	Formal Advisory Opinions	Regulation
127	52-401	State	General	Regulation
128	52-402	State	Lobbyist's and Lobbyist's Principal registration, termination, supplemen-tal registration, record keeping, and reregistration requirements	Regulation
129	52-403	State	Lobbyists and Lobbyist's Principal reporting requirements	Regulation
130	52-404	State	Registration of Rating or Ranking Entities	Regulation
131	52-405	State	Administrative enforcement of registration and reporting of lobbyists, lobbyist's principals and rating entities activities and expenditures	Regulation
132	52-501	State	General	Regulation
133	52-502	State	Responsibility of Persons accepting declarations of candidacy or petitions for nomination	Regulation
134	52-503	State	Committees receiving or spending funds to influence elections must register	Regulation
135	52-504	State	Candidate's and Committee's Campaign Reports	Regulation
136	52-505	State	Committees registered with the Federal Election Commission	Regulation
137	52-506	State	Administrative Enforcement of Candidate's and Committee's registration and reporting requirements	Regulation
138	52-601	State	General	Regulation
139	52-602	State	Persons Required to File Statements of Economic Interests and Agencies Required to file Contract Disclosure Forms	Regulation
140	52-603	State	Confidential Statements of Economic Interests	Regulation
141	52-604	State	Reporting by persons not required to file a Statement of Economic Interest	Regulation
142	52-605	State	Approval for Out-of-State Expenses	Regulation
143	52-606	State	Consultant's Disclosure Forms	Regulation
144	52-607	State	Candidates and Incumbents Statement's of Economic Interests	Regulation
145	52-608	State	Administrative Enforcement	Regulation
146	52-701	State	General	Regulation

Legal Standards

147	52-702	State	Initiating a Complaint	Regulation
148	52-703	State	Parties to the proceeding	Regulation
149	52-704	State	Complaint Procedures	Regulation
150	52-705	State	Investigation of Complaints	Regulation
151	52-706	State	Amendment and Withdrawal of Complaint	Regulation
152	52-707	State	Hearing notice	Regulation
153	52-708	State	Request for Remediation	Regulation
154	52-709	State	Respondent's Answer to Complaint	Regulation
155	52-710	State	Discovery	Regulation
156	52-711	State	Admission of Expert's Reports and other forms of written evidence	Regulation
157	52-712	State	Presentation of Evidence	Regulation
158	52-713	State	Conduct of Hearings	Regulation
159	52-714	State	Burden of Proof	Regulation
160	52-715	State	Continuance, Postponement and Adjournment	Regulation
161	52-716	State	Final Disposition and Order	Regulation
162	52-717	State	Record of Hearing and Transcripts	Regulation
163	52-718	State	Confidentiality of Proceedings	Regulation
164	52-801	State	Filing an Appeal	Regulation
165	52-802	State	Notice of Appellate Hearing	Regulation
166	52-803	State	Briefs	Regulation
167	52-804	State	Oral Argument	Regulation
168	52-805	State	Composition of the Panel for Full Commission Review	Regulation
169	52-806	State	Standard of Review	Regulation
170	52-807	State	Additional Evidence	Regulation
171	52-901	State	General	Regulation
172	52-902	State	Requirements of Trust Instrument	Regulation
173	52-903	State	Effect	Regulation
174	52-1001	State	Repeal of Existing Regulations and Adoption of Articles 1 through 10, inclusive	Regulation

Mission, Vision and Goals

This is the second chart because the agency's mission and vision should have a basis in the legal standards, which the agency provided in the previous chart. After the agency knows the laws it must satisfy, along with its mission and vision, it can then set goals to satisfy those laws and achieve that vision (and the strategy and objectives to accomplish each goal - see next chart). To ensure accountability, one person below the head of the agency should be responsible for each goal. The same person is not required to be responsible for all of the goals.

Agency Responding	State Ethics Commission
Date of Submission	1/12/2016
Fiscal Year for which information below pertains	2015-16

Instructions: Provide the agency's mission, vision and laws (i.e. state and/or federal statutes) which serve as the basis for the agency's mission and vision.

Mission	The State Ethics Commission is an agency of state government responsible for the enforcement of the Ethics Reform Act of 1991 to restore public trust in government. The Commission carries out its mandate by conducting criminal and administrative investigations of violations of the state's ethics laws; prosecuting violators through the Attorney General's office and circuit solicitor's; ensuring compliance with the state's laws on financial disclosure, lobbyists/lobbyist's principal disclosure and campaign disclosure, and prosecuting those not in compliance; regulating lobbyists and lobbying organizations; issuing advisory opinions interpreting the statute.
Legal Basis for agency's mission	Purpose: Preamble Mission: 8-13-320
Vision	To provide audits of all forms filed with the State Ethics Commission
Legal Basis for agency's vision	Title 2, Chapter 17 Title 8, Chapter 13

Instructions:
1) Under the "Legal Responsibilities Satisfied" column, enter the legal responsibilities (i.e. state and/or federal statutes and provisos) the goal is satisfying. All of the laws mentioned in the previous chart (i.e. Legal Standards Chart) should be included next to one of the agency's goals. When listing the Legal Responsibilities Satisfied, the agency can group the standards together when applicable (i.e. SC Code 63-19-320 thru 63-19-450). Make sure it is clear whether the agency is referencing state or federal laws and whether it is a proviso or statute.
2) Under the "Goals and Description" column, enter the number and description of the goal which will help the agency achieve its vision (i.e. Goal 1 - Increase the number of job opportunities available to juveniles to 20 per juvenile within the next 2 years). The agency should have 3-4 high level goals.
3) Under the "Describe how the Goal is SMART" column, enter the information which shows the goal is Specific, Measurable, Attainable, Relevant and Time-bound.
4) Under the "Public Benefit/Intended Outcome" column, enter the intended outcome of accomplishing the goal.
5) Under the "Responsible Person" columns, provide information about the individual who has primary responsibility/accountability for each goal. The Responsible Person has different teams of employees beneath him/her to help accomplish the goal. The Responsible Person is the person who, in conjunction with his/her team(s) and approval from higher level superiors, determines the strategy and objectives to accomplish the goal. In addition, this is the person who monitors the progress and makes any changes needed to the strategies and objectives to ensure the goal is accomplished. Under the "Position" column, enter the Responsible Person's position/title at the agency.

Legal Responsibilities Satisfied	Goals & Description	Describe how the Goal is S.M.A.R.T.	Public Benefit/Intended Outcome	Responsible Person Name:	Number of months person has been responsible for the goal or objective:	Position:
(i.e. state and federal statutes or provisos the goal is satisfying)	(i.e. Goal 1 - insert description)	Specific Measurable Attainable Relevant Time-bound	(Ex. Output = rumble strips are installed on the sides of a road; Outcome = incidents decrease and public perceives that the road is safer) Just enter the intended outcome			
Title 2, Chapter 17 Title 8, Chapter 13	Goal 1 - Audits To provide audits of up to 10 percent of approximately 20,000 forms filed with the State Ethics Commission annually. This would include reviewing all Statement of Economic Interests, Campaign Disclosure Forms, Lobbyists and Lobbyist's Principal Registrations and Disclosure Statements for violations of the Ethics Act, discrepancies in figures, personal expenditures, questionable expenditures, excess contributions, etc.	Specific - To detect violations (intentional or unintentional of the Ethics Act that have gone undiscovered due to insufficient staffing levels. Measurable - Would begin measuring annually (calendar year) to determine the percentage of reports audited. Attainable - depending on FTE budget	Transparency from all individuals and agencies under the jurisdiction of the State Ethics Commission.	Ami Franklin	4	Assistant Director, Administration

Strategy, Objectives and Responsibility

This is the next chart because once the agency determines its goals, and those responsible for each goal, it then needs to determine the strategy and objectives to accomplish each goal. To ensure accountability, one person should be responsible for each objective. This can be the same person responsible for the goal, if it is a small agency, or, for larger agencies, a person who reports to the person responsible for the goal. The same person is not required to be responsible for all of the objectives.

Agency Responding	State Ethics Commission
Date of Submission	1/12/2016
Fiscal Year for which information below pertains	2015-16

Instructions :

1) Under the "Legal Responsibilities Satisfied" column, enter the legal responsibilities (i.e. state and/or federal statutes and provisos) the goal or objective is satisfying. For each goal, the agency can copy and paste the information from the Mission, Vision and Goals Chart. All of the legal standards mentioned for a particular goal should be included next to one of the objectives under that goal. When listing the Legal Responsibilities Satisfied, the agency can group the standards together when applicable (i.e. 63-19-320 thru 63-19-370). Make sure it is clear whether the agency is referencing state or federal laws and whether it is a proviso or statute.

2) Under the "Strategic Plan Part and Description" column, enter the strategic plan part number and description (i.e. Goal 1 - Increase the number of job opportunities available to juveniles to 20 per juvenile within the next 2 years). For each goal, the agency can copy and paste the information from the Mission, Vision and Goals Chart. If the agency is still utilizing the same strategies and objectives it submitted as part of the Accountability Report, it can copy and paste those into this chart, then fill in the remainder of the columns. However, if the agency has trouble explaining how each objective is SMART, it may need to revise its objectives. In addition, if the agency has revised its strategic plan since submitting its last Accountability Report, please provide information from the most current strategic plan.

3) Under the "Describe how it is SMART" column, enter the information which shows how each goal and objective is Specific, Measurable, Attainable, Relevant and Time-bound.

4) Under the "Public Benefit/Intended Outcome" column, enter the intended outcome of accomplishing each goal and objective.

5) Under the "Responsible Person" columns, provide information about the individual who has primary responsibility/accountability for each goal and objective. The Responsible Person for a goal has different teams of employees beneath him/her to help accomplish the goal. The Responsible Person for an objective has employees and possibly different teams of employees beneath him/her to help accomplish the objective. The Responsible Person for a goal is the person who, in conjunction with his/her team(s) and approval from higher level superiors, determines the strategy and objectives needed to accomplish the goal. The Responsible Person for an objective is the person who, in conjunction with his/her employees and approval from higher level superiors, sets the performance measure targets and heads the game plan for how to accomplish the objective for which he/she is responsible. Under the "Position" column, enter the Responsible Person's position/title at the agency. Under "Office Address" column, enter the address for the office from which the Responsible Person works. Under the "Department/Division" column, enter the department or division at the agency in which the Responsible Person works. Under the "Department/Division Summary" column, enter a brief summary (no more than 1-2 sentences) of what that department or division does in the agency.

Legal Responsibilities Satisfied:	***Strategic Plan Part and Description***	**How it is S.M.A.R.T.:**	**Public Benefit/Intended Outcome:**						
(i.e. state and federal statutes or provisos the goal or objective is satisfying)	(i.e. Goal 1 - Insert description, Strategy 1.1 - Insert Description, Objective 1.1.1 - Insert Description)	Describe how each goal and objective is... Specific; Measurable; Attainable; Relevant; and Time-bound	(Ex. Output = rumble strips are installed on the sides of a road; Outcome = incidents decrease and public perceives that the road is safer) Just enter the intended outcome	**Responsible Person Name:**	**Number of months person has been responsible for the goal or objective:**	**Position:**	**Office Address:**	**Department or Division:**	**Department or Division Summary:**

Strategy, Objectives and Responsibility

Title 2, Chapter 17 Title 8, Chapter 13	Goal 1 - Audits To provide audits of up to 10 percent of approximately 20,000 forms filed with the State Ethics Commission annually. This would include reviewing all Statement of Economic Interests, Campaign Disclosure Forms, Lobbyists and Lobbyist's Principal Registrations and Disclosure Statements for violations of the Ethics Act, discrepancies in figures, personal expenditures, questionable expenditures, excess contributions, etc.	Specific - To detect violations (intentional or unintentional of the Ethics Act that have gone undiscovered due to insufficient staffing levels. Measurable - Would begin measuring annually (calendar year) to determine the percentage of reports audited. Attainable - depending on FTE budget request in FY16 (not granted) and FY17 budget request and whether this request is granted, begin auditing to meet the specific goal Relevant - based on our statutory requirements Time-bound - January 1, 2017 to December 31, 2017 (contingent on FTE staffing in current budget request)	Transparency from all individuals and agencies under the jurisdiction of the State Ethics Commission.	Ami Franklin	4	Assistant Director, Administration	5000 Thurmond Mall, Suite 250, Columbia, SC 29201	Administration	Due to the size of the agency, Administration encompasses all functions of the agency.
The agency does not need to insert the information for the rest of the columns for any strategy, type "n/a"	Strategy 1.1 - Hire FTE's to fulfill this goal.	n/a	n/a		n/a	n/a	n/a	n/a	n/a
	Objective 1.1.1 - Obtain funding to fulfill this goal.								

Associated Programs

This is the next chart because once the agency has determined its goals, strategies and objectives, the agency needs to determine which of its programs will help achieve those objectives and goals and which programs may need to be curtailed or eliminated. If one program is helping accomplish an objective that a lot of other programs are also helping accomplish, the agency should consider whether the resources needed for that program could be better utilized (i.e. so the agency can most effectively and efficiently accomplish all of its goals and objectives) if they were distributed among the other programs that are helping accomplish the same objective or among programs that are helping accomplish other objectives.

Agency Responding	State Ethics Commission
Date of Submission	1/12/2016
Fiscal Year for which information below pertains	2015-16

Instructions :
1) Under the "Name of Agency Program" column, enter the name of every program at the agency on a separate row.
2) Under the "Description of Program" column, enter a 1-3 sentence description of the agency program.
3) Under the "Legal Statute Requiring Program" column, enter the legal statute which requires (this is different than allows) the program, if the program is required by a state or federal statute or proviso. Make sure it is clear whether the agency is referencing state or federal laws and whether it is a proviso or statute. If the program is not required by a state or federal statute or proviso, enter "none."
3) Under the "Objective the Program Helps Accomplish" column, enter the strategic plan objective number and description. The agency can copy the Objective number and description from the first column of the Strategy, Objective and Responsibility Chart. Enter ONLY ONE objective per row. If an agency program helps accomplish multiple objectives, insert additional rows with that agency program information and enter each different objective it helps accomplish on a separate row.

Name of Agency Program	Description of Program	Legal Statute or Proviso Requiring the Program	Objective the Program Helps Accomplish (The agency can copy the Objective number and description from the first column of the Strategy, Objective and Responsibility Chart) List ONLY ONE strategic objective per row.
Administration	Administration encompasses all functions of the agency.	Title 2, Chapter 17 Title 8, Chapter 13	Goal 1 - Audits To provide audits of up to 10 percent of approximately 20,000 forms filed with the State Ethics Commission annually. This would include reviewing all Statement of Economic Interests, Campaign Disclosure Forms, Lobbyists and Lobbyist's Principal Registrations and Disclosure Statements for violations of the Ethics Act, discrepancies in figures, personal expenditures, questionable expenditures, excess contributions, etc.
			Strategy 1.1 - Hire FTE's to fulfill this goal.
			Objective 1.1.1 - Obtain funding to fulfill this goal.

Strategic Budgeting

This is the next chart because once the agency determines its goals, strategies and objectives, as well as the programs that will best allow the agency to accomplish its objectives, the agency needs to determine how to allocate its funds to most effectively and efficiently accomplish the objectives. After allocating the funds to the objectives, the agency may decide t go back and revise which associated programs it will continue, curtail or eliminate in order to most effectively and efficiently accomplish its goals and objectives.

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Date of Submission	1/12/2016
Fiscal Year for which information below pertains	2015-2016

IMPORTANT TIME SAVING NOTE: Please note that only one year of budgeted funds is requested. Once an agency is under study with the House Legislative Oversight Committee, the Committee may request information on how the agency budgeted and spent money for the previous five years. If an agency is chosen for study five years from now, the agency can quickly and easily combine the information from this chart for each of the last five years.

Part A Instructions: **Estimated Funds Available this Fiscal Year (2015-16)**
1) 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 below so please delete or add as many as needed. **However the agency chooses to group its funding sources, it should be clear through Part A and B, how much the agency estimates it has available to spend and where the agency has budgeted the funds it has available to spend.**

Part B Instructions: **How Agency Budgeted Funds this Fiscal Year (2015-16)**
1) Enter each agency objective and description (i.e. Objective 1.1.1 - insert description of objective). The agency can insert as many rows as necessary so that all objectives are included.
2) After entering all of the objectives, enter each "unrelated purpose" for which money received by the agency will go (i.e. Unrelated Purpose #1 - insert description of unrelated purpose) on a separate row. 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.).
3) Enter how much money from each source of funds the agency budgets to spend on each objective and unrelated purpose. The "Total budgeted to spend on objectives and unrelated purposes" for each source of funds in Part B should equal the "Amount estimated to have available to spend this fiscal year" in Part A.

Explanations from the Agency regarding Part A: Insert any additional explanations the agency would like to provide related to the information it provides below.

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

Source of Funds: **No funding is available in FY16. Funding has been requested in FY17 budget request.**	Totals	Insert name of Source of Funds #1	Insert name of Source of Funds #2	Insert name of Source of Funds #3	Insert name of Source of Funds #4	Insert name of Source of Funds #5	Etc.
Is the source state, other or federal funding:	Totals	State, Federal or Other Funds?	State, Federal or Other Funds?	State, Federal or Other Funds?	State, Federal or Other Funds?	State, Federal or Other Funds?	State, Federal or Other Funds?
Is funding recurring or one time?	Totals	Recurring or one-time funding?	Recurring or one time funding?	Recurring or one time funding?	Recurring or one-time funding?	Recurring or one time funding?	Recurring or one-time funding?
$ From Last Year Available to Spend this Year							
Amount available at end of previous fiscal year							
Amount available at end of previous fiscal year that agency can actually use this fiscal year:							
If the amounts in the two rows above are not the same, explain why :	Enter explanation for each fund to the right						
$ Estimated to Receive this Year							
Amount budgeted/estimated to receive in this fiscal year:							
Total Actually Available this Year							
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 budgeted/estimated to receive this fiscal year):							

Strategic Budgeting

Explanations from the Agency regarding Part B: *Insert any additional explanations the agency would like to provide related to the information it provides below.*

PART B
How Agency Budgeted Funds this Fiscal Year (2015-16)

Source of Funds: (the rows to the left should populate automatically from what the agency entered in Part A) **No funding was available.**	Totals	Insert name of Source of Funds #1	Insert name of Source of Funds #2	Insert name of Source of Funds #3	Insert name of Source of Funds #4	Insert name of Source of Funds #5	Etc.
Is source state, other or federal funding: (the rows to the left should populate automatically from what the agency entered in Part A)	Totals	State, Federal or Other Funds?	State, Federal or Other Funds?	State, Federal or Other Funds?	State, Federal or Other Funds?	State, Federal or Other Funds?	State, Federal or Other Funds?
Restrictions on how agency is able to spend the funds from this source:	n/a						
Amount estimated to have available to spend this fiscal year: (the rows to the left should populate automatically from what the agency entered in Part A)	$0	$0	$0	$0	$0	$0	$0
Are 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						
Where Agency Budgeted to Spend Money this Year							
Objective 1.1.1 - insert description of objective: ***Remember to include a colon (:) at the end of each objective and unrelated purpose description***							
Objective 1.1.2 - insert description of objective:							
etc.							
Unrelated Purpose #1 - insert description:							
Unrelated Purpose #2 - insert description:							
etc.							
Total Budgeted to Spend on Objectives and Unrelated Purposes: (this should be the same as Amount estimated to have available to spend this fiscal year)							

Objective Details

This is the next chart because once the agency determines the associated programs and amount of funds it is allocating to accomplish each objective, the agency needs to ensure it has proper performance measures established to track how effectively and efficiently it is utilizing the resources allocated. The agency also needs to consider potential negative impacts which may arise, and need to be addressed, if the objective is not accomplished; ensure the agency is addressing issues raised in previous audits or reviews; and continually consider which partners the agency could work with to more effectively and efficiently accomplish each objective.

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Date of Submission	1/12/2016
Fiscal Year for which information below pertains	2015-16

Instructions: Below is a template to **complete for each Objective** listed in the Strategy, Objectives and Responsibility Chart. It is recommended that the agency copy and paste the data in this tab into multiple other tabs, while it is still blank. The agency will then have a blank version to complete for each separate Objective. The agency needs to provide information in all the cells that are highlighted. Please save the information related to each Objective as a separate tab in the excel document. Label each Tab, "O__" and insert the applicable numbers in the blanks (For example "O1.1.1"). NOTE: Call House Staff if the agency has any questions or needs any assistance in completing the information below.

Strategic Plan Context		
# and description of Goal the Objective is helping accomplish:	Goal 1 - Audits To provide audits of up to 10 percent of approximately 20,000 forms filed with the State Ethics Commission annually. This would include reviewing all Statement of Economic Interests, Campaign Disclosure Forms, Lobbyists and Lobbyist's Principal Registrations and Disclosure Statements for violations of the Ethics Act, discrepancies in figures, personal expenditures, questionable expenditures, excess contributions, etc.	Copy and paste this from the second column of the Mission, Vision and Goals Chart
Legal responsibilities satisfied by Goal:	Title 2, Chapter 17 Title 8, Chapter 13	Copy and paste this from the first column of the Mission, Vision and Goals Chart
# and description of Strategy the Objective is under:	Strategy 1.1 - Hire FTE's to fulfill this goal	Copy and paste this from the second column of the Strategy, Objectives and Responsibility Chart
Objective		
Objective # and Description:	Objective 1.1.1 - Obtain funding to fulfill this goal.	Copy and paste this from the second column of the Strategy, Objectives and Responsibility Chart
Legal responsibilities satisfied by Objective:	Title 2, Chapter 17 Title 8, Chapter 13	Copy and paste this from the first column of the Strategy, Objectives and Responsibility Chart
Public Benefit/Intended Outcome:	Transparency from all individuals and agencies under the jurisdiction of the State Ethics Commission.	Copy and paste this from the fourth column of the Strategy, Objectives and Responsibility Chart
Agency Programs Associated with Objective		
Program Names:	Administration	Enter all the agency programs which are helping accomplish this objective. The agency can determine this by sorting the Associated Programs Chart by the "Objective the Program Helps Accomplish" column
Responsible Person		
Name:	Ami R. Franklin	Copy and paste this information from the fifth column of the Strategy, Objectives and Responsibility Chart
Number of Months Responsible:	4	
Position:	Assistant Director, Administration	
Office Address:	5000 Thurmond Mall, Suite 250, Columbia, SC 29201	
Department or Division:	Administration	
Department or Division Summary:	Due to the size of the agency, Administration encompasses all functions of the agency.	
Amount Budgeted and Spent To Accomplish Objective		
Total Budgeted for this fiscal year:	$0	Copy and paste this information from the Strategic Budgeting Chart
Total Actually Spent:	*Agency will provide next year*	

PERFORMANCE MEASURES

Objective Details

Instructions : Please copy and paste the chart and questions below as many times as needed so the agency can provide this information for each Performance Measure that applies to this objective.
1) In the cell next to, "Performance Measure," enter the performance measure just like the agency did in the accountability report.
2) In the cell next to, "Type of Measure," pick the type of measure that best fits the performance measure from the drop down box (see Types of Performance Measures explained below).
3) In the next set of cells enter the actual and target results for each year. Next to "Actual Results," enter the actual value the agency had for that performance measure at the end of that year. Next to "Target Results," enter the target value the agency wanted to reach for the performance measure for that year. Next to "Minimum acceptable level," enter the minimum level for this performance measure that the agency would find acceptable. Including a minimum acceptable level and target level will hopefully encourage the agency to continually set challenging targets each year. If the agency did not utilize a particular performance measure during certain years, then enter the following next to the applicable "Actual Results" and "Target Results," - "Agency did not use PM during this year."
4) In the last set of cells, answer the questions to provide Details about each measure. In the cell next to, "Is agency required to keep track of this by the state or federal government," pick State from the drop down menu if an entity in state government requires the agency to track this information, Federal if an entity in the federal government requires the agency to track this information, or Only Agency Selected if there is no state or federal entity that requires the agency to track this information and the agency selected it.
Types of Performance Measures:
Outcome Measure - A quantifiable indicator of the public and customer benefits from an agency's actions. Outcome measures are used to assess an agency's effectiveness in serving its key customers and in achieving its mission, goals and objectives. They are also used to direct resources to strategies with the greatest effect on the most valued outcomes. Outcome measures should be the first priority. Example - % of licensees with no violations.
Efficiency Measure - A quantifiable indicator of productivity expressed in unit costs, units of time, or other ratio-based units. Efficiency measures are used to assess the cost-efficiency, productivity, and timeliness of agency operations. Efficiency measures measure the efficient use of available resources and should be the second priority. Example - cost per inspection
Output Measure - A quantifiable indicator of the number of goods or services an agency produces. Output measures are used to assess workload and the agency's efforts to address demands. Output measures measure workload and efforts and should be the third priority. Example - # of business license applications processed.
Input/Explanatory/Activity Measure - Resources that contribute to the production and delivery of a service. Inputs are "what we use to do the work." They measure the factors or requests received that explain performance (i.e. explanatory). These measures should be the last priority. Example - # of license applications received

How the Agency Is Measuring Its Performance

Objective Number and Description	Objective 1.1.1 - Obtain funding to fulfill this goal	
Performance Measure:	To obtain 100% funding for the positions requested to fulfill this goal in the FY17 budget request.	
Type of Measure:	Outcome	
Results		
2013-14 Actual Results (as of 6/30/14):	n/a	
2014-15 Target Results:	n/a	
2014-15 Actual Results (as of 6/30/15):	n/a	
2015-16 Minimum Acceptable Results:	n/a	
2015-16 Target Results:	n/a	
Details		
Does the state or federal government require the agency to track this? (provide any additional explanation needed, two cells over)	Only Agency Selected	**Insert any further explanation, if needed**
What are the names and titles of the individuals who chose this as a performance measure?	Herbert R. Hayden, Jr., Executive Director Ami R. Franklin, Assistant Director, Administration	
Why was this performance measure chosen?	Auditing of forms is something that will help to ensure compliance and help to restore public trust with regard to elected officials.	
If the target value was not reached in 2014-15, what changes were made to try and ensure it was reached?	This is a new objective.	
What are the names and titles of the individuals who chose the target value for 2015-16?	Herbert R. Hayden, Jr., Executive Director Ami R. Franklin, Assistant Director, Administration	
What was considered when determining the level to set the target value in 2015-16 and why was the decision finally made on setting it at the level at which it was set?	n/a	
Based on the performance so far in 2015-16, does it appear the agency is going to reach the target for 2015-16?	n/a	
If the answer to the question above is "questionable" or "no," what changes are being made to try and ensure it is reached or what resources are being diverted to ensure performance measures more likely to be reached, are reached?	Funding was requested in the FY16 budget request; however, it was not funded. Funding has been requested again in the FY17 budget request.	

POTENTIAL NEGATIVE IMPACT
Instructions : Please list what the agency considers the most potential negative impact to the public that may occur as a result of the agency not accomplishing this objective. Next to, "Most Potential Negative Impact," enter the most potential negative impact to the public that may occur as a result of the agency not accomplishing the objective. Next to, "Level Requires Outside Help," enter the level at which the agency believes it needs outside help. Next to, "Outside Help to Request," enter the entities to whom the agency would reach out if the potential negative impact rises to that level. Next to, "Level Requires Inform General Assembly," enter the level at which the agency thinks the General Assembly should be put on notice of the level at which the potential negative impact has risen. Next to, "3 General Assembly Options," enter three options for what the General Assembly could do to help resolve the issue before it became a crisis. The House Legislative Oversight Committee will provide this information to all other House standing committees, but will not address it itself until the agency is under study.

Most Potential Negative Impact	Continued distrust of government and public officials.
Level Requires Outside Help	No
Outside Help to Request	N/A
Level Requires Inform General Assembly	N/A

Objective Details

3 General Assembly Options	Funding of the positions requested; statutory changes to the Ethics Act that the Commission recommends to streamline outdated language

REVIEWS/AUDITS

Instructions: Below please list all external or internal reviews, audits, investigations or studies ("Reviews") of the agency which occurred during the past fiscal year that relates/impacts this objective. Please remember to maintain an electronic copy of each Review and any other information generated by the entity performing the Review as copies may be requested when the agency is under study. NOTE: Responses are not limited to the number of rows below that have borders around them, please insert as many rows as needed.

Matter(s) or Issue(s) Under Review	Reason Review was Initiated (outside request, internal policy, etc.)	Entity Performing the Review and Whether Reviewing Entity External or Internal	Date Review Began (MM/DD/YYYY) and Date Review Ended (MM/DD/YYYY)
N/A			

PARTNERS

Instructions: Under the column labeled, "Current Partner Entities" list all entities the agency is currently working with that help the agency accomplish this objective. Under the "Ways Agency works with Current Partners," enter the ways the agency works with the entity (names of projects, initiatives, etc.) which helps the agency accomplish this objective. List only one partner per row and insert as many rows as necessary to list all of the partners. Note, if there is a large list of partners that all fit within a certain group, the agency can list the group instead of each partner individually. For example, if the agency works with every middle school in the state, the agency can list SC Middle Schools, instead of listing each middle school separately. As another example, if the agency works with every high school in Lexington county, the agency can list Lexington County High Schools, instead of listing each high school in the county separately.

Current Partner Entity	Ways Agency Works with Current Partner	Is the Partner a State/Local Government Entity; College, University; or Other Business, Association, or Individual?
N/A		

Reporting Requirements

Agency Responding	State Ethics Commission
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Instructions :
List all reports, if any, the agency is required to submit to a state, federal or outside entity on a regular basis. Insert the name of each report in a separate column and answer the questions below it. Add as many columns as needed.
PLEASE NOTE: All information the agency provides in the rows below the row labeled, "Date the Report was last submitted," should apply to when the agency most recently submitted the report (i.e. date report was last submitted).

	Agency Responding	State Ethics Commission	State Ethics Commission
	Report #	1	2
	Report Name:	Restructuring Report	Accountability Report
	Why Report Is Required		
	Legislative entity requesting the agency complete the report:	House Legislative Oversight Committee	Executive Budget Office
	Law which requires the report:	Section 1-30-10(G)	
	Agency's understanding of the intent of the report:	To reduce the repetitive reporting of information	§1-1-820 Proviso 117.31
	Year agency was first required to complete the report:	FY2015	Approximately 2003
	Reporting frequency (i.e. annually, quarterly, monthly):	annually	annually
	Information on Most Recently Submitted Report		
Information in all these rows should be for when the agency completed the report most recently	Date Report was last submitted:	1/12/2016	9/8/2015
	Timing of the Report		
	Month Report Template is Received by Agency:	November	June
	Month Agency is Required to Submit the Report:	January	September
	Where Report is Available & Positive Results		
	To whom the agency provides the completed report:	HCommLegOv@schouse.gov	Kim Gibson, Executive Budget Office Kimberly.Gibson@admin.sc.gov
	Website on which the report is available:	http://www.scstatehouse.gov	http://www.admin.sc.gov/budget
	If it is not online, how can someone obtain a copy of it:		
	Positive results agency has seen from completing the report:		

Restructuring Recommendations and Feedback

Agency Responding	State Ethics Commission
Date of Submission	1/12/2016
Fiscal Year for which information below pertains	2015-16

RESTRUCTURING RECOMMENDATIONS

Instructions: Please answer the questions below and add as many rows as needed.

Does the agency have any recommendations, minor or major, for restructuring?	No

If the agency has recommendations for restructuring, list each one on a separate row in the chart below. Add as many rows as needed.

Does the agency recommendation require legislative action?	Recommendation for restructuring
No	

FEEDBACK (Optional)

Instructions: Please answer the questions below to provide feedback on this Annual Restructuring Report ("Report").

Please list 1-3 benefits the agency sees in the public having access to the information requested in the Report, in the format it was requested.	Please list 1-3 benefits to agency management and employees in having all of this information available in one document.	Now that the agency has completed the Report, please list 1-3 things the agency could do differently next year (or it could advise other agencies to do) to complete the Report in less time and at a lower cost to the agency.
1	1	1
2	2	2
3	3	3

Does the agency believe this year's Restructuring Report was less burdensome than last year's?	Please list 1-3 changes to the Report questions, format, etc. the agency recommends to ensure the Report provides the best information to the public and General Assembly, in the least burdensome way to the agency.	Please add any other feedback the agency would like to provide (add as many additional rows as necessary)
	1	Provide examples of what the committee is looking for in the report.
Why or why not?	2	
	3	

Agencies are not required to do anything in this worksheet. This worksheet is part of the document so the proper drop down menues can be available in the other tabs.

Is Performance Measure Required?
State
Federal
Only Agency Selected

Type of Performance Measure
Outcome
Efficiency
Output
Input/Explanatory/Activity

Is the Partner a State/Local Government Entity; College, University; or Other Business, Association, or Individual?

State/Local Government Entity
College/University
Business, Association or Individual

Does the Agency have any restructuring recommendations
Yes
No

Does the agency believe this year's Restructuring Report was less burdensome than last year's?
Yes
No