

**STATE OF LOUISIANA**

**OFFICE OF  
STATE INSPECTOR GENERAL**



**Strategic Plan**

**Fiscal Year 2020 - 2021**

**Through**

**Fiscal Year 2024 - 2025**

**Date Submitted: July 1, 2019**

## Introduction

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The Louisiana Office of State Inspector General (OIG) was first created in 1988 by Executive Order of then Governor Charles “Buddy” Roemer. The office was given a general mission to detect and prevent fraud waste and abuse, but had very little independence and no statutory authority to carry out that mission. The office operated under these fundamental constraints until 2008, when the Louisiana Legislature enacted La. R.S. 49:220.21-220.25. This enabling legislation made OIG permanent, established it as a law enforcement agency, and gave it a statutory mission to investigate fraud and public corruption. This enabling legislation also established independence measures and safeguards to prevent political abuse.

Prior to 2008, OIG’s main focus was internal audit, and its staff had mostly audit and accounting background. Since that time, OIG has transitioned into a law enforcement agency with a primary mission to investigate white collar criminal fraud and public corruption cases. Rather than mainly generating public reports, the OIG is now focused on securing criminal public corruption indictments and convictions. OIG has 11 POST Certified Criminal Investigators on staff. All are seasoned law enforcement veterans, and both the Inspector General and OIG General Counsel are experienced lawyers with criminal prosecution background. OIG also has 2 forensic auditors whose main responsibility is to support criminal public corruption investigations involving financial fraud. OIG maintains excellent working relationships with state and federal law enforcement partners, serves on Public Corruption task forces, and works closely with United States Attorneys in all three Louisiana federal districts as well as Louisiana District Attorneys in state district court.

OIG has statewide jurisdiction. For the past several years, OIG has engaged in statewide regionalization efforts through formal partnerships with the Federal Bureau of Investigation and a parish District Attorney. These partnerships provide office space to our investigators in different areas of the state at no charge. In spite of recurring budget issues that have threatened OIG manpower, we are using the resources we have to continue working significant criminal investigations in every area of the state with improved response time, and significant savings of field travel expenses.

In drafting its enabling statutes, the OIG consulted with members of the national Association of Inspectors General and reviewed examples of enabling statutes and model legislation from other jurisdictions. This same information, and the OIG's new enabling statutes were assessed and utilized in the development of this Strategic Plan. In addition, the OIG's existing strategic plan was assessed and utilized in the development of this Strategic Plan.

During the development of this plan, our staff reviewed the OIG's vision and mission and revised them where needed. We established goals and objectives, and analyzed the OIG's performance indicators using the Louisiana Performance Accountability System.

## Office of State Inspector General Strategic Plan Fiscal Years 2020 – 2021 through 2024 - 2025

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**Vision:** To promote a high level of integrity in state government by conducting professional, fair and unbiased criminal fraud and public corruption investigations, and, whenever possible, holding those who violate the public trust accountable under federal and state criminal laws.

**Mission:** The statutory mission of OIG is to investigate, detect, and prevent fraud, corruption, waste, inefficiencies, mismanagement, misconduct, and abuse in the agencies comprising the executive branch of state government, referred to collectively as "covered agencies." This also extends by law to contractors, subcontractors, grantees, and sub-grantees of covered agencies. OIG is also authorized by law to conduct joint investigations with other law enforcement and oversight agencies.

**Philosophy:** First and foremost, OIG is in the business of conducting thorough, professional, fair and unbiased investigations with the goal of getting to the truth, whatever it may be, without regard to partisan politics, allegiances, status or influence. This is critical to maintain the trust of both the public and people of all political persuasions.

OIG has determined that the most effective way to ensure integrity in government is to hold those who violate the public trust criminally accountable whenever the evidence can satisfy criminal burdens of proof. It has been our experience that when a public official or employee is convicted of one or more felony criminal offenses and incarcerated, the deterrent effect upon corruption is far greater than that achieved from public reports alone. We have also found that other desired outcomes, such as improved internal controls and safeguards designed to better prevent and detect criminal fraud and corruption, are often achieved more quickly and with greater public support in the wake of successful criminal prosecutions. In those cases where criminal burdens of proof cannot be met, OIG maintains a wide range of options that include the issuing of public reports, making recommendations to help eliminate waste, improving internal controls, providing training and education and reviewing public integrity legislation.

## Overall Goals of the Agency

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- I. To provide the Governor, state officials and employees, and the general public with an independent law enforcement body that will investigate fraud and public corruption cases, work with federal and state prosecutors to obtain criminal indictments and convictions whenever criminal burdens of proof can be met, and make recommendations with respect to the prevention and detection of fraud, corruption, waste, inefficiencies, mismanagement, misconduct, and abuse in state government.
- II. To increase public confidence and trust in state government by providing the general public with a means to report concerns and have those concerns investigated, as authorized by La. R.S. 49:220.21-220.25.

## Uniqueness in State Government

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The designation of OIG as a law enforcement agency with a statutory mission to root out fraud and corruption in the executive branch of government has provided us with a unique role in state government. OIG is the only independent *non-political* law enforcement agency in state government with a sole mission to investigate and prevent fraud, corruption and waste. This key fact separates the Inspector General from every other elected official, or any at-will appointed official that reports to an elected official. In addition, there are statutory safeguards to both ensure independence and prevent political abuse. These include:

- The Inspector General is prohibited by law from qualifying to run for elected office for a period of four years after leaving the Inspector General's office. This gives the public confidence that the powers and investigative activities of the office are not used to support future political ambition.
- The Inspector General has a six year term that overlaps the four year term of the Governor to insure independence.
- The Inspector General cannot be removed by the Governor without majority approval of both the House and Senate.
- The salary of the Inspector General shall not be reduced by the Governor during his term.

OIG is set up this way to pursue the sensitive and difficult cases that most other public officials seek to avoid, especially and including those who have to run for re-election. *No other investigative agency in state government is set up this way.* OIG has no allegiances to anyone except Louisiana citizens and taxpayers.

As a law enforcement agency, the Inspector General is statutorily authorized to access confidential criminal databases maintained by the FBI and State Police, can obtain and execute criminal search warrants, and apply for and serve criminal investigative subpoenas. In addition, OIG Criminal Investigators, as well as the Inspector General, are trained and certified under Peace Officer Standards and Training (POST) to carry and use firearms, and have received Special Officer Commissions from the Louisiana State Police. Further, the Inspector General regularly provides training and education on the prevention and detection of fraud, corruption, waste and abuse. The establishment of a statutorily independent law enforcement agency within the Office of the Governor, staffed with seasoned law enforcement personnel is unprecedented in Louisiana and by its very nature serves as a tool for achieving a more effective government.

## Office of State Inspector General Program

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The Office of State Inspector General has only one program and programmatic activity that includes the following functions:

**Administration:** This management function supports the investigation, and prevention functions and ensures the goals of the office are accomplished with resources appropriated through the budget process. The administrative duties are performed by the Inspector General and Administrative Assistant.

**Investigations:** Criminal investigations are initiated from a variety of sources, including but not limited to referrals from other agencies, complaints from members of the general public, OIG self-initiated cases, and criminal intelligence sharing with law enforcement partners. These investigations focus on criminal fraud and public corruption allegations. These functions advance the state outcome goal of Transparent, Accountable, and Effective Government by identifying misspent and misappropriated funds and those parties responsible, as well as by identifying areas to improve the effectiveness and efficiency of covered agencies. These functions also identify internal control deficiencies in covered agencies and make recommendations for recovery and improvement that will prevent and mitigate the risk of potential future losses. These functions promote a high level of integrity, efficiency, effectiveness, and economy in the operation of state government and increase the citizens' confidence and trust in state government.

**Prevention:** This function includes work performed by the Inspector General and General Counsel. The Inspector General trains and educates others in state government and the general public by frequently serving as an instructor at professional conferences and training on different techniques for investigation, prosecution, detection and

prevention of fraud and public corruption. He also speaks to civic groups and makes radio and television appearances to increase public awareness of the Office of State Inspector General's mission. The Inspector General and General Counsel review proposed and existing legislation, rules, regulations, policies, procedures, and transactions to ensure that these do not inadvertently promote fraud, corruption, waste, inefficiencies, mismanagement, misconduct, and abuse in the executive branch of state government and make recommendations to the Governor and the legislature where needed. By identifying internal control deficiencies in covered agencies and recommending ways to improve the effectiveness and efficiency of covered agencies, the Inspector General helps prevent and mitigate the risk of future losses.

Being that the Office of State Inspector General has only one program and programmatic activity, its program's mission and goals are the same as the overall agency's mission and goals.

**Program Mission:** The statutory mission of OIG is to investigate, detect, and prevent fraud, corruption, waste, inefficiencies, mismanagement, misconduct, and abuse in the agencies comprising the executive branch of state government, referred to collectively as "covered agencies." This also extends by law to contractors, subcontractors, grantees, and sub-grantees of covered agencies. OIG is also authorized by law to conduct joint investigations with other law enforcement and oversight agencies.

**Principal Clients:** The Governor, state officials and employees, and the general public are the principal clients of the OIG.

The OIG receives complaints and referrals from its clients, which are promptly screened to determine whether the OIG has jurisdiction and whether sufficient information was provided to warrant opening an investigation.

Investigations with evidence that satisfies criminal burdens of proof result in referrals to criminal prosecutors at the federal and/or state level. OIG prepares a detailed prosecution package and OIG case agents testify as witnesses before grand juries, criminal trial juries, and judges in support of those criminal prosecutions. OIG case agents also provide trial support to the prosecutors handling those cases. Investigations with unsubstantiated allegations may result in a closure letter to management that includes recommendations for improvement of operations. Investigations with significant findings of fraud, corruption, waste, inefficiencies, mismanagement, misconduct, and abuse that do not result in criminal prosecution may result in our issuing a written report to the Governor, which is considered a public record upon the Inspector General's signature. The written reports are also sent to management. They provide recommendations for corrective action and recovery of funds.

## Program Goals:

**Goal I:** To provide the Governor, state officials and employees, and the general public with an independent law enforcement body that will investigate fraud and public corruption cases, work with federal and state prosecutors to obtain criminal indictments and convictions whenever criminal burdens of proof can be met, and make recommendations with respect to the prevention and detection of fraud, corruption, waste, inefficiencies, mismanagement, misconduct, and abuse in state government.

**Goal II:** To increase public confidence and trust in state government by providing the general public with a means to report concerns and have those concerns investigated as authorized by La. R.S. 49:220.21-220.25.

## Program Activity: Administration, Investigation and Prevention

**Objective I.1:** To investigate, detect, and prevent fraud, waste, corruption, misconduct, abuse, waste, inefficiencies, and mismanagement in the executive branch of state government, including contractors, grantees, and subcontractors. **(Strategic Link to State Outcome Goal 9 - Transparent, Accountable, and Effective Government)**

**Strategy I.1.1:** Conduct independent criminal investigations and partner with prosecutors to obtain indictments and convictions whenever criminal burdens of proof can be met.

**Strategy I.1.2:** In keeping with La. R.S. 49:220.24 (J, K, and L), examine all complaints for evidence of violations of Louisiana and federal criminal statutes, and determine whether such evidence warrants additional involvement by appropriate federal, state, or local agencies.

**Strategy I.1.3:** Assist state government officials in the performance of their duties by identifying internal control deficiencies and making recommendations for recovery and improvement that will prevent or mitigate the risk of potential future losses.

**Strategy I.1.4:** When the facts warrant, determine whether administrative or disciplinary action is appropriate, and make further recommendations as needed.

**Strategy I.1.5:** Engage in prevention activities, including, but not limited to, reviewing legislation, rules, regulations, policies, procedures, and transactions; providing for training and education; and making recommendations to the Governor and the legislature to strengthen public integrity laws.

**Principal Clients:** The Governor, state officials and employees, and the general public.

**External Factors:**

1. A change in State Inspector General.
2. A reduction in budget.
3. A reduction in personnel resulting in fewer staff-hours available for audits or investigations.
4. An increase in the complexity of cases resulting in an increase in staff-hours required to complete audits and investigations.
5. The ability to recruit and maintain a skilled workforce.

**Performance Indicators:**

Input	Number of investigations initiated (during the fiscal year).
Output	Number of investigations completed (during the fiscal year).
Input	Number of investigations currently active

**Objective II.1:** To document the receipt of complaints and how we intend to proceed within 30 days. **(Strategic Link to State Outcome Goal 9 - Transparent, Accountable, and Effective Government)**

**Strategy II.1.1:** Establish and maintain a toll-free fraud hotline and website for anonymous reporting complaints.

**Strategy II.1.2:** Receive complaints via mail, phone, fax, online complaint form, email, or walk-ins.

**Strategy II.1.3:** Screen complaints within 30 days of receipt to determine if within OIG jurisdiction and/or if sufficient information is provided to warrant an audit or investigation.

**Principal Clients:** The Governor, state officials and employees, and the general public

**External Factors:**

1. A change in State Inspector General.
2. A reduction in budget.
3. A reduction in personnel resulting in less staff-hours available for screening of complaints.
4. The ability to recruit and maintain a skilled workforce.
5. The volume of complaints to our office.

**Performance Indicators:**

Input	Total number of complaints received during the fiscal year.
Output	Total number of complaints with a determination of how we intend to proceed within 30 days of receipt during the fiscal year.
Efficiency	Percentage of complaints with a determination of how we intend to proceed within 30 days of receipt.

# APPENDIX

## Performance Indicator Documentation Sheet

<b>Office:</b>	Office of State Inspector General
<b>Program:</b>	Office of State Inspector General
<b>Activity:</b>	Administration, Investigations and Prevention
<b>Objective:</b>	To document the receipt of complaints and how we intend to proceed within 30 days.
<b>Indicator Name:</b>	Total number of complaints received during the fiscal year.
<b>Indicator LaPas Code:</b>	New

1.	<b>Type and Level:</b>	Input - General
2.	<b>Rationale:</b>	This indicator tracks the number of complaints received and is used to measure how efficient the OIG is in the screening process of complaints received.
3.	<b>Use:</b>	Will be used by the OIG to calculate the percentage of complaints with a determination of how we intend to proceed within 30 days of receipt.
4.	<b>Clarity:</b>	The indicator clearly identifies what is measured.
5.	<b>Validity, Reliability &amp; Accuracy:</b>	The data collected for this indicator comes directly from OIG's Case Management System which tracks all complaints received and whether opened as an investigation, referred elsewhere, or closed for lack of jurisdiction or insufficient information..
6.	<b>Data Source, Collection, and Reporting:</b>	The data is continually collected and maintained in the OIG's Case Management System and reported annually in the Louisiana Performance Accountability System.
7.	<b>Calculation Methodology:</b>	The total number of complaints received during the fiscal year.
8.	<b>Scope:</b>	Aggregate
9.	<b>Caveats:</b>	This indicator is limited by external factors such as a reduction in budget, personnel resulting in less staff-hours available for complaint processing, an increase or decrease in the number of complaints received, and the ability to recruit and maintain a skilled workforce.
10.	<b>Responsible Person:</b>	Joe Lotwick, OIG General Counsel

## Performance Indicator Documentation Sheet

<b>Office:</b>	Office of State Inspector General
<b>Program:</b>	Office of State Inspector General
<b>Activity:</b>	Administration, Investigations and Prevention
<b>Objective:</b>	To document the receipt of complaints and how we intend to proceed within 30 days.
<b>Indicator Name:</b>	Total number of complaints with a determination of how we intend to proceed within 30 days of receipt during the fiscal year.
<b>Indicator LaPas Code:</b>	New

1.	<b>Type and Level:</b>	Output - General
2.	<b>Rationale:</b>	This indicator tracks the number of complaints screened within 30 days of receipt and is used to measure how efficiently the OIG screens complaints.
3.	<b>Use:</b>	Will be used by the OIG to calculate the percentage of complaints with a determination of how we intend to proceed within 30 days of receipt.
4.	<b>Clarity:</b>	The indicator clearly identifies what is measured.
5.	<b>Validity, Reliability &amp; Accuracy:</b>	The data collected for this indicator comes directly from OIG's Case Management System, which tracks all complaints received and whether opened as an investigation, referred elsewhere, or closed for lack of jurisdiction or insufficient information.
6.	<b>Data Source, Collection, and Reporting:</b>	The data is continually collected and maintained in the OIG's Case Management System and reported annually in the Louisiana Performance Accountability System.
7.	<b>Calculation Methodology:</b>	The total number of complaints received during the fiscal year that have been completely screened within 30 days of receipt during the fiscal year.
8.	<b>Scope:</b>	Aggregate
9.	<b>Caveats:</b>	This indicator is limited by external factors such as a reduction in budget, personnel resulting in less staff-hours available for complaint processing, an increase or decrease in the number of complaints received, and the ability to recruit and maintain a skilled workforce.
10.	<b>Responsible Person:</b>	Joe Lotwick, OIG General Counsel

## Performance Indicator Documentation Sheet

<b>Office:</b>	Office of State Inspector General
<b>Program:</b>	Office of State Inspector General
<b>Activity:</b>	Administration, Investigations and Prevention
<b>Objective:</b>	To document the receipt of complaints and how we intend to proceed within 30 days.
<b>Indicator Name:</b>	Percentage of complaints with a determination of how we intend to proceed within 30 days of receipt.
<b>Indicator LaPas Code:</b>	New

1.	<b>Type and Level:</b>	Efficiency - Key
2.	<b>Rationale:</b>	This indicator measures how efficient the OIG is in its screening of complaints.
3.	<b>Use:</b>	Will be used by the OIG to determine whether the complaint screening process needs revision or additional staffing.
4.	<b>Clarity:</b>	The indicator clearly identifies what is measured.
5.	<b>Validity, Reliability &amp; Accuracy:</b>	The data collected for this indicator comes directly from OIG's Case Management System, which tracks all complaints received and whether opened as a case, referred elsewhere, or closed for lack of jurisdiction or insufficient information.
6.	<b>Data Source, Collection, and Reporting:</b>	The data is continually collected and maintained in the OIG's Case Management System and reported quarterly in the Louisiana Performance Accountability System.
7.	<b>Calculation Methodology:</b>	The total number of complaints in a fiscal year that are screened within 30 days of receipt, divided by the total number of complaints received during the fiscal year.
8.	<b>Scope:</b>	Aggregate
9.	<b>Caveats:</b>	This indicator is limited by external factors such as a reduction in budget, personnel resulting in less staff-hours available for complaint processing, an increase or decrease in the number of complaints received, and the ability to recruit and maintain a skilled workforce.
10.	<b>Responsible Person:</b>	Joe Lotwick, OIG General Counsel

## Performance Indicator Documentation Sheet

<b>Office:</b>	Office of State Inspector General
<b>Program:</b>	Office of State Inspector General
<b>Activity:</b>	Administration, Investigations and Prevention
<b>Objective:</b>	To investigate, detect, and prevent fraud, waste, corruption, misconduct, abuse, waste, inefficiencies, and mismanagement in the executive branch of state government, including contractors, grantees, and subs.
<b>Indicator Name:</b>	Number of investigations initiated
<b>Indicator LaPas Code:</b>	New

1.	<b>Type and Level:</b>	Input - General
2.	<b>Rationale:</b>	This indicator measures the total number of cases opened during the fiscal year and is an indication of the case workload.
3.	<b>Use:</b>	Will be used by the OIG for comparison to pending cases and determination of staffing needs.
4.	<b>Clarity:</b>	The indicator measures total cases opened during the fiscal year.
5.	<b>Validity, Reliability &amp; Accuracy:</b>	The data collected for this indicator comes directly from OIG's Case Management System, which tracks all investigations opened and the essential milestones within the investigation.
6.	<b>Data Source, Collection, and Reporting:</b>	The data is continually collected and maintained in the OIG's Case Management System and reported annually in the Louisiana Performance Accountability System.
7.	<b>Calculation Methodology:</b>	The total number of investigations opened during the fiscal year.
8.	<b>Scope:</b>	Aggregate
9.	<b>Caveats:</b>	This indicator is limited by external factors such as a reduction in budget, personnel resulting in less staff-hours available for audits or investigations, an increase in the complexity of cases resulting in an increase in staff-hours required to complete audits and investigations, and the ability to recruit and maintain a skilled workforce.
10.	<b>Responsible Person:</b>	Joe Lotwick, OIG General Counsel

## Performance Indicator Documentation Sheet

<b>Office:</b>	Office of State Inspector General
<b>Program:</b>	Office of State Inspector General
<b>Activity:</b>	Administration, Investigations and Prevention
<b>Objective:</b>	To investigate, detect, and prevent fraud, waste, corruption, misconduct, abuse, waste, inefficiencies, and mismanagement in the executive branch of state government, including contractors, grantees, and subs.
<b>Indicator Name:</b>	Number of investigations completed
<b>Indicator LaPas Code:</b>	New

1.	<b>Type and Level:</b>	Output - General
2.	<b>Rationale:</b>	This indicator measures the total number of cases closed during the fiscal year and is an indication of the complexity of the case workload.
3.	<b>Use:</b>	Will be used by the OIG for determination of staffing needs.
4.	<b>Clarity:</b>	The indicator measures total cases closed during the fiscal year.
5.	<b>Validity, Reliability &amp; Accuracy:</b>	The data collected for this indicator comes directly from OIG's Case Management System, which tracks all investigations opened and the essential milestones within the investigation.
6.	<b>Data Source, Collection, and Reporting:</b>	The data is continually collected and maintained in the OIG's Case Management System and reported annually in the Louisiana Performance Accountability System.
7.	<b>Calculation Methodology:</b>	The total number of investigations closed during the fiscal year.
8.	<b>Scope:</b>	Aggregate
9.	<b>Caveats:</b>	This indicator is limited by external factors such as a reduction in budget, personnel resulting in less staff-hours available for audits or investigations, an increase in the complexity of cases resulting in an increase in staff-hours required to complete audits and investigations, and the ability to recruit and maintain a skilled workforce.
10.	<b>Responsible Person:</b>	Joe Lotwick, OIG General Counsel

## Performance Indicator Documentation Sheet

<b>Office:</b>	Office of State Inspector General
<b>Program:</b>	Office of State Inspector General
<b>Activity:</b>	Administration, Investigations and Prevention
<b>Objective:</b>	To investigate, detect, and prevent fraud, waste, corruption, misconduct, abuse, waste, inefficiencies, and mismanagement in the executive branch of state government, including contractors, grantees, and subs.
<b>Indicator Name:</b>	Number of Investigations currently active
<b>Indicator LaPas Code:</b>	New

1.	<b>Type and Level:</b>	Input - General
2.	<b>Rationale:</b>	This indicator measures the number of cases open at any point during the fiscal year and is an indication of the case workload.
3.	<b>Use:</b>	Will be used by the OIG for comparison to pending cases and determination of staffing needs.
4.	<b>Clarity:</b>	The indicator clearly identifies what is measured.
5.	<b>Validity, Reliability &amp; Accuracy:</b>	The data collected for this indicator comes directly from OIG's Case Management System which track all investigations opened and the essential milestones within the investigation.
6.	<b>Data Source, Collection, and Reporting:</b>	The data is continually collected and maintained in the OIG's Case Management System and reported annually in the Louisiana Performance Accountability System.
7.	<b>Calculation Methodology:</b>	The total number of investigations currently open.
8.	<b>Scope:</b>	Aggregate
9.	<b>Caveats:</b>	This indicator is limited by external factors such as a reduction in budget, personnel resulting in less staff-hours available for audits or investigations, an increase in the complexity of cases resulting in an increase in staff-hours required to complete audits and investigations, and the ability to recruit and maintain a skilled workforce.
10.	<b>Responsible Person:</b>	Joe Lotwick, OIG General Counsel