



INVESTIGATIVE REPORT

Lori Torres, Inspector General

OFFICE: INDIANA OFFICE OF INSPECTOR GENERAL
TITLE: 2019 FINANCIAL DISCLOSURE STATEMENT FILING REPORT
CASE ID: 2020-04-0096
DATE: April 13, 2020

The Inspector General's State Ethics Director, Jennifer Cooper, reports as follows:

Ind. Code § 4-2-6-8 (b)(1) requires Indiana state officers, state employees and special state appointees to file an annual financial disclosure statement with the Indiana Office of Inspector General (OIG) no later than February 1 of every year, if these individuals meet certain criteria enumerated in Ind. Code § 4-2-6-8(a).

This report provides an overview of the OIG's efforts to ensure that all individuals required to file an annual financial disclosure statement for calendar year 2019 met this requirement by the February 1, 2020 filing deadline.

Filing Requirements

Ind. Code § 4-2-6-8(a) requires the following persons to file a written financial disclosure statement: (1) The governor, lieutenant governor, secretary of state, auditor of state, treasurer of state, attorney general, and state superintendent of public instruction; (2) Any candidate for one (1) of the offices in subdivision (1) who is not the holder of one (1) of those offices; (3) Any person who is the appointing authority of an agency; (4) The director of each division of the

department of administration; (5) Any purchasing agent within the procurement division of the department of administration; (6) Any agency employee, special state appointee, former agency employee, or former special state appointee with final purchasing authority; (7) The chief investment officer employed by the Indiana public retirement system; (8) Any employee of the Indiana public retirement system whose duties include the recommendation, selection, and management of:

(A) the investments of the funds administered by the Indiana public retirement system;

(B) the investment options offered in the annuity savings accounts in the public employees' retirement fund and the Indiana state teachers' retirement fund;

(C) the investment options offered in the legislators' defined contribution plan; or

(D) investment managers, investment advisors, and other investment service providers of the Indiana public retirement system; or

(9) An employee required to do so by rule adopted by the inspector general.

The statute requires all of these individuals to file an annual financial disclosure statement with the OIG no later than February 1. The OIG provides notice and instructions for filing to all of these individuals.

Summary of the Collection Process

In December of 2019, the Indiana Department of Administration (IDOA) provided the OIG with a list, including names and email addresses, of all state employees and special state appointees who had final purchasing authority for their agency or had a state credit card issued in their name. IDOA also provided a list of all procurement agents within the procurement division of IDOA and the directors of each division within IDOA. The Ethics Officer for the Indiana Public Retirement System (INPRS) provided a list of all INPRS individuals who met the criteria in Ind. Code § 4-2-

6-8(a)(7) and Ind. Code § 4-2-6-8(a)(8). The State Ethics Director updated the OIG's list of the current agency appointing authorities.

The OIG's Legal Assistant compiled a master list of all of the required filers, including the seven elected state officers, and the State Ethics Director uploaded the names into the OIG's disclosure management system.

Starting on January 5, 2020, the State Ethics Director sent individual emails to all of the required filers through a mail merge of the master list of required filers. The email informed each recipient that the OIG had identified him or her as a required filer and that the deadline to submit the financial disclosure statement to the OIG was February 1, 2020. The financial disclosure statement was available as a digital online form on the OIG's website, or filers could print it and mail it to the OIG. The State Ethics Director sent reminder emails to all required filers on January 31, 2020.

OIG's Legal Assistant processed all of the digital and hardcopy filings submitted to the OIG and entered information into the disclosure management system so that the OIG could monitor compliance with the filing requirements. On February 3, 2020, the State Ethics Director ran reports in the disclosure management system to identify non-compliant required filers. The Legal Assistant and the State Ethics Director sent additional reminder emails to the state email addresses of all required filers and coordinated with the Human Resources Directors to identify any employees who were no longer employed by the State or who were on long term leave during the annual filing period.

As of March 5, 2020, all identified required filers had come into compliance and had filed their 2019 annual financial disclosure statement. In addition, candidates for state-wide offices filed financial disclosure statements with the OIG, and the OIG publicly posted those statements, along

with the disclosure statements of incumbent state-wide office holders on the OIG website [here](#).

Results

Between January 1, 2020 and March 5, 2020, the OIG received 1669 financial disclosure statements for the 2019 calendar year.

Dated: April 13, 2020

APPROVED BY:

A handwritten signature in black ink that reads "Lori Torres". The signature is written in a cursive style with a long horizontal stroke at the end.

Lori Torres, Inspector General