

Legislative Oversight Committee
South Carolina House of Representatives
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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: **SC Department of Insurance**
Date Report Submitted: **January 12, 2016**

Agency Head
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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	
<i>House Legislative Oversight</i>	
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	SC Department of Insurance
Date of Submission	January 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	1-1-110	State	Establishes the South Carolina Department of Insurance as a part of the Executive Department	Statute
2	1-23-10 et seq	State	Sets forth requirements for administrative agencies, rules, regulations and orders.	Statute
3	1-30-10	State	Names the agencies that are part of the executive branch of government	Statute
4	1-30-55	State	Transferred all rights and duties to the SCDOI as a part of the 1995 restructuring of state government	Statute
5	8-3-10	State	The oath of office must be taken before the person can assume the duties of the office	Statute
6	8-3-30	State	Provides the requirements for the bond for all public officials	Statute
7	8-13-10 et seq	State	Sets forth the ethical requirements for public officers and employees; it defines the appropriate conduct for public employees that regulate certain industries.	Statute
8	8-17-10 et seq		Sets forth the grievance procedures that must be followed by agencies for public employees; it defines those actions that are and are not grievable actions	Statute

Legal Standards

9	38-1-10	State	Establishes the South Carolina insurance law; SCDOL charged with responsibility of enforcing the insurance laws of the state	Statute
10	38-1-20	State	Insurance Definitions for Title 38	Statute
11	38-2-10	State	Establishes certain administrative penalties for violations of the insurance laws	Statute
12	38-3-40	State	Establishes the Department of Insurance and the position of Director of Insurance	Statute
13	38-3-40	State	Sets compensation parameters for the Director of Insurance	Statute
14	38-3-60	State	Sets the general authority for the Director of Insurance; Directors and designees must follow the general policies and broad objectives established by the General Assembly for the operation of the insurance industry	Statute
15	38-3-80	State	Provides for the Department seal	Statute
16	38-3-100	State	Director of insurance has no grievance rights; shall devote all time and energy to duties of his office and shall sever any and all ties with the insurance industry	Statute
17	38-3-110	State	Sets forth the duties of the Director of Insurance	Statute
18	38-3-120	State	Director must take an oath and secure a bond	Statute
19	38-3-130	State	Director may hire or appoint actuaries, examiners, clerks and other employees for the proper execution of the work of the Department	Statute
20	38-3-140	State	Violations are deemed to have been committed at the Office of the Director in Columbia	Statute
21	38-3-150	State	Provides general information about who may conduct investigations or hearings	Statute
22	38-3-160	State	Director, agents or assistants shall administer all required oaths	Statute
23	38-3-170	State	Provides the requirements for hearing notices	Statute
24	38-3-180	State	The Director or his assistants or agents appointed to conduct examinations may summon and compel the attendance of witnesses as a part of any insurance examination or investigation and to hold witnesses failing or refusing to answer in contempt. Director and agents may administer oaths and false testimony is considered perjury.	Statute
25	38-3-190	State	SCDOL may pay witnesses mileage	Statute
26	38-3-200	State	Orders must be written and signed by the director or his designee to be effective	Statute
27	38-3-210	State	Orders or decisions are subject to judicial review in accordance with the procedures of the Administrative Law Division	Statute
28	38-3-220	State	Documents executed by the director shall have upon them the state seal and copies of them shall have the same force and effect as the originals.	Statute
29	38-3-230	State	Any license issued with the Department seal is evidence that the licensee has the authority to do business in this state	Statute

Legal Standards

30	38-5-10 <i>et seq</i>	State	Sets forth the requirements for insurers to do business in the State of South Carolina including but not limited to appointment of the director as the attorney for service of process; requirements for issuance of a license including the qualifications of management; grounds for disciplinary action against insurers for violation of the insurance laws including fines, suspensions and revocations of the certificate of authority.	Statute
31	38-7-10 <i>et seq</i>	State	Sets forth the fees and taxes to be paid by licensees for the transaction of insurance business in this state and how those fees are to be distributed; it sets forth the premium tax companies are required to pay by line of insurance and the requirements for annual and quarterly premium tax returns; establishes penalties for the filing of fraudulent returns, keeping records or paying taxes when due; establishes requirements for retaliatory taxes, penalties and fees as well; insurers may pay taxes under protest; SC may bring an action for collection of taxes within 10 years; all taxes and fees must be deposited in the general fund unless otherwise noted. Licensees that fail to pay taxes with intent evade are guilty of a misdemeanor. Such violations are subject to fines, penalties and interest and possibly imprisonment. The director has the authority to waive penalties, but must make a record of the reasons for waiver. Insurers may be eligible for certain tax credits under Title 12, if applicable.	Statute
32	38-9-10 <i>et seq</i>	State	Sets forth capital and surplus requirements of stock and mutual insurers by line of insurance; director shall notify insurers of capital and surplus requirements; director has the discretion to increase capital and surplus above the statutory minimums based on business plans and line of coverage; the director may take regulatory action against insurers that have impaired capital and surplus or fail to meet the minimum requirements; director may hold deposits of insurers that transact business in other states; and set forth the requirements for securities for claims, voluntary deposits, RBC and reserves. The director may retain experts necessary to evaluate the financial condition of a company and those costs are to be borne by the insurer. Certain financial reports are given confidential treatment. The director and designees are given qualified immunity for actions related to RBC.	Statute
33	38-10-10 <i>et seq</i>	State	Sets forth the requirements for licensure of traditional protected cell companies not held by a captive insurance company; prescribes what protected cells are authorized to do and the attribution of assets and liabilities. Director may take regulatory action against a cell company that violates the provisions of the Code including fines, suspension, revocation, rehabilitation, liquidation or conservation.	Statute
34	38-12-10 <i>et seq</i>	State	Sets forth the requirements for investments and the standards and requirements for the board of directors; establishes certain restrictions for investments by line of insurance and company type. Director has the discretion to review and approve investments.	Statute

Legal Standards

35	38-13-10 <i>et seq</i>	State	Gives the director or designees the authority to conduct examinations of insurers and sets forth the procedure that should be followed for the audit and the reporting of findings. Director and designees are provided qualified immunity. Cost of examinations are borne by insurers. Director also has the authority to investigate complaints filed by citizens. The Director has the authority to impose penalties for violations of the insurance laws. The director or his designee has the authority to require financial reporting on a quarterly and annual basis. The Director can request various other reports including special reports. Director may impose penalties for insurers' failure to provide reports or other requested information. Director shall examine the insurance reserve fund every three years and the unemployment compensation fund every five years.	Statute
36	38-14-10 <i>et seq</i>	State	Sets requirements for the licensure and transaction of business by Special Purpose Reinsurance Vehicle Insurers. Director has the authority to take regulatory action against licensees for violations of the insurance laws.	Statute
37	38-15-10 <i>et seq</i>	State	Sets forth the requirements for licensure and transaction of business by surety Insurers. The Director or designee may take regulatory action against licensee for violations of the insurance laws. Director may require reciprocity to provide security deposits as required of other insurers doing business in SC in accordance with the requirements of Chapter 9	Statute
38	38-17-10 <i>et seq</i>	State	Sets forth the requirements for licensure and transaction of business by reciprocal Insurers. The Director or designee may take regulatory action against licensee for violations of the insurance laws.	Statute
39	38-19-10 <i>et seq</i>	State	Sets forth the requirements for licensure and transaction of business by mutual insurers. Also establishes requirements for proxies, meetings, membership and liability of members. Establishes the standards for liquidation, conversion or merger of a mutual insurer and rights of the members. The Director or designee may take regulatory action against licensee for violations of the insurance laws and is also given the authority to approve transactions related to the mutual's conduct of business in the state including proxies, mergers, acquisitions and other reorganizations of the mutual insurer.	Statute
40	38-21-10 <i>et seq</i>	State	Sets forth the standards for the director or his designee to approve a merger, acquisition or other acquisition of control. Defines the authority of insurers to organize or acquire subsidiaries as well as the requirements and conditions for such acquisitions. Also sets the standards for various filings including registration statements, Form A, disclaimers of control and Forms A through E filings. The Director has the authority to approve filings, acquisitions, seize securities, and seek injunction or criminal prosecution for violation of the chapter in addition to other regulatory action or penalties.	Statute

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41	38-23-50 et seq	State	The director has the power to make and promulgate regulations necessary for the execution of the functions vested in him by Sections 38-23-20 through 38-23-90 including, but without limitation, regulations pertaining to and governing the solicitation of proxies, including financial reporting in connection therewith, with respect to the capital stock or other equity securities of any domestic stock insurer; he may, for these purposes, classify domestic insurers, securities, and other persons or matters within his jurisdiction. No provision of Sections 38-23-40 to 38-23-60 imposing any liability applies to any act done or omitted in good faith in conforming with any regulation of the department, notwithstanding that the regulation may, after the act or omission, be amended, rescinded, or determined by judicial or other authority to be invalid for any reason.	Statute
42	38-25-10 et seq	State	This chapter defines the unauthorized Transaction of Business and remedies and penalties for such violations. It also establishes certain exemptions for certain insurers. It sets forth the actions an unauthorized insurer may pursue such as motions or other legal actions. It also provides a procedure for the enforcement of foreign decrees.	Statute
43	38-26-10 et seq	State	This chapter gives the director or his designee the authority to place insurers under Administrative Supervision. It sets forth the requirements to take such action and provides limited liability for the director and his designees.	Statute
44	38-27-10 et seq	State	This chapter gives the director the authority to place insurers into rehabilitation and/or liquidation. These are judicial proceedings. The director is authorized to appoint special deputies and to hire the experts necessary to effectively administer the rehabilitation with the court's approval.	Statute
45	38-29-10 et seq	State	Sets forth the requirements for the administration and functions of the Life, Accident, Health Guaranty Association. The Association must submit plan of operation to the Department for approval.	Statute
46	38-31-10 et seq	State	Sets forth the requirements for the creation, administration and functions of Property and Casualty Guaranty Association. The Department reviews and approves the Plan of Operation and any amendments.	Statute
47	38-33-10 et seq	State	Sets forth the requirements for licensure and regulation of health maintenance Organizations transacting business in South Carolina. The Director has the authority to license, examine, monitor its operations and to impose or take regulatory action based upon an impaired financial condition or violation of the insurance laws of the state.	Statute
48	38-35-10 et seq	State	Provides for the formation and conduct of mutual benevolent aid associations and their regulation.	Statute

Legal Standards

49	38-38-10 et seq	State	Any incorporated society, order, or supreme lodge, without capital stock, whether incorporated or not, conducted solely for the benefit of its members and their beneficiaries and not for profit, operated on a lodge system with ritualistic form of work, having a representative form of government, and which provides benefits in accordance with this chapter, is a fraternal benefit society.	Statute
50	38-39-10 et seq	State	Sets forth the Licensing requirements, administration and regulation of insurance Premium Service Companies. Director has the authority to take regulatory action for violations of the insurance laws.	Statute
51	38-41-10 et seq	State	Sets forth the licensing requirements, administration and regulation of Multiple Employer Self-Insured Health Plans. Director has the authority to approve licensure, the plan of operation, conduct of business and to impose regulatory penalties for violations of the insurance laws.	Statute
52	38-43-10 et seq	State	Sets forth the licensing requirements, administration and regulation of Insurance Producers and Agencies. Director has the authority to approve licensure, conduct of business and to impose penalties for violations of the insurance laws including the suspension or revocation of the license.	Statute
53	38-44-10 et seq	State	Sets forth the licensing requirements, administration and regulation of Insurance managing general agents. Director has the authority to approve licensure, conduct of business and to impose penalties for violations of the insurance laws including the suspension or revocation of the license.	Statute
54	38-45-10 et seq	State	Sets forth the licensing requirements, administration and regulation of Insurance brokers. Director has the authority to approve licensure, conduct of business and to impose penalties for violations of the insurance laws including the suspension or revocation of the license. Licensing requirements, administration and regulation of Brokers and Surplus Lines. Director may enter into agreements to participate in a clearinghouse subject to General Assembly approval for the distribution of broker premium taxes.	Statute
55	38-46-10 et seq	State	Sets forth Licensing requirements, administration and regulation of Reinsurance Intermediaries.	Statute
56	38-47-10 et seq	State	Sets forth the licensing requirements, administration and regulation of Insurance adjusters. Director has the authority to approve licensure, conduct of business and to impose penalties for violations of the insurance laws including the suspension or revocation of the license	Statute
57	38-48-10 et seq	State	Sets forth the licensing requirements, administration and regulation of insurance adjusters. Director has the authority to approve licensure, conduct of business and to impose penalties for violations of the insurance laws including the suspension or revocation of the license.	Statute

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58	38-49-10 et seq	State	Sets forth the licensing requirements, administration and regulation of motor vehicle physical damage appraisers. Director has the authority to approve licensure, conduct of business and to impose penalties for violations of the insurance laws including the suspension or revocation of the license.	Statute
59	38-51-10 et seq	State	Set forth the licensing requirements, administration and regulation of third party administrators. Director has the authority to approve licensure, conduct business and to impose penalties for violations of the insurance laws including the suspension or revocation of the license.	Statute
60	38-53-10 et seq	State	Sets forth the licensing requirements, administration and regulation of bail bondsmen. Director has the authority to approve licensure, conduct business and to impose penalties for violations of the insurance laws including the suspension or revocation of the license. The Department must suspend bondsmen who make attorney referrals.	Statute
61	38-55-10 et seq	State	Sets forth guidelines for conducting insurance business and the authority of the director to revoke the license of insurers who engage in unfair discrimination	Statute
62	38-57-10 et seq	state	Sets forth the requirements for insurer trade practices; director has the authority to issue cease and desist orders and to otherwise take regulatory action.	Statute
63	38-59-10 et seq	State	Sets forth the requirements for insurer claims practices; defines bad faith and prompt pay guidelines and requirements.	Statute
64	38-61-10 et seq	State	Sets forth the requirements for approval of insurance contracts or forms. All forms must be approved by the director or his designee unless exempted from prior approval. The Director may disapprove or withdraw approval of forms subject to the procedure outlined in the chapter.	Statute
65	38-63-10 et seq	State	Sets forth the requirements for Individual Life Insurance, forms, regulation, premiums, etc.	Statute
66	38-65-10 et seq	State	Sets forth the requirements for Group Life Insurance, forms, regulation, premiums, etc.	Statute
67	38-67-10 et seq	State	Sets guidelines for the regulation of variable annuities	Statute
68	38-69-10 et seq	State	Sets forth the requirements and guidelines for regulation of individual annuities.	Statute
69	38-70-10 et seq	State	Sets forth the licensing requirements, administration and regulation of Utilization Reviews and Private Review Agents. Director has authority to conduct periodic reviews of operations and to take regulatory action for violations of the insurance laws.	Statute
70	38-71-10 et seq	State	Provides for the regulation of types of coverages, policies for specific ailments, continuation of care, etc. for Accident and Health insurance. The Director must also approve (ROs) to conduct external review of health insurance claims.	Statute
71	38-72-10 et seq	State	Sets forth the requirements, regulation and approval of Long Term Care products	Statute

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72	38-73-10 et seq	State	Sets forth the requirements for property, casualty, inland marine, and surety rates and rate-making Organizations, regulation of, examinations of, etc. Director must conduct reviews of independent rating organizations; sets hearing procedure for certain rates; may declare certain lines of insurance competitive or not; establishes a consumer information system for rate information; etc.	Statute
73	38-74-10 et seq	State	Provides for the establishment, eligibility for and administration of Health Insurance Pool which is the state's high risk pool for individual who are unable to obtain coverage in the voluntary market. The Director reviews the plan of operation and must approve assessments.	Statute
74	38-75-10 et seq	State	Sets forth the requirements for regulation of Property, Casualty and Title Insurance policies and coverages. Provides for the establishment and operation of the Wind Pool; the director has the authority to expand the area covered by the wind pool; establishes a loss mitigation grant program within the DOI; the Director must report within 30 days any need for expansion of the wind pool territory and conduct certain property studies.	Statute
75	38-77-10 et seq	State	Governs the regulation of automobile insurance, arbitration, assignment of risks, etc. The Director or his designee have the authority to ensure that insurers and agents comply with the requirements of this chapter and South Carolina law. Director also has the authority to disperse uninsured motorist funds.	Statute
76	38-78-10 et seq	State	This chapter governs the licensing requirements, administration and regulation of Service Contracts and service contract providers.	Statute
77	38-79-10 et seq	State	Sets forth the requirements governing medical malpractice judgments, settlements, etc.; establishes the residual market mechanisms for medical malpractice insurance i.e., JUA and PCF	Statute
78	38-81-10 et seq	State	Reporting requirements and Legal Professional Liability Insurance Joint Underwriting Association. This Association is inactive.	Statute
79	38-83-10 et seq	State	Organization, coverage and regulation of Joint Underwriting Association for Writing of Professional Liability Insurance. This JUA is inactive.	Statute
80	38-85-10 et seq	State	Sets forth requirements for insurers participation in consolidation and mortgage insurance.	Statute
81	38-87-10 et seq	State	Sets forth the requirements for licensing, administration and regulation/taxation of Risk Retention Groups and Purchasing Groups.	Statute
82	38-89-10 et seq	State	Creation, administration and regulation of Day Care Joint Underwriting Association. Association is inactive.	Statute
83	38-90-10 et seq	State	Licensing requirements, administration and regulation of Captive Insurance Companies	Statute
84	38-93-10 et seq	State	Sets forth the requirements for the regulation genetic information. Director can penalize members for violating the provision of the chapter.	Statute
85	38-95-10 et seq	State	Establishment, regulation and administration of Interstate Insurance Product Regulation Compact.	Statute

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86	38-97-10 <i>et seq</i>	State	Licensing requirements, administration and regulation of Portable Electronics insurance. Director can impose penalties for violations of the law	Statute
87	69-1	State	Adjustment of Claims Under Unusual Circumstances	Regulation
88	69-3	State	Definitions	Regulation
89	69-4	State	Life, Accident and Health Insurance - Reserve Tabulations	Regulation
90	69-5	State	Policy Approvals	Regulation
91	69-5.1	State	Minimum Standards for the Readability of Commonly Purchased Insurance Policies	Regulation
92	69-6	State	Brokers Licenses	Regulation
93	69-7	State	Minimum Reserve Standards for Individual and Group Accident and Health Insurance Contracts	Regulation
94	69-8	State	Reserves for Mortgage Guaranty Insurance	Regulation
95	69-9	State	Proxies, Consents and Authorizations of Domestic Insurers	Regulation
96	69-10	State	Premium Service Companies	Regulation
97	69-11.1	State	Regulation of Credit Insurance	Regulation
98	69-12	State	Variable Contracts	Regulation
99	69-12.1	State	Replacement of Life Insurance and Annuities	Regulation
100	69-13.3	State	Uniform Class and Territory Plan - Motorcycles	Regulation
101	69-14	State	Insurance Holding Company Systems	Regulation
102	69-15	State	South Carolina Deposits Required of Insurers	Regulation
103	69-18	State	Title Insurance	Regulation
104	69-20	State	Campus Life Insurance	Regulation
105	69-22	State	Health Maintenance Organizations	Regulation
106	69-23	State	Adjuster, Public Adjuster, Appraiser, Broker, Bondsmen, Runner, Producer and Agency Licenses	Regulation
107	69-24	State	Workmen's Compensation - Dividends to Policyholders	Regulation
108	69-25	State	Prohibition Against Decreases in Income Benefits from Group Disability Policies due to Increases in Social Security Benefits	Regulation
109	69-27	State	Guaranty Act - Applicability	Regulation
110	69-29	State	Suitability in Annuity Transactions	Regulation
111	69-30	State	Life Insurance Disclosure Regulation	Regulation
112	69-31	State	Practice and Procedure for Hearings before the Chief Insurance Commissioner under the State Administrative Procedures Act, Act No. 176 of 1977	Regulation
113	69-32	State	Unfair Discrimination on the Basis of Blindness or Partial Blindness	Regulation

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114	69-33	State	Dates for Payments of License Fees/Appointment Fees for Adjusters, Agencies, Bail Bondsmen/Runners, Brokers, Motor Vehicle Physical Damage Appraisers, Premium Service Companies, Producer Appointments, Producers, Public Adjusters, Rental Car Companies, Service Contract Providers, Third Party Administrators and Utilization Review Agents	Regulation
115	69-34	State	Individual Accident and Health Insurance Minimum Standards	Regulation
116	69-34.1	State	Accident and Health Insurance Solicitations	Regulation
117	69-34.2	State	Replacement of Accident and Health Insurance	Regulation
118	69-36	State	Procedure for Permitting Same Minimum No forfeiture Standards for Men and Women Under 1980 CSO and CET Mortality Tables	Regulation
119	69-37	State	Annuity Mortality Tables for Use in Determining Reserve Liabilities for Annuities	Regulation
120	69-38	State	Regulation Permitting Smoker/Non-smoker Mortality Tables for Use in Determining Minimum Reserve Liabilities and No forfeiture Benefits	Regulation
121	69-39	State	Annuity Disclosure Regulation	Regulation
122	69-40	State	Life Insurance Policy Illustration Rules	Regulation
123	69-40.1	State	Use of Senior-Specific Certifications and Professional Designations in the Sale of Life Insurance and Annuities	Regulation
124	69-41	State	Prepaid Dental Service	Regulation
125	69-42	State	Multiple Employer Self-Insured Plans	Regulation
126	69-43	State	Group Health Insurance Coordination of Benefits	Regulation
127	69-44	State	Long Term Care Insurance	Regulation
128	69-45	State	Data Reporting and Determination of Excess Profits	Regulation
129	69-46	State	Medicare Supplement Insurance	Regulation
130	69-47	State	Private Review Agents	Regulation
131	69-48	State	Life and Health Reinsurance Agreements	Regulation
132	69-50	State	Continuing Insurance Education	Regulation
133	69-52	State	Actuarial Opinion and Memorandum Regulation	Regulation
134	69-53	State	Credit for Reinsurance	Regulation
135	69-54	State	Experience Modification for Staff Leasing Services Companies in the Workers Compensation Assigned Risk Plan	Regulation
136	69-56	State	Named Storm or Wind/Hail Deductible	Regulation
137	69-57	State	Valuation of Life Insurance Policies	Regulation
138	69-57.1	State	Recognition of the 2001 CSO Mortality Table for Use in Determining Minimum Reserve Liabilities and Non forfeiture Benefits	Regulation
139	69-57.2	State	Recognition of Preferred Mortality Tables for Use in Determining Minimum Reserve Liabilities	Regulation

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140	69-57.3	State	Prereed Life Insurance Minimum Standards for Determining Reserve Liabilities and Non forfeiture Values	Regulation
141	69-58	State	Privacy of Consumer Financial and Health Information	Regulation
142	69-60	State	Captive Insurance Companies	Regulation
143	69-61	State	Service Contracts	Regulation
144	69-62 et seq	State	Closeout and Termination of the SCAIP	Regulation
145	69-63	State	South Carolina Reinsurance Facility Recoupment	Regulation
146	69-64	State	Exempt Commercial Policies	Regulation
147	69-65	State	Military Sales Practices	Regulation
148	69-70	State	Annual Audited Financial Reporting Regulation	Regulation
149	69-75	State	Tax Credits for Fortification Measures	Regulation
150	69-76	State	Safe Home Program Wind Inspectors and Contractors	Regulation
151	McCarran-Ferguson Act	Federal	<p>The McCarran-Ferguson Act of 1945 (15 U.S.C.A. § 1011 et seq.) gives states the authority to regulate the "business of insurance" without interference from federal regulation, unless federal law specifically provides otherwise. The act provides that the "business of insurance, and every person engaged therein, shall be subject to the laws of the several States which relate to the regulation or taxation of such business."</p> <p>Congress passed the McCarran-Ferguson Act primarily in response to the Supreme Court case of United States v. South-Eastern Underwriters Ass'n, 322 U.S. 533, 64 S. Ct. 1162, 88 L. Ed. 1440 (1944).</p> <p>The McCarran-Ferguson Act provides that state law shall govern the regulation of insurance and that no act of Congress shall invalidate any state law unless the federal law specifically relates to insurance. The act thus mandates that a federal law that does not specifically regulate the business of insurance will not preempt a state law enacted for that purpose. A state law has the purpose of regulating the insurance industry if it has the "end, intention or aim of adjusting, managing, or controlling the business of insurance" (U.S. Dept. of Treasury v. Faber, 508 U.S. 491, 113 S. Ct. 2202, 124 L. Ed. 2d 449 [1993]).</p>	Federal Statute

Legal Standards

152	Privacy Act of 1974	Federal	<p>The Privacy Act of 1974 is a code of fair information practices which mandates how Government agencies maintain records about individuals. The Privacy Act requires that Government agencies:</p> <ul style="list-style-type: none"> collect only information that is relevant, accurate, complete, and necessary to carry out an agency function; maintain no secret records on individuals. The Privacy Act only applies to Government records that contain information on individuals; are maintained by a Government agency or its contractors in an approved system of records, and are retrieved by a personal identifier, such as a person's name, Social Security Number, medical record number or other unique identifier. 	Federal Statute
153	Health Insurance Portability and Accountability Act (1996)	Federal	<p>The Health Insurance Portability and Accountability Act (HIPAA) of 1996 (P. L. 104-191) amends the Internal Revenue Code of 1986 and is designed to improve the portability and continuity of health insurance coverage in the group and individual health insurance markets; combat waste, fraud and abuse in health insurance and health care delivery; promote the use of medical savings accounts; improve access to long-term care services and coverage and simplify the administration of health insurance. It contains standards for the electronic health information transactions; requires providers and health plans to use the standards for the specified electronic transactions; requires privacy standards to be enacted; and specifies the situations where state law may be preempted and the penalties that may be imposed for violations.</p>	Federal Statute
154	Employee Retirement Income Security Act of 1974	Federal	<p>ERISA outlines minimum federal standards for private employer-sponsored benefits such as requiring a plan administrator to provide a summary of plan benefits to employees, file annual reports, maintain procedures for claiming benefits and provide administrative and judicial remedies for beneficiaries.</p>	Federal Statute
155	Gramm-Leach-Bliley	Federal	<p>The Gramm-Leach-Bliley Act broke down the barriers in statutes between banking and insurance. It made it possible for banks to own insurance companies and insurance companies to own banks. It recognized insurance as a financial product. It sets forth specific requirements for financial transactions. It also requires many companies to give consumers privacy notices that explain the institutions' information-sharing practices</p>	Federal Statute
156	Sarbanes-Oxley	Federal	<p>The Sarbanes-Oxley Act created new standards for corporate accountability as well as new penalties for acts of wrongdoing. It changes how corporate boards and executives must interact with each other and with corporate auditors. It removes the defense of "I wasn't aware of financial issues" from CEOs and CFOs, holding them accountable for the accuracy of financial statements. The Act specifies new financial reporting responsibilities, including adherence to new internal controls and procedures designed to ensure the validity of their financial records.</p>	Federal Statute

Legal Standards

157	Terrorism Risk in Insurance Act	Federal	TRIA establishes a program authorizing the federal government to cover a substantial portion of losses caused by a terrorist attack. The Terrorism Risk Insurance Act of 2002, Pub. L. No. 107-297, 116 Stat. 2322 covers up to \$100 billion in total insured losses. The Act also creates certain requirements for insurers and is likely to affect upcoming insurance renewals and premium rates.	Federal Statute
158	18 USC 1033, 1034	Federal	Individuals convicted of a crime involving dishonesty, breach of trust or a violation of the Act cannot work or continue to work in the insurance industry without receiving the written consent of the chief insurance regulatory official authorized to regulate the insurer. A prohibited person who continues to work or works without the written consent of the insurance commissioner risks federal criminal penalties. There is no automatic waiver or grandfather provisions.	Federal Statute
159	Pregnancy in Discrimination Act	Federal	The Pregnancy Discrimination Act 12 requires businesses with 15 or more employees to cover expenses for pregnancy and medical conditions related to pregnancy on the same basis as coverage for other medical conditions.	Federal Statute
160	Newborns' and Mothers' Health Protection Act of 1996	Federal	This statute requires that employer-sponsored health coverage that includes hospital stays in connection with childbirth must cover a minimum length of stay for mothers and newborns following delivery. For vaginal deliveries, the coverage provided cannot restrict hospital stays to less than 48 hours; for caesarean births, the coverage provided cannot restrict hospital stays to less than 96 hours.	Federal Statute
161	Mental Health Parity Act of 1996	Federal	The Mental Health Parity Act of 1996 requires that mental health benefits included in employer-sponsored health coverage cannot have annual or lifetime dollar limits on mental health benefits that are lower than any such dollar limits for medical and surgical benefits. The law does not apply to (1) coverage sponsored by a small business with 50 or fewer employees and (2) coverage sponsored by larger businesses that experience an increase in total claims costs of at least 1 percent as a result of complying with the act. The health coverage may still contain other limits, such as those on the number of days or visits covered.	Federal Statute
162	Women's Health and Cancer Rights Act of 1998	Federal	The Women's Health and Cancer Rights Act of 1998 requires that employer-sponsored health coverage that provides coverage for mastectomies also cover related reconstructive surgery and other mastectomy-related benefits, such as coverage for prostheses and physical complications (including lymphedemas).	Federal Statute
163	Affordable Care Act	Federal	Provisions included in the ACA are intended to expand access to insurance, increase consumer protections, emphasize prevention and wellness, improve quality and system performance, expand the health workforce, and curb rising health care costs. The ACA establishes standards for health insurance policies sold and the rates charged in all states.	Federal Statute

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	SC Department of Insurance
Date of Submission	January 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 mission of the South Carolina Department of Insurance (Department) is to protect the insurance consumers, the public interest, and the insurance marketplace by ensuring the solvency of insurers, enforcing and implementing the insurance laws of this State, and regulating the insurance industry in an efficient, courteous, responsive, fair, and equitable manner.
Legal Basis for agency's mission	Section 38-3-10 et seq, of the South Carolina Code of Laws; Chapter 69 of S. C. Code of Regulations Annotated.
Vision	The Department envisions a competitive and financially stable insurance marketplace. To this end, the Department regulates the insurance marketplace by firmly and fairly implementing and enforcing the insurance laws.
Legal Basis for agency's vision	Section 38-3-10 et seq, S. C. Code of Laws; Chapter 69

Mission, Vision and Goals

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 <small>(i.e. state and federal statutes or provisos the goal is satisfying)</small>	Goals & Description <small>(i.e. Goal 1 - insert description)</small>	Describe how the Goal is S.M.A.R.T. <small>Specific Measurable Attainable Relevant Time-bound</small>	Public Benefit/Intended Outcome <small>(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</small>	Responsible Person Name:	Number of months person has been responsible for the goal or objective:	Position:

Mission, Vision and Goals

<p>Title 38 of the South Carolina Code of Laws; Chapter 69 of S.C. Code of Regulations, Annotated</p>	<p>Goal 1 - Maintain a solvent and competitive insurance marketplace</p>	<p>The DOI monitors insurer solvency through two primary activities:</p> <ul style="list-style-type: none"> • Financial Examinations – Periodic statutory and targeted examinations of South Carolina domestic insurers are conducted in order to check the financial condition of insurers transacting business within this state. The purpose of the financial examination or audit is to ensure that these companies are able to meet their policyholder obligations through service and the payment of claims. • Financial Surveillance/Analysis – The review of quarterly financial statements and annual company statements, along with the use of comprehensive desk audits. Financial documents are reviewed to monitor the financial solvency of insurers participating in the South Carolina domestic insurance marketplace in order to provide a healthy and competitive insurance market. 	<p>DOI Conducts statutory financial examinations of domestic insurance companies in order to ensure that policyholders' and claimants' rights are protected and fulfilled, and that insurance consumers can do business with financially solvent companies. Specifically, the DOI:</p> <ul style="list-style-type: none"> • Conducts statutory financial examinations in accordance with South Carolina law and the NAIC Financial Condition Examiners Handbook "risk-focused" examination approach. • Monitors the solvency of all insurance companies domiciled in South Carolina through quarterly and annual analyses of all financial statements filed. This analysis is performed in accordance with the deadlines delineated in the NAIC Accreditation Guidelines. • Maintains its accreditation with the National Association of Insurance Commissioners (NAIC) by employing or engaging competent regulatory staff. The NAIC Accreditation program provides a process where the solvency and regulation of multi-state insurance companies is consistent throughout the United States. The program reviews the solvency laws and regulations in place to protect consumers within the state; the competency of solvency staff; and effectiveness and efficiency of the financial analysis and examination processes. 	<p>Lee Hill</p>	<p>12</p>	<p>Dpty for Office of Financial Services</p>
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Mission, Vision and Goals

Title 38 Code of Laws, Chapter 69	Goal 2 - Promote voluntary compliance by enhancing education and outreach	<p>The DOI licensing function is divided between companies and individuals/business entities.</p> <ul style="list-style-type: none"> • Company Licensing – Insurance companies may not do business in South Carolina without an active license. <p>The Division reviews and processes all applications from insurers seeking to obtain or amend licenses to transact insurance business in the State.</p> <ul style="list-style-type: none"> • Producer Licensing – Is responsible for the licensing of all individuals and business entities in the business of insurance in the State. The DOI processes all new license applications and renewal applications associated with 9 license types. All insurers who appoint licensed producers must renew or non-renew their appointments biennially. DOI also provides consumer education and information via meetings; hearings; trade shows; published materials; website; social media; bulletins; trained and educated staff; etc. 	<p>The DOI creates and maintains an orderly insurance marketplace by licensing its participants – insurance companies, insurance producers and other key participants in the market. The process of licensing producers and other entities in the insurance industry ensures a marketplace where individuals and firms conducting the business of insurance are qualified and that they conduct business within the requirements of the laws and regulations of South Carolina. The Department participates in educational programs sponsored by the industry trade associations, issues bulletins and other regulatory guidance on new laws or emerging trends, and conducts training through webinars and other presentations. The Department continues to work on consumer outreach. The purpose of the outreach is to provide consumers with the information necessary to help them make informed insurance decisions. The Department is expanding its outreach efforts through its Department's website and social media.</p>	Kendall Buchanan, Lee Hill, Ben Duncan	12	Dpty for Market & Consumer Svcs, Dpty for Financial Solvency and Surveillance, Dpty for Administration and Strategic Planning
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Mission, Vision and Goals

Title 38 Code of Laws, Chapter 69	Goal 3 - Protect the public through effective regulatory enforcement of insurance laws	<p>DOI Monitors insurers and industry trends, and analyzes their impact on consumers and the insurance marketplace to determine whether regulatory intervention or oversight is appropriate. Conducts substantive market conduct examinations that are planned and timely executed. Handles all formal written consumer complaints against licensees. Monitors consumer calls to ensure the highest quality of service is provided. Maintains data on all consumer calls and complaints in order to track trends in the market. The DOI monitors the insurance marketplace; produces technical reports and analyses; and reviews policy forms, rules and rate filings for regulatory compliance for all insurance products submitted by insurance companies writing in SC. DOI investigates allegations of misconduct by licensees and pursues enforcement actions when warranted due to deceptive acts and practices and other violations of insurance law.</p>	<p>The DOI protects consumers in the insurance marketplace by monitoring the market activities of insurers and assisting consumers with questions and insurance related complaints. Through market conduct examinations, the Division looks beyond the financial condition of a company by examining business practices such as policy underwriting and rating practices, cancellations and non-renewals, claim settlements, insurance applications, and advertising materials. The DOI monitors the insurance marketplace and issues technical reports and analysis on emerging trends. The forms, rules and rates used by insurers are reviewed by the Department to ensure that company practices are actuarially sound and in compliance with state law. The review and analysis of insurer filings and financial statements promotes a marketplace of solvent, fiscally sound insurance companies. The Department provides the general public with a non-judicial alternative for pursuing complaints against insurance companies and producers. The underlying goal is to confirm that SC consumers are treated with fairness and according to the terms of the insurance contract. Additionally, the Department investigates and imposes administrative disciplinary action against licensees found in violation of the insurance laws of this state.</p>	<p>Kendall Buchanan, Michael Beauford</p>	<p>12</p>	<p>Dpty for Office of Market and Consumer Services; Chief Investigator</p>
Title 38 Code of Laws, Chapter 69	Goal 4 - Improve Operational Quality, Service Efficiency, and Departmental Productivity	<p>DOI maintains an internship program, continuously updates policies and procedures manuals; Monitors the Workforce and Succession planning document monthly; enhances employee training and workshop sessions; reviews internal controls; utilizes and enhances technology and cyber security where appropriate; provides consumer education via meetings, hearings, trade shows, published materials, bulletins, trains and educates staff, etc.</p>	<p>DOI adopts innovative and creative management approaches to improve efficiency and effectiveness, and ensures the continued delivery of mission critical services. SCDOI promotes a culture of performance measurement to strengthen its operations, achieve results, and provide transparency and accountability. As needed, we have implemented transformative technologies critical to ensuring the delivery of highest quality, best value services.</p>	<p>Kendall Buchanan, Ben Duncan, Lee Hill</p>	<p>12</p>	<p>Dpty for Market & Consumer Svcs, Dpty for Administrative Services and Strategic Planning; Dpty for Financial Solvency and Surveillance;</p>

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	SC Department of Insurance
Date of Submission	January 12, 2016
Fiscal Year for which Information below pertains	2015-16

Instructions:

- Under the "Legal Responsibilities Satisfied" column, enter the legal responsibilities (i.e. state and/or federal statutes and provisions) 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.
- 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.
- 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.
- Under the "Public Benefit/Intended Outcome" column, enter the intended outcome of accomplishing each goal and objective.
- 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 is the person who, in conjunction with his/her employees and approval from higher level superiors, determines the strategy and objectives needed to accomplish the goal. The Responsible Person for a goal is the person who, in conjunction with his/her team(s) 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 at the agency.

Legal Responsibilities Satisfied:	Strategic Plan Part and Description	How it 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:	Office Address:	Department or Division:	Department or Division Summary:
Title 38 Code of Laws: Chapter 69	Goal 1 - Maintain a solvent and competitive insurance marketplace.	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Strategy 1.1 - Process Rates, Forms and Licenses promptly	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Title 36 Code of Laws: Chapter 69	Objective 1.1.1 - Percent of licenses who renew online	See FY15 Outcome for how objective is S.M.A.R.T. -->	81.93%	Ben Durcan	12	Div for Administration	1201 Main St, Suite 1000 Cola, SC 29201	Admin	Admin
Title 38 Code of Laws: Chapter 69	Objective 1.1.2 - Number of life, accident and health (LAGH) insurance rate and form filings processed	See FY15 Outcome for how objective is S.M.A.R.T. -->	2843	Kendall Buchanan	12	Div for Market & Consumer Svcs	1201 Main St, Suite 1000 Cola, SC 29201	Market & Consumer Svcs	Market & Consumer Svcs
Title 38 Code of Laws: Chapter 69	Objective 1.1.3 - LAGH Filing Turnaround Time	See FY15 Outcome for how objective is S.M.A.R.T. -->	28.63	Kendall Buchanan	12	Div for Market & Consumer Svcs	1201 Main St, Suite 1000 Cola, SC 29201	Market & Consumer Svcs	Market & Consumer Svcs
Title 38 Code of Laws: Chapter 69	Objective 1.1.4 - Number of property and casualty (P&C) insurance rate, rule and form filings processed	See FY15 Outcome for how objective is S.M.A.R.T. -->	9340	Kendall Buchanan	12	Div for Market & Consumer Svcs	1201 Main St, Suite 1000 Cola, SC 29201	Market & Consumer Svcs	Market & Consumer Svcs
Title 38 Code of Laws: Chapter 69	Objective 1.1.5 - P&C Filing Turnaround Time	See FY15 Outcome for how objective is S.M.A.R.T. -->	8.6	Kendall Buchanan	12	Div for Market & Consumer Svcs	1201 Main St, Suite 1000 Cola, SC 29201	Market & Consumer Svcs	Market & Consumer Svcs

Strategy, Objectives and Responsibility

Title 38 Code of Laws: Chapter 69	Objective 1.1.6 - Total number of licensed agents	See FY15 Outcome for how objective is S.M.A.R.T. -->	223,897	Ben Duncan	12	Dptv for Administration	1201 Main St., Suite 1000 Colo. SC 29201	Admin	Admin
Title 38 Code of Laws: Chapter 69	Objective 1.1.7 - Number of regulated companies and other carriers	See FY15 Outcome for how objective is S.M.A.R.T. -->	Traditional 1528 Non-RRG Captives 160	Lee Hill	12	Dptv for Office of Financial Services	1201 Main St., Suite 1000 Colo. SC 29201	Financial Services	Financial Services
Title 38 Code of Laws: Chapter 69	Objective 1.1.8 - Producer licensing Turnaround Time (hours)	See FY15 Outcome for how objective is S.M.A.R.T. -->	6.62(hrs)	Ben Duncan	12	Dptv for Administration	1201 Main St., Suite 1000 Colo. SC 29201	Admin	Admin
Title 38 Code of Laws: Chapter 69	Objective 1.1.9 - Newly Licensed Individuals	See FY15 Outcome for how objective is S.M.A.R.T. -->	46,981	Ben Duncan	12	Dptv for Administration	1201 Main St., Suite 1000 Colo. SC 29201	Admin	Admin
Title 38 Code of Laws: Chapter 69	Strategy 1.2 - Recruit new insurers to SC to write in underserved markets	n/a		Raymond Farmer, Lee Hill	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Objective 1.2.1 - Track insurance entities licensed/approved/registered in SC	See FY15 Outcome for how objective is S.M.A.R.T. -->	Traditional Net 21 Non-RRG Captives Net 12	Lee Hill	12	Dptv for Office of Financial Services	1201 Main St., Suite 1000 Colo. SC 29201	Financial Services	Financial Services
Title 38 Code of Laws: Chapter 69	Strategy 1.3 - Monitor insurer solvency through financial analysis and examinations	n/a		n/a	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Objective 1.3.1 - Conduct quarterly analysis of the financial statements of all domestic insurers, including domestic RRG Captives, authorized to transact business in SC to insure the company is not operating in a hazardous financial condition.	See FY15 Outcome for how objective is S.M.A.R.T. -->	152 Traditional Companies	Lee Hill	12	Dptv for Office of Financial Services	1201 Main St., Suite 1000 Colo. SC 29201	Financial Services	Financial Services
Title 38 Code of Laws: Chapter 69	Objective 1.3.2 - Conduct statutory and targeted or limited scope examinations of domestic insurers, including domestic RRG Captives, authorized to transact business in SC to insure the company is not operating in a hazardous financial condition and is not operating in a manner inconsistent with SC laws and regulations.	See FY15 Outcome for how objective is S.M.A.R.T. -->	100%	Lee Hill	12	Dptv for Office of Financial Services	1201 Main St., Suite 1000 Colo. SC 29201	Financial Services	Financial Services
Title 38 Code of Laws: Chapter 69	Objective 1.3.3 - Conduct, no less than annually, analysis of the financial statements of all domestic Non-RRG Captives authorized to transact business in SC to insure the company is not operating in a hazardous financial condition.	See FY15 Outcome for how objective is S.M.A.R.T. -->	263	Lee Hill	12	Dptv for Office of Financial Services	1201 Main St., Suite 1000 Colo. SC 29201	Financial Services	Financial Services
Title 38 Code of Laws: Chapter 69	Objective 1.3.4 - Conduct statutory and limited scope examinations of domestic Non-RRG Captives authorized to transact business in SC to insure the company is not operating in a hazardous financial condition and is not operating in a manner inconsistent with SC laws and regulations.	See FY15 Outcome for how objective is S.M.A.R.T. -->	100%	Lee Hill	12	Dptv for Office of Financial Services	1201 Main St., Suite 1000 Colo. SC 29201	Financial Services	Financial Services
Title 38 Code of Laws: Chapter 69	Objective 1.3.5 - Troubled Company Committee meets as necessary, but no less than quarterly, to discuss troubled or potentially troubled companies. The results of these meetings will be reported to the Director and Deputy Director as they occur.	See FY15 Outcome for how objective is S.M.A.R.T. -->	12	Lee Hill	12	Dptv for Office of Financial Services	1201 Main St., Suite 1000 Colo. SC 29201	Financial Services	Financial Services

Strategy, Objectives and Responsibility

Title 38 Code of Laws: Chapter 69	Objective 2.1.1 - Publish consumer education materials quarterly	See FY15 Outcome for how objective is S.M.A.R.T. -->	5,600	Ann Robertson	12	PIO & Grants Mgr	1201 Main St. Suite 1000 Cola SC 29201	Admin	PIO & Safe Homes
Title 38 Code of Laws: Chapter 69	Objective 2.1.2 - Develop and issue press releases quarterly for insurance-related events/topics	See FY15 Outcome for how objective is S.M.A.R.T. -->	27	Ann Robertson	12	PIO & Grants Mgr	1201 Main St. Suite 1000 Cola SC 29201	Admin	PIO & Safe Homes
Title 38 Code of Laws: Chapter 69	Strategy 2.2 - Conduct Educational Sessions throughout the state	n/a		Ann Robertson	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Objective 2.2.1 - Conduct Annual Public Hearing Meeting on Status of the Wind Pool	See FY15 Outcome for how objective is S.M.A.R.T. -->	1	Ann Robertson	12	PIO & Grants Mgr	1201 Main St. Suite 1000 Cola SC 29201	Admin	PIO & Safe Homes
Title 38 Code of Laws: Chapter 69	Objective 2.2.2 - Industry Speaking Engagements	See FY15 Outcome for how objective is S.M.A.R.T. -->	50	Ben Duncan	12	Dpty for Administration	1201 Main St. Suite 1000 Cola SC 29201	Admin	Admin
Title 38 Code of Laws: Chapter 69	Objective 2.2.3 - Participate in trade shows and other community events	See FY15 Outcome for how objective is S.M.A.R.T. -->	3 to date	Ann Robertson	12	PIO & Grants Mgr	1201 Main St. Suite 1000 Cola SC 29201	Admin	PIO & Safe Homes
Title 38 Code of Laws: Chapter 69	Objective 2.2.4 - Issue bulletins and meet with industry groups	See FY15 Outcome for how objective is S.M.A.R.T. -->	100%	Gwen McGilliff	12	Dpty. Dir. Legal Legislative & Ext. Affairs	1201 Main St. Suite 1000 Cola SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Strategy 2.3 - Implement Communications Plan	n/a		Ben Duncan	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Objective 2.3.1 - Implement Communication guidelines	See FY15 Outcome for how objective is S.M.A.R.T. -->	100%	Ben Duncan	12	Dpty for Administration	1201 Main St. Suite 1000 Cola SC 29201	Admin	Admin
Title 38 Code of Laws: Chapter 69	Objective 2.3.2 - Conduct Department-wide staff meetings to update staff on agency activities	See FY15 Outcome for how objective is S.M.A.R.T. -->	100%	Raymond Farmer	12	HR Dir	1201 Main St. Suite 1000 Cola SC 29201	Admin	HR
Title 38 Code of Laws: Chapter 69	Objective 2.3.3 - Send email to DOI staff on employee accomplishments, vacancies, etc.	See FY15 Outcome for how objective is S.M.A.R.T. -->	100%	Pat Butler	12	HR Dir	1201 Main St. Suite 1000 Cola SC 29201	Admin	HR
Title 38 Code of Laws: Chapter 69	Objective 2.3.4 - Communicate insurance related messages via PSAs and social media	See FY15 Outcome for how objective is S.M.A.R.T. -->	535,000 impressions/digital campaign to include mobile apps, banner ads, etc. plus 30 announcements during news and weather broadcasts on Channel 2 Charleston.	Ann Robertson, Cosy Clyburn	12	PIO & Grants Mgr	1201 Main St. Suite 1000 Cola SC 29201	Admin	PIO & Safe Homes
Title 38 Code of Laws: Chapter 69	Strategy 2.4 - Educate DOI Employees	n/a		n/a	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Objective 2.4.1 - Conduct training workshops per year on insurance-related topics	See FY15 Outcome for how objective is S.M.A.R.T. -->	100%	Pat Butler	12	HR Dir	1201 Main St. Suite 1000 Cola SC 29201	Admin	HR
Title 38 Code of Laws: Chapter 69	Objective 2.4.2 - CISR Training	See FY15 Outcome for how objective is S.M.A.R.T. -->	11	Pat Butler	12	HR Dir	1201 Main St. Suite 1000 Cola SC 29201	Admin	HR
Title 38 Code of Laws: Chapter 69	Objective 2.4.3 - Security/Confidentiality Training	See FY15 Outcome for how objective is S.M.A.R.T. -->	100%	Pat Butler	12	HR Dir	1201 Main St. Suite 1000 Cola SC 29201	Admin	HR
Title 38 Code of Laws: Chapter 69	Objective 2.4.4 - Privacy Training	See FY15 Outcome for how objective is S.M.A.R.T. -->	100%	Pat Butler	12	HR Dir	1201 Main St. Suite 1000 Cola SC 29201	Admin	HR

Strategy, Objectives and Responsibility

Title 38 Code of Laws: Chapter 69	Objective 2.4.5 - Host Webinars	See FY15 Outcome for how objective is S.M.A.R.T. ---->		100%	Pat Butler	12	HR Dir	1201 Main St. Suite 1000 Cola. SC 29201	Admin	HR
Title 38 Code of Laws: Chapter 69	Objective 2.4.6 - Participate in NAIC Meeting/Trainings	See FY15 Outcome for how objective is S.M.A.R.T. ---->		100%	Pat Butler	12	HR Dir	1201 Main St. Suite 1000 Cola. SC 29201	Admin	HR
Title 38 Code of Laws: Chapter 69	Strategy 2.5 - Implement Disaster Response Plan	n/a	n/a		Julian Barton Ben Duncan	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Objective 2.5.1 - Provide oversight, communication, and coordination of a broad and diverse group of partners.	See FY15 Outcome for how objective is S.M.A.R.T. ---->		100%	Ben Duncan	12	Dpty for Administration	1201 Main St. Suite 1000 Cola. SC 29201	Admin	Admin
Title 38 Code of Laws: Chapter 69	Objective 2.5.2 - Employ an integrated all-hazards risk based approach for mitigation, response, continuity of operations, recovery, and preparedness planning for the department	See FY15 Outcome for how objective is S.M.A.R.T. ---->		100%	Ben Duncan	12	Dpty for Administration	1201 Main St. Suite 1000 Cola. SC 29201	Admin	Admin
Title 38 Code of Laws: Chapter 69	Objective 2.5.3 - Build local and state partnerships	See FY15 Outcome for how objective is S.M.A.R.T. ---->		100%	Ben Duncan	12	Dpty for Administration	1201 Main St. Suite 1000 Cola. SC 29201	Admin	Admin
Title 38 Code of Laws: Chapter 69	Objective 2.5.4 - Enhance disaster preparedness capabilities through preparing, training, and exercising.	See FY15 Outcome for how objective is S.M.A.R.T. ---->		4	Ben Duncan	12	Dpty for Administration	1201 Main St. Suite 1000 Cola. SC 29201	Admin	Admin
Title 38 Code of Laws: Chapter 69	Goal 3 - Protect the public through effective regulatory enforcement of insurance laws	n/a	n/a		n/a	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Strategy 3.1 - Ensure licensees are complying with the requirements of SC law	n/a	n/a		n/a	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Objective 3.1.1 - Enforce SC licensing requirements	See FY15 Outcome for how objective is S.M.A.R.T. ---->		100%	Lee Hill, Office of Legal Services	12	Dpty for Office of Financial Services	1201 Main St. Suite 1000 Cola. SC 29201	Financial Services	Financial Services
Title 38 Code of Laws: Chapter 69	Objective 3.1.2 - Maintain NAIC Accreditation every Five (5) Years	See FY15 Outcome for how objective is S.M.A.R.T. ---->		100%	Lee Hill	12	Dpty for Office of Financial Services	1201 Main St. Suite 1000 Cola. SC 29201	Financial Services	Financial Services
Title 38 Code of Laws: Chapter 69	Strategy 3.2 - Promote compliance through education	n/a	n/a		n/a	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Objective 3.2.1 - Speak on market enforcement related topics at industry and governmental events	See FY15 Outcome for how objective is S.M.A.R.T. ---->		100%	Kendall Buchanan	12	Dpty for Market & Consumer Svcs	1201 Main St. Suite 1000 Cola. SC 29201	Market & Consumer Svcs	Market & Consumer Svcs
Title 38 Code of Laws: Chapter 69	Objective 3.2.2 - Participate in trade conferences for regulated entities	See FY15 Outcome for how objective is S.M.A.R.T. ---->		3	Kendall Buchanan	12	Dpty for Market & Consumer Svcs	1201 Main St. Suite 1000 Cola. SC 29201	Market & Consumer Svcs	Market & Consumer Svcs
Title 38 Code of Laws: Chapter 69	Objective 3.2.3 - Host educational sessions for stakeholders	See FY15 Outcome for how objective is S.M.A.R.T. ---->		4	Kendall Buchanan	12	Dpty for Market & Consumer Svcs	1201 Main St. Suite 1000 Cola. SC 29201	Market & Consumer Svcs	Market & Consumer Svcs
Title 38 Code of Laws: Chapter 69	Objective 3.2.4 - Number of consumers assisted by SCDOI Consumer Help Line Switchboard	See FY15 Outcome for how objective is S.M.A.R.T. ---->		10,444	Kendall Buchanan	12	Dpty for Market & Consumer Svcs	1201 Main St. Suite 1000 Cola. SC 29201	Market & Consumer Svcs	Market & Consumer Svcs
Title 38 Code of Laws: Chapter 69	Objective 3.2.5 - Number of consumer calls inquires addressed by Insurance Regulatory Analysts in the SCDOI's Office of Consumer Services	See FY15 Outcome for how objective is S.M.A.R.T. ---->		9,982	Kendall Buchanan	12	Dpty for Market & Consumer Svcs	1201 Main St. Suite 1000 Cola. SC 29201	Market & Consumer Svcs	Market & Consumer Svcs

Strategy, Objectives and Responsibility

Title 38 Code of Laws: Chapter 69	Strategy 3.3 - Evaluate opportunities for speedier resolution of some complaints	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	
Title 38 Code of Laws: Chapter 69	Objective 3.3.1 - Review and modify investigative procedures as necessary	See FY15 Outcome for how objective is S.M.A.R.T. --->	100%		Gwen McGriff	12	Dir. Dir. Legal, Legislative & Ext. Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 3.3.2 - Explore cooperative initiatives with other program areas	See FY15 Outcome for how objective is S.M.A.R.T. --->	100%		Gwen McGriff	12	Dir. Dir. Legal, Legislative & Ext. Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 3.3.3 - Provide document checklists to other program areas to facilitate document requests	See FY15 Outcome for how objective is S.M.A.R.T. --->	100%		Gwen McGriff	12	Dir. Dir. Legal, Legislative & Ext. Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 3.3.4 - Use graduated penalties where appropriate	See FY15 Outcome for how objective is S.M.A.R.T. --->	100%		Gwen McGriff	12	Dir. Dir. Legal, Legislative & Ext. Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 3.3.5 - Percent of enforcement cases concluded within 365 days	See FY15 Outcome for how objective is S.M.A.R.T. --->	93%		Gwen McGriff	12	Dir. Dir. Legal, Legislative & Ext. Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 3.3.6 - Number of complaints resolved	See FY15 Outcome for how objective is S.M.A.R.T. --->	3,344		Kendall Buchanan	12	Dir. Dir. Market & Consumer Svcs	1201 Main St., Suite 1000 Cola, SC 29201	Market & Consumer Svcs	Market & Consumer Svcs
Title 38 Code of Laws: Chapter 69	Objective 3.3.7 - Dollar amount returned to consumers through complaints resolution	See FY15 Outcome for how objective is S.M.A.R.T. --->	1,385,165		Kendall Buchanan	12	Dir. Dir. Market & Consumer Svcs	1201 Main St., Suite 1000 Cola, SC 29201	Market & Consumer Svcs	Market & Consumer Svcs
Title 38 Code of Laws: Chapter 69	Objective 3.3.8 - Complaint/Inquiry Turnaround Time (days)	See FY15 Outcome for how objective is S.M.A.R.T. --->	896		Ben Duncan	12	Dir. Dir. Administration	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Admin
Title 38 Code of Laws: Chapter 69	Objective 3.3.9 - Average turnaround time (in days) to written consumer complaints	See FY15 Outcome for how objective is S.M.A.R.T. --->	775		Kendall Buchanan	12	Dir. Dir. Market & Consumer Svcs	1201 Main St., Suite 1000 Cola, SC 29201	Market & Consumer Svcs	Market & Consumer Svcs
Title 38 Code of Laws: Chapter 69	Objective 3.3.10 - Number of enforcement cases concluded with action annually	See FY15 Outcome for how objective is S.M.A.R.T. --->	50		Gwen McGriff	12	Dir. Dir. Legal, Legislative & Ext. Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 3.3.11 - Legal cases closed	See FY15 Outcome for how objective is S.M.A.R.T. --->	121		Gwen McGriff	12	Dir. Dir. Legal, Legislative & Ext. Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 3.3.12 - Dollar amount of penalties assessed for violations of insurance-related statutes and rules	See FY15 Outcome for how objective is S.M.A.R.T. --->	\$121,150		Gwen McGriff	12	Dir. Dir. Legal, Legislative & Ext. Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 3.3.13 - Dollar amount of restitution assessed for violations of insurance-related statutes and rules	See FY15 Outcome for how objective is S.M.A.R.T. --->	0		Gwen McGriff	12	Dir. Dir. Legal, Legislative & Ext. Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 3.3.14 - Number of referrals of alleged insurer fraud to state and federal prosecutors	See FY15 Outcome for how objective is S.M.A.R.T. --->	12		Gwen McGriff	12	Dir. Dir. Legal, Legislative & Ext. Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 3.3.15 - Number of reports of insurer fraud received	See FY15 Outcome for how objective is S.M.A.R.T. --->	12		Gwen McGriff	12	Dir. Dir. Legal, Legislative & Ext. Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal

Strategy, Objectives and Responsibility

Title 38 Code of Laws: Chapter 69	Objective 4.2.1 - Modify Oracle system or select new system based on recommendations	See FY15 Outcome for how objective is S.M.A.R.T. --->	Ongoing	Curtis Brown	12	Sr Applications Analyst	1201 Main St., Suite 1000 Cola, SC 29201	Admin	IT
Title 38 Code of Laws: Chapter 69	Strategy 4.3 - Offer more e-filing and notification opportunities	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Objective 4.3.1 - Provide for electronic notifications of licensees	See FY15 Outcome for how objective is S.M.A.R.T. --->	Ongoing	Curtis Brown	12	Sr Applications Analyst	1201 Main St., Suite 1000 Cola, SC 29201	Admin	IT
Title 38 Code of Laws: Chapter 69	Strategy 4.4 - Eliminate obsolete filing requirements	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Objective 4.4.1 - Review processes and procedures for necessary modification	See FY15 Outcome for how objective is S.M.A.R.T. --->	100%	Gwen McGriff	12	Dptv Dir. Legal Legislative & Ext Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 4.4.2 - Notify stakeholders of changes via bulletins and compliance workshops	See FY15 Outcome for how objective is S.M.A.R.T. --->	100%	Gwen McGriff	12	Dptv Dir. Legal Legislative & Ext Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 4.4.3 - Review and withdraw any old bulletins	See FY15 Outcome for how objective is S.M.A.R.T. --->	100%	Gwen McGriff	12	Dptv Dir. Legal Legislative & Ext Affairs	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Strategy 4.5 - Make website more interactive	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Objective 4.5.1 - Update and enhance the website	See FY15 Outcome for how objective is S.M.A.R.T. --->	100%	Derrick Brown	12	Sr IR Consultant	1201 Main St., Suite 1000 Cola, SC 29201	Admin	IT
Title 38 Code of Laws: Chapter 69	Objective 4.5.2 - Update technology to make data searchable	See FY15 Outcome for how objective is S.M.A.R.T. --->	Ongoing	Derrick Brown	12	Sr IR Consultant	1201 Main St., Suite 1000 Cola, SC 29201	Admin	IT
Title 38 Code of Laws: Chapter 69	Objective 4.5.3 - Enhance database for SC Safe Home	See FY15 Outcome for how objective is S.M.A.R.T. --->	100%	Tom Watson	12	Finance Dir.	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Finance
Title 38 Code of Laws: Chapter 69	Objective 4.5.4 - Increase the number of consumers using site	See FY15 Outcome for how objective is S.M.A.R.T. --->	47%	Derrick Brown	12	Sr IR Consultant	1201 Main St., Suite 1000 Cola, SC 29201	Admin	IT
Title 38 Code of Laws: Chapter 69	Objective 4.5.5 - Improve navigation and search ability	See FY15 Outcome for how objective is S.M.A.R.T. --->	41%	Derrick Brown	12	Sr IR Consultant	1201 Main St., Suite 1000 Cola, SC 29201	Admin	IT
Title 38 Code of Laws: Chapter 69	Objective 4.5.6 - Increase variety of access methods for site information	See FY15 Outcome for how objective is S.M.A.R.T. --->	265 & 502	Derrick Brown	12	Sr IR Consultant	1201 Main St., Suite 1000 Cola, SC 29201	Admin	IT
Title 38 Code of Laws: Chapter 69	Strategy 4.6 - Review and Maintain heightened level security DOI systems & facilities	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Title 38 Code of Laws: Chapter 69	Objective 4.6.1 - Conduct training sessions for all employees	See FY15 Outcome for how objective is S.M.A.R.T. --->	1	Michael Bradford	12	Chief Investigator	1201 Main St., Suite 1000 Cola, SC 29201	Admin	Legal

Strategy, Objectives and Responsibility

Title 38 Code of Laws: Chapter 69	Objective 4 6 2 - Integrate network security into daily operations	See FY15 Outcome for how objective is S.M.A.R.T. --->	13	Michael Beauford	12	Chief Investigator	1201 Main St. Suite 1000 Colo. SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 4 6 3 - Make "Securing the Human" course mandatory for all on a yearly basis	See FY15 Outcome for how objective is S.M.A.R.T. --->	4	Michael Beauford	12	Chief Investigator	1201 Main St. Suite 1000 Colo. SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 4 6 4 - Implement daily reminders of security -- posters, pop-ups, emails	See FY15 Outcome for how objective is S.M.A.R.T. --->	Monthly & Daily	Michael Beauford	12	Chief Investigator	1201 Main St. Suite 1000 Colo. SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 4 6 5 - Implement all DTO recommendations for IT security /immediately	See FY15 Outcome for how objective is S.M.A.R.T. --->	60%	Michael Beauford	12	Chief Investigator	1201 Main St. Suite 1000 Colo. SC 29201	Admin	Legal
Title 38 Code of Laws: Chapter 69	Objective 4 6 6 - Quarantine staff computers for assessment immediately upon possible DTO data breach notification	See FY15 Outcome for how objective is S.M.A.R.T. --->	100%	Michael Beauford	12	Chief Investigator	1201 Main St. Suite 1000 Colo. SC 29201	Admin	Legal

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	SC Department of Insurance
Date of Submission	January 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)
Administration (0100 000000 000)	Administration: Office of General Counsel/ Information Resource Management (IRM). Executive Services	Title 38 Code of Laws Chapter 69	List ONLY ONE strategic objective per row.
Solvency (4000 050000 000)	Solvency: Financial Examination, Market Conduct Examinations, Financial Analysis, Securities, Securities Custodian and Historical Databases. Employees in this area fall either into Analysis or Examinations. These two offices work together to ensure that insurance companies remain solvent from their foundation onwards. This includes the regulation of applications and licensing, financial monitoring and surveillance, and any regulatory interventions that may be required for companies not meeting state standards. One essential aspect of this division's responsibilities is the evaluation of whether a failing company can be revived, or if it simply needs to be liquidated through a court-sanctioned process. This evaluation is known as a solvency surveillance process, which assists policyholders by ensuring that their investments will be honored when claims come due.	Title 38 Code of Laws Chapter 69	1 4.1; 1.5; 1.3; 2.1.2; 2.2.2; 4.2.3; 1.4; 2.4; 1.6; 2.5; 1.4; 3.1; 1.2; 3.2; 1.3; 3.3; 1.7; 3.3; 10-15; 3.4; 1.4; 4.1; 1.7; 4.2.1; 4.3.1; 4.4; 1.3; 4.5; 1.6; 4.6; 1.6
Licensing (4000 100000 000)	Licensing: Individual Licensing, Companies, Insurer/HMO Licensing, Education, Special Services Division, Third Party Administration Licenses, Utilization Review and Service Contract Providers. This office issues operating licenses, approves continuing education courses, and tracks license compliance across the state. It also oversees the appointments of insurance producers by companies hiring them to draft and conduct business on the company's behalf. Those issued licenses by this division include: producers, agencies, brokers, adjusters, public adjusters, appraisers, bondsmen/runners, premium service companies, utilization review companies, rental car agencies, service contract providers, and third party administrators.	Title 38 Code of Laws Chapter 69	1 1.1; 1.1.6; 1.1.8-9; 1.4.1; 1.5.1; 2.1.2; 2.2.2; 2.2.4; 2.3.4; 2.4.1.6; 2.5.1; 3.1; 1.2; 3.2; 1.3; 3.3.1; 3.3.6; 3.3.10; 4.1.3; 4.3.1; 4.4.1

Associated Programs

Taxation (4000.150000.000)	Premium Tax Collection. The Taxation Office responds to inquiries regarding tax rates, policy fees, and premium taxes. This division also collects premium tax forms and payments from licensed insurance companies, brokers, and captive insurance companies; it also audits these submissions.	Title 38 Code of Laws: Chapter 69	11.1, 11.6-7, 1.1.9, 1.2.1, 1.3.1-7, 1.3.9-11, 1.5.1, 2.1.2, 2.2.2, 2.2.4, 2.3.4, 2.4.1-6, 2.5.1, 3.1.1-2, 3.2.1-3, 3.3.10, 4.1.3, 4.4.1
Consumer Svcs/Compl (4000.200000.000)	Consumer Assistance. This program area is dedicated to assisting consumers with insurance complaints, usually by phone or by email. The division helps struggling consumers to find coverage, answers general inquiries, and generally works to promote and improve the availability of insurance in underserved areas. Outreach is conducted periodically through publications and presentations across the state. In addition, employees are responsible for passing on complaints of unfair actions to the legal division for investigation and possible disciplinary actions.	Title 38 Code of Laws: Chapter 69	1.4.1, 2.1.1-2, 2.2.2, 2.2.4, 2.3.4, 2.4.1-6, 2.5.1, 3.1.2, 3.2.1.5, 3.3.6-10, 3.4.4, 4.1.3, 4.4.1
Policy Forms & Rates (4000.250000.000)	Policy Forms and Rates: Review financial condition and Residual Market. The Market Services division primarily regulates the business aspects of insurance provision. It is responsible for monitoring policy forms, rates, and rule filings from insurers providing Property and Casualty policies as well as Life, Accident, and Health products. The Market Services also assists in promulgating title rates and forms, and collects and analyzes statistical data for trends within the insurance market.	Title 38 Code of Laws: Chapter 69	1.1.2.5, 1.4.1, 1.5.1, 2.1.2, 2.2.2, 2.2.4, 2.3.4, 2.4.1-6, 2.5.1, 3.1.2, 3.2.1-3, 3.3.1, 4.1.3, 4.4.1
Loss Mitigation (4000.300000.000)	Hurricane Loss Mitigation. Eligible homeowners are awarded a matching or non-matching grant (based upon their income as per U.S. HUD guidelines and the value of their home) not to exceed \$5,000 per home to assist them in retrofitting their coastal properties by strengthening and fortifying the envelopes of the structures. Grant recipients must utilize a Safe Home-certified contractor to complete approved work. Grant funds are paid directly to the certified contractor upon completing approved work.	Title 38 Code of Laws: Chapter 69	2.1.2, 2.2.1-4, 2.3.4, 2.4.1-6, 2.5.1, 3.1.2, 3.2.1-3, 4.1.3, 4.4.1, 4.5.3
Uninsured Motorists (4000.350000.000)	Allocation to insurance companies to Reduce Uninsured Motorist Premiums to SC Policy Holders	Title 38 Code of Laws: Chapter 69	2.1.2, 2.2.2, 2.2.4, 2.3.4, 2.4.1-6, 2.5.1, 3.1.2, 3.2.1-3, 4.1.3, 4.4.1
Captives (4000.400000.000)	Captives & ARTS MKT SVC's. This program area is responsible for bringing captive insurance companies (also known as alternative risk companies) to South Carolina, as well as, promoting and regulating their activities. Tasks include issuing new licenses, providing financial surveillance, and monitoring market and business conditions in the state.	Title 38 Code of Laws: Chapter 69	1.1.1, 1.1.7, 1.1.9, 1.2.1, 1.3.1-13, 1.4.1, 1.5.1, 2.1.2, 2.2.2, 2.2.4, 2.3.4, 2.4.1-6, 2.5.1, 3.1.1-2, 3.2.1-3, 3.3.1, 3.3.6, 3.3.10, 4.1.3, 4.4.1

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 to 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.

Agency Responding	SC Department of Insurance
Date of Submission	January 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)

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:

FY16 funding is not allocated per objective, only by fund and program/cost center

Source of Funds:	General Fund (10010000)	Operating Revenue (30350000)	Donations (30980000)	Hurricane Damage Mitigation (34570000)	Captives (36850000)	Uninsured Motorists - Admin (43270000)	Uninsured Motorists (4530000)
Estimated Funds Available this Fiscal Year (2015-16)	\$18,713,739	\$5,754,409	\$87,356	\$4,267,254	\$2,416,735	\$200,000	\$2,155,000
Is the source state, other or federal funding:	State	Other	Other	Other	Other	Other	Other
Is funding recurring or one-time?	Recurring	Recurring	Recurring	Recurring	Recurring	Recurring	Recurring
\$ From Last Year Available to Spend this Year	\$3,096,536	\$1,826,500	\$2,632	\$408,813	\$703,612	\$0	\$154,979
Amount available at end of previous fiscal year	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Amount available at end of previous fiscal year that agency can actually use this fiscal year:	\$0	\$0	\$0	\$0	\$0	\$0	\$0
If the amounts in the two rows above are not the same, explain why:	Enter explanation for each fund to the right	Depends on cash availability and authority for billings	Depends on cash availability	Depends on cash availability	Depends on cash availability and authority for billings	N/A	Depends on cash availability
\$ Estimated to Receive this Year	\$18,719,739	\$5,754,409	\$87,356	\$4,267,254	\$2,416,735	\$200,000	\$2,155,000
Amount budgeted/estimated to receive in this fiscal year	\$18,719,739	\$5,754,409	\$87,356	\$4,267,254	\$2,416,735	\$200,000	\$2,155,000
Total Actually Available this Year	\$18,719,739	\$5,754,409	\$87,356	\$4,267,254	\$2,416,735	\$200,000	\$2,155,000

Strategic Budgeting

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)	\$18,719,739	\$3,838,985	\$5,754,409	\$87,356	\$4,267,254	\$2,416,735	\$200,000	\$2,155,000
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Strategic Budgeting

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)	\$18,719,739	\$3,838,985	\$5,754,409	\$87,356	\$4,267,254	\$2,416,735	\$200,000	\$2,155,000
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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 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 continue consider which partners the agency could work with to more effectively and efficiently accomplish each objective.

Agency Responding	SC Department of Insurance
Date of Submission	January 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	This represents only a "sample" of our objectives See Agency's Strategic Plan at http://www.scstatehouse.gov/reports/year2015/r20.pdf
# and description of Goal the Objective is helping accomplish	Goal 1 - Maintain a solvent and competitive insurance marketplace
Legal responsibilities satisfied by Goal:	Title 38 Code of Laws: SC Code of Regs. Ann., Chapter 69
# and description of Strategy the Objective is under:	Strategy 1.1 - Process Rates, Forms and Licenses promptly
Objective	
Objective # and Description:	Objective 1.1.3 - LA&H Filing Turnaround Time
Legal responsibilities satisfied by Objective:	Title 38 Code of Laws: SC Code of Regs. Ann., Chapter 69
Public Benefit/Intended Outcome:	To ensure that compliant LAH insurance products are available to South Carolina consumers
Agency Programs Associated with Objective	
Program Name::	Market & Consumer Svcs
Responsible Person	
Name:	Kendall Buchanan
Number of Months Responsible:	12
Position:	Diry for Market & Consumer Svcs
Office Address:	1201 Main St., Suite 1000 Colo., SC 29201
Department or Division:	Market & Consumer Svcs
Department or Division Summary:	Market & Consumer Svcs
Amount Budgeted and Spent To Accomplish Objective	
Total Budgeted for this fiscal year:	N/A - The Agency does not budget by objective, only fund and program/cost center

Objective Details

Total Actually Spent: N/A - The Agency does not budget by objective, only fund and program/cost center

PERFORMANCE MEASURES

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 1.1.3 - LA&H Filing Turnaround Time
Performance Measure	LA&H Filing Turnaround Time (days)
Type of Measure	Efficiency Measure
Results	2013-14 Actual Results (as of 6/30/14) 26 211 2014-15 Target Results Market Driven 2014-15 Actual Results (as of 6/30/15) 28 63 2015-16 Minimum Acceptable Results Market Driven 2015-16 Target Results Market Driven

Details

Does the state or federal government require the agency to track this? (provide any additional explanation needed, two cells over)	Only Agency Selected	N/A
What are the names and titles of the individuals who chose this as a performance measure?	Kendall Buchanan	
Why was this performance measure chosen?	SMART Measure to track Agency progress towards goals and strategies	
If the target value was not reached in 2014-15, what changes were made to try and ensure it was reached?	Same	
What are the names and titles of the individuals who chose the target value for 2015-16?	Historical Analysis	
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?		

Objective Details

Based on the performance so far in 2015-16, does it appear the agency is going to reach the target for 2015-16?	Yes
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?	

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	N/A
Level Requires Outside Help	N/A
Outside Help to Request	N/A
Level Requires Inform General Assembly	N/A
3 General Assembly Options	N/A

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)
FY14 Statewide Agreed Upon Procedures Audit	Ongoing Audits by the State Auditors Office	State Auditors Office - External	http://osa.sc.gov/stateengagements/Pages/InsuredDepartment.aspx

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?

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 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 continue consider which partners the agency could work with to more effectively and efficiently accomplish each objective.

Agency Responding	SC Department of Insurance
Date of Submission	January 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	This represents only a "sample" of our objectives. See Agency's Strategic Plan at http://www.scstatehouse.gov/reports/air2015/r20.pdf
# and description of Goal the Objective is helping accomplish	Goal 1 - Maintain a solvent and competitive insurance marketplace
Legal responsibilities satisfied by Goal:	Title 38 Code of Laws, SC Code of Regs. Ann, Chapter 69
# and description of Strategy the Objective is under:	Strategy 1.1 - Process Rates, Forms and Licenses promptly
Objective	
Objective # and Description:	Objective 1.1.5 - P&C Filing Turnaround Time
Legal responsibilities satisfied by Objective:	Title 38 Code of Laws, SC Code of Regs. Ann, Chapter 69
Public Benefit/Intended Outcome:	To ensure that compliant P&C insurance products are available to South Carolina consumers
Agency Programs Associated with Objective	
Program Names:	Market & Consumer Svcs
Responsible Person	
Name:	Kendall Buchanan
Number of Months Responsible:	12
Position:	Dpty for Market & Consumer Svcs
Office Address:	1201 Main St, Suite 1000 Colr., SC 29201
Department or Division:	Market & Consumer Svcs
Department or Division Summary:	Market & Consumer Svcs
Amount Budgeted and Spent To Accomplish Objective	
Total Budgeted for this fiscal year:	N/A - The Agency does not budget by objective, only fund and program/cost center

Objective Details

Total Actually Spent:	N/A - The Agency does not budget by objective, only fund and program/cost center
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PERFORMANCE MEASURES

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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/Exploratory/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 1.1.5 - P&C Filing Turnaround Time	
	Performance Measure:	P&C Filing Turnaround Time (days)	
	Type of Measure:	Efficiency Measure	
Results			
	2013-14 Actual Results (as of 6/30/14):	17	
	2014-15 Target Results:	Market Driven	
	2014-15 Actual Results (as of 6/30/15):	8.6	
	2015-16 Minimum Acceptable Results:	Market Driven	
	2015-16 Target Results:	Market Driven	
Details			
Does the state or federal government require the agency to track this? (provide any additional explanation needed, two cells over)	Only Agency Selected		N/A
What are the names and titles of the individuals who chose this as a performance measure?	Kendall Buchanan		
Why was this performance measure chosen?	SMART Measure to track Agency progress towards goals and strategies		
If the target value was not reached in 2014-15, what changes were made to try and ensure it was reached?	Same		
What are the names and titles of the individuals who chose the target value for 2015-16?	Historical Analysis		
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?			

Objective Details

Based on the performance so far in 2015-16, does it appear the agency is going to reach the target for 2015-16?	Yes
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?	

POTENTIAL NEGATIVE IMPACT

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Most Potential Negative Impact	N/A
Level Requires Outside Help	N/A
Outside Help to Request	N/A
Level Requires Inform General Assembly	N/A
3 General Assembly Options	N/A

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)
FY14 Statewide Agreed Upon Procedures Audit	Ongoing Audits by the State Auditors Office	State Auditors Office - External	http://osa.sc.gov/stateenagements/Pages/InsuranceDepartment.aspx

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?

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 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 continua consider which partners the agency could work with to more effectively and efficiently accomplish each objective.

Agency Responding	SC Department of Insurance
Date of Submission	January 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	This represents only a "sample" of our objectives	See
	Agency's Strategic Plan at http://www.sstatehouse.gov/reports/aar2015/r20.pdf	
# and description of Goal the Objective is helping accomplish	Goal 1 - Maintain a solvent and competitive insurance marketplace	
Legal responsibilities satisfied by Goal:	Title 38 Code of Laws, SC Code of Regs. Ann., Chapter 69	
# and description of Strategy the Objective is under:	Strategy 1.1 - Process Rates, Forms and Licenses promptly	
Objective		
Objective # and Description:	Objective 1.1.8 - Producer Licensing Turnaround Time (hours)	
Legal responsibilities satisfied by Objective:	Title 38 Code of Laws, SC Code of Regs. Ann., Chapter 69	
Public Benefit/Intended Outcome:	To ensure the availability of licensed insurance producers	
Agency Programs Associated with Objective		
Program Names:	Admin	
Responsible Person		
Name:	Ben Duncan	
Number of Months Responsible	12	
Position:	Dpty for Administration	
Office Address:	1201 Main St, Suite 1000 Cola, SC 29201	
Department or Division:	Admin	
Department or Division Summary:	Admin	
Amount Budgeted and Spent To Accomplish Objective		
Total Budgeted for this fiscal year:	N/A - The Agency does not budget by objective, only fund and program/cost center	

Objective Details

Total Actually Spent:

N/A - The Agency does not budget by objective, only fund and program/cost center

PERFORMANCE MEASURES

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."
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Types of Performance Measures:

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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 1.1.8 - Producer Licensing Turnaround Time (hours)	
	Performance Measure	Producer Licensing Turnaround Time (hours)	
	Type of Measure	Efficiency Measure	
Results			
	2013-14 Actual Results (as of 6/30/14):	7.66	
	2014-15 Target Results:	7	
	2014-15 Actual Results (as of 6/30/15):	6.62	
	2015-16 Minimum Acceptable Results:	7	
	2015-16 Target Results:	7	
Details			
	Does the state or federal government require the agency to track this? (provide any additional explanation needed, two cells over)	Only Agency Selected	N/A
	What are the names and titles of the individuals who chose this as a performance measure?	Ben Duncan	
	Why was this performance measure chosen?	SMART Measure to track Agency progress towards goals and strategies	
	If the target value was not reached in 2014-15, what changes were made to try and ensure it was reached?	Same	
	What are the names and titles of the individuals who chose the target value for 2015-16?	Same	
	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?	Historical Analysis	

Objective Details

Based on the performance so far in 2015-16, does it appear the agency is going to reach the target for 2015-16?	Yes
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?	

POTENTIAL NEGATIVE IMPACT

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Most Potential Negative Impact	N/A
Level Requires Outside Help	N/A
Outside Help to Request	N/A
Level Requires Inform General Assembly	N/A
3 General Assembly Options	N/A

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)
FY14 Statewide Agreed Upon Procedures Audit	Ongoing Audits by the State Auditors Office	State Auditors Office - External	http://osa.sc.gov/stateenqadements/Pages/InsuranceDepartment.aspx

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.

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Objective Details

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Agency Responding	SC Department of Insurance
Date of Submission	January 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	This represents only a "sample" of our objectives Agency's Strategic Plan at http://www.scstatehouse.gov/reports/aar2015/r20.pdf	See
# and description of Goal the Objective is helping accomplish	Goal 1 - Maintain a solvent and competitive insurance marketplace	
Legal responsibilities satisfied by Goal:	Title 38 Code of Laws, SC Code of Regs. Ann., Chapter 69	
# and description of Strategy the Objective is under:	Strategy 1.1 - Process Rates, Forms and Licenses promptly	
Objective	Objective 1.1.9 - Newly Licensed Individuals	
Legal responsibilities satisfied by Objective:	Title 38 Code of Laws, SC Code of Regs. Ann., Chapter 69	
Public Benefit/Intended Outcome:	To ensure that the SC market has the capability to effectively to the needs of South Carolina insurance consumers	
Agency Programs Associated with Objective		
Program Names:	Admin	
Responsible Person		
Name:	Ben Duncan	
Number of Months Responsible:	12	
Position:	Dir for Administration	
Office Address:	1201 Main St, Suite 1000 Colo, SC 29201	
Department or Division:	Admin	
Department or Division Summary:	Admin	
Amount Budgeted and Spent To Accomplish Objective		
Total Budgeted for this fiscal year:	N/A - The Agency does not budget by objective, only fund and program/cost center	

Objective Details

Total Actually Spent: N/A - The Agency does not budget by objective, only fund and program/cost center

PERFORMANCE MEASURES

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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 1.1.9 - Newly Licensed Individuals
Performance Measure	Newly Licensed Individuals
Type of Measure	Outcome Measure
Results	
2013-14 Actual Results (as of 6/30/14)	42550
2014-15 Target Results	Market Driven
2014-15 Actual Results (as of 6/30/15)	46981
2015-16 Minimum Acceptable Results	Market Driven
2015-16 Target Results	Market Driven

Details

Does the state or federal government require the agency to track this? (provide any additional explanation needed, two cells over)	Only Agency Selected	N/A
What are the names and titles of the individuals who chose this as a performance measure?	Ben Duncan	
Why was this performance measure chosen?	SMART Measure to track Agency progress towards goals and strategies	
If the target value was not reached in 2014-15, what changes were made to try and ensure it was reached?	Same	
What are the names and titles of the individuals who chose the target value for 2015-16?	Historical Analysis	
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?		

Objective Details

Based on the performance so far in 2015-16, does it appear the agency is going to reach the target for 2015-16?	Yes
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?	

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 Potent al 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	N/A
Level Requires Outside Help	N/A
Outside Help to Request	N/A
Level Requires Inform General Assembly	N/A
3 General Assembly Options	N/A

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)
FY14 Statewide Agreed Upon Procedures Audit	Ongoing Audits by the State Auditors Office	State Auditors Office - External	http://osa.sc.gov/state/governments/Pages/FinanceDepartment.aspx

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?

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 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 continua consider which partners the agency could work with to more effectively and efficiently accomplish each objective.

Agency Responding	SC Department of Insurance
Date of Submission	January 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	<i>This represents only a "sample" of our objectives</i>	<i>See</i>
# and description of Goal the Objective is helping accomplish:	<i>Agency's Strategic Plan at http://www.scstatehouse.gov/reports/aoar2015/r20.pdf</i>	<i>Goal 1 - Maintain a solvent and competitive insurance marketplace</i>
Legal responsibilities satisfied by Goal:	<i>Title 38 Code of Laws, SC Code of Regs. Ann. Chapter 69</i>	<i>Strategy 1.2 - Recruit new insurers to SC to write in underserved markets</i>
# and description of Strategy the Objective is under:		
Objective		
Objective # and Description:	<i>Objective 1.2.1 - Track insurance entities licensed/approved/registered in SC</i>	
Legal responsibilities satisfied by Objective:	<i>Title 38 Code of Laws, SC Code of Regs. Ann. Chapter 69</i>	
Public Benefit/Intended Outcome:	<i>To monitor insurance markets to ensure that needed insurance products are available for SC insurance consumers</i>	
Agency Programs Associated with Objective		
Program Names:	<i>Financial Services</i>	
Responsible Person		
Name:	<i>Lee Hill</i>	
Number of Months Responsible:	<i>12</i>	
Position:	<i>Dpty for Office of Financial Services</i>	
Office Address:	<i>1201 Main St., Suite 1000 Columbia, SC 29201</i>	
Department or Division:	<i>Financial Services</i>	
Department or Division Summary:	<i>Financial Services</i>	
Amount Budgeted and Spent To Accomplish Objective		

Objective Details

Total Budgeted for this fiscal year:	N/A - The Agency does not budget by objective, only fund and program/cost center
Total Actually Spent:	N/A - The Agency does not budget by objective, only fund and program/cost center

PERFORMANCE MEASURES

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 1.2.1 - Track insurance entities licensed/approved/registered in SC	
Performance Measure:	Track insurance entities licensed/approved/registered in SC	
Type of Measure:	Outcome Measure	
Results		
	2013-14 Actual Results (as of 6/30/14)	Market Driven
	2014-15 Target Results	Market Driven
	2014-15 Actual Results (as of 6/30/15)	Traditional Net 21 Non-RRG Captives Net 12
	2015-16 Minimum Acceptable Results	Market Driven
	2015-16 Target Results	Market Driven
Details		
Does the state or federal government require the agency to track this? (provide any additional explanation needed, two cells over)	Only Agency Selected	N/A
What are the names and titles of the individuals who chose this as a performance measure?	Lee Hill	
Why was this performance measure chosen?	SMART Measure to track Agency progress towards goals and strategies	
If the target value was not reached in 2014-15, what changes were made to try and ensure it was reached?		
What are the names and titles of the individuals who chose the target value for 2015-16?	Same	

Objective Details

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?	Historical Analysis
Based on the performance so far in 2015-16, does it appear the agency is going to reach the target for 2015-16?	Yes
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?	

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	N/A
Level Requires Outside Help	N/A
Outside Help to Request	N/A
Level Requires Inform General Assembly	N/A
3 General Assembly Options	N/A

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)
FY14 Statewide Agreed Upon Procedures Audit	Ongoing Audits by the State Auditors Office	State Auditors Office - External	http://osa.sc.gov/stateengagements/Pages/Inquire.aspx

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?

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 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 continue consider which partners the agency could work with to more effectively and efficiently accomplish each objective.

Agency Responding	SC Department of Insurance
Date of Submission	January 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."); NOTE: Call House Staff if the agency has any questions or needs any assistance in completing the information below.

Strategic Plan Context	This represents only a "sample" of our objectives	See
# and description of Goal the Objective is helping accomplish:	http://www.scsenatehouse.gov/reports/aar2015/r20.pdf Agency's Strategic Plan at Goal 1 - Maintain a solvent and competitive insurance marketplace	
Legal responsibilities satisfied by Goal:	Title 38 Code of Laws, SC Code of Regs. Ann, Chapter 69	
# and description of Strategy the Objective is under:	Strategy 1.3 - Monitor insurer solvency through financial analysis and examinations	
Objective		
Objective # and Description:	Objective 1.3.12 - Captive Business Plan Changes - net days (Dept. processing time)	
Legal responsibilities satisfied by Objective:	Title 38 Code of Laws, SC Code of Regs. Ann, Chapter 69	
Public Benefit/Intended Outcome:	To enable the captive insurance market to respond effectively to changing market conditions	
Agency Programs Associated with Objective		
Program Names:	Financial Services	
Responsible Person		
Name:	Lee Hill	
Number of Months Responsible:	12	
Position:	Deputy for Office of Financial Services	
Office Address:	1201 Main St., Suite 1000 Colo., SC 29201	
Department or Division:	Financial Services	
Department or Division Summary:	Financial Services	
Amount Budgeted and Spent To Accomplish Objective		

Objective Details

Total Budgeted for this fiscal year:	N/A - The Agency does not budget by objective, only fund and program/cost center
Total Actually Spent:	N/A - The Agency does not budget by objective, only fund and program/cost center

PERFORMANCE MEASURES

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/Explanation/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 1.3.12 - Captive Business Plan Changes - net days (Dept. processing time)
Performance Measure	Captive Business Plan Changes - net days (Dept. processing time)
Type of Measure	Efficiency Measure
Results	
	2013-14 Actual Results (as of 6/30/14): 2.04
	2014-15 Target Results: < 3
	2014-15 Actual Results (as of 6/30/15): 2.26
	2015-16 Minimum Acceptable Results: < 3
	2015-16 Target Results: < 3

Details

Does the state or federal government require the agency to track this? (provide any additional explanation needed. two cells over)	Only Agency Selected	N/A
What are the names and titles of the individuals who chose this as a performance measure?	Lee Hill	
Why was this performance measure chosen?	SMART Measure to track Agency progress towards goals and strategies	
If the target value was not reached in 2014-15, what changes were made to try and ensure it was reached?		
What are the names and titles of the individuals who chose the target value for 2015-16?	Same	

Objective Details

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?	Historical Analysis
Based on the performance so far in 2015-16, does it appear the agency is going to reach the target for 2015-16?	Yes
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?	

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	N/A
Level Requires Outside Help	N/A
Outside Help to Request	N/A
Level Requires Inform General Assembly	N/A
3 General Assembly Options	N/A

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)
FY14 Statewide Agreed Upon Procedures Audit	Ongoing Audits by the State Auditors Office	State Auditors Office - External	http://osa.sc.gov/stateagreements/Pages/InsurancelDepartment.aspx

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?

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 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 continua consider which partners the agency could work with to more effectively and efficiently accomplish each objective.

Agency Responding	SC Department of Insurance
Date of Submission	January 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 *This represents only a "sample" of our objectives See Agency's Strategic Plan at <http://www.scsenatehouse.gov/reports/aar2015/20.pdf>*

# and description of Goal the Objective is helping accomplish	<i>Goal 1 - Maintain a solvent and competitive insurance marketplace</i>
Legal responsibilities satisfied by Goal	<i>Title 38 Code of Laws, SC Code of Regs. Ann., Chapter 69</i>
# and description of Strategy the Objective is under	<i>Strategy 1.3 - Monitor insurer solvency through financial analysis and examinations</i>

Objective	<i>Objective 1.3.13 - Captive Business Plan Changes - total days (receipt to closure)</i>
Objective # and Description	<i>Title 38 Code of Laws, SC Code of Regs. Ann., Chapter 69</i>
Legal responsibilities satisfied by Objective	<i>To enable the captive insurance market to respond effectively to changing market conditions</i>
Public Benefit/Intended Outcome	<i>Financial Services</i>

Agency Programs Associated with Objective	<i>Financial Services</i>
Program Names:	

Responsible Person	<i>Lee Hill</i>
Name:	
Number of Months Responsible	<i>12</i>
Position	<i>Dpty for Office of Financial Services</i>
Office Address:	<i>1201 Main St., Suite 1000 Colo., SC 29201</i>
Department or Division:	<i>Financial Services</i>
Department or Division Summary	<i>Financial Services</i>

Amount Budgeted and Spent To Accomplish Objective	
Total Budgeted for this fiscal year	<i>N/A - The Agency does not budget by objective, only fund and</i>

Objective Details

Total Actually Spent: N/A - The Agency does not budget by objective, only fund and program/cost center

PERFORMANCE MEASURES

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 1.3.13 - Captive Business Plan Changes - total days (receipt to closure)	
Performance Measure	Captive Business Plan Changes - total days (receipt to closure)	
Results	Type of Measure:	Efficiency Measure
2013-14 Actual Results (as of 6/30/14):	3.98	
2014-15 Target Results:	< 7	
2014-15 Actual Results (as of 6/30/15):	4.91	
2015-16 Minimum Acceptable Results:	< 7	
2015-16 Target Results:	< 7	
Details		
Does the state or federal government require the agency to track this? (provide any additional explanation needed, two cells over)	Only Agency Selected	N/A
What are the names and titles of the individuals who chose this as a performance measure?	Lee Hill	
Why was this performance measure chosen?	SMART Measure to track Agency progress towards goals and strategies	
If the target value was not reached in 2014-15, what changes were made to try and ensure it was reached?		
What are the names and titles of the individuals who chose the target value for 2015-16?	Same	
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?	Historical Analysis	

Objective Details

Based on the performance so far in 2015-16, does it appear the agency is going to reach the target for 2015-16?	Yes
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?	

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	N/A
Level Requires Outside Help	N/A
Outside Help to Request	N/A
Level Requires Inform General Assembly	N/A
3 General Assembly Options	N/A

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)
FY14 Statewide Agreed Upon Procedures Audit	Ongoing Audits by the State Auditors Office	State Auditors Office - External	http://gsa.sc.gov/stateenqademo/ris/Pages/risurancereport.aspx

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?

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 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 continua consider which partners the agency could work with to more effectively and efficiently accomplish each objective.

Agency Responding	SC Department of Insurance
Date of Submission	January 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:	This represents only a "sample" of our objectives Agency's Strategic Plan at http://www.scstatehouse.gov/reports/our2015/120.pdf
# and description of Goal the Objective is helping accomplish	Goal 3 - Protect the public through effective regulatory enforcement of insurance laws
Legal responsibilities satisfied by Goal:	Title 38 Code of Laws, SC Code of Regs. Ann. Chapter 69
# and description of Strategy the Objective is under:	Strategy 3.3 - Evaluate opportunities for speedier resolution of some complaints
Objective	
Objective # and Description:	Objective 3.3.8 - Complaint/Inquiry Turnaround Time (days)
Legal responsibilities satisfied by Objective:	Title 38 Code of Laws, SC Code of Regs. Ann. Chapter 69
Public Benefit/Intended Outcome:	To provide South Carolina consumers or DOI stakeholders with a quicker resolution
Agency Programs Associated with Objective	
Program Names:	Admin
Responsible Person	
Name:	Ben Duncan
Number of Months Responsible:	12
Position:	Deputy for Administration
Office Address:	1201 Main St, Suite 1000 Coln., SC 29201
Department or Division:	Admin
Department or Division Summary:	Admin
Amount Budgeted and Spent To Accomplish Objective	

Objective Details

Total Budgeted for this fiscal year:	N/A - The Agency does not budget by objective, only fund and program/cost center
Total Actually Spent:	N/A - The Agency does not budget by objective, only fund and program/cost center

PERFORMANCE MEASURES

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 3.3.8 - Complaint/Inquiry Turnaround Time (days)	
Performance Measure:	Complaint/Inquiry Turnaround Time (days)	
Type of Measure:	Efficiency Measure	
Results		
	2013-14 Actual Results (as of 6/30/14):	7.83
	2014-15 Target Results:	Market Driven
	2014-15 Actual Results (as of 6/30/15):	8.96
	2015-16 Minimum Acceptable Results:	Market Driven
	2015-16 Target Results:	Market Driven
Details		
Does the state or federal government require the agency to track this? (provide any additional explanation needed, two cells over)	Only Agency Selected	N/A
What are the names and titles of the individuals who chose this as a performance measure?	Ben Duncan	
Why was this performance measure chosen?	SMART Measure to track Agency progress towards goals and strategies	
If the target value was not reached in 2014-15, what changes were made to try and ensure it was reached?		
What are the names and titles of the individuals who chose the target value for 2015-16?	Same	

Objective Details

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?	Historical Analysis
Based on the performance so far in 2015-16, does it appear the agency is going to reach the target for 2015-16?	Yes
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?	

POTENTIAL NEGATIVE IMPACT

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Most Potential Negative Impact	N/A
Level Requires Outside Help	N/A
Outside Help to Request	N/A
Level Requires Inform General Assembly	N/A
3 General Assembly Options	N/A

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)
FY14 Statewide Agreed Upon Procedures Audit	Ongoing Audits by the State Auditors Office	State Auditors Office - External	http://osa.sc.gov/stateengagements/Pages/InsuancelDepartment.aspx

PARTNERS

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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?

Objective Details



Objective Details

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Agency Responding	SC Department of Insurance
Date of Submission	January 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	This represents only a "sample" of our objectives Agency's Strategic Plan at http://www.sccour.gov/reports/cor2015/r20.pdf	See
# and description of Goal the Objective is helping accomplish:	Goal 3 - Protect the public through effective regulatory enforcement of insurance laws	
Legal responsibilities satisfied by Goal:	Title 38 Code of Laws: SC Code of Regs. Ann., Chapter 69	
# and description of Strategy the Objective is under:	Strategy 3.3 - Evaluate opportunities for speedier resolution of some complaints	
Objective	Objective 3.3.1 - Legal cases closed	
Objective # and Description:	Title 38 Code of Laws: SC Code of Regs. Ann., Chapter 69	
Legal responsibilities satisfied by Objective:	To provide South Carolina consumers or DOJ stakeholders with a quicker resolution	
Public Benefit/Intended Outcome:		
Agency Programs Associated with Objective		
Program Names:	Admin	
Responsible Person		
Name:	Gwen McGriff	
Number of Months Responsible:	12	
Position:	Dpty Dir Legal, Legislative & Ext. Affairs	
Office Address:	1201 Main St, Suite 1000 Columbia, SC 29201	
Department or Division:	Admin	
Department or Division Summary:	Admin	
Amount Budgeted and Spent To Accomplish Objective		
Total Budgeted for this fiscal year:	N/A - The Agency does not budget by objective, only fund and program/cost center	

Objective Details

Total Actually Spent: N/A - The Agency does not budget by objective, only fund and program/cost center

PERFORMANCE MEASURES

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.

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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 3.3.11 - Legal cases closed	
Performance Measure:	Legal cases closed	
Type of Measure:	Outcome Measure	
Results		
	2013-14 Actual Results (as of 6/30/14): 111	
	2014-15 Target Results: 100%	
	2014-15 Actual Results (as of 6/30/15): 121	
	2015-16 Minimum Acceptable Results: 100%	
	2015-16 Target Results: 100%	
Details		
Does the state or federal government require the agency to track this? (provide any additional explanation needed, two cells over)	Only Agency Selected	N/A
What are the names and titles of the individuals who chose this as a performance measure?	Gwen McGriff	
Why was this performance measure chosen?	SMART Measure to track Agency progress towards goals and strategies	
If the target value was not reached in 2014-15, what changes were made to try and ensure it was reached?		
What are the names and titles of the individuals who chose the target value for 2015-16?	Same	
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?	Historical Analysis	

Objective Details

Based on the performance so far in 2015-16, does it appear the agency is going to reach the target for 2015-16?	Yes
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?	

POTENTIAL NEGATIVE IMPACT

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Most Potential Negative Impact	N/A
Level Requires Outside Help	N/A
Outside Help to Request	N/A
Level Requires Inform General Assembly	N/A
3 General Assembly Options	N/A

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)
FY14 Statewide Agreed Upon Procedures Audit	Ongoing Audits by the State Auditors Office	State Auditors Office - External	http://osa.sc.gov/stateenagement/sr/pages/insuranceDepartment.aspx

PARTNERS

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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?

Objective Details

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Agency Responding	SC Department of Insurance
Date of Submission	January 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	<i>N/A - The Agency does not budget by objective, only fund and program/cost center</i>
# and description of Goal the Objective is helping accomplish	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
Legal responsibilities satisfied by Goal	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
# and description of Strategy the Objective is under	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
Objective	
Objective # and Description	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
Legal responsibilities satisfied by Objective	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
Public Benefit/Intended Outcome	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
Agency Programs Associated with Objective	
Program Names	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
Responsible Person	
Name:	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
Number of Months Responsible	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
Position:	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
Office Address:	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
Department or Division	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
Department or Division Summary	See Agency's Strategic Plan at http://www.sccstatehouse.gov/reports/aoar2015/r20.pdf
Amount Budgeted and Spent To Accomplish Objective	

Objective Details

Total Budgeted for this fiscal year	N/A - The Agency does not budget by objective, only fund and
Total Actually Spent	N/A - The Agency does not budget by objective, only fund and program/cost center

PERFORMANCE MEASURES

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How the Agency is Measuring its Performance	Objective Number and Description	Is Agency Selected
	Objective Measure: See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	
	Type of Measure: See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	
Results	2013-14 Actual Results (as of 6/30/14) See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	
	2014-15 Target Results See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	
	2014-15 Actual Results (as of 6/30/15) See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	
	2015-16 Minimum Acceptable Results See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	
	2015-16 Target Results See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	
Details		
Does the state or federal government require the agency to track this? (provide any additional explanation needed, two cells over)	Only Agency Selected	N/A
What are the names and titles of the individuals who chose this as a performance measure?	See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	
Why was this performance measure chosen?	See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	
If the target value was not reached in 2014-15, what changes were made to try and ensure it was reached?	See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	
What are the names and titles of the individuals who chose the target value for 2015-16?	See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	
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?	See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	
Based on the performance so far in 2015-16, does it appear the agency is going to reach the target for 2015-16?	See Agency's Strategic Plan at http://www.sctatehouse.gov/reports/aar2015/r20.pdf	

Objective Details

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? [See Agency's Strategic Plan at http://www.sstatehouse.gov/reports/aar2015/r20.pdf](http://www.sstatehouse.gov/reports/aar2015/r20.pdf)

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	N/A
Level Requires Outside Help	N/A
Outside Help to Request	N/A
Level Requires Inform General Assembly	N/A
3 General Assembly Options	N/A

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)
FY14 Statewide Agreed Upon Procedures Audit	Ongoing Audits by the State Auditors Office	State Auditors Office - External	http://osa.sc.gov/stateauditmanagement/Pages/Insurancelist.aspx

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 (frames 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?
SC Dept. of Revenue	MOU associated with electronic payments (ACH)	State/Local Government Entity
SC Attorney General's Office	No formal arrangement, just agency to agency cooperation on various common issues from time to time regarding fraud and legal issues	State/Local Government Entity
SC Wind & Hill Association	No formal arrangement, just agency to agency cooperation on various common issues from time to time regarding Sale Homes and Coastal Property (e.g. rates, expansion, etc.)	Business, Association or Individual
National Association of Insurance Commissioners	Agreement to share information with other regulators for purposes of market and solvency surveillance as well as enforcement.	Business, Association or Individual
SC Workers Compensation	No formal arrangement, just agency to agency cooperation on various common issues from time to time regarding rates and various committees and task forces	State/Local Government Entity

Objective Details

US Department of Labor	MOU to share confidential information and to cooperate in enforcement efforts related to fraud	
US Department of Health and Human Services	Confidentiality Statement for access to Qualified Health Plan data and various other information submitted by health and dental insurance issuers	
Financial Stability Oversight Council	MOU to share confidential information related to insurer solvency and financial condition	State/Local Government Entity
Municipal Association of South Carolina	MOU regarding the collection of municipal taxes set forth under South Carolina law	State/Local Government Entity
SC Gov	MOU associated with electronic payments (credit cards)	State/Local Government Entity
SC Consumer Affairs	MOU to share information concerning rate filings. The Department of Consumer Affairs can intervene, when needed, on rate and filings.	State/Local Government Entity

Reporting Requirements

Agency Responding	SC Department of Insurance
Date of Submission	January 12, 2016
Fiscal Year for which information below pertains	2015-16

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	SC Department of Insurance	SC Department of Insurance
Report #	1	2
Report Name:	Restructuring Reports: Senate Oversight & House Oversight, respectively	Accountability Report
Why Report is Required		
Legislative entity requesting the agency complete the report:	Senate Oversight and House Legislative Oversight Committee, respectively	Governor's Office
Law which requires the report:	Section 1-30-10(G)	
Agency's understanding of the intent of the report:	Increase cost savings & efficiencies	Assist with Budget Request & report on Agency performance the preceding FY
Year agency was first required to complete the report:	Approx. 7 years ago and annually, respectively	Not Sure
Reporting frequency (i.e. annually, quarterly, monthly):	Yearly	Yearly
Information on Most Recently Submitted Report		
Date Report was last submitted:	01/13/2015 and 3/31/2015, respectively	09/14/2015
Timing of the Report		
Month Report Template is Received by Agency:	November and February, respectively	June
Month Agency is Required to Submit the Report:	January and March, respectively	September
Where Report is Available & Positive Results		
Information in all these rows should be for when		

Reporting Requirements

the agency completed the report most recently	To whom the agency provides the completed report:	Office of Senate Oversight & House Legislative Oversight Committee, respectively	Executive Budget Office
Website on which the report is available:	http://www.scsenatehouse.gov	http://www.admin.sc.gov/budget/agency-accountability-reports	
If it is not online, how can someone obtain a copy of it:	N/A	N/A	
Positive results agency has seen from completing the report:			

Agencies are not required to do anything in this worksheet. This worksheet is part of the document so the proper drop down menus 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

