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Office of the Auditor General

Report Summary

*Performance Audit
Office of Investigative Services
Enforcement Division
Department of State*

**Report Number:
231-0234-20**

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The Office of Investigative Services Enforcement Division's mission is to detect, reduce, and deter fraud in the Department of State programs, as well as assist in providing a safe and secure work environment for Department personnel and facilities. This mission is carried out through a network of branch examinations, investigations, data analysis, and investigative and security support functions. For fiscal year 2019, the Division expended \$3.0 million. As of May 31, 2020, the Division had 32 full-time employees.

Audit Objective			Conclusion
Objective #1: To assess the sufficiency of the Division's efforts to deter, detect, and investigate potential fraud.			Sufficient, with exceptions
Findings Related to This Audit Objective	Material Condition	Reportable Condition	Agency Preliminary Response
An increased risk of uninsured drivers existed because the Insurance Fraud Prevention Unit had not reviewed over 46,000 cases for potentially fraudulent insurance policies (Finding #1).		X	Agrees

Audit Objective			Conclusion
Objective #2: To assess the effectiveness of the Division's efforts to ensure the completeness and accuracy of its case management system.			Moderately effective
Findings Related to This Audit Objective	Material Condition	Reportable Condition	Agency Preliminary Response
Improvements in security over the case management system are needed to help ensure that sensitive investigation details are protected from unauthorized access, modification, and disclosure (Finding #2).		X	Agrees

Audit Objective			Conclusion
Objective #3: To assess the sufficiency of the Division's efforts to help ensure safety and security at branch offices.			Sufficient, with exceptions
Findings Related to This Audit Objective	Material Condition	Reportable Condition	Agency Preliminary Response
We identified 44 former or inactive employees and contractors with the access codes to gain entry into branch offices. One individual had not been employed by the Department for over 10 years (<u>Finding #3</u>).		X	Agrees
Improvement in the documentation and resolution of surveillance system equipment issues is needed to ensure resolution of equipment issues and limit surveillance interruptions (<u>Finding #4</u>).		X	Agrees

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