

Amendment No.

CHAMBER ACTION

Senate

House

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Representative Richardson offered the following:

Amendment to Amendment (863773)

Remove lines 95-134 of the amendment and insert:
coordinate, participate in, and perform audits, reviews, evaluations, studies, and investigations designed to assess management practices; compliance with laws, rules, and policies; and program effectiveness and efficiency. This includes:

a. Conducting internal examinations; investigating allegations of fraud, waste, abuse, malfeasance, mismanagement, employee misconduct, or violations of corporation policies; and conducting any other investigations as directed by the Financial Services Commission or as independently determined.

b. Evaluating and recommending actions regarding security, the ethical behavior of personnel and vendors, and compliance with rules, laws, policies, and personnel matters; and rendering

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17 ethics opinions.

18 c. Evaluating personnel and administrative policy
19 compliance, management and operational matters, and human
20 resources-related matters.

21 d. Evaluating the application of a corporation code of
22 ethics, providing reviews and recommendations on the design and
23 content of ethics-related policy training courses, educating
24 employees on the code and on appropriate conduct, and checking
25 for compliance.

26 e. Evaluating the activities of the senior management team
27 and management's compliance with recommended solutions.

28 f. Cooperating and coordinating activities with the chief
29 of internal audit.

30 g. Maintaining records of investigations and discipline in
31 accordance with established policies, or as otherwise required.

32 h. Supervising and directing the tasks and assignments of
33 the staff assigned to assist with the inspector general's
34 projects, including regular review and feedback regarding work
35 in progress and providing recommendations regarding relevant
36 training and staff development activities.

37 i. Directing, planning, preparing, and presenting interim
38 and final reports and oral briefings which communicate the
39 results of studies, reviews, and investigations.

40 j. Providing the executive director with independent and
41 objective assessments of programs and activities.

42 k. Completing special projects, assignments, and other
43 duties as requested by the Financial Services Commission.

44 l. Reporting expeditiously to the Department of Law

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45 Enforcement or other law enforcement agencies, as appropriate,
46 whenever the inspector general has reasonable grounds to believe
47 there has been a violation of criminal law.