

# RESTRUCTURING & SEVEN-YEAR PLAN

## *Rural Infrastructure Authority*

Date of Submission: March 31, 2015

Please provide the following for this year's Restructuring and Seven-Year Plan Report.

	Name	Date of Hire	Email
<b>Agency Director</b>	Bonnie Ammons	11/2012	bammons@ria.sc.gov
<b>Previous Agency Director</b>	none		

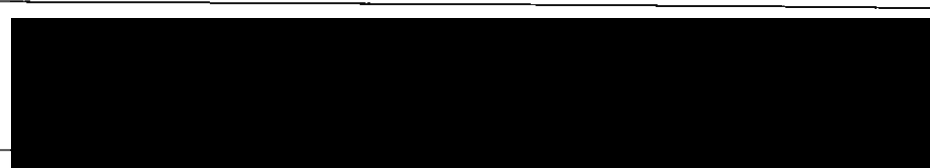
	Name	Phone	Email
<b>Primary Contact:</b>	Bonnie Ammons	803-737-0226	bammons@ria.sc.gov
<b>Secondary Contact:</b>	Chris Huffman	803-737-0462	chuffman@scommerce.com

Is the agency vested with revenue bonding authority? (re: Section 2-2-60(E))  Yes

I have reviewed and approved the enclosed 2015 Restructuring and Seven-Year Plan Report, which are complete and accurate to the extent of my knowledge.


**Current Agency Director**  
(Sign/Date):

(Type/Print Name):

  
Bonnie Ammons, Executive Director

**If applicable, Board/Commission Chair**  
(Sign/Date):

(Type/Print Name):

  
Robert M. Hitt III, Chairman

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# EXECUTIVE SUMMARY

## *I. Executive Summary*

### **A. Historical Perspective**

The Rural Infrastructure Authority (RIA) is a newly formed state agency that began operations in late 2012. State appropriations and other grant resources as well as existing grant obligations were transferred from the Budget and Control Board's Office of Local Government (OLG) to the RIA.

The SC Restructuring Act of 2014 provides for the staff of the OLG to be transferred to the RIA effective July 1, 2015. The staff administers the following Infrastructure Revolving Loan Funds:

- State Revolving Funds (SRF) for Drinking Water (water) and Clean Water (sewer)
  - This is a federally capitalized program by the US Environmental Protection Agency (EPA).
  - The program is administered in conjunction with the Department of Health and Environmental Control (DHEC). DHEC selects projects and conducts project oversight during implementation and ensures compliance with EPA requirements. OLG manages the financial component, issuing loans and handling loan administration.
  
- State Infrastructure Revolving Fund
  - This is a state authorized loan program for projects not eligible under the federal SRF programs.

See attached **Historical Perspective Chart**

### **B. Purpose, Mission and Vision**

The purpose of the RIA is to assist in financing qualified rural infrastructure projects that will build the capacity of rural communities to compete for jobs and investment and provide environmental facilities that protect public health and meet quality standards.

See attached **Purpose/Mission/Vision Chart**

## C. Key Performance Measure Results

RIA partners with rural communities to help meet critical infrastructure needs (water, wastewater and storm water facilities) while protecting public health and the environment and building the capacity of rural communities to compete for jobs and investment. In its second year of operation, the RIA's efforts to achieve this purpose have resulted in the following accomplishments for Fiscal Year (FY) 2014:

- The Board of Directors (Board) approved 42 new grants in 31 counties totaling \$11,754,189 and awarded \$206,900 for an existing project for total funds awarded of nearly \$12,000,000.
- Approximately 56% of funds awarded will address health and environmental quality concerns and 44% will be used to build or improve economic infrastructure.
- The grants awarded propose to impact more than 15,694 residents and result in 1,700 new jobs.
- About 87% of RIA funding was awarded for projects in distressed or least developed counties, also defined as Tier III and IV counties by the SC Department of Revenue (DOR).
- RIA funds leveraged more than \$65 million dollars from local and other resources.

The RIA has served as a resource to assist rural and distressed areas by pro-actively providing outreach and technical assistance in identifying solutions and resources for critical infrastructure needs.

Accomplishments to date (2013-14) include:

- Awarded 73 projects totaling \$21 million
- Leveraged \$98 million in additional infrastructure investments
- Projected impact to 45,000 residential customers and more than 1,500 business customers

# ORGANIZATIONAL PROFILE

## II. Organizational Profile

1. The agency's main deliverables (i.e., products or services) and the primary methods by which these are provided are included in the attached **Key Deliverables Chart**.
2. The agency's key customers and their requirements and expectations are included in the attached **Key Customers Chart**.
3. The agency's key stakeholders (other than customers) are summarized in the attached **Key Stakeholders Chart**.
4. Other state agencies which have the biggest impact on the agency's mission success is addressed in the **Key Partner Agency Chart**.
5. The agency's **performance improvement system(s)**:

The RIA Board has identified several performance areas in grant awards, customer-focused services as well as grant and financial management. Progress reports are provided to the Board regularly and annual performance reviews are conducted to ensure the agency is operating effectively and that there is a process for continuous improvement.

6. The agency's **organizational structure** is as follows:



7. The RIA Executive Director reports to the RIA Board of Directors. See the **Overseeing Body Chart** which includes the "Overseeing Body-General" and "Overseeing Body-Individual Member" tabs.
8. The agency's **Major Program Areas Chart** is attached.

**9. Emerging issues the agency anticipates may have an impact on its operations in the upcoming five years.**

One of the biggest areas of concern is the deterioration of rural infrastructure systems. Much of the existing infrastructure is at least 50 years old and has reached the end of its useful life. Limited resources mean that budgets are stretched thin to cover the capital improvements needed. Yet, it is critical for residents and businesses to have access to reliable and adequate water and sewer systems. Access to reliable infrastructure serves as an important public health function, addresses environmental quality standards and encourages economic growth. Significant investments will be needed to ensure that there is adequate capacity for future economic growth.

The SC Restructuring Act of 2014 provides for the Budget and Control Board's Office of Local Government staff to be transferred to the RIA effective July 1, 2015. Thus there will be opportunities to coordinate the RIA grant program with the State Revolving Loan Fund for water and wastewater infrastructure.

In 2014, the RIA helped organize an informal Infrastructure Funders Coordinating Committee made up of representatives from state and federal agencies to coordinate funding programs, identify gaps, share best practices and provide coordinated technical assistance to potential applicants. Representatives include the RIA, SC Department of Commerce, DHEC, Budget and Control Board, US Department of Agriculture Rural Development, and the US Department of Commerce Economic Development Administration. This group meets multiple times per year and has proven to be an effective tool for creating greater efficiencies and leveraging of program offerings.

The group has already produced a funding resources summary for distribution to interested applicants and a common project information form that will allow coordinated assistance to potential applicants for any of the participating programs.

# ORGANIZATIONAL PROFILE

## *III. Laws (Statutes, Regulations, Provisos)*

The Rural Infrastructure Authority (RIA) was created by the General Assembly referenced in Section 11-50-30 of the South Carolina Code of Laws. See the **Legal Standards Chart** for applicable statutes, regulations and provisos.

## *IV. Reports and Reviews*

The RIA is required to submit an annual report of its activities for the preceding year to the Governor and to the General Assembly. An audit of the books and accounts is also required each state fiscal year. An annual Accountability Report is also submitted. Also, see attached **Agency Reporting Requirements Chart** and **Internal Audit Chart**.

# RESTRUCTURING REPORT

## *V. Key Performance Measurement Processes*

### **A. Results of Agency's Key Performance Measurements**

#### Mission Effectiveness

- a. Performance Benchmark- Based on a strategic business plan approved by the RIA Board
- Award \$12 million in grants annually.
  - Address critical rural infrastructure needs related to environmental and regulatory concerns and infrastructure capacity for economic opportunities.
  - Target assistance to distressed and least developed areas.

#### Actions to achieve performance benchmarks

- Conduct two competitive funding rounds annually to consider applications for assistance.
- Staff conducts due diligence reviews and prioritizes qualified projects based on need, feasibility and impact.
- Board reviews and makes project selections based on agency goals.

- b. Performance Measure Results for FY2014

- \$11.9 million in grants awarded.
- \$6.8 million used to address environmental and regulatory concerns.
- \$5.1 million used to build infrastructure capacity to support economic opportunities.
- \$10.2 million awarded in distressed and least developed counties.
- 100% of funds benefitted distressed and least developed areas.

- c. Trends

- The agency has only been in operation since late 2012 and does not have significant data on trends.
- The agency has received twice the amount of funding requests than it was able to fund.
- 87% of funds awarded in 2014 were in distressed or least developed counties, a 3 % increase over the initial year of funding.

- d. Impact on Performance

- The agency has taken a pro-active approach to outreach and customer service but there is limited ability to impact the number of customer requests, the type and amount of the requests or the timing. The more significant variables related to need and timing are at the customer's discretion.



- While outreach and customer service is provided statewide, the needs of distressed and least developed counties are targeted for technical assistance to help match resources and needs.

## Mission Efficiency

### a. Performance Benchmark

- a. Coordinate and leverage resources with local efforts and other federal and state programs.

#### Actions to achieve performance benchmarks

- Meet with other federal and state programs on a regular basis.
- Enter into contracts for shared services with other state agencies.

### b. Performance Measure Results for FY2014

- \$65 million in additional resources leveraged or \$5.50 to \$1 of RIA investment.
- An Infrastructure Funding Resource Guide was developed in conjunction with other federal and state funding agencies for distribution to local communities interested in applying for assistance.
- A common project information form was developed for use with all of the infrastructure funders in the state. This tool will guide the provision of technical assistance to potential customers.
- Executed an annual shared services contract with the SC Department of Commerce for office space, financial, marketing, IT and legal support.
- Executed an annual shared services contract with the SC Department of Health and Environmental Control for technical engineering services.

### c. Trends

- The agency has only been in operations since late 2012 and does not have significant data on trends.
- \$98 million in additional infrastructure resources have been leveraged by RIA funds in the agency's first two years of operations.
- Rural communities often have difficulty matching grant resources with local dollars.
- Shared resources contracts have resulted in greater efficiencies and economies of scale as well as avoid duplication of resources.

### d. Impact on Performance

- The agency has taken the initiative to engage other state and federal agencies in discussions about addressing funding gaps, meeting infrastructure needs and identifying solutions to common challenges including streamlining of procedures. These agencies include:
  - SC Department of Commerce: Community Development Block Grant Program & Appalachian Regional Commission Program
  - SC Department of Health and Environmental Control: State Revolving Fund
  - SC Budget and Control Board's Office of Local Government: State Revolving Fund

- SC Rural Infrastructure Authority: State Infrastructure Grants
- US Department of Agriculture's Rural Development: Rural Utilities Grants/Loans
- US Department of Commerce's Economic Development Administration: Economic Development Grants

## Quality (Customer Satisfaction)

### a. Performance Benchmark

- Build the capacity of rural communities to address infrastructure needs by providing technical assistance on accessing financial resources and identifying solutions to infrastructure needs.

#### Actions to achieve performance benchmarks

- Conduct 2 application workshops and a webinar for potential customers.
- Provide one-on-one technical assistance on potential projects and active grants.
- Provide on-line resources for easy access to information.

### b. Performance Measure Results for FY2014

- 275 participants trained with average 100% excellent/good customer feedback.
- 250 technical assists provided.
- Fillable applications and other resources available on RIA website.

### c. Trends

- The agency has only been in operations since late 2012 and does not have significant data on trends.
- While the number of participants trained and provided technical help is not expected to increase over time, there will be a continuing need for training and technical assistance as there are routinely changes in personnel for customers.
- On-line tools and the use of webinars are effective in attaining cost savings but will not eliminate the need for more direct assistance due to the capacity of many of the rural customers that the agency serves.

### d. Impact on Performance

- The agency has a reasonable ability to impact performance through the direct provision of training and direct technical assistance.
- Building effective working relationships with partners and customers is viewed as a key component to achievement of agency objectives.

## Workforce Engagement

### a. Performance Benchmark

- Allocate resources to achieve agency goals and objectives.

#### Actions to achieve performance benchmarks

- Provide regular communication of agency goals, objectives and progress.
- Encourage cross training to maximize resources.

- Assess annual training and teambuilding needs.
- b. Performance Measure Results for FY2014
- Retention of existing staff (4 FTEs).
  - Provision of professional development training programs in concert with the SC Department of Commerce.
- c. Trends
- Staff that are well trained are able to provide efficient and effective customer service and delivery of program performance goals.
  - Retaining existing staff that are trained in the agency programs and work as a team helps to maintain a manageable workload.
- d. Impact on Performance
- The agency has a reasonable ability to impact performance in this area and considers these goals to be a high priority in order to provide the highest customer service for the agency's programs.

## Operational/Work System Performance

- a. Performance Benchmark
- Two competitive funding rounds held annually to select qualified projects for assistance.
  - The RIA Board makes project selections based on agency goals.
  - Work systems and processes are established for grant programs and are reviewed annually to ensure they work efficiently and effectively for achieving performance goals.

### Actions to achieve performance benchmarks

- Applications are accepted in the fall and spring each year.
  - Staff conducts due diligence reviews and prioritizes qualified projects based on need, feasibility and impact. The Board makes funding decisions.
  - Procedures are developed for application reviews, technical assistance, grant award and agreements, project management and financial management.
  - Grantees submit quarterly reports on progress.
  - Agency reviews expenditures prior to disbursement of grant funds.
- b. Performance Measure Results for FY2014
- \$11.9 million in grants awarded
  - Grants are awarded within 90 days of receipt of a completed application
  - No audit findings
- c. Trends
- Selected projects are generally completed within 18 months to two years.
- d. Impact on Performance

- The agency has a direct ability to impact performance in this area and considers these goals to be a high priority in order to provide the highest customer service for the agency's programs.

## Reviews of Performance Goals/Benchmarks

For each of the above referenced key performance measures, reviews are conducted quarterly by the Executive Director and Board Chairman and the Board is provided updates at each Board meeting. On an annual basis the Board reviews performance. Based on such reviews, priorities may be adjusted to respond to changing needs and conditions, to address unmet needs and to achieve agency objectives.

## National Benchmarks

Comparable benchmarks would be other state funded infrastructure grant programs. However, the agency has only been in operation for two years and has not had sufficient time to assess the extent or quality of programs in other states. Generally, federal resources are most often used for infrastructure investments in other states. National organizations that are similar in nature and contact information are as follows:

- **Small Community Water Infrastructure Exchange (SCWIE)** SCWIE is a network of water funding officials at the federal and state levels.

**Contact: Steve Grossman**  
Ohio Water Development Authority  
480 South High Street  
Columbus, Oh 43215-5603  
614-466-0152  
[www.owda.org](http://www.owda.org)

- **Council of Infrastructure Finance Agencies (CIFA)**  
CIFA is a national organization of Infrastructure Finance Agencies primarily for federal programs implemented by state agencies.

**Contact: Rick Farrell**  
Executive Director  
316 Pennsylvania Avenue, SE, Suite 404  
Washington, DC 20003  
202-547-7886  
[cifa@madisonassoc.com](mailto:cifa@madisonassoc.com)

# RESTRUCTURING REPORT

## *V. Key Performance Measurement Processes (cont.)*

### **B. Most Critical Performance Measures**

- Award \$12 million in grants annually.
- Address critical rural infrastructure needs related to environmental and regulatory concerns and infrastructure capacity for economic opportunities.
- Target assistance to distressed and least development areas.

### **C. Databases/Document Management**

- The agency is in the process of converting an Access database to a Microsoft Customer Relations Management - Grants Manager Plus database.

### **D. Recommended Restructuring**

The SC Restructuring Act of 2014 provides for the Budget and Control Board's Office of Local Government (OLG) staff to be transferred to the Rural Infrastructure Authority (RIA) effective July 1, 2015. Thus there will be opportunities to coordinate the RIA grant program with the State Revolving loan fund for water and wastewater infrastructure. The State Revolving Fund is authorized by Section 48-5-30, Water Quality Revolving Fund Authority Act. The Infrastructure Facilities Authority (Section 11-40-20) governs a State Infrastructure Revolving Fund that has been the source of state match for the State Revolving Fund's annual federal capitalization grant.

The State Revolving Fund is managed programmatically (project selection, project oversight and federal compliance) by the SC Department of Health and Environmental Control while the loan and financial aspects are managed by the OLG. The RIA and DHEC are working together to enhance coordination of the program.

The SC Water Quality Revolving Fund Authority and the Infrastructure Facilities Authority are being transferred to the Fiscal Accountability Authority while the staff that administers these two programs was transferred to the RIA. Future consideration could be given to consolidating oversight of these infrastructure programs to the Board of the RIA.

# SEVEN-YEAR PLAN

## *VI. Seven-Year Plan*

### **A. General**

- At least annually, efforts will be made to update cost sharing contracts and to evaluate other ways to increase operating and program efficiencies.

### **B. Current/Recommended Actions**

- The RIA began its operations in late 2012. Since that time, the agency has implemented two cost sharing contracts with other state agencies as an efficiency measure. One contract with the SC Department of Commerce includes rent, equipment, supplies as well as legal, financial, IT and human resources assistance to support the RIA operations. The other contract is with DHEC to share technical engineering services and conduct joint project reviews.
- Beginning July 1, 2015, as the Budget and Control Board Office of Local Government staff is transferred to RIA there will be opportunities to gain economies of scale from shared planning, marketing, financial and administrative services.
- Going forward, the RIA will continue to look for opportunities to provide quality services while participating in appropriate economies of scale. This would include continued coordination on the State Revolving Fund program with DHEC.
- The RIA helped organize an Infrastructure Funders Coordinating Committee made up of representatives from state and federal agencies to coordinate funding programs, identify gaps, share best practices and provide coordinated technical assistance to potential applicants. Representatives include the RIA, SC Department of Commerce, DHEC, Budget and Control Board, US Department of Agriculture Rural Development, and the US Department of Commerce Economic Development Administration. This group meets multiple times per year and has proven to be an effective tool for creating greater efficiencies and leveraging of program offerings.

The group has already produced a funding resources summary for distribution to interested applicants and a common project information form that will allow coordinated assistance to potential applicants for any of the participating programs.

Working with the Infrastructure Funders group in a coordinated way will not only result in savings for customers but also potential elimination or streamlining of redundant processes, where feasible. It should be noted that the other funders are

federal programs with complex federal processes, procedures and requirements. The State-funded RIA program provides the most flexible resource that can plug gaps in financing and bridge processes so that these programs can be implemented together in the most efficient manner.

### **Cost Savings**

- Cost savings resulting from shared contracts are estimated to be \$35,000 or a savings of approximately 33%.
- Shared contracts include the benefits of high quality expertise in the areas of legal, technology, financial and engineering that would be difficult to duplicate at the same cost with agency staff or through private consulting contracts.
- It is difficult to quantify the cost savings from coordination with other agencies but the efficiencies will be most evident to customers who often find it difficult to work with multiple agencies each with their own requirements.

### **Legislative Action Required**

- No actions required at this time.

### **Actions Planned**

- Merging of common functions and staff with the transfer of the Budget and Control Board's Office of Local Government staff and programs.
- Assessment of common or duplicative procedures that could be streamlined or eliminated.
- At least annually, review cost sharing contracts and evaluate ways to increase operating and program efficiencies.

### **Timeline**

- The timeline involves an ongoing process and annual reviews.

# SEVEN-YEAR PLAN

## VI. *Seven-Year Plan (cont.)*

### C. Additional Questions

1. What top three strategic objectives of the agency will have the biggest impact on the agency's effectiveness in accomplishing its mission?
  - Address critical infrastructure needs related to environmental/regulatory concerns and economic opportunities.
  - Target resources to areas most in need.
  - Build the capacity of rural communities to address infrastructure for the future.
2. What are the fundamentals required to accomplish the objectives?
  - Maximize available resources.
  - Offer annual competitive grant programs tailored to areas most in need.
  - Provide technical assistance and training.
3. What links on the agency website, if any, would the agency like listed in the report so the public can find more information about the agency?
  - [www.ria.sc.gov](http://www.ria.sc.gov)
4. Is there any additional information the agency would like to provide the Committee or public?
5. Consider the process taken to review the agency's divisions, programs and personnel to obtain the information contained in response to all the previous questions in the Restructuring Report and Seven-Year Plan ("Process"). State the total amount of time taken to do the following:
  - a. Complete the Process - 32 hours
  - b. Complete this Report - 118 hours
6. See attached **Personnel Involved Chart**.



# CHARTS APPENDIX

## *VII. Excel Charts*

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**INSTRUCTIONS:** Please provide details about other reports which investigate the information requested in the Restructuring Report. This information is sought in an effort to avoid duplication in the future. In the columns below, please list the question number in this report, name of the other report in which the same or similar information is requested, section of the other report in which the information is requested, name of the entity that requests the other report and frequency the other report is required. **NOTE:** Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Restructuring Report Question #	Name of Other Report	Section of Other Report	Entity Requesting Report	Freq. Other Report is Required
Rural Infrastructure Authority		Annual Report		General Assembly	Annual
		Accountability Report		General Assembly	Annual

**INSTRUCTIONS:** Please provide information about any restructuring or major changes in the agency's purpose or mission during the last ten years. **NOTE:** Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Year	Description of Restructuring that Occurred	Description of Major Change in Agency's Purpose or Mission
Rural Infrastructure Authority	2014	Agency established at 11-50-30	Purpose established
		Budget and Control Board's Office of Local Government will be transferred to the RIA effective July 1, 2015 as a result of the SC Restructuring Act of 2014	No change in purpose or mission

**INSTRUCTIONS:** Provide information about the date the agency, in its current form, was initially created and the present purpose, mission and vision of the agency, with the date each were established in parenthesis. The Legal Standards Cross Reference column should link the purpose, mission and vision to the statutes, regulations and provisos listed in the Legal Standards Chart, which they satisfy.

Agency Submitting Report	Date Agency created	Purpose	Mission	Vision	Legal Standards Cross References
Rural Infrastructure Authority	2011	Assist in financing qualified infrastructure projects	Address environmental quality concerns and build infrastructure capacity for economic development	Boost economic opportunities and create sustainable communities	Purpose: 11-50-30 Mission: 11-50-40 Vision: 11-50-20

**INSTRUCTIONS:** List the names of the other state agencies which have the biggest impact on the agency's mission success (list a minimum of three); partnership arrangements established and performance measures routinely reviewed with the other entity. The Major Program Areas Cross References Column should link the Partner Agency to the major program area, in the Major Program Areas Chart, on which it has the biggest impact. **NOTE:** Responses are not limited to the number of rows below that have borders around them, please list all that are applicable and a minimum of three.

Agency Submitting Report	Agency w/ Impact on Mission Success	Partnership Arrangement Established	Performance Measures Routinely Reviewed Together	Major Program Areas Cross Reference
Rural Infrastructure Authority	Department of Commerce	Collaborate on industrial site development and infrastructure that will support job creation; coordination of federal infrastructure assistance; administrative support	Grants awarded; grants awarded to address health/environmental concerns; grants awarded to support economic development; resources leveraged	1.1.2, 1.2.1, 1.2.2, 1.3.1, 1.3.2, 2.1.1, 2.1.2
	Department of Health and Environmental Control	Collaborate on environmental concerns; technical project reviews	Grants awarded; grants awarded to address health/environmental concerns; technical assists; resources leveraged	1.1.2, 1.2.1, 1.3.1, 1.3.2, 2.1.1, 2.1.2
	Budget and Control Board, Office of Local Government	Collaborate on project feasibility and financing reviews	Grants awarded; resources leveraged	1.1.2, 1.2.1, 1.3.1, 1.3.2, 2.1.1, 2.1.2

**INSTRUCTIONS:** Provide information about the agency's key deliverables (i.e. products or services); primary methods by which these are delivered, and, as applicable, actions that may reduce the general public and/or other agencies initial or repetitive need for the deliverable. List each deliverable on a separate line. If there are multiple ways in which the deliverable is provided, list the deliverable multiple times with each delivery method on a separate line. In the "Three Greatest" column, indicate and rank the three most significant deliverables the agency brings to the people of South Carolina with #1 being the most significant. For the deliverables which are not one of three most significant, do not put anything in this column. The Major Program Areas Cross References Column should link the deliverable to the major program area, in the Major Program Area Chart, within which that product or service is provided. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Item #	Deliverable (i.e. product or service)	Three Most Significant (#1, #2, #3)	Primary Method of Delivery	What can be done to reduce the general public and/or other agencies initial need for this deliverable? (i.e. preventive measures before the citizen or agency needs to come to the agency)	What can be done to reduce the general public and/or other agencies need to return for this deliverable? (i.e. preventive measures to ensure they do not need to come back to the agency for this service or product after already receiving it once)	If deliverable is identified as one of the three most significant, what would allow the agency to focus on it more?	Major Program Areas Cross Reference
Rural Infrastructure Authority	1	Basic Infrastructure Grants	1	Competitive Funding Rounds	Local water/sewer agencies could increase user rates to pay for infrastructure needs	Increase user rates to pay for infrastructure needs; better infrastructure planning	Additional funds to assist communities with critical infrastructure needs	1.1.1, 1.1.2, 1.2.1
				Emergency/Immediate Need	Local water/sewer agencies could increase user rates to pay for infrastructure needs	Increase user rates to pay for infrastructure needs; better infrastructure planning	Additional funds to assist communities with critical infrastructure needs	1.1.1, 1.1.2, 1.2.1
	2	Economic Infrastructure Grants	2	Competitive Funding Rounds	Local water/sewer agencies could increase user rates to pay for infrastructure needs	Increase user rates to pay for infrastructure needs; better infrastructure long-term planning	Additional funds to assist communities with critical infrastructure needs	1.1.1, 1.1.2, 1.2.2
				Immediate Need	Local water/sewer agencies could increase user rates to pay for infrastructure needs	Increase user rates to pay for infrastructure needs; long-term infrastructure planning	Additional funds to assist communities with critical infrastructure needs	1.1.1, 1.1.2, 1.2.2
	3	Customers trained/ assisted	3	Training	Review on-line program information	Review on-line program information	Additional staff or online resource tools	1.3.1, 1.3.2
				One-on-one technical assistance	Review on-line program information	Review on-line program information	Additional staff or online resource tools	1.3.1, 1.3.2

**INSTRUCTIONS:** Provide information about the key customer segments identified by the agency and each segment's key requirements/expectations. A customer is defined as an actual or potential user of the agency's deliverables. Please be as specific as possible in describing the separate customer segments (i.e. do not simply put "public.") The Deliverables Cross References column should link customer groups to the deliverable listed in the Key Deliverables Chart, which they utilize. **NOTE:** Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Item #	Customer Segments	Requirements/Expectations	Deliverables Cross References
Rural Infrastructure Authority	1	Local governments	Located in rural distressed or least developed counties or areas meeting these requirements	1, 2, 3
	2	Special Purpose Districts/Public Works Commissions/Public Works Districts	Located in rural distressed or least developed counties or areas meeting these requirements	1, 2, 3

**INSTRUCTIONS:** Provide information about the agency's key stakeholder groups and their key requirements and expectations. A stakeholder is defined as a person, group or organization that has interest or concern in an agency. Stakeholders can affect or be affected by the agency's actions, objectives and policies. Please be as specific as possible in describing the separate stakeholder groups (i.e. please do not simply put "the public.") The Deliverables Cross References column should link stakeholder groups to the deliverable, listed in the Key Deliverables Chart, for which they group has the most interest or concern. **NOTE:** Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Item #	Stakeholder Group	Requirements/Expectations	Deliverables Cross References
Rural Infrastructure Authority	1	Water/Sewer Professional Organizations	Access to funding opportunities for members	1, 2, 3
	2	Community/Economic Development Professional Organizations	Access to funding opportunities for members	1, 2, 3
	3	Municipal /County Organizations	Access to funding opportunities for members	1, 2, 3
	4	Construction Contractors/Suppliers/Design Professionals	Opportunity to bid on projects implemented as a result of funding assistance to program customers	1, 2



INSTRUCTIONS: Provide information about the body that oversees the agency and to whom the agency head reports including what the overseeing body is (i.e. board, commission, etc.); total number of individuals on the body; whether the individuals are elected or appointed; who elects or appoints the individuals, the length of term for each individual; whether there are any limitations on the total number of terms an individual can serve; whether there are any limitations on the number of consecutive terms an individual can serve; and any other requirements or nuances about the body which the agency believes is relevant to understanding how the agency performs and its results.

Agency Submitting Report	Type of Body (i.e. Board, Commission, etc.)	# of Times per Year Body Meets	Total # of Individuals on the Body	Are Individuals Elected or Appointed?	Who Elects or Appoints?	Length of Term	Limitations on Total Number of Terms	Limitations on Consecutive Number of Terms	Challenges Imposed or that Agency staff and the Body have faced based on the structure of the overseeing body	Other Pertinent Information
Rural Infrastructure Authority	Authority	4 scheduled meetings	7	Appointed except Ex-Officio Chairman	Governor (2), Senate President Pro Tempore, House Speaker, Senate Finance Chairman, House Ways & Means Chairman	4 years	none	none	none	6 members reside in or represent some portion of counties designated as distressed or least developed

Agency Name:  
 Agency Code:  
 Agency Section:

## Overseeing Body - Individual Members Chart

**INSTRUCTIONS:** Provide information about the individual members on the body that oversees the agency including their name, contact information, length of time on the body, profession and whether they are a Senator or House Member. The Major Program Areas Cross References Column should link the individual to the major program area, in the Major Program Areas Chart, in which the individual has a particular influence, if any, by way of serving on a subcommittee within the body, task force, etc. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Name of Individual on Body	Contact Information	Profession	Date First Started Serving on the Body	Last Date Served on the Body	Length of Time on the Body (in years)	Senator or House Member? (put Senate or House)	Major Program Areas Cross Reference
Rural Infrastructure Authority	Robert M. Hitt III	803-737-1800	Secretary, Department of Commerce	11-Feb	current	4 years	no	I. Administration II. Rural Infrastructure Fund
	William H. O'Dell	803-212-6350	Business	12-Oct	current	3 years	Senate	I. Administration II. Rural Infrastructure Fund
	David E. Anderson	843-464-6271	Banking	11-Nov	current	3 years	no	I. Administration II. Rural Infrastructure Fund
	William Clyburn	803-734-9977	Business	11-Feb	current	4 years	House	I. Administration II. Rural Infrastructure Fund
	William N. Kellahan	843-355-9285	Engineering	11-Mar	current	4 years	no	I. Administration II. Rural Infrastructure Fund
	Michael A. Pitts	803-734-2830	Ret. Law Enforcement	12-Jun	current	2 years	House	I. Administration II. Rural Infrastructure Fund
	Jasper W. Shuler	843-601-4500	Ret Banking & Agriculture	12-Sep	current	2 years	no	I. Administration II. Rural Infrastructure Fund

**INSTRUCTIONS:** Provide information about the agency's Major Program Areas as those are defined in the Appropriations Act. When completing columns B - K, the agency can copy and paste the information the agency submitted in the Program Template of the FY 2013-14 Accountability Report, just make sure of the following:

a) List only the programs that comprise at least 80% of the total budget and include the % of total budget. The remainder of the programs should be "listed ONLY" in the box labeled "Remainder of Programs", with those program expenditures detailed in the box labeled "Remainder of Expenditures." If the agency has trouble understanding what is requested, refer to the 2012-13 Accountability Report, Section II, number 11.

b) The "Associated Objective(s)" column in the Program Template of the FY 2-13-14 Accountability report has been changed to "Key Performance Measures Cross References." The Key Performance Measures Cross References column should link major programs to charts/graphs in the Key Performance Measurement Processes Section (ex. Chart 5.2-1 or Graph 5.2-2). If the agency has trouble understanding what is requested, refer to the 2012-13 Accountability Report, Section II, number 11, and

c) An additional column, titled "Legal Standards Cross References," has been added at the end. The Legal Standards Cross Reference column should link major programs to the statutes, regulations and provisions listed in the Laws Section of this report, which they satisfy.

Included below is an example, with a partial list of past Major Program Areas from the Department of Transportation. The example does not include information in the columns under expenditures, key performance measures cross reference, legal standards cross references or remainder of expenditures, however the agency must complete these columns when submitting this chart in final form. 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.

**Note:**  
 -Key Performance Measures Cross References Column links major programs to the charts/graphs in the Key Performance Measurement Processes Section of the Restructuring Report.  
 -Legal Standards Cross References Column links major programs to the statutes, regulations and provisions they satisfy which are listed in the Laws Section of the Restructuring Report.

Agency Submitting Report	Program/Title	Purpose	FY 2012-13 Expenditures				FY 2013-14 Expenditures				Key Performance Measures Cross Reference	Legal Standards Cross References
			General	Other	Federal	TOTAL	General	Other	Federal	TOTAL		
Rural Infrastructure Authority	I Administration	Administer RIA Programs and Operations	\$ 118,251 00	\$ 69,849 00		\$ 188,100 00	\$ 20,381 00	\$ 438,866 00		\$ 457,259 00	2.1.1.2.1.2	11-50-60
	II Rural Infrastructure Fund	Assist with funding qualified rural infrastructure projects	\$ 1,794,261 00			\$ 1,794,261 00	\$ 2,219,032 00			\$ 2,219,032 00	1.1.1.1.2.1.2.1.1.2.2.1.3.1.1.3.2	11-50-60
				0% of Total Budget		0% of Total Budget		0% of Total Budget		0% of Total Budget		

**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. Included below is an example, with a partial list of Laws which apply to the Department of Juvenile Justice and Department of Transportation. The agency will see that a statute should be listed again on a separate line for each year there was an amendment to it. 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.

Agency Submitting Report	Item #	Statute/Regulation/Provisos	State or Federal	Summary of Statutory Requirement and/or Authority Granted
Rural Infrastructure Authority	1	11-50-30	State	Provides for the selection of qualified infrastructure projects for loans and other financial assistance. Establish and maintain a Rural Infrastructure Fund to carry out the purposes of the Authority.
	2	11-50-60	State	Provides necessary authority to fund, operate and administer the functions of the agency including: <ul style="list-style-type: none"> <li>* develop by-laws including the right of the board to select qualifying projects and provide loans and other financial assistance</li> <li>* establish policies and procedures for making and administering loans and other financial assistance</li> <li>* make loans to qualified borrowers and acquire, hold, and sell loan obligations</li> <li>* enter into contracts and agreements with qualified borrowers</li> <li>* procure collateral or security or credit support for the payment of any bonds issued</li> <li>* collect amounts due under any loan obligations</li> <li>* borrow money through the issuance of bonds and other forms of indebtedness</li> <li>* collect fees and charges in connection with its loans or other financial assistance</li> </ul>
	3	Proviso 54.1	State	Ability to carry forward appropriated funds and retain unexpended funds
	4	Proviso 54.2	State	Establish a schedule that includes, at a minimum, a spring and fall award period for qualified projects

**INSTRUCTIONS:** List all reports, if any, the agency is required to submit to a legislative entity. Beside each include the following under the appropriate column: a) Name of the report, b) Legislative entity that requires the report, c) Law(s) that require the agency to provide the report, d) Stated legislative intent (from legislative entity, statute, regulation or other source) in providing the report, e) Frequency with which the report is required (i.e. annually, monthly, etc.), f) Approximate year the agency first started providing the report, g) Approximate cost to complete the report and any positive results from completing and submitting the report, and h) Method by which the agency receives, completes and submits the report (i.e. receive via emailed word document, log into or open program, enter data and click submit, etc.). Included below are examples of reports the agency may have to submit. The example does not include information in the columns under # of staff needed to complete the report, approx. total amount of time to complete the report and approx. total cost to complete the report, however the agency must complete these columns when submitting the chart in final form. Please delete the example figures before submitting the chart in final form, unless it applies to the agency, in which case ensure the information about those reports is complete. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Item #	Report Name	Legislative Entity Requesting Report	Law Requiring Report	Stated Intent of Report	Year First Required to Complete Report	Reporting Freq.	# of Days in which to Complete Report	Month Report Template is Received by Agency	Month Agency is Required to Submit the Report	Cost to Complete Report		Positive Results of Reporting	Method in which Report Template is Sent to Agency (i.e. via email; word; excel)	Format in which Report Template is Sent to Agency	Method in which Agency Submits Completed Report (i.e. email; mail; click submit on web based form; etc.)	Format in which Agency Submits Completed Report (word, excel, msh, pdf, web)	
											# of Staff Members Needed to Complete Report	Approx. Total Amount of time to Complete Report						
RIA	1	Accountability Report	The Governor and members of the General Assembly	§11-810 and Proviso 117.31 of the FY 2014-15 Appropriation Act	The reports "must contain the agency's or department's mission, objectives to accomplish the mission, and performance measures that show the degree to which objectives are being met." Agencies must "identify key program area descriptions and expenditures and link these to key financial and performance results measures."	2013	Annually	60	July	September	2	60 hrs	\$4,500	To create awareness of the activities performed to decision makers of the state	Email	Word and Excel	Email and Hardcopy	pdf, web
RIA	2	Annual Report	The General Assembly	11-50-160	Activities	2013	Annually	N/A	N/A	October	4	225 hrs	\$10,000	To create awareness of the activities performed to decision makers of the state	N/A	N/A	Email and Hardcopy	pdf, web
RIA	6	Fees and Fee Report	Senate Finance and House Ways and Means Committees	Proviso 117.79 of the FY 2014-15 Appropriation Act	Information - N/A for P450		Annually	N/A	N/A	September	0	0	\$0	Unknown	N/A	N/A	Email	pdf, web
RIA	7	Bank Account Transparency	Senate Finance and House Ways and Means Committees and the Inspector General	Proviso 117.88 of the FY 2014-15 Appropriation Act	Information - N/A for P450		Annually	30	September	October	0	0	\$0	Transparency and Accountability	Email	Excel	Email and Hardcopy	pdf, web
RIA	8	Outstanding Debt Report	Senate Finance and House Ways and Means Committees and the Inspector General	Proviso 117.37 of the FY 2014-15 Appropriation Act	Information - N/A for P450		Annually	30	January	February	0	0	\$0	Unknown	Email	Word	Email	Word
RIA	9	Restructuring Report and Cost Savings Plan - Senate	Office of Senate Oversight	1-30-10(G)	Implement cost savings and increased efficiencies	2015	Unknown	60	November	January	2	40 hours	\$3,000	TBD	Email	Word	Email	pdf
RIA	10	Restructuring & Seven-Year Plan - House	House Legislative Oversight Committee	1-30-10(G)(1)	Increased Efficiency	2015	Annually	30	February	March	2	150 hours	\$11,500	TBD	Email and Hardcopy	Word and Excel	Email and Hardcopy	Word and Excel

**DEFINITIONS:** Identify the agency's internal audit system and policies during the past five fiscal years including the date the agency first started performing audits, individuals responsible for hiring the internal auditors, individuals to whom internal auditors report, the head internal auditor, general subject matters audited, the individual or body that makes decision of when internal audits are conducted, information considered when determining whether to conduct an internal audit, total number of audits performed in the last five fiscal years, # of months it took for shortest audit, # of months for longest audit, average number of months to complete an internal audit, and date of the most recent Peer Review of Self-Assessment by SC State Internal Auditors Association or other entity (if other entity, name of that entity)

**Note:** All audits are not the result of suspicious activity or alleged improper actions. Often times regular audits are required by statute regulation or an agency's standard operating procedure simply as a method of ensuring operations are staying on track.

Agency Submitting Report	Does agency have internal auditors? Y/N	Date Internal Audits Began	Individuals responsible for hiring internal auditors	Individuals to whom internal auditors report	Name and contact information for head Internal Auditor	General subject matters audited	Who makes decision of when an internal audit is conducted	Information considered when determining whether to conduct an internal audit	Do internal auditors conduct an agency wide risk assessment routinely? Y/N	Do internal auditors routinely evaluate the agency's performance measurement and improvement systems? Y/N	Total Number of Audits performed in last five fiscal years	# of months for shortest audit	# of months for longest audit	Avg. # of months needed to conduct audit	Date of most recent Peer Review of Self-Assessment by ECSIAA or other entity (if other entity, name of that entity)
Rural Infrastructure Authority	N														

INSTRUCTIONS: List the name of all personnel at the agency who were consulted or performed work to obtain the information utilized when answering the questions in these reports, their title and their specific role in answering the question (i.e. searched the agency documents, asked for information because they are in charge of the department, etc.) Please delete the example information and instructions row 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.

Agency Submitting Report	Name	Phone	Email	Department/Division	Title	Question	Role in Answering Question
Rural Infrastructure Authority	Bonnie Ammons	803-737-0226	<a href="mailto:bammons@ria.sc.gov">bammons@ria.sc.gov</a>	Agency	Executive Director	All	Researched and analyzed data and prepared responses
	Chris Huffman	803-737-0462	<a href="mailto:chuffman@sccommerce.com">chuffman@sccommerce.com</a>	Commerce/Finance	Chief Financial Officer	Financial	Researched and provided data and responses
	Robert M. Hitt	803-737-0400	<a href="mailto:bhitt@sccommerce.com">bhitt@sccommerce.com</a>	Commerce/Secretary	RIA Board Chairman	All	Review