

Department of Children and Families

Office of Inspector General



Annual Report

Presented

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Executive Summary

In accordance with §20.055, Florida Statutes (F.S.), the Office of Inspector General (OIG) is “established in each state agency to provide a central point for coordination of and responsibility for activities that promote accountability, integrity, and efficiency in government.” Additionally, the Inspector General is required to complete an annual report by September 30, summarizing the office’s activities during the prior fiscal year. Consistent with these duties, the following accomplishments, highlights and activities demonstrate significant efforts of the Department of Children and Families (DCF) OIG staff during Fiscal Year 2012-2013:

- Received, reviewed and processed 3,149 complaints or requests for assistance from Department managers, employees, clients, or citizens;
- Opened 138 cases, and completed 131 investigations and 2 management reviews that examined allegations of violations of rule, statute, policy or systemic issues, and tracked 116 corrective actions by management to ensure responses to recommendations for personnel action or policy clarification were appropriately addressed;
- Processed 2,987 current and former Department and provider employee reference checks;
- Conducted 59 Outreach Training Sessions for 1,537 Department and/or provider employees on the role of the Office of Inspector General, when to report suspected employee wrongdoing, the Whistle-blower’s Act, and how to recognize violations of statute, rule, policy, or contract, especially as it relates to falsification of child protection records;
- Published 9 assurance or consulting reports, which contained 36 recommendations for improvement of efficiency and effectiveness in Department programs;
- Reviewed 151 Department contractor and provider audit packages of state financial assistance as required by §215.97, F.S.;
- Received and processed over 10,300 fair hearings requests, over 250 administrative disqualification hearing requests and over 130 nursing facility discharge or transfer hearing requests;
- Played a leadership role in the Inspector General community by assisting the Office of the Chief Inspector General with activities promoting the Accreditation of the Inspector General Investigative function and collaborating with Inspectors General to identify efficiencies through an enterprise-wide approach to internal auditing and consulting projects; and,
- Served as the Ombudsman of the Fair Labor Standards Act (FLSA) for the Department.

Introduction

The OIG has worked diligently to meet its statutory mandates and fulfill its mission of “Enhancing Public Trust in Government.” This annual report summarizes the OIG’s activities and accomplishments for Fiscal Year 2012-2013.

Statutory Requirements

The OIG is established in each state agency to provide a central point of coordination and responsibility for promoting and ensuring accountability, integrity, and efficiency in government. In accordance with §20.055, F.S., the Inspector General is appointed by, reports to, and is under the general supervision of the agency head. As outlined in statute, the Inspector General’s duties include:

- Providing direction for, supervising, and coordinating audits, investigations, and management reviews relating to the programs and operations of the agency;
- Keeping the agency head informed of fraud, abuses, and deficiencies relating to programs and operations administered or financed by the agency, recommending corrective actions concerning fraud, abuses, and deficiencies, and reporting on the progress made in implementing corrective action;
- Reviewing the actions taken by the agency to improve program performance and making recommendations for improvement;
- Conducting, supervising, and coordinating activities that promote economy and efficiency and prevent or detect fraud, waste, and abuse;
- Ensuring effective coordination and cooperation between the Auditor General, federal auditors, and other governmental entities;
- Reviewing rules relating to programs and operations and making recommendations regarding impact;
- Assessing the reliability and validity of information provided on performance measures and standards and making recommendations as needed;
- Ensuring an appropriate balance between audit, investigative, and other accountability activities; and,
- Complying with the *General Principles and Standards for Offices of Inspector General* as published and revised by the Association of Inspectors General.

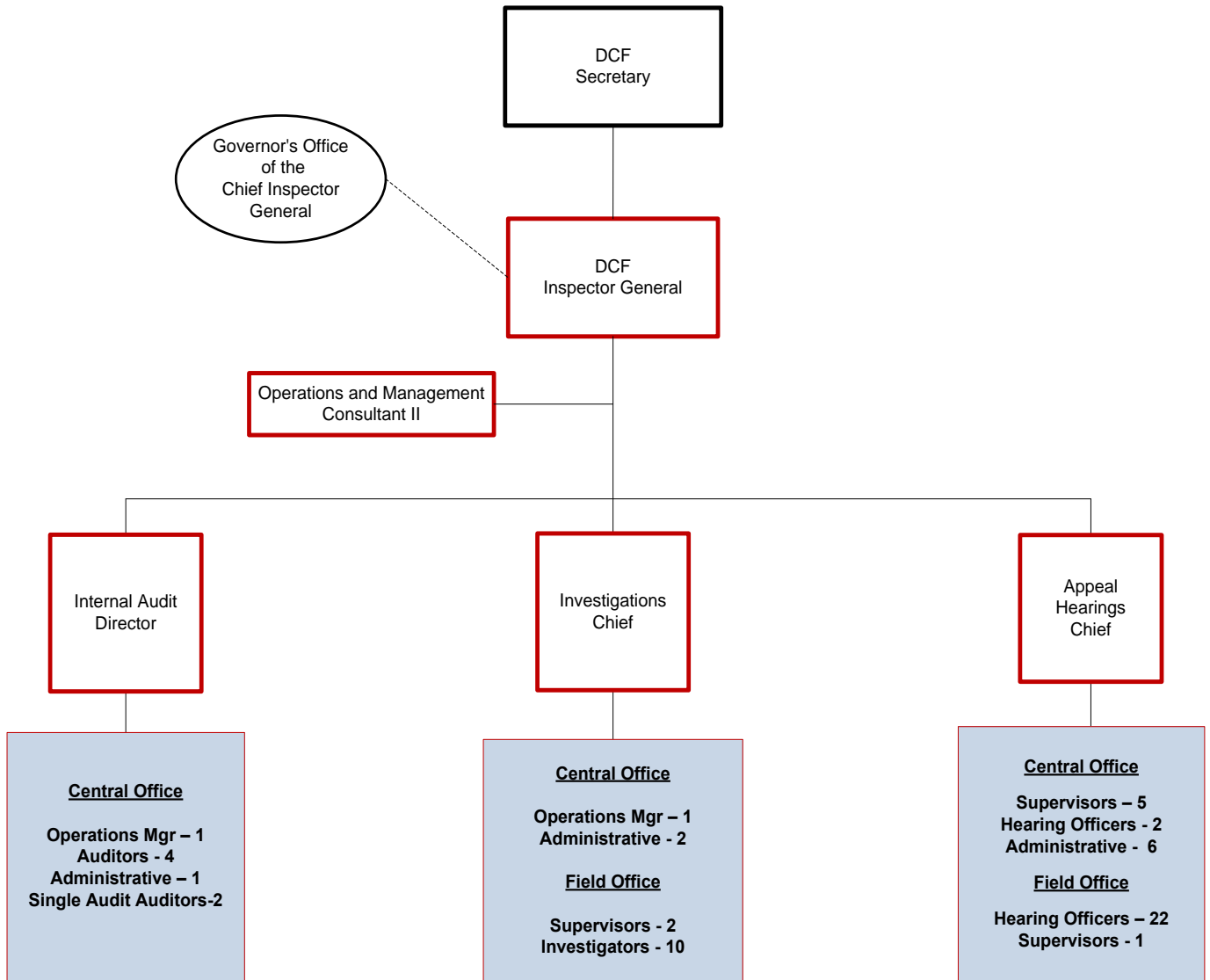
Professional Certifications

Staff members hold the following certifications:

- Certified Fraud Examiner (1)
- Certified Hearing Official (3)
- Certified Information Systems Auditor (1)
- Certified Information Systems Security Professional (1)
- Certified Inspector General (2)
- Certified Inspector General Investigator (2)
- Certified Internal Auditor (1)
- Certified Public Accountant (3)
- Certified Welfare Fraud Investigator (1)
- Certified Child Protective Investigator (1)
- Members of the Florida Bar (6)

Organizational Chart

As of June 30, 2013, the Office of Inspector General consisted of three units: Investigations, Internal and Single Audit, and Appeal Hearings, totaling 64 positions. The Appeal Hearings and Investigations staffs are located in field offices throughout the state.¹



¹ Field Offices
 Investigations – Tallahassee, Ft. Lauderdale, Orlando, Tampa
 Appeal Hearings - Tallahassee, West Palm Beach, Ft. Lauderdale, Largo, Miami, Tampa, Pensacola, Ft. Pierce, Gainesville, Orlando, Jacksonville

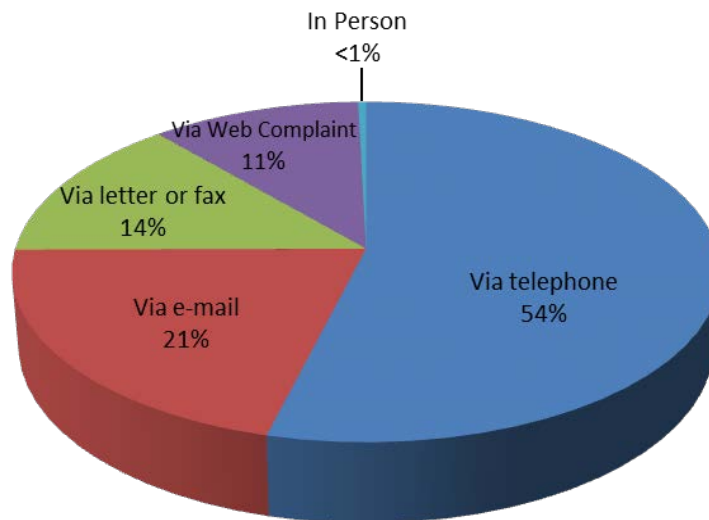
Investigations Unit

Intake Section

The Intake Section handles incoming calls and reviews all complaints or requests for assistance received via telephone, letter, fax or email by the Investigations Unit. The Intake Section reviewed a total of **3,149** complaints or requests for assistance.

The Intake Section received the **3,149** complaints or requests for assistance in the following manner.

- **1,699** were received via telephone;
- **660** were received via e-mail;
- **433** were received via letter or fax;
- **344** were received via web complaint; and
- **13** were received in person.



Of the total number of complaints or requests for assistance received:

- **2,055** were referred to Department management for handling as deemed appropriate;
- **718** were provided information or no further action was needed;
- **161** were non-jurisdictional and were referred to the appropriate entity;
- **138** were opened for investigation or management review;
- **72** were referred to Department management for review and response;
- **4** were incorporated into ongoing investigations; and
- **1** was received on the Fair Labor Standards Act (FLSA) Hotline.²

² There were a total of 11 FLSA correspondences received (four were referred to Management for review and response, six resulted in open investigations, and one was incorporated into an ongoing investigation).

Investigations Section

Staff initiate investigations or management reviews when violations of rule, statute, policy and/or contract are alleged, including those filed under the Whistle-blower's Act.³ While investigations are administrative in nature, criminal violations are often discovered during the investigative process. When a determination is made that the subject of an investigation has committed a potential criminal violation, the investigation is coordinated with local law enforcement agencies, the Florida Department of Law Enforcement, or the appropriate State Attorney's Office for criminal prosecution.

Investigations and Management Reviews

- **138** cases were opened for investigation or management review.
- **131** investigations and **2** management reviews were completed.

Whistle-blower Investigations

- **5** investigations were initiated and **4** investigations were completed in accordance with the Whistle-blower's Act.

Recommended Corrective Actions

A total of **116** corrective actions, entailing **157** recommendations, were issued by the Investigations Unit. Based on the investigation or management review, the Investigations Unit may make recommendations in the form of a corrective action. The recommendations are for the purpose of process improvement and are made to Department or contracted provider management. The final reports, including recommendations, are sent to all appropriate parties and actions are tracked to completion.

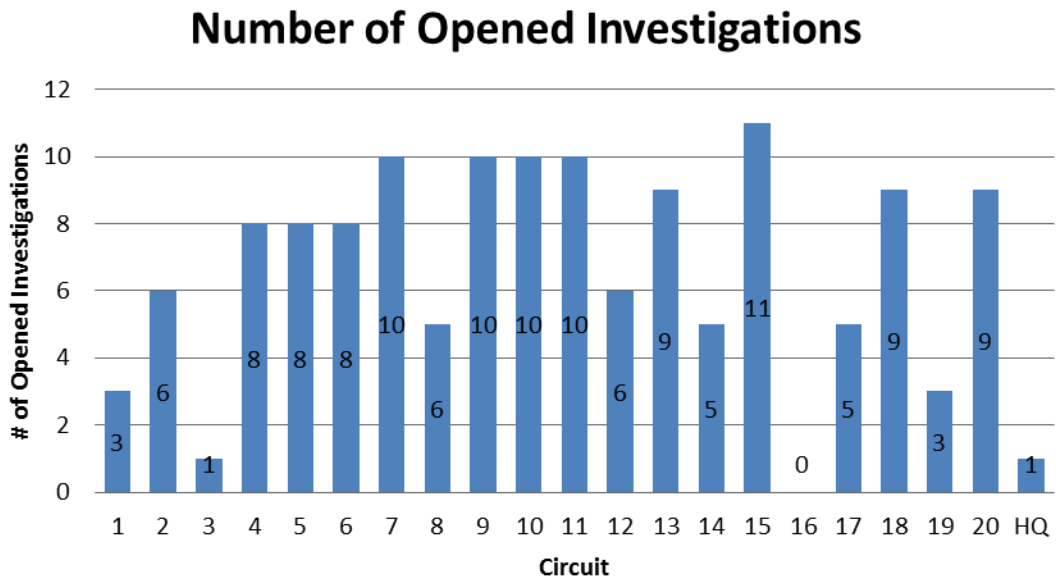
Personnel Actions Associated with Investigations

Personnel actions can also occur as a result of allegations reported to the OIG or completed investigations by the OIG. The following actions were reported to the OIG and took place at the discretion of management or the employee themselves:

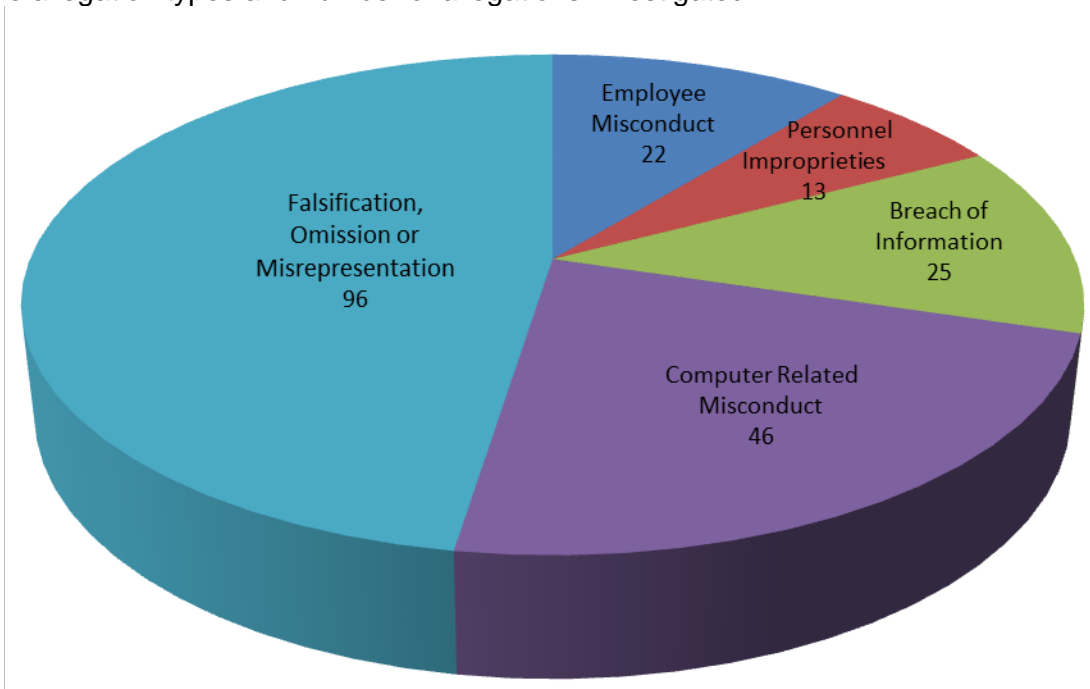
- **51** Resignations
- **48** Terminations
- **12** Written Reprimands
- **9** Performance Improvement Plans
- **1** Demotion

³ The Whistle-blower's Act, §112.3187-112.31895, F.S., is intended to protect current employees, former employees, or applicants for employment with state agencies or independent contractors from retaliatory action. Whistle-blower designation is determined by the OIG in consultation with the Governor's Chief Inspector General's office. If a complaint meets whistle-blower criteria, the whistle-blower's identity is protected from release and an investigation is conducted pursuant to §112.3189, F.S.

The following chart provides a comparative analysis of investigations opened by Circuit:



The top five allegation types and number of allegations investigated:



Public Records Requests

The Investigations Unit responded to **34** public records requests under Chapter 119, F.S.

Inspector General Reference Checks

Current and former Department and provider employees being considered for re-hire, transfer, promotion, or demotion, by the Department or its contracted employers are screened by the Investigations Unit to determine if they were involved in an OIG investigation. The Investigations Unit processed **2,987** reference check requests.

Inspector General Outreach Program

The Investigations Unit offers an outreach program with Community-Based Care providers, their subcontractors, and Department staff. This program involves meeting with management and their subordinate staff, and conducting training sessions to educate them on the role of the OIG, when to report suspected employee wrongdoing, protection afforded under the Whistle-blower's Act, and how to recognize violations of statute, rule, policy, or contract, specifically potential falsification of records under §839.13(2)(a), F.S. and §839.13(2)(c), F.S. A total of **59** training sessions, involving **1,537** individuals, were completed with Department employees and/or Community-Based Care and subcontractor agencies.

Fair Labor Standards Act (FLSA) Ombudsman

Pursuant to a federal agreement, the OIG serves as the ombudsman for the Department regarding FLSA. The OIG maintains a FLSA hotline, provides investigative services, makes recommendations, and publishes quarterly reports to address FLSA concerns.

Appeal Hearings Unit

The Office of Appeal Hearings conducts administrative hearings for applicants or recipients of public assistance programs and individuals being transferred or discharged from nursing facilities. The unit also conducts disqualification hearings for the Department when it is believed individuals have committed intentional program violations in the Cash or Food Assistance programs.

The Office of Appeal Hearings reports directly to the Inspector General. This assures independence for the unit and complies with federal regulations requiring a hearing officer to be a headquarters level employee.

Administrative costs for hearings are funded at 50% federal administrative trust funds and 50% state general revenue.

Hearings Authority

The unit operates pursuant to the following statutory authorities:

- §409.285, F.S., Opportunity for Hearing and Appeal.
- §120.80, F.S., Exceptions and special requirements; agencies.
- §400.0255, F.S., Resident transfer or discharge; requirements and procedures; hearings.
- §393.125, F.S., Hearing rights.

The administrative rules for the Department's fair hearing procedures appear in Florida Administrative Code, Rule 65-2.042, et seq., Applicant/Recipient Hearings.

The major controlling federal regulations are:

- Temporary Assistance to Needy Families Personal Responsibility and Work Reconciliation Act of 1996;
- Medicaid - 42 CFR §431.200, Fair Hearings for Applicants and Recipients;
- Food Stamps - 7 CFR §273.15, Fair Hearings; and
- 7 CFR §237.16, Disqualification for intentional Program violation.

Hearings Jurisdiction

Based on the legal authorities, the unit conducts hearings for the following programs:

Automated Community Connection to Economic Self-Sufficiency (ACCESS)

- Cash, Temporary Assistance to Needy Families (TANF)
- Food Assistance
- Disaster Food Assistance Program
- Medicaid Eligibility
- Refugee Assistance Program
- Institutional Care Program

- Optional State Supplementation

Medicaid Benefits

- Agency for Health Care Administration
- Agency for Persons with Disabilities
- Nursing Facility Discharge Hearings

Others

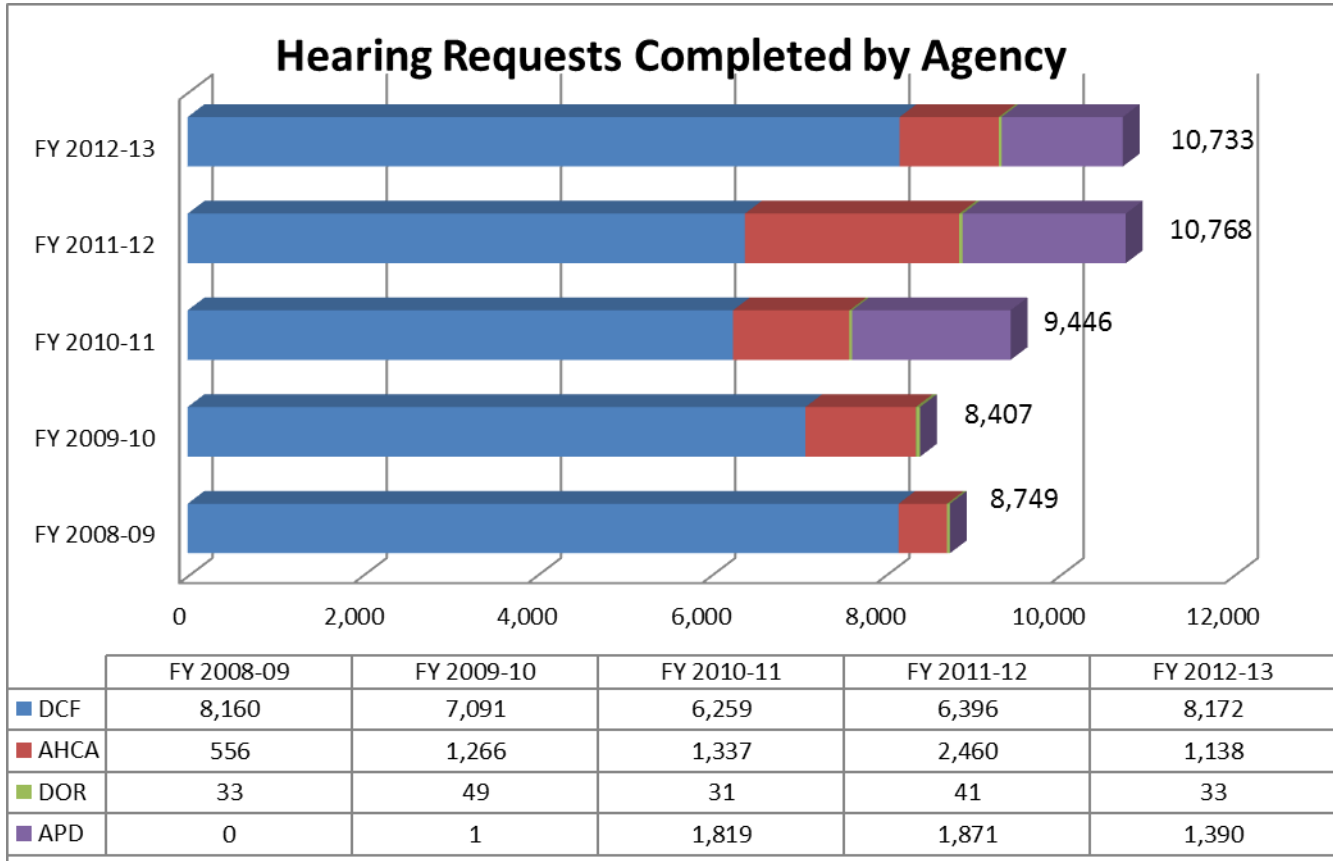
- Department of Health Special Supplemental Food Program for Women, Infants and Children (WIC)
- Eligibility for or amount of payments for Family Safety programs funded through the Social Security Act
- Child Support Enforcement issues for the Department of Revenue

Completed Hearings Activities

During State Fiscal Year 2012-2013:

- **10,335** fair hearing requests were completed.
- **265** disqualification hearings for Cash or Food Assistance Program benefits were conducted and completed.
- **133** nursing facility discharge or transfer hearings were completed.

Additionally, the unit processed **2,405** waivers of Administrative Disqualification Hearings.



Internal and Single Audit Unit

Internal Audit Section

The Internal Audit Section's primary responsibility is to assist Department management in determining whether adequate controls exist and risks are mitigated to ensure the orderly and efficient conduct of business. In addition, §20.055(7)(a), F.S., includes a description of activities related to the development, assessment, and validation of performance measures. These activities are integrated into the audit process.

The Internal Audit Section published nine reports,⁴ which included 36 recommendations for improvement. The section coordinated with external auditors such as Florida's Auditor General, the Federal Department of Health and Human Services' Office of Inspector General and the Office of Program Policy Analysis and Government Accountability to avoid duplicative efforts and facilitate the auditing process. Five external report responses were coordinated and 101 liaison activities, such as requests for responses and information gathering for audits and reviews underway, were facilitated. Three external follow-up audits were conducted.

Single Audit Section

The Single Audit Section is federally mandated in accordance with Circular A-133 sections 503, 1111, and 7501 *et seq.* of title 31, United States Code and Executive Orders 8248 and 11541. The section was created within the Department to monitor, use, and follow-up on audits of state financial assistance provided to non-state entities as required by §215.97, F.S. Public Accounting firms perform financial audits of Department contractors and providers. These audits and associated reports are generally required by contract, and are considered a crucial accountability component for state and federally funded initiatives. Financial accounting and reporting is complex and technical. Contract managers generally do not have the financial background or expertise to properly assess the financial statements and the related schedules, so this activity has been centrally located in the Single Audit Section for many years.

The mission of the Single Audit Section is to interpret the critical information provided by independent external auditors and to keep management and contract managers apprised of pertinent financial information contained in the reports. The section's two staff members reviewed 151 provider audit packages. In addition, the Single Audit staff provided clarification and guidance to independent auditors on the complex and changing requirements of state and federal audits. Many of the audit reports reviewed required follow-up with the contract manager. Issues communicated ranged from minor issues where the contract manager simply needed to be informed, to more significant issues where corrective action was required from the provider. The Single Audit staff also provided feedback to external auditors when improvements and corrections were needed in their audit reports for compliance with requirements.

⁴ Reports that do not contain confidential information are posted on our website at <http://www.dcf.state.fl.us/admin/ig/reports/auditsearch.aspx>.

Florida Inspectors General Expertise System (FIGES)

Internal Audit staff created and serves as the Site Administrator for the *Florida Inspectors General Expertise System (FIGES)*. *FIGES* is public internet database of Florida State Government, local government and University Inspectors General Offices. It contains contact information, areas of expertise and professional certification for Inspectors General Offices. (<http://figes.dcf.state.fl.us>)

Appendix

Summary of Internal Audits Issued During FY 2012-2013

A-1112DCF-234 – Department Policies and Procedures to Identify Inmates Receiving Public Assistance Benefits

Program policy dictates that public assistance benefits should be discontinued for individuals if they are incarcerated in local county/city jails or state prisons. The complexity of the three major public assistance programs along with the distributed nature of Florida's corrections facilities make it difficult to identify and timely discontinue public assistance benefits. The audit disclosed several opportunities to expand the scope of the Department's policies and procedures for identifying inmates receiving public assistance benefits. One of those issues related to Medicaid and the fact that Medicaid is moving from a "fee-for-service" model to a "managed-care" model. Under the "fee-for-service" model, no services are delivered while the individual is incarcerated; however, in a managed-care system fees are paid regardless of whether services are delivered. Department management offered a plan to address the report's recommendations.

A-1113DCF-026 - ITS - TSS - Multi-function Device (MFD) Hard drive disk (HDD) Sanitization and Disposal

Hard drive storage devices are used in most multi-functional machines (copy, fax, and scan) and they often retain images created by the machines. When these machines are replaced it is critical all information on these hard drives be removed. The purpose of this audit was to determine if there are adequate policies, procedures and practices to ensure these hard drives are appropriately "sanitized" prior to leaving custody of the Department. It was disclosed that the Department has a solid framework of formal guidance; however, it was found that the various locations had different understandings of what and how these disks should be "sanitized." In addition, documentation was not consistent or not available that verified the hard drives were cleaned. The report recommended actions be taken to mitigate the risks.

A1112DCF-111 – Client Trust Funds – ChildNet, Inc.

ChildNet, Inc. is the lead agency for Community-Based Care (CBC) in Circuit 17. Broward County assumed responsibility for administering client trust funds on July 1, 2004. This audit examined whether internal controls to protect client trust funds had been implemented, focusing primarily on expenditure documentation. In addition, tests were performed to determine if client trust fund expenditures were appropriately planned and budgeted. A material number of client trust fund purchases – approximately 25 percent of our audit sample – were unsupported by purchase documentation. A noted concern are the challenges created by the issuance of checks to individuals (traditionally checks are issued to vendors/stores) and the lack of receipt documentation. Recommendations included opportunities for improving purchase documentation and internal controls.

A-1112DCF-016 – Evaluating Compliance with Requirements for Lead Agency Subcontract Monitoring

The Department contracts with Community-Based Care (CBC) Lead Agencies that often subcontract with specialized providers to deliver vital child welfare services for vulnerable children and families. The successful performance of subcontracts is critical to the Department's mission; therefore, monitoring subcontracts to ensure quality performance is essential. This audit focused on lead agency oversight of the Department's subcontracts, primarily lead agencies' development of written subcontract monitoring procedures and compliance with the State and Federal audit requirements. The audit disclosed that the subcontract monitoring procedures did not encompass all state and Federal audit requirements. The report recommended that the Department and lead agencies should strengthen controls to improve the quality and comprehensiveness of subcontract monitoring procedures, the actual monitoring process, and subcontractor compliance with contract requirements.

A1213DCF-058 – Lobbying Expenditures by Community-Based Care Lead Agencies

The Department's contracts prohibit Community-Based Care (CBC) lead agencies from spending contract funds for lobbying the Legislature, judicial branch or a state agency. This audit determined whether ChildNet, Inc., CBC of Central Florida, and, Our Kids of Miami/Dade-Monroe complied with the requirement during FY 2011-12. The audit disclosed the following: ChildNet, Inc. and the CBC of Central Florida complied with the requirement that Department contract funds not be expended for the purpose of lobbying. However, CBC of Central Florida did not account for revenue and expenditures by source of funds; they pooled Department funds with funds from other sources. Our Kids did not fully comply with the requirement that Department contract funds not be expended for lobbying. During FY 2011-12, an employee was a registered lobbyist while holding the "Government and Community Affairs" position, funded by the Department's contract. Corrective action and reimbursement were recommended.

A1213DCF-061 – Untimely Pick-Up of Treated Patients Found Competent for Trial

A goal of state mental health treatment facilities or hospitals is to provide timely admission, treatment and discharge of residents. Increasingly, untimely pick-up of treated residents has created longer wait times for the availability of beds for other residents that need treatment. When treatment is completed and residents are found competent for trial, they must be picked up within 30 days after declared competent, and transported to the local jail where the court will rule on their competency. Section 916.107(10), F. S. gives the county sheriffs the responsibility for transportation. The Department has effectively addressed untimely pick-up by tracking and monitoring resident pick-up durations. The subsequent communication with the courts, by Department attorneys, regarding issues noted during the Return-to-Court conference calls has greatly reduced pick-up times.

A1213DCF-072 – Inspections of Child Care Settings

The Child Care program is responsible for ensuring that children are well cared for in a safe, healthy, positive and educational environment by trained, qualified child care staff. The scope of this project focused on the overall performance of licensing site visits, in general, and food safety inspections, in particular, for the period July 1, 2010 - December 31, 2012. The audit reported that the licensing site visits and food safety inspections were being conducted effectively and efficiently to ensure that health and safety requirements were met. In addition, the program had effective controls in place for site visits.

Recommendations were to increase the percent of inspections and to continue on the proposed food hygiene rule.

A1213DCF-138 – How Long Does it Take to Get a Foster Home License?

This Audit Inquiry project was in response to Secretary Wilkins' questions on the length of time it takes to license a foster parent and on the consistency of the licensing process. The question could not be readily answered through a data inquiry because this information was not consistently entered into the Florida Safe Families Network (FSFN) as required. Readily accessible information is essential for management decision making. A continued recommendation was that licensing information be captured in FSFN. In order to get an idea of the time frames for licensing, all six regional licensing managers tracked the process for three licenses issued in their region in February of 2013. To determine the length of the process for these 18 licenses, the initial inquiry date, training period dates, home-study beginning and ending dates, and licensure date were analyzed and charted to show the relationship between the steps of the licensure process. The average time it took for the licensing of the 18 families was seven months (223 days).

C1213DCF-025 – Prospective Parent – How Long Does it Take to Adopt?

This Audit Inquiry project was in response to Secretary Wilkins' question on the length of time it takes for a prospective parent to adopt a child. The report shows that it can take from 9 to 20 months for prospective adoptive parents to finalize the adoption of a foster child who was unrelated and not known to them before the adoption process began. The report contains a table that breaks down the adoption process components and approximate time ranges in months based on a survey of Lead Agency adoption specialists. After approval of the home study, it can take 5 to 14 months to finalize an adoption. The following activities occur: Match and Pre-placement, Adoptive Placement Supervision, and Finalization. Analysis of selected data validated that FSFN was not being used as designed. Essentially, the initial inquiry data is not being documented in FSFN until the home study is being documented in FSFN. The date of initial inquiry cannot be back-dated and therefore the FSFN data was not accurate or available. The limited and incomplete data from FSFN indicates that it takes an average of 101 days or 3 months to finalize an adoption. This information is in direct conflict with survey information collected from adoption specialists. A continued recommendation was that case management information be captured in FSFN.

External Audit Reports Issued During FY 2012-2013

Auditor General

- 2013-161 State of Florida - Compliance and Internal Controls over Financial Reporting and Federal Awards
- 2013-005 Integrated Data Access (Florida) System Information Technology Operational Audit
- 2013-133 Public Assistance Eligibility Determination Processes at Selected State Agencies-Operational Audit

United States Department of Health and Human Services

Audit Resolution CIN A-04-12-18633, A-133 Report of Single Audit of the State of Florida

Florida Department of Financial Services

Department of Children and Families: Substance Abuse and Mental Health Contract/Grant Agreement Report

Follow-up Reports Completed During FY 2012-2013

Auditor General

Report No. 2012-142 - Six Month Status Report: State of Florida - Compliance and Internal Controls over Financial Reporting and Federal Awards

Report No. 2012-138 - Six Month Status Report: Integrated Benefit Recovery System (IBRS) - Information Technology Operational Audit

Summary Schedule of Prior Audit Findings for the fiscal year 2011-2012

Summary of Investigations and Corrective Actions Completed During FY 2012-2013

Headquarters

1. 2012-0107 The Administrative Services Support Center Director misappropriated funds by misusing LobbyTools (a legislation tracking website). **Not Supported.**
Corrective Action: No action required.

Circuit 1

1. 2012-0067 A Team Manager of a contracted provider disclosed confidential abuse report information to unauthorized persons. **Not Supported.**
Corrective Action: The employee received a written reprimand and a copy of the report was placed in the employee's personnel file.

Circuit 2

1. 2012-0007 An Adult Protective Investigator revealed the identity of a person who reported abuse, neglect, or exploitation of a vulnerable adult to the Abuse Hotline (FSFN Intake Report #2012-012067). **Supported.** The Adult Protective Investigator breached confidentiality of records derived during the course of an adult protective investigation (FSFN Intake Report #2012-012067), including protected health information and Medicare member information. **Supported.**
Corrective Action: The employee received a written reprimand and a copy of that written reprimand was placed in the employee's personnel file. The employee was mandated to re-take the online training HIPAA Basics 2012 within 10 days of the signed receipt of the written reprimand. The matter regarding the alleged HIPAA violation was referred by the OIG to the Office of Civil Rights for investigation.
2. 2012-0049 A Child Protective Investigator engaged in employee misconduct by having an inappropriate sexual relationship with a Department client. **Not Supported.** The Child Protective Investigator attempted to influence the testimony of a witness in an Office of Inspector General administrative investigation. **Neither Supported Nor Refuted.** The Child Protective Investigator accessed child protective investigation records for FSFN Intake Report #2009-135899 without a legitimate business reason. **Supported.**
Corrective Action: Child welfare professionals must earn and maintain a child welfare certification. As a condition of this credential, the professionals must abide by the Florida Certification Board's Code of Ethics. The Pre-service training curriculum for child protective investigators and case managers was revised to include discussion about the Code of Ethics all certified staff must abide by as a requirement to earn a certificate. FSFN was also enhanced to include a training tracking system, which records all completed training. Circuit management met with the employee to discuss his conduct and reviewed the policy regarding accessing confidential information only with a legitimate business reason, reviewed the Department Security Agreement Form (CF 114), and discussed the provisions of CFOP 50-2 (Security of Data and Information Technology Resources). This discussion was documented in the employee's personnel file as a performance improvement counseling session. The Northwest Region developed and implemented training related to relationships with clients and accessing information without a legitimate business reason.

3. 2012-0050 A Family Services Counselor accessed FSFN Intake Report #1990-003399, including confidential reporter information, without a legitimate business reason. **Not Supported.** A Child Protective Investigator accessed FSFN Intake Report #1990-003399, including confidential reporter information, without a legitimate business reason. **Supported.** The Child Protective Investigator used Department resources without a legitimate business reason in order to obtain information. **Neither Supported Nor Refuted.** Another Child Protective Investigator accessed FSFN Intake Report #1990-003399 without a legitimate business reason. **Supported.** The second Child Protective Investigator accessed FSFN Intake Report #2000-059263 without a legitimate business reason. **Supported.** A Dependency Case Manager of a subcontracted provider accessed FSFN Case ID #3064896 without a legitimate business reason. **Supported.**
Corrective Action: The second Child Protective Investigator resigned, the subcontracted provider employee was terminated, and a copy of the report was placed in both employees' personnel files. All interns working with the Department's Office of Child Welfare shall adhere to the same standards of confidentiality and information security especially involving the access, transport, or storing of sensitive and confidential information. Prior to authorizing an intern's access to FSFN, verification must now be obtained that the intern has completed all required security and confidentiality training, and that they have reviewed all relevant operating procedures and policy; including, but not limited to Security Awareness training, HIPAA training, FSFN training, and the Department Security Agreement Form (CF 114). Documentation of these requirements will be maintained in the intern's personnel file and violation of security requirements may result in an intern's dismissal from the internship program. CFOP 50-2 (Security of Data and Information Technology Resources) was revised by replacing the word "employees" with the phrase "employees and other system users" so as to incorporate interns. In addition, the Department tracks security training requirements and suspends the account if users have not completed the required training. Procedures were also implemented for interns to be assigned their own FSFN User ID number.
4. 2012-0123 A Paralegal Specialist breached confidential information by providing case related information to her friend, the caregiver, an unauthorized individual. **Not Supported.** The Paralegal Specialist accessed information in FSFN Case #100426565 without a legitimate business reason. **Not Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
5. 2013-0014 An Adult Protective Investigator falsified an adult protective investigation record in FSFN Intake Report ID #2012-288779. **Neither Supported Nor Refuted.**
Corrective Action: The Northwest Region reviewed 64% of all cases assigned to the API between September 2012 and December of 2012 to determine trends in practice related to the original allegation. Of the 18 cases reviewed, 22% raised additional concerns, none of which were substantiated for additional reprimand or follow-up actions. Management held discussions with the employee regarding the importance of knowing the name and position and/or role of all source contacts made during an investigation, while ensuring accurate documentation of the information in FSFN.

Circuit 3

1. 2011-0071
A Child Protective Investigator faxed a Medical Records & Program Records Request and Release containing a "forged" (falsified) signature. **Supported.** The Child Protective Investigator falsified child protective investigation records in FSFN Intake IDs #2011-070842 and #2011-065448. **Supported.** The Child Protective Investigator falsified child protective investigation records in FSFN Intake IDs #2011-098903, #2011-103801, #2011-114928, and #2011-117108. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
2. 2011-0090
A Child Protective Investigator falsified records concerning a face-to-face home visit for FSFN Intake ID #2011-150037. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
3. 2012-0006
A Child Protective Investigator falsified FSFN Case ID #100287500 chronological notes relating to a face-to-face home visit. **Neither Supported Nor Refuted.**
Corrective Action: The employee was presented with a "Counseling Memorandum," which listed documents required to be presented to the subject at the commencement of an investigation, and emphasized the importance of placing copies of those documents in the case file. The memorandum also directed the employee to improve the quality of his record-keeping and to keep his travel logs up to date.
4. 2012-0028
An Adult Protective Investigator falsified adult protective investigation records concerning FSFN Intake Report #2012-016761. **Neither Supported Nor Refuted.**
Corrective Action: A copy of the report was placed in the employee's personnel file.

Circuit 4

1. 2011-0073
A Family Preservation Specialist of a contracted provider falsified information in the Community Based Resource Information System (CoBRIS). **Supported.** The Family Preservation Specialist removed and/or lost client files from the contracted provider's office. **Supported.** The Family Preservation Specialist misused a rental payment and a gift card provided by the contracted provider that was intended for a client of the contracted provider. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in employee's personnel file. A review of employee's travel claims was completed and recoupment was sought for the travel amount deemed fraudulent. The contracted provider implemented a process to establish controls to detect misuse of gift cards.
2. 2011-0117
A Child Protective Investigator falsified child protective investigation records concerning the investigation of FSFN Intake Report #2011-138723. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file. Another Child Protective Investigator who served as the employee's mentor and often rode along with the employee to conduct casework had discrepancies and possible duplicate entries for travel on her submissions for travel reimbursement. As a result, that child protective investigator's travel reports were audited and it was determined that those

discrepancies were accidental; however, that employee was placed on a corrective action plan to ensure future travel logs were completed accurately.

3. 2011-0124
A Child Protective Investigator and a Family Services Counselor of a subcontracted provider submitted documentation containing false information during family court proceedings. **Not Supported.** The Family Services Counselor conducted herself unprofessionally. **Not Supported.**
Corrective Action: The investigation revealed that the Early Service Intervention (ESI) Staffing Checklist used by the Department does not indicate what the “Date” on the top of the form refers to and does not include a location to document the date(s) the ESI Staffing Checklist was signed by each individual, and revisions made to the current form are completed manually and may appear to be falsified. As a result, the ESI Staffing Checklist used by Circuit 4 was updated to include “Date of Staffing” and “Date Signed.”
4. 2012-0014
Two Family Services Counselors and a Case Management Supervisor of a subcontracted provider mishandled a case by failing to conduct a home study and background check prior to the placement of a child. **Supported.**
Corrective Action: One of the Family Services Counselors was terminated and a copy of the report was placed in that employee’s personnel file. The other two employees received written reprimands. A revised placement process was developed by the subcontracted provider to prevent future occurrences where a home study or background check is not completed.
5. 2012-0053
An Economic Self-Sufficiency Specialist Supervisor instructed employees to change their overtime election from cash payment to special compensatory leave. **Neither Supported Nor Refuted.**
Corrective Action: Circuit 4 ACCESS staff were reminded of their rights under the Fair Labor Standards Act (FSLA) regarding overtime accrued and methods of compensation for that time.
6. 2012-0078
A Child Protective Investigator falsified child protective investigation records concerning the investigation of FSFN Intake Report #2012-088438. **Supported.** The Child Protective Investigator falsified child protective investigation records concerning the investigation of FSFN Intake Report #2012-101068. **Supported.** The Child Protective Investigator falsified child protective investigation records concerning the investigation of FSFN Intake Report #2011-023069. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee’s personnel file.
7. 2012-0081
A Family Services Counselor Supervisor abused her authority by filing a child care licensing complaint to benefit a friend. **Not Supported.**
Corrective Action: No action required.
8. 2012-0095
A Child Protective Investigator falsified documentation in the investigation of FSFN Intake Report #2012-111998. **Not Supported.**
Corrective Action: No action required.
9. 2012-0109
(Whistle-blower)
A Program Manager for Adolescent Services of a contracted provider failed to make an abuse report concerning an alleged sexual incident between a staff member and a client, and also directed a staff member not to make the abuse report. **Neither Supported Nor Refuted.** The Program Manager for Adolescent

Services wrongfully terminated an employee by accusing the employee of falsifying her timesheet. **Neither Supported Nor Refuted.**

Corrective Action: A Girls Counselor for the contracted provider that allegedly had inappropriate relationships with teenage clients was terminated. The Department Assistant Secretary for Substance Abuse and Mental Health (SAMH) reviewed the report with the contracted provider and the matters of updated training for all staff members regarding mandated reporter requirements, sexual harassment/improper sexual relations in the workplace, and proper timesheet reporting procedures were addressed. The contracted provider ensured that all staff were trained regarding these topics and the training will continue to be completed annually. The personnel file for the individual whose employment was allegedly wrongfully terminated was reviewed by the SAMH program office and it was determined that the action taken was appropriate as protocol was followed and proper documentation was in place. The contracted provider updated their policy relating to staff taking clients to their personal residence.

10. 2012-0113 An Adult Protective Investigator created a conflict of interest in FSFN Intake ID #2012-229051 by conducting an adult protective investigation involving a personal acquaintance. **Supported.** The Adult Protective Investigator falsified adult protective investigation records in FSFN Intake ID #2012-229051. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
11. 2012-0120 A Child Protective Investigator falsified child protective investigation records concerning FSFN Intake Report #2012-259064. **Not Supported.**
Corrective Action: The Family and Community Services Director reminded all Child Protective Investigators to ensure the Consent to Release Information forms are completely filled out and the intent of the form is explained to the client prior to obtaining a signature. The Office of Child Welfare at headquarters standardized this form for statewide distribution. A work group was convened to review the process and to make recommendations to standardize a Consent to Release Information form(s) to obtain or exchange clients' personal information. All child protective investigative staff statewide were trained on the proper use of the forms.
12. 2012-0130 A Case Manager II of a subcontracted provider falsified information in CoBRIS. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. The subcontracted provider initiated training to staff in order to reiterate the need to physically see all children during a home visit.
13. 2012-0136 A Child Protective Investigator used his Department e-mail account to send an inappropriate e-mail to another employee's Department e-mail account. **Supported.** A Senior Child Protective Investigator shared her FSFN User ID and password with the Child Protective Investigator. **Supported.** The Child Protective Investigator accessed FSFN using the Senior Child Protective Investigator's FSFN User ID and password. **Supported.**
Corrective Action: The Child Protective Investigator was terminated and a copy of the report was placed in the employee's personnel file. All Northeast Region staff were reminded via memorandum to review Department policy regarding Internet and e-mail use and timesheet reporting.

Circuit 5

1. 2011-0103
A SAMH Contract Manager created a position in Department Contract #PH204 with a contracted provider knowing her position with the Department was being eliminated, then accepted the same position she created with the contracted provider within a month of her position with the Department being eliminated. **Not Supported.**
Corrective Action: No action required.

2. 2012-0044
A Family Care Manager of a subcontracted provider falsified Chronological Notes Reports in FSFN Case ID #100572917 and in FSFN Case ID #100225231. **Supported.** The Family Care Manager falsified Chronological Notes Reports in FSFN Case ID #100581646, FSFN Case ID #100225231, and FSFN Case ID #100417574. **Supported.** The Family Care Manager falsified Chronological Notes Reports in FSFN Case ID #3218850 and FSFN Case ID #100699111. **Not Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file. As an ongoing effort to prevent or at minimum ensure early detection of falsification by employees, the following steps were taken by the subcontracted provider: 1) Every employee was required to attend training presented by the OIG. The training covered falsification and the professional and criminal ramifications of such; 2) The subcontracted provider's Quality Assurance Coordinator (QAC) team now conduct random calls to caregivers to verify home visits occur as documented. An interview sheet is completed with the caller presenting the information in a survey format and any anomaly is reported immediately to the QAC Director. Concerns raised as to quality of services provided is relayed to the direct supervisor of the employee in question; 3) During the interview of potential employees, falsification and the ramification of such is discussed; and 4) Newly hired employees are required to sign a document acknowledging that falsification is a criminal offense that will not be tolerated.

3. 2012-0054
A Family Care Manager of a subcontracted provider falsified a Chronological Notes Reports in FSFN Case ID #100436048. **Not Supported.** The Family Care Manager falsified Chronological Notes Reports in FSFN Case ID #100436048. **Neither Supported Nor Refuted.** The Family Care Manager breached the confidentiality of FSFN Case ID #100436048 by bringing unauthorized persons to a home visit. **Neither Supported Nor Refuted.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.

4. 2012-0055
An Adult Protective Investigator falsified adult protective investigation records in FSFN Intake ID #2012-096934. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.

5. 2012-0063
A Family Care Manager of a subcontracted provider falsified a Chronological Notes Report in FSFN Case ID #100264997. **Neither Supported Nor Refuted.** The Family Care Manager falsified Chronological Notes Reports in FSFN Case ID #100337127 and FSFN Case ID #100677364. **Not Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.

6. 2012-0064 A Child Protective Investigator falsified child protective investigation records in FSFN Intake ID #2012-106792 and FSFN Intake ID #2012-074063. **Supported.** The Child Protective Investigator disclosed confidential child abuse investigation information to an unauthorized person. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. Front line staff within each Circuit in the Central Region (Circuits 5, 9, 10, 18, and 19) received OIG Outreach Training as it relates to falsification and other violations investigated by the OIG.
7. 2012-0068 A Family Care Manager of a subcontracted provider falsified a child protective supervision record in FSFN Case ID #100558375. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
8. 2012-0103 A Child Protective Investigator Supervisor (CPIS) created a hostile work environment. **Neither Supported Nor Refuted.** A Child Protective Investigator was rude and threatening to a client in a case. **Not Supported.** The Child Protective Investigator Supervisor requested that employees "work off the clock." **Neither Supported Nor Refuted.** The Child Protective Investigator Supervisor mishandled a case by prematurely closing the case. **Not Supported.** The CPIS and another CPIS engaged in conduct unbecoming a public employee by criticizing staff members. **Supported.** The second CPIS advised a Department employee that he would not receive overtime compensation for time worked and requested that another employee work during lunch without claiming work hours. **Not Supported.**
Corrective Action: With regard to the series of e-mails exchanged between the two CPISs that were deemed unprofessional and inappropriate in nature, they both received a counseling memorandum (written reprimand) that was placed in their respective personnel files. All Circuit 5 staff were required to complete mandatory Fair Labor Standards Act (FLSA) training, which addressed employee compensation for all hours worked. Circuit 5 Program Administrators were reminded of the FLSA training and directed to address FLSA issues in their management meetings with supervisors. All Circuit 5 staff completed mandatory Security Awareness training, which addressed the prohibition of sharing passwords. Circuit 5 Program Administrators were reminded of the issues regarding information technology security and directed to address these matters in their management meetings with supervisors.
9. 2012-0111 A Child Protective Investigator breached confidential child protective investigation information pertaining to FSFN Intake ID #2012-208358 by bringing an unauthorized individual to a home visit. **Neither Supported Nor Refuted.** The Child Protective Investigator falsified the Department Employee Certification for Vehicle Insurance Allowance Forms for the periods of October 25, 2011 through December 31, 2011, and January 1, 2012 through June 30, 2012. **Supported.** The Child Protective Investigator engaged in conduct unbecoming a Department employee by accepting a personal loan from an individual associated with a child protective investigation. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.

10. 2012-0115 An Economic Self-Sufficiency Specialist I submitted false medical documentation pertaining to the request and approval of leave in accordance with FMLA. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
11. 2012-0116 A Child Protective Investigator disclosed confidential information to an unauthorized individual. **Not Supported.**
Corrective Action: Based on the fact that the investigation revealed possible control weaknesses regarding file room procedures, the Brooksville Service Center implemented a new sign-out log for all persons removing files from that room. In addition, the employee requesting the file will also send an e-mail to their direct supervisor requesting to retrieve the file. The file room is locked at all times and access is limited to the unit secretary, administrative assistant, and the Program Administrator. The employee allowing access to the file room is responsible for ensuring the requested file is signed out.
12. 2012-0119 An Economic Self-Sufficiency Specialist I accessed Florida Department of Highway Safety and Motor Vehicles (DHSMV) Metropolitan Area Network Driver and Vehicle Express (mDAVE) records without a legitimate business reason. **Supported.**
Corrective Action: The employee received a written reprimand. Letters were sent to each individual whose personal information was accessed, in accordance with Florida Statutes, informing them that their personal information may have been compromised and possible actions they can take to protect their identity and credit.
13. 2013-0021 A Senior Child Protective Investigator falsified child protective investigation records within FSFN Intake ID #2013-004303-01. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file. The Florida Certification Board was notified and began the administrative process of revoking the employee's Child Protection Professional certification.
14. 2013-0044 A Child Protective Investigator falsified child protective investigation records in FSFN Case ID #100845881. **Supported.** The Child Protective Investigator falsified child protective investigation records in FSFN Case ID #100757112. **Not Supported.** The Child Protective Investigator falsified information in an Initial In Home Safety Assessment pertaining to FSFN Case ID #2576486. **Neither Supported Nor Refuted.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file. The Florida Certification Board was notified and began the administrative process of revoking the employee's Child Protection Professional certification.

Circuit 6

1. 2011-0076 A Case Manager of a subcontracted provider falsified child protective supervision records in FSFN Cases #100051106, #100489837, and #100509949. **Supported.** The Case Manager falsified child protective supervision records in FSFN Cases #100304403, #100510866, #100312470, #3187983, #100465634, #100544877, and #100567678. **Supported.**

Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

2. 2012-0070
A Case Manager of a subcontracted provider falsified child protective supervision records in FSFN Case ID #3583293 and FSFN Case ID #100449011. **Neither Supported Nor Refuted.** The Case Manager falsified child protective supervision records in FSFN Case ID #100381749. **Not Supported.**
Corrective Action: The employee resigned. The contracted provider and subcontracted provider agencies reviewed the report to ensure there were no gaps in the process regarding jail visits and supervisor case follow-up.
3. 2012-0110
A Case Manager of a subcontracted provider falsified a Child Visitation Report in FSFN Case ID #100399637. **Not Supported.**
Corrective Action: No action required.
4. 2013-0007
A Case Manager of a subcontracted provider falsified a Chronological Notes Report in FSFN Case ID #100722945. **Supported.** The Case Manager falsified Child Visitation Reports in FSFN Case ID #100255307. **Not Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. The Florida Certification Board was notified and began the administrative process of revoking the employee's Child Protection Professional certification.
5. 2013-0008
A Case Manager Supervisor of a subcontracted provider falsified a chronological note in FSFN Case ID #2719469. **Not Supported.**
Corrective Action: The employee resigned.
6. 2013-0012
A Case Manager of a subcontracted provider falsified chronological notes in FSFN Case ID #2220545 pertaining to a face-to-face home visit. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

Circuit 7

1. 2012-0010
A Child Protective Investigator falsified child protective investigation records in FSFN Intake ID #2011-267827. **Supported.** The Child Protective Investigator falsified Vicinity/Map Mileage Logs (Form C676 VM) and submitted fraudulent Vouchers for Reimbursement of Traveling Expenses (Form DFS-AA-15). **Supported.** The Child Protective Investigator falsified child protective investigation records in FSFN Intake ID #2011-279043. **Neither Supported Nor Refuted.** The Child Protective Investigator instructed a Department client not to cooperate with a child abuse investigation. **Not Supported.** The Child Protective Investigator created a conflict of interest by working on a child protective investigation involving a personal acquaintance. **Not Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
2. 2012-0016
A Child Protective Investigator falsified child protective investigation records in FSFN Intake IDs #2011-252060, #2012-002828, #2012-011632, and #2011-227535. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. Concerning the issue of the Child

Protective Investigator Supervisor (CPIS) allegedly being aware of potential falsification but taking no action, the Northeast Regional Managing Director demoted the CPIS to a CPI position.

3. 2012-0035 A Child Protective Investigator falsified child protective investigation records in FSFN Intake ID #2012-017983. **Supported.**
Corrective Action: The employee resigned (voluntarily retired) and a copy of the report was placed in the employee's personnel file.
4. 2012-0048 A Case Manager of a contracted provider accessed FSFN Intake ID #2012-044287 without a legitimate business reason. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
5. 2012-0060 A Child Protective Investigator engaged in inappropriate conduct involving a former Department client. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
6. 2012-0083 A Child Protective Investigator falsified child protective investigation records in FSFN Intake IDs #2012-118736, #2012-116959, and #2012-136173. **Supported.** The Child Protective Investigator breached confidentiality by taking a client from FSFN Intake ID #2012-129669 to the home of a client in FSFN Intake ID #2012-087651. **Supported.** The Child Protective Investigator was negligent in his official duties by failing to comply with a subpoena. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
7. 2012-0092 A Child Protective Investigator falsified child protective investigation records in FSFN Intake ID #2011-079463. **Neither Supported Nor Refuted.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
8. 2013-0028 An unknown Department employee disclosed confidential public assistance fraud complaint source information to an unauthorized person. **Not Supported.**
Corrective Action: No action required.
9. 2013-0035 A Family Services Worker of a subcontracted provider accessed FSFN Intake ID #2013-054381 without a legitimate business reason. **Supported.** The Family Services Worker disclosed confidential child protective investigation information to an unauthorized person. **Neither Supported Nor Refuted.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

Circuit 8

No cases initiated in Circuit 8 during FY 2012-2013.

Circuit 9

1. 2010-0085 A Case Worker of a contracted provider falsified documents relating to face-to-face contact with Department clients. **Supported.**

Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. The contracted provider implemented a new requirement that case workers include time specific documentation in their case narrative notes and began conducting randomly selected periodic reviews of case documentation as an additional method of falsification deterrence.

2. 2012-0040
An Interviewing Clerk falsified work hours on her timesheet and an Economic Self-Sufficiency Specialist Supervisor knowingly approved the Interviewing Clerk's falsified timesheet. **Not Supported.** The Economic Self-Sufficiency Specialist Supervisor and the Interviewing Clerk created a conflict of interest by engaging in a personal relationship during work hours. **Not Supported.** The Interviewing Clerk engaged in employee misconduct by being disrespectful to a co-worker. **Neither Supported Nor Refuted.**
Corrective Action: The Central Regional Managing Director issued a reminder to the Central Region Expanded Management Team, directing them to remind their staff of the CFOP 60-55 (Standards of Conduct). The Central Regional Managing Director's weekly message to the region staff referred to the OIG report relating to the importance of team work, respect for each other, professionalism, and working within your chain of command in the workplace.
3. 2012-0065
A Citrus County Sheriff's Office Operations Manager; a Family Partner of a subcontracted provider; an Assistant Executive Director of a subcontracted provider; a Brevard County Child Protection Team Data Coordinator; a Program Supervisor of a subcontracted provider; a Brevard County Child Protection Team Case Manager; and a Circuit 17 Paralegal accessed FSFN Intake ID #2012-082343 without a legitimate business reason. **Not Supported.**
Corrective Action: During the transformation process, the Office of Child Welfare reviewed the policy regarding the accessing of records without a legitimate business reason and revised such to ensure that the policy was in line with the changes made throughout the Department with respect to the transformation process.
4. 2012-0079
A Central Region Senior Human Services Program Specialist placed and received non-Department related telephone calls during recognized working hours. **Neither Supported Nor Refuted.**
Corrective Action: A revised version of the telecommuting agreement was signed by the employee that included mandatory reporting of work hours (start time, breaks-start time and end time, lunch start time and end time, and end of work day time). The employee was instructed to report those times via telephone or e-mail when out in the field.
5. 2012-0091
A Child Protective Investigator (CPI) engaged in employee misconduct by having an inappropriate relationship with a Department client who was a party in one of the CPI's child protective investigations and by notifying the client prior to conducting a home visit. **Not Supported.**
Corrective Action: No action required.
6. 2012-0093
An Economic Self-Sufficiency Specialist I accessed FLORIDA Case #1392681154, a case of personal interest. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.

7. 2012-0096 A Human Services Counselor III falsified a face-to-face visit in a client case file. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
8. 2012-0117 A Dependency Case Manager of a subcontracted provider falsified FSFN Case ID #100602421 chronological notes regarding one face-to-face home visit. **Neither Supported Nor Refuted.** The Dependency Case Manager falsified FSFN Case ID #100673573 chronological notes regarding one face-to-face home visit. **Not Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
9. 2012-0138 An Economic Self-Sufficiency Specialist I falsified doctor's signatures on doctor's notes to receive sick leave. **Not Supported.**
Corrective Action: No action required.
10. 2013-0006 A Child Protective Investigator falsified child protective investigation records in FSFN Intake ID #2012-256999. **Neither Supported Nor Refuted.** The Child Protective Investigator failed to properly document case activities in FSFN Intake ID #2012-256999. **Supported.** The Child Protective Investigator mishandled the investigation of FSFN Intake ID #2012-256999. **Neither Supported Nor Refuted.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

Circuit 10

1. 2012-0058 Either an Economic Self-Sufficiency Specialist Supervisor or an Economic Self-Sufficiency Specialist I accessed a case of personal interest. **Supported.** Either the Economic Self-Sufficiency Specialist Supervisor or the Economic Self-Sufficiency Specialist I disclosed confidential information pertaining to a Department customer's public assistance case to an unauthorized individual. **Supported.** An Operations and Management Consultant authorized the Economic Self-Sufficiency Specialist Supervisor to share her Department of Revenue General Tax Administration System User ID and password and her Department of Labor and Employment Security System User ID and password with other Circuit 10 ACCESS employees. **Supported.** The Economic Self-Sufficiency Specialist Supervisor shared her Florida Department of Revenue General Tax Administration System User ID and password, and her Florida Department of Labor and Employment Security System User ID and password with her ACCESS co-workers. **Supported.**
Corrective Action: Both the Economic Self-Sufficiency Specialist Supervisor and the Economic Self-Sufficiency Specialist I resigned and a copy of the report was placed in the employees' personnel files. The Operations and Management Consultant received a final counseling memorandum (written reprimand).
2. 2012-0086 A Child Protective Investigator falsified FSFN Case ID #100759635 chronological notes pertaining to a face-to-face home visit. **Supported.** The Child Protective Investigator falsified FSFN Case ID #158904 chronological notes pertaining to a child protective investigation. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

3. 2012-0089 An Economic Self-Sufficiency Specialist I accessed and/or processed FLORIDA ACCESS case #1007928999; a case of personal interest. **Not Supported.** The Economic Self-Sufficiency Specialist I accessed and/or processed FLORIDA ACCESS case #1399643541 and FLORIDA ACCESS case #1296579999; cases of personal interest. **Supported.** The Economic Self-Sufficiency Specialist I accessed and/or processed FLORIDA ACCESS case #1381401473 and FLORIDA ACCESS case #1250013020; cases of personal interest. **Supported.** An Interviewing Clerk knowingly assisted the Economic Self-Sufficiency Specialist I in accessing and/or processing cases of personal interest. **Not Supported.**
Corrective Action: The Economic Self-Sufficiency Specialist I resigned and a copy of the report was placed in the employee's personnel file.
4. 2012-0094 A Child Protective Investigator falsified FSFN chronological notes pertaining to face-to-face home visits in FSFN Intake ID #2012-138031-01. **Not Supported.** A Child Protective Investigator Supervisor and Operations Program Administrator were aware that the Child Protective Investigator had falsified FSFN chronological notes relating to face-to-face home visits and failed to report the alleged violations to the Office of Inspector General. **Not Supported.**
Corrective Action: No action required.
5. 2012-0118 A Dependency Case Manager Supervisor of a subcontracted provider falsified FSFN supervisory review notes in five FSFN cases (#2326548, #100157930, #100291236, #100390715, and #100513302). **Not Supported.**
Corrective Action: The employee resigned.
6. 2013-0038 A Case Manager of a subcontracted provider breached confidentiality by allowing a family member to accompany her while transporting Department clients. **Neither Supported Nor Refuted.**
Corrective Action: A copy of the report was placed in the employee's personnel file.

Circuit 11

1. 2012-0019 A Case Manager of a subcontracted provider accessed FSFN records in 11 intakes without a legitimate business reason. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
2. 2012-0026 A Human Services Counselor III accessed and processed ACCESS case #1322294810; a case of personal interest. **Not Supported.** The Human Services Counselor III viewed ACCESS case #1096219166 without a legitimate business reason. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
3. 2012-0036 A Child Protective Investigator misused her official position by representing herself as a Department child protective investigator to, and imposing requirements on a family despite having no FSFN intake concerning the family. **Supported.** The Child Protective Investigator did not provide her identity when making a report to the Florida Abuse Hotline. **Supported.**

Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. The investigation also revealed that the employee failed to reimburse the Department for personal use of the Department-issued cellular telephone. The Southern Region now has a designated staff member responsible for the distribution and collection of the cellular telephone bills and will ensure that the bills are distributed to and received from all staff on a monthly basis. All supervisors will review the cellular telephone bills of their staff for evidence of excessive usage or indicators that the telephone is not being used for business purposes.

4. 2012-0042 An Adult Protective Investigator falsified official records in FSFN Intake #2012-040289. **Neither Supported Nor Refuted.**
Corrective Action Taken: The employee resigned and a copy of the report was placed in the employee's personnel file.
5. 2012-0056 A Child Protective Investigator engaged in conduct unbecoming a Department employee as a result of alleged unlawful sexual activity with a Department client. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
6. 2012-0066 A Registered Nurse of a subcontracted provider falsified information in a client's medical record. **Supported.** Employees of the subcontracted provider (the Registered Nurse, a Mental Health Technician, and a Crisis Stabilization Unit Director) failed to provide the appropriate mental health treatment and care to a client. **Supported.**
Corrective Action: A total of 11 employees were terminated for failure to act ethically, professionally, and in accordance with agency policies, and applicable rules and regulations. Included in those terminations were the Registered Nurse, the Mental Health Technician, and the Crisis Stabilization Unit Director, who also had a copy of the report placed in their respective personnel files. The policy for "Emergency treatment orders" (ETOs) was revised to properly reflect applicable Florida Statutes and Florida Administrative Code. An initial training to Crisis Stabilization Unit (CSU) staff was conducted that included pre-test and post-test, review of the Baker Manual, ETOs, and seclusion and restraint rules and regulations. The revised policy was submitted to the Substance Abuse and Mental Health managing entity for review and approval and was incorporated into the CSU training program. The Seclusion Room (SR) oversight committee began conducting monthly reviews of the clinical files to determine compliance with applicable rules and statutes regulating ETOs. CSU staff were trained on revised and approved policy. CSU staff are required to score at least 100% on the post-test and those who do not score 100% will be retrained and tested again, with the second test occurring within 24 hours of the first test. The CSU Director of Nursing now reviews 100% of ETOs reported for a time period of 30 days, and as compared with video, will be in compliance with the applicable rules and statutes. All quarterly reviews of ETOs will be submitted to the Quality Assurance Committee and to the managing entity on a timely basis. CSU staff began receiving training on personal safety plans and trauma informed care/interventions. T.E.A.M. Training/Aggression control will be provided to all staff. All medication management nursing peer review findings will be reported to the Seclusion and Restraint Oversight Committee on a quarterly basis.

7. 2012-0129 A Child Protective Investigator Supervisor used her Department-issued identification card without a legitimate business reason to gain access to a gated community. **Not Supported.**
Corrective Action: The employee was terminated.

Circuit 12

1. 2012-0045 A Child Protective Investigator engaged in inappropriate conduct involving a Department client. **Not Supported.** The Child Protective Investigator engaged in employee misconduct by making inappropriate comments to a former Department client. **Not Supported.**
Corrective Action: No action required.
2. 2012-0057 An Economic Self-Sufficiency Specialist I accessed and processed ACCESS case #1349827282; a case of personal interest. **Supported.** The Economic Self-Sufficiency Specialist I processed ACCESS case #1135063273; a case of personal interest. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
3. 2012-0075 A Child Protective Investigator failed to safeguard confidential Department records. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. All documents located in the dumpster were reviewed and letters were sent to the Department clients whose confidential information may have been compromised.
4. 2012-0088 A Child Protective Investigator released Abuse Hotline reporter information to an unauthorized individual. **Not Supported.**
Corrective Action: No action required.
5. 2012-0100 A Case Manager of a subcontracted provider falsified a December 29, 2010 "JUDICIAL REVIEW SOCIAL STUDY / CASE PLAN UPDATE," and a January 6, 2012 "AFFIDAVIT IN SUPPORT OF MOTION FOR ICPC ORDER OF COMPLIANCE" in FSN Case ID #2725623. **Not Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
6. 2012-0128 A Senior Child Protective Investigator, an Operations Program Administrator, and a Child Protective Investigator breached confidential information to an unauthorized individual. **Neither Supported Nor Refuted.**
Corrective Action: A copy of the report was placed in the respective personnel files of all three employees. Meetings were held with the employees during which a review occurred regarding Chapter 39, Florida Statutes; CFOP 50-2 (Security of Data and Information Technology Resources); CFOP 60-55 (Standards of Conduct and Standards for Disciplinary Action for Department Employees); and the Department Security Agreement Form (CF 114). Additional training was provided regarding the confidentiality of Department records, and the identification and utilization of appropriate collateral contacts. The employees completed the online course, "Ethics for Social Workers."

7. 2013-0010 A Family Support Coordinator of a subcontracted provider had an inappropriate relationship with a Department client. **Neither Supported Nor Refuted.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

Circuit 13

1. 2011-0095 An Adult Protective Investigator falsified adult protective investigation records in FSFN Intake ID #2011-116788-01 and FSFN Intake ID #2011-129667-01. **Supported.** The Adult Protective Investigator falsified adult protective investigation records in FSFN Intake ID #2011-107991-01, FSFN Intake ID #2011-208184-01, and FSFN Intake ID #2011-210138-01. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
2. 2011-0104 A Dependency Case Manager of a subcontracted provider falsified FSFN Case ID #100592418 chronological notes concerning a September 19, 2011 face-to-face home visit and an October 14, 2011 face-to-face home visit. **Supported.** The Dependency Case Manager falsified FSFN Case ID #100113288, #100247730, and #100330494 chronological notes concerning face-to-face home visits. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
3. 2012-0072 A Case Manager of a subcontracted provider accessed FSFN Case ID #100727078 without a legitimate business reason. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. The subcontractor's Program Director conducted a department meeting with staff to discuss the repercussions of FSFN misuse.
4. 2012-0121 A Case Manager of a subcontracted provider breached confidential information to an unauthorized individual. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. The Florida Certification Board was notified and began the administrative process of revoking the employee's Child Protection Professional certification.
5. 2012-0124 An ACCESS Interviewing Clerk accessed a case of personal interest. **Supported.**
Corrective Action: The employee received a written reprimand. All staff within the Program Administrator's reporting structure signed new Department Security Agreement Forms (CF 114), and the issues of the CF 114, related CFOPs, and prohibitions against accessing cases of personal interest were addressed by the Program Administrator during staff meetings.
6. 2013-0005 A Case Manager of a subcontracted provider falsified FSFN Case ID #100401065 chronological notes pertaining to an August 10, 2012 face-to-face home visit. **Not Supported.**
Corrective Action: The employee resigned.

7. 2013-0023 A Case Manager of a subcontracted provider falsified FSFN Case ID #100401065 chronological notes pertaining to a January 15, 2013 face-to-face home visit. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file. The Florida Certification Board was notified and began the administrative process of revoking the employee's Child Protection Professional certification.

Circuit 14

1. 2010-0087 A Prevention Specialist of a subcontracted provider falsified child protective supervision records relating to face-to-face contacts with a Department client. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. The contracted provider instituted practices to deter falsification of records to include requiring supervisors to make follow-up calls to clients as well as initiating a monthly supervisor review system.
2. 2012-0085 A Dependency Case Manager of a subcontracted provider falsified a child protective supervision record in FSFN Case ID #100249860. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
3. 2013-0034 A Client Relations Coordinator accessed FSFN Case ID #100847318 without a legitimate business reason. **Not Supported.**
Corrective Action: No action required.

Circuit 15

1. 2011-0051 A Foster Home and Licensing Administrator of a subcontracted provider altered (falsified) signatures on relicensing records concerning foster homes. **Supported.** An Administrative Assistant and Human Resources Manager of a subcontracted provider failed to notarize original signatures of foster parents on relicensing records and did so without the foster parents appearing before them. **Supported.**
Corrective Action: The Foster Home Licensing Administrator and Administrative Assistant resigned and a copy of the report was placed in the employees' personnel files. The Department Program Administrator held a meeting with Department licensing staff in which the results of the report were discussed as well as more diligent methods of reviewing licensing files to ensure similar issues do not occur with other agencies. Licensing providers and the Community-Based Care provider in the Southern Region met to discuss the findings of this report in an effort to ensure that no other agencies are practicing against the licensing requirements that were found during the review. As part of a Quality Assurance process, Department licensing staff reviewed files for any discrepancies that may relate to the findings of this report.
2. 2011-0106 A Dependency Case Manager of a subcontracted provider falsified official records in FSFN Case ID #100641399. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.

3. 2012-0034 An Office Manager of a contracted provider falsified official records by documenting that she worked at the same time for both the contracted provider and a subcontracted provider on November 2, 2011 and November 20, 2011. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
4. 2012-0077 A Child Protective Investigator falsified FSFN Note ID #127432876. **Supported.**
Corrective Action: The employee received a Notice of Final Counseling for Poor Performance (written reprimand). In addition, a Field Training Supervisor began accompanying the employee in the field on a minimum of three cases and worked with the employee on each case through closure to ensure proper documentation and follow-up. The Field Training Supervisor provided documentation for the file on their activities, observations, and recommendations. The supervisor of the Southeast Region Analytical Unit began notifying the Child Protection Team (CPT) directly on all additional intakes that were linked to original intakes to ensure that CPT had an opportunity to review all additional intakes.
5. 2012-0090 A Dependency Case Manager of a subcontracted provider revealed the identity of a person who reported abuse, neglect, or exploitation of a child to the Abuse Hotline (FSFN Intake Report #2012-171650). **Not Supported.**
Corrective Action: No action required.
6. 2013-0016 A Child Protective Investigator failed to notify law enforcement officials and add the allegation of alleged sexual abuse of a child in a timely manner in FSFN Intake ID #2012-297025. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
7. 2013-0033 A Child Protective Investigator falsified child protective investigation records in FSFN Intake #2013-019392. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file. The Florida Certification Board was notified and began the administrative process of revoking the employee's Child Protection Professional certification.
8. 2013-0037 A Child Protective Investigator falsified child protective investigation records in FSFN Intake IDs #2013-061351, #2013-057195, and #2013-054803. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
9. 2013-0039 A Child Protective Investigator accessed confidential child protective investigation records in FSFN Intake IDs #2013-045190, #2013-022381, #2013-051185, and #2013-047727 without a legitimate business reason. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in employee's personnel file. The Florida Certification Board was notified and began the administrative process of revoking the employee's Child Protection Professional certification.

Circuit 16

1. 2011-0121

A Child Protective Investigator used a Wright Express Financial Services Corporation Fuel and Maintenance Card (WEX card) to purchase fuel for other than official business use. **Supported.** The Child Protective Investigator misused her Department-issued cellular telephone by making and receiving voluminous personal calls for which she did not claim or reimburse the Department. **Supported.** The Child Protective Investigator falsified child protective investigation records in FSFN Intake #2011-256928-02. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file. Vehicle usage records and receipts are now periodically reviewed to make sure there is no misuse of the WEX cards. All investigators must now record the case number associated with each use of the state vehicle. Staff were reminded of proper use of the WEX card, including entering accurate mileage records on both the vehicle usage logs and at the gas pump, and to keep track of all gas receipts. New employees are now required to attend training on the use of the WEX card prior to using a state vehicle. Department attorneys initiated the process to attempt to recover the funds associated with the misuse of the WEX card.

Circuit 17

1. 2011-0110
(Whistle-blower)

Under the direction of a Project Manager of a contracted provider, employees of the subcontract provider falsified client case file records. **Not Supported.** The Project Manager fraudulently billed the Department for the cost of food items that the contracted provider received free of charge and provided free of charge to clients. **Not Supported.**
Corrective Action: No action required.

2. 2012-0069

A Mental Health Technician of a contracted provider falsified records by documenting that she observed a customer in 15-minute intervals during the 6:00 a.m. hour on the May 29, 2012 Wellness and Accountability Checks form. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

3. 2012-0131

An Adoption Advocate of a contracted provider was negligent in her duties by failing to assist law enforcement with the care of a foster child. **Not Supported.**
Corrective Action: The contracted provider was asked by the Department Southwest Regional Managing Director to develop a written policy governing responsiveness by staff to legitimate requests for assistance by law enforcement or other appropriate outside agencies.

4. 2013-0046

An Economic Self-Sufficiency Specialist II accessed FLORIDA Case #1114715964 without a legitimate business reason. **Supported.** The Economic Self-Sufficiency Specialist II provided confidential information relating to FLORIDA Case #1114715964 to an unauthorized person. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.

Circuit 18

1. 2012-0024 A Child Protective Investigator falsified child protective investigation records in FSFN. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
2. 2012-0097 An Economic Self-Sufficiency Specialist I accessed a case of personal interest in the FLORIDA system and Application Management System (AMS), without a legitimate business reason. **Supported.** The Economic Self-Sufficiency Specialist I took action in a case of personal interest. **Not Supported.** The Economic Self-Sufficiency Specialist I accessed another case of personal interest in the FLORIDA system and AMS, without a legitimate business reason. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
3. 2012-0122 A Dependency Case Manager of a subcontracted provider falsified FSFN Case ID #100598748 chronological notes regarding one face-to-face home visit. **Neither Supported Nor Refuted.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
4. 2012-0127 A Dependency Case Manager of a subcontracted provider disclosed confidential child protective investigation information to an unauthorized person. **Not Supported.**
Corrective Action: No action required.
5. 2013-0003 A Child Protective Investigator falsified child protective investigation records in FSFN Intake ID #2012-163339. **Neither Supported Nor Refuted.**
Corrective Action: The employee received a counseling memorandum addressing the employee's lack of accurate documentation in the case. The counseling memorandum was placed in employee's personnel file.
6. 2013-0017 A Dependency Case Manager of a subcontracted provider falsified chronological notes within FSFN Case ID #100132902 regarding face-to-face home visits. **Not Supported.**
Corrective Action: No action required.

Circuit 19

1. 2011-0042 A Dependency Case Manager of a subcontracted provider falsified a child protective supervision record in FSFN Case ID #100411659. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
2. 2011-0060 A Dependency Case Manager of a subcontracted provider falsified child protective supervision records in eight separate FSFN cases (FSFN Case IDs #100123725, #100385409, #100354539, #100621147, #100520333, #100444268, #100463704, and #115131). **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

3. 2012-0027 A Dependency Case Manager of a subcontracted provider falsified child protective supervision records in FSFN Case ID #100123725, #100253600, #3575484, and #100602463. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
4. 2012-0046 A Child Protective Investigator disclosed confidential child protective investigation information to an unauthorized person. **Supported.**
Corrective Action: The employee received a written reprimand and a copy of the report was placed in the employee's personnel file. The employee was required to complete the updated Security Awareness training.
5. 2012-0084 A Child Protective Investigator disclosed confidential child protective investigation information to an unauthorized person by allowing her boyfriend to accompany her to and enter the home of a Department client. **Supported.** The Child Protective Investigator disclosed confidential client information to an unauthorized person by allowing her boyfriend to handle the files of Department clients. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
6. 2013-0011 A Child Protective Investigator falsified child protective investigation records in FSFN Intake ID #2013-014482. **Not Supported.** The Child Protective Investigator engaged in employee misconduct by completing a home visit with a Department client after consuming alcoholic beverages. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in employee's personnel file.
7. 2013-0042 A Paralegal Specialist accessed FSFN Intake ID #2013-076773 without a legitimate business reason. **Supported.**
Corrective Action: The employee received a Final Counseling Letter (written reprimand), and a copy of the report and Final Counseling Letter were placed in the employee's personnel file.

Circuit 20

1. 2012-0008 A Program Coordinator of a contracted provider used her position to benefit the business activities of a private business, thus creating a conflict of interest. **Not Supported.** A Case Worker of the contracted provider used his position to solicit the contracted provider's clients for the benefit of a private business in which he had interests, thus creating a conflict of interest. **Not Supported.** Another Case Worker of the contracted provider used her position to solicit the contracted provider's clients for the benefit of a private business in which she had interests, thus creating a conflict of interest. **Not Supported.**
Corrective Action: No action required.
2. 2012-0023 A Provider Relations Coordinator of a subcontracted provider obtained employment or entered into a contractual relationship with a contracted provider in relation to her previous employment with the Department of Children and Families, thereby creating a conflict of interest. **Not Supported.**
Corrective Action: The SunCoast Region Management Team reminded employees about potential post-Department employment restrictions and advised

them to contact the Office of General Counsel and/or the Florida Commission on Ethics with any questions.

3. 2012-0101
A Child Protective Investigator falsified chronological notes relating to face-to-face home visits in FSFN Intake IDs #2012-197009, #2012-175152, #2012-186170, #2012-187900, #2012-196648, and #2012-196818. **Supported.**
The Child Protective Investigator falsified chronological notes pertaining to a face-to-face home visit in FSFN Intake ID #2012-188765. **Not Supported.** The Child Protective Investigator falsified chronological notes relating to FSFN Intake ID #2012-168536. **Neither Supported Nor Refuted.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
4. 2012-0125
A Child Protective Investigator falsified child protective investigation records in FSFN Intake #2012-214135-01. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. The Operations Program Administrator notified staff regarding the current procedures to e-mail all referrals to the contracted provider when requesting Family Centered Services. The procedure for making referrals for Family Centered Services was reviewed with all Child Protective Investigator Supervisors and Child Protective Investigators in a staff meeting.
5. 2012-0126
A Child Protective Investigator falsified child protective investigation records in FSFN Intake #2012-211029. **Supported.**
Corrective Action: The employee was terminated while on probationary status and a copy of the report was placed in the employee's personnel file.
6. 2013-0022
A Child Protective Investigator Supervisor accessed FSFN records without a legitimate business reason. **Not Supported.**
Corrective Action: No action required.

Institutions

1. 2011-0128
(Whistle-blower)
The Treasure Coast Forensic Treatment Center has failed to maintain required staffing levels. **Supported.**
Corrective Action: The Office of Professional Responsibility (OPR) of the contracted provider completed a concurrent investigation to the OIG review. The OPR investigation confirmed the OIG findings that there was a lack of adherence to PC 520-06 relating to staffing requirements. As a result, all Shift Supervisors were trained on, and required to review and acknowledged their understanding of PC 520-06, including revisions. The Director of Nursing and Security Director began randomly reviewing shift rosters for a three-month period to ensure adherence to minimum staffing levels.
2. 2012-0018
(Whistle-blower)
A North Florida Evaluation and Treatment Center (NFETC) Unit Treatment and Rehabilitation Senior Supervisor III altered an employee's timesheet to not accurately reflect the actual number of hours worked during a pay period. **Supported.** The NFETC Administrator and members of NFETC management staff [the Assistant Institution Superintendent, a Senior Attorney, and an Operations and Management Consultant Manager] were aware that an employee's

timesheet had been altered and were negligent in their duties by failing to take corrective action. **Not Supported.**

Corrective Action: The NFETC Administrator, Assistant Institution Superintendent, Senior Attorney, Operations and Management Consultant Manager, and Unit Treatment and Rehabilitation Senior Supervisor III all received Performance Improvement Plan Counseling. Findings of the report were reviewed by administrative leadership at NFETC and the Department's Substance Abuse and Mental Health program office. NFETC Policy #1340 (Time and Attendance/Kronos) was completed and placed on the Intranet at NFETC. Staff members now have online access to the updated policy, as well as other policies, in the NFETC Intranet Policies and Procedures section. The NFETC Human Resources Director met with all supervisory staff to review the appropriate procedures associated with supervisory Kronos management and the limited legally authorized alteration of work time entered electronically into the Kronos system by a staff member. The five time periods noted by the Whistle-blower and reviewed by the OIG were audited for appropriate time credit and potential improper time "backing out." NFETC Human Resources determined that the Whistle-blower (WB) was entitled to one hour of overtime pay, of which the WB was reimbursed.

3. 2012-0087 A Florida State Hospital Operations and Management Consultant II improperly procured maintenance and housekeeping services for Florida State Hospital based on a personal relationship with a Contract General Manager of a contracted provider. **Not Supported.** The Florida State Hospital Operations and Management Consultant II's daughter received a benefit (employment) as a result of the contracted provider receiving the Florida State Hospital contract for maintenance and housekeeping services. **Not Supported.**
Corrective Action: No action required.

ACCESS Customer Call Center

1. 2013-0002 A South Florida Customer Call Center Economic Self-Sufficiency Specialist I (the Customer/Employee) accessed and/or processed cases of personal interest, and failed to document case-related activities. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
2. 2013-0043 A SunCoast Region Customer Call Center Economic Self-Sufficiency Specialist I engaged in conduct unbecoming a public employee by failing to disclose to the Hillsborough County Early Childhood School Readiness Program that an individual (the Husband) was a household member. **Supported.** The SunCoast Region Customer Call Center Economic Self-Sufficiency Specialist I over-reported her child care expenses on applications for Food Assistance. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.

Summary of Management Reviews and Corrective Actions Completed During FY 2012-2013

1. 2012-0133 A Circuit 6 Economic Self-Sufficiency Specialist Supervisor's (ESSS) supervisory style and alleged lack of respect for co-workers has resulted in an unprofessional

work environment within the North Pinellas County Service Center Office of Public Benefits Integrity. The management review entailed interviews of 14 staff members. Based on the testimony of 14 staff members, it was revealed that seven staff members (50%) were of the opinion that an unprofessional work environment does exist in the North Pinellas County Service Center Office of Public Benefits Integrity.

- One staff member blamed the unprofessional work environment on the tension that appeared to exist between the ESSS and another ESSS.
- Five staff members opined that the ESSS offered very little positive feedback, often talked down to her subordinates, and criticized her subordinate's work and job knowledge.
- Two staff members indicated that they were somewhat fearful of the ESSS.
- Four staff members heard the ESSS tell a subordinate to learn to speak English so she (the ESSS) could understand her.
- Six staff members reported that, in their opinion, the ESSS has embarrassed subordinates by criticizing their work while the employees are in the presence of their co-workers.

Although seven (50%) of the staff members were of the opinion that the ESSS's management style did create an unprofessional work environment within the North Pinellas County Service Center, none of the staff members felt compelled to address their concerns directly with the ESSS or with the ESSS's immediate supervisor (an Operations Program Administrator).

Corrective Action: Through the direction of the Office of General Counsel and Human Resources, the Office of Public Benefits Integrity (OPBI) Director and Benefit Recovery Chief traveled to Tampa and conducted an all staff meeting. A review of the OIG report was discussed with the ESSS in relation to behavior expectations. Staff in that office were required to complete certain training regarding workplace behavior and professionalism.

2. 2013-0024

At the request of the Department's Office of the Secretary, a management review was initiated to determine whether Department staff used due care in protecting the identity of the individual reporting abuse to the Florida Abuse Hotline (Hotline) for FSFN Intake Report #2013-045116. The OIG conducted interviews with Department staff who had accessed FSFN Intake Report #2013-045116, as well as with Department staff, who were identified by those accessing the case as individuals with whom they had discussed Hotline reporter information. Based on the interviews, there was no evidence to suggest that Department staff failed to use due care in protecting the Hotline reporter's identity.

Corrective Action: No action required.