

FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES
Charles H. Bronson, Commissioner

OFFICE OF INSPECTOR GENERAL

Joseph R. Martelli, CIG, Inspector General



ANNUAL REPORT

JULY 1, 2006 - JUNE 30, 2007





Florida Department of Agriculture and Consumer Services
CHARLES H. BRONSON, Commissioner
The Capitol • Tallahassee, FL 32399-0800
www.doacs.state.fl.us

September 7, 2007

Please Respond to:
Office of Inspector General
2005 Apalachee Parkway, Suite E
Tallahassee, FL 32399-6500

The Honorable Charles H. Bronson
Commissioner of Agriculture
Florida Department of Agriculture
and Consumer Services
The Capitol, Plaza Level
Tallahassee, Florida 32399-0810

Dear Commissioner Bronson:

In accordance with Section 20.055(7), Florida Statutes, I am pleased to present the Annual Report for the Office of Inspector General (OIG). This Annual Report represents activities for the Audit and Investigation sections for Fiscal Year 2006-2007.

The Internal Audit Section provided a combination of one assurance and eight consulting services to Department entities. The primary focus was oversight of the compilation of data and information required by the Government Accountability Act established by the 2006 Legislature. Best auditing practices continue to be implemented to improve the efficiency and effectiveness of audit activities.

The Investigation Section implemented, developed and deployed an improved case tracking program, allowing more flexible tracking of cases by searchable criteria. Our office assisted the Chief Inspector General, Office of the Governor, by providing investigative assistance and computer forensic support during a high profile public official investigation. With your support we continued to upgrade and acquire investigative technology tools to increase efficiency and capability. The Investigation Section continues to remain committed to timely, accurate and professional investigations which reflect the highest professional standards.

As always, our office remains committed to protect and promote public integrity and accountability within our Department. Thank you for your continued guidance and support.

Sincerely,

Joseph R. Martelli, CIG
Inspector General

JRM/ac



Florida Agriculture and Forest Products
\$97 Billion for Florida's Economy

TABLE OF CONTENTS

INTRODUCTION

Mission and Vision..... 1
Responsibilities..... 2
Organizational Chart..... 3
Training Accomplishments 4

AUDIT SECTION

Overview 5
Internal Assurance Engagements..... 5
Internal Consulting Engagements..... 6
External Audit/Review Activity..... 7
Follow-up 8
Open Audit Findings 8

INVESTIGATION SECTION

Overview 9
Case Activity Charts..... 10
Internal Investigation Case Summaries..... 12

OFFICE OF INSPECTOR GENERAL MISSION AND VISION



Our *mission* is to protect and promote public integrity and accountability within the Department through audits that detect fraud, waste and abuse and the investigation of criminal and administrative violations.

Our *vision* is to enhance public trust by excelling in auditing, departmental entity accountability and internal investigations so as to achieve the highest level of customer satisfaction. Specifically, we strive to be a leader in developing a staff that is competent and innovative, and provides to executive management audit and investigative advice that is clear, objective, constructive, and timely.

RESPONSIBILITIES

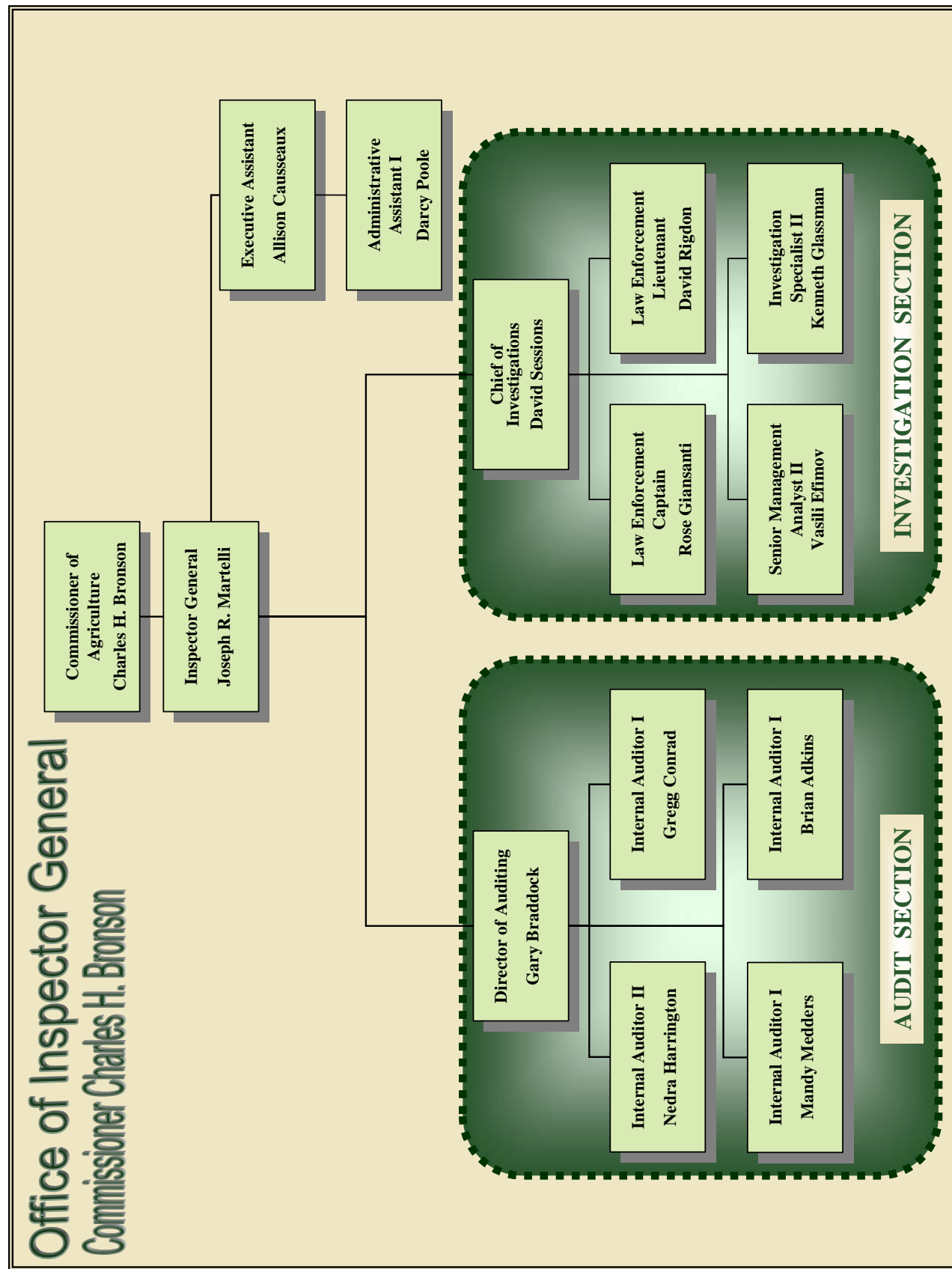
“The Office of Inspector General is hereby established in each state agency to provide a central point for coordination of and responsibility for activities that promote accountability, integrity, and efficiency in government.” - Section 20.055(2), Florida Statutes

Key auditing responsibilities are to:

- Assess the validity and reliability of the information provided by the Department on performance measures and standards, and make recommendations for improvement, if necessary.
- Provide direction for, supervise, and coordinate audits and management reviews relating to the programs and operations of the Department.
- Keep the Commissioner informed, recommend corrective action, and report on progress of corrective action concerning fraud, abuses, and deficiencies relating to programs and operations administered or financed by the Department.
- Conduct, supervise, or coordinate other activities carried out or financed by the Department for the purpose of promoting economy and efficiency in the administration of, or preventing and detecting fraud and abuse in its programs and operations.

Key investigation responsibilities are to:

- Initiate, conduct, supervise, and coordinate investigations designed to detect, deter, prevent, and eradicate fraud, waste, mismanagement, misconduct, and other abuses within the Department.
- Receive complaints and coordinate all activities of the Department as required by the Whistle-blower's Act pursuant to Sections 112.3187-112.31895, Florida Statutes.
- Receive and consider all other complaints and conduct, supervise, or coordinate such inquiries, investigations, or reviews as the Inspector General deems appropriate.
- Conduct investigations and other inquiries free of actual or perceived impairment to the independence of the Inspector General or the Inspector General's office. This shall include freedom from any interference with investigations and timely access to records and other sources of information.
- Submit in a timely fashion final reports on investigations authorized by the Inspector General to the Commissioner, with the exception of whistle-blower investigations, which shall be conducted and reported pursuant to Section 112.3189, Florida Statutes.



TRAINING ACCOMPLISHMENTS

The Office of Inspector General has outlined in Policy and Procedure No. 2-1, Office of Inspector General Operations Manual, a training assessment plan to allow the current audit and investigation staff to maintain the ability to conduct acceptable audits and investigations and to train new employees in proper procedures and standards. Staff members utilize training resources from various organizations, agencies, local universities, and individuals.

In accordance with the *Standards for the Professional Practice of Internal Auditing*, internal auditors are responsible for continuing education to maintain their proficiency and satisfy requirements related to professional certifications held. Audit staff members are encouraged to complete a minimum of 80 hours of audit, computer, management, and professional development training every two years in accordance with those *Auditing Standards*.

In accordance with Section 943.135, Florida Statutes, law enforcement officers are required to complete 40 hours of law enforcement related continuing education training every four years. Also, sworn law enforcement officers are required to test and qualify twice a year on assigned firearms, and are encouraged to complete a minimum of 12 hours of firearms training annually.

AUDIT SECTION



“Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization’s operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, controls, and governance processes.”
(*Standards for the Professional Practice of Internal Auditing* as published by the Institute of Internal Auditors)

Professional Standards

Pursuant to Section 20.055(5)(a), Florida Statutes, internal audit activities are performed in accordance with the *Standards for the Professional Practice of Internal Auditing* as published by the Institute of Internal Auditors. Audit projects involving information technology are also conducted in accordance with the *Standards for Information Systems Auditing* as published by the Information Systems Audit and Control Association.

Proficiency

The professional standards referenced above require that staff (individually and collectively) possess the knowledge and skills to perform their responsibilities. A high level of proficiency has been achieved for the Audit Section (five professional staff) through education, professional certifications and other continuing professional development activities. As of June 30, 2007:

- five auditors have bachelor’s degrees;
- two auditors have master’s degrees;
- two auditors are Certified Internal Auditors (CIA);
- two auditors are Certified Information Systems Auditors (CISA);
- two auditors are Certified Public Accountants (CPA);
- one auditor is a Certified Electronic Evidence Collection Specialist; and,
- one auditor is a Certified Public Manager (CPM).

Quality Assurance and Improvement Program

The Audit Section continues to implement and employ a number of internal audit best management practices such as: control self-assessment, partnering with management, increasing staff performance through the use of computer-assisted auditing techniques, developing staff professionally, maintaining IT audit staff, and providing a balanced combination of assurance and consulting services.

INTERNAL ASSURANCE ENGAGEMENTS

One assurance engagement was conducted during Fiscal Year 2006-2007 covering revenue collection. The report is published at <http://www.doacs.state.fl.us/oig/> and is summarized below.

Attendance and Gate Admission Revenue – 2007 Florida State Fair

The **objective** was to audit the attendance and gate admission revenue of the 2007 Florida State Fair. This financial information is the responsibility of Florida State Fair Authority’s management. Our responsibility is to express an opinion based on our audit.

The **scope** was the attendance and gate admission revenue of the 2007 Florida State Fair held during the period of February 8 - 19, 2007, including advance gate admission sales occurring prior to the fair's opening and refunds or credits made through February 28, 2007.

Opinion: The attendance of 458,158 and gate admission revenue of \$3,019,550 for the 2007 Florida State Fair is fairly stated.

Report Number: IA 0607-01

INTERNAL CONSULTING ENGAGEMENTS

The Audit Section participated in eight internal consulting services during Fiscal Year 2006-2007.

Validation of Agency Report to the Sunset Committee

This engagement involved the validation of data and information submitted in the Agency Report to the Legislative Sunset Committee. The Office of Inspector General ensured the data and information in the Agency Report was compiled using accepted methodologies with supporting documentation and reviews by appropriate senior and executive management.

Report Number: IC 0607-01

Contract Administration

This engagement involved a review of the administration of contract # 9502 with the Okeechobee Soil and Water Conservation District (District). The Office of Inspector General assessed compliance with the terms and conditions of the contract and identified issues for consideration by the Office of Agricultural Water Policy and the District.

Report Number: IC 0607-02

2007 Florida State Fair - Attendance, Midway, and Entertainment Compilations

This engagement involved the compilation of select financial information intended for management use only. This project is a consulting service provided on-site by the audit section during the annual Florida State Fair event. The Audit Section provides these services to Fair management and Department management that conducts oversight of the Florida State Fair Authority pursuant to Florida Statutes.

Report Number: IC 0607-03

Pesticide Case Management

This engagement involved the review of the Division of Agricultural Environmental Services' Pest Control Section Enforcement Subsection's process for managing enforcement cases. The Office of Inspector General reviewed the process to determine if improvements could be made.

Report Number: IC 0607-04

Technology Governance Committees

Internal Audit takes an active role in advising and consulting with Department management in the information technology area through the following activities:

- Advisory membership on the Information Technology Resource (ITR) Steering Committee; and
- Advisory membership on the ITR Operational Steering Committee.

Preliminary Application Reviews

Internal Audit participates in the preliminary reviews of proposed application development. These reviews occur at the direction of the Chief Information Officer and include appropriate managerial and information technology personnel.

Computer Security Incident Response Team

The Director of Auditing is the Office of Inspector General's representative on the Department's Computer Security Incident Response Team (CSIRT). The CSIRT is activated when a breach or suspected breach of the Department's information technology infrastructure or security policies occurs.

Investigative Assistance Services

The Audit Section performed general record analyses as requested during the year to assist the Investigation Section.

EXTERNAL AUDIT/REVIEW ACTIVITY

The Office of Inspector General is the coordinator for external audits or reviews conducted by the Auditor General, Office of Program Policy Analysis and Government Accountability, federal auditors, and other governmental entities. The Audit Section coordinated eight external audits or reviews by federal and state agencies during Fiscal Year 2006-2007.

Office of the Auditor General

Quality Assessment Review

This was a quality assessment review of the Department's Office of Inspector General to evaluate whether the quality assurance program for the internal audit activity provided reasonable assurance that the internal audit activity operates in conformity with applicable auditing standards. This report contained no findings or recommendations.

Report Number: 2007-019

Federal Awards – Citrus Canker Eradication Program

This audit was designed to provide reasonable assurance of detecting material noncompliance and misstatements that could have a material effect on major Federal program administration or on the Schedule of Expenditures of Federal Awards taken as a whole.

Report Number: 2007-146

Concealed Weapon Licensing - Operational Audit

This operational audit focused on Department procedures and practices for Concealed Weapons Licensing for the period March 2005 through February 2007.

Report Number: Not issued yet

Follow-up on Regulatory Inspections - Operational Audit

This operational audit focused on follow-up to previous findings in report number AG 2006-051 for the period March 2005 through February 2007.

Report Number: Not issued yet

Office of Program Policy Analysis and Government Accountability

Electronic Records Management

This was a survey of multi-agencies requested by the Legislature to examine state agency electronic records management activities.

Report Number: 07-06

Other Personal Services Employees

This was a survey of multi-agencies requested by the Legislature to examine Florida state agency use of Other Personal Services employees.

Report Number: 07-28

DACS Sunset Review

This is a review of the Department and its programs relating to information submitted in the agency report to the Legislative Sunset Committee and other requested items.

Report Number: In-process

United States Department of Agriculture

Citrus Canker Eradication Program

This is a review and audit of the Department's Citrus Canker Eradication Program cooperative agreement for Fiscal Years 2003 and 2004.

Report Number: In-process

FOLLOW-UP

Follow-up activities are an integral component of assurance services. Specific follow-up is performed as appropriate for findings contained in internal or external audits. Follow-up activities were performed during Fiscal Year 2006-2007 on 10 internal and 2 external audits requiring some corrective actions. Management has taken appropriate actions to satisfactorily resolve the audit findings on all with the exception of two of the internal audits.

OPEN AUDIT FINDINGS

Timely analysis and appropriate corrective actions should result from any findings and recommendations made in conjunction with internal or external assurance services. Findings and recommendations have been communicated to management earlier in the audit process resulting in corrective actions prior to completion of many assurance engagements. Additionally, the internal audit section has emphasized timeliness in corrective action plans of management and subsequent follow-up activities. As a result of management's responsiveness, all significant audit findings previously reported through the Fiscal Year 2005-2006 Annual Report have been resolved on all with the exception of two of the internal audits.

INVESTIGATION SECTION



The Investigation Section conducts timely and efficient internal investigations of alleged administrative and criminal employee misconduct in matters relating to the Department. The complaints, which serve as grounds for an inquiry or investigation, can be received from any Department personnel, whistle-blowers, the Get-Lean hotline, business entities regulated by or doing business with the Department, and private citizens. Depending on the nature of the allegations and the evidentiary indications contained in the complaints, investigations may fall into one of the following categories:

- **PRELIMINARY INQUIRIES (PI):** conducted in circumstances when it is necessary to determine the validity of a complaint prior to the initiation of a formal investigation. A summary of PI cases conducted for FY 2006-2007 is documented on page 11 of this report.
- **INSPECTOR GENERAL INVESTIGATIONS (IG):** formal investigations conducted in accordance with Florida State Statute and/or Department policy and procedures; Sexual Harassment Investigations; Discrimination Investigations; Forestry Youth Academy Investigations, and Whistle-blower Investigations. A summary of IG cases conducted for FY 2006-2007 is documented on page 12 of this report.
- **ASSIST OTHER AGENCY (AOA):** significant investigative activity in support of another state or local agency. This includes computer forensic support as well as interviews conducted on behalf of another agency.

Once a case has been opened and assigned to an investigator, the investigative process is initiated and an inquiry or investigation is conducted. After the investigative process is completed, the case is formally documented and the investigation is closed with one of the following conclusions:

SUSTAINED: Evidence is sufficient to prove allegation(s).

NOT SUSTAINED: Insufficient evidence available to prove or disprove allegation.

EXONERATED: Alleged actions occurred but were lawful and proper.

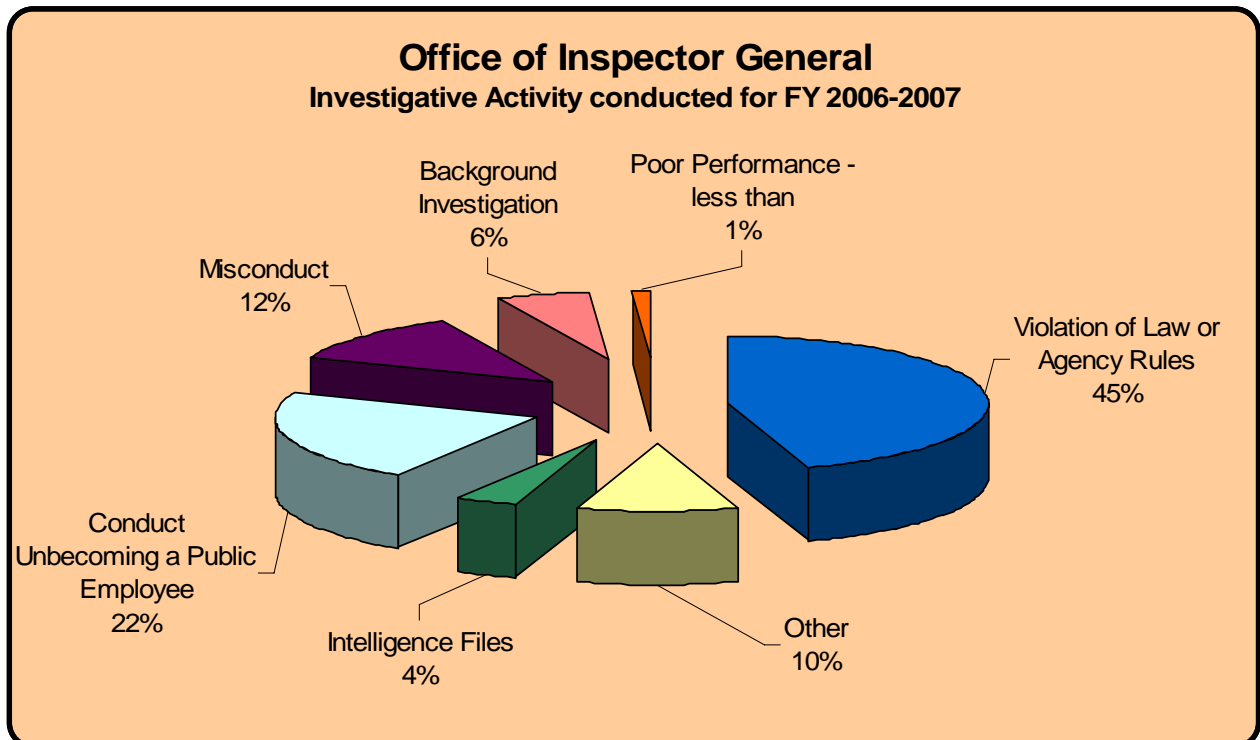
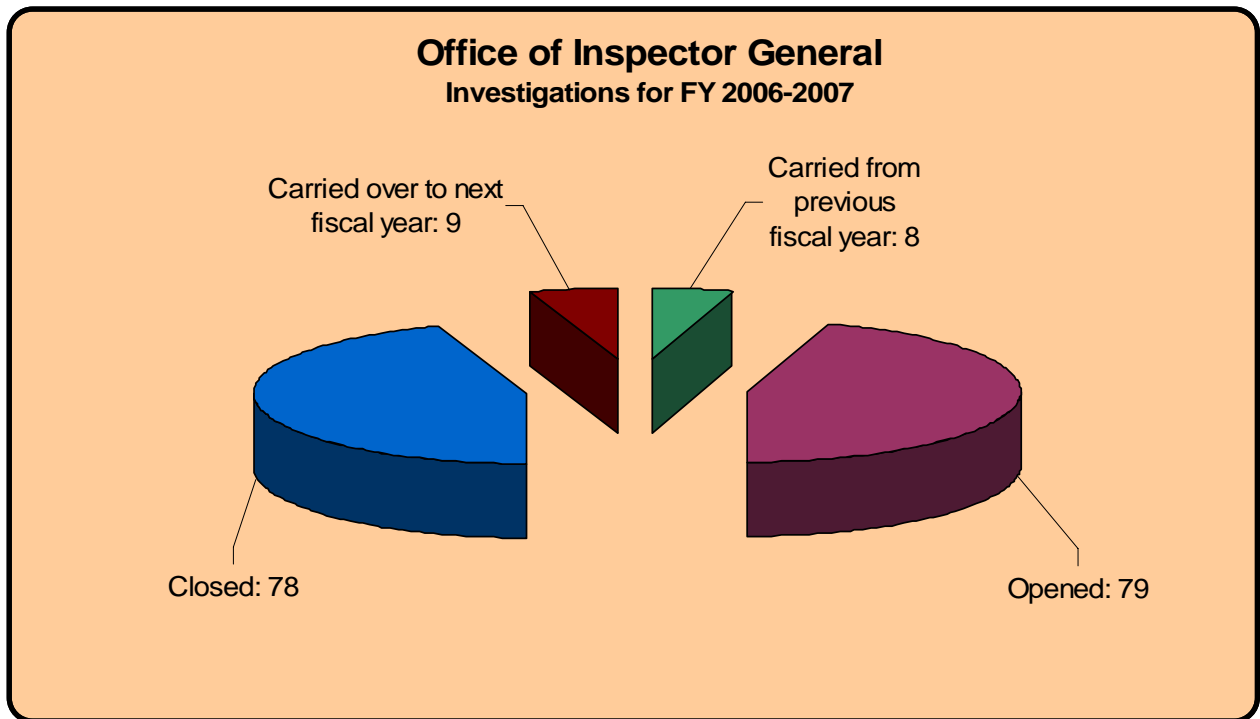
UNFOUNDED: Allegations are false or not supported by fact.

POLICY FAILURE: Alleged actions occurred and could have caused harm; however, the actions taken were not inconsistent with Department policy.

REFERRED TO DIVISION: The allegation did not meet the criteria of an IG investigation, or the allegations related to management and/or work performance issues only.

After the case has been approved for closure by the Inspector General, the results are forwarded to Department management and the Bureau of Personnel Management for action as they deem appropriate. The investigations are conducted by one Chief, one Captain, one Lieutenant and one Investigation Specialist, three with bachelor's degrees and one with a law degree. All four investigators have attended numerous schools and training programs relating to internal investigation and collectively bring a broad range of knowledge, experience and professionalism to the investigation section.

The following charts outline the case activity for Fiscal Year 2006-2007.



PRELIMINARY INQUIRIES (PI)

The Office of Inspector General (OIG) receives complaints from a wide variety of sources. Sometimes it is necessary for the Investigation Section to open a preliminary inquiry to determine the validity of a complaint prior to initiation of a formal investigation.

Preliminary inquiries:

- Determine if witnesses are available and cooperative, and ascertain if there is evidence to support the allegation.
- Involve requests made by a division where the resources and authority of the OIG are needed, i.e., certain background investigations, computer forensics, evidence preservation, sworn testimony, etc.
- Establish whether the complaint is within the jurisdiction of the OIG.

The following are case summaries for preliminary inquiries closed during Fiscal Year 2006-2007:

CASE NUMBER	ALLEGATION	FINDINGS
PI 2006-0054	Anonymous complaint	Referred to Division Director
PI 2006-0056	Misconduct	Not substantiated
PI 2006-0058	Misconduct	Not within the purview of the OIG
PI 2006-0060	Background check	Completed
PI 2006-0061	Misconduct	Referred to Division Director
PI 2006-0065	Consumer complaint handled improperly	Handled within jurisdiction
PI 2006-0068	Consumer complaint handled improperly	Handled within jurisdiction
PI 2006-0071	Misconduct	No evidence to support
PI 2006-0073	Complaint	Not within the purview of the OIG
PI 2006-0074	Consumer complaint not properly addressed	Not substantiated
PI 2006-0075	Conduct Unbecoming a public employee	No evidence to support
PI 2006-0076	Misconduct	No evidence to support
PI 2006-0077	Sexual harassment	No formal complaint filed
PI 2006-0078	Complaint	Management issue
PI 2006-0081	Misconduct	Not within the purview of the OIG
PI 2006-0082	Background check	Completed
PI 2006-0083	Discrimination	No formal complaint filed
PI 2006-0085	Misconduct	Unsubstantiated
PI 2006-0086	Harassment	Referred to Division Director
PI 2006-0087	Misconduct	Not within the purview of the OIG
PI 2007-0002	Misuse of travel requests	Management issue
PI 2007-0003	Complaint	Referred to Division Director
PI 2007-0004	Background check	Completed
PI 2007-0005	Misconduct	Unsubstantiated
PI 2007-0007	Misconduct	Unsubstantiated
PI 2007-0011	Purchasing card misuse	Unsubstantiated
PI 2007-0013	Sexual harassment and discrimination	No formal complaint filed

CASE NUMBER	ALLEGATION	FINDINGS
PI 2007-0015	Background check	Completed
PI 2007-0016	Filed false criminal charges	Charges dropped
PI 2007-0017	Sexual harassment	No formal complaint filed
PI 2007-0019	Misconduct	Referred to Division Director
PI 2007-0020	Complaint	Not within the purview of the OIG
PI 2007-0021	Background check	Completed
PI 2007-0022	Background check	Completed
PI 2007-0023	Complaint	Not within the purview of the OIG
PI 2007-0025	Inappropriate use of email	Referred to Division Director
PI 2007-0027	Complaint	Referred to Division Director
PI 2007-0028	Complaint	Referred to Division Director
PI 2007-0029	Complaint	Not within the purview of the OIG
PI 2007-0032	Complaint	Referred to Division Director
PI 2007-0034	Fraud	Not within the purview of the OIG
PI 2007-0037	Complaint	Not within the purview of the OIG
PI 2007-0038	Conflict of interest	No evidence to support
PI 2007-0043	Complaint	Not within the purview of the OIG

INSPECTOR GENERAL (IG)

The following are case summaries for investigations closed during Fiscal Year 2006-2007:

IG 2006-0028

This case was opened when our office received information that Department employees were allegedly selling and buying cannabis on Department property. Our office conducted an investigation and criminal charges were filed. The allegations of Conduct Unbecoming a Public Employee, Poor Performance, and Violation of Law or Agency Rules were SUSTAINED on three Department employees. The allegation of misuse of a Department computer was SUSTAINED on one employee.

IG 2006-0045

This case was opened when our office received information that a Department employee had allegedly committed criminal violations, had a criminal history and falsified their employment application. As a result of the investigation, the allegations concerning criminal violations and an alleged criminal history were determined to be without merit and the employee was EXONERATED. The allegation that the employee had falsified, misrepresented and omitted information on their State of Florida employment application was SUSTAINED.

IG 2006-0047

This case was opened when our office received information that a Department employee had allegedly been harassed and discriminated against by another Department employee. Our office conducted an investigation into the allegation. As a result of the investigation, the allegation of Conduct Unbecoming a Public Employee was NOT SUSTAINED.

IG 2006-0048

This case was opened when our office received information that a Department employee had allegedly conducted personal business while on-duty. Our office conducted an investigation into the allegation. As a result of that investigation, the allegation of Conflict of Interest was NOT SUSTAINED.

IG 2006-0050

This case was opened when our office received information that a Department employee was allegedly being treated in a discriminatory fashion by certain restrictions. Our office conducted an investigation into the allegation. As a result of the investigation, the allegation of misconduct was NOT SUSTAINED. However, the method of promulgation and the manner of imposition of the restrictions resulted in a finding of POLICY FAILURE.

IG 2006-0051

This case was opened when our office received information that a Department employee had allegedly falsified documents and used a State vehicle in an unauthorized manner. This office conducted an investigation into the allegations. As a result of the investigation, the allegations of Conduct Unbecoming a Public Employee and Violation of Law or Agency Rules were SUSTAINED.

IG 2006-0053

This case was opened when our office received information that a Department employee had allegedly been sexually harassed by another Department employee. A formal sexual harassment complaint was filed. This office conducted an investigation into the allegation. As a result of the investigation, the allegation of sexual harassment was NOT SUSTAINED.

IG 2006-0055

This case was opened when our office received information that a Department employee was allegedly spending on-duty time at their residence. This office conducted an investigation into the allegations. As a result of the investigation, the allegation of Conduct Unbecoming a Public Employee was SUSTAINED, and a developed allegation of falsification of time and attendance records was also SUSTAINED.

IG 2006-0057

This case was opened when our office received information that a Department employee had allegedly been reporting to work under the influence of alcohol or controlled substances. This office conducted an investigation into the allegation. As a result of the investigation, the allegation of a violation of the Department's Drug Free Workplace Policy was NOT SUSTAINED.

IG 2006-0059

This case was opened when our office received information that Department employees had allegedly accessed inappropriate material on the internet from a Department computer. Our office conducted an investigation, and the allegation of accessing inappropriate images was NOT SUSTAINED. The allegation of allowing unauthorized access to a Department computer was SUSTAINED.

IG 2006-0062

This case was opened when our office received information that a Department employee had allegedly abused his/her position. This office conducted an investigation into the allegation. As a result of the investigation, the allegation of Conduct Unbecoming a Public Employee was SUSTAINED.

IG 2006-0063

This case was opened when our office received information alleging a Department employee was not performing their responsibilities and falsified time records and their employment application. Our office conducted an investigation into the allegations. As a result of the investigation, the allegation of Conduct Unbecoming a Public Employee was determined to be UNFOUNDED.

IG 2006-0064

This case was opened as a result of a developed allegation of Violation of Law or Agency Rule against a Department employee during another investigation. Our office conducted an investigation, and the allegation of Violation of Law or Agency Rules was SUSTAINED.

IG 2006-0066

This case was opened when our office received information that a Department employee had alleged to have physically and verbally abused their child. Our office conducted an investigation, and the allegations of child abuse, Conduct Unbecoming a Public Employee, and Misconduct were NOT SUSTAINED.

IG 2006-0067

This case was opened when our office received information that an allegation of bias based profiling was made on a Department employee. This office conducted an investigation into the allegations of Violation of Law or Agency Rules; violation of Office of Agricultural Law Enforcement Policy No. 2.10 Bias Based Profiling and Conduct Unbecoming a Public Employee and determined that they were UNFOUNDED.

IG 2006-0069

This case was opened when our office determined during the investigation of IG 2006-0028 that additional Department employees were involved in purchasing cannabis on Department property. This office conducted an investigation and determined that allegations against three Department employees were SUSTAINED on Violation of Law or Agency Rules in regards to Florida Statute 893.13; Policy and Procedure No. 5-4, Drug-Free Workplace Policy, and Conduct Unbecoming a Public Employee.

IG 2006-0070

This case was opened when our office received information that a Department employee alleged to have been discriminated against. Our office conducted an investigation, and the allegations of discrimination and Conduct Unbecoming a Public Employee were determined to be UNFOUNDED.

IG 2006-0072

This case was opened when our office received information concerning the possible misuse of a Department computer. Information was received that a Department computer had inappropriate images on it. This office conducted an investigation into the allegations. As a result of the investigation, the Department employee was EXONERATED as to the allegation of violation of the Department's computer use policy.

IG 2006-0079

This case was opened when our office received information that a Department employee allegedly cashed a pay warrant intended for another State employee. This office conducted a criminal investigation into the allegations of theft, forgery, and uttering. As a result of the investigation, the State Attorney declined to file charges, however, an administrative finding of theft was SUSTAINED. In addition, allegations of forgery and uttering were NOT SUSTAINED.

IG 2006-0080

This case was opened when our office received information that a Department employee allegedly falsified records. This office conducted an investigation into the allegations. As a result of the investigation, allegations against the Department employee was SUSTAINED on Conduct Unbecoming a Public Employee and NOT SUSTAINED on Conflict of Interest.

IG 2006-0084

This case was opened when information was received alleging deliberate acts of misconduct by a Department employee. This office conducted an investigation into the allegation. As a result of the investigation, the Department employee was EXONERATED as to the allegation of Conduct Unbecoming a Public Employee.

IG 2007-0001

This case was opened when our office received an email from an employee that contained offensive language. This office initiated an investigation which determined that an allegation of Violation of Law or Agency Rules against four Department employees was SUSTAINED. An allegation of Conduct Unbecoming a Public Employee against a Department employee was also SUSTAINED.

IG 2007-0006

This case was opened when our office received information of alleged inappropriate computer use by a Department employee. This office conducted an investigation into the allegation. As a result of the investigation, the allegation that the employee violated the Department's computer use policy was SUSTAINED.

IG 2007-0008

This case was opened when our office received information regarding alleging inappropriate computer use by a Department employee. This office conducted an investigation into the allegation. As a result of the investigation, the allegation that the employee violated the Department's computer use policy was SUSTAINED.

IG 2007-0009

This case was opened when our office received information of alleged workplace violence between Department employees. This office conducted an investigation and determined that the allegation of Violation of Law or Agency Rules in regards to Workplace Violence was UNFOUNDED.

IG 2007-0010

This case was opened when a former employee alleged discrimination. This office conducted an investigation into the allegation. As a result of the investigation, the allegation of Discrimination was determined to be UNFOUNDED.

IG 2007-0012

This case was opened when our office received information of alleged conflicts of interest and unbecoming conduct by a Department employee. This office conducted an investigation into the allegations. As a result of the investigation, the allegation of Conflict of Interest by a Department employee was determined to be UNFOUNDED. The Department employee was also EXONERATED from the allegation of Conduct Unbecoming a Public Employee.

IG 2007-0014

This case was opened when our office received information of alleged unbecoming conduct and racially oriented statements made by a Department employee. This office conducted an

investigation into the allegations. As a result of the investigation, the allegation of discrimination by the Department employee was NOT SUSTAINED. The Department employee was SUSTAINED on the allegation of Conduct Unbecoming a Public Employee.

IG 2007-0018

This case was opened when our office received information of alleged improper use of a Voyager card and misuse of state property by a Department employee. This office conducted an investigation into the allegation. As a result of that investigation, the Department employee was SUSTAINED as to the allegation of Conduct Unbecoming a Public Employee.

IG 2007-0024

This case was opened when our office received information regarding allegations of Violation of Law or Agency Rules and/or Conduct Unbecoming a Public Employee which concerned Department employees. This office conducted an investigation into the allegations. As a result of the investigation, the Department employees were UNFOUNDED on the Violation of Law or Agency Rules and the allegation of Conduct Unbecoming a Public Employee. One Department employee was SUSTAINED on a Violation of Law or Agency Rules.

IG 2007-0026

This case was opened when our office was requested to investigate allegations of misconduct by a Department employee. This office conducted an investigation into the allegations. As a result of the investigation, the allegation concerning the violation of a safety procedure has been concluded as a POLICY FAILURE. The allegation concerning Conduct Unbecoming a Public Employee was SUSTAINED.

IG 2007-0030

This case was opened when our office received information concerning an allegation of potential sexual harassment by a Department employee. This office conducted an investigation into the allegations. As a result of the investigation, the allegation was determined not to rise to the level of sexual harassment and was subsequently investigated as Conduct Unbecoming a Public Employee. The Department employee was NOT SUSTAINED on Conduct Unbecoming a Public Employee.

IG 2007-0033

This case was opened when our office was requested to investigate allegations of possible falsification of records by a Department employee. This office conducted an investigation into the allegations. As a result of the investigation, the allegation concerning the violation of Conduct Unbecoming a Public Employee by falsifying records and a developed allegation concerning failure to secure and protect state property were both SUSTAINED.

IG 2007-0041

This case was opened when our office received information alleging unbecoming conduct by a Department employee. This office conducted an investigation into the allegations. As a result of the investigation, the allegations of violations of the Drug Free Workplace Policy and Poor Performance were NOT SUSTAINED. An allegation of Conduct Unbecoming a Public Employee was SUSTAINED.

INTELLIGENCE FILES

During the Fiscal Year 2006-2007 the Investigation Section reviewed five cases which were documented as being beyond the scope of Office of Inspector General activity and which did not meet the requirements to open a preliminary inquiry. However, the information contained within these files had potential future value and was retained for reference.