

Office of Inspector General

Annual Report

Fiscal Year 2001



Accountability
Efficiency
Integrity

Committed to working in partnership with local communities to ensure safety, well-being, and self-sufficiency for the people we serve.

Secretary
Kathleen A. Kearney

Inspector General
Guiseppa A. Betta

The Office of Inspector General



Employee Code of Ethics

As the central point for coordination and responsibility of activities that enhance public accountability in the Department, every member of the Office of Inspector General is personally committed to legally fulfilling the true spirit and intent of the goals and objectives required by §20.055, F.S.

The Office of Inspector General plays a significant role in the accountability arena, even more so with a Secretary who is totally committed to accountability, as well as the prevention of fraud, waste, and abuse in state government. Public accountability requires demonstrating to taxpayers that their resources are safeguarded and spent according to legal mandates and limitations, that their programs operate economically and efficiently; and, more importantly, that the taxpayer's desired results are obtained. Moreover, the Secretary's mandate to every employee is that strict adherence

to the leadership traits, as promoted by the Department's Leadership Program, is vital to the sustained maintenance of accountability in this Agency.

Since perceptions of the Office of Inspector General can be as damaging as reality, the professional ethics and personal behavior of Office of Inspector General staff are issues of great significance. Each employee must maintain unassailably high moral standards, faithful obedience to the law; a strict avoidance or even the appearance of unethical behavior; and an unrelenting self-discipline for independent and objective thoughts and work habits that emulate integrity in every sense of the word. Though it is important for every employee to understand that integrity, objectivity and independence are precursors for accountability in the Office of Inspector General, they must also believe in it!

***Violate any of this and the integrity of the
Office of Inspector General is compromised!***

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Executive Summary

***Chapter 20.055,
Florida Statutes,
mandates that each
state agency shall
have an Office of
Inspector General
that serves as a
central point for
coordination of
activities that
promote
accountability,
integrity, and
efficiency in
government.***

Fiscal Year 2001 represented a year of “improving the way we do business” within the Office of Inspector General. The four units within this office (Investigations, Internal Audit, Quality Control, and Appeals Hearings) initiated several procedural changes to improve internal efficiency and effectiveness. Examples follow:

- The Office of Investigations initiated a formalized tracking system that requires response deadlines for all complaints and developed performance measures to track internal responses to complainants and requests for investigations. Investigations field units adopted standards to reduce the average length of time for investigations from 120 to 90 days.
- The Office of Internal Audit purchased software to enable the office to use statistical analyses to select samples and validate results. Also, the office began modifying an audit tracking system to reduce paperwork and increase efficiency of audit operations.
- The Office of Quality Control converted the U.S. Department of Agriculture sampling universe report to magnetic media; changed the headquarters review process to include Economic Self-Sufficiency review prior to the release of findings; upgraded the computer circuits in field offices to increase access; and relocated a field office to Tallahassee.
- The Office of Appeal Hearings updated its office automation software to improve the tracking of pending cases and to improve communications with the new region as well as the existing districts. The office is continuing to work on a major update of this software including improving the interface with the FLORIDA computer system.

During Fiscal Year 2001, the Office of Inspector General provided numerous recommendations for resolution to Department program offices and managers in response to problems or concerns identified during investigations and audits.

During Fiscal Year 2001, the Inspector General continued to emphasize a partnership concept to assure that state agencies work cooperatively to resolve common concerns such as abuse, fraud, and misuse of state resources. This approach was used when the

*“In a survey of 1,300 senior executives, 71 percent listed integrity as the common quality most necessary to business success when ranking 16 character traits that enhance an executive’s effectiveness.”
(Developing the Leader Within You, John C. Maxwell, 1979)*

office worked with the Chief Inspector General’s Office, the Office of the Comptroller, and the Family Safety Program Office to resolve a case in which an employee was defrauding a non-profit board appointed by the Governor.

Specific measurable accomplishments for each unit can be found within the text of this report. The following summary highlights are provided:

➤ **Investigations:**

- Responded to 806 correspondence control assignments.
- Completed 5,172 personnel reference checks.
- Received 290 notifications of employee wrongdoing.
- Processed 129 public records requests.
- Opened 106 preliminary inquiries and full-investigations and completed 119.

➤ **Internal Audit:**

- Completed 13 management reviews, 3 audits, and 6 audit assists. Of these, 17 were in response to complaint allegations.
- Conducted an evaluation of the validity and reliability of 11 performance accountability measures for the Adult Services, Family Safety, and Child Care Program offices in Districts 4, 7, and 11 for Fiscal Year 1998-99. An assessment of performance measures for the Developmental Disabilities Program in District’s 2, 11, 12, and the SunCoast Region is being completed.
- At the request of the Chief Inspector General, Executive Office of the Governor, the unit completed an audit on the Acquisition and Use of Information Technology Consultants for the period July 1, 1998 through March 31, 2000. This was one of eight audits performed concurrently as part of a multi-agency team effort.
- Participated in a multi-agency Purchasing Card audit coordinated by the Governor’s Council on Integrity and Efficiency. The audit objectives were to determine whether:
 - The Department complied with relevant laws, rules, policies, and guidelines;

“Integrity is not a given factor in everyone’s life. It is a result of self-discipline, inner trust, and a decision to be relentlessly honest in all situations in our lives.” (Developing the Leader Within You, John C. Maxwell, 1979

- Management’s system of internal controls were adequate to ensure effective and efficient use of agency resources; and
- Purchasing card transactions were properly authorized and recorded.
- Coordinated 60 external audit liaison activities for the Office of Attorney General, Office of Program Policy Analysis and Governmental Accountability, and federal agencies’ requests for responses and information regarding audits and reviews.

➤ **Quality Control:**

- Identified a 9.24 percent error rate for Food Stamps program, the second to lowest error rate since 1988.
- Determined that 43.4 percent of the errors were agency-generated; client errors accounted for 56.6 percent.
 - Since the error rate has been below the 3 percent national tolerance level for several years, Florida was granted a waiver of Medicaid error rate determination and conducted a pilot project to increase identification and participation of eligible Medicare beneficiaries in the Medicaid program.
 - Identified a 6.80 percent error rate for Temporary Assistance for Needy Families program, of which 52.9 percent were agency errors and 47.1 percent were client errors.

➤ **Appeal Hearings:**

- Completed 4,970 DCF hearings and 468 fair hearings for other agencies, representing a 5 percent increase over the previous year.
- Processed 5,658 disqualification’s for Temporary Assistance for Needy Families or Food Stamp benefits with \$2,550,863 in associated overpayment claims.

The following sections provide detailed information on the organizational structure of the Office of Inspector General and the achievements of the four internal units that occurred during Fiscal Year 2001. Questions regarding the contents may be directed to the Office of Inspector General, 1317 Winewood Boulevard, Tallahassee, Florida, 32399-0700, telephone (850) 488-1225.

Section A: Introduction

As mandated by Chapter 20.055, Florida Statutes, each state agency has an Office of Inspector General that serves as a central point for coordination of activities that promote accountability, integrity, and efficiency in government. The responsibilities of the office are as follows:

- Advises in development of performance measures, standards, and procedures for evaluation of programs.
- Assesses the reliability and validity of information provided on performance measures and standards, and makes recommendations when improvements are needed.
- Reviews actions taken to improve program performance and makes recommendations for improvement.
- Directs, supervises, and coordinates audits, investigations, and management reviews.
- Conducts, supervises, and coordinates activities that promote economy and efficiency and prevent or detect fraud and abuse.
- Keeps agency heads informed about fraud, abuses, and deficiencies and recommends corrective measures.
- Ensures effective coordination and cooperation between the Auditor General, federal auditors, and other governmental bodies.
- Reviews rules relating to programs and operations and makes recommendations regarding their impact.
- Ensures appropriate balance is maintained between audit, investigative, and other accountability activities.

The Office of Inspector General achieved these objectives in FY 2001 while embracing the Department of Children and Families' mission *to work in partnership with local communities to ensure the safety, well being, and self-sufficiency of the people we serve*. This report summarizes how the office accomplished these objectives.

The Inspector General continued to stress the importance for staff adherence to a Code of Ethics based upon the following core values:

Honor:

- Staff are taught to be accountable for their professional and personal behavior and that it is a privilege to serve fellow citizens.
- Staff learn that Office of Inspector General employees are to conduct themselves in the highest ethical manner to:
 - be honest and truthful in dealings within and outside the Department;
 - encourage new ideas and deliver bad news forthrightly;
 - make honest recommendations and seek the same;
 - fulfill legal and ethical responsibilities in their public and personal lives;
 - abide by an uncompromising code of integrity;
 - take full responsibility for actions; and,
 - keep one's word.

Courage:

- Staff are taught that courage is the moral and mental strength to do what is right.
- Staff are taught to be loyal to state and fellow citizens by ensuring that the resources entrusted to them are used honestly, carefully, and efficiently to:
 - meet the demands of the profession and its mission;
 - overcome challenges while adhering to high standards of personal conduct and decency; and,
 - act in the best interest of the agency and citizens without regard to personal consequence.

Commitment:

- Staff work as a team and are expected to exhibit the highest degree of moral character, professional excellence, and competence. Staff are to:
 - show respect toward everyone without regard to race, religion, or gender;
 - strive for positive change and personal improvement; and,
 - foster respect within the organization.

Resource Management

Office of Inspector General resources are strategically placed in regional management teams that are centrally located throughout the State. This positions staff to:

- Extend management out to where the action is.
- Maximize administrative and logistical resource sharing among personnel in Investigations, Internal Audit, Quality Control, and Appeal Hearings.
- Enhance the potential for synergism among personnel through co-location and consolidation.

Three regional inspector supervisors have administrative responsibility for regional Office of Inspector General personnel, including Quality Control, Appeal Hearings, and operational control of investigative personnel.

Regional inspector supervisors:

- Provide supervision and feedback to investigators.
- Keep the Inspector General, Chief of Investigations, and District Administrators informed of investigations, happenings, and events.
- Develop investigative plans.
- Create an Office of Inspector General awareness throughout their respective regions.
- Provide input to the Inspector General's fraud, waste, and abuse data system.
- Coordinate task forces and inspection programs.
- Facilitate communications and understanding of Office of Inspector General programs and issues.

The current organizational alignment of the Office of Inspector General is shown in **Figure A.1**. For additional information regarding accomplishments of the

components of the Inspector General’s Office, please see the individual unit summaries in the text of this document.

Office of Inspector General

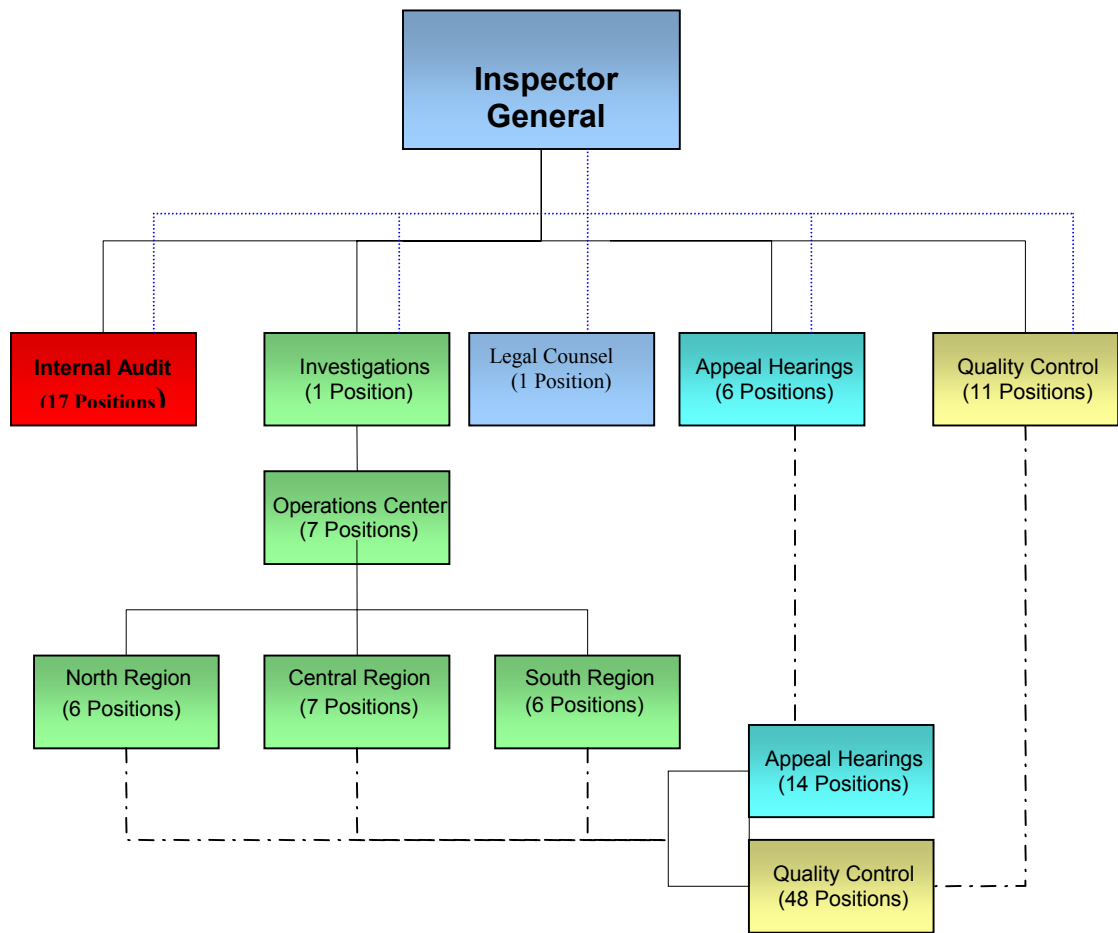


Figure A.1

Reporting Authority

- Administrative
- Operational
- Legal Counsel

Section B: Office of Investigations

The Office of Investigations is a distinct unit within the Office of the Inspector General and is under the direction of the Chief of Investigations who reports directly to the Inspector General. The office has 27 full-time positions and is staffed with an administrator, an operations supervisor, 3 professional and 4 administrative support staff, 3 regional inspector supervisors, and 15 regional inspectors.

The primary responsibilities of this office include receiving, responding to and investigating complaints alleging fraud, waste, abuse, employee misconduct, malfeasance, and misfeasance. Every complaint is assessed for investigative need and tracked through resolution, regardless of the magnitude or severity.

During the assessment phase, complaints are screened to determine if the facts suggest possible misconduct by a Department or contract employee. Eighty-four percent of the complaints received are management-related issues and referred to the appropriate entity for review and resolution. If warranted, the office conducts a thorough investigation. When completed, the Inspector General reports the findings to the Secretary and to the Governor's office, along with recommendations. The office also monitors corrective actions. When recommendations involve a contract provider, the Inspector General may work directly with the agency and its board of directors to ensure corrective action.

To ensure a timely response to the **1,225** pieces of correspondence, of which **806**

were complaints, the office is structured into the functional areas of intake and investigations. Intake is managed by the Operations Center in Tallahassee; regional offices conduct investigations.

Operations Center

The Operations Center processes correspondence and complaints. Each complaint is reviewed for thoroughness, assigned a tracking number, and entered into an automated tracking system. Although most complaints are received at the Operations Center, regional offices also receive complaints and within seven days of receipt forward the complaint and subsequent recommendations to the Operations Center.

As part of the intake process, the Operations Center evaluates each allegation and determines whether an investigation is warranted. If so, the complaint is assigned to the appropriate regional office and a preliminary inquiry is initiated to determine if a full investigation is required. As indicated earlier, most complaints involve management issues and are forwarded to Department managers for follow-up. In such cases, the manager is asked to provide a written summary of the findings and the corrective actions taken.

Other Operations Center responsibilities include: coordination of personnel reference checks; responding to public records requests; tracking corrective action(s); receiving and tracking serious incidents, tracking criminal arrest information on employees, and tracking, analyzing, and disseminating statistical information.

Figure B.1 summarizes the amount and types of written communication requests received in the Office of Inspector General in FY2001. Sources include, but are not limited to, employees, clients, family members, and private citizens via phone calls, letters, and personal visits.

Figure B.2 depicts the total number of complaints and investigations received and closed over a three-year period. The downward trend in FY2001 is attributed to the decrease in criminal/incident reports. Only reports of a serious nature requiring possible IG action are reported.

Information Received in the Operations Center

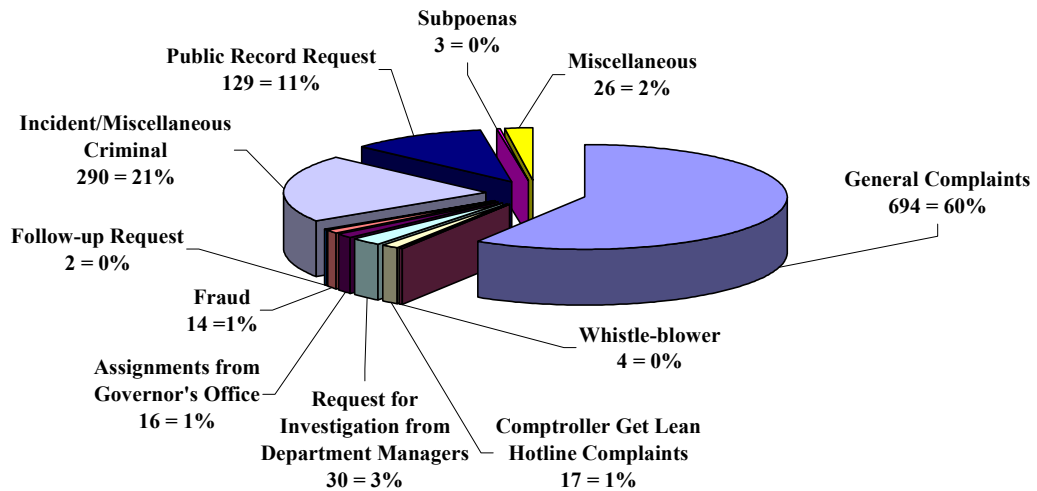


Figure B.1

* Majority were breach of confidential information and falsification of records.

Source: Office of Investigations

Complaints & Investigations 3-Year Comparison*

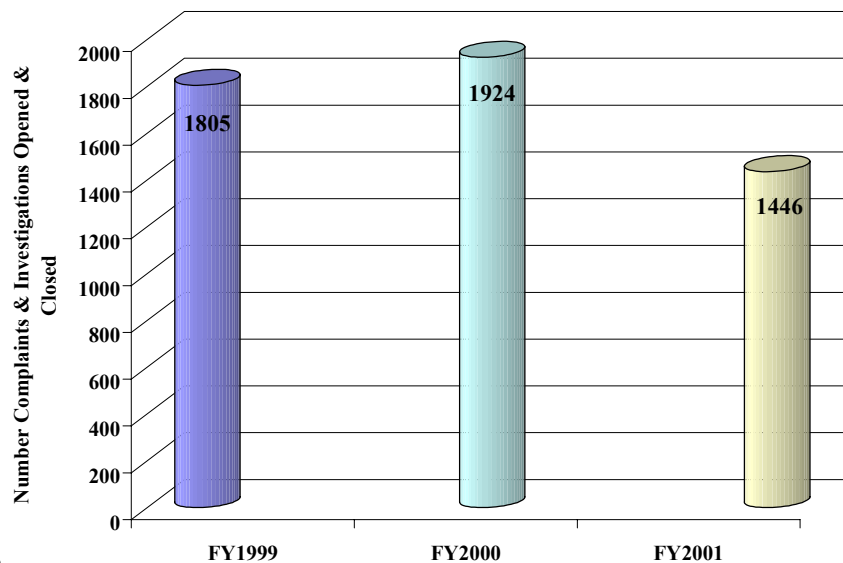


Figure B.2

* Downward trend is attributed to another office receiving and handling criminal/incident notifications for Fiscal Year 2001

Source: Office of Investigations

Correspondence processing occurred accordingly:

- referral to Investigations for review, preliminary inquiry, or full investigation -- 10 percent;
- referral to a Department manager for review and response -- 84 percent;
- referral to another agency for handling (i.e., law enforcement, Department of Health, etc.) -- 5 percent;
- resolved by telephone or letter; or, did not contain enough information to pursue -- 1 percent.

Each response was reviewed by the Investigations Unit to ensure that complainants' concerns were adequately

addressed and to determine if additional activity was warranted.

The Operations Center processed **5,172** personnel reference checks, **Figure B.3**. Checks were conducted prior to rehiring or promotion to determine if the individual was ever the subject of a complaint or investigation.

Additionally, **290** notifications of alleged serious wrongdoing, including criminal activity by Department employees were tracked. Notifications remain open until managers report the final action.

The office also processed **129** public records requests.

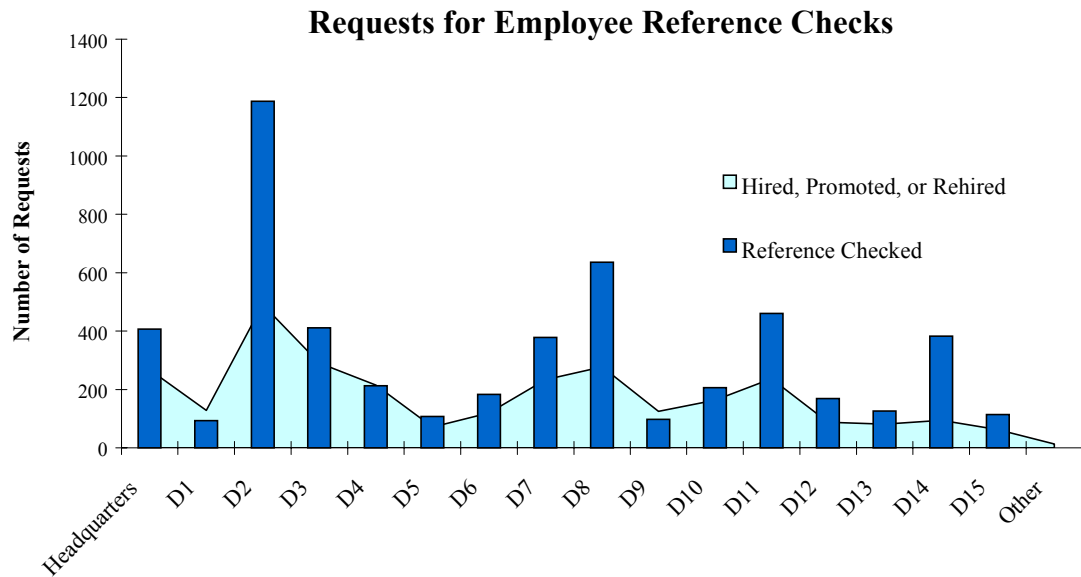


Figure: B.3
 (Compares the number of personnel hired, promoted, or rehired against the number of reference checks conducted)

Source: Office of Investigations

Regional Offices

Three regional offices are staffed by 15 inspectors and 3 supervisors who conduct investigations and preliminary inquiries. Regional offices also provide intake responsibilities in addition to investigating allegations of misconduct and wrongdoing.

Regional inspector responsibilities:

- identifying corrective measures and developing recommendations based on findings;
- providing assistance to federal, state, and local law enforcement on cases related to criminal violations;
- serving as Department liaisons to law enforcement agencies;
- working in conjunction with other agencies and entities involving employee or provider misconduct;
- presenting fact-finding reports of inquiries and investigations for information or action;
- keeping management informed of findings; and
- maintaining an Office of Inspector General awareness throughout the region.

Staffing

North Region: Tallahassee (6)

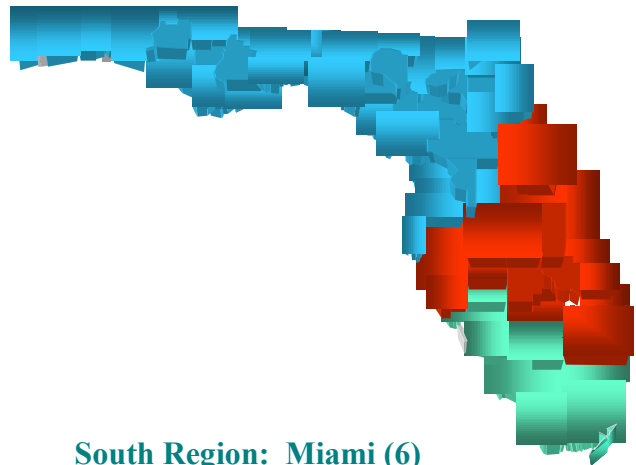
Regional Inspector Supervisor (1) Tallahassee
 Regional Inspector (1) Gainesville
 Regional Inspector (3) Tallahassee
 Regional Inspector (1) Jacksonville

Central Region: Orlando (7)

Regional Inspector Supervisor (1) Orlando
 Regional Inspector (2) Orlando
 Regional Inspector (2) West Palm Beach
 Regional Inspector (1) Tampa
 Regional Inspector (1) New Port Richey
 (for the majority of the year one position was in the North Region; however, it was moved for a better distribution of resources)

South Region: Miami (6)

Regional Inspector Supervisor (1) Miami
 Administrative Assistant (1) Miami
 Regional Inspector (2) Miami
 Regional Inspector (2) Hollywood



During FY 2001, the Investigations Unit opened 106 investigations and completed 119. The 119 closed cases contained 325 allegations. **Figure B.4** depicts a breakdown of the types of allegation investigated.

Of the 119 investigations, 11 were preliminary inquiries not warranting a full investigation. Reasons include determinations that issues were already being handled by another entity.

Allegations Investigated

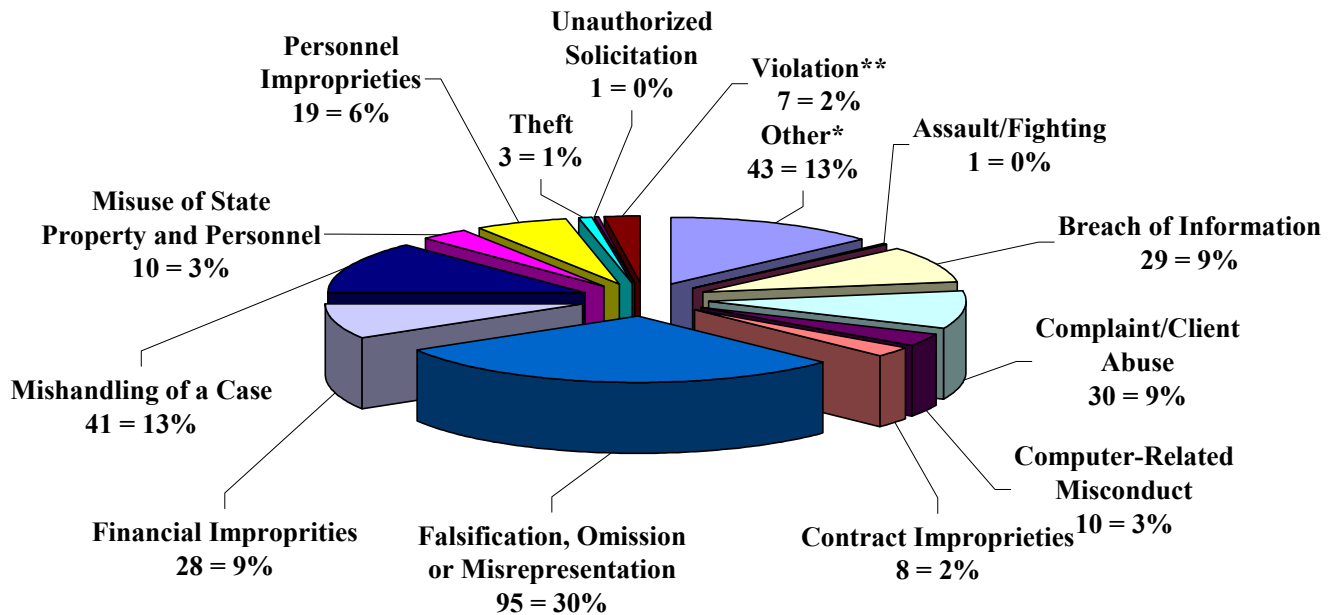


Figure B.4

* Other: includes gambling, excessive absenteeism from work, and drug or alcohol related offenses.

** Violation: includes violations of ethics standards, sexual harassment, and civil rights violations.

Source: Office of Investigations

When compared to FY 2000, **Figure B.5**, a decrease was noted in allegations of client abuse, the misuse of state property or personnel and in the violation category that consists of ethics, civil rights, safety, or breaches of security.

Increases occurred in the following allegations:

- computer crimes,
- falsification of records,
- financial improprieties, and
- other.

3-Year Comparison of Allegations Investigated

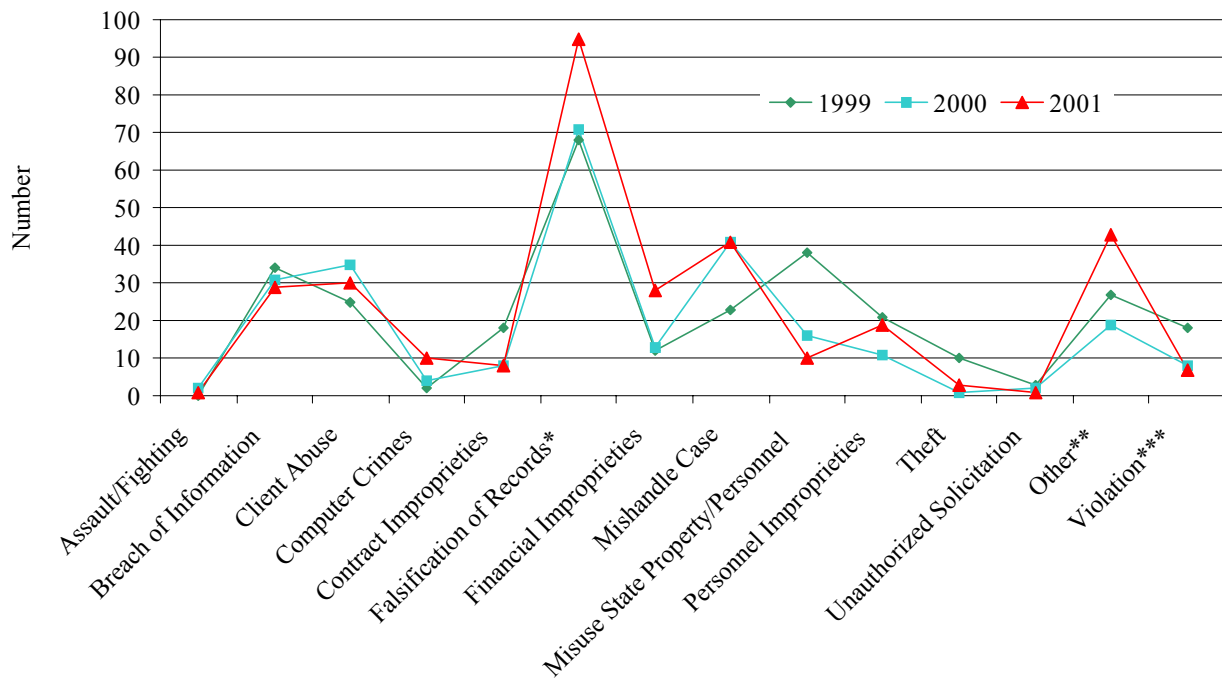


Figure: B.5

* Falsification, Omission or Misrepresentation amended FY 2000 count from 86 to 71.

** Other: includes gambling, excessive absenteeism from work, and drug or alcohol related offenses.

*** Violation: includes violations of ethics standards, sexual harassment, and civil rights violations.

Source: Office of Investigations

Investigations Highlights

The following summaries represent a broad spectrum of case types investigated by this office. A complete listing of all investigations by district is provided after these summaries.

Allegation -- Case #1999-0166

A family services counselor mishandled a child abuse investigation and a district secretary specialist used her position to influence placement of a child during a child abuse investigation and improperly accessed the Florida Abuse Hotline Information System (FAHIS).

Investigative Findings:

- The counselor admitted being untimely in getting information to legal and that the wording on a case plan she prepared and submitted to the court was incorrect.
- The secretary admitted accessing the Florida Abuse Hotline Information System for personal information.

Inspector General Recommendation:

Management should take appropriate action.

District response:

- The counselor was reassigned and given a memorandum of counseling.
- The secretary was given a Written Reprimand for Violation of Standards of Conduct.

Allegation -- Case #1999-0175

The Department placed a client into a facility without giving the facility the necessary information concerning the client's special needs thereby jeopardizing the safety of the client as well as other clients.

Investigative Findings:

- A family services counselor failed to provide the placement center with the necessary client information.
- An on-call family services counselor supervisor had the client transferred to the center without providing the critical placement information.
- A Department family services counselor, also employed by the facility, had knowledge of the client's issues, was present upon the client's arrival and failed to inform facility staff of the client's behavioral issues.
- A family services counselor failed to document and provide the facility with the Judge's specific instructions regarding the client's placement.

Inspector General Recommendation:

District administration should:

- Review the client's file, in particular the placement referral form.
- Ensure the client's critical needs and concerns are clearly and specifically documented and flagged.
- Review the counselor's personnel file to ensure compliance with Department dual employment policy.
- Address the concerns expressed in the report about alleged communication

problems between the district and the provider placement center.

District Response:

- The service center director reviewed the client’s file and determined that documentation was appropriate. “Alerts” information was put on the Integrated Child Welfare Services Information System (ICWSIS) computer.
- Over-capacity waivers were modified to require notations of behavior.
- Placement staff are required to advise child caretakers of behavioral issues with children prior to placement.
- Counselors received a Memo of Oral Counseling for not providing pertinent information to the provider.
- Dual Employment Policies were reviewed and enforced.
- All staff are trained on the ICWIS.
- District changed the procedures by which children are placed.
- Assessment, placement, and follow-up policies and procedures are developed.

Allegation -- Case #2000-0015

A family services counselor supervisor falsified an application to obtain funds from the Temporary Assistance For Needy Families (TANF) Program. Another supervisor created a fraudulent record for the counselor supervisor's child in the client information system (CIS).

Investigative Findings:

- A counselor supervisor admitted creating a file in the client information

system using an incorrect code.

- A counselor supervisor admitted to falsely signing the application as the client’s counselor’s supervisor without reviewing the attached documentation or questioning the income.
- A counselor supervisor admitted to falsely listing a counselor’s name on the application.
- A counselor supervisor admitted signing an application verifying annual income within the Federal Poverty Guidelines when it did not meet the guidelines.

Inspector General Recommendation:

District administration should take appropriate corrective action.

District Response:

- The counselor supervisor received a Written Reprimand for Falsification of Records or Statements.
- No action was taken against the other counselor supervisor for signing the application verifying annual income.

Allegation -- Case #2000-0022

Department employees conducted football pools and a "Little Lotto" on state time with state equipment, sold various items on state property and on state time, used the Continuous Quality Improvement Bulletin Board to advertise personal items, and used the central supply room to sell personal items. A Department nurse tested positive for marijuana and was still dispensing medications and was still responsible for direct patient care.

Investigative Findings:

- Employees admitted football pools existed and they participated in them on state time.
- An employee admitted “pooling” money with other employees to play Florida or Georgia lottery games after hours, then disseminating copies of what was played on state time.
- Employees admitted selling and purchasing personal items on state property and on state time.
- The allegation that a nurse tested positive for marijuana and continued working was referred to the district administrator for investigation and a response is pending.

Inspector General Recommendation:

Management should address the potential violations and disseminate a clearly stated policy in accordance with current statutes and Department policy regarding acceptable employee conduct.

District response:

An Administrative Directive was issued to all staff instructing that disciplinary action will be taken for violations of Department policy.

Allegation -- Case #2000-0032

Unknown persons used Department computers to access pornographic Internet web-sites and employees allowed children access to computers to play computer-installed games.

Investigative Findings:

- Fifteen computers contained pornographic material. A screening of the Internet history folders did not reveal who was responsible for accessing the pornographic web sites because the computers were left on and logged into the network by the employees.
- Sixteen employees stated they left their computers on when they left their workstations, thereby allowing unauthorized persons potential access to the Internet and confidential information.
- Eight employees admitted allowing children access to their computers to play computer-installed games.
- Employees informed management of the problems, yet supervisors took no corrective action.

Inspector General Recommendation:

District administration should:

- Review the supervisors’ failure to safeguard Department equipment and act accordingly.
- Correct the actions of employees permitting clients access to assigned computers.
- Ensure required security awareness training for district employees per Children and Families Operating Procedures 50-2 and 50-6.
- Review appropriateness of placing stand-alone computers in service centers for children to use while waiting for placement and supervised visits.

District response:

- Computer games were removed from computer workstations.
- District employees were informed that permitting clients access to the Department computers was not acceptable and disciplinary action would be taken for future violations.
- Mandatory security training and security agreement forms were provided to employees.
- Employees were given copies of Children and Families Operating Procedures 50-2 and 50-6 and a directive on misuse of the Internet and state property and equipment.
- Employees were given instructions on installing a screen saver password on their computers.
- Information systems will conduct random checks of computers for improper Internet use.

Allegation -- Case #2000-0035

A public assistance specialist threatened and intimidated and engaged in inappropriate sexual conduct with Department clients, drank alcohol on Department property, and interfered with prescription medications.

Investigative Findings:

The anonymous complainant did not provide specific information. Six of the specialist’s clients were selected at random for interview did not support the allegations.

Inspector General Recommendation:

None.

District response:

None.

Allegation -- Case #2000-0039

A former family services counselor falsified and backdated protective service records after a child's death; falsified home visit records and travel vouchers; transported clients to another state; operated an uninsured, personal motor vehicle while performing official duties; and, operated her personal motor vehicle to perform official duties while her driver's license was suspended.

Other allegations included:

- A family services counselor and a family services counselor supervisor used Department vouchers to purchase items for personal use.
- A family services counselor supervisor and two family services counselors falsified their attendance and leave records.
- A family services counselor supervisor showed favoritism by hiring a friend.
- A family services counselor used a Department voucher to place her grandchild in an at-risk day care facility, without authorization.
- A family services counselor and two family services counselor supervisors used SunCom to make personal long-distance phone calls.
- The Department reimbursed a family services counselor supervisor for

unauthorized calls on her personally owned cellular phone.

- A family services counselor supervisor failed to report an incident of alleged child abuse.

Investigative Findings:

- A counselor failed to provide adequate protective services to a sibling of a deceased client.
- A counselor and two counselor supervisors used SunCom to make personal long-distance phone calls.
- A counselor supervisor was reimbursed by the Department for unauthorized calls.
- A counselor supervisor failed to report an alleged child abuse incident because it involved a coworker’s family.

Inspector General Recommendation:

District administrator should:

- Review the counselor supervisors’ cases for child safety purposes and determine adequacy.
- Enter identifying data for the client or case on each purchase voucher submitted for payment.
- Determine the appropriateness of providing clients and foster parents personal phone numbers.
- Provide monthly billing statements to program administrators for review.

District response:

- All cases assigned to the counselor were reviewed and reassigned.
- Program operations administrator reviewed all protective service files.

- Fiscal staff alerted not to pay any request (Flex Fund Voucher) unless identifying data tracing the purchase to a specific client is provided.

- Employees are not required to give clients or foster parents their home phone numbers.

- Foster parents should know how to reach someone in the Department after hours in case of emergency.

- Employees should ensure the foster parent knows how to request on-call workers through the Florida Abuse Hotline Information System or the on-call placement coordinator.

- Counselor supervisor was given a supervisory conference and a Written Reprimand for Negligence.

- Legal counsel advised that the information obtained during the investigation does not support charge of failing to report abuse or neglect.

- A counselor supervisor was given a Written Reprimand for Negligence.

- SunCom billing statement to be made available to all operational managers.

Allegation -- Case #2000-0041

A public assistance specialist made inappropriate statements to three clients and harassed one client at her place of employment. The specialist entered false information into a client’s economic self-sufficiency record denying her benefits.

Investigative Findings:

- The public assistance specialist supervisor acknowledged the specialist was

too casual, too friendly, and non-professional with clients. The supervisor counseled the specialist twice; but did not document the sessions.

- The supervisor and another supervisor reviewed the specialist's casework and approvals for assistance.

Inspector General Recommendation:

Allegation -- Case #2000-0042

District administrator should:

Breach of confidential client information at a supported living program meeting by a Human Services Program Specialist.

- Address the supervisor's failure to ensure Department clients are treated in a respectful professional manner.
- Address the conduct of the program operations administrator who failed to immediately inform the Office of Civil Rights.
- Ensure client applications were properly processed by reviewing a sampling of the specialist's cases.

Investigative Findings:

- The written meeting agenda listed the names of clients with developmental disabilities.
- Confidential information regarding each client was discussed, several persons in attendance were not authorized the information; and the attendees wrote notes and made derogatory comments about a certain client.
- The specialist admitted that confidential client information was discussed.
- The specialist followed a meeting format used by the previous specialist without questioning confidentiality issues.

District response:

Inspector General Recommendation:

District administration should:

- The specialist was separated from the Department for Absence Without Authorized Leave.
- The supervisor was given a Written Reprimand for Negligence for Failing to Properly Document and Report Client Complaints.
- The program operations administrator followed proper reporting procedures by reporting the sexual harassment allegation against the specialist to the district Civil Rights Coordinator and Human Resources.
- The administrator and supervisor will attend the disciplinary module of Supervisory Skills Training and reinforce proper procedures for handling employee misconduct.
- Disciplinary action procedures will be reviewed with all supervisors.
- Sexual harassment re-training is scheduled for all staff.

- Take appropriate corrective action.
- Immediately cease the district's release of confidential information.
- Immediately ensure unprofessional behavior and conduct ceases.

District response:

- The supported living program was assigned to another employee.

- All staff received counseling on client confidentiality issues.
- Consumer attendance was eliminated and consumer names are no longer listed on the monthly agenda.

Allegation -- Case #2000-0044

A public assistance specialist forged the signature of a Department client on two documents and an operations program administrator condoned the forgery.

Investigative Findings:

- The specialist admitted copying the client’s signature and pasting the signature on a blank DCF form, date stamping the form, and mailing the altered form to two credit unions named by the client.
- There were conflicting statements between the specialist and the client concerning the forging of a signature on other forms.

Inspector General Recommendation:

District management should review a sample of the specialist’s cases to ensure that similar cases do not exist.

District Response:

- The specialist was suspended 5 days for Willful Violation of Rules, Regulations, or Policies.
- District Economic Self Sufficiency staff were reminded of requirements regarding releases and client signatures.
- Economic Self Sufficiency now ensures new employees receive clear instruction during pre-service training.

- Staff reviewed a random sampling of 20 of the specialist’s cases.

Allegation -- Case #2000-0048

A former operations and programs manager directed a family services counselor to investigate alleged child abuse involving the complainant when no abuse report had been made; the manager made derogatory remarks about the complainant to other employees; and, the manager directed efforts to fire the complainant without cause.

Investigative Findings:

- The counselor conducted a home study of the complainant’s residence and family, not an abuse investigation.
- Witnesses denied hearing the manager make derogatory remarks about the complaint and denied that the manager directed them to find a reason to fire the complainant.
- The manager denied making derogatory remarks about the complainant and denied directing efforts to fire the complainant.

Inspector General Recommendation:

None.

District response:

None.

Allegation -- Case #2000-0049

A provider contracted to provide long-term residential care for developmentally disabled clients but failed to satisfy the required staff-to-client ratio at one group

home and failed to make a child abuse report after observing a client's injuries.

Investigative Findings:

- For an approximate 6-month period the two-to-five staffing ratio was either nonexistent or less than the number of hours required.
- The manager admitted he was aware of complaints by staff members about the deficiencies.
- The employees admitted after becoming aware of injuries sustained by a client at a group home, they failed to make an abuse report.

Inspector General Recommendation:

District administration should take appropriate corrective action. (Districts involved with provider group homes were sent a copy of the report).

District response:

- The provider completed a corrective action plan and initiated steps to ensure adequate staffing.
- District staff began weekly/monthly monitoring of provider group homes.
- Posters outlining mandates and procedures for reporting abuse, neglect, or exploitation to the Florida Abuse Hotline Information System were given to the provider to display.
- Mandatory good practice training was instituted for residential providers in areas of Florida Statutes/Administrative Code, behavioral services and abuse reporting, and training on administering medication, licensing standards, and writing of implementation plans.

- Staff was redeployed and temporary staff was hired to assist in district monitoring of group homes. A steering committee is developing a mechanism to implement joint monitoring of residential providers.

Allegation -- Case #2000-0051

A family services counselor entered a complainant's residence without permission and photographed two bedrooms that the complainant denied permission earlier the same day.

Investigative Findings:

- The counselor admitted entering the residence without the complainant's presence and photographing the two rooms.
- The counselor used poor judgement in not awaiting the arrival or the presence of the complainant.

Inspector General Recommendation:

- A copy of the report was sent to the Office of the State Attorney for determination as to whether criminal charges will be pursued.

District response:

- The counselor resigned. A note was entered in the personnel file that the counselor is not eligible for rehire based upon inappropriate behavior.

Allegation -- Case #2000-0052

A public assistance specialist acted inappropriately with two clients and contacted two clients after being instructed

not to have contact with the clients.

Investigative Findings:

- The specialist admitted acting inappropriately toward clients.
- At the conclusion of the investigation, and prior to disciplinary action, the specialist accepted reassignment to another district.

Inspector General Recommendation:

District management should:

- Take appropriate corrective action.
- Ensure all clients are treated in a professional manner.
- Ensure that client complaints to employees are handled immediately.

District response:

- The specialist was terminated.
- The human resources manager issued a notice to district senior management that employee reassignment is an appointment and requires an IG check.
- Reference checks and the importance of reporting sexual harassment were re-addressed by written directive.

Allegation -- Case #2000-0062

A family services counselor falsified attendance and leave records by claiming to be at work when actually in training for another job, and the family services counselor supervisor certified the records knowing they were false.

Other allegations included:

- A family services counselor falsified

travel vouchers that were certified by the family services counselor supervisor who knew they were false.

- A family services counselor falsified visits with clients.
- The family services counselor and family services counselor supervisor left work early, but claimed on their attendance and leave records that they stayed until quitting time.

Investigative Findings:

- The counselor admitted the leave and attendance records were incorrect and that she submitted a travel voucher claiming official travel while actually attending training for a new job.
- The counselor supervisor signed the counselor’s leave and attendance records, denied knowing that the records contained incorrect information, and indicated that the failure to verify the travel was an oversight.

Inspector General Recommendation:

District management should:

- Ensure the monies paid to the counselor for leave and attendance and travel are recouped.
- Correct record-keeping deficiencies regarding unit travel.
- Conduct an in-depth follow-up of all the counselor’s former clients to verify that they were visited as documented.

District response:

- The supervisor received a Written Reprimand for Negligence and the counselor resigned while under investigation.

- An audit of the counselor's files, time sheets, and travel logs was completed and no discrepancies were found.
- A certified letter will be sent to the counselor to recoup money. If unsuccessful, the matter will be referred to the Comptroller's office.

Allegation --Case #2000-0069

A planner IV told a programs operation administrator to directly order supplies, equipment, and services under the heading of discretionary funds within a contract between the Department and a provider without appropriate approval.

Investigative Findings:

- Purchases of tangible personal property made by the administrator were not in compliance with Florida Administrative Code 60A-1.017 nor Children and Families Operating Procedure 75-2, Appendix FF.
- The planner admitted incorrectly informing the administrator to obligate provider funds for equipment and services and the planner claimed the former deputy district administrator said to "make it happen."
- The former deputy district administrator resigned prior to completion of the investigation.

Inspector General Recommendation:

Contracted Client Services should conduct a thorough review of the contracting practices in the district and district management should:

- Review the contract records and invoices to determine outstanding

balances for goods and services received via discretionary funds and determine a funding source to pay the respective vendors.

- Take corrective action regarding the employees who disregarded the contracting guidelines.
- Seek recoupment of the balance of monies from the vendor and determine whether a violation of United States Code: Title 18, Section 1001 occurred and whether damages or fines are due.

District response:

- The planner was dismissed for Negligence.
- The administrator was given a Written Reprimand for First Occurrence of Negligence.
- The district's contracting policies and procedures are under review by Central Contracting Client Services.
- The district administrator and acting district administrator directed Family Safety and Alcohol, Drug Abuse, and Mental Health to work jointly on contracts that involve both programs.

Allegation -- Case #2000-0070

A residential and foster care services director instructed a former staff therapist to retroactively complete and backdate client treatment plan forms for client reviews that never occurred.

Investigative Findings:

- The director denied the allegation.
- The therapist admitted backdating client records so client records and the

client treatments were completed on the original due dates.

- A current supervisor admitted instructing employees to retroactively complete and backdate client treatment plan review forms for services previously provided but not properly documented.
- Employees denied they were instructed to retroactively complete and backdate client treatment plan review forms for client reviews that never occurred.

Inspector General Recommendation:

District management should:

- Consult with the district legal counsel, determine what information, if any, should be shared with the provider.
- Review the provider’s forms and determine if they are in compliance with existing contract requirements.

District response:

A district contract compliance and monitoring team monitored the program for contract compliance.

Allegation -- Case #2000-0075

An unidentified employee accessed an abuse investigation case file and provided the complainant’s unlisted telephone numbers to the subject of the abuse investigation.

Investigative Findings:

- Although the complainant said he was provided written and verbal information from other persons, the individual denied giving the complainant such

information.

- A letter that was provided by the complainant to support the allegation contradicted the allegation.

Inspector General Recommendation:

None.

District response:

None.

Allegation -- Case #2000-0077

An Adult and Economic Services Program Administrator favored a friend in awarding a training contract.

Investigative Findings:

- The administrator and the contractor denied having a personal friendship.
- The administrator admitted meeting with the contractor to set the desired agenda, time, and price before the contractor’s services were officially procured.
- Rather than solicit bids, the administrator used a sole source purchase requisition, approved by a former district administrator, to procure the contractor’s services.

Inspector General Recommendation:

District administration should:

- Consult with the assistant secretary for administration to determine if the program administrator’s actions with this contractor to set the agenda, time, and price before officially requisitioning the contractor’s services were

appropriate and if sole source procurement were appropriate.

- Ensure employees involved in the procurement of services follow the policy set forth in Children and Families Operating Procedure 75-2.

District response:

- A number of areas regarding the contract appear to violate the operating procedure, although none were material to the contract.
- The contract was missing documents required by operating procedures.
- The omissions to the contract, all technical, could have been avoided had the administrator followed internal district operating procedures for routing contracts.
- Quality control safeguards were established to assure that multiple parties examine contracts for completeness and conformity.
- The administrator received a copy of the report from Administrative Services and it has been discussed with the administrator.
- The district will adhere to policy in Children and Families Operating Procedure 75-2 which will be distributed to each contract worker, and will be emphasized in the continual training program.

Allegation --Case #2000-0079

Two public assistance specialists distributed political campaign literature on state property.

Investigative Findings:

- The Department employee who alleged that a specialist distributed political campaign literature would not come forward for interview.
- The specialist denied distributing political campaign literature on state property.

Inspector General Recommendation:

District management should review the results of the report to determine whether a review of §110.233 F.S. and the Department's employee handbook is needed to familiarize employees with the rules governing political activity in the workplace.

District response:

None.

Allegation -- Case #2000-0085

An administrative assistant bought T-shirts through the state purchasing system, sold half to employees and kept the money for personal use. The former district administrator and deputy district administrator knew of the events and did not require restitution.

It was also alleged that:

- The administrative assistant did not pay for personal long distance phone calls made via the SunCom System.
- The administrative assistant inappropriately used the Internet while on duty.
- The administrative assistant, a public information officer, and unidentified

employees in district administration falsified attendance and leave records.

Investigative Findings:

- District administrators were aware of the sale of T-shirts to pay for the district Employee Appreciation Day picnic.
- The T-shirts were bought with personal money and sold to defray the cost of a district picnic.
- The district failed to adhere to the rules and regulations for auditing purposes as governed by the Accounting Procedures Manual and Department Regulation 55-2 regarding the Employee Appreciation Day picnic.
- The administrative assistant made personal long distance phone calls via SunCom at Department expense.
- The administrative assistant admitted inappropriate use of the Internet while on duty to visit non-duty-related websites and to send and receive personal emails during on-duty hours.

Inspector General Recommendation:

District management should:

- Consider reviewing the picnic committee's actions emphasizing the appropriateness of requesting items and accounting for donations.
- Consider an audit of the picnic fund.
- Recoup the cost of the long distance phone calls.
- Reconcile SunCom bills and ensure compliance with State policy.
- Take action to address the assistant's statement that he did not record actual hours worked which if true, is a

violation of Fair Labor Standards Act.

District response:

- District management administrative services (DMAS) conducted senior management training concerning adherence to financial management rules and regulations for auditing purposes when collecting funds for programs such as the Employee Appreciation Day Picnic.
- DMAS requested an audit of the funds collected for the picnic. Outcome is pending.
- The deputy district administrator and the administrative assistant resigned.
- The administrative assistant was instructed to make restitution for SunCom usage.
- Supervisors will review SunCom bills each month for discrepancies.

Allegation -- Case #2000-0093

A family services counselor released the name of a reporter of an Abuse Report to the alleged perpetrator.

Investigative Findings:

- The alleged perpetrator and a family services counselor trainee who was present when the counselor talked to the alleged perpetrator said the counselor did not release the reporter's name.
- The counselor denied releasing the reporter's name and denied saying that a Department employee made the report.

Inspector General Recommendation:

District management should:

- Determine if the counselor’s reading of the allegation to the alleged perpetrator from the abuse report was appropriate.
- Take corrective action regarding the counselor’s failure to use a child car seat to transport a child.

District response:

- A counselor supervisor randomly picked and reviewed 10 cases and found that occasionally the counselor documented the reporters of abuse, but verbally denied disclosing a reporter to anyone.
- A formal supervisory conference with the counselor covered confidentiality and use of appropriate car seat restraints.
- All supervisors will discuss and document confidentiality in their unit/staff meetings.

Allegation -- Case #2000-0103

A family services counselor falsely stated in the Investigative Decision Summary part of a final abuse report that he interviewed the complainant face-to-face.

It was also alleged that:

- The family services counselor falsified parts of the Affidavit in Compliance With the Uniform Child Custody Act.

Investigative Findings:

- According to the children’s protective investigation file, another counselor

interviewed the complainant face-to-face and the closed report referenced the face-to-face interview of the complainant by the second counselor.

- A family services counselor supervisor compiled the actions of Department employees involved in the investigation of the abuse report and incorporated that information into the Investigative Decision Summary of the final report.
- Regarding the falsification of the Affidavit in Compliance With the Uniform Child Custody Act, the counselor admitted that some of the information is inaccurate.

Inspector General Recommendation:

Regional management should:

- Ensure that the erroneous information contained in Affidavit in Compliance With the Uniform Child Custody Act prepared by the counselor is changed to make the entire contents of the affidavit accurate.
- Attempt to ensure that totally accurate information is in court records, especially when results contain an individual’s history of domestic violence or child abuse.

Regional response:

- The Affidavit in Compliance With Uniform Child Custody Act was corrected and submitted to the Office of the Attorney General for filing with the court.
- Family safety unit supervisors and operations program administrators met, discussed, and emphasized the importance of filing accurate information with the court.

- The County Operations Program Administrators met and discussed incidents of inaccurate information being provided to the court and the importance of verifying all information prior to releasing it to the court or other professionals.
- The child protection investigator received documented counseling.

Allegation -- Case #2000-0104

A family services counselor stole money from a complainant’s home, disclosed confidential court information to the complainant’s father, and discussed the complainant’s financial assets with the complainant’s neighbors and family members.

Investigative Findings:

- The complainant retracted the allegation.
- The counselor was at a training summit when the alleged theft occurred.
- The complainant’s father received information he was entitled to from the Department under state law and agreed to keep the information confidential by signing an Affidavit of Understanding, and the father stated that the counselor did not provide him with any records or information.

Inspector General Recommendation:

None.

District response:

None.

Allegation -- Case #2000-0107

A family services counselor misused state equipment (computer) for personal use by receiving pornographic material over the Internet from an unidentified person.

Investigative Findings:

- The temporary Internet files on the counselor’s computer contained sexually explicit images downloaded from the Internet on different days and at different times.
- The counselor admitted receiving pornographic jokes and pictures on his computer from friends and relatives through his personal e-mail account, which he accessed through the Internet.
- The counselor’s supervisor provided inconsistent information to the inspectors.

Inspector General Recommendation:

District management should:

- Review the inconsistencies in the information provided to determine if corrective action is necessary.

District response:

- The counselor resigned his position.
- Information systems will perform random checks for pornography and other inappropriate Internet usage.
- A directive was distributed to all employees advising of guidelines pertaining to Internet access, which provides instructions on prohibiting unauthorized access.

Allegation -- Case #2001-0002

A systems project analyst used his position to obtain money from contracted employees under his supervision.

Other allegations included:

- An analyst instructed and approved two senior program analysts to falsify their leave and attendance records.
- An analyst used state equipment for personal business.
- A systems programming administrator and a systems project administrator were aware of the misconduct and failed to take the necessary action.

Investigative Findings:

- Witnesses suggest the analyst used his position to obtain money from contracted employees he supervised.
- A senior program analyst admitted falsifying a leave and attendance record.
- One employee admitted having problems with the analyst.
- The analyst used state equipment to prepare a work bid for personal business.

Inspector General Recommendation:

District management should:

- Address the analyst's conduct.
- Reiterate with employees that personal business activities during working hours will not be tolerated.
- Reiterate with managers and supervisors that they should not use their position to intimidate employees for personal benefit.

- Address the senior program analyst's falsified leave and attendance records.
- Provide training to supervisors concerning personnel rules and regulations on when and how to document complaints and counseling.

District response:

The investigation was recently closed and management has not yet responded to the recommendations.

Allegation -- Case #2001-0006

A family services counselor had an inappropriate relationship with the mother of Department clients resulting in the clients being at risk of abuse or neglect.

It was also alleged:

- A family services counselor falsified chronological notes in the clients' case file and falsified vicinity mileage trip logs and travel expense reimbursement.

Investigative Findings:

- A Quality Assurance review identified several instances of the counselor's failure to adhere to Department procedures, administrative code, and "best practices."
- The counselor admitted falsifying chronological notes.
- The counselor admitted to not being timely in documenting vicinity mileage trip logs.

Inspector General Recommendation:

District management should:

- Consider having district program specialists conduct a thorough review of all cases assigned to the counselor to ensure that the cases were properly managed and address the role of the counselor’s supervisor to determine why the supervisor did not recognize the errors identified by Quality Assurance.
- Take corrective action concerning the case notes, vicinity mileage trip logs, and travel expense reimbursement vouchers.
- Conduct a review of all travel records completed by the counselor and compare those records with the case files to determine if payments made to him were correct.

District response:

- The counselor resigned pending disciplinary action.
- District administration is reviewing the counselor’s cases to ensure they were properly managed.

Allegation -- Case #2001-0007

Department employees failed to report client Public Assistance Fraud.

Investigative Findings:

- Due to conflicting statements, the allegation was not supported.
- The employee failed to report her relationship with the client to her supervisor and was disruptive during the investigation.

- Staff failed to report that the interviewing clerk was the client’s sister.

Inspector General Recommendation:

District management should take action as deemed appropriate.

District response:

The investigation was recently closed and management has not yet responded to the recommendations.

Allegation -- Case #2001-0020

A family services counselor used profanity in the presence of the complainants' children and kicked a child’s car seat in which a child was seated.

Investigative Findings:

- Due to conflicting statements by the children, the allegation that the counselor used profanity in the presence of children could not be substantiated.
- A law enforcement officer and another witness stated that they did not see the counselor kick the child’s car seat.

Inspector General Recommendation:

None.

District response:

None.

LISTING OF INVESTIGATIONS BY DISTRICT

FY 2001

DISTRICT	ALLEGATION(S)
<u>District 1</u>	
1. 00-0075	An unidentified employee accessed an abuse investigation case file and provided the complainants unlisted telephone numbers to the subject of the abuse investigation. <i>Not Substantiated.</i>
2. 00-0081	A family services counselor did not conduct a thorough abuse investigation because he did not follow-up on the complainant's allegation. <i>Not Substantiated.</i>
	A family services counselor falsified a motion for review by making a false statement in the motion. <i>Not Substantiated.</i>
	A family services counselor purposefully delayed the complainant's completion of the case plan by not visiting the client monthly as required. <i>Not Substantiated.</i>
	A family services counselor did not give the complainant all court-ordered tests and delayed court-ordered psychological evaluations by not providing Department funding. <i>Not Substantiated.</i>
	A family services counselor falsified a memorandum to the court by making a false statement in the memorandum. <i>Not Substantiated.</i>
3. 01-0004	A family services counselor breached confidentiality. <i>Not Substantiated.</i>
<u>District 3</u>	
4. 00-0035	A public assistance specialist engaged in inappropriate conduct with a Department client. <i>Not Substantiated.</i>
	A public assistance specialist drinks alcohol on Department property and on state time. <i>Not Substantiated.</i>
	A public assistance specialist threatens and intimidates Department clients. <i>Not Substantiated.</i>
	A public assistance specialist interferes with prescription medications of unknown persons. <i>Not Substantiated.</i>

5. 00-0038 Department supervisory personnel instructed staff to approve public assistance benefits without verifying eligibility of clients. *Not Substantiated.*

6. 00-0044 A public assistance specialist forged the signature of a Department client on two documents. *Substantiated.*

An operations program administrator condoned the forging of the documents. *Not Substantiated.*

7. 00-0054 Department facility administration failed to take action to remove a potentially violent resident from the residential treatment program, thereby putting staff and residents in jeopardy. *Not Substantiated.*

Department facility staff in residences were not trained in Aggressive Control Techniques. *Not Substantiated.*

Some Department facility residences were not safe and are in need of repair. *Not Substantiated.*

Department facility residents have died from asphyxiation after being given a sedative on top of medications already taken and residents are being tranquilized without advising direct care staff, which often results in injury to the residents. *Not Substantiated.*

Department facility residents were restrained without medical authorization and for staff convenience, and residents are subjected to experiments that reinforce negative behavior. *Not Substantiated.*

Some Department facility employees and facilities were treated better by the Department facility administration than others. *Not Substantiated.*

Employees at a Department facility, regardless of class title, must perform the same duties. *Not Substantiated.*

Department facility employees use improper techniques to escort residents. *Not Substantiated.*

8. 00-0083 A family services counselor supervisor released confidential medical information regarding a former family services counselor to unauthorized persons. *Not Substantiated.*

A family services counselor supervisor initiated disciplinary action against a former family services counselor because the family services counselor's request for medical leave was approved. *Not Substantiated.*

A former family services counselor improperly used medical leave to campaign for public office. *Not Substantiated.*

9. 00-0086 A family services counselor was untruthful in a court proceeding. *Not Substantiated.*

A family services counselor made false statements about complainant's attendance in parenting classes. *Not Substantiated.*

A family services counselor placed client's child outside the district to prevent the complainant and client from visiting the child. *Not Substantiated.*

A family services counselor failed to use proper safety equipment when transporting the client's child and allowed the child to ride in a passenger's lap. *Not Substantiated.*

Unknown Department employees falsely wrote in an abuse report that the complainants did not report alleged abuse of the client. *Not Substantiated.*

A district administrator and program administrator wanted clients to receive a psychological evaluation and initially stated that the Department would not pay for the evaluation. *Not Substantiated.*

10. 00-0095 A district administrator failed to facilitate cooperation with the Secretary's requirement to allow a community resource director to communicate directly with the district and institutional volunteer services liaisons and to submit reports in the community resource director's requested format. *Substantiated.*

A district administrator was untruthful in statements to the Secretary regarding knowledge of the district's community services annual report. *Not Substantiated.*

A volunteer services center specialist may have been a "political fill" and not qualified for the position. *Not Substantiated.*

District 4

11. 99-0166 A Department employee used their position to influence the placement of a child during a child abuse investigation. *Not Substantiated.*

A Department employee accessed the Florida Abuse Hotline Information System to obtain personal information. *Substantiated.*

A family services counselor and a supervisor mishandled a child abuse

investigation. *Substantiated.*

12. 99-0171 Department employees inappropriately placed children in the crisis stabilization unit of a mental health resource center. *Substantiated.*

Department employees failed to remove children from the crisis stabilization unit (CSU) when advised by the CSU and Human Rights Advocacy Committee, of placement and discharge concerns of children who were ready for discharge from the CSU. *Substantiated.*

Department employees used a mental health center as a respite for a child rather than provide an appropriate placement. *Substantiated.*

Department employees failed to promptly respond, after being informed by the crisis stabilization unit (CSU) and Human Rights Advocacy Committee, to placement and discharge concerns of children who were ready for discharge from the CSU. *Substantiated.*

13. 00-0022 Department facility staff conducted football pools and "Little Lotto" on state time with state equipment. *Inconclusive.*

Department facility staff sold various items on state property and on state time. *Substantiated.*

A nurse tested positive for marijuana and was still dispensing medications while responsible for direct patient care. *Referred to another entity for investigation.*

Department facility staff used the Continuous Quality Improvement bulletin boards to advertise the sale of house furniture and an evangelist convention. *Not Substantiated.*

Department facility staff used the central supply room to sell personal items. *Not Substantiated.*

14. 00-0028 A family services counselor failed to conduct a thorough investigation into the allegation of child abuse. *Substantiated.*

A Department program manager provided unsubstantiated information to complainants. *Substantiated.*

The Department inappropriately placed asthmatic foster child in a foster home in which foster mother was a smoker. *Not Substantiated.*

A Department program manager inappropriately allowed placements of foster children in the complainant's home. *Not Substantiated.*

15. 00-0031 A family services counselor failed to contact the client or client's children in a timely manner following the receipt of an abuse report. *Substantiated.*

The case file contained fake information and a family services counselor failed to maintain adequate case notes and did not follow Department operating procedures for conducting home studies. *Not Substantiated.*

A family services counselor failed to maintain adequate case notes. *Substantiated.*

A family services counselor did not follow Department operating procedures for conducting home studies. *Substantiated.*

A family services counselor failed to comply with a shelter/detention order. *Substantiated.*

A family services counselor conducted a biased investigation. *Not Substantiated.*

A family services counselor provided false information in a shelter/detention hearing. *Not Substantiated.*

16. 00-0043 A family services counselor released confidential information. *Not Substantiated.*

17. 00-0066 A family services counselor released confidential information. *Not Substantiated.*

A Department employee was rude. *Not Substantiated.*

18. 00-0082 A family services counselor indicated that employees could claim foster children as deductions on their Federal Income Tax Return and that other employees were doing the same. *Not Substantiated.*

Complainant was forced to resign as a result of claiming foster children as deductions on Federal Income Tax Return while family services counselor and others claimed foster children on their returns, but weren't forced to resign. *Not Substantiated.*

A family services counselor supervisor covered up family services counselor's use of foster children as deductions on Federal Income Tax Return by making payment arrangements with the Internal Revenue Service and by retaining family services counselor in position. *Not Substantiated.*

A family services counselor received money from some adoptive parents

who were interested in infants and toddlers. *Not Substantiated.*

District 7

19. 00-0037 Documents were removed from a child abuse file and withheld from law enforcement and parent's legal counsel. *Not Substantiated.*

20. 00-0039 A family services counselor falsified and backdated protective services records after a child's death. *Not Substantiated.*

A family services counselor operated a personal motor vehicle to perform official duties with a suspended driver's license. *Substantiated.*

A family services counselor and a family services counselor supervisor used SunCom to make personal long-distance phone calls. *Substantiated.*

The Department reimbursed a family services counselor supervisor for unauthorized calls on a personally owned cellular phone. *Substantiated.*

A family services counselor supervisor failed to report an incident of alleged child abuse. *Substantiated.*

A family services counselor falsified home visit records and travel vouchers by claiming visits with a client after the client moved to another state. *Not Substantiated.*

A family services counselor transported clients to another state and stayed longer than necessary at Department expense to visit a friend. *Not Substantiated.*

A family services counselor operated an uninsured personal motor vehicle while performing official duties. *Substantiated.*

A family services counselor and a family services counselor supervisor used Department vouchers to purchase items for personal use. *Not Substantiated.*

A family services counselor supervisor used SunCom to make personal long-distance phone calls. *Substantiated.*

A family services counselor showed favoritism by hiring a friend. *Not Substantiated.*

A family services counselor supervisor and two family services counselors falsified their attendance and leave records. *Not Substantiated.*

A family services counselor used a Department voucher to place her grandchild in an at-risk day care facility, at Department expense, without authorization. *Not Substantiated.*

21. 00-0041 A public assistance specialist made inappropriate statements to a client and harassed the client at the client's place of employment. *Substantiated.*

A public assistance specialist entered false information into a client's economic self-sufficiency record to deny benefits. *Inconclusive.*

A public assistance specialist made inappropriate statements to two separate clients. *Substantiated.*

22. 00-0052 A public assistance specialist acted inappropriately with two separate clients. *Substantiated.*

A public assistance specialist contacted clients after being instructed not to have any contact with clients. *Substantiated.*

23. 00-0053 A family services counselor supervisor made false statements in an attempt to justify the dismissal of an employee. *Substantiated.*

24. 00-0061 A family services counselor and a family services counselor supervisor failed to comply with court orders regarding contact with two children by relatives. *Substantiated.*

25. 00-0062 A family services counselor falsified attendance and leave records and a family services counselor supervisor certified the records knowing they were false. *Substantiated.*

A family services counselor falsified travel vouchers and a family services counselor supervisor certified the vouchers knowing they were false. *Substantiated.*

A family services counselor falsified client visitation records. *Not Substantiated.*

A family services counselor supervisor and a family services counselor left work early, but claimed they stayed until the regular quitting time. *Not Substantiated.*

26. 00-0064 A family services counselor and family services counselor supervisor failed to comply with a court order prohibiting the use of the term "shaken baby." *Not Substantiated.*

A family services counselor and family services counselor supervisor

failed to comply with a court order prohibiting the release of the complainant's prior psychological evaluations to a psychiatrist before the psychiatrist evaluated the complainant. *Not Substantiated.*

A family services counselor and family services counselor supervisor failed to comply with a court order that directed the Department to release the complainant's children's medical records to the complainant. *Not Substantiated.*

27. 00-0067 A family services counselor breached confidential information on two separate occasions. *Substantiated.*

28. 00-0071 A public assistance specialist supervisor falsified a review and performance planning data sheet. *Not Substantiated.*

29. 00-0078 A public assistance specialist or senior public assistance specialist breached confidential information. *Not Substantiated.*

30. 00-0084 A family services counselor breached confidentiality. *Not Substantiated.*

A family services counselor used illegal drugs with an alleged perpetrator of a child abuse report. *Not Substantiated.*

31. 00-0088 A clerk specialist falsified a shelter verification for a client. *Not Substantiated.*

32. 00-0090 A family services counselor made a false police report against a parent of Department clients. *Not Substantiated.*

33. 00-0092 A family services counselor breached confidentiality. *Not Substantiated.*

34. 00-0093 A family services counselor breached confidentiality. *Not Substantiated.*

35. 00-0097 A family services counselor had a friendship with a client's mother that resulted in a biased child abuse investigative report finding. *Not Substantiated.*

A family services counselor withheld information from the child protection team and law enforcement. *Not Substantiated.*

36. 00-0099 A family services counselor made false statements to the court and police. *Not Substantiated.*

A family services counselor suppressed relevant information. *Not Substantiated.*

A family services counselor provided false information to the court concerning two separate clients. *Not Substantiated.*

A family services counselor fought and used profane language to a witness. *Not Substantiated.*

37. 00-0101 A senior public assistance specialist personally used clients' debit cards in return for providing better services. *Not Substantiated.*

38. 01-0023 A Department volunteer accessed a client's file and breached confidentiality. *Not Substantiated.*

A Department volunteer obtained a charge card with personal information obtained from a client's case file. *Not Substantiated.*

A Department volunteer stole gas cards from a center. *Not Substantiated.*

39. 01-0025 A family services counselor falsified a shelter petition. *Not Substantiated.*

40. 01-0027 A public assistance specialist breached confidential information. *Not Substantiated.*

A public assistance specialist is a drug user and dealer. *Not Substantiated.*

41. 01-0036 A family services counselor breached confidentiality. *Not Substantiated.*

District 8

42. 00-0048 A Department operations and programs manager directed a family services counselor to investigate alleged child abuse when no abuse report was made. *Not Substantiated.*

A Department operations and programs manager made derogatory remarks about the complainant to other employees. *Not Substantiated.*

A Department operations and programs manager directed efforts to fire an employee without cause. *Not Substantiated.*

43. 00-0055 A family services counselor appeared on a pornographic videotape. *Not Substantiated.*

A family services counselor, responsible for transporting children, may not have automobile insurance or a license plate on a personal auto. *Referred to another entity for investigation.*

44. 00-0068 A family services counselor falsified information in an abuse report. *Substantiated.*

45. 00-0106 A family services counselor failed to report alleged child abuse to the Florida Abuse Hotline Information System. *Not Substantiated.*

A provider counselor I visitation aide failed to report alleged child abuse to the abuse hotline. *Substantiated.*

A provider family visitation services program supervisor directed a provider counselor I visitation aide not to report the alleged child abuse to the abuse hotline. *Not Substantiated.*

46. 01-0035 A family services counselor breached confidentiality. *Not Substantiated.*

District 9

47. 99-0160 Medical counseling service records of a service provider were falsified. *Not Substantiated.*

48. 00-0030 A family services counselor omitted information in a shelter petition that the complainant denied telling the police that she wanted to abandon a child. *Substantiated.*

A family services counselor misused authority and falsified parts of a shelter petition to justify actions. *Not Substantiated.*

A family services counselor reported false information and failed to sufficiently investigate the alleged abuse of a child. *Substantiated.*

A family services counselor failed to conduct home studies, including criminal background checks, on relatives with whom children were placed. *Not Substantiated.*

A family services counselor failed to conduct a home study. *Not Substantiated.*

A family services counselor withheld information from a court. *Not Substantiated.*

49. 00-0042 A human services specialist breached confidentiality. *Substantiated.*

50. 00-0077 An adult and economic services program administrator favored a friend in awarding a training contract. *Not Substantiated.*

51. 00-0085 An administrative assistant bought T-shirts through the state purchasing

system, sold half of them to employees, and kept the money for his personal use. *Not Substantiated.*

A former district administrator and deputy district administrator knew that the administrative assistant bought T-shirts through the state purchasing system, sold them to employees, and kept the money for personal use. *Not Substantiated.*

An administrative assistant did not pay for personal, long distance phone calls made using SunCom. *Substantiated.*

An administrative assistant inappropriately used the Internet while on duty. *Substantiated.*

An administrative assistant and a public information officer falsified attendance and leave records. *Not Substantiated.*

Unidentified Department employees in the district administration section falsified their attendance and leave records. *Not Substantiated.*

52. 00-0100 A family safety program manager hired an employee knowing that the applicant had falsified the employment application. *Substantiated.*

A deputy district administrator failed to take appropriate corrective action after becoming aware that an employee falsified an employment application. *Not Substantiated.*

53. 01-0001 A family services counselor falsified the Verified Petition for Adjudication of Dependency. *Not Substantiated.*

A family services counselor falsified an Emergency Motion to prohibit contact between the complainant and her children. *Not Substantiated.*

A family services counselor sheltered the complainant's children without justification under pressure from the State Attorney's Office. *Not Substantiated.*

A family services counselor failed to comply with a court order granting the complainant visitation with her children. *Not Substantiated.*

A family services counselor failed to conduct a home study of the complainant's brother. *Not Substantiated.*

54. 01-0008 A family services counselor breached confidentiality. *Not Substantiated.*

55. 01-0012 A family services counselor breached confidentiality. *Not Substantiated.*

56. 01-0030 A former family services counselor supervisor falsified a supervisory review of a case file for an abuse report. *Inconclusive.*

A former family services counselor supervisor falsified a supervisory review of a case file for an abuse report. *Inconclusive.*

A former family services counselor supervisor falsified a supervisory review of a case file for an abuse report. *Inconclusive.*

A former family services counselor supervisor falsified information concerning the reason she did not conduct a supervisory review of a case file for an abuse report in a timely manner. *Inconclusive.*

A former family services counselor supervisor falsified a supervisory review of three case files for three abuse reports. *Not Substantiated.*

A former family services counselor supervisor falsified a supervisory review of two protective case files for two abuse reports. *Not Substantiated.*

A former family services counselor falsified chronological notes regarding an interview with the alleged victim's sibling in the case file for an abuse report. *Not Substantiated.*

A former family services counselor falsified chronological notes concerning the condition of the client's home for an abuse report. *Not Substantiated.*

A former family services counselor falsified the commencement date in the chronological notes for an abuse report. *Not Substantiated.*

A former family services counselor falsified a date in the chronological notes for an abuse report. *Not Substantiated.*

A former family services counselor falsified several entries in the chronological notes for an abuse report. *Not Substantiated.*

Department staff failed to protect Family Safety files from access by former employees and employees notified of impending dismissal. *Substantiated.*

District 10

57. 99-0175 The Department placed a client into a center without providing the facility the necessary information concerning the client's special needs, which

jeopardized the safety of the client and other clients in the facility. *Substantiated.*

58. 20-0001 Two family services counselors, a provider foster care worker, and a provider mental health clinic therapist failed to report a foster child's abusive behavior. *Substantiated.*

A family services counselor supervisor and former family services counselor retaliated against a complainant. *Not Substantiated.*

Two family services counselors failed to provide the child resource record for the foster child to the complainant until months after the foster child's placement. *Substantiated.*

A former family services counselor asked the complainant to lie to auditors regarding the child resource record. *Not Substantiated.*

A former family services counselor refused to investigate additional allegations of abuse involving the foster child. *Inconclusive.*

59. 00-0006 A family services counselor failed to protect the complainant's child from alleged abuse. *Substantiated.*

A family services counselor, a family services counselor supervisor, and a Broward County child protection team case coordinator failed to protect the complainant's child from alleged abuse. *Not Substantiated.*

A family services counselor provided false information to the Broward County child protection team and the 17th Judicial Court, in and for, Broward County, Florida. *Not Substantiated.*

An unknown Department employee provided false information to the State Attorney's Office. *Not Substantiated.*

60. 00-0008 A family services specialist, a family services counselor, and a family services counselor supervisor failed to return telephone calls from a hospital case manager regarding the medical condition of a critically ill Department client. *Not Substantiated.*

61. 00-0015 A family services counselor supervisor falsified an application to obtain funds from the Temporary Assistance for Needy Families (TANF) program. *Substantiated.*

A family services counselor supervisor created a fraudulent record for another family services counselor supervisor's child in the client information system. *Substantiated.*

62. 00-0032 Unknown persons used Department computers to access pornographic Internet web-sites. *Substantiated.*

District employees allowed children access to their Department computers to play computer-installed games. *Substantiated.*

63. 00-0069 A planner IV authorized the misappropriation of funds. *Substantiated.*

64. 00-0080 Unknown Department employees displayed inappropriate and unprofessional behavior. *Referred to another entity for investigation.*

65. 00-0105 A public assistance specialist supervisor and a wages counselor, with an independent management services, made false statements about the complainant to an Appeal Hearings Officer during an Administrative Hearing. *Not Substantiated.*

66. 00-0107 A family services counselor misused state computer equipment for personal use by receiving pornographic material over the Internet from an unidentified person. *Substantiated.*

67. 01-0005 A program operations administrator breached confidentiality. *Not Substantiated.*

A public assistance specialist failed to issue Food Stamps to the complainant. *Not Substantiated.*

The Department's computer files contained false information regarding the complainant's Food Stamp allotment on three different occasions during 1998. *Not Substantiated.*

68. 01-0042 A family services counselor committed fraud by providing false information to obtain subsidized childcare for her neighbor and daughter. *Referred to another entity for investigation.*

District 11

69. 99-0112 Department management failed to take action to protect a child after being informed of possible abuse that might occur. *Not Substantiated.*

Department management failed to take appropriate action when notified that a person made a false abuse report. *Not Substantiated.*

Department management failed to properly investigate a child abuse case. *Not Substantiated.*

70. 99-0142 Department staff failed to comply with a court order. *Not Substantiated.*

71. 00-0009 A family safety program administrator instructed a social services program manager to improperly grade field-based performance assessment tests. *Not Substantiated.*

A family safety program administrator retaliated against a social services program manager by denying sick and annual leave for refusing to improperly grade field-based performance assessment tests. *Not Substantiated.*

A family safety program administrator retaliated against a social services program manager by reassigning the manager to a position for which the manager was unqualified and could be terminated from for failing to perform satisfactorily because the manager refused to improperly grade field-based performance assessment tests. *Not Substantiated.*

72. 00-0012 Department employees or child protection team employees breached confidential information. *Not Substantiated.*

73. 00-0070 A provider director for residential and foster care services instructed a staff therapist to retroactively complete and backdate client treatment plan review forms for client reviews that never occurred. *Not Substantiated.*

74. 00-0079 Two public assistance specialists distributed political campaign literature on state property. *Not Substantiated.*

75. 01-0003 A former aging and adult investigator stole checks from a Department client, and gave the checks to his friend who forged and cashed the checks. *Not Substantiated.*

76. 01-0011 A program administrator supervised a relative. *Substantiated.*

77. 01-0015 A former public assistance specialist accessed the Florida On-Line Recipient Integrated Data Access (FLORIDA) System and obtained confidential information for personal use. *Substantiated.*

A public assistance specialist used the FLORIDA mail message function to send unsolicited personal comments to another public assistance specialist. *Substantiated.*

78. 01-0028 Fraudulent documents were used to qualify children for childcare services. *Referred to another entity for investigation.*

A provider childcare center fraudulently billed another provider for children's services that were not provided. *Referred to another entity for investigation.*

A former provider supervisor offered a bribe to another provider counselor to complete an application for childcare services for children the counselor never saw. *Referred to another entity for investigation.*

A former provider employee admitted to accepting a bribe to falsify applications for childcare for children to attend a provider childcare center. *Referred to another entity for investigation.*

District 12

79. 00-0049 A provider failed to satisfy the required staff-to-client ratio. *Substantiated.*

It was alleged that a provider's employees failed to make a child abuse report after observing a client's injuries. *Substantiated.*

80. 00-0056 A family services counselor accessed and misused child support enforcement records for personal use. *Not Substantiated.*

81. 00-0059 Two family services counselors breached confidentiality. Not substantiated due to conflicting statements. *Not Substantiated.*

82. 00-0076 A family services counselor failed to contact the victim in a child protective investigation. *Not Substantiated.*

83. 00-0089 A protective investigator breached confidentiality. *Substantiated.*

A program operations administrator of adult services and investigations accepted gifts from a relative of a Department client. *Not Substantiated.*

District 13

84. 99-0095 A provider employee failed to have the child seen by a physician on a regular basis and failed to ensure the foster parent maintain the strict dietary requirements needed for the child's continued well-being. *Not Substantiated.*

85. 99-0128 The Department failed to file a petition for dependency within the required statutory time frame following the sheltering of the complainant's two children. *Substantiated.*

A senior attorney made an incorrect statement in a Lake County Court. *Substantiated.*

A family services counselor inappropriately placed a child in foster care. *Not Substantiated.*

The Department failed to conduct a home study on the maternal grandmother as ordered by the Court in a Shelter Hearing. *Not Substantiated.*

A positive home study conducted on the paramour's family was lost, resulting in the children not being placed there. *Not Substantiated.*

The Department failed to comply with a Shelter Order. *Not Substantiated.*

A family services counselor failed to provide an arranged visit between the complainant and the children. *Substantiated.*

The Department placed the complainant's children with the paternal grandparents despite a criminal background check that included Domestic Violence charges against the paternal grandfather. *Not Substantiated.*

The Department took no action to provide for the safety of the children despite an abuse report received by the Florida Abuse Hotline Information System alleging injuries to the children. *Not Substantiated.*

The Department failed to comply with a Demand for Discovery within the statutory time frame. *Substantiated.*

The Department failed to provide the complainant with a case plan within the statutory time frame of 60 days following the removal of the children. *Substantiated.*

The Department and provider counselors failed to visit the complainant's children while in either foster care or in the care of the paternal grandparents. *Substantiated.*

The Department failed to consider information from one physician who stated that child one's injury was consistent with an accident and relied totally on a report from a child protection team physician who was not certain how the injuries occurred. *Substantiated.*

A former family services counselor's actions and demeanor toward the complainant and others were rude and unprofessional. *Substantiated.*

86. 99-0169 A family services counselor breached confidentiality. *Not Substantiated.*

A public assistance specialist, a public assistance specialist supervisor, a senior public assistance specialist, and a family services counselor supervisor failed to take action when provided information regarding fraudulent receipt of public assistance. *Not Substantiated.*

A family services counselor supervisor failed to interview the victims of the alleged abuse, failed to obtain documentation of collaterals from the State of New York and falsified documented contacts with neighbors during an abuse investigation. *Not Substantiated.*

87. 00-0011 A family services counselor verbally threatened the complainant in front of witnesses. *Not Substantiated.*

A family services counselor provided the Circuit Court with false information in a petition for dependency. *Not Substantiated.*

A family services counselor failed to interview neighbors or collateral contacts during an abuse investigation. *Not Substantiated.*

A family services counselor failed to report to the court that the complainant's former spouse was living with a paramour who had a criminal history. *Not Substantiated.*

88. 00-0046 A family services counselor failed to properly investigate three child abuse reports. *Substantiated.*

A family services counselor falsified information on the Uniform Child Custody Jurisdiction Act Form. *Not Substantiated.*

A family safety specialist falsified a consent for medical treatment form. *Not Substantiated.*

Department employees were notified by the complainant of the alleged sexual abuse of the complainant's child and the employees failed to tell the complainant to report the alleged abuse to the Florida Abuse Hotline Information System. *Not Substantiated.*

A family services counselor falsified the final investigative report for an abuse report. *Inconclusive.*

A family services counselor falsified a Shelter Petition. *Not Substantiated.*

A family services counselor falsified the chronological notes in the complainant's Department case file. *Substantiated.*

A family services counselor falsified a home study. *Not Substantiated.*

89. 00-0057 A family services counselor failed to complete a thorough investigation and removed the complainant's child without justification. *Substantiated.*

The Department sheltered a child in a setting that would not provide

appropriate mental health treatment to meet a child's special needs. *Substantiated.*

Department employees refused to respond to a Motion for Discovery filed by the complainant's attorney. *Referred to another entity for investigation.*

A family services counselor failed to show for a deposition when subpoenaed by the complainant's attorney. *Referred to another entity for investigation.*

A family services counselor gave false testimony regarding the medical condition of the client in a court proceeding. *Referred to another entity for investigation.*

90. 00-0063 A family services counselor supervisor alleged sexual abuse. *Not Substantiated.*

91. 01-0019 A family services counselor breached confidential information and failed to conduct a thorough investigation. *Substantiated.*

92. 01-0022 A provider billed the Department for therapeutic services that were not provided. *Not Substantiated.*

Provider staff members were directed to falsify Medicaid billing documents. *Not Substantiated.*

Provider employees reported to work under the influence of alcohol. *Substantiated.*

District 14

93. 00-0047 Two family services counselors submitted a shelter petition to the court that contained false information. *Substantiated.*

An unknown Department employee submitted a judicial review report to the court containing false information. *Substantiated.*

A verified petition alleging dependency contained false information and two dependency petitions containing the same information were submitted to the court on different dates. *Not Substantiated.*

94. 00-0102 Unknown district foster care licensing unit employees breached confidential information. *Not Substantiated.*

Unknown district foster care licensing employees accepted bribes. *Not Substantiated.*

A family services counselor made false statements to the complainant regarding the receipt of his FBI background check. *Not Substantiated.*

95. 01-0006 A family services counselor had an inappropriate relationship with the mother of Department clients. *Not Substantiated.*

A family services counselor falsified chronological case notes in the clients' case file. *Substantiated.*

96. 01-0007 Department employees failed to report client public assistance fraud. *Not Substantiated.*

97. 01-0009 A paralegal specialist showed favoritism and was involved in a conflict of interest for exclusively using her husband to provide services for her office. *Not Substantiated.*

98. 01-0031 A family services counselor falsified leave and attendance records and travel reimbursement vouchers. *Not Substantiated.*

District 15

99. 00-0065 A family services counselor supervisor committed perjury. *Referred to another entity for investigation.*

A family services counselor supervisor and a family services specialist conspired to improperly remove children from a parent's custody. *Referred to another entity for investigation.*

100. 00-0074 A family services specialist has a criminal history. *Not Substantiated.*

101. 01-0020 A family services counselor used profanity in the presence of the complainants' children. *Not Substantiated.*

A family services counselor kicked a child's car seat in which a child was seated. *Not Substantiated.*

102. 01-0029 A family services counselor threatened to remove the complainant's children if the complainant did not sign temporary guardianship papers for the children. *Not Substantiated.*

A family services counselor requested the out of state placement parent to tape record telephone conversations between the complainant and the child without the complainant's knowledge and consent. *Not Substantiated.*

Headquarters

103. 99-0017 A senior management analyst II submitted a Department purchase request for one reason and used it for another. *Referred to another entity for investigation. Substantiated.*

A senior management analyst II received a check from a church fund made payable to the analyst for reasons unknown. *Referred to another entity for investigation. Substantiated.*

A senior management analyst II received a check from a bishop for services rendered as a token of appreciation. *Referred to another entity for investigation. Substantiated.*

A senior management analyst II received a check from a church fund made payable to the analyst for reasons unknown. *Referred to another entity for investigation. Substantiated.*

A senior management analyst II received a check from an urban league as a stipend for attending a dinner as a speaker. *Referred to another entity for investigation. Substantiated.*

A senior management analyst II received one check each from four church funds made payable to the analyst for reasons unknown. *Referred to another entity for investigation. Substantiated.*

An invoice indicates a senior management analyst II was paid for providing technical training and hotel and airfare. *Referred to another entity for investigation. Substantiated.*

A senior management analyst II submitted a Department purchase request for one reason for which the analyst had the hotel add additional charges not noted in the original purchase request. *Referred to another entity for investigation. Substantiated.*

A senior management analyst II falsified a travel voucher. *Referred to another entity for investigation. Substantiated.*

A senior management analyst II received a cashier's check from a reverend made payable to the analyst and deposited the check in a personal account, for reasons unknown. *Referred to another entity for investigation. Substantiated.*

A senior management analyst II received two checks from a reverend made payable to the analyst for OCOC. *Referred to another entity for investigation. Substantiated.*

A senior management analyst II submitted a Department purchase request for one reason and used it for another. *Referred to another entity for investigation. Substantiated.*

A senior management analyst II received two checks from a reverend, made payable to the analyst, and did not note the purpose of the expenditure. *Referred to another entity. Substantiated.*

A senior management analyst II received a check from a family services counselor made payable to the analyst for reasons unknown. *Referred to another entity for investigation. Substantiated.*

A senior management analyst II received a check from a church, made payable to the analyst, and did not note the expenditure's purpose. *Referred to another entity for investigation. Substantiated.*

104. 00-0060 An administrative assistant, under the direction of a senior management analyst II instructed administrative secretaries to not date stamp an employment application. *Not Substantiated.*

105. 00-0094 An other personal services public assistance trainee falsified an Application for Emergency Financial Assistance for Housing submitted by a client. *Not Substantiated.*

An other personal services public assistance trainee falsified an Application for Emergency Financial Assistance for Housing submitted by a second client. *Not Substantiated.*

106. 01-0002 A systems project analyst used the position to obtain money from contracted employees he supervised. *Substantiated.*

A systems project analyst instructed and approved two senior program analysts to falsify their leave and attendance records. *Inconclusive.*

A systems programming administrator and systems project administrator were aware of the employees' concerns about alleged misconduct of systems project analyst and failed to take action. *Not Substantiated.*

A systems project analyst used state equipment for personal business. *Substantiated.*

107. 01-0024 A senior management analyst improperly used annual leave and improperly contracted with the Department as a consultant providing training to Department employees. *Not Substantiated.*

108. 01-0049 An inspector specialist requested and received a copy of a relative's file

when he represented himself as conducting an investigation for the Department office and improperly released the confidential case file to an unauthorized person. *Substantiated.*

Suncoast Region

109. 00-0104 A family services counselor stole money from a complainant's home. *Not Substantiated.*

A family services counselor disclosed confidential court information to the complainant's father. *Not Substantiated.*

A family services counselor discussed the complainant's financial assets with the complainant's neighbors and family members. *Not Substantiated.*

110. 00-0051 A family services counselor entered a complainant's residence without permission and photographed rooms the complainant denied her permission to enter. *Substantiated.*

111. 00-0024 A family services counselor prepared probable cause affidavit for shelter hearing that contained false information and gave a false testimony at the hearing. *Not Substantiated.*

A family services counselor failed to comply with a court order. *Not Substantiated.*

A family services counselor made false criminal allegations against complainant. *Not Substantiated.*

112. 00-0029 A former district administrator covered up an insufficient child protective investigation and insufficient protective services. *Not Substantiated.*

113. 00-0033 A human services counselor III misused the position to exploit an elderly client for personal gain. *Not Substantiated.*

114. 00-0050 A family services counselor falsified information in an amended petition for adjudication of dependency that was filed with the court. *Substantiated.*

115. 00-0058 A family services counselor supervisor falsified client contact reports. *Not Substantiated.*

A family services counselor supervisor and other employees viewed pornographic movies during lunch breaks. *Not Substantiated.*

A family services counselor supervisor and other employees left work

early to go to strip clubs. *Not Substantiated.*

116. 00-0073 An operations program administrator gave false information to the local police department concerning an alleged child abuse report. *Substantiated.*

117. 00-0087 A family services counselor breached confidentiality. *Not Substantiated.*

118. 00-0096 A family services counselor gave false testimony at a court hearing and admitted the false testimony in a conversation after the court hearing. *Not Substantiated.*

A family services counselor filed documents with the court that contained false information. *Not Substantiated.*

119. 00-0103 A family services counselor falsified an abuse report. *Not Substantiated.*

A family services counselor falsified the Affidavit in Compliance With Uniform Child Custody Jurisdiction Act prepared for the Circuit Court. *Not Substantiated.*

Section C: Office of Internal Audit

As authorized pursuant to Chapter 20, Florida Statutes (F.S.), internal auditing encompasses the examination and evaluation of the adequacy and effectiveness of the organization's system of internal controls and the quality of performance. To achieve this mandate, internal auditors review:

- reliability and integrity of financial and operating information;
- systems established to ensure compliance with required guidelines;
- means of safeguarding assets; and,
- economy and efficiency with which resources are employed.

During Fiscal Year (FY) 2001, the Office of Internal Audit participated in:

- preparation of an Annual Department Audit Plan and Risk Assessment;
- contract audits;
- information systems audits;
- performance audits;
- responses to external audit reports;
- management reviews; and
- assessments of performance measures.

During FY 2001, the office was staffed at 17 positions comprised of 1 director, 15 professional, and 1 administrative support staff, all located in Tallahassee. Four positions were assigned to conduct performance audits, four to management reviews, three to contract audits, four to information systems audits, and one to staff support.

Internal Audit Qualifications

Staff had the following certifications:

- Four were Florida Certified Public Accountants, four were Certified Internal Auditors, one was a Certified Government Financial Manager, and one was a Certified Inspector General.
- Nine had graduate degrees and seven had ten plus years of auditing experience.
- The Department had a sustaining organization membership with the Institute of Internal Auditors.
- Staff participated in various professional organizations and attended training seminars to comply with the continuing education requirements of the Government Auditing Standards and the Standards for the Professional Practice of Internal Auditing.

During FY 2001, Internal Audit conducted ad hoc assignments from the Central Office, districts, Auditor General, Legislature, and Federal auditors.

Audit Plans

The Audit Plan for Fiscal Year 2002 is in the process of being completed and will serve as the basis for audit selection and assignments. Audit assignments are allocated to functional areas, such as performance, contract, or information systems audits, in proportion to the number of assigned staff.

The risk assessment portion of the Audit Plan will be completed during the first quarter of FY 2002 and the Audit Plan shortly thereafter.

Figure C.1 shows the broad range of audit coverage provided to the Department. Figure C.2 shows the distribution of requests by program area.

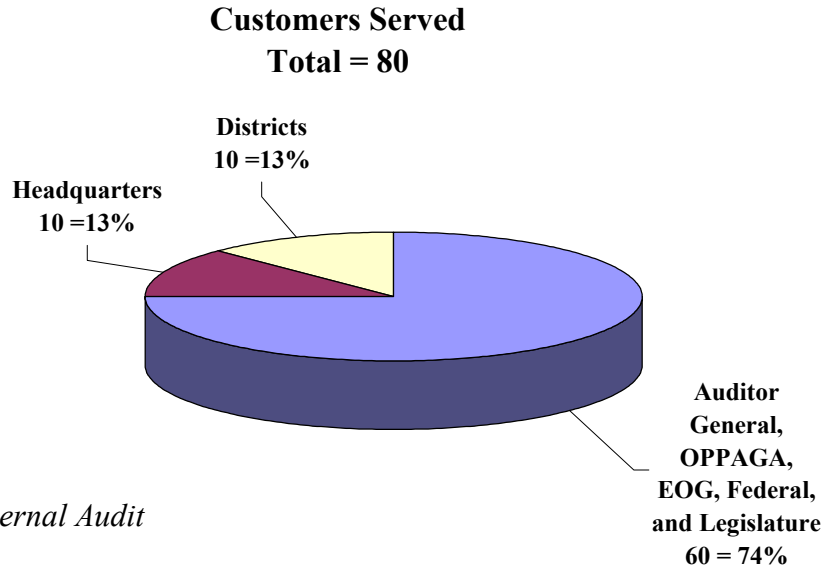


Figure C.1
Source: Office of Internal Audit

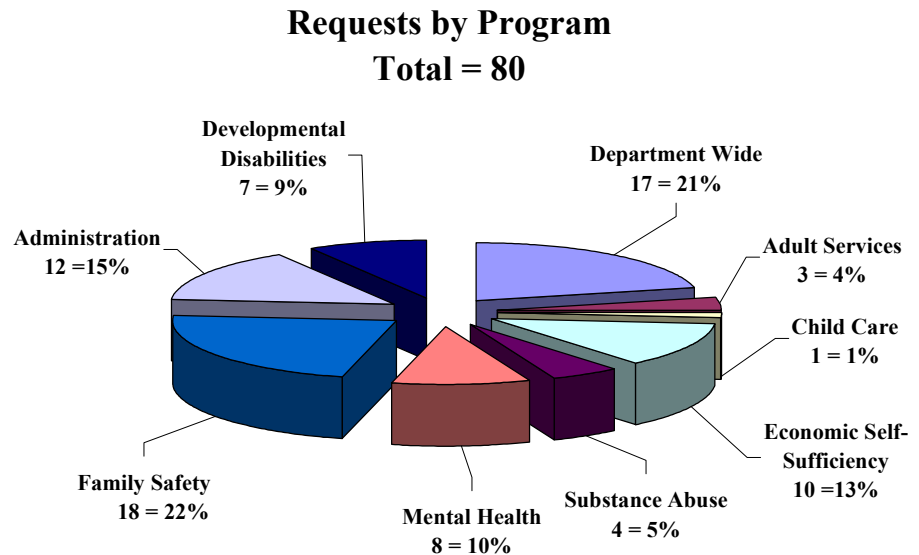


Figure C.2
Source: Office of Internal Audit

Contract Audit

The contract audit unit is responsible for audits and reviews of the Central Office and district client services contracts. Periodic Department risk assessments and specific written requests from management are the primary means by which programs or contracts are identified for audit or review.

Contract Audit and Review Highlights

The following are highlights of major projects that the contract audit unit participated in during FY 2001.

Management Review 01-10-M: Creative Services, Incorporated.

Allegation: Possible fraud with contract provider, Creative Services, Inc.

Review Findings:

- A contract was amended without prior approval from the Department.
- Cost reimbursements were identified that total \$2,043 for items not used appropriately.
- A subcontractor did not provide supporting documentation for some invoices.
- Department personnel did not monitor the construction of a shelter addition.

Inspector General Recommendation:

- Providers should require subcontractors to submit original documentation when requesting reimbursement. Once

verified, original documentation may be returned to the subcontractors.

- Creative Services, Inc. should refund \$2,043 to the Department for cost reimbursed, but not expended.
- District 13 administration should implement procedures to ensure that:
 - Construction subcontracts are reviewed and approved before being awarded and all subcontracts contain the required Federal clauses per Children and Families Operating Procedure 75-2.
 - Required actions, including monitoring of construction, are carried out for all contractual and subcontractual agreements.
 - Each contract should have contract manager at all times who performs the appropriate procedures.

Auditee Response:

- Creative Services, Inc. cost reimbursement contract was terminated and \$2,043 was reimbursed to the Department.
- Contract management and contract administration will scrutinize future cost reimbursement contracts.
- Future District 13 cost reimbursement contracts will contain language requiring original documentation from sub-contractors.
- Current fiscal year contracts contain language requiring reviews and approval of sub-contracts.
- A procedure was implemented to ensure thorough monitoring of all cost reimbursement contracts to include a physical inventory and review of

construction activities and completed product.

- Contracts will have an assigned contract manager.

Review of Contract with Florida State University Center for Community Enhancement and Educational Development Contract Number MJ947

Allegation: The Department did not adequately define services included in a contract with the provider. Costs associated with this contract were more than four times the cost of having the service rendered by Department personnel.

Review Findings:

- The documentation examined did not support the allegation.
- The services provided by the contractor were substantially different and more comprehensive than the services previously performed by Department personnel.

Inspector General Recommendation:

None.

Review of Foundation for Learning License

Allegation: Foundation for Learning employees are withdrawing money from accounts of developmentally disabled children and keeping the money for themselves.

Review Finding:

- The documentation examined did not support the allegation.

Inspector General Recommendation:

None.

Management Review of Contracts with Shepherd Care Ministries Contract Numbers YMJ41, YMJ54, and YMJV6

Allegation: Shepherd Care Ministries places children in one adoption home, receives payment, and then places the same children in another adoption home and again receives payment.

Review Finding:

- The documentation examined did not support the allegation.

Inspector General Recommendation:

None.

Review of Contracts Pertaining to Fatherhood Commission Contract Numbers MJ939, MJ027 and COHA8

Allegation: The Fatherhood Commission, under Ounce of Prevention, bills multiple agencies for the same services.

Review Finding:

- The documentation examined did not support the allegation.

Inspector General Recommendation:

None.

Review of Contracts with Ounce of Prevention Fund of Florida, Inc. Contract Numbers MH649, MJ939, MJ027 and COHA8

Allegation: The Department awarded a contractor a single source contract in violation of §287.957, F.S., by not following competitive bid requirements.

Review Findings:

- None of the contract files examined contained documentation indicating that the Ounce of Prevention Fund of Florida was the only provider that could provide the contracted services. The lack of documentation is evidence of non-compliance with Department policy regarding these types of contracts.

Inspector General Recommendation:

- In future contracts with Ounce of Prevention Fund of Florida, the contract files maintained by the Department should contain written documentation that the contractor is the only provider that can meet the requirements of the contract provisions.

Information Systems Audit

The objectives of the information systems audit unit are to: provide an independent appraisal of the Department's security

program and operational control of data and information technology resources and to assist management by reviewing information systems for compliance with applicable rules, regulations, and procedures. These objectives are accomplished through audits of statewide and district information systems. The information systems audit unit was comprised of four positions: a computer audit supervisor, a senior management analyst I, and two computer audit analysts.

Information Systems Audit Highlights

The following are highlights of the audits and projects that information systems audit staff participated in during FY 2001.

Audit A-01-01: Acquisition and Use of Information Technology Consultants

Purpose: The Chief Inspector General, Executive Office of the Governor, requested an audit concerning Acquisition and Use of Information Technology Consultants for the period July 1, 1998 through March 31, 2000. This was one of eight audits performed concurrently as part of a multi-agency team effort.

Audit Findings:

- The contract file did not contain documentation to support why a contract for approximately \$1.9 million was awarded in August 1997 to the 15th-ranked bidder, Unisys Corporation.
- The Department's internal agency contracts generally did not refer to their being issued under the authority

of a State Term Contract. They also did not include the State Term Contract as an attachment and did not state that, in the event of a conflict, the State Term Contract takes precedence.

- Contracts for the Information Technology Consultant services were awarded without approval or completed Information Resource Requests.
- Documentation substantiating the basis of vendor selection could not be located for two of the eight contracts reviewed. The basis of vendor selection for a third contract was not documented until after the contract was executed.
- Conflict of Interest Questionnaires were not prepared as required for five of the eight contracts reviewed.

- all sections of the Information Resource Requests (including receive appropriate approvals prior to initiating the acquisition process).
- Department policy requiring timely documentation of the provider selection process in the contract manager’s provider procurement file.
- statutory and Department requirements. Selection teams of at least three employees should be used for all procurements by Request For Proposal. The appropriate individuals should timely complete Conflict of Interest Questionnaires and maintain them in the contract manager’s provider procurement file.

Inspector General Recommendations:

- Procurements by Invitations To Bid should comply with statutory and Department policy by adequately documenting the decision process and the records should be maintained in the contract manager’s file.
- The Department should proceed with acquiring Information Technology consultant services from State Term Contract vendors by one of the following methods:
 - competitively procure the services as specified in §287.057, F.S.
 - use a Department contract; or
 - use and modify (as allowed), a State Term Contract to procure services.
- Information Systems staff should complete and comply with:

Auditee Response:

- Information Systems will include, in the contract manager’s file, documentation of the decision process for each “rate contract.”
- Competitive procurements will continue to be used, where appropriate. Information Systems will incorporate language in their contracts to specifically identify the State Term Contract Form used for procurement.
- Information Systems will review Information Resource Requests for completeness and ensure appropriate signatures are in place before executing a contract.
- Information Systems instituted new efforts related to State Term Contracts to document the decision process in the contract manager’s file.
- Information Systems will have Conflict of Interest Questionnaires signed

and included in the contract manager's file for decision-making participants.

Audit A-01-02: District 13's Security of Data and Information Technology Resources

Purpose: To evaluate the adequacy and effectiveness of information systems security policies and procedures in District 13.

Audit Findings:

- After termination of employment, 7 of 30 (23 percent) former employees sampled did not have their standard information systems access revoked to the district's network.
- One of the seven employees, as well as two additional employees did not have Client Information System user identifications revoked after more than 6 months from date of termination.
- Of 58 employees' personnel files examined, approximately 10 percent of the required documentation evidencing compliance with statutory and Department security requirements could not be located.

Inspector General Recommendations:

- Central Human Resources and Information Systems staff should jointly adopt and implement policies and procedures regarding the security requirements for new, reassigned, or terminated Department employees who have access to systems for which Information Systems is the custodian.
- District 13 Human Resources should ensure that:

- hiring authorities complete the required reference checks before extending offers to potential employees;
- verifications are placed in employee personnel files;
- supervisors of new employees should timely complete the orientation checklist; submit required documents, including signed Loyalty Oaths and fingerprints; and ensure documents are put into employee personnel files.
- New employees promptly attend New Employee Orientation, including security awareness training. Upon completion of security awareness training, employees sign the Security Agreement Form and place in employee personnel files.

Auditees' Responses:

- Central Human Resources staff downloads personnel action information from COPES View and loads the extract to the Human Resources Intranet webpage. The information will be updated biweekly for district Human Resources and security manager's use. Security managers will use the information to revise or revoke employees security access.
- District 13's Information Systems, Human Resources, and Program staff reviewed the authorized access list of employees regarding the Information Systems and purged employees who no longer needed access.
- District 13 will adhere to required standards.

**Management Review 01-05-M:
Contract No. SPJTS with Lake County
Boys Ranch**

Allegation: There were excessive expenditures in the Florida Accounting Information Resource Subsystem against Contract No. SPJTS.

For a significant part of the review period, Lake County Boys Ranch was jointly licensed for residential group and emergency shelter care. Thus, Internal Audit tested payments charged against Contract No. SPJTP (emergency shelter care facility) for the period July 1 through December 16, 1998.

Review Findings:

- The Department inappropriately allowed the placement of 77 children by the Lake County Boys Ranch in foster family homes without a written contract and inappropriately authorized \$456,855 in payments.
- Eighteen children, at a cost of \$38,970, were not sheltered by the provider in accordance with the terms of Contract No. SPJTP.
- The per diem rate paid for shelter placements was approximately three times the Department’s base rate.
- Approximately, \$125,457 in provider payments were incorrectly coded as being reimbursable under Title IV-E of the Social Security Act (District 7 - \$102,743, District 3 - \$22,034, and District 13 - \$680).

Subsequent Event:

- A Lake County Grand Jury indicted Lake County Boys Ranch in April 2000, on charges of Medicaid fraud

and grand theft, and charged the provider with taking more than \$3 million from taxpayers. The Agency for Health Care Administration suspended Medicaid payments and the Department cancelled remaining contracts.

**Management Review 01-07-M:
Contract No. KJ485 With Coconut
Grove Local Development Corporation,
Incorporated**

Allegation: Coconut Grove was using the names and social security numbers of people who never received services to cover its fraudulent use of food vouchers and inappropriate payments of utility bills.

Review Findings:

Contract No. KJ485 did not provide funding for food vouchers, client utility bills, or financial assistance to clients. Other matters that warranted attention included the management of Coconut Grove and the administration of Contract No. KJ485, to include the following:

- An independent Certified Public Accountant firm expressed substantial doubt as to their ability to continue.
- Failure to meet match requirements, resulting in a \$16,283 liability.
- Overcharges for personnel costs, resulting in a \$12,182 liability.
- Payment to audit fees not incurred during the contract period with contract funds resulted in a \$5,000 liability.
- Insufficient documentation of approximately \$18,000 in subcontracted expenses.

Inspector General Recommendation:

District 11 management should recoup any unearned contract funds.

Reviewee Response:

- Coconut Grove will satisfy the \$33,465 liability by providing additional in-kind services to Department clients.
- Other conditions identified in the report are to be reviewed during district monitoring.

Projects In Progress**Management Review of the Department's Methadone Maintenance Program:**

Allegation: The Department may not be purchasing methadone services in the most cost efficient manner. The Executive Office of the Governor requested the Office of Inspector General to conduct a management review of the Methadone Maintenance Program.

Preliminary and Tentative Review Findings:

- Alcohol, Drug Abuse and Mental Health Data Warehouse had incomplete service event data for the methadone maintenance program.
- The Department's model unit cost for methadone maintenance services was \$11.74. South Florida Substance Abuse, Inc. was paid \$29.79 under Contract No. JH532, compared to Drug Abuse Comprehensive Coordinating Office, Inc. and River Region Human Services, Inc. who

were paid \$10.61 and \$11.74 per unit, respectively.

- Clients identified in the Alcohol, Drug Abuse and Mental Health Data Warehouse as having received methadone maintenance services or in methadone maintenance could not be matched to provider lists of methadone clients.
- The unit cost paid compensated for dispensing the methadone medication and providing associated services required by Chapter 65D-16, Florida Administrative Code, although instances were found where providers separately reported the associated services.
- Although required under Purchase of Services Contract No. JH532 with South Florida Substance Abuse, Inc., there was no evidence that clients had been authorized in writing by District 10's Alcohol, Drug Abuse and Mental Health Program Office. Payments were not for services to specific clients as required under this contract.
- For clients tested, admission, discharge and placement dates were incorrect or could not be located in the Alcohol, Drug Abuse and Mental Health Data Warehouse.

Inspector General Recommendations:

District management should:

- Obtain substance abuse services in accordance with *A Guide to Performance Contracting for Alcohol, Drug Abuse and Mental Health Services*.
- Contracted services should fall under an approved cost center and unit costs

should not exceed model state rates for that cost center.

- District Abuse and Mental Health Program Office staff should:
 - Verify the completeness of methadone maintenance service event data in the Alcohol, Drug Abuse and Mental Health Data Warehouse by periodically comparing the totals to those reported in the Worksheet 1's that are part of the provider's invoices.
 - Work with providers to address and resolve unmatched client records in the Alcohol, Drug Abuse and Mental Health Data Warehouse and remind them of the need to submit discharge and placement end data.
 - Review associated methadone services erroneously reported to cost centers other than [13] for which the providers contract, and determine whether the Department made overpayments.
- If District 10 uses the Purchase of Services model contract Attachment I, district administration should ensure that procedures are in place whereby clients are approved, in writing, prior to service deliveries and that payments are authorized only for services to eligible clients.
- Central Office Mental Health and Substance Abuse Program staff should implement data integrity procedures that require periodic comparison of admission, discharge, and placement dates in the Alcohol, Drug Abuse and Mental Health Data Warehouse to documentation in client files.

Performance Audit

The performance audit unit is comprised of four positions: a senior management analyst supervisor, a professional accountant specialist, a senior management analyst I, and a senior professional accountant

Performance Audit Highlights

The following are highlights of major projects of the performance audit unit during FY 2001.

Management Review 01-06-M: Review of Deposits into the Child Welfare Training Trust Fund for the Period January 1, 1998 Through December 31, 1998

A Leon County citizen wrote to the Governor's Office, the Department of Highway Safety and Motor Vehicles, and various trust fund managers alleging all trust funds receiving revenue pursuant to §318.21(8), F.S., could have a shortfall equaling hundreds of millions of dollars. The alleged shortfalls were based on the citizen's calculated 42 and 43 percent shortages in the Department's Child Welfare Training Trust Fund and the Department of Juvenile Justice's Training Trust Fund for State Fiscal Years 1997 and 1998, respectively.

Review Findings:

- The citizen's calculations overstated the Department's shortfall for 1998 by approximately \$1,530,136.
- Counties and agencies assisting in the review differ regarding disposition categories that require payment of the

civil penalty. Additionally, there are many reasons given for discrepancies between Department of Highway Safety and Motor Vehicles and county disposition data.

- Large variances exist between county disposition totals in the ad hoc *State of Florida, Department of Highway Safety and Motor Vehicles 1998 Annual Uniform Traffic Citation Statistics, Violations and Dispositions* report and remittance totals in the Department of Highway Safety and Motor Vehicles *Clerk of the Courts Remittance, Report By County for Period of 01/01/1998-12/31/1998* report.
- The Department of Highway Safety and Motor Vehicles does not verify the Clerk of Courts remittances.

Inspector General Recommendation:

- The Legislature should specifically identify in statute the governmental entity responsible for reconciling dispositions and related remittances.

Audit Assistance 01-01-S: Audit Assistance To Contract #JJ657, Trinity Economic Development, Inc.

The Department, District 10, and Trinity Economic Development, Inc. entered into a contract on May 19, 2000 through June 30, 2000 wherein the provider agreed to provide an array of services to 180 special needs children scheduled for adoption. The total cost of services to eligible clients under the contract was not to exceed \$129,818.

Review Findings:

- The provider did not comply with several provisions of the contract.
- District 10 staff did not follow purchasing guidelines.
- Contract funds designated as discretionary funds did not meet the objectives and should have been disallowed under this contract.
- A settlement agreement was not executed for May 1–18, 2000, when services were rendered prior to execution of the contract by both parties.
- District staff requested the provider write checks to purchase three tangible personal property items totaling \$12,262, but did not provide documentation to evidence compliance with §60A-1.017, Florida Administrative Code and Children and Families Operating Procedure 75-2, Appendix FF.
- The provider's designated signor did not sign requests for the expenditure of discretionary funds.
- The provider did not provide two full units (months) of service in accordance with contract stipulations.
- The provider, without written approval from the Department, made salary and wage payments totaling \$14,155.80 to regular and part-time employees on a subcontractual basis.
- Although the contract provided for 180 children, the provider served only 18 children.
- The provider's personnel file indicated that the therapist held a Bachelor of Arts degree in Psychology and did not meet professional licensing standards

to provide individual/group therapy services in the State of Florida.

determine whether it is cost-effective to provide state motor vehicles.

Inspector General’s Recommendations:

- The Department should recoup \$12,642.55.
- Management should determine whether a violation of USC 3729 occurred regarding submission of claims by the provider and if damages or fines are due to the Department.
- The Office of Contracted Client Services should perform a thorough review of the contracting practices in District 10.
- District 10 management should review documentation to determine outstanding balances for goods and services received via the discretionary funds clause of the contract and determine a funding source to pay the respective vendors.

Review Findings:

- The Audit used the 12,500 break-even mileage criteria developed by the Department of Management Services and the findings were presented the Office of Program Policy Analysis and Government Accountability.
- Three employees with assigned vehicles and the mileage driven were reported.
 - Three-hundred-and-five employees were reported who drove personal vehicles over 12,500 miles on State business and the mileage driven.

State Agency Review of Motor Vehicle Utilization

Section 287.17(5), F.S., required each state agency to conduct a review of motor vehicle utilization by December 31, 2000. The purpose of the review was to:

- Determine the number of miles each assigned motor vehicle has been driven on State business in the past fiscal year to determine whether employees with assigned motor vehicles are driving a sufficient number of miles to warrant continued vehicle assignment.
- Identify employees using personal vehicles extensively on State business during the past Fiscal Year to

**Management Review 01-04-M:
Internal Controls Over
Disbursements at Tacachale**

A review of internal controls over disbursements at Tacachale was performed at the request of the District Administrator. The documentation for a sample of recent disbursements for the period June 1 – August 31, 2000 was reviewed and staff were interviewed regarding the disbursement documentation.

Review Findings:

- Internal controls appear to provide reasonable assurance disbursements were properly made.
- No action was taken on the exceptions found during the monthly purchasing card reconciliation.
- Purchasing card credit transactions were not sufficiently documented.

- Three of 30 sampled vendor payments were not paid within the 20-day payment deadline.

Inspector General’s Recommendations:

- Reconciliation exceptions should be cleared and documented. Questioned transactions should be maintained to ensure expenditures were appropriate, correctly charged, and accurately recorded.
- Purchasing card credit transactions should have a credit slip or signed explanation from the cardholder as documentation.
- To ensure compliance with the 20-day payment requirement of §215.422, F.S., due care must be exercised in processing voucher payments.

**Management Review 01-03-M:
Management Review of Tacachale Welfare Trust Fund for the Period July 1, 1999 Through June 30, 2000**

Allegation: Staff members were using the Welfare Trust Fund to buy supplies and reselling them to the State at a premium.

Review Findings:

- No evidence was found that employees used the Welfare Trust Fund to buy supplies and resold them to the state.
- No formal accounting system was in place for the Welfare Trust Fund.
- Individual revenue activities bill and collect for their services.
- Some Welfare Trust Fund receipts are held for a week or more before being deposited with the cashier.

- Petty cash reconciliations have not all been conducted on a current basis.

Inspector General’s Recommendations:

The Tacachale accounting office should:

- Implement a formal accounting system for the Welfare Trust Fund to ensure adequate control over a large and active fund.
- Perform billing and collection functions to ensure effective control over accounts receivable.
- Comply with the requirement that recipients of Welfare Trust Fund monies be deposited within 24-hours.
- Conduct periodic, unannounced cash counts on all Welfare Trust Fund petty cash funds.

**Management Review 01-11-M:
Children’s Home Society and Family Enrichment Center for the Period July 1, 1999 Through June 30, 2000**

Allegations: Billing improprieties with the Adoption Purchase of Services contracts for the Children’s Home Society and Family Enrichment Center were alleged. The review was expanded to also include Florida Baptist Ministries and Everyday Blessings to determine whether the alleged billing improprieties were systemic. District foster care contracts, contract files and the Adoption Exchange System were also reviewed.

Review Findings:

- No evidence was found that the Department paid twice for the same service.

- Children’s Home Society enhanced rate invoices appeared to be properly paid after resolving misunderstanding concerning available period criteria.
- The Adoption Exchange System was not current, lacked written instructions and some eligible children were not on the System.
- Contract files were adequately documented.
- Home study charges appeared reasonable in relation to fees charged other agencies.
- Required monitoring was not reported to either the Children’s Home Society or the Family Enrichment Center within the contractual time frame.

Inspector General Recommendations:

- Family Safety Program management, in conjunction with the Office of General Counsel, should clearly define and include in contracts the available period for Identified Special Needs.
- Management should:
 - Consider adding system edits to the Adoption Exchange System to ensure required fields are filled in before accepting a new record.
 - Determine why the Adoption Exchange System was not updated and take the necessary steps to update the system.
 - Provide written instructions to guide employees that maintain and update the system.
- The Office of Family Safety should monitor and issue a report of findings to providers within, or promptly thereafter, the first 6 months of the contract.

Projects in Progress

Multi-Agency Audit of Purchasing Card Programs

At the end of the Fiscal Year, Internal Audit participated in a multi-agency purchasing card audit coordinated by the Governor’s Council on Integrity and Efficiency. The scope of the audit included a review of purchasing card transactions and related activities for the period of July 1, 2000 – March 31, 2001 and related transactions through the end of fieldwork. The audit objectives are to determine whether:

- the Department complied with relevant laws, rules, policies and guidelines;
- management’s system of internal controls was adequate to ensure effective and efficient use of agency resources; and,
- purchasing card transactions were properly authorized and recorded.

The audit is scheduled for completion in September 2001.

Foster Care/Residential Group Care Program in District 10

Audit was writing the performance audit of the Foster Care/Residential Group Care Program in District 10 at the end of the Fiscal Year.

The audit objectives are to:

- Determine whether District 10 and residential group care facilities provide timely and effective case management services, to include

- permanency, placement, case planning and judicial reviews, as applicable.
- Assess the effectiveness of the District 10 Foster Care program in ensuring that the residential group care facilities have met the licensure requirements pursuant to Florida Statutes and Florida Administrative Code.
- Determine whether the District 10 Foster Care Program is effectively monitoring its contracts with residential group care facilities.
- Evaluate internal controls to determine whether they promote an efficient and effective Residential Group Care Program.
- attending entrance and exit conferences;
- coordinating, reviewing, and preparing responses to audit recommendations for the Secretary's signature;
- monitoring corrective action plans;
- preparing 6-month and 18-month status reports;
- preparing the Summary Schedule of Prior Audit Findings;
- preparing a Report of Major Audit Findings and Recommendations for Legislative Budget Issues.

Temporary Assistance for Needy Families (TANF) Program

As part of the 1999-2000 Audit Plan, Internal Audit initiated a performance audit of the Temporary Assistance for Needy Families Program in District 7. Limited staff resources resulted in required postponement until Fiscal Year 2001-2002.

Coordination with External Auditors

The performance audit unit is responsible for coordination of efforts with the Office of the Auditor General, Office of Program Policy Analysis and Governmental Accountability, and federal agencies; such as, the U.S. Department of Health and Human Services and the U.S. Department of Agriculture, Food and Nutrition Services. During Fiscal Year 2000-2001, the performance audit unit coordinated 60 external audit liaison activities, such as:

Spencer vs. Bush Corrective Action Plan

Allegation: A lawsuit alleged the State of Florida was not timely processing applications for Medicaid. As a result of this lawsuit, a corrective action plan was proposed and implemented by the Department of Children and Families, the Department of Health, and the Agency for Health Care Administration. Internal Audit responsibilities included:

- Assumed responsibility to ensure that the corrective action plan was implemented timely.
- Provided monthly updates to management and various external parties on the Spencer vs. Bush Corrective Action Plan, from May 2000 – December 2000.
- Updated the corrective action plan for the Department's court appearance on May 23, 2001.

Victory Living Program

District 10's Acting Developmental Services Program Administrator filed a formal complaint with the Office of Inspector General alleging that from 1994-1997 the Victory Living Program personnel used a client's Social Security Administration benefits in excess of the cost of care.

At Fiscal Year-end, Internal Audit was in the report writing stage of the Management Review of the Victory Living Program. Completion of the report has been delayed due to staff resource limitations.

Energy Verifications

The Department of Management Services awarded approximately \$1.8 million to the Department under the Innovation Investment Program for Energy Conservation in State Facilities for seven state facilities. Monies were awarded for purchase and installation of energy cost reduction measures and improvements to lower energy costs or enhance greater energy efficiency.

- The program requirements were that:
 - The Department commit for 5-years and reinvest each year in additional energy reduction measures an amount at least equal to the amount saved the previous year.
 - The Office of Inspector General was to validate the energy savings for the seven facilities.
- The performance audit unit completed energy verifications for Sunland

Marianna and G. Pierce Wood Memorial Hospital.

- Based on the energy savings format developed by Department of Management Services, Sunland's estimated annual savings equaled \$7,329 and \$9,824 for FY 1998 and 1999, respectively.
- G. Pierce Wood Memorial Hospital's estimated annual savings equaled \$45,337 and \$63,143 for FY 1998 and 1999, respectively.

The energy conservation program ended and energy savings are no longer validated.

Future Choices

Allegation: The Inspector General received allegations of embezzlement, grand theft, and misappropriation of Department funds via the Future Choices Program. Allegations included:

- Two of Future Choices' four partners embezzled funds from Future Choices, a not-for-profit organization funded by the Department, in order to form a new organization.
- The two former partners used Department funds for personal expenses.

Review findings:

- The alleged embezzlement and misappropriation did not involve Department funds; therefore, it was outside the jurisdiction of this office. Moreover, substantiation of the allegations was already in the hands of law enforcement.

Management Review and Performance Measures

Section 20.055, F.S., mandates the Office of Inspector General to assess the reliability and validity of the Department’s performance measures and standards. In addition, the management review unit conducts management reviews, prepares department-wide risk assessments, and annual audit plans. The unit is staffed with a senior management analyst supervisor, a senior management analyst II, a management review specialist, and a senior management analyst I.

Management Review Highlights

The following are highlights of major projects the management review staff participated in during FY 2001.

3. Percent of children who enter kindergarten ready to learn;
4. Number of verified incidents of abuse and neglect in licensed child care arrangements;
5. Percent of licensed childcare facilities and homes with no Class 1 (serious) Violations during their licensure year;
6. Percent of children safe from re-abuse or neglect for one year following services;
7. Percent of children safe from abuse or neglect during services;
8. Percent of children adopted compared to those legally available for adoption;
9. Percent of children who exit out-of-home care within 15 months;
10. Percent of abandoned calls made to the Florida Abuse Hotline Information System; and
11. Number of children and adults sheltered each month.

Management Review 01-01-M: Assessment of Performance Measures for the Adult Services, Family Safety, and Child Care Programs.

Purpose: This assessment provided an evaluation of the validity and reliability of 11 performance accountability measures for the Adult Services, Family Safety, and Child Care Program Offices in Districts 4, 7, and 11 for FY 1998-99. The 11 performance measures assessed follow:

1. Percent of adults safe from abuse or neglect while receiving protective services;
2. Percent of adults with disabilities receiving services who are not placed in a nursing home;

The team used 40 criteria to identify good practices and weaknesses in performance measures and data supporting the measures. The assessment team interviewed central and district program staff, and provider agency staff in Districts 4, 7, and 11. The team sampled client case, protective investigation, and facility files, to test the validity and reliability for the measures based on specific criteria.

Review Findings:

- Ten of eleven performance measures assessed (91 percent) were valid.
- The assessment for reliability was based on 33 possible reviews of data supporting 11 performance measures

(11 x 3 districts reviewed). Information for 24 of 33 data reviews (73 percent) was supported by reliable data.

- The adoptions measure, #8, did not meet the criteria for validity because the wording did not clearly define the target population. Staff indicated that they did not understand the formula for calculating this measure.
- Data was not reliable in any of the districts reviewed for Child Care measure #3.
- Data was not reliable in any of the districts reviewed for the out-of-home care measure, #9.
- Data was not reliable in District 11 for the abuse/neglect measure, #7.
- Data was not reliable in District 11 for the re-abuse/neglect measure, #6.
- Data was not reliable in District 4 for one Child Care measure, #5.

Inspector General Recommendations:

The Adult Services Program Office management should initiate the following:

- Develop a clearer definition for each measure to include placement and supportive service clients (Adult Services measure #1);
- Work with Legislative staff to add measures that rate quality of protective services and investigations completed (Adult Services measure #1);
- Seek additional funding from the Legislature to provide additional community services for disabled clients to prevent nursing home placement (Adult Services measure #2); and

- Revise the current Adult Services Program Monitoring Manual to require standards for testing performance measure client data against Client Information System for data reliability (Adult Services measure #1 and #2).

The Child Care Program Office staff should work with the Department of Education to:

- Revise the Expectations for School Readiness Checklist and Reporting Format to ensure results are useful to the child care provider for increasing the percent of children entering kindergarten ready to learn (Childcare measure #3).
- District staff should assist low performing providers in acquiring additional resources through the annual contract negotiation process between the districts and the respective 4C agency (Childcare measure #3).

The Child Care Program Office should work with district staff to:

- Develop a data verification system to ensure that reported verified incidents of abuse or neglect in licensed child care arrangements released by the districts and the program office are in agreement to ensure performance measure reporting accuracy (Child Care measure #4).
- Develop a data verification system to ensure Class 1 Violations are accurately classified and reported (Child Care measure #5).

The Family Safety Program should:

- Develop and enforce policies requiring district staff to keep

consistent, accurate, and detailed client case file documentation of services provided (Abuse/neglect measure #6 and #7).

- Ensure programmatic monitoring is performed on a regular basis to include data verification (Abuse/neglect measure #6 and #7).
- Revise the wording of the measure to clearly define the target population and provide training to ensure program staff understand the formula used to calculate this measure (Adoptions measure #8).
- Ensure districts follow the definition of foster care commencement (Out-of-home care measure #9).
- Develop and enforce policies requiring district staff to keep consistent, accurate, and detailed client case file documentation (Out-of-home care measure #9).
- Ensure programmatic monitoring is performed regularly and includes data verification (Out-of-home care measure #9).
- Revise the domestic violence programmatic monitoring instrument to include a comparison of monthly statistical reports submitted by providers with case files and monthly attendance logs to ensure accuracy (Domestic violence measure #11).

The Family Safety Program Office and Florida Abuse Hotline Information System management should continue to request staffing relief through the legislative budget process and review current practices to promote efficiency.

Management Review #01-02-M: District 10 Procurement Process for Contract Number JJ740 with Friends of Children, Youth and Families, Inc.

Purpose: The objective of this review was to assess the appropriateness of the selection process and subsequent award of Contract Number JJ740 by District 10 for the operation of an emergency shelter for the Family Safety program, which included the following:

- Determine whether the competitive procurement requirements used by District 10 were in compliance with §287.057(1), (3)(f), and (6)(c), F.S., and Chapter 60A-1, Florida Administrative Code;
- Evaluate the appropriateness of the solicitation, selection, and award processes; and
- Evaluate the adequacy and sufficiency of contract documentation.

Determine if the contract rate was justified.

Review Findings:

- Competitive procurement requirements used for Emergency Shelter Contract Number JJ740 were in compliance with Florida Statutes and Florida Administrative Code.
- Solicitations of interested and prospective parties were appropriate.
- The selection process was appropriate for this informal bid.
- The rate awarded to Friends of Children, Youth and Families, Inc. was not the same amount as the original amount bid.

- The exclusion of Lutheran Services and Brown Schools of Florida from further participation in the selection process after Friends of Children, Youth and Families, Inc. entered contract negotiations with a different amount was not good business practice.
- Contract documentation was inadequate and insufficient.

Inspector General Recommendations:

- The district administrator should exercise caution when using the regulated exemption for procurement. This constraint ensures the integrity of the procurement of contractual services.
- District 10 management should ensure staff work together to develop a plan and timetable allowing adequate time for the formal procurement process to be implemented. The plan should consider:
 - the number of contracts the district has to develop,
 - the beginning dates for the services, and
 - the availability of staff to ensure that unproductive periods are minimized and staff time is used efficiently and effectively.
- District 10 should adopt a policy that ensures that a member of the selection committee (preferably the contract manager) should retrieve, maintain, organize, and file all pertinent documents required by Children and Families Operating Procedure 75-2.
- In situations where the selected provider submits a revised budget, the District should ensure that all other bidders are given the opportunity to

submit amended bids/proposals, as necessary.

- Contract managers should be retrained in the procurement and contractual services procedures, with emphasis on the documentation that constitutes a completed contract manager’s file, as stated in Children and Families Operating Procedure 75-2.
- Reviews of the contract manager’s file should be conducted on a routine basis by the district’s contract administrator to ensure necessary documentation is properly maintained.
 - The review should initially occur during the contract development stage to ensure that all required documents from the procurement/ bid process are properly completed and signed.
 - A review of the contract file should be performed after the contract is approved/executed for completeness and periodically thereafter.
- Central Contracted Client Services should conduct a comprehensive review of the District 10 contracting process.

Management Review #01-08-M: Contract and Agency Information Systems Security Practices in Districts 5 and 13

Purpose: As a result of a complaint filed by a former employee of the Florida Task Force for the Protection of Abused and Neglected Children, a management review was conducted on Department and provider information systems security practices in Districts 5 and 13.

Objectives were to determine:

- Whether security policies and procedures for the Department and the provider existed and were complied with;
- The adequacy of the district's information systems access and revocation procedures for Department and provider; and
- The adequacy of the district's screening requirements for provider staff who will be granted access to confidential information.

Review findings:

- Security policies and procedures existed and were complied with;
- Although Department and provider systems access and revocation procedures were adequate, some practices did not comply with appropriate procedures. District screening requirements were adequate and complied with for provider staff who were granted system access.

Inspector General Recommendations:

District Security Officers should:

- require provider staff to provide written requests for system access and revocation;
- be immediately advised of an employee's transfer or termination;
- periodically review password inactivity reports to determine if user IDs for terminated employees are still active.
- ensure provider agency employees receive security awareness training.

**Management Review #01-09-M:
District 8 Family Safety Program**

Purpose: In response to allegations relating to child abuse/neglect cases and specific issues in District 8, the Inspector General initiated this management review of the Family Safety Program.

The review objectives were to determine whether:

- appropriate decisions were made during abuse investigations to ensure the safety of children;
- there was sufficient supervisory oversight and feedback on protective investigation cases;
- protective investigation procedures were followed that ensured the safety of children; and
- management practices related to alleged personnel issues were adhered to.

Review Findings:

- In 51 percent of sampled and 90 percent of complainant cases, disposition decisions were appropriate.
- In 66 percent of sampled and 80 percent of complainant cases, necessary steps were taken to reduce or remove risk of harm to child(ren) to ensure immediate safety.
- In 74 percent of sampled and 60 percent of complainant cases, there was evidence of sufficient supervisory review.
- In 56 percent of sampled and 78 percent of complainant cases, immediate actions taken were

- appropriate based on the initial child safety assessment.
- In 65 percent of sampled and 78 percent of complainant cases, required background checks were conducted.
 - In 77 percent of sampled and 90 percent of complainant cases, face to face interviews were conducted with alleged caretakers.
 - In 48 percent of sampled and 67 percent of complainant cases, there was evidence that face-to-face home visits were made with all victims and subjects of the reports.
 - In 78 percent of sampled and 80 percent of complainant cases, victims were seen within 24-hours.
 - In 76 percent of sampled and 90 percent of complainant cases, there was an initial child safety assessment.
 - In 86 percent of sampled and 78 percent of complainant cases, as additional information was obtained, initial child safety assessments were updated.
 - In 34 percent of sampled and 60 percent of complainant cases, documentation was adequate to provide a good understanding of the family situation, casework activities, and the rationale for child safety decisions.
 - In 50 percent of sampled and 89 percent of complainant cases, the services planned and arranged at disposition were appropriate.
 - An operations program administrator created a perception of favoritism by failing to meet her responsibilities to ensure that a thorough investigation, including a drug screen, was conducted.
- A family services counselor supervisor admitted asking a family services counselor to delete information from a case file that contained unfavorable information that a foster child reported about comments made by another counselor concerning the child's alternative lifestyle.
 - The other allegations were unfounded.

Inspector General Recommendations:

Management should ensure that:

- Cases contain sufficient documentation to support the investigative findings and disposition.
- Protective investigator supervisors should promptly refer cases to the Child Protection Team.
- Supervisory reviews are conducted and documented for all protective investigation cases.
- Protective investigators perform and document all necessary steps to ensure immediate child safety, conduct thorough investigations and update child safety assessments as needed.
- Required background checks are completed for all cases.
- During investigations, protective investigators interview all necessary collateral contacts, including the caretaker, other adults and children in the household.
- All non-shelter dependency/walk-in petitions are filed in a timely manner.
- Staff provide appropriate services to children nearing the age of majority.
- Protective investigators complete a thorough assessment of all cases and provide sufficient documentation of

the family history and circumstances for appropriate decision-making.

- The district continues to exercise caution in evaluating risks before releasing children to a relative without seeking a court order.

Other Management Review Activities

Internal Security Task Force

Management Review staff participated on a Departmental task force to enhance internal controls in the Economic Self-Sufficiency Program. The goal of the task force was to establish procedures and practices to insure that internal security measures are in place to preclude employee fraud and to maximize detection.

Prior Audits and Management Reviews for Which Corrective Action Has Not Been Completed

Audit Report A-99-01: Use of the Innovation Investment Program for Energy Conservation in State Facilities Grant by South Florida State Hospital.

Two recommendations remain ongoing regarding revision of budget procedures.

Audit Report A-00-01: Audit of the Child Welfare Vouchering System.

The recommendation to develop an information systems service request to add edits to the source code to prevent duplicate entries in the State Automated Child Welfare Information System is to be completed by December 31, 2001.

Audit Report A-00-02: Florida State Hospital Internal Control of Cash Handling.

Three Florida State Hospital recommendations remain open:

- Develop and implement a more efficient and effective system for handling trade card balances;
- Implement appropriate internal control procedures for prenumbered receipt forms and train staff on proper use and control techniques; and
- Provide supervision and training to employees who handle cash.

Management Review 01-02-M: District 10 Procurement Process for Contract Number JJ740 with Friends of Children, Youth and Families, Inc.

The recommendation for contract managers to be retrained in procurement and contractual services procedures will be completed prior to August 30, 2001.

**Management Review 01-07-M:
Contract No. KJ485 with Coconut
Grove Local Development
Corporation, Inc.**

Six recommendations regarding the provider being in violation of this contract are ongoing.

**Management Review 01-08-M:
Information Systems Security
Practices in Districts 5 and 13.**

Recommendations regarding District 13's security on access and revocation requests, employee transfers or terminations and security awareness training for new employees was implemented and is being monitored.

Section D: Office of Appeal Hearings

The Office of Appeal Hearings provides administrative hearings for applicants or recipients of public assistance programs and individuals being transferred or discharged from nursing facilities. The office also provides disqualification hearings for individuals believed to have committed intentional program violations.

Appeal Hearings completed **5,438** fair hearings, identified **\$2,550,863** in overpayments in public assistance benefits; and determined **58,617** months of disqualification in benefits for intentional program violations. AH also completed 98 percent of the fair hearings and 99 percent of the disqualification hearings within federal time standards.

The office operates pursuant to the following legal authorities:

- §409.285, F.S., Opportunity for Hearing and Appeal.
- Chapter 120, F.S., the Administrative Procedures Act, §120.80, F.S., Exceptions and special requirements; agencies.
- §400.0255, F.S., Resident hearings of facility decisions to transfer or discharge.

The administrative rules for the Department's fair hearing procedures appear in Rule 65-2.042, et seq., Florida Administrative Code, 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; and,
- Food Stamps
7 CFR §273.15, Fair Hearings
7 CFR §237.16, Disqualification for intentional Program violation.

For independence purposes, Appeal Hearings reports directly to the Inspector General. Federal regulations require a hearing officer to be a state-level employee.

Appeal Hearings has 20 full-time positions and is staffed with an administrator, 3 supervisors, 13 hearing officers and 3 support employees.

In order to deliver services, on a statewide basis, in the most efficient and effective manner, hearing officers are located in several geographical areas. Two positions are located in Jacksonville, Fort Lauderdale, and Miami; one is in Tallahassee, Gainesville, Lakeland, St. Petersburg, Orlando, Tampa, West Palm Beach, and Crestview; and one supervisor position is in Broward.

All administrative costs for hearings are funded at 50 percent federal administrative trust funds and 50 percent general revenue.

FAIR HEARINGS

The Department is required by the federally-funded assistance programs to offer a “fair” hearing prior to an action to terminate assistance which meets basic due process requirements as contained in Goldberg vs. Kelly, (1970). The Administrative Procedures Act, Chapter 120, F.S., sets forth the state procedural requirements the Department must meet in resolving issues which affect the substantial interest of individuals. The Appeal Hearings has been delegated the authority to complete final agency actions on a variety of issues arising out of most of the federally funded programs.

The Department recently settled a lawsuit related to Medicaid waivers and due process. As a result the office has experienced an increase in Medicaid benefits hearings.

Appeal Hearings holds fair hearings for:

Economic Self Sufficiency

- Temporary Assistance to Needy Families (TANF)
- Food Stamps
- Medicaid Eligibility
- Refugee Assistance Program
- Individual and Family Grant Program
- Institutional Care Program
- Optional State Supplementation

Medicaid Benefits

Others

- Special Supplemental Food Program for Women, Infants and Children
- Certain Social Services Block Grant Programs
- Certain Child Support Enforcement issues for the Department of Revenue

Figure D.1, shows the number of FAIR Hearings Requests by district.

FAIR Hearings Requests By District

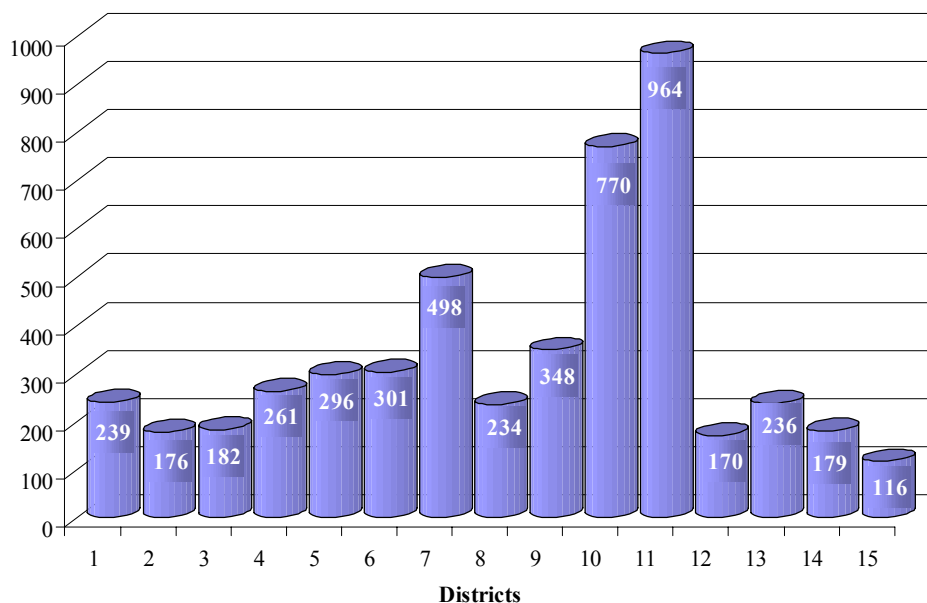


Figure: D.1

Source: Office of Appeal Hearings

NURSING HOME TRANSFER/ DISCHARGE HEARINGS

Appeal Hearings also conducts hearings to determine whether or not a nursing facility’s decision to transfer or discharge a patient was correct. The facility may only discharge an individual based upon conditions set forth in law.

These hearings often involve expert medical testimony on complex medical issues. The hearing officer has the authority to prohibit the discharge or require the facility to readmit a resident if he/she has already been discharged.

ADMINISTRATIVE DISQUALIFICATION HEARINGS

The Department has the authority to disqualify an individual from receiving cash assistance and food stamp benefits when that individual has been found, through the administrative hearing process, to have committed an intentional program violation. Intentional program violations are such acts as making false or misleading statements, or misrepresented, concealed or withheld facts. The disqualification is for one year for the first offense, two years for the second, and a lifetime for the third offense.

In addition to disqualification hearing requests, the office tracks cases in which the individual agrees to accept the disqualification penalty and waive the right to a hearing. In Fiscal Year 2001, Appeal Hearings processed 5,587 disqualification's for Temporary Assistance to Needy Families or food stamp benefits based on signed waivers.

Figure D.2, shows amounts of claim dollars, by district, for intentional program violations.

Overpayment Associated with Program Violations

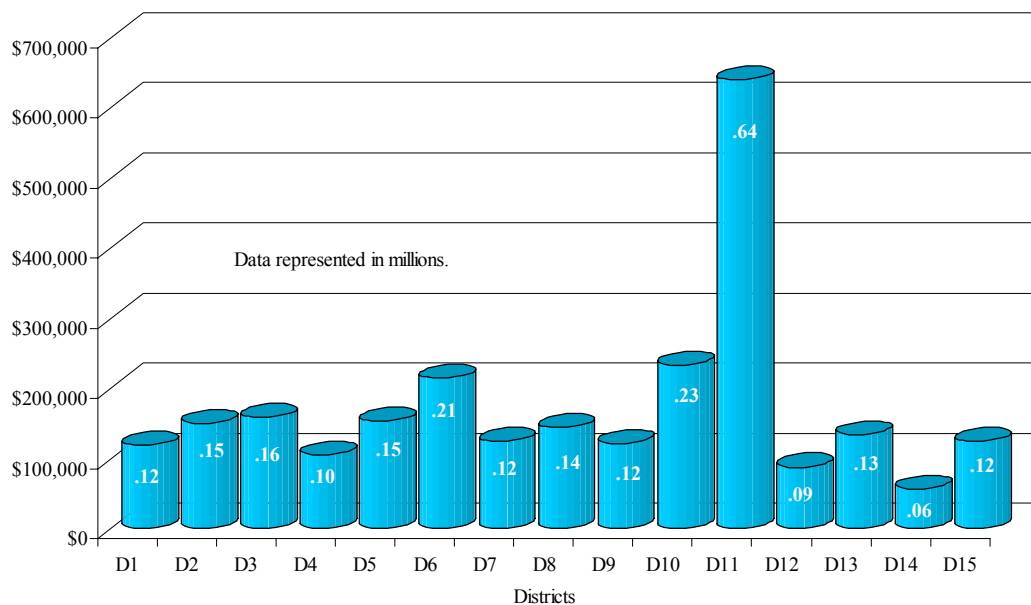


Figure: D.2
 Source: Office of Appeal Hearings

Figure D.3, shows the number of months of program disqualification for cash assistance and Food Stamp Programs.

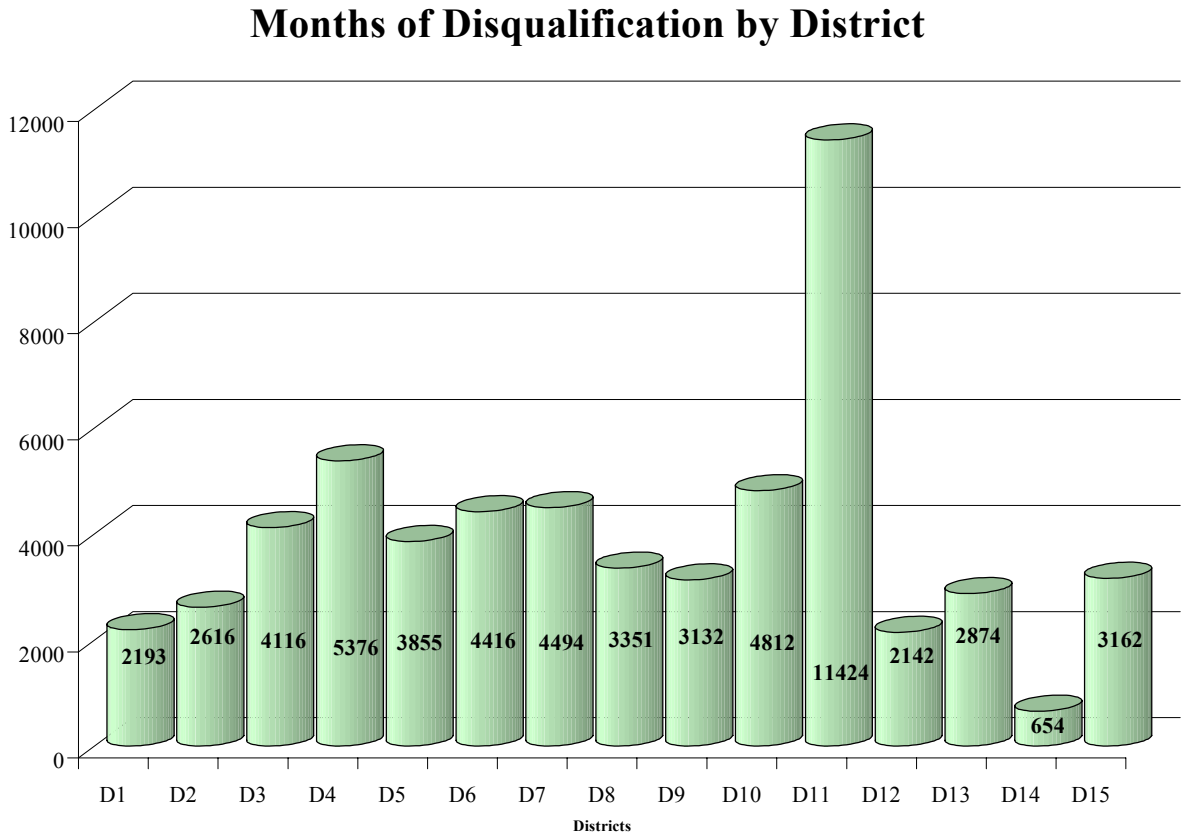


Figure: D.3
Source: Office of Appeal Hearings

Section E: Office of Quality Control

In accordance with federal statutes and regulations, State plans for the administration of the Food Stamp program must provide for a system of quality control. The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 provides Temporary Assistance to Needy Families (TANF). Although temporary assistance to needy families does not require quality control reviews, the Department conducts payment accuracy reviews of both programs.

The Office of Quality Control conducts reviews based upon statistically reliable samples of public assistance cases. Reviews provide management and federal administrators with information regarding erroneous payments in public assistance. Management uses the findings to establish corrective action plans for consistency problems regarding benefits. Federal agencies use the quality control statistics to determine the integrity of State assistance programs.

Federal statutes and federal regulations that provide for quality control are:

Food Stamp Title XIII, Public Law 95-113, 91 § 958, Food Stamp Act of 1977, 7 CFR Chapter II, 275.10, Subpart C - **Quality Control Reviews**

Medicaid Title XIII, Social Security Act, 42 CFR Chapter IV, 431.800 Subpart P - **Quality Control Reviews**

ADMINISTRATION OF QUALITY CONTROL

The Chief of Quality Control reports directly to the Inspector General. Quality Control is funded at 50 percent federal and 50 percent general revenue for all administrative costs. The office is composed of 59 positions located in 7 offices throughout the state. A quality control supervisor manages each unit and supervises four to seven analysts and a secretary. The seven offices are located in Tallahassee (with a satellite office in Panama City), Jacksonville, Orlando, St. Petersburg, Tampa and Miami (two). Headquarters staff is located in Tallahassee.

PROGRAMS REVIEWED

- Temporary Assistance to Needy Families (TANF)
- Food Stamps
- Medicaid Disability Application Reviews
- Medicaid Kidcare

During Federal Fiscal Year (FFY) 2000, Quality Control conducted the following reviews:

- **1,426** active food stamp cases.
- **1,360** active temporary assistance to needy families cases.
- Negative reviews (closures and denials) were completed on **913** food stamp cases, and **876** Temporary Assistance to Needy Families cases.

REVIEW PROCESS

The Quality Control review process is an in-depth study that focuses on the accuracy of benefits being paid to a sample of public assistance cases. The majority of cases require a field visit and a full-scale review of up to 50 elements of eligibility. Each element must be individually documented using acceptable standards of evidence. In addition to regulations, federal agencies issue manuals of instruction and other written guidelines to ensure that all states operate quality control measures uniformly. Reports On Findings for each case reviewed are sent to district administrators and the Department's executive staff as well.

Reviews result in one of the following findings as shown in Figure E.1:

- (1) Correct,
- (2) Underissuance,
- (3) Overissuance,
- (4) Totally Ineligible, or
- (5) Dropped from the sample.

The U.S. Department of Agriculture re-reviews one-third of the quality control food stamp cases selected to validate the process. Differences in the re-reviews are used in a regression formula to determine the regressed error rate. The regressed error rate is used to determine sanctions that may be imposed against the State.

Food Stamp Sample Findings

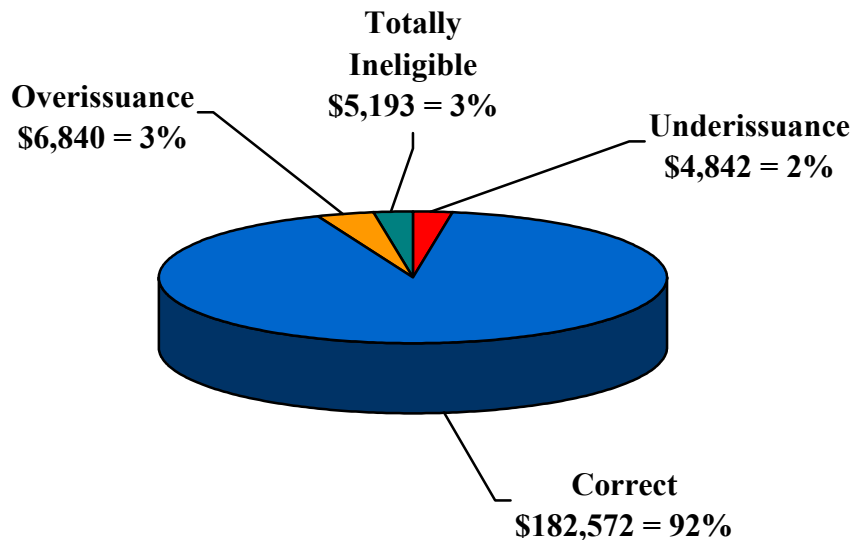


Figure: E.1
Source: Office of Quality Control

ERROR RATES

Error rates reflect the percentage of public assistance money misspent by the State For Federal FY 2000, the error rate for food stamps was 9.24 percent (**Figure E.2**) and Temporary Assistance to Needy Families was 6.80 percent (**Figure E.3**). *This is the second to lowest food stamp error rate since 1988.*

MEDICAID

The Medicaid program is administered by the Agency for Health Care Administration; however, this Department determines eligibility. Since the error rate has been below the 3 percent national tolerance level for several years, Florida was granted a waiver of the Medicaid error rate determination process in October 1999. The State conducted a pilot project to increase identification and participation of eligible Medicare beneficiaries in the Medicaid Program.

Phase 1 of Medicaid Pilot Project

Quality Control reviewed, verified, and formulated 2,098 buy-in file output error reports to prevent future errors.

Phase 2 of Medicaid Pilot Project

Quality Control examined 3,807 active cases to ensure enrollment in the Qualified Medicare Beneficiaries, Special Low-income Medicare Beneficiary or Part B Medicare Only programs, if eligible, and to verify successful buy-in services.

Phase 3 of Medicaid Pilot Project

Quality Control reviewed 2,535 Qualified Medicare Beneficiaries closure cases to verify if negative actions were taken correctly and to determine if the client remained eligible for the Special Low-income Medicare Beneficiary, Part B Medicare Only programs, or other Medicaid services at the time of closure.

Quality Control conducted 500+ monthly Medicaid Disability Application Reviews, for timely processing as part of the Spencer vs. Bush settlement.

In January 2001, Quality Control conducted reviews of the Medicaid Kidcare program to determine the application effectiveness.

REPORTS AND CORRECTIVE ACTION EFFORTS

Quality Control produces a monthly statistical analysis that contains information to reduce erroneous payments. This report identifies areas of eligibility that contain errors, plus an analysis of what caused the errors. The report breaks down district and agency-caused errors versus client-caused errors and presents trend information comparing the current year with last year.

The Quality Control unit also participates quarterly in a statewide Quality Service Committee to share error rate information and error rate reduction ideas.

Quality Control staff provide training on interviewing skills and error reduction techniques to the districts as required.

ERROR RATE SUMMARY FOOD STAMPS (Federal Fiscal Year 2000)

- Statewide Error Rate - 9.24%
- Agency Portion 43.4% of the error rate:
 - Failed to Act – 57.8%
 - Policy Incorrectly Applied – 32.9%
 - Arithmetic – 4.2%
 - Other – 5.1%
- Client Portion 56.6% of the error rate:
 - Information Not Reported – 69.7%
 - Willful Misrepresentation – 23.6%
 - Information Incorrect – 6.7%
- Most error prone eligibility element:
 - Wages and Salaries 43.08%
- 167 of 1,251 cases completed

Five-Year Trend

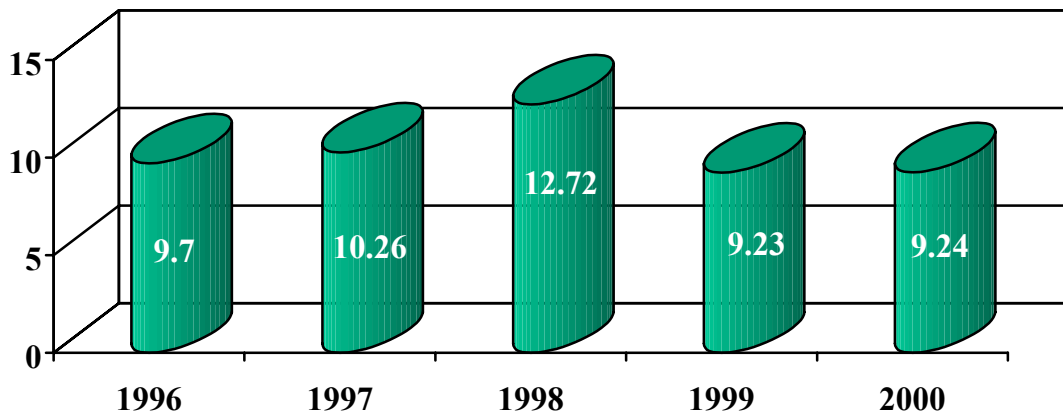


Figure: E.2
Source: Office of Quality Control

ERROR RATE SUMMARY
Temporary Assistance to Needy Families (TANF)
Aid to Families with Dependent Children (AFDC)
(Federal Fiscal Year 2000)

- Statewide Error Rate – 6.80%
- Agency Portion 52.9% of the error rate
 - Failed to Act – 60.3%
 - Policy Incorrectly Applied – 35.7%
 - Other – 3.6%
 - Arithmetic – 0.4%
- Client Portion 47.1% of the error rate
 - Information Not Reported – 44.7%
 - Willful Misrepresentation – 9.1%
 - Information Incorrect – 46.2%
- Most error prone eligibility element
 - Wages and Salaries – 24.70%
- 130 of 1,232 cases completed

Five-Year Trend

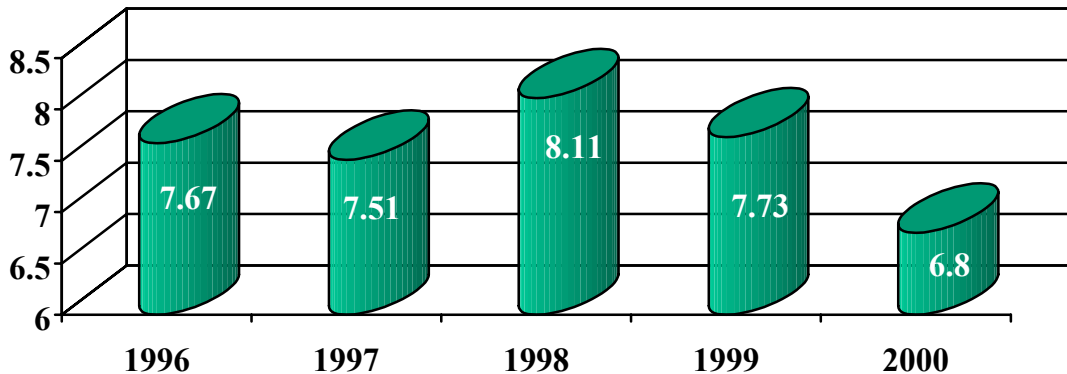


Figure: E.3
Source: Office of Quality Control