

Department of Children and Families

Office of Inspector General



Annual Report

Presented

September 29, 2011

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Governor**

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Executive Summary

In accordance with §20.055, Florida Statutes (F.S.), the Office of Inspector General (OIG) is “established in each state agency to provide a central point for coordination of and responsibility for activities that promote accountability, integrity, and efficiency in government.” Additionally, the Inspector General is required to complete an annual report by September 30, summarizing the office’s activities during the prior fiscal year. Consistent with these duties, the following accomplishments, highlights and activities demonstrate significant efforts of the OIG staff during Fiscal Year 2010-2011:

- Received, reviewed and processed 1,426 complaints or requests for assistance from Department managers, employees, clients, or citizens;
- Completed 102 investigations and 2 management reviews that examined allegations of violations of rule, statute, policy or systemic issues, and tracked 104 Corrective Action Plans by management to ensure responses to recommendations for personnel action or policy clarification were appropriately addressed;
- Processed 2,865 current and former Department and provider employee reference checks;
- Conducted 74 Outreach Training Sessions for 2,240 Department and/or provider employees on the role of the Office of Inspector General, when to report suspected employee wrongdoing, the Whistle-blower’s Act, and how to recognize violations of statute, rule, policy, or contract, especially as it relates to falsification of child protection records;
- Established a telephone hotline for individuals to report concerns or alleged violations of the federal Fair Labor Standards Act by Department employees;
- Published 12 assurance or consulting reports that contained 25 recommendations for improvement of efficiency and effectiveness in Department programs;
- Reviewed 222 Department contractor and provider audit packages of state financial assistance as required by §215.97, F.S.;
- Received and processed over 9,100 fair hearings requests and conducted over 2,400 fair hearings for applicants or recipients of public assistance programs and individuals being transferred or discharged from nursing facilities; and
- Played a leadership role in the Inspector General community by assisting the Office of the Chief Inspector General with activities promoting the Accreditation of the Inspector General Investigative function; coordinating Whistle-blower’s Act responsibilities; and collaborating with Inspectors General to identify efficiencies through an enterprise-wide approach to internal auditing and consulting projects.

Introduction

The Department of Children and Families (Department), Office of Inspector General (OIG) has worked diligently to meet its statutory mandates and fulfill its mission of “Enhancing Public Trust in Government.” This annual report summarizes the OIG’s activities and accomplishments for Fiscal Year 2010-2011.

Statutory Requirements

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

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

Professional Certifications

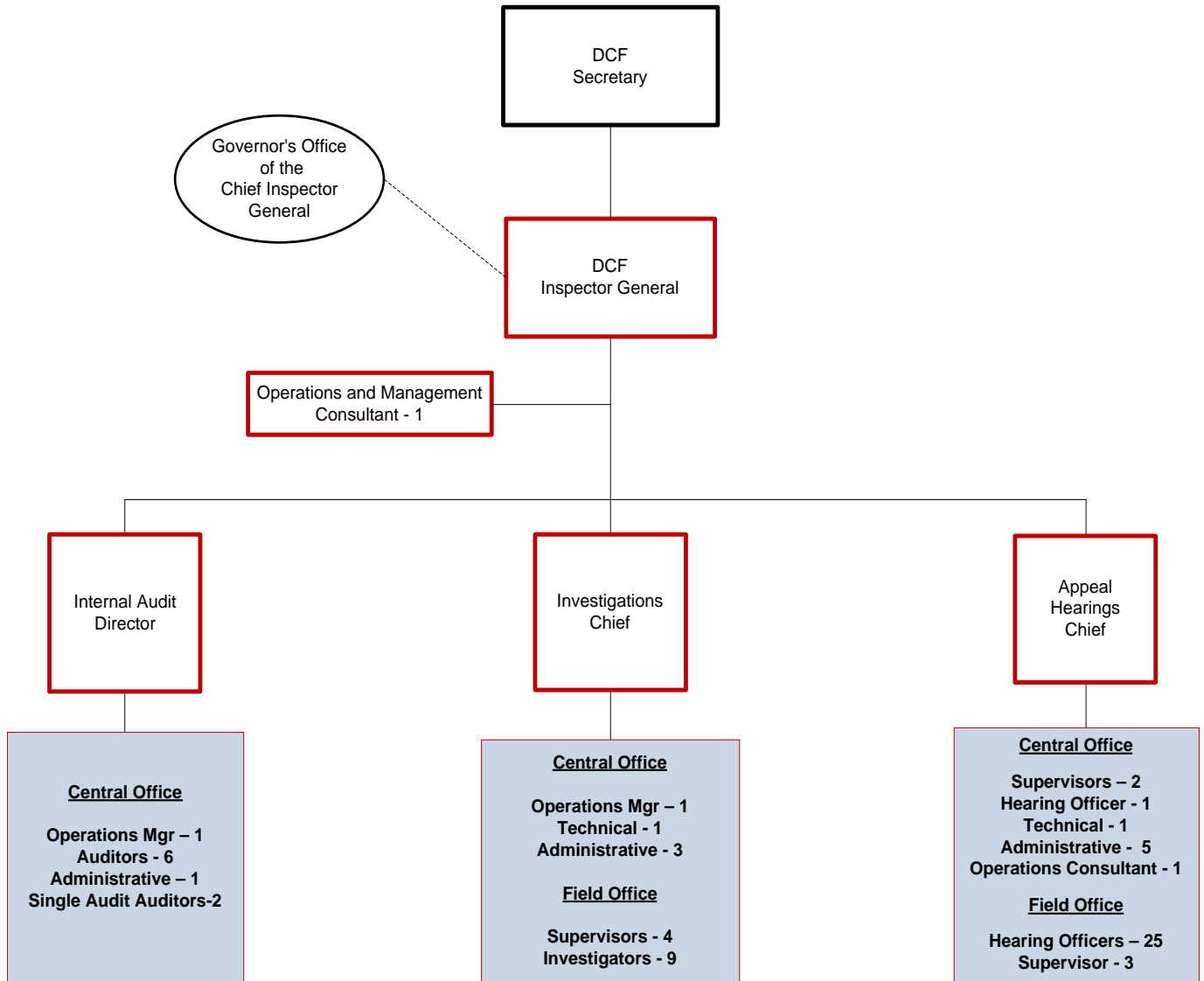
Staff members hold the following certifications:

- Certified Fraud Examiner (1)
- Certified Government Auditing Professional (1)
- Certified Hearing Official (4)
- Certified Information Systems Auditor (2)
- Certified Inspector General (2)
- Certified Inspector General Investigator (2)
- Certified Internal Auditor (2)
- Certified Public Accountant (3)
- Certified Welfare Fraud Investigator (1)
- Certified Public Manager (1)
- Certified Child Protective Investigator (1)
- Members of the Florida Bar (4)

The 1st Vice President and Treasurer of the Florida Chapter of the Association of Inspectors General are agency IG employees.

Organizational Chart

As of June 30, 2011, the Office of Inspector General consisted of three units: Investigations, Internal and Single Audit, and Appeal Hearings, totaling 71 positions. The Appeal Hearings and Investigations staff are located in field offices throughout the state.¹



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

Investigations Unit

Intake Section

The Intake Section handles incoming calls and reviews all complaints or requests for assistance received via telephone, letter, fax or email by the Investigations Unit. The Intake Section reviewed a total of 1,423 complaints or requests for assistance.

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

- 962 were referred to Department management for handling as deemed appropriate;
- 188 were referred to Department management for review and response;
- 162 were processed by this office with no further action needed;
- 108 were opened for investigation or management review;¹ and,
- 6 were non-jurisdictional and were referred to the appropriate entity.

The Intake Section received a total of 2,103 phone calls.

Of the total number of phone calls received:

- 806 were referred or transferred to appropriate DCF personnel;
- 433 were information only;
- 422 were Office of Inspector General administrative matters;
- 310 were insufficient complaints or non-jurisdictional matters;
- 106 were wrong numbers or terminated calls; and,
- 26 were received on the Fair Labor Standards Act (FLSA) Hotline.

Investigations Section

Section staff initiate investigations or management reviews when violations of rule, statute, policy and/or contract are alleged, including those filed under the Whistle-blower's Act.² While investigations are administrative in nature, criminal violations are often discovered during the investigative process. When a determination is made that the subject of an investigation has committed a potential criminal violation, the investigation is coordinated with local law enforcement agencies, the Florida Department of Law Enforcement, or the appropriate State Attorney's Office for criminal prosecution.

¹ Three of the 108 cases were actually assigned as investigations during the FY 2011-2012. As a result, only 105 cases were assigned during FY 2010-2011.

² The Whistle-blower's Act, §112.3187-112.31895, F.S., is intended to protect current employees, former employees, or applicants for employment with state agencies or independent contractors from retaliatory action. Whistle-blower designation is determined by the OIG in consultation with the Governor's Chief Inspector General's office. If a complaint meets whistle-blower criteria, the whistle-blower's identity is protected from release and an investigation is conducted pursuant to §112.3189, F.S.

Investigations and Management Reviews

- 111 cases were opened for investigation or management review.¹
- 102 investigations and 2 management reviews were completed.²

Whistle-blower Investigations

- 7 investigations were completed in accordance with the Whistle-blower's Act involving eight individuals who were granted Whistle-blower status.

Recommended Corrective Action Plans

Based on the information revealed during the course of an investigation or management review, the Investigations Unit may make certain recommendations in the form of a Corrective Action Plan for process improvement to Department or contracted provider management. The recommendation(s), along with the final report, are sent to all appropriate parties and actions are tracked to completion. A total of 104 Corrective Action Plans, which contained a total of 119 recommendations, were issued by the Investigations Unit.

Personnel Actions Associated with Investigations

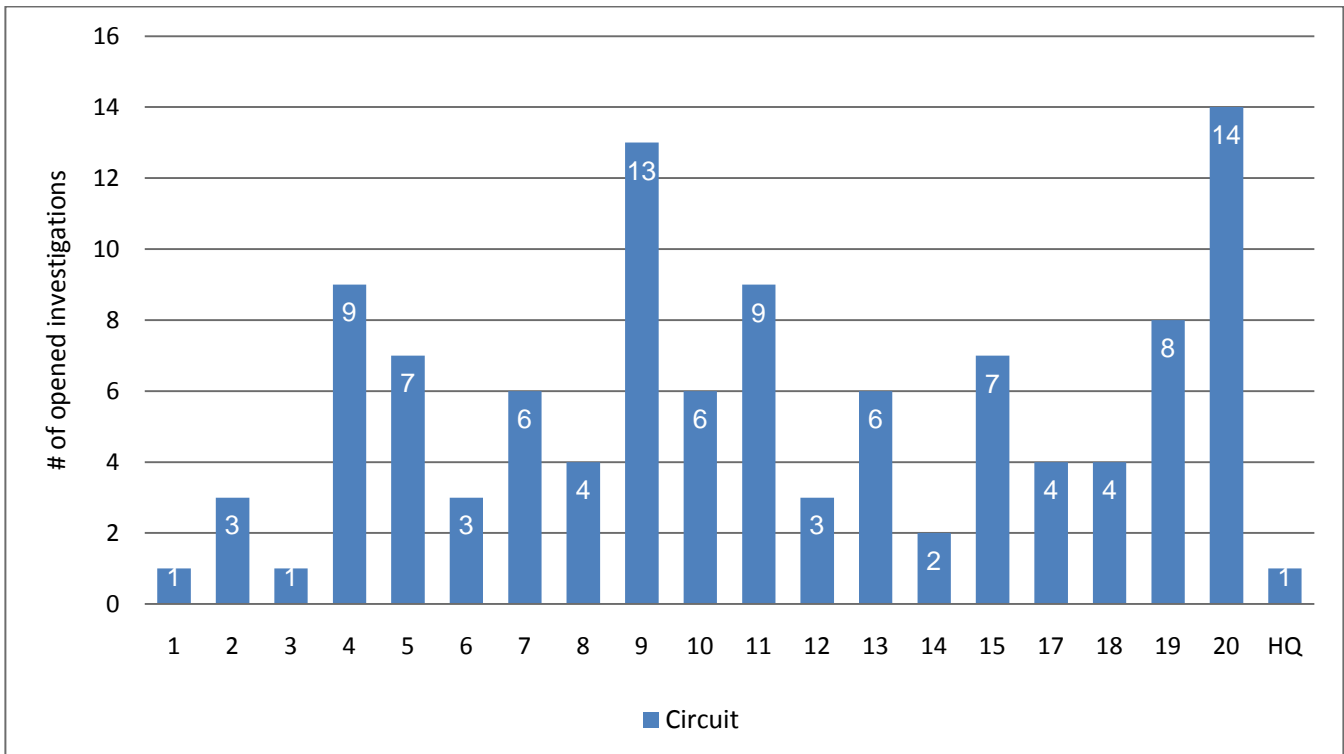
Personnel actions can also take place as a result of allegations reported to the OIG or completed investigations by the OIG. The following actions were reported to the OIG and took place at the discretion of management or the employee themselves:

- 43 Terminations
- 27 Resignations
- 11 Written Reprimands
- 8 Suspensions or Demotions

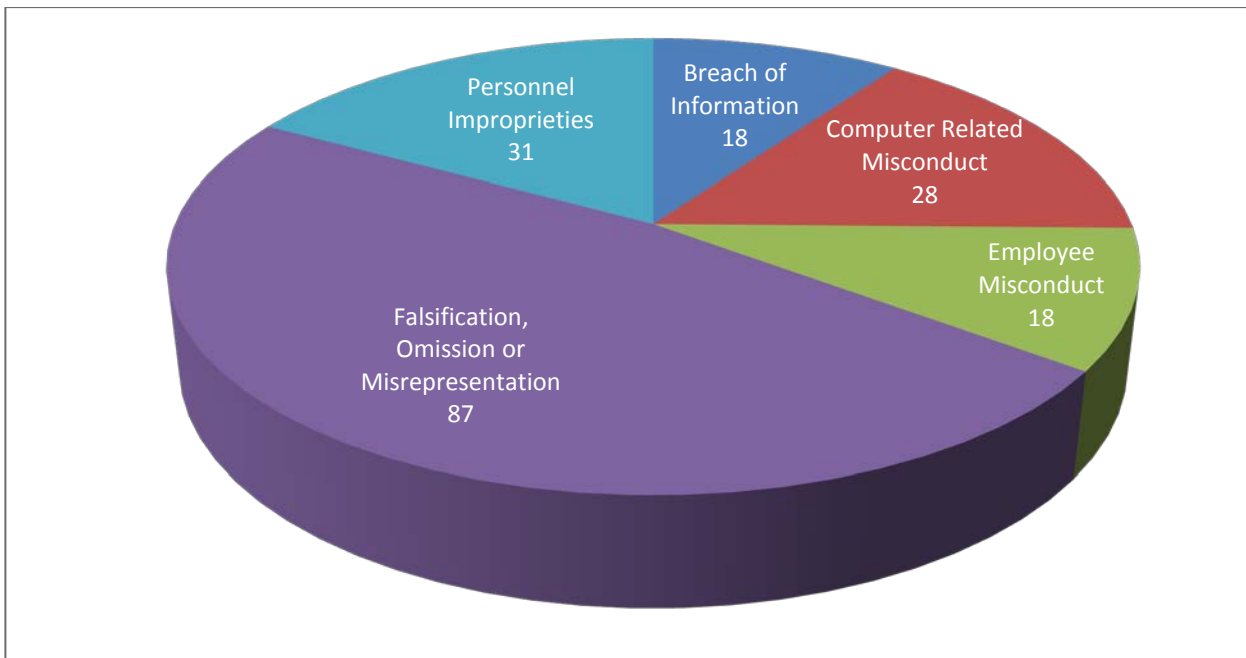
¹ Six of the 111 cases resulted from correspondences received during FY 2009-2010.

² Investigations and management reviews can be found on our website at <http://www.dcf.state.fl.us/admin/ig/reports/default.aspx>.

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



The top five allegation types and corresponding numbers of allegations investigated for cases closed are as follows:



Public Records Requests

The Investigations Unit responded to 50 public records requests under Chapter 119, F.S.

Inspector General Reference Checks

Current and former Department and provider employees being considered for re-hire, transfer, promotion, or demotion, by the Department or its contracted employers are screened by the Investigations Unit to determine if they had been involved in an OIG investigation. The Investigations Unit processed 2,865 reference check requests.

Inspector General Outreach Program

The Investigations Unit offers an outreach program with Community-Based Care providers, their subcontractors, and Department staff. This program involves meeting with management and their subordinate staff, and conducting training sessions to educate them on the role of the OIG, when to report suspected employee wrongdoing, protection afforded under the Whistle-blower's Act, and how to recognize violations of statute, rule, policy, or contract, specifically potential falsification of records under §839.13(2)(a) and §839.13(2)(c), F.S. A total of 74 training sessions, involving 2,240 individuals, were completed with Department employees and/or Community-Based Care and subcontractor agencies.

Internal and Single Audit Unit

Internal Audit Section

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

The Internal Audit Section published 12 reports,¹ which included 25 recommendations for improvement. The reports also identified questioned costs, duplicate billings, and ineligible costs. The section coordinated with external auditors such as Florida's Auditor General, the Federal Department of Health and Human Services, Office of Inspector General and the Office of Program Policy Analysis and Government Accountability to avoid duplicative efforts and facilitate the auditing process. Ten external report responses were coordinated and 108 liaison activities, such as requests for responses and information gathering for audits and reviews underway, were facilitated. Three external follow-up audits were conducted.

Single Audit Section

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

The mission of the Single Audit Section is to interpret the critical information provided by independent external auditors and to keep management and contract managers apprised of pertinent financial information contained in the reports. The section's two staff members reviewed 222 provider audit packages. In addition, the Single Audit Section staff provides clarification and guidance to independent auditors on the complex and changing requirements of state and federal audits. Many of the audit reports reviewed required follow-up with the contract manager. Issues communicated ranged from minor issues where the contract manager simply needed to be informed, to more significant issues where corrective action was required from the provider. The Single Audit Section staff also provides feedback to external auditors when improvements are needed in the process.

¹ All reports can be found on our website at <http://www.dcf.state.fl.us/admin/ig/reports/auditsearch.aspx>.

Appeal Hearings Unit

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

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

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

Hearings Authority

The unit operates pursuant to the following statutory authorities:

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

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

The major controlling federal regulations are:

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

Hearings Jurisdiction

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

Automated Community Connection to Economic Self-Sufficiency (ACCESS)

- Temporary Assistance to Needy Families (TANF)
- Food Assistance
- Disaster Food Assistance Program

- Medicaid Eligibility
- Refugee Assistance Program
- Institutional Care Program
- Optional State Supplementation

Medicaid Benefits

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

Others

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

Completed Hearings Activities

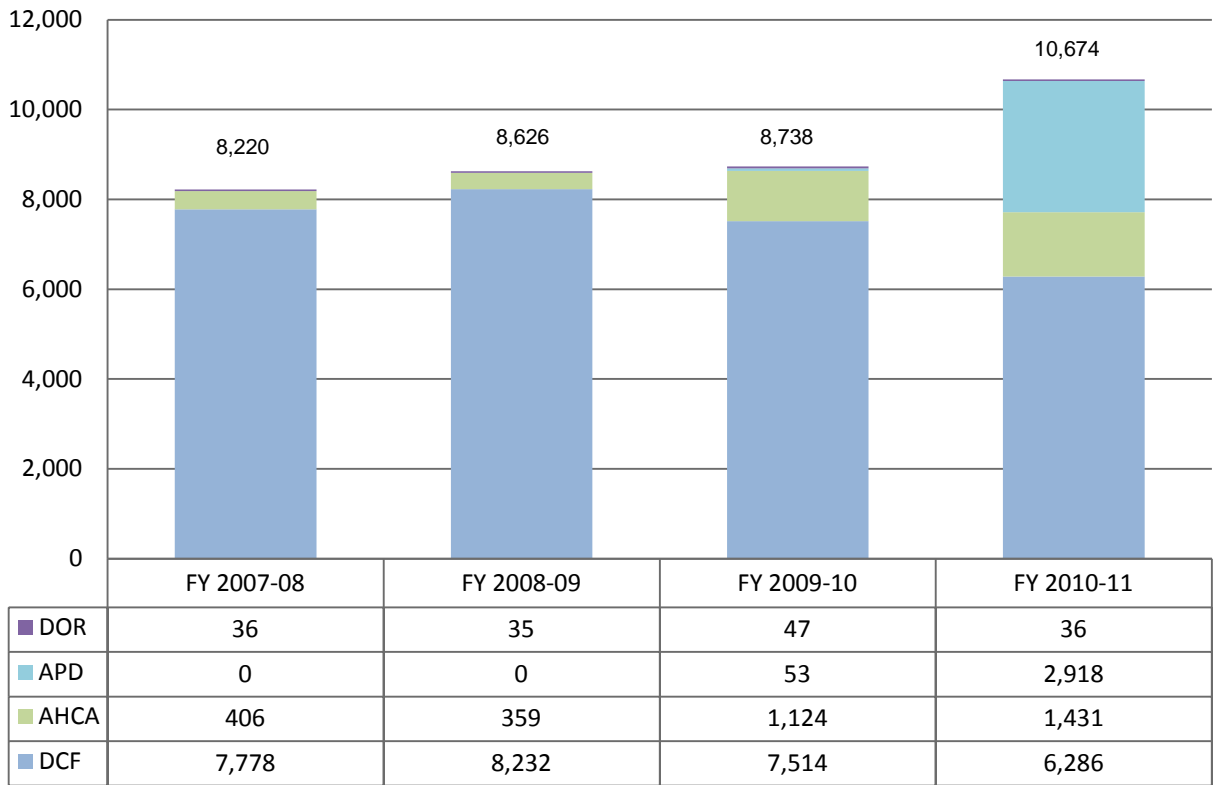
- 9,136 fair hearing requests were completed.
 - 6,690 were settled or the customer abandoned the request by failing to appear for the hearing.
 - 2,446 fair hearings were conducted.
- 107 disqualification hearings for cash assistance or for Food Assistance Program benefits were conducted and completed.
- 213 nursing facility discharge or transfer hearings were completed.
 - 155 were settled or the customer abandoned the request by failing to appear for the hearing.
 - 58 nursing facility hearings were conducted.

Additionally, the unit processed 2,116 waivers of Administrative Disqualification Hearings.

Agency for Persons with Disabilities Medicaid Waiver Hearings

The legislature assigned responsibility for the Agency for Persons with Disabilities (APD) Medicaid Waiver fair hearings to the Appeal Hearings Unit, effective July 1, 2010. The office received 2,918 hearing requests during this fiscal year, along with 53 requests that had been pending from the prior fiscal year. APD has plans to implement additional Medicaid Waiver cost savings during the upcoming fiscal year and a similar number of hearing requests are anticipated for fiscal year 2011-2012.

Fair Hearing Requests Received by Agency During the Past Four Fiscal Years



Northwood Shared Resource Center

The shared resource center model allows agencies to maintain control and ownership of their applications but share administrative responsibilities. The shared resource center concept was implemented as a way to begin consolidating data centers to provide cost savings. Specifically, §282.201, F.S., outlines information about state data center systems, agency duties and responsibilities, and legislative intent, which states in pertinent part:

“The Legislature finds that the most efficient and effective means of providing quality utility data processing services to state agencies requires that computing resources be concentrated in quality facilities that provide the proper security, infrastructure, and staff resources to ensure that the state's data is maintained reliably and safely, and is recoverable in the event of a disaster.”

Established in §282.204, F.S., the Northwood Shared Resource Center (NSRC) began operating as a primary data center (PDC) on July 1, 2009 and is an agency established within the Department for administrative purposes only. The NSRC is not subject to the control, supervision, or direction of the Department; however, through a Memorandum of Understanding between the Department and the NSRC, the Department provides support services to the NSRC including services of the Department's OIG.

OIG Internal Audit staff coordinated an external audit by the Auditor General's Office of the Northwood Shared Resource Center during the fiscal year.

Appendix

Summary of Investigations and Corrective Actions Completed During FY 2010-2011

Headquarters

1. 2009-0078 A Substance Abuse and Mental Health Program Office (SAMH) Operations and Management Consultant Manager (OMCM) improperly procured contracts. **Not Supported.** The SAMH OMCM requested a subordinate employee to approve invoices that were not in line with contracted deliverables. **Not Supported.** The Department was negligent in hiring the SAMH OMCM. **Not Supported.** The SAMH OMCM made a threat of physical harm against a subordinate employee. **Neither Supported Nor Refuted.**
Corrective Action: Children and Families Operating Procedures (CFOP) 60-25, Chapter 1, was revised regarding the completion of employer reference checks to include the following policy language: "A reference check should be done with the candidate's supervisor(s), former supervisor(s), or a supervisor in the chain of command. References from nonsupervisory workers are not acceptable."

Circuit 1

1. 2010-0027 A Team Manager, Director of Family Services, and Vice President of a contracted provider approved payment for children placed in the care of a non-licensed foster parent. **Supported.**
Corrective Action: The Assistant Secretary for Operations, Assistant Secretary for Administration, and the Northwest Regional Director completed a fiscal and compliance review regarding each child placed in the foster parent's home. Region and Circuit staff also formed a workgroup that developed a process to monitor the contracted provider's purchase of service requests.
2. 2010-0041 A Child Protective Investigator falsified a child protective investigation record in Florida Safe Families Network. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

Circuit 2

No investigations were completed in Circuit 2 during the fiscal year.

Circuit 3

1. 2011-0039 A Child Protective Investigator falsified Florida Safe Families Network records. **Not Supported.**
Corrective Action: None necessary.

Circuit 4

1. 2009-0074 Whistle-blower A Dependency Case Manager of a contracted provider knowingly documented misleading information in a home study which was submitted to the Court with the approval of the Dependency Case Manager Supervisor, Assistant Program Manager, and Program Manager of the contracted provider. **Supported** as to the Dependency Case Manager and **Not Supported** as to the Dependency Case

Manager Supervisor, Assistant Program Manager, and Program Manager. A Dependency Case Manager failed to initiate the Interstate Compact on the Placement of Children (ICPC) prior to placing children out-of-state. **Supported.**

Corrective Action: The Dependency Case Manager's employment was terminated. The contracted provider's staff were briefed on the facts and circumstances of the case during a training session that also included reminders of protocols governing home studies and ICPC requests, and that a subject matter expert exists to assist staff that coordinate and track ICPC related activities. The Adoption Supervisor is now tasked with researching and reporting best practices relating to home studies for the purpose of improving the contracted provider's processes.

2. 2009-0079 A Child Protective Investigator falsified a child protective investigation record in Florida Safe Families Network. **Supported.** The Child Protective Investigator falsified another child protective investigation record in Florida Safe Families Network. **Supported.** The Child Protective Investigator falsified an additional child protective investigation record in Florida Safe Families Network. **Supported.**

Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file. A letter was also sent to the employee requesting reimbursement in the amount of \$20.68 for fraudulent travel claims.

3. 2009-0084 An Economic Self-Sufficiency Specialist accessed a FLORIDA case without a legitimate business reason. **Supported.** The Economic Self-Sufficiency Specialist took action on a case of personal interest. **Supported.**

Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. The ACCESS Program Office implemented a "Professional Standards Training" course, which is available on the ACCESS Training intranet web page for staff to access at anytime. The ACCESS Program developed and delivered this training to ensure that staff were aware of the procedures regarding accessing cases without a legitimate business reason and taking action on cases of personal interest.

4. 2009-0090
Whistle-blower A Child Protective Investigator Supervisor instructed a Department employee to postpone a mandatory child abuse report to the Hotline. **Not Supported.** A Program Administrator and her management staff (five Child Protective Investigator Supervisors) withheld compensation from employees at the Jacksonville Regional Service Center and the Century Plaza Service Center. **Not Supported.** Employees at the Jacksonville Regional Service Center and Century Plaza Service Center are subjected to a hostile work environment by management staff (the Program Administrator and five Child Protective Investigator Supervisors). **Not Supported.**

Corrective Action: Family Safety and Adult Protective Services managers reviewed policies and procedures related to employee compensation and reinforced them to staff to ensure compliance with the federal Fair Labor Standards Act.

5. 2010-0030 A Family Services Counselor for a subcontracted provider falsified child protective supervision records in Florida Safe Families Network. **Supported.** The Family Services Counselor breached confidentiality by allowing an acquaintance to transport a Department client. **Supported.**

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

6. 2010-0031 A Child Protective Investigator falsified a child protective investigation record in Florida Safe Families Network. **Supported.**
Corrective Action: The employee received a one-day suspension. The employee's work began being monitored by a Child Protective Investigator Supervisor who provides counseling and coaching as needed. A random sampling of the employee's cases was completed and was reviewed by a Family Safety Specialist for quality assurance purposes.
7. 2010-0051 A Family Services Counselor of a subcontracted provider falsified Florida Safe Families Network documentation concerning a home visit. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. A reminder was issued to all staff of the subcontracted provider that upon hire, all volunteers must sign a Confidentiality and Non-Disclosure Agreement form.
8. 2010-0055 A Child Protective Investigator falsified a child protective investigation record in Florida Safe Families Network. **Not Supported.**
Corrective Action: Child Protective Investigation and Adult Protective Investigation staff were reminded of the need to document accurate information at all times in Florida Safe Families Network, particularly in the event that information is being "copied and pasted" from one case to another. Program Administrators and supervisors addressed the issue during scheduled unit meetings and individual conferences.
9. 2010-0056 A Care Coordinator of a subcontracted provider falsified a child protective supervision record in Florida Safe Families Network. **Not Supported.**
Corrective Action: The employee resigned.
10. 2010-0064 An Adult Protective Investigator falsified adult protective investigation records in Florida Safe Families Network. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
11. 2010-0097 A Family Services Counselor of a subcontracted provider falsified Florida Safe Families Network chronological notes concerning two unrelated face-to-face home visits. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

Circuit 5

1. 2009-0058 A Family Care Manager of a subcontracted provider falsified a chronological note in Florida Safe Families Network by documenting a face-to-face home visit with a foster child. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

2. 2010-0039 A Dependency Case Manager of a subcontracted provider falsified child protective supervision records in Florida Safe Families Network. **Supported.**
Corrective Action: The employee was terminated and a copy of the investigative report was placed in the employee's personnel file. In conjunction with the investigation, a review of the employee's travel was conducted and it was determined that the employee was paid \$181.21 for fraudulent travel claims. As a result, the Community-Based Care (CBC) provider reimbursed the Department for the fraudulent travel claims made by the employee in the amount of \$181.21, and the subcontracted provider in turn reimbursed the CBC and sought recoupment for that same amount from the employee.
3. 2010-0081 A Child Protective Investigator falsified chronological notes in a child protective investigation in Florida Safe Families Network. **Supported.** The Child Protective Investigator breached confidential information concerning a child protective investigation. **Neither Supported Nor Refuted.** The Child Protective Investigator falsified chronological notes in another child protective investigation in Florida Safe Families Network. **Supported.** The Child Protective Investigator falsified chronological notes in another child protective investigation in Florida Safe Families Network. **Supported.** The Child Protective Investigator falsified chronological notes in a child protective investigation in an additional Florida Safe Families Network. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
4. 2011-0002 An Economic Self-Sufficiency Specialist I accessed Department computer programs without a legitimate business reason. **Neither Supported Nor Refuted.** The Economic Self-Sufficiency Specialist I disclosed confidential information to an unauthorized individual. **Not Supported.** The Economic Self-Sufficiency Specialist I took action in cases of personal interest. **Not Supported.**
Corrective Action: A copy of the report, written reprimand, and Standards of Conduct were placed in the employee's personnel file.
5. 2011-0013 A Children's Legal Services Supervising Attorney released confidential foster parent information to unauthorized individuals. **Not Supported.** A Circuit 5 Community-Based Care Subcontract Family Care Manager released confidential foster parent information to unauthorized individuals. **Supported.**
Corrective Action: The employee remained employed but a copy of the report was placed in the employee's personnel file. All staff of the subcontract provider were trained by Children's Legal Services on the release of public records. The foster parent, whose information was potentially compromised, was reimbursed by the subcontract provider for the purchase of identity theft protection services.
6. 2011-0015 A Registered Nurse Specialist falsified information on a State of Florida Employment Application which she submitted to the Office of Attorney General Medicaid Fraud Control Unit. **Supported.**
Corrective Action: The employee received a written reprimand in the form of a memorandum that was placed in the employee's personnel file asking for a completed state application that accurately reflects the employee's education. A copy of the report was placed in the employee's personnel file.

Circuit 6

1. 2008-0009 An Adult Protective Investigator falsified entries in Florida Safe Families Network regarding face-to-face visits with vulnerable adults in ten separate cases. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
2. 2010-0082 A Case Manager Supervisor of a subcontracted provider falsely documented Florida Safe Families Network chronological notes that she conducted mandatory supervisory case management reviews in nine active cases. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. All supervisory staff for the subcontracted provider signed an acknowledgement form following a Supervisory Review Training relating to supervisory reviews.
3. 2010-0020 A Case Manager of a subcontracted provider supplied false information in a Judicial Review Social Services Report and during a subsequent Judicial Review Hearing. **Not Supported.** The Case Manager mishandled a case by providing misleading testimony during a Disposition and Case Plan Approval Hearing. **Supported.** The Case Manager falsely documented in a Judicial Review Social Services Report for a Department client that referrals for services had been submitted. **Not Supported.** The Case Manager falsified a letter contained in a Status Review involving a Department client. **Not Supported.**
Corrective Action: The employee received a written reprimand and a copy of the report was placed in the employee's personnel file. The issue regarding the electronic submission of Interstate Compact for the Placement of Children (ICPC) packets and possible associated delays was addressed on a statewide ICPC call.
4. 2011-0030 An Economic Self-Sufficiency Specialist falsified ACCESS Integrity Program (AIP) and FLORIDA records. **Supported.** The Economic Self-Sufficiency Specialist falsified AIP records. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.

Circuit 7

1. 2010-0040 An Adult Protective Investigator falsified adult protective investigation records in Florida Safe Families Network. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
2. 2010-0072 A Circuit 7 Child Protective Investigator accessed a case without a legitimate business reason. **Supported.** The Circuit 7 Child Protective Investigator accessed three additional cases without a legitimate business reason. **Supported.** A Circuit 18 Child Protective Investigator disclosed confidential reporter information to unauthorized individuals. **Not Supported.** The Circuit 18 Child Protective Investigator investigated a child abuse complaint against a family with whom she was personally acquainted. **Not Supported.**

Corrective Action: The Circuit 7 employee was terminated and a copy of the report was placed in the employee's personnel file.

3. 2010-0088
An Economic Self-Sufficiency Specialist I accessed Department and/or other state agency computer programs without a legitimate business reason. **Supported.**
Corrective Action: The employee received a one-day suspension. The employee was required to retake the Security Awareness Training as a reminder that it is a violation of policy to access a Department computer system without a legitimate business purpose.
4. 2010-0090
An Adult Protective Investigator Supervisor requested and obtained the Florida Safe Families Network User IDs and Passwords of her subordinates. **Not Supported.**
Corrective Action: The Northeast Regional Director coordinated with the Northwood Information Technology Department to incorporate the recertification of the Security Agreement Form (CF114) within the 2011 Security Awareness Training that is required by all Department staff each year.
5. 2010-0091
A Child Protective Investigator accessed Department of Highway Safety and Motor Vehicles Metropolitan Area Network Driver and Vehicle Express (mDAVE) records without a legitimate business reason. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

Circuit 8

1. 2009-0077
A Family Care Counselor of a subcontracted provider falsified Chronological Notes in Florida Safe Families Network pertaining to face-to-face interviews. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
2. 2010-0066
A Child Protective Investigator falsified child protective investigation records in two Florida Safe Families Network cases. **Supported.** The Child Protective Investigator falsified child protective investigation records in two additional Florida Safe Families Network cases. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
3. 2010-0083
A Child Protective Investigator disclosed confidential reporter information to unauthorized individuals. **Not Supported.** The Child Protective Investigator created a conflict of interest by investigating a case involving a personal acquaintance. **Not Supported.** The Child Protective Investigator mishandled an investigation by providing advanced notice to an unauthorized individual of a pending investigation. **Not Supported.**
Corrective Action: During the course of the investigation, management discovered that there was an unfulfilled public records request that has since been fulfilled with all records requested in accordance with the public records law.
4. 2011-0040
A Child Protective Investigator created a conflict of interest by assisting in a child protective investigation involving a personal acquaintance. **Not Supported.** The

Child Protective Investigator disclosed confidential information to an unauthorized person. **Neither Supported Nor Refuted.**

Corrective Action: None necessary.

Circuit 9

1. 2008-0091 A Child Protective Investigator falsified child protective investigation records in Florida Safe Families Network. **Supported.** The Child Protective Investigator falsified two additional child protective investigation records in Florida Safe Families Network. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
2. 2010-0035 A Child Protective Investigator advised acquaintances to initiate false reports to the Florida Abuse Hotline. **Neither Supported Nor Refuted.** The Child Protective Investigator intentionally damaged a Department-issued laptop computer. **Not Supported.** The Child Protective Investigator disclosed confidential reporter information to an unauthorized individual. **Neither Supported Nor Refuted.**
Corrective Action: None necessary.
3. 2010-0036 A Dependency Case Manager Supervisor and Dependency Case Manager of a subcontracted provider failed to make a mandatory child abuse report to the Florida Abuse Hotline (Hotline). **Not Supported.** A Dependency Program Director of a subcontract provider instructed employees not to make a mandatory child abuse report to the Hotline. **Not Supported.**
Corrective Action: The Dependency Program Director was terminated. The Community-Based Care organization began addressing within their Pre-Service and In-Service Training the issue of mandatory reporting of abuse and the responsibility of the employees to report such.
4. 2010-0059 A Case Manager of a subcontracted provider maintained a relationship with a Department client that constituted a conflict of interest. **Not Supported.**
Corrective Action: None necessary.
5. 2010-0061 A Dependency Case Manager of a subcontracted provider falsified a Florida Safe Families Network chronological note concerning a face-to-face home visit. **Not Supported.**
Corrective Action: None necessary.
6. 2010-0075 A Child Protective Investigator falsified child protective investigation records in Florida Safe Families Network. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
7. 2010-0084 A Dependency Case Manager of a subcontracted provider failed to make a mandatory abuse report to the Florida Abuse Hotline. **Not Supported.**
Corrective Action: None necessary.

8. 2010-0099 An Economic Self-Sufficiency Specialist I accessed Department of Highway Safety and Motor Vehicles Metropolitan Area Network Driver and Vehicle Express (mDAVE) records without a legitimate business reason. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
9. 2011-0007 An Economic Self-Sufficiency Specialist I accessed Department computer programs without a legitimate business reason. **Supported.** The Economic Self-Sufficiency Specialist I took action on a case of personal interest involving an acquaintance. **Not Supported.**
Corrective Action: The employee received a written reprimand, was reminded of the prohibition against accessing cases without a legitimate business reason, and a copy of the report was placed in the employee's personnel file.
10. 2011-0008 A Dependency Case Manager of a subcontracted provider falsified a child protective supervision record in Florida Safe Families Network. **Neither Supported Nor Refuted.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
11. 2011-0025 An Economic Self-Sufficiency Specialist I accessed Department and/or other state agency computer programs without a legitimate business reason. **Supported.** The Economic Self-Sufficiency Specialist I disclosed confidential information to unauthorized individuals. **Neither Supported Nor Refuted.** The Economic Self-Sufficiency Specialist I took action in a case of personal interest. **Not Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file. Letters were sent to all individuals whose information was accessed in order to offer them one year of identity protection services.

Circuit 10

1. 2010-0034 A Family Counselor of a subcontracted provider "forged" (falsified) signatures on six case documents. **Supported.** The Family Counselor utilized Publix gift cards provided by the subcontracted provider's clients to purchase grocery items for her own personal use. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
2. 2010-0043 A Case Manager of a subcontracted provider falsified a chronological note in Florida Safe Families Network regarding a face-to-face home visit. **Not Supported.**
Corrective Action: The employee resigned.
3. 2011-0006 A Family Case Manager of a contracted provider accessed a Florida Safe Families Network Case without a legitimate business reason to provide information to a former Foster Parent. **Not Supported.** The Family Case Manager violated policy by accepting personal gifts from a former Foster Parent in exchange for assistance in an adoption case. **Not Supported.**

Corrective Action: None necessary.

4. 2011-0011 A Case Manager of a subcontracted provider falsified records in Florida Safe Families Network concerning the date of a Family Visitation Plan. **Not Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
5. 2011-0021 An Economic Self-Sufficiency Specialist I accessed a Department computer program without a legitimate business reason. **Supported.** The Economic Self-Sufficiency Specialist I disclosed confidential information to unauthorized individuals. **Supported.**
Corrective Action: The employee received a written reprimand.

Circuit 11

1. 2010-0048 An Adult Protective Investigator breached confidentiality by taking family members with her while conducting adult protective investigations. **Supported.**
Corrective Action: The employee received a written reprimand. The Adult Protective Investigator Supervisor (APIS) was counseled on the necessity of making immediate notification of incidents to the Program Administrator. All Circuit APISs addressed with their staff that confidentiality must be ensured on all cases and the need to notify management when there is a breach.
2. 2010-0050 An Economic Self-Sufficiency Specialist I has been fraudulently receiving Food Stamp benefits. **Referred for Criminal Investigation.** The Economic Self-Sufficiency Specialist I mishandled an ACCESS case. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
3. 2010-0062 A Child Protective Investigator falsified two child protective investigative records in Florida Safe Families Network. **Supported.** The Child Protective Investigator failed to conduct a thorough investigation of a Florida Safe Families Network case. **Supported.** The Child Protective Investigator falsified an additional child protective investigation record in Florida Safe Families Network. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
4. 2010-0069 A Full Case Manager of a subcontracted provider falsified child protective records in Florida Safe Families Network concerning home visits. **Neither Supported Nor Refuted.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file. The Community-Based Care organization developed a computer system that is now in use, which notifies supervisors when a child has not been visited.
5. 2010-0079 A Youth and Family Specialist of a contracted provider falsified case management records. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

6. 2010-0100 A Family Support Worker misused the state Comdata Fuel and Maintenance Credit Card, as well as a State Vehicle, for personal gain. **Supported.** The Family Support Worker also falsified travel documents concerning the use of that State Vehicle. **Neither Supported Nor Refuted.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. South Region Family Safety Program employees who use fleet vehicles, including those with oversight responsibility, were trained regarding the requirements and procedures for proper documentation of Department travel records. Mileage logs and sign-in and sign-out logs are now maintained at each service center. These logs are reviewed by administrative staff to ensure mileage is properly documented for each fleet vehicle usage. The Program Administrator or designee now monitors the use of the gas cards for each time it is signed in or out and receipts are submitted by the staff using the gas card. Random spot checks are conducted by the Program Administrator or designee, specifically with regard to the vehicles located at the Opa-Locka Police Department. South Region Family Safety Program staff were reminded that state owned fleet vehicles cannot be taken to their residence, unless the exceptions contained in CFOP 40-2 apply.
7. 2011-0017 A Full Case Manager of a subcontracted provider falsified a chronological note in Florida Safe Families Network concerning a sibling visitation. **Supported.** The Full Case Manager used client funds for personal gain. **Neither Supported Nor Refuted.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. The subcontracted provider's supervisors began making courtesy calls to caregivers, foster parents, and treatment providers regarding the service needs of the children and adolescents under their care in order to detect any concerns or activities warranting further investigation. The subcontracted provider committed to using the cellular telephone technology that allows photographs with GPS tracking to be utilized during sibling visits to aid in identifying the actual location and day/time that the case manager conducted a sibling visit with children on their caseload.
8. 2011-0027 A Full Case Manager of a subcontracted provider falsified Florida Safe Families Network records concerning a face-to-face visit with the father of a dependent child. **Not Supported.**
Corrective Action: None necessary.
9. 2011-0036 A Child Protective Investigator breached confidentiality by revealing reporter information concerning a Florida Safe Families Network case. **Not Supported.**
Corrective Action: None necessary.

Circuit 12

1. 2009-0095 A Case Manager of a subcontracted provider falsified records in Florida Safe Families Network concerning a face-to-face visit. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

2. 2010-0042 An Independent Living Supervisor of a subcontracted provider used Florida Safe Families Network to access an Intake Report and other related documents without a legitimate business reason. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
3. 2010-0078 A Child Protective Investigator accessed the Department of Highway Safety and Motor Vehicles Metropolitan Area Network Driver and Vehicle Express (mDAVE) database to conduct research on individuals without a legitimate business reason. **Supported.**
Corrective Action: The employee received a five-day suspension. The Office of Inspector General sent a letter to all three individuals whose information was accessed to notify them of the inappropriate access to their personal information and offer them one year of individual identity theft protection. A memorandum was sent to all SunCoast Region employees reminding them of the parameters for appropriate access of records contained in Department systems and systems used by the Department through user agreements, as well as the consequences for accessing records without a legitimate business reason.
4. 2011-0001 A Family Services Counselor falsified People First timesheets by accruing time worked at the Department while she worked additional employment outside of the Department. **Supported.** The Family Services Counselor violated the Department Additional Employment Policy by failing to submit the required Notification of Additional Employment Outside of State Government Form (CF958) for approval prior to beginning her outside employment. **Supported.**
Corrective Action: A memorandum was sent to all Child Care Licensing Staff to remind them of the Department's policies and procedures regarding attendance, leave requests, travel, and dual employment.
5. 2011-0028 A Case Manager of a subcontracted provider accessed three cases in Florida Safe Families Network without a legitimate business reason. **Withdrawn.**
Corrective Action: None necessary.

Circuit 13

1. 2011-0010 An Adult Protective Investigator falsified Florida Safe Families Network records concerning a face-to-face visit. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
2. 2011-0016 An Economic Self-Sufficiency Specialist I breached confidential information. **Not Supported.**
Corrective Action: None necessary.

Circuit 14

1. 2010-0019 A Dependency Case Manager of a subcontracted provider falsified two child protective supervision records in Florida Safe Families Network. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

2. 2010-0047 A Child Protective Investigator Supervisor (CPIS) and Child Protective Investigator (CPI) accessed two Florida Safe Families Network Incident Reports without a legitimate business reason. **Supported** for the CPIS and **Neither Supported Nor Refuted** for the CPI. The CPIS and CPI completed an Early Learning Coalition daycare referral in lieu of another CPI doing so, which created a conflict of interest. **Supported.** The CPI provided her Florida Safe Families Network User Identification and password to the CPIS. **Supported.** The CPIS accessed an additional Florida Safe Families Network Incident Report without a legitimate business reason. **Not Supported.**
- Corrective Action:** The CPIS received a written reprimand and Final Counseling and the CPI received an oral reprimand with written documentation. The Circuit's Out-of-Town Inquiry and Conflict Case Criteria and Guidelines were updated and provided to all staff. An e-mail reminder was sent to all Circuit employees, and a meeting was held with managers and the Leadership Team to discuss the prohibition against sharing personal passwords. In addition, staff were required to re-sign the Security Agreement Form (CF114). An e-mail reminder was sent via Operations Program Administrators as a reminder to input case chronological notes within 48 hours of contact. Circuit management now use both Pre-Service Training and Florida Safe Families Network data reports "ticklers" to alert both the supervisors and investigators to approaching deadlines, which helps reinforce the requirements around timely documentations. The Family Safety Program Office revised its child welfare rules, to include Rule 65C-29, Florida Administrative Code. The revised language, practice directives, and training were disseminated statewide regarding the timely entry of data into Florida Safe Families Network.

Circuit 15

1. 2009-0097 An Adult Protective Investigator falsified four adult protective investigation records in Florida Safe Families Network. **Supported.**
- Corrective Action:** The employee was terminated and a copy of the investigative report was placed in the employee's personnel file.
2. 2010-0029 A Family Support Worker of a subcontracted provider falsified foster care records in the Community-Based Resource Information System and in Child Status Reports concerning three foster homes. **Supported.**
- Corrective Action:** The employee was terminated and a copy of the report was placed in the employee's personnel file. The Chief Executive Officer of the Community-Based Care (CBC) organization addressed the issue regarding the lack of Child Status Reports within case files with the subcontracted provider and all other child placing agencies that contract with the CBC.
3. 2010-0060 A Child Protective Investigator Supervisor breached confidentiality by authorizing a non-employee to access confidential information in five Florida Safe Families Network Intakes, and facilitating this activity by not collecting Department-issued equipment upon a former employee's separation from the Department. **Supported.**
- Corrective Action:** The employee received a five-day suspension.
4. 2010-0063 A Child Protective Investigator breached confidentiality by taking a friend with her to the home of a client. **Supported.** The Child Protective Investigator also

falsified child protective investigation records in Florida Safe Families Network regarding a Special Conditions referral. **Supported.**

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

5. 2010-0076 A Child Protective Investigator misused her Department-issued laptop computer by browsing internet websites unrelated to work duties during business hours outside of lunch and break times. **Supported.** The CPI used Department-issued equipment and resources for personal gain. **Supported.**

Corrective Action: The employee received a written reprimand.

6. 2011-0009 A Dependency Case Manager of a subcontracted provider falsified official records in Florida Safe Families Network concerning service referrals. **Not Supported.**

Corrective Action: None necessary.

Circuit 16

No investigations were completed in Circuit 16 during the fiscal year.

Circuit 17

1. 2010-0017
Whistle-blower A contracted provider breached various contracts by failing to competitively bid and re-procure subcontracts. **Not Supported.** The contracted provider breached the various contracts between the Department and the contracted provider by not conducting cost analysis of subcontracts. **Not Supported.** The contracted provider awarded a contract to a Department subcontractor in 2006 without competitively procuring or re-procuring the subcontract and based on a personal relationship between the contracted provider's Chief Executive Officer (CEO) and the subcontractor's President, therefore creating a conflict of interest. **Not Supported.** The contracted provider awarded a contract to a Department subcontractor without competitively procuring or re-procuring the subcontract and based on a personal relationship between the contracted provider's CEO, their Director of Quality Assurance, and the subcontractor's Proprietor, therefore creating a conflict of interest. **Not Supported.** The contracted provider awarded a contract to a Department subcontractor without competitively procuring or re-procuring the subcontract and based on a personal relationship between the contracted provider's CEO and an Independent Contractor's husband, a former Board of Trustees member with the contracted provider, thus creating a conflict of interest. **Not Supported.** The contracted provider misused state and/or federal funds provided to a Department subcontractor for a certified behavior analysis program in a group home. **Supported.** The contracted provider misused state and/or federal contract funds concerning funding provided to a Department subcontractor for the payout of outstanding leases. **Supported.** The contracted provider misused state and/or federal contract funds for a severance payout to their former Client Records Services Manager. **Neither Supported Nor Refuted.** The contracted provider misused state and/or federal contract funds by paying bonuses to their employees. **Neither Supported Nor Refuted.**
Corrective Action: Pending.

2. 2010-0052 A contracted Interview Clerk for the ACCESS Program misused her Department-issued computer by browsing internet websites unrelated to work duties during business hours outside of lunch and break hours. **Supported.** The contracted

Interview Clerk misused her Department-issued computer by browsing pornographic websites during business hours. **Supported.**

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

3. 2010-0077 A Children's Legal Services Senior Attorney misused her position to influence dependency court proceedings. **Not Supported.**

Corrective Action: None necessary.

4. 2011-0004 A Child Protective Investigator engaged in a personal relationship with a client. **Not Supported.**

Corrective Action: None necessary.

Circuit 18

1. 2010-0053 A Dependency Case Manager for a subcontracted provider falsified child protective supervision records in Florida Safe Families Network. **Not Supported.**

Corrective Action: None necessary.

2. 2010-0057 A Child Protective Investigator falsified child protective investigation records in Florida Safe Families Network. **Not Supported.**

Corrective Action: The employee received a written memorandum and verbal coaching was completed with the employee regarding the need to accurately document time on mileage trip logs and entries in Florida Safe Families Network should reflect those same times.

3. 2010-0086 A Child Protective Investigator falsified child protective investigation records in Florida Safe Families Network. **Neither Supported Nor Refuted.**

Corrective Action: The employee resigned.

4. 2011-0031 A Circuit Administrator misused state funds by needlessly renovating office space. **Not Supported.**

Corrective Action: None necessary.

Circuit 19

1. 2010-0045 A Dependency Case Manager of a subcontracted provider falsified a foster care document in Florida Safe Families Network. **Supported.** The Dependency Case Manager failed to report suspected child abuse to the Florida Abuse Hotline within the statutorily mandated timeframe. **Supported.**

Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file. For Quality Assurance purposes, supervisors now monitor for possible falsifications during their quarterly supervisory reviews and quarterly peer file reviews but do not audit their own files, providing an efficient and objective monitoring. The subcontracted provider now requires the use of blue ink for all forms that require signatures of clients, caregivers, or other case participants. The Community-Based Care organization Quality Management monitors quarterly for falsified documents during file reviews.

2. 2010-0054 A Child Protective Investigator accessed Florida Safe Families Network without a legitimate business reason. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
3. 2010-0070 An Economic Self-Sufficiency Specialist I took action on a case of personal interest. **Supported.** The Economic Self-Sufficiency Specialist I is listed as the treasurer of an Adult Nursing Facility that receives public assistance benefits, resulting in a conflict of interest. **Not Supported.**
Corrective Action: The employee received a written reprimand via a counseling memorandum and the memorandum was placed in the employee's personnel file. Each ACCESS unit supervisor met with their staff and discussed the Personal Interest Policy. During the meetings, staff were provided with a copy of the ACCESS policy, which they each signed acknowledging receipt and understanding.
4. 2010-0071 A Dependency Care Manager of a subcontracted provider falsified a child protective supervision record in Florida Safe Families Network. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.

Circuit 20

1. 2008-0080 A Child Welfare Case Manager of a subcontracted provider falsified records concerning face-to-face home and daycare visits in two Florida Safe Families Network cases. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
2. 2010-0044 A Child Protective Investigator falsely documented information in Florida Safe Families Network regarding a home visit. **Supported.** The Child Protective Investigator falsely documented information in Florida Safe Families Network regarding a field visit. **Supported.** The Child Protective Investigator breached confidential information regarding a child protective investigation. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.
3. 2010-0058 An Economic Self-Sufficiency Specialist I falsified records in the ACCESS Management System (AMS) and FLORIDA system concerning the completion of an interview with the customer in an ACCESS case. **Supported.** The Economic Self-Sufficiency Specialist I falsified records in AMS and FLORIDA system concerning the completion of an interview with the customer in an additional ACCESS case. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
4. 2010-0065 A Child Protective Investigator falsified records in four Florida Safe Families Network Intake Reports. **Supported.** The Child Protective Investigator falsified records in an additional Florida Safe Families Network Intake Report. **Supported.** The Child Protective Investigator falsified records in two additional Florida Safe

Families Network Intake Reports. **Supported.** The Child Protective Investigator falsified records in an additional Florida Safe Families Network Intake Report. **Neither Supported Nor Refuted.**

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

5. 2010-0068 An Interstate Compact on the Placement of Children (ICPC) Coordinator of a contracted provider documented false information, related to the qualifications of prospective adoptive parents, in an e-mail correspondence sent to the North Carolina ICPC Deputy Administrator. **Not Supported.** A Child Protective Investigator documented false information in a Child Protection Team Final Case Summary Report that was included as part of an ICPC packet which was submitted to the North Carolina ICPC Deputy Administrator. **Not Supported.**
Corrective Action: None necessary.
6. 2010-0089 An Economic Self-Sufficiency Specialist I accessed and worked on four public assistance cases of personal interest. **Supported.** The Economic Self-Sufficiency Specialist I accessed and worked on two additional public assistance cases of personal interest. **Supported.**
Corrective Action: The employee received a five-day suspension without pay. The employee was required to review the ACCESS policy regarding cases of personal interest as well as an e-mail from the SunCoast Deputy Regional Director providing direction on unauthorized system viewing. SunCoast Region management reviewed the ACCESS policy regarding unauthorized viewing of client information with all SunCoast Region staff.
7. 2010-0092 A Child Protection Investigator falsified information in a Dependency Petition. **Not Supported.**
Corrective Action: None necessary.
8. 2010-0093 A Child Welfare Case Manager of a subcontracted provider falsified records concerning a face-to-face visit in Florida Safe Families Network. **Supported.** The Child Welfare Case Manager falsified additional records concerning face-to-face visits in Florida Safe Families Network. **Supported.** The Child Welfare Case Manager falsified additional records concerning face-to-face visits in Florida Safe Families Network. **Supported.**
Corrective Action: The employee resigned and a copy of the report was placed in the employee's personnel file.
9. 2011-0012 A Child Protective Investigator "forged" (falsified) her supervisor's signature on five documents relating to a Florida Safe Families Network Case. **Supported.**
Corrective Action: The employee received a two-day suspension without pay.
10. 2011-0024 An ACCESS Interview Clerk falsified a People First timesheet by documenting that they worked 12.75 hours over a two-day period during which they were on leave. **Supported.**
Corrective Action: The employee was terminated and a copy of the report was placed in the employee's personnel file.

Northwood Data Centre

1. 2010-0101 A contracted provider agency and/or the Department allows sub-subcontracted employees to work from India. **Supported**; however, it did not constitute a violation of any known law, rule, or policy. The contracted provider agency employed unauthorized aliens, specifically a Programmer Analyst and Logical Database Administrator of a sub-subcontracted provider. **Not Supported**.
- Corrective Action:** All future contracts, beginning in June 2012, will state, "The contract manager will define the need for work at remote locations, review that it complies with the contract and DCF security policies and procedures, and receive approval from the DCF security manager before proceeding." In addition, the ACCESS FLORIDA application manager completed training and assumed the role of contract manager for the current contracted provider agency contract and all future application support contracts for the system.

Institutions

1. 2009-0075
Whistle-blower Three Northeast Florida State Hospital (NEFSH) Human Services Workers were sleeping while on duty. **Supported** for two Human Services Workers and **Not Supported** for one Human Services Worker. NEFSH Unit 2F employees falsified resident face checks. **Neither Supported Nor Refuted**. Two NEFSH Human Services Workers created a "hostile work environment" by using the "N word" towards residents and co-workers. **Not Supported**. A NEFSH Registered Nurse Specialist, Licensed Practical Nurse, Human Services Worker, and two Mental Health Security Specialists were sleeping while on duty. **Supported** for the Human Services Worker and two Mental Health Security Specialists and **Not Supported** for the Registered Nurse and Licensed Practical Nurse.
- Corrective Action:** Of the nine NEFSH employees being investigated, four were terminated, three resigned, one received a five-day suspension, and the last had no action taken against them. In addition, a copy of the report was placed in all of the employees' personnel files. Two NEFSH employees assigned to the evening and night shifts now function as house supervisors and are charged with ensuring staff are completing their assigned duties. All areas in question have full video surveillance capabilities, with the exception of bathrooms and personal space, to monitor the actions of hospital staff. All hospital employees were reminded of their responsibilities and signed a document acknowledging that they have read NEFSH Operating Procedure No. 13-01-04.
2. 2009-0098
Whistle-blower A Florida State Hospital (FSH) Unit Treatment and Rehabilitation Specialist Supervisor I left a resident unattended during a 1:1 Clinical Observation. **Supported**. The FSH Unit Treatment and Rehabilitation Specialist Supervisor I left Ward A of Unit 21 with insufficient coverage. **Supported**.
- Corrective Action:** The employee received a demotion and a written reprimand in the form of a final counseling notice. All FSH forensic unit supervisors were reminded of the need to complete disciplinary actions in a timely manner and discipline of an employee should be continued when there is a civil rights complaint. FSH now incorporates "Assigned Clinical Observations" into its annual training and has staff review Florida State Hospital Operating Procedure 60-15 on an annual basis. Children and Families Operating Procedures (CFOP) 155-26 and CFOP 155-29 were revised, requiring all state mental health treatment facilities to

annually review and train appropriate staff on special observation and minimum coverage procedures.

3. 2010-0001
Whistle-blower

A Florida State Hospital (FSH) Unit Treatment and Rehabilitation Director was negligent in her management of Unit 25 by failing to maintain required minimum staff to resident ratios. **Not Supported.**

Corrective Action: FSH conducted an annual routine review and approval of minimum staffing coverage as well as a review of minimum staff coverage requirements approved for all wards. FSH also reviewed Risk Management data for January 1, 2010 through December 31, 2010, related to resident aggressive incidents by unit and resident assaults on staff by unit. FSH staff recommended a change in the minimum staffing coverage based on the data reviews and the recommendation was approved by the FSH Administrator, which included the following: increasing coverage on two female admissions areas; and implementation of a new rotational schedule for all direct care staff in forensic units that addresses regularly scheduled off duty days and increases the number of staff on duty by adjusting the number of days off and continuous days worked, and also entails rolling days off. FSH direct care staff were provided with the "Minimum Coverage Training Guidelines," which provides guidance on the revised minimum staffing requirements. All FSH direct care staff have been trained regarding the new minimum staffing coverage requirements and notifications, should assistance be needed. This training included reporting requirements / communication to management should deviations to staffing coverage occur. Minimum staffing coverage requirements are now monitored daily by unit management to ensure coverage is adequate and consistent with FSH policy.

4. 2010-0080

A Florida State Hospital Human Services Worker I downloaded pornographic material and utilized unauthorized software on a Department computer. **Supported.** A second Human Services Worker I downloaded objectionable material and utilized unauthorized software on a Department computer. **Supported.** A third Human Services Worker I utilized unauthorized software on a Department computer. **Supported.**

Corrective Action: All three employees resigned and a copy of the report was placed in the employees' personnel files.

ACCESS Customer Call Center

1. 2010-0049
Whistle-blower

An Economic Self-Sufficiency Specialist I falsified overtime claims in People First Employee Time Entry records. **Not Supported.** An Economic Self-Sufficiency Specialist Supervisor knowingly approved fraudulent People First Employee Time Entry records. **Not Supported.** An Operations and Management Consultant I failed to take action when advised of alleged employee falsification of People First Employee Time Entry records. **Not Supported.**

Corrective Action: The Economic Self-Sufficiency Specialist Supervisor was terminated and a copy of the report was placed in all three employees' personnel files.

Summary of Management Reviews and Corrective Actions Completed During FY 2010-2011

1. 2010-0032

In Circuit 8, the Family Care Managers of a contracted provider received instruction and/or encouragement from Family Care Counselor Supervisors to circumvent Florida Safe Families Network data reporting tools by pre-dating face-to-face home visits with Department clients. This management review revealed that 87.1% of staff members stated they had never circumvented FSFN data reporting tools; however, 12.9% of staff members reported the opposite and further indicated that they received instruction or encouragement from their direct supervisors to do so. In addition, 80% of staff member supervisors stated that they had never circumvented FSFN data reporting tools while 20% admitted to doing so. Although there was no evidence to suggest that the contracted provider staff members falsified their actual contact with Department clients, the fact remains that at the time those staff members entered data into FSFN indicating that a face-to-face home visit was completed, regardless of the content of the narrative in the chronological note itself, staff members falsified information in FSFN with the intent to circumvent data reporting tools. FSFN data reporting tools are used to ensure that all children under the care and custody of the Department have been seen within the required statutory timeframes. By circumventing those reporting tools, the entire process was undermined.

Corrective Action: All five employees of the contracted provider that were determined to be involved were terminated and a copy of the report was placed in those employees' personnel files. The Office of Information Technology Services incorporated the need for safeguards to preclude the misuse of data reporting tools within Florida Safe Families Network into the existing development team project.

2. 2010-0098

It was alleged that Circuit 20 personnel left a child sitting in feces for 10 to 15 hours at the Circuit 20 Child Protective Investigations office rather than sheltering the child in a foster home, and violated a court order by not returning the child to the parent immediately upon the parent's release from jail. Department personnel were involved in the theft of the parent's narcotic prescription medications. Department personnel would not release the child to a relative while the parent was incarcerated, even though the parent stated that was the parent's desire. There was no evidence to suggest that Department personnel left the child sitting in feces for an extended period of time rather than sheltering the child, that they violated a court order, or that they had any intent to permanently deprive the parent of her prescription medication. It was also determined that the Department took appropriate action in sheltering the child.

Corrective Action: None necessary.

Summary of Internal Audits Issued During FY 2010-2011

A-0910DCF-113 - Evaluation of the Adult Protective Services Program

This project examined efficiency and effectiveness of the vulnerable adult death review process. Although there were no findings regarding compliance with the current death review process for vulnerable adults, the following opportunities for improvement within the Adult Services program were identified: more consistent adherence to and interpretation of departmental policies and procedures; modifications to the Florida Safe Families Network (FSFN) to better address the needs of adult protective investigators; an integrated data collection system; and enhanced statewide replication of lessons learned and best practices.

A-0910DCF-251 - Discrepancies in Child Protective Investigator (CPI) Travel Reimbursements

This project reviewed travel expenses reimbursed to Child Protective Investigators (CPIs) and focused on compliance with internal controls. Several practices for claiming reimbursement of vicinity mileage were determined to be in violation of Department procedures, and appropriate recommendations for improvement were made. The Department is currently reengineering the CPI component of the Family Safety program and addressing this issue.

A-0910DCF-253 - The American Recovery and Reinvestment Act (ARRA) Federal Stimulus: Use of Funds – Florida Coalition against Domestic Violence (FCADV)

The American Recovery and Reinvestment Act of 2009 (ARRA) emphasizes a commitment to ensuring that public funds are expended responsibly and in a transparent manner. Consistent with these expectations, this project determined whether a contracted provider, FCADV, used ARRA funds for authorized purposes. We concluded that the provider's use of the funds was consistent with grant requirements.

A-0910DCF-262 - Investment of Client Trust Funds

This project determined the effectiveness of the investment of client trust funds administered by both the Department and contracted providers. Excess client trust fund cash should be invested in interest bearing accounts to earn the maximum interest for the benefit of clients. It was determined that the rate of investment could be enhanced resulting in increased funds available to clients of over \$81,000.

A-0910DCF-347 - Fee Maintenance System

Due to an incident involving unsecure transmission of Fee Maintenance Accounts Receivable System (FMS) client data to an outside contractor, a project to determine the adequacy of controls over the Department's process for assessing, billing and collecting fees for providing services was initiated. The report recommended the following: better controls over user access; updated procedures; consideration of the use of collection agencies for delinquent resident accounts; uniform practices regarding wages paid to resident labor; and printing monthly client billing statements at each hospital, rather than using an outside contractor.

A-1011DCF-036 - Evaluation of DCF Administrative Cost Performance Measures

This project assessed the reliability and validity of information used to evaluate the Department's administrative cost performance measures. It was determined that most Department programs and budget entities were successful in meeting administrative cost standards.

C-0910DCF-328 - ARRA Federal Stimulus: Data Review Summary August 2010

This consulting report provides a brief summary of the Internal Audit Unit's data review activities from October 2009 through July 2010. The unit is engaged in on-going efforts to assist the Department with meeting the expectations of accountability and transparency of the American Recovery and Reinvestment Act (ARRA) of 2009. These efforts include providing assistance with reviewing the Department's ARRA data at various stages of the reporting process.

C-1011DCF-005 - Consideration of a Statewide Vulnerable Adult Death Review Team

This project was initiated after an audit of the Child Death Review Process revealed that while Florida has a statewide Child Abuse Death Review Committee, it does not have a similar committee for conducting adult death reviews. This report examined limitations and benefits of current legislation related to building multidisciplinary teams, and the potential advantages and barriers to building a statewide vulnerable adult fatality review team.

C-1011DCF-064 - Accountability of Funds Provided to Flagler Ecumenical Social Service Agency, Inc., d.b.a. Family Life Center

Based on concerns raised about a contracted provider, Flagler Ecumenical Social Service Agency, Inc., d.b.a. Family Life Center (FLC), the Internal Audit Unit led a multi-agency project to review invoices submitted by FLC to its primary funders to determine if payments were allowable, reasonable and unduplicated. The review identified overpayments totaling \$74,834. Department staff coordinated with Florida Coalition Against Domestic Violence, the Department of Legal Affairs and the Department of Health to recover the questionable charges and required the provider to submit a corrective action plan to address invoicing issues.

F-1011DCF-042 - Foster Home Licensing-Attestation: Consistency Could Enhance the Foster Home Re-Licensing Option

The Department contracts with Community-Based Care Lead Agencies to provide services for children. This project evaluated controls associated with foster home re-licensing options. The review revealed that improved internal controls could strengthen the re-licensing process and that rules governing the process should be revised.

G-1011DCF-201 - Assessing the Department's Ethical Climate

This project, as part of an enterprise effort promoted by the Office of the Chief Inspector General, evaluated the ethical climate and infrastructure at the Department. The Department has taken several actions to comply with the Governor's revised Code of Ethics; however, opportunities for improvement were noted regarding training requirements.

G-1011DCF-244 - Review of the Home and Community-Based Care Waiver Program

A multi-agency team was formed under the direction of the Governor's Office of the Chief Inspector General to independently conduct a review to validate information from the Agency for Persons with Disabilities (APD) concerning an alleged budget shortfall in the Home and Community-Based Services (HCBS) waiver. Representatives from APD, the Department of Children and Families, the Department of Health, and the Agency for Health Care Administration reviewed information available through March 2011, to assess APD's projected waiver deficit. The review determined that if there are no changes, the HCBS waiver could experience an estimated deficit of \$174,000,000. APD management proposed measures to reduce the projected deficit, but not eliminate it.

List of External Audit Reports Issued During FY 2010-2011

Office of Program Policy Analysis and Government Accountability (OPPAGA)

10-57	Steps Taken to Improve the VPK Program; Additional Actions Needed To Increase Program Accountability
10-51	Legislature Clarified Responsibility for Educating Exceptional Students in Residential Facilities
10-47	DCF and Lead Agencies Have Made Progress in Reducing Barriers to Successful Adoptions

Auditor General

2011-176	Independent Living Transition Services Program – Operational Audit
2011-141	Florida Online Recipient Integrated Data Access (FLORIDA) System - Information Technology – Operational Audit
2011-046	Office of Inspector General's Review of Internal Audit Activity - Quality Assessment Review
2011-037	Procurement and Expenditure Processes and Prior Audit Follow-up – Operational Audit
2011-167	State of Florida – Compliance and Internal Controls Over Financial Reporting and Federal Awards
2011-082	Northwood Shared Resource Center - Data Center Operations - Information Technology Operational

US Department of Health and Human Services

E-0910DCF-354	Audit Resolution CIN A-04-10-13441- A-133 Report of Single Audit of State of Florida
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List of Follow-up Reports Completed During FY 2010-2011

Auditor General

E-0910-016	Six-Month Status Report: Auditor General Report 2010-066
E-0910-015	Six-Month Status Report: Auditor General Report 2010-165
E-0910DCF-150	Six-Month Status Report: Auditor General Report 2011-037