



Department of Children and Families  
Office of Inspector General  
Annual Report  
Fiscal Year 2020-2021



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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, by September 30, the Inspector General is required to complete an annual report summarizing activities of the office during the prior fiscal year. Consistent with these duties, the following accomplishments, highlights, and activities demonstrate significant efforts of the Department of Children and Families (Department) OIG staff during Fiscal Year (FY) 2020-2021:

- Received, reviewed, and processed 6,822 complaints or requests for assistance from Department managers, employees, clients, and citizens.
- Opened 72 cases and completed 126 cases that examined allegations of violations of statute, rule, policy, contract, or systemic issues, and tracked 117 corrective actions (197 recommendations) by management to ensure responses to recommendations for personnel action or policy clarification were appropriately addressed.
- Processed 4,483 Inspector General Reference Checks for current and former Department and provider employees.
- Conducted 40 Outreach Training sessions for 1,526 Department and/or provider employees on the role of the OIG, when and how to report suspected employee wrongdoing, protection afforded under the Whistle-blower’s Act,<sup>1</sup> and how to recognize violations of statute, rule, policy, or contract.
- Maintained re-accreditation status through the Commission for Florida Law Enforcement Accreditation, Inc. (CFA).
- Completed 7,350 fair hearing requests, 2,114 administrative disqualification hearing requests, and 101 nursing facility discharge or transfer hearing requests.
- Published two (2) assurance reports, which contained four (4) findings and recommendations for improvement of efficiency and effectiveness in Department programs and operations. Management agreed or concurred with all reported findings.
- Performed liaison activities for six (6) external audit projects from three (3) external organizations. Issued corrective action status reports for three (3) of the four (4) Auditor General Reports. Two (2) of the six (6) projects did not require a corrective action status report to be issued.
- Reviewed and processed 149 Department financial reporting packages of state financial assistance as well as 12 certifications of “no audit required.”
- Between February 1, 2021 and February 6, 2021, in the week preceding the Superbowl held in Tampa, the OIG assisted in a collaborative law enforcement operation to identify and recover victims of human trafficking and proactively investigate, identify, dismantle, apprehend, and prosecute those engaged in human trafficking. The operation resulted in 45 arrests with six females recovered.

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<sup>1</sup> 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. The whistle-blower’s identity is protected from release pursuant to § 112.3189, F.S.



# INTRODUCTION

The OIG worked diligently to meet its statutory mandates and fulfill its mission of “Enhancing Public Trust in Government.” This annual report summarizes the activities and accomplishments of the OIG for FY 2020-2021.

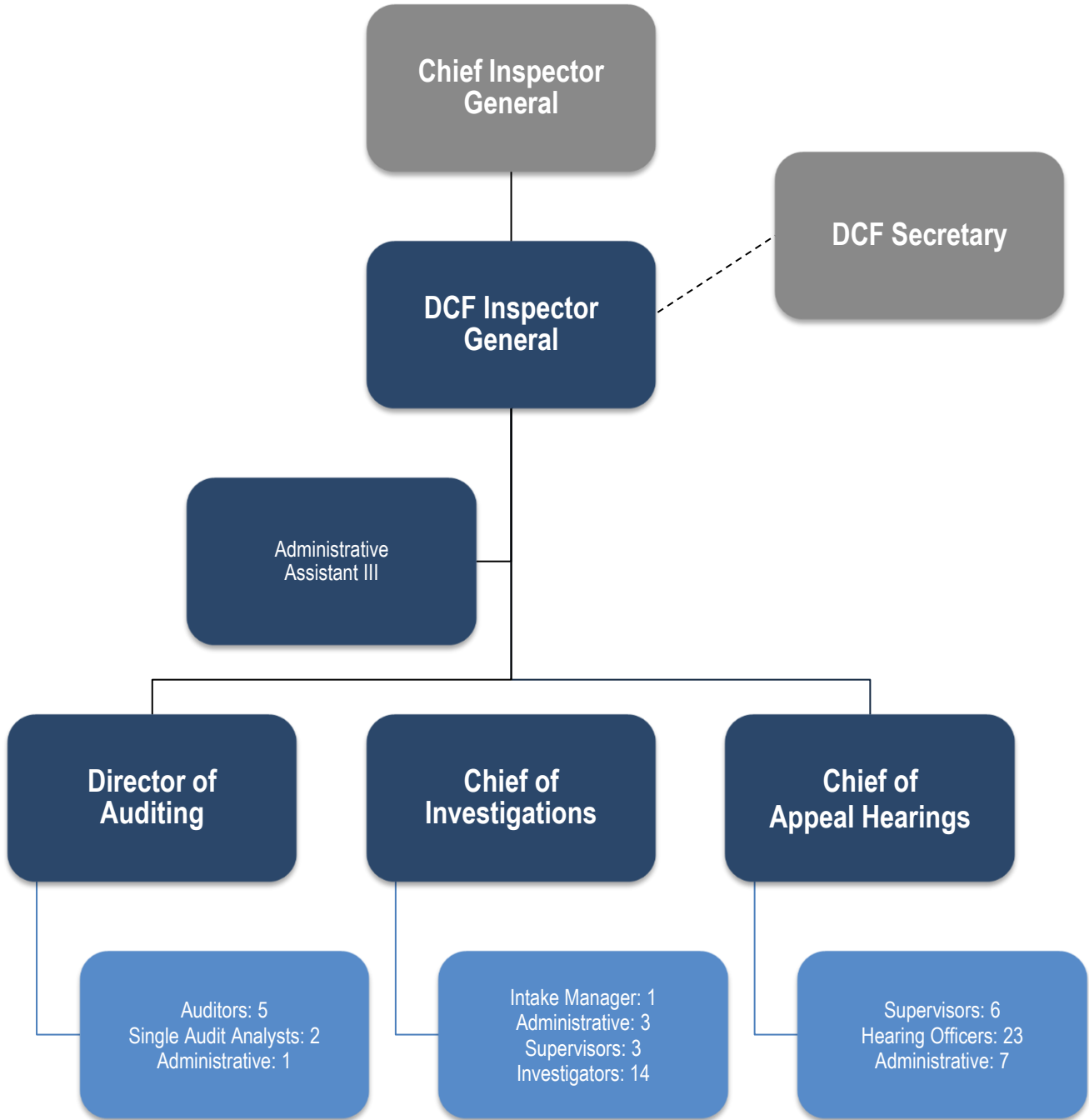
## Statutory Requirements

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 and reports to the Chief Inspector General (CIG) and is under the general supervision of the agency head. As outlined in statute, the duties of the Inspector General include:

- Advising in the development of performance measures, standards, and procedures for the evaluation of state agency programs.
- Assessing the reliability and validity of information provided on performance measures and standards, and making recommendations as needed.
- Reviewing actions taken by the agency to improve operational and program performance and making recommendations for improvement.
- Providing direction for supervising and coordinating audits, investigations, and management reviews relating to the programs and operations of the agency.
- Conducting, supervising, and coordinating activities that promote economy and efficiency and prevent or detect fraud, waste, and abuse.
- Informing the CIG 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.
- Ensuring effective coordination and cooperation between the Auditor General (AG), Office of Program Policy Analysis and Government Accountability (OPPAGA), federal auditors, and other governmental entities.
- Reviewing rules relating to programs and operations and making recommendations regarding their impact.
- Ensuring an appropriate balance between audit, investigative, and other accountability activities.
- Complying with the *General Principles and Standards for Offices of Inspector General* as published and revised by the Association of Inspectors General.

# ORGANIZATIONAL CHART

As of June 30, 2021, there were 70 positions assigned to the OIG, which were distributed in the following three sections: Appeal Hearings, Internal Audit, and Investigations. Appeal Hearings and Investigations staff are located at headquarters and in field offices throughout the state.<sup>2</sup>



<sup>2</sup> Offices: Investigations – Ft. Lauderdale, Miami, Orlando, Rockledge, Tallahassee, and Tampa  
Appeal Hearings – Ft. Lauderdale, Ft. Myers, Jacksonville, Marianna, Miami, Orlando, Pensacola, Rockledge, Tallahassee, Tampa, and West Palm Beach

## PROFESSIONAL CERTIFICATIONS AND LICENSES

In addition to the educational degrees and experience required for their respective positions, OIG staff members hold the following professional certifications and licenses:

Abuse Hotline Counselor (1)	Certified Law Enforcement (3)
Accreditation Manager (2)	Certified Myers-Briggs Type Indicator Practitioner (1)
AIG <sup>3</sup> Institute Instructor (1)	Certified Public Accountant (1)
AIG Peer Review Team Leader (1)	Certified Public Manager (3)
AIG Peer Review Team Member (1)	CFA/Florida PAC <sup>4</sup> Instructor (1)
Call Center Manager (1)	CFA Team Leader Assessor (1)
Certified Accreditation Professional (1)	Child Welfare Protective Investigator (1)
Certified Corrections Officer (1)	Department Certified Trainer (2)
Certified Hearing Official (1)	EEOC <sup>5</sup> Investigator (1)
Certified Information Systems Auditor (2)	Florida Bar Member (7)
Certified Inspector General (2)	Florida Certified Contract Manager (10)
Certified Inspector General Auditor (9)	Florida Notary Public (22)
Certified Inspector General Investigator (10)	Six Sigma Certified (10)
Certified Internal Auditor (1)	

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<sup>3</sup> Acronym for "Association of Inspectors General."

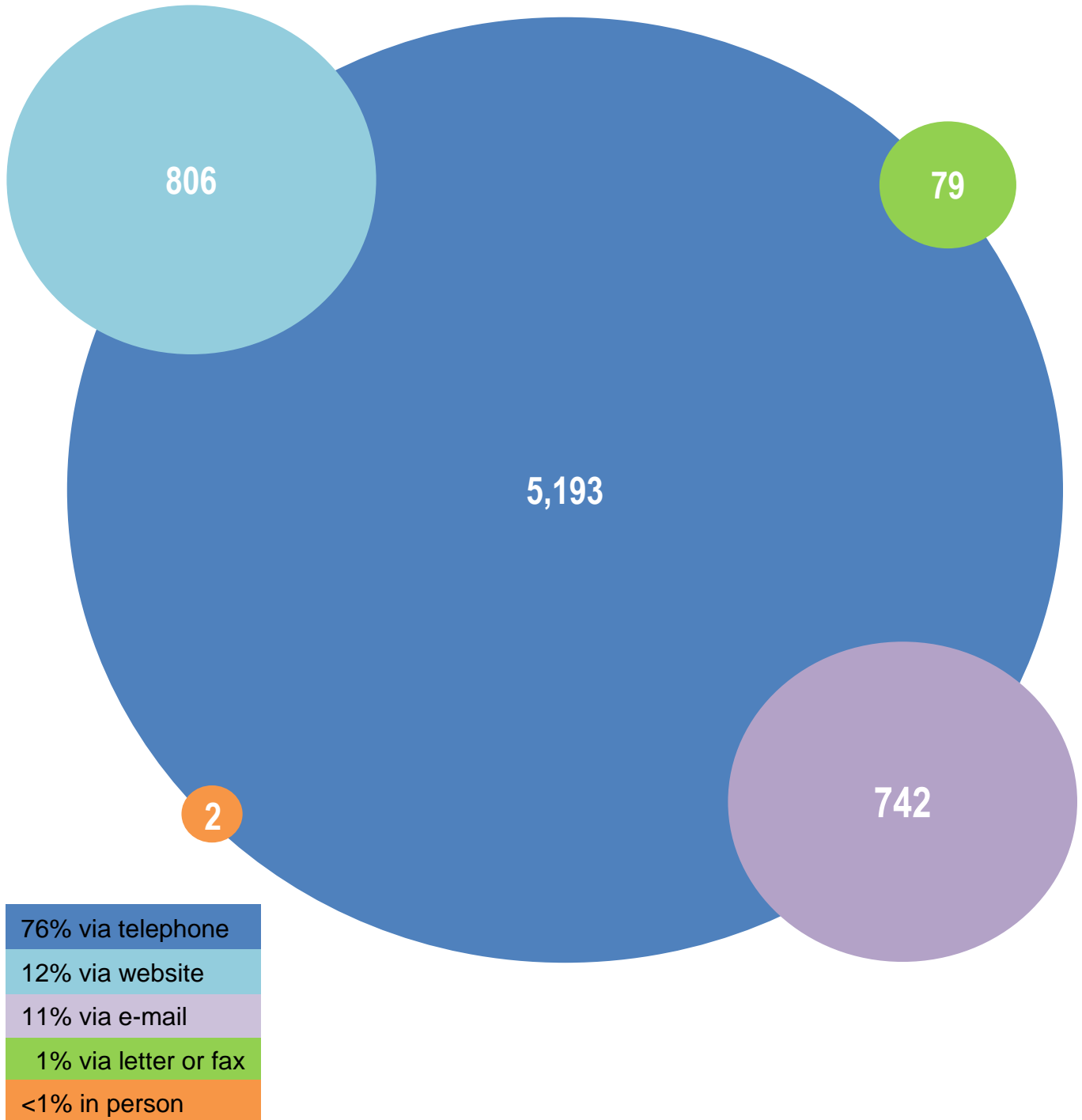
<sup>4</sup> Acronym for "Police Accreditation Coalition."

<sup>5</sup> Acronym for "Equal Employment Opportunity Commission."

# INVESTIGATIONS SECTION

## Intake Unit

The Intake Unit handles incoming calls and reviews all complaints or requests for assistance received by the Investigations Section via telephone, website, e-mail, letter, facsimile (fax), or in person. The Intake Unit reviewed a total of **6,822** complaints or requests for assistance, received in the following manner:



## Investigations Unit

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

### Investigations and Management Reviews

- 72** Cases were opened for investigation or management review
- 126** Cases were completed
- 203** Allegations were investigated or reviewed

### Whistle-blower Investigations

There was **one (1)** investigation completed in accordance with the Whistle-blower's Act.

### Sexual Harassment Investigations

There were **seven (7)** investigations initiated and **four (4)** investigations completed.

### Recommended Corrective Actions

Based on the investigation or management review, the Investigations Unit may make recommendations in the form of corrective actions. The recommendations are for the purpose of process improvement and are made to Department or provider management. Final reports, including recommendations, are sent to all appropriate parties and actions are tracked to completion. A total of **117** corrective actions, entailing **197** recommendations, were issued by the Investigations Unit.

### Personnel Actions Associated with Investigations and Management Reviews

Department personnel actions or measures taken by the Florida Certification Board (FCB) may occur as a result of allegations reported to the OIG, or investigations or management reviews completed by the OIG. The following actions were reported to the OIG and occurred at the discretion of management, the employees, or the FCB:

#### Personnel Actions

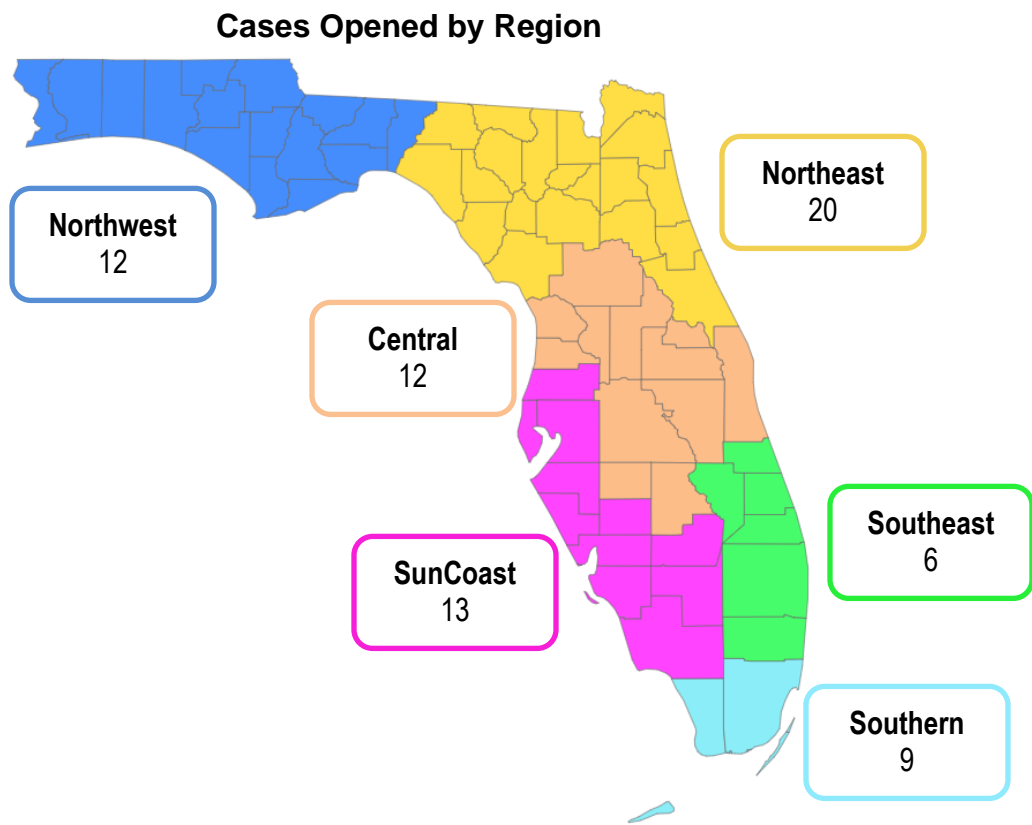
- 65** Resignations
- 64** Terminations
- 5** Written Counselings
- 3** Verbal Counselings
- 2** Written Reprimands
- 1** Suspension

#### FCB Actions

- 64** Revocations
- 6** Open Ethics Investigations
- 1** Letter of Reprimand

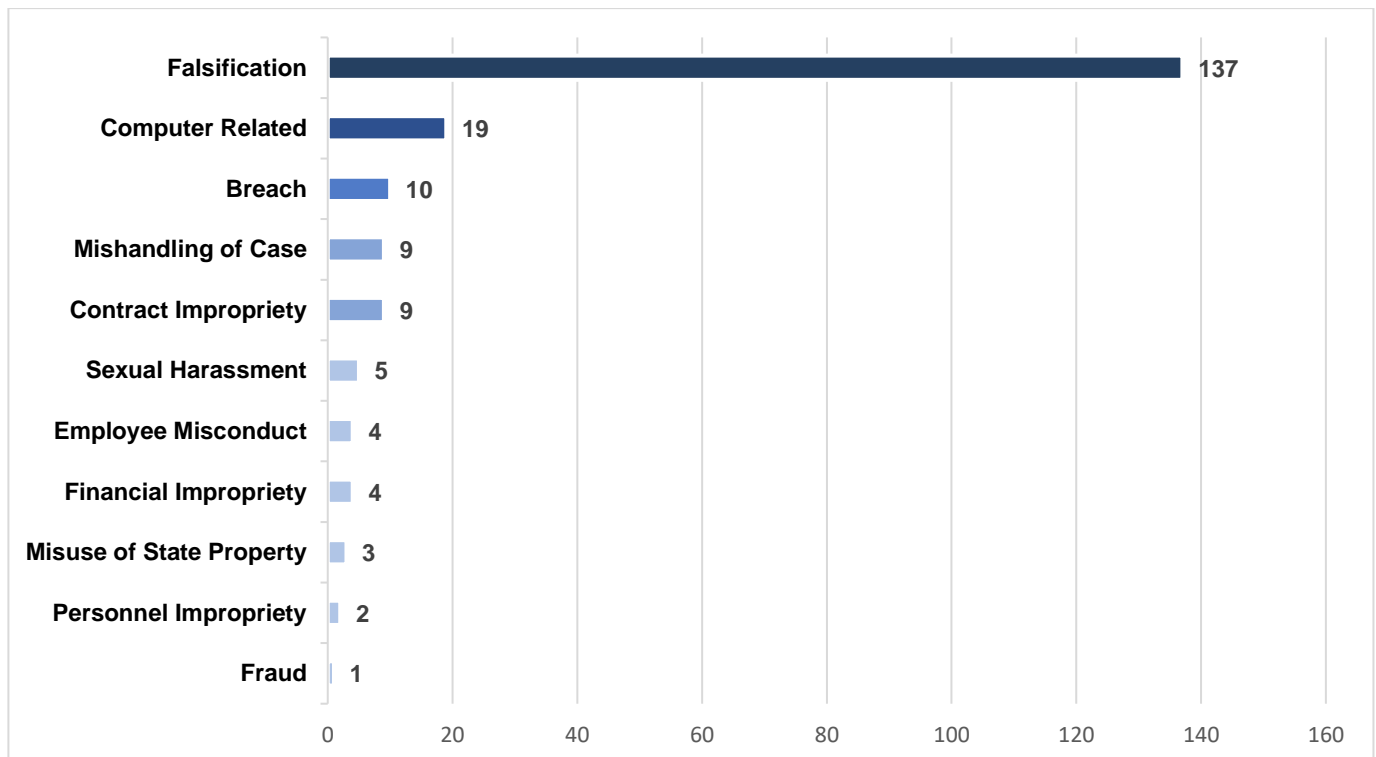


The following chart provides a comparative analysis of the **72** cases opened by Region:



The allegation types and corresponding **203** allegations investigated for closed cases are as follows:

### Allegation Types



## **Public Records Requests**

The Intake Unit responded to **55** public records requests under Chapter 119, F.S.

## **Inspector General Reference Checks / Database Checks for Prior Investigations**

Current and former Department and provider employees being considered for rehire, transfer, promotion, or demotion are screened to determine whether they were the subject of an OIG investigation that resulted in supported findings. The OIG processed **4,483** such reference checks.

## **Inspector General Outreach Program**

The Investigations Unit offers an outreach program to educate management and staff of the Department and providers on the role of the OIG. The training sessions cover when and how to report suspected employee wrongdoing, protection afforded under the Whistle-blower's Act, and how to recognize violations of statute, rule, policy, or contract. **Forty (40)** training sessions, involving **1,526** individuals, were completed with Department employees and/or contracted and subcontracted providers.

## APPEAL HEARINGS SECTION

The Appeal Hearings Section conducts administrative fair hearings for applicants or recipients of public assistance programs, and disqualification hearings for the Department of Children and Families (DCF) when individuals are alleged to have committed intentional program violations in the Cash Assistance Program and/or the Supplemental Nutrition Assistance Program (SNAP). Hearings are also conducted for applicants and recipients of the Medicaid Waiver Program for the Agency for Persons with Disabilities (APD). In addition, the section conducts limited hearings for other state agencies as follows:

- Agency for Health Care Administration (AHCA), when there is a proposed discharge or transfer action from a nursing facility;
- Department of Revenue (DOR), when there is a dispute over distribution of child support payments to the custodial parent, a passport denial for the absent parent, or when DOR intercepts a federal payment to the absent parent to repay past due child support; and
- Department of Health (DOH), when applicants or recipients of the Special Supplemental Food Program for Women, Infants, and Children (WIC), are adversely affected.

The Appeal Hearings Section reports directly to the Inspector General. This ensures independence and complies with federal regulations requiring a hearing officer to be a headquarters-level employee. Hearings are funded with 50% federal funds and 50% state general revenue.

### Hearings Authority

The section operates pursuant to the following authorities:

- § 409.285, F.S., Opportunity for hearing and appeal
- § 120.80, F.S., Exceptions and special requirements; agencies
- § 400.0255, F.S., Resident transfer or discharge; requirements and procedures; hearings
- § 393.125, F.S., Hearing rights
- Rule 65-2.042, et seq., Florida Administrative Code (F.A.C.), Applicant/Recipient Fair Hearings

The major controlling federal regulations are as follows:

- Temporary Assistance to Needy Families (TANF) Personal Responsibility and Work Reconciliation Act of 1996 (P.L. 104-193)
- Medicaid - 42 CFR § 431.200, Fair Hearings for Applicants and Recipients
- 7 CFR § 273.15, SNAP, Fair Hearings
- 7 CFR § 273.16, SNAP, Disqualification for Intentional Program Violation

## Hearings Jurisdiction

The section conducts hearings for the following programs:

Office of Economic Self-Sufficiency

- Cash Assistance Program or TANF
- SNAP
- Disaster SNAP (D-SNAP)
- Medicaid Eligibility for all programs, including Waivers and Institutional Care Program (ICP)
- Refugee Assistance Program (RAP)
- Optional State Supplementation (OSS)

AHCA

- Nursing Facility Discharge or Transfer Hearings

APD

- Developmental Disabilities Individual Budget (iBudget) Medicaid Waiver Program

Others

- DOH WIC program
- Eligibility or amount of assistance for Office of Child Welfare programs funded through the Social Security Act; only federally funded programs
- Limited Child Support Enforcement issues for DOR

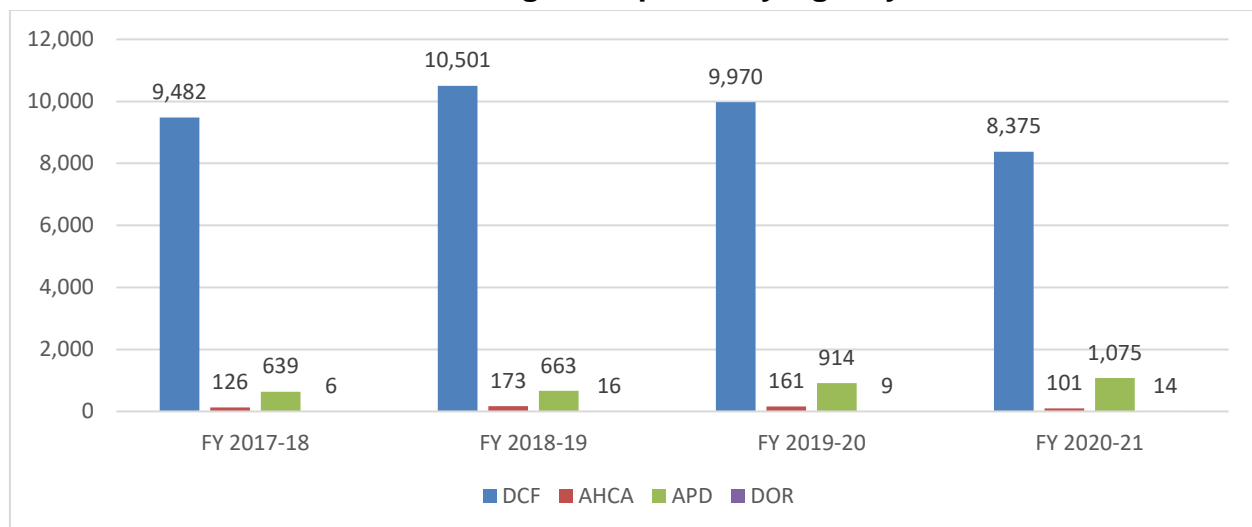
## Completed Hearings Activities

**7,350** Fair hearing requests

**2,114** Administrative disqualification hearings for Cash or SNAP benefits

**101** Nursing facility discharge or transfer hearings

### Fair Hearings Completed by Agency<sup>6</sup>



<sup>6</sup> DCF hearings include fair and administrative disqualification hearings. AHCA hearings include only nursing home discharge or transfer hearings. APD and DOR hearings include only fair hearings.

## Internal Audit Unit

The Internal Audit Unit conducts audits and consulting projects related to programs, operations, and contracts to promote efficient and effective use of Department resources and ensure compliance with regulations, laws, rules, policies, procedures, and contractual requirements. The scope of internal auditing includes evaluating the adequacy and effectiveness of internal controls, assessing the Department's governance process, and evaluating risk exposures, including the potential for fraud. Acting as a liaison between external auditors and the Department, the unit monitors implementation of Department responses to reports issued by the AG, OPPAGA, and other external governmental entities.

The unit published **two (2)** audits, which included **four (4)** findings and recommendations for improvement. Department management concurred or agreed with all findings and recommendations.

The unit conducted liaison activities for **six (6)** external audit projects from various external organizations. These projects consisted of research and evaluations by OPPAGA and operational and federal awards audits by the AG. The unit also tracked and reported Department implementation of corrective action for **five (5)** external reports, including the Summary Schedule of Prior Audit Findings.

## Single Audit Unit

The Single Audit Unit reviews single audit reporting packages and related documentation of state and federal funding. The activity is mandated by 2 C.F.R. § 200.501, Federal Uniform Grant Guidance, and § 215.97, F.S., Florida Single Audit Act.

Public accounting firms perform single audits of Department contractor and provider financial statements and state and federal financial assistance. Single audits are required by contract and considered a critical accountability component for state and federally funded initiatives. Single audit analysts conduct desk reviews and examine single audit reporting packages.

At the completion of each desk review, single audit analysts prepare an Audit Review Status Report for the Department contract manager and contract administrator. If a report contains findings, Contracted Client Services is included in the notification. Many desk reviews require no follow-up action. Desk review issues that require further attention from contract managers range from review of report findings communicated for informational purposes to significant issues requiring corrective action by the recipient. The unit also provides feedback to external auditors where clarification of an existing audit is required. For the fiscal year, the unit analyzed and reviewed **149** recipient audit reporting packages and **12** certifications of "no audit required."



## **Florida Inspectors General Expertise System (FIGES)**

Functioning as a reference tool, FIGES is a public, online database of Florida state and local government Offices of Inspector General and is accessible through the Internet at <https://eds.myflfamilies.com/FIGES/Default.aspx>. It contains, among other data, contact information, areas of expertise, and professional certifications for staff members of state and local government Offices of Inspector General. The Internal Audit Section served as the site administrator for FIGES, which maintained information for approximately **393** personnel from **44** Offices of Inspector General, as of fiscal year-end.

## **Integrated Internal Audit Management System (IIAMS)**

IIAMS is a Department-developed web application that manages and documents all aspects of the audit process including planning, fieldwork, reporting, and follow-up. It simplifies and centralizes working paper documentation in multiple formats, such as Microsoft Word documents, Microsoft Excel spreadsheets, and Portable Document Format (PDF) files and enables reviewing, storing, and sharing of work performed by Internal Audit Section staff. Furthermore, IIAMS provides an effective process for tracking audit hours and documenting required continuing professional education and other training. As of fiscal year-end, IIAMS included approximately **150** users with varying levels of access rights from **11** state agencies, including the Department.

## **Carryover Consulting and Investigative Review Project**

### **Project #C-1819DCF-030: *Florida Coalition Against Domestic Violence, Inc. (FCADV) and Affiliate***

During FY 2020-2021, the Internal Audit Section devoted a significant number of work hours to Project #C-1819DCF-030. The Department was statutorily mandated to contract with FCADV for the delivery and management of state domestic violence services and FCADV received most of its funding through public sources. Due to concerns raised in the news media regarding excessive compensation received by the FCADV chief executive officer, the OIG initiated this consulting project in August 2018 and requested documents and records from FCADV pertinent to executive compensation, board governance, and fiscal policies and procedures. Despite repeated requests, FCADV did not fully comply with OIG and Office of General Counsel document requests made throughout 2018 and 2019, including a September 2019 OIG request directed to the FCADV Board of Directors.

In January 2020, the Speaker of the Florida House of Representatives directed the Chair of the House Public Integrity and Ethics (PIE) Committee to undertake an investigation of FCADV. On February 13, 2020, Governor Ron DeSantis requested that the CIG conduct a review regarding the financial practices of FCADV. With the assistance of the PIE Committee and under the direction of the CIG, the OIG has since received and reviewed hundreds of thousands of documents and records associated with FCADV and its independent auditor, as well as conducted interviews of over 100 witnesses, including current and former FCADV management, staff, and affiliated management of domestic violence shelters. FCADV was placed in receivership and, as of June 30, 2021, the OIG has completed Phase I of its fieldwork and submitted a preliminary report of its findings to the CIG.

## **Project Conducted at the Direction of the Chief Inspector General**

### **Project #O-1920DCF-161: *EOG Executive Order 20-44***

During FY 2020-2021, the OIG Internal Audit Section also devoted a significant number of work hours to Project #O-1920DCF-161. On February 20, 2020, Governor Ron DeSantis issued Executive Order Number 20-44, which required each state agency to identify all entities named in statute with which the agency must form a sole-source, public-private agreement, and all entities that, through contract or other agreement with the state, annually receive 50% or more of their budget from the state or from a combination of state and federal funds. For each of the entities identified, the state agency must review the compensation of the entities executive leadership team (ELT) members and determine whether ELT member compensation may have exceeded state and/or federal limits. The Department identified nine community-based care (CBC) lead agencies as having ELT members whose compensation may have exceeded state and/or federal limits. At the request of the CIG, the OIG conducted a review of the nine CBC lead agencies and identified two CBC lead agencies for which ELT member compensation appears to have exceeded state limits and the CBC lead agencies did not provide adequate justification. None of the nine CBC lead agencies exceeded federal compensation limits. The details of this review, including conclusions and recommendations, may be found in CIG report number 2021-01-25-0017, *Executive Order Number 20-44, Data Compilation and Statutory Compensation Limit Review*, dated June 30, 2021.

## Summary of Internal Audit Projects Issued

### **Project #A-1920DCF-0090: *Post-Audit Sampling of Purchase Card Transactions***

The objectives of this audit were to evaluate internal controls over purchasing card transactions, and verify that transactions were properly authorized, accurately accounted for, accurately supported, and executed in compliance with applicable laws, statutes, policies, and procedures. The scope of this audit covered purchasing card transactions executed during the fiscal year ended June 30, 2019.

The audit disclosed the following:

- Documentation for invoices supporting expenditures for hotel room reservations were not included in the file;
- Invoices for the purchase of cellular telephone cases did not include the number of units acquired or the cost per unit; and
- A travel reimbursement submission did not comply with Department travel policies and procedures.

Management concurred with the three findings and recommendations and provided a statement describing their proposed corrective actions.

### **Project #A-1920DCF-130: *Child Care Regulation Performance Measures***

The objectives of this audit were to assess the reliability and validity of a selection of Child Care Regulation (CCR) Long Range Program Plan (LRPP) performance measures and make recommendations for improvement, if necessary.

The audit disclosed:

- The ability to meet LRPP measure #M0123 is solely contingent upon the number of requests for licenses by child care facilities and family daycare homes, which is beyond CCR control.

Management concurred with our findings and recommendations and provided a statement describing their proposed corrective actions.

## Summary of Internal Audit Projects Initiated and Terminated

No audit projects were terminated during FY 2020-2021.

## Significant Audit Recommendations Not Fully Implemented

Pursuant to § 20.055(8)(c)4., F.S., the Office of Inspector General (OIG) is required to identify significant recommendations described in prior audit reports for which corrective action has not been completed. The following audit projects were identified as having outstanding significant recommendations or corrective actions:

**Project #A-1718DCF-050: *Child Welfare Records Falsification***

The OIG recommended that the Office of Child Welfare (OCW), in collaboration with Office of Information Technology Services (OITS), pursue a business case for the Streamline Workgroup's long-term solution to implement technology solutions, such as Remote Data Capture, for child protective investigations staff.

OCW, in collaboration with the CBCs, should also implement the following additional oversight policies and practices to timely identify and address work performance issues:

- Client Care Call Policy; and
- Recognizing Early Warning Signs During Supervisory Consultations.

**Project #A-1819DCF-012: *Substance Abuse and Mental Health (SAMH) Performance Measures***

The OIG recommended that SAMH provide a comprehensive analysis of the current performance measures for the next legislative budget request. This information should include recommended changes to LRPP performance measures and why current measures do not provide adequate information.

The SAMH program office should develop written procedures to ensure the process utilized for calculating performance measures can be duplicated by others in the event of staff turnover or employee(s) absences and should also align the managing entity manual and LRPP performance measure standards to ensure the ability to consistently replicate processes.

**Project #A-1819DCF-056: *Center for Internet Security, Inc. (CIS) Critical Security Control #2 – Inventory and Control of Software Assets***

Pursuant to § 282.318(4)(g), F.S., this report is confidential and exempt from § 119.07(1), F.S.

**AG Report #2021-182: *State of Florida – Compliance and Internal Controls Over Financial Reporting and Federal Awards***

The AG conducted its statewide Financial and Federal Single Audit for FY 2020-2021. This audit reviewed program compliance and internal controls related to financial reporting and federal awards including a review of the Schedule of Expenditures of Federal Awards. The AG report included the following recommendations:

- Enhance monitoring processes to ensure that costs are attributable to the authorized period of performance and are charged to the correct grant;
- Ensure that the Contract Evaluations Reporting System is timely updated for monitoring results;
- Ensure corrective action plans are timely prepared and subrecipients take timely and appropriate action to correct deficiencies noted during monitoring;
- Ensure the service organization's internal controls related to the WebRMS application are appropriately designed and operating effectively either internally or by obtaining and reviewing an independent service auditor's report; and

- Improve Florida On-line Recipient Integrated Data Access (FLORIDA) system security controls related to logical access to ensure the confidentiality, integrity, and availability of data and related information technology resources.

**AG Report #2021-028: *Surplus Computer Hard Drive Disposal Processes***

Pursuant to § 282.318(6), F.S., this report is confidential and exempt from § 119.07(1), F.S.

**External Audit Reports Issued**

**Florida Auditor General**

- 2021-028 Surplus Computer Hard Drive Disposal Processes
- 2021-043 Oversight and Administration of State Mental Health Treatment Facilities
- 2021-082 Selected Administrative Activities and Child Care Provider Regulation Prior Audit Follow-Up
- 2021-182 State of Florida – Compliance and Internal Controls Over Financial Reporting and Federal Awards

**Office of Program Policy Analysis and Government Accountability**

- 21-06 Annual Report on the Commercial Sexual Exploitation of Children in Florida, 2021

**Executive Office of the Governor, Office of the Chief Inspector General**

- 2021-01-25-0017 Office of the Governor Executive Order Number 20-44 Data Compilation and Statutory Compensation Limit Review

**Follow-up to Prior External Audit Reports Issued**

**Florida Auditor General**

- 2020-090 Office of Public Benefits Integrity and Selected Administrative Activities
- 2020-170 State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards
- 2021-028 Surplus Computer Hard Drive Disposal Processes
- 2021-043 Oversight and Administration of State Mental Health Treatment Facilities
- 2021-082 Selected Administrative Activities and Child Care Provider Regulation Prior Audit Follow-Up



## Summary of Investigations and Corrective Actions Completed

### Headquarters

- 2019-0013 An OIG Regional Investigator misused a Department-issued purchasing card by making a non-business-related purchase. **Supported.**
- Corrective Action:** The employee was terminated. The employee's personnel file was updated to reflect the findings of the investigation.
- 2019-0038 A Florida Abuse Hotline (Hotline) Counselor and two other Hotline Counselors accessed Florida Safe Families Network (FSFN) records without a legitimate business reason. **Supported.** The Hotline Counselor researched FSFN for an individual of personal interest without a legitimate business reason. **Supported.**
- Corrective Action:** Two employees were terminated and one employee resigned. The employees' personnel files were updated to reflect the findings of the investigation.
- 2020-0006 A Purchasing Specialist/Purchasing Card Administrator falsified travel reimbursement documents. **Supported.** The Purchasing Specialist/Purchasing Card Administrator attempted to influence another employee to falsify travel reimbursement documents. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The employee's supervisor was issued a written reprimand for failure to take appropriate action when notified of the employee's actions.

### Circuit 1

- 2018-0023 A Behavior Technician II of a contracted provider falsified documentation regarding the completion of 15-minute checks. **Supported.** A Registered Nurse of the contracted provider failed to conduct 15-minute checks and, by not doing so, caused 15-minute checks to be falsified. **Supported.**
- Corrective Action:** Both employees were terminated and the employees' personnel files were updated to reflect the findings of the investigation. The Florida Board of Nursing was notified and the Registered Nurse's license status was changed to Disciplinary Relinquished. Provider staff are trained on rounding and observation practices at the time of hire and on corporate compliance and risk management upon hire and annually. The provider implemented process improvements and additional measures, such as new equipment, to ensure client safety.
- 2019-0041 A Child Protective Investigator (CPI) falsified child protective investigation records in FSFN Investigation #2019-075469. **Supported.** The CPI falsified child protective investigation records in FSFN Investigation #2019-101691. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The Florida Certification Board (FCB) reflects that the employee's Provisional Child Welfare Protective Investigator (CWPI-P) certification expired effective September 20, 2019.

## Circuit 2

2017-0058

A Dependency Case Manager (DCM) of a subcontracted provider falsified child protective supervision records in FSFN Case ID #2710056. **Supported.** A Director of Program Operations of the subcontracted provider failed to adequately conduct an internal investigation concerning a caregiver's allegation of falsification of child protective supervision records in FSFN Case ID #2710056. **Supported.** The Director of Program Operations and an Executive Director of the subcontracted provider failed to report an allegation of suspected falsification of child protective supervision records to the OIG. **Supported.** Another DCM, Dependency Case Manager Supervisor, Licensed Clinical Program Supervisor, and the Executive Director of a subcontracted provider failed to adequately conduct an internal investigation concerning a caregiver's allegation of falsification of child protective supervision records in FSFN Case ID #2710056. **Not Supported.**

**Corrective Action:** All six employees resigned and the employees' personnel files were updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's Child Welfare Case Manager (CWCM) certification. A copy of CFOP 180-4 was provided to the contracted and subcontracted providers, both of which are aware of the requirements to report suspected or confirmed violations to the OIG.

2019-0027

A DCM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101260304. **Supported.** The DCM falsified child protective supervision records in FSFN Case ID #100786008. **Neither Supported Nor Refuted.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification. A copy of CFOP 180-4 was provided to the contracted and subcontracted providers, both of which are aware of the requirements to report suspected or confirmed violations to the OIG.

2019-0042 WB

A Chief Information Officer (CIO) improperly rushed through Department Contract #LU914 with Deloitte Consulting, LLP (Deloitte). **Not Supported.** The CIO accepted employment with a contracted entity whose contract over which he had control and/or influence prior to his resignation from the Department. **Not Supported.**

**Corrective Action:** The employee resigned. Based on Additional Information issues regarding contract renewal authority and purchase order discrepancies, the Office of Contracted Client Services (OCCS) added substantial content to the Procurement Playbook offering guidance on informal quotes, which did not

previously exist. OCCS also incorporated informal quotes into the Contracting Plan, which created a new internal control for the Department. The Contract Administration Bureau completed Contracting Plan training with all contract managers and procurement officers, the My Florida Market Place (MFMP)/Purchasing Card (P-card) Team offered supplemental training for MFMP, and the Solicitation Administration Bureau is developing training for informal quotes, expected to be delivered prior to the end of FY 2020-2021. It was determined by the Office of General Counsel that based on the actions of OCCS, no rulemaking was needed.

### **Circuit 3**

There were no cases closed in Circuit 3 during FY 2020-2021.

### **Circuit 4**

- 2017-0074 A Family Services Counselor (FSC) of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101669580. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and the employee's Provisional Child Welfare Case Manager (CWCM-P) certification is inactive effective November 2, 2017.
- 2018-0059 An FSC of a contracted provider falsified child protective supervision records in FSFN Case IDs #100037630, #100526602, #100974641, #101357707, and #101706551. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.
- 2018-0118 A Family Services Counselor Supervisor of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101744206. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.
- 2019-0043 A Senior Human Services Program Specialist posted confidential customer information on social media. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation CFOP 50-25, "Guidelines for Using Social Networking Sites and Social Media," is being updated. The Quality Office training staff will develop a social media policy training module to be completed by the end of 2021.
- 2019-0048 An FSC of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101963606. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.

- 2019-0058 A CPI falsified child protective investigation records in FSFN Investigation #2019-125821. **Not Supported.** The CPI falsified child protective investigation records in FSFN Investigations #2019-065734 and #2019-083883. **Neither Supported Nor Refuted.**
- Corrective Action:** The employee resigned.
- 2019-0072 An Eligibility Specialist Supervisor of a contracted provider shared her FSFN login information with a subordinate employee. **Supported.** An Eligibility Specialist used another employee's login information to access FSFN. **Supported.**
- Corrective Action:** The Eligibility Specialist Supervisor was issued a written counseling and the employees' personnel files were updated to reflect the findings of the investigation. The contracted provider adopted a policy of copying the supervisor on e-mail requests to the Department for FSFN access and informed all provider staff of the process to request access to secure information systems.
- 2019-0079 A CPI falsified child protective investigation records in FSFN Investigations #2019-195706 and #2019-209782. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's Child Welfare Protective Investigator (CWPI) certification.
- 2019-0083 A Clinical Counselor of a subcontracted provider falsified notes for individual therapy sessions with CHS clients in FSFN Case IDs #101881151 and #101783851. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified but took no action on the employee's Behavioral Health Case Manager Supervisor certification.
- 2019-0111 A DCM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101096425. **Neither Supported Nor Refuted.**
- Corrective Action:** The employee resigned. The FCB was notified and revoked the employee's CWCM certification.

### **Circuit 5**

- 2018-0114 A Family Care Manager (FCM) of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101854275. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification. Based on concerns related to employee use of provider vehicles, the provider now assigns vehicles to employees for transporting clients and traveling to supervise visitations and requires that remaining vehicles be checked out and

logged through administration. All employees must submit travel documentation monthly or submit an e-mail documenting that they did not use their personal vehicle during the prior month.

2019-0020 An Adult Protective Investigator (API) falsified adult protective investigation records in FSFN Investigation #2019-001322. **Supported.** The API falsified adult protective investigation records in FSFN Investigations #2019-024671, #2018-786006, #2019-016351, and #2019-050458. **Neither Supported Nor Refuted.** The API falsified his People First timesheet. **Neither Supported Nor Refuted.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.

2019-0052 An FCM of a subcontracted provider attempted to privately adopt children on her caseload. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.

2019-0053 An FCM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101434594. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.

2019-0063 An Economic Self-Sufficiency Specialist (ESS) I falsified completion of eligibility interviews in the Automated Community Connection to Economic Self-Sufficiency (ACCESS) Management System (AMS) and the FLORIDA system. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FLORIDA entries made regarding a follow-up interview that were deemed false were reviewed and subsequently removed.

2019-0071 An ESS I falsified telephone interviews in AMS and FLORIDA concerning ACCESS Case #1293513431. **Supported.** The ESS I falsified telephone interviews in AMS and FLORIDA concerning ACCESS Cases #1006507043 and #1590612817. **Neither Supported Nor Refuted.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.

2019-0081 A Family Case Manager Supervisor (FCMS) of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #101774063, #101873719, and #101939055. **Supported.** The FCMS falsified child protective supervision records in FSFN Case IDs #100980339 and #101697408. **Not Supported.**



**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.

2019-0084 An FCM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101027125. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.

2019-0093 An FCM of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #3258610, #100394136, #102127829, and #101630914. **Supported.** The FCM had a client child at her home for an overnight visit. **Supported.** The FCM left confidential case information at a caregiver's home. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.

2019-0104 SH<sup>7</sup> Two APIs engaged in sexually inappropriate behavior. **Not Supported.** A Regional Program Supervisor misrepresented employee statements in a November 17, 2019 report. **Supported.**

**Corrective Action:** The Regional Program Supervisor was issued a verbal counseling and the employee's personnel file was updated to reflect the findings of the investigation. Based on information that Adult Protective Services (APS) staff were misinformed on OIG reporting requirements, all APS staff were reminded of the reporting requirements under CFOP 180-4 and provided with a link to the OIG internet page. The OIG conducted outreach training to APS staff during their APS in-service training program.

2020-0024 A CPI falsified child protective investigation records in FSFN Investigations #2020-059774 and #2020-036268. **Supported.** The CPI falsified child protective investigation records in FSFN Investigation #2020-059394. **Not Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI certification.

2020-0053 An FCM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101449109. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM and CWPI-P certifications.

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<sup>7</sup> SH is a reference to an investigation involving allegations of sexual harassment.

## Circuit 6

- 2018-0054 A Case Manager (CM) of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #2698159, #3585349, #100232015, #100433985, #100459114, #101006554, #101147691, #101665275, and #101681804. **Supported** as to FSFN Case IDs #2698159, #3585349, #100232015, #100433985, #100459114, #101665275, and #101681804.
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.
- 2018-0092 A Family Engagement Specialist of a subcontracted provider falsified child protective supervision records in FSFN Case ID #160676. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.
- 2018-0095 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101352139. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.
- 2019-0021 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #3541731. **Supported.** The CM falsified child protective supervision records in FSFN Case ID #101811500. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.
- 2019-0040 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101388850. **Supported.** The CM failed to complete child protective supervision records regarding the hospitalization of a child in FSFN Case ID #101388850. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.
- 2019-0046 A Mental Health Technician (MHT) of a subcontracted provider falsified a Precaution Observation Form regarding client wellness checks. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.
- 2019-0051 An ESS I falsified records in AMS and/or FLORIDA concerning ACCESS Cases #1462006213, #1011158868, and #1247988856. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.

- 2019-0064 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #101996232, #101718761, #101941190, and #101984937. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.
- 2019-0101 An API falsified adult protective investigation records in FSFN Investigation #2019-345980. **Supported.** The API falsified adult protective investigation records in FSFN Investigation #2019-298063. **Not Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.
- 2020-0003 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #101864775, #100413664, and #101998602. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.
- 2020-0026 A CM of a contracted provider falsified child protective supervision records in FSFN Case ID #102000665. **Supported.** The CM falsified child protective supervision records in FSFN Case IDs #101457651 and #101877492. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.
- 2020-0043 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #100198120. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's Behavioral Health Case Manager (BHCM) certification.
- 2020-0056 A Child Safety Case Manager of a contracted provider falsified child protective supervision records in FSFN Case ID #78009. **Supported.** The Child Safety Case Manager caused child protective supervision records to be falsified in FSFN Case ID #2572518. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.

## Circuit 7

- 2019-0009 A Senior Child Protective Investigator (SCPI) falsified child protective investigation records in FSFN Investigations #2018-745279 and #2018-748610. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI, Certified Addiction Professional, Certified Mental Health Professional, and International Certification and Reciprocity Consortium Alcohol and Drug Counselor certifications.
- 2019-0019 An SCPI falsified child protective investigation records in FSFN Investigation #2019-036732. **Supported.** The SCPI falsified child protective investigation records in FSFN Investigation #2019-038185. **Neither Supported Nor Refuted.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI certification.
- 2020-0041 A Family Support Worker (FSW) of a contracted provider falsified her timesheet. **Supported.** The FSW failed to document case activities in FSFN. **Supported.** The FSW falsified child protective supervision records in FSFN Case ID #101932205. **Not Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The provider implemented weekly staff meetings to discuss plans and challenges, the calendars of FSWs are now saved on a shared drive for monitoring, all staff now sign an agreement that outlines provider expectations, supervisors now validate travel, timesheets, and schedules, and random audits are conducted by their Accounting and Human Resources departments.
- 2020-0050 A CM of a contracted provider falsified child protective supervision records in FSFN Case IDs #101643503, #101603757, and #101022563. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and opened an ethics investigation on the employee's CWCM certification.
- 2020-0051 An API accessed FSFN Investigations #2020-175421, #2020-174476, #2020-177984, and #2020-184987 without a legitimate business reason. **Supported.** The API revealed confidential information to an unauthorized individual. **Neither Supported Nor Refuted.**
- Corrective Action:** The employee was issued a one-day unpaid suspension and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI-P certification.

## Circuit 8

2019-0098

An MHT of a subcontracted provider slept while on duty and falsified client monitoring sheets. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The provider reminded staff of consequences of violating procedures. Based on the requirement under CFOP 180-4 of reporting incidents of actual or perceived wrongdoing to the OIG not being included in the provider's policies and procedures, the provider immediately began adhering to the OIG reporting requirements.

2020-0013

A Recovery Specialist of a subcontracted provider failed to complete client safety monitoring checks and falsified documents pertaining to client monitoring. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. Based on the requirement under CFOP 180-4 of reporting incidents of actual or perceived wrongdoing to the OIG not being included in the provider's policies and procedures, the contracted and subcontracted provider indicated that their policies and procedures now support the OIG reporting requirements.

## Circuit 9

2018-0086

A contracted provider had prohibited related party transactions. **Investigation Terminated.**

**Corrective Action:** The decision to terminate the investigation was based on information that this allegation was being investigated by law enforcement.

2018-0101

A Family Case Manager Trainee (FCMT) of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101076612. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.

2019-0031

A Targeted Case Manager of a subcontracted provider falsified a client record. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and conducted an ethics investigation but dismissed the case on the employee's BHCM certification.

2019-0067

A CPI falsified child protective investigation records in FSFN Investigation #2019-139456. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI certification.



- 2019-0073 A CPI falsified child protective investigation records in FSFN Investigation #2019-204655. **Supported**. The CPI falsified child protective investigation records in FSFN Investigation #2019-200398. **Neither Supported Nor Refuted**.
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and opened an ethics investigation into the employee's CWPI certification.
- 2019-0080 A CPI falsified child protective investigation records in FSFN Investigation #2019-233225. **Supported**.
- Corrective Action:** The employee's personnel file was updated to reflect the findings of the investigation. CFOP 170-5, Section 9-4, Conflict Resolution over CPT Findings and Recommendations to Investigators was discussed with the employee. All regional CPIs were provided training regarding the same CFOP.
- 2020-0001 An FCM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #100459738. **Supported**.
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.
- 2020-0004 A CPI falsified child protective investigation records in FSFN Investigations #2019-308116, #2019-312414, and #2019-290508. **Supported**.
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI certification.
- 2020-0052 Two Information and Eligibility Specialists of a contracted provider used a co-worker's username and password to access Florida Medicaid Management Information System (FMMIS). **Supported**. An Information and Eligibility Manager of the contracted provider shared her FMMIS username and password with co-workers. **Supported**. The first Information and Eligibility Specialist used a co-worker's username and password to access FLORIDA. **Supported**. The second Information and Eligibility Specialist shared her FLORIDA username and password with co-workers. **Supported**.
- Corrective Action:** The Information and Eligibility Specialists were issued verbal counselings, the Information and Eligibility Manager was issued a written counseling, and the employees' personnel files were updated to reflect the findings of the investigation. The provider required that supervisors discuss the issue at team meetings to ensure that staff understand not to share usernames and passwords.



2020-0065 A CPI falsified child protective investigation records in FSFN Investigation #2020-087278. **Supported.** The CPI falsified child protective investigation records in FSFN Investigation #2020-109746. **Neither Supported Nor Refuted.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI and CWPI-P certifications.

### **Circuit 10**

2018-0117 A Clinical Counselor of a subcontracted provider falsified Progress Notes for individual therapy sessions with clients. **Neither Supported Nor Refuted.** The Clinical Counselor falsified Progress Notes for individual therapy sessions with additional clients. **Neither Supported Nor Refuted.**

**Corrective Action:** The employee resigned.

2019-0023 A Family Assessment Worker of a subcontracted provider falsified client documentation in provider case #273482. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.

2019-0102 A CPI falsified child protective investigation records in FSFN Investigations #2019-134867 and #2019-292058. **Supported.** The CPI falsified child protective investigation records in FSFN Investigation #2019-299494. **Neither Supported Nor Refuted.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI certification.

2019-0110 An API falsified adult protective investigation records in FSFN Investigation #2019-336498. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. OIG outreach training, including a portion on falsification, was provided to APS staff.

2019-0114 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #2734579. **Neither Supported Nor Refuted.**

**Corrective Action:** The employee resigned. The FCB was notified and opened an ethics investigation on the employee's CWCM certification.

### **Circuit 11**

2016-0081 A Lead Case Manager of a subcontracted provider engaged in employee misconduct by improperly using her provider-issued credit card. **Supported.** The Lead Case Manager falsified two client signatures on receipt purchases. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified

but took no action on the employee's Child Welfare Provisional (CWP) or CWCM certifications, which are retired and inactive, respectively. The CBC lead agency and the subcontracted provider no longer provide services in the Southern Region.

- 2017-0082 A CPI accessed FSFN Investigation #2017-246020 without a legitimate business reason. **Supported.** A Peer Specialist of a subcontracted provider disclosed confidential child protective investigation information to an unauthorized individual. **Supported.** The CPI disclosed confidential child protective investigation information to an unauthorized individual. **Neither Supported Nor Refuted.**
- Corrective Action:** The employees were terminated and the employees' personnel files were updated to reflect the findings of the investigation.
- 2018-0032 Two ESS Is recorded and/or posted a video of a Department client on a social media platform. **Supported.** A third ESS I recorded and/or posted a video of a Department client on a social media platform. **Not Supported.**
- Corrective Action:** The first two ESS Is received written counselings and the employees' personnel files were updated to reflect the findings of the investigation. The third ESS I resigned. All staff completed Security Awareness Refresher training after the incident. The facility has been closed since March 2020 due to COVID-19, but on-site security is being considered upon reopening.
- 2018-0070 A DCM of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #149610, #100957258, #101153747, and #101327294. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.
- 2018-0104 A DCM of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #118326, #100738960, and #101274840. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.
- 2018-0115 A CPI falsified child protective investigation records in FSFN Investigations #2018-718340 and #2018-735411. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI-P certification.
- 2018-0116 A CPI falsified child protective investigation records in FSFN Investigation #2018-700261. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI-P certification.

2018-0123 A CEO of a contracted provider improperly spent state funds on a holiday party. **Investigation Terminated.**

**Corrective Action:** The employee resigned. The decision to terminate the investigation was based on information that this allegation was being investigated by law enforcement.

2019-0049 A Family Consultant of a subcontracted provider falsified family services records in FSFN Case ID #101424046. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.

2019-0108 A CM of a contracted provider falsified home visits in the Wendy's Wonderful Kids database. **Investigation Terminated.**

**Corrective Action:** The employee was terminated. The decision to terminate the investigation was based on information that the employee's position was not funded through the Department; therefore, the OIG had no jurisdiction to investigate.

2020-0064 A Human Services Counselor III violated confidentiality by allowing family members to drive her to home visits. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.

2021-0013 An ESS I falsified client records in FLORIDA.

**Corrective Action:** The employee resigned. The decision to terminate the investigation was based on the fact that the OIG opened a management review to examine similar actions across the Southern Region and this investigation would be duplicative.

## **Circuit 12**

2020-0054 A CM of a contracted provider falsified child protective supervision records in FSFN Case ID #101481052. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.

## **Circuit 13**

2018-0107 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #123303 and #100580674. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.

- 2018-0120 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #100763378. **Supported.** The CM falsified child protective supervision records in FSFN Case IDs #100968203, #101742783, and #101837292. **Supported.** The CM falsified child protective supervision records in FSFN Case IDs #100793334 and #101631847. **Neither Supported Nor Refuted.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified but took no action on the employee's CWCM-P certification, which expired effective July 10, 2019.
- 2019-0037 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #2751003. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.
- 2019-0074 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #100736787. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.
- 2019-0076 A Case Manager Supervisor (CMS) and a Family Support Specialist of a subcontracted provider mishandled FSFN Case ID #100464788. **Supported.**
- Corrective Action:** The employees were terminated and the employees' personnel files were updated to reflect the findings of the investigation. The FCB was notified and determined that the issue should be addressed as an employer/employee issue and, as such, dismissed their case. All staff of the subcontracted provider were reminded of the Department guidelines and Florida Administrative Code for incidents of children missing or sleeping in any office or unapproved placement. All staff were provided with on-call procedures and agency policy regarding the supervision of clients and are now required to sign a memorandum of understanding of transportation and on-call procedures, including the escalation process.
- 2019-0103 An ESS I accessed AMS (ACCESS Application #689833258) and FLORIDA Case #1248239334, a case of personal interest, without a legitimate business reason. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The SunCoast Region Office of Economic Self-Sufficiency (OES) deployed a formal integrity plan to include quarterly training, random quality assurance reviews, and refresher training based on the findings of the investigation.
- 2020-0008 An ESS I falsified records in AMS and/or FLORIDA concerning ACCESS Cases #1406620530 and #1002843707. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The SunCoast Region OES deployed a formal integrity plan to include quarterly training, random quality assurance reviews, and refresher training based on the findings of the investigation.

2020-0017 A Child Welfare Case Manager of a subcontracted provider accessed FSFN Investigation #2019-364869, a case of personal interest, without a legitimate business reason. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification. In response to a recommendation that the subcontracted provider develop a policy addressing misuse of position for personal gain, they provided copies of Ethics, Uses and Disclosures, and Public Responsibilities policies.

2020-0023 A CM of a contracted provider falsified child protective supervision records in FSFN Case IDs #101881513, #101065934, and #6502873. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.

2021-0009 A Case Manager Supervisor (CMS) of a subcontracted provider directed employees to falsify records in FSFN. **Investigation Terminated.**

**Corrective Action:** The decision to terminate the investigation was based on information that the complainant did not respond to OIG attempts to obtain information and no witnesses or documentary evidence could be located to support or refute the allegation.

#### **Circuit 14**

There were no cases closed in Circuit 14 during FY 2020-2021.

#### **Circuit 15**

2018-0009 A CPI falsified child protective investigation records in FSFN Investigation #2017-323994. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and opened an ethics investigation into the employee's CWP and CWPI certifications.

2018-0015 A CPI falsified a home study in FSFN Investigation #2017-198715. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and opened an ethics investigation into the employee's CWPI certification.

- 2018-0108 A Child Advocate of a contracted provider filed with the court an unapproved home study by using a signed supervisory approval signature page from a previously approved home study. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.
- 2018-0119 An ESS II used another employee's FLORIDA system User ID to work on the FLORIDA case of another employee. **Supported.** Another ESS II failed to secure her Department-issued computer. **Supported.** An Economic Self-Sufficiency Specialist Supervisor (ESSS) failed to notify her supervisor that she was a household member of another employee, whose application was determined eligible for benefits. **Supported.**
- Corrective Action:** The ESS IIs resigned, the ESSS was terminated, and the employees' personnel files were updated to reflect the findings of the investigation. All regional OES staff were reminded of the requirements of CFOP 165-22, "ACCESS Program Policy Manual," immediately following this incident.
- 2020-0012 A CPI falsified child protective investigation records in FSFN Investigation #2016-150204. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI, CWCM, and CWP certifications.
- 2020-0068 An API accessed the Department of Highway Safety and Motor Vehicles (DHSMV) Driver and Vehicle Information Database (DAVID) without a legitimate business reason. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. Notification required by the MOU between was sent.

### **Circuit 16**

There were no cases closed in Circuit 16 during FY 2020-2021.

### **Circuit 17**

- 2016-0068 An FSW of a subcontracted provider falsified Home Visit Records. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.
- 2018-0072 An FSW of a subcontracted provider falsified a Home Visit Record concerning a home visit to a participant of the program. **Supported.** The Family Support Worker falsified travel records, for which she was reimbursed. **Supported.**
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The subcontracted



provider has been unable to recoup the funds (\$2.45) due to not being able to locate the employee.

2018-0080 A Child Advocate of a contracted provider falsified child protective supervision records in FSFN Case ID #100675841. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.

2018-0091 A Recovery Plan Specialist of a contracted provider falsified Treatment Team Meeting Notes. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.

2019-0035 An FSW of a subcontracted provider falsified Home Visit Records and signatures on Participant Signature Forms concerning home visits to participants of the program. **Supported.** The FSW submitted fraudulent mileage reimbursement records for travel that did not occur. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.

2019-0090 An API falsified adult protective investigation records in FSFN Investigations #2019-306979 and #2019-307151. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.

### **Circuit 18**

2019-0091 An ESS I falsified telephone interviews in ACCESS Cases #1515967387, #1534940511, and #1594615560. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.

2019-0099 A Clinical Counselor of a subcontracted provider falsified Progress Notes for individual therapy sessions with Client 1. **Supported.** The Clinical Counselor falsified Progress Notes for individual therapy sessions with Client 2. **Supported.** The Clinical Counselor falsified Progress Notes for individual therapy sessions with Client 3 and Client 4. **Supported.** The Clinical Counselor falsified Progress Notes for individual therapy sessions with Client 5, Client 6, and Client 7. **Neither Supported Nor Refuted.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.

2019-0115 A CPI falsified child protective investigation records in FSFN Investigation #2019-237262. **Supported.** The CPI falsified child protective investigation records in FSFN Investigations #2019-178090, #2019-184379, #2019-237499, #2019-268874, and #2019-270040. **Neither Supported Nor Refuted.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI certification.

2020-0002 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #100664393 and #101539160. **Supported.** The CM falsified child protective supervision records in FSFN Case ID #102004929. **Neither Supported Nor Refuted.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.

2020-0018 A Children's Legal Services Paralegal Specialist falsified FSFN entries in FSFN Case IDs #82931, #122094, #129621, and #156050. **Supported.**

**Corrective Action:** The employee was issued a written reprimand and the employee's personnel file was updated to reflect the findings of the investigation.

### **Circuit 19**

2018-0061 Three Registered Nurses of a contracted provider falsified Seclusion and Restraint Observation Records/Flow Sheet forms. **Supported.**

**Corrective Action:** Two employees resigned and one employee was terminated. The employees' personnel files were updated to reflect the findings of the investigation.

2018-0074 A CPI falsified child protective investigation records in FSFN Investigation #2018-519549. **Supported.** The CPI falsified child protective investigation records in FSFN Investigation #2018-522332. **Neither Supported Nor Refuted.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI certification.

2018-0089 A CM of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #101575911, #101701982, and #101754228. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM-P certification.

2019-0028 A CPI falsified child protective investigation records in FSFN Investigations #2019-007154 and #2019-011238. **Neither Supported Nor Refuted.** The CPI falsified child protective investigation records in FSFN Investigation #2019-017963. **Not Supported.**

**Corrective Action:** The employee resigned.

2019-0062 A DCM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #100448376. **Supported.** The DCM falsified child protective supervision records in FSFN Case ID #2520034. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.

2019-0082 A CPI falsified child protective investigation records in FSFN Investigations #2019-161968, #2019-176382, and #2019-220417. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI certification.

2019-0089 A DCM of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #100587791 and #101674880. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.

2020-0057 A CPI falsified a medical exemption letter. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI and CWPI-P certifications.

## **Circuit 20**

2019-0016 A CWCM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #100981033. **Supported.** The CWCM falsified child protective supervision records in FSFN Case ID #101804020. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.

2019-0066 A CPI falsified child protective investigation records in FSFN Investigations #2019-144692 and #2019-181008. **Supported.**

**Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI-P certification.

2019-0087 An ESS I falsified the completion of customer interviews and customer authentications in the FLORIDA system and/or AMS. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The SunCoast Region OES deployed a formal integrity plan to include quarterly training, random quality assurance reviews, and refresher training based on ethics, and these items are now discussed with new hires during pre-service training. OES Executive Management Team members discuss these topics annually with their administration during all-staff meetings with a follow-up standardized e-mail to the entire administration.

2019-0112 A SCPI falsified child protective investigation records in FSFN Investigation #2019-327641. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWPI certification.

2019-0113 A CPIS used a state vehicle without authorization for personal reasons. **Supported.** The CPIS used a state fleet gas card for an unauthorized, personal purchase. **Supported.** The CPIS falsified child protective investigation records in FSFN Investigation #2019-351818. **Neither Supported Nor Refuted.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and issued a letter of reprimand to the employee's CWPI certification. PowerPoint presentations provided by Office of General Services were incorporated into pre-service training and onboarding for new employees that utilize state vehicles for work purposes. OIG outreach training was provided to SunCoast Region staff and contracted providers on November 4, 2020. After consideration, an audit of the employee's state vehicle usage was not conducted due to the time that had passed and a change in their record-keeping system that would cause an audit to be highly labor-intensive and questionable as to value added.

2020-0040 A DCM of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #101684491 and #101935273. **Supported.**

**Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The FCB was notified and revoked the employee's CWCM certification.

2020-0045 A Child Welfare Case Manager Supervisor (CWCMS) and a CWCM of a subcontracted provider mishandled case management services in FSFN Case ID #101954361. **Not Supported.**

**Corrective Action:** No action required.

## Institutions

2018-0077 A Florida State Hospital (FSH) Laundry Admin I did not follow appropriate procurement procedures for contracted work. **Investigation Terminated.**

**Corrective Action:** The decision to terminate the investigation was based on information that the employee was terminated; the issue was discovered before the invoices were paid; there were no other similar transactions with this contractor; the employee claimed that the dates and times of work were added after she signed the quotes for the work; the contractor agreed that the form had been used inappropriately and they were not expecting payment for the work; the contractor's work at the facility was reduced; and the employee of the contractor involved was banned from completing any work at the facility.

- 2018-0100 An FSH Government Operations Consultant I failed to report maltreatment of an FSH resident to the Hotline. **Supported.** The Government Operations Consultant I was not forthcoming with information relevant to FSFN Investigation #2018-690734. **Supported.** An FSH Assistant Institution Superintendent, FSH Senior Attorney (Customer Relations), FSH Executive Nursing Director, and FSH Psychological Services Director failed to report maltreatment of an FSH resident to the Hotline. **Not Supported.**
- Corrective Action:** The employee was issued a written counseling and the employee's personnel file was updated to reflect the findings of the investigation. Employees receive training at hire and annually on FSHOP 140-01, Procedures for Reporting and Investigating the Abuse, Neglect or Exploitation of FSH Residents. Based on additional information that conflicting information existed on the Form 150s and HealthCare Software (HCS) Clinicals and the medication history, FSHOP 151-15, Physician's Orders, requires that orders must be placed in HCS and a paper form shall only be utilized when the electronic system is inoperable or electronic form is unavailable. Based on additional information that an employee was promoted while under investigation for maltreatment of an individual in a healthcare setting, Human Resources has been notified of the need to review hiring and promotional policies and procedures to determine whether hiring or promoting someone during a pending maltreatment investigation is appropriate.
- 2019-0097 SH A Northeast Florida State Hospital (NEFSH) Human Services Worker (HSW) II failed to report a suspected occurrence of sexual harassment. **Supported.** A NEFSH Human Services Worker I sexually harassed a co-worker. **Neither Supported Nor Refuted.**
- Corrective Action:** The HSW II was terminated, the HSW I resigned, and the HSW II's personnel file was updated to reflect the findings of the investigation. NEFSH added an annual refresher sexual harassment training to the PeopleFirst learning environment for all NEFSH staff.
- 2019-0100 SH A NEFSH Unit Treatment and Rehabilitation Senior Supervisor (UTRSS) I sexually harassed an employee. **Neither Supported Nor Refuted.**
- Corrective Action:** No action required.
- 2020-0007 A NEFSH HSW I falsified client location records. **Supported.**
- Corrective Action:** The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.
- 2021-0023 SH A North Florida Evaluation and Treatment Center (NFETC) Primary Care Physician made inappropriate sexual comments. **Investigation Terminated.**
- Corrective Action:** The decision to terminate the investigation was based on information that the alleged victim's allegations centered around hostile work environment and harassment but did not meet the threshold of sexual harassment. The investigation was terminated and the matter was referred to the Office of Civil Rights.

## **Summary of Management Reviews and Corrective Actions Completed**

There were no Management Reviews closed during FY 2020-2021.





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