



**Department of Children and Families
Office of Inspector General
Annual Report
Fiscal Year 2019-2020**



**State of Florida
Department of Children and Families**

Ron DeSantis

Governor

Chad Poppell

Secretary

September 15, 2020

Chad Poppell, Secretary
Department of Children and Families
1317 Winewood Boulevard, Building 1, Room 202
Tallahassee, Florida 32399-0700

Dear Secretary Poppell:

In accordance with § 20.055, Florida Statutes, it is my pleasure to present the Office of Inspector General Annual Report for Fiscal Year 2019-2020. The report details the accomplishments and efforts of staff within the Appeal Hearings, Internal Audit, and Investigations Sections during the fiscal year.

We are committed to promoting accountability and integrity in a professional and timely manner. We look forward to continuing to work with the agency to accomplish our mission of *Enhancing Public Trust in Government*.

Respectfully,

Keith R. Parks
Inspector General

1317 Winewood Boulevard, Tallahassee, Florida 32399-0700

Mission: Work in Partnership with Local Communities to Protect the Vulnerable, Promote Strong and Economically Self-Sufficient Families, and Advance Personal and Family Recovery and Resiliency

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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) 2019-2020:

- Received, reviewed, and processed 6,978 complaints or requests for assistance from Department managers, employees, clients, or citizens
- Opened 99 cases and completed 80 cases that examined allegations of violations of statute, rule, policy, contract, or systemic issues, and tracked 74 corrective actions (139 recommendations) by management to ensure responses to recommendations for personnel action or policy clarification were appropriately addressed.
- Assumed responsibility of conducting investigations involving allegations of sexual harassment.
- Processed 4,930 Inspector General Reference Checks for current and former Department and provider employees.
- Conducted 51 Outreach Training sessions for 1,156 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,¹ 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 11,054 fair hearing requests, 1,606 administrative disqualification hearing requests, and 161 nursing facility discharge or transfer hearing requests.
- Published four (4) assurance reports, which contained eight (8) 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 nine (9) external audit projects from two (2) external organizations. Three (3) of the nine (9) projects were still open as of June 30, 2020.
- Reviewed and processed 134 Department financial reporting packages of state financial assistance as well as 29 certifications of “no audit required.”

¹ 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 2019-2020.

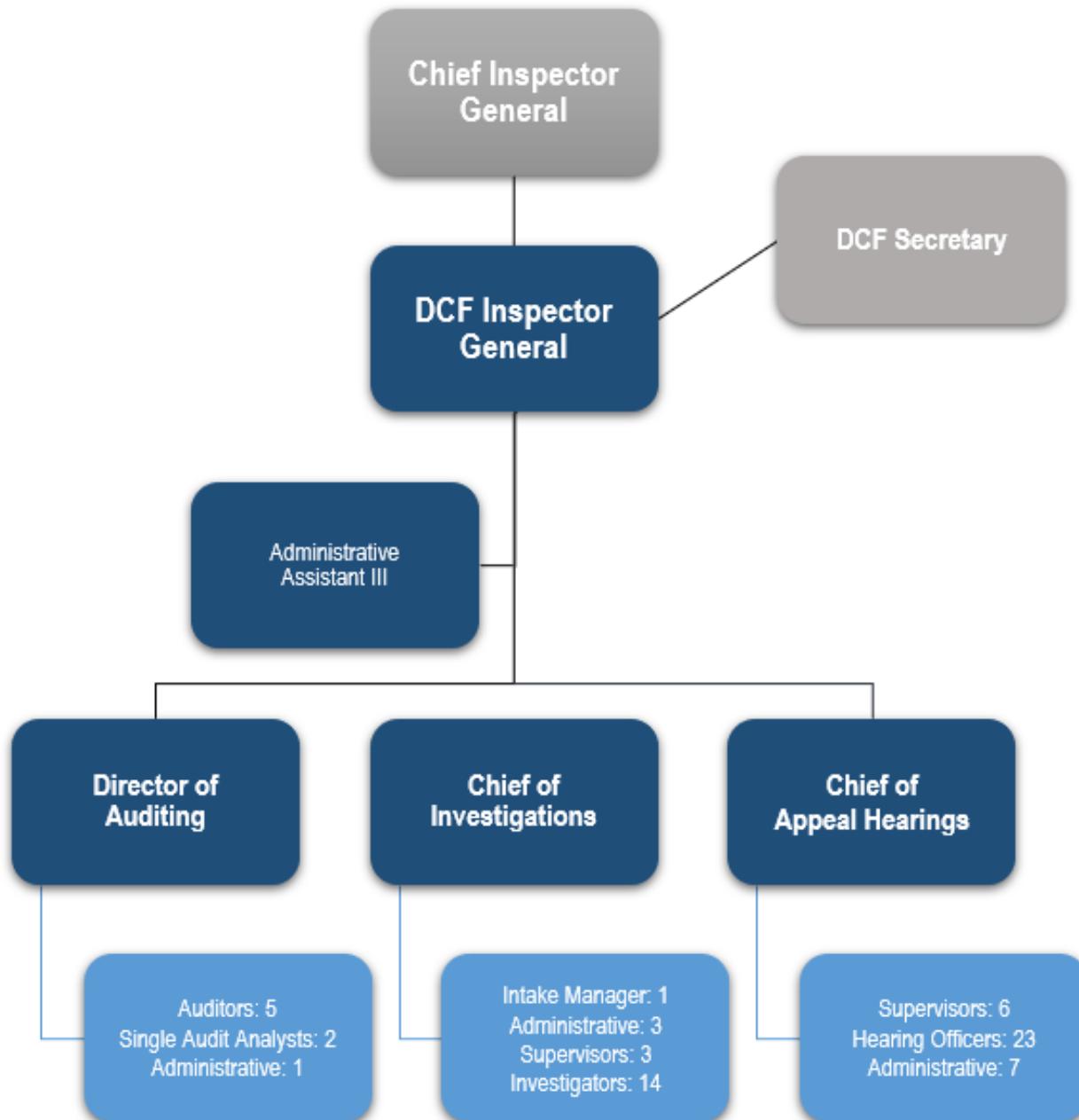
Statutory Requirements

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), but 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 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, 2020, 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.²



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

PROFESSIONAL CERTIFICATIONS AND LICENSES

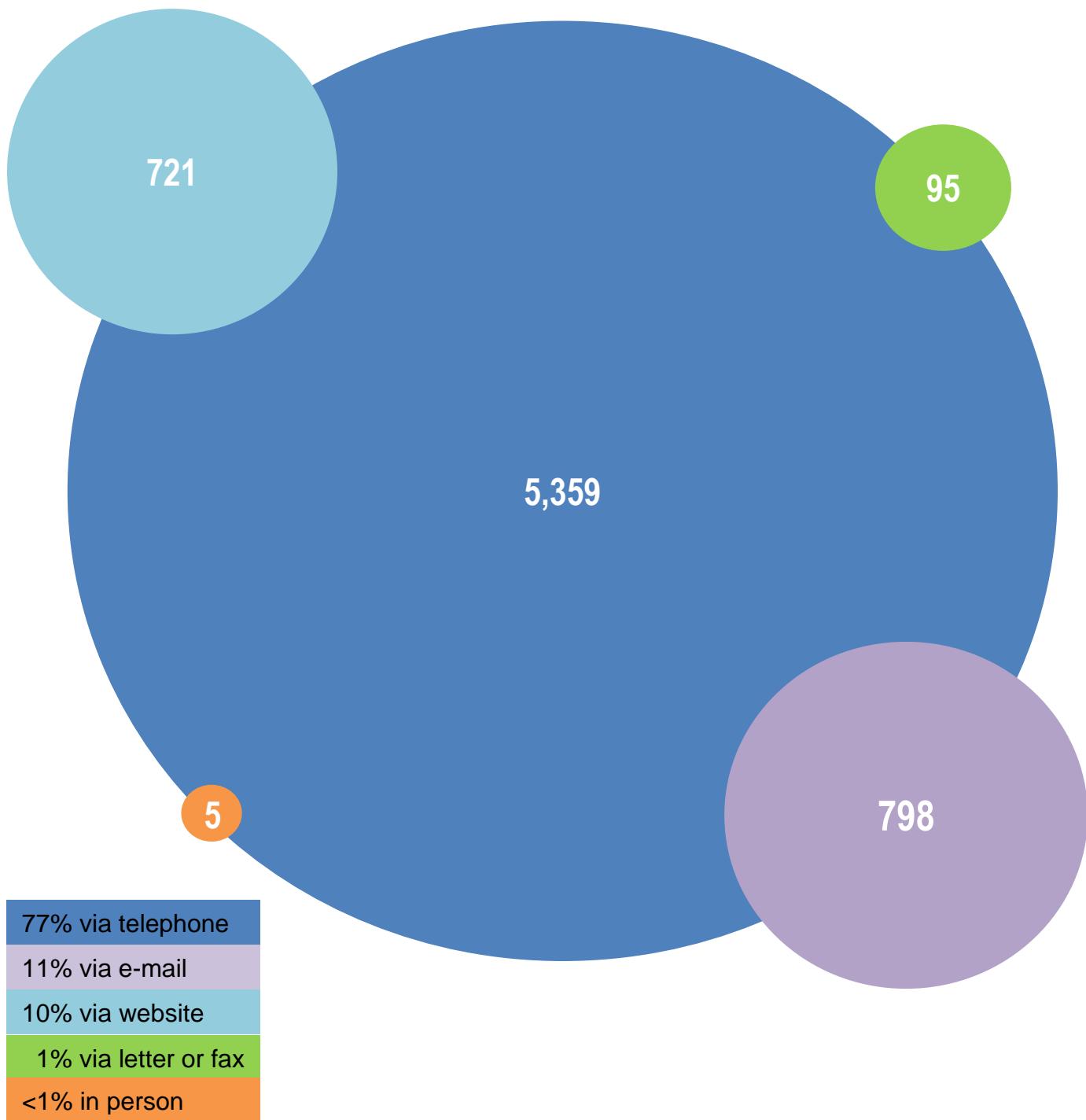
In addition to the educational degrees and experience required for their respective positions, OIG staff members hold the following professional certifications and licenses:

- | | |
|---|--|
| Abuse Hotline Counselor (1) | Certified Law Enforcement (2) |
| Accreditation Manager (2) | Certified Myers-Briggs Type Indicator Practitioner (1) |
| AIG Institute Instructor (1) | Certified Public Accountant (1) |
| AIG Peer Review Committee Chair (1) | Certified Public Manager (3) |
| AIG Peer Review Team Leader (1) | CFA Instructor (1) |
| Call Center Manager (1) | CFA Team Leader Assessor (1) |
| Certified Accreditation Professional (1) | Child Welfare Protective Investigator (1) |
| Certified Hearing Official (1) | Department Certified Trainer (2) |
| Certified Information Systems Auditor (2) | EEOC Investigator (1) |
| Certified Inspector General (2) | Florida Bar Members (9) |
| Certified Inspector General Auditor (8) | Florida Certified Contract Manager (6) |
| Certified Inspector General Investigator (12) | Six Sigma Certified (10) |
| Certified Internal Auditor (1) | |

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 or fax, or in person. The Intake Unit reviewed a total of **6,978** 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 committed a potential criminal violation, the investigation is coordinated with the Florida Department of Law Enforcement, local law enforcement agency, or the appropriate State Attorney's Office for criminal prosecution.

Investigations and Management Reviews

- 99** Cases were opened for investigation or management review
- 80** Cases were completed
- 147** Allegations were investigated or reviewed

Whistle-blower Investigations

There were **two (2)** investigations completed in accordance with the Whistle-blower's Act.

Sexual Harassment Investigations

There were **six (6)** investigations initiated and **one (1)** investigation 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. The final reports, including recommendations, are sent to all appropriate parties and actions are tracked to completion. A total of **74** corrective actions, entailing **139** 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 took place at the discretion of management, the employees themselves, or the FCB:

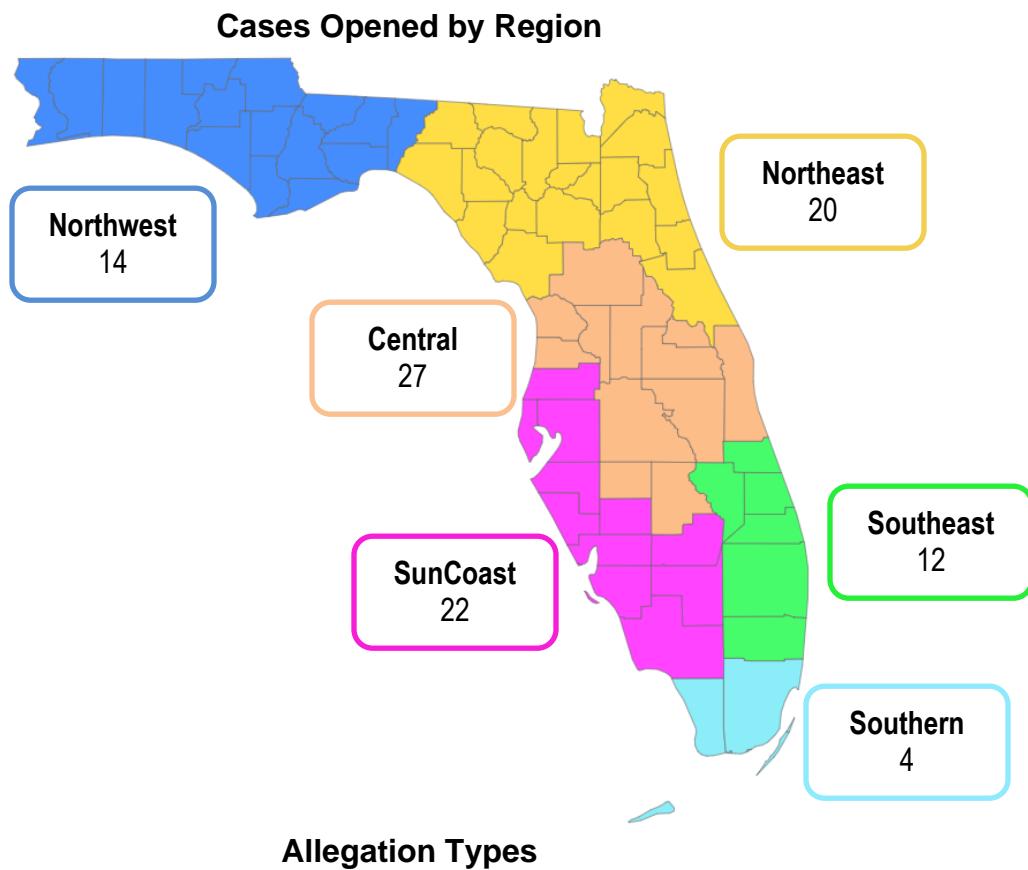
Personnel Actions

- 42** Resignations
- 33** Terminations
- 3** Written Reprimands
- 2** Written Counseling
- 1** Verbal Counseling

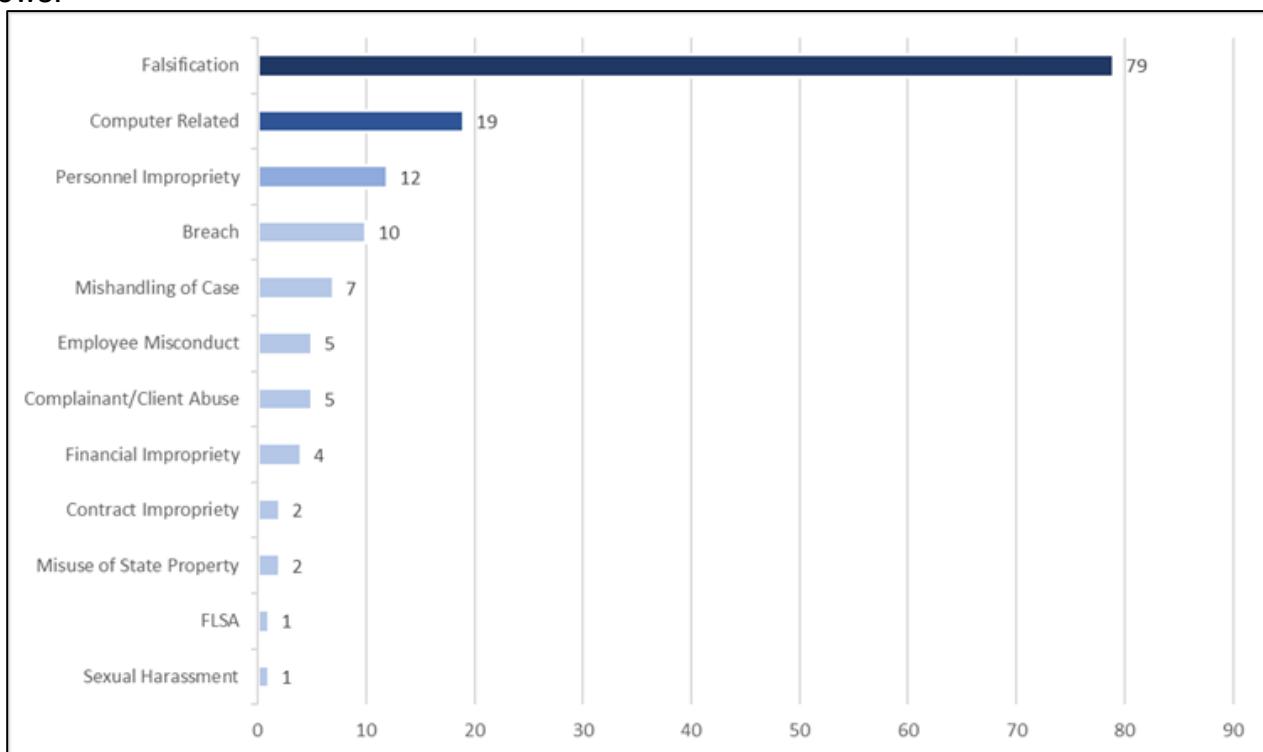
FCB Actions

- 39** Revocations
- 3** Open Ethics Investigations
- 2** Immediate Suspensions Pending Investigation
- 1** Letter of Reprimand

The following chart provides a comparative analysis of the **99** cases opened by Region:



The allegation types and corresponding **147** allegations investigated for closed cases are as follows:



Public Records Requests

The Intake Unit responded to **56** 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 if they were the subject of an OIG investigation that resulted in supported findings. The OIG processed **4,930** 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. **Fifty-one (51)** training sessions, involving **1,156** 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 when individuals are alleged to have committed intentional program violations in the Cash Assistance or 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; 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 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 Temporary Assistance to Needy Families (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

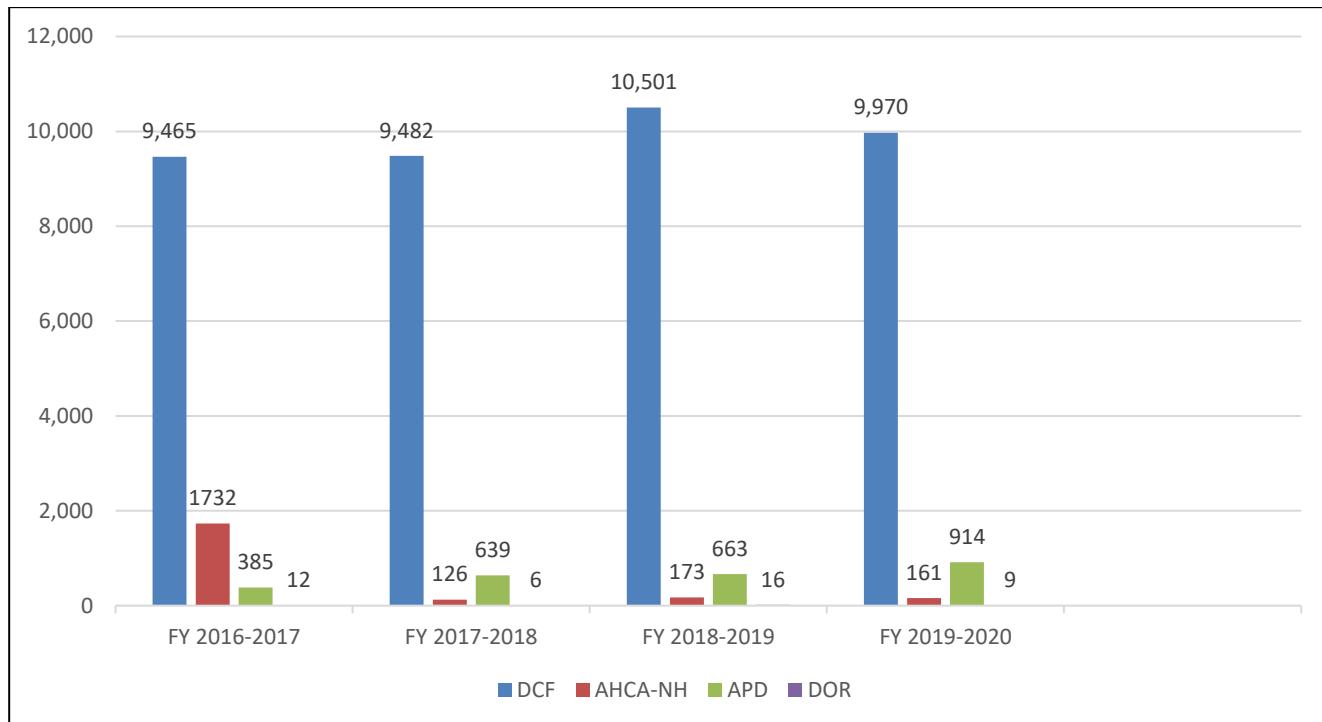
Completed Hearings Activities

11,054 Fair hearing requests

1,606 Administrative disqualification hearings for Cash or SNAP benefits

161 Nursing facility discharge or transfer hearings

Fair Hearings Completed by Agency³



³ Department of Children and Families (DCF) hearings include fair and administrative disqualification hearings. AHCA hearings include fair and nursing home discharge or transfer hearings. APPD and DOR hearings include only fair hearings.

INTERNAL AUDIT SECTION

Internal Audit Unit

The Internal Audit Unit conducts audits and consulting projects related to programs, operations, and contracts to promote economic and efficient 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 government organizations.

The unit published **four (4)** audits, which included **eight (8)** findings and recommendations for improvement. Department management concurred or agreed with all findings and recommendations.

The unit conducted liaison activities for **nine (9)** 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 **three (3)** 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. § 200.500, 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. In addition, the unit analyzed and reviewed **134** recipient audit reporting packages and **29** certifications of "no audit required."

Florida Inspectors General Expertise System (FIGES)

Acting as an active 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 **352** personnel from **42** 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 reflected a total of **147** 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 2019-2020, the OIG Internal Audit Section devoted a significant amount 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. FCADV failed to fully comply with this and similar requests made throughout 2018 and 2019 by both the OIG and the Department Office of General Counsel, including a request by the OIG to the FCADV Board of Directors in September 2019.

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 FCADV documents and records and working papers from the FCADV 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 has since been placed in receivership and, as of June 30, 2020, this project remains ongoing.

APPENDIX

Summary of Internal Audit Projects Issued

Project #A-1819DCF-037: *Contract and Grant Monitoring Processes*

The objectives of this audit were to determine whether contract and grant monitoring procedures and practices were adequate, effective, and non-duplicative.

The scope of the audit included contract and grant agreements and related monitoring policies, procedures, and practices during the following five fiscal years: FY 2013-2014, FY 2014-2015, FY 2015-2016, FY 2016-2017, and FY 2017-2018. This included community-based care lead agencies (CBCs), Substance Abuse and Mental Health (SAMH) funded managing entities (MEs), and non-CBC/ME contracts.

The audit disclosed no findings.

Project #A-1819DCF-055: *Community-Based Care and Managing Entity Website Information Disclosure*

The objective of this audit was to determine whether CBCs and MEs complied with statutory requirements to post specified information on their publicly-accessible websites. The audit focused on CBCs and MEs under contract with the Department for the provision and management of child welfare and behavioral health services, respectively. The scope of this audit was the fiscal year ended June 30, 2018 through the end of audit fieldwork.

The audit disclosed the following:

- Contract manager and Contract Monitoring Team (CMT) processes for monitoring required website information disclosures need improvement;
- Some CBC websites did not include bonus or additional compensation information; and
- Some CBC administrative employee salaries did not comply with limitations in state law and/or federal regulations.

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

Project #A-1920DCF-009: *Center for Internet Security, Inc. (CIS) Critical Security Control #3 – Continuous Vulnerability Management*

The objectives of this audit were to determine whether appropriate controls were in place and operating effectively to ensure that the Department continuously acquires, assesses, and takes action on new information in order to identify vulnerabilities and remediate and minimize the window of opportunity for attackers. The scope of this audit included all processes, practices, policies, and procedures that govern the continuous assessment, mitigation, and management of security vulnerabilities for systems or applications in support of Department business operations.

Pursuant to § 282.318(4)(g), F.S., this report is “confidential information and exempt from § 119.07(1), F.S., except that such information shall be available to the Auditor General, the

Office of the Department of Law Enforcement, the Division of State Technology within the [Department of Management Services], and, for agencies under the jurisdiction of the Governor, the Chief Inspector General."

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

Project #A-1920DCF-089: *Internal Control and Data Security Audit of the Data Exchange Memorandum of Understanding (MOU) with the Department of Highway Safety and Motor Vehicles*

The objectives of this audit were to:

- Evaluate whether the Department had adequate controls in place to protect personal data from unauthorized access, distribution, use, modification, or disclosure in compliance with the requirements of this MOU and applicable laws;
- Certify that data security procedures and policies were approved by a Risk Management Information Technology (IT) Security Professional; and
- Certify that all deficiencies and/or issues, if any, found during the audit were corrected and measures enacted to prevent recurrence.

The scope of this audit included the review of all policies, procedures, and practices in effect January 22, 2019 through the end of audit fieldwork.

The audit disclosed the following:

- Human Resources (HR) should improve its logical access control to ensure access levels granted to staff align with legitimate business needs; and
- The Office of Information Technology Services (OITS) should update relevant provisions of its operating procedures to better align with related requirements specified in the MOU.

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

Summary of Internal Audit Projects Initiated and Terminated

There was one audit project terminated during FY 2019-2020 as follows:

Project #A-1819DCF-086: *Caseload Impact upon Child Welfare Falsification Incidents*

The OIG initiated this audit project at the suggestion of former Department Secretary Mike Carroll. Subsequently, the Department commenced a Child Protective Investigator (CPI) Efficiency Project with the goal of developing a variety of resources that would increase productivity and improve the performance of child protective investigations. Because of the duplicative nature of assurance project #A-1819DCF-086 with the CPI Efficiency Project, the OIG decided to terminate this audit project.

Significant Audit Recommendations Not Fully Implemented

Pursuant to § 20.055(8)(c)4., F.S., the 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 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 (LBR). This information should include recommended changes to Long Range Program Plan (LRPP) performance measures and why current measures do not provide adequate information.

SAMH 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 ME 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.

External Audit Reports Issued

Auditor General

2019-186	State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards
2020-170	State of Florida – Compliance and Internal Controls Over Financial Reporting and Federal Awards
2020-088	Office of Inspector General’s Internal Audit Activity
2020-090	Office of Public Benefits Integrity and Selected Administrative Activities

Office of Program Policy Analysis and Government Accountability

- 19-05 Placement Options for CSE Victims Have Increased; CSE-Specific Services Remain Limited
- 19-12 The Acute Services Utilization Database Meets Statutory Requirements; Limitations Exist for Certain Types of Analyses

Follow-up to Prior External Audit Reports

Auditor General

- 2019-186 State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards
- 2020-088 Internal Quality Assessment

Office of Program Policy Analysis and Government Accountability

- 19-05 Placement Options for CSE Victims Have increased; CSE-Specific Services Remain Limited

Summary of Investigations and Corrective Actions Completed

Headquarters

- 2019-0002 A Florida Abuse Hotline (Hotline) Counselor failed to make a mandatory report of allegations of child-on-child sexual abuse to the Hotline. ***Neither Supported Nor Refuted.***
Corrective Action: The employee resigned.
- 2019-0011 An OITS Systems Project Analyst accessed FLORIDA Case #1596323299, a case of personal interest, without a legitimate business reason. ***Supported.*** The Systems Project Analyst disclosed confidential client information from FLORIDA Case #1596323299 to an unauthorized individual. ***Supported.*** The Systems Project Analyst accessed FLORIDA Case #1400127084, a case of personal interest, without a legitimate business reason. ***Supported.*** The Systems Project Analyst disclosed confidential client information from FLORIDA Case #1400127084 to an unauthorized individual. ***Supported.***
Corrective Action: The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.

Circuit 1

- 2017-0084 A Family Services Counselor (FSC) of a contracted provider provided false information to the State of California regarding FSFN Case ID #101603500. ***Neither Supported Nor Refuted.***
Corrective Action: The employee was terminated. Based on the discovery that the employee's casework activities, supervisor consultations, and efforts to locate a child were not adequately documented in FSFN as required by policy, the contracted provider management team reminded employees that all contacts with clients, including e-mails, text messages, face-to-face contacts, and telephone calls, must be documented in FSFN.
- 2019-0012 A Child Protective Investigator (CPI) falsified child protective investigation records in FSFN Investigation #2018-755704. ***Supported.***
Corrective Action: The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The Florida Certification Board (FCB) was notified and revoked the employee's Child Welfare Protective Investigator certification.

Circuit 2

- 2016-0070 A CPI falsified child protective investigation records in FSFN Investigations #2016-167207, #2016-167491, #2016-184033, and #2016-191219. ***Supported.*** The CPI falsified child protective investigation records in FSFN Investigation #2016-187486. ***Not Supported.*** The CPI falsified child protective investigation records in FSFN Investigations #2016-145125, #2016-177559, #2016-179498, and #2016-217549. ***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 Child Welfare Provisional certification. Based on information identified regarding missing case file notes, the Northwest Region reported that pursuant to Chapter 12, Children and Families Operating Procedure (CFOP) 170-4, CPIs have up to two business days after the actual contact or event to add case file notes into FSFN. The Northwest Region instructs incoming CPIs on types of information entered into FSFN and required timelines during pre-service training and determined that the training offered is sufficient.

- 2019-0001 A State Mental Health Treatment Facilities (SMHTF) Chief Hospital Administrator (CHA) created a conflict of interest and failed to safeguard his ability to make objective, fair, and impartial decisions in conjunction with Department contracting actions with a contracted provider. **Supported**. The CHA misused state resources by having contracted provider staff perform repairs on a state rental vehicle. **Supported**. The CHA misused state resources by having contracted provider staff return a state rental vehicle to the originating Enterprise rental location on his behalf. **Supported**. The CHA created a conflict of interest and failed to safeguard his ability to make objective, fair, and impartial decisions in conjunction with Department contracting actions with another contracted provider. **Supported**. The CHA did not follow required procedures for reporting an accident with an Enterprise rental vehicle. **Supported**. The CHA misused Department fleet vehicles by allowing personal use for himself and staff. **Supported**.

Corrective Action: The employee resigned. The Department determined that all agency activities related to procurement, contracts, and purchasing, including those activities at the SMHTF, will be overseen by a centralized procurement office. Outposted contract and purchasing staff will receive training, support, supervision, and guidance through the new structure. All vehicles have been removed from assignment to specific staff members and staff have been trained in the appropriate use of state vehicles. The contract with the provider was reviewed specific to the issues of service, vehicle repairs, documentation, recordkeeping, record retention, and adherence to fleet vehicle requirements. A protocol to ensure background screening of all contractors, vendors, and consultants was developed and put into place and a review of current providers to ensure compliance was completed. The Department terminated the contract with the other contracted provider. SAMH staff were reminded to comply with purchasing policy and, after a determination that quotes were not obtained as required, the Department reviewed approval flows for My Florida Market Place (MFMP). It was noted that the Ethics Basics and Ethics for Specified Employees online training modules, required to be completed within 10 days of hire and an annual refresher thereafter, were believed to be sufficient to properly educate all staff on ethical behavior and actions. The Office of Procurement and Contracted Client Services reviewed all electronic purchase orders to a single vendor in amounts slightly below the Level Two threshold (\$34,999.99 and below), where there was more than one purchase order near that amount to that vendor per fiscal year or the purchase order was for consultation services for July 1, 2018 through November 13, 2019, and no questionable purchase orders were identified. During the monthly reporting process, the Office of Budget, Finance, and Accounting

prepares a report of encumbrances by vendor for review and each program budget analyst will obtain supervisory review for purchase orders that appear suspicious. CFOP 40-2 was updated to reflect the statutory perquisite process for vehicle assignment. HR conducted a review of all on-call hours for the SMHTF Operations Review Specialist and determined there was no need for a SMHTF Operations Review Specialist to continue to be on-call, as noted in the report. General Services completed a review of CFOP 40-2 and determined that the use of the state fleet fuel card is outlined in detail and no specific changes were required for fuel purchase processes; however, a section specific to fueling vehicles from SMHTF fuel locations was added to CFOP 40-2. Based on information revealing that citizen complaints of incidents reportable under CFOP 180-4, received by General Services and SAMH, were not forwarded to the OIG, General Services sent an e-mail reminder to all General Services staff of their obligation to report any instances of wrongdoing to the OIG. The Office of Procurement and Contracted Client Services terminated Contract #DI422 with Quarry Group, LLC.

2019-0029 WB Florida State Hospital (FSH) employees failed to report the discovery of contraband to the FSH Security Department or local law enforcement. **Not Supported.**

Corrective Action: Due to the lack of clarity in written procedure, FSH developed a facility-specific protocol to include discovery of contraband, specifically drugs, on facility grounds. It was determined that, subject to available funding, additional cameras would be purchased and installed to deter contraband activities. One Hospital Operating Procedure (OHOP) 175-01-01 was submitted to the Department of Corrections (DOC) with a request for the policy to be incorporated into the interagency agreement between the Department and DOC. The agreement is scheduled for renewal by DOC and will be in effect prior to the return of DOC inmates onto the FSH campus. A Contraband Control Protocol went into effect on February 10, 2020 and provides explicit direction on contraband discovery, to include notification to the Chattahoochee Police Department of all illegal contraband discoveries on FSH campus.

2019-0107 The Children's Ombudsman made inappropriate statements and disclosed confidential information in a social media foster parent group. **Supported.** The Children's Ombudsman failed to comply with public records requirements. **Supported.** The Children's Ombudsman misused her position for personal gain in an endeavor to obtain increased adoption subsidies. **Neither Supported Nor Refuted.**

Corrective Action: The employee received a written reprimand and the employee's personnel file was updated to reflect the findings of the investigation. The Children's Ombudsman position description was analyzed and it was determined that no revisions were needed.

Circuit 3 There were no cases closed in Circuit 3 during FY 2019-2020.

Circuit 4

- 2017-0088 A Family Care Manager (FCM) of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #101023532, #101452108, #2035713, #101490775, #101289724, #101602674, and #101632495.
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 Child Welfare Case Manager certification.
- 2018-0050 An Economic Self-Sufficiency Specialist (ESS) I accessed Florida On-line Recipient Integrated Data Access (FLORIDA) Case #1317884787, a case of personal interest, without a legitimate business reason. **Supported.** The ESS I accessed Department of Highway Safety and Motor Vehicles (DHSMV) Driver and Vehicle Information Database (DAVID) records concerning the customer without a legitimate business reason. **Supported.** The ESS I accessed DHSMV DAVID records concerning the customer's family members without a legitimate business reason. **Supported.** The ESS I revealed confidential information from FLORIDA Case #1317884787 to an unauthorized individual.
Neither Supported Nor Refuted.
Corrective Action: The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. Based on a recommendation to conduct a thorough review of the employee's DAVID account activity was conducted, it was indicated that a review would not be feasible due to the number of records accessed and the inability to determine if they were business related. DHSMV was notified as per the MOU agreement.
- 2018-0099 A Records Technician accessed child protective investigation records in FSFN Intakes and/or Investigations #2005-384207, #2005-425498, #2010-038258, #2010-120854, #2012-283815, #2014-002634, #2015-203877, #2015-309788, #2016-272865, #2018-541673, and #2018-616169, and records of personal interest in FLORIDA Case #1132078237, 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. Based on information that the employee's FSFN account remained active after separation from employment, the employee's FSFN account was fully deactivated and all Duval County Child Protection Supervisors were informed to submit FSFN Termination Forms on the same day employees separate from the Department.

Circuit 5

- 2018-0060 A Child Protective Investigator Supervisor (CPIS) falsified child protective investigation records in FSFN Investigation #2018-521736. **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 placed a "Summary Susp.-Ethics" (an immediate suspension pending investigation) status on the employee's Child Welfare Protective Investigator certification.
- 2018-0076 A Family Care Manager Trainee (FCMT) of a subcontracted provider falsified child protective investigation records in FSFN Case ID #100471115. **Neither Supported Nor Refuted.**
Corrective Action: The employee was terminated. The FCB was notified and revoked the employee's Child Welfare Case Manager Provisional certification.
- 2019-0010 A CPI falsified child protective investigation records in FSFN Investigation #2019-010919. **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 certification.
- 2019-0017 An FCM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101109745. **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 Child Welfare Case Manager Provisional certification.
- 2019-0045 An FCM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101770200. **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 Child Welfare Case Manager certification.

Circuit 6

- 2018-0081 A Case Manager Supervisor (CMS) of a subcontracted provider falsified child protective supervision records in FSFN Case ID #2658079. **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 Child Welfare Case Manager certification.
- 2018-0096 A Licensing Specialist of a subcontracted provider misused her position for personal gain. **Supported.** The Licensing Specialist accessed FSFN Case ID #2467101, a case of personal interest, without a legitimate business reason. **Supported.** The Licensing Specialist breached confidentiality by taking

children involved in FSFN Case ID #2467101 to her home and introducing them to her family. **Supported**. A Case Manager of another subcontracted provider mismanaged FSFN Case ID #2467101 by failing to coordinate sibling visits as required. **Supported**.

Corrective Action: The Licensing Specialist was terminated, the Case Manager was issued a verbal counseling, and the employees' personnel files were updated to reflect the findings of the investigation. The FCB was notified and revoked the Licensing Specialist's Child Welfare Case Manager certification. The subcontracted provider reported to the OIG that decertification may not be warranted due to the nature of the allegations and the fact that the Case Manager no longer resided in Florida.

- 2018-0112 An Adult Protective Investigator (API) falsified adult protective investigation records in FSFN Investigations #2018-697265, #2017-352031, #2018-403578, #2018-517146, #2018-535097, and #2018-556238. **Neither Supported Nor Refuted**. The API failed to enter FSFN notes within two working days of completion of the investigative activity in FSFN Investigations #2018-697265, #2017-352031, and #2018-556238. **Supported**.
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. Based on a recommendation to consider requiring Adult Protective Investigator Supervisors (APISs) to review case notes for timely entry, it was indicated that the SunCoast Region APISs review investigative notes to ensure entry within two working days.
- 2019-0022 A Case Manager of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101784686. **Neither Supported Nor Refuted**.
- Corrective Action:** The employee resigned.
- 2019-0078 A Case Manager of a subcontracted provider engaged in an inappropriate relationship with a Caregiver in FSFN Case ID #101473756. **Not Supported**.
- Corrective Action:** The employee resigned.

Circuit 7

- 2019-0008 A Case Manager of a contracted provider falsified child protective supervision records in FSFN Case ID #101830677. **Supported**. The Case Manager falsified child protective supervision records in FSFN Case IDs #100279429 and #101724238. **Supported**. The Case Manager falsified child protective supervision records in FSFN Case IDs #100610596 and #101436216. **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 Child Welfare Case Manager certification.
- 2019-0026 A Case Manager of a contracted provider provided false testimony in an official proceeding involving a Department client. **Not Supported**.

Corrective Action: The employee was issued a written counseling. The FCB was notified and initiated an ethics investigation on the employee's Child Welfare Case Manager certification. The contracted provider indicated that staff receive regular court testimony training as part of their in-service training; however, a refresher training was provided to all case management staff.

- 2019-0036 A Case Manager of a contracted provider disclosed confidential information to unauthorized individuals regarding FSFN Case IDs #100170181, #100321609, #100706795, #100824101, #100871468, #100985705, #101087408, #101176471, #101290930, #101240766, #101258887, #101306823, #101508487, #101529948, #101603757, #101637912, and #101677324.

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. The FCB was notified and initiated an ethics investigation on the employee's Child Welfare Case Manager certification. All provider staff were required to review and acknowledge the provider's confidentiality statement. The provider's Privacy Officer determined after review that no client notifications were warranted.

Circuit 8

- 2019-0007 A Case Manager of a contracted provider falsified child protective supervision records in FSFN Case IDs #100432098 and #100569176. **Supported.** The Case Manager failed to document all case activities in FSFN Case IDs #101587154, #100569176, #101696504, #2541109, and #100256763.
Supported. The Case Manager falsified child protective supervision records in FSFN Case IDs #101587154 and #101747417. **Neither Supported Nor Refuted.** The Case Manager falsified child protective supervision records in FSFN Case IDs #101696504, #2541109, and #100256763. **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 Child Welfare Case Manager certification.

Circuit 9

- 2017-0085 A Case Manager of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101562173. **Supported.** The Case Manager falsified child protective supervision records in FSFN Case IDs #2580858, #100615761, and #101017060. **Supported.** The Case Manager falsified child protective supervision records in FSFN Case IDs #101077050 and #101442583. **Neither Supported Nor Refuted.** The Case Manager falsified child protective supervision records in FSFN Case IDs #100546805 and #101534964. **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 Child Welfare Case Manager certification. The contracted provider created a Dependency Case Manager Supervisor (DCMS) expectations document to assist in timely identifying any work-related concerns.

- 2018-0011 A CPI falsified child protective investigation records in FSFN Investigation #2017-357963. **Supported.** The CPI falsified child protective investigation records in FSFN Investigation #2018-421506. **Supported.** The CPI falsified child protective investigation records in FSFN Investigation #2018-399578. **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 Child Welfare Protective Investigator Provisional certification.
- 2018-0084 A CPI failed to maintain appropriate vehicle insurance resulting in the receipt of Vehicle Insurance Allowance (VIA) payments to which she was not entitled. **Supported.** The CPI failed to maintain a valid driver license, resulting in the receipt of VIA payments to which she was not entitled. **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 and Child Welfare Case Manager certifications. The HR payroll department recouped \$939.33 from the employee's eligible annual leave payout. Management indicated the existing audit process is sufficient to prevent and detect employee noncompliance with VIA payment eligibility requirements.
- 2018-0098 An Office of Economic Self-Sufficiency Interviewing Clerk falsified Automated Community Connection to Economic Self-Sufficiency (ACCESS) Management System (AMS) records by documenting that he completed client interviews in ACCESS Cases #1430456540, #1327644436, #1584286342, #1013593103, #1376877872, #1193579155, and #1278114734. **Supported.**
Corrective Action: The employee received a written reprimand and the employee's personnel file was updated to reflect the findings of the investigation.
- 2018-0105 A CPI falsified child protective investigation records in FSFN Investigation #2018-711541. **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 certification.
- 2019-0015 A Rapid Response Coordinator (RRC) of a subcontracted provider engaged in employee misconduct by having an inappropriate relationship with the parent of a client. **Supported.** The RRC disclosed confidential information and took an unauthorized individual to client homes. **Supported.**
Corrective Action: The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.
- 2019-0057 A CPI accessed FSFN Investigation #2019-098983, a case of personal interest, without a legitimate business reason. **Supported.** The CPI accessed FSFN Investigations #2011-174328 and #2013-188957, cases of personal interest, without a legitimate business reason. **Supported.** The CPI accessed

DHSMV DAVID without a legitimate business reason. **Supported.** The CPI accessed the Florida Association of Court Clerks and Comptroller Comprehensive Case Information System (CCIS) without a legitimate business reason. **Supported.** The CPI revealed confidential information to an unauthorized individual. **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 Child Welfare Protective Investigator Provisional certification.

2019-0061 A Director of a subcontracted provider used a co-worker's username and password to access FSFN. **Supported.** An Operations Manager of the subcontracted provider failed to secure and protect his FSFN username and password. **Supported.** The Operations Manager allowed a co-worker to work in FSFN under his username and password. **Neither Supported Nor Refuted.**

Corrective Action: The Director was terminated, the Operations Manager resigned, and the employees' personnel files were updated to reflect the findings of the investigation. The FCB was notified and revoked both employees' Child Welfare Case Manager certifications.

Circuit 10

2017-0067 A Family Support Worker (FSW) of a subcontracted provider falsified Home Visit Records in FSFN Case IDs #136704, #191656, #229521, and #230668. **Supported.** The FSW falsified mileage vouchers pertaining to multiple face-to-face home visits with clients, for which he was reimbursed. **Supported.**

Corrective Action: The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The provider initiated civil proceedings in an attempt to recoup the travel reimbursement monies paid to the employee (\$786.24) for travel to home visits not actually completed.

2018-0008 A Dependency Case Manager (DCM) of a subcontracted provider failed to report the recovery of a missing child in the care of the Department to law enforcement. **Supported.** The DCM failed to report an inappropriate sexual video involving a child in the custody of the Department to the Hotline or law enforcement. **Not 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; however, the employee's Child Welfare Case Manager certification remains active. The provider reviewed current policy and deemed that no updates were needed; however, a written reminder was sent to all case managers and supervisors regarding actions related to missing children, including the requirement to contact law enforcement when a child is recovered.

2018-0026 A DCM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101482158. **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 Case Manager certification. The provider reminded all case managers to complete a home visit sheet for every home visit, have it signed by the caregiver, and reviewed and signed by the supervisor. Supervisors and Program Managers complete supervisory reviews and are required to validate home visits and the provider's Quality Management Department completes a random satisfaction survey with the caregivers, which includes validation of the required home visits.

2018-0047 A CPI falsified child protective investigation records in FSFN Investigation #2018-468399. ***Neither Supported Nor Refuted.***

Corrective Action: The employee resigned.

2018-0069 An FSC misused her Department-issued cellular telephone for personal reasons. ***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 placed a "Summary Susp.-Ethics" (an immediate suspension pending investigation) status on the employee's Child Welfare Licensing Counselor certification, and the employee's Child Welfare Protective Investigator certification was inactive effective October 31, 2016. Supervisors reviewed CFOP 60-55 and CFOP 70-6 with all employees during unit meetings and ensured all employees acknowledged and understood each operating procedure.

2018-0109 A Dependency Case Manager Trainee (DCMT) of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101649835. ***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 Child Welfare Case Manager Provisional certification.

2018-0121 A CPI misused her position by interfering in a child protective investigation. ***Supported.*** The CPI failed to make a mandatory report of suspected child abuse or neglect to the Hotline. ***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 certification.

2019-0004 A Targeted Case Manager of a subcontracted provider falsified client electronic health records. ***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 Certified Behavioral Health Case Manager certification.

2019-0065	A CPI falsified child protective investigation records in FSFN Investigation #2019-172617. 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 certification.
2019-0105	A CPI misused her position to interfere with custody in FSFN Investigation #2019-234912. 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 certification.
<u>Circuit 11</u>	
2017-0018	An Adult Case Manager of a subcontracted provider falsified client case notes. Neither Supported Nor Refuted. Corrective Action: The employee was terminated.
2017-0040	An API falsified adult protective investigation records in FSFN Investigations #2017-144526, #2017-096701, #2017-096786, #2017-097278, and #2017-153760. Supported. The API used his Department-issued laptop computer to conduct activities related to his outside business for personal financial gain. Supported. The API engaged in outside employment and did not file an Additional Employment Outside of State Government form (CF 958) with HR. Supported. Corrective Action: The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.
2018-0048	A DCM of a subcontracted provider falsified child protective supervision records. 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; however, no action was taken on the employee's active Certified Behavioral Health Case Manager certification or inactive Child Welfare Case Manager Provisional certification.
2018-0071	An Adoption Case Manager of a subcontracted provider falsified child protective supervision records in FSFN Case ID #108614. 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 Case Manager certification.
2019-0030	A CPI falsified child protective investigation records in FSFN Investigation #2019-090799. Neither Supported Nor Refuted. Corrective Action: The employee resigned.

Circuit 12

2019-0003

An Interviewing Clerk engaged in employee misconduct by not following a written directive regarding the handling of nursing home inquiries. **Supported.** The Interviewing Clerk violated confidentiality by releasing client information without having an Appointment of a Designated Representative form (ADR) on file. **Supported.** The Interviewing Clerk misused her position for personal gain by receiving compensation for information. **Not Supported.**

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

2019-0055

A Regional Managing Director, Family Safety Community Services Director, and Family Safety Operations Manager created a hostile work environment. **Not Supported.** The Regional Managing Director circumvented Department hiring procedures by placing candidates into positions for which they were not qualified and giving them higher than normal percentage salary increases. **Not Supported.**

Corrective Action: The Regional Managing Director and Family Safety Community Services Director resigned. HR advised that revisions to CFOP 60-10 to define hostile work environment and supervisory/managerial conduct were not recommended beyond the present policy definition. The Assistant Secretary for Operations delegated discretion to Regional Managing Directors as to whether Employee Councils would be implemented in their respective region. Based on a recommendation to consider developing a method to track streamlined cases closed as "Other," it was determined that as the new process continues to roll out in coordination with the Quality Office, "Other" will no longer be used. Accurate documentation of work hours and Fair Labor Standards Act of 1938 (FLSA) requirements were addressed in Circuit 12 and Circuit 20 at All-Staff meetings and staff were provided copies of CFOP addressing work, overtime, and leave. Concerns of appearance of nepotism and favoritism were addressed during the Performance Management Team meeting with all supervisors and Program Administrators.

Circuit 13

2018-0001

A Case Manager of a subcontracted provider falsified child protective supervision records in FSFN Case ID #100167922. **Supported.** The Case Manager worked undocumented hours for which she was not compensated, in violation of FLSA. **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 Case Manager certification.

2018-0034

A Family Case Manager of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #100218814 and #100287228.

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 Child Welfare Case Manager Provisional certification.

- 2018-0052 A CMS, Case Manager, and Continuous Quality Improvement Coordinator (CQIC) of a subcontracted provider falsified child protective supervision records in FSFN Case ID #100969214. **Supported**. Another Case Manager falsified child protective supervision records in FSFN Case ID #100969214. **Not Supported**. The CMS mishandled FSFN Case ID #100969214 by not ensuring the child received proper medical care. **Supported**. A third Case Manager mishandled FSFN Case ID #100969214 by not ensuring the child received proper dental care. **Supported**. The CMS mishandled FSFN Case ID #100969214 by not maintaining records in FSFN, ASK, or the Child's Resource Record. **Supported**. The second Case Manager mishandled FSFN Case ID #100969214 by not ensuring the child received proper dental care. **Neither Supported Nor Refuted**. An Operations Program Manager engaged in employee misconduct by directing a Case Manager to delete records in FSFN Case ID #100969214. **Neither Supported Nor Refuted**.
- Corrective Action:** The CMS was issued a written counseling and the three Case Managers resigned. The CMS, Case Manager, and CQIC's personnel files were updated to reflect the findings of the investigation. Management determined that the decertification process with the FCB was not warranted or appropriate for the CMS, the first Case Manager, or the CQIC. The provider conducted a separate internal review and opined that the CQIC acted appropriately.
- 2018-0056 A Case Manager of a subcontracted provider falsified child protective supervision records in FSFN Case ID #147283. **Supported**.
- Corrective Action:** The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The FCB revoked the employee's Child Welfare Case Manager certification.
- 2018-0064 A Case Manager of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #123303 and #101767900. **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 Child Welfare Case Manager certification.
- 2018-0083 A Case Manager of a subcontracted provider falsified child protective supervision records in FSFN Case ID #2658079. **Supported**. The Case Manager failed to submit a mandatory report of child abuse related to FSFN Case ID #101083207. **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, submitted a letter of reprimand to the employee, and updated the employee's Child Welfare Case Manager certification to be valid until October 31, 2019.

2019-0006	A Senior Human Services Program Specialist misused her position for personal gain. <i>Supported.</i> Corrective Action: The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation. The issue was addressed with the OES Executive Management Team and with all OES Pre-Service Trainers to ensure no future incidents occur.
2019-0044	An ESS I falsified records in AMS and/or FLORIDA concerning ACCESS Cases #1247967107, #1258589630, #1323371389, #1438508549, and #1598323814. <i>Supported.</i> Corrective Action: The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.
2019-0085	An OES Operations and Management Consultant (OMC) I engaged in conduct unbecoming a state employee by making inappropriate comments to another Department employee. <i>Supported.</i> The OMC I sexually harassed a Department employee by making inappropriate sexual comments. <i>Neither Supported Nor Refuted.</i> Corrective Action: The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.

Circuit 14

2017-0075	A Masters Level Forensic Counselor of a subcontracted provider falsified electronic health records of client services. <i>Neither Supported Nor Refuted.</i> Corrective Action: The employee was terminated. Based on a recommendation to consider any procedural and/or data system enhancements to support billing for services provided off-site, the subcontracted provider indicated that supervisors periodically sample records of service conducted in jails and compare the records to sign-in and/or travel logs to monitor the delivery of service.
2018-0022	A CPI falsified child protective investigation records in FSFN Investigation #2018-417271. <i>Supported.</i> 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 certification.
2019-0033	A CPIS falsified child protective investigation records in FSFN Investigation #2018-665615. <i>Neither Supported Nor Refuted.</i> Corrective Action: The employee was terminated. The FCB was notified and dismissed the case against the employee's Child Welfare Protective Investigator certification, which expired on October 31, 2019 and remains inactive. Based on a recommendation to consider whether additional guidance should be provided to CPISs and CPIs to ensure supervisor consultations are accurately documented and violations are appropriately reported, it was noted that all agency employees must complete Ethics training. The Northwest

Region provides additional training to CPIs and CPISSs regarding falsification of records and additional trainings are provided on supervisor consultations.

2019-0109 Unknown staff of a subcontracted provider falsified FITT documents to reflect they were providing services to patients in order to meet their contract requirements. ***Investigation Terminated.***

Corrective Action: The decision to terminate the investigation was based on information received that management determined there were no improper actions.

Circuit 15

2018-0079 A CPI falsified child protective investigation records in FSFN Investigations #2018-478378, #2018-496159, #2018-498594, #2018-528839, #2018-538914, #2018-540618, and #2018-591048. ***Supported.*** The CPI falsified child protective investigation records in FSFN Investigations #2018-552630 and #2018-595926. ***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 Child Welfare Protective Investigator certification.

2018-0111 A CPI falsified child protective investigation records in FSFN Investigations #2018-670023-02, #2018-689205-02, and #2018-721079-01. ***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 certification.

2019-0059 A CPI accessed cases of personal interest in FSFN and information in 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. The FCB was notified and revoked the employee's Child Welfare Protective Investigator certification. In accordance with the MOU between the Department and DHSMV, notification was provided to DHSMV of the access of information in DAVID without a legitimate business reason.

Circuit 16 There were no cases closed in Circuit 16 during FY 2019-2020.

Circuit 17

2016-0089 A Child Advocate of a contracted provider falsified child protective supervision records in FSFN Case IDs #100386176, #101081697, and #101317913. ***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 initiated an ethics investigation on the employee's Child Welfare Case Manager Provisional certification.

2017-0050	A Mental Health Technician of a subcontracted provider falsified Wellness and Accountability Checks. <i>Supported.</i> Corrective Action: The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.
2017-0054	An FSW of a subcontracted provider falsified Healthy Families Home Visit Records. <i>Supported.</i> Corrective Action: The employee resigned and the employee's personnel file was updated to reflect the findings of the investigation.
2018-0043	An ESS I falsified AMS records by documenting that he completed a client interview in FLORIDA Case #1518260551. <i>Supported.</i> Corrective Action: The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.
2018-0106	An Adult Protective Investigator falsified worker's compensation injury records. <i>Investigation Terminated.</i> Corrective Action: The decision to terminate the investigation was based on documentation that the employee was deceased.
2019-0014	An OES Office of Public Benefits Integrity ESS II sent e-mails containing confidential client information to an unauthorized e-mail account. <i>Supported.</i> Corrective Action: The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation.

Circuit 18

2018-0006	A DCM of a subcontracted provider falsified child protective supervision records in FSFN Case ID #100478301. <i>Supported.</i> The DCM falsified child protective supervision records in FSFN Case ID #101578494. <i>Supported.</i> The DCM falsified child protective supervision records in FSFN Case ID #101337522. <i>Neither Supported Nor Refuted.</i> 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 Case Manager certification.
2019-0039	A Diversion Care Coordinator of a subcontracted provider falsified child protective supervision records in FSFN Case ID #100237801. <i>Supported.</i> 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 Child Welfare Case Manager certification.

Circuit 19

2017-0069	A DCM of a subcontracted provider falsified child protective supervision records in FSFN Case IDs #101616523 and #2157731. <i>Supported.</i>
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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 Child Welfare Case Manager certification.

2019-0056 WB A Targeted Case Manager of a subcontracted provider failed to make a mandatory report of child-on-child sexual abuse to the Florida Abuse Hotline. **Not Supported.**

Corrective Action: No action required.

Circuit 20

2018-0058 A Child Welfare Case Manager of a subcontracted provider falsified child protective supervision records in FSFN Case ID #3002330. **Supported.** The Child Welfare Case Manager 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. The FCB was notified and revoked the employee's Child Welfare Case Manager certification. Additional training addressing issues of falsification was provided to staff and a quality assurance random sample check was implemented to mitigate any possible incidents of falsification in the future.

2018-0088 A Family Support Specialist of a subcontracted provider falsified child protective supervision records in FSFN Case ID #101829612. **Supported.** The Family Support Specialist falsified travel records, for which she was reimbursed. **Supported.**

Corrective Action: The employee was terminated and the employee's personnel file was updated to reflect the findings of the investigation. The provider recouped \$12.87, the amount of the travel overpayments, from the employee. Based on the Additional Information issue that not all provider employees had access to FSFN, the provider worked with the contracted provider IT team on FSFN accessibility for all applicable staff.

2018-0094 A Technician Assistant Manager of a subcontracted provider falsified Behavioral Health Technician (BHT) shift log entries with the knowledge and approval of the Director of Residential Programs. **Not Supported.**

Corrective Action: No action required.

2019-0024 A Case Manager of a subcontracted provider falsified face-to-face home visits with clients in the electronic medical record system. **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 Certified Behavioral Health Case Manager certification. The provider implemented an updated risk assessment process in the event of future alleged incidents of falsification.

Summary of Management Reviews and Corrective Actions Completed

There were no Management Reviews closed during FY 2019-2020.



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