



FDOT Office of Inspector General

**Presentation to the
2023 Spring Construction Academy**



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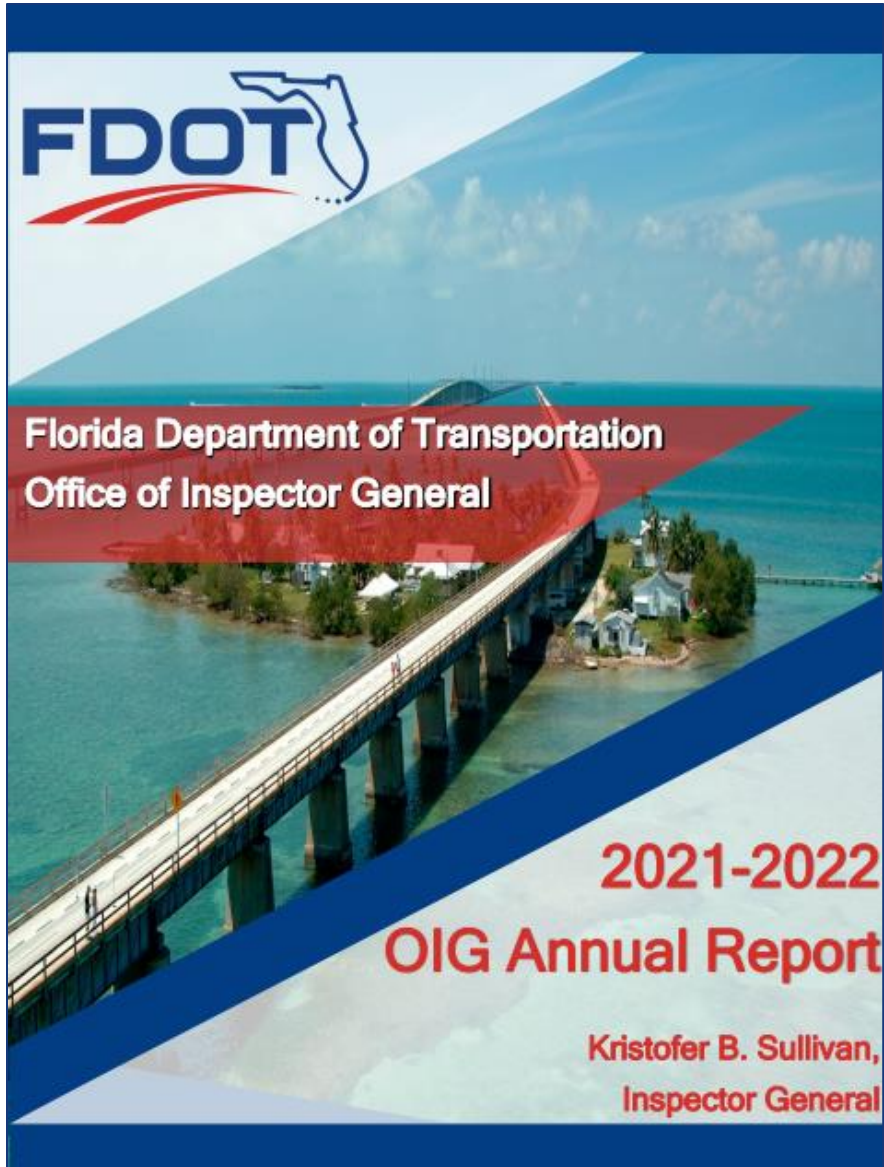
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Agenda

1. **OIG'S ROLE**
2. **Investigations**
3. **Case Example**
4. **Complaints**
5. **Your Role**
6. **Standards & Accreditation**
7. **Case Closure**





OIG Mission

Provide **independent** and **objective** investigative and audit services that promote **accountability, integrity,** and **efficiency** within the Department of Transportation and its partners.

Inspector General's Authority

Section 20.055, F.S., states that an Office of Inspector General (OIG) is established in each state agency to provide a central point of coordination and responsibility for activities that promote **accountability, integrity, and efficiency** in government.



Agenda

1. OIG's Role
2. **INVESTIGATIONS**
3. Case Example
4. Complaints
5. Your Role
6. Standards & Accreditation
7. Case Closure



What is an Investigation?

- Fact finding process to form a cohesive and logical picture of a given situation.
- Systematic, detailed, and thorough.
- Conducted with an impartial and objective manner with the aim to establish the relevant facts and make recommendations.



Why do we Investigate?

- To establish relevant facts to prove or disprove allegations of fraud, waste, abuse, and mismanagement
- Provide independent and objective investigations to add value, improve operations, and preserve public trust





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1. OIG's Role
2. Investigations
3. **CASE EXAMPLE**
4. Complaints
5. Your Role
6. Standards & Accreditation
7. Case Closure



Case Example: Purchase Card Misuse

A Procurement Manager Reported:

- Suspicious P-card charges and
- Discrepancies in travel documents submitted for reimbursement



Case Example: Purchase Card Misuse

Investigation Revealed:

- Used P-card for personal travel to include fuel, car rentals, and lodging
- Employee submitted false travel documents in another employee's name to justify P-card expenditures



Case Example: Purchase Card Misuse

Results:

- State Attorney's Office briefed. They declined to prosecute.
- The employee admitted to:
 - Personal use of P-card
 - Creating false travel documents
 - Forging employees' signatures
- The employee resigned in lieu of termination.
- Misappropriated funds recovered through leave payout.



Case Example: Purchase Card Misuse



What was the **grand total** when we added up the cost of the extra days at the hotel, the extra days for the rental car, and the fuel???

Case Example: Purchase Card Misuse

\$500



Agenda

1. **OIG's Role**
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3. **Case Example**
4. **COMPLAINTS**
5. **Your Role**
6. **Standards & Accreditation**
7. **Case Closure**



Where do complaints come from?

- Employees
- Contractors/Vendors/Suppliers
- Public
- Anonymous complainants
- Hotlines – fraud, whistleblower
- Referrals from Other Agencies
- Chief Inspector General



Types of complaints

- Employee misconduct
 - Misuse of agency resources – purchasing card, vehicle for personal use
 - Falsification of documents
 - Theft of agency resources
- Contract fraud
- Bid rigging



Complaint Details Needed

- Who – who committed the infraction, witnesses
- What – what did they do exactly
- When – specific dates and times
- Where – where did this occur
- How – how does the complainant know what the subject did, how did the subject commit the infraction

**What is missing
from the
“Complaint
Details” list?**





**Tell me
why....**

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4. **Complaints**
5. **YOUR ROLE**
6. **Standards & Accreditation**
7. **Case Closure**



What is your role as a State Employee?



Department Policy -
Cooperation with Official
Agency Investigations
(001-450-002)

- **Place** the interests of the public ahead of personal interests
- **Maintain** high standards of honesty, integrity, and impartiality
- **Cooperate** with OIG, Human Resources, and Equal Opportunity Office
- **Assist** with providing documents under your control

What is your role as a State Employee?

- **Protect** public funds and property from fraud or other criminality acts
- **Report** suspected or actual wrongdoing to manager/supervisor or the OIG directly
- **Cooperate** with audits and investigations
- Retaliation for reporting is **prohibited**



Department Policy -
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(001-450-002)

What is your role as a State Employee?



- Each contract, bid, proposal, and application or solicitation for a contract **shall contain** a statement that the corporation, partnership, or person understands and will comply with this subsection.

Department Policy -
Cooperation with Official
Agency Investigations
(001-450-002)



FDOT's Ethics Policy

Ethics (001-010-020)

- No employee may accept a benefit of any sort when it could *reasonably* be inferred that the benefit was intended to influence a pending or future decision of the employee, or to reward the employee's past decision.
- Employees should also avoid any conduct (whether in the context of business, financial, or social relationships) that might undermine the public trust, regardless of whether that conduct is unethical or lends itself to the *appearance* of unethical behavior.

Remember, people's perception is their reality!!



FDOT's Ethics Policy

Ethics (001-010-020) Gifts (regardless of value)

- Gifts include, but are not limited to:
 - Money
 - Food or Beverage
 - Flowers
 - Event Tickets
 - Loans
 - Promise of Future Employment
 - Services
- It is not considered a gift or expenditure if the employee fully reimburses the other person or entity for the cost of the item.
- Generally, full reimbursement is considered to be the cost of the item to the person providing it.

NO FREE MEALS!!!



Case Example: Acceptance of Gifts

- A Program Manager was accepting gifts from consultants who he supervised (Meals, drinks, tickets to sporting events)
- He was assigned a PE Trainee, and included the trainee in the meals, and tickets as well.



Acceptance of Gifts

Results:

- Manager (23 year FDOT employee) resigned in lieu of termination.
- The Professional Engineer Trainee was reprimanded and reassigned within the district.



It all starts with Integrity

Integrity is choosing right over wrong, ethics over convenience, and truth over popularity... these are choices that measure your life.



“There is never a wrong time to do the right thing”

Examples of Values:

- Fairness
- Honesty
- Responsibility
- Respect
- Compassion



Application should be in all areas of life: personal, family, work, social, etc.

Values may come from:

- Religious beliefs.
- Philosophical understandings.
- Family background.
- Life experiences.
- Professional associations, such as the National Society For Professional Engineers (NSPE).

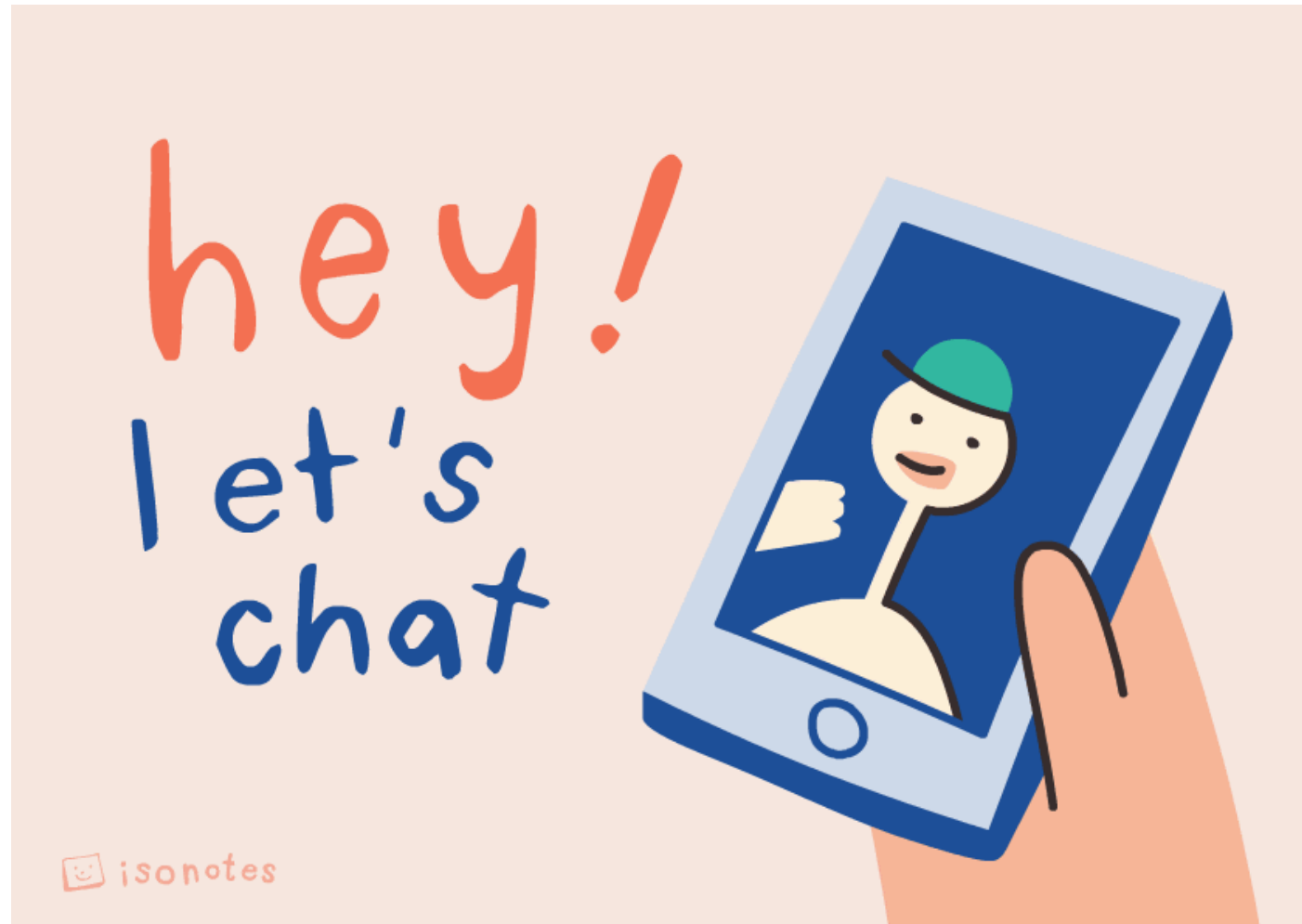


NSPE Code of Ethics for Engineers Fundamental Canons



Engineers, in the fulfillment of their professional duties, shall:

- Hold paramount the safety, health, and welfare of the public.
- Perform services only in areas of their competence.
- Issue public statements only in an objective and truthful manner.
- Act for each employer or client as faithful agents or trustees.
- Avoid deceptive acts.
- Conduct themselves honorably, responsibly, ethically, and lawfully so as to enhance the honor, reputation, and usefulness of the profession.





**What should
you do if a
contractor
offers to buy
your lunch?**



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6. **STANDARDS & ACCREDITATION**
7. **Case Closure**



Criteria – What is the violation?

- Florida Statutes – be sure to use the correct version (if violation happened in 2018 use the statute from 2018)
- Florida Administrative Code (F.A.C.) 60L-36.005
- Agency specific policies – employee handbook



Accreditation

An accreditation program has long been recognized as a means of maintaining the highest standards of professionalism.

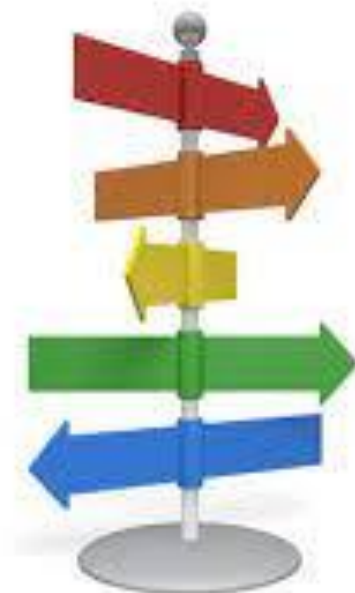
Accreditation is the certification by the **Commission for Florida Law Enforcement** that an entity has met specific requirements and prescribed standards.

The benefits of accreditation include improved agency transparency, enhanced consistency and quality of investigations, well-defined procedures, and improved accountability.



Assessment & Disposition of Complaint

- Criminal – referred to law enforcement
- Referred to management
- Referred to Equal Opportunity Office or Human Resources
- Closed with no action taken
- Referred to another agency
- Assigned for preliminary investigation
- Assigned for substantive investigation



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Example Findings

- Proved – the facts developed support the allegations
- Disproved – the facts developed do not support the allegation
- Inconclusive – testimony and other supporting materials, compared to the requirements of governing directives, do not provide enough information to determine if it is proved or disproved.



Report of Investigation

- End product documenting facts and events as they occurred
- Professional, clear, detailed, and thorough
- Readers should be able to understand
- Written in a manner that could be used to defend the investigation
- Facts should be accurately interpreted and logically presented



Closing Thoughts

Despite the best prevention and risk-management practices, misconduct and fraud incidents will continue to occur, as will practices contrary to our Department's mission.




Questions?



Safety Message










EVERY BICYCLIST & PEDESTRIAN IS IMPORTANT TO SOMEONE



Safety Doesn't Happen by Accident

We're all responsible for keeping each other safe on our roads. If you're a bicyclist or pedestrian, make smart choices, maintain eye contact with drivers, and cross safely (bicyclists ride with traffic). If you're a driver, pay attention, don't be distracted, and watch for bicyclists and pedestrians. Remember, safety is a two-way street.

www.AlertTodayFlorida.com

BICYCLISTS	 <p>Always wear a helmet. Ride in the same direction of traffic on the street. Obey all traffic signs, signals, and markings.</p>	 <p>In Florida, bicycles are vehicles, and must obey the same traffic laws as motorists.</p>	 <p>Be visible, especially at night. Always use a white front light and a red rear light and reflector.</p>
PEDESTRIANS	 <p>If no sidewalks are present, walk on the shoulder a safe distance from the travel lane, facing oncoming vehicles.</p>	 <p>Always use the crosswalk. Push the button to get the walk signal.</p>	 <p>Be visible. Wear bright, reflective colors on your clothes, shoes, belts and wristbands.</p>
MOTORISTS	 <p>Slow down! Speed is the cause of 27% of all fatal crashes.</p>	 <p>Avoid distractions while driving. Focus on the road. Always watch for pedestrians.</p>	 <p>Pass bicyclists safely. Allow a minimum of three feet between your vehicle and the bicyclist.</p>





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