



FDOT Office of Inspector General Construction Academy

October 15th, 2025

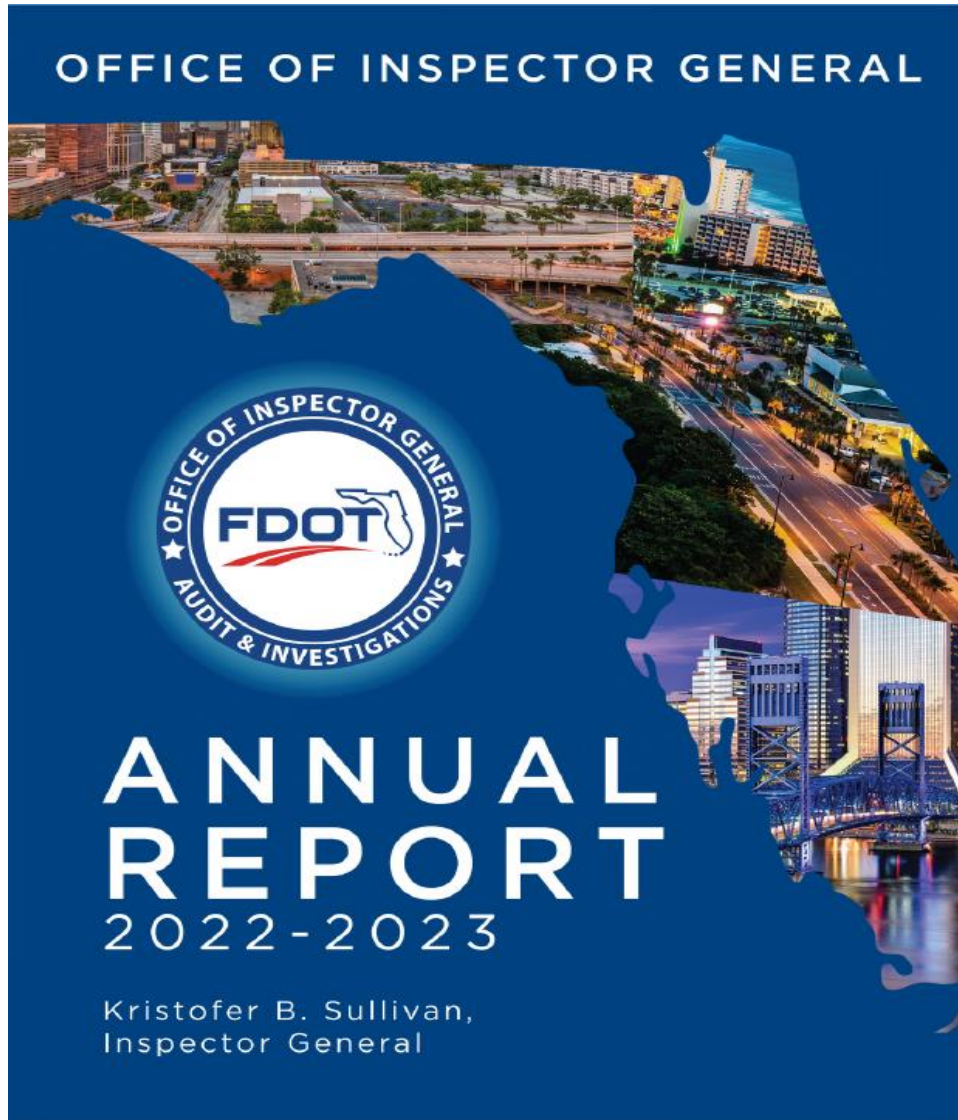


Kim Likens, Director of Investigations
**Anthony Jackson, Deputy Director of Investigations-
Accreditation**

Agenda

1. **OIG's Role**
2. **Investigations**
3. **Complaints**
4. **Case Examples**
5. **Your Role**
6. **Closing Thoughts/Questions**





OIG Mission

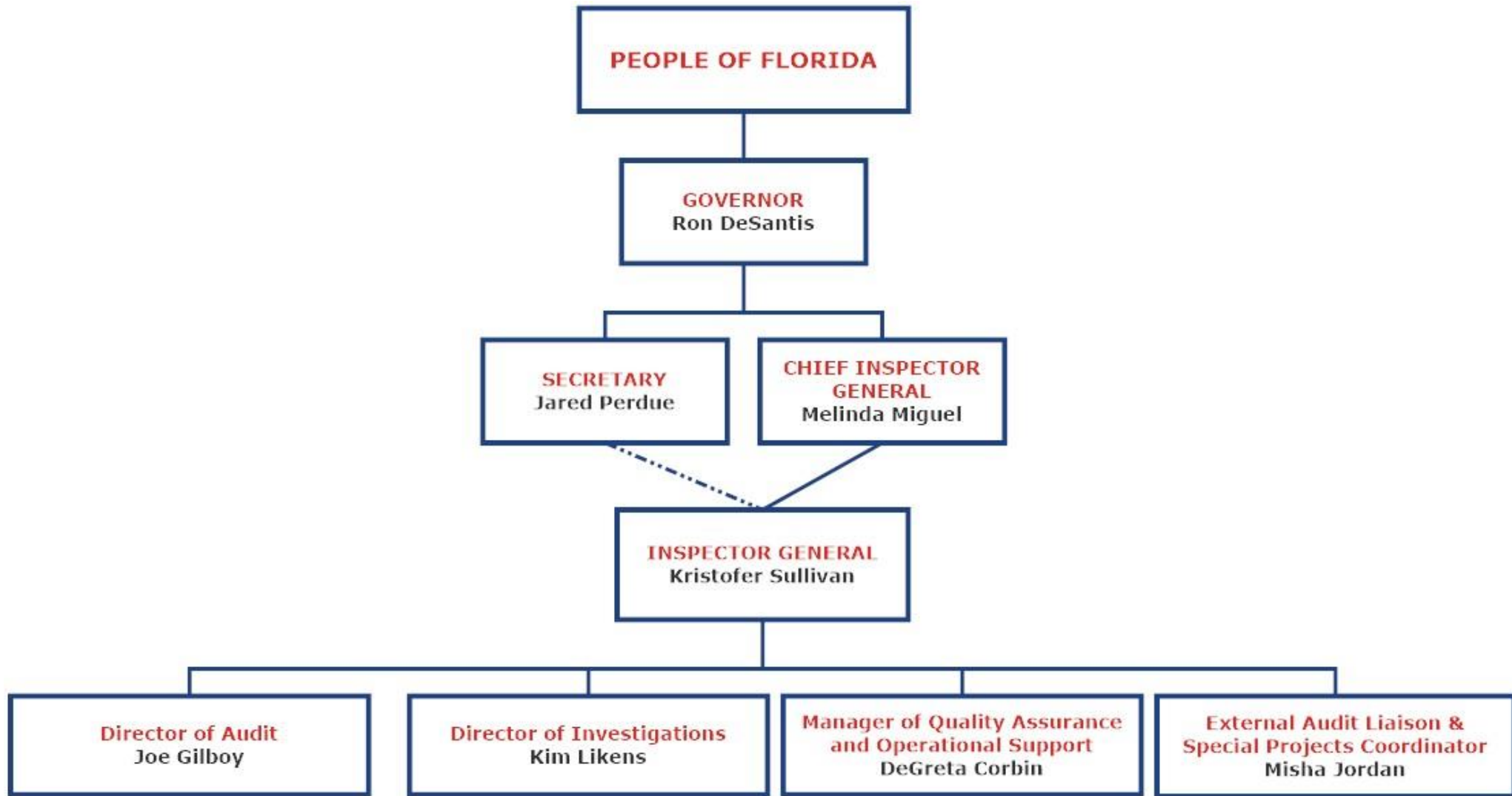
Provide **independent** and **objective** investigative and audit services that promote **accountability, integrity,** and **efficiency** within the Department of Transportation and its partners.



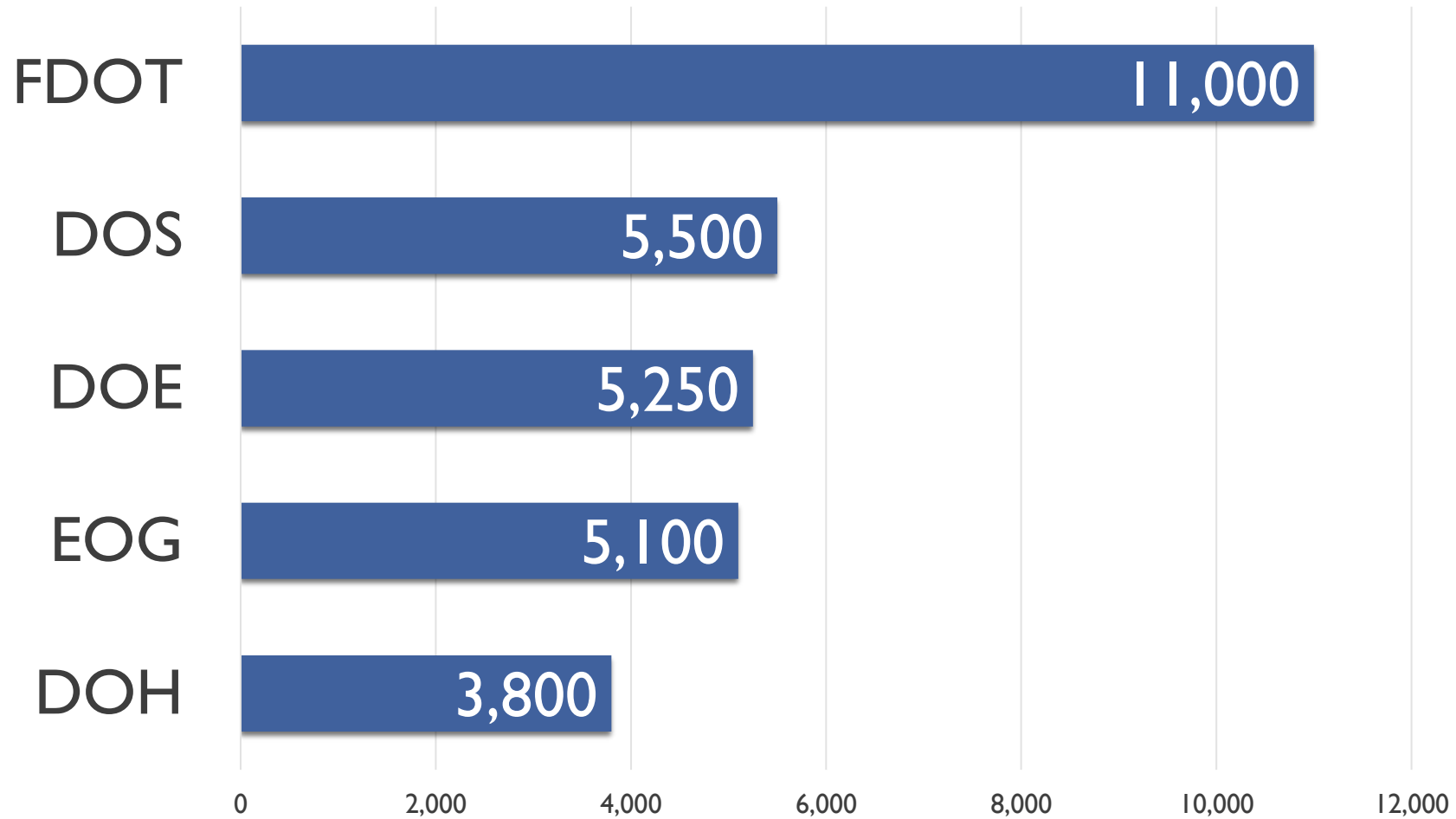
Inspector General's Authority

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.

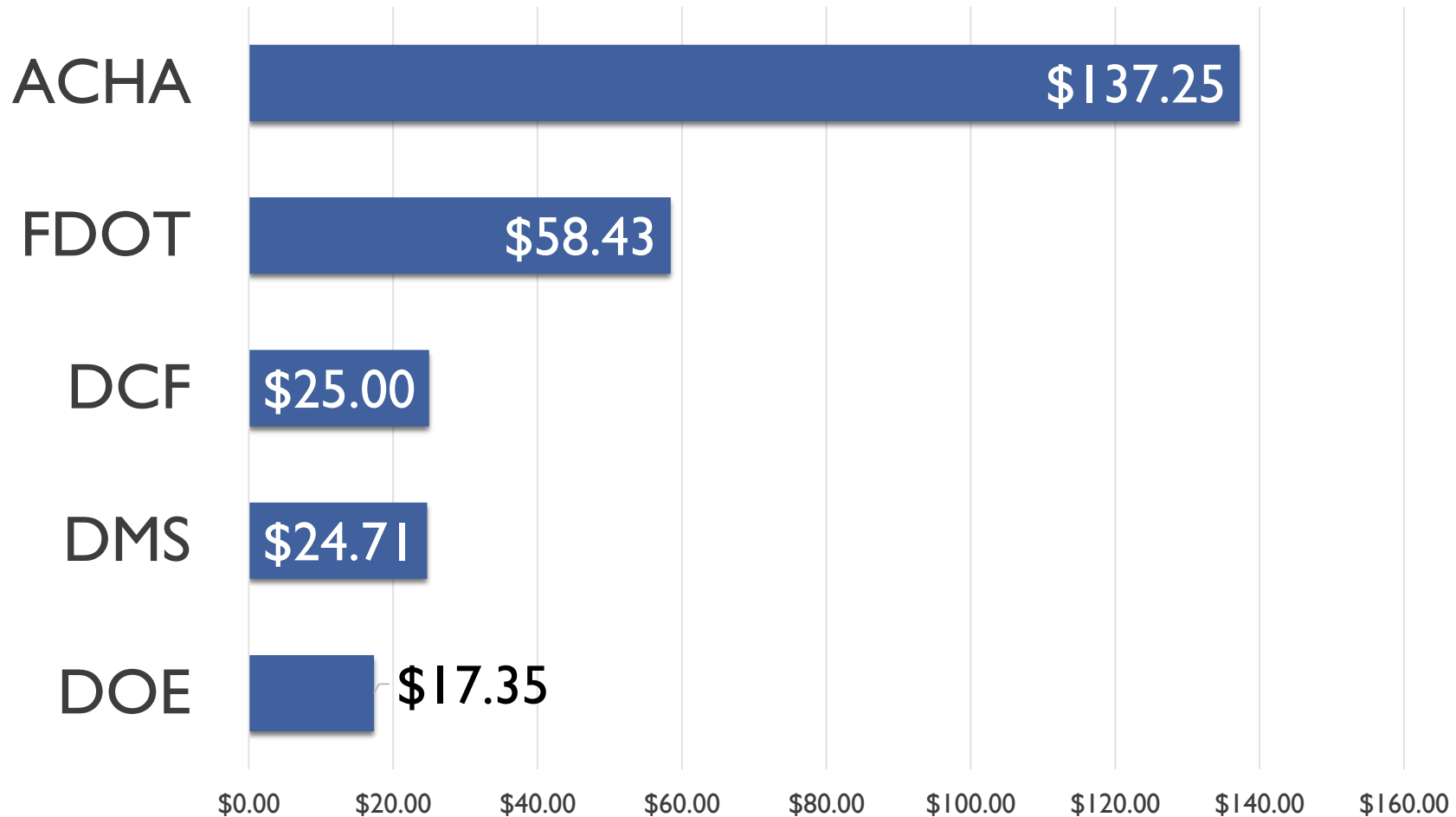




Number of Active Contracts – Top 5 Agencies



\$ Amount of Active Contracts (in Billions) – Top 5 Agencies



What do we investigate?

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



So, what is fraud exactly?



Where do complaints come from?

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



Contract/Contractor Related Fraud

Bid Manipulation

- Limit Advertising/Bid Time
- Alter Bids
- Open Bids Early
- Disqualify Bids
- Create Fake Bids

Leaking Bid Data

- Leak Pre-Bid Data
- Time Advantage
- Official Estimate Known
- Bid Document Falsification

Contractor Collusion

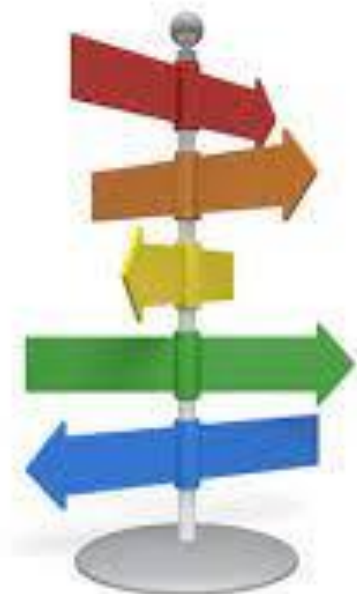
- Complementary Bids
- Bid Rotation
- Bid Suppression
- Market Division

Defective Pricing Schemes

- Cost Data Manipulation
- Artificial Inflated Costs – Labor/Material

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



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



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

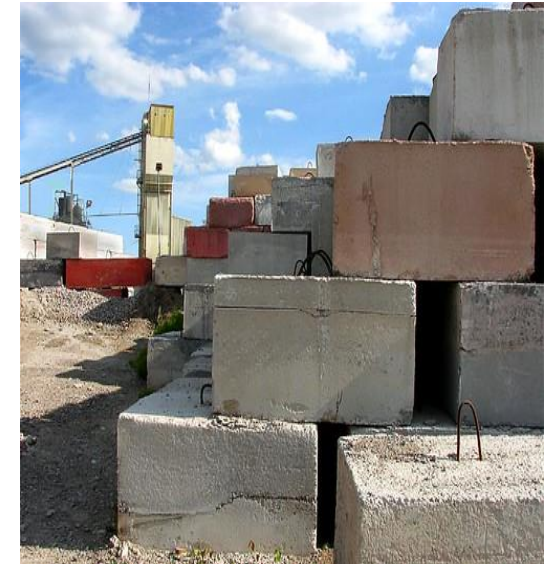
- End product documenting facts and events as they occurred
- Professional, clear, detailed, and thorough
- Readers should be able to understand
- Written in a manner that could be used to defend the investigation
- Facts should be accurately interpreted and logically presented



Case Example: Henkay Precast

A complainant alleged non-compliance in the manufacturing of precast products for the Department.

- Backdating of panels so they could be shipped earlier.
- Using “expired” concrete in structures.
- QCM absent during pouring of concrete for Department products.
- Non-Department panels delivered to Department projects
- Non-certified employees stamping panels for shipping using QC stamp when QCM was not present.



Case Example: Henkay Precast

Investigation Revealed:

- **Inconclusive** if employees were being directed to backdate panels; however, based on production sheets and bill of lading documents, it was **proved** panels were backdated and shipped earlier than Department specification allows.
- **Inconclusive** if employees were told to use “timed out” concrete; however, based on batch tickets, it was **proved** that expired concrete was used to make Department panels.
- It was **proved** the QCM was not always present while concrete was being poured for Department panels.
- **Inconclusive** if non-Department panels were delivered to Department projects for use.
- It was **proved** the QCM allowed non-certified employees to stamp panels for shipping using Henkay Precast QC stamp while the QCM was not present.



Case Example: Henkay Precast

Corrective Action:

- Copy of draft report sent to Henkay Precast management for review and response to findings.
- “Never purposely misrepresented our products or procedures to FDOT.”
 - We have made mistakes but we strive to correct and ensure past errors are not repeated.
 - QCM received counseling letter.
- “Immediately read the report, and have enacted a plan to address this matter.”
- “We understand the importance of providing a robust QA/QC Program.”
- Recommendations concerning Department process improvements were provided in a separate memorandum to management.



Case Example: Acceptance of Gifts

- A Program Manager was accepting gifts from consultants who he supervised (Meals, drinks, tickets to sporting events)
- Program Manager was a long-term (26 year) Department employee.




Acceptance of Gifts

Results:

- OIG conducted investigation, and Program Manager admitted to accepting gifts.
- Program Manager resigned in lieu of termination.



Document Falsification in Bid Process



Florida Department of Transportation
 605 Suwannee Street
 Tallahassee, FL 32399-0450

RON DESANTIS
GOVERNOR

JARED W. PERDUE, P.E.
SECRETARY

June 11, 2020

RE: CERTIFICATE OF QUALIFICATION

The Department of Transportation has qualified your company for the type of work indicated below.

FDOT APPROVED WORK CLASSES:
 PAVEMENT MARKING

Unless notified otherwise, this Certificate of Qualification will expire

in accordance with Section 337.14(4), Florida Statutes, changes to Ability Factor or Maximum Capacity Rating will not take effect until after the expiration of the current certificate of prequalification (if applicable).

In accordance with Section 337.14(1), Florida Statutes, an application for qualification must be filed within (4) months of the ending date of the applicant's audited annual financial statements.

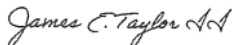
If the company's maximum capacity has been revised, it may be accessed by logging into the Contractor Prequalification Application System via the following link:
[HTTPS://fdotwpl.dot.state.fl.us/ContractorPreQualification](https://fdotwpl.dot.state.fl.us/ContractorPreQualification)

Once logged in, select "View" for the most recently approved application, and then click the "Manage" and "Application Summary" tabs.

The company may apply for a Revised Certificate of Qualification at any time prior to the expiration date of this certificate according to Section 14-22.004(3), Florida Administrative Code (F.A.C.), by accessing the most recently approved application as shown above and choosing "Update" instead of "View." If certification in additional classes of work is desired, documentation is needed to show that the company has performed such work.

All prequalified contractors are required by Section 14-22.006(3), F.A.C., to certify their work underway monthly in order to adjust maximum bidding capacity to available bidding capacity. You can find the link to this report at the website shown above.

Sincerely,



for Alan Autry, Manager
Contracts Administration Office

AA:cg

Improve Safety, Enhance Mobility, Inspire Innovation
www.fdot.gov



Florida Department of Transportation
 605 Suwannee Street
 Tallahassee, FL 32399-0450

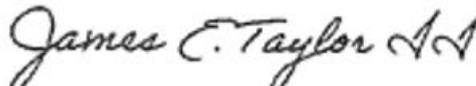
RON DESANTIS
GOVERNOR

JARED W. PERDUE, P.E.
SECRETARY

June 11, 2020

this Certificate of Qualification will expire _____

Sincerely,



for Alan Autry, Manager
Contracts Administration Office



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 -
Cooperation with Official
Agency Investigations
(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!!!



It starts with Accountability and Integrity

- Accountability means being responsible for one's actions and being able to explain, justify, and take consequences for them.
- Integrity means choosing right over wrong, ethics over convenience, and truth over popularity. These are the choices that measure your life.



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.

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.

When you hold yourself and others accountable, you help create a culture of accountability which will have a major impact on performance and results.



Questions?





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