## Authority and Standards

In accordance with Section 20.055, Florida Statutes, an 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. In carrying out the investigative duties and responsibilities specified in this section, each Inspector General shall initiate, conduct, supervise, and coordinate investigations designed to detect, deter, prevent, and eradicate fraud, waste, abuse, misconduct, and other mismanagement in state government.

Within the FDOT OIG, investigations are conducted in accordance with applicable Principles and Standards for Offices of Inspector General, published by the Association of Inspectors General. The standards include, but are not limited to:

- Individuals assigned to conduct the investigative activities should collectively possess the knowledge, skills, and experience required for the investigative work;
- Staff involved in performing or supervising any investigative assignment must be free from personal or external impairments to independence and should constantly maintain an independent attitude and appearance; and
- Investigations should be conducted and a report issued in a timely manner.

The Investigations Section is also accredited by the Commission for Florida Law Enforcement Accreditation, Inc.


**Director of Investigations**

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# Florida Department of Transportation

FDOT

## Office of Inspector General

# Investigations Section

The Investigation Section's Mission - To deter, detect, and investigate crimes or misconduct impacting the Department.

## WHAT PROMPTS AN INVESTIGATION?

An investigation is normally initiated when a complaint or allegation is received by letter, telephone (hotline), or by clicking the link on the FDOT OIG website.

## OUR PROCESS

Based on the severity of the allegation, an investigation may be initiated by the Office of Inspector General (OIG) or a request for inquiry may be forwarded to management. In either case, complaints are documented, numbered, and maintained on file. Investigative activity is documented including witness contacts, and a formal report is issued. When an investigation is complete, a conclusion is reached regarding whether the allegation has been proved, disproved, or is inconclusive (evidence that does not lead to another supportable determination). As required by Florida Statutes 20.055, information will be provided to law enforcement when there may be a violation of criminal law.

## THE OUTCOME

When an investigation is categorized as proved, it is referred to management for action. Managers confer with personnel managers, senior management, and the Office of General Counsel to determine the appropriate level of action to be taken. Once this action is finalized, managers notify the Office of Inspector General of the outcome.

**AS A MANAGER** you may be briefed on an allegation that is under investigation. Before informing your senior manager of the known allegation, contact the assigned investigator first—senior management may have already been apprised.

If an employee under your supervision is scheduled for an interview as a ***witness***, he or she must cooperate in accordance with FDOT policy 001-450-002, Cooperation with Official Department Investigations.

If an employee under your supervision is scheduled for an interview as a ***subject***, he or she must cooperate in accordance with FDOT policy 001-450-002, Cooperation with Official Department Investigations. When the employee appears at the designated place and time, the investigator will provide more information.

**AS A WITNESS** you may be asked questions about another person or situation. While it may be uncomfortable answering, the investigator needs the most accurate information possible and what you provide can influence the case. Being cooperative, truthful, and keeping the contents of discussion confidential will assist the investigative process and ultimately, the outcome of the case.

**AS A SUBJECT** the OIG's objective is to determine if there is sufficient evidence to prove or disprove an allegation. Our goal is to be entirely objective. We want to provide managers with a report clearly outlining the facts whether they indicate an allegation is proved or disproved. Being cooperative, truthful, and keeping the contents of discussion confidential will assist the investigative process.

## INTEGRITY IN GOVERNMENT, TOPIC 001-450-003

FDOT's Integrity in Government policy states that the Department will always strive to protect public money and property and maintain a high level of awareness to indicators of fraud or other criminality impacting the Department. Any attempt by Department employees, members of the public, contractors, subcontractors, or others to use their association with the Department to gain financial or other benefits to which they are not properly entitled will be investigated promptly and appropriate action will be pursued.

## COOPERATION WITH OFFICIAL DEPARTMENT INVESTIGATIONS POLICY, TOPIC 001-450-002

FDOT's cooperation policy states that employees of the Department must cooperate with duly appointed investigators from the OIG and Business Growth and Engagement Office to uncover the facts surrounding possible violations and answer questions related to the performance of one's official duties. Department employees shall produce documentation within their control when requested. Department employees shall not offer incorrect or mis- leading information and shall not destroy evidence.

## PRIVATE PARTNERS AND THEIR EMPLOYEES

In accordance with Subsection 20.055(6)(e), Florida Statutes, the OIG provides specific entities contracting with the state and individuals substantially affected (subject employee of the entity) a draft of the investigative findings we intend to publish in an upcoming case closure report. The entity or an individual substantially affected may, if they wish, submit to the OIG a written response to the draft findings. They have 20 working days in which to submit their response, which will be included in our final report along with our rebuttal to the response, if any.