



Investigations Section

What Prompts An Investigation?

An investigation is normally initiated when a complaint or allegation is received by letter, telephone (hotline), or on the web-based complaint form.

◆ 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.



Manager

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.

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. When the employee appears at the designated place and time, the investigator will provide more information.

Witness



It may be uncomfortable answering questions about another person or situation; however, 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.

Subject

The OIG's objective is to determine if there is sufficient evidence to prove or disprove an allegation. Being cooperative, truthful and keeping the contents of discussion confidential will assist the investigative process. The investigator's goal is to capture all relevant information and provide managers with a report stating the facts. Subjects may receive a copy of the final report at no cost.

Fraud Policy Topic 001-450-001

FDOT's fraud policy states that any attempt by department employees, members of the public, contractors, subcontractors, or intermediaries, to use their association with the department to gain financial or other benefit to which they are not properly entitled will be investigated promptly and appropriate action pursued. Department management is responsible for establishing measures to detect and deter these attempts, report any known attempts and respond appropriately when an attempt is "proved."

Cooperation Policy Topic 001-450-002

FDOT's cooperation policy states that employees of the department must cooperate with duly appointed investigators from the Office of Inspector General and Equal Opportunity 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 misleading information and shall not destroy evidence.

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Authority and Standards

According to section 20.055, Florida Statutes, an Office of Inspector General 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, mismanagement, misconduct, and other abuses in state government.

Within the FDOT OIG, investigations are conducted in accordance with applicable *Principles and Standards for Offices of Inspectors 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.
- Investigations should be conducted and a report issued in a timely manner.



Fraud, Waste and Abuse Hotline 1-800-255-8099

Online Reporting Form <http://www3.dot.state.fl.us/fraud>

Call when you think . . .

- someone is using FDOT property or people for personal gain.
- someone is intentionally misleading FDOT for financial gain.
- someone is taking some benefit to “look the other way.”
- you’re not sure if you should call to report your suspicions.



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All photos courtesy of the Florida Department of Transportation



Florida Department of Transportation

Office of Inspector General Investigations Section



What To Expect During An Investigation

The mission of the investigations section is to deter, detect and investigate crimes or misconduct impacting the department.