

Early Learning Coalition of Florida's Heartland, Inc.

Subject: Suspected Fraud in SR/VPK programs	Policy/Procedure # FM-11
Page: 1 of 2	Adoption Date: 04.02.08 Revision Date:
Approved by: ELCFH Board	Title: Andrew Bible, Chair
Distribution: Upper Administrative staff; Finance staff	Authority References: Executive Director, Associate Director: Finance

Purpose: To establish the procedures for reporting allegations of possible fraud, misfeasance, nonfeasance, malfeasance, misapplication of funds, gross mismanagement and employee/participant misconduct in the Early Learning Programs. (School Readiness and Voluntary Pre-Kindergarten)

Background: AWI requires Early Learning Coalitions establish protocols to ensure that Suspected Fraud is addressed in policy

Policy:

BACKGROUND: In the normal course of their work, ELCFH managers, supervisors, team members and partners may become aware of instances of actual, potential, or suspected fraud and abuse in the operation of any program funded by State or Federal funds administered through the Agency for Workforce (AWI). Included in this category are instances of actual, potential, or suspected fraud and abuse in the operation of programs administered by grantees, contractors and partners.

The Inspector General of AWI has designated the coordination of all suspected fraud referrals to the Florida Department of Law Enforcement, Public Assistance Fraud Unit. Early Learning Coalitions are responsible for immediately reporting all such actual or suspected violations they or their supervisors and employees uncover to the AWI Office of Inspector General, the Florida Department of Law Enforcement Public Assistance Fraud Unit and the Office of Early Learning using the Suspected Fraud Record Form (copy attached).

Procedures:

The Suspected Fraud Referral Record form is designed for promptly reporting to the AWI Inspector General, the Florida Department of Law Enforcement, Public Assistance Unit and the Office of Early Learning that an actual or suspected violation has occurred. Any activity or incident that poses a danger to the health, safety or welfare of any individual or individuals should be reported immediately to local law enforcement or emergency management. All allegations, those judged to be of an emergency nature, those receiving public exposure and those related to suspicions should also be reported immediately to the Office of Inspector General (OIG) by telephone; (850) 245-7135, SUNCOM 205-7135. However, all telephone reports should be followed by prompt written or

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electronic notification to OIG, using the Suspected Fraud Referral Record form or other suitable means. In completing the Suspected Fraud Record form, Case Identification number field, use the social security number if the subject is an individual or leave blank if the subject is a business entity. Provide the business entity information in the Comments section of the form. The form should be submitted simultaneously by fax to the following (3) three entities: 1) James F. Mathews, AWI Office of Inspector General at (850) 245-7144 Suncom 205-7144; 2) The FDLE Public Assistance Fraud Unit at (850) 922-1911 Suncom 292-1911, Attention: Chris Tolia, and 3) Dr. B. Birken, Office of Early Learning at (850) 921-3188 Suncom 292-3188.

Definitions:

- a. Fraud, Mifeasance, Nonfeasance, or Malfeasance: in the operation of any program funded by State or Federal funds administered by the Agency for Workforce Innovation, actions which constitute the omission of an act a person ought to do, the improper performance of an act a person might lawfully do, or the performance of an act a person ought not to do. This category includes, but is not limited to, indications of bribery, forgery, extortion, embezzlement, theft of participant checks, kickbacks from participants, and intentional payments to a contractor without the expectation of receiving services.
- b. Misapplication of Funds: Misapplication of funds should be considered as any alleged use of funds, assets or property not authorized or provided for in the grant or contract. This includes, but is not limited to, nepotism, political patronage, use of participants for political activities, ineligible enrollees, conflict of interest, not reporting income from Federal funds, violation of contract procedures, maintenance of effort violations, and the use of funds for other than their designated purposes.
- c. Gross Mismanagement: Actions or situations arising out of the intentional failure to perform one's duties or responsibilities in reckless disregard of the consequences, which lead to major violations of contract provisions and/ or which severely hamper the Agency's ability to fulfill its mission.
- d. Employee/ Participant Misconduct: Employee/participant misconduct should be considered as occupational or professional actions occurring during or outside work hours, that reflect negatively on the Agency or its mission, and may include, but are not limited to, conflict of interest or the appearance of conflict of interest involving outside employment business and professional activities; the receipt or giving of gifts, fees, entertainment, and favors; misuse of Federal/State property; misuse of official information; and such other activities as might adversely affect the confidence of the public in the integrity of the Government as well as serious violations of Federal and State laws.

Contact:

Further information on reporting suspected fraud may be obtained by calling the Office of Inspector General at (850)245-7135, Suncom 205-7135.

Attachment I: Suspected Fraud Referral Record Form