

INVESTIGATION REPORT
OF
ALBUQUERQUE RECOVERY PROGRAM
DEPARTMENT OF FAMILY AND COMMUNITY SERVICES
REPORT NO. 09-208



City of Albuquerque
Office of Internal Audit and Investigations

Department of Family and Community Services
Albuquerque Recover Program
Report No. 09-208
Executive Summary

An Interim Investigation Report was issued on February 3, 2010. The findings from that report are expanded in this final report.

Background:

The Office of Internal Audit and Investigations (OIAI) conducted an investigation concerning allegations of misuse of City of Albuquerque (City) property and possible time card violations at the Albuquerque Recovery Program (ARP), a program within the Department of Family and Community Services (DFCS). This investigation was predicated upon several calls to the former Inspector General. The caller reported that employees of ARP were working for other businesses while on the payroll of the City and using City vehicles for personal use. The caller provided sufficient information to initiate an investigation.

Objective:

Is there evidence to support the allegations as presented?

OIAI findings:

- ARP graduated only 13 of 268 admitted clients, less than 5%.
- ARP counselors and case managers spent less than half their available work time with clients.
- One ARP employee did not take vacation leave for time listed in that employee's appointment schedule as "vacation."
- On 14 of 54 days tested (26%), OIAI found no client contact by ARP counselors and case managers in review of client files.
- Outside employment forms were not completed for some ARP employees.
- There was a lack of controls over City vehicles.
- The ARP supervisor failed to appropriately manage employees of ARP, including failing to initiate appropriate progressive discipline.

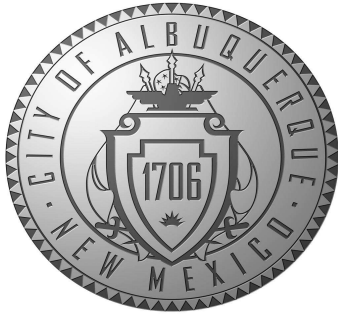
Recommendations:

- DFCS management should monitor programs closely to ensure programmatic goals are established and met.
- DFCS management should monitor employee time usage to ensure it is effectively utilized.
- DFCS should ensure employees are accurately reporting time worked. DFCS should confirm that time sheets match time recorded on appointment schedules.

- DFCS management should monitor employee time usage to ensure human resources are effectively utilized. DFCS management should monitor to ensure that client charting meets professional minimum standards.
- DFCS management should ensure supervisors are familiar with Personnel Rules and Regulations requiring the completion of outside employment forms and require these forms from all employees employed outside the City.
- DFCS management should ensure City vehicles are adequately controlled.
- DFCS should ensure supervisors receive training on appropriate progressive discipline for employees in order to better manage programs.

Based on these findings, ARP employees should be disciplined, up to and including termination or ineligibility to rehire, specific to the findings concerning each employee as discussed in the report.

DFCS management responses are included in the report.



City of Albuquerque
Office of Internal Audit and Investigations
P.O. BOX 1293 ALBUQUERQUE, NEW MEXICO 87103

October 6, 2010

Accountability in Government Oversight Committee
City of Albuquerque
Albuquerque, New Mexico

Investigation: Albuquerque Recovery Program
Department of Family and Community Services
09-208

FINAL

INTRODUCTION

The Office of Internal Audit and Investigations (OIAI) conducted an investigation concerning an allegation of possible time card fraud and misuse of City vehicles at the Albuquerque Recovery Program (ARP), a program within the Department of Family and Community Services (DFCS). This investigation was predicated upon several calls to OIAI. The caller reported that employees of ARP were working for other businesses while on the payroll of the City and using City vehicles for personal use. The caller provided sufficient information to initiate an investigation.

During OIAI's investigation, the director of DFCS made a budgetary decision to close ARP and transfer all current clients to other City contractors. As part of her decision-making process, the director requested an interim report from OIAI. This interim report was issued on February 3, 2010. The findings represented in that interim report are expanded in this final report.

SHORT NAMES

To aid in the reading of this report the following short names have been employed:

- City of Albuquerque (City)
- Office of Internal Audit and Investigations (OIAI)
- Albuquerque Recovery Program (ARP)
- City of Albuquerque Department of Family and Community Services (DFCS)

Please note, ARP uses the terms patient and client interchangeably. OIAI has used client throughout this report, except where quoting or citing the name of a specific document.

SOURCES OF INFORMATION

As part of our investigation OIAI relied on the following records:

- ARP description as stated on the City website
- City Personnel Rules and Regulations
- DFCS - Division of Behavioral Health, “Albuquerque Minimum Standards for Substance Abuse Treatment and Prevention Services” Revised January 2009
- ARP client files for all admitted patients for the duration of ARP
- Report on “Three Monitoring Reviews of the Albuquerque Recovery Program” (July 21, 2009, September 21, 2009, February 5, 2010) prepared by staff of DFCS.
- ARP Census Progress Report, prepared by the Community Outreach Coordinator, dated May 20, 2010
- Group meeting sign-in sheets, for calendar year 2009
- ARP/Counselor Appointments/Schedule/Log of Patient Appointments for the Case Management Specialists and Substance Abuse Counselors, for the period May 25, 2009 to July 3, 2009.
- ARP/Driver Schedule for the period May 25, 2009 to July 3, 2009.
- Use of Vehicle Logs for ARP vehicles numbered 51237, 51238, 062202, 062203, 062204 and 062123 for the months May, June and July 2009.
- Copies of City Operator’s Permits for the Case Management Specialists, Substance Abuse Counselors and Driver.
- City Request for Permission to Engage in Employment Outside the City.
- Correspondence dated between June 3, 2009, and June 10, 2009, regarding a red light camera ticket issued on May 18, 2009 to a vehicle with license plate number G62607.
- Records from the Human Resources Department for ARP personnel, including leave reports
- The Community Outreach Coordinator’s analysis of group leaders for calendar years 2008 and 2009
- ARP client database maintained and provided by the Community Outreach Coordinator
- List of “All Admitted Patients” for ARP maintained and provided by the ARP Administrative Assistant.
- Memo dated October 2, 2007 to all ARP staff from the Community Outreach Coordinator regarding “Initial ARP Ethics Training” with attachments (ARP Code of Ethics requesting signature and return, Sections 300/301 City Personnel Rules and Regulations and Title 16, Chapter 27, Part 18 NM Counseling and Therapy Practice Board)
- Memo dated April 29, 2009, to all ARP staff from the Community Outreach Coordinator, regarding “Refresher Vehicle Operations Training and City Code of Conduct” with attachments (Executive Instructions #11, #23, Administrative

- Instructions 4-5, 4-7, 4-9 and 4-11 and Sections 300/301 and 300/302 City Personnel Rules and Regulations)
- FY 2010 Approved Budget Volume II – Performance Plan
- Badge photos of ARP personnel.
- Work schedule memos from the Community Outreach Coordinator to ARP staff, various dates.
- Timesheets for ARP staff, for the period May 23, 2009 through July 3, 2009

OIAI relied on interviews with the following City personnel:

- Case Management Specialists, ARP
- Director, DFCS
- Substance Abuse Counselors, ARP
- Administrative Assistant, ARP
- Acting Division Manager, Division of Behavioral Health, DFCS
- Former human resources coordinator for ARP
- Community Outreach Coordinator, ARP
- Former Director, DFCS

BACKGROUND AND EVENTS

Our investigation did not include an examination of all functions and activities related to the employees of the ARP. Our initial scope was limited to reviewing the actions of ARP personnel for the six week period from Monday, May 25, 2009, through Friday July 3, 2009. In May 2010, scope was widened to encompass appointment schedule and time card test work for the period May 24, 2008, to May 24, 2009. OIAI attempted to obtain appointment schedules for this time period. These documents were unavailable, see details below. In interviews with the Community Outreach Coordinator and the Administrative Assistant, OIAI determined that client files had sufficient information to determine whether an employee worked on a specified day. As described below OIAI tested all client files for nine sample days to determine the amount of time spend with clients.

EFFECTIVENESS OF ARP

According to the DFCS – Division of Behavioral Health website on February 2, 2010, ARP is:

A one year methamphetamine intensive outpatient treatment program with intensive case management which offers daily structure of activities based on the Matrix Model (an evidenced-based treatment practice). The program offers group counseling, individual counseling, Life Skills Training, recreation opportunities, social interaction, social support, family education, relapse prevention, and early recovery counseling groups. A highly structured behavioral approach is used during early recovery to build and enhance positive behaviors to replace drug using behaviors.

The DFCS - Division of Behavioral Health has promulgated Albuquerque Minimum Standards for Substance Abuse Treatment and Prevention Services (Minimum Standards) which must be followed by all agencies providing substance abuse treatment and prevention services. On page 9, the definition of minimum standards states that this document defines the minimally acceptable levels of substance abuse treatment services established by the City for program performance within an agency.

ARP is City-operated and is governed by these Minimum Standards, per our interview with the Acting Division Manager for Behavioral Health.

The Minimum Standards state on page 17:

d) Documentation of Participation in Treatment. Progress notes shall document all services provided to the client in detail, in written format including client and/or family interactions with a counselor or case manager. The written records must include the date, length of service (beginning time and ending time) of services, and signature of individual providing services, including applicable licensure. Progress notes must contain client specific information. Progress notes shall document, for all services provided to the client, information regarding attendance at and participation in therapeutic sessions, assessment of the client's progress or lack thereof toward meeting those objectives established in the treatment plan and all case management services received by the client. The progress notes should also document the date a client has disengaged from treatment, and the efforts made by the agency to re-engage the client. [emphasis in original]

The Minimum Standards further state on page 29, under the heading Outpatient Treatment Programs (Level I):

(2) Documentation of Progress. Progress notes shall be recorded in the client record at least weekly or according to the frequency of therapeutic sessions and shall reflect progress toward meeting treatment plan objectives and documentation of attendance at therapeutic sessions. Progress notes shall also document missed appointments, client's effort to disengage from treatment, and efforts made to re-engage the client.

The job description of Case Management Specialist (Position Code 700128) lists as an Essential Function in paragraph seven:

Document case management process; maintain case notes and complete records, forms and reports; prepare case/clinical file reports for periodic review.

The job description of Substance Abuse Counselor (Position Code 700137) lists as an Essential Function in paragraph seven:

Initiate and maintain case files.

ARP began serving clients in September 2007 and ceased serving clients in May 2010.

According to ARP’s client database, maintained and provided by the Community Outreach Coordinator, 268 clients received 13,627.35 hours of treatment/case management, including individual and group time. Of the 268 clients seen during the entire duration ARP served clients, only 13 were considered to have graduated. This is less than a 5% graduation rate. Additional information from the database is summarized here:

<u>Hours of Treatment</u>	<u>Clients</u>	<u>Graduated</u>	<u>Total hours</u>
Less than 10 hours per client	96	0	414.50
Greater than 10 hours, less than 50	88	0	2,363.00
Greater than 50, less than 100 hours	37	1	2,634.35
Greater than 100, less than 200	32	6	4,393.00
Greater than 200 hours	15	6	3,822.50
Totals	<u>268</u>	<u>13</u>	<u>13,627.35</u>

This also includes time spent charting client interactions. According to the Community Outreach Coordinator, staff members were trained to book one hour of client time which consisted of 45 minutes of interaction plus 15 minutes to chart the contact.

Please note that this database counts each hour each client attended a group session. For example, if one counselor led a one-hour group session and ten clients attended, that group session would be recorded as ten hours in the database, even though it only took up one hour (plus charting time) of the counselor’s time.

OIAI determined each employees’ available client hours by calculating their full-time hours using a 2080 hours per year standard, then subtracting City-paid holidays and leave recorded on each employee’s P-29 leave report. This calculation shows that there were 32,671.30 available hours for client contact in the entire duration ARP served clients from September 2007 through May 2010. Although the 13,627.35 hours shown above from the database includes group time counted multiple times, this is still only about 42% of available client time. OIAI has not been able to determine where employees spent the remaining 58% of their available work time.

Further, in our test work of nine specific test days, discussed further below, OIAI found that only about 20% of total available employee time is documented in client files. Specifically, of 458.50 available work hours, only 92.35 hours could be accounted for in time reconstruction from all client files.

The Acting Division Manager for Behavioral Health stated that there is an industry standard that each admitted client should have two hours of treatment time per week. This can be individual or group treatment. OIAI calculated the number of admitted clients on the first day of each

month during the entire duration of ARP served clients, September 2007 to May 2010, to predict the number of hours of treatment for ARP. Our calculation shows that approximately 13,780 hours of treatment time should have been spent with ARP admitted clients. According to the Community Outreach Coordinator's database, actual hours of treatment were 13,627.35. This indicates that the clients of ARP were likely receiving treatment within reasonable standards. However, as noted above, employees were not working to capacity indicating that some qualified clients may not have received access to treatment. As of May 20, 2010, the database indicates that nine clients were on the waiting list to get into ARP.

According to the FY 2010 Approved Budget Volume II – Performance Plan, ARP had an Objective of “serving 75 patients by the end of the second quarter of FY/09.” According to the same document, ARP only served 68 by end of second quarter FY09.

EMPLOYEE TIME TESTING, ORIGINAL TEST PERIOD

In OIAI's original test work of the six week period May 23, 2009, through July 3, 2009, OIAI found that Case Management Specialist A's timesheet and time recorded on the payroll system did not agree with the ARP Counselor Appointments/Schedule/Log of Patient Appointments (appointment schedule) for Wednesday, June 3, 2009, Thursday, June 4, 2009, and Friday, June 5, 2009.

- The appointment schedule for Case Management Specialist A had “VACATION” written on Wednesday, June 3, Thursday, June 4 and Friday June 5, 2009. There were no appointments scheduled and a City vehicle was not checked out to Case Management Specialist A on these dates.
- Case Management Specialist A's department timesheet for the pay period ending Friday, June 5, 2009, did not have any exceptions to time worked.
- The ERP Timecard Detail for the pay period ending Friday, June 5, 2009 indicated that Case Management Specialist A's time for these dates was entered as regular time worked.

Case Management Specialist A did not take vacation leave for time listed in her appointment schedule as “VACATION”.

OIAI noted during test work that appointment schedules do not list the number of clients seen nor the client name or identification/file number. It is not clear from appointment schedules what clients were being served by counselors and case managers.

EMPLOYEE TIME TESTWORK, EXPANDED SCOPE

When the scope was expanded to the year May 24, 2008 to May 24, 2009, OIAI worked with the Administrative Assistant to obtain appointment schedules for this time period. The Administrative Assistant informed OIAI that the appointment schedules disappeared in late March or early April when the Community Outreach Coordinator was hospitalized. The

Administrative Assistant reports that these appointment schedules were stored in her office or the Community Outreach Coordinator's office, which were locked at all times unless occupied. Upon arrival to work on approximately March 25 or 26, 2010, the Administrative Assistant noted that both her office door and the Community Outreach Coordinator's office door were standing ajar. According to the Administrative Assistant, the only keys to those offices were held by her, the Community Outreach Coordinator and the janitor. The Administrative Assistant notes that the janitor was friends with Substance Abuse Counselor A and Case Management Specialist A.

Since the appointment schedules were not available for expanded scope testwork, OIAI met with the Administrative Assistant and the Community Outreach Coordinator to determine whether there was another method available for determining whether employees of ARP were seeing clients.

OIAI determined that all client contact is required to be noted in the client file as noted in the above-quoted Minimum Standards. The Administrative Assistant and the Community Outreach Coordinator showed OIAI that all client file notes include a time notation for the amount of time each counselor or case worker spends with the client.

OIAI then selected nine test days and compiled all hours recorded in all client files for all employees. This test work was adjusted for any leave or flex time recorded for the employee and resulted in testing 54 days for the seven employees. Note that some employees took leave or were no longer employed at ARP on all selected days. This testing captured time spent one-on-one with clients (whether counseling or case management) and group time recorded for clients. Group time was counted as one hour per session. For the seven employees tested over the nine sample days, OIAI found that of 458.50 work hours, employees spent 92.35 hours, or 20% of work time, with clients.

OIAI also determined that on 14 of the 54 total test days, ARP employees had no client time recorded in any client files. Days where the employee took leave were excluded from the 54 total test days.

ARP EMPLOYEES WORKING IN OUTSIDE EMPLOYMENT

City Personnel Rules and Regulations, Section 310, Employment Outside the City Service states, "All employee must obtain the written permission of the department director and concurrence of the Human Resources Director allowing them to engage in outside employment."

The Driver and Substance Abuse Counselor A did not complete outside employment forms. The Community Outreach Coordinator was aware that the Driver and Substance Abuse Counselor A owned businesses. The Community Outreach Coordinator stated that he and the department did not believe that these employees needed to submit the forms because they were not employees but owned their businesses.

Information obtained during interviews suggested that the Driver and Substance Abuse Counselor A may have been conducting business that conflicted with City employment; specifically that they were operating group homes which provided housing for clients admitted to APR.

OIAI learned from interviews that Case Management Specialist A had outside employment with a bail bonds company and took phone calls forwarded from the bail bonds company while she was on City-paid time. Case Management Specialist A also had no outside employment form on file.

LACK OF CONTROLS OVER CITY VEHICLES

In the six weeks beginning Monday, May 25, 2009, and ending July 3, 2009, document analysis indicates four of the ARP staff members drove a combined 4,556 miles. This averages out to 152 miles per workday. The number of miles driven in one day by staff members was as high as 356 miles.

On June 8, 2009, Case Management Specialist A was issued a Letter of Instruction which highlights that Case Management Specialist A signed out vehicle 051237 on May 15, 2009, and never signed it back in. It was signed out again by Case Management Specialist A on May 26, 2009. Between May 15 and May 26 the vehicle was driven 590 miles.

Based on our interviews, City vehicles are alleged to have been used for non-City related business.

OBJECTIVES

Is there evidence to support the allegations as presented?

SCOPE

The scope of the investigation was limited to employees of ARP and DFCS, specific test dates, areas tested and documents as listed above.

METHODOLOGY

The methodologies used during our investigation consisted of:

- Analysis of available documents
- Interviews of appropriate City personnel, including ARP and DFCS
- Observation of employees of ARP
- Analysis of all admitted client files of ARP for the duration of the program

FINDINGS AND RECOMMENDATIONS

OIAI makes recommendations regarding areas noted during the investigation that we believe could improve the Department's effectiveness, efficiency and compliance with administrative policies and applicable rules and regulations. These recommendations could prevent future fraud and provide controls that would detect fraud.

1. ARP GRADUATED ONLY 13 OF 268 ADMITTED CLIENTS, LESS THAN 5%.

According to the client database maintained by the Community Outreach Coordinator, ARP graduated only 13 of 268 clients. Based on testing of available time for client treatment, the counselors and case managers of ARP spend about 42% of their available time with clients. Had this time been used more effectively, more patients may have graduated from ARP.

RECOMMENDATION

DFCS management should monitor programs closely to ensure that programmatic goals are established and met.

RESPONSE FROM DFCS

“DFCS continues to monitor programs to ensure quality and required outcomes. As a result of monitoring ARP, training was provided on several occasions to employees of the program including the supervisor. The program was closed, in part, because of the failure of repeated attempts to improve quality and outcomes.”

2. ARP COUNSELORS AND CASE MANAGERS SPENT LESS THAN HALF THEIR AVAILABLE WORK TIME WITH CLIENTS.

Based on test work performed by OIAI, ARP counselors and case managers spent approximately 42% of their available work time (defined as total work hours less paid holidays and leave taken) with clients. It is unclear how ARP counselors and case managers spent their remaining time. OIAI interviews indicate that several ARP employees had outside employment and may have been working for outside employers while being paid by the City.

RECOMMENDATION

DFCS management should monitor employee time to ensure it is effectively utilized.

RESPONSE FROM DFCS

“Monitoring employee time is one responsibility of the program supervisor. Numerous discussions and recommendations to improve reporting and efficiency went unheeded.”

3. ONE ARP EMPLOYEE DID NOT TAKE VACATION LEAVE FOR TIME LISTED IN THAT EMPLOYEE’S APPOINTMENT SCHEDULE AS “VACATION.”

Case Management Specialist A’s timesheet and time recorded on the payroll system do not agree with the ARP Counselor appointment schedule for Wednesday, June 3, 2009, Thursday, June 4, 2009, and Friday, June 5, 2009.

- The appointment schedule for Case Management Specialist A had VACATION written on Wednesday, June 3, Thursday, June 4 and Friday June 5, 2009. There were no appointments scheduled and a City vehicle was not checked out to Case Management Specialist A on these dates.
- Case Management Specialist A’s department timesheet for the pay period ending Friday, June 5, 2009, did not have any exceptions to time worked.
- The ERP Timecard Detail for the pay period ending Friday, June 5, 2009 indicated that Case Management Specialist A’s time for these dates was entered as regular time worked.

Case Management Specialist A did not take vacation leave for time not at work.

Case Management Specialist A violated the City of Albuquerque, Personnel Rules and Regulations, Section 301.13 City Records and Accounting which states,

All City records, including reports, vouchers, requisitions, payroll and personnel records must be prepared factually and accurately. It is the personal obligation of the employee completing such records as well as the supervisor to ensure that such records are accurate and comply with federal, state and City record-keeping and accounting requirements.

The Community Outreach Coordinator, the ARP supervisor, did not compare time worked with the appointment schedule before approving Case Management Specialist A’s timesheet.

RECOMMENDATION

DFCS should ensure employees are accurately reporting time worked.
DFCS should confirm that time sheets match time recorded on appointment schedules.
If any differences are noted, these should be brought to the attention of the staff person for correction and potential adverse personnel action.

RESPONSE FROM DFCS

“As noted by the arbitrator in a proceeding against this employee of the program, truthfulness was not a value shared by all employees of the program. This ethical short-coming also contributed to the decision to close the program.”

4. ON 14 OF 54 DAYS TESTED (26%), OIAI FOUND NO CLIENT CONTACT BY ARP COUNSELORS AND CASE MANAGERS IN REVIEW OF CLIENT FILES.

On 14 of the 54 days tested, counselors or case workers had no client contact recorded in client files. This indicates that either the counselors or case workers did not work that day or that they failed to record client contact. If the counselors or case workers did not work that day, then that employee failed to record leave taken. If the counselor or case worker did not record all contact in client files then employees failed to meet minimum professional standards as cited above.

RECOMMENDATION

DFCS management should monitor employee time usage to ensure human resources are effectively utilized.

DFCS management should monitor to ensure that client charting meets minimum professional standards.

RESPONSE FROM DFCS

“The three previous responses are responsive to this finding also.”

5. OUTSIDE EMPLOYMENT FORMS WERE NOT COMPLETED FOR SOME ARP EMPLOYEES.

The Driver and Substance Abuse Counselor A did not complete outside employment forms. The supervisor, the Community Outreach Coordinator was aware that the Driver and Substance Abuse Counselor A owned outside businesses. The Community Outreach Coordinator stated that he did not believe that these employees needed to submit the forms because they were not employees of another firm but rather owned their businesses. Outside employment forms were not on file for the Driver or Substance Abuse Counselor A.

The employees may have been conducting business that conflicted with City employment. OIAI interviews indicate that the Driver had a business which provided housing to clients of ARP and Substance Abuse Counselor A operated a car service. Per OIAI interviews, Case Management Specialist A worked for a bail bonds company. No outside employment form was on file for Case Management Specialist A.

The Driver, Substance Abuse Counselor A and Case Management Specialist A violated the City of Albuquerque, Personnel Rules and Regulations, Section 310, Employment Outside the City Service, which states “all employees must obtain the written permission of the department director and concurrence of the Human Resources Director allowing them to engage in outside employment.”

RECOMMENDATION

DFSC management should ensure supervisors are familiar with Personnel Rules and Regulations requiring the completion of outside employment forms and require these forms from all employees employed outside the City.

RESPONSE FROM DFCS

“Review of Personnel Rules and Regulations were a part of the ongoing attempts to bring supervision of this program up to DFCS standards. Forms requested were not forthcoming.”

6. THERE WAS A LACK OF CONTROLS OVER CITY VEHICLES.

In the six weeks beginning Monday, May 25, 2009, and ending July 3, 2009, document analysis indicates four of the ARP staff members drove a combined 4,556 miles. This averages out to 152 miles per workday. The number of miles driven in one day by staff members was as high as 356 miles.

On June 8, 2009, Case Management Specialist A was issued a Letter of Instruction which highlights that Case Management Specialist A signed out vehicle 051237 on May 15, 2009, and never signed it back in. It was signed out again by Case Management Specialist A on May 26, 2009. Between May 15 and May 26 the vehicle was driving 590 miles.

On May 18, 2009, vehicle 05127 was issued a Photo STOP citation for a red light violation.

City vehicles may have been used for non-City related business.

RECOMMENDATION

DFSC management should ensure City vehicles are adequately controlled.

RESPONSE FROM DFCS

“DFCS has City vehicles assigned to various divisions within the Department. Lack of control has been an issue in none but this program.”

7. THE ARP SUPERVISOR FAILED TO APPROPRIATELY MANAGE EMPLOYEES OF ARP, INCLUDING FAILING TO INITIATE APPROPRIATE PROGRESSIVE DISCIPLINE.

The DFCS - Behavioral Health Division did three onsite assessments of ARP and found deficiencies, many of which were repeated in subsequent assessments. OIAI found no evidence in documents nor in interviews that any ARP employee was disciplined or given letters of instruction for failures noted in the assessments.

Although Supervisor, the Community Outreach Coordinator conducted trainings with ARP employees, he did not require that ARP employees sign acknowledgments that they attended these meetings. Per his interview with OIAI, the Community Outreach Coordinator did not know what discipline was available and did not pursue any discipline for employees of ARP.

RECOMMENDATION

DFCS management should ensure supervisors receive training on appropriate progressive discipline for employees in order to better manage programs.

RESPONSE FROM DFCS

“Training was conducted to no avail.”

CONCLUSIONS:

From the test work noted above OIAI has determined the following conclusions:

- ARP graduated only 13 of 268 admitted clients, less than 5%.
- ARP counselors and case managers spent less than half their available work time with clients, approximately 42%.
- One ARP employee did not claim vacation leave as reflected in that employee’s appointment schedule.
- On 14 of 54 days tested (26%), OIAI found no client contact by ARP counselors and case managers in review of client files.
- Outside employment forms were not completed for some ARP employees.
- There was a lack of controls over City vehicles.
- The ARP supervisor failed to appropriately manage employees of ARP, including failing to initiate appropriate progressive discipline.

Based on these findings, ARP employees should be disciplined, up to and including termination or ineligibility to rehire, specific to the findings concerning each employee as discussed above.

Inspector General

REVIEWED AND APPROVED:

APPROVED FOR PUBLICATION:

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Director
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Chairperson, Accountability in Government
Oversight Committee