

## Reporting Ethical & Professional Violations

Instructions:

Pursuant to Chapter 65G-14.003 Florida Administrative Code (F.A.C.), “each Qualified Organization must report to the Agency for Persons with Disabilities any violation of ethical or professional conduct by Support Coordinators employed by that QO within seven (7) calendar days of discovering the violation, unless the violation threatens the health and safety of a client(s). Any violation that could cause a client’s physical, mental, or emotional health to be significantly impaired must be reported to APD within 24 hours of discovering the violation.” Please refer to Chapter 65G-14.003 (F.A.C.) for more detail on types of violations and what information is needed when reporting a violation. All ethical violations will be reported through APD iConnect.

The following provides step by step instructions on how such violations are to be reported.

***NOTE: If more than one WSC is involved in the ethical violation, a separate reporting form will need to be completed for each WSC involved.***

1. Log into your iConnect account.
2. Change your role to “WSC Admin-QA” and select “GO”



Role  
WSC Admin-QA ▼ GO

**AMENDMENT:** Currently the QO owner will be automatically assigned the WSC Admin-QA role. In the future, we will be updating the ID PASS system to allow the QO owner the authority to assign this role through ID Pass to any QO staff they feel necessary.

3. Once you select “GO”, the page will refresh and you will see your QO Information and two tabs above that information: one titled “Providers” and one titled “Forms.”



Florida APD (10001)

Providers Forms

Basic Information

Provider Name	Florida APD
DBA (if applicable)/Facility Name	APD

4. Click on the “Forms” tab to change to the “Forms” view.

Providers **Forms**

Filters

Status Equal To Pending AND

Division +

Search Reset

0 record(s) returned

v8.4.4.0

- At the top of this page select "File" and then select "Add Forms" to add a new "QO Ethical Violations Reporting Form."

**File**

Add Forms

Print

Quick Search

Florida APD (10001)

Providers **Forms**

Filters

Status Equal To Pending AND

Division +

Search Reset

0 record(s) returned

6. A new window will pop up and the screen below will appear.

APD iConnect

6/17/2021 3:05 PM Forms

File

Please Select Type: [dropdown]

Provider Assessment

Division \* [dropdown] Worker \* [text field] Clear Details

Review \* [dropdown] Status \* [Draft] [dropdown]

Review Date \* [06/17/2021] [calendar icon] Approved By [text field]

Approved Date [text field]

7. Select “QO Ethical Violations Reporting Form” from the drop-down menu as the Selection Type.

File

Please Select Type: [dropdown]

Provider Assessment

QO Ethical Violations Reporting Form

Division \* [dropdown]

Review \* [dropdown]

Review Date \* [06/17/2021] [calendar icon]

Approved Date [text field]

8. Complete all required fields, indicated by a red asterisk (highlighted below).

- “APD” should be selected for the “Division” drop down
- “As Needed” should be selected from the “Review” drop down
- “Review Date” will be the date you enter the report
- “Worker” will be the individual entering the report (this should auto-generate)
- The status should remain in “draft” **until** you have completed the form in its entirety and are ready for the region to review, at which time you will update this field to “pending”
  - The “Ethical Violations Report” section **must** include all details surrounding the violation, such as, the identification of the violation, the type of violation, the date the violation was discovered, any details in the investigation of the violation, etc.

*NOTE: Hold your cursor over the title of each section for details of information needed within that section.*

Please Select Type: **QO Ethical Violations Reporting Form**

**Provider Assessment**

Division: **APD** Worker: [Redacted] Clear Details

Review: **As Needed** Status: **Draft**

Review Date: **06/21/2021** Approved By: [Redacted]

Approved Date: [Redacted]

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**Ethical Violations Report**

Date QO Became Aware of Violation: **06/21/2021**

0 record(s) returned

Name of WSC Involved: [Redacted]

WSC's Treating Provider Medicaid ID: [Redacted]

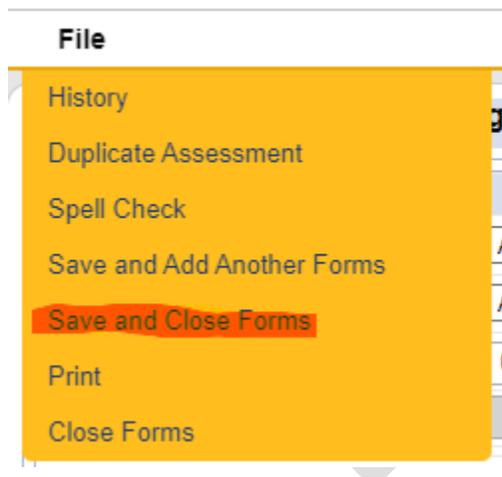
Type of Violation:
 

- Arrest
- Conflicts of Interest
- Failure to Explore Non-Waiver Resources
- Failure to Perform WSC Duties as Required
- Failure to Promote Client Choice; Diverting to s
- Failure to Provide Information About Services
- Failure to Request Appropriate Services

Detailed Description of Violation: [Redacted] 9999 characters remaining

Corrective Action By QO: [Redacted] 4000 characters remaining

- Once all required fields have been completed and you are ready for the APD Region to review, you will change the status to "pending" and then navigate to the top of the page and select "File" then "Save and Close Form."



- You will then need to change your working role to "Service Provider" and select "Go".

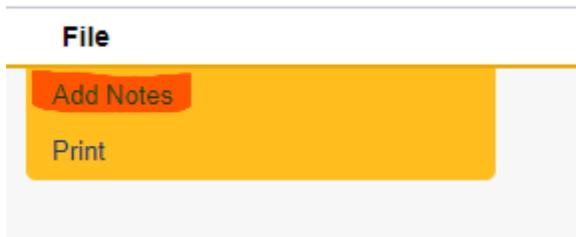
ut

Role: **Service Provider** GO

- The page will refresh displaying all provider tab options, to include the "Notes" tab. Click on the "Notes" tab.



12. Once you have navigated to the notes page, select “File” at the top of the page, then select “Add Notes.”



13. Enter the Note:

- a. Note Type will be “Ethical Violations Notification”
- b. The note description can be a brief description of the violation, the name of the WSC involved, a brief description of any attachments, and a request for regional review.

*(Example: Ready for Review- WSC Name – Violation – Failure to Perform WSC Duties as Required. Please review form and attached corrective action plan)*

- c. Status of the note should be updated to “pending” to indicate the report is ready for the APD Region’s review.
- d. Note recipient should be your Regional Quality Assurance (QA) liaison. (If you are unsure of who this is, please contact your regional office)

14. Attach any documentation you have related to the ethical/professional violation and the indicated remediation taken by the QO. This should include, but is not limited to, email and/or written correspondence related to the violation itself and/or the corrective action the QO is taking, a copy of the corrective action plan, any agreement(s) between the QO and WSC that may be used as part of the corrective action, etc. For more information on how to attach documents to notes, please refer to the [Adding Document to Notes](#) section of these instructions.

**NOTE:** The Ethical Violations Form will NOT be attached to the note. Instead, it is housed in APD iConnect and the Region will access the form through APD iConnect upon receipt of the note.

File Tools

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**Notes Details**

Division \* APD ▾

Note By \* [REDACTED] ▾

Note Date \* 06/21/2021 [calendar icon]

Note Type \* Ethical Violations Notification ▾

Note Sub-Type ▾

Description Ethical Violation Report ready for Review [edit icon]

Note

**B I U** 16px ▾ **A** ▾

Please review the ethical violation report submitted on 6/21/21 regarding WSC, Jane Doe. The violations include Failure to promote client choice and failure to request appropriate services. Also, attached is a copy of the corrective action plan that will be implemented. The plan should be completed and closed out , no later than 7/31/2021. A copy of the finalized plan will be attached to this note and sent to the Regional QA liaison upon completion.

Status \* Pending ▾

Date Completed [input field]

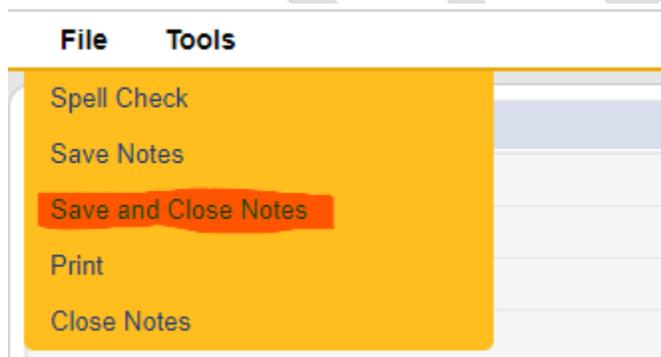
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**Attachments**

[Add Attachment](#)

Document	Description	Category	Action
<a href="#">2021-06-21-CAP for Jane Doe.docx</a>			<a href="#">Remove</a>

- Once the note has been entered and all supporting documentation has been attached, select “File” then “Save and Close Notes”



- At this point you are done with the reporting requirements. However, you will need to check your “Notes” pane on your “My Dashboard” in APD iConnect regularly; this is how you will communicate with the Region. If the Region needs any additional information, correction, or updates, they will send the note back to you.
- Follow up requirements:** If you are still working with your WSC to remediate the violation at that time you submit this report, you will need to be sure the completion of any corrective action taken is communicated with your Regional QO liaison. You may upload any necessary documentation verifying completion to the note at any time; however, you will need to be sure to alert your Regional QA liaison to any additional information or documents to ensure the new information is reviewed.

## Adding Documents to Notes:

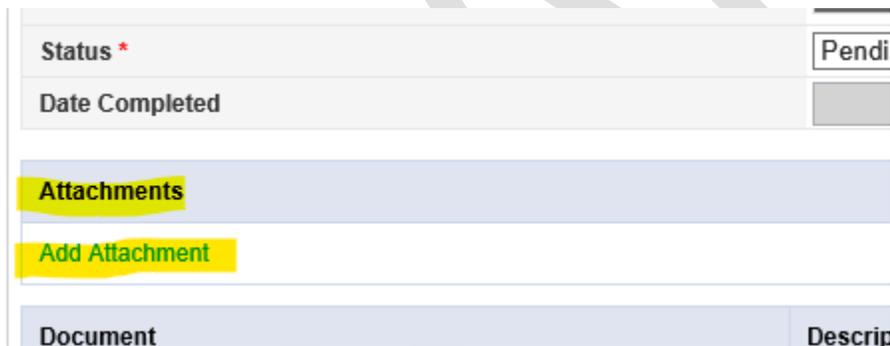
All supporting documents should be added to the note within APD iConnect. This can include, but is not limited to, copies of the Corrective Action Plan, copies of training certificates, copies of agreement(s) between the QO and WSC, emails from consumers and/or reps, or any other documents that may provide proof of the violation and/or proof that the corrective action has been completed. Attachments should have the following naming convention:

Year-Month-Day-Brief Description of Document- EthicalViolationsDocs

*(Example: 2021-06-30-CAP.Completion.JaneDoe-EthicalViolationDocs)*

To add an attachment, you will:

1. Open the note and scroll to the “Attachments” section. Click on the Blue hyperlink named “Add Attachment”.



The screenshot shows a form with the following fields and sections:

- Status \*** (dropdown menu) with the value **Pendi**.
- Date Completed** (text input field).
- Attachments** (section header).
- Add Attachment** (button, highlighted in yellow).
- Document** (table header) and **Descrip** (table header).

You will then upload the document by clicking “Browse” and locating the document on your PC through the Browse feature.

The screenshot shows a web form for file upload. It includes a 'File' input field with a 'Browse...' button. Below it is the 'File Name' section with two radio buttons: 'from uploaded file' (selected) and 'create new' (with an adjacent text input field). The 'Description' field is a text input. The 'Category' field is a dropdown menu. At the bottom are two buttons: 'Upload' and 'Upload and Add Another'. A red note at the bottom states: 'Note: Maximum size for attachment is set to 18.46 MBytes.'

2. Once the file has been located and selected the “Description” should reflect one of the following:
  - a. Ethical Violation CAP Completion Proof (this would be any documents that would prove the corrective action has been fulfilled)
  - b. Ethical Violation Verification Proof (This would be any documents that would support the Ethical Violation being reported.)
  - c. Ethical Violation CAP Information (This would be any documentation related to the corrective action being implemented, i.e., a copy of the corrective action plan, a copy of an agreement between the QO and WSC, etc.)
3. The “Category” field will remain blank.
4. You will then click “Upload” or “Upload and add another” if you have additional documents you would like to attach.