

***DOC Inspector General Annual Report
2000-2001***

[first](#) | [previous](#) | **1 of 6** | [next](#)
[subject index](#)



***For Fiscal Year 2000-2001
September 30, 2001***

*Florida Department of Corrections
Michael W. Moore, Secretary*

*Governor
Jeb Bush*

Executive Summary

Agency Background

As the nation's fourth-largest prison system, the Florida Department of Corrections fulfills a primary responsibility for public safety in Florida. Through a network of 57 major prisons and 70 work camps and community-based facilities, the department manages incarceration and care for more than 72,000 inmates. An additional 152,000 felony offenders are supervised through 180 probation offices statewide. The agency's 26,695 staff carry out this public safety mandate 24 hours a day, 365 days a year. The agency's annual operating budget is \$1.6 billion.

Purpose of the Annual Report

This report, required by the Inspector General Act of 1994, summarizes the activities and accomplishments of the Florida Department of Corrections, Office of the Inspector General, during fiscal year 2000-01.

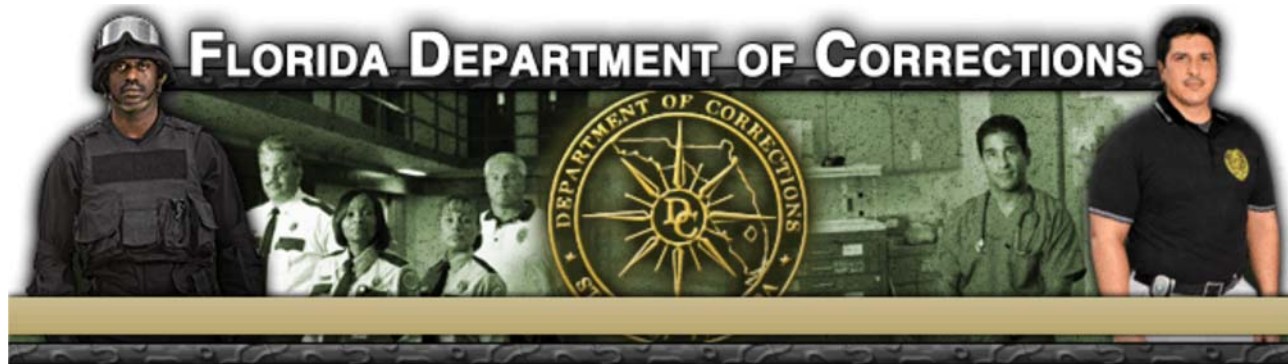
Section 20.055, Florida Statutes, defines the duties and responsibilities of each Inspector General with respect to the state agency in which the office exists. The statute requires that the Inspector General submit an annual report of activities during the preceding fiscal year to the agency head.

This report provides departmental staff and other interested parties with an overview of the Office of the Inspector General's progress in accomplishing its mission as defined by Florida Law. This report contains a brief description of the most significant of these activities for the past fiscal year.

Table of Contents

- **Executive Summary**
 - **Agency Background**
 - **Purpose of the Annual Report**
- **Introduction**
 - **Organization/Duties**
 - **Specific Areas of Responsibility**
 - **Organizational Chart**
 - **Allocation of Staff Resources**
- **Bureau of State Investigations**
 - **Investigations**
 - **Investigation Highlights**
 - **Get Lean Hot-line**
 - **Contraband Interdiction**
 - **Use of Force Unit**
 - **Fugitive Task Force**
- **Bureau of Internal Audit**
 - **Mission and Goals**
 - **Internal Audits**
 - **Summary of Audits Completed**
 - **Audit Results**
 - **Operational Reviews**
 - **ACA Accreditation**
- **Other Activities**
 - **Association of Inspectors General**
 - **Governor's Council on Integrity and Efficiency**
 - **Professional Audit Organizations**
 - **Investigators' Roundtable**
 - **Performance Measures**
- **Goals and Organizational Enhancements**

[Privacy Policy](#) | [Accessibility](#)



***DOC Inspector General Annual Report
2000-2001***

[first](#) | [previous](#) | **2 of 6** | [next](#)



Introduction

Organization/Duties

The Office of the Inspector General and its two bureaus, State Investigations and Internal Audit, perform the following functions:

1. Conduct investigations, audits, and management reviews relating to the staff, programs, and operations of the department.
2. Inform the Secretary of fraud, abuse, and deficiencies relating to programs and operations administered by the department; recommend corrective action; and report on progress made in implementing corrective action.
3. Advise in the development of performance measures and standards for the evaluation of agency programs.
4. Operate the contraband interdiction program, narcotic canine program, and inmate drug testing program.
5. Coordinate department activities required by the Whistle-blower's Act and "Get Lean Hot-Line" program.
6. Provide effective coordination and cooperation with the Auditor General, OPPAGA, and the Florida Department of Law Enforcement.
7. As a member of the Governor's Council on Integrity and Efficiency (GCIE), share ideas with other inspectors general for improving the IG function and coordinating activities that cross agency lines.

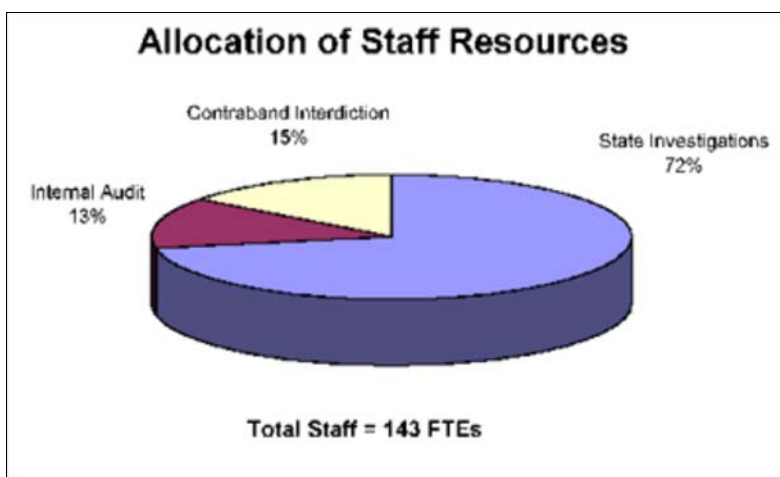
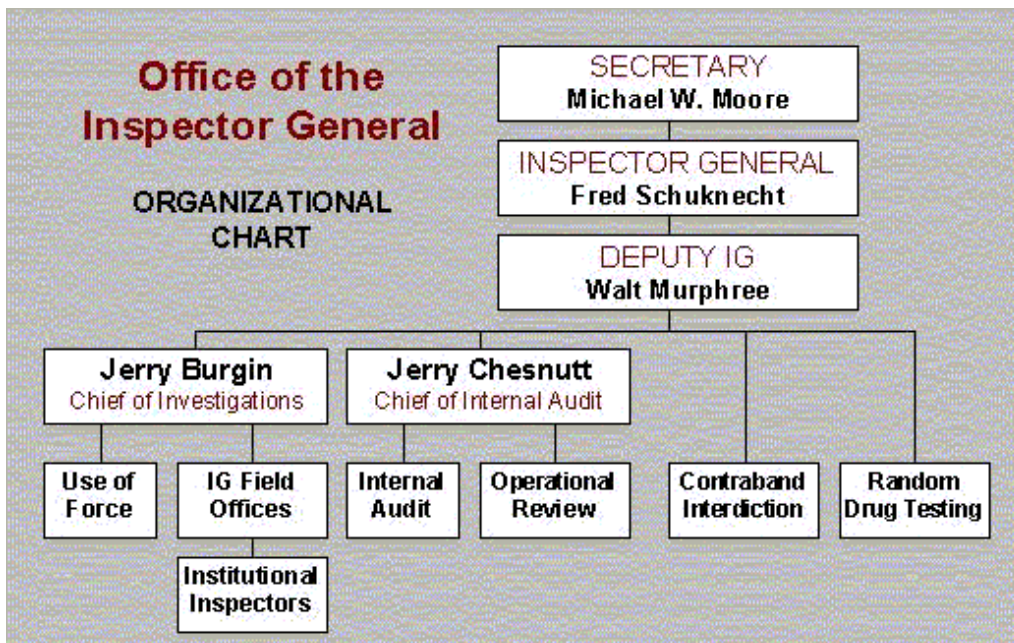
Mission Statement

To provide the department with an independent review, audit, or investigation of department operations and programs, thereby improving the efficiency and effectiveness of department programs.

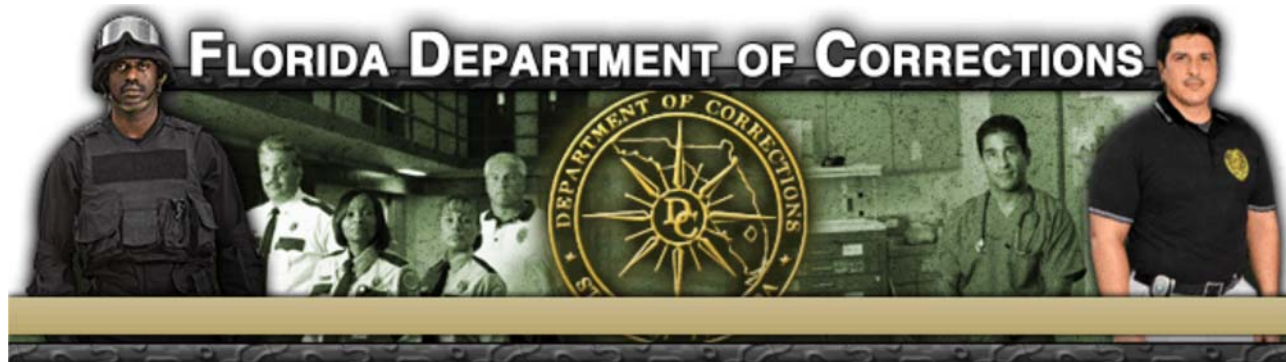
Specific Areas of Responsibility

To meet the growing needs of a rapidly expanding Department of Corrections, the Office of the Inspector General has had to maximize the efficient use of its resources by addressing those matters of greatest concern and vulnerability to fraud and abuse. Specific functions and the benefits they provide are as follows:

1. Manage a statewide computerized management information network and coordinate this activity with other designated key managers.
 - Provide a daily incident/event reporting system from all areas of the department, enabling early identification of problems and timely allocation of investigative resources.
 - Collect statewide data for use by key correctional managers in developing strategies to address problems.
 - Provide for the systematic and coordinated flow of information to the Public Information Office regarding issues of importance to the public and the department.
 - Provide leadership in the department's effort to maintain a strong, formal, cooperative working relationship with the Department of Law Enforcement and other law enforcement and investigative agencies.
2. Conduct criminal and administrative investigations in state correctional facilities.
 - Provide investigative staff to conduct criminal investigations of felonies in state correctional facilities and to coordinate those activities with other law enforcement and investigative agencies including prosecution through State Attorneys offices.
 - Provide investigative staff to conduct administrative investigations into improper procedures, misconduct on the part of staff and/or offenders in state correctional facilities and offices, and coordinating these activities with appropriate departmental staff.
 - Provide for timely intervention in areas of identified concern to reduce the potential for situations/problems to escalate such as staff disputes, escapee recapture, etc.
3. Assist the Office of Institutions in providing a safer environment for employees, inmates, and visitors by discouraging the introduction of contraband at state correctional facilities.
 - Maintain an automated tracking system for contraband seized within state correctional facilities.
 - Conduct unannounced interdiction operations.
 - Review contraband control procedures at state correctional facilities for compliance with department policy and procedure.
 - Conduct searches of state correctional facilities for illegal narcotics utilizing certified narcotic canine teams.
4. Assume internal audit responsibility for assessing the efficiency and effectiveness of management controls and programs to determine compliance with department procedures.
 - Conduct compliance audits in accordance with professional standards.
 - Conduct operational reviews at department facilities and offices to identify management deficiencies and facilitate corrective action.
 - Assist with investigations involving fraud, waste, or misappropriation of funds.
 - Serve as the department's liaison with the Office of the Auditor General and the Office of Program Policy Analysis and Government Accountability on all audits and performance reviews completed by those offices.



[Privacy Policy](#) | [Accessibility](#)



Bureau of State Investigations

The Bureau of State Investigations is responsible for conducting criminal, administrative and internal affairs investigations. The bureau also coordinates the agency's Get Lean Hot-Line activity, inmate drug testing program, contraband interdiction program and serves as the final reviewing authority for all "use-of-force" incidents.

Annual Investigators Training

The annual statewide investigators training (August 20-23, 2001) took a new approach this year. A total of 145 attended, with 20-plus investigators attending from outside law enforcement agencies, including FDLE and sheriffs offices. The majority of the training costs were funded by the Criminal Justice Training Trust Fund. Highlights included a presentation on drug investigations by a DEA agent and Miami-Dade narcotics detective; sexual misconduct investigations by the State Attorney's Office; and investigative techniques, particularly the investigation of the escape of the "Texas 7" by the Texas Department of Criminal Justice's Inspector General.

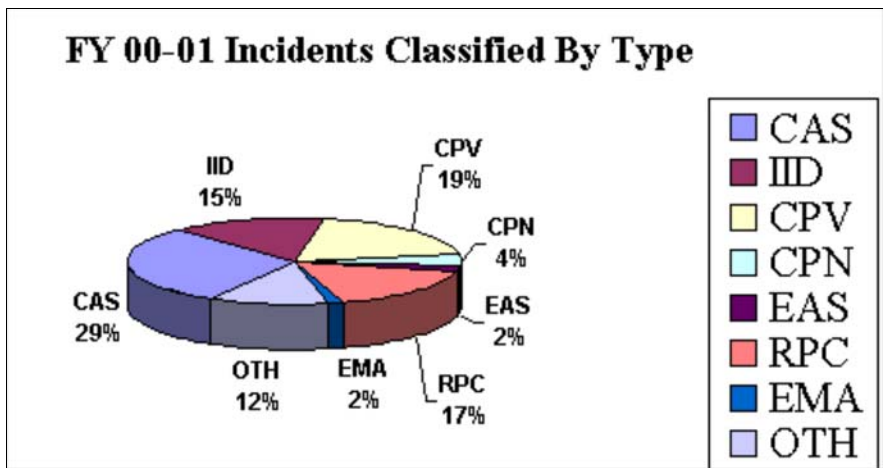
Investigations

When completed, criminal investigations are referred to the appropriate State Attorney's Office for prosecution. Administrative and internal affairs investigations are referred to management for appropriate follow-up action.

During the 2000-2001 fiscal year, 17,524 incidents were reported to the Inspector General's Office. Those incidents were classified in the following categories:

Legend	Classification of Incident	Number
CAS	Complaints Against Staff	5,198
IID	Inmate Injuries or Death	2,590

CPV	Crimes vs. Persons (Violent)	3,437
CPN	Crimes vs. Persons - Property (Non-Violent)	782
EAS	Escape / Attempted Escape	286
RPC	Recovery/Possession of Contraband	2,927
EMA	Employee Arrests	276
OTH	Other	2,028
TOTAL		17,524



Of these incidents, 2,035 official investigations were assigned as indicated by the chart below.

<i>Investigation Assignment by Office</i>	
Field Office	Investigations
Tallahassee	621
Gainesville	593
Orlando	215

Delray Beach	284
Tampa	322
Total	2,035

Of the 2,035 investigations assigned, 1,527 were completed as of June 30, 2001. Of those, 334 were forwarded to State Attorney's Offices throughout Florida for possible prosecution.

Investigation Highlights

As illustrated by the "Classification of Incident" chart above, the majority of reported incidents involved:

- Complaints against staff, which include improper conduct, alleged excessive use of force, and staff/offender relationships;
- Crimes vs. Persons, which include battery on a law enforcement officer, battery on another inmate, sexual battery, and possession of a weapon; and
- Inmate injuries or Deaths, which included suicide, suicide attempts, homicides, natural deaths, accidental deaths and injuries.
- Recovery and possession of contraband.

Get Lean Hot-Line

The bureau also coordinates department responses to suggestions and complaints received via the comptroller's Get Lean Hot-Line. During FY 2000-2001, the bureau received 49 hot-line complaints. Of those, 30 involved complaints against department staff, and 19 were suggestions for cost savings.

Contraband Interdiction Unit

The Contraband Interdiction Unit was established in 1993. The unit's mission is to provide a safer environment for employees, inmates and visitors by discouraging the introduction of contraband at state correctional facilities.

The unit conducts unannounced interdiction operations at Department of Corrections facilities, searching for illegal narcotics utilizing certified narcotic canines as well as other contraband. During interdiction operations, employees, visitors, inmates, vehicles and areas on department grounds are searched for contraband. Employees, visitors and inmates are also subject to inspection by a chemical detection unit that uses technology, referred to as the Ion Mobility Spectrometry, to find traces of illegal drugs.

Interdiction operations during the last three fiscal years yielded the following results:

<i>Drug Interdiction Operations</i>			
Results	1998-99	1999-00	2000-01
Discipline:			
Employees	11	20	15
Inmates	19	70	29
Arrests:			

Employees	1	3	0
Visitors	40	56	44
Inmates	1	1	4
Seizures:			
Alcohol (gallons)			
commercial	6.05	46.45	20.68
homemade	3.25	0	0.16
Drugs (grams)			
marijuana	274.99	138.97	291.5
cocaine	6.61	11.25	16.6
Weapons			
commercial sharps	517	904	227
homemade sharps	32	30	10
blunt instruments	109	26	20
firearms (in vehicles)	29	33	11
ammunition (in vehicles)	963	1,579	219
Cash	\$106.00	\$832.00	\$513.00
Ionscans:			
Employees	6,262	8,173	4,287
Visitors	5,353	6,158	4,507

Inmates	737	1,909	756
Total Ionscans	12,352	16,240	9,550



Department of Corrections Narcotic K-9 Teams

Narcotic K-9 Teams

This fiscal year the Office of the Inspector General outfitted ten full-time K-9 teams with new specially equipped trucks equipped through a federal drug interdiction grant. The ten full time K-9 teams are now fully equipped with vehicles set-up specifically for K-9's and their work. Special equipment included heat alarms, safes to store training narcotics, and decals that identify them as DC Narcotic K-9 vehicles.

The K-9 teams work in conjunction with the Inspector General's Contraband Interdiction Unit, participating in contraband interdictions, conducting searches at DC prisons and other facilities and assisting local law enforcement. The unit is already achieving excellent results, having logged over 205 drug seizures since beginning operation.

Inmate Drug Testing Unit

The Department's Drug Testing Unit oversees the inmate random drug-testing program in which a statistically valid sample of the inmate population is selected and tested for illegal substances each month through a computerized random selection system. In addition to random drug tests, the program also includes "for cause" testing of any inmate based on reasonable suspicion of involvement with drugs or alcohol. The role of testing, as an integral part of effective abuse treatment programs has been recognized as highly effective in identifying those who have substance abuse problems, getting them into treatment and monitoring them during the treatment process. Since the inception of the drug-testing program in January 1994, the rate of positive tests has declined from 6% to 1.09%.

Random Drug Tests:					
Total Selected	Not Tested	Valid Tests	Negative Tests	Positive Tests	Percent Positive
72,981	12,111	60,869	60,208	661	1.09%

Use of Force

The Use of Force Unit was established in August of 1999 at the direction of the Secretary and is staffed by an Inspector Supervisor and a Senior Inspector. The mission of the unit is to review all incidents of physical force at state correctional facilities and ensure compliance with established rules, procedures and statutes.

To accomplish this, the unit conducts an independent review and evaluation of all force incidents upon receipt of the required reports, associated documents and videotapes from each location. Use of force incidents that reveal possible procedural violations, inmate abuse, excessive/improper/unauthorized force, or battery by correctional employees are referred to the Bureau of State Investigations and an internal investigation is conducted. During this reporting period, 274 use of force incidents have been referred for further investigation.

The following chart categorizes all incidents reported to the Use of Force Unit for fiscal year 2000-01:

Classification	<i>Reason Force Was Used</i>	Number
27a	Self Defense	571
27b	Escape/Recapture	8
27c	Prevent Escape During Transport	5
27d	Prevent Property Damage	12
27e	Quell A Disturbance	1,040
27f	Physical Resistance to a Lawful Command	1,538
27g	Prevent Suicide	304
27h	Restrain Inmate for Medical Treatment	170
27i	Cell Extraction	90
TOTAL		3,738

Violent Fugitive Task Force

Inspectors from the Office of the Inspector General participate in the North Florida Violent Fugitive Task Force. The Inspectors are sworn Deputy U.S. Marshals and work to locate and arrest violent fugitives. Cases include both absconders and escapes from the Department of Corrections, as well as, other state and federal fugitives.



**DOC Inspector General Annual Report
2000-2001**

[first](#) | [previous](#) | **4 of 6** | [next](#)



Bureau of Internal Audit

Mission

The mission of the Bureau of Internal Audit is to assist the Secretary and the Department in ensuring that: (1) agency goals are met; (2) all resources are used consistent with laws, regulations, and policies; (3) all resources are safeguarded against waste, loss, and misuse; and (4) reliable data is obtained, maintained, and fully disclosed.

Goals

Our primary purpose is to take a proactive approach in meeting our agency's needs and protecting its resources. Toward that end, we have established four key goals:

- Provide quality audits, reviews, studies, and investigations
- Report results to management in a timely manner
- Use agency resources efficiently; and
- Provide adequate audit coverage to mitigate risks.

Internal Audits

The Bureau conducts financial, compliance, electronic data processing, and performance audits per Section 20.055 Florida Statutes. These audits are conducted in accordance with the current *Standards for the Professional Practice of Internal Auditing* published by the Institute of Internal Auditors (Red Book).

The Bureau employs nine professional auditors with oversight from the Bureau Chief who functions as the Director of Auditing. Staff includes two Certified Public Accountants, three Certified Internal Auditors, one Certified Information System Auditor, a Certified Inspector General and a Certified Fraud Examiner.

Summary of Audits Completed

During FY 1999-2000, the Financial and Compliance Section completed 15 audits and assisted with financial reviews conducted by the Bureau of State Investigations. The audit reports issued during FY 1999-2000 are summarized in the chart below:

FY 2000-01 Internal Audit Reports		
Audit Number	Project Title	Report Issue Date
20015	MIS Contracts - follow-up	8/31/00
20012	Residential Drug Treatment Contract - Operation PAR	9/11/00
20006	Vehicle Utilization	12/1/00
21007	Travel Claims - Tallahassee Service Center	1/4/01
20009	Workers Compensation	1/30/01
20014	Inmate Telephone Contracts	2/9/01
21004	Health Services Contract - Everglades CI	2/28/01
21006	Contracted Food Services	3/9/01
21008	Performance Based Budgeting	3/20/01
21009	Inmate Gratuity Funds - various institutions	4/4/01
21011	Shisa Inc. Contract	4/20/01
21010	Travel Claims - Lake City Service Center	4/23/01
21014	Inmate Gratuity Funds - various institutions	4/23/01
21003	Purchasing Card Program	4/25/01
21013	Inmate Gratuity Funds - various institutions	4/25/01

21012	SUNCOM Phone Usage	5/15/01
21020	Travel Claims - Orlando Service Center	6/28/01

Audit Results

The bureau views its audit mandate as an opportunity not only to identify site-specific deficiencies so that local managers can correct them, but also to ferret out system-wide weaknesses which, when addressed by management and corrected, produce long-term improvements benefiting the entire department. Highlights of system-wide improvements generated by bureau activity during the past fiscal year include the following:

Inmate Telephone Contracts

In Audit #20014, we determined that the Department did not have an effective system to verify the accuracy and completeness of inmate telephone revenue received. We also found that Sprint and MCI had not performed as required by the contract and, if remedies had been strictly enforced by the contract language, Sprint could have been liable to the Department for significant penalties. In addition, the Department's internal controls did not reasonably ensure that all telephone commission checks were properly recorded, safeguarded, and deposited in a timely manner. This, combined with late payments by contractors, cost the State of Florida approximately \$43,251 in lost interest revenue.

Management agreed with our findings, and will work to ensure that staff is trained in compliance reporting requirements and enforcement. As part of a new contract with MCI, the Department also is implementing a new process to expedite receipt of telephone commissions. Approximately \$17 million in annual commissions will be deposited electronically, generating significant new interest revenues for the State.

Performance Measures

This year the bureau began evaluating employee credentials and unit performance data used by other government audit organizations as a measure of professionalism and productivity. The bureau compared its performance with those of all other governmental audit organizations supplying data, and with a comparable audit organization that serves another large state's department of corrections. Using these measures, the FDC's Bureau of Internal Audit compared favorably with its peers:

- Sixty percent of the FDC auditors have professional certifications, compared to an average of only 46 percent of auditors in other government audit organizations, and 25 percent of auditors in a comparable state corrections internal audit organization.
- FDC auditors had an average of 16.4 years' experience, compared with 19.5 years on average for other government audit organizations, and just 8 years in the comparable corrections audit unit.
- The ratio of auditors to employees at FDC is 1:2767, compared to 1:1308 for other government audit organizations, and 1:1521 in the comparable state corrections audit unit.
- Total agency budget dollars per auditor is higher at FDC (\$163 million) than at other government agencies (\$135 million) or at the comparable corrections audit unit (\$100 million).

Operational Review/Contract Monitoring

During FY 2000-2001, Bureau staff coordinated the agency's Operational Review program under which teams of specialists inspected approximately half of all major prisons and work release centers for compliance with specific agency procedural requirements in areas such as security, technology, inmate programs and health services. As part of ongoing reorganization and cost-reductions, responsibility for the Operational Review program was transferred to regional offices in mid-2001.

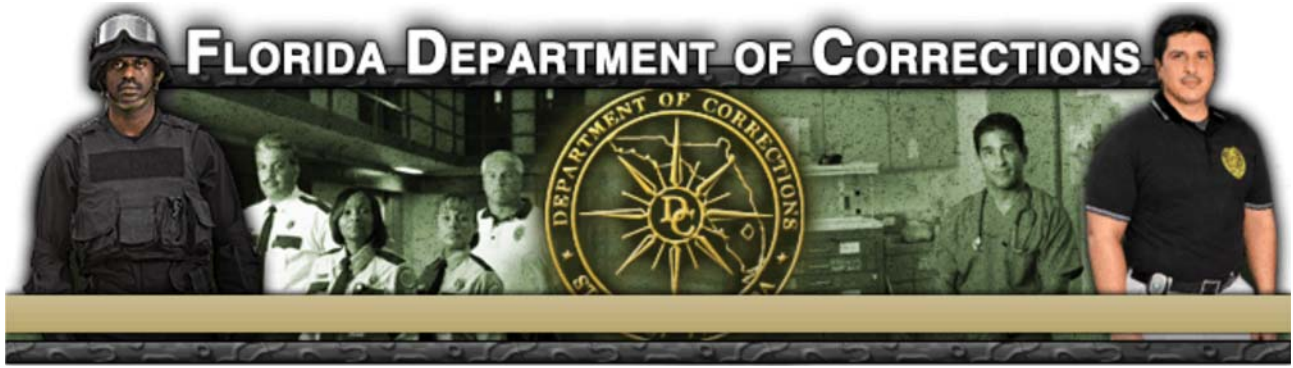
In response to recent statewide emphasis on outsourcing major operational functions such as food service and health care, the four bureau staff who previously directed Operational Reviews were given a mandate to implement a new contract monitoring program. This program will be fully implemented during the next fiscal year.

American Correctional Association

The Florida Department of Corrections is an active participant in the American Correctional Association (ACA), a

nationally recognized organization which sets standards for operation of correctional facilities. The ACA accreditation program offers an opportunity for the Florida Department of Corrections to evaluate its operations against ACA's national standards, to remedy deficiencies and enhance the quality of correctional programs and services. Within the Florida Department of Corrections, ACA accreditation activities are coordinated by the Bureau of Internal Audit's ACA coordinator. As of June 30, 2001, all of the agency's major institutions, work release centers and community corrections offices were fully accredited. A total of 22 FDC facilities were audited and accredited by the Commission on Accreditation for Corrections during FY 2000-2001.

[Privacy Policy](#) | [Accessibility](#)



***DOC Inspector General Annual Report
2000-2001***

[first](#) | [previous](#) | **5 of 6** | [next](#)



Other Activities

Association of Inspectors General

The Inspector General played an active role in the ongoing evolution of this national association which was formed in October, 1996. Fred Schuknecht was elected to the board of directors in November, 1998, subsequently was elected treasurer of the national association, and currently serves as treasurer of the Tallahassee chapter. Sharing of information among state and local inspectors general from throughout the nation is a primary benefit, as well as the association's new certification of IG's effort.

Governor's Council on Integrity and Efficiency

The Inspector General is an active member and attends the regularly scheduled meetings of Florida's inspectors general. Open communication among the IG's and the Chief Inspector General continues to enhance the effectiveness of the IG community.

Professional Audit Organizations

The Bureau of Internal Audit participates in several professional organizations, including the Audit Director's Roundtable, **Institute of Internal Auditors**, Florida Audit Forum, **Association of Certified Fraud Examiners**, and the American Association of Certified Public Accountants. These organizations promote progress and professionalism in the field through sharing of ideas and best practices.

Investigators' Roundtable

The Investigators' Roundtable brings together members of investigative units of the Inspector Generals' offices for each agency on a monthly basis to identify best practices and discuss common issues. These meetings promote progress through the sharing of ideas and best practices among state agencies.

Performance Measures

The Financial and Compliance Audit Section of the Bureau of Internal Audit is responsible for monitoring the agency's progress in developing performance measures. During FY 1998-99 the bureau assessed the reliability and validity of measures adopted by the Legislature under the 1998-1999 General Appropriations Act. A follow-up, including assessment of new measures, was conducted in 2000-01.



Goals and Organizational Enhancements

Law Enforcement Authority

- Amend Chapter 944.31 to give the Secretary authority to designate inspectors within the Office of the Inspector General as sworn law enforcement officers. Would streamline the department's criminal investigations by not having to rely on outside law enforcement agencies, particularly in the area of making arrests. Would increase the professionalism and perception of objectivity of DC investigations by having all law enforcement certified staff.

Approximately 57 of 97 inspectors would require cross-over training from correctional officer to law enforcement officer certification. This cost would be absorbed by the agency within the normal position expense allocation.

Improve Investigative Process

- Modified investigators' procedure manual to include "exonerated" as an additional category to sustained/unsubstantiated. Effective August 23, 2001.
- Improved version of investigations data system (IGLOGS) brought on-line September 17, 2001. This included access for the 52 institutional inspectors for the first time.

Contraband Interdiction Unit

- Reduced the reliance on institutional security staff that supplement interdiction operations. Having agency's own narcotic canines has made vehicle and building searches much more efficient, requiring fewer staff resources.

Contract Monitoring

- Will put into operation a new unit in the fall of 2001 to monitor the department's private vendor contracts.

Privacy Policy | Accessibility