



FLORIDA DEPARTMENT OF CORRECTIONS

INSPECTOR GENERAL'S

Annual Report

FISCAL YEAR 2010-11

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Executive Summary



Agency Background

As the nation's third-largest prison system, the Florida Department of Corrections fulfills a primary role in enhancing the safety of more than 18 million Florida residents. Through a network of 61 major prisons and 79 road prisons, work camps and community-based facilities, the Department manages incarceration and care for more than 102,000 inmates. It also supervises more than 150,000 felony offenders through 156 probation offices statewide. The agency's 27,200 employees carry out this public safety mandate 24 hours a day, 365 days a year.

Purpose of this 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 2010-11.

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 to the agency head no later than September 30 an annual report of activities during the preceding fiscal year.

This report provides departmental staff and other interested parties with an overview of the Office of the Inspector General's activities related to its mission as defined by Florida Law.

Organization/Duties

The Office of the Inspector General and its four bureaus or sections, State Investigations, Special Operations, Equal Employment Opportunity Investigative Unit and Internal Audit, perform the following functions:

1. Conduct criminal and administrative investigations, audits, and reviews relating to department operations, contracts, staff, inmates, visitors and volunteers.
2. Identify instances of fraud, abuse, and other deficiencies relating to department programs and operations; inform the Secretary of those conditions; recommend corrective action; and report on progress made in correcting deficiencies.
3. Track and direct recapture of fugitives from justice.
4. Operate contraband interdiction and inmate drug testing programs.
5. Coordinate department activities required by the Florida Whistle-blower's Act.
6. Coordinate audit and investigative efforts, and facilitate cooperation with external agencies including the Auditor General, OPPAGA, and the Florida Department of Law Enforcement.
7. Provide critical intelligence and gang information to law enforcement agencies across the state and nation.
8. Work closely with other law enforcement agencies and state's attorneys' offices to ensure timely prosecution of criminal cases.

Vision: To enhance public safety and trust within the state of Florida.

Mission: To provide leadership in the promotion of accountability and integrity of the correctional system.

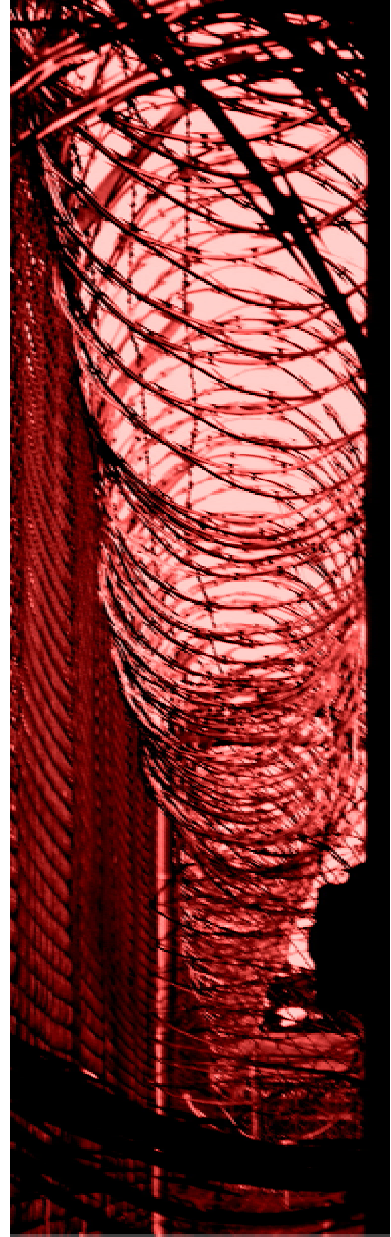
Goals: To add value to the organization by:

1. Surveying stakeholders - senior management and others - to determine expectations and needs;
2. Identifying statewide risks and threats;
3. Developing innovative solutions to mitigate those risks and threats;
4. Providing timely and pertinent information to decision makers;
5. Assessing internal controls and facilitating improvements that support the successful implementation of management's goals; and
6. Conducting timely investigations and audits that accurately represent conditions and events occurring within the agency.

Recent Accomplishments

During the last year, the Office of Inspector General (OIG) launched multiple operational improvements designed to increase efficiency and effectiveness and enhance public safety and accountability:

- Optimized the agency's use-of-force incident reporting system and review process, yielding a substantial workload reduction and cost savings to the agency.
- Initiated implementation of a streamlined case flow process and development of an electronic case management and evidence tracking system – both designed to improve compliance with documented investigative procedures.
- Began developing an investigative case management unit to triage all incident reports and ensure consistency in assignment for investigation.
- Automated the OIG correspondence tracking system.
- Assigned OIG Law Enforcement Inspectors to work jointly with the U.S. Marshall's Service on a regional task force focused on locating and recapturing fugitives and absconders.
- Assigned two inspectors to investigate financial crimes and liaison with the Internal Revenue Service.
- Initiated creation of a Field Training Officer program for newly hired OIG inspectors.
- Created a hotline for reporting *Fraud, Waste and Misuse* of agency funds.
- Created a training bureau within the OIG to enhance inspectors' capabilities as well as to facilitate their compliance with criminal justice training and certification requirements.
- Implemented a re-entry program, developed by the Security Threat Group Unit, to assist former gang members with their reintegration into society.
- Began reporting arrest information to the FBI Uniform Crime Reporting (UCR) system.
- Significantly reduced processing times for staff arrest and administrative case investigations, thereby facilitating more timely corrective action.





Specific Areas of Responsibility

Primary services provided by the Office of Inspector General include the following:

1. OIG facilitates an **automated management information network** that keeps designated key managers informed of events as they occur at correctional facilities throughout the state. This information network:
 - Provides an incident/event reporting system for all areas of the department, enabling early identification of problems and timely allocation of investigative and corrective resources.
 - Collects statewide data for use by key correctional managers in developing strategies to address areas of concern.
 - Provides timely flow of information to management and, through the Public Information Office, to the public.
 - Leads agency efforts to maintain cooperative working relationships with the Department of Law Enforcement and other law enforcement agencies.
2. **OIG certified law enforcement and correctional inspectors** conduct criminal and administrative investigations inside state correctional facilities. Inspectors:
 - Investigate felonies in state correctional facilities and coordinate with other law enforcement agencies including prosecution through State Attorneys offices.
 - Conduct administrative investigations into allegations of misconduct by staff and/or offenders in state correctional facilities, and coordinate these investigations with appropriate departmental staff.

Organization/Duties

3. **OIG Intelligence Unit and Contraband Interdiction teams** assist the Office of Institutions in providing a safe environment for employees, inmates, and visitors by deterring the introduction of weapons, cell phones, narcotics and other contraband into correctional facilities. Interdiction teams:

- Conduct unannounced interdiction operations in both state and private correctional facilities.
- Review contraband control processes at state correctional facilities for compliance with department policy and procedure.

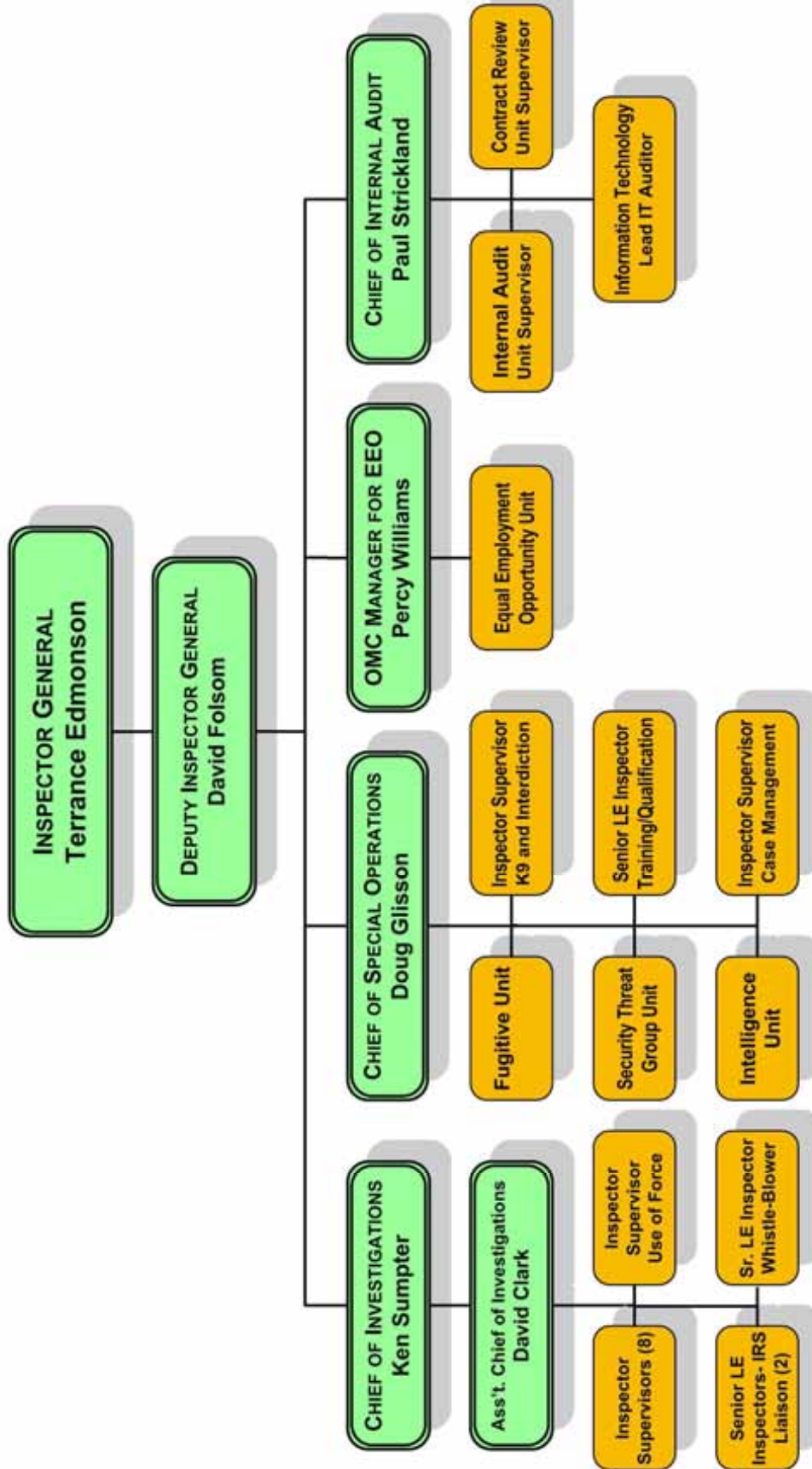


4. **OIG auditors** assess the efficiency and effectiveness of agency programs and associated controls, measure compliance with laws and procedures, and serve to deter waste, fraud and abuse of agency resources. Auditors:



- Conduct compliance and performance audits in accordance with professional auditing standards.
- Assist inspectors with investigations involving waste, fraud, 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 audits and reviews completed by those offices.
- Conduct contract management reviews which enhance accountability and oversight over the department's contracts for goods and services.

OFFICE OF THE INSPECTOR GENERAL



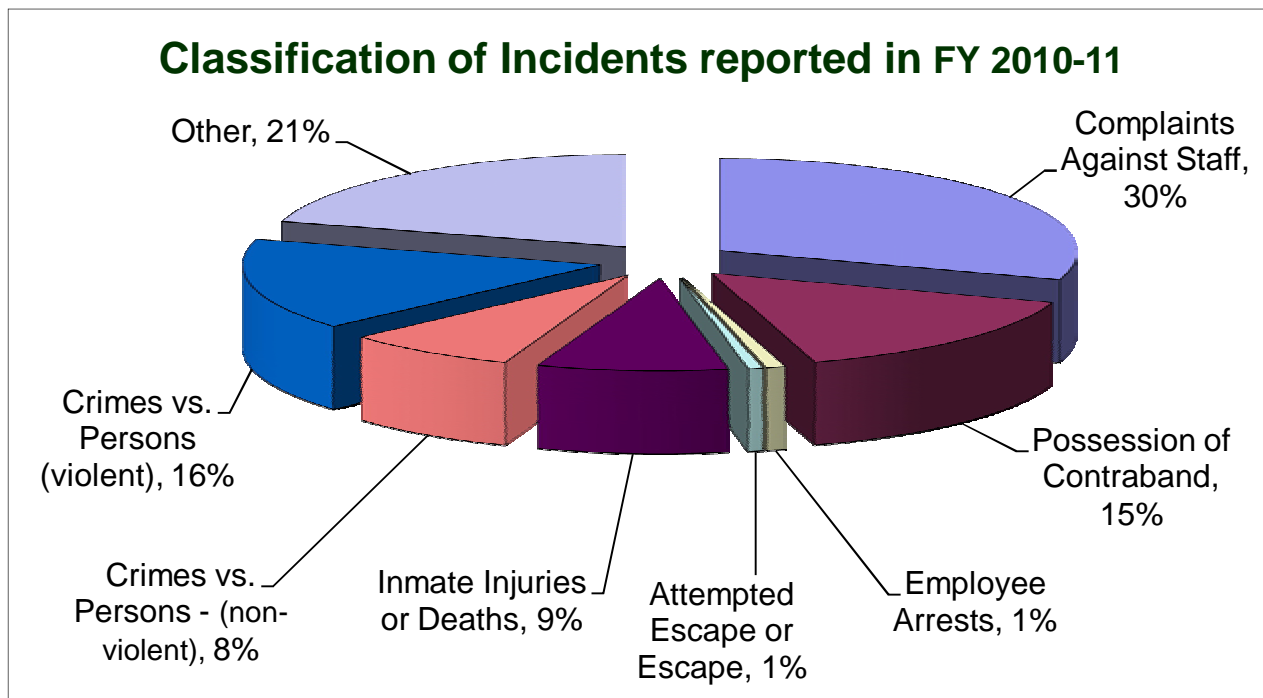
Bureau of State Investigations

The Bureau of State Investigations is responsible for conducting criminal, administrative and internal affairs investigations, and serves as the final reviewing authority for all use-of-force incidents.

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.

More than 38,000 incidents were reported to the Inspector General's Office during Fiscal Year 2010-11.



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

- Complaints against staff, including improper conduct, alleged excessive force, and staff/offender relationships (30%)
- Crimes vs. persons (violent), including battery on a law enforcement officer, battery on another inmate, sexual battery, and possession of a weapon (16%)
- Possession or recovery of contraband (15%)
- Inmate injuries or deaths, including suicide, suicide attempts, homicides, natural deaths, accidental deaths and injuries (9%)

Bureau of State Investigations

Classification of Incident	Number
Complaints Against Staff	11,663
Other (Including Tax Fraud, Discrimination)	7,961
Crimes vs. Persons (Violent)	6,238
Recovery/Possession of Contraband	5,928
Inmate Injuries or Death	3,338
Crimes vs. Persons - Property (Non-Violent)	3,027
Employee Arrests	340
Escape / Attempted Escape	260

Of the above reported incidents, 5,196 were assigned to inspectors for official investigation as indicated in the chart below. One of every six cases assigned – approximately 863 – was classified as criminal. The remaining cases were assigned for administrative investigation.

Field Office	Senior Inspectors	Institutional Inspectors	Total
Region I	408	903	1,311
Region II	402	1,626	2,028
Region III	260	550	810
Region IV	485	562	1,047
TOTAL	1,555	3,641	5,196

Bureau of State Investigations

Use-of-Force Unit

Established in 1999, the Use-of-Force Unit is charged with reviewing all incidents of physical force at state correctional facilities, along with those involving probation and parole officers, to ensure compliance with established rules, procedures and statutes.

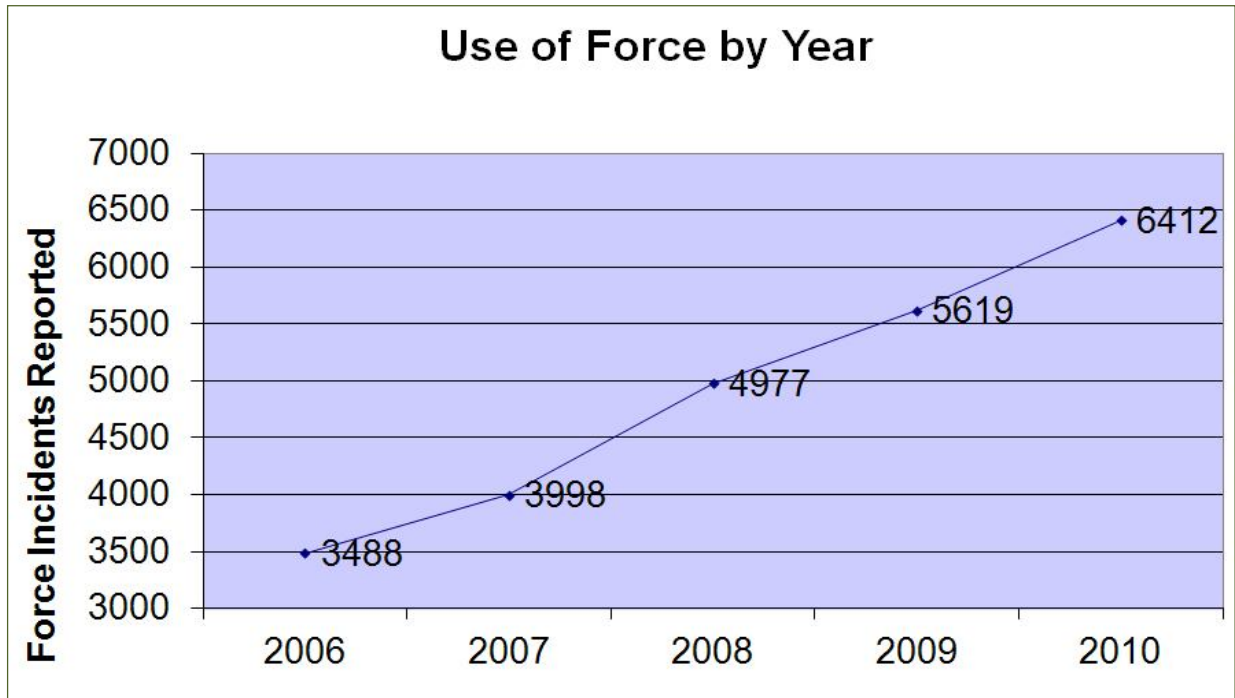
To accomplish this mission, the unit independently reviews and evaluates all force incident reports, associated documents and videotapes as required from each correctional facility or office. Evidence indicating possible procedural violations, inmate abuse, excessive/ improper/ unauthorized force, or battery by staff is referred to the Bureau of State Investigations and an internal investigation is conducted.

The use-of-force database was enhanced to notify management of employee involvement in multiple use-of-force incidents. Uses of force are classified as major incidents whenever weapons, the chemical agent "CS", or Electronic Restraint Devices are used; when force is used in a cell extraction; or when outside medical treatment is required for employees or inmates as a result of use of force. Other physical contact with inmates, including use of the chemical agent "OC", is classified as minor. The following chart reflects force incidents reported to the Unit in FY 2010-11.

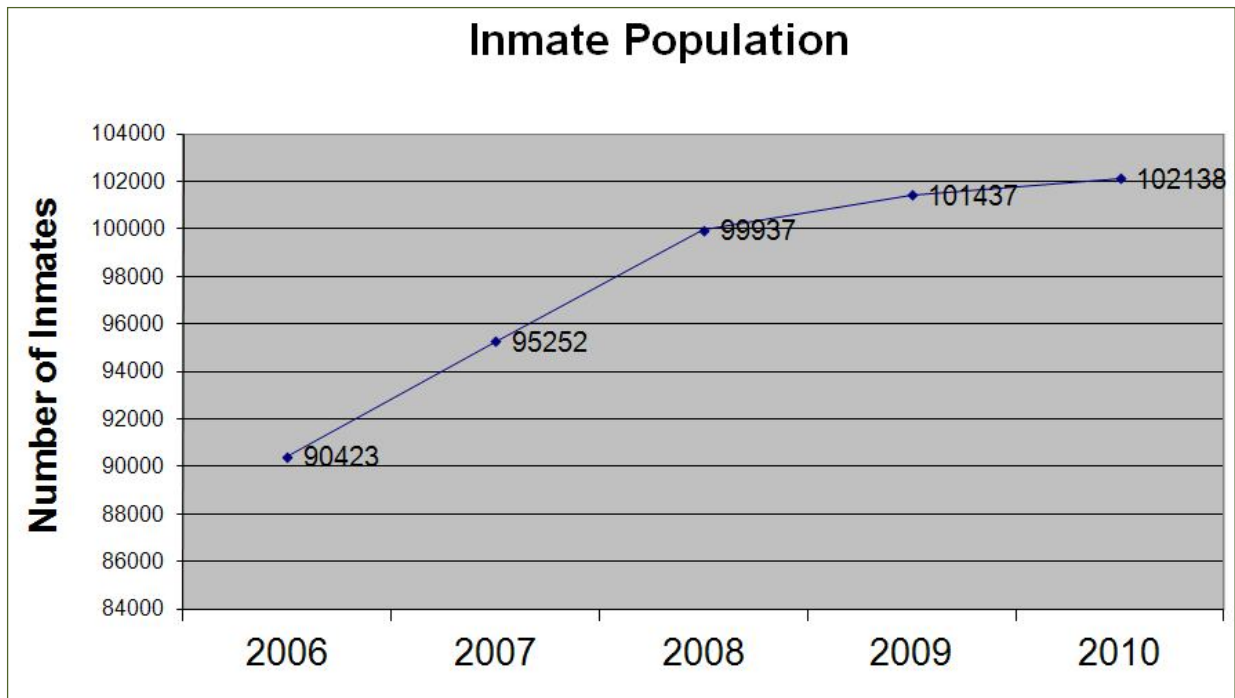
Classification	Reason Force Was Used	Number
27A	Self Defense	768
27B	Escape/Recapture	2
27C	Prevent Escape During Transport	1
27D	Prevent Property Damage	25
27E	Quell a Disturbance	1,862
27F	Physical Resistance to a Lawful Command	2,094
27G	Prevent Suicide	685
27H	Restrain Inmate for Medical Treatment	53
27I	Cell Extraction	244
27J	Mental Health Restraint	434
27K	Probation & Parole Handcuffing	0
27O	Other	43
TOTAL		6,212

Bureau of State Investigations

The number of force incidents reported by the Department's correctional staff has increased significantly since 2006, rising more than 80 percent in five years.



As illustrated by the charts on this page, force incidents rose more rapidly than the inmate population, which was up approximately 13 percent in the same period.



Bureau of Special Operations

The Special Operations Section coordinates the agency's inmate drug testing program, Contraband Interdiction/Narcotic Canine Unit, Corrections Intelligence Unit, "Prison Tips" hotline, Fugitive Unit, and Security Threat Group (gang) Unit.



Corrections Intelligence Unit

The Corrections Intelligence Unit collects, analyzes, and disseminates data and investigative information in support of the Bureau of State Investigations and institutional security staff. It also researches data related to Homeland Security issues and works closely with other local, state, and federal law enforcement agencies. It has generated multiple intelligence reports that were shared at the national level, including "Classified" level reporting. Two Unit members are FDLE-certified crime analysts.

The Unit represents the Department of Corrections at the Florida Fusion Center, a statewide collaborative intelligence project focused on timely development and sharing of information. It also serves as primary point of contact for the Corrections Intelligence Initiative, a joint FBI project designed to deter radicalization of prison inmates and to detect domestic security threats among the prison population.

Fugitive Unit

Established in 2007, the Fugitive Unit helps protect citizens by locating and coordinating the arrest of fugitives from the Department of Corrections. The Unit:

- Tracks "cold-case" fugitives in an effort to return felons to Department of Corrections' custody. Coordinates with other law enforcement agencies that can assist in recapture efforts.
- Assists other law enforcement agencies (national and international) in their investigations involving escaped or released inmates.
- Monitors escape statistics to identify trends by institution, and to identify and eliminate possible security weaknesses.



The Fugitive Unit locates fugitives from justice by using multiple sources and methods to develop a link to the individual being sought. The Unit then works with law enforcement agencies in the targeted area to capture the fugitive in the safest possible manner. During FY 2010-11, the Unit assisted in the return of 173 fugitives to the custody of the State of Florida. Since 2007, the Unit has facilitated 767 recaptures.

Contraband Interdiction/Narcotic Canine Unit

Contraband Interdiction provides a safer environment for employees, inmates and visitors at state correctional facilities by detecting and discouraging the introduction of contraband such as weapons, cell phones and narcotics. Interdiction staff conducts unannounced contraband searches with assistance from certified Narcotic Canine Teams. During the interdictions, employees, visitors, volunteers, inmates, vehicles and facility grounds are searched for contraband. Individuals also are subject to inspection using a chemical detection device which employs advanced “Ion Mobility Spectrometry” technology to detect traces of illegal drugs. Random interdiction operations and canine sweeps are conducted at all Department facilities.

The Inspector General’s office operates 20 full-time canine teams located strategically around the state. The teams participate in interdiction and search operations at prisons and other facilities statewide. The canine teams also work closely with institutional inspectors and provide investigative support.

Bureau of Special Operations

The following chart summarizes arrests and seizures generated by the Inspector General's canine teams and interdiction operations during Fiscal Year 2010-11.

Interdiction/Canine Team Operations	FY 2010-11
Arrests:	
Employees	3
Visitors	59
Inmates	33
Contraband Seized:	
Alcohol (gallons)	
commercial	34
homemade	167
Drugs (grams)	
marijuana	5,138
cocaine	303
other	283
prescription drugs (each)	364
Weapons, Cell Phones, Money	
firearms (in vehicles on state property)	31
ammunition (rounds, in vehicles)	3,525
knives/sharps (entering or inside institution)	216
cell phones or parts/accessories	487
cash (excessive or contraband)	\$17,206
Ion Scans (drug screening tests):	
employees	815
visitors	1,507
inmates	459

Bureau of Special Operations

Inmate Drug Testing Program

Special Operations staff manages selection, testing procedures and results analysis for inmate drug testing statewide. This responsibility also encompasses projecting and ordering testing supplies, certifying staff to perform the tests, contract monitoring and ensuring program compliance.

The chart below summarizes drug test results for Fiscal Year 2010-11.

Inmate Drug Tests Conducted during FY 2010-11						
Reason for Test	Total Selected	Not Tested	Valid Tests	Negative Tests	Positive Tests	Percent Positive
Random	75,118	1,966	72,554	71,225	1,329	1.83%
For Cause	5,116	10	4,860	3,918	942	19.38%
In Drug Treatment	51,888	607	51,234	51,173	61	0.12%
TOTAL	132,122	2,583	128,648	126,316	2,332	1.81%

Prison TIPS

Special Operations staff oversees the prison "TIPS" line, which received more than 5,800 calls during FY 2010-11. Phone calls made to the "TIPS" line are reviewed daily and the information provided is used to collect criminal intelligence on unsolved or ongoing criminal activity, both inside and outside the Department. Inmates, probationers or any other callers that may have knowledge of this type of activity can use "TIPS" as an anonymous method to provide this information.

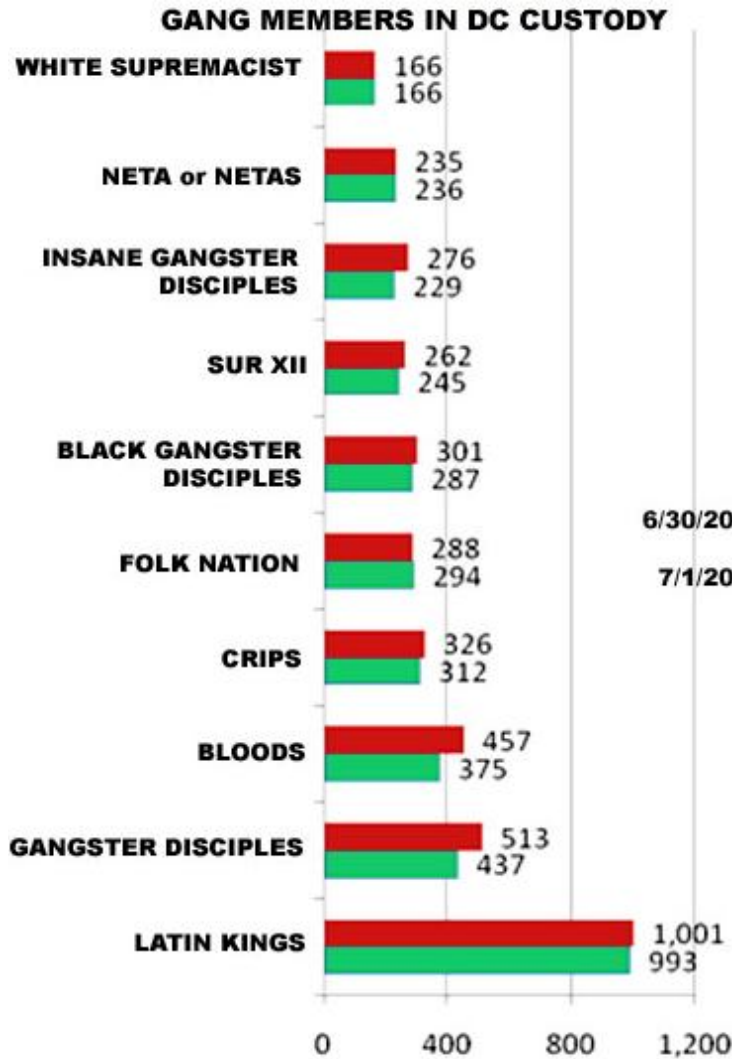
The "TIPS" line can be accessed from inmate phones within all Department facilities or by a toll-free number (1-866-246-4412) from phones outside the facilities. Information provided by callers is reviewed and forwarded to the appropriate Department staff or to the law enforcement agency having jurisdiction over the reported activity.

Each caller has the option of establishing a voice mailbox, accessed by a unique pass code, which is provided upon the caller's request. This provides a mechanism to exchange messages and information between the caller and the Inspector General's Office on the status of the information provided and related actions.

Security Threat Group Unit

The Inspector General’s Security Threat Group (STG) Unit collects, analyzes and distributes intelligence related to criminal gang activity both within and outside the state correctional system. The STG Unit assists institutional staff by reviewing gang-related incidents as they occur in prison settings, and making recommendations for relocating or restricting inmates based on their role in the incident.

As of June 30, 2011, 8,061 of the Department’s 102,319 inmates (8 percent) were confirmed gang members. This represents an increase of 0.67% from June 30, 2010. Another 1,899 of the Department’s probationers have been identified as gang members. One or more gang members are sentenced to DC custody from each of Florida’s 67 counties. As shown in the chart below, the most prevalent gang in Department custody is the Latin Kings, followed by Gangster Disciples.





STG (continued)

During the last fiscal year, the STG unit sent out more than 3,000 notices to Florida law enforcement agencies, informing them of pending releases of gang members from Department custody back into their communities.

The Unit notifies other law enforcement agencies monthly of gang members who are serving terms of probation in their jurisdictions.

During the past year, the STG unit presented information on Florida gang activity to the Florida Gang Investigators Association Conference, Florida A&M University, U.S. Attorney's "New Faces of Gangs" Workshop and at training workshops for DC staff.

The Unit also developed a re-entry program to assist gang members with their reintegration into society, and transition to non-gang support groups.



Bureau of Internal Audit

Mission

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

Goals

The Bureau's primary purpose is to proactively assist management in successfully completing the Department's mission and protecting its resources. Toward that end, we have four key goals:

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

Bureau Organization and Responsibilities

The Bureau of Internal Audit comprises three sections: Audit, Information Technology and Contract Review. These sections report to the Bureau Chief, a Certified Internal Auditor who functions as the Director of Auditing. The Bureau conducts compliance, performance and information technology audits and contract reviews per Section 20.055, Florida Statutes. Audits are conducted in accordance with the current *International Standards for the Professional Practice of Internal Auditing* published by the Institute of Internal Auditors.

Compliance/Performance Audit Section

This section employs an audit supervisor and five auditors. Staff includes two Certified Government Audit Professionals (CGAP), a Certified Public Accountant (CPA) and a Certified Fraud Examiner (CFE).

Information Technology Audit Section

This audit section is staffed by a Certified Information Systems Auditor (CISA) and certified security specialist, who conducts information technology audits and reviews and provides technical and forensic support for audits, contract reviews and investigations.

During FY 2010-11, the two sections completed 8 audits, 4 follow-up audits, and 2 special reviews. The compliance, performance and information technology audit reports are listed by issue date on the following page.

Bureau of Internal Audit

PROJECT #	PROJECT TITLE	DATE ISSUED
R10020	Quality Assessment Review	8/6/2010
A10029	Audit of Inmate Count Procedures	10/6/2010
A11003F	Follow-up of Auditor General Report #2010-147 (Payments)	10/6/2010
A10027	Audit of Inmate Canteen Operations - Keefe Contract C2562	11/4/2010
A11007	Inmate Release Gratuity Fund Audit - Region IV	11/19/2010
A10010	Employee Benefit Trust Fund	12/3/2010
A11005F	Follow-up of DC Information Technology Help Desk Audit	2/1/2011
A11002	Audit of Employee Travel Claims - Community Corrections	2/23/2011
A11014	Enterprise Audit of Organizational Ethics	4/13/2011
R11013	Review of OIG Storage of Investigative Evidence	4/14/2011
A10026	Central Office LAN/CDC Perimeter Security Audit	4/21/2011
A11010F	Follow-up of Security Threat Management Program Audit	5/20/2011
A11008	Audit of Offender Supervision	5/27/2011
A11018F	Follow-up of Auditor General Report #2011-069 (Payroll, etc.)	6/22/2011

Bureau Reports with System-Wide Impact

The Bureau views its audit/contract review mandate as an opportunity to not only identify site specific deficiencies and problems with a statewide impact, but also to identify areas that are well designed and are meeting management's goals. Reports with statewide impact conducted by the Bureau in FY 2010-11 included the following:

➤ **Employee Benefit Trust Fund (EBTF) Audit – A10010**

Since 2006, accountability over EBTF activities has improved in that teams have been established to provide oversight and the EBTF operation has been standardized among all locations; however, we identified issues, that when addressed, should further enhance the accountability, as well as strengthen the internal controls, for the EBTF activities. Audit findings included the following:

- Controls over the Central Office EBTF Cash Receipts needed strengthening.
- The Central Office EBTF team designee did not sign each Employee Benefit Trust Fund Expenditure Request, DC2-354, when submitted for approval.

Bureau of Internal Audit

- Documentation retained by the Bureau of Finance and Accounting for checks issued did not always contain a signature indicating proof of delivery.
- EBTF Expenditure Check Requests were not cancelled upon payment.
- Central EBTF did not offset all administrative costs associated with the EBTF as provided by Florida Administrative Code 322-203.601.

➤ **Central Office LAN/CDC Perimeter Security Audit – A10026**

The agency's LAN security governance and practices in most areas were found to be compliant with applicable Florida Administrative Code and the National Institute of Standards and Technology guidelines. However, the audit identified several critical security weaknesses requiring management's attention. In accordance with Section 282.318, Florida Statutes, Enterprise Security of Data and Information Technology, the results of this audit are confidential and exempt from disclosure.

➤ **Audit of Inmate Count Procedures – A10029**

Overall, inmate count procedures are being followed and efforts made are consistent with the Department mission of protecting the public by providing a safe and secure corrections system; and internal controls exist to adequately detect, deter, and prevent fraud. However, one issue relating to formal count slips was identified and brought to the attention of Office of Institutions staff. Corrective action was implemented during the fieldwork phase of the audit.



➤ **Inmate Release Gratuity Fund Audit – Region IV – A11007**

The audit revealed that the inmate release gratuities on hand were properly stated and cash receipts and disbursements were made in accordance with DC Procedure 203.005. In addition, administrative and physical controls were in place to adequately safeguard the Inmate Release Gratuity Fund at the institutions visited.

Bureau of Internal Audit

Contract Management Review Section

The Contract Management Review (CMR) Section employs an audit supervisor and two auditors. Staff includes a Certified Internal Auditor (CIA).

The Contract Management Review and other reviews and follow-ups completed in FY2010-11 involved re-entry, work squad and medical contracts.

The CMR review of the statewide work squad contract between DC and the Department of Transportation found that overall, service was provided as required by the contract. However, weaknesses were found with monitoring and background checks.

Several follow-ups were conducted on re-entry programs. As a result of deficiencies identified in the initial reviews, management and vendors implemented various corrective actions which helped to improve DC's contract management. For example, contractors discontinued unauthorized charges to inmates in re-entry programs, inmates and offenders were reimbursed for overpayments to vendors, and subsistence calculations were simplified to reduce the chance of overbilling. Some contracts now include language which requires vendors to provide a corrective action plan in response to CPA audits of trust accounts.

The section performed three reviews and one inquiry as a result of complaints concerning DC contracts. CMR projects completed in FY 2010-11 are listed below.

PROJECT #	PROJECT TITLE	DATE ISSUED
CMR 10-008	Department of Transportation Work Squad	9/8/2010
CMR 10-007F	Bridges of America--Pompano Follow-Up	12/3/2010
R 11-004	Re-Entry Center of Ocala	2/15/2011
I 11-007	Prison Optometric Services	3/16/2011
R 11-003	Transition House, Inc – Inmate Labor Complaint	4/7/2011
R 11-002	Transition House, Inc – Vendor Service Complaint	4/13/2011
CMR 11-006F	Non-Secure Programs Inc--Ocala Follow-up	4/20/2011
CMR 11-005F	Non-Secure Programs Inc--Tallahassee Follow-up	5/11/2011
CMR 10-008F	Bridges of America--Broward Follow-Up	5/12/2011

Equal Employment Opportunity Investigative Unit



EEO Investigative Unit

The Inspector General's Equal Employment Opportunity (EEO) Investigative Unit is responsible for examining alleged violations of Title VII of the Civil Rights Act, Florida Administrative Code Chapter 60L-36.004, and Chapter 110 of the Florida Statutes.

EEO complaints are received through several channels, including the Department's internal complaint procedure and those received from the Florida Commission on Human Relations and Equal Employment Opportunity Commission.

The EEO Investigative Unit is staffed by a supervisor and three senior inspectors, and is charged with ensuring that all complaints are fully investigated and the results are reported for appropriate action. The Unit investigated 140 EEO complaints during Fiscal Year 2010-11

