

# Florida Department of Law Enforcement

Annual Report To The Commissioner

## Summary Of Office Of Inspector General Activities

For Fiscal Year 2012-2013

AL DENNIS  
INSPECTOR GENERAL

SEPTEMBER 30, 2013



Florida Department of  
Law Enforcement



Gerald M. Bailey  
*Commissioner*

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Rick Scott, *Governor*  
Pam Bondi, *Attorney General*  
Jeff Atwater, *Chief Financial Officer*  
Adam Putnam, *Commissioner of Agriculture*

September 30, 2013

MEMORANDUM

TO:  Commissioner Gerald M. Bailey  
FROM: Inspector General Al Dennis   
SUBJECT: Statutorily Required Annual Activity Report

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Attached is a brief summary of the Office of Inspector General's (OIG) activities for fiscal year 2012-2013. This report has been prepared pursuant to Section 20.055 (7), Florida Statutes. The content of the report is a product of the guidelines established by this section of the statutes. Upon your approval, copies of the report will be provided to the Chief Inspector General and the Auditor General.

If you would like more information, please contact me or Director of Auditing Lourdes Howell-Thomas at 410-7241.

ALD/Iht

cc: Melinda Miguel, Chief Inspector General  
David W. Martin, Auditor General

# Florida Department of Law Enforcement Office of Inspector General Annual Report for Fiscal Year 2012-2013

## Introduction

### Mission

It is the mission of the Office of Inspector General (OIG) to assist the Department of Law Enforcement by providing timely and professional auditing, investigative, technical and review services; assessment of management functions, and the promotion of integrity, economy, efficiency and effectiveness of departmental programs, services and activities.

### Background

Section 20.055(2), Florida Statutes (F.S.), establishes the OIG “to provide a central point for coordination of and responsibility for activities that promote accountability, integrity, and efficiency in government.” It further defines the OIG’s duties and responsibilities as:

- ◆ Advise in the development of performance measures, standards, and procedures;
- ◆ Assess the reliability and validity of the information provided on performance measures and standards, and make recommendations for improvement;
- ◆ Review the actions taken to improve program performance and meet program standards, and make recommendations for improvement;
- ◆ Supervise and coordinate audits, investigations, and management reviews;
- ◆ Conduct, supervise, and coordinate activities that promote economy and efficiency, and prevent and detect fraud and abuse in programs and operations;
- ◆ Keep the agency head informed concerning fraud, abuses and deficiencies relating to programs and operations;
- ◆ Recommend corrective actions regarding fraud, abuses and deficiencies, and report on the progress of implementing corrective actions;
- ◆ Ensure that an appropriate balance is maintained between audit, investigative, and other accountability activities;
- ◆ Ensure effective coordination and cooperation between external auditors to avoid duplication;
- ◆ Review rules relating to the programs and operations of the agency and make recommendations regarding their impact.

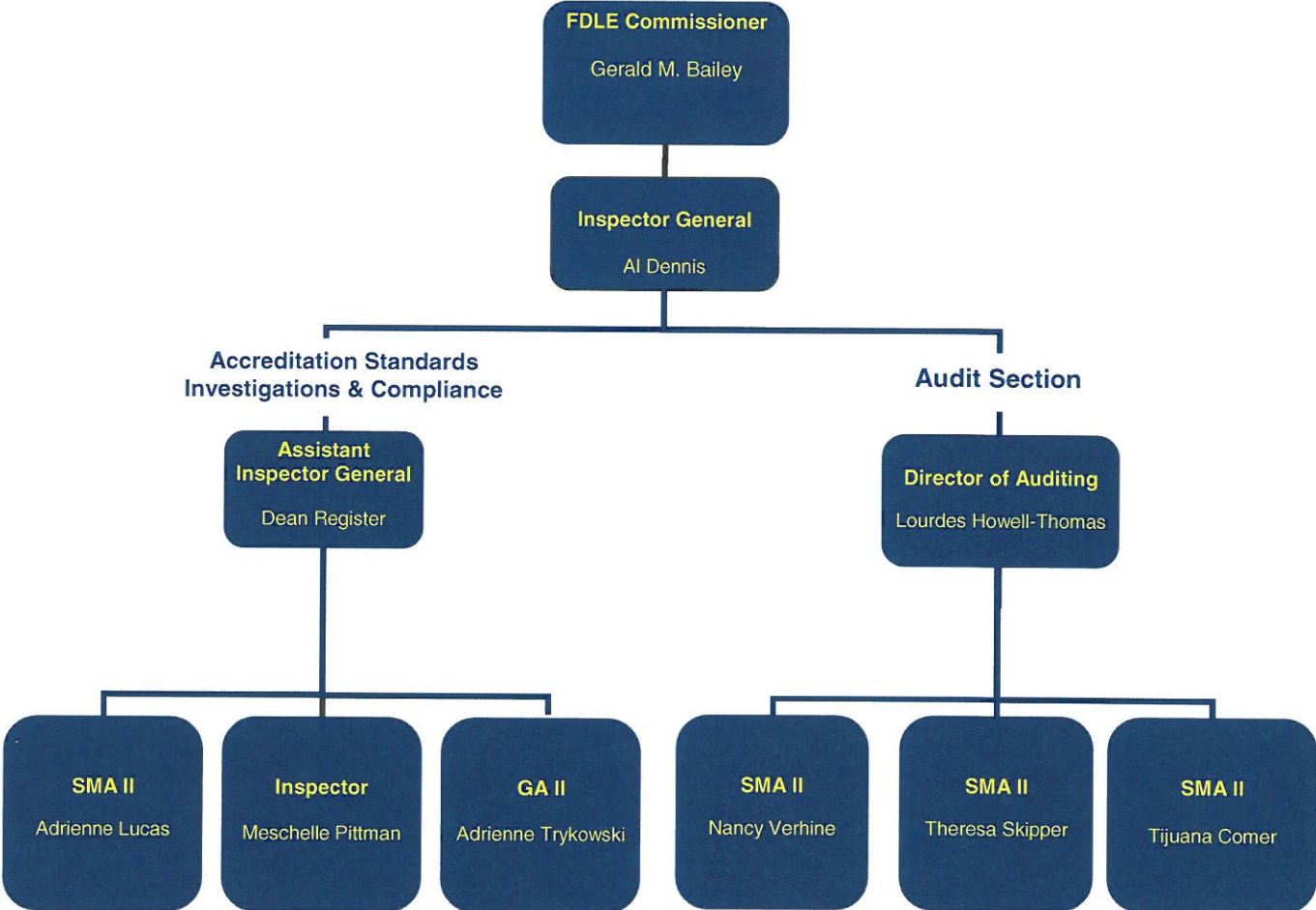
## Office of Inspector General

The OIG is under the direction of Inspector General Al Dennis, who reports directly to Commissioner Gerald M. Bailey. As of June 30, 2013, the OIG was comprised of nine positions. All members assigned to the OIG are organizationally independent of other Department entities/programs subject to audit, evaluation and investigation. The OIG is comprised of two sections: the Audit Section and the Accreditation Standards, Investigations and Compliance Section.

The **Audit Section** provides independent, objective assurance, and consulting services designed to add value and improve the Department's operations, and coordinates activities with the external auditors. This section is supervised by Director of Auditing Lourdes Howell-Thomas. The section consists of three Senior Management Analyst II positions who conduct audits, management reviews, and special projects. Audits are conducted in accordance with the Generally Accepted Government Auditing Standards (GAGAS).

The **Accreditation Standards, Investigations and Compliance Section** is supervised by Assistant Inspector General Dean Register, who makes Whistleblower determinations, conducts investigations in accordance with the Association of Inspectors General (AIG) Principles and Standards for Offices of Inspector General (Green Book), and oversees state and national accreditation. This section consists of a Government Analyst II and an Inspector who conduct staff inspections, special projects, and tracks/coordinates responses to customer service/citizen complaints; and a Senior Management Analyst II who coordinates FDLE's state and national accreditation efforts.

# Office of Inspector General



## Training and Certifications

OIG staff members must participate in continuing education. Auditors must have 80 hours every 2 years per GAGAS, Accreditation Managers must have refresher training every 3 years, and sworn members must attend 40 hours of training every four years as prescribed for law enforcement certification.

OIG members hold the following 12 certifications:

- ◆ Certified Inspector General – CIG (2)
- ◆ Certified Internal Auditor – CIA
- ◆ Project Management Professional – PMP
- ◆ Certified CALEA<sup>1</sup> Assessor
- ◆ CALEA Accreditation Manager (2)
- ◆ Certified CFA<sup>2</sup> Assessor (2)
- ◆ CFA Accreditation Manager (3)
- ◆ Certified Instructor (3)
- ◆ Florida Certified Law Enforcement Analyst (2)
- ◆ Certified Government Auditing Professional - CGAP
- ◆ Certified Law Enforcement Officer (3)
- ◆ Certified Crime Prevention Practitioner

During the 2012-2013 fiscal year, the Assistant Inspector General attended the Association of Inspectors General Institute and became a Certified Inspector General. The OIG will receive two more certifications during the 2013-2014 fiscal year.

Members of the OIG are associated with the following organizations:

- ◆ National Association of Inspectors General
- ◆ Florida Chapter of the Association of Inspectors General
- ◆ The Institute of Internal Auditors, Inc.
- ◆ Tallahassee Chapter of the Institute of Internal Auditors, Inc.
- ◆ Project Management Institute

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<sup>1</sup> Commission on Accreditation for Law Enforcement Agencies

<sup>2</sup> Commission for Florida Law Enforcement Accreditation

## OIG Responsibilities

During the 2012-2013 fiscal year, the **OIG** was responsible for:

- ◆ Performance, compliance, financial-related, and electronic data processing audits conducted in accordance with GAGAS (Yellow Book) and the AIG Green Book;
- ◆ Management reviews and special projects;
- ◆ Liaison with Office of Auditor General (OAG), Office of Program Policy Analysis and Government Accountability (OPPAGA), and other external auditors to coordinate activity for the Department;
- ◆ Performance measurement - advise on and assess performance measures;
- ◆ Customer service - coordination and tracking of complaints per Florida Customer Service Standards Act (Section 23.30, F. S.);
- ◆ Legislative bill analysis for OIG issues;
- ◆ Reporting on major audit findings and recommendations for inclusion in the Department's Legislative Budget Request;
- ◆ Participating on Department Safety Committee & annual updating of the OIG Continuity of Operations Plan;
- ◆ Providing quarterly reports to the Executive Office of the Governor Office of the Chief Inspector General (CIG) on the activities of the OIG;
- ◆ Conducting a risk assessment of the Department;
- ◆ Developing annual plans and annual reports as required by Section 20.055, F.S.;
- ◆ Review of single audit reports for six state projects;
- ◆ Coordination of FDLE's state, national, and OIG accreditation efforts;
- ◆ Conducting CALEA and CFA assessments for external agencies as part of a team;
- ◆ Conducting investigations following the AIG Green Book;
- ◆ Receiving complaints and coordinating activities regarding Whistle-blower determination per Sections 112.3187 -112.31895, F.S.;
- ◆ Providing technical and investigative assistance to the CIG and external agencies.
- ◆ Hosting training courses for the Association of Inspectors General, Institute of Internal Auditors, and Association of Government Accountants among other organizations;
- ◆ Continuing to host the quarterly meetings in partnership with the Chief Inspector General, FBI, agency inspectors general, and other federal and state agency partners to discuss common audit and investigative interests; and
- ◆ Collaborating with agency inspectors general, CIG, and audit directors in the performance of an enterprise risk assessment. Currently participating on the Enterprise Background Screening project, and Enterprise Computer Security Incident Response Teams project.

## Summary of Projects Completed / Active during 2012-2013

Audits are conducted in accordance with GAGAS (Yellow Book) published by the United States Government Accountability Office. The Audit and Investigative Sections follow the AIG Green Book insofar as they do not conflict with statute, regulation, executive order, or other policy of this office. The following briefly summarizes the OIG activities completed and/or coordinated during the 2012-2013 fiscal year.

### AUDITS

#### **IG-0016: Credit Cards Audit**

**September 2012**

An audit of the American Express Credit Cards was conducted to ensure compliance with policies and procedures, and compliance with the American Express contract. The audit also identified internal controls weaknesses and opportunities for improvement.

The audit found that:

- ◆ Members that process travel shared a user ID and password to view information on the American Express @ Work site.
- ◆ American Express Cards were issued to a non-member and an Other Personal Services (OPS) member.
- ◆ Members charged personal expenses to their state issued credit card.
- ◆ Members did not reimburse FDLE in a timely manner as required when using their card to pay for airline and car rental charges when traveling for the federal government or other agencies.
- ◆ Eleven of the twelve (92%) monthly payments to American Express did not cover 85% of the current charges as required by the contract. In addition, some charges took more than 60 days to reconcile.
- ◆ Twenty of the 634 (3%) American Express Cards had some type of error with the account holder's name.
- ◆ Seven of the 634 (1%) American Express cardholders were terminated members.
- ◆ Fourteen of the sixty-two (23%) line inspections sampled demonstrated that supervisors and/or the members were unaware they were issued an American Express Card.

Management agreed with all findings and recommendations. Corrective actions have been implemented on five of the eight findings.



**IG-0028: DAVID Audit**

**October 2012**

FDLE entered into a Memorandum of Understanding (MOU) with the Department of Highway Safety and Motor Vehicles (DHSMV) to maintain access to the Driver And Vehicle Information Database (DAVID) system. The FDLE OIG conducted an audit of the DAVID system to ensure compliance with the terms and conditions of the MOU, determine the adequacy of internal controls and customer service provided, and to identify efficiencies and/or cost saving measures.

The specific details of the findings and recommendations were provided to management but are not disclosed in this report due the confidential subject matter.

Management agreed with the findings and recommendations. Corrective actions are being implemented.

**IG-0036: Capitol Police Background Investigations Audit**

**November 2011**

This audit focused on background investigations conducted by Capitol Police. The objectives were to determine compliance with policies and procedures, determine whether controls are in place to mitigate risks, and identify opportunities for improving efficiency. No adverse findings or issues were identified.

**IG-0037: Audit of FDLE's IRM COOP and DRP**

**June 2013**

An audit of the Information Resource Management (IRM) Continuity of Operations Plan (COOP) and Disaster Recovery Plan was scheduled as part of the Office of Inspector General's annual audit plan. However, during the survey phase of this audit, it was determined that even though IRM had a COOP, no testing or mock disaster exercises had been conducted for this plan. To determine why these tests were not conducted, a review of the COOP process for the overall agency was conducted.

The specific details of the findings and recommendations were provided to management but are not disclosed in this report due the confidential subject matter.

Management agreed with the findings and recommendations. Corrective actions are being implemented.

**Open Audit Findings**

There are no significant recommendations described in previous annual reports from entities such as FDLE OIG, OPPAGA, and the Office of the Auditor General for which corrective actions have not been implemented.

## MANAGEMENT REVIEWS

### **IG-0042: Social Media**

**May 2013**

At management's request, the OIG reviewed FDLE's social media policy to ensure compliance with Florida public records laws. The review assessed additional areas associated with the overseeing and monitoring of social media. Some of the suggestions included in the report are:

- ◆ Revise FDLE's Policy #2.3, Use of Social Media, and Policy #2.4 *Records Management, Storage & Retention* to include language to improve the effectiveness of social media administration.
- ◆ Train members tasked with the administration of social media to include topics such as public records retention and security awareness.
- ◆ Consider posting additional Department background information to enhance public awareness.
- ◆ Conduct regular social media assessments to ensure an accurate inventory of all FDLE social media accounts.

Management agreed with nine of the eleven suggestions. Corrective actions are being implemented.

### **IG-0045: Online Training**

**Active**

At management's request, the OIG started a review of the efficiency of FDLE's online training to include student registration, curricula, and training delivery.

Results of this review will be included in the fiscal year 2013-2014 annual report.

## SPECIAL PROJECTS / ATTESTATION ENGAGEMENTS

**IG-0033: Assistance to the CIG  
Case Review of the Department of Juvenile Justice  
Office of Inspector General Investigation**

**August 2012**

In November of 2011, the FDLE OIG received a request to assist the CIG in the review of an investigation conducted by the Department of Juvenile Justice Office of Inspector General. The FDLE Inspector General, Assistant Inspector General, and an Audit Section SMAII provided assistance as needed throughout this case review. The review found that the DJJ OIG failed to meet the requirements of Section 20.055, Florida Statutes.

**IG-0035: OIG Assistance to OEI**

**August 2012**

At the request of the Commissioner, the OIG assisted the Office of Executive Investigations (OEI) with reviewing financial documents related to one of their investigations involving events at the Florida Agricultural and Mechanical University (FAMU).

**IG-0040: Assistance to CIG  
Case Review of Citizens Property Insurance  
Office of Inspector General Investigation**

**February 2013**

FDLE OIG members assisted in the review of travel expenses incurred by Citizens Property Insurance Board Members, Senior Managers and Employees with the purpose of determining whether these expenses were incurred in accordance with Citizens' travel policies.

The review found that travel expenses incurred by Board Members, Senior Managers and Employees were generally compliant with established travel policies, but these policies lacked specific requirements to ensure that travel was necessary and economical. Recommendations were made for Citizens to follow state travel laws; to update travel policies to reflect that state travel laws apply to Board Members, Senior Managers and all Employees; and to enhance internal controls.

**IG-0041: ARRA Data Quality Review**

**March 2013**

This project focused on American Recovery and Reinvestment Act of 2009 (ARRA) grant expenditures reported from September 2010 through September 2012.

Documentation supported expenditure reports and no issues were identified for 13 of the 20 subgrants reviewed. However, the following observations were brought to the attention of the Office of Criminal Justice Grants (OCJG):

- ◆ For one subgrant, a reimbursement for an expense in the amount of \$1,675.00 was questioned due to a potential conflict of interest.
- ◆ For one subgrant, reimbursements for items totaling \$934.99 were not specified in the subgrant budget, but appeared reasonable.
- ◆ For two subgrants, there were instances of questionable calculations of salaries and/or benefits.

Management followed-up on the observations and corrective actions have been implemented.

**IG-0043: Background Screening Project**

**Active**

In conjunction with other state agencies, a member of the Audit Section is participating in an enterprise project to identify opportunities for improved efficiencies and economies related to the background screening process and use of the Livescan devices among state agencies.

The results of the project will be presented to the Executive Office of the Governor Office of the Chief Inspector General and the Inspectors General. The final report will be distributed to the participating agencies.

**IG-0044: Performance Measures Review**

**Active**

A review was conducted of the reliability and validity of FDLE's performance measures and standards. The review focused on the five performance measures added to FDLE's Long-Range Program Plan for fiscal years 2013 – 2014 through 2017 – 2018.

The report was issued July 31, 2013. A summary of results will be included in the fiscal year 2013-2014 Annual Report.

**IG-0046: DAVID Monitoring**

**Active**

At the direction of the Commissioner, a review was conducted of FDLE members' use of the DAVID system. This project, in conjunction with the recent FDLE DAVID Audit (IG-0028), is part of an effort to detect, deter and prevent the misuse of the DAVID system.

The preliminary report was issued September 4, 2013. A summary of results will be included in the fiscal year 2013-2014 Annual Report.

**IG-0048: Mobile Computing Strategy****Active**

This project will evaluate FDLE's mobile computing governance framework. The evaluation will be based on an information technology mobile assessment toolkit developed as result of an enterprise project conducted during fiscal year 2011 - 2012. The results of this project will be included in the fiscal year 2013-2014 Annual Report.

**Florida Single Audit Act****Ongoing**

Independent financial audits were received and are being reviewed for expenditure reporting compliance with statutes and FDLE award records. Six FDLE programs meet the criteria of state projects that provide financial assistance to non-state entities and require Single Audit Act reporting:

- ◆ 71.001 – Criminal Justice Training
- ◆ 71.002 – Statewide Criminal Analysis Laboratory System
- ◆ 71.005 – Drug Control/Money Laundering Investigations – Matching Funds
- ◆ 71.006 – Victim or Witness Assistance
- ◆ 71.008 – Statewide Drug Enforcement Strike Force Initiative
- ◆ 71.009 – Investigative Aid for Missing Children

**FOLLOW - UPS****IG-0016: Credit Cards Audit – Six Month Status****March 2013**

The American Express Credit Card Audit Final Report identified eight findings. The six-month status follow-up concluded that of eight recommendations made, five were fully implemented and are closed, one was partially implemented, and two remain open. The partially implemented and the two open recommendations will be reviewed again in September 2013.

**IG-0025: Enterprise Contracts Audit – Six Month Status****January 2013**

The Enterprise Contracting Audit Final Report identified five findings. The six-month status follow-up concluded that corrective action was taken on four of the findings. For one finding, management accepted the potential risk of not implementing the recommendation. All five findings are considered closed and no further action is needed.

**IG-0028: DAVID Audit – Six Month Status**

**May 2013**

The DAVID Audit Final Report identified seven findings. The six-month status follow-up concluded that the recommendations to all seven findings remain open. Partial corrective action has been taken on five of the findings, and corrective action has not been implemented on the remaining two. All seven findings will be reviewed again in November 2013.

**Office of the Auditor General  
Six-Month Status Follow-up  
Report # 2013-030**

**April 2013**

A six-month status follow-up was conducted on the Office of the Auditor General Report #2013-030 *Department of Law Enforcement Information Technology Operational Audit Florida Crime Information Center (FCIC) and Computerized Criminal History System (CCH)*. The final report identified eight findings. Even though corrective actions were started on the findings and recommendations, all eight findings remained open as of the six-month status follow-up. All eight findings will be reviewed again in October 2013.

**Division of Emergency Management  
Six-Month Status Follow-up  
Report # ACN 12-C310**

**October 2012**

A six-month status follow-up was conducted on the *Division of Emergency Management Audit of the Florida Department of Law Enforcement State Homeland Security Grant*. The final report identified one finding for which corrective action was taken. The finding is considered closed and no further action is needed.

**EXTERNAL PROJECTS**

The OIG served as the coordinating point for external audits and/or reviews for the Office of the Auditor General, Office of Program Policy Analysis and Government Accountability, the Department of Financial Services, and the Division of Emergency Management. The following is a list of external projects coordinated during the 2012-2013 fiscal year:

**Office of the Auditor General**

- ◆ **Report #2013-030**  
Department of Law Enforcement  
Information Technology Operational Audit  
Florida Crime Information Center (FCIC) and  
Computerized Criminal History System (CCH)

**October 2012**

- ◆ **Report # 2013-161** **March 2013**  
Compliance and Internal Controls Over  
Financial Reporting and Federal Awards
- ◆ **Florida Federal Awards Audit** **Active**  
For the Period Ended June 30, 2013  
Florida Department of Law Enforcement
- ◆ **Operational Audit 2013** **Active**  
Florida Department of Law Enforcement

**Office of Program Policy Analysis and Government Accountability**

- ◆ **Report # 12-12** **December 2012**  
Registered Sex Offenders in Florida Communities  
Increased to Over 23,000; Transient Offenders Present Challenges

**Department of Financial Services - Bureau of Auditing**

- ◆ **Florida Department of Law Enforcement** **October 2012**  
Contracts and Grants Review in Effect  
On or after July 2, 2011, and Related Management Activities

**Division of Emergency Management**

- ◆ **Report # 12-C310** **April 2013**  
Audit of the Florida Department of Law Enforcement  
State Homeland Security Grant  
Agreement Number 09-DS-51-13-00-16-342

## **ACCREDITATION STANDARDS, INVESTIGATIONS AND COMPLIANCE ACTIVITY**

### **Accreditation Activities**

**Ongoing**

- ◆ FDLE appeared before the Commission on Accreditation for Law Enforcement Agencies (CALEA) in November of 2012 where reaccreditation was granted for a sixth time. Additionally, FDLE was awarded Accreditation with Excellence and its second Meritorious Award.
- ◆ The Commission for Florida Law Enforcement Accreditation (CFA) assessed FDLE in November of 2012 to confirm compliance with all applicable state standards. FDLE appeared before the CFA Commission in February of 2013 and was granted reaccreditation for the 5<sup>th</sup> time and was recognized as an Excelsior Agency.
- ◆ The OIG continued to prepare for a mock assessment for Inspectors General Reaccreditation. The mock assessment took place in August of 2013 with an appearance before the CFA Commission in February 2014.
- ◆ FDLE Inspector General Al Dennis continues to serve as the first Inspector General on the Commission for Florida Law Enforcement Accreditation. The 13-member Commission meets quarterly to oversee the accreditation program and to officially accredit agencies that have passed the rigorous review process.
- ◆ Three members of the OIG staff are certified as State and/or National Accreditation Assessors. OIG staff members conducted two on-site assessments and fifteen mock assessments of other agencies during the last fiscal year.

## **INVESTIGATIONS AND SPECIAL PROJECTS**

### **Hollywood Police Department Evidence Evaluation**

**October 2012**

In October of 2012, the OIG was asked to conduct an administrative review of the evidence control function within the Hollywood Police Department. Specifically, it was requested that the OIG evaluate the feasibility of FDLE conducting or assisting with a complete inventory of all evidence and in-custody property in the possession of the Hollywood Police Department. Additionally, it was requested that the OIG determine if our involvement in such an inventory would further an active criminal investigation.

Based on a thorough review, the Hollywood Police Department was advised that the OIG involvement in conducting or assisting in a complete inventory of evidence and in-custody property was not feasible due to the substantial commitment of personnel resources and expense. A listing of missing items may or may not be possible due to the lack of an existing accurate database and would be of no assistance to the criminal



investigation. In effect, our efforts would only result in providing the department with a detailed listing of evidentiary and in-custody property items in their possession.

### **Early Intervention System (EIS)**

**January 2013**

The OIG completed a review of the Early Intervention System (EIS) for the period of January 1, 2012 through December 31, 2012, pursuant to CALEA Standard 35.1.9 and FDLE Policy 3.5, Professional Standards Investigations/Disciplinary Actions. The EIS automated system identified three members that fell under the parameters of the EIS for the 2012 calendar year. Additionally, a thorough review was conducted of the policies, procedures, and standards relating to the EIS.

### **Bias-Based Profiling Review**

**January 2013**

In accordance with FDLE Policy 4.14, Bias-Based Profiling, the OIG conducted an annual administrative review focused on agency practices and citizen concerns regarding compliance with Department policy. A review of departmental records for calendar year 2012 revealed no cases involving bias-based profiling as referenced in Department policy. A review of the Customer Service Standards Act complaint database maintained by the OIG revealed no incidents involving bias-based profiling for calendar year 2012 as referenced in Department policy.

### **Review of Intelligence Operations**

**January 2013**

In accordance with FDLE Policy 1.15 Criminal Intelligence, the OIG is required to review the intelligence procedures of the agency to ensure the legality and integrity of its operation. Policy 1.15 and the Department's Intelligence Assessments, Briefs and Bulletins procedures were revised in November 2012. With the revised policy and procedures in place, along with the implementation of an effective purging function and the effective utilization of FDLE personnel and techniques, it was determined that the FDLE is operating in compliance with associated policies, procedures and federal guidelines.

### **Review of Confidential Informant/Source Procedure and Practices** **January 2013**

As required by FDLE Policy 4.5, Confidential Sources, and Section 914.28, F. S., the OIG conducted a review of FDLE's confidential sources practices to ensure conformity with agency policy and Florida Statutes. FDLE policy and training records were thoroughly reviewed and assessments were conducted by each regional Special Agent in Charge (SAC). Automated agency records were inspected during onsite staff inspections in the Regional Operations Centers to ensure conformity with agency policy and Florida Statutes. The OIG made recommendations relating to additional training resources and the completion of required automated records. Additional review found the agency to be in compliance.

## **Review of Traffic Enforcement Activities**

**January 2013**

In accordance with FDLE Policy 4.17, Traffic Enforcement, the OIG is responsible for reviewing all traffic enforcement activities conducted by members of the FDLE. Additionally, the OIG is charged with generating an annual report detailing all traffic enforcement activities engaged in by FDLE members. Based on the review, FDLE members were found to be in compliance with applicable policy relating to traffic enforcement.

## **Use of Force Analysis**

**January 2013**

As required by FDLE Policy 4.1, Use of Force, the OIG compiled information regarding reported Use of Force incidents during the 2012 calendar year for the purpose of determining if patterns or trends exist. Additionally, this information is shared with the Investigations & Forensic Science (IFS) Program Office and the Department's Armorer/Chief High Liability Instructor for input as it relates to training needs, equipment and/or policy revisions. During 2012, there were a total of four (4) reported Use of Force incidents. The incidents were reviewed by the OEI and closed with a finding that the involved FDLE members' action was reasonable and in compliance with the requirements of Florida statutes and FDLE policy. There were no patterns or trends identified and current training, equipment, and Departmental policy were found to meet the needs of the agency.

## **Franklin County Sheriff's Office In-Custody Property & Evidence Inventory**

**January 2013**

In January of 2013, the OIG received a request from the succeeding sheriff to conduct an inventory of the in-custody property and evidence maintained by the Franklin County Sheriff's Office. Members of the OIG conducted a comprehensive inventory that included 100% of the items contained in the evidence room, evidence warehouse and temporary evidence storage lockers. The OIG offered recommendations for consideration to enhance the current evidence management system at the Franklin County Sheriff's Office.

## **Liberty County Sheriff's Office In-Custody Property & Evidence Inventory**

**February 2013**

In February of 2013, the OIG received a request from the succeeding sheriff to conduct an inventory of the in-custody property and evidence maintained by the Liberty County Sheriff's Office. Members of the OIG conducted a comprehensive inventory that included 100% of the items contained in the evidence room and temporary evidence storage locker. The OIG offered recommendations for consideration to enhance the current evidence management system at the Liberty County Sheriff's Office.

**Wakulla County Sheriff's Office  
In-Custody Property & Evidence Inventory**

**February 2013**

In February of 2013, the OIG received a request from the succeeding sheriff to conduct an inventory of the high-risk (firearms, narcotics, currency and jewelry) in custody property and evidence items maintained by the Wakulla County Sheriff's Office. The OIG conducted an inventory of the agency's high-risk items based on their database records. One discrepancy and a recommendation to correct the discrepancy were reported to the Sheriff.

**Midway Police Department In-Custody Property & Evidence Inventory April 2013**

In April of 2013, the OIG received a request from members of the FDLE Tallahassee Regional Operations Center and the Interim Chief of Police of the Midway Police Department (MPD) to conduct an inventory of exhibits of evidence maintained by the Midway Police Department following allegations of improprieties. Members of the OIG conducted a comprehensive inventory that included 100% of the items contained in the MPD evidence room and temporary evidence storage lockers and reported discrepancies to the Interim Chief of Police.

**Florida Commission on Human Relations**

**April 2013**

In February of 2013, the OIG received a request from the CIG to review a complaint from the Florida Commission on Human Relations in which the complainant expressed concerns about his former employment with FDLE. A thorough review was conducted and the complaint was deemed unfounded.

**Review of FDLE Contract Number C9995A**

**May 2013**

In July of 2012, the OIG received a request from the CIG to review an FDLE contract relating to the upgrade and/or replace Florida's Automated Fingerprint Identification System (AFIS). The complainant alleged unauthorized and/or inappropriate actions involving FDLE members. A thorough review was conducted and the complaint was deemed unfounded.

**Voter Fraud Case Review**

**Active**

In June of 2013, the OIG was directed by FDLE Commissioner to conduct a review of the Strategic Allied Consulting investigation as it relates to the actions of the OEI and the FDLE Jacksonville Regional Operations Center (JROC). The intent of this review was to determine if any member or entity of FDLE was influenced in any way to limit investigative efforts, to determine if the investigation was completed in a thorough manner and to make additional recommendations, if applicable. Additionally, a detailed

chronology of investigative actions taken by the OEI and the JROC was created to assist in this review.

This review was completed in July 2013. The results of this investigation will be included in the 2013-2014 annual report.

### **STAFF INSPECTIONS**

The Accreditation Standards, Investigations and Compliance Section conducts comprehensive staff inspections throughout the agency. The staff inspection function is intended to ensure the integrity and effectiveness of FDLE's operations. The inspections not only seek to ensure that department regulations are adhered to but also seek to make recommendations regarding methods that will improve working conditions for the agency. Annual evidence inventories and staff inspections relating to confidential sources and bloodborne pathogen safety were conducted in each Regional Operations Center and the Daytona Beach Field Office during fiscal year 2012-2013.

### **OTHER OIG ACTIVITIES**

#### **Customer Service**

**Ongoing**

The OIG coordinated the tracking of customer complaints and their resolutions as required by Section 23.30, F.S. Complaints and compliments are received by mail, in person, voicemail or e-mail. Each inquiry/complaint, if it is not an FDLE matter, receives a response that provides appropriate referral or contact information. Inquiries or complaints regarding a FDLE service or member are forwarded to a program area within FDLE for proper handling. Of the 1,069 issues that were received during the 2012-2013 fiscal year, 21 were complaints about a FDLE service or member. All complaints were forwarded to a program area or the OEI for resolution. Additionally, four compliments were received.

#### **OIG Corporate & External Web Site / Safety Committee / Get Lean Hotline / Spanish Translation**

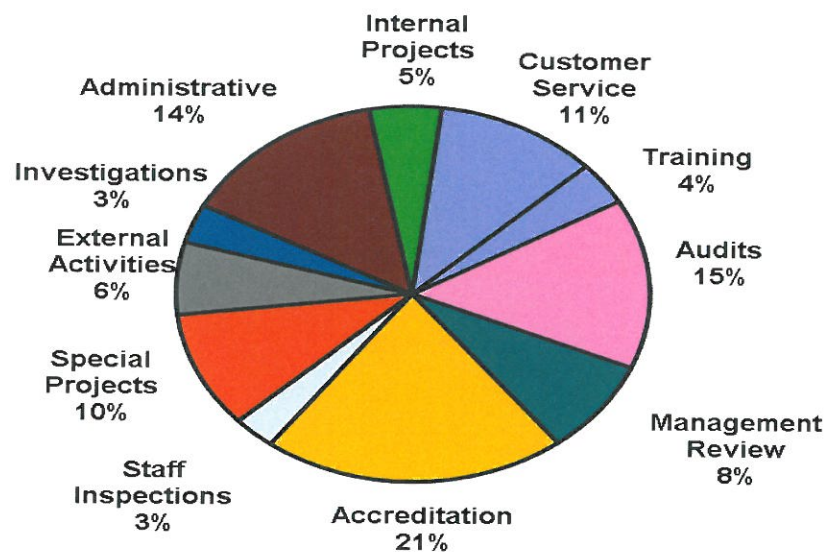
**Ongoing**

- ◆ The OIG maintained an OIG Corporate (internal) web site.
- ◆ A representative of the OIG participated in quarterly Safety Committee meetings.
- ◆ The Disaster Preparedness Procedures/COOP Plan for the OIG was updated and included on the internal web site.
- ◆ One (1) Get Lean Hotline comment was routed to appropriate FDLE personnel and the response was sent to the Department of Financial Services for review.
- ◆ As designated Spanish translator for headquarters, one member was called on 52 times to provide assistance to Spanish speaking customers, and translated seven written correspondences.

**2012-2013 HOURS WORKED BY OIG STAFF  
(Excluding IG's Time, Assistant IG's Administrative Time,  
OIG Leave and Holidays)**

Project Type	Hours Spent
Audits	1,776.25
Management Review	985.50
Accreditation	2,517.00
Staff Inspections	353.00
Special Projects	1,218.50
External Activities	756.50
Investigations	404.50
Administrative	1,744.50
Internal Projects	589.25
Customer Service	1,343.00
Training	448.75
<b>OIG Staff Total Hours</b>	<b>12,136.75</b>

**PERCENTAGE OF TIME STAFF SPENT ON OIG ACTIVITIES**



Overall, the OIG spent Thirty-Three percent of its time conducting audits, management reviews, and special projects; Twenty-Seven percent was spent on inspections, investigations and accreditation responsibilities; Eleven percent was spent on tracking and responding to customer service requests; and Twenty-Nine percent was spent on administrative, training, and internal and external activities.

## Mission and Goals for 2013-2014

The OIG will assist FDLE by providing timely and professional auditing, investigative, and review services; assessment of management functions; and by promoting integrity, economy, efficiency, and effectiveness.

Audit activities will continue to: assess the validity and reliability of data collected for relevant performance measures; examine customer service provided by the audited entity; and examine trends and data to determine the effectiveness and efficiency of the program. In addition, the OIG will examine any issue, program or function as directed by the Commissioner's Office or as the need arises. As part of the CIG annual plan, our office allocated 20% of the available hours to participate in enterprise projects with other state agencies. The OIG will also conduct evidence room inventories and staff inspections at the regional operation centers and headquarters.

The OIG will continue to coordinate the tracking of customer complaints and their resolutions as required by the Florida Customer Service Standards Act. The office will also continue to determine which complaints may fall under the Whistle-Blower Act.

The OIG will again be charged with the oversight of accreditation activities for CALEA and CFA. Preparation has begun for a November 2013 assessment by CFA for Inspectors General Investigations reaccreditation. Additionally, FDLE will begin preparing for a 2016 CALEA Gold Standard Assessment. Gold Standard assessments are intended to assist progressive agencies in utilizing the accreditation model as an implement for continuous organization improvement.

The OIG continues to assist the Executive Office of the Governor Office of the Chief Inspector General in carrying out their mission, goals and objectives. The OIG will continue involvement in the Institute of Internal Auditors, Florida Association of Inspectors General, and CFA in the coming fiscal year.