



# ***Florida Department of Corrections***

**Office of the Inspector General**

***Annual Report***

**Fiscal Year 2013-14**



*Changing Lives to  
Ensure a Safer Florida*

FLORIDA  
DEPARTMENT of  
CORRECTIONS

Governor

**RICK SCOTT**

Secretary

**MICHAEL D. CREWS**

501 South Calhoun Street, Tallahassee, FL 32399-2500

<http://www.dc.state.fl.us>

September 29, 2014

Michael D. Crews  
Secretary  
Florida Department of Corrections  
501 South Calhoun Street  
Tallahassee, Florida 32399-2500

Dear Secretary Crews:


I am pleased to present the Office of Inspector General (OIG) Annual Report for Fiscal Year 2013-14, provided pursuant to the mandate of Section 20.055(7), Florida Statutes. This report outlines the activities and accomplishments of the OIG for the fiscal year ending June 30, 2014.

A true measure of the value and services of the OIG can never be fully reflected in an annual report. The tangible results such as services performed, contracts audited, complaints referred, contract reviews and associated dollar impacts, and employees disciplined or convictions obtained as a result of an investigation can be readily reported. Our intangible services, however, including the deterrent effect of this office, are not always readily quantifiable in an annual report. This report documents the many activities that fall within the responsibility of this office and it reflects the high professional standards of each member of the OIG team.

I would like to take this opportunity to thank you for the support you have provided to this office. We look forward to continuing to work closely with you, your leadership team, and our fellow employees to promote economy, efficiency and effectiveness, and to help the Department accomplish its critical mission and initiatives in the months ahead. We remain committed to helping improve the operations and programs of the Department.

Please let me know if I may be of further assistance.

Respectfully submitted,

  
Jeffery T. Beasley  
Inspector General

JTB/prs





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September 29, 2014

Melinda M. Miguel,  
Chief Inspector General  
Office of the Chief Inspector General  
Room 2103 - The Capitol  
Tallahassee, FL 32399-0001

Dear Chief Inspector Miguel:

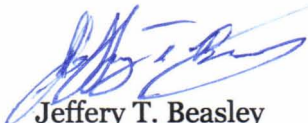
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## Department Background

As the nation's third-largest prison system, the Florida Department of Corrections fulfills a primary role in enhancing the safety of Florida residents. Through a network of 56 state prisons (including seven private prisons), road prisons, work camps and community-based facilities, the department manages incarceration and care for approximately 100,000 inmates. It also supervises approximately 143,000 offenders through 122 probation offices statewide. The department employs approximately 21,000 employees, the majority of whom are Correctional Officers or Correctional Probation Officers who carry out this public safety mandate 24 hours a day, 7 days a week, 365 days a year.

## Purpose of this Annual Report

Section 20.055, Florida Statutes, requires the Inspector General submit to the agency head, and, for state agencies under the jurisdiction of the Governor, the Chief Inspector General no later than September 30 of each year, an annual report summarizing the 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 as related to its mission.



## Vision

A safe and efficient Florida correctional system.

## Mission

Promote leadership to ensure accountability, integrity, and efficiency within the Florida Department of Corrections.

## General Goals

To add value to the department by:

1. Continuously identifying department needs & priorities.
2. Identifying risk and threats that impact public safety.
3. Promoting innovative solutions to address the department's needs.
4. Providing timely, accurate and pertinent information to decision makers.

## Accomplishments

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

- Regional Evidence Control Areas: Fiscal year 2013-2014 marked the completion of a three year endeavor to establish 10 new Regional Evidence Control Areas, and a new Evidence, Property, and Contraband, Collection, Preservation, and Disposition Procedure, for the Department of Corrections and the Office of Inspector General. The Regional Evidence Control Areas, with an Automated Property and Evidence System, coupled with the Evidence, Property, and Contraband, Collection, Preservation, and Disposition Procedure, will continue to ensure the security and integrity of evidence and/or property collected for evidentiary value. The Inspector General's ten Regional Evidence Control Areas are managed by one Evidence Manager and twenty Inspectors performing duties as Evidence Custodians throughout the state. The following Regional Evidence Control Areas are open and operational: Santa Rosa CI, North Florida Reception Center, Wakulla CI, Mayo CI, Florida State Prison, Lowell CI, Tomoka CI, Zephyrhills CI, Hardee CI and the South Florida Reception Center.
- K-9/Interdiction: The OIG Canine Units participated in the Southern Coast Canine Annual Drug Detection Seminar and canine competition in late 2013. Competing against 120 other drug detection canine teams, Canine Inspector ELizair Mares and his canine partner Tina took the top honors in the drug detection category of the competition.
- Cellular Phone Forensic Lab: With support of agency leadership, the OIG took steps to establish a Cellular Phone Forensic Lab. Construction of the new lab has been completed and all of the pertinent equipment required to conduct analysis on contraband cellular devices has been purchased and installed. Once fully implemented, the lab will allow analysts to garner information to further investigations being worked by the OIG as well as other law enforcement agencies. Information retrieved from cellular phones, as well as other electronic devices, will be used to combat criminal activity being committed by inmates who are aided by associates and co-conspirators outside the prison system. The lab will enable the OIG to collect intelligence information that will be used by the



Office of Institutions to enhance the security within the institutions. The Tallahassee based lab has the capability to service the needs of the OIG and institutions throughout the state of Florida

## Specific Areas of Responsibility

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



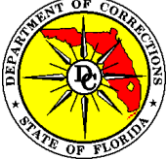
1. The Office of the Inspector General facilitates an **automated management information network** to keep designated personnel informed of events that occur on department property or concerning department staff, inmates, offenders, and other activity throughout the state. This information network:
  - 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 personnel in developing strategies to address areas of concern;
  - provides timely flow of information to management and, through the Public Information Office, to the public; and
  - leads department efforts to maintain cooperative working relationships with Florida Department of Law Enforcement (FDLE) and other law enforcement agencies.
2. **Certified law enforcement and correctional inspectors** conduct criminal and administrative investigations relating to inmates, offenders, visitors, department and contract staff, and vendors. Inspectors:
  - take an active role in locating and coordinating the arrest of fugitives by working closely with the staff in the Fugitive Unit;
  - investigate crimes occurring on department property and coordinate with other law enforcement agencies and prosecutorial entities; and
  - conduct administrative investigations into allegations of misconduct by staff, contractors, inmates, and offenders.
3. The **Intelligence Unit** collects and analyzes data to identify trends, contraband introduction methods, officer safety issues, and gang and criminal activities in department facilities. This information and intelligence is used by senior management, other state and local law enforcement offices and agencies, the Federal Bureau of Investigation, and the Department of Homeland Security.

4. The **Contraband Interdiction Unit** assists 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, including searches for weapons and narcotics, in both state and private correctional facilities; and
  - review contraband control processes at state correctional facilities for compliance with department policy and procedure.
5. **Inspectors** safeguard the integrity of the state's correctional system. The department has 85 sworn law enforcement officers on the OIG investigative staff, two certified law enforcement analysts, and 48 certified correctional officer inspectors. Inspectors:
  - conduct criminal and administrative investigations into internal affairs involving department operations, contracts, staff, inmates, visitors, and volunteers;
  - ensure compliance with department rules and procedures;
  - track and direct recapture of fugitives from justice;
  - operate contraband interdiction;
  - provide critical intelligence and gang information to law enforcement agencies across the state and nation;
  - coordinate investigative efforts with FDLE and other law enforcement agencies;
  - work closely with prosecutorial entities to facilitate the prosecution of criminal cases; and
  - coordinate department activities required by the **Florida Whistle-blower's Act**.

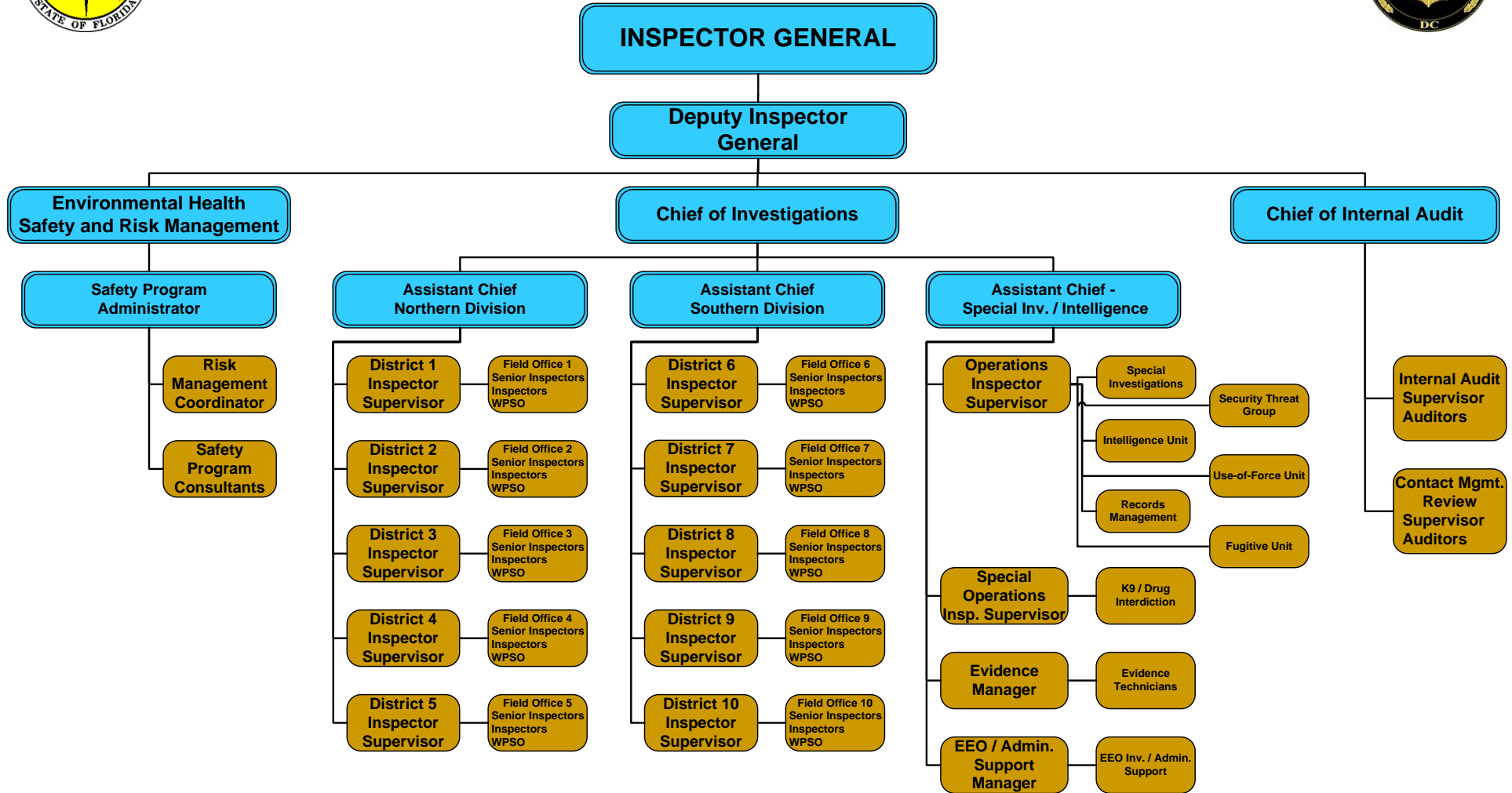
6. **Auditors** assess the efficiency and effectiveness of department programs and associated controls, measure compliance with laws and procedures, and serve to deter waste, fraud and abuse of department resources. Auditors:
- conduct compliance, performance and information technology audits in accordance with professional auditing standards and conduct reviews relating to department operations, contracts, staff, inmates, visitors and volunteers;
  - 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;
  - provide technical assistance with criminal and administrative investigations involving waste, fraud, or misappropriation of funds;
  - conduct contract management reviews to enhance accountability and oversight of the department's contracts for goods and services; and
  - serve as the department's liaison in coordinating audits and facilitating cooperation with external agencies including the Auditor General, Office of Program Policy Analysis and Government Accountability (OPPAGA), and FDLE.
7. **Environmental Health and Safety Officers** provide for the environmental health and safety of inmates, as well as department employees, volunteers and visitors. Areas of responsibility include:
- accompanying state fire protection specialists of the Division of State Fire Marshal during annual fire safety surveys;
  - conducting annual fire, environmental health and Occupational Safety and Health Administration (OSHA)-related safety inspections of new, renovated and current institutions, followed by the on-site verification of corrected violations;
  - conducting the environmental health, safety and risk management portion of the operational review process that is conducted every two years at all major correctional facilities;
  - conducting training sessions for Loss Control Management to include accident investigation, general safety awareness, damaged or lost property coverage, and a review of workers' compensation issues; and
  - receiving and processing all Risk Management claims to include property damage, general liability, auto, boiler and machinery, and missing or damaged inmate property.

# Office of the Inspector General Organizational Chart

The Office of the Inspector General (OIG) consists of two bureaus: Investigations and Internal Audit, and one unit: Environmental Health, Safety, & Risk Management.



## OFFICE OF THE INSPECTOR GENERAL



## Bureau of Investigations

### Investigations

The Bureau of Investigations is responsible for conducting criminal and administrative investigations and providing oversight of all use of force incidents.

When completed, criminal investigations, for which probable cause exists that a crime has occurred, are referred to the appropriate prosecutorial entity for consideration for prosecution. When administrative investigations are completed, they are referred to management for appropriate follow-up action.

More than 59,403 incidents were reported and reviewed by the OIG during Fiscal Year 2013-14. Of the incidents reviewed by OIG, the table below represents the numbers and types of cases the Office of Inspector General investigated:

Type of Case	Total Number Assigned
Administrative Cases	920
Criminal Cases	1253
Death Investigations	260
Investigative Assists	101
Inquiries	5047
Inquires – Use of Force	1044
Use of Forces	7435
Whistle Blower Determinations	26
<b>TOTAL</b>	<b>16,086</b>

Source: IGIS for 07/01/2013 to 06/30/2014.

### Use of Force Unit

Established in 1999, the Use of Force Unit is responsible for reviewing all incidents involving the use of force at state and private correctional facilities, and those involving probation officers, to ensure compliance with established rules, procedures and statutes.

To accomplish this mission, the Use of Force Unit independently reviews and evaluates all use of 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 Investigations.

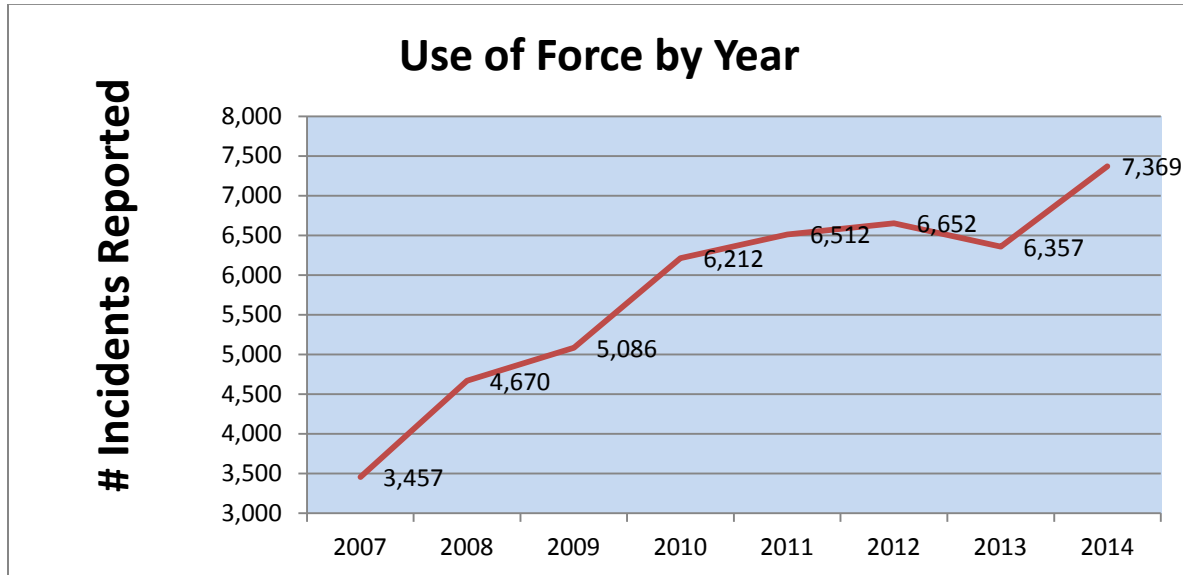


Uses of force are classified as major incidents whenever weapons, the chemical agent Ortho-Chlorobenzalmalononitrile “CS”, or electronic restraint devices are used, when force is used in a cell extraction, or when outside medical treatment is required for employees or inmates as a result of the use of force. Other physical contact with inmates, including use of the chemical agent Oleoresin Capsicum “OC”, is classified as minor. The following chart reflects use of force incidents reported to the unit in Fiscal Year 2013-14.

<b>Classification</b>	<b>Reason Force Was Used</b>	<b>Number</b>
<b>27A</b>	Self Defense	733
<b>27B</b>	Escape/Recapture	4
<b>27C</b>	Prevent Escape During Transport	3
<b>27D</b>	Prevent Property Damage	144
<b>27E</b>	Quell a Disturbance	2,402
<b>27F</b>	Physical Resistance to a Lawful Command	2,831
<b>27G</b>	Prevent Suicide	935
<b>27H</b>	Restrain Inmate for Medical Treatment	48
<b>27I</b>	Cell Extraction	215
<b>27J</b>	Mental Health Restraint	9
<b>27K</b>	Probation & Parole Handcuffing	0
<b>27O</b>	Other	45
<b>TOTAL</b>		<b>7,369</b>

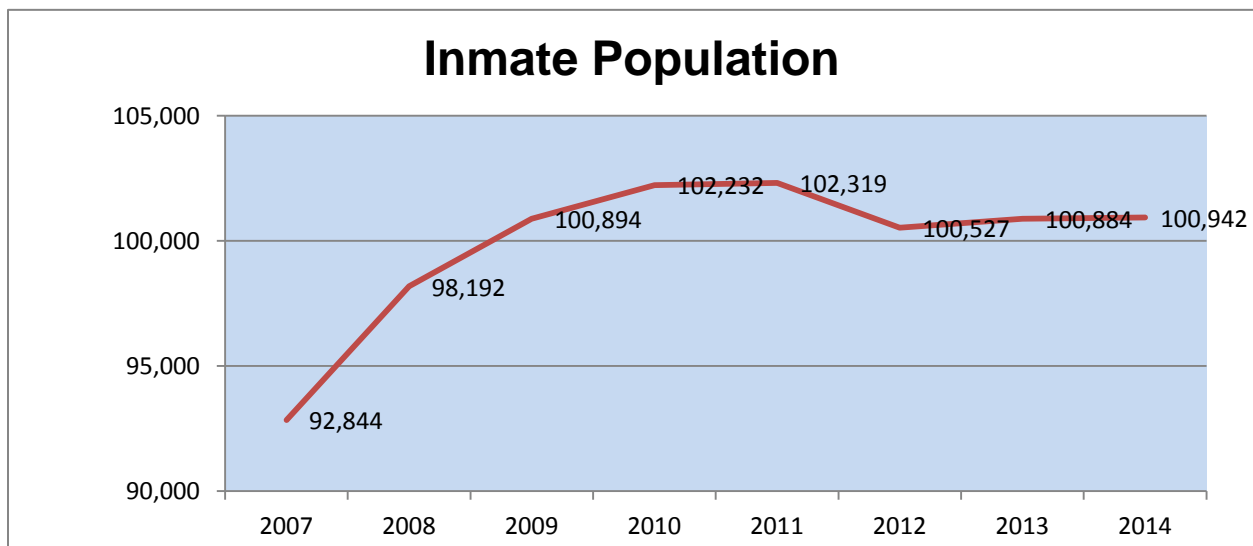
Source: MINS for 07/01/2013 to 06/30/2014

The number of use of force incidents reported increased between 2007 and 2012, rising more than 90% in five years, along with the increase in inmate population. The number of use of force incidents decreased by 4.4% in Fiscal Year 2012-13. *The reduction in the use of force incidents was a result of change in Florida Administrative Code (F.A.C.) Effective December 16, 2012, Chapter 33-602-210, F.A.C. no longer required four/five point medical restraints without force to be reported as a use of force incident.*



Source: MINS

As illustrated by these two charts, use of force incidents increased approximately 16% in the Fiscal Year 2013-14, while the inmate population increased less than 1% in the same period.



Source: Research and Data Analysis.

## **Intelligence Unit**

The Intelligence Unit collects, analyzes, and utilizes data and information from multiple internal agency and external sources, which provide information to support investigative operations and to identify trends, contraband introduction methods, officer safety issues, gang activities, and criminal activity on department property. Programmatic and investigative statistical information, as requested, is also provided to senior management. The Intelligence Unit provides information to outside law enforcement upon request and, via the Florida Fusion Center, serves as liaison with the Federal Bureau of Investigation (FBI) and the Department of Homeland Security. Two Intelligence Unit members are FDLE certified crime analysts.

The Intelligence Unit is responsible for preparation of information and intelligence products on varied topics, including investigative caseload analysis, drug seizure data analysis, cellular telephone, and other contraband seizure analysis. Performance measures and monthly reporting data are maintained and prepared by the unit in addition to publishing the monthly Intelligence Bulletin.

The Corrections Intelligence Initiative (CII) is a program sponsored by the FBI designed to assist correctional facilities in their efforts to detect, deter, and disrupt efforts by terrorist or extremist groups who are trying to radicalize or recruit among inmate populations. The CII facilitates the flow of domestic and homeland security information to the FBI. The Intelligence Unit has been responsible for the creation of intelligence products shared nationally via the Department of Homeland Security and for reporting in eGuardian, the FBI national intelligence sharing system. Two Intelligence Unit members are ad hoc members of the North Florida Joint Terrorism Task Force and the North Florida Regional Domestic Security Task Force. To further support the CII, the OIG dedicates one full time position to the Joint Terrorism Task Force FBI's Miami field division.

## **Florida Fusion Center**



The Florida Fusion Center, located in Tallahassee, Florida, serves as Florida's primary fusion center responsible for the gathering, processing, analyzing and disseminating terrorism, law enforcement, and homeland security information.

Intelligence Liaison Officers (ILOs) are vetted to participate in the fusion process and hold the appropriate security clearance with the Department of Homeland Security. The OIG has three liaison officers with the Florida Fusion Center - two from the Intelligence Unit and one from the Security Threat Group/Gang Unit. The Intelligence Unit represents the department at the Florida Fusion Center and serves as primary point of contact for the Corrections Intelligence Initiative.

## Fugitive Unit



The Fugitive Unit, created in January 2007, is tasked to protect Florida's citizens by investigating escapes from State and private facilities. The unit tracks and locates the fugitive in question and coordinates with law enforcement to return the fugitive to custody. The Fugitive Unit provides criminal investigative assistance to other law enforcement agencies who may be seeking fugitives who have ties to Florida.

In 2008, the Fugitive Unit partnered with the FDLE as part of a collaborative initiative. Together these departments track down the most violent of Florida's fugitives and return them to custody. In 2009, the cooperative association with FDLE blossomed into an end-of-the-year holiday campaign designated the "12 Days of Fugitives." Florida Representative Connie Mack recognized the successful new initiative from the floor of the House of Representatives, commending the multi-agency project for its innovation. The long-term partnership with FDLE continues to produce positive results for the state.

In June 2012, the department joined with the Florida Association of Crime Stoppers, the Office of the Attorney General, and the FDLE to make it easier for inmates, probationers, and members of the public to anonymously provide crime tip information to law enforcement. Prominent posters displaying the toll-free number to the Florida Association of Crime Stoppers are located in each correctional facility and probation office. The department also created a new public-access web page to highlight Florida's "Ten Most Wanted" felons and has posted the images and names of the worst of Florida's fugitives and absconders. The Florida Association of Crime Stoppers displays these same felons on public billboards and in other types of print and electronic media throughout Florida.

In the Fall of 2013, the Office of the Inspector General dedicated a full-time inspector position to the United States Marshal Service. As a Special Deputy US Marshal, the inspector has become an integral part of the Florida Regional Fugitive Task Force, training with them and working side-by-side to return violent felons and sex offenders to custody.

During Fiscal Year 2013-14, there were two attempted and foiled escapes from Florida correctional institutions; there were two successful escapes from a secure perimeter as a result of fraudulent court documents mailed from the Orange County Clerk of Court. The two inmates were captured without incident. Security procedures have been instituted to detect and prevent such escape attempts.





The following table summarizes arrests and seizures generated by the OIG's canine teams and interdiction operations during Fiscal Year 2013-14.

<b>K9/ Drug Interdiction Team Operations</b>	<b>FY 2013-14</b>
<b>Arrests:</b>	
Employees	4
Visitors	26
Inmates	11
<b>Contraband Seized:</b>	
<b>Alcohol (gallons)</b>	
Commercial	21.67
Homemade	78.31
<b>Drugs (grams)</b>	
Marijuana	2342.37
Synthetic Cannabinoid	13360.65
Cocaine	54.3
Other	1001
Prescription drugs (dosage units)	1142
<b>Weapons, Cell Phones, Money</b>	
Firearms (in vehicles on state property)	15
Ammunition (rounds, in vehicles)	1099
Knives/sharps (entering or inside institution)	477
Cell phones or parts/accessories	1783
Cash (excessive or contraband)	\$5707

Source: K9/ Drug Interdiction Unit

## **Prison TIPS**

The Intelligence Unit oversees the prison “TIPS” line which was accessed over 18,000 times this fiscal year. 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 of the department. The “TIPS” line also serves as the portal for Prison Rape Elimination Act (PREA) and fraud, waste, and abuse calls. Inmates, probationers, or any other callers that may have knowledge of these types of activities 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. This fiscal year the TIPS system was enhanced to allow access for hearing impaired inmates utilizing TTY technology. 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.

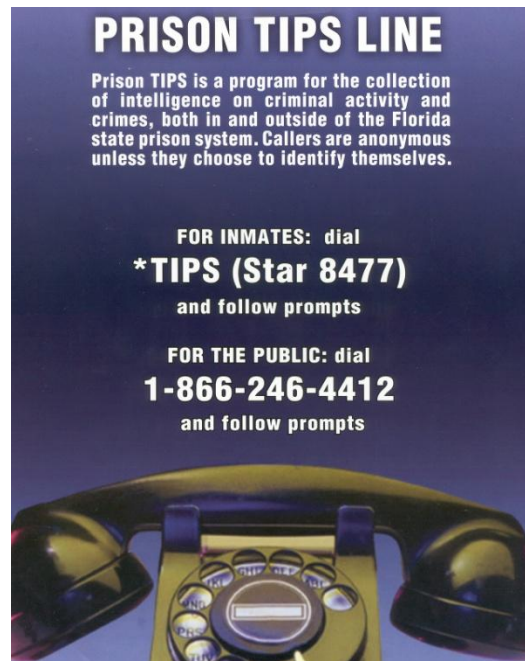
Callers have the option of establishing a voice mailbox, accessed by a unique pass code, which is provided upon the callers’ request. This provides a mechanism to exchange messages and information from the caller and Office of the Inspector General on the status of the information provided.

## **Security Threat Intelligence Unit**

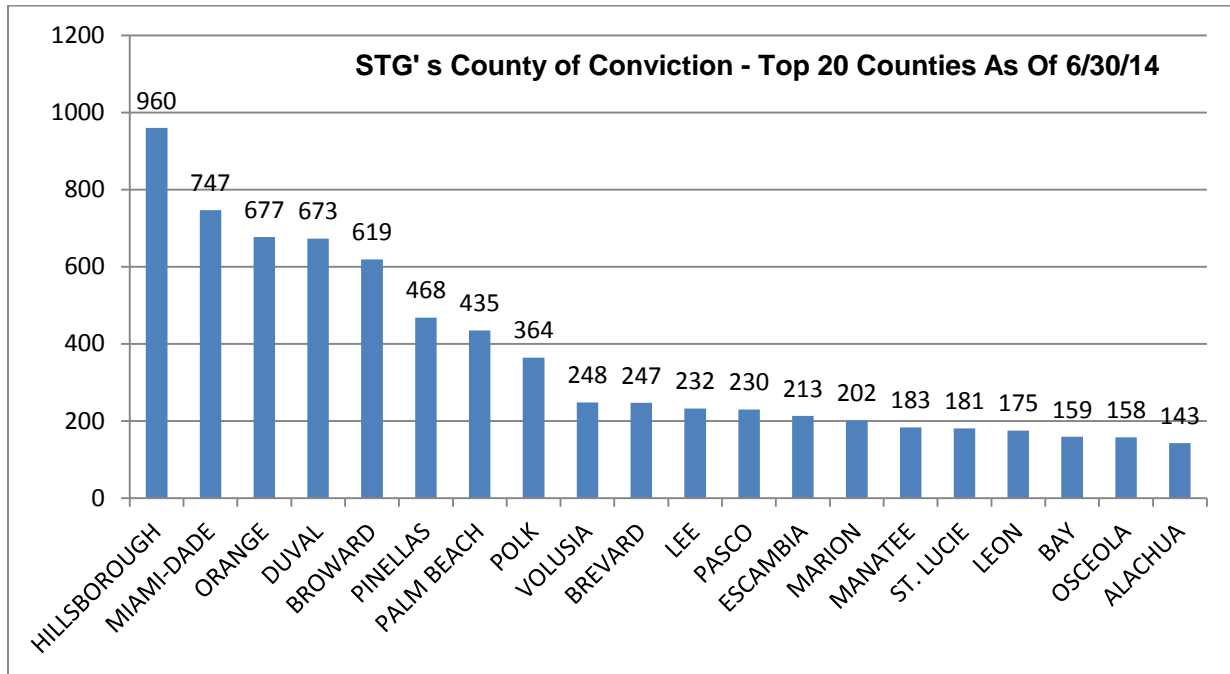
The Inspector General's Security Threat Intelligence Unit (STIU) collects, analyzes, and distributes intelligence related to criminal gang activity both within and outside the state correctional system. The STIU assists institutional staff by reviewing gang-related incidents as they occur in prison settings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

The STIU not only assists local, county, state, and federal law enforcement agencies with identifying gang members, but it also provides training to the community. In the past year, the STIU has conducted over 10 trainings to schools, local community town hall meetings, and law enforcement agencies.

As of June 30, 2014, 9,139 of the department's 100,942 inmates (9%) were identified as gang members. Another 2,195 of the department's probationers have been identified as gang members.



Each year, gang members are sentenced to the department's custody from each of Florida's 67 counties. The top 20 counties as of June 30, 2014, are depicted in the table below:



Source: Security Threat Intelligence Unit

The STIU reviewed 54,000 incident reports in which over 7,000 of those incidents had an STIU member involved in some manner. In the last year, the STIU received over 200 emails and phone calls per month from department staff, law enforcement, college students, and concerned parents regarding gangs.

During the last fiscal year, the STIU sent out more than 2,200 notices to law enforcement agencies, informing them of pending releases of gang members from department custody back into their communities. The STIU also notifies law enforcement agencies monthly of gang members who are serving terms of probation in their jurisdictions.

Some gang tattoos and graffiti that identity gang members are displayed below:



Latin King tattoo



Satan Disciples graffiti on the back of inmate id card

### **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, Chapter 60L-36.004, F.A.C. and Chapter 110, Florida Statutes. EEO complaints are received through several channels, including the department's internal complaint procedure, the Florida Commission on Human Relations (FCHR), and the Equal Employment Opportunity Commission (EEOC). The EEO Investigative Unit is staffed by an Operations & Consultant Manager. EEO complaints are referred to appropriate staff for investigation.

During Fiscal Year 2013-14, 101 EEO complaints were investigated originating from the following sources:

<b>FY 2012-13 EEO Complaints Filed</b>	
<b>Number</b>	<b>Complaint Source</b>
29	Internal Department Process (formal and informal)
39	FCHR – includes whistle blowers
33	EEOC

Source: Civil Rights/EEO

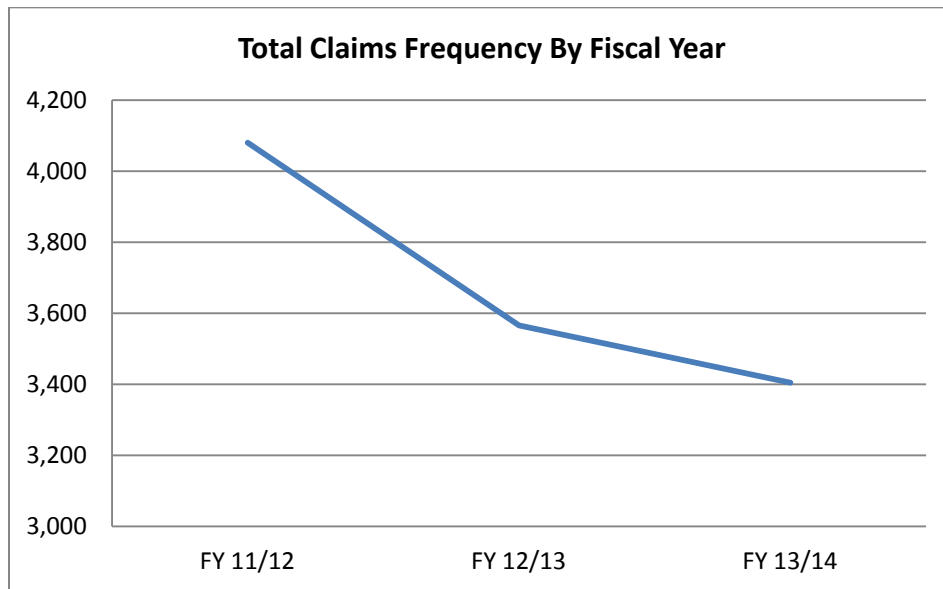
## Whistle-blower Unit

The Whistle-blower Unit is the designated liaison between the Chief Inspector General's Office (CIG) and the OIG. The Whistle-blower Unit coordinates and conducts Whistle-blower investigations pursuant to Florida law. During Fiscal Year 2013-14, the Whistle-blower Unit processed 26 Whistle-blower cases.

## Environmental Health, Safety, & Risk Management

Due to its unique mission, the Department of Corrections must provide for the environmental health and safety of inmates, as well as its own employees, volunteers, and visitors. The department has a formal risk management program on file with the Department of Financial Services, Division of Risk Management. The program is implemented pursuant to the department's Environmental Health and Safety Manual. The goal of the Environmental Health and Safety Program is to reduce the frequency and severity of accidents through training, administrative guidelines, and aggressive promotion of safe work practices. Adherence to established health and safety guidelines is one of the most important responsibilities of every employee and inmate.

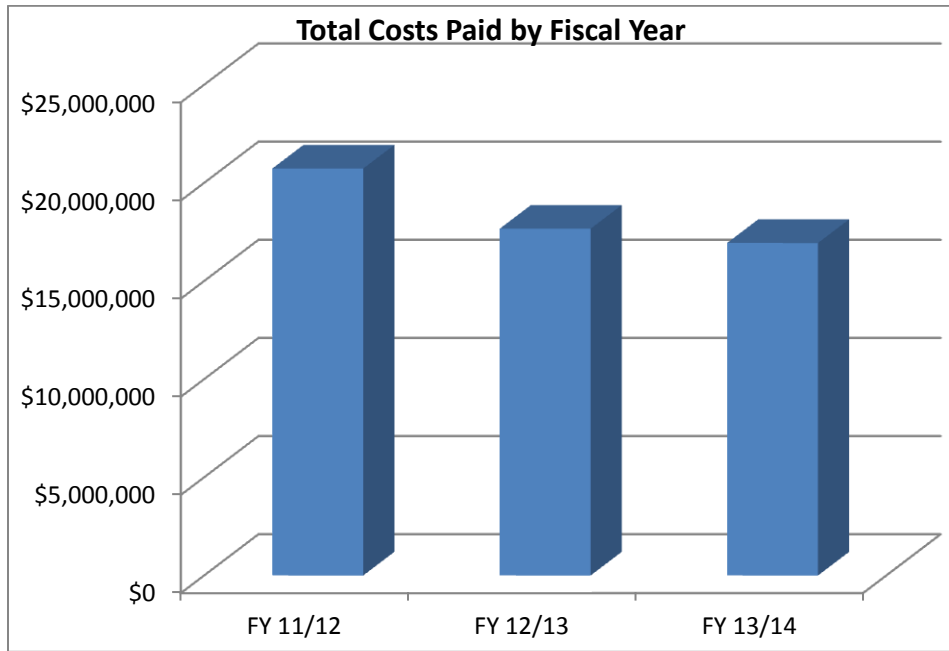
The following table displays claims reported for the last three fiscal years. In Fiscal Year 2013-14, the department reduced total claims reported by 5% compared to the previous fiscal year.



Source: Environmental Health, Safety, & Risk Management

The total paid costs (Worker's Compensation costs, General Liability costs, Federal Civil Rights costs, Automobile Liability costs, and Malpractice costs) for the last three fiscal years is displayed below and demonstrates a decrease in total costs from the previous fiscal year:





Source: Environmental Health, Safety, & Risk Management

## **Bureau of Internal Audit**

### **Mission**

The mission of the Bureau of Internal Audit is to support the Secretary and the department by ensuring:

1. established objectives and goals are met;
2. 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 of Internal Audit's primary purpose is to proactively assist management in successfully meeting the department's mission and established objectives. To meet its purpose, the Bureau of Internal Audit has four key goals:

1. perform quality audits, reviews, studies, and investigations;
2. report results to management in a timely manner;
3. ensure department resources are used efficiently; and
4. provide adequate audit/review coverage to mitigate risks.

### **Bureau Organization and Responsibilities**

The Bureau of Internal Audit comprises two sections: (1) Internal Audit and (2) Contract Management Review. These sections report to the Bureau Chief, a Certified Internal Auditor, who functions as the Director of Auditing. The Bureau of Internal Audit conducts compliance, performance, and information technology audits and contract reviews pursuant to 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 (IIA).

The internal audit staff possesses accounting and auditing experience, including information technology auditing experience. Staff members are required to maintain professional proficiency through continuing education and training. Staff are active in professional associations, the Institute of Internal Auditors (IIA), Information Systems Audit and Control Association (ISACA), the American Institute of Certified Public Accountants, the Florida Chapter of the National Association of Inspectors General, and the Association of Government Accountants.

## **Internal Audit Section**

This section employs an audit supervisor and four auditors who perform compliance, performance, and information technology audits and reviews. Staff certifications include a Certified Internal Auditor (CIA), a Certified Public Accountant (CPA), and a Certified Government Auditing Professional (CGAP).

### **Projects Completed by Compliance/Performance/IT Section**

During Fiscal Year 2013-14, the Internal Audit section completed sixteen audits, eight follow-up audits, and three reviews as listed in the following table by report date.

<b>FY 2013-14 Audit Reports and Reviews</b>		
<b>Report Number</b>	<b>Project Title</b>	<b>Report Date</b>
A13034F	Follow-up of Auditor General's Report #2013-074	7/17/13
A13012F	Follow-up of Employee Benefit Trust Fund Audit	8/1/13
A13022F	Follow-up of Audit of Offender Supervision	8/2/13
A13029	Inmate Release Gratuity Audit – Suwannee CI	8/15/13
A13015	Inmate Release Gratuity Audit – Baker CI	8/16/13
A13008	Data Backup and Recovery Audit	8/29/13
R13019	Quality Assessment Review	9/12/13
A14007F	Follow-up of Auditor General's Report #2013-133	9/13/13
A13030	Employee Benefit Trust Fund Audit – Taylor CI	9/27/13
A13024F	Follow-up of Audit of Phoenix Houses of Florida, Inc	10/3/13
A13009	Audit of Entering/Exiting DC Institutions	10/3/13
A13032	Inmate Release Gratuity Audit – Jefferson CI	10/17/13
A13033	Employee Benefit Trust Fund Audit – Jefferson CI	11/13/13
A14008F	Follow-up of Audit of Inmate Gain Time	12/11/13
A14009F	Follow-up of Audit of Inmate Grievances	1/24/14
R14013	Review of Dade CI Employee Benefit Trust Fund	2/18/14
A14001	Audit of Quarterly Performance Meas. Reported to the EOG	2/26/14
A14002	Audit of Department of Corrections Purchasing Card	3/5/14
A14004	Audit of Arsenal and Ready Room Equipment	3/12/14
A14003	Audit of Pharmacy Drug Inventory	3/25/14
A14014	Employee Benefit Trust Fund Audit – Jackson CI	4/10/14
A14011	Audit of Information Technology (IT) Mobile Computing	6/10/14
A14010	Audit of DC Reception Classification Process/Inmate Orientation	6/16/14
A14019F	Follow-up of Auditor General's Report #2014-066	6/16/14
A14018	Employee Benefit Trust Fund Audit – Calhoun CI	6/18/14
A14012	Audit of Inmate Drug Testing	6/19/14
R14015	Review of Inspector General Correspondence	6/27/14

Source: Bureau of Internal Audit

## **Selected Bureau Reports with System-Wide Impact**

The Bureau of Internal Audit views its audit mandate as an opportunity to not only identify site specific deficiencies and problems with 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 of Internal Audit in Fiscal Year 2013-14 included:

### Audit of Department of Corrections (DC) Purchasing Card Program

Audit staff found, in general, the purchasing card program is operating in accordance with applicable laws, rules, and regulations and internal controls exist that adequately prevent, deter, and detect fraud. The purchasing card program has established transaction limits for cardholders, purchases are made from an approved vendor list, and monthly reconciliations are performed on all purchasing card transactions. Audit staff also found that at the time of fieldwork, all purchasing cards had been deactivated for terminated employees. Finally, the transactions selected for review by audit staff were in compliance with the applicable purchasing rules. However, one issue was identified that warranted management's attention:

**Finding:** The Bureau of Procurement and Supply has not conducted post-audits on purchasing card transactions since taking over the program in June 2013.

### Audit of DC Reception Classification Process/Inmate Orientation

Audit staff found, in general, the department is in compliance with applicable laws, rules, policies, and procedures pertaining to the inmate orientation and inmate reception processes. Furthermore, internal controls exist to adequately detect, deter and prevent fraud. Of note were certain aspects of the processes that directly relate to the mission and vision of the department. Specifically, all inmates included in the sample were subject to educational testing, health screenings, and substance abuse assessments. In addition, PREA screenings were conducted in a timely manner. Also, the Biometric Identification System used to fingerprint incoming inmates was always utilized. Finally, inmate orientation materials such as videos and handbooks were on hand (in English and Spanish) at the 5 reception centers. However, audit staff identified one issue that warrants management's attention to ensure compliance with all aspects of the procedure and Florida law:

**Finding:** Canteen privileges were not always suspended for non-alien inmates that either refused or could not provide a valid social security number; and when social security numbers were provided, they were not always recorded in the Offender Based Information System (OBIS) and the Computer Assisted Reception Process (CARP).

## **Contract Management Review Section**

The Contract Management Review (CMR) Section employs an audit supervisor and three auditors. Staff certifications include one staff member who is a Certified Internal

Auditor (CIA) and a Certified Inspector General Auditor (CIGA).

In Fiscal Year 2013-14, the CMR section completed twelve reviews. The review reports are listed by report date:

FY 2013-14 CMR Reports and Reviews		
Report Number	Project Title	Report Date
CMR13002	Capital One & Florida Power and Light	8/9/2013
CMR13004	Pride Enterprises	11/26/2013
CMR14002	Simplex Grinnell LP	12/19/2013
CMR14004	Tallahassee Community College	1/14/2014
CMR14008F	Bridges of America--Bradenton WRC Follow-Up	1/17/2014
CMR14007F	SMA Behavioral Health Follow-Up	2/6/2014
CMR14003	Time For Freedom, Inc	2/13/2014
CMR14006	Non-Secure Programs, Inc.	2/20/2014
CMR14009	Community Education Center	3/19/2014
CMR14005	Unlimited Path of Central Florida	6/10/2014
CMR14010	Shisa House West	6/26/2014
CMR14012	The Thoroughbred Foundation	6/26/2014

Source: Bureau of Internal Audit

#### Review of Time for Freedom, Inc.

Time for Freedom, Inc. provides eligible inmates with substance abuse and work release transitional re-entry services. The review indicated that overall service was rendered as required by the contract and invoices were in accordance with the contract terms and well documented. However, deficiencies were identified with regards to inmate employment programming, contract monitoring, inmate case files, and documenting food substitutions.

#### Review of Non-Secure Programs, Inc.

Non-Secure Programs, Inc. provides qualified staff to operate a probation and restitution center in Orange County, Florida. Services include housing, meals, employment, and program services for offenders on community supervision with the department and released inmates in need of transition services. The review focused on contract monitoring efforts by the department's contract management staff. Overall, contract management staff met monitoring requirements. However, the sample results and parameters used were not always documented during monitoring.





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