



Florida Department of Law Enforcement

Annual Report To The Commissioner

Summary Of Office Of Inspector General Activities

For Fiscal Year 2013-2014

Lourdes Howell-Thomas

INSPECTOR GENERAL

September 30, 2014



Florida Department of
Law Enforcement

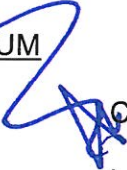
Gerald M. Bailey
Commissioner


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

September 30, 2014

MEMORANDUM

TO:  Commissioner Gerald M. Bailey

FROM: Inspector General Lourdes Howell-Thomas 

SUBJECT: Statutorily Required Annual Activity Report

Attached is a brief summary of the Office of Inspector General's (OIG) activities for fiscal year 2013-2014. 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 Susan Cureton at 410-7238.

LHT/sc

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 2013-2014

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; and
- ◆ Review rules relating to the programs and operations of the agency and make recommendations regarding their impact.

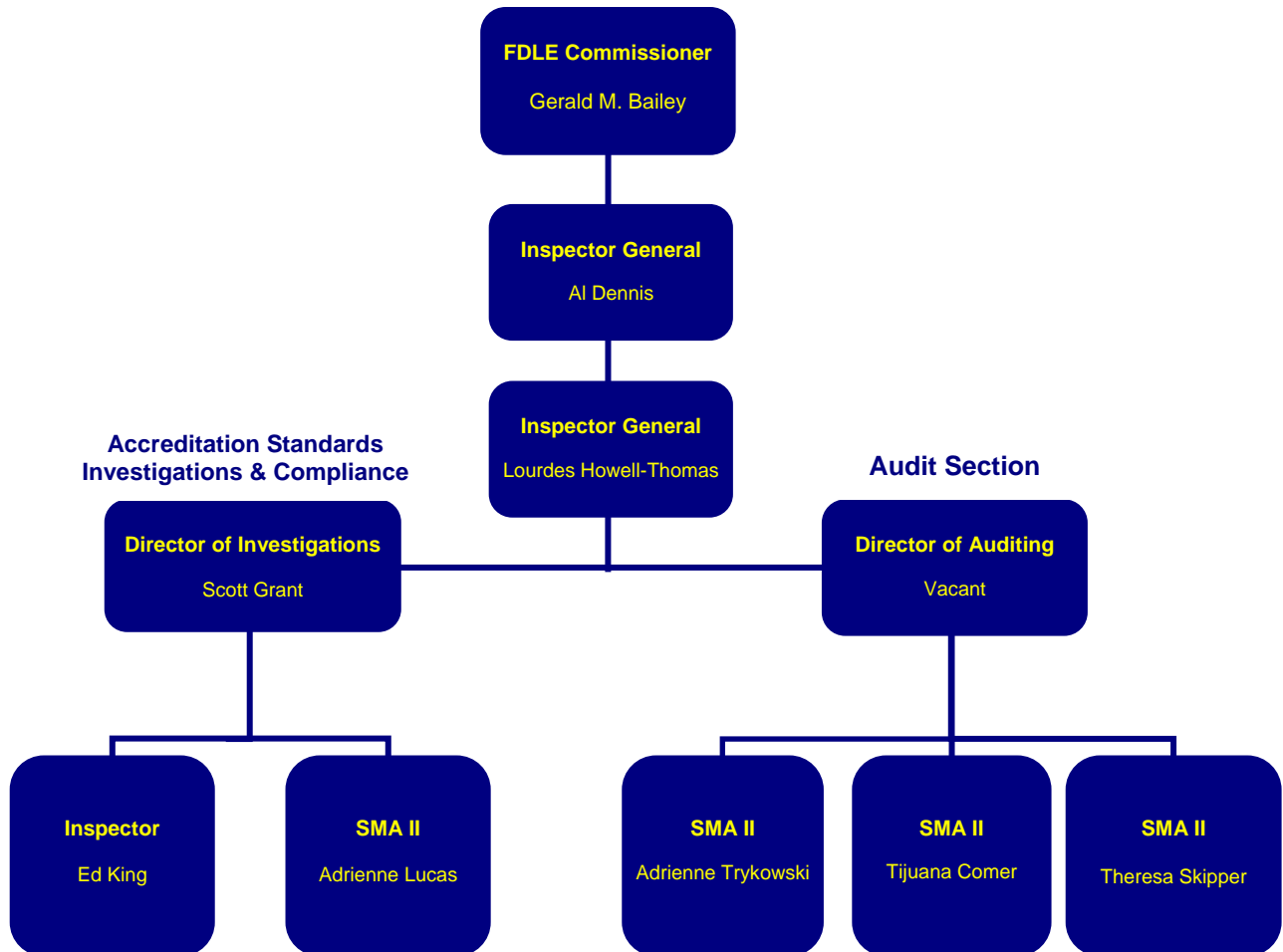
Office of Inspector General

The OIG is under the direction of the Inspector General who reports directly to Commissioner Gerald M. Bailey. As of June 30, 2014, the OIG was comprised of eight 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 the Director of Auditing and 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 the Director of Investigations 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 activities. This section consists of an Inspector who conducts staff inspections and special projects, and a Senior Management Analyst II who coordinates FDLE's state and national accreditation efforts. During most of the fiscal year, this section also had a Government Analyst II that provided analytical support, assisted with the investigations and staff inspection process, coordinated the OIG accreditation efforts, and tracked/coordinated responses to customer service/citizen complaints. As of March 20, 2014, this position and the customer service duties were transferred to another division.

Office of Inspector General*



*Organizational chart shown as of June 30, 2014. At the time of this report, there were several changes. Inspector General Al Dennis retired on July 25, 2014 and was succeeded by Lourdes Howell-Thomas. Susan Cureton was hired as Director of Auditing effective August 22, 2014. Theresa Skipper, SMAII, left the agency and Linh Trang was hired as SMA II effective September 19, 2014.

Training and Certifications

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

During the 2013-2014 fiscal year, OIG members held the following certifications:

- ◆ Certified Inspector General
- ◆ Certified Inspector General Auditor
- ◆ Certified Internal Auditor
- ◆ Project Management Professional
- ◆ Certified CALEA¹ Assessor
- ◆ CALEA Accreditation Manager
- ◆ Certified CFA² Assessor
- ◆ CFA Accreditation Manager
- ◆ CJSTC³ Certified Instructor
- ◆ Florida Certified Law Enforcement Analyst
- ◆ Certified Government Auditing Professional
- ◆ Certified Law Enforcement Officer
- ◆ Certified Crime Prevention Practitioner

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
- ◆ National Organization of Black Law Enforcement Executives

¹ Commission on Accreditation for Law Enforcement Agencies

² Commission for Florida Law Enforcement Accreditation

³ Criminal Justice Standards and Training Commission

OIG Responsibilities

During the 2013-2014 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.). As of March 20, 2014, this function was transferred to another division;
- ◆ 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 five 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;
- ◆ Hosting 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 Enterprise activities.

Summary of Projects Completed / Active during 2013-2014

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 2013-2014 fiscal year.

AUDITS

IG-0050: Medical Emergency Preparedness & Response

June 2014

This audit focused on FDLE's preparedness and response to a medical emergency involving first aid and/or the use of an Automated External Defibrillator (AED) in the Headquarters (HQ) building. The audit covered first aid kit inspections, AED inspections, medical analysis, CPR (Cardiopulmonary Resuscitation)/AED/first aid training, CPR/AED members' certification, safety acknowledgement documentation, and member's safety training for the period of January 2007 through June 11, 2014.

The objectives of this audit were to:

- ◆ Determine if adequate policies and procedures are in place addressing emergency preparedness and response to a medical emergency in the HQ building;
- ◆ Determine FDLE's preparedness to respond to a medical emergency (e.g. a member's unexpected illness); and
- ◆ Identify opportunities for improving efficiency and effectiveness.

Based on work performed, it was concluded that FDLE Policy 3.15 and FDLE's Safety Manual addressing emergency preparedness and response to medical emergencies at the HQ building needed revision. It was also noted that policy and procedures are not always consistently followed; FDLE's preparedness to respond to medical emergencies could be improved; and some opportunities for enhancements were identified.

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

MANAGEMENT REVIEWS

IG-0051: Retiree and Reserve Programs Review

December 2013

At management's request, the OIG conducted a review of FDLE's Retiree Firearms Qualification Program and the Reserve Programs – Reserve Special Agent, Reserve Law Enforcement Officer, and Capitol Police Reserve Officer.

The objectives of the Retiree Program review were to:

- ◆ Determine the value, if any, this program provides the Department.
- ◆ Identify any safety and/or liability issues.
- ◆ Identify other sources of training.

The objectives of the Reserve Program review were to:

- ◆ Determine if the Department is deriving a benefit and return on investment from the reserve programs.
- ◆ Determine if the reservists are dedicating the required time to the position.
- ◆ Identify any safety and/or liability issues.

Overall, the review indicated the FDLE Reserve Programs were not always administered in accordance with Department policy. In addition, the OIG recommended the Retiree Firearms Qualification Program be maintained.

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. This review was completed in July 2014. Results of this review will be included in the 2014-2015 Annual Report.

SPECIAL PROJECTS / ATTESTATION ENGAGEMENTS

IG-0044: Performance Measures Review

July 2013

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 review indicated that validity and/or reliability could be improved for all of the five measures reviewed. Recommendations addressed improvements to wording of the measures, methodologies and descriptions of data collection, documentation to support results, and reporting results.

IG-0046: DAVID Monitoring**September 2013**

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

During the review period of January 2012 through June 2013, no intentional DAVID misuse was identified. However, the inappropriate use of the DAVID system was identified in one case and corrective action had been taken.

IG-0043: Background Screening Project**November 2013**

In conjunction with other state agencies, a member of the Audit Section participated 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.

Given the various options available for background screening services and the benefits that could result from the upcoming Federal Next Generation Identification [NGI] Rap Back Program, it was recommended that each State agency re-evaluate current methods utilized for background screening employees. Specific recommendations were provided to the agencies.

IG-0052: DAVID Annual Affirmation Statement**December 2013**

FDLE entered into a Memorandum of Understanding (MOU) with the Florida Department of Highway Safety and Motor Vehicles (DHSMV) on December 3, 2012. The DHSMV agrees to provide electronic access to information relating to driver license, motor vehicle or traffic crash data to FDLE via the Driver And Vehicle Information Database (DAVID).

The MOU requires FDLE to complete an annual audit, an annual affirmation indicating compliance with the requirements of the MOU no later than 45 days after the anniversary date of the agreement, and an attestation statement within 180 days of written request from DHSMV.

Based on work performed, the OIG determined FDLE was in compliance with the DAVID MOU and the annual affirmation statement was signed by the IG on December 20, 2013. At the conclusion of this project DHSMV had not submitted a written request to FDLE regarding the attestation. However, on May 21, 2014, the DHSMV notified FDLE that an attestation would be required to be submitted by November 21, 2014. The results of that project will be included in the 2014-2015 Annual Report.

IG-0048: Mobile Computing Strategy**May 2014**

In 2013, FDLE participated in a survey conducted by the Office of the Chief Inspector General asking state agencies about their information technology mobile computing practices. This survey was part of an enterprise project. As a result of this project, an IT Mobile Assessment Toolkit was developed to assist each agency with further evaluating their mobile computing environment.

In August 2013, Information Technology Services (ITS) Division staff completed the Information Technology (IT) Mobile Assessment Toolkit for FDLE with the understanding that two FDLE policies required revision to incorporate the changes required by the adoption of Rule 71A-1. A review of the toolkit was deferred until policies revisions are completed.

Florida Single Audit Act**Ongoing**

Independent financial audits were received and are being reviewed for expenditure reporting compliance with statutes and FDLE award records. Five 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
- ◆ 71.009 – Investigative Aid for Missing Children

FOLLOW - UPs

IG-0016: Credit Card Audit – Twelve Month Follow-up

December 2013

The American Express Credit Card Audit Final Report identified eight findings. The six-month follow-up concluded that five of the eight recommendations had been fully implemented and were closed. The twelve-month follow-up concluded that corrective actions had been taken to address seven of the eight findings identified in the initial report. For one finding, management accepted the potential risk of not implementing the recommendation. All findings are considered closed and no further action is needed.

IG-0028: DAVID Audit – Twelve Month Follow-up

December 2013

The DAVID Audit Final Report identified seven findings. The six-month follow-up concluded that the recommendations to all seven findings remained open. The twelve-month follow-up concluded that of the seven findings, corrective action had been fully implemented for three, partially implemented for two, and two findings remain open. The four findings that have not been fully implemented will be included in a future follow-up.

IG-0042: Social Media – Six Month Follow-up

January 2014

The Social Media Management Review Final Report identified eleven findings. The six-month follow-up concluded that of the eleven recommendations made, one was not implemented as management disagreed with the recommendation, two were partially implemented with no further action to be taken by management, and eight had been fully implemented.

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

January 2014

A twelve-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. Corrective actions had begun, however, all eight findings remained open as of this follow-up. The eight findings will be reviewed again in October 2014.

**Office of the Auditor General
Six-Month Follow-up
Report # 2014-040**

April 2014

A six-month status follow-up was conducted on the Office of the Auditor General Report #2014-040 *Department of Law Enforcement Firearm Purchase Program*. The final report identified one finding. Corrective actions are in the process of being implemented for the finding.

Open Audit Findings

There are no additional 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.

EXTERNAL PROJECTS

During the 2013-2014 fiscal year, the OIG served as the coordinating point for external audits and/or reviews for the Office of the Auditor General as follows:

**Office of the Auditor General
Report No. 2014-040**
Florida Department of Law Enforcement
Firearm Purchase Program
Operational Audit

November 2013

**Florida Federal Awards Audit
Report No. 2014-173**
For the Period Ended June 30, 2013
Florida Department of Law Enforcement

March 2014

ACCREDITATION

Accreditation Activities

Ongoing

- ◆ FDLE was reaccredited for the sixth time by the Commission on Accreditation for Law Enforcement Agencies (CALEA) in November of 2012. Preparation for the next round of assessments is underway.
- ◆ The Commission for Florida Law Enforcement Accreditation (CFA) granted FDLE reaccredited status as an Excelsior Agency in February 2013. Preparation for the next round of assessments is underway.
- ◆ The Inspectors General Investigations unit received reaccredited status at the CFA Commission meeting in February 2014. Preparation for the next round of assessments is underway.
- ◆ FDLE Inspector General Al Dennis served as the first Inspector General on the Commission for Florida Law Enforcement Accreditation. The 13-member Commission meets three times a year 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 three on-site assessments and seven mock assessments of other agencies during the last fiscal year.
- ◆ One member of OIG staff participated as a team member for the CFA Manual Rewrite Committee. The committee will continue during the 2014-2015 fiscal year, meeting two to three hours each month.

INVESTIGATIONS AND SPECIAL PROJECTS

Voter Fraud Case Review

July 2013

In June 2013, the OIG was directed by FDLE Commissioner to conduct a review of the Strategic Allied Consulting, LLC investigation as it relates to the actions of the Office of Executive Investigations (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.

The OIG Review Team concluded that the involved OEI and JROC members received no internal or external influence to limit the investigation. The chronology of investigative actions indicates that this investigation was conducted in a timely and appropriate manner.

Early Intervention System (EIS)

January 2014

The OIG completed a review of the Early Intervention System (EIS) for the period of January 1, 2013 through December 31, 2013, pursuant to CALEA Standard 35.1.9 and FDLE Policy 3.5, Professional Standards Investigations/Disciplinary Actions. The review identified two members that fell under the parameters of the EIS for the 2013 calendar year. One required no action to be taken as the use of force incidents were determined to be within departmental policy. The second member submitted their resignation prior to receiving discipline for the incidents that triggered the EIS alert.

Bias-Based Profiling Review

January 2014

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 2013 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 2013 as referenced in Department policy.

Review of Intelligence Operations

January 2014

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. The OIG review determined that the FDLE is operating in compliance with associated policies, procedures and federal guidelines. However, the implementation of an effective purging function within the Automated Investigation Management (AIM) System for Intelligence files that are beyond the five year record retention period has not yet been accomplished.

Review of Confidential Informant/Source Procedure and Practices **January 2014**

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 2014

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 2014

As required by FDLE Policy 4.1, Use of Force, Weapons and Defensive Tactics, the OIG compiled information regarding reported Use of Force incidents during the 2013 calendar year for the purpose of determining if patterns or trends exist. Additionally, this information is shared with the Investigations & Forensic Science (IFS) Division and the Department's Armorer/Chief High Liability Instructor for input as it relates to training needs, equipment and/or policy revisions. During 2013, there were a total of seven reported Use of Force incidents. The incidents were reviewed by the Office of Executive Investigations 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.

Blountstown Police Department In-Custody Property & Evidence Inventory

January 2014

In October 2013, the OIG received a request from the newly appointed Chief of Police to conduct an inventory of the in-custody property and evidence maintained by the Blountstown Police Department. Members of the OIG, in conjunction with members of the Pensacola Regional Operations Center, conducted a comprehensive inventory that included 100% of the items contained in the evidence room and temporary evidence storage lockers. The OIG offered recommendations for consideration to enhance the current evidence management system at the Blountstown Police Department.

Tampa Police Department Assist DUI Squad Review

January 2014

The OIG received a request in December 2013, to participate in a task force to review the DUI enforcement program at the Tampa Police Department. An OIG member assisted as needed on this review.

Tallahassee Police Department Evidence Inventory

February 2014

In January 2014, the OIG received a request from the newly appointed Tallahassee Police Department Chief of Police to assist them in conducting a full inventory of their evidence room. Two OIG members in conjunction with members of the Tallahassee Regional Operations Center participated in this evidence room inventory.

DNA Testing Review with Whistle-Blower Determination

February 2014

In November 2013, the OIG received an e-mail regarding concerns over FDLE's DNA testing procedures. The OIG conducted a thorough review of the information provided to determine whether any FDLE member had violated any law, rule or regulation that may have caused a substantial and specific danger to the public's health, safety, or welfare. Based on this review, it was determined that the complaint was unfounded and that criteria for Whistle-Blower status was not met.

Chief Inspector General Assist Case Review – DBPR

February 2014

On August 2, 2013, the OIG was tasked with assisting the Chief Inspector General in conducting a review related to the Department of Business and Professional Regulation, Office of Inspector General. An OIG Inspector was assigned to this CIG review until completion in February 2014.

FDLE Drug Chemistry Section Evidence Procedures & Protocols Review

March 2014

On February 10, 2014, the OIG was directed by the FDLE Commissioner to conduct a review of evidence procedures and protocols relating to the internal and external controls of the FDLE Crime Laboratory Drug Chemistry Section, and to make recommendations relating to enhanced procedures and protocols, to include external controls. This review was predicated on the determination that a Crime Laboratory Analyst Supervisor had been removing pharmaceutical drugs from evidence containers and replacing them with over the counter medications before returning the evidence submissions to the originating agencies.

After careful review and evaluation of FDLE's Drug Chemistry Section procedures, protocol and practices, the OIG Review Team concluded that appropriate controls were in place to comply with ASCLD/LAB (American Society of Crime Laboratory Directors/Laboratory Accreditation Board) standards. It is acknowledged that the incident which occurred in the Pensacola Crime Laboratory was a major breach of each of FDLE's fundamental values and was isolated to one person. However, the OIG

Review Team identified several opportunities to enhance current procedures, practices and protocols.

**Marco Island Police Department
In-Custody Property & Evidence Issue**

June 2014

In June 2014, the OIG received an assistance request from Marco Island Chief of Police regarding an evidence discrepancy dating back to 2002. The OIG conducted an administrative review to determine whether actions were needed to address missing evidence, whether a complete property/evidence inventory was needed, and to suggest options for best practices regarding evidence handling procedures. OIG staff reviewed records, photographs of the evidence room, and policies for evidence handling. The review team noted a complete inventory had been recently completed and the OIG offered recommendations for consideration to enhance the current evidence management system at the Marco Island Police Department.

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 dual employment and evidence procedures (quarterly inspections, transfer of evidence upon an agent's retirement, evidence in investigative review status more than 180 days) were conducted in each Regional Operations Center during fiscal year 2013-2014.

Each region was encouraged to continue taking proactive steps to conduct evidence disposals in accordance with policy. For three of the seven regions, recommendations were made to comply with policy regarding conducting quarterly inspections of evidence facilities. General recommendations were made to each region relating to the transfer of evidence upon a member's retirement, transfer or separation; ensuring evidence and agency property is not comingled; and addressing data migration issues to ensure smoother future inventories. Additionally, it was recommended consideration be given to creating a status code in the Evidence Management System to more accurately identify the status of evidentiary items being analyzed in a forensic computer lab. The OIG also recommended that consideration be given to revising the policy related to the length of time evidence can remain in investigative status.

OTHER OIG ACTIVITIES

Customer Service

March 2014

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 division within FDLE for proper handling. Of the 853 issues that were received during the 2013-2014 fiscal year, 12 were complaints about a FDLE service or member. Additionally, three compliments were received.

As of March 20, 2014, the GAIL position and its responsibilities for the Customer Service function were transferred to another division.

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

Ongoing

- ◆ The OIG maintains a corporate (internal and external) 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.
- ◆ As designated Spanish translator for headquarters, one member was called on 72 times to provide assistance to Spanish speaking customers, and translated two written correspondences.

PERCENTAGE OF TIME STAFF SPENT ON OIG ACTIVITIES
(Excluding IG's Time, Assistant IG's Administrative Time, OIG Leave and Holidays)



Overall, the OIG spent thirty-seven percent of its time on audit activities; thirty-four percent was spent on investigations and accreditation activities; six percent was spent on tracking and responding to customer service requests; thirteen percent was spent on training and other oversight activities; and ten percent was spent on administrative duties.

Mission and Goals for 2014-2015

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. Our office allocated 400 hours of the available hours to participate in enterprise projects with other state agencies. The OIG will conduct evidence room inventories and staff inspections at the regional operation centers and headquarters. Additionally, the OIG will continue to determine which complaints may fall under the Whistle-Blower Act.

The OIG will continue its oversight of accreditation activities for CALEA and CFA. The CALEA review process will begin with a mock assessment in November 2014. In April 2015, FDLE will participate in a CALEA Gold Standard Assessment which is designed to assist progressive agencies in utilizing the accreditation model to foster continual organizational improvement. Further, FDLE will continue preparing for the CFA Law Enforcement assessment (November 2015) and the CFA Inspector General Investigations assessment (November 2016).

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, NOBLE, CALEA, and CFA in the coming fiscal year.