



FLORIDA DEPARTMENT OF LAW ENFORCEMENT

OFFICE OF
INSPECTOR GENERAL

ANNUAL REPORT

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

FISCAL YEAR 2014 - 2015

Lourdes Howell-Thomas, Inspector General

September 30, 2015



Florida Department of
Law Enforcement


Richard L. Swearingen
Commissioner


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

September 28, 2015

MEMORANDUM

TO: Richard L. Swearingen, Commissioner 

FROM: Lourdes Howell-Thomas, Inspector General 

SUBJECT: Statutorily Required Annual Activity Report

Attached is a brief summary of the Office of Inspector General's (OIG) activities for fiscal year 2014-2015. 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
Sherrill F. Norman, Auditor General



Introduction

The Office of Inspector General (OIG) has prepared this Annual Report for the Fiscal Year (FY) 2014-2015, in accordance with Florida's Inspector General Act, Section 20.055, Florida Statutes (F.S.). The following briefly summarizes the projects/activities the OIG completed during FY 2014-2015.

Mission

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

Authority

Section 20.055(2), 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.



Organization

The OIG is under the direction of the Inspector General who reports directly to the FDLE Commissioner. As of June 30, 2015, the OIG was comprised of nine positions; however, the office has ten employees because of one overlapping position. All members assigned to the OIG are organizationally independent of other Department entities/programs subject to audit, evaluation and investigation.

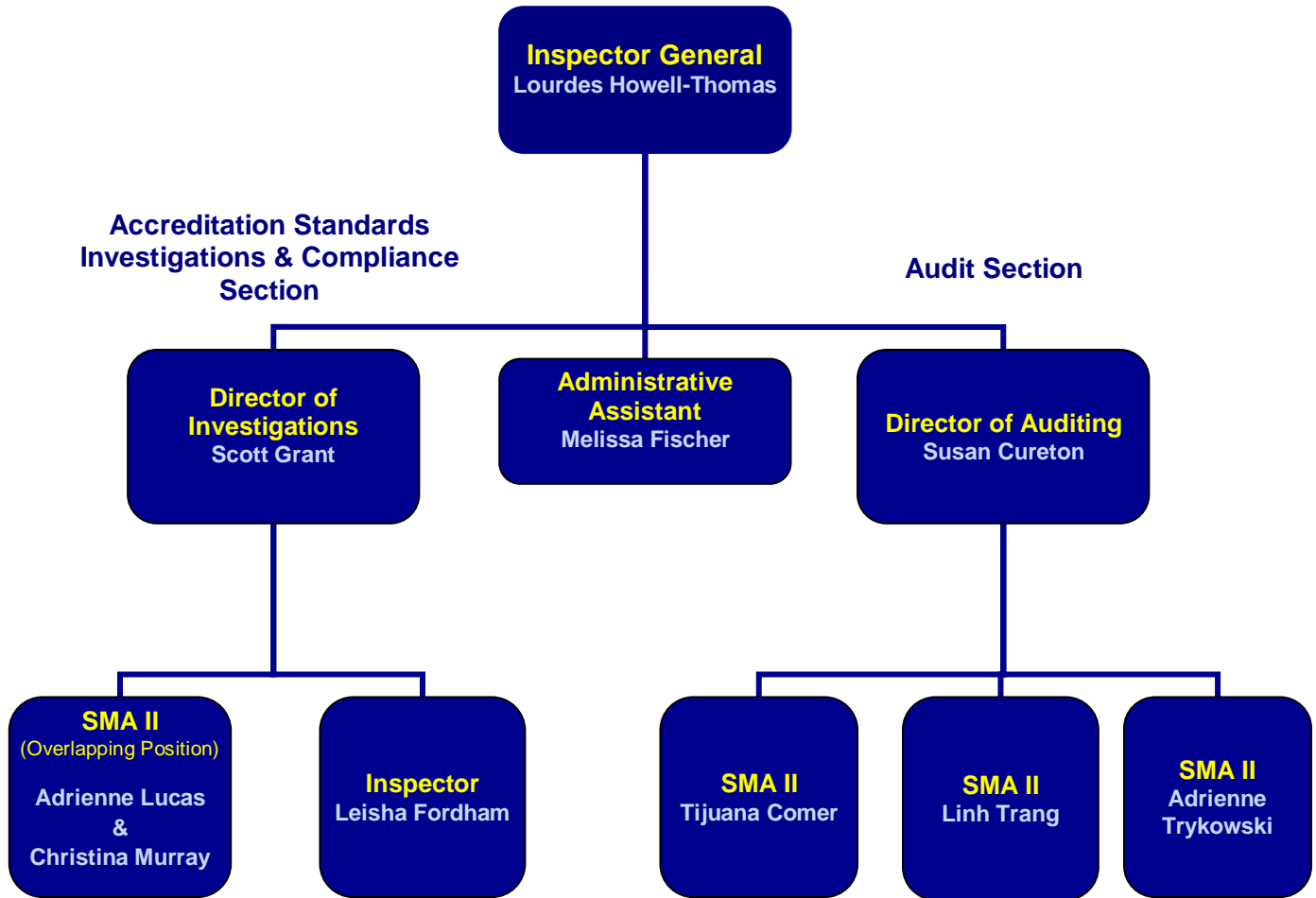
The OIG is comprised of two sections: the Audit Section and the Accreditation Standards, Investigations and Compliance Section. Audit and investigative work in the OIG is conducted in accordance with the *Principles and Standards for Offices of Inspector General*, published by the Association of Inspectors General (AIG).

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. The Audit section is responsible for conducting audits, management reviews, and special projects. Audit engagements are conducted in accordance with *Generally Accepted Government Auditing Standards* (GAGAS), published by the United States Government Accountability Office.

The **Accreditation Standards, Investigations and Compliance Section** is responsible for conducting investigations, staff inspections, and special projects. This section is supervised by the Director of Investigations and consists of an Inspector and a Senior Management Analyst II position. This section also makes whistle-blower determinations and oversees FDLE's state and national accreditation efforts.



Office of Inspector General*



*As of June 30, 2015



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 FY 2014-2015, OIG members held the following certifications:

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

During the FY 2014-2015, OIG members were associated with the following organizations:

- ◆ National Association of Inspectors General (AIG)
- ◆ Florida Chapter of the Association of Inspectors General (FCAIG)
- ◆ The Institute of Internal Auditors, Inc. (IIA)
- ◆ Tallahassee Chapter of the Institute of Internal Auditors, Inc. (TCIIA)
- ◆ The Association of Certified Fraud Examiners (ACFE)
- ◆ 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 FY 2014-2015, the OIG was responsible for:

- **Audits:** conducting performance, compliance, financial-related, and electronic data processing audits which are conducted in accordance with GAGAS and AIG standards;
- **Reviews:** conducting management reviews and special projects;
- **Liaison:** acting as 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:** reviewing, advising and assessing performance measures;
- **Legislative Analysis:** conducting an analysis of legislative bills for OIG issues;
- **Risk Assessment:** conducting a risk assessment of the Department;
- **Annual Report & Annual Plan:** developing annual plans and annual reports as required by Section 20.055, F.S.;
- **Accreditation:** coordination of FDLE's state, national, and OIG accreditation efforts;
- **CALEA & CFA Assessments:** conducting CALEA and CFA assessments for external agencies as part of a team;
- **Investigations:** conducting investigations in accordance with Section 20.055, F.S., and professional standards in the AIG Green Book;
- **Whistle-blower Determinations:** receiving complaints and coordinating activities regarding whistle-blower determination per Sections 112.3187-112.31895, F.S.;
- **Major Audit Findings:** reporting on major audit findings and recommendations for inclusion in the Department's Legislative Budget Request;
- **Safety Committee:** participating on FDLE's Safety Committee and annual updating of the OIG Continuity of Operations Plan;
- **Reporting to CIG:** providing quarterly reports to the Chief Inspector General (CIG) of the Executive Office of the Governor regarding activities of the OIG;
- **External Assistance:** providing technical and investigative assistance to the CIG and external agencies;
- **Training:** hosting training courses for the AIG, IIA; ISACA, and Association of Government Accountants among other organizations;
- **Partnership Meetings:** hosting quarterly meetings in partnership with the CIG, agency inspectors general, and other federal and state agency partners to discuss common audit and investigative interests.



Summary of Projects Completed / Active during FY2014-2015

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 FY 2014-2015.

QUALITY ASSURANCE REVIEW

During the FY 2014-2015, the Auditor General conducted a Quality Assurance Review of the FDLE OIG internal audit activity. The results of this review were reported in the Auditor General Report Number 2015-031, *Department of Law Enforcement Office of Inspector General's Internal Audit Activity for the Review Period July 2013 through June 2014*.

As stated in the report, the Auditor General found that audit activity was adequately designed and complied with during the review period July 2013 through June 2014 to provide reasonable assurance of conformance with applicable professional auditing standards. Also, the OIG generally complied with those provisions of Section 20.055, F.S., governing the operation of State agencies' offices of inspectors general internal audit activities. No findings were noted.

AUDITS

IG-0058: Armory Audit

In Progress

The purpose of this audit was to evaluate the adequacy of internal controls over the Department armory. Specific objectives were to determine whether: armory assets were accounted for and properly tracked; weapons were managed in accordance with policy; weapons records were accurate; and to identify efficiencies or cost savings.

Fieldwork for this audit has been completed and a draft report is being prepared. We anticipate completion of the final report in October 2015.

IG-0066: Single Audit Compliance Review of Crime Laboratories

In Progress

The purpose of this audit was to determine compliance with statute and rules governing state financial assistance as it relates to the Statewide Criminal Analysis Laboratory System Grant (Crime Labs). The Crime Labs grant was established to provide partial funding to locally operated laboratories. FDLE is statutorily identified as the state



agency responsible for the distribution of the state funds in accordance with statutes, rules, and program restrictions.

Fieldwork for this audit has been completed and a draft report is being prepared. We anticipate publication of the final report in October 2015.

MANAGEMENT REVIEWS

IG-0045: Online Training

September 2014

At management's request, the OIG conducted a review of the efficiency of FDLE's online training. The objectives of this review were to determine the accuracy and efficiency of online training, identify opportunities for improvement, and identify current best practices.

FDLE's online training program, which is maintained by the Bureau of Professional Development (BPD), provides criminal justice training for officers throughout the state, including FDLE sworn members, and provides courses that are specifically for FDLE members.

Our review identified several areas of improvement, and included thirteen recommendations. Specifically, we recommended BPD: ensure all online courses are readily accessible and information is current and accurate; modify controls over certificate instructions and the award process; and conduct periodic reviews of information contained in online trainings. We also recommended BPD establish a workgroup to develop a plan for a comprehensive learning management system to better manage the online training system.

Management agreed with all our recommendations with the exception of the workgroup, which at the time was not attainable with the Department's current learning management system.

SPECIAL PROJECTS / ATTESTATION ENGAGEMENTS

IG-0063: DAVID Annual Affirmation Statement

November 2014

Per the annual audit plan 2014-2015, the OIG conducted a review of FDLE's compliance with the Driver And Vehicle Information Database (DAVID) Memorandum of Understanding (MOU), entered into June 23, 2014 with the Department of Highway Safety and Motor Vehicles (DHSMV).



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.

In May 2014, DHSMV notified FDLE that the agency had been randomly selected to submit an attestation statement, ensuring that FDLE is using the data in an appropriate manner. Based on work performed, the OIG determined FDLE was in compliance with the DAVID MOU. The annual affirmation statement as well as the requested attestation statement was signed by the IG and submitted to DHSMV on November 19, 2014.

IG-0062: Vehicles Assessment

March 2015

This review of the FDLE vehicles was initiated in accordance with the OIG 2014-2015 Annual Audit Plan. The objectives of this review were to: analyze and evaluate efficiencies and effectiveness of a decentralized vehicle pool; analyze cost of high mileage vehicles versus purchasing new vehicles; and identify safety issues of high mileage vehicles.

Based on work performed, the OIG made the following observations:

- A decentralized approach to managing pool vehicles works for FDLE better than a centralized approach;
- The number of vehicles in the pool could be reduced to increase efficiency;
- Average maintenance and operating costs for high mileage vehicles are higher than lower mileage ones; and
- Higher mileage vehicles' performance tends to be more unpredictable and may contribute to more safety concerns.

IG-0065: AST Comprehensive Risk Assessment

March 2015

All agencies are statutorily required to conduct and update a comprehensive risk assessment to determine security threats to data, information and information technology resources of the agency. FDLE's Information Security Manager is responsible for completing the questionnaire; and the OIG is responsible for reviewing the completed risk assessment and ensuring submission to the Agency for State Technology (AST) by March 31, 2015. The final approved document was completed and submitted to AST on March 25, 2015.

**IG-0064: Air Wing Assessment****May 2015**

This project was initiated based on the OIG FY 2014-2015 Audit Plan. The objectives of this review were to evaluate the efficiency, effectiveness, value, and safety of the FDLE air wing.

Based on preliminary work performed, the OIG suspended its review of this project. Due to a shortage of qualified FDLE pilots, the resignation of the chief pilot, and court rulings that have changed the use of electronic tracking devices, there was a lack of data available to effectively evaluate FDLE aircraft operations. Our review revealed the following observations:

- **Efficiency and effectiveness:** Since there were a number of constraints leading to limited flight hours, as well as limited available data and records, it was prudent to allow new pilots and any program changes to develop before evaluating the efficiency and effectiveness of the aircraft.
- **Value:** The value of the aircraft will be more accurately measured when there is updated information on the services and usage. Determining the number of surveillance hours, actions taken to ensure public safety, and any search and rescue missions will more accurately measure the value of the aircraft.
- **Safety:** With the implementation of a tablet computer and adoption of the Electronic Flight Bag (EFB) in 2013, safety levels were increased since the system provided for an array of data and information including manuals, checklists, and weather reports.

FOLLOW-UP AUDITS/REVIEWS**IG-0037: Continuity of Operations Plan (COOP) Audit
Twelve-Month Status Report - Open****November 2014**

The purpose of this follow-up review was to assess management's implementation of open audit findings. An audit of FDLE's COOP process for the overall agency was conducted and a final report was completed in June 2013, which included six findings. A six-month status report was issued in January 2014, and at that time, corrective action had been implemented for three of the six findings.

This twelve-month follow-up concluded that corrective action had been completed for one additional finding. The status of the two remaining open findings will be re-evaluated at a future date.

**Office of the Auditor General, Report # 2014-040
Twelve-Month Status Report - Closed****November 2014**

A twelve-month status report was conducted on the OAG Report #2014-040 *Department of Law Enforcement Firearm Purchase Program*. The final report identified one finding. Follow-up work performed by the OIG determined that corrective action had been taken to address the recommendation, and the finding was closed.

**IG-0050: Medical Emergency & Response Audit
Six-Month Status Report - Open****January 2015**

The OIG conducted this audit to evaluate FDLE's promotion of safety awareness through training, education, and recognition programs, as well as to ensure safety for all members. Based on audit work performed, the OIG determined that FDLE's preparedness to respond to medical emergencies could be improved. We recommended that FDLE's Policy 3.15 and Safety Manual addressing emergency preparedness and response to medical emergencies at the headquarters building be revised. The final report was issued June 30, 2014, and included five findings.

This follow-up was done to assess management's implementation of audit recommendations. The six-month follow-up concluded that the recommendations to all findings identified in the audit report remained open, although management indicated corrective actions were in progress. The status of open findings will be re-evaluated at a future date.

**IG-122: Auditor General IT Audit of FDLE
Twenty-Seven Month Status Report - Open****February 2015**

The Auditor General conducted an audit of FDLE's *Florida Crime Information Center (FCIC) and Computerized Criminal History System (CCH)*. The final report was released in October 2012, and included eight findings.

A six-month status report was completed in April 2013. At the time, it was noted that all findings and recommendations remained open. A twelve-month status report was completed in January 2014. It was concluded that although numerous actions had been taken, all findings and recommendations remained open.

This twenty-seven month status report concluded that steps have been taken to address some of the Auditor General's findings and recommendations. Six findings remain open and two were closed with management accepting the risk of not fully implementing the recommendations.

**IG-0045: Online Training Review
Six-Month Status Report - Closed****April 2015**

The purpose of this follow-up review was to assess management's implementation of open audit findings. The OIG conducted a review of the efficiency of FDLE's online training. The final report, *Online Training Review*, was issued in September 2014, and contained thirteen recommendations for improvement.

This six-month follow-up concluded that all recommendations were closed. Seven recommendations were fully implemented and six were closed with management accepting the risk of not implementing the recommendations.

Open Audit Findings

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

EXTERNAL PROJECTS

During the FY 2014-2015, the OIG served as the coordinating point for external audits and/or reviews for the OAG and the OPPAGA as follows:

Office of the Auditor General**Florida Federal Awards Audit****March 2015**

Report No. 2015-166

For the Period Ended June 30, 2014

Florida Department of Law Enforcement

Background Screenings for District School Boards**Ongoing**

FDLE is providing background screening data to assist the Auditor General in this audit.

Office of Program Policy Analysis and Government Accountability**Seal and Expunge Review****February 2015**

This review focused on policies in Florida and in other states regarding the sealing and expunging of criminal history records.



Human Trafficking Study

Ongoing

The purpose of this review is to conduct a study on commercial sexual exploitation of children in the state of Florida. The study aims to understand the FDLE's responsibilities and efforts to address this problem and identifying relevant data that the department tracks and collects.

Triennial Review of Sexual Predator/Offender Registration

Ongoing

The purpose of this project is to conduct a triennial review on the effectiveness of Florida's sexual predator and sexual offender registration process and community and public notification provisions.

Contraband Forfeiture Act Review

Ongoing

This is a review of the current policies and practices of law enforcement related to the Florida Contraband Forfeiture Act.

Correctional Officer Misconduct and Discipline Review

Ongoing

The purpose of this project is to conduct a review of processes and procedures relating to correctional officer misconduct and discipline in Florida and in other states.



OTHER OIG ACTIVITIES

OIG Website Maintenance

The OIG maintains a corporate (internal and external) website. FDLE's intranet and external websites were re-designed in November 2014. Updates to the OIG sections are ongoing, as updates are continuously being added.

OIG Procedures Manual Revision

The OIG Procedures Manual is under revision to incorporate newly adopted accreditation standards as well as audit processes.

Audit Management System

Our office is in the process of replacing our current audit management system, Audit Leverage, with MK Insight. The development of the system was recently completed and audit staff attended training the first week in March 2015. We anticipate transitioning to the new system during the FY 2015-2016.

CIG Quarterly Report

The Office of the CIG requests that each OIG provide a quarterly report on the activities of the office by the 15th of the month following the end of each quarter. All quarterly reports were timely submitted during the FY 2014-2015.

Safety Committee

A representative of the OIG participated in quarterly Safety Committee meetings.

Spanish Translation

As FDLE's designated Spanish translator for headquarters, the OIG was called on twenty-four times to provide assistance to Spanish speaking customers. In addition, the OIG translated various written correspondences.



ACCREDITATION

Accreditation Activities

Ongoing

- ◆ CALEA Law Enforcement Accreditation: FDLE participated in a mock accreditation assessment in November 2014, in preparation for the Accreditation onsite assessment that was conducted in April 2015. FDLE is expected to receive reaccredited status for the seventh time at the CALEA conference in Miami November 2015.
- ◆ CFA Law Enforcement Accreditation: The OIG prepared for and coordinated the mock assessments that occurred in August and September 2015. FDLE will be reassessed in November 2015.
- ◆ CFA OIG Accreditation: The OIG prepared for mock assessments that will be scheduled during 2016.
- ◆ OIG staff members conducted three on-site assessments of external agencies during the last fiscal year.
- ◆ Two members of OIG staff participated as members of the CFA Manual Re-write Committee.

INVESTIGATIONS AND SPECIAL PROJECTS

Madison Police Department In-Custody Property & Evidence Inventory

August 2014

In response to a request from the Madison Chief of Police, the OIG conducted an inventory of the in-custody property and evidence maintained by the Madison Police Department during August 2014. Members of the OIG, in conjunction with members of the Tallahassee 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 Madison Police Department.

Early Intervention System (EIS)

January 2015

The OIG completed a review of the EIS for the period of January 1, 2014, through December 31, 2014, pursuant to CALEA Standard 35.1.9 and FDLE Policy 3.5, Professional Standards Investigations/Disciplinary Actions. The review indicated that five EIS alerts were triggered for the 2014 calendar year. One alert was issued due to a member receiving two complaints. Four alerts were issued related to members being involved in "at fault" and "not at fault" vehicle accidents. All five alerts were reviewed



and no further action was taken. Additionally, on October 9, 2014, Performance Issue was added as a new EIS alert risk indicator.

Bias-Based Profiling Review

January 2015

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 2014 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 through March 20, 2014. On that date, the agency's Customer Service function was transferred to the Office of Executive Investigations (OEI). A review of OEI records for calendar year 2014 revealed no cases involving bias-based profiling as referenced in Department policy.

Review of Intelligence Operations

January 2015

In accordance with FDLE Policy 1.15, Criminal Intelligence, the OIG is required to review the intelligence procedures of the agency annually 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 purging of intelligence files that are beyond the five-year record retention period from the Automated Investigation Management (AIM) System has not been accomplished. A purge plan was developed by FDLE Investigations and Forensic Science (IFS) Division and expected to be implemented in 2015.

Review of Confidential Informant/Source Procedure and Practices

January 2015

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 statutes. FDLE policy and training records were thoroughly reviewed and assessments were conducted by each regional Special Agent in-Charge (SAC). The OIG confirmed that the Bureau of Professional Development continues to offer a web-based training titled *The Use & Control of Informants*. The OIG review found the agency to be in compliance.

Review of Traffic Enforcement Activities

January 2015

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 have been involved in six traffic enforcement events which were reviewed and found to be in compliance with applicable policy relating to traffic enforcement.

Use of Force Analysis

January 2015

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 2014 calendar year for the purpose of determining if patterns or trends exist. Additionally, this information is shared with the 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 2014, there were a total of two 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 Department policy were found to meet the needs of the agency.

Columbia County Clerk of the Court Evidence Inventory

February 2015

In February 2015, the OIG received a request from the Columbia County Clerk of the Court regarding an inventory of evidence held by the Clerk's Office at the County Courthouse. The OIG, in conjunction with members of the Tallahassee Regional Operations Center, conducted a comprehensive inventory that included 100% of the items contained in the courthouse evidence rooms. The OIG offered recommendations for consideration to enhance the current evidence management system at the Columbia County Courthouse.

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

Ongoing

In June 2015, the OIG received an assistance request from the Columbia County Sheriff's Office regarding an inventory of their in-custody property and evidence. The OIG conducted a site survey at the agency. The OIG staff reviewed the automated evidence system in place and conducted an inventory of the Columbia County Sheriff's Office evidentiary firearms vault. The OIG review team recommended that the digital evidence scanners be updated prior to a 100% inventory of agency property and evidence.



Whistle-blower Determination

Ongoing

The OIG received three whistle-blower complaints during the fiscal year. Based on our investigation, we determined that two of the complaints did not meet the criteria for whistle-blower status. The third complaint was deemed to have met the criteria for whistle-blower status and an investigation is ongoing.

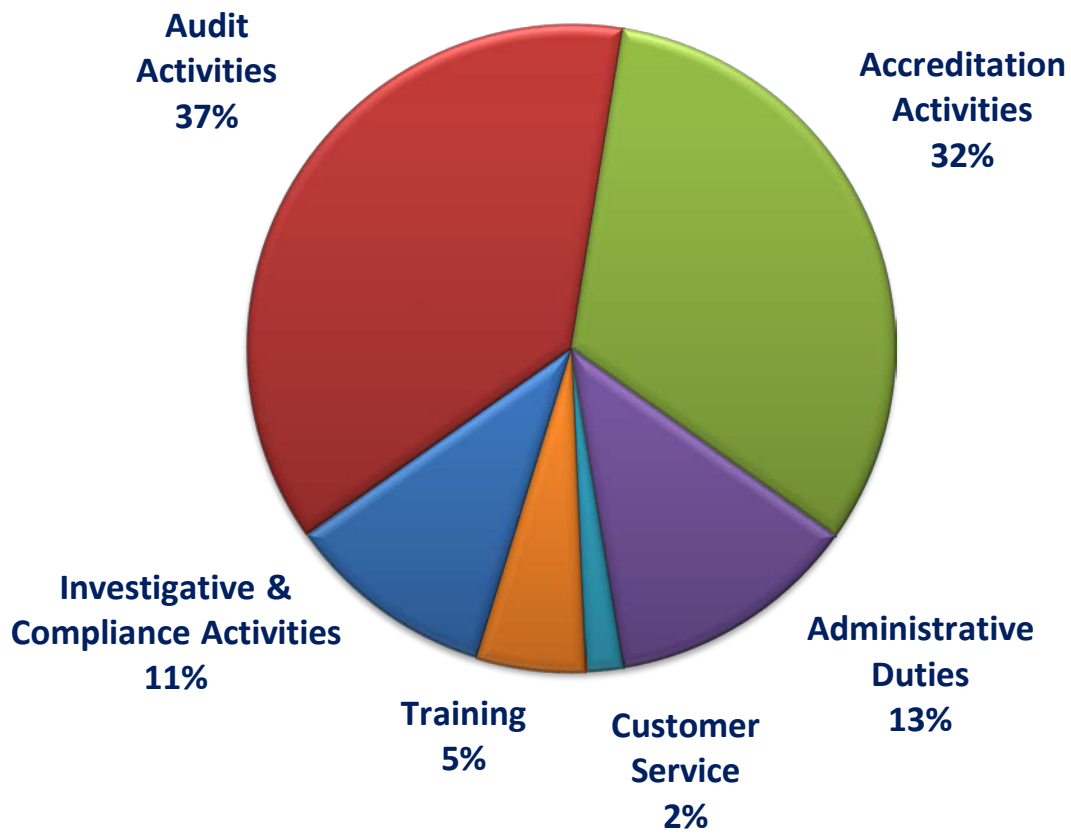
STAFF INSPECTIONS

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 source payments and temporary evidence procedures were conducted at each Regional Operations Center during FY 2014-2015.

Each region was encouraged to continue taking proactive steps to conduct evidence disposals in accordance with policy. No recommendations were made regarding temporary evidence because all regions were found to be in full compliance with policy. Regarding confidential source payments, it was noted that two Field Office fund managers bypassed the regional fund managers and reported their transactions directly to the Statewide Confidential Source Coordinator. It was also noted that the Information and Evidence Justification in AIM had been completed by the Statewide Confidential Source Coordinator in a few of the files that were reviewed. It was recommended that consideration be given to review the procedure and address the source payment information flow between the regions, field offices, and statewide source coordinator and to clarify the requirements regarding completion of the Information and Evidence justification in AIM.



PERCENTAGE OF TIME STAFF SPENT ON OIG ACTIVITIES*



***Excluding IG's Time, Management Oversight, and Leave and Holidays**



Mission and Goals for FY 2015-2016

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.

The OIG will continue to assess the validity and reliability of data collected for relevant performance measures, 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. Planned audit activities for the FY 2015-2016 include programs located within Criminal Justice Professionalism, Investigations and Forensic Science, Criminal Justice Information Services, Information Technology Services, and Protective Operations. In addition, our office has allocated some 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 investigate and determine which complaints fall under the Whistle-blower Act.

The OIG will continue its oversight of accreditation activities for CALEA and CFA. The agency successfully underwent a CALEA Gold Standard Assessment and is set to be reaccredited for the seventh consecutive time at the Miami CALEA conference in November 2015. Thereafter, the OIG will continue its oversight of the CALEA accreditation process in preparation for the next assessment (April 2018). 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.