
FLORIDA FISH AND WILDLIFE CONSERVATION
COMMISSION
OFFICE OF INSPECTOR GENERAL

2022-2023
ANNUAL
REPORT

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INTRODUCTION

In accordance with Section 20.055 Florida Statutes (FS), the Florida Fish and Wildlife Conservation Commission (FWC) Office of Inspector General (OIG) is “established...to provide a central point for coordination of and responsibility for activities that promote accountability, integrity, and efficiency in government.” The mission of the OIG is to, “provide leadership in the promotion of accountability and integrity in state government.” The OIG is required by Section 20.055(8)(a) FS to complete an annual report summarizing its activities for the prior fiscal year and submit that report to the agency head. The report must include, but is not limited to, the following:

- A summary of each audit and investigation completed during the reporting period.
- A description of activities relating to the development, assessment, and validation of agency performance measures.
- A description of significant abuses and deficiencies relating to the administration of programs and operations of the agency disclosed by investigations, audits, reviews, or other activities during the reporting period.
- A description of recommendations for corrective action made by the Inspector General during the reporting period with respect to problems, abuses, or deficiencies identified.
- The identification of each significant recommendation described in previous annual reports on which corrective action has not been completed.

EXECUTIVE SUMMARY

This annual report provides an overview of the FWC OIG's investigative and audit activities during the 2022-2023 fiscal year (FY). The following accomplishments, highlights, and activities demonstrate the efforts of the OIG during the past fiscal year:

- Received, reviewed, and processed 161 complaints or requests for assistance from our internal and external stakeholders.
- Initiated 28 investigations and inquiries into allegations of violations of statutes, rules, policies, and contracts, and issued recommendations for improvement to agency leadership where appropriate.
- Responded to 24 public records requests pursuant to Chapter 119 FS.
- Published a total of 17 reports including audits, audit follow-ups, and management reviews.
- Processed 70 employment verifications for current and former FWC employees.
- Completed five pre-employment background investigations for potential new OIG employees.
- Conducted four outreach training sessions for FWC employees on the role of the OIG, how to report misconduct, and the Florida Whistle-Blower's Act.
- Maintained accreditation through the Commission for Florida Law Enforcement Accreditation (CFA) for the OIG Investigations Section.

STATUTORY REQUIREMENTS

The OIG is established in each state agency to provide a central point of coordination and responsibility for promoting and ensuring accountability, integrity, and efficiency in government. In accordance with Section 20.055 FS the Inspector General is appointed by, reports to, and is under the general supervision of the agency head.¹As outlined in statute, the duties of the Inspector General include:

- Advising in the development of performance measures, standards, and procedures for the evaluation of state agency programs.
- Assessing the reliability and validity of information provided on performance measures and standards, and making recommendations as needed.
- Reviewing actions taken by the agency to improve operational and program performance and making recommendations for improvement.
- Providing direction for supervising and coordinating audits, investigations, and management reviews relating to the programs and operations of the agency.
- Conducting, supervising, and coordinating activities that promote economy and efficiency and prevent or detect fraud, waste, and abuse.
- Informing the agency head of fraud, abuses, and deficiencies relating to programs and operations administered or financed by the agency; recommending corrective actions concerning fraud, abuses, and deficiencies; and reporting on the progress made in implementing corrective action.

- Ensuring effective coordination and cooperation between the Auditor General, Office of Program Policy Analysis and Government Accountability (OPPAGA), federal auditors, and other governmental entities.
- Reviewing rules relating to programs and operations and making recommendations regarding their impact.
- Ensuring an appropriate balance between audit, investigative, and other accountability activities.
- Complying with the General Principles and Standards for Offices of Inspector General as published and revised by the Association of Inspectors General (AIG).

¹ FWC is an independent constitutional commission.



FWC OIG GOALS AND VALUES

The FWC OIG operates on a set of shared goals and values. FWC OIG goals include:

- Detecting and deterring fraud, waste, and abuse.
- Identifying trends.
- Creating ethical awareness within the agency.
- Improving accountability.
- Ensuring fair, thorough, and impartial investigations.
- Ensuring audits add value to the agency.
- Reducing agency liability and risk; and
- Ensuring reliability and validity of agency performance measures.

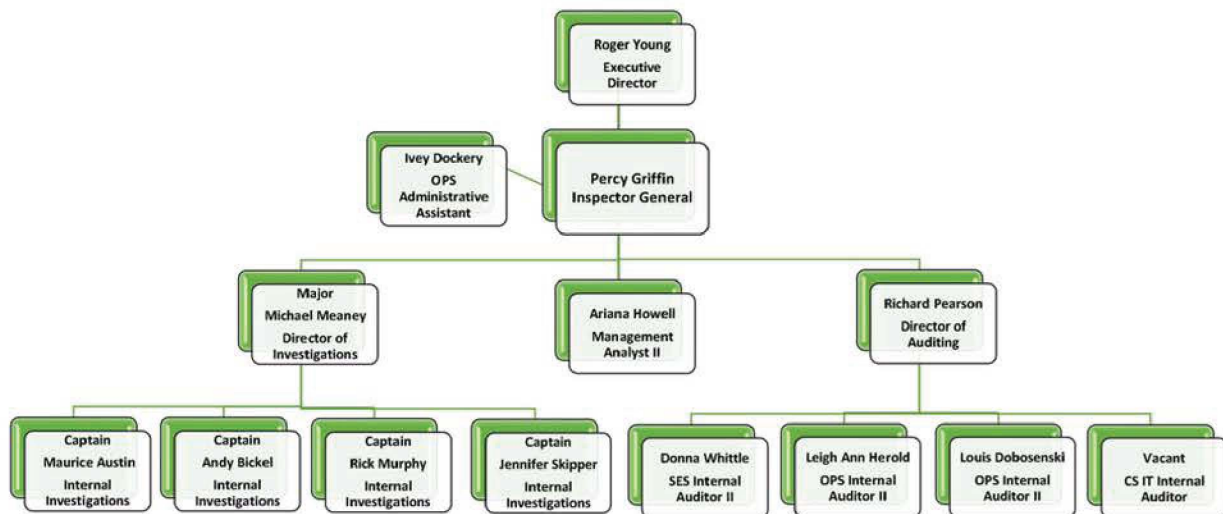
FWC operates on six core values, four of which are directly aligned with the FWC OIG mission. These shared agency values include service excellence, teamwork/collaboration, professional integrity, and accountability. The FWC OIG strives to achieve these goals by meeting the needs of our internal and external stakeholders, working across division/office lines to resolve challenges, all while promoting integrity and accountability in support of the agency's overall conservation mission.



PROFESSIONAL STAFF:

The FWC OIG prides itself on maintaining a highly trained and motivated staff. The professional staff of the OIG includes the Inspector General, Law Enforcement Major (Director of Investigations), four Law Enforcement Captains (Investigators), a Management Analyst II, an Administrative Assistant II, the Director of Auditing, and three Internal Auditor IIs. Eleven of the twelve full-time positions in the OIG possess college degrees from an accredited college or university, and three of those staff members possess graduate degrees.

FLORIDA FISH AND WILDLIFE CONSERVATION COMMISSION OFFICE OF INSPECTOR GENERAL Organizational Chart



Mission Statement:

The mission of the FWC Office of Inspector General is to provide leadership in the promotion of accountability and integrity in state government.

PROFESSIONAL INVOLVEMENT:

FWC OIG staff members are active in the following professional organizations, with some serving in state-level leadership roles:

- Association of Inspectors General
- Institute of Internal Auditors
- Association of Certified Fraud Examiners
- Commission for Florida Law Enforcement Accreditation
- Florida Police Accreditation Coalition
- FBI Law Enforcement Executive Development Association
- State Law Enforcement Chief's Association

FWC OIG staff members also actively serve in advisory roles on agency committees such as the FWC Business Leadership and Senior Leadership Teams.



The Institute of
Internal Auditors



**ASSOCIATION OF
INSPECTORS GENERAL**

Advancing Professionalism, Accountability & Integrity

PROFESSIONAL CERTIFICATIONS AND TRAINING:

FWC OIG staff members hold the following professional certifications:

- Law Enforcement Officer (6)
- Law Enforcement Instructor (3)
- Certified Inspector General (2)
- Certified Inspector General Investigator (6)
- Certified Inspector General Auditor (2)
- Certified Fraud Examiner (3)
- Certified Internal Auditor (1)
- Internal Audit Practitioner (1)
- Notary Public (2)
- Florida Certified Contract Manager (2)

Some of these certifications are mandated by Florida law. Virtually all certifications require regular mandatory training courses, such as annual in-service training for law enforcement officers, investigative and audit training, fraud awareness training, and ethics training. For FY 2022-2023, OIG staff completed over 683 hours of training.

SUMMARY OF INVESTIGATIVE ACTIVITIES:

The FWC OIG Investigations Section reviews all criminal and administrative allegations of misconduct against FWC employees, contractors, and recipients of FWC funds. The OIG also investigates alleged violations of Florida's Whistle-Blower Act. Each complaint received is reviewed by OIG Investigations Section staff to determine if it meets the investigative criteria in FWC Internal Management Policy and Procedure (IMPP) 1.8 – Office of Inspector General, and additionally, if there is sufficient credible information to warrant a formal investigation.

Minor complaints as defined in IMPP 1.8 include, but are not limited to, allegations of rudeness, use of obscene or profane language, personal appearance issues, improper operation of a state vehicle or vessel, a citizen complaint that can be resolved in the initial contact, and routine disciplinary action by a supervisor which results in counseling or a verbal or written reprimand. The originating FWC division/office (D/O) addresses minor complaints after notifying the OIG of the complaint. The OIG will provide investigative assistance to the D/O as needed. Major complaints, as defined by IMPP 1.8, are investigated by the OIG.



COMPLAINT REVIEW ACTIVITIES:

The FWC OIG Investigations Section received 161 complaints during FY 2022/2023. Complaints are designated with a “COM” case number. The following is a summary of the nature of each complaint and the outcome:



**COMPLAINT REVIEW
ACTIVITIES**

| CASE NUMBER | DATE INITIATED | NATURE OF COMPLAINT | DISPOSITION ("RM" = Referred to Management) |
|--------------------|-----------------------|--|--|
| 22-0071-COM | 07/05/2022 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |
| 22-0072-COM | 07/07/2022 | Other | RM – Operational Issue |
| 22-0073-COM | 07/11/2022 | Retaliation | RM - No Misconduct Identified |
| 22-0075-COM | 07/15/2022 | Criminal | RM - No Misconduct Identified |
| 22-0074-COM | 07/18/2022 | Other | RM – Operational Issue |
| 22-0076-COM | 07/19/2022 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 22-0077-COM | 07/22/2022 | Negligence | RM - No Misconduct Identified |
| 22-0079-COM | 07/23/2022 | Inefficiency | RM - No Misconduct Identified |
| 22-0083-COM | 07/27/2022 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |
| 22-0078-COM | 07/27/2022 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 22-0080-COM | 07/28/2022 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 22-0082-COM | 07/31/2022 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 22-0081-COM | 08/02/2022 | Retaliation | RM - No Misconduct Identified |
| 22-0085-COM | 08/06/2022 | Lying | RM - No Misconduct Identified |
| 22-0086-COM | 08/16/2022 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 22-0084-COM | 08/16/2022 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 22-0087-COM | 08/18/2022 | Lying | RM – Operational Issue |
| 22-0069-COM | 08/21/2022 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |
| 22-0089-COM | 08/24/2022 | Inefficiency | RM - No Misconduct Identified |
| 22-0088-COM | 08/24/2022 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 22-0090-COM | 09/02/2022 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 22-0101-COM | 09/03/2022 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |
| 22-0092-COM | 09/07/2022 | Other | RM – Resource Issue |
| 22-0091-COM | 09/07/2022 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |
| 22-0100-COM | 09/08/2022 | Other | RM – Operational Issue |
| 22-0093-COM | 09/08/2022 | Other | RM - No Misconduct Identified |
| 22-0094-COM | 09/09/2022 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 22-0095-COM | 09/13/2022 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |
| 22-0097-COM | 09/19/2022 | Inefficiency | RM - No Misconduct Identified |
| 22-0096-COM | 09/20/2022 | Criminal | RM - No Misconduct Identified |
| 22-0099-COM | 09/22/2022 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |

COMPLAINT REVIEW
ACTIVITIES

| | | | |
|-------------|------------|---|-------------------------------|
| 22-0098-COM | 09/23/2022 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 22-0103-COM | 09/29/2022 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |
| 22-0102-COM | 10/03/2022 | Inefficiency | RM - No Misconduct Identified |
| 22-0104-COM | 10/10/2022 | Possession/Consumption of Alcohol | RM - No Misconduct Identified |
| 22-0105-COM | 10/11/2022 | Other | RM - No Misconduct Identified |
| 22-0106-COM | 10/12/2022 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 22-0107-COM | 10/17/2022 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |
| 22-0108-COM | 10/19/2022 | Discrimination | RM - No Misconduct Identified |
| 22-0109-COM | 10/20/2022 | Hunting/Fishing Violations | Investigation Initiated |
| 22-0110-COM | 10/21/2022 | Theft | RM - No Misconduct Identified |
| 22-0111-COM | 10/24/2022 | Other | RM - No Misconduct Identified |
| 22-0112-COM | 10/31/2022 | Lying | RM - No Misconduct Identified |
| 22-0113-COM | 11/07/2022 | Falsification of Records | RM - No Misconduct Identified |
| 22-0115-COM | 11/08/2022 | Excessive Absenteeism | RM - No Misconduct Identified |
| 22-0116-COM | 11/08/2022 | Conflict of Interest | Investigation Initiated |
| 22-0114-COM | 11/08/2022 | Discrimination | RM - No Misconduct Identified |
| 22-0118-COM | 11/15/2022 | Unauthorized Use of State Property | Investigation Initiated |
| 22-0117-COM | 11/15/2022 | Other | RM - No Misconduct Identified |
| 22-0121-COM | 11/16/2022 | Conduct Unbecoming | RM - No Misconduct Identified |
| 22-0120-COM | 11/16/2022 | Other | RM - No Misconduct Identified |
| 22-0119-COM | 11/16/2022 | Conduct Unbecoming | RM - No Misconduct Identified |
| 22-0127-COM | 11/17/2022 | Other | No Action Necessary |
| 22-0122-COM | 11/18/2022 | Conduct Unbecoming | RM - No Misconduct Identified |
| 22-0123-COM | 11/22/2022 | Hunting/Fishing Violations | Investigation Initiated |
| 22-0126-COM | 11/29/2022 | Retaliation | Inquiry Initiated |
| 22-0125-COM | 11/29/2022 | Conduct Unbecoming | Inquiry Initiated |
| 22-0124-COM | 11/29/2022 | Conduct Unbecoming | RM - No Misconduct Identified |
| 22-0128-COM | 12/02/2022 | Conduct Unbecoming | RM - No Misconduct Identified |
| 22-0129-COM | 12/05/2022 | Conduct Unbecoming | RM - No Misconduct Identified |
| 22-0130-COM | 12/07/2022 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 22-0131-COM | 12/09/2022 | Conduct Unbecoming | RM - No Misconduct Identified |
| 22-0132-COM | 12/12/2022 | Inefficiency | RM - No Misconduct Identified |
| 22-0133-COM | 12/14/2022 | Conduct Unbecoming | RM - No Misconduct Identified |

COMPLAINT REVIEW
ACTIVITIES

| | | | |
|-------------|------------|---|---|
| 22-0134-COM | 12/19/2022 | Statute/Rule/Policy Violation | Investigation Initiated |
| 22-0136-COM | 12/21/2022 | Inefficiency | RM - No Misconduct Identified |
| 22-0135-COM | 12/21/2022 | Lying | RM - No Misconduct Identified |
| 22-0137-COM | 12/22/2022 | Possession/Consumption of Alcohol | Investigation Initiated |
| 22-0138-COM | 12/27/2022 | Conduct Unbecoming | RM - No Misconduct Identified |
| 22-0140-COM | 12/28/2022 | Other | RM - No Misconduct Identified |
| 22-0139-COM | 12/28/2022 | Inefficiency | RM - No Misconduct Identified |
| 22-0141-COM | 12/29/2022 | Other | RM - No Misconduct Identified |
| 23-0004-COM | 01/05/2023 | Hunting/Fishing Violations | RM - No Misconduct Identified |
| 23-0003-COM | 01/05/2023 | Inefficiency | RM – Duplicate Complaint |
| 23-0002-COM | 01/05/2023 | Statute/Rule/Policy Violation | RM – Operational Issue |
| 23-0001-COM | 01/05/2023 | Other | RM - No Misconduct Identified |
| 23-0005-COM | 01/06/2023 | Other | RM – Operational Issue |
| 23-0006-COM | 01/09/2023 | Falsification of Records | RM - No Misconduct Identified |
| 23-0007-COM | 01/10/2023 | Lying | RM - No Misconduct Identified |
| 23-0008-COM | 01/12/2023 | Criminal | RM - No Misconduct Identified |
| 23-0009-COM | 01/13/2023 | Divulging Confidential Information | RM - No Misconduct Identified |
| 23-0010-COM | 01/17/2023 | Arrest/Civil Citation | Investigation Initiated |
| 23-0012-COM | 01/18/2023 | Conduct Unbecoming | RM - No Misconduct Identified |
| 23-0011-COM | 01/18/2023 | Conduct Unbecoming | Inquiry Initiated |
| 23-0014-COM | 01/25/2023 | Improper/Careless Use of State Property | RM – Minor Discipline Issued by D/O |
| 23-0013-COM | 01/25/2023 | Conduct Unbecoming | RM – Performance Issue |
| 23-0016-COM | 01/27/2023 | Other | RM - No Misconduct Identified |
| 23-0015-COM | 01/27/2023 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 23-0018-COM | 01/30/2023 | Falsification of Records | RM - No Misconduct Identified |
| 23-0017-COM | 01/30/2023 | Criminal | Referred to External Agency for Investigation |
| 23-0019-COM | 01/31/2023 | Other | RM – Duplicate Complaint |
| 23-0021-COM | 02/01/2023 | Conduct Unbecoming | Investigation Initiated |
| 23-0020-COM | 02/01/2023 | Discrimination | RM - No Misconduct Identified |
| 23-0022-COM | 02/02/2023 | Lying | RM - No Misconduct Identified |
| 23-0024-COM | 02/06/2023 | Other | RM - No Misconduct Identified |
| 23-0023-COM | 02/06/2023 | Criminal | Referred to External Agency for Investigation |
| 23-0027-COM | 02/24/2023 | Other | RM – Operational Issue |

| | | | |
|-------------|------------|--|---|
| 23-0025-COM | 02/24/2023 | Abusive, Threatening, or Offensive Actions | RM – Employee Resigned |
| 23-0026-COM | 02/24/2023 | Possession/Use of Drugs | Inquiry Initiated |
| 23-0028-COM | 02/27/2023 | Conflict of Interest | Investigation Initiated |
| 23-0029-COM | 02/28/2023 | Other | RM - No Misconduct Identified |
| 23-0030-COM | 03/01/2023 | Other | RM – Operational Issue |
| 23-0031-COM | 03/02/2023 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |
| 23-0032-COM | 03/03/2023 | Sexual Harassment | Employee Resigned |
| 23-0034-COM | 03/06/2023 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 23-0033-COM | 03/06/2023 | Divulging Confidential Information | Investigation Initiated |
| 23-0035-COM | 03/13/2023 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 23-0036-COM | 03/14/2023 | Retaliation | Referred to External Agency for Investigation |
| 23-0037-COM | 03/15/2023 | Other | Referred to External Agency for Investigation |
| 23-0039-COM | 03/21/2023 | Statute/Rule/Policy Violation | RM – Operational Issue |
| 23-0038-COM | 03/21/2023 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 23-0041-COM | 03/23/2023 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 23-0040-COM | 03/23/2023 | Abusive, Threatening, or Offensive Actions | RM – Minor Discipline Issued by D/O |
| 23-0042-COM | 03/24/2023 | Criminal | Referred to External Agency for Investigation |
| 23-0043-COM | 03/29/2023 | Falsification of Records | RM – Operational Issue |
| 23-0044-COM | 04/03/2023 | Conduct Unbecoming | RM - No Misconduct Identified |
| 23-0046-COM | 04/10/2023 | Conduct Unbecoming | RM - No Misconduct Identified |
| 23-0045-COM | 04/10/2023 | Other | RM – Operational Issue |
| 23-0047-COM | 04/11/2023 | Statute/Rule/Policy Violation | Investigation Initiated |
| 23-0048-COM | 04/12/2023 | Other | RM – Operational Issue |
| 23-0049-COM | 04/14/2023 | Other | Investigation Initiated |
| 23-0050-COM | 04/17/2023 | Other | RM – Operational Issue |
| 23-0051-COM | 04/19/2023 | Other | RM - No Misconduct Identified |
| 23-0052-COM | 04/24/2023 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 23-0055-COM | 04/25/2023 | Statute/Rule/Policy Violation | Investigation Initiated |
| 23-0054-COM | 04/25/2023 | Other | RM - No Misconduct Identified |
| 23-0053-COM | 04/25/2023 | Lying | RM - No Misconduct Identified |
| 23-0056-COM | 05/05/2023 | Conduct Unbecoming | RM - No Misconduct Identified |
| 23-0059-COM | 05/11/2023 | Conduct Unbecoming | RM - No Misconduct Identified |

COMPLAINT REVIEW
ACTIVITIES

| | | | |
|-------------|------------|---|-------------------------------|
| 23-0058-COM | 05/11/2023 | Possession/Use of Drugs | RM - No Misconduct Identified |
| 23-0057-COM | 05/11/2023 | Other | RM - No Misconduct Identified |
| 23-0061-COM | 05/12/2023 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 23-0060-COM | 05/12/2023 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 23-0066-COM | 05/16/2023 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 23-0065-COM | 05/16/2023 | Discrimination | RM - No Misconduct Identified |
| 23-0064-COM | 05/16/2023 | Inefficiency | RM - No Misconduct Identified |
| 23-0063-COM | 05/16/2023 | Other | RM – Operational Issue |
| 23-0062-COM | 05/16/2023 | Other | RM - No Misconduct Identified |
| 23-0068-COM | 05/17/2023 | Criminal | RM - No Misconduct Identified |
| 23-0067-COM | 05/17/2023 | Lying | RM - No Misconduct Identified |
| 23-0069-COM | 05/22/2023 | Inefficiency | RM - No Misconduct Identified |
| 23-0070-COM | 05/26/2023 | Inefficiency | RM - No Misconduct Identified |
| 23-0073-COM | 05/31/2023 | Other | RM - No Misconduct Identified |
| 23-0072-COM | 05/31/2023 | Discrimination | RM - No Misconduct Identified |
| 23-0071-COM | 05/31/2023 | Statute/Rule/Policy Violation | RM - No Misconduct Identified |
| 23-0074-COM | 06/01/2023 | Other | RM - No Misconduct Identified |
| 23-0075-COM | 06/02/2023 | Discrimination | RM - No Misconduct Identified |
| 23-0076-COM | 06/07/2023 | Other | RM - No Misconduct Identified |
| 23-0077-COM | 06/09/2023 | Other | RM - No Misconduct Identified |
| 23-0079-COM | 06/09/2023 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |
| 23-0078-COM | 06/09/2023 | Statute/Rule/Policy Violation | RM – Resource Issue |
| 23-0081-COM | 06/12/2023 | Conduct Unbecoming | RM - No Misconduct Identified |
| 23-0080-COM | 06/12/2023 | Other | RM - No Misconduct Identified |
| 23-0082-COM | 06/13/2023 | Conflict of Interest | Investigation Initiated |
| 23-0083-COM | 06/16/2023 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |
| 23-0085-COM | 06/22/2023 | Abusive, Threatening, or Offensive Actions | RM - No Misconduct Identified |
| 23-0084-COM | 06/22/2023 | Conduct Unbecoming | RM - No Misconduct Identified |
| 23-0086-COM | 06/23/2023 | Other | RM - No Misconduct Identified |
| 23-0087-COM | 06/26/2023 | Unauthorized/Careless Display of Weapons | Inquiry Initiated |
| 23-0088-COM | 06/27/2023 | Conduct Unbecoming | RM - No Misconduct Identified |
| 23-0089-COM | 06/28/2023 | Conduct Unbecoming | RM - No Misconduct Identified |

The FWC OIG processed complaints in the following 15 FWC divisions, offices, and regions, as well as complaints against entities outside of the OIG’s jurisdiction, which were referred to the appropriate entity:

| Complaints Regarding Division/Office/DLE Region or Section² | Total |
|---|--------------|
| Division of Freshwater Fisheries Management | 1 |
| Division of Habitat and Species Conservation | 11 |
| Division of Hunting and Game Management | 3 |
| Division of Law Enforcement (General) | 2 |
| Division of Law Enforcement - Boating and Waterways Section | 1 |
| Division of Law Enforcement - Captive Wildlife Section | 4 |
| Division of Law Enforcement - North Central Region | 14 |
| Division of Law Enforcement - Northeast Region | 19 |
| Division of Law Enforcement - Northwest Region | 24 |
| Division of Law Enforcement - Operational Support Section | 1 |
| Division of Law Enforcement - South A Region | 14 |
| Division of Law Enforcement - South B Region | 16 |
| Division of Law Enforcement - Southwest Region | 18 |
| Division of Law Enforcement - Technology and Communications Section | 2 |
| Division of Marine Fisheries Management | 1 |
| External Non-FWC Person or Entity | 14 |
| Finance and Budget Office | 1 |
| Multiple Divisions/Offices/Sections | 1 |
| Fish and Wildlife Research Institute | 2 |
| Florida Youth Conservation Centers Network | 2 |
| General Services | 1 |
| Legal Office | 1 |
| Not Applicable/Unknown | 2 |
| Office of Executive Direction and Administrative Support | 1 |
| Office of Information Technology | 1 |
| Office of Licensing and Permitting | 3 |
| Regional Offices - South | 1 |

² If a Division, Office, or DLE Section/Region is not listed in this table, the OIG did not receive a complaint about that area in FY 2022/2023.



INVESTIGATIVE ACTIVITIES:

The FWC OIG Investigations Section conducts investigations of complaints alleging major misconduct and criminal activity if there is sufficient credible information to warrant a formal investigation. Examples of these types of complaints include, but are not limited to, allegations of criminal misconduct, misconduct that if proven, will likely result in suspension or dismissal, violation of Florida's Whistle-Blower Act, misconduct that crosses D/O lines, and sexual harassment. Investigations are designated using an "INV" case number.

The OIG Investigations Section also conducts inquiries. Inquiries are conducted when there is not enough information provided in the initial complaint to determine if an investigation is warranted. The inquiry is limited to obtaining enough information to make an informed decision as to how to designate the complaint. Inquiries are designated using an "INQ" case number.

Each allegation investigated by the OIG is classified under one of the following conclusions of fact, or is administratively closed:

- Exonerated – The alleged conduct occurred but was lawful and proper.
- Unfounded – There was no evidence identified in the investigation to support the allegation in the complaint.
- Not Sustained – There was insufficient evidence to prove or disprove the allegation.
- Sustained – The allegation was supported by proper and sufficient evidence.
- Policy Failure – The alleged actions occurred but were not addressed by agency policy.
- Closed – Used for inquiries where no information supporting further investigation was identified, or investigations which were administratively closed without a finding.
- Open – Investigation was still open as of the time of this report.

The OIG Investigations Section initiated 28 investigations and inquiries during FY 2022/2023. The following is a summary of the nature of allegations and findings for each activity. More specific information regarding OIG investigations is not provided in this report due to confidential and/or exempt information contained within, and in some cases, ongoing disciplinary or legal processes. At the conclusion of each investigation, findings are issued based on all evidence gathered. The closed investigation is then provided to the originating D/O to determine the appropriate disciplinary action, if any.

| CASE NUMBER ³ | DATE INITIATED | NATURE OF ALLEGATION | FINDINGS ⁴ |
|--------------------------|----------------|--|-----------------------|
| 22-0020-INV | 07/18/2022 | Discrimination | Unfounded |
| 22-0021-INV | 07/26/2022 | Hunting/Fishing Violations | Closed |
| 22-0022-INV | 08/08/2022 | Negligence | Closed |
| 22-0024-INV | 08/11/2022 | Conduct Unbecoming | Closed |
| 22-0023-INV | 08/11/2022 | Possession/Use of Drugs | Closed |
| 22-0026-INV | 09/15/2022 | Conduct Unbecoming | Not Sustained |
| 22-0027-INV | 09/23/2022 | Inefficiency | Closed |
| 22-0007-INV | 09/26/2022 | Possession/Use of Drugs | Closed |
| 22-0025-INV | 09/26/2022 | Negligence | Closed |
| 22-0028-INV | 10/21/2022 | Hunting/Fishing Violations | Sustained |
| 22-0030-INV | 11/15/2022 | Unauthorized Use of State Property | Sustained |
| 22-0029-INV | 11/15/2022 | Conflict of Interest | Sustained |
| 22-0031-INV | 11/22/2022 | Hunting/Fishing Violations | Sustained |
| 22-0001-INV | 12/05/2022 | Conduct Unbecoming | Closed |
| 22-0002-INV | 12/05/2022 | Retaliation | Closed |
| 22-0032-INV | 12/20/2022 | Statute/Rule/Policy Violation | Sustained |
| 22-0033-INV | 12/27/2022 | Possession/Consumption of Alcohol | Unfounded |
| 23-0001-INV | 01/17/2023 | Arrest/Civil Citation | Sustained |
| 23-0001-INV | 01/18/2023 | Abusive, Threatening, or Offensive Actions | Closed |
| 23-0002-INV | 02/01/2023 | Conduct Unbecoming | Not Sustained |
| 23-0002-INV | 02/27/2023 | Possession/Use of Drugs | Closed |
| 23-0003-INV | 03/10/2023 | Divulging Confidential Information | Sustained |
| 23-0004-INV | 03/17/2023 | Conflict of Interest | Open |
| 23-0006-INV | 04/11/2023 | Statute/Rule/Policy Violation | Sustained |
| 23-0007-INV | 04/25/2023 | Statute/Rule/Policy Violation | Sustained |
| 23-0008-INV | 04/25/2023 | Falsification of Records | Sustained |
| 23-0011-INV | 06/15/2023 | Conflict of Interest | Open |
| 23-0003-INV | 06/28/2023 | Unauthorized/Careless Display of Weapons | Closed |

The OIG Investigations section also completed one management review of an FWC program area and made recommendations for improvement to agency leadership.

³ The FWC OIG case numbering system changed during FY 2022/2023 with the implementation of a new case management system. Case numbering conventions may vary between 2022 and 2023. Background investigation case numbers for new OIG employees are also not shown in this list.

⁴ Some investigations include multiple allegations and multiple findings. Findings regarding the primary allegation are shown in this report.



SUMMARY OF AUDIT ACTIVITIES:

The role of internal auditing is to provide an independent, objective assurance and consulting activity designed to add value and improve the organization's operations. The FWC OIG Internal Audit Section assists the agency in accomplishing its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes. We provide assurances to senior management that all reviewed operations are performing in a manner that is consistent with established organizational objectives, policies, and procedures.

Our internal audits and reviews are conducted in conformance with the International Standards for the Professional Practice of Internal Auditing and are typically carried out in accordance with an annual work plan approved by the FWC Executive Director.

In FY 2022/2023, the OIG Internal Audit Section completed six audits, six audit follow-ups, five management reviews, and provided audit assistance to the OIG Investigations Section. At the close of the FY, one audit remained open. A summary of each completed audit project follows:

IA-2203 DFFM TrophyCatch Program Audit

The FWC OIG conducted an operations audit of the FWC Division of Freshwater Fisheries Management (DFFM) TrophyCatch program. The OIG determined that overall:

- TrophyCatch did not have adequate policies and procedures to effectively administer the program.
- TrophyCatch did not have adequate security measures for Bass Pro Shops (BPS) gift cards given out to anglers at special events.
- TrophyCatch did not perform quarterly reconciliations of BPS gift cards mailed to TrophyCatch winners to the inventory of BPS gift cards.

The OIG also noted one TrophyCatch best practice. The OIG planned to conduct a follow-up review with DFFM program management in six months to check on the status of the three findings noted above.

IA-2212 HSC Aquatic Habitat Restoration Grant Audit

The FWC OIG conducted a compliance audit of the FWC Division of Habitat and Species Conservation (HSC) Wildlife Diversity Conservation Section, Conservation Grants and Budget Management Subsection's (CGBMSS) grant monitoring practices. With the exception of three findings, CGBMSS met Federal, State of Florida, and Florida Department of Financial Services grant monitoring requirements. These three findings were fully corrected prior to the final audit report. Therefore, a six-month follow-up review will not be conducted by OIG. The OIG also noted two CGBMSS grant monitoring best practices. The OIG considers this audit closed.

IA-2301 Florida Single Audit Act (FSAA)

The FWC OIG reviewed financial packages that were received from cities, counties, and non-profit entities that have grant agreements with FWC for FSAA eligibility for FY 2022/2023. None of these financial packages exceeded the eligibility threshold (\$750,000) required for a FSAA Single Audit.

IA-2302 Quality Assurance Review

The State of Florida Auditor General issued the FWC OIG's Internal Audit Activity Quality Assessment Review (QAR) Report on October 10, 2022. This QAR Report stated:

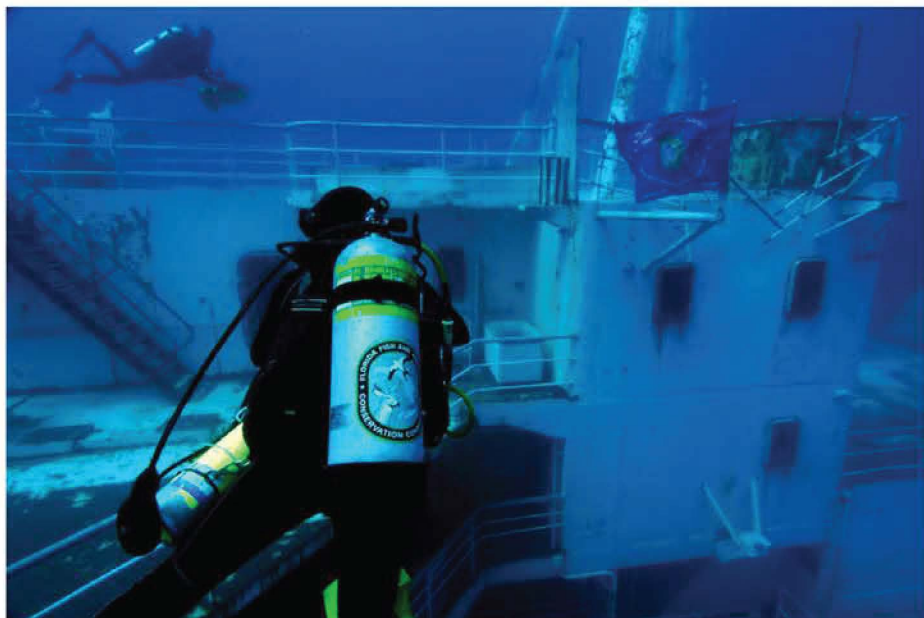
"In our opinion, the quality assurance and improvement program related to the Fish and Wildlife Conservation Commission (Commission), Office of Inspector General's internal audit activity was adequately designed and complied with during the review period July 2021 through June 2022 to provide reasonable assurance of conformance with applicable professional auditing standards and the Code of Ethics issued by The Institute of Internal Auditors. Also, the Office of Inspector General generally complied with those provisions of Section 20.055, Florida Statutes, governing the operation of State agencies' offices of inspectors general internal audit activities."

IA-2303 Agencywide Diving Safety Management Review

The FWC OIG conducted a management review of agency-wide diving safety. The OIG determined that overall:

- One out of eighteen sampled FWC scientific divers (5.5 percent) did not meet frequency of medical evaluations requirements found in the American Academy of Underwater Sciences (AAUS) Standards for Scientific Diving Manual (SFSDM). This finding was fully corrected prior to the final management review report.
- Two out of eighteen sampled FWC scientific divers did not complete the minimum number of dives required to maintain certification as found in the AAUS SFSDM.
- Each FWC scientific diving regional office uses their own version of a SCUBA equipment inventory spreadsheet.

The OIG will conduct a follow-up review with FWC Diving Control Board in six months to check the status of the two remaining findings (see second and third bullet points above). The OIG considers this management review still open.



IA-2304 OLP Contract and Contract Amendment Audit

The FWC OIG conducted a compliance audit of FWC Contract Number (No.) 19233 and FWC Contract No. 19233, Amendment No. 1. The FWC Office of Licensing and Permitting (OLP) is responsible for monitoring Contract No. 19233, as well as Amendment No. 1 to the Contract. The OIG determined that overall:

- The OLP Contract Manager responsible for monitoring the Contract and Contract Amendment No. 1 with Brandt Information Services, LLC did not have the following three written contract monitoring tools: Risk Assessment, Monitoring Plan, and Monitoring Policies and Procedures.
- The OLP has documented Brandt performance measure deficiencies in seven Service Level Agreement (SLA) Service Categories found in Contract Amendment No. 1.

The OIG also noted two Brandt best practices. The OIG will conduct a follow-up review with OLP management in six months to check the status of the two findings noted above. The OIG considers this audit still open.



IA-2305 DLE Background Investigations Audit

The FWC OIG initiated an audit of the FWC Division of Law Enforcement (DLE) background investigations process. This audit was prompted by the OIG Investigations Section uncovering issues with DLE's background investigations screening procedures. The audit scope was to include a review of:

- DLE's background investigation screening process.
- Selected criminal background screening activities performed by DLE.
- DLE's training, policies, and procedures on background investigation screening.
- Testing a sample of DLE employees to ensure proper background screening training was provided.

The OIG discovered during the audit that the DLE had created a focus group to address the background investigation process. The OIG did not complete the audit scope and objectives due to DLE's ongoing focus group. The OIG considers this audit closed.



IA-2306 22-23 HB1297 FWC Cybersecurity Audit

The FWC OIG initiated an audit of FWC's identity management, authentication, and access control procedures, activities, and processes. The purpose of the audit was to evaluate agency controls and compliance with Chapter 60GG-2 Florida Administrative Code (FAC), specifically, Rule 60GG-2.003 FAC, covering the function of "Protect (PR)" and the category of "Identity Management, Authentication, and Access Control (AC)" regarding Information Technology (IT) resource management and protection from cybersecurity events. The scope of this audit included current agency cybersecurity AC policies, procedures, activities, and processes. The OIG audited the cybersecurity practices of the Commission for FY 2022-2023. Cybersecurity is an agency wide responsibility. The FWC Office of Information Technology (OIT) and FWC Finance and Budget Office (FBO) General Services Section - Facilities Management staff are charged with security of the network and security of the physical environment, respectively.

Overall, our audit indicated that OIT and Facilities did their due diligence in PR and AC regarding IT resource management and protection from cybersecurity events. The OIG noted zero findings and made zero recommendations. The Commission was in compliance with Rule 60GG-2.003(1) FAC cybersecurity standards and has reduced agency vulnerability to IT attacks. The OIG considers this audit closed.

IA-2307 FY 2022-2023 HB 1079 FWC Contracts Compliance Management Review

The FWC OIG conducted a House Bill 1079 compliance management review of 25 agency contracts executed between July 1, 2021, and June 30, 2022. The OIG determined that overall there was not a pattern of vendor preference for FWC contracts executed during FY 2021-2022. The OIG considers this management review closed.

IA-2308 Recreational Lionfish Harvest Program Audit Follow-Up Review

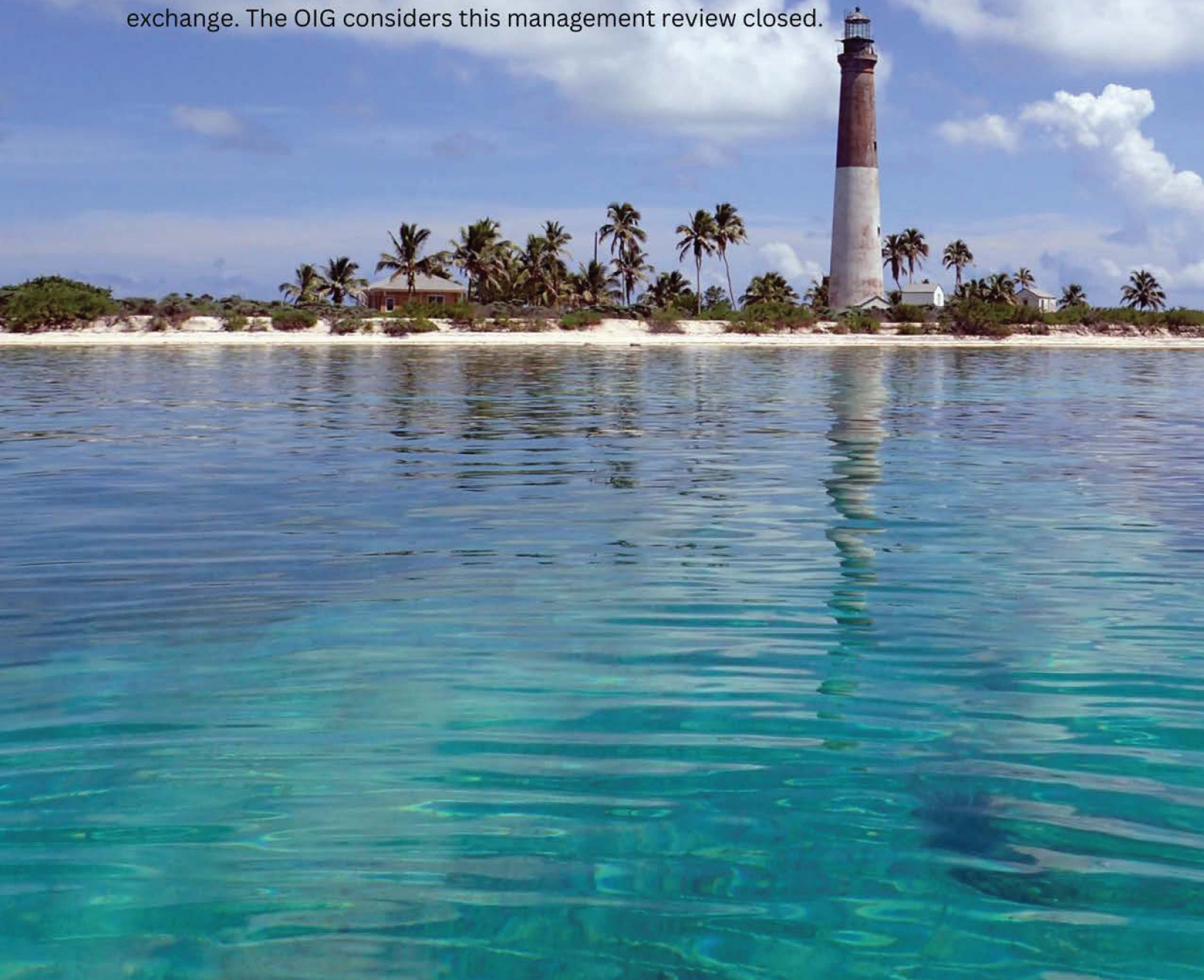
This advisory memorandum reported the status of the FWC DMFM Recreational Lionfish Harvest Program's (RLHP) efforts to implement recommendations provided in the OIG IA-2204 RLHP Audit Report. In an email to OIG dated September 2, 2022, DMFM management stated:

“The Recreational Lionfish Harvest Reimbursement Program originally began as an exploratory effort to increase diver involvement in lionfish removal. After several years of running the program, the FWC found that the cost per lionfish removed through the RLHP was much higher than other programs, and the original goal of the program - to increase diver involvement - was not being met. With recent budget reductions and decreases in personnel following the COVID19 pandemic, we decided to discontinue the RLHP beginning in July of 2022 and focus our efforts on programs which were more popular with stakeholders and more efficient at removing lionfish from Florida waters.”

Based on the information supplied by DMFM in their email, the OIG determined that a follow-up review of RLHP was unnecessary at this time. The OIG considers this audit closed.

IA-2309 FLHSMV/FWRI Data Exchange MOU Management Review

The FWC OIG completed a management review of the FWC Fish and Wildlife Research Institute's (FWRI) internal controls for safeguarding confidential Florida Department of Highway Safety and Motor Vehicles (FLHSMV) driver's license and/or motor vehicle records. The OIG determined after testing selected FWRI data protection internal controls that sufficient safeguards are in place to adequately protect the confidential data supplied by FLHSMV to FWRI via electronic data exchange. The OIG considers this management review closed.



IA-2310 DLE Body Worn Camera Management Review

The FWC OIG conducted a management review of DLE body worn cameras (BWCs). The review was initiated based on issues identified by the OIG Investigations Section when trying to review BWC footage. It was discovered while attempting to review the BWC footage for certain incidents, there was no BWC footage in the system, BWC footage was not uploaded timely, or a technical issue prevented BWC footage from uploading to the system. The OIG recommended:

- DLE obtain improved BWC technology to address the concerns identified in this review.
- DLE identify, document, and appropriately address incidents with members who fail to adhere to the policies and procedures in DLE General Order (GO) 68. For example, members who fail to perform the following:
 - Members shall ensure the video and audio recording functions always remain on during circumstances listed in GO 68(2)(a-n).
 - Properly categorize the BWC recordings on the camera and/or software prior to the end of the member's shift.
 - BWC recordings are downloaded to the member's issued laptop and uploaded to the system daily.

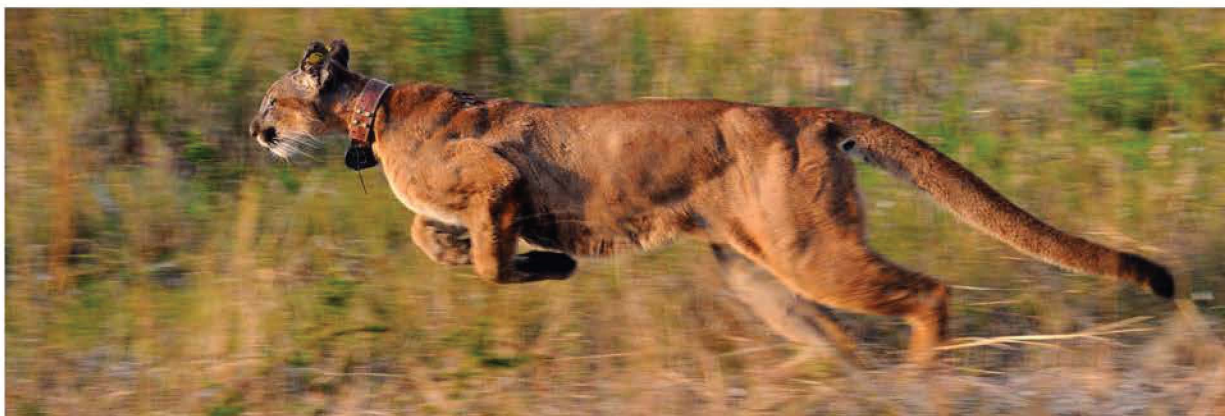
DLE is currently processing a Request for Information for a new BWC system contract and the results will determine if an Invitation to Bid or Invitation to Negotiate will be utilized. DLE is working with the FBO throughout the bidding process. The current \$1 million GETAC contract expires in January 2025. The OIG considered this management review closed.

IIA-2311 FWC Office of Human Resources Audit Third Follow-Up Review

This advisory memorandum reported the status of the FWC Office of Human Resources' (HR) efforts to implement recommendations provided in the OIG IA-2104 HR Operational Audit Report and two subsequent follow-up advisory memorandums. HR management stated that the revised draft of IMPP 6.46, Employee Criminal History Check, was being reviewed by the Business Leadership Team (BLT) for approval. Based on this information supplied by HR management, the OIG determined that a third audit follow-up review was unnecessary at the time. The OIG planned another audit follow-up review of the five remaining recommendations in six months. The OIG considered this audit still open.

IA-2312 FWC HB 1297 Cybersecurity Audit Follow-Up Review

This advisory memorandum reported the status of OIT and Facilities' efforts to implement recommendations provided in the OIG IA-2211 HB 1297 FWC Cybersecurity Audit Report. Based on the results of our follow-up review, we determined OIT and Facilities management took adequate, effective, and timely actions in response to seventeen of the nineteen OIG recommendations. The OIG will conduct a follow-up review of the two remaining recommendations in six months. The OIG considers this audit still open.



IA-2313 20-48 Boating Safety Review Second Follow-Up Review

This advisory memorandum reported the status of FWC's efforts to implement recommendations provided in OIG 2020-INV-0048 FWC Vessel Safety Review. Based on the results of our follow-up review, we determined General Services and BLT are in the process of completing the OIG recommendations. The corrective actions are associated with revising IMPP 5.3, Use of Commission Vehicles, Vessels, Equipment, and Aircraft. General Services and BLT anticipated completion by June 2023. The OIG will conduct a follow-up review of the recommendations in the near future. The OIG considers this management review still open.

IA-2314 DLE FBIP Grant and Grant Amendment Audit

The OIG conducted a compliance audit of FWC Agreement No. 18078 and FWC Agreement No. 18078, Amendment No. 3. The DLE Boating & Waterways Section (BWS), Florida Boating Improvement Program (FBIP) is responsible for monitoring FWC Agreement No. 18078 (the Grant), as well as Amendment No. 3 to the Grant. The OIG noted three audit findings:

- The Site Dedication/Notice of Grant Agreement form should have been completed by the Pinellas County Sheriff's Office before the Certification of Completion Statement was signed by the PCSO Project Manager.
- The FBIP Grant Manager could not locate documentation of a final inspection for the FWC Agreement No. 18078 life jacket kiosks construction deliverable.
- The FBIP Grant Project Progress Report for the first quarter of 2022 was received untimely.

However, the three findings noted above were fully resolved prior to the issuance of the final audit report. Therefore, a six-month follow-up review will not be conducted by OIG. The OIG also noted a FBIP grant monitoring tool best practice. The OIG considers this audit closed.

IA-2315 DFFM TrophyCatch Program Audit Follow-Up Review

This advisory memorandum reported the status of DFFM efforts to implement recommendations provided in the OIG IA-2203 DFFM TrophyCatch Program Audit Report dated August 12, 2022. Based on the results of our follow-up review, we determined DFFM management took adequate, effective, and timely actions in response to the three OIG recommendations. The OIG considers this audit closed.

IA-2316 Performance Measures Management Review

The purpose of this management review was to report the results of the OIG’s review of agency performance measures pursuant to Section 20.055(2) FS. Assessment of agency performance measures is a component of the OIG’s annual work plan. Our review consisted of assessing the validity and reliability of three FY 2021/2022 performance measures included in the agency’s Long-Range Program Plan for 2023/2024 through 2027/2028. A summary of our review is as follows:

| Responsible FWC Division | Performance Measure | Valid | Reliable |
|---|---|-------------------|----------------------|
| <i>Division of Freshwater Fisheries Management (DFFM)</i> | <i>Number of Fish Stocked</i> | Yes | Yes |
| <i>Division of Law Enforcement (DLE)</i> | <i>Number of Warnings, Arrests, and Convictions</i> | <i>*Partially</i> | <i>*Partially</i> |
| <i>Fish and Wildlife Research Institute (FWRI)</i> | <i>Number of Manatees Released</i> | Yes | <i>*Not Reliable</i> |
| <i>*Further action recommended.</i> | | | |

IA-2318 FWC Office of Human Resources Audit Fourth Follow-Up Review

This advisory memorandum reported the status of HR efforts to implement recommendations provided in the OIG IA-2104 HR Operational Audit Report and three subsequent follow-up advisory memorandums. Based on the results of our fourth follow-up review, we determined HR management completed the remaining five OIG recommendations. IMPP 6.46, Employee Criminal History Check, was updated and signed on March 31, 2023. The OIG considers this audit closed.

**NOTES:**

In June 2023, the OIG Audit Section prepared a risk assessment and audit plan (IA-2317) for FY 2023/2024, and a long-term audit plan for FYs 2024/2025 and 2025/2026. The main purpose and benefit of conducting this assessment was to plan audit activities (through a risk-based process) to provide the most effective audit coverage of the FWC's programs given the resources allocated.

The following audit projects were ongoing and incomplete as of June 30, 2023: IA-2319.

OTHER KEY ACHIEVEMENTS DURING FY 2022/2023:

OIG IMPLEMENTS NEW CASE MANAGEMENT SYSTEM

The FWC OIG began the procurement process for a new case management system in June 2022. Training was completed for all staff in October 2022 and the system was fully implemented in January 2023. Implementation has resulted in significant improvements in efficiency, accountability, records management, and the availability of information and data for management decision making for the OIG.

OIG INVESTIGATIONS STAFF EARN LEADERSHIP AWARD

Two OIG captains were awarded the FBI-LEEDA Trilogy Award in Winter Haven, Florida on May 19, 2023. The Trilogy Award is given to leaders who complete the FBI-LEEDA's Supervisor, Command, and Executive Leadership Institutes. These captains are the third members of the OIG to receive this award. The OIG updated performance expectations for Investigations Section staff this fiscal year to increase focus on leadership development for these middle management positions, and better align expectations with similar positions in the DLE. This focus on leadership development aligns with the FWC OIG mission to "...to provide leadership in the promotion of accountability, integrity, and efficiency within FWC."

FRAUD PREVENTION PROGRAM

The OIG is charged in Section 20.055 FS with managing programs designed to prevent, examine, detect, and eliminate fraud, waste, abuse, mismanagement, malfeasance, and misconduct in the agency. This fiscal year, the OIG implemented a new outreach and fraud prevention program. OIG staff have completed multiple presentations throughout the state, reaching hundreds of FWC employees. Feedback from participants has been positive. The OIG is committed to working cooperatively with all FWC employees to create a safe work environment where integrity is the cornerstone of everything we do as public employees.

STAFFING

This fiscal year, the OIG increased other personnel services (OPS) staffing in the Internal Audit Section to better respond to legislative mandates related to contract and Information Technology (IT) audits. The OIG successfully hired and onboarded two OPS Internal Auditor II's who serve as staff auditors conducting compliance and contract audits. The OIG has also begun the hiring process for an additional position which will be dedicated to our legislative IT audit mandate. The addition of this position will help the OIG better compete with the private sector in recruiting and retaining qualified internal auditors with the appropriate background to carry out these audits.

BUSINESS PROCESS IMPROVEMENTS

The OIG implemented monthly meetings with the FBO - Budget and Revenue Services Section during this fiscal year. As a result of these meetings, the OIG has implemented an improved internal budget tracking process. This improved process has supported our OPS staffing efforts described above and allowed for more effective spending throughout the year to better support staff needs.

The OIG for the first time assigned a member of OIG management to an advisory role on the FWC Business Leadership Team. This assignment has enabled the OIG to provide input on business processes that affect our office and has enhanced our ability to carry out our statutory mandate to advise management on risk. The OIG continues to seek opportunities to work cooperatively with FWC management, while maintaining our organizational independence.



CONTACT US

The OIG is committed to working cooperatively with all FWC employees and contractors, as well as our external stakeholders, to create a safe work environment where integrity is the cornerstone of everything we do as public employees. We are here to help. You may contact the FWC OIG using the contact information below:



Florida Fish and Wildlife Conservation Commission

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