



FLORIDA DEPARTMENT OF CORRECTIONS OFFICE OF THE INSPECTOR GENERAL

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September 27, 2013

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

Dear Secretary Crews:

I am pleased to present the Office of Inspector General (OIG) Annual Report for Fiscal Year 2012-13, provided pursuant to the mandate of Section 20.055(7), Florida Statutes. This report outlines the activities and accomplishments of the OIG for the fiscal year ending June 30, 2013.

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

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

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

Respectfully submitted,

Jeffery T. Beasley Inspector General

JTB/PRS/jp

Attachment

cc: Chief Inspector General, Executive Office of the Governor



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Department Background

As the nation's third-largest prison system, the Florida Department of Corrections fulfills a primary role in enhancing the safety of Florida residents. Through a network of 55 state prisons (including seven private prisons), road prisons, work camps and community-based facilities, the Department manages incarceration and care for approximately 100,000 inmates. It also supervises approximately 179,000 offenders through 151 probation offices statewide. The Department employs approximately 22,000 employees, the majority of whom are Correctional Officers or Correctional Probation Officers, who carry out this public safety mandate 24 hours a day, 7 days a week, 365 days a year.

Purpose of this Annual Report

Section 20.055, Florida Statutes, requires the Inspector General submit to the agency head, no later than September 30 of each year, an annual report summarizing the activities during the preceding fiscal year. This report provides departmental staff and other interested parties with an overview of the Office of the Inspector General's activities as related to its mission.

Vision

To enhance public safety and trust within the State of Florida.

Mission

To protect and promote public integrity and accountability within the Department through investigations of criminal and administrative violations and audits to detect fraud, waste and abuse.

General Goals

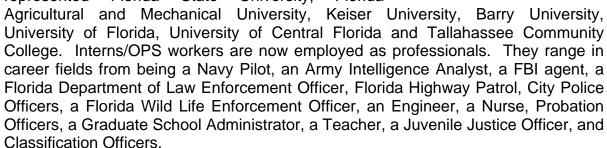
To add value to the Department by:

- 1. Surveying management and key staff to determine expectations and needs.
- 2. Identifying statewide risks and threats.
- 3. Developing innovative solutions to mitigate those risks and threats.
- 4. Providing timely and pertinent information to decision makers.
- 5. Assessing internal controls and facilitating improvements to support the successful implementation of management's expectations and needs.
- 6. Conducting timely investigations and audits that accurately represent conditions and events occurring within the Department.
- 7. Safeguarding the integrity of the state's correctional system.
- 8. Assist the Department in the proper management of potential hazards.

Accomplishments

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

- ✓ Deployed its first electronic case management system (IGIIS-Inspector General's Investigative & Intelligence System).
- ✓ The Security Threat Intelligence Unit (STIU) unveiled its updated gang database program in May of 2013. The Security Threat Operational Review Monitoring System (STORMS) program is now a web based program. Security Threat Group Coordinators at institutions and probation offices are now able to log on to any Department computer and access the STORMS database. The STIU added enhancements to the system to include additional reports to track gang members incarcerated in prison or who are on probation and users are now able to download not only graphics, but documents as well.
- ✓ Since April 1999 the STIU has had over 40 Interns/OPS workers and Volunteers. They represented Florida State University, Florida



The Internship program has been a tremendous benefit to the STIU. The unit has been able to train each of these students to function in the capacity of the section's Intelligence Analyst and many duties and responsibilities of the Correctional Programs Administrator.

✓ The Inspector General's Office Training Section along with the Florida Department of Law Enforcement (FDLE) spent approximately one year developing an In-Custody Death or Serious Life Threatening Injury Investigative Course. This 16 hour course trained both Department of Corrections Inspectors and FDLE Special Agents on properly understanding the procedures and legal statutes that regulate a joint investigation involving in-custody death or serious life threatening injury at



Department of Corrections or privately owned contract facilities. Additional instruction focused on how to identify and use resources to determine if the incustody death of serious life threatening injury was the result of an accident, natural causes, or criminal wrong doing.

Instructors from the Office of the Inspector General and the Florida Department of Law Enforcement started teaching this course in January 2013 at FDLE headquarters in Tallahassee. The instructors moved the course around the state ending in April 2013 at FDLE headquarters Miami Florida. A total of seven classes were held and approximately 175 Inspectors and Special Agents were trained.

- ✓ Eight Inspectors were sent to Orlando Florida to certify and recertify on the Viper Voice Stress Analysis (VSA). The VSA has been in use in the Inspector General's office for several years. This technology has been providing reliable information in many criminal cases. The VSA has also been very reliable in verifying information in the Department of Corrections when there may be a possible breach of security.
- ✓ One K9 Unit staff member was selected to represent the State of Florida at the United States Police Canine Association (USPCA) National Detector Trials in Hammond, Louisiana after placing first in the USPCA Regional 1



Trials in Florida. The USPCA is the largest organization of its kind and unites law enforcement agencies that utilize canines as an aid in the prevention and detection of crimes.

- ✓ Members from the Safety and Risk Management Office have received their certification as Fire Safety Inspectors from the Division of State Fire Marshal. They completed a 200-classroom hour certification that included courses in fire prevention, private protection system, plans review, codes and standards, and construction for fire service.
- ✓ Three Inspector General Intelligence staff members recently attended a Critical Thinking and Analytic Methods Course taught by the Department of Homeland Security, Office of Intelligence and Analysis. The DC OIG Security Threat Intelligence Group (three members of a four person team) was recognized for its "spot on" interpretation and presentation of the analytical exercise. The instructor added that this group's analysis of the exercise was the best he had seen under his instruction.
- ✓ OIG staff revamped policies and procedures in response to the Federal Prison Rape Elimination Act and created a training program for inspectors who are charged with the responsibility to investigate sexual battery, sexual misconduct and sexual harassment allegations. Additionally, the OIG assisted Security Operations in developing and implementing standards for the detection, prevention, reduction and punishment of sexual abuse, sexual battery and sexual harassment in prison.

Specific Areas of Responsibility

Primary services provided by the OIG include the following:

 OIG facilitates an automated management information network to keep designated personnel informed of events that occur on Department property or concerning Department staff, inmates, offenders, or other activity throughout the state. This information network:



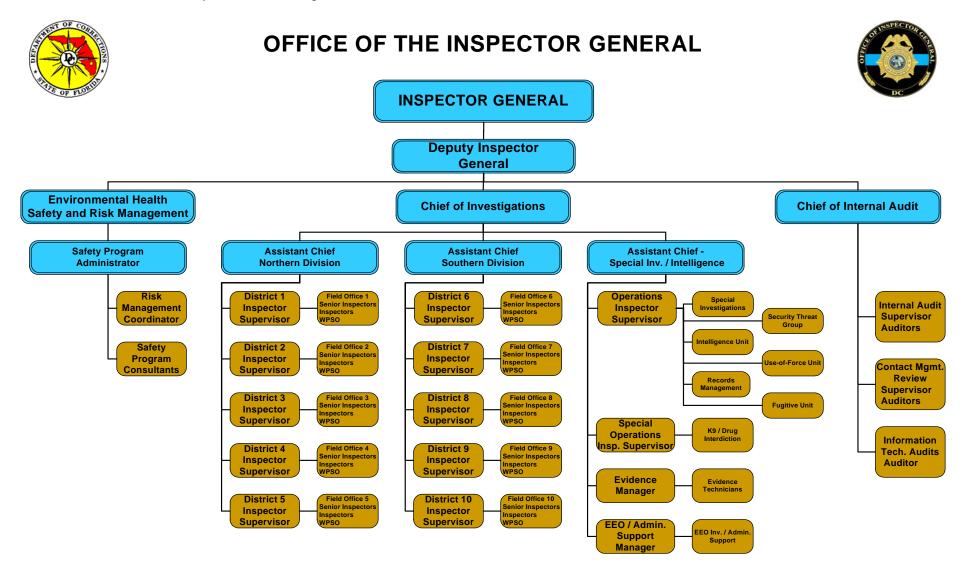
- provides an incident/event reporting system for all areas of the Department, enabling early identification of problems and timely allocation of investigative and corrective resources;
- collects statewide data for use by key personnel in developing strategies to address areas of concern;
- provides timely flow of information to management and, through the Public Information Office, to the public; and
- leads department efforts to maintain cooperative working relationships with FDLE and other law enforcement agencies.
- OIG certified law enforcement and correctional inspectors conduct criminal and administrative investigations relating to inmates, offenders, visitors, Department and contract staff, and vendors. Inspectors:
 - take an active role in locating and coordinating the arrest of fugitives by working closely with the staff in the Fugitive Unit;
 - investigate crimes occurring on Department property and coordinate with other law enforcement agencies and prosecutorial entities; and
 - conduct administrative investigations into allegations of misconduct by staff, inmates, and offenders.
- 3. The **OIG Intelligence Unit** collects and analyzes data to identify trends, contraband introduction methods, officer safety issues, and gang and criminal activities in Department facilities. This information and intelligence is used by senior management, other state and local law enforcement offices and agencies, the Federal Bureau of Investigation, and the Department of Homeland Security.
- 4. The **Contraband Interdiction Unit** assists the Office of Institutions in providing a safe environment for employees, inmates, and visitors by deterring the introduction of weapons, cell phones, narcotics and other contraband into correctional facilities. Interdiction teams:
 - conduct unannounced interdiction operations, including searches for weapons and narcotics, in both state and private correctional facilities; and

- review contraband control processes at state correctional facilities for compliance with Department policy and procedure.
- 5. **OIG inspectors** safeguard the integrity of the state's correctional system. The Department has 88 sworn law enforcement officers on the OIG investigative staff, two certified law enforcement analysts, and 53 certified correctional officer inspectors. Inspectors:
 - conduct criminal and administrative investigations into internal affairs involving Department operations, contracts, staff, inmates, visitors and volunteers;
 - ensure compliance with Department rules and procedures;
 - track and direct recapture of fugitives from justice;
 - operate contraband interdiction;
 - provide critical intelligence and gang information to law enforcement agencies across the state and nation;
 - coordinate investigative efforts with FDLE and other law enforcement agencies;
 - work closely with prosecutorial entities to facilitate the prosecution of criminal cases; and
 - coordinate Department activities required by the Florida Whistle-blower's Act.
- 6. **OIG auditors** assess the efficiency and effectiveness of Department programs and associated controls, measure compliance with laws and procedures, and serve to deter waste, fraud and abuse of Department resources. Auditors:
 - conduct compliance, performance and information technology audits in accordance with professional auditing standards and reviews relating to Department operations, contracts, staff, inmates, visitors and volunteers;
 - identify instances of fraud, abuse, and other deficiencies relating to Department programs and operations, inform the Secretary of those conditions, recommend corrective action, and report on progress made in correcting deficiencies;
 - provide technical assistance with criminal and administrative investigations involving waste, fraud, or misappropriation of funds;
 - conduct contract management reviews to enhance accountability and oversight of the Department's contracts for goods and services; and
 - serve as the Department's liaison in coordinating audits and facilitating cooperation with external agencies including the Auditor General, OPPAGA, and FDLE.

- 7. **Environmental Health and Safety Officers** provide for the environmental health and safety of incarcerated felons, as well as department employees, volunteers and visitors. Areas of responsibility include:
 - accompany state fire protection specialists of the Division of State Fire Marshal during annual fire safety surveys;
 - conduct annual fire, environmental health and OSHA-related safety inspections of new, renovated and current institutions, followed by the on-site verification of corrected violations:
 - conduct the environmental health, safety and risk management portion of the operational review process that is conducted every two years at all major correctional facilities;
 - conduct training sessions for Loss Control Management including accident investigation, general safety awareness, damaged or lost property coverage, and a review of workers' compensation issues; and
 - receive and process all Risk Management claims to include Property Damage, General Liability, Auto, Boiler and Machinery, and Missing or Damaged Inmate Property.

Office of the Inspector General Organizational Chart

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



Bureau of Investigations

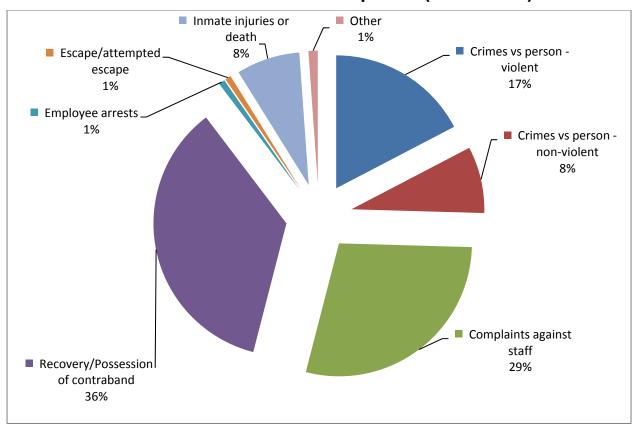
Investigations

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

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

More than 34,900 incidents were reported to the OIG during Fiscal Year 2012-13.

Classification of Incidents Reported (FY 2012-13)



Source: Management Information Network (MINS)

As illustrated by the "Classification of Incidents" chart above, the majority of reported incidents involved:

Recovery/Possession of Contraband (36%), an increase of 16% from last fiscal year.

- Complaints against staff, including improper conduct, alleged excessive force, and staff/offender relationships (29%), an increase from last fiscal year.
- Crimes vs. Person (violent), including battery on a law enforcement officer, battery on another inmate, sexual battery, and possession of a weapon (17%), the same as last fiscal year.

Classification of Incident	Number
Complaints Against Staff	9,995
Recovery / Possession of Contraband	12,474
Employee Arrests	264
Escape / Attempted Escape	252
Inmate Injuries or Death	2,704
Crimes vs. Persons - Property (Non-Violent)	2,835
Crimes vs. Persons (Violent)	6,070
Other	397
TOTAL	34,991

Source: MINS Cases Assigned by Category annual summary for 07/01/2012 to 06/30/2013.

Of the above reported incidents, the table below represents the numbers and types of cases Inspector General's Office investigated:

Type of Case	Total Number Assigned
Administrative Cases	632
Criminal Case	1,133
Death Investigations	165
Investigative Assist	6
Inquiry	1,735
Inquiry – Use of Force	868
Use of Force	4,525
Whistle Blower Determination	20
TOTAL	9,084

Source: IGIIS October 2012 through June 30, 2013.

Use of Force Unit

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

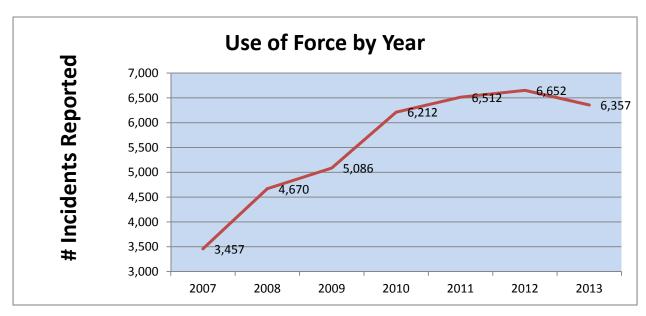
To accomplish this mission, the Use of Force Unit independently reviews and evaluates all use of force incident reports, associated documents and videotapes as required from each correctional facility or office. Evidence indicating possible procedural violations, inmate abuse, excessive/improper/unauthorized force, or battery by staff is referred to Investigations.

The use of force database notifies management of employee involvement in multiple use of force incidents. Uses of force are classified as major incidents whenever weapons, the chemical agent "CS", or electronic restraint devices are used, when force is used in a cell extraction, or when outside medical treatment is required for employees or inmates as a result of use of force. Other physical contact with inmates, including use of the chemical agent "OC", is classified as minor. The following chart reflects force incidents reported to the Unit in Fiscal Year 2012-13.

Classification	Reason Force Was Used	Number
27A	Self Defense	678
27B	Escape/Recapture	3
27C	Prevent Escape During Transport	1
27D	Prevent Property Damage	112
27E	Quell a Disturbance	1,902
27F	Physical Resistance to a Lawful Command	2,473
27G	Prevent Suicide	907
27H	Restrain Inmate for Medical Treatment	33
271	Cell Extraction	196
27J	Mental Health Restraint	21
27K	Probation & Parole Handcuffing	2
270	Other	29
	TOTAL	6,357

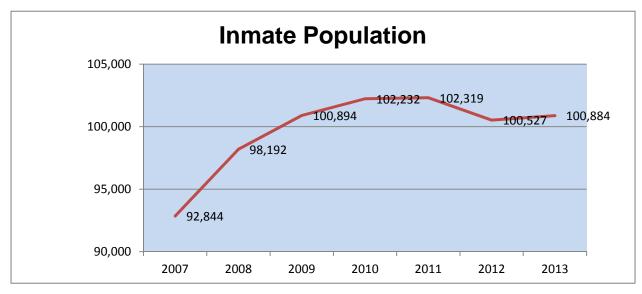
Source: MINS

The number of use of force incidents reported increased between 2007 and 2012, rising more than 90% in five years, along with the increase in inmate population. The number of use of force incidents decreased by 8.5% in fiscal year 2012-13. The reduction in the use of force incidents was a result of change in Florida Administrative Code. Effective December 16, 2012, Chapter 33-602-210, F.A.C. no longer required four/five point medical restraints without force to be reported as a use of force incident.



Source: MINS

As illustrated by these two charts, use of force incidents were down approximately 4.4% in the same period last fiscal year, while the inmate population increased slightly less than 1% (0.36%) in the same period. As state above the reduction in use of force incidents was due to certain types of medical restraints no longer required to be reported.



Source: Research and Data Analysis.

Intelligence Unit

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

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

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

Florida Fusion Center



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

Intelligence Liaison Officers (ILOs) are vetted to participate in the Fusion process and hold the appropriate security clearance with the Department of Homeland Security. The OIG has three liaison officers with the Florida Fusion Center - two from the Intelligence Unit and one from the Security Threat Group/Gang Unit.

The Intelligence Unit represents the Department at the Florida Fusion Center and serves as primary point of contact for the Corrections Intelligence Initiative.

Fugitive Unit

The Fugitive Unit was created in January 2007 to help protect citizens by locating and coordinating the arrest of fugitives from the Department.

The Fugitive Unit locates fugitives from justice by using multiple sources and methods to develop a link to the individual being sought. The Fugitive Unit then works with local, state, national, and international law enforcement to identify, search out, and return fugitives to custody.



The Fugitive Unit provides investigative assistance to other law enforcement agencies as requested to locate fugitives from other jurisdictions who may be residing within or have family ties to Florida. In July 2008, the Department joined with FDLE as part of an on-going initiative to track down the most violent of Florida's fugitives. This partnership with FDLE resulted in the arrest of several of the Department's violent cold-case fugitives.

The Department continues to build working relationships with other law enforcement agencies with the specific intent to locate and return our fugitives to custody. In 2009 the Department's partnership with FDLE blossomed into an end-of-year holiday campaign designated the "12 Days of Fugitives". Florida Representative Connie Mack recognized and commended the multi-agency project from the floor of the House of Representatives. The long-term partnership continues to produce results. During Fiscal Year 2012-13 three fugitives featured in the "12 Days of Fugitives" project were determined to be deceased and their cases closed. In November 2012 FDLE adopted an additional eight fugitive cases.

In June 2012, the Department, in conjunction with the Florida Association of Crime Stoppers, the Office of the Attorney General, and FDLE partnered together to make it easier for inmates, probationers, and other concerned individuals to anonymously provide important information to law enforcement to help solve crimes. The images and names of Florida's five most wanted fugitives and five most wanted absconders are now advertised on billboards and in other media. The effort has already produced positive results for the Department.

During Fiscal Year 2012-13, the Fugitive Unit assisted in the return of 186 fugitives to the custody of the state. Twenty-six (26) additional fugitive cases were closed by obtaining a death certificate. The Fugitive Unit also provided support to other state and local agencies in 49 criminal investigations. During fiscal year 2012-13, there were six attempted and foiled escapes from Florida correctional institutions; however, there were no escapes that constituted a breach of a secure perimeter. Since 2007, the Fugitive Unit has facilitated 1,134 recaptures.

Contraband Interdiction/Narcotic Canine Unit



The Contraband Interdiction Unit promotes a safer environment for employees, inmates and visitors at state correctional institutions by detecting and discouraging the introduction of contraband such as weapons, cellular telephones, and narcotics. Interdiction inspectors conduct unannounced contraband searches with assistance from certified narcotic canine teams.

During the interdictions, employees, visitors, volunteers, inmates, vehicles, and facility grounds are searched for contraband. Individuals also are subject to inspection using a chemical detection device which employs advanced Ion Mobility Spectrometry technology to detect traces of illegal drugs. Random interdiction operations and canine sweeps are conducted at all state and private prisons.



The OIG operates 20 full-time canine teams comprised of 26 inspectors strategically located throughout the state. The teams participate in interdiction and search operations at prisons and other facilities statewide and provide narcotic canine support for other agencies, including the Federal Bureau of Prisons and local law enforcement agencies. The canine teams also work closely with institutional inspectors and provide investigative support.

The following table summarizes arrests and seizures generated by the OIG's canine teams and interdiction operations during Fiscal Year 2012-13.

K9/ Drug Interdiction Team Operations	FY 2012-13	
Arrests:		
Employees	4	
Visitors	27	
Inmates	16	
Contraband Seized:		
Alcohol (gallons)		
Commercial	17.17	
Homemade	98.83	
Drugs (grams)		
Marijuana	1147	
Tobacco (reporting started 01/2013)	87901	
Synthetic Cannabinoid	8994	
Cocaine	129	
Other	46	
Prescription drugs (dosage units)	2425	
Weapons, Cell Phones, Money		
Firearms (in vehicles on state property)	37	
Ammunition (rounds, in vehicles)	3472	
Knives/sharps (entering or inside institution)	358	
Cell phones or parts/accessories	1024	
Cash (excessive or contraband)	\$4355	

Source: K9/ Drug Interdiction Unit

Prison TIPS

The Intelligence Unit oversees the prison "TIPS" line which was accessed over 20,000 times this fiscal year. Phone calls made to the "TIPS" line are reviewed daily and the information provided is used to collect criminal intelligence on unsolved or ongoing criminal activity, both inside and outside of the Department. The "TIPS" line also serves as the portal for PREA (Prison Rape Elimination Act) and Fraud Waste and Abuse calls. Inmates, probationers, or any other callers that may have knowledge of these types of activity can use "TIPS" as an anonymous method to provide this information.

The "TIPS" line can be accessed from inmate phones within all Department facilities or by a toll-free number (1-866-246-4412) from phones outside the facilities. Information provided by



callers is reviewed and forwarded to the appropriate Department staff or to the law enforcement agency having jurisdiction over the reported activity.

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

Security Threat Intelligence Unit

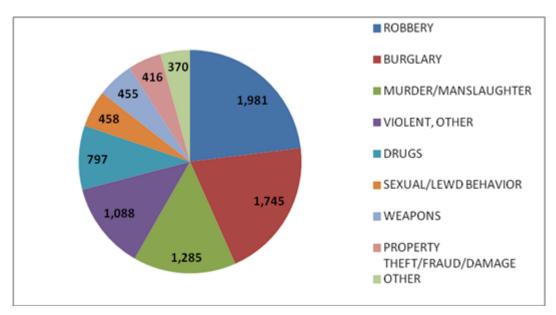
The Inspector General's Security Threat Intelligence Unit (STIU) collects, analyzes, and distributes intelligence related to criminal gang activity both within and outside the state correctional system. The STIU assists institutional staff by reviewing gang-related incidents as they occur in prison settings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

restricting inmates based on their role in the incident.

The STIU utilizes the Security Threat Operational Review Management System (STORMS) as the primary method of recording and communicating disruptive behavior of security threat group members, and any other activities that they may be involved. An intelligence-gathering tool, STORMS stores data on suspected and confirmed members of security threat groups who are currently incarcerated, confirmed members of security threat groups, and those who are released from Department custody. STORMS is designed to give the Department and other law enforcement agencies a blueprint of gang activities in Florida by permitting Department staff to conduct gang, trend and tattoo analysis in order to evaluate any information

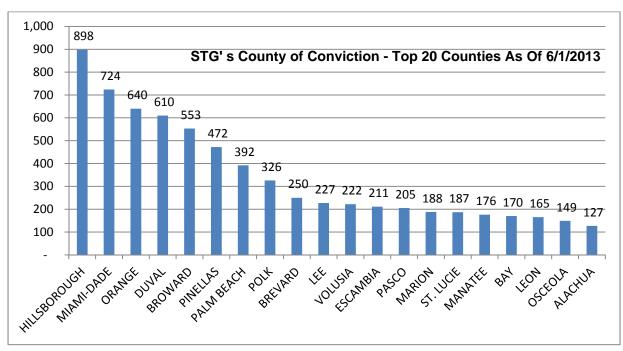
deemed critical to the orderly operation of the Department and the safety of the citizens of the State.

As of June 30, 2013, 8,289 of the Department's 100,884 inmates (8.5%) were identified as gang members.



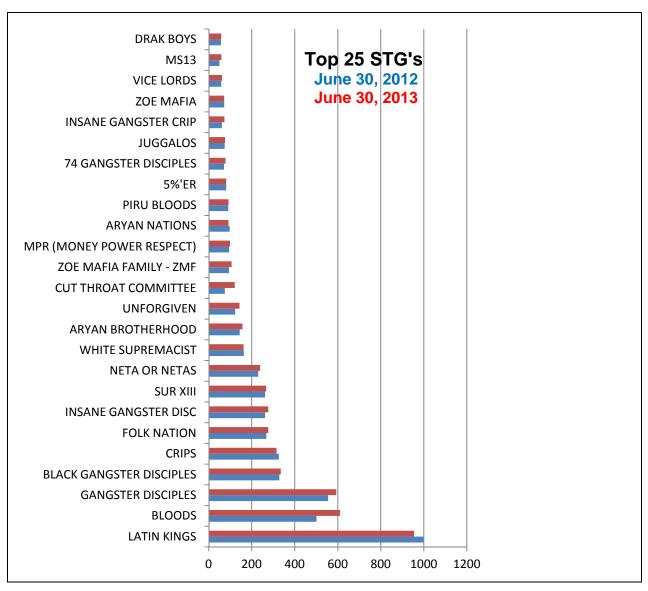
Source: Security Threat Intelligence Unit

Another 2,132 of the Department's probationers have been identified as gang members. One or more gang members are sentenced to Department custody from each of Florida's 67 counties.



Source: Security Threat Intelligence Unit

As shown in the chart below, the most prevalent within the inmate and offender population is the Latin Kings, followed by the Bloods and Gangster Disciples.



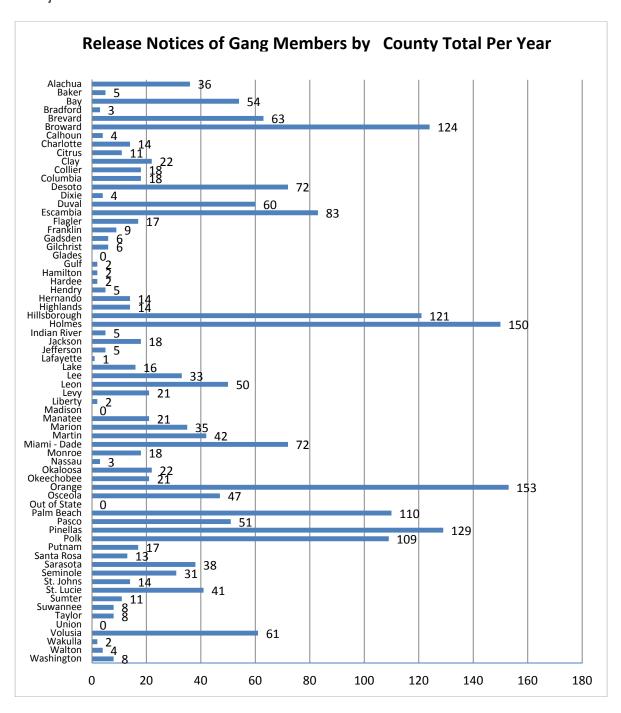
Source: Security Threat Intelligence Unit

The STIU reviewed 50,523 incident reports in which 6,150 of those incidents had an STIU member involved in some manner.

The STIU unveiled its updated gang database in May of 2013. The unit travelled the State to conduct training to all STG Coordinators. The STIU also provided gang training to FAMU's Men's Night Out and to the Pine Bloom Missionary Baptist Association Annual Convention in Quincy.

In the last year, the STIU received over 200 emails and phone calls a month from Department staff, law enforcement, college students and concerned parents regarding gangs. Some of these emails came from the STIU link on the Department's public website (http://www.dc.state.fl.us/pub/gangs/).

During the last fiscal year, the STIU sent out more than 2,800 notices to law enforcement agencies, informing them of pending releases of gang members from Department custody back into their communities. The STIU also notifies law enforcement agencies monthly of gang members who are serving terms of probation in their jurisdictions.



Source: Security Threat Intelligence Unit

Some gang tattoos and graffiti identity gang members and territories or turf are displayed below:



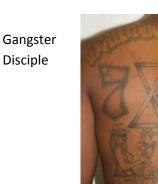
Latin King Graffiti



Piru Blood



Ku Klux Klan



EEO Investigative Unit

The Inspector General's Equal Employment Opportunity (EEO) Investigative Unit is responsible for examining alleged violations of Title VII of the Civil Rights Act, Florida Administrative Code Chapter 60L-36.004, and Chapter 110, Florida Statutes. EEO complaints are received through several channels, including the Department's internal complaint procedure, the Florida Commission on Human Relations (FCHR) and the Equal Employment Opportunity Commission (EEOC). The EEO Investigative Unit is staffed by one Operations & Consultant Manager.

During Fiscal Year 2012-13, 122 EEO complaints were investigated originating from the following sources:

FY 2012-13 EEO Complaints Filed		
Number	Complaint Source	
73	Internal Department Process (formal and informal)	
18	FCHR – includes whistle blowers	
31	EEOC	

Source: Civil Rights/EEO

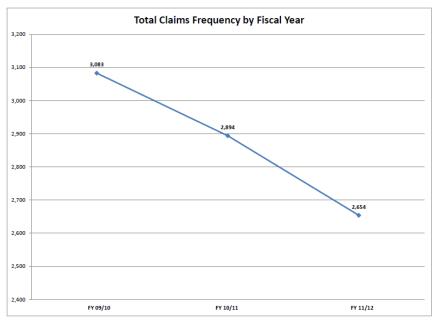
Whistle-blower Unit

The Whistle-blower Unit is the designated liaison between the Chief Inspector General's Office (CIG) and the OIG. The Whistle-blower Unit coordinates and conducts Whistle-blower investigations pursuant to Florida law. During Fiscal Year 2012-13, the Whistle-blower Unit processed 23 Whistle-blower cases.

Environmental Health, Safety, & Risk Management

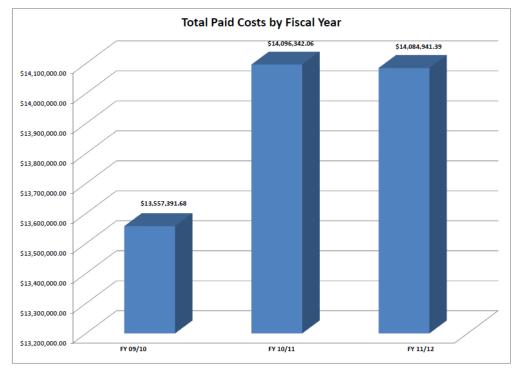
Due to its unique mission, the Department of Corrections must provide for the environmental health and safety of incarcerated felons, as well as its own employees, volunteers, and visitors. The Department has a formal risk management program on file with the Division of Risk Management. The program is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

The following table displays claim reported for coverage types of claims paid during the fiscal years listed (FY 2009-10, FY 2010-11 and FY 2011-12). In FY 2011-13, the department reduced total claims reported by 14% compared to the previous fiscal year.



Source: Office of Environmental Health, Safety, & Risk Management

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



Source: Office of Environmental Health, Safety, & Risk Management

Bureau of Internal Audit

Mission

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

- 1. established objectives and goals are met;
- 2. resources are used consistent with laws, regulations, and policies;
- 3. resources are safeguarded against waste, loss, and misuse; and
- 4. reliable data is obtained, maintained, and fully disclosed.

Goals

The Bureau of Internal Audit's primary purpose is to proactively assist management in successfully meeting the Department's mission and established objectives. To that end, the Bureau of Internal Audit has four key goals:

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

Bureau Organization and Responsibilities

The Bureau of Internal Audit comprises three sections: (1) Internal Audit (2) Contract Management Review and (3) Information Technology Audits. These sections report to the Bureau Chief, a Certified Internal Auditor who functions as the Director of Auditing. The Bureau of Internal Audit conducts compliance, performance, and information technology audits and contract reviews pursuant to section 20.055, Florida Statutes. Audits are conducted in accordance with the current *International Standards for the Professional Practice of Internal Auditing* published by the Institute of Internal Auditors (IIA). Audits involving information technology (IT) are also conducted in accordance with *Information Systems Auditing Standards* as published by the Information Systems Audit and Control Association (ISACA).

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

A Risk Based Program

To ensure the Bureau of Internal Audit provides adequate coverage of its responsibilities and provides adequate support to management, the Bureau of Internal Audit conducts a comprehensive annual risk assessment of all Department activities.

The risk assessment helps ensure the OIG remains responsive to management issues and concerns and ensures those activities judged to have the greatest risk are scheduled for review. The results of this risk assessment drive the annual audit plan which is submitted to the Inspector General and the Secretary for approval, and is used to guide the audit and review activities of the Bureau of Internal Audit during the next fiscal year.

Internal Audit Section

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

Information Technology Section

This section employs one information technology audit who performs information technology audits, reviews and provides technical and analytical support for audits, contract reviews and investigations.

Projects Completed by Compliance/Performance/IT Section

During Fiscal Year 2012-13, the Internal Audit section completed fifteen audits, three follow-up audits, and one review. The compliance and performance audit/review reports are listed by report date:

FY 2012-13 Audit Reports and Reviews		
Report Number	Project Title	Report Date
A12034	Inmate Release Gratuity Audit – Gulf CI	8/1/12
A12026	Inmate Release Gratuity Audit – Apalachee CI	8/23/12
A12043	Employee Benefit Trust Fund Audit – Calhoun Cl	8/24/12
A13002	Employee Benefit Trust Fund Audit – Hamilton CI	8/30/12
A12033	Audit of Inmate Gain Time	10/10/12
R10021	Review of Hiring and Promotional Practices	11/15/12
A13017F	Auditor General's Department of Corrections Prior Audit Follow-up and Other Matters Operational Audit	12/12/12
A12038	Audit of Inmate Grievances	12/14/12
A13007	Audit of Staff Housing	1/23/13
A13006	Employee Benefit Trust Fund Audit – Suwannee CI	1/24/13
A13005	Employee Benefit Trust Fund Audit – Wakulla Cl	2/22/13
A13010	Inmate Release Gratuity Audit – Franklin Cl	2/22/13
A13013	Employee Benefit Trust Fund Audit – Baker Cl	3/29/13
A13025F	Follow-up of Department of Corrections Enterprise Audit of Contract Monitoring	4/3/13
A13014	Employee Benefit Trust Fund Audit – Columbia Cl	4/5/13
A13023F	Follow-up of Department of Corrections Recycling Program	4/22/13
A13016	Inmate Release Gratuity – Columbia CI	5/13/13
A13018	Audit of Employee Travel Claims – Probation Officers	5/31/13
A13001	Audit of Worker's Compensation	6/24/13

Source: Bureau of Internal Audit

Selected Bureau Reports with System-Wide Impact

The Bureau of Internal Audit views its audit mandate as an opportunity to not only identify site specific deficiencies and problems with a statewide impact, but also to identify areas that are well designed and are meeting management's goals. Reports with statewide impact conducted by the Bureau of Internal Audit in Fiscal Year 2012-13 included:

Audit of Worker's Compensation

The tracking of workers' compensation cases is highly paper-driven. Workers' Compensation Coordinators must maintain documentation originated and received from OptaComp, Risk Management, within DC, and from the injured employee. Oftentimes, there are complexities such as multiple compensable injuries for an individual employee and injuries that span a prolonged period of time. Workers' Compensation Coordinators must track the usage of paid and unpaid disability leave, duration and approvals for injured employees assigned to alternate duty, and notifications sent to injured employees, Risk Management and OptaComp, among other aspects. Given the complexities, Workers' Compensation Coordinators generally do a sufficient job to ensure that applicable procedures are adhered to. However, the following weaknesses warranting management's attention were identified:

Finding 1: The usage of paid disability leave by injured workers sometimes exceeds the maximum allowed per procedure.

Finding 2: The use of paid disability leave for follow-up examinations or treatment is not always supported by a written confirmation from the authorized physician.

Finding 3: Items related to alternate duty assignments are not always completed and supported by documentation in the case file.

Identification of Best Practice

Audit staff observed that there were fewer instances of noncompliance in one of the Department's three regions; Region I. Audit staff attribute this in part to a workers' compensation tracking sheet that the Workers' Compensation Coordinators use to track and document workers' compensation cases. Items tracked are use of paid disability leave (both for the initial paid 40 and the subsequent 48 upon returning to work), certain aspects of alternate duty such as time frames and approvals, and documentation received and sent by applicable parties, to name a few. Audit staff were informed by Region II personnel that it is now being employed in Region II. The Bureau of Internal Audit suggested that this practice be utilized system-wide, and to increase its efficiency and effectiveness, consider employing technology to further enhance its usefulness and ease of use. Further, the Bureau of Internal Audit suggested that the procedure be augmented to require Workers' Compensation Coordinators to track workers' compensation cases accordingly.

Audit of Employee Travel Claims – Probation Officers

Audit staff identified two issues, pertaining to inaccurate travel documentation that warranted management's attention:

Finding 1: Itinerary/Travel Log, DC3-222, were not completed in accordance with DC Procedure, 302.011, Official Staff and Field Supervision Monitoring Community Corrections.

Finding 2: Vouchers for Reimbursement of Travel Expenses, DFS-AA-15, submitted by officers who attended training, reflected map mileage in excess of the Department of Transportation official map mileage.

Contract Management Review Section

The Contract Management Review (CMR) Section employs an audit supervisor and three auditors. Staff certifications include a Certified Internal Auditor (CIA) and a Certified Inspector General Auditor (CIGA).

In Fiscal Year 2012-13, the CMR section completed six reviews. The review reports are listed by report date:

FY 2012-13 CMR Reports and Reviews		
Report Number	Project Title	Report Date
CMR12005F	Department of Transportation follow-up	8/6/2012
CMR12003F	Pro Tech Monitoring Follow-up	8/31/2012
CMR11011	Bridges of American-Bradenton Transition Center	11/14/2012
CMR13001	SMA Behavioral Healthcare	1/16/2013
CMR13005F	Appriss Inc. Follow-up	5/23/2013
R13-003	Goodwill Industries Suncoast, Inc.	6/27/2013

Source: Bureau of Internal Audit

Review of Bridges of America-Bradenton Transition Center

The review indicated that overall, service was provided as required by the contract and contract payments were made in accordance with contract terms and properly documented. However, deficiencies were identified with regards to the following areas of the contract: performance guarantee; surety bond; inmate's program plan progress reviews; and laundry equipment. The Contractor was also found to be in violation of the Department's Procedure "Contraband and Searches of Inmates" regarding the use of tobacco products.

Review of Stewart-Marchman Act (SMA) Behavioral Health Services

Stewart-Marchman-Act (SMA) Behavioral Healthcare provides licensed Community Based Substance Abuse Residential Transition Therapeutic Community Based Programs. The review indicated that overall, services were generally received as required by the contract, monitoring was generally effective and payments were in accordance with contract terms. However, SMA was non-compliant with filling vacant positions timely and ensuring vendor staff attended mandatory in-service training.





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