



Florida Department of  
Law Enforcement

Gerald M. Bailey  
Commissioner

Office of Inspector General  
Post Office Box 1489  
Tallahassee, Florida 32302-1489  
(850) 410-7000  
[www.fdle.state.fl.us](http://www.fdle.state.fl.us)

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

August 29, 2014

MEMORANDUM

TO: Gerald M. Bailey  
Commissioner

FROM: Lourdes Howell-Thomas  
Inspector General

SUBJECT: Office of Inspector General 2014-2015 Annual Plan

The Office of Inspector General (OIG) is pleased to present the Annual Plan for fiscal year 2014-2015. As in the past, we have selected high-risk areas from the Risk Assessment of the Department, and those issues that are a priority to management. Meetings, emails, and discussions by phone, with appropriate Command Staff members, were used to ensure that the topics/activities selected would add value to the management of their respective Programs.

Our office continues to serve as the department liaison to OPPAGA, Auditor General, and Chief Inspector General. The Audit Section anticipates participation in Enterprise projects as scheduled by the Office of the Chief Inspector General. Projects that were approved in the prior fiscal year, but were not completed, have rolled over into the 2014-2015 Plan, unless there was a documented reason for postponement.

The Accreditation Standards Investigations and Compliance Section will continue to coordinate accreditation activities, and conduct required annual reviews and analyses. In addition, this section will also conduct staff inspections, evidence rooms inventory, and review of FDLE's Policies.

As always, this analysis, combined with your direction, allows our plan to provide the most effective coverage of the Department's programs, processes and systems in response to the economic climate and constantly changing environment. The plan is subject to ongoing adjustments at your request or as a result of unexpected circumstances or events. Upon your written approval, we will forward the plan to the Auditor General as required by Section 20.055(5) (i), Florida Statutes, and copy the Chief Inspector General.

Thank you for your support.

LHT

Attachment

APPROVED:

  
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Gerald M. Bailey  
Commissioner

**Florida Department of Law Enforcement  
Office of Inspector General**

**2014 – 2015 Annual Plan**

The purpose of the Annual Audit Plan is to identify, select, and plan the allocation of resources for the upcoming fiscal year. The overriding consideration during the development of our plan is to provide the greatest benefit to the Department with our limited resources.

***Audit Section***

**Audits, Management Reviews, and Special Projects**

**Annual Audit to comply with DAVID (Driver And Vehicle Information Database) Memorandum of Understanding (MOU): CRIMINAL JUSTICE INFORMATION SERVICES PROGRAM** – This project will focus on members' DAVID transactions as part of complying with the MOU. Two hundred hours are allocated to this project.

**Vehicle Assessment: BUSINESS SUPPORT PROGRAM** – This project will mainly focus on efficiencies and effectiveness of a decentralized pool; efficiencies and effectiveness of Regional Operations Centers (ROC) pools; cost of high mileage vehicles versus purchasing new vehicles; and identifying safety issues of keeping high mileage vehicles. Four hundred hours are allocated to this project.

**Air Wing Assessment: INVESTIGATIONS AND FORENSIC SERVICES (IFS)** – This project will mainly focus on efficiencies, effectiveness, value and safety of the FDLE air wing. Two hundred fifty hours are allocated to this project.

**Amber, Silver, and Missing Child Alerts: CRIMINAL JUSTICE INFORMATION SERVICES** – This project will focus on current practices and determining opportunities for improving the process. Four hundred hours are allocated to this project.

**Information Security: INFORMATION TECHNOLOGY SERVICES** – This project will focus on general aspects of information security such as user access, physical access, password security (compliance with password policy), and member training to determine efficiencies and opportunities for improvement. Three hundred hours are allocated to this project.

**Alcohol Testing Program: CRIMINAL JUSTICE PROFESSIONALISM PROGRAM** – This project will focus on current practices and determining improvement opportunities, if any. Four hundred hours are allocated to this project.

**Capitol Complex Building Access and Screening: CAPITOL POLICE** – This project will involve the review of current access and screening protocols and determine if there are any opportunities to improve the safety of the Capitol Complex. Three hundred hours are allocated to this project.

**General Counsel Centralization, workflow and workload:** OFFICE OF EXECUTIVE DIRECTOR - OFFICE OF GENERAL COUNSEL – This project will focus on current practices and identifying opportunities for improvement. One hundred fifty hours are allocated to this project.

**Enterprise Projects:** Office of the Chief Inspector General - our office is allocating four hundred hours to participate in enterprise projects.

**Quality Assessment Review – 2014:** OFFICE OF INSPECTOR GENERAL – The Government Auditing Standards requires that the organization obtain an external peer review at least once every three years. The Auditor General is the external entity that conducts an evaluation of the Office of the Inspector General's internal audit activities to determine compliance with the standards and Section 20.055, Florida Statutes. Ninety hours are allocated to this project.

**Carry Forward Project from Fiscal Year 2013-2014**

The following project was started during the 2013-2014 fiscal year, but not finalized as of June 30, 2014:

**FDLE Armory:** INVESTIGATIONS AND FORENSIC SCIENCE PROGRAM – Review completeness and compliance of procedures, accuracy of inventory, and internal controls to provide accountability for and security of weapons. The Commissioner, each ROC Special Agent In-Charge, and the IFS Program Director receive this report. Seven hundred fifty hours were allocated to this project (travel involved).



## ***Accreditation and Compliance Section Reviews***

**Early Intervention System:** FDLE Policy 3.4, Standards of Member Conduct, and CALEA Standard 35.1.9 require an annual evaluation of the system to ensure that appropriate criteria are identified and appropriate reviews are being conducted. The Executive Investigations Director receives this report.

**Bias-based Profiling:** FDLE Policy 4.14, Bias-Based Profiling, and CALEA Standard 1.2.9 require an annual review of agency practices and citizen concerns regarding compliance with this policy. The Commissioner and General Counsel receive this report.

**Confidential Informant/Source Review:** FDLE Policy 4.5, Confidential Sources, requires the OIG to conduct a review of confidential informant practices to ensure conformity with established procedures and Florida Statutes. The Assistant Commissioner of IFS receives this report.

**Review of Intelligence Operations:** FDLE Policy 1.15, Criminal Intelligence, requires the OIG to conduct an annual review of intelligence procedures and practices to ensure compliance. The Assistant Commissioner of IFS receives this report.

**Traffic Enforcement Activity Report:** FDLE Policy 4.17, Traffic Enforcement, requires the OIG to review all traffic enforcement activities and to prepare an annual report detailing such activities. The Commissioner receives this report.

**Use of Force Analysis:** FDLE Policy 4.1, Use of Force, Weapons and Defensive Tactics, requires the OIG to compile use of force related information for the purpose of ensuring policy compliance, and to identify trends, training and/or equipment needs. The Commissioner receives this report.

**Vehicle Pursuit Analysis:** FDLE Policy 4.3, Vehicle Pursuit, Stop, Emergency Response and Surveillance Driving, requires the OIG to conduct an administrative review of each pursuit or roadblock incident. The Commissioner receives this report.

**Evidence Room Inventories:** FDLE Policy 4.4, Evidence/Property Control and Accountability, requires annual inventories of investigative evidence facilities. The Commissioner, each ROC Special Agent In-Charge, and the IFS Director receive this report.

**Accreditation Assessments (CALEA):** AGENCY WIDE - In preparation for the Commission on Accreditation for Law Enforcement Agencies assessment, the OIG serves as the central point of coordination for compliance with CALEA standards. The OIG will coordinate a mock assessment in November 2014, and anticipates participating in an on-site assessment for reaccreditation in April 2015.

**Accreditation Assessments (CFA):** AGENCY WIDE - In preparation for the Commission for Florida Law Enforcement Accreditation assessment, the OIG serves as the central point of coordination for compliance with CFA standards. The OIG will coordinate a mock assessment and anticipates participating in an on-site assessment for reaccreditation in 2015.

**OIG Accreditation Assessments (CFA):** AGENCY WIDE - In preparation for the Commission for Florida Law Enforcement Accreditation assessment, the OIG serves as the central point of coordination for compliance with CFA standards. This is in preparation for a mock assessment and on-site assessment for re-accreditation in 2016.

**Agency Policies:** DEPARTMENT WIDE - This project will review Departmental policies in coordination with the respective Programs to ensure that the policies are current and reflect actual business practices.

## **Long Term Audit and Review Plan**

As always, our long-term plan is to ensure that the services of the Office of Inspector General provide the most benefit to the Department. Based on this year's risk assessment, the functions to which resources are planned and allocated in the upcoming fiscal year are as follows:

### **Fiscal Year 2015 – 2016**

- Bulletproof Vest Program
- Hazardous Devices Unit – Explosive Ordinance Disposal (EOD)
- Offender Enforcement Unit
- Seal and Expunge Unit
- Information Delivery Team – CJIS External Training
- Building Access Controls
- Physical Security of Building
- Civil Workflow Control Services System
- Officer Discipline Process
- Confidential Sources
- Florida Accreditation Commission
- Enterprise Projects
- Early Intervention System
- Bias-based Profiling
- Confidential Informant/Source Review
- Review of Intelligence Operations
- Traffic Enforcement Activity Report
- Use of Force Analysis
- Vehicle Pursuit Analysis
- Evidence Room Inventories
- Others