



Office of the Inspector General Annual Report

**For Fiscal Year 2007-08
September 30, 2008**

*Walter A. McNeil, Secretary
Florida Department of Corrections*

*Charlie Crist
Governor*

Executive Summary

Agency Background

As the nation's third-largest prison system, the Florida Department of Corrections fulfills a primary responsibility for public safety in Florida. Through a network of 60 major prisons and 79 work camps and community-based facilities, the department manages incarceration and care for 98,000 inmates. An additional 158,000 felony offenders are supervised through 156 probation offices statewide. The agency's 26,000 employees carry out this public safety mandate 24 hours a day, 365 days a year. The agency's annual operating budget is \$2.3 billion.

Purpose of the Annual Report

This report, required by the Inspector General Act of 1994, summarizes the activities and accomplishments of the Florida Department of Corrections, Office of the Inspector General, during fiscal year 2007-08.

Section 20.055, Florida Statutes, defines the duties and responsibilities of each Inspector General with respect to the state agency in which the office exists. The statute requires that the Inspector General submit an annual report of activities during the preceding fiscal year to the agency head.

This report provides departmental staff and other interested parties with an overview of the Office of the Inspector General's activities related to its mission as defined by Florida Law.

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Introduction

Organization/Duties

The Office of the Inspector General and its two bureaus, State Investigations and Internal Audit, perform the following functions:

1. Conduct investigations, audits, and reviews relating to department staff, inmates, operations and contracts.
2. 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 the deficiencies.
3. Advise in the development of performance measures and standards for the evaluation of agency programs.
4. Operate the contraband interdiction and inmate drug testing programs.
5. Coordinate department activities required by the Whistle-blower's Act and Get Lean Hot-Line program.
6. Provide effective coordination and cooperation with the Auditor General, OPPAGA, and the Florida Department of Law Enforcement.

Vision: Enhancing Public Trust in Government.

Mission: Provide leadership in the promotion of accountability and integrity of State Government.

Goal: Add value to organization.

1. Provide timely and useful information to decision makers;
2. Identify state-wide risks and issues;
3. Survey stakeholders - senior management and others - to determine satisfaction and needs; and
4. Improve systems of internal control to help assure the integrity - accuracy and compliance - of information used by decision-makers.

Specific Areas of Responsibility

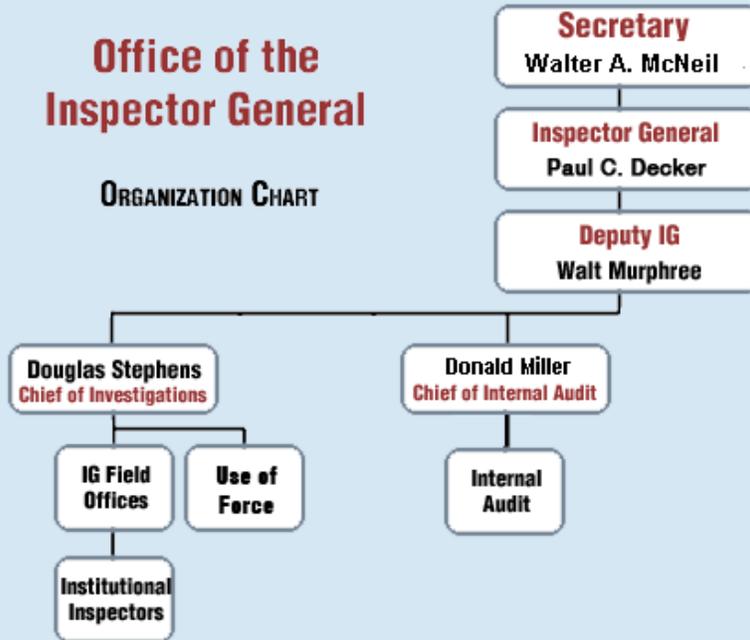
To meet the growing needs of a rapidly expanding Department of Corrections, the Office of the Inspector General has maximized the efficient use of its resources by addressing those matters of greatest concern and vulnerability to fraud and abuse. Specific functions and the benefits they provide are as follows:

1. Manage a statewide computerized management information network and coordinate this activity with designated key managers.
 - Provide a daily incident/event reporting system from all areas of the department, enabling early identification of problems and timely allocation of investigative resources.
 - Collect statewide data for use by key correctional managers in developing strategies to address areas of concern.
 - Provide for the systematic and coordinated flow of information to the Public Information Office regarding issues of importance to the public and the department.

- Provide leadership in the department's effort to maintain a strong, formal, cooperative working relationship with the Department of Law Enforcement and other law enforcement and investigative agencies.
2. Conduct criminal and administrative investigations in state correctional facilities.
 - Conduct criminal investigations of felonies in state correctional facilities and coordinate those activities with other law enforcement and investigative agencies including prosecution through State Attorneys offices.
 - Conduct administrative investigations into improper practices, misconduct on the part of staff and/or offenders in state correctional facilities, and coordinating these investigations with appropriate departmental staff.
 - Provide for timely intervention in areas of identified concern to reduce the potential for escalation of situations such as staff disputes and inmate escapes.
 3. Assist the Office of Institutions in providing a safer environment for employees, inmates, and visitors by deterring the introduction of contraband at state correctional facilities.
 - Maintain an automated tracking system for contraband seized within state correctional facilities.
 - Conduct unannounced interdiction operations.
 - Review contraband control procedures at state correctional facilities for compliance with department policy and procedure.
 4. Conduct audits and reviews to determine the efficiency and effectiveness of management controls and programs to assess compliance with department procedures and deter fraud and abuse.
 - Conduct compliance and performance audits in accordance with professional standards.
 - Evaluate the effectiveness of the Department's management of contracts, report findings and recommend steps to correct deficiencies.
 - Assist with investigations involving fraud, waste, or misappropriation of funds.
 - Serve as the department's liaison with the Office of the Auditor General and the Office of Program Policy Analysis and Government Accountability on all audits and performance reviews completed by those offices.

Office of the Inspector General

ORGANIZATION CHART





Bureau of State Investigations

The Bureau of State Investigations is responsible for conducting criminal, administrative and internal affairs investigations. The Bureau also coordinates the agency's Get Lean Hot-Line activity, inmate drug testing program, contraband interdiction program, "Prison Tips" program, and serves as the final reviewing authority for all "use-of-force" incidents.

Investigations

When completed, criminal investigations are referred to the appropriate State Attorney's Office for prosecution. Administrative and internal affairs investigations are referred to management for appropriate follow-up action.

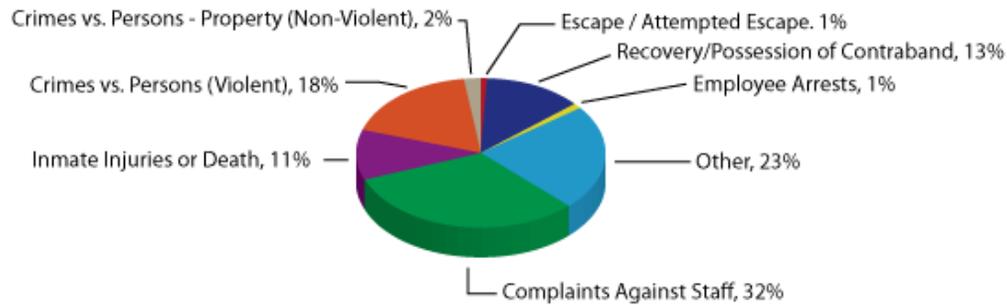
During the 2007-08 fiscal year, 30,413 incidents were reported to the Inspector General's Office. Those incidents were classified in the following categories:

Legend	Classification of Incident	Number
CAS	Complaints Against Staff	9,598
IID	Inmate Injuries or Death	3,269
CPV	Crimes vs. Persons (Violent)	5,409
CPN	Crimes vs. Persons - Property (Non-Violent)	669
EAS	Escape / Attempted Escape	387
RPC	Recovery/Possession of Contraband	3,897
EMA	Employee Arrests	334
OTH	Other	6,850
TOTAL		30,413

Of these 26,645 incidents, 4,696 official investigations were assigned as indicated by the chart below.

Field Office	Senior Inspectors	Institutional Inspectors	Total
Tallahassee	366	719	1,085
Gainesville	640	856	1,496
Orlando	335	332	667
Ft. Lauderdale	281	437	718
Tampa	449	373	822
TOTAL	2,071	2,717	4,788

Of the 4,696 investigations assigned, 211 were forwarded to State Attorney's Offices throughout Florida for possible criminal prosecution.



Investigation Highlights

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

- Complaints against staff, which include improper conduct, alleged excessive use of force, and staff/offender relationships. (32%)
- Crimes vs. persons (violent), which include battery on a law enforcement officer, battery on another inmate, sexual battery, and possession of a weapon. (18%)
- Recovery and possession of contraband. (13%)
- Inmate injuries or deaths, which included suicide, suicide attempts, homicides, natural deaths, accidental deaths and injuries. (11%)

Use of Force

Established in 1999, the unit is charged with reviewing all incidents of physical force at state correctional facilities to ensure compliance with established rules, procedures and statutes.

To accomplish this mission, the unit independently reviews and evaluates all 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 the Bureau of State Investigations and an internal investigation is conducted.

The use-of-force database has been enhanced to automatically notify management of employee involvement in multiple use-of-force incidents. Recent database advances also facilitate more detailed trend analysis and classification of incidents by type. Uses-of-force are classified as major incidents whenever the chemical agent CS or Electronic Restraint Devices are used, and/or whenever outside medical treatment is required for employees or inmates as a result of the incident of force.

The following chart categorizes all incidents reported to the Use of Force Unit from July 1, 2007 through June 30, 2008.

Classification	Reason Force Was Used	Number
27A	Self Defense	606
27B	Escape/Recapture	3
27C	Prevent Escape During Transport	2
27D	Prevent Property Damage	9
27E	Quell a Disturbance	1,711
27F	Physical Resistance to a Lawful Command	1,505

27G	Prevent Suicide	303
27H	Restrain Inmate for Medical Treatment	77
27I	Cell Extraction	207
27J	Mental Health Restraint	241
27K	Probation & Parole Handcuffing	1
27O	Other	5
TOTAL		4,670

Corrections Intelligence Unit

The Corrections Intelligence Unit collects, analyzes, and disseminates data and investigative information to assist and support the Inspector General's Office and Department of Corrections. It also researches and compiles data in response to law enforcement and Homeland Security issues, and works closely with other local, state, and federal law enforcement agencies. The Unit also represents the Department of Corrections on the Florida FUSION Center, a statewide collaborative intelligence project directed towards Homeland Security issues.

Contraband Interdiction Unit

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Narcotic Canine Teams

The Drug Detection Canine Unit consists of nine full-time canine teams with specially equipped vehicles, located strategically around the state. Working in conjunction with the Inspector General's Contraband Interdiction Unit, the teams participate in contraband interdictions and targeted searches at Department of Correction prisons and other facilities. The canine teams also work closely with institutional inspectors and provide investigative support.

The chart below summarizes the arrests and seizures generated by interdiction operations statewide during Fiscal Year 2007-08:

Interdiction Arrests/Seizures	FY 06-07
Arrests:	
Employees	2
Visitors	6
Inmates	0
Seizures:	
Alcohol (gallons)	
commercial	26.37

homemade	11.45
Drugs (grams)	
marijuana	279.3
cocaine	18.5
other	0
prescription/arrest (each)	30
Weapons	
commercial sharps	8
homemade sharps	8
blunt instruments	0
firearms (in vehicles)	60
ammunition (rounds, in vehicles)	6,524
cash (excess or contraband)	\$36,189
Ionscans:	
Employees	3,196
Visitors	3,625
Inmates	65
Total Ionscans	6,886

Inmate Drug Testing Program

The Inmate Drug Testing Program manages inmate selection, testing procedures, and results analysis for inmate drug tests statewide. This responsibility also encompasses ordering testing supplies, training officers to perform the tests, and program audits.

The following chart describes test results for Fiscal Year 2007-08:

Inmate Drug Test Conducted during FY 2006-07						
Reason for Test	Total Selected	Not Tested	Valid Tests	Negative Tests	Positive Tests	Percent Positive
Random	67,372	639	66,319	65,112	1,207	1.82%
For Cause	6,180	9	5,981	4,877	1,104	18.46%
Drug Treatment Program (SAP)	37,373	205	37,141	37,081	60	0.16%
TOTAL	110,925	853	109,441	107,070	2,371	2.17%

Prison Tips

The Bureau oversees the "Prison Tips" program, which collects criminal intelligence on unsolved or ongoing criminal activity, both inside and outside the department, from inmates, probationers, and other persons who may have knowledge of this type of activity. "Prison Tips" offers 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 (**1-866-599-1778**) from phones outside the facilities. Calls are monitored by the Office of the Inspector General. Information provided by callers is reviewed and forwarded to appropriate Department staff or 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, to receive feedback from the Inspector General's Office on the status of the information they provide. This also provides a secure mechanism for communicating with the individual if they become eligible for a cash reward offered by law enforcement.

Get Lean Hot-Line

The bureau coordinates department responses to suggestions and complaints received via the Comptroller's Get Lean Hot-Line. During FY 2007-08, the bureau received nine complaints alleging staff misconduct.



Bureau of Internal Audit

Mission

The mission of the Bureau of Internal Audit is to support the Secretary and our Department by ensuring that: (1) agency goals are met; (2) agency 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

Our primary purpose is to take a proactive approach in meeting our agency's needs and protecting its resources. Toward that end, we have four key goals:

- Provide quality audits, reviews, studies, and investigations
- Report results to management in a timely manner
- Use agency resources efficiently; and
- Provide adequate audit/review coverage to mitigate risks. .

Bureau Organization and Responsibilities

The Bureau of Internal Audit comprises three sections: Audit, Information Technology and Contract Review. These sections report to the Bureau Chief who functions as the Director of Auditing. The Bureau conducts compliance, performance and information technology audits and contract reviews per 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.

Compliance/Performance Audit Section

The Audit Section employs an Audit Supervisor and six auditors. Staff includes a Certified Internal Auditor (CIA), a Certified Government Audit Professional (CGAP), and a Certified Fraud Examiner (CFE). During FY 2007-08, the Audit Section completed 12 audits, eight follow-up audits and five reviews. The reports are listed by issue date below:

FY 2007-08 Audit Section		
Report Number	Project Title	Report Issue Date
A07016	Inmate Property at Reception Centers	7/3/2007
R07021	Hendry Tool, Fencing and Arsenal Inventory	7/5/2007
A07007	Key Control and Locking Systems	8/16/2007
A07011	Inmate Random Drug Testing Program	8/16/2007
A08007F	Follow-up of OPPAGA Report Number 07-15	9/6/2007

A08011F	Follow-up of Auditor General Report No. 2007-087	9/6/2007
R06020	Allegations Related to Prison Industries Program	9/20/2007
A08005F	Follow-up of OPPAGA Report Number 07-13	9/20/2007
A08010F	Follow-up of Auditor General Report No. 2007-076	9/20/2007
A08012F	Follow-up of Vending Services Contracts	9/20/2007
A08008F	Follow-up of OPPAGA Report Number 07-16	9/24/2007
A07020	Farm and Edible Crops Program	9/25/2007
A08009F	Follow-up of OPPAGA Report Number 07-17	10/18/2007
A08002	Cellular Phone Costs and Monitoring	11/14/2007
R08017	Wakulla Keefe Canteens	11/16/2007
R08014	Review of Overtime for Circuit 11-1	11/20/2007
R08015	Review of Motor Vehicles Assign and Use	11/28/2007
A08006F	Follow-up of OPPAGA Report Number 07-14	1/15/2008
A08001	DC Purchasing Card Program	1/16/2008
A08004	Procurement – Commodities and Services	2/11/2008
A08003	DC Real Property Lease Program	2/26/2008
A08018	Health Services Performance Measures	4/2/2008
A08013	Specialty Underwriters	5/2/2008
A08019	PRIDE – Accounts Receivable	5/2/2008
A08021	Shisa, Inc. Inmate Bank Accounts	6/30/2008

IT Audit Section

The newly-created Information Technology Section is staffed by an Audit Supervisor who is a Certified Information Systems Auditor (CISA). This section conducts IT audits/reviews and provides technical and analytical support for audits, contract reviews and investigations.

Contract Management Review Section

The Contract Management Review Section (CMR) employs an audit supervisor and two auditors. Staff includes a Certified Internal Auditor (CIA). During FY 2007-08, the section completed seven contract reviews and one follow-up. The reports are summarized below:

FY 2007-08 Contract Management Review Section		
Report Number	Project Title	Report Issue Date
CMR 07-006	Non-Secure Inc. – Pensacola PRC	9/20/2007
CMR 07-007	The Salvation Army – PRC	9/25/2007
CMR 07-010F	Bridges of America – Polk (follow-up)	10/9/2007
CMR 08-001	TCC –100-Hour Transition Program	11/1/2007
CMR 08-002	MHM Solutions	2/11/2008

CMR 08-003	DACCO – Tampa	6/27/2008
CMR 08-004	Bridges of America – Turning Point	6/16/2008
CMR 08-005	Bridges of America – Jacksonville	6/30/2008

Selected Bureau Reports With System-Wide Impact

The Bureau views its audit/contract review 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. Three of the reports with statewide impact conducted by the Bureau of Internal Audit this fiscal year included:

DC Purchasing Card Audit

We found that purchases made with the purchasing card were for approved purchasing card items and were not for "types" listed on the Departments prohibited merchant category list. Our audit also indicated that the current purchasing card control environment provides reasonable assurance that the program is operating as intended by management and that internal controls exist that adequately prevent, deter, and detect fraud. However, we did identify issues involving controls over the closure of purchasing card accounts that needs to be addressed by the Office of Administration.

PRIDE – Accounts Receivable Audit

The Bureau of Finance & Accounting has made improvement with regard to the collection of PRIDE accounts receivable. In our prior audit (Report # A03004 issued February 17, 2003), we found an unpaid balance owed by PRIDE of \$816,966. Sixty-eight percent (68%) of that amount was over six months old. During the most recent audit we found the unpaid balance as of November 30, 2007 to be \$70,465.55. However, the monitoring and collection efforts by the Bureau of Finance and Accounting and the Bureau of Institutional Support Services with regard to the billing process still need improvement. All of the findings discussed below were control weaknesses noted in our prior audit that still have not been addressed and need management's attention and action.

- Finding 1 - DC failed to identify and invoice all PRIDE facilities.
- Finding 2 - An individual has not been designated as contract/lease manager responsible for monitoring the PRIDE lease agreements.
- Finding 3 - The lease agreements do not contain specific language identifying the utilities and other fees to be invoiced to PRIDE.

100-Hour Inmate Transition Program Contract Review

Florida Statue 944.7065 requires the Department provide 100-hours of pre-release transition training to assist inmates with re-entry to the community. The Department contracted with Tallahassee Community College (TCC), at a cost of approximately \$1.2 million annually, to assist in meeting this mandate.

Our review found several material weaknesses including:

- The contractor failed to meet contract staffing requirements
- The Department failed to provide adequate contract oversight, staff training, and classroom supplies.
- The Department's allocation of funds for this program was inadequate to meet the state mandate.

As a result of the review, management agreed to more effectively monitor the contract and to implement changes designed to improve contractor performance and program quality.