



Office of the Inspector General Annual Report

For Fiscal Year 2005-06
September 30, 2006

*James R. McDonough, Secretary
Florida Department of Corrections*

*Jeb Bush
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 59 major prisons and 75 work camps and community-based facilities, the department manages incarceration and care for 89,000 inmates. An additional 97,109 felony offenders are supervised through 143 probation offices statewide. The agency's 26,044 staff carry out this public safety mandate 24 hours a day, 365 days a year. The agency's annual operating budget is \$2 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 2005-06.

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 the staff, programs, contracts and operations of the department.
2. Inform the Secretary of fraud, abuse, and deficiencies relating to programs and operations administered by the department; recommend corrective action; and report on progress made in implementing corrective action.
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.
7. As a member of the Governor's Council on Integrity and Efficiency (GCIE), share ideas with other inspectors general for improving the IG function and coordinating activities that cross agency lines.

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

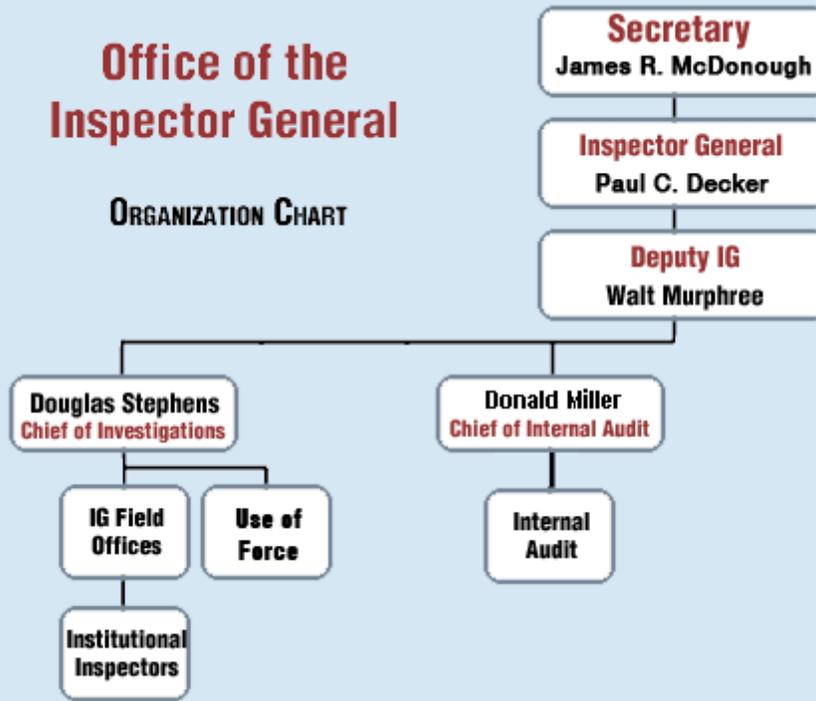
Specific Areas of Responsibility

To meet the growing needs of a rapidly expanding Department of Corrections, the Office of the Inspector General has had to maximize 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 problems.
 - 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. Conducts 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 FDC'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 2005-06 fiscal year, 24,896 incidents were reported to the Inspector General's Office. Those incidents were classified in the following categories:

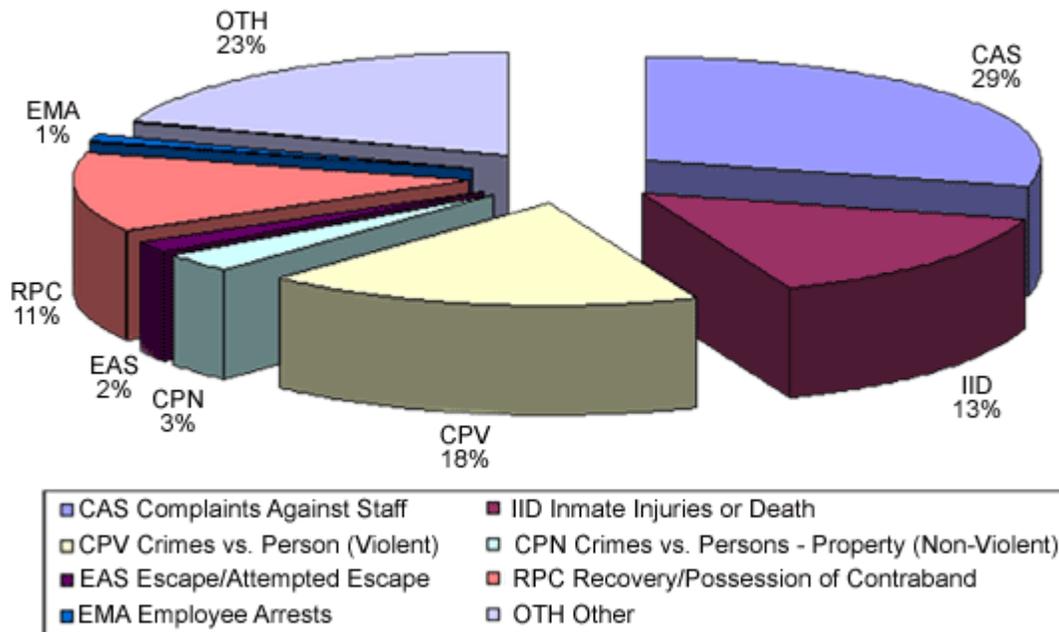
Legend	Classification of Incident	Number
CAS	Complaints Against Staff	7,352
IID	Inmate Injuries or Death	3,233
CPV	Crimes vs. Persons (Violent)	4,402
CPN	Crimes vs. Persons - Property (Non-Violent)	682
EAS	Escape / Attempted Escape	404
RPC	Recovery/Possession of Contraband	2,712
EMA	Employee Arrests	295
OTH	Other	5,816
TOTAL		24,896

Of these 24,896 incidents, 5,803 official investigations were assigned as indicated by the chart below.

Field Office	Senior Inspectors	Institutional Inspectors	Total
Tallahassee	429	779	1,208
Gainesville	886	1,390	2,276
Orlando	389	390	779
Ft. Lauderdale	439	361	800
Tampa	356	384	740
TOTAL	2,499	3,304	5,803

Of the 5,803 investigations assigned, 167 were forwarded to State Attorney's Offices throughout Florida for possible criminal prosecution.

Classification of Incidents FY 2005-06



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. (29%)
- Crimes vs. Persons, which include battery on a law enforcement officer, battery on another inmate, sexual battery, and possession of a weapon. (18%)
- Inmate injuries or Deaths, which included suicide, suicide attempts, homicides, natural deaths, accidental deaths and injuries. (13%)
- Recovery and possession of contraband. (11%)

Get Lean Hot-Line

The bureau also coordinates department responses to suggestions and complaints received via the Comptroller's Get Lean Hot-Line. During FY 2005-2006, the bureau received 25 "Hot-Line" complaints. Of those, 22 involved complaints against department staff and 3 were suggestions for cost savings.

Corrections Intelligence Unit

The Office of the Inspector General created the Corrections Intelligence Unit in 2005 as part of its Intelligence/Interdiction Unit. Two full-time analysts with the ability to conduct investigations are assigned to the unit. Unit activities include the following:

- Responsibility for agency Homeland Security (HS) issues, including dissemination of HS bulletins, coordination with other agencies, participation in the North Florida Regional Domestic Security Task Force, and involvement in the Federal Correctional Intelligence Initiative
- Providing tracking data and analysis of selected investigative activities such as PREA incidents and drug recoveries
- Conducting a monthly analysis of physical force allegations against corrections staff
- Operating the statewide Inmate Drug Testing Program
- Serving as a clearinghouse for investigative intelligence information that is developed by inspectors statewide, and distributing the information to appropriate law enforcement officials both with and outside the agency
- Coordinating Department of Corrections assistance in criminal investigative matters with other agencies such as FDLE, the FBI, and the IRS.

Inmate Drug Testing Program

The bureau's Inmate Drug Testing Unit administers a statewide program in which randomly selected samples of the inmate population are tested each month for illegal substances. In addition to these random tests, the program also conducts "for cause" testing and testing of inmates enrolled in substance abuse treatment programs (SAP). "For cause" testing is conducted when there is a reasonable suspicion that an inmate is involved with alcohol or illegal substances. SAP guidelines require monthly testing of inmates enrolled in drug treatment. Testing is an integral part of the substance abuse treatment programs and also serves as a deterrent to illegal drug use in the correctional setting. It is recognized as an effective method for identifying inmates with substance abuse problems, and targeting them for further treatment and monitoring.

The Inmate Drug Testing Unit provides technical support for field staff and analyzes test results to determine trends and problems areas. The chart below shows test results for the last fiscal year.

Inmate Drug Tests FY 2005-06						
Reason for Test	Total Selected	Not Tested	Valid Tests	Negative Tests	Positive Tests	Percent Positive
Random	52,713	4,688	48,025	46,944	1,081	2.25%
For Cause	6,582	245	6,337	4,920	1,417	22.36%
Drug Treatment Program (SAP)	43,748	2,489	41,259	41,223	36	0.09%
TOTAL	103,043	7,422	95,621	93,087	2,534	2.65

Prison Tips

The Bureau oversees the "Prison Tips" program. The goal of the program is to garner valuable criminal intelligence on unsolved and ongoing criminal activity, both inside and

outside the department, from inmates, probationers, and other persons who may have knowledge of this type of activity. The "Prison Tips" program offers an anonymous method to provide this information.

The system utilizes a special number where "TIPS" can be dialed from all inmate phones located inside all department facilities, as well as, 1-866-599-1778, which can be called from phones outside the facilities. All calls are received on a secured line that passes directly into a system monitored by the Office of the Inspector General. Information provided by callers is reviewed and forwarded to the appropriate Department staff or law enforcement agency having jurisdiction over the alleged activity.

Individuals calling have the option of establishing a voice mailbox, which can be accessed by a randomly generated pass code, to receive information back from the Inspector General's Office on the status of the information they provided. This will also provide a mechanism to stay in contact with the individual should they be eligible for a monetary reward offered by law enforcement.

Posters and brochures have been distributed to all department facilities and probation offices explaining how this system works.

Use of Force

The Use of Force Unit was established in August of 1999 and is staffed by an Inspector Supervisor and a Senior Inspector. The mission of the unit is to review all incidents of physical force at state correctional facilities and ensure compliance with established rules, procedures and statutes.

To accomplish this, the unit conducts an independent review and evaluation of all force incidents upon receipt of the required reports, associated documents and videotapes from each correctional facility or office. Use of force reports or videotapes that reveal possible procedural violations, inmate abuse, excessive/improper/unauthorized force, or battery by correctional employees are referred to the Bureau of State Investigations and an internal investigation is conducted.

The Use of Force Database has been enhanced to provide automatic notification to management of pertinent information regarding employee involvement in use-of-force incidents. Improvement to the database also allows the designation of major or minor use of force incidents based on standardized criteria, and the ability to provide ad hoc reports as necessary. Use-of-force incidents are classified as major incidents whenever chemical agent CS or the ERD is 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, 2005 through June 30, 2006.

Classification	Reason Force Was Used	Number
27A	Self Defense	422
27B	Escape/Recapture	8
27C	Prevent Escape During Transport	4
27D	Prevent Property Damage	7
27E	Quell A Disturbance	1,509
27F	Physical Resistance to a Lawful Command	1,256
27G	Prevent Suicide	118
27H	Restrain Inmate for Medical Treatment	102
27I	Cell Extraction	139
27J	Mental Health Restraint	199
27K	P & P Handcuffing	5
TOTAL		3,769

Contraband Interdiction Unit

The Contraband Interdiction Unit was established in 1993, and re-energized in early 2006. The unit's mission is to provide a safer environment for employees, inmates and visitors by discouraging the introduction of contraband, and in particular the introduction of illegal narcotics, at state correctional facilities.

The unit conducts unannounced interdiction operations at Department of Correction facilities, conducts searches for illegal narcotics utilizing Inspectors assigned to the unit and certified narcotic canines, as well as searches for other contraband. During interdiction operations, employees, visitors, volunteers, inmates, vehicles and areas on department grounds are searched for contraband. Employees, visitors, volunteers and inmates are also subject to inspection by a chemical detection unit that uses technology, referred to as the Ion Mobility Spectrometry, to find traces of illegal drugs.

Narcotic Canine Teams

In the latter part of this fiscal year the Office of the Inspector General began the process of restoring the Drug Detection Canine Unit for use in conducting Interdiction operations. When fully staffed, the unit will consist of nine full-time Canine teams with specially equipped vehicles, located strategically around the State. The Canine teams work in conjunction with the Inspector General's Contraband Interdiction Unit, participating in contraband interdictions and conducting searches at Department of Correction prisons and other facilities. The Canine teams also work closely with all of the Institutional Inspectors and provide investigative support whenever needed.

Bureau of Internal Audit

Mission

The mission of the Bureau of Internal Audit is to assist the Secretary and the Department in ensuring that: (1) agency goals are met; (2) all resources are used consistent with laws, regulations, and policies; (3) all 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 established 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 coverage to mitigate risks.

Bureau Organization and Responsibilities

The Bureau employs nine professional auditors and one staff assistant with oversight from the Bureau Chief who functions as the Director of Auditing. Staff includes a Certified Public Accountant, a Certified Internal Auditor, and a Certified Fraud Examiner.

The Bureau conducts compliance, performance and information technology audits per Section 20.055 Florida Statutes. These audits are conducted in accordance with the current *International Standards for the Professional Practice of Internal Auditing* published by the Institute of Internal Auditors.

Summary of Audits Completed

During FY 2005-2006, the Bureau of Internal Audit completed 11 audits, 4 follow-up audits and 4 reviews. The audit reports issued are summarized in the chart below:

FY 2005-06 Internal Audit Reports		
Audit Number	Project Title	Report Issue Date
A05012	Salary Overpayment Audit	09/06/05
A05013	Healthcare - Co-payments by Inmates	10/13/05
A05016	Employee Club - Washington CI	12/09/05
A06007	Inmate Gratuity Fund - Region I Institutions	03/10/06
A06009	Employee Club - SFRC	03/16/06
A04010	Contracted Food Service Audit	03/22/06
A06013	Employee Club - CFRC	03/31/06
A06014	Employee Club - Broward CI	04/11/06
A06010	EEO Investigations	04/25/06
A06017	Employee Club - Sumter CI	05/16/06
A06008	Inmate Grievances	05/24/06

Selected Bureau Reports With System-Wide Impact

The Bureau 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. Two of the audits with statewide impact conducted by the Bureau of Internal Audit this fiscal year included.

Contracted Food Service Audit, Report # A04010

Field work for the audit was concluded in November 2004. Prior to issuance of the final report the previous Secretary of DC requested we conduct a follow-up audit to determine if corrective action had been taken by management on our recommendations. The follow-up was conducted from October 2005 to February 2006. As follow-up we visited previously audited food service operations.

In the time between our initial findings and our subsequent visits we have found that the Department has been efficient in taking corrective action and the following improvements have been noted; the Department is now assessing liquidated damages accordingly, the master menu is in compliance, and food service training is meeting the requirements of the contracts.

Overall, we feel the issues cited in the initial audit to be minor in nature with respect to the size and scope of this contract. The follow-up audit found these issues to have

already been corrected or in the process of being remedied. As with any large contract, there will always be infractions, and thus, it remains imperative to be vigilant in monitoring the contract to ensure full compliance.

Finding No. 1: To discourage recurring contract violations by vendors, Institutional Support Services should improve enforcement of corrective action requirements and liquidated damages provisions of the contracts.

Information has been disseminated to management and staff responsible for implementing corrective action plans and since July 2005, DC has assessed and collected \$82,102 in liquidated damages.

Finding No. 2: To mitigate repeated lapses in staffing, Institutional Support Services should require Aramark to amend its staffing plan to cover all of its contracted DC food service operations, and enforce Aramark's compliance with staffing requirements.

Management is working with the contractor to ensure adequate staffing requirements are maintained.

Finding No. 3: The Master Menu and/or DC Procedure Directive 204.002 should be amended to eliminate discrepancies between the two documents.

Procedure 604.301 has been revised and adequately addresses the various changes to food service operations. Management has compiled a Master Food Specification which incorporates both a Master Meat List and Master Food List.

Finding No. 4: To prevent further lapses in contractor performance, wardens should ensure that officers assigned to kitchen areas receive adequate training and complete/submit Daily Audit Forms.

Management has improved responsibility for and is ensuring that Food Service training meet the requirements of the contracts.

Finding No. 5: Existing Contract Performance Measures should be replaced or enhanced to more accurately reflect the quality of service provided by the vendor.

The Food Service contracts are up for re-bid. During this process management will ensure applicable performance measures are negotiated with the contractors.

Finding No. 6: To prevent continued procedural violations in the preparation, serving and monitoring of medical diets, Institutional Support Services should update menus and procedures and require contractors to provide better training and supervision.

Management is developing a system for preparation, serving and monitoring of medical diets to prevent continued procedural violations.

Salary Overpayment Audit, Report # A05012

We found errors attributed to the People First (PF) system as a recurring problem in the processing of DC payrolls. Some of these errors go undetected by DC's payroll staff because of the lack of payroll reports that are to be provided to DC by Convergys. Although this audit concentrated essentially on salary overpayments and underpayments, an innumerable amount of other problems with processing payrolls through the PF system were unveiled. The PF system deficiencies identified in this audit have been referred to the Department of Management Services and the Bureau of State Payrolls to be addressed with Convergys.

Other Activities

Governor's Council on Integrity and Efficiency

The Inspector General is an active member and attends the regularly scheduled meetings of Florida's inspectors general. Open communication among the IG's and the Chief Inspector General continues to enhance the effectiveness of the IG community.

Professional Audit Organizations

The Bureau of Internal Audit participates in several professional organizations, including the Audit Director's Roundtable, [Institute of Internal Auditors](#) , [Florida Audit Forum](#), [Association of Certified Fraud Examiners](#), and the [American Institute of Certified Public Accountants](#). These organizations promote progress and professionalism in the field through sharing of ideas and best practices.

Investigators' Roundtable

The Investigators' Roundtable brings together directors of investigative units of the Inspector Generals' offices for each agency to identify best practices and discuss common issues. These meetings promote progress through the sharing of ideas and best practices among state agencies.