



***For Fiscal Year 2008-09
September 30, 2009***

*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 62 major prisons and 77 work camps and community-based facilities, the department manages incarceration and care for more than 100,000 inmates. In addition, more than 150,000 felony offenders are supervised through 161 probation offices statewide. The agency's 28,000 employees carry out this public safety mandate 24 hours a day, 365 days a year. The agency's annual operating budget is \$2.4 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 2008-09.

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.

Table of Contents

▶ Executive Summary

- **Agency Background**
- **Purpose of the Annual Report**

➤ **Introduction**

- **Organization/Duties**
- **Vision**
- **Mission Statement**
- **Goal**
- **Specific Areas of Responsibility**
- **Organizational Chart**

➤ **Bureau of State Investigations**

- **Investigations**
- **Classification of Incidents**
- **Investigation Highlights**
- **Use of Force**
- **Corrections Intelligence Unit**
- **Contraband Interdiction Unit**
- **Narcotic Canine Teams**
- **Inmate Drug Testing Program**
- **Prison Tips**

➤ **Bureau of Internal Audit**

- **Mission**
- **Goals**
- **Bureau Organization and Responsibilities**
- **Selected Bureau Reports with Positive Impact**

*Download/view a PDF version of this publication
formatted for printing. (214K PDF File)*



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 deficiencies.
3. Advise in the development of performance measures and standards for the evaluation of agency programs.
4. Operate contraband interdiction and inmate drug testing programs.
5. Coordinate department activities required by the Florida Whistle-blower's Act.
6. Coordinate audit and investigative efforts, and facilitate cooperation with external agencies including 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.

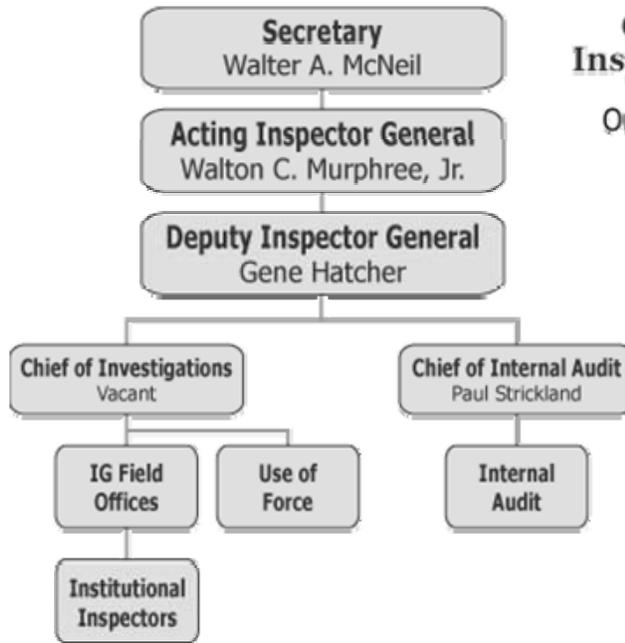
1. Survey stakeholders - senior management and others - to determine expectations and needs;
2. Identify statewide risks and threats;
3. Provide timely and pertinent information to decision makers; and
4. Assess internal controls and facilitate improvements to help assure the successful implementation of management's goals.

Specific Areas of Responsibility

To meet the growing needs of a rapidly expanding Department of Corrections, the Office of the Inspector General (OIG) has maximized the efficient use of limited resources by addressing those matters of greatest concern and vulnerability to fraud and abuse. Primary services provided by the OIG include the following:

1. OIG facilitates and directs a computerized “management information network” that keeps designated key managers informed of events as they occur at correctional facilities 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 correctional managers in developing strategies to address areas of concern.
 - Provides timely flow of information to management and, through the Public Information Office, to the public.
 - Leads the department's effort to maintain cooperative working relationships with the Department of Law Enforcement and other state and federal law enforcement and investigative agencies.
2. OIG certified law enforcement and correctional inspectors conduct criminal and administrative investigations inside state correctional facilities. Inspectors:
 - 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 allegations of misconduct by staff and/or offenders in state correctional facilities, and coordinate these investigations with appropriate departmental staff.
 - Provide timely intervention in areas of identified concern, thereby reducing the potential escalation of incidents such as staff disputes and inmate escape attempts.
3. OIG Intelligence Unit and Contraband Interdiction teams assist the Office of Institutions in providing a safe environment for employees, inmates, and visitors by deterring the introduction of weapons and drugs into correctional facilities. Interdiction teams:
 - Maintain an automated tracking system for contraband seized in state correctional facilities.
 - Conduct unannounced interdiction operations.
 - Review contraband control procedures at state correctional facilities for compliance with department policy and procedure
4. OIG auditors assess the efficiency and effectiveness of agency programs and associated controls, measure compliance with laws and procedures, and serve as a watchdog to deter waste, fraud and abuse of agency resources. Audit staff:
 - Conducts compliance and performance audits in accordance with professional auditing standards.
 - Evaluates the effectiveness of the Department's management of contracts, reports findings, and recommends actions to correct deficiencies.
 - Assists inspectors with investigations involving fraud, waste, or misappropriation of funds.
 - Serves as the department's liaison with the Office of the Auditor General and the Office of Program Policy Analysis and Government Accountability on audits and performance reviews completed by those offices

**Office of the
Inspector General**
Organization Chart





Bureau of State Investigations

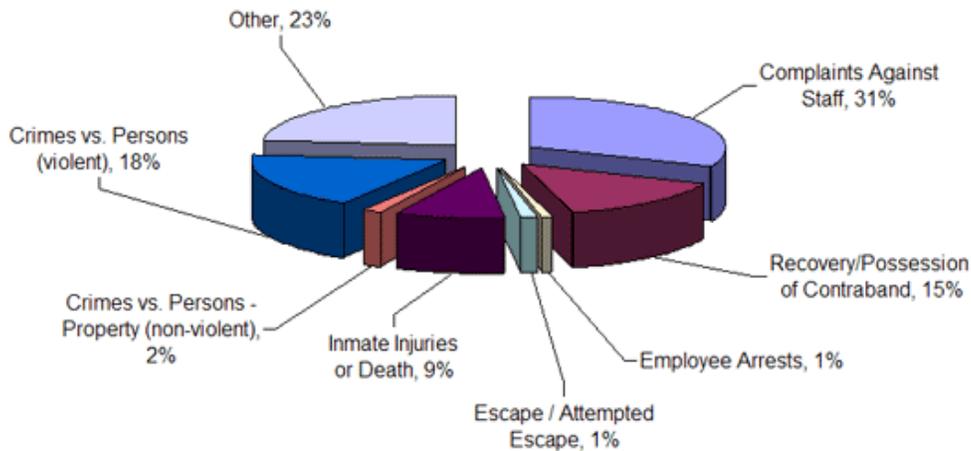
The Bureau of State Investigations is responsible for conducting criminal, administrative and internal affairs investigations. The Bureau also coordinates the agency's inmate drug testing program, contraband interdiction program, "Prison Tips" hotline, and serves as the final reviewing authority for 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 2008-09 fiscal year, 32,530 incidents were reported to the Inspector General's Office. Those incidents were classified in the following categories:

Classification of Incidents Reported (FY 2008-09)



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 force, and staff/offender relationships. (31%)
- Crimes vs. persons (violent), which include battery on a law enforcement officer, battery on another inmate, sexual battery, and possession of a weapon. (18%)
- Possession/recovery of contraband. (15%)
- Inmate injuries or deaths, including suicide, suicide attempts, homicides, natural deaths, accidental deaths and injuries. (9%)

Classification of Incident	Number
Complaints Against Staff	10,103
Inmate Injuries or Death	2,966
Crimes vs. Persons (Violent)	5,827
Crimes vs. Persons - Property (Non-Violent)	596
Escape / Attempted Escape	406
Recovery/Possession of Contraband	4,778
Employee Arrests	325
Other	7,529
TOTAL	32,530

Of these 32,530 incidents, 4,410 official investigations were assigned as indicated by the chart below.

Field Office	Senior Inspectors	Institutional Inspectors	Total
Tallahassee	215	543	758
Gainesville	608	837	1,445

Orlando	198	293	491
Ft. Lauderdale	301	618	919
Tampa	525	272	797
TOTAL	1,847	2,563	4,410

Of the 4,410 investigations assigned, 396 were forwarded to State Attorney's Offices throughout Florida for possible criminal prosecution.

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, 2008 through June 30, 2009.

Classification	Reason Force Was Used	Number
27A	Self Defense	678
27B	Escape/Recapture	5
27C	Prevent Escape During Transport	0
27D	Prevent Property Damage	24
27E	Quell a Disturbance	1,741
27F	Physical Resistance to a Lawful Command	1,574
27G	Prevent Suicide	477
27H	Restrain Inmate for Medical Treatment	62
27I	Cell Extraction	178
27J	Mental Health Restraint	315
27K	Probation & Parole Handcuffing	2
27O	Other	30
TOTAL		5,086

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

The Contraband Interdiction Unit, established in 1993, provides a safer environment for employees, inmates and visitors at state correctional facilities by detecting and discouraging the introduction of contraband -- in particular illegal narcotics. The Unit conducts unannounced contraband interdictions and searches using inspectors and certified Narcotic Canine Teams. During the often weekend-long 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 agency facilities.

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 2008-09:

Interdiction Arrests/Seizures	FY 08-09
Arrests:	
by Level 1 and 2 interdiction teams	8
by canine teams	2
Contraband Seized:	
Alcohol (gallons)	
commercial and homemade	22
Drugs (grams)	
marijuana	2,505
cocaine	35
other	5
Weapons/Cell Phones (each)	
firearms (in vehicles on state property)	19
ammunition (rounds, in vehicles)	1,361
knives/sharps (entering or inside institution)	21
cell phones (entering or inside institution)	66
Ionscans:	
employees, visitors and inmates scanned	4,300
ionscan positive alerts triggered	543

Inmate Drug Testing Program

The Inspector General's Inmate Drug Testing Unit 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 2008-09:

Inmate Drug Test Conducted during FY 2008-09						
Reason for Test	Total Selected	Not Tested	Valid Tests	Negative Tests	Positive Tests	Percent Positive
Random	72,092	695	70,741	69,609	1,132	1.60%
For Cause	6,622	7	6,333	5,246	1,087	17.16%
Drug Treatment Program (SAP)	36,260	279	35,931	35,861	70	0.19%
TOTAL	114,974	981	113,005	110,716	2,289	2.03%

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.



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

The Bureau's 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 two Certified Government Audit Professionals (CGAPs), a Certified Public Accountant (CPA) and a Certified Fraud Examiner (CFE).

Information Technology Audit Section

The 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.

During FY 2008-09, the Compliance/Performance and Information Technology Audit Sections completed six audits, six follow-up audits and seven reviews. The reports are listed below, in order of date issued:

FY 2008-09 Audit Section		
Report Number	Project Title	Report Issue Date
A09002F	Follow-up to Contracts for Water/Waste Water Treatment Operators Audit	8/5/2008
A08023	Audit of Office of Department Initiatives' Performance Measures	8/6/2008
A09004F	Follow-up to OPPAGA Report No. 08-10 Delay in Screening	8/26/2008
R08024	Review of Marion CI Employee Benefit Trust Fund	8/28/2008
A09001	Audit of Laboratory Corporation of America - Contract #C2133	10/8/2008
R09010	Florida Parole Commission - Information Technology	12/17/2008
A09003	Construction Bid Process Audit	12/23/2008
R09008	2008 Florida Risk Assessment Survey - Information Technology	12/30/2008
A09007F	Follow-up to OPPAGA Report No. 08-20 Contractor's Contract Effort is Sound	1/28/2009
A08020	Audit of Arsenal and Security Supplies	3/3/2009
A09015F	Follow-up to Auditor General Report #2009-011 Offender-Based Information System	3/27/2009
R09018	Review of Inmate Complaint regarding Keefe Inmate Canteen at Columbia CI	4/14/2009
R09020	Review of Dorm and Control Room logs - Hendry CI	5/14/2009
R09016	Review of Staff Housing Assignments	5/19/2009
A09017F	Follow-up to Auditor General Report No. 2009-023 Contract Management	5/20/2009
A09011	Audit of Extradition Services Contract# C2355	5/27/2009
A09005F	Follow-up to Audit of Inmate Property at Reception Centers	6/2/2009
A09006	Audit of Property Accountability	6/3/2009
R09021	Review to Assist Everglades CI Investigation	6/11/2009

Contract Management Review Section

The Contract Management Review (CMR) Section employs an audit supervisor and two auditors. Staff includes a Certified Internal Auditor (CIA). Reviews during FY 2008/2009 focused on contracts and vendors providing re-entry services such as substance abuse treatment and Probation and Restitution Center operations. Auditors found that most offenders participating in those programs were receiving training and counseling as intended and were able to gain successful employment in the community. Weaknesses were identified with vendors' failure to correctly

calculate subsistence fees and meet performance measures for staffing and drug testing requirements.

Contract reviews facilitated improvements in drug testing, staffing and performance measures. Offenders who had been overcharged by contractors were reimbursed and accountability for offender funds was enhanced to better assist offenders in their re-entry to society. Two reviews and four follow-up reports completed last year are listed below:

FY 2008-09 Contract Management Review Section		
Report Number	Project Title	Report Issue Date
CMR 09-002F	Follow-up: Bridges of America - St. Petersburg	9/8/2008
CMR 09-003F	Follow-up: Non-Secure Programs Inc.	9/8/2008
CMR 09-004F	Follow-up: Non-Secure Programs Inc.	1/20/2009
CMR 09-001F	Follow-up: Salvation Army PRC	1/20/2009
CMR 09-005	Non-Secure Programs Inc. - Tallahassee	4/20/2009
CMR 09-006	Non-Secure Programs Inc. - Ocala	4/20/2009

Selected Bureau Reports With Positive Impact

The Bureau views its audit/contract review mandate as an opportunity not only to identify deficiencies, but also to identify areas that are well designed and are meeting management's expectations. Examples of reports issued by the Bureau of Internal Audit for FY 2008-09 include:

Construction Bid Process Audit — A09003

Our audit revealed that, overall, adequate internal controls exist for DC's bid process. Furthermore, the bid process that was applied for the select DC construction contracts was consistent with applicable laws, rules, and procedures.

We also found that the bid process for construction services and/or materials is in accordance with applicable rules and regulations. Additionally, the quantity of commodities or services ordered and received, as well as the prices invoiced, agreed with the original Invitations to Bid (ITB); however, one issue was identified that, if addressed as recommended by the auditors, will improve bid documentation.

Audit of Property Accountability — A09006

We found that property items were properly recorded by the Department; prescribed procedures were followed when transferring property from one organization code to another; and physical inventories were conducted in accordance with prescribed procedures. However, we noted issues concerning responsibilities of "new" property delegates that, when addressed, will improve accountability for DC's tangible personal property items.

Extradition Services Contract — A09011

We found that the Department performed some level of monitoring for the extradition services contract; however, we identified issues that, when addressed, should enhance monitoring and facilitate improved contractor compliance with contract terms and conditions.