

# ***Florida Department of Corrections***

## **Office of Inspector General**



### ***Annual Report***

**Fiscal Year 2019-20**



FLORIDA  
DEPARTMENT of  
CORRECTIONS

Governor

**RON DESANTIS**

Secretary

**MARK S. INCH**

501 South Calhoun Street, Tallahassee, FL 32399-2500

[www.dc.state.fl.us](http://www.dc.state.fl.us)

September 30, 2020

Melinda M. Miguel,  
Chief Inspector General  
Office of the Chief Inspector General  
Room 2103 - The Capitol  
Tallahassee, FL 32399-0001

Dear Ms. Miguel:

In accordance with Section 20.055, subsection (8), Florida Statutes, I am pleased to present the Florida Department of Corrections (FDC), Office of Inspector General's (OIG) Annual Report for Fiscal Year 2019-20. This report outlines the activities and accomplishments of the OIG for the fiscal year ending June 30, 2020.

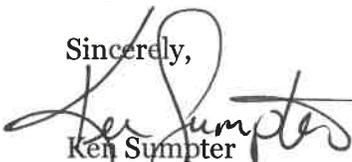
Now is an exciting time to be part of the FDC OIG! The Fiscal Year 2020-21 State Budget includes a 3% across the board pay raise for all state employees. Additionally, and specific to FDC, the budget includes a longevity bonus for FDC sworn personnel based on their state tenure. Directly impacting the OIG, the budget includes an additional ten inspector positions, which will improve our ability to complete timely investigations. The previously cited pay raises and longevity bonuses will assist this office in recruitment. This is illustrated in the 250 applicant responses we received related to our current statewide vacant inspector advertisement.

In response to the statutory changes in Chapter 112.532, Florida Statutes, requiring all administrative investigations be completed within 180 days, our office conducted a staff analysis and found we required additional administrative investigative staffing to meet the statutory change. The Department's leadership prioritized our staffing needs in the next Legislative Budget Request by submitting a request for additional inspector positions to conduct administrative investigations. Although our investigative resources are critical, I recognize the challenges our government faces in meeting budgetary expectations during these difficult times.

The Bureau of Investigations successfully reduced the total case count from the last annual report of 2,890, to our current case count of 1,691. The reduction in total case count is credited to prioritizing the closure of inactive investigations, which will provide an accurate assessment of inspector caseloads.

We look forward to a productive working relationship with your office, the Secretary, the Department's leadership and our state partners to ensure accountability, integrity and efficiency within the Florida Department of Corrections.

Sincerely,



Ken Sumpter  
Inspector General  
RS/ks



FLORIDA  
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September 30, 2020

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Secretary  
Florida Department of Corrections  
501 South Calhoun Street  
Tallahassee, Florida 32399-2500

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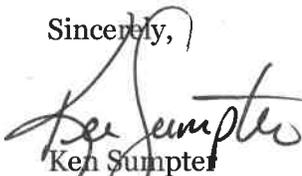
Now is an exciting time to be part of the FDC OIG! As you are aware, the Fiscal Year 2020-21 State Budget includes a 3% across the board pay raise for all state employees. Additionally, and specific to FDC, the budget includes a longevity bonus for FDC sworn personnel based on their state tenure. Directly impacting the OIG, the budget also includes an additional ten inspector positions, which will improve our ability to complete timely investigations. The previously cited pay raises and longevity bonuses will assist this office in recruitment. This is illustrated in the 250 applicant responses we received related to our current statewide vacant inspector advertisement.

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We look forward to a productive working relationship with you and your leadership team to ensure the OIG mission of accountability, integrity and efficiency within the Florida Department of Corrections.

Sincerely,

  
Ken Sumpter  
Inspector General  
KS/ks

## INTRODUCTION

The Florida Department of Corrections, Office of Inspector General is comprised of the Bureau of Internal Audit, Bureau of State Investigations, and the Program Division of Environmental Health and Safety. The Office of Inspector General is unique compared to most Offices of Inspectors General. Part of the duties and responsibilities of the Office is to investigate criminal violations involving inmates and visitors. The Office also conducts health and safety inspections of correctional institutions or any place in which state prisoners are housed or work. The inspections reference the physical conditions, cleanliness, sanitation, and safety and the general conditions of each institution. The authority of the Office is derived from Chapter 944.31, Florida Statutes.

As a State Office of Inspector General, the Office is a central point for coordination of and responsibility for the activities to promote accountability, integrity, and efficiency in state government. The governing principle of the Office is the *Principles and Standards for Offices of Inspector General* as published and revised by the Association of Inspectors General, commonly known as the Green Book. The principles and standards of confidentiality, quality assurance, objectivity are just some of the principles and standards adhered to by the Office.

Offices of Inspectors General have a long history not only in the Federal Government, but also in the State of Florida. The State of Florida adopted the Inspector General concept in 1994, after, Governor of Florida, the late Lawton Chiles seeing the positive impact of Inspectors General in the federal system as a US Senator, led the creation of the Florida Inspector General Act.



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## **DEPARTMENT BACKGROUND**

As the nation's third-largest prison system, the Florida Department of Corrections (Department) fulfills a primary role in enhancing the safety of Florida residents. Through a network of state prisons (50 state and 7 private), road prisons, work camps, and community-based facilities, the Department manages incarceration and care for approximately 88,000 inmates. The Department also supervises approximately 154,000 offenders through 134 probation offices statewide. The Department employs approximately 25,000 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, and for state agencies under the jurisdiction of the Governor, the Chief Inspector General 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 Inspector General's activities as related to its mission.

## **VISION**

A safe and efficient Florida correctional system.

## MISSION

Promote leadership to ensure accountability, integrity, and efficiency within the Florida Department of Corrections.

## GENERAL GOALS

To add value to the Department by:

1. Continuously identifying Department needs & priorities;
2. Identifying risk and threats that impact public safety;
3. Promoting innovative solutions to address the Department's needs; and
4. Providing timely, accurate, and pertinent information to decision makers.

## SPECIFIC AREAS OF RESPONSIBILITY

The Office of Inspector General's Bureaus of Internal Audit and State Investigation provide the following primary services:

1. **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 in the following manner:
  - conduct compliance, performance, and information technology audits in accordance with professional auditing standards and conduct 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 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;
  - assess the validity and reliability of the information provided by the Department on performance measures and standards and make recommendations for improvement, if necessary; and
  - serve as the Department's liaison in coordinating audits and facilitating cooperation with external agencies including the Auditor General, Office of Program Policy Analysis and Government Accountability and the Department of Financial Services.

2. **Regional Safety Inspectors** inspect each correctional institution or any place in which inmates are housed, worked, or kept within the state, with reference to its physical conditions, cleanliness, sanitation, safety, and comfort. Areas of responsibility include:
  - conduct semiannual inspections at all the Department's facilities and the seven private prisons managed by the Department of Management Services.
  - accompany state fire protection specialists of the Division of State Fire Marshal during annual fire safety surveys;
  - conduct annual fire, environmental health, and Occupational Safety and Health Administration (OSHA)-related safety inspections of new, renovated, and current institutions, followed by the on-site verification of corrected violations; and
  - conduct training sessions for Loss Control Management to include accident investigation, general safety awareness, damaged or lost property coverage, and a review of workers' compensation issues.
3. **Certified law enforcement and correctional inspectors** safeguard the integrity of the state's correctional system. The Office of Inspector General has 140 positions that are sworn law enforcement officers or certified correctional officer inspectors that perform the following activities:
  - conduct criminal and administrative investigations involving Department operations, contracts, staff, inmates, visitors, and volunteers;
  - coordinate investigative efforts with Florida Department of Law Enforcement and other law enforcement agencies;
  - review 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;
  - process requests that include public records requests, subpoenas, arrest affidavits, investigative demands, litigation productions, inmate phone call records, background investigations, and any other records/information;
  - respond to complaints from multiple internal and external sources, MINS (Management Information Notification System), electronic complaint form (web-based), TIPS line, correspondence, e-mail, and telephone which will result in the opening investigations, inquiries, or management referrals;
  - examine alleged violations of Title VII of the Civil Rights Act, Chapter 60L-36.004, Florida Administrative Code, and Chapter 110, Florida Statutes. Equal Employment Opportunity complaints are received through several channels, including the Department's internal complaint procedure, the Florida Commission on Human Relations, and the Equal Employment Opportunity Commission; and
  - work closely with prosecutorial entities to facilitate the prosecution of criminal cases; and coordinate Department activities as required by the **Florida Whistle-blower's Act**.

## OFFICE OF INSPECTOR GENERAL ACCREDITATION

The Office of Inspector General continues to maintain its accreditation status through the Commission for Florida Law Enforcement Accreditation (The Commission). The Office was reaccredited in the fall of 2018. Complying with standards that are “best practices” in the Office of Inspector General (OIG) community and based on the national recognized “Green Book.” In their report to the Commission, the assessment team wrote, “[m]embers of the FDC-OIG are professional, well trained and enthusiastic. The procedures of the FDC-OIG are sound, allow for efficient workflow and are compliant with Florida Statutes, agency policy, accreditation standards and established principles and standards for the investigative functions of an Office of the Inspector General.” Being accredited has long been recognized as a means of maintaining the highest standards of professionalism. K-12 Schools, universities, and hospitals are some of the most well-known organizations who also seek an accreditation status. The Office was first accredited by the Commission in 2015.

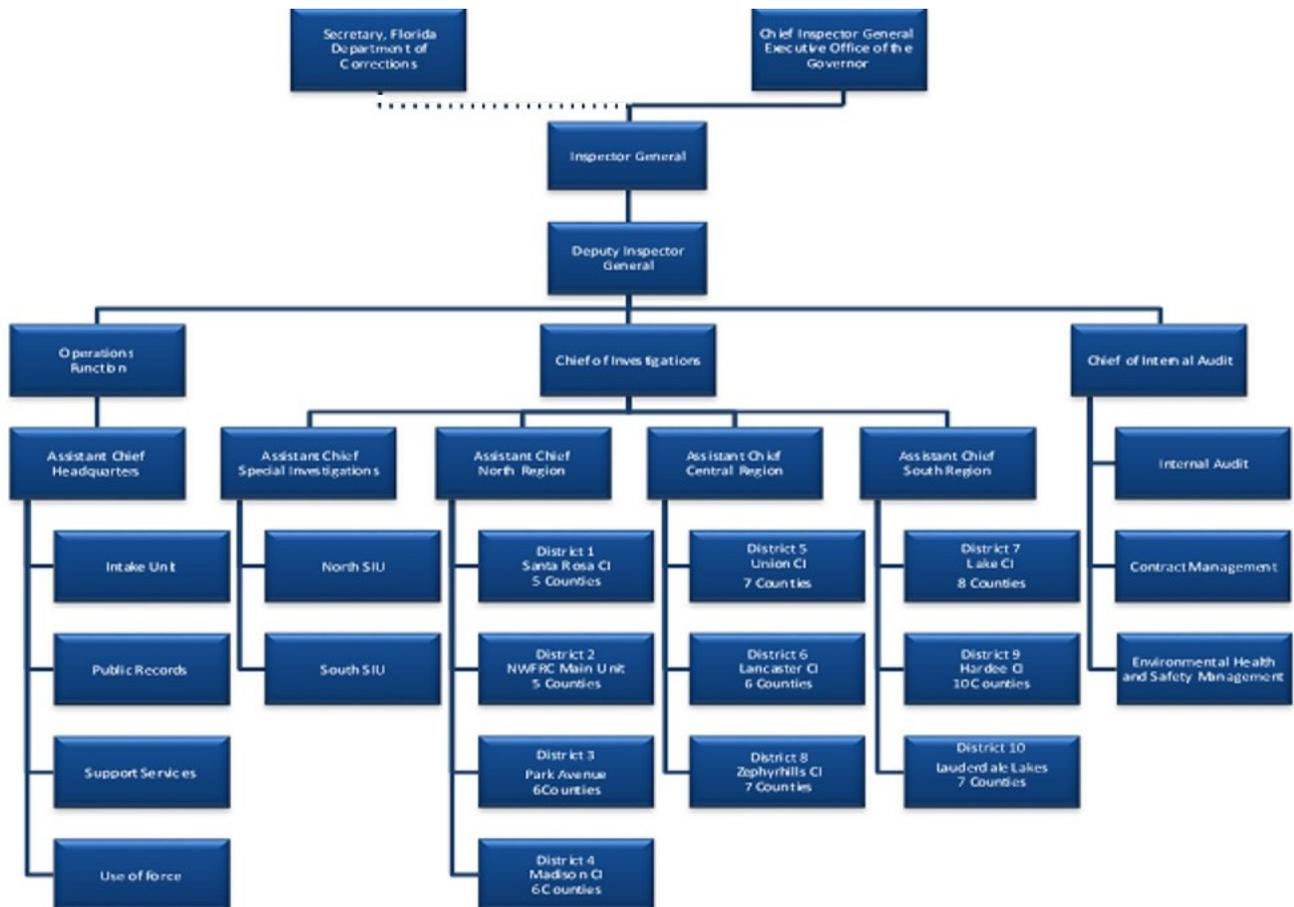


# OFFICE OF INSPECTOR GENERAL ORGANIZATIONAL CHART

The Office of Inspector General consists of two Bureaus: State Investigations and Internal Audit.



## OFFICE OF INSPECTOR GENERAL



# **BUREAU OF INTERNAL AUDIT**

## **Mission**

The mission of the Bureau of Internal Audit is to support the Chief Inspector General, the Secretary, and the Department by ensuring:

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;
4. reliable data is obtained, maintained, and fully disclosed; and
5. the health and safety of inmates as well as Department employees, volunteers, and visitors.

## **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 meet its purpose, the Bureau of Internal Audit has four key goals:

1. perform quality audits, reviews, and inspections.
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) Environmental Health and Safety. 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. To accomplish the mission and to achieve the goals of the Bureau of Internal Audit, staff perform audits and contract management reviews designed to identify systemic issues that impact the economy and efficiency of the Department's operations and programs and/or to identify internal control deficiencies in the prevention, deterrence, and detection of fraud.

The Bureau views its audit and contract management review mandate as an opportunity to not only identify deficiencies and problems with statewide impact, but also to identify areas that are well designed and are meeting management's goals. All audits are conducted in accordance with the current *International Standards for the Professional Practice of Internal Auditing* published by the Institute of Internal Auditors. The Bureau also conducts inspections pursuant to Section 944.31, Florida Statutes, that requires the Department's Office of Inspector General to inspect each correctional institution or any place in which inmates are housed, worked, or kept within the state, with reference to its physical conditions, cleanliness, sanitation, safety, and comfort.

The internal audit staff possesses accounting and auditing experience. Staff are required to maintain professional proficiency through continuing education and training. Staff are active in the following professional organizations: Institute of Internal Auditors and Association of Inspectors General.

### Internal Audit Section

This section employs an audit supervisor and four auditors who perform compliance, performance, and information technology audits. Staff certifications include one Certified Internal Auditor, one Certified Inspector General Auditor, two Certified Public Accountants, and one Certified Government Auditing Professional.

During Fiscal Year 2019-20, the Internal Audit section completed six audits, one follow-up audit, and six reviews as listed in the following table by report date.

<b><i>Fiscal Year 2019-20 Audit Reports and Reviews</i></b>		
<b><i>Report Number</i></b>	<b><i>Project Title</i></b>	<b><i>Report Date</i></b>
<i>R20005</i>	<i>Certification of Recruitment and Turnover Information required by General Appropriations Act - July 2019</i>	<i>07/24/2019</i>
<i>A19006</i>	<i>Audit of Application Access – Inmate Records Imaging Systems</i>	<i>10/08/2019</i>
<i>R19013</i>	<i>Quality Assurance Review</i>	<i>10/09/2019</i>
<i>R20006</i>	<i>Certification of Recruitment and Turnover Information required by General Appropriations Act - First Quarter</i>	<i>10/14/2019</i>
<i>A20001</i>	<i>Audit of Zephyrhills Regional Evidence Control Areas</i>	<i>11/15/2019</i>
<i>R20012</i>	<i>Certification of Recruitment and Turnover Information required by General Appropriations Act - Second Quarter</i>	<i>01/13/2020</i>
<i>R19002</i>	<i>Review of Intelligence and Contraband Interdiction</i>	<i>01/31/2020</i>
<i>A20009F</i>	<i>Follow-up of Auditor General's Report 2020-006, Department of Corrections Community Supervision, Selected Administrative Activities, and Prior Audit Follow-up</i>	<i>02/24/2020</i>
<i>A20004</i>	<i>Audit of the Florida Commission on Offender Review's Memorandum of Understanding with the Department of Highway Safety and Motor Vehicles for the Use of Driver and Vehicle Information Database (DAVID)</i>	<i>04/07/2020</i>
<i>R20017</i>	<i>Certification of Recruitment and Turnover Information required by General Appropriations Act - Third Quarter</i>	<i>04/14/2020</i>
<i>A19002</i>	<i>Audit of Intelligence and Contraband Interdiction</i>	<i>04/15/2020</i>
<i>A20011</i>	<i>Audit of Regional Evidence Control Areas</i>	<i>04/29/2020</i>
<i>A20002</i>	<i>Audit of Vehicle Maintenance, Repairs, Supplies, and Parts</i>	<i>06/29/2020</i>

Source: Bureau of Internal Audit

## **Audit Engagements**

Audit Engagement Reports issued in Fiscal Year 2019-20 included:

### Audit of Application Access – Inmate Records Imaging System

Based on the provisions of Section 282.318, Florida Statutes, Security of Data and Information Technology Resources, the results of this audit are confidential and exempt from the provisions of Section 119.07(1), Florida Statutes.

### Audit of Zephyrhills Regional Evidence Control Areas

Audit staff found that activities are generally in compliance with Department Procedure 108.017, Evidence, Property, and Contraband Collection, Preservation, and Disposition. Evidence or contraband items examined were stored in their respective locations as indicated on the inventory listings provided by Bureau of Investigations personnel. Furthermore, internal controls exist in that the evidence rooms are required to be secured to prevent unauthorized access and individual evidence or contraband items are required to be sealed to mitigate undetected evidence tampering. Also, the Regional Evidence Custodian will review evidence under her/his control to determine what is no longer needed. With regard to the handling, packaging, labeling, preservation, and storage, of evidence, Audit staff deemed the exception rate to be immaterial. Therefore, no findings were presented in this audit.

### Audit of the Florida Commission on Offender Review's Memorandum of Understanding with the Department of Highway Safety and Motor Vehicles for the Use of DAVID

Based on the provisions of Section 282.318, Florida Statutes, Security of Data and Information Technology Resources, the results of this audit are confidential and exempt from the provisions of Section 119.07(1), Florida Statutes.

### Audit of Intelligence and Contraband Interdiction

Audit staff found the Office of Intelligence activities were not always effective and efficient. Audit staff also found internal controls were insufficient in managing the canine interdiction unit activities.

**Finding:** The Office of Intelligence was using inappropriate procedures and had never established its own procedures or directives in carrying out their responsibilities.

**Recommendation:** The Office of Intelligence create and implement appropriate procedures and/or directives to guide staff in carrying out their responsibilities.

**Finding:** The Office of Intelligence exceeded their scope of authority.

**Recommendation:** The Office of Institutions review the current mission and utilization of the canine interdiction unit to ensure the canine interdiction unit is operating in an effective and efficient manner which is consistent with applicable laws, rules, and procedures.

### Audit of Regional Evidence Control Areas

Audit staff found that activities are generally in compliance with Department Procedure 108.017, Evidence, Property, and Contraband Collection, Preservation, and Disposition. Evidence or contraband items examined were stored in their respective locations as indicated on the inventory listings provided by Bureau of Investigations personnel. Furthermore, internal controls exist in that the evidence rooms are required to be secured to prevent unauthorized access, and individual evidence or contraband items are required to be sealed to mitigate undetected evidence tampering. Also, at a minimum of twice per calendar year, the Regional Evidence Custodian will review evidence under his/her control to determine what is no longer needed. In addition, a complete inventory of the Regional Evidence Control Area will be conducted whenever a Regional Evidence Custodian or Alternate Evidence Custodian is relieved from duty. There were no exceptions meeting the Bureau of Internal Audit's threshold of materiality to warrant findings.

### Audit of Vehicle Maintenance, Repairs, Supplies, and Parts

Audit staff determined the Department established controls by implementing Department Procedure 205.019, Procurement, Assignment, Use and Control of State Vehicles and the Department's Statewide Fleet Maintenance and Repair Process Manual. The Local Shop Manager submits cost estimates and recommendations to the Regional Fleet Superintendent to approve or deny as well as an email message informing the Fleet General Services Specialist and the Warden regarding the status of the vehicle. The Regional Fleet Superintendent will review the P-Card approval request and cost estimates for repair in order to determine the reasonableness of the purchases and determine whether it will be approved or denied. Audit staff identified one issue warranting management's attention.

**Finding:** Controls need to be enhanced to ensure vehicle maintenance and repairs had been performed as approved.

**Recommendation:** Fleet Management implement controls to ensure vehicle maintenance and repairs are needed and have been performed as approved.

### **Follow-up to Internal and External Audits**

#### Follow-up of Auditor General's Report 2020-006, Department of Corrections Community Supervision, Selected Administrative Activities, and Prior Audit Follow-up

The Bureau of Internal Audit performed a follow-up audit to the Auditor General's Department of Corrections Community Supervision, Selected Administrative Activities, and Prior Audit Follow-Up, Report No. 2020-006, issued in July 2019.

The Department has taken steps to address 10 of the 11 findings in the report. The remaining finding stated that the Department utilized an internal budgetary redistribution process that sometimes bypassed the statutory approval process for budget transfers. Program Management's position is that the Department did adhere to statutory budget transfer requirements. As such management is responsible for their position regarding this matter. No further follow-up is warranted by Bureau of Internal Audit for the findings cited in the report.

## Contract Management Review Section

The Contract Management Review Section employs a supervisor and four auditors. In Fiscal Year 2019-20, the Contract Management Review Section completed seven contract management reviews and one follow-up contract management review as listed in the following table by report date.

<b>Fiscal Year 2019-20 Contract Management Review Reports</b>		
<b>Report Number</b>	<b>Project Title</b>	<b>Report Date</b>
CMR18005	<i>The Transition House, Inc. Contract C2830</i>	7/17/2019
CMR18003	<i>GEO Reentry Services, LLC. Contract C2832</i>	7/25/2019
CMR19006	<i>U.S. Water Services Corporation Contract C2802</i>	1/22/2020
CMR19013F	<i>Follow-up of Report CMR17004 The Transition House - Tarpon Springs Contract C2803</i>	2/25/2020
CMR.19007	<i>Tallahassee Community College Contracts C2874 and C2923</i>	4/16/2020
CMR19003	<i>Trinity Services Group, Inc. Contract C2816</i>	5/14/2020
CMR20001	<i>Communications International, Inc. Contract ATC-18-021</i>	6/18/2020
CMR20002	<i>Non-Secure Programs, Inc. Contract C2655</i>	6/29/2020

Source: Bureau of Internal Audit

## Contract Management Review Reports

Contract Management Review Reports issued in Fiscal Year 2019-20 included:

### The Transition House, Inc. Contract C2830

Contract Management Review staff found that not all services were rendered as required by the contract.

**Finding:** Transition House did not reduce their invoices nor were they assessed financial consequences as required by contract terms for staff vacancies.

**Recommendation:** Contract management ensure that Transition House reduces invoices or pays the Department financial consequences for vacant positions as required by contract terms, including the vacant positions for the periods identified by Contract Management Review staff.

**Finding:** The Department did not always properly monitor Transition House staff vacancies.

**Recommendation:** Contract management monitor Transition House's position vacancies.

**Finding:** Inmate trust account audits were not always conducted by a certified public accountant.

**Recommendation:** Contract management ensures the inmate trust account is audited by an independent certified public accountant.

**Finding:** The Department did not always order family dependent deductions as required.

**Recommendation:** Contract Management ensure that inmates' Monetary Reimbursement Agreement forms correctly document family support obligations when inmates have minor children.

**Finding:** Transition House did not always resolve electronic monitoring alarms and review electronic location data/tracking points.

**Recommendation:** Contract management ensures that Transition House resolves alarms and reviews electronic tracking points.

**Finding:** Transition House's personnel files did not document that all staff had the qualifications required by the contract, and that the U.S. Department of Homeland Security's E-verify system had been utilized to ensure employment eligibility of prospective staff.

**Recommendation:** Contract management ensures that Transition House maintains documentation in each employee's personnel file which demonstrates the successful applicant met the requirements of the position at the time of hire, and the E-verify system was utilized to ensure employment eligibility of that individual.

**Finding:** Transition House's personnel files also did not contain documentation that all staff had received CPR/First Aid training or had been tested for tuberculosis.

**Recommendation:** Contract management ensures that Transition House maintains documentation that CPR/First Aid training was provided to the employees and that each employee was tested for tuberculosis.

**Finding:** Transition House did not provide the required number of operations staff for inmate supervision on all shifts.

**Recommendation:** Contract management ensures that Transition House provides the required number of staff for inmate supervision on all shifts.

**Finding:** Transition House's educational program did not operate the contractually required minimum number of hours per week.

**Recommendation:** Contract management ensures that Transition House provides educational services for the required number of hours per week.

**Finding:** Not all required documentation was present in inmate files.

**Recommendation:** Contract management ensures that required documentation is present in inmate files.

**Finding:** Transition House did not always document that it provided process group meetings as required.

**Recommendation:** Contract management ensures Transition House provides process groups as frequently and with the duration required, process groups are led by counselors as required, and Transition House properly documents that it provided those groups as required.

**Finding:** The Department could not locate any semi-annual quality assurance reports or all the monthly clinical supervision reports required from Transition House.

**Recommendation:** Contract management ensures that all semi-annual quality assurance program reports and monthly clinical supervision reports are received by Transition House as required by the contract and are available for review.

#### GEO Reentry Services, LLC (GEO) Contract C2832

During a site visit, Contract Management Review staff observed GEO providing program services to inmates. Contract Management Review staff found that the delivery of contracted services was monitored by the Department a minimum of once per year as required by the contract. Contract Management Review staff also found contract payments were in accordance with contract terms. However, Contract Management Review staff determined that inmates' Monthly Assessment - Service Plan Progress forms had signature dates by GEO staff on days staff did not work. Contract Management Review staff also determined that the Department did not always impose required financial consequences totaling \$135,000.

**Finding:** Inmates' Monthly Assessment - Service Plan Progress forms had signature dates by GEO staff on days they did not work.

**Recommendation:** No recommendation was presented for this finding. The contract was terminated.

**Finding:** The Department did not always impose required financial consequences when performance measures were not met.

**Recommendation:** The Division of Development: Improvement and Readiness adhere to state law and contract terms and always impose financial consequences, after consulting with the Office of General Counsel, when performance measures are not met, including those contracts for which the decision was made to not impose financial consequences.

#### U. S. Water Services Corporation (U.S. Water Services) Contract C2802

U.S. Water Services provided full-time and/or relief operator service for the water and wastewater treatment plants at select correctional institutions. U.S. Water Services also provided reports to the Division of Facility Management and Building Construction as described in the contract. Payments were properly documented, and the amount paid was in accordance with the contract. The Department performed annual monitoring for fiscal years 2016-17, 2017-18, and 2018-19 as required. However, issues were identified that warrant management's attention.

**Finding:** Documentation to validate that Performance Outcomes and Standards were measured on a monthly basis was not always provided.

**Recommendation:** The Division of Facility Management and Building Construction ensure performance outcomes and standards are measured monthly and documented as required by the contract.

**Finding:** Documentation for background checks was not provided for all U.S. Water Services staff.

**Recommendation:** The Division of Facility Management and Building Construction ensure NCIC/FCIC background checks are conducted for all U.S. Water Services staff.

**Finding:** Contract language in regard to financial consequences conflicts with Florida Statute 287.058.

**Recommendation:** The Division of Facility Management and Building Construction ensure this contract and any future contract includes language that requires the Department to assess U.S. Water Services financial consequences when performance measures are not met.

#### Tallahassee Community College (TCC) Contracts C2874 and C2923

Contract Management Review staff determined TCC provided qualified Special Education Teacher Aides to assist Special Education Teachers; Special Education Teacher Aides were tested for tuberculosis; and background checks were completed as required. Contract Management Review staff found payments were properly documented and the amount paid was in accordance with the contract. The Department performed annual monitoring for fiscal years 2016-17, 2017-18, and 2018-19 as required. However, issues were identified that warrant management's attention.

**Finding:** Special Education Teacher Aide positions were not filled, and the contract performance standard does not effectively measure TCC's performance.

**Recommendation:** The Bureau of Education take the necessary steps to fill the vacant Special Education Teacher Aide positions. The Bureau of Education determine a more effective way to measure TCC's performance and amend contract language accordingly.

**Finding:** The annual monitoring tool for fiscal year 2017-18 and 2018-19 did not accurately measure the performance standard.

**Recommendation:** The Bureau of Education ensure the monitoring tool accurately measures the performance standard.

#### Trinity Services Group, Inc., (Trinity) Contract C2816

Contract Management Review staff found that payments were properly documented, and the amount paid was in accordance with contract terms. Contract Management Review staff also found that the Department monitored the contract more frequently than required. However, issues were identified that warrant management's attention.

**Finding:** Trinity did not have a Certified Food Manager on duty at all times as required by the contract and Chapter 64E-11, Florida Administrative Code.

**Recommendation:** The Bureau of Contract Management and Monitoring ensure that Trinity has a Certified Food Manager on duty for all shifts.

**Recommendation:** The contract be amended to provide for financial consequences if no Certified Food Manager is on duty.

**Finding:** Trinity did not always complete Form I-9 within three business days of the individual's hire date as required by the Department of Homeland Security (DHS).

**Recommendation:** The Bureau of Contract Management and Monitoring ensure that Trinity submits Form I-9 to DHS within three business days of the individual's hire date as required by DHS.

**Finding:** The Department did not always effectively verify and properly monitor that Trinity utilizes E-verify as required.

**Recommendation:** The Bureau of Contract Management and Monitoring ensure that Trinity's usage of E-verify is properly monitored.

**Finding:** Trinity could not always provide documentation that its staff met the minimum qualifications contained in the contract when hired.

**Recommendation:** The Bureau of Contract Management and Monitoring ensure that Trinity can provide documentation that its staff meets contract requirements.

**Finding:** Trinity did not always provide a sample of non-food supplies to the Contract Manager for approval prior to purchasing.

**Recommendation:** The Bureau of Contract Management and Monitoring enforce the contract requirement for submission of samples for approval by the Contract Manager.

**Finding:** Trinity's staffing levels at service locations did not always comply with contract requirements.

**Recommendation:** The Bureau of Contract Management and Monitoring either require Trinity to provide the numbers and types of staff the contract required or amend the contract to reflect the numbers and types of staff employed at the service locations.

#### Communications International, Inc. Contract ATC-18-021

Contract Management Review staff determined overall service was rendered as required by the contract. Contract Management Review staff also verified there was one service facility in each region and insurance was obtained in accordance to the contract. In addition, Contract Management Review staff verified background checks were completed for Communications International staff as required.

Contract Management Review staff found payments were in accordance with the contract and properly documented. Additionally, Contract Management Review staff determined that Communications International was in compliance with three of four performance measures although one could not be measured. Performance measure (2) requires Communications International to repair fixed equipment within eight business days following the date a request is received from the institution or facility. Contract Management Review staff reviewed documentation and verified that there had been no fixed equipment repaired during the scope period. Therefore, this performance measure

was not measurable. However, issues were identified that warrant management's attention.

**Finding:** Financial consequences were not imposed when Performance Measure (4) was not met by Communications International.

**Recommendation:** The Bureau of Security Operations ensure financial consequences are imposed when performance measures are not met in accordance with the contract.

**Finding:** Monitoring by the Bureau of Security Operations was not always performed using a monitoring tool as required by Department Procedure 205.013.

**Recommendation:** The Bureau of Security Operations ensure monitoring is performed annually using a monitoring tool as required by Department Procedure 205.013.

#### Non-Secure Programs Contract C2655

Contract Management Review staff verified services were rendered as required by the contract. Contract Management Review staff reviewed Non-Secure Programs personnel documentation and verified employees met the qualifications for their positions. Contract Management Review staff found Non-Secure Programs is providing the Office of Administration monthly monitoring reports as required by the contract. These reports include the Monthly Performance Report, Urinalysis Report, Staffing Report, Grievance Log Summary, Incidents Report, and Quality Assurance Program Report.

Contract Management Review staff determined that Non-Secure Programs was in compliance with the four Performance Measures. Contract Management Review staff found the delivery of contracted services was effectively verified and properly monitored by contract management. Contract Management Review staff found invoice payments were properly documented and the amount paid was in accordance with the contract. However, issues were identified that warrant management's attention.

**Finding:** Documentation that background checks were conducted was not provided for all Non-Secure Program staff prior to being hired or assigned to work under this contract.

**Recommendation:** Contract management ensure that NCIC/FCIC background checks are conducted and documented for Non-Secure Programs staff prior to being hired or assigned to work under this contract.

**Finding:** Section II of the Community Supervision Program Referral form was not always completed by Non-Secure Programs staff.

**Recommendation:** Contract management ensure Section II of the Community Supervision Program Referral form is completed by Non-Secure Programs.

#### **Follow-up to Contract Management Reviews**

##### Follow-up of Report CMR17004 The Transition House - Tarpon Springs Contract C2803

Contract Management Review staff determined that two of the four findings have been corrected. The remaining two findings warrant further follow-up by the Bureau of Internal Audit as listed below.

**Finding:** Transition House did not always provide outpatient substance abuse treatment services as required by the contract.

**Recommendation:** The Offices of Administration, Institutions, and Programs and Re-Entry ensure that Transition House provides substance abuse treatment services as required by the contract.

**Finding:** Transition House did not provide the Department with all quarterly status reports for contractual performance measures.

**Recommendation:** The Offices of Administration, Institutions, and Programs and Re-Entry ensure that Transition House provides the quarterly status reports.

**Recommendation:** The Offices of Administration, Institutions, and Programs and Re-Entry amend the contract to include language specifying when quarterly status reports are due to the Department.



Source: Bureau of Internal Audit

### Environmental Health and Safety

Due to its unique mission, the Florida Department of Corrections must provide for the environmental health and safety of incarcerated felons, as well as its own employees, volunteers, and visitors. Adherence to established health and safety guidelines is one of the most important responsibilities of every employee and inmate. Section 944.31, Florida Statutes, requires the Department's Office of Inspector General to inspect each

correctional institution or any place in which inmates are housed, worked, or kept within the state, with reference to its physical conditions, cleanliness, sanitation, safety, and comfort.

The Environmental Health and Safety Section employs a supervisor, one Government Operations Consultant II, who also serves as a “Lead” regional safety consultant and four regional safety consultants. Regional safety consultants conduct semiannual inspections at all the Department’s facilities and the seven privately-operated prisons managed by the Department of Management Services. The semiannual inspections are performed utilizing a set of 125 standards that were developed utilizing the guidelines set forth by National Fire Protection Association (NFPA) 101, the Uniform Fire Code, and the Department of Health Standards and all other Federal, State and Local laws and standards that pertain to Environmental Health and Safety and are appropriate.

The chart below is information on our semi-annual inspections. We also conducted one Management Alert Report during Fiscal Year 2019-20, with two findings. This inspection was conducted based on the following criteria; Major violation which constitutes any violation that would require an outside agency to oversee or an immediate endangerment to life and was discovered through a review of the facilities monthly inspections. The third type of report is a summary report or roll-up report in which we do every six months to inform Regional Directors of all findings that were associated with their regions.

The following table represents all findings<sup>1</sup> during the semi-annual inspections for Fiscal Year 2019-20:

Regions	Number of Main Units	Main Unit Deficiencies	Number of Annexes	Annex Deficiencies	Number of Work Camps and CRC <sup>2</sup>	Work Camp and CRC Deficiencies	Total Deficiencies
C.O. <sup>3</sup>	7	69	4	38	7	19	126
1	8	32	2	5	5	2	39
2	18	242	3	33	15	83	358
3	10	163	3	29	17	116	308
4	11	295	3	50	12	74	419
<b>Totals</b>		801		155		294	1250

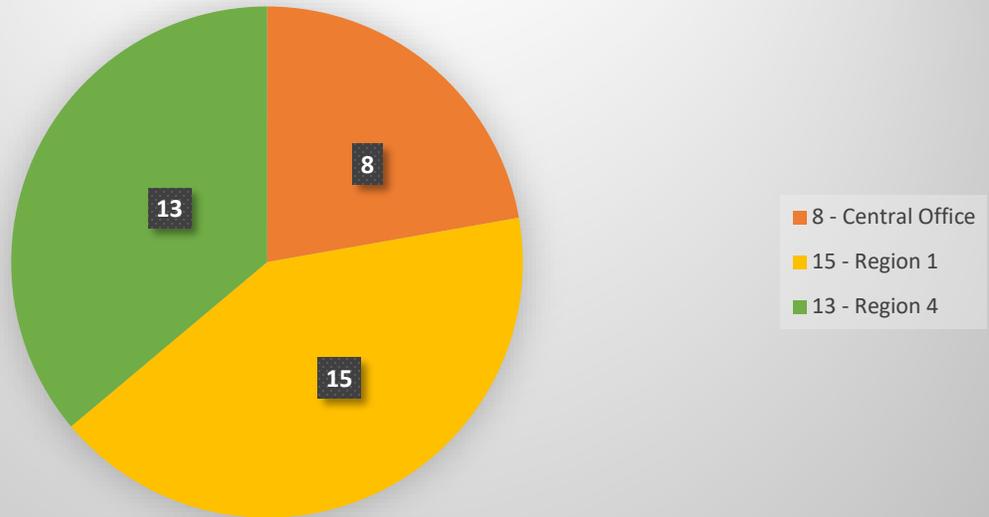
Source: Office of Environmental Health and Safety

<sup>1</sup> Note due to pandemic 17 facilities were not inspected.

<sup>2</sup> Community Release Center

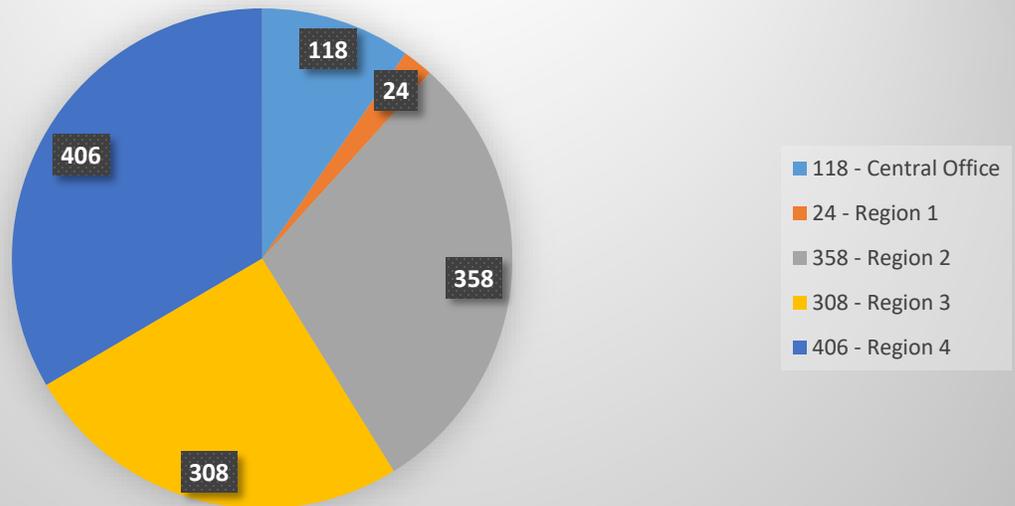
<sup>3</sup> Central Office

## Environmental Health and Safety Private Facility Findings



\* Source: Office of Environmental Health and Safety

## Environmental Health and Safety State Correctional Institution Findings

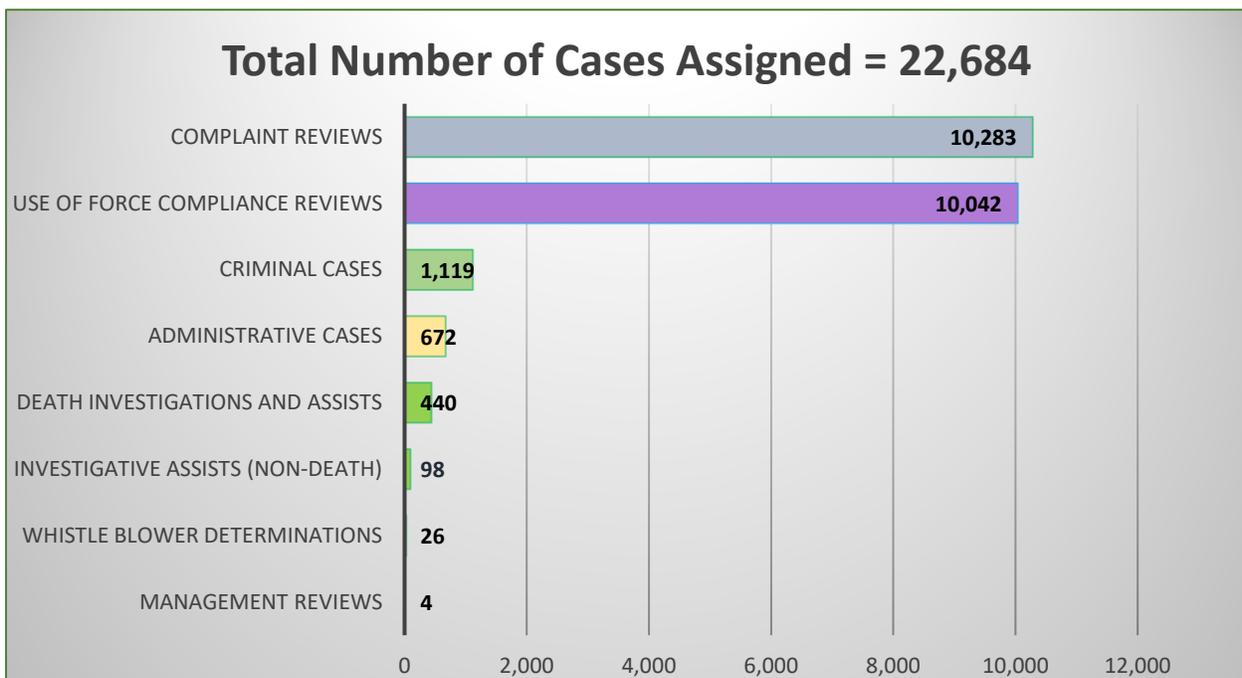


Source: Office of Environmental Health and Safety

## BUREAU OF INVESTIGATIONS

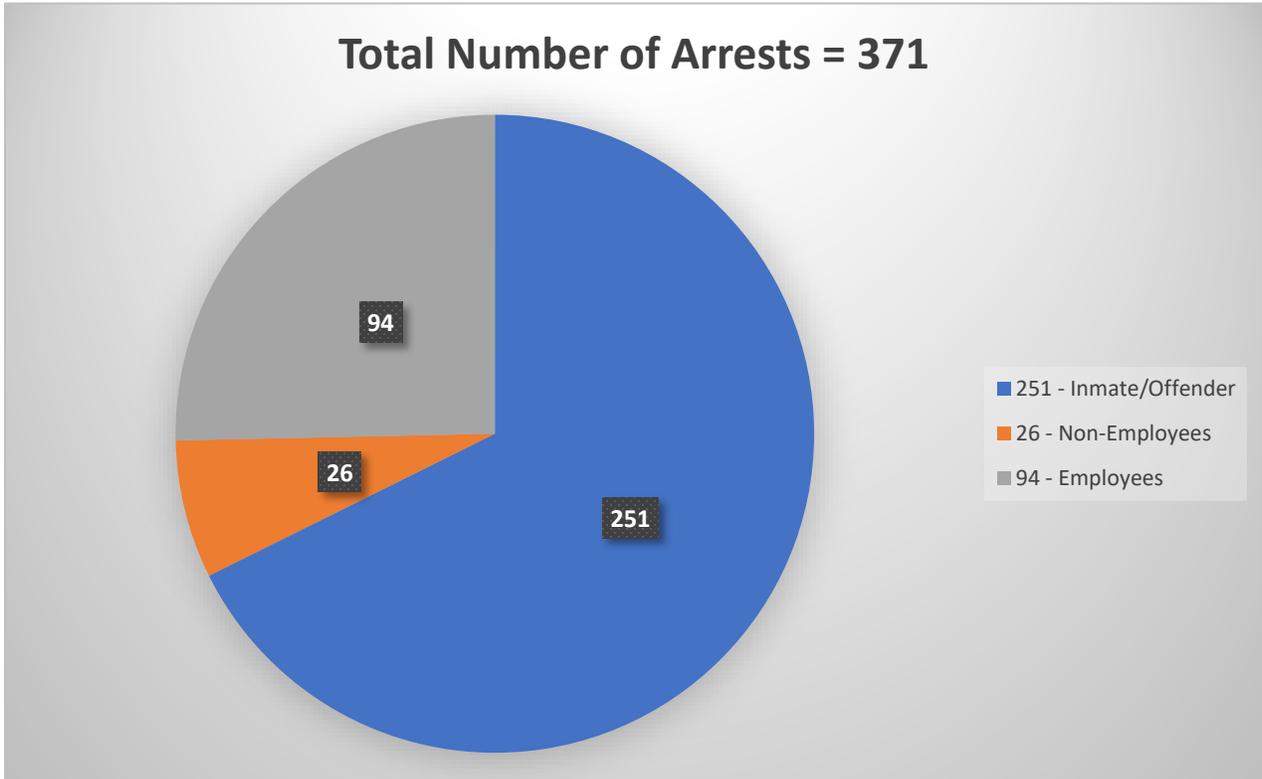
The Florida Department of Corrections, Office of Inspector General is committed to conducting independent and objective investigations through its Bureau of Investigations. The Bureau of Investigations is responsible for conducting criminal and administrative investigations and providing oversight of all use of force incidents. Our top priorities include investigations into public corruption, deaths, and criminal efforts that compromise the safety and security of our prisons through violence or the introduction of contraband. Completed criminal investigations for which probable cause exists that a crime has occurred are referred to the appropriate prosecutorial entity for consideration for prosecution. Administrative investigations with sustained findings are referred to management for appropriate action. Many of the staff assigned have nationally recognized certifications such as Certified Inspector General, Certified Inspector General Investigator, and Certified Fraud Examiner, to name a few.

During Fiscal Year 2019-20, the Office of Inspector General received approximately 52,930 incidents/complaints which resulted in the opening of approximately 22,684 Office of Inspector General cases. A total of 10,042 were cases that involved a use of force review. The remaining incidents/complaints were referred to the Department's management team or other external entities for action deemed appropriate.



Source: IGIS for 07/01/2019 to 06/30/2020

The chart below represents subjects by type in the investigations and the number of arrests for Fiscal Year 2019-20:



Source: IGIS for 07/01/2019 to 06/30/2020

The table below represents the investigative outcome of allegations by the Office of Inspector General investigated for Fiscal Year 2019-20:

Case Disposition	Administrative	Criminal	Total
Exonerated	8		8
Not Sustained	217		217
Partially Sustained	37		37
Policy Deficiency	0		0
Sustained	457		457
Unfounded	45		45
Closed by Arrest		325	325
Exceptionally Cleared		156	156
Unfounded		227	227
<b>TOTAL</b>	<b>764</b>	<b>708</b>	<b>1472</b>

Source: IGIS for 07/01/2019 to 06/30/20

**Exonerated** refers to a finding in an administrative case for which a preponderance of evidence exists to suggest the subject's behavior or action did occur and was consistent with Department procedure, rule, or other authority.

**Exceptionally Cleared** refers to a disposition of a criminal case for which probable cause exists that an identified suspect committed the offense, but one for which an arrest or formal charge is not initiated.

**Closed by Arrest** refers to a disposition of a criminal case for which probable cause exists that an identified suspect committed the offense and an arrest or formal prosecution proceeding has been initiated.

**Not Sustained** refers to a finding in an administrative case for which a preponderance of evidence does not reasonably establish the subject's behavior or action either complied with or violated or was contrary to Department procedure, rule, or other authority.

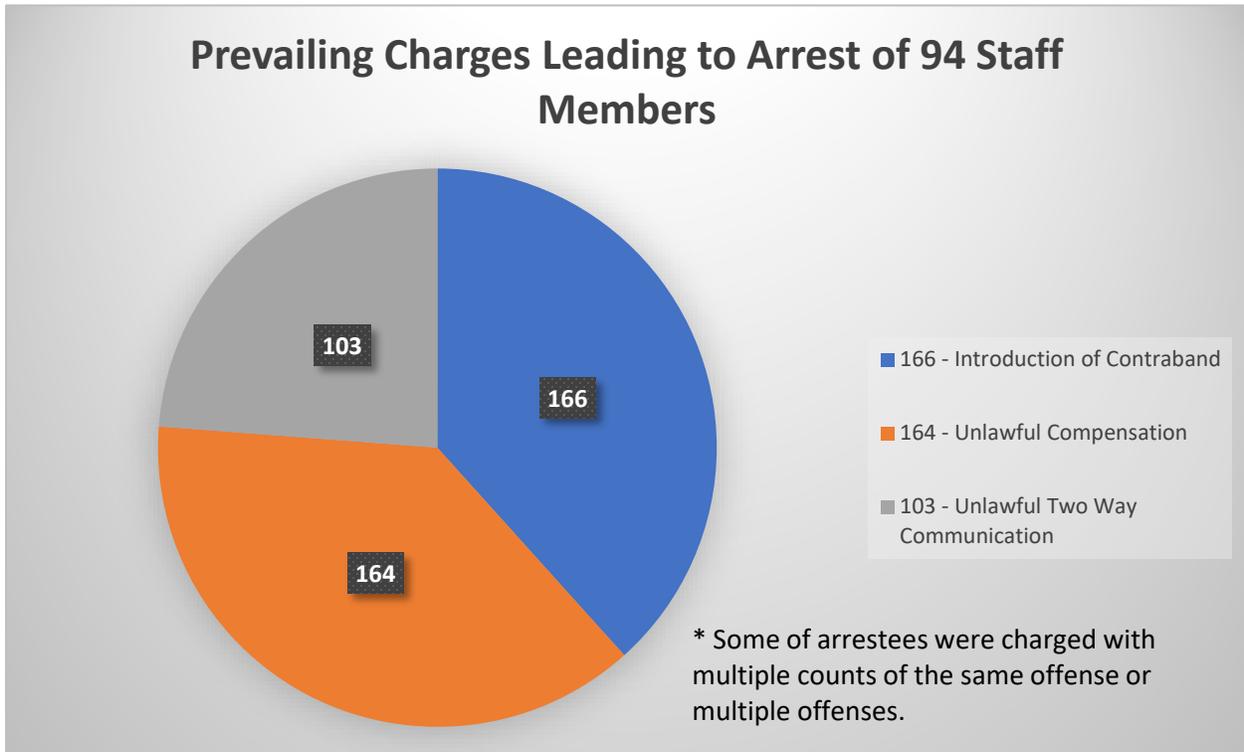
**Sustained** refers to a finding in an administrative case for which a preponderance of evidence exists to suggest the subject's behavior or action did occur and was contrary to Department procedure, rule, or other authority.

**Unfounded** refers to a disposition of a criminal investigation for which the available evidence suggests the suspect's alleged behavior or action did not occur.

### Staff Arrests by Office of Inspector General

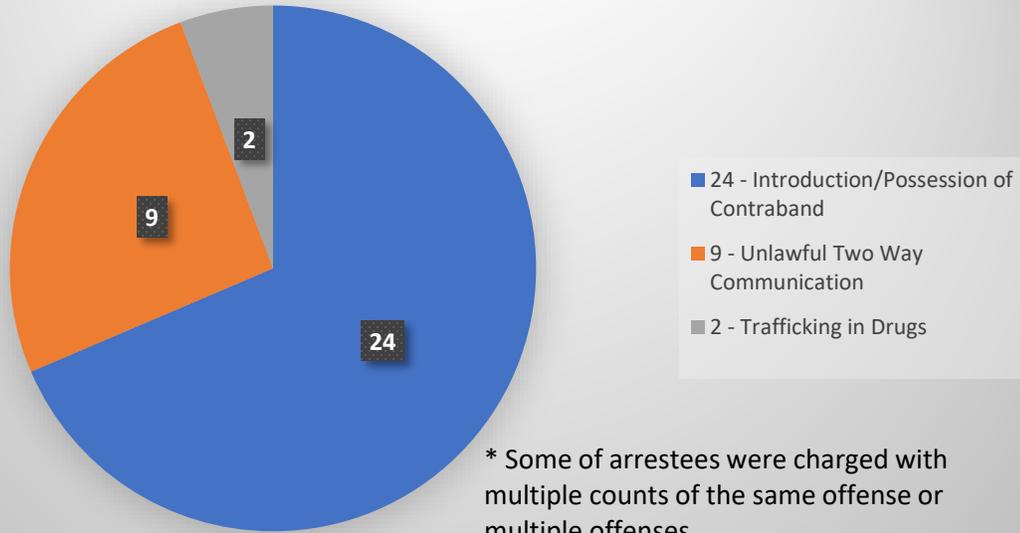
In Fiscal Year 2019-20, there were 94 staff arrests (as illustrated in the chart below). The volume of arrests this fiscal year increased by approximately 9% when compared to the 103 staff arrests that occurred in the previous fiscal year.

The charts below represent a breakdown of subjects in the investigations and the number of arrests for Fiscal Year 2019-20:



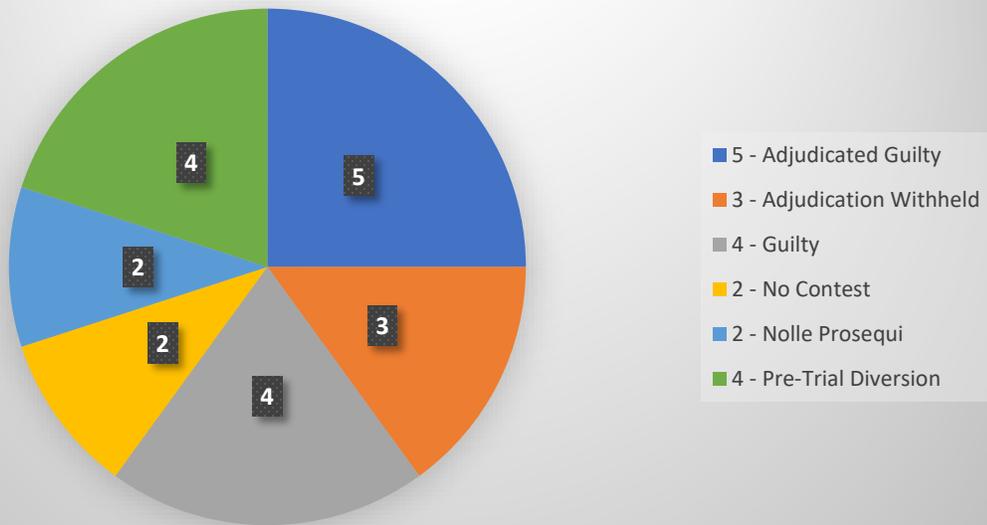
Source: IGIS for 07/01/2019 to 06/30/2020

### Prevailing Charges Leading to Arrests of 26 Non Employees

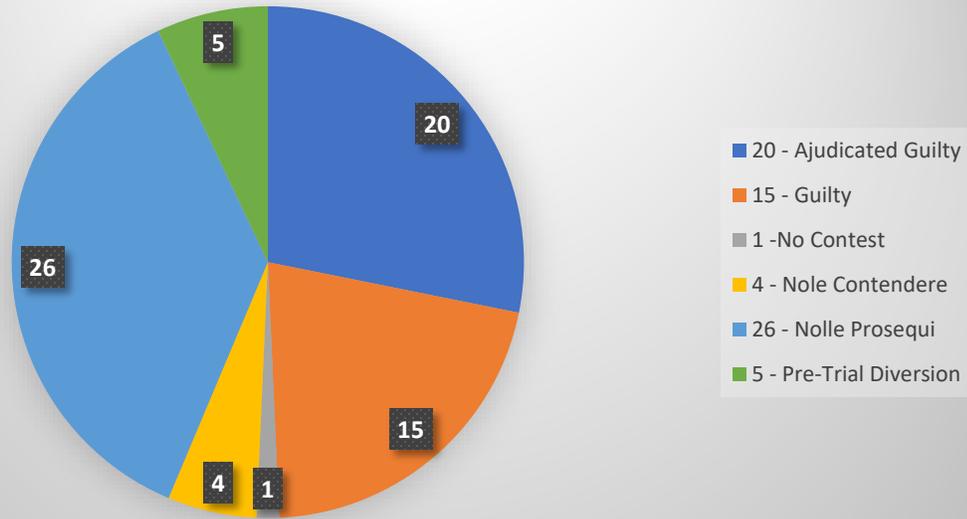


The two pie charts below represent the Fiscal Year 2019-20 judicial outcomes by subject type of allegations investigated by the Office of Inspector General. Arrests may have occurred during previous years.

### Staff Court Prosecution Outcomes



### Inmate, Visitor, and Other Court Prosecution Outcomes



Source: IGIS for 07/01/2019 to 06/30/2020

### **Examples of Criminal Investigation Case Summaries**

#### Martin Correctional Institution – Battery on a Law Enforcement Officer, Case Number 19-00144

An investigation found an inmate reached under a sergeant’s helmet and gauged the sergeant’s eyes, during a cell extraction. The sergeant suffered injury to both eyes that required hospital treatment. The inmate was charged with Aggravated Battery on a Law Enforcement Officer.

#### Baker Correctional Institution – Introduction of Contraband, Case Number 19-03545

Information was received alleging a food service employee was introducing illegal drugs to an inmate at Baker Correctional Institution. An investigation found the staff member had introduced contraband to an inmate and received compensation. The staff member was arrested for the charges of Unlawful Compensation, Introduction of Contraband, and Conspiracy. The staff member was adjudicated guilty, sentenced to approximately 21 months State Prison, 2 years supervised probation, and fines totaling \$668.

#### Hamilton Correctional Institution – Conspiracy to Introduce Contraband, Case Number 19-08153

A contraband cell phone was recovered and contained information indicating an officer received money from inmates at Hamilton Correctional Institution in exchange for introducing drugs. An investigation disclosed the officer received over \$4,400 from family members of inmates. The officer was arrested for Unlawful Compensation, Unlawful Use of Two-Way Communication Device, Conspiracy to Introduce Contraband, and Compounding Felony.

Santa Rosa Correctional Institution – Battery on a Law Enforcement Officer, Case Number 19-08733

An Inmate at Santa Rosa Correctional Institution utilized a cup and blood-soaked towels to throw blood and strike officers. The inmate was charged with three counts of Battery on Law Enforcement Officer. Due to COVID-19 related delays, court disposition is pending.

Lawtey Correctional Institution – Improper Conduct, Case Number 19-09839

An investigation found, to avoid an institutional lock down, a lieutenant ordered two subordinate staff members to falsify incident reports regarding the discovery of a large amount of contraband at Lawtey Correctional Institution. The staff member was arrested and charged with one count of Official Misconduct.

Florida State Prison - Sexual Battery by Staff, Case Number 19-13720

An inmate alleged he was sexually battered by a Department employee at Florida State Prison. Investigation proved DNA from the Department employee was a match to DNA found on the inmate. The Department employee was arrested and charged with Sexual Battery and Sexual Misconduct. The criminal case is currently pending in court.

Reception and Medical Center – Unlawful Use of a Two-Way Communication Device and Introduction of Contraband, Case Number 19-15282

An investigation was conducted involving a nurse and a Reception and Medical Center inmate. During a post-Miranda confession, the nurse admitted to being in a relationship with the inmate and accessing his medical records for personal gain. The nurse was arrested for Accessing a Computer Without/Exceeding Authorization, Unlawful Use of a Two-Way Communication Device, and Introduction of Contraband.

Suwannee Correctional Institution – Grand Theft, Case Number 20-00828

A sergeant assigned Employee Benefit Trust Fund duties at Suwannee Correctional Institution, collected from the Staff Canteens but failed to deposit \$6,457.27 into the Department bank account as required. The sergeant also forged several official documents. The sergeant subsequently resigned and was arrested for Grand Theft, Organized Scheme to Defraud, Forgery, Uttering a Forgery, and Official Misconduct.

Mayo Correctional Institution Annex- Introduction of Contraband and Sexual Misconduct, Case Number 20-04708

An investigation found an officer accepted monies from an inmate's family through Cash App, had a sexual relationship with an inmate, and utilized a telephone to facilitate money transactions with the inmate's family. The officer was arrested for Money Laundering, Unlawful Compensation, Introduction of Contraband into a Secured Facility, Sexual Misconduct and Unlawful Use of a Two-Way Communication Device.

Hamilton Correctional Institution – Malicious Battery and Official Misconduct, Case Number 20-04922

An investigation found three officers escorted an inmate from a dorm, out of camera view, and battered the inmate while being handcuffed. The three officers were arrested for Malicious Battery on an Inmate, Official Misconduct, and Falsifying Official Records. The case is currently being prosecuted.

**Examples of Administrative Investigation Case Summaries**

Central Florida Reception Center – Physical Abuse of Inmates, Case Number 19-16648

An investigation revealed a sergeant and captain, engaged in a pattern of malicious behavior whereas they intimidated inmates (verbally and physically), abused inmates, and exposed inmates to serious health risks. The sergeant was sustained for:

- Use of Corporal Punishment, Verbal or Physical Abuse of an inmate in violation of Department Rule 33-208.002, Florida Administrative Code, “Rules of Conduct” and
- Willful violation of the rules, procedures, post orders, regulations, directives or policy statements in violation of Department Rule 33-208.001, Florida Administrative Code, “Personnel – General.”

The sergeant resigned his position with the Department prior to receiving discipline.

The captain was sustained for:

- Negligence in violation of Department Rule 33-208.002, Florida Administrative Code, “Rules of Conduct;”
- Willful violation of the rules, procedures, post orders, regulations, directives or policy statements in violation of Department Rule 33-208.001, Florida Administrative Code, “Personnel – General;” and
- Perjury, in violation of Florida Statutes 837.012 – “Perjury.”

The captain was terminated by the Department.

Columbia Correctional Institution Annex - Conduct Unbecoming, Case Number 19-19417

During a heated counseling session with an inmate, a sergeant hit an inmate in the face. A fight ensued between the sergeant and inmate. The sergeant neglected to report this incident in an appropriate and timely manner. Another correctional officer also failed to report this incident as required. Sustained administrative charges for the sergeant were unauthorized use of force, failure to report a use of force, and conduct unbecoming a public employee. Sustained administrative charges for the officer was failure to report a use of force incident.

Marion Correctional Institution - Excessive Force, Case Number 20-03440

A correctional officer administered chemical agents to two inmates. The officer reported the inmates were being disorderly and were a physical threat. Investigation determined that the use of force was not justified and that the officer was untruthful in his reports. The officer was cited with conduct which violates Florida Statutes, excessive force and submitting an inaccurate or untruthful record or report.

Columbia Correctional Institution - Violation of Department Procedure, Case Number 20-04621

A mailroom employee discovered suspected suboxone strips while processing incoming mail for an inmate and notified security staff. The responding sergeant allegedly disposed of the suspected suboxone strips by flushing them in a toilet. The sergeant testified the suspected suboxone strips resembled a Listerine strip and referenced the incident as a "dry run." The sergeant failed to document the contraband and place the contraband in the temporary storage locker in violation of Department Procedure 108.017(1)(e), Collection and Storage of Evidence, Property and Contraband.

Martin Correctional Institution Work Camp – Staff/Offender Relationship, Case Number 20-07781

A correctional officer was discovered spending an inordinate amount of time with an inmate in the officer's station. An investigation revealed that the correctional officer and inmate communicated via the inmate telephone system and J-Pay. The officer and inmate admitted being in a relationship, and the officer resigned immediately following the admission.

**Florida Department of Law Enforcement Criminal Justice Standards and Training Commission**

The Florida Department of Corrections, Office of Inspector General maintains a strong professional working relationship with the Florida Department of Law Enforcement, Criminal Justice Standards and Training Commission (CJSTC). Specifically, within the Florida Department of Law Enforcement is the Criminal Justice Professionalism Division, in which the Office of Inspector General is responsive and accountable to, in providing CJSTC-78 Internal Investigation Report referrals, reporting the disposition of an investigation in which the subject was a sworn law enforcement officer, correctional officer or correctional probation officer as defined in Section 943.10, Florida Statutes. This accountability and reporting by the Office of Inspector General provides the means for the licensing authority of the State of Florida for Sworn Officers, the ability to review and administer appropriate administrative sanctions against the officer's certification in instances when an officer is found in violation of Florida Statutes and/or Commission standards.

## ADMINISTRATION AND MANAGEMENT

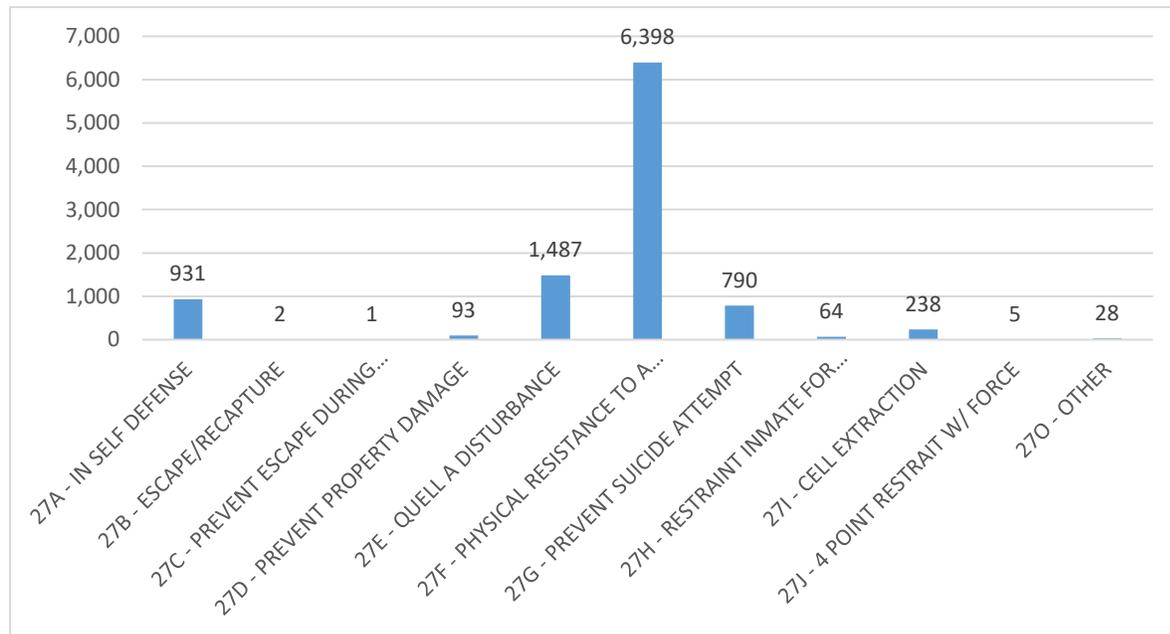
The Florida Department of Corrections, Office of Inspector General, has additional responsibilities beyond conducting audits and investigations. The responsibilities represent a substantial workload for the Office of Inspector General and include performing reviews relating to use of force incidents, responding to requests for records, and processing complaints.

### Use of Force Unit

Established in 1999, the Use of Force Unit, comprised of four law enforcement inspectors responsible for reviewing all incidents involving the use of force at state and private correctional facilities, and those involving probation officers. These reviews ensure compliance with established rules, procedures, and statutes. Section 944.35, Florida Statutes, requires the Office of the Inspector General to conduct a review of the force used as in compliance or not in compliance with applicable laws and rule.

To accomplish this mission, the Use of Force Unit independently reviews and evaluates all use of force incident reports, associated documents, and video recordings 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 for investigation.

The following chart reflects use of force incidents reported to the unit in Fiscal Year 2019-20.



Source: IGIS for 07/01/2019 to 06/30/2020

## **Records Unit**

The Office of Inspector General Records Unit has received more than 998 requests for records this fiscal year. Many Office of Inspector General records such as complaints, investigations, inmate telephone calls, videos, and audio recordings have been provided in response to court orders, litigation, subpoenas, external background investigations, accreditation (ACA and CFA), and pursuant to Sections 943.1395(5), 112.532(4)(b) and 119.01 Florida Statutes. Requests for records are made by the general public, inmates, private attorneys, media outlets, Department staff, other state agency personnel, and federal agency personnel. Outside of records requests, the unit has made some major transformations over the last fiscal year. There have been successful efforts toward becoming paperless, cost-saving measures by altering existing filing cabinets for disc storage, and reducing the amount of physical storage space for files in an offsite location and centrally. The records unit has also eliminated the need for transcription services and obtained the skills and software to redact audio recordings.

## **Central Intake Unit and “Prison TIPS Line”**

### **Central Intake Unit**

The Office of Inspector General’s Central Intake Unit is staffed by four law enforcement Inspectors, a crime analyst and an Inspector Supervisor who work together to ensure all reportable incidents, complaints, correspondence and Prison TIPS Line calls that occur in any Department facility or office and involve Department staff, inmates, probationers, visitors, volunteers or contractors, are reviewed in accordance with procedures and directives.

The Office of Inspector General Intake Unit also reviews referrals from the Office of the Chief Inspector General, Florida Department of Law Enforcement, other governmental entities, and law enforcement partners, for appropriate handling.

After review and a determination being made as to how the complaint will be handled, the information is entered into the Inspector General’s Investigative and Intelligence System (IGIIS) and assigned to one of the Inspector General’s field offices or specialized units for investigation. For those incidents not investigated by the Inspector General’s Office, the Intake Unit notifies the proper management authority of the decision so that action can be taken as best deemed appropriate.

The Intake Unit reviewed 52,930 incidents as reported within the Management Information Notification System (MINS) and reviewed and processed 3,242 pieces of correspondence submitted via letter, electronic complaint, e-mail, phone call, walk-in, inter-agency and external agency referrals. The Intake Unit assigned 12,216 cases within IGIIS. The Office of Inspector General Electronic Complaint form can be accessed at <http://www.dc.state.fl.us/apps/igcomplaint.asp>.

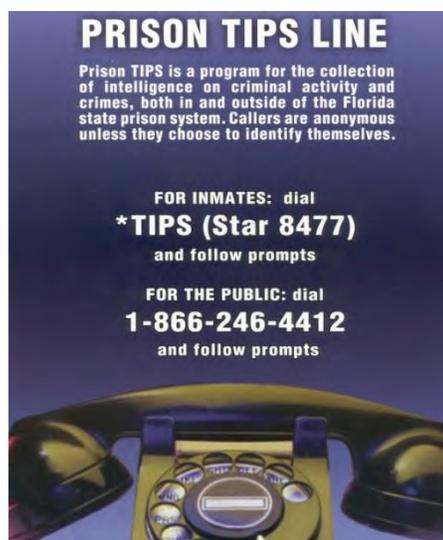
MINS is used to keep designated personnel informed of events that occur on Department property or concerning Department staff, inmates, offenders, and other activity throughout the state. This information network:

- 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 Florida Department of Law Enforcement and other law enforcement agencies.

### Prison TIPS

The “Prison TIPS Line” serves as a portal for the reporting of information related to:

- 1) Criminal activity
- 2) Prison Rape Elimination Act (PREA) issues
- 3) Fraud, waste, and misuse of public funds
- 4) Human Trafficking
- 5) Abuse, intimidation, neglect or exploitation of the elderly and/or disabled



While the “Prison TIPS Line” was established for the specific purpose of reporting the types of incidents listed above, other types of information are routinely reported on the “TIPS line.” Some examples of that would include gang activity, the location of contraband or weapons, threats against staff or inmates, probation violations, absconder locations, suspected abuse of inmates’ children, and requests for interviews.

Inmates, probationers, family members, employees or any other person that has knowledge of these types of activities can use the “TIPS Line” to provide information anonymously. Inmates can access the “TIPS Line” by dialing \*TIPS (Star 8477) from any inmate phone within a Department facility. Civilians and employees, as well as inmates housed at private facilities, can access the “Prison TIPS Line” by calling a toll- free number (1-866-246-4412).

Inmates have the option of requesting a voice mailbox, which can be accessed using a unique pass code. The voice mailbox, which can be used anonymously, provides a mechanism by which the caller may exchange messages and information with the Office

of the Inspector General. Only a limited number of staff assigned to or designated by the Intake Unit can access messages left on the “Prison TIPS Line.”

Callers left approximately 2,400 messages on the “Prison TIPS Line” during Fiscal Year 2019-20. Of those messages, 2,183 were left by offenders housed within Department facilities. The remaining 208 messages were left by members of the public, offenders housed in private facilities, or anyone calling from a cell phone.

Calls are reviewed, analyzed, prioritized, and referred for handling, by the Intake Unit. Each call is assessed on a case-by-case basis. Calls pertaining to security matters, such as threats to staff, the location of weapons, or conspiracies to introduce contraband, are generally referred directly to the warden at the affected institution. Information relating to gang activity is forwarded to the institution, as well as to the Office of Intelligence. Calls that indicate a possible medical or mental health issue are referred to the appropriate program areas within the agency for review and follow-up. Incidents allegedly occurring outside a correctional facility are sent to the law enforcement agency having jurisdiction over the reported incident or activity.

During Fiscal Year 2019-20, approximately 524 reports were generated as a direct result of messages left on the “Prison TIPS line.”



**Ken Sumpter**  
Inspector General

**Debra Arrant**  
Interim Deputy Inspector General

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Chief of Investigations

**Paul Strickland**  
Chief of Internal Audit

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