



**FLORIDA DEPARTMENT OF CORRECTIONS**  
**OFFICE OF THE INSPECTOR GENERAL**

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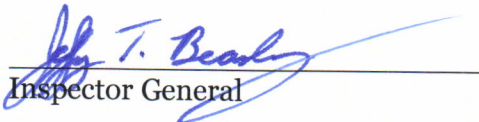
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**TO:** Kenneth S. Tucker, Secretary  
**FROM:** Jeffery T. Beasley, Inspector General  
**DATE:** December 12, 2012  
**SUBJECT:** FOLLOW-UP AUDIT REPORT # A13017F – THE AUDITOR GENERAL’S DEPARTMENT OF CORRECTIONS PRIOR AUDIT FOLLOW-UP AND OTHER MATTERS OPERATIONAL AUDIT, REPORT #2012-185.

The Bureau of Internal Audit performed a follow-up audit to the Office of the Auditor General’s Department of Corrections Prior Audit Follow-Up and Other Matters, Operational Audit, Report Number 2012-185 issued in June 2012. The objectives of this follow-up were to determine the corrective actions taken on reported audit findings and whether actions taken achieved the desired results as intended by management. The scope of the follow-up consisted of obtaining from the Office of Procurement & Contract Management and Office of Institutions a written response of action taken to correct the reported finding. We have evaluated the response to the findings and have assessed that appropriate action has been taken to address the issues identified in the report.

  
Inspector General

JB/PS/kj  
Attachment

Michael Crews, Deputy Secretary  
Timothy Cannon, Assistant Secretary of Institutions  
James Upchurch, Director of Operations and Support  
Jodi Bailey, Director of Procurement & Contract Management  
Joint Legislative Auditing Committee

## FLORIDA DEPARTMENT OF CORRECTIONS

*Follow-up of Auditor General's Report #2012-185**Department of Corrections**Prior Audit Follow-Up and Other Matters,**Operational Audit**Jeffery T. Beasley, Inspector General**Report #A13017F**Paul R. Strickland, Chief Internal Auditor**December 12, 2012***BACKGROUND**

The Department operates under the provisions of Section 20.315 and Chapters 944, 945, 946, 948, and 958, Florida Statutes. The purpose of the Department is to protect the public through the incarceration and supervision of offenders and to rehabilitate offenders through the application of work, programs, and services. The Department's mission is to protect the public safety, ensure the safety of Department personnel, and provide proper care and supervision of all offenders under its jurisdiction while assisting, as appropriate, their reentry into society.

In June 2012, the Office of the Auditor General published a report, Department of Corrections Prior Audit Follow-Up and Other Matters Operational Audit, Report # 2012-185.

**OBJECTIVES**

Our follow-up objectives were to determine:

- what corrective actions were taken on reported audit findings, and
- whether actions taken achieved the desired results as intended by management.

**SCOPE AND METHODOLOGY**

A request was made to the Office of Procurement & Contract Management and Office of Institutions for a written response on the status of corrective actions taken.

**RESULTS OF FOLLOW-UP**

**Finding No. 1: Department program areas did not always follow the Department's contract monitoring procedures.**

**Recommendation:** In order to evaluate a provider's performance, the Department should ensure that timely and consistent contract monitoring and follow-up are performed in accordance with Department procedures and contract provisions.



**Management's Original Response:** *The Department concurs with the recommendation that program areas should follow the procedures established by the Department in Procedure No. 205.013, Contract Management and Monitoring, to ensure that contract monitoring and follow-up is performed timely and consistently to identify and correct potential provider noncompliance or nonperformance. Executive leadership will reiterate these requirements to program areas under their supervision.*

**Management's Follow-Up Response:** *The Bureau of Contract Management and Monitoring agreed that the program areas should follow the procedures established in Department Procedure No. 205.013 "Contract Management and Monitoring". This response was shared with members of Executive Leadership to disseminate to their respective program areas. To reinforce the importance of following this procedure, all future contract management and monitoring training sessions conducted by bureau staff will include a segment on various parts of this procedure in an effort to instruct contract managers and monitors on the importance of consistent and timely management/monitoring activities to identify and correct potential issues and areas of concern.*

**Finding No. 2:** **The Department did not ensure that motor vehicle information was accurately entered into the Equipment Management Information System (EMIS) or that supporting documentation was maintained.**

**Recommendation:** We recommend that Department management continue to take the necessary actions to ensure that required information is input into EMIS in an accurate and complete manner and that all receipts and other relevant supporting documentation are maintained.

**Management's Original Response:** *The Department will take actions to ensure the information required to be inputted at each institution/facility will be accurate and complete, and we will reinforce the established DMS rules in completing the Vehicle Record for accuracy and relevant supporting documentation.*

**Management's Follow-Up Response:** *The Central Office fleet staff continues to stress to both regional and field staff the importance of accurate and timely data entry into the FLEET system. Monthly emails are sent to regional staff informing them of missing log entries and delinquent preventive maintenance actions.*

*Monthly regional calls are made expressing the importance of entering accurate, appropriate and complete information such as receipts and other relevant supporting documentation. In addition during the monthly calls vehicle acquisitions, disposals, accurate inventory listings, accurate record keeping, and administrative issues are discussed. Accuracy and timeliness in the submission of data is continuously emphasized.*



**Finding No. 3: Department logical access controls related to critical procurement information technology systems (IT) needed enhancement.**

**Recommendation:** We recommend that the Department strengthen PRS logical access controls to reduce the risk of data and IT resource compromise.

**Management's Original Response:** *Since the time of this audit, the Bureau of Procurement and Supply has worked with our internal personnel office to receive the separation report that is distributed every 3 – 5 days. This enables our PRS Administrators to remove separated employees from the system. Additionally, PRS is an intranet system (internal network only) and access to the PRS system requires that an employee be able to log-on to the Department servers using their network ID and password. When IT disables an employee's network UserID, that employee is no longer able to access PRS. Therefore, even if employees have not been removed from PRS, they cannot access it from the time that IT disabled their network ID.*

**Management's Follow-Up Response:** *The Bureau of Procurement & Supply works with our internal personnel office to identify separated employees from the Purchase Requisition System (PRS). Additionally, PRS is an intranet system (internal network only) and access to the system requires that an employee be able to log-on to the Department servers using their network ID and password. When IT disables an employee's network UserID, that employee is no longer able to access PRS. Therefore, even if employees have not been removed from PRS, they cannot access it from the time that IT disabled their network ID. As the Department moves to the MyFloridaMarketPlace (MFMP) system over the next six months, the PRS system will sunset but the same controls will apply to the new system.*