



Commission for Florida Law Enforcement Accreditation, Inc.

P.O. Box 1489 ~ Tallahassee, FL 32308
(800) 558-0218 ~ (850) 410-7200

February 21, 2013

Director Robert Clift
Florida Department of Transportation
Office of Inspector General
605 Suwannee Street, Mail Station 44
Tallahassee, FL 32399-0450

Dear Director Clift:

Congratulations!

We are pleased to inform you Florida Department of Transportation, Office of Inspector General has met the required standards to become reaccredited by the Commission for Florida Law Enforcement Accreditation.

Your reaccredited status is official as of this date and will remain in effect for a period of three years. Compliance with any future standards approved by the Commission that may be applicable to your department is part of maintaining your accredited status.

You and your agency are to be commended for your continued diligence, professionalism, and commitment in maintaining this highest recognition among Florida's law enforcement community.

We look forward to working with you and your agency in your continuous pursuit of excellence. On behalf of the Commission, we extend our thanks for your participation and congratulations on a job well done!

Sincerely,

Lori Mizell
Executive Director

Julie Jones
Chairperson



Re 12/12/13

Commission for Florida Law Enforcement Accreditation, Inc.

P.O. Box 1489 ~ Tallahassee, FL 32302
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Fax: (850) 410-7349

February 7, 2013

Inspector General Robert E. Clift
Florida Department of Transportation
Office of the Inspector General
605 Suwannee Street, MS 44
Tallahassee, FL 32399

Re 2/12/13

Dear Inspector General Clift:

Enclosed you will find a copy of the team leader's final report from your reaccreditation assessment.

The Commission's next general meeting with agency reviews is scheduled for Thursday, February 21, at the Mission Inn Resort, 10400 County Road, Howey-in-the-Hills, FL 34737, telephone (352) 324-3101. The Commission meeting agenda is enclosed for your review.

Your agency will be reviewed by a committee of Commissioners prior to the regular business meeting. You have been assigned for review by Committee B. Committee reviews will begin at 8:00am, followed by the general business meeting at 10:00am. At the beginning of your agency's review, you will be given the opportunity to give a brief description of your agency size and service community. Please keep your comments to no more than two minutes. You will also be given the opportunity to make additional remarks after the Committee vote is taken. At the general business meeting, your agency's reaccreditation will be voted on by the full Commission.

If you have any questions, or require any additional information, please do not hesitate to contact me.

We look forward to seeing you in Howey-in-the-Hills!

Sincerely,

Lori Mizell
Executive Director

Enclosures

Section 20.055, Florida Statutes (F.S.), established the Office of Inspector General (OIG) within each state agency to provide a central point for coordination of, and responsibility for activities that promote accountability, integrity and efficiency in government. The OIG conducts independent and objective audits, investigations and reviews of agency issues and programs in order to assist the Florida Department of Transportation (DOT) in accomplishing its mission.

The mission of the OIG is to provide objective fact-based assessments to the DOT team. Their vision is, "To be championed by our customers, benchmarked by our counterparts, and dedicated to quality in our products and services."

The OIG has three primary functions in support of their mission: Audit, Investigations and Quality Assurance and Operations Support.

The OIG's Investigations Section is led by Howard Greenfield, Director of Investigations, and consists of two senior investigators, six investigators and an investigative analyst. The section's mission is to deter, detect and investigate crimes or misconduct impacting the DOT. The focus of the section is to aggressively pursue any attempt by department employees, contractors, or vendors to gain benefits to which they are not entitled. Investigations, referrals to management and Fraud and Ethical Conduct Awareness Briefings are the primary methods used to accomplish this objective. The section prides itself on objectivity; the goal is to prove or disprove the allegations they receive based purely on the facts. In accordance with Section 20.055, F.S., the section follows the Principles and Standards for Offices of Inspector General established by the Association of Inspectors General.

In fiscal year 2011-2012, the OIG Investigations Section initiated 121 investigations, including referrals and closed 92 cases. The agency was originally accredited in October of 2009 by the Commission on Florida Law Enforcement Accreditation.

E. On-Site Assessment Summary:

Team Leader Pate and Assessor Mazer met on November 27, 2012 for a pre-assessment team meeting. The purpose of this meeting was to review and discuss the DOT-OIG assessor packet, itinerary and issues or concerns related to the upcoming assessment. The team was provided with all required materials as well as abundant supporting material. Chapter assignments, Commission philosophy and protocol were discussed.

On November 28, 2012, the team met former Accreditation Manager Erin Romeiser and current Accreditation Manager Howard Greenfield at the DOT-OIG offices in Tallahassee. According to Ms. Romeiser, she has recently taken a position as an accreditation manager with another state agency. She stated that she was being allowed to assist with the assessment as a large portion of the file construction had occurred during her tenure. Both members were equally well prepared to support the assessment and they took a team approach to assisting the assessment team.

Ms. Romeiser and Mr. Greenfield met the team at the appointed time and, after being checked into the secure suite, the team was escorted to our work area. Visitors are not permitted without having checked in with the receptionist and allowed access to the OIG suite, which is controlled by key card access and video surveillance. The OIG suite was clean, organized and was professional in appearance. Ms. Romeiser provided a briefing regarding the paper accreditation files, various resources in the room and computer access for the electronic assessment.

An entrance interview was conducted with assessors, Inspector General Robert Cliff, Ms. Romeiser and Mr. Greenfield. Inspector General Cliff was very supportive of the accreditation process and was very candid about the challenges his team had faced during the last cycle, specifically citing employee turnover as his largest challenge. He praised Ms. Romeiser and her work ethic, especially given that she was currently an employee at another agency and had returned to ensure a smooth assessment.

After the entrance interview, the team was taken on a tour of the office. During the tour, assessors made multiple standards related observations, asked questions relating to standards, and met key people to possibly be interviewed at a later time.

After the tour, assessors returned to the work area and began the assessment which consisted mostly of file reviews and interviews as necessary. During the assessment, the team reviewed all files, interviewed several agency members and found no areas of concern or non compliance issues. All individuals interviewed were knowledgeable about the accreditation process and with the policy and procedures of the agency. Key elements observed during the assessment included the overall security of the facility, records security and their investigative database/tracking system.

Key employee interviews:

Inspector General Robert Cliff	Investigations Manager/AM Howard Greenfield
Accreditation Manager Erin Romeiser	Senior Investigator Kim Likens
Investigator Jack Beamish	Investigative Analyst Mindy Srinivasan
Agency ADA Coordinator Dean Perkins	Receptionist Saurita Tirado
Executive Assistant Sandy Beck	

Conclusion

The DOT-OIG assessment was concluded in a single day. The exit interview was conducted in the afternoon with Team Leader Pate, Assessor Mazer, Inspector General Cliff, Accreditation Manager Greenfield and Ms. Romeiser. During the exit interview, assessors discussed their assigned chapters and any comments or issues related to those particular topics and standards.

While no specific information was located that would prevent a favorable assessment, discussion was held regarding potential issues of record keeping that appeared to be

affected by employee turnover. Specifically, the agency did not submit the required annual report for 2011 and some records for training related issues for that same period were not immediately available, however they were verified by a former employee. Strategies are clearly in place to ensure continued compliance. Finally, it should be noted that the candor and resourcefulness of the accreditation team at DOT-OIG allowed assessors and CFA staff to clearly see that compliance was maintained during this period and that any issues were strictly related to key employee turnover and did not create any non-compliance issues.

The team leader communicated to Inspector General Clift that the assessment team would recommend to the Commission that the DOT-OIG be reaccredited at the next meeting to be held in February 2013. The team leader thanked all those in attendance on behalf of the Commission for their cooperation and enthusiasm. Inspector General Clift was very supportive of the process in his remarks and thanked the team for their hard work and professionalism.

F. Standards Noncompliance Discussion: None.

G. Corrective Action Discussion: None.

H. Standards Verified by the Team as “Non Applicable” to the Agency:

3.04M	4.11M	4.13M
(DP)	(JM)	(JM)

I. Standards, the Status of Which, Were Changed by Assessors: None.

J. Public Information Activities:

J-1. Correspondence and Media Interest: None.

J-2. Follow up by Assessment Team: None.

K. Exemplary/Projects/Procedures: None.

L. Quality of Service:

CHAPTER 1: ORGANIZATION AND GOVERNING PRINCIPLES (Assigned Assessor: DP)

The DOT-OIG’s policies and procedures clearly define the authority and responsibilities of the Inspector General. Organizational charts were posted in highly visible areas as well as on the unit’s SharePoint site. The written directive system is concise, directives are clear and accreditation standards are met. Employees have accessibility to policies online. Mission and Vision statements are available to all employees and are even printed on access cards that employees use every day while at work.

CHAPTER 2: PERSONNEL PRACTICES (Assigned Assessor: JM)

The DOT-OIG has a procedure that clearly defines the qualifications investigators must possess. Director of Investigations Greenfield advised that before an investigation is initiated, he selects the investigative team members to ensure they collectively possess the skills and qualifications necessary to complete the specific investigation. DOT-OIG Staff members sign their individual position descriptions. The performance evaluation procedure provides for a fair and impartial process for employee evaluation and development.

CHAPTER 3: TRAINING (Assigned Assessor: DP)

The DOT-OIG meets their training policy requirements, including but not limited to a requirement for a 40 hour minimum of training every two years. Observations and interviews demonstrated that files are in order and complete and the DOT-OIG is in compliance with all accreditation standards related to training.

CHAPTER 4: INVESTIGATION PROCESS (Assigned Assessor: JM)

The DOT-OIG has a procedure for the initial intake, review and assignment of complaints. Their case planning system is an electronic case file which is a living document that is continuously updated. Director of Investigations Greenfield advised that he reviews the initial plan and updates. His documented reviews were noted in the electronic file.

While evidence is not collected by the DOT-OIG, case supporting material is collected. Active cases are secured in individual locked offices and completed cases are stored in a locked file room. All parties involved in an investigation are interviewed. Senior Investigator Kim Likens confirmed that interviews are reviewed by a supervisor.

Completed investigations and reports were reviewed and were found to include all of the elements required by the standards. Director of Investigations Greenfield confirmed that employee Bill of Rights and Union Contracts are respected and legal consultation is sought when necessary.

CHAPTER 5: WHISTLE-BLOWER'S ACT (Assigned Assessor: DP)

The DOT-OIG has thorough policies and procedures to ensure proper investigations of Whistle-Blower's Act allegations that mirror and comply with state statute. Their policy clearly delineates how Whistle-Blower complaints are to be handled, to include a very detailed process of approval or denial under the statute. Observed records were secure and all protected data was redacted or appropriately protected from assessors view.

CHAPTER 6: NOTIFICATION PROCESS (Assigned Assessor: DP)

The DOT-OIG has policies and procedures that effectively address the process of notifications. Sufficient quantities of notifications were provided for review and proper procedures for dissemination were in place.

CHAPTER 7: CASE MANAGEMENT (Assigned Assessor: DP)

The DOT-OIG exercises tight controls over case management and confidentiality of files. Ms. Romeiser and Accreditation Manager Greenfield (who also serves as the Investigations Manager) were interviewed and assisted Assessor Pate in the observation of the database and case tracking systems utilized by their office. All documents and data are protected and are stored on their secure SharePoint site. Interviews with employees confirmed password access is maintained as well as compliance with all public records and retention laws.

CHAPTER 8: FINAL REPORTING PROCESSES (Assigned Assessor: DP)

The DOT-OIG policies and procedures define and address investigative conclusions, distribution of final reports, post investigative activities, and notification of criminal allegations. A sufficient quantity of review and response documentation was provided for review. DOT-OIG operations are consistent with Florida Statutes, DOT-OIG policies, and Principles and Standards for Offices of Inspector General adopted by the Association of Inspectors General.

M. Summary and Recommendations:

OVERALL CONCLUSIONS:

The DOT-OIG is a professional, well trained and engaged unit. This office has embraced their responsibilities to the citizens of Florida, as well as the culture of the accreditation process. The DOT-OIG mission of promoting integrity, accountability and process improvement to the members of the agency is apparent in how the members of the DOT-OIG conduct themselves. The policies of the DOT-OIG are sound, allow for effective work flow and are compliant with state statute, agency policy and established principles of operation for investigative functions in an Office of Inspector General.

The assessment team recommends the Department of Transportation Office of Inspector General be favorably reviewed for reaccreditation status by the Commission for Florida Law Enforcement Accreditation at the next Commission meeting.

NON-COMPLIANCE SUMMARY: None.

Signed:

Captain David Pate, Team Leader
Florida Fish and Wildlife Conservation Commission

Division of Law Enforcement