

**Audit of the Internal Controls of the Probation Operations**  
**Report Number A-1314DJJ-008**  
**June 24, 2014**

**By**

**The Office of the Inspector General**  
**Bureau of Internal Audit**

Robert A. Munson  
Inspector General

Michael Yu, CIA, CIG  
Director of Auditing

Karen Miller  
Auditor

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Wansley Walters, Secretary

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STATE OF FLORIDA  
DEPARTMENT OF JUVENILE JUSTICE

INTEROFFICE MEMORANDUM

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**DATE:** June 24, 2014  
**TO:** Wansley Walters, Secretary  
**FROM:** Robert A. Munson, Inspector General *RAMunson*  
**SUBJECT:** Final Report - #A-1314DJJ-008, *Audit of the Internal Controls of the Probation Operations*

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Please find the enclosed copy of our final audit report *Audit of the Internal Controls of the Probation Operations*. The Bureau of Internal Audit has determined that no follow-up of the audit will be required, as no deficiencies were found.

We would like to thank the Office of Probation and Community Intervention for the assistance extended to our staff in the audit process. Please feel free to contact Michael Yu, Auditor Director, at 850-717-2468 if you have any questions.

RM/km

Attachment

**Cc:** Christy Daly, Deputy Secretary  
Jason Welty, Chief of Staff  
Joan M. Wimmer, Assistant Secretary, Probation and Community Intervention  
Melinda M. Miguel, Chief Inspector General, Executive Office of the Governor  
David W. Martin, CPA, Auditor General  
Kathy DuBose, Director, Legislative Auditing Committee

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Rick Scott, Governor

Wansley Walters, Secretary

*The mission of the Department of Juvenile Justice is to increase public safety by reducing juvenile delinquency through effective prevention, intervention, and treatment services that strengthen families and turn around the lives of troubled youth.*

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**Office of Inspector General  
Bureau of Internal Audit  
Audit of the Internal Controls of the Probation Operations  
Audit No. A-1314DJJ-008**

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## **EXECUTIVE SUMMARY**

The Department of Juvenile Justice (Department), Office of the Inspector General (OIG), Bureau of Internal Audit (BIA) has performed an audit of the Internal Controls of the Probation Operations. The audit objectives were to determine whether: (1) Adequate internal controls for Probation and Community Intervention operations are properly established and implemented; and (2) Internal controls are effective in ensuring program goals are achieved. The audit scope was from July 1, 2012 through December 31, 2013, and related activities through the end of fieldwork.

The audit indicated that Probation and Community Intervention has established and implemented internal controls through utilization of Florida Statutes, Florida Administrative Codes, Department policies and procedures, and internal Probation policy memoranda. It was also noted that managers and staff indicated they were familiar with Department policies and procedures that govern Probation service areas, as well as Department initiatives aimed at improving services to youth and their families.

In addition, our review of Probation and Community Intervention internal controls and analysis of Bureau of Quality Improvement Reports indicated that internal controls for Probation Operations were effective in ensuring achievement of program goals.

## Audit of the Internal Controls of the Probation Operations Audit # A-1314DJJ-008

### INTRODUCTION

The Office of the Inspector General conducted an audit of the Internal Controls of the Probation Operations for the period of July 1, 2012 through December 31, 2013, and related activities through the end of fieldwork. The audit was conducted in accordance with *International Standards for the Professional Practice of Internal Auditing*, published by the Institute of internal Auditors.

### Background

The Office of Probation and Community Intervention (Probation) is responsible for providing services to youth under the age of 18 that are referred by law enforcement authorities to the Department. A referral is similar to an arrest in the adult criminal justice system.

The State's 20 judicial circuits are the Department's local jurisdictional boundaries for providing services and coordination with the courts. All 67 counties in the State of Florida are contained within the 20 judicial circuits.

The following major services are provided to youth by Probation:

- Detention Screening and Intake;
- Diversion;
- Day Treatment;
- Community Supervision; and
- Independent Living.

Using assessments and evaluations, Probation provides the most appropriate services in the least intrusive manner. Juvenile Probation Officers (JPOs) are assigned to each youth; and are tasked with the responsibility of supervising, advocating, referring, and coordinating services for youth and their families. These services provided by the Department are intended to intervene at an early stage of delinquency, and prevent subsequent offenses during and after participation in programs.

Additionally, JPOs help youth adhere to the conditions set forth by the court and hold youth accountable for his or her actions by providing services based on a youth's individual needs.

## **Objective, Scope, and Methodology**

The audit objectives were to determine whether: (1) Adequate internal controls for Probation and Community Intervention operations are properly established and implemented; and (2) Internal controls are effective in ensuring program goals are achieved. The audit scope was from July 1, 2012 through December 31, 2013, and related activities through the end of fieldwork.

To achieve the audit objectives, we:

- reviewed applicable Florida statutes and rules;
- reviewed Department policies and procedures;
- interviewed Probation management/staff;
- reviewed Bureau of Quality Improvement Program Reports; and
- conducted other activities deemed necessary.

## **RESULTS OF AUDIT**

### **Program Level Internal Controls**

#### Florida Statutes, Administrative Codes, and Policies and Procedures

The audit disclosed that, in general, Probation has internal controls in place and those controls were effective in ensuring program goals are achieved.

Probation established program controls by utilizing applicable Florida Statutes, Florida Administrative Codes, and Department policies and procedures as guidelines over its operations. Policy memoranda were issued by the Assistant Secretary of Probation to provide clarification/supplemental guidance for Probation Operations.

There were 18 policy memoranda that have been issued from January 11, 2007 through March 27, 2014, covering broad issues from Probation services areas such as redirection referrals, electronic monitoring, and risk assessments to use of resource materials, such as JJIS Case Notebook Modules, and determining cost-of-care.

Applicable Florida Statutes, Florida Administrative Codes, and policy memoranda were located on the Department's Intranet and K drive for managers and staff to access when needed.

#### Information and Communication

The audit indicated that program initiatives, and changes/updates to Florida Statutes, Florida Administrative Codes, Department policies and procedures, and probation policy memoranda were communicated through the organizational structure via e-mails,



meetings, and Department website postings. It was further noted through interviews with management and staff that information/concerns flow through the organizational structure in both directions: top-down and bottom-up.

Notification of program initiatives and changes/updates to Department policies and procedures generally begins at Probation Headquarters, and is disseminated to Regional Directors and Chief Probation Officers, who in turn communicated the information to Assistant Chief Probation Officers, JPO Supervisors, and finally to the JPOs.

Feedback is also managed through the organizational structure. Information concerning improvements and successes were routinely published in the Department Secretary's weekly newsletters, while statistical data measuring Probation's program performance is maintained on the Probation Performance Indicator Dashboard (Dashboard) located on the Department's Intranet. Issues/concerns were conveyed from the bottom to the top via monthly manager meetings with staff, providing management with critical information necessary to improve services.

### Performance Measures

The Bureau of Quality Improvement (QI) conducts on-going reviews of Probation programs, both state-run and contracted. Reviews are conducted in accordance with FDJJ-1720 Quality Improvement Policy to ensure Probation's compliance with QI standards. In turn, Probation managers uses the QI reports to address areas of concern. QI reviews cover three (3) general standards, each having eight (8) standard indicators as listed below:

- Standard 1: Management Accountability
  - 1.01 Initial Background Screening
  - 1.02 Five-Year Rescreening
  - 1.03 Protective Action Response (PAR)
  - 1.04 Pre-Service/Certification Training
  - 1.05 In-Service Training
  - 1.06 Supervisory Document Reviews
  - 1.07 Ninety-Day Supervisory Reviews
  - 1.08 Incident Reporting (CCC)
  
- Standard 2: Assessment Services
  - 2.01 Positive Achievement Change Tool (PACT) Pre-Screen
  - 2.02 PACT Full Assessment
  - 2.03 PACT Reassessment
  - 2.04 Mental Health/Substance Abuse Screening

- 2.05 Comprehensive Assessment
- 2.06 State Attorney Recommendation (SAR)
- 2.07 Pre-Disposition Report (PDR)
- 2.08 Abuse-Free Environment

- Standard 3: Intervention Services

- 3.01 Youth-Empowered Success (YES) Plan
- 3.02 Youth Requirement/PACT Goal Elements
- 3.03 Transitional Planning/Reintegration
- 3.04 Referrals for Mental Health and Substance Abuse Assessment and Treatment Services
- 3.05 YES Plan Implementation/Supervision
- 3.06 Effective Response System
- 3.07 Ninety-Day YES Plan Updates
- 3.08 Termination of Supervision

We analyzed twenty-six (26) QI reports, conducted between July 1, 2012 and December 31, 2013, which were within the scope of this audit. The analysis, of the most recent QI reports for the twenty (20) circuits, indicated the following:

- Thirteen (13) circuits achieved ninety-five to one hundred percent (95-100%) satisfactory compliance for all applicable standard indicators;
- Five (5) circuits achieved eighty-three to ninety-one percent (83-91%) satisfactory compliance for all applicable standard indicators; and
- Two (2) circuits achieved less than Eighty percent (80%) satisfactory compliance for all applicable standards. Specifically, Circuit 4 achieved seventy-eight percent (78%) compliance for all applicable standards; while Circuit 2 achieved sixty-five percent (65%) compliance for all applicable standards.

A follow-up review performed by QI in Circuit 2 on March 25-27, 2014, was provided to the auditors prior to the conclusion of this audit. The subsequent review report indicated that corrective action taken by Circuit 2 has resulted in improvements to the extent that the program would receive a standard-level or overall performance rating of at least minimal on a regular review and that no further corrective action was required.

The Dashboard data is obtained from JJIS Case Notebook Modules. The data identified JPO contacts with youth and families and whether it occurred in court, at home, or in the field. The performance data indicators reviewed are: Violations of Probation (VOP) for youth in community supervision; Offenses During Supervision (ODS); Commitments, including the number of youth committed and the youth rating to re-offend (low, moderate, moderate-high, or high); Intake, including the number of new youth and whether intake was for felonies or misdemeanors; Length of Stay (LOS); Failure to Appear (FTA), including the number of detention stays resulting from FTAs; and Civil

Citations issued to first time offenders. Information posted on the Dashboard in some areas reflects data covering Probation's overall performance, while some areas are data specific by circuit/count, and in one area specific by JPO. Census reports for youth on Probation, Aftercare, and Electronig Monitoring generally covers a three (3) month time frame; all other data reflects consecutive twelve (12) month periods.

The audit disclosed that the Assistant Secretary routinely reviewed and discussed program performance data published on the Dashboard with Regional Directors and CPOs to ensure program service areas maintained compliance with established laws and regulations as well as met the goals and objectives of the Department.

**APPENDIX**  
**Management Comments**



STATE OF FLORIDA  
DEPARTMENT OF JUVENILE JUSTICE

INTEROFFICE MEMORANDUM

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**DATE:** June 23, 2014

**TO:** Michael Yu, Audit Administrator  
Office of the Inspector General

**FROM:** Joan M. Wimmer, Assistant Secretary  
Probation & Community Intervention

**SUBJECT:** Internal Audit of Probation

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I appreciate the time and professionalism demonstrated during this audit. It's great to see that the systems that we've put in place are acknowledged and working!

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