

**Audit of the Central Communications
Center (CCC) Operations
Report Number A-1415DJJ-002
December 3, 2014**

By

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

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STATE OF FLORIDA
DEPARTMENT OF JUVENILE JUSTICE

INTEROFFICE MEMORANDUM

DATE: December 4, 2014

TO: Christina K. Daly, Interim Secretary
Melinda M. Miguel, Chief Inspector General, Executive Office of the Governor

FROM: Robert A. Munson, Inspector General *RAM*

SUBJECT: Final Report - #A-1415DJJ-002, *Audit of the Central Communications Center (CCC) Operations*

Please find the enclosed copy of our final audit report *Audit of the Central Communications Center (CCC) Operations*. The Bureau of Internal Audit will conduct a follow-up review to determine the status of corrective actions taken to address the reported findings.

We would like to thank the Central Communications Center for the assistance extended to our audit 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: Fred Schuknecht, Chief of Staff
Brian Donaldson, Chief of Investigations
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 Central Communications Center (CCC) Operations
Audit No. A-1415DJJ-002**

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EXECUTIVE SUMMARY

The Department of Juvenile Justice (Department), Office of the Inspector General, Bureau of Internal Audit has performed an audit of the Central Communications Center (CCC) Operations. The audit objective was to determine the accuracy and timeliness of CCC information collection, retention, and dissemination. The audit scope was from July 1, 2013 through June 30, 2014, and related activities through the end of fieldwork.

The CCC collects, disseminates, and retains reportable incidents/complaints related to the care, safety, and humane treatment of all youth served by the Department, providers, or grantees. Guidelines and procedures related to the collection, dissemination, and retention of reportable incidents is outlined in Florida Administrative Code (F.A.C.) 63F-11 and the CCC Desk Top Guide Manual.

The audit indicated that CCC staff accurately collected reportable incidents/complaints and daily reports were disseminated to the Secretary, Executive Leadership Team (ELT), and other authorized recipients in a timely manner. However, the audit revealed that the CCC Desk Top Guide Manual should be updated to reflect all pertinent information required on the incident report form. Additionally, improvements are needed in completion of CCC Notification Logs and retention of CCC Daily Reports.

We recommend the CCC update the Desk Top Guide Manual to incorporate all pertinent information required for completion of the incident report form. Further, we recommend the CCC improve CCC Notification Logs through daily reviews, and enhance retention of CCC Daily Reports by maintaining e-mail messages that reflect dissemination with a date/time stamp.

Audit of the Central Communications Center (CCC) Operations Audit # A-1415DJJ-002

INTRODUCTION

The Office of the Inspector General, Bureau of Internal Audit conducted an audit of the Central Communications Center (CCC) Operations for the period of July 1, 2013 through June 30, 2014, and related activities through the end of fieldwork. The audit was initiated based on our Fiscal Year 2014-2015 Audit Plan and conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing*, published by the Institute of Internal Auditors.

Background

The CCC is a call center established to collect and disseminate information regarding incidents and events involving youth under the Department's jurisdiction, in order to protect and ensure the youth's care, safety, and humane treatment. Youth under the Department's jurisdiction include those in Department custody (whether in a Department or provider facility) and those under Department supervision (for example, youth living at home and attending public school or a non-residential program).

The CCC is operational 365 days a year and the information received from callers is to be evaluated by CCC staff to determine whether it is a reportable incident, as defined in F.A.C 63F-11. A reportable incident is defined as any incident or event involving State-run facilities, staff, contracted facilities, contracted programs, contracted staff, youth placed under community supervision, volunteers, or visitors that disrupts or has the potential to disrupt the normal operation of the facility or program; any illness or medical condition or injury which causes or has the potential to cause grave harm or death to an individual youth or group of youths; any other occurrence which causes or has the potential to cause grave harm or death to an individual youth or group of youths; allegations of fraud, abuse, and deficiencies relating to programs and operations administered or financed by the Department; events that might bring public attention to the Department; or other occurrences which are required to be documented or reported to the Department under its rules.

A CCC Daily Report, which reflects all reportable information for the prior twenty-four (24) hour period (6:01 a.m. to 6:00 a.m.) is created and distributed each administrative workday to the Secretary, ELT and other authorized recipients.

Objective, Scope, and Methodology

The audit objective was to determine the accuracy and timeliness of CCC information collection, retention, and dissemination. The audit scope was from July 1, 2013 through June 30, 2014, and related activities through the end of fieldwork.

To achieve the audit objective, we:

- reviewed applicable Florida statutes and rules;
- reviewed Department policies and procedures;
- reviewed the CCC Desk Top Guide Manual;
- reviewed statistically sampled CCC incident reports, and when appropriate, implemented judgmental sampling of CCC Daily Reports and CCC Notification Logs;
- interviewed CCC management / staff; and,
- conducted other activities deemed necessary.

The CCC Incident Reports reviewed in the audit process were statistically generated using a desired confidence level of 95 percent, with an expected error rate of 10 percent. Statistical sampling was used in order to infer the conclusions of test work performed on a sample to the population from which it was drawn and to obtain estimates of sampling error involved. When appropriate, judgmental sampling was used to improve the overall efficiency of the audit.

Because of inherent limitations associated with sample selection, errors or irregularities could have occurred but were not detected. As such, projection of the auditor's conclusions based on the selected sample may be different from that reached if all CCC Incident Reports were subject to the audit procedure.

RESULTS OF AUDIT

The audit identified that guidance for CCC operations was provided through F.A.C. 63F-11 in conjunction with the CCC Desk Top Guide Manual. Upon hire, CCC staff were trained and instructed on standards and procedures for accepting reportable incidents, classifying/categorizing the incident type, and entering detailed information on the computerized incident report form. A daily report was created by the CCC manager or CCC team leader (senior duty officer), which reflects all incoming information for the prior twenty-four (24) hour period (6:01 a.m. to 6:00 a.m.) and was distributed to the Secretary, ELT and other authorized recipients. The audit revealed that, in general, CCC operations conformed to the guidelines provided in F.A.C. 63F-11 with respect to accuracy and timeliness for information collection, retention, and dissemination. However, the audit disclosed that the CCC Desk Top Guide Manual, which should augment F.A.C. 63F-11 relative to basic information required on all designated incident

types for inclusion on the incident report form, is outdated. Additionally, improvements are needed in completion of the CCC Notification Logs, which documents all calls left on the CCC voicemail system during scheduled or unscheduled periods, as well as periods when all operators are busy. Further, retention of CCC daily reports can also be improved.

Details of Findings and Recommendations

Finding 1: The CCC Desk Top Guide Manual has not been updated to reflect all information required to be captured/collected on the incident report form.

F.A.C. 63F-11 and the CCC Desk Top Guide Manual are essential for handling the CCC daily operations. The audit indicated there were significant differences between F.A.C. 63F-11, the CCC Desk Top Guide Manual, and the incident report form with respect to pertinent information which must be included on each report.

F.A.C. 63F-11 provides that basic information is the names of the youth and staff involved, the nature of the incident, the time and location and, when available, any incident number generated by other agencies. The CCC Desk Top Guide Manual indicates pertinent information should include the caller's ID Code or Grant number, date of birth (DOB), Social Security Number (SSN) and names, etc. of persons involved in the incident.

When interviewed, staff stated that the following information was also required to be included on the incident report form:

- If Protective Action Response (PAR) was used, and whether the staff member was PAR certified;
- The staff to youth ratio at the time of the incident;
- Whether an internal investigation was initiated;
- Names of other agencies notified; if the abuse registry was contacted, record name of the operator and operator's number;
- Name of parent/guardian contacted.

Additionally, staff advised that depending on the classification/category of the incident, additional information may be required.

Our audit revealed that the required information and additional information that might be needed based on the classification/category of the incident were not reflected in the CCC Desk Top Guide.

During the interviews, staff also noted that each required element is marked on the incident report form with a red asterisk and that the form could not be closed until all required information is entered. Therefore, the lack of indication of all required information in the CCC Desk Top Guide may have no negative impact on collecting all required information during CCC operations.

Even though the collection of required information was not affected by the lack of indication of all required information in the CCC Desk Top Guide, updating the Desk Top Guide to reflect the required information is still a good business practice. Updating the Desk Top Guide Manual would establish consistency to ensure CCC daily operations do not deviate or deteriorate over time, even if key leaders or other employees leave. Additionally, the update would enhance accountability enabling the CCC to refute allegations of violations that reporting callers may lodge against them. It would also better serve as a strategic link between the Department's mission and the CCC's day to day operations.

We recommend the CCC Desk Top Guide Manual be updated to provide complete standards and procedures for handling reportable incident calls. The updated manual should serve as a cohesive link between F.A.C. 63F-11 and the incident report form.

Finding 2: CCC Notification Log entries were not always complete.

During interviews, CCC staff indicated that calls were generally returned in the order in which they were received on the voicemail system. Additionally, calls received on the voicemail system were logged onto a CCC Notification Log, which captures the date/time the call is received, a contact name, and a contact number. Staff must also log the time of the return call and their initials. All CCC Notification Logs were stored on the Department's "K" drive.

A review of the CCC Notification Logs dated July 1, 2013 through January 11, 2014, revealed that staff did not always log the time the call was received on voicemail or the time the call was returned. Additionally, staff did not always list the reporting person, the staff person contacted during the return call, the contact's telephone number, or the telephone number dialed when the call was returned to the program/facility.

Without complete documentation there is an increased risk that reporting of incidents may be delayed and calls may not be returned in the order in which they are received. Further, documenting the contact's name or telephone number should provide a mechanism by which management can follow-up should issues of timely notification arise.

We recommend that staff complete each section of the CCC Notification Log. Additionally, we recommend that CCC management conduct a daily review of the

Notification Log and signify review by dating and initialing the form following each review.

Finding 3: Although CCC Daily Reports were being maintained, the evidence of daily distribution was not retained along with the report.

In an operational review conducted by the Auditor General, Report 2012-183, it was determined that the CCC did not retain evidence to support that daily reports were distributed to the Secretary, ELT, and other authorized recipients. In the six month follow-up dated February 4, 2014, management reported that CCC daily reports are being maintained and stored on the Department's "K" drive.

A review of CCC daily reports revealed that twelve reports had not been saved to the Department's "K" drive. Additionally, although the daily report was saved to the Department's "K" drive, the e-mail, which reflects the date/time the report was distributed, as well as the recipients, was not maintained as part of the file.

We recommend CCC save the Daily Report e-mail message along with the Daily Report, so that the evidence of report distribution can be maintained.

It should be noted that the Central Communications Center is under the supervision of the Chief of Investigations who directly reports to the Inspector General. Necessary steps have been taken to prevent the independence of Internal Audit from being compromised. The audit was conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing* and the audit findings are presented in an objective and impartial manner. Please address inquiries regarding this report to Michael Yu, Audit Director at (850) 717-2468.


APPENDIX

Management Response



STATE OF FLORIDA
DEPARTMENT OF JUVENILE JUSTICE

INTEROFFICE MEMORANDUM

DATE: December 2, 2014
TO: Michael Yu, Audit Director
FROM: Holly Johnson, Incident Operations Center Director 
SUBJECT: Audit No. A-1415DJJ-002

We have received your draft report of the above referenced audit and have provided a written response to the findings and recommendations in the report. Please contact me if additional information or clarification is needed.

Finding 1: The CCC Desk Top Guide Manual has not been updated to reflect all information required to be captured/collected on the incident report form.

F.A.C. 63F-11 provides that basic information needed when reporting an incident are the names of the youth and staff involved, the nature of the incident, the time and location and, when available, any incident number generated by other agencies. When interviewed, staff stated additional information was also required to be included on the incident report form. Additionally, staff advised that depending on the classification/category of the incident, additional information may be required.

Our audit revealed that the required information and additional information that might be needed based on the classification/category of the incident were not reflected in the CCC Desk Top Guide.

Agency Response: We concur with this finding. The CCC Desk Top Guide Manual does not address all modules of the CCC database and should be updated to provide complete standards and procedures for handling reportable incident calls. The updated manual should serve as a cohesive link between F.A.C. 63F-11 and the incident report form. We are currently in the process of updating both F.A.C. 63F-11 and the CCC database. Both updates will also be considered when making modifications to the CCC Desk Top Guide Manual. The CCC supervisor will complete the required modifications 1/31/15.

2737 Centerview Drive • Tallahassee, Florida 32399-3100 • (850) 488-1850

Rick Scott, Governor

Christina K. Daly, Interim Secretary

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Finding 2: CCC Notification Log entries were not always complete.

A review of the CCC Notification Logs dated July 1, 2013 through January 11, 2014, revealed that staff did not always log the time the call was received on voicemail or the time the call was returned. Additionally, staff did not always list the reporting person, the staff person contacted during the return call, the contact's telephone number, or the telephone number dialed when the call was returned to the program/facility.

Agency Response: We concur with this finding. The CCC Notification Log contained various incomplete entries. The CCC Notification Log will be modified by the IOC Director by 12/19/14 to ensure the form conforms to all requirements. Additionally, CCC management will conduct a review of the Notification Log on business days and signify the review by dating and initialing the form following each review.

Finding 3: Although CCC Daily Reports were being maintained, the evidence of daily distribution was not retained along with the report.

In an operational review conducted by the Auditor General, Report 2012-183, it was determined that the CCC did not retain evidence to support that daily reports were distributed to the Secretary, ELT, and other authorized recipients. In the six month follow-up dated February 4, 2014, management reported that CCC daily reports are being maintained and stored on the Department's "K" drive.

A review of CCC daily reports revealed that twelve reports had not been saved to the Department's "K" drive. Additionally, although the daily report was saved to the Department's "K" drive, the e-mail, which reflects the date/time the report was distributed, as well as the recipients, was not maintained as part of the file.

Agency Response: We concur with this finding. The CCC Daily Reports were sent via e-mail to the required personnel; however, the actual e-mail documenting verification was not maintained in a central location. The CCC has begun saving the e-mails in which the report was disseminated to the "K" drive. It is the responsibility of the CCC Supervisor to ensure the Daily Report and the corresponding distribution e-mails are maintained on the "K" drive.

cc: Christina K. Daly, Interim Secretary
Fred Schuknecht, Chief of Staff
Robert Munson, Inspector General
Brian Donaldson, Chief of Investigations