



FISCAL YEAR 2023 ANNUAL AUDIT PLAN

Texas Board of Criminal Justice
Internal Audit Division

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PROJECT NUMBER	PROJECT TITLE, DIVISION(S) & PROJECT HOURS	JUSTIFICATION	OBJECTIVE
2301	<p>Corrections Information Technology System Consultation</p> <p><i>Information Technology Division</i></p> <p>Project Hours: As needed.</p>	<p>At the close of the 87th Legislative Session, the TDCJ was appropriated \$24.2 million in funding for fiscal years 2022 and 2023 to modernize the current legacy mainframe system. The new cloud-based Corrections Information Technology System (CITS) will replace 41 legacy applications, 96 stand-alone Access databases, and will integrate business intelligence applications such as digital dashboards, data analytics, and ad-hoc reporting.</p> <p>We will assist management by providing non-audit advisory services during agency efforts to implement the new system. As such, we have evaluated this consultation and do not believe it will interfere with nor compromise our objectivity and ability to maintain independence to conduct future audits in this area.</p>	<p>To provide advice regarding risks and internal controls during efforts to implement the Corrections Information Technology System.</p> <p>At the request of the TBCJ Chairman, this consultation will include an additional focus on information systems security.</p>
2302	<p>Parole Division Workforce Culture</p> <p><i>Parole Division</i></p> <p>Project Hours: 2,460</p>	<p>Corporate culture shapes attitudes and behaviors in wide-ranging and durable ways. Cultural norms within an agency define what is encouraged, discouraged, accepted, or rejected within an agency and can have a positive influence on performance. Culture is driven primarily by tone at the top and agency Personnel Directive – 10, <i>Workforce Diversity</i>, lists agency goals which would support a positive culture to include:</p> <ul style="list-style-type: none"> • Creating a positive environment that promotes personal and professional development and attracts new talent; • Promoting policies, programs, and procedures that value diversity and individual dignity; • Encouraging education about diversity, the development of supportive workplace relationships with others, and leading by example when making decisions related to the workplace; • Removing barriers hindering progress; and, • Developing leadership that empowers all employees to reach their full potential while contributing to the agency’s mission. <p>Larger divisions within an agency may possess their own subcultures within the larger agency culture. The agency’s Parole Division has offices located</p>	<p>To evaluate the effectiveness of Parole Division efforts to achieve the goals listed in Personnel Directive – 10 and support a positive division culture.</p>

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		throughout the state, employs 1,774 Parole Officers, 239 Unit Supervisors, and Parole Supervisors supervised by five regional directors.	
2303	<p>Mental Health Assessments</p> <p><i>Health Services Division</i></p> <p>Project Hours: 3,280</p>	<p>Correctional Managed Healthcare Policy E-35.2 <i>Mental Health Evaluation</i> requires inmates with potential mental health needs receive a comprehensive mental health evaluation completed by a qualified mental health professional within 14 days of a referral, request, or identification of mental health need.</p> <p>A mental health evaluation is an assessment of an inmate’s presenting problem to formulate a diagnostic impression and determination of treatment/intervention needs. This includes documentation of historical information such as mental health treatment and psychosocial background. It also includes a current mental status exam and suicide risk assessment. Psychometric testing may be conducted to assess personality, intellectual ability, and coping abilities. Based on these assessments, various treatments will be prescribed for the inmate by a qualified mental health provider.</p> <p>This audit was requested by agency management and the Texas Board of Criminal Justice and will be conducted as a joint effort with the university healthcare providers.</p>	To evaluate the effectiveness of processes to ensure mental health assessments occur as required and treatments prescribed by the provider are delivered to the inmate.
2304	<p>Inmate Releasing Process</p> <p><i>Reentry and Integration Division</i></p> <p><i>Correctional Institutions Division</i></p> <p><i>Parole Division</i></p> <p>Project Hours: 4,100</p>	<p>During the COVID-19 global pandemic the agency transitioned to a decentralized releasing process in which certain inmates releasing to parole supervision may be released from their unit of assignment rather than transported to a centralized releasing location.</p> <p>The Reentry and Integration Division (RID) employs 147 institutional case managers who are responsible for ensuring the inmate receives the appropriate identification documents (e.g. social security card, birth certificate, etc.), processing release paperwork, arranging transportation, and ultimately releasing the inmate from the facility. The RID Program Guidelines and Processes – 02.03, <i>Release Processing</i>, details the process and RID employee responsibilities. While RID staff are typically the last agency employees to interact with an inmate prior to and during release, the process requires coordination and cooperation from</p>	To evaluate the efficiency of inmate release processing from correctional facilities.

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		other divisions to include the Correctional Institutions Division and the Parole Division. From January to May 2022, the agency released 16,411 inmates.	
2305	<p>Inmate Transport Vehicles</p> <p><i>Manufacturing, Agribusiness and Logistics Division</i></p> <p><i>Correctional Institutions Division</i></p> <p>Project Hours: 3,280</p>	<p>The agency conducts scheduled transports of inmates for a variety of reasons to include intake from county facilities, off-site medical appointments, housing movements, etc. The Manufacturing, Agribusiness and Logistics Division is responsible for overseeing scheduled inmate transports as well as the procurement and repair of all agency vehicles.</p> <p>The Offender Transportation Department is headquartered in Huntsville with seven hub offices located in Abilene, Amarillo, Beeville, Gatesville, Huntsville, Rosharon, and Tennessee Colony. The department completed 13,825 inmate transports through June of fiscal year 2022. This department also operates six mechanical shops which are utilized for vehicle maintenance and repair of 418 inmate transport vehicles including buses, security vans, etc.</p> <p>This audit was requested by the Board of Criminal Justice.</p>	To evaluate the effectiveness of efforts to repair and maintain transport vehicles.
2306	<p>Structural Integrity of Secure Facilities</p> <p><i>Facilities Division</i></p> <p>Project Hours: 4,100</p>	<p>The Texas Department of Criminal Justice operates 88 secure correctional facilities which were constructed between approximately 27 and 173 years ago. The Facilities Division is tasked with maintaining and repairing the facilities to support the safe and secure operation of the units.</p> <p>The division provides a full range of facility management services including facility planning, engineering, construction, maintenance, and environmental quality assurance and compliance. The division consists of 1,157 employees (e.g. maintenance personnel, engineers, architects, environmental specialists, etc.) that ensure these various services are prioritized and completed appropriately, within available budget. Maintenance employees are also located at each correctional facility to provide long range and day-to-day maintenance as required to keep the facilities secure and in proper working condition, 24 hours a day, 365 days a year.</p> <p>The agency is dependent upon the legislature for funding to repair and maintain facilities. For the fiscal year 2022 and 2023 biennium the agency requested \$649.8 million to complete necessary repairs and facilities maintenance projects and received \$151.3 million in funding. This funding included approximately</p>	To determine the effectiveness of efforts to identify and correct structural deficiencies impacting the security of correctional facilities.

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		\$105.5 million for projects over \$50,000 such as roof repairs, fire alarm installation, etc., and \$45.8 million for routine maintenance and projects under \$50,000.	
2307	Criminal Case Disposition <i>Office of Inspector General</i> Project Hours: 1,476	<p>The Texas Board of Criminal Justice created the Office of the Inspector General (OIG) to serve as the primary law enforcement and investigative entity of the Texas Department of Criminal Justice (TDCJ). The OIG is an independent office that reports to the Texas Board of Criminal Justice, with the Inspector General reporting directly to the chairman of the board. The OIG investigators are certified peace officers, as authorized by Texas Code of Criminal Procedures, Article 2.12 and licensed by the Texas Commission on Law Enforcement.</p> <p>The OIG investigates allegations of criminal activity and misconduct that have an impact on TDCJ programs, personnel, and resources and subsequently refers cases to the appropriate prosecuting authority for consideration.</p>	To determine the effectiveness of processes to render a disposition for criminal cases in which an investigation supports the pursuit of criminal charges.
2308	Accounts Payable <i>Business and Finance Division</i> Project Hours: 1,968	<p>The agency's Accounts Payable Section is organized under the Accounting and Business Services Department of the Business and Finance Division and is responsible for processing payments in compliance with Federal, State, and agency rules and regulations. The Accounts Payable Section is divided into two sections: Payment Services and Invoice Services.</p> <p>The agency procures over \$1 billion annually in goods and services using purchase orders and contracts. Accounts Payable ensures that a three-way match occurs by comparing the purchase order/contract, invoice, and goods/services. This validation must be performed, and the payment complete, within the terms of the contract or the 30-day timeframe established by the legislature.</p>	To evaluate the effectiveness of processes to pay vendors for goods or services received.
2309	Investigation of Sexual Assault Allegations <i>Prison Rape Elimination Act Ombudsman</i>	<p>The Prison Rape Elimination Act (PREA) is a federal law established to provide for the analysis of the incidence and effects of prison rape in federal, state, and local institutions and provide information resources, recommendations, and funding to protect individuals from prison rape.</p> <p>When an allegation of inmate sexual assault or sexual harassment is reported on a correctional facility it is investigated at the unit level by trained PREA investigators and documented electronically in the Safe Prisons PREA Automated</p>	To determine the effectiveness of efforts to investigate sexual abuse and sexual harassment of inmates in correctional facilities.

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	<p><i>Correctional Institutions Division</i></p> <p>Project Hours: 2,624</p>	<p>Network System. The completed investigation is subsequently reviewed by the Safe Prisons/PREA Management Office for completeness and appropriateness of the investigation outcome. The PREA Ombudsman office then reviews investigations for compliance with applicable PREA standards.</p> <p>From January through May 2022, the PREA Ombudsman received 4,435 PREA related inquiries and the Safe Prisons/PREA Management Office completed 1,001 investigations.</p>	
2310	<p>Case Summaries</p> <p><i>Board of Pardons and Paroles</i></p> <p>Project Hours: 1,968</p>	<p>Institutional Parole Officers (IPOs) are agents of the Texas Board of Pardons and Paroles responsible for preparing inmate information for consideration by the board when the inmate becomes eligible for release to parole or mandatory supervision. An IPO's primary responsibility during the parole review process is the completion of a detailed <i>Case Summary</i> which is a comprehensive review of an inmate's criminal history, as well as behavior prior to and during incarceration. The <i>Case Summary</i> is based on official records and information reported by the inmate during various interviews. The members of the Texas Board of Pardons and Paroles use the <i>Case Summary</i> as the main tool in deciding whether to grant parole to an inmate.</p> <p>The Texas Board of Pardons and Paroles reported 77,575 case summaries were prepared in Fiscal Year 2021 and 52,892 summaries have been completed during the current fiscal year, as of June 2022.</p> <p>This audit was requested by the Board of Pardons and Paroles.</p>	To evaluate the efficiency of processes to create case summaries.
2311	<p>Emerging Risks</p> <p><i>Various Divisions</i></p> <p>Project Hours: As needed.</p>	In an effort to be responsive to ever changing risk, we have set aside hours to conduct audits of topics within the Texas Department of Criminal Justice, the Windham School District, and/or the Board of Pardons and Paroles, as needed.	To perform audits of emerging risks.

<p>2312</p>	<p>Walk Throughs <i>Internal Audit Division</i></p> <p>Project Hours: As needed.</p>	<p>Conducting walk throughs of functional areas enables the Internal Audit Division to update our risk analysis on a regular basis and ensures attention to those areas of the agency that would not otherwise be reviewed.</p>	<p>To assist in the development of future audit plans by increasing our knowledge of unaudited areas of the agency.</p>
<p>2313</p>	<p>Action Plan Follow Up and Tracking <i>Internal Audit Division</i></p> <p>Project Hours: As needed.</p>	<p>We track implementation of audit recommendation action plans on an ongoing basis and determine if or when implementation verification is required. Based on our assessment, we perform audit follow up review and or testing, as needed. This project encompasses our efforts for the review and tracking of those audit recommendations and their implementation status.</p>	<p>To determine the status of implementation for audit recommendations.</p>