

# Office of Inspector General

## FDLE Armory Audit Twelve-Month Status Report

Project Number FP-IG0058-12

September 2017

Service ★ Integrity ★ Respect ★ Quality





## EXECUTIVE SUMMARY

The objective of this twelve-month follow-up review is to assess the status of corrective actions taken by management in response to the Office of Inspector General (OIG) Report Number IG-0058, *FDLE Armory Audit*, issued in June 2016.

The audit report contained seven findings with fourteen recommendations, and management agreed with all recommendations, except one. In order to determine the status of those findings and recommendations, the OIG interviewed members responsible for implementing the recommendations, and also reviewed supporting documentation.

A six-month follow-up review was completed in February 2017, and concluded that management had taken some steps towards implementing the recommendations. Of the seven findings, four were closed (findings two, three, four, and seven) and three remained open.

This twelve-month follow-up review evaluated the remaining open findings and concludes that management has taken some steps towards corrective action; however, all three findings remain open. Corrective action is pending the functionality of the Weapon Tracking Module in AIMS as well as the development, approval, and adoption of operational procedures or department policy.

### **Finding 1 – OPEN**

*FDLE does not have an accurate inventory of armory items.*

- Management agreed with this finding. This finding contained six recommendations. Our review determined that corrective action is pending (see pages 2-5 for details).

### **Finding 5 – OPEN**

*Armory inspections are not consistently conducted in accordance with the Regional Armory Inspection Schedule.*

- Management agreed with this finding. This finding contained two recommendations. Our review determined corrective action is pending (see page 5-7 for details).

### **Finding 6 – OPEN**

*Weapon inspection forms are not consistently completed or maintained by designated armory personnel.*

- Management agreed with this finding. This finding contained one recommendation. Our review determined corrective action is pending (see page 7 for details).



## TWELVE-MONTH STATUS

**FINDING 1:** *FDLE does not have an accurate inventory of armory items.*

### ➤ **Recommendation 1**

We recommend management consider creating or obtaining an electronic inventory system that can be utilized by all agency armorers to accurately and timely document the assignment and location of agency weapons and the other items in their armories.

**Management's Response:** Agree. Members of sworn training, ITS and IFS researched several systems in the spring of 2015. Networking of commercial off-the-shelf systems between all regions and users was found to be problematic.

In June of 2015, ITS, working in conjunction with IFS, provided a proposal to create another module similar to vehicle log within AIMS. This new module would function very similar to the vehicle log module but would be specific to weapon tracking and accountability. The decision to proceed with this proposal was placed on hold pending the release of the OIG audit regarding the Armory. In May of 2016, sworn training asked that ITS re-engage the project of proposing an AIMS module specific to weapon tracking and accountability. Additionally, it should be noted that since the initial release of the OIG report in November of 2015, all weapons have been accounted for through the annual property inventory process.

**Six-Month Management's Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIMS. The newly created Weapons Tracking Module was moved into AIMS Test on December 7, 2016. Sworn Training members are currently evaluating the system and will report suggested changes to IFS and ITS. The newly created system is anticipated to be moved into AIMS production in the coming weeks.

**Twelve-Month Management's Response:** The Weapons Tracking Module in AIMS went live on July 26, 2017. ITS and IFS were able to download over 2,000 weapons from the FLAIR into the AIMS Weapons Module. The new module will allow Department Armorers to run numerous administrative reports, which will improve the overall tracking and accurate inventory of weapons within FDLE.

### ➤ **Recommendation 2**

If management decides to continue using FLAIR as the database to track armory inventory, we recommended that the armorers conduct periodic inventories of their armories and off-site locations as the physical accountability of weapons is currently limited to review during the Department's annual property inventory process.

**Management's Response:** Agree. Members of sworn training will assess the need to amend current practice regarding inventory and inspections of armories and off-site storage locations regardless of what tracking system is utilized.

**Six-Month Management's Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIMS. The newly created Weapons Tracking Module was moved into AIMS Test on December 7, 2016. Based upon the evaluation of the Weapons Tracking Module, Sworn Training members will look at the future needs of





periodic inventories, and the need to amend current practice of yearly inventory and inspections of armories and off-site storage locations.

**Twelve-Month Management's Response:** The AIMS Weapons Module went live on July 26, 2017 and over 2,000 weapons records retrieved from FLAIR were uploaded into the AIMS database. Over the next few months, Armorerers will review the records in AIMS to determine the accuracy of the weapons data and make changes as needed to ensure the data is correct. The AIMS Weapons Module was not designed to replace the current annual inventory process, however, it does provide a central location for the weapons data to reside and give the Armorerers and Sworn members the ability to view the weapons assigned to them or the entire region. Additionally, the AIMS Weapons Module allows for an easy way of generating reports that can be accessed by anyone that has an AIMS account. Examples of the types of reports that can be pulled using AIMS are lists of weapons by region, office, weapon type and make, or by each individual sworn member. The AIMS Weapon Module also allows Armorerers to enter weapon activity on individual weapons, such as when a weapon goes out for repair and dates of the maintenance performed or when an inspection has occurred on the weapon. Any documents or forms relating to a weapon can also be uploaded to AIMS on each weapon allowing for a central location to access electronic records from any FDLE computer.

### **Recommendation 3**

In order to allow for easier tracking and reporting of weapons, we recommend management ensure that weapon information is consistently entered into the selected inventory tracking database, (e.g. item description, member assignment and regional location).

**Management's Response:** Agree. The utilization of AIMS will allow much closer monitoring and internal auditing to ensure that weapon information is consistently entered into the system. Regardless of what tracking system is ultimately utilized, sworn training staff is currently formalizing naming conventions for all authorized firearms. The formalized naming conventions will be supported by documented operational procedures.

**Six-Month Management's Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIMS. The newly created Weapons Tracking Module was moved into AIMS Test on December 7, 2016. Sworn Training members, in conjunction with ITS, IFS and BSP, have developed formalized naming conventions to ensure that weapon information is entered consistently into FLAIR and AIMS.

**Twelve-Month Management's Response:** The AIMS Weapon Tracking Module was designed to eliminate the input of inconsistent information into the database. This was accomplished by the creation of populated "drop down" boxes/ functions, eliminating the authors' ability to free text information. Additionally, the information captured in the new AIMS Weapon Tracking Module is consistent with the information recorded in the FLAIR system.

### **Recommendation 4**

We recommend management document the use of the FDLE Armory Transaction Form, the process of property transfers, and the modifications of property records involving the armorer, regional property coordinators and the FDLE Property Custodian in policy or procedure.





**Management's Response:** Agree. A move to tracking weapons in AIMS is anticipated to limit the number of hard copy forms and records. Once a new process is established, accompanying procedures and forms, if needed, will be implemented.

**Six-Month Management's Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIMS. The newly created Weapons Tracking Module was moved into AIMS Test on December 7, 2016. Sworn Training members are currently evaluating the system and will report suggested changes to IFS and ITS. The newly created system is anticipated to be moved into AIMS production in the coming weeks.

**Twelve-Month Management's Response:** The AIMS Weapon Tracking Module will allow the user to run a multitude of administrative/ management reports, to include historical information pertaining to a weapon and/or a sworn member. The information captured in the new system was designed to be consistent with information captured in the FLAIR system, avoiding the input of inaccurate data. The Weapons Transaction Form will still be utilized, however, the new system will allow the user to upload the form into the related item section of the weapons record. In addition, the Weapon Transaction Form is still being uploaded into the FLAIR system.

#### **Recommendation 5**

We recommend that armorers utilize the FDLE Armory Transaction Form to document all armory firearm transactions and facilitate the notification of property changes to their appropriate property coordinator. Armorers should also ensure that FLAIR is timely updated to reflect changes to the armory inventory.

**Management's Response:** Agree. A move to tracking weapons in AIMSS is anticipated to limit the number of hard copy forms and records. Once a new process is established, accompanying procedures and forms, if needed, will be implemented.

**Six-Month Management's Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIMS. The newly created Weapons Tracking Module was moved into AIMS Test on December 7, 2016. Sworn Training members are currently evaluating the system and will report suggested changes to IFS and ITS. The newly created system is anticipated to be moved into AIMS production in the coming weeks.

**Twelve-Month Management's Response:** The FDLE Weapon Transaction Forms continues to be utilized by the Armorers. The forms continue to be uploaded into the FLAIR system by the Property Coordinator. Now that the AIMS Weapon Tracking Module is live, it is recommended that the forms be uploaded into the related item section of the weapon profile. Measures have been taken to develop a more efficient process between the Armorer and the Property Coordinator.

#### **Recommendation 6**

Consideration should also be given to enhancements to the FDLE Armory Transaction Form and integrating the form into an electronic format for accessibility in the FDLE Forms Library.





**Management's Response:** Agree. A move to tracking weapons in AIMS is anticipated to limit the number of hard copy forms and records. Once a new process is established, accompanying procedures and forms, if needed, will be implemented.

**Six-Month Management's Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIMS. The newly created Weapons Tracking Module was moved into AIMS Test on December 7, 2016. Sworn Training members are currently evaluating the system and will report suggested changes to IFS and ITS. The newly created system is anticipated to be moved into AIMS production in the coming weeks.

**Twelve-Month Management's Response:** The AIMS Weapon Tracking Module went live on July 26, 2017. The Sworn Training Unit has developed a modified Weapon Transaction Form and once the form is approved it will be made available in the electronic FDLE Forms Library.

**Twelve-Month Status:** This finding is **OPEN**.

**OIG Conclusion:** Our review determined that corrective action is pending the full functionality of the Weapon Tracking Module in AIMS. The Weapon Tracking Module went live in July 2017; however, it has not been fully implemented. These six recommendations remain open pending full operation of the new module.

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**FINDING 5:** *Armory inspections are not consistently conducted in accordance with the Regional Armory Inspection Schedule.*

➤ **Recommendation 1**

We recommend management ensure scheduled armory inspections are conducted.

**Management's Response:** Agree. Armory inspections have not been conducted in strict accordance with the former IFS, Office of Field Services, Armory Section webpage. Sworn training staff explains that armory inspections were suspended due to our transition to all 9mm weapons in 2013 and 2014. This transition required HQ armory staff to coordinate the inspection and issuance of new handguns (handguns account for the majority of our weapons stock) to the majority of our sworn members during 2013 and 2014.

Sworn training staff will evaluate past practices regarding armory inspections and make recommendations for future armory inspections. Once recommendations are approved the practices will be adopted and detailed in operational procedures or department policy.

**Six-Month Management's Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIMS. The newly created Weapons Tracking Module in AIMS will indicate the date inspected and who inspected the firearm. Designated armory personnel will have the ability to upload all associated forms to the weapons module for easy reference. With the implementation of the newly created weapons tracking system, Sworn Training members will evaluate past practices, along with the armory inspection schedule, for adoption into operational procedures or department policy. The weapons tracking system is anticipated to be moved into AIMS production in first part of 2017.





**Twelve-Month Management's Response:** Sworn Training Unit correspondence with the regions indicates that weapon inspections have been conducted by the Regional Armorer during range qualifications. Now that the AIMS Weapon Tracking Module is live, Armorers can document inspections/ maintenance of all weapons. As stated previously, armorer inspections have not been in compliance to the weapons inspection scheduled listed on the Professionalism training website. Sworn training staff will continue to evaluate past practices regarding armory inspections and make recommendations for future armory inspections. Once recommendations are approved the practices will be adopted and detailed in operational procedures or department policy.

➤ **Recommendation 2**

We recommend management formally document the inspection process in policy or procedure.

**Management's Response:** Agree. Sworn training staff will evaluate past practices regarding armory inspections and make recommendations for future armory inspections. Once recommendations are approved the practices will be adopted and detailed in operational procedures or department policy.

**Six-Month Management's Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIMS. The newly created Weapons Tracking Module in AIMS will indicate the date inspected and who inspected the firearm. Designated armory personnel will have the ability to upload all associated forms to the weapons module for easy reference. With the implementation of the newly created weapons tracking system, Sworn Training members will evaluate past practices, along with the armory inspection schedule, for adoption into operational procedures or department policy. The weapons tracking system is anticipated to be moved into AIMS production in first part of 2017.

**Twelve-Month Management's Response:** The AIMS Weapon Tracking Module went live on July 26, 2017. Armorer now can document inspections and/or maintenance within the weapon profile. Sworn training staff will continue to evaluate past practices regarding armory inspections and make recommendations for the documentation of weapon inspections. Once recommendations are approved the practices will be adopted and detailed in operational procedures or department policy.

**Twelve-Month Status:** This finding is **OPEN**.

**OIG Conclusion:** OIG follow-up review confirmed management is working on corrective action. Corrective action is pending the development, approval, and adoption of practices regarding armory inspections in operational procedures or department policy.

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**FINDING 6:** *Weapon inspection forms are not consistently completed or maintained by designated armory personnel.*

➤ **Recommendation 1**

We recommend management consider modification to Policy 4.1 to reflect any armory personnel involved in the distribution, collection, inspection or repair of agency-owned weapons





and personally-owned weapons be responsible for completing and maintaining weapon inspection forms. This revision would apply to high-liability firearm instructors during in-service sworn training and to members who perform armorer-related duties in the regional operation centers.

**Management's Response:** Agree. Sworn training staff will evaluate past practices regarding the use of and maintenance of weapons inspection forms. Once recommendations are approved, the practices will be adopted and detailed in operational procedures or department policy.

**Six-Month Management's Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIMS. The newly created Weapons Tracking Module in AIMS will indicate the date inspected and who inspected the firearm. Designated armory personnel will have the ability to upload all associated forms to the weapons module for easy reference. With the implementation of the newly created weapons tracking system, Sworn Training members will evaluate past practices, along with the armory inspection schedule, for adoption into operational procedures or department policy. The weapons tracking system is anticipated to be moved into AIMS production in first part of 2017.

**Twelve-Month Management's Response:** The AIMS Weapon Tracking Module will allow the Armorer the ability to document inspections and/or maintenance within the weapon profile. Additionally, the designated armorer will be able to upload all associated forms in the related item section of the weapon profile. Sworn training staff will continue to work with regional armorer to ensure consistency in the documentation and evaluation of all weapons. Once recommendations for the documentation of weapon inspections are approved the practices will be adopted and detailed in operational procedures or department policy 4.1.

**Twelve-Month Status:** This finding is **OPEN**.

**OIG Conclusion:** Our review determined that corrective action is pending the full functionality of the Weapon Tracking Module in AIMS. The Weapon Tracking Module went live in July 2017, however, it has not been fully implemented. This recommendation remains open pending full operation of the new module.





## DISTRIBUTION AND PROJECT TEAM

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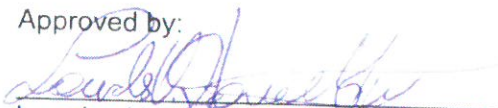
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