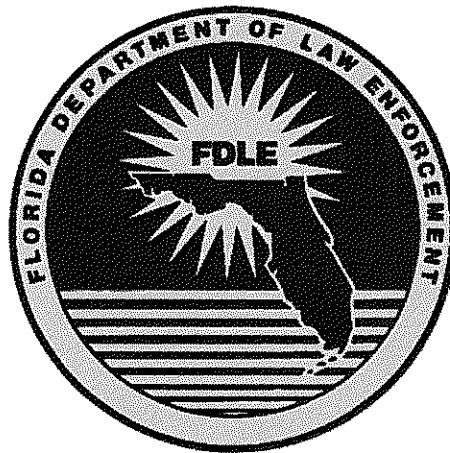


# FLORIDA DEPARTMENT OF LAW ENFORCEMENT

## Office of Inspector General



PROJECT NUMBER: IG-0036

### Capitol Police Background Investigations Audit

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#### FINAL REPORT

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October 25, 2012

*Service - Integrity - Respect - Quality*



**Florida Department of Law Enforcement  
Office of Inspector General**

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| <b>EXECUTIVE SUMMARY</b>   |   | <b>Audit #IG-0036</b>  |
| <b>AUDIT TITLE: Capitol Police Background Investigations Audit</b>       |   | <b>Date Issued:</b><br>October 25, 2012                          |
| <b>Responsible Manager:</b><br>Dennis Bustle, Director of Capitol Police |   | <b>Auditor:</b> Theresa Skipper,<br>Senior Management Analyst II |
| <b>Background:</b>   | <p>Capitol Police is a uniformed patrol division of the Florida Department of Law Enforcement (FDLE) Public Safety Services. The division was transferred from the Department of Management Services (DMS) to FDLE in 2002 as a result of the September 11<sup>th</sup> terrorist attacks. Its primary responsibility is to protect the security of the Governor, the Lieutenant Governor, members of the Cabinet, members of the Senate and House of Representatives, and employees assigned to assist such state officials in the performance of their official duties. Capitol Police also provides security and protection for state officials, employees, and visitors to the Capitol Complex, as well as community policing at the Capital Circle Office Complex in Tallahassee, and security services at FDLE headquarters.</p> <p>Prior to obtaining employment with Capitol Police, or any other component of FDLE, job applicants are subject to an extensive background investigation to evaluate qualifications, character, integrity, and suitability for placement in a position of public trust. After an initial screening, selected applicants are required to complete a supplemental application, which provides information about the applicant's personal history, employment history, arrest history, court record, driving history, military history, financial status, and other qualifications. Applicants are also required to submit additional documentation, such as a copy of his or her birth certificate, social security card, driver license, education certificates and/or transcripts, and relevant military forms. Completed applicant documentation is verified during the background investigation process. Neighborhood checks are also completed for those applying for sworn positions. The process can take months to complete, depending on the applicant's history.</p> <p>To limit vacancies, announcements for Capitol Police sworn law enforcement positions typically remain active for six months, which creates a pool of applicants. Hundreds of applications are processed for a given advertising period.</p> <p>Capitol Police is responsible for conducting its own applicant background investigations for all types of positions, sworn and non-sworn. FDLE's Office of Executive Investigations (EI) coordinates background investigations for applicants for other sworn FDLE positions and others required by law or at the direction of the Commissioner. For non-sworn applicants, other than those applying for positions within Capitol Police, the Executive Council member initiating the background investigation is responsible for assuring the investigation was satisfactorily completed.</p> |  |
| <b>Audit Objectives:</b>   | <p>Capitol Police Background Investigations was identified as an audit topic on the fiscal year 2011-2012 Risk Assessment/Audit Plan for the FDLE Office of Inspector General.</p> <p>The objectives of the audit were to:</p> <ul style="list-style-type: none"><li>• Determine compliance with policies and procedures for Capitol Police background investigations;</li><li>• Determine whether controls are in place to mitigate risks; and</li><li>• Identify opportunities for improving efficiency.</li></ul>  |  |

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| <b>Scope:</b>                         | The scope of this audit focused primarily on FDLE's current, as of July 2012, requirements, guidelines, processes, and documentation relevant to background investigations conducted by Capitol Police.   |
| <b>Methodology/<br/>Tasks:</b>        | <p>The audit included a review of prior related audits and management reviews to prevent duplication and to follow-up on any previous findings and recommendations.</p> <p>A review was conducted of Florida Statutes, Florida Administrative Code, FDLE policies and procedures, and other authoritative guidance to obtain an understanding of applicable laws, rules, guidance, regulations and policies.</p> <p>Interviews were conducted with members of Capitol Police, EI, and the Office of Human Resources. The purpose of the interviews were to:</p> <ul style="list-style-type: none"> <li>• Obtain information about organizational structure;</li> <li>• Clarify and determine the effectiveness of policies, procedures, and practices; and</li> <li>• Identify opportunities for improving efficiency.</li> </ul> <p>Thirteen completed background investigation files were reviewed for current members in various positions, sworn and non-sworn, within Capitol Police as of July 2012. There are a total of 122 positions assigned to Capitol Police. Six of the positions are on loan to other areas of FDLE and four are on loan from other areas of FDLE.</p> <p>This audit was conducted in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.</p> <p>Copies of this audit will be made available for public inspection.</p> |
| <b>Summary of<br/>Audit Findings:</b> | <p>When Capitol Police transferred to FDLE, background investigations for Capitol Police were initially conducted by EI. However, the additional workload created a delay in hiring and presented a risk of staffing problems. Full staffing is critical for Capitol Police, particularly during legislative sessions. To address the issue and improve efficiency, a decision was made by the Director of EI and the Director of Capitol Police to assign responsibility for Capitol Police background investigations to members of Capitol Police utilizing FDLE policies, procedures, and practices.</p> <p>Although decentralizing the responsibilities for background investigations presents potential issues of inefficiency and ineffectiveness, such potential risk appears to be mitigated by the level of expertise of those conducting the background investigations and the close communication between Capitol Police and EI. Based on interviews and file reviews, Capitol Police's background investigation practices are consistent with FDLE policies and procedures.</p> <p>During the audit it was also noted that background investigation documentation is maintained primarily in the form of paper files. Members of Capitol Police and EI are open to the idea of increasing the level of efficiency through automation; however, challenges such as funding, user acceptance, confidentiality, and coordination among various offices involved in the job applicant process would need to be addressed.</p>   |