

# Office of Inspector General

FDLE Armory Audit

*Six-Month Status Report*

Project Number FP-IG0058-06

February 2017

Service ★ Integrity ★ Respect ★ Quality





## EXECUTIVE SUMMARY

The objective of this six-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.

This six-month follow-up review concludes that management has taken some corrective action towards implementing the recommendations. Of the seven findings, four are closed and three remain open. The open findings will be re-evaluated at a future date.

### **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 3-5 for details).

### **Finding 2 – CLOSED**

*FLAIR property records are not timely updated when a member retires and may include weapons that are no longer FDLE property.*

- Management agreed with this finding. This finding contained one recommendation. Our review determined that management has completed corrective action (see page 5 for details).

### **Finding 3 – CLOSED**

*Position descriptions of members serving as regional armorers do not list time or responsibilities dedicated to armorer duties and functions.*

- Management agreed with this finding. This finding contained one recommendation. Our review determined that management has completed corrective action (see page 6 for details).

### **Finding 4 – CLOSED**

*The process for purchasing training and duty ammunition is not documented in agency policy or procedure.*

- Management partially agreed with this finding. This finding contained two recommendations. Our review determined that management had taken corrective action to implement recommendation one. Management disagreed with recommendation two to incorporate the agency's process for purchasing ammunition into a formal procedure or policy. Management stated the process requires constant evaluation and a formal procedure is not believed to be warranted (see page 7 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 8 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 9 for details).

#### **Finding 7 – CLOSED**

*There is no documented accountability of who has access and who enters the off-site warehouse, nor is there any FDLE oversight of who is issued a key to the equipment storage room.*

- Management agreed with this finding. This finding contained one recommendation. Our review determined that management has completed corrective action (see page 10 for details).





## SIX-MONTH STATUS

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

This finding contained six recommendations that were all agreed to by management. Our six-month status review determined overall this finding remains open. See the details for each recommendation summarized below.

#### **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 AIM 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.

**Implementation Date:** Estimated six months after management decision to proceed.

**Management's 6-Month Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIM. The newly created Weapons Tracking Module was moved into AIM 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 AIM production in the coming weeks.

#### **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.

**Implementation Date:** September 1, 2016

**Management's 6-Month Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIM. The newly created Weapons Tracking Module was moved into AIM 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.

### **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.

**Implementation Date:** August 1, 2016

**Management's 6-Month Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIM. The newly created Weapons Tracking Module was moved into AIM 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 AIM.

### **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.

**Implementation Date:** Upon implementation of recommendation number one.

**Management's 6-Month Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIM. The newly created Weapons Tracking Module was moved into AIM 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 AIM production in the coming weeks.

### **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 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.





**Implementation Date:** Upon implementation of recommendation number one.

**Management's 6-Month Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIM. The newly created Weapons Tracking Module was moved into AIM 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 AIM production in the coming weeks.

**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.

**Implementation Date:** Upon implementation of recommendation number one.

**Management's 6-Month Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIM. The newly created Weapons Tracking Module was moved into AIM 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 AIM production in the coming weeks.

**Six-Month Status:** This finding remains Open.

**OIG Conclusion:** Our follow-up review confirmed management has taken steps towards implementing the six recommendations; however, corrective action is pending.

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**FINDING 2:** *FLAIR property records are not timely updated when a member retires and may include weapons that are no longer FDLE property.*

**Recommendation 1:** We recommend management revise Form OHR-062, referenced in Policy 4.1, Use of Force, Weapons & Defensive Tactics, to require the Office of Human Resources (OHR) representative to route the approved Form OHR-062 to the FDLE Property Custodian in order to timely delete the weapon property record from FLAIR.

**Business Support Program Management's Response:** Agree. OHR will begin routing the completed Form OHR-062 to the appropriate FDLE Property Custodian so the FLAIR property records can be updated. Form OHR-062 has been revised to include a space for OHR to document the name of the FDLE Property Custodian and the date the form is routed.

**Implementation Date:** December 30, 2015.

**Management's 6-Month Response:** To further streamline the process, a line has been added to the Acknowledgement of Conditions of Receipt for Handgun and/or Credentials Form (OHR-062) to also provide a copy to the FDLE Central Property Administrator (Custodian). Additionally, the General Services Manual is in the process of being updated, including Section



J, Property Management. The manual will include the definition of the FDLE Central Property Administrator (Custodian) and the Property Coordinator to describe the difference between the two roles.

**Six-Month Status:** This finding is **Closed**.

**OIG Conclusion:** Our follow-up review confirmed the Form OHR-062, Acknowledgement of Conditions of Receipt for Handgun and/or Credentials, has been revised to include a space for OHR to indicate a copy of the form was forwarded to the named FDLE Central Property Administrator (Custodian) and the named FDLE Property Coordinator and the date the form was routed.

**FINDING 3:** *Position descriptions of members serving as regional armorers do not list time or responsibilities dedicated to armorer duties and functions.*

**Recommendation 1:** We recommend the position description for each designated regional armorer be reviewed and modified to include armorer duties and responsibilities.

**Investigations and Forensic Science Program Management's Response:** Agree. The following standard language has been added to the position descriptions of all regional armorers:

- Responsible for intake, assignment and maintenance of department issued firearms and related high liability equipment
- Responsible for storage and security of unissued firearms and related equipment
- Responsible for receiving and maintaining appropriate armorer certifications

The percentage of time devoted to armorer duties varies regionally (between 10% and 25%) based upon the needs of the region and agreement between armorer and regional management team.

**Implementation Date:** Amended position descriptions were submitted to the Office of Human Resources for publication in FDLE's electronic library on January 14, 2016.

**Management's Response:** As of December 16, 2016, the members designated as regional armorers are as follows:

<u>Position Number</u>	<u>Region/Division</u>	<u>Member Name</u>
71000807	FMROC	Special Agent David Sarney
71000261	JROC	Special Agent David Brock
71001503	MROC	Special Agent Larry Andres
71002387	PROC	Special Agent Barry Hatton
71000255	OROC	Special Agent Mark Pelham
71000930	TBROC	Special Agent Jeff Erb
71001049	TROC	Special Agent Supervisor Jason Knowles
71002121	Capitol Police	Law Enforcement Sgt. Scotty Winfrey





Position Descriptions (PD) for the above members were amended to reflect the new language for regional armory duties. Changes have been communicated to regional Special Agents in Charge and Assistant Special Agents in Charge, as well as Special Agent Supervisors.

The percentage of time allocated to armory duties varies from region to region as reflected on the individual members' PD. It is the responsibility of the member and their supervisor to review duties and responsibilities of the position annually to ensure that position descriptions accurately reflect the major duties of the position.

The PDs can be viewed online in FDLE's Position Descriptions Library.

**Six-Month Status:** This finding is **Closed**.

**OIG Conclusion:** Our follow-up review confirmed the position description for each designated regional/division armorer was modified to include armorer duties and responsibilities. It was also confirmed that the percentage of time allocated to armory duties ranges from 10 to 25 percent and varies from region to region as reflected on the individual members' PD.

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**FINDING 4:** *The process for purchasing training and duty ammunition is not documented in agency policy or procedure.*

This finding contained two recommendations. Our six-month status review determined this finding is closed. See the details for each recommendation summarized below.

**Recommendation 1**

We recommend management review for accuracy the existing document used for the analysis of ammunition needs and purchases.

**Management's Response:** Agree. The existing document was created prior to the sworn training function being transferred to the Professionalism Division. SAS Dan Augustyniak has reviewed the document for accuracy and revisions have been made.

**Implementation Date:** April 1, 2016

**Management's 6-Month Response:** The document has been revised and is in use. No additional actions required.

**OIG work performed:** Management has completed corrective action for this recommendation. Our follow-up review confirmed the existing document used for the analysis of ammunition needs and purchases has been modified for use by the Sworn Training members.

**Recommendation 2**

We recommend management consider incorporating the agency's needs analysis and the processes for purchasing training and duty ammunition in a formal procedure or policy.

**Management's Response:** Disagree. The needs associated with training and duty ammunition, by nature is a fluid process that requires constant evaluation. Needs change drastically based





on the number of Special Agent Training Academies coordinated during the year or the type of scenario based training coordinated in a particular year. Sworn training staff regularly polls Regions and evaluates their own supply prior to ordering ammunition. A formal procedure or policy relating to ordering ammunition is not believed to be warranted, nor is it believed that such a formal procedure or policy will create efficiency.

**Implementation Date:** N/A

**Six-Month Status:** This finding is **Closed**.

**OIG Conclusion:** Management partially agreed with this finding. Our follow-up review determined that management had taken corrective action to implement recommendation one. Management disagreed with recommendation two to incorporate the agency's process for purchasing ammunition into a formal procedure or policy. Management stated the process requires constant evaluation and a formal procedure is not believed to be warranted.

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

This finding contained two recommendations that were agreed to by management. Our six-month status review determined overall this finding remains open. See the details for each recommendation summarized below.

**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.

**Implementation Date:** September 1, 2016

**Management's 6-Month Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIM. The newly created Weapons Tracking Module in AIM 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 AIM production in first part of 2017.





## **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.

**Implementation Date:** September 1, 2016

**Management's 6-Month Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIM. The newly created Weapons Tracking Module in AIM 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 AIM production in first part of 2017.

**Six-Month Status:** This finding remains Open.

**OIG Conclusion:** Our follow-up review confirmed corrective action is pending for both recommendations.

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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.

**Implementation Date:** September 1, 2016

**Management's 6-Month Response:** Sworn Training members have continued to work with ITS and IFS to create a Weapons Tracking Module in AIM. The newly created Weapons Tracking Module in AIM 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 AIM production in first part of 2017.

**Six-Month Status:** This finding remains Open.

**OIG Conclusion:** Our follow-up review confirmed corrective action is pending.

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**FINDING 7:** *There is no documented accountability of who has access and who enters the off-site warehouse, nor is there any FDLE oversight of who is issued a key to the equipment storage room.*

**Recommendation 1:** We recommend, in accordance with Policy 1.4, management consider implementing a process to document who should have continued authorized access to the secured off-site storage facility, and to inform the Public Safety Institute staff of needed adjustments accordingly. A periodic review of the access list should also be conducted.

**Management Response:** Agree. Sworn training staff has coordinated the installation of a new lock on the secure room within the warehouse. Selected members have been issued keys to this room. A list of those members possessing the interior key is maintained by the SAS of Sworn Training. Additionally, the combination to the exterior lock has been changed. FDLE High-liability instructors have been provided the new combination.

**Implementation Date:** June 15, 2016

**Management's Response:** No additional actions required.

**Six-Month Status:** This finding is Closed.

**OIG Conclusion:** Our follow-up review confirmed that the Special Agent Supervisor of the Sworn Training Unit maintains a list of selected members who were issued keys to the secure room within the off-site warehouse. Additionally, our follow-up review confirmed the Special Agent Supervisor provided the revised combination to the exterior lock at the off-site warehouse to the High-liability instructors verbally.



## **DISTRIBUTION AND PROJECT TEAM**

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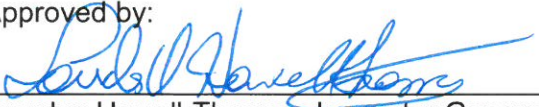
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