

APPENDIX I

AUDIT OBJECTIVES, SCOPE, AND METHODOLOGY

The objectives of the audit were to review the DEA's: (1) action taken in response to the identification of lost or stolen weapons and laptop computers, and (2) management controls over these types of equipment. We performed our audit in accordance with Government Auditing Standards issued by the Comptroller General of the United States and, accordingly, included such tests of the records and procedures that we considered necessary.

We obtained an understanding of the control environment for weapons and laptop computers from the Firearms Training Unit at Quantico and the Property Unit at DEA headquarters. We performed on-site work between August 2001 and December 2001 at the following locations:

- DEA Headquarters, Arlington, Virginia
- Justice Training Center, Quantico, Virginia
- Office of Investigative Technology, Lorton, Virginia
- Atlanta Division Office, Atlanta, Georgia
- Boston Division Office, Boston, Massachusetts
- San Diego Division Office, San Diego, California

To examine the DEA's actions regarding the identification of lost and stolen weapons and laptop computers, we requested lists of all such losses from October 1, 1999 to September 15, 2001, and reviewed the available Board of Professional Conduct files and the circumstances surrounding each loss. In addition, we obtained from the Department Security Officer the DEA's semiannual Department Theft Report submissions from October 1999 to December 2001. For weapons, we also queried the National Crime Information Center system in November 2001 to determine if the losses had been reported and if the weapons subsequently had been recovered. We also queried the National Tracing Center maintained by the Treasury Department's Bureau of Alcohol, Tobacco, and Firearms for further indications of weapon recoveries through subsequent law enforcement activity.

For laptop computers, our objective was to determine if the loss resulted in the compromise of classified or sensitive information, which if divulged could lead to public harm. However, we were unable to perform this test for laptop computers. The DEA was still performing a reconciliation

of FAS data following the conversion of data from the M-204 system and we could not obtain a perpetual list of lost, missing, or stolen laptop computers. The DEA has since informed us that the reconciliation is complete and that 229 laptop computers are unaccounted for.

In addition to the testing detailed above, our work included: (1) reviews of applicable laws, policies, regulations, manuals, and memoranda; (2) interviews of appropriate personnel; (3) tests of management controls; (4) reviews of property and accounting records, with an emphasis on activity since October 1, 1999; and (5) physical inspections of property. Tests of management controls were performed in the following areas as they pertained to weapons and laptop computers:

- purchasing and recording in the official property database;
- receipt and assignment, including pooled property, specialized equipment, and the return of items from separated employees;
- physical inventories, including separation of duties; and
- disposals, including excessed property.

We tested controls through a judgmental sample from the 15,000 weapons and 6,000 laptop computers reported in the FAS, TEIS, and Weapons Database as of November 15, 2001. In total, we reviewed 392 items – 208 weapons and 184 laptop computers. The universe from which these samples were taken, by location, is detailed in Appendix IV, Table 1. Our test included sampling:

- weapons and laptop computers purchased between October 1, 1999 and November 15, 2001, as recorded in purchase documents, to ensure that the items were recorded in FAS and the Weapons Database;
- weapons and laptop computers not assigned to specific individuals (pooled property) to ensure that the property was accounted for and the records reflected the correct status;
- weapons and laptop computers found during an on-site walk-through inventory at each DEA location reviewed to ensure that the item was accurately reflected in the FAS and the Weapons Database; and
- DEA personnel and requesting they provide all weapons and laptop computers assigned to them to ensure the items were accounted for and the property records were complete (staff testing).

The samples described above are delineated by test, property type, and location, in Appendix IV, Tables 2 through 4. We also reviewed the documentation related to personnel separations between October 1, 1999, and November 15, 2001, to determine if all weapons and laptop computers were returned. Moreover, we reviewed disposal actions initiated between October 1, 1999 and November 15, 2001 to ensure these actions were adequately supported.

APPENDIX II

CIRCUMSTANCES OF WEAPON LOSSES

NUMBER	REPORT DATE	LOCATION	BRIEF DEA DESCRIPTION OF CIRCUMSTANCES OF LOSS ¹
WEAPONS			
1	9/16/00	Miami Field Division	Unauthorized use of Official Government Vehicle – agent used the vehicle to go to the movies; while at the movies, the vehicle was stolen with the weapon inside. Disciplinary Action: 30 day suspension
2	9/29/00	Los Angeles Field Division	Weapon was stored in an unattended personally owned vehicle, which was stolen. Disciplinary Action: 1 day suspension
3	12/15/00	Los Angeles Field Division	Agent’s residence was burglarized and weapon was stolen from secure location. Disciplinary Action: None
4	10/29/99	Lima, Peru Country Office	Agent was distracted by another individual in a hotel lobby; another individual stole the agent’s carrying pack. Disciplinary Action: None
5	11/24/99	Seattle Field Division	Agent’s home was burglarized and weapon and personally owned handgun were stolen. Disciplinary Action: None
6	10/05/99	Washington Field Division	Weapon was lost or stolen while shooting at a private shooting facility. Disciplinary Action: 1 day suspension
7	02/10/00	Los Angeles Field Division	Weapon was stolen from agent’s residence while family was away on vacation. Disciplinary Action: None
8	1/21/00	Atlanta Field Division	Weapon was discovered missing during the FY 1999 physical inventory; the weapon was listed as unaccounted for in the inventory. Firearms records reflect the weapon was assigned to an agent who had resigned. The agent stated that he returned the weapon. Disciplinary Action: None

¹ Descriptions are paraphrased from loss reports and/or Board of Professional Conduct documents.

NUMBER	REPORT DATE	LOCATION	BRIEF DEA DESCRIPTION OF CIRCUMSTANCES OF LOSS ¹
9	04/01/00	Caribbean Field Division	Agent's purse containing the weapon was stolen while taking son to the restroom during a school function. Disciplinary Action: 1 day suspension
10	02/16/00	Los Angeles Field Division	Agent's residence was burglarized and personally owned weapon was stolen. Disciplinary Action: None
11	01/13/00	Houston Field Division	Agent left weapon in a police department's gym. Disciplinary Action: 2 days suspension
12	09/11/00	Phoenix Field Division	Agent left weapon on rear bumper of his official government vehicle after leaving the scene of a search. Agent drove from area and discovered weapon was missing. Disciplinary Action: 2 days suspension
13	01/10/01	Phoenix Field Division	Agent's left weapon in official government vehicle; the vehicle was stolen. Disciplinary Action: 1 day suspension
14	02/20/01	Phoenix Field Division	Weapon was stolen from agent at restaurant; weapon was in purse that agent had placed on the floor. Disciplinary Action: Caution
15	05/28/01	DEA Headquarters	Agent left weapon inside in personally owned vehicle in a hotel parking garage; vehicle was burglarized and weapon was stolen. Disciplinary Action: 1 day suspension
16	07/20/00	Atlanta Field Division	Weapon was stolen from kitchen table at agent's residence. Disciplinary Action: Caution

APPENDIX III

ANALYSIS OF LOST, MISSING, AND STOLEN WEAPONS

WEAPONS								
NUMBER	LOSS TYPE	DAYS BETWEEN LOSS AND REPORT ²	DEA-29 TIMELY	REPORTED TO NCIC	DAYS ELAPSED BEFORE NCIC ENTRY ³	REVIEWED BY BOARD OF PROFESSIONAL CONDUCT	DAYS ELAPSED BEFORE BOARD'S DECISION	REPORTED TO DOJ ⁴
1	S	0	YES	YES	0	YES	249	CND
2	S	1	YES	YES	41	YES	161	CND
3	S	32	NO	YES	1	YES	192	CND
4	S	7	NO	YES	7	YES	62	CND
5	S	2	YES	YES	1	YES	97	CND
6	M	13	NO	YES	1	YES	175	CND
7	S	1	NO	YES	3	YES	95	CND
8	M	CND	CND	NO	N/A	CND	CND	CND
9	S	3	NO	NO	N/A	YES	142	CND
10	S	19	NO	YES	26	YES	184	CND
11	L	12	NO	YES	7	YES	431	CND
12	L	91	NO	YES	92	YES	98	CND
13	S	26	NO	YES	0	YES	61	YES
14	S	13	NO	NO	N/A	YES	101	CND
15	S	1	YES	YES	1	YES	70	CND
16	S	4	NO	YES	6	YES	186	CND

Legend: L = Lost, M = Missing, and S = Stolen

² Timeliness was based on the 48-hour reporting requirement. In some cases, the DEA-29s or other loss documents lacked sufficient information with which to calculate the time elapsed or determine timeliness. These are denoted "could not determine" (CND).

³ A total of three weapons were reported as having no record in NCIC; these are denoted as N/A.

⁴ The DEA's semiannual Department Theft Reports, which would have included all weapons except weapon 14, were not provided by DEA; these are denoted as CND.

APPENDIX IV

**PROPERTY UNIVERSES AND SAMPLES
BY TEST, TYPE, AND LOCATION**

**TABLE 1. UNIVERSE OF ALL PROPERTY ASSIGNED TO LOCATIONS
AUDITED (PER FAS & Weapons Database 11/15/01)**

	DEA HQ	QUANTICO	ATLANTA FIELD DIVISION	BOSTON FIELD DIVISION	SAN DIEGO FIELD DIVISION	TOTALS
WEAPONS	231	4,887	171	348	357	5,994
LAPTOP COMPUTERS	1174	446	53	82	99	1,854
TOTALS	1405	5,333	224	430	456	7,848

TABLE 2. SUMMARY OF ALL ITEMS REVIEWED

		DEA HQ	QUANTICO	ATLANTA FIELD DIVISION	BOSTON FIELD DIVISION	SAN DIEGO FIELD DIVISION	TOTALS
PURCHASE DOCUMENTS	WEAPONS	0	60	0	0	0	60
	LAPTOPS	25	26	4	5	14	74
	<i>SUBTOTAL</i>	25	86	4	5	14	134
PHYSICAL INSPECTION	WEAPONS	18	36	28	28	38	148
	LAPTOPS	28	27	17	17	21	110
	<i>SUBTOTAL</i>	46	63	45	45	59	258
TOTALS		71	149	49	50	73	392

TABLE 3. DETAIL OF WEAPONS PHYSICALLY INSPECTED

	DEA HQ	QUANTICO	ATLANTA FIELD DIVISION	BOSTON FIELD DIVISION	SAN DIEGO FIELD DIVISION	TOTALS
WALK- THROUGH	10	10	10	10	10	50
STAFF TESTING	8	16	8	8	18	58
POOLED INVENTORY	0	10	10	10	10	40
TOTALS	18	36	28	28	38	148

TABLE 4. DETAIL OF LAPTOP COMPUTERS PHYSICALLY INSPECTED

	DEA HQ	QUANTICO	ATLANTA FIELD DIVISION	BOSTON FIELD DIVISION	SAN DIEGO FIELD DIVISION	TOTALS
WALK- THROUGH	10	12	10	10	10	52
STAFF TESTING	8	5	7	7	11	38
POOLED INVENTORY	10	10	0	0	0	20
TOTALS	28	27	17	17	21	110

SAMPLE DEA-29

U.S. Department of Justice
Drug Enforcement Administration

PERSONAL PROPERTY NEGLIGENCE/LIABILITY ASSESSMENT

PART I. To be completed and signed by employee. Upon completion, have supervisor sign. Forward Parts 1 through 6 to SAC, CA, or Headquarters Office Head, as appropriate. Retain Part 7 for your record.

DIVISION AND OFFICE NAME		EMPLOYEE'S NAME	
EMPLOYEE'S TITLE		SOCIAL SECURITY NUMBER	
PROPERTY CATEGORY (CHECK) <input type="checkbox"/> OFFICIAL GOVT. VEHICLE (OGV) <input type="checkbox"/> BADGE/CREDENTIAL/BUILDING PASS <input type="checkbox"/> WEAPON <input type="checkbox"/> TECHNICAL EQUIPMENT <input type="checkbox"/> COMMUNICATIONS EQUIPMENT <input type="checkbox"/> ADMIN. FURN./EQUIPMENT <input type="checkbox"/> PROTECTIVE EQUIPMENT <input type="checkbox"/> OTHER (EXPLAIN BELOW)	PROPERTY WAS (CHECK) <input type="checkbox"/> DEA OWNED <input type="checkbox"/> RENTED <input type="checkbox"/> BORROWED <input type="checkbox"/> LEASED <input type="checkbox"/> SEIZED (NOT FORFEITED) <input type="checkbox"/> FORFEITED	INCIDENT REPORTED TO POLICE <input type="checkbox"/> YES <input type="checkbox"/> NO POLICE REPORT ATTACHED <input type="checkbox"/> YES <input type="checkbox"/> NO NCIC ENTRY <input type="checkbox"/> YES <input type="checkbox"/> NO NCIC NO. _____	PROPERTY WAS (CHECK) <input type="checkbox"/> LOST <input type="checkbox"/> STOLEN <input type="checkbox"/> DESTROYED <input type="checkbox"/> SHORT ON INVENTORY <input type="checkbox"/> DAMAGED <input type="checkbox"/> OTHER (EXPLAIN BELOW) ON (DATE): _____

PROVIDE COMPLETE ITEM DESCRIPTION/NOMENCLATURE (INCLUDE DEA SERIAL NO., ETC.)

EMPLOYEE'S STATEMENT/COMMENTS (ATTACH REQUIRED REPORTS, INCLUDING DEA-4, IF APPROPRIATE.) IF MORE SPACE IS NEEDED, CONTINUE ON PLAIN PAPER AND ATTACH APPROPRIATE NUMBER OF COPIES.

EMPLOYEE'S NAME (TYPED)	SIGNATURE	DATE
SUPERVISOR'S NAME (TYPED)	SIGNATURE	DATE

PART II. To be completed by Investigator and appropriate official. Forward Parts 1 through 5 to Board of Professional Conduct (BC). Retain Part 6 for property record.

RESULTS OF INVESTIGATION (INCLUDE ACQUISITION COST AND DATE)

INVESTIGATOR'S NAME AND TITLE (TYPED)	SIGNATURE	DATE
REVIEWED BY: SAC/CA/HQ. OFFICE HEAD (TYPED NAME)	SIGNATURE	DATE

FOR BC USE ONLY

BC NO. _____ DEPRECIATED VALUE \$ _____
 NUMBER OF PRIOR LOSSES DOCUMENTED BY PS _____ DATE: _____

SAMPLE DEA-17

★ US GOVERNMENT PRINTING OFFICE: 2000-521-374

U.S. DEPARTMENT OF JUSTICE - DRUG ENFORCEMENT ADMINISTRATION				
FIREARMS CONTROL RECORD				
MANUFACTURER	MODEL	CALIBER	WEAPON TYPE	SERIAL NUMBER
CUSTODIAN'S NAME: <i>(Last, First, Middle Initial) or OFFICE USE</i>		CUSTODIAN'S OFFICE	CUSTODIAN'S COST CENTER	
CUSTODIAN'S SIGNATURE		CUSTODIAN'S SSN	DATE	
WEAPON PREVIOUSLY ISSUED TO			PREVIOUS CUSTODIAN'S OFFICE	
INSTRUCTIONS:				
<ul style="list-style-type: none"> ▶ This form must be completed in its entirety whenever a DEA owned weapon changes custodians. If the custodian has not changed, only the top 3 lines need to be completed. ▶ All entries should be made in ink. Rubber signature stamps are prohibited. ▶ Weapon serial numbers should be copied from the frame and must include any prefixes and suffixes. ▶ Primary firearms instructors should submit the original to the Office of Training, Firearms Training Unit. A copy should be maintained in the division where the firearm is located. A copy should be provided to the agent to whom the weapon is assigned, if applicable. ▶ Refer to Agent's Manual, Section 6122 for additional information. 				
PROPERTY CUSTODIAL ASSISTANT (Type or print name)		SIGNATURE OF PROPERTY CUSTODIAL ASSISTANT		DATE

FORM DEA-17 (5-00)

Electronic Form Designed in JetForm 5.2 Version

APPENDIX VII

SAMPLE DEA-16

INSTRUCTIONS FOR COMPLETING THE DEA FORM 16, RECEIPT FOR PROPERTY

1. Date - that the newly purchased or acquired property was received into the agency.
2. Receiving Location - DEA office designator, of the office receiving the property, (SAFP, SI, NY Division, etc.).
3. Receiving Document # - Purchase Order or other document number authorizing the acquisition of the property. (New, forfeited, etc.).
4. Receiving Cost Center - Official DEA cost center assigned to the program or operation receiving the property.
5. Transferring Cost Center - Official DEA cost center assigned to the program or operation transferring the property.
6. Accounting Classification No. - Funding citation issued authorizing the purchase of the property.
7. Description - Brief line item narrative describing the property (i.e., Safe, Mosler, Grey, 4-drawer).
8. Serial Number - Manufacturer's serial number on the item.
9. DEA Number - Unique DEA identification number assigned to a specific piece of property.
10. Acquisition Cost - Itemized purchase price of the property.
11. Date Issued - Date the item was assigned to a physical custodian.
12. Physical Custodian - Signature and Room No. of the person who has physical custody of the item.
13. Property Custodial Assistant - Typed or printed name, signature and date of person designated as having administrative responsibility for the control of the property within the receiving cost center.

EXAMPLE

DESCRIPTION	SERIAL NUMBER	DEA NUMBER	ACQUISITION COST	DATE ISSUED	PHYSICAL CUSTODIAN (Signature & Room No.)
Safe, Mosler, Grey, 4-drawers	12345678910ABCDEF	152186	\$ 2,183.00	11/30/93	
Typewriter, IBM Electronic Selectric Composer	8764321ZAB	123789	\$ 753.00	07/15/95	

DEA Form 16 (9/95)

Previous edition dated 7/73 is usable until stock is exhausted.

U.S. Department of Justice
Drug Enforcement Administration

RECEIPT FOR PROPERTY

DATE (Acquired/Received)		Receiving LOCATION		RECEIVING DOCUMENT #	
Receiving COST CENTER		Transferring COST CENTER		ACCOUNTING CLASSIFICATION No.	
DESCRIPTION	SERIAL NUMBER	DEA NUMBER	ACQUISITION COST	DATE ISSUED	PHYSICAL CUSTODIAN (Signature & Room No.)
Property Custodial Assistant (type or print name)		Signature of Property Custodial Assistant			Date

DEA - 16 (9/95)

Previous edition dated 7/73 is usable until stock is exhausted.

SAMPLE DEA-12

RECEIPT FOR CASH OR OTHER ITEMS		
TO: (Name, Title, Address (including ZIP CODE), if applicable)	FILE NO.	G-DEP IDENTIFIER
	FILE TITLE	
	DATE	

DIVISION/DISTRICT OFFICE

I hereby acknowledge receipt of the following described cash or other item(s), which was given into my custody by the above named individual.

AMOUNT or QUANTITY	DESCRIPTION OF ITEM(S)	PURPOSE (if Applicable)

RECEIVED BY (Signature)	NAME AND TITLE (Print or Type)
WITNESSED BY (Signature)	NAME AND TITLE (Print or Type)

SAMPLE DEA-171a

U.S. DEPARTMENT OF JUSTICE - DRUG ENFORCEMENT ADMINISTRATION
EMPLOYEE CLEARANCE RECORD
(READ Instructions BEFORE COMPLETING.)

NAME OF EMPLOYEE (Last, First, MI)	POSITION (Title, Series, Grade)	EMPLOYEE'S OFFICE & DUTY STATION
FORWARDING ADDRESS (No., Street, Apt. No., City, State, Zip Code)	EFFECTIVE DATE OF SEPARATION OR TRANSFER	NEXT DUTY STATION
TYPE OF ACTION DO ONE: <input type="checkbox"/> Resignation <input type="checkbox"/> Retirement <input type="checkbox"/> Transfer <input type="checkbox"/> Other (Specify)		

SECURITY ACTIVITY	SIGNATURE and TITLE of Individual Verifying Status of funds, Receiving Property & Initiating Debriefing	DATE
1. Badges, Credentials		
2. Confidential/Secret (Debrief upon Transfer or Separation) SF-312		
3. Cryptographic (Debrief upon Transfer or Separation) DEA-58		
4. Sensitive Compartment Information (Debrief upon Transfer or Separation) 4365		
5. Defense H204 Access (Upon Transfer or Separation/Leave ID Removed)		
6. Merfins Access (Password/Leave ID Removed)		
7. Building Identification Pass/Keys (DEA/FB)		
8. Weapons		
9. Security Keys (Upon Transfer or Separation)		
10. Change Combination Locks		
11. Classified Documents (Turn-in upon Transfer or Separation)		
DEA INVESTIGATIVE FILES		
1. DEA Investigative Files		
2. Investigative/Technical Equipment (Pagers, cell phones, etc.)		
3. Financial Disclosure Report - SF-278		
4. Credit Cards - Telephone		
5. Credit Cards - Gasoline		
6. Medical Records		
7. Passport, Official and/or Diplomatic		
8. DEA Parking Permit		
9. Library Materials/Books		
FINANCIAL		
1. Income Funds		
2. Credit Cards (Travel)		
3. Travel Advance		
GOVERNMENT TRANSPORTATION REQUEST - SF-1189		
1. Government Transportation Request - SF-1189		
2. Credit Card - Purchase		
3. Contracting Authority/Warrant (Rescind upon Transfer or Separation)		
PERSONAL PROPERTY		
1. Firearm Account/Firearm E-Mail (Password/Leave ID Removed)		
2. Personal Custody Property		
3. Access Keys		
4. Obligated Services (Training, PCS, etc.)		
5. Advanced Annual Leave, No. of Hours:		
6. Advanced Sick Leave, No. of Hours:		
REMARKS		

CERTIFICATION OF EMPLOYEE: I certify that I am familiar with and have received a copy of DOJ's fact sheet, "The Ethics in Government Act of 1978 and the Department's Standards of Conduct Regulations." I am aware of Title 18, United States Code "Crime and Criminal Procedure" which prescribes penalties for unauthorized disclosure of information relating to the national defense, and I have returned all classified documents and materials to the proper authority. I will not communicate or transmit classified information to any unauthorized person or agency. I have no other Government property, correspondence or records, and have turned in all outstanding fiscal accounts and money. I am not indebted to the U.S. Government regarding my employment with DEA.

EMPLOYEE SIGNATURE _____ DATE _____

CLEARANCE OFFICIAL CERTIFICATION (X one)

____ I certify that all required clearances have been obtained for the above-named employee and that his/her final salary and lump sum checks may be released.

____ I certify that all required clearances have not been obtained for the above-named employee. This matter has been referred to the appropriate finance office for recovery action pursuant to 5 U.S. C. 5512 as amended.

CLEARANCE OFFICIAL SIGNATURE _____ DATE _____

TITLE _____ OFFICE _____

FORM DEA-171a (3-2000) Previous editions are obsolete Electronic Forms Version Designed In JetForm 5.2 Version