



U.S. Department of the Interior
Office of Inspector General

AUDIT REPORT

**AUTOMATED LAW ENFORCEMENT SYSTEM,
NATIONAL PARK SERVICE**

**REPORT NO. 97-I-908
JUNE 1997**



United States Department of the Interior

OFFICE OF INSPECTOR GENERAL
Washington, D.C. 20240

JUN 23 1997

MEMORANDUM

TO: The Secretary

FROM: **Wilma A. Lewis**
Inspector General

SUBJECT SUMMARY: Final **Audit** Report for Your Information - "Automated Law Enforcement System, National Park Service" (No. 97-I-908)

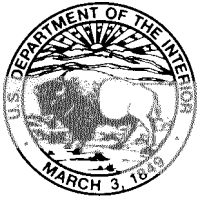
Attached for your information is a copy of the subject final audit report. The objectives of the audit were to: (1) determine whether the National Park Service's automated law enforcement system, the Case Incident Reporting System (**CIRS**), met the law enforcement reporting requirements of the Federal Bureau of Investigation and (2) provide information to the Park Service that would assist it in implementing **CIRS** effectively.

We found that **CIRS** is capable of meeting the law enforcement requirements of the Federal Bureau of Investigation and the operating needs of the Park Service. However, the Park Service needs to enhance documentation, access, and procedural controls over **CIRS** to ensure that **CIRS**, when it is **fully** implemented, operates effectively in the event of personnel changes, system failures, or disasters. To correct these deficiencies, we recommended that the Park Service: (1) establish written policies for **CIRS**; (2) develop a process to collect data from remote locations for input into **CIRS**; (3) ensure that adequate numbers of personnel are assigned to collect data; (4) ensure that user passwords are securely stored; and (5) ensure that **CIRS** users have the required security clearances.

The Park Service's Audit Liaison Officer provided informal comments to our draft report and said that, because the response was past due, we should consider these comments to represent the Park Service's response. We requested that the Director, National Park Service, provide a formal written response to this report. As a result, we considered the five recommendations unresolved.

If you have any questions concerning this matter, please contact me at (202) 208-5745 or Mr. Robert J. Williams, Assistant Inspector General for Audits, at (202) 208-4252.

Attachment



United States Department of the Interior

OFFICE OF INSPECTOR GENERAL
Washington, D.C. 20240

JUN 23 1997

AUDIT REPORT

Memorandum

To: Assistant Secretary for Fish and Wildlife and Parks

From: *for* Robert J. Williams *Roger La Roche*
Assistant Inspector General for Audits

Subject: Audit Report on the Automated Law Enforcement System, National Park Service
(No. 97-I-908)

INTRODUCTION

This report presents the results of our audit of the National Park Service's automated law enforcement system, the Case Incident Reporting System (CIRS). Our audit was conducted as part of our review of the Department of the Interior's automated law enforcement systems. The audit objectives were to: (1) determine whether CIRS met the law enforcement reporting requirements of the Federal Bureau of Investigation and (2) provide information to the Park Service that would assist it in implementing CIRS effectively.

BACKGROUND

The Park Service's Associate Director for Park Operations and Education, through the Ranger Activities Division and the U.S. Park Police, is responsible for ensuring safe and secure park environments. Park Service Rangers, under the guidance of the Ranger Activities Division, perform law enforcement and resource protection activities, including drug enforcement, traffic control, watercraft- and aircraft-supported enforcement activities, criminal investigations, and wildlife enforcement activities. The Park Police, an urban-oriented law enforcement organization within the Park Service, performs a full range of law enforcement functions at sites in the metropolitan areas of Washington, D. C.; New York, New York; and San Francisco, California. The Park Police's responsibilities include visitor and facility protection, emergency services, criminal investigations, special security and protection duties, enforcement of drug and vice laws, and traffic and crowd control.

Under the Uniform Federal Crime Reporting Act of 1988 (Public Law 100-690), which became effective on January 1, 1989, the Congress mandated that all Federal agencies with law enforcement responsibility report crime statistics. In response to the Act, the Federal Bureau of Investigation requires that crime statistics be reported in a uniform computerized format to its automated system, the National Incident Based Reporting System (NIBRS). The NIBRS program, which also became effective on January 1, 1989, and is defined in Volumes I-III of the “Uniform Crime Reporting, National Incident-Based Reporting System” and in the “Supplemental Guidelines for Federal Participation,” requires Federal agencies to submit, on a monthly basis, information on 22 offense categories for each crime investigated (the offense categories are in Appendix 1). The information to be reported includes the following: location of the crime; race, sex, and age of the offenders; information about the victims and property involved in the crime; and information on arrests, such as arrest date and type of apprehension. At the time of our review, the Department was reporting all criminal investigation data under the Uniform Crime Reporting Program instead of NIBRS. The Program, which was the predecessor to NIBRS, requires summary information to be submitted monthly to the Federal Bureau of Investigation on the number of crimes investigated for only eight offense categories (see Appendix 1).

In 1989, the Park Service’s Information and Data Systems Division, with guidance from the Ranger Activities Division, began developing CIRS. The Park Service, in its plans for developing and implementing CIRS, stated that CIRS would satisfy the Federal Bureau of Investigation’s mandated criminal reporting requirements; tremendously facilitate the data collection for monthly, quarterly, and annual reports for a variety of disciplines; simplify the collection of management data from accident reports, incident reports, search and rescue data, and emergency medical services data; and standardize offense/incident coding throughout the Park Service, thereby improving the accuracy of statistical reports. The Park Police in Washington, D. C., had a different system, which it has operated since 1984. The Washington, D. C., Park Police will continue operating its system and transfer its NIBRS-related data from its system to CIRS. The Park Service began to implement CIRS at park units in January 1995, and by January 1997, almost 90 percent of the park units were using CIRS.

SCOPE OF AUDIT

To accomplish our audit objectives, we reviewed the general and application controls and system operations that had been implemented with CIRS. We also reviewed system documentation, conducted interviews with the program manager and the Section Chief for Programs, conducted site visits, and contacted system users at the sites listed in Appendix 2. Since CIRS was intended to meet the Park Service’s NIBRS reporting requirements, we did not review the law enforcement system of the Washington, D. C., Park Police, which will transfer NIBRS-related data to CIRS.

Our audit was conducted in accordance with the “Government Auditing Standards,” issued by the Comptroller General of the United States. Accordingly, we included such tests of records and other auditing procedures that were considered necessary under the

circumstances. As part of our review, we evaluated the system of internal controls to the extent that we considered necessary. The internal control weaknesses that we found are discussed in the Results of Audit section of this report. If implemented, our recommendations should improve the internal controls.

We also reviewed the Department of the Interior's Annual Statement and Report, which is required by the Federal Managers' Financial Integrity Act, for fiscal years 1994 and 1995 and determined that none of the reported weaknesses were directly related to the objectives and scope of this audit.

PRIOR AUDIT COVERAGE

During the past 5 years, neither the General Accounting Office nor the Office of Inspector General has issued any reports related to the scope of this review. However, in June 1989, the Office of Inspector General issued the report "Law Enforcement Activities, National Park Service" (No. 89-83), which stated that the Park Service had not planned, supervised, or controlled investigative activities in accordance with the Departmental Manual. To address the deficiencies noted in the report, we recommended that the Director, National Park Service, in coordination with the Assistant Secretary for Policy, Budget and Administration (now the Assistant Secretary for Policy, Management and Budget), establish a management information system to track and provide uniform reports on cases and productivity. Based on the Park Service's response, we considered the recommendation resolved, and the development of CIRS implements the recommendation.

RESULTS OF AUDIT

We concluded that the National Park Service's Case Incident Reporting System (CIRS) is capable of meeting the law enforcement reporting requirements of the Federal Bureau of Investigation and functioning as an incident reporting system. The Park Service included, in CIRS, internal controls such as edits to ensure that cases were reviewed and approved before being reported and to prevent duplicate cases from being maintained.

However, we found weaknesses in the Park Service's general controls over CIRS. In that regard, the Park Service needs to enhance documentation, access, and procedural controls to ensure that CIRS, when it is fully implemented, operates effectively in the event of personnel changes, system failures, or disasters. These weaknesses areas follows:

- The Park Service did not have written policies in the areas of a system user manual that describes data input or modification procedures; data backup or archival requirements such as storage and time frames; hardware and software security; descriptions of system processes; and specific data submission procedures.

- Park Service officials said that the Park Service intends to rely on park unit employees to transmit electronically incident data to the Park Service's central CIRS computer in Atlanta, Georgia, rather than having CIRS retrieve data automatically from remote locations.

Thus, there is little assurance that the Park Service will be collecting and reporting all law enforcement data from all of the park units.

- Only one Park Service employee was responsible for collecting all of the data from park unit employees and reporting monthly and annually to NIBRS, Park Service managers, and non-Park Service activities such as the Congress. Thus, if the one employee is unavailable or leaves the Park Service, the Park Service has little assurance that NIBRS data will be collected and reported accurately and timely.

- The Park Service established passwords for CIRS users to restrict access to CIRS data; however, the passwords were stored in an easily accessed database file. As a result, sensitive law enforcement data were at risk of unauthorized access.

- Because CIRS data are sensitive and are subject to the Privacy Act, users are required by the Departmental Manual (446 DM 14.4C) and the Park Service Manual (NPS 9) to have security clearances. However, at the one park unit we visited, CIRS users who were seasonal employees had not received the appropriate security clearances until after their appointments had expired. As such, there was a risk for unauthorized access to sensitive data.

Recommendations

We recommend that the Director, National Park Service, ensure that:

1. Written policies are established for CIRS, including a system user manual and requirements for security, data backup and archival, data maintenance, system processes, and data submission.

2. A process is developed that automatically collects all park unit data into the Park Service's central CIRS computer.

3. At least one alternate employee is designated within the Ranger Activities Division to collect and distribute Park Service law enforcement data.

4. Controls are established so that passwords of CIRS users cannot be stored in alternate databases and cannot be accessed.

5. CIRS users have the required security clearances before they access CIRS data.

National Park Service Response and Office of Inspector General Comments

We requested that the National Park Service provide, in accordance with the Departmental Manual (360 DM 5.3), written comments to the draft report by March 24, 1997. Since comments were not received by the due date, we informed the Park Service on April 11, 1997, that the response was overdue. On April 16, 1997, the Audit Liaison Officer sent us

an electronic mail message that included separate comments to the draft report from three Park Service employees who were responsible for developing and implementing the Park Service's automated law enforcement system. The Audit Liaison Officer said that, because the response was past due, we should consider these comments to represent the Park Service's response. However, we request that the Park Service submit a formal written response on each of the audit recommendations, as required by the Departmental Manual (360 DM 5.3). Therefore, we are requesting that the Director, National Park Service, provide a written response to this report by July 30, 1997. The response should provide the information requested in Appendix 3.

The legislation, as amended, creating the Office of Inspector General requires semiannual reporting to the Congress on all audit reports issued, actions taken to implement audit recommendations, and identification of each significant recommendation on which corrective action has not been taken.

We appreciate the assistance of National Park Service personnel in the conduct of our audit.

REPORTABLE OFFENSE CATEGORIES

National Incident Based Reporting System

1. Homicide Offenses
 - Murder and nonnegligent manslaughter
 - Negligent manslaughter
 - Justifiable homicide
2. Sex Offenses, Forcible
 - Forcible rape
 - Forcible sodomy
 - Sexual assault with an object
 - Forcible fondling
3. Robbery
4. Assault Offenses
 - Aggravated assault
 - Simple assault
 - Intimidation
5. Burglary/Breaking and Entering
6. Larceny/Theft Offenses
 - Pocket-picking
 - Purse-snatching
 - Shoplifting
 - Then from building
 - Theft from coin-operated machine or device
 - Theft from motor vehicle
 - Theft of motor vehicle parts or accessories
 - All other larceny
7. Motor Vehicle Theft
8. Arson
9. Bribery
10. Counter feiting/Forgery
11. Destruction/Damage/Vandalism of Property
12. Drug/Narcotic Offenses
 - Drug/narcotic violations
 - Drug equipment violations
13. Embezzlement
14. Extortion/Blackmail
15. Fraud Offenses
 - False pretenses/swindle/confidence game
 - Credit card/automatic teller
 - Machine fraud
 - Impersonation
 - Welfare
 - Wire fraud
16. Gambling Offenses
 - Betting/wagering
 - Operating/promoting/assisting gambling
 - Gambling equipment violations
 - Sports tampering
17. Kidnaping/Abduction
18. Pornography/Obscene Material
19. Prostitution Offenses
 - Prostitution
 - Assisting or promoting prostitution
20. Sex Offenses, Nonforcible
 - Incest
 - Statutory rape
21. Stolen Property Offenses (receiving, etc.)
22. Weapon Law Offenses

Uniform Crime Reporting Program

1. Homicide
 - Murder and nonnegligent manslaughter
 - Manslaughter by negligence
2. Forcible Rape
 - Rape by force
 - Attempts to commit forcible rape
3. Robbery
 - Firearm
 - Knife or cutting instrument
 - Strong-arm, hands, fists, feet, etc.
 - Other dangerous weapons
4. Aggravated Assault
 - Firearm
 - Knife or cutting instrument
 - Other dangerous weapons
 - Hands, fist, feet, etc.
5. Burglary
 - Forcible entry
 - Unlawful entry
 - Attempted forcible entry
6. Larceny - Theft (except motor vehicle)
7. Motor Vehicle Theft
 - Autos
 - Trucks and buses
 - Other vehicles
8. Arson
 - Structural
 - Mobile
 - Other

SITES VISITED OR CONTACTED

Sites Visited	Location
Information and Data Systems Division	Washington, D.C.
National Park Police Headquarters	Washington, D.C.
Education and Visitor Services	
Atlantic Coast System Support Office	Atlanta, Georgia
Rocky Mountain National Park	
Dispatch Office	Estes Park, Colorado
Sites Contacted	Location
Canyonlands National Park*	Moab, Utah
Dinosaur National Monument*	Dinosaur, Colorado
Florissant Fossil Beds National Monument*	Florissant, Colorado
Glacier National Park*	West Glacier, Montana
Golden Gate National Recreation Area*	San Francisco, California
Grand Canyon National Park*	Grand Canyon, Arizona
Rocky Mountain National Park*	Estes Park, Colorado
Salinas Pueblo Missions National Monument*	Mountainair, New Mexico
Colorado Plateau and Rocky Mountain System Support Office	Denver, Colorado

*Employees were contacted during a 2-day CIRS training class held on March 24-25, 1996, in Denver, Colorado.

STATUS OF AUDIT REPORT RECOMMENDATIONS

<u>Finding/Recommendation Reference</u>	<u>Status</u>	<u>Action Required</u>
1,2,3,4, and5	Unresolved	Provide a response to the recommendations. If concurrence is indicated provide a plan identifying actions to be taken, including target dates and titles of officials responsible for implementation. If nonconcurrence is indicated, provide specific reasons for the nonconcurrence.

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