

Enterprise Background Screening Survey

Agency Name and Contact Information

This survey is being distributed to the Inspector General (IG) of each Agency/Department. The IG or delegate is responsible for completing and submitting this survey as accurately as possible. In most instances, in order to complete this survey, the IG office must consult and rely upon other organizational units, management, applicable staff or systems such as People First to obtain the information to complete the survey.

* Please ensure the entire survey is complete before clicking the "DONE" button at the end.

** IMPORTANT: As you progress in soliciting the information to complete this survey, ensure you keep the scope of the enterprise project in mind. The scope of the Enterprise Background Screening Project and this supporting survey is limited to those background screenings where the payment of the screening is the responsibility of the State of Florida. This includes full-time equivalent (FTE) employees, part-time employees, other personal services (OPS) employees, contracted employees, sub-contracted employees, interns, students and volunteers.

***1. Please provide the name of your IG or delegate for the purposes of this survey, the Agency/Department name for which you work and the IG office's contact information:**

Contact Name:	
Agency/Department Name:	
Address:	
City:	
ZIP:	
Email Address:	
Phone Number:	

IMPORTANT: Question #'s in this document may differ from those in the actual survey. Questions are numbered sequentially within the survey based upon answer selections and answer logic. In some instances, if an answer of "Yes" or "No" is provided you will skip a set of questions. Refer to the "Survey Logic" column within the "Survey Answer Options" document for guidance.

Position Classification and Screening Levels

These questions were designed to identify how positions are classified within your Agency/Department and what level of screening is applied to each position.

Section 110.1127, Florida Statute states "each agency shall designate those positions that, based on the position duties, require background screening. All persons and employees in such positions must undergo employment screening in accordance with chapter 435, using level 1 screening standards, as a condition of employment and continued employment. Each agency shall designate those positions that, because of the special trust or responsibility or sensitive location, require security background investigations. All persons and employees in such positions must undergo employment screening in accordance with chapter 435, using level 2 screening standards, including fingerprinting, as a condition of employment and continued employment."

Level 1 and Level 2 Background Checks are terms used in Florida Statutes to convey the method of the criminal history record check and the extent of the data searched. However, the terms may also refer to certain disqualifying offenses if certain statutes are referenced. Level 1 and Level 2 are terms that pertain only to Florida and are not used by the FBI or other states. They are defined in Chapter 435, Florida Statutes, but are used elsewhere in statute without definition and appear not to be associated with all provisions in Chapter 435.

Please use the definitions below for the purposes of completing this survey:

- Level 1 generally refers to a state only name based check and an employment history check.

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- Level 2 generally refers to a state and national fingerprint based check and consideration of disqualifying offenses, and applies to those employees designated by law as holding positions of responsibility or trust.

***2. Please refer to the statutory criteria provided above and enter the quantity of positions within your Agency/Department for each category below. Ensure all positions located statewide are accounted for within your response. Remember; only include positions for which state funds are used to pay for either Level 1 or Level 2 background screenings:**

Positions of "special trust" or "sensitive"	
Positions that are not "special trust" or "sensitive"	
Volunteer, Student and Intern positions of "special trust/sensitive" (non-state personnel)	
Volunteer, Student and Intern positions that are not "special trust/sensitive" (non-state personnel)	
Contractors and/or Sub-Contractors of "special trust" or "sensitive"	
Contractors and/or Sub-Contractors that are not "special trust" or "sensitive"	
Total Positions for the Agency/Department	

***3. Please refer to the statutory criteria provided above and enter the quantity of all positions within your Agency/Department that require either a state funded Level 1 or Level 2 background screening before or upon hire:**

Level 1 Background Screening	
Level 2 Background Screening	

Criminal History Exemptions

The purpose of these questions is to identify what authority your Agency/Department utilizes for the exemption from disqualification due to a criminal history investigation result.

Chapter 435.07, Florida Statutes, details the requirements for which an agency head may grant an employee, otherwise disqualified for employment, an exemption.

***4. Has your Agency/Department head granted an exemption from disqualification in the past year (July 1, 2012 - Current)?**

☐ Yes

☐ No

*If yes, how many?

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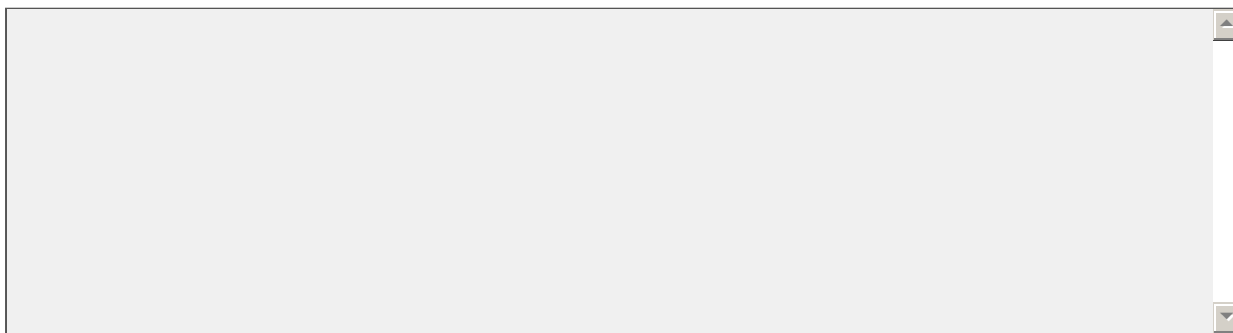
*** 5. Does your Agency/Department use Chapter 435 of the Florida Statutes as the authority when granting exemptions to disqualifying offenses returned through background screening of current and prospective employees, contractors, sub-contractors, interns, students and volunteers?**

☐ Yes

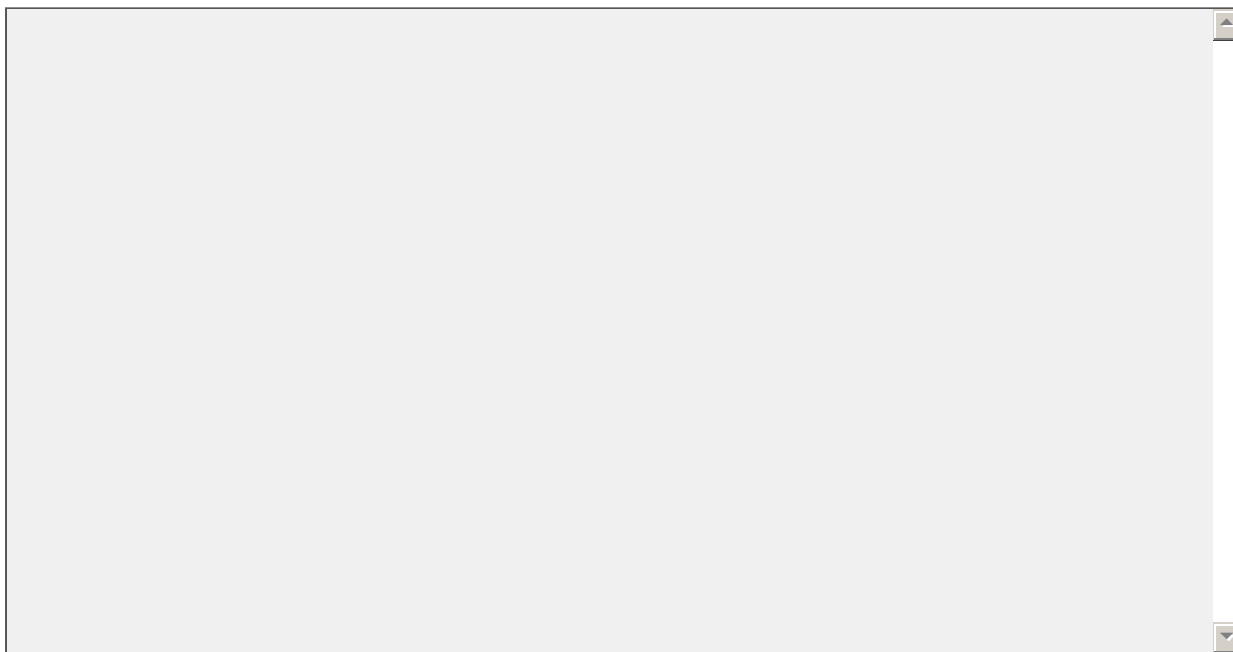
☐ No

Employee Exemptions Using Other Authority

6. What Rule or other authority does your Agency/Department use to grant exemptions to disqualifying offenses returned through background screening of current and prospective employees, contractors, sub-contractors, interns, students and volunteers?

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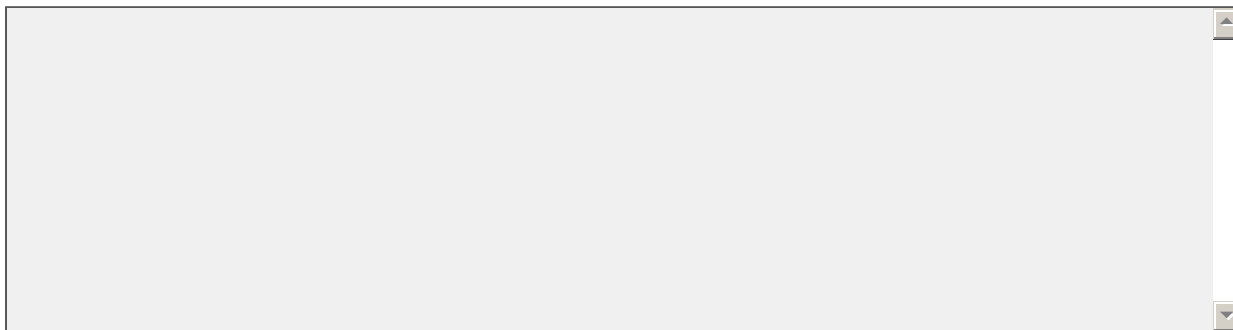
7. Please describe any concerns within your Agency/Department related to the act of granting exemptions for employment of individuals with disqualifying criminal offenses:

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Chapter 435, Florida Statutes, Employment Exemptions

8. Please describe any concerns within your Agency/Department related to Chapter 435 and the act of granting exemptions for employment of individuals with disqualifying criminal offenses:



Fingerprint Retention

Rule 11C-6.010(1), Florida Administrative Code states: "Upon official written request from an agency executive director, secretary, or designee, or from a qualified entity under Section 943.052, F.S., subject to the conditions specified in Section 943.05(2)(g), F.S., or as otherwise required by law, the Florida Department of Law Enforcement shall enter and retain in the Automated Fingerprint Identification System (AFIS) the applicant fingerprints submitted for state and national criminal history checks by such agencies or entities to participate in the Applicant Fingerprint Retention and Notification Program (AFRNP) for current and prospective employees, contractors, volunteers, and persons seeking to be licensed or certified."

***9. Is your agency required, by Federal, State, and/or other agency regulations, to retain fingerprint records at FDLE?**

- ☐ Yes, we are required to retain fingerprints for all positions
- ☐ Yes, we are required to retain fingerprints for some positions
- ☐ No, we are not required to retain fingerprints for any positions

***10. Does your Agency/Department retain fingerprint records at FDLE that are not required by Federal, State, and/or agency regulations?**

- ☐ Yes, we retain for all positions
- ☐ Yes, we retain for some positions
- ☐ No, we do not retain fingerprints for any positions

Background Screening Renewals (a.k.a. rescreening)

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***11. How often are your employees, contractors and volunteers rescreened/background screening renewed after being hired?**

State Employees Level 1 (non-sensitive positions)	
State Employees Level 2 (sensitive positions)	
Contractors Level 1 (non-sensitive positions)	
Contractors Level 2 (sensitive positions)	
Volunteers Level 1 (non-sensitive positions)	
Volunteers Level 2 (sensitive positions)	

12. If your Agency/Department has a grandfathering process or other unique process related to the handling of rescreening employee criminal histories, please provide an explanation in the comment field. For example, some positions hired before a certain date may not be subject to the same rescreening standards.

***13. Are all employees that require a Level 2 upon hire, screened again using the Level 2 fingerprint requirements?**

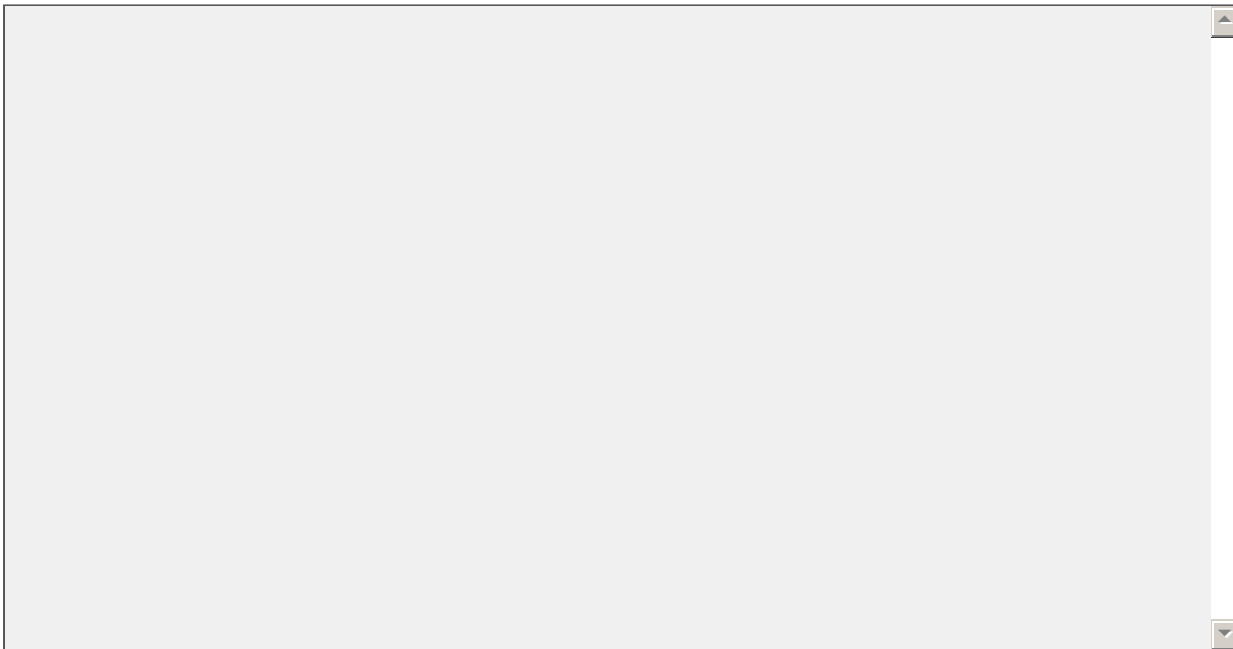
- ☐ Yes
- ☐ No we rescreen these employees using a Level 1 background screening
- ☐ We do not have any positions that require a Level 2 background screening
- ☐ No we do not rescreen

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***14. Are all employees that require a Level 1 upon hire, screened again using the Level 1 process without fingerprints?**

- ☐ Yes
- ☐ We do not have any positions that require a Level 1 background screening
- ☐ No we do not rescreen

***15. Please briefly describe your Agency/Department's background rescreening / renewal process:**



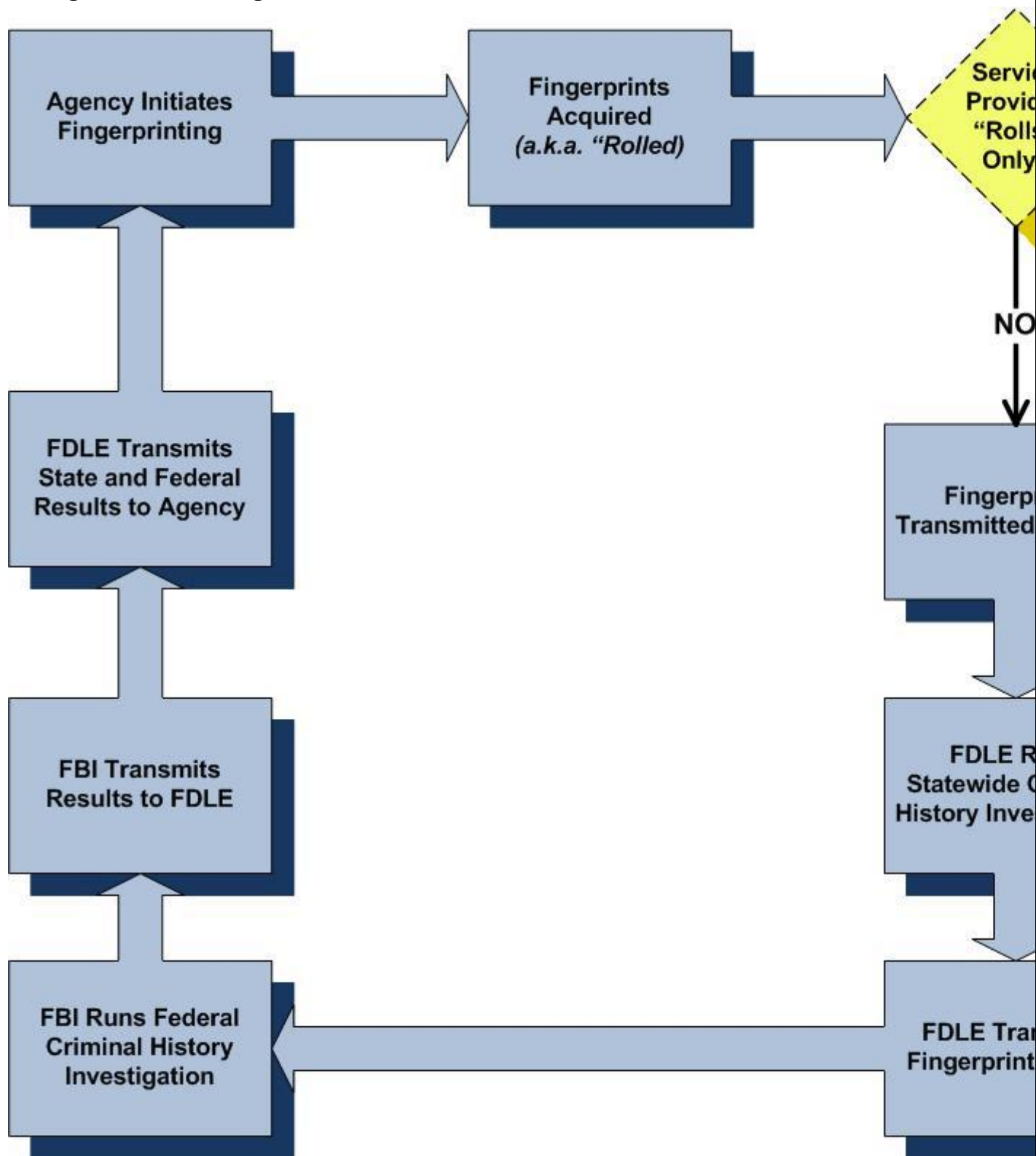
Method for Capturing Fingerprints

The Florida Department of Law Enforcement (FDLE), based upon changes made by the Federal Bureau of Investigation (FBI), requires all fingerprints to be submitted electronically. Livescan is the type of equipment utilized to electronically capture and transmit fingerprints to the Florida Department of Law Enforcement. Agencies may operate their own Livescan equipment, utilize service providers or any combination thereof.

The purpose of this section of the survey is to ascertain the details of the Livescan environment utilized within your Agency/Department. Primarily, to help us identify private service providers and their associated fees for rolling fingerprints and transmitting fingerprints to FDLE.

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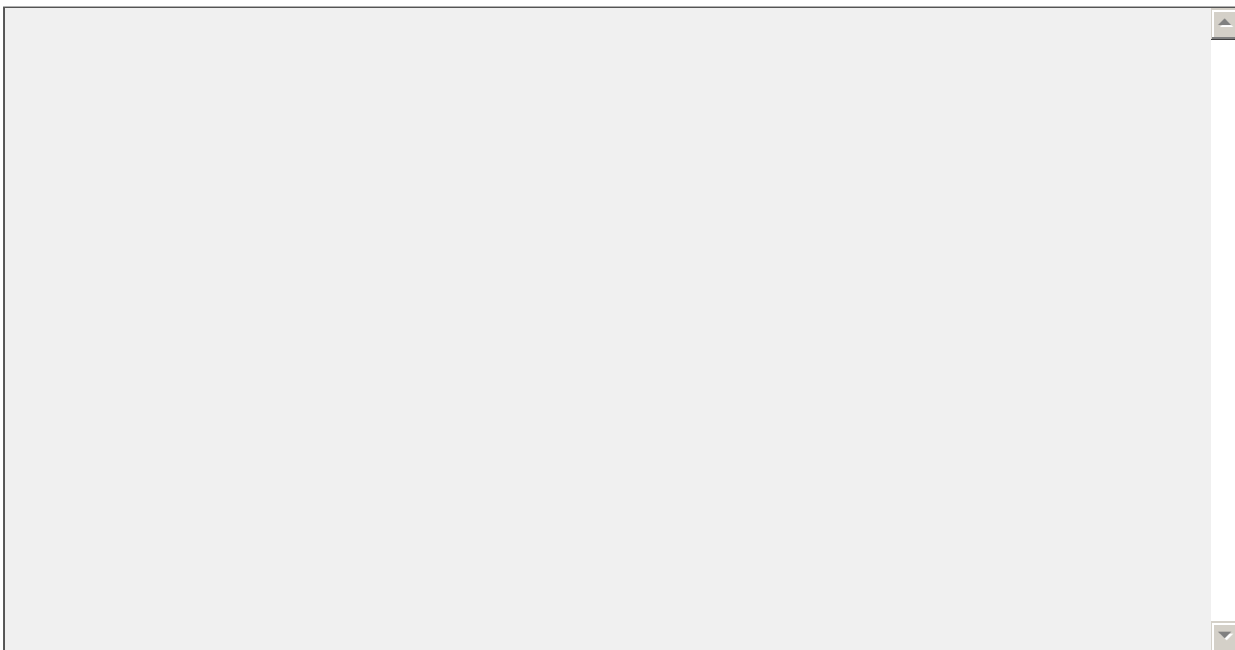
This flowchart illustrates the general Livescan background screening process for Level 2 background screenings:



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***16. Please list all private Livescan service providers used by your Agency/Department along with their total charge per fingerprinting roll/scan:**

- Separate each set of provider information with a semicolon.
- Designate charges for "rolled only or RO" and "rolled and transmitted or RT" as applicable for each service provider.
- Please use the following convention when entering data: XYZ Provider [8 RO] [65 RT]; ABC Provider [50 RT]; 123 Provider [15 RO]
- Enter "None", if your Agency/Department does not use private Livescan service providers for fingerprinting services.



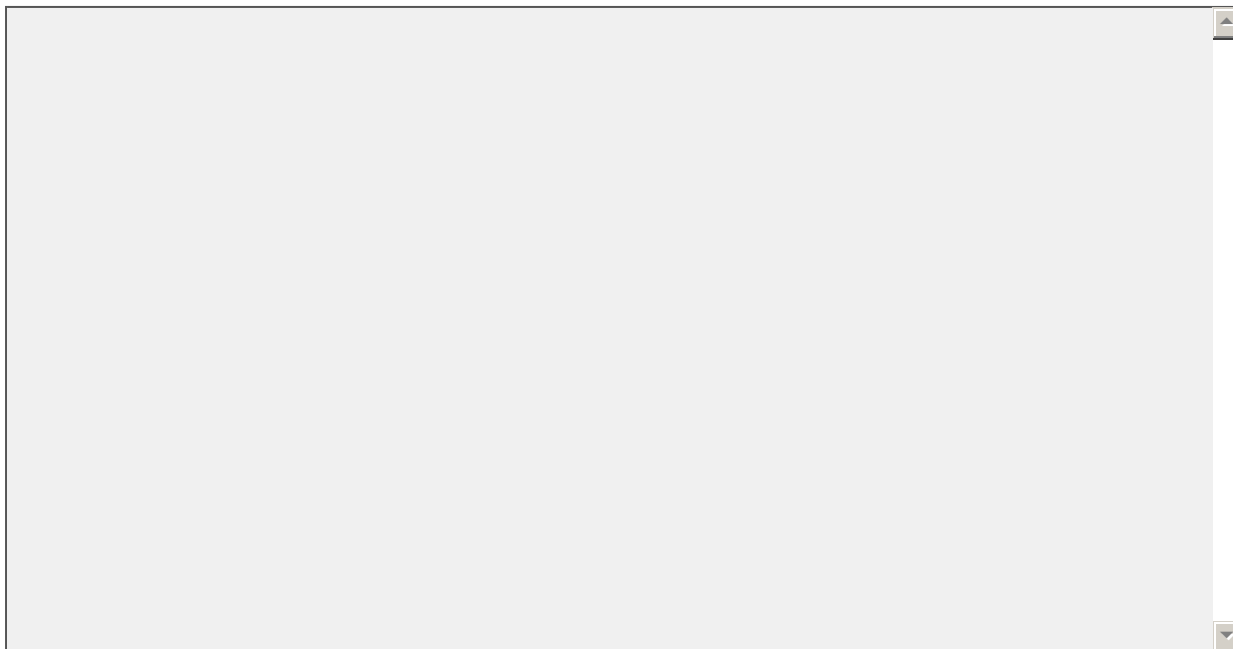
***17. Does your Agency/Department use fingerprint cards for any reason?**

- ☐ Yes, every time
- ☐ Yes, sometimes
- ☐ No

Fingerprint Card Utilization & Retention

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*18. Please explain why your Agency/Department uses fingerprint cards?



*19. Are hardcopies of fingerprint cards retained at your Agency/Department?

- ☐ Yes
- ☐ No

*If yes, please explain the reason for retaining the fingerprint cards:



*20. What is the average cost for fingerprint rolling only for your employees?

- ☐ \$1-5
- ☐ \$6-10
- ☐ \$11-15
- ☐ \$16-20
- ☐ No cost. We have qualified internal staff who perform fingerprinting at all locations.
- ☐ No cost. We use qualified external staff who perform fingerprinting at all locations free of charge.

Livescan Equipment Ownership and Operation

The detailed assessment below will allow the survey team to assess how many Livescan devices reside in the various county locations throughout the state as well as indicate how the equipment is currently utilized. It will also indicate what areas own Livescan equipment; utilize service providers or a combination of both.

Please work with the appropriate management and staff within your Agency/Department to accurately complete this

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assessment.

* We recognize not all State Agencies/Departments are organized by county. However, for consistency Florida counties were the best way to compartmentalize the data collected.

** Complete the assessment row for each county which your Agency/Department has employees physically located.

***21. Please accurately assess the Livescan equipment owned and operated by your Agency/Department below:**

	Quantity of Agency-Owned Devices	Who Are Fingerprinting Services Provided To:	How Frequently Are Fingerprinting Services Executed At This Location:	What Are Your Service Charges For Fingerprinting Of Non- Employees:	Do You Utilize Service Provider (s) In This County?
Alachua					
Baker					
Bay					
Bradford					
Brevard					
Broward					
Calhoun					
Charlotte					
Citrus					
Clay					
Collier					
Columbia					
DeSoto					
Dixie					
Duval					
Escambia					
Flagler					
Franklin					
Gadsden					
Gilchrist					
Glades					
Gulf					
Hamilton					
Hardee					

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Hendry					
Hernando					
Highlands					
Hillsborough					
Holmes					
Indian River					
Jackson					
Jefferson					
Lafayette					
Lake					
Lee					
Leon					
Levy					
Liberty					
Madison					
Manatee					
Marion					
Martin					
Miami-Dade					
Monroe					
Nassau					
Okaloosa					
Okeechobee					
Orange					
Osceola					
Palm Beach					
Pasco					
Pinellas					
Polk					
Putnam					
Santa Rosa					
Sarasota					
Seminole					
Saint Johns					

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Saint Lucie					
Sumter					
Suwannee					
Taylor					
Union					
Volusia					
Wakulla					
Walton					
Washington					

Livescan Equipment Ownership and Operation (Continued)

Please work with the appropriate management and staff within your Agency/Department to accurately complete this assessment.

*We recognize not all State Agencies/Departments are organized by county. However, for consistency Florida counties were the best way to compartmentalize the data collected.

**Complete the assessment row for each county indicated as having Agency-Owned Livescan devices in the previous question.

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22. Input the total maintenance costs for each county location previously indicated as "owning" Livescan equipment. The cost should be the dollars expended for maintenance only since July 1, 2012 for all devices residing within the county:

***Do not use dollar (\$) signs, commas or decimals when entering maintenance costs. Please round up to the closest whole number.**

Alachua	
Baker	
Bay	
Bradford	
Brevard	
Broward	
Calhoun	
Charlotte	
Citrus	
Clay	
Collier	
Columbia	
DeSoto	
Dixie	
Duval	
Escambia	
Flagler	
Franklin	
Gadsden	
Gilchrist	
Glades	
Gulf	
Hamilton	
Hardee	
Hendry	
Hernando	
Highlands	
Hillsborough	

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Holmes

Indian River

Jackson

Jefferson

Lafayette

Lake

Lee

Leon

Levy

Liberty

Madison

Manatee

Marion

Martin

Miami-Dade

Monroe

Nassau

Okaloosa

Okeechobee

Orange

Osceola

Palm Beach

Pasco

Pinellas

Polk

Putnam

Santa Rosa

Sarasota

Seminole

Saint Johns

Saint Lucie

Sumter

Suwannee

Taylor

Union

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Volusia

Wakulla

Walton

Washington

Other Livescan Service Providers

***23. For counties in which your Agency/Department utilizes service providers; are the service provider(s):**

- another State of Florida Agency/Department;
- another governmental entity (e.g. local law enforcement, city or county); or
- a private entity?

Select, "Agency/Department Owned Livescan Equipment Only" if no service providers are utilized in a county location. You may select more than one option for counties that utilize various types of service providers.

****Reminder: The scope of the Enterprise Background Screening Project and this supporting survey is limited to those background screenings where the payment of the screening is the responsibility of the State of Florida. This includes full-time equivalent (FTE) employees, part-time employees, other personal services (OPS) employees, contracted employees, sub-contracted employees, interns, students and volunteers.**

	Other State of Florida Agency/Department	Non-State Governmental Entity or Entities (e.g. local law enforcement, city or county)	Private Service Provider(s)	None. Use Agency/Department Owned Livescan Equipment Only.
Alachua	☐	☐	☐	☐
Baker	☐	☐	☐	☐
Bay	☐	☐	☐	☐
Bradford	☐	☐	☐	☐
Brevard	☐	☐	☐	☐
Broward	☐	☐	☐	☐
Calhoun	☐	☐	☐	☐
Charlotte	☐	☐	☐	☐
Citrus	☐	☐	☐	☐

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Clay	☐	☐	☐	☐
Collier	☐	☐	☐	☐
Columbia	☐	☐	☐	☐
Dade	☐	☐	☐	☐
De Soto	☐	☐	☐	☐
Dixie	☐	☐	☐	☐
Duval	☐	☐	☐	☐
Escambia	☐	☐	☐	☐
Flagler	☐	☐	☐	☐
Franklin	☐	☐	☐	☐
Gadsden	☐	☐	☐	☐
Gilchrist	☐	☐	☐	☐
Glades	☐	☐	☐	☐
Gulf	☐	☐	☐	☐
Hamilton	☐	☐	☐	☐
Hardee	☐	☐	☐	☐
Hendry	☐	☐	☐	☐
Hernando	☐	☐	☐	☐
Highlands	☐	☐	☐	☐
Hillsborough	☐	☐	☐	☐
Holmes	☐	☐	☐	☐
Indian River	☐	☐	☐	☐
Jackson	☐	☐	☐	☐
Jefferson	☐	☐	☐	☐
Lafayette	☐	☐	☐	☐
Lake	☐	☐	☐	☐
Lee	☐	☐	☐	☐
Leon	☐	☐	☐	☐
Levy	☐	☐	☐	☐
Liberty	☐	☐	☐	☐
Madison	☐	☐	☐	☐
Manatee	☐	☐	☐	☐
Marion	☐	☐	☐	☐
Martin	☐	☐	☐	☐
Monroe	☐	☐	☐	☐
Nassau	☐	☐	☐	☐
Okaloosa	☐	☐	☐	☐

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Okeechobee	☐	☐	☐	☐
Orange	☐	☐	☐	☐
Osceola	☐	☐	☐	☐
Palm Beach	☐	☐	☐	☐
Pasco	☐	☐	☐	☐
Pinellas	☐	☐	☐	☐
Polk	☐	☐	☐	☐
Putnam	☐	☐	☐	☐
St. Johns	☐	☐	☐	☐
St. Lucie	☐	☐	☐	☐
Santa Rosa	☐	☐	☐	☐
Sarasota	☐	☐	☐	☐
Seminole	☐	☐	☐	☐
Sumter	☐	☐	☐	☐
Suwannee	☐	☐	☐	☐
Taylor	☐	☐	☐	☐
Union	☐	☐	☐	☐
Volusia	☐	☐	☐	☐
Wakulla	☐	☐	☐	☐
Walton	☐	☐	☐	☐
Washington	☐	☐	☐	☐

***24. On average, how much does your Agency/Department spend on private Livescan service provider fingerprinting services each year?**

- ☐ \$1 - \$1,000
- ☐ \$1,001 - \$3,000
- ☐ \$3,001 - \$5,000
- ☐ \$5,001 - \$7,000
- ☐ \$7,001 - \$9,000
- ☐ \$9,001 - \$11,000
- ☐ \$11,001 - \$13,000
- ☐ \$13,001 - \$15,000
- ☐ Over \$15,001
- ☐ No Cost

Other (please specify)

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***25. Does your Agency/Department have a 'Memorandum of Understanding' with each non-State of Florida governmental entity that you selected above as providing Livescan fingerprinting services for your employees?**

(Examples of non-State governmental entities that may provide fingerprinting services include: local law enforcement, city, county, etc.)

- ☐ Yes, in all instances
- ☐ No, not in any instances
- ☐ Only in some instances
- ☐ N/A, we do not use non-State of Florida governmental entities for fingerprinting services.

Using Other State Agencies/Departments As A Service Provider

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***26. Please select all State Agencies/Departments that provide Livescan services to your agency?**

- ☐ Department of Agriculture and Consumer Services
- ☐ Department of Business and Professional Regulation
- ☐ Department of Children and Families
- ☐ Department of Citrus
- ☐ Department of Corrections
- ☐ Florida Department of Economic Opportunity
- ☐ Department of Education
- ☐ Department of Elder Affairs
- ☐ Enterprise Florida
- ☐ Department of Environmental Protection
- ☐ Department of Financial Services
- ☐ Florida Fish and Wildlife Conservation Commission
- ☐ Executive Office of the Governor
- ☐ Department of Health
- ☐ Agency for Health Care Administration
- ☐ Department of Highway Safety and Motor Vehicles
- ☐ Department of Juvenile Justice
- ☐ Department of Law Enforcement
- ☐ Department of Legal Affairs
- ☐ Department of the Lottery
- ☐ Department of Management Services
- ☐ Department of Military Affairs
- ☐ Agency for Persons with Disabilities
- ☐ Public Service Commission
- ☐ Department of Revenue
- ☐ Department of State
- ☐ Department of Transportation
- ☐ Department of Veterans' Affairs
- ☐ NONE

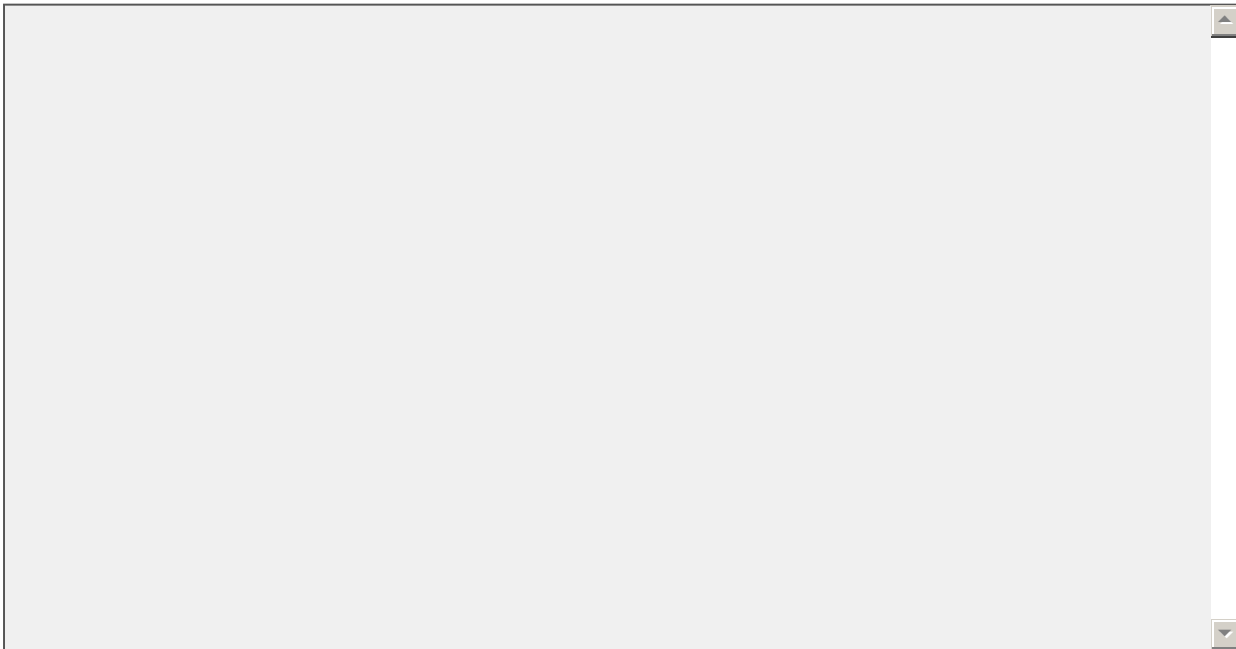
Other (please specify)

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***27. Does your Agency/Department have a 'Memorandum of Understanding' with each State of Florida Agency/Department you selected above as providing Livescan fingerprinting services for your employees?**

- ☐ Yes, in all instances
- ☐ No, not in any instances
- ☐ Only in some instances
- ☐ N/A, we do not use other State of Florida Agency/Department(s) for fingerprinting services.

***28. Please summarize your Agency/Department procedures or efforts to obtain the best cost for fingerprinting services:**



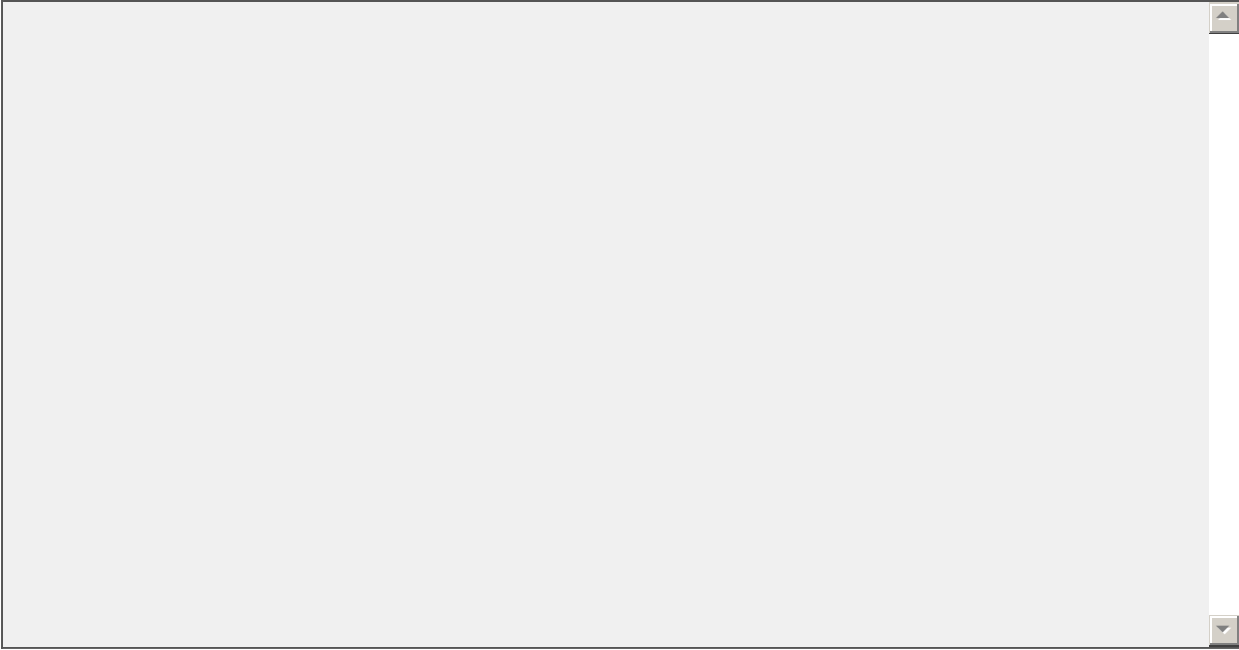
Survey Completion and Submission

***29. Have you double checked all of your survey responses to ensure they accurately reflect the background screening climate in your Agency/Department?**

- ☐ Yes
- ☐ No

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30. Please provide any additional comments or feedback you feel are necessary to include with your survey responses:

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