



November 18, 2016

Adam Makarevich  
Procurement Specialist II  
City of Fort Lauderdale  
Procurement Services Division  
100 N. Andrews Avenue, #619  
Fort Lauderdale, FL 33301

RE: RFP #765-11829, Private Contracted Background Investigations

Dear Makarevich:

Please accept our proposal to City of Fort Lauderdale for the above-referenced RFQ. We appreciate the opportunity to contribute to the complete success of your pre-employment background checks program for the Fort Lauderdale Police Department.

Having carefully reviewed the RFQ documents and requirements, we affirm that Summit Security Services, Inc. complies with the requirements and qualifications to perform these services in a manner that exceeds your expectations.

Established in 1976, Summit is a third-generation, family-owned business, respected for its industry leadership, service expertise, and client responsiveness. Summit is one of the largest security, investigative, and background screening services firms in the United States. From our New York Corporate Headquarters and nine regional offices—including our Summit of California investigations office in Pomona—Summit's 4,000 professionals provide world-class services to more than 750 clients in a wide range of markets.

Anchored by our bi-coastal New York and Summit of California investigative offices, Summit's Investigative Services Division provides full-service investigations solutions that include:

- California Peace Officer Standards & Training (POST) Background Investigations
- Insurance Investigations
- Fraud Investigations
- Workplace and Workplace Compliance Investigations
- Surveillance Investigations
- Mystery Shops, Controlled-Environment Integrity Shops, and Government Compliance Audits
- Undercover Operations
- Litigation Support

Summit is a licensed private investigator in California (P.I. 26577), New York, New Jersey, and Connecticut, with investigative operations across the United States, requiring the services of over 100 investigators who perform investigative services to commercial businesses and federal, state, and local government agencies. Summit is a viable business entity and stands out as a qualified and dependable organization in our industry because of our work product and dedication to professionalism.

Strong service-driven partnerships are the cornerstone of Summit's philosophy and success. Our partners include the Los Angeles Port Police; City of South Gate Police Department; City of Oxnard Police Department; City of Rancho Cucamonga Fire Protection District; City of Los Angeles Office of the City Attorney; County of San Bernardino Risk Management; County of Los Angeles Metropolitan

**SUMMIT SECURITY SERVICES, INC.**



Transportation Authority; New York State Office of Medicaid Inspector General; and New York State Office of the State Comptroller.

The Summit team understands the importance of pre-employment background investigations toward hiring qualified employees who will provide for the safety and welfare of the people and staff of the City of Fort Lauderdale. We are confident that that our experience, expertise, client responsiveness, and best-value approach set us apart from our competitors in performing these important services.

We would be pleased to discuss with you, in detail, why a Summit partnership is the right choice for the City of Fort Lauderdale. Thank you for your kind consideration of our proposal.

Sincerely,

A handwritten signature in black ink, appearing to read "N. M. Auletta", is written over a light blue horizontal line.

Nicholas M. Auletta  
Co-President  
Summit Security Services, Inc.  
390 RXR Plaza  
Uniondale, NY 11556  
Office: 516 240-2417  
nmauletta@summitsecurity.com

**SUMMIT SECURITY SERVICES, INC.**

Response to RFP #765-11829,  
Private Contracted Background Investigations for the City of Fort Lauderdale

Presented to  
Adam Makarevich  
Procurement Specialist II  
City of Fort Lauderdale

Presented by  
Nicholas M. Auletta  
Co-President  
Summit Security Services, Inc.  
Office: 516 240-2417  
Email: [nmauletta@summitsecurity.com](mailto:nmauletta@summitsecurity.com)

November 18, 2016

NOTICE: This proposal includes proprietary information, including information exempt from the Public Records Act and Freedom of Information Act, which shall not be shared or duplicated, in whole or in part, for any purpose other than to internally evaluate this proposal. Please see Confidential information, supplied separately, as requested.

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## A. Executive Summary

The proposing firm is Summit Security Services, Inc.

### Offices Serving the City of Fort Lauderdale

Corporate Headquarters and East Coast Investigations  
390 RXR Plaza  
Uniondale, NY 11556  
Office: 516 240-2400; Fax: 516 240-2424

West Coast Investigative & Background Screening Offices  
444 East Huntington Drive  
Arcadia, CA 91006  
Office: 714 512-3412; Fax: 714 341-1522

Authorized contact for this opportunity:

Nicholas M. Auletta  
Vice President  
516 240-2417; (c) 917 701-1955  
[nmauletta@summitsecurity.com](mailto:nmauletta@summitsecurity.com)

We at Summit understand that hiring qualified employees is critical to the City of Fort Lauderdale's ability to deliver services in all activities that promote community safety, security, and public trust.

Summit understands that the City of Fort Lauderdale requires a qualified, licensed investigative services firm to perform pre-employment background investigations for certified and non-certified positions of the City of Fort Lauderdale Police Department. We understand that Summit, if the selected provider, will be required to work closely with the designated Department representative to administer the background investigations program, and that Summit must comply with all applicable laws and regulations governing background investigations. We further understand that the City of Fort Lauderdale is looking for background investigations that cover criminal history checks (in every jurisdiction in which the subject has resided, worked or attended school), military history verifications, educational verifications (including high school, GED, colleges and any disciplinary history), disciplinary checks at college police departments, motor vehicle record and insurance history, reference checks, employment verification (for all positions held since the age of 18, including disciplinary history and reason for departure), interviews of at least three prior supervisors for certified police officers (including obtaining the subject's last three evaluations), verification of out-of-state officer certifications, search for any actions taken against officer certifications and check for outstanding litigation or disciplinary history associated with each certification.

With our investigative expertise, deep experience, organizational capabilities, and client-responsive service—and as the current contract incumbent, with a firsthand understanding of your requirements—Summit is that firm.

Established in 1976, Summit Security Services, Inc., is a second-generation, family-owned business, respected for its industry leadership, service expertise, client responsiveness, and big-company capabilities. Summit is one of the largest security, investigative, and background screening services firms in the United States. From our New York Corporate Headquarters and nine regional offices—including our Summit of California investigations office—Summit's 4,000 professionals provide world-class services to more than 750 clients in a wide range of markets.

Summit's highly successful business model emphasizes organic growth built on strong client partnerships, resulting in a robust client portfolio ranging from global companies and international financial institutions to respected law firms and renowned universities to large government agencies, transportation companies, and law enforcement and public safety agencies. We blend leading-edge investigative practices with old-fashioned customer service, supported by a financially sustainable organization that is built for speed and client responsiveness.

Summit's bi-coastal New York and California Investigative Services Division offices provide comprehensive investigative solutions, including comprehensive pre-employment background investigations for police departments and California Peace Officer Standards & Training (POST) pre-employment background investigations. Our current experience includes pre-employment background investigations for the City of Rancho Cucamonga Fire Protection District, City of South Gate Police Department, and City of Oxnard Police Department. Recently, Summit received a contract award to perform POST investigations for the City of Delano, California (law enforcement and correctional officer background investigations).

Summit is a licensed private investigator in California (P.I. 26577), New York, New Jersey, and Connecticut. Our Investigative Division currently consists of over 100 investigators who conduct investigations in all 50 U.S. states.

Our partnerships flourish because Summit's core values and commitment to excellence are embodied in our daily operations. The Summit investigative team is proactive and customer-focused, with the ability to adapt and respond quickly to client needs and requirements. As a privately owned firm with concentrated resources, Summit optimizes communications without the bureaucracy associated with other companies. Clients communicate directly with their assigned Summit project manager and investigators.

Summit's pre-employment background investigations strictly follow legal and contractual requirements, as well as industry best practices and proven methodologies. Investigations are compliant with all state and local regulations. Our experienced, professional investigators thoroughly investigate all issues that arise during the course of a background investigation process, to the complete satisfaction of our clients. Our team understands the methodologies, protocols, and legalities that must be followed in investigating applicant backgrounds for sworn and unsworn positions in emergency services agencies. All background investigations will be conducted at the highest industry standards.

Financially healthy, well-resourced, and well-organized, Summit has the resources and expertise to complete the volume of background investigations required by large agencies, with investigations completed and reports submitted well within required turnaround timeframes. Summit maintains the expertise, client service channels, and corporate support infrastructure that maximize expected service delivery outcomes. Our streamlined management system allows us to take a personalized, hands-on approach to your account.

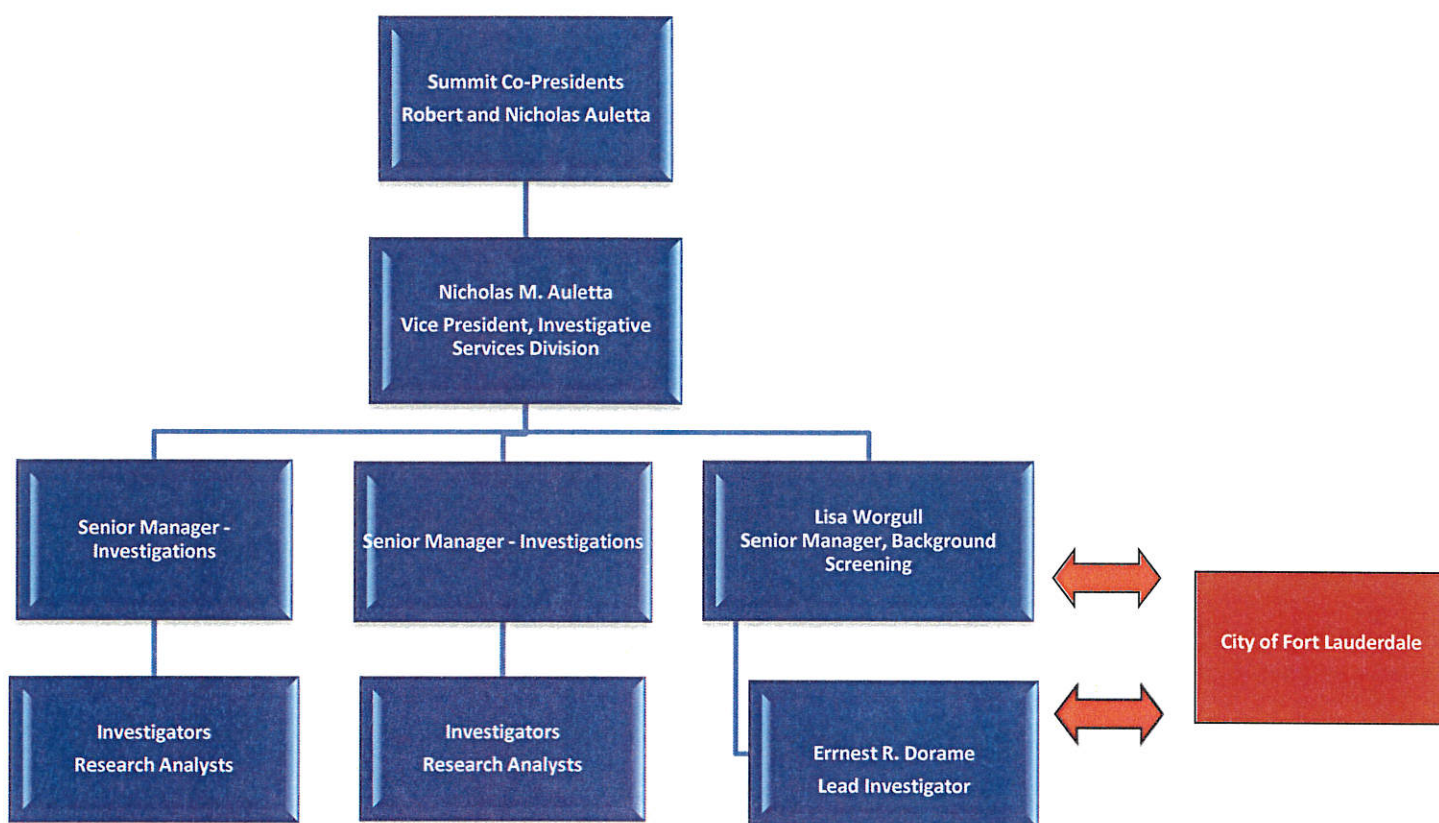
We will continue to conduct our investigations in a timely and cost-efficient manner. Summit's case management practices provide for review and quality control of investigative actions to ensure a complete product the first time, meeting and exceeding client timeframes. We will maintain continual contact with the City throughout the process. A well-organized written report and investigative summary will be issued to the City detailing the results of our investigation. Reports are concise, accurate, and grammatically correct. Our reports will detail our background investigative efforts and provide the City with thorough evidence on each candidate. Summit's quality control procedures include a complete management review of report information.



Summit takes seriously its role as an industry leader. We understand that leadership becomes possible only through sound principles, strategic vision, and the pursuit of excellence at all levels of the organization. Summit has invested in people who want to make a difference in their industry and in an organizational infrastructure that completely supports carefully selected individuals who serve our clients.

Summit of California is located at 3191 W. Temple Avenue, Suite 248, Pomona, CA 91768. Investigations Manager Cassandra Pickett and our investigative staff operate from this office and are available during normal business hours on Monday through Friday, 8:30 a.m. to 5:30 p.m.; additionally, they will be available to the City of Fort Lauderdale 24 hours a day, seven days a week for urgent requests.

### Key Project Team Members/Reporting Structure



Summit partnerships flourish because our core values and commitment to excellence are embodied in our real-world operations. We have leveraged a team approach to major projects that takes advantage of Summit's deep competencies in background investigations and customer-focused investigative services management. Summit's flattened management structure is built for speed and service, without the redundant layering of other organizations. Communication and decision making is enhanced, producing efficient operations and the most effective outcomes. Our background investigators screeners have the experience, professionalism, commitment, flexibility, and knowledge to perform thorough and successful background investigations for the City.

### **Nicholas M. Auletta, Vice President**

Nicholas M. Auletta is the grandson of the firm's founder, Richard N. Auletta, joining Summit in early 2011 to serve as Vice President. He has been instrumental in Summit's strategic development and impressive growth. As a subject matter expert, he has and has written and presented informational videos on forward-looking domestic homeland security strategies and presented testimony to the New York State Legislature on key security and investigative services issues, including those regarding statewide anti-fraud efforts.

Nick earned his Bachelor of Science in Leadership and Management from the United States Military Academy at West Point. He is a former Captain in the United States Army, serving as an Active Duty U.S. Army Infantry Officer and earning Airborne, Ranger, and Combat Infantryman qualifications. His military experience included three tours and 44 months of deployed time to the Iraq combat zone. Nick's military awards include two Bronze Star Medals and the Meritorious Service Medal, as well as numerous other Army commendations and achievement medals. Since entering the private sector, Nick has earned the coveted Certified Protection Professional (CPP) designation. In 2011, Nick earned a Postgraduate Certificate in Security Management from the University of Pennsylvania at Wharton. He is a Department of Homeland Security-Certified Weapons of Mass Destruction Awareness Trainer and a graduate of the national Emergency Medical Technician-Basic course.

Nick operates from Summit's Long Island, New York, Corporate Headquarters.

### **Lisa Worgull, Senior Background Screening Manager**

Lisa Worgull has 20 years of background screening management experience. She maintains high-quality, contract-compliant technical services, managing Summit research analysts; maintaining the schedule of deliverables and quality control procedures; working with Summit IT managers to ensure complete functionality and rapid turnaround times; and enacting the policies and procedures to ensure legal compliance.

Prior to Summit, Lisa was a senior manager for Scherzer International of Woodland Hills, California, a firm specializing in background investigations for 25 of top 50 law and accounting firms in the United States, as well as banks, asset-based lenders, private equity entities, and other professional companies. Lisa served as manager of the firm's pre-employment screening, background investigations, and technical services departments, and, subsequently, as its senior manager for quality control. In the latter position, she designed and implemented a centralized company resource center and a corporate workflow database to help automate and track each investigation from start to finish.

Lisa holds a Bachelor's Degree in Computer Information Systems from California State University, Los Angeles. She is an active member of the National Association of Professional Background Screeners and serves on its Educational Committee and Government Relations Committee.

Lisa is based in Summit's Arcadia, California, office.

### **Background Investigation Supervisors**

**Ernesto R. Dorame, Manager of Investigations**, has nearly 40 years of law enforcement and investigations experience. His distinguished career includes 30 years as a law enforcement officer at multiple Police Departments across California. Ernesto began his career as a Criminal Court Bailiff in Santa Clara County before becoming a patrol officer in Fullerton. After moving to the City of Ontario Police Department, he advanced to Sergeant, leading a time of background investigators assisting with the department's recruitment efforts. Promoted to Lieutenant, he continued to conduct administrative investigations while serving as Police Sub-Station Commander. After leaving the City of Ontario Police Department, Ernest continued his investigative career, working as a background investigator for the City of Los Angeles Personnel Department and for other local investigative firms.



At Summit, Ernesto will serve as Project Manager for the City of Oxnard contract, maintaining high-quality investigative services in compliance with this contract, including maintaining 24/7 responsiveness to the City of Oxnard; managing Summit investigators; maintaining the schedule of deliverables and quality control standards; and enacting the policies and procedures to ensure compliance with state and federal laws.

Ernesto received an Associates of Arts degree from Fullerton College. He is a licensed Private Investigator and holds Peace Officer Standards and Training certificates at the Basic, Intermediate, Advanced, Supervisory and Management levels.

***Ernesto R. Dorame will serve as lead investigator for the City of Fort Lauderdale account. He will be based in Summit's Arcadia, California, office.***

***Summit will provide a local investigator to conduct field interviews in the Fort Lauderdale area (see subcontractor section).***

**Cassandra Pickett** is a former law enforcement officer and experienced investigator with excellent interviewing, report writing, and leadership skills. She has a thorough knowledge of federal, state, and local codes and case law. Prior to joining Summit in 2014, she served for seven years as a police officer for the Pleasanton and Walnut Creek Police Departments, after which she performed background investigations for an investigative firm. Cassandra is a California POST (Peace Officer Standards and Training) Certified Background Investigator. Cassandra provides hands-on project supervision for comprehensive Summit background investigations. She attended Las Positas College and expects to complete a Bachelor of Science degree in criminal justice in 2015.

**Glen Willett** has over 30 years of investigative experience with the California Department of Corrections and Rehabilitation (CDCR), as an independent investigator, and with Summit of California. He has conducted literally thousands of investigations, including several hundred law enforcement background investigations in Southern California. He served CDCR from 1974 to 2002. From 1982 to 1988, as Lieutenant, he supervised 20 background investigators and represented the Department at State Personnel Board appeals hearings. He was also elected to the position of president of the Southern California Background Investigators Association.

From 1988 to 2002, he served with the CDCR's Special Service Unit of the Southern California Field Office (SCFO), a unit dedicated to investigating and apprehending fugitives and violent offenders. From 1988 to 1995, he served as SCFO Special Agent, conducting independent criminal and administrative investigations. In 1995, he was promoted to Senior Special Agent—one of 30 in the state—and for seven years (until his retirement) he managed the SCFO. Glen produced the most closed investigations and arrests in SSU history. He led a multi-agency task force (including SSU, local law enforcement, and the FBI) in a three-year investigation of a highly dangerous prison gang, leading to the indictment and conviction on federal RICO charges of nine of its leaders. He was recognized with the Anti-Defamation League Sherwood Prize Award; a Letter of Appreciation from the Governor of California for his contributions to the Blue Ribbon Panel on Hate Groups; Ontario, California, Police Department Certificate of Recognitions); and Upland, California, Police Department Certificate of Appreciation. Glen has an Associate of Arts degree with emphasis on Criminal Justice, and he is a credentialed instructor for California Community Colleges in the areas of Police Science and Public Services and Administration.

**Candice Westrick** began her law enforcement career in 1986, with the San Diego County Probation Department. She was promoted in 1989 to Deputy Probation Officer, and in 2001, promoted again to Senior Probation Officer. One year later, Candice was promoted to Supervising Probation Officer. From 1999 to 2002, she was assigned to the Background Investigation and Internal Affairs Unit, where she



conducted pre-employment background investigations, as well as internal affairs investigations. In 2011, Candice was reassigned to the background investigation unit to assist in the hiring of 100 sworn personnel. After retiring from the Department in 2012, Candice was rehired to help conduct pre-employment background investigations. She holds a Bachelor of Arts degree in Psychology from San Diego State University, and a POST Background Investigation Certificate. Candice is a member of the California Background Investigators Association (CBIA), and joined the Summit team in 2014.

**James Z. Vidal** has 45 years of law enforcement and investigations experience, including 24 years as a background investigator and special agent with the California Department of Corrections and Rehabilitation (CDCR). From 1969 to 1976, he served as correctional officer for the California Institution for Men in Chino, and was promoted correctional sergeant, in which capacity he served for six years. In 1984, James was assigned as Background Investigator for the CDCR's Background Investigations Unit – Southern Field Office in Rancho Cucamonga, in which capacity he conducted background investigations into the suitability and moral character of all peace officer candidates and non-sworn personnel for employment with CDCR. As Senior Background Investigator for the BIU from 1989 to 1997, he supervised 15 investigators and a support staff of eight employees. He was promoted to Special Agent for the Office of Internal Affairs of the Southern Field Office and, subsequently, Senior Special Agent for that office, conducting and supervising administrative investigations into allegations of misconduct by CDCR employees. Also prior to joining Summit, James served as Special Investigator for Patton State Hospital, for which he conducted investigations into allegations of patient abuse. James is POST certified and holds a Bachelor of Science degree from California State Polytechnic University in Pomona. He joined the Summit team in 2014.

**Gregg Batchelor** has over 28 years combined law enforcement and investigative experience. Gregg worked as a Deputy Sheriff with the County of Tulare Sheriff's Department for seven years, before starting a career as a Police Officer with the City of Bakersfield Police Department. During his time at Bakersfield Police Department, Gregg worked as a Senior Officer, training police trainees at the academy. He also served as a Field Training Officer, responsible for teaching new officers patrol and investigative procedures. In 2006, Gregg began work as a Training Officer conducting background investigations in accordance with POST guidelines on police officer, police dispatcher, and other department applicants. Shortly after, Gregg was promoted to Detective, where he investigated complex criminal investigations, specializing in financial crimes, and elder and dependent abuse (both physical and fiduciary). Additionally, Gregg was responsible for reviewing initial investigations completed by other officers, conducting interviews and interrogations, and authoring complete and accurate police reports. He presented cases to the District Attorney's office and assisted in the successful prosecution of criminal cases. During the last seven years of his career, Gregg was promoted to Sergeant, where he supervised police personnel. In 2014, he received an honorable retirement from the City of Bakersfield. Gregg holds a Bachelor of Science degree in Occidental Studies, with emphasis in Emergency Services from California State University Long Beach. Additionally, he holds basic, intermediate, advanced, and supervisory POST certificates, as well as a Background Investigator Certificate.

## B. Experience and Qualifications

### Investigations Experience with Public Agencies

Across our investigative and security services footprint, Summit has extensive partnerships with government agencies, including public safety agencies. This experience enables us to accomplish our critical goals for the City successfully and more cost effectively than our competitors. Public sector clients of Summit's Investigative Services Division include:

- Los Angeles Port Police (2010 – Present) – POST Investigations
- City of Rancho Cucamongo Fire District (2014 – Present) Post Investigations
- City of Oxnard Police Department (2013 – Present) – POST Investigations
- City of South Gate Police Department (2013 – Present) – POST Investigations
- OmniTrans (2013 – Present)
- Los Angeles County Metropolitan Transportation Authority (2004 – Present)
- County of San Bernardino Risk Management (1995 – Present)
- City of Sacramento Regional Transit District (2014 – Present)
- Foothill Transit (2012 - Present)
- Office of the Los Angeles City Attorney (2011 – Present)
- New York City Law Department (2012 – Present)
- Nassau County Department of Social Services (2005 – Present)
- Suffolk County (NY) Department of Social Services (2008 – Present)
- Westchester County (NY) Department of Social Services
- New York State Office of Medicaid Inspector General (1995 – 2011)
- City of Weston, Florida (2014 – Present)
- New York State Office of State Comptroller (2011 – Present)
- New York State Department of Motor Vehicles (2006 – Present)
- New Jersey Transit (2011 – Present)
- City of Palm Beach Gardens, Florida (2012 – Present)
- Central New York Regional Transportation Authority/CENTRO (2012 – Present)

### POST Background Investigations

- ***Los Angeles Port Police:*** The City of Fort Lauderdale is the busiest container port in the United States; the Port Police are sworn peace officers who enforce federal, state, and local public safety statutes as well as environmental and maritime safety regulations. Summit is the sole contractor for Port Police background investigations.
- ***City of Oxnard:*** Summit performs POST background investigations for sworn police officers, dispatchers, and support personnel who serve the City of Oxnard, with a population of over 200,000. Background investigations are typically performed on over 130 personnel, annually.
- ***City of Pasadena:*** Summit performs POST background investigations of both sworn and unsworn candidates for a police department serving a community with a population of 140,000.
- ***City of Rancho Cucamonga:*** POST background investigations for firefighter and public safety dispatcher candidates of the Rancho Cucamonga Fire District
- ***City of Delano:*** POST background investigations for City of Delano police officers
- ***City of Long Beach:*** Summit performs POST background investigations for police officer candidates of the City of Long Beach Police Department, serving a city with a population of approximately 500,000 people. Summit performs 275 POST investigations annually for the City.



### **Core Competency: Applied Background Investigations**

In addition to our experience in performing POST background investigations for local California agencies, background investigations are a core Summit competency employed in caseloads for numerous, current investigative services contracts. These include a heavy concentration of background investigations within the scope of work for:

- **New York State Department of Health, Office of Medicaid Inspector General, Division of Medicaid Investigations** (Medicaid fraud auditing/investigative services, including background investigations; 1995 – Present); Summit has been an active partner in New York State’s recovering over \$1 billion in Medicaid fraud, waste, and abuse.
- **Housing Authority of the City of Los Angeles** (employee-related investigations and executive pre-employment background investigations; 1998 – 2011; four contract renewals). Investigations include comprehensive background checks of candidates seeking senior-level positions with HACLA (contract suspended due to budget cuts).
- **Los Angeles County Metropolitan Transportation Authority** (workers’ compensation and AOE/COE investigations, utilizing background investigations; 2004 – Present)
- **County of San Bernardino Risk Management** (liability claims investigations and workers’ compensation investigations, utilizing background investigations; 1995 – Present)
- **North Shore Towers Apartments** (employment and applicant background screening; 1986 – Present); Summit performs background investigations for one of the premier residential communities in the New York City area, with 3,500 residents.
- **City of Los Angeles Office of the City Attorney** (workers compensation investigations and complex criminal investigations, including background investigations, 2010 – Present)
- **Nassau County Department of Social Services – Medicaid and Entitlement Fraud Investigation Services** (2005 – Present)
- **Liberty Mutual Insurance Group** (workers’ compensation and commercial liability investigations, utilizing background investigations; 2007 – Present; contract completed and renewed)

### **Other Notable Clients**

Other notable Summit clients across our services portfolios include:

- Federal Reserve Bank of New York
- Columbia University
- ABC Disney
- New Jersey Transit
- New York State Office of General Services
- JetBlue Airways
- New York Life Insurance Company
- New York Metropolitan Transportation Authority
- HSBC
- Fordham University
- Altria Client Services
- CBS Corporation
- United Airlines
- New York State Division of Homeland Security
- Port Authority of New York & New Jersey

## Company Information

Established in 1976, Summit is a second-generation, family-owned business, renowned for its industry leadership, service expertise, client responsiveness, and big-company capabilities. Summit is one of the largest security, investigative, and background screening services firms in the United States. From our Long Island Corporate Headquarters and eight regional offices—including our East and West Coast background screening offices—Summit's 4,000 professionals provide world-class services to more than 750 clients in a wide range of markets.

Summit is a dynamic organization, dedicated without compromise to our core values:

- We strive to be the best at what we do.
- We lead at client relationships and successful strategic partnerships.
- We develop our most important asset: the right people.
- We hold ourselves to the highest professional and personal standards.
- We champion a culture of leadership and discipline.
- We apply best practices and technologies that improve service.
- We deliver on our promises, every day.

For these reasons, we have earned the confidence of commercial businesses, government agencies, and public and private institutions. Our highly successful business model emphasizes organic growth built on strong client partnerships, resulting in a robust client portfolio ranging from global companies and international financial institutions to respected law firms and renowned universities to large government agencies and transportation companies.

Summit was incorporated in the State of New York on August 23, 1976. The firm is wholly owned by Co-Presidents Robert L. Auletta and Co-President Nicholas M. Auletta. Summit is a financially sound firm with the complete capacity—including the required corporate infrastructure, management, and human resources—to perform background screening services at the highest level.

SummitScreen™ is the background screening services platform and operation of Summit Security Services, Inc. The SummitScreen Background Screening Unit resides within Summit's Investigative Services Division, one of our two separate and distinct operational divisions, consisting of over 100 experienced, professional investigators and research analysts. The Division's executive leadership (at director and vice president levels) interacts directly with Summit's ownership/co-presidents.

### Two Generations of Family Leadership

#### **Richard N. Auletta, Founder**

Summit was founded in 1976 by the late Richard N. Auletta, a New York City Police Department Detective with a distinguished record of service. Over his 20-year career, Richard received numerous citations for his service, including the Medal of Valor. He earned international recognition for his role as one of the key NYPD detectives in busting the infamous French Connection heroin-smuggling operation in the early 1970s. Utilizing his law enforcement experience and knowledge, Richard developed the Summit foundation. Launched initially as an investigative services firm with New York City as its primary service footprint, Richard set Summit on a path toward becoming a full-service investigative, background screening, and security services company, establishing several regional offices in New York metropolitan area.

#### **Robert L. Auletta, CPP, and Nicholas M. Auletta, Co-Presidents**

Robert L. Auletta and Nicholas M. Auletta joined Summit in 1989 and assumed co-ownership of the company in 2002 from their father and Summit founder, Richard N. Auletta. As Co-Presidents, Robert and Nicholas are actively involved in leading day-to-day Summit operations. Nicholas Auletta brings a finance and business background to Summit from his impressive former career within the banking



industry; Robert Auletta was a former law enforcement officer and is a Licensed Private Investigator and ASIS Certified Protection Professional. Together, they have over 50 years of combined security, investigations, law enforcement, and business experience. Under their leadership, Summit has expanded from a small, regional company to the premier security and investigative services in the U.S. and one of the largest privately held firms of its kind. In addition to its extensive security portfolio, Summit's investigative and background screening services now are global.

Robert and Nicholas maintain a client-first mentality throughout the organization. The longevity of the Summit's partnerships with its first two major clients—Columbia University (1986) and NBC Universal (1988)—testifies to Summit's client responsiveness and service excellence. The Co-Presidents have evolved Summit to the needs of its clients and, in response to new challenges and opportunities, expanding its work to Fortune 500 companies; international banks; insurance and financial services companies; prestigious residential communities; worldwide media companies; renowned universities; law and accounting firms; high-tech firms; and public/government agencies. Summit serves virtually every industry type in the public and private sectors.

As part of their strategic vision over the past several years, Robert and Nicholas have grown Summit's Investigative and Background Screening Services Division, utilizing a combination of organic and acquisition growth strategies and establishing bi-coastal U.S. operations. Their success is evident on many levels. As part of a successful public-private partnership with Nassau County Department of Social Services, for example, Summit investigators have helped create the model and standard for county-level Medicaid and entitlement fraud programs, recovering and saving tens of millions of taxpayer dollars in the process. Likewise, the Co-Presidents' investment in background screening technologies and resources have saved many private firms and public institutions from the potential high legal and financial costs of lesser-quality background screening and due diligence services.

Robert and Nicholas are active in the security, investigations, and business communities. Robert serves as a Regional Director with the Association of Licensed Detectives of New York State (ALDONYS). They are advocates for our nation's military and dedicate their personal time and assets to assist veterans' causes. Robert and Nicholas believe in enriching the communities they serve and have supported many local non-profits and civic associations.

### **Strong Corporate Foundation and Practices**

Summit is a responsive company, and its owners and Co-Presidents are involved in company operations on a daily basis, ensuring we take holistic, sustainable, and client-driven approaches to our strategic business partnerships.

Summit is a responsible, financially sound firm that has been in business for over 39 years. A large part of our business is in serving high-end businesses and long-standing government entities. We continuously replenish our portfolio, and maintain a financially soluble mix of new and long-standing partnerships. Summit maintains internal core competencies and undertakes corporate initiatives that facilitate competitiveness and fiscal responsiveness to our clients. Summit drives significant profit growth, year after year, with revenue growth of more than 40 percent since 2009. The company has a sound cash flow, excellent bonding capacity, and a sound credit line. Summit's risk management practices exceed industry standards and best practices. Forward-looking fiscal policies maximize the ability to execute and maintain large services contracts. This strength derives from a long-term, organic growth strategy, supported by conservative acquisitions that build on existing strengths. With annual revenues of over \$140 million, Summit has the financial capability to smoothly transition and execute complex screening programs.

We enjoy an excellent reputation in the community as being professional, diligent, and achieving results for our clients. Our Investigative/Background Screening Services Division is fully supported by Summit's Corporate Management Team and corporate infrastructure, including fully staffed Human Resources,



Information Technology, and Financial Divisions. We are experienced at expanding our investigative and background screening resources in proportion to the needs and requirements of our clients. Summit not only has the ability to meet the contract requirements but, as outlined in our proposal, we take a value-added service approach that helps us meet our goal of 100% client satisfaction.

Summit maintains all appropriate licensing and complies with all applicable federal, state, county, and local laws and regulations in the performance of our work. Summit promotes and demands the highest ethics and integrity throughout the organization. Officers, executives, managers, and employees adhere to well-defined, written standards of ethics, integrity, and conduct.

As a General Services Administration (GSA) Schedule 84-approved investigative services vendor, Summit has been fully vetted and certified by the United States government to provide investigative services to federal government agencies in New Jersey; New York; Florida; California; Connecticut; Pennsylvania; Ohio; Washington, D.C.; Maryland; Virginia; Texas; Louisiana; Arkansas; and New Mexico.

*Summit has the previous experience, expertise, and administrative and fiscal capabilities to provide and manage the required services specified in the RFP within the required timeframes and budget stipulations. Summit has a perfect record of contract completion and a satisfactory record of performance with all public agencies with whom it has entered into contracts.*

The firm fully insured. All of our insurance carriers have “A” ratings, providing superior financial security and a complete capacity to meet policyholder obligations for this contract, including the requirements for the City, as described in the RFP documents.

Summit’s strength is our people. As such, our Co-Presidents, Human Resources Department, and Executive Leadership Team have developed a favorable work environment that supports and improves the quality of life of our employees. Our firm is a living model of a diverse workforce; more than 76% of our workforce is comprised on women and minorities. Company-wide, Summit has numerous women and minorities in senior- and mid-level management positions. Summit’s corporate-wide Affirmative Action and EEO policy is practiced on a daily basis. Human resources managers are educated in the various aspects of relevant federal and state laws, including in the areas of nondiscrimination, sex discrimination, and sexual harassment. Summit’s Vice President of Human Resources oversees and audits our EEO program to ensure strict adherence to federal, state, and local law.

### **Professional Affiliations**

Summit maintains active professional affiliations with numerous professional associations and agencies, including the National Association of Professional Background Screeners, Society for Human Resource Management, California Background Investigators Association, and Association of Licensed Detectives of New York State. Background Screening Manager Lisa Worgull and Director of Investigations Kimberly Bentley are members of NAPBS; both service on the Association’s Government Relations Committee, and Lisa also serves on the NAPBS Educational Committee.

### **Recent Company Recognition**

**2014 Inc.5000 List:** Summit has been included on Inc. magazine’s 2014 Inc.5000 list. For the past 33 years, Inc. has welcomed America’s fastest-growing private companies to an exclusive club of corporate achievers. Notable alumni from prior lists include Microsoft, Jamba Juice, Pandora, and Oracle, just to name a few. The complete 2014 Inc.5000 list can be viewed at [www.inc.com/inc5000/index.html](http://www.inc.com/inc5000/index.html).

**ESGR Recognizes Summit’s Commitment to Veterans:** Summit Security Services, Inc. is a proud recipient of the 2013 ESGR Patriot Award, recognizing a firm’s efforts to support the United States

National Guard and Reserve forces in the workplace. The Employer Support of the Guard and Reserve, or ESGR, is a Department of Defense office, established in 1972 to promote cooperation and understanding between Reserve Component Service members and their civilian employers and to assist in the resolution of conflicts arising from an employee's military commitment. ESGR fosters a culture in which employers support and value the employment and military service of members of the National Guard and Reserve in the United States.

**Inc. Magazine Feature:** Summit was featured in the "Meet the Job Creators" story from Inc. Magazine, <http://www.inc.com/hire-power/list>, which introduced the 2013 Hire Power Awards honorees. This impressive crop of companies created 51,327 jobs in 18 months, helping to keep the U.S. economy moving forward.

### **Licenses**

Summit is licensed as Private Investigator by the states of New York, New Jersey, Connecticut, and California. We legally perform background screening and investigative services throughout the U.S. 50 states, as well as internationally.

### **Industry Leadership**

Summit takes seriously its role as an industry leader. We understand that leadership becomes possible only through sound principles, strategic vision, and the pursuit of excellence at all levels of the organization. Summit has invested in people who want to make a difference in their industry and in an organizational infrastructure that completely supports carefully selected individuals who serve our clients. We blend leading-edge philosophies and methods with old-fashioned customer service, supported by a financially sustainable organization that is built for speed and client responsiveness. We accomplish for our clients that which our competitors cannot or will not, because Summit is committed to true strategic partnerships with our clients.

### **Sustainability**

Summit supports the holistic integration of social, fiscal, and environmental corporate policies that improve our quality of life while safeguarding the long-term growth of our business and our ability to provide security services of the highest quality.

Summit is committed to a Sustainable Development policy. We support the holistic integration of social, fiscal, and environmental corporate policies that improve our quality of life while safeguarding the long-term growth of our business and our ability to provide security services of the highest quality. The key elements of our Sustainable Development policy are as follows.

#### *Social responsibility:*

We are committed to workplace diversity and social inclusion, equal opportunity employment, non-discrimination policies, responsible recruitment practices, and a safe workplace environment that respects individual and collective liberties.

We are committed to improving the quality of life of our employees, and seek to accomplish this through robust programs that include professional development and enhanced training opportunities, succession planning, financial and health benefits, employee recognition programs, and financial assistance programs.



We are committed to selective and sustainable supplier relations, including a strong commitment to minority- and women-owned business suppliers.

*Fiscal responsibility:*

We are committed to a steady, organic growth strategy that sets an economic foundation for sustainability. This strategy has proven effective throughout Summit's history, allowing us to build a sound company that can withstand external market stressors. Financial growth and stability is a foundational goal within an overall corporate value system whereby we serve our employees, our partners, our environment, and our society.

*Environmental responsibility:*

We support responsible environmental practices throughout our facilities and operations, and encourage our partners to select environmentally responsible approaches to their security services needs. We require our suppliers to comply with all relevant environmental regulations and best practices.

## C. Approach to Scope of Work

Summit understands that the City of Fort Lauderdale requires a qualified, licensed investigative services firm to perform pre-employment background investigations for certified and non-certified positions of the City of Fort Lauderdale Police Department. We understand that Summit, if the selected provider, will be required to work closely with the designated Department representative to administer the background investigations program, and that Summit must comply with all applicable laws and regulations governing background investigations. We further understand that the City of Fort Lauderdale is looking for background investigations that cover criminal history checks (in every jurisdiction in which the subject has resided, worked or attended school), military history verifications, educational verifications (including high school, GED, colleges and any disciplinary history), disciplinary checks at college police departments, motor vehicle record and insurance history, reference checks, employment verification (for all positions held since the age of 18, including disciplinary history and reason for departure), interviews of at least three prior supervisors for certified police officers (including obtaining the subject's last three evaluations), verification of out-of-state officer certifications, search for any actions taken against officer certifications and check for outstanding litigation or disciplinary history associated with each certification.

Summit has deep investigative experience, including in performing pre-employment background investigations for public agencies, including City of South Gate Police Department, City of Oxnard Police Department, and City of Rancho Cucamonga. Our background investigations will be consistent with guidelines set forth in the relevant sections of the federal Fair Credit Reporting Act and all other applicable federal, state and local rules and regulations. We will perform the investigations and provide the required reports and forms within the agreed upon timeframe, unless the City grants an extension for cause. Summit has the in-house personnel and resources, supported by and corporate infrastructure, to deliver on all contract requirements.

### **Comprehensive, Compliant Background Investigation Report**

Our investigators will create legally compliant, comprehensive applicant investigation files, each to include a detailed report summarizing all findings and reports of the applicant's background and eligibility based on City of Fort Lauderdale hiring standards and the above-referenced codes and regulations. We understand that, while not all elements will be provided or completed by Summit, each background investigation report, at minimum, will address the following areas:

- Local criminal history checks sent to every locale the applicant has resided, attended school, or worked.
- If local resident, to every police agency in Tri-County area.
- Military history request and arrest history request sent to appropriate military branches, either mail or fax.
- School checks - verify high school graduation, GED, and college diploma and/or credits, discipline history, via fax or phone.
- Contact University Police Departments for any derogatory contacts.
- Search Court Clerk databases, DMV, social media, Sunbiz, Google, Yahoo, etc.
- Verify insurance and claim history, tickets, accidents, and compare with what applicant reported and place available copies in file.
- Conduct reference checks – by phone and in the field.
- Verify employment since the age of 18 for applicants. Discern if applicant had any discipline, resigned in lieu of termination, resigned voluntarily, etc. Attempt to speak with immediate supervisors. Attempt to obtain copies of any derogatory information.



- For certified officer applicant, interview at least three supervisors, obtain discipline and/or complaint history, and last three evaluations. Obtain copies of all on duty police vehicle accidents. Complete business checks questionnaire, reference each interview or fax to employers to be completed by them.
- Verify certification of out of state applicant and obtain Police Certification certificate and Police Academy curriculum and place in file.
- Verify any action taken against police certification.
- Verify if a certified officer has a pending lawsuit or disciplinary action

Summit will meet with the Fort Lauderdale Police Department's Background Investigations Unit (BIU) Chain of Command on a bi-weekly (or as needed) basis to discuss progress of investigations. We will submit a detailed written report to the City of Fort Lauderdale upon conclusion of the investigation, within the required timeframe; any recordings and reports will be included.

Additionally, Summit will handle inquiries from other agencies referencing mutual applicants and conduct background investigations of Fire Fighters, Ocean Rescue Lifeguards, civilian PD personnel (including but not limited to Park Rangers, Public Safety Aides, Records Clerks, Secretaries and Information Technology personnel).

Summit will conduct interviews with applicants to develop information regarding their character, associates, reputation, ability, personal bias or prejudices, financial responsibility, abuse of alcohol or prescription drugs, use of illegal drugs, affiliations, personal behavior and recommendations. Summit will use FLPD background checklists (as included in the RFP – Attachment A).

### **Meeting Minimum Qualifications**

Summit meets the minimum qualifications and requirements typically required of contract firms in performing pre-employment background investigations for Certified and Non-Certified police personnel, such as:

- Summit's personnel are properly trained and licensed as required by law, and they have extensive experience conducting background investigations for law enforcement and/or fire agencies.
- Summit complies with California Peace Officer Standards and Training (POST) Areas of Investigation regulations.
- Summit is licensed and experienced in collecting verification information for other governmental jurisdictions. Our proposal includes references that will confirm our ability to perform the required verifications.
- Summit's best practices approach to service excellence includes a fully secure and encrypted information management system that prevents the loss or theft of candidates' personal data and other critical/confidential information. Our system is secured with 256-bit SSL encryption; all data to and from the servers, including XML traffic, is encrypted using SSL certificates issued and managed by Thawte, a division of VeriSign.
- Summit can provide summary invoices and detailed cost descriptions of individual background investigations as per City of Fort Lauderdale requirements.
- Summit complies with all applicable Federal, State and County policies, rules, regulations, laws and codes, including without limitation, the Federal Fair Credit Reporting Act (15 U.S.C. § 1681 et seq.).
- Summit maintains complete currency with all laws, ordinances, and regulations that impact our business, and a complete understanding of how these laws and regulations apply to our clients and our work.
- We strive to be the most client-responsive investigative firm in the industry. Our executive team, managers, and investigators are available upon request (at no cost to the City) at all times



- to discuss contract issues and concerns.
- As a true partner, Summit will be available to assist the City should legal action result from the background investigations performed by Summit.
- Summit will not release any information to any candidate regarding their pre- employment background investigation without the express written consent of City of Fort Lauderdale.

### **Investigative Methodology**

Our services will include investigating all issues that arise in the background investigation process to the satisfaction of the City of Fort Lauderdale. Summit's background investigators will meet regularly with the designated City supervisor, as required. Summit will follow the completion dates established by the City; we understand that City supervisors will have the final decision/investigations direction-making authority regarding each investigation. Our investigators will use approved City of Fort Lauderdale forms, as required. Summit investigators will appear at all hiring board meetings to present their applicants, as well as perform any follow-up required by the City's background supervisor.

### **Supervisory Scope of Background Investigations**

- Summit receives a case/background check request, then reviews and discusses it with the client.
- After review, cases (with PHS, application or resume, and related documents) are assigned to investigators on our staff.
- If required, Summit will conduct meetings or contact the client via email or phone to discuss progress of the investigation.
- Final reports are reviewed internally for accuracy and reportability.
- When reports are finished, Summit meets with our clients to review and discuss final, completed investigations.

### **Work Plan Overview**

Summit's general work plan for cases received by the City includes:

- Receive assignments
- Review scope and special instructions as specified by the City
- Identify background investigation item and/or investigation type
- Assign cases to investigator based on requested timeline, location, and scope
- Develop tactical plans for investigation utilizing cost-effective methods
- Execute developed plan
- Daily check-ins on case progress with project manager
- Bi-weekly meetings—project manager, individual investigators, and designated City of Fort Lauderdale background supervisor(s)/staff
- Immediate reporting to client regarding unfavorable information
- Regular communications with client on progress, as needed
- Continuous supervision of work and timelines by project manager
- Continual quality assurance and compliance checks
- Written report generated by investigator within specified timelines
- Supervisor review of report prior to final report being sent to client
- Hiring board meeting presentations
- Quality assessment checks and reinforce client feedback to investigators

### **Field Investigations**

Field investigations typically include activities such as:

- Applicant interview (usually conducted at residence)
- Review of personnel files at past employers
- Past employer interview
- Interviews with fire departments/other agencies to which applicant previously applied

- Interviews with spouses/partners, family members, references, neighbors/landlords, and military superiors (as applicable)
- Neighborhood canvass/interviews with neighbors/landlords
- Criminal records search—follow-up on reported records by performing on-site searches of complete, original records at the arresting agency and courts
- Civil records search (at client request)—follow-up on reported records by performing on-site searches of complete, original records at the courts

Some client agencies allow certain activities to be conducted over the phone but others require them to be performed in-person; supervisor and spousal interviews are always conducted in-person, unless extenuating circumstances apply.

### **In-Office Investigations**

In-office investigative components of the background investigation typically include:

- Phone interviews with personal references, secondary references, relatives, landlords, neighbors, co-workers, supervisors, and military personnel
- Sending questionnaires via email or US mail to any of the above
- Sending letters to any city, state, or county law enforcement agency where the applicant lives, lived, works, worked, or went to school. This includes obtaining the agencies address or fax number, then prepping letters, envelopes, and SAS envelopes
- Reviewing all documents (completed questionnaires, interview with applicant, documents provided by applicant, records from law enforcement agencies and others) required for the written background investigation report
- Organizing all documents to establish completed background file
- Write-up of overall review and any disqualifying information received during background investigation; this information is sent to the Polygraph Examiner so that they may formulate questions for the applicant's test.
- Request of criminal records from jurisdictions/agencies
- On-line civil records searches
- Credit report search
- Social media searches

### **Summit Background Investigations: Task-Specific Work Plan**

The following is a detailed work plan with estimated task hours, materials and expenses. Our work plans are customized to client requirements.

#### **Supervisory Scoping**

**Time:** 30 minutes per file

**Expenses:** Mileage, if client visits/document retrieval are required

**Materials/Deliverables:** None

- Receive, scope, and assign case tasks. Review and discuss with client

#### **Review candidate's Personal History Statement/Application/Resume**

**Time:** 45 minutes to 1 hour per file

**Expenses:** None

**Materials/Deliverables:** None

- Identify conflicts, contradictions and/or immediate disqualifying factors (i.e. felony convictions, current illegal drug use, lack of citizenship documentation)
- Review and analyze all documents provided by the candidate, verify their authenticity, confirm that they are sufficient and legally acceptable for the purposes of the background investigation.



- Sealed Education Transcripts, Diplomas, Citizenship Documents, Birth Certificate, Social Security Card, Passport, Drivers' License, Professional Licenses, Insurance Certificates, Military Records, Credit Reports, Marriage Certificates, Civil/Criminal/Divorce Files, Bankruptcy Documents, etc.

### **Background Interview with Candidate**

**Time:** 2.5 hours plus travel time

**Expense:** Mileage

**Materials/Deliverables:** Interview summary, digital recording of interview, copies of original documents

- Review PHS with candidate to observe if any answers change
- Identify curious, suspicious and/or incomplete candidate responses
- Question the candidate about possible disqualifying issues
- Establish rapport with the candidate to obtain more open and candid answers
- Identify deceptive behavior exhibited by the candidate
- Clarify ambiguous, incomplete or missing information on PHS and PIQ
- Obtain necessary authorizations, releases and waivers
- Gain a solid overall view of the candidate and their personal history
- Verification of Date of Birth, Marriage/Divorce Records, and Military Records
- Obtain copies of any original documentation provided by the candidate
- Observe the applicant's residence, neighborhood, and community in which they reside

### **Employment History Verification**

**Time:** 60 to 75 minutes per employer

- Encompasses previous 10 years
- Interviews with supervisors and co-workers

**Expenses:** Mileage to and from employers, multiple copies, long distance telephone calls

**Materials/Deliverables:** Interview summaries for each employer, digital recordings, personnel files

- In-person interviews with employers going back 10 years
  - Contact should be made in advance with employers to ensure that supervisor and witness availability.
  - If employer is out-of-state or an excessive distance away, telephone, internet or fax verifications may be sufficient
- Interview 2 supervisors and 1 co-worker (when possible)
- Provide candidate's Notarized Release and Waiver
  - If employer refuses to provide information, even with necessary documentation, the candidate should be notified and the efforts should be documented in the investigative file.
- Review and copy personnel records
  - Investigator should verify prior to the visit whether this will be available onsite or through corporate channels

### **Personal Reference Interviews**

**Time:**

- Residential Canvass Field investigation: 15 minutes per neighbor
- Spousal/Significant Other Interviews Field investigation: 1 hour
- Community Leader Interviews: 15 to 30 minutes per interview

**Expenses:** Mileage to and from residences

**Materials/Deliverables:** Interview summaries, digital recordings, neighborhood questionnaires, copies of rental agreements

- In-person interviews/canvass for residences going back five years
  - If additional information is found, subsequent residential canvasses may be required

- Interview as many neighbors as possible to verify residence and provide insight into any potential adverse issues
  - If neighbors are unavailable, leave a residential questionnaire, business card and return envelope
- Interview property manager/landlord
  - Review rental agreement, discuss rental payment history, identify roommates, obtain information regarding complaints or damage to residence upon departure
- Interview past and present roommates
  - Including family members, former spouses, former significant others (see below)
- Conduct online searches to identify neighbors from out-of-state former residences

### **Investigation of Applicant Information via Online Searches**

**Time:** 1 hour for searches and record reviews

**Expenses:** Source information costs

**Materials/Deliverables:** Summary of search results

- Conduct name and/or email searches at each site to obtain additional personal information about the candidate.
- Conduct Criminal and Civil Searches in areas where claimant has resided and/or worked
- Obtain Driving History
- Conduct other public record searches
  - Bankruptcy
  - Property
  - Corporations
  - Business Affiliations
  - Liens
  - Judgments
  - Marriages/Divorces
- Social networking site searches – Facebook, LinkedIn, Twitter, Instagram, YouTube
- Other online searches – Google, Bing, Yahoo
- Conduct follow-up inquires based on information obtained

### **Physical Criminal Records Search**

**Time:** 1 hour

**Expenses:** Mileage to and from court; applicable court fee

**Materials/Deliverables:** Copy of complete, original criminal records held by the arresting agency or court

### **Physical Civil Records Search (if requested by client)**

**Time:** 1 hour

**Expenses:** Mileage to and from court; applicable court fee

**Materials/Deliverables:** Copy of complete, original civil records and judgments held by the court

### **Clarification Interview**

**Time:** 1 hour plus travel time

**Expenses:** Mileage

**Materials/Deliverables:** Investigation summary, digital recording

- In-person interview of candidate to clarify adverse or significant information obtained during the background investigation
- Interview may be conducted with 2 investigators to ensure thoroughness
- Utilize effective interviewing techniques to gain truthful statements
- If it is confirmed that false information was provided by the candidate, City of Fort Lauderdale should be immediately notified so that the candidate's disqualification can be considered.



**Review and Follow-Up**

**Time:** 15 to 30 minutes per follow-up

**Expenses:** Possible mileage if additional in-person interviews need to be conducted

**Materials/Deliverables:** Investigation summary, digital recordings, additional documentation (as needed)

- This is a task that will be conducted throughout the investigation
- Identify possible inconsistencies and or potential concerns to the City
- If additional clarification is needed, conduct follow-up interviews with witnesses

**Notification to the City**

**Time:** 15 to 30 minutes

**Expenses:** None

**Materials/Deliverables:** Evidence of potentially disqualifying information

- If the investigation reveals potentially disqualifying information at any time during the background investigation, the City will be contacted immediately.
- The investigator will assist the City in determining whether the background investigation should continue or whether the candidate should be disqualified based on the information obtained.

**Preparation of Background Investigative Report**

**Time:** 30 minutes per page, with most reports being more than 20 pages long

**Expenses:** None

**Materials/Deliverables:** Background Investigative Report, Executive Summary, supporting documentation

- A narrative report will be provided upon completion of the investigation.
- The report will highlight any negative or disqualifying information obtained

**Provide Legal Testimony**

**Time:** 2 to 4 hours

**Expenses:** Mileage to and from legal proceeding

**Materials/Deliverables:** None

- Upon request, the investigator who conducted the candidate's background investigation will appear at any legal or employment related hearing to provide testimony
- Summit's investigators are familiar with court procedure, the laws of maintaining evidence and the appropriate responses during testimony

**Attend Meetings, Trainings and Presentations**

**Time:** As necessary

**Expenses:** Mileage to and from the meeting, training or presentation location

**Materials/Deliverables:** Presentation and training materials (as needed)

- Summit's Investigative Manager and background investigators will be available to participate in any City meeting, training, or presentation.
- Based on Summit's experience in background investigations, training can be provided to City employees regarding background investigation procedures.



## **Tactical Methodologies**

### **Request for Services**

Upon receipt of a request for a background investigation, we will immediately initiate the investigative process. The Investigations Manager will conduct an initial review of the PHS/application or resume and determine the physical location that need to be visited for residential canvassing, employment verifications and spousal/significant other interviews. As the field portion of the investigation is usually the most time consuming, the Project Manager will allocate additional resources ensure that the field portion of the assignment is completed in a timely manner.

Within one business day of receipt of an assignment, the Investigations Manager will assign the case to the appropriate investigator, who will perform the majority of the investigative tasks, as outlined above. We utilize our cadre of background investigators geographically throughout California to minimize travel and expense costs. Additionally, the Investigations Manager will determine whether any portion of the investigation should be conducted by a bilingual investigator, such as for residential canvassing, spousal/significant other interviews, and so forth.

Also during the meeting, timelines will be established for each portion of the assignment. Circumstances beyond the investigator's control may cause delays. However, delays will be minimized as much as possible and the City contact will be kept apprised of the progress of the investigation.

### **Review and Investigation of Personal History Information**

Summit understands regulations concerning the review and investigation of personal history information provided by the candidate. The candidate will be providing a detailed Personal History Statement (PHS)/application/resume and supporting documentation. The information will be diligently reviewed for accuracy, consistency and authenticity. Summit has extensive experience in application and document review. Our detail-oriented investigators carefully consider and independently examine each piece of information supplied by the candidate. Following document review, investigators conduct complete online and field investigations to verify all information provided by the candidate. Summit will follow all applicable regulations with respect to review and investigation of personal history information.

### **Interviews**

Summit investigators are experienced in all interview techniques and are fully versed in *POST Hiring Interview Guidelines*. Summit interviews are performed in an appropriate and legal manner, including in compliance with the Americans with Disabilities Act. Summit investigators utilize six interview factors: experience; problem solving; communications skills; interest and motivation; interpersonal skills; and community involvement and awareness.

### **Residential Canvassing**

Canvassing is an integral part of any pre-employment background investigation. Summit's investigators are accustomed to creating an environment to put the interviewee at ease and facilitate dialogue. Neighbors are generally willing to assist in the investigation if they understand that the information they provide will benefit the candidate and the public. Additionally, interviews are conducted with past property managers/landlords to obtain additional information about the claimant's residential history and off duty behavior.

### **Online Personal History**

Social media sites are excellent resources for obtaining additional information about candidates. Often, people's online lifestyles say more about them than a personal history statement or other traditional means of candidate screening. Summit utilizes online lifestyle searches in nearly every investigation it conducts. These sites are free to search and easy to use and understand. These searches can reveal information about a candidate's friends, their off-duty activities, hobbies, education, employment history,



and general demeanor. Summit investigators are expert at obtaining useful information from social media searches.

### **Project Team Meetings/Progress Reports**

Background investigators provide daily progress reports to the Investigations Manager. Upon completion of each task or subtask, the investigator will notify the Investigations Manager for review. When delays are anticipated, the Investigations Manager or Background Investigator will immediately notify the City to determine the best course of action. Upon request, the City contact can be forwarded or “cc’d” on all electronic communications between the investigators, witnesses, and employers. A chronological record will be maintained of all investigative activities. This time log can be provided at any time, as requested by the City, and will accompany the final invoice. Any adverse or potentially disqualifying information obtained during the investigation will be communicated to the City both via email and telephone to ensure a timely notification.

### **Issue/Risk Management Techniques**

Summit investigators are highly trained, experienced professionals; however, unanticipated issues can arise during the course of an investigation. Some issues may include a lack of cooperation (by witnesses, employers or spouses/significant others); investigator safety concerns; discovery of information possibly protected by the Americans with Disabilities Act (ADA); discovery of conflicts of interest; or discovery of false information provided by witnesses or candidates, just to name a few. The Investigations Manager will assess any serious issue and take corrective action to address the matter. Additionally, Summit investigators are trained to anticipate potential issues and can address them as they arise.

### **Timeliness**

Summit investigations will be conducted in a timely and cost-efficient manner. Contact will be maintained with City representatives. Any information deemed to be of urgency or serious importance will be communicated immediately as it is uncovered. During the course of our investigation, our investigators will conduct themselves in a professional and courteous manner, keeping in mind City standard policies and procedures. Summit has the capacity to accelerate complete investigations deemed by the City as “priority” cases.

### **Written Report**

With any investigation conducted, a well-organized written report and investigative summary will be issued to the City detailing the results of our investigation. Please see below.

### **Quality Review**

Summit’s case management practices provide for review and quality control of investigative actions to ensure a complete product the first time, meeting and exceeding client timeframes. Summit’s quality control procedures include a complete management review of report information. Furthermore, over four percent of information received from our sources/vendors is cross-referenced and verified to ensure statistical accuracy.

### **Performance Monitoring**

Summit strictly adheres to industry best practices. We also understand that our clients may wish to monitor, audit, or review the methods used by Summit in performance of background investigations. As a responsive investigative services partner, Summit diligently acts upon suggestions or requests made for modification by the client.

### **Testimony**

Summit strictly follows all legal requirements in gathering investigative information, limiting the liability exposure of our clients. However, we will be available to assist the City should legal actions result from the investigations. Summit staff and investigators are experienced in testifying in state and federal civil



courts, criminal trials, and administrative hearings. Our investigators are experienced and trained in proper procedures and courtroom demeanor. Their testimony is professional and concise, emphasizing observations and evidence obtained in a lawful matter. We maintain all evidence that is acquired during the course of our investigations in accordance with applicable rules of evidence and as per client requirements.

### **Language Needs**

Bilingual investigators can be especially beneficial in conducting residential canvasses. With a robust Investigative Services Division that includes a pool of qualified investigative resources, Summit customizes its services to client needs, including specific cultural and language requirements. For example, we use Spanish-language translators, when needed. We maintain the ability to comply with client needs and requirements in virtually all world languages.

### **Meeting Workload Requirements**

Summit maintains a resource base of qualified background investigators. Summit will leverage this resource base, if needed, to staff up for high workloads, reduce time constraints, or simultaneous projects. Summit has the organizational infrastructure to respond to, and complete, the City's needs, including up to five investigations at one time.

### **Urgent Requests**

As a responsive investigative services partner, we will maintain 24/7 availability to the City to fulfill urgent requests. We have the resources to initiate urgent investigative or management requests, typically within four to eight hours, if not sooner.

### **Background Investigations: Estimated Timeline**

Summit anticipates each background investigation taking approximately 14-21 days, depending on the availability of witnesses and documentation. The following is an estimated timeframe for the completion of each task/subtask:

- **Day 1: Review Candidate Application/Resume:** In-Office Investigation: 45 minutes to 1 hour per applicant/file
- **Day 2 – 5: Initial background interview with the candidate; review the information provided in the Application/Resume:** Field Investigation: 2 to 2.5 hours, plus travel time and mileage
- **Day 5 – 6: Database/Online Searches:** In-Office Investigation: 1 hour per applicant
- **Day 6 – 12: Employment History Verification:** Field Investigation: 1 hour per employer
- **Day 6 – 12: Interviews with Personal References, Residential Canvass, Spousal/Significant Other:** Field Investigation: 15 to 30 minutes per personal and neighbor, 1 hour per spouse
- **Day 6 – 12: Physical Criminal Records Search:** Field Investigation: 1 hour per court record
- **Day 6 – 12: Physical Civil Records Search (if requested by client):** Field Investigation: 1 hour per court record
- **As Needed: Notification: Adverse or Potentially Disqualifying Information:** In-Office Investigation: .25-2 hours, depending on verbal notification or written correspondence
- **Day 12 – 15: Candidate Clarification Interview:** Field Investigation: 45 minutes to 1 hour
- **Day 12 – 18: Review and Follow-up:** In-Office Investigation: 30 minutes per follow up
- **Day 14 – 21: Preparation of Background Investigative Report:** In-Office Investigation: 10 hours, depending on length of report

Summit background investigative report and background packages will be assembled, bound, and submitted to the City of Fort Lauderdale within four to six weeks, unless otherwise approved in writing by the City.

### **Complete Reporting**

From the outset of the contract, Summit can and will provide contract, daily, monthly, ad hoc, and annual reports, as required by the City. Our reports will demonstrate clear audit trails, detailed payment adjustments, and account balance experience by account. Summit applies best-practices accounting principles in our reporting. Summit complies with all federal, state, and local laws and regulations regarding retention of records. All original documents are kept and safeguarded, and available immediately upon client request. Summit is capable of handling and storing client information and evidence in any format, media, or form. With state-of-the-art, integrated backend software, Summit maintains accurate records of all client account information, including employee time records and accounting records consistent with the principles of the American Institute of Certified Public Accountants.

We also have complete flexibility in our ability to provide reports in the manner and form the City requires. Reporting can include such items as monthly billing survey; monthly accounting of fees charged for services rendered; weekly progress reports and status of background candidates; annual activities report; and other customized reports required.

### **Final Investigative Report**

With any investigation conducted, a well-organized written report and investigative Executive Summary will be issued to the City detailing the results of our investigation. All reports are checked by Summit management prior to client release. Summit meets all client timelines for report delivery. Naturally, Summit delivers the results of the background investigation by hand and in-person, as the file contains original required documents; however, at your request, we can deliver certain investigative results to the City through our secure website portal.



## **D. References**

### **Rancho Cucamonga Fire Protection District**

Don Cloughesy, Deputy Chief, Fire Administration/Support  
10500 Civic Center Drive, PO Box 807  
Rancho Cucamonga, Ca. 91730  
(909) 477-2770 Ext 3002  
FAX (909) 477-2772  
Email: don.cloughesy@cityofrc.us

### **New York State Gaming Commission**

Shanta S. Puran  
Gaming Occupational Licensing Supervisor, Bureau of Licensing  
1 Broadway Center  
P.O. Box 7500  
Schenectady, NY 12301-7500  
Ph: (518) 388-1203  
Fax: (518) 347-1472  
Email : Shanta.Puran@gaming.ny.gov

### **Santa Monica Fire Department**

Tom Clemo  
Deputy Chief of Administration  
Public Safety Facility  
Second Floor  
333 Olympic Drive  
Santa Monica CA 90401  
Phone: 310-458-8666  
Email: Tom.clemo@smgov.net

## **E. Minority/Women (M/WBE) Participation**

Summit maintains a corporate strategy that cultivates a diverse vendor and subcontractor base, including certified minority and female-owned business enterprises and service-disabled veterans business enterprises. These partners increase our ability to fulfill client diversity requirements. Across certain service lines, we utilize our partners to the greatest extent possible in meeting participation goals for local, state, and federal governments, while maintaining world-class service excellence.

Summit is willing to make good faith efforts to meet any M/WBE goals the City may set and is happy to discuss the methods by which these goals can be achieved with the City should Summit be awarded the contract.



## F. Subcontractors

Summit plans to use the following subcontractor when providing background investigation services to the City of Fort Lauderdale.

Phil Lenger  
TMS Investigations LLC  
1516 East Colonial Dr  
#201  
Orlando, Fl 32803  
407-538-3922  
[phillip.lenger@gmail.com](mailto:phillip.lenger@gmail.com)

## G. Required Forms

- Proposal Certification
- Cost Proposal
- Non-Collusion Statement
- Local Business Preference
- Contract Payment Method
- Sample Insurance Certificate
- Business License
- Sample Report



BID/PROPOSAL CERTIFICATION

Please Note: If responding to this solicitation through BidSync, the electronic version of the bid response will prevail, unless a paper version is clearly marked by the bidder in some manner to indicate that it will supplant the electronic version. All fields below must be completed. If the field does not apply to you, please note N/A in that field.

If you are a foreign corporation, you may be required to obtain a certificate of authority from the department of state, in accordance with Florida Statute §607.1501 (visit http://www.dos.state.fl.us/).

Company: (Legal Registration) Summit Security Services, Inc.

Address: 390 RXR Plaza

City: Uniondale State: NY Zip: 11556

Telephone No. 516-240-2417 FAX No. 516-368-3630 Email: nmauletta@summitsecurity.com

Delivery: Calendar days after receipt of Purchase Order (section 1.02 of General Conditions):

Total Bid Discount (section 1.05 of General Conditions):

Does your firm qualify for MBE or WBE status (section 1.09 of General Conditions): MBE WBE

ADDENDUM ACKNOWLEDGEMENT - Proposer acknowledges that the following addenda have been received and are included in the proposal:

Table with 6 columns: Addendum No., Date Issued, Addendum No., Date Issued, Addendum No., Date Issued. Row 1: 1, 11/14/2016, blank, blank, blank, blank.

VARIANCES: If you take exception or have variances to any term, condition, specification, scope of service, or requirement in this competitive solicitation you must specify such exception or variance in the space provided below or reference in the space provided below all variances contained on other pages within your response. Additional pages may be attached if necessary. No exceptions or variances will be deemed to be part of the response submitted unless such is listed and contained in the space provided below. The City does not, by virtue of submitting a variance, necessarily accept any variances. If no statement is contained in the below space, it is hereby implied that your response is in full compliance with this competitive solicitation. If you do not have variances, simply mark N/A. If submitting your response electronically through BIDSYNC you must also click the "Take Exception" button.

The below signatory hereby agrees to furnish the following article(s) or services at the price(s) and terms stated subject to all instructions, conditions, specifications addenda, legal advertisement, and conditions contained in the bid/proposal. I have read all attachments including the specifications and fully understand what is required. By submitting this signed proposal I will accept a contract if approved by the City and such acceptance covers all terms, conditions, and specifications of this bid/proposal. The below signatory also hereby agrees, by virtue of submitting or attempting to submit a response, that in no event shall the City's liability for respondent's direct, indirect, incidental, consequential, special or exemplary damages, expenses, or lost profits arising out of this competitive solicitation process, including but not limited to public advertisement, bid conferences, site visits, evaluations, oral presentations, or award proceedings exceed the amount of Five Hundred Dollars (\$500.00). This limitation shall not apply to claims arising under any provision of indemnification or the City's protest ordinance contained in this competitive solicitation.

Submitted by:

Nicholas M. Auletta
Name (printed)

Handwritten signature of Nicholas M. Auletta

Signature

11/18/2016
Date:

Co-President
Title

**SECTION VI - COST PROPOSAL PAGE**

**Proposer Name:** Summit Security Services, Inc.

Proposer agrees to supply the products and services at the prices bid below in accordance with the terms, conditions and specifications contained in this RFP.

Cost to the City: Contractor must quote firm, fixed, costs for all services/products identified in this request for proposal. These firm fixed costs for the project include any costs for travel and miscellaneous expenses. No other costs will be accepted.

- 1. Cost per Pre-Employment Background Investigation sworn position (each)      \$ 2,000
- 2. Hourly rate for additional related services sworn position (\$ per hour)      \$ 95
- 3. Cost per Pre-Employment Background Investigation civilian position (each)      \$ 1,700
- 4. Hourly rate for additional related services civilian position (\$ per hour)      \$ 85

**Submitted by:**

Nicholas M. Auletta  
Name (printed)

November 18, 2016  
Date



\_\_\_\_\_  
Signature

Co-President  
Title



**NON-COLLUSION STATEMENT:**

By signing this offer, the vendor/contractor certifies that this offer is made independently and *free* from collusion. Vendor shall disclose below any City of Fort Lauderdale, FL officer or employee, or any relative of any such officer or employee who is an officer or director of, or has a material interest in, the vendor's business, who is in a position to influence this procurement.

Any City of Fort Lauderdale, FL officer or employee who has any input into the writing of specifications or requirements, solicitation of offers, decision to award, evaluation of offers, or any other activity pertinent to this procurement is presumed, for purposes hereof, to be in a position to influence this procurement.

For purposes hereof, a person has a material interest if they directly or indirectly own more than 5 percent of the total assets or capital stock of any business entity, or if they otherwise stand to personally gain if the contract is awarded to this vendor.

In accordance with City of Fort Lauderdale, FL Policy and Standards Manual, 6.10.8.3,

3.3. City employees may not contract with the City through any corporation or business entity in which they or their immediate family members hold a controlling financial interest (e.g. ownership of five (5) percent or more).

3.4. Immediate family members (spouse, parents and children) are also prohibited from contracting with the City subject to the same general rules.

**Failure of a vendor to disclose any relationship described herein shall be reason for debarment in accordance with the provisions of the City Procurement Code.**

<u>NAME</u>	<u>RELATIONSHIPS</u>
_____	_____
_____	_____
	_____
	_____

**In the event the vendor does not indicate any names, the City shall interpret this to mean that the vendor has indicated that no such relationships exist.**

**LOCAL BUSINESS PREFERENCE CERTIFICATION STATEMENT**

The Business identified below certifies that it qualifies for the local BUSINESS preference classification as indicated herein, and further certifies and agrees that it will re-affirm it's local preference classification annually no later than thirty (30) calendar days prior to the anniversary of the date of a contract awarded pursuant to this ITB. Violation of the foregoing provision may result in contract termination.

(1) \_\_\_\_\_ is a **Class A** Business as defined in City of Fort Lauderdale Ordinance No. C-12-04, Sec.2-199.2. A copy of the City of Fort Lauderdale current year Business Tax Receipt and a complete list of full-time employees and evidence of their addresses shall be provided within 10 calendar days of a formal request by the City.  
 Business Name

(2) \_\_\_\_\_ is a **Class B** Business as defined in the City of Fort Lauderdale Ordinance No. C-12-04, Sec.2-199.2. A copy of the Business Tax Receipt or a complete list of full-time employees and evidence of their addresses shall be provided within 10 calendar days of a formal request by the City.  
 Business Name

(3) \_\_\_\_\_ is a **Class C** Business as defined in the City of Fort Lauderdale Ordinance No. C-12-04, Sec.2-199.2. A copy of the Broward County Business Tax Receipt shall be provided within 10 calendar days of a formal request by the City.  
 Business Name

(4) \_\_\_\_\_ requests a **Conditional Class A** classification as defined in the City of Fort Lauderdale Ordinance No. C-12-04, Sec.2-199.2. Written certification of intent shall be provided within 10 calendar days of a formal request by the City.  
 Business Name

(5) \_\_\_\_\_ requests a **Conditional Class B** classification as defined in the City of Fort Lauderdale Ordinance No. C-12-04, Sec.2-199.2. Written certification of intent shall be provided within 10 calendar days of a formal request by the City.  
 Business Name

(6) Summit Security Services, Inc. is considered a **Class D** Business as defined in the City of Fort Lauderdale Ordinance No. C-12-04, Sec.2-199.2. and does not qualify for Local Preference consideration.  
 Business Name

BIDDER'S COMPANY: Summit Security Services, Inc.

AUTHORIZED COMPANY PERSON: Nicholas M. Auletta  11/18/2016  
 NAME SIGNATURE DATE



**CONTRACT PAYMENT METHOD BY P-CARD**

THIS FORM MUST BY SUBMITTED WITH YOUR RESPONSE

The City of Fort Lauderdale has implemented a Procurement Card (P-Card) program which changes how payments are remitted to its vendors. The City has transitioned from traditional paper checks to payment by credit card via MasterCard or Visa. This allows you as a vendor of the City of Fort Lauderdale to receive your payment fast and safely. No more waiting for checks to be printed and mailed.

Payments will be made utilizing the City's P-Card (MasterCard or Visa). Accordingly, firms must presently have the ability to accept credit card payment or take whatever steps necessary to implement acceptance of a credit card before the commencement of a contract.

Please indicate which credit card payment you prefer:

\_\_\_\_\_ MasterCard

\_\_\_\_\_ Visa Card

Company Name: Summit Security Services, Inc.

Nicholas M. Auletta  
Name (printed)

  
Signature

11/18/2016  
Date:

Co-President  
Title

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY) 10/10/2016

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

Table with PRODUCER (Cool Insuring Agency, Inc.), INSURED (Summit Security Services, Inc.), and INSURER(S) AFFORDING COVERAGE (Crum & Forster Specialty Ins Co, Hartford Ins Co of the Midwest, Great American Insurance Co, Harleysville Insurance Co of NY).

COVERAGES CERTIFICATE NUMBER: REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

Main table with columns: INSR LTR, TYPE OF INSURANCE, POLICY NUMBER, POLICY EFF (MM/DD/YYYY), POLICY EXP (MM/DD/YYYY), LIMITS. Includes rows for Commercial General Liability, Automobile Liability, Umbrella Liab, Workers Compensation and Employers' Liability, and Fidelity Crime.

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required) Regarding the above referenced General Liability Insurance Policy, the certificate holder is included as an Additional Insured when required by written contract and only with respect to the negligent acts, errors or omissions of the Named Insured.

Table with CERTIFICATE HOLDER (Evidence of Insurance Bid Purposes Only) and CANCELLATION (SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS. AUTHORIZED REPRESENTATIVE: Anthony J. Marchitto).



UNIQUE ID NUMBER

11000081460

*State of New York*  
*Department of State*  
— DIVISION OF LICENSING SERVICES —

Pursuant to the provisions of  
ARTICLE 7 OF THE GENERAL BUSINESS LAW  
AND AMENDMENTS THERETO

SUMMIT SECURITY SERVICES INC  
16 W 36TH ST  
3RD FL  
NEW YORK NY 10018

HAS BEEN ISSUED A BRANCH OFFICE LICENSE TO TRANSACT BUSINESS AS A  
PRIVATE INVESTIGATOR

FOR THE TERM OF TWO YEARS FROM DATE HEREOF, TO BE REPRESENTED,  
AS PRINCIPAL, BY THE QUALIFIED MEMBER(S) NAMED ON THE ATTACHED:

ROSSANA ROSADO  
SECRETARY OF STATE

In Witness Whereof, The Department of State has caused  
its official seal to be hereunto affixed.

DOS-099 (Rev. 4/03)

FOR OFFICE USE ONLY  
Control No. **889079**

EFFECTIVE DATE  
MO. | DAY | YR.  
08 | 28 | 16

EXPIRATION DATE  
MO. | DAY | YR.  
08 | 27 | 18

STATE OF CALIFORNIA  
DEPARTMENT OF CONSUMER AFFAIRS



LICENSE NO. PI 26577  
RECEIPT NO. 52540655

**PRIVATE INVESTIGATOR**



Bureau of Security and Investigative Services  
P.O. BOX 989002  
West Sacramento, CA 95798-9002  
(916) 322-4000

VALID UNTIL OCTOBER 31, 2017

SUMMIT OF CALIFORNIA  
390 RXR PLAZA  
UNIONDALE NY 11556

In accordance with the provisions of  
Division 3, Chapter 11.3 of the Business  
and Professions Code, the company  
named hereon is issued a Private  
Investigator License Renewal.

09/16/15  
09/16/15

----- NON-TRANSFERABLE ----- POST IN PUBLIC VIEW -----

WPPI 12/31/07





**ADDENDUM NO. 1**

RFP/ ITB No. 765-11829

TITLE: Private contracted pre-employment background investigations

ISSUED: 11/10/2016

This addendum is being issued to make the following change(s):

1. Section IV (Cost Proposal Page) has been amended and now includes four (4) items in total. Each item must be priced.
2. The opening date has been changed to 11/21/2016

All other terms, conditions, and specifications remain unchanged.

(Adam Makarevich)  
(Procurement Specialist II)

Company Name: Summit Security Services, Inc.  
(please print)

Bidder's Signature: 

Date: 11/18/2016



Date:

To: \_\_\_\_\_, Chief of Police  
Police Department

C/O:

From: Glen M. Willett & |  
Background Investigators

Subject: Background Investigation of Police Officer-Recruit applicant

PERSONAL

The applicant was born in Artesia, California on \_\_\_\_\_; he is 22 years of age. He is described as a Hispanic male, 5'7" in height and he weighs 145 pounds. The applicant has brown eyes and hair.

The applicant resides at \_\_\_\_\_. His Social Security Number is \_\_\_\_\_. The applicant's telephone contact numbers are; home \_\_\_\_\_ and cellular \_\_\_\_\_. His work telephone number at the La Habra Police Department is \_\_\_\_\_. His email address is \_\_\_\_\_.

The applicant is single and has never been married.

INTERVIEW WITH APPLICANT

On September \_\_\_\_\_ an in-person interview was conducted with the applicant at his Whittier residence. Also present at the residence; but not in the immediate area of the interview were the applicant's mother, father, and sister. Prior to meeting with the applicant, the documents he submitted for this investigation were reviewed and found to have been completed in accordance with the instructions provided. The information was hand written in a clear and legible manner. Also all of the requested support documents were provided as requested.

Upon arrival at the applicant's home, he was found to be neat and clean in appearance and the residence was well maintained both inside and out. The residence is located in an older, well established part of the city.

The applicant reported his residence is the family home. He lives there along with his father, \_\_\_\_\_ mother, \_\_\_\_\_; brother, \_\_\_\_\_; and sister, \_\_\_\_\_.

SUMMIT OF CALIFORNIA  
P.I. 26577/PPO 16513

3191 W. Temple Ave., Suite 248, Pomona, CA 91768 • (714) 508-3610 • (800) 924-2366 • Fax (714) 508-3611  
www.summitsecurity.com



, Chief of Police

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The applicant advised that both of his parents are employed, his 17 year old brother is a senior in high school and his 20 year old sister is a college student and works part-time at Disneyland.

During the interview, the applicant said he has been interested in law enforcement since he was a young boy. He explained his interest actually goes back to when he was four or five years of age. He said his interest which is now a career goal has only gotten stronger with age and with his exposure to the field during his years of related employment. The applicant said he does not have any relatives who are or have been employed as a police officer. He said over the years he has developed friendships with police officers and others with an interest in becoming officers. The applicant said the aspects of police work that most interest him are not just, "Catching the bad buys", but the opportunity to help others. The applicant stated he has the support of his family in his venture to seek a career in law enforcement. He commented his ultimate goal is to be a Chief of Police.

The applicant stated to prepare himself for being a suitable police officer candidate; he has tried to always conduct himself in a manner he believes is acceptable for the profession. He said he has continued his education past high school with a focus on the Administration of Justice field. He has sought out employment and been hired into law enforcement related positions. He also said he has taken advantage of the opportunity to communicate with individuals in different life styles because he feels the better he understands the individual traits of people the better officer he will be. The applicant also stated he has spoken with several law enforcement officers and learned from their shared experiences. Another preparatory step the applicant spoke of were his hundreds of ride along hours, including two recent shifts with the South Gate Police Department.

During the interview, the applicant said he understands the academy will be physically demanding. He said to prepare himself; he has been working out on a regular basis to build his stamina.

The applicant reported he has never smoked cigarettes. He said he does have an occasional beer with his friends. He denied ever consuming alcohol before he was 21 years old and said he has never operated a motor vehicle while under the influence of alcohol. The applicant denied any experimentation or use of any type of controlled or illegal substance. He said it would have been against his morals that were instilled in him by his parents. He added that he would not have done anything that he thought may have jeopardized his career path.

To the applicant's best recollection, the most risky behavior he participated in would have been his driving habits during as he referred, "his younger years". He explained that he used to have a tendency to drive a little to fast at times. The applicant said that in addition to having to pay fines for the citations he was issued, he also became more aware of the dangers involved in not following the speed laws. The awareness was reportedly associated with his working with police departments and seeing first hand

, Chief of Police

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what can happen. During this interview, he said he believed his last ticket for excessive speed was in 2011.

The applicant's experience with firearms was also discussed during this interview. He said he owns a shotgun and he often goes with his father to the shooting range. The applicant said he feels that he is pretty proficient in his use of the firearms. He also said he understands how the weapons work and is able to correct many of the common malfunctions that can occur while firing. He also knows how to maintain the weapons.

The applicant reported that in his leisure time, he enjoys working on his car with a friend or going on hiking trips. The applicant said he is currently not in a relationship with anyone and has not been in one since high school. He explained it would be too difficult to maintain a relationship with his work and school schedule.

The applicant reported that he does not currently maintain a social media site. He said he previously had a Facebook page. He estimated he has not posted to the site since 2009. General public research of the applicant's name and provided emails did not reveal a social media sight for the applicant.

#### RELATIVES AND REFERENCES

**Marital Status:** The applicant reported to have never been married.

**Offspring:** None.

**Parents:** On , an in-person interview was conducted with the applicant's father, . The interview was conducted at his residence located at . This is also where the applicant resides. Mr. 's telephone number is . His work telephone number is . and his cellular telephone number is . Mr. 's has a work email address of .

Mr. said although he has a little apprehension about his son being a police officer in which he realizes is because of the potential dangers associated with the position. He explained however that he supports his son in his desire to begin a career in law enforcement. Mr. explained his son has made this career choice and appears to be doing all the right things to prepare himself for the venture. He explained how his son had a police uniform when he was four years old that was made for him by an aunt. Mr. said all through high school his son would always say he was going to be a police officer. His first official step in that direction was when he joined the police explorer program.

During the interview, Mr. said he has been involved in the aerospace industry for 27 years. He said he loves his job and the challenges that come along with being



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successful in the field. He said he understands how important it is to be happy in one's career and he wants his son to experience that feeling.

Mr. described the applicant's traits as being a responsible individual. He said he has a reserved and not "over bearing" demeanor. Mr. said his son is extremely organized and hard working. He also said the applicant has never shown any signs that he may be prejudice in any way and he gets along well with everyone. The applicant was further described as being a person of integrity and his honesty has never been questioned. Mr. said his son does not have a problem with the use of alcohol or controlled substances. The applicant's personality was described as being quiet; however, he likes to have fun. Mr. said he knows his son would not have any problem with maintaining issues of confidentiality.

Mr. said the applicant has a select group of friends. He said they share a lot of the same interests and as far as he knows are all law abiding "good kids".

During the interview, Mr. was asked to identify one of the applicant's weak traits where he may improve. After thinking for a little while, he said the only thing that comes to mind would be the applicant works a little too much. Mr. then stated that this trait may also be a positive when considering the applicant's work ethic.

Mr. said he fully supports his son in his desire to be a police officer and recommends him for a position with the South Gate Police Department.

is the applicant's mother. She resides at the same residence as her husband and the applicant. Her home number is the same as her husband and son. Her work telephone number is Her cellular telephone number is . She has an email address of . Mrs. is employed as a Physical Therapist Assistant.

Mrs. was interviewed at her residence on During the interview, Mrs. shared that her son has expressed a desire to be a police officer since he was a little boy. She said when the applicant was young; his favorite reward for good behavior was a "stick-on" police badge. She said he has never lost that desire and it has only gotten stronger over the years. Mrs. said once she became aware that her son was serious about becoming a police officer, she was a little nervous. She said she weighed her feeling against how strong his desire for the position was and knew she had to support him. She said she became aware that a lot of her fears were brought on by media coverage of a few incidents and do not represent law enforcement as a whole. She also said the applicant's strong desire helped her overcome her fears.

When Mrs. described the applicant's stronger traits, she said he was a very determined and focused individual. She said he takes an organized approach to tasks. The applicant was further described as being honest and has never done or said anything

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to indicate he could be prejudice. She said the applicant has a reserved and serious personality and he interacts well with others. Mrs. said her son is selective about who he chooses as friends. She said many of them share the same life beliefs as the applicant.

In identifying any weak character traits she may have observed in the applicant, Mrs. said he works too much. She said for a period of time the applicant was working three jobs. She said he enjoyed the work so much, she thinks he looked at it more as a type of hobby. Mrs. also said the applicant can be stubborn at times and she said that is probably because he is so focused.

Mrs. said she believes the applicant is an excellent candidate and recommended him for hire as a Police Officer.

**Siblings:** is the applicant's younger brother. He too lives at the Whittier family residence and shares the same home telephone number. A work phone number, cellular phone number, and email address were not provided for . A questionnaire was sent to him at his residence and returned via US mail on September 11, 2013. described the applicant as a very trustworthy and very friendly person that has good moral values and a positive outlook on life. He also feels that the applicant is very mature and stable being that he holds three jobs. He stated that he has never seen the applicant drink an alcoholic beverage. He also said that he feels the applicant is dependable and reliable as he has never let him or his family down. He felt that the applicant can be trusted with confidential matters as he deals with confidential information at work. He stated that the applicant is fair to everyone regardless of their physical characteristics.

is the applicant's 20 year old sister. She too lives at the family residence. She shares the same home telephone number and her personal cellular telephone number is . She has an email address of . is a student at College and is employed part-time by . as a life guard at the hotel.

said she supports her brother in his career choice. She said she has heard him talking about being a police officer for as long as she can remember. Ms. said the applicant speaks with enthusiasm about the aspects and opportunities associated with law enforcement.

Ms. described her brother as being a dedicated person. She said he is focused and goal oriented. said these traits are not only visible when she thinks about the applicant and law enforcement, she said they are typical in most everything he does. She said he is an honest person and he treats everyone with respect. She said the applicant has a serious personality but he does become more open and "fun loving" once he gets to know someone.



, Chief of Police

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said if she had to identify any weakness in her brother it would be that he takes on too much. She said he has to balance school and at times has had up to three jobs at the same time. She did explain that it does not seem to bother him and he appears to be successful in all of his endeavors. Ms. said she knows she could not handle his schedule.

Ms. said she knows the applicant has been preparing himself for his police academy training. She said that although he has always been one to exercise and work out, he seems to be more intense recently. She said she knows he would be an excellent police officer and recommends him for a position.

**Listed References:** In addition to the above in-person interviews and reference questionnaires completed by family members, questionnaires were also completed and returned by and

The applicant was described as an honest, very mature, caring, dependable, and stable person. In regards to how the applicant copes with unexpected situations, stress, and hostility was that he analyzes the situation and calmly finds a solution. It was also stated that he has good communication skills as he speaks well and is articulate. All questioned either said that the applicant does not drink alcoholic beverages or very rarely drinks and is a responsible, social drinker the times they have seen him consume alcohol. The references that work with him noted that he is very professional, reliable, and respectful. All noted that he can be trusted as he currently works with confidential information on a daily basis at work. There was nothing negative or derogatory said in the questionnaires and all recommended the applicant for the Police Officer position.

Questionnaires were also sent to and . A voicemail was also left for Mr. At the time of this report the return of those documents are pending. Mr. was questioned during the neighborhood canvas.

**Secondary References:** Phone interviews were conducted with secondary references which were provided by the above references and the applicant. These secondary references include and

Those interviewed that worked with the applicant stated that he follows instructions, gets along well with his co-workers/supervisors, and accepts criticism well. They further went on to say that he is eager to learn, they had no issues or problems with him, and that he goes above and beyond his duties. The others described the applicant as a "stand up guy" that is very dependable, well-mannered, and mature. Nothing negative was said about the applicant during the interviews.

, Chief of Police

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Attempts were also made to interview . and . At the time of this report responses from them are pending.

### EDUCATION

**High School:** The applicant graduated from High School in La Habra, California. The obtained transcript reflected a graduation date of June 11, 2009. The applicant's grade point average at the time of his graduation was 3.0. The transcript did not reflect a class ranking.

**Post Secondary School:** The applicant continued his education following his graduation from high school. Obtained transcripts indicated he attended College from the spring of 2009 through the fall of 2010. It was reported he earned 24 units with an achieved grade point average of 2.09. His educational focus appeared to be the Administration of Justice field.

The applicant also attended Community College beginning in the spring of 2011. College transcripts indicated he attended through the fall of 2013. It was reflected the applicant earned 44.0 hours and attained a grade point average of 3.52. The educational focus appeared to be on Administration of Justice classes.

### RESIDENCES

**11/2005-present:** The applicant resides at which is his parents' home. Also living at this residence are his father, , mother ; sister, (age 20); and brother, (age 17). The residence is located in what appears to be an upper middle class neighborhood. A home visit was made to the residence on . The home was well maintained inside and out and was in keeping with the neighborhood standard.

### NEIGHBORHOOD CANVAS

On a canvas was conducted of the neighbors who live in the area of the applicant. The applicant's residence is located on a major, heavily traveled roadway. This somewhat limits interaction between residents on either side of the street. The following is a summary of the information that was obtained at the indicated addresses.

Mr. resides at . This residence is on the same side of the street of the applicant and three lots to the east. Mr. said he has lived in his home for fifteen years. He said he has known the applicant for several years and has watched him grow to be an adult. He described the applicant as being a good neighbor. Mr. said the applicant appears to have strong family ties. He said he has never observed the police at the applicant's home and he has never heard any neighbors complaining about the applicant. Mr. said to the best of his



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knowledge, the applicant has never been involved in any type of illegal activity and he knows of nothing that may disqualify him from being a police officer. He said he has known for some time that the applicant's career goal is to be a police officer. Mr. said he would recommend the applicant for the South Gate position.

Mr. lives at . The residence is located on the same side of the street as the applicant and one lot to the west. Mr. said he has lived in the same house for fifteen or sixteen years. Mr. described the applicant and his family as great neighbors. He said they appear to be a good family. Mr. said he has watched the applicant develop over the years and has never had a complaint about him. He said the applicant appears to be a very respectful young man. He said he would recommend the applicant for a police officer position.

lives at . Her home is located three lots to the west of the applicant. Ms. said she has only lived in the neighborhood for approximately eight months. She said she does not personally know the applicant or his family. She recognized the applicant when she was shown a photograph. Ms. said she has only seen him around the house. She said he appears to be quiet and she had no complaints about him.

lives at . His residence is on the southeast corner of . He has a view of the applicant's home located across . He said he has lived in the neighborhood since 2007. Mr. said he does not personally know the applicant or his family. He did say they appear to be a quiet family. He said he has never observed any type of police activity at the residence and he has never had any complaints about the applicant. He said he mostly sees the applicant when he is outside. The applicant and he usually exchange a wave when they see each other. Mr. said he does not know of any reason why the applicant would not be a suitable candidate for a position as a police officer.

Unsuccessful contact attempts were also made at , and Street. There was no response to the knock at the door.

### EXPERIENCE AND EMPLOYMENT

#### Present Employers:

When the applicant completed his Personal History Statement, he listed three employers as being current. He reported part-time employment as a Police Cadet with the Police Department, part-time employment as a Police Service Aid with the Police Department, and part-time employment as a Security Officer with the Hyatt Regency Huntington Beach Resort and Spa. During his initial interview with the background investigator, he reported he resigned his position with Whittier because he

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was promoted at La Habra to a Parking Enforcement Officer. He said the position is still part-time, but more hours and a higher rate of pay.

10/22/2011 -- Present:       La Habra Police Department  
                                  150 N. Euclid Street  
                                  La Habra, CA 90631  
                                  (562) 905-9756

Based upon the information the applicant provided in his background investigation documents and what was confirmed during this investigation, the applicant first became an employee of the La Habra Police Department on October 22, 2011. It was on that date he was hired as a part-time, Police Service Aide at a pay rate of \$11.00 per hour. He was subsequently promoted to a Parking Enforcement Officer, still as a part-time employee; however, he works more hours and his pay rate is \$17.00 per hour. Prior to being appointed as an employee, the applicant was a volunteer with the La Habra agency. He was a Police Explorer volunteer from February 2009 until October 2011 and he was a Radio Patrol Volunteer from April 2011 to October 2011.

On                               a review was conducted of the applicant's personnel file at the La Habra Police Department. The only documents contained in the file are routine appointment and associated paperwork items. It was confirmed he was first hired as a Police Service Aide effective October 22, 2011. On August 10, 2013, he was promoted to the position of Parking Enforcement Officer. The file did not contain any performance evaluations, records of discipline or on duty traffic accident information. Corporal Rob Deal with the Professional Standards Unit reported the applicant does not have an Internal Affairs file. The applicant's current supervisor for his one month as a Parking Enforcement Officer was away from the station on official business at the time of the file review. He was identified as Sergeant Jim Tigner. A "Supervisor Questionnaire" was left for him.

On                               , Sergeant                               completed and returned the questionnaire that had been left for him. In the document he described the applicant's overall performance by saying, "so far, so good". He explained he has only supervised the applicant for approximately one month. The supervisor described the applicant as being quiet and reserved and said he gets along well with other employees. Sergeant                               said he has no knowledge that the applicant has ever used any illegal or non prescription drugs. He said at this point he has been given no reason to question the applicant's honesty or integrity. According to the Sergeant, the applicant is mature for his age and is very business like. He does not have a temper problem. The applicant was further described as being a punctual and dependable person who the supervisor has never observed to display any type of prejudice.



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Sergeant reported the applicant has never been the subject of any disciplinary action and he knows of nothing that may disqualify the applicant. The supervisor said he would recommend the applicant to be hired as a police officer by South Gate.

On , an in-person interview was conducted with . She is the Records Manager and was the applicant's supervisor during his employment as a Police Service Aide from October 22, 2011 until he was promoted in August 2013.

During the interview with Ms. , she commented how the applicant has grown and matured during his employment with the department. She said he is still a young man at 23, but he is so much more knowledgeable about law enforcement in general. She said the applicant is eager to learn and gives his all to his job. She described the applicant as being reliable, self-starting, and dedicated. She said he has a very good personality and he gets along well with everyone. Ms. said that as a Police Service Aide, the applicant spent about 95% of his time working the front desk. She said the position requires a lot of patience and self-control because you are constantly dealing with difficult people. She explained this is where individuals come when their vehicle has been towed and stored. She said the applicant is typically able to defuse these individuals on his own. Ms. said however, if he determines it is needed; he will go to a supervisor for advice.

Ms. said she has no knowledge about the applicant ever being involved in any type of illegal conduct or that he is prejudice in any way. She said it has never been a secret as to the applicant's career goal and she doubts he would ever do anything to jeopardize attaining that goal. Ms. reported the applicant has prepared himself for a police officer position for many years. She added that with his experience in knowing what happens to the paperwork when it leaves the hands of the officer, he knows first hand what the expectations are for the items to be handled successfully through the administrative process.

At the time this background was conducted, who was the coordinator for the applicant's volunteer service with the Radio Patrol was on vacation. Also, who was the applicant's Explorer advisor for his volunteer service has since left the department. Noted however, was that both of these volunteer positions were prior to the applicant being hired as a Police Service Aide with that same department.

06/22/2010 – Current: Hyatt Regency Huntington Beach Resort and Spa  
21500 Pacific Coast Highway  
Huntington Beach, CA 92648  
(714) 845-4906 Ext: 4904

The applicant reported employment as a Security Officer with the Hyatt Regency. He reported his duties include patrolling the hotel property and responding to emergency situations. The applicant identified his supervisor was . In his Personal

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History Statement the applicant listed that he has been counseled by his supervisor at Hyatt for being late to work.

On , a review was conducted of the applicant's personnel file at the Hyatt Regency facility. File documentation indicated he was hired effective June 22, 2010, as a seasonal security officer. His rate of pay is \$11.25 per hour. It was indicated in the applicant's personnel file that in addition to English, the applicant is fluent in the Spanish language.

The most recent performance evaluation in the applicant's file is dated June 5, 2011. Rating options available to the writer include, Exceeds Expectations, Expected, and Improvement Needed. The applicant was rated in four job dimensions. He received "Expected" ratings in all categories. No narrative was provided. It was stated the applicant patrols the property on foot as well manning stationary posts as needed. It was reported the applicant is able to multi-task.

An evaluation dated September 10, 2010 was also reviewed. The applicant was rated as "Expected" in all categories. Again there was no narrative speaking specifically to the applicant's performance.

On , following the review of the applicant's file, an interview was conducted with Mr. Mr. is the Director of Security and Safety for the facility and the applicant's supervisor at the Hyatt. During that interview, Mr. was asked about the applicant's report of being the subject of counseling for being late to work. Mr. advised there were only two documented occasions. He said the first was in July 2010, when the applicant was 20 minutes late to work. He said the second was in February 2011. Mr. said the applicant was due to arrive to work at 7:00 A.M. When he was not there, a call was made to his home. The applicant reported his alarm did not sound. The applicant was at work within one hour.

Mr. said the above two incidents were the only issues he has ever had with the applicant since he was hired. He said the applicant has great observation skills and has never been the subject of a guest complaint. He said the applicant exercises good common sense as he performs his job related responsibilities. Mr. said the applicant is very mature for his age. He was said to be a self-starter who works well on his own without supervision.

It was reported the applicant has a great personality and he gets along well with everyone whether they are "19 or 78" years in age. He said the applicant is a great employee who maintains a positive attitude, does not hesitate to provide positive feedback, and never complains about an assignment. The applicant was said to make himself available and keeps his "boss" informed. Mr. said he is proud of the applicant, stating that when he hired him, the applicant was new to resort security business. Mr. said he would now be comfortable leaving the applicant in charge of the security operation for



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the facility. The supervisor explained the department recently started a program called, "Big Kahuna". This program identified an outstanding employee for a period of time based upon their performance. Mr. said the applicant was the first recipient of this award.

Mr. said the applicant is an excellent employee, who makes him look good. He said he would recommend the applicant to anyone who wanted to hire him, especially a law enforcement agency.

**Former Employers:**

05/29/2012 – 08/16/2013: Whittier Police Department  
13200 Penn Street  
Whittier, CA 90602  
(562) 567-9200

The applicant reported he was employed as a Police Cadet during the above time period with the Whittier Police Department. He explained he was assigned to parking enforcement and issued citations for illegally parked vehicles. He also performed traffic control duties and stored vehicles. The applicant named his supervisor as Sergeant

. During this background investigation it was learned from the applicant that subsequent to submitting his background documents, he resigned from his position with Whittier because of a promotion with the La Habra Police Department.

On , a review was conducted of the applicant's official personnel and background file maintained at the Whittier City Hall. Prior to gaining access to the file, the applicant had to complete a release form, prepared and required by the City of Whittier. Upon being notified by the background investigator, the applicant responded to city hall within an hour of being called and completed the waiver.

During the personnel file review, it was noted the applicant was hired as a Police Cadet in a part-time position. His rate of pay was \$11.44 per hour. In addition to the routine appointment and resignation paperwork, the only information in the file was a performance evaluation for the rating period of May 29, 2012 to May 29, 2013. The document was prepared by Sergeant . There was no record of any type of discipline or involvement in work related automobile accidents.

In the above evaluation, the employee was rated in five job dimensions; Quantity, Quality, Work Habits, Personal Relations, and Adaptability. The rating options that were available included Outstanding, Very Good, Competent, Improvement Needed, and Unsatisfactory. The applicant was rated as "Very Good" in Quantity and Quality of work and "Competent" in the remaining categories.

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In addition to the generalized ratings, a narrative for each section was prepared by the supervisor. For **Quantity** of work it was reported that the applicant's duties are to enforce parking violations through the issuance of parking citations. It was stated that during the reporting period, the applicant issued 2,579 citations. It was noted that this was 15% of the department's total citations issued. It was also stated that during the same time period, the applicant impounded 141 vehicles and handled approximately 778 calls for service. The applicant was said to have worked 131 days during the reporting period resulting in an average of 19 citations per day, one vehicle impound and 5.9 calls for service per day.

The narrative for **Quality** of work reflected that only 9 of the 2,579 citations were voided due to errors. Also reported was that less than 1% of the citations were dismissed and none of those were dismissed due to improper issuance. It was further reported in this section that the applicant keeps himself busy and does not wait to only handle assigned tasks.

The applicant's **Work Habits** were described as being flexible. It was stated the applicant does not hesitate to adjust his hours to assist the traffic bureau with DUI checkpoints. It was reported that on September 25, 2012, the applicant was counseled regarding a decision he made. Reportedly while investigating what appeared to be an abandoned vehicle, parked on a public highway with no plates or visible vehicle identification number, the applicant utilized a private towing company to gain access to the vehicle. The purpose was to attempt to locate vehicle registration information prior to towing the vehicle. It was pointed out that the decision was made on the applicant's understanding of what he needed to do to complete his area of responsibility. It was pointed out to the applicant that this type of decision should have been briefed prior with a supervisor or other patrol officer. It was stated this type of error was a one time occurrence, the applicant was receptive to the counseling and there have been no judgment errors since that time.

In the **Personal Relations** section it was stated the applicant gets along well with his co-workers. The supervisor reported he had not heard any negative comments regarding the applicant's conduct from any departmental personnel or citizens. It was further stated the applicant maintains a good physical condition and presents a professional image to the public while he is in uniform.

The narrative for the **Adaptability** section reflected the applicant has a good working knowledge of his job and he takes his responsibility as a Parking Enforcement Officer seriously. He also keeps his supervisor informed of his actions.

The background investigation conducted by the Whittier Police Department was also reviewed. No negative information was obtained. A comparison was made of the documents the applicant submitted to Whittier with those submitted for this investigation. The provided information appeared to be consistent.



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The applicant does not have an Internal Affairs file.

On \_\_\_\_\_, an interview was conducted with Whittier Police Sergeant \_\_\_\_\_. He was the applicant's supervisor during his employment as a cadet working in parking enforcement. Sgt. \_\_\_\_\_ wrote the above described evaluation. His comments during the interview pretty much echoed those documented in the evaluation. Sergeant \_\_\_\_\_ stated the applicant worked extremely hard at his position. He took the job seriously and produced a lot of work. He stated that the applicant was always punctual, professional in appearance, and willing to adjust his schedule to meet the needs of the department. He even commented that the applicant was a participant for the department in the annual Baker to Vegas run. The Sergeant reported the applicant knew policies as they related to his responsibility and stayed on top of any changes. Sgt. \_\_\_\_\_ described the applicant as being a, "squeaky clean kid", explaining he had no knowledge of the applicant being involved in any type of conduct that would deem him to be unqualified to be a police officer.

Sergeant \_\_\_\_\_ said his only concern about the applicant being a police officer is that as his supervisor, he never observed the applicant in situations where he may have to become the aggressor. He explained as a cadet, the applicant did well in dealing with difficult situations and angry citizens; however, the Sergeant felt those type of situations were not comparable to those handled by a police officer. He gave the example of a family disturbance where you have to go in and take control of a situation. Sergeant \_\_\_\_\_ said the applicant seems to have a quiet personality. He did say that would be his only concern and the academy should be a good tool for making that identification.

Sergeant \_\_\_\_\_ said the applicant has the work ethic and desire to be a good police officer and would recommend him for the South Gate position.

04/05/2010 – 06/21/2010: A Plus Heating and Air  
7600 Garden Grove Boulevard  
Westminster, CA 92683  
(714) 901-0500

The applicant reported employment as an "Appointment Setter" with A Plus Heating and Air. In the Personal History Statement he listed his employment dates as 03/2010 until 06/2010. The applicant said he resigned this position because, "he found a job that related more to my ultimate career goal". The applicant listed his supervisor as

During this investigation, contact was made with Mr \_\_\_\_\_. He said he did not have any independent recollection of the applicant or his performance. Mr \_\_\_\_\_ checked his files and reported the file reflects the applicant was employed as an Appointment Setter from April 5, 2010 until June 21, 2010. He commented that because he could not remember

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the applicant, that is a good thing as there were no negative occurrences that stood out in his mind. Mr. further stated the file does not contain any record of discipline or negative employment traits. He said it is noted in the file that the applicant resigned for another position. He said that if the applicant were to return seeking employment, he would be considered for re-hire.

10/29/2009 – 01/26/2010: Target  
12051 Imperial Highway  
Norwalk, CA 90650  
(562) 409-5036

When the applicant completed his Personal History Statement (PHS), he listed employment with the Norwalk Target store as a "Target Protection Specialist". His listed dates of employment were as indicated above. The applicant reported in the PHS that he was "Discharged from position" as his reason for leaving. He further indicated he had an unsatisfactory performance review while working at the store and he failed to meet the 90 day requirements for the position. He also mentioned having some attendance problems. During an interview with the background investigator, the applicant explained it was the expectation of Target that individuals working in his position obtain a "Guard Card" within 90 days of employment. He said due to an error made with his "live-scan" printing process, the card could not be issued.

Target refers all requests for employment information to "The Work Number". An inquiry was made to that agency. They reported the applicant was employed with Target from October 29, 2009, until January 26, 2010. The applicant's title was listed as Target Protection Specialist.

In an attempt to obtain additional information related to the applicant's discharge from his employment at Target, follow-up contact was made with the Norwalk store. It was learned that the applicant's supervisor, is no longer a Target employee. Contact was made with , the store manager. She said at the time of the applicant's termination, she was the Asset Protection Manager at the store. She said to the best of her recollection, the applicant was discharged for the reasons he provided during this background. She said there are no files to review regarding the applicant's employment. She said at the time the applicant left, she had only been in her position for about one week.

09/2009 – 10/2009: Universal Studios Hollywood  
100 Universal City Plaza  
Universal City, CA 91608  
(818) 622-3863

When the applicant completed his Personal History Statement (PHS), he listed employment with the above employer for the dates indicated. The applicant named his



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supervisor as . The applicant reported his job title as "Maze Host". He said this was a part-time position which was seasonal employment for the Halloween season. He reported his duties to included assisting with directions and crowd control for guests working their way through a maze. During an interview, the applicant estimated he worked approximately 15 days during the season.

During this investigation an attempt was made to confirm this employment through the staffing services department for Universal Studios. As of the date of this report, a representative has not returned any of the messages left.

**Volunteer Positions/Dates:**

06/2007 – 07/2008: United States Tennis Association/Home Dept Center  
18400 Avalon Boulevard, Suite 100  
Carson, CA 90746  
(310) 546-5656 Ext: 383

The applicant reported in his PHS that he was a volunteer, "Ball Person" for the above organization. He described his duties as occurring during the professional women's tournament where he would retrieve tennis balls during tennis matches. The applicant explained this was a seasonal occurrence. The applicant said the individual he reported to was Mr. (not the baseball player). The applicant was 16 years of age when he volunteered.

The applicant did provide a copy of a letter dated June 3, 2007, on United States Tennis Association letterhead thanking him for his volunteer service as a, "ball kid". It reported he earned 29 hours of community service. A second letter dated August 12, 2007 again thanked him for his services during a tournament held between the dates of August 6 through August 12, 2007. He was awarded 43 hours of community service. A third letter dated July 27, 2008 again thanked the applicant for his services.

On Mr. returned voicemails that had been previously left for him. He said he remembered the applicant as being a "ball kid" for him. He also said he remembered the applicant liked to play tennis. Mr. said the applicant was a very mature young man. He said he was only a volunteer; however, he took his position seriously. He said he was dependable and well liked by everyone. He was also said to be someone you could rely on to be there when he said he would. Mr. said it has been several years since he has had any contact with the applicant, but based upon how he worked as a volunteer when he was a teenager, Mr. believed Mr. would be a good police officer and public servant.

One time in 07/2009: Constitutional Rights Foundation Orange County  
700 W. Civic Center Drive  
Santa Ana, CA 92701

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(714) 259-1521 (Number not in service)

The applicant reported participating as a student juror on one occasion for the above program. This was done as extra credit for one of his classes. The applicant said his participation in the jury pool involved hearing minor offense cases for teenagers. He identified the person responsible for the program as . The applicant said he was only able to volunteer for one session.

The applicant provided a copy of a certificate he was awarded as a thank you for participating in the program. He was given three hours of volunteer community service.

An attempt was made to contact Ms. ; however, the number provided was not in working order. A new number of was found; however, Ms. name no longer is on the list of contact people for the organization.

#### APPLICATIONS WITH OTHER AGENCIES

In addition to the applicant seeking a position with the South Gate Police Department, the applicant named multiple other agencies where he has applied for law enforcement positions. The following is a listing of the agencies named and the results of this investigation's findings about the results of the applications' processing.

**08/2013:** Long Beach Police Department – Police Officer Recruit

The applicant reported he has only submitted an application and has not heard anything further. said applications for the submitted period are pending screening for testing on October 2, and 3, 2013.

**07/2013:** Huntington Park Police Department – Police Officer Recruit

The applicant reported he has not had any feedback since submitting his application. Huntington Park Police Sergeant, reported the applications are pending further processing by City Hall. No testing has been scheduled.

**07/2013:** Santa Ana Police Department – Police Officer Recruit

The applicant reported he submitted his application and was advised he was disqualified. He did not participate in the testing process. Background Investigator, reported the applicant was disqualified based upon his supplemental application information. The applicant reportedly listed three moving traffic violations.

**2013:** Huntington Beach Police Department – Police Officer Recruit



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The applicant reported after submitting his application, he withdrew from the process because he was unable to attend the testing due to a work schedule conflict. This was confirmed during a telephone call to \_\_\_\_\_, the Personnel Manager for the Huntington Beach Police Department.

**06/2013: La Habra Police Department – Parking Enforcement Officer**

The applicant was already an employee of La Habra when the application was submitted. He was hired for the position. His personnel file, including background was reviewed. A second background was not conducted. He was hired based on merit of the background conducted for the Police Services Aide position. No negative information was found in the background file. Submitted information was consistent with what was provided for this South Gate background.

**03/2013: La Habra Police Department – Police Officer Recruit**

The applicant reported he is on the eligibility list; however, he has not yet been given a conditional offer. He explained he tested in May 2013. The department advised him they only have one position available at the present time and they have selected another candidate who is also a Parking Enforcement Officer with their agency. La Habra has not initiated a police officer background investigation as of the date of this report. An interview was conducted with Sergeant \_\_\_\_\_ in the Professional Standards Unit. He acknowledged the applicant is on the eligibility list; however, during the orals, they interviewed another candidate that appeared to be a “more seasoned” candidate. He explained they do not have a problem with the applicant; he was just not as competitive during the testing process. The Sergeant did say as future openings become available, the applicant will definitely be a consideration for a position at La Habra.

**06/2011: Whittier Police Department – Police Cadet**

A background was conducted and the applicant was subsequently hired. The background investigation was reviewed. No negative information found. Information provided by the applicant to Whittier was consistent with what was provided for this investigation.

**12/2010: Alhambra Police Department – Police Cadet**

Applicant claimed he withdrew from process when he learned about job offer by La Habra Police. Confirmed with Alhambra Officer \_\_\_\_\_, there is no background file for the applicant.

**10/2010: El Monte Police Department – Police Cadet**

Applicant reported he received a letter of disqualification from El Monte based upon him not possessing one or more of the 10 job dimensions for the position. This letter was

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supplied by the applicant. It was dated July 21, 2011. On September 19, 2013, an in-person review was conducted of the background investigation file at the El Monte Police Department. A copy of the letter supplied by the applicant was contained in the file. There was also a partial background investigation narrative report dated May 31, 2013. The report had been started, but was never completed. There was no conclusion included in the report. There was also an investigator's worksheet reflecting the positives and negatives about the applicant. On the photo of the applicant, there was a hand written "post it" note stating, recommend we pass on this guy. Based upon a review of the noted worksheet, it appeared the basis for the disqualification was the applicant's termination (self-admitted) from Target. It was indicated they were not able to make contact with Target supervision or management. The other negative factors listed were the self-admitted moving violations and the two traffic accidents. It was noted only one of the accidents was an at fault collision. All of the applicant's reference returns were positive, with the exception of Target, his employment history was positive, his educational achievements were positive, and he had a good credit history. Also listed in the positive side was the fact that he was a current explorer at the time of his application.

11/2009: Los Angeles Police Department -- Reserve Officer

The applicant withdrew from process after taking the written test because of school. No background was initiated. This was confirmed with Los Angeles Police Background Investigator

#### MILITARY

The applicant has not served in the United States Military. He has registered with the selective service as required by law. The applicant's selective service number is . A copy of the registration is contained in the background file.

#### FINANCIAL

The applicant appears to be responsible in handling his financial responsibilities. He reported his monthly take home income pay is \$1,600. He said he spends approximately \$600 a month. On his PHS the applicant indicated he has one bill that was turned over to a collection agency. He explained that he had just turned 18 and the hospital had billed him instead of his parents, \$60.00 for a visit. He said he was unaware of the bill and it was paid as soon as it was brought to his attention.

The applicant's credit report was reviewed and the above issue was noted. This was the only negative on the report. The amount was paid. On August 20, 2013 when the report was issued, the applicant had two open credit accounts. His Discover account has a balance of \$305 with a \$3,000 credit limit and he has an American Express card with a \$346 balance. The credit limit on the American Express card is \$2,000. No past due accounts were noted.



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LEGAL

**Arrests:** The Wants & Warrants and Restraining Order checks revealed no record. The applicant has not been fingerprinted for the Police Officer – Recruit position. The applicant reported in his background documents that he has never been arrested. Nothing was developed during this investigation to indicate otherwise.

**Court Records:** A civil records check was conducted in Orange and Los Angeles Counties. Due to the commonality of the applicant's name, several records were located, but they were ruled out to be not associated with the claimant by middle name, address, and/or age.

**Law Enforcement Agencies Records Check:** Records checks were requested from jurisdictions where the applicant has resided, worked, and attended school. No negative criminal contacts were reported:

Whittier Police Department:	No Record
Los Angeles County Sheriff Department:	Pending
Fullerton Police Department:	No Record
Santa Ana Police Department:	No Record
Westminster Police Department:	No Record
Huntington Beach Police Department:	No Record
La Habra Police Department:	No Record
Orange County Sheriff Department:	No Record
Brea Police Department:	No Record

**Social Media/Internet Search:**

**Google:** A search of the applicant's name was conducted on Google, but due to the commonality of his name several searches were located. Additional searches were conducted with his middle name and city of residence, but none were found associated with the claimant. The applicant's provided email addresses were not located or found associated with any searches on Google.

**Facebook:** The applicant reported that he does not currently maintain a social media site. He said he previously had a Facebook page. He estimated he has not posted to the site

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since 2009. General public research of the applicant's name and provided emails did not reveal a social media sight for the applicant.

### MOTOR VEHICLE OPERATION

The applicant provided his California Department of Motor Vehicles Driver License Information Report dated August 6, 2013. The document reflects his driver license number is valid until June 16, 2017. His current history does not reflect any accidents, or failure to appear or pay notices. Two vehicle code violations were listed on the report. On November 19, 2010 the applicant received a citation for violation of vehicle code section 22349(A) (Maximum Speed Limit). The second listed violation date was October 27, 2011. The listed vehicle code sections for the citation were 22350 (Basic Speed Law) and 26708A (Tinted windows).

When the applicant completed his Personal History Statement, he listed one additional citation he received in May 2010. The applicant reported he received a citation for making a U-turn in a business district. This reportedly occurred in Los Angeles. The applicant also reported that the speeding violation on the 2011 citation was dismissed and he was only convicted for the window tint.

The applicant listed two accidents on his PHS that have occurred within the last seven years. The applicant listed an accident that reportedly occurred in November 2010. The location of the accident was at the Brea Mall and it was investigated by the Brea Police Department. The applicant provided a copy of the report for the background file. The applicant explained the circumstances as being the other driver failed to yield for a stop sign and was hit by the applicant who did not have a stop sign. The other driver claimed a neck injury. The second accident reportedly occurred in the 300 block of E. Chapman Avenue in Fullerton. No police report was taken and there were no injuries. There was reportedly only minor damage to the other vehicle and the applicant's insurance handled the situation. The applicant claimed to be at fault. He attributed the accident to not being familiar with a manual shift vehicle resulting in a parking lot collision. He said he "bumped" the back of a vehicle in front of him.

### INSURANCE

The applicant provided proof that he maintains automobile insurance as required by law. The provided document from the State Farm Insurance Company names him as a covered driver on policy number . The current proof of insurance card indicates coverage until . The covered vehicle is a 2009 Dodge Charger.



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### POLYGRAPH

On [redacted], the applicant participated in a polygraph examination administered by [redacted] with [redacted] and Associates. In his report, Mr. [redacted] reported his test results stating there were no significant responses. He explained that based upon a careful analysis of the test data obtained, it was his opinion there were no significant physiological responses present when the applicant answered the questions.

### INVESTIGATION CONCLUSION

During this background investigation, the only areas of question were a previous disqualification for a police cadet position and a previous, self-admitted employment termination that occurred over three and half years ago at Target. The applicant reported the reason for the termination was his not obtaining a guard card within ninety days of being hired and a couple of late reporting to work incidents. The applicant advised the guard card issue was related to a problem with "Live Scan". Because there were no available reports, Target could not confirm or deny the actual reason for the termination. Because of the applicant's demonstrated level of honesty throughout this investigation, there is no reason to believe his claim in this matter is not accurate.

The applicant was disqualified during the background investigation for a police cadet position with the El Monte Police Department. Based upon the information contained in their file, the determination was based upon the applicant's self-admitted termination from the Target Corporation. They were unable to obtain any information from Target. Also, noted as a negative was the applicant's self-admitted record of moving violations as well as his involvement in two automobile accidents. One of the two accidents was supported by a police report indicating the other driver was at fault by failing to stop at a stop sign causing him to hit the applicant. The other accident, according to the applicant, was a minor parking lot collision with only minor vehicle damage. There was no injury and no police report. The applicant admitted fault, explaining he was not familiar with the manual transmission in the vehicle he was operating.

To mitigate the above questionable issues, there were numerous positive aspects related to the applicant's background that were developed during this investigation.

Although the applicant experienced a termination of employment from Target, it should be noted the applicant was nineteen years old at the time and this was his first paid employment position other than a prior 15 day seasonal job. Based upon his explanation, Target may not have had a choice because he did not have the required guard card. Further, the applicant's failure to obtain the card may have been an administrative error on the part of an outside factor and not his fault. All of the other verified employment performance, including two with law enforcement agencies has been outstanding. He also received an outstanding recommendation related to his employment as a security

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officer in the private sector with a large, public relations oriented hotel chain. The supervisor at the chain commented that he would be comfortable leaving this 23 year old employee in charge of the department.

As far as the applicant's driving history is concerned, he disclosed all of the information that was used to disqualify him from the El Monte agency to both that agency as well as to this agency. It did appear the applicant may have had a prior history of using less than good judgment while operating a motor vehicle; however, he appears to have matured and overcome this issue. His last vehicle code citation was in October 2011. It also should be noted that the applicant has since been employed by two law enforcement agencies. Each of those departments assigned the applicant to positions that require him to operate a city owned vehicle as part of his regular duties. Based upon the reports from those agencies, the applicant has not betrayed the trust they have given him.

Another positive factor for consideration is that throughout this entire investigative process, the applicant has been prompt in supplying any documentation, information or assistance needed to complete the investigation. Also, his provided documentation was completed neatly and thoroughly.

Glen M. Willett &  
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Dated: September 24,