Approved for public release by the Capitol Police Board on October 7, 2026

United States Capitol Police

OFFICE OF INSPECTOR GENERAL



SEMIANNUAL REPORT TO THE CONGRESS

April 1, 2006 to September 30, 2006

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WASHINGTON, DC 20003
UNITED STATES CAPITOL POLICE

October 30, 2006

INSPECTOR GENERAL

Chief Phillip D. Morse, Sr.
United States Capitol Police
Washington, DC 20003

Dear Chief Morse:

I am pleased to send the Office of Inspector General (OIG) Semiannual Report to the Congress for the period April 1, 2006 to September 30, 2006. Public Law 109-55, Section 1004 and the Inspector General Act of 1978 (Public Law 95-452), as amended (the "Act"), requires OIG to prepare a Semiannual Report to Congress summarizing the activities of the OIG and that you transmit this report to the appropriate committees of Congress within 30 days of receipt, together with any comments thereon you may wish to make. As this is my first semiannual report since becoming Inspector General (IG) of the United States Capitol Police (the Department) on July 9, 2006, this report covers only two and half months of the standard six month reporting period.

As explained herein, I have put in place the initial OIG structure. Specifically, I hired an Assistant Inspector General for Audits, Assistant Inspector General for Investigations, and an Executive Officer. This team has drafted: a Capitol Police [redacted] for OIG, which will clarify the duties, authorities, functions, and responsibilities of the IG; and a Department Directive, which provides protocols that will govern OIG's work with the Department. Our aim is to integrate the OIG into the Department as smoothly as possible and ensure that OIG can carry out its statutory responsibilities, and, in so doing, provide the Department, Board, and Congress with assurance that matters meriting audit, investigation, and oversight are thoroughly pursued.

During this reporting period, my office spent a significant amount of time meeting with Legislative branch officials, such as those from the Government Accountability Office (GAO), other OIGs, and committee staffs. In addition, we conducted outreach briefings with the Department Command Staff Group and other Department officials. Each of them has detailed the management challenges and other significant issues relating to the economy, efficiency, and/or effectiveness of the Department's programs and operations. This list will be used to set OIG's priorities for audits and evaluations of Department programs and operations. Furthermore, to the extent there are recommendations from GAO or the independent auditors relating to such challenges, we will undertake tracking of Department compliance.

I am grateful for the support that the USCP has provided my office. My staff and I are committed to working closely with Department leadership and you, in your new position as Chief of Police.

Sincerely,

Carl W Hoecker

Carl W. Hoecker
Inspector General

Enclosure

EXECUTIVE SUMMARY

The Office of Inspector General's (OIG) accomplishments during this short reporting period included the following:

- Established OIG organizational structure and hired staff allowed within authority;
- [redacted]
- Drafted the Department's Directive for OIG;
- Began Outreach Program for stakeholders and other interested parties; and
    - Conducted briefings for the Department's Command Staff Group,
    - Held discussions with GAO to understand their on-going efforts and requested status of prior recommendations to the Department, and
    - Met with the Department's Chief Administrative Officer and Chief Financial Officer to plan for FY 2006 financial statements audit.
- [redacted]

The professionals in OIG promote effective management, accountability, and positive change in the U.S. Capitol Police (the Department). They provide leadership to:

- Promote integrity, efficiency, effectiveness, and economy;
- Prevent and detect waste, fraud, abuse, and mismanagement;
- Identify vulnerabilities and recommend constructive solutions;
- Provide expert assistance to improve Department operations;
- Communicate timely, useful information that facilitates decision-making and achieves measurable gains;
- Keep the Department, the Capitol Police Board (Board), and Congress through the Board, currently and fully informed; and
- Act as a management multiplier by assessing the Department's internal controls and reinforcing their application and execution. This effort will help the Department become more mature with regard to internal controls and ultimately yield good governance and stewardship principles.

ESTABLISHING THE OFFICE OF INSPECTOR GENERAL

With Public Law 109-55, (August 2, 2005), Congress directed the Capitol Police Board to appoint an Inspector General (IG) for the Department without regard to political affiliation and solely on the basis of integrity and demonstrated ability in accounting, auditing, financial analysis, law, management analysis, public administration, or investigations.

The Inspector General is responsible for conducting and supervising audits and investigations relating to the programs and operations of the Department. OIG is to examine, evaluate and, where necessary, critique these programs and operations, recommending ways to carry out departmental responsibilities in the most effective, efficient, and economical manner possible. OIG also audits, investigates, and oversees matters related to the Department's programs and operations, consistent with applicable laws, regulations, and policies.

On July 12, 2006, the Chairman of the Capitol Police Board swore in the first IG for the Department at the Eney, Chestnut, Gibson Memorial Building, United States Capitol Police Headquarters in Washington, D.C.



Inspector General takes the oath of office from the Chairman of the U.S. Capitol Police Board, the Honorable Wilson Livingood, House Sergeant at Arms.

IG Hoecker and the Chairman of the U.S. Capitol Police Board, the Honorable Wilson Livingood, listen to comments by U.S. Capitol Police Board Member, the Honorable William H. Pickle, Senate Sergeant at Arms, during the swearing-in ceremony.





Acting Chief of Police, Christopher M. McGaffin, welcomes IG Hoecker to the Department.

On August 21, 2006, two full-time equivalent (FTEs) employees, an auditor and investigator, joined OIG. September 3, 2006, an executive officer transferred from the Department to OIG bringing the total number of FTEs to four for the office. All OIG staff is located in Washington, D.C., at the Fairchild Building. As shown in the organization chart below, OIG is divided into two major segments: Audits and Investigations.



Audits

Mission

OIG is committed to improving the management and conduct of programs and activities by providing its stakeholders with timely, balanced, and credible independent evaluations and financial audits that identify systemic problems and recommend constructive solutions taking into consideration best practices.

OIG conducts and coordinates audits and program evaluations of the management and financial operations of the Department. These audits include performance and financial audits of internal operations, as well as financially related audits of external activities funded by the Department through contracts or other agreements. These audits are used to evaluate whether established goals and objectives are achieved and resources are used economically and efficiently; assess whether intended and realized results are consistent with laws, regulations, and sound business practices; and test financial accountability and the reliability of financial statements.

Investigations

Mission

OIG is committed to addressing allegations in an independent, objective manner, conducting criminal, civil, and administrative investigations of programs and operations, encouraging professional development, and assisting the Department and agencies in preventing, as well as detecting, fraud.

OIG conducts investigations of criminal, civil, and administrative violations related to Department programs and operations. Investigations examine specific allegations, reports, or other information indicating possible violations of law or regulation.

Investigations also maintains the OIG Hotline, a confidential channel for complaints about violations of law or regulation, gross waste of funds, abuse of authority, or a substantial danger to public health and safety. On September 1, 2006, the OIG Hotline (866-906-2446) was instituted.

The Inspector General is also charged with fraud prevention as well as fraud deterrence. Toward this objective, this office conducts the Fraud and Integrity Awareness briefing program, an outreach effort to provide employees with continuing education covering the latest fraud and integrity risks.

[redacted]

The Capitol Police [redacted] will clarify the duties, authorities, functions, and responsibilities of the OIG, including the authority contained in P.L. 109-55, Section 1004. Establishing a [redacted] has been a priority during the first months of OIG's operations to articulate the authority of OIG and its role in the Department. OIG has the responsibility to supervise and conduct audits and direct and oversee nonfederal auditors' work. OIG also is assigned a role in investigating allegations against Department employees, contractors, and matters relative to Department programs and operations, consistent with applicable laws, regulations, and policies. Once approved and issued, the [redacted] will assist in clarifying OIG's role and successful integration into the Department. The aim is to ensure that OIG can carry out its statutory responsibilities, and, in so doing, provide the Department, Board, and Congress with an independent assurance that matters meriting OIG's oversight are thoroughly pursued. Numerous meetings and reviews have produced a solid discussion draft. OIG expects an approved Order before mid November.

Draft Department Directive [redacted]

OIG drafted a directive (protocols) that will govern its work with the Department. These protocols are intended to provide clear and transparent policies and practices on how OIG interacts with the Board and the Department in performing its work. In all cases, OIG seeks to conduct its work in a professional, objective, fact-based, nonpartisan, and nonideological manner to help improve government.

OIG's protocols are based on those developed and used by the Government Accountability Office (GAO). OIG will monitor their application to (1) help ensure a consistent and unified approach and (2) determine when additional clarification is required. OIG expects an approved directive by December 2006.

Outreach Activities

During this reporting period, OIG spent a significant percentage of time meeting with Legislative branch officials, such as those from the Government Accountability Office (GAO), other OIGs, and relevant committee staffs. In addition, OIG conducted outreach briefings with the Department's Command Staff Group and other Department officials. Each of them has detailed the top management challenges and other significant issues relating to the economy, efficiency, and/or effectiveness of the Department's respective programs and operations. This list will be used to set OIG's own priorities for audits and evaluations of the Department's programs and operations. Furthermore, to the extent the recommendations from GAO or the independent auditors are relevant and relate to such challenges, we will undertake to track Department compliance.

[redacted]

[redacted]

TABLE 1

Audit Reports Issued with Questioned Costs[1]
July 9, 2006, through September 30, 2006

Category	(Dollars in Thousands)		
	No. of Reports	Questioned Costs	Unsupported Costs
For which no management decision has been made by the commencement of the reporting period	0	0	0
Which were issued during the reporting period	0	0	0
Subtotals	0	0	0
For which a management decision was made during the reporting period			
• dollar value of disallowed costs	0	0	0
• dollar value of cost not disallowed	0	0	0
For which no management decision has been made by the end of the reporting period	0	0	0
Reports for which no management decision was made within 6 months of issuance	0	0	0

[1] A "questioned cost" denotes that one or more of the following three situations exist: (1) an alleged violation of a provision of a law, regulation, contract, grant, cooperative agreement, other agreement, or document governing the expenditure of funds; (2) a finding that, at the time of the audit, such cost is not supported by adequate documentation; or (3) a finding that the expenditure of funds for the intended purpose is unnecessary or unreasonable.

Table 2

Audit Reports Issued with Recommendations that Funds Be Put to Better Use[2]
July 9, 2006, through September 30, 2006

Category	Number of Reports	Dollar Value (in thousands)
For which no management decision has been made by the commencement of the reporting period	0	0
Which were issued ruing the reporting period	0	0
Subtotals	0	0
For which a management decision was made during the reporting period	0	0
• dollar value of recommendations that were agreed to by management ○ **based on proposed management action** ○ **based on proposed legislative action**	0	0
• dollar value of recommendations that were not agreed to by management	0	0
For which no management decision has been made by the end of the reporting period	0	0
Reports for which no management decision was made with 6 months of issuance	0	0

[2] A recommendation that funds be put to better use is a recommendation by OIG that funds could be used more efficiently if Department management took actions to implement and complete the recommendations, including: reductions in outlays, deobligation of funds from programs or operations; withdrawal of interest subsidy costs on loans or loan guarantees, insurance, or bonds; costs not incurred by implementing recommended improvements related to the operations of the Department, a contractor, or a grantee, avoidance of unnecessary expenditures noted in preaward reviews of contract or grant agreements; or any other savings which are specifically identified.

TABLE 3

INVESTIGATIONS STATISTICS

July 9, 2006 through September 30, 2006

Funds Recovered (Investigative Recoveries)	$0
Fines and Restitutions	$0
Administrative Cost Savings and Recoveries	$0
Investigative Cases Opened	0
Investigative Cases Closed	0
Internal Control Reviews Initiated	1
Arrests	0
Indictments	0
Convictions	0
Personnel Actions	0
Complaints Received	5
Complaints Referred (to Department or other agencies)	0

Additional Information and Copies

To obtain additional copies of this report, call the Office of Inspector General (OIG) at (202) 593-4201.

OIG Hotline

To report alleged fraud, waste, abuse or mismanagement, or any other kind of misconduct relative to Department programs or operations, call the OIG Hotline at 1-866-906-2446; email us at OIG@cap-police.senate.gov; or write to United States Capitol Police, 499 South Capitol Street, SW, Washington, D.C., Attn: Office of Inspector General, Investigations-Hotline.

When making a report convey as much information as possible such as: Who? What? Where? When? Why? Complaints may be made anonymously or you may request confidentiality.