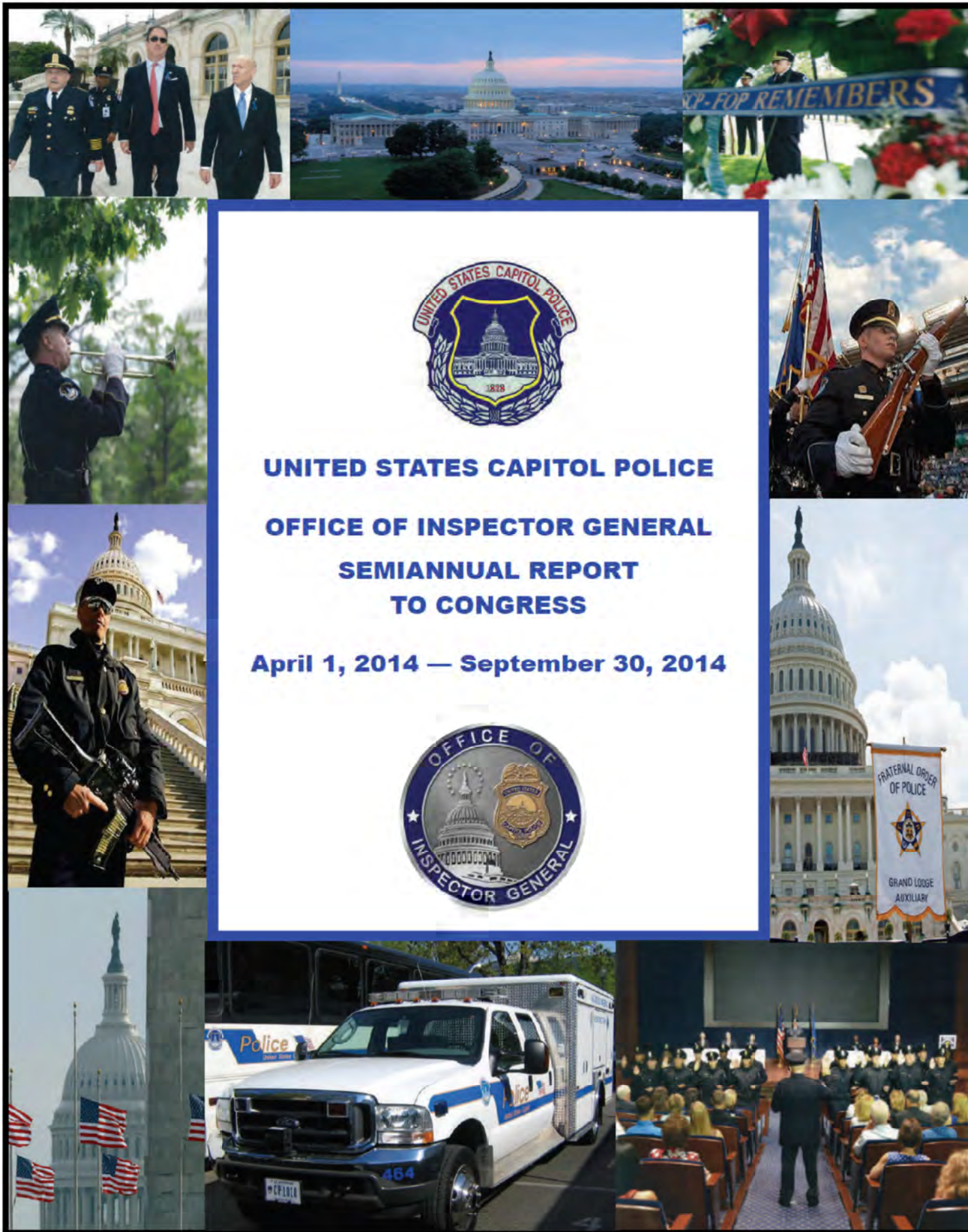




United States Capitol Police



History

Created by Congress in 1828 following the assault on a son of John Quincy Adams in the Capitol Rotunda, the original duty of the United States Capitol Police (USCP) was to provide security for the United States Capitol Building. Its mission has expanded to provide the congressional community and its visitors with a variety of police services. Those services are provided through a variety of specialty support units, network of foot and vehicular patrols, fixed posts, full-time Containment and Emergency Response Team, K-9 Unit, Patrol/Mobile Response Division, and full-time Hazardous Devices and Hazardous Materials Sections. The Agency had 1,762 sworn and 345 civilian employees as of September 29, 2014.

Mission

Today's USCP officer has the primary responsibility of protecting life and property; preventing, detecting, and investigating criminal acts; and enforcing traffic regulations throughout a large complex of congressional buildings, parks, and thoroughfares. With the signing of Public Law 112-74, USCP was given jurisdiction over the Capitol Reflecting Pool and Union Square—adding to its concurrent jurisdiction with other police agencies, including the United States Park Police and Metropolitan (D.C.) Police, of an area approximately 200 blocks around the Capitol Complex. USCP is also charged with the protection of Members of Congress, officers of Congress, and their families throughout the entire United States, its territories and possessions, and the District of Columbia.

Office of Inspector General



History

With Public Law 109-55 (August 2, 2005), Congress directed that the Capitol Police Board appoint an Inspector General (IG) for the Department. The IG was to be appointed 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.

On July 12, 2006, the Chairman of the Capitol Police Board swore in the first IG for the Department at the Headquarters for the United States Capitol Police—the Eney, Chestnut, Gibson Memorial Building in Washington, D.C. On August 11, 2013, Fay F. Ropella began her tenure as the second IG for the Department.

Mission

The IG is responsible for conducting and supervising audits and investigations relating to the programs and operations of the Department. The Office of Inspector General (OIG) examines, evaluates and, where necessary, critiques 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.



Message from the Inspector General



I am pleased to present this Semiannual Report to Congress as Inspector General of the United States Capitol Police (USCP or Department). This report describes the work of the USCP Office of Inspector General (OIG) for the period from April 1, 2014, through September 30, 2014. The audits and investigations that we describe illustrate OIG efforts in promoting the efficiency and effectiveness of USCP programs and operations.

When I was sworn in as IG in late 2013, the USCP OIG had been operating with staffing deficiencies. I am pleased to report we have hired four key staff members during the past 6 months, who have greatly improved the efficiency and effectiveness of the USCP OIG. We hired an Assistant Inspector General for Audits, who brings many years of knowledge of USCP and the IG community, and we hired an Audit Manager and Senior Auditor with extensive experience in auditing and investigations. In addition, we hired an Executive Officer, who is an auditor/analyst with experience in the IG Community.

With additional personnel, we are working to implement new automated content management systems that will improve our efficiency and streamline processes for both Audits and Investigations.

During this period, Audits issued *Performance Audit of Hazardous Materials Response Team* (Report Number 2014-OIG-05). Additionally, Audits conducted a modified peer review of the Appalachian Regional Commission OIG Audit Organization (Report Number OIG-2014-04). Notably, the audit function received a rating of pass from its external peer review. At the end of the reporting period, Audits had two ongoing projects: audit of USCP financial statements for the period ended September 30, 2014, and a performance audit of USCP controls over evidence.

Investigations continued to receive and evaluate Hotline complaints and conduct outreach with USCP personnel including recruit officer classes. OIG received 27 complaints, initiated 7 investigations, and closed 4 cases during this reporting period.

Notwithstanding the challenges we faced during this semiannual reporting period, OIG staff is fully committed to promoting the efficiency and effectiveness of the Department's programs and operations. I commend USCP, the Board, and members of the oversight community for their professionalism and devotion to the USCP mission. We thank the officers whose service and sacrifice inspire our goal to achieve excellence through unity.

In closing, we look forward to the continued support of Congress, the Board, the Chief of Police, and the Department as we strive to use our oversight functions to promote accountability, integrity, and efficiency; improve USCP programs and operations; and ensure the most efficient use of taxpayer dollars.

Fay F. Ropella, CPA, CFE
Inspector General

TABLE OF CONTENTS

Executive Summary	2
Legislation Monitored	3
Agent of Positive Change	4
Proactive Efforts	5
Audits	6
Investigations	13
Appendix 1 – Reports Issued	15
Appendix 2 – Resolution of Report Recommendations	16
Appendix 3 – Peer Review Reporting	22
Table 1 – Reports Issued with Questioned Costs	23
Table 2 – Reports with Recommendations That Funds Be Put to Better Use	24
Table 3 – Investigations Statistics	25
IG Act Reporting Requirements	26
Working Relationship Principles for Agencies and Offices of Inspectors General	27

EXECUTIVE SUMMARY

This Semiannual Report is issued pursuant to the provisions of Section 5 of the Inspector General (IG) Act of 1978, as amended, and summarizes the activities of the United States Capitol Police (USCP or Department) Office of Inspector General (OIG) for the period April 1, 2014, through September 30, 2014. During this reporting period, OIG continued to direct its available resources toward those areas of greatest risk for the Department. We completed work for promoting the economy, efficiency, effectiveness, and integrity of the Department's programs and operations. The work of each of the OIG components is summarized below.

OIG Audits completed a *Performance Audit of Hazardous Materials Response Team* (Report Number 2014-OIG-05) and an external Peer Review of the Appalachian Regional Commission (ARC) OIG Audit Organization, as the *Government Auditing Standards* require (Report Number OIG-2014-04). Further, the Commodity Futures Trading Commission (CFTC) OIG conducted a peer review of the USCP OIG Audit Organization and issued the *System Review Report* on September 17, 2014. Federal audit organizations can receive a rating of pass, pass with deficiencies, or fail. USCP OIG received a peer review rating of pass. At the end of the reporting period, Audits had a variety of ongoing projects: audit of USCP financial statements for the period ended September 30, 2014; a performance audit of USCP controls over handling of evidence; establishing performance standards for new hires; developing the OIG Fiscal Year (FY) 2015 annual work plan; and management challenges for the Department.

OIG Investigations received 27 complaints during this reporting period, of which 23 were Hotline complaints and 4 were from other sources. OIG initiated seven investigations of senior management and closed four cases.

Throughout this reporting period, OIG continued work with stakeholders to maintain and foster open and effective relationships. As an example of our continual work with stakeholders, OIG continued its active engagement with the Chief of Police (Chief), Capitol Police Board (Board), and Congress through meetings, briefings, and dialogue with members and staff of the Department's authorizing and appropriation committees and subcommittees on a range of issues relating to the work of OIG and USCP. OIG also continued outreach activities by providing briefings to new employees and recruit officer classes preparing for departure to the Federal Law Enforcement Training Center in Glynco, Georgia. Additionally, OIG continues as a contributing participant in the activities of the Council of Inspectors General on Integrity and Efficiency (CIGIE), which was statutorily established to enhance efforts to promote integrity and efficiency and to detect and prevent fraud, waste, and abuse in Federal programs. Further, the IG continued participating in legislative branch OIG activities such as regular meetings with other Inspectors General.

LEGISLATION MONITORED

Legislation Monitored

OIG reviewed and monitored the following legislation:

H.R. 4487 – *Making Appropriations for the Legislative Branch for the fiscal year ending September 30, 2015, and for other purposes*

H.R. 1858 – *The Congress Leads by Example Act of 2013*

S. 549 – *The Public Online Information Act of 2013*

S. 639 – *The Geolocation Privacy and Surveillance Act*

S. 808 – *A bill to establish an Office of Inspector General of the Senate*

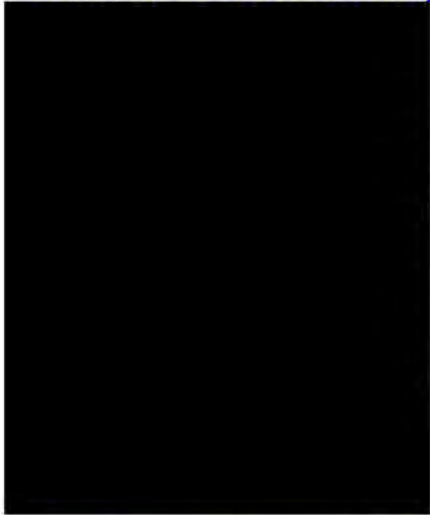
P.L. 113-101 – *Digital Accountability and Transparency Act of 2014*



AGENT FOR POSITIVE CHANGE

As part of the overall mission and responsibilities of OIG, we continue to assist the Department in developing a strong, sound organization by employing best practices. While working alongside the Department during this reporting period, OIG was able to effect immediate and positive change.

Hazardous Material Response Team



While completing a performance audit of the Hazardous Materials Response Team (HMRT), OIG identified two missing air tanks and brought it to the attention of HMRT officials. Those officials promptly located and recovered both of the missing air tanks. OIG also noted that the driver evaluation course HMRT uses did not meet testing objectives. HMRT acted quickly to identify an appropriate driving course that contained all of the required testing attributes and then recertified all of its drivers using the new course before completion of our audit.

Continued Progress in Resolution of Open Recommendations

Since its inception in July 2006, OIG has made 257 recommendations for improving USCP programs and operations. During this reporting period, the Department made progress ensuring that recommendations are fully implemented in a timely manner. As a result, OIG closed 11 open recommendations:

- One recommendation from *Review of Specialty Assignment and Proficiency Pay Programs* (Report Number OIG-2008-06)
- Three recommendations from *Review of USCP Off-site Deployments* (Report Number OIG-2009-06)
- One recommendation from *Performance Audit of USCP Canine Program* (Report Number OIG-2013-04)
- One recommendation from *Evaluation of USCP Dignitary Protection Division* (Report Number 2013-07)
- Five recommendations from *Performance Audit of USCP Controls over Ammunition* (Report Number OIG-2014-03).

The Department continues work in fully implementing other recommendations, and OIG is optimistic that it will soon close additional recommendations.

PROACTIVE EFFORTS

Major Management Challenges

The Reports Consolidation Act of 2000 requires that OIG identify and report annually on the most serious management challenges USCP faces. To identify challenges, we routinely examine issued audit reports where corrective actions have yet to be taken, assess ongoing investigative and audit work to identify significant vulnerabilities, and analyze new programs and activities that could pose significant challenges because of range and complexities. We discussed current challenges with USCP officials and considered comments received.

Last year as in previous years, we reported on major challenges that we believed were the most significant management issues facing USCP. We did not identify any new challenges for FY 2015, and the challenges facing the Department remain at six (protection and security, information systems, human capital, financial and acquisition management, and resolution of audit recommendations.)

OIG Annual Performance Plan

In July 2014, to ensure that OIG priorities appropriately consider stakeholder needs, we sought input from the Department, the Board, and our congressional oversight committees in developing our *Annual Performance Plan for FY 2015*. We assessed the nature, scope, and inherent risks of USCP programs and operations. The assessment forms the basis for establishing our strategic and annual performance plans, including objectives, and scope of work the OIG will accomplish within a specific time period. Our annual performance plan is the OIG “roadmap” for audits, inspections, and proactive investigations, which it plans to conduct each fiscal year to evaluate the Department’s programs and operations.

Outreach Activities

As part of our continuing efforts for promoting accountability through better awareness of OIG's role, mission, and services, OIG took part in presentations to Department managers and employees, legislative branch officials, and committee staff members.

OIG also continues its proactive initiative for strengthening accountability by providing fraud prevention and awareness training to Department personnel.

Figure 2 - The Assistant Inspector General for Investigations conducts outreach with recruit officers.



Source: OIG Photograph

AUDITS

Policies and Procedures Review of the Appalachian Regional Commission OIG Audit Organization (OIG-2014-04)



Government Auditing Standards (GAS) require that audit organizations performing audits or attestation engagements in accordance with GAS must have an appropriate quality control system and undergo external peer reviews at least once every 3 years. The CIGIE Audit Committee administers the external peer review program for Federal OIGs. The program is designed to provide reasonable assurance that OIGs carry out work in accordance with established policies and procedures, including GAS and applicable Office of Management and Budget and Government Accountability

Office guidance, and statutory provisions applicable to OIG. CIGIE assigned the USCP OIG to conduct the external peer review of ARC for the period ended September 30, 2013.

ARC OIG uses other types of reviews including inspections and evaluations as oversight tools. According to the IG for ARC, conducting inspections and evaluations allows for more efficient, effective, and timely oversight of its agency programs and operations by limited OIG staff. The ARC IG noted “our goal is results over process and substance over form and have been successful although this sometimes conflicts with inflexible standards or regulations.”



Because the ARC OIG does not conduct audits in accordance with GAS, our work differed from a peer review in accordance with the *Guide for Conducting External Peer Reviews of the Audit Organizations of Federal Offices of Inspector General*. As a result, we conducted a modified peer review of its audit organization for the period ended September 30, 2013, and issued a *Policies and Procedures Report* on May 27, 2014. We did not express an opinion on ARC policies and procedures for the audit function or its monitoring of independent public accountants for the period ended September 30, 2013. OIG is scheduled to conduct the next peer review of the Federal Trade Commission for the period ended March 31, 2015.

AUDITS

Peer Review Conducted of the USCP OIG Audit Organization



CFTC OIG conducted a peer review of the USCP OIG Audit Organization and issued its *System Review Report* on September 17, 2014. CFTC did not have any comments or recommendations for improvements in the *System Review Report* of the USCP OIG Audit Organization for the period ended September 30, 2013. The CFTC OIG report states:

“In our opinion, the system of quality control for the audit organization of USCP OIG in effect for the period ended September 30, 2013, has been suitably designed and complied with to provide USCP OIG with reasonable assurance of performing and reporting in

conformity with applicable professional standards in all material respects. Federal audit organizations can receive a rating of pass, pass with deficiencies, or fail. USCP OIG has received a peer review rating of pass.”



CIGIE scheduled the Election Assistance Commission to conduct the next external peer review of the USCP OIG Audit Organization for the period ended September 30, 2016.

AUDITS

Performance Audit of Hazardous Materials Response Team (OIG-2014-05)

USCP maintains an HMRT within the Hazardous Incident Response Division (HIRD), which is part of the Operational Services Bureau (OSB). The role of HMRT is to prepare for, detect, respond to, and defeat chemical, biological, radiological, and nuclear (CBRN) threats arising within the geographic jurisdiction or statutory protective authority of USCP.

The objectives of this audit were to determine if HMRT (1) established adequate internal controls and processes for ensuring the integrity of its program, (2) complied with applicable laws, regulations, and guidance pertaining to management and operation of its program, and (3) took corrective actions related to the previous recommendations OIG made in Report Number OIG-2010-02, *Review of Hazardous Materials Response Team Procurement Process*, issued in March 2010. Our scope for the audit included HMRT controls, processes, and operations during FYs 2011, 2012, and 2013.

Figure 3 - HMRT conducting tests of area.



Source: HMRT Photograph

Although it followed a set of practices and processes, HMRT did not complete its annual review of standard operating procedures (SOPs). Accordingly, multiple inconsistencies existed between official SOP and HMRT listings. In addition, during our testing of procurement transactions, we noted missing packing slips, receiving reports, invoices, or other equivalent documentation. Further, a potential conflict of interest existed between an HMRT employee and a contractor. During our walkthrough of the warehouse, we observed large piles of equipment and supplies that HMRT identified as excess and for which HMRT had not begun to approve or begin the disposal process. We also noted that property and inventory was not properly secured in the warehouse. Examples of property and inventory not being secure included (1) the inventory cage had a simple lock on the front

AUDITS

Hazardous Materials Response Team (Continued)

of the cage but the door remained open during the day, (2) no security camera or proximity card reader was present, and (3) warehouse inventory and property were vulnerable to theft, waste, and abuse because employees maintained office space inside its secure area of the warehouse, compromising the security of inventory located in its inventory warehouse.

Figure 4 - HMRT Specialty Response Vehicle.



Source: HMRT Photograph

In addition, HMRT did not always comply with, or provide documentation supporting that it complied with its SOPs. Testing of the qualified drivers list, provided by HMRT, revealed that HMRT drivers listed as qualified to operate the Specialty Response Vehicle did not conduct the required annual driver evaluation on that vehicle and the driver evaluation course did not meet testing objectives, subsequently invalidating the results of the driver evaluations. HMRT also is not correctly

using form [REDACTED], resulting in erroneous data in the HMRT vehicle log system.

HMRT did not comply with the [REDACTED] SOP requirements for Self-Contained Breathing Apparatus (SCBA) Inspection and Maintenance. HMRT also could not locate two tanks for SCBA maintenance and one tank remained missing. In addition, HMRT did not comply with the SCBA inspections for respirator facepiece fit tests and medical monitoring. As a result, HMRT records regarding respiratory equipment or qualified staff medically cleared to use the equipment was not up to date, and medical equipment may not have been operational. HMRT created a Radiation Safety Officer (RSO) Program, requiring two RSOs per shift, an essential element in assessing the potential radiological dangers existing on the Capitol Complex. HMRT did not, however, have any designated RSOs. During our audit, HMRT acted quickly to implement our recommendation to certify its Quick Response Vehicle Drivers by identifying an appropriate driving course that contained all of the required testing attributes and then recertifying all drivers using the new course. Additionally, HMRT located the two air tanks previously noted during the audit as missing.

AUDITS

Hazardous Materials Response Team (Continued)

We reviewed the three recommendations from the previous OIG report. Although HMRT implemented a recommendation for ensuring that applicable personnel received training in Federal procurements as well as Agency and Division policies and procedures, we believe that management should continue monitoring implemented actions to ensure that all aspects of the recommendation remain effective. HMRT had fully implemented the other two recommendations.

Furthermore, HMRT has opportunities for using its limited resources in a more efficient and effective manner. For example, HMRT purchased unnecessary or duplicate equipment such as [REDACTED] totaling about \$60,000 for screening vehicles at the Off-Site Delivery Center. Officials stated that the equipment was not needed and was stored in the trunks of supervisors' vehicles. Officials also offered that HMRT did not have a methodology for measuring its program performance outputs.

To develop a more efficient and effective HMRT program that would ensure the integrity of the program and support the business processes and the mission of HMRT, OIG made 13 recommendations, which the Department agreed to implement.

ON-GOING AUDITS

Audit of USCP Fiscal Year 2014 Financial Statements



In accordance with our FY 2014 Annual Plan, we began an audit of the Department's 2014 principal financial statements in August 2014. The primary objective of the audit was to express an opinion on whether the Department's financial statements are presented fairly, in all material respects, and in conformity with accounting principles generally accepted in the United States of America. Auditors will evaluate and report on compliance with laws and regulations related to the financial statements. Auditors will also opine on the effectiveness of the Department's internal

controls over financial reporting. The review is based on the *Standards for Internal Control in the Federal Government*, issued by the Comptroller General of the United States and being conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants and GAS, also issued by the Comptroller General of the United States. OIG expects to issue a report on or before December 15, 2014.

Performance Audit of USCP Controls over Evidence

At the request of the Chief, OIG initiated a performance audit of USCP controls over handling of evidence. Our objectives will determine if USCP's Crime Scene Search (1) established adequate internal controls and processes for ensuring the integrity of its program and efficient and effective program operations, and (2) complied with applicable laws, regulations, and guidance pertaining to management and operation of its program. Our scope includes FY 2013 and FY 2014. OIG expects to issue a report in or about January 2015.



INVESTIGATIONS

Investigation of Members of the Dignitary Protection Division (2012-I-0011)

OIG previously reported in its *Semiannual Report to Congress* dated October 1, 2012, through March 31, 2013, an investigation of officials within the Dignitary Protection Division (DPD). OIG received an anonymous allegation that certain members of DPD were recording time earned in excess of the bi-weekly cap to the next period or to a pay period that did not exceed the bi-weekly pay cap. Recording time earned in excess of the bi-weekly cap is not allowed unless the USCP Board authorizes. Our investigation determined that three DPD members back-filled overtime hours to avoid forfeiture of hours because of the bi-weekly pay restrictions in violation of [REDACTED], dated September 20, 2011. Further, our investigation showed that one member not only approved the back-filling of overtime hours for the other two members but also approved his own back-filled overtime hours.

On December 11, 2012, the Assistant United States Attorney, Public Integrity, United States Attorney's Office, declined prosecution of potential violations of title 18, section 1001 United States Code, *False Statements*, in lieu of administrative remedies.

During this reporting period, the Department suspended two DPD members for 10 days without pay, the other member retired; however, the Department ordered all three members to make repayment of funds totaling \$12,000. Thus, OIG closed this investigation during this reporting period.

Allegations against Senior Member of the Department (2014-I-0004)

Based on May 6, 2014, request from the Chief, OIG conducted an investigation into allegations of possible conflict of interest related to a conflicting interpersonal and professional relationship in violation of USCP Directive [REDACTED]. OIG's investigation revealed that the senior member violated the USCP Directive by not immediately reporting to a supervisor within the individual's chain of command a potentially conflicting interpersonal relationship involving subordinate employees. On May 30, 2014, OIG forwarded the results of its investigation to the Department for action.

INVESTIGATIONS

Allegations of Hostile Work Environment (2014-I-0006)

OIG conducted an investigation after receiving information from the Office of Professional Responsibility (OPR) that a sworn member of the Department alleged that [REDACTED], various officers, and a senior member of the Department created a hostile work environment. Our investigation did not yield any evidence or information substantiating that the senior member retaliated or created a hostile work environment against the sworn officer. With regard to the allegations concerning [REDACTED] and various officers, OPR is still investigating those allegations. On July 11, 2014, OIG briefed the Chief about the hostile work environment of a senior member of the Department. OIG found the allegation unfounded.

Allegations of Improper Outside Employment by a Senior Member of the Department (2014-I-0008)

OIG received an allegation that a senior member of the Department was engaging in unauthorized outside employment. Our investigation determined that the senior member requested permission to engage in outside employment and that the Department granted permission to the official. On July 25, 2014, OIG completed its investigation and briefed the Chief on the results. OIG determined the allegations were unfounded.



OIG Hotline (1-866-906-2446)

As part of its duties and responsibilities, OIG maintains a toll-free Hotline that provides employees and private citizens an opportunity to relay information regarding fraud, waste, and abuse.

APPENDIX 1

REPORTS ISSUED

OIG-2014-04	Policies and Procedures Review of the Appalachian Regional Commission OIG Audit Organization
--------------------	---

OIG-2014-05	Performance Audit of Hazardous Materials Response Team
--------------------	---

2014-I-0004	Allegations Against Senior Member of the Department
--------------------	--

2014-I-0006	Allegations of Hostile Work Environment
--------------------	--

2014-I-0008	Allegations of Improper Outside Employment by a Senior Member of the Department
--------------------	--

In a prior period, OIG issued Report Number 2012-I-0011, *Investigation of Members of the Dignitary Protection Division*. During this period, OIG is reporting the closure of this investigation after the Department notified OIG of its disciplinary actions.

APPENDIX 2

RESOLUTION OF REPORT RECOMMENDATIONS

Timely resolution of outstanding recommendations continues to be a priority for both OIG and the Department. As of September 30, 2014, OIG made a total of 257 recommendations to the Department. Of those 257 recommendations, the Department has fully implemented 205 (closed), with 39 open and older than 6 months as shown in the following table.

Appendix 2 – Resolution of Report Recommendations			
Report Number	Report Title	Recommendation Number	Recommendation
2009-01 2011-01 2012-02 2013-01 2014-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS FY 2013 FS	Repeat Finding 1.2 1.1 1.1 1.1 1.1	Payroll Processing – We recommended USCP consistently implement T&A [time and attendance] certification policies and procedures and that timekeepers review all certification reports to ensure that employees and supervisors sign and date reports. (1) USCP management needs to enforce the revised policies and procedures in Special Directive [REDACTED]; (2) because the condition has been in existence for many years, we also recommended that the supervisor/timekeeper procedures for monitoring T&A include identifying habitual failures in submitting certification reports so that corrective actions can be targeted to those employees, and (3) we recommended that USCP evaluate the feasibility of using [REDACTED], a T&A system, to automate the T&A certification process.
2009-01 2011-01 2012-02 2013-01 2014-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS FY 2013 FS	Repeat Finding 1.3 1.2 1.2 1.2 1.2	Payroll Processing – We recommended USCP consistently implement T&A certification policies and procedures and that timekeepers review all certification reports to ensure that employees and supervisors sign and date reports. (1) USCP management needs to enforce the revised policies and procedures in Special Directive [REDACTED]; (2) because the condition has been in existence for many years, we also recommended that the supervisor/timekeeper procedures for monitoring T&A include identifying habitual failures in submitting certification reports so that corrective actions can be targeted to those employees, and (3) we recommended that USCP evaluate the feasibility of using [REDACTED], a T&A system, to automate the T&A certification process.
2009-01 2011-01 2012-02 2013-01 2014-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS FY 2013 FS	Repeat Finding 1.6 1.4 1.3 1.3 1.3	Payroll Processing – As in the prior year's recommendation, USCP should perform monthly reconciliation between the National Finance Center (NFC) and [REDACTED] to ensure leave balance information is correctly reported in both systems. We also recommended that the Office of Human Resources (OHR) implement corrective actions in a timely manner.
2009-01 2011-01 2012-02 2013-01 2014-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS FY 2013 FS	Repeat Finding 1.9 1.6 1.4 1.4 1.4	Payroll Processing – We recommended that USCP ensure that its employees comply with USCP Special Directive [REDACTED] addressing responsibility to record daily worked hours using [REDACTED] time clocks. We also recommended that USCP enhance its procedures for monitoring employees who show a pattern of not clocking in or out and verify if hours entered in [REDACTED] are actual hours the employees worked.

Appendix 2 – Resolution of Report Recommendations			
Report Number	Report Title	Recommendation Number	Recommendation
2011-01 2012-02 2013-01 2014-01	FY 2010/2009 FS FY 2011 FS FY 2012 FS FY 2013 FS	Repeat Finding 10 1.5 1.5 1.5	Payroll Processing – As in the prior year's recommendation, we recommended that USCP monitor timekeeper distribution and collection of certification reports to complete T&A review procedures at the end of each pay period. We also recommended that USCP emphasize deadlines or include a deadline for T&A staff to complete the T&A confirmation of certification report.
2011-01 2012-02 2013-01 2014-01	FY 2010/2009 FS FY 2011 FS FY 2012 FS FY 2013 FS	Repeat Finding 12 1.6 1.6 1.6	Payroll Processing – We recommended that USCP document the audits or tests performed and the supervisory review of the test results to include the name of the sample tested (if less than 100 percent) in test documentation. We also recommended that USCP develop a test worksheet that will include the test attributes (criteria), result, and corrective actions, if applicable.
2009-01 2011-01 2012-02 2013-01 2014-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS FY 2013 FS	Repeat Finding 2.2H 22 2.1 2.1 1.1	Financial Management – We recommended that USCP develop a formal monthly reporting process from the program offices overseeing construction-in-progress to the Office of Financial Management (OFM) and provide signed confirmation that the financial reports from the partner agencies have been reviewed and accepted.
2012-02 2013-01 2014-01	FY 2011 FS FY 2012 FS FY 2013 FS	Repeat Finding 4.1 4.1 4.1	Financial Management – We recommended OFM review the nature of the accrued liabilities to determine proper classification as to an asset or an expense. Also, we recommended that OFM perform periodic comparison of actual to estimated accrued liability to ensure its accrual methodology procedures result in a reasonable estimate of goods and services received but not paid.
2008-08	Review of Compliance with USCP Hiring Standards and with Directive [REDACTED]	1	Triple III – We recommended that USCP, in coordination with the Board, update its hiring standards and establish a comprehensive hiring directive outlining the Department's vision and goals to create a talented and committed workforce, to support an effective organizational culture, and enhance the overall performance of the USCP workforce.
2012-01	Audit of USCP Enterprise Architecture	1	Enterprise Architecture – We recommended that the USCP Office of Information Systems (OIS) immediately update its strategic plan to define objectives and goals that align with the short- and long-term goals and objectives of the Department. The plan also should incorporate goals on optimizing enterprise-wide information systems performance and accountability.
2012-01	Audit of USCP Enterprise Architecture	2	Enterprise Architecture – We recommended that OIS immediately update its strategic plan to define objectives and goals that align with the short- and long-term goals and objectives of USCP.
2012-01	Audit of USCP Enterprise Architecture	3	Enterprise Architecture – We recommended that USCP management evaluate the distinct organizations with significant information technology investments and operations. As part of this evaluation, all individuals within the organization, either within OIS or other bureaus and offices that have any information technology support responsibilities, should be identified. Once identified, an analysis should be performed to determine how those individuals can be aligned within OIS. If re-alignment is not feasible, information technology responsibilities of the individuals should be transitioned to appropriate individuals within OIS.

Appendix 2 – Resolution of Report Recommendations			
Report Number	Report Title	Recommendation Number	Recommendation
2012-01	Audit of USCP Enterprise Architecture	4	Enterprise Architecture – We recommended that USCP immediately complete a full inventory of systems in use by the Department to identify its “as is” configuration. Once developed and validated, OIS should develop the Department’s “to be” configuration and its transition plan to achieve this configuration.
2012-01	Audit of USCP Enterprise Architecture	5	Enterprise Architecture – We recommended that USCP Enterprise Architecture Review Board’s decisions and recommendations be incorporated into the decision-making process that aligns its information technology investments with the budgeting and procurement processes (Force Development Process).
2012-04	AUP Time and Attendance System [REDACTED]	1	Time and Attendance – We recommended that USCP immediately enforce its time and attendance policies and procedures to ensure consistency throughout the Department. In addition, the Department should include in performance standards, milestones, and evaluations criteria that will hold supervisors and employees accountable for a lack of compliance as it relates to time and attendance (T&A). The Department may also want to consider other disciplinary actions for noncompliance with T&A policies and procedures.
2012-04	AUP Time and Attendance System [REDACTED]	2	Time and Attendance – We recommended that USCP consider centralizing monitoring of hardship cases through OHR for better monitoring, communication, and oversight.
2012-04	AUP Time and Attendance System [REDACTED]	3	Time and Attendance – We recommended that USCP consider evaluating the utility of all T&A-related reports; revising/adding data elements of those reports, such as summary and individual totals; and standardizing report distribution to appropriate management and timekeeper.
2012-04	AUP Time and Attendance System [REDACTED]	4	Time and Attendance – We recommended that USCP consider discontinuing T&A reports offering little value to supervisors and timekeepers and create and adequately distribute meaningful reports. A report requested by numerous timekeepers was one that identified the dates and times during which a [REDACTED] clock unit was not operational.
2012-04	AUP Time and Attendance System [REDACTED]	6	Time and Attendance – We recommended that USCP continue its efforts to automate fully its labor management system, [REDACTED]. In addition, we recommended that USCP consider integrating the Scheduler, Shift Trading functionalities, Leave Approval Interface, Virtual Time Clock, Electronic Timesheet Certifications, and others that would make its labor management system more efficient and effective. Such integration of functions would allow the Department to understand fully costs associated with performing a duty, such as staffing a door or entrance/exit point.
2012-04	AUP Time and Attendance System [REDACTED]	7	Time and Attendance – We recommended that USCP develop a policy that specifically addresses swiping requirements for monitoring as well as a policy that prescribes consequences for failing to comply with swiping. In addition, the Department should evaluate the need for exempt employees to swipe in lieu of alternate means of recording T&A within necessary internal controls.

Appendix 2 – Resolution of Report Recommendations			
Report Number	Report Title	Recommendation Number	Recommendation
2012-04	AUP Time and Attendance System	9	Time and Attendance – We recommended that USCP evaluate the feasibility of pooling timekeeper resources to level imbalanced workloads after the Department has established T&A procedures. Additionally, USCP should revise position descriptions and incorporate timekeeper duties to reflect the amount of time spent on T&A activities.
2013-01 2014-01	FY 2012 FS FY 2013 FS	Repeat Finding 2.2 2.2	CIP Accounting and Reporting – We recommended that USCP establish policies and procedures requiring that program offices certify to OFM monthly assets that have been deployed and placed in service during the period. OFM should develop a standard form to use for such reporting and train program personnel on completing the form and the documentation necessary to support the activities.
2013-04	Performance Audit of USCP Canine Program	4	Canine Program – USCP should consider periodic recertification or even re-competition against Scientific Working Group on Dog and Orthogonal Detector Guidelines best practices before issuing an existing handler another canine. In addition, open competition or a rotational policy for the Canine Program could enhance team performance and overall security for the Capitol Complex; thereby, ensuring the integrity, efficiency, and effectiveness of the Program. In addition, the Department should align the Canine Technician announcement narrative with the announcement heading and include any changes to the Canine Program.
2013-04	Performance Audit of USCP Canine Program	5	Canine Program – We recommended that USCP establish performance criteria for evaluating its Canine Program's effectiveness.
2013-04	Performance Audit of USCP Canine Program	7	Canine Program – We recommended that USCP Canine Unit immediately establish written policies and procedures for the donated Canine Program and evaluate the cost-effectiveness of accepting privately donated canines for its canine training program.
2013-04	Performance Audit of USCP Canine Program	9	Canine Program – We recommended that USCP finalize its draft Standard Operating Procedure No. [REDACTED]; thereby using its scarce resources in a more efficient and effective manner.
2013-06	Performance Audit of USCP Library of Congress (LOC) Division Special Events Unit Reimbursement Process	1	LOC Special Events – We recommended that USCP develop and document repeatable business processes that include best practices and written internal control policies and procedures addressing Library of Congress (LOC) Division special events reimbursement process as well as accounts receivable and collections, and clearly document and communicate those controls to all personnel.
2013-06	Performance Audit of USCP LOC Division Special Events Unit Reimbursement Process	5	LOC Special Events – We recommended that USCP, notwithstanding any other provision of law, seek legislation that would allow the Department to collect reimbursements for law enforcement support provided to non-congressionally sponsored special events held at locations other than LOC.

Appendix 2 – Resolution of Report Recommendations			
Report Number	Report Title	Recommendation Number	Recommendation
2013-07	Evaluation of USCP Dignitary Protection Division	1	DPD – We recommended that USCP update SOPs and internal controls to provide reasonable assurance that DPD operations are effective and efficient with reliable reporting, and compliance with applicable guidance are achieved.
2013-07	Evaluation of USCP Dignitary Protection Division	3	DPD – We recommended that USCP consider realignment of sworn officers conducting DPD administrative functions with civilians, which could result in a more efficient use of resources and result in approximately \$42,000 in annual savings.
2014-01	FY 2013 FS	1.7	Payroll Processing – We recommended that USCP enforce its leave policy. Lack of documentation to support leave hours taken was approved by the supervisor.
2014-01	FY 2013 FS	1.8	Payroll Processing – We recommended that USCP enforce its overtime policy. Lack of documentation to support overtime approval.
2014-01	FY 2013 FS	1.9	Payroll Processing – We recommended that USCP establish and implement a formal policy and procedures for the issuance, use, and safeguarding of the signature stamps used by supervisors to sign Certification Reports and support documents. Insufficient controls over signature stamps used by USCP employees.
2014-01	FY 2013 FS	3.1	Financial Management – Fixed Assets related disbursement were not properly approved. We recommended that USCP technical representatives review invoices more closely to make sure they conform to the period of performance as specified in the contract and any subsequent modifications before approving for payment. Moreover, payments should not be made without proper approval from the responsible officer.
2014-03	USCP Controls Over Ammunition	1	Ammunition – We recommended that USCP finalize its draft SOP [REDACTED], and establish detailed procedures and practices such as reorder points and rotation of stock to ensure accountability of ammunition and communicate those controls to all personnel.
2014-03	USCP Controls Over Ammunition	5	Ammunition – We recommended that USCP immediately enforce compliance of USCP Directive [REDACTED] and SOP [REDACTED] ensuring that (1) transactions are recorded in the official inventory system including missing/damaged ammo and (2) ammunition is inventoried periodically and reconciled to control records.

Appendix 2 – Resolution of Report Recommendations			
Report Number	Report Title	Recommendation Number	Recommendation
2014-03	USCP Controls Over Ammunition	6	Ammunition – We recommended that USCP immediately establish detailed procedures for training ammunition to use best practices such as keeping a perpetual inventory of ammunition, providing ammunition with only an approved lesson plan accompanied by the course of fire, not allowing ammunition to be removed from packing containers until required for use, documenting ammunition consumption in records such as ammunition and/or scoring logs, returning leftover ammunition at the end of a session, and adding it back into the overall inventory, and reconciling ammunition turn-ins with the original issue documents and consumption records.
2014-03	USCP Controls Over Ammunition	8	Ammunition – We recommended that USCP immediately conduct a 100-percent physical count of ammunition with a trained Property Asset Management Division employee and Physical Skills Division sworn officer and reconcile the count with control records, thereby ensuring an accurate and complete perpetual inventory and establishing ammunition levels at each Division.
2014-03	USCP Controls Over Ammunition	10	Ammunition – We recommended that USCP develop a process for destruction of confiscated and/or damaged ammunition.

APPENDIX 3

PEER REVIEW REPORTING

Implementing Section 989C of the Dodd-Frank Wall Street Reform and Consumer Protection Act Inspector General Peer Review Activity April 1, 2014 – September 30, 2014

Last Peer Review Conducted of USCP OIG Audit Organization

As part of the 3-year cycle of independent peer reviews, on September 17, 2014, CFTC OIG issued the last peer review report covering USCP OIG Audit Organization. USCP OIG received a peer review rating of pass for the year ended September 30, 2013. Furthermore, CFTC OIG had no comments or recommendations in its *System Review Report* of USCP OIG.

CIGIE has scheduled the Federal Election Commission to conduct the next USCP OIG external peer review of its Audit organization for the period ended September 30, 2016.

Last Peer Review Conducted by USCP OIG Audit Organization

USCP OIG issued its last Reviewing Inspector General Report on May 27, 2014, to ARC OIG.

CIGIE scheduled USCP OIG to conduct the external peer review of the Federal Trade Commission for the period ended March 31, 2015.

Table 1

Reports Issued with Questioned Costs¹
April 1, 2014, through September 30, 2014

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	3	\$2,314	\$1,305
Which were issued during the reporting period	0	\$0	\$0
Subtotal	3	\$2,314	\$1,305
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	3	\$2,314	\$1,305
Reports for which no management decision was made within 6 months of issuance	3	\$2,314	\$1,305

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

Reports Issued with Recommendations that Funds Be Put to Better Use²
April 1, 2014, through September 30, 2014

Category	Number of Reports	Dollar Value (in thousands)
For which no management decision has been made by the commencement of the reporting period	1	\$42
Which were issued during the reporting period	1	\$60
Subtotal	2	\$102
For which 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	2	\$102
Reports for which no management decision was made within 6 months of issuance	1	\$42

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 **April 1, 2014, through September 30, 2014**

Recoveries	\$0
Fines and Restitutions	\$12*
Investigative Cases Opened	7
Investigative Cases Closed	4
Internal Control Reviews	0
Arrests	0
Indictments	0
Convictions	0
Personnel Actions	2
Total Complaints Received	27
Hotline Complaints Received	23
Complaints from Other Sources	4
Complaints Referred (to Department or other agencies)	20
Inspector General Subpoenas	0
Suspension Days without Pay	20

*Dollars in thousands

IG Act REPORTING REQUIREMENTS

Section	Requirement	Page
Section 4(a)(2)	Review of Legislation	3
Section 5(a)(2)	Significant Problems, Abuses, and Deficiencies	6-13
Section 5(a)(3)	Recommendations with Respect to Significant Problems, Abuses, and Deficiencies	6-13
Section 5(a)(4)	Recommendations Included in Previous Reports on Which Corrective Action Has Not Been Completed	15-20
Section 5(a)(5)	Matters Referred to Prosecuting Authorities	None
Section 5 (a)(6)	Summary of Instances Where Information Was Refused	None
Section 5(a)(7)	Reports Issued During the Reporting Period	14
Section 5(a)(8)	Summary of Significant Reports	6-13
Section 5(a)(9)	Questioned and Unsupported Costs (Table 1)	22
Section 5(a)(10)	Recommendations that Funds be put to Better Use (Table 2)	23
Section 5(a)(11)	Summary of Reports Issued before the start of the Reporting Period for which no Management Decision has been made	22
Section 5(a)(12)	Significant Revised Management Decisions	N/A
Section 5(a)(13)	Management Decisions with which the Inspector General is in Disagreement	None
Section 5(a)(14-16)	Specifically excluded by Public Law 109-55	N/A
Section 989C of the Dodd-Frank Wall Street Reform and Consumer Protection Act	Peer Review Reporting Requirements	21

Working Relationship Principles for Agencies and Offices of Inspectors General

The *Inspector General Act* establishes for most agencies an OIG and sets out its mission, responsibilities, and authority. The unique nature of the IG function can present a number of challenges for establishing and maintaining effective working relationships. To work most effectively together, the agency and its OIG need to clearly define what each considers a productive relationship and then consciously manage toward that goal in an atmosphere of mutual respect.

By providing objective information for promoting Government management, decision-making, and accountability, OIG contributes to the agency's success. OIG is an agent of positive change, focusing on eliminating waste, fraud, and abuse, and on identifying problems and recommendations for corrective actions by agency leadership. OIG provides the agency, Board, and Congress with objective assessments of opportunities to be more successful. Although not under the direct supervision of the Chief, OIG must keep the Board and Congress fully and currently informed of significant OIG activities. Given the complexity of management and policy issues, OIG and the agency may sometimes disagree on the extent of a problem and the need for and scope of corrective action. However, such disagreements should not cause the relationship between OIG and the agency to become unproductive. The following working relationship principles provide some guidance for agencies and OIGs. **To work together most effectively, OIG and the agency should strive to:**

Foster open communications at all levels. The agency will promptly respond to OIG requests for information to facilitate OIG activities and acknowledge challenges that OIG can help address. Surprises are to be avoided. With limited exceptions, primarily related to investigations, OIG should keep the agency advised of its work and its findings on a timely basis, and strive to provide information helpful to the agency at the earliest possible stage.

Interact with professionalism and mutual respect. Each party should always act in good faith and presume the same from the other. Both parties share, as a common goal, the successful accomplishment of the agency's mission.

Recognize and respect the mission and priorities of the agency and OIG. The agency should recognize OIG's independent role in carrying out its mission within the agency, while recognizing the responsibility of OIG to report both to Congress and to the agency head. OIG should work to carry out its functions with a minimum of disruption to the primary work of the agency. The agency should allow OIG timely access to agency records and other materials.

Be thorough, objective, and fair. OIG must perform its work thoroughly, objectively, and with consideration to the agency's point of view. When responding, the agency will objectively consider differing opinions and means of improving operations. Both sides will recognize successes in addressing management challenges.

Be engaged. OIG and agency management will work cooperatively in identifying the most important areas for OIG work, as well as the best means of addressing the results of that work, while maintaining OIG's statutory independence of operation. In addition, agencies need to recognize that OIG also will need to carry out work that is congressionally requested, mandated by law, or self-initiated.

Be knowledgeable. OIG will continually strive to keep abreast of agency programs and operations, and agency management will be kept informed of OIG activities and concerns being raised in the course of OIG work. Agencies will keep OIG up to date on current matters and events.

Provide feedback. The agency and OIG should implement mechanisms, both formal and informal, that will ensure prompt and regular feedback.

[illegible]

CONTACTING THE OFFICE OF INSPECTOR GENERAL

Success of the OIG mission to prevent fraud, waste, abuse, or mismanagement depends on the cooperation of employees and the public. There are several ways to report questionable activity.

Call us at 202-593-3868 or toll-free at 866-906-2446. A confidential or anonymous message can be left 24 hours a day/7 days a week.



Toll-Free
1-866-906-2446

Write or visit us – we are located at:



*United States Capitol Police
Attn: Office of Inspector General, Investigations
119 D Street, NE
Washington, DC 20510*

You can also contact us by email at: OIG@USCP.GOV

**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.**

Additional Information and Copies:

To obtain additional copies of this report, call OIG at 202-593-4201.

