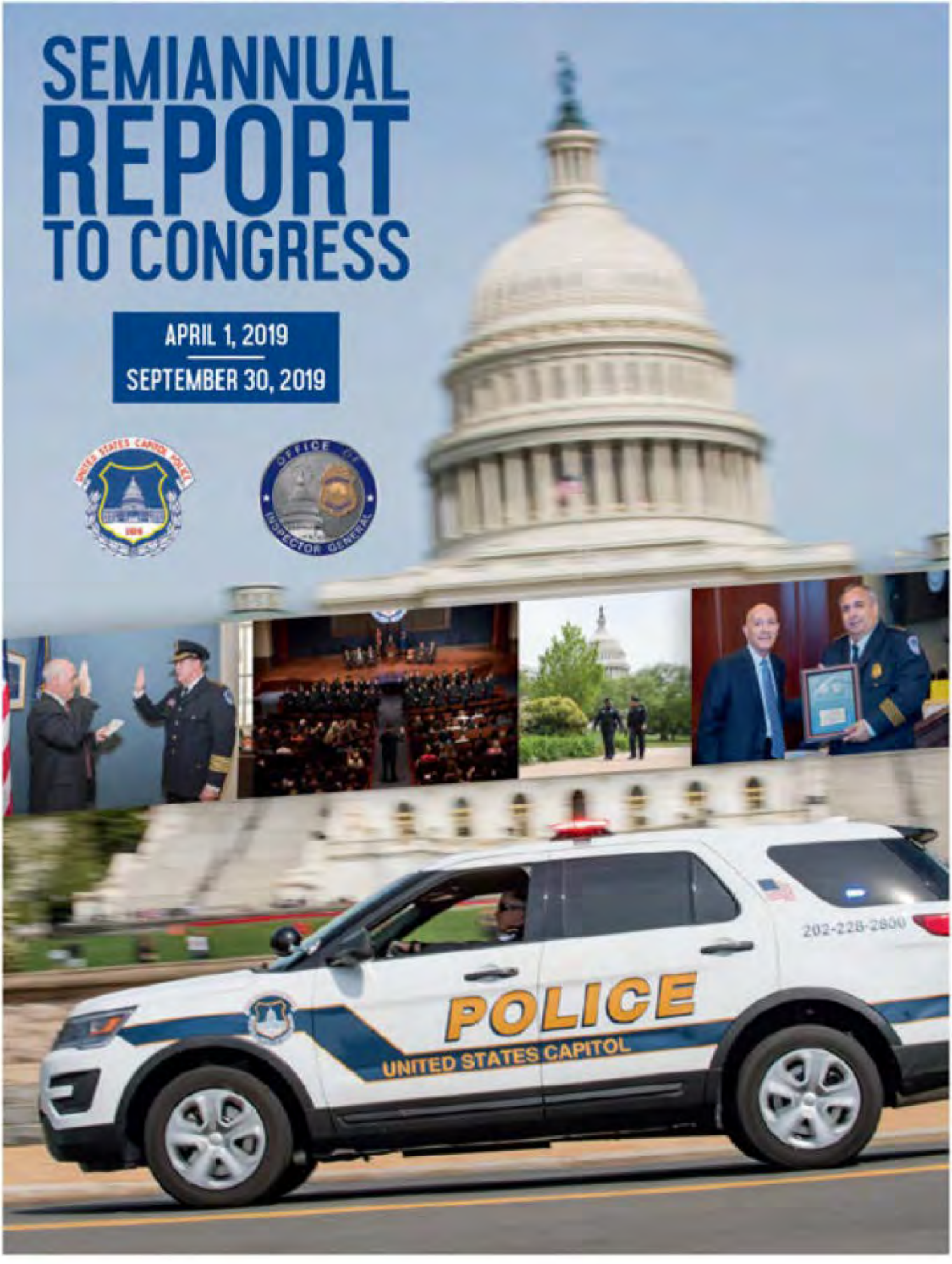
Approved for public release by the Capitol Police Board on October 7, 2026

SEMIANNUAL REPORT TO CONGRESS

APRIL 1, 2019
SEPTEMBER 30, 2019



United States Capitol Police

History

Created by Congress in 1828 following an assault on a son of John Quincy Adams in the Capitol Rotunda, the original duty of the United States Capitol Police (USCP or the Department) was to provide security for the United States Capitol Building. Its mission has expanded to provide the congressional community and 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, Canine (K-9) Unit, Patrol/Mobile Response Division, and full-time Hazardous Devices and Hazardous Materials Sections. USCP had 1,917 sworn and 378 civilian employees as of September 30, 2019.

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. On June 8, 2017, USCP's jurisdiction was further extended to include the O'Neill Building, resulting from Public Law 114-254, 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 USCP Headquarters—the Eney, Chestnut, Gibson Memorial Building in Washington, D.C. On November 19, 2013, the second IG for the Department was sworn in by the Chairman of the Capitol Police Board and on January 16, 2019, the Capitol Police Board announced the appointment of the third IG.

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 Department 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 for the United States Capitol Police (USCP or Department). The report summarizes work the Office of Inspector General (OIG) initiated and completed from April 1, 2019, through September 30, 2019. The audits, investigations, and special reports described illustrate the continued efforts of OIG for promoting the efficiency and effectiveness of USCP programs and operations.

During this reporting period, Audits issued the following seven reports: *Analysis of the United States Capitol Police Recruiting Program*, Report Number: OIG-2019-09; *Performance Audit of the United States Capitol Police Records Management Program*, Report Number OIG-2019-10; *Management Advisory Report: Pre-employment Psychological Evaluation Contract Issues*, Report Number OIG-2019-11; *Performance Audit of the United States Capitol Police Travel Card Program*, Report Number OIG-2019-12; [redacted]; *Analysis of the United States Capitol Police Wireless Network and Devices*, Report Number OIG-2019-14; and *Performance Audit of the United States Capitol Police Interactions with Individuals with Disabilities*, Report Number OIG-2019-15. At the end of the reporting period, Audits had four ongoing projects— an audit of the USCP financial statements for the period ending September 30, 2019; a survey of USCP critical supplies for critical missions; a survey of USCP Office Facilities and Logistics; and a follow-up on USCP canine operations. Audits was also developing the OIG annual performance plan for Fiscal Year 2020. And, as *Government Auditing Standards* require, Audits was preparing for its fourth external peer review for the period ending September 30, 2019.

Investigations issued a *Follow-up Analysis of the United States Capitol Police Dignitary Protection Division*, Investigative Number 2019-I-0002; Management Advisory: *Survey of the United States Capitol Police Continuity of Operations Program*; Investigative Number 2019-I-0004; *Inquiry into Questions about the United States Capitol Police Hiring Process*, Investigative Number 2019-I-0005; *Investigation into Misconduct by a Senior Official*, Investigative Number 2019-I-0006; and an *Investigation into Circumstances Surrounding Alleged Congressional Accountability Act Violations by the United States Capitol Police*, Investigative Number 2019-I-0008. At the end of the reporting period, Investigations had ongoing an Assessment of the USCP pre-screener program and a follow-up on USCP offsite deployments. Investigations continued to receive and evaluate Hotline complaints as well as conduct training with USCP personnel, including recruit officer classes.

On July 16, 2019, I testified before the United States House of Representatives Committee on House Administration regarding the "Oversight of the United States Capitol Police."

OIG provided correspondence to the United States Senate Committee on Homeland Security and Governmental Affairs related to the Semiannual Report to Congress for the previous 6-month reporting period.

OIG staff members are fully committed to promoting the efficiency and effectiveness of Department programs and operations. I commend USCP, the Capitol Police Board (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.

Additionally, OIG would like to thank the prior Chief, Matthew R. Verderosa, for his support of our office during his tenure and wish him the very best in retirement. Congratulations to the tenth Chief of Police, Steven A. Sund!

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.

Michael A. Bolton
Inspector General

United States Capitol Police
Change of Command

May 29, 2019, Retirement Reception



Figure 1: USCP Assistant Chief Steven A. Sund presents a farewell gift to prior Chief Verderosa.
Source: Senate Photo Gallery.



Figure 2: Prior Chief Verderosa's retirement cake.
Source: Senate Photo Gallery.



Figure 3: Metropolitan Police Department Chief Peter Newsham congratulates and presents a farewell gift to prior Chief Verderosa.
Source: Senate Photo Gallery.

July 3, 2019, Swearing-in Ceremony



Figure 4: United States Capitol Police Board Chairman Michael Stenger, swears in Steven A. Sund as the Chief of Police.
Source: Senate Photo Gallery.



Figure 5: United States Capitol Police Board Chairman Michael Stenger and newly sworn in Chief of Police Steven A. Sund.
Source: Senate Photo Gallery.

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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 the Department) Office of Inspector General (OIG) for the period April 1, 2019, through September 30, 2019. During this reporting period and at the close of the fiscal year, OIG directed its available resources toward areas of greatest risk for the Department. The work we completed helped promote the economy, efficiency, effectiveness, and integrity of the Department's programs and operations. The accomplishments for each OIG component are summarized below.



OIG Audits issued seven reports: *Analysis of the United States Capitol Police Recruiting Program,* Report Number: OIG-2019-09; *Performance Audit of the United States Capitol Police Records Management Program,* Report Number: OIG-2019-10; *Management Advisory Report: Pre-employment Psychological Evaluation Contract Issues,* Report Number OIG-2019-11; *Performance Audit of the United States Capitol Police Travel Card Program*, Report Number OIG-2019-12; [redacted]; *Analysis of the United States Capitol Police Wireless Network and Devices*, Report Number OIG-2019-14; and a *Performance Audit of the United States Capitol Police Interactions with Individuals with Disabilities*, Report Number OIG-2019-15. At the end of the reporting period, Audits had four ongoing projects— an audit of the USCP financial statements for the period ending September 30, 2019; a survey of USCP critical supplies for critical missions; a survey of USCP Office Facilities and Logistics; and a follow-up on USCP canine operations. Audits was also developing the OIG annual performance plan for Fiscal Year 2020. And, as *Government Auditing Standards* require, Audits was preparing for its fourth external peer review for the period ending September 30, 2019.



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Throughout this reporting period, the OIG staff continued working with the Department and stakeholders to maintain and foster open and effective relationships. On a wide range of issues relating to the work of OIG and USCP, the OIG staff maintained its active interaction with the Chief of Police, members of the 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. In addition, OIG successfully continued with its active outreach and fraud program by presenting briefings to new employees and recruit officer classes.

LEGISLATION MONITORED

IG reviewed and monitored the following legislation:

H.R. 1847 ***Inspector General Protection Act***

H.R. 2500 ***National Defense Authorization Act for Fiscal Year 2020***

H.R. 2543 ***Stopping Improper Payments to Deceased People Act***

H.R. 3208 ***Real Emergency Access for Aging and Disability Inclusion for Disasters Act***

H.R. 3351 ***Financial Services and General Government Appropriations Act, 2020***

H.R. 4147 ***Whistleblower Expansion Act of 2019***

H.R. 4378 ***Continuing Appropriations Act, 2020, and Health Extenders Act of 2019***

H.R. 4382 ***Integrity Committee Transparency Act of 2019***

H.R. 4440 ***Deadly Force Independent Review Act of 2019***

S. 375 ***Payment Integrity Information Act of 2019***

S. 1005 ***Ending Too Big to Jail Act***

S. 1215 ***National Defense Authorization Act for Fiscal Year 2020***

S. 1234 ***Nuclear Waste Administration Act of 2019***

S. 1333 ***Stopping Improper Payments to Deceased People Act***

S. 1589 ***Damon Paul Nelson and Matthew Young Pollard Intelligence Authorization Act for Fiscal Years 2018, 2019, and 2020***

S. 1755 ***Real Emergency Access for Aging and Disability Inclusion for Disasters Act***

S. 1790 ***National Defense Authorization Act for Fiscal Year 2020***

S. 2057 ***National Climate Bank Act***

S. 2119 ***Stop Improper Federal Bonuses Act***

S. 2315 ***Whistleblower Act of 2019***

S. 2524 ***Financial Services and General Government Appropriations Act, 2020***

VALUE ADDED

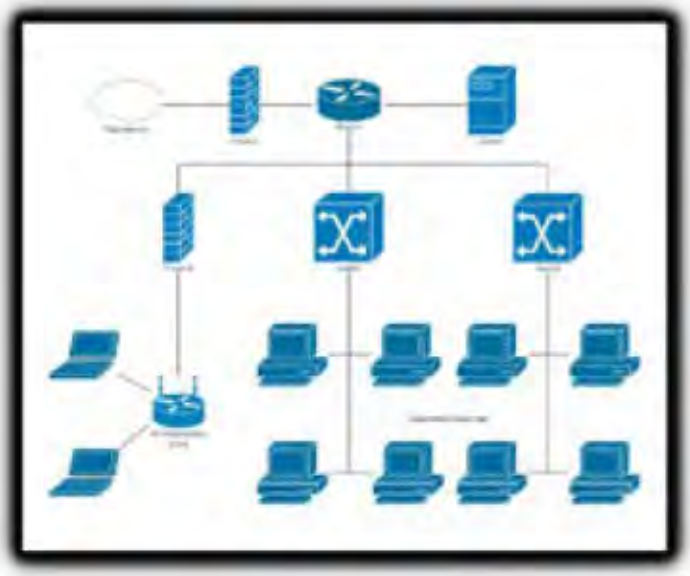
One method used for measuring our value is tracking the outcome of the recommendations in our reports, as codified in the IG Act of 1978, as amended. Since Agency inception in 2006, OIG has made numerous recommendations for improving programs and operations. While working alongside the Department, during this reporting period OIG added value in several areas, which allowed the Department to make significant progress in closing previous recommendations, as well as identification of a potential computer vulnerability.

Wireless Access Point Vulnerability from a Wireless Analysis

During OIG's *Analysis of the United States Capitol Police Wireless Network and Devices*, Report Number OIG-2019-14, dated September 25, 2019, we identified a device which was inadvertently operating as a wireless access point (AP) and was joined to the USCP enterprise with a potentially insecure configuration.

OIG notified the Office of Information Systems (OIS) of the vulnerability, and OIS took immediate action to remediate the issue. OIS identified a setting on the device causing the device to operate as an AP. OIS then identified a group policy setting that would prevent this from occurring on other devices.

As of September 25, 2019, OIS had tested the group policy setting on a limited number of users and determined that it was suitable to be deployed across the USCP network. Additionally, OIS implemented a feature that allows the APs to scan for additional networks and generates reports when changes occur in the discovered networks.



VALUE ADDED (Cont'd)

Significant Progress in Resolution of Open Recommendations

During this reporting period, the Department made substantial progress in closing open recommendations. As the following table reflects, OIG closed 34 previously open recommendations, some of which were older than 6 months. The Department has worked diligently to close open recommendations and has closed more recommendations during this reporting period than the previous 13 reporting periods.

Report Title	Report Number	Recommendations Closed
Applying Agreed-Upon Procedures: United States Capitol Police Restricted Duty Program	OIG-2015-08	7
Performance Audit of the United States Capitol Police Training Services Bureau	OIG-2016-07	1
Evaluation of the United States Capitol Police Disciplinary Process	OIG-2017-01	2
Performance Audit of the United States Capitol Police Specialty Pay Programs	OIG-2018-08	7
Follow-up on United States Capitol Police Controls over Proximity Cards	OIG-2018-13	1
Management Advisory Report: Outdated United States Capitol Police Civilian Employee Handbook	OIG-2018-17	1
Follow-up Analysis on United States Capitol Police Controls over Evidence	OIG-2018-18	1
[redacted]	[redacted]	[redacted]
Analysis of the United States Capitol Police Email Security Program	OIG-2019-06	1
Assessment of the United States Capitol Police Use of Axon Digital Services System	OIG-2019-08	1
Management Advisory Report: Pre-employment Psychological Evaluation Contract Issues	OIG-2019-11	2
Follow-up Analysis of the United States Capitol Police Dignitary Protection Division	2019-I-0002	5
Total		**34**

Source: OIG generated from the Audit Recommendation Tracking System (ARTS)

During this reporting period, the Department fully implemented and OIG closed recommendations in the following eight reports:

- *Applying Agreed-Upon Procedures: United States Capitol Police Restricted Duty Program*, OIG-2015-08
- *Performance Audit of the United States Capitol Police Training Services Bureau*, OIG-2016-07
- *Evaluation of the United States Capitol Police Disciplinary Process*, OIG-2017-01
- *Follow-up on United States Capitol Police Controls over Proximity Cards*, OIG-2018-13
- *Management Advisory Report: Outdated United States Capitol Police Civilian Employee Handbook*, OIG-2018-17
- *Follow-up Analysis on United States Capitol Police Controls over Evidence*, OIG-2018-18
- [redacted]
- *Management Advisory Report: Pre-employment Psychological Evaluation Contract Issues*, OIG-2019-11

PROACTIVE EFFORTS

Management Challenges

The *Reports Consolidation Act of 2000* requires that OIGs identify and report each year on the most serious management challenges agencies face. When identifying challenges, we routinely examine audits where corrective actions were not 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 challenges with Department officials and considered comments received. As in previous years, last year we reported on major challenges we believed to be the most significant management issues facing USCP. We expect to issue the management challenges for the Department in October 2019.

OIG Annual Performance Plan

On June 14, 2019, to ensure that OIG priorities appropriately considered stakeholder needs, we sought input from the Department, the Board, and our congressional oversight committees in developing our Annual Performance Plan Fiscal Year 2020. 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 period. Our annual performance plan is the OIG "roadmap" for audits, inspections, and investigations, which we plan for each fiscal year to evaluate the Department's programs and operations. We anticipate issuing the Annual Performance Plan Fiscal Year 2020 in October 2019.

Outreach Activities

As part of a continued effort in promoting accountability through heightened awareness of the OIG role, mission, and services, we actively participated in presentations to Department managers and employees, as shown in Figures 6 and 7. We believe this initiative to be proactive and vital toward strengthening accountability by providing fraud prevention and awareness training to Department personnel.

Figure 6: OIG Special Agent conducts training and outreach with recruit officers.



Source: OIG photograph.

Figure 7: OIG Senior Auditor conducts training and outreach with new employees.



Source: OIG photograph.

AUDITS – ISSUED REPORTS

Analysis of the United States Capitol Police Recruiting Program (OIG-2019-09)

In accordance with our *Annual Performance Plan Fiscal Year 2019*, OIG conducted an analysis of the Department's Recruiting Program. OIG objectives were to determine if the Department (1) established adequate policies and procedures for its recruiting program, (2) established effective controls to ensure the integrity of the recruiting program, and (3) complied with applicable laws, regulations, and guidance. Our scope included controls, processes, and operations during Fiscal Year (FY) 2018.



The Office of Background Investigations and Credentialing (OBIC) was created on January 1, 2018, and is responsible for recruiting sworn personnel at USCP. Prior to creation of OBIC, the Office of Human Resources (OHR) was responsible for recruiting sworn personnel. The resultant change in organizational structure contributed to the Department's lack of up-to-date policies related to the recruiting of sworn personnel. Standard Operating Procedure (SOP) [redacted], dated July 25, 2001, and SOP [redacted], dated August 3, 2001, were not up to date. For example, procedures in SOP [redacted] include documentation maintenance of five forms that were no longer in use and outdated practices such as keeping pertinent information related to inactive files on microfilm. Procedures in SOP [redacted] also included outdated practices such as acknowledgment of all applicants in writing within 15 working days of the receipt of the application, and making announcement of recruiting activities by way of print media.

USCP did not have controls in place that would help identify, collect, process, and use qualitative information from preliminary steps of recruiting to the point of approval for hire. USCP also did not track potential applicants identified during recruiting job fairs and new hires to a specific recruiting job fair conducted during FY 2018. Additionally, USCP did not collect specific performance data that measured the outcome of the various types of recruiting efforts. Because they did not collect and report the names of interested candidates seen during recruiting events, recruiters could not follow-up and/or track potential candidates through the assessment and hiring process. OIG made two recommendations, which the Department agreed to implement.

AUDITS – ISSUED REPORTS (Cont'd)

Performance Audit of the United States Capitol Police Records Management Program (OIG-2019-10)



In accordance with our *Annual Performance Plan Fiscal Year 2019*, OIG conducted a performance audit of USCP's Records Management Program. OIG objectives were to determine if the Department (1) established adequate policies and procedures for its Records Management Program, (2) established effective controls for ensuring the integrity of the Records Management Program, and (3) complied with applicable laws, regulations, and guidance. Our scope included controls, processes, and operations during calendar year 2018.

USCP's [redacted], dated February 18, 2005, did not reflect USCP's prevailing infrastructure or practices and was not in alignment with best practices. For example, the policy did not adequately address electronic records such as email retention timeframes. The policy also did not include adequate procedures for converting physical records to electronic records or records maintained in an information system.

USCP lacked an internal control for establishing an inventory of Department records. The Government Accountability Office's *Standards for Internal Control in the Federal Government*, state, "Documentation and records are properly managed and maintained." Although the Department documented its guidance for [redacted], the Records Manager within the Office of Policy and Management Systems (OPOL) did not have an inventory of record types and their locations.

USCP did not comply with best practices related to training of Records Liaisons. National Archives and Records Administration (NARA) Bulletin 2017-01, *Agency Records Management Training Requirements*, dated November 29, 2016, states, "Agencies must provide records management training to all agency personnel that create, receive, access, or use Federal records on behalf of the agency, regardless of whether those individuals have email accounts or IT [Information Technology] network access." As a legislative branch agency, USCP was not required to follow NARA guidance; however, the guidance constitutes best practices. OPOL developed an outreach program using individual bureau and office Records Liaisons to assist in the governance of records management across the Department. However, Records Liaisons from each bureau and office did not attend the 2015 and 2017 Records Liaison training sessions. OIG made three recommendations, which the Department agreed to implement.

AUDITS – ISSUED REPORTS (Cont'd)

Management Advisory Report: Pre-employment Psychological Evaluation Contract Issues (OIG-2019-11)

During the analysis of the Department's Recruiting Program conducted during FY 2019, OIG became aware of issues regarding the USCP contract for pre-employment psychological evaluations. OIG interviewed Department officials and employees of the contractor and reviewed the contract and various other documentation in support of the contractual requirements.

During interviews and review of documentation, we noted several issues with the contract. The items we reported included issues with the initial awarding of the contract, significant increases in price over the original bid, $47,520 of improper payments of which $1,740 were questioned costs, qualifications of the contractors performing the evaluations, poorly written or inaccurate reports, a failure rate that exceeded the national average, threats by the contractor to discontinue work, and other instances of non-compliance with the contract.

The Government Accountability Office's *Standards for Internal Control in the Federal Government*, dated September 2014, state, "Management should design control activities to achieve objectives and respond to risks." It further states, "Management holds service organizations accountable for their assigned internal control responsibilities." However, USCP did not implement controls that would ensure the integrity of the contract. Without appropriate controls for ensuring the integrity of this contract, USCP may not receive the expected level of service from the contractor.

OIG made two recommendations, which the Department has already implemented.



AUDITS – ISSUED REPORTS (Cont'd)

Performance Audit of the United States Capitol Police Travel Card Program (OIG-2019-12)



In accordance with our FY 2019 annual plan, OIG conducted a performance audit of the Department's travel card program. Our objectives were to determine if the Department (1) established adequate internal controls and processes for ensuring compliance with Department policies, and (2) complied with applicable policies and procedures, as well as applicable laws, regulations, and best practices. Our scope included controls, processes, and operations from October 1, 2018, through March 31, 2019.

Overall, the Department lacked internal controls for ensuring that cardholders received the required recertification training. Directive [redacted], dated July 24, 2015, states, "to maintain status as a travel cardholder, periodic recertification is required." However, as of May 2019, 223 of the 1,168 cardholders at USCP had not taken recertification training in the last 3 years. The Department also lacked clear guidance specifying the frequency of training. Although the online travel card training module states "to maintain status as a cardholder or an approving official, annual recertification is required," the travel policy directive states that recertification is required only on a "periodic" basis.

The Department also did not comply with its policies and procedures related to the checkout process for employees separating from the Department. USCP did not retain documentation verifying that it collected travel cards from cardholders upon separation from the Department. As part of the checkout process for separating employees, travel cardholders must turn in travel cards. However, the Department did not maintain the separation checklists as documentation for 5 of the 10 sampled separated cardholders.

Finally, opportunities existed to use resources in a more efficient and effective manner. USCP cardholders did not make every effort to obtain exemption from lodging taxes. The 25 samples reviewed for the audit period revealed that USCP reimbursed cardholders $4,689 in lodging taxes. The Department did not enforce compliance of its Travel Policy Directive encouraging cardholders to obtain and complete tax exemption certificates prior to traveling.

OIG made three recommendations, which the Department agreed to implement.

AUDITS – ISSUED REPORTS (Cont'd)

[redacted]

Analysis of the United States Capitol Police Wireless Network and Devices (OIG-2019-14)

In accordance with our *Annual Performance Plan Fiscal Year 2019*, OIG conducted an analysis of the Department's wireless network and devices. OIG objectives were to determine if the Department (1) established adequate policies and procedures for the wireless network and devices, (2) established effective controls that would ensure the integrity of the wireless network and devices, and (3) complied with applicable laws, regulations, and guidance. Our scope included controls, processes, and operations from October 1, 2018, through June 30, 2019.

In FY 2016, OIS began deploying a Wireless Local Area Network (WLAN). The WLAN was providing USCP wireless enabled devices with access to the USCP enterprise and internet connectivity. During our review, however, we identified gaps regarding documentation of security requirements and configurations as a result of the recent deployment of the WLAN and connected wireless enabled devices.

Specifically, USCP did not establish policies and procedures that would document control implementations clearly documented for configuration, connection requirements, or implementation guidance for wireless access and authorization of wireless connections. Further, while the Department uses [redacted] encryption on Apple iOS and Microsoft Surface wireless enabled devices, Department directives and standard operating procedures do not require implementation of [redacted].

USCP also did not establish effective controls that would ensure the integrity of the wireless network and devices. Specifically, USCP did not establish a process or methodology for assessing the WLAN security on a defined schedule. For example, we identified a wireless AP joined to the USCP enterprise with a potentially insecure configuration. OIS identified a setting on a wireless enabled device that appeared to be the cause of the identified AP. OIS officials took steps to remediate the device and stated that OIS plans to implement a configuration setting that will prevent similar devices from [redacted] in the future. Additionally, management consoles for USCP's wireless network controllers had [redacted] controls. For example, although OIS configured [redacted] requirements, the configuration was not enforced.

OIG made four recommendations, which the Department agreed to implement.

Performance Audit of the United States Capitol Police Interactions with Individuals with Disabilities (OIG-2019-15)

The *Americans with Disabilities Act of 1990* (ADA) is a Federal civil rights law that guarantees equal opportunity for individuals with disabilities in state and local government services, public accommodations, employment, transportation, and telecommunications. The ADA requires public accommodations to make reasonable modifications in policies, practices, or procedures to enable individuals with disabilities to enter places of public accommodation. Under the *Congressional Accountability Act of 1995*, legislative branch facilities such as the Capitol and congressional buildings are considered public accommodations and thus must comply with the ADA public access provisions.

There has been a great deal of attention in the media about law enforcement personnel interactions with people with disabilities, including the USCP. For example, media outlets reported[1] several instances of disability groups and individuals with disabilities being arrested while protesting. Some of the instances included wheelchair-bound individuals and resulted in the closure of Capitol spaces. In addition, individuals with disabilities have complained to stakeholders about inconsistent treatment during security screening and arrest.

Because of congressional interest and in accordance with our *Annual Performance Plan Fiscal Year 2019*, OIG conducted a performance audit of USCP interactions with individuals with disabilities. OIG objectives were to determine whether the Department (1) established policies, procedures, and training designed to prepare sworn employees[2] for interacting with individuals with disabilities during screening and arrest and (2) complied with laws, regulations, and guidance in place for screening and arresting individuals with disabilities. After a July 2019 meeting with stakeholders, OIG refined the objectives to include identifying (1) challenges, if any, officers faced while interacting with individuals with disabilities, and (2) whether the Department leveraged best practices information from knowledgeable sources. Our scope included policies, procedures, practices, and training as of August 2019, and data collected during the three previous fiscal years—FY 2016 through FY 2018.

The Department had policies, procedures, and training in place designed to prepare officers to effectively conduct screening and arrest of individuals with disabilities. The Department

[1] "disabilityscoop," *80 Arrested In Nation's Capital At Disability Rights Protest*, May 21, 2019; The Washington Post, *Disability advocates arrested during health care protest at McConnell's office*, June 22, 2017; and Roll Call, *Disabled Protest Closes Rotunda*, March 22, 2017.

[2] OIG used interchangeably the terms sworn employee(s) and officer(s) throughout the report.

Performance Audit of the United States Capitol Police Interactions with Individuals with Disabilities (OIG-2019-15) (Cont'd)

reviewed and updated policies, procedures, and training directives. The majority of sworn employees interviewed and surveyed also stated that they believed guidance prepared them to effectively interact with individuals with disabilities. However, officers did not have a uniform view of what constituted medical documentation and the potential existed for inconsistent treatment of individuals with disabilities during screening. USCP Directive [redacted] dated October 16, 2018, for example, allows a pregnant individual or visitor with a service animal to receive alternate screening without medical documentation, while individuals who may have obvious disabilities such as people who use wheelchairs, crutches, or other mobility aides must have medical documentation to receive alternative screening.

Overall, officers identified communication as a major challenge when interacting with individuals with disabilities. Officers suggested that providing security screening guidance similar to the Transportation Security Administration to visitors before arrival at the Capitol Complex would help with communication between officers and the public. In addition, during an August 2019 teleconference, the Director of the Office of Congressional Accessibility Services (OCAS) stated a Helpline, or information on an external website about what to expect during security screening—including the requirement for medical documentation—would be most helpful in preparing individuals with disabilities for their visit to the Capitol Complex.

Two Federal laws, the ADA and Section 504 of the *Rehabilitation Act* of 1973, prohibit discrimination on the basis of a disability. Both those laws require that law enforcement offer to victims of crimes with disabilities an equal opportunity to benefit from and participate in all programs and services provided by the law enforcement agency. Officers must provide for equal communication with people with disabilities as well as make reasonable modifications to policy, practice, and procedure that will accommodate individuals with disabilities unless doing so would fundamentally alter the service or program. As previously stated, the Department reviewed and updated policies, procedures, and training to ensure both officer compliance and alignment with the ADA and Section 504.

In general, the Department leveraged best practices guidance from knowledgeable sources—such as the Department of Justice, and OCAS—to ensure equitable treatment of individual with disabilities as well as effective law enforcement.

OIG made two recommendations, which the Department agreed to implement.

AUDITS – ONGOING PROJECTS

Follow-up Audit of the United States Capitol Police Canine (K-9) Program

In accordance with our *Annual Performance Plan Fiscal Year 2019*, OIG will begin a follow-up audit of the Department's implementation of recommendations OIG made in its previous report; *Performance Audit USCP Canine (K-9) Program*, Report Number OIG-2013-04. OIG objectives are to determine whether USCP took appropriate corrective actions in implementing the recommendations in our previous report, and whether the implemented actions corrected the deficiencies identified in the report. Our scope will include corrective actions addressing recommendations as of September 30, 2019. OIG expects to issue the report on or about February 28, 2020.

Survey of the United States Capitol Police Office of Facilities and Logistics

In accordance with our *Annual Performance Plan Fiscal Year 2019*, OIG began a survey of the Department's Office of Facilities and Logistics (OFL). Our objectives are to (1) gain a better understanding of OFL and (2) identify any areas suited for future detailed evaluations, inspections, or audits. Our scope will include existing policies and procedures related to OFL as of September 30, 2019. OIG expects to issue the survey on or about January 31, 2020.

Survey of the United States Capitol Police Critical Supplies for Critical Missions

In accordance with our *Annual Performance Plan Fiscal Year 2019*, OIG initiated a survey of the Department's Critical Supplies for Critical Missions. Our objectives are to (1) gain a better understanding of critical supplies for critical missions and (2) identify any areas suited for future detailed evaluations, inspections, or audits. Our scope will include existing policies and procedures related to critical supplies for critical missions as of September 30, 2019. OIG expects to issue the survey on or about January 31, 2020.

AUDITS – TERMINATED PROJECTS

Termination of Performance Audit of USCP Recruiting Program

On December 13, 2018, OIG conducted an entrance conference with respect to the USCP recruiting program. Our objective was to conduct a performance audit of the USCP recruiting program. Our scope was to include controls, processes, and operations during FY 2018.

Due to unforeseen OIG workforce limitations and turnover in critical key personnel, OIG terminated the performance audit on June 3, 2019.

In August 2019, OIG issued an *Analysis of the United States Capitol Police Recruiting Program*, Report Number OIG-2019-09. Details of this report were discussed previously in this report.



INVESTIGATIONS – ISSUED REPORTS

Follow-up Analysis of the United States Capitol Police Dignitary Protection Division
(Investigative Number 2019-I-0002)

In a previous report—the *Evaluation of Dignitary Protection Division*, Report Number OIG-2013-07, dated September 2013—OIG found that USCP needed to strengthen internal controls and establish adequate criteria to measure compliance and performance for its Dignitary Protection Division (DPD). OIG made four recommendations, which the Department agreed to implement. As of September 18, 2015, OIG had closed all four of the recommendations based on comments and documentation the Department provided.

In accordance with our annual plan, OIG conducted a follow-up analysis of the Department's implementation of recommendations contained in Report Number OIG-2013-07. Our objective was to confirm the Department took the corrective actions in implementing the recommendations. Our scope included existing controls related to implementation of recommendations as outlined in our previous report.

We conducted interviews, site visits, and reviewed relevant documentation to gain an understanding of the Department's implementation of recommendations. Our analysis identified three conditions related to recommendations in the previous report. The guidance for DPD agents to document and report their activities when assigned to protective detail assignments outside the Washington, D.C., Metropolitan Area was outdated and did not reflect prevailing DPD procedures. In addition, guidance did not require that DPD supervisors document their review or approval of protective operations paperwork. Furthermore, USCP responses to a recommendation in Report Number OIG-2013-07 indicated the Department was in the process of implementing a DPD Reserve Corps Training Program. Implementation of the program, however, is still on hold pending a USCP Office of General Counsel (OGC) evaluation of the concept.

OIG issued new recommendations that the Department revise its guidance to reflect updated DPD procedures and require documentation of supervisory review and approval. To restart implementation of a DPD Reserve Corps, OIG issued a new recommendation that the Department obtain a legal opinion from OGC regarding the concept.

During follow-up work, opportunities for the Department to improve its protective operations came to the attention of OIG. Improvements included increased training, enhancements to protective advances, increased support from other USCP units, and a career development track for DPD. OIG made eight recommendations, which the Department generally agreed to implement.

INVESTIGATIONS – ISSUED REPORTS

Management Advisory: *Survey of the United States Capitol Police Continuity of Operations Program* (Investigative Number 2019-I-0004)

In accordance with our annual plan, OIG conducted a survey of the Department's Continuity of Operations (COOP) Program. Our primary objectives were to gain a better understanding of the USCP COOP Program and identify any areas suited for future detailed evaluations, inspections, or audits. Our scope included existing policies and procedures related to the USCP COOP Program.

To gain an understanding of the USCP COOP Program, we interviewed Department officials and reviewed available Department COOP guidance and planning documents, including those in draft form. We also researched and reviewed information related to the history of the COOP Program. As a legislative branch agency, many laws and regulations that apply to executive branch agencies do not apply to USCP. We believe, however, that those laws and regulations represent appropriate guidance and industry best practices. We, therefore, reviewed the Federal Emergency Management Agency (FEMA) guidance.

OIG gained a better understanding of the USCP COOP Program, including its history, responsible entities, and status. USCP began formal continuity planning in 2005 and adopted its first continuity plan in 2008. However, the Department has never had a comprehensive COOP plan identifying its mission essential functions and evaluated for compatibility. The USCP Command and Coordination Bureau (CCB) is the entity primarily responsible for the Department's continuity planning. CCB is in the process of developing a concept of operations (CONOPS) for USCP. According to Department officials, the CONOPS will document the daily operating requirements of all USCP divisions, sections, and units. Once complete, the Department will use the CONOPS to identify mission essential functions and develop a comprehensive COOP plan. The Department's timeline is to have an approved CONOPS document by April 2020 and an approved, comprehensive COOP Plan by June 2021.

Because the Department recently revamped its continuity planning process and does not yet have an approved, comprehensive COOP Plan, OIG could not identify any areas suited for future projects. OIG will follow-up on the status of the Department's COOP Program after the estimated COOP Plan approval date of June 2021.

Inquiry into Questions about the United States Capitol Police Hiring Process (Investigative Number 2019-I-0005)

On April 23, 2019, OIG received a complaint from an individual who applied for a position and was disqualified from the hiring process. OIG conducted an inquiry and did not find evidence substantiating that the Department did not comply with its hiring policies and procedures regarding disqualification of individuals from the hiring process. OIG closed the inquiry on May 10, 2019.

Investigation into Allegations of Misconduct by a Senior Official (Investigative Number 2019-I-0006)

OIG received allegations of misconduct on July 10, 2019, that a senior official used inappropriate remarks and discriminated against a Department employee, in violation of USCP Directive [redacted]. OIG's investigation revealed that the senior official violated Directive [redacted] by using foul and inappropriate language in the workplace. OIG found no evidence to support a violation of USCP Directive [redacted]. On August 15, 2019, OIG forwarded the results of its investigation to the Department for action.

Inquiry into Circumstances Surrounding alleged Congressional Accountability Act Violations by United States Capitol Police (Investigative Number 2019-I-0008)

OIG conducted an inquiry into circumstances surrounding alleged Congressional Accountability Act (CAA) violations by the Department. OIG received information which revealed that the Office of Congressional Workplace Rights (OCWR)[3] had issued the Department a citation alleging violations of Section 215 of the CAA. Our objective was to determine whether the matter merited OIG's involvement. OIG determined that the matter did not merit our involvement at this time. All indications were that the alleged violations were an ongoing legal matter between USCP and OCWR, which is the office statutorily responsible for administering and enforcing the CAA. OIG closed the inquiry on September 11, 2019.

[3] The Office of Compliance was renamed the Office of Congressional Workplace Rights as of December 21, 2018.

INVESTIGATIONS – ON-GOING PROJECTS

Assessment of the United States Capitol Police Pre-screener Program (Investigative Number 2019-I-0007)

In accordance with our *Annual Performance Plan Fiscal Year 2019*, OIG began an assessment of the USCP Pre-Screener Program. OIG's objectives are to determine if (1) the organizational structure and training for the USCP Pre-Screening Program was the most efficient and effective, and (2) if the Department complied with applicable policies and procedures as well as applicable laws, regulations and best practices. Our scope will include the pre-screening program organizational structure, training, and compliance with policies and procedures. OIG expects to issue the report on or about December 31, 2019.

Follow-up Analysis of United States Capitol Police Off-Site Deployments (Investigative Number 2019-I-0009)

In accordance with our *Annual Performance Plan Fiscal Year 2019*, OIG initiated a follow-up on the Department's implementation of recommendations OIG made in our previous report, *Audit of USCP Off-Site Deployments*, Report Number OIG-2009-06. Our objective is to confirm the Department took appropriate corrective actions in implementing the recommendations. Our scope will include existing controls related to the implementation of recommendations as outlined in our previous report.

OIG expects to issue the report on or about February 28, 2020.



APPENDIX 1
REPORTS ISSUED

Report Number	Report Title
OIG-2019-09	*Analysis of the United States Capitol Police Recruitment Program*
OIG-2019-10	*Performance Audit of the United States Capitol Police Records Management Program*
OIG-2019-11	*Management Advisory Report: Pre-employment Psychological Evaluation Contract Issues*
OIG-2019-12	*Performance Audit of the United States Capitol Police Travel Card Program*
[redacted]	[redacted]
OIG-2019-14	*Analysis of the United States Capitol Police Wireless Network and Devices*
OIG-2019-15	*Performance Audit of the United States Capitol Police Interactions with Individuals with Disabilities*
Total: 7	

Investigative Number	Title
2019-I-0002	*Follow-up Analysis of the United States Capitol Police Dignitary Protection Division*
2019-I-0004	*Survey of the United States Capitol Police Continuity of Operations Program*
2019-I-0005	*Inquiry into Questions about the United States Capitol Police Hiring Process*
2019-I-0006	*Investigation into Allegations of Misconduct by a Senior Official*
2019-I-0008	*Inquiry into Circumstances Surrounding alleged Congressional Accountability Act Violations by United States Capitol Police*
Total: 5	

APPENDIX 2
RESOLUTION OF REPORT RECOMMENDATIONS

Timely resolution of outstanding recommendations continues to be a priority for the Department as well as OIG. As of September 30, 2019, OIG made a total of 456 recommendations to the Department since OIG inception. Of those 456 recommendations, the Department has fully implemented (or closed) 410. Of the remaining 46 open unimplemented recommendations, 23 of the open recommendations were older than 6 months as shown in the following table.

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	*Report Title*	*Recommendation Number*	*Recommendation*
2009-01	*FY 2008 FS*	Repeat Finding 1.2	**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) 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], T&A system, to automate the T&A Certification process. [redacted]
2011-01	*FYs 2010/2009 FS*	1.1	
2012-02	*FY 2011 FS*	1.1	
2013-01	*FY 2012 FS*	1.1	
2014-01	*FY 2013 FS*	1.1	
2015-01	*FY 2014 FS*	1.1	
2016-01	*FY 2015 FS*	1.1	
2017-02	*FY 2016 FS*	1.1	
2018-04	*FY 2017 FS*	1.1	
2019-04	*FY 2018 FS*	1.1	
2009-01	*FY 2008 FS*	Repeat Finding 1.9	**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. [redacted]
2011-01	*FYs 2010/2009 FS FY 2011 FS*	1.6	
2012-02		1.4	
2013-01	*FY 2012 FS*	1.4	
2014-01	*FY 2013 FS*	1.4	
2015-01	*FY 2014 FS*	1.4	
2016-01	*FY 2015 FS*	1.3	
2017-02	*FY 2016 FS*	1.3	
2018-04	*FY 2017 FS*	1.3	
2019-04	*FY 2018 FS*	1.3	
2015-09	*Independent Accountants' Report on Agreed-Upon Procedures of United States Capitol Police Leave Restriction Status*	1	**Leave Restriction Status** – We recommended that USCP complete its review of guidance related to Leave Restriction Status, make necessary updates, and reissue in the proper format to provide adequate instructions for Leave Restriction Status as it relates to both employees and supervisors. [redacted]
2015-09	*Independent Accountants' Report on Agreed-Upon Procedures of United States Capitol Police Leave Restriction Status*	3	**Leave Restriction Status** – We recommended that USCP include a formal timeline requirement that OHR respond within 10 business days to a request for employee placement into a Leave Restriction Status. [redacted]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	***Report Title***	***Recommendation Number***	***Recommendation***
2015-09	*Independent Accountants' Report on Agreed-Upon Procedures of United States Capitol Police Leave Restriction Status*	5	**Leave Restriction Status –** We recommended that USCP consider adding progressive discipline for anyone with a continuing pattern of leave abuse such as when an employee or officer is in Leave Restriction Status, that individual is not eligible for promotion or officer-requested transfers. This would serve as a leave abuse deterrent and help avoid patterns going undetected, especially when officers request transfers. [redacted]
2017-06	*Analysis of the United States Capitol Police Backup and Recovery Capabilities*	3	**Information Technology –** We recommended that USCP define Department-level mission essential functions. Once Department-level mission essential functions are established, we recommend each bureau align business priorities that satisfy mission essential function requirements. USCP should also develop Department-level a continuity of operations plan (CONOPS). Once the Department approves such a plan, each bureau must ensure that its plan aligns with the Department requirements. [redacted]
2017-13	*Analysis of the United States Capitol Police Overtime*	2	**CDO –** We recommended that USCP develop clear and cogent written procedures regarding the preparing, distributing, reporting, and monitoring of overtime data to ensure that others understand the overtime process. [redacted]
2018-08	*Performance Audit of the United States Capitol Police Specialty Pay Programs*	1	**OHR –** We recommended that USCP update Directive [redacted], January 9, 2015; Directive [redacted] February 21, 2017, and Directive [redacted], November 18, 2014, to (a) identify the entity or individual responsible for monitoring pay to ensure employees do not exceed the maximum annual payable rate, and (b) explicitly describe the procedures for calculating and making adjustments to payments exceeding the maximum payable rate. [redacted]
2018-11	*Analysis of the United States Capitol Police Compensatory time*	1	**OHR –** We recommended that USCP establish procedures to ensure supervisors monitor changes from unscheduled to scheduled leave. [redacted]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	**Report Title**	**Recommendation Number**	**Recommendation**
2018-12	*Assessment of the United States Capitol Police Workforce Diversity*	1	**CAO** – We recommended that USCP develop a strategic plan that identifies the Office of Inclusion, Diversity, Equity, and Action roles and responsibilities and clearly defines each coordinating office/bureau's (OHR, Office of Professional Responsibility, and Employment Law Division) responsibilities and reporting requirements with regard to diversity matters. [redacted]
2018-12	*Assessment of the United States Capitol Police Workforce Diversity*	2	**CAO** – We recommended that USCP design and perform an effective self-evaluation of its diversity management program on a periodic basis. The self-evaluation would include defining tracking methods for obtaining quantitative data on workforce demographics of USCP employees. In addition, USCP should identify segments within its workforce for which to collect qualitative data and accordingly improve qualitative data gathering methods. [redacted]
2018-12	*Assessment of the United States Capitol Police Workforce Diversity*	3	**CAO** – We recommended that USCP update the current agency strategic plan and explicitly include diversity to ensure continuity and progression in the development of diversity management initiatives through integration of diversity management into its strategic plan. [redacted]
2018-12	*Assessment of the United States Capitol Police Workforce Diversity*	4	**CAO** – We recommended that USCP strengthen its succession planning efforts by drafting a plan for succession planning and incorporating it into the Office of Inclusion, Diversity, Equity, and Action and Office of Human Resources diversity management efforts. Accordingly, the USCP should create policies and procedures on succession planning, and leadership and career development for civilian and sworn employees as stated in the Office of Human Resources FY 2015-2018 Plan. [redacted]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	**Report Title**	**Recommendation Number**	**Recommendation**
2018-15	*Assessment of the United States Capitol Police Telework and Alternative Work Schedule Programs*	1	**OHR** – We recommended that USCP update the USCP Directive [redacted], dated November 19, 2015, to a. Include clear and specific requirements for record keeping, reporting, and evaluation of its Telework Program and methodologies. b. Incorporate training requirements to ensure the effective performance of the Telework Program. c. Clarify the requirement with regard to supervisors' documentation of the rationale for decisions made on telework requests and update [redacted] accordingly. [redacted]
2018-15	*Assessment of the United States Capitol Police Telework and Alternative Work Schedule Programs*	2	**OHR** – We recommended that USCP develop and implement a policy that addresses Alternative Work Schedules (AWS) and specifically incorporate the current "4-10" and "first 40" AWS practices. [redacted]
2018-15	*Assessment of the United States Capitol Police Telework and Alternative Work Schedule Programs*	3	**OHR** – We recommended that USCP develop a system to track telework and alternative work schedule hours. [redacted]
2018-15	*Assessment of the United States Capitol Police Telework and Alternative Work Schedule Programs*	4	**OHR**: – We recommended that USCP ensure that the Telework Program Coordinator is performing annual audits and preparing reports on the USCP Telework Program. Additionally, the Department should establish a standard operating procedure that provides guidance to the Telework Program Coordinator on how to perform the annual audits and prepare the reports. [redacted]
2018-15	*Assessment of the United States Capitol Police Telework and Alternative Work Schedule Programs*	5	**OHR** – We recommended that USCP ensure full compliance with Directive [redacted], dated November 19, 2015, and any subsequent versions of a Telework Program Directive. [redacted]
2019-03	*Assessment of the United States Capitol Police Contractor Performance Monitoring*	1	**Acquisition Management** – We recommended that the USCP establish a program that will collect performance data for contractors and track that information in a system by which the Office of Acquisition Management (OAM) can monitor the status of contractor performance data required from Contracting Officer's Representatives. Such data should be readily available to decision makers. [redacted]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	*Report Title*	*Recommendation Number*	*Recommendation*
2019-03	*Assessment of the United States Capitol Police Contractor Performance Monitoring*	2	**Acquisition Management –** We recommended that the USCP develop a Procurement Training and Development Plan that includes training and refresher training requirements for the Office of Acquisition Management (OAM) staff as well as Department Contracting Officer's Representatives. The plan should include a comprehensive tracking system for training as well as track and report compliance with requirements. Contractor compliance should also be included in the OAM strategic plan. OAM should develop mitigating procedures for addressing any noncompliance with training requirements. [redacted]
2019-06	*Analysis of the United States Capitol Police Email Security*	2	**OIS –** We recommended that the USCP Office of Information Systems implement organizationally definec baselines for Microsoft Exchange mail servers. [redacted]
2019-06	*Analysis of the United States Capitol Police Email Security*	3	**OIS –** We recommended that the USCP Office of Information Systems implement baseline configurations scans for all Microsoft Exchange mail servers. [redacted]
2019-08	*Assessment of the United States Capitol Police Use of Avue Digital Services System*	1	**OHR –** We recommended that USCP document and implement a procedure for identifying all information system service contracts that should have a service level agreement, and if the contract properly defines each party's responsibilities. Additionally, for each information system service contract, document the applicability of Federal Risk and Authorization Management Program security authorization packages and third party Statement on Standards for Attestation Engagements 18 reports. Any information system service contract should be provided to the USCP Office of Information Systems. [redacted]

Source: OIG generated from its Audit Recommendation Tracking System.



RECOMMENDATION RESOLUTION PROCESS

OIG *Audit Resolution Process and Terminology* requires written comments on the draft report and response to each recommendation made and whether the Department agrees or disagrees with each of the recommendations. In the initial response to the draft report, OIG does not require detailed explanations of implementation efforts. The Department comments to the draft report are included in their entirety in the final report as an appendix.

When the final report is transmitted, OIG requests responses to the report and information on actions taken or planned on each of the recommendations directed within 45 days of the date of the memorandum. Actions taken or planned are subject to OIG follow-up and reporting in accordance with resolution procedures. OIG tracks the Department response on all recommendations through ARTS. **As of September 30, 2019, USCP did not have any outstanding reports for which there was no "establishment comment."**

See Appendix 2, Table 1, and Table 2 for unimplemented recommendations older than 6 months, report recommendations with questioned and unsupported costs, and report recommendations with funds put to better use, respectively.



REPORT RESTRICTION LANGUAGE

USCP OIG reports are in part, or whole, considered "Security Information" as defined by 2 USC § 1979 (a). Release of this information is governed by section 1979, title 2 of the United States Code (U.S.C. § 1979), applicable Capitol Police Board regulations, policies and procedures. This information must not be furnished outside of those entities that have a law enforcement need to know the information in OIG reports.

USCP OIG reports may contain sensitive law enforcement information and/or is part of the deliberative process privilege and disclosure could jeopardize law enforcement operations and may have national security implications.

The Freedom of Information Act also explicitly excludes Congress (5 U.S.C. 551).



APPENDIX 3
PEER REVIEW REPORTING

Inspector General Peer Review Activity
April 1, 2019 – September 30, 2019

External Peer Review Requirement

The audit organization should obtain an external peer review at least once every 3 years that is sufficient in scope to provide a reasonable basis for determining whether, for the period under review, the reviewed audit organization's system of quality control was suitably designed and whether the audit organization is complying with its quality control system in order to provide the audit organization with reasonable assurance of conforming with applicable professional standards (GAS 5.84) as *Government Auditing Standards* issued by the Comptroller General of the United States require.

Peer Review of USCP OIG Audit Organization

As part of the 3-year cycle of independent peer reviews, on March 16, 2017, the Election Assistance Commission (EAC) completed its external peer review of USCP OIG Audit Organization for the period ended September 30, 2016. USCP OIG received a rating of pass with no comments. Most importantly, such a rating provides our stakeholders with an additional comfort level upon which our audit work can be relied and used.

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) has scheduled the Postal Regulatory Commission to conduct our next external peer review of USCP's OIG Audit Organization for the period ended September 30, 2019.

Peer Review Conducted by USCP OIG Audit Organization

CIGIE scheduled USCP OIG to conduct the external peer review of the Federal Labor Relations Authority (FLRA) for the period ended March 31, 2017. USCP OIG issued its last Reviewing Inspector General Report on June 30, 2017, to FLRA OIG.

Table 1

Reports Issued with Questioned Costs[4]
April 1, 2019, through September 30, 2019

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	1	$2	$0
Subtotal	1	$2	$0
For which a management decision was made during the reporting period			
• dollar value of disallowed costs	1	$2	$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

Source: OIG generated from ARTS
Amounts rounded to nearest thousand.

[4] 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 Use[5]
April 1, 2019, through September 30, 2019

Category	Number of Reports	Dollar Value (in thousands)
For which no management decision has been made by the commencement of the reporting period	1	$2,000
Which were issued during the reporting period	1	$5
Subtotal	2	$2,005
For which management decision was made during the reporting period	1	$2,000
• dollar value of recommendations that were agreed to by management ○ based on proposed management action ○ based on proposed legislative action	1	$2,000
• 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	1	$5
Reports for which no management decision was made within 6 months of issuance	0	$0

Source: OIG generated from ARTS
Amounts rounded to nearest thousand

[5] 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, 2019, through September 30, 2019

	Dollar Value (in thousands)
Recoveries	$0
Fines and Restitutions	$0
Investigative Cases Opened	4
Investigative Cases Closed	3
(Surveys, Analysis, Assessments, Evaluations, Inspections, and Internal Control Reviews) Opened	2
(Surveys, Analysis, Assessments, Evaluations, Inspections, and Internal Control Reviews) Closed	2
Arrests	0
Indictments	0
Convictions	0
Personnel Actions	0
Total Complaints Received	27
Hotline Complaints Received	24
Complaints from Other Sources	3
Complaints Referred (to the Department or other agencies)	10
Inspector General Subpoenas	0
Referrals to Prosecuting Authorities and Indictments from Prior Referrals	0

Source: OIG generated from its Investigative Case Tracking System



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.

IG Act Reporting Requirements

IG Act Section	IG Act Requirement	Page
Section 4(a)(2)	Review of Legislation and Regulations	3
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	7-14 17-19
Section 5(a)(2)	Recommendations for Corrective Action Made During the Reporting Period with Respect to Problems, Abuses, and Deficiencies	7-14 17-19
Section 5(a)(3)	Significant Recommendations Included in Previous Semiannual Reports on Which Corrective Action Has Not Been Completed	22-26
Section 5(a)(4)	Matters Referred to Prosecuting Authorities and Prosecutions and Convictions which Resulted	None
Section 5 (a)(5)	Summary of Reports Issued to the Head of the Establishment During the Reporting Period	7-14 17-19
Section 5(a)(6)	Reports Issued During the Reporting Period	21
Section 5(a)(7)	Summary of Particularly Significant Reports	7-14 17-19
Section 5(a)(8)	Questioned and Unsupported Costs (Statistical Table 1)	30
Section 5(a)(9)	Recommendations that Funds be put to Better Use (Statistical Table 2)	31
Section 5(a)(10)	Summary of Reports Issued before the commencement of the Reporting Period (A) for which no Management Decision has been made by the end of the Reporting Period; (B) for which no establishment comment was returned within 60 days of providing the report to the establishment; and (C) for which there are any outstanding unimplemented recommendations, including the aggregate potential cost savings of those recommendations.	30 None 31

IG Act Section	IG Act Requirement	Page
Section 5(a)(11)	Significant Revised Management Decisions made during the Reporting Period	None
Section 5(a)(12)	Management Decisions with which the Inspector General is in Disagreement	None
Section 5(a)(13)	Information Described Under Section 804(b) of the Federal Financial Management Improvement Act of 1996 (Specifically excluded by Public Law 109-55.)	N/A
Section 5(a)(14-16)	Peer Review Reporting Requirements	29
Section 5(a)(17-18)	Statistical Tables and Metrics showing (A) Total Number of Issued Investigative Reports during the reporting period, (B and C) Referrals to Prosecuting Authorities for Criminal Prosecution, and (D) Indictments from Prior Referrals	32
Section 5(a)(19)	Investigations Involving a Senior Government Employee where Allegations of Misconduct were Substantiated	None
Section 5(a)(20)	Descriptions of Whistleblower Retaliation Investigations Closed and Not Disclosed to the Public (Whistleblower Protection Act protections are part of U.S. Merit Systems Protection Board authorities that do not apply to the Legislative Branch.)	N/A
Section 5(a)(21)	Attempts by the Agency to Interfere with IG Independence	None
Section 5(a)(22)	Description of circumstances of; (A) inspection, evaluation, and audit conducted and not disclosed to the public, and (B) investigation conducted involving a senior Government employee that was not disclosed to the public. (Release of information governed by 2 U.S.C. § 1979 applicable to Capitol Police Board regulations, policies and procedures.)	N/A

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.

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 us – we are located at:
United States Capitol Police
Attn: Office of Inspector General, Investigations
119 D Street, NE
Washington, DC 20510



Or visit us – we are located at:
499 South Capitol Street, SW, Suite 345
Washington, DC 20003





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



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