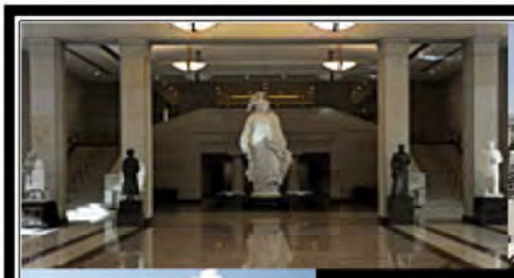
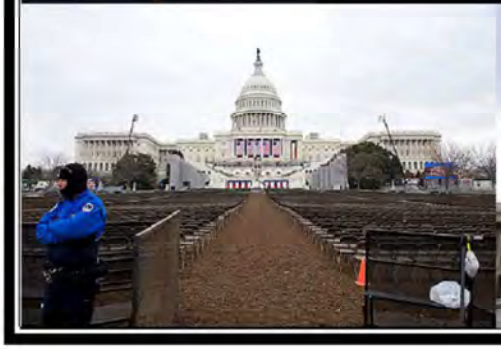
Approved for public release by the Capitol Police Board on September 3, 2026











UNITED STATES CAPITOL POLICE

OFFICE OF INSPECTOR GENERAL

SEMIANNUAL REPORT TO THE CONGRESS

October 1, 2008 — March 31, 2009

TABLE OF CONTENTS

Letter to Chief of Police.....2

Executive Summary.....3

Agent of Positive Change.....4

Proactive Efforts.....5

Audits.....6

Investigations.....11

Appendix 1 – Reports Issued.....14

Appendix 2 – Resolution of Reports Recommendations.....15

Table 1 – Reports Issued with Questioned Costs 19

Table 2 – Reports with Recommendations
That Funds be put to Better Use.....20

Table 3 – Investigations Statistics..... 21

IG Act Reporting Requirements.....22

Contacting the Office of Inspector General.....23

UNITED STATES CAPITOL POLICE
WASHINGTON, DC 20003

April 15, 2009

INSPECTOR GENERAL

Phillip D. Morse, Sr.
Chief of Police
United States Capitol Police
Washington, D.C. 20510-7218

Dear Chief Morse:

Enclosed herewith is our semiannual report to the Congress, summarizing the activity undertaken for the period October 1, 2008, through March 31, 2009. Per Section 5 of the Inspector General Act of 1978, as amended, please transmit this report, along with any comments, through the Capitol Police Board, to the five congressional committees of jurisdiction within 30 days.

Our work reflects the legislative mandate of the Inspector General Act which is to identify and prevent fraud, waste, and abuse through the conduct of audits and investigations relating to department programs and operations. The audits and investigations highlighted in this report demonstrate our commitment to ensuring integrity and efficiency in departmental programs and operations.

During this semiannual reporting period, we issued several audit and investigative reports, some of which were conducted at the request of Congressional stakeholders and the Department. As a result of this work, OIG made recommendations to improve the economy, efficiency, effectiveness, and integrity of USCP programs and operations.

Lastly, demonstrating OIG's commitment to work with and offer guidance to the Department, OIG closed 26 recommendations over six months old during this reporting period. Further, in a constructive engagement capacity, OIG assisted the Department in achieving a full set of financial statements and receive an unqualified opinion on those statements.

As always, we look forward to continuing to work with you and your leadership team to make the Department more effective and efficient.

Sincerely,

Carl W. Hoecker

Carl W. Hoecker
Inspector General

cc: U.S. Capitol Police Board

499 South Capitol Street, SW, Washington, DC 20003 Phone: 202-339-4642

EXECUTIVE SUMMARY

This is the sixth semiannual report to the Congress issued by the United States Capitol Police (USCP or the Department), Office of Inspector General (OIG) since its establishment in July 2006. This report is issued pursuant to the provisions of Section 5 of the Inspector General Act of 1978, as amended, and covers the period October 1, 2008, through March 31, 2009, unless otherwise noted. The report is structured to reflect the organization of OIG. During this reporting period, OIG completed significant audit and investigative work to promote the economy, efficiency, effectiveness, and integrity of USCP programs and operations. Overall, OIG issued three audit reports and had four on-going efforts at the close of the period. OIG also issued four reports on its investigative findings.

OIG supported the departmental effort to improve accountability and financial management by issuing the following audit reports: *Audit of the United States Capitol Police's Fiscal Year 2008 Financial Statements* (Report No. OIG-2009-01 issued December 2008); *Controls Over Travel Vouchers* (Report No. OIG-2009-02 issued March 2009); and *Audit of USCP Privacy Program* (Report No. OIG-2009-03 issued March 2009). Additionally, OIG had the following on-going efforts: in response to several complaints received, OIG requested a legal opinion related Fair Labor Standards Act (FLSA) issues; Audit of USCP Offsite Deployments; Audit of USCP Purchase Card Program; and Peer Review of the Denali Commission. OIG efforts provide the Chief of Police (Chief), the Capitol Police Board (Board), and the Congress with an objective assessment of the issues, while also providing specific recommendations to correct deficiencies, improve efficiency, effectiveness, and economy of the Department's programs and operations.

OIG Investigations also completed several efforts: *Allegations of Abuse of Authority and Retaliation* (2008-I-0023 issued March 2009); *False Statement or Misleading Information* (2008-I-0025 issued February 2009); *Violations of USCP Rules of Conduct* (2008-I-0026 issued February 2009); and *Allegations of Abuse of Authority and Retaliation* (2009-I-0002 issued March 2009). Investigations also worked several joint efforts with the Department and other agencies such as misuse of a government vehicle, and receiving and evaluating complaints from ticket holders to the 56th Presidential Inauguration. During this reporting period, OIG received 85 complaints and opened 11 investigations. Restitutions, fines, and recoveries totaled $9,284.

OIG has dual reporting responsibility, to the Board and Congress as well as the Chief of Police. During this reporting period, OIG continued its active engagement with Congress through meetings, briefings, and dialogue with members and staff of the Department's committees of jurisdiction on a range of issues relating to the work of the OIG and USCP. For example, at the request of the then Chairman of the Committee on Oversight and Government Reform, OIG provided a compilation of recommendations made by this office.

AGENT OF POSITIVE CHANGE

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

Audit Resolution of Recommendations

OIG has shown resolution of audit recommendations as a major management challenge for the Department. Thus, OIG continues to work with the Department to close recommendations over six months old. During this semiannual reporting period, the Department fully implemented recommendations resulting in OIG closing 26 recommendations from prior reports that were over six months old. For example, OIG closed ten recommendations from prior financial statement audits (OIG-2008-03), six from the Physical Inventory report (OIG-2007-06), five from the Memorial Fund report (OIG-2008-04), three from the Student Loan Repayment Program (OIG-2007-07), and two from the Triple I report (OIG-2008-08).

Unqualified Opinion on FY 2008 Financial Statements

Congress has made financial management a top priority for the Department. OIG has also shown financial management as a major management challenge for the Department. Since its establishment, OIG has worked with the Department to develop efficient and effective financial management policies and procedures to ensure complete, accurate, and timely reporting of financial information. Without yielding independence, OIG also proposed a plan to assist the Department in preparing a full set of financial statements to include the Statement of Net Costs as required by the Office of Management and Budget Circular No. A-136. OIG's efforts resulted in the Department preparing its first Statement of Net Costs and receiving an unqualified opinion on its FY 2008 financial statements. Additionally, OIG issued its audit report ahead of schedule.

OUTREACH ACTIVITIES



As part of our continuing efforts to promote accountability through better awareness of OIG's role, mission, and services, OIG made presentations to Department managers and employees, Legislative branch officials, and committee staffers.

PROACTIVE EFFORTS

External Review of USCP OIG Resources

In July 2006, the Board appointed the first Inspector General (IG) for the Department. Currently the OIG has insufficient staff to exercise statutory oversight of the Department programs and operations and annual appropriation of over $300 million. In connection with the FY 2010 budget request, the Board suggested the IG consider an external entity conduct a review to validate OIG resource requirements. To locate an external entity capable and willing to conduct such a review, OIG reached out to various IGs with a mission in overseeing law enforcement and security. In January 2009, the Board requested the Postal Service OIG conduct a review of USCP OIG preceding two years data, its mission, and environment to recommend optimum resource level and resource options. On February 11, 2009, the Postal Service OIG conducted an entrance conference with the Board. The results of this review are expected in May 2009.

Inspector General Deputation by U. S. Marshals Service

The legislation[1] authorizing the USCP OIG did not provide Federal law enforcement authority to carry out its complete investigative mission. Thus, in coordination with the Board, OIG requested and received special deputation from the U.S. Marshals Service (Marshals Service) for its criminal investigators. To determine whether this special deputation is precluded by the constitutional principle of separation of powers, and whether any federal party could be found liable for damages should the deputation be held invalid by a court; the Board has requested a legal opinion from the Government Accountability Office (GAO). Thus to assist in this legal opinion, OIG has met with GAO Counsel and provided written answers to questions regarding the deputation granted by the Marshals Service.

Inspector General Reform Act of 2008[2]

OIG, in concert with other legislative branch OIGs, continued to monitor the 2008 IG Reform Act. The changes to the law hold IGs to much tougher standards. One of the major provisions of the amended law statutorily established the Council of Inspectors General on Integrity and Efficiency (CIGIE) to address integrity, economy, and effectiveness issues that transcend individual Government agencies; and increase the professionalism and effectiveness of personnel by developing policies, standards, and approaches to aid in the establishment of a well-trained and highly skilled workforce in the offices of the Inspectors General.

Legislation Monitored

- Pub. L.110-409 [H.R. 928] *Inspector General Reform Act of 2008*
- H.R. 478, the *Federal Agency Performance Review and Efficiency Act*; IG Community Comments on H.R. 928, Section 11

[1] Pub. L. 109-55.
[2] Pub. L. 110-409.

AUDITS

Audit of the United States Capitol Police's Fiscal Year 2008 Financial Statements (Report No. OIG-2009-01)

OIG contracted with Cotton and Company, LLP (Cotton), an independent certified public accounting firm, to audit the Department's financial statements for the year ended September 30, 2008.

In the *Independent Auditors' Report,* Cotton rendered an unqualified opinion on the Department's financial statements for the year ended September 30, 2008.

The Cotton *Report on Compliance with Laws and Regulations* identified an instance of noncompliance regarding the use of appropriated funds from the Security Enhancement Fund and the Emergency Response Fund to pay for professional services for engaging temporary civilian employees as contract specialists. OIG is investigating this issue.

The Cotton *Report on Internal Control* included three material weaknesses (Payroll Processing, Financial Management, and Information Systems). Specifically, the Department lacked policies and procedures to ensure that payroll activity was adequately supported and processed consistently. The Department also had incomplete financial management policies, methods, and procedures to ensure complete, accurate, and timely reporting of financial information. Further, the Department's information technology lacked controls to ensure network access and account administration were appropriately maintained and monitored.

While some progress was noted for some of the payroll conditions and two conditions that previously existed were closed, one new condition was identified. There was limited progress toward addressing the financial management and information systems conditions. While the Department closed some of prior the recommendations, additional new deficiencies were noted in both financial management and information systems. Therefore, OIG recommended that the Department continue actions to implement prior recommendations, as well as new recommendations related to financial management.

Controls Over Travel Vouchers (OIG-2009-02)



OIG conducted a review of travel vouchers to determine if the Department complied with USCP guidance and/or applicable Government travel regulations. Our scope included travel vouchers processed during FY 2007 through March 31, 2008. During our review period, the Department processed 4,711 transactions for 19 Divisions and Offices, for a total disbursed amount of $6,715,443. The Protective Services Bureau (PSB) was responsible for 4,114 or 87% of the transactions and $6,343,199 or 94.5% of the amount disbursed.

OIG found that the Department could improve controls and compliance over travel expenditures. We found that the Department had not fully disseminated its various versions of interim travel guidance to all employees. In addition, the August 2007 interim guidance replaced by another August 2008 version (draft Directive [redacted]) was undated and remained in draft as of March 1, 2009. We also found that Department officials did not always ensure that costs claimed on individual travel vouchers were accurate, allowable, and actually incurred during official travel. This included instances where the employee used the official travel card for purchases that did not relate to official government travel, ATM withdrawals that were outside periods of official travel, and for expenses whose purposes were for other than official travel. We further noted instances where travel expenditures claimed were not supported by proper documentation or adequate explanation. As a result, OIG questioned travel costs of about $16,000.

In addition, PSB does not obligate funds in advance for individual travel related to the performance of protective duties and other PSB official duties. Instead, PSB uses a blanket group travel authorization to cover its Dignitary Protection Division (DPD) and Investigations Division. However, the lack of one to one, travel authorization to travel voucher policy, allows for multiple vouchers to be applied against a single authorization, circumventing typical controls in the accounting system, which call for an individual obligation for each disbursement. To improve the internal efficiency and effectiveness of the travel program, OIG recommended that USCP finalize its [redacted] and disseminate to all employees, collect unallowable questioned costs, and consider the feasibility of using an automated and integrated travel system for processing travel authorizations and vouchers.

Audit of USCP Privacy Program (OIG-2009-03)



The loss of personally identifiable information (PII) can result in substantial harm, embarrassment, and inconvenience to individuals and may lead to identity theft or other fraudulent use of the information. As shown in prior audit reports, compromises to such information and long-standing weaknesses in federal information security raise important questions about what preventative steps federal agencies should take. As the federal government obtains and processes information about individuals in increasingly diverse ways, properly protecting this information and respecting the privacy rights of individuals will remain critically important. OIG was requested to determine whether (1) the Department had developed a privacy program that adheres to federal standards and best practices and (2) the program safeguards assisted the Department in protecting stakeholder information from potential disclosure, specifically those of Congressional members and their staff. Our scope included the Department's privacy program in effect as of October 1, 2008.

Overall, the Department does not have a privacy program to ensure privacy related risks have been identified and adequately addressed. While the Department does collect and handle PII of Congressional members and their staff, the Department has not identified where PII is collected, maintained, processed, or disseminated. The Department has neither clearly defined the roles and responsibilities of key privacy personnel nor provided applicable training to such personnel. The Department appointed a Chief Privacy Officer (CPO) in August 2007. The Department also established a Privacy Board consisting of the CPO and other key personnel. While the Privacy Board has taken some action to address privacy concerns, the majority of actions taken at the time of our audit were still in the draft or initial stages and, therefore, not functioning effectively.

To improve the internal efficiency and effectiveness of its PII program and to assist in safeguarding stakeholder information, OIG recommended that the Department finalize its policies and procedures, clearly define roles, responsibilities, and authorities of the CPO and other key privacy personnel, and provide applicable privacy training to all contract employees. Most importantly, OIG recommended that the Department immediately conduct a review to identify where PII holdings are being collected, maintained, processed, or disseminated within the organization. This review should result in an inventory of the types, location, format (hard copy vs. electronic), and the accountable official responsible for such information. By only collecting the necessary PII and managing it properly, the Department can reduce the volume of PII they possess, which in turn reduces the risk to the Department and the burden of safeguarding such information.

ON-GOING AUDITS

Fair Labor Standards Act (FLSA) Issues

OIG has received several complaints concerning compensation. Prior to OIG beginning work in this area, a legal opinion was required. Thus, in November 2008, OIG requested the Department's General Counsel provide a legal opinion on the following issues:

Issue One: The Department reduced a non-exempt[3] sworn employee's compensation based on its biweekly pay limitation for premium pay. Specifically, the officer's holiday and night differential pay was reduced. However, the officer's total annual compensation did not exceed the maximum annual payable rate or "salary cap" for FY 2007 of $159,828. Applicable statutes, regulations, and guidance do not appear to address this specific matter. Additionally, appropriations law prohibits accepting free or voluntary services of an employee (31 USC 1342). Since the employee was required to work through scheduling, rather than through any fault of their own, OIG asks should sworn non-exempt FLSA employees receive payment for Sunday premium, holiday, and night differential hours worked, which was over earned based on the Department's bi-weekly pay period limitation for premium pay as long as such payment did not exceed the maximum annual payable rate or "salary cap"?

Issue Two: What is the impact of other payments the Department makes throughout the year in establishing an employee's correct hourly base pay for computing their FLSA overtime entitlements? Specifically, should the Department use special payments such as specialty assignment and proficiency pay (*Hazardous Duty Pay, Physical Fitness Incentive Program, Plainclothes Pay, Firearms Proficiency Pay, and Field Officer Training Pay)* in the base for calculating an employee's overtime rate for either exempt or nonexempt employees? Additionally, are these types of payments subject to the bi-weekly pay limitation or the maximum annual payable rate?

The Department is currently reviewing these issues and expects to provide an opinion within the next 60 days.

Audit of USCP Off-Site Deployments

In January 2009, OIG initiated a performance audit of the Department's deployments outside its geographical jurisdiction. Our overall objective was to determine the Department's internal process for making decisions related to such off-site deployments. Our scope includes deployments that occurred during FY 2007 through December 31, 2008. Fieldwork continues on this audit. OIG expects to issue a report in July 2009.

[3] Non-exempt from provisions of the Fair Labor Standards Act.

Audit of USCP Purchase Card Program



In accordance with our FY 2009 annual plan, the OIG initiated a performance audit of the Department's purchase card program. The objectives are to determine whether (1) existing controls were designed to provide reasonable assurance that improper purchases would be prevented or detected in the normal course of business, (2) expenditures were made in compliance with laws and regulations, and (3) purchases were made for a reasonable cost and a valid government need. Our scope includes purchases made during FY 2008 through December 31, 2008. OIG expects to issue a report in July 2009.

USCP OIG Peer Review of Denali Commission

Generally accepted government auditing standards (GAGAS) requires audit organizations that perform audits or attestation engagements in accordance with GAGAS to have an appropriate quality control system and to undergo external peer reviews at least once every three years. The Council of the Inspectors General on Integrity and Efficiency (CIGIE) , Audit Committee, administers the external peer review program under GAGAS for Federal Offices of Inspector General. The program is designed to provide reasonable assurance that the OIG carries out its work in accordance with established policies and procedures, including GAGAS, applicable Office of Management and Budget, and GAO guidance, and statutory provisions applicable to the OIG.

The CIGIE Audit Committee assigned USCP OIG to conduct a peer review of the Denali Commission. In March 2009, the USCP IG met with the Denali Commission IG to gain an understanding of Denali OIG audit operations and its internal quality control system. Additionally, the USCP IG provided a draft memorandum of understanding (MOU) addressing the review scope and time frames for the external review.

INVESTIGATIONS

Allegations of Abuse of Authority and Retaliation (2008-I-0023)

OIG conducted an investigation into a complaint from a sworn official (supervisor) that senior sworn officials intentionally interfered with the supervisor's investigation of a subordinate's performance of duties. The supervisor also alleged the same senior officials retaliated by transferring the supervisor from one duty section to another.

Our investigation did not yield any evidence or information substantiating that any Department official improperly interfered with the referenced investigation, nor did OIG find that senior sworn officials reassigned the supervisor in retaliation for conducting an investigation of a subordinate. As a result of our report, the Department took corrective action for the subordinate's inadequate performance, which could impact Department security.

[redacted]

False Statement or Misleading Information (2008-I-0025)

The Chief Administrative Officer (CAO) referred a matter to the OIG alleging that a former director made false statements or provided misleading information to GAO, which resulted in GAO closing an open recommendation. OIG reviewed pertinent information and determined that the Office of Administration (OA) would more appropriately address this matter because the individual had transferred to another agency. Thus, Department administrative remedies no longer applied.

At issue was the former employee's representation that a particular policy was finalized when, in fact, it was not. According to the CAO, the department has since issued the policy in question and, therefore, there was no material impact to the closing of the recommendation.

Violation(s) of USCP *Rules of Conduct* (2008-I-0026)

At the request of the Chief, OIG initiated an inquiry into a Department employee's allegations that the employee's supervisor violated Section 1.4.5 of the USCP [redacted], as well as engaging in unethical conduct. The Office of Professional Responsibility (OPR) investigated the discrimination and harassment issues and determined them to be not sustained.

OIG completed an inquiry into the supervisor's conduct and determined that an investigation was not warranted. Our inquiry did not yield any evidence or information substantiating the allegation of unethical behavior or conduct unbecoming on the part of the supervisor.

Allegations of Abuse of Authority and Retaliation (2009-I-0002)

OIG received a complaint from a sworn official (supervisor) that senior management officials intentionally retaliated against the supervisor by denying a transfer which violated [redacted] nd the Legislative Branch Appropriations Act, 2006, Pub. Law 109-55, 119 Stat. 572, (2 USC § 1909(c)(3)(C)).

The supervisor also alleged that during a supervisors' meeting, a senior official used an analogy that some types of lies were permissible and that officers should not be disciplined for their first offense of cell phone usage. Further, the supervisor contended that the remarks were further acts of intimation and retaliation towards the supervisor.

Our investigation did not yield any evidence or information substantiating that those senior sworn officials retaliated against the supervisor in denying a transfer request. In addition, we did not find any evidence or information that senior officials used a supervisors' meeting to intimidate and retaliate against the supervisor for filing a complaint with OIG.

56th Presidential Inauguration Complaints (2009-I-0006)

OIG received over 50 complaints from inauguration ticket holders. Specifically, according to purple ticket holders, they were directed into the 3rd Street tunnel and were unable to take their seats for the 56th Presidential Inauguration ceremony. In consultation with the Police Board, OIG reviewed each complaint to determine the appropriate action, which resulted in referring complaints to another entity for action. OIG also referred these complaints to the Joint Congressional Committee on Inaugural Ceremonies.



Misuse of Government Vehicle (2009-I-0007)



At the request of the Chief, OIG conducted a joint investigation with the OPR into the alleged misuse of a government vehicle. Our joint investigation concluded that the employee misused a government vehicle. Administrative action is pending.

APPENDIX 1 – REPORTS ISSUED

OIG-2009-01	**Audit of the United States Capitol Police's Fiscal Year 2008 Financial Statements**
OIG-2009-02	**Controls Over Travel Vouchers**
OIG-2009-03	**Audit of USCP Privacy Program**
2008-I-0023	**Allegations of Abuse of Authority and Retaliation**
2008-I-0025	**False Statements or Misleading Information**
2008-I-0026	**Violation of USCP *Rules of Conduct***
2009-I-0002	**Allegations of Abuse of Authority and Retaliation**

APPENDIX 2 – RESOLUTION OF REPORT RECOMMENDATIONS

As of March 31, 2009, OIG has made 118 recommendations to the Department. The Department has closed 69 recommendations and 49 recommendations remained open, which require corrective action(s) for completion. Listed below are recommendations over six months old.

Appendix 2 – Resolution of Report Recommendations			
Report Number	**Report Title**	**Recommendation Number**	**Recommendation**
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	1.2	**Payroll Processing** - We recommend that the CAO develop and implement policies and procedures requiring all employees to positively attest to the accuracy of pay period information transmitted to NFC.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	1.3	**Payroll Processing** - We recommend that the CAO enforce existing policies and procedures to require supervisors to approve the accuracy of pay period information before it is transmitted to NFC.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	1.4	**Payroll Processing** -We recommend that the CAO continue monitoring implementation of policies and procedures to permit USCP to efficiently and effectively track and certify all hours incurred by all employees.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	1.8	**Payroll Processing** - We recommend that the CAO develop detailed procedures to guide employees and supervisors responsible for the maintenance of separated employee documentation.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	1.9	**Payroll Processing** - We recommend that the CAO develop detailed procedures to guide employees and supervisors responsible with procedures to document and/or obtain collaborating evidence to support employee assertions.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	1.10	**Payroll Processing** - We recommend that the CAO develop procedures to guide supervisors responsible for reviewing and approving certification reports in identifying circumstances in which civilian personnel would be entitled to night differential pay. As an alternative, [redacted] could be programmed to incorporate the rule.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	2.1	**Financial Management** - We recommend that the CAO continue to develop policies and procedures covering all matters impacting USCP's financial performance, take steps to ensure that they are implemented consistently through the Department, and provide training for all employees.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	2.3	**Financial Management** - We recommend that the CAO develop and implement policies and procedures to facilitate the flow of information room the General Counsel to OFM.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	3.1	**Information Systems** - We recommend that USCP officially appoint a CPO and develop policies and procedures to ensure all personally identifiable information is identified and safeguarded.
2008-03 2009-01	*FY 2007 FS* *FY 2007 FS*	3.2	**Information Systems –** We recommend that management ensure that a standard security benchmark for all systems is developed and implemented. Organizations such as the Center for Internet Security provide guidance on security benchmarks for Federal government systems.

Appendix 2 – Resolution of Report Recommendations			
Report Number	**Report Title**	**Recommendation Number**	**Recommendation**
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	3.3	**Information Systems** - We recommend that management ensure that all system users (including contractors) receive security awareness training on an annual basis, and that management develops procedures to ensure all users agree to abide by the Rules of Behavior for using USCP systems.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	3.4	**Information Systems** - We recommend that management develop new procedures to ensure that all users of major financial applications review and acknowledge system specific Rules of Behavior prior to gaining system access.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	3.5	**Information Systems** - We recommend that management conduct risk assessments in accordance with guidelines and recommendations for protecting Federal information systems. This risk assessment process and the documented results should be integrated into a comprehensive process for Certifying and Accrediting major systems.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	3.6	**Information Systems** - We recommend that management create system security plans in accordance with guidelines and recommendations for protecting Federal information systems. system security plans should document all controls protecting the system and the final document should be approved by management before it is integrated into a comprehensive process for Certifying and Accrediting major systems.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	3.7	**Information Systems** - We recommend that management ensures that there is an independent assessment of security controls conducted as part of a comprehensive C&A process.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	3.8	**Information Systems** - We recommend that management develops a process to track and manage all know own system weaknesses. This process should include a centralized method of documenting and managing known issues, their associated corrective action plans, and the status of change implementations.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	3.9	**Information Systems** - We recommend that management obtain and review a SAS No. 70 report or equivalent for the [redacted] system as part of their continuous monitoring process.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	3.11	**Information Systems** - We recommend that management establish and implement policies and procedures that ensure inactive network accounts are periodically reviewed and addressed in a timely manner.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	3.12	**Information Systems** - We recommend that management ensure that key infrastructure components of the general support system are continuously monitored for security violations and malicious activities, and reported to management in a timely manner.
2008-03 2009-01	*FY 2007 FS* *FY 2008 FS*	3.13	**Information Systems** - We recommend that management revise and update the OFM COOP in accordance with best practices for Federal organizations, as well as ensure that all key areas of the COOP are adequately tested and documented. We further recommend that the recovery timeframes are appropriately established as part of COOP revision process.
[redacted]	[redacted]	[redacted]	[redacted]
2008-05	Audit of USCP Workforce Diversity	1	**Diversity** - We recommend that the United States Capitol Police finalize its draft Human Capital Strategic Workforce Plan identifying the critical senior level and supervisory/management positions and the needed skills and abilities required for its future diverse workforce. Based on this, the Department should specify effective diversification strategies and focus training, career development, and mentoring programs to help minorities and women advance to these positions.

Appendix 2 – Resolution of Report Recommendations			
Report Number	**Report Title**	**Recommendation Number**	**Recommendation**
2008-05	Audit of USCP Workforce Diversity	2	**Diversity** - We recommend the United States Capitol Police immediately assign an individual to the Ombudsman Program or rescind General Order [redacted] Additionally, USCP should finalize and publish its "[redacted]" Directive minimizing any redundancy with the Office of Compliance.
2008-05	Audit of USCP Workforce Diversity	3	**Diversity** - We recommend that the United States Capitol Police determine whether outsourcing the investigation of equal employment opportunity complaints to trained investigators would be more efficient and effective. Further, we recommend USCP choose the most efficient and effective manner to investigate EEO complaints, within budgetary constraints.
2008-05	Audit of USCP Workforce Diversity	4	**Diversity** - We recommend that the United States Capitol Police Chief Administrative Officer approve a business plan for the Office of Employment Counsel to include a mission statement and policies and procedures linked to USCP strategic goals and objectives. In addition, USCP should determine whether the duties of legal sufficiency reviews and agency/Board representation in equal employment opportunity complaints are incompatible and impairs independence, either in fact or appearance, with respect to EEO complainants. If so, consider having legal sufficiency reviews conducted by an element outside of Office of Employment Counsel. Furthermore, USCP should assess whether a new directive or general order is needed changing the disciplinary processes.
2008-05	Audit of USCP Workforce Diversity	1	**Diversity** - We recommend that the United States Capitol Police finalize its draft Human Capital Strategic Workforce Plan identifying the critical senior level and supervisory/management positions and the needed skills and abilities required for its future diverse workforce. Based on this, the Department should specify effective diversification strategies and focus training, career development, and mentoring programs to help minorities and women advance to these positions.
2008-06	Review of Specialty Assignment and Proficiency Pay Programs	1	**Specialty Pay** – We recommend that the United States Capitol Police develop and implement a sound, effective method of accounting for each specialty assignment and proficiency pay program in the National Finance Center and the [redacted] accounting systems. During the interim, the Office of Human Resources should establish written procedures for processing and reconciling its cuff records with actual disbursements.
2008-06	Review of Specialty Assignment and Proficiency Pay Programs	2	**Specialty Pay** – We recommend that the United States Capitol Police take action(s) to collect questioned costs totaling $196,420 and provide supporting documentation for $30,600.
2008-06	Review of Specialty Assignment and Proficiency Pay Programs	3	**Specialty Pay** – We recommend that the United States Capitol Police consider whether all the specialty assignment and proficiency pay programs are needed and, if so, determine the most efficient and effective method of implementation and allocate the necessary resources to effectively administrate the program(s).
2008-06	Review of Specialty Assignment and Proficiency Pay Programs	4	**Specialty Pay** – We recommend that the United States Capitol Police, in the interim, clarify [redacted] Directives regarding a. Exclusion(s) or payment(s) from multiple programs when using the same defining criteria; b. the aggregate of 50 percent of the previous six-month period for pay purposes for hazardous duty and plainclothes; c. the 45-calendar day requirement for specialty assignment pay.
2008-06	Review of Specialty Assignment and Proficiency Pay Programs	5	**Specialty Pay** – We recommend that the United States Capitol Police finalize its draft firearms and field officer training directives and enforce the consistent use of a standard [redacted] Form.

Appendix 2 – Resolution of Report Recommendations			
Report Number	**Report Title**	**Recommendation Number**	**Recommendation**
2008-06	Review of Specialty Assignment and Proficiency Pay Programs	6	**Specialty Pay** - We recommend that the United States Capitol Police strengthen tracking and reconciliation procedures to ensure employees do not improperly receive payments within the same fiscal year or when ineligible for such pay.
2008-06	Review of Specialty Assignment and Proficiency Pay Programs	8	**Specialty Pay** – We recommend that the United States Capitol Police take action(s) to clarify its Maximum Annual Payable Rate in light of Public Law 108-7. In addition, we recommend that the Chief of Police request the Office of the General Counsel provide a legal opinion regarding: (1) USCP authority to defer payments to the next calendar year when an employee may exceed the annual salary limitation; and, (2) appropriate options for collecting amounts from employees who received amounts in excess of the annual salary limitation.
2008-06	Review of Specialty Assignment and Proficiency Pay Programs	9	**Specialty Pay** – We recommend that the United States Capitol Police consider whether these specialty assignment and proficiency pay programs are needed to compete with other police forces and, if so, then the Department should link its goals and measures of these programs with retention and recruitment of Department personnel.
2008-08	Review of Compliance with USCP Hiring Standards and with Directive [redacted]	1	**Triple I** - We recommend that USCP, in coordination with the Capitol Police 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 Department.

Table 1

Reports Issued with Questioned Costs[4]
October, 2008, to March 31, 2009

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	2	$2,516	$1,336
Which were issued during the reporting period	1	$13	$5
Subtotals	3	$2,529	$1,341
For which a management decision was made during the reporting period			
• dollar value of disallowed costs	1	$8	$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	$2,521	$1,341
Reports for which no management decision was made within 6 months of issuance	2	$2,516	$1,336

[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]
October 1, 2009, to March 31, 2009

Category	Number of Reports	Dollar Value (in thousands)
For which no management decision has been made by the commencement of the reporting period	1	$279
Which were issued during the reporting period	1	$3
Subtotals	2	$282
For which management decision was made during the reporting period	0	0
• dollar value of recommendations that were agreed to by management o based on proposed management action o 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	$282
Reports for which no management decision was made with 6 months of issuance	1	$279

[5] A recommendation that funds be put to better use is a recommendation by the 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
October 1, 2008 to March 31, 2009

Recoveries	$9,284
Fines and Restitutions	$0
Investigative Cases Opened	11
Investigative Cases Closed	11
Internal Control Reviews Initiated	0
Arrests	0
Indictments	0
Convictions	0
Personnel Actions	4
Complaints Received	85
Hotline Complaints Received	70
Complaints Referred (to Department or other agencies)	74

IG Act	REPORTING REQUIREMENTS	PAGE

Reporting requirements required by the Inspector General Act of 1978, as amended are listed below.

Section 4(a)(2)	**Review of Legislation**	**5**
Section 5(a)(1)	**Significant Problems, Abuses, and Deficiencies**	**6-13**
Section 5(a)(2)	**Recommendations with Respect to Significant Problems, Abuses, and Deficiencies**	**6-13**
Section 5(a)(3)	**Recommendations Included in Previous Reports on Which Corrective Action Has Not Been Completed**	**15-18**
Section 5(a)(4)	**Matters Referred to Prosecuting Authorities**	**None**
Section 5(a)(5)	**Summary of Instances Where Information Was Refused**	**None**
Section 5 (a)(6)	**Reports Issued During the Reporting Period**	**14**
Section 5(a)(7)	**Summary of Significant Reports**	**6-13**
Section 5(a)(8)	**Questioned and Unsupported Costs (Table 1)**	**19**
Section 5(a)(9)	**Recommendations that Funds be put to Better Use (Table 2)**	**20**
Section 5(a)(10)	**Summary of Reports Issued before the start of the Reporting Period for which no Management Decision has been made**	**N/A**
Section 5(a)(11)	**Significant Revised Management Decisions**	**N/A**
Section 5(a)(12)	**Management Decisions with which the Inspector General is in Disagreement**	**None**

CONTACTING THE OFFICE OF INSPECTOR GENERAL

The success of OIG's 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 202-593-4201 or toll-free at 1-866-906-2446. A confidential or anonymous message can be left 24 hours a day/7days 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
499 South Capitol Street, SW, Suite 345
Washington, D.C. 20003

OIG staff members open mail addressed to the above address.

You can also contact us by email at: OIG@cap-police.senate.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 the OIG at (202) 593-4201.