



**UNITED STATES CAPITOL POLICE
OFFICE OF INSPECTOR GENERAL
SEMIANNUAL REPORT
TO CONGRESS**

October 1, 2012 — March 31, 2013



United States Capitol Police



History

Created by Congress in 1828 following the assault on a son of John Quincy Adams in the Capitol Rotunda, the original duty of the United States Capitol Police (USCP) was to provide security for the United States Capitol Building. Its mission has expanded to provide the Congressional community and its visitors with a variety of police services. These services are provided through a variety of specialty support units, network of foot and vehicular patrols, fixed posts, full-time Containment and Emergency Response Team, K-9 Unit, Patrol/Mobile Response Division, and full-time Hazardous Devices and Hazardous Materials Sections. The agency had 2,104 sworn and civilian employees as of March 23, 2013.

Mission

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

Office of Inspector General



History

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

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

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 the programs and operations, recommending ways to carry out departmental responsibilities in the most effective, efficient, and economical manner possible. OIG also audits, investigates, and oversees matters related to the Department's programs and operations, consistent with applicable laws, regulations, and policies.



Message from the Acting Inspector General

I am pleased to present this Semiannual Report to Congress as Acting Inspector General of the United States Capitol Police (USCP or Department). This report describes the work of the USCP Office of Inspector General (OIG) for the period from October 1, 2012, through March 31, 2013. I am concurrently serving as the Assistant Inspector General for Audits of USCP OIG. On February 10, 2013, the Capitol Police Board (Board) designated me Acting Inspector General of USCP until such time as the Board hires a permanent Inspector General.

The audits and investigations described in this report illustrate the commitment of the USCP OIG to promoting the efficiency and effectiveness of USCP, as well as the impact OIG has had on USCP programs and operations.

During this period, Audits issued four reports: *Audit of USCP Fiscal Year (FY) 2012 Financial Statements* (OIG-2013-01), *Management Letter Related to the Audit of the USCP FY 2012 Financial Statements* (OIG-2013-02), *Performance Audit of USCP Building Access Card Process* (OIG-2013-03), and [REDACTED]

Investigations continued to receive and evaluate numerous Hotline complaints and conduct outreach with USCP personnel including recruit officer classes. OIG received 16 complaints, initiated 2 investigations, and closed 4 cases.

During this reporting period, I was encouraged by the Department's significant progress of closing open recommendations older than 6 months. As of March 31, 2013, USCP had fully implemented 13 recommendations older than 6 months, which OIG closed.

I want to express my appreciation for the dedication and achievements of OIG staff. Additionally, I commend USCP, the Board, and members of the oversight community for their professionalism and devotion to the USCP mission. We thank the officers whose service and sacrifice inspire our goal to achieve excellence through unity.

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

TABLE OF CONTENTS

Executive Summary	2
Legislation Monitored	3
Agent of Positive Change	4
Proactive Efforts	5
Audits	6
Investigations	10
Appendix 1 – Reports Issued	13
Appendix 2 – Resolution of Report Recommendations	14
Appendix 3 – Peer Review Reporting	18
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
Working Relationship Principles for Agencies and Offices of Inspectors General	23



EXECUTIVE SUMMARY

This Semiannual Report is issued pursuant to the provisions of Section 5 of the Inspector General (IG) Act of 1978, as amended, and summarizes the activities of the United States Capitol Police (USCP or Department) Office of Inspector General (OIG) for the period October 1, 2012, through March 31, 2013. During this reporting period, OIG continued to direct its available resources toward those areas of greatest risk for the Department. We completed work to promote the economy, efficiency, effectiveness, and integrity of the Department's programs and operations. The work of each of the OIG components is summarized below.

OIG Audits completed four projects during this reporting period: *Audit of the USCP's Fiscal Year (FY) 2012 Financial Statements* (Report Number OIG-2013-01); *Management Letter Related to the Audit of USCP's FY 2012 Financial Statements* (Report Number OIG-2013-02); *Performance Audit of USCP Building Access Card Process* (Report Number OIG-2013-03); and [REDACTED]

[REDACTED]. At the end of the reporting period, Audits had one on-going performance audit of USCP Canine (K-9), (Report Number OIG-2013-04).

OIG Investigations received and evaluated 16 complaints during this reporting period, all of which were Hotline complaints. In addition, OIG initiated two investigations and closed four cases. Investigative projects issued during this reporting period are identified in Appendix 1.

During this reporting period, OIG continued work with stakeholders to maintain and foster an open and effective relationship. As an example of our continuous work with stakeholders, OIG sustained its active engagement with the Chief of Police (Chief), Capitol Police Board (Board), and Congress through meetings, briefings, and dialogue with members and staff of the Department's authorizing and appropriation committees and subcommittees on a range of issues relating to the work of the OIG and USCP. OIG met with the Department's new Chief, sworn in on December 17, 2012, and also provided an overview of the OIG mission. OIG continued its outreach activities providing briefings to recruit officer classes preparing for departure to the Federal Law Enforcement Training Center in Glynco, Georgia.

OIG also continues to be a contributing participant in the activities of the Council of Inspectors General on Integrity and Efficiency (CIGIE), which was statutorily established to enhance efforts to promote integrity and efficiency and to detect and prevent fraud, waste, and abuse in Federal programs.

The OIG continued to routinely participate in legislative branch OIG activities such as regular meetings with other Inspectors General.



LEGISLATION MONITORED

Legislation Monitored

OIG reviewed and monitored the following legislation:

H.R. 209 – *The Reducing Information Control Designations Act*

H.R. 2146 – *The Digital Accountability and Transparency Act of 2011*

H.R. 313 – *Government Spending Accountability Act of 2013*

S. 241 – *The Non-Federal Employee Whistleblower Protection Act of 2012*

S. 801 – *The Information Technology Investment Management Act of 2011*

S. 1212 – *The Geolocational Privacy and Surveillance Act*

S. 1246 – *A bill to reduce the number of non-essential new vehicles the Federal Government purchases and leases*





AGENT OF POSITIVE CHANGE

Resolution of Open Recommendations

Since its inception in July 2006, OIG has made numerous recommendations for improving financial management and internal controls. During this reporting period, the Department made significant progress in implementing recommendations. As a result, OIG closed 13 open recommendations that were older than six months. OIG closed three recommendations from *Audit of the United States Capitol Police's FY 2012 Financial Statements* (Report Number OIG-2013-01), four recommendations from *Audit of USCP Purchase Card Program* (Report Number OIG-2009-05), one recommendation from the *Controls Over Travel Vouchers* (Report Number OIG-2009-02), and five from the *Review of Specialty Assignment and Proficiency Pay Programs* (Report Number OIG-2008-06). The Department continues work in closing other recommendations, and OIG is hopeful that additional recommendations will be closed soon.

New Procedures for Requesting Leave Under the Family Medical Leave Act

In October 2012, OIG received a letter through the Office of the Chief from the Labor Committee of USCP alleging the loss, delay, or possible discarding of Family Medical Leave Act (FMLA) documentation submitted by officers.

OIG, through routine meetings and without yielding independence, assisted the then Chief in bringing about positive change with regard to the processing FMLA requests. To facilitate FMLA services to employees, the Department issued USCP Bulletin

[REDACTED]. The new procedure was designed to make the FMLA request-and-approval process more convenient for employees and more efficient for supervisors.





PROACTIVE EFFORTS

OIG Annual Performance Plan

To ensure our stakeholders had sufficient opportunity to participate in the development of our *Annual Performance Plan for 2013*, we sought input from the Department, the Board, and our congressional oversight committees. We met with Department and Board officials as well as congressional members and staff to discuss potential projects for our FY 2013 plan. Our *Annual Performance Plan* is OIG's "roadmap" for audits, inspections, and proactive investigations, which it plans to conduct each fiscal year to evaluate the Department's programs and operations.

Major Management Challenges

In FY 2013, OIG identified protection and security; information, human capital, financial, and acquisition management, and resolution of audit recommendations as major management challenges for the Department.

Outreach Activities

OIG continued its outreach efforts to the new recruit officer classes during this reporting period. Briefings covered topics such as OIG's consultative role within the Department, the responsibilities of each employee with regard to reporting fraud, waste and abuse, and the concept of independence designed for OIG to best serve Congress, the Board, the Chief, and other critical stakeholders.



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

Coordinating with the Government Accountability Office

OIG coordinated with the Government Accountability Office (GAO) regarding the start-up and annual costs of the Department's Person Borne Improvised Explosive Detection (PBIED) canine teams. At the request of the Chairman of the National Security Subcommittee of the House Oversight and Government Reform Committee, GAO reviewed the National Canine Program at the Transportation Security Administration's (TSA). The Chairman requested that GAO conduct follow-up work comparing the costs of TSA's passenger screening canine teams against costs of other PBIED canine teams, and the Chairman specifically mentioned USCP. OIG compiled PBIED costs and made available supporting documentation to GAO, thereby reducing any duplication of effort and any additional burden on the Department.



AUDITS

Audit of USCP's FY 2012 Financial Statements (OIG-2013-01)

OIG contracted with CliftonLarsonAllen LLP (CLA), an independent certified public accounting firm, to audit the Department's financial statements for the fiscal year ended September 30, 2012 (FY 2012). The primary objective of the audit was to express an opinion on whether the financial statements were presented fairly, in all material respects, and in conformity with accounting principles generally accepted in the United States of America. In conducting the audit, the independent auditor would also express an opinion on the effectiveness of the USCP's internal control over financial reporting based on the *Standards for Internal Control in the Federal Government* issued by the Comptroller General for the United States and conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants and *Government Auditing Standards* issued by the Comptroller General of the United States. CLA also evaluated and reported on compliance with laws and regulations related to the financial statements.

In the *Independent Auditor's Report*, CLA rendered an unqualified opinion that the Department's financial statements present fairly, in all material respects, the financial position of the Department as of September 30, 2012 and 2011, and its net costs, changes in net position, and budgetary resources for the years then ended in conformity with accounting principles generally accepted in the United States.

In the *Independent Auditor's Report on Internal Control over Financial Reporting*, CLA rendered an adverse opinion with two material weaknesses concerning payroll processing and control over accounting for construction-in-progress, and two significant deficiencies regarding controls over fixed assets and accounts payable accrual methodology.

In the *Independent Auditor's Report on Compliance with Laws, Regulations, and Other Matters*, CLA identified no instances of noncompliance with selected provisions of laws and regulations tested.

As a result of audit procedures, CLA identified two material misstatements that it brought to the attention of management. Management adjusted the financial statements for the misstatements and agreed to take action to implement all recommendations.

The Department agreed to implement all recommendations.



Management Letter Related to the Audit of USCP's FY 2012 Financial Statements (OIG-2013-02)

In its management letter, CLA—the independent auditor contracted to conduct the FY 2012 financial statement audit—discussed a number of internal control deficiencies it identified during the audit of the FY 2012 financial statements. Those control deficiencies, if addressed, should enhance the efficiency and effectiveness of internal controls.

In the view of CLA, the deficiencies, although of concern, did not rise to the level necessary to be included in the report on the financial statement audit. In its response, the Department stated that it concurred with the findings and recommendations. The financial statement auditors will evaluate compliance during future audits of USCP's financial statements.

The Department agreed to implement all recommendations.

Performance Audit of USCP Building Access Card Process (OIG-2013-03)

At the request of the Chief Administrative Officer (CAO), OIG conducted a performance audit to determine whether the Department had (1) established adequate internal controls and processes over the Department's badging and fingerprinting process to ensure that the risk of unauthorized personnel on the U.S. Capitol Complex was reduced to an acceptable level, and (2) complied with applicable laws, regulations, and guidance pertaining to management and operation of the Building Access Card (BAC) process. Our scope included controls, processes, and operations in place at the Department as of August 1, 2012.

Overall, we determined that internal controls and procedures over USCP's badging and fingerprinting process were adequate to ensure that individuals with an adverse criminal history did not obtain BACs. However, we did identify areas that should be improved such as ensuring that all forms the Badge and Fingerprint Office use are current, complete, and accurate. Although the Department is not subject to the *Illegal Immigration Reform and Immigrant Responsibility Act of 1996*, we recommended that the CAO continue the current initiatives to develop and implement policies and procedures for incorporating the use of E-Verify and monitor contractor performance.

We also recommended that the Department carefully consider the implications of requesting additional information from authorized requester, which would result in duplication of effort.

The Department concurred and agreed to implement all seven recommendations.



[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]





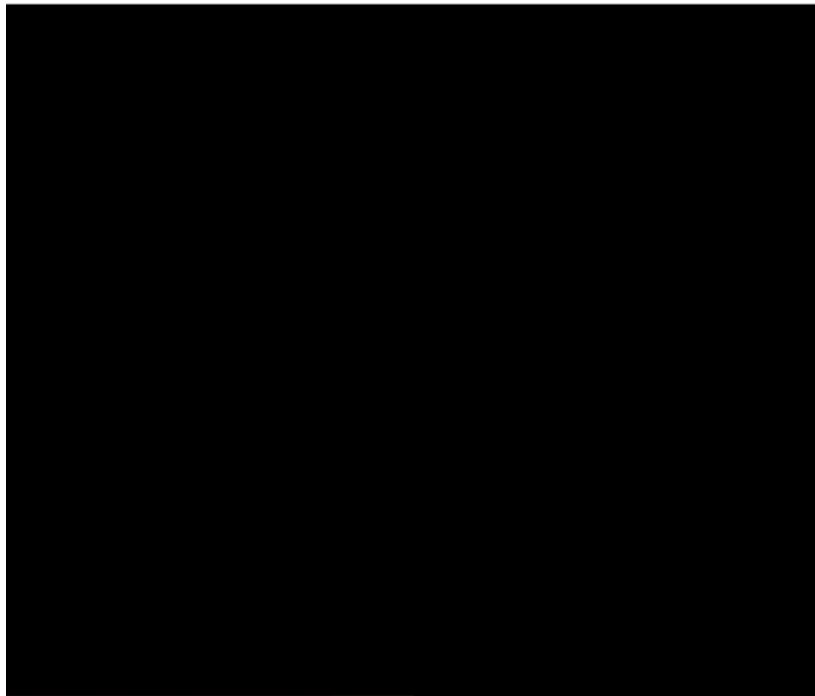
ON-GOING AUDITS

Performance Audit of USCP Canine (K-9) Program (OIG-2013-04)

USCP Canine (K-9) Explosive Detection and Conventional and Person Borne Improvised Explosive Detection teams contribute to the Department's strategic goal of preventing, detecting, and deterring criminal and terrorist activity from reaching their intended target with improvised explosive devices.

As a result of an anonymous allegation, OIG conducted a performance audit of the Department's K-9 Program. The objectives of the performance audit were to determine if USCP's K-9 Unit (1) established adequate internal controls and processes for ensuring the integrity of the K-9 Program, and (2) complied with applicable laws, regulations, and guidance pertaining to management and operation of the K-9 Program. Our scope included controls, processes, and operations during FYs 2010, 2011, and 2012.

OIG expects to issue its final report in April 2013.





INVESTIGATIONS

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]



[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]



[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]



APPENDIX 1 – REPORTS ISSUED

OIG-2013-01

**Audit of the United States Capitol Police's
Fiscal Year 2012 Financial Statements**

OIG-2013-02

**Management Letter Related to the Audit of the
USCP's Fiscal Year 2012 Financial Statements**

OIG-2013-03

**Performance Audit of the United States Capitol
Police Building Access Card Process**

[REDACTED]

[REDACTED]
[REDACTED]

[REDACTED]

[REDACTED]
[REDACTED]

[REDACTED]

[REDACTED]
[REDACTED]

[REDACTED]

[REDACTED]
[REDACTED]

[REDACTED]

[REDACTED]
[REDACTED]



APPENDIX 2 – RESOLUTION OF REPORT RECOMMENDATIONS

Timely resolution of outstanding recommendations continues to be a priority of both OIG and the Department. As of March 31, 2013, OIG has made a total of 207 recommendations to the Department. Of those 207 recommendations, the Department closed 165, with 42 still open and requiring additional corrective action before closing. The following table lists recommendations older than 6 months.

Appendix 2 – Resolution of Report Recommendations			
Report Number	Report Title	Recommendation Number	Recommendation
2009-01 2011-01 2012-02 2013-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS	Repeat Finding 1.2 1.1 1.1 1.1	Payroll Processing – We recommended that USCP consistently implement T&A [time and attendance] certification policies and procedures and that timekeepers review all certification reports to ensure that employees and supervisors sign and date reports. (1) USCP management needs to enforce the revised policies and procedures in Special Directive [REDACTED]; (2) because the condition has been in existence for many years, we also recommended that the supervisor/timekeeper procedures for monitoring of T&A include identifying habitual failures in submitting certification reports so that corrective actions can be targeted to those employees, and (3) we recommended that USCP evaluate the feasibility of using [REDACTED], a T&A system, to automate the T&A certification process.
2009-01 2011-01 2012-02 2013-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS	Repeat Finding 1.3 1.2 1.2 1.2	Payroll Processing – We recommended that USCP consistently implement T&A certification policies and procedures and that timekeepers review all certification reports to ensure that employees and supervisors sign and date reports. (1) USCP management needs to enforce the revised policies and procedures in Special Directive [REDACTED]; (2) because the condition has been in existence for many years, we also recommended that the supervisor/timekeeper procedures for monitoring of T&A include identifying habitual failures in submitting certification reports so that corrective actions can be targeted to those employees, and (3) we recommended that USCP evaluate the feasibility of using [REDACTED] a T&A system, to automate the T&A certification process.
2009-01 2011-01 2012-02 2013-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS	Repeat Finding 1.6 1.4 1.3 1.3	Payroll Processing – As in the prior year's recommendation, USCP should perform monthly reconciliation between the National Finance Center (NFC) and [REDACTED] to ensure leave balance information is correctly reported in both systems. We also recommended that OHR implement corrective actions in a timely manner.
2009-01 2011-01 2012-02 2013-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS	Repeat Finding 1.9 1.6 1.4 1.4	Payroll Processing – We recommended that USCP ensure that its employees comply with USCP Special Directive No. [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.
2011-01 2012-02 2013-01	FY 2010/2009 FS FY 2011 FS FY 2012 FS	Repeat Finding 10 1.5 1.5	Payroll Processing – As in the prior year's recommendation, we recommended that USCP monitor timekeeper distribution and collection of certification reports to complete T&A review procedures at the end of each pay period. We also recommended that USCP emphasize deadlines or include a deadline for T&A staff to complete the T&A confirmation of certification report.



United States Capitol Police Office of Inspector General

Appendix 2 – Resolution of Report Recommendations			
Report Number	Report Title	Recommendation Number	Recommendation
2011-01 2012-02 2013-01	FY 2010/2009 FS FY 2011 FS FY 2012 FS	Repeat Finding 12 1.6 1.6	Payroll Processing – We recommended that USCP document the audits or tests performed and the supervisory review of the test results to include the name of the same person tested (if less than 100 percent) in test workpapers. We also recommended that USCP develop a test worksheet that will include the test attributes (criteria), result, and corrective actions, if applicable.
2009-01 2011-01 2012-02 2013-01	FY 2008 FS FY 2010/2009 FS FY 2011 FS FY 2012 FS	Repeat Finding 2.2H 22 2.1 2.1	Financial Management – We recommended that USCP develop a formal monthly reporting process from the program offices overseeing construction-in-progress to the Office of Financial Management (OFM) and provide signed confirmation that the financial reports from the partner agencies have been reviewed and accepted.
2011-01 2012-02 2013-01	FY 2010/2009 FS FY 2011 FS FY 2012 FS	Repeat Finding 38 3.1	Financial Management – We recommended that USCP develop and implement a methodology that would ensure that user activity is routinely reviewed through logs generated by the application.
2011-01 2012-02 2013-01	FY 2010/2009 FS FY 2011 FS FY 2012 FS	Repeat Finding 40 3.3 3.3	Financial Management – We recommended that USCP implement account management controls within to remove access of terminated individuals in a timely manner. We also recommended that USCP update the mechanism to request and approve access to to provide requestors with the ability to select specific access roles that agree to roles assigned within .
2012-02 2013-01	FY 2011 FS FY 2012 FS	Repeat Finding 4.1 4.1	Financial Management – We recommended OFM review CAO/ORM the nature of the accrued liabilities to determine proper classification as to an asset or an expense. Also, that OFM perform periodic comparison of actual to estimated accrued liability to ensure its accrual methodology procedures results in a reasonable estimate of goods and services received but not paid.
2008-06	Review of Specialty Assignment and Proficiency Pay Programs	2	Specialty Pay – We recommended that USCP take action to collect remaining questioned costs totaling \$13,000.
2008-06	Review of Specialty Assignment and Proficiency Pay Programs	5	Specialty Pay – We recommended that USCP finalize its draft firearms and field officer training directives and enforce the consistent use of a standard Form.
2008-06	Review of Specialty Assignment and Proficiency Pay Programs	8	Specialty Pay – We recommended that USCP take action to clarify its Maximum Annual Payable Rate in light of Public Law 108-7. In addition, we recommended that the Chief 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.
2008-08	Review of Compliance with USCP Hiring Standards and with Directive	1	Triple III - We recommended 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 USCP workforce.



United States Capitol Police Office of Inspector General

Appendix 2 – Resolution of Report Recommendations			
Report Number	Report Title	Recommendation Number	Recommendation
2009-02	Controls Over Travel Vouchers	3	Travel Vouchers – We recommended that USCP strengthen its controls surrounding voucher payment process. Specifically, we recommended that USCP require cardholders to mark duplicate travel vouchers clearly as "COPY" when resubmitting to OFM. Additionally, OFM should develop and implement a mandatory specialized training course for the approving, authorizing, and certifying officials reiterating their roles and responsibilities. Refresher courses should be provided on a periodic basis. Until a training course is developed and implemented, USCP should require that applicable officials review the Federal Travel Regulations and USCP policies and procedures related to reviewing travel vouchers and approving travel expenditures.
2009-06	Audit of USCP Off-site Deployments	1	Off-site Deployments – We recommended that USCP in coordination with the Board and Committees of jurisdiction, establish a policy clearly defining terms such as deployment, "direct nexus" to the mission, and the three exceptions under 2 U.S.C. § 1978 and establish a complete listing of off-campus activities that do not require formal notification.
2009-06	Audit of USCP Off-site Deployments	2	Off-site Deployments – We recommended that USCP immediately document its decision-making process as it relates to off-campus activities.
2009-06	Audit of USCP Off-site Deployments	3	Off-site Deployments – We recommended that USCP implement procedures to capture and document estimated and actual costs in all off-campus activities.
2009-06	Audit of USCP Off-site Deployments	4	Off-site Deployments – We recommended that USCP develop written measures and standards for off-campus activities.
2012-01	Audit of USCP Enterprise Architecture	1	Enterprise Architecture – We recommended that the USCP Office of Information Systems (OIS) immediately update its strategic plan to define objectives and goals that align with the short- and long-term goals and objectives of the Department. The plan also should incorporate goals on optimizing enterprise-wide information systems performance and accountability.
2012-01	Audit of USCP Enterprise Architecture	2	Enterprise Architecture – We recommended that OIS immediately update its strategic plan to define objectives and goals that align with the short- and long-term goals and objectives of USCP.
2012-01	Audit of USCP Enterprise Architecture	3	Enterprise Architecture – We recommended that USCP management evaluate the distinct organizations with significant information technology investments and operations. As part of this evaluation, all individuals within the organization, either within OIS or other bureaus and offices that have any information technology support responsibilities should be identified. Once identified, an analysis should be performed to determine how those individuals can be aligned within OIS. If re-alignment is not feasible, information technology responsibilities of the individuals should be transitioned to appropriate individuals within OIS.
2012-01	Audit of USCP Enterprise Architecture	4	Enterprise Architecture – We recommended that USCP immediately complete a full inventory of systems in use by the Department to identify its "as is" configuration. Once developed and validated, OIS should develop the Department's "to be" configuration and its transition plan to achieve this configuration.
2012-01	Audit of USCP Enterprise Architecture	5	Enterprise Architecture – We recommended that USCP Enterprise Architecture Review Board's decisions and recommendations be incorporated into the decision-making process that aligns its information technology investments with the budgeting and procurement processes (Force Development Process).



United States Capitol Police Office of Inspector General

Appendix 2 – Resolution of Report Recommendations			
Report Number	Report Title	Recommendation Number	Recommendation
2012-4	AUP Time and Attendance [REDACTED] System	1	Time and Attendance – We recommended that USCP immediately enforce its time and attendance policies and procedures to ensure consistency throughout the Department. In addition, the Department should include in performance standards, milestones, and evaluations criteria that will hold supervisors and employees accountable for a lack of compliance as it relates to time and attendance. The Department may also want to consider other disciplinary actions for noncompliance with time and attendance policies and procedures.
2012-4	AUP Time and Attendance [REDACTED] System	2	Time and Attendance – We recommended that USCP consider centralizing monitoring of hardship cases through the OHR for better monitoring, communication, and oversight.
2012-4	AUP Time and Attendance [REDACTED] System	3	Time and Attendance – We recommended that USCP consider evaluating the utility of all T&A related reports; revising/adding data elements of those reports, such as summary and individual totals; and standardizing report distribution to appropriate management and timekeeper personnel.
2012-4	AUP Time and Attendance [REDACTED] System	4	Time and Attendance – We recommended that USCP consider discontinuing time and attendance reports offering little value to supervisors and timekeepers and create and adequately distribute meaningful reports. A report requested by numerous timekeepers was one that identified the dates and times during which a [REDACTED] clock unit was not operational.
2012-4	AUP Time and Attendance [REDACTED] System	5	Time and Attendance – We recommended that USCP consider whether timekeeper and supervisory exceptions performed in the normal course of business should be labeled override.
2012-4	AUP Time and Attendance [REDACTED] System	6	Time and Attendance – We recommended that USCP continue its efforts to automate fully its labor management system, [REDACTED]. In addition, we recommend that USCP consider integrating the Scheduler, Shift Trading functionalities, Leave Approval Interface, Virtual Time Clock, Electronic Timesheet Certifications, and others that would make its labor management system more efficient and effective. Such integration of functions would allow the Department to understand fully costs associated with performing a duty, such as staffing a door or entrance/exit point.
2012-4	AUP Time and Attendance [REDACTED] System	7	Time and Attendance – We recommended that USCP develop a policy that specifically addresses swiping requirements for monitoring as well as a policy that prescribes consequences for failing to comply with swiping. In addition, the Department should evaluate the need for exempt employees to swipe in lieu of alternate means of recording time and attendance within necessary internal controls.
2012-4	AUP Time and Attendance [REDACTED] System	8	Time and Attendance – We recommended that USCP create a standardized list of missed swipe explanations and incorporate those explanations into [REDACTED] through a drop-down menu for comments fields.
2012-4	AUP Time and Attendance [REDACTED] System	9	Time and Attendance – We recommended that USCP evaluate the feasibility of pooling timekeeper resources to level imbalanced workloads after the Department has established time and attendance procedures that are consistently utilized as outlined in Recommendation 1. Additionally, USCP should revise Position Descriptions and incorporate timekeeper duties that reflect the amount of time spent on time and attendance activities.



APPENDIX 3 – Peer Review Reporting

Implementing Section 989C of the Dodd-Frank Wall Street Reform and Consumer Protection Act Inspector General Peer Review Activity October 1, 2012 – March 31, 2013

Last Peer Review Conducted of the USCP OIG Audit Organization

As part of the 3-year cycle of independent peer reviews, the last peer review report² covering the USCP OIG Audit organization was issued January 27, 2011, by the National Endowment for the Humanities (NEH) OIG. USCP OIG received a peer review rating of pass for the fiscal year ended September 30, 2010. Furthermore, NEH OIG had no comments or recommendations in its *System Review Report* of USCP OIG.

USCP OIG's next peer review of its Audit organization is scheduled for the period ended September 30, 2013.

Last Peer Review Conducted by the USCP OIG Audit Organization

USCP OIG was not involved in any peer review work during this reporting period. USCP OIG issued its last *System Review Report* on March 12, 2010, to the Federal Maritime Commission OIG.

USCP OIG is scheduled to conduct the peer review of Appalachian Regional Commission for the period ended March 31, 2013.

² The CIGIE Audit Committee administers the external peer review program under generally accepted government auditing standards (GAGAS) for Federal Offices of Inspectors General. GAGAS requires that audit organizations perform audits or attestation engagements in accordance with GAGAS to have an appropriate system of quality control and to undergo external peer reviews at least once every 3 years. GAGAS prescribes: (1) the elements of scope of the peer review, including performing a risk assessment to help determine the number and types of engagements to select; (2) the requirements for reporting on the results of the peer review; (3) the qualifications of review staff; and (4) the distribution of peer review reports. GAGAS also prescribes requirements for granting extensions of deadlines for submitting peer review reports.



Table 1

Reports Issued with Questioned Costs³ October 1, 2012, through March 31, 2013

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	4	\$2,701	\$1,341
Which were issued during the reporting period	1	\$12	\$0
Subtotal	5	\$2,713	\$1,341
For which a management decision was made during the reporting period			
• dollar value of disallowed costs	0	\$0	\$0
• dollar value of cost not disallowed	2	\$363	\$36
For which no management decision has been made by the end of the reporting period	1	\$12	\$0
Reports for which no management decision was made within 6 months of issuance	2	\$2,302	\$1,305

³ 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 Use⁴ October 1, 2012, through March 31, 2013

Category	Number of Reports	Dollar Value (in thousands)
For which no management decision has been made by the commencement of the reporting period	2	\$282
Which were issued during the reporting period	0	\$0
Subtotal	2	\$282
For which management decision was made during the reporting period	2	\$282
- dollar value of recommendations that were agreed to by management - based on proposed management action - based on proposed legislative action	2	\$282
dollar value of recommendations that were not agreed to by management	0	0
For which no management decision has been made by the end of the reporting period	0	\$0
Reports for which no management decision was made with 6 months of issuance	0	\$0

⁴ 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 **October 1, 2012, through March 31, 2013**

Recoveries	\$0
Fines and Restitutions	\$0
Investigative Cases Opened	2
Investigative Cases Closed	4
Internal Control Reviews	0
Arrests	0
Indictments	0
Convictions	0
Personnel Actions	0
Total Complaints Received	16
Hotline Complaints Received	16
Complaints from Other Sources	0
Complaints Referred (to Department or other agencies)	3
Inspector General Subpoenas	0



IG Act REPORTING REQUIREMENTS

Section	Requirement	Page
Section 4(a)(2)	Review of Legislation	3
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	6-12
Section 5(a)(2)	Recommendations with Respect to Significant Problems, Abuses, and Deficiencies	6-12
Section 5(a)(3)	Recommendations Included in Previous Reports on Which Corrective Action Has Not Been Completed	14-17
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	13
Section 5(a)(7)	Summary of Significant Reports	6-12
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
Section 5(a)(13)	Specifically excluded by Public Law 109-55	N/A
Section 5(a)(14-16)	Peer Review Reporting Requirements	18



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. OIG, although not under the direct supervision of the Chief, 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 very 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

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 866-906-2446. A confidential or anonymous message can be left 24 hours a day/7 days a week.



Toll-Free
1-866-906-2446

Write or visit us – we are located at:



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

OIG staff members open mail addressed to the above address.

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.

