



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

October 1, 2014—March 31, 2015



United States Capitol Police



History

Created by Congress in 1828 following the assault on a son of John Quincy Adams in the Capitol Rotunda, the original duty of the United States Capitol Police (USCP) was to provide security for the United States Capitol Building. Its mission has expanded to provide the congressional community and its visitors with a variety of police services. Those services are provided through a variety of specialty support units, network of foot and vehicular patrols, fixed posts, full-time Containment and Emergency Response Team, Canine (K-9) Unit, Patrol/ Mobile Response Division, and full-time Hazardous Devices and Hazardous Materials Sections. The Agency had 1,722 sworn and 351 civilian employees as of March 21, 2015.

Mission

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

Office of Inspector General



History

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

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

Mission

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



Message from the Inspector General



I am pleased to present this Semiannual Report to Congress as Inspector General of the United States Capitol Police (USCP or Department). This report summarizes work the USCP Office of Inspector General (OIG) initiated and completed for the period from October 1, 2014, through March 31, 2015. The audits, evaluation, and investigations that we describe illustrate OIG efforts in promoting the efficiency and effectiveness of USCP programs and operations. In October 2014, we issued our annual report identifying what OIG considers from our oversight perspective the major management challenges facing the Department in fiscal year (FY) 2015.

During this period, Audits issued three reports (*Audit of the USCP's FY 2014 Financial Statements* (Report Number OIG-2015-01), *Management Letter Related to the Audit of USCP FY 2014 Financial Statements* (Report Number OIG-2015-02), and *Performance Audit of USCP Controls Over Evidence* (Report Number OIG-2015-03). At the end of the reporting period, Audits had various on-going projects. Audits completed fieldwork for a performance audit of USCP controls over proximity cards and began planning for a cyber security and restricted duty audits as well as a peer review of the Federal Trade Commission OIG Audit Organization, as the *Government Auditing Standards* require.

Investigations continued to receive and evaluate Hotline complaints and conduct outreach with USCP personnel including recruit officer classes. OIG received 33 complaints, initiated 3 investigations, and closed 3 cases during this reporting period. Additionally, Investigations conducted an evaluation of the [REDACTED]

OIG also provided correspondence to several committees: Letters to the Committee on Homeland Security and Governmental Affairs, Committee on the Judiciary, Committee on Oversight and

Government Reform, Committee on Finance related to open, and unimplemented, recommendations; investigations involving GS-15 level or above employees; whistleblower retaliation; and attempts to interfere with Inspector General independence.

Notwithstanding the challenges we faced during this semiannual reporting period, OIG staff members are fully committed to promoting the efficiency and effectiveness of the Department's 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.

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

Fay F. Ropella, CPA, CFE
Inspector General

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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 Department) Office of Inspector General (OIG) for the period October 1, 2014, through March 31, 2015. During this reporting period, OIG continued to direct its available resources toward those areas of greatest risk for the Department. We completed work intended 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 issued three reports: *Audit of the USCP's Fiscal Year (FY) 2014 Financial Statements* (Report Number OIG-2015-01), *Management Letter Related to the Audit of the USCP FY 2014 Financial Statements* (Report Number OIG-2015-02), and *Performance Audit of Controls Over Evidence* (Report Number OIG-2015-03). At the end of the reporting period, Audits had various ongoing projects. OIG completed fieldwork for a performance audit of USCP controls over proximity cards and began planning for a cyber security, restricted duty audits, and an external Peer Review of the Federal Trade Commission OIG Audit Organization, as the *Government Auditing Standards* require.

OIG Investigations received 33 complaints during this reporting period, of which 30 were Hotline complaints and 3 were from other sources. OIG initiated three investigations of senior management and closed three cases as shown in Appendix 1. In addition,

[REDACTED] Investigations issued the report to the Department on March 31, 2015.

Throughout this reporting period, OIG continued work with stakeholders to maintain and foster open and effective relationships. As an example of our continued work with stakeholders, OIG continued its active engagement with the Chief, Capitol Police Board (Board), and Congress through meetings, briefings, and dialogue with members and staff of the Department's authorizing and appropriation committees and subcommittees on a range of issues relating to the work of OIG and USCP. OIG 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. Further, the IG continued participating in legislative branch OIG activities such as regular meetings with other Inspectors General. In fact, on January 14, 2015, USCP OIG hosted the quarterly meeting for the legislative branch Inspectors General (IGs).

EXECUTIVE SUMMARY (Continued)

The USCP K-9 Unit briefs legislative branch IGs about its role in providing protection to the U.S. Capitol and its Campus.



During our meeting, the USCP Canine Unit (K-9) provided a presentation and demonstration. The event allowed other IGs an opportunity to gain a better understanding of the USCP role in providing protection for the U.S. Capitol and its Campus. Although the IGs discussed other issues, [REDACTED] were the highlight of our meeting and clearly demonstrated USCP's strategic goal of detect, prevent, and respond.

LEGISLATION MONITORED

OIG reviewed and monitored the following legislation:

H.R. 83, *Consolidated and Further Continuing Appropriations Act, 2015*

H. R. 5181, *Retention of Electronic Correspondence of Regulatory Decisions Act of 2014* (RECORD Act of 2014)

H.R. 5492, as amended, *Inspector General Empowerment Act of 2014*

H.R. 5630, *Inspector General Vacancy Act of 2014*

S. 1360, *Improper Payments Agency Cooperation Enhancement Act of 2014*

S. 2521, *Federal Information Security Modernization Act of 2014*

S. 2747, *Small Business Regulatory Sunset Act of 2014*



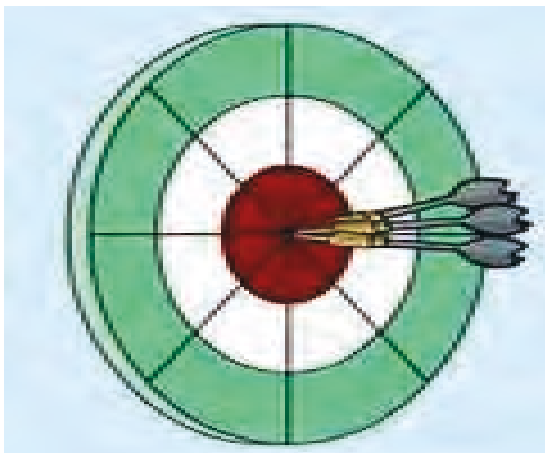
AGENT FOR POSITIVE CHANGE

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

Continued Progress in Resolution of Open Recommendations

Since its inception in July 2006, OIG has made 273 recommendations for improving USCP programs and operations. During this reporting period, the Department continued progress in ensuring that recommendations are fully implemented in a timely manner. As a result of those efforts, OIG closed 12 open recommendations:

- Six recommendations from *Performance Audit of Hazardous Materials Response Team* (Report Number OIG-2014-05)
- One recommendation from *Evaluation of Dignitary Protection Division* (Report Number OIG-2013-07)
- One recommendation from *Performance Audit of USCP Canine Program* (Report Number OIG-2013-04)
- One recommendation from *Audit of USCP Enterprise Architecture* (Report Number 2012-01)
- One recommendation from *Performance Audit of Library of Congress Division Special Events* (Report Number OIG-2013-06)
- Two recommendations from *Performance Audit of USCP Controls Over Ammunition* (Report Number OIG-2014-03)



During this period, the Department fully implemented all of the recommendations made in three reports that were older than 6 months. Such progress demonstrates that the Department has made resolving and implementing recommendations a top priority. The Department is on target to have resolution of recommendations removed from OIG's list of USCP major management challenges.

PROACTIVE EFFORTS

Major Management Challenges

In October 2014, OIG issued the FY 2015 major management challenges for the Department, which included protection and security, information systems and cyber security, human capital, financial and acquisition management, and resolution of recommendations.

Outreach Activities

As part of our continuing efforts for promoting accountability and integrity through better awareness of OIG's role, mission, and services, OIG made presentations to Department managers and employees, legislative branch officials, and committee staff members. OIG continues its proactive initiative to strengthen accountability by providing fraud prevention and awareness training to Department personnel.

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



Source: OIG photograph.



Source: OIG photographs.

AUDITS

Audit of USCP's FY 2014 Financial Statements (OIG-2015-01)



OIG contracted with CliftonLarsonAllen LLP (CLA), an independent certified public accounting firm, to audit the Department's financial statements for the period ending September 30, 2014. Our 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 addition, the independent auditor expressed an opinion on the effectiveness of the USCP's internal

controls 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 unmodified opinion that the Department's financial statements present fairly, in all material respects, the financial position of the Department as of September 30, 2014, and 2013, and its net costs, changes in net position, and budgetary resources for the years ended in conformity with accounting principles generally accepted in the United States.

For the *Independent Auditor's Report on Internal Control over Financial Reporting*, CLA rendered an adverse opinion with one material weakness concerning payroll controls.

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.

The Department agreed to implement all recommendations.

AUDITS

Management Letter Related to the Audit of USCP's FY 2014 Financial Statements (OIG-2015-02)

The management letter, prepared by CLA, an independent external auditor, discusses a number of internal control deficiencies identified during the audit of the FY 2014 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 indicated 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 Controls Over Evidence (OIG-2015-03)



In a memorandum dated July 3, 2013, the Chief requested that OIG conduct an audit of controls over evidence because the Crime Scene Search (CSS) Unit mixed physical evidence from multiple cases. That incident allowed a defense attorney to question the evidence, weakening the prosecution's case. The objectives of the audit were to determine if the Department: (1) had adequate internal controls to ensure integrity of evidence, and (2) complied with applicable laws, regulations, and guidance pertaining to management and operation of its program. The audit scope included controls, processes,

and operations during FY 2013 and FY 2014.

AUDITS

Performance Audit of USCP Controls Over Evidence (OIG-2015-03) (Continued)

USCP Evidence Log Books.



Source: OIG photograph.

Overall, the Department needs to improve internal controls for ensuring the integrity of physical evidence collected, secured, and processed. While CSS manually accumulates data regarding receipt and disposition of evidence in log books as shown in Figure 1, it would be time consuming and burdensome for CSS to manually assemble a composite listing of physical evidence secured in the CSS Unit within a timely manner. The only comprehensive and up-to-date list that CSS maintained was for “drug

evidence.” OIG used the drug evidence list to conduct a physical count of CSS drug evidence and noted no exceptions. Department officials indicated that they were reviewing whether its current property management inventory system could log evidence and produce a composite list of physical evidence for inspections and audits.

Although USCP guidance Standard Operating Procedure (SOP) No. [REDACTED] dated March 1, 2004, requires “routine” inspections, the SOP does not provide for a frequency or specific instructions on conducting inspections. In addition, CSS did not have documentation that supported transfer and destruction of contraband ammunition transferred to the USCP Firing Range as best practices require. SOP No. [REDACTED] dated November 1, 2012, does not specifically discuss destruction of ammunition. Department officials are, however, preparing a draft SOP that should address and provide specific instructions for transfer and destruction of ammunition.

USCP needs to improve physical security of evidence. For example, CSS did not regularly review the [REDACTED], as required. As a result, unauthorized individuals had access to areas where evidence was stored. The Department immediately corrected this weakness and removed the names of unauthorized individuals with access to the Lab and Safe Room.

AUDITS

Performance Audit of USCP Controls Over Evidence (OIG-2015-03) (Continued)

Crime Scene Search drug evidence case jackets.



Source: OIG photograph.

Testing revealed numerous instances of noncompliance with SOP No. [REDACTED] [REDACTED] dated June 29, 2001. For example, CSS did not consistently monitor case jacket completion for missing documents or consistently evaluate SOPs to reflect current procedures. Ineffective controls, noncompliance with SOPs, and outdated guidance provided opportunities for misuse and theft of physical evidence CSS maintains. During our audit, for example, evidence from a stolen property case—a Nikon camera valued at approximately \$10,000 when new—was temporarily missing from the Safe Room.

Opportunities may exist for the Department to use its resources in a more efficient and effective manner. For example, an electronic system for logging and tracking evidence could save the Department about \$6,000 each year in labor costs.

OIG made seven recommendations to improve controls and accountability over evidence. The Department agreed to implement all recommendations. In fact, during the audit, the Department immediately began to implement some of the recommendations.

ON-GOING AUDITS

Performance Audit of USCP Controls Over Proximity Cards

In accordance with our FY 2015 annual plan, OIG began a performance audit of proximity cards in accordance with *Government Auditing Standards*. Our objectives were to determine (1) the effectiveness of USCP's internal control over proximity (prox) cards to ensure accountability of those sensitive items, and (2) whether USCP complied with applicable policies and procedures as well as applicable laws and regulations. Additionally, we followed up on the status of previous recommendations related to prox cards made by the U.S. House of Representatives OIG. Our scope included controls, processes, and operations during FY 2014. On March 25, 2015, we provided a draft report to the Department for comment. On March 27, 2015, OIG and its contractor conducted an exit conference with the Department. OIG expects to issue the report in April 2015.

USCP OIG Peer Review of Federal Trade Commission OIG Audit Organization

Generally accepted government auditing standards (GAGAS) require audit organizations that perform audits or attestation engagements in accordance with GAGAS must have an appropriate quality control system and undergo external peer reviews at least once every 3 years. The Audit Committee for CIGIE administers the external peer review program under GAGAS for Federal Offices of Inspectors General. The program is designed to provide reasonable assurance that OIGs carry out work in accordance with established policies and procedures, including GAGAS, applicable Office of Management and Budget and Government Accountability Office guidance, and statutory provisions applicable to OIG.



The CIGIE Audit Committee assigned USCP OIG to conduct a peer review of the Federal Trade Commission (FTC) OIG Audit Organization. In March 2015, USCP OIG began preparing for its peer review of FTC and signed a Memorandum of Understanding for the engagement. USCP OIG expects to issue the report in June 2015.

ON-GOING AUDITS

Performance Audit of USCP Cyber Security Preparedness



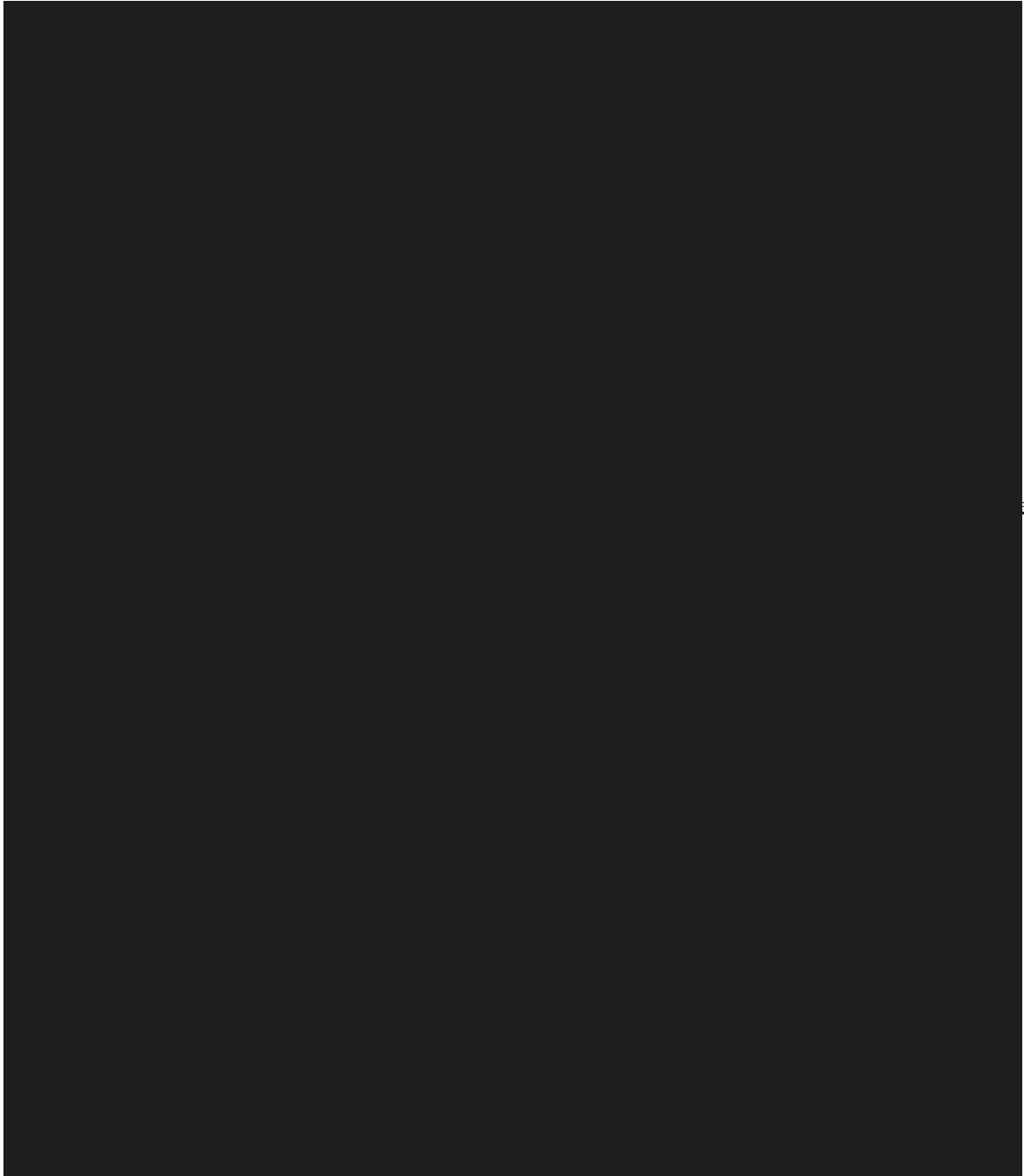
Today, organizations are facing many cyber challenges, including how to best secure their network, protect the organization's data, and how to adequately monitor Information Technology (IT) activities to ensure that appropriate actions are taken to protect the organization's information resources in the most effective and efficient manner. USCP relies on IT to support its activities

as well as congressional policy makers and operations. The Committee on Administration for the House of Representatives suggested that legislative branch OIGs conduct additional oversight in this area of legislative branch agencies. As a result of USCP OIG's February 13, 2015, meeting with committee officials, OIG—in conjunction with an independent public accounting firm—initiated a performance audit of USCP's cyber security preparedness. We conducted an entrance conference with the Department on March 27, 2015. OIG expects to issue a report in June 2015.

Personnel Efficiency Related to Restricted Duty

In accordance with our annual plan, OIG began planning an agreed-upon-procedures engagement related to restricted duty based on both performance of duty and non-performance duty injuries. The Department has struggled to revise its restricted duty policy for years. The current policy allows officers to use up to 1 year of restricted duty per injury or following pregnancy for lactation purposes when the employee cannot wear a ballistic vest. Based on medical documentation from medical practitioners, supervisors permit restricted duty requests. As a result, the current policy allows sworn officers to be off regular police work for long periods of time, which requires overtime to cover the employee's responsibilities. OIG began planning for the project and expects to issue a report in October 2015.

INVESTIGATIONS



INVESTIGATIONS

Allegations against USCP Director (2014-I-0003)

On April 16, 2014, OIG received information from an anonymous source that a Department Director made inappropriate remarks to USCP female employees in violation of the [REDACTED] [REDACTED] and [REDACTED]. The allegations stated that the remarks generally occurred during staff meetings and in some cases involved sexual references.

The Director also disregarded a direct order from the Chief Administrative Officer to remove a contractor from USCP—in direct violation of [REDACTED]. On October 31, 2014, OIG forwarded the results of its investigation to the Department for action. As a result of our investigation, the USCP Director retired from the Department effective March, 31, 2015. OIG closed the investigation March 31, 2015.

INVESTIGATIONS

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

Based on a May 6, 2014, request from the Chief, OIG conducted an investigation into allegations of possible conflict of interest related to a conflicting interpersonal and professional relationship in violation of USCP Directive [REDACTED]

[REDACTED] OIG's investigation revealed that the senior member violated the USCP Directive by not immediately reporting to a supervisor within the individual's chain of command a potentially conflicting interpersonal relationship involving subordinate employees. On May 30, 2014, OIG forwarded the results of its investigation to the Department for action. Effective October 19, 2014, the Department demoted the senior member and reassigned the member to other administrative duties that would not involve supervision of the subordinate employee. OIG closed this investigation October 20, 2014.

Allegations against Member of the Department (2014-I-0007)

Based on an anonymous complaint, a joint investigation with OIG and the Office of Professional Responsibility (OPR) investigated an allegation that a member of the Department was or still is involved in a conflicting interpersonal relationship with a lower rank sworn officer in violation of USCP Directive [REDACTED]

[REDACTED] We completed our investigation, which determined that the member did not violate the USCP Directive by not immediately reporting to a supervisor within the chain of command any potentially conflicting interpersonal relationships involving subordinate employees. The results were that the member of the Department did not violate any directives and the allegation was unfounded. The case was closed by OIG and OPR.

Appendix 1

REPORTS ISSUED

OIG-2015-01	Audit of the United States Capitol Police's Fiscal Year 2014 Financial Statements
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OIG-2015-02	Management Letter Related to the Audit of the United States Capitol Police's Fiscal Year 2014 Financial Statements
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OIG-2015-03	Performance Audit of USCP Controls Over Evidence
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2014-I-0003	Allegations against USCP Director
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2014-I-0004	Allegations against Senior Member of the Department
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2014-I-0007	Allegations against Member of the Department
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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 March 31, 2015, OIG has made a total of 273 recommendations to the Department. Of those 273 recommendations, the Department has fully implemented 225 (closed), with 34 unimplemented (open), which are older than 6 months as shown in the following table. OIG issued reports with the remaining 14 recommendations during this reporting period.

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	Report Title	Recommendation Number	Recommendation
2009-01 2011-01 2012-02 2013-01 2014-01 2015-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS FY 2013 FS FY 2014 FS	Repeat Finding 1.2 1.1 1.1 1.1 1.1 1.1	Payroll Processing – We recommended USCP consistently implement T&A [time and attendance] certification policies and procedures and that timekeepers review all certification reports to ensure that employees and supervisors sign and date reports. (1) USCP management needs to enforce the revised policies and procedures in Special Directive [REDACTED]; (2) we also recommended that the supervisor/timekeeper procedures for monitoring T&A include identifying habitual failures in submitting certification reports so that corrective actions can be targeted to those employees, and (3) we recommended that USCP evaluate the feasibility of using [REDACTED], a T&A system, to automate the T&A Certification process.
2009-01 2011-01 2012-02 2013-01 2014-01 2015-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS FY 2013 FS FY 2014 FS	Repeat Finding 1.3 1.2 1.2 1.2 1.2 1.2	Payroll Processing – We recommended USCP consistently implement T&A certification policies and procedures and that timekeepers review all certification reports to ensure that employees and supervisors sign and date reports. (1) USCP management needs to enforce the revised policies and procedures in Special Directive [REDACTED]; (2) because the condition has been in existence for many years, we also recommended that the supervisor/timekeeper procedures for monitoring T&A include identifying habitual failures in submitting certification reports so that corrective actions can be targeted to those employees, and (3) we recommended that USCP evaluate the feasibility of using [REDACTED], a T&A system, to automate the T&A certification process.
2009-01 2011-01 2012-02 2013-01 2014-01 2015-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS FY 2013 FS FY 2014 FS	Repeat Finding 1.6 1.4 1.3 1.3 1.3 1.3	Payroll Processing – As in the prior year's recommendation, USCP should perform monthly reconciliation between the National Finance Center (NFC) and [REDACTED] to ensure leave balance information is correctly reported in both systems. We also recommended that the Office of Human Resources (OHR) implement corrective actions in a timely manner.
2009-01 2011-01 2012-02 2013-01 2014-01 2015-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS FY 2013 FS FY 2014 FS	Repeat Finding 1.9 1.6 1.4 1.4 1.4 1.4	Payroll Processing – We recommended that USCP ensure that its employees comply with USCP Special Directive [REDACTED] addressing responsibility to record daily worked hours using [REDACTED] time clocks. We also recommended that USCP enhance its procedures for monitoring employees who show a pattern of not clocking in or out and verify if hours entered in [REDACTED] are actual hours the employees worked.
2009-01 2011-01 2012-02 2013-01 2014-01	FY 2008 FS FYs 2010/2009 FS FY 2011 FS FY 2012 FS FY 2013 FS	Repeat Finding 2.2H 22 2.1 2.1 1.1	Financial Management – We recommended that USCP develop a formal monthly reporting process from the program offices overseeing construction-in-progress to the Office of Financial Management (OFM) and provide signed confirmation that the financial reports from the partner agencies have been reviewed and accepted.

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	Report Title	Recommendation Number	Recommendation
2008-08	Review of Compliance with USCP Hiring Standards and with Directive [REDACTED]	1	Triple III – We recommended that USCP, in coordination with the Board, update its hiring standards and establish a comprehensive hiring directive outlining the Department's vision and goals to create a talented and committed workforce, to support an effective organizational culture, and enhance the overall performance of the USCP workforce.
2012-01	Audit of USCP Enterprise Architecture	1	Enterprise Architecture – We recommended that the USCP Office of Information Systems (OIS) immediately update its strategic plan to define objectives and goals that align with the short- and long-term goals and objectives of the Department. The plan also should incorporate goals on optimizing enterprise- wide information systems performance and accountability.
2012-01	Audit of USCP Enterprise Architecture	2	Enterprise Architecture – We recommended that OIS immediately update its strategic plan to define objectives and goals that align with the short- and long-term goals and objectives of USCP.
2012-01	Audit of USCP Enterprise Architecture	3	Enterprise Architecture – We recommended that USCP management evaluate the distinct organizations with significant IT investments and operations. All individuals within the organization, either within OIS or other bureaus and offices that have any IT support responsibilities should be identified. Once identified, an analysis should be performed to determine how those individuals can be aligned within OIS IT 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. OIS should develop the Department's "to be" configuration and its transition plan to achieve this configuration.
2012-04	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 (T&A). The Department may also want to consider other disciplinary actions for noncompliance with T&A policies and procedures.
2012-04	AUP Time and Attendance [REDACTED] System	2	Time and Attendance – We recommended that USCP consider centralizing monitoring of hardship cases through OHR for better monitoring, communication, and oversight.
2012-04	AUP Time and Attendance [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.
2012-04	AUP Time and Attendance [REDACTED] System	4	Time and Attendance – We recommended that USCP consider discontinuing T&A reports offering little value to supervisors and timekeepers and create and adequately distribute meaningful reports. A report requested by numerous timekeepers was one that identified the dates and times during which a [REDACTED] clock unit was not operational.

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	Report Title	Recommendation Number	Recommendation
2012-04	AUP Time and Attendance System	6	Time and Attendance – We recommended that USCP continue its efforts to automate fully its labor management system, [REDACTED]. In addition, we recommended that USCP consider integrating the Scheduler, Shift Trading functionalities, Leave Approval Interface, Virtual Time Clock, Electronic Timesheet Certifications, and others that would make its labor management system more efficient and effective. Such integration of functions would allow the Department to understand fully costs associated with performing a duty, such as staffing a door or entrance/exit point.
2012-04	AUP Time and Attendance System	7	Time and Attendance – We recommended that USCP develop a policy that specifically addresses swiping requirements for monitoring as well as a policy that prescribes consequences for failing to comply with swiping. In addition, the Department should evaluate the need for exempt employees to swipe in lieu of alternate means of recording T&A within necessary internal controls.
2012-04	AUP Time and Attendance System	9	Time and Attendance – We recommended that USCP evaluate the feasibility of pooling timekeeper resources to level imbalanced workloads after the Department has established T&A procedures. Additionally, USCP should revise position descriptions and incorporate timekeeper duties to reflect the amount of time spent on T&A activities.
2013-04	Performance Audit of USCP Canine Program	5	Canine Program – We recommended that USCP establish performance criteria for evaluating its Canine Program's effectiveness.
2013-04	Performance Audit of USCP Canine Program	7	Canine Program – We recommended that USCP Canine Unit immediately establish written policies and procedures for the donated Canine Program and evaluate the cost-effectiveness of accepting privately donated canines for its canine training program.
2013-04	Performance Audit of USCP Canine Program	9	Canine Program – We recommended that USCP finalize its draft Standard Operating Procedure No. [REDACTED] thereby using its scarce resources in a more efficient and effective manner.
2013-06	Performance Audit of USCP LOC Division Special Events Unit Reimbursement Process	5	Library of Congress (LOC) Special Events – We recommended that USCP, notwithstanding any other provision of law, seek legislation that would allow the Department to collect reimbursements for law enforcement support provided to non-congressionally sponsored special events held at locations other than LOC.
2013-07	Evaluation of USCP Dignitary Protection Division	1	DPD – We recommended that USCP update SOPs and internal controls to provide reasonable assurance that DPD operations are effective and efficient with reliable reporting, and compliance with applicable guidance are achieved.
2014-01 2015-01	FY 2013 FS FY 2014 FS	Repeat Finding 1.8 1.5	Payroll Processing – We recommended that USCP enforce its overtime policy. Lack of documentation to support overtime approval.

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	Report Title	Recommendation Number	Recommendation
2014-03	USCP Controls Over Ammunition	6	Ammunition – We recommended that USCP immediately establish detailed procedures for training ammunition to use best practices such as keeping a perpetual inventory of ammunition, providing ammunition with only an approved lesson plan accompanied by the course of fire, not allowing ammunition to be removed from packing containers until required for use, documenting ammunition consumption in records such as ammunition and/or scoring logs, returning leftover ammunition at the end of a session, and adding it back into the overall inventory, and reconciling ammunition turn-ins with the original issue documents and consumption records.
2014-03	USCP Controls Over Ammunition	8	Ammunition – We recommended the USCP immediately conduct a 100-percent physical count of ammunition with a trained Property Asset Management Division employee and Physical Skills Division sworn officer and reconcile the count with control records, thereby ensuring an accurate and complete perpetual inventory and establishing ammunition levels at each Division.
2014-03	USCP Controls Over Ammunition	10	Ammunition – We recommended that USCP develop a process for destruction of confiscated and/or damaged ammunition.
2014-05	Performance Audit of Hazardous Materials Response Team	1	HMRT – We recommended that USCP evaluate the standard operating procedures for the Hazardous Materials Response Team as well as add controls that will confirm that the annual review process was completed and the Hazardous Materials Response Team and the Office of Policy and Management Systems guidance is consistent.
2014-05	Performance Audit of Hazardous Materials Response Team	4	HMRT – We recommended that USCP take the following steps to avoid any appearance of conflict of interest: (1) Enforce current policies related to conflicts of interest regarding individuals involved in the procurement process. (2) Prohibit USCP employees from accepting employment with USCP vendors. (3) Revise CP Form [REDACTED] to address the potential for conflict of interest.
2014-05	Performance Audit of Hazardous Materials Response Team	8	HMRT – We recommended that USCP evaluate current vehicle operations documentation processes and take steps for improving the accuracy of inspection and inventory forms. The Hazardous Materials Response Team should evaluate the need for data to be transcribed into its database and consider an alternate system for maintaining documentation. HMRT should also periodically inspect vehicles, sample inspection reports, and review the vehicle log database to ensure accuracy and that those vehicles are operational. Periodic training should be provided to educate drivers on the specifics of the data required and how USCP uses the data.
2014-05	Performance Audit of Hazardous Materials Response Team	9	HMRT – We recommended that USCP evaluate the coordination required from other USCP Bureaus and establish one responsible party to ensure compliance with the [REDACTED] and [REDACTED] SOPs. Additionally, a reconciliation of medical and inventory records related to the respirator protection program is needed to obtain an accurate count of equipment as well as an accurate assessment of employee medical status related to the respirators and face pieces. USCP should strengthen standard operating procedures to allow more aggressive monitoring of compliance. USCP should also conduct a physical wall-to-wall inventory of equipment and records and reconcile the results with Property Asset Management Division records.

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	Report Title	Recommendation Number	Recommendation
2014-05	Performance Audit of Hazardous Materials Response Team	11	HMRT – We recommended that USCP evaluate its documentation processes related to medical monitoring and incorporate into standard operating procedures a requirement for document retention that will allow for inspection of historic documents or other mechanism for ensuring consistent compliance with procedures.
2014-05	Performance Audit of Hazardous Materials Response Team	12	HMRT – We recommended that USCP more clearly define the mission of the Hazardous Materials Response Team so that efforts are not duplicated. Greater accountability should also be placed over procurements for the Hazardous Materials Response Team so duplicate or unnecessary equipment is not purchased, resulting in funds put to better use of about \$60,000.
2014-05	Performance Audit of Hazardous Materials Response Team	13	HMRT – We recommended that USCP develop procedures for preparing supplementary information that will ensure the accuracy and reliability of program performance data. The procedures should include the Office of Financial Management working directly with those in charge of the supporting documentation that ensures accuracy of figures presented in the Management Decision and Analysis. The supplementary information will be clearly defined so that the criteria can be consistently applied at the data entry, data retrieval, and data reporting levels.
2015-01	FY 2014 FS	11	Database – We recommended that USCP OIS develop and implement a process for monitoring use of database accounts.



Appendix 3

PEER REVIEW REPORTING

Inspector General Peer Review Activity October 1, 2014 – March 31, 2015

Last Peer Review Conducted of USCP OIG Audit Organization

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

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

Last Peer Review Conducted by USCP OIG Audit Organization

USCP OIG issued its last Reviewing Inspector General Report on May 27, 2014, to the Appalachian Regional Commission (ARC) OIG Audit Organization.

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

Table 1

Reports Issued with Questioned Costs¹ October 1, 2014, through March 31, 2015

Category	(Dollars in Thousands)		
	No. of Reports	Questioned Costs	Unsupported Costs
For which no management decision has been made by the commencement of the reporting period	3	\$2,314	\$1,305
Which were issued during the reporting period	0	\$0	\$0
Subtotal	3	\$2,314	\$1,305
For which a management decision was made during the reporting period			
• dollar value of disallowed costs	0	\$0	\$0
• dollar value of cost not disallowed	3	\$2,314	\$1,305
For which no management decision has been made by the end of the reporting period	0	\$0	\$0
Reports for which no management decision was made within 6 months of issuance	0	\$0	\$0

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

Table 2

Reports Issued with Recommendations that Funds Be Put to Better Use² **October 1, 2014, through March 31, 2015**

Category	Number of Reports	Dollar Value (in thousands)
For which no management decision has been made by the commencement of the reporting period	2	\$102
Which were issued during the reporting period	0	\$0
Subtotal	2	\$102
For which management decision was made during the reporting period	1	\$42
- dollar value of recommendations that were agreed to by management - based on proposed management action - based on proposed legislative action	1	\$42
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	\$60
Reports for which no management decision was made within 6 months of issuance	1	\$60

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

Table 3

Investigations Statistics October 1, 2014, through March 31, 2015

	Dollar Value (in thousands)
Recoveries	\$0
Fines and Restitutions	\$0
Investigative Cases Opened	3
Investigative Cases Closed	3
Internal Control Reviews	0
Arrests	0
Indictments	0
Convictions	0
Personnel Actions	2
Total Complaints Received	33
Hotline Complaints Received	30
Complaints from Other Sources	3
Complaints Referred (to Department or other agencies)	10
Inspector General Subpoenas	0



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.

Reporting Requirements, Inspector General Act

IG Act Section	IG Act Requirement	Page
Section 4(a)(2)	Review of Legislation and Regulations	4
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	7-15
Section 5(a)(2)	Recommendations for Corrective Action with Respect to Significant Problems, Abuses, and Deficiencies	7-15
Section 5(a)(3)	Significant Recommendations Included in Previous Reports on Which Corrective Action Has Not Been Completed	17-21
Section 5(a)(4)	Matters Referred to Prosecuting Authorities and Resulting Convictions	None
Section 5 (a)(5)	Matters Reported to the Head of the Agency	N/A
Section 5(a)(6)	Reports Issued During the Reporting Period	7-15
Section 5(a)(7)	Summary of Significant Reports	16
Section 5(a)(8)	Statistical Table: Reports Issued with Questioned Costs	23
Section 5(a)(9)	Statistical Table: Recommendations That Funds Be Put to Better Use	24
Section 5(a)(10)	Summary of Reports Issued Before the Commencement of the Reporting Period for Which No Management Decision Has Been Made	24
Section 5(a)(11)	Significant Revised Management Decisions Made During the Reporting Period	N/A
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	N/A
Section 5(a)(14-16)	Peer Review Reporting	22

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

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 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.

