



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



OCTOBER 1, 2016 - MARCH 31, 2017

United States Capitol Police



History

Created by Congress in 1828 following an assault on a son of John Quincy Adams in the Capitol Rotunda, the original duty of the United States Capitol Police (USCP or the Department) was to provide security for the United States Capitol Building. Its mission has expanded to provide the congressional community and visitors with a variety of police services. Those services are provided through a variety of specialty support units, network of foot and vehicular patrols, fixed posts, full-time Containment and Emergency Response Team, Canine (K-9) Unit, Patrol/ Mobile Response Division, and full-time Hazardous Devices and Hazardous Materials Sections. USCP had 1,748 sworn and 364 civilian employees as of March 18, 2017.

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 USCP Headquarters—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 Department programs and operations, consistent with applicable laws, regulations, and policies.



Message from the Inspector General



I am pleased to present this Semiannual Report to Congress as Inspector General of the United States Capitol Police (USCP or the Department). This report summarizes work the USCP Office of Inspector General (OIG) initiated and completed from October 1, 2016, through March 31, 2017. The audits, evaluations, analyses, and investigations we describe illustrate OIG continued efforts for promoting the efficiency and effectiveness of USCP programs and operations.

During this reporting period, Audits issued four reports: *Independent Auditor's Report Financial Statements for Fiscal Years 2016 and 2015*, Report Number OIG-2017-02; *Fiscal Year 2016 Management Letter*, Report Number OIG-2017-03; *Performance Audit of the United States Capitol Police Compliance with Employee Performance Standards*, Report Number OIG-2017-05; and *Analysis of the United States Capitol Police Backup and Recovery Capabilities*, Report Number OIG-2017-06. At the end of the reporting period, and in accordance with OIG's Fiscal Year 2017 Annual Plan, Audits began a performance audit of compliance with the Federal Employees' Compensation Act, performance audit of purchase cards, and analysis of cybersecurity insider threat. And, as *Government Auditing Standards* require, the U.S. Election Assistance Commission conducted a Peer Review of the USCP OIG Audit Organization for the period ending September 30, 2016. The Audit Organization earned a pass rating with no comments.

Investigations issued two proactive reports: *Evaluation of the United States Capitol Police Disciplinary Process*, Report Number OIG-2017-01, and *Evaluation of Compliance with United States Capitol Police Hiring Standards, Directive [REDACTED], and Standard Operating Procedure [REDACTED]*.

[REDACTED] Report Number OIG-2017-04. Investigations also began a follow up on recommendations made in the *Performance Audit United States Capitol Police Controls Over Ammunition*, Report Number OIG-2014-03. Investigations continued to receive and evaluate Hotline complaints and conduct training with USCP personnel, including recruit officer classes.

OIG received 55 complaints, initiated 5 investigations, and closed 6 cases during this reporting period.

OIG provided correspondence to the Committee on Homeland Security and Governmental Affairs and to the Committee on the Judiciary related to open and unimplemented recommendations; investigations involving GS-15 level or above employees; whistleblower retaliation; and attempts to interfere with Inspector General independence. OIG also prepared correspondence to the Committee on Homeland Security and Governmental Affairs related to a list of all mandatory reporting requirements that should be modified or repealed.

OIG staff members are fully committed to promoting the efficiency and effectiveness of Department programs and operations. I commend USCP, the Capitol Police Board (Board), and members of the oversight community for their professionalism and devotion to the USCP mission. We thank the officers whose service and sacrifice inspire our goal to achieve excellence through unity.

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

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 the Department) Office of Inspector General (OIG) for the period October 1, 2016, through March 31, 2017. During this reporting period and at the close of the fiscal year, OIG directed its available resources toward areas of greatest risk for the Department. The work we completed helped promote the economy, efficiency, effectiveness, and integrity of the Department's programs and operations. The accomplishments for each OIG component are summarized below.



OIG Audits issued four reports: *Independent Auditor's Report Financial Statements for Fiscal Years 2016 and 2015*, Report Number OIG-2017-02; *Fiscal Year 2016 Management Letter*, Report Number OIG-2017-03; *Performance Audit of the United States Capitol Police Compliance with Employee Performance Standards*, Report Number OIG-2017-05; and *Analysis of the United States Capitol Police Backup and Recovery Capabilities*, Report Number OIG-2017-06. At the end of the reporting period and in accordance with our annual plan, Audits began a performance audit of the Department's compliance with the Federal Employees' Compensation Act and purchase cards, and began planning for an analysis of cybersecurity insider threat detection program, and an external peer review of the Federal Labor Relations Authority for the period ending March 2017.



OIG Investigations issued two proactive reports: *Evaluation of the United States Capitol Police Disciplinary Process*, Report Number OIG-2017-01 as well as an *Evaluation of Compliance with United States Capitol Police Hiring Standards, Directive [REDACTED], and Standard Operating Procedure [REDACTED]* Report Number OIG-2017-04. Investigations began a follow up on recommendations made in the *Performance Audit United States Capitol Police Controls Over Ammunition*, Report Number OIG-2014-03. Investigations also initiated five investigations and closed six cases.

Throughout this reporting period, the OIG staff continued working with the Department and stakeholders to maintain and foster open and effective relationships. On a wide range of issues relating to the work of OIG and USCP, the OIG staff maintained its active interaction with the Chief of Police (Chief), members of the Capitol Police Board (Board), and Congress through meetings, briefings, and dialogue with members and staff of the Department's authorizing and appropriation committees and subcommittees. In addition, OIG successfully continued with its active outreach and fraud program by presenting briefings to new employees and recruit officer classes. OIG also continued as a contributing participant in the activities of the Council of the Inspectors General on Integrity and Efficiency (CIGIE) and in the legislative branch OIG activities such as regular meetings with other Inspectors General.

LEGISLATION MONITORED

IG reviewed and monitored the following legislation:

H.R. 71, *Taxpayers Right-To-Know Act*

H.R. 653, *Federal Intern Protection Act of 2017*

H.R. 1111, *Department of Peacebuilding Act of 2017*

H.R. 1224, *NIST [National Institute of Standards and Technology] Cybersecurity Framework, Assessment, and Auditing Act of 2017*

H.R. 2028, *Further Continuing and Security Assistance Appropriations Act, 2017*

H.R. 2532, *Bonuses for Cost-Cutters Act of 2016 (Related S.1378 Bonuses for Cost-Cutters Act of 2016)*

H.R. 4360, *Official Personnel File Enhancement Act*

H.R. 5063, *Stop Settlement Slush Funds Act of 2016 (Related S. 3050, Stop Settlement Slush Funds Act of 2016)*

H.R. 5920, *Whistleblower Protections for Contractors Act*

H.R. 5922, *Saving Federal Dollars Through Better Use of Government Purchase and Travel Cards Act of 2016*

H.R. 6186, *Follow the Rules Act*

H.R. 6450, *Inspector General Empowerment Act of 2016*

H.R. 6480, *Intelligence Authorization Act for FY 2017*

S. 317, *Taxpayers Right-To-Know Act*

S. 582, *Office of Special Counsel Reauthorization Act of 2017*

S. 585, *Dr. Chris Kirkpatrick Whistleblower Protection Act of 2017*

S. 576, *Follow the Rules Act*

S. 795, *A Bill to Enhance Whistleblower Protection for Contractor and Grantee Employees*

S. 1616, *Saving Federal Dollars Through Better Use of Government Purchase and Travel Cards Act of 2015*

S. 2450, *Administrative Leave Act of 2016*

S. 2943, *National Defense Authorization Act for Fiscal Year 2017*

S. 3017, *Intelligence Authorization Act for Fiscal Year 2017*

S. 3050, *Stop Settlement Slush Funds Act of 2016*

VALUE ADDED

While working alongside the Department, during this reporting period OIG added value in several areas, allowing the Department to make significant progress in resolving open recommendations.

Significant Progress in Resolution of Open Recommendations

One method used for measuring our value is tracking the outcome of the recommendations in our reports, as codified in the IG Act of 1978, as amended. Since Agency inception in 2006, OIG has made recommendations for improving programs and operations. During this particular reporting period, the Department continues making significant progress in closing open recommendations by ensuring that they are fully implemented in a timely manner. As the table below reflects, OIG closed 21 previously open recommendations, some of those recommendations older than 6 months. In time, OIG believes that the Department will be able to close all of the recommendations that are open and older than 6 months.

Report Title	Report Number	Recommendations Closed
<i>Independent Audit of USCP Enterprise Architecture</i>	OIG-2012-01	1
<i>Performance Audit of Hazardous Materials Response Team</i>	OIG-2014-05	2
<i>Performance Audit of USCP Controls Over Evidence</i>	OIG-2015-03	2
<i>Independent Accountants' Report on Agreed-Upon Procedures of United States Capitol Police Leave Restriction Status</i>	OIG-2015-09	5
<i>Performance Audit of the United States Capitol Police's Fiscal Year 2015 Information Security Program</i>	OIG-2015-10	1
<i>Evaluation of the United States Capitol Police Division of Intelligence and Information Analysis</i>	OIG-2016-04	2
<i>Inspection of the United States Capitol Police Office of Professional Responsibility</i>	OIG-2016-06	1
<i>Performance Audit of the United States Capitol Police Training Services Bureau</i>	OIG-2016-07	1
<i>Performance Audit of the United States Capitol Police Mobile Device Program</i>	OIG-2016-10	1
<i>Evaluation of the United States Capitol Police Disciplinary Process</i>	OIG-2017-01	3
<i>Independent Auditor's Report Financial Statements For Fiscal Years 2016 and 2015</i>	OIG-2017-02	2
Total		21

Source: OIG generated from audit resolution and analysis of closed recommendations.

During this reporting period, the Department closed all recommendations in the following 3 reports:

- *Independent Audit of USCP Enterprise Architecture*- OIG-2012-01
- *Performance Audit of USCP Controls Over Evidence* – OIG-2015-03
- *Inspection of the United States Capitol Police Office of Professional Responsibility* – OIG-2016-06

PROACTIVE EFFORTS

Management Challenges

The *Reports Consolidation Act of 2000* requires that OIGs identify and report each year on the most serious management challenges agencies face. In October 2016, OIG issued the Fiscal Year (FY) 2017 major management challenges for the Department, which included interagency communication and program integration, information system and cybersecurity, integrated internal control systems, effectively managing Federal contracting, and human capital. It is worth noting that the Department has shown solid, steady progress in the vast majority of the challenges identified in 2016. Of the six challenges identified on that list, at least five partially met all of the criteria for removal from those identified on the 2017 list.

OIG Annual Performance Plan

On October 20, 2016, OIG issued its Annual Performance Plan for FY 2017. OIG coordinated plan concepts with its stakeholders, who are vital partners in assessing the nature, scope, and inherent risks of the Department programs and operations. The assessment forms the basis for establishing our strategic and annual performance plan, including objectives and scope of work the OIG will accomplish throughout FY 2017.

Outreach Activities

As part of a continued effort in promoting accountability through better awareness of the OIG role, mission, and services, we actively participated in presentations to Department managers and employees. We believe this proactive initiative is vital toward strengthening accountability by providing fraud prevention and awareness training to Department personnel, as shown in Figures 1 and 2.

Figure 1: The Assistant Inspector General for Investigations conducts training and outreach with recruit officers.



Source: OIG photograph.

Figure 2: The Assistant Inspector General for Audits conducts training and outreach with new employees.



Source: OIG photograph.

AUDITS

Independent Auditor's Report Financial Statements For Fiscal Years 2016 and 2015 (OIG-2017-02)



On December 9, 2016, OIG issued USCP's annual financial statement audit for the period ending September 30, 2016. Our objective for the audit was to express an opinion on the fairness of the financial statements in all material aspects. Our audit was conducted in accordance with *Government Auditing Standards*.

In its *Independent Auditor's Report*, OIG 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, 2016 and 2015, 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.

For the *Independent Auditor's Report on Internal Control Over Financial Reporting*, OIG rendered an adverse opinion with one material weakness concerning payroll controls and one significant deficiency related to undelivered orders.

In the *Independent Auditor's Report Compliance with Laws, Regulations, Contracts and Grant Agreements*, OIG identified no instances of noncompliance with selected provisions of laws, regulations, and grant agreements tested.

AUDITS

Fiscal Year 2016 Management Letter (OIG-2017-03)

The management letter, prepared by OIG, discusses a number of internal control deficiencies identified during the audit of the FY 2016 financial statements. Those control deficiencies, if addressed, should enhance the efficiency and effectiveness of internal controls.

We believe that 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 concurred with the findings and recommendations. We will evaluate compliance during future audits of USCP financial statements.



AUDITS

Performance Audit of the United States Capitol Police Compliance with Employee Performance Standards (OIG-2017-05)



According to USCP Directive [REDACTED]

[REDACTED], and Directive [REDACTED]

[REDACTED] both dated May 28, 2012, the Department prepares annual performance plans for each sworn and civilian employee and appraises that performance with respect to how well the employee has met the requirements of individual performance plans.

During the OIG evaluation of the Department discipline process, Congressional Oversight Committee staffers were interested in whether USCP complied with employee evaluation requirements. As a result of that interest and in accordance with its FY 2017 annual plan, OIG conducted a performance audit to determine if the Department (1) established adequate internal controls and processes for ensuring compliance with Department policies, and (2) complied with applicable policies and procedures as well as applicable laws, regulations, and best practices. The scope included controls, processes, and operations surrounding employee performance evaluation from October 1, 2015, through January 2017.

Overall, the Department did not have adequate internal controls and processes for ensuring successful implementation and administration over the EPAS and PECS programs. For example, the Department had not updated Directives [REDACTED] since May 28, 2012. Neither Directive was specific about due dates for performance appraisals,¹ accountability, or monitoring. Although Directive [REDACTED] requires reviews and audits to ensure adherence to policy, the guidance did not specifically state what reviews and audits would consist of or how monitoring of the performance appraisals would occur.

Managers and supervisors were lax about completing employee appraisals and evaluations. During the last 10 years, the Department averaged about a 49-percent compliance with performance programs. To ensure accountability and compliance, OIG made three recommendations, which the Department agreed to implement.

¹ OIG used appraisals, evaluations, and performance plans interchangeably.

AUDITS

Analysis of the United States Capitol Police Backup and Recovery Capabilities (OIG-2017-06)

OIG conducted an analysis of the Department backup and recovery capabilities for most major information technology systems. The objectives of the analysis were to (1) review, analyze, and document policies and procedures for the data backup and recovery of USCP systems and applications, (2) observe operation of backup software and media, and (3) document USCP capability for recovering systems and applications within a defined recovery time objective. The scope of the analysis included evaluation of



controls, policies, and procedures during FY 2016. In certain instances, we analyzed data from FY 2017 because it was the most recently available information at the time of our analysis. During our analysis, we became aware of other critical systems the Security Services Bureau and Command Center operate. Because those systems were outside of the scope of our analysis, we did not review the backup and recovery capabilities of the systems.

USCP Office of Information Systems (OIS) had internal policies and procedures related to its backup and recovery process, namely, the [REDACTED], dated July 7, 2016, and the [REDACTED], dated September 20, 2013. However, the Department did not approve either of those directives. Without officially approved policy, the Department could not hold employees accountable for noncompliance with draft policies and personnel may not have been aware of their roles and responsibilities, which could have resulted in potential security control gaps. [REDACTED]

Several types of incidents could necessitate initiation of the recovery process. We believe that opportunities for improvement existed, an example of which was that the Department did not have [REDACTED]

[REDACTED] USCP also did not develop a definition of a mission essential function. To develop more efficient and effective controls over the Department's backup and recovery process, OIG made five recommendations, which the Department agreed to implement.

ON-GOING AUDITS

Performance Audit of USCP Compliance with Federal Employees' Compensation Act

OIG initiated a performance audit of the USCP Federal Employees' Compensation Act. OIG objectives were to determine if the Department (1) established adequate internal controls and processes for ensuring compliance with Department policies, and (2) complied with applicable policies and procedures as well as applicable laws, regulations, and best practices. Our scope includes controls, processes, and operations from October 1, 2015, through January 2017. OIG expects to issue a report by April 2017.

Performance Audit of USCP Purchase Card Program



OIG began planning for a performance audit of the USCP purchase card program. OIG objectives were to determine if the Department (1) established adequate internal controls and processes for ensuring compliance with department policies, and (2) complied with applicable policies and procedures as well as applicable laws, regulations, and best practices. Our scope includes controls, processes, and operations during October 1, 2016, through March 31, 2017. OIG expects to issue a report by July 2017.

Analysis of USCP Insider Threat Detection Program

OIG began planning for an analysis of the USCP insider threat detection program. The OIG objective is to determine how effectively the Department protects its information systems and data from the threat posed by employees, especially those with special or elevated access to unclassified information technology systems or information based on their job description function. Our scope includes controls, processes, and operations from October 1, 2016, through March 31, 2017. OIG expects to issue a report by July 2017.

External Peer Review of Federal Labor Relations Authority Audit Organization

OIG began planning to conduct an external peer review of the Federal Labor Relations Authority Audit Organization for the period ending March 31, 2017. OIG expects to issue its report by September 30, 2017.

INVESTIGATIONS

Evaluation of the United States Capitol Police Disciplinary Process (OIG-2017-01) **(Investigative Number 2016-I-0009)**

OIG evaluated the USCP disciplinary process. Our primary objectives were to determine if the Department (1) established internal controls and processes for ensuring that employees subject to the disciplinary process were afforded due process based on transparency and fairness, and (2) complied with applicable policies and procedures as well as applicable laws, regulations, and best practices. Our scope included internal controls, processes, and operations during FY 2014 and FY 2015. We also requested that the Government Accountability Office (GAO) provide an opinion related to USCP Directive [REDACTED], dated November 19, 2012.



Although USCP had a discipline process that allowed for due process and fairness, some areas needed improvement. Those areas were as follows:

1. Updating policies and procedures by incorporating into Directive [REDACTED], changes made through memoranda on various dates. According to several USCP officials, the Department did not foresee disciplinary actions for senior command officials. The disciplinary process had been in place since the early 2000s and established to address disciplinary actions for rank-and-file officers. Although the Department periodically reviewed the process since establishment, as of October 2016, the Department did not fully implement a revised disciplinary process or communicate any of those changes to employees. The Department tabled a new disciplinary process agreed to by the previous Chief and Union and during was developing during the past year a modified process for the entire workforce.
2. Helping develop management's understanding of performance and misconduct issues through training could improve performance and discipline processes. USCP Directive [REDACTED], dated November 19, 2012, addresses unsatisfactory performance as a violation. Several officials agreed that challenges exist for managers when determining whether to correct employee behavior through the Department's performance or misconduct adverse action systems. Each system has a different set of standards and requirements.

INVESTIGATIONS

Evaluation of the United States Capitol Police Disciplinary Process (OIG-2017-01) **(Investigative Number 2016-I-0009) Continued**

The Department could improve its discipline process by implementing best practices used by other law enforcement organizations. For example, in its penalty determinations, USCP considers only 4 of the 12 Douglas Factors, although multiple Federal agencies reviewed consider the full 12 factors. According to the Chief, the Department consolidated 12 factors into 4. Under the Collective Bargaining Agreement (CBA), the parties negotiated the relevant factors required to arrive at a penalty recommendation. To ensure consistency with other Federal agencies and best practices, all of the 12 factors should be considered.

USCP also did not reference a table of penalties in its penalty determinations. Each agency reviewed, however, referenced some form of a table of penalties or a penalty matrix. Making managers responsible for discipline of low-level penalties rather than the Chief could lead to taking ownership for employee discipline and that disciplinary process. For example, the Department might impose a forfeiture of up to 24 hours of annual leave as a disciplinary penalty. Several Department officials did not believe that forfeiture of annual leave was an effective deterrent for correcting behavior. The majority of the agencies reviewed did not use annual leave forfeiture as a penalty.

Furthermore, a USCP official raised concerns that the language in USCP Directive [REDACTED] requires more than one element for supporting a violation. OIG requested that GAO provide an opinion on whether the use of the word “and” required all the elements stated to charge someone with insubordination. GAO concluded that only one of the elements needed to exist for the Department to support a charge for insubordination.

Without up-to-date policies and procedures addressing the disciplinary process, the Department remains vulnerable and susceptible to allegations that the discipline process is neither transparent nor applied consistently. OIG made six recommendations and as of March 31, 2017, the Department already closed three.

INVESTIGATIONS

Inquiry into Excessive Use of Mobile Devices (Investigative Number 2016-I-0010)



OIG Audits referred an issue related to excessive use of mobile devices to OIG Investigations. The audit revealed that eleven individuals may not have complied with Directive [REDACTED]

and Directive [REDACTED]

[REDACTED]. OIG conducted an inquiry into one employee's use of mobile devices, but did not find sufficient evidence substantiating excessive use of mobile devices. OIG closed the inquiry March 27, 2017. OIG referred the remaining 10 employees to OPR for investigation (Investigative Number 2017-I-0008.)

Inquiry into Allegation of Misconduct by a Senior Official (Investigative Number 2016-I-0013) (X Ref 2017-I-0004)



OIG received a complaint from a former USCP employee alleging that a senior official engaged in discrimination, time and attendance manipulation, and provided false documents to a congressional committee. OIG was unable to conduct an inquiry into the allegations because of insufficient information. Most importantly, the complainant did not respond to OIG attempts to schedule an interview. As a result, OIG closed the inquiry on November 1, 2016.

INVESTIGATIONS

Evaluation of Compliance with United States Capitol Police Hiring Standards, Directive [REDACTED] and Standard Operating Procedure [REDACTED] (OIG-2017-04) **(Investigative Number 2017-I-0001)**

OIG evaluated the Department's compliance with [REDACTED] dated May 8, 1997; USCP Directive [REDACTED] dated November 19, 2012; and Standard Operating Procedure (SOP) [REDACTED] dated June 1, 2005. OIG conducted the evaluation to determine whether (1) USCP complied with its hiring standards and ensured that employees did not engage in criminal conduct detrimental to their employment, (2) USCP employees with a criminal history before employment with USCP disclosed that history during the pre-employment screening process, and (3) employees with criminal complaints during employment with USCP complied with [REDACTED] of USCP Directive [REDACTED] by reporting incidents through the appropriate chain of command. In a previous report, *Inspection of the United States Capitol Police Office of Professional Responsibility* (Report Number OIG-2016-06), dated April 2016, OIG reported that the Department did not conduct annual criminal history checks for USCP employees as SOP [REDACTED] requires. As a result, OIG conducted a 100-percent criminal history check of all 2,123 USCP employees (1,762 sworn and 361 civilian) as of November 14, 2016. OIG did not find active wants or warrants on any USCP employee.

Of the Department's 2,123 employees, 74 had a criminal history. However, OIG had already identified and vetted the criminal history for half of those employees in previous reviews. Of the remaining 37 employees with criminal histories not previously identified and vetted, 21 had criminal complaints before employment and 17 had criminal complaints during employment. One employee had criminal complaints both before and during their employment. Although employees with criminal histories before employment did indeed disclose such activity, four Department employees with criminal charges against them during employment did not report their arrests. Those four individuals are the subjects of on-going investigations by the Office of Professional Responsibility (OPR). OIG repeated the recommendation for the Department to update its hiring standards and establish a specific hiring directive identifying the Department's visions and goals in building a talented, committed, and diverse workforce to support an efficient and effective organizational culture.

INVESTIGATIONS

Inquiry into Allegation of Improper Remarks Made by Senior Official (Investigative Number 2017-I-0002)

In February 2017, OIG received a complaint alleging that a senior Department official made improper remarks in violation of USCP Directive [REDACTED] dated November 19, 2012. OIG conducted an inquiry into this complaint but did not find any evidence or information substantiating the allegation of improper remarks in violation of the Directive. OIG closed the inquiry March 27, 2017.

Inquiry into Allegation of Discrimination by Senior Official (Investigative Number 2017-I-0003)

OPR referred to OIG a complaint alleging discrimination by a senior Department official. OIG conducted an inquiry into the complaint but did not find any evidence or information substantiating the allegation of discrimination in violation of USCP Directive [REDACTED]. All indications were that the actions of the senior official were a direct response to recommendations from a previous OIG report (*Performance Audit USCP Canine (K-9) Program*, Report Number OIG-2013-04, dated April 2013.) OIG closed this inquiry March 22, 2017.

Inquiry into Allegation of Misconduct by Senior Official (Investigative Number 2017-I-0004) (X Ref 2016-I-0009)

After a former employee contacted OIG for an interview, we reopened an inquiry into allegations that a senior official engaged in discrimination, time and attendance manipulation, and provided false documents to a congressional committee. OIG conducted an inquiry into the allegation to determine whether the senior official violated USCP Directive [REDACTED], dated November 19, 2012. OIG did not find any evidence substantiating the allegations and closed this inquiry March 14, 2017.

Inquiry into Allegation of False Statements by Senior Official (Investigative Number 2017-I-0005)

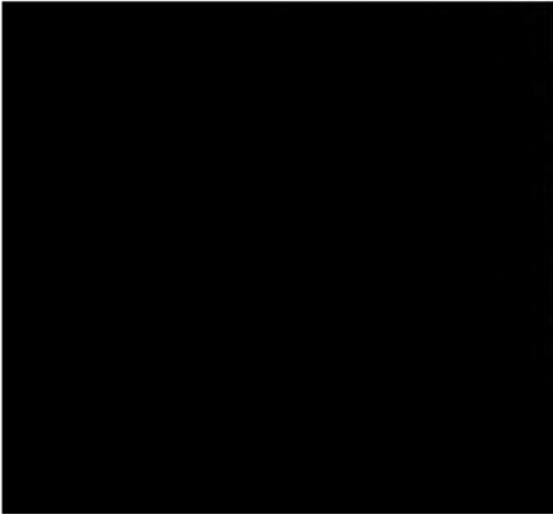
OIG conducted an inquiry into an allegation of false statements by a Department senior member, which purportedly were made during a November 2016, arbitration hearing, in violation of USCP Directive [REDACTED]. OIG did not find any evidence substantiating the allegation and closed the inquiry March 31, 2017.

ON-GOING INVESTIGATIONS

Inquiry into Allegations of Misconduct by a Senior Official (Investigative Number 2017-I-0006)

OIG received a complaint alleging that a senior official misused their position. OIG is conducting an inquiry into these allegations and expects to render its findings by May 2017.

Follow-up of Controls Over Ammunition (Investigative Number 2017-I-0007)



At the end of the reporting period, Investigations had begun planning for a follow up on recommendations made in a previous audit (*Performance Audit United States Capitol Police Controls Over Ammunition*, Report Number OIG-2014-03.) The objective is to determine if the Department fully implemented the recommendations made in the report. The scope of the review will include existing controls over ammunition and implementation of the recommendations as outlined in the subject report. We expect to issue the report by July 31, 2017.

~~USCP OIG reports are in part, or whole, considered "Security Information" as defined by 2 USC § 1979 (a). Release of this information should be governed by 2 USC § 1979, applicable Capitol Police Board regulations, policies and procedures. This information must not be furnished outside of those entities that have a law enforcement need to know the information in the report. Disclosure of this information could jeopardize law enforcement operations.~~

The Freedom of Information Act also explicitly excludes Congress (5 USC 551.)

APPENDIX 1 REPORTS ISSUED

<i>Report Number</i>	<i>Report Title</i>
OIG-2017-01	Evaluation of the United States Capitol Police Disciplinary Process (Investigative Number 2016-I-0009)
OIG-2017-02	Independent Auditor's Report Financial Statements For Fiscal Years 2016 and 2015
OIG-2017-03	Fiscal Year 2016 Management Letter
OIG-2017-04	Evaluation of Compliance with United States Capitol Police Hiring Standards, Directive [REDACTED], and Standard Operating Procedure [REDACTED] (Investigative Number 2017-I-0001)
OIG-2017-05	Performance Audit of the United States Capitol Police Compliance with Employee Performance Standards
OIG-2017-06	Analysis of the United States Capitol Police Backup and Recovery Capabilities
Total: <u>6</u>	

<i>Investigation Number</i>	<i>Title</i>
2016-I-0010	Inquiry into Excessive Use of Mobile Devices
2016-I-0013	Inquiry into Allegation of Misconduct by a Senior Official
2017-I-0002	Inquiry into Allegation of Improper Remarks Made by Senior Official
2017-I-0003	Inquiry into Allegation of Discrimination by Senior Official
2017-I-0004	Inquiry into Allegation of Misconduct by Senior Official
2017-I-0005	Inquiry into Allegation of False Statements by Senior Official
Total: <u>6</u>	

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, 2017, OIG made a total of 342 recommendations to the Department since OIG inception. Of those 342 recommendations, the Department has fully implemented (or closed) 297, of the remaining 45 open unimplemented recommendations, 34 of the open recommendations were older than 6 months as shown in the following table.

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	Report Title	Recommendation Number	Recommendation
2009-01	FY 2008 FS	Repeat Finding	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 United States Capitol Police evaluate the feasibility of using [REDACTED], a T&A system, to automate the T&A Certification process. [REDACTED]
2011-01	FYs 2010/2009 FS	1.2	
2012-02	FY 2011 FS	1.1	
2013-01	FY 2012 FS	1.1	
2014-01	FY 2013 FS	1.1	
2015-01	FY 2014 FS	1.1	
2016-01	FY 2015 FS	1.1	
2009-01	FY 2008 FS	Repeat Finding	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. [REDACTED]
2011-01	FYs 2010/2009 FS FY	1.6	
2012-02	2011 FS	1.4	
2013-01	FY 2012 FS	1.3	
2014-01	FY 2013 FS	1.3	
2015-01	FY 2014 FS	1.3	
2016-01	FY 2015 FS	1.2	
2009-01	FY 2008 FS	Repeat Finding	Payroll Processing – We recommended that USCP ensure that its employees comply with United States Capitol Police Special Directive [REDACTED] addressing responsibility to record daily worked hours using [REDACTED] time clocks. We also recommended that USCP enhance its procedures for monitoring employees who show a pattern of not clocking in or out and verify if hours entered in [REDACTED] are actual hours the employees worked. [REDACTED]
2011-01	FYs 2010/2009 FS FY	1.9	
2012-02	2011 FS	1.6	
2013-01	FY 2012 FS	1.4	
2014-01	FY 2013 FS	1.4	
2015-01	FY 2014 FS	1.4	
2016-01	FY 2015 FS	1.3	
2016-01	FY 2015 FS	Repeat Finding	Financial Management – Undelivered Orders/Open Obligations. USCP enforce policy to deobligate inactive contract obligations timely in accordance with the FAR. USCP evaluates the design and effectiveness of its internal control over the deobligation process to ensure timely deobligation. [REDACTED]
2017-02	FY 2016 FS	6	
		1.6	

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	Report Title	Recommendation Number	Recommendation
2008-08	Review of Compliance with United States Capitol Police 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. [REDACTED]
2012-04	AUP Time and Attendance System [REDACTED]	6	Time and Attendance – We recommended that USCP continue its efforts to automate fully its labor management system, [REDACTED]. In addition, we recommended that USCP consider integrating the Scheduler, Shift Trading functionalities, Leave Approval Interface, Virtual Time Clock, Electronic Timesheet Certifications, and others that would make its labor management system more efficient and effective. Such integration of functions would allow the Department to understand fully costs associated with performing a duty, such as staffing a door or entrance/exit point. [REDACTED]
2014-05	Performance Audit of Hazardous Materials Response Team [REDACTED]	1	HMRT – We recommended that USCP evaluate the SOPs for the Hazardous Materials Response Team (HMRT) as well as add controls that will confirm that the annual review process was completed and the HMRT and the Office of Policy and Management Systems guidance is consistent. [REDACTED]
[REDACTED]	[REDACTED]	1	[REDACTED]
2015-05	Performance Audit of United States Capitol Police Controls Over Proximity Cards [REDACTED]	1	Proximity Cards – We recommended that USCP update OHR policies and procedures related to proximity cards and require that the SSB remove access clearances for separated employees when notified by the OHR badging office. Policies should specifically state a required timeframe for OHR communication and SSB access removal. [REDACTED]
2015-08	Applying Agreed-Upon Procedures: United States Capitol Police Restricted Duty Program [REDACTED]	1	Restricted Duty – We recommended that USCP immediately update and implement its draft guidance for restricted duty to include updated information about organization elements and determine whether civilians should be beneficiaries of such a program in both Performance of Duty and Non-Performance of Duty cases. [REDACTED]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	Report Title	Recommendation Number	Recommendation
2015-08	Applying Agreed-Upon Procedures: United States Capitol Police Restricted Duty Program	2	Restricted Duty – We recommended that USCP immediately implement its draft guidance for restricted duty to ensure more transparency and accountability of its program by requiring one individual to be held accountable for the controls and compliance of the restricted duty program, which will assist in ensuring compliance and the integrity of the program. The draft guidance should specifically provide the OHR, restricted duty program manager, the authority to monitor the restricted duty program, ensuring that employees submit complete forms and appropriate medical documentation, and coordinating employees return to full unrestricted duty in a timely manner. [REDACTED]
2015-08	Applying Agreed-Upon Procedures: United States Capitol Police Restricted Duty Program	3	Restricted Duty – We recommended that USCP enforce the September 2011 draft interim time and attendance guidance to ensure that employees are using [REDACTED] time clocks; thereby, appropriately monitoring employees in a restricted duty status and ensuring individual time and attendance. [REDACTED]
2015-08	Applying Agreed-Upon Procedures: United States Capitol Police Restricted Duty Program	4	Restricted Duty – We recommended that USCP consider leave balances, multiple restricted duty assignments, and outside employment when assigning employees to restricted duty status. Furthermore, the Department should ensure that OHR receive restricted duty documentation to support assignments and provides consistent monitoring and employee enforcement of compliance with the program, which would identify any abusers of the program. [REDACTED]
2015-08	Applying Agreed-Upon Procedures: United States Capitol Police Restricted Duty Program	5	Restricted Duty – We recommended that USCP immediately identify restricted duty positions throughout the Department and document duties associated with such positions, ensuring that the number of employees in restricted duty status does not exceed the number of available positions/assignments and employees are held accountable for performing meaningful and constructive tasks for the organization. [REDACTED]
2015-08	Applying Agreed-Upon Procedures: United States Capitol Police Restricted Duty Program	6	Restricted Duty – We recommended that USCP establish a consistent process, which includes supporting evidence for revoking and restoring police powers and that such documentation is placed in the employee's personnel file. [REDACTED]
2015-08	Applying Agreed-Upon Procedures: United States Capitol Police Restricted Duty Program	7	Restricted Duty – We recommended that USCP consider reducing the maximum length of restricted duty assignments, ensuring compliance with established time requirements, and eliminating Non-Performance of Duty injury cases from the restricted duty program, which could potentially result in cost saving to the organization. [REDACTED]
2015-08	Applying Agreed-Upon Procedures: United States Capitol Police Restricted Duty Program	8	Restricted Duty – We recommended that USCP implement consistent monitoring and enforcement of employee compliance with restricted duty guidance, which should assist in identifying potential misuse or abuse of the program. [REDACTED]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	Report Title	Recommendation Number	Recommendation
2015-09	<i>Independent Accountants' Report on Agreed-Upon Procedures of United States Capitol Police Leave Restriction Status</i>	1	Leave Restriction Status – We recommended that USCP complete its review of guidance related to Leave Restriction Status, make necessary updates, and reissue in the proper format to provide adequate instructions for Leave Restriction Status as it relates to both employees and supervisors. [REDACTED]
2015-09	<i>Independent Accountants' Report on Agreed-Upon Procedures of United States Capitol Police Leave Restriction Status</i>	3	Leave Restriction Status – We recommended that USCP include a formal timeline requirement that OHR respond within 10 business days to a request for employee placement into a Leave Restriction Status. [REDACTED]
2015-09	<i>Independent Accountants' Report on Agreed-Upon Procedures of United States Capitol Police Leave Restriction Status</i>	5	Leave Restriction Status – We recommended that USCP consider adding progressive discipline for anyone with a continuing pattern of leave abuse such as when an employee or officer is in Leave Restriction Status, that individual is not eligible for promotion or officer-requested transfers. This would serve as a leave abuse deterrent and help avoid patterns going undetected, especially when officers request transfers. [REDACTED]
2015-10	<i>Performance Audit of the United States Capitol Police's Fiscal Year 2015 Information Security Program</i>	1	Information Technology – We recommended that USCP assign an appropriate official to (1) identify an appropriate risk management framework to implement Department-wide and (2) develop policies and procedures to implement the chosen risk management framework. [REDACTED]
2015-10	<i>Performance Audit of the United States Capitol Police's Fiscal Year 2015 Information Security Program</i>	2	Information Technology – We recommended that USCP assign an appropriate official to (1) identify the information security policies and corresponding procedures necessary to support the information security program Department-wide, (2) develop the identified policies and corresponding procedures, and (3) implement the finalized policies and procedures. [REDACTED]
2015-10	<i>Performance Audit of the United States Capitol Police's Fiscal Year 2015 Information Security Program</i>	4	Information Technology – We recommended that USCP assess whether it is viable and productive to place the OIS and Security Services Bureau information security resources under a common management oversight. [REDACTED]
2016-04	<i>Evaluation of the United States Capitol Police Division of Intelligence and Information Analysis</i>	1	Intelligence – We recommended that USCP update and formalize standard operating procedures for the Division of Intelligence and Information Analysis addressing all of its Sections including threat assessments, the "Open Source Newsletter," and security clearances. [REDACTED]
2016-04	<i>Evaluation of the United States Capitol Police Division of Intelligence and Information Analysis</i>	4	Intelligence – We recommended that USCP (1) establish strategic intelligence priorities and use them to inform analytic activities and (2) establish mechanisms for evaluating workforce initiatives and use results to determine any needed changes. [REDACTED]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	Report Title	Recommendation Number	Recommendation
2016-05	Performance Audit of the United States Capitol Police Public Web Site and Web Applications	2	Information Technology – We recommended that USCP provide management oversight of the staff responsible for password management. Staff should be apprised of the USCP policies and procedures and follow the guidance on a consistent basis. [REDACTED]
2016-05	Performance Audit of the United States Capitol Police Public Web Site and Web Applications	3	Information Technology – We recommended that USCP develop policies and procedures for public Web site applications. [REDACTED]
2016-07	Performance Audit of the United States Capitol Police Training Services Bureau	1	TSB – We recommended that USCP establish a policy directed toward operation of the Department and the Training Services Bureau, which includes reviewing, updating and approving all training documents, including the <i>Academy Rules and Training Standards</i> on a periodic basis, or more frequently as needed. [REDACTED]
2016-07	Performance Audit of the United States Capitol Police Training Services Bureau	3	TSB – We recommended that USCP update or establish the review and approval process for in-service training for its SOPs by clearly identifying training components and clarifying the responsible component for conducting training, and the frequency of training. If the Training Services Bureau is determined to be the provider of the training, the SOPs should include the Training Services Bureau in the review and approval process. [REDACTED]
2016-07	Performance Audit of the United States Capitol Police Training Services Bureau	5	TSB – We recommended that USCP immediately update Directive [REDACTED], dated October 19, 2012, or establish a new directive, which provides a listing of in-service training requirements and the frequency with which such training should occur. Guidance would provide for review and approval by the Chief of Police of an annual training plan with a long-term outlook, which could assist in achieving a vigorous and motivated workforce that is highly trained and armed with the necessary knowledge, skills, and abilities to achieve the Department mission. [REDACTED]
2016-10	Performance Audit of the United States Capitol Police Mobile Device Program	1	Information Technology – We recommended that USCP Office of Information Systems develop and fully implement policies and procedures to update mobile devices with the latest available patches, Bluetooth technology in accordance with best practices, and scanning systems and applications. The Office of Information Systems should further update its security assessment policies and procedures for mobile devices to reflect the use of current operating controls ensuring the System Security Plan meets the minimum-security requirements for mobile device management. [REDACTED]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	Report Title	Recommendation Number	Recommendation
2016-10	Performance Audit of the United States Capitol Police Mobile Device Program	3	Information Technology – We recommended that USCP Office of Information Systems identify and fully implement a whitelisting solution that covers all mobile device platforms operated by employees and contractors by whitelisting and vetting all third party applications (including pre-installed applications) before deployment of official mobile devices. [REDACTED]
2016-10	Performance Audit of the United States Capitol Police Mobile Device Program	4	Information Technology – We recommended that USCP Office of Information Systems develop a mechanism that will identify lines with no or limited use and inquire with the Department on a monthly basis to determine if the Office of Information Systems should discontinue the service, which could result in annual cost savings of about \$36,000. The Office of Information Systems also should monitor detailed phone usage reports, identify lines with excessive usage, and send a report to the applicable Bureau to inquire if usage was commensurate with the phone holder's responsibilities. Such monitoring should also identify emergency-use-only lines. [REDACTED]
2016-10	Performance Audit of the United States Capitol Police Mobile Device Program	7	Information Technology – We recommended that USCP Office of Information Systems modify the configuration baseline settings for mobile devices to ensure that they comply with Directive [REDACTED] dated October 19, 2012. [REDACTED]

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

When the final report is transmitted, OIG requests responses to the report and information on actions taken or planned on each of the recommendations directed within 45 days of the date of the memorandum. Actions taken or planned are subject to OIG follow-up and reporting in accordance with resolution procedures. OIG tracks the Department response on all recommendations through its Audit Resolution Tracking System. **As of March 31, 2017, USCP did not have any outstanding reports for which there has been no “establishment comment.”**

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

APPENDIX 3

PEER REVIEW REPORTING

Inspector General Peer Review Activity October 1, 2016 – March 31, 2017

External Peer Review Requirement

The audit organization should obtain an external peer review at least once every 3 years that is sufficient in scope to provide a reasonable basis for determining whether, for the period under review, the reviewed audit organization's system of quality control was suitably designed and whether the audit organization is complying with its quality control system in order to provide the audit organization with reasonable assurance of conforming with applicable professional standards (GAS 3.96) as *Government Auditing Standards* issued by the Comptroller General of the United States require.

Peer Review of USCP OIG Audit Organization



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

Next Peer Review to be Conducted by USCP OIG Audit Organization

CIGIE scheduled USCP OIG to conduct the external peer review of the Federal Labor Relations Authority for the period ended March 31, 2017.

USCP OIG issued its last Reviewing Inspector General Report on June 30, 2015, to the Federal Trade Commission OIG.

Table 1

Reports Issued with Questioned Costs² October 1, 2016, through March 31, 2017

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

² 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 Use³
October 1, 2016, through March 31, 2017

Category	Number of Reports	Dollar Value (in thousands)
For which no management decision has been made by the commencement of the reporting period	2	\$2,036
Which were issued during the reporting period	0	\$0
Subtotal	2	\$2,036
For which management decision was made during the reporting period	0	\$0
- dollar value of recommendations that were agreed to by management - based on proposed management action - based on proposed legislative action	0	\$0
dollar value of recommendations that were not agreed to by management	0	\$0
For which no management decision has been made by the end of the reporting period	2	\$2,036
Reports for which no management decision was made within 6 months of issuance	2	\$2,036

³ 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, 2016, through March 31, 2017

	Dollar Value (in thousands)
Recoveries	\$0
Fines and Restitutions	\$0
Investigative Cases Opened	5
Investigative Cases Closed	6
(Surveys, Analysis, Evaluations, Inspections, and Internal Control Reviews) Opened	2
(Surveys, Analysis, Evaluations, Inspections, and Internal Control Reviews) Closed	2
Arrests	0
Indictments	0
Convictions	0
Personnel Actions	0
Total Complaints Received	55
Hotline Complaints Received	50
Complaints from Other Sources	5
Complaints Referred (to the Department or other agencies)	9
Inspector General Subpoenas	0
Referrals to Prosecuting Authorities & Indictments from Prior Referrals	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.

UNITED STATES CAPITOL POLICE PROMOTION CEREMONY CONGRATULATIONS!



Source: USCP photograph.

On January 8, 2017, Steven S. Sund joined USCP as Assistant Chief of Police and Assistant Chief of Operations. Chief Verderosa swore him in at the promotion ceremony held on March 10, 2017. Welcome Assistant Chief Sund!



Source: USCP photograph.

IG Act Reporting Requirements

IG Act Section	IG Act Requirement	Page
Section 4(a)(2)	Review of Legislation and Regulations	3
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	6-9 11-15
Section 5(a)(2)	Recommendations for Corrective Action Made During the Reporting Period with Respect to Problems, Abuses, and Deficiencies	6-9 11-15
Section 5(a)(3)	Significant Recommendations Included in Previous Semiannual Reports on Which Corrective Action Has Not Been Completed	18-23
Section 5(a)(4)	Matters Referred to Prosecuting Authorities and Prosecutions and Convictions which Resulted	None
Section 5 (a)(5)	Summary of Reports Issued to the Head of the Establishment During the Reporting Period	6-9 11-12 14
Section 5(a)(6)	Reports Issued During the Reporting Period	17
Section 5(a)(7)	Summary of Particularly Significant Reports	6-9 11-15
Section 5(a)(8)	Questioned and Unsupported Costs (Statistical Table 1)	25
Section 5(a)(9)	Recommendations that Funds be put to Better Use (Statistical Table 2)	26
Section 5(a)(10)	Summary of Reports Issued before the commencement of the Reporting Period (A) for which no Management Decision has been made by the end of the Reporting Period; (B) for which no establishment comment was returned within 60 days of providing the report to the establishment; and (C) for which there are any outstanding unimplemented recommendations, including the aggregate potential cost savings of those recommendations.	25 23 26
Section 5(a)(11)	Significant Revised Management Decisions made during the Reporting Period	None

IG Act Section	IG Act Requirement	Page
Section 5(a)(12)	Management Decisions with which the Inspector General is in Disagreement	None
Section 5(a)(13)	Information Described Under Section 804(b) of the Federal Financial Management Improvement Act of 1996 (Specifically excluded by Public Law 109-55)	N/A
Section 5(a)(14-16)	Peer Review Reporting Requirements	24
Section 5(a)(17-18)	Statistical Tables and Metrics showing (A) Total Number of Issued Investigative Reports during the reporting period, (B and C) Referrals to Prosecuting Authorities for Criminal Prosecution, and (D) Indictments from Prior Referrals	27
Section 5(a)(19)	Investigations Involving a Senior Government Employee where Allegations of Misconduct were Substantiated	None
Section 5(a)(20)	Descriptions of Whistleblower Retaliation Investigations Closed and Not Disclosed to the Public (Whistleblower Protection Act protections are part of U.S. Merit Systems Protection Board authorities that do not apply to the Legislative Branch.)	N/A
Section 5(a)(21)	Attempts by the Agency to Interfere with IG Independence	None
Section 5(a)(22)	Description of circumstances of; (A) inspection, evaluation, and audit conducted and not disclosed to the public, and (B) investigation conducted involving a senior Government employee that was not disclosed to the public. (Release of information governed by 2 USC § 1979 applicable to Capitol Police Board regulations, policies and procedures.)	N/A

Working Relationship Principles for Agencies and Offices of Inspectors General

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

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

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

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

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

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

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

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

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

CONTACTING THE OFFICE OF INSPECTOR GENERAL

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

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



Toll-Free
1-866-906-2446

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



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



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

When making a report, convey as much information as possible such as: Who? What? Where? When? Why? Complaints may be made anonymously or you may request confidentiality.

Additional Information and Copies:

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

