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



Semiannual Report to Congress

UNITED STATES CAPITOL POLICE

OFFICE OF INSPECTOR GENERAL



October 1, 2017 — March 31, 2018

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 1,861 sworn and 351 civilian employees as of March 31, 2018.

Mission

Today's USCP officer has the primary responsibility of protecting life and property; preventing, detecting, and investigating criminal acts; and enforcing traffic regulations throughout a large complex of congressional buildings, parks, and thoroughfares. With the signing of Public Law 112-74, USCP was given jurisdiction over the Capitol Reflecting Pool and Union Square. On June 8, 2017, USCP's jurisdiction was further extended to include the O'Neill Building, resulting from Public Law 114-254, adding to its concurrent jurisdiction with other police agencies, including the United States Park Police and Metropolitan (D.C.) Police, of an area approximately 200 blocks around the Capitol Complex. USCP is also charged with the protection of Members of Congress, officers of Congress, and their families throughout the entire United States, its territories and possessions, and the District of Columbia.

Office of Inspector General

History

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

On July 12, 2006, the Chairman of the Capitol Police Board swore in the first IG for the Department at USCP Headquarters—the Eney, Chestnut, Gibson Memorial Building in Washington, D.C. On 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 (IG) 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, 2017, through March 31, 2018. The audits, investigations, and special reports we describe illustrate OIG continued efforts for promoting the efficiency and effectiveness of USCP programs and operations.

During this reporting period, Audits issued seven reports: *Annual Performance Plan, Fiscal Year 2018*, Report Number OIG-2018-01; *Top Management Challenges Facing the United States Capitol Police*, Report Number OIG-2018-02; *Audit of the United States Capitol Police Memorial Fund*, Report Number OIG-2018-03; *Independent Auditor's Report Financial Statements for Fiscal Years 2017 and 2016*, Report Number OIG-2018-04; *Management Letter Related to the Audit of the United States Capitol Police's Fiscal Year 2017 and 2016 Financial Statements*, OIG-2018-05; *Management Advisory Report: Potential Vendor Violation of United States Capitol Police Acquisition Policy*, OIG-2018-07, and *Analysis of the United States Capitol Police Monitoring of Internet Usage for Waste and Abuse*, OIG-2018-09. At the end of the reporting period, Audits had three ongoing projects—an assessment of workforce diversity, an analysis of compensatory overtime, and a follow-up on USCP controls over proximity cards.

Investigations issued two reports: [redacted] and *Performance Audit of the United States Capitol Police Specialty Pay Programs*, Report Number OIG-2018-08. At the end of the reporting period, Investigations had ongoing—an assessment of the USCP Advanced Law Enforcement Response Team Program, and [redacted]. Investigations continued to receive and evaluate Hotline complaints as well as conduct training with USCP personnel, including recruit officer classes.

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

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

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.

In closing, this is my final Semiannual Report to Congress, as I retired March 31, 2018. It has been an honor to serve as the USCP IG and a privilege to work with Members of Congress, the Board, and the Chief of Police to make the Department a more efficient and effective organization. Thank you for the support and assistance during my tenure as IG.

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, 2017, through March 31, 2018. During this reporting period and at the close of the fiscal year, OIG directed its available resources toward areas of greatest risk for the Department. The work we completed helped promote the economy, efficiency, effectiveness, and integrity of the Department's programs and operations. The accomplishments for each OIG component are summarized below.



OIG Audits issued seven reports: the OIG *Annual Performance Plan, Fiscal Year 2018*, Report Number OIG-2018-01; *Top Management Challenges Facing the United States Capitol Police*, Report Number OIG-2018-02; *Audit of the United States Capitol Police Memorial Fund*, Report Number OIG-2018-03; *Independent Auditor's Report Financial Statements for Fiscal Years 2017 and 2016*, Report Number OIG-2018-04; *Management Letter Related to the Audit of the United States Capitol Police's Fiscal Year 2017 and 2016 Financial Statements*, Report Number OIG-2018-05; *Management Advisory Report: Potential Vender Violation of United States Capitol Police Acquisition Policy*, Report Number OIG-2018-07; and *Analysis of the United States Capitol Police Monitoring of Internet Usage for Waste and Abuse*, Report Number OIG-2018-09. At the end of the reporting period, Audits had three ongoing projects—follow-up on workforce diversity; analysis of compensatory overtime; and follow-up on controls over proximity cards.



OIG Investigations issued an [redacted] and *Performance Audit of the United States Capitol Police Specialty Pay Programs*, Report Number OIG-2018-08. At the end of the reporting period, Investigations had ongoing an assessment of the USCP Advanced Law Enforcement Response Team Program and [redacted]

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.

EXECUTIVE SUMMARY (Cont'd)

Figure 1: The Assistant Inspector General for Audits receives award from CIGIE Chair and Vice-Chair.



Source: CIGIE photograph.

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 with other Inspectors General. During an October 2017 ceremony, CIGIE awarded the USCP Assistant Inspector General for Audits an award for excellence in auditing and leadership as shown in Figure 1.

On March 27, 2018, the Board and the Chief of Police hosted a farewell reception in honor of the IG's retirement as shown in Figures 2, 3, and 4.

Figure 2: Chief Verderosa presented IG a plaque for her 32 years of service.



Source: USCP photograph.

Figure 3: USCP Board recognized the IG's contributions to USCP at her retirement farewell.



Source: USCP photograph.

Figure 4: OIG Team presented the IG with a badge and credentials during her retirement reception.



Source: USCP photograph.

LEGISLATION MONITORED

IG reviewed and monitored the following legislation:

H.R. 378, *Bonuses for Cost-Cutters Act of 2017*

H.R. 732, *Stop Settlement Slush Funds Act of 2017*

H.R. 1625, Consolidated Appropriations Act, 2018

H.R. 2196, *To amend title 5, United States Code, to allow whistleblowers to disclose information to certain recipients*

H.R. 2810, *National Defense Authorization Act for Fiscal Year 2018*

H.R. 3848, *We the People Democracy Reform Act of 2017*

H.R. 3953, *Federal Election Administration Act of 2017*

H.R. 4043, *Whistleblower Protection Extension Act of 2017*

H.R. 4047, *Saving Federal Dollars Through Better Use of Government Purchase and Travel Cards Act of 2017*

H.R. 4124, *Uniting and Strengthening America by Reforming and Improving the Government's High-Tech Surveillance (USA RIGHTS) Act*

H.R. 4153, *Federal Law Enforcement and Public Protection Act*

H.R. 4174, *Foundations for Evidence-Based Policymaking Act of 2017*

H.R. 4195, *Congress Leads by Example Act of 2017*

H.R. 4395, *Geospatial Data Act of 2017*

H.R. 4396, *Member and Employee Training and Oversight On (ME TOO) Congress Act*

H.R. 4504, *Transparency in Government Act of 2017*

H.R. 4667, *Making further supplemental appropriations for the fiscal year ending September 30, 2018, for disaster assistance for Hurricanes Harvey, Irma, and Maria, and calendar year 2017 wildfires, and for other purposes*

H.R. 4917, *IG Subpoena Authority Act*

H.R. 5105, *Better Utilization of Investments Leading to Development (BUILD) Act of 2018*

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

S. 1654, *Email Privacy Act*

S. 1830, *Bonuses for Cost-Cutters Act of 2017*

S. 1856, *Stop Militarizing Law Enforcement Act*

S. 1869, *Whistleblower Protection Coordination Act*

S. 1880, *We the People Democracy Reform Act of 2017*

S. 1973, *BASIC Research Act*

S. 1997, *USA RIGHTS Act of 2017*

S. 2002, *Ensuring Protections for Intelligence Community Contractor Whistleblowers Act of 2017*

S. 2046, *Foundations for Evidence-Based Policymaking Act of 2017*

S. 2128, *Geospatial Data Act of 2017*

S. 2178, *Inspector General Recommendation Transparency Act of 2017*

S. 2195, *Judicial Transparency and Ethics Enhancement Act of 2017*

S. 2276, *GAO-IG Act*

S. 2374, *Stopping Improper Payments to Deceased People Act*

VALUE ADDED

One method used for measuring our value is tracking the outcome of the recommendations in our reports, as codified in the IG Act of 1978, as amended. Since Agency inception in 2006, OIG has made numerous recommendations for improving programs and operations. While working alongside the Department, during this reporting period OIG added value in several areas, which allowed the Department to make significant progress in promoting greater consistency in the disciplinary review process, enforcing vendor compliance, and resolving open recommendations.

Reorganization for Better Accountability

In our *Evaluation of the United States Capitol Police Disciplinary Process,* Report Number OIG-2017-01, dated December 2016, OIG made recommendations to promote greater accountability and consistency within the disciplinary review process. OIG recommended the Department establish a permanent office for discipline, which would provide a streamlined clearinghouse for disciplinary matters and oversight of the discipline process while at the same time assuring fairness and accountability.

On December 5, 2017, the Chief of Police (Chief) announced that in an effort to keep pace with the functional and programmatic changes that were occurring, the Department reviewed USCP's organizational structure to better align resources with its current and future operational and administrative mission. The Department replaced the Disciplinary Review Task Force effective January 1, 2018, and established the Office of Accountability and Improvement.

Enforcing Prohibition on Release of Information of Award

USCP interim guidance includes a standard term and condition titled *Prohibition on Release of Information of Award*, which restricts vendors from making advertisements or other information available about a contract with the Department. In our January 2018 *Management Advisory Report: Potential Vendor Violation of United States Capitol Police Acquisition Policy,* Report Number OIG-2018-07, OIG identified 12 websites containing information related to USCP contracts. We notified the Department that publicly available information related to specific Department contracts posted by vendors to the internet could undermine the Department's mission.

The Department immediately notified vendors of the violation of contract terms and conditions and requested information be removed from their websites. OIG rechecked the websites for news releases, press conferences, or advertising pertaining to USCP awards and found all prohibited information removed. Based on the Department's swift action, OIG closed its recommendation.

Significant Progress in Resolution of Open Recommendations

During this reporting period, the Department continues making progress in closing open recommendations. As the following table reflects, OIG closed 18 previously open recommendations, some of which were older than 6 months. OIG believes that in time the Department will be able to close all of the recommendations that are open.

Report Title	Report Number	Recommendations Closed
Audit of the United States Capitol Police's Fiscal Year 2015 Financial Statements	OIG-2016-01	1
Evaluation of the United States Capitol Police Division of Intelligence and Information Analysis	OIG-2016-04	1
Performance Audit of the United States Capitol Police Mobile Device Program	OIG-2016-10	1
Evaluation of the United States Capitol Police Disciplinary Process	OIG-2017-01	1
Analysis of the United States Capitol Police Backup and Recovery Capabilities	OIG-2017-06	1
Performance Audit of the United States Capitol Police Compliance with Federal Employees' Compensation Act	OIG-2017-07	1
Analysis of the United States Capitol Police Insider Threat Detection Program	OIG-2017-08	4
Performance Audit of the United States Capitol Police Purchase Card Program	OIG-2017-11	4
Analysis of the United States Capitol Police Overtime	OIG-2017-13	1
Audit of the United States Capitol Police Memorial Fund	OIG-2018-03	2
Management Advisory Report: Potential Vendor Violation of United States Capitol Police Acquisition Policy	OIG-2018-07	1
Total		**18**

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

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

- *Performance Audit of the United States Capitol Police Mobile Device Program*, OIG-2016-10
- *Analysis of the United States Capitol Police Insider Threat Detection Program*, OIG-2017-08
- *Audit of the United States Capitol Police Memorial Fund*, OIG-2018-03

PROACTIVE EFFORTS

Annual Performance Plan Fiscal Year 2018 (OIG-2018-01)

The *Annual Performance Plan for FY 2018* describes how OIG will achieve its mission of promoting economy, efficiency, effectiveness, and integrity while monitoring Department operations and programs. In setting our goals and objectives for FY 2018, OIG aligned its annual *Performance Plan* with both the *OIG Strategic Plan for FY 2014-2019* and the *USCP Strategic Plan for FY 2015-2019*. The plan reflects the priority work OIG believes is necessary for providing effective oversight of the broad spectrum of USCP programs and activities. Our strategic plan establishes a life-cycle approach to our outputs that track individual actions or critical milestones for identifying the results of our work. For FY 2017, OIG exceeded performance targets for all five performance measures, which we reported in our FY 2018 plan.

Strategic Goal	Performance Goals
(1) Security	Strengthen USCP's ability to implement security protocols and measures to respond promptly and with the right resources to threats, disruptions, or other unlawful activities to quickly and safely return Congress to normal operations.
(2) Stewardship Over Resources	Increase the efficiency and effectiveness with which USCP manages internal business processes in support of mission responsibilities and exercises stewardship over its resources.
(3) Management Improvement Initiatives	Support USCP in implementing its management improvement initiatives.
(4) Qualified Diverse Workforce	Strive for a highly qualified diverse workforce with the tools and training necessary to continuously enhance OIG's ability to fulfill its mission and communicate its accomplishments.

Performance Measures	FY 17 Target	FY 17 Actual	FY 18 Target
(1) Percentage of OIG completed jobs demonstrating a link to critical, high-risk, or USCP's management challenges. (OIG Goal 1 and 2)	90%	100%	90%
(2) Percentage of recommendations accepted by management. (OIG Goal 1, 2, and 3)	90%	94%	90%
(3) Percentage of projects initiated where OIG presents the findings and recommendations to the Department within established timeframes (work projects 6 months from the notification memorandum to issuance of the final report). (OIG Goal 2 and 3)	90%	100%	90%
(4) Percentage of projects accomplished set in our annual plans. (OIG Goal 2 and 3)	90%	95%*	90%
(5) Percentage of professional staff possessing degrees; seeking relevant higher education; maintaining relevant, professional certification and education. (OIG Goal 4)	90%	100%**	100%

Source: USCP OIG FY 2017 Annual Performance Plan.

*During FY 2017, OIG adjusted its annual plan to conduct several congressional requests (*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 Overtime*, Report Number OIG-2017-13). OIG completed the two requested projects, which resulted in OIG carrying over three planned projects to FY 2018. In addition, OIG sent two full-time equivalents (FTEs) to the Federal Law Enforcement Training Center for basic criminal investigative training resulting in a loss of two FTEs for about 4 months. **All OIG staff members hold professional degrees and 75 percent of the staff obtained certifications such as Certified Public Accountant, Certified Fraud Examiner, and Certified Information System Auditor, which will assist in conducting more complex projects such as the annual financial statements and cybersecurity audits. In addition, 100 percent of the investigative staff are trained in audits and investigations and 60 percent of the audit staff also are trained in investigations.

Top Management Challenges Facing the United States Capitol Police (OIG-2018-02)

The *Reports Consolidation Act of 2000* requires that OIGs identify and report each year on the most serious management challenges agencies face. In October 2017, OIG issued the FY 2018 top management challenges for the Department, which include protecting and securing the Capitol Complex; strengthening cybersecurity strategies to address increasing threats; integrated internal control systems; managing Federal contracting more effectively; and human capital management.

Outreach Activities

As part of a continued effort in promoting accountability through heightened awareness of the OIG role, mission, and services, we actively participated in presentations to Department managers and employees as shown in Figures 5 and 6. We believe this initiative to be proactive and vital toward strengthening accountability by providing fraud prevention and awareness training to Department personnel.

Figure 5: The Assistant Inspector General for Investigations conducts training and outreach with recruit officers.



Source: OIG photograph.

Figure 6: The Assistant Inspector General for Audits conducts training and outreach with new employees.



Source: OIG photograph.



AUDITS – ISSUED REPORTS

Audit of the United States Capitol Police Memorial Fund (OIG-2018-03)



On August 4, 2017, Congress passed the *Wounded Officers Recovery Act*, Public Law 115-45, which authorizes the Board to use the Memorial Fund (Fund) to disburse payments to USCP employees who sustain serious injuries in the line of duty, specifically, amounts for treatment received in response to the shooting incident involving Capitol Police officers at a practice on June 14, 2017, for the annual Congressional Baseball Game for Charity. According to the legislation establishing the Fund, Public Law105-223,[1] the Board is responsible for administering and managing the Fund, established in the Department of the Treasury (Treasury), including determining the timing and manner of disbursements from the Fund. Board regulations state that the USCP Director of the Office of Financial Management (OFM) is responsible for receiving contributions to the Fund, depositing contributions, and recording contributions in the Department's financial management system.

In accordance with its FY 2018 Annual Plan, OIG initiated an audit of the Fund. Our objectives were to determine if USCP (1) properly accounted for contributions and distributions made to and from the Fund, (2) established adequate internal controls over Fund processes, and (3) complied with applicable laws, Board regulations, and guidance pertaining to management and administration of the Fund. Our scope included contributions received from October 1, 2016, through September 30, 2017. USCP did not make any distributions from the Fund during that period. As of November 16, 2017, the Department did not have new regulations from the Board to effect operation of the new legislation.

Overall, the Department properly accounted for contributions made to and from the Fund. According to OFM records, the Fund received 39 contributions totaling [redacted] in FY 2017 and as of September 30, 2017, had a balance of [redacted]. The Department complied with Board and USCP regulations related to the Memorial Fund.

OIG made two recommendations to improve controls over the Fund, which the Department fully implemented during this reporting period.

[1] Public Law 105-223, *Establishment of United States Capitol Police Memorial Fund*, August 7, 1998. Congress established the Fund on behalf of the families of Detective Gibson and Private First Class Chestnut, who were killed in the line of duty, July 24, 1998.

AUDITS – ISSUED REPORTS (Cont'd)

Independent Auditor's Report Financial Statements for Fiscal Years 2017 and 2016 (OIG-2018-04)



On December 15, 2017, OIG issued USCP's annual financial statement audit for the period ending September 30, 2017. Our objective 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 our *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, 2017, and 2016, 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 our *Independent Auditor's Report on Internal Control over Financial Reporting*, OIG rendered an adverse opinion with one material weakness concerning payroll.

The USCP Office of Human Resources (OHR) made limited progress toward correcting payroll related findings. For the three findings and recommendations open in FY 2016, all three were repeated in FY 2017. During FY 2017, the Department implemented new controls related to time and attendance attestations and certifications. The new controls began to shift the attestation and certification responsibilities to employees and supervisors, and away from OHR. We concluded that the repeated OHR payroll findings constituted a material weakness.

The Office of Financial Management and the Office of Acquisition Management (OA) made substantial progress on the finding related to untimely de-obligation of outstanding undelivered orders reported as a significant deficiency in FY 2016. Testing conducted for the FY 2017 audit did not identify any exceptions. Based on the OFM and OA efforts, OIG closed the finding related to undelivered orders and open obligations.

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

AUDITS – ISSUED REPORTS (Cont'd)

Management Letter Related to the Audit of the United States Capitol Police's Fiscal Years 2017 and 2016 Financial Statements (OIG-2018-05)

The management letter, prepared by OIG, discusses a number of internal control deficiencies identified during the audit of the FY 2017 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. OIG will evaluate compliance during future audits of USCP financial statements.



Management Advisory Report: Potential Vendor Violation of United States Capitol Police Acquisition Policy (OIG-2018-07)



During our January 2, 2018, limited review of websites of vendors claiming to do business with the USCP, OIG found activity that potentially violated the standard contractual terms and conditions outlined in [redacted],[2] dated September 20, 2011.

USCP interim guidance includes standard terms and conditions titled *Prohibition on Release of Information of Award*, which restricts vendors from making advertisements or other information available about a contract with the Department without written authorization.

According to the USCP Contracting Officer, the Department has not provided written authorization to any vendor to release information related to a USCP award or work. Yet, OIG identified 12 websites with information related to vendors doing business with USCP. For example, one contractor had a lengthy description of human resources support services provided to the Department stating, "The United States Capitol Police was facing Human Resource (HR) operational setbacks due to the loss of experienced federal HR practitioners, a shortage of quality contractors with Federal HR expertise . . . USCP sought out the help . . . to tackle these challenges because of our excellent reputation in the market." Even if the vendor had received written approval from USCP, this post seems to imply that USCP prefers the work of this contractor or that this contractor is superior to other vendors. This appears to be a direct violation of the standard terms and conditions. The guidance clearly states, "If written authorization for use is provided, the announcement shall be composed in such a manner as not to state or imply that the product or service provided is endorsed or preferred by the USCP or is considered by the USCP to be superior to other products or services."

Publicly available information related to specific Department contracts could undermine the Department's mission. Furthermore, without written approval from the Contracting Officer, such information is in violation of the standard terms and conditions listed in the interim guidance. OIG made two recommendations which the Department agreed to implement.

[2] Interim Policy was not numbered.

Analysis of the United States Capitol Police Monitoring of Internet Usage for Waste and Abuse (OIG-2018-09)



OIG conducted an analysis of the USCP monitoring of internet usage for waste and abuse to determine if the Department possessed (1) the capability for monitoring internet usage, and (2) the ability to identify, and respond to, potential waste or abuse. Our scope included controls, processes, and operations during FY 2017. In certain instances, we analyzed data from FY 2018 because the Office of Information Systems (OIS) monitoring tools contained only a limited amount of historical information.

While the Department had tools for monitoring, capturing, and reviewing internet usage and activities across the USCP network, opportunities existed for enhancing capabilities. For example, the Department [redacted]

USCP Directive [redacted], should be updated to clarify *de minimis* use of resources for personal use when "such uses are performed without measurable interference to the performance of the official duties." The Directive did not define "measurable interference" or identify internet activities deemed counterproductive or negatively affecting an employee's productivity. Because it primarily monitors internet traffic for malicious activity, OIS did not fully incorporate methods of internet use monitoring that would identify waste or abuse.

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

AUDITS – ON-GOING PROJECTS

Assessment of the USCP Workforce Diversity

In accordance with our FY 2018 annual plan, OIG began an assessment of workforce diversity in the Department. OIG objectives are to determine if (1) the Department has properly designed a diversity program that yields desired results, (2) evaluate the accuracy and completeness of complaints and discrimination data reported to stakeholders, and (3) assess the status of recommendations made in the previous diversity audit.[3] Our scope includes program policies in effect as of January 2, 2018, and data collected during the 5 previous years—2012 through 2017.

OIG expects to issue a report on or before April 30, 2018.

Analysis of the USCP Compensatory Overtime

In accordance with our FY 2018 annual plan and congressional interest, OIG began an analysis of the Department's use of compensatory time. Our objectives are to (1) evaluate the financial impact of compensatory time, and (2) assess the effectiveness of the current policies and procedures. Our scope will include overtime hours (monetary compensation and comp time) for calendar years (CYs) 2014 through 2017.

OIG expects to issue a report on or before April 30, 2018.

Follow-up on the USCP Controls over Proximity Cards

In response to the Government Accountability Office, High Risk Series,[4] OIG began follow-up work on the Department's implementation of recommendations contained within our April 2015 report, *Performance Audit of United States Capitol Police Controls over Proximity Cards*, Report Number OIG-2015-05. Our objectives are to confirm that the Department took the appropriate corrective actions, and controls the Department implemented were operating efficiently and effectively. Our scope will include existing controls over proximity cards for FY 2017 through February 28, 2018, related to implementation of recommendations outlined in our previous report.

OIG expects to issue the report on or before May 31, 2018.

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[3] *Audit of United States Capitol Police Workforce Diversity*, Report Number OIG-2008-05, July 2008.

[4] https://www.gao.gov/highrisk/govwide_security_clearance_process/why_did_study
Personnel Security Clearance: Additional Actions Needed to Ensure Quality, Address Timeliness, and Reduce Investigation Backlog, GAO-18-29 (December 12, 2017) and *Personnel Security Clearances: Plans Needed to Fully Implement and Oversee Continuous Evaluation of Clearance Holders*, GAO-18-117 (November 21, 2017).

AUDITS – TERMINATED PROJECTS

Terminated Performance Audit of the USCP Wireless Network and Devices



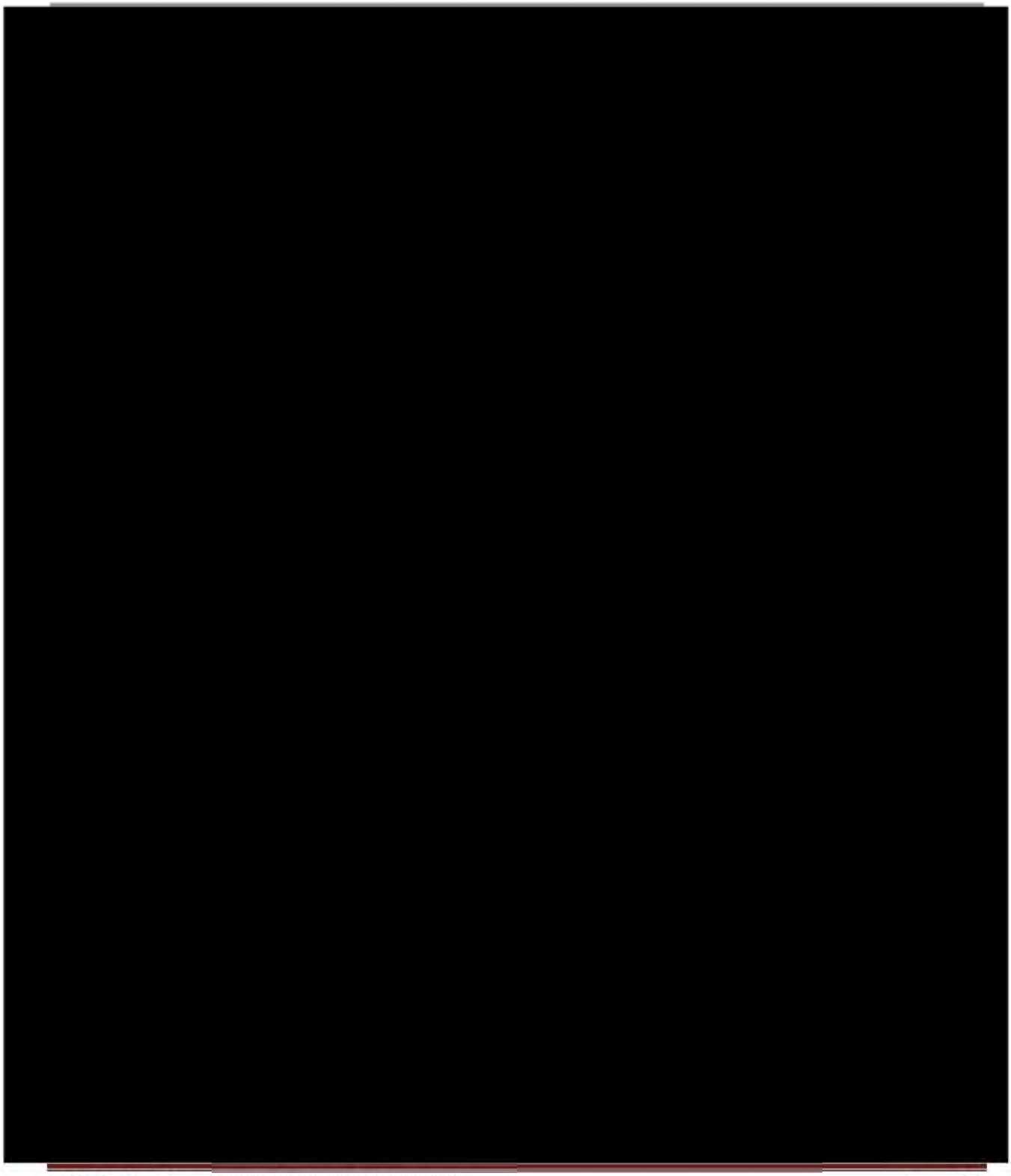
On September 14, 2017, OIG conducted an entrance conference with respect to the USCP wireless network and devices. Our objective was to conduct a performance audit of the USCP wireless network and devices. Our scope was to include controls, processes, and operations during FY 2017.

Subsequent to our entrance conference, OIG learned that the Department's project execution plans for the implementation of a wireless local area network will be multi-phased and not fully implemented until the end of 2019.

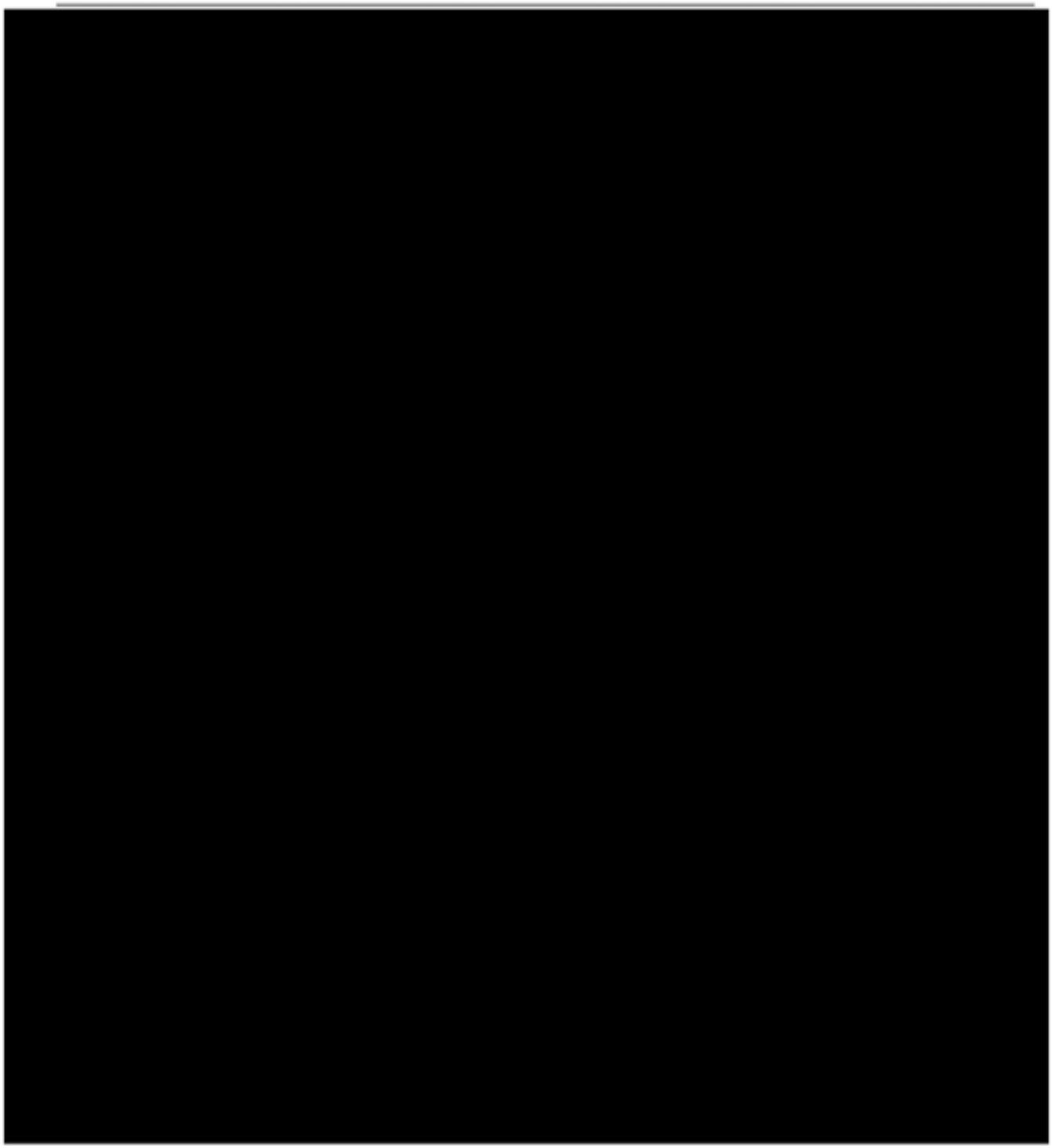
On December 7, 2017, the Department requested that OIG realign this planned audit to coincide with planned project milestones. OIG terminated this audit based on our assessment of the Department's request, which will allow for a more meaningful audit and potentially add more value to the Department.

OIG will revisit the wireless network and devices audit in the future as information systems and technology continues to be high risk and cyber threats become increasingly sophisticated and more numerous.

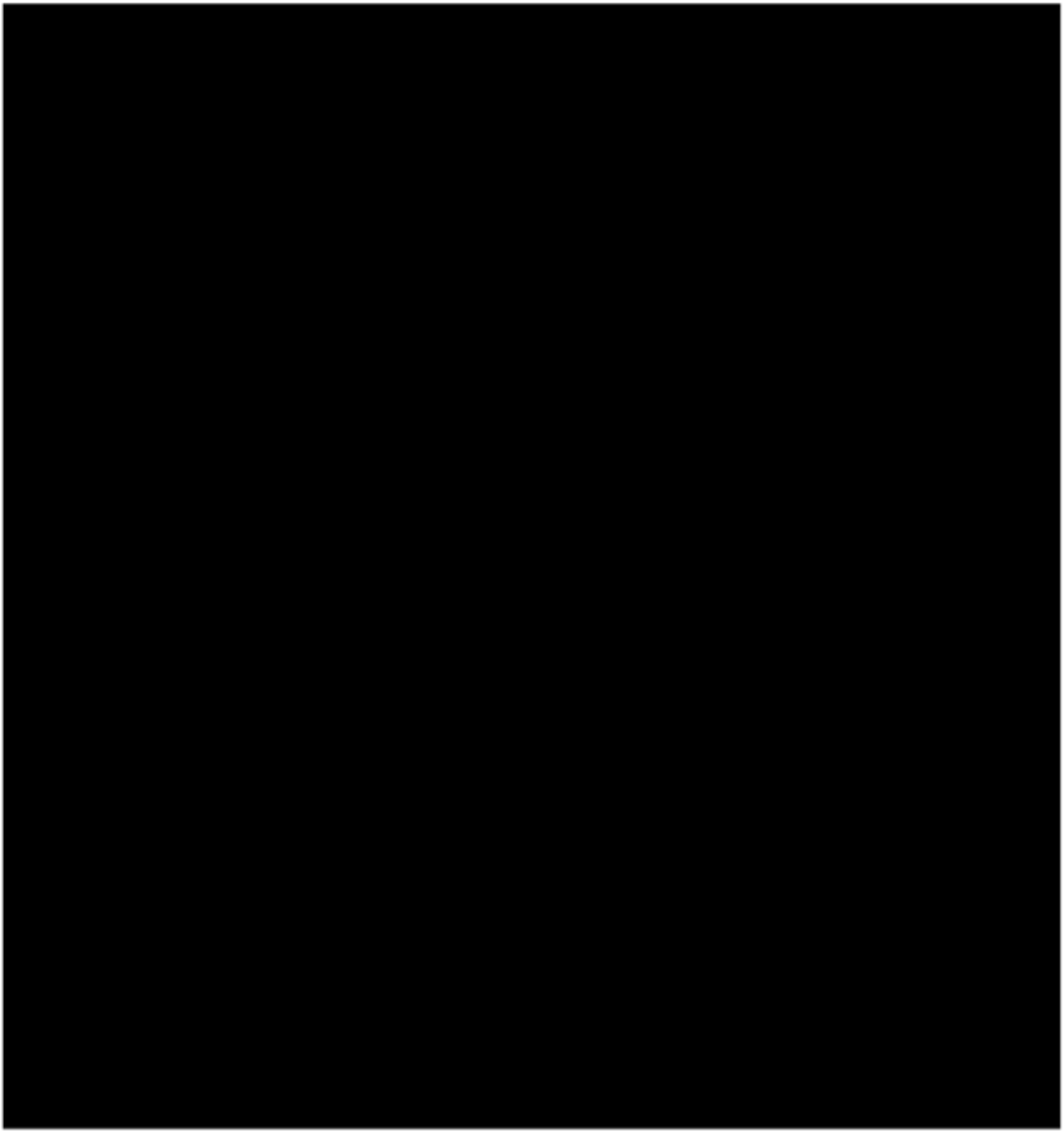
INVESTIGATIONS – ISSUED REPORTS



INVESTIGATIONS – ISSUED REPORTS (Cont'd)



INVESTIGATIONS – ISSUED REPORTS (Cont'd)



Performance Audit of the United States Capitol Police Specialty Pay Programs (OIG-2018-08) (Investigative Number 2017-I-0012)

Section 1931, title 2 of the United States Code (2 U.S.C. §1931) authorizes the Chief to establish and determine positions within USCP as specialty assignments or ones requiring certain proficiencies eligible for special compensation. The Chief designated various positions as eligible for Hazardous Duty Pay, Plainclothes Pay, or Field Training Officer (FTO) Pay.

The Department's OHR is responsible for managing payments in an effective and efficient manner as well as reviewing relevant documentation for ensuring accuracy and compliance with guidance. To document and certify specialty pay, the Department uses Form [redacted]. Guidance for monitoring positions eligible for Specialty Pay Programs are contained in USCP Directive [redacted], dated January 9, 2015; USCP Directive [redacted], dated February 21, 2017; USCP Directive [redacted], dated February 3, 2014; USCP Administrative Directive [redacted], dated November 1, 2003; and USCP Directive [redacted], dated November 18, 2014.

In 2008, OIG conducted an agreed upon procedures engagement of specialty pay[7] and made nine recommendations. As of September 15, 2014, the Department had fully implemented the recommendations. We conducted a performance audit to assess the Department's compliance with governing directives and effectiveness of controls for specialty pays. The objectives of the audit were to determine if the Department (1) properly accounted for Specialty Pay Programs and (2) complied with applicable directives related to the personnel compensation programs such as eligibility requirements. The scope included the Hazardous Duty Pay, Plainclothes Pay, and FTO Pay during FY 2016 and 2017.

Although the Department updated its accounting system to capture costs by budget object class for each type of specialty pay, controls were not adequate and did not ensure the Department properly accounted for Specialty Pay Programs. As a result, applicable directives need updating to:

- Identify responsible individuals or organizational elements for ensuring that maximum annual rate of pay is not exceeded and the process for adjusting amounts when the annual rate of pay is exceeded.
- Reflect an adjustment from 5 to 8 percent of annual base salary for hazardous duty pay.

[7] *Review of Specialty Assignment and Proficiency Pay Programs*, Report Number OIG-2008-06, July 2008.

Performance Audit of the United States Capitol Police Specialty Pay Programs (OIG-2018-08) (Investigative Number 2017-I-0012)

- Reflect issuance of USCP Directive [redacted], dated April 7, 2015, describing criteria for receiving such pay.
- Identify the methodology for calculating and documenting the FTO pay review.

The Department did not (1) maintain adequate evidence demonstrating compliance with the specialty pay criteria, (2) consistently use and complete the required forms before issuing specialty payments, and (3) ensure recipients submitted forms in accordance with policies and procedures. For example, Directive [redacted] requires that FTOs submit [redacted]s at the end of each pay period. However, employees accumulated [redacted] and submitted two or more forms at one time. The accumulated [redacted] often covered multiple pay periods and at times, the forms covered payments spanning two fiscal years, which could have resulted in assigning costs to the wrong appropriation or ended up misstating expenses in its annual financial statements. The noncompliance issues resulted in questioned costs of $311,592[8] for unauthorized or unsupported payments.

Updating and communicating policies and procedures, applicable directives, and forms as well as establishing formal processes for recalculating pay review would strengthen the internal controls, administration, and management of these personnel compensation programs would ensure better compliance with the program.

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

[8] A "questioned cost" denotes that one or more of the following 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.

INVESTIGATIONS – ON-GOING PROJECTS

Assessment of the USCP Advanced Law Enforcement Response Team (Investigative Number 2018-I-0001)

In accordance with the OIG FY 2018 annual plan, OIG will conduct an assessment of the USCP Advanced Law Enforcement Response Team (ALERT) Program to determine if USCP has (1) established controls and processes for ensuring ALERT is organized, trained, and equipped to respond safely, effectively, and efficiently to major incidents and (2) complied with applicable policies and procedures as well as applicable laws, regulations and best practices. Our scope will include procedures during FYs 2016 and 2017. We conducted an entrance conference on February 15, 2018.



OIG expects to issue the report on or before April 30, 2018.

Inquiry into Circumstances Surrounding the Unsuccessful Completion of USCP Recruit Officer Training Class 191 (Investigative Number 2018-I-0002)

At the request of the USCP Chief Administrative Officer and the Board, OIG began an inquiry into the circumstances surrounding the unsuccessful completion for 16 of 48 recruits assigned to recruit officer training. OIG's inquiry will include the hiring and recruiting process for Recruit Officer Class (ROC) 191, training, and opportunities or steps that will ensure successful completion of ROC 191 for the period December 2017 through March 2018.

OIG expects to issue a report on or before May 31, 2018.

APPENDIX 1
REPORTS ISSUED

Report Number	Report Title
OIG-2018-01	*Annual Performance Plan Fiscal Year 2018*
OIG-2018-02	*Top Management Challenges Facing the United States Capitol Police*
OIG-2018-03	*Audit of the United States Capitol Police Memorial Fund*
OIG-2018-04	*Independent Auditor's Report Financial Statements for Fiscal Years 2017 and 2016*
OIG-2018-05	*Management Letter Related to the Audit of the United States Capitol Police's Fiscal Years 2017 and 2016 Financial Statements*
[redacted]	[redacted]
OIG-2018-07	*Management Advisory Report: Potential Vender Violation of United States Capitol Police Acquisition Policy*
OIG-2018-08	*Performance Audit of the United States Capitol Police Specialty Pay Programs (Investigative Number 2017-I-0012)*
OIG-2018-09	*Analysis of the United States Capitol Police Monitoring of Internet Usage for Waste and Abuse*
Total: 9	

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, 2018, OIG made a total of 388 recommendations to the Department since OIG inception. Of those 388 recommendations, the Department has fully implemented (or closed) 330, one of which the Department closed prior to issuance of the final report. Of the remaining 58 open unimplemented recommendations, 35 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 2011-01 2012-02 2013-01 2014-01 2015-01 2016-01 2017-02 2018-04	*FY 2008 FS* *FYs 2010/2009 FS* *FY 2011 FS* *FY 2012 FS* *FY 2013 FS* *FY 2014 FS* *FY 2015 FS* *FY 2016 FS* *FY 2017 FS*	Repeat Finding 1.2 1.1 1.1 1.1 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. [redacted]
2009-01 2011-01 2012-02 2013-01 2014-01 2015-01 2016-01 2017-02 2018-04	*FY 2008 FS* *FYs2010/2009 FS FY 2011 FS* *FY 2012 FS* *FY 2013 FS* *FY 2014 FS* *FY 2015 FS* *FY 2016 FS* *FY 2017 FS*	Repeat Finding 1.6 1.4 1.3 1.3 1.3 1.3 1.2 1.2 1.2	**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]
2009-01 2011-01 2012-02 2013-01 2014-01 2015-01 2016-01 2017-02 2018-04	*FY 2008 FS* *FYs 2010/2009 FS FY 2011 FS* *FY 2012 FS* *FY 2013 FS* *FY 2014 FS* *FY 2015 FS* *FY 2016 FS* *FY 2017 FS*	Repeat Finding 1.9 1.6 1.4 1.4 1.4 1.4 1.3 1.3 1.3	**Payroll Processing** – We recommended that USCP ensure that its employees comply with USCP Special Directive [redacted] addressing responsibility to record daily worked hours using [redacted] time clocks. We also recommended that USCP enhance its procedures for monitoring employees who show a pattern of not clocking in or out and verify if hours entered in [redacted] are actual hours the employees worked. [redacted]

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. **Repeat Finding**: Recommendation 1: Evaluation of Compliance with USCP Hiring Standards, Directive [redacted] – OIG-2017-04 [redacted]
[redacted]	[redacted]	[redacted]	[redacted]
2015-05	*Performance Audit of United States Capitol Police Controls Over Proximity Cards*	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*	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]
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]

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*	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]
2015-09	*Independent Accountants' Report on Agreed-Upon Procedures of United States Capitol Police Leave Restriction Status*	1	**Leave Restriction Status –** We recommended that USCP complete its review of guidance related to Leave Restriction Status, make necessary updates, and reissue in the proper format to provide adequate instructions for Leave Restriction Status as it relates to both employees and supervisors. [redacted]
2015-09	*Independent Accountants' Report on Agreed-Upon Procedures of United States Capitol Police Leave Restriction Status*	3	**Leave Restriction Status –** We recommended that USCP include a formal timeline requirement that OHR respond within 10 business days to a request for employee placement into a Leave Restriction Status. [redacted]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	**Report Title**	**Recommendation Number**	**Recommendation**
2015-09	*Independent Accountants' Report on Agreed-Upon Procedures of United States Capitol Police Leave Restriction Status*	5	**Leave Restriction Status** – We recommended that USCP consider adding progressive discipline for anyone with a continuing pattern of leave abuse such as when an employee or officer is in Leave Restriction Status, that individual is not eligible for promotion or officer-requested transfers. This would serve as a leave abuse deterrent and help avoid patterns going undetected, especially when officers request transfers. [redacted]
2016-04	*Evaluation of the United States Capitol Police Division of Intelligence and Information Analysis*	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]
2016-07	*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 [redacted] 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]
2017-01	*Evaluation of the United States Capitol Police Disciplinary Process*	1	**CDP** – We recommended that USCP immediately update and formalize its policies and procedures on Discipline in order to equip employees with the knowledge that will ensure compliance. [redacted]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	**Report Title**	**Recommendation Number**	**Recommendation**
2017-01	*Evaluation of the United States Capitol Police Disciplinary Process*	2	**COP –** We recommended that USCP provide annual training to managers related to correcting employee behavior through the performance or the misconduct adverse action systems, which have different standards and requirements. [redacted]
2017-05	*Performance Audit of United States Capitol Police Compliance with Employee Performance Standards*	1	**Performance Standards –** We recommended that USCP update the Directives [redacted], dated May 28, 2012, and [redacted] dated May 28, 2012, to include controls for issuance, completion, monitoring, and documentation that will ensure accountability of the appraisal program. Monitoring should include a requirement for periodic reports to Commanders and Office Directors on the status of incomplete appraisals. [redacted]
2017-05	*Performance Audit of United States Capitol Police Compliance with Employee Performance Standards*	2	**Performance Standards –** We recommended that USCP hold supervisors accountable for timely completion of performance plans and feedback to subordinates and document such efforts in annual appraisals for supervisors, thereby, ensuring accountability and compliance with directives. [redacted]
2017-05	*Performance Audit of United States Capitol Police Compliance with Employee Performance Standards*	3	**Performance Standards –** We recommended that OHR use [redacted] to enhance monitoring, reporting, and documenting of employee appraisals. [redacted]
2017-06	*Analysis of the United States Capitol Police Backup and Recovery Capabilities*	3	**Information Technology –** We recommended that USCP define Department-level mission essential functions. Once Department-level mission essential functions are established, we recommend each bureau align business priorities that satisfy mission essential function requirements. USCP should also develop Department-level a continuity of operations plan (CONOPS). Once the Department approves such a plan, each bureau must ensure that its plan aligns with the Department requirements. [redacted]
2017-06	*Analysis of the United States Capitol Police Backup and Recovery Capabilities*	5	**Information Technology –** We recommended that USCP establish a Memorandum of Understanding [redacted]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	**Report Title**	**Recommendation Number**	**Recommendation**
2017-07	*Performance Audit of the United States Capitol Police Compliance with the Federal Employees' Compensation Act*	1	OHR – We recommend that the USCP update its directives requiring that the OHR establish a monitoring system for periodic review of workers' compensation cases. The Department should also update USCP Directive [redacted] dated November 19, 2012, to include detailed instructions on how to maintain monitoring records including procedures for questioning workers' compensation payments. [redacted]
2017-07	*Performance Audit of the United States Capitol Police Compliance with the Federal Employees' Compensation Act*	3	OHR – We recommend that the United States Capitol Police, Office of Human Resources, establish standard operating procedures for reporting suspected fraud, waste, and abuse of its Workers' Compensation Program to the United States Capitol Police Office of Inspector General. [redacted]
2017-07	*Performance Audit of the United States Capitol Police Compliance with the Federal Employees' Compensation Act*	4	OHR – We recommend that the United States Capitol Police update its policies and procedures to reflect compliance with proper receipt and retention of documentation through its recordkeeping system. [redacted]
2017-11	*Performance Audit of the United States Capitol Police Purchase Card Program*	2	OFM – We recommend that the United States Capitol Police develop and fully implement a Department-wide monitoring and oversight program plan that will ensure authorized employees make, record, report, and/or approve purchase card transactions in accordance with the Department [redacted] guidance. [redacted]
2017-11	*Performance Audit of the United States Capitol Police Purchase Card Program*	3	OFM – We recommend that the United States Capitol Police enforce and monitor application of appropriate budget object classification codes as Directive [redacted] dated April 25, 2017, prescribe and reference the Directive in the [redacted] [redacted]
2017-11	*Performance Audit of the United States Capitol Police Purchase Card Program*	4	OFM – We recommend that the United States Capitol Police (a) immediately develop and implement a process by which card holders complete monthly reconciliation packages and certification reports within established timeframes, ensuring that documentation is available, legible, accurate, and in agreement. (b) provide and maintain adequate supporting documentation so that an appropriate determination can be made regarding multiple transactions and issues with questioned costs totaling $137,284. See Appendix B for *Schedule of Questioned Costs*. [redacted]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	**Report Title**	**Recommendation Number**	**Recommendation**
2017-11	*Performance Audit of the United States Capitol Police Purchase Card Program*	7	OFM – We recommend that the United States Capitol Police immediately improve training by developing a method of tracking and monitoring training for purchase card holders and ensuring that those card holders and approving officials understand their roles and responsibilities. The Department should also suspend any purchase cards accounts for card holders who do not comply with the required training. [redacted]
2017-13	*Analysis of the United States Capitol Police Overtime*	2	CDO – We recommend that the United States Capitol Police develop clear and cogent written procedures regarding the preparing, distributing, reporting, and monitoring of overtime data to ensure that others understand the overtime process. [redacted]

Source: OIG generated from its Audit Recommendation Tracking System.



RECOMMENDATION RESOLUTION PROCESS

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

When the final report is transmitted, OIG requests responses to the report and information on actions taken or planned on each of the recommendations directed within 45 days of the date of the memorandum. Actions taken or planned are subject to OIG follow-up and reporting in accordance with resolution procedures. OIG tracks the Department response on all recommendations through ARTS. **As of March 31, 2018, USCP did not have any outstanding reports for which there was no "establishment comment."**

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



REPORT RESTRICTION LANGUAGE

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

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

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



APPENDIX 3
PEER REVIEW REPORTING

Inspector General Peer Review Activity
October 1, 2017 - March 31, 2018

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.

CIGIE has scheduled the Postal Regulatory Commission to conduct our next external peer review of USCP's OIG Audit Organization for the period ended September 30, 2019.

Peer Review Conducted by USCP OIG Audit Organization

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

Table 1

Reports Issued with Questioned Costs[9]
September 30, 2017, through March 31, 2018

Category	(Dollars in Thousands)		
	No. of Reports	Questioned Costs	Unsupported Costs
For which no management decision has been made by the commencement of the reporting period	0	$0	$0
Which were issued during the reporting period	1	$311,592	$310,392
Subtotal	1	$311,592	$310,392
For which a management decision was made during the reporting period			
• dollar value of disallowed costs	1	$137,284	$65,106
• dollar value of cost not disallowed	1	$137,284	$65,106
For which no management decision has been made by the end of the reporting period	1	$311,592	$310,392
Reports for which no management decision was made within 6 months of issuance	0	$0	$0

Source: OIG generated from ARTS
Amounts rounded to nearest thousand

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

Table 2

Reports Issued with Recommendations that Funds Be Put to Better Use[10]
September 30, 2017, through March 31, 2018

Category	Number of Reports	Dollar Value (in thousands)
For which no management decision has been made by the commencement of the reporting period	1	$2,000
Which were issued during the reporting period	0	$0
Subtotal	0	$0
For which management decision was made during the reporting period	0	$0
• dollar value of recommendations that were agreed to by management o based on proposed management action o based on proposed legislative action	0	$0
• dollar value of recommendations that were not agreed to by management	0	$0
For which no management decision has been made by the end of the reporting period	1	$2,000
Reports for which no management decision was made within 6 months of issuance	1	$2,000

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

[10] 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
September 30, 2017, through March 31, 2018

	Dollar Value (in thousands)
Recoveries	$0
Fines and Restitutions	$0
Investigative Cases Opened	1
Investigative Cases Closed	0
(Surveys, Analysis, Assessments, Evaluations, Inspections, and Internal Control Reviews) Opened	1
(Surveys, Analysis, Assessments, Evaluations, Inspections, and Internal Control Reviews) Closed	2
Arrests	0
Indictments	0
Convictions	0
Personnel Actions	0
Total Complaints Received	38
Hotline Complaints Received	37
Complaints from Other Sources	1
Complaints Referred (to the Department or other agencies)	7
Inspector General Subpoenas	0
Referrals to Prosecuting Authorities & Indictments from Prior Referrals	0

Source: OIG generated from its Investigative Case Tracking System.



OIG Hotline
(1-866-906-2446)

As part of its duties and responsibilities, OIG maintains a toll-free Hotline that provides employees and private citizens an opportunity to relay information regarding fraud, waste, and abuse.

IG Act Reporting Requirements

IG Act Section	IG Act Requirement	Page
Section 4(a)(2)	Review of Legislation and Regulations	4
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	9-13 16-20
Section 5(a)(2)	Recommendations for Corrective Action Made During the Reporting Period with Respect to Problems, Abuses, and Deficiencies	9-13 16-20
Section 5(a)(3)	Significant Recommendations Included in Previous Semiannual Reports on Which Corrective Action Has Not Been Completed	23-29
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	9-13 16-20
Section 5(a)(6)	Reports Issued During the Reporting Period	22
Section 5(a)(7)	Summary of Particularly Significant Reports	9-13 16-20
Section 5(a)(8)	Questioned and Unsupported Costs (Statistical Table 1)	33
Section 5(a)(9)	Recommendations that Funds be put to Better Use (Statistical Table 2)	34
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.	33 None 34

IG Act Section	IG Act Requirement	Page
Section 5(a)(11)	Significant Revised Management Decisions made during the Reporting Period	None
Section 5(a)(12)	Management Decisions with which the Inspector General is in Disagreement	None
Section 5(a)(13)	Information Described Under Section 804(b) of the Federal Financial Management Improvement Act of 1996 (Specifically excluded by Public Law 109-55.)	N/A
Section 5(a)(14-16)	Peer Review Reporting Requirements	32
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	35
Section 5(a)(19)	Investigations Involving a Senior Government Employee where Allegations of Misconduct were Substantiated	None
Section 5(a)(20)	Descriptions of Whistleblower Retaliation Investigations Closed and Not Disclosed to the Public (Whistleblower Protection Act protections are part of U.S. Merit Systems Protection Board authorities that do not apply to the Legislative Branch.)	N/A
Section 5(a)(21)	Attempts by the Agency to Interfere with IG Independence	None
Section 5(a)(22)	Description of circumstances of; (A) inspection, evaluation, and audit conducted and not disclosed to the public, and (B) investigation conducted involving a senior Government employee that was not disclosed to the public. (Release of information governed by 2 U.S.C. § 1979 applicable to Capitol Police Board regulations, policies and procedures.)	N/A

Working Relationship Principles for Agencies and Offices of Inspectors General

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

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

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

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

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

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

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

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

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

The Honorable Gregg Harper, Chairman, United States House of Representatives, Committee on House Administration, Issues Remarks Recognizing the Retirement of the Inspector General

EXTENSIONS OF REMARKS

RECOGNIZING THE INSPECTOR GENERAL FOR THE UNITED STATES CAPITOL POLICE, MS. FAY ROPELLA, IN HONOR OF HER RETIREMENT

HON. GREGG HARPER

OF MISSISSIPPI

IN THE HOUSE OF REPRESENTATIVES

Friday, March 23, 2018

Mr. HARPER. Mr. Speaker, I rise today to congratulate Ms. Fay Ropella, Inspector General for the United States Capitol Police (USCP) Department, on her upcoming retirement, and to thank her for her many years of public service.

Ms. Ropella was sworn in as the second Inspector General for the USCP in November 2013, and has diligently served this institution with honor and integrity.

During her more than 20 years working in the Inspector General community, Ms. Ropella has served in numerous capacities on teams which recovered tens of millions of dollars as a result of audits and investigations into areas such as labor cost mischarging, contract and grant fraud, and misuse of federal funds.

As Inspector General for the USCP, Ms. Ropella has led an office responsible for identifying and preventing waste, fraud, and abuse within the Department. Over her past years of service, Ms. Ropella's priorities were to serve as an independent and trusted contributor to the USCP's mission and operations and to improve the management and financial integrity of the Department's programs. Before her appointment to Inspector General, she was serving as Assistant Inspector General for Audits, performing the duties of Deputy Inspector General for the USCP and helping establish the office from the ground-up. One of her earliest accomplishments in this role was to assist the USCP in completing its first set of financial statements, resulting in a clean opinion. In her work, Ms. Ropella has distinguished herself by promoting positive change within the USCP and has earned the respect of her colleagues in the process.

Before joining the USCP, Ms. Ropella served for more than 10 years with the Office of Inspector General for the Department of State. Among her many senior leadership positions, she was the chief financial advisor to the Department of State, Bureau of Population, Refugees, and Migration, managing appropriations in excess of $1.5 billion. Before joining the Department of State, Ms. Ropella worked at the U.S. Information Agency and the Department of Defense.

Ms. Ropella graduated Magna Cum Laude from Saint Leo College with a Bachelor of Arts in Accountancy. Ms. Ropella is a Certified Public Accountant and a Certified Fraud Examiner, and she has been active in the Council of Inspectors General for Integrity and Efficiency, Federal Audit Executive Council, as well as the Legislative Inspector General quarterly meetings.

Ms. Ropella will retire on March 30, 2018, leaving behind a legacy of leadership, transparency, accountability, and cooperation. She has been a true public servant, and we are grateful for her unwavering dedication to this institution. We wish Ms. Ropella success and happiness in her retirement and offer our congratulations to her and her family.

TRIBUTE TO 98-YEAR-OLD VETERAN VIRGINIA HENDERSON GRANGER

HON. STEVE COHEN

OF TENNESSEE

IN THE HOUSE OF REPRESENTATIVES

Friday, March 23, 2018

Mr. COHEN. Mr. Speaker, I rise today to pay special tribute to my Memphis constituent Virginia Henderson Granger, a veteran overseas U.S. Army nurse during World War II, who turned 98 last month. Mrs. Granger was born on February 21, 1920, in Johnson City, Illinois. She graduated from West Frankfort Community High School in 1937 and went to nursing school at Christian Welfare Hospital in East St. Louis, Illinois, earning her R.N. in 1942. Later, after her service in the Army, Mrs. Granger went to Washington University in St. Louis, Missouri, and graduated in 1952 with a Bachelor of Science Degree in Nursing.

Mrs. Granger volunteered for the Army Nurse Corps in 1943 and was commissioned a Second Lieutenant. At Camp McCoy, Wisconsin, Mrs. Granger received her basic training and then worked at the Station Hospital for six weeks while awaiting further orders.

She traveled by troop train to Camp Kilmer, New Jersey, which was the port of embarkation for the European Theatre of Operations. Mrs. Granger was sent to Barnstaple, England, as a platoon nurse caring for troops. She returned to the U.S. to take up her permanent assignment after a passenger/cargo ship, the USS *Munargo*, was converted into the 206th U.S. Army Hospital Ship *Thistle*. She served on the *Thistle* for most of two years, rising in rank to First Lieutenant.

The home ports for the *Thistle* were New York City and Charleston, South Carolina, while its overseas port was Naples, Italy. As a hospital ship, it was considered neutral under the Geneva Convention and bore a large red cross on the upper decks. While aboard the *Thistle*, Mrs. Granger made 12 round trips across the Atlantic Ocean bringing sick and wounded troops home from the European Theater. While in the Mediterranean Sea, the ship shuttled sick and wounded troops from Oran, Algeria and Southern France. Mrs. Granger and the rest of the crew of the *Thistle* participated in the Southern France invasion in August 1944. At the end of the war in Europe, the *Thistle* and Mrs. Granger were sent to the Philippine Islands to evacuate the remaining sick and wounded. After three years of service, Mrs. Granger returned via Long Beach, California, and was discharged in Des Moines, Iowa.

Mrs. Granger was awarded the World War II Victory Medal, the EAME (Eastern, American, Mediterranean) Campaign Medal with three Bronze Service Stars, the American Pacific Campaign Medal, and three overseas bars.

Mrs. Granger, a widow, was married to John W. Granger, an Army veteran of the war, for thirty years.

After leaving the Army, she worked as a nurse at the John Cochran Veterans Hospital in St. Louis, Missouri, and the Memphis Veterans Hospital. She worked a total of thirty years at the two hospitals and served in almost all of the departments within the hospitals. For several years she was the supervisor of the Spinal Cord Injury, Post Surgical Unit, and Psychiatric Departments of the hospital in Memphis.

Except for her college years in St. Louis, Mrs. Granger has lived in Memphis since 1946. She helped open the Veterans Hospital in St. Louis and she helped move the Memphis Veterans Hospital from Park and Getwell to its current location on Jefferson Avenue. She retired from the VA in 1979. Mrs. Granger currently lives at the Kirby Pines Retirement Community.

Mrs. Granger is a longtime member of American Legion Post 250 in Germantown. I want to commend Mrs. Granger for her long years of service to our country and its veterans and hope that my constituents and her many friends will thank her for the devoted hard work she has done for a grateful nation.

HONORING THE POWER OF STUDENT VOICES AT CENTRAL HIGH SCHOOL

HON. DWIGHT EVANS

OF PENNSYLVANIA

IN THE HOUSE OF REPRESENTATIVES

Friday, March 23, 2018

Mr. EVANS. Mr. Speaker, I rise today to honor The Power of Student Voices at Central High School, in Philadelphia, Pennsylvania.

The Power of Student Voices at Central High School was created in the fall of 2005 to create a more informed citizenry that can actively participate and investigate the unique culture of the American political landscape. In May 2008, Central High School was awarded the AARP Ethel Percy Award for Civic Engagement. Additionally, the students participated in the Presidential inaugural activities in 2009 and 2017 and of Pennsylvania Governor Tom Wolf in January 2015. Last year, the students participated in an in-depth study of the 2016 Presidential Election.

Now, Central High School's seniors have the opportunity to explore our nation's capitol as they visit historical landmarks and meet with political actors. This unique experience will give them the opportunity to meet with political professionals, conduct interviews, write news articles and blogs (to be displayed on a student-made website), and explore the historical and political landscape of the political process. Students will develop a direct sense

* This "bullet" symbol identifies statements or insertions which are not spoken by a Member of the Senate on the floor.

Matter set in this typeface indicates words inserted or appended, rather than spoken, by a Member of the House on the floor.

CONTACTING THE OFFICE OF INSPECTOR GENERAL

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

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



Toll-Free
1-866-906-2446

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



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





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

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

Additional Information and Copies:

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

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