Approved for public release by the Capitol Police Board on October 7, 2026

UNITED STATES CAPITOL POLICE

OFFICE OF INSPECTOR GENERAL

Semiannual Report to Congress











October 1, 2018 — March 31, 2019

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 1,931 sworn and 356 civilian employees as of March 31, 2019.

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 November 19, 2013, the second IG for the Department was sworn in by the Chairman of the Capitol Police Board and on January 16, 2019, the Capitol Police Board announced the appointment of the third IG.

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 honored to have been appointed as the United States Capitol Police (USCP or Department) Inspector General. It is a pleasure to present this Semiannual Report to Congress for USCP. The report summarizes work the Office of Inspector General (OIG) initiated and completed from October 1, 2018, through March 31, 2019. The audits, investigations, and special reports described illustrate the continued efforts of OIG for promoting the efficiency and effectiveness of USCP programs and operations.

During this reporting period, Audits issued the following eight reports: *Annual Performance Plan Fiscal Year 2019,* Report Number OIG-2019-01; *Top Management Challenges Facing the United States Capitol Police*, Report Number OIG-2019-02; *Assessment of the United States Capitol Police Contractor Performance Monitoring*, Report Number OIG-2019-03; *Independent Auditor's Report Financial Statements for Fiscal Years 2018 and 2017,* Report Number OIG-2019-04; *Management Letter Related to the Audit of the United States Capitol Police's Fiscal Years 2018 and 2017 Financial Statements*, Report Number OIG-2019-05; *Analysis of the United States Capitol Police Email Security*, Report Number OIG-2019-06; *Performance Audit of the United States Capitol Police Dignitary Protection Division Payroll Costs and Compliance with Annual Pay Limitations*, Report Number OIG-2019-07; *Assessment of the United States Capitol Police Use of Avue Digital Services System,* OIG-2019-08. At the end of the reporting period, Audits had four ongoing projects—a Performance Audit on the USCP Recruiting Program; a Performance Audit of the USCP Records Management Program; a Performance Audit of the USCP Travel Card Program, and [redacted]

Investigations issued an *Inquiry into Publication of a Fictitious BOLO for a Senior Official,* Investigative Number 2018-I-0007; [redacted] *Inquiry into Allegations of Misconduct by a Senior Official*, Investigative Number 2018-I-0009; *Inquiry into Allegations of Abuse of Process*, Investigative Number 2019-I-0001, and an *Inquiry into Allegations of Misconduct by a Senior Official*, Investigative Number 2019-I-0003. At the end of the reporting period, Investigations had ongoing a Follow-up Analysis of the USCP Dignitary Protection Division and a Survey of the United States Capitol Police Continuity of Operations and Continuity of Government Program.

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.

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.

Michael A. Bolton
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, 2018, through March 31, 2019. 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 eight reports: *Annual Performance Plan Fiscal Year 2019,* Report Number OIG-2019-01; *Top Management Challenges Facing the United States Capitol Police*, Report Number OIG-2019-02; *Assessment of the United States Capitol Police Contractor Performance Monitoring*, Report Number OIG-2019-03; *Independent Auditor's Report Financial Statements for Fiscal Years 2018 and 2017,* Report Number OIG-2019-04; *Management Letter Related to the Audit of the United States Capitol Police's Fiscal Years 2018 and 2017 Financial Statements*, Report Number OIG-2019-05; *Analysis of the United States Capitol Police Email Security*, Report Number OIG-2019-06; *Performance Audit of the United States Capitol Police Dignitary Protection Division Payroll Costs and Compliance with Annual Pay Limitations*, Report Number OIG-2019-07; *Assessment of the United States Capitol Police Use of Avue Digital Services System*, Report Number OIG-2019-08. At the end of the reporting period, Audits had four ongoing projects—a Performance Audit on USCP Recruiting Program; a Performance Audit of the USCP Records Management Program; a Performance Audit of the USCP Travel Card Program, [redacted].



OIG Investigations issued an *Inquiry into the Publication of a Fictitious BOLO for a Senior Official,* Investigative Number 2018-I-0007; [redacted] *Inquiry into Allegations of Misconduct by a Senior Official,* Investigative Number 2018-I-0009; *Inquiry into Allegations of Abuse of Process,* Investigative Number 2019-I-0001; and an *Inquiry into Allegations of Misconduct by a Senior Official,* Investigative Number 2019-I-0003. At the end of the reporting period, Investigations had ongoing a Follow-up Analysis of the USCP Dignitary Protection Division and a Survey of the USCP Continuity of Operations and Continuity of Government Program.

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, 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.

LEGISLATION MONITORED

IG reviewed and monitored the following legislation:

H.R. 1 ***For the People Act of 2019***

H.R. 135 ***Federal Employee Antidiscrimination Act of 2019***

H.R. 202 ***Inspector General Access Act of 2019***

H.R. 454 ***Bonuses for Cost-Cutters Act of 2019***

H.R. 706 ***Restoring the Public Trust Act***

H.R. 1064 ***To amend title 5, United States Code, to allow Whistleblowers to disclose information to certain recipients***

H.R. 3154 ***Inspector General Access Act of 2017***

H.R. 5105 ***Better Utilization of Investments Leading to Development Act of 2018*** **or the** ***BUILD Act of 2018***

H.R. 6147 ***Interior, Environment, Financial Services and General Government, Agriculture, Rural Development, Food and Drug Administration, and Transportation, Housing and Urban Development Appropriations Act, 2019***

H.R. 6891 ***The Anti-Deficiency Reform and Enforcement Act of 2018***

H.R. 7032 ***Adam S. Lovinger Whistleblower Reprisal Act of 2018***

H.R. 7140 ***Anti-Corruption and Public Integrity Act***

H.R. 7167 ***Restoring the Public Trust Act***

H.R. 7183 ***Federal Disaster Assistance Coordination Act***

S. 154 ***Department of Veterans Affairs Contract, Leadership and Ensuring Accountability and Reform Act of 2019*** **or the** ***CLEAR Act of 2019***

S. 187 ***Bureau of Consumer Financial Protection-Inspector General Reform Act*** **or the** ***CFPB-IG Act***

S. 2463 ***BUILD Act of 2018***

S. 3679 Readying ***Elders and Americans with Disabilities Inclusively for Disasters Act*** **or the** ***READI for Disaster 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 closing previous recommendations, as well as development and implementation of a new training program for new Recruit Officer Classes.

Additional Training - Generational Learning Style Differences

A previous report, an *Inquiry into Circumstances Surrounding the Unsuccessful Completion of United States Capitol Police Recruit Officer Training, Recruit Officer Class 191*, Investigative Number 2018-I-0002, dated June 2018, revealed certain circumstances surrounding unsuccessful completion of USCP recruit officer training for 16 recruits. A Department official stated that the Department has had issues with recruits from the millennial[1] generation having a mindset where they focus only on how to pass tests instead of focusing on critical thinking and understanding concepts. According to the *SIGNAL Magazine* article "Mind the Millennial Training Gap," dated December 1, 2017,[2] many millennials "were subjected to rote memorization" for standardized tests and therefore are "ill-equipped" for "inquiry, meta-analysis and synthesis of information." The article calls for adapting the classroom experience to this generation and the next.

OIG recommended that the Department consider developing and implementing a training program for new recruits that addresses generational learning style differences. In October 2018, the Department implemented training that focuses on emotional intelligence and critical thinking, to provide new recruit officers with an understanding of the instructional requirements of the Department's sworn training program versus the learning styles they have experienced in mainstream public education. New recruits are required to attend this training prior to attending the extended training at the Federal Law Enforcement Training Center (FLETC). Since implementing the new training, a Department official stated they have received several positive comments from the Department Liaison at FLETC and are working on metrics to measure the success of the program.

[1] The United States Census Bureau defines millennials as America's youth born between 1982 and 2000.
[2] Marangione, M. (December 1, 2017). "Mind the Millennial Training Gap." *SIGNAL Magazine*. Retrieved from https://www.afcea.org/content/mind-millennial-training-gap. *SIGNAL Magazine* is the official publication of the Armed Forces Communications and Electronics Association, an association made up of professionals from the military and industry.

VALUE ADDED (Cont'd)

Significant Progress in Resolution of Open Recommendations

During this reporting period, the Department continued its progress in closing open recommendations. As the following table reflects, OIG closed 22 previously open recommendations, some of which were older than 6 months. We believe that in time the Department will be able to close all of the open recommendations.

Report Title	Report Number	Recommendations Closed
Review of Compliance with USCP Hiring Standards and with Directive [redacted]	OIG-2008-08	1
United States Capitol Police Financial Statement and Independent Auditors' Report Fiscal Year 2008	OIG-2009-01	1
Performance Audit of the United States Capitol Police Training Services Bureau	OIG-2016-07	2
Evaluation of Compliance with United States Capitol Police Hiring Standards, Directive [redacted]	OIG-2017-04	Repeat Recommendation in Report Number OIG-2008-08
Performance Audit of the United States Capitol Police Compliance with Employee Performance Standards	OIG-2017-05	3
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 the Federal Employees' Compensation Act	OIG-2017-07	3
[redacted]	[redacted]	[redacted]
Analysis of the United States Capitol Police Monitoring of Internet Usage for Waste and Abuse	OIG-2018-09	1
Assessment of the United States Capitol Police Workforce Diversity	OIG-2018-12	1
Follow-up on United States Capitol Police Controls over Proximity Cards	OIG-2018-13	4
Performance Audit of the United States Capitol Police Office of Policy and Management Systems	OIG-2018-16	3
Follow-up Analysis on United States Capitol Police Controls over Evidence	OIG-2018-18	1
Total		**22**

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

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

- *Review of Compliance with USCP Hiring Standards*, OIG-2008-08
- *Evaluation of Compliance with United States Capitol Police Hiring Standards, Directive* [redacted], *and Standard Operating Procedure* [redacted] OIG-2017-04 (Repeat Recommendation from OIG-2008-08)
- *Performance Audit of the United States Capitol Police Compliance with Employee Performance Standards*, OIG-2017-05
- *Performance Audit of the United States Capitol Police Compliance with the Federal Employees' Compensation Act*, OIG-2017-07
- [redacted]
- *Analysis of the United States Capitol Police Monitoring of Internet Usage for Waste and Abuse*, OIG-2018-09
- *Performance Audit of the United States Capitol Police Office of Policy and Management Systems*, OIG-2018-16

PROACTIVE EFFORTS

Annual Performance Plan Fiscal Year 2019 (OIG-2019-01)

The *Annual Performance Plan Fiscal Year 2019* 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 Fiscal Year (FY) 2019, 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 established a life-cycle approach to our outputs that track individual actions or critical milestones for identifying the results of our work. For FY 2018, OIG exceeded performance targets for all five performance measures, which we reported in our FY 2019 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 to 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 18 Target	FY 18 Actual	FY 19 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%	100%	90%
(3) Percentage of projects initiated where OIG presents the findings and recommendations to the Department within established timeframes (for all 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%	100%*	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: OIG generated.

*During FY 2018, OIG adjusted its annual plan by moving our planned Performance Audit of Student Loan Repayment Program and Performance Audit of USCP Wireless Network Devices to FY 2019. The audits were moved because the programs were not ready to be reviewed until September 2018. OIG adjusted its annual plan to conduct several congressional or Department requests (*Inquiry into Circumstances Surrounding the Unsuccessful Completion of United States Capitol Police Recruit Officer Training, Recruit Officer Class 191*, Investigative Number 2018-I-0002; *Follow-up on United States Capitol Police Controls over Proximity Cards*, Report Number OIG-2018-13; *Follow-up Analysis on United States Capitol Police Controls over Evidence*, Report Number OIG-2018-18; *Management Advisory Report: Potential Vendor Violation of United States Capitol Police Acquisition Policy*, Report Number OIG-2018-07, and *Management Advisory Report: Outdated United States Capitol Police Civilian Employee Handbook*, Report Number OIG-2018-17). **All OIG staff members hold professional degrees and 75 percent of the staff obtained certifications such as Certified Public Accountant (CPA), Certified Fraud Examiner (CFE), and Certified Information System Auditor (CISA), 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 50 percent of the audit staff also are trained in investigations.

PROACTIVE EFFORTS (Cont'd)

Top Management Challenges Facing the United States Capitol Police (OIG-2019-02)

The *Reports Consolidation Act of 2000* requires that OIGs identify and report each year on the most serious management challenges agencies face. In October 2018, OIG issued the FY 2019 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 1 and 2. We believe this initiative to be proactive and vital toward strengthening accountability by providing fraud prevention and awareness training to Department personnel.

Figure 1: OIG Special Agent conducts training and outreach with recruit officers.



Source: OIG photograph.

Figure 2: OIG Senior Auditor conducts training and outreach with new employees.



Source: OIG photograph.

AUDITS – ISSUED REPORTS

Assessment of the United States Capitol Police Contractor Performance Monitoring (OIG-2019-03)



Government agencies rely on contractors to perform a broad array of activities needed to meet their missions. Therefore, complete and timely information on the past performance of a contractor is critical for ensuring the Government does business with companies delivering quality goods and services on time and within budget. The *Federal Acquisition Regulation (FAR),* dated March 2005, generally requires that agencies document contractor performance on contracts or orders that exceed certain dollar thresholds and make that information available to other agencies through a shared Government-wide database.

USCP Directive [redacted], dated August 1, 2018, states "it is the policy of the USCP to follow the FAR as guidance in the procurement of goods and services under this Directive unless a deviation therefrom is determined to be in the best interest of the USCP."

In accordance with our *Annual Performance Plan Fiscal Year 2018*, dated October 2017, OIG assessed USCP monitoring of contractor performance. OIG objectives were to (1) determine if the Department had a program for monitoring contractor performance, (2) evaluate the accuracy and completeness of contractor performance data, and (3) assess USCP compliance with the monitoring program. Our scope included program policies in effect as of August 31, 2018, and data from calendar years 2017 and 2018.

The Department did not have a documented policy for monitoring contractor performance. Although the Department had elements of a monitoring program, no documented program was in place. Without a documented program, OIG could not evaluate the accuracy and completeness of contractor performance data or assess monitoring of the program. Although the Department collected some performance data, written procedures did not exist, which meant that data were not completely or consistently collected. Contractor performance data included annual contractor performance reports and training records of USCP employees responsible for the successful monitoring of contractors. The Office of Acquisition Management (OAM) did not have a reliable process for ensuring the accuracy and completeness of the performance reports or training records. USCP did not have a documented methodology for collecting, validating, and reporting data about contractor performance. OIG measured USCP compliance using the FAR. USCP was not, however, in complete compliance.

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

AUDITS – ISSUED REPORTS (Cont'd)

Independent Auditor's Report Financial Statements for Fiscal Years 2018 and 2017 (OIG-2019-04)



On December 13, 2018, OIG issued USCP's annual financial statement audit for the period ending September 30, 2018. 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, 2018, and 2017, and its net costs, changes in net position, and budgetary resources for the years then ended in conformity with accounting principles generally accepted in the United States.

In our *Independent Auditor's Report on Internal Control over Financial Reporting*, OIG rendered an adverse opinion with one material weakness concerning payroll.

The Office of Human Resources (OHR) made substantial progress toward correcting payroll-related findings. For the three findings open in FY 2017, two were repeated in FY 2018. During FY 2018, we saw improvement in the effectiveness of the controls related to time and attendance attestations and certifications. We concluded that the repeated OHR payroll findings constitute a material weakness.

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

Management Letter Related to the Audit of the United States Capitol Police's Fiscal Year 2018 Financial Statements (OIG-2019-05)

The management letter prepared by OIG, discusses a number of internal control deficiencies identified during the audit of the FY 2018 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.



Analysis of the United States Capitol Police Email Security (OIG-2019-06)



The USCP Office of Information Systems (OIS) administers the email security program for the Department. USCP operates its email system on email servers located at the Department's primary and backup data centers. OIS performs the security configuration and is responsible for controls over email services as well as storing emails on the Storage Area Network (SAN). A SAN is an array of storage devices working in unison to store data and is capable of replicating between one or more SAN arrays.

To address challenges noted in our report titled *Top Management Challenges Facing the United States Capitol Police*, dated October 2018, OIG conducted an analysis of the USCP email security program. The objectives of our analysis were to determine if the Department (1) established adequate internal controls and processes for ensuring security over the Department's email system, and (2) complied with applicable policies and procedures as well as applicable laws, regulations, and best practices. Our scope included controls, processes, and operations during FY 2018.

Overall, the Department could improve its internal controls related to email security. For example, the Department of Homeland Security (DHS) Binding Operational Directive (BOD) 18-01, *Enhance Email and Web Security*, dated October 16, 2017, requires that Federal agencies activate increased email security by enabling [redacted] on their network. [redacted] As a legislative branch agency, USCP is not required to comply with the DHS BODs; however, we believe that the recommendations in the directive serve as best practices.

The National Institute of Standards and Technology Special Publication 800-53, Revision 4, *Security and Privacy Controls for Federal Information Systems and Organizations*, dated April 2013, control CM-2 states, "the organization develops, documents, and maintains under configuration control, a current baseline configuration of the information system." However, [redacted]

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

***Performance Audit of the United States Capitol Police Dignitary Protection Division Payroll Costs and Compliance with Annual Pay Limitations* (OIG-2019-07)**

In accordance with our *Annual Performance Plan Fiscal Year 2019*, dated October 2018, OIG conducted a performance audit of the USCP Dignitary Protection Division (DPD) payroll costs and compliance with annual pay limitations. OIG objectives were to (1) determine if the Department effectively monitored DPD payroll costs, and (2) evaluate Department compliance with annual pay limitations. Our scope included Department policies in effect as of December 31, 2018, and data requested from Calendar Years (CYs) 2016, 2017, and 2018. In addition to determining if controls were in place and operating effectively Department-wide, we evaluated the financial impact of the controls on DPD agents. One of the controls was the biweekly pay cap, which is derived from the annual pay limitation. Although biweekly pay cap controls did not affect basic pay, premium pay is subject to reduction. Premium pay includes pay authorized under title 5 of the United States Code, which covers overtime, night, Sunday, or holiday work.

Premium/differential pay represented 16.36 percent of the Department's payroll cost for CY 2018, and overtime/compensatory (comp) time represented 19.31 percent of the total Department payroll cost of $263 million. During CY 2018, differential/premium pay made up 10.80 percent of DPD pay while overtime/comp time represented 36.77 percent of DPD pay. Almost half of DPD pay was made up of either overtime/comp time or premium/differential pay. The high overtime earned for DPD agents was driven by the nature of their work.

The *Amendments to the Capitol Police Board Resolution for Unified Schedules of Rates of Basic Pay for Members and Civilian Employees of the United States Capitol Police and the Capitol Police Board Premium Pay Regulations,* dated July 1, 2003, prevent civilian or member employees of USCP from earning more than the biweekly pay cap unless it is part of their basic pay or overtime pay. Currently, the annual pay cap is set at $168,411, which results in a biweekly cap of $6,477 ($168,411 divided by 26 pay periods). All other differential pay such as night, Sunday, or holiday pay are backed out and paid at an employee's basic rate of pay should the employee exceed the biweekly pay cap.

Prior to CY 2018, the Department prohibited employees from earning more than the biweekly pay cap unless it was part of their basic pay or overtime pay. On December 6, 2018, the Capitol Police Board issued the *Capitol Police Board Regulations Implementing Sunday Premium Pay, Holiday Pay and Night Differential Pay for Employees of the United States Capitol Police,* would allow employees to receive the amounts lost to the biweekly pay cap at year-end to the

Performance Audit of United States Capitol Police Dignitary Protection Division Payroll Costs and Compliance with Annual Pay Limitations (OIG-2019-07) (Cont'd)

extent that the amounts would not cause their salary to exceed the annual cap. OHR monitors employees projected to exceed the pay cap with excessive earnings reports.

DPD made up 9.46 percent of the Department's workforce for CY 2018, but they made up 32.21 percent of instances in which an employee was limited by the cap. In terms of dollar value, during CY 2018 DPD agents made up 34.88 percent of the dollars lost to the biweekly pay cap. The nature of DPD work is conducive to high overtime hours, which in turn increases the likelihood of an employee being limited at the biweekly pay cap. In response to the amended Board Regulations, the Department is scheduled to disburse $176,360.89 in pay for officers impacted by the biweekly pay cap, of which DPD employees will receive $77,021.76. OHR officials stated they had started the process of creating a special project with the National Finance Center[3] to begin processing the payments.

Overall, the Department had adequate internal controls for monitoring the biweekly pay and annual pay caps as well as processes for monitoring DPD payroll cost. The Department complied with the annual pay limitations. OIG did not issue any recommendations.



[3] The National Finance Center processes payroll for Department personnel.

Assessment of the United States Capitol Police Use of Avue Digital Services System (OIG-2019-08)

Congress passed the *E-Government Act* (Public Law 107-347), dated December 17, 2002, to promote use of the internet and electronic Government services, make the Federal Government more transparent and accountable, and increase operational efficiencies by moving away from paper-heavy processes. As cloud computing has emerged as an important platform in recent years, offering organizations improved operational efficiencies and cost savings, the Office of Management and Budget released its *25 Point Implementation Plan to Reform Federal Information Technology Management,* dated December 9, 2010, to help the Federal Government achieve benefits. The implementation plan required that agencies immediately shift to a "Cloud First" policy and default to cloud-based services whenever a secure, reliable, and cost-effective cloud option existed.

As part of its efforts to transition from a manual to an automated process, USCP implemented a Software-as-a-Service (SaaS)[4] cloud-based Human Capital Management and Operations Management platform called Avue Digital Services System (Avue) in September 2005. Avue offered 12 integrated, web-based modules within its automated system for various workforce management processes, and USCP has subscribed to multiple modules over the life of the contract. The Department has used Avue for its Officer Voluntary Reassignment Program (OVRP), Sergeant Voluntary Reassignment Program, and Lieutenant Voluntary Reassignment Program since 2012.

In accordance with our *Annual Performance Plan Fiscal Year 2019*, dated October 2018, OIG assessed Avue. Our objectives were to determine if the Department (1) appropriately monitored the Avue contract, (2) established effective controls that ensured the integrity of Avue data, and (3) complied with laws, regulations, and guidance. Our scope included controls, processes, and operations during CY 2018.

The Department did not adequately monitor its contract with Avue and ensure the security controls for the cloud service provider complied with USCP, Federal Information Security Management Act, and National Institute of Standards and Technology guidelines. Additionally, the Department could have improved Avue services by requesting a system change that included a validation check within Avue. Such a change would have ensured that OVRP applicants correctly filled in the required fields and provided email confirmation and copy of the transaction. Applying such best practices would have improved Department monitoring of the SaaS contract and ensured both the integrity and security of the employee data. OIG made two recommendations, which the Department agreed to implement.

[4] In a SaaS platform, the vendor provides and manages all software and hardware.

AUDITS – ON-GOING PROJECTS

Performance Audit of the USCP Recruiting Program

In accordance with our FY 2019 annual plan, OIG began a performance audit of the Department's recruiting program. Our objectives are to determine if the Department (1) established adequate policies and procedures for the recruiting program, (2) established effective controls to ensure the integrity of the recruiting program, and (3) complied with laws, regulations, and guidance. Our scope includes control, processes, and operations during FY 2018.

OIG expects to issue the report on or before May 31, 2019.

Performance Audit of the USCP Records Management Program

In accordance with our FY 2019 annual plan, OIG began a performance audit of the Department's records management program. Our objectives are to determine if the Department (1) established adequate policies and procedures for the records management program, (2) established effective internal controls to ensure the integrity of the records management program and (3) complied with laws, regulations, and guidance. Our scope includes controls, processes, and operations during CY 2018.

OIG expects to issue the report on or before August 1, 2019.

Performance Audit of the USCP Travel Card Program

In accordance with our FY 2019 annual plan, OIG began a performance audit of the Department's travel card program. Our objectives are 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, 2018 through March 31, 2019.

OIG expects to issue the report on or before September 30, 2019.

AUDITS – ON-GOING PROJECTS (Cont'd)

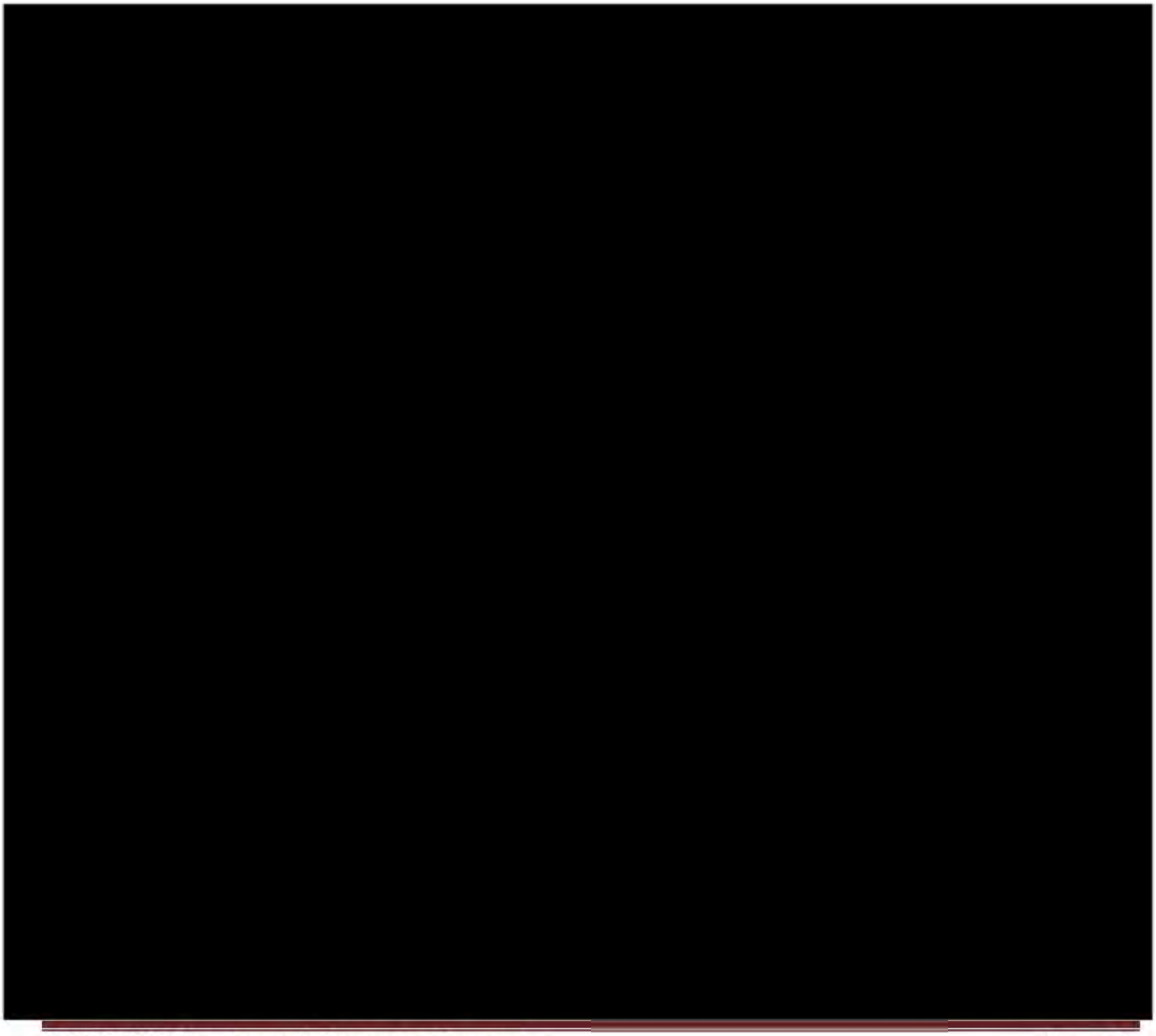
[redacted]



INVESTIGATIONS – ISSUED REPORTS

Inquiry into the Publication of a Fictitious BOLO for a Senior Official (Investigative Number 2018-I-0007)

On September 6, 2018, OIG received a referral from the USCP Assistant Chief of Police (ACOP) regarding a fictitious "be on the lookout" (BOLO) for a Senior Official. ACOP described the document as highly inflammatory and disrespectful to the Senior Official. OIG conducted an inquiry and did not find evidence identifying a suspect in the publication of the fictitious BOLO. OIG closed the inquiry on October 11, 2018.



INVESTIGATIONS – ISSUED REPORTS (Cont'd)

Inquiry into Allegations of Misconduct by a Senior Official (Investigative Number 2018-I-0009)

OIG received a complaint on September 3, 2018, from a former USCP employee alleging discrimination during a Training Specialist selection process by a senior official, violating USCP Directive [redacted], dated November 19, 2012. OIG conducted an inquiry into the allegations and did to find evidence substantiating discrimination against the former employee. OIG closed its inquiry on October 22, 2018.

Inquiry into Allegations of Abuse of Process **(Investigative Number 2019-I-0001)**

On November 26, 2018, OIG received a complaint alleging the Department mishandled an Office of Professional Responsibility case. OIG conducted an inquiry into the allegations and did not find evidence substantiating the Department mishandled the case in violation of USCP Directive [redacted], dated November 19, 2012. OIG closed the inquiry on December 4, 2018.

Inquiry into Allegations of Misconduct by a Senior Official **(Investigative Number 2019-I-0003)**

OIG received a complaint on January 18, 2019, alleging that a senior official engaged in discrimination and made false statements in violation of USCP Directive [redacted] dated November 19, 2012. OIG conducted an inquiry into the allegations and did not find evidence substantiating that the senior official engaged in discrimination or made false statements. OIG closed the inquiry on February 8, 2019.



INVESTIGATIONS – ON-GOING PROJECTS

Follow-up Analysis of the United States Capitol Police Dignitary Protection Division (Investigative Number 2019-I-0002)

In accordance with our *Annual Performance Plan Fiscal Year 2019*, dated October 2018, OIG began working on a follow-up on the Department's implementation of recommendations OIG made in a previous report titled, *Evaluation of Dignitary Protection Division*, Report Number OIG-2013-07, dated September, 2013.

OIG's objectives are to confirm the Department took appropriate corrective actions in implementing the recommendations. Our scope includes reviewing existing controls related to implementation of the recommendations outlined in the previous report.

OIG expects to issue the report on or about May 31, 2019.

Survey of the United States Capitol Police Continuity of Operations and Continuity of Government Program (Investigative Number 2019-I-0004)

In accordance with our *Annual Performance Plan Fiscal Year 2019*, the USCP OIG began work on a survey of the Department's Continuity of Operations (COOP) and Continuity of Government (COG) Program. Our objectives are to (1) gain a better understanding of the COOP/COG program and (2) identify any areas suited for future detailed evaluations, inspections, or audits. Our scope will include existing policies and procedures related to the COOP/COG program.

OIG expects to issue the report on or about September 2, 2019.



APPENDIX 1
REPORTS ISSUED

Report Number	Report Title
OIG-2019-01	*Annual Performance Plan Fiscal Year 2019*
OIG-2019-02	*Top Management Challenges Facing the United States Capitol Police*
OIG-2019-03	*Assessment of the United States Capitol Police Contractor Performance Monitoring*
OIG-2019-04	*Independent Auditor's Report Financial Statements for Fiscal Years 2018 and 2017*
OIG-2019-05	*Management Letter Related to the Audit of the United States Capitol Police's Fiscal Years 2018 and 2017 Financial Statements*
OIG-2019-06	*Analysis of the United States Capitol Police Email Security*
OIG-2019-07	*Performance Audit of the United States Capitol Police Dignitary Protection Division Payroll Costs and Compliance with Annual Pay Limitations*
OIG-2019-08	*Assessment of the United States Capitol Police Use of Avue Digital Services System*
Total: 8	

Investigative Number	Title
2018-I-0007	*Inquiry into the Publication of a Fictitious BOLO for a Senior Official*
[redacted]	[redacted]
2018-I-0009	*Inquiry into Allegations of Misconduct by a Senior Official*
2019-I-0001	*Inquiry into Allegations of Abuse of Process*
2019-I-0003	*Inquiry into Allegations of Misconduct by a Senior Official*
Total: 5	

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, 2019 OIG made a total of 426 recommendations to the Department since OIG inception. Of those 426 recommendations, the Department has fully implemented (or closed) 376. Of the remaining 50 open unimplemented recommendations, 38 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 2019-04	*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* *FY 2018 FS*	Repeat Finding 1.2 1.1 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], 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 2019-04	*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* *FY 2018 FS*	Repeat Finding 1.9 1.6 1.4 1.4 1.4 1.4 1.3 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]
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]

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*	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	*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]
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]
2016-07	*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 *Academy Rules and Training Standards* on a periodic basis, or more frequently as needed. [redacted]
2017-01	*Evaluation of the United States Capitol Police Disciplinary Process*	1	**COP –** 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]
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]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	***Report Title***	***Recommendation Number***	***Recommendation***
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]
2017-13	*Analysis of the United States Capitol Police Overtime*	2	**COO** – We recommended that USCP 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]
2018-08	*Performance Audit of the United States Capitol Police Specialty Pay Programs*	1	**OHR** – We recommended that USCP update Directive [redacted], January 9, 2015; Directive [redacted], February 21, 2017; and Directive [redacted], November 18, 2014, to (a) identify the entity or individual responsible for monitoring pay to ensure employees do not exceed the maximum annual payable rate, and (b) explicitly describe the procedures for calculating and making adjustments to payments exceeding the maximum payable rate. [redacted]
2018-08	*Performance Audit of the United States Capitol Police Specialty Pay Programs*	2	**OHR** – We recommended that USCP update Directive [redacted] January 9, 2015, to reflect the increase in the Hazardous Duty payable rate that resulted from the [redacted] policy memo from the Chief Administrative Officer, dated January 8, 2016. [redacted]
2018-08	*Performance Audit of the United States Capitol Police Specialty Pay Programs*	3	**OHR** – We recommended that USCP update Directive [redacted] November 18, 2014 to (a) reflect establishment of the Police Training Officer Program, (b) identify the appropriate form to document and certify eligibility for Field Training Officer Pay, and (c) include policies and procedures specifying how the Office of Human Resources should perform and document the pay review to include developing a standard form that documents a recalculation process including the date and individual performing the recalculation. [redacted]
2018-08	*Performance Audit of the United States Capitol Police Specialty Pay Programs*	4	**OHR** – We recommended that USCP update Directive [redacted], April 7, 2015, to identify the appropriate form for documenting and certifying eligibility for Police Training Officer Pay. [redacted]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	***Report Title***	***Recommendation Number***	***Recommendation***
2018-08	*Performance Audit of the United States Capitol Police Specialty Pay Programs*	5	**OHR** – We recommended that USCP re-emphasize and re-educate certifying officials on the importance of the key criteria that employees must meet to qualify for specialty pay and reiterate that officials must reassess such criteria before each Form [redacted] is certified. [redacted]
2018-08	*Performance Audit of the United States Capitol Police Specialty Pay Programs*	7	**OHR** – We recommended that USCP update Directive [redacted], January 9, 2015; Directive [redacted], February 21, 2017; and Directive [redacted], November 18, 2014, to include detailed procedures for completing, including signature blocks and dates, as well as processing Form [redacted]. [redacted]
2018-08	*Performance Audit of the United States Capitol Police Specialty Pay Programs*	8	**OHR** – We recommended that USCP update Form [redacted] to include eligibility blocks that will assist in ensuring compliance with applicable directives and remove from the form the section identified as Specialty Assignment. [redacted]
2018-08	*Performance Audit of the United States Capitol Police Specialty Pay Programs*	9	**OHR** – We recommended that USCP conduct training reinforcing the importance of weekly submission of Form [redacted] to ensure that payments are in the correct fiscal year appropriation and in accordance with Directive [redacted] dated November 18, 2014. [redacted]
2018-11	*Analysis of the United States Capitol Police Compensatory time*	1	**OHR** – We recommended that USCP establish procedures to ensure supervisors monitor changes from unscheduled to scheduled leave. [redacted]
2018-12	*Assessment of the United States Capitol Police Workforce Diversity*	1	**CAO** – We recommended that USCP develop a strategic plan that identifies the Office of Inclusion, Diversity, Equity, and Action roles and responsibilities and clearly defines each coordinating office/bureau's (OHR, Office of Professional Responsibility, and Employment Law Division) responsibilities and reporting requirements with regard to diversity matters. [redacted]
2018-12	*Assessment of the United States Capitol Police Workforce Diversity*	2	**CAO** – We recommended that USCP design and perform an effective self-evaluation of its diversity management program on a periodic basis. The self-evaluation would include defining tracking methods for obtaining quantitative data on workforce demographics of USCP employees. In addition, USCP should identify segments within its workforce for which to collect qualitative data and accordingly improve qualitative data gathering methods. [redacted]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	***Report Title***	***Recommendation Number***	***Recommendation***
2018-12	*Assessment of the United States Capitol Police Workforce Diversity*	3	**CAO** – We recommended that USCP update the current agency strategic plan and explicitly include diversity to ensure continuity and progression in the development of diversity management initiatives through integration of diversity management into its strategic plan. [redacted]
2018-12	*Assessment of the United States Capitol Police Workforce Diversity*	4	**CAO** – We recommended that USCP strengthen its succession planning efforts by drafting a plan for succession planning and incorporating it into the Office of Inclusion, Diversity, Equity, and Action and Office of Human Resources diversity management efforts. Accordingly, the USCP should create policies and procedures on succession planning, and leadership and career development for civilian and sworn employees as stated in the Office of Human Resources FY 2015-2018 Plan. [redacted]
2018-13	*Follow-up on United States Capitol Police Controls over Proximity Cards*	6	**SSB** – We recommended that USCP create policies or procedures that will ensure the accuracy of proximity card data. [redacted]
2018-15	*Assessment of the United States Capitol Police Telework and Alternative Work Schedule Programs*	1	**OHR** – We recommended that USCP update the USCP Directive [redacted], dated November 19, 2015, to: a. Include clear and specific requirements for record keeping, reporting, and evaluation of its Telework Program and methodologies. b. Incorporate training requirements to ensure the effective performance of the Telework Program. c. Clarify the requirement with regard to supervisors' documentation of the rationale for decisions made on telework requests and update [redacted] accordingly. [redacted]
2018-15	*Assessment of the United States Capitol Police Telework and Alternative Work Schedule Programs*	2	**OHR** – We recommended that USCP develop and implement a policy that addresses Alternative Work Schedules (AWS) and specifically incorporate the current "4-10" and "first 40" AWS practices. [redacted]
2018-15	*Assessment of the United States Capitol Police Telework and Alternative Work Schedule Programs*	3	**OHR** – We recommended that USCP develop a system to track telework and alternative work schedule hours. [redacted]

Appendix 2 – Unimplemented (Open) Recommendations Older Than 6 Months			
Report Number	***Report Title***	***Recommendation Number***	***Recommendation***
2018-15	*Assessment of the United States Capitol Police Telework and Alternative Work Schedule Programs*	4	**OHR:** – We recommended that USCP ensure that the Telework Program Coordinator is performing annual audits and preparing reports on the USCP Telework Program. Additionally, the Department should establish a standard operating procedure that provides guidance to the Telework Program Coordinator on how to perform the annual audits and prepare the reports. [redacted]
2018-15	*Assessment of the United States Capitol Police Telework and Alternative Work Schedule Programs*	5	**OHR** – We recommended that USCP ensure full compliance with Directive [redacted], dated November 19, 2015, and any subsequent versions of a Telework Program Directive. [redacted]
2018-17	*Management Advisory Report: Outdated United States Capitol Police Civilian Employee Handbook*	1	**OHR** – We recommended that USCP remove the Civilian Employee Handbook, dated March 7, 1997, from PoliceNet and stop distributing it to new employees until the Department updates the handbook. [redacted]
2018-18	*Follow-up Analysis on United States Capitol Police Controls over Evidence*	1	**COO** – We recommended that USCP implement the inspection and audit requirements from Draft Standard Operating Procedures [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, 2019, 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, 2018 – March 31, 2019

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 5.84) 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.

The Council of the Inspectors General on Integrity and Efficiency (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[6]
October 1, 2018, through March 31, 2019

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

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

[6] 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[7]
October 1, 2018, through March 31, 2019

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	1	$2,000
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	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.

[7] 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, 2018, through March 31, 2019

	Dollar Value (in thousands)
Recoveries	$0
Fines and Restitutions	$0
Investigative Cases Opened	4
Investigative Cases Closed	4
(Surveys, Analysis, Assessments, Evaluations, Inspections, and Internal Control Reviews) Opened	2
(Surveys, Analysis, Assessments, Evaluations, Inspections, and Internal Control Reviews) Closed	1
Arrests	0
Indictments	0
Convictions	0
Personnel Actions	0
Total Complaints Received	34
Hotline Complaints Received	30
Complaints from Other Sources	4
Complaints Referred (to the Department or other agencies)	10
Inspector General Subpoenas	0
Referrals to Prosecuting Authorities and 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	3
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	8-14 17-18
Section 5(a)(2)	Recommendations for Corrective Action Made During the Reporting Period with Respect to Problems, Abuses, and Deficiencies	8-14 17-18
Section 5(a)(3)	Significant Recommendations Included in Previous Semiannual Reports on Which Corrective Action Has Not Been Completed	21-27
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	8-14 17-18
Section 5(a)(6)	Reports Issued During the Reporting Period	20
Section 5(a)(7)	Summary of Particularly Significant Reports	8-14 17-18
Section 5(a)(8)	Questioned and Unsupported Costs (Statistical Table 1)	31
Section 5(a)(9)	Recommendations that Funds be put to Better Use (Statistical Table 2)	32
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.	31 None 32
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	30
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	33
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.



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 202-593-1972 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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