



**UNITED STATES CAPITOL POLICE**

**OFFICE OF INSPECTOR GENERAL**

**SEMIANNUAL REPORT**

**TO THE CONGRESS**

**October 1, 2009 — March 31, 2010**

## **United States Capitol Police**



### **History**

Created by Congress in 1828 following the assault on a son of John Quincy Adams in the Capitol Rotunda, the original duty of the United States Capitol Police was to provide security for the United States Capitol Building. Its mission has expanded to provide the Congressional community and its visitors with a variety of police services. These services are provided through the use of a variety of specialty support units, a network of foot and vehicular patrols, fixed posts, a full time CERT (Containment and Emergency Response Team), K-9, a Patrol/Mobile Response Division and full time Hazardous Devices and Hazardous Materials Sections. The agency has 1,814 sworn members as of March 31, 2010.

### **Mission**

Today's United States Capitol Police officer has the primary responsibility for protecting life and property; preventing, detecting, and investigating criminal acts; and enforcing traffic regulations throughout a large complex of congressional buildings, parks, and thoroughfares. The USCP has exclusive jurisdiction within the United States Capitol Grounds and has concurrent jurisdiction with other police agencies, including the United States Park Police and the DC Police, in an area of approximately 200 blocks around the complex. Additionally, they are 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 the Capitol Police Board to appoint an Inspector General (IG) for the Department without regard to political affiliation and solely on the basis of integrity and demonstrated ability in accounting, auditing, financial analysis, law, management analysis, public administration, or investigations.

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

### **Mission**

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

## MESSAGE FROM THE INSPECTOR GENERAL



**Inspector General  
Carl W. Hoecker**

I am pleased to present the United States Capitol Police (USCP) Office of Inspector General (OIG) semiannual report for the period October 1, 2009 to March 31, 2010.

The audits, investigations, and other activities outlined within this report demonstrate OIG's ongoing commitment to ensure efficiency and integrity within USCP programs and operations.

During this reporting period, OIG completed a review of the Department's Hazardous Material Response Team (HMRT) procurement process and an investigation into allegations of improper association, conduct unbecoming, and untruthfulness by members of the Department.

OIG ongoing projects include the audit of the Department's FY 2009 financial statements and the audit of the Department's budget formulation process. In coordination with the Capitol Police Board, we placed the FY 2009 financial statements audit on hold, pending a legal opinion from the Government Accountability Office.

Further details on OIG projects are provided within this report.

In October of this reporting period, I testified before the Capitol Subcommittee of the Committee on House Administration concerning our report "*Audit of USCP Privacy Program*" (OIG-2009-03). In March of this reporting period, I also testified before the Subcommittee on the Legislative Branch, House of Representatives Committee on Appropriations in connection with the USCP FY 2010 and 2011 budgets.

I would also like to take this opportunity to thank our committees of jurisdiction, the Capitol Police Board, and the Department for the interest and the support that have been shown to office. We look forward to working closely with the Chief and his leadership team, the Board, and the Congress toward the goal of promoting economy, efficiency, and effectiveness in USCP programs and operations, as well as helping the Department accomplish its critical mission and initiatives in the months ahead.

*Carl W. Hoecker*  
**Carl W. Hoecker**  
**Inspector General**

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## EXECUTIVE SUMMARY

**T**his Semiannual Report is issued pursuant to the provisions of Section 5 of the Inspector General Act of 1978, as amended, and summarizes the activities of the United States Capitol Police's (USCP or Department) Office of Inspector General (OIG) for the period October 1, 2009 through March 31, 2010. During this reporting period, OIG continued to direct its available resources toward those areas of greatest risk for the Department. We completed work to promote the economy, efficiency, effectiveness, and integrity of the Department's programs and operations. We also consulted on a variety of Department issues and provided comments on proposed legislation, regulations, and policies. The work of each of the OIG components is summarized below.

**OIG Audits** supported the Department's effort to improve accountability and financial management by issuing the *Review of the HMRT Procurement Process* (Report No. OIG-2010-02). Ongoing projects include audits of the Department's FY 2009 financial statements and its FY 2010 and 2011 budget formulation process. Additionally, Audits continues to participate in the Recommendations Working Group, a collaborative effort with the Department to close OIG recommendations. Further, Audits conducted a System Review of the *Federal Maritime Commission Office of Inspector General's Audit Organization* as required by *Government Auditing Standards* (Report No. OIG-2010-01).

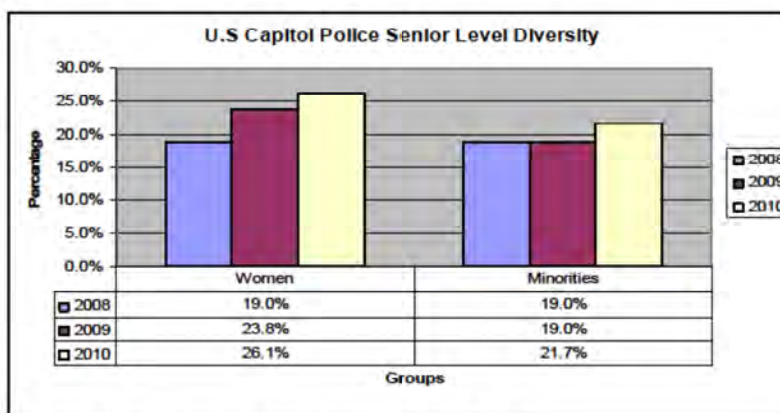
**OIG Investigations** closed the following cases: *Improper Association, Conduct Unbecoming, and Untruthfulness* (Report No. 2007-I-0018); *Possible Conflict of Interest by a Contracting Officer* (Report No. 2009-I-0016); *Sale of Memorabilia by an Employee* (Report No. 2010-I-0001); and *Allegation of HMRT Procurement Irregularities* (Report No. 2009-I-0015)

OIG remains a contributing participant in the activities of the Council of Inspectors General on Integrity and Efficiency (CIGIE), which was established to enhance governmentwide efforts to promote integrity and efficiency and to detect and prevent fraud, waste, and abuse in Federal programs. During this reporting period, the USCP OIG hosted the Investigations Committee of the CIGIE and the quarterly Legislative Branch IG meeting.

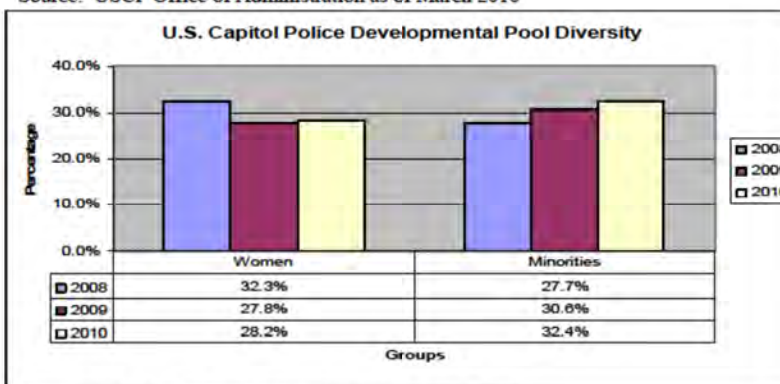
# AGENT OF POSITIVE CHANGE

## Audit of USCP Workforce Diversity (Report No. OIG-2008-05)

During this reporting period, the Department closed all recommendations related to OIG's report *Audit of USCP Workforce Diversity* (Report No. OIG-2008-05). For example, the Department finalized its *Human Capital Strategic Workforce Plan*, which is intended to create and maintain a positive work environment where the similarities and differences of individuals are valued, so that all can reach their potential and maximize their contributions to the organization's strategic goals and objectives. On February 1, 2010, the Department hired its first Diversity Officer, who will be responsible for developing and implementing a comprehensive affirmative action program, thus allowing the Department to ensure equal employment opportunities. In addition, the Department has provided investigators needed training to respond to equal employment opportunity complaints. Further, the Department separated the incompatible functions of legal sufficiency reviews and representation of employment discrimination complaints. But most importantly, as demonstrated in the graphs below, the Department continues to improve its total workforce demographic since this 2008 audit.



Source: USCP Office of Administration as of March 2010



Source: USCP Office of Administration as of March 2010

The graphs above represent Senior Positions, (Administratively Determined, Deputy Chiefs, CP 14-15) and Developmental Positions, (Inspectors, Captains and CP 12 -13). The graphs reflect CY 2008 – 2010 data.

## PROACTIVE EFFORTS

### Recommendations Working Group

In a collaborative effort to close open recommendations as requested by the Board and the Chief, OIG has held regular meetings with the Assistant Chief of Police, the Chief Administrative Officer, and other Department employees. As a result, the Department closed four recommendations that were over a year old. The Department is working to close other recommendations and OIG is hopeful that additional recommendations will be closed in the near future.

### Migration of Financial Management Systems

During this reporting period, OIG has met on several occasions with the Department's Chief Administrative Officer and Office of Financial Management staff regarding the migration of the Department's financial management system to the Library of Congress. Specifically, we discussed our concerns and risks associated with the migration. Realizing the importance of a successful migration to our stakeholders, OIG is hopeful that further discussions and efforts will ensure just such a migration.

### Outreach Activities

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



As part of our continuing efforts to promote accountability through better awareness of OIG's role, mission, and services, OIG made presentations to new recruit officer classes during this reporting period.

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## AUDITS

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### **System Review of Federal Maritime Commission OIG's Audit Organization (Report No. OIG-2010-01)**

*Government Auditing Standards* (GAS) requires audit organizations that perform audits or attestation engagements in accordance with GAS to have an appropriate quality control system and to undergo external peer reviews at least once every three years. The Council of Inspectors General for Integrity and Ethics' Audit Committee administers the external peer review program under GAS for Federal Offices of Inspector General. The program is designed to provide reasonable assurance that the OIG carries out its work in accordance with established policies and procedures, including GAS, applicable Office of Management and Budget, and Government Accountability Office (GAO) guidance, and statutory provisions applicable to the OIG.



The USCP OIG conducted a peer review of the Federal Maritime Commission OIG's audit organization for the period ended September 30, 2009, and issued a *System Review Report and Letter of Comment* on March 12, 2010.



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## **Review of Hazardous Materials Response Team Procurement Process (Report No. OIG-2010-02)**

In June 2009, OIG received an anonymous complaint alleging an individual in the Hazardous Materials Response Team (HMRT) circumvented the procurement process for sole sourcing high-value purchases for services and supplies. Thus, OIG engaged contract auditors to conduct agreed-upon procedures to determine whether HMRT complied with applicable laws and regulations for procurement procedures regarding the competitive bid process and justifications for sole source solicitations. Our scope included HMRT procurements over \$3,500, the threshold for competitive bidding, obligated during fiscal years (FYs) 2007 through 2009.

We found that HMRT did not consistently comply with the Department's procurement policies and procedures regarding sole source solicitations and competitive bidding. This occurred primarily because Office of Financial Management (OFM) procurement personnel and Financial Liaison Officers are not familiar with OFM's Standard Operating Procedure (SOP) [REDACTED].

During FYs 2007-2009, HMRT recorded 71 obligations totaling about \$1.6 million with individual values of over \$3,500. We reviewed 46 of 71 HMRT procurements totaling about \$1.2 million, which included the five procurements specifically raised in the complaint. We noted the following:

- 15 (\$421,000) of 46 HMRT procurements tested did not have viable facts and rationale to support the use of a sole source procurement as required by SOP [REDACTED].
- 5 (\$74,000) of 46 HMRT procurements tested did not have a sole source justification as required by SOP [REDACTED].
- 1 (\$23,400) of 46 HMRT procurements tested did not contain adequate descriptions of services needed as well as provided a limited opportunity to respond to the request.

Additionally, OFM did not always safeguard contract files. We noted OFM does not maintain a locked storage room where contract files are kept, nor does OFM have a records management process for tracking who has retrieved a file. Thus, OIG recommended that OFM distribute its SOPs and provide training to individuals responsible for sole source procurements and the competitive bidding processes. Further, we recommended that OFM immediately establish controls for safeguarding contract records. The Department agreed to implement all three recommendations.

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## ON-GOING AUDITS

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### **Audit of USCP's FY 2009 Financial Statements**

In accordance with our fiscal year 2009 *Annual Plan*, OIG began the audit of the Department's 2009 principal financial statements in July 2009. The primary objective of the audit is to express an opinion on whether the financial statements are presented fairly, in all material respects, in conformity with accounting principles generally accepted in the United States of America. In addition, we will examine the effectiveness of the USCP's internal control over financial reporting based on the *Standards for Internal Control in the Federal Government*, issued by the Comptroller General of the United States and the audit will be conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants (AICPA) and *Government Auditing Standards*, issued by the Comptroller General of the United States. Further, OIG will evaluate and report on compliance with laws and regulations related to the financial statements.

In November 2009, in coordination with the Board, OIG placed this audit on hold to seek a legal opinion from GAO related to expired and cancelled funds. GAO expects to provide an opinion sometime in May 2010. OIG expects to resume the FY 2009 audit in June 2010 and issue a report by December 2010.

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### **Audit of USCP's Budget Formulation Process**

In February 2010, the Department identified a salaries shortfall in its FY 2010 budget submission. In response to a March 10, 2010, request from the Chief of Police, OIG initiated an audit of the Department's budget formulation process. Our objectives are to (1) assess whether USCP has established adequate controls over the budget formulation process to ensure accurate data is collected and developed, and if so, (2) determine if staff complied with those controls during the formulation process of the FYs 2010 and 2011 budgets, and if not, note exceptions and causes. OIG expects to issue a report by June 2010.

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## INVESTIGATIONS

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### **Improper Association, Conduct Unbecoming, and Untruthfulness (2007-I-0018)**

At the request of the Chief of Police, OIG conducted an investigation to determine whether actions of USCP employees were administrative and/or criminal violations.

This investigation was predicated upon notification from the Chief of Police that the Washington Field Office of the Federal Bureau of Investigation and the Washington, D.C., U.S. Attorney's Office had concluded an investigation of USCP employees. The Assistant U.S. Attorney declined criminal prosecution.

The subject employees were placed on administrative leave pending the outcome of the OIG investigation and the Department's due process actions. We completed our investigation and the report has been forwarded to the Department for action.

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### **Possible Conflict of Interest by Contracting Officer (2009-I-0016)**

OIG initiated an investigation into misconduct allegations involving a USCP procurement official. USCP reported that the official may have had inappropriate contact with vendors during the procurement process. After becoming aware of the potential conflict of interest, USCP placed the individual on administrative leave and requested OIG conduct an investigation.

The objective of our investigation was to determine whether the official's actions were in violation of a Department directive. During our investigation, we reviewed and analyzed documentation, emails, and interviewed Department employees. OIG found the official had admitted in an email that they had accepted a meal from one of three finalists in a USCP procurement action. This conduct appeared to be in violation of Department Directive [REDACTED]. The Department placed the official on administrative leave and removed the official from being involved in the procurement action.

OIG closed the investigation when it was learned the official had resigned their position and was no longer subject to administrative remedies of the Department.

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## **Sale of Memorabilia by Department Employee (2010-I-0001)**

In November 2009, at the request of the Department, the Office of Professional Responsibility (OPR) and OIG conducted a joint investigation involving the sale of memorabilia by an employee of the Department. The investigation has been completed and the results have been forwarded to the Department for action.

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## **Allegation of HMRT Procurement Irregularities (2010-I-0015)**

On June 24, 2009, OIG received an anonymous complaint alleging that contracts supporting the Hazardous Material Response Team (HMRT) were being improperly awarded. Specifically, the complaint alleged that HMRT circumvented procurement policies by sole sourcing about \$199,000 in contracts. The complaint identified five procurements totaling about \$199,000 as shown in Table 1.

*Table 1 – Procurements Identified in Complaint*

| FY            | Number of Procurements | Value            |
|---------------|------------------------|------------------|
| 2007          | 2                      | \$98,300         |
| 2008          | 1                      | \$15,000         |
| 2009          | 2                      | \$85,360         |
| <b>Totals</b> | <b>5</b>               | <b>\$198,660</b> |

Source: June 2009 anonymous complaint and Momentum System.

As a result, OIG engaged its contract auditors to conduct a special review of HMRT contracts. They examined reviewed 46 of 71 HMRT procurements totaling about \$1.2 million, which included the five procurements specifically raised in the complaint. Also, interviews of HMRT and contracting personnel were conducted. The audit noted no instances of noncompliance for the five sampled procurements.

OIG found no evidence or information to substantiate the allegation of fraud or misconduct, and closed the investigation.

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## ONGOING INVESTIGATIONS

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### **Possible Information Technology Security Vulnerability (2010-I-0004)**

At the request of the Committee on House Administration, OIG has initiated an investigation into a possible security vulnerability within a security system controlled by a Department contractor.

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### **Allegation of Procurement Irregularities (2010-I-0005)**

During the ongoing audit of the Department's budget formulation, OIG discovered two procurement irregularities for services provided to the Department that may have been unnecessary and not managed correctly. OIG subsequently initiated an inquiry to determine whether the contracts were wasteful, and to decide whether further OIG investigation is warranted.

# LEGISLATION MONITORED

## Legislation Monitored

OIG continues to review and monitor legislation as applicable. For example, we reviewed H.R. 1299, *United States Capitol Police Administrative Technical Corrections Act of 2009*, which, in part;

- repeals requirements that the Comptroller General be involved in the process of hiring and evaluating the CAO.
- authorizes the Chief of the Capitol Police to suspend with or without pay, and to discipline employees and terminate an officer or employee after notifying and obtaining the approval of the Capitol Police Board.
- prohibits lump sum payments to terminated U.S. Capitol Police officers or employees for unused compensatory times, except as permitted under the Congressional Accountability Act of 1995.

We also reviewed and monitored S.1054, which provides funds to purchase and install a new radio system for the Department, and H.R. 2918, which would authorize and appropriate funds for the radio system.

Other legislation monitored includes:

- S.1745 – *The Non-Federal Employee Whistleblower Protection Act*
- S.1490 – *The Personal Privacy and Security Act of 2009*
- S. 942 – *The Government Charge Card Abuse Prevention Act of 2009*

## ***APPENDIX 1 – REPORTS ISSUED***

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| <b>OIG-2010-01</b> | <b>System Review of Federal Maritime Commission OIG's Audit Organization</b> |
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| <b>OIG-2010-02</b> | <b>Review of Hazardous Materials Response Team Procurement Process</b> |
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| <b>2007-I-0018</b> | <b>Improper Association, Conduct Unbecoming, and Untruthfulness</b> |
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| <b>2009-I-0016</b> | <b>Possible Conflict of Interest by a Contracting Officer</b> |
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|--------------------|-------------------------------------------|
| <b>2010-I-0001</b> | <b>Sale of Memorabilia by an Employee</b> |
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|--------------------|------------------------------------------------------|
| <b>2010-I-0015</b> | <b>Allegation of HMRT Procurement Irregularities</b> |
|--------------------|------------------------------------------------------|

## **APPENDIX 2 – RESOLUTION OF REPORT RECOMMENDATIONS**

Timely resolution of outstanding recommendations continues to be a priority of both our office and the Department. As of March 31, 2010, OIG has made 129 recommendations to the Department. The Department has closed 76 recommendations and 53 recommendations remained open, which require additional corrective action(s) for completion. Listed below are recommendations over six months old.

| <b>Appendix 2 – Resolution of Report Recommendations</b> |                          |                              |                                                                                                                                                                                                                                                                                                                                                               |
|----------------------------------------------------------|--------------------------|------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Report Number</b>                                     | <b>Report Title</b>      | <b>Recommendation Number</b> | <b>Recommendation</b>                                                                                                                                                                                                                                                                                                                                         |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 1.2                          | <b>Payroll Processing</b> - We recommend that the CAO develop and implement policies and procedures requiring all employees to positively attest to the accuracy of pay period information transmitted to NFC.                                                                                                                                                |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 1.3                          | <b>Payroll Processing</b> - We recommend that the CAO enforce existing policies and procedures to require supervisors to approve the accuracy of pay period information before it is transmitted to NFC.                                                                                                                                                      |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 1.4                          | <b>Payroll Processing</b> - We recommend that the CAO continue monitoring implementation of policies and procedures to permit USCP to efficiently and effectively track and certify all hours incurred by all employees.                                                                                                                                      |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 1.6                          | <b>Payroll Processing</b> - We recommend that the CAO develop policies and procedures that specifically outlines when reconciliations are to be completed to whom the reconciliations are to be provided for supervisory review.                                                                                                                              |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 1.8                          | <b>Payroll Processing</b> - We recommend that the CAO develop detailed procedures to guide employees and supervisors responsible for the maintenance of separated employee documentation. Testing found two forms [REDACTED] was missing from 38 employee files tested. Two of these 38 were also missing the final [REDACTED] and one was missing the SF-50. |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 1.9                          | <b>Payroll Processing</b> - We recommend that the CAO develop detailed procedures to guide employees and supervisors responsible with procedures to document and/or obtain corroborating evidence to support employee assertions.                                                                                                                             |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 1.10                         | <b>Payroll Processing</b> - We recommend that the CAO develop procedures to guide supervisors responsible for reviewing and approving certification reports in identifying circumstances in which civilian personnel would be entitled to night differential pay. As an alternative, [REDACTED] could be programmed to incorporate the rule.                  |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 1.12                         | <b>Payroll Processing</b> - We recommend that the CAO implement a procedure to add a system date to the certification reports to document the date when timekeepers print the reports.                                                                                                                                                                        |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 2.1                          | <b>Financial Management</b> - We recommend that the CAO continue to develop policies and procedures covering all matters impacting USCP's financial performance, take steps to ensure that they are implemented consistently through the Department, and provide training for all employees.                                                                  |

| <b>Appendix 2 – Resolution of Report Recommendations</b> |                          |                              |                                                                                                                                                                                                                                                                                                                                                                                                                          |
|----------------------------------------------------------|--------------------------|------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Report Number</b>                                     | <b>Report Title</b>      | <b>Recommendation Number</b> | <b>Recommendation</b>                                                                                                                                                                                                                                                                                                                                                                                                    |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 2.2                          | <b>Financial Management</b> - We recommend that the CAO develop and implement policies and procedures to facilitate the flow of information from the General Counsel to OFM.                                                                                                                                                                                                                                             |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 2.3                          | <b>Financial Management</b> - We recommend that the CAO develop procedures to prevent significant erroneous entries as well as procedures to detect significant errors in a timelier manner and to develop a more rigorous quality assurance process.                                                                                                                                                                    |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 2.6                          | <b>Financial Management</b> - We recommend that the CAO develop procedures to ensure that [REDACTED] transactions classified as FA are in fact new additions and not corrections of previously existing assets. Additionally, FD transactions should be actual disposals and not corrections.                                                                                                                            |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 2.7                          | <b>Financial Management</b> - We recommend that the CAO insure that OFM and PAMD need to continue to work vigorously together to insure that their past efforts are not wasted.                                                                                                                                                                                                                                          |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 3.1                          | <b>Financial Management</b> - We recommend that USCP officially appoint a CPO and develop policies and procedures to ensure all personally identifiable information is identified and safeguarded.                                                                                                                                                                                                                       |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 3.2                          | <b>Information Systems</b> - We recommend that management ensure that a standard security benchmark for all systems is developed and implemented. Organizations such as the National Institute for Standards and Technology and the Center for Internet Security provide guidance on security benchmarks for Federal government systems.                                                                                 |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 3.3                          | <b>Information Systems</b> - We recommend that management ensure that all system users (including contractors) receive security awareness training on an annual basis, and that management develops procedures to ensure all users agree to abide by the Rules of Behavior for using USCP systems.                                                                                                                       |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 3.4                          | <b>Information Systems</b> - We recommend that management develop new procedures to ensure that all users of major financial applications review and acknowledge system specific Rules of Behavior prior to gaining system access.                                                                                                                                                                                       |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 3.5                          | <b>Information Systems</b> - We recommend that management conduct risk assessments in accordance with guidelines and recommendations for protecting Federal information systems. This risk assessment process and the documented results should be integrated into a comprehensive process for Certifying and Accrediting major systems.                                                                                 |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 3.6                          | <b>Information Systems</b> - We recommend that management create system security plans in accordance with guidelines and recommendations for protecting Federal information systems. System security plans should document all controls protecting the system and the final document should be approved by management before it is integrated into a comprehensive process for Certifying and Accrediting major systems. |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 3.7                          | <b>Information Systems</b> - We recommend that management ensures that there is an independent assessment of security controls conducted as part of a comprehensive C&A process.                                                                                                                                                                                                                                         |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 3.8                          | <b>Information Systems</b> - We recommend that management develops a process to track and manage all known system weaknesses. This process should include a centralized method of documenting and managing known issues, their associated corrective action plans, and the status of change implementations.                                                                                                             |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 3.9                          | <b>Information Systems</b> - We recommend that management obtain and review a SAS No. 70 report or equivalent for the [REDACTED] system as part of their continuous monitoring process.                                                                                                                                                                                                                                  |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS | 3.11                         | <b>Information Systems</b> - We recommend that management establish and implement policies and procedures that ensure inactive network accounts are periodically reviewed and addressed in a timely manner.                                                                                                                                                                                                              |

| <b>Appendix 2 – Resolution of Report Recommendations</b> |                                                             |                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|----------------------------------------------------------|-------------------------------------------------------------|------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Report Number</b>                                     | <b>Report Title</b>                                         | <b>Recommendation Number</b> | <b>Recommendation</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS                                    | 3.13                         | <b>Information Systems</b> - We recommend that management revise and update the OFM COOP in accordance with best practices for Federal organizations, as well as ensure that all key areas of the COOP are adequately tested and documented. We further recommend that the recovery timeframes are appropriately established as part of COOP revision process.                                                                                                                                                                                                                                                   |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS                                    | 3.15                         | <b>Information Systems</b> - We recommend that the CAO implement policies and procedures to require that a test plan and objectives be developed prior to testing contingency plans. The test plan should include a clear scope, scenario, and logistics as well as indicate the personnel who will be involved. Additionally, we recommend that a formal report be documented upon completion of the test. The report usually includes successful and non-successful steps as well as lessons learned. Furthermore, we recommend that the contingency plan be updated to reflect the discovered deficiencies.   |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS                                    | 3.16                         | <b>Information Systems</b> - We recommend that the CAO perform account reviews of all [REDACTED] users and ensure that all users have appropriate access and assigned roles.                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 2008-03<br>2009-01                                       | FY 2007 FS<br>FY 2008 FS                                    | 3.17                         | <b>Information Systems</b> - We recommend that the CAO perform account reviews and ensure that all active accounts are assigned to an active [REDACTED] user or are otherwise disabled.                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 2008-06                                                  | Review of Specialty Assignment and Proficiency Pay Programs | 1                            | <b>Specialty Pay</b> - We recommend that the United States Capitol Police develop and implement a sound, effective method of accounting for each specialty assignment and proficiency pay program in the National Finance Center and the [REDACTED] accounting systems. During the interim, the Office of Human Resources should establish written procedures for processing and reconciling its cuff records with actual disbursements.                                                                                                                                                                         |
| 2008-06                                                  | Review of Specialty Assignment and Proficiency Pay Programs | 2                            | <b>Specialty Pay</b> - We recommend that the United States Capitol Police take action(s) to collect questioned costs totaling \$196,420 and provide supporting documentation for \$30,600.                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 2008-06                                                  | Review of Specialty Assignment and Proficiency Pay Programs | 3                            | <b>Specialty Pay</b> - We recommend that the United States Capitol Police consider whether all the specialty assignment and proficiency pay programs are needed and, if so, determine the most efficient and effective method of implementation and allocate the necessary resources to effectively administrate the program(s).                                                                                                                                                                                                                                                                                 |
| 2008-06                                                  | Review of Specialty Assignment and Proficiency Pay Programs | 4                            | <b>Specialty Pay</b> - We recommend that the United States Capitol Police, in the interim, clarify [REDACTED] Directives regarding<br>a. Exclusion(s) or payment(s) from multiple programs when using the same defining criteria such physical fitness, firearms proficiency, risk to self, and maintenance of certification or proficiencies, thereby avoiding costs of \$279,219 and putting funds to better use.<br>b. the aggregate of 50 percent of the previous six-month period for pay purposes for hazardous duty and plainclothes.<br>c. the 45-calendar day requirement for specialty assignment pay. |
| 2008-06                                                  | Review of Specialty Assignment and Proficiency Pay Programs | 5                            | <b>Specialty Pay</b> - We recommend that the United States Capitol Police finalize its draft firearms and field officer training directives and enforce the consistent use of a standard [REDACTED] Form.                                                                                                                                                                                                                                                                                                                                                                                                        |
| 2008-06                                                  | Review of Specialty Assignment and Proficiency Pay Programs | 6                            | <b>Specialty Pay</b> - We recommend that the United States Capitol Police strengthen tracking and reconciliation procedures to ensure employees do not improperly receive payments within the same fiscal year or when ineligible for such pay.                                                                                                                                                                                                                                                                                                                                                                  |

| <b>Appendix 2 – Resolution of Report Recommendations</b> |                                                                               |                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|----------------------------------------------------------|-------------------------------------------------------------------------------|------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Report Number</b>                                     | <b>Report Title</b>                                                           | <b>Recommendation Number</b> | <b>Recommendation</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 2008-06                                                  | Review of Specialty Assignment and Proficiency Pay Programs                   | 8                            | <b>Specialty Pay</b> - We recommend that the United States Capitol Police take action(s) to clarify its Maximum Annual Payable Rate in light of Public Law 108-7. In addition, we recommend that the Chief of Police request the Office of the General Counsel provide a legal opinion regarding: (1) USCP authority to defer payments to the next calendar year when an employee may exceed the annual salary limitation; and, (2) appropriate options for collecting amounts from employees who received amounts in excess of the annual salary limitation.                                                                                                                                                                                                                                      |
| 2008-06                                                  | Review of Specialty Assignment and Proficiency Pay Programs                   | 9                            | <b>Specialty Pay</b> - We recommend that the United States Capitol Police consider whether these specialty assignment and proficiency pay programs are needed to compete with other police forces and, if so, then the Department should link its goals and measures of these programs with retention and recruitment of Department personnel.                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 2008-08                                                  | Review of Compliance with USCP Hiring Standards and with Directive [REDACTED] | 1                            | <b>Triple III</b> - We recommend that the United States Capitol Police, in coordination with the Capitol Police Board, update its hiring standards and establish a comprehensive hiring directive outlining the Department's vision and goals to create a talented and committed workforce, to support an effective organizational culture, and enhance the overall performance of the Department.                                                                                                                                                                                                                                                                                                                                                                                                 |
| 2009-02                                                  | Controls Over Travel Vouchers                                                 | 1                            | <b>Travel Vouchers</b> - We recommend that the United States Capitol Police finalize its draft Directive [REDACTED]. This directive should provide needed policy and procedures related to the USCP Travel Card Program including travel authorization, appropriate use of the official government travel card, and the submission of claims for the reimbursement of travel expenses. The current interim travel guidance should be disseminated immediately to all employees.                                                                                                                                                                                                                                                                                                                    |
| 2009-02                                                  | Controls Over Travel Vouchers                                                 | 2                            | <b>Travel Vouchers</b> - We recommend that the United States Capitol Police provide travel cardholders training or, at a minimum, require all cardholders to take the U.S. General Services Administration on-line training course for cardholders and document such training. Additionally, the Office of Financial Management should review the questionable vouchers and determine if questioned costs should be collected from cardholders.                                                                                                                                                                                                                                                                                                                                                    |
| 2009-02                                                  | Controls Over Travel Vouchers                                                 | 3                            | <b>Travel Vouchers</b> - We recommend that the United States Capitol Police strengthen its controls surrounding voucher payment process. Specifically, require cardholders to mark duplicate travel vouchers clearly as "COPY" when resubmitting to the Office of Financial Management. Additionally, the Office of Financial Management should develop and implement a mandatory specialized training course for the approving, authorizing, and certifying officials reiterating their roles and responsibilities. Refresher courses should be provided on a periodic basis. Until a training course is developed and implemented, require applicable officials to review the FTR and Department policies and procedures related to reviewing travel vouchers and approving travel expenditures. |
| 2009-02                                                  | Controls Over Travel Vouchers                                                 | 4                            | <b>Travel Vouchers</b> - We recommend that the United States Capitol Police review the General Services Administration E-Gov Travel Service and consider the feasibility of obtaining and utilizing a common automated and integrated approach to managing its travel function. At a minimum, the Department should obligate funds prior to travel to ensure that sufficient funds are available to cover travel vouchers, thereby reducing the need to reprogram at year end.                                                                                                                                                                                                                                                                                                                     |
| 2009-03                                                  | Audit of USCP Privacy Program                                                 | 1                            | <b>Privacy Program</b> - We recommend that the United States Capitol Police finalize and fully implement a privacy program. The program should clarify the Chief Privacy Officer's role and the position within the Department as well as include privacy policies and procedures.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

| <b>Appendix 2 – Resolution of Report Recommendations</b> |                                            |                              |                                                                                                                                                                                                                                                                                                                                                                                           |
|----------------------------------------------------------|--------------------------------------------|------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Report Number</b>                                     | <b>Report Title</b>                        | <b>Recommendation Number</b> | <b>Recommendation</b>                                                                                                                                                                                                                                                                                                                                                                     |
| 2009-03                                                  | <i>Audit of USCP Privacy Program</i>       | 2                            | <b>Privacy Program</b> - We recommend that the Department finalize draft documents related to identifying personally identifiable information that is collected or handled. Additionally, the Department should immediately conduct a review to identify where personally identifiable information is being collected, maintained, processed, or disseminated within the organization.    |
| 2009-03                                                  | <i>Audit of USCP Privacy Program</i>       | 3                            | <b>Privacy Program</b> - We recommend that the United States Capitol Police finalize draft privacy training materials and require all employees and contractors to periodically complete privacy training (at least annually). In addition, management should track attendance of privacy training to ensure all individuals complete training in accordance with its established policy. |
| 2009-05                                                  | <i>Audit of USCP Purchase Card Program</i> | 1                            | <b>Purchase Card</b> - We recommend that the United States Capitol Police update and communicate policies and procedures to address the identified internal control deficiencies noted for the Purchase Card Program culminating in a comprehensive purchase card management plan.                                                                                                        |
| 2009-05                                                  | <i>Audit of USCP Purchase Card Program</i> | 2                            | <b>Privacy Program</b> - We recommend that the United States Capitol Police update the PCard guidance.                                                                                                                                                                                                                                                                                    |
| 2009-05                                                  | <i>Audit of USCP Purchase Card Program</i> | 3                            | <b>Privacy Program</b> - We recommend that the United States Capitol Police require the Purchase Card Program Coordinator to conduct monthly monitoring of purchase cardholder statements and purchase log reconciliations to measure compliance.                                                                                                                                         |
| 2009-05                                                  | <i>Audit of USCP Purchase Card Program</i> | 4                            | <b>Privacy Program</b> - We recommend that the United States Capitol Police review reported questionable transactions and make a determination as to their appropriateness and valid Government need.                                                                                                                                                                                     |

## **Table 1**

### **Reports Issued with Questioned Costs<sup>1</sup> October 1, 2009, to March 31, 2010**

| Category                                                                                   | (Dollars in Thousands) |                  |                   |
|--------------------------------------------------------------------------------------------|------------------------|------------------|-------------------|
|                                                                                            | No. of Reports         | Questioned Costs | Unsupported Costs |
| For which no management decision has been made by the commencement of the reporting period | 4                      | \$2,701          | \$1,341           |
| Which were issued during the reporting period                                              | 0                      | \$0              | \$0               |
| Subtotals                                                                                  | 4                      | \$2,701          | \$1,341           |
| For which a management decision was made during the reporting period                       |                        |                  |                   |
| • dollar value of disallowed costs                                                         | 0                      | \$0              | \$0               |
| • dollar value of cost not disallowed                                                      | 0                      | \$0              | \$0               |
| For which no management decision has been made by the end of the reporting period          | 4                      | \$2,701          | \$1,341           |
| Reports for which no management decision was made within 6 months of issuance              | 4                      | \$2,701          | \$1,341           |

<sup>1</sup> 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<sup>2</sup>**  
**October 1, 2009, to March 31, 2010**

| Category                                                                                                                                                                                                                                          | Number of Reports | Dollar Value (in thousands) |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|-----------------------------|
| For which no management decision has been made by the commencement of the reporting period                                                                                                                                                        | 1                 | \$282                       |
| Which were issued during the reporting period                                                                                                                                                                                                     | 0                 | \$0                         |
| Subtotals                                                                                                                                                                                                                                         | 1                 | \$282                       |
| For which management decision was made during the reporting period                                                                                                                                                                                | 0                 | 0                           |
| <ul style="list-style-type: none"><li>dollar value of recommendations that were agreed to by management<ul style="list-style-type: none"><li>based on proposed management action</li><li>based on proposed legislative action</li></ul></li></ul> | 0                 | 0                           |
| <ul style="list-style-type: none"><li>dollar value of recommendations that were not agreed to by management</li></ul>                                                                                                                             | 0                 | 0                           |
| For which no management decision has been made by the end of the reporting period                                                                                                                                                                 | 1                 | \$282                       |
| Reports for which no management decision was made with 6 months of issuance                                                                                                                                                                       | 1                 | \$282                       |

<sup>2</sup> A recommendation that funds be put to better use is a recommendation by the 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**

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**INVESTIGATIONS STATISTICS**  
October 1, 2009, to March 31, 2010

|                                                       |     |
|-------------------------------------------------------|-----|
| Recoveries                                            | \$0 |
| Fines and Restitutions                                | \$0 |
| Investigative Cases Opened                            | 5   |
| Investigative Cases Closed                            | 5   |
| Internal Control Reviews Initiated                    | 0   |
| Arrests                                               | 0   |
| Indictments                                           | 0   |
| Convictions                                           | 0   |
| Personnel Actions                                     | 0   |
| Complaints Received                                   | 94  |
| Hotline Complaints Received                           | 90  |
| Complaints Referred (to Department or other agencies) | 19  |
| Inspector General Subpoenas                           | 0   |

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|                  |                                                                                                                              |       |
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| Section 5(a)(3)  | Recommendations Included in Previous<br>Reports on Which Corrective Action Has<br>Not Been Completed.....                    | 14-18 |
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| Section 5(a)(5)  | Summary of Instances Where Information<br>Was Refused.....                                                                   | None  |
| Section 5 (a)(6) | Reports Issued During the Reporting Period.....                                                                              | 13    |
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| Section 5(a)(11) | Significant Revised Management Decisions.....                                                                                | N/A   |
| Section 5(a)(12) | Management Decisions with which the<br>Inspector General is in Disagreement.....                                             | None  |

# Working Relationship Principles for Agencies and Offices of Inspector General

The *Inspector General Act* establishes for most agencies an Office of Inspector General (OIG) and sets out its mission, responsibilities, and authority. The unique nature of the Inspector General 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 the two consider to be a productive relationship and then consciously manage toward that goal in an atmosphere of mutual respect.

By providing objective information to promote government management, decision making, and accountability, the OIG contributes to the agency's success. The 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. The OIG provides the agency, Board, and Congress with objective assessments of opportunities to be more successful. The OIG, although not under the direct supervision of the Chief of Police, must keep the Board and the Congress fully and currently informed of significant OIG activities. Given the complexity of management and policy issues, the 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 the OIG and the agency to become unproductive. The following working relationship principles provide some guidance for agencies and OIGs. **To work together most effectively, the OIG and the agency should strive to:**

## **Foster open communications at all levels.**

The agency will promptly respond to the OIG requests for information to facilitate OIG activities and acknowledge challenges that the OIG can help address. Surprises are to be avoided. With very limited exceptions, primarily related to investigations, the 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 the OIG.** The agency should recognize the OIG's independent role in carrying out its mission within the agency, while recognizing the responsibility of the OIG to report both to Congress and to the agency head. The OIG should work to carry out its functions with a minimum of disruption to the primary work of the agency. The agency should allow the OIG timely access to agency records and other materials.

**Be thorough, objective, and fair.** The 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.** The 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 the OIG's statutory independence of operation. In addition, agencies need to recognize that the OIG also will need to carry out work that is congressionally requested, mandated by law, or self-initiated.

**Be knowledgeable.** The 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 help ensure that the OIG is kept up to date on current matters and events.

**Provide feedback.** The agency and the OIG should implement mechanisms, both formal and informal, to ensure prompt and regular feedback.

## **CONTACTING THE OFFICE OF INSPECTOR GENERAL**

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

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Call us at 202-593-4201 or toll-free at 1-866-906-2446. A confidential or anonymous message can be left 24 hours a day/7 days a week.



Toll-Free  
1-866-906-2446

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Write or visit us – we are located at:



*United States Capitol Police  
Attn: Office of Inspector General, Investigations  
499 South Capitol Street, SW, Suite 345  
Washington, D.C. 20003*

OIG staff members open mail addressed to the above address.

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You can also contact us by email at: [OIG@cap-police.senate.gov](mailto:OIG@cap-police.senate.gov)

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**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.**

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### **Additional Information and Copies:**

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

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